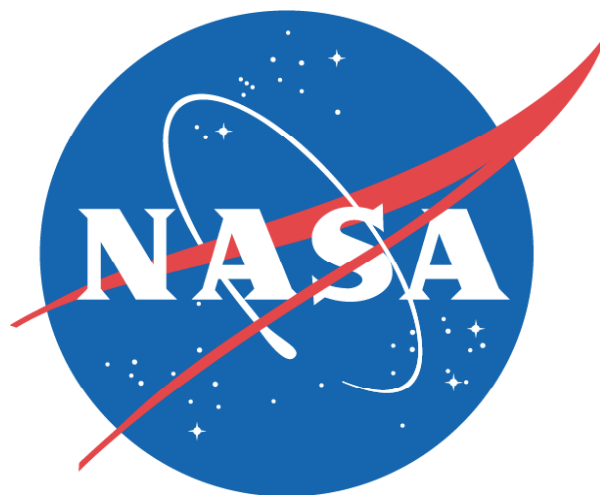


Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

**Subject: Code SB Processing of Action Items Issued to the
Associate Administrator for Space Science via HATS**



**NASA Headquarters
Office of Space Science (OSS)**

Office Work Instruction

**Code SB Processing of Action Items Issued to the
Associate Administrator for Space Science via HATS**

Approved by: (Original signed by Dr. Earle K. Huckins) Date: (02/09/2001)
Dr. Earle K. Huckins
Deputy Associate Administrator for Space Science

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

02/09/2001

Subject: Code SB Processing of Action Items Issued to the Associate Administrator for Space Science via HATS

DOCUMENT HISTORY LOG

STATUS (BASELINE/ REVISION/ CANCELED)	DOCUMENT REVISION	EFFECTIVE DATE	DESCRIPTION
Baseline		02/04/1999	<ul style="list-style-type: none"> Initial "baseline" version of the OWI.
Revision	A	05/10/1999	<ul style="list-style-type: none"> Incorporates modifications responsive to NCRs #293, #302, #311, #315, #317, and #324 from the NASA HQ ISO-9001 Pre-Assessment audit.
Revision	B	11/16/1999	<ul style="list-style-type: none"> Restructures process in Section 6 into more numerous, discrete steps. Incorporates roles of SSE Headquarters Local Administrator (HLA) for HATS and Deputy Associate Administrator (DAA) for Space Science in Section 6. Clarifies role of specific Action Officers in Section 6. Clarifies SSE access control to HATS information in Section 6. Clarifies "review" and "approval" activities in Section 6. Clarifies how HATS due dates are allowed to be extended in Section 6. Clarifies escalation process for unmet HATS due dates in Section 6. Clarifies list of SSE personnel who receive notification of unmet HATS due dates in Section 6. Clarifies vague terminology (e.g., "appropriate") in Section 6. Incorporates information concerning "interim responses" in Section 6. Revises mapping of quality record to NPG 1441.1 in Section 7. Incorporates recent terminology and format standardization.
Revision	C	11/07/2000	<ul style="list-style-type: none"> Incorporates change in Action Officer from "Correspondence Control Assistant (CCA)" to "Code SB Program Support Specialist (PSS)". Clarifies restriction in scope of OWI to processing of actions by Code SB in Section 2 and via revised OWI title, gray-shaded boxes in Section 5, and gray-shaded text in Section 6. Updates list of definitions in Section 3. Updates inputs to boxes in Section 5. Adds "Open/Overdue Action Status" as a quality record in Section 5 and Section 7. Clarifies role of HATS "Progress Notes" and "Comments" in Section 6. Further clarifies how HATS due dates are allowed to be extended in Section 6. Incorporates processing of action items resulting from Code AE quarterly meetings in Section 6. Coordinates terminology and methodology with HQOWI1450-C009C "Correspondence Management" (effective date of 05/15/2000). Updates quality-record "Retention/Disposition" information in Section 7 in accordance with the 07/31/2000 update to NPG 1441.1C.
Revision	D	02/09/2001	<ul style="list-style-type: none"> Incorporates url's for referenced documents into Section 4. Adds, reorders, and deletes process Steps in Section 5 and Section 6. Deletes vague terminology (e.g., "significant") in Section 6. Clarifies roles of DAA for Space Science and Code CIC in Section 6. Coordinates terminology and methodology with HQOWI1450-C009D "Correspondence Management" (effective date of 01/23/2001) (e.g., "A" Packages).

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

02/09/2001

Subject: Code SB Processing of Action Items Issued to the Associate Administrator for Space Science via HATS

1. PURPOSE

The purpose of this Office Work Instruction (OWI) is to provide general direction for Code SB processing of action items issued to the Associate Administrator for Space Science via the NASA Headquarters Action Tracking System (HATS).

2. SCOPE AND APPLICABILITY

- 2.1 Action items are received by the Associate Administrator for Space Science for subject matters related to the Space Science Enterprise's mission.
- 2.2 This OWI applies only to processing by Code SB of action items that are issued to the Associate Administrator for Space Science via HATS. It is not a "global" description of the various methodologies employed by other OSS "front-office" management and by the OSS Divisions to track, respond to, and approve action items assigned to their personnel.
- 2.3 This OWI addresses only those activities that occur along the "critical path" of frequently-occurring process steps. It does not depict every possible branching option that may occasionally arise.

3. DEFINITIONS

- 3.1 AA. Associate Administrator for Space Science.
- 3.2 ADS. Action Document Summary [NHQ Form 117].
- 3.3 "A" Package. The package in circulation for approval and signature consisting of 1) ADS, 2) Copy of Action Document, 3) Background Information, and 4) Proposed Response for Signature of the Administrator, Deputy Administrator, or Associate Deputy Administrator.
- 3.4 Code A. NASA Headquarters Office of the Administrator.
- 3.5 Code AE. NASA Headquarters Office of the Chief Engineer.
- 3.6 Code CIC. NASA Headquarters Correspondence Management Office.
- 3.7 Code S. NASA Headquarters Office of Space Science.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

Subject: Code SB Processing of Action Items Issued to the Associate Administrator for Space Science via HATS

3. DEFINITIONS *(concluded)*

- 3.8 Code SB. OSS Policy and Business Management Office.
- 3.9 DAA. Deputy Associate Administrator for Space Science.
- 3.10 HATS. NASA Headquarters Action Tracking System (an electronic database).
- 3.11 HLA. Headquarters Local Administrator for HATS.
- 3.12 OSS. NASA Headquarters Office of Space Science.
- 3.13 PSS. OSS Code SB Program Support Specialist, whose duties include fulfilling the roles of Correspondence Control Liaison (CCL), Quality Control Liaison (QCL), and HLA for Code SB.

4. REFERENCES

- 4.1 ANSI/ISO/ASQC Q9001-1994
American National Standard, Quality Systems -- Model for Quality Assurance in Design, Development, Production, Installation, and Servicing
- 4.2 HCP1400-1 Document and Data Control
[\[http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1400-1.html\]](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1400-1.html)
- 4.3 HCP1280-2 Corrective and Preventive Action
[\[http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1280-2.html\]](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1280-2.html)
- 4.4 HCP1280-3 Internal Quality Audits
[\[http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1280-3.html\]](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1280-3.html)
- 4.5 HCP3410-4 Quality System Training
[\[http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP3410-4.html\]](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP3410-4.html)

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

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Subject: Code SB Processing of Action Items Issued to the Associate Administrator for Space Science via HATS

4. REFERENCES (concluded)

- 4.6 HQOWI1450-C009 Correspondence Management
[\[http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HQOWI1450-C009.html\]](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HQOWI1450-C009.html)
- 4.7 HQPC1150.1 NASA Headquarters Quality Council Policy Charter
[\[http://nodis.gsfc.nasa.gov/Library/Directives/HQ/\]](http://nodis.gsfc.nasa.gov/Library/Directives/HQ/)
- 4.8 HQSM1200-1 NASA Headquarters Quality System Manual
[\[http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HQSM1200-1.html\]](http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HQSM1200-1.html)
- 4.9 NPD 1000.1 NASA Strategic Plan
[\[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___)
- 4.10 NPD 8730.3 NASA Quality Management System Policy (ISO 9000)
[\[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=8___\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=8___)
- 4.11 NPG 1000.2 NASA Strategic Management Handbook
[\[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___)
- 4.12 NPG 1000.3 The NASA Organization
[\[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___)
- 4.13 NPG 1441.1 NASA Records Retention Schedules (NRRS)
[\[http://nodis.hq.nasa.gov/Library/Directives/NASA-WIDE/Procedures/Organization_and_Administration/contents.html\]](http://nodis.hq.nasa.gov/Library/Directives/NASA-WIDE/Procedures/Organization_and_Administration/contents.html)
- 4.14 NPG 1450.10 NASA Correspondence Management and Communications Standards and Style
[\[http://nodis.hq.nasa.gov/Library/Directives/NASA-WIDE/Procedures/Organization_and_Administration/contents.html\]](http://nodis.hq.nasa.gov/Library/Directives/NASA-WIDE/Procedures/Organization_and_Administration/contents.html)
- 4.15 U.S. Government Printing Office Style Manual

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
 Policy and Business Management Office [Code SB]

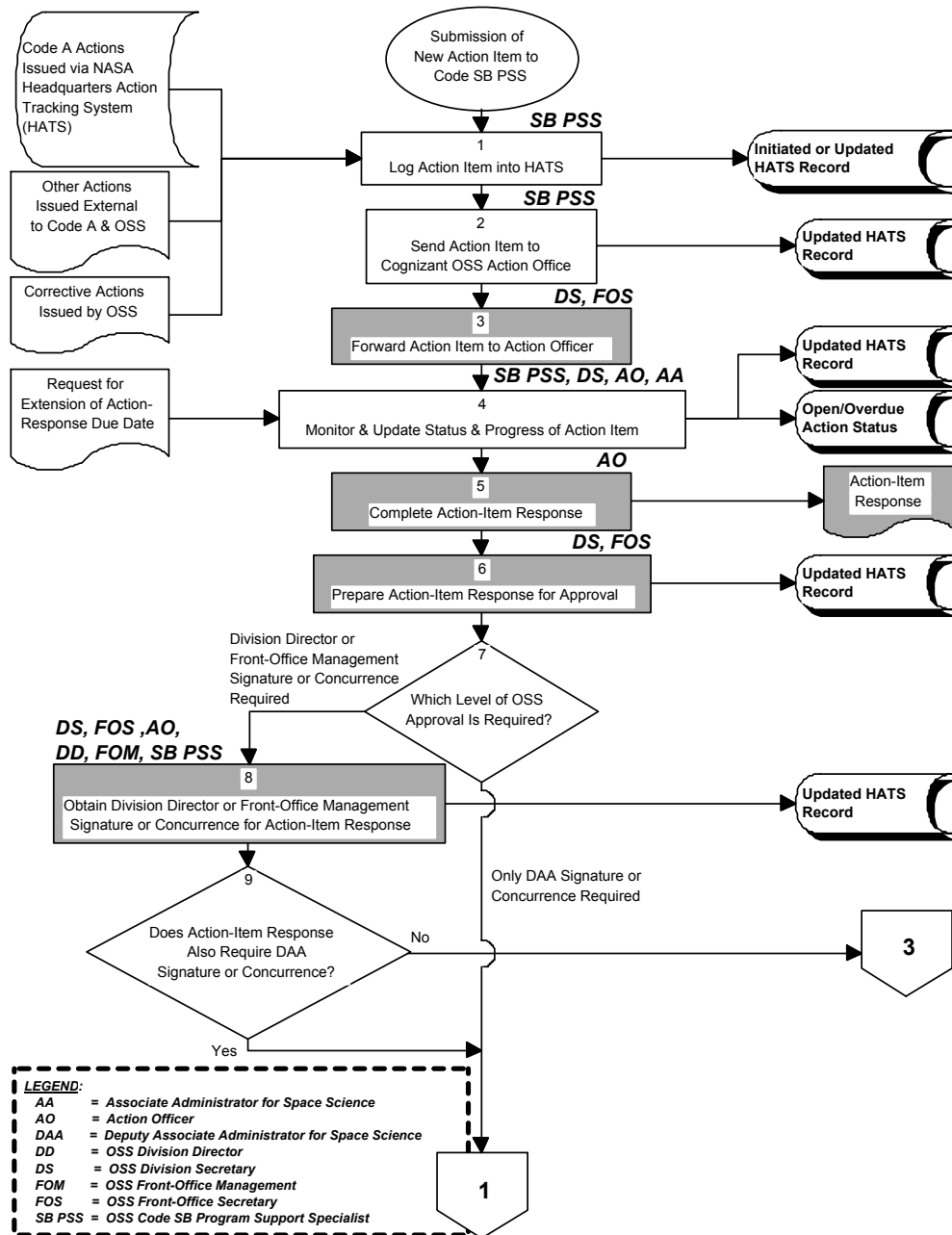
Subject: Code SB Processing of Action Items Issued to the Associate Administrator for Space Science via HATS

5. FLOWCHART

[NOTE #1: Process steps are numbered in accordance with their corresponding step numbers in Section 6.]

[NOTE #2: "Quality records" are identified via bold-text titles and shadowing of the border of their symbols.]

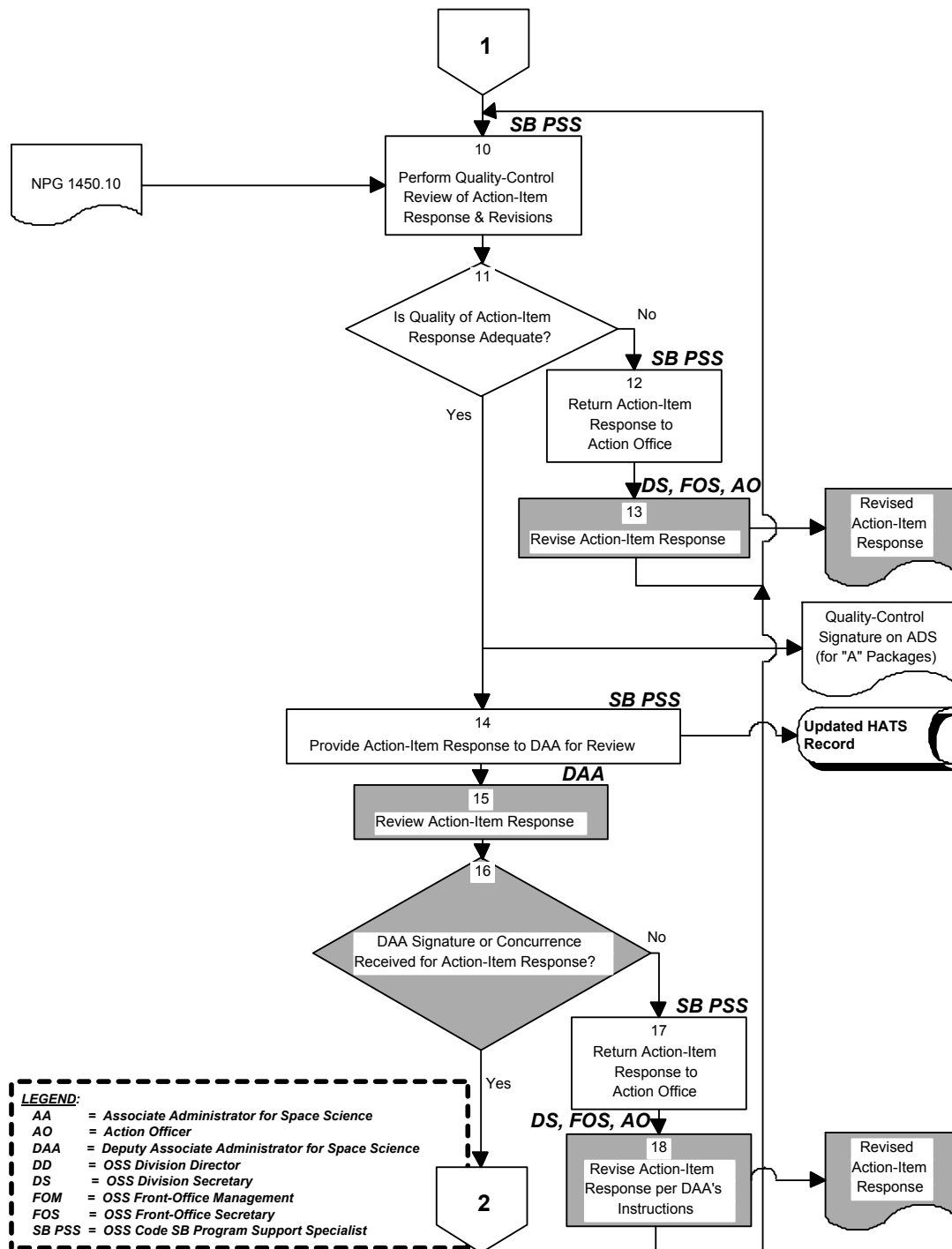
[NOTE #3: Activities that are beyond the scope of the role of Code SB are identified via gray-shading of the interior of their symbols.]



Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
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Subject: Code SB Processing of Action Items Issued to the Associate Administrator for Space Science via HATS

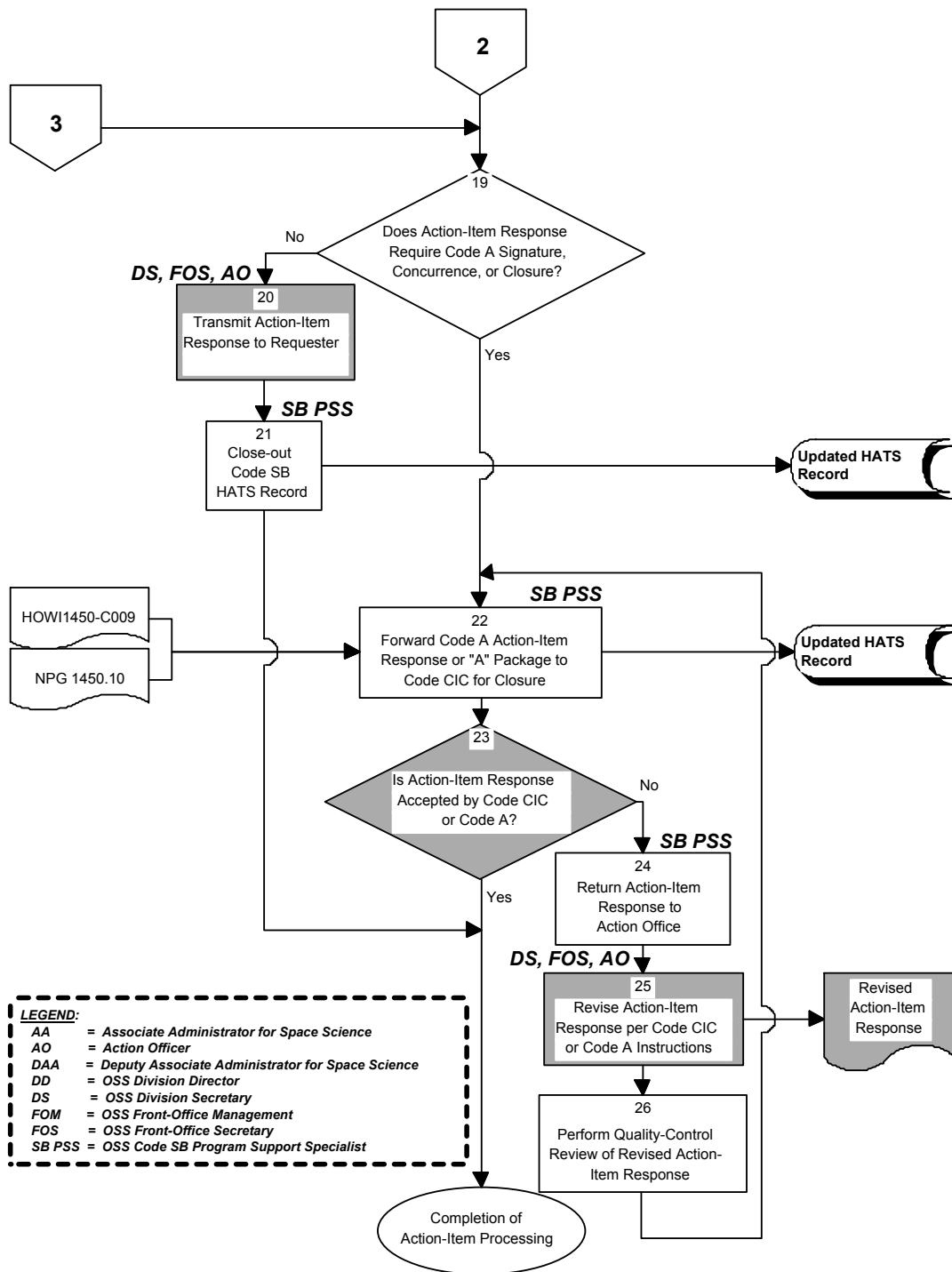
5. FLOWCHART (continued)



Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
 Policy and Business Management Office [Code SB]

Subject: Code SB Processing of Action Items Issued to the Associate Administrator for Space Science via HATS

5. FLOWCHART (concluded)



Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

02/09/2001

Subject: Code SB Processing of Action Items Issued to the Associate Administrator for Space Science via HATS

6. PROCEDURE

[NOTE #1: *Gray-shaded* text indicates activities within the overall process that are performed to accomplish response to and approval of action items but are outside the scope of this OWI (which is restricted to the processing by Code SB of action items issued to the Associate Administrator for Space Science via HATS).]

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
		<i>[This process commences when a new action item that has been issued to the Associate Administrator for Space Science is submitted to the OSS Code SB Program Support Specialist (PSS) via the NASA Headquarters Action Tracking System (HATS).]</i>
1	Code SB PSS	<p>The Code SB PSS receives an action item and initiates or updates a HATS (electronic) record, referencing the originating point of action (e.g., Code A, a source external to Code A and to OSS, or a "corrective action" issued internal to OSS). <i>[The Code SB PSS has electronic access to the level of HATS assigned to the Associate Administrator for Space Science. The OSS Headquarters Local Administrator (HLA) for HATS can grant this electronic access to other OSS personnel via a "proxy" arrangement.]</i></p> <p>Based upon subject matter, the Code SB PSS determines: (a) the cognizant OSS Division(s) for responding to the action item; (b) the individual responsible for the subject matter (i.e., the Action Officer); (c) who should sign the response to the action item; and (d) the due date of the action item (if not pre-specified in the action item). The Code SB PSS records any special instructions associated with the action item in the "Comments" field of its HATS record.</p>
2	Code SB PSS	The Code SB PSS sends the action item to the cognizant OSS Action Office and updates the HATS record.

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6. PROCEDURE (continued)

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
3	OSS Division Secretary OSS Front-Office Secretary	The cognizant OSS Division Secretary or OSS Front-Office Secretary updates the existing HATS record (if that Division or Front Office group uses HATS) and forwards the action item to the Action Officer.
4	Code SB PSS OSS Division Secretary OSS Front-Office Secretary Action Officer AA	<p>The Code SB PSS and the cognizant OSS Division Secretary or OSS Front-Office Secretary track the status and progress of the action item via prompting HATS.</p> <p>The decision of whether to extend the due date for an action item is the prerogative of the owner of the action item. The Code SB PSS documents extended due dates via manual entries in the "Progress Notes" feature of the HATS record.</p> <p>The specified due date for an action item may be modified under the following circumstances: (a) if the action item has been issued initially to Code A and then delegated to the Associate Administrator for Space Science, the Code SB PSS may request an extension of the due date from Code CIC; (b) if the action item has been issued by another Office at NASA Headquarters (other than Code A), the Action Officer may request that Office to grant him/her an extension of the due date, and then the Action Officer will notify the Code SB PSS of the extended due date; (c) if the action item has been issued on behalf of the Associate Administrator for Space Science, the Action Officer may request the Code SB PSS to extend the due date; or (d) if the Code SB PSS receives an action item <u>after</u> the due date specified by that action item, the Code SB PSS obtains an extension of the due date from the originator of the action item and enters the new due date during the initial log-in of the action item into HATS.</p>

[continued]

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

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Subject: Code SB Processing of Action Items Issued to the Associate Administrator for Space Science via HATS

6. PROCEDURE (continued)

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
4 <i>[concluded]</i>	Code SB PSS OSS Division Secretary OSS Front- Office Secretary Action Officer AA	<p>HATS sends automatic E-mail notifications of “due-soon” and “overdue” actions to the cognizant Action Officers’ Division or Front-Office Secretaries. The Code SB PSS prints a hardcopy report weekly that lists the current open and overdue action items per the HATS database (which is updated in “real-time” whenever a HATS record is initiated or revised). The Code SB PSS then distributes the printed (uncontrolled) open/overdue action report weekly to all OSS Action Officers and their Division and Front-Office Secretaries, the Code SB Director, the Deputy Associate Administrator for Space Science, and the Associate Administrator for Space Science. The Associate Administrator for Space Science reviews the weekly printed open/overdue action report and speaks directly to the cognizant Action Officer and/or Division Director or Front-Office Management to ensure closure of action items.</p> <p>The Code SB PSS updates the Progress Notes feature of the HATS record, and HATS automatically sends an E-mail notification to the Action Officer whenever any of the following data fields are modified: “Due Date,” “Submitted,” “Concurred,” “Signed,” “Progress Notes,” “Status,” and “Closed.”</p>
5	Action Officer	The Action Officer completes the action-item response and provides it to the cognizant OSS Division Secretary or OSS Front-Office Secretary.
6	OSS Division Secretary OSS Front- Office Secretary	The cognizant OSS Division Secretary or OSS Front-Office Secretary reviews the action-item response for accuracy and format, prepares the final version of it, updates the HATS record (if HATS is used by that Division or Front Office group), and obtains concurrences required per the subject matter of the action-item response prior to forwarding the updated HATS record to the Code SB PSS.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
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6. PROCEDURE (continued)

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
7		In accordance with the content of the action-item response, if signature or written concurrence is required by an OSS Division Director or by OSS Front-Office Management, proceed to Step #8. If signature or written concurrence is required by <i>only</i> the Deputy Associate Administrator for Space Science, proceed to Step #10.
8	OSS Division Secretary OSS Front- Office Secretary Action Officer OSS Division Director OSS Front- Office Manage- ment Code SB PSS	The cognizant OSS Division Secretary, OSS Front-Office Secretary, or the Action Officer obtains a signed copy of the action-item response from the cognizant OSS Division Director or Front-Office Management and provides it to the Code SB PSS. The Code SB PSS then updates the HATS record.
9		If the action-item response also requires signature or written concurrence by the Deputy Associate Administrator for Space Science, proceed to Step #10. If not, proceed to Step #19.
10	Code SB PSS	For an action-item response that requires signature or concurrence by the Deputy Associate Administrator for Space Science or by Code A, the Code SB PSS performs a quality-control review of the action-item response in accordance with NPG 1450.10.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

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Subject: Code SB Processing of Action Items Issued to the Associate Administrator for Space Science via HATS

6. PROCEDURE (continued)

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
11		If the action-item response for Code A is of adequate quality, the Code SB PSS signs the quality-control portion of the associated "A" Package's Action Document Summary (ADS) [NHQ Form 117] (if applicable) and proceeds to Step #14. If not, proceed to Step #12.
12	Code SB PSS	The Code SB PSS returns the rejected action-item response to the cognizant Action Office.
13	OSS Division Secretary OSS Front-Office Secretary AO	In accordance with the nature of the required revision, the OSS Division Secretary, OSS Front-Office Secretary, or the Action Officer revises the action-item response to accommodate the issues identified by the Code SB Program Support Specialist and resubmits it for review at Step #10.
14	Code SB PSS	The Code SB PSS provides the action-item response to the Deputy Associate Administrator for Space Science (or designee) for signature or written concurrence. The Code SB PSS then updates the HATS record.
15	DAA	The Deputy Associate Administrator for Space Science (or designee) reviews the action-item response. In accordance with the content of the action-item response, the Deputy Associate Administrator for Space Science may choose to forward the action-item response to the Associate Administrator for Space Science for final approval.
16		If the Deputy Associate Administrator for Space Science (or designee) signs or concurs upon the action-item response, proceed to Step #19. If not, proceed to Step #17.
17	Code SB PSS	The Code SB PSS returns the rejected action-item response to the cognizant Action Office.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

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6. PROCEDURE *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
18	OSS Division Secretary OSS Front- Office Secretary Action Officer	In accordance with the nature of the reason for revising the action-item response, the OSS Division Secretary, OSS Front-Office Secretary, or the Action Officer revises the action-item response to resolve the issues identified by the Deputy Associate Administrator for Space Science (or designee) and resubmits it for review by the Code SB PSS at Step #10.
19		If the action-item response also requires signature or concurrence by Code A, proceed to Step #22. If not, proceed to Step #20.
20	OSS Division Secretary OSS Front- Office Secretary Action Officer	The cognizant OSS Division Secretary, OSS Front-Office Secretary, or the Action Officer transmits the approved action-item response to the requester.
21	Code SB PSS	The Code SB PSS closes-out the Code SB HATS record for the completed action-item response and ends the process.
22	Code SB PSS	In accordance with the content of the action-item response, HQOWI1450-C009, and NPG 1450.10, the Code SB PSS forwards either an action-item response document that has been signed and dated by Code S or an "A" Package to Code CIC for processing on behalf of Code A and then updates the HATS record. The action item is then closed in HATS by Code CIC.

[continued]

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Policy and Business Management Office [Code SB]

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Subject: Code SB Processing of Action Items Issued to the Associate Administrator for Space Science via HATS

6. PROCEDURE (continued)

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
22 <i>[concluded]</i>	Code SB PSS	If the action-item response relates to an action item from a Code AE quarterly meeting, the Code SB PSS hand-stamps the cover of the action-item response document with a blank "decision-indicator" block that allows Code AE to subsequently annotate it as "approved" or "disapproved." The Code SB PSS updates the HATS record and sends the action-item response to Code CIC for processing on behalf of Code AE. Code CIC provides the action-item response to Code AE. Code AE determines whether the action-item response is "approved" or "disapproved" and marks this decision in the pre-stamped block on the cover of the action-item response document. The results of this action are provided to Code CIC, which enters this information in the Code CIC HATS Progress Notes for the action item. The Code SB PSS is automatically notified via E-mail of the information contained in the updated Progress Notes.
23		If the action-item response is accepted by Code CIC or Code A (in accordance with the nature of the response), end the process. If not, proceed to Step #24.
24	Code SB PSS	The Code SB PSS returns the rejected action-item response to the cognizant Action Office.
25	OSS Division Secretary OSS Front- Office Secretary Action Officer	In accordance with the nature of the reason for revising the action-item response, the OSS Division Secretary, OSS Front-Office Secretary, or the Action Officer revises the action-item response to resolve the issues identified by Code CIC or Code A.
26	Code SB PSS	The Code SB PSS performs a quality-control review of the revised action-item response and then repeats the cycle at Step #22.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
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Subject: Code SB Processing of Action Items Issued to the Associate Administrator for Space Science via HATS

6. PROCEDURE *(concluded)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
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[This process concludes when an action-item response has been completed and approved and its final status has been entered into the HATS record.]

7. QUALITY RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
Updated HATS Record	Code SB PSS	HATS server	Electronic	Schedule 1, Item 78C	Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.
Open/Overdue Action Status	Code SB PSS	HATS server	Electronic	Schedule 1, Item 78C	Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.

[NOTE #1: These "quality records" are identified in Section 5 ("Flowchart") of this OWI via bold-text titles and shadowing of the border of their symbols.]

[NOTE #2: In accordance with NPG 1441.1 NASA Records Retention Schedules, "... installations' office of primary responsibility will maintain one official record copy ...; reference copies may be maintained for related work". Therefore, the "Retention" and "Disposition" aspects of quality records apply only to the one official record copy of each quality record.]