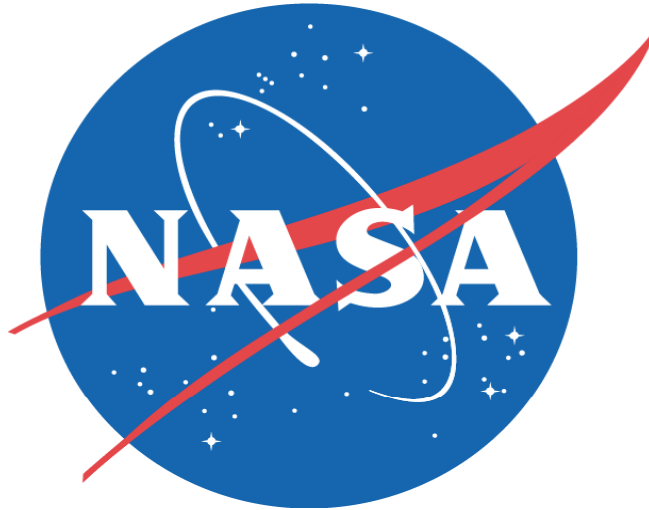


Responsible Office: NASA Headquarters Science Mission Directorate (SMD)

Subject: Performance Planning



**NASA Headquarters
Science Mission Directorate**

Office Work Instruction

Performance Planning

Approved by (Original signed by Christopher J. Scolese) Date: (5/4/2004)
Christopher J. Scolese
Deputy Associate Administrator for the Science Mission Directorate

Responsible Office: NASA Headquarters Science Mission Directorate (SMD)

Subject: Performance Planning**DOCUMENT HISTORY LOG**

STATUS (BASELINE/ REVISION/ CANCELED)	DOCUMENT REVISION	EFFECTIVE DATE	DESCRIPTION
Baseline		02/01/1999	<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 #279, #293, #296, #302, #311, #312, #315, #317, and #321 from the NASA HQ ISO-9001 Pre-Assessment audit.
Revision	B	11/16/1999	<ul style="list-style-type: none"> Clarifies references to "Performance Plan Indicators (PPI's)" vis-a-vis "Performance Plan Targets (PPT's)". Changes all references to "Education and Public Outreach (EPO)" to become "Education and Outreach (E&O)". Modifies process description in Section #6, Step 6.2 to clarify "review" and "approval" activities. Revises set of "quality record" and "non-quality record" output products in Section 6 and Section 7. Incorporates recent terminology and format standardization.
Revision	C	10/26/2001	<ul style="list-style-type: none"> Incorporates impact of SMD reorganization (effective 07/01/2001). Clarifies SSE E&PO involvement in SSE performance-planning process. Incorporates new title of HCP3410-4B into Section 4. Incorporates url's for referenced documents into Section 4. Incorporates process modifications identified by new Process Owner into Section 5 and Section 6. Clarifies specific functional roles of Action Officers in Section 5 and Section 6. Updates quality-record information in Section 7. Revises "footer" to indicate both "internal" and "external" web sites for NASA HQ ISO 9001 Documentation Master List.
Revision	D	5/ 4/2004	<ul style="list-style-type: none"> Updates document to address changes in the Office of the Chief Financial Officer and SSE performance planning processes.

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1. PURPOSE

The purpose of this Office Work Instruction (OWI) is to define the process by which the Science Mission Directorate (SMD) develops and documents Space Science Enterprise (SSE) Annual Performance Goals (APGs) in accordance with the NASA annual fiscal-year budget process. The APGs are subsequently provided to Code B for incorporation into the NASA Performance Plan required by the Government Performance and Results Act (GPRA) of 1993.

2. SCOPE AND APPLICABILITY

- 2.1 Preparation of the SSE APGs is the responsibility of an SMD Code SP Program Analyst, based upon information obtained from program and project offices at the NASA Centers and/or cognizant Program Executives, and the Directors and Program Scientists from Code SE, Code SM, Code SS, and Code SZ, with coordinating support from the Strategic and International Planning Director (SIPD).

3. DEFINITIONS

- 3.1 AA. Associate Administrator for the Science Mission Directorate.
- 3.2 APG. Annual Performance Goal.
- 3.3 Code B. NASA Headquarters Office of the Chief Financial Officer.
- 3.4 Code SE. SMD Solar System Exploration Division.
- 3.5 Code SM. SMD Mars Exploration Program Office.
- 3.6 Code SP. SMD Resources Management Division.
- 3.7 Code SS. SMD Sun-Earth Connection Division.

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- 3.8 Code SZ. SMD Astronomy and Physics Division.
- 3.9 GPRA. Government Performance and Results Act.
- 3.10 OMB. Office of Management and Budget (within the Executive Office of the President of the United States).
- 3.11 SMD. NASA Headquarters Science Mission Directorate.
- 3.12.1 Research and Analysis (R&A). Programs that fund supporting scientific research such as instrumentation, theory, and data analysis.
- 3.13 SIPD. SMD Strategic and International Planning Director.
- 3.14 SSE. NASA Space Science Enterprise.

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]
- 4.3 HCP1280-2 Corrective and Preventive Action
[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]
- 4.5 HCP3410-4 Quality System Training
[http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP3410-4.html]
- 4.6 HQPC1150.1 NASA Headquarters Quality Council Policy Charter
[<http://nodis.gsfc.nasa.gov/Library/Directives/HQ/>]

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- 4.7 HQSM1200-1 NASA Headquarters Quality System Manual
[http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HQSM1200-1.html]
- 4.8 NPD 1000.1 NASA Strategic Plan
[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___]
- 4.9 NPD 8730.3 NASA Quality Management System Policy (ISO 9000)
[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=8___]
- 4.10 NPR 1000.2 NASA Strategic Management Handbook
[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___]
- 4.11 NPR 1000.3 The NASA Organization
[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___]
- 4.12 NPR 1441.1 NASA Records Retention Schedules (NRRS)
[http://nodis.hq.nasa.gov/Library/Directives/NASA-WIDE/Procedures/Organization_and_Administration/contents.html]
- 4.13 Government Performance Results Act (GPRA) of 1993

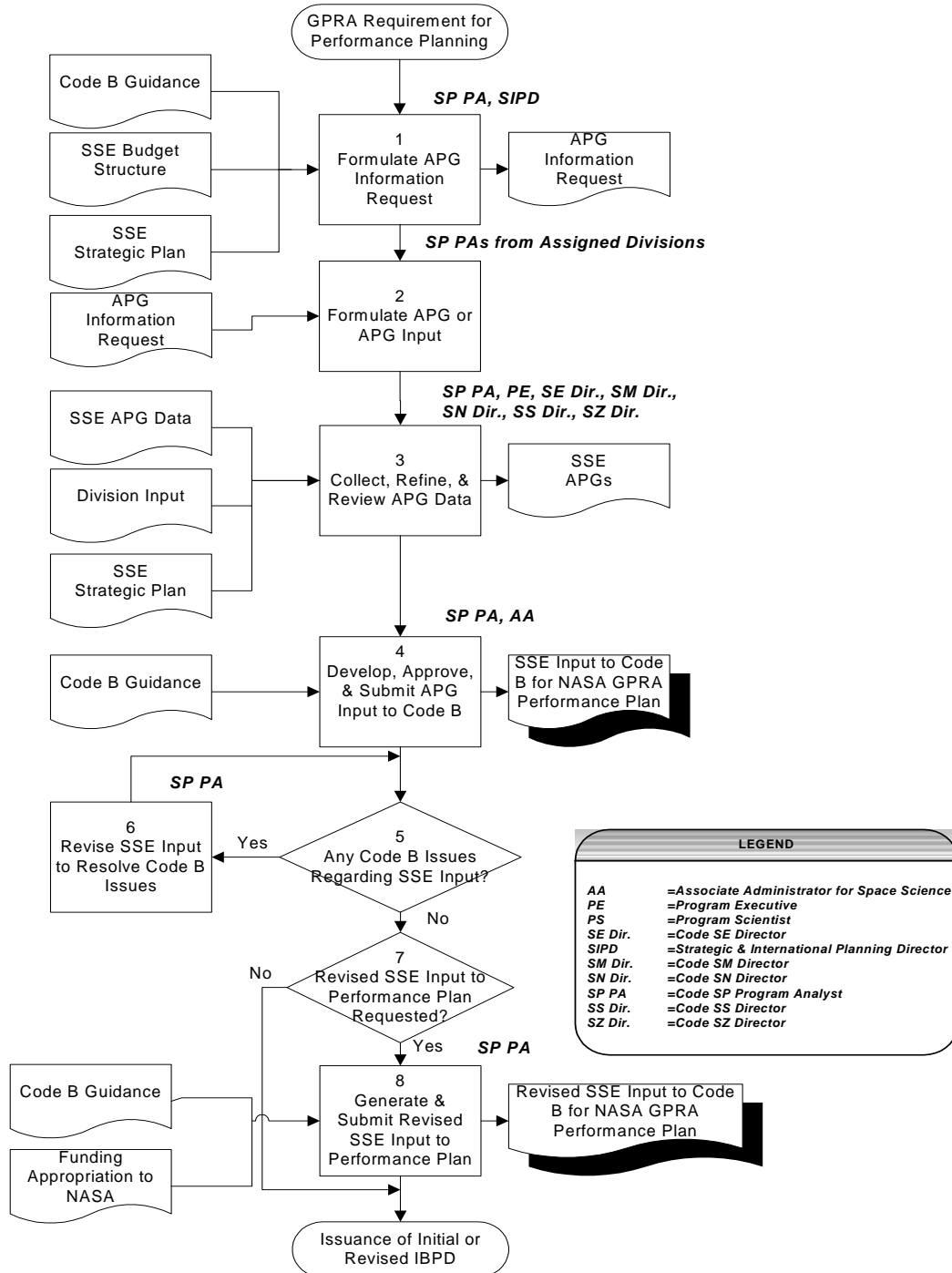
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5. FLOWCHART

[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.]



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Subject: Performance Planning**6. PROCEDURE**

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
1	Code SP Program Analyst SIPD	In accordance with NASA-level guidance received from Code B, the current SSE budget structure, and the current SSE Strategic Plan and in consultation with the SIPD, the Code SP Program Analyst formulates an APG information request. Most APGs are events in SMD-budgeted programs and projects that are scheduled to occur during the fiscal year of the SMD/SSE budget in development. Not all budget elements can be represented by discrete events; some programs (such as R&A, data analysis, and some basic-technology research programs) are evaluated at the conclusion of the fiscal year by a retrospective assessment process. These are explicitly identified and excluded from the request for event-based APGs.
2	Code SP Program Analysts from Assigned Divisions	The Code SP Program Analysts work with their assigned divisions to develop APGs or APG input in response to the APG information request. The Code SP Program Analysts then submit the APGs or APG input to the Code SP GPRA Program Analyst for review.
3	Code SP Program Analyst Program Executives Code SE Director Code SM Director Code SP Director Code SS Director Code SZ Director	<p>The Code SP Program Analyst receives proposed APGs from other Code SP Program Analysts and refines these inputs into APGs. The Code SP Program Analysts review them with the cognizant Program Executives in Code SE, Code SM, Code SS, and Code SZ and, if deemed in their judgment necessary, the Division Directors.</p> <p>As the SMD/SSE budget proposal matures, the Code SP Program Analyst checks the collected APGs for continued alignment with the budget. The objective is to produce a representative set of clearly-verifiable milestone accomplishments selected by the Director of Code SP and the Code SP Program Analyst (i.e., the objective is not to develop an exhaustive statusing framework for each individual project, but rather a representative means to assess the integrated condition of the SSE at the end of the fiscal year). As a component of the budget proposal, the APGs may be included in the budget embargo.</p>

Responsible Office: NASA Headquarters Science Mission Directorate (SMD)

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<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
4	Code SP Program Analyst AA	The GPRA requires federal agencies to submit a formal performance plan with their budget submissions for each fiscal year. Responding to Code B guidance, the Code SP Program Analyst formats the APGs for incorporation into the NASA GPRA Performance Plan. The Program Analyst includes in this format additional APGs taken directly from the research focus areas in the SMD Strategic Plan. The Code SP Program Analyst or Division Director then forwards the SSE GPRA Performance Plan input to Code B.
5		If Code B notifies the Code SP Program Analyst of issues it has regarding the SSE input, proceed to Step #6. If not, proceed to Step #7.
6	Code SP Program Analyst	If necessary, the Code SP Program Analyst revises the SSE input to resolve the issues raised by Code B and resubmits the revised SSE input to the NASA GPRA Performance Plan to Code B at Step #5.
7		If the SSE initial input to the NASA GPRA Performance Plan or APGs needs to be revised (eg, in response to any OMB adjustments and comments or the Congressional funding appropriation), proceed to Step #8. If not, the process ends.
8	Code SP Program Analyst	In accordance with guidance from the cognizant Code B analyst, the Code SP Program Analyst reviews any OMB adjustments and comments and, subsequently, NASA's Congressional funding appropriation for impacts to the SSE APGs. The Code SP Program Analyst consults with other Code SP Program Analysts, Code S Program Executives, and/or the Directors of Codes SE, SM, SS, and SZ to determine what, if any, changes are required. The Code SP Program Analyst submits any modifications to the SSE input to the NASA GPRA Performance Plan or APGs to Code B.

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RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPR 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
SSE Input to the Office of the Chief Financial Officer for NASA GPRA Performance Plan	Code SP Program Analyst	Code SP Program Analyst's office	Hardcopy	Schedule 1, Item 79B	Destroy when 2 years old.
Revised SSE Input to the Office of the Chief Financial Officer for NASA GPRA Performance Plan	Code SP Program Analyst	Code SP Program Analyst's office	Hardcopy	Schedule 1, Item 79B	Destroy when 2 years old.

[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 NPR 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.]