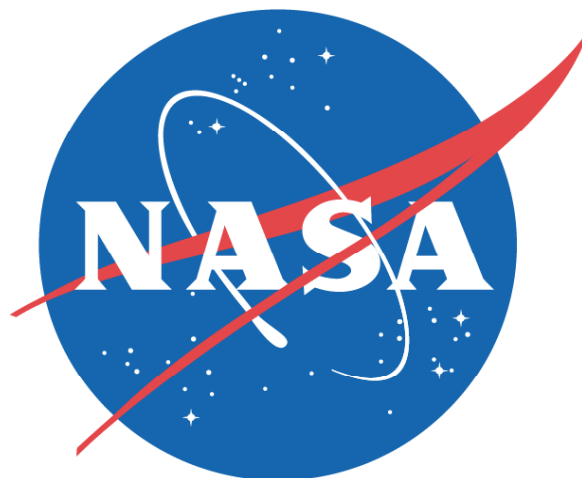


Responsible Office: NASA Headquarters Science Mission Directorate (SMD)

Subject: Performance Assessment and Reporting



**NASA Headquarters
Science Mission Directorate (SMD)**

Office Work Instruction

Performance Assessment and Reporting

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

Responsible Office: NASA Headquarters Science Mission Directorate (SMD)

Subject: Performance Assessment and Reporting**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"> Changes all references to "Education and Public Outreach (EPO)" to become "Education and Outreach (E&O)". Modifies process description in Section 6, Steps #6.4 and #6.6 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	12/18/2001	<ul style="list-style-type: none"> Incorporates impact of SMD reorganization (effective 07/01/2001). Clarifies SSE E&PO involvement in SSE performance assessment and reporting process. Clarifies in Section 2 and Section 6 that "independent assessment evaluators" are non-NASA personnel. 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. Revises "footer" to indicate both "internal" and "external" web sites for NASA HQ ISO 9001 Documentation Master List.
Revision	D	May 5, 2004	<ul style="list-style-type: none"> Updates document to address changes in the Office of the Chief Financial Officer and SSE performance assessment and reporting processes.

Responsible Office: NASA Headquarters Science Mission Directorate (SMD)

Subject: Performance Assessment and Reporting**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 Science Enterprise (SSE) Performance Report Data (PRD). The SSE PRD are subsequently incorporated into the NASA Performance Report as required by the Government Performance Results Act (GPRA) of 1993.

2. SCOPE AND APPLICABILITY

- 2.1 Preparation of the SSE PRD is the responsibility of the SMD Headquarters science, flight, and technology program management, based upon information obtained from program and project offices at the NASA Centers and independent (i.e., non-NASA) assessment evaluators. Coordination is provided by the respective SP Program Analyst, with guidance 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.
- 3.2 NASA Headquarters Office of the Chief Financial Officer (CFO).
- 3.3 Code SE. SMD Solar System Exploration Division.
- 3.4 Code SM. SMD Mars Exploration Program Office.
- 3.5 Code SP. SMD Resources Management Division.
- 3.6 Code SS. SMD Sun-Earth Connection Division.
- 3.7 Code SZ. SMD Astronomy and Physics Division.
- 3.9 GPRA. Government Performance Results Act.
- 3.10 SMD. NASA Headquarters Science Mission Directorate.
- 3.11 SIPD. SMD Strategic and International Planning Director.
- 3.12 SSE. NASA Space Science Enterprise.

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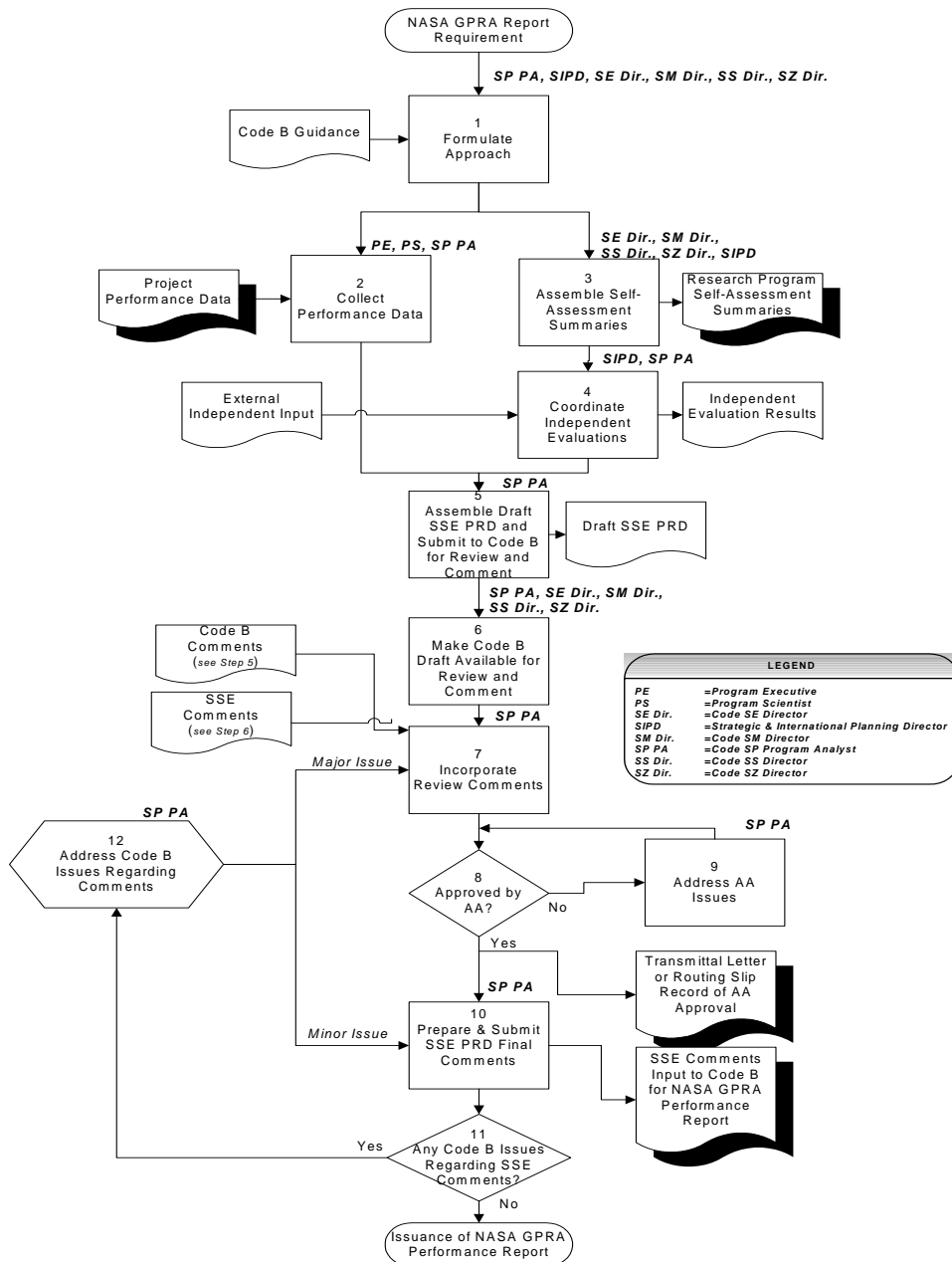
4. REFERENCES

- 4.1 NPR 1441.1 NASA Records Retention Schedules (NRRS)
[\[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___)
- 4.2 Government Performance Results Act (GPRA) of 1993

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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6. PROCEDURE

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
1	Code SP Program Analyst SIPD Code SE Director Code SM Director Code SS Director Code SZ Director	The Code SP Program Analyst formulates an approach for development of SSE Performance Report Data (PRD), based upon NASA-level guidance received from Chief Financial Officer. The NASA GPRA Performance Report is aligned with the components of the NASA GPRA Performance Plan. The SIPD develops a detailed methodology for assessing the status of the research programs. This methodology is then implemented by the Directors of Codes SE, SM, SS, and SZ (or their designees). Because of the long time lag associated with negotiating arrangements with volunteer independent (i.e., non-NASA) evaluators, preparatory actions need to be taken in this area well in advance of the close of the current fiscal year.
2	Program Executives Program Scientists Code SP Program Analyst	The SMD Program Executives and Program Scientists collect and validate project-performance data for fiscal-year APGs from program and project reports and provide these data to the Code SP Program Analyst for integration and analysis.
3	Code SE Director Code SM Director Code SS Director Code SZ Director SIPD	Because SSE research programs are not susceptible to progress measurement by means of key-event milestones, they are subjected to a self-assessment, which in turn is independently evaluated. Self-assessment summaries of SSE research programs are assembled by the Directors of Codes SE, SM, SS, and SZ (or their designees). The SIPD coordinates the self-assessment process.

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Subject: Performance Assessment and Reporting**6. PROCEDURE** *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
4	SIPD Code SP Program Analyst	The SIPD provides the information assembled in Step #3 to the independent evaluators, coordinates their review of it, and facilitates clarification of issues. The SIPD receives the inputs from the independent evaluators and forwards this information to the Code SP Program Analyst.
5	Code SP Program Analyst	The Code SP Program Analyst integrates the project-performance data (from Step #2) with the independent evaluators' performance assessments (from Step #4) to assemble the draft SSE Performance Report Data (PRD), and submits this to Code B in accordance with the Code B guidance letter received in Step #1. <i>[NOTE: In order to comply with deadlines levied by Code B in its guidance received at Step #1, the Code SP Program Analyst may need to submit a <u>preliminary</u> version of the draft SSE PRD: (1) pending receipt of information from the independent evaluators, based upon the schedules and availability of these non-NASA experts and (2) pending end of fiscal year check. If inputs from the independent evaluators become available or end of fiscal year data change after the initial SMD submission of the draft SSE PRD to Code B, the Code SP Program Analyst then compiles an updated version and submits it to Code B.]</i>
6	Code SP Program Analyst Code SE Director Code SM Director Code SS Director Code SZ Director	The Code SP Program Analyst circulates the Code B draft report to the Directors of Codes SE, SM, SS, and SZ for comment.

Responsible Office: NASA Headquarters Science Mission Directorate (SMD)

Subject: Performance Assessment and Reporting**6. PROCEDURE** *(concluded)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
7	Code SP Program Analyst	The Code SP Program Analyst resolves any issues resulting from the review comments from Steps #5 (Code B comments) and/or #6 (SSE comments) and submits it to the Associate Administrator for the Science Mission Directorate.
8		If the Associate Administrator for Science Mission Directorate approves the draft (with any comments) via signature on its Transmittal Letter or routing slip, the Code SP Program Analyst proceeds to Step #10. If the SSE PRD is not approved, the program analyst then proceeds to Step #9.
9	SP PA	If the SSE PRD is not approved, the Code SP Program Analyst resolves issues identified by the Associate Administrator for the Science Mission Directorate. The program analyst then returns to Step #8.
10	Code SP Program Analyst	The Code SP Program Analyst prepares the final SSE comments and submits them to Code B.
11		If Code B notifies the Code SP Program Analyst of issues it has regarding the SSE submission, the Code SP Program Analyst proceeds to Step #12. If not, the process is finished.
12	Code SP Program Analyst	The Code SP Program Analyst reviews any issues raised by Code B, exercises his/her professional judgment to determine whether and how to revise it, and provides the results of this activity to Code B. If the issue is major, the program analyst returns to Step #7. If the issue is minor, the program analyst returns to Step #10. This determination is made based on the professional judgment and experience of the Code SP Program Analyst.

Responsible Office: NASA Headquarters Science Mission Directorate (SMD)

Subject: Performance Assessment and Reporting**7. QUALITY RECORDS**

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPR 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
Project Performance Data	Code SP Program Analyst	Code SP Program Analyst's office	Hardcopy	Schedule 1, Item 79B	Destroy when 2 years old.
Research Program Self-Assessment Summaries	Code SP Program Analyst	Code SP Program Analyst's office	Hardcopy	Schedule 1, Item 79B	Destroy when 2 years old.
Transmittal Letter or Routing Slip Record of AA Approval of SSE PRD Input to Code B	Code SP Program Analyst	Code SP Program Analyst's office	Hardcopy	Schedule 1, Item 79B	Destroy when 2 years old.
SSE Comments Input to Code B for NASA GPRA Performance Report	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.]