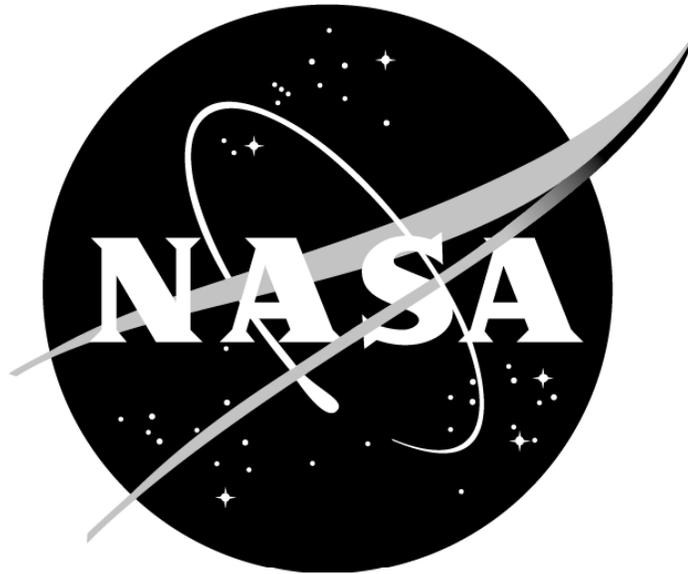


Responsible Office: Code H/ Office of Procurement
Subject: Develop and Implement Initiatives



Office of Procurement

Office Work Instruction

Develop and Implement Initiatives

Original Approved by: Thomas S. Luedtke
Associate Administrator for Procurement

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DOCUMENT HISTORY LOG

<u>Status</u> (<u>Baseline/</u> <u>Revision/</u> <u>Canceled</u>)	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline		01/10/00	
Revision	A	04/10/00	Modified flowcharts and text to enhance clarity (non-substantive changes).

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1.0 Purpose

To define the procedure by which Headquarters Office of Procurement employees develop and implement procurement and financial assistance initiatives.

2.0 Scope and Applicability

The Associate Administrator for Procurement is responsible for ensuring effective NASA-wide performance of the procurement/financial assistance function. This OWI addresses initiatives intended to improve the efficiency or effectiveness of the procurement and/or the financial assistance function.

This OWI applies to all initiatives identified by the Associate Administrator for Procurement, or the Deputy Associate Administrator for Procurement, regardless of whether they can be implemented independently by Code H or require external review and concurrence in accordance with NPG 1000.2, the NASA Strategic Management Handbook.

3.0 Definitions

- 3.1 Initiative. An activity designed to improve the efficiency and/or the effectiveness of the procurement or financial assistance function; implement a specific element of a functional leadership plan; or respond to external direction or request. External direction includes a statutory requirement; an external mandate; or NASA Administrator direction. An external request may come from an Enterprise or Functional Office, one or more NASA Centers, industry or academia. An initiative may also arise at the discretion of the AA/DAA as part of his/her responsibility to ensure effective NASA-wide performance of the procurement and financial assistance function. An initiative is generally “project-like,” has a finite life cycle, and is non-recurring. Most initiatives undertaken by Code H are intended to enhance rather than significantly alter the operation of the procurement function, represent incremental improvements in the function rather than major new efforts, and have little or no impact on organizations outside procurement. An initiative is within the authority of the AA/DAA to implement unless it is a Functional Initiative.
- 3.2 Functional Initiative. A functional initiative is an activity normally proposed and developed by a functional office to implement its functional leadership plan. It has the features outlined in 3.1 above except it could also significantly impact other offices or Agency resources. It may have a significant schedule or resource impact (people, funding, or facilities), represent a significant policy change, or be controversial. The interpretation of “significant” is a judgment call determined by Code H, the IPOs, or the AIB. This type of Code H initiative must comply with the

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review and concurrence requirements of NPG 1000.2 prior to implementation.

3.3

Acronyms

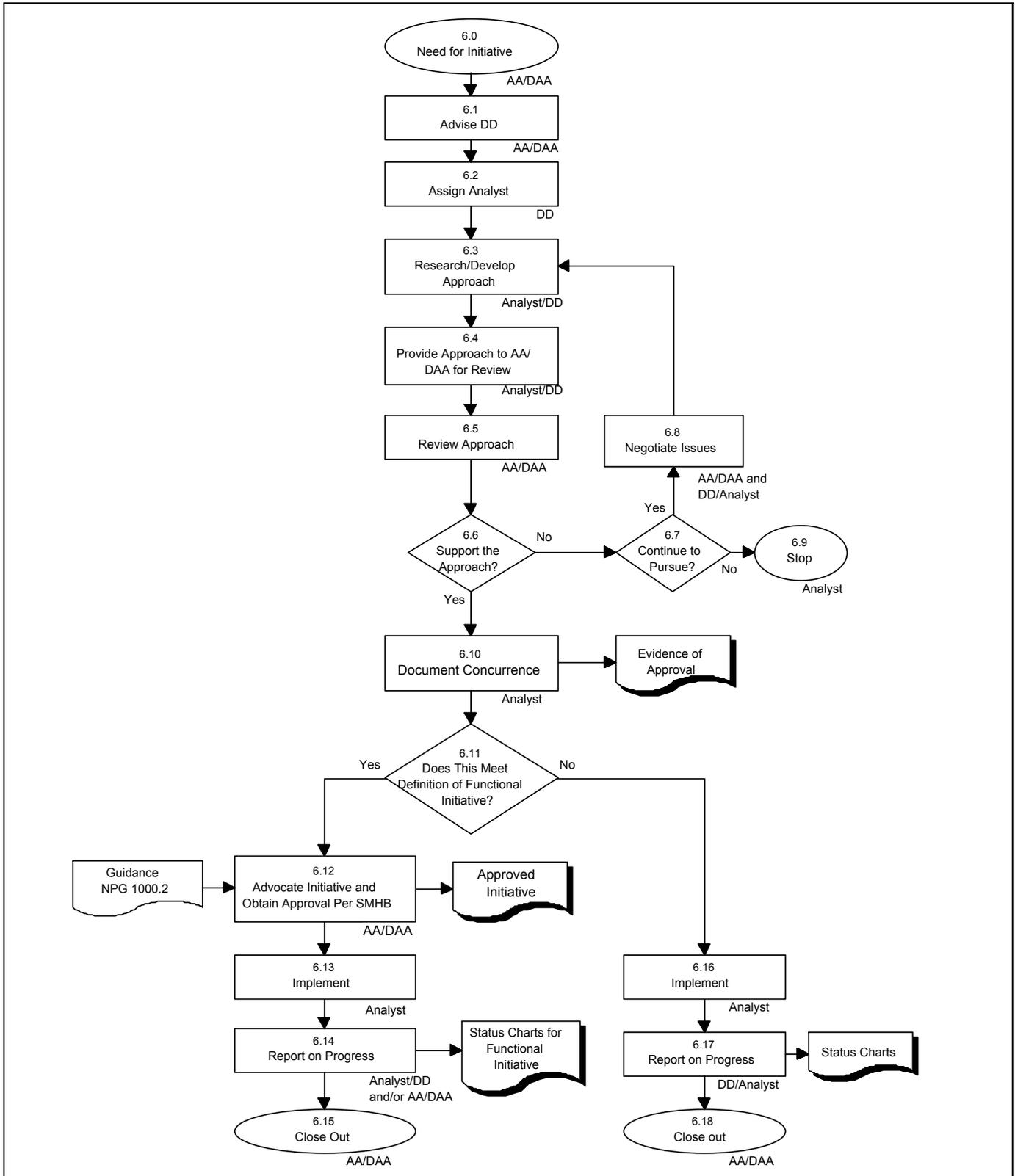
AA	Associate Administrator
DAA	Deputy Associate Administrator
DD	Division Director
FAR	Federal Acquisition Regulation
NFS	NASA FAR Supplement
OFPP	Office of Federal Procurement Policy
FLP	Functional Leadership Plan
IPO	Institutional Program Office
AIB	Administrative Issues Board
PCA	Program Commitment Agreement
CIC	Capital Investment Council
PMC	Program Management Council

4.0 References

- 4.1 NPG 1000.2, NASA Strategic Management Handbook, <http://nodis.hq.nasa.gov>
- 4.2 FAR, <http://www.arnet.gov/far/>
- 4.3 NFS, <http://www.hq.nasa.gov/office/procurement/regs/nfstoc.htm>
- 4.4 OFPP Policy Letters, <http://www.arnet.gov/Library/OFPP/PolicyLetters/>
- 4.5 NPG 7120.5, NASA Program and Project Management Processes and Requirements, <http://nodis.hq.nasa.gov>

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5.0 Flowchart



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6.0 Procedure

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.0	AA, DAA	Determine that an initiative is needed. The AA may decide an initiative is needed for a variety of reasons. Among them are: to improve the efficiency or effectiveness of one or more elements of the procurement or financial assistance function; to implement a specific element of the Code H functional leadership plan; to respond to external direction.
6.1	AA/DAA	Decide which division should work the initiative and advise the DD of the need for, and intended benefit of, the initiative.
6.2	DD	Assign the initiative project to an analyst.
6.3	Analyst/DD	Based on information provided as to need and intended result, conduct research and develop a proposed approach to meet the objectives of the initiative. The degree and type of research conducted depends primarily on the nature of the initiative and specific direction from the DD. Activities may include researching potential OFPP policy letters, FAR, NFS, and/or other Government-wide policy documents for regulatory or policy constraints; canvassing other Federal agencies; or reviewing web sites for information on how others may have dealt with the issue. May also consult with other Code H divisions whose responsibilities touch on the subject matter. In addition, may consult with other organizations that might be affected by the initiative for ideas, concerns, support. These include Enterprises or functional offices, one or more Centers, and/or representatives from private industry. If the method of implementation is discretionary (i.e., not mandated by law or external direction), take into consideration the time, effort, and resources that would be required to implement. During this phase, analyst may discuss with DD what he/she has learned and may seek additional advice or direction. Based on information gathered and his/her judgment, analyst develops an approach to implement the objectives of the initiative.
6.4	Analyst/DD	Explain proposed approach to the AA or DAA. This may be accomplished in a meeting between the analyst, the DD (at the discretion of the DD), and the AA/DAA or as part of the DD's periodic status reviews with the AA/DAA. It may also be accomplished by means of a written memorandum to the AA/DAA.
6.5	AA/DAA	Review for soundness of approach and responsiveness to objectives based on need for, and intended benefit, identified in Step 6.1.
6.6	AA/DAA	Decide whether to support the proposed approach to implementing the initiative. If AA/DAA does not support approach, proceed to Step 6.7. If AA/DAA supports the approach, proceed to Step 6.10. Evidence of the AA/DAA's support for the approach may be his/her initials on a memorandum or other document which describes the approach, an e-mail confirmation as the result of a meeting, or any other written evidence.
6.7	AA/DAA	Decide whether to continue to pursue the initiative. If the AA/DAA does not support the approach but elects to continue to pursue the initiative, proceed to Step 6.8. If the AA/DAA does not support the approach and does not want to pursue the initiative any further, proceed to Step 6.9.
6.8	AA/DAA & Analyst/DD	Identify the issues that resulted in the AA/DAA's failure to support the approach. Negotiate what additional research may be necessary, changes made, or alternative methodology employed to secure the support of the AA/DAA. This activity may be accomplished directly between the AA and/or DAA and analyst

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<u>Step</u>	<u>Actionee</u>	<u>Action</u>
		and/or DD.
6. 9	Analyst	Cease any further work at the direction of the AA/DAA.
6.10	Analyst	Document concurrence.
6.11	AA/DAA	Determine whether the initiative constitutes a functional initiative pursuant to criteria in NPG 1000.2 requiring review/concurrence outside Code H.
6.12	AA/DAA	If the initiative constitutes a Functional Initiative, follow the guidance in NPG 1000.2.
6.13	Analyst	Upon receipt of responses and/or resolution of any issues, implement initiative.
6.14	DD/Analyst or AA/DAA	DD report on progress via status charts presented to the AA/DAA during regularly scheduled status reviews. Analyst may also brief AA/DAA periodically as AA/DAA requests, or when analyst considers appropriate; e.g., when a significant milestone has been reached or potential problems are identified. Status charts contain the following information: title of initiative; analyst name; objective; status; major milestones with original, revised, and actual completion dates. Major milestones include AA/DAA's approval of approach and ultimately AA/DAA's agreement that the initiative is closed. If specific monitoring requirements result from the NPG 1000.2 process, they will be identified on the status chart provided to the AA/DAA, and further distributed as required by the NPG 1000.2 process.
6.15	AA/DAA	Initiatives that have a finite life cycle generally have a readily identified conclusion. In other cases, however, the closeout date may not be readily apparent; e.g., in the case of a new policy that is intended to become permanent. In this instance, the initiative may be considered closed when NFS coverage has been published; when Center training in the new policy has been accomplished; or when Code H is satisfied that the new policy is being adequately and correctly implemented by the Centers. For this reason, unless closeout is a date certain or a specified event, an initiative will not be considered closed without AA/DAA concurrence. AA/DAA concurrence will be annotated on the status chart.
6.16	Analyst	Consult with other Code H divisions whose responsibilities touch on the subject matter and other affected parties. Then, implement the initiative.
6.17	DD/Analyst	DD report on progress via status charts presented to the AA/DAA during regularly scheduled status reviews. Analyst may also brief AA/DAA periodically as AA/DAA requests, or when analyst considers appropriate; e.g., when a significant milestone has been reached or potential problems are identified. Status charts contain the following information: title of initiative; analyst name; objective; status; major milestones with original, revised, and actual completion dates. Major milestones include AA/DAA's approval of approach and AA/DAA's agreement that the initiative is closed. If the initiative involves unique monitoring requirements, these will also be identified on the status chart and the DD and/or analyst will include related status to the AA/DAA. Unique monitoring requirements may be imposed as part of an external entity's concurrence or approval of the initiative; e.g., a specific time frame or dollar threshold imposed by Congress or OFPP for conduct of a pilot program. Unique monitoring requirements may also be identified by the AA/DAA/DD.
6.18	AA/DAA	Initiatives that have a finite life cycle generally have a readily identified conclusion. In other cases, however, the close-out date may not be readily apparent; e.g., in the case of a new policy that is intended to become permanent. In this instance, the initiative may be considered closed when NFS coverage has

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<u>Step</u>	<u>Actionee</u>	<u>Action</u>
		been published; when Center training in the new policy has been accomplished; or when Code H is satisfied that the new policy is being adequately and correctly implemented by the Centers. For this reason, unless close-out is a date certain or a specified event, an initiative will not be considered closed without AA/DAA concurrence. AA/DAA concurrence will be annotated on the status chart.

7. Quality Records

Record Identification	Owner	Location	Record Media: Electronic Or Hard Copy	Schedule Number And Item Number (NPG 1441.1)	Retention/Disposition
Evidence of Approval	Analyst	Code H Division Files	Hardcopy	Schedule 5, Item 5A [5100]	Retain until reference value ceases; then destroy.
Approved Initiative	Analyst	Code H Division Files	Hardcopy	Schedule 5, Item 5A [5100]	Retain until reference value ceases; then destroy.
Status Charts for Functional Initiative	DD	DD Files	Hardcopy	Schedule 5, Item 5A [5100]	Retain until reference value ceases; then destroy.
Status Charts	DD	DD Files	Hardcopy	Schedule 5, Item 5A [5100]	Retain until reference value ceases; then destroy.