



NASA Headquarters
Washington, DC 2054

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September 10, 1999

Aero-Space Technology Strategic Enterprise (HQ/Code R)

Office Work Instruction

Program/Project Formulation and Approval

CHECK THE MASTER LIST at

<http://hqiso9000.hq.nasa.gov/>

VERIFY THAT THIS IS THE CORRECT VERSION BEFORE USE

September 10, 1999

Responsible Office: Code RP

Subject: Program/Project Formulation and Approval**DOCUMENT HISTORY LOG**

<u>Status</u> (<u>Draft/</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		1/29/1999	
Revision	A	4/28/1999	Changed heading of “Responsible Organization” column of paragraph 6 to read “Actionee” and revised column entries to better identify who has responsibility for executing each task. Revised paragraph 5 flowchart for record symbols to be consistent with quality record media. Revised paragraph 6 procedure text to better identify criteria for acceptable workmanship and formats of developed materials. Revised paragraph 5 flowchart to be consistent with “actionee” in paragraph 6 text. Revised paragraph 7 Quality Records table to eliminate dual media versions of quality records. Entries now specify only the medium of the controlled version of the quality record. Revised Quality Record table format to conform to revised HCP 1400-1. Revised retention/disposition times to conform with NPG 1441.
Revision	B	9/10/1999	Per Code R Corrective Action R/1999-00119, corrected Quality Record information for Executive Board (EB) minutes in section 7. Added definition of EO in section 3.

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1. **PURPOSE** To delineate the process and documentation for the formulation/reformulation and approval of Aero-Space Technology Strategic Enterprise (HQ/R) Programs and Projects.
2. **SCOPE and APPLICABILITY**
 - 2.1 The NASA Office of Aero-Space Technology (OAT) Programs Division (Code RP) will lead this process in order to maintain a portfolio of research based upon established OAT investment strategy. It will involve an ongoing cycle of solicitation, assessment and preparation of new initiatives for development of long-term, high-risk, high-payoff research and technology addressing those goals. The Goals Division (Code RG) will identify deficiencies in the current investment for which programs are required. In addition, recommended changes to existing Programs resulting from the Program Evaluation process (HQOWI-8000-R008A) may be subject to relevant portions of this OWI.
 - 2.2 This instruction applies to all organizational elements of the Office of Aero-Space Technology, NASA Headquarters.
3. **DEFINITIONS**

AA	Associate Administrator for Aero-Space Technology
DD	Cognizant Division Director, either the Director of RP or RW
EB	Executive Board. Enterprise group the Center Directors and.
EO	Executive Officer, an assignment within Code R.
NAR	Non-Advocate Review, defined in NPG 7120.5A.
PCA	Program Commitment Agreement, defined in NPG 7120.5A.

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PFA	Program Formulation Authorization. Enterprise document that provides level/scope of work, cost targets, and constraints used in the top level approval to initiate planning for investment of NASA R&D resources in support of its goals.
PMC	Program Management Council, defined in NPG 7120.5A.
Program	Consistent with NPG 7120.5 and NPD 7120.4A, a Program is an activity within the Enterprise having defined goals, objectives, requirements, funding, and consisting of one or more projects.
Project	Consistent with NPG 7120.5 and NPD 7120.4A, a Project is a significant activity within a Program with defined goals, objectives, requirements, and funding, a beginning and an end.
PRR	Program Readiness Review. Enterprise-led review to determine if the status of the proposed program/project is ready to proceed to detailed planning.

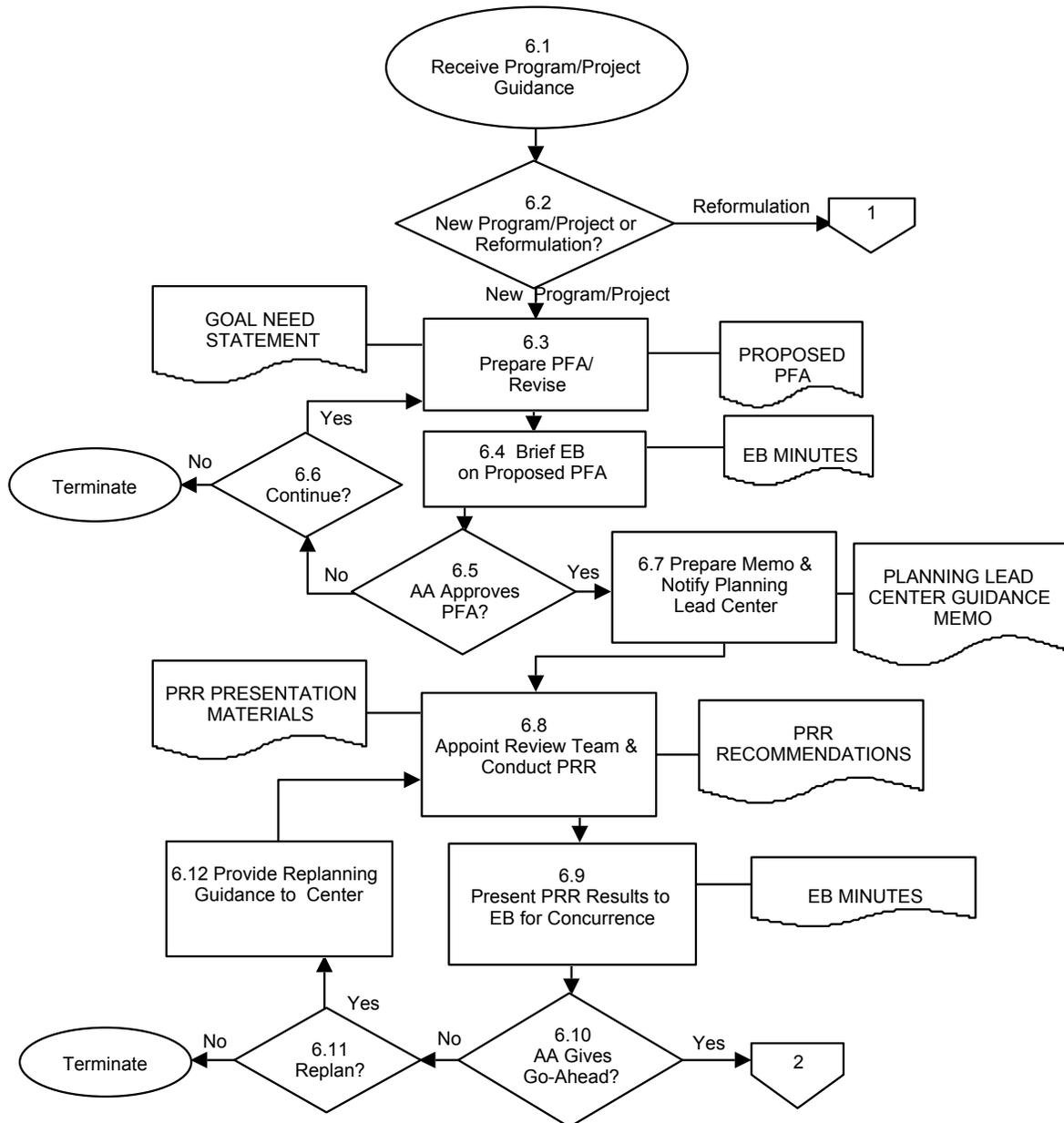
4. REFERENCE DOCUMENTS	NPD 1000.1	NASA Strategic Plan
	NPG 1000.2	NASA Strategic Management Handbook
	NPD 7120.4A	Program/Project Management
	NPG 7120.5A	NASA Program and Project Management Processes and Requirements

The correct version of the NPD, NPG documents cited above may be obtained from the NODIS Directives Library at <[http://nodis.hq.gov/ Library/processes.html](http://nodis.hq.gov/Library/processes.html)>

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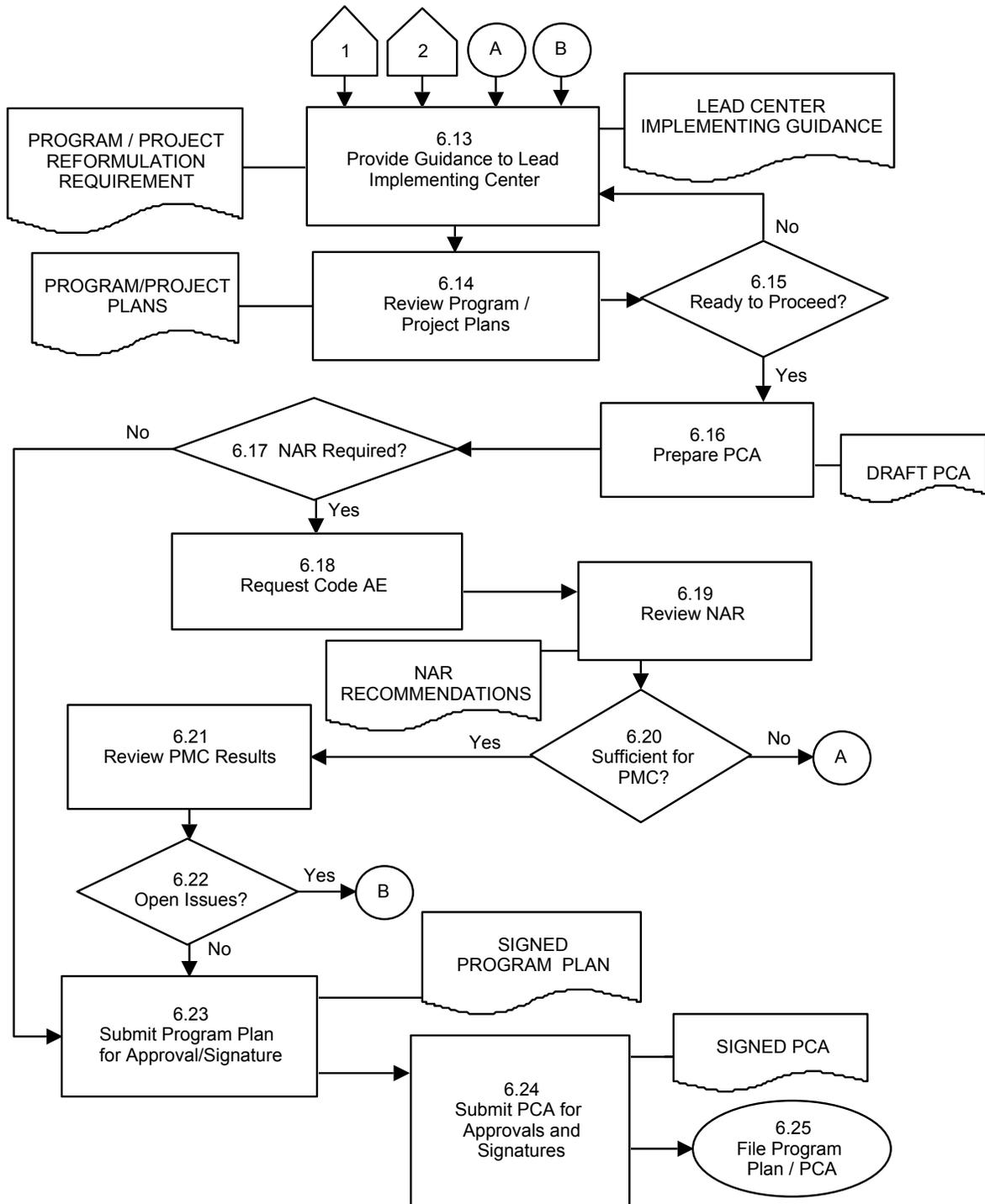
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5. FLOWCHART



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<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.1	RP/RW DD	The Directors of RP and RW receive guidance from the AA to formulate a new Program/Project, and/or to determine if an existing Program/Project needs reformulating
6.2	DD	If the division director decides an existing Program/Project needs reformulating, proceed to step 6.13. If the guidance is to formulate a new Program/Project, proceed to step 6.3.
6.3	DD	Prepare a PFA in accordance with the guidance received in Step 6.1, NPG 7120.5A, and Appendix A.
6.4	DD	Present PFA to the Enterprise Executive Board (EB). The recommendations of the EB are documented in Meeting Minutes.
6.5	AA	The AA will consider the EB recommendations and decide whether to approve/disapprove the PFA. If the AA approved the PFA, proceed to step 6.7, if not approved, proceed to step 6.6.
6.6	DD	If the PFA was not approved, follow the AA's decision guidance on whether to terminate the initiative or revise the PDS. If revision is needed, return to step 6.3.
6.7	DD/ AA	If the PFA was approved, prepare memo for AA signature directing the designated Center to initiate planning in accordance with the PFA. Obtain AA signature and distribute memo and the approved PFA.
6.8	DD	Appoint Review Team members and conduct a Program Readiness Review (PRR) in accordance with Appendix A. The Planning Lead Center will present to the review team.
6.9	DD/ AA	Present results of PRR to the EB. The AA will consider the EB recommendations and decide whether to proceed to detailed planning.
6.10	AA	If the AA makes the decision to proceed with detailed planning, proceed to step 6.13. If not, proceed to 6.11.
6.11	DD	If notice to proceed was not received, follow AA's guidance on whether to continue plan revision or to terminate the initiative. If revision was directed, proceed to step 6.12.

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| 6.12 | DD | Provide the AA's revision guidance to the Planning Lead Center. Also, plan for another PRR to the level directed by the AA. |
| 6.13 | DD | Once the DD has decided to reformulate an existing Program/Project, provide guidance that initiates detailed planning to the designated Lead Implementing Center. |
| 6.14 | Directors
of RB/ RG
RP/RS/
RW | Review plans developed by Lead Implementing Center for conformance to guidance initiating detailed planning. Provide the results of the reviews to the AA. |
| 6.15 | AA/DD | Based on Divisions' reviews, the AA issues a decision memorandum on whether the Program/Project is ready to proceed. If the decision is "no", Code RP returns action to the lead Center with revision guidance and repeat step 6.14. A "yes" determination triggers step 6.16. |
| 6.16 | DD | Prepare a Program Commitment Agreement (PCA) in accordance with NPD 7120.4A and NPG 7120.5A (see Appendix E. of NPG 7120.5A for the required PCA format). |
| 6.17 | DD | Using guidelines in NPD 7120.4A and NPG 7120.5A, determine if a Non-Advocate Review (NAR) is required. If a NAR is required, proceed to step 6.18. If NAR is not required, proceed to step 6.23. |
| 6.18 | AA | Proposed Program will undergo NAR in accordance with NPD 7120.4A and NPG 7120.5A. Submit request to Code AE for this review. |
| 6.19 | Directors
of RB/RG
RP/RS
RW | Review the results of the NAR to determine whether or not the program is sufficiently prepared for review by Headquarters Program Management Council (PMC). |
| 6.20 | AA | Based on results of divisions' review of the NAR results, the AA issues a decision memorandum if the proposal is strong enough to be presented to the PMC. If not, action returns to step 6.13 and additional guidance is given to the lead Center. If yes, submit action to the PMC. |

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| 6.21 | Directors
of RB/RG
RP/RS
RW | Review results of the PMC, resolve open issues (done by division directors) and get the proposed program ready for signature. The person with authority to sign the PFA is the person with authority to sign the proposed program. |
| 6.22 | DD | Based on Divisions' review/recommendations, decide if the program/project proposal is ready for signatures. If open issues remain, and further planning is required, return to step 6.13. |
| 6.23 | DD | Having achieved agreement among the AA and the proper parties to include Center Directors , submit Program Plan for approval and signature by the AA. The signed Program Plan is maintained by the cognizant division. |
| 6.24 | DD | DD at the direction of the AA submits the PCA for Agency PMC review. Obtain AA and Administrator's approval and signatures. The signed PCA is maintained by the cognizant division. |
| 6.25 | DD | The Program Plan and PCA are archived and maintained by the cognizant division. |

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<u>Record ID</u>	<u>Owner</u>	<u>Location</u>	<u>Media</u>	<u>Schedule Number and Item Number</u>	<u>Retention/ Disposition</u>
Approved Program Formulation Authorization and AA memorandum	RP	Code RP/RW Files	Hardcopy	Schedule 7, Item 5A3a	Retire To Federal Records Center (FRC) when 2 yrs old, or upon program completion (whichever is longer)
Executive Board Minutes (when they contain PRR and PFA discussion / decision)	EO	Code R Server	Electronic	Schedule 1, Item 14.b.1(a)	Retire to FRC when 2 yrs old
Program Plan	RP	Code RP/RW Files	Hardcopy	Schedule 7, Item 4A	Retire to FRC when 5 yrs old, or upon program completion (whichever is longer)
Program Commitment Agreement	RP	Code RPRW Files	Hardcopy	Schedule 7, Item 10A	Retire by fiscal year to FRC when no longer needed, or when record reaches 8 yrs old (whichever sooner)
PRR Presentation Materials and Recommendations	RP	Code RP Files	Electronic	Schedule 7, Item 5A3a	Retire to FRC when 2 yrs old
NAR Presentation Materials and Recommendations	AE	Code AE Files	Hardcopy	Schedule 7, Item 5A3a	Retire to FRC when 2 yrs old

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PMC Minutes (when they contain discussion and results concerning project/program formulation)	AE	Code AE Files	Hardcopy	Schedule 7, Item 5A3a	Retire to FRC when 2 yrs old
Planning Lead Center Guidance	RP	Code RP Files	Hardcopy	Schedule 7, Item 5A3a	Retire to FRC when 2 yrs old
Implementing Lead Center Guidance	RP	Code RP Files	Hardcopy	Schedule 7, Item 5A3a	Retire to FRC when 2 yrs old

Appendix A – Sample Program Formulation Authorization (PFA) with attached Appendix on Program Readiness Review (PRR).

The correct version of this sample may be obtained at
<http://ctd.hq.nasa.gov/iso900/astdocs/>