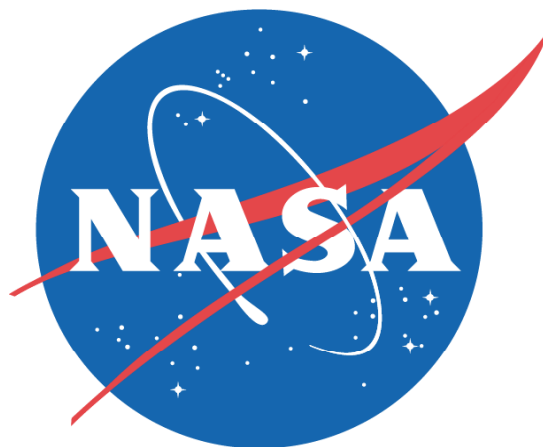


Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

**Subject: Program Plan Development**

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

Office Work Instruction

# Program Plan Development

Approved by: (Original signed by Christopher J. Scolese) Date: (06/05/2002)  
Christopher J. Scolese  
Deputy Associate Administrator for Space Science

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

**Subject: Program Plan Development****DOCUMENT HISTORY LOG**

<b>STATUS (BASELINE/ REVISION/ CANCELED)</b>	<b>DOCUMENT REVISION</b>	<b>EFFECTIVE DATE</b>	<b>DESCRIPTION</b>
Baseline		02/01/1999	<ul style="list-style-type: none"> <li>Initial "baseline" version of the OWI.</li> </ul>
Revision	A	05/10/1999	<ul style="list-style-type: none"> <li>Incorporates modifications responsive to NCRs #291, #293, #296, #298, #302, #311, #312, #315, #317, and #321 from the NASA HQ ISO-9001 Pre-Assessment audit.</li> </ul>
Revision	B	11/16/1999	<ul style="list-style-type: none"> <li>Incorporates modifications from OSS Process Owner into Section 2, Section 5, and Section 6.</li> <li>Clarifies "review" and "approval" activities in Section 6.</li> <li>Incorporates recent terminology and format standardization.</li> </ul>
Revision	C	06/05/2002	<ul style="list-style-type: none"> <li>Incorporates impact of OSS reorganization (effective 07/01/2001).</li> <li>Incorporates url's for referenced documents into Section 4.</li> <li>Incorporates process modifications identified by Process Owner into Section 5 and Section 6.</li> <li>Revises "footer" to indicate both "internal" and "external" web sites for NASA HQ ISO 9001 Documentation Master List.</li> </ul>

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**1. PURPOSE**

The purpose of this Office Work Instruction (OWI) is to define the process by which the Office of Space Science (OSS) initiates the development of a Program Plan and/or a Program-Level Requirements Appendix to the Program Plan.

**2. SCOPE AND APPLICABILITY**

2.1 This OWI is applicable to all OSS programs and projects identified by the OSS Executive Director for Programs and approved by Code AE and the NASA Program Management Council (PMC) to be subject to the requirements of NPG 7120.5. A Program Plan is required for all such OSS-identified programs. For programs that have more than one project under their management control, a Program-Level Requirements Appendix is required for each project identified by the OSS Executive Director for Programs to be subject to the requirements of NPG 7120.5.

2.2 A Program Plan or Program-Level Requirements Appendix is prepared during the “formulation” sub-process of a program or project and is signed by the Associate Administrator for Space Science or the cognizant OSS Division Director when the program or project receives approval from OSS to proceed to the “implementation” sub-process, as defined in Section 2.2 of NPG 7120.5 for a program and Section 3.2 of NPG 7120.5 for a project. Program Plans and Program-Level Requirements Appendices are generally not revised after signature. However, the Level 1 requirements may be modified (if required) and documented in a new Program Plan or Program-Level Requirements Appendix that is approved by the Associate Administrator for Space Science or the cognizant OSS Division Director. The content of a Program Plan is defined in Appendix E-3 of NPG 7120.5.

**3. DEFINITIONS**

3.1 AA. Associate Administrator for Space Science.

3.2 Code AE. Chief Engineer (within NASA Headquarters Office of the Administrator).

3.3 Code SE. OSS Solar System Exploration Division.

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**3. DEFINITIONS** *(continued)*

- 3.4 Code SM. OSS Mars Exploration Program Office.
- 3.5 Code SS. OSS Sun-Earth Connection Division.
- 3.6 Code SZ. OSS Astronomy and Physics Division.
- 3.7 Governing Program Management Councils (GPMC's). Forums composed of NASA Headquarters, NASA Center, and/or NASA Federally Funded Research and Development Center (FFRDC) Senior Management that assess program and project planning and implementation and provide oversight and direction. The determination of whether a cognizant Center's PMC, an Enterprise's PMC, or NASA's agency-wide PMC is "governing" for a specific program or project is made by the NASA agency-wide PMC.
- 3.8 OSS. NASA Headquarters Office of Space Science.
- 3.9 Program. An activity within an Enterprise having defined goals, objectives, requirements, and funding and consisting of one or more projects. It reports to the NASA PMC, unless delegated to a lower-level GPMC.
- 3.10 Program Executive. In accordance with delegation authority from the Associate Administrator for Space Science, responsible for: (a) providing program policy, strategy, and standards that support OSS goals and standards; (b) determining program objectives, goals, and requirements; (c) approving principal program documents; (d) allocating funds to ensure successful implementation of the program; and (e) assessing program performance.
- 3.11 Program-Level Requirements Appendix. The document that establishes the baseline for project implementation, including the Level 1 requirements as well as the agreements among the Program Executive, Program Scientist, cognizant OSS Division Director, Lead Center Director, implementing organization, and Program Manager. This document is an appendix to the Program Plan under whose management authority it reports at the NASA Center.
- 3.12 Program Management Council (PMC). The Senior Management group, chaired by the NASA Deputy Administrator, responsible for reviewing and recommending approval of proposed programs and overseeing their implementation according to NASA commitments, priorities, and policies.

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**3. DEFINITIONS** (*concluded*)

- 3.13 Program Manager. Responsible for establishing general technical and management guidelines for the program with emphasis upon the management processes to be followed, including implementation methods. These implementation methods include establishment of design, mission-assurance requirements, and assurance of sound management and engineering processes. Also responsible for monitoring program activities to assess technical progress.
- 3.14 Program Plan. The document that establishes the baseline for program implementation, including the Level 1 requirements as well as the agreements among the Program Executive, Program Scientist, Associate Administrator for Space Science, Lead Center Director, implementing organization, and Program Manager.
- 3.15 Program Scientist. In accordance with delegation authority from the Associate Administrator for Space Science, responsible for: (a) providing science policy, strategy, and standards that support OSS goals and standards; (b) determining science objectives, goals, and requirements; (c) approving principal program documents; (d) providing science leadership for the program; and (e) assessing science performance.
- 3.16 Project. An activity designated by a program and characterized as having defined goals, objectives, requirements, life-cycle costs, a beginning, and an end.
- 3.17 Project Manager. Responsible for meeting the commitments of an individual project (e.g., performance, cost, and schedule) and for following the program-level technical and management guidance established by the Program Manager.

**4. REFERENCES**

- 4.1 NPG 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 NPG 7120.5 Program and Project Management Processes and Requirements  
[[http://nodis3.gsfc.nasa.gov/library/lib\\_docs.cfm?range=7](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=7)]

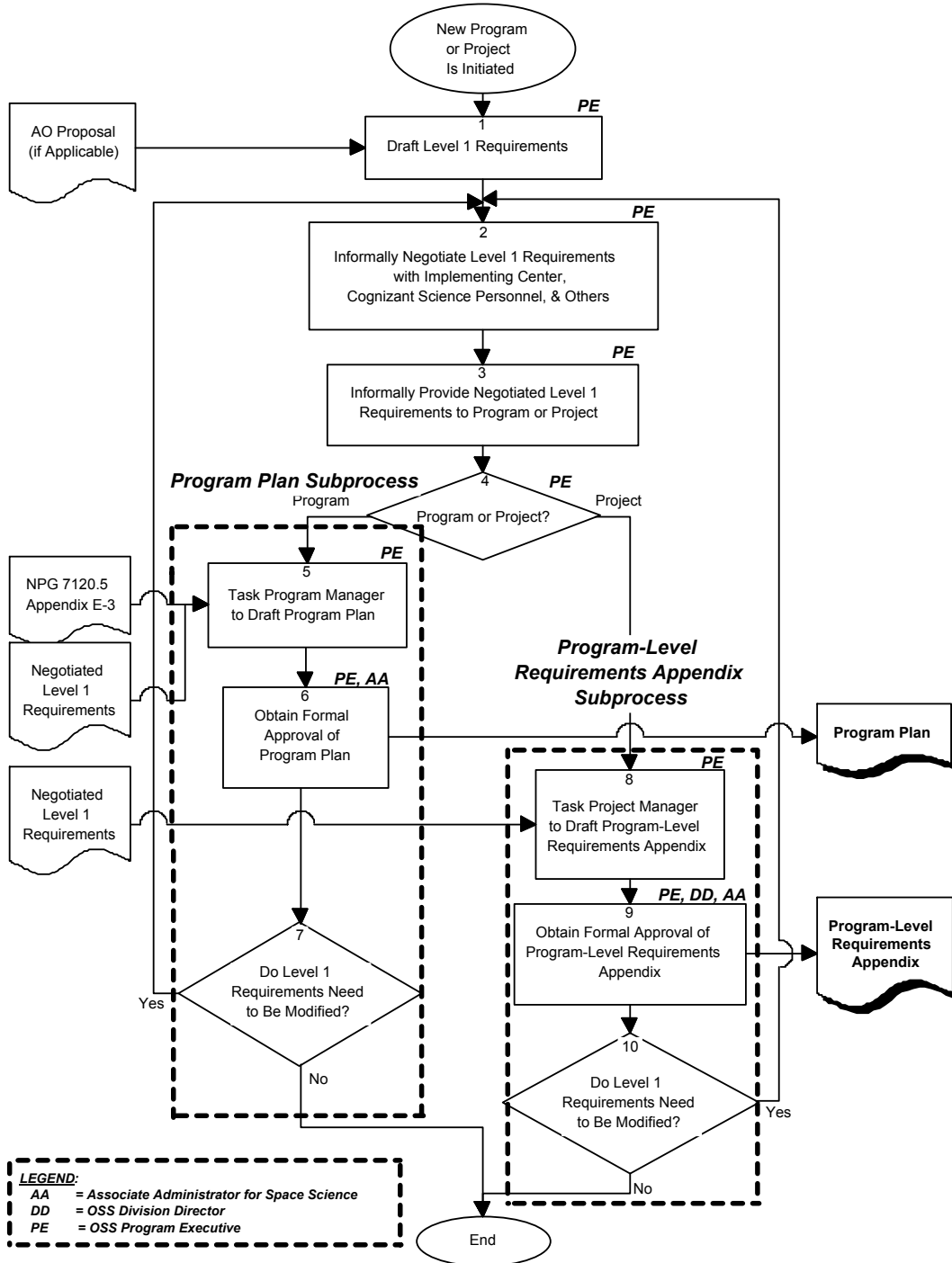
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**5. FLOWCHART**

[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.]



Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code SJ]

**Subject: Program Plan Development****6. PROCEDURE**

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
		<i>[The process commences when a new OSS program or project is initiated.]</i>
1	Program Executive	The Program Executive provides guidance to the Program Manager or Project Manager for drafting the Level 1 requirements during the "formulation" sub-process. If the mission is selected via an Announcement of Opportunity (AO), the draft Level 1 requirements are extracted from the winning proposal. If the mission is not selected via an AO, the draft Level 1 requirements are extracted from other relevant sources (e.g., instrument capabilities, mission-concept studies, or non-NASA documents if it is a cooperative mission).
2	Program Executive	The Program Executive informally negotiates the Level 1 requirements with personnel at the relevant NASA Headquarters offices and NASA Centers. These personnel include the cognizant OSS Division Director, Program Scientist, and Program Manager or Project Manager. Others may include the implementing organization (if different than the Lead Center Director), Principal Investigator(s), OSS Policy Analyst, non-NASA partners, the NASA Headquarters tracking office, and the NASA Headquarters launch-vehicles office. When an informal consensus is reached on the content of the Level 1 requirements, negotiations are completed.
3	Program Executive	The Program Executive informs the Program Manager or Project Manager that informal consensus has been reached and provides a copy of the informally negotiated Level 1 requirements.
4	Program Executive	If the Program Executive determines that the Level 1 requirements are for a program, proceed to Step #5. If the Program Executive determines that the Level 1 requirements are for a project, proceed to Step #8.

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**Subject: Program Plan Development****6. PROCEDURE** *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
<b><i>Program Plan Subprocess (for OSS <u>programs</u>)</i></b>		
5	Program Executive	The Program Executive tasks the Program Manager to draft a Program Plan, following the content requirements identified in Appendix E-3 of NPG 7120.5 and incorporating the negotiated Level 1 requirements.
6	Program Executive AA	After the Program Executive and Program Manager agree on the content of the Program Plan, the Program Manager obtains concurrences and formal approval (by the Program Manager and the Center Director) at the cognizant NASA Center and submits the plan to the Program Executive, who then obtains the NASA Headquarters concurrences and formal approval by the Associate Administrator for Space Science (via signature on the approval line in the Program Plan).
7		If the Level 1 requirements need to be modified, return to Step #2. If not, end the process.
<b><i>Program-Level Requirements Appendix Subprocess (for OSS <u>projects</u>)</i></b>		
8	Program Executive	The Program Executive tasks the Project Manager to draft a Program-Level Requirements Appendix to the relevant Program Plan, using the format of a previously-approved OSS Program-Level Requirements Appendix as a template and incorporating the negotiated Level 1 requirements.



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**Subject: Program Plan Development****6. PROCEDURE** *(concluded)****Program-Level Requirements Appendix Subprocess (for OSS projects)*** *(concluded)*

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|----|---|--|
| 9  | Program Executive AA or cognizant OSS Division Director | After the Program Executive and Project Manager agree on the content of the Program-Level Requirements Appendix, the Project Manager obtains concurrences and formal approval (by the Project Manager, Program Manager, and the Center Director) at the cognizant NASA Center and submits the plan to the Program Executive, who then obtains at NASA Headquarters concurrences and formal approval by the Associate Administrator for Space Science or cognizant OSS Division Director (via signature on the approval line in the Program-Level Requirements Appendix). |
| 10 |   | If the Level 1 requirements need to be modified, return to Step #2. If not, end the process.   |

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**Subject: Program Plan Development****7. QUALITY RECORDS**

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
Program Plan	OSS Executive Director for Programs	OSS Executive Director for Programs' files	Hardcopy	Schedule 7, Item 5D1	* Permanent *  Retire to FRC 1 year after completion, cancellation, or termination of related project. Transfer to NARA 10 years after subject action or when 25 years old, whichever is sooner.
Program-Level Requirements Appendix	OSS Executive Director for Programs	OSS Executive Director for Programs' files	Hardcopy	Schedule 7, Item 5D1	* Permanent *  Retire to FRC 1 year after completion, cancellation, or termination of related project. Transfer to NARA 10 years after subject action or when 25 years old, whichever is sooner.

[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.]