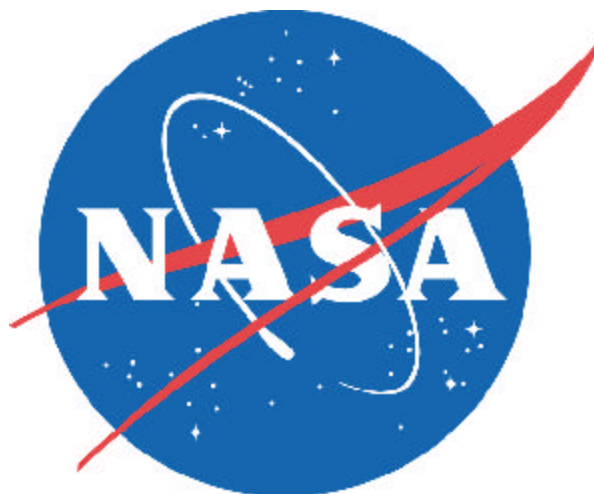


Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code SJ]

Subject: Develop or Update Program Commitment Agreement (PCA)



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

Office Work Instruction

**Develop or Update Program
Commitment Agreement
(PCA)**

Approved by: (Original signed by Christopher J. Scolese) Date: (01/15/2003)

Christopher J. Scolese
Deputy Associate Administrator for Space Science

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

Subject: Develop or Update Program Commitment Agreement (PCA)**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 #293, #296, #298, #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"> Augments list of definitions in Section 3. Incorporates inputs and outputs cited in Section 6 into flowchart in Section 5. Clarifies draft PCA vs. final PCA in flowchart in Section 5 and Section 6. Clarifies evidence of concurrences and approvals for PCA in Section 6. Incorporates recent terminology and format standardization. |
| Revision | C | 01/15/2003 | <ul style="list-style-type: none"> Incorporates impact of OSS reorganization (effective 07/01/2001). Replaces all references to "Executive Director for Programs" with "Deputy Associate Administrator for Programs". Incorporates reference document <u>SSE Management Handbook</u> into Section 4. Incorporates url's for referenced documents into Section 4. Incorporates process modifications identified by Process Owner into Section 5 and Section 6. Incorporates NASA Form 300B (or equivalent) into Section 5 and Section 6. Incorporates new OSS centralized programmatic files as storage location for PCA quality record in Section 7. Replaces all references to "HOWI..." with "HQOWI...". Revises "footer" to indicate new NODIS web site for all NASA HQ ISO 9001 documents. |

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

Subject: Develop or Update Program Commitment Agreement (PCA)

1. PURPOSE

The purpose of this Office Work Instruction (OWI) is to define the process by which the Office of Space Science (OSS) develops and updates Program Commitment Agreements (PCA's).

2. SCOPE AND APPLICABILITY

- 2.1 Program Commitment Agreements (PCA's) are required for all NASA programs. Baseline PCA's are prepared near the end of the "formulation" sub-process of the program life cycle, as defined in Section 2.1 of NPG 7120.5. The PCA-approval process occurs during the program-approval phase and is required for approving the program for implementation, as defined in Section 2.2 of NPG 7120.5. PCA's are subject to annual revision, review, and revalidation. Required PCA content is defined in Appendix E.2 of NPG 7120.5.
- 2.2 As the program approaches the "approval" milestone, the Program Executive submits the draft PCA to the Non-Advocate Review (NAR) process.

3. DEFINITIONS

- 3.1 AA. Associate Administrator for Space Science.
- 3.2 Code AE. NASA Headquarters Office of the Chief Engineer.
- 3.3 Code B. NASA Headquarters Office of the Chief Financial Officer (CFO).
- 3.4 Code M. NASA Headquarters Office of Space Flight.
- 3.5 Confirmation Review (CR). A program review conducted by the Associate Administrator for Space Science for the purpose of approving the program for implementation.
- 3.6 DAA/P. Deputy Associate Administrator for Programs, Office of Space Science.
- 3.7 Governing Program Management Council (GPMC). The highest-level PMC that regularly reviews the program or project. 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.

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

Subject: Develop or Update Program Commitment Agreement (PCA)

3. DEFINITIONS *(concluded)*

- 3.8 Non-Advocate Review (NAR). A review that provides an independent verification of a candidate program's or project's plans, life-cycle cost status, and readiness to proceed to the next phase of the program's or project's life cycle. The review team comprises management, technical, and budget personnel who will not participate in the implementation of the proposed program or project.
- 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 its designated GPMC.
- 3.10 Program Commitment Agreement (PCA). The contract between the NASA Administrator and the Associate Administrator for Space Science for the implementation of a program in terms of cost, schedule, and content.
- 3.11 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.
- 3.12 Program Management Council (PMC). Forum composed of NASA Headquarters, NASA Center, and/or NASA Federally Funded Research and Development Center (FFRDC) senior management that is responsible for reviewing and recommending approval of proposed programs and projects and overseeing their implementation according to NASA commitments, priorities, and policies.
- 3.13 Program Operating Plan (POP). Yearly solicitation to NASA Centers by NASA Headquarters for planning information (including proposed budgets) for activities for the new budget year.
- 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 Associate Administrator for Space Science, the managing Center Director, the implementing Center Director, and the Program Manager.

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Subject: Develop or Update Program Commitment Agreement (PCA)

4. REFERENCES

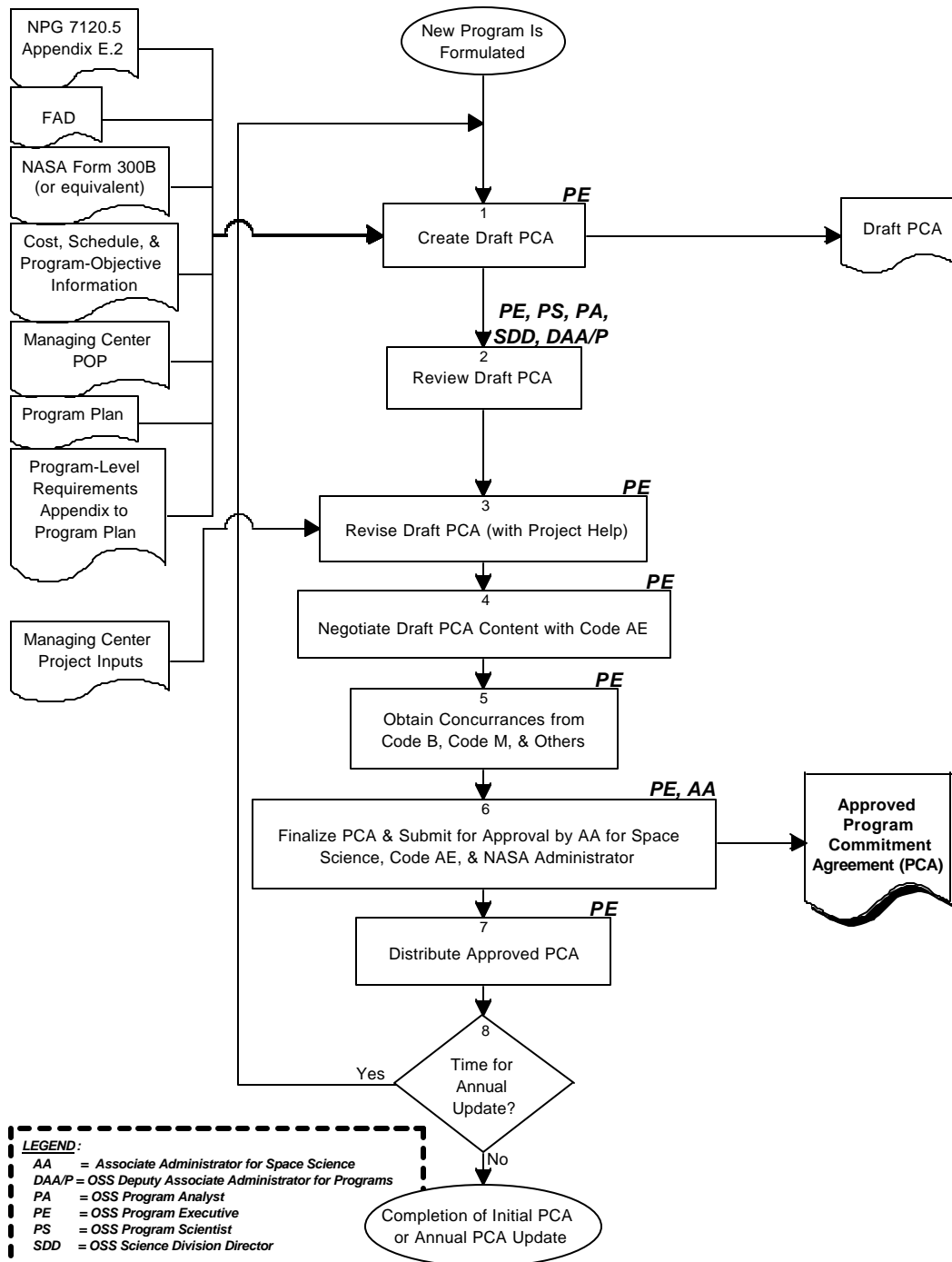
- 4.1 NPG 1441.1 NASA Records Retention Schedules (NRRS)
[\[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___)
- 4.2 NPG 7120.5 Program and Project Management Processes and Requirements
[\[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=7___\]](http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=7___)
- 4.3 SSE MH2002 Space Science Enterprise Management Handbook
[\[http://spacescience.nasa.gov/admin/pubs/handbook/OSSHHandbook.pdf\]](http://spacescience.nasa.gov/admin/pubs/handbook/OSSHHandbook.pdf)
- 4.4 Applicable Formulation Authorization Document (FAD)
- 4.5 Applicable Program Plan
- 4.6 Applicable Program-Level Requirements Appendix to the Program Plan

Subject: Develop or Update Program Commitment Agreement (PCA)

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: Develop or Update Program Commitment Agreement (PCA)**6. PROCEDURE**

| <u>STEP #</u> | <u>ACTION OFFICERS</u> | <u>DESCRIPTION</u> |
|---------------|--|--|
| | | <i>[This process commences when a new OSS Program is formulated.]</i> |
| 1 | Program Executive | In accordance with Appendix E.2 of NPG 7120.5, the Formulation Authorization Document (FAD) for the program or project, and the relevant NASA Form 300B (or its equivalent), the Program Executive prepares the initial draft of the Program Commitment Agreement (PCA) during the program "formulation" sub-process from cost, schedule, and program-objective information received from the Program Office at the implementing NASA Center. The Program Operating Plan (POP) [prepared annually by the managing Center] and the Level 1 Requirements [as defined in the Program-Level Requirements Appendix to the Program Plan] provide reference material for the PCA. |
| 2 | Program Executive Program Scientist Program Analyst Science Division Director DAA/P | The Program Executive coordinates a review of the draft PCA among key elements within the Office of Space Science (e.g., the Program Scientist, the Program Analyst, the cognizant Science Division Director, the Deputy Associate Administrator for Programs, and others as appropriate for the content of the specific PCA). |
| 3 | Program Executive | The Program Executive, with input from the project at the managing Center, modifies the draft PCA in accordance with comments and inputs received. |
| 4 | Program Executive | The Program Executive submits the draft PCA to the Office of the Chief Engineer (Code AE), which may respond with comments and requests for revision. |

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

Subject: Develop or Update Program Commitment Agreement (PCA)**6. PROCEDURE** *(concluded)*

| <u>STEP #</u> | <u>ACTION OFFICERS</u> | <u>DESCRIPTION</u> |
|---------------|---|---|
| 5 | Program Executive | The Program Executive negotiates PCA concurrence with the Office of the Chief Financial Officer (Code B), the Office of Space Flight (Code M), and others (as appropriate for the content of the specific PCA). |
| 6 | Program Executive Associate Administrator for Space Science | The Program Executive finalizes the PCA and submits it for approval by the Associate Administrator for Space Science, the NASA Headquarters Office of the Chief Engineer, and the NASA Administrator. The requisite approval signatures are incorporated into the final PCA document. |
| 7 | Program Executive | The Program Executive distributes the approved PCA. <i>[The process is repeated on an annual basis until the program is concluded.]</i> |
| 8 | | If it is time to initiate an annual update of an existing PCA, return to Step #1. If not, end the process. <i>[This process concludes when the initial PCA or annual PCA update has been completed.]</i> |

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

Subject: Develop or Update Program Commitment Agreement (PCA)**7. QUALITY RECORDS**

| RECORD IDENTIFICATION | OWNER | LOCATION | MEDIA: ELECTRONIC OR HARDCOPY | NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER | RETENTION/ DISPOSITION |
|---|---|------------------------|-------------------------------|--|--|
| Approved Program Commitment Agreement (PCA) | Secretary for OSS Deputy Associate Administrator for Programs | OSS Programmatic files | Hardcopy | Schedule 7, Item 10A | * Permanent * Retire files by fiscal year to FRC when no longer needed for active reference or when 8 years old, whichever is sooner. Transfer to NARA when 25 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 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.]