



# NASA Procedural Requirements

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**COMPLIANCE IS MANDATORY**

[Printable Format \(PDF\)](#)

Request Notification of Change (NASA Only)

## Subject: The NASA Organization w/Change 25 (September 1, 2011)

Responsible Office: Associate Administrator

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## Chapter 4: Mission Statements and Organizational Charts for Headquarters Offices

### 4.1 Office of The Administrator

4.1.1 MISSION. This office provides overall leadership, planning, policy direction, management, and coordination for all NASA activities.

4.1.2 OVERALL RESPONSIBILITIES.

4.1.2.1 The Administrator leads the Agency and is accountable to the President for all aspects of the Agency's mission, including establishing and articulating the Agency's vision and strategic priorities and ensuring successful implementation of supporting policies, programs, and performance assessments. The Administrator performs all necessary functions to govern NASA operations and exercises the powers vested in NASA by law.

4.1.2.2 The Deputy Administrator is responsible to the Administrator for providing overall leadership, planning, and policy direction for the Agency. The Deputy Administrator performs the duties and exercises the powers delegated by the Administrator, assists the Administrator in making final Agency decisions, and acts for the Administrator in his or her absence by performing all necessary functions to govern NASA operations and exercise the powers vested in the Agency by law.

The Deputy Administrator articulates the Agency's vision and represents NASA to the Executive Office of the President, Congress, heads of Federal and other appropriate Government agencies, international organizations, and external organizations and communities.

4.1.2.3 The Associate Administrator reports to the Deputy Administrator and the Administrator and is responsible for integrating the technical and programmatic elements of the Agency. The Associate Administrator oversees the Agency's programs through the Mission Directorates, Field Centers, and Headquarters technical mission support offices, to include the Office of Safety and Mission Assurance and the Office of the Chief Engineer.

The Associate Administrator performs the duties and exercises the powers delegated by the Administrator and acts for the Administrator in the absence of the Administrator and Deputy Administrator.

The Associate Administrator oversees the planning, directing, organization, and control of the day-to-day Agency technical and programmatic operations, including establishing controls over Agency activities, providing a means for evaluating mission accomplishments, and correcting deficiencies. In addition, the Associate Administrator provides institutional management, programmatic oversight, and performance evaluation of the Mission Directorates, Field Centers, and Technical Mission Support Offices.

4.1.2.4 The Chief of Staff is responsible for overseeing the implementation of NASA's mission and functional support programs and for coordinating cross-mission programs and activities to ensure that the strategic goals and objectives established by the Administrator and Deputy Administrator are achieved. The Chief of Staff is responsible for the management of initiatives, programs, and policies in critical areas of concern to the Administrator and Deputy Administrator. The Chief of Staff directs the Office of the Administrator.

4.1.3 SPECIAL RELATIONSHIPS.

4.1.3.1 The Administrator chairs the Strategic Management Council.

4.1.3.2 The Deputy Administrator chairs the Operations Management Council and is the alternate Chair for the Strategic Management Council.

4.1.3.3 The Associate Administrator chairs the Program Management Council.

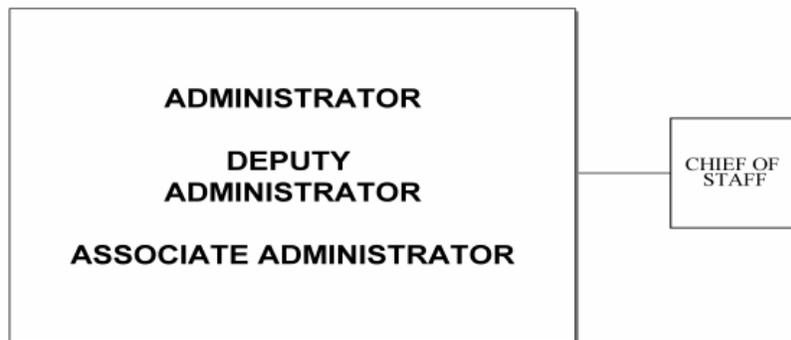
4.1.3.4 The Chief of Staff is the alternate Chair for the Operations Management Council.

4.1.4 LINE OF SUCCESSION: In the following order: Deputy Administrator; Associate Administrator; Chief of Staff. The process for designating an Acting Administrator is set forth at 5 U.S.C. 3345 et. seq.

4.1.4.1 Under Section 202(b) of the Space Act, the Deputy Administrator shall act for, and exercise the powers of the Administrator during his or her absence or disability. In the event that the Office of the Administrator becomes vacant, the Deputy Administrator shall serve as Acting Administrator immediately and automatically upon occurrence of the vacancy up to the appointment of a new Administrator, Presidential action under the Vacancies Reform Act, 5 U.S.C. 3345, or the expiration of authority under the Vacancies Reform Act. If both the Offices of the Administrator and Deputy Administrator are vacant, or if the Office of the Administrator is vacant and authority for the Deputy Administrator to serve under the Vacancies Reform Act has expired, no individual can serve as the Acting Administrator without Presidential action unless otherwise authorized by law. However, in that event, all authorities of the Administrator that may be legally delegated are delegated to the incumbent official in the following order of precedence: Deputy Administrator; Associate Administrator; Chief of Staff; Center Director for Johnson Space Flight Center; Center Director for Kennedy Space Center; and Center Director for Marshall Space Flight Center. In consultation with the General Counsel, such official exercising authority under this delegation shall also request Presidential action for the appointment of an Acting Administrator.

4.1.5 DELEGATION AND REDELEGATION: Except as may be specified in laws, regulations, or directives, OICs and Center Directors have full authority to carry out the responsibilities of their offices, and they may redelegate this authority as deemed appropriate.

## Office of the Administrator



### 4.2 Exploration Systems Mission Directorate

4.2.1 MISSION. The Exploration Systems Mission Directorate (ESMD) is responsible for developing new capabilities and supporting technologies that enable sustained and affordable human and lunar robotic exploration.

4.2.2 OVERALL RESPONSIBILITIES. All NASA Mission Directorate Associate Administrators (AAs) report to the NASA Associate Administrator. Mission Directorate AAs are responsible for managing the directorate's program portfolio and are accountable for mission safety and success for the programs and projects assigned to them. Mission Directorate AAs define, fund, evaluate, and oversee the implementation of NASA programs and projects to ensure their outcomes meet schedule and cost constraints. They establish and maintain the directorate's strategy to meet Agency goals, mission architecture, top-level requirements, schedules, and budgets. Mission Directorate AAs and program and project managers have the ultimate responsibility for mission success in accordance with governing requirements.

4.2.2.1 Specifically, the Associate Administrator for the Exploration Systems Mission Directorate:

- a. Develops and implements plans that address the organization's goals, objectives, metrics, and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.
- b. Provides guidance to the strategic acquisition process and oversees implementation of decisions from that process.
- c. Collaborates with other Mission Directorates and Centers to accomplish the Agency's objectives.
- d. Oversees the formulation and definition of programmatic requirements, objectives, and performance goals.
- e. Manages the development of the ESMD budget to support programmatic requirements and objectives and allocates resources in support of programs and projects.
- f. Conducts regular reviews of program and project performance, evaluating the current and projected status against the established requirements, objectives, and performance goals.
- g. Oversees ESMD reporting as required by Congress, the Office of Management and Budget, and other external bodies.
- h. Coordinates ESMD's planning, policies, and programs with other NASA Mission Directorates, Government agencies, industry, international participants, and academia.
- i. Represents NASA and ESMD in promoting and maintaining good public and community relations and providing for the widest practical and appropriate dissemination of information concerning space activities. Conducts education and public outreach as coordinated with the Office of Strategic Communications at NASA Headquarters prior to the award of a contract or the expenditure of funds to ensure Agency-wide priorities and consistent communications.
- j. Coordinates all international partnership arrangements with the Office of External Relations.
- k. Oversees mechanisms to promote innovative modes of participation in ESMD programs, such as commercial crew and cargo transportation.
- l. Oversees the creation of a suite of new capabilities, called Constellation Systems, that enable human exploration of the Moon, Mars, and beyond. Constellation Systems include a crew exploration vehicle, transportation systems, lunar and planetary body exploration systems, in-space support systems, and ground-based support systems.
- m. Oversees the development of technologies targeted for incorporation within the new capabilities of Constellation Systems that will enable sustained and affordable human and robotic exploration.
- n. Supports the development of potential robotic missions to the Moon, including orbiting and landing spacecraft.

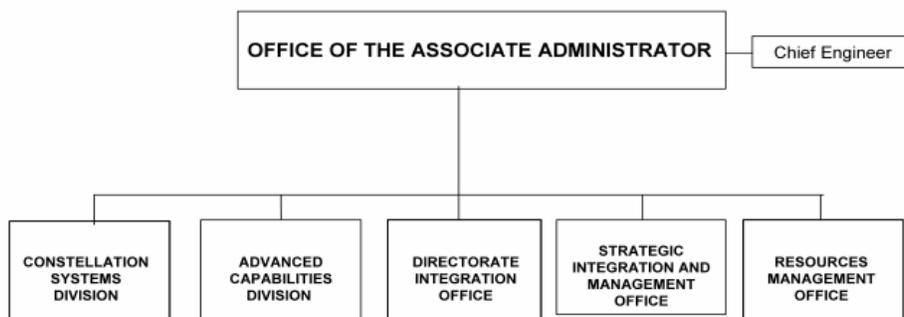
4.2.3 SPECIAL RELATIONSHIPS.

4.2.3.1 Serves as a member of NASA's Strategic Management Council, Operations Management Council, and Program Management Council.

4.2.3.2 ESMD and the Space Operations Mission Directorate (SOMD) jointly conduct a Joint Integration Control Board (JICB) and the Transition Control Board (TCB) to ensure successful integration of development with operations in support of the exploration architecture, and operate within an integrated budget plan.

4.2.4 LINE OF SUCCESSION. In the following order: Deputy Associate Administrator; Director of the Constellation Systems Division; and Director of the Strategic Integration and Management Office.

## EXPLORATION SYSTEMS MISSION DIRECTORATE



### 4.3 Space Operations Mission Directorate

**4.3.1 MISSION.** The Space Operations Mission Directorate (SOMD) is responsible for NASA space operations related to exploration in and beyond low-Earth orbit with special emphasis on human activities in space. SOMD is responsible for Agency leadership and management of NASA space operations related to launch services, space transportation, space stations and outposts, space communications and navigation, and rocket propulsion test in support of human and robotic exploration requirements.

**4.3.2 OVERALL RESPONSIBILITIES.** All NASA Mission Directorate Associate Administrators (AAs) report to the NASA Associate Administrator. Mission Directorate AAs are responsible for managing the directorate's program portfolio and are accountable for mission safety and success for the programs and projects assigned to them. Mission Directorate AAs define, fund, evaluate, and oversee the implementation of NASA programs and projects to ensure their outcomes meet schedule and cost constraints. They establish and maintain the directorate's strategy to meet Agency goals, mission architecture, top-level requirements, schedules, and budgets. Mission Directorate AAs and program and project managers have the ultimate responsibility for mission success in accordance with governing requirements.

**4.3.2.1** Specifically, the Associate Administrator for the Space Operations Mission Directorate:

- a. Develops and implements plans that address the organization's goals, objectives, metrics and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.
- b. Provides guidance to the strategic acquisition process and oversees implementation of decisions from that process.
- c. Collaborates with other Mission Directorates and Centers to accomplish the Agency's objectives.
- d. Coordinates SOMD's planning, policies, and programs with other NASA Mission Directorates, Government agencies, industry, international participants, and academia.
- e. Manages the development of the SOMD budget to support programmatic requirements and objectives and allocates resources in support of programs and projects.
- f. Oversees the formulation and definition of programmatic requirements, objectives, and performance goals.
- g. Conducts regular reviews of program and project performance, evaluating the current and projected status against the established requirements, objectives, and performance goals.
- h. Oversees SOMD reporting as required by Congress, the Office of Management and Budget, and other external bodies.
- i. Represents NASA and SOMD in promoting and maintaining good public and community relations and providing for the widest practical and appropriate dissemination of information concerning space activities. Conducts education and public outreach as coordinated with the Office of Strategic Communications at NASA Headquarters prior to the award of a contract or the expenditure of funds to ensure Agency-wide priorities and consistent communications.
- j. Coordinates all international partnership arrangements with the Office of External Relations.
- k. Provides current operational human exploration activities for the Space Shuttle and International Space Station (ISS) programs.
- l. Manages integrated Agency space communications and navigation services and requirements as a program, in coordination with other Mission Directorates.

**4.3.2.2** Carries out the responsibilities of 4.3.2.1 with regard to the following:

- a. The safe and effective operation of the Space Shuttle and improvements in Space Shuttle capabilities necessary to complete assembly of the ISS.
- b. The safe and effective operation of lunar outposts, including operational enhancements and integrated utilization activities.
- c. The development of a safe and effective ISS Program, including operating as a national laboratory and working closely with international partners to define operational concepts and establish operational capabilities.
- d. The acquisition, management, and certification of reliable and cost-effective services from existing and emerging private sector and/or Department of Defense suppliers as necessary to ensure access to space for civil missions including robotic and human space exploration requirements.
- e. The development, acquisition, and management of reliable and cost-effective communications and navigation services to meet NASA and other Government requirements for human and robotic space exploration programs.
- f. The establishment and management of radio telecommunications spectrum utilization in support of all NASA human and robotic space exploration and aeronautics research programs.
- g. The conduct of technology and advanced developmental activities in cooperation and coordination with other Mission Directorates to enhance operational capabilities and cost effectiveness of the space operations program and to develop a basis for future programs.

h. The management of flight crew health and safety to include: operational research requirements, integration of human systems and environments to include extravehicular and intravehicular activity advanced development, health care delivery and crew protection, and participation of crewmembers in on-orbit research.

i. The establishment and integration of efficient and cost-effective rocket propulsion testing services.

j. The development of transition plans for disposition of residual Space Shuttle assets and plans for safe retirement of the Space Shuttle, safe Shuttle termination, and integrated efficiencies in the evolution to new space operations architecture.

k. The determination of appropriate SOMD policies, procedures, and relationships to advance the coordination of space operations with ESMD.

4.3.2.3 Functional responsibility for flight planning, which entails addressing user space launch requirements and priorities, ensuring compliance with Agency launch services risk mitigation and vehicle assignment policy, and approving official contractual launch dates.

4.3.3 SPECIAL RELATIONSHIPS.

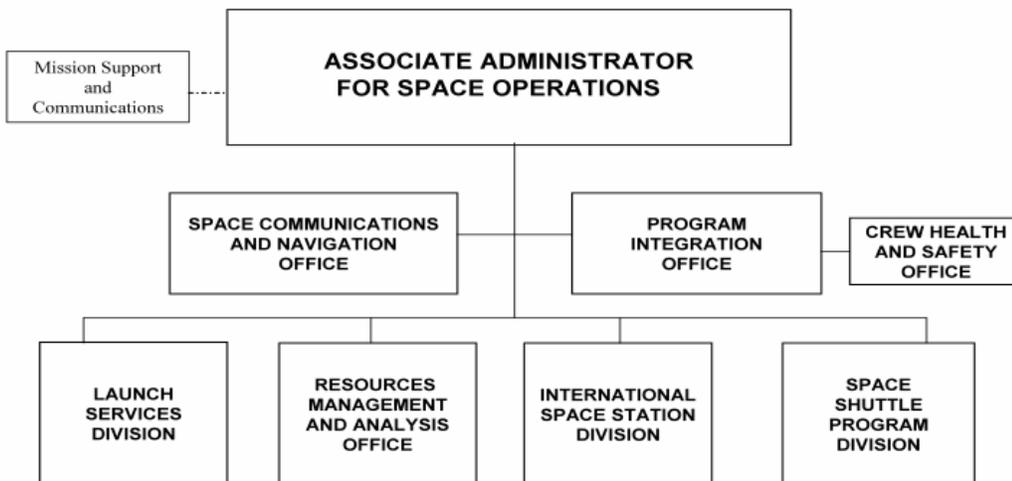
4.3.3.1 Serves as a member of NASA's Strategic Management Council, Operations Management Council, and Program Management Council.

4.3.3.2 The ISS and Space Shuttle program implementation is executed by the program managers reporting to the Associate Administrator for SOMD and is performed primarily at JSC, KSC, MSFC, and SSC. The Launch Services Program is responsible for enabling access to space for NASA and other select Government missions, providing safe, reliable, cost-effective, on schedule processing, advanced analysis, integration, and launch services for NASA and NASA-sponsored payloads seeking launch on Expendable Launch Vehicles. Residing at the John F. Kennedy Space Center, the program receives support from MSFC and SSC as well as other NASA Centers as warranted. The program is executed by the program manager reporting to the NASA Assistant Associate Administrator (AAA) for Launch Services. The Launch Services Flight Planning Board (FPB) provides a forum for addressing NASA orbital space launch requirements, issues, and priorities for all NASA missions and NASA-sponsored payloads seeking launch on commercial Expendable Launch Vehicles. The Board is chaired by the AAA for Launch Services and is comprised of membership from SOMD, Science Mission Directorate (SMD), ESMD, the NASA Chief Engineer, the Chief, Safety and Mission Assurance, and Education. The Rocket Propulsion Test (RPT) Program provides the program management structure necessary for ensuring core capability for rocket propulsion testing and is NASA's authority for rocket propulsion assignments. The program is executed by the program manager reporting to the NASA AAA for Launch Services and resides at SSC with support from MSFC, GRC/Plum Brook Station, and JSC/White Sands Test Facility. The National Rocket Propulsion Test Alliance, formed by an agreement between NASA and the Department of Defense, works to shape the government's RPT capability to efficiently meet national test needs through intra and interagency cooperation. The Space Communications and Navigation program implementation is executed by project managers reporting to SOMD program managers at NASA Headquarters who manage the Space Network, Near Earth Network, and Deep Space Network. The work is performed primarily at GSFC, JPL, GRC, and MSFC. Management of these networks is conducted by the Space Communications Board of Directors, which is chaired by the Deputy Associate Administrator for Space Communications and Navigation. SOMD and ESMD jointly conduct a Joint Integration Control Board (JICB) and the Transition Control Board (TCB) to ensure successful integration of development with operations in support of the exploration architecture, and operate within an integrated budget plan.

4.3.3.3 Serves as the Agency spectrum manager in accordance with NPD 2570.5D.

4.3.4 LINE OF SUCCESSION. In the following order: Deputy Associate Administrator for Space Operations; Deputy Associate Administrator for Program Integration; Deputy Associate Administrator for Space Communications and Navigation.

**SPACE OPERATIONS MISSION DIRECTORATE**



**4.4 Science Mission Directorate**

4.4.1 MISSION. The Science Mission Directorate (SMD) carries out the scientific exploration of Earth and space to expand the frontiers of Earth science, heliophysics, planetary science, and astrophysics. Through a variety of robotic observatory and explorer craft and through sponsored research, the directorate provides virtual human access to the farthest reaches of space and time, as well as practical information about changes on our home planet.

4.4.2 OVERALL RESPONSIBILITIES. All NASA Mission Directorate Associate Administrators (AAs) report to the NASA Associate Administrator and are responsible for managing program portfolios at the theme level and setting priorities and strategies for achieving mission-area objectives. As such, they own the budgets, schedules, and top-level requirements for the Agency's programs. Flight programs and projects are selected by Mission Directorate AAs and are delegated to the Centers to execute.

4.4.2.1 Specifically, the Associate Administrator for the Science Mission Directorate:

a.a. Engages the external and internal science community via the National Research Council and science advisory groups to define and prioritize science questions that NASA should pursue in light of the National Space Policy and NASA's mission.

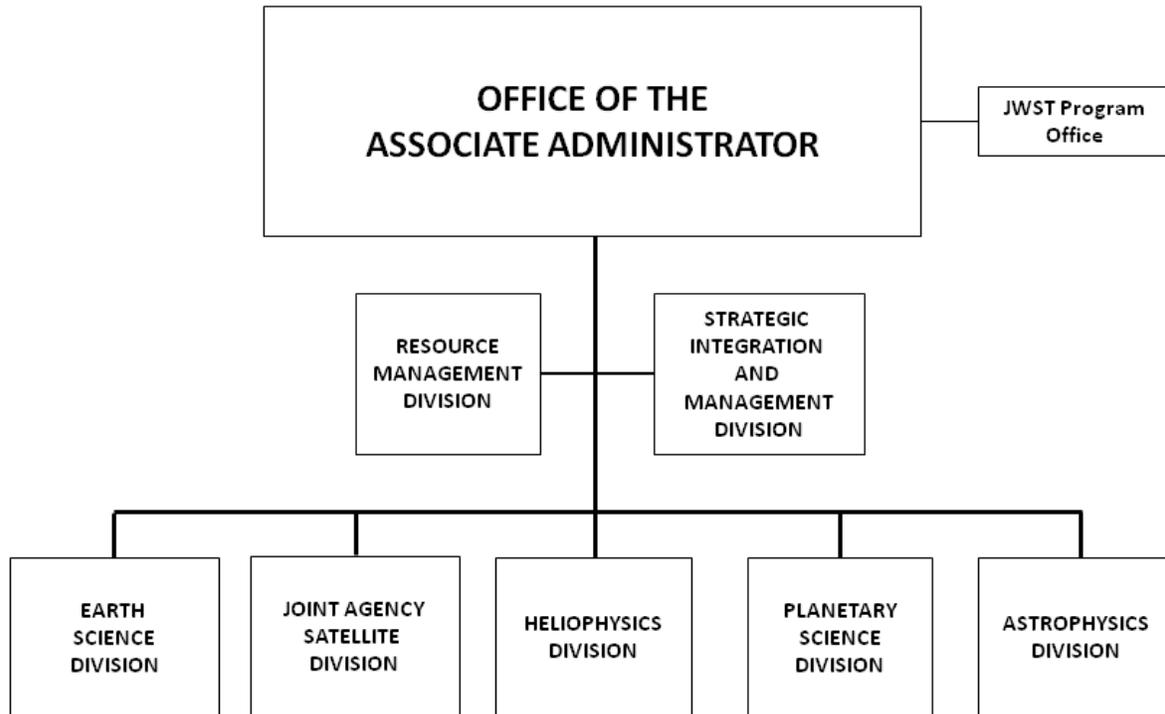
- b. Provides scientific results and priorities to enable and help guide the National Space Policy and NASA's mission and exploits such capabilities for discovery where appropriate.
- c. Develops and implements plans that address the organization's goals, objectives, metrics and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.
- d. Collaborates with other Mission Directorates and Centers to accomplish the Agency's objectives.
- e. Oversees the formulation and definition of programmatic requirements, objectives, and performance goals.
- f. Provides overall management of operational missions on a reimbursable basis for the National Oceanic and Atmospheric Administration (NOAA) in support of their environmental satellite programs.
- g. Sponsors research by academia, NASA Centers, other Federal research centers, industry, and others selected through open, competitive solicitations.
- h. Develops and/or leverages advanced technologies to meet science mission requirements and enables new scientific endeavors.
- i. Manages the development of the SMD budget to support programmatic requirements and objectives and allocates resources in support of programs and projects.
- j. Conducts regular reviews of program and project performance, evaluating the current and projected status against the established requirements, objectives, and performance goals.
- k. Oversees SMD reporting as required by Congress, the Office of Management and Budget, and other external bodies.
- l. Coordinates SMD's planning, policies, and programs with other NASA Mission Directorates, Government agencies, industry, international participants, and academia.
- m. Coordinates all international partnership arrangements with the Office of International and Interagency Relations.
- n. Extends the benefits of NASA science, technology, and information to the Nation through partnerships with other Federal agencies and other organizations relied upon by decision makers and citizens.
- o. Represents NASA and SMD in promoting and maintaining good public and community relations and providing for the widest practical and appropriate dissemination of information concerning space activities.
- p. Ensures that data and information from NASA science missions are openly available and accessible in a timely and affordable manner.
- q. Conducts educational and public outreach programs to enhance the Nation's return on its investment in NASA, as coordinated with the Office of Communications and the Office of Education at NASA Headquarters prior to the award of a contract or the expenditure of funds to ensure Agency-wide priorities and consistent communications.
- r. Provides overall institutional management, policy programmatic oversight, and performance evaluation for the directorate.

#### 4.4.3 SPECIAL RELATIONSHIPS.

4.3.3.1 Serves as a member of NASA's Strategic Management Council (SMC), Mission Support Council (OMC), and Program Management Council (PMC).

4.4.4 LINE OF SUCCESSION. In the following order: Deputy Associate Administrator; Deputy Associate Administrator for Programs; and Deputy Associate Administrator for Management.

## SCIENCE MISSION DIRECTORATE



Change 19, February 18, 2011

### 4.5 Aeronautics Research Mission Directorate

4.5.1 MISSION. The Aeronautics Research Mission Directorate (ARMD) conducts high-quality, cutting-edge research that generates innovative concepts, tools, and technologies to enable revolutionary advances in our Nation's future aircraft, as well as in the airspace in which they will fly. ARMD programs will facilitate a safer, more environmentally friendly, and more efficient national air transportation system. In addition, NASA's aeronautics research will continue to play a vital role in supporting NASA's human and robotic space exploration activities.

4.5.2 OVERALL RESPONSIBILITIES. All NASA Mission Directorate Associate Administrators (AAs) report to the NASA Associate Administrator. Mission Directorate AAs are responsible for managing the directorate's program portfolio and are accountable for mission safety and success for the programs and projects assigned to them. Mission Directorate AAs define, fund, evaluate, and oversee the implementation of NASA programs and projects to ensure their outcomes meet schedule and cost constraints. They establish and maintain the directorate's strategy to meet Agency goals, mission architecture, top-level requirements, schedules, and budgets. Mission Directorate AAs and program and project managers have ultimate responsibility for mission success in accordance with governing requirements.

4.5.2.1 Specifically, the Associate Administrator for ARMD:

- a. Develops and implements plans that address the organization's goals, objectives, metrics, and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.
- b. Provides guidance to the strategic acquisition process and oversees implementation of decisions from that process.
- c. Collaborates with other Mission Directorates and Centers to accomplish the Agency's objectives.
- d. Coordinates ARMD's planning, policies, and programs with other NASA Mission Directorates, Government agencies, industry, international participants, and academia.
- e. Manages the development of the ARMD budget to support programmatic requirements and objectives and allocates resources in support of programs and projects.
- f. Oversees the formulation and definition of programmatic requirements, objectives, and performance goals.
- g. Conducts regular reviews of program and project performance, evaluating the current and projected status against the established requirements, objectives, and performance goals.
- h. Oversees ARMD reporting as required by Congress, the Office of Management and Budget, and other external bodies.
- i. Represents NASA and ARMD in promoting and maintaining good public and community relations and providing for the widest practical and appropriate dissemination of information concerning Agency activities. Conducts educational and public outreach as coordinated with the Offices of Communications and Education at NASA Headquarters prior to the award of a contract or the expenditure of funds to ensure Agency-wide priorities and consistent communications.

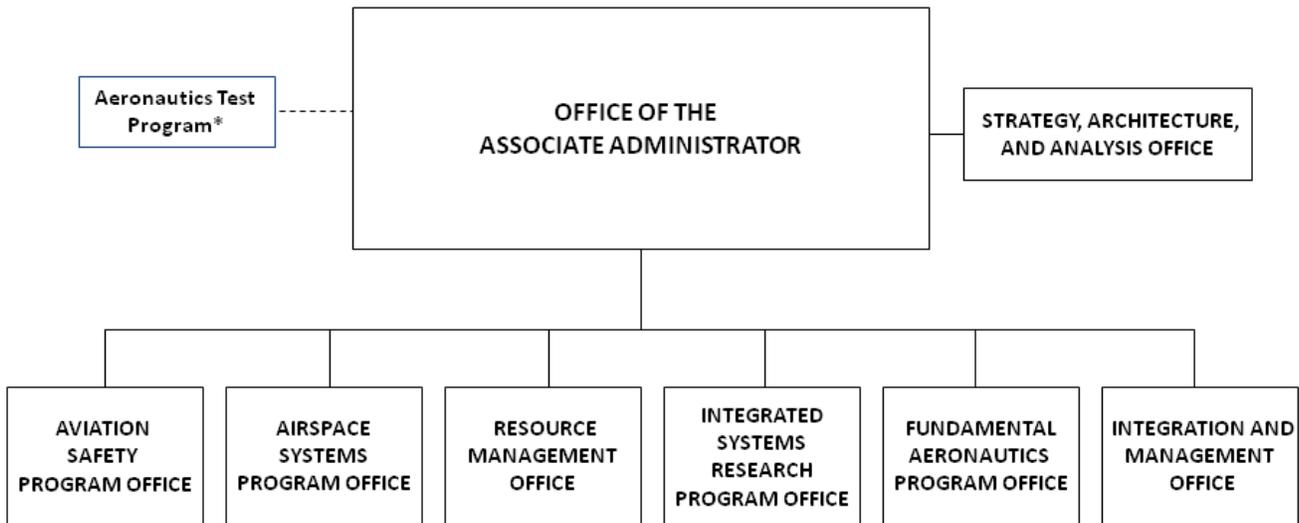
- j. Coordinates all international partnership arrangements with the Office of International and Interagency Relations.
- k. Invests in research for the long term in areas that are appropriate to NASA's unique capabilities and that meet NASA's charter of addressing national needs and benefiting the public good.

4.5.3 SPECIAL RELATIONSHIPS.

4.5.3.1 The Associate Administrator for ARMD serves as a member of NASA's Strategic Management Council, Mission Support Council, and Program Management Council.

4.5.4 LINE OF SUCCESSION. In the following order: ARMD Deputy Associate Administrator; Director, Integration and Management Office; Director, Strategy, Architecture and Analysis Office.

## AERONAUTICS RESEARCH MISSION DIRECTORATE (ARMD)



\*Program Office located at Ames Research Center

**Change 22, July 18, 2011**

### 4.6 Office of Safety and Mission Assurance

4.6.1 MISSION. The Office of Safety and Mission Assurance (SMA) provides policy direction, functional oversight, and assessment for all Agency safety, reliability, maintainability, and quality engineering and assurance activities and serves as a principal advisory resource for the Administrator and other senior officials on matters pertaining to safety and mission success.

4.6.2 OVERALL RESPONSIBILITIES. The Chief, Safety and Mission Assurance reports to the Administrator through the Associate Administrator and advises the Administrator on matters related to risk, safety, and mission success.

4.6.2.1 Specifically, the Chief, Safety and Mission Assurance:

- a. Develops and implements plans that include the organization's goals, objectives, metrics, and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.
- b. Manages the sufficiency and effectiveness of the office functions in order to reduce known institutional risk to safe and successful mission accomplishment.
- c. Provides to each Center Director a written evaluation of the performance of the principal SMA official which will be attached to each individual's annual performance appraisal.
- d. Concurs with the assignment, promotion, performance appraisal, discipline, and relief of the principal SMA official at each Center.
- e. In concurrence with Center Directors, determines the appropriate staffing complement for Center SMA offices.
- f. Develops strategies, policies, procedures, guidelines, and standards for safety, reliability, maintainability, and quality engineering and assurance (hereinafter abbreviated as SMA requirements).
- g. Ensures the incorporation and fulfillment of SMA requirements established for NASA programs and institutions through the structured application

of SMA technical authority.

h. Verifies the effectiveness of SMA requirements, activities, and processes.

i. Advises NASA leadership on significant SMA issues, including guidance for corrective action.

j. Oversees and assesses the application and technical excellence of SMA tools, knowledge, techniques, and practices (including risk management as applied to safety and mission success) throughout the program/project life cycle.

k. Assures that adequate levels of both programmatic and institutional resources are applied to SMA functions.

l. Oversees the prompt investigation and development of findings and recommendations for NASA mishaps and assures appropriate closure.

m. Oversees the operation of the NASA Independent Verification and Validation (IV&V) Facility.

n. Oversees the operation of the NASA Safety Center (NSC).

o. Advocates and represents the NASA SMA programs and community to other U.S. Government organizations, industry, academia, and international participants.

4.6.2.2 The Chief, Safety and Mission Assurance is authorized to suspend any operation or project activity that presents an unacceptable risk to personnel, property, or mission success and provide guidance for corrective action.

4.6.3 SPECIAL RELATIONSHIPS.

4.6.3.1 Serves as a member of NASA's Strategic Management Council, Operations Management Council, and Program Management Council.

4.6.3.2 The Chief, Safety and Mission Assurance establishes program direction and budget, as well as supervises the performance of the NASA Safety Center.

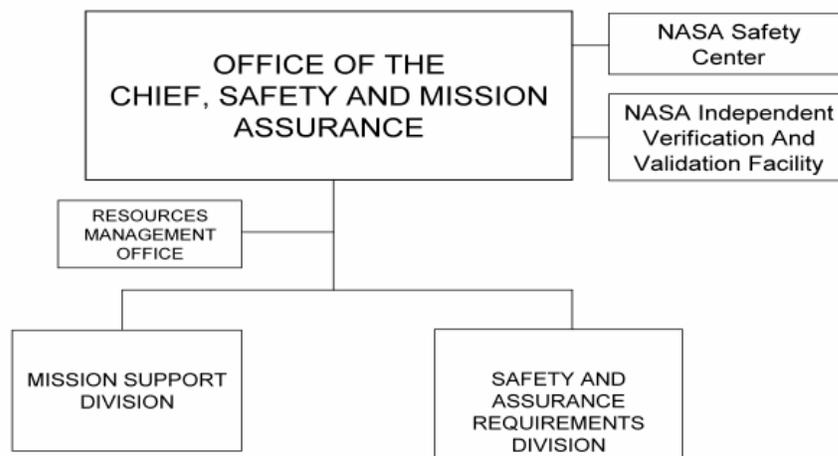
4.6.3.3 The Chief, Safety and Mission Assurance establishes program and budget direction and supervises the performance of the NASA IV&V Facility and approves work priorities based on a risk-based assessment of the mission and safety critical software in NASA projects and the advice from the IV&V Board of Advisors.

4.6.3.4 The Chief, Safety and Mission Assurance provides safety direction for the NASA Engineering and Safety Center, in coordination with the Chief Engineer.

4.6.3.5 The Chief, Safety and Mission Assurance provides policy direction to and oversight of the Chief Safety and Mission Assurance Officers, Center Safety and Mission Assurance Directors, and associated SMA organizations within Mission Directorates and, through them, within programs and projects.

4.6.4 LINE OF SUCCESSION. In the following order: Deputy Chief, Safety and Mission Assurance; Director, Safety and Assurance Requirements Division; and Director, Mission Support Division.

## OFFICE OF SAFETY AND MISSION ASSURANCE



### 4.7 OFFICE OF THE CHIEF FINANCIAL OFFICER.

4.7.1 MISSION. The Office of the Chief Financial Officer, established in accordance with the Chief Financial Officers Act of 1990 (Public Law 101-576) (CFO Act), provides leadership for the planning, analysis, justification, control, and reporting of all Agency fiscal resources; oversees all financial management activities relating to the programs and operations of the Agency; leads the budgeting and execution phases of the planning, programming, budgeting, and execution process; and monitors and reports the financial execution of the Agency budget.

4.7.2 OVERALL RESPONSIBILITIES. The Chief Financial Officer reports to the NASA Administrator.

4.7.2.1 Specifically, the Chief Financial Officer:

a. Oversees all financial management, budget, strategic planning, and performance activities relating to the programs and operations of the Agency.

b. Develops and implements plans that include the organization's goals, objectives, metrics and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.

- c. Manages the office functions so as to reduce risk to NASA's mission.
- d. Directs, manages, and provides policy guidance and oversight of the Agency's financial management personnel, activities, and operations, including, with the concurrence of Center Directors, approving the assignment, promotion, discipline, and relief of the principal financial official at each Center and assessing their performance. Center Directors shall provide a written evaluation of the principal financial official at their Center, which shall be attached to each individual's annual performance appraisal.
- e. In concurrence with Center Directors, determines the appropriate staffing complement for Center financial organizations.
- f. Provides for the oversight and financial management of Agency resources and activities relating to programs and operations, ensuring strategic alignment with Agency mission and national goals, including all resources aspects of the planning, programming, and budgeting process.
- g. Reviews, assesses, and validates Agency resources, requirements, and requests on the basis of strategic alignment, priorities, quality, and performance, including recommendations to the Administrator for fiscal resources approvals and authorizations.
- h. Develops, maintains, and provides policy guidance and oversight of the Agency's integrated planning, budgeting, performance reporting, accounting, and financial management system, including financial reporting and financial management internal controls.
- i. Monitors the financial execution of the Agency budget in relation to actual expenditures, monitors quality and performance of ongoing financial activities, analyzes ongoing activities to proactively identify potential performance problems, and prepares and submits timely financial and performance reports to the Administrator.
- j. Ensures that budget formulation and execution are consistent with the Agency's strategic investment decisions and serve as the authoritative source for Agency programmatic and institutional strategic requirements.
- k. Prepares and transmits an annual financial statement, audit report, and budget information to the Administrator, the Director of the Office of Management and Budget, the congressional committees of jurisdiction, and other authorities who review NASA's financial matters.
- l. Works with the Comptroller General and administrative officials to facilitate financial management improvements consistent with the CFO Act, Office of Management and Budget guidance, and other relevant legislation.
- m. Leads the Agency's effort in financial reporting under the CFO Act and coordinates on the Annual Performance Plan and Performance Report in accordance with the Government Performance and Results Act (GPRA) of 1993 (Public Law 103-62), as amended, and other relevant legislation.
- n. Provides direct financial advice and support to Center Directors, Mission Directors, and program managers across all NASA operational units.

#### 4.7.3 SPECIAL RELATIONSHIPS.

4.7.3.1 The Chief Financial Officer serves as a member of NASA's Strategic Management Council, Mission Support Council, and Program Management Council.

4.7.3.2 As required by the CFO Act, the Chief Financial Officer is appointed by the President with the advice and consent of the Senate, and:

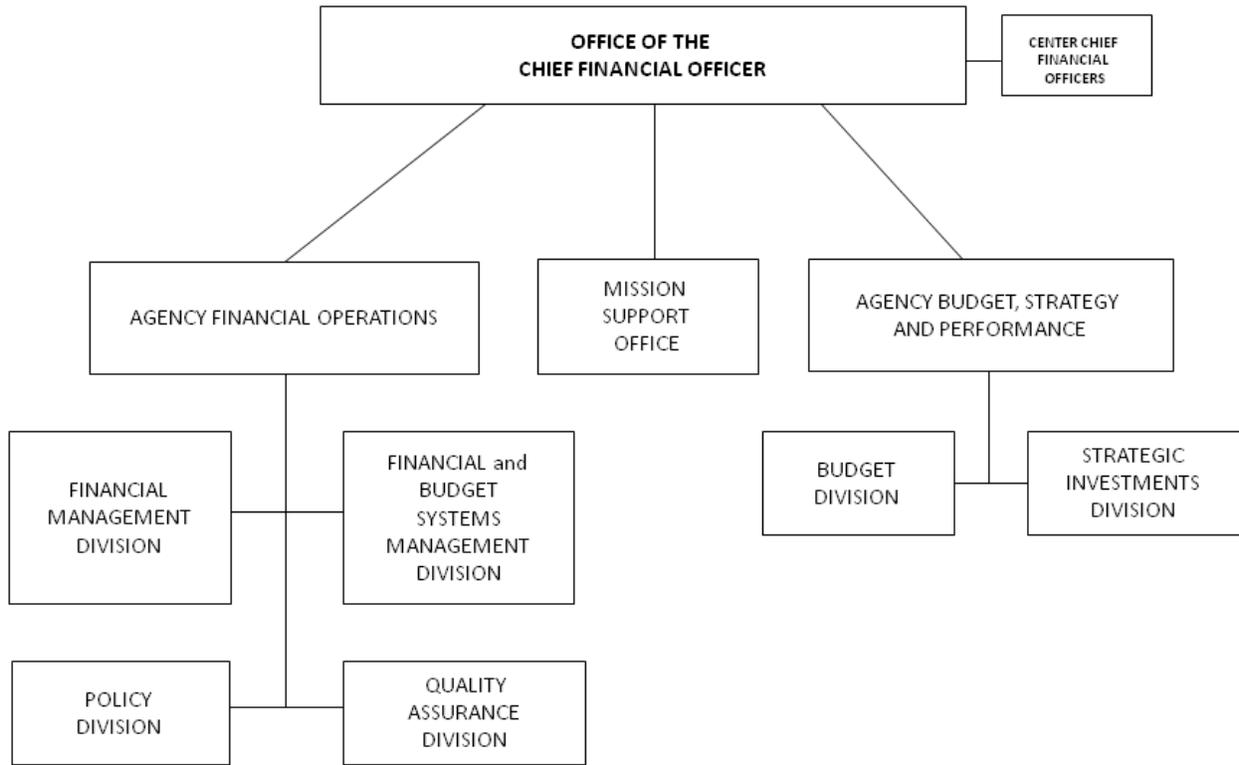
- a. Makes recommendations to the Administrator on the selection and appointment of the Deputy Chief Financial Officer.
- b. In coordination with the Office of Legislative and Intergovernmental Affairs, serves as interface with the congressional committees, especially appropriations, on issues dealing with budget and financial matters.
- c. Serves on the Office of Management and Budget's Chief Financial Officers Council.
- d. Serves on the Office of Management and Budget's Performance Improvement Council.
- e. Serves as the Agency Chief Acquisition Officer.

4.7.3.3 The Director, Budget Division, within the Office of the Chief Financial Officer, serves as the principal administrative official for Agency funds and resources and directs, monitors, and approves the structure of budget formulation and execution, and in coordination with the Director, Financial Management Division, apportionments and allotments.

4.7.4 LINE OF SUCCESSION. In the following order: Deputy Chief Financial Officer (Finance) and Deputy Chief Financial Officer (Agency Budget, Strategy and Performance). The process for designating an Acting Chief Financial Officer is set forth at 5 U.S.C. 3345 et. seq.

4.7.4.1 In the event that the Office of the Chief Financial Officer becomes vacant, the Deputy Chief Financial Officer (Finance) shall serve as Acting Chief Financial Officer immediately and automatically upon occurrence of the vacancy up to the appointment of a new Chief Financial Officer, Presidential action under the Vacancies Reform Act, 5 U.S.C. 3345, or the expiration of authority under the Vacancies Reform Act. If both the Offices of the Chief Financial Officer and Deputy Chief Financial Officer (Finance) are vacant, the Deputy Chief Financial Officer (Agency Budget, Strategy and Performance) shall serve as Acting Chief Financial Officer immediately and automatically upon occurrence of the vacancies up to the appointment of a new Chief Financial Officer, Presidential action under the Vacancies Reform Act, 5 USC 3345, or the expiration of authority under the Vacancies Reform Act. If the Office of the Chief Financial Officer is vacant and authority for both the Deputy Chief Financial Officer (Finance) and the Deputy Chief Financial Officer (Agency Budget, Strategy and Performance) to serve under the Vacancies Reform Act has expired, no individual can serve as the Acting Chief Financial Officer without Presidential action unless otherwise authorized by law. However, in that event, all authorities of the Chief Financial Officer that may be legally delegated, are delegated to the incumbent official in the following order of precedence: Deputy Chief Financial Officer (Finance); Deputy Chief Financial Officer (Agency Budget, Strategy and Performance); and Associate Deputy Chief Financial Officer (Finance). In consultation with the General Counsel, such official exercising authority under this delegation shall also request Administrator action to request Presidential action for the appointment of an Acting Chief Financial Officer.

# OFFICE OF THE CHIEF FINANCIAL OFFICER



**Change 15, October 29, 2010**

## 4.8 Office of The Chief Information Officer

4.8.1 MISSION. The Office of the Chief Information Officer provides leadership, planning, policy direction, and oversight for the management of NASA information and all NASA information technology (IT) in accordance with the responsibilities required by the Clinger-Cohen Act of 1996, the Paperwork Reduction Act of 1995, the E-Government Act of 2002, the Federal Information Security Management Act of 2002, and the Privacy Act of 1974. The Chief Information Officer (CIO) is the principal advisor to the Administrator and other senior officials on matters pertaining to information technology, the NASA Enterprise Architecture, IT security, records management, and privacy.

4.8.2 OVERALL RESPONSIBILITIES. The CIO reports to the NASA Deputy Administrator.

4.8.2.1 Specifically, the Chief Information Officer:

- a. Develops and implements plans that include the organization's goals, objectives, metrics, and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.
- b. Manages the office functions by reducing institutional risk to missions.
- c. Directs, manages, and provides policy guidance and oversight of the Agency's Center Chief Information Officers' (CIOs) activities, and operations, including in concurrence with Center Directors, the approval of the assignment, promotion, discipline, and relief of the principal CIO at each Center, and assesses their performance. Conducts formal performance planning and appraisal of the principal CIO at each Center in conjunction with the Center Director, who provides a written evaluation that shall be attached to each individual's annual performance appraisal.
- d. In concurrence with Center Directors, determines the appropriate staffing complement for Center CIO offices.
- e. Defines IT program objectives and top-level requirements and monitors program performance, as well as effectiveness and efficiency of IT programs and processes.
- f. Develops and implements Agency-wide strategies, policies, programs, and processes for the management of IT investments and services.
- g. Provides for effective governance of IT through chartered boards with appropriate stakeholder representation.
- h. Ensures statutory, regulatory, and fiduciary compliance in the acquisition and implementation of IT.
- i. Develops, maintains, and facilitates the implementation of the NASA Enterprise Architecture (EA), which is the framework for ensuring IT investments enable the mission and are integrated, efficient, and secure.
- j. Maximizes the value and assesses and manages the risks of the IT plans and investments for NASA through an IT investment management process that is integrated with Agency processes for making budgetary, financial, and program management decisions for all NASA IT.
- k. Manages NASA's IT systems as a joint responsibility with the NASA Centers, Mission Directorates, and all other Headquarters Offices. The Centers, Mission Directorates, and Headquarters Offices have responsibility for the applications, while the CIO has overarching responsibility for

ensuring alignment of those applications with the NASA EA and for all aspects of the IT infrastructure in which those applications reside. Manages an application portfolio management program in conjunction with the Centers, Mission Directorates, and Headquarters Offices to ensure a robust, yet efficient, set of applications to enable the NASA mission.

l. Leads and implements NASA's IT Security program, ensuring appropriate confidentiality, integrity, and availability of all NASA's information assets throughout the system lifecycle. The Office of Protective Services is responsible for the security of classified information and technologies (see Section 4.6.2.5.2.3).

m. Ensures that the NASA workforce possesses the requisite knowledge and skills in IT and information resources management.

n. Provides oversight for all Agency E-Government initiatives.

o. Oversees IT-related reporting as required by Congress, the Office of Management and Budget, and other external bodies.

p. Leads the Integrated Enterprise Management Program, which is responsible for developing, implementing, and operating Agency-wide business systems.

**4.8.3 SPECIAL RELATIONSHIPS.**

4.8.3.1 Serves as a member of NASA's Strategic Management Council, Mission Support Council, and Program Management Council.

4.8.3.2 Serves as a member of the Federal CIO Council coordinated by the Office of Management and Budget.

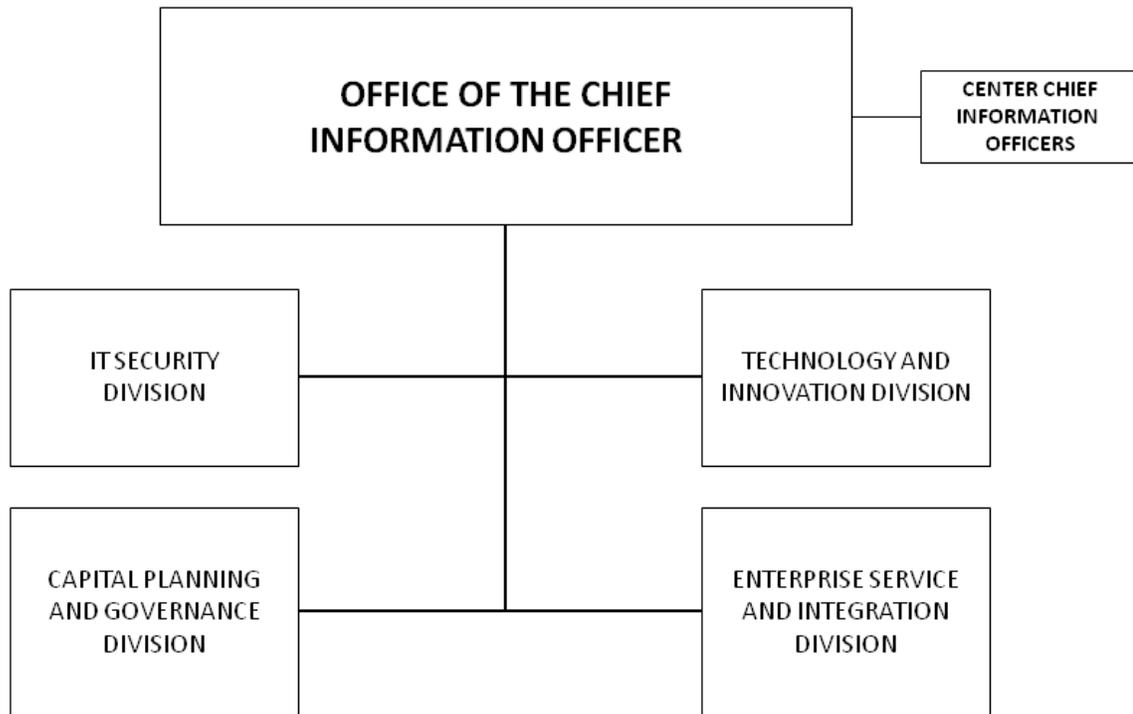
4.8.3.3 Works in cooperation with the Chief Financial Officer, Mission Support Directorate, and Office of Independent Program and Cost Evaluation to develop a full and accurate accounting of IT expenditures, related expenses, and results.

4.8.3.4 Works in conjunction with the Office of Protective Services to provide for the protection of information systems.

**4.8.4 LINE OF SUCCESSION.** In the following order: Deputy CIO; Deputy CIO for Information Technology Security; Associate CIO for Enterprise Service and Integration; Associate CIO for Capital Planning and Governance; and the Chief Technology Officer for IT.

4.8.4.1 In the event that the Office of the Chief Financial Officer becomes vacant, the Deputy Chief Financial Officer shall serve as Acting Chief Financial Officer immediately and automatically upon occurrence of the vacancy up to the appointment of a new Chief Financial Officer, Presidential action under the Vacancies Reform Act, 5 U.S.C. 3345, or the expiration of authority under the Vacancies Reform Act. If both the Offices of the Chief Financial Officer and Deputy Chief Financial Officer are vacant, or if the Office of the Chief Financial Officer is vacant and authority for the Deputy Chief Financial Officer to serve under the Vacancies Reform Act has expired, no individual can serve as the Acting Chief Financial Officer without Presidential action unless otherwise authorized by law. However, in that event, all authorities of the Chief Financial Officer that may be legally delegated are delegated to the incumbent official in the following order of precedence: Deputy Chief Financial Officer; Associate Deputy Chief Financial Officer; and Director, Strategic Integration and Policy Division. In consultation with the General Counsel, such official exercising authority under this delegation shall also request Administrator action to request Presidential action for the appointment of an Acting Chief Financial Officer.

## OFFICE OF THE CHIEF INFORMATION OFFICER



**Change 11, August 6, 2010**

## 4.9 Office of The Chief Information Officer

4.9.1 MISSION. The Office of the Chief Information Officer provides leadership, planning, policy direction, and oversight for the management of NASA information and all NASA information technology (IT) in accordance with the responsibilities required by the Clinger-Cohen Act of 1996, the Paperwork Reduction Act of 1995, the E-Government Act of 2002, the Federal Information Security Management Act of 2002, and the Privacy Act of 1974. The Chief Information Officer (CIO) is the principal advisor to the Administrator and other senior officials on matters pertaining to information technology, the NASA Enterprise Architecture, IT security, records management, and privacy.

4.9.2 OVERALL RESPONSIBILITIES. The CIO reports to the NASA Deputy Administrator.

4.9.2.1 Specifically, the Chief Information Officer:

- a. Develops and implements plans that include the organization's goals, objectives, metrics, and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.
- b. Manages the office functions by reducing institutional risk to missions.
- c. Directs, manages, and provides policy guidance and oversight of the Agency's Center Chief Information Officers' (CIOs) activities, and operations, including in concurrence with Center Directors, the approval of the assignment, promotion, discipline, and relief of the principal CIO at each Center, and assesses their performance. Conducts formal performance planning and appraisal of the principal CIO at each Center in conjunction with the Center Director, who provides a written evaluation that shall be attached to each individual's annual performance appraisal.
- d. In concurrence with Center Directors, determines the appropriate staffing complement for Center CIO offices.
- e. Defines IT program objectives and top-level requirements and monitors program performance, as well as effectiveness and efficiency of IT programs and processes.
- f. Develops and implements Agency-wide strategies, policies, programs, and processes for the management of IT investments and services.
- g. Provides for effective governance of IT through chartered boards with appropriate stakeholder representation.
- h. Ensures statutory, regulatory, and fiduciary compliance in the acquisition and implementation of IT.
- i. Develops, maintains, and facilitates the implementation of the NASA Enterprise Architecture (EA), which is the framework for ensuring IT investments enable the mission and are integrated, efficient, and secure.
- j. Maximizes the value and assesses and manages the risks of the IT plans and investments for NASA through an IT investment management process that is integrated with Agency processes for making budgetary, financial, and program management decisions for all NASA IT.
- k. Manages NASA's IT systems as a joint responsibility with the NASA Centers, Mission Directorates, and all other Headquarters Offices. The Centers, Mission Directorates, and Headquarters Offices have responsibility for the applications, while the CIO has overarching responsibility for ensuring alignment of those applications with the NASA EA and for all aspects of the IT infrastructure in which those applications reside. Manages an application portfolio management program in conjunction with the Centers, Mission Directorates, and Headquarters Offices to ensure a robust, yet efficient, set of applications to enable the NASA mission.
- l. Leads and implements NASA's IT Security program, ensuring appropriate confidentiality, integrity, and availability of all NASA's information assets throughout the system lifecycle. The Office of Protective Services is responsible for the security of classified information and technologies (see Section 4.6.2.5.2.3).
- m. Ensures that the NASA workforce possesses the requisite knowledge and skills in IT and information resources management.
- n. Provides oversight for all Agency E-Government initiatives.
- o. Oversees IT-related reporting as required by Congress, the Office of Management and Budget, and other external bodies.
- p. Leads the Integrated Enterprise Management Program, which is responsible for developing, implementing, and operating Agency-wide business systems.

### 4.9.3 SPECIAL RELATIONSHIPS.

4.9.3.1 Serves as a member of NASA's Strategic Management Council, Mission Support Council, and Program Management Council.

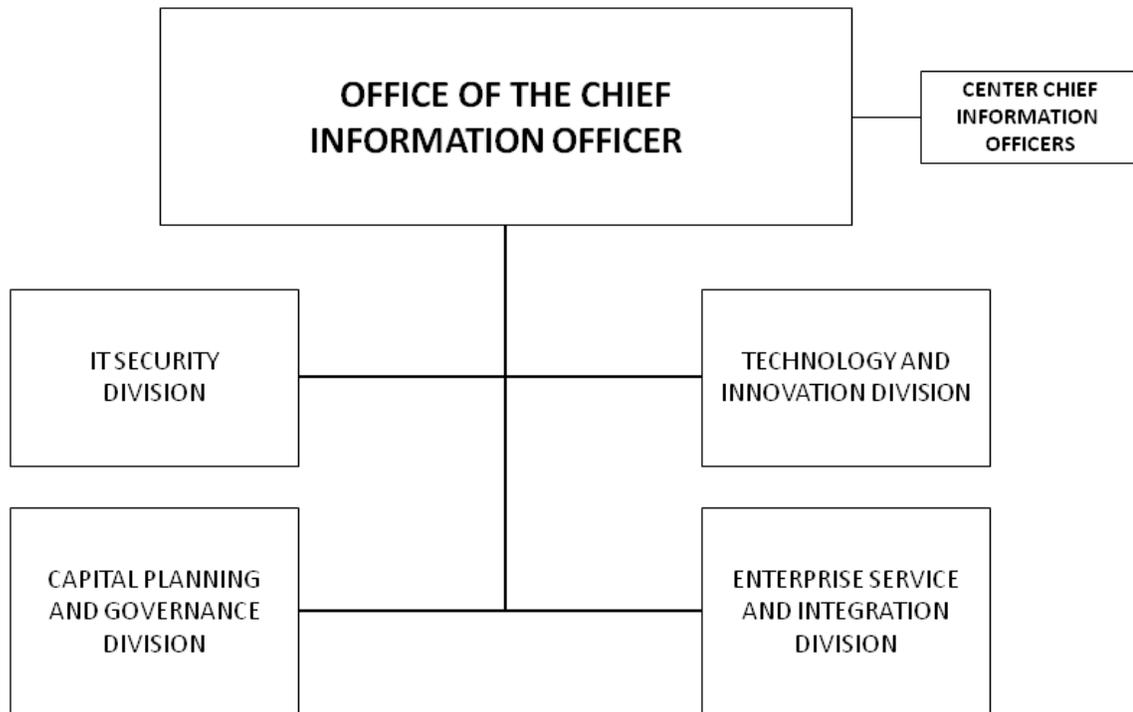
4.9.3.2 Serves as a member of the Federal CIO Council coordinated by the Office of Management and Budget.

4.9.3.3 Works in cooperation with the Chief Financial Officer, Mission Support Directorate, and Office of Independent Program and Cost Evaluation to develop a full and accurate accounting of IT expenditures, related expenses, and results.

4.9.3.4 Works in conjunction with the Office of Protective Services to provide for the protection of information systems.

4.9.4 LINE OF SUCCESSION. In the following order: Deputy CIO; Deputy CIO for Information Technology Security; Associate CIO for Enterprise Service and Integration; Associate CIO for Capital Planning and Governance; and the Chief Technology Officer for IT.

# OFFICE OF THE CHIEF INFORMATION OFFICER



**Change 11, August 6, 2010**

**4.10 Office of The Chief Engineer**

4.10.1 MISSION. The Office of the Chief Engineer provides policy direction, oversight, and assessment for NASA engineering and program/project management. It serves as the principal advisor to the Administrator and other senior officials on matters pertaining to technical readiness in execution of NASA programs and projects. Also, it is responsible for Agency-level standards and policies as applied to engineering and program management.

4.10.2 OVERALL RESPONSIBILITIES. The Chief Engineer reports to the NASA Associate Administrator.

4.10.2.1 Specifically, the Chief Engineer:

- a. Develops and implements plans that include the organization's goals, objectives, metrics and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.
- b. Manages the office functions by reducing risk to NASA's mission.
- c. Serves as the lead Technical Authority for engineering.
- d. Provides leadership, policy direction, functional oversight, assessment, and coordination for two major, closely related areas:
  - 1) Engineering and related technical disciplines, including systems engineering and technical integration.
  - 2) Program and project management, including earned value management and program integration.
- e. Serves as the principal advisor to the Administrator on matters pertaining to the technical readiness of NASA programs and projects.
- f. Assesses the adequacy, quality, and effectiveness of engineering work and program/project management Agency wide and recommends or directs improvements in these areas where appropriate.
- g. Coordinates the application of technical resources to support engineering work, including lessons learned, technical standards, trend evaluation, access to technical information, technical support for specific disciplines and problems, and coordination among engineering work groups.
- h. Provides leadership to define the tools, processes, facilities, and engineering resources needed to improve the Agency's technical excellence.
- i. Oversees the NASA Engineering and Safety Center (NESC).
- j. Establishes and maintains Agency-wide processes, technical standards, requirements, and policies for the conduct of discipline-area engineering and systems engineering. This shall include evaluating the implementation by the Centers and program/project management.
- k. Establishes and maintains the Agency-wide process and requirements for engineering and program/project management. This includes maintenance and update of NPR 7123.1A, NASA Systems Engineering Processes and Requirements, NPR 7120.5, NASA Program and Project

Management Processes and Requirements, NPR7120.7, NASA Information Technology and Institutional Infrastructure Program and Project Management Requirements, and NPR 7120.8, NASA Research and Technology Program and Project Management Requirements.

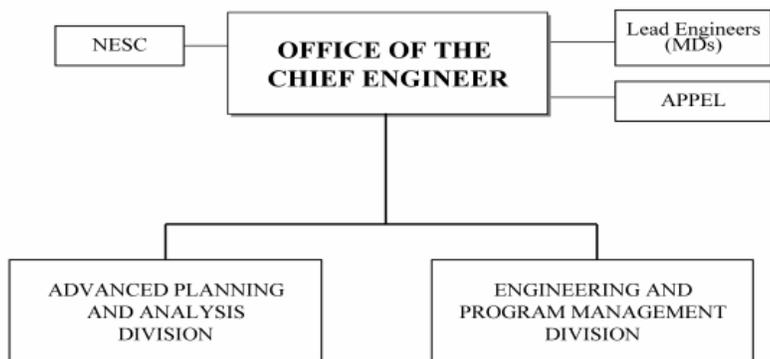
- I. Provides leadership of and policy for the Agency's engineering and program/project management training conducted through NASA's Academy of Program, Project, and Engineering Leadership.
- m. Implements and manages Agency-wide mandatory curriculum for program/project managers, systems engineers, and discipline engineers. This shall include providing and managing mandatory curriculum at NASA Centers. The Office of the Chief Engineer shall work with the Associate Administrator to ensure proper alignment of curriculum with needed competencies for the future of NASA.
- n. Coordinates with the Office of Human Capital Management to ensure that new hiring policies and core competencies are in line with the future technical and program/project management needs for the Agency.
- o. Conducts and integrates periodic and ad hoc programmatic and technical assessments of programs and projects.
- p. Provides leadership and oversight for the Agency's Inventions and Contributions Board.
- q. Ensures statutory, regulatory, and fiduciary compliance.
- r. Serves as a liaison to external organizations performing similar functions and stakeholders who establish Government-wide policies and requirements.

4.10.3 SPECIAL RELATIONSHIPS.

- 4.10.3.1 Serves as a member of NASA's Strategic Management Council, Operations Management Council, and Program Management Council.
- 4.10.3.2 Lead Engineers, Engineering Directors, and associated engineering organizations within Mission Directorates and Centers and, through them, within programs and projects.
- 4.10.3.3 Engineering Management Board for engineering infrastructure and practices.
- 4.10.3.4 Program/Project Management Board for program/project management infrastructure and practices.

4.10.4 LINE OF SUCCESSION. In the following order: Deputy Chief Engineer; Deputy for Management; and Director, Engineering and Program Management Division.

**OFFICE OF THE CHIEF ENGINEER**



**4.11 Office of Institutions and Management**

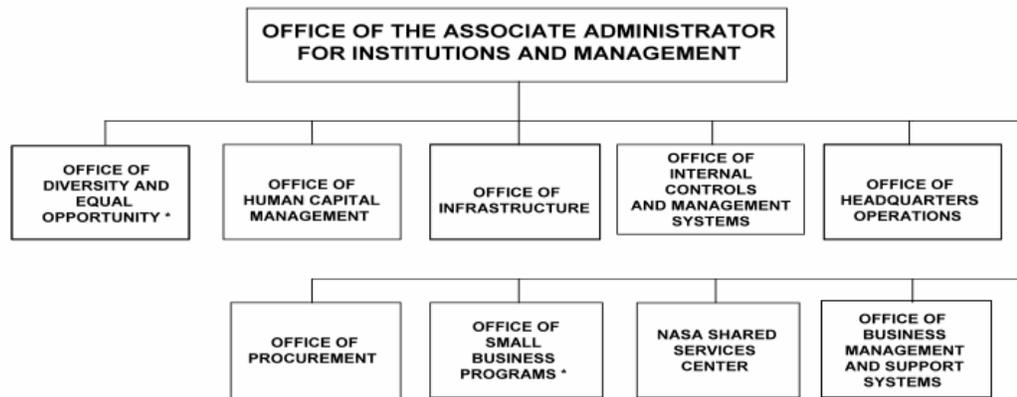
4.11.1 MISSION. The office provides effective and efficient institutional support to enable the Agency to successfully accomplish its missions. It focuses on improving processes, stimulating efficiency, and providing consistency and uniformity across institutional capabilities and services.

4.11.2 OVERALL RESPONSIBILITIES. The Associate Administrator (AA) for Institutions and Management reports to the NASA Deputy Administrator. Specifically, the AA for Institutions and Management:

- a. Oversees management of the functional areas of the Offices of Diversity and Equal Opportunity, Human Capital Management, Infrastructure, Internal Controls and Management Systems, Headquarters Operations, Procurement, Small Business Programs, Budget Management and Systems Support, and the NASA Shared Services Center.
- b. Develops and implements plans that include the organization's goals, objectives, metrics and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.
- c. Manages the office functions by reducing institutional risk to missions.
- d. Ensures integration and alignment of mission support activities in support of Agency strategic needs and interfaces with the NASA Deputy Administrator, the Associate Administrator, and the Chief of Staff to support integration and alignment of these activities.
- e. Achieves consistency of approach to improve functional performance across the Agency.
- f. Monitors OIM functional programs performance, as well as the effectiveness and efficiency of programs and processes.
- g. Provides an integrated projection of functional activities with associated costs and workload implications for Headquarters and across the Agency.
- h. Leads the activity to update the Crosscutting Strategies for Mission Support (CSMS) Action Plan in coordination with the CSMS Plan Strategy Owners. Leads the Implementation Assessment Team in its role to (a) improve integration and communication between Mission Support Offices

- and Mission Directorates, and (b) review and assess implementation of the CSMS Plan strategies, objectives and actions.
  - i. Ensures that personnel competencies and facility capabilities required to meet NASA's strategic needs are identified and provided.
  - j. Ensures that NASA Headquarters is provided all the institutional services and products necessary to support effective operations.
  - k. Manages the Headquarters Corporate Management and Operations budget processes.
  - l. Ensures statutory, regulatory, and fiduciary compliance.
  - m. Serves as a liaison to external organizations performing similar functions and to stakeholders who establish Government-wide policies and requirements.
  - n. Oversees reporting as required by Congress, the Office of Management and Budget, and other external bodies.
  - o. Assesses individual mission statements for the Functional Offices listed below that report to the Office of Institutions and Management:
    - 4.11.2.1 Diversity and Equal Opportunity.
    - 4.11.2.2 Human Capital Management.
    - 4.11.2.3 Infrastructure.
    - 4.11.2.4 Internal Controls and Management Systems.
    - 4.11.2.5 Procurement.
    - 4.11.2.6 Small Business Programs.
    - 4.11.2.7 NASA Shared Services Center.
    - 4.11.2.8 Headquarters Operations.
    - 4.11.2.9 Budget Management and Systems Support.
- (The NASA Shared Services Center mission statement is maintained under Chapter 5 (5.12) - NASA Shared Services Center - because of its role as a Technical Service and Support Center.)
- 4.11.3 SPECIAL RELATIONSHIPS.
    - 4.11.3.1 Serves as a member of NASA's Operations Management Council and Program Management Council.
    - 4.11.3.2 Serves as Chair of the NASA Shared Services Center (NSSC) Board of Directors.
  - 4.11.4 LINE OF SUCCESSION. In the following order: Assistant Administrator for Human Capital Management; Assistant Administrator for Infrastructure; Executive Director for Headquarters Operations; Assistant Administrator for Procurement; and Executive Director for the NASA Shared Services Center.

## OFFICE OF INSTITUTIONS AND MANAGEMENT



\* In accordance with law, the offices of Diversity and Equal Opportunity and Small Business Programs maintain reporting relationships to the Administrator and Deputy Administrator.

### 4.11.2.1 OFFICE OF DIVERSITY AND EQUAL OPPORTUNITY.

4.11.2.1.1 MISSION. The office is responsible for developing and aligning NASA equal opportunity (EO), civil rights compliance, and diversity strategies, programs, policies and processes consistent with the Agency's mission, strategic goals and performance outcomes. The Office of Diversity and Equal Opportunity (ODEO) establishes Agency-wide policies on diversity and equal opportunity and defines strategies, program objectives, and top-level requirements; ensures statutory, regulatory, and fiduciary compliance with internal and external equal opportunity laws; provides technical assistance, training, and advocacy to promote an open and inclusive workplace; ensures consistency of approach to improve functional performance across the Agency; and monitors diversity and equal opportunity program performance.

4.11.2.1.2 OVERALL RESPONSIBILITIES. The Assistant Administrator (AA) for Diversity and Equal Opportunity reports to the Associate Administrator for Institutions and Management and has direct access to the NASA Administrator on all matters pertaining to diversity, civil rights compliance, and EO requirements under Federal law and NASA rules and policy pursuant to EO laws and regulations (e.g., 29 C.F.R. Sections 1614.102 (b) (4), and (c) (1), and 1614.607).

4.11.2.1.2.1 Specifically, the AA for Diversity and Equal Opportunity: a. Serves as the principal advisor to the Administrator on diversity and equal opportunity for NASA (including civil service and contractor employees). b. Develops and implements plans that address the organization's goals,

objectives, metrics, and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.

c. Manages the office functions by reducing institutional risk to missions.

d. Sets the Agency's equal opportunity policy and strategy. Guides the Agency's management strategies, objectives and actions required to develop a diverse workforce to support the missions. Develops the strategy in alignment with, and in support of, the overall Agency mission and United States Space Exploration Policy.

e. Administers effective and efficient Agency-wide EEO complaint and Alternative Dispute Resolution (ADR) processes.

f. Develops and oversees Agency-wide policies, programs, and processes to achieve consistency of approach to eliminate barriers to the recruitment, retention, and promotion of a high-caliber and diverse workforce, particularly in mission-critical occupations and leadership ranks.

g. In concurrence with Center Directors, approves the assignment, promotion, discipline, and relief of the principal Diversity and Equal Opportunity official at each Center and assesses their performance. Provides a written evaluation of the principal Diversity and Equal Opportunity official at each Center, which shall be attached to each individual's annual performance appraisal.

h. In concurrence with Center Directors, determines the appropriate staffing complement for Center Diversity and Equal Opportunity offices.

i. Defines diversity objectives and top-level requirements. Establishes and manages long-term Agency diversity planning and implementation.

j. Serves as the focal point for the Agency's internal (federally conducted) and external (governing the activities of NASA grantees) civil rights compliance activities, policies, and procedures. Develops policies, procedures, and programs to ensure that NASA grant recipients provide access to activities in a non-discriminatory manner and administers NASA's civil rights complaint process.

k. Achieves consistency of approach to improve functional performance across the Agency.

l. Provides technical assistance, training, and advocacy to promote an open and inclusive workplace, fair and equitable decision making in all aspects of workforce activity, voluntary compliance, and effective and open communication.

m. Monitors diversity and equal opportunity program performance, as well as effectiveness and efficiency of programs and processes.

n. Provides liaison to external organizations performing similar functions and to stakeholders who establish Government-wide policies and requirements.

o. Oversees reporting as required by Congress, the Office of Management and Budget, Equal Employment Opportunity Commission, and other external bodies.

#### 4.11.2.1.3 SPECIAL RELATIONSHIPS.

4.11.2.1.3.1 Serves as an adjunct member of NASA's Operations Management Council.

4.11.2.1.3.2 Provides guidance, technical assistance, and evaluation on all matters pertaining to diversity and EO to the NASA Center Diversity and EO Directors.

4.11.2.1.3.3 Maintains special relationships with the Office of Human Capital Management (e.g., recruitment, retention, professional development, succession planning), the Office of General Counsel (EO and civil rights legal requirements and complaint processing), the Office of Education (diversity and EO in NASA-assisted and -conducted education programs), the Office of Procurement (NASA grants to private sector institutions), the Office of Legislative and Intergovernmental Affairs (congressional matters pertaining to diversity and EO), and the Office of Public Affairs (diversity/EO communications).

4.11.2.1.4 LINE OF SUCCESSION. In the following order: Deputy Assistant Administrator; Office of Diversity and Equal Opportunity; Director, Program Planning and Evaluation Division; and Director, Complaints Management Division.

#### 4.11.2.2 OFFICE OF HUMAN CAPITAL MANAGEMENT.

4.11.2.2.1 MISSION. The office is responsible for developing and aligning NASA civil service workforce strategies, programs, policies, and processes with the Agency's mission, strategic goals, and desired performance outcomes. The Office of Human Capital Management (OHCM) establishes Agency-wide civil service workforce management policies; defines strategies and architectures; defines program objectives and top-level requirements; ensures statutory and regulatory compliance; ensures consistency across the Agency, as appropriate; and monitors program performance. OHCM represents the Agency's interests in intergovernmental and other groups established to address workforce issues.

4.11.2.2.2 OVERALL RESPONSIBILITIES. The Assistant Administrator (AA) for Human Capital Management reports to the Associate Administrator for Institutions and Management and serves as the Agency's designated Chief Human Capital Officer (CHCO) pursuant to the Chief Human Capital Officers Act of 2002. In this capacity, the AA advises and assists the Administrator in carrying out responsibilities for selecting, developing, training, and managing a high-quality civil service workforce in accordance with merit system principles.

4.11.2.2.2.1 Specifically, the AA for Human Capital Management:

a. Develops and implements plans that include the organization's goals, objectives, metrics and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.

b. Manages the office functions by reducing institutional risk to missions.

c. Serves as a functional strategy owner of the Crosscutting Strategies for Mission Support (CSMS) Plan that outlines crosscutting management strategies, objectives, and actions needed to support the missions. Coordinates and provides input to the CSMS Plan and executes the Plan in alignment and support of the Agency mission and United States Space Exploration Policy.

d. In concurrence with Center Directors, approves the assignment, promotion, discipline, and relief of the principal Human Capital Management official at each Center and assesses their performance. Provides a written evaluation of the principal Human Capital Management official at each Center, which shall be attached to each individual's annual performance appraisal.

e. In concurrence with Center Directors, determines the appropriate staffing complement for Center Human Capital Management offices.

f. With the Office of Program and Institutional Integration, leads and integrates workforce Planning activities at the Agency level.

g. Defines Agency-wide workforce objectives and top-level requirements. Establishes and manages long-term Agency workforce planning and analysis processes to identify workforce characteristics and competencies needed to accomplish the Agency mission; develops workforce strategies and programs to monitor and mitigate risks of misalignments between workforce demand and supply; establishes staffing strategies to acquire a highly skilled workforce with needed competencies.

h. Develops and oversees Agency-wide policies, programs, and processes to achieve consistency of approach and retain a high-caliber workforce by providing tools to facilitate assessment of individual performance and contributions to organizational and mission achievement.

i. Sets the Agency's workforce development strategy; promotes needed competency building through Agency-wide training and development programs, leadership development, and succession planning.

j. Provides organizational development services and tools to NASA organizations to improve individual and organizational performance; develops

strategies to fully utilize in-house knowledge and intellectual capital.

k. Assesses the effectiveness of workforce management within the Agency, as well as the effectiveness and efficiency of human resources (HR) functional programs and policies designed to support workforce management; identifies best practices and benchmarking studies in workforce management issues; defines requirements for and provides management oversight of Agency workforce and HR functional information systems and ensures accountability for information contained in these systems.

l. Leads the Agency's efforts to improve management and deliver results in support of the President's Management Agenda initiative -- the Strategic Management of Human Capital.

m. Ensures statutory, regulatory, and fiduciary compliance.

n. Provides liaison to external organizations performing similar functions and stakeholders who establish Government-wide policy and requirements.

o. Oversees reporting as required by Congress, OMB, and other external bodies.

#### 4.11.2.2.3 SPECIAL RELATIONSHIPS.

4.11.2.2.3.1 Serves as an adjunct member of NASA's Operations Management Council and an invited attendee to the Program Management Council.

4.11.2.2.3.2 The AA for Human Capital Management represents NASA on the Chief Human Capital Officers Council, chaired by the Director of the Office of Personnel Management.

4.11.2.2.4 LINE OF SUCCESSION. In the following order: Deputy Assistant Administrator for Human Capital Management; Director, Workforce Management and Development Division; Director, Workforce Strategy Division; and Director, Workforce Systems and Accountability Division.

#### 4.11.2.3 OFFICE OF INFRASTRUCTURE.

4.11.2.3.1 MISSION. The Office provides executive and functional leadership, policy, technical expertise, and oversight for Agency infrastructure including facilities engineering and real property, environmental management, logistics management, aircraft management, strategic capabilities assets program, integrated asset management, and leads the NASA Ombuds Program. The Office's mission is to ensure that the right infrastructure assets and capabilities are available in the timeframe needed by reducing current and future infrastructure-related risks to the Agency. This mission is accomplished through effective management of existing infrastructure, enhanced institutional planning and decision making, proactive deployment of sustainable practices, and by the use of an Agency mission risk-based approach to make institutional decisions.

4.11.2.3.2 OVERALL RESPONSIBILITIES. The AA for Infrastructure reports to the Associate Administrator for Institutions and Management.

4.11.2.3.2.1 Specifically, the AA for Infrastructure:

a. Develops and implements plans that include the organization's goals, objectives, metrics and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.

b. Manages the office functions by reducing institutional risk to missions.

c. Serves as a functional strategy owner of the Crosscutting Strategies for Mission Support (CSMS) Plan that outlines crosscutting management strategies, objectives, and actions needed to support the missions. Coordinates and provides input to the CSMS Plan and executes the Plan in alignment and support of United States Space Exploration Policy.

d. Leads the development of, and documents annually, an integrated set of goals, objectives, and metrics for infrastructure, transition, and future infrastructure capabilities that reduces institutional risk to mission.

e. Manages Agency real property programs that include facility design and construction, facility maintenance and repair, utilities systems and supplies, operations, utilization and real estate acquisition and disposal management, and management of the Construction of Facilities (CoF) resources.

f. Manages Agency environmental programs that include both programmatic and institutional requirements to advance environmental stewardship and sustainability and develops and disseminates environmental and energy policies for environmental planning, compliance, restoration, pollution prevention, energy and water conservation, natural, cultural, and historic resource preservation, and management of the Environmental Compliance and Restoration (ECR) program resources.

g. Manages Agency logistics management that includes contractor and Government-held property, transportation policy for NASA, industrial relations, and oversight of NASA's Employee Exchange Programs.

h. Manages NASA aircraft programs that include the acquisition, utilization, operations, safety, airworthiness, quality assurance, modification, control, and disposition of all NASA aircraft.

i. Manages the Strategic Capabilities Assets Program, a corporately managed program, to ensure that NASA's key capabilities and assets will continue to be available in the future to support NASA's mission. The program identifies and prioritizes NASA's critical assets and makes strategic investment decisions to replace, modify, or disposition them based on NASA and/or national needs.

j. Provides leadership, oversight, and support of the NASA Ombuds Program, which offers the workforce (employees and on-site contractors) a supplemental channel for communicating issues and concerns potentially impacting safety, organizational performance, or mission success.

k. Leads the Agency's efforts to improve management and deliver results in support of the President's Management Agenda initiative -- the Real Property Asset Management.

l. Ensures statutory compliance, and fiduciary compliance for Infrastructure and Administration.

m. Oversees reporting required by Congress, Office of Management and Budget, and other external bodies for Infrastructure and Administration.

#### 4.11.2.3.3 SPECIAL RELATIONSHIPS.

4.11.2.3.3.1 Serves as a member of NASA's Operations Management Council and an invited attendee of the Program Management Council.

4.11.2.3.3.2 Serves as Agency Senior Real Property Officer (SRPO) and represents the Agency on the Federal Real Property Council, chaired by OMB.

4.11.2.3.3.3 Serves as the Agency Environmental Executive, chaired by the White House.

4.11.2.3.4 LINE OF SUCCESSION. In the following order: Deputy Assistant Administrator; Director, Facilities Engineering and Real Property; Director, Environmental Management; and Director, Logistics Management.

#### 4.11.2.4 OFFICE OF INTERNAL CONTROLS AND MANAGEMENT SYSTEMS.

4.11.2.4.1 MISSION. The office provides executive and functional leadership, policy development, technical expertise, and oversight of NASA's integrated internal control program. Organizational objectives are achieved through the execution of Agency-wide Internal Control, Audit Liaison,

and Directives Management programs. In fulfilling this mission, the Office works closely with all Headquarters Offices and Centers to support the development and implementation of effective and efficient internal controls and management systems throughout the Agency.

4.11.2.4.2 OVERALL RESPONSIBILITIES. The Assistant Administrator (AA) for Internal Controls and Management Systems reports to the Associate Administrator for Institutions and Management.

4.11.2.4.2.1 Specifically, the AA for Internal Controls and Management Systems:

a. Develops and implements plans that address the organization's goals, objectives, metrics and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.

b. Manages the Office functions by reducing institutional risk to missions.

c. Provides overall coordination, implementation and integration of NASA's Internal Control Program. Ensures that internal control policies and procedures are in place; documents and reports on key controls; supports the correction of internal control deficiencies; tests and validates the effectiveness of internal controls, and suggests revisions to related policies and procedures to improve management performance. Manages and facilitates the preparation of the Administrator's annual Statement of Assurance.

d. Provides overall guidance, implementation, and integration of NASA's audit liaison program. Serves as Agency focal point for the coordination and facilitation of GAO and OIG audit engagements and related reports. Facilitates and coordinates audit fieldwork and reporting across NASA through an Agency-wide network of audit liaison representatives. Ensures that final management decisions and related final management action on all GAO and OIG recommendations are achieved within established timeframes as delineated in the Inspector General Act of 1978 (as amended) and OMB Circular A-50. Performs annual reporting on the status of open audit recommendations and related monetary findings in accordance with the Inspector General Act Amendments of 1988. Performs periodic assessments of the effectiveness of corrective action taken in response to audit recommendations.

e. Identifies the need for, develops, advocates, and manages, as appropriate, management systems or similar initiatives designed to improve Agency management and reduce the risk of internal control deficiencies. Performs internal audits of Headquarters management systems and related controls and supports and tracks the correction of identified deficiencies. Tests and validates the effectiveness of management systems and suggests revisions to related policies and procedures.

f. Establishes and maintains the requirements for documentation and promulgation of internal NASA policies, requirements, and external regulations codified in the Code of Federal Regulations. Maintains and manages a process for the development, review, approval, publication, and archiving of Agency-wide policies and procedural requirements. Maintains a library of all Agency-level policies and procedural requirements, as well as other external requirements that govern Agency activities. Maintains and manages a process for publishing NASA notice and rule documents in the Federal Register.

g. Serves as a liaison to external organizations performing similar functions and stakeholders who establish Government-wide policy and requirements.

4.11.2.4.3 SPECIAL RELATIONSHIPS.

4.11.2.4.3.1 Serves as a member of the Senior Assessment Team, chaired by the Director, Program and Institutional Integration, and chairs the Institutional Internal Control Team.

4.11.2.4.3.2 Serves as the Agency Audit Follow-Up Official (AFO), delegated from the Deputy Administrator.

4.11.2.4.3.3 Serves as the Agency Directives Resolution Official in support of the Deputy Administrator.

4.11.2.4.4 LINE OF SUCCESSION. In the following order: The Assistant Administrator for Internal Controls and Management Systems will designate an acting Assistant Administrator during periods of temporary absence.

4.11.2.5 OFFICE OF PROCUREMENT.

4.11.2.5.1 MISSION. The office provides executive leadership, policy direction, and functional management of procurement and financial assistance activities (excluding Space Act Agreements) for the entire Agency.

4.11.2.5.2 OVERALL RESPONSIBILITIES. The Assistant Administrator (AA) for Procurement reports to the Assistant Administrator for Institutions and Management.

4.11.2.5.2.1 Specifically, the AA for Procurement:

a. Develops and implements plans that address the organization's goals, objectives, metrics, and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.

b. Manages the office functions by reducing institutional risk to missions.

c. In concurrence with Center Directors, approves the assignment, promotion, discipline, and relief of the principal Procurement official at each Center and assesses their performance. Provides a written evaluation of the principal Procurement official at each Center, which shall be attached to each individual's annual performance appraisal.

d. In concurrence with Center Directors, determines the appropriate staffing complement for Center Procurement offices.

e. Prescribes Agency-wide policies, strategies, regulations, and procedures governing the conduct of all NASA procurement and financial assistance activities (excluding the Space Act) within the framework of national and Agency policies and applicable laws and regulations.

f. Plans, coordinates, reviews, and evaluates the overall procurement strategy for major NASA acquisitions and ensures the timeliness and effectiveness of the full spectrum of NASA procurement and financial assistance functions (grants and cooperative agreements). Reviews and concurs on, or approves, various procurement/financial assistance documents.

g. Accomplishes oversight through the comprehensive Procurement Management Survey program, the Center Self Assessment process, and the conduct of special surveys, studies, and reviews as required. Evaluates contract performance against agreed-to baselines for the Agency Baseline Performance Review process to allow for the early identification of contractor performance issues.

h. Leads the Agency's Strategic Sourcing efforts and implements initiatives to improve the procurement process and to achieve consistency of approach to improve functional performance across the Agency.

i. Leads the Agency's efforts to improve management and deliver results in support of the President's Management Agenda initiative for Commercial Services Management (formerly Competitive Sourcing). Also, as the Agency Competitive Sourcing Official, ensures compliance with the Federal Activities Inventory Reform (FAIR) Act.

j. Ensures statutory, regulatory, and fiduciary compliance.

k. Oversees reporting required by Congress, OMB, and other external bodies.

l. Directs, manages, and provides policy guidance and oversight of the Agency's procurement personnel, activities, and operations.

m. Chairs Headquarters-level Procurement Strategy Meetings (PSMs).

4.11.2.5.3 SPECIAL RELATIONSHIPS. The AA for Procurement serves as the NASA Deputy Chief Acquisition Officer and, as such, maintains a special reporting relationship to the Deputy Administrator, who is the NASA Chief Acquisition Officer. The AA for Procurement also:

- a. Serves as the NASA Senior Procurement Executive.
- b. Serves as an adjunct member of NASA's Operations Management Council and as an invited attendee at the Program Management Council.
- c. Serves as NASA's representative to the Federal Acquisition Regulatory Council.
- d. Serves as the ex officio member of all Source Evaluation Boards (SEB), in which the Administrator or Headquarters designee is the Source Evaluation Official (SSO), and attends the related SEB presentations as staff advisor to the SSO.
- e. Represents NASA on committees, teams, etc. with other NASA organizations, other government agencies, foreign governments, industry, and nonprofit organizations and academia. Maintains liaisons with those organizations to gather and share information regarding procurement and/or financial assistance issues.
- f. Develops, publishes for public comment, and issues changes to the Federal Acquisition Regulation in consonance with the Department of Defense and the General Services Administration.

4.11.2.5.4 LINE OF SUCCESSION. In the following order: Director, Program Operations Division; Director, Contract Management Division; and Director, Analysis Division.

4.11.2.6 OFFICE OF SMALL BUSINESS PROGRAMS.

4.11.2.6.1 MISSION. The office provides expertise on the utilization of all categories of innovative small business, including minority educational institutions that can deliver technical solutions in support of NASA's Vision for Space Exploration, and ensures that the Agency is compliant with all Federal laws, regulations, and policies regarding small and disadvantaged business utilization.

4.11.2.6.2 OVERALL RESPONSIBILITIES. For all administrative purposes, the Assistant Administrator (AA) for Small Business Programs reports to the Associate Administrator for Institutions and Management.

4.11.2.6.2.1 Specifically, the AA for Small Business Programs:

- a. Develops and implements plans that address the organization's goals, objectives, metrics and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.
- b. Manages the office functions by reducing institutional risk to missions.
- c. In concurrence with Center Directors, approves the assignment, promotion, discipline, and relief of the principal Small Business Specialist at each Center and assesses their performance. Provides a written evaluation of the principal Center Small Business Specialist at each Center, which shall be attached to each individual's annual performance appraisal.
- d. In concurrence with Center Directors, determines the appropriate staffing complement for Center Small Business offices.
- e. Serves as the senior NASA advocate responsible for ensuring the Agency provides the maximum opportunities possible for small businesses, veteran-owned small businesses, service-disabled veteran-owned small businesses, woman-owned small businesses, HUBZone small businesses, small disadvantaged businesses, and minority serving institutions to participate as prime contractors or as subcontractors under NASA contracts.
- f. Defines program objectives and top-level requirements.
- g. Develops and advises management on policies and procedures for the Agency-wide implementation of applicable laws and regulations pertaining to small and disadvantaged business utilization.
- h. Develops and implements Agency-wide policies, strategies, programs, projects, and initiatives that facilitate the participation of all categories of small businesses in NASA contracts and subcontracts.
- i. Negotiates Agency annual socioeconomic goals with the NASA Centers and the Small Business Administration (SBA).
- j. Oversees Agency compliance with Federal laws and regulations, including those requiring specific percentage goals of NASA contract dollars to small and disadvantaged businesses.
- k. Appoints, pursuant to Federal law, a technical advisor at each NASA Center to advise SBA Procurement Center Representatives on complex procurements.
- l. Conducts nationwide outreach to businesses, both small and large, by hosting and supporting conferences, conducting and overseeing training programs, and giving presentations and speeches to corporate industry groups, other Government agencies, and small business associations.
- m. Provides policy guidance to the Agency's small business personnel, activities, and operations. Conducts periodic telecons and meetings to achieve consistency of approach to improve functional performance across the Agency.
- n. Serves as a subject-matter expert on all major NASA contracts.
- o. Serves on Government-wide boards and task forces that set and revise Federal policy on small and disadvantaged business utilization.
- p. Assists small businesses in payment issues with the Agency and, where mandated by law, payment issues with major prime contractors.
- q. Acts as first-line mediator in small business/Agency disputes.
- r. Monitors program performance, as well as effectiveness and efficiency of programs and processes.
- s. Oversees reporting as required by Congress, the Office of Management and Budget, and other external bodies.

4.11.2.6.3 SPECIAL RELATIONSHIPS.

The AA for Small Business Programs reports to, and is responsible to, the Deputy Administrator with regard to programmatic matters and metrics.

4.11.2.6.4 LINE OF SUCCESSION. An Acting Assistant Administrator for the Office of Small Business Programs will be named by the Associate Administrator for Institutions and Management, if and when necessary.

4.11.2.7 NASA SHARED SERVICES CENTER

The NASA Shared Services Center mission statement is maintained under Chapter 5 (5.12) because of its role as a Technical Service and Support Center.

4.11.2.8 OFFICE OF HEADQUARTERS OPERATIONS.

4.11.2.8.1 MISSION. The Office of Headquarters Operations provides executive leadership and oversight for services and products necessary to

support effective operations. This Headquarters office serves as the single focus on matters pertaining to the planning, execution, and evaluation of Headquarters institutional management activities.

4.11.2.8.2 OVERALL RESPONSIBILITIES. The Executive Director for Headquarters Operations reports to the Associate Administrator for Institutions and Management.

4.11.2.8.2.1 Specifically, the Executive Director for Headquarters Operations:

a. Develops and implements plans that address the organization's goals, objectives, metrics and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.

b. Manages the office functions by reducing institutional risk to missions.

c. Manages facilities and administrative services for Headquarters that include facilities planning and lease management, office space assignment and building alterations, building utilities services, conference room scheduling and audio-visual support, furniture acquisition, custodial services, administrative aircraft scheduling and usage reporting, records management, management of the Headquarters Safety and Emergency Preparedness Programs, and personnel and physical security.

d. Manages information technology (IT) and communications services that include desktop hardware and software acquisition, installation and management, applications software development, computer account administration, computer center management, computer training, IT security, Help Desk, records management, mail operations, forms design, control, and distribution, and telephone, graphics, photographic, and printing/duplication services.

e. Manages human resources management services for Headquarters that include recruitment, classification, and personnel action processing, compensation services, management of the awards and occupational health programs, labor and employee relations, leave and time and attendance program management, performance management, personnel ceiling control, and retirement services.

f. Manages equal opportunity (EO) and diversity management services for Headquarters that include the management of Alternative Dispute Resolution services and EO counseling/diversity training, services to individuals with disabilities, and management of Special Emphasis Programs.

g. Manages logistics and transportation services for Headquarters that include property management, supply and equipment receiving and inspection, furniture and equipment repair, warehousing services, shipment of material, and excess property acquisition and removal.

h. Manages procurement activities for Headquarters that include grants management and contract solicitation, negotiation, award management, and closeout.

i. Manages training and development services for Headquarters that include career counseling, supervisory and management development, employee skill training, and organizational development.

4.11.2.8.3 SPECIAL RELATIONSHIPS. The Executive Director for Headquarters Operations serves as an adjunct member of NASA's Operations Management Council.

4.11.2.8.4 LINE OF SUCCESSION. In the following order: Director for Human Resources Management; and Director; Information Technology and Communications.

4.11.2.9 OFFICE OF BUDGET MANAGEMENT AND SYSTEMS SUPPORT.

4.11.2.9.1 MISSION. The office provides budget, resources management, and automated business systems services to Headquarters installation operations and supports all Mission Directorates and Mission Support Offices at NASA Headquarters.

4.11.2.9.2 OVERALL RESPONSIBILITIES. The Director for Budget Management and Systems Support reports to the Associate Administrator for Institutions and Management.

4.11.2.9.1 Specifically, the Director for Budget Management and Systems Support:

a. Develops and implements plans that address the organization's goals, objectives, metrics, and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.

b. Manages the office functions by reducing institutional risk to missions.

c. Formulates the Corporate Management and Operations (CMAO) budget function that funds Headquarters labor, travel, and procurement costs for installation operations and Mission Support Offices' projects and services.

d. Provides all facets of budget resources allocation, execution control, and oversight of CMAO funds of all customer organizations.

e. Provides support of the implementation and upgrade of the Integrated Enterprise Management Program (IEMP) and e-Government systems at NASA Headquarters as an operating center.

f. Provides systems management and configuration, help-desk operations, end-user services, training, and communications for installed business and administrative systems.

g. Provides integration and communication with internal and external groups as required.

h. Provides management of the Headquarters Travel Office for Center-wide processing of travel orders and maintenance of the automated travel manager system.

i. Provides liaison with the GSFC/Regional Finance Office and management of the Working Capital Fund budget for services provided to HQ by the NASA Shared Services Center.

4.11.2.9.3 LINE OF SUCCESSION. In the following order: Lead, Business and Administrative Systems Division; and Lead, Budget Management Division.

## 4.12 Office of The General Counsel

4.12.1 MISSION. The General Counsel establishes Agency-wide legal policy, provides legal advice, assistance, and Agency-wide functional guidance, ensures the appropriateness of all legal actions and activities Agency wide, and provides binding formal legal opinions on Agency matters. With respect to legal matters and issues, the General Counsel further ensures consistency of approach and eliminates duplication of functional support activities through collaboration, centralization, and/or consolidation of functions between and within Headquarters, the Centers, and separate NASA entities.

4.12.2 OVERALL RESPONSIBILITIES. The General Counsel reports to the NASA Deputy Administrator.

4.12.2.1. Specifically, the General Counsel:

a. Develops and implements plans that address the organization's goals, objectives, metrics, and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.

- b. Manages the office functions by reducing institutional risk to missions.
- c. In concurrence with Center Directors, approves the assignment, promotion, discipline, and relief of the principal legal official at each Center and assesses their performance. Provides a written evaluation of the principal legal official at each Center, which shall be attached to each individual's annual performance appraisal.
- d. In concurrence with Center Directors, determines the appropriate staffing complement for Center Chief Counsel Offices.
- e. Provides legal services related to all aspects of NASA activities and rendering final, binding Agency decisions on the legal sufficiency of actions proposed by, arising within, or referred to NASA, including the definitive legal interpretation and consistent application of NASA policies, applicable statutes, regulations, and/or other authorities, while maintaining functional cognizance over all legal services rendered Agency wide.
- f. Administers the NASA intellectual property law program, including retention of the authority to exercise all powers relating to the right of proprietorship or other legal rights.
- g. Administers the NASA commercial practice law program, including the obligation to provide advice and counsel and ensure appropriate coordination of all legal issues relating to enterprises or initiatives of interest to the Agency of a commercial nature (including, but not limited to, partnership activities, such as the innovative partnership programs, as well as commercialization of space exploration and space transportation matters) and continuation of process improvements and dialogue with NASA commercial providers to ensure the most efficient and effective procurement processes are in place and that mutual resolution of organizational conflicts of interest and other impediments to commercial interaction are reduced to the maximum extent possible.
- h. Administers policy and guidance relating to the use of "other transactions" authority.
- i. Administers the NASA Ethics Program, including serving as the Designated Agency Ethics Official, and exercises administrative control over the Agency-wide Ethics Team.
- j. Reviews the NASA legislative program and NASA-proposed Executive orders for legal compliance, sufficiency, and policy consistency.
- k. Serves as the NASA liaison with the Department of Justice (except contacts premised on the Inspector General Act that fall under the cognizance of the Inspector General and those within the specified purview of the NASA Office of Security and Program Protection).
- l. Serves as the NASA liaison with the Executive Office of the President concerning Executive Orders.
- m. Provides direct supervisory oversight over the Agency Acquisition Integrity Program, a multidisciplinary group resident in the Office of the General Counsel, but combines the expertise of the Inspector General, Office of Procurement, and other NASA entities involved with contracts, procurement, and assurance of procurement integrity issues. This program ultimately reports to the Deputy Administrator (or other designated non-career senior official) as the Agency's Chief Acquisition Officer and Suspension and Debarment Authority and coordinates: educational efforts for procurement personnel, Agency actions to identify and coordinate activity involving procurement integrity issues, and ensures appropriate remedies in the interests of the Agency.
- n. Assigns legal counsel to represent NASA interests in all judicial or administrative proceedings.
- o. Provides legal representation for NASA in all Agency negotiations, including those involving foreign governmental or nongovernmental participation and formal regulatory processes.
- p. Investigates, analyzes, determines, settles, or adjudicates administratively all claims or demands against NASA for personal injury or death and/or damage to or loss of property.
- q. Executes appropriate releases from liability for any demands asserted administratively by or against NASA.
- r. Accepts service of process of all papers in official legal proceedings served upon NASA and executes Certificates of Full Faith and Credit on behalf of NASA.
- s. Reviews and determines the legal sufficiency of all NASA regulations, directives, and internal instructions and policies prior to their enactment or the enactment of any revision.
- t. Develops a consistent approach to recruitment, training, and retention of legal professional and support staff to accomplish current and projected future missions. Maintains an Agency training and development planning process designed to foster and mentor candidates for succession to positions of leadership in the legal community, including oversight and administration of NPR 3400.1, Training and Development for the NASA Legal Staff.
- u. Ensures the quality and sufficiency of legal advice provided to NASA Agency wide.
- v. Ensures consistency of approach, including appropriate collaboration, centralization, and/or elimination of duplicative functions in order to ensure the most efficient and effective provision of legal services to the Agency as a whole.
- w. Develops and maintains an effective and efficient system of information sharing to enable Agency-wide access to legal research, opinions, and issue resolutions.
- x. Ensures concurrence from the affected Mission Directorates and Mission Support Offices prior to the imposition of any requirements or policy upon the Agency that will have a significant monetary or time impact on the resources of Mission Directorates, Centers, or Mission Support Offices.
- y. Oversees reporting as required by Congress, the Office of Management and Budget, and other external bodies.

#### 4.12.3 SPECIAL RELATIONSHIPS.

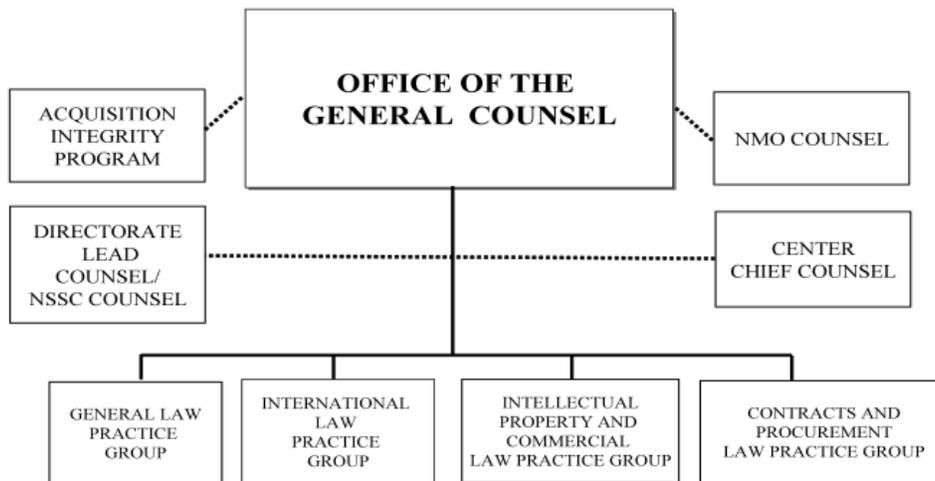
4.12.3.1 Serves as a member of NASA's Strategic Management Council, Operations Management Council, and Program Management Council.

4.12.3.2 Directorate Lead Counsel. The General Counsel assigns Directorate Lead Counsel (DLC) -- experienced senior attorneys from both NASA Headquarters and participating Center Chief Counsel Offices -- to career development positions as "embedded" assets for periods of 12-18 months to Mission Directorates, Mission Support Offices, or other NASA entities by specific agreement between the entity and the General Counsel. DLCs are tasked to provide full-time, on-scene legal support at the Associate Administrator level to ensure legal situational awareness on the part of the Associate Administrator and his or her senior staff and to coordinate matters of importance to the Directorate with both Center Chief Counsel Offices and the Office of the General Counsel.

4.12.3.3 Counsel for NASA Activities Other Than Centers. The General Counsel is responsible for legal support to all non-Center NASA activities Agency wide, including, but not limited to, the NASA Shared Services Center (NSSC) and NASA Management Offices currently existing or developed in the future. The General Counsel will directly assist the directors of such offices and Centers in staffing and will retain cognizance over professional and support staff personnel assignments to these activities.

4.12.4 LINE OF SUCCESSION. In the following order: Deputy General Counsel; Associate General Counsel (International Law Practice Group); Associate General Counsel (Contracts and Procurement Law Practice Group); Associate General Counsel (General Law Practice Group); and Associate General Counsel (Intellectual Property and Commercial Law Practice Group).

## OFFICE OF THE GENERAL COUNSEL



### 4.13 Chief of Strategic Communications

4.13.1 MISSION. The Chief of Strategic Communications works to promote effective NASA communications by ensuring synergy and strategic focus among the Offices of Education, Legislative and Intergovernmental Affairs, and Public Affairs. The Assistant Administrators for the Offices of Education, Legislative and Intergovernmental Affairs, and Public Affairs each reports to the Chief of Strategic Communications. Each office similarly maintains liaison with all other Officials-in-Charge of Headquarters Offices and Center Directors.

4.13.2 OVERALL RESPONSIBILITIES. The Chief of Strategic Communications reports to the NASA Deputy Administrator.

4.13.2.1 Specifically, the Chief of Strategic Communications:

a. Develops and implements plans that address the organization's goals, objectives, metrics, and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.

b. Develops a strategic communications approach for guiding the activities of the Offices of Education, Legislative and Intergovernmental Affairs, and Public Affairs including:

- 1) Designing and implementing strategies and tactics that support NASA's mission.
- 2) Advising the Administrator, Deputy Administrator, Associate Administrator, and Chief of Staff on long-range and day-to-day activities involving Agency policy and communications activities.
- 3) Providing Agency-wide standards for education and public outreach activities and products, and reviewing the education and public outreach activities and products that the Mission Directorates and Centers propose.
- 4) Developing the ability/flexibility to give timely strategic guidance.
- 5) Developing Agency-wide internal communications policies and instruments.
- 6) Building and maintaining the NASA brand.
- 7) Developing, in coordination with the Office of the Administrator, communications for matters of policy, budgets, and mission.
- 8) Monitoring program performance and metrics, as well as effectiveness and efficiency of programs and processes.

c. Researches and develops effective, data-driven strategic messages that can be employed Agency-wide and targeted to specific audiences (internal and external) to provide for the widest practicable and appropriate dissemination of information concerning the Agency's activities and results thereof, and to increase public awareness and understanding of NASA and its missions.

d. Ensures the quality of strategic communication activities and achieves consistency of approach, where appropriate, across the Agency through the integration and coordination of Strategic Communications functions and business processes.

e. Serves as a functional strategy owner of the Crosscutting Strategies for Mission Support (CSMS) Plan that outlines crosscutting management strategies, objectives, and actions needed to support the missions. Coordinates and provides input to the CSMS Plan and executes the Plan in alignment and support of NASA's mission and the United States Space Exploration Policy. Manages the office functions by reducing institutional risk to missions.

f. Ensures that the development of written annual implementation plans for the Offices of Education, Legislative and Intergovernmental Affairs, and Public Affairs, supports the strategic communications plan of NASA, are both strategic and operational in nature, and work synergistically and harmoniously across Functional Support Offices, Mission Directorates, and Centers.

g. Holds the Offices of Education, Legislative and Intergovernmental Affairs, and Public Affairs accountable for their annual performance, as well as setting specific strategies applicable to each office's functions in support of the Agency's priorities. h. Individual mission statements for the functional offices reporting to the Office of the Chief of Strategic Communications can be accessed as follows.

## OFFICE OF STRATEGIC COMMUNICATIONS



4.13.2.1. Office of Legislative and Intergovernmental Affairs

4.13.2.2. Office of Public Affairs.

4.13.2.3. Office of Education.

4.13.3 SPECIAL RELATIONSHIPS. The Chief of Strategic Communications serves as a member of NASA's Strategic Management Council (SMC), Operations Management Council (OMC), and Program Management Council (PMC) as an invited attendee.

4.13.4 LINE OF SUCCESSION. In the following order: Assistant Administrator for Legislative and Intergovernmental Affairs; Assistant Administrator for Public Affairs; and Assistant Administrator for Education.

4.13.2.1 OFFICE OF LEGISLATIVE AND INTERGOVERNMENTAL AFFAIRS.

4.13.2.1.1 MISSION. The office provides executive leadership, direction, and coordination of all communications and relationships related to legislative issues between NASA and the U.S. Congress, state and local government, and space-related associations and citizen's group.

4.13.2.1.2 OVERALL RESPONSIBILITIES. The Assistant Administrator (AA) for Legislative and Intergovernmental Affairs reports to the Chief of Strategic Communications.

4.13.2.1.2.1 Specifically, the AA for Legislative and Intergovernmental Affairs:

a. Develops and implements plans that address the organization's goals, objectives, metrics and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.

b. Serves as the principal advisor to the Office of the Administrator and provides consultation to NASA officials Agency wide concerning all matters involving relations with the U.S. Congress and state and local governments.

c. Defines program objectives and top-level requirements. Develops and oversees Agency-wide policies, strategies, programs, and processes.

d. Establishes and maintains liaison with Members of Congress, their staff, and support organizations; the Executive Office of the President and other departments and agencies; and state and local government offices on legislative matters.

e. Arranges for representation by NASA at congressional hearings, investigations, and other legislative meetings affecting NASA; briefs officials representing NASA on the legislative aspects of their appearances; and reviews statements and other materials to be presented to ensure that they reflect the Administration's and NASA's management policies and objectives.

f. Assists Members of Congress and their staffs in securing appropriate information or assistance. Receives, acknowledges, and replies to congressional inquiries and requests, coordinating such replies within NASA and with other agencies.

g. Establishes and maintains a legislative reference service to meet the needs of all Agency officials.

h. Ensures compliance by NASA with congressional reporting requirements and coordinates the clearance of legislative matters proposed outside of NASA with other elements of the Executive Branch.

i. Establishes and maintains liaison with representatives of space-related industry, trade associations, think tanks, and nonprofits/NGOs regarding legislative matters.

j. Monitors program performance, as well as effectiveness and efficiency of programs and processes.

k. Manages the MSO functions by reducing institutional risk to missions.

l. In concurrence with Center Directors, approves the assignment, promotion, discipline, and relief of the principal Legislative Affairs official at each Center and assesses their performance. Provides a written evaluation of the principal Legislative Affairs official at each Center, which shall be attached to each individual's annual performance appraisal.

m. In concurrence with Center Directors, determines the appropriate staffing complement for Center Legislative Affairs offices.

4.13.2.1.3 SPECIAL RELATIONSHIPS. The AA for Legislative and Intergovernmental Affairs assigns Legislative and Intergovernmental Affairs Specialists to selected Mission Directorate offices. These Legislative and Intergovernmental Affairs Specialists work with the assigned Associate Administrators and their staffs, providing professional legislative affairs support. The Legislative and Intergovernmental Affairs Specialists report to the relevant Legislative and Intergovernmental Affairs Division Director and have direct access to the AA and Deputy AA for Legislative and Intergovernmental Affairs.

4.13.2.1.4 LINE OF SUCCESSION. In the following order: Deputy AA for Legislative and Intergovernmental Affairs; Deputy AA for Strategy and

Plans; and Director, Legislative Liaison Division.

#### 4.13.2.2 OFFICE OF PUBLIC AFFAIRS.

4.13.2.2.1 MISSION. The office provides for the widest practicable and appropriate dissemination of information to news media and the general public concerning the objectives, methods, and results of NASA programs.

4.13.2.2.2 OVERALL RESPONSIBILITIES. The Assistant Administrator (AA) for Public Affairs reports to the Chief of Strategic Communications.

4.13.2.2.2.1 Specifically, the AA for Public Affairs:

a. Develops and implements plans that address the organization's goals, objectives, metrics, and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.

b. Serves as the principal advisor to the Office of the Administrator concerning day-to-day communications to, and relations with, the NASA Team, the media, and the general public.

c. Defines Agency communications objectives and top-level requirements with the news media and develops and oversees Agency-wide media communications policies, strategies, and processes.

d. Leads an Agency-wide program to establish and maintain open and credible communications channels to the NASA Team, the news media, and the general public involving all NASA programs and Centers.

e. Determines the public affairs requirements for customized news and information products and services.

f. Adopts emerging technologies required for the dissemination of information.

g. Establishes NASA-wide policy on public affairs, with oversight responsibility for communication to the news media and general public from all NASA mission directorates, programs, and Field Centers.

h. Coordinates Agency-wide public inquiries activities. The establishment of the Public Inquiries Management Office centralizes the Agency's management for responding to incoming public inquiries, regardless of the medium - paper mail, e-mail, and voice mail communications.

i. Ensures statutory, regulatory, and fiduciary compliance.

j. Monitors program performance, as well as effectiveness and efficiency of programs and processes.

k. Provides liaison to external organizations performing similar functions and to stakeholders who establish Government-wide policy and requirements.

l. Oversees reporting as required by Congress, OMB, and other external bodies.

m. Manages the office functions by reducing institutional risk to missions.

n. In concurrence with Center Directors, approves the assignment, promotion, discipline, and relief of the principal Public Affairs official at each Center and assesses their performance. Provides a written evaluation of the principal Public Affairs official at each Center, which shall be attached to each individual's annual performance appraisal.

o. In concurrence with Center Directors, determines the appropriate staffing complement for Center Public Affairs offices.

4.13.2.2.3 SPECIAL RELATIONSHIPS. The AA shall assign Public Affairs Specialists to selected program offices to serve as co-located Public Affairs Officers. These Public Affairs Officers will work with the assigned Assistant/Associate Administrators and their staffs, providing professional public affairs support.

4.13.2.2.4 LINE OF SUCCESSION. In the following order: Deputy AA; News Services Division Director; Public Services and Protocol Division Director; and Deputy News Services Division Director or the Deputy Public Services and Protocol Division Director (to be determined by senior management).

#### 4.13.2.3 OFFICE OF EDUCATION.

4.13.2.3.1 MISSION. The Assistant Administrator (AA) for Education provides Agency leadership and programmatic oversight for NASA's external education programs. The AA for Education has the responsibility to leverage NASA's unique mission content, facilities, and workforce. Education is a cross-cutting process that engages the public in shaping and sharing the experience of exploration and discovery.

4.13.2.3.2 OVERALL RESPONSIBILITIES. The Assistant Administrator for Education reports to the Chief of Strategic Communications.

4.13.2.3.2.1 Specifically, the AA for Education:

a. Develops and implements plans that address the organization's goals, objectives, metrics, and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan. Defines program objectives and top-level requirements.

b. Leads the development of an implementation plan (including goals, objectives, and metrics) to guide the conduct of the Agency's external education programs and monitors and reports progress against goals and objectives. Establishes the Agency's Education Annual Performance Goals (APG).

c. Presents, advocates, and leads programs, projects, and activities consistent with the NASA Strategic Plan, policies, and education program priorities directed toward primary and secondary education students and educators; higher education students, faculty, and institutions; and, informal education institutions and organizations. The purpose is to strengthen NASA and the Nation's workforce by inspiring and motivating students to pursue careers in science, technology, engineering, and mathematics and to engage the public in NASA's mission through partnerships and alliances.

d. Ensures statutory, regulatory, and fiduciary compliance. Ensures compliance, in partnership and coordination with the Assistant Administrator for Diversity and Equal Opportunity, with all relevant Executive orders such as those specific to the Agency's interaction with Historically Black Colleges and Universities, Hispanic Serving Institutions, Tribal Colleges and Institutions, and Other Minority Institutions.

e. Chairs the Agency's Education Coordinating Committee to ensure consistency of program formulation, strategy, and implementation across the Agency. Coordinates and integrates NASA's education strategic framework, implementation approach, and policies.

f. Leads the process for development and execution of education budget requirements, including the budget approval process, manages corporate resource implementation, and monitors financial performance.

g. Provides corporate communications and advocacy to education partners and the public and develops national partnership networks and an infrastructure to disseminate NASA education content and activities developed by the Office of Education, Mission Directorates, Centers, and education partners.

h. Provides liaison to external organizations performing similar functions and entities that establish Government-wide policies and requirements.

i. Solicits external advice, and represents the Agency externally, in coordination with the Offices of Legislative and Intergovernmental Affairs and

External Relations especially in interacting with Congress, the OMB, and other Federal agencies.

j. Provides oversight of education expenditures from all Agency sources to ensure that expenditures investments conform to the Agency's education mission, goals, and priorities and provides recommendations as appropriate to address deficiencies. For instances where Mission Directorate expenditures do not appear to conform to the overall education program objectives, the AA for Education is responsible for final decisions regarding investments, with the consultation of the Chief of Strategic Communications and the affected Mission Directorate/internal Agency stakeholder. If necessary, the Chief of Strategic Communications will bring items of disagreement to the Operations Management Council.

k. Monitors program performance, effectiveness, and efficiency of programs and processes and oversees reporting as required by Congress, OMB, and other external bodies. The AA for Education, in coordination with the Education Coordinating Committee, establishes appropriate systems to track and report Agency-wide expenditures for education activities, thereby allowing the Agency to document educational expenditures and to monitor progress toward the Agency's strategic goals.

l. Manages the MSO functions by reducing institutional risk to missions.

m. In concurrence with Center Directors, approves the assignment, promotion, discipline, and relief of the principal Education official at each Center and assesses their performance. Provides a written evaluation of the principal Center Education official at each Center, which shall be attached to each individual's annual performance appraisal.

n. In concurrence with Center Directors, determines the appropriate staffing complement for Center Education offices.

#### 4.13.2.3.3 SPECIAL RELATIONSHIPS.

The AA for Education provides leadership and oversight in developing, implementing, and integrating the education investments across the Agency under a cohesive, unified Education portfolio.

4.13.2.3.4 LINE OF SUCCESSION. In the following order: Deputy Assistant Administrator Planning, Policy and Evaluation; and Deputy Assistant Administrator for Integration.

### 4.14 Office of External Relations

4.14.1 MISSION. The Office of External Relations (OER) provides executive leadership and coordination for all NASA international activities and partnerships and for policy interactions between NASA and other U.S. Executive Branch offices and agencies. OER serves as the principal Agency liaison with the National Security Council, the Office of Science and Technology Policy, the Department of State, and the Department of Defense. OER also directs NASA's international relations; negotiates cooperative and reimbursable agreements with foreign space partners; provides management oversight and staff support of NASA's advisory committees, commissions and panels; manages the NASA Export Control Program and policy regarding foreign travel by NASA employees and manages the NASA History Division.

4.14.2 OVERALL RESPONSIBILITIES. The Assistant Administrator (AA) for External Relations reports to the Deputy Administrator.

4.14.2.1 Specifically, the AA for External Relations:

a. Develops and implements plans that address the organization's goals, objectives, metrics and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.

b. Manages the office functions by reducing institutional risk to missions.

c. Directs NASA's international relations through the development, coordination, and implementation of Agency international policies and the development, coordination, and negotiations of NASA international agreements.

d. Serves as the principal advisor to the Office of the Administrator and provides consultation to NASA officials on matters involving external/international relations.

e. Disseminates information on foreign aerospace-related developments of programmatic interest to other NASA offices.

f. Serves as the coordinator of Agency-level interaction with U.S. Executive Branch offices and agencies, ensuring that the implementation of Agency programs is consistent with the U.S. Government domestic and foreign policies, and facilitates NASA participation in selected interagency forums.

g. Serves as the focal point for Agency-wide Export Control Program and J-1 Visitor program and oversees NASA foreign travel policy.

h. Serves as the Agency focal point for Federal advisory committees and Federal Government-wide commissions and advisory activities, ensuring compliance and managing operations.

i. Manages the NASA History Division.

j. Ensures statutory, regulatory, and fiduciary compliance.

k. Monitors program performance, as well as effectiveness and efficiency of programs and processes.

l. Provides liaison to external organizations performing similar functions and that establish Government-wide policies and requirements.

m. Oversees reporting as required by Congress, OMB, and other external bodies.

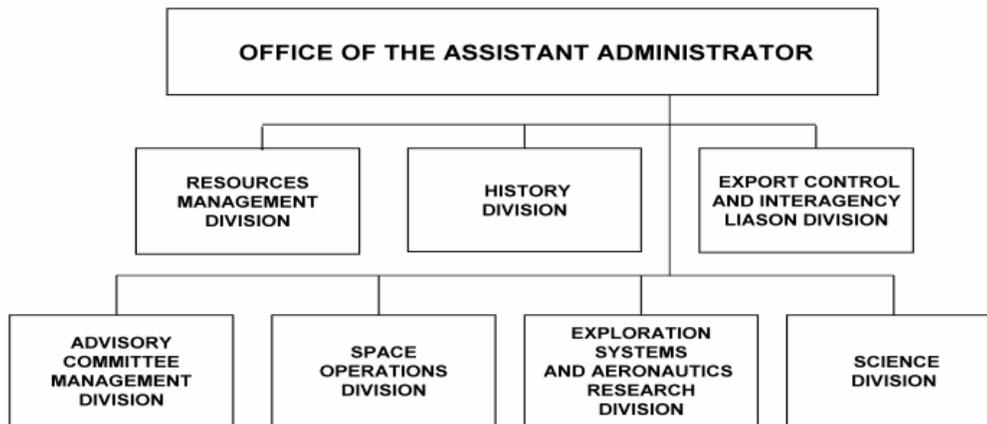
#### 4.14.3 SPECIAL RELATIONSHIPS.

4.14.3.1 The AA for External Relations serves as a member of the Strategic Management Council and an adjunct member of the Operations Management Council.

4.14.3.2 The AA for External Relations assigns international program specialists to selected Mission Directorates that are aligned to focus on specific countries. These International Program Specialists work with the assigned Associate Administrators and their staffs, providing international relations support. The International Program Specialists report to the relevant External Relations Division Director and have access to the AA and Deputy AA for External Relations.

4.14.4 LINE OF SUCCESSION. In the following order: Deputy Assistant Administrator; Director, Export Control and Interagency Liaison Division; Director, Space Operations Division; Director, Exploration Systems and Aeronautics Division; Director, Science Division; and Director, Advisory Committee Management Division.

## OFFICE OF EXTERNAL RELATIONS



### 4.15 Office of The Inspector General

4.15.1 OFFICE MISSION. The Office of the Inspector General (OIG) is an independent and objective unit created by Public Law 95-452, the Inspector General Act. The OIG conducts independent and objective audits and investigations and other evaluations of Agency programs and operations; promotes economy, effectiveness, and efficiency within the Agency; prevents and detects crimes, fraud, waste, and abuse; reviews and makes recommendations regarding existing and proposed legislation and regulations; and keeps the NASA Administrator and Congress fully and currently informed of problems in Agency programs and operations.

4.15.2 OVERALL RESPONSIBILITIES. The Inspector General (IG):

- a. Conducts and supervises audits and investigations relating to NASA's programs and operations.
- b. Provides leadership and coordination and recommends policies for activities designed (A) to promote economy, efficiency, and effectiveness in the administration of, and (B) to prevent and detect fraud and abuse in, NASA's programs and operations.
- c. Provides a means for keeping the Administrator and the Congress fully and currently informed about problems and deficiencies relating to the administration of NASA's programs and operations and the necessity for and progress of corrective action.
- d. Reviews existing and proposed legislation and regulations relating to NASA's programs and operations.
- e. Audits, or selects an independent external auditor to audit, the Agency's financial statements in accordance with generally accepted government auditing standards.
- f. Reports expeditiously to the Attorney General whenever the IG has reasonable ground to believe there has been a violation of Federal criminal law.
- g. Prepares semiannual reports summarizing the activities of the office.
- h. Reports immediately to the Administrator whenever the IG becomes aware of particularly serious and flagrant problems, abuses, or deficiencies relating to the administration of programs and operations of NASA.
- i. Develops and executes the IG budget and controls and expends funds in a separate appropriation account for the OIG.
- j. Issues subpoenas for production of all information and documentary and other evidence necessary.
- k. Administers or takes from any person an oath, affirmation, or affidavit, whenever necessary.
- l. Directly and promptly accesses the NASA Administrator.
- m. Selects, appoints, and employs such officers and employees as may be necessary for carrying out the functions, powers, and duties of the office.

4.15.3. SPECIAL RELATIONSHIPS.

4.15.3.1 The IG is appointed by the President, by and with the advice and consent of the U.S. Senate.

4.15.3.2 The IG reports to and is under the general supervision of the Administrator or, to the extent such authority is delegated, the officer next in rank below the Administrator, but shall not report to, or be subject to supervision by, any other officer of NASA. Neither the Administrator nor the officer next in rank below shall prevent or prohibit the IG from initiating, carrying out, or completing any audit, investigation, or review, or from issuing any subpoena during the course of any audit or investigation.

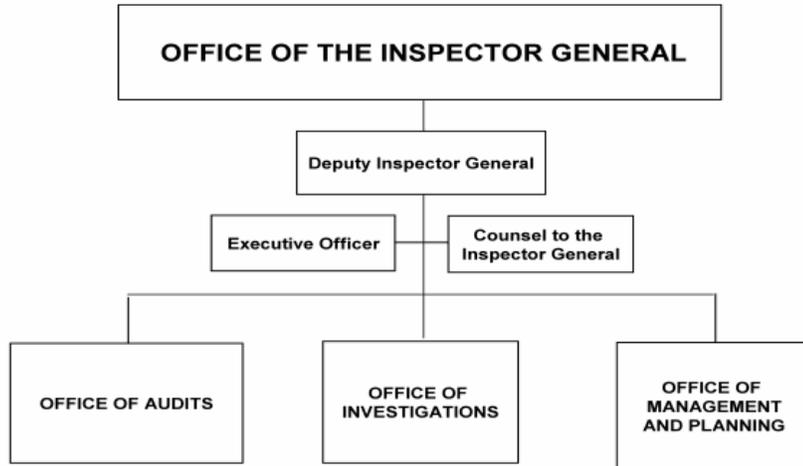
4.15.3.3 The IG may be removed from office by the President. If the IG is removed from office or is transferred to another position or location within NASA, the President shall communicate in writing the reasons for any such removal or transfer to both Houses of Congress, not later than 30 days before the removal or transfer.

4.15.3.4 Serves as a member of the President's Council on Integrity and Efficiency, established under Section 1 of Executive Order 12805, dated May 1, 1992.

4.15.3.5 Serves as a member of a Data Integrity Board established to oversee agency matching programs in accordance with the Privacy Act, 5 U.S.C. S 552a.

4.15.4 LINE OF SUCCESSION. In the following order: Deputy Inspector General; Assistant Inspector General for Investigations; Assistant Inspector General for Auditing; Counsel to the Inspector General; and Assistant Inspector General for Management and Planning. The process for designating an Acting Inspector General is set forth at 5 U.S.C. S 3345 et. seq.

## OFFICE OF THE INSPECTOR GENERAL



### 4.16 Office of The Chief Health and Medical Officer

4.16.1 MISSION. The Office of the Chief Health and Medical Officer (OCHMO) serves as the focal point for policy formulation, oversight, coordination, and management of all NASA health and medical matters in all environments, and medical emergency preparedness and contingency operations and response.

4.16.2 OVERALL RESPONSIBILITIES. The Chief Health and Medical Officer (CHMO) reports to the NASA Deputy Administrator.

4.16.2.1 Specifically, the Chief Health and Medical Officer:

- a. Provides review and oversight of health care delivery, assurance of professional competency, and quality and consistency of health care services Agency wide.
- b. Formulates health care and medical policies for, and provides oversight of, activities related to crew health and medical operations for exploration in and beyond low-Earth orbit.
- c. Establishes and maintains medical and human health-related standards and appropriate levels of medical care for all NASA activities and develops and implements processes for approving these standards.
- d. Serves as the Agency Technical Authority for all health and medical requirements and matters.
- e. Works with Mission Directorate Associate Administrators to review all human health-related program plans and requirements for compliance with established medical and health-related standards and practices.
- f. Reviews and approves medical requirements and research products as ready for operational implementation through the established Transition to Medical Practice process.
- g. Ensures Agency compliance with all statutory and regulatory requirements regarding the safe and ethical execution of research involving human and animal subjects.
- h. Ensures Agency compliance with all statutory and regulatory requirements regarding the safe and ethical execution of medical practice.
- i. Supports the Mission Directorates as appropriate regarding selection of research and development projects relative to research subjects, human health, and medical matters.
- j. Supports the Space Operations Mission Directorate in all activities pertinent to human space flight mission execution.
- k. Manages the MSO functions by reducing institutional risks to missions.
- l. Leads the Agency's efforts to improve management and deliver results in support of the President's Management Agenda - Federal Health IT Interoperability (in collaboration with the Office of the Chief Information Officer).
- m. Ensures coordination with the Office of External Relations when health and medical and research subject matters have implications for international partners or NASA's international activities.
- n. Coordinates NASA health and medical issues, policies, and programs with other NASA organizations, other Government agencies, industry, international participants, and academia.
- o. Ensures that all employees are provided healthful workplaces free from exposures to harmful substances or conditions.
- p. Serves as the Designated Agency Safety and Health Officer (DASHO) liaison to the Department of Labor.

#### 4.16.3 SPECIAL RELATIONSHIPS.

4.16.3.1 The CHMO is the principal advisor to both the Administrator and the Deputy Administrator on health and medical requirements, matters of astronaut health, research subject protection, and matters to ensure the mental and physical health and well-being of the NASA workforce in all environments.

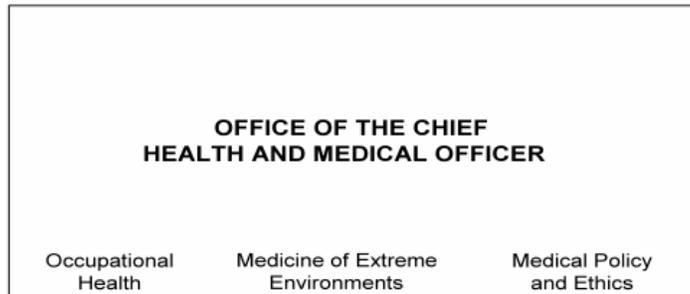
4.16.3.2 The CHMO serves as the NASA liaison to the Occupational Safety and Health Administration, along with representatives from the Office of Safety and Mission Assurance.

4.16.3.3 The OCHMO serves as the primary NASA liaison to the Department of Health and Human Services, the Department of Defense, the Department of Homeland Security, the Department of Transportation, and other Federal departments concerning health and medical matters and research subject protection as appropriate.

4.16.3.4 The OCHMO maintains a standing committee of the Institute of Medicine to advise NASA on Aerospace Medicine and Medicine of Extreme Environments.

4.16.4 LINE OF SUCCESSION. In the following order: Director, Medicine of Extreme Environments Division; and Director, Occupational Health Division.

## OFFICE OF THE CHIEF HEALTH AND MEDICAL OFFICER



### 4.17 Office of Protective Services

4.17.1 MISSION. The office serves as the focal point for policy formulation, oversight, coordination and management of the Agency Protective Services, fire and security services, counter-intelligence (CI), counter-terrorism (CT), emergency preparedness planning, and continuity of operations functions.

4.17.2 OVERALL RESPONSIBILITIES. The Assistant Administrator (AA) for the Office of Protective Services reports to the Deputy Administrator.

4.17.2.1 Specifically, the AA for the Office Protective Services:

- a. Develops and implements plans that address the organization's goals, objectives, metrics, and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.
- b. Manages the office functions by reducing institutional risk to missions.
- c. In concurrence with Center Directors, approves the assignment, promotion, discipline, and relief of the Chief of Protective Services or the Chief of Security (whichever is the more senior position) at each Center and assesses their performance. Provides written evaluations of the Chief of Protective Services or the Chief of Security at each Center, which shall be attached to each individual's annual performance appraisal.
- d. In concurrence with Center Directors, determines the appropriate staffing complement for Center security offices.
- e. Develops Agency-wide policies, strategies, programs, and processes and oversees Agency-wide implementation and integration of NASA Protective Services responsibilities and functions.
- f. Serves as the senior security, counterterrorism, counterintelligence, program protection, and emergency preparedness and response advisor to the Administrator.
- g. Provides executive management security and program protection policy direction and requirements and ensures, through Agency-wide advocacy, that adequate resources are identified and committed to the security program.
- h. Manages and oversees NASA's contribution to national-level policy making for: security, internal policy formulation, oversight, guidance, advice, and assistance to NASA Center security programs and initiatives designed to protect NASA personnel (including on-site contractors and visitors), classified national security information, critical essential infrastructure and key resources, physical assets, and, in concurrence with the Office of the Chief Information Officer (OCIO), policy governing sensitive but unclassified information.
- i. Develops and implements NASA initiatives to detect, deter, and neutralize acts involving espionage, intelligence activities, sabotage and/or terrorist activities conducted for or on behalf of foreign powers, organizations, or persons.
- j. Provides central oversight for all communications security (COMSEC) and national security information systems within NASA, including accreditation of IT systems processing classified information, and serves as NASA's liaison with the National Security Agency, Department of Defense, and the intelligence community for processing national security information.
- k. Coordinates, manages, and directs the Counterintelligence/Counterterrorism Program Agency wide, including analysis, investigations, liaison, training, and oversight of counterintelligence resources.
- l. In partnership with the OCIO, who is responsible for the protection and enforcement of SBU information that is in electronic forms (i.e., in computer systems), jointly formulate policy for the protection of sensitive but unclassified (SBU) information. The Office of Protective Services will be responsible for the protection and enforcement of SBU information that is not in electronic format.
- m. Provides Agency-central service for the operation of the Sensitive Compartmented Information program and security management of NASA Special Access Programs.
- n. Coordinates with the intelligence community regarding analysis centered on identifying threats to NASA and coordinating Agency technical support to the intelligence community during times of emergency.
- o. Provides Agency central service for the adjudication of clearances for national security positions.
- p. Provides central oversight for all emergency preparedness, response, and continuity of operations programs and initiatives designed to ensure NASA is prepared to respond to all emergency situations (fire, security, law enforcement, and emergency management) that would affect NASA missions and infrastructure or those affecting external agencies (including the Department of Defense, the Department of Homeland Security, including the Federal Emergency Management Agency) with which NASA has support responsibilities under the National Response Plan.

- q. Provides program management for development and implementation of the NASA Foreign National Visitor Program and systems management and administration of the NASA Foreign National Management System.
- r. Ensures statutory, regulatory, and fiduciary compliance for the Office of Protective Services.
- s. Monitors program performance, as well as effectiveness and efficiency of programs and processes within the purview of the Office of Protective Services.
- t. Oversees reporting for activities within the purview of the Office of Protective Services as required by Congress, the Office of Management and Budget, and other external bodies.

4.17.3 SPECIAL RELATIONSHIPS.

- a. The AA is the senior security, counterterrorism, counterintelligence, and emergency preparedness and response advisor to the NASA Administrator:
- b. Represents NASA on national-level policy-making groups for security and emergency preparedness.
- c. Serves as principal representative to the National Security Agency, Central Intelligence Agency, National Reconnaissance Organization, Department of Defense, Federal Emergency Management Agency, and Department of Homeland Security, on issues related to security, intelligence, national security systems, emergency preparedness, and NASA R&D efforts related to Emergency Preparedness and Response and Critical Infrastructure Protection Program.
- d. Maintains liaison and establishes working relationships with counterparts in other Government agencies and industry and ensures coordination with the NASA Office of Inspector General on suspected or actual criminal violations and issues of mutual concern, as appropriate.
- e. Coordinates with the OCIO on IT security issues.
- f. Serves as an adjunct member of NASA's Operations Management Council.

4.17.4 LINE OF SUCCESSION. In the following order: Deputy Assistant Administrator; Director Security Management Division; and Director Safeguard Division.

## OFFICE OF PROTECTIVE SERVICES



**Change 4, June 26,2009**

### 4.18 Innovative Partnerships Program Office

4.18.1 MISSION. The Innovative Partnerships Program Office (IPPO) provides needed technology and capabilities for NASA's Mission Directorates' programs and projects through investments and partnerships with industry, academia, Government agencies, and National Laboratories. IPPO also facilitates the transfer of technology developed by NASA for commercial application and other benefits to the Nation. As one of NASA's Mission Support Offices, IPPO supports all Mission Directorates and has program offices at each of the Centers. In addition to leveraged technology investments, dual-use technology-related partnerships, and technology solutions for NASA, IPPO enables cost avoidance

and accelerates technology maturation. IPPO also encourages and facilitates the pursuit of appropriate partnerships with the emerging commercial space sector.

IPPO implements its mission through the following program elements: Technology Infusion which includes the Small Business Innovative Research (SBIR)/Small Business Technology Transfer (STTR) Programs and the IPP Seed Fund; Innovation Incubator which includes Centennial Challenges, Innovation Transfusion, and efforts to facilitate the purchase of services from and encourage partnerships with the emerging commercial space sector; and Partnership Development which includes Intellectual Property management and Technology Transfer and new innovative partnerships.

Together these program elements increase NASA's connection to emerging technologies in external communities, enable targeted positioning of NASA's technology portfolio in selected areas, and secure NASA's intellectual property to provide fair access and to support NASA's strategic goals. Technology transfer through dual-use partnerships and licensing also creates many important socio-economic benefits for the Nation.

4.18.2 OVERALL RESPONSIBILITIES. The Director for the Innovative Partnerships Program Office (IPPO) reports to the Associate Administrator.

4.18.2.1 Specifically, the Director for the Innovative Partnerships Program Office:

- a. Develops and implements plans that address the organization's goals, objectives, metrics, and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.
- b. Manages the office functions by reducing institutional risk to missions.
- c. Establishes policy and provides strategic direction, oversight, budget allocation, and executive management of the various IPP program elements and implements those program elements on an Agency-wide basis.
- d. Implements NASA's technology transfer activities, consistent with policy and legislation, including 15 USC Sec. 3710 (Utilization of Federal technology) and Executive Order No. 12591 (Facilitating Access to Science and Technology).
- e. Implements NASA's SBIR Program, consistent with the Small Business Innovation Department Act of 1982 (PL-97-219).
- f. Implements NASA's STTR Program, consistent with the Small Business Technology Transfer Program Act of 1992 (PL 102-564).
- g. Delivers technology to the Mission Directorates by originating and facilitating partnerships, including non-traditional partnerships, and by targeting IPP investments such as SBIR/STTR and Seed Fund to Mission Directorate technology needs.
- h. Implements the IPP Investment Seed Fund with NASA's Field Centers to induce partnering with external entities on a cost-shared basis for the purposes of developing technological innovations targeted to the Mission Directorates.
- i. Conducts prize competitions through the Centennial Challenges program for the purposes of encouraging innovative solutions by the public to specific technical problems of NASA's Mission Directorates, consistent with legislative prize authority (P.L. 109-155, Section 314).
- j. Ensures that the Agency meets its statutory and regulatory obligations for Intellectual Property Management (42 USC 2457), which includes management of New Technology Reporting processes (NASA FAR supplement 1827), and conducts relevant assessments and evaluations for the purposes of protecting the USG's rights in its inventions (15 USC 3710), as well as licensing such technology for commercial application, other national benefit, and possible future use by NASA to meet mission needs.
- k. Provides coordination and integration with Inventions and Contributions Board activities so as to strengthen New Technology Reporting compliance through recognition of accomplishments and monetary awards.
- l. Encourages and facilitates the pursuit of appropriate partnerships with the emerging commercial space sector, consistent with 42 USC 2473 (a) (3-4), and through partnering and initiatives such as Facilitated Access to the Space environment for Technology development and Training (FAST). Such pursuits include coordinating and interacting with other NASA activities or organizations encouraging commercial space, such as the Commercial Crew and Cargo Office.
- m. Provides leadership and management oversight for the IPP offices at each of the ten NASA Field Centers, established in accordance with 15 USC 2710 (b) (Establishment of Research and Technology Applications Offices); works with all Centers to ensure an integrated program that can best serve the technology needs of NASA's Mission Directorates; and transfers NASA technology to achieve the greatest benefit to the public.
- n. Provides an information technology infrastructure to efficiently collect, compile, monitor, analyze, and report management data (including data on partnerships and licenses) to support decision making.
- o. Facilitates exchange and cross training among Center and HQ personnel, as well as other Government Agency and private sector personnel as appropriate, to create a robust environment for innovative technologies and processes that will benefit NASA's missions.

4.18.3 SPECIAL RELATIONSHIPS.

- a. Management of the SBIR and STTR Program Elements requires maintaining strong relationships with the Small Business Administration (SBA), which oversees the implementation of SBIR and STTR programs by eleven implementing Federal agencies; the SBA reviews the agencies' operations and results and reports to Congress annually.
- b. IPPO reports on NASA's technology transfer activities annually to the Department of Commerce, who in turn compiles NASA's information with that of other Federal agencies and reports to Congress in accordance with the Federal Technology Transfer Act 1986.
- c. IPPO proactively engages the Mission Directorates and their programs and projects at the Centers for the purposes of maintaining knowledge of NASA's technology needs and infusing technologies developed through the IPP portfolio to meet those needs.
- d. IPPO has an office at each Center and works with all Centers to establish an integrated program that can best serve the technology needs of NASA's Mission Directorates and to transfer NASA technology to achieve the greatest benefit to the public.

4.18.4 LINE OF SUCCESSION. In the following order: Deputy Director; Technology Infusion Program Executive; Innovation Incubator Program Executive; and Chief Technologist.

## INNOVATIVE PARTNERSHIPS PROGRAM OFFICE



### 4.19 Office of Program and Institutional Integration

4.19.1 MISSION. On behalf of the NASA Deputy Administrator and the Associate Administrator, the Office of Program and Institutional Integration (OPII) integrates decision-making processes and identifies and resolves issues that cross programmatic and/or institutional lines and provides independent leadership and decision making for selected cross-cutting initiatives.

4.19.2 OVERALL RESPONSIBILITIES. The Director, Program and Institutional Integration, reports to the Deputy Administrator and the Associate Administrator.

- 4.19.2.1 Specifically, the Director for Program and Institutional Integration:
- a. Develops and implements plans that address the organization's goals, objectives, metrics, and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.
  - b. Manages the office functions so as to reduce risk to NASA's mission.
  - c. Provides contract management and programmatic and institutional implementation oversight at the Jet Propulsion Laboratory, California Institute of Technology and at the Applied Physics Laboratory, Johns Hopkins University.
  - d. Administers the Deep Space Network contracts with the governments of Spain and Australia, as well as a number of interagency acquisitions and other procurements.
  - e. Serves as the focal point for Centers and Headquarters on matters relating to integration activities and initiatives.
  - f. Balances the competing requirements and priorities of Mission Directorates, Mission Support Offices, and Centers involving healthy programs, healthy Centers, core competencies, and external mandates.
  - g. Provides analytical decision support to the Deputy Administrator and the Associate Administrator in their roles as Control Account Managers for the Agency Management and Operations (AMO), Institutional Investments, and Center Management and Operations budgets.
  - h. Manages the Agency Management and Operations, Institutional Investments, and Center Management and Operations budgets as delegated by the Principals.
  - i. Conducts studies, as needed, concerning programmatic and institutional crosscutting issues.
  - j. Conducts high-level review and analysis of projected and actual performance of Centers' support activities, in coordination with the cognizant Mission Support Offices.
  - k. Provides oversight of reimbursable contract activities at the Centers.
  - l. Provides oversight of the Sponsored Research and Education Support Services contract and support to the NASA customers of the contract for solicitation processing, peer review, conferences, workshops and meeting activities for the Agency.
  - m. With the Office of Human Capital Management, leads and integrates workforce planning activities at the Agency level.
  - n. Serves as Chair of the Senior Assessment Team, which coordinates the development of NASA's Integrated Internal Control Plan, determines appropriate assessable units for review and analysis, identifies internal control deficiencies within the Agency's management systems, and recommends appropriate action in the overall best interests of the Agency.

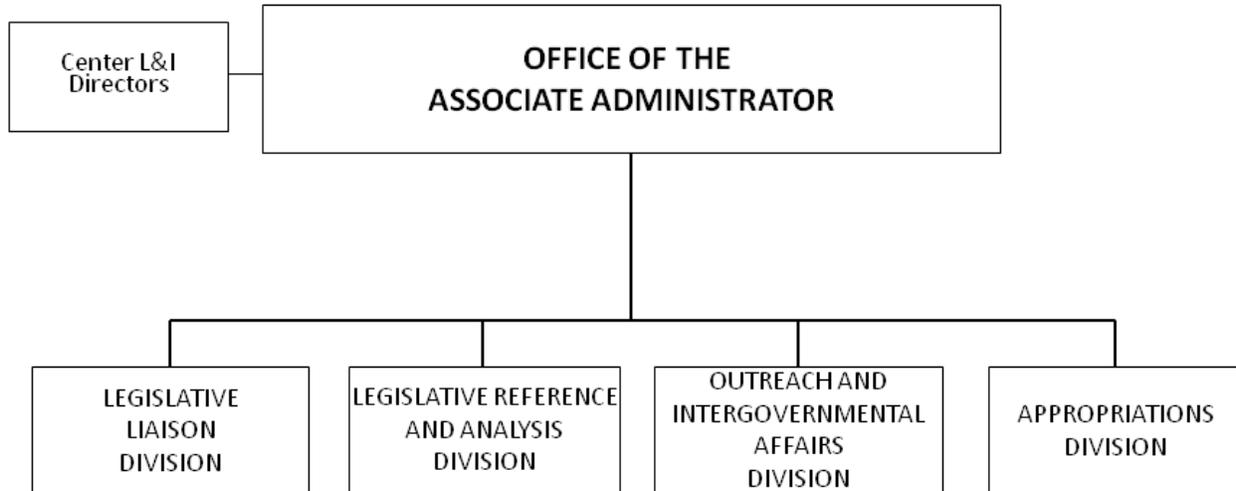
#### 4.19.3 SPECIAL RELATIONSHIPS.

4.19.3.1 The Director, Program and Institutional Integration serves as an adjunct member of NASA's Operations Management Council and a member of the Program Management Council.

4.19.3.2 The Office of the Chief Financial Officer provides the Office of Program and Institutional Integration with resource management support for the execution of the Agency Management and Operations (AMO) and Center Management and Operations (CMO) Budgets.

4.19.4 LINE OF SUCCESSION. In the following order: Deputy Director, Program and Institutional Integration; Director, NASA Management Office; and the senior Management and Program Analyst.

## OFFICE OF LEGISLATIVE AND INTERGOVERNMENTAL AFFAIRS



**Change 14, October 25, 2010**

### **4.20 OFFICE OF LEGISLATIVE AND INTERGOVERNMENTAL AFFAIRS.**

4.20.1 MISSION. The office provides executive leadership, direction, and coordination of all communications and relationships related to legislative issues between NASA and the U.S. Congress, state and local government, and space-related associations and citizen's group.

4.20.2 OVERALL RESPONSIBILITIES. The Associate Administrator (AA) for Legislative and Intergovernmental Affairs reports to the NASA Deputy Administrator.

4.20.2.1 Specifically, the AA for Legislative and Intergovernmental Affairs:

- a. Develops and implements plans that address the organization's goals, objectives, metrics and actions needed to execute the strategic goals and outcomes in the NASA Strategic Plan.
- b. Serves as the principal advisor to the Office of the Administrator and provides consultation to NASA officials Agency wide concerning all matters involving relations with the U.S. Congress and state and local governments.
- c. Defines program objectives and top-level requirements. Develops and oversees Agency-wide policies, strategies, programs, and processes.
- d. Establishes and maintains liaison with Members of Congress, their staff, and support organizations; the Executive Office of the President and other departments and agencies; and state and local government offices on legislative matters.
- e. Arranges for representation by NASA at congressional hearings, investigations, and other legislative meetings affecting NASA; briefs officials representing NASA on the legislative aspects of their appearances; and reviews statements and other materials to be presented to ensure that they reflect the Administration's and NASA's management policies and objectives.
- f. Assists Members of Congress and their staffs in securing appropriate information or assistance. Receives, acknowledges, and replies to congressional inquiries and requests, coordinating such replies within NASA and with other agencies.
- g. Establishes and maintains a legislative reference service to meet the needs of all Agency officials.
- h. Ensures compliance by NASA with congressional reporting requirements and coordinates the clearance of legislative matters proposed outside of NASA with other elements of the Executive Branch.
- i. Establishes and maintains liaison with representatives of space-related industry, trade associations, think tanks, and nonprofits/NGOs regarding legislative matters.
- j. Monitors program performance, as well as effectiveness and efficiency of programs and processes.
- k. Manages the mission support office functions to reduce institutional risk to missions.
- l. Directs, manages, and provides policy guidance and oversight of the Agency's legislative affairs personnel, activities, and operations. In

concurrency with Center Directors, approves the assignment, promotion, discipline, and relief of the principal Legislative Affairs official at each Center and assesses their performance. Provides a written evaluation of the principal Legislative Affairs official at each Center, which shall be attached to each individual's annual performance appraisal.

m. In concurrence with Center Directors, determines the appropriate staffing complement for Center Legislative Affairs offices.

4.20.3 SPECIAL RELATIONSHIPS. The AA for Legislative and Intergovernmental Affairs assigns Legislative and Intergovernmental Affairs Specialists to selected Mission Directorate offices. These Legislative and Intergovernmental Affairs Specialists work with the assigned Associate Administrators and their staffs, providing professional legislative affairs support. The Legislative and Intergovernmental Affairs Specialists report to the relevant Legislative and Intergovernmental Affairs Division Director who reports to the Deputy AA and AA for Legislative and Intergovernmental Affairs.

4.20.4 LINE OF SUCCESSION. In the following order: Deputy AA for Legislative and Intergovernmental Affairs; Director, Legislative Liaison Division; Director, Outreach and Intergovernmental Affairs Division; Principal Legislative Affairs official, Kennedy Space Center; Principal Legislative Affairs official, Johnson Space Center.

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