

MPG 1230.1

BASELINE

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# **MARSHALL PROCEDURES AND GUIDELINES**

**RS01**

## **CENTER RESOURCES MANAGEMENT PROCESS**

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PREFACE

**P.1 PURPOSE**

The Marshall Space Flight Center (MSFC) resources management process provides the requirements, roles, and responsibilities for the management of Center resources in support of programs and projects at MSFC. This process governs the planning, implementation, evaluation, and control of MSFC resources consistent with established Center and Agency policies and procedures.

**P.2 APPLICABILITY**

The process applies to the following Center resources:

- Workforce
  - Civil service workforce
  - Support contractor workforce
  - On-site contractor workforce (including on-site prime contractors)
- Program funding
- Institutional funding
- Travel funding

**P.3 AUTHORITY**

MPD 1280.1, "Marshall Management Manual"

**P.4 APPLICABLE DOCUMENTS**

MPG 1440.2, "MSFC Records Management Program"

**P.5 REFERENCES**

NPG 7120.5, "NASA Program and Project Management Processes and Requirements"

**P.6 CANCELLATION**

None

Original Signed by  
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Director

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DOCUMENT CONTENT

**1. DEFINITIONS**

1.1 Center Resources Planning Subprocess. A process to define, baseline, and change in-house work for the next operating fiscal year. The Center Resources Planning subprocess is the Center's resource planning for the near-term, next operating fiscal year. During this lower-level planning process, Collaborative Work Commitments (CWCs) are developed to document commitments for planned in-house work and the associated resources. This process will normally begin in July with completion prior to the beginning of the next operating fiscal year.

1.2 Corrective Action (CA). Actions taken to correct an "out-of-limit" condition.

1.3 CWC. Documentation of definition of work to be performed, the resources necessary to accomplish the defined work, and the commitments of the Program/Project Manager, Task Manager, and Supporting Organizations to provide the resources to perform the work. The CWC structure can be at the same level as the Strategic Planning Agreement (SPA)(typically for indirect and institutional support) or at a lower level for Project CWCs. Work is defined in a Project CWC among a Program/Project Manager, a Task Manager (or point of contact for support that cuts across multiple tasks managed and tracked at the project level), and Supporting Organizations. The CWC structure will be the responsibility of the Program/Project Manager and should be consistent with the way the work is managed. Typically, this is the Work Breakdown Structure (WBS) or task level for the project. Depending on the task complexity, the Task Manager may choose to decompose the CWC into subtasks. Subtasks can be used as a means of clarifying the task content. Additionally, a subtask can also be used to define lower level (i.e., subsystem, component, or piece part) tasks.

1.4 Directorate. Directorate is used to refer to all Center Directorates, Project Offices, and Staff Offices reporting directly to the Center Director. This term will be used hereafter to refer to these organizations. Directorates are also responsible for managing any Center in-house resources allocated to the Directorates by the Center Director, including institutional funds, travel funds, and direct and indirect civil service workforce. Director is used to refer to the individuals who are responsible for managing these organizations.

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1.5 Evaluation and Control Subprocess. The Evaluation and Control subprocess is a continuing assessment of the Center's utilization of resources according to established plans to fulfill the Center's commitments. The process also defines the activities and actions to modify the in-house resource plans and to implement and execute the revised plans.

1.6 Execution Subprocess. The Execution subprocess occurs during the operating fiscal year, and is the management and control of the Center resources involved in delivering the products and services for programs and projects consistent with the plans as specified and agreed to in the Center Resource Planning subprocess.

1.7 Fiscal Year. Term used to refer to the budget or operating year; period beginning October 1 and ending the following September 30.

1.8 Full Time Equivalent (FTE). Term used to refer to civil service workforce, which is equivalent to a civil service employee working one year (2,080 hours including leave).

1.9 Lead Organization. The title given to the Task Manager's (or the point of contact) organization. The Lead Organization, as initially recommended by the Program/Project Manager, is responsible for either naming a Task Manager in response to a CWC or working with the Requesting and Supporting Organizations to determine the appropriate Lead Organization for the task. The Task Manager may be from the Requesting Organization, if appropriate. The Task Manager should not be the Program/Project Manager, unless the task is the project management task.

1.10 Managing Organization. The Directorate of the requester, typically the Program/Project Manager, responsible for developing the SPA or CWC.

1.11 Performing Team. All civil service and support contractor personnel assigned to perform the work defined in a specific CWC. As an agent for the Program/Project Manager, the Task Manager is considered the technical lead of the Performing Team.

1.12 Program Operating Plan (POP). Time-phased resource requirement projections submitted periodically by Centers to Strategic Enterprises and by Enterprise officials in response to the NASA Chief Financial Officer's (CFO's) guidance. These estimates serve as a guide for resources and allotment authorizations and provide a baseline for measuring performance and future budget planning.

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1.13 Program/Project Manager. The individual designated by MSFC to lead a program/project. The definition and responsibilities of a NASA Program/Project Manager are described in NPG 7120.5. Relative to the Strategic Planning process, the Program/Project Manager is the MSFC individual accountable and responsible for preparing inputs to the SPA for both approved and forecasted programs/projects to be included in Center POP submissions. Relative to the Center Resource Planning subprocess, the Program/Project Manager is the MSFC individual who is held accountable and responsible for reaching agreement with Center organizations on utilization of in-house resources for their assigned projects as identified in the SPA and CWC.

1.14 Requesting Organization. The title given to the organization of the individual requesting the work on a SPA or CWC. This individual is typically the Program/Project Manager.

1.15 Senior Management Council (SMC). The SMC membership will consist of MSFC Center Director, Center Deputy Director, and Directors (as specified in 1.4) involved in future program development, product implementation, and resource deployment. The SMC will be chartered by the Center Director to develop a coordinated strategy to ensure a highly successful and effective future program at MSFC in support of both our workforce and our customers' needs.

1.16 SPA. An agreement between a Program/Project Manager and Supporting Organizations on in-house resource estimates. The SPA is a planning document. A SPA should be developed at the appropriate level of the agency budget structure, as determined by the Program/Project Manager in conjunction with the CFO in order to respond to Agency requirements. This is generally the project level but, in some cases, may be lower.

1.17 Strategic Planning Subprocess. A process to define and develop estimates of resource requirements for approved and projected work for programs and projects in support of strategic planning and budget development activities. The Strategic Planning sub-process focuses on long-term strategic planning (the next budget fiscal year plus 5 years). SPAs are developed during this high-level planning process.

1.18 Supporting Organization. The title used to refer to all MSFC organizations that perform work to accomplish the tasks defined in an SPA or CWC (including any subtasks) in support of the Program/Project Manager and Task Manager. For the purposes

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of this document, Lead Organizations and Managing Organizations are also considered to be Supporting Organizations.

1.19 Task Manager. The Task Manager is considered the technical lead of the performing team in support of the Program/Project Manager and is in continual communication with project interfaces and the Program/Project Manager. The Task Manager coordinates with all parties to define, clarify, and negotiate CWC task content, schedule, and resources. The Task Manager is responsible and accountable for the management of established resources to support the technical performance of the task described in the CWC and any CWC subtasks within the defined schedule and technical aspects. The Task Manager is assigned by the Lead Organization at the lowest appropriate level in the organization and is responsible for working with Groups, Departments, and Directorates as necessary to manage the resources to accomplish the task(s) described in the CWC.

1.20 Work-Year Equivalent (WYE). Term used to refer to support contractor workforce, which is equivalent to a contractor employee working one year (productive hours only, not including leave).

## 2. RESPONSIBILITIES

2.1 Center Director or designated personnel shall:

2.1.1 Initiate the strategic planning and Center resource planning cycles via a formal letter to the Directorates.

2.1.2 Conduct Center evaluations and reviews to ensure MSFC resources are appropriately utilized in support of work assigned to the Center. These reviews occur during the CWC Evaluation and Control subprocess as specified in 3.4.14 through 3.4.18. Assess directorate variances and decide if CA is necessary.

2.1.3 Evaluate CA, approve CA, or request further evaluation.

2.1.4 Initiate required reallocations of Center resources consistent with approved Center Director CA.

2.2 The Deputy Center Director shall serve as the Process Leader for the strategic planning and Center resource planning cycles and perform the duties specified in paragraphs 3.1 and 3.2.

2.3 The Chief Financial Officer shall:

2.3.1 Serve as Process Manager for the Center resource planning

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cycles and carry out the duties specified in paragraphs 3.1 and 3.2.

2.3.2 Assist the Center Director in developing guidance, expectations, and schedule of activities and communicating to Directorates for the Center resource planning cycles.

2.3.3 Establish process facilitation team(s) responsible for managing and coordinating day-to-day Center resource planning subprocesses as described in 3.1.1 and 3.2.1.

2.3.4 Provide periodic status of the Center resource planning subprocesses to Center senior management.

2.3.5 Ensure the Agency budget structure is followed for all resource management activities.

2.3.6 Integrate the Center POP submission(s) and the Center operating plan(s).

2.3.7 Manage the overall Center travel allocations and adjust allocations between Directorates as appropriate to ensure proper usage of Center travel funding.

2.3.8 Ensure Center evaluations and reviews are accomplished on a regular basis, communicate the Center Director's requirements for this activity to the Directorates, and provide the integrated Center resource data. This is done during the Evaluation and Control subprocess as specified in 3.4.14 through 3.4.18.

2.3.9 Support the Center evaluation of CA with integration and analysis of resource data, as required.

2.3.10 Support the Center Director by assessing availability of resources and associated risk to accomplish CA.

2.3.11 Support the Center Director in reallocation of Center resources in accordance with approved CA.

2.4 Directorates shall:

2.4.1 Develop or update an integrated planning strategy, in accordance with paragraph 3.2.

2.4.2 Align resource planning, as appropriate, consistent with POP Guidelines.

2.4.3 Distribute resource allocations to all elements of their

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respective organizations consistent with Directorate integrated priorities and strategy.

2.4.4 Work with Program/Project Managers to resolve project-level problems and/or redistribute allocations.

2.4.5 Communicate and work cooperatively within Directorate to resolve problems and issues.

2.4.6 Establish focal point(s) to resolve day-to-day inter-directorate issues during the strategic planning and center resource planning cycles.

2.4.7 Support the Agency budget deliberation activities following the Center POP submission, as necessary.

2.4.8 Prepare SPA and CWC to capture "indirect" activities for their organizations, consistent with their allocation.

2.4.9 Confirm and distribute resource allocations within their organizations in accordance with the Center resource planning schedules.

2.4.10 Ensure that Directorate Review and Evaluation activity is accomplished on a regular basis, including identifying and communicating the requirements for this activity. This is done during the Evaluation and Control subprocess as specified in 3.4.7 through 3.4.17.

2.4.11 Ensure Directorate status is provided as required and communicate issues and concerns in an accurate and timely manner to Center Senior Management.

2.4.12 Assess the availability of resources and associated risk to accomplish Directorate CA and make the decision to implement the CA or initiate inter-directorate coordination and review activities.

2.4.13 Coordinate with counterparts in other directorates as necessary to facilitate inter-directorate resolution of CA.

2.4.14 Support inter-directorate review process and the timely development of Center-level corrective action recommendation.

2.4.15 Be responsible for cooperatively reaching resolution of issues and communicating the results, or jointly developing options and impacts and elevating to the Center Director. Participate by providing recommended adjustments to resolve

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issues and complete impact assessments of CA implementation.

2.4.16 Provide a formal request for the CFO to allow update of affected CWCs if there are significant changes to project allocations as a result of approved CA.

2.5 Directorate Business Offices shall:

2.5.1 Support the Director in the Directorate Review and Evaluation activity by providing integrated resource data, as necessary.

2.5.2 Assist the Director in assessing the availability of resources and associated risk to accomplish Directorate CA.

2.6 SMC shall:

2.6.1 Conduct a pre-POP Center-level review of each Directorate's planning strategy.

2.6.2 Conduct a Center-level review to resolve issues prior to issuance of final POP allocations for budget formulation.

2.6.3 Conduct Center evaluations and reviews to ensure MSFC resources are appropriately utilized in support of work assigned to the Center.

2.7 Program/Project Managers shall:

2.7.1 Participate in discussions with supporting organizations concerning SPA issues.

2.7.2 Work with Directorates to resolve project-level problems and/or redistribute allocations.

2.7.3 Prepare inputs to the SPA for both approved and forecasted programs/projects to be included in Center POP submissions.

2.7.4 Collaborate with Supporting Organizations and Task Managers to develop CWCs.

2.7.5 Negotiate with Task Managers and Supporting Organizations for reconciliation of issues.

2.7.6 Make changes to CWCs, with assistance and support of the Task Managers and Supporting Organizations.

2.7.7 Verify that data in the CWCs are correct and approve the

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CWCs.

2.7.8 Be responsible for project control and accountable for project funding authority with support from the Project Business Office.

2.7.9 Manage the total project travel budget allocated to their project or organization and serve as authorizing official for travel requests in accordance with established procedures within their organization.

2.7.10 Assess availability of funding authority and allocate available funding authority in accordance with approved CWC plan; or based upon a periodic review of actual commitments, obligations, and costs for the CWC effort throughout the year, decide to release funding incrementally due to resources and performance status.

2.7.11 Conduct reviews, including identifying and communicating the requirements for this activity. This is done during the Evaluation and Control subprocess as specified in 3.4.1 through 3.4.17.

2.7.12 Lead the Task Managers and performing team in collectively identifying the appropriate CA to bring any out-of-limit condition under control.

2.7.13 Integrate project element data and, with the support of the Task Managers and performing team, make the decision on the appropriate CA.

2.7.14 Communicate the changes or revisions that will result from implementation of the CA to the Supporting Organizations.

2.7.15 Assess availability of resources and associated risk to accomplish CA with assistance from the Project Business Office and make decision to implement CA or elevate issue to the Director.

2.7.16 Determine, with the support of the Task Manager, the appropriate manner in which the CA change will be documented and the way in which actual performance will be tracked to the revised plan.

2.7.17 Ensure the Project Business Office redistributes resources to the Task Managers consistent with the CA.

2.7.18 Support the Directorate Review and Evaluation activity by

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providing required data as defined by the Director and by communicating issues and concerns in a timely manner.

2.7.19 Support the inter-directorate review process and the timely development of Center-level CA for affected projects.

2.7.20 Support the Center Director in review of the decision on CA.

2.7.21 Analyze approved CA, with assistance from the Task Managers, performing team, and Business Management Office. Implement approved CA if there are no significant changes to project allocations. Update affected CWCs if there are significant changes to project allocations as a result of approved CA.

2.8 Project Business Offices shall:

2.8.1 Provide project control support to the Program/Project Manager and account for project funding authority.

2.8.2 Inform the Task Manager and Supporting Organizations when funding is authorized.

2.8.3 Distribute funding authority to specific organizations at the Task Manager's request.

2.8.4 Compile and integrate actuals for commitments, obligations, and costs and workforce actuals in support of the Program/Project Manager and Task Manager.

2.8.5 Support the Program/Project Manager in the evaluation and control activity by providing the necessary resource data and integrating and analyzing project data, as required.

2.8.6 Assist the Program/Project Manager in assessing availability of resources and associated risk to accomplish CA.

2.8.7 Redistribute resources to the Task Managers consistent with the CA.

2.9 Lead Organization shall assign a Task Manager based on the complexity and content of the CWC.

2.10 Task Manager shall:

2.10.1 Create subtasks, if appropriate, and consolidate estimates of resources required by each Supporting Organization.

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2.10.2 Obtain concurrence on the CWC from each Supporting Organization.

2.10.3 Negotiate with Program/Project Manager and Supporting Organizations for reconciliation of issues.

2.10.4 Make changes to the CWC with assistance and support of the Supporting Organizations.

2.10.5 Verify that data in the CWC is correct and approve the CWC.

2.10.6 Request the Project Business Office to distribute funding authority to the appropriate Supporting Organizations in accordance with the approved CWC (and any revisions thereto).

2.10.7 Be responsible and accountable for management of the CWC budget and tracking of the CWC funding plan.

2.10.8 Establish performance metrics and allowable resource performance metrics, workforce, and schedule variance parameters for the CWC task(s) consistent with guidelines received from the Program/Project Manager.

2.10.9 Monitor workforce and skills made available to support the task and elevate issues to the Program/Project Manager in a timely manner.

2.10.10 Initiate appropriate procurement actions to acquire required resources in accordance with the procurement plan as specified in the approved CWC (and any revisions thereto), and approve any deviations from the approved CWC plan on a case-by-case basis not exceeding the total CWC resources plan.

2.10.11 Monitor technical performance at the CWC level and remain cognizant of the technical status (and associated issues) of all tasks in support of the CWC effort within established resources and collaborate with members of the performing team to identify issues concerning technical performance and workforce utilization that may affect resources.

2.10.12 Periodically review integrated status and associated issues and work together to bring issues to an acceptable resolution with the performing team and Program/Project Manager.

2.10.13 Periodically report status of assigned tasks (including any planned corrective actions or unresolved issues) to the

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Program/Project Manager in accordance with project requirements and lead the effort to define and implement specific corrective actions.

2.10.14 Compile and integrate schedule status (and associated variances) in support of the Program/Project Manager.

2.10.15 Ensure proper integration of performing team delivered product(s) in accordance with established schedules, resources, and technical requirements/specifications and deliver the final product(s).

2.10.16 Determine if the task specified in the CWC has been successfully completed.

2.10.17 Support the Evaluation and Control activity by providing required data as defined by the Program/Project Manager, and communicating issues and concerns in a timely manner.

2.10.18 Support the Program/Project Manager in evaluating any issues and impacts that are associated with CA implementation and provide recommended adjustments to resolve issues.

2.10.19 Assist the Program/Project Manager in identifying and communicating with all organizations affected by the CA.

2.10.20 Support the Program/Project Manager in determining how the CA change will be documented and the way in which actual performance will be tracked to the revised plan.

2.10.21 Adjust plans as appropriate to implement CA and continue to manage the CWCs consistent with the Execution subprocess.

2.10.22 Update affected CWCs if there are significant changes to project allocations as a result of approved CA.

2.11 The Lead Organization Business Office shall provide associated variances data in support of the Task Manager as appropriate.

2.12 Supporting Organizations shall:

2.12.1 Review SPA estimates provided by the Projects and indicate concurrence and/or identify any associated issues.

2.12.2 Participate in discussions with Program/Project Managers concerning major issues of the SPA.

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2.12.3 Collaborate with Program/Project Manager and Task Manager to develop the CWC.

2.12.4 Negotiate with Program/Project Manager and Task Manager for reconciliation of issues.

2.12.5 Verify that data in the CWC is correct and approve the estimates.

2.12.6 Assist the Program/Project Manager and Task Manager in making changes to the CWC.

2.12.7 Assign specific civil service skills to the CWC effort according to established plans. Ensure appropriate task directives, funding, and associated procurement requests are in place for any required support contractor effort to be performed in support of their organization's technical commitments.

2.12.8 Be responsible and accountable for the management of CWC funding authority and procurement status of the CWC funding plan for their respective organization.

2.12.9 Facilitate the systems engineering and integration of CWC technical efforts through coordination and integration of tasks within their organizations to the extent practical.

2.12.10 Monitor technical performance, workforce utilization, and schedule performance within their respective organizations.

2.12.11 Adjust plans as appropriate to implement CA.

2.12.12 Support the Directorate Review and Evaluation activity by providing required data as defined by the Director and by communicating issues and concerns in a timely manner.

2.12.13 Update affected CWCs if there are significant changes to project allocations as a result of approved CA.

2.13 Supporting Organization's Business Offices shall provide applicable inputs as necessary to the Lead Business Office and/or Project Business Office.

2.14 Performing Team shall:

2.14.1 Perform assigned tasks within established schedule and resources constraints.

2.14.2 Initiate procurement actions to acquire required

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resources in accordance with the procurement plan as specified in the approved CWC (and any revisions thereto).

2.14.3 Support the systems engineering and integration of CWC technical effort.

2.14.4 Provide schedule inputs for their respective tasks.

2.14.5 Deliver their product(s) in accordance with established schedules, resources, and technical requirements/specifications or identify associated issues to the Task Manager for resolution.

2.14.6 Support the Program/Project Manager in evaluating any issues and impacts that are associated with CA implementation.

2.15 All Organizations shall:

2.15.1 Communicate lessons learned and proposed improvements to the Process Manager (CFO) after the strategic planning and Center resource planning cycles.

2.15.2 Determine specific travel requirements at appropriate elements of all organizations, including indirect support, programs, and projects (Program/Project Managers, Task Manager, and members of the performing team) and identify travel-related budget issues.

### **3. PROCEDURE**

**3.1 Strategic Planning Subprocess** - The Strategic Planning subprocess is the process to define and develop long-range estimates of resource requirements for MSFC programs and projects in support of strategic planning and budget development activities. Agreements between a Program/Project Manager and Supporting Organizations on in-house resource requirements will be represented and documented on a SPA.

The numbers correspond to the blocks on the process flow chart (see Flow Diagrams 1 and 2).

**Roles and Responsibilities:** The Strategic Planning Process Leader is the Deputy Center Director, and the responsibilities include: providing leadership to ensure success of the process, approval of process changes, and communication; providing advocacy for the process; setting expectations for cross-directorate collaboration; making the final decisions; and resolving issues relating to process function and operation. The Customer and Employee Relations Directorate has overall

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responsibility for management of the Center's strategic planning process.

### 3.1.1 Center Director Initiates Strategic Planning Subprocess-

**Purpose** - The Center Director or designee formally initiates the Strategic Planning subprocess by providing a letter to the Directors of all MSFC Directorates to communicate guidance, expectations, and schedule of activities for the process. This letter will normally be provided in November each year.

**Input** - Last POP Center Submission with adjustments (such as Lead Center, Enterprise, Capital Investment Committee, Administrator) incorporated into NASA budget request to Office of Management and Budget (OMB), road maps from Enterprises, NASA Administrator Guidance, Program Commitment Agreements, and current SPA plans, if applicable. Both programmatic and organizational workforce allocations and primary travel and institutional funding allocations will normally be included.

**Output** - Letter to Directors of MSFC Directorates with current SPA plans

**Roles and Responsibilities** - The Center Director is responsible for issuance of letter with assistance from the CFO. During this initial activity, the CFO will establish a process facilitation team. This team will be led by the CFO and will be responsible for managing and coordinating the day-to-day planning subprocess. The team representatives will support the CFO, as well as their Directorates, in interpreting, communicating, implementing, and integrating the process activities. Additionally, each Directorate will establish a focal point(s) to resolve day-to-day inter-directorate issues.

### 3.1.2 Directorate Strategic Planning

**Purpose** - Each Directorate will develop or update an integrated strategy in accordance with MPG 1000.1, "Center Strategic Planning Process."

**Input** - Letter, which provides guidance from the Center Director, the last Center POP submission with adjustments for NASA budget request to OMB and OMB pass back (if received), road maps from Enterprises, Program Commitment Agreements, program and project, plans, program/project experience, and performance to date.

**Output** - Initial Directorate-level strategy that includes all elements listed above.

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Roles and Responsibilities - Directors of the Center Directorates are responsible for leading and ensuring the development of an integrated directorate strategy and communicating the strategy to Center senior management.

### 3.1.3 SMC Pre-POP Review

Purpose - The SMC will conduct a pre-POP Center-level review of each Directorate's strategy to ensure Directorate-level strategic planning is progressing and projections and workforce deployment are consistent with the Center's implementation of the Agency Strategic Plan.

Input - Initial Directorate strategy to include total scope and requirements by project compared to the last POP submission (with any updates for Agency reconciliation). Also includes identification of all desired new work with specified accommodation plans.

Output - Agreement or redirection from SMC provided to each Director, formally communicated in a letter.

Roles and Responsibilities - The SMC is responsible for planning and communicating expectations and scheduling the review, validating previous workforce allocations and new projections, and communicating agreement or redirection to Directors. Directors are responsible for developing and communicating their strategies to the SMC, as well as incorporating direction into MSFC Lead Center guidelines or working with other Lead Centers on guideline development.

### 3.1.4 Directorates Adjust Planning Projections

Purpose - The Directorate will realign resource planning, as appropriate, to be consistent with POP Guidelines.

Input - POP Guidelines provided to the Center by NASA Headquarters and/or Lead Centers and current Center programmatic and organizational workforce and travel and institutional funding allocations.

Output - Revised Directorate-level integrated strategy.

Roles and Responsibilities - Program/Project Managers are responsible for formulation of adjustments and communication to Directors. Directors are responsible for ensuring their integrated directorate strategy is updated, as necessary.

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### 3.1.5 SMC Finalizes POP Allocations

Purpose - The SMC will conduct a Center-level review of the updated Directorates' integrated strategies to ensure that projections and workforce deployment are consistent with the Center's implementation of the Agency strategic plan and resolve any issues prior to Center POP budget formulation.

Input - Final Directorate integrated strategy to include total scope and requirements by project compared to initial review, the last POP submission, and any adjustments resulting from POP guidelines. Also includes identification of all proposed new work with specified accommodation plans.

Output - Approved organization and directorate allocations from SMC to be used in POP budget formulation, formally communicated in a letter to the Directors of each organization.

Roles and Responsibilities - Directors are responsible for revising and communicating their plans to the SMC. The SMC is responsible for approval and issuance of final POP allocations.

### 3.1.6 Directorates Adjust and Distribute Resource Allocations

Purpose - The Directors will redistribute resource allocations (programmatic as well as organizational) to all elements of their respective organizations, including programs, projects, and indirect and institutional support within their organizations consistent with Directorate integrated priorities and strategy.

Input - Approved allocations from SMC provided to the Director from the SMC.

Output - Approved workforce programmatic and organizational allocations ("direct" and "indirect") by each program, project, and indirect and institutional support within the directorate consistent with the resource allocations provided to the Director.

Roles and Responsibilities - Directors are responsible for establishing and issuing resource allocations to all elements of their organization, including programs, projects, and indirect and institutional support within their organizations.

### 3.1.7 Indirect and Institutional Support - SPA Planning

Purpose - Each Directorate will prepare SPAs to capture indirect

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and institutional support activities for their organizations, consistent with their allocation. The Directors will ensure that all applicable of the following SPA information is provided: description of the work to be performed, duration, ground rules, and assumptions; estimate of resources required, consistent with workforce allocations and POP Guidelines in accordance with the schedule provided by the Center Director to the Directors.

Input - Indirect workforce, travel, and institutional funding allocations provided by the SMC.

Output - SPAs (new or updated) that represent the Directorate's plans consistent with directorate allocations.

Roles and Responsibilities - Directors are responsible for Indirect and Institutional Support SPA development.

### 3.1.8 Projects Develop/Update Plans and SPAs

Purpose - Program/Project Managers will, after consulting with required Supporting Organizations, prepare inputs to SPAs for both approved and forecasted projects. The structure of the SPA is the responsibility of the Program/Project Manager, in conjunction with the CFO. Generally, the level should be at the project level but, in some cases, may be lower. All planning must be consistent with budget submission requirements and workforce allocations provided by the Director in accordance with integrated directorate priorities. The SPA should be consistent with program/project plans, updated as necessary to reflect actual performance/experience to date. The SPA contains all applicable of the following: a description of the work to be performed, duration, milestones, ground rules, and assumptions. For each SPA, the Program/Project Manager will estimate resources required, including civil service FTE estimates, contractor (non-prime) WYE, and funding estimates for project-funded support contractors, on-site contractor estimates (including any prime contractors occupying space on the Center), travel estimates, and other funding estimates consistent with workforce and budget allocations. The collection method and formats for the SPA will be provided by the CFO at the initiation of the Strategic Planning Sub-process.

Input - Project "direct" workforce allocations provided by the Director in accordance with integrated directorate priorities and POP guidelines provided to the Center by NASA Headquarters and/or a Lead Center.

Output - Initial SPAs (new or updated) representing

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Program/Project Manager's estimates, consistent with resource allocations for evaluation by Supporting Organizations.

Roles and Responsibilities - The Program/Project Manager is responsible for establishing the project resource estimates and ensuring all applicable data are entered into the SPA in accordance with the Strategic Planning subprocess schedule provided by the Center Director to the Directors. The CFO is responsible for ensuring the Agency budget structure is followed in structuring SPAs.

#### 3.1.8.1 Supporting Organizations Evaluate SPAs

Purpose - Supporting Organizations review project provided estimates and indicate their concurrence and/or identify any associated issues. As part of this process, Supporting Organizations will analyze workforce estimates by project and evaluate organization allocations as well, assess and identify skill shortages. Note: Concurrence implies that the estimate is sufficiently accurate for planning purposes and that those resources would be made available to the project based on the defined scope of the activity.

Input - Program/Project Manager's initial or updated SPAs complete with all requested data identified.

Output - Finalized SPA, with Program/Project Manager's estimates and/or Supporting Organizations related issues that need to be resolved, which forms the documented basis for negotiation.

Roles and Responsibilities - The Supporting Organizations are responsible for selecting and assigning a lead for each SPA, as necessary. For existing work, this individual would typically be the organization's lead person on the performing team. If the requested SPA is for future work, the Supporting Organization's management team is responsible for assigning a point of contact/lead until the performing team is formed. The Supporting Organization's lead is responsible for reviewing estimates, documenting any issues, and working with the Program/Project Manager to resolve issues in accordance with the schedule for the Strategic Planning subprocess provided by the Center Director to the Directors. The Program/Project Manager is responsible for initiating communications with each Supporting Organization and actively working with all Supporting Organizations during this phase.

#### 3.1.8.2 Program/Project Manager/Supporting Organization SPA Negotiations

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Purpose - Program/Project Managers and Supporting Organization leads discuss major issues to negotiate and converge on elements of SPA.

Input - All information, including any Supporting Organization issues, and estimates for the SPA have been provided by the Program/Project Manager and reviewed by Supporting Organization leads.

Output - Program/Project Manager and Supporting Organization leads finalize SPA or reach agreement that project requirements and resource allocations (workforce and budget) are incompatible. Issue may be elevated within Directorate.

Roles and Responsibilities - The Program/Project Manager is responsible for reaching final agreement with Supporting Organizations. If major issues remain, Program/Project Manager is responsible for elevating within the Directorate. Supporting Organizations are responsible for participating and working with the Program/Project Manager in resolution of issues and reaching final agreement.

### 3.1.8.3 Intra-Directorate Resolution

Purpose - Program/Project Managers and Directors will actively communicate and work together to resolve outstanding project-level problems and/or redistribute allocations as required within the directorate in accordance with the schedule provided by the Center Director to the Directors.

Input - Issues, unresolved SPAs, impacts, and recommendations as determined jointly by the Program/Project Manager and Supporting Organization leads.

Output - Issues resolved within directorate allocations (finalized SPA) or elevated to inter-directorate level, including issues and recommendations.

Roles and Responsibilities - The Program/Project Manager, with the assistance of the Supporting Organization leads, is responsible for identification and communication of impacts and recommendations to the Directors. Supporting Organization leads are responsible for participating and working with the Program/Project Manager to resolve issues and reaching final agreement, including involving their management in finding a solution. Directors are responsible for, and must be committed to, resolving issues within Directorate resource allocations.

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#### 3.1.8.4 Inter-Directorate Resolution

Purpose - Directorates should communicate and work cooperatively with each other to resolve outstanding problems and issues.

Input - Issues and Directorate-level recommendations developed by the Program/Project Managers with the Supporting Organization leads and reviewed and approved by the Directors.

Output - Resolution between Directorates (finalized SPAs) or joint decision to elevate the issues to the SMC, including clear identification of options and impacts and recommended solution.

Roles and Responsibilities - Directors are responsible for cooperatively reaching resolution and communicating the results to all affected parties, including the SMC, or jointly developing options, impacts, and recommended solutions and elevating to SMC. The SMC will be responsible for evaluating options and impacts to determine and communicate final resolution (repeat 3.1.8.1 through 3.1.8.4 as needed).

#### 3.1.9 Evaluation of Strategic Planning Subprocess

Purpose - After each Strategic Planning subprocess cycle, the process should be evaluated for implementation consistency and effectiveness. Based on the evaluation, the process should be modified and improved, as appropriate. The Process Manager and representatives from all pertinent center organizations will meet to discuss and document lessons learned and make suggestions for changes to the process.

Input - Center organization's assessments of process effectiveness (lessons learned) and Process Leader and Process Manager evaluations.

Output - Integrated lessons learned communicated to all organizations by the Process Manager. Implementation of modifications made to the process, if required, and communication to all organizations by the Process Manager.

Roles and Responsibilities - Center organizations are responsible for communicating lessons learned and proposed improvements to the process to the Process Manager. Directors are responsible for implementing the process within their Directorates. The Process Leader is responsible for making the final decisions, resolving issues relating to process function and operation, and approving and communicating changes to the process. The Process

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Manager is responsible for reviewing and recommending process changes in coordination with other organizations; preparing correspondence to communicate process changes; and developing and maintaining documentation consistent with MSFC Quality Management System requirements.

### 3.1.10 Integration into Center POP Formulation

**Purpose** - This activity represents the integration of the SPA process into the Center program/project and institutional budget development process, not the formal agency POP formulation and submittal process. POP formulation and submittal requirements are in the annual issuance of Agency POP guidelines in the February/March timeframe.

**Input** - Finalized SPAs and all other program/project and institutional resource elements.

**Output** - Integrated program/project/institutional budget inputs to Center POP submission.

**Roles and Responsibilities** - The Program/Project Manager is responsible for preparing inputs to the SPA for both approved and forecasted program/projects to be included in POP submissions. Directorates are responsible for providing inputs to the Center institutional POP submission to the CFO. The CFO is responsible for integrating the Center POP submission(s).

### 3.1.11 Assessment of Agency Negotiations and Final Budget Submission

**Purpose** - Directorates will support the Agency budget deliberation activities following the Center POP submission, re-assessing and replanning resource allocations as necessary.

**Input** - Integrated directorate and POP submissions.

**Output** - Directorate resource planning consistent with the final Agency budget submission.

**Roles and Responsibilities** - Directors will support the Center during the Agency budget development and deliberation process, ensuring that directorate planning is reevaluated and revised, as appropriate, to be consistent with the final submission to OMB. Program/Project Managers will support this activity, conducting reevaluation and replanning, and issue/impact identification exercises, as required.

## 3.2 Center Resource Planning Subprocess - The Center Resource

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Planning subprocess is the process to define, baseline, and change in-house work for the next operating fiscal year. Plans for work and associated resources for the next fiscal year are developed during this lower-level planning process and documented in CWCs. The CWC structure can be at the same level as the SPA (typically for indirect and institutional support) or at a lower level for Project CWCs (i.e., WBS or task level). Work is defined in a project CWC between a Program/Project Manager, a Task Manager (or point of contact for support that cuts across multiple tasks managed and tracked at the project level), and Supporting Organizations. The process will normally begin in July with CWC approvals prior to the beginning of the next operating fiscal year, and will be the basis for the Center's Operating Plan.

The numbers correspond to the blocks on the process flow diagram (see Flow Diagrams 3 and 4).

**Roles and Responsibilities:** The Center Resource Planning Process Leader is the Deputy Center Director and the responsibilities include: providing leadership to ensure success of the process, approval of process changes, and communication; providing advocacy for the process; setting expectations for cross-directorate collaboration; making final decisions; and resolving issues relating to process function and operation. The Process Manager is the CFO and the responsibilities include: managing the day-to-day process; reviewing and recommending process changes in coordination with other organizations; preparing correspondence to communicate process changes; and developing and maintaining documentation consistent with MSFC Quality Management System requirements.

### 3.2.1 Center Director Initiates the Center Resource Planning Subprocess or a Major Change to an Existing Plan

**Purpose** - The Center Director or designated personnel formally initiates the Center Resource Planning subprocess, or change to an existing plan, by providing a letter to the Directors of all MSFC Directorates communicating allocations, guidance, expectations, and schedule of activities for the subprocess. This letter will normally be provided in June or July of each year. The Center Director at any point during the fiscal year could initiate a major change.

**Inputs** - Finalized SPAs and POP Center submission with Lead Center adjustments.

**Output** - Letter to Directors of MSFC Directorates.

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Roles and Responsibilities - The Center Director is responsible for the issuance of the letter with assistance from the CFO. During this initial activity, the CFO will establish a process facilitation team. This team will be led by the CFO and will be responsible for day-to-day management and coordination of the planning sub-process. The team representatives will support the CFO, as well as their Directorates, in interpreting, communicating, implementing, and integrating the process activities. Additionally, each Directorate will establish a focal point(s) to resolve day-to-day inter-directorate issues. The CFO is responsible for providing regular reports on the process status to Center Senior Management throughout the scheduled activities, including status to the SMC as necessary.

### 3.2.2 Directorates Confirm and Distribute Resource Allocations

Purpose - The Project and Department Managers must have an allocation of Directorate resources before initiating Center Resource Planning with the Task Managers, Supporting Organizations, and performing team.

Inputs - Directorate allocations consistent with the SPAs previously established or revisions made per the Center Director's direction.

Output - Allocations (institutional, travel, workforce, and programmatic as well as organizational) by each project, and indirect and institutional support activity managed within the Directorate.

Roles and Responsibilities - The Directors will ensure that resource allocations (programmatic as well as organizational) are distributed to all elements of their respective organizations, including programs, projects, and indirect support activities managed within their Directorate in accordance with the Center Resource Planning sub-process schedule. The Directors will ensure that travel allocations are distributed to appropriate elements of their respective organizations, including programs, projects, and indirect support activities managed within their Directorate in accordance with CFO requirements. Appropriate elements of organizations, including indirect support, programs, and projects (Program/Project Managers, Task Manager, and members of the performing team) determine specific travel requirements and identify travel allocation issues. The CFO is responsible for managing the overall Center travel allocations and adjusting allocations between Directorates as appropriate to ensure proper usage of Center travel funding.

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### 3.2.3 Directorates Develop Indirect and Institutional Support Plans

Purpose - CWCs will be prepared at primary organizational levels to capture indirect and institutional support activities. These CWCs should include all applicable information, such as description of the work to be performed, duration, ground rules and assumptions, and Director's estimates of resources required, consistent with resource allocations and Center POP submission and adjustments.

Input - Finalized SPAs, Center POP submission with adjustments to date, and Director's resource allocations for indirect and institutional support activities.

Output - CWCs representing approved indirect and institutional support activities.

Roles and Responsibilities - Directors are responsible for the Directorate's indirect CWC planning.

### 3.2.4 Program/Project Manager Develops Project CWC with Supporting Organizations

Purpose - The Program/Project Manager initiates CWC development by working with the Supporting Organizations to establish a set of well-defined, manageable work packages, consistent with the project WBS. Some project effort may be more organizationally aligned and managed at the project and supporting organization(s) level, such as multi-task support and program direct funding of support services provided by institutional organizations. The CWC should be at a WBS level that is consistent with the Program/Project Manager's need for management insight and control as well as the accounting and management systems' capability to provide and compare corresponding actuals. If there is a question about MSFC's accounting and management systems' capability, the Program/Project Manager should consult the Business Office or the CFO Office for clarification before continuing in the process. The Program/Project Manager will define the following for the CWC consistent with project allocations: required scope of work, major deliverables, schedule, civil service FTE estimates, support contractor WYE and funding estimates, and other funding estimates (i.e., materials, supplies, fabrication services, etc). The CWC may include special conditions applicable to the project. The CWC also will contain a CWC identification number, financial classification structure (labor code(s) and/or procurement code(s) which link to

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the project title and the Agency budget structure), and, if necessary, a summary of issues to be resolved between the Program/Project Manager and Task Manager.

Input - Finalized SPAs, approved program/project scope, WBS, and Center POP inputs.

Output - CWC structure with Lead Organizations identified. Initial CWC data (scope, schedule, deliverables, and resource estimates) completed in accordance with the schedule provided by the Center Director.

Roles and Responsibilities - The Program/Project Manager is responsible for working with the Supporting Organizations in defining the CWC structure consistent with the WBS and resource allocations provided to the project by the Director. Additionally, the Program/Project Manager is responsible for communicating with the Supporting Organizations to ensure that a Lead Organization is identified for the CWC. The Program/Project Manager is responsible and accountable for initiating the CWC development process in accordance with the established schedule, but may delegate the actual CWC data entry. The Supporting Organizations are responsible for assisting the Program/Project Manager in structuring the CWC and in determining the appropriate Lead Organization in accordance with the established schedule. Identification and involvement of the Task Manager as early as practical in the planning process are encouraged. The CFO is responsible for ensuring the Agency budget structure is followed in structuring CWCs.

### 3.2.5 CWC Assigned to Task Manager by Lead Organization

Purpose - The Lead Organization management team will assign an appropriate Task Manager based on the complexity and content of the CWC.

Input - Initial CWCs (scope, schedule, deliverables, and resource estimates) defined by the Program/Project Manager with assistance from the performing team.

Output - Task Manager assigned to CWC by the Lead Organization.

Roles and Responsibilities - The Lead Organization is responsible for selecting and assigning a Task Manager for each CWC. The Lead Organization's management team assigns the Task Manager for each CWC at the lowest appropriate level in the organization. The Task Manager assesses the CWC and coordinates with all parties necessary to accomplish the CWC supporting

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organization(s) planning, including resource negotiations, approval, baseline, and changes, and ensures the information is entered into the database system. Depending upon task complexity, the Task Manager may create subtasks if further clarification of task content or WBS definition is required.

#### 3.2.5.1 Task Manager Determines Support Required for CWC

Purpose - The Task Manager creates subtasks, if appropriate, and determines estimates of resources required by each Supporting Organization associated with CWC scope.

Input - Initial CWC (scope, schedule, deliverables, and resource estimates) information from contacts with performing line managers corresponding to the CWC functions/tasks.

Output - CWC resource estimates for each Supporting Organization performing work associated with the CWC scope.

Roles and Responsibilities - The Supporting Organization's management team assigns appropriate individuals to work with the Task Manager in developing resource estimates.

#### 3.2.5.2 Task Manager Consolidates Resources for CWC

Purpose - Task Manager defines consolidated estimate of resources associated with CWC scope.

Input - Initial CWC (scope, schedule, deliverables, and resource estimates) and contacts with performing line managers corresponding to the CWC functions/tasks, Supporting Organizations' estimates of resources required for the CWC.

Output - Consolidated CWC resources estimates.

Roles and Responsibilities - The Supporting Organization leads are responsible for working with the Task Manager in understanding the CWC and in determining the resource requirements in accordance with the established task schedule. The Task Manager is responsible for consolidating all requirements and ensuring all aspects of the CWC task have been addressed in accordance with the established CWC process schedule. The Task Manager is responsible for ensuring that all required resource estimates are consistent with agreements made with the Supporting Organizations.

#### 3.2.5.3 Task Manager Obtains Supporting Organizations' Concurrence on CWC

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Purpose - The Task Manager ensures that each Supporting Organization has committed to the specified resources identified on the CWC.

Input - Consolidated CWC resource estimates from each Supporting Organization with management team's indication of support and commitment.

Output - Commitment to support CWC by each organization supporting the CWC.

Roles and Responsibilities - Supporting Organizations are responsible for working with the Task Manager until an agreement is reached. Following concurrence, the Supporting Organization's management team is responsible for meeting their organizational commitments identified on the CWC. The Task Manager is responsible for ensuring that all aspects of the CWC have been addressed and that all Supporting Organizations have committed to providing the resources identified on the CWC.

### 3.2.6 Program/Project Manager and Task Manager Negotiate

Purpose - This activity provides for reconciliation in a collaborative environment of any issues between the Program/Project Manager, Task Manager, and Supporting Organizations. Issues typically include the lack of available workforce within the Supporting Organizations and project funding limitations for procurement of materials and/or contractor support. If resolution cannot be reached, the issue must be elevated to the next level of management.

Input - CWC with Task Manager and Supporting Organizations estimate of the resources required to accomplish the CWC and specific documentation of any issues to be resolved in the CWC form.

Output - Finalized CWC or agreement that project requirements and resource allocations (workforce and budget) are incompatible. Issue is elevated within the Directorates.

Roles and Responsibilities - The Program/Project Manager and Task Manager, with the Supporting Organizations, must negotiate as a team toward accomplishing project needs, and negotiate these issues within the scope of their authority. The Program/Project Manager is responsible for reaching final agreement. If issues remain, the Program/Project Manager and Task Manager elevate the issues to the appropriate levels of management.

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### 3.2.7 CWC Issue Resolution

Purpose - The Program/Project Manager and Task Manager, with the Supporting Organizations, should resolve remaining issues. If agreement cannot be reached, issues should be elevated and resolved within the Directorates. If issues cannot be resolved within the Directorate, inter-Directorate resolution will be sought. If issues still remain after every other option is considered, issues are elevated to the SMC or Center Director for final resolution.

Input - CWC issues and recommendations identified by the Program/Project Manager and Task Manager, with the Supporting Organizations.

Output - Finalized CWC resolved within the Directorates or by the SMC or Center Director.

Roles and Responsibilities - The Program/Project Manager and Task Manager, with the Supporting Organizations, are responsible for negotiating the commitment of center resources necessary to accomplish the scope of the CWC. They are also responsible for identifying and communicating impacts and recommendations to the Directors. The Program/Project Manager is responsible for reaching a final agreement. Directors are responsible for, and must be committed to, resolving issues within their resource allocations. Directors are responsible for reaching resolution and communicating the results to all affected parties. If resolution cannot be reached, Directors must jointly develop options and impacts and elevate these to the SMC or Center Director for final resolution.

### 3.2.8 CWC Adjustment per Resolution

Purpose - Upon resolution of all issues, the CWC should be revised to capture the decisions relative to the CWC.

Input - The original CWC and the management decisions on scope and resources.

Output - Revised CWC to include the management decisions on scope and resources.

Roles and Responsibilities - The Program/Project Manager and Task Manager, with the assistance of the Supporting Organizations, as appropriate, make directed changes to the CWC.

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### 3.2.9 CWC Approval

Purpose - After the Program/Project Manager and Task Manager, with the Supporting Organizations, have reached agreement, the CWC is approved.

Input - Finalized CWC.

Output - Approved CWC documenting the work to be performed.

Roles and Responsibilities - The Program/Project Manager, Task Manager, and Supporting Organizations verify the data contained within the CWC is accurate. The Program/Project Manager and Task Manager approve the CWC, which becomes a baseline element within the CWC system. The Program/Project Manager is responsible for ensuring that an agreement is successfully reached in accordance with the established schedule.

### 3.2.10 Evaluation of Center Resource Planning Subprocess

Purpose - After each Center Resource Planning cycle, the process should be evaluated for implementation, consistency, and effectiveness. Based on the evaluation, the process should be modified and improved, as appropriate. The Process Manager and representatives from all pertinent Center organizations will meet to discuss and document lessons learned and make suggestions for changes to the process.

Input - Center organizations' assessments of process effectiveness (lessons learned) and Process Leader and Process Manager evaluations.

Output - Integrated lessons learned communicated to all organizations by the Process Manager. Implementation of modifications made to the process, if required, and communication to all organizations by the Process Manager.

Roles and Responsibilities - Center organizations are responsible for communicating lessons learned to the Process Manager and proposed improvements to the process. Directors are responsible for implementing the process within their Directorates. The Process Leader is responsible for making final decisions, resolving issues relating to process function and operation, and approving and communicating process changes. The Process Manager is responsible for reviewing and recommending process changes in coordination with other organizations; preparing correspondence to communicate process changes; and developing and maintaining documentation consistent with MSFC Quality Management System

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requirements.

### 3.3 Execution Subprocess

The Execution subprocess occurs during the operating fiscal year. In this subprocess, the performance and control of the in-house resources involved in delivering the products and services for programs and projects and institutional and indirect support activities should occur consistent with the resources plan as specified and agreed to in the Center Resource Planning subprocess.

The numbers correspond to the blocks on the process flow diagram (see Flow Diagram 5).

#### 3.3.1 Manage Travel Resources

Purpose - Management of travel resource allocation necessary for the accomplishment of Directorate objectives.

Input - Travel resource allocation by Directorate, projections per the approved plan, and specific travel requirements from appropriate elements of organizations, including programs, projects, and indirect support activities managed within the Directorate.

Output - Management of travel resource allocation and identification of any travel allocation issues to the CFO.

Roles and Responsibilities - Appropriate elements of organizations, including indirect support, programs, and projects (Program/Project Managers, Task Manager, and members of the performing team) determine specific travel requirements. Travel-related allocation issues are identified as part of this process. Supporting Organization(s) functional managers are responsible for submitting travel order requests and travel requirements to the appropriate authorizing organization. The Program/Project Manager or Department Manager is responsible for management of the total travel resources allocated to their project or organization.

#### 3.3.2 Deploy Workforce

Purpose - Deployment of civil service and support contractor workforce to initiate or continue task(s) consistent with approved CWC.

Input - Approved CWC, identifying task, schedule milestones,

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funding, pertinent ground rules and assumptions, and civil service/support contractor commitments.

Output - Deployed workforce with specific task assignments at organizational levels.

Roles and Responsibilities - Supporting Organization's functional managers (typically Group Leads) assign specific civil service skills to the CWC effort according to established plans. These functional managers also ensure that appropriate task directives, funding, and associated procurement requests are in place for any required support contractor effort to be performed in support of their organization's technical commitments. The Task Manager monitors the workforce and skills made available to support the task and elevates issues to the Program/Project Manager in a timely manner.

### 3.3.3 Perform Assigned Tasks

Purpose - Application of assigned skills to accomplish specific CWC task(s).

Input - Approved CWC; deployed workforce.

Output - Performance of multiple tasks at various skill and discipline levels.

Roles and Responsibilities - Members of the performing team are responsible for successful performance of assigned tasks within established schedule and resources constraints. Supporting Organization's functional managers are responsible for management of personnel assigned from their organizations to ensure organizational commitments are achieved. The Task Manager monitors all necessary tasks being performed.

### 3.3.4 Distribute Funding Authority to Appropriate Organizations Consistent with Approved Plan, CWCs, and Revisions

Purpose - To provide Supporting Organizations with funding authority necessary to carry out task(s) in accordance with CWC.

Input - Funding authority and approved CWC funding plans.

Output - Distribution of funding authority to the appropriate Supporting Organizations for the initiation of procurements required to perform tasks.

Roles and Responsibilities - Program/Project Manager assesses

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availability of funding authority and allocates available funding authority in accordance with approved CWC plan. Program/Project Managers are encouraged to allocate the total funding required for the task as early in the fiscal year as possible. In some instances, funds will have to be allocated incrementally throughout the year due to the incremental receipt of funding at the project level. As part of the Program/Project Manager's evaluation and control activity, the Program/Project Manager may also decide to release funding incrementally based upon a periodic review of actual commitments, obligations, and costs for the CWC effort throughout the year. The Project's Business Management Office informs the Task Manager and Supporting Organizations when funding is authorized. The Task Manager directs distribution of funding authority to the appropriate Supporting Organizations. Funds are distributed in accordance with the approved CWC (and any revisions thereto). At the Task Manager's request, the project's Business Management Office distributes funding authority to specific organizations. Task Managers are encouraged to allocate the total funding required for individual tasks as early in the fiscal year as possible. In some instances, funds will have to be allocated incrementally throughout the year due to the incremental receipt of funding from the project. The Program/Project Manager and Business Office are responsible and accountable for project control and tracking project-funding authority. The Task Manager and Supporting Organizations are responsible and accountable for the management of CWC funding authority and tracking the CWC funding plan.

### 3.3.5 Initiate and Manage Procurements

**Purpose** - To provide resources (contractor labor, equipment, supplies, materials, etc.) necessary to support tasks assigned in CWC.

**Input** - Approved CWC funding plan, procurement plan as specified in the approved CWC, distribution of funding authority to applicable Supporting Organizations.

**Output** - Initiation of required procurement actions.

**Roles and Responsibilities** - The Task Manager and performing team members initiate appropriate procurement actions to acquire required resources. Procurements are initiated in accordance with the procurement plan as specified in the approved CWC (and any revisions thereto). Management of Supporting Organizations (with support from their respective Business Offices) is responsible for the overall management of procurement actions and

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associated CWC plan and funding authority balances within their organizations. (This includes the identification and authorization of specific individuals within the organization to approve procurement requests.) The Task Manager must approve any deviations from the approved CWC plan on a case-by-case basis not exceeding the total CWC resources plan.

### 3.3.6 Monitor Resources, Performance, and Status

Purpose - Continually evaluate performance and status for a particular CWC in an effort to identify variances or trends from established plans in a timely manner.

Input - Records of procurement actions and CWC funding plan, allowable resource variance parameters, resources performance metrics, workforce plans and actuals, and spending plan consistent with CWC.

Output - Status of procurement actions and CWC plan, status of resources against metrics and plans, workforce utilization plans and actuals, and issues relating to resources and procurement status.

Roles and Responsibilities - The Task Manager has primary responsibility for this monitoring function at the CWC level. The Task Manager must remain cognizant of resources, procurement status, and workforce utilization (and associated issues) for all tasks in support of the CWC effort. The Task Manager and members of the performing team identify issues concerning resources and procurement status. The Task Manager establishes resource performance metrics and allowable resource variance parameters consistent with guidelines received from the Program/Project Manager. Supporting Organization's functional managers monitor resources, procurement status, and workforce utilization within their respective organizations. The Project Business Office compiles and integrates actuals for commitments, obligations, and costs. The Lead Organization's Business Office compiles and integrates associated variance explanations in support of the Task Manager with applicable inputs from Supporting Organization's Business Offices.

### 3.3.7 Develop Detailed Schedule(s) as Necessary

Purpose - To develop and integrate detailed schedule data for the CWC effort as necessary to facilitate the accomplishment of CWC task objectives. This schedule serves as a primary management tool for the Task Manager and provides an essential "road map" for members of the performing team.

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Input - Schedule milestones in the approved CWC; detailed schedule inputs from members of the performing team; schedule milestones from related CWC efforts as necessary.

Output - An integrated schedule for the CWC effort.

Roles and Responsibilities - Members of the performing team are responsible for providing schedule inputs for their respective tasks. The Task Manager, working closely with the performing team, refines, iterates, and consolidates these inputs into an integrated schedule consistent with established task schedule milestones in the approved CWC. The Task Manager coordinates with the Program/Project Manager and other Task Managers as necessary to define and integrate applicable project schedule milestones from related CWC efforts.

### 3.3.8 Monitor Schedule Performance

Purpose - Continually evaluate schedule performance for a particular CWC in an effort to identify variances or trends from established plans in a timely manner.

Input - Detailed, integrated schedule(s) for the CWC effort, allowable schedule variance parameters, and schedule status from members of the performing team.

Output - Status of schedule performance against established plan, issues relating to schedule performance.

Roles and Responsibilities - The Task Manager has primary responsibility for this monitoring function at the CWC level. The Task Manager must remain cognizant of schedule performance (and associated issues) for all tasks in support of the CWC effort. The Task Manager and members of the performing team collaborate to identify issues concerning schedule performance. The Task Manager establishes allowable schedule variance parameters consistent with guidelines received from the Program/Project Manager. Supporting Organization's functional managers monitor schedule performance within their respective organizations. The Task Manager is responsible for compilation and integration of schedule status (and associated variances) in support of the Program/Project Manager.

### 3.3.9 Integrated Task Review and Issue Resolution

Purpose - To integrate and review resources, schedule, and technical performance data for the CWC effort as an integrated

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task review process performed by the Task Manager and the performing team. To resolve issues that could adversely affect the performance of assigned tasks.

Input - Technical performance, resources, schedule status, and issues.

Output - Integrated task status, corrective actions to resolve issues, and status and issue summaries that serve as primary inputs to the Program/Project Manager's review process.

Roles and Responsibilities - -The Task Manager and the performing team periodically review integrated status and associated issues and work together to bring issues to an acceptable resolution with the Program/Project Manager. The Task Manager leads the effort to define and implement specific corrective actions. Supporting Organization's functional managers support this activity, as necessary. The Task Manager periodically reports status of assigned tasks (including any planned corrective actions or unresolved issues) to the Program/Project Manager in accordance with project requirements. The Task Manager works closely with the Program/Project Manager and the performing team to address and resolve issues the CWC performing team cannot resolve.

### 3.3.10 Assess Completion of Task

Purpose - To assess completion status of task objectives.

Input - Approved CWC; detailed schedules; and technical, resources, schedule, and issue status information.

Output - Decision to continue or terminate process.

Roles and Responsibilities - The Task Manager determines if the task specified in the CWC has been successfully completed.

## 3.4 Evaluation and Control Subprocess

Evaluation and Control Subprocess - The Evaluation and Control Subprocess is a continuing assessment of the Center's ability to meet commitments and deliver the products and capabilities specified in the MSFC Implementation Plan and other plans, within approved resources. The process also defines the activities and actions to modify the in-house resource plans, implement, and execute the revised plans.

The numbers correspond to the blocks on the process flow diagram

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(see Flow Diagram 6).

### 3.4.1 Project Review and Evaluation

Purpose - Program/Project Manager, Task Managers, and performing team regularly review and evaluate the status of the project elements. As the CWC should be structured consistent with the way in which the project is being implemented and managed, the CWC should typically provide the framework in which the in-house portion of the project is reviewed and evaluated. Examples of data that are reviewed and evaluated include the following: schedules, resources status, work force, technical status, and issues. The Program/Project Manager will communicate the specific requirements for this activity, such as degree of formality, format, schedule, and frequency of data submittal, to the Task Managers and performing team. The intent of this activity is to ensure that work accomplished utilizing MSFC in-house resources is reviewed and evaluated on a regular basis, in a manner and frequency that is useful and meaningful for the Program/Project Manager, Task Managers, and performing team.

Input - Status reports from Task Managers; integrated current actual performance vs. planned performance resource data; and project review and evaluation requirements (format, frequency, data, variance thresholds, and schedule).

Output - Knowledge of project status, assessed at the project element level.

Roles and Responsibilities - The Program/Project Manager is responsible for conducting this review and evaluation activity, including identifying and communicating the requirements for this activity. The Task Managers will support this activity, providing required data as defined by the Program/Project Manager, and communicating issues and concerns in a timely manner. The Program/Project Manager's Business Management Office will support the Program/Project Manager in this activity by providing the necessary resource data and integrating project data, as required.

### 3.4.2 Assess Project Element Resource Variances

Purpose - To determine if (1) the project element can proceed as planned or (2) action is necessary to correct an out-of-limit condition.

Input - Knowledge of project resource utilization and performance by project.

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Output - Decision: If project is within acceptable range, proceed to integrate and report project status. If the project element requires adjustment, proceed to address the issues and identify the necessary corrective action plan.

Roles and Responsibilities - Program/Project Manager, with the assistance of the Task Managers and performing team, is responsible for making this decision.

### 3.4.3 Integrate and Communicate Project Status

Purpose - Projects integrate resource utilization and performance consistent with Directorate established requirements. The Director determines the specific requirements, schedule, and frequency of submittal.

Input - Project resource utilization and performance.

Output - Integrated project status, consistent with directorate established requirements.

Roles and Responsibilities - Program/Project Manager will ensure that project status is provided as required. Task Managers and performing team will provide data as required to support this activity. Program/Project Manager's Business Management Office will provide integrated project resource data as required.

### 3.4.4 Develop CA

Purpose - Take actions to correct an "out-of-limit" condition (per 3.4.2). The impacts of this CA on other project elements, organizations, and the performing team will be identified, carefully examined, and documented. Any revisions to the current plan that may result from the CA will be clearly communicated to all affected organizations in a timely manner. During this activity, as additional/new data or issues are surfaced, the CA should be revised as necessary or appropriate.

Input - Knowledge of project element status from the review and evaluation activity, Task Manager's data, issues, and recommendations.

Output - Project CA, issues identified and documented by the Program/Project Manager, Task Managers, and performing team related to implementation of CA.

Roles and Responsibilities - The Program/Project Manager, with

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the Task Managers and performing team, will discuss and assess the issues. The Program/Project Manager will lead the Task Managers and performing team in collectively identifying the appropriate CA to bring any out-of-limit condition under control. Task Managers and performing team will support the Program/Project Manager in evaluating any issues and impacts that are associated with CA implementation. Task Managers will provide recommended adjustments to resolve issues. Program/Project Manager will integrate project element data and, with the support of the Task Managers and performing team, will make the decision on the appropriate CA. Program/Project Manager will clearly communicate the changes or revisions that will result from implementation of the CA to the Supporting Organizations. Task Managers and performing team will support the Program/Project Manager by identifying all affected organizations and participate with the Program/Project Manager during the communication with these organizations. The Program/Project Manager's Business Management Office supports this activity with integration and analysis of resource data, as required.

#### 3.4.5 Assess Implementation of CA Within Project Allocations

Purpose - After consultation with all affected organizations, determine whether or not the CA can be implemented within established project allocations (i.e., workforce, budget, etc).

Input - Revised Project CA, communicated to all affected organizations.

Output - Decision: If CA can be implemented within existing resources, proceed to implement CA with Task Managers and performing team. If not, CA is forwarded to the Directorate for final resolution.

Roles and Responsibilities - Program/Project Manager, with assistance from the Business Management Office, will assess availability of resources and associated risk to accomplish CA and will make the decision.

#### 3.4.6 Implement CA

Purpose - The Program/Project Manager authorizes the Task Managers to update the plan consistent with the approved CA. The CWCs will not be formally changed, but the Program/Project Manager and Task Managers will record the change in a manner that is useful and meaningful for the project. The Task Managers will manage the tasks by variances, consistent with the documented

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revisions, for the remainder of the fiscal year or until another revision is required.

Input - Revised requirements and/or resource allocations to Task Managers consistent with the approved CA.

Output - Revised project element plan for the remainder of the fiscal year, consistent with the CWC structure.

Roles and Responsibilities - The Program/Project Manager will clearly communicate, in a timely manner, the decision to implement the approved CA to the Task Managers and performing team. The Program/Project Manager, with the support of the Task Managers, will determine the appropriate manner in which the revised change will be documented and the way in which actual performance will be tracked to the revised plan. The Program/Project Manager will ensure that the Business Management Office redistributes resources to the Task Managers consistent with the CA. Task Managers and supporting organizations adjust plans as appropriate to implement CA. The Task Managers continue to manage the CWCs consistent with the Execution Sub-process.

#### 3.4.7 Directorate Review and Evaluation

Purpose - All Directors will regularly review and evaluate the status of all elements of their directorate, typically at the program/project level. The intent of this activity is to ensure that work accomplished utilizing MSFC in-house resources is reviewed and evaluated on a regular basis, in a manner and frequency that is useful and meaningful for the directorate. Examples of data that are reviewed and evaluated include the following: workforce, resources status, schedules, technical status, and issues. The specific requirements for this activity, such as degree of formality, format, schedule, and frequency of data submittal, will be determined by the Director and communicated to all managers within the organization.

Input - Status reports from Program/Project Managers and other Directorate Managers; integrated directorate current actual performance vs. planned performance resource; and review and evaluation requirements (format, frequency, data, variance thresholds, and schedule).

Output - Knowledge of directorate status, by program/project or other directorate element.

Roles and Responsibilities - The Director is responsible for ensuring that this activity is accomplished on a regular basis,

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including identifying and communicating the requirements for this activity. The Program/Project and Directorate Managers will support this activity, providing required data as defined by the Director, and communicating issues and concerns in a timely manner. The Directorate Business Management Office will support the Director in this activity by providing integrated resource data, as necessary.

#### 3.4.8 Assess Program/Project Variances

Purpose - To determine if (1) the program/project's performance and resource utilization are within established variances or (2) action is necessary to correct an out-of-limit condition.

Input - Knowledge of directorate resource utilization and performance, by program/project or other directorate element.

Output - Decision: If directorate is within acceptable range, report to Center and continue. If the directorate elements require adjustment, proceed to address the issues and identify the necessary CA.

Roles and Responsibilities - Director, with the assistance of the Program/Project and Directorate Managers, is responsible for making this decision.

#### 3.4.9 Integrate and Communicate Directorate Status

Purpose - To communicate and integrate resource utilization and performance measurement data consistent with Center established requirements. The Center Director determines the specific requirements, schedule, and frequency of submittal.

Input - Directorate resource utilization and performance by program/project or other directorate element.

Output - Integrated directorate status, consistent with center established requirements.

Roles and Responsibilities - Directors will ensure that directorate status is provided as required. Program/Project and Department Managers will provide data as required by the Director to support this activity. Directorate Business Management Office will provide integrated directorate resource data as required.

#### 3.4.10 Develop Directorate CA

Purpose - Program/Project and Department Managers will review the

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issues and the recommended CA with the Director. Directors will assess the CA, and with the support of the appropriate Program/Project and Department Manager, either approve or modify the project provided CA or require the identification of another CA. Any revisions to the current plan that may result from the CA will be clearly communicated to Supporting Organizations in a timely manner. During this activity, as additional/new data or issues are surfaced, the CA should be revised as necessary or appropriate. Proceed from this activity following the completion of the Directorate review and identification and evaluation of all projects that are impacted.

Input - Knowledge of Directorate element status from the review and evaluation activity; Program/Project Manager's data, issues and recommended CA, integrated directorate resource data.

Output - Directorate CA

Roles and Responsibilities - Program/Project and Department Managers will work cooperatively with Supporting Organizations to determine recommended adjustments to resolve project issues. Director will assess the integrated directorate data, and with the support of the Program/Project and Department Managers, will make the decision on the appropriate CA. Directorate Business Management Office supports this activity with integration and analysis of resource data, as required. Program/Project and Department Manager will clearly communicate the changes or revisions that will result from implementation of the CA within the directorate to the Supporting Organizations. Task Managers and performing team will support the Program/Project Manager by identifying all affected organizations and participate with the Program/Project Manager during the communication with these organizations. Task Managers and performing team will support the Program/Project Manager in evaluating any issues and impacts that are associated with CA implementation.

#### 3.4.11 Assess Implementation of CA within Directorate Allocations

Purpose - To determine, after consultation with all affected organizations, whether or not the CA can be implemented within established Directorate allocations (i.e., workforce, budget, etc).

Input - Directorate CA, communicated to all affected organizations.

Output - Decision: If CA can be implemented within existing

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resources, continue to next activity. If not, initiate inter-Directorate coordination and review activities.

Roles and Responsibilities - Director, with assistance from the Business Management Office, will assess the availability of resources and associated risk to accomplish CA and will make the decision.

#### 3.4.12 Inter-Directorate Coordination and Review

Purpose - Director of the Directorate facing the allocation issue will coordinate with counterparts in other Directorates to explain the issue(s) involved, to review the potential impacts, and to develop recommended corrective actions that could be implemented at the Center level.

Input - Directorate CA, with appropriate supporting information to describe the specific issue(s) to be resolved, associated impacts, and recommended corrective actions.

Output - An inter-directorate CA, with appropriate supporting information detailing specific actions to be taken, corresponding actionees, and associated impacts.

Roles and Responsibilities - The Director of the Directorate with the allocation issue is responsible for taking the initiative to coordinate with counterparts in other directorates as necessary to facilitate inter-directorate resolution. Directors of other Directorates and Program/Project Managers of affected projects are responsible for actively supporting the review process and the timely development of Center-level CA recommendation.

#### 3.4.13 Assess Impact of Approved Directorate CA on Directorate Project Allocations

Purpose - To determine if the baseline plan for in-house work as documented in a CWC needs to be formally updated. "Significant" for this purpose is defined as termination of an existing effort or acceptance of new work within the Directorate.

Input - Directorate approved CA or Center approved CA.

Output - Decision: If there are no significant changes to project allocations within the directorate for the current fiscal year as a result of CA implementation, proceed to next activity and implement the CA. If there are significant changes in the current fiscal year, a formal request will be made to change the CWCs for the affected projects.

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Roles and Responsibilities - Program/Project and Department Managers will analyze the approved CA with assistance from the Task Managers, performing team, and Business Management Office. If there are significant changes to project allocations, the Director will formally request the CFO to allow update of the affected CWCs. If there are no significant changes to project allocations, Program/Project Managers will implement the approved CA.

#### 3.4.14 Center Review and Evaluation

Purpose - The intent of this activity is to ensure appropriate utilization of MSFC resources in support of work assigned to the Center. Directorate status will be reviewed and evaluated at the Center level, in a manner and frequency that are useful and meaningful for the Center Director. The specific requirements for this activity, such as degree of formality, format, schedule, and frequency of data submittal, will be determined by the Center Director and communicated to all Directors.

Input - Directorate Status reports; integrated center current actual performance vs. planned performance resource data; and review and evaluation requirements (format, frequency, data, variance thresholds, and schedule).

Output - Knowledge of center resource utilization and performance by directorate.

Roles and Responsibilities - Directors are responsible for ensuring directorate status is effectively and clearly provided to the Center Director and for communicating issues and concerns in an accurate and timely manner. The CFO will support this activity by providing the integrated center resource data. The CFO is responsible for ensuring that this activity is accomplished on a regular basis, including communicating the Center Director's requirements for this activity to the Directorates.

#### 3.4.15 Assess Directorate Variances

Purpose - Determine if (1) Directorate performance and resource utilization are within established variances or (2) an action is necessary to correct an out-of-limit condition.

Input - Knowledge of center resource utilization and performance, by directorate

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Output - Decision: If directorate variances are within acceptable limits, continue as planned. If the variances are not within acceptable limits and action is required to correct the situation, proceed to address the issues and identify the necessary CA.

Roles and Responsibilities - Center Director, with the assistance of the Directors and CFO, is responsible for making this decision. Directors will support the Center Director, as appropriate, in making this decision.

#### 3.4.16 Evaluate CA

Purpose - Directors will review the issues and the recommended CA with the Center Director. The options and impacts of this CA on other directorate elements and other Supporting Organizations will be clearly identified. The Center Director will assess the CA, and with the support of the Directors, either approve, modify the CA, or require the identification of another CA. Proceed from this activity following the completion of the Center review and identification and evaluation of all directorates that are impacted by this CA.

Input - Knowledge of directorate performance and resource utilization from the review and evaluation activity. An inter-directorate CA, with appropriate supporting information detailing specific actions to be taken, corresponding actionees, and associated impacts.

Output - Recommended Center CA

Roles and Responsibilities - Directors are responsible for cooperatively reaching resolution and communicating the results or jointly developing options and impacts and elevating them to the Center Director. Directors will participate in this activity, providing recommended adjustments to resolve issues, and complete impact assessments of CA implementation. Program/Project and Department Managers will support this activity, as appropriate. The CFO supports this activity with integration and analysis of resource data, as required.

#### 3.4.17 Center Director or SMC Review of CA

Purpose - Center Director or SMC will assess the recommended CA, with the support of the Directors, and either approve the CA, modify the CA, or require the identification of another CA. Directors will continue to work with all organizations until the Center Director approves a CA.

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Input - Recommended Center CA and related impacts.

Output - (1) the Center Director or SMC approves the CA, (2) modifies the CA, or (3) determines another CA is required.

Roles and Responsibilities - The Center Director or SMC approves the CA or requests further evaluation. Directors support the Center Director's decision on CA and acquire Center Director's signature on CA. The CFO supports the Center Director by assessing availability of resources and associated risk to accomplish CA.

#### 3.4.18 Redistribute Allocations Consistent with Approved Center Director CA

Purpose - If the approved CA results in a change in Center resource allocations, the allocations will be redistributed consistent with the approved CA and formally communicated to the Directors of each MSFC organization.

Input - Decision to approve Center CA.

Output - Letter from the Center Director that formally communicates the redistribution of Center resource allocations, if necessary.

Roles and Responsibilities - Center Director initiates required reallocation of Center resources in accordance with approved CA. The CFO will support the Center Director in this activity.

## 4. RECORDS

The completed SPAs and CWCs are the quality records resulting from this process. These will be maintained by CFO in the electronic data base. They will be retained for as long as needed, until superseded, or for no longer than 5 years in accordance with NPG 1441.1, Schedule 9, Uniform File Index (UFI) #9000. CAs will be maintained by the managing organization responsible for the work as records for reference but not as quality records.

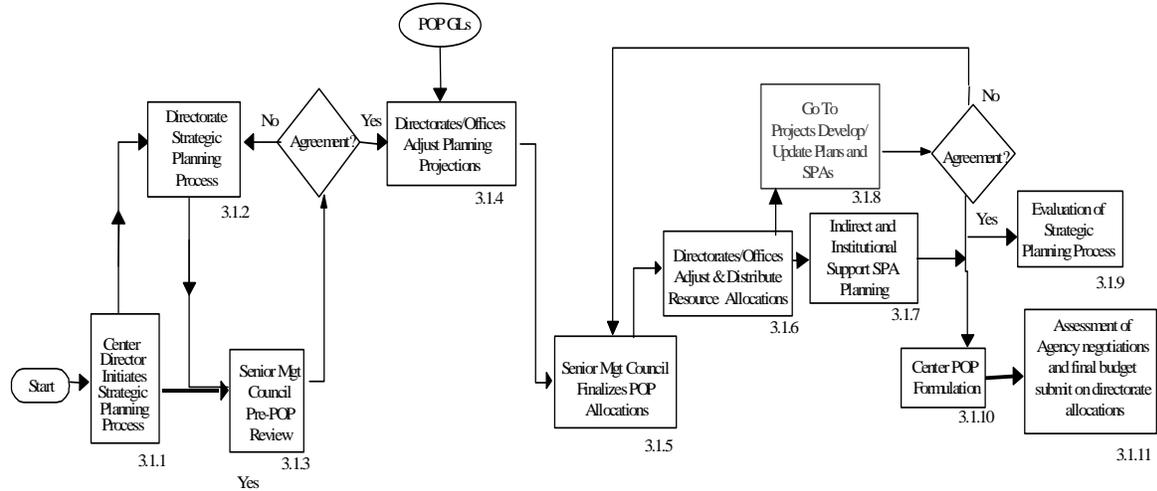
## 5. FLOW DIAGRAM

Flow diagrams are numbered consecutively 1-6. Block numbers correspond to paragraph numbers in the document.

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FlowDiagram1

### 3.1 STRATEGIC PLANNING SUB-PROCESS

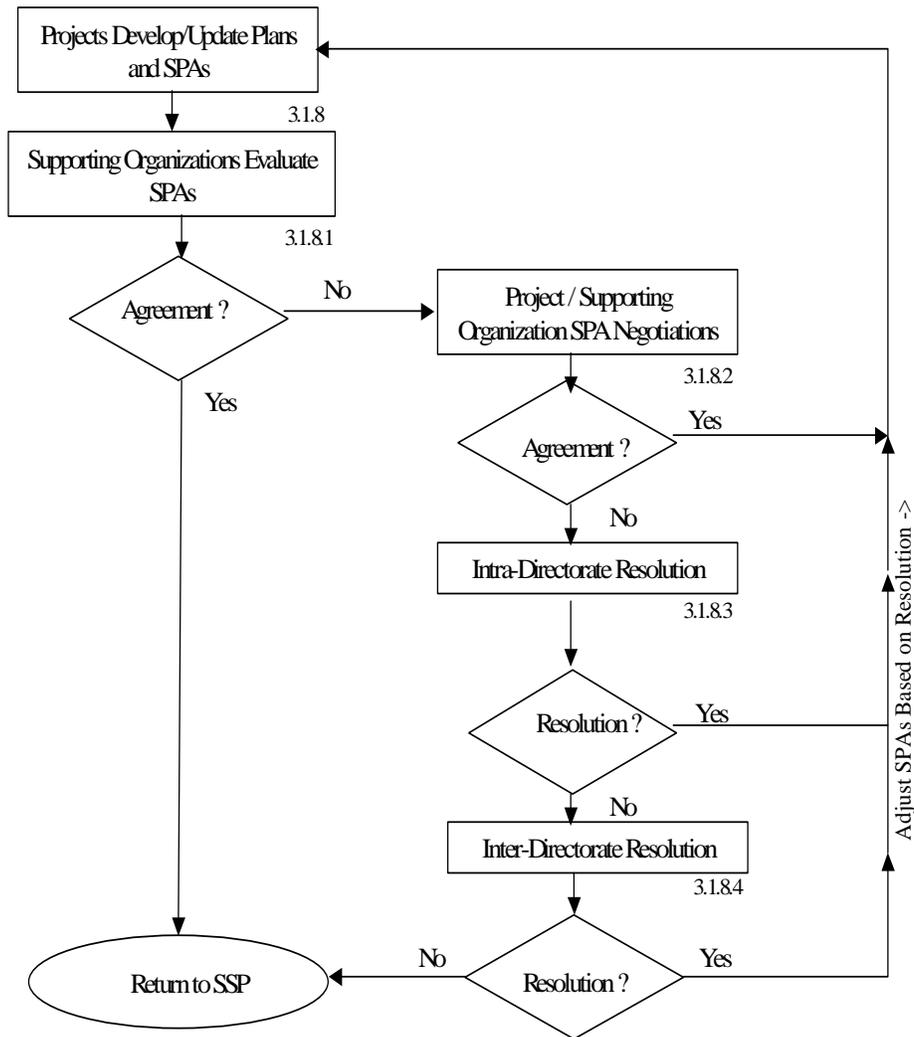


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FlowDiagram2

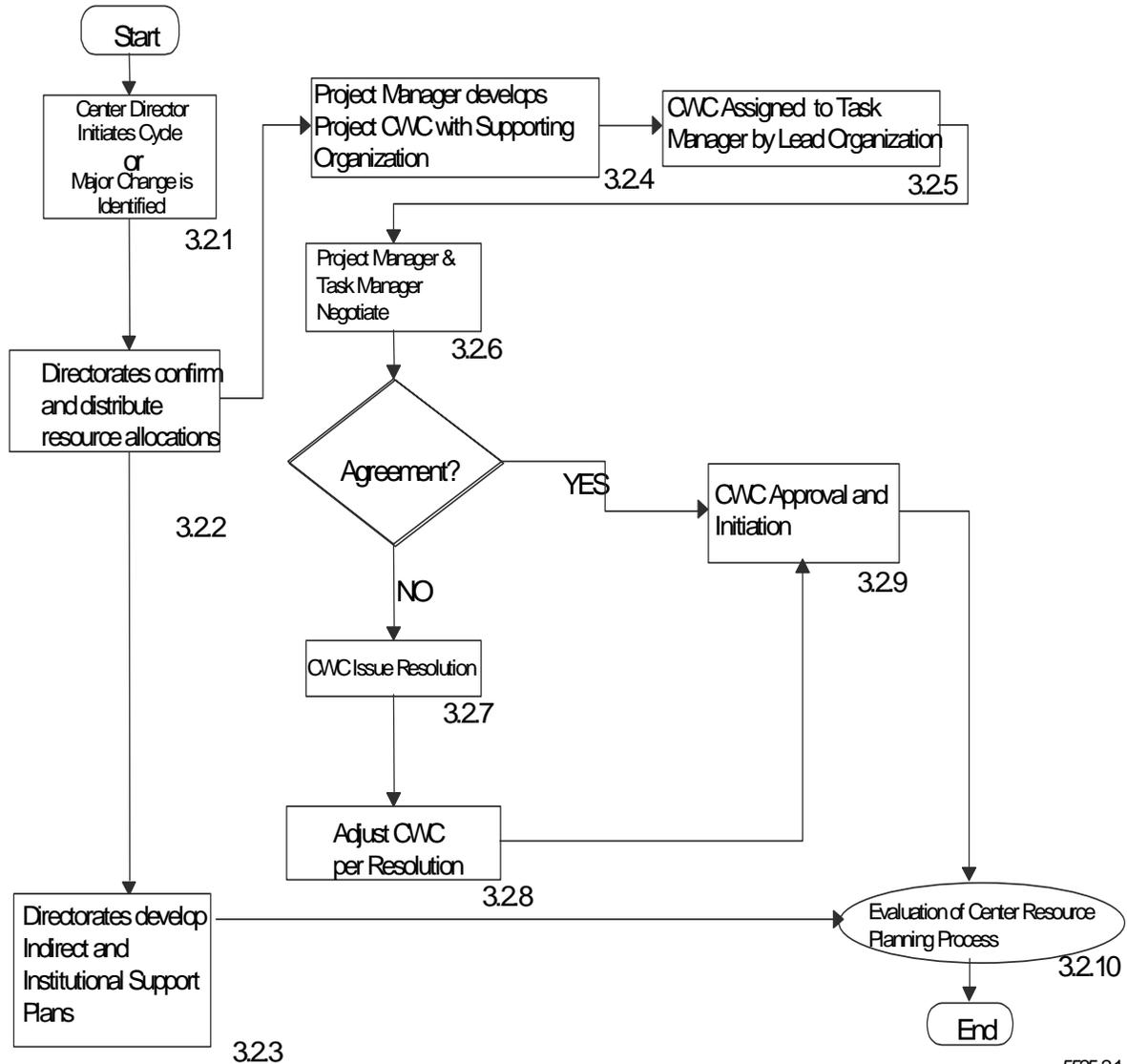
### 3.1 PROJECTS DEVELOP/UPDATE PLANS AND SPAS



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FlowDiagram3

### 3.2 CENTER RESOURCE PLANNING SUBPROCESS

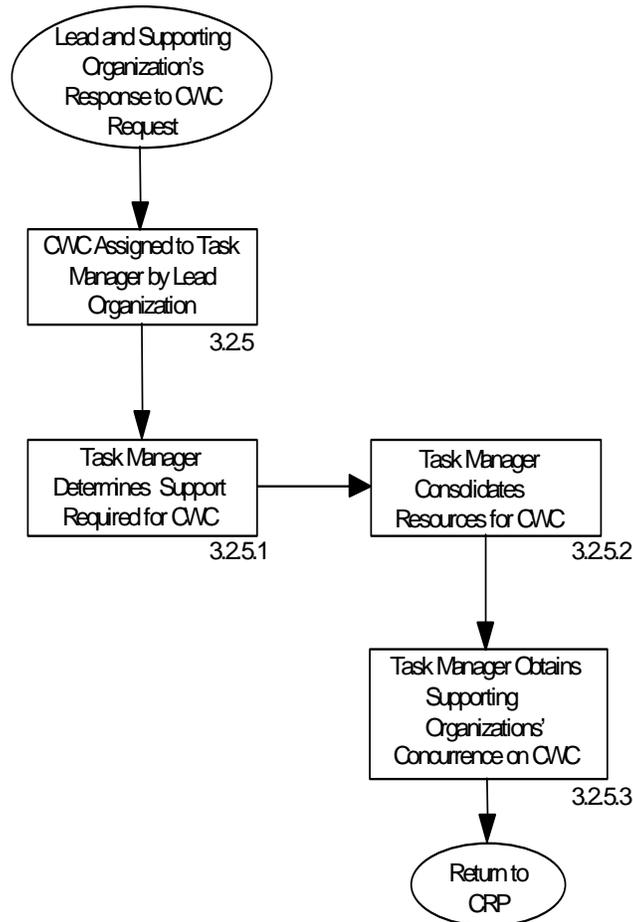


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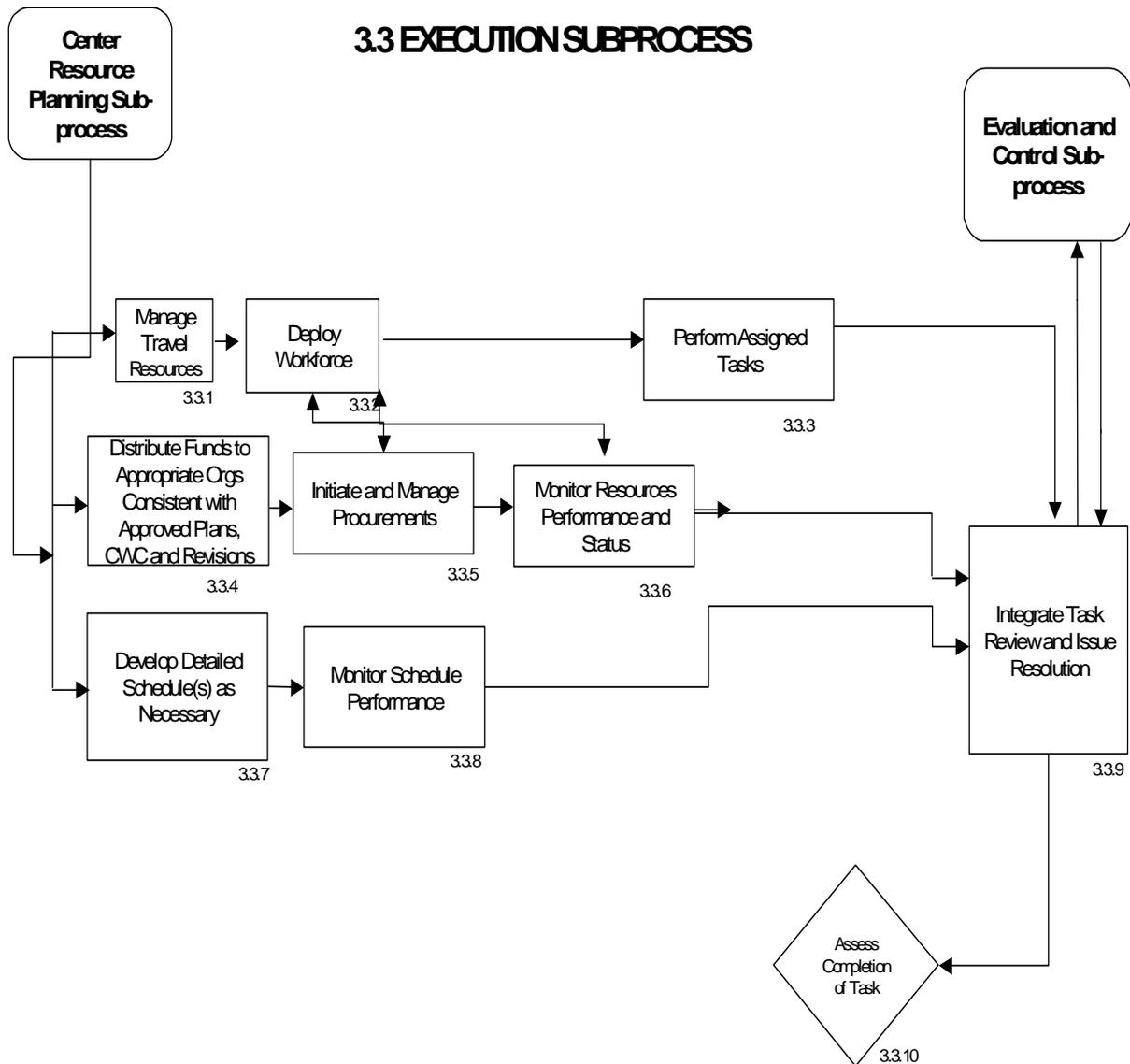
FlowDiagram4

### 3.25 CWC ASSIGNED TO TASK MANAGER BY LEAD ORGANIZATION



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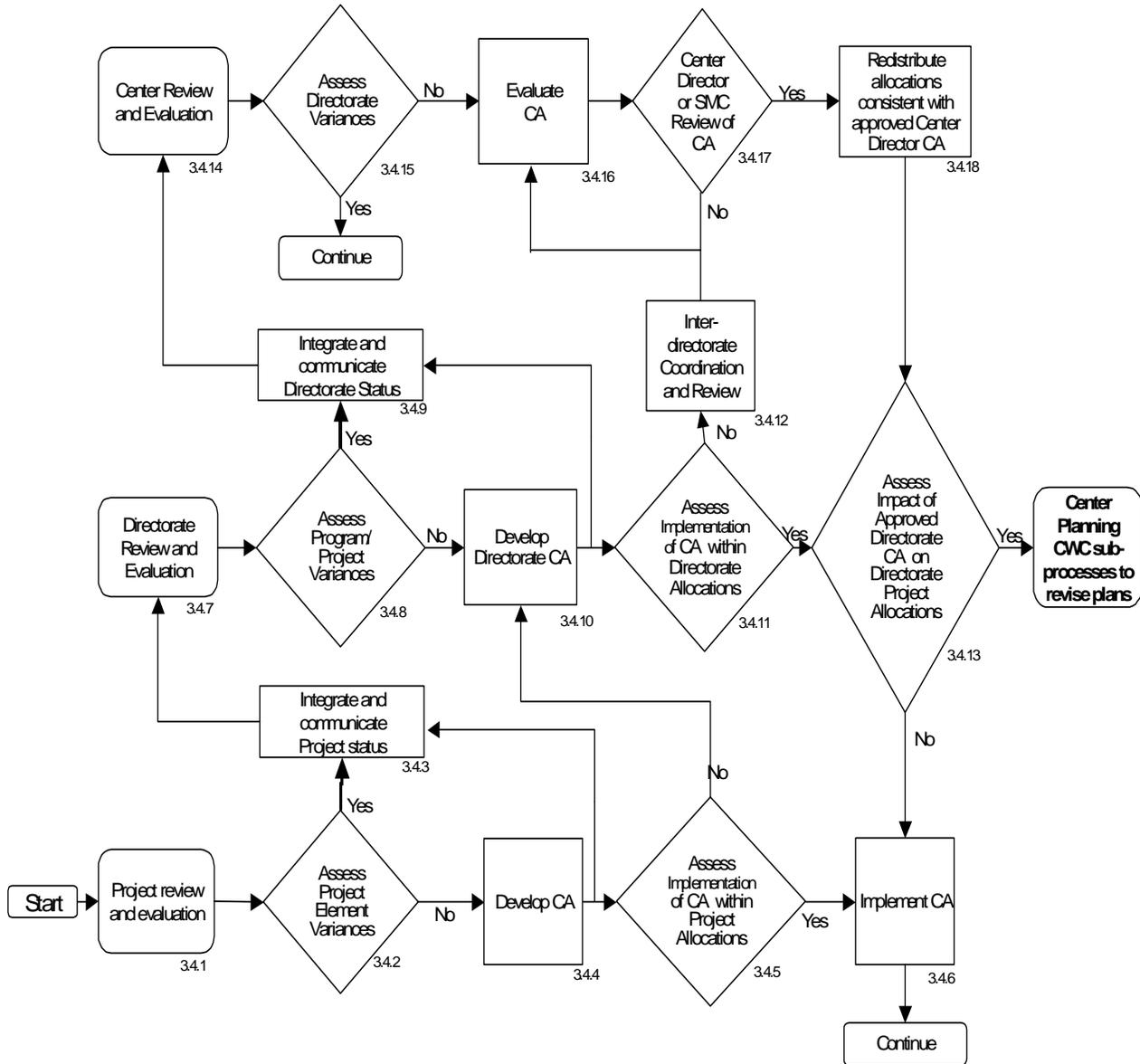
Flow Diagram 5



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### 3.4 EVALUATION AND CONTROL SUBPROCESS

**FlowDiagram6**



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