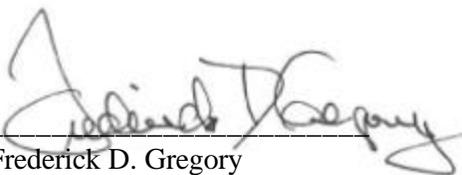


BASELINE VERSION



OSMA Budget Reprogramming



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January 13, 2000

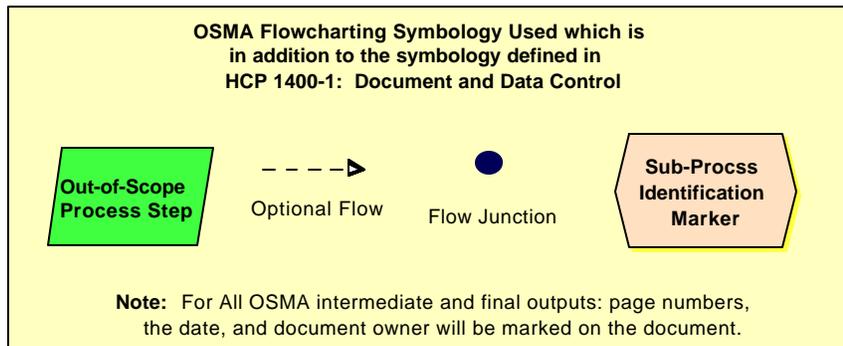
Date

DOCUMENT HISTORY LOG

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Baseline		January 13, 2000	

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1. Purpose

The purpose of this Office of Safety and Mission Assurance (OSMA) Headquarters Office Work Instruction (HOWI) is to document the process of how changes to OSMA's detailed program budget (also known as the OSMA Operating Plan) are requested, approved, executed, and documented. This HOWI also specifies the Quality Records associated with the process.

2. Scope and Applicability

This process applies to in-year changes in funding levels, or program additions or deletions to OSMA's detailed program budget, affecting a limited number of line items. This process does not apply to large-scale updates, such as entry of POP decisions. This HOWI is applicable to OSMA budgetary analysts/managers and program coordinators.

NOTE: *This HOWI assumes a basic familiarity to the NASA budgetary and resource controls.*

3. Definitions

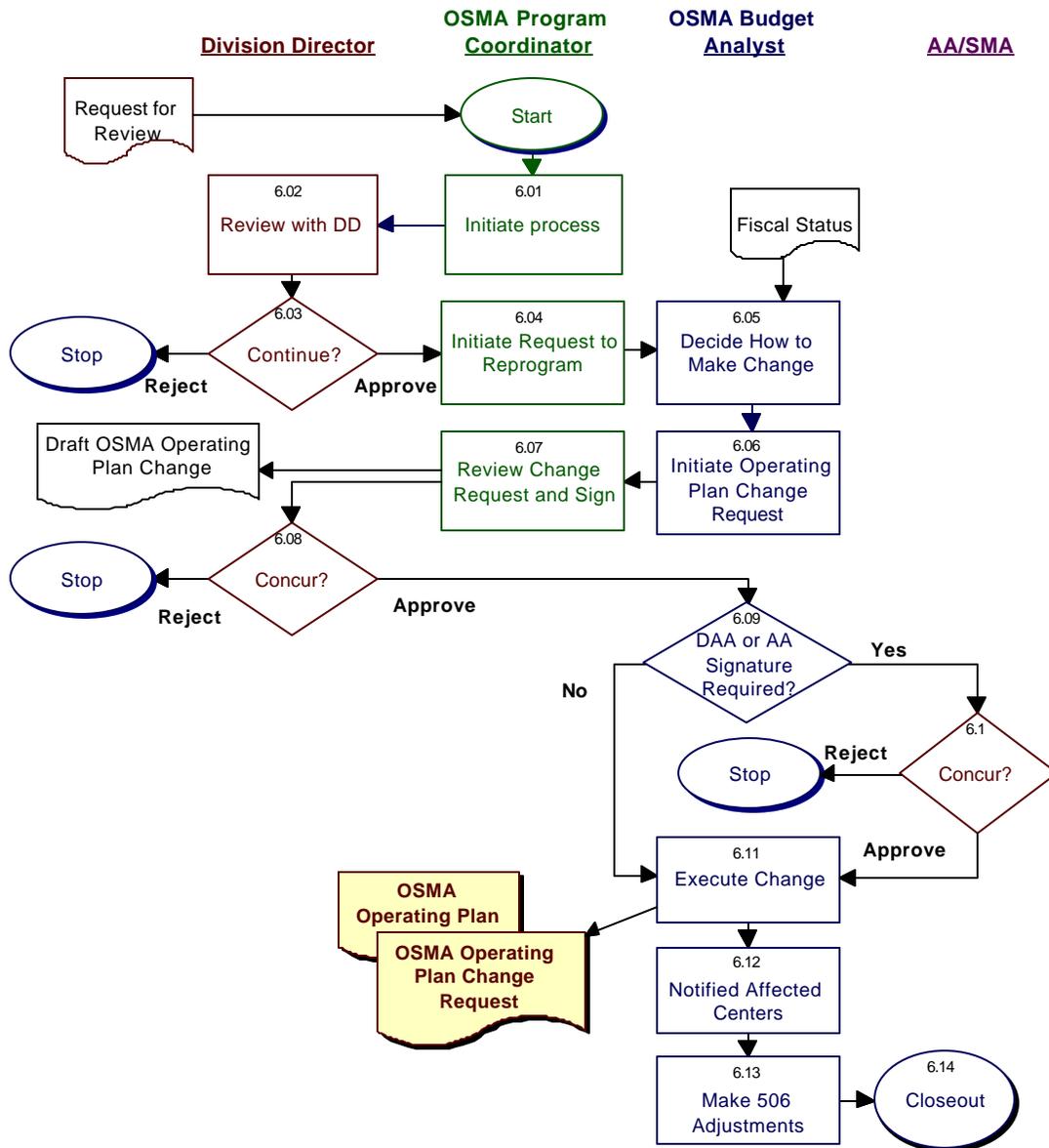
- 3.1. AA/SMA: Associate Administrator for Safety and mission Assurance
- 3.2. BA: OSMA Budget Analyst
- 3.3. OSMA Operating Plan: Task-level funding plan, by program year, of all explicitly approved OSMA tasks. This plan is used for budget execution, but not for planning.
- 3.4. Operating Plan Change Request:...An informal OSMA form designed to explicitly show requested task-level budget changes, balancing actions needed to accomplish the changes, and approvals.
- 3.5. PC: OSMA Program Coordinator. The OSMA Manager who is responsible for an OSMA program.

4. Reference Documents

The documents listed in this section are used as reference materials for performing the processes covered by the Quality Management System (QMS). Since all NASA Headquarters Level 1 (QMS Manual) and level 2 (Headquarters Common Processes) documents are applicable to the QMS, they need not be listed in this Section unless specifically referenced in this OSMA HOWI.

- 4.1. HOWI 7410-B001: *Budget and Performance Plan Formulation*

5. Flowchart



6. Procedure

6.01 OSMA Program Coordinator (PC) Initiate Process:

A NASA Center submits a reprogramming proposal to HQ Program Coordinator. The PC reviews the request and decides if the request meets the needs of OSMA. This decision must rely on the Level II Center Technical Program Plan and the PC's knowledge of the program.

6.02 PC Review with DD:

The PC reviews the need for reprogramming with the DD.

6.03 DD Continue?

The Division Director concurs and continues the process to reprogram, or terminates the proposal.

6.04 PC Initiate Request to Reprogram:

The Program Coordinator makes reprogramming request to OSMA Budget Analyst (BA).

6.05 OSMA Budget Analyst (BA) Decide how to make change?

The OSMA budget analyst reviews the particulars of the request as well as program fiscal performance. Issues considered include:

- Are funds available in the program or are funds required from the AA/SMA's budget reserve required? How much?
- Is the program a sensitive issue for the AA/SMA, Deputy AA/SMA, or other OSMA Division or group?
- Are all moved funds available, or are Center deobligations and decommitments required?
- Does the program's fiscal performance warrant additional funds?
- What Center will make the procurement?

From this information, the OSMA budget analyst and requesting HQ Program Coordinator concur on how to make the requested change.

6.06 BA Initiate Operating Plan Change Request:

The OSMA budget analyst generates an Operating Plan Change Request and forwards to PC. On the Change Request is the following information:

- Each changed Center/Program (AWCS)/Program Year combination is a unique line. Do not combine two or more Centers, programs, or program years on a single line.
- For each changed Center/Program (AWCS)/Program Year combination, show the current operating plan amount, the change, and the new operating plan amount. The result is a simple formula, $A + B = C$
- All changes against an individual program year must be grouped and summed. The sum of changes against each program year must equal zero. If the sum of changes does not equal zero, a change to the AA's Reserve for that program year must be made. In some rare instances, Code B may change OSMA's budget total and cause a non-zero-sum operating plan change.
- Use the notes area to document why the changes were made and to explain details of the changes.

6.07 PC Review Change Request and Sign:

The PC signs the Plan Change Request, and forwards it to Division Director(s).

- 6.08 DD Concur?
 The Division Director reviews, approves and signs the Operating Plan Change Request or terminates the request.
- 6.09 BA Deputy AA/SMA or AA/SMA Signature Required?
 The BA determines if AA/SMA or Deputy AA/SMA approval is required. If approval is not required go to step 6.11.
- 6.10 Deputy AA/SMA and AA/SMA Concur?
 The Deputy AA/SMA and/or AA/SMA review, approve and sign the Operating Plan Change Request or terminate the request.
- 6.11 BA Execute Changes in OSMA Operating Plan
 The OSMA BA begins to execute the changes in the OSMA Operating Plan.
- 6.12 BA Notify Affected Centers
 The BA notifies the affected Centers, DDs and PCs of the executed changes by E-Mail.
- 6.13 BA 506 Adjustments are Made:
 If 506 “White” (resources authority) adjustments are required, then HOWI 7410-Q031 is initiated.
- 6.14 BA Closeout:
 When all paperwork is filed, the process is closed out.

7. Quality Records

Record ID	Owner	Location	Media Electronic /hardcopy	Schedule Number & Item Number	Retention & Disposition
OSMA Operating Plan	OSMA Budget Analyst	OSMA Server (U:/QALL/Budget/Current Budget Materials)	Electronic, with periodic history printouts	Schedule: 7 Item: 21.G.1	Electronic- 1 years past execution then delete. History printouts- minimum 10 years past execution then transfer to FRC, then transfer to NARA when 20 years old

Record ID	Owner	Location	Media Electronic /hardcopy	Schedule Number & Item Number	Retention & Disposition
OSMA Operating Plan Change Requests	OSMA Budget Analyst	OSMA BA's Change Request Binder	Hardcopy	Schedule: 7 Item: 21.G.2	Keep 1 year past execution then destroy

Appendix A: Background Information

Process Customers, Requirements, and Outputs:

CUSTOMERS	REQUIREMENTS	PRODUCTS AND SERVICES
AA, DAA, Division Directors, HQ Program Coordinators, Center Program Managers	Consistent process for request, approval, and execution of budget changes	Approved and executed, or disapproved, requests for budget changes
AA, DAA, Division Directors	Decision tracing	File of completed change requests
Division Directors	Program approval point	Required signature on change request
AA and DAA	Approval point for reserves or sensitive programs	Required signature on change request
OSMA Budget	Accurate accounting and execution of requests	Line item funding data on change request

RESOURCES:

- OSMA budget analyst staff time
- Operating plan system
- Spreadsheet change request form
- File of approved change forms
- Agency financial reports

GOALS:

- Processing and execution time for change requests
- Approval time for change requests by AA, DAA, and Division Directors
- Accuracy of data on change request
- Accuracy of change executed in operating plan system