

Office Work Instruction

HOWI 7410-U009 REV. A
April 30, 1999

Responsible Office: UP/ Policy and Program Integration Division

Subject: Budget Formulation



OFFICE WORK INSTRUCTION

BUDGET FORMULATION

Original Approved and Signed by:

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DOCUMENT HISTORY LOG

Status (Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		02/01/99	
Revision	A	4/30/99	Incorporates changes made in response to comments from the Code U review and the DNV Pre-Assessment Report.

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1. Purpose

This Office Work Instruction (OWI) describes the process used by the Office of Life and Microgravity Sciences and Applications (OLMSA) in formulating the OLMSA budget.

2. Scope and Applicability

This OWI describes procedures for the OLMSA budget formulation process. It covers the annual budget formulation process from a January beginning to February of the following year. The OLMSA budget formulation process is consistent with and parallels the Agency budget formulation process. The Agency processes, which are managed by the Office of the NASA Comptroller (Code B), are described in the *NASA Budget Administration Manual*.

3. Definitions

None

4. Applicable Documents

- 4.1 NPD 1000.1, NASA Strategic Plan (<http://www.hq.nasa.gov/office/nsp/cover.html>)
- 4.2 NPG 1000.2, NASA Strategic Management Handbook (<http://www.hq.nasa.gov/office/codez/strahand/frontpg.htm>)
- 4.3 NHB 7400.1C, NASA Budget Administration Manual
- 4.4 NHB 1101.3, The NASA Organization (http://nodis.hq.nasa.gov/Library/Directives/NASA-WIDE/Procedures/Organization_and_Administration/N_HB_1101_3.html)

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5. Flowchart

Note: Quality Records are Designated by (*)

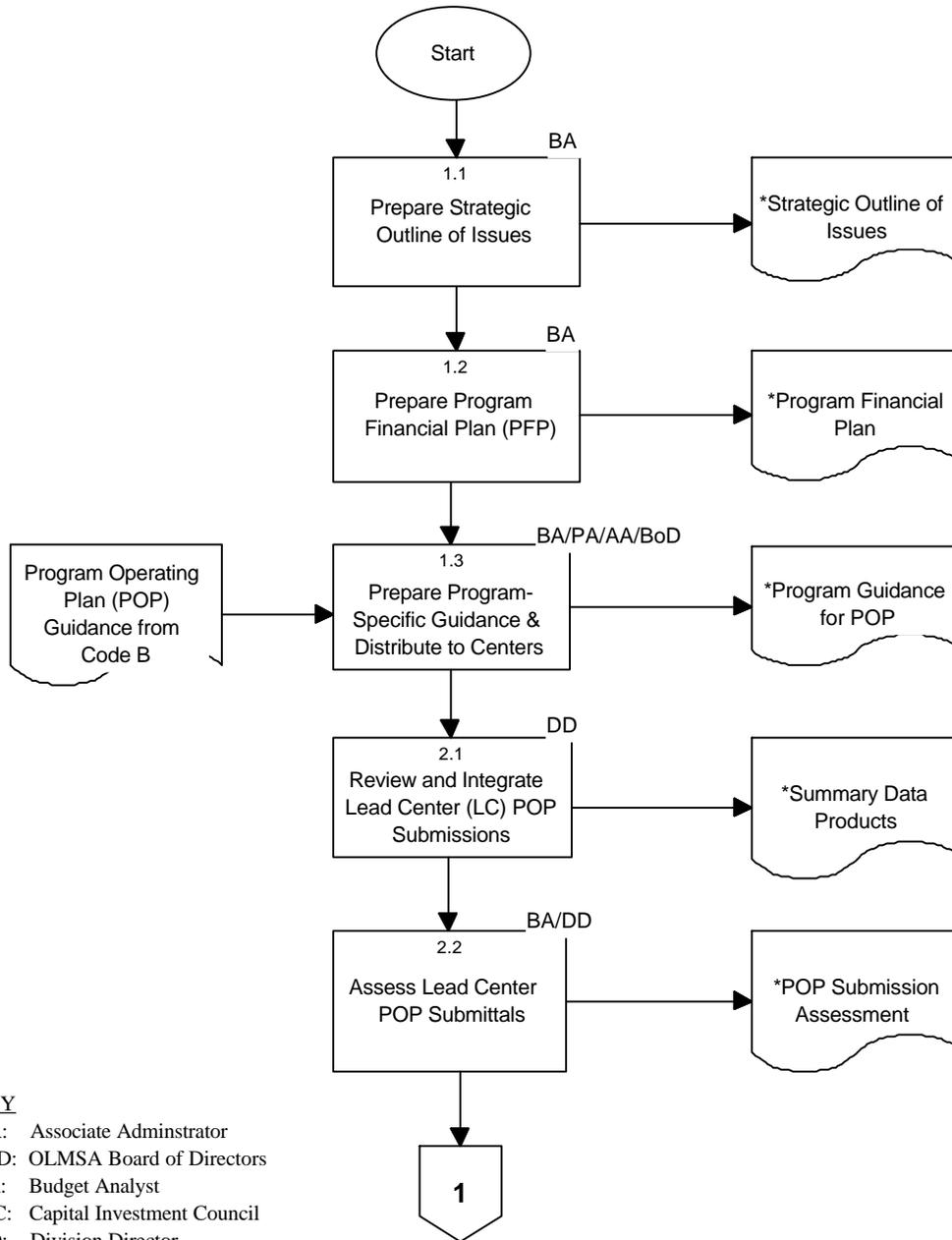
CHECK THE MASTER LIST at <http://hqiso00hq.nasa.gov>
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KEY

- AA: Associate Administrator
- BoD: OLMSA Board of Directors
- BA: Budget Analyst
- CIC: Capital Investment Council
- DD: Division Director
- OMB: Office of Management and Budget
- PA: Policy Analyst

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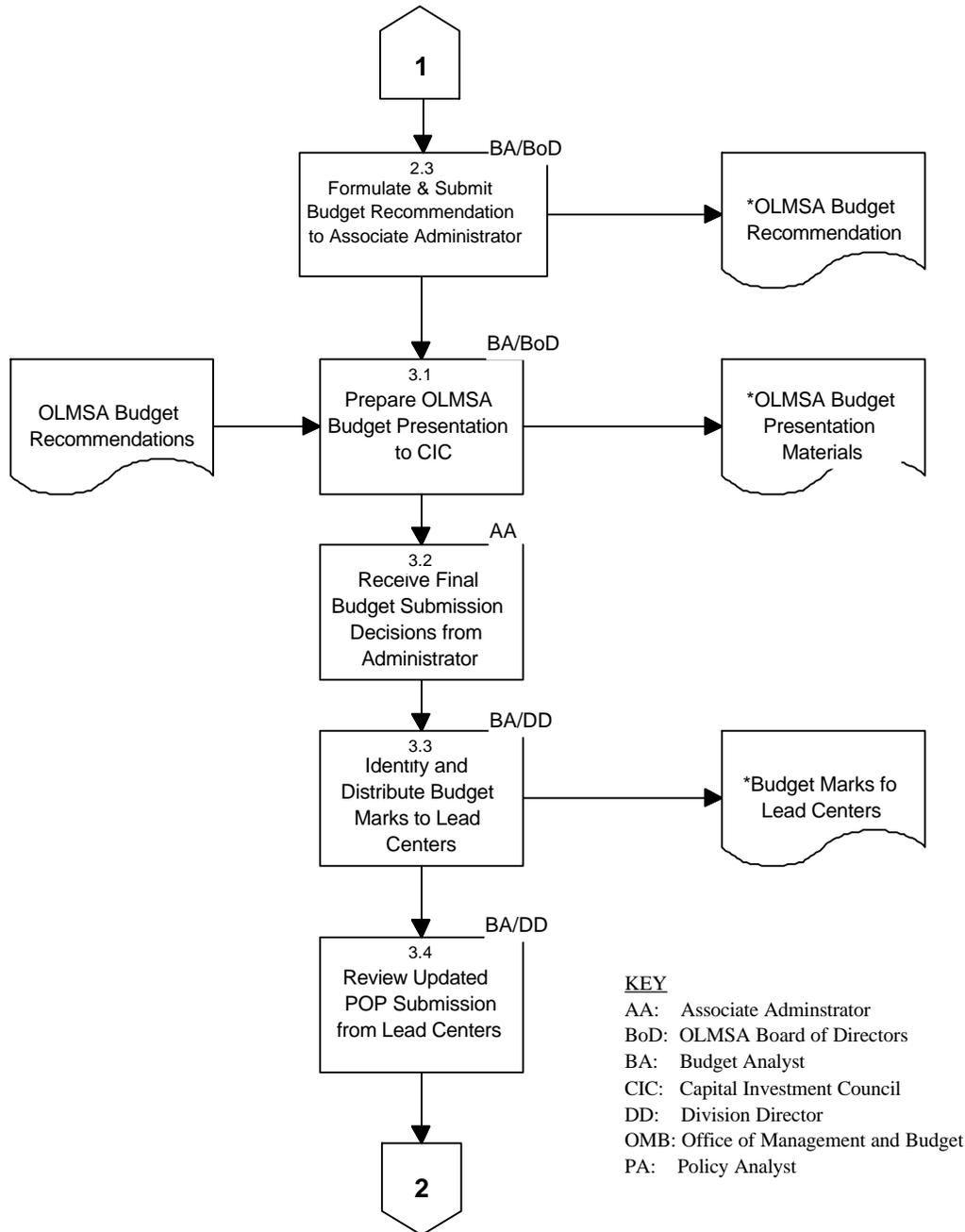
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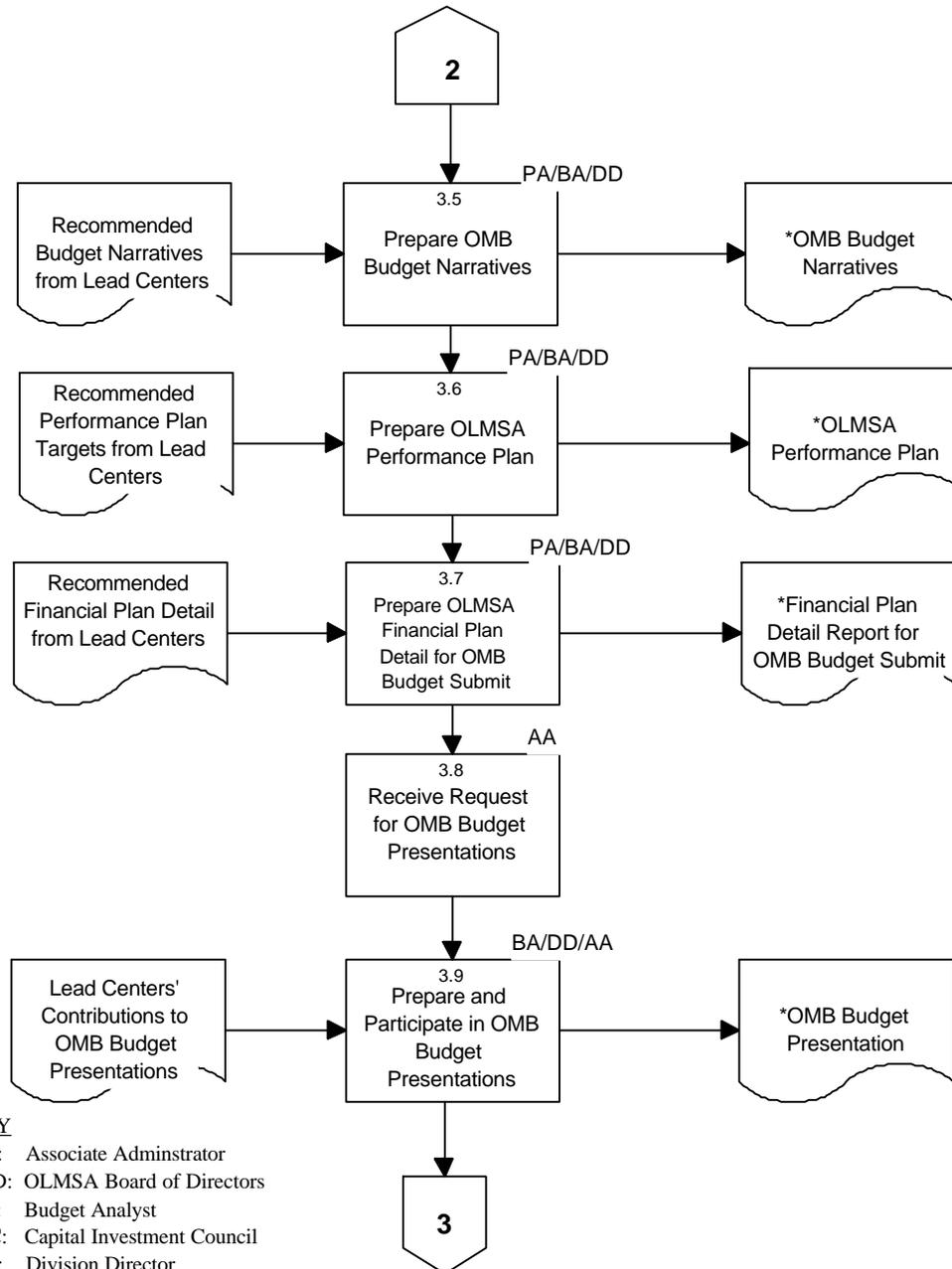
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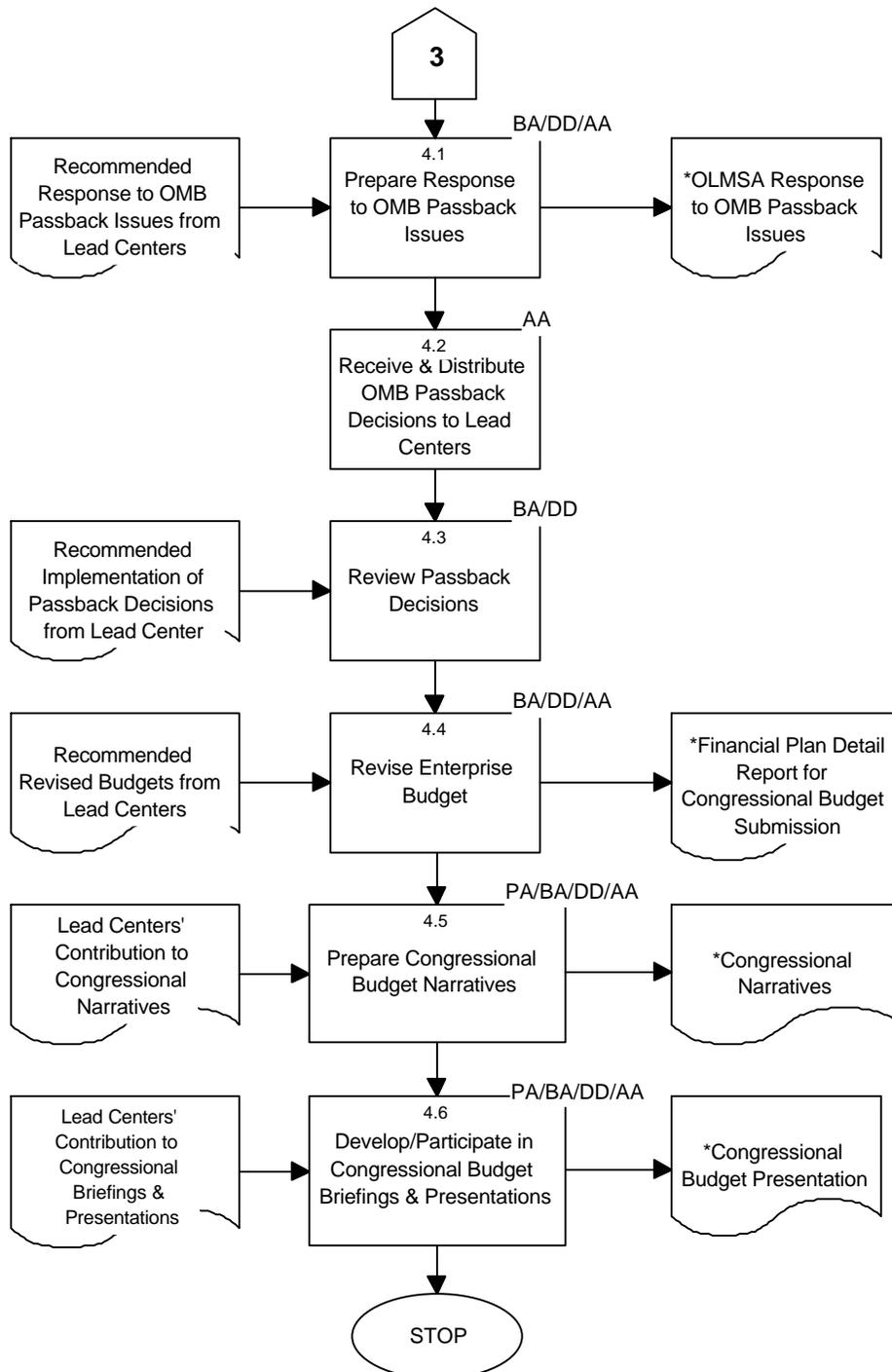
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6. Procedure

The Budget Formulation Process is repeated yearly with activities occurring throughout the year. The process starts in mid-January for a budget submitted to Congress in February of the following year. The OLMSA activities are conducted in four primary phases:

1. Build OLMSA Enterprise-Level Program Operating Plan (POP) Guidelines,
2. Build OLMSA Enterprise-Level Enterprise Budget,
3. Build OLMSA Enterprise-Level Agency Submission to the Office of Management and Budget OMB, and
4. Build OLMSA Enterprise-Level Congressional Budget.

The process identified below identifies the work of OLMSA's Policy and Program Integration Division (Code UP). It does not describe the activities of the Field Centers or the activities of the Office of the NASA Comptroller (Code B).

6.1 Build POP Guidelines

#	<u>Responsible Official</u>	<u>Activity Description</u>
1.1	Budget Analyst	Prepare strategic outline of issues. After soliciting input from the OLMSA Executive Board and Lead Centers, prepare the Strategic Outline of Issues and deliver it to the Capital Investment Council as input to the Strategic Guidance for Budget Formulation
1.2	Budget Analyst	Prepare Program Financial Plan (PFP). Prepare the PFP after soliciting input from the OLMSA Executive Board and Lead Centers. The PFP is delivered to the Capital Investment Council as input to the Strategic Guidance for Budget Formulation.
1.3	Budget Analyst, Policy Analyst, Associate Administrator, Board of Directors	Prepare program-specific budget formulation guidance. Prepare program-specific guidance for budget formulation using the POP budget guidance provided by Code B.

6.2 Build Enterprise Budget

2.1	Division Director	Receive and integrate Lead Centers' POP submissions. The integrated budget submissions should result in Summary Data Products.
2.2	Budget Analyst, Division Director	Assess Lead Centers' POP submissions and report findings to the Associate Administrator for OLMSA (AA).
2.3	Budget Analyst, Board of Directors	Formulate and submit budget recommendations for the AA.

6.3 Build Agency Submission to OMB

3.1	Budget Analyst, Board of Directors	Prepare OLMSA budget presentation to CIC (Capital Investment Council). As this action proceeds, Code B will be finalizing the budget submission to OMB.
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| 3.2 | Associate Administrator | Receive final budget submission decisions from the Administrator. |
| 3.3 | Budget Analyst, Division Director | Identify and distribute budget marks to Lead Centers. |
| 3.4 | Budget Analyst, Division Director | Review updated POP submission from the Lead Centers. This activity is conducted with the Lead Centers. |
| 3.5 | Policy Analyst, Budget Analyst, Division Director | Prepare OMB Budget Narratives that support the final Budget submission decisions from the Administrator. This activity is conducted with the Lead Centers. |
| 3.6 | Policy Analyst, Budget Analyst, Division Director | Prepare OLMSA Performance Plan using recommended performance targets received from Lead Centers. |
| 3.7 | Policy Analyst, Budget Analyst, Division Director | Prepare OLMSA Financial Plan Details for OMB Budget Submit. This activity is conducted with the Lead Centers. |
| 3.8 | Associate Administrator | Receive a request for OMB Budget Presentation. |
| 3.9 | Budget Analyst, Division Director, Associate Administrator | Prepare and participate in the OMB Budget Presentations. This activity is conducted with the Lead Centers. |
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| 6.4 | Build Congressional Budget | |
| 4.1 | Budget Analyst, Division Director, Associate Administrator | Prepare response to OMB passback issues, if requested. After OMB has reviewed the NASA budget submission, it will identify issues and recommendations for "passback" to NASA. The passback issues are sent to Code B, which will solicit Code UP support as required. |
| 4.2 | Associate Administrator | Receive and distribute the final totals and program guidance to Lead Centers. |
| 4.3 | Budget Analyst, Division Director | Review passback decisions. This activity is conducted with the Lead Centers. |
| 4.4 | Budget Analyst, Division Director, Associate Administrator | Revise Enterprise budget, if required, prior to approval. Submit to Code B. Code B will then finalize and distribute the budget submission to Congress. This activity is conducted with the Lead Centers. |
| 4.5 | Policy Analyst, Budget Analyst, Division Director, Associate Administrator | Prepare Congressional Budget Narrative. This activity is conducted with the Lead Centers. |
| 4.6 | Policy Analyst, Budget Analyst, Division Director, Associate Administrator | Develop/participate in the congressional budget briefings and presentations. This activity is conducted with the Lead Centers. |

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7. Quality Records

<i>Record Identification</i>	<i>Owner</i>	<i>Location</i>	<i>Media Electronic/ Hard Copy</i>	<i>Schedule and Item Nos.*</i>	<i>Retention/ Disposition</i>
Strategic Outline of Issues	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
Program Financial Plan	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
Program Guidance for POP Integrated Submittals	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
OLMSA Summary Data Products	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
Preliminary Assessment of Lead Center Submittals	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
OLMSA OMB Budget Narratives	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
OLMSA Budget Recommendation	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
OMB Budget Marks for Lead Centers	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
OLMSA Performance Plan	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
OLMSA Financial Plan Detail Report	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
OLMSA OMB Budget Presentation Materials	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
OLMSA Response to OMB Pass back Issues	Lead Budget Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.
OLMSA Congressional Budget and Presentation Materials	Policy Analyst, UP	Code UP	Hard Copy	Schedule 7, Item 22	Destroy when 5 years old.

* Quality Records are retained in accordance with the referenced schedule and item number from NPG 1441.1, *NASA Records Retention Schedules*