

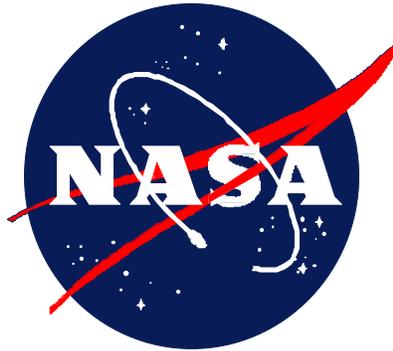
Office Work Instruction

HOWI 7410-Y007 Baseline

Effective Date: November 30, 1998

Responsible Office: YB/Business Management Division

Subject: Advocate the ESE Budget



OFFICE WORK INSTRUCTION

ADVOCATE THE ESE BUDGET

(Conforming to ISO 9001 Quality System Requirements)

Earth Science Enterprise Office Work Instruction		
Advocate the ESE Budget	HOWI 7410-Y007	Revision: Baseline
	Date: November 30, 1998	Page 2 of 10

DOCUMENT HISTORY LOG

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Earth Science Enterprise Office Work Instruction		
Advocate the ESE Budget	HOWI 7410-Y007	Revision: Baseline
	Date: November 30, 1998	Page 3 of 10

PREFACE

The NASA Office Work Instruction (OWI) for Advocate the ESE Budget documents the tasks and activities in conformance with the International Organization for Standardization's (ISO) 9001 requirements for quality systems. The manual supplements the *NASA Strategic Plan, Strategic Management Handbook*, and other higher level NASA directives, which form the basis for how NASA conducts business.

This OWI is not intended to duplicate or contradict any other NASA policy, procedures or guidelines, which currently exist. As such, the OWI will reference prevailing documents where a topic is addressed and existing coverage is deemed adequate. Additional information provided within is intended to supplement existing documentation regarding Headquarters (HQ) implementation of strategic and program/project management, as well as HQ conformance with the ISO 9001 Quality Management System (QMS) requirements.

Earth Science Enterprise Office Work Instruction		
Advocate the ESE Budget	HOWI 7410-Y007	Revision: Baseline
	Date: November 30, 1998	Page 4 of 10

TABLE OF CONTENTS

<u>PARAGRAPH</u>	<u>PAGE</u>
1.0 PURPOSE	5
2.0 SCOPE AND APPLICABILITY	5
3.0 DEFINITIONS	5
4.0 REFERENCES	5
5.0 FLOWCHART	6
6.0 PROCEDURE	7
7.0 QUALITY RECORDS	10

Earth Science Enterprise Office Work Instruction		
Advocate the ESE Budget	HOWI 7410-Y007	Revision: Baseline
	Date: November 30, 1998	Page 5 of 10

1.0 PURPOSE

This OWI provides information for the organizational structure, responsibilities, procedures, processes, and resources for advocating the ESE budget in conformance with ANSI/ASQC Q9001-1994 and NPD 8730.3, *NASA Quality Management System Policy (ISO 9000)*. The OWI describes what is to be accomplished by the process, not how the work is to be performed. It addresses the overall policy, and references other documents which provide implementing guidance.

2.0 SCOPE AND APPLICABILITY

2.1 Scope. This work instruction describes procedures for the NASA Earth Science Enterprise (ESE) budget advocacy process. This process includes internal and external advocacy activities. Internal advocacy activities occur between the ESE budget submittal to the Office of the Chief Financial Officer, and the Agency's submittal to the OMB. External budget advocacy activities covered are advocacy to the OMB and advocacy to Congress.

2.2 Applicability. This work instruction for Advocate the ESE Budget applies to the NASA Office of Earth Science (OES, Code Y) offices and divisions. The Associate Administrator for Earth Science is responsible for maintaining this document. The controlled version of the manual is available on the World Wide Web (WWW) via the HQ ISO 9000 Document Library for the ISO 9000 QMS at <http://hqiso9000.hq.nasa.gov>. Any printed version of this OWI is uncontrolled (reference: HCP 1400.1, Document and Data Control). Proposed revisions of this manual will be accomplished by following HOWI 1410-Y015 (Approve Quality Documents).

3.0 DEFINITIONS

In general, the definitions given in ISO 8402 apply. Appendix B of the *Earth Science Enterprise Management Handbook* provides additional ESE-specific terms and definitions.

4.0 REFERENCES

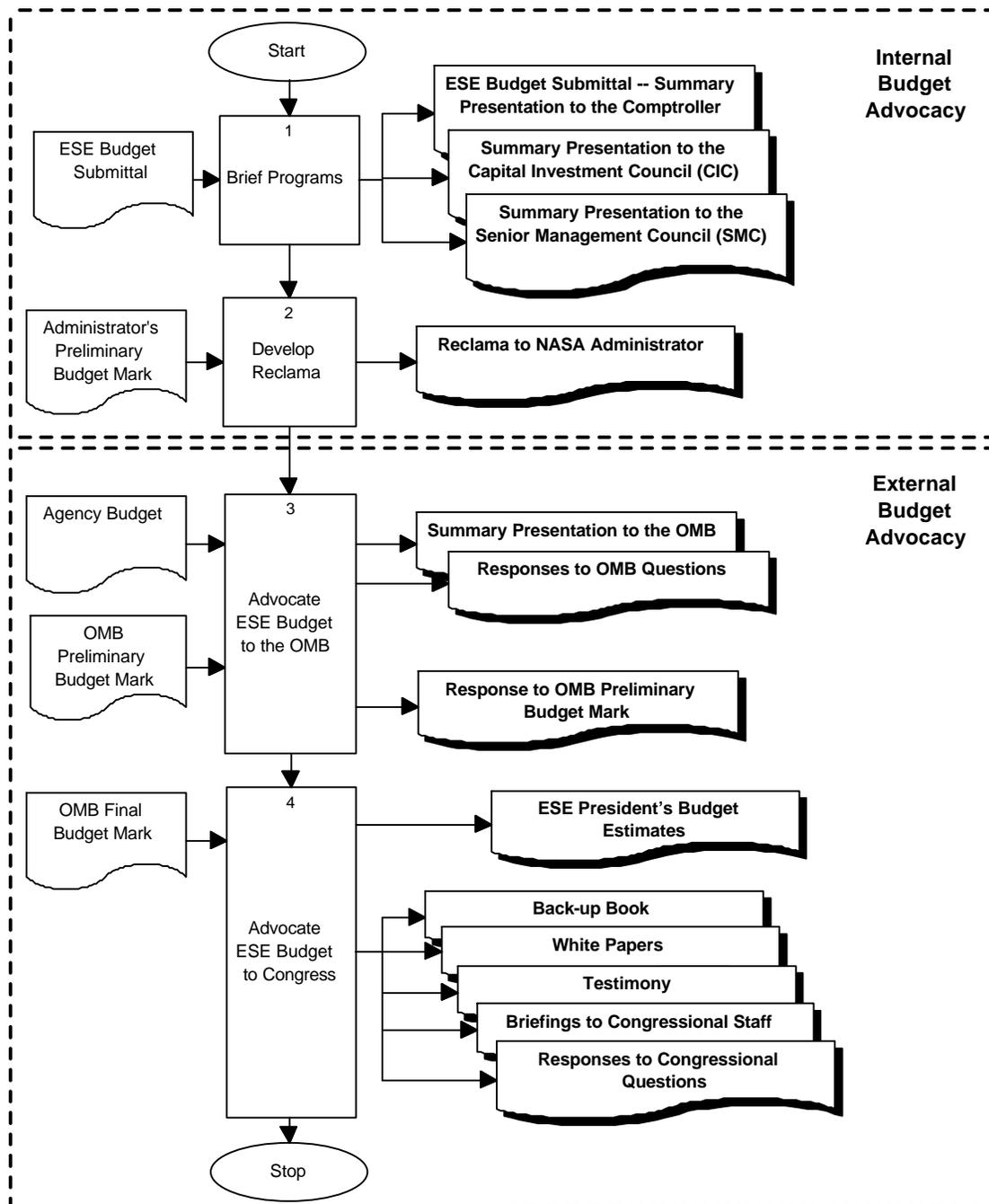
The following documents contain provisions that, through reference in this OWI or in policy or procedure documents, constitute the basis for the documented procedure:

NPD 1000.1	NASA Strategic Plan
NPG 1000.2	NASA Strategic Management Handbook
NPD 7120.4A	Program/Project Management
NPG 7120.5A	NASA Program and Project Management Processes and Requirements
ANSI/ASQC Q9001-1994	American National Standard, Quality Systems-Model for Quality Assurance in Design, Development, Production, Installation, and Servicing
ANSI/ASQC 8402:1994	Quality Management and Quality Assurance - Vocabulary
NPD 8730.3	NASA Quality Management System Policy (ISO 9000)
NHB 1101.3	NASA Organization Handbook

Earth Science Enterprise Office Work Instruction		
Advocate the ESE Budget	HOWI 7410-Y007	Revision: Baseline
	Date: November 30, 1998	Page 6 of 10

5.0 FLOWCHART

The following flowchart depicts the procedure described in Section 6. Outputs in boldface type represent the quality records listed in Section 7.



Earth Science Enterprise Office Work Instruction		
Advocate the ESE Budget	HOWI 7410-Y007	Revision: Baseline
	Date: November 30, 1998	Page 7 of 10

6.0 PROCEDURE

Budget advocacy may be viewed as having two major elements: internal advocacy and external advocacy. Internal advocacy covers the activities where the ESE justifies its budget within the Agency. Sometimes these internal activities are considered to be part of the budget formulation process, because from the Agency perspective the budget is still being formulated. However, from an ESE perspective, the specific activities the Enterprise performs during the internal advocacy period are best characterized as budget advocacy as opposed to budget formulation.

Budget advocacy also includes external advocacy, which covers the processes in which the Enterprise justifies its budget to the Office of Management and Budget and the Congress.

The following table describes the flowchart of Section 5.

Actionee

Action

- Internal Budget Advocacy. Internal budget advocacy encompasses those activities that occur between the ESE submittal to the Office of the Chief Financial Officer and the Agency's submittal to the OMB. The internal budget advocacy activity includes the following major tasks:
- | | | |
|---|---|---|
| Associate Administrator
Business Management Division | 1 | <input type="checkbox"/> <i>Brief Programs.</i> The Business Management Division prepares a series of presentations which include a summary of program accomplishments and status, changes to the previous budget baseline, program and project schedules and content, and major issues. The intent of these presentations is to provide senior Agency management with the information it needs to make policy decisions and properly balance the Agency's total program. The Director, Business Management Division, gives the presentation to the Comptroller. The Associate Administrator gives the presentations to the Capital Investment Council (CIC) and the Senior Management Council (SMC). |
| Associate Administrator
Business Management Division | 2 | <input type="checkbox"/> <i>Develop Reclama of the Preliminary Budget Mark.</i> After hearing the budget recommendations provided by each of the Strategic Enterprises and the Headquarters Staff Offices, the NASA Administrator makes preliminary budget decisions. The Office of the Chief Financial Officer communicates this preliminary budget mark to the Enterprises. |
- The preliminary budget mark may contain requests for additional data or for assessments of program options. Each Enterprise is afforded the opportunity to react to the preliminary budget mark, usually in the form of a brief meeting between the NASA Administrator, the Associate Administrator, and the Agency Comptroller.
- Following the reclama sessions, the NASA Administrator makes final budget decisions that form the basis for the Agency's budget submittal to the OMB. These decisions are formally communicated to the Enterprises by the Office of the Chief Financial Officer.

External Budget Advocacy. External budget advocacy encompasses a broad range of formal and informal activities on the part of many individuals within and outside of the Enterprise. The following two formal budget advocacy activities occur every year on a predictable schedule:

Earth Science Enterprise Office Work Instruction		
Advocate the ESE Budget	HOWI 7410-Y007	Revision: Baseline
	Date: November 30, 1998	Page 8 of 10

Associate Administrator Business Management Division 3 *Advocate ESE Budget to the OMB.* This phase of the advocacy process runs from September through December of each year. It begins with the formal submittal of the Agency's budget to the OMB. The Business Management Division prepares brief narratives describing the status and plans of ESE programs and projects, and also prepares several spreadsheet-type formats to support the Agency submittal. These formats are established by the Office of the Chief Financial Officer, which has the responsibility to consolidate and integrate the Agency's budget request to the OMB.

Shortly after the formal submittal, the Associate Administrator provides a presentation to the OMB. This presentation focuses on the past year's accomplishments, current status, performance measures and future plans. It is prepared by the Business Management Division with support from the technical divisions (Research; Applications, Commercial, and Education; and Program Planning and Development). As part of this process, the OMB often provides written questions which are answered either as part of the presentation or as follow-up responses after the presentation. The Business Management Division coordinates the responses to these questions. After some deliberation, the OMB usually provides a preliminary budget mark to the Agency in late November, and the Agency is given a brief period in which to respond. ESE participation in the Agency's response depends on the content of the mark and the strategic decisions made by the NASA Administrator. In December, the OMB provides final budget marks and policy direction to the Agency. This forms the basis of the President's budget request to Congress.

Associate Administrator Business Management Division 4 *Advocate ESE Budget to Congress.* This stage of the advocacy process begins with the preparation of the President's Budget Estimates. The Business Management Division drafts the Earth Science section of the Agency's budget request. This draft is sent to the technical divisions for comments and revisions, and then to the Office of the Chief Financial Officer for final editing and consolidation into the Agency's budget narratives. The Business Management Division also prepares a comprehensive back-up book which displays the budget at a low level of detail and provides supporting information on, for example, budget changes, program and project schedules, and staffing.

During the period in which Congress reviews the President's budget request, the Business Management Division typically performs four types of external budget advocacy activities: preparation of white papers, preparation of testimony, briefings to Congressional staff, and responses to Congressional questions. White papers provide a one-page discussion of those program issues that are likely to be raised during staff briefings or during the hearings. Testimony typically consists of a brief set of remarks that the Associate Administrator will make during Congressional committee hearings, as well as a more extended discussion of program accomplishments, status, and plans that is provided for the Congressional record. Briefings to Congressional staff may be either formal presentations to an entire committee staff or a series of informal meetings between

Earth Science Enterprise Office Work Instruction		
Advocate the ESE Budget	HOWI 7410-Y007	Revision: Baseline
	Date: November 30, 1998	Page 9 of 10

the Associate Administrator and individual Congressional staffers. Finally, following hearings, briefings, or individual meetings, there are usually written questions that require responses.

The specific tasks as well as the schedule vary from year to year. The Business Management Division works with the division directors to ensure that all required products are produced. In general, the Business Management Division typically takes the following steps in performing external budget advocacy activities:

- Receive questions and requests for white papers, testimony, and briefings from the Office of Legislative Affairs (Code L). Requests may be in support of the annual budget process, or they may be ad hoc requests.
- When preparing white papers and testimony in support of the annual budget process, meet with the Associate Administrator for guidance.
- Identify the information and inputs needed, and sources for the information.
- Distribute assignments, questions, or other requests for inputs to the appropriate Enterprise staff.
- Consolidates the inputs into the required product, coordinate reviews among the divisions as appropriate, and incorporate comments.
- Obtain the Associate Administrator's approval of the final product.
- Coordinate with Code L, Code B, and other NASA codes as appropriate.
- Forward the final product to Code L for filing and in the case of white papers, testimony, and briefings, for delivery to the NASA presenter or, in the case of responses to congressional inquiries, for delivery to the congressional requester.

Earth Science Enterprise Office Work Instruction		
Advocate the ESE Budget	HOWI 7410-Y007	Revision: Baseline
	Date: November 30, 1998	Page 10 of 10

7.0 QUALITY RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA ELECTRONIC / HARDCOPY	RETENTION	DISPOSITION
ESE Budget Submittal -- Summary Presentation to the Comptroller	Resources Team Lead	Business Management Division	Hardcopy	Retain for two (2) years	Destroy when two (2) years old
Summary Presentation to the Capital Investment Council (CIC)	Resources Team Lead	Business Management Division	Hardcopy	Retain for two (2) years	Destroy when two (2) years old
Summary Presentation to the Senior Management Council (SMC)	Resources Team Lead	Business Management Division	Hardcopy	Retain for two (2) years	Destroy when two (2) years old
Reclama to NASA Administrator	Resources Team Lead	Business Management Division	Hardcopy	Retain for two (2) years	Destroy when two (2) years old
Summary Presentation to the OMB	Resources Team Lead	Business Management Division	Hardcopy	Retain for two (2) years	Destroy when two (2) years old
Responses to OMB Questions	Resources Team Lead	Business Management Division	Hardcopy	Retain for two (2) years	Destroy when two (2) years old
Response to OMB Preliminary Budget Mark	Resources Team Lead	Business Management Division	Hardcopy	Retain for two (2) years	Destroy when two (2) years old
ESE President's Budget Estimates	Resources Team Lead	Business Management Division	Hardcopy	Retain for two (2) years	Destroy when two (2) years old
Back-up Book	Resources Team Lead	Business Management Division	Hardcopy	Retain for two (2) years	Destroy when two (2) years old
White Papers	Resources Team Lead	Business Management Division	Hardcopy	Retain for two (2) years	Destroy when two (2) years old
Testimony	Resources Team Lead	Business Management Division	Hardcopy	Retain for two (2) years	Destroy when two (2) years old
Briefings to Congressional Staff	Resources Team Lead	Business Management Division	Hardcopy	Retain for two (2) years	Destroy when two (2) years old
Responses to Congressional Questions	Resources Team Lead	Business Management Division	Hardcopy	Retain for two (2) years	Destroy when two (2) years old