

Responsible Office: Congressional Liaison Division (Code LB)
Subject: Post-Hearing Activities

Office of Legislative Affairs
Office Work Instruction
Post-Hearing Activities

Original Approved by: s/ _____
Ed Heffernan
Associate Administrator
Office of Legislative Affairs

Responsible Office: Congressional Liaison Division (Code LB)
 Subject: Post-Hearing Activities

DOCUMENT HISTORY LOG

<u>Status (Baseline/ Revision/ Canceled)</u>	<u>Document Revision</u>	<u>Effective Date</u>	<u>Description</u>
Baseline		12/10/1999	
Revision	A	5/10/2000	Adjust Appendices to remove names; amend flow chart to define proper placement of quality records.
Revision	B	8/3/2000	Revisions made based on review of ISO 9001 System Scope Expansion and Surveillance Audits Systemic Analysis 6/15/00 Checklist. Added quality records as evidence of interim reviews and specified more clearly how concurrences are shown.

Responsible Office: Congressional Liaison Division (Code LB)
Subject: Post-Hearing Activities

1. Purpose

The purpose of this procedure is to document the process for responding to requests for information and review of transcripts resulting from Congressional hearings.

2. Scope and Applicability

- 2.1 This OWI covers the Congressional Hearing Process for review and correction of Congressional hearing transcripts; provision of material requested for the hearing follow-up record; and response to hearing questions submitted in writing by Members of Congress. These items are incorporated into the official hearing record as produced by the Congressional Committees and are filed in the legislative library in Code L.

3. Definitions

- 3.1 AO : Action Officer
- 3.2 CC: Correspondence Clerk
- 3.3 Code B: Office of the Comptroller
- 3.4 Code L Office of Legislative Affairs
- 3.5 Code LD Congressional Inquiries Division
- 3.6 DAA: Deputy Associate Administrator
- 3.7 DMS: Document Management System
- 3.8 FRC: Federal Records Center
- 3.9 HATS: Headquarters Action Tracking System
- 3.10 Incoming Package: Initial package received from Congress
- 3.11 LAA: Legislative Affairs Assistant
- 3.12 LAS: Legislative Affairs Specialist
- 3.13 Material for the Record (MFR): Member(s) of Congress might ask question(s) during the hearing and request that the witness(es) respond to that question in writing, due to time constraints or the level of detail required for answering that question.
- 3.14 OMB: Office of Management and Budget
- 3.15 PO: Program Office
- 3.16 Questions For the Record (QFR): Questions submitted in writing by a Member of Congress as a result of a hearing.

Responsible Office: Congressional Liaison Division (Code LB)
Subject: Post-Hearing Activities

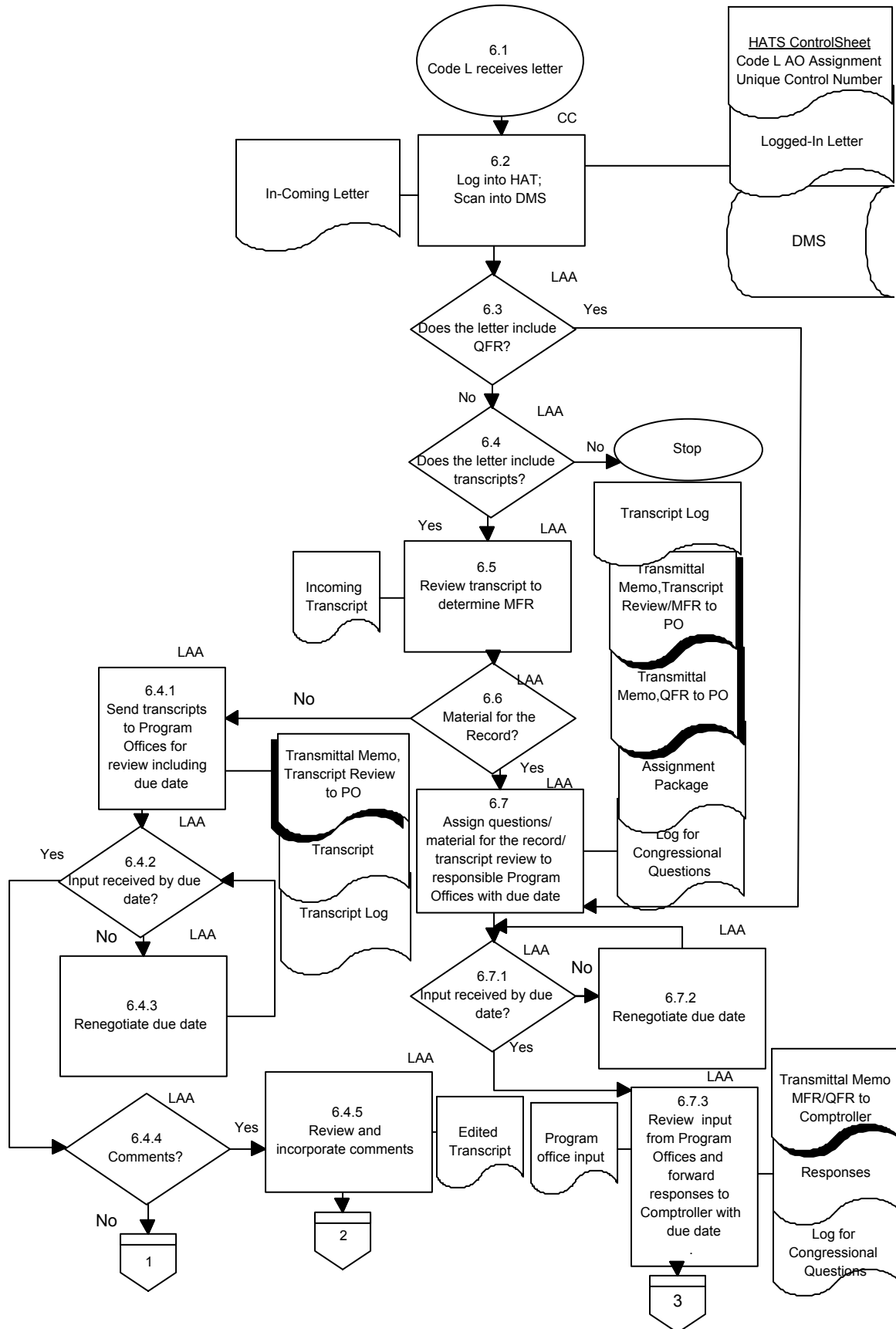
4. References

- 4.1 U.S. Congress, House of Representatives, Committee on Appropriations, Instructions for Reviewing and Editing Hearing Transcripts
- 4.2 U.S. Congress, House of Representatives, Committee on Science, Guidance for Processing Transcripts
- 4.3 U.S. Congress, Senate, Committee on Appropriations, Guidance for Processing Transcripts
- 4.4 U.S. Congress, Senate, Committee on Commerce, Science, and Transportation, Guidance on Processing Transcripts

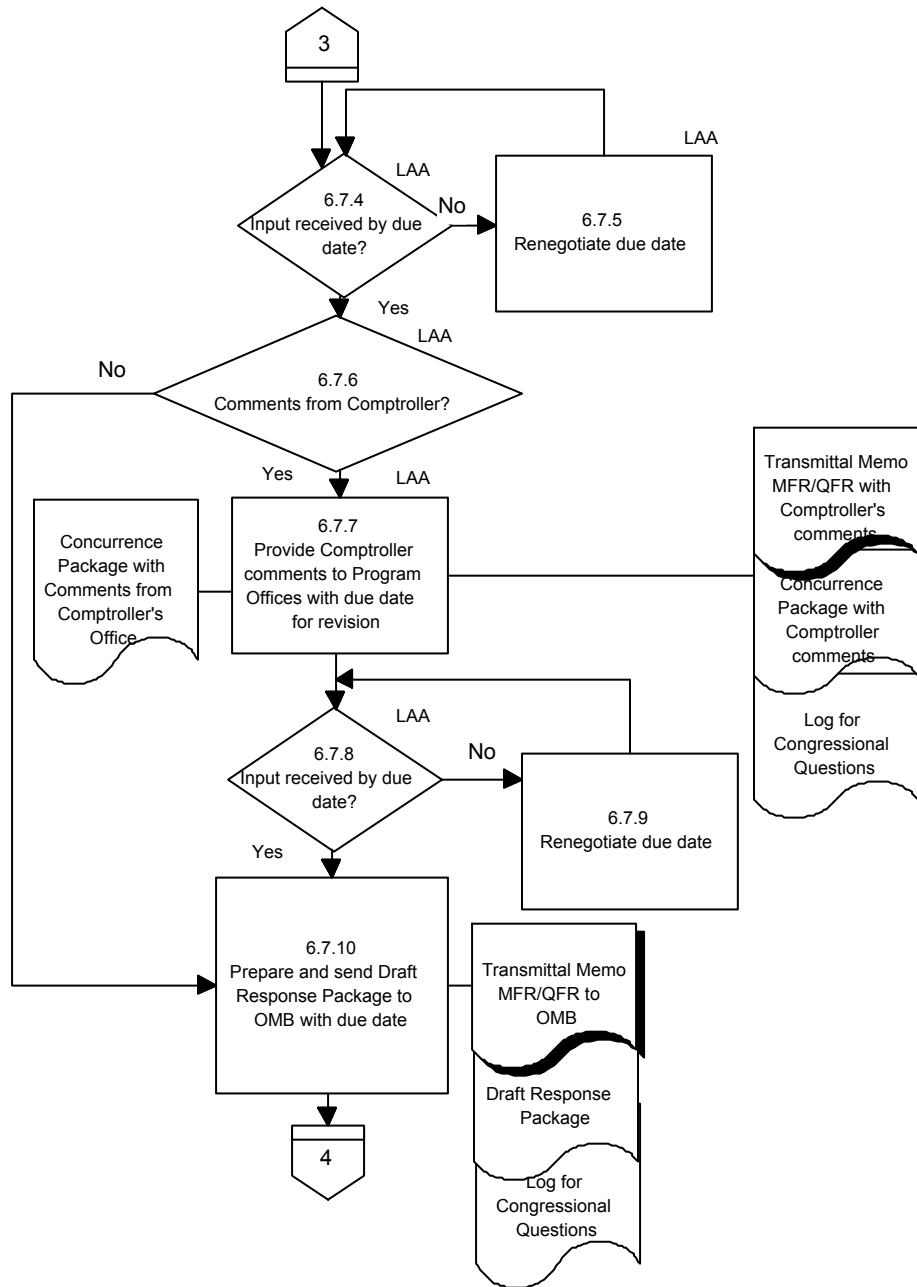
NOTE: References available by contacting the NASA Office of Legislative Affairs.

Responsible Office: Congressional Liaison Division (Code LB)
 Subject: Post-Hearing Activities

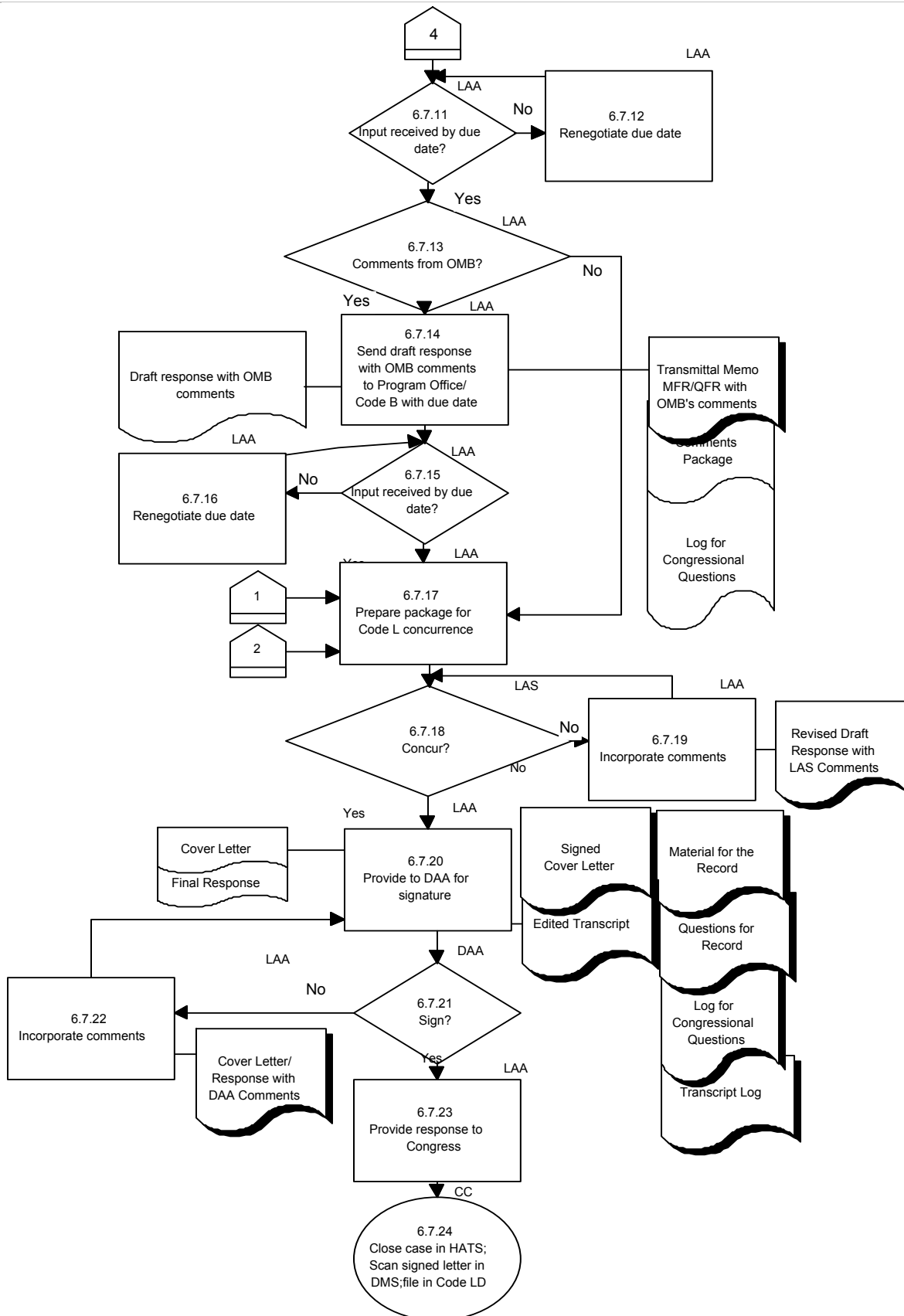
5. Flowchart



Responsible Office: Congressional Liaison Division (Code LB)
 Subject: Post-Hearing Activities



Responsible Office: Congressional Liaison Division (Code LB)
 Subject: Post-Hearing Activities



Responsible Office: Congressional Liaison Division (Code LB)
Subject: Post-Hearing Activities

6. Procedure

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.1		The Legislative Affairs Office receives incoming package from a Member of Congress or staff.
6.2	CC	The incoming package is logged into the HATS system by the CC. A HATS control sheet and number is established. The CC scans the incoming letter into the DMS and the incoming letter is assigned to the LAA for action.
6.3	LAA	The Legislative Affairs Assistant reviews the package to determine if package includes QFR from Congress. If the package includes QFR, proceed to Step 6.7. If the package does not include QFR proceed to Step 6.4.
6.4	LAA	The Legislative Affairs Assistant reviews the package to see if a Member of Congress or their staff has submitted a transcript. If the package does not include transcript, no further action related to transcripts is required. If the package does include transcripts proceed to Step 6.5.
6.5	LAA	LAA reviews transcripts for edits and to determine if transcript includes MFR.
6.6	LAA	If no MFR requested, proceed to Step 6.4.1; if MFR included in transcript, proceed to Step 6.7.
6.4.1	LAA	<p>A transmittal memo requesting transcript review and edit (Appendix A) is prepared by the LAA and assigned to the appropriate Program Office(s) (according to the subject matter/NASA witness), with a due date in accordance with the date provided in the incoming package. The LAA enters into the transcript log (Appendix B) the following data:</p> <ul style="list-style-type: none">• the program office responsible for the action; and• the date due to the Office of Legislative Affairs(Suspense date to Code).
6.4.2	LAA	The LAA checks the transcript log for date the package was due to the Office of Legislative Affairs. If package was received by the due date, proceed to Step 6.4.4. The LAA incorporates into the transcript

Responsible Office: Congressional Liaison Division (Code LB)
Subject: Post-Hearing Activities

log the date the package was received. If package was not received by the due date, proceed to Step 6.4.3.

- 6.4.3 LAA If package was not received by the due date the LAA contacts the responsible program office contact person and renegotiates the due date until package is received. The LAA incorporates the new due date into the transcript log.
- 6.4.4 LAA If the Program Office does not have edits to the transcript, go to Step 6.7.17, otherwise go to Step 6.4.5.
- 6.4.5 LAA If the Program Office does have edits to the transcript, the LAA incorporates edits based on guidance in the cover memo supplied with incoming package (see References). After edits are incorporated proceed to Step 6.7.17.
- 6.7 LAA MFR, QFR and transcript reviews are assigned to responsible Program Offices for action. LAA uses judgement, knowledge and experience to determine who should get the various assignments which is generally based on hearing subject matter expertise and NASA witness(es) testifying at hearing. (See Appendices A and C for transmittal memos). LAA assigns due date and makes notations in log(s) (Appendices B and D). For process flow related to transcript review, see Steps 6.4.2 through 6.4.5. For process flow related to MFR and QFR (they go through same process) see 6.7.1.
- 6.7.1 LAA The LAA checks the log sheet for date response was due to the Office of Legislative Affairs. If response was received by the due date, proceed to Step 6.7.3. The LAA incorporates into the log the date the package was received. If package was not received by the due date, proceed to Step 6.7.2
- 6.7.2 LAA If package was not received by the due date the LAA contacts the responsible program office contact person and renegotiates the due date until package is received. The LAA incorporates the new due date into the log.
- 6.7.3 LAA When the responses from the Program Office are received and reviewed a transmittal memo (Appendix

Responsible Office: Congressional Liaison Division (Code LB)
Subject: Post-Hearing Activities

E) is created and sent to the Comptroller's office for concurrence with a due date in accordance with date the package is due back to the Committee. The LAA enters into the log the following data:

- the date the package was received from the Program Office;
- the date sent to the Comptrollers office; and
- the date the package is due from the Comptrollers office

6.7.4 LAA The LAA checks the log for date package was due to the Office of Legislative Affairs. If package was received by the due date, proceed to Step 6.7.6. The LAA incorporates into the log the date the package was received. If package was not received by the due date, proceed to Step 6.7.5

6.7.5 LAA If package was not received by the due date the LAA contacts the Comptroller's office and renegotiates the due date until package is received. The LAA incorporates the new due date into the log.

6.7.6 LAA Did the Comptroller's Office have comments? If no, proceed to Step 6.7.10. If yes, proceed to Step 6.7.7.

6.7.7 LAA Prepare a transmittal memo (Appendix F), forwarding Comptroller's comments to the Program Office, with a due date. The LAA enters into the log the following data:

- the date the package was sent to the PO; and
- the date the package is due from the PO.

6.7.8 LAA The LAA checks the log for date package was due to the Office of Legislative Affairs. If package was received by the due date, proceed to Step 6.7.10. The LAA incorporates into the log the date the package was received. If package was not received by the due date, proceed to Step 6.7.9.

6.7.9 LAA If package was not received by the due date the LAA contacts the responsible program office contact person and renegotiates the due date until package is received. The LAA incorporates the new due date into the log.

Responsible Office: Congressional Liaison Division (Code LB)
Subject: Post-Hearing Activities

- 6.7.10 LAA Prepare and send draft response package which has now been revised by PO to incorporate any Comptroller comments to OMB with a transmittal memo (Appendix G) including a due date in accordance with date provided in the incoming package. The LAA enters into the log the following data:
- the date the package was sent to OMB; and
 - the date the package is due from OMB.
- 6.7.11 LAA The LAA checks the log for date package was due to the Office of Legislative Affairs. If package was received by the due date, proceed to Step 6.7.13. The LAA incorporates into the log the date the package was received. If package was not received by the due date, proceed to Step 6.7.12.
- 6.7.12 LAA If package was not received by the due date the LAA contacts OMB and renegotiates the due date until package is received. The LAA incorporates the new due date into the log.
- 6.7.13 LAA Did OMB have comments? If no, proceed to Step 6.7.17. If yes, proceed to Step 6.7.14.
- 6.7.14 LAA Prepare a transmittal memo (Appendix H), forwarding OMB's comments to the Program Office and Code B with a date the comments package is due back from the recipients. The LAA enters into the log the following data:
- the date the package was sent to the PO/Code B;
 - the date the package is due from the PO/Code B.
- 6.7.15 LAA The LAA checks the log for date package was due to the Office of Legislative Affairs. If package was received by the due date, proceed to Step 6.7.17. The LAA incorporates into the log the date the package was received. If package was not received by the due date, proceed to Step 6.7.16.
- 6.7.16 LAA If package was not received by the due date the LAA contacts the responsible PO/Code B contact persons and renegotiates the due date until package is received. The LAA incorporates the new due date into the log .

Responsible Office: Congressional Liaison Division (Code LB)
Subject: Post-Hearing Activities

- 6.7.17 LAA Assembles transcript and/or MFR and/or QFR response packages for final Code L review, approval and signature. The Legislative Affairs Specialist(s) (LAS) assigned to the PO(s) that are the subject(s) of the response package are provided the response package for concurrence. Assignment to LAS is based on guidance in the memo signed by the DAA in "Revised Congressional Liaison Assignments". Latest version of this memo is available from Code L.
- 6.7.18 LAS If the LAS concurs by initialing, go to Step 6.7.20, otherwise go to Step 6.7.19.
- 6.7.19 LAA The LAA incorporates LAS comments into revised draft of response. LAS has reviewed any significant proposed changes with PO, Comptroller's Office and OMB as needed prior to providing to LAA for inclusion. LAS uses knowledge, judgement and experience to determine the scope of this review.
- 6.7.20 LAA The LAA provides package to the DAA for signature.
- The package could consist of:
- a signed cover letter;
 - the edited transcript; and/or
 - material for the record; and/or
 - the questions for the record; and
 - completed log sheets.
- 6.7.21 DAA Does the DAA sign the letter? If yes, proceed to Step 6.7.23. If no, proceed to Step 6.7.22.
- 6.7.22 LAA If the DAA has any comments, the LAA incorporates those comments and forwards the package back to the DAA for signature.
- 6.7.23 LAA The final package with the signed cover letter and the edited transcript, MFR and/or QFR are forwarded to the Congressional requester. A copy of the signed final letter and the package is provided to the CC.
- 6.7.24 CC The case is closed in the HATS system and the signed letter with enclosures is scanned into the DMS file in Code LD. Hard copy is filed in Code LD.

Responsible Office: Congressional Liaison Division (Code LB)
 Subject: Post-Hearing Activities

7. Quality Records

Record Identification	Owner	Location	Record Media: Electronic or Hard Copy	Schedule Number and Item Number (NPG 1441.1)	Retention/Disposition
Transmittal Memo, Transcript Review to PO	Code LB	LB Files	Hard Copy	Sch. 1, Item 25	Remove from related records and destroy or delete when work is completed or when no longer needed for operating purposes.
Transmittal Memo, Transcript Review/ MFR to PO	Code LB	LB Files	Hard Copy	Sch. 1, Item 25	Remove from related records and destroy or delete when work is completed or when no longer needed for operating purposes.
Transmittal Memo, QFR to PO	Code LB	LB Files	Hard Copy	Sch. 1, Item 25	Remove from related records and destroy or delete when work is completed or when no longer needed for operating purposes.
Transmittal Memo, MFR/QFR to Comptroller	Code LB	LB Files	Hard Copy	Sch. 1, Item 25	Remove from related records and destroy or delete when work is completed or when no longer needed for operating purposes.
Transmittal Memo, MFR/QFR with Comptroller's comments	Code LB	LB Files	Hard Copy	Sch. 1, Item 25	Remove from related records and destroy or delete when work is completed or when no longer needed for operating purposes.
Transmittal Memo, MFR/QFR to OMB	Code LB	LB Files	Hard Copy	Sch. 1, Item 25	Remove from related records and destroy or delete when work is completed or when no longer needed for operating purposes.
Transmittal Memo, MFR/QFR with OMB's comments	Code LB	LB Files	Hard Copy	Sch. 1, Item 25	Remove from related records and destroy or delete when work is completed or when no longer needed for operating purposes.
Revised Draft Response with LAS Comments	Code LB	LB Files	Hard Copy	Sch. 1, Item 25	Remove from related records and destroy or delete when work is completed or when no longer needed for operating purposes
Cover Letter/ Response with DAA Comments	Code LB	LB Files	Hard Copy	Sch. 1, Item 25	Remove from related records and destroy or delete when work is completed or when no longer needed for operating purposes

Responsible Office: Congressional Liaison Division (Code LB)
 Subject: Post-Hearing Activities

Transcript Log	Code LB	LB Files	Hard Copy	Sch. 1, Item 25	Remove from related records and destroy or delete when work is completed or when no longer needed for operating purposes.
Log for Congressional Questions	Code LB	LB Files	Hard Copy	Sch. 1, Item 25	Remove from related records and destroy or delete when work is completed or when no longer needed for operating purposes.
Signed Cover Letter	Code LB	LD Files	Hard Copy	Sch. 1, Item 15A	Retire to FRC when 5 years old
Questions for Record	Code LB	LD Files	Hard Copy	Sch. 1, Item 15A	Retire to FRC when 5 years old
Material for the Record	Code LB	LD Files	Hard Copy	Sch. 1, Item 15A	Retire to FRC when 5 years old
Edited Transcript	Code LB	LD Files	Hard Copy	Sch. 1, Item 15B	Destroy when 15 years old

APPENDICES

Appendix A, Transmittal Memo, Transcript Review and MFR to Program Office(s) (PO)

Appendix B, Transcript Log

Appendix C, Transmittal Memo, QFR to PO

Appendix D, Log for Congressional Questions (same log also used to track Material for the Record)

Appendix E, Transmittal Memo, MFR/QFR to Comptroller

Appendix F, Transmittal Memo, MFR/QFR Comptroller's comments to PO

Appendix G, Transmittal Memo, MFR/QFR to OMB

Appendix H, Transmittal Memo, MFR/QFR OMB's comments to PO and Code B

Responsible Office: Congressional Liaison Division (Code LB)
Subject: Post-Hearing Activities

Appendix A

LB:

TO:

FROM: LB/

SUBJECT: Editing of Transcript/Material Requested for the Record

Enclosed is the transcript resulting from the hearing held on _____ before the _____ Subcommittee on _____ (Chrm. _____) at which _____ testified concerning _____.

Under committee rules, hearing proceedings are printed strictly in verbatim form, so that only typographical and transcription errors may be edited in the transcript. All other corrections -- insertions or deletions of words and phrases for clarity of meaning or for other purposes -- must be requested in writing, and these corrections may then only be included as an appendix to the verbatim proceedings.

It is requested that the following offices provide the material requested for the record:

Offices

Pages

The corrected transcript/material requested for the record should be returned to Code LB/_____, room 9K20, by _____. Please send the responses to material requested for the record via electronic mail to

Legislative Affairs Assistant

Enclosure

cc:

January 1, 1999

Responsible Office: Congressional Liaison Division (Code LB)
Subject: Post-Hearing Activities

Appendix B

Transcript Log

COMMITTEE _____ **WITNESS** _____ **HEARING DATE** _____

DATE REC'D _____

DUE TO COMMITTEE _____

Transcript	Program Office	Suspense Date to Code	Date Received	Date to Committee	Comments

Responsible Office: Congressional Liaison Division (Code LB)
Subject: Post-Hearing Activities

December 10, 1999

Appendix C

LB:

TO: _____

FROM: LB/

SUBJECT: Written Questions Submitted by _____

Enclosed are ___ written questions resulting from the _____, hearing before the _____ at which _____ testified. **Please coordinate all responses with the appropriate offices. Also, please type in a question & answer format.** It is requested that the following office(s) be responsible for preparing the responses as indicated below:

Office(s)

Question(s)

Please provide your draft responses to Code LB/ _____, room 9L33, by _____, to allow time for Comptroller and OMB approval. Upon final approval from OMB--these responses should be electronically transmitted to

Legislative Affairs Assistant

Enclosure

cc:

Revised January 1, 1999

Responsible Office: Congressional Liaison Division (Code LB)

Subject: Post-Hearing Activities

Appendix D

LOG FOR CONGRESSIONAL QUESTIONS

Comments	Date Rec'd from Cmte	DATE DUE TO CMTE	Action Office	To 7	Date Rec'd	Date Due to Office	Date Rec'd	Date Back to Pgm Office	Date Due to 7	Date Sent to OMB	Date Due to 7	Date Sent to OMB	Date Due to 7	Date Rec'd	Date Sent for Redo	Date Due Back to 7	Date Back to Committee	
	Question																	

January 1, 1999

CHECK THE MASTER LIST at <http://hqiso9000.hq.nasa.gov>
TO VERIFY THAT THIS IS THE CORRECT VERSION BEFORE USE

Responsible Office: Congressional Liaison Division (Code LB)
Subject: Post-Hearing Activities

Appendix E

NOTE TO: BR/

FROM: LB/

SUBJECT: Responses to written questions submitted by Code _____

Attached are Code _____'s proposed responses to written questions submitted by
_____ resulting from the _____, hearing.

Request your concurrence/comments on the attached material by
_____.

Thanks

Enclosures

cc:

Revised January 1, 1999

Responsible Office: Congressional Liaison Division (Code LB)
Subject: Post-Hearing Activities

Appendix F

NOTE TO: (Program Office)

FROM: LB/

Attached are Code BR's proposed comments to written questions submitted by _____ resulting from the _____, hearing.

Request your concurrence/comments on the attached material by _____.

Thanks

Enclosures

cc:

Revised January 1, 1999

Responsible Office: Congressional Liaison Division (Code LB)
Subject: Post-Hearing Activities

Appendix G

NOTE TO: OMB/ _____

FROM: LB/

SUBJECT: Responses to written questions

Attached are proposed responses to written questions submitted by
_____ resulting from the _____, hearing.

Request your concurrence/comments on the attached material by
_____.

Thanks

Enclosures

(Questions # _____)

January 1, 1999

Responsible Office: Congressional Liaison Division (Code LB)
Subject: Post-Hearing Activities

Appendix H

NOTE TO: (Program Office)/Code B

FROM: LB/

SUBJECT: OMB's comments

Attached are OMB's comments to written questions submitted by _____ resulting from the _____, hearing.

Request a final electronic version by _____.

Thanks

Enclosures

(Questions # _____)

Revised January 1, 1999