Office of Legislative Affairs

Office Work Instruction

Preparation of Initial NASA Operating Plan
For Submission to Congress

Original Approved by: s/ __________________________
Edward Heffernan
Associate Administrator
Office of Legislative Affairs
## DOCUMENT HISTORY LOG

<table>
<thead>
<tr>
<th>Status</th>
<th>Document Revision</th>
<th>Effective Date</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Baseline</td>
<td></td>
<td>12/10/1999</td>
<td></td>
</tr>
<tr>
<td>Revision A</td>
<td>A</td>
<td>5/10/00</td>
<td>Clarify actions taken with regard to the circulation of the operating plan for comment.</td>
</tr>
<tr>
<td>Revision B</td>
<td>B</td>
<td>8/3/2000</td>
<td>Revisions made based on review of ISO 9001 Quality System Scope Expansion and Surveillance Audits Systemic Analysis 6/15/00 Checklist; Added quality records for evidence of interim reviews and revised text to be more specific in addressing how concurrences are shown.</td>
</tr>
</tbody>
</table>
1. **Purpose**

The purpose of this procedure is to define and document the process by which the Office of Legislative Affairs (Code L) develops and obtains approval of the initial NASA Operating Plan and forwards it to Congress.

2. **Scope and Applicability**

This OWI covers the approval and submittal of the initial NASA Operating Plan to Congress at the conclusion of the fiscal year appropriations process. The Office of the Comptroller (Code B) is responsible for preparing the initial draft operating plan.

3. **Definitions**

3.1 **ADS**: Action Document Summary (NHQ Form 117)

3.2 **CC**: Correspondence Clerk

3.3 **CIC**: Headquarters Correspondence Management Office

3.4 **DAA**: Deputy Associate Administrator

3.5 **DMS**: Document Management System

3.6 **HATS**: Headquarters Action Tracking System

3.7 **Initial Operating Plan**: Operating Plan developed at conclusion of the approval of the Congressional fiscal year appropriations process.

3.8 **LAS**: Legislative Affairs Specialist in the Liaison Division

3.9 **Code LB**: Office of Legislative Affairs/Liaison Division

3.10 **Code B**: Office of the Comptroller

3.11 **Code LD**: Inquiries Division within Office of Legislative Affairs

3.12 **OMB**: Office of Management and Budget

4. **References**


4.2 Memorandum from Terry Finn to Wally Berger and Tom van der Voort outlining budget detail to be provided in annual operating plan dated August 6, 1981.

4.3 Senate Report 106-161 accompanying the FY 2000 VA-HUD-IA Appropriations Bill (Page 4).


Note: References available in NASA Office of Legislative Affairs

CHECK THE MASTER LIST at [http://hqiso9000.hq.nasa.gov](http://hqiso9000.hq.nasa.gov) TO VERIFY THAT THIS IS THE CORRECT VERSION BEFORE USE
5. Flowchart

```
6.0
VA-HUD-Independent Agencies Appropriations
Act Signed by President

6.1
Review initial draft for consistency
with Congressional direction

6.2
Consistency achieved?

Yes

6.6
Negotiate revised due
dates with Codes

No

6.3
Coordinate with Code
B to make revisions

6.4
Issue plan to NASA
Codes for review and
concurrence by
assigned due date

6.5
Comments received
by due date?

Yes

6.7
Review comments and
clear through Code B if
substantive

No

6.8
Incorporate comments

1

Code B Initial Draft
Operating Plan

DAA (Designee)

Operating Plan with
Code L Comments
Incorporated as needed

DAA (Designee)

2

CHECK THE MASTER LIST at http://hqiso9000.hq.nasa.gov
TO VERIFY THAT THIS IS THE CORRECT VERSION BEFORE USE
```
Subject: Preparation of Initial NASA Operating Plan for Submission to Congress

1. DAA (Designee)

6.9 Recirculation to Codes needed?
Yes → DAA (Designee)

6.10 Recirculate to codes for review

6.11 Transmit draft plan to OMB for review and concurrence

DAA (Designee)

6.12 Concurrence received?
Yes → DAA (Designee)

4. Review OMB comments and negotiate with OMB and NASA codes

4. NASA Operating Plan with OMB Approval

6.14 Finalize Operating Plan

DAA (Designee)

6.15 Distribute operating plan and ADS to NASA codes for final approval

3
6.16 Approval received?

- No: DAA (Designee)
- Yes: Negotiate comments with NASA codes and incorporate into operating plan as negotiated

6.17 Negotiate comments with NASA codes and incorporate into operating plan as negotiated

6.18 Provide to Code CIC for obtaining signature of NASA Administrator on operating plan letter

6.19 Distribute signed operating plan

6.20 Establish case in HATS, scan into DMS and file in Code LD
<table>
<thead>
<tr>
<th>Step</th>
<th>Actionee</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.0</td>
<td>VA-HUD-Independent Agencies Appropriations Act Signed by the President.</td>
<td></td>
</tr>
<tr>
<td>6.1</td>
<td>DAA (designee)</td>
<td>Review initial operating plan received from Code B for consistency with Congressional direction in Appropriations Act.</td>
</tr>
<tr>
<td>6.2</td>
<td>DAA (designee)</td>
<td>Determine if draft operating plan is consistent with Congressional direction in Appropriations Act. If initial operating plan is consistent with Congressional direction, proceed to step 6.4. If initial operating plan is not consistent with Congressional direction proceed to step 6.3.</td>
</tr>
<tr>
<td>6.3</td>
<td>DAA (designee)</td>
<td>Coordinate with Code B to make revisions to draft operating plan and then proceed to step 6.4.</td>
</tr>
<tr>
<td>6.4</td>
<td>DAA (designee)</td>
<td>Issue draft operating plan for Agency review and concurrence and assign specific due date. Assignment of due date is based on lead time required to provide plan to Congress by timeframe specified.</td>
</tr>
<tr>
<td>6.5</td>
<td>DAA (designee)</td>
<td>Determine if clearance and/or comments on draft operating plan are received by due date. If comments received, proceed to step 6.7. If due date not met, go to step 6.6.</td>
</tr>
<tr>
<td>6.6</td>
<td>DAA (designee)</td>
<td>DAA asks LAS to contact codes that have missed due date. LAS negotiates revised due date with Codes that did not meet due date. LAS contacts Codes by email and maintains email message as record of renegotiated due date. Go to Step 6.5</td>
</tr>
<tr>
<td>6.7</td>
<td>DAA (designee)</td>
<td>Review comments. If comments materially change initial meaning of document, clear response with Code B. Determination based on the knowledge, judgement and experience of the DAA (designee).</td>
</tr>
<tr>
<td>6.8</td>
<td>DAA (designee)</td>
<td>Incorporate comments received. Decision whether comments will be included in operating plan is determined by DAA (designee) based on knowledge of program and expertise. If substantive comments are not accepted, program office is notified and initials regarding disposition are noted on comments document.</td>
</tr>
<tr>
<td>6.9</td>
<td>DAA/designee</td>
<td>Determine if draft operating plan must be recirculated to Codes for clearance. Determination of whether or not recirculation of operating plan is required is based on experience, judgment and knowledge of DAA/designee. If recirculation of operating plan not needed, proceed to step 6.11. If recirculation of</td>
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<tr>
<td><strong>6.10</strong></td>
<td>DAA/designee</td>
<td>Recirculate draft operating plan to appropriate codes for review. Determination of which codes need to review based on specific nature of comments as well as the judgement of the DAA (designee). Proceed to step 6.5.</td>
</tr>
<tr>
<td><strong>6.11</strong></td>
<td>DAA (designee)</td>
<td>Send plan to OMB for Administration review and clearance.</td>
</tr>
<tr>
<td><strong>6.12</strong></td>
<td>DAA (designee)</td>
<td>Determine if OMB concurrence received. If concurrence received, proceed to step 6.14. If concurrence is not received and comments provided, proceed to step 6.13.</td>
</tr>
<tr>
<td><strong>6.13</strong></td>
<td>DAA (designee)</td>
<td>Review OMB comments. Incorporate OMB comments or negotiate the resolution to any issues with OMB and NASA Codes so that the outcome of negotiation is Administration approved operating plan. Determination of whether negotiation with NASA Codes is necessary is made by DAA based on knowledge and experience. Note fact that OMB has approved in the body of the operating plan. Proceed to step 6.14</td>
</tr>
<tr>
<td><strong>6.14</strong></td>
<td>DAA (designee)</td>
<td>Finalize operating plan letter.</td>
</tr>
<tr>
<td><strong>6.15</strong></td>
<td>DAA (designee)</td>
<td>Distribute OMB approved operating plan letter and ADS (NHQ Form 117) to codes for final approval signature. Determination of which codes receive ADS depends on content of the operating plan and the judgement and experience of the DAA (designee). Date of OMB approval noted on ADS.</td>
</tr>
<tr>
<td><strong>6.16</strong></td>
<td>DAA (designee)</td>
<td>Determine if approval from Codes is received. If so, proceed to step 6.18. If approval is not received, proceed to step 6.17.</td>
</tr>
<tr>
<td><strong>6.17</strong></td>
<td>DAA (designee)</td>
<td>Negotiate comments with NASA codes and adjust operating plan as negotiated. Final determination of adjustments is made by the DAA based on knowledge, experience and judgement.</td>
</tr>
<tr>
<td><strong>6.18</strong></td>
<td>Secretary</td>
<td>Take operating plan letter and completed ADS form to CIC to obtain Administrator signature on operating plan letter. After letter is signed by the NASA Administrator, CIC returns letter to Secretary, Code LB.</td>
</tr>
<tr>
<td><strong>6.19</strong></td>
<td>Secretary</td>
<td>Send operating plan to Congress and distribute copies of signed operating plan per guidance from DAA.</td>
</tr>
<tr>
<td><strong>6.20</strong></td>
<td>CC</td>
<td>Establish case in HATS; scan into DMS; file copy of operating plan and completed ADS in Code LD.</td>
</tr>
</tbody>
</table>
## 7. Quality Records

<table>
<thead>
<tr>
<th>Record Identification</th>
<th>Owner</th>
<th>Location</th>
<th>Record Media: Electronic or Hard Copy</th>
<th>Schedule Number and Item Number (NPG 1441.1)</th>
<th>Retention/Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Completed ADS</td>
<td>Code LB</td>
<td>Code LD</td>
<td>Hard copy</td>
<td>Schedule 1, Item 28A</td>
<td>Retire to Federal Record Center when 5 years old.</td>
</tr>
<tr>
<td>NASA Operating Plan with OMB Approval</td>
<td>Code LB</td>
<td>Code LD</td>
<td>Hard copy</td>
<td>Schedule 1, Item 25</td>
<td>Destroy or delete when work is completed or when no longer needed for operating purposes</td>
</tr>
<tr>
<td>Proposed Operating Plan for Administrator Signature</td>
<td>Code LB</td>
<td>Code LD</td>
<td>Hard copy</td>
<td>Schedule 1, Item 25</td>
<td>Destroy or delete when work is completed or when no longer needed for operating purposes</td>
</tr>
<tr>
<td>Operating Plan signed by NASA Administrator</td>
<td>Code LB</td>
<td>Code LD</td>
<td>Hard Copy</td>
<td>Schedule 1, Item 28A</td>
<td>Retire to Federal Record Center when 5 years old.</td>
</tr>
<tr>
<td>HATS Sheet</td>
<td>Code LB</td>
<td>Code LD</td>
<td>Hard Copy</td>
<td>Schedule 1, Item 27(A)</td>
<td>Retain for 5 years and then to Federal Records Center.</td>
</tr>
</tbody>
</table>