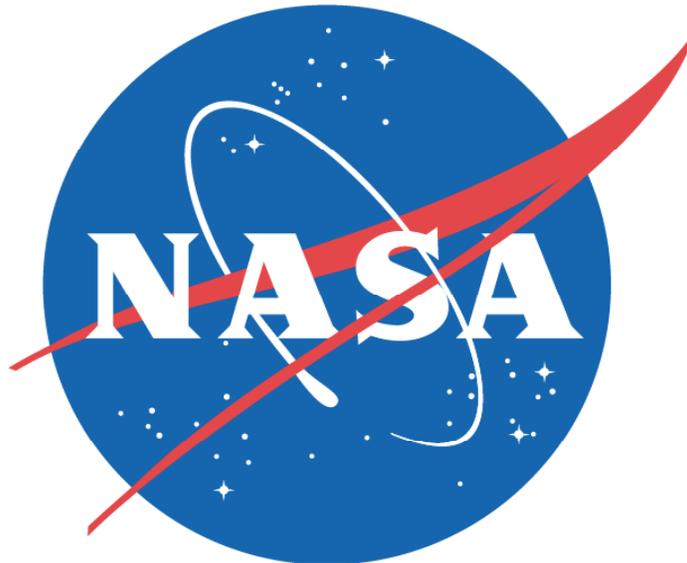


Responsible Office: FM/Management Systems Division
Subject: Research and Program Management (R&PM) (Personnel Related & Travel)
Budget Formulation



Management Systems Division

Office Work Instruction

**AGENCY RESEARCH AND PROGRAM
MANAGEMENT (R&PM) BUDGET
FORMULATION**

Original Approved by: _____

Vicki A. Novak
Associate Administrator
Office of Human Resources and Education

DOCUMENT HISTORY LOG

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VERIFY THAT THIS IS THE CORRECT VERSION BEFORE USE

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Status (Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		December 10, 1999	
Revision	A	April 24, 2000	Refined documentation to more accurately define process.

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1. **Purpose**

This Office Work Instruction (OWI) describes the process used by the Office of Human Resources and Education (Code F) in formulating the Agency Research and Program Management (R&PM) (personnel related and travel) budget.

2. **Scope and Applicability**

This OWI describes procedures for the Code F budget formulation process. The R&PM budget formulation process is part of, and consistent with, the Agency budget formulation process.

This work instruction applies to the NASA Management Systems Division, Code FM that has primary responsibility for conduct of R&PM budget formulation process.

3. **Definitions**

R&PM: Research and Program Management.

IPOs: Institutional Program Office.

DD: Division Director

AA: Associate Administrator

SPA: Senior Program Analyst

PA: Program Analyst

CR: Continuing Resolution

Obs/Cost Phasing Plan: Obligation/Cost Phasing plan

4. **Reference Documents**

4.1 NHB 1101.3, The NASA Organization, ([nodis.hq.nasa.gov/Library/Directives/NASA-wide/Procedures/Organization and Administration/contents.htm](http://nodis.hq.nasa.gov/Library/Directives/NASA-wide/Procedures/Organization%20and%20Administration/contents.htm))

4.2 OMB Circular A-11, Organization, (nodis.hq.nasa.gov/Library/processes.htm)

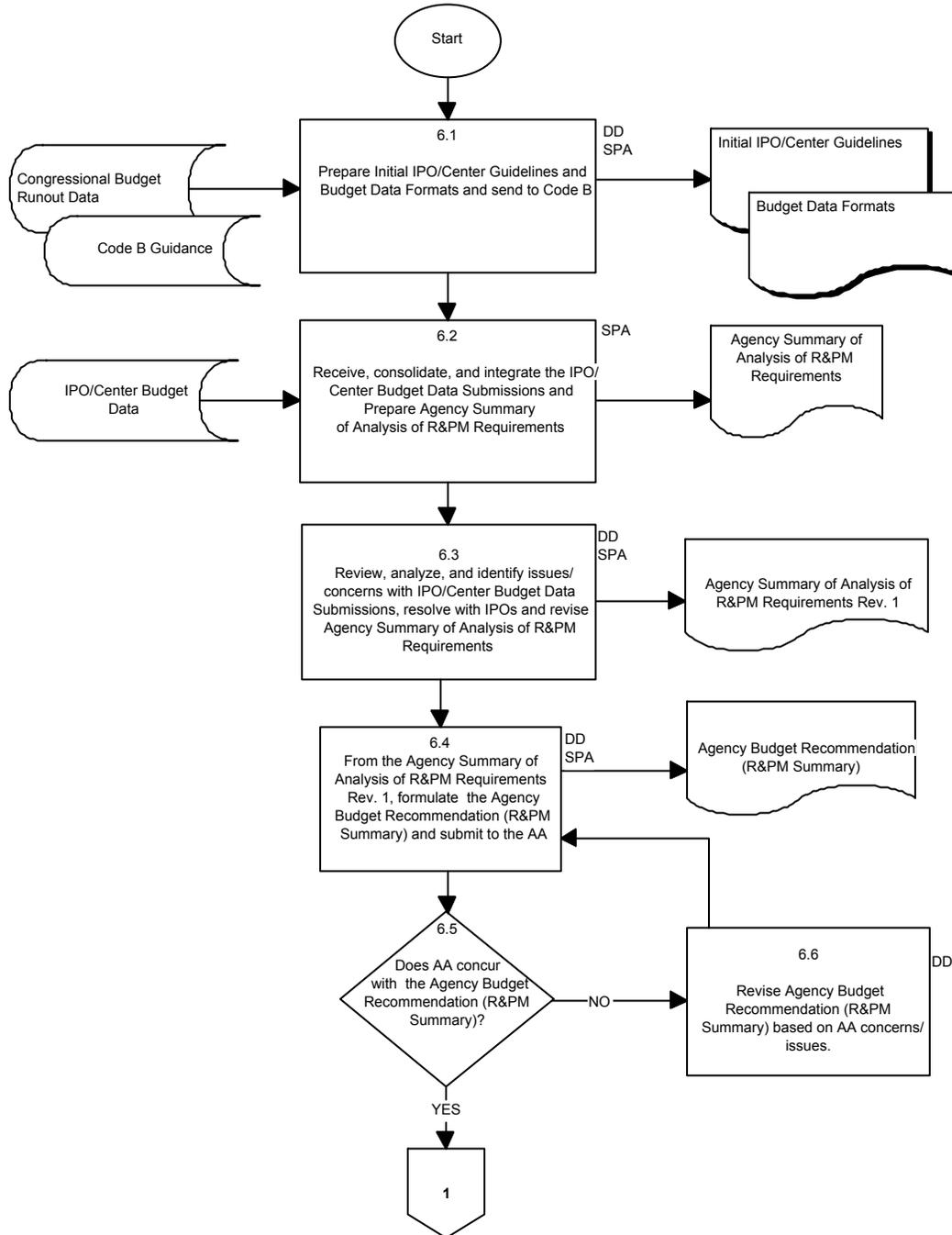
4.3 NASA Financial Management Manuals, (www.hq.nasa.gov/fmm/fmmintro.htm)

4.4 NPD 7000.3, Allocation and Control of Agency Resources
(nodis.hq.nasa.gov/Library/Directives/Program_Formulation/N_PD_7000_3D.htm)

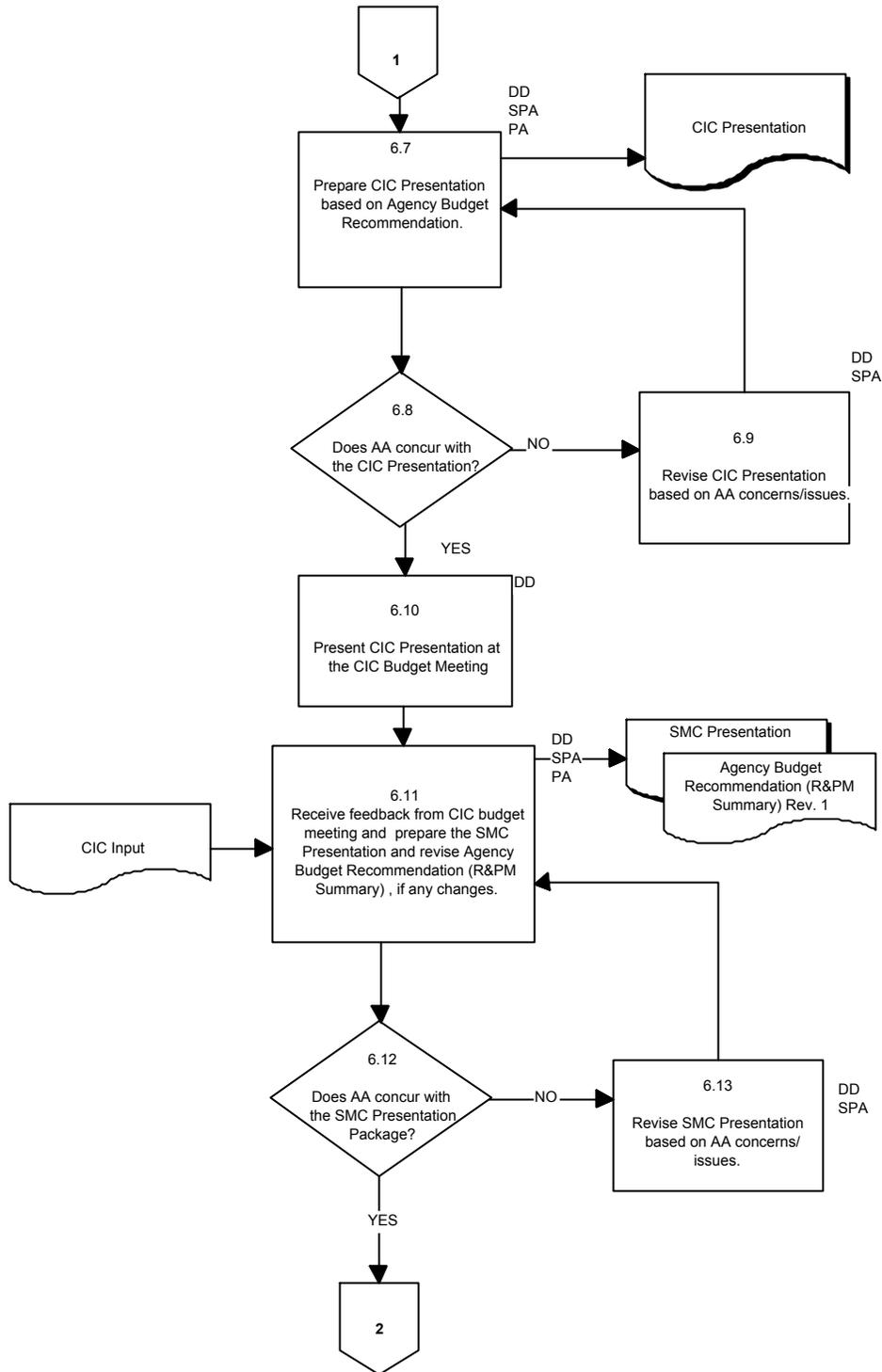
4.5 NPD 9050.3, Administrative Control of Appropriations and Funds,
(nodis.hq.nasa.gov/Library/Directives/Financial_Management/N_PD_9050_3D.htm)

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5. Flowchart

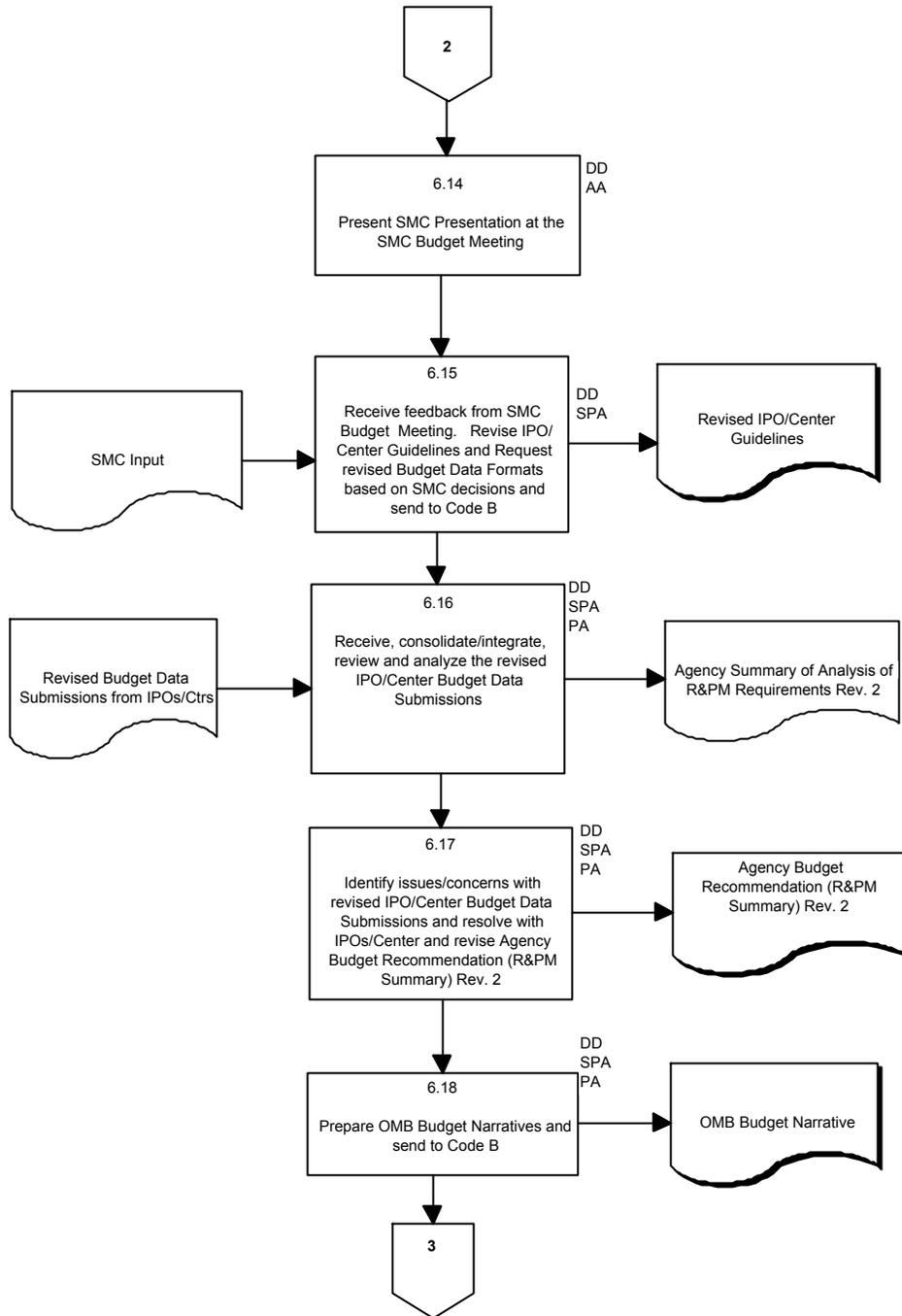


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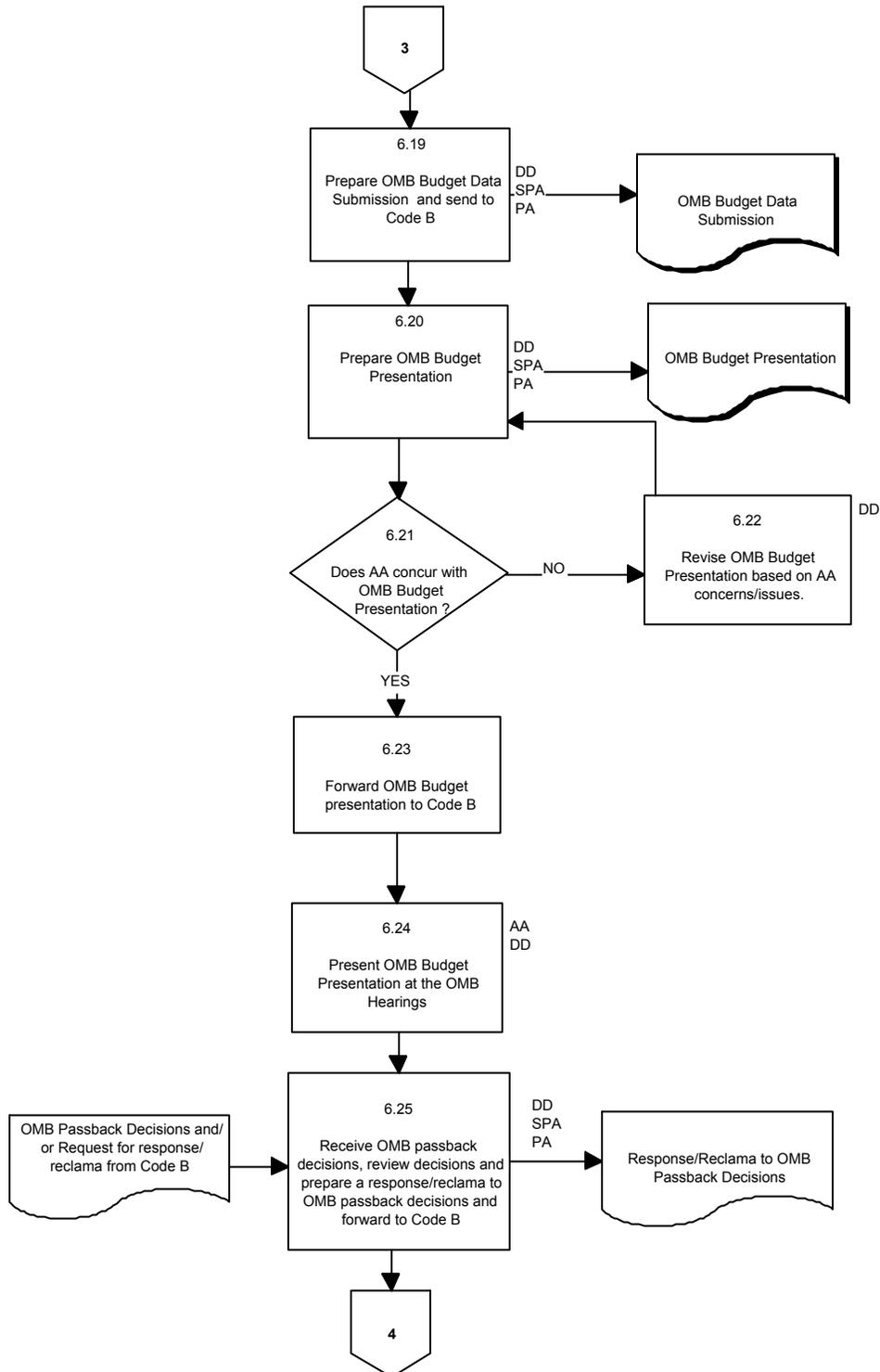


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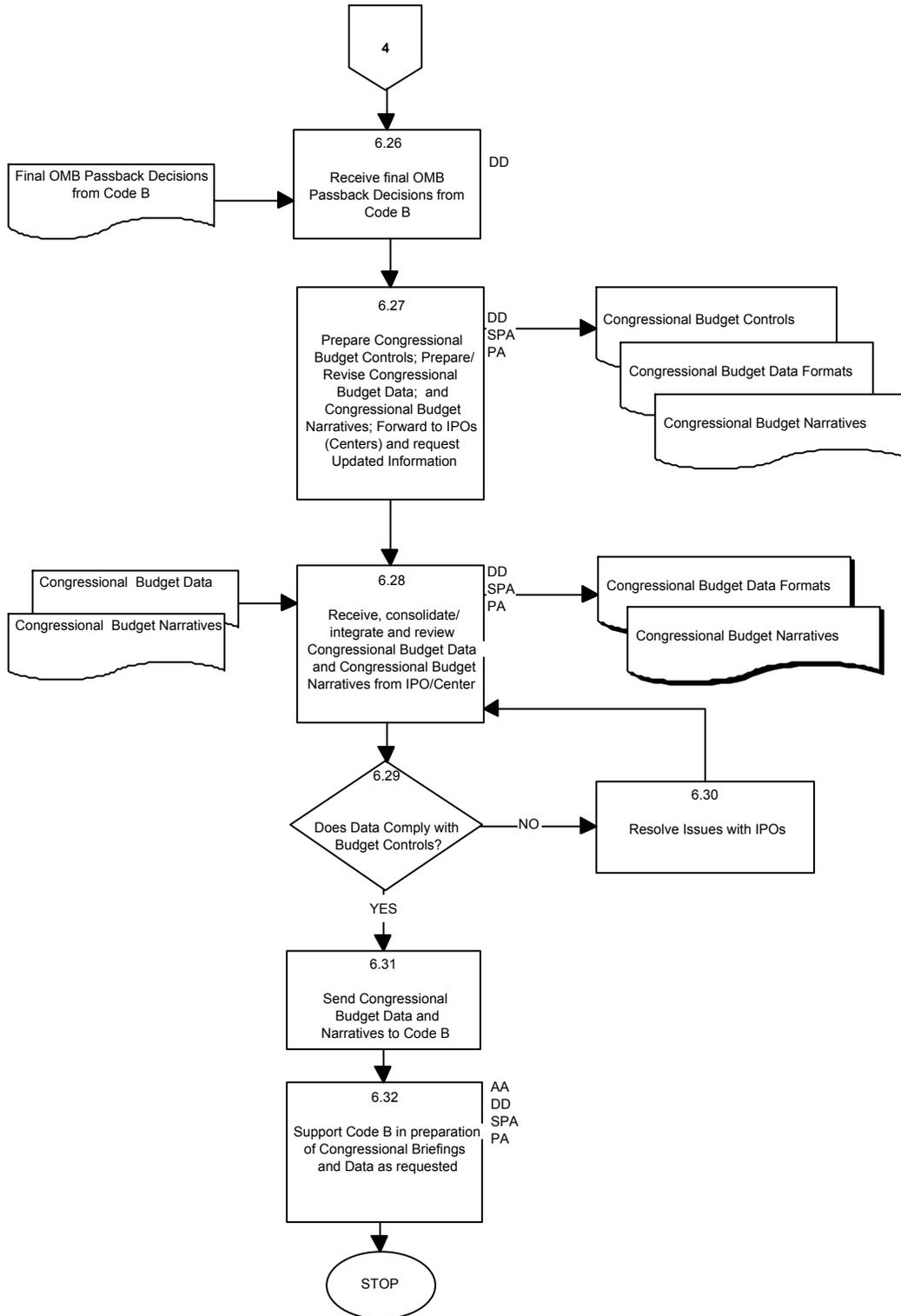


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6. Procedure

The Budget Formulation Process is repeated annually with activities occurring throughout the year. The process identifies the work of the Management Systems Division (Code FM). It does not describe the activities of the Field Centers or the activities of the Office of the NASA Chief Financial Officer (Code B).

#	<u>Actionee</u>	<u>Activity Description</u>
6.1	SPA, DD	Receive Congressional Budget Runout Data, and other guidance from Code B. SPA, with DD authority, prepares Initial Institutional Program Office (IPOs)/Center Guidelines and Budget Data Formats and sends to Code B for inclusion in the Agency Budget Call.
6.2	SPA	Receive, consolidate, and integrate the IPO inputs and prepare the Agency Summary of Analysis of the R&PM Requirements.
6.3	DD/SPA	Review and identify any issues/concerns with the IPOs Budget Data Submissions. Resolve any issues with IPOs and revise Agency Summary of Analysis of the R&PM Requirements. (Example of the analysis type questions: Is data consistent with previous budget years and does it adhere to the current guidelines?, Any center specific anomalies?).
6.4	SPA/DD	From the Agency Summary of Analysis of the R&PM Requirements, the SPA will formulate the Agency Budget Recommendation (R&PM Summary) which the DD will submit to the AA.
6.5	AA	Does AA concur with the proposed Agency Budget Recommendation (R&PM Summary)? If yes, go to step 6.7. If no, go to step 6.6.
6.6	DD	Revise Agency Budget Recommendation (R&PM Summary) based on AA concerns/issues.

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- 6.7 SPA/PA/DD DD/SPA/PA prepare the Capital Investment Council (CIC) Presentation based on the Agency Budget Recommendation (R&PM Summary) identifying major issues. Forward CIC Presentation Package to AA.
- 6.8 AA Does AA concur with the CIC Presentation? If no go to step 6.9. If yes go to step 6.10.
- 6.9 DD/SPA Revise CIC Presentation based on AA concerns/issues.
- 6.10 DD Present CIC Presentation at the CIC Budget meeting.
- 6.11 DD/SPA/PA Prepare the Senior Management Council (SMC) Presentation based on the presentation to the CIC and feedback from the CIC Budget meeting. Review the Agency Budget Recommendation (R&PM Summary) for impacts as a result of the CIC feedback and revise if required. DD will forward SMC Presentation to the AA for concurrence.
- 6.12 AA Does the AA concur with the SMC Presentation? If no, go to 6.13. If yes, go to 6.14.
- 6.13 DD/SPA Revise SMC Presentation based on AA concerns/issues.
- 6.14 DD/AA Present SMC Presentation at the SMC budget meeting.
- 6.15 DD/SPA/PA DD receives verbal feedback from SMC presentations and based on that feedback, the PSA will develop a Revised IPO/Center Guidelines and request revised budget data formats. The SPA will then send this information to Code B for inclusion in the Agency OMB Budget Call.
- 6.16 DD/SPA/PA Receive, consolidate, and integrate the revised IPO/Center Budget Data Submissions. The consolidation will yield an Agency Summary of Analysis of R&PM Requirements Rev. 2.

Identify issues/concerns with revised IPO/Center Budget Data

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| 6.17 | DD/SPA/PA | Submissions and resolve with the IPO/Center and prepare the Agency Budget Recommendation (R&PM Summary) Rev. 2. |
| 6.18 | DD/SPA/PA | SPA and PA, with DD authority, prepares OMB Budget Narratives that support the Agency Budget Recommendation (R&PM Summary) Rev.2 decisions from the Administrator. OMB budget narrative is sent to Code B for incorporation into the Agency narrative. |
| 6.19 | DD/SPA/PA | SPA and PA, with DD authority, prepares OMB Budget Data Submission and forward to Code B for Agency OMB Budget Submission. |
| 6.20 | DD/SPA/PA | DD/SPA/PA will prepare OMB Budget Presentation. DD will forward to AA for concurrence. |
| 6.21 | AA | Does AA concur with the OMB Budget Presentation? If no, go to step 6.23. If yes go to step 6.24. |
| 6.22 | DD | Revise OMB Budget Presentation based on AA concerns/issues. |
| 6.23 | DD | Forward OMB Budget Presentation to Code B. |
| 6.24 | AA/DD | Present OMB Budget Presentation at the OMB Hearings. |
| 6.25 | DD/SPA/PA | Receive OMB passback decisions, review decisions, and prepare a response/reclama to OMB passback and forward to Code B. |
| 6.26 | DD | Receives final OMB passback decisions from Code B. |
| 6.27 | DD/SPA/PA | Prepare Congressional Budget Controls and forward to IPO/Centers; Prepare/revise Congressional Budget Data and Congressional Budget Narratives, forward to IPO (Centers) and request update and data. |
| 6.28 | DD/SPA/PA | Receive, consolidate/integrate, and review Congressional Budget Data Formats and Congressional Budget Narratives from IPO/Center. |

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| 6.29 | DD | Does data comply with budget controls? If no, go to Step 6.30. If yes, go to Step 6.31. |
| 6.30 | DD/SPA/PA | Resolve Issues with IPOs. |
| 6.31 | SPA/PA | Send Congressional Budget Data and Narratives to Code B. |
| 6.32 | AA/DD/SPA/PA | Support Code B in preparation of Congressional briefings and data as requested. |

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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>
Initial IPO/Center Guidelines	PA	Code FM	Hard Copy	Schedule 7, item 22	Destroy after 5 years
Budget Data Formats	PA	Code FM	Hard Copy	Schedule 7, item 22	Destroy after 5 years
CIC Presentation	DD	Code FM	Hard Copy	Schedule 7, item 22	Destroy after 5 years
SMC Presentation	DD	Code FM	Hard Copy	Schedule 7, item 22	Destroy after 5 years
Revised IPO/Center Guidelines	PA	Code FM	Hard Copy	Schedule 7, item 22	Destroy after 5 years
Agency Budget Recommendation (R&PM Summary) Rev. 2	SPA	Code FM	Hard Copy	Schedule 7, item 22	Destroy after 5 years
OMB Budget Narrative	SPA	Code FM	Hard Copy	Schedule 7, item 22	Destroy after 5 years
OMB Budget Data Submission	SPA	Code FM	Hard Copy	Schedule 7, item 22	Destroy after 5 years
OMB Budget Presentation	SPA	Code FM	Hard Copy	Schedule 7, item 22	Destroy after 5 years
Congressional Budget Data Formats	PA	Code FM	Hard Copy	Schedule 7, item 22	Destroy after 5 years
Congressional Budget Narratives	PA	Code FM	Hard Copy	Schedule 7, item 22	Destroy after 5 years