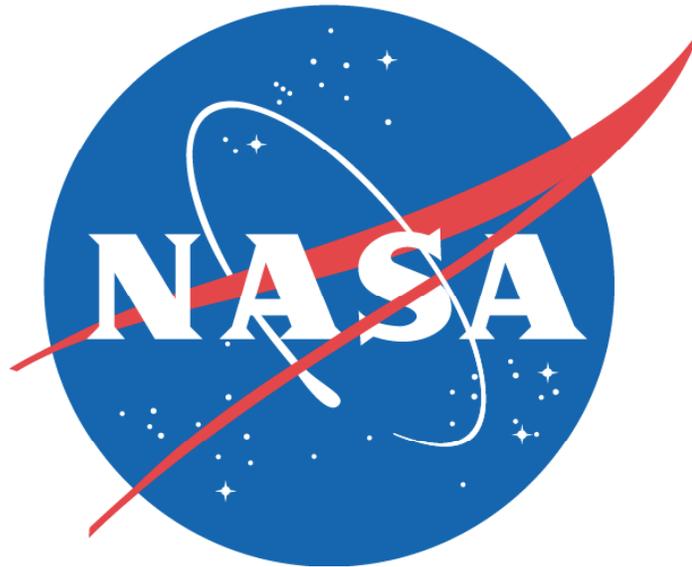


Responsible Office: Code FE/ Education Division

Subject: Budget Formulation, Advocacy, and Execution for the NASA Education Program



Budget Formulation, Advocacy, and Execution for the NASA Education Program

Office Work Instruction

Original Approved by: _____

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

Responsible Office: Code FE/ Education Division

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DOCUMENT HISTORY LOG

Status (Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		December 17, 1999	
Revision	A	April 24, 2000	As a result of NCR 375, Sections 6 and 7 have been modified by clarifying quality record descriptions.

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1. Purpose

The purpose of this HQ OWI is to establish and define the steps to be followed when the Office of Human Resources and Education is required to formulate, advocate, and execute a budget for the NASA Education Program.

The Associate Administrator for the Office of Human Resources and Education (OHRE) is responsible for maintaining this document. The controlled version resides on the World Wide Web (WWW) via the ISO 9000 document library at <http://hqiso9000.hq.nasa.gov>.

2. Scope and Applicability

- 2.1 Scope. Since its beginning, NASA has made a substantial commitment to education. That commitment has continued to the present and occupies a significant place in the NASA Strategic Plan. NASA's contribution to education is based on the Agency's inspiring mission, specialized workforce, close working relationship with the research and development community, and unique world-class facilities. Based on these unique attributes, NASA has created a comprehensive Education Program containing a portfolio of activities directed toward education at all levels, undertaken by the NASA OHRE, the Office of Equal Opportunity Programs, the NASA Enterprises, and the NASA Field Centers. The Office of Human Resources and Education has Agencywide responsibility for NASA's Education Program to establish policy, goals, objectives, and evaluation. The NASA Implementation Plan for Education provides guidance for the implementation and continual improvement of the NASA Education Program.

The budget formulation process involves the OHRE, Education Division (Code FE) developing the NASA Education Program budget with overall guidance from the Comptroller, as well as an internal review of program priorities and commitments as outlined in the NASA Implementation Plan for Education. The advocacy process involves justifying Education Program budget formulation through a series of internal presentations to the Capital Investment Council (CIC) and the Senior Management Council (SMC) as well as external presentations to the Office of Management and Budget (OMB) and Congress. Budget execution involves establishing an operating plan for the current year budget, establishing funds controls with specific program activities, and monitoring the performance (obligation/costing) of the funds during the fiscal year.

These activities provide the Education Program with a systematic and documented method to determine if customers' needs can be met. The Education Program documents its understanding of the Program's requirements and determines its capability to meet customer requirements through budget formulation and internal budget advocacy activities. The Education Program portion of the Agency operating plan, established in budget execution activities, reflects the agreement between the Agency and the Congress on Program content. The operating plan tracks back to the Congressional appropriation, and documents how the Program plans to spend allocated funds to ultimately meet customer requirements.

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2.2 Applicability. This work instruction for Formulation, Advocacy, and Execution for the NASA Education Program Budget applies to Code FE.

3. **Definitions**

- 3.1 AA. Associate Administrator, Code F, OHRE; senior official responsible for overall Human Resources and Education Program.
- 3.2 ADFA. Assistant Director for Administration, Code FE, OHRE; responsible for overseeing budget process for the NASA Education Program.
- 3.3 ADP. Assistant Director for Programs, Code FE, OHRE; responsible for overseeing programmatic issues for the NASA Education Program.
- 3.4 CIC. Capital Investment Council; NASA council composed of representatives from NASA's senior management council, responsible for reviewing agency budget proposals, and making recommendations to the NASA Administrator.
- 3.5 Code B. Office of the Comptroller; functional responsibility for the NASA budget.
- 3.6 Code L. Office of Legislative Affairs; functional responsibility for NASA's interaction with Congress.
- 3.7 DD. Division Director, Code FE, OHRE; responsible for overall NASA Education Program.
- 3.8 FACS. Financial Accounting Control System; managed by Code B who produces a series of reports that can be used to monitor funds.
- 3.9 IFM. Integrated Financial Management system; password protected, electronic system designed to integrate all financial data within NASA.
- 3.10 NF 506. NASA Form, Resources Authority Warrant; authorizes the transfer of funds from one NASA installation or office to another.
- 3.11 OMB. Office of Management and Budget; federal agency charged with development of President's budget.
- 3.12 PA. Program Analyst, Code FE; responsible for the daily operation of the NASA Education Program budget.
- 3.13 PPF. Program Financial Plan; a budget format allocating Education Program funds across programmatic areas.

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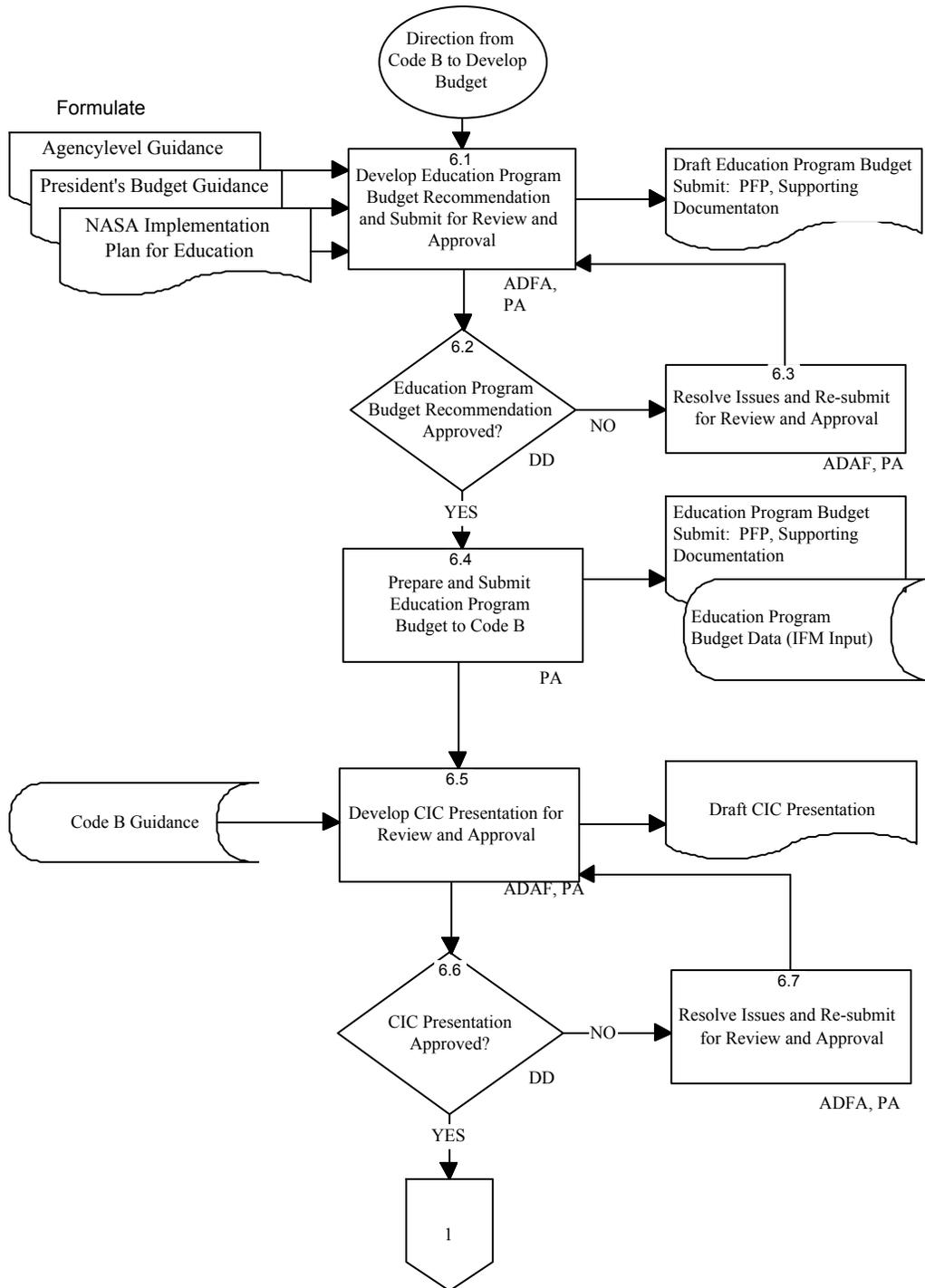
4. Reference Documents

- 4.1 NPD 1000.1, NASA Strategic Plan (<http://www.hq.nasa.gov/office/nsp/>)
- 4.2 NASA Implementation Plan for Education (<http://education.nasa.gov/implan/exec.html>)
- 4.3 OMB Circular A-11 (<http://nodis.hq.nasa.gov/Library/processes.html>)
- 4.4 NASA Financial Management Manuals (<http://www.hq.nasa.gov/fmm/>)

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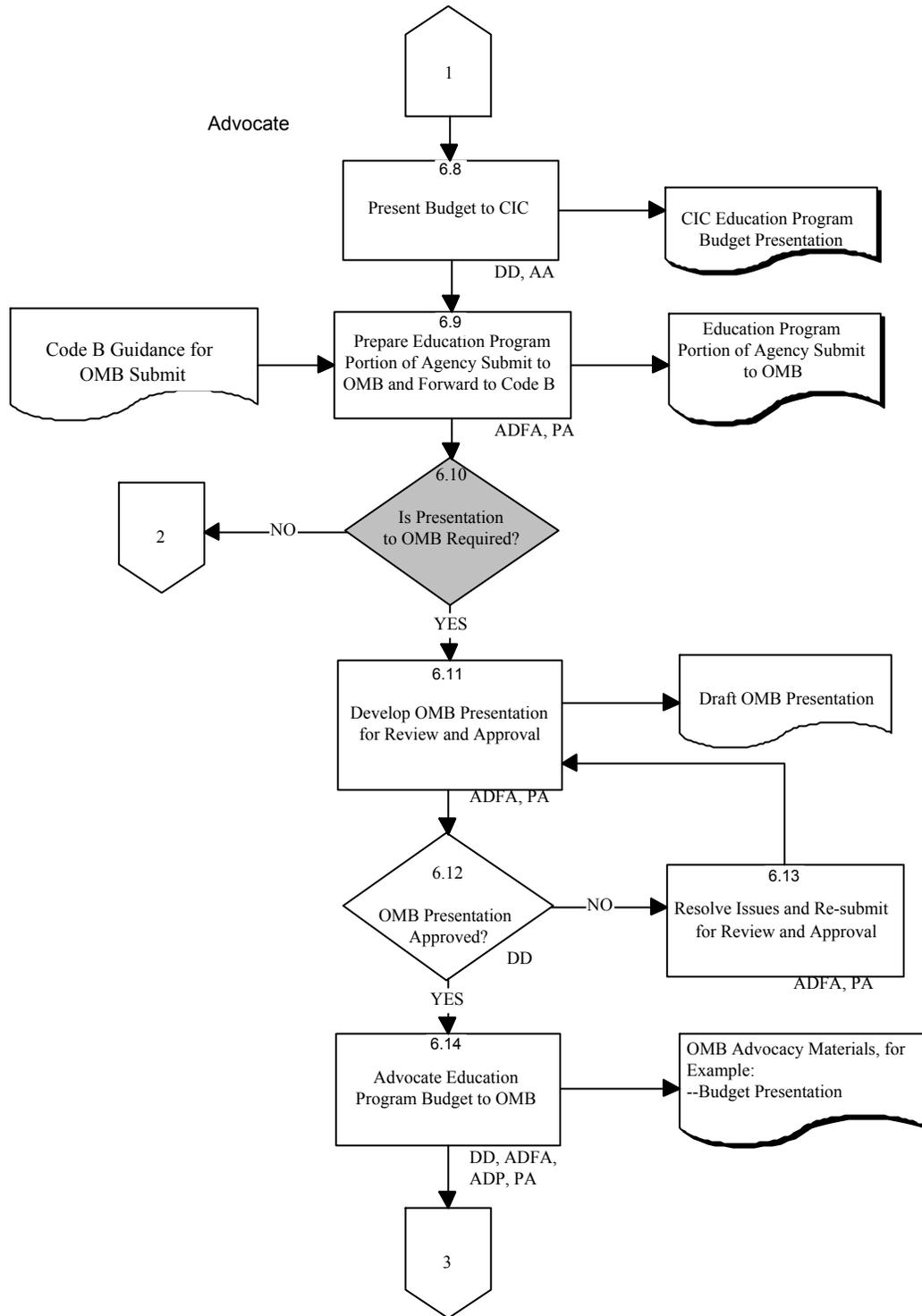
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5. Flowchart



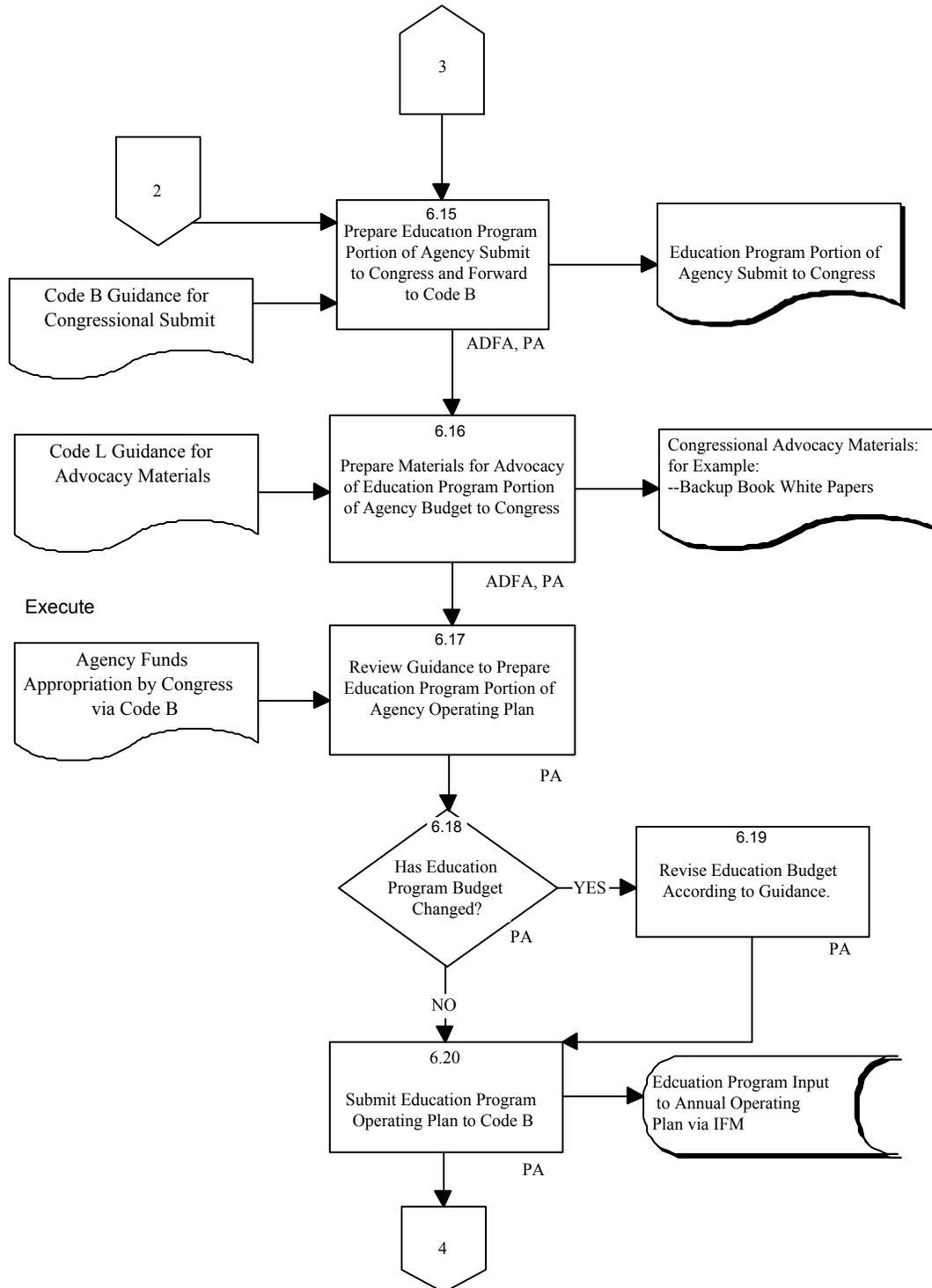
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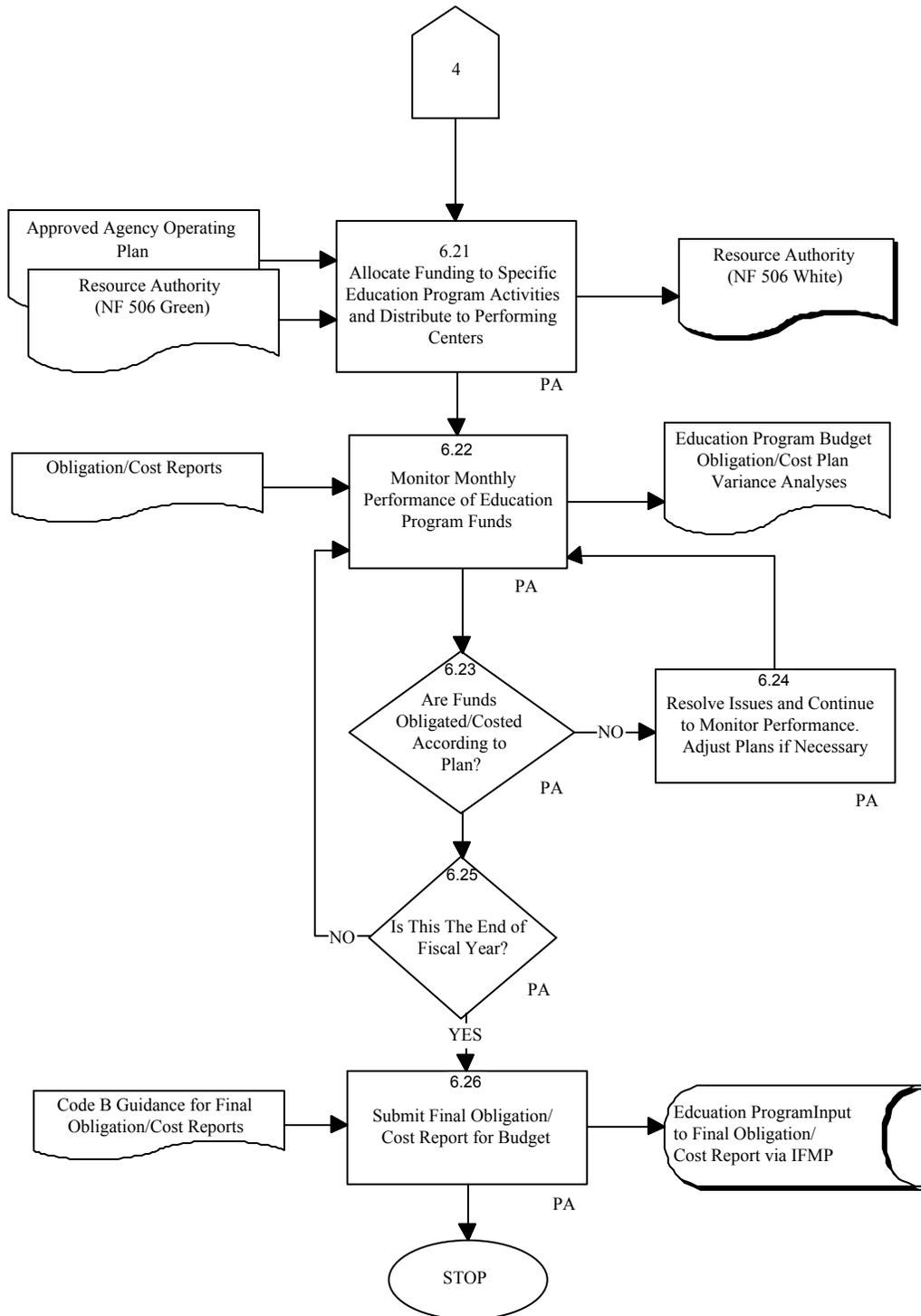
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6. Procedure

Step	Actionee	Action
		<u>Formulate</u>
6.1	ADFA, PA	<p>Code B provides direction to develop the Agency's budget for the next fiscal year. After reviewing written budget guidance from Code B and OMB, along with Education Program priorities as stated in the NASA Implementation Plan for Education, the ADFA, with assistance from the PA, develops a recommendation for the Education Program budget.</p> <p>The ADFA submits this draft budget to the DD to review for compliance with NASA Education Program priorities as outlined in the NASA Implementation Plan for Education, and for accuracy of data. The draft includes a PFP and supporting documentation providing details describing the PFP.</p>
6.2	DD	Approves/disapproves the draft budget recommendation. If disapproved, go to Step 6.3; if approved, go to Step 6.4.
6.3	ADFA, PA	Using comments from the DD (written or verbal), the ADFA, with assistance from the PA, resolves the issues concerning the draft budget, and re-submits for review and approval via the process described in Step 6.1.
6.4	PA	Submits Education Program budget to Code B in formats specified in the Agency-level budget guidance. This includes inputting password-protected data into the IFM system and providing supporting documentation directly to Code B. Supporting materials include additional information required by Code B, as directed in the original budget guidance. Combined, this becomes the Education Program budget submit.
6.5	ADFA, PA	Using the Education Program budget submit information and additional guidance from Code B, which is provided via e-mail and through the IFM system, the ADFA (with assistance from the PA) prepares a draft presentation for the CIC and submits to the DD to review for completeness and

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accuracy.

6.6 DD Consults with the AA and makes decision on whether or not to approve CIC presentation. If no, go to Step 6.7; if yes, go to Step 6.8.

6.7 ADFA, PA If the draft presentation is not approved, it is returned to the ADFA. Using comments from the DD (written or verbal), the ADFA, with assistance from the PA, resolves issues and re-submits for review and approval via the process described in Step 6.5.

Advocate

6.8 DD, AA If the draft is approved, the DD and/or the AA will present the Education Program budget to the CIC.

6.9 ADFA, PA Recommendations are made by the CIC to the Administrator concerning the Agency's budget. Based on the Administrator's budget decisions, Code B provides overall guidance for the submit to OMB. The ADFA reviews this guidance, consults, with the DD, and with assistance from the PA, prepares the Education Program portion of the Agency submit to OMB. PA forwards required documentation to Code B, who submits Agency budget to OMB.

6.10 Code B Code B determines if an Education Program presentation is required for OMB. Is presentation to OMB required? If yes, go to Step 6.11. If no, go to Step 6.15.

6.11 ADFA, PA If requested by OMB, via Code B, and using the Education Program portion of the Agency OMB submit, the ADFA, with assistance from the PA, develops a draft presentation to OMB and submits to DD to review for completeness and accuracy.

6.12 DD Makes decision on whether or not to approve OMB draft

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presentation. If no, go to Step 6.13; if yes, go to Step 6.14.

- 6.13 ADFA, PA If the draft presentation is not approved, using comments from the DD (written or verbal), the ADFA, with assistance from the PA, resolves issues and re-submits for review and approval via the process described in 6.11.
- 6.14 DD, ADFA, ADP, PA If the draft presentation is approved, the ADFA with assistance from the PA, forwards an advance copy to Code B for transmittal to OMB. The DD, with assistance from the ADFA, ADP, and PA, advocates the Education Program budget to OMB via the presentation and, if required, in written responses to OMB questions. All interaction with OMB is coordinated by Code B.
- 6.15 ADFA, PA After a preliminary passback and reclama opportunities, OMB provides the Agency with final budget guidance to be used in the development of the Agency submit to Congress. Code B transmits this guidance to the Agency. Using this guidance, the ADFA, with consultation with the DD and assistance from the PA, prepares the Education Program portion of the Agency submit to Congress and forwards to Code B.
- 6.16 ADFA, PA Using the Education Program portion of the Agency submit to Congress, the ADFA, with assistance from the PA, prepares materials for the advocacy of the Education Program portion of the Agency's budget to Congress. This advocacy material includes, for example, white papers for the Administrators' Congressional hearing backup book, and, if required, briefings to Congressional staff and draft responses to Congressional questions. The ADFA forwards to Code L for further action.

Execute

- 6.17 PA Once Congress provides an Agency appropriation, Code B provides guidance for the development of the Agency's operating plan. The operating plan outlines how appropriated funds will be spent. The PA reviews for

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changes to submitted budget.

- 6.18 PA Based on guidance received in Step 6.17, the PA determines if the Education Program budget has changed from the Congressional submit (see Step 6.15). If yes, go to Step 6.19. If no, go to Step 6.20.
- 6.19 PA Re-works budget to accommodate new guidelines, obtains approval (verbal) from ADFA and DD concerning changes then proceeds to 6.20.
- 6.20 PA The PA, using guidance provided by Code B (See Step 6.17), prepares the Education Program input to the annual operating plan and submits to Code B via the IFM system.
- 6.21 PA Using the agency operating plan and resource authority provided by Code B via the resource authority warrant, NF 506 (green), the PA establishes funds control for the Education Program budget, including the development of obligation/cost plans. The PA allocates funds to specific Education Program activities according to the operating plan and distributes as required by program officers via resource authority warrants (NF 506 white) to the performing Centers.
- 6.22 PA Once resources have been distributed, the PA monitors the “performance” of these funds via obligation/cost reports made available monthly via the FACS system. Using obligation/cost plans established in Step 6.21, the PA analyzes data for variances.
- 6.23 PA Determines if the funds are obligated/costed according to plans. If no, go to Step 6.24; if yes, go to Step 6.25.
- 6.24 PA If no, the PA works with program officers to resolve issues and continues to monitor performance. Plans are adjusted as necessary and are monitored as described in Step 6.22.

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6.25 PA Is it the end of the fiscal year? If no, go to Step 6.22. If yes, proceed to Step 6.26.

6.26 PA If yes, no action is taken to adjust plan. At the end of fiscal year, Code B requests via email, telephone, or memo final obligation/cost reports. The PA submits final reports via IFM.

7. Quality Records

<i>Record Identification</i>	<i>Owner</i>	<i>Location</i>	<i>Media Electronic/ Hard Copy</i>	<i>Schedule and Item Nos. NPG 1441.1</i>	<i>Retention/ Disposition</i>
CIC Education Program Budget Presentation	Code FE ADFA	Code FE Files	Hard Copy	Schedule 7, Item 21F	Destroy 1 year after the close of the fiscal year covered by the budget.
Education Program Portion of Agency Submit to OMB	Code FE ADFA	Code FE Files	Hard Copy	Schedule 7, Item 21F	Destroy 1 year after the close of the fiscal year covered by the budget.
OMB Advocacy Materials, for Example: --Budget Presentation	Code FE ADFA	Code FE Files	Hard Copy	Schedule 7, Item 21F	Destroy 1 year after the close of the fiscal year covered by the budget.
Education Program Portion of Agency Submit to Congress	Code FE ADFA	Code FE Files	Hard Copy	Schedule 7, Item 21F	Destroy 1 year after the close of the fiscal year covered by the budget.
Congressional Advocacy Materials, for Example: --Backup Book White Papers	Code FE ADFA	Code FE Files	Hard Copy	Schedule 1, Item 28B	Destroy when 5 years old.
Education Program Input to Annual Operating Plan via IFM	Code FE PA	IFM	Electronic	Schedule 7, Item 21D2	Destroy when no longer needed or 2 years after close of fiscal year, whichever is sooner.

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Resource Authority (NF 506 white)	Code FE PA	Code FE Files	Hard Copy	Schedule 7, Item 21D2	Destroy when no longer needed or 2 years after close of fiscal year, whichever is sooner.
Education Program Input to Final Obligation/ Cost Report via IFM	Code FE PA	IFM	Electronic	Schedule 7, Item 21E2	Destroy 3 years after the end of the fiscal year.