

# Office of Equal Opportunity Programs Minority University Research and Education Division

Office Work Instruction

## **OEOP Budget Formulation and Execution**

Approved by: \_\_\_\_\_ George E. Reese

Associate Administrator
Office of Equal Opportunity Programs

#### **DOCUMENT HISTORY LOG**

Status (Baseline/ Revision/ Canceled)  Baseline	Document Revision	Effective Date 1-19-00	<u>Description</u>
Revision	A	5-02-00	Revisions made based on systemic analysis of ISO 9001 Registrar comments during February 2000 ISO 9001 Registrar Precertification Audit of NASA Headquarters Functional Offices.
Revision	В	2-09-01	Revisions made based on systemic analysis of June 15, 2000 ISO 9001 DNV Scope Expansion and Surveillance Audit checklist review. Revised to identify more clearly actionees in the flowchart and to specify more clearly manifestation of work product approval. Systemic analysis also conducted based on November 13-15, 2000, ISO 9001 DNV Surveillance Audit Checklist. No revisions required.

#### 1. Purpose

This Office Work Instruction (OWI) describes the process used by the Minority University Research and Education Division (MURED) in the Office of Equal Opportunity Programs (OEOP) in formulating and executing the Minority University Research and Education Programs (MUREP) budget.

#### 2. Scope and Applicability

This OWI describes the procedure for the MUREP budget formulation and execution process, by which the MURED (a) establishes the funding requirements for the budget year (current year plus two years) and the four subsequent years and (b) establishes and assesses the distribution of funding to the Centers during the current fiscal year. The MURED of OEOP is included as a Center.

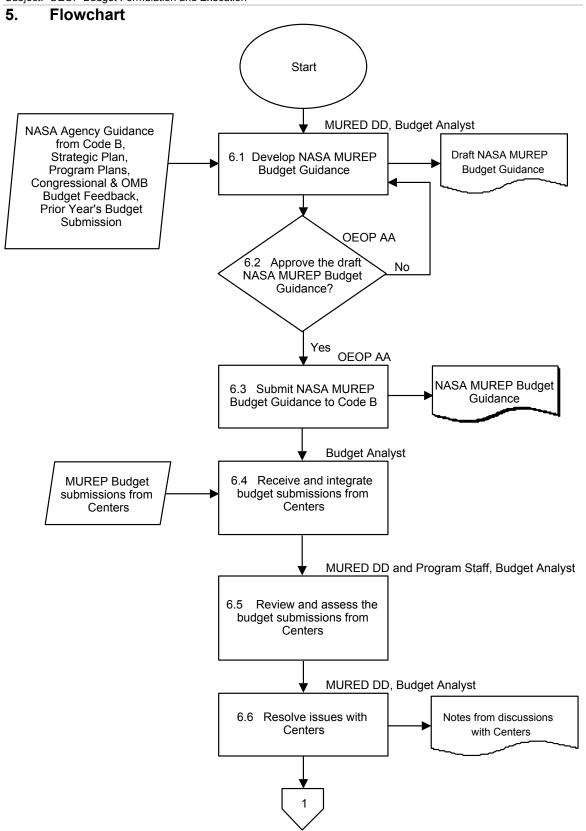
#### 3. Definitions

- 3.1 <u>Annual Funding Plan.</u> Allocation of budget funds from NASA Headquarters office to NASA Centers
- 3.2 <u>Annual Phasing Plan.</u> Allocation by month of budget funds to be spent during a given fiscal year.
- 3.3 CIC. Capital Investment Council.
- 3.4 Code B. NASA Headquarters Office of the Chief Financial Officer (CFO).
- 3.5 Code L. NASA Headquarters Office of Legislative Affairs.
- 3.6 <u>Congressional Narrative.</u> Text that describes for Congress the scope of program activities the President's Budget for MUREP is proposing to address.
- 3.7 FACS. Financial and Contractual Status
- 3.8 <u>Green Authority.</u> Resource authority warrant to transfer funds from Code B to NASA Headquarters offices.
- 3.9 <u>HBCUs</u>. Historically Black Colleges and Universities.
- 3.10 MURED. Minority University Research and Education Division.
- 3.11 MURED DD. MURED Division Director.
- 3.12 MUREP. Minority University Research and Education Programs.
- 3.13 <u>OEOP AA</u>. Office of Equal Opportunity Programs Associate Administrator.
- 3.14 OMB. Office of Management and Budget.
- 3.15 OMUs. Other Minority Universities, includes Hispanic Serving Institutions and Tribal Colleges and Universities.
- 3.16 Passback. OMB response to NASA's budget submission
- 3.17 POP. Program Operating Plan.
- 3.18 <u>Program Financial Plan (PFP).</u> Amount of budget funds the a NASA Headquarters office requests in each fiscal year.
- 3.19 Reclama. NASA's response to OMB's passback.

- 3.20 Resource Authority Warrant. Mechanism for transfer of funds.
- 3.21 SMC. Senior Management Council.
- 3.22 <u>Uniform Outcomes Annual Report.</u> Annual report that lists results grantees reported from grants they received through the MUREP Program.
- 3.23 <u>White Authority.</u> Resource authority warrant to transfer funds from NASA Headquarters offices to NASA Centers.

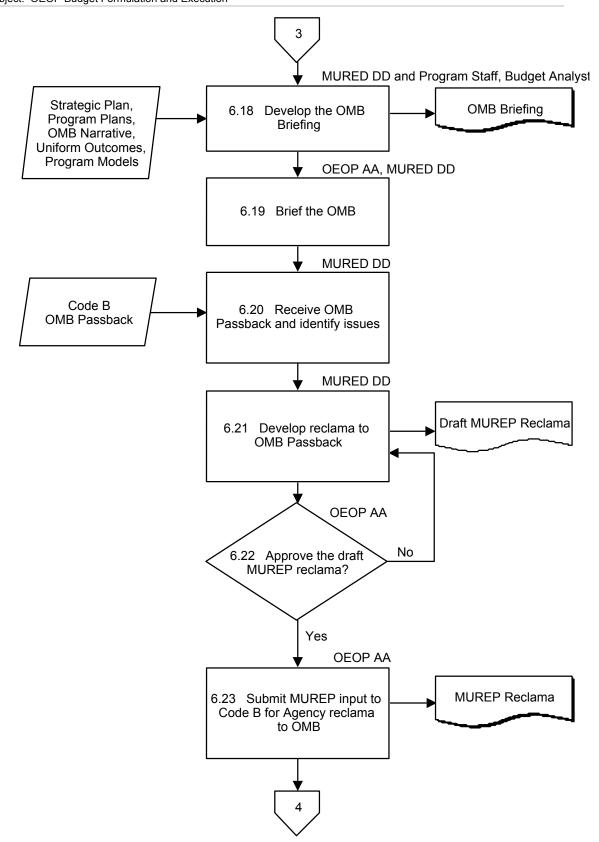
#### 4. References

- 4.1 NPD 1000.1, NASA Strategic Plan
- 4.2 NPG 1000.2, NASA Strategic Management Handbook
- 4.3 NHB 1101.3, The NASA Organization
- 4.4 President's Budget Estimate
- 4.5 Historically Black Colleges and Universities Plan
- 4.6 Educational Excellence for Hispanic Americans Plan
- 4.7 Tribal Colleges and Universities Plan



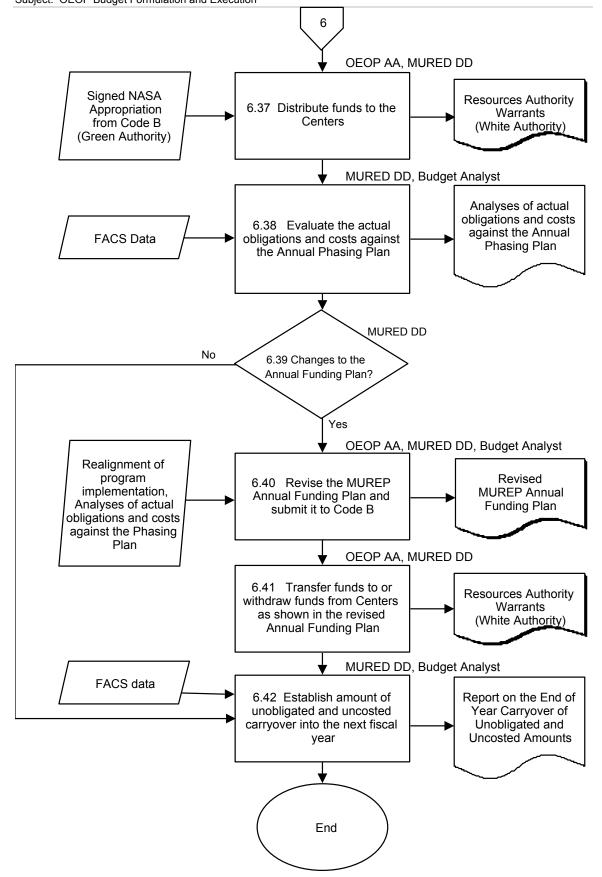
Responsible Office: NASA Office of Equal Opportunity Programs Subject: OEOP Budget Formulation and Execution MURED DD and Program Staff, Budget Analyst Notes from MURED 6.7 Conduct MURED review internal review of the NASA MUREP budget MURED DD, Budget Analyst Draft NASA MUREP 6.8 Develop the NASA Budget MUREP Budget Recommendation Recommendation OEOP AA 6.9 Approve the draft No NASA MUREP Budget Recommendation? Yes **OEOP AA** NASA MUREP Budget 6.10 Submit the NASA Recommendation MUREP Budget Recommendation to Code B MURED DD and Program Staff, Budget Analyst CIC, SMC, NASA 6.11 Develop the briefings to the CIC, the SMC, and the **Administrator Briefings** NASA Administrator

Responsible Office: NASA Office of Equal Opportunity Programs Subject: OEOP Budget Formulation and Execution 2 OEOP AA, MURED DD 6.12 Brief the CIC, the SMC, and the NASA Administrator MURED DD, Budget Analyst Revised NASA MUREP Budget CIC, SMC, and NASA 6.13 Adjust the NASA Recommendation **Administrator Decisions** MURÉP Budget Recommendation MURED DD, Budget Analyst 6.14 Distribute the NASA MUREP Budget Recommendation to the Centers MURED DD and Program Staff, Budget Analyst Code B Guidance on format **Draft OMB Narrative** 6.15 Develop the OMB of OMB Narrative Narrative OEOP AA No 6.16 Approve the draft OMB Narrative? Yes OEOP AA **OMB Narrative** 6.17 Submit the OMB Narrative to Code B



Effective Date: 2-09-01 Responsible Office: NASA Office of Equal Opportunity Programs Subject: OEOP Budget Formulation and Execution OEOP AA, MURED DD 6.24 Receive response from Response from Code B on OMB Passback Code B on reclama reclama to OMB Passback MURED DD, Budget Analyst 6.25 Revise the NASA MUREP Budget if necessary, and distribute to the Centers MURED DD 6.26 Establish the NASA MUREP Budget as the President's Budget for NASA **MUREP** President's Budget for NASA MUREP MURED DD and Program Staff, Budget Analyst Strategic Plan, **Draft Congressional** Program Plans, 6.27 Develop the Narrative OMB Narrative, Congressional Narrative Uniform Outcomes, **Program Models** OEOP AA 6.28 Approve the draft No Congressional Narrative? Yes OEOP AA Congressional 6.29 Submit the Narrative Congressional Narrative to Code B

Responsible Office: NASA Office of Equal Opportunity Programs Subject: OEOP Budget Formulation and Execution 5 MURED DD and Program Staff, Budget Analyst Strategic Plan, Congressional Program Plans, 6.30 Develop the Briefing OMB Narrative, Congressional Briefing Uniform Outcomes, **Program Models** OEOP AA, MURED DD 6.31 Brief the President's Request from Code L to Budget for NASA MUREP to make briefings to Congress Congressional Staffers and in Congressional Hearings MURED DD Letter to Centers requesting inputs to the MUREP Annual 6.32 Issue request to Centers Phasing Plan and specifying for inputs to the MUREP the format of the plan Annual Phasing Plan MURED DD, Budget Analyst MUREP Annual 6.33 Develop the MUREP Centers' Inputs Phasing Plan Annual Phasing Plan MURED DD 6.34 Submit the MUREP Annual Phasing Plan to Code B MURED DD, Budget Analyst Funding Distribution MUREP Annual 6.35 Develop the MUREP as cited in **Funding Plan** Annual Funding Plan Congressional Narrative MURED DD 6.36 Submit the **MUREP Annual** Funding Plan to Code B



#### 6. Procedure

Step	Actionee	Action
6.1	MURED DD, Budget Analyst	Develop the NASA MUREP Budget Guidance that establishes the requested funding for the total MUREP, the funding for specific programs (i.e., HBCU and OMU) within the MUREP, and the funding for these programs at each Center. This includes the (a) letter from the OEOP AA that describes the budget assumptions, (b) a worksheet that provides a trace from the prior year's approved budget to the current year's guidance for each Center, and (c) the format for the Centers to submit their respective budget requests.
6.2	OEOP AA	Approve the NASA MUREP Budget Guidance. This decision is made based on the AA's professional judgment and knowledge of the organization. If approval is given, go to 6.3. If disapproved, OEOP AA gives direction for revision.
6.3	OEOP AA	Submit under OEOP AA signature the NASA MUREP Budget Guidance to Code B who consolidates all NASA Budget Guidance and sends it to the Centers' CFOs.
6.4	Budget Analyst	Receive and integrate the Centers' MUREP budget submissions. Review and assess the submissions for compliance with budget assumptions and formats.
6.5	MURED DD, MURED Program Staff, Budget Analyst	Review and assess the Centers' MUREP budget submissions to ensure that those submissions for individual programs and projects managed and/or overseen by the DD and Program Staff accurately reflect program/project objectives and priorities.
6.6	MURED DD, Budget Analyst	Resolve issues with the Centers and make adjustments, as required.
6.7	MURED DD, MURED Program Staff, Budget Analyst	Conduct internal MURED review of NASA MUREP Budget to ensure that those submissions for individual programs and projects managed and/or overseen by the DD and Program Staff accurately reflect program/project objectives and priorities.
6.8	MURED DD, Budget Analyst	Develop the draft NASA MUREP Budget Recommendation. This includes (a) the letter from the OEOP AA that summarizes the MUREP budget priorities and issues, (b) the Program Financial Plan, and (c) the NASA total MUREP Budget Recommendation and the MUREP Budget Recommendation for each Center.
6.9	OEOP AA	Approve or disapprove the draft NASA MUREP Budget Recommendation. This decision is made based on the AA's professional judgment and knowledge of the

Subject:	OEOP Budget Formulatio	n and Execution			
		organization. If approved, go to 6.10. If disapproved,			
		OEOP AA gives direction for revision, and return to 6.8.			
6.10	OEOP AA	Submit to Code B under OEOP AA signature the NASA MUREP Budget Recommendation.			
6.11	MURED DD,	Develop the briefings to the Capital Investment Council			
	MURED	(CIC), the Senior Management Council (SMC), and the			
	Program Staff,	NASA Administrator on the NASA MUREP Budget			
	Budget Analyst	Recommendation.			
6.12	OEOP AA,	Brief the CIC, the SMC, and the NASA Administrator.			
	MURED DD				
6.13	MURED DD,	Adjust the NASA MUREP Budget Recommendation based			
	Budget Analyst	on decisions of the CIC, the SMC, and the NASA Administrator.			
6.14	MURED DD,	Distribute by email to the Centers the NASA MUREP			
	Budget Analyst	Budget Recommendation.			
6.15	MURED DD,	Develop the draft Office of Management and Budget			
	Budget Analyst	(OMB) Narrative.			
6.16	OEOP AA	Approve or disapprove the draft OMB Narrative. This			
		decision is made based on the AA's professional judgment			
		and knowledge of the organization. If approved, sign			
		narrative, and go to 6.17. If disapproved, OEOP AA gives			
		direction for revision, and return to 6.15.			
6.17	OEOP AA	Submit the OMB Narrative to Code B.			
6.18	MURED DD,	Develop the OMB briefing on the NASA MUREP Budget			
	MURED	Recommendation. Compile data from the Uniform			
	Program Staff,	Outcomes Annual Report.			
	Budget Analyst				
6.19	OEOP AA,	Brief the OMB on the NASA MUREP Budget			
	MURED DD	Recommendation.			
6.20	MURED DD	Receive the OMB Passback from Code B and identify issues.			
6.21	MURED DD	Develop draft MUREP reclama to the OMB Passback.			
6.22	OEOP AA	Approve or disapprove the draft MUREP reclama to the			
		OMB Passback This decision is made based on the AA's			
		professional judgment and knowledge of the organization.			
		If approved, go to 6.23. If disapproved, OEOP AA gives			
		direction for revision.			
6.23	OEOP AA	Submit under OEOP signature MUREP input to Code B for			
		the Agency reclama to the OMB Passback.			
6.24	OEOP AA,	Receive response from Code B on the OMB Passback			
	MURED DD	reclama.			
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6.25	MURED DD,	Revise the NASA MUREP Budget if necessary, and			
	Budget Analyst	distribute it to the Centers.			

Subject: OEOP Budget Formulation and Execution					
6.26	MURED DD	Once OMB and NASA agree on budget, ensure that notation of MUREP status of budget changes from the NASA MUREP Budget to the President's Budget for NASA MUREP.			
6.27	MURED DD, MURED Program Staff, Budget Analyst	Develop the draft Congressional Narrative. Compile data from the Uniform Outcomes Annual Report. Include plans for the upcoming fiscal years.			
6.28	OEOP AA	Approve or disapprove the draft Congressional Narrative. This decision is made based on the AA's professional judgment and knowledge of the organization. If approved, go to 6.27. If disapproved, OEOP AA gives direction for revision, and return to 6.28.			
6.29	OEOP AA	Submit under OEOP signature the Congressional Narrative to Code B.			
6.30	MURED DD, MURED Program Staff, Budget Analyst	Develop the Congressional Briefing to present the President's Budget for NASA MUREP to Congressmen and their Professional Staff who monitor MUREP activities. Compile data from the Uniform Outcomes Annual Report. Include plans for the upcoming fiscal years.			
6.31	OEOP AA, MURED DD	Brief the President's Budget for NASA MUREP to Congressional Staffers and in Congressional Hearings in response to the request from Code L.			
6.32	MURED DD	Issue the request to the Centers for inputs to the MUREP Annual Phasing Plan (obligations and costs) for the new fiscal year and specify the plan format.			
6.33	MURED DD, Budget Analyst	Develop the MUREP Annual Phasing Plan.			
6.34	MURED DD	Submit under MURED DD signature the MUREP Annual Phasing Plan to Code B.			
6.35	MURED DD, Budget Analyst	Develop the MUREP Annual Funding Plan.			
6.36	MURED DD	Submit under the MURED DD signature the MUREP Annual Funding Plan to Code B.			
6.37	OEOP AA, MURED DD	Distribute funds to the Centers.			
6.38	MURED DD, Budget Analyst	Evaluate the monthly obligations and costs as reported in the FACS and the projected end-of-year obligations and costs against the MUREP Annual Phasing Plan.			
6.39	MURED DD	If there are any changes to the Annual Funding Plan as a result of the monthly evaluation of obligations and costs, go to 6.41. If there are no changes to the Annual Funding Plan, go to 6.43.			
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6.40	MURED DD, Budget Analyst	Revise the MUREP Annual Funding Plan as a result of evaluation of obligations and costs against the Annual Phasing Plan or as a result of realignment of program implementation by the Centers. Submit under MURED DD signature the revised MUREP Annual Funding Plan to Code B.
6.41	OEOP AA, MURED DD	Transfer funds to or withdraw funds from Centers (via Resources Authority Warrants) as shown in the revised Annual Funding Plan.
6.42	MURED DD, Budget Analyst	Establish amount of unobligated and uncosted carryover into the next fiscal year.

### 7. Quality Records

Record Identification	Owner	Location	Record Media: Electronic or Hard Copy	Schedule Number and Item Number (NPG 1441.1)	Retention/ Disposition
NASA MUREP Budget Guidance	MURED DD	Code EU	Hard copy	Schedule 7, Item 21F	Destroy one year after close of the fiscal year covered by budget
NASA MUREP Budget Recommendation	MURED DD	Code EU	Hard copy	Schedule 7, Item 21F	Destroy one year after close of the fiscal year covered by budget
CIC, SMC, NASA Administrator Briefings	MURED DD	Code EU	Hard copy	Schedule 7, Item 21F	Destroy one year after close of the fiscal year covered by budget
Revised NASA MUREP Budget Recommendation	MURED DD	Code EU	Hard copy	Schedule 7, Item 21F	Destroy one year after close of the fiscal year covered by budget
OMB Narrative	MURED DD	Code EU	Hard copy	Schedule 7, Item 21F	Destroy one year after close of the fiscal year covered by budget
OMB Briefing	MURED DD	Code EU	Hard copy	Schedule 7, Item 21F	Destroy one year after close of the fiscal year covered by budget
MUREP Reclama	MURED DD	Code EU	Hard copy	Schedule 7, Item 21F	Destroy one year after close of the fiscal year covered by budget
President's Budget for NASA MUREP	MURED DD	Code EU	Hard copy	Schedule 7, Item 21F	Destroy one year after close of the fiscal year covered by budget
Congressional Narrative	MURED DD	Code EU	Hard copy	Schedule 7, Item 21F	Destroy one year after close of the fiscal year covered by budget
Congressional Briefing	MURED DD	Code EU	Hard copy	Schedule 7, Item 21F	Destroy one year after close of the fiscal year covered by budget
MUREP Annual	MURED	Code	Hard copy	Schedule 7,	Destroy when 5 years

Phasing Plan	DD	EU		Item 21E	old
MUREP Annual	MURED	Code	Hard copy	Schedule 7,	Destroy when 5 years
Funding Plan	DD	EU		Item 21E	old
Resources	MURED	Code	Hard copy	Schedule 7,	Destroy 2 years after
Authority	DD	EU		Item 21D	the close of the fiscal
Warrants (White					year
Authority)					
Revised MUREP	MURED	Code	Hard copy	Schedule 7,	Destroy when 5 years
Annual Funding	DD	EU		Item 21E	old
Plan					