

Responsible Office: Code RB

Subject: Enterprise/IPO Budget Formulation



NASA Headquarters
Washington, DC 20546

HQOWI-7410-R001B
May 11, 2001

Aerospace Technology Strategic Enterprise (HQ/Code R)

Office Work Instruction

Enterprise/IPO Budget Formulation

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DOCUMENT HISTORY LOG

<u>Status</u> (<u>Draft/</u> <u>Baseline/</u> <u>Revision/</u> <u>Canceled</u>)	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline		1/13/1999	
Revision	A	4/16/1999	Changed heading of "Responsible Organization" column of paragraph 6 to read "Actionee" and revised column entries to better identify who has responsibility for executing each task. Revised paragraph 6 procedure text to better identify criteria for acceptable workmanship and formats of developed materials. Revised paragraph 7 Quality Records table to eliminate dual media versions of quality records. Entries now specify only the medium of the controlled version of the quality record. Revised column heading of Quality Record table to conform to revised HCP 1400-1.
Revision	B	5/11/2001	Incorporates recent terminology and format standardization. Deletes NF918 as a quality Record. Designates the Initial Phasing Plan as a quality record.

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Approved by: Greg Reck 5/11/2001

- 1. PURPOSE** The purpose of this OWI is to document the process used to formulate a) the Enterprise budgets for the Aerospace Technology Enterprise and b) the IPO budget for it's centers.
- 2. SCOPE and APPLICABILITY**
 - 2.1** This OWI applies to the Enterprise/IPO budgets for the Office of Aerospace Technology (OAT) including SAT, R&PM, ROS and MS. It includes the activities of Code R divisions in their Lead Center roles, i.e. RB for the Code R HQs budget, RS for the Code R operation budget and RW for the Commercial Technology program.
 - 2.2** This instruction applies to the Office of Aerospace Technology at NASA Headquarters. It does not include the activities of HQ Code B, although it is designed to interface with the Agency Budget Formulation Process. It also does not include the Budget Formulation activities performed at the Centers, although a few of those activities are depicted to show how they interrelate to HQ activities. It does, however, include the activities of HQ Code R divisions acting in their capacity as Lead Centers, i.e. RB for the HQ Code R budget, RS for the Code R operation budget, and RW for the Commercial Technology program.
- 3. DEFINITIONS**

AA	Associate Administrator
Agency Budget Call Letter	Annual request for budget requirements issued by Code B
Code B	Office of the Chief Financial Officer, HQs NASA
Code BR	Resources Analysis Division, Office of the Chief Financial Officer, HQs NASA
BRIC	Budget and Resources Management Information Center
Budget	New Obligation Authority, or guidelines
CIC	Capital Investment Council
CoF	Construction of Facilities

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CR	Continuing Resolution
CY	Current Year
DAA	Deputy Associate Administrator
DIR RB	Director of Resource Management Division
EB	Code R Executive Board. Membership includes the AA, DAA, and Center Directors
IPO	Institutional Program Office
IPP	Initial Phasing Plan. Overall performance-against-metrics plan provided by Lead Centers to HQs
NHB	NASA Handbook
NPD	NASA Policy Directive
NPG	NASA Policy Guideline
OAT	Office of Aerospace Technology
PFP	Program Financial Plan
POP	Program Operating Plan
Reclama	Agency response to OMB Pass-back. Includes an impact assessment of OMB's proposed budget decisions
R&PM	Research & Program Management
ROS	Research Operations Support (funding type)
RLT	OAT Strategic Enterprise (Code R/HQs) Leadership Team, including the DAA, & Division Directors (RB, RG, RP, RS, RC, RI& RX)
SAT	Science, Aeronautics & Technology appropriation
SMC	Senior Management Council

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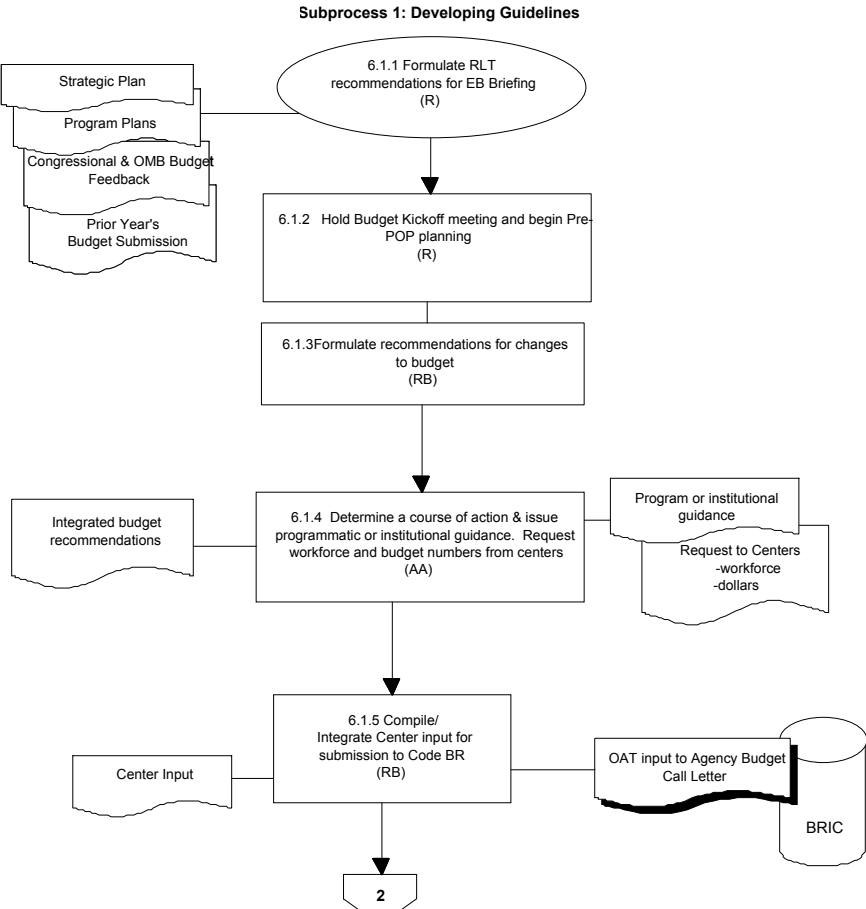
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| 4. REFERENCE DOCUMENTS | NPD 1000.1B
NPG 1000.2

NPD 7120.4B
NPG 7120.5A

NPD 8730.3

NPG1000.3
Aerospace Technology Enterprise Strategic Plan | NASA Strategic Plan
NASA Strategic Management Handbook
Program/Project Management
NASA Program and Project Management Processes and Requirements
NASA Quality Management System Policy (ISO 9000)
The NASA Organization
The correct version of the NPD, NPG, NHB documents cited above may be obtained from the NODIS Directives Library at http://nodis.hq.nasa.gov/Library/processes.html |
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5. FLOWCHART

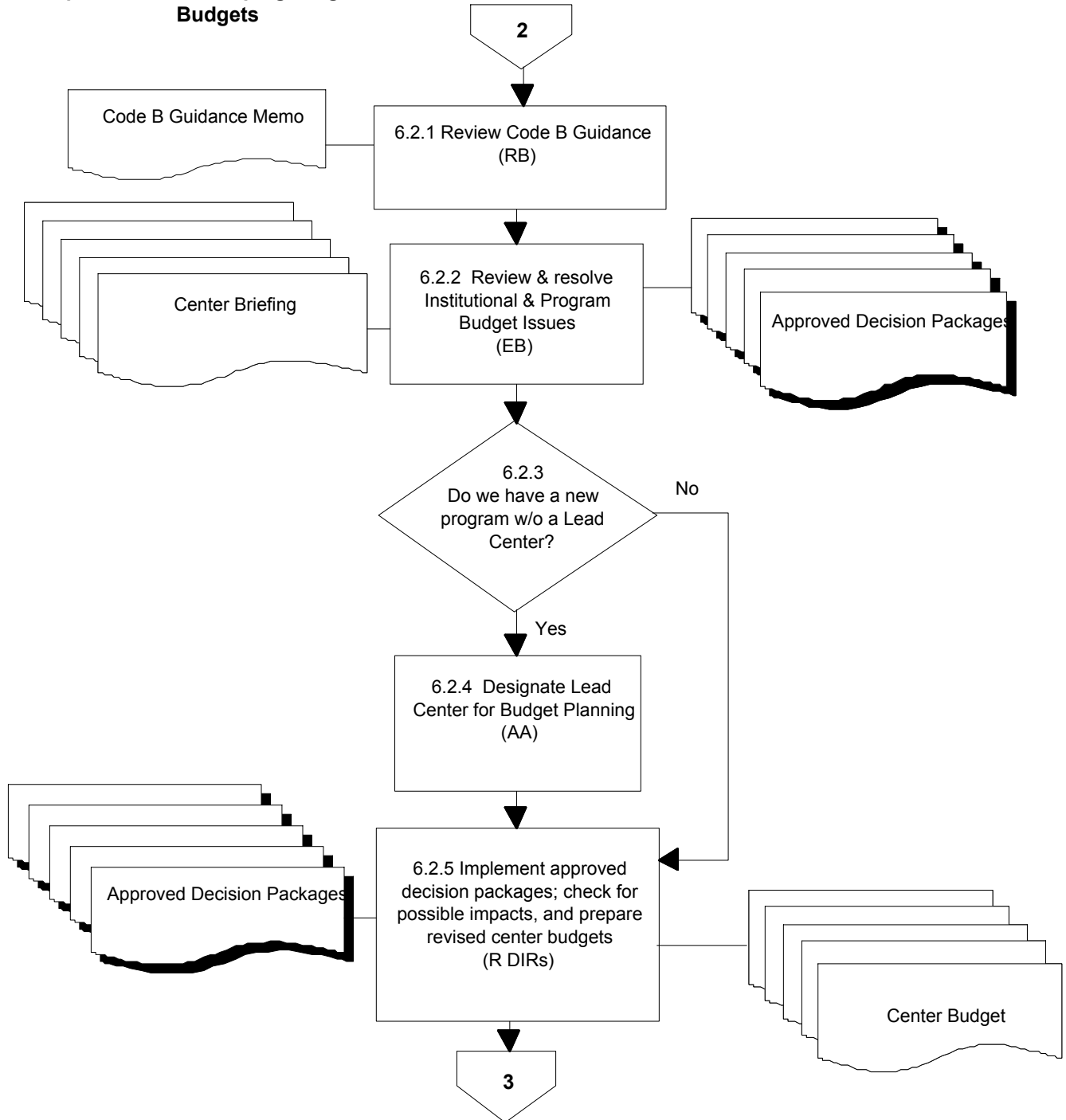


**CHECK THE MASTER LIST at <http://hqiso9000.hq.nasa.gov/>
 VERIFY THAT THIS IS THE CORRECT VERSION BEFORE USE**

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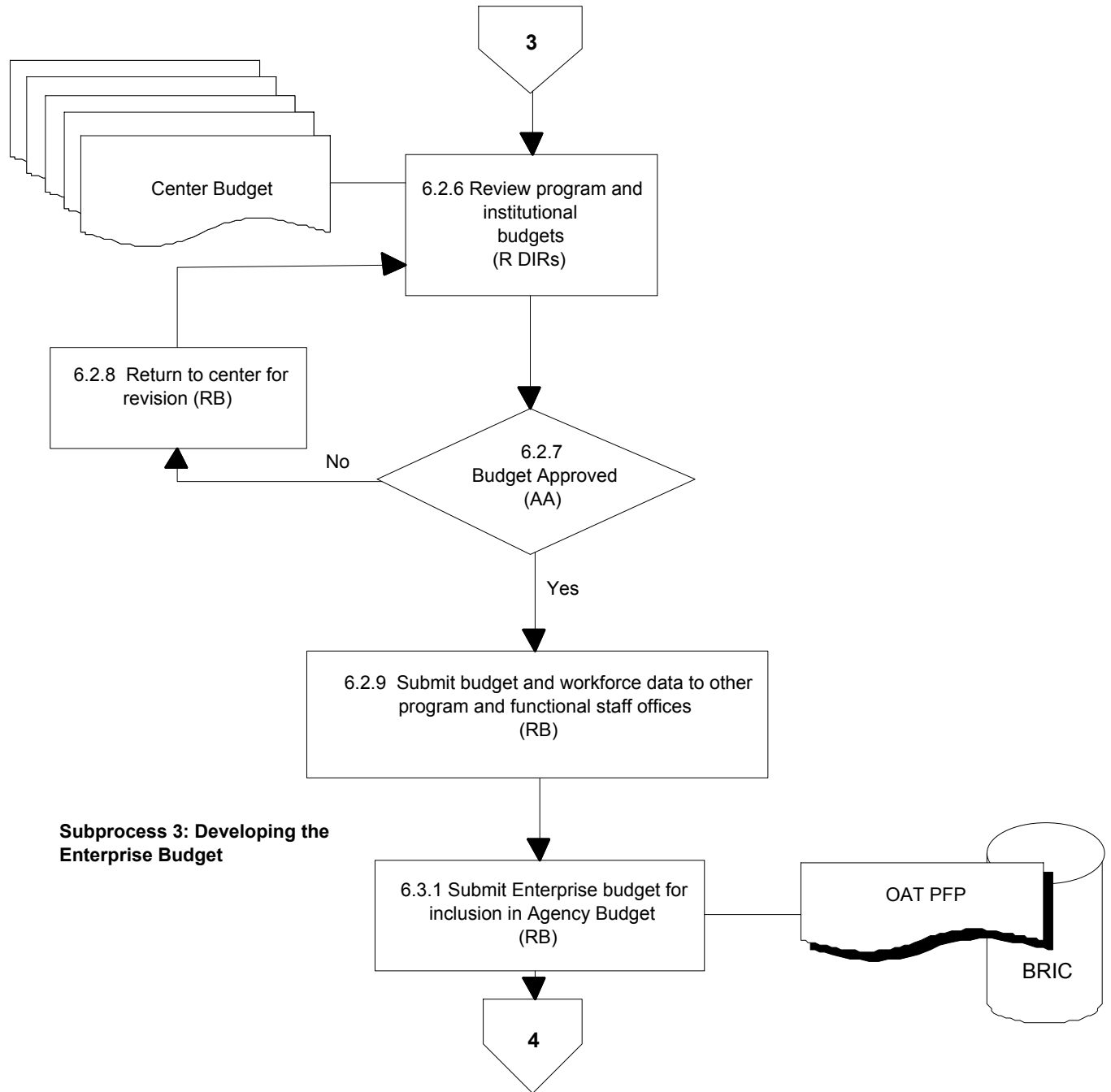
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Subprocess 2: Developing Program Budgets



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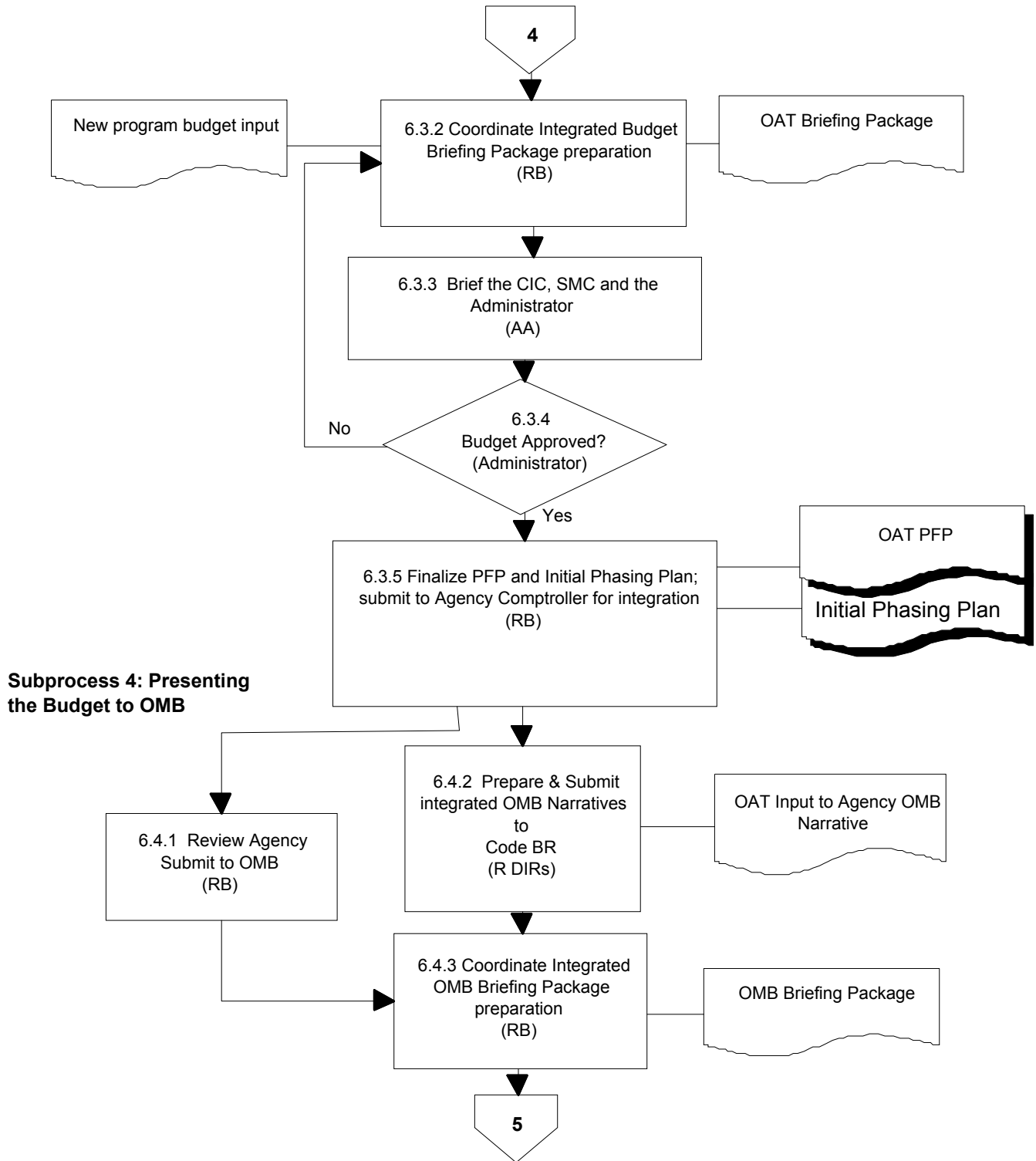
Subprocess 3: Developing the Enterprise Budget

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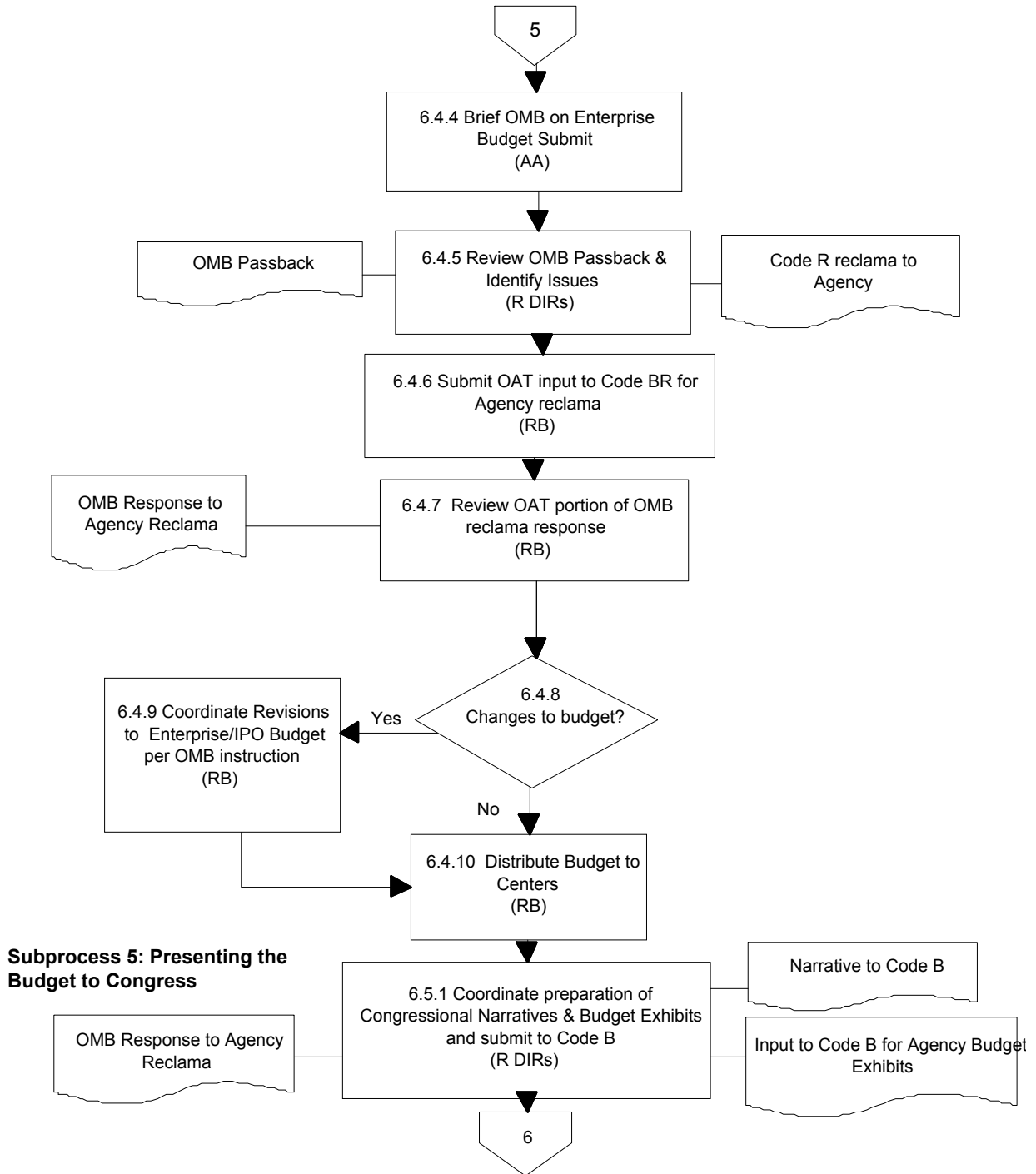
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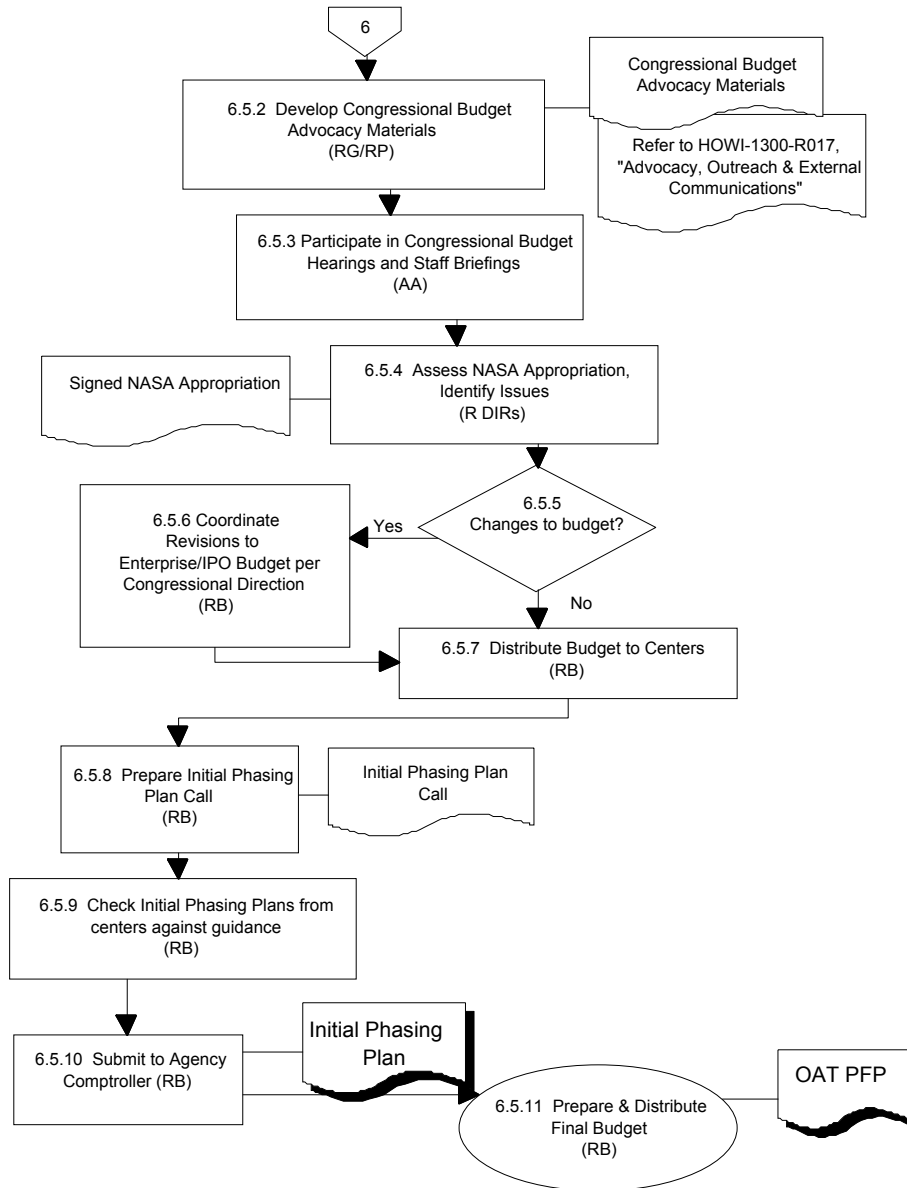
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Subprocess 5: Presenting the Budget to Congress

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- 6.1.3** DIR RB Compile input from all sources, including the Administrator and the CIC, on anticipated budget requirements, probable cuts, and potential issues. Formulate recommendations conforming to AA strategy.
- 6.1.4** AA After conferring with staff, as appropriate, the AA decides on a budget in the PFP structure, and Code R issues programmatic and/or institutional guidance. Code R sends a request to centers to notionally distribute, by project and by Performing Center, the dollars and workforce resulting from the AA's budget decisions and provide feedback.
- 6.1.5** DIR RB The centers provide requested input (in the form of a Microsoft Spreadsheet); includes a description of the program outputs and schedule impacts of the current guidelines, and any other issues the Centers have that need to be resolved before the process can continue. RB integrates the Centers inputs (via BRIC) for submittal to Code B.
- 6.2** **Subprocess 2: Developing Program Budgets**
- 6.2.1** DIR RB Code RB reviews the finalized Agency Budget Call and compares the final version versus the OAT submission in step 6.1.5. Code RB then briefs the RLT on major changes to the OAT submission.
- 6.2.2** EB The Lead Center Program Managers and Performing Center Institutional Managers present the current budget impacts and issues to Code R Management. The decisions of the AA are reflected in the approved decision packages, which are distributed to the Centers under a memo signed by the AA.
- 6.2.3** AA The AA determines if a new lead center is necessary for planning. If not, proceed to step 6.2.5. (In the normal case, lead center designation is taken care of in the Program Formulation Process.)
- 6.2.4** AA If a new lead center is required, the AA determines the Lead Center for Budget Planning for the new program in accordance with the Program Formulation OWI (HQOWI – 7100 – R007). The new program must provide guidance by Step 6.3.2
- 6.2.5** DIRs
RB/RP/
RC/RX The centers, including RB for the headquarters budget and RC for Commercial Technology, implement the approved decision packages developed from the EB meeting. Check for possible impacts, and prepare revisions to the center budgets.

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- 6.2.6** DIRs
RB/RG
RP/RS
RX/RI
RC Code R directors review revised Program and Institutional Budgets from the perspective of their responsibilities (e.g. tactical/political, goals, programmatic, and institutional); and recommend AA approval to the revised Program and Institutional Budgets.
- 6.2.7** AA If AA approves revised budgets, then step 6.2.9. If changes are required, then step 6.2.8.
- 6.2.8** DD RB If changes are required, Lead Centers are requested to work with Performing Centers to make changes, and resubmit to Code R.
- 6.2.9** DIR RB Once AA approves revised budget, the IPO submits budget and workforce data to other program and functional staff offices.
- 6.3** **Subprocess 3: Developing the Enterprise Budget**
- 6.3.1** DIR RB Code R submits the Enterprise budget to the Agency Comptroller.
- 6.3.2** DIR RB Code RB integrates inputs from all elements of the Enterprise, and prepares a briefing package for the AA.
- 6.3.3** AA The AA briefs the CIC, SMC and Administrator.
- 6.3.4** DIR RB If any changes are required, the action is returned to step 6.3.2 with guidance for resolving issues and resubmission. If no changes are needed, action proceeds to step 6.3.5.
- 6.3.5** DIR RB RB prepares and submits a final OAT PFP and initial phasing plan to Code BR. Each document has its individual format
- 6.4** **Subprocess 4: Presenting the Budget to OMB**
- 6.4.1** DIR RB RB reviews Agency's submission to OMB to identify any changes to the Enterprise submits. These are taken into account when preparing the briefing to OMB.
- 6.4.2** DIRs
RB/RG
RP/RC
RX/RI The various sections of the OMB Narrative are completed by the appropriate division director, taking into account the requirements of the NASA Strategic Plan, Director Code RB assembles an integrated package for submission to Code BR.
- 6.4.3** DIR RB RB coordinates preparation of the OMB Briefing package.
- 6.4.4** AA The AA briefs OMB on the Enterprise Budget.

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- 6.4.5** DIRs RB/RG RP/RS RX/RI RC All division directors review the OMB Passback to identify issues, and develop recommendations for Code R input to Agency reclama. Director RB coordinates preparation of a reclama input package.
- 6.4.6** DIR RB RB submits OAT input for Agency reclama to Code BR.
- 6.4.7** DIR RB RB reviews OAT portion of OMB feedback to Agency reclama.
- 6.4.8** DIR RB If there are changes to the OAT budget as a result of the reclama, step 6.4.9; otherwise, 6.4.10.
- 6.4.9** DIR RB RB coordinates revisions to the Enterprise/Institutional budget with the appropriate HQ division(s).
- 6.4.10** DIR RB RB distributes the budget to the Lead Centers.
- 6.5** **Subprocess 5: Presenting the Budget to Congress**
- 6.5.1** DIRs RB/RG RP/RC/ RX/RI The appropriate division director, taking into account the requirements of the NASA Strategic Plan completes the various sections of the Congressional Narratives. In addition, any budget exhibits required for the Administrator's briefing/back-up package are prepared. Director Code RB assembles an integrated package for submission to Code BR.
- 6.5.2** DIRs RG/RP As delegated by the director, Congressional Budget Advocacy materials are prepared in accordance with HQOWI -1300-R017, "Advocacy, Outreach and External Communications."
- 6.5.3** AA The AA participates in Congressional hearings and staff briefings on the Enterprise Budget.
- 6.5.4** DIRs RB/RG RP/RS RX/RI RC Division directors assess the signed NASA appropriation and associated language to identify issues, and develop recommendations for a revised Enterprise budget.
- 6.5.5** DIR RB If there are changes to the OAT budget as a result of the reclama, step 6.5.6; otherwise action proceeds to step 6.5.7.
- 6.5.6** DIR RB RB coordinates revisions to the Enterprise budget with the appropriate HQ division(s) as per congressional direction.
- 6.5.7** DIR RB RB Distributes the budget to the Lead Centers.
- 6.5.8** DIR RB RB prepares a phasing plan call memo in accordance with the standard format.

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- 6.5.9** DIR RB RB checks phasing plan inputs from the Centers against the issued guidance.
- 6.5.10** DIR RB RB submits phasing plan input to Code B in accordance with the Agency format.
- 6.5.11** DIR RB RB prepares and distributes a final budget, which is summarized in the OAT PFP. The OAT PFP is an input to HQOWI-7410-R002, "Budget Execution".

7. QUALITY RECORDS

<u>Record ID</u>	<u>Owner</u>	<u>Location</u>	<u>Media</u>	<u>Schedule Number and Item Number</u>	<u>Retention/Disposition</u>
Approved Decision Packages	RB	RB	Hardcopy	Schedule 7, Item 21.F	1 Year then Destroy
OAT PFP	RB	RB	Electronic	Schedule 7, Item 21.D	2 Years then Destroy
IPP	RB	RB	Electronic	Schedule 7, Item 21.D	2 Years then Destroy
OAT Input to Agency Budget Call Letter	RB	RB	Hardcopy	Schedule 7, Item 21.F	1 Year then Destroy