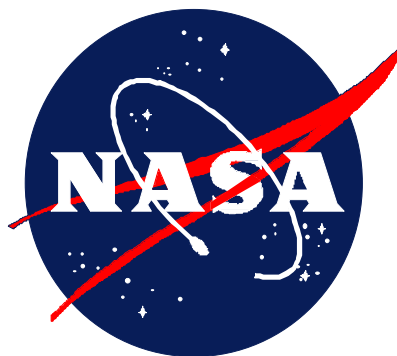


Office Work Instruction

HQOWI 7410-Y007A
Effective Date: April 19, 1999

Responsible Office: YB/Business Management Division

Subject: Advocate the ESE Budget



OFFICE WORK INSTRUCTION

ADVOCATE THE ESE BUDGET

(Conforming to ISO 9001 Quality System Requirements)

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DOCUMENT HISTORY LOG

Status (Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		11/30/98	
Revision	A	4/19/99	<p>Section 2.0: Added text to describe budget procedures as ESE's method for ensuring customer requirements are understood and can be met.</p> <p>Section 4.0: Deleted references not called out in the procedure.</p> <p>Section 5.0, Flowchart; Section 6.0, Procedure; and Section 7.0, Quality Records: Updated to identify certain inputs and outputs as electronic, and to further describe outputs identified as quality records.</p> <p>Section 7.0: Added NPG 1441.1 reference.</p>

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PREFACE

The NASA Office Work Instruction (OWI) for Advocate the ESE Budget documents the tasks and activities in conformance with the International Organization for Standardization's (ISO) 9001 requirements for quality systems. The OWI supplements the *NASA Strategic Plan*, the *NASA Strategic Management Handbook*, and other higher level NASA directives, which form the basis for how NASA conducts business.

This OWI is not intended to duplicate or contradict any other NASA policy, procedures or guidelines, which currently exist. As such, the OWI will reference prevailing documents where a topic is addressed and existing coverage is deemed adequate. Additional information provided within is intended to supplement existing documentation regarding Headquarters (HQ) implementation of strategic and program/project management, as well as HQ conformance with the ISO 9001 Quality Management System (QMS) requirements.

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1.0 PURPOSE

This OWI documents the NASA Earth Science Enterprise (ESE) procedure for advocating the ESE budget.

2.0 SCOPE AND APPLICABILITY

2.1 Scope. The ESE budget advocacy procedure includes internal and external advocacy activities. Internal advocacy activities occur between the ESE budget submittal to the Office of the Chief Financial Officer, and the Agency's submittal to the OMB. External budget advocacy activities covered are advocacy to the OMB and advocacy to Congress.

ESE budget advocacy activities, together with the activities described in HQOWI 7410-Y006, *Formulate the ESE Budget*, and in HQOWI 7410-Y008, *Execute the ESE Budget*, provide ESE with a systematic and documented method for ensuring that ESE understands and can meet its customers' needs. These activities provide the objective evidence that requirements are adequately defined, differences are understood and resolved, and reviews are done to determine if the capability exist to meet customer requirements. ESE documents its understanding of the requirements and determines its capability to meet customer requirements through budget formulation and internal budget advocacy activities. ESE identifies and resolves discrepancies with OMB and Congress through external advocacy activities. The ESE portion of the Agency Operating Plan, established in budget execution activities, reflects the agreement between ESE and the Congress on program content. The operating plan tracks back to the Congressional appropriation, and documents how the Enterprise plans to spend the funds to ultimately meet customer requirements.

2.2 Applicability. This work instruction for Advocate the ESE Budget applies to the NASA Office of Earth Science (OES, Code Y) offices and divisions. The Associate Administrator for Earth Science is responsible for maintaining this document. The controlled version of this OWI is available on the World Wide Web (WWW) via the HQ ISO 9000 Document Library at <http://hqiso9000.hq.nasa.gov>. Any printed version of this OWI is uncontrolled (reference: HCP 1400.1, *Document and Data Control*). Proposed revisions will be accomplished by following HQOWI 1410-Y015, *Approve Quality Documents*.

3.0 DEFINITIONS

Appendix B of the *Earth Science Enterprise Management Handbook* provides ESE-specific terms and definitions.

4.0 REFERENCES

The following document contains provisions that, through reference in this OWI or in policy or procedure documents, constitute the basis for the documented procedure:

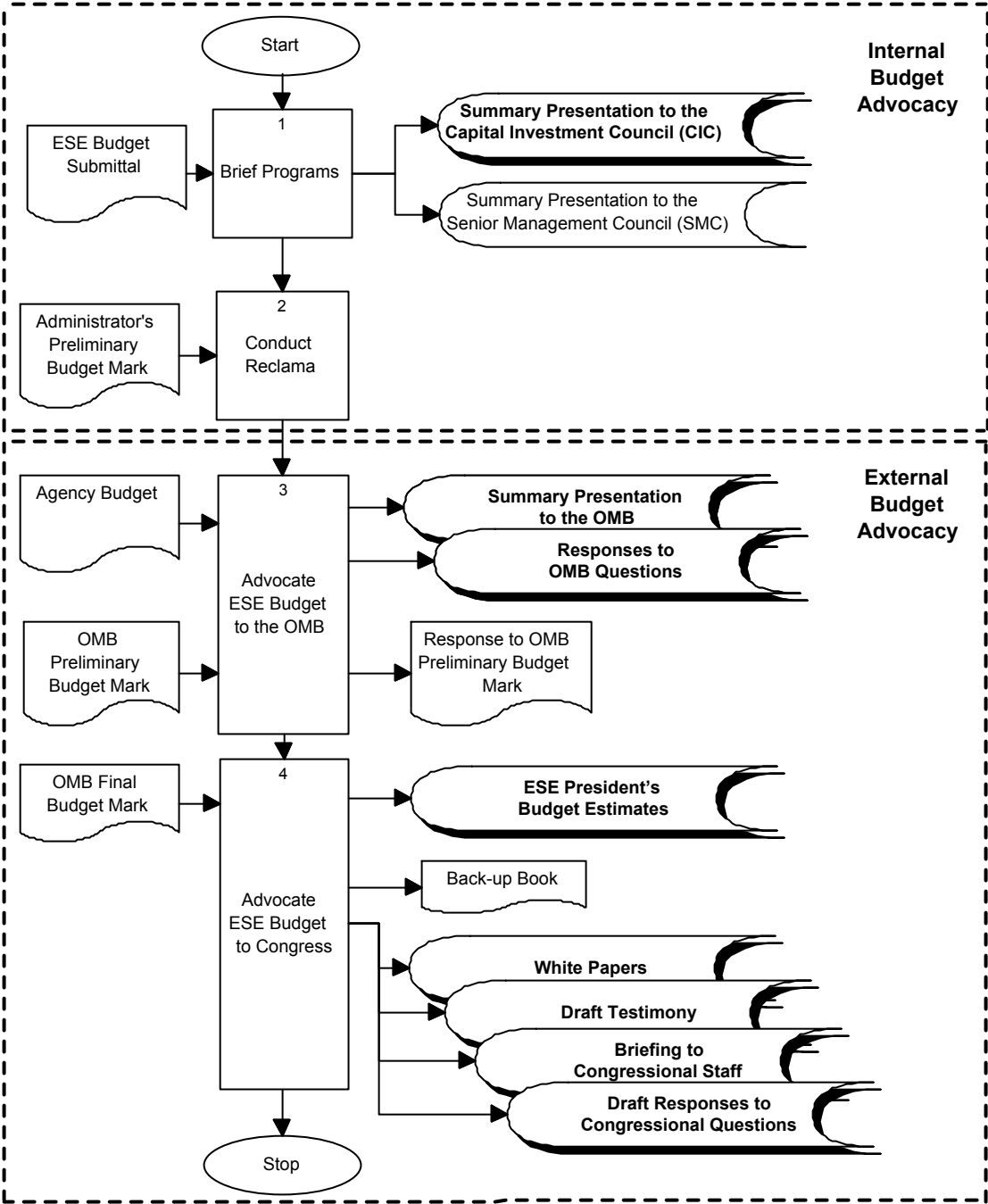
NPG 1000.2

NASA Strategic Management Handbook

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5.0 FLOWCHART

The following flowchart depicts the procedure described in Section 6. Outputs in boldface type represent the quality records listed in Section 7.



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6.0 PROCEDURE

Budget advocacy may be viewed as having two major elements: internal advocacy and external advocacy. Internal advocacy covers the activities where the ESE justifies its budget within the Agency. Sometimes these internal activities are considered to be part of the budget formulation process, because from the Agency perspective the budget is still being formulated. However, from an ESE perspective, the specific activities the Enterprise performs during the internal advocacy period are best characterized as budget advocacy as opposed to budget formulation.

Budget advocacy also includes external advocacy, which covers the processes in which the Enterprise justifies its budget to the Office of Management and Budget and the Congress.

The following table describes the flowchart of Section 5.

Actionee

Action

<u>Actionee</u>		<u>Action</u>
Associate Administrator Business Management Division	1	<p><u>Internal Budget Advocacy.</u> Internal budget advocacy encompasses those activities that occur between the ESE submittal to the Office of the Chief Financial Officer and the Agency's submittal to the OMB. The internal budget advocacy activity includes the following major tasks:</p> <p><input type="checkbox"/> <i>Brief Programs.</i> The Business Management Division prepares a series of presentations which include a summary of program accomplishments and status, changes to the previous budget baseline, program and project schedules and content, and major issues. The intent of these presentations is to provide senior Agency management with the information it needs to make policy decisions and properly balance the Agency's total program. The primary presentation is prepared for the Capital Investment Council (CIC)¹, and other presentations are outgrowths or tailorings of this primary presentation.</p> <p>The Associate Administrator gives the presentations to the CIC and the Senior Management Council (SMC)². The Director, Business Management Division, may also give the presentation to the Comptroller.</p>
Associate Administrator Business Management Division	2	<p><input type="checkbox"/> <i>Conduct Reclama.</i> After hearing the budget recommendations provided by each of the strategic enterprises and the Headquarters staff offices, the NASA Administrator makes preliminary budget decisions. The Office of the Chief Financial Officer communicates this preliminary budget mark to the enterprises.</p> <p>The preliminary budget mark may contain requests for additional data or for assessments of program options. Each enterprise is afforded the opportunity to react to the preliminary budget mark, usually in the form of a brief meeting between the NASA Administrator, the Associate Administrator, and the Agency Comptroller.</p>

¹ The CIC is responsible for addressing significant Agency-wide capital investments and policy issues. See NPG 1000.2, *NASA Strategic Management Handbook*, for a full description of the CIC roles and responsibilities.

² Chaired by the Administrator, the SMC provides advice and counsel to the Administrator, and serves as a forum for the review and discussion of issues affecting Agency management. See NPG 1000.2, *NASA Strategic Management Handbook*.

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Following the reclama sessions, the NASA Administrator makes final budget decisions that form the basis for the Agency's budget submittal to the OMB. These decisions are formally communicated to the enterprises by the Office of the Chief Financial Officer.

External Budget Advocacy. External budget advocacy encompasses a broad range of formal and informal activities on the part of many individuals within and outside of the Enterprise. The following two formal budget advocacy activities occur every year on a predictable schedule:

Associate
Administrator

Business Management
Division

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- Advocate ESE Budget to the OMB.* This phase of the advocacy process runs from September through December of each year. It begins with the formal submittal of the Agency's budget to the OMB. The Business Management Division prepares brief narratives describing the status and plans of ESE programs and projects, and also prepares several spreadsheet-type formats to support the Agency submittal. These formats are established by the Office of the Chief Financial Officer, which has the responsibility to consolidate and integrate the Agency's budget request to the OMB.

Shortly after the formal submittal, the Associate Administrator provides a presentation to the OMB. This presentation focuses on the past year's accomplishments, current status, performance measures, and future plans. It is prepared by the Business Management Division with support from the technical divisions (Research; Applications, Commercial, and Education; and Program Planning and Development). As part of this process, the OMB often provides written questions which are answered either as part of the presentation or as follow-up responses after the presentation. The Business Management Division coordinates the responses to these questions. After some deliberation, the OMB usually provides a preliminary budget mark to the Agency in late November, and the Agency is given a brief period in which to respond. ESE participation in the Agency's response depends on the content of the mark and the strategic decisions made by the NASA Administrator. In December, the OMB provides final budget marks and policy direction to the Agency. This forms the basis of the President's budget request to Congress.

Associate
Administrator

Business Management
Division

4

- Advocate ESE Budget to Congress.* This stage of the advocacy process begins with the preparation of the President's Budget Estimates. The Business Management Division drafts the Earth Science section of the Agency's budget request. This draft is sent to the technical divisions for comments and revisions, and then to the Office of the Chief Financial Officer (Code B) for final editing and consolidation into the Agency's budget narratives. The Business Management Division also prepares a comprehensive back-up book which displays the budget at a low level of detail and provides supporting information on, for example, budget changes, program and project schedules, and staffing.

During the period in which Congress reviews the President's budget request, the Business Management Division typically performs four types of external budget advocacy activities: preparation of white papers, preparation of draft testimony, presentation of a briefing to

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Congressional staff, and generation of draft responses to Congressional questions. White papers provide a one-page discussion of those program issues that are likely to be raised during staff briefings or during the hearings. Testimony typically consists of a brief set of remarks that the Associate Administrator will make during Congressional committee hearings, as well as a more extended discussion of program accomplishments, status, and plans that is provided for the Congressional record. Briefings to Congressional staff may be either formal presentations to an entire committee staff or a series of informal meetings between the Associate Administrator and individual Congressional staffers. Finally, following hearings, briefings, or individual meetings, there are usually written questions that require responses. ESE forwards the draft testimony and draft responses to Congressional questions to the Office of Legislative Affairs (Code L) for finalization.

The specific tasks as well as the schedule vary from year to year. The Business Management Division works with the division directors to ensure that all required products are produced. In general, the Business Management Division typically takes the following steps in performing external budget advocacy activities:

- Receive questions and requests for white papers, testimony, and briefings from the Office of Legislative Affairs (Code L). Requests may be in support of the annual budget process, or they may be ad hoc requests.
- When preparing white papers and testimony in support of the annual budget process, meet with the Associate Administrator for guidance.
- Identify the information and inputs needed, and their sources.
- Distribute assignments, questions, or other requests for inputs to the appropriate Enterprise staff.
- Consolidates the inputs into the required product, coordinate reviews among the divisions as appropriate, and incorporate comments.
- Obtain the Associate Administrator's approval of the final product.
- Coordinate with Code L, Code B, and other NASA codes as appropriate.
- Forward the final product to Code L for filing and in the case of white papers, testimony, and briefings, for delivery to the NASA presenter or, in the case of responses to congressional inquiries, for delivery to the congressional requester.

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7.0 QUALITY RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA Electronic or Hardcopy	SCHEDULE AND ITEM NUMBERS*	RETENTION / DISPOSITION
Summary Presentation to the Capital Investment Council (CIC)	Resources Team Lead	Business Management Division	Electronic	Schedule 7, Item 21, "Budget and Programming Resources / Apportionment Files," paragraph D.1.	Destroy 2 years after the close of the fiscal year.
Summary Presentation to the OMB	Resources Team Lead	Business Management Division	Electronic	Schedule 7, Item 21, paragraph D.1.	Destroy 2 years after the close of the fiscal year.
Responses to OMB Questions	Resources Team Lead	Business Management Division	Electronic	Schedule 7, Item 21, paragraph D.1.	Destroy 2 years after the close of the fiscal year.
ESE President's Budget Estimates	Resources Team Lead	Business Management Division	Electronic	Schedule 7, Item 21, paragraph D.1.	Destroy 2 years after the close of the fiscal year.
White Papers	Resources Team Lead	Business Management Division	Electronic	Schedule 7, Item 21, paragraph D.1.	Destroy 2 years after the close of the fiscal year.
Draft Testimony	Resources Team Lead	Business Management Division	Electronic	Schedule 7, Item 21, paragraph D.1.	Destroy 2 years after the close of the fiscal year.
Briefing to Congressional Staff	Resources Team Lead	Business Management Division	Electronic	Schedule 7, Item 21, paragraph D.1.	Destroy 2 years after the close of the fiscal year.
Draft Responses to Congressional Questions	Resources Team Lead	Business Management Division	Electronic	Schedule 7, Item 21, paragraph D.1.	Destroy 2 years after the close of the fiscal year.

* Quality Records are retained in accordance with the referenced schedule and item numbers from NPG 1441.1, *NASA Records Retention Schedules*.