



Understanding the NPS Budget Cycle: SCC

Participant Guide



August 30, 2006

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Welcome

Why a course on *Understanding the NPS Budget Cycle: SCC*?

This 3-hour session, ***Understanding the NPS Budget Cycle: SCC***, will teach TELNPS (Technology Enhanced Learning National Park Service) participants how the NPS budget cycle operates. Emphasis will be placed on the Servicewide Comprehensive Call (SCC), which is the formal beginning of a new round of planning for future NPS budgets. The course will also focus on the relationship of the SCC to the Project Management Information System (PMIS), OFS (Operations Formulation System), and other systems used by the National Park Service to manage its fiscal resources. Improved knowledge of the SCC and its accompanying programs by employees will help the NPS improve its management of fiscal resources used to administer and operate the national park system.

Audience

The course is designed for all NPS employees who wish to learn about the NPS budget process and the SCC. In particular, OFS Administrators/Users, PMIS Administrators/Users, Administrative Officers, and park managers will find the course helpful toward understanding how the NPS budget operates.

Instructors

Ellen Bullock, PMIS Servicewide Coordinator
Jennifer Champagne, OFS Servicewide Coordinator
Carol Maass, Recreation Fee Project Manager
Gary Mason, Natural Resources PMIS Administrator and OFS Administrator
Marty Sutherland, Midwest Region Comptroller and PMIS Administrator
Sherry Plowman, Intermountain Region Budget Officer for SOAR and PMIS Administrator

Timing

Understanding the NPS Budget Cycle: SCC takes place via TELNPS on Wednesday, August 30, 2006 from 12:00 pm until 3:00 pm ET.

Pre-work

Instructors recommend that all TELNPS participants do the following prior to the course:

1. Download and print the **Participant Guide**. The **PowerPoint slides** and **Glossary of Budget Terms** will also be available at least one week prior to August 30, 2006. Please print these materials using the **duplex** feature at your printer/copier if possible to save on paper usage. To reach the Participant Guide, PowerPoint slides, and Glossary of Budget Terms, go to:

<http://mylearning.nps.gov>

2. Instructors for this course also recommend that participants have taken the following online prior to the class. This is not mandatory, but it would be helpful.

- a. **Course 1: Introduction to the Project Management Information System (PMIS)**. In this first PMIS e-Course, users learn why the National Park Service developed the PMIS, how its business practices govern PMIS processes, and how PMIS fits into the bigger picture of NPS budget formulation. Participants will also learn how PMIS processes support the review, approval, and funding of the NPS highest priorities.

To **register** for the PMIS e-Course, log in to MLM at <http://mylearning.nps.gov>. Once in MLM, you should enter the word "PMIS" into the "Search Catalog" box and then click "go." This action will bring you to a listing which displays the three PMIS e-Courses and the overarching curriculum. To enroll in Course 1, select the name link and then the "apply" link within the course description. This action will add the course to your "My Enrollments" section. When you are ready to enter Course 1, you should select the "launch" link within your enrollments screen that corresponds to the introductory course. You will need to enter your MLM username and password again once you reach the brown access screen of the selected e-Course. This course takes approximately 1-2 hours to complete.

- b. **OFS Training Presentation**, which is available at: http://classicinside.nps.gov/budget3/scc/FY_2008/FY_2008_OF_S_Page.htm. This presentation takes approximately 1-2 hours to complete.

How to Interact with the Instructor

With TELNPS courses there is a "protocol" to follow to ensure that you can easily ask questions and others can participate as well. It may seem a little strange at first asking a question of a TV monitor. Remember, it is the instructor you are interacting with and not the monitor. As you ask more questions and participate in more TELNPS courses, you will soon be focusing only on the content of your question and not the equipment you are using to ask it.

As part of the TEL station equipment at your location, there are several push-to-talk microphones. Depending on the number of students at your location, you may have one directly in front of you or you may be sharing one with other students at your table.

When you have a question, press and hold down the push-to-talk button, maintaining a distance of 12-18 inches, wait a second and then ask you question or make your comment. It would sound something like this:

Excuse me [instructor's first name], this is [your first name] at [your location]. I have a question (or I have a comment)."

Then release the push-to-talk button. This is important because until you release the button, you will not be able to hear the instructor.

The instructor will acknowledge you and then ask for your question or comment. Stating your name and location not only helps the instructor, but also helps other students who are participating at different locations to get to know their classmates.



Course Goal & Learning Objectives

Course Goal

The goal is to give employees involved in planning and management of the NPS's fiscal resources a comprehensive look at the NPS budget cycle, including functions at the park, regional, and Servicewide levels. Information gained from this course may be applied immediately (as in using SCC checklists for PMIS and OFS and in using NPS Focus and other tools to improve project entry), and in the long-term by improving the quality of data and therefore the effectiveness of NPS budget submissions .

Course Objectives

After completing this program, participants will be able to:

1. Identify the parts of the NPS budget cycle, including the SCC, PMIS, and OFS.
2. Use the SCC and other systems as effective planning tools for help in obtaining funding.
3. Determine when to put needs in OFS and PMIS.
4. Describe why prioritization is important in OFS and PMIS and apply the two steps of banding and numerical ranking in PMIS.
5. Become familiar with SCC checklists for PMIS and OFS that will improve data quality.
6. Describe how status and completion reports function within PMIS and how they relate to Project Funding Components.

Objective 1. Identify the parts of the NPS budget cycle, including the SCC, PMIS, and OFS.

The NPS Budget

(Source- NPS Budget Website - <http://www.nps.gov/applications/budget2/npsbud.htm>)

The NPS was established by Congress in 1916. Its mission is to conserve, unimpaired, the natural and cultural resources and values of the National Park System for the enjoyment, education, and inspiration of this and future generations. The NPS is also responsible for managing a variety of national and international programs designed to help extend the benefits of natural and cultural resource conservation and outdoor recreation throughout this country and the world. At present, there are more than 380 units within the National Park System. Approximately 274 million people visited our National Parks in 2005.

To fulfill its mission, the NPS receives funding from both the Federal appropriations process and other federal revenue sources in the following manner:

Direct Congressional Appropriations: In the FY 2007 President's Request, the NPS requested funding from six separate "discretionary" appropriations:

(1) Operation of the National Park System (ONPS): This **annual** appropriation funds all operational, maintenance, and administrative costs for parks, regional offices, and the Washington D.C. headquarters office. It funds the day-to-day operations of the National Park System as well as things such as repair/rehabilitation and cyclic maintenance.

(2) United States Park Police (USPP): This annual appropriation was created in FY 2001; prior to this it was funded as part of ONPS. The USPP are responsible for performing a full range of law enforcement functions at NPS sites throughout the Washington, DC, metropolitan area; Gateway National Recreation Area in New York and New Jersey; and Golden Gate National Recreation Area in California. Pension costs are funded separately within "mandatory" appropriations.

(3) Construction and Major Maintenance: This appropriation is a **"no year"** appropriation with funds available until expended. These funds support line item construction projects and planning, program oversight, general management planning and special programs such as housing, dam safety, equipment replacement and emergency projects. Planning provides the basic guidance for the management, protection and development of each unit of the NPS and evaluates the potential for adding new units to the System.

Note: Most of the NPS's major rehabilitation projects for roads and bridges are accomplished through the Federal Lands Highway Program (in the Department of Transportation Appropriation).

(4) Land Acquisition and State Assistance: Through the use of the Land and Water Conservation Fund, this appropriation funds: (1) the Federal acquisition of land or interest in land within the National Park System; and (2) matching grants to States, territories and local governments for acquisition of parks and open space. Administrative expenses for both programs are also provided. All funds provided from this account are available until expended.

(5) National Recreation and Preservation: These **annual** funds provide for a broad range of actions related to outdoor recreation planning, technical assistance to State and local governments for recreation projects, heritage area assistance, and historic preservation -- all primarily for resources outside the National Park System.

(6) Historic Preservation Fund: This two-year appropriation provides matching grants to, and in partnership with, State and local governments, Indian tribes, and Historically Black Colleges and Universities, to help support the identification, evaluation, registration, and preservation of the nation's historic, archeological, and cultural heritage. In addition, there is a grant program to Save America's Treasures, related to brick and mortar projects, and a grant program to Preserve America, related to heritage tourism.

Other Federal Revenue Sources: There are a number of revenue sources, authorized by Congress which allows the NPS to retain those funds collected from a variety of sources. These are considered "mandatory" appropriations.

Two examples of such accounts are the Donations and Quarters accounts. The Secretary of the Interior is authorized by Congress to accept donations that are consistent with NPS goals and objectives. Individuals, groups, corporations, and associations can make a contribution for NPS purposes either by direct contribution or by bequest. The Operation and Maintenance of Quarters account is derived from rent paid by NPS employees for government-owned houses and used to offset the cost of maintaining those houses.

The NPS collects a variety of entrance and use fees authorized by several acts of legislation. The receipts collected pay for projects addressing park issues, such as deferred maintenance needs, for enhancing visitor services, and for the cost of fee collection and other oversight. By the end of FY 2006 an estimated \$1.032 billion will have been retained by the NPS through the Federal Lands Recreation Enhancement Act (REA) and the former Recreational Fee Demonstration (Fee Demo) programs.

On December 8, 2004, REA was signed authorizing recreation fees to be collected by the NPS and other agencies. The bill created an interagency pass, "America the Beautiful National Parks and Federal Recreational Lands Pass" (ATB), to replace the National Parks Pass, Golden Eagle, Golden Age and Golden Access passes. REA supersedes the previous authority and gives the NPS the 10-year authority, as part of an interagency program, to collect, retain, and expend recreation fees on repair, maintenance, and facility enhancement directly related to visitor enjoyment, visitor access, health and safety, interpretation, visitor information, visitor service, visitor needs assessments and signs, habitat restoration directly related to wildlife-dependent recreation, law enforcement related to public use and recreation, fee management agreements, visitor reservation services; direct operating costs and the administration overhead and indirect costs of fee expenditures.

Under the new law, the NPS will continue to retain 80% of fee receipts for use at the collecting park. Parks collecting less than \$500,000 will retain 100%. The remaining 20% will be allocated at the discretion of NPS Director within the REA expenditure categories. Each park covers their cost of fee collection from the revenues they collect. An estimated \$95 million of fee revenues in FY 2006 and \$100 million in FY 2007 will be directed to meet the President's commitment to eliminate the NPS deferred maintenance backlog.

Beginning in FY 1999, Park Concessions Franchise Fees for concessioner activities are retained entirely by the NPS (80% by the collecting park) for visitor services and to fund high-priority and urgently necessary resource management programs and operations.

A Filming and Photography Special Use Fee is collected for the use of NPS lands and facilities for filming, videotaping, sound recording, and still photography. The fee is sufficient to cover related government costs, including permit processing, cleanup and restoration, and include a fair return to the Government. Recently, the NPS has been given the ability to charge a location fee in addition to the Special Use Fee with the location revenues returned to the park and used in a manner that resembles REA. This fee is not meant to apply to the park visitor with a camera, but rather to commercial filming and other activities on a large scale.

Like most federal agencies, the NPS relies on Federal appropriations to fund its core activities, although there is increasing use of alternative revenue sources, such as fees, to supplement operations. The NPS requests direct Congressional funding and reports on the other Federal revenue sources through an annual budget document submitted to Congress entitled "Budget Justifications", or more popularly called, the "Greenbook". Further information such as the Congressional subcommittees that review the NPS budget, and

the budget cycle can be obtained by clicking on the NPS Budget Process button on the Budget home page.

To further explain the activities, sub-activities, and program components within each appropriation, here is the NPS Budget Structure for our enacted FY 2006 budget:

NPS Budget Structure FY 2006

Appropriation	Activity	Subactivity	Program Component	
DISCRETIONARY APPROPRIATIONS				
Operation of the National Park System (ONPS)	Park Management	Resource Stewardship	Natural Resources Research Support Natural Resources Management Everglades Restoration and Research Cultural Resources Applied Research Cultural Resources Management Resources Protection	
		Visitor Services	Interpretation and Education Law Enforcement and Protection Visitor Use Management Health and Safety Concessions Management	
		Facility Operations and Maintenance	Facility Operations Facility Maintenance (includes repair/rehab and cyclic)	
			Park Support	Management, Administration, and Cooperative Programs
		External Administrative Costs		Employee Compensation Payments Unemployment Compensation Payments External ADP Charges Printing Telecommunications Postage GSA Space Rental Drug-Free Workplace DC Water and Sewer Title VI(a) Law Enforcement Pension Payments Departmental Program Charges
		[Wildland Fire Management - funded through BLM]		Wildland Fire Preparedness Wildland Fire Operations
		[Central Haz. Materials Fund - funded through BLM]		
	United States Park Police (USPP)	USPP Operations		
	National Recreation and Preservation (NR&P)	Recreation Programs		Recreation Programs
		Natural Programs		Rivers and Trails Studies Rivers, Trails and Conservation Assistance National Natural Landmarks Hydropower Recreation Assistance
Cultural Programs			National Register Programs National Center for Preservation Technology & Training Native American Graves Protection & Repatriation Grants National Underground Railroad Network to Freedom Act Grants Environmental Compliance and Review	
Environmental Compliance and Review				
Grants Administration			Historic Preservation Fund Administration Native American Graves Protection Grants Administration Urban Park and Recreation Recovery Grants Administration	
International Park Affairs			Office of International Affairs Southwest Border Program Commissions and Grants Administrative Support	
Heritage Partnership Programs				
Statutory or Contractual Aid for Other Activities				

Urban Park and Recreation Fund (UPARR)	UPARR Grants	
Historic Preservation Fund (HPF)	Grants-in-Aid	Grants-in-Aid to States and Territories Grants-in-Aid to Indian Tribes Grants-in-Aid to Historically Black Colleges and Universities
	Grants-in-Aid to Save America's Treasures	
	Grants-in-Aid to Preserve America	
Construction and Major Maintenance	Line Item Construction and Maintenance	
	Special Programs	Emergency and Unscheduled Projects Emergency and Unscheduled Projects Seismic Safety of National Park System Buildings
		Housing Replacement Program
		Dam Safety Program
		Equipment Replacement Program Replacement of Park Operations Equipment Conversion to Narrowband Radio System Modernization of Information Management Equipment
	Construction Planning	
	Construction Program Management and Operations	Associate Director, Professional Services Management of Partnership Projects Denver Service Operations Regional Facility Project Support
	General Management Planning	General Management Planning Strategic Planning Special Resources Studies Environmental Impact Statement Planning
Land Acquisition and State Assistance	Federal Land Acquisition	
	Federal Land Acquisition Administration	
	State Conservation Grants	
	State Conservation Grants Administration	
MANDATORY APPROPRIATIONS		
Recreation Fee Permanent Appropriations		Recreational Fee Demonstration Program Deed-Restricted Parks Fee Program National Park Passport Program Transportation Systems Fund Educational Expenses, Children of Employees, YELL Payment for Tax Losses on Land Acquired for GRTE
Other Permanent Appropriations		Contribution for Annuity Benefits for USPP Park Concessions Franchise Fee Concession Improvement Accounts Park Buildings Lease and Maintenance Fund Filming and Photography Special Use Fee Program Operation and Maintenance of Quarters Glacier Bay National Park Resource Protection Delaware Water Gap NRA Route 209 Operations
Miscellaneous Trust Funds		Donations, National Park Service Preservation, Birthplace of Abraham Lincoln
Construction (Trust Fund)		FHWA Construction Trust

The NPS Budget Process

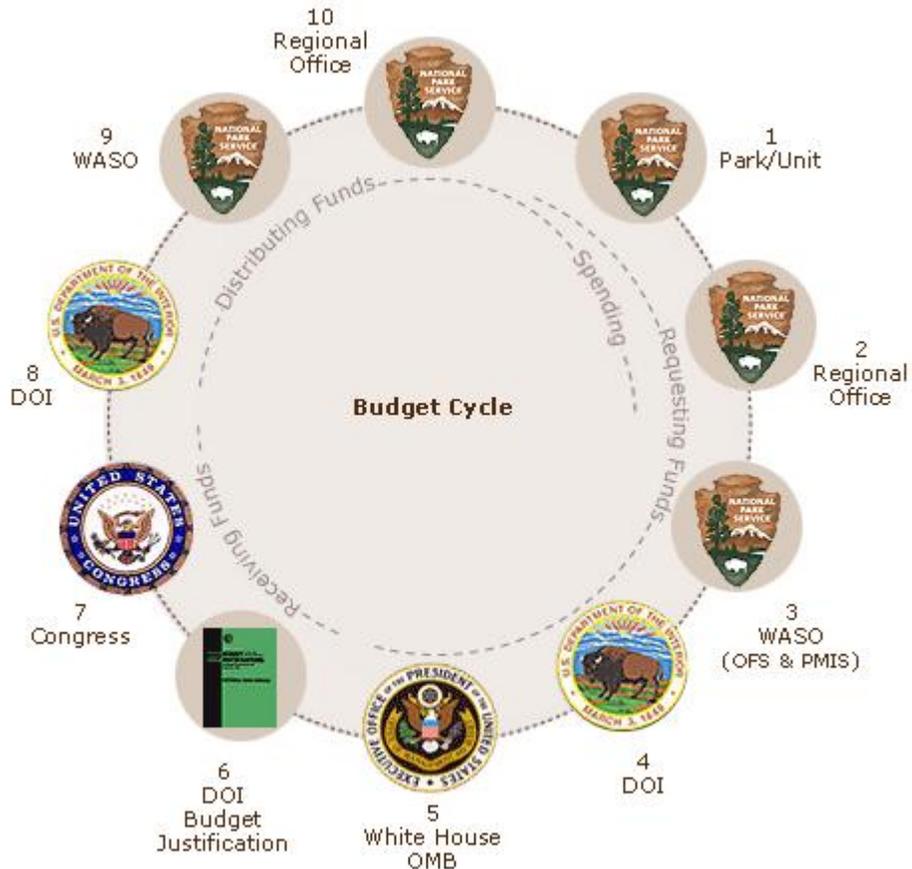
Understanding how the budget process works is important because it has serious implications for how every NPS park and office is funded, maintained, improved, and administered. In recent years, there has been a need for increased maintenance, new facilities, and educational and interpretive programs. Paying for these programs requires more money than is available from federal tax dollars. So more and more, the Service is relying on alternative funding sources—like the Federal Lands Recreation Enhancement Act (REA) to provide its spending capital.

The primary source of revenue used to fund the NPS is the general population—individuals like you who pay taxes, make donations, and pay fees to visit the various parks. Another important source of funding for the NPS is its partners. Partner organizations—such as the congressionally mandated National Park Foundation and any number of other independent national, state, and local organizations—conduct fundraising activities designated to support individual parks and the Service as a whole.

How does the money get from where it starts, with taxpayers and park users, to the park units themselves? The answer lies in the budget process.

The development of a budget is multi-staged. It starts at the park, then moves through several levels of review and approval by the NPS, DOI, OMB, and Congress before finally being passed into law. As the budget request moves through the various levels of development, it “snowballs.” That is, the park unit budget request becomes part of the regional budget request, which in turn becomes part of the total NPS budget request, and so forth. At each level, the budget is also subject to modification, as politicians, partners, and special interest groups lobby for how federal money should be allocated or used.

To see how the budget makes its way through each level of the process see the graphic and text which follows:



1. NPS Park Unit (Note: The information for park units is applicable to both parks and offices in the NPS.)

The first step in the budget process is for the NPS to formulate the budget it will present to congress. This step begins at the park level. Each park starts with a base operating budget, which Congress routinely funds each year. Each park then identifies their needs, both increases to their base operations (OFS) and one-time projects requests (PMIS).

The park manager develops this budget using a set of guidelines known as the “Servicewide Comprehensive Call,” or just the “budget call.” The budget call includes policies and priorities set by NPS and DOI leadership, as well as target funding levels identified by the President’s Office of Management and Budget. As mentioned in the previous section, discretionary appropriations fall into one of six categories: Operation of the National Park System, United States Park Police, Construction and Major Maintenance, Land Acquisition and State Assistance, National Recreation and Preservation, and Historic Preservation Fund. Park units are primarily funded by the Operation of the National park system category, with funding for central office programs coming from other appropriation categories.

2. NPS: Regional Offices

The parks submit their budget requests to their regional offices, which review them and make any necessary adjustments. The regional offices then consolidate all the requests for the parks in their region into one priority listing, which they submit to the WASO Budget Office in the NPS Washington, DC office. At this stage, the regional office may contact park units for clarification or further information on aspects of their proposed budgets.

3. NPS: WASO

The WASO budget division reviews all budget requests from the NPS regional offices, and modifies them as needed. It then consolidates those requests, incorporating Servicewide budget needs, into a single proposal, which is submitted to the Department of Interior. The proposal, which explains why the requested funds are needed and how they will be spent, is officially called a “Budget Justification.”

4. Department of the Interior

The DOI reviews the NPS Budget Justification. At the same time, it is reviewing similar reports from each of its other bureaus. Requests from all the bureaus are considered together and measured against overall department priorities, then consolidated into a single budget for the entire Department of the Interior which you may have seen as a document called The Interior Budget in Brief. The DOI submits this document to the President’s Office of Management and Budget (OMB).

5. Federal Government: Executive Branch

One of the offices of the executive branch is the Office of Management and budget. The OMB is responsible for preparing a budget proposal for the entire federal government. It does this by taking all the budgets formulated by the various departments and compiling a single proposal.

When OMB finalizes this proposal, it is submitted to the President, who modifies and finalizes the proposal. This finalized proposal, called the President’s Budget, summarizes each agency’s budget request and provides supporting documentation. It is submitted to Congress. Once the President has publicly announced his proposed federal budget to Congress, the bureaus publish their respective budget proposals. Among the Department of the Interior employees, the NPS’s published budget proposal is commonly known as the Greenbook.

6. Federal Government: Legislative Branch

Congress holds appropriations hearings to review and make recommendations about the various department and bureau budgets. These hearings are held by 26 appropriation committees—13 in the House, and 13 in the Senate. The Department of the Interior budget, and therefore the NPS

budget, is reviewed by the House and Senate Subcommittees on Appropriations, Interior and Related Agencies. At hearings, the subcommittees may hear testimony from the NPS Director as well as public interest groups.

Both the House and Senate Appropriations Committees draft appropriations bills, which must be approved by the whole House and Senate respectively. If the House and Senate bills differ, a congressional Conference committee is formed to resolve the differences and negotiate a single appropriations bill.

7. Federal Government: Executive Branch

After both the House and the Senate have approved the Appropriations Bill, it is sent to the President, who either signs or vetoes it. If he signs the bill, it becomes law. If he vetoes it, Congress may try to override his veto. If that override fails, the bill goes back to the House and Senate for further action. Once the bill has become law, the U.S. Treasury Department distributes funds to the Department of the Interior and other departments.

8. Department of the Interior

The DOI, as well as NPS and other Interior bureaus, are authorized by law to spend federal funds as laid out in the appropriation.

9. NPS: WASO, Regional Offices, and Park Units

The NPS then distributes its funds among Servicewide, regional offices, and park units for their use, as designated in the approved appropriation. The various park and program managers of the NPS are responsible for managing the funds allotted to them. They must ensure that all money is spent appropriately—that is, that funds from each of the six appropriations categories are spent only on items that fall within those categories.

By adhering tightly to their budgets and tracking their expenditures carefully, the NPS shows that its spending is in alignment with what Congress has authorized. This both validates the Budget Justification for the current fiscal year and helps convince Congress to grant budget requests for future years.

NPS Role in Federal Budget Process

(Source - NPS Budget Website - <http://www.nps.gov/applications/budget2/fedbud.htm>)

The Congressional Budget Process can last 21 months or more. Therefore, at any given time the NPS is working on three separate budgets:

- 1st Budget (Budget Execution for Current Year)
- 2nd Budget (Congressional Review Process for Next Year)
- 3rd Budget (Budget Formulation for Year After Next)

The table below shows these relationships during the course of the budget process. In the example below during July 2006, the NPS is executing the FY 2006 enacted budget, awaiting the markup of the FY 2007 Appropriations Bill, and submitting the FY 2008 budget proposal to the Department of the Interior (DOI) for review. The following table illustrates this a single year's process.

Activities Associated with Budget Formulation

<u>Month</u>	<u>FY 07</u>	<u>FY 08</u>	<u>FY 09</u>	<u>Activity</u>
February	2005	2006	2007	<ul style="list-style-type: none"> ● Conclusion of SCC for PMIS and OFS ● Regional Review of PMIS and OFS, Prioritization
March	2005	2006	2007	<ul style="list-style-type: none"> ● WASO Budget Review & Analysis of OFS Requests
Early-April	2005	2006	2007	<ul style="list-style-type: none"> ● DOI Secretary's Guidance ● National Leadership Council Priority Setting Session ● Government Performance Results Act (GPRA) Update
–Late April	2005	2006	2007	<ul style="list-style-type: none"> ● WASO Budget Office Prioritization of OFS Requests
May	2005	2006	2007	<ul style="list-style-type: none"> ● Budget Submission to Department of Interior
August	2005	2006	2007	<ul style="list-style-type: none"> ● Departmental Passback and NPS Appeals to Passback
September	2005	2006	2007	<ul style="list-style-type: none"> ● Budget Submission to OMB
October	2005	2006	2007	<ul style="list-style-type: none"> ● OMB Hearings
November	2005	2006	2007	<ul style="list-style-type: none"> ● OMB Passback
December	2005	2006	2007	<ul style="list-style-type: none"> ● NPS Appeals to Passback
January	2006	2007	2008	<ul style="list-style-type: none"> ● Preparation of Greenbook
February	2006	2007	2008	<ul style="list-style-type: none"> ● Submission of President's Budget

March - May	2006	2007	2008	<ul style="list-style-type: none"> ● Appropriation Subcommittee Hearings (House and Senate)
April - May	2006	2007	2008	<ul style="list-style-type: none"> ● Congressional Budget Resolution ● Allocation of Funding Ceilings to Appropriation Subcommittees
June - August	2006	2007	2008	<ul style="list-style-type: none"> ● Markup of Appropriations Bill and Votes (House and Senate)
September	2006	2007	2008	<ul style="list-style-type: none"> ● Conference Committee to finalize Appropriations Bill
September - October	2006	2007	2008	<ul style="list-style-type: none"> ● Passage of Appropriations Bill by Congress
October	2006	2007	2008	<ul style="list-style-type: none"> ● Presidential Signature of Appropriations Bill into Law

The National Park Service (NPS) Budget Cycle

The NPS budget cycle is complex, and is so precisely because of its cyclical nature - it is always in motion. We are always working on different stages of the process simultaneously. We spend funds during the *current* fiscal year while planning for *future* years, and sometimes while Congress is legislating our budget for the coming year.

The **Servicewide Comprehensive Call (SCC)** is the formal beginning of new rounds of planning for future budgets, and aims to increase communication and cooperation at all levels of the NPS. Since the NPS budget cycle takes nearly two years to complete, the SCC is announced at the beginning of each new Fiscal year for planning two years in advance. For example, in October 2006 (the start of FY 2007), the SCC will be announced for FY 2009.

The **SCC** asks parks and NPS program offices to identify unfunded needs for base funding as well as one-time project funding. The **Project Management Information System (PMIS)** supports the SCC by enabling the identification, justification, approval, and prioritization of all unfunded project needs, while the **Operations Formulation System (OFS)** supports the SCC by enabling the identification, justification, approval, and prioritization of all base funding needs. The SCC is traditionally issued in October, and updates to PMIS and OFS are due in the Washington Budget Office by the following February. This timetable requires that parks and regions set earlier deadlines, typically with park submissions due to regional offices in December or January.

PMIS and OFS are important because they serve as the two sources for formulating the NPS budget request. In addition, the information in PMIS and OFS is used to provide the official NPS response to all internal and external inquiries about unfunded project needs and base funding needs and the strategy for addressing those needs.

Park/Unit-level Responsibilities in the SCC

In response to the annual SCC, parks (acting within the parameters of guidance received from Department of the Interior (DOI) and NPS senior leadership, as well as regional and Servicewide program managers) ensure their most recent requirements are identified—one-time projects in PMIS, and recurring base operating needs in OFS. Invalid entries should be purged from PMIS and OFS during an annual data clean-up in both systems. Prior to the regional office due date of the SCC, park/unit staff and park-level program offices enter and update needs in PMIS and OFS. Park/unit users with approval/prioritization rights approve and prioritize all funding needs they want considered and lock the priorities.

Once a park/unit or park-level program office has locked its priorities under the current SCC, authors of PMIS projects go back into the system to select eligible funding categories for the components of each approved and prioritized project. Based on the selection of eligible funding categories, park/unit staff may be required to respond to fund-specific criteria. And finally, after component criteria have been addressed, the park must mark components “submitted” to signal the regional office that they are ready for review.

OFS base funding needs are also approved and prioritized by the park/unit .

Regional Office Responsibilities in the SCC

The first order of business for each regional office (for PMIS and OFS) and WASO Directorates (for OFS) is to establish deadlines for park/units and program offices to submit budget requests through PMIS and OFS. The regional office (for PMIS + OFS) and WASO Directorates (for OFS) then review and prioritize these requests before submitting them to WASO by the SCC due date. Typically, regional offices will set deadlines in December or January to allow four to eight weeks for review of park/unit submissions.

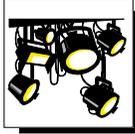
Regional staff (for PMIS and OFS) and WASO Program staff (for OFS) will review park/unit operating requests and projects and approve or reject them based on how well the projects meet funding category criteria and how well the base operating requests fit Regional and Servicewide criteria. Before approval, the region may return a project or an operating request to the park with a request to edit certain information using the needs edit feature.

In PMIS, approved projects will then be assigned to a specific fund source that is applicable to the work described by the park. This process is known as formulation. Each fund source represents a separate pot of funding, and when all park/unit submissions coming through the regional offices are pooled together, it describes the total project needs throughout the NPS for each fund source for the future budget year in question. For non-appropriated funds such as Recreation fee revenues the park has designated and the region is approving the needs that will be addressed with their revenues. Some fund sources also require that regional offices forward PMIS requests to WASO for further review, editing, and approval or disapproval.

Washington Office Responsibilities in the SCC

The WASO Budget Office is responsible for issuing the SCC memo in October of each year and compiling all the budget guidance that will be needed by park/unit and regional office staff to prepare and submit funding requests. This information is posted on the intranet, and includes links to regional Web sites that may contain additional information about the SCC.

Depending on the office, other WASO staff may have responsibilities identical to the park/unit or regional office level, and for Servicewide program offices, there is an additional level of project review by senior leadership.



Using SCC as a Planning Tool for Obtaining Funding

Objective 2. Use the SCC and other systems as effective planning tools for help in obtaining funding.

It is the goal of the NPS to have five-year plans for all fund sources. For some fund sources (e.g., Line Item Construction), a five-year project plan for the NPS is required by DOI. Five-year plans are used as back-up for the annual NPS Budget Justification (Greenbook).

Park/unit entry of all current and future project needs in PMIS is vital to developing the Servicewide five-year plans. When park/units prioritize and submit requests to regions, the regions then formulate those requests to specific fund sources based on the ability of the requests to successfully compete for funding during the five-years. Once regions have completed the formulation of park/unit requests with the concurrence of WASO, a five-year budget plan for a region is generated. This process ensures formulated requests will fit within anticipated available funding. Subsequently, park/units may reference the 5-Year Plans to see how their requests fared in the Servicewide process, and can use the information to develop their own work plans. Note that at this time a few program areas establish two- or three-year plans rather than five-year plans. However, it remains the goal of the NPS to have five-year plans for all fund sources.

The requests in OFS should also identify budget shortfalls that could be reasonably addressed, if sufficient funding were available, over the five-year period that covers one year prior to the SCC year and four years beyond the SCC. For example, for the FY 2009 SCC, operating needs for 2008–2012 should be entered in OFS.

Establishing five-year plans is also a vital part of the park/unit budgeting process, and can be accomplished through the entry of needs in PMIS and OFS. When a park/unit documents all its anticipated needs in PMIS and OFS for a five-year period, the needs can then be vetted through the regional and WASO review process. This process is designed to prioritize these requests relative to other park and Servicewide needs in conjunction with anticipated future funding levels.

Five-year planning in PMIS and OFS contributes to:

- Justifying requested funding levels and requests for Servicewide program increases
- Development of annual work plans
- Maintenance of historical data critical to Servicewide program reporting
- Program accountability, and
- Illustration of total financial resources available to the NPS.

Important Note:

Submitting a request in PMIS and/or OFS does mean the NPS has requested money. Parks often tell the press and other stakeholders that they have requested money and it was not received. However, this is not always true. Submitting a request through PMIS and/or OFS does not mean that we (the NPS) have formally “asked” for the operational increase or that it is in the five year project plan. In terms of PMIS, a project is not requested formally until it is formulated and part of a five year plan. In OFS, an operating request is not formally requested until it is made part of the Greenbook.



Inputting a Need Into OFS and PMIS

Objective 3. Determine when to put needs in OFS and PMIS.

PMIS and OFS are the two official budget formulation systems of the NPS used by all parks and offices Servicewide. For the most part, PMIS is used to request funding for non-recurring needs. Non-recurring needs are project activities that have a distinct beginning and end. PMIS is a tool that tracks all requested, funded, and completed projects, whether or not they are in any other NPS system. It is also a Servicewide tool for reporting the status and success of projects. OFS is used to request funding for recurring needs. Recurring needs are operational activities with no distinct end. OFS is a tool that tracks all requested and funded base operating increases.

Both PMIS and OFS are Servicewide, intranet based applications that allow easy identification, review, and presentation of the NPS budget request. PMIS and OFS both use a single central system and are the mechanisms by which funding requests are reviewed, approved, and prioritized at the park/unit, region, and Servicewide level.

PMIS and OFS are Servicewide systems, so there is consistency from park to park or office to office in how the information is presented and evaluated. The systems' processes are objective and transparent, allowing users to see what projects and base funding increases were successfully funded, and what priorities have been set. It also allows users to look at other parks' project and base funding requests and see what was or was not successful.

When the park/units, regions, or WASO need project or base funding information, PMIS and OFS users at any level can readily retrieve it. Since they are centralized systems, the park/units, regions, and WASO can also look up the same information at any time. In addition, the systems are available year-round so users do not have to wait for a budget call to identify their needs. Finally, PMIS and OFS enhance the efficiency of the NPS by reducing redundant information in data entry.

Efficiency will continue to increase as other systems are actively linked to PMIS (e.g. Facility Management Software System [FMSS], Resource Activity Management System [RAMS], and Administrative Financial System [AFS3]) and to OFS (e.g. Performance Management Data System [PMDS] and NPS Scorecard).

When parks put in all five years of project needs *and* operating needs into PMIS and OFS, this information can be used by anyone – parks, regions and Washington Office -- to show backlog and prepare a funding request. For example, the NPS received an increase in Cyclic Maintenance by \$10 million every year for five years because it was able to identify its needs in the budget call. The NPS has also received more than \$190 million in park base increases listed in OFS since FY 2000 because the NPS was able to identify its operating needs in the budget call. These systems have credibility with the Department of the Interior (DOI), the Office of Management and Budget (OMB), and Congress.

PMIS contributes to the effectiveness of the NPS budget cycle by

- Allowing program managers to obtain information from a centralized source
- Allowing for individual project reporting and reporting on special emphasis areas
- Facilitating allocation of funds
- Providing a method of querying information requested by internal or external entities for potential funding consideration
- Promoting the ability of management and leadership to respond to inquiries and requests in a timely manner
- Documenting progress made in meeting annual performance plan goals
- Providing a standardized, transparent format for all parks/units/offices to document their needs, and
- Satisfying external stakeholders' expectations regarding quality and types of data being tracked for accountability, allowing them to request additional information if needed.

OFS contributes to the effectiveness of the NPS budget cycle by:

- Serving as the sole source for formulating operating increase requests for the three formal NPS budget requests (to the Department of the Interior, the Office of Management and Budget, and the Congress)
- Communicating the elements of the three budget requests related to operating increases to parks and offices (after the budget requests have been submitted)
- Allowing park, regional, and WASO managers to obtain information about operational needs from a centralized source

- Providing documentation of the allocation of funding for parks and offices
- Providing a method of querying information requested by internal or external entities for potential funding consideration
- Promoting the ability of management and leadership to respond to inquiries and requests in a timely manner
- Providing a standardized, transparent format for all parks/units/offices to document their needs, and
- Serving as the official NPS response to all internal and external inquiries about our unfunded budgetary needs and our strategies for addressing these needs

To summarize the differences between OFS and PMIS:

OFS

- Recurring operational base funding
- Examples—park base increase to operate a visitor centers, increase for the Servicewide repair/rehab pot of funding

PMIS

- Non-recurring project funding
- Examples—constructing a visitor center, repair/rehab of existing facility, equipment replacement

We can establish a link between PMIS and OFS in both systems when a project request in PMIS needs to be tied to a base operating increase identified in the Operations Formulation System (OFS). This is most often the case when the PMIS project involves developing new, or expanding existing facilities.

For example, when a new visitor center is proposed, a park would identify the need to plan, design, and construct the facility through a PMIS project request. However staffing and maintenance of the new facility after it was built would need to be paid for from the park's operating base budget. Assuming the park does not already have the staff or funds available to maintain the additional building and provide visitor services, an OFS request would also be entered to request permanent base operational funding to run the new visitor center.

The key to establishing a link between a PMIS and OFS request is, when project work identified in PMIS will create a NEW or INCREASED recurring operational cost that must be funded in the park's base budget, a link should be established.

The PMIS to OFS link and the OFS to PMIS link fields are optional. Users should NOT scan the list of OFS or PMIS requests and just pick one they think might be related to their project or base funding request. PMIS and OFS entries should be linked only when there is a direct correlation between a project and the on-going operating requirements of the park.

Even though a park/unit may have a need for additional base operating funds, if that need existed before the completion of a project identified in PMIS, a link to OFS should not be established.

For example, suppose a park is operating its water treatment plant with insufficient staffing levels due to budget shortfalls, and the plant is to be replaced under a Line Item Construction project identified in PMIS. Assuming the new water plant has the same operating requirements as the old one, a link should NOT be made between PMIS and OFS, even though the park may have an OFS request asking for additional funding for park maintenance

operations. In this case, the operational need exists independent of the project to replace the water plant. The new water plant will not create an additional on-going operational need at the park, so a link between PMIS and OFS would be inappropriate. The shortage of park staff to operate the old water plant is a separate issue, unrelated to constructing a new plant.

Important Points:

Be aware that with few exceptions, you cannot ask for money to pay for staffing in PMIS. To explain more fully, PMIS does not accept projects for permanent personnel. Thus if you try to fund a position from project funds and the project funds go away, the position is compromised. One exception may be in the situation where permanent or seasonal positions meet the REA Cost of Collection (COC) criteria. Another exception may be the funding of temporary or term employees for day labor projects.

Be aware that there are some exceptions to the general rule that non-recurring needs are identified in PMIS and recurring needs are identified in OFS.

There are some recurring needs that should be entered in PMIS.

- Cyclic maintenance
- Volunteers In Parks
- Cost of Collections
- Equipment Replacement

There are a few instances when non-recurring requests should be entered in OFS and marked as “non-recurring” in the Funding Component detail. (If non-recurring needs are met through an OFS request, a decrease in that Park’s/Office’s budget may be requested for the non-recurring portion of the request in the succeeding fiscal year.)

- Small, one-time start-up costs associated with operational increases are appropriately included as part of a larger otherwise recurring request in OFS.
 - Example 1: A park submits a request to hire an employee to manage Hantavirus (a recurring cost) and the employee needs protective equipment (a non-recurring cost).
 - Example 2: A new park submits a request for a few FTE to begin managing the park (a recurring cost) and they might require funding to perform one-time historical research (a non-recurring cost).
- One-time operational funding for special events, such as the Presidential Inauguration, should also be entered into OFS since these special events are typically managed by staff in the parks and the staff are funded out of the parks’ base operating accounts. [If a park needs to do a brick and mortar project for a special event, the request for the project should be entered in PMIS.]

- Some non-recurring requests can be entered into OFS simply because they do not have a specific fund source available in PMIS.
 - Example 1: Requests to purchase IT servers
 - Example 2: Requests to purchase new equipment [There are some limitations. The first is that the equipment must cost a minimum of \$50,000 if the request is for a stand-alone increase. This could cover things like backhoes, front-end loaders, snowplows, etc. For equipment under \$50,000, such as snowmobiles and light vehicles (patrol cars and light trucks), the equipment could be identified as a part of an increase request over \$50,000 for additional staff. This equipment could be identified as a part of the need to support the additional staff. For example, a patrol vehicle would be associated with the need for law enforcement rangers, a truck with a maintenance employee, etc. Requests for brand new equipment that costs more than \$500,000 should be entered into PMIS and marked with the Line-Item Construction fund source.]



Prioritization

Objective 4. Describe why prioritization is important in OFS and PMIS and apply the two steps of banding and numerical ranking in PMIS.

Prioritization is a function of both PMIS and OFS. The methods by which prioritization is completed vary between the two systems.

Prioritization in PMIS

In 2001 the PMIS Taskforce was approached by OMB regarding the decision making process being used to determine the highest priority project needs of the NPS. At that point in time, many parks were talking about their priorities by fund source. OMB directed the NPS to create a methodology that a park user could use to prioritize their needs without regards to fund source. Furthermore, they specified that this prioritization be completed in a Servicewide application in order to ensure consistency from park to park. Based on these stipulations a work group was convened. The group decided that prioritization would take place in two steps, **banding and numerical ranking**.

Park priorities in PMIS convey the relative importance of unfunded project needs to achieving and maintaining the park-specific desired future conditions of its resources and visitor experiences. Priorities should reflect the logical relevance of the individual operating funding needs to achieving the goals and objectives established in approved park management plans. The priorities set annually by each park are available to other stakeholders within and, potentially, outside the government, and therefore represent the Service's perspective on and directly influence the perspective of others on how it is addressing its stewardship responsibilities.

Prioritization is intended to demonstrate Servicewide accountability, that the NPS is funding our highest priority needs. The goals of prioritization are to reduce emphasis on fund sources and increase emphasis on needs. The OMB has stated that future increases in project funding will be contingent on the NPS improving its priority setting process for projects. The NPS must truly weigh priority of needs - not all projects are critical.

Park prioritization is completed on an annual basis per the Servicewide Comprehensive Call. Each year parks prioritize their project needs into a single numerical priority list. This park priority list represents that actual priority of project needs without respect to the budget climate (i.e. the budget target set for the NPS by OMB and DOI) or budget initiatives (i.e. the recent initiative to focus on the maintenance backlog). The park prioritization process for PMIS is two-fold – 1st part is the Servicewide banding of projects

and the 2nd part is the actual assignment of a park priority number. At a minimum, a park is required to assign a priority number to all high banded projects. The projects are to be prioritized, in one list, based on park need.

Banding sets an initial, relative order of importance for park projects, and illustrates functional areas where needs are critical and funding may be deficient. **Banding was our answer to OMB's request to have a universal Servicewide application to support park prioritization.** High, Medium & Low bands are assigned to compare relative needs of projects from park to park, Servicewide. Numerical Unit Prioritization is an absolute sequential ranking of park needs regardless of fund source, assigned consistent with the need for the most important unfunded component. Only those projects that have an assigned numerical park Unit Priority are considered for funding.

Parks throughout the NPS enter different volumes of projects. Some parks may have hundreds of needs they need to manage. Banding was initially implemented into PMIS to satisfy requirements issued by OMB. Use of banding allows users to look at their needs from a high level perspective and eases the difficulty of assigning priority numbers during the prioritization process.

Banding helps identify the relative priority of park needs by establishing the project's link to the mission and goals of the park, the urgency of the project, timing and efficiency, and the degree of stakeholder support. Banding is a logical, defensible and consistent Servicewide process that assists in determining the priorities of park/unit PMIS projects.

This section of the PMIS project entry requires users to choose answers in each of the seven banding criteria that most closely match project attributes. Responses to banding questions determine whether the need is placed in a high, medium, or low band. This indirectly impacts whether or not a park/unit, region, or program will need to prioritize that project need (i.e. approved, high banded projects must be prioritized by the park/unit).

Responses to banding questions always default to "not applicable." It is important for you to be aware of this and to select the most accurate responses as they apply to your project.

Inaccurate representation of project banding criteria (i.e. overemphasizing or underemphasizing) can cause "red flags" to be raised by internal (i.e. region or program) or external (i.e. OMB/DOI) entities, which could cause delays in getting your project through the approval process.

The seven **banding criteria** in PMIS are:

- Health and Safety
- Visitor Experience
- Threats to Resource
- Significance of Resource
- Judicial and Regulatory Mandates

- Provide for Information Needs, and
- Partnership and Stakeholder Support.

A brief explanation of each banding criterion follows:

Health and Safety

The degree to which the safety of employees or visitors will be impacted or impaired if the need is left unaddressed.

Visitor Experience

The degree to which visitor experience will be impacted or impaired if the need is left unaddressed.

Threats to Resource

The degree to which a resource will be impacted or impaired if the need is left unaddressed.

Significance of Resource

The degree of project significance to resources or activities identified in the enabling legislation or executive order establishing the park/unit.

Judicial and Regulatory Mandates

The degree of consequence for not responding to court orders or citations from a regulatory body.

Provide for Information Needs

The degree of importance of the information provided by the project.

Partnership and Stakeholder Support

The level of support from stakeholders or partnerships with a commitment of financial or in-kind assistance to aid in accomplishing the project.

Note that it is possible to have a project that banded low as one of your highest priorities.

Prioritization in OFS

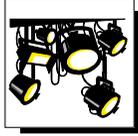
In OFS, just like in PMIS, park priorities convey the relative importance of unfunded operating needs to achieving and maintaining the park-specific desired future conditions of its resources and visitor experiences. Priorities should reflect the logical relevance of the individual operating funding needs to achieving the goals and objectives established in approved park management plans.

Prioritization in OFS, just like prioritization in PMIS, is completed on an annual basis per the Servicewide Comprehensive Call. Each year parks prioritize their operating needs into a single numerical priority list. This park priority list represents the actual priority of operating needs without respect to the budget climate (i.e. the budget target set for the NPS by OMB and DOI) or budget initiatives (i.e. the recent initiative to focus on the maintenance backlog). After parks finish prioritization in OFS, each region prioritizes requests for the parks within the region. Finally, the NPS is moving toward having a National priority list which prioritizes the top regional requests based on Servicewide initiatives and focus areas.

The OFS priorities set annually by parks, regions, and the Service are available to other stakeholders within and, potentially, outside the government, and therefore represent the Service's perspective on and

directly influence the perspective of others on how it is addressing its stewardship responsibilities.

In summary, the PMIS and OFS priorities of a park are based on what they feel their needs are and the pace at which they can accomplish them. However, priorities are funded based on the availability of funds. So it is possible for there to be monies in order to fund the 41st priority, but not the 1st priority. For example, General Management Plan funding is so limited that we can only fund a certain number of projects as compared to other fund sources, such as Cyclic Maintenance. Additionally, there may be a Servicewide Initiative, such as reducing the maintenance backlog, that require lower park and regional priorities in OFS to be funded before higher priority requests. Politics can have an impact – Congressional earmarks for OFS requests are very common. There have been times where a park's overall listing of needs has been substantially different from what is verbally communicated by park staff to the press, congressmen, auditors, etc. This is problematic because if we are not consistent in our information sharing we lose credibility with our stakeholders.



Data Quality

Objective 5. Become familiar with SCC checklists for PMIS and OFS requests in order to improve data quality.

The value and efficiency of PMIS and OFS are increased when users provide high quality, accurate, consistent, and timely information. Every piece of bad data entered into or correct data missing from the system decreases the overall value of the system for other users, at all levels, including outside interests such as DOI, OMB, and Congress.

It is very important that you always use professional discretion and care when entering data into PMIS and OFS.

Consistent, timely, and accurate information is important because it

1. Directly impacts the likelihood of obtaining adequate project and operating funds
2. Streamlines the data flow process (for obtaining information)
3. Promotes accountability by accurately identifying needs and tracking accomplishments
4. Documents the balance between actual funding and unfunded needs
5. Adds credibility to your particular request
6. Allows for accurate reporting to internal and external entities, and
7. Enhances the overall reliability of the database, since PMIS and OFS are interacting with other NPS computerized systems.

Due to the fact that PMIS and OFS are available any time, there are some precautions that must be taken when entering data to the system:

- Because all reports are real-time, it is important to update your data regularly and enter new needs as soon as they are identified.
- Collectively maintained data must be verified by someone in the park and/or region.
- All NPS users have easy access to PMIS and OFS and can generate reports that may be based on incomplete data.

PMIS Checklist for the SCC

- Look at projects with a draft status and confirm whether or not they should be forwarded for review
 - *To obtain **help information on the review of projects**, please reference PMIS eCourse 3 section 1.1 Park/Unit Review and Approval of PMIS Projects*
- Look at unfunded components and confirm whether any of them should have been marked funded (Remember that you must contact your regional PMIS Administrator to have an unfunded component marked funded).
 - *To obtain **help information on how to mark components funded**, please reference PMIS eCourse 4*
- Delete any projects/components which are no longer valid (i.e. duplicates, need no longer exists, etc.)
 - *To obtain **help information on how and when to delete projects and/or components**, please reference PMIS eCourse 3 section 3.2 PMIS Data Maintenance*
- Look at unsubmitted components where the project is park approved and prioritized to determine whether or not any of these components need to be submitted so the region can review them.
 - *To obtain **help information on how and when to submit components**, please reference PMIS eCourse 3 section 1.3 Submit Project Funding Components to the Region*
- Check the Requested Funding FY and ensure the entered year contains a year for the SCC or beyond (For example, for the SCC launched in October 2006, we should not see any unfunded components with a Requested Funding FY of 1900 to 2006)
 - *To obtain **help information on how to enter information into the Initial Planned FY and Requested Funding FY**, please reference PMIS eCourse 2 section “Project Funding Component” under Chapter 2*
- Check cost estimates to ensure they are still accurate. Entered costs should not have a date of estimate that is beyond the current date. Also ensure the date of estimate provided in PMIS is the date the estimate was created by the NPS or provided to the NPS by an outside authority (i.e. contractor)
 - *To obtain **help information on cost estimates**, please reference PMIS eCourse 2 section “Project Funding Component Cost Estimates” under Chapter 2*

- Check the current scope of the project and ensure it is still accurate. If changes are needed, ensure that the intent of the project does not necessitate the creation of a new project.
 - *To obtain **general help information on PMIS project and component entry**, please reference PMIS eCourse 2*

- Ensure all PMIS data fields at the project and component level, including but not limited to Congressional Districts and point of contact information, are complete and contain accurate information
 - *To obtain **help information on data quality and its importance**, please reference PMIS eCourse 1 section 1.3 PMIS Policies and Business Practices and PMIS eCourse 3 section 3.2 PMIS Data Maintenance*

- Ensure banding responses are accurate and supported by the project write up
 - *To obtain **help information on the banding process in PMIS**, please reference PMIS eCourse 2 section “Project Funding Component” under Chapter 2*

- Update project priorities if applicable
 - *To obtain **help information on the PMIS park prioritization process**, please reference PMIS eCourse 3 section 1.2 Park/Unit Prioritization of PMIS Projects*

- Ensure all facility projects have a FMSS parent work order with the associated data in the Facility Management Software System
 - *To obtain **help information on FMSS parent work orders**, please reference PMIS eCourse 2 section “Project Funding Component Cost Estimates” under Chapter 2*

- Ensure all facility projects have a designation of historic or non historic
 - *To obtain **help information on when to designate historic vs. non historic**, please reference PMIS eCourse 2 section “Primary Asset Type and DOI Criteria” under Chapter 2*

- Ensure all components have eligible funding category selections which support the project and component scope of work. If applicable, also ensure that all required criteria has been provided
 - *To obtain **help information on the selection of eligible funding categories**, please reference PMIS eCourse 2 section 3.1 Specify Eligible Funding Categories*

- If the project involves facility related deferred work, ensure an applicable percentage for deferred maintenance has been entered in the DOI criteria and is support by the project write-up. Be sure that

deferred maintenance has been selected as an emphasis area for the project.

- *To obtain **help information on required elements to specify on deferred work**, please reference PMIS eCourse 2 section “Primary Asset Type and DOI Criteria” under Chapter 2 and PMIS eCourse 2 “Project Type, Activities, Assets, and Emphasis Areas” under Chapter 2*
- Ensure all funded components have a an up-to-date status report and if applicable, the completion report is completed.
 - *To obtain **help information on how to enter status and completion reports**, please reference PMIS eCourse 2 section 3.5 Status and Completion*

OFS Checklist for SCC

- Look at the OFS Administrators for your park or region and delete any user profiles which are no longer valid.
 - *To obtain **help information on how to edit/delete user profiles**, please reference OFS Training Presentation page. 12-13, at http://classicsinside.nps.gov/budget3/scc/FY_2008/FY_2008_OFS_Page.htm*
- Look at unfunded OFS requests and delete any operating requests which are no longer valid (i.e. duplicates, need no longer exists, etc.)
 - *To obtain **help information on how and when to delete operating requests**, please reference OFS Training Presentation page. 61*
- Check cost and FTE estimates for valid OFS requests to ensure they are still accurate (adjust costs for any pay increase that occurred since the cost estimate was entered).
 - *To obtain **help information on Cost Estimates**, please reference OFS Training Presentation page. 52-55*
- Ensure all components have PWE selections which support the operating request in a broad, activity-based approach. Certain OFS records may have a variety of PWEs in the funding components, such as requests to operate new facilities, maintain new lands, or operate new units. All other OFS requests should focus on one of the core activities performed by the NPS and should contain PWEs for only one or two related functions: facility maintenance (MW*), operational maintenance (MZ*), law enforcement (LZ*), resource protection (PZ*), interpretation (IZ*), cultural resource management (CZ*), or natural resource management (NZ*). Of course, support costs (SZ*) can be associated with all requests.
 - *To obtain **help information on the selection of PWEs**, please reference OFS Training Presentation page. 56*
- Ensure all data OFS data fields at the detail sheet and component levels contain complete and accurate information. This includes, but is not limited to, Servicewide Initiative, GPRA Goals, Request Type and Budget Driver.
- Check the Earliest Funding Year and update it if the need for the increase has been delayed (i.e. if a construction project for a visitor center was delayed so the need to operate the visitor center is also delayed). Otherwise, DO NOT update the Earliest Funding Year –

updating it could hinder the chances of a park receiving funding through Congressional Add-Ons.

- *To obtain **help information on Earliest Funding Year**, please reference OFS Training Presentation page. 40*
- Update priorities if applicable.
 - To obtain help information on the OFS prioritization process, please reference OFS Training Presentation page. 78-83



Status & Completion Reports

Objective: 6. Describe how status and completion reports function within PMIS and how they relate to Project Funding Components.

Status and Completion Reports in PMIS*

Status and completion reports provide park/units, regions, and WASO with a means of obtaining timely and accurate information about progress made on Project Funding Components. This level of reporting enables the NPS to defend and/or justify money spent to date and demonstrate the return on investment from the work done. If the parks and program managers maintain current and accurate information in the status and completion report sections of projects, then regions and WASO program managers can respond to inquiries for information without requiring field level work. Many programs have required annual reporting on project completion. This helps to minimize the need for short turn-around reports by project or field managers.

Functions:

- 1.) Provide park/units, regions, and WASO with information for Project Funding Components.
- 2.) This enables the NPS to defend and or justify money spent to date and demonstrates the return on investment from the work done.
- 3.) This in turn minimizes the need for short turn-around reports from project or field managers by providing regions and WASO with current and accurate information.
- 4.) Status and completion reports also conclude the theoretical “lifecycle” of managing a project or need. When you enter your need into PMIS as a project, you talk about your justification for doing the project and the measurable results you will use in order to gauge whether or not you are successful. When you get to the point of doing your status and completion reports, you are looking at whether or not you accomplished the measures you outlined in your measurable results.

- 5.) The information provided by the field in Status and Completion Reports by the WASO Program and Budget offices is used to create numerous, formal reports such as the Waidman Report , which requires the NPS to show the status of all PMIS deferred maintenance projects worked on in the last 5 years. Status and completion reports may also be tied to continued funding of programs such as CRPP. Regions without these may lose CRPP funding.

*Status and Completion Reports do not apply to OFS, so this information applies only to PMIS.

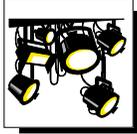
The business practice for completing status reports:

Status reports should be done within one year from the point in which they are marked funded. There are numerous programs (repair/rehab, recreation fee, etc.) which require the reports to be entered more frequently—i.e. quarterly. Completion reports should be completed within 30 days from the point in which work on a component is deemed “complete.”

According to the PMIS Task Force, the definition for component completion is “The work on the component is considered completed when one or more of the following conditions are met (1) all money is expended, and/or (2) work is substantially completed and/or there is beneficial occupancy/use.” Since the information within status and completion reports holds such a high degree of importance, you should not wait until the SCC window in which to enter them.

Status and completion reports may also be linked to NPS Focus. PMIS users have the ability to link photos, diagrams, drawings, and text to both status and completion reports. Attaching photos to status and completion reports is an especially effective method of improving data quality. NPS Focus can also be used to link to a longer more comprehensive completion report or a written product of the project such as a Historic Structures Report.

Up to two of these items can be linked to each status report. There is no limit on the number of status reports which can be associated with each component. Only one of these items can be linked to the completion report. Only one completion report can be associated with each component.



Closing Remarks

Three TELNPS courses on PMIS and the NPS budget process are planned for 2006. Dates and course titles are:

- 1.) April 26, 2006 PMIS Town Hall Meeting
- 2.) August 30, 2006 Understanding the NPS Budget Cycle: SCC
- 3.) October 25, 2006 Creating an Effective PMIS Entry

The third course is designed for all NPS employees who use PMIS or have an interest in learning about it. This course will teach participant components of an effective PMIS entry, emphasizing planning, data quality, and integration with the NPS budget cycle.

Thank you for participating in the SCC class. If you have further questions for the instructors, they may be reached at the following email addresses.

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