

# TEL Participant Guide

**Competing Effectively in a Shrinking Budget Environment:  
How to Write a Better OFS Request**

**December 2009**



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# Competing Effectively in a Shrinking Budget Environment: How to Write a Better OFS Request

December 11, 2009



## WASO and OFS

- WASO formulates NPS' operational needs based on what is in OFS
- For consideration, requests must be approved and prioritized by the parks and regions
- **Throughout** the budget cycle, the NPS uses OFS to respond to information requests. For example,
  1. How many unfunded law enforcement positions does the Service have?
  2. Does the NPS have any operational needs related to coral reefs?

## WASO and OFS



- It is critical that (unit-approved) OFS requests be accurate, up-to-date, and well-justified so that all levels of the NPS can rely on the information and provide consistent, credible information to our many audiences.
- WASO assumes that OFS contains all regionally approved and prioritized records to accommodate unfunded needs sufficient for the next three to five years...if it is not in OFS, we do not know you need it.

## OFS Guidelines



### **No More Wish Lists!**

- All components of the request should have a common purpose
  - Reasonable administrative costs may be included
  - New responsibilities or facilities are an exception and may include all operational aspects
- Targeted requests are easier to justify and defend

## OFS Guidelines



### **Concise Descriptions – see examples**

- Reflects the current situation
- Focus on tasks to be accomplished (not positions)
- Spell out acronyms and define jargon
- Include increased performance
- Avoid whining!

## OFS Guidelines



### **Appropriation**

- Operation of the National Park System (for parks)

### **Request Type**

- Park Base or GSA Space – Park
- Regional Base or GSA Space – Region

## OFS Guidelines



### **Servicewide Initiatives**

- Select an initiative only if the request fulfills the criteria
- When relevant, mark 'Collaborative Effort' and specify which parks will share the resource in the request
- Initiatives have been updated to reflect current administration

## OFS Guidelines



### **Budget Drivers**

- Categorizes the reason behind the increase
- Use one to three budget drivers
- Must total 100%
- When relevant, mark 'New area / lands / facilities, etc.' and clearly explain the new responsibility

## OFS Guidelines



### Funding Component – FTE

- Should be included when:
  - Existing FTE has not been base-funded previously
  - Position existed but was not filled (restoration)
  - Position is new
- OMB continues to scrutinize FTE closely
  - If it is a seasonal / STF, request proportional FTE
- New FTE commit the NPS to find funding in out-years for pay raises, benefits, etc.

## OFS Guidelines



### Funding Component – Cost Estimates

- Formulate estimate for SCC FY, not current FY
- Update cost estimates annually
  - Personnel costs: 3.5%
  - Non-personnel costs: 2%

## OFS Guidelines



### Funding Component – PWE Selection

- Park Base Requests – only use Z or W as fund source
- Regional Base Requests – only use Y as fund source

## OFS Guidelines



### Performance – Link Funding to Performance

- Identify the GPRA goal associated with the request
- Quantify the measurable results from the increased funding:
  - How many additional acres will be treated/ visitors served/ archeological sites protected?
- If more than one goal will be served, identify the percentage per goal (total 100%)

# OFS Guidelines



## Priority Justification – see examples

- NPS Scorecard
- Park Asset Management Plan
- Business Plan

*To budget is to assign finite resources  
to the highest priority work.*

# OFS



Questions?

## OFS Concise Description and Justification Examples

### ORIGINAL

#### \$50,000 and 1.0 FTE to Provide Core Operations in Administrative Support

Comment [LMB1]: Explain role of FTE

Funding is requested to support increased administrative responsibilities. Increased administrative responsibilities have required park staff to spend less time on core maintenance, forcing division chiefs to choose between focusing on the needs of the day and the needs of the future. Funding this request would enable the park to meet the challenge of providing visitors with well maintained and clean facilities while also bringing FMSS and PAMP systems into compliance with NPS standards to improve the accountability of park operations. Funding this request would allow the parks to properly plan for the future and maintain information that supports park management decisions and budget expenditures.

Comment [LMB2]: No whining!

Comment [LMB3]: Spell out

### REVISED

#### \$50,000 and 1.0 FTE to Provide Core Operations in Administrative Support

Funding is requested to support increased administrative responsibilities. Funding this request would enable the park to meet the challenge of providing visitors with well maintained and clean facilities while also bringing Facility Management Software System (FMSS) and Park Asset Management Plan (PAMP) systems into compliance with NPS standards to improve the accountability of park operations. The position will be primarily responsible for the maintenance and upkeep of the park's FMSS records as well as general park administrative support. Funding this request would allow the parks to properly plan for the future and maintain information that supports park management decisions and budget expenditures.

Comment [LMB4]: Spell out acronyms - good!

**ORIGINAL**

**\$105,000 and 2.0 FTE to Restore Core Operations for Interpretation and Resource Management**

**Comment [LMB5]:** Consolidate into one paragraph

**Comment [LMB6]:** Start title with a verb

The park requests \$105,000 to restore core resource management and interpretative outreach programs. This funding will also provide critical training needed to properly maintain the park's new sewage lagoon system.

**Comment [LMB7]:** Begin with "Funding is requested to..."

**Comment [LMB8]:** Use conditional "would" rather than future "will"

This funding will improve performance related to controlling invasive plants that now impact over 400 acres and threaten the park. The measurable outcomes of the additional funding would be the ability of the park to meet Goal 1a1B as well as park specific goals for inventory and monitoring, erosion control, and wild land fire management.

**Comment [LMB9]:** What specifically? Percentage or number of acres that will be controlled?

**Comment [LMB10]:** What are the goals for I&M, erosion control, and wild land fire management?

Funding will add an Educational Technician who will support learning opportunities and provide outreach educational services to youth. Educational outreach is a core, key to mission service the park should provide but currently cannot afford.

**Comment [LMB11]:** How many youth will be reached?

**REVISED**

**\$105,000 and 2.0 FTE to Restore Core Operations for Interpretation and Resource Management**

Funding is requested to restore core resource management and interpretative outreach programs. This funding would also provide critical training needed to properly maintain the park's new sewage lagoon system. Funding would improve performance of controlling invasive plants that now impact over 700 acres and threaten the native species of the park. Funding would enable the park to increase the number of acres of controlled invasive plants from 30 to 60 per year. Funding would also allow the park to meet park specific goals for inventory and monitoring which include preserving natural resources, maintaining processes, systems, and values of through science-based management. Funding would provide erosion control of the cinder cone and wild land fire management. Funding would allow additional support for learning opportunities and provide outreach educational services to an additional 3,000 youth per year. Educational outreach is key to the mission of the NPS and with additional funding, *Park X* would increase the number of visitors who are informed and impacted by the natural resources that have been preserved for their education and enjoyment.

**Comment [LMB12]:** Performance - good!

**Comment [LMB13]:** Quantitative - good!

**ORIGINAL**

**\$500,000 and 8.0 FTE to Preserve and Interpret Resources at Newly Acquired Properties**

This funding would protect and provide for resource preservation and visitor services for existing and newly acquired properties in multiple and separate locations, contributing to meeting GPRA goals 1a5, 1a7,1a1b, 11a1, 11a2,11b1,1a8,1b2a,1b2c. The park's size has almost tripled from 736 acres to 1,943 acres since FY 2000 with acquisitions at Cold Harbor, Totopotomy Creek, Malvern Hill, and Glendale battlefields. The park cannot ensure accountability for these resources. Funds are needed especially for the ca.1735 brick mansion house where Patrick Henry was married. Congress in 2000 recognized the lack of protection for resources and authorized a specific boundary and the use of federal money to buy lands therein; the Congress authorized \$2 million for land acquisition at *Park X*. Much of the new land has actually been donated and more is in the pipeline. Funding would allow for inventory, assessment, repair, and monitoring of the newly acquired natural, historic, and archeological resources. The proposal would allow for systematic, coordinated, and sustained professional resource management and cultural landscape treatment projects. Visitor services would be provided.

**Comment [LMB14]:** Begin with "Funding is requested to..."

**Comment [LMB15]:** typo

**Comment [LMB16]:** Do not list GPRA goal numbers, rather state what the funding would do to accomplish the written goal.

**Comment [LMB17]:** Remove negative statements. No whining.

**Comment [LMB18]:** Remove jargon

**REVISED**

**\$500,000 and 8.0 FTE to Preserve and Interpret Resources at Newly Acquired Properties**

Funding is requested to provide resource protection and visitor services for existing and newly acquired properties. With acquisitions at *location 1, location 2, location 3 and location 4* in 2000, the park's size has almost tripled from 736 acres to 1,943 acres. The recently purchased and donated land is in seven separate locations spanning two counties. Funding would allow for inventory, assessment, repair, and monitoring of the newly acquired natural, historic, and archeological resources, and for systematic, coordinated, and sustained professional resource management and cultural landscape treatment projects. This request would contribute to increased levels of historic structures, cultural landscapes, and archeological resources in good condition, and would also contribute to higher levels of visitor satisfaction.

**Comment [LMB19]:** Stated the facts and did not whine - good!

**ORIGINAL**

**\$415,000 and 8.7 FTE to Provide Core Operations in Visitor Services and Maintenance**

Comment [LMB20]: High number of FTE.

Funding is requested to provide visitor services and operational maintenance. Funding will be used to serve, operate, and maintain Park X's three visitor centers, 11 information stations, and other education-related facilities. The visitor services provided with increased funding will include interpretive programs at location 1, location 2, and location 3, and increased service hours at the park's main visitor center to improve response time to e-mail and phone information requests. In support of increased interpretive operations at visitor centers, kiosks, and amphitheaters, additional funding is needed for improved janitorial services and increased utility (electricity, water, wastewater, and solid waste) costs. This increase for operations and maintenance will improve visitor satisfaction and allow park staff to reach an additional 265,000 visitors.

Comment [LMB21]: Too long. Character limit in OFS.

Comment [LMB22]: "would" not "will"

This request will help Park X meet Centennial Challenge "Education" and "Recreational Experience" goals by providing staff and resources necessary to operate and maintain Park X's 3 large visitor centers, 11 information stations and other education-related facilities. Funding has decreased significantly over the last 12 years due to increases in fixed costs, COLAs, and replacing CSRS with FERS employees. Park X's ability to provide education and orientation for safe visitor recreational experiences is inadequate to achieve satisfactory levels of visitor understanding and facilitated programs attendance. Restoring operations to 1995 levels will allow us to reach 265,000 additional visitors (40% increase).

Comment [LMB23]: Can delete paragraphs two and three because paragraph one provides enough information

Comment [LMB24]: No references to former Administration

Comment [LMB25]: Stated above.

Comment [LMB26]: No whining.

Comment [LMB27]: Stated above.

Restored seasonal maintenance personnel will maintain visitor centers, information stations, and education facilities at or above NPS standards. Routine maintenance necessary to provide a safe, enjoyable visitor experience and to prevent deterioration of visitor facilities will be partially restored. Funding this request will increase recreational and educational opportunities, visitor satisfaction, safety, and understanding – integral parts of protecting Park X's alpine, rain forest and coastal ecosystems.

**REVISED**

**\$415,000 and 8.7 FTE to Provide Core Operations in Visitor Services and Maintenance**

Funding is requested to provide visitor services and operational maintenance. Funding would be used to serve, operate, and maintain Park X's three visitor centers, 11 information stations, and other education-related facilities. The visitor services provided with increased funding would include interpretive programs at location 1, location 2, and location 3, and increased service hours at the park's main visitor center to improve response time to e-mail and phone information requests. In support of increased interpretive operations at visitor centers, kiosks, and amphitheaters, additional funding is needed for improved janitorial services and increased utility (electricity, water, wastewater, and solid waste) costs. This increase for operations and maintenance would improve visitor satisfaction and allow park staff to reach an additional 265,000 visitors.

Comment [LMB28]: Explaining what FTE would do – good!

Comment [LMB29]: Explaining what FTE would do – good!

Comment [LMB30]: Explaining what FTE would do – good!

## OFS Priority Justification Examples

**Example 1:** Although park ABCD scored below average for both park-wide efficiency and performance in the Scorecard, this funding request is regional priority #10. Based on the Programmatic measures in the Scorecard, the Natural Resources division scored average or above average on measures such as overtime, permanent staff as a percent of total FTE, and labor costs as a percent of base. However, the park scored below average for percent invasive plant species areas contained. Providing funding for seasonal natural resource employees to mitigate exotic plant species would reward the park for efficient natural resource management and would result in improved performance in containing exotic plant species.

**Example 2:** In an FY 2005 park planning exercise, the park management team identified a base-labor-costs-to-total-base-obligations ratio goal of 80%, and developed a position management plan to help achieve that target. Having tailored their hiring over the past four years, the park has successfully lowered its base labor ratio from 87% to 80% by increasing its use of flexible employment options and resource-sharing with other parks (see UF03 measure results from FY 2005-FY2008). Providing funding for a safety officer, whose services would be shared with the five other parks listed in the Supporting Information, will help this park and others improve visitor and employee safety, measures that have trended upwards as the parks' urban interface has grown.

**Example 3:** Park ABCD completed a Park Asset Management Plan in FY 2007, in which this facility operations funding gap was identified. Following completion of the PAMP, the park took steps to remedy the structure of its accounts through correct use of Primary Work Elements (PWEs), and its FY 2008 Scorecard Facility Maintenance and Facility Operations Categories accurately reflect the spending patterns in each. Prior years' spending was entirely accounted for under Facility Maintenance. The Scorecard also shows the low Visitor Satisfaction with Park Facilities rating received for the last several years. The two additional facility operations seasonals in this request would be dedicated to improving the visitors' experience by increasing attention on high visitor use areas.

## Definitions of Servicewide Initiatives

Chesapeake Bay Initiative: Operational activities relating to protecting and restoring the Chesapeake Bay such as fostering citizen stewardship and increasing public access.

Civil War Sesquicentennial: Operational activities relating to the 150<sup>th</sup> anniversary of the Civil War. Years include 2011-2015. Some of the over 70 parks in the system which have resources related to the history of the Civil War include Antietam NB, Gettysburg NMP, Valley Forge NHP, Manassas NBP, Shenandoah NP, Vicksburg NMP, Petersburg NB, Harpers Ferry NHP, Stones River NB, etc. For a complete list of parks, visit <http://cwar.nps.gov/civilwar/cwparks.html>.

Climate Change: Operational activities related to mitigating climate change such as the landscape conservation cooperatives (parks in coastal/marine, high latitude, high elevation, and arid lands environments), identifying climate impacts, developing and implementing climate change management strategies and park-specific land, water, and wildlife, adaptation plans.

Collaborative Effort: Operational activities that reflect a collaborative effort among parks such as positions or programs that serve more than one park, etc. (this does not apply to partnerships or regional office/program requests).

Great Lakes Initiative: Operational activities related to the Great Lakes Restoration Initiative and restoring the ecological health of the Great Lakes region. Activities could include invasive species, wildlife and habitat restoration, monitoring and evaluation, and nearshore pollution.

Education: Operational activities related to visitors and their understanding of natural and cultural resources and enhancing service learning opportunities with the educational community. This initiative is one of the four goals of Director Jarvis. See YOUTH for possible co-initiative.

Invasive Species Management: Operational activities that monitor and mitigate invasive and exotic plant and animal species disturbances on park lands and restore native species.

National Security/Anti-Terrorism: Operational activities directly related to combating the threats posed by groups or individuals to the protection and safety of park visitors, park employees, and federal facilities. In the “Concise Description and Justification” field, please indicate the level of threat that would be supported by the increase (i.e. yellow, elevated yellow, orange).

National Trails Initiative: Operational support for national scenic and historic trails administered by the NPS.

Oceans: Operational support to expand mapping and monitoring, to remove and dispose of marine debris, to assess coral systems, and to partner with states on regional challenges.

Relevancy: Operational support related to helping Americans, especially young people; discover personal connections to their national parks. Connections could be made in person or through enhanced technology. This initiative is one of the four goals of Director Jarvis.

Safe Borderlands: Operational activities designed to ensure safety for employees, visitors and residents, improve communication, enhance interagency coordination, and mitigate environmental damage at parks units along our international borders.

Stewardship: Operational activities related to stewardship of our natural and cultural resources through management and science, creating partnerships with other land managers, and enhancing energy and water conservation. This initiative is one of the four goals of Director Jarvis.

Vanishing Treasures: Operational activities designed to reduce threats to prehistoric and historic sites and structures at specific parks in the IM and PW regions. Increases may be entered at the park level to rebuild a skilled workforce able to maintain and care for these sites and structures. Increases may also be entered at the regional level for the preservation treatment project program and for management and oversight. Questions on this initiative may be addressed to Glenn Fulfer, Servicewide Vanishing Treasures Program Coordinator.

*Workforce Management*: Operational activities relating to welfare and safety of employees, training, succession planning, and employee recognition. This initiative is one of the four goals of Director Jarvis.

*Youth*: Operational activities related to the employment of youth between the ages of 15-25 in the conservation, maintenance and management of natural, cultural, historical, archeological, recreational, and scenic resources under the jurisdiction of the NPS. In organized education programs across the Service, youth is defined as ages 6-25. This initiative is one of the four goals of Director Jarvis.

## Writing an Effective OFS Concise Description and Justification

To write an effective OFS budget justification, follow the 5-bullet format. If you write one sentence that addresses each of the five bullets you will have an OFS request that provides all the essential information.

### 1. State the operational need

Generally speaking, OFS requests should talk in terms of the operations in the park, not in terms of staffing. So instead of a first sentence stating “Increased LE Staff needed to meet increasing pressures as a result of changing conditions and outside influences.” You should explain what the staff would be doing. For example: “Funding is requested to expand law enforcement patrols.”

### 2. Indicate why the operational need exists

In this sentence you should provide the justification for the budget request. Think about what is forcing the budgetary squeeze. In the example, the operational need is an increased law enforcement presence. Why? Has illegal activity increased? Does the park require more frequent patrols to protect the resource? Sometimes OFS justifications contain the phrase “as a result of changing conditions and outside influences.” A good second bullet explains what that means.

### 3. Explain how funding will be used

In this bullet, list the functions you would put into the Position Description of the law enforcement rangers you would hire. Will they have visitor contact? Will they do remote patrols? Do they coordinate activities with other agencies like the Coast Guard?

### 4. Quantify outputs allowed by funding

This is the performance bullet (without ever mentioning GPRA!) In this sentence explain the incremental services that will be allowed from this additional funding. Look for anything that might quantify the increased function. Will you increase patrols to 24 hours a day? How many miles of border and highway will be patrolled? How many visitors will be served?

### 5. Project resulting outcomes

What will be better at the park if you are able do what you want? Will visitors or rangers be safer? Will illegal activity be forestalled? Will the resource be better conserved?

## **Skeleton for Writing an Effective OFS Concise Description and Justification**

**CONCISE DESCRIPTION AND JUSTIFICATION:** This field in OFS is an abstract for the funding request and is limited to 1,250 characters. This VERY important field will most likely be the narrative that is forwarded in the NPS annual budget request to Congress (the Green Book). Please provide as much information as possible within the space allotted but avoid abbreviations or unexplained acronyms. Use this skeleton as a tool for writing your budget justifications.

**1. State the operational need**

**2. Indicate why operational need exists**

**3. Explain how funding will be used**

**4. Quantify outputs allowed by funding**

**5. Project resulting outcomes**

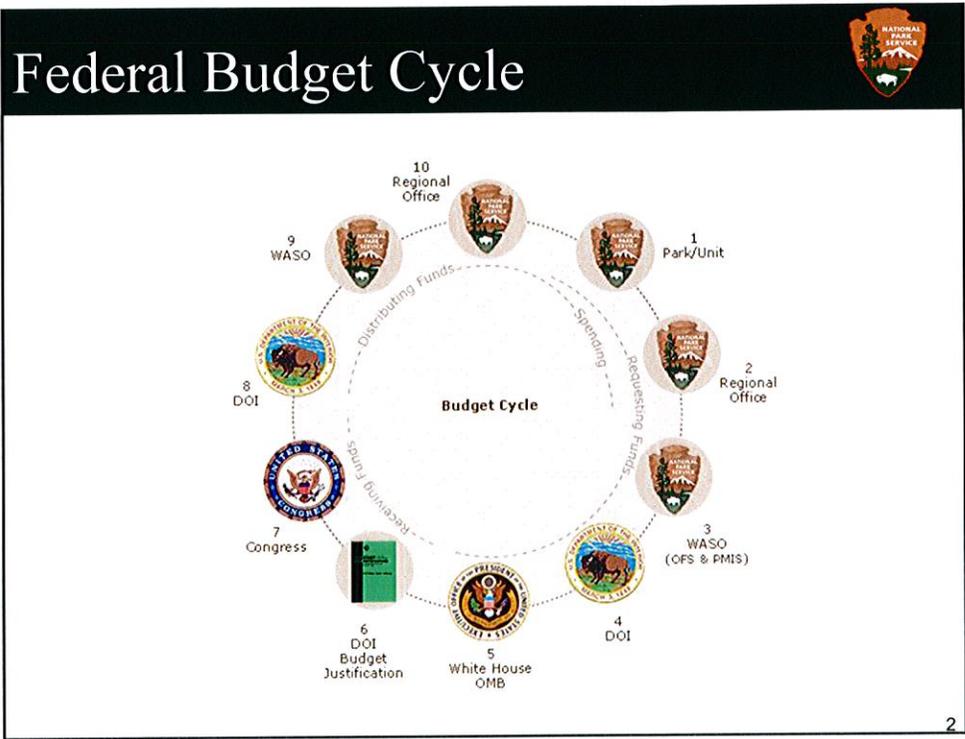
**SUPPORTING INFORMATION:** This field in OFS can be used to continue and/or expand the Concise Description and Justification. If you have additional background material, supporting statistics, or other information that was not included in the Concise Description and Justification, it should be included in the Supporting Information field. This field should NOT contain material duplicative of the Concise Description and Justification.

## 10 Helpful Hints For Writing a Good OFS Concise Description and Justification

1. Speak to actions, not positions being filled. Do not say funding would be used to hire a maintenance laborer; instead, say that funding would be used to better maintain trails in order to eliminate safety hazards.
2. Avoid cataclysmic predictions. Try not to use words "irreversible" or "irreplaceable". A park with a \$20M budget should not say a cut of \$0.05M will result in fatalities. We certainly hope not.
3. Similarly, if you paint a desperate picture, with dire consequences of non-funding, remember that someone may ask why you are not taking care of the problem within your base instead. Anyone can find "waste" in anyone's budget; it's a matter of perception. Remember that while OFS is an internal system, it is the basis for answering queries from outside parties and public documents.
4. Avoid the trap of requesting funds because simply because it will restore programs that were once funded. Presumably, a park, regional and servicewide managers make informed decisions and would not have cut back something that was not the lowest priority or less valuable than other activities.
5. Do not trot out the old "meet NPS standards" line. Operating at NPS standards is admirable; however, without context or definition, it tells the reader nothing. It is better to prevent deterioration, correct safety hazards or educate additional visitors than to meet standards.
6. Be quantifiable, use performance measures, outputs and outcomes but don't overload the Concise Description and Justification field with too many numbers. Walk the fine line.
7. Avoid jargon, abbreviations and acronyms. Remember that it is important for the reader to understand the prose. The members of Congress are your eventual audience—will they understand your request as written?
8. Use the conditional "This request would" rather than the simple future "This request will." This is purely a convention, is arbitrary and capricious, and is not subject to debate.
9. Write clearly. A sentence should contain no unnecessary words and a paragraph no unnecessary sentences. Winston Churchill once remarked, "I did not say: 'Hostilities will be engaged with the opposing forces near the proximity of the coastal perimeter'; the message was much more effective as simply 'we will fight them on the beaches'."
10. Put yourself in the position of the person reading the narrative. Would you understand the issues being discussed if you did not know anything about the park or program? Can you tell what the money would be used for? Is the increase really clear, or does it beg more questions?



# The Federal Budget Process

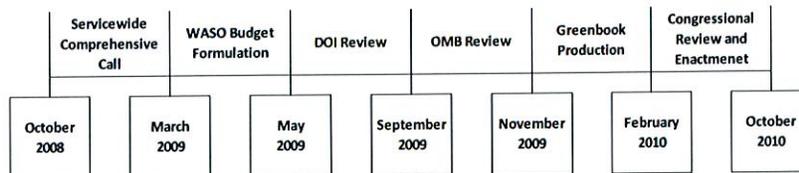


The task of obtaining funding for the parks is a long journey, with many steps along the way. The need for funding originates at the park in the form of a request in OFS or PMIS, works its way up through the Region and WASO, then the Department and OMB, to be presented to Congress. If the request continues to move forward through each level of review successfully, it will return to the park as funding.

# Federal Budget Timeline



Fiscal Year 2011 Budget:  
Two Years in the Making



- Since a single budget cycle takes more than two years to complete, there may be as many as three different active budgets at one time.
- For example, while the budget office was allocating the FY 2009 enacted budget, Congress was reviewing the FY 2010 budget request, and the NPS was beginning formulation of the FY 2011 budget.

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The NPS budget cycle lasts two or more years from formulation to appropriations for any given fiscal year. The creation of our FY 2011 budget, started back in October of FY 2008 with the Servicewide Comprehensive Call and will be completed in February 2010 when we submit our Greenbook to Congress. With any luck, we will have an enacted appropriation before the start of the new fiscal year. If enactment of our appropriations bill is delayed, it will negatively affect the timely allocation of funding to parks as it did in FY 2008.

# Servicewide Comprehensive Call



- Parks and offices enter needs in OFS and PMIS.
- Regions and WASO program areas review and prioritize.

4

During the Servicewide Comprehensive Call, parks and program offices enter operations funding needs into the Operations Formulation System (OFS) and project funding needs into the Project Information Management System (PMIS). Regions and Directorates review and prioritize OFS and the National Leadership Council provides input to servicewide goals.

# WASO Budget Formulation



- Consider guidance and budget target from OMB
- Incorporate goals and emphasis areas of leadership
- Review and analyze OFS requests
- Present budget outline to the National Leadership Council (NLC)
- Submit budget request to DOI

5

Every year, the executive branch's Office of Management and Budget issues budget guidance and assigns targets for each Agency for the upcoming formulation process. Based on this, the Department's budget office will then craft guidance and assign targets to each bureau. We must consider this direction, while incorporating funding that will help reach the needs of the parks and the goals of NPS leadership. The Comptroller will then present the planned budget request to the National Leadership Council (NLC). The NLC is comprised of the Director, the seven regional directors and the Associate Director for each program area. Once the NLC approves the budget outline, the Budget Formulation division creates the budget request to DOI.

# Budget Formulation



## Budget Targets

	Dollars in Millions
Prior Year Budget	2,413
NPS Target	2,325
Reduction Needed to Hit Target	-88
NPS Needs	
Fixed Costs	50
OFS Increases	30
Other Programmatic Changes	<u>20</u>
Total NPS Needs	100
<b>Total Reduction to Existing Funding</b>	<b>-188</b>

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Only an example: If the prior year budget is \$2,413 million and our target from OMB is set at \$2,325 million we must reduce items included in our previous budget by \$88 million just to hit target. To cover our estimated personnel related fixed cost increase needs, we would need to find an additional offset of \$50 million. Additionally, we would have to offset existing funding even further to include any operational increases.

## DOI Review



- Balance budgets among bureaus to meet target for DOI.
- Incorporate Secretarial initiatives and funding for Interagency ventures.
- Develop overarching themes.

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The Department's budget office must review the budget proposals of all Interior bureaus and balance the overall request to meet targets assigned by OMB. If a bureau comes in over target, another bureau or Departmental office may have to be offset to compensate. The Department develops overarching themes for the comprehensive budget request, taking into consideration the needs of each bureau, the Secretary's goals, and interagency projects. After the review is complete, the Department's budget office will "passback" their decisions on our budget request. This may include decreases or increases not previously requested or may not include items that were requested. Within a short window, usually about a week, Budget Formulation has a chance to appeal the Department's decisions presented in the passback. After the appeal process is complete and passback decisions are final, Budget Formulation prepares the NPS budget submission to OMB.

## OMB Review

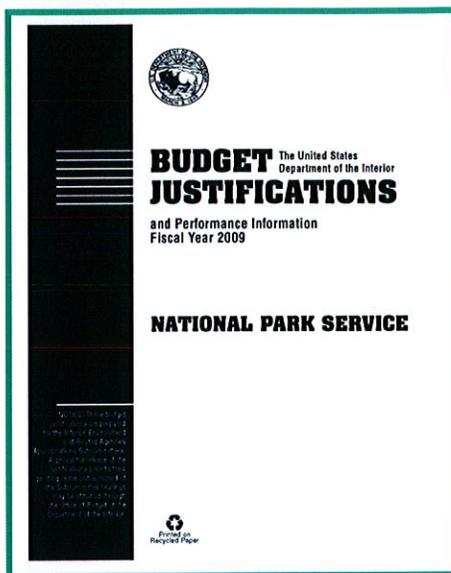


- Incorporates Administration initiatives.
- Reflects Administration economic policy.
- Aims to be performance driven or results oriented.

8

The NPS budget request cannot make it to Congress without first going through the Office of Management and Budget (OMB). OMB is responsible for devising and submitting the president's annual budget proposal to Congress. The former NPS OMB examiner is Craig Crutchfield and the current NPS OMB examiner is Nicole Fernandez. During OMB review the Administration's policy and objectives are integrated into our budget. OMB looks to approve increases justified by improved performance that can be quantified. Similar to the DOI submission, OMB presents us with a budget passback which we can also appeal, subject to the approval of the Department. Once OMB, the Department, and the NPS come to agreement on the budget request we prepare our budget justification to Congress also known as our "Greenbook."

# NPS Budget Justifications



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The NPS Budget Justifications serve as the formal request to Congress for funding. The justifications contain descriptions or mention of almost every program or function the Park Service serves and communicates the future plans of the Service to Congress. The Greenbook incorporates performance information including actual data and outyear targets on a Servicewide basis. Beyond the request for discretionary appropriated funds, it also includes projections of revenues or mandatory authority that will be available.

# Appropriation Language



National Park Service

FY 2009 Budget Justifications

## OPERATION OF THE NATIONAL PARK SYSTEM

### Appropriation Language

For expenses necessary for the management, operation, and maintenance of areas and facilities administered by the National Park Service (including expenses to carry out programs of the United States Park Police), and for the general administration of the National Park Service, \$2,131,529,000, of which \$9,851,000 is for planning and interagency coordination in support of Everglades restoration and shall remain available until expended; of which \$99,586,000, to remain available until September 30, 2010, is for maintenance, repair or rehabilitation projects for constructed assets, operation of the National Park Service automated facility management software system, and comprehensive facility condition assessments; of which \$2,343,000 is to be derived from the Land and Water Conservation Fund; and of which \$1,879,000 shall be for the Youth Conservation Corps for high priority projects.

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Example from FY09 GB.

# By Function: The Matrix



APPROPRIATION/ACTIVITIES/SUBACTIVITIES/Program Components	FY 2008 Enacted	FY 2009 Enacted	FY 2008 Adjusted Enacted	FY 2009 Adjusted Enacted	FY 2010 Fixed Cost Changes	FY 2010 Transfers	FY 2010 Program Changes	FY 2010 Greenbook	Total Change from FY09
<b>OPERATION OF THE NATIONAL PARK SYSTEM</b>									
<b>PARK MANAGEMENT</b>									
<b>RESOURCE STEWARDSHIP</b>									
Natural Resource Stewardship	211,686	225,290	192,038	205,642	+3,205	0	+19,731	228,578	+22,936
Cultural Resource Stewardship	102,649	111,555	91,487	100,393	+1,813	0	+6,562	108,768	+8,375
Everglades Restoration and Research	9,809	9,851	9,809	9,851	+131	0	0	9,982	+131
<b>Subtotal Resource Stewardship</b>	<b>324,144</b>	<b>346,696</b>	<b>293,334</b>	<b>315,886</b>	<b>+5,149</b>	<b>0</b>	<b>+26,293</b>	<b>347,328</b>	<b>+31,442</b>
<b>VISITOR SERVICES</b>									
Interpretation and Education	214,024	229,867	197,432	213,275	+4,529	0	+15,741	233,545	+20,270
Commercial Services	11,281	11,572	12,683	12,974	+283	0	+584	13,841	+867
<b>Subtotal Visitor Services</b>	<b>225,305</b>	<b>241,439</b>	<b>210,115</b>	<b>226,249</b>	<b>+4,812</b>	<b>0</b>	<b>+16,325</b>	<b>247,386</b>	<b>+21,137</b>
<b>PARK PROTECTION</b>									
Law Enforcement and Protection	203,629	221,969	201,342	219,682	+4,487	0	+9,178	233,347	+13,665
United States Park Police Operations	86,747	98,555	86,747	98,555	+2,082	0	+2,000	102,647	+4,092
Public Health and Safety	17,935	19,937	26,178	28,180	+453	0	+4,071	32,704	+4,524
<b>Subtotal Park Protection</b>	<b>308,311</b>	<b>340,461</b>	<b>314,267</b>	<b>346,417</b>	<b>+7,032</b>	<b>0</b>	<b>+15,249</b>	<b>368,698</b>	<b>+22,281</b>
<b>FACILITY OPERATIONS &amp; MAINTENANCE</b>									
Facility Operations	226,423	239,422	291,503	304,502	+4,941	0	+8,824	318,267	+13,765
Facility Maintenance	430,269	467,952	335,514	373,197	+4,590	0	+9,666	388,953	+13,756
<b>Subtotal Facility Operations &amp; Maintenance</b>	<b>656,692</b>	<b>707,374</b>	<b>627,017</b>	<b>677,699</b>	<b>+8,531</b>	<b>0</b>	<b>+18,490</b>	<b>707,220</b>	<b>+27,521</b>
<b>PARK SUPPORT</b>									
Management, Policy and Support	102,020	106,349	124,955	128,298	+3,032	0	+4,991	137,321	+8,023
Administrative Support	214,728	241,155	261,512	287,925	+4,802	-646	+12,452	304,533	+16,608
<b>Subtotal Park Support</b>	<b>316,748</b>	<b>347,504</b>	<b>386,467</b>	<b>417,223</b>	<b>+7,834</b>	<b>-646</b>	<b>+17,443</b>	<b>441,854</b>	<b>+24,631</b>
<b>Subtotal PARK MANAGEMENT</b>	<b>1,831,200</b>	<b>1,983,474</b>	<b>1,831,200</b>	<b>1,983,474</b>	<b>+33,898</b>	<b>-646</b>	<b>+93,800</b>	<b>2,110,498</b>	<b>+127,012</b>
<b>EXTERNAL ADMINISTRATIVE COSTS</b>									
Employee Compensation Payments	21,968	22,287	21,968	22,287	+452	0	0	22,739	+452
Unemployment Compensation Payments	18,820	19,008	18,820	19,008	+421	0	0	19,429	+421
Centralized IT Costs	4,070	4,070	4,070	4,070	0	0	0	4,070	0
Printing	177	177	177	177	0	-177	0	0	-177
Telecommunications	9,272	9,272	9,272	9,272	0	0	0	9,272	0
Postage	3,037	3,037	3,037	3,037	0	0	0	3,037	0
GSA Space Rental	52,711	56,495	52,711	56,495	+2,059	+483	0	59,037	+2,542
Departmental Program Charges	29,029	33,412	29,029	33,412	+4,237	+297	0	37,946	+4,534
Drug-Free Workplace	297	297	297	297	0	-297	0	0	-297
<b>Subtotal EXTERNAL ADMINISTRATIVE COSTS</b>	<b>139,381</b>	<b>148,055</b>	<b>139,381</b>	<b>148,055</b>	<b>7,189</b>	<b>306</b>	<b>0</b>	<b>165,830</b>	<b>7,475</b>
<b>SUBTOTAL ONPS APPROPRIATION</b>	<b>1,970,581</b>	<b>2,131,529</b>	<b>1,970,581</b>	<b>2,131,529</b>	<b>+41,027</b>	<b>-340</b>	<b>+93,800</b>	<b>2,268,016</b>	<b>+134,487</b>
High Intensity Drug Trafficking Area (HIDTA) Transfer	190	75	190	75				0	-75
Transfer for Grand Canyon Parashoot	54		54					0	0
American Recovery and Reinvestment Act		146,000		146,000			-146,000	0	-146,000
<b>SUBTOTAL ONPS (Total Budget Authority)</b>	<b>1,970,825</b>	<b>2,277,604</b>	<b>1,970,825</b>	<b>2,277,604</b>	<b>+41,027</b>	<b>-340</b>	<b>-52,200</b>	<b>2,268,016</b>	<b>-11,588</b>

Although funding is allocated throughout the Park Service based on organization, the Greenbook is arranged by budget structure, or function, to reflect the way Congress appropriates money. One park unit or program office may receive funding from a number of different pieces of our budget structure. For the FY 2010 Greenbook, the Budget Structure was realigned to more accurately reflect the operations and expenditures of the NPS. In addition to the realignment (as shown in the adjusted enacted columns), the Budget Structure was consolidated to improve activity based costing. For example, NR Stewardship = NR Mgmt and NR Research Support.

# By Organization: Park and Program



**FY 2010 PARK AND PROGRAM SUMMARY**  
President's Request (Greenbook) (\$000)

OPERATION OF THE NAT'L PARK SYSTEM Parks, Offices and Programs	FY08 Total FTE	FY2009 Enacted w/ Exh. B	FY 2010 Fixed Cost Changes	FY 2010 Program Changes	FY2010 Pres. Request	Visitor Use FY 2008	Acreage 4/	
							FY 2008 Gross	FY 2008 Federal
<b>National Park Service Park Units</b>								
Abraham Lincoln Birthplace NHP	16	1,088	27	252	1,367	207,766	345	345
Acadia NP	131	7,615	175	664	8,454	2,100,533	47,400	46,197
Adams NHP	38	3,207	73	143	3,423	251,208	24	9
African Burial Grounds NM	5	44	1	1,971	2,018	---	0	0
Agate Fossil Beds NM	8	871	14	94	979	12,323	3,058	2,740
Allegheny Portage Railroad NHS	24	2,186	48	0	2,234	116,489	1,284	1,255
Armistad NRA	34	4,103	66	2	4,171	1,895,770	58,500	57,292
Andersonville NHS	16	1,380	32	73	1,485	144,476	515	501
Andrew Johnson NHS	9	938	15	56	1,009	57,889	17	17
Aniela NB	56	3,589	90	4	3,683	356,164	3,230	2,743
Apostle Islands NL	45	3,181	-106	75	3,150	152,835	69,372	42,161
Appalachian NST	8	1,456	23	40	1,519	---	228,664	171,158
Appomattox Court House NHP	20	1,375	34	430	1,839	144,838	1,774	1,695
Arches NP	23	1,886	31	64	1,981	926,632	76,679	76,546
Arkansas Post NMem	9	853	16	35	904	43,599	758	650
Arlington House	17	1,065	30	1	1,096	500,847	28	28
Assateague Island NS	70	5,197	101	159	5,457	2,100,602	39,727	17,872
Aztec Ruins NM	24	1,209	40	3	1,252	38,882	318	257
Badlands NP	73	4,405	95	78	4,578	857,288	242,756	232,822
Baltimore-Washington Parkway	12	1,623	26	0	1,649	---	---	---
Bandelier NM	67	3,049	74	310	3,433	210,213	33,677	32,831
Bent's Old Fort NHS	19	1,189	27	23	1,239	24,336	799	736
Big Bend NP	93	7,053	133	201	7,387	366,860	801,163	775,273
Big Cypress National Preserve	79	6,506	122	514	7,142	786,093	720,561	648,115
Big Hole NB	8	608	13	9	630	55,221	1,011	656
Big South Fork Natl River & RA	61	4,458	95	30	4,583	670,776	125,310	116,329
Big Thicket National Preserve	37	2,655	56	35	2,746	94,503	99,404	95,974
Bighorn Canyon NRA	48	3,482	81	203	3,766	179,491	120,296	68,491

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Though the primary format of the Greenbook is by function, the justifications include the Park and Program Summary, which presents the changes to park operations funding from the previous budget.

# Congressional Review



## Congressional hearings

- Secretary
- Director

## Supplemental justifications

- Questions for the record
- Effect Statements
- Capability Statements

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Once the Greenbook is submitted to Congress via OMB, the Congressional review process begins. The Secretary and the Director testify on the current budget request. Here, the Interior appropriations committee will make their interests known and ask the Director a series of questions on the budget requests as well as NPS policy and current happenings. Any further questions or specific interests not addressed in detail at the hearings will be forwarded to Park Service shortly after as questions for the record (QFR). Responding to these questions could involve anything from reiterating what is in our budget request to providing full reports of ongoing issues. When the House and Senate sub-committees review the NPS budget, it is called Mark Up. During mark up, Budget Formulation provides capability and effect statements to inform Congress of our capability to complete something they have provided funding for in our bill, usually a project, or explain the effects that funding or bill and report language will have on the Service in the instances it differs from our request. Budget Formulation also receives informal information requests from Committee staffers during congressional review.

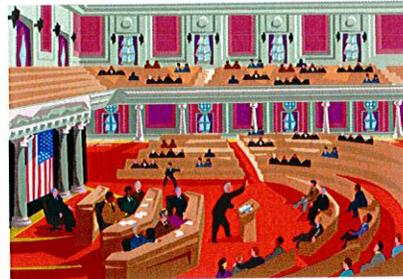
# Appropriation of Funding



House

Senate

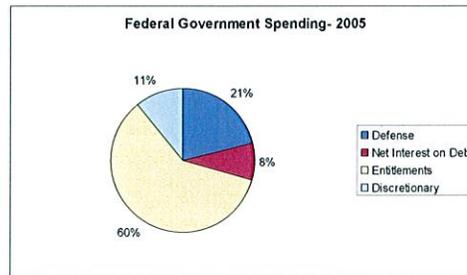
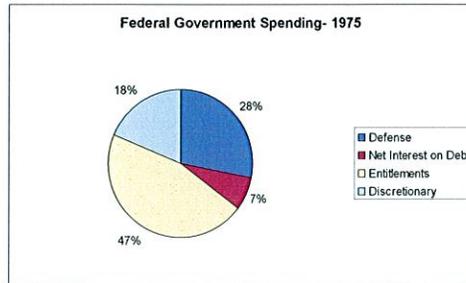
Conference



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We receive our funding via an appropriation bill written into law by Congress. Appropriation subcommittees for both chambers will mark-up their own version of our appropriations bill and provide an accompanying report. The appropriations bill is very broad and consists of bill language providing a lump sum appropriation for each discretionary account. The accompanying report includes details of funding provided-specific items or earmarks- and direction from Congress. After the subcommittees mark-up the bill it goes to the full-committee for additional changes and agreement. The bill is then taken to the House or Senate floor to be voted on and passed into to law. The bill often collects amendments for special interests while on the floor. After the House and Senate both pass their own version of our bill, they “conference” or come to a compromise on what will be included in our final appropriation bill. At this time they work out any differences they have, including lists of earmarked projects. If Congress is over its appropriation limit for a particular bill or in whole, they will include an across-the-board rescission to balance the books. The across-the-board rescission takes a percentage cut to every line in the budget. The Conference bill then goes back to both chambers for a final vote. The passed bill is likely signed by the President with little hesitation. If Congress fails to enact an appropriations bill before the start of the fiscal year, they will pass a continuing resolution to continue operations of the Government, usually under the same funding levels as the previous year.

# Limited Resources



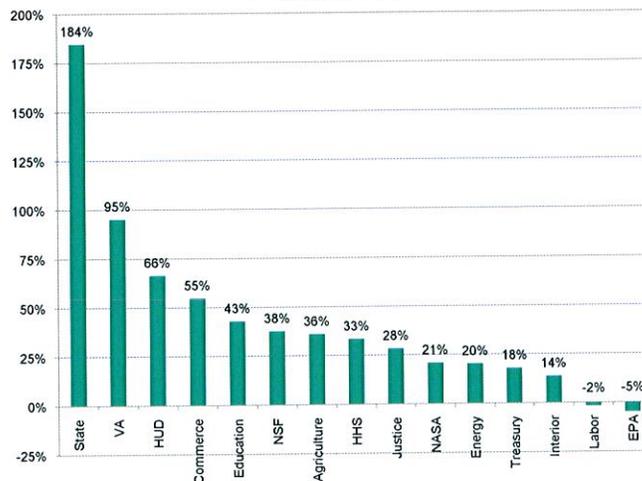
15

All Government agencies compete for limited resources. This chart shows how the discretionary slice of the pie, from which most agencies receive their funding, is shrinking. To compete more effectively for budget increases, the NPS must use analytical tools combined with performance data to support our unfunded needs. The NPS uses OFS to gather and prioritize unfunded operating needs for parks, regional offices and program directorates.

# Budget Trends



Change in Discretionary Budget Authority  
FY 2001 to FY 2008



Source Data: <http://www.whitehouse.gov/omb/budget/Historicals/>  
Table 5.4 Discretionary Budget Authority By Agency

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Within the discretionary pot, the Department of Interior has not grown at the rate of some other agencies.

# The Future of Budget Formulation



NPS Scorecard

Performance Based Budgeting

Increased Base Analysis



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The situation we are facing calls for concrete and quantifiable justifications. We need to invest in smarter ways to allocate limited resources where they can be the most effective or be used efficiently.

## Additional Resources



NPS Budget Site:

<http://www.nps.gov/budget>

OMB Website:

<http://www.whitehouse.gov/omb/>

Library of Congress searchable Legislation:

<http://thomas.loc.gov/>