

FY2009 Defense Authorization & Appropriation Workbook Instructions

Senator Bill Nelson's staff requests that you complete the FY2009 Defense Authorization & Appropriation Request Workbook ("Defense Request Workbook") and submit its "Hardcopy Output" to this office for your defense-related funding interests. Although this form is not required by either the Armed Services or Appropriations Committees, it does request information that facilitates proper compliance with current ethics rules. Your request will receive consideration regardless of how or when submitted, however the Committees do impose "soft" deadlines to enable complete consideration of all requests submitted to them. The Defense Request Workbook helps the staff to accurately and efficiently compile budgetary technical, descriptive, and justification information about constituent defense-related assistance requests. The Committees place a high premium on the technical accuracy of each request, which means that precise information, such as agency, accounts, titles, line numbers, and program element numbers are very important. Consequently, the correct account for the correct purpose will smooth the way for obligation and expenditure. Additional funding provided but in the wrong account or line is very difficult, sometimes impossible, to correct once authorized or appropriated. Your willingness to participate in this process is appreciated.

The Workbook is broken into three tabs: the **Data Entry Sheet**, the **Hardcopy Output**, and the **Committee Table**.

Data Entry Sheet (You will not print and submit the Date Entry Sheet)

Cells A6 -- E12 request standard contact information. Current ethics rules require that companies and organizations represented by a lobbyist be disclosed (Cell C7). If the organization is represented by a lobbyist, please provide the lobbyists' detailed contact information. If the organization is not represented by a lobbyist, then provide another principle point of contact (POC). If the organization is represented by a lobbyist this is the principle POC. This contact information is necessary in case there are questions.

Cells F7 -- O7 is the most important part of the form and is required by the Committees. Accurate and complete budgetary technical information provided here ensures that if additional funding is provided, it goes into the correct account for the correct purposes. The Services or Agency that would supervise the execution of the program for which you are requesting assistance is in the best position to help you work through this information. Cell F7 will automatically populate from information entered in Cell A7. Committee guidance restricts the total number of characters in Cell N7 to 255 characters.

Cell G7 is your name for the project, or the name by which you want the project specifically identified. This may be the name by which the funding agency also knows the project.

Cell H7 is typically one of the four main accounts Personnel, Operations & Maintenance (O&M), Procurement (i.e. Aircraft Procurement, Missile Procurement, Other Procurement, etc.), or Research, Development, Test, and Evaluation (RDTE). The specific Budget Accounts may be viewed on tab "**Budget Account Data Fields**."

Cell I7: The Congress authorizes and appropriates at what is known as the O-1 (O&M), P-1 (Procurement), or R-1 (RDTE) level. Each line of the budget typically has an identifying line number within each account. This information is available in the DoD budget request justification materials available online at <http://www.dtic.mil/comptroller/>.

Cell J7: RDTE programs have a seven-digit identification number. Use all seven digits (i.e. 0603444) and any other project alpha-numeric identification elements that will help specify your program or project.

Cell K7: If your project requests funding above the President's Budget Request (PBR) then enter the amount of funding requested in thousands of dollars, e.g., if your project requests \$3 million then enter "3000" in Cell K7. If your project is in the PBR, then enter the amount requested by the President. If your request is fully funded and you are NOT requesting additional funds, then enter "Support PBR" in Cell AC7.

Cell L7: Requests are often accompanied by Report or Bill language that specifically lays out for DoD the purpose of additional funds in the authorization or appropriation. For example, "...an additional \$3,000,000 is provided only for the procurement of widgets for naval aviation training...."

Cell M7: Current ethics rules require that the location where the project will be performed be disclosed. Please provide the city and state where the additional funds in the appropriation will be performed.

Cell N7: This is your articulation of a justification for additional funding for the project. This could be as simple as "increasing the quantity" or "accelerating the procurement" of systems that are already requested in the current budget or a future procurement scheduled to start in future years. This could be as complex as making a case for funding a project for which there is nothing requested in the PBR and for which there is not an official military requirement documented. The Committees require that the purpose be **no more than 255 characters and spaces in length**. See Cell O7 for a running count of the characters and spaces in Cell N7.

Cell P7 is the appropriate Service (Army, Navy, Air Force or Marines) or Department of Defense (DoD) Agency that has budgetary execution responsibility for the account within which you are requesting assistance.

Cells Q7 & R7: Is this Project funded in the PBR? If yes, then your project is either fully funded in the request ("Yes"), partially funded ("Yes"), or unfunded ("No"). If YOUR SPECIFIC PROJECT is fully or partially funded, in Cell R7, indicate in thousands of dollars (i.e. \$3 million = "3000") how much funding is provided in the PBR. If your project is unfunded then leave the cell empty.

Cell S7: If your request is fully funded in the PBR and you are NOT requesting additional funds, then leave this cell empty and enter "Support PBR" in the "additional information" cell in Cell AC7. If you are requesting additional funds above the PBR (even if the request is zero) enter that additional amount in thousands of dollars (i.e. \$3 million = "3000").

Cells T7 & U7: Does the project appear in any Service's Unfunded Requirements List (UFR)? If yes, indicate so in the dropdown box and provide detailed information in Cell U7. Each year the Services are asked by Congress to provide their priorities for programs or projects that were left unfunded in the PBR. The Committees use these lists to prioritize how additional funding, if available, will be used to meet military requirements. Committee leadership also uses these lists as a check on the rationale and relevance of member requests. Your project's inclusion on a UFL increases the probability of success in gaining additional funding. Details about these lists are available from the Services.

Cell V7: This is typically the officer or DoD civilian responsible for planning and managing the release of funds and overseeing the execution of the program or project for which you are requesting assistance. Enter the date in separate cells.

Cell W7: Sometimes there are additional POCs in DoD or a Service who can help articulate the value of the project for which you are requesting assistance. If so, please provide that additional information -- again in separate cells.

Cell X7: The DoD acquisition process typically connects a procurement or research program to a military requirement for the product or research. Operations or Research staff elements within DoD and the Services are responsible for developing these "requirements" and documenting them for acquisition managers and funding prioritizers. These documents are called Initial Capabilities Documents or Operational Requirements Document. Programs or projects for which there are no official Army, Navy, Air Force, or DoD-level military requirements documented are at a disadvantage for additional funding.

Cells Y7 & Z7: If applicable, provide the contact information for all entities with whom you are working, or from whom you have requested additional funding for your project.

Cells AA7 & Y16-19 through AE16-19: In Cell AA7 (by dropdown list) indicate whether your project has received government funding. If yes, indicate how much support you have received for each of the last four years ONLY for your project. Leave these cells empty if this is the first year of your request or if your answer to Cell AA7 is "NO." If you received Congressional direct funding in any of these years, enter the amount in thousands of dollars (i.e. \$3,000,000 = "3000") in the appropriate column(s).

Use the Notes section to provide any additional information including Congressional Language relative to your project. If the Defense Committees included any language (Bill or Report) relative to your specific project, include that language or a clear citation to that language in Cell AC7.

Descriptive and Justification Boxes. Note that you do not need to limit yourself to the apparent space available in the boxes. The electronic submission will capture everything that is entered in the box even if it is not graphically visible. For many constituents, this may merely be a cut a paste from existing information/justification papers already in use. We should not have to try to interpret your justification for the defense committees. Justification needs to be clear, direct, coherent and tied to a military requirement.

Although we do not ask for it on this form, requestors should be prepared to provide additional information regarding :

Detailed Cost (how funding will be used) for FY requested. For a simple procurement this is not usually relevant, so long as the quantity is identified above. For a RDTE project or program, we would like to see a breakout of how funding will be used (i.e. software development, equipment procurement, program management, etc.).

Schedule of Significant Events, Milestones, decisions, etc. (If S&T [Science and Technology] include planned technology demonstration. In this instance we are looking for a clear picture of where this project or program is heading over time. The time horizon is up to you, but should accurately reflect your long term intent for program/project completion.

Hardcopy Output

You should save the Workbook and email it as indicated.

The data you entered on the Data Entry Sheet propagates on the Hardcopy Output. **You should keep that copy for your records.** Once you have completed the form, email it to defense_request@billnelson.senate.gov.

***** Save the Workbook in the format shown: company name - the surname of the poc - the phone number of the poc.**

You will be unable to enter data directly on the Hardcopy Output. You can only enter data on the Data Entry Sheet.

Committee Table

This data is required by the Committees. This data will be submitted to them. It is very important that this information is accurate.