



# U.S. Chemical Safety and Hazard Investigation Board

**SUBJECT:** Preparation and Submission of CSB Budget Requests

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1. **PURPOSE.** This Order establishes policies and procedures for the preparation and submission of the budget request of the Chemical Safety and Hazard Investigation Board (CSB) to the President and to Congress.
2. **EFFECTIVE DATE.** This Order is effective upon passage by the Board.
3. **SCOPE.** This Order applies to the preparation and submission of the CSB's Initial Budget Estimate and Final Budget Request to the President and to the Congress. The preparation and execution of the CSB's annual operating budget of appropriated funds is not included within the scope of this order and shall be addressed by separate board order.
4. **REFERENCES.** This Order is based on relevant provisions of Chapters 11 of Title 31 of the United States Code, 42 U.S.C. sec. 7412(r)(6)(R), and OMB Circular no. A-11. In the event of a conflict between these authorities and the provisions of this Order, the applicable statutes and OMB Circular provisions shall control.
5. **POLICY.** It is the policy of the Board that the CSB submit an Initial Budget Estimate and Final Budget Request to the President and to Congress that will support accomplishment of CSB strategic goals in a cost efficient manner. In addition, the CSB's budget requests should be consistent with the CSB's Strategic, Annual Performance, Human Capital, IT Capital, Continuity of Operations, Safety and Health, and Long Term Space Plans.
6. **DEFINITIONS.**
  - a. **Budget Officer-** The head of any major administrative unit identified in Board Order 014 or a designee identified in writing by the head of any major administrative unit to the Director of Government, Public and Board Affairs (DGA) and the Director of Financial Operations (DFO). In addition, the Designated Agency Health and Safety Officer (DASHO) shall be considered a budget officer for purposes of compiling financial information related to the CSB's Occupational Safety and Health Program.
  - b. **Budget Justification-** That portion of the Initial Budget Estimate or Final Budget Request that explains or justifies in a narrative format the Board's requested appropriation from Congress.
  - c. **Budget Requests-** The CBS's Initial Budget Estimate and/or Final Budget Request.
  - d. **Budgetary Unit-** The major administrative units identified in Board Order 014, the Office of the Board Members, and the budget of the DASHO.
  - e. **Budgetary Sub-unit-** Components of budgetary units that are sufficiently distinct to be depicted separately for clarity in preparing the budget request of a budgetary

unit for internal review by the Board. For example, the budget information for Financial Operations, Management Operations, and IT operations should be depicted as sub-units in preparing the budget request for the Office of the Chief Operating Officer. Budget information for the Occupational Safety and Health Program should be depicted as a sub-unit in an appropriate office budget.

- f. **Chairperson-** The Chairperson of the CSB or, in the absence of a Chairperson, the Board Member Delegated Interim Executive and Administrative Authority pursuant to Order 003.
- g. **Final Budget Request-** This is the Board's final request for an appropriation of funds from the Congress for the next fiscal year and is submitted each February with content and in a format consistent with applicable requirements of federal law and OMB Circular No. A-11. The Final Budget Request includes a Financial Request, a Budget Justification, and proposed appropriations language.
- h. **Financial Request-** That portion of the Initial Budget Estimate or Final Budget Request that contains the Board's requested appropriation from Congress in a numerical format by line item description.
- i. **Initial Budget Estimate-** This is the Board's preliminary estimate of its anticipated appropriation request for the next fiscal year and is submitted to the President and to Congress each September with content and in a format consistent with applicable requirements of federal law and OMB Circular No. A-11. The estimate includes a Financial Request, and a brief 1-2 page Budget Justification, and proposed appropriations language.
- j. **Strategic Plan(s)-** the CSB's Strategic, Annual Performance, Human Capital, IT Capital, Continuity of Operations, Safety and Health, and Long Term Space Plans. Any other Board approved plan or Order with an obvious long-term budgetary impact.

## 7. **BUDGET RESPONSIBILITIES.**

- a. **The Board-** provides input to the Chairperson on the development of the Initial Budget Estimate and Final Budget Request. In addition, under Board Order 028, the Board must vote to approve the Initial Budget Estimate and the Final Budget Request.
- b. **Budget Officer-** with the technical assistance of the DFO, prepares budget estimates for their budgetary units, including budgetary sub-units. In consultation with the DFO, Budget Officers are also responsible for pursuing training that will enhance their ability to prepare budget requests.
- c. **Chairperson-** Consistent with Board Order 028, the Chairperson exercises the Board's executive authority with respect to the preparation and submission of the

CSB budget requests to the President and to Congress. In the event of a vacancy in any position relevant to the execution of this Order, the Chairperson may designate an appropriate employee to fulfill the responsibilities of that vacant position under this Order.

- d. **Chief Operating Officer**- Directs and supervises the Director of Financial Operations in the development of all financial information required for the budget requests. Collaborates with and provides input to the Chairperson, Board Members, the DGA, and the General Counsel in development of the budget requests.
- e. **Director of Financial Operations**- Prepares the financial request for the budget requests. Collects and coordinates all relevant financial data from each budgetary unit or budgetary sub-unit that is necessary to prepare the financial request. Provides all required technical assistance to Budget Officers in preparing budget requests for each budgetary unit or budgetary sub-unit. Identifies relevant and/or required annual training opportunities for Budget Officers, and documents completion of any required training for Budget Officers.
- f. **Director of Government, Public, and Board Affairs (DGA)**- Prepares and submits, following input from appropriate parties and Board approval, the CSB's budget requests to the President and to Congress. Prepares and submits other documents supporting and advocating for the CSB's budget, including testimony and responses to congressional inquiries.
- g. **General Counsel**- Provides appropriations language to DGA. Reviews and advises Board on budget requests prior to Board's vote on any budget request.

8. **PREPARATION OF TIMELINE FOR BUDGET REQUESTS.**

Each September the CSB must submit to the President and to Congress its Initial Budget Estimate for the fiscal year that will begin in October of the next calendar year (e.g., the Initial Budget Estimate for FY 2007 must be submitted in September 2005). The CSB's Final Budget Request for that same fiscal year must be submitted to the President and to Congress in February of the calendar year in which that fiscal year will begin (e.g., the Final Budget Request for FY 2007 must be submitted in February 2006). To ensure that the Board and relevant staff have adequate time to prepare and approve these requests, the DGA and DFO shall jointly prepare and issue, by June 1 of each year, a timeline for preparing the budget requests for the fiscal year that will begin in the next calendar year. For example, the timeline for preparation of the budget request for FY 2007 (which begins October 1, 2006) shall be issued no later than June 1, 2005. The timeline shall be in the format indicated in Appendix A of this Order, and must be distributed to all Board Members and Budget Officers. The timeline shall be jointly monitored by the DFO and the DGA. If a Budget Officer fails to abide by the timeline, that officer's input may be excluded from the process, and the Chairperson may direct an alternate employee to provide

any necessary input. Following distribution of each year's budget timeline, the timeline may only be altered if approved by the Chairperson and only if the approved changes are communicated to all Board Members and all Budget Officers. The timeline shall include the sequential steps described in sections 9 through 11 of this Order.

9. **PREPARATION AND SUBMISSION OF INITIAL BUDGET ESTIMATE.**

- a. **Board Input to Chairperson.** Board Members submit initiatives, issues, and concerns to Chairperson in writing. The Chairperson should work throughout the process to incorporate this input so that the Initial Budget Estimate and Final Budget Request will reflect the Board's consensus and gain the approval of the Board.
- b. **Guidance from Chairperson to DFO, DGA and Budget Officers.** Chairperson provides DFO, DGA, and Budget Officers with general guidance for budget preparation.
- c. **Preparation and Submission of Financial information by Budget Officers to DFO.** With assistance of DFO, Budget Officers prepare budget proposals consistent with Chairperson's guidance, strategic plans, and actual spending trends. Budget Officers submit final budget proposals to DFO.
- d. **Preliminary Briefing to Board.** The DGA should coordinate a preliminary briefing by appropriate staff to the Board on the anticipated outline of the Initial Budget Estimate based on available information and obtain feedback from Board Members for shaping the Initial Budget Estimate.
- e. **DFO and DGA Preparation and Submission of Initial Budget Estimate to Chairperson.** DFO reviews financial information from Budget Officers and input from the Board provided at the preliminary briefing or in the form of written comments and works with Budget Officers to finalize the Financial Request. The DFO provides relevant financial information to DGA for use in preparing Budget Justification. The DGA works with appropriate staff to prepare Budget Justification. The General Counsel provides appropriations language. The DFO and DGA combine Financial Request, Budget Justification, and appropriations language into Initial Budget Estimate and submit it to Chairperson, General Counsel, and COO for review and comment.
- f. **Chairperson's Preparation and Submission of Initial Budget Estimate to Board.** The Chairperson reviews the Initial Budget Estimate and works with the DFO, DGA, COO, and General Counsel to finalize the Initial Budget Estimate. If the DGA, DFO, and Budget Officers have been unable to resolve any issues related to the preparation of the Initial Budget Estimate, or have not resolved issues raised by the Chairperson or the Board, the Chairperson shall resolve such issues prior to submission to the Board. Once outstanding issues are resolved to the Chairperson's satisfaction or by the applicable deadline in the timeline, the

Chairperson shall submit the Initial Budget Estimate to the Board for a vote. The Initial Budget Estimate should be accompanied by a narrative summary of significant changes from the prior year's actual appropriation.

- g. **Board Vote on Initial Budget Estimate.** The Board considers and votes on the proposed Initial Budget Estimate. The Chairperson should attempt to present an Initial Budget Estimate likely to gain approval by the established deadline for Board approval in the timeline. In the event that the Board fails to approve the estimate by this deadline, the Chairperson is authorized to submit an Initial Budget Estimate to the President and Congress without Board approval no sooner than one (1) business day prior to the deadline. Under such circumstances, the Chairperson will provide the Board Members with the proposed estimate a minimum of ten (10) days prior to submitting it. The Chairperson should include with the submission an appropriate written explanation of the full Board's failure to approve the estimate. Alternatively, if the Board fails to approve the estimate by the deadline for Board approval in the timeline, any Board Member may submit a proposed estimate for the Board's approval no later than eight (8) calendar days prior to the deadline for submitting the estimate to the President and to Congress. If approved by the full Board no later than four (4) business days prior to this deadline, this estimate would be submitted by the DGA as described below as the Initial Budget Estimate of the Board, and the Chairperson would not be authorized to submit a different estimate.
- h. **Submission of Initial Budget Estimate.** The DGA shall be responsible for submitting the approved Initial Budget Estimate to the President and to Congress by the required deadline, and will distribute copies of the submission to the Board Members, the COO, the General Counsel, and the DFO.

10. **OMB REVIEW AND PASS BACK.**

- a. **OMB Pass Back.** By late November of each year, OMB usually will inform the CSB how the President will treat the CSB's Initial Budget Estimate in preparing the President's Budget. Typically, OMB will set out procedure and pertinent deadlines for appealing a pass back.
- b. **Appeal of Pass Back.** Although the CSB possesses statutory authority to present its own independent Budget Request to Congress, the Board may wish to appeal the President's pass back on the CSB's Initial Budget Request so that the President's Budget is consistent with the CSB's independent Budget Request to Congress. Due to potential time constraints, the Chairperson shall make the decision as to whether the CSB should appeal the pass back from OMB. If time permits, the Chairperson should solicit input from the Board, the COO and General Counsel on the content of the appeal. If so directed, the DGA, with input from appropriate parties, shall prepare the appeal and submit it to the Chairperson for approval. The Chairperson should notify the Board concerning a decision to appeal and the content of any appeal in a prompt fashion. The DGA shall be

responsible for submitting the appeal to OMB pursuant to any applicable deadline.

#### 11. **PREPARATION AND SUBMISSION OF FINAL BUDGET REQUEST.**

- a. **Guidance from Chairperson to DFO and DGA.** Chairperson provides DFO and DGA with general guidance for Final Budget Request.
- b. **DFO and DGA Preparation and Submission of Final Budget Request to Chairperson.** DFO reviews financial information from Budget Officers and works with DGA and with Budget Officers to finalize the Financial Request. The DGA works with appropriate staff to prepare Budget Justification. The DFO and DGA combine Financial Request and Budget Justification into a Final Budget Request and submit it to Chairperson, General Counsel, and COO.
- c. **Chairperson's Preparation and Submission of Final Budget Request to Board.** The Chairperson reviews the Final Budget Request and works with the DFO, DGA, COO, and General Counsel to finalize it. Once outstanding issues, if any, are resolved to the Chairperson's satisfaction or by the applicable deadline in the timeline, the Chairperson shall submit the Final Budget Request to the Board for a vote. The Final Budget Request should be accompanied by a narrative summary of significant changes from the Initial Budget Estimate approved by the Board pursuant to section 9 of this Order.
- d. **Final Briefing to Board.** The DGA should coordinate a final briefing by appropriate staff to the Board on the anticipated outline of the Final Budget Request.
- e. **Board Vote on Final Budget Request.** The Board considers and votes on the proposed Final Budget Request. In the event that the Board fails to approve the Final Budget Request by the deadline in the timeline, the Board will follow the procedures described in section 9.g. to ensure that a Final Budget Request is submitted to the President and Congress by the applicable deadline.
- f. **Submission of Final Budget Request.** The DGA shall be responsible for submitting the approved Final Budget Request to the President and to Congress by the required deadline and will distribute copies of the submission to the Board Members, the COO, the General Counsel, and the DFO.

#### 12. **PREPARATION OF CONGRESSIONAL TESTIMONY AND RESPONSE TO CONGRESSIONAL INQUIRIES.**

- a. **Congressional Testimony-** Following the submission of the Final Budget Request, the DGA will draft proposed written and/or oral testimony in support of the request to be submitted or delivered by the Chairperson to Congress. The Chairperson will finalize the draft testimony. Drafts of the Chairperson's testimony shall be circulated

to the Board Members, the COO, and the General Counsel and other appropriate employees for comment prior to submission to Congress.

b. **Congressional Inquiries-** The CSB often receives formal written questions from members of Congress prior to or following a hearing on the CSB's Final Budget request. As requested by the Chairperson, the DGA will prepare a proposed response to any congressional inquiries concerning the Board's budget request. The Chairperson shall finalize and submit a final response to such inquiries. Drafts of the Chairperson's final response shall be circulated to the Board Members, the COO, and the General Counsel and other appropriate employees for comment prior to submission to Congress.

13. **SUPPLEMENTAL REQUESTS.** In the event that the Board deems it necessary to submit a supplemental budget request during a given fiscal year, the procedures outlined in section 11 shall govern the preparation and submission of such a request.

14. **RECORDS.**

The DGA and the DFO shall be responsible for maintaining appropriate records concerning the CSB budget requests, congressional testimony, and congressional inquiries in accordance with the CSB's records management program.

## **U.S. CHEMICAL SAFETY AND HAZARD INVESTIGATION BOARD**

June 30, 2004

Amended, July 14, 2004

## TIMELINE FOR DEVELOPMENT OF FY2006 BUDGET REQUEST Appendix A

Week of	Action Item(s)
June 14, 2004	Board Members submit initiatives, issues, and concerns to Chairperson.
June 21	Chairperson provides DFO, DGA, and Budget Officers with general guidance for budget preparation.
June 28 & July 5	With assistance of DFO, Budget Officers prepare budget proposals consistent with Chairperson's guidance, strategic plans, and actual spending trends.
July 12	Budget Officers submit final budget proposals to DFO.
July 19	DGA coordinates briefing to Board Members.
July 19 & 26	DFO reviews budget proposals and works with Budget Officers to finalize Financial Request. The DGA prepares Budget Justification.
August 2	DFO and DGA combine Financial Request and Budget Justification into Initial Budget Estimate and submit it to Chairperson, General Counsel, and COO.
August 2 & 9	Chairperson reviews Initial Budget Estimate, works with DFO, DGA, COO, and General Counsel to finalize Initial Budget Estimate.
August 16	Chairperson submits notation item on Initial Budget Estimate to Board.
<i>August 16 - 30</i>	<i>Board consideration and voting period.</i>
September 6	DFO finalizes Financial Request for Initial Budget Estimate and provides final copy to DGA. DGA makes necessary revisions to Budget Justification and completes Initial Budget Estimate. <b>The DGA submits Initial Budget Estimate to President and Congress no later than September 10, 2004.</b>
<b>Pass Back</b>	
Late November	OMB Pass Back (notification to Chairperson of amount OMB expects to request for CSB in the President's budget).
Early December	Appeal pass back, if appropriate.

## Appendix A

	<b>Week of</b>	<b>Action Item(s)</b>
<b>Final Budget Request</b>	November 29 & December 6	Board Members submit issues and concerns related to the OMB pass back, CSB appeal, and Final Budget Request to Chairperson.
	December 13	Chairperson provides DFO and DGA with general guidance for Final Budget Request.
	December 20 & 27	DFO reviews proposed adjustments and works with Budget Officers to finalize Financial Request. DGA completes revisions to Budget Justification. DFO and DGA combine Financial Request and Budget Justification into Final Budget Request and submit it to Chairperson, General Counsel, and COO.
	January 3 & 10, 2005	Chairperson reviews Final Budget Request and works with DFO, DGA, COO, and General Counsel to finalize Final Budget Request.
	January 10	DGA coordinates final briefing to Board Members.
	January 17	Chairperson submits Notation Item on Final Budget Request to Board.
	<i>January 17 &amp; 24</i>	<i>Board consideration and voting period.</i>
	January 31	DGA finalizes Budget Request and sends to printer.
	February 2	<b>The DGA submits Final Budget Request to President and Congress. These documents are due no later than February 7, 2005.</b>