

## GUIDE TO OMB CIRCULAR NO. A-11

### What is the purpose of this Circular?

- Part 1: Covers the development of the President's budget and tells you how to prepare and submit materials required for OMB and Presidential review of agency requests and for formulation of the FY 2001 Budget. A significant portion of this part focuses on the preparation of the budget *Appendix* and the related data base.
- Part 2: Describes the requirements of the Government Performance and Results Act and tells you how to prepare and submit strategic plans, annual performance plans, and annual program performance reports.
- Part 3: Discusses the planning, budgeting and acquisition of capital assets, and tells you how to prepare and submit information on new and past acquisitions.

### Does this Circular apply to me?

This Circular applies to all executive departments and establishments. In addition, some of the requirements apply to the legislative and judicial branches, to the District of Columbia, and to Government-sponsored enterprises. See section 25.1 for more information.

### When are the materials required by this Circular due?

Different materials are due on different dates. An initial submission of selected materials is due **September 11** for Cabinet agencies as well as for other agencies subject to executive branch review. Because of the election this year, OMB will not require most of the policy materials you usually submit in September in support of your budget requests until after the new Administration is in place. Where we require you to provide information before the new Administration is in place, you should prepare the data on a current services basis. Section 27 provides additional information on due dates. We expect to issue separate instructions after the transition has begun that will provide guidance on policy development for FY 2002.

### How is the Circular organized?

Last year we reorganized Part 1 to present requirements chronologically. We did not restructure the Circular this year to reflect the unique timing requirements associated with the transition. General information about the budget and general policies related to developing the estimates and proposals is provided at the beginning of Part 1. Subsequent sections provide information on developing the initial submission, followed by materials required after passback and actions following transmittal of the budget. The sections on materials required after passback cover budget data structure and collection, then publishing the budget *Appendix*, then additional material required after passback, and, finally, updates to initial submission materials.

Parts 1 and 2 are divided into chapters. In some cases, the chapters are further divided into subchapters. The information in each chapter is organized into a series of sections that consist of consecutively numbered subsections. Sometimes, related sections are grouped together under unnumbered center headings to help you navigate through the Circular.

Section numbers are not repeated between parts. Part 1 includes sections numbered 10 through 112 and appendices A through E; Part 2 includes sections numbered 200 through 233; and Part 3 includes sections numbered 300 and appendices 300A through 300C. We reserved certain section numbers for future use, so there are some gaps in the numbering scheme.

### How do I find information in the Circular?

At the beginning of the Circular, you will see a table of contents that identifies all the parts, chapters, sections and associated page numbers. There is also a table of contents at the beginning of each section that identifies the subsections and exhibits contained in that section. We summarize major changes in policies and requirements at the beginning of the Circular. In addition, we describe the changes that affect each section at the beginning of that section. At the end of the Circular, there is an index covering the three parts. Following the index, there is a list of OMB Circulars and Executive Orders referenced in A-11. OMB circulars are available for viewing or downloading at the following Internet address:

[www.whitehouse.gov/OMB/circulars](http://www.whitehouse.gov/OMB/circulars)

Presidential Executive Orders are available for viewing or downloading at the following Internet address:

[www.pub.whitehouse.gov/search/executive-orders.html](http://www.pub.whitehouse.gov/search/executive-orders.html)

### What common conventions does this Circular use?

The term *schedule* refers to a set of data within the MAX budget database that is complete in itself and describes a view or slice of the President's budget. The data in many of these schedules is printed in the budget *Appendix*, in which case the data in a schedule for a budget account defines a printed table in the *Appendix*. Schedules are described in section 79.

When the Circular refers to a specific year, assume it is a calendar year unless otherwise noted. The following phrases and abbreviations are used to identify specific fiscal years:

Fiscal Year	Description
Past year - 1 (PY-1)	The fiscal year immediately preceding the past year.
Past year (PY)	The fiscal year immediately preceding the current year; the last completed fiscal year.
Current year (CY)	The fiscal year immediately preceding the budget year.
Budget year (BY)	The next fiscal year for which estimates are submitted.
Budget year + 1 (BY+1) through budget year + 9 (BY+9)	The fiscal year following the budget year through the ninth fiscal year following the budget year.

Special budget terms, such as budget authority, obligations, and outlays, are defined in section 20.

**Who can answer questions about the Circular?**

The following table lists OMB organizational units with primary responsibility for certain sections of the Circular. Direct general questions on the instructions and underlying concepts to these units. Direct agency-specific questions on the application of these instructions, as well as on sections not listed below, to your OMB program examiner or Resource Management Office.

**LIST OF OMB CONTACTS FOR INFORMATION ON OMB CIRCULAR NO. A-11**

<b>Section No.</b>	<b>Description</b>	<b>OMB Contact</b>	<b>Telephone No.*</b>
PART 1			
52.2	Financial management budget justification	Financial Standards Reporting and Management Integrity Branch, Office of Federal Financial Management	395-3993
52.3	Report on resources for financial management activities	Federal Financial Systems Branch, Office of Federal Financial Management	395-5048
53	Information on technology management	Information Policy and Technology Branch, Office of Information and Regulatory Affairs	395-3785
54	Rental payments for space and land	Justice/GSA Branch, Transportation, Commerce, Justice, and Services Division	395-3442
55	Information on energy use, costs, and efficiency	Energy Branch, Energy and Science Division	395-3164
56	Information on drug control programs	Transportation, Commerce, Justice, and Services Division	395-4892
57	Information on violent crime control programs	Transportation, Commerce, Justice, and Services Division	395-4892
58.2	Information on Inspectors General for Designated Federal Entities	Financial Standards Reporting and Management Integrity Branch, Office of Federal Financial Management	395-1040
58.3	Justification of unobligated balances in credit liquidating accounts	Budget Concepts Branch, Budget Review and Concepts Division	395-3172
84	Additional data on research and development	Science and Space Programs Branch, Energy and Science Division	395-3935
100.3	Information on grants to State and local governments	Budget Analysis Branch, Budget Analysis and Systems Division	395-3945

<b>Section No.</b>	<b>Description</b>	<b>OMB Contact</b>	<b>Telephone No.*</b>
100.4	Information on motor vehicles	Budget Concepts Branch, Budget Review and Concepts Division	395-3172
100.5	Information on relocation expenses	Budget Concepts Branch, Budget Review and Concepts Division	395-3172
PART 2	Strategic plans, annual performance plans, annual program performance reports	Budget Concepts Branch, Budget Review and Concepts Division	395-3172
PART 3	Planning, budgeting, and acquisition of capital assets	Budget Analysis Branch, Budget Analysis and Systems Division	395-3945
—	MAX A-11 User's Guide	Budget Systems Branch, Budget Analysis and Systems Division	395-6934

\*Area code is 202