

Products, Roles, and Responsibilities for PPBES 9/30/04

Phase:	Planning	Programming	Budgeting	Execution	Other Responsibilities
<p>Org/Function</p> <p>Organization/Products</p> <p>Note: The products and the associated responsibilities below apply to the complete NOAA Program, i.e., the current program plus any program adjustments</p>	<ul style="list-style-type: none"> • NOAA Strategic Plan • Annual Guidance Memorandum (AGM) • Program Baseline Assessments (PBA's) including PART self-assessment • Goal Assessments 	<ul style="list-style-type: none"> • Program Guidance • Fiscal Guidance • Goal/Sub-goal Program Plan • Program Decision Memorandum and associated NOAA Program (including program structure) 	<ul style="list-style-type: none"> • NOAA Budget with associated justification • DOC Budget with associated justification • President's Budget with associated justification • Appropriation • Strategic Plan Budget View with documentation (e.g., performance measures); tracks with the official budget; organized by goals/programs; contains program level information that will support the generation of the Program Annual Operating Plans; updated based on further actions in budget cycle (e.g., passbacks) • Line/Staff Office Annual Operating Plans includes financial plan, performance measures and milestones • Program Annual Operating Plans includes financial plan, performance measures and milestones 	<ul style="list-style-type: none"> • Daily budget information • Table of Organization • Quarterly Reports • Quarterly Reviews • Annual Business Report • Annual Review • Apportionment/Reapportionment • Allotment/Allowances • Monthly Executive Review 	<ul style="list-style-type: none"> • Council developed policy and procedures
<p>Goal Leads/Sub Goal Leads</p>	<ul style="list-style-type: none"> • Assist with the update of the SP and the development of AGM by <ul style="list-style-type: none"> - Providing revised vision, strategy, and outcome measures for the goal, as necessary - Performing a Goal/Sub-goal Assessment (note: Process will encompass the PBA process of FY06) - Coordinating goal strategies and status with constituents and employees in conjunction with PPI and LOs 	<ul style="list-style-type: none"> • Lead development of Goal/Sub-goal Program Plan in coordination with program managers, line offices, and councils 	<ul style="list-style-type: none"> • Assist Program Managers with the generation/update of the Strategic Plan Budget View based on the PDM and subsequent guidance/decisions through the cycle (e.g., NOAA, DOC, OMB and congressional) • Assist with Line Office budget preparation • Represent the goal/sub-goal portion of the Budget through the cycle (e.g., DOC, OMB and congressional action) as requested • Recommend any needed changes in distribution of goal resources based on decisions through the cycle, as needed 		<ul style="list-style-type: none"> • Provide leadership and coordination across the goal continuously • Serve as principal coordinating body to ensure a consistent NOAA message to external partners and stakeholders (i.e., local, state, regional, national and international) for the goal • Perform special projects of interest to NOAA management within area of responsibility. • Represent goal to higher management authorities, as requested (e.g., DOC, OMB, congressional).

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Program Managers (including matrix managers)	<ul style="list-style-type: none"> • Assist in the update of the SP and development of the AGM through <ul style="list-style-type: none"> - Prepare Program Baseline Assessment and PART self-assessment to support the Goal/Sub-goal Assessment - Interaction with stakeholders and employees on proposed revisions, as requested 	<ul style="list-style-type: none"> • Participate in the development of the Goal/Sub-goal Program Plan 	<ul style="list-style-type: none"> • Assist with Line Office budget preparation • Assist with the development and maintenance of the program portion of the Strategic Plan Budget View based on PDM and subsequent guidance/decisions • Represent the program portion of the Budget through the cycle, as requested. • Recommend any needed changes in distribution of program resources based on decisions through the cycle, as needed • Develop and coordinate with LOs a Matrix Annual Operating Plan • Assist with the development of LO annual Operating Plans, as requested 	<ul style="list-style-type: none"> • Evaluate and report program performance compared to annual operating plan quarterly (viz., cost, schedule and performance) • Develop and coordinate needed changes to annual operating plan when baseline is breached/is in danger of being breached based on program performance or outside actions • Represent program as requested to higher management authorities (e.g., DOC, congress, etc.) 	<ul style="list-style-type: none"> • Provide leadership and coordination across the program continuously to ensure program goals are being met • Generate/update Program Charter as needed
AA's/Line Offices/Staff Offices	<ul style="list-style-type: none"> • Assist with the update of the SP and the development of AGM by <ul style="list-style-type: none"> - Assessing LO performance in programs - Providing data and information to program managers and Goal Leads to support PBA's and Goal/Sub-goal Assessments - Maintaining interactions with constituents and employees to provide a vehicle for the planning process (in conjunction with PPI) 	<ul style="list-style-type: none"> • Provide data and information to program managers and Goal Leads to support development of Goal/Sub-goal Program Plans • Review Goal/Sub-goal Program Plans and provide comments to PA&E • Evaluate and advise on feasibility of proposed LO support in Goal and Sub-goal Program Plans 	<ul style="list-style-type: none"> • Develop Line Office technical budget in accordance with PDM and Budget guidance/decisions • Assist NOAA Budget to develop budget submissions in LO and Goal format • Represent Budget through the cycle as requested • In consultation with Goal Leads and PPI, make changes in NOAA Budget based on decisions through the cycle as needed • Coordinate and concur with Matrix Annual Operating Plans which the LO supports • Develop an LO Annual Operating Plan 	<ul style="list-style-type: none"> • Execute assigned responsibilities in programs consistent with annual plans. • Evaluate and report LO performance compared to annual operating plan quarterly (viz., cost, schedule and performance) • Provide Program Manager data and information to evaluate program performance compared to plan quarterly • Implement needed changes to annual plan; major changes coordinated with the DUS; matrix program changes coordinated with matrix manager and PPI 	<ul style="list-style-type: none"> • Provide leadership in the delivery of products and services and fulfillment of mission responsibilities • Provide support to program managers, goal teams and councils in fulfilling their responsibilities • Supervise the program managers and co-supervise the matrix managers • Select program managers; nominate matrix managers and Goal Leads

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Councils	<ul style="list-style-type: none"> Develop thematic, multi-year plans as appropriate (e.g., NOAA Research Strategic Plan) Assist with the update of the SP and development of the AGM by <ul style="list-style-type: none"> Providing vision and strategy for theme area Coordinating theme plans and status with constituents and employees in conjunction with PPI and LOs Providing input for the PBA's and Goal/Sub-goal Assessment on issues under the jurisdiction of the council or committee 	<ul style="list-style-type: none"> Provide input to PAE regarding consistency of Goal/Sub-goal Program Plans with applicable NOAA policy Respond to programming guidance to councils 	<ul style="list-style-type: none"> CIO Council assesses all new IT capital investments 		<ul style="list-style-type: none"> Provide leadership and coordination across the theme continuously. Establish policies & procedures to ensure internal consistency in theme area. Represent NOAA policy/plans for theme area to constituents Providing policy assessments and proposals for NOAA-wide needs for the theme area. Establish performance measures and standards of compliance as applicable Perform special projects of interest to NOAA management within area of responsibility.
NEP	<ul style="list-style-type: none"> Recommend approval of the SP and AGM 	<ul style="list-style-type: none"> Recommend approval of the programming guidance priorities to the NEC Recommend approval of the PDM/NOAA Program to the NEC 	<ul style="list-style-type: none"> Recommend approval of the budget through all cycles 	<ul style="list-style-type: none"> Monitor all programs' performance quarterly; approve/implement needed adjustments Recommend approval of Annual Business Report 	<ul style="list-style-type: none"> Monitor/evaluate PPBES process; recommend needed changes Approve Matrix Managers Recommend approval of Goal Leads
NEC	<ul style="list-style-type: none"> Approve the updated SP and AGM 	<ul style="list-style-type: none"> Approve Programming Guidance priorities to U/S 	<ul style="list-style-type: none"> Approve budget through all cycles (e.g., NOAA, DOC, OMB and congressional actions) Make determinations on budget issues not resolved among goals/line offices or by the NEP 	<ul style="list-style-type: none"> Monitor all programs' performance quarterly; approve needed adjustments Approve Annual Business Report 	<ul style="list-style-type: none"> Approve the process for PPBES Approve Goal Leads
Under Secretary (actions separate from the NEC)		<ul style="list-style-type: none"> Approve fiscal guidance Approve final PDM/NOAA Program 	<ul style="list-style-type: none"> Approve final budget actions 		
Deputy Under Secretary (actions separate from the NEP/NEC)			<ul style="list-style-type: none"> Approve LO/SO Annual Operating Plans 	<ul style="list-style-type: none"> Conduct quarterly reviews 	
PPI	<ul style="list-style-type: none"> Manage the "planning" process of PPBES Lead the update the Strategic Plan and propose the Strategic Plan to the NEC for approval Oversee the development of PBA's and Goal/Sub-goal Assessments Lead development of the Annual Guidance Memorandum and propose the AGM to the NEC for approval 	<ul style="list-style-type: none"> Support PA&E in the conduct of the Programming phase Participate in Goal Teams program plan development 	<ul style="list-style-type: none"> Support NOAA Budget in the conduct of the Budgeting phase Approve Matrix Annual Operating Plans for matrix programs Assist the DUS in review of LO/SO Annual Operating Plans 	<ul style="list-style-type: none"> Monitor performance of matrix programs; approve/implement needed adjustments 	<ul style="list-style-type: none"> Serve as co-supervisor of matrix managers

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PA&E	<ul style="list-style-type: none"> Conduct independent analysis that contributes to the development of the Strategic Plan and the AGM Assist with the development or update of the strategic plan 	<ul style="list-style-type: none"> Manage “programming” phase of the PPBES process Conduct evaluation and analysis of Program Baseline Assessments and program plans Propose Programming Guidance Propose, in consultation with DUS and Budget Office, Fiscal Guidance Approve minor program adjustments Develop the <i>NOAA</i> Program Prepare Program Decision Memorandum (PDM) 	<ul style="list-style-type: none"> Assist Budget Office in the assessment of the impact of budget decisions 		
NOAA CFO	<ul style="list-style-type: none"> Participate in planning activities with Goal Teams 	<ul style="list-style-type: none"> Support PA&E in conduct of programming phase Consult with PA&E on development of fiscal guidance Participate in Goal Teams Program Plans development Provide assistance to PA&E on executability of proposed program adjustments 	<ul style="list-style-type: none"> Lead the “budgeting” phase of the PPBES Process Manage preparation of budget submission and Annual Performance Plan Review submissions for quality of justifications, impacts, performance measures, and executability Propose final budget actions including passback appeals, Q&A’s, etc. Develop summary level information for budget 	<ul style="list-style-type: none"> Overall responsibility for fiscal accountability Allocate funding Track and report spending Maintenance of official fiscal record for NOAA including quarterly and annual reports Lead for development of Annual Business Report and financial/performance accountability reports (e.g., GPRA performance measures) Prepare monthly line office execution reviews Management Initiative Tracking System (MITS) PART Reporting to the Department 	<ul style="list-style-type: none"> Functional owner of financial information and systems