

Appendix B

Budget Formulation PPBE Roles and Responsibilities

	OCFO	PA&E	CAMs	Centers	MSO	MDs	SMC	OMC	OLA	OPII
Strategic Planning Guidance (SPG)	<ul style="list-style-type: none"> • Provide input to PA&E including an explanation of changes from the last President’s Budget and recommendations concerning Programming Phase report templates • Review and provide comments on the draft SPG • Draft high level resource control totals, including narrative explanation of changes from the President’s Budget levels • Post final approved SPG on KIC. 	<ul style="list-style-type: none"> • Develop the NASA priorities in conjunction with the Administrator • Request input and develop draft SPG including templates for all formal reports required during the Programming Phase • Submit draft SPG for review and comment • Address comments, revise draft SPG accordingly, and submit to SMC • Present draft SPG to SMC and make any requested revisions • Provide final approved SPG to OCFO for posting on KIC. 	<ul style="list-style-type: none"> • Provide input to SPG • Review and provide comments on draft SPG 	<ul style="list-style-type: none"> • Provide input to SPG • Review and provide comments on draft SPG 	<ul style="list-style-type: none"> • Provide input to SPG • Review and provide comments on draft SPG 	<ul style="list-style-type: none"> • Provide input to SPG • Review and provide comments on draft SPG 	<ul style="list-style-type: none"> • Review draft SPG and identify any required revisions • Approve final SPG 			<ul style="list-style-type: none"> • Provide input to PA&E, including recommendations concerning Programming Phase report templates • Review and provide comments on the draft SPG

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Program and Resources Guidance (PRG)	<ul style="list-style-type: none"> Review CAM allocations to ensure compliance with SPG resource control totals Define requirements for tracking subsequent adjustments to resource control totals Issue the PRG 	<ul style="list-style-type: none"> Review CAM programmatic guidance to ensure compliance with SPG strategic guidance 	<ul style="list-style-type: none"> Develop programmatic guidance within strategic guidelines of the SPG Allocate SPG funding control totals to lower levels and identify direct FTE by program/project by Center Track and explain changes from SPG control totals 							
Program Analysis and Alignment (PAA)	<ul style="list-style-type: none"> Assist in design and guidance for PAA report template Review completed PAA reports to ensure resource figures are correct to reflect proposed funding and FTE changes from the PRG 	<ul style="list-style-type: none"> Develop and distribute PAA Report instructions Review and assess submitted PAA reports for completeness, identification of issues, and alternative approaches for resolution Develop a portfolio analysis and develop issue papers as required 	<ul style="list-style-type: none"> Complete PAA Reports for assigned programs, coordinating with program/project managers Adjust resource figures to reflect proposed funding and FTE changes from the PRG and explain adjustments 	<ul style="list-style-type: none"> Provide information and support to CAMs as requested Complete PAA Reports for CM&O Adjust and explain adjustments to resource figures to reflect proposed funding and FTE changes from the PRG Continue on-going discussions with program/project managers 						<ul style="list-style-type: none"> Assist PA&E in providing guidance for the PAA report. Review submitted Center CM&O PAA reports to ensure resource figures are correct and accurately reflect decisions concerning institutional integration Facilitate an institutional review with the Associate Administrator Develop consolidated CM&O PAA report and submit to PA&E

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Institutional Infrastructure Analyses (IIA)	<ul style="list-style-type: none"> Assist Centers and MSOs in development of the IIA reports 	<ul style="list-style-type: none"> Review the IIA reports Assist OPII in IIA report analysis 	<ul style="list-style-type: none"> Provide information and support to Centers and MSOs as requested 	<ul style="list-style-type: none"> Review PAA reports and determine level of support that can be provided to programs Estimate reimbursable FTE needs Complete IIA reports and submit to PA&E 	<ul style="list-style-type: none"> Review PAA reports and perform cross-cutting analyses Develop IIA reports as needed 					<ul style="list-style-type: none"> Review and analyze IIA reports Ensure institutional integration across all Centers Provide analysis results to PA&E
Program Review/ Issues Book	<ul style="list-style-type: none"> Assist PA&E analysis, particularly related to PRG or proposed changes in funding levels in PAA or IIA Reports Provide resource summary for inclusion in Issues Book 	<ul style="list-style-type: none"> Analyze all information from PAA and IIA Reports, clarify information as needed Resolve non-critical issues through deliberations with the affected NASA organization(s) and Headquarters authorities Document Decisions Develop draft Issues Book and distribute to OCFO and CAMs for review and comment Review resulting comments and develop final Issues Book 	<ul style="list-style-type: none"> Respond to PA&E/ OCFO questions for clarification Revise portions of PAA and/or IIA Reports as requested by PA&E Assist in development of Issues Book Review and comment on draft Issues Book 	<ul style="list-style-type: none"> Assist PA&E analysis, especially on questions relating to the PRG or changes in funding levels proposed in the PAA or IIA reports 	<ul style="list-style-type: none"> Assist PA&E analysis, particularly related to the PRG or proposed changes in funding levels in PAA or IIA Reports 					

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Program Decision Memorandum (PDM)	<ul style="list-style-type: none"> • Provide resource summaries for the PDMs 	<ul style="list-style-type: none"> • Prepare PDM documentation and disseminate final approved PDMs 	<ul style="list-style-type: none"> • Ensure full understanding of the PDM documentation 				<ul style="list-style-type: none"> • Decide on issues presented in the Issues Book and approve final PDMs 	<ul style="list-style-type: none"> • Review and analyze PAAA and IIA reports 		
Programmatic and Institutional Guidance (PAIG)	<ul style="list-style-type: none"> • Ensure CAM allocations comply or reconcile with total resource control totals in PDM • Distribute new resource control figures to the Centers 	<ul style="list-style-type: none"> • Ensure that CAM allocations comply with programmatic decisions in the PDM 	<ul style="list-style-type: none"> • Allocate programmatic and institutional PDM decisions into resource control figures by direct project by Center and direct FTE by project by Center 							<ul style="list-style-type: none"> • Ensure CM&O allocations comply or reconcile with CM&O resource control totals
OMB Budget	<ul style="list-style-type: none"> • Prepare and distribute instructions for development of OMB Budget submission to MD and MSO • Review budget input and ensure that budget submissions comply with PDM control totals • RPD - Ensure MD adjustments net to zero changes to individual Center FTEs 	<ul style="list-style-type: none"> • Evaluate budget submissions and MD adjustments to ensure compliance with the programmatic aspects of the PDM 		<ul style="list-style-type: none"> • Develop full cost distribution of PDM control totals by direct project and Center service pools by cost elements • Distribute CM&O by cost elements • Enter data in budgeting database 	<ul style="list-style-type: none"> • Develop distributions of PDM control totals by cost elements and submit to OCFO 	<ul style="list-style-type: none"> • Review Center full cost distributions to ensure compliance with the PDM and PAIG • Make Center FTE adjustments that net to zero • Develop narrative justifications for projects in accordance with OCFO instructions 				

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President's Budget	<ul style="list-style-type: none"> • Coordinate NASA budget hearings with OMB and ensure all OMB questions/issues are addressed. • Maintain resource control totals for the President's Budget submission. • Provide formats and instructions to Mission Directorates, Mission Support Offices, and Centers for the preparation of input to the President's Budget documents, the OMB MAX budget information system, and the IBPD • Oversee development and compilation of the IBPD • Ensure resource and performance levels used for input to the President's Budget documents and the IBPD correspond to 	<ul style="list-style-type: none"> • Serve as the primary contact with OMB • Prepare appeal letters on issues approved by the Administrator. • Ensure that the President's Budget input and the IBPD correspond to agreed NASA and Administration policies and strategic decisions through the clearinghouse process • Assist OCFO with the Administrator's budget statement and press conference information • Jointly with OCFO, prepare budget rollout materials • Take the lead role in preparing appeal responses to OMB and in preparing material in support of negotiations (meetings leading to settlement) 		<ul style="list-style-type: none"> • Provide input as required by OCFO to the President's Budget documents and IBPD • Recalculate resource and performance levels and develop narrative changes to correspond to changes negotiated between NASA and OMB 	<ul style="list-style-type: none"> • Provide input as required by OCFO to the President's Budget documents and IBPD • Recalculate resource and performance levels and develop narrative changes to correspond to changes negotiated between NASA and OMB 	<ul style="list-style-type: none"> • Provide input as required by OCFO to the President's Budget documents and IBPD • Recalculate resource and performance levels and develop narrative changes to correspond to changes negotiated between NASA and OMB 			<ul style="list-style-type: none"> • Serve as the primary contact with Congressional committees • Distribute IBPD and other budget documents to Congressional committees and staffs • Manage Agency presentation and defense of budget before Congress, including development of testimony and hearing records, briefing materials, correspondence with Congress, and responses to questions. 	

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	<p>levels agreed to by NASA and OMB and the resources requested correspond to the narrative justifications through the clearinghouse process</p> <ul style="list-style-type: none"> • Ensure MAX input and galleys are complete and consistent with other data. • Jointly with PA&E, prepare budget rollout materials • Work with PA&E in response to passback through appeals and settlement. • Coordinate development and submission of the institutional budget inputs (CM&O, Corporate G&A, and Institutional Investments). • Ensure submissions are in compliance with agency policy and senior leadership decisions. 									

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Appropriation	<ul style="list-style-type: none"> • Provide input to testimony and other support as required • Monitor Congressional action and initiate development of alternatives based on probable Congressional action related to resource levels or guidance 	<ul style="list-style-type: none"> • Provide input to testimony and other support as required 	<ul style="list-style-type: none"> • Provide input to testimony and other support as required 	<ul style="list-style-type: none"> • Provide input to testimony and other support as required 	<ul style="list-style-type: none"> • Provide input to testimony and other support as required 	<ul style="list-style-type: none"> • Provide input to testimony and other support as required 	<ul style="list-style-type: none"> • Review OFCO/PA&E analysis of OMB decisions 		<ul style="list-style-type: none"> • Coordinate testimony by the Administrator and others that may be requested by the Authorization or Appropriations Committees • Coordinate preparation of responses to Committee questions • Assist Committee staff in preparing for markup of budget request and in addressing amendments during floor consideration of bill • Provide information to Committee staff as to Agency budget priorities during Appropriations Conference activity 	