

**NATIONAL WEATHER SERVICE POLICY DIRECTIVE 1-3**

**March 03, 2017**

**Administration & Management**

**NWS GOVERNANCE**

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**NOTICE:** This publication is available at: <http://www.nws.noaa.gov/directives/>.

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The NWS Governance was designed to provide comprehensive end-to-end guidance on key corporate-level planning, budgeting, execution, and decision-making processes across the three-year budget cycle. The purpose of this policy is to establish the following NWS Governance processes represented in the components of the NWS Governance Document, which consists of an Overview Document and Governance Chapters. The Governance Overview and Chapters will be updated periodically through a process coordinated under the Office of Organizational Excellence (OOE). The following describes the scope of the Governance Overview and the Governance Chapters:

**Introduction:** The Governance Overview document describes the key concepts that underpin the NWS Governance and its relationship to the NWS budget structure and HQ organization, tenets and underlying principles, consolidated processes steps, roles, and responsibilities for each chapter, as well as process calendars and office functions.

**1.1 Strategic Management:** The Strategic Management Governance Chapter defines the process by which NWS develops strategic goals, objectives, and priorities and the process by which these strategies connect to and influence NWS programmatic and annual plans and budgets. The Strategic Management Governance Chapter outlines the roles, responsibilities and processes related to strategic management at the NWS.

**1.2 Budget Formulation:** The Budget Formulation Governance Chapter provides direction on planning, preparing, formulating and submitting the NWS budget to NOAA, DOC, and OMB for eventual inclusion into the President's Budget to Congress. The Budget Formulation Governance Chapter outlines the roles, responsibilities and processes related to budget formulation at the NWS.

**1.3 Portfolio Management:** The Portfolio Management Governance Chapter defines the disciplined and integrated approach to prioritize user requirements and allocate resources to select the best mix of executable development programs, and field office needs. The Portfolio Management Governance Chapter outlines the roles, responsibilities and processes related to portfolio management at the NWS.

**1.4 Annual Planning:** The Annual Planning Governance Chapter defines the annual process for developing organization-wide budgets, plans, and milestones rooted in portfolio management

and driven by long-term strategic goals, objectives and priorities articulated in corporate planning documents, including NWS strategic plans and the President's Budget. The Annual Planning Governance Chapter outlines the roles, responsibilities and processes related to annual planning at the NWS.

**1.5 Budget and Program Execution and Evaluation:** The Budget and Program Execution and Evaluation Governance Chapter details how the NWS budget is executed by NWS offices, the roles of OCFO, Portfolio Offices, and Financial Management Centers (FMC), and the different types of internal and external budget and program evaluations. The process initiates at the start of the fiscal year with an appropriation and outlines all the steps required to execute budgets, programs, and projects, including Quarterly Program Reviews (QPR) of all NWS budget portfolios, cross-cuts, and corporate governance. The Budget and Program Execution and Evaluation Governance Chapter outlines the roles, responsibilities and processes related to budget and program execution and evaluation at the NWS.

**1.6 Corporate Decision Making:** The Corporate Decision Making Governance Chapter defines the process for making informed decisions on issues and plans that cut across multiple NWS offices, portfolios and/or execution units; requiring input from a variety of managers to select the most appropriate course of action. The Corporate Decision Making Governance Chapter outlines the roles, responsibilities and processes related to corporate decision making at the NWS.

**1.7 Enterprise Risk Management:** The Enterprise Risk Management (ERM) Governance Chapter defines a framework by which the NWS identifies, assesses, controls, measures and monitors various risks and opportunities for achieving the organization's strategic and financial objectives. Enterprise risk management within NWS is distinct from program or project risk analysis and assessment. ERM is a process effected by the NWS' leadership, management and other personnel, and is applied in a strategy setting and across the whole agency. The Enterprise Risk Management Governance Chapter outlines the roles, responsibilities and processes related to enterprise risk management at the NWS.

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Signed  
Louis W. Uccellini  
Assistant Administrator for Weather Services

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2/17/2017  
Date

**GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION**

**References**

NWS Governance Overview, [NWS Governance Overview Document](#)

Strategic Management, [Strategic Management Governance Chapter](#)

Budget Formulation, [Budget Formulation Governance Chapter](#)

Portfolio Management, [Portfolio Management Governance Chapter](#)

Annual planning, [Annual Planning Governance Chapter](#)

Budget and Program Execution and Evaluation, [Budget and Program Execution and Evaluation Governance Chapter](#)

Corporate Decision Making, [Corporate Decision Making Governance Chapter](#)

Enterprise Risk Management Governance, [Enterprise Risk Management Governance Chapter](#)