

BUREAU OF BUDGET AND PLANNING

Resource Summary

(\$ in thousands)

Appropriations	FY 2012 Actual	FY 2013 CR ⁽¹⁾	FY 2014 Request	Increase/Decrease From FY2012
Positions - Enduring	74	74	74	0
Enduring Funds	12,161	13,007	15,830	3,669

(1) The FY 2013 CR is based on the annualized continuing resolution calculation for FY 2013 (P.L. 112-175).

Program Description

The Bureau of Budget and Planning (BP) provides the Secretary of State and Departmental leadership with analysis and recommendations to ensure that programs, policies, initiatives, and operations are adequately resourced and aligned to support Presidential and U.S. Government foreign policy priorities. BP administers the Department of State’s budget and performance planning, formulation, presentation, and budget execution activities for State Operations appropriations. At any given moment, BP is concurrently 1) reviewing the budget and planning submissions of 198 overseas missions and 41 Washington-based bureaus and offices and producing the decision documents in preparation for the budget build; 2) coordinating briefings and responding to Congressional inquiries to facilitate and expedite passage of the budget appropriation; 3) guiding Congressional notifications, developing and reviewing financial spending plans, maintaining the funds control procedures for current FY enacted funds and prior year carryforward balances, continually tracking spending and unobligated balances for a multitude of appropriations, and preparing quarterly and year-end financial reports as well as performance reports; and 4) assisting the Secretary of State and the Chief Operating Officer with leadership in driving performance improvement efforts across the organization.

The mission of BP is to effectively justify and manage the Department of State’s resources by delivering timely, accurate, and actionable information and advocate for the Department to receive adequate resources to fund programs, projects, and activities to meet its mission. BP accomplishes this mission by ensuring alignment between strategic planning, budget formulation, performance management, and funds controls processes and by providing Department leadership, bureaus, embassies and external stakeholders – principally Congress and the Office of Management and Budget (OMB) – with recommendations and analyses to inform critical management decisions and reinforce accountability.

The creation of BP in the spring of 2012 was a direct result of the 2010 Quadrennial Diplomacy and Development Review (QDDR), combining the Office of State Programs, Operations and Budget and the Office of Strategic and Performance Planning under a new entity that is directly accountable to the Department’s Chief Operating Officer, the Deputy Secretary for Management and Resources, and the Chief Financial Officer, the Undersecretary for Management.

The State Department has adopted four interrelated processes to assist with preparing, submitting, and executing the budget. This is highlighted by an integrated “Managing for Results Framework” that includes: (1) Planning, (2) Budgeting, (3) Managing, and (4) Measuring. Strategic plans, informed by policy priorities, provide guidance for the development of budgets and, ultimately, for operations. Sound performance management practices enable strategy and budget adjustments.

In conjunction with partners in the State Department’s Office of Foreign Assistance Resources (F) and U.S. Agency for International Development, BP oversees the development and implementation of the Department’s budget and planning processes for all of its overseas posts and domestic organizations.

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Performance

BP tracks the effectiveness and impact of the State Department's evaluation policy by measuring the change in the number of State Department evaluations that have occurred directly as a result of the policy. The target for FY 2014 is to increase the number of new evaluations from when the policy was first launched in February 2012 to 50 by September 30, 2014. These evaluations will serve to better inform programmatic and management decisions.

Strategic Goal 7: Build a 21st century workforce; and achieve U.S. government operational and consular efficiency and effectiveness, transparency and accountability; and a secure U.S. government presence internationally								
Strategic Priority		Planning and Accountability through QDDR Implementation						
Active Performance Indicator		NEW APP INDICATOR: Fully implement the Department's evaluation policy and practices by facilitating 50 new program evaluations by the end of FY 2014 and incorporating evaluation information in bureaus' and posts' planning and budget documents.						
Prior Year Results and Ratings					FY 2012		Planned Targets	
FY 2007	FY 2008	FY 2009	FY 2010	FY 2011	Target	Result and Rating	FY 2013	FY 2014
N/A	N/A	N/A	N/A	N/A	10	16 (baseline) ▲ Above Target	30	50
Reason for Exceeding Target		In FY 2012, the Department focused implementation of evaluation policy at the bureau level. Progress was made in FY 2012 on three major fronts: capacity building; supporting rigorous, high-quality evaluations of programs, projects, initiatives, approaches, etc.; and development of two-year Bureau Evaluation Plans (BEP) tied to a bureau's strategic objectives						
Impact		The implementation of evaluations of DOS-funded programs and projects supports the QDDR goal to increase the quantity and quality of evaluations of DOS-funded efforts in support of Bureaus' strategic goals and objectives. Overtime, this indicator will help inform answers to questions about what efforts are being evaluated and where the gaps are in terms of evaluations.						
Methodology		The Department's evaluation policy requires all bureaus to put in place a Bureau Evaluation Plan that describes two to four evaluations to be completed by FY 2014. Bureaus submitted BEPs in the Spring 2012 to the Directors of Budget and Planning (BP) and the Office of U.S. Foreign Assistance Resources (F) proposing 100 evaluations to be completed.						
Data Source and Quality		The DOS Evaluation Community of Practice (CoP) will be used to track number of evaluations completed. BP functional experts will review submissions to ensure they conform to DOS standards. DOS Evaluation CoP will be used to track number of evaluations completed.						

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Justification of Request

In FY 2012 the Department notified the Congress of the reorganization of the Bureau of Resource Management into two new offices: the Bureau of the Comptroller and Global Financial Services and the Bureau of Budget and Planning. The FY 2014 Request is the first budget in which the two bureaus' resources are presented under the newly approved framework. The BP request includes an increase of \$152,000 for American cost of living adjustment and domestic inflation.

The request also includes an increase of \$2.7 million to provide initial capitalization, oversight, and management of the Alternative Retirement Program (ARP) to improve the approximately 170 varied retirement plans for all overseas Locally-Employed Staff (LES). The Department will use the ARP to replace in whole or in part the various components of end of service benefit provisions in specific local compensation plans (LCPs) by authorizing changes to the LCP. The request will support payment of arrearages and unbudgeted retirement liabilities. This program will be managed in coordination with the Bureau of the Comptroller and Global Financial Services and the Bureau of Human Resources.

Resource Summary

	Positions					Funds (\$ in thousands)		
	American			FSN	Pos Total	Bureau Managed	American	Funds
	CS	FS Dom	Overseas				Salaries	Total
FY 2012 Actual	74	0	0	0	74	3,967	8,194	12,161
FY 2013 Estimate	74	0	0	0	74	4,813	8,194	13,007
FY 2014 Built-in Changes								
American COLA	0	0	0	0	0	0	75	75
Domestic Inflation	0	0	0	0	0	77	0	77
Total Built-in Changes	0	0	0	0	0	77	75	152
FY 2014 Current Services	74	0	0	0	74	4,890	8,269	13,159
FY 2014 Program Changes								
ARP/Unfunded Retirement Liability	0	0	0	0	0	2,671	0	2,671
Total Program Changes	0	0	0	0	0	2,671	0	2,671
FY 2014 Request	74	0	0	0	74	7,561	8,269	15,830

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Staff and Funds by Domestic Organization Units

(\$ in thousands)

Bureau of Budget and Planning (BP)	FY 2012			FY 2013			FY 2014			Increase/Decrease		
	Actual			CR			Request			From FY2012		
	Am	FSN	Funds	Am	FSN	Funds	Am	FSN	Funds	Am	FSN	Funds
Director of Budget and Planning	74	0	12,161	74	0	13,007	74	0	15,830	0	0	3,669
Total	74	0	12,161	74	0	13,007	74	0	15,830	0	0	3,669

Funds by Object Class

(\$ in thousands)

Bureau of Budget and Planning (BP)	FY 2012			FY 2013			FY 2014			Increase/Decrease		
	Actual			CR			Request			From FY2012		
1100 Personnel Compensation			5,886			6,470			6,941			1,055
1200 Personnel Benefits			2,468			2,468			2,497			29
2100 Travel & Trans of Persons			118			130			204			86
2300 Rents, Comm & Utilities			15			16			25			10
2500 Other Services			3,674			3,923			6,163			2,489
Total			12,161			13,007			15,830			3,669