

**APPLICATION OF PPBE PROCESS FOR  
ACTIVITIES FUNDED BY THE OFFICE  
OF THE ADMINISTRATOR  
APPROPRIATION**

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**NATIONAL NUCLEAR SECURITY ADMINISTRATION  
Office of Financial Management**



## **APPLICATION OF PPBE PROCESS FOR ACTIVITIES FUNDED BY THE OFFICE OF THE ADMINISTRATOR APPROPRIATION**

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1. **PURPOSE.** To highlight and assure conformance with the National Nuclear Security Administration (NNSA) Planning, Programming, Budgeting, and Evaluation (PPBE) processes for program direction activities.
2. **CANCELLATIONS.** None.
3. **APPLICABILITY.** All NNSA elements funded from the Office of the Administrator Appropriation. Program Direction resources for Naval Reactors and the Secure Transportation Asset are budgeted separately and are integrated with their respective program organizations' PPBE and are not subject to this policy.
4. **REQUIREMENTS.**
  - a. **Planning** to ensure that all current policies, requirements, external conditions, and emerging issues are identified and considered. See Business Operating Procedure (BOP)-001.1.

Planning cascades from the DOE Strategic Plan, NNSA Strategic Plan and from the NNSA Strategic Planning Guidance (NSPG) ultimately to Headquarters (HQ) and to all NNSA elements to assure clear leadership and direction. Long-term performance goals are established, validated and linked in a performance cascade to annual targets and detailed milestones. The Planning phase usually begins in November and ends in February. The NNSA Baseline Program reflected in the GPRA Unit/Multi-Year Program Plans (updated to reflect the current appropriation and the President's Budget Request) are used by DOE, OMB and Congress.

- (1) The Office of Financial Management (NA-MB-30) issues a Planning Call to get input for the NNSA Program and Fiscal Guidance.
- (2) The Management Council determines new initiatives and priorities.
- (3) The Office of the Administrator (NA-1) issues the Strategic Planning Guidance and the NNSA Program and Fiscal Guidance to initiate the Programming phase.
- (4) The Organizational elements develop Multi-Year Program plans with a requirements baseline.

- b. **Programming** to facilitate analysis, prioritization of requirements and updates to the NNSA FYNSP and to provide recommendations to the Administrator on resource allocations. See BOP-001.2.

During the Programming phase, programmatic requirements are considered from a fiscally conscious perspective. The process is centered on the current Baseline Program, considering changes and input from Headquarters program offices and the field. Budget and resource trade-offs and decisions are evaluated based on the impact to annual and long-term performance measures.

- (1) The Associate Administrator for Management and Budget (NA-MB-1) develops and issues a data call for requirements to NNSA programs and Site Offices funded by the Office of the Administrator, with programming guidance for the non-payroll components for input to funding and staffing requirements for the budget year +4.
- (2) NNSA organizational elements prepare respective data submissions in accordance with NA-MB-1 data call, targets, and NNSA Program and Fiscal Guidance. Organizational elements prepare a prioritized “walk-up” to their full requirements case.
- (3) The NA-MB-30 consolidates and synthesizes the data submissions for non-payroll components and updates the payroll components for all organizational elements.
- (4) The Associate Administrator for Management and Budget (NA-MB-1) conducts a review of consolidated requirements and preliminary decisions on prioritization of these requirements are made jointly with the Management Council on the current direction of the NNSA.
- (5) The Associate Administrator for Management and Budget (NA-MB-1) briefs NA-1 and the Program Review Council on the programming request.
- (6) NA-1, in consultation with the Program Review Council, makes decisions on the Office of the Administrator Programming request, including funding and staffing levels.
- (7) NA-MB-30 prepares a Decrement List and an Unfunded Priority List for the Office of the Administrator appropriation to facilitate resource decisions.
- (8) NA-MB-30 prepares the Office of the Administrator section of the Administrator’s Final Recommendations (AFR) that documents changes to NNSA’s Future Years Nuclear Security program. The NNSA FYNSP will be used during the DOE Strategic Resources Review (SRR) and result in the

DOE Program Decision Memorandum (PDM) which concludes the Programming Phase.

- c. **Budgeting** to integrate planning, and programming resource estimates into the “fiscally constrained” environment (Budget Formulation BOP-001.31 in draft).

The Office of Management and Budget (OMB) initiates this phase by issuing planning guidance for formulation of the organization’s portion of the President’s Budget Request. A PPBE Call for Budget Information is promulgated to program organizations. The data call includes target funding for non-payroll estimates and revised staffing requirements. The budgeting phase concludes with the submission of the President’s Budget Request to Congress.

- (1) NA-MB-30 issues the Call for Budget Information to NNSA programs including the Office of the Administrator.
- (2) NA-MB-30, under direction of NA-MB-1, updates the Office of the Administrator budget request in accordance with NA-MB-30 Budget Guidance.
- (3) NA-MB-30 submits OMB Budget Request to DOECFO for OMB Review and Passback decisions.
- (4) NA-MB-30 serves as NNSA Point of Contact (POC) for coordination with DOE CFO, OMB Passback and Appeals, and any other major decisions and/or milestones, and updates the GPRA Unit/Multi-Year Program Plans to reflect changes.
- (5) NA-MB-30 submits the NNSA portion of the President’s Budget Request to the DOE CFO.

- d. **Execution and Evaluation** to execute programs and to regularly review program and financial performance ensuring program resources are allocated consistent with NNSA priorities. NA-MB-30 projects payroll and staffing on a monthly basis to ensure adequate funding is available by site and headquarters organization (Budget Execution BOP-001.32 and Budget Evaluation BOP-001.4).

NNSA evaluation activities include establishment and maintenance of site allocations for non-payroll activities and include a set of tiered performance reviews to examine everything from detailed technical progress to program management controls to corporate performance against long-term goals. The key elements of this phase are: The OMB High Priority Performance Goals (HPPG) Reviews, NNSA Administrator Program Reviews, Quarterly reporting of progress through the

Department's Performance Measures Manager (PMM) tracking system, the NNSA Administrators Annual Performance Report and monthly financial analysis.

- (1) NA-MB-30 provides analysis of Congressional action to the Management Council on the status of the Office of the Administrator funding levels.
- (2) NA-MB-1 provides recommendations on corporate resource allocations to the Management Council.
- (3) Management Council, led by the Principal Deputy Administrator, makes final decisions on funding and staffing levels.
- (4) NA-MB-30 issues guidance to NNSA organizational elements and reviews the Implementation Plan that documents which activities will be accomplished within funding levels and includes a detailed spending plan to track obligations and costs.
- (5) NA-MB-30 updates the Spend Plan in accordance with Management Council decisions, and prepares Approved Funding Program (AFPs) to issue funding to the organizational elements.
- (6) NNSA organizational elements execute the non-payroll requirements in accordance with programmatic needs.
- (7) NNSA organizational elements submit AFP change requests, or any reprogramming requests to NA-MB-30; NA-MB-1 is the HQ advocate for those changes.
- (8) NA-MB-1 leads the Administrator's program review for the account.
- (9) NA-MB-30 develops and the Management Council approves any formal request for changes to the funding allocations (Congressional reprogrammings or notifications).
- (10) NA-MB-30 provides monthly analysis of obligation and cost data to all HQ elements.
- (11) NA-MB-30 meets monthly with NA-MB-1 management to review and summarize emerging NNSA Program Direction requirements and to determine funding sources.

5. REQUIREMENTS.

- a. Administrator (NA-1), NNSA, is responsible for:
  - (1) Issuing Program and Fiscal Guidance
  - (2) Making final program and resource decisions, in consultation with the Program Review Council, during the programming phase
  
- b. Associate Administrator for Management and Budget (NA-MB-1) is responsible for:
  - (1) Managing the corporate PPBE process for the Office of the Administrator's Program Direction requirements.
  - (2) Briefing NA-1/Program Review Council on Programming request.
  - (3) Leading Management Council discussions on resource adjustments.
  - (4) Providing direction on detailed allocations by object class for NA-1 and NA-MB-1.
  - (5) Leading Administrator's program review.
  
- c. Program Review Council is responsible for:
  - (1) Evaluation of programming inputs.
  
- d. Management Council is responsible for:
  - (1) Working jointly with the Associate Administrator for Management and Budget (NA-MB-1) to make decisions on the current and future direction of the NNSA and associated resource requirements.
  - (2) Determining new initiatives and priorities.
  - (3) Making final funding and staffing level decisions.
  - (4) Approving formal requests for changes to the funding allocations.
  
- e. Office of Planning, Programming, Budgeting and Evaluation (NA-MB-30) is responsible for:
  - (1) Issuing guidance for Planning, Programming, Budgeting and Evaluation.

- (2) Consolidating programming data and preparing required deliverables.
- (3) Facilitating corporate budget coordination (formulation and execution).
- (4) Preparing budget submissions and deliverables to OMB and Congress.
- (5) Updating semi-annual performance measurement data, annual HPPG and quarterly PMM updates.
- (6) Providing analysis of Congressional action.
- (7) Providing recommendations for resource allocations.
- (8) Updating Implementation Plan and GPRA Unit/Multi-year Program Plans.
- (9) Providing monthly AFP changes to CFO through the Fund Distribution System (FDS) (i.e. emergency allotments, prior year deobligation requests, reprogrammings).
- (10) Providing monthly WAs to program and site offices outlining AFP changes.
- (11) Developing requests for changes to funding allocations.
- (12) Estimating and developing payroll allocations for HQ and the field.
- (13) Tracking and verifying payroll for HQ and the field.
- (14) Providing monthly financial execution status and support services tables to HQ organizations.
- (15) Providing briefings for NA-1 reviews, OMB and Congressional staff.

f. NNSA Organizational Elements are responsible for:

- (1) Initiating deliverables to meet the PPBE process requirements.
- (2) Managing resources for non-payroll allocations.
- (3) Reviewing and verifying payroll estimates.
- (4) Providing direction on allocations by object class (travel, training, support services, and other related expenses).



- (5) Preparing the Office of the Administrator's FYNSP and the OA portion of the President's Budget Request in accordance with the NA-MB-30 Budget Call Guidance.
- (6) Submitting AFP change requests or reprogramming requests to NA-MB-30.

Organizational Elements include:

- (1) Office of the Administrator, NA-1.
- (2) Defense Programs, NA-10
  - (a) Livermore Site Office
  - (b) Los Alamos Site Office
  - (c) Sandia Site Office
  - (d) Nevada Site Office
  - (e) Kansas Cite Site Office
  - (f) Pantex Site Office
  - (g) Y-12 Site Office
  - (h) Savannah River Site Office
- (3) Defense Nuclear Nonproliferation, NA-20
- (4) Nuclear Counterterrorism Incident Response, NA-40
- (5) Management and Budget, NA-MB-1
- (6) Defense Nuclear Security, NA-70
- (7) Information Management & Chief Information Officer, NA-IM
- (8) External Affairs, NA-EA
- (9) General Counsel, NA-GC
- (10) Acquisition & Project Management, NA-APM
- (11) Safety and Health, NA-SH
- (12) Other Federal Offices created as part of NNSA

6. RELATED NNSA POLICIES AND COORDINATION.

- a. Information Technology
- b. Human Resources
  - i. Intern Program.
  - ii. Corporate Training Approach.
  - iii. Managed Staffing Plans.
  - iv. Retention, Recruitment, and Relocation Bonus Policy.
  - v. Performance Award Policies

7. CONTACT. The NNSA, Office of Financial Management, NA-MB-30, 202-586-1087.



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