



NNSA Policy Letter: BOP 452.3

Date: July 14, 2005

TITLE: Business and Operating Policy for the Conduct of the Annual Assessment of the National Nuclear Stockpile

- I. **OBJECTIVE:** To issue business and operating guidance whereby the National Nuclear Security Administration (NNSA) will execute its responsibilities in conducting the joint Department of Energy (DOE) and Department of Defense (DoD) Annual Stockpile Assessment Process.

- II. **BACKGROUND:**
 - A. The Nuclear Weapons Council Standing and Safety Committee (NWCSSC) memorandum regarding Annual Stockpile Certification, dated June 11, 1996, (Annual Stockpile Certification memorandum), provided the original policy and guidance for implementation of the Annual Stockpile Assessment Process developed by DoD and DOE to provide a status report to the President on the safety and reliability of the nuclear weapons stockpile and to address the question of whether underground nuclear testing was required to resolve any safety or reliability issues. Over the intervening years, the process as described in the Annual Stockpile Certification memorandum has evolved based on coordination between DoD and DOE effected in the Nuclear Weapons Council (NWC) and NWCSSC or their staff.

 - B. Starting with the 2003 assessment cycle, Congress provided specific guidance, milestones and deliverables for the annual stockpile assessment process. Section 3141 of the Bob Stump National Defense Authorization Act for Fiscal Year 2003, (Public Law 107-314) (Section 3141) codified key aspects of the existing Annual Stockpile Assessment Process and added a number of additional requirements for its scope and conduct.

 - C. NNSA's role in the Annual Stockpile Assessment Process, described below, is one of assisting the Secretary of Energy in the execution of his requirements, and oversight of the required work performed at the national security laboratories.

- D. The NWC has responsibilities for oversight of DOE nuclear weapons activity and resolution of nuclear weapons issues as the interface between the two departments for the military application of nuclear energy. The NWC will continue its involvement in the Annual Stockpile Assessment process as described by section 3141 and as represented in the attachment.
 - E. The attachment reflects the Annual Stockpile Assessment Process as it is currently performed by DoD and NNSA.
- III. APPLICABILITY: All Federal NNSA elements participating in the Annual Stockpile Assessment Process.
- IV. REQUIREMENTS:
- A. The Annual Stockpile Assessment Process described by References A and B. results in the generation of a number of reports and documents. Those for which NNSA has primary responsibility include:
 - 1. An Annual Assessment Report (AAR) for each warhead/bomb type in the stockpile to assess its safety, reliability, and performance. NNSA tasks the national security laboratories to produce these reports, provides the resources required, monitors their preparation, and assists in their coordination with external organizations (such as the Service Project Officer Groups).
 - 2. A letter report on these assessments from the head of each national security laboratory to be provided to the Secretary of Energy, the Secretary of Defense, and the NWC by December 1 of each year. The heads of each national security laboratory are also directed in Reference B to specifically comment on a number of issues related to the results of these assessments, including their determination as to whether or not one or more underground nuclear tests are necessary to resolve any issues identified in the assessments. These reports are typically referred to as the Laboratory Director Letter Reports. NNSA tasks the national security laboratories to produce these letter reports by the required date and provides the resources to do so.
 - B. NNSA also supports the preparation of other documents and reports that are generated as a part of the Annual Stockpile Assessment Process. These include:
 - 1. The STRATCOM Commander's (COMSTRAT) Annual Nuclear Weapons Stockpile Assessment. This document is similar to the letter reports submitted by the heads of the national security laboratories

described above. NNSA supports the preparation of the COMSTRAT document by having its national security laboratories provide technical presentations on the stockpile to the COMSTRAT Strategic Advisory Group-Stockpile Assessment Team (SAGSAT) during its Stockpile Assessment Conference. This panel has significant influence on COMSTRAT's annual assessment of the stockpile.

2. The Service Project Officer Group (POG) Reports. NNSA and the national security laboratories support the preparation of the POG reports through membership on the POG for each warhead/bomb type.
 3. The NWC Report on Stockpile Assessments. This document is an executive level summary of the results contained in the Annual Assessment Reports and reports by: the POG for each weapon; COMSTRAT; and, National Security Laboratory Directors. The document reflects a consensus between DoD and DOE on the safety, reliability, and performance of the stockpile and the need, or lack thereof, to return to underground nuclear testing to resolve an issue identified in the assessments. NNSA participates in the drafting, coordination, and approval of this document by virtue of its membership in the NWCSSC and NWC.
 4. Joint Memorandum signed by the Secretaries of Defense and Energy transmitting the results of the Annual Stockpile Assessment Process and including any comments or conclusions the Secretaries consider appropriate to make to the President. Reference B requires this submittal to consist of the Laboratory Directors letter reports, a similar letter from COMSTRAT, and the Joint Memorandum. Per Reference B, the reports from the Laboratory Directors and COMSTRAT are to be submitted without alteration. The package has also traditionally included the NWC Report on Stockpile Assessments described above. [Note: Taken all together, this package of documents is called the Report on Stockpile Assessments (ROSA).] NNSA participates in the drafting, coordination, and approval of this Joint Memorandum on behalf of the Secretary of Energy by virtue of its membership in the NWCSSC and NWC and because of its expertise on the subject. NNSA provides briefings on the results of the Annual Stockpile Assessment and the contents of the Joint Memorandum to the Secretary of Energy and secures his signature on the final Joint Memorandum.
- C. The process must support the Secretary of Energy's desire to have sufficient time and information to provide a well-informed assessment of safety, reliability, and

performance of the stockpile to the President. This is to include an in-person meeting with the Directors of the national security laboratories to discuss their reports.

- V. **RESPONSIBILITIES**: The responsibilities described below are in addition to existing responsibilities (such as providing representatives to the NWC, NWCSSC, and POGs).
- A. Administrator, NNSA (NA-1): Interface, as necessary, with the Secretary of Energy to fulfill the requirements of Section 3141 of Reference B and other requirements established by the NWC and/or NWCSSC.
 - B. Deputy Administrator for Defense Programs, NNSA (NA-10):
 - 1. Implement this Business and Operating Policy letter.
 - 2. Issue an annual tasking letter to the heads of the national security laboratories for the Annual Stockpile Assessment Process establishing key deliverable milestones and providing guidance for the upcoming Annual Stockpile Assessment Cycle.
 - 3. Appoint an individual (the Annual Stockpile Assessment Process Coordinator) responsible for providing Federal oversight of the NNSA activities conducted as part of the Annual Stockpile Assessment Process.
 - 4. Interface, as necessary, with the Administrator to fulfill the requirements of Section 3141 of Reference B and other requirements established by the NWC and/or NWCSSC.
 - C. Annual Stockpile Assessment Process Coordinator:
 - 1. Issue Annual Stockpile Assessment Cycle Execution Plan describing an overall schedule of events, milestones, and deliverables to integrate NNSA and national security laboratory activities to produce the reports for which NNSA is responsible (AARs and Laboratory Director Letter Reports).
 - 2. Monitor the progress of NNSA activities under this plan.
 - 3. Coordinate with NWC staff and NNSA NWC Action Officer on the drafting and coordination of the NWC Report on Stockpile Assessments and the Joint Memorandum.
 - 4. Ensure reports produced as part of the Annual Stockpile Assessment Process are appropriately coordinated and reviewed within NNSA.
 - 5. Act as point of contact for this Business and Operating Policy.

- D. Defense Programs Assistant Deputy Administrators (NA-11, NA-12, NA-13, and NA-16): Review draft Annual Stockpile Assessment products and provide comments to the Annual Stockpile Assessment Process Coordinator.
- E. NNSA NWC Action Officer: Coordinate NWC and NWCSSC Annual Stockpile Assessment Process activities with the Annual Stockpile Assessment Process Coordinator.

VI. REFERENCES:

- A. Nuclear Weapons Council Standing and Safety Committee (NWCSSC) memorandum, Subject: Annual Stockpile Certification, dated June 11, 1996.
- B. Bob Stump National Defense Authorization Act for Fiscal Year 2003, (Public Law 107-317), dated November 13, 2003.

VII. DEFINITIONS:

- A. Cycle - The collection of assessment and report preparation activities conducted on a recurring (annual) basis culminating in the required submittals to the President comprising the Report on Stockpile Assessments.
- B. Strategic Advisory Group Stockpile Assessment Team - A panel of the U.S. Strategic Command (USSTRATCOM) Federal Advisory Committee that independently assesses and reports on the safety, reliability and performance of the stockpile to COMSTRAT.
- C. Stockpile Assessment Conference - an annual conference conducted by USSTRATCOM at which the Project Officers Groups, the NNSA and the national security laboratories brief the SAGSAT on the state of warheads/bombs in the stockpile.

- VIII. POINT OF CONTACT FOR ADMINISTRATION POLICY LETTER: Annual Stockpile Assessment Process Coordinator, NA-13, 202-586-5630.


Linton Brooks
Administrator

Attachment:
Annual Assessment of the Stockpile Process Diagram

Attachment - Annual Assessment of the Stockpile Process Diagram

