

NNSA POLICY

NAP 121.1A

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ENTERPRISE-WIDE STRATEGIC PLANNING



NATIONAL NUCLEAR SECURITY ADMINISTRATION
Office of Policy and Strategic Planning

CONTROLLED DOCUMENT

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ENTERPRISE-WIDE STRATEGIC PLANNING

1. PURPOSE. To establish an enterprise-wide strategic planning policy for the National Nuclear Security Administration (NNSA) that ensures the development and integration of long-term strategic priorities.
2. AUTHORITY.
 - a. 50 United States Code (U.S.C.) 2402(d) gives the Administrator authority to establish NNSA-specific policies, unless disapproved by the Secretary.
 - b. 50 U.S.C. 2452, *Planning, programming, and budgeting process*, requires that the Administrator establish procedures to ensure that the planning, programming, budgeting, and financial activities of the Administration comport with sound financial and fiscal management principles.
3. CANCELLATION. NNSA Policy (NAP) 121.1, *Stewardship and Long-Term Strategic Planning for the Laboratories*, issued 12-1-16.
4. APPLICABILITY.
 - a. Federal. This applies to all NNSA federal elements.
 - b. Contractors. The Contractor Requirements Document (CRD), provided as Attachments 1- 3, sets forth requirements of this directive that apply to contractors. The CRD must be included in contracts of Management and Operating (M&O) contractors performing work for NNSA.
 - c. Equivalencies/Exemptions.
 - (1) Equivalency. In accordance with the responsibilities and authorities assigned by Executive Order 12344, codified at 50 U.S.C. sections 2406 and 2511, and to ensure consistency throughout the joint Navy/DOE Naval Nuclear Propulsion Program, the Deputy Administrator for Naval Reactors (Director) will implement and oversee requirements and practices pertaining to this Directive for activities under the Director's cognizance, as deemed appropriate.
 - (2) Exemption. None.
5. SUMMARY OF CHANGES. This NAP establishes the Office of Policy and Strategic Planning (NA-1.1) as the lead for all enterprise-wide strategic planning activities. It also expands the NAP's scope beyond the annual laboratory, plant, and site strategic planning activities to include strategic planning activities for the entire NNSA enterprise.
6. BACKGROUND. NNSA uses a tiered approach to strategic planning to achieve mission priorities. This approach is attained through specifying strategic goals and objectives from Department of Energy (DOE) and NNSA-level strategic planning documents. These strategic documents align with and support the mission priorities reflected in Administration-level national security policies, such as the *National Security Strategy*,

the *National Defense Strategy*, and the *National Strategy for Countering Weapons of Mass Destruction (WMD) Terrorism*, as well as the requirements laid out in the *Nuclear Posture Review*. Enterprise-wide strategic planning activities, such as those reflected in this NAP, reflect improved mission integration and alignment of planning activities across the enterprise in order to help NNSA become a more agile, responsive, and proactive nuclear security enterprise (NSE). The Account Integrator for each major appropriation (NA-10 for Weapons Activities, NA-20 for Defense Nuclear Nonproliferation, NA-30 for Naval Reactors, and NA-MB for Federal Salaries and Expenses) is responsible for integrating and prioritizing their respective portfolio. NNSA Account Integrators implement the strategic plans by overseeing the development of tactical plans for their respective accounts and through participation in subsequent financial Planning, Programming, Budgeting, and Evaluation (PPBE) processes.

The high-level objectives for establishing an NSE-wide strategic planning process are the following:

- a. Establish the agency-wide mission and mission priorities for the NSE and ensure all account and program objectives are consistent with, and support the achievement of, those missions and mission priorities, and tie to appropriate Administration-level national security policies.
- b. Identify interdependencies, synergies, and opportunities for collaboration throughout the enterprise, while recognizing particular operating procedures at specific labs, plants, and sites.
- c. Study and evaluate the intermediate and long-range strategic risks and opportunities to the enterprise and develop innovative solutions to NSE-wide challenges.
- d. Facilitate high-level discussions on the health of the NSE to identify trends that have the potential to affect NSE stewardship over the near-term, mid-term, and long-term; and to successfully manage and resolve cross-cutting issues that may affect a part, or all, of the NSE.
- e. Provide strategic direction to support the subsequent development of the annual Future Years Nuclear Security Program (FYNSP) financial planning and programming processes.
- f. Strengthen the partnership, trust, and transparency between NNSA and its M&O contractor partners.
- g. Empower Account Integrators to coordinate draft strategic planning inputs for their respective accounts to improve integration across NNSA elements.

7. REQUIREMENTS.

- a. NNSA must produce an agency-wide strategic vision and relevant supporting documents at least every 4 years, or at the start of each new Administration, and affirm long-term strategic priorities for the NSE annually.
- b. The process and responsibilities for implementing the Strategic Outlook Initiative (SOI) are provided in Attachment 2.
- c. The process for establishing the annual site-level strategic planning cycle by the NNSA laboratories, plants, and sites is provided in Attachment 3.
- d. NA-1.1 will develop and implement Strategic Planning Guidance annually per the process outlined in NAP 130.1A, Planning, Programming, Budgeting and Execution Process or successor directive.

8. RESPONSIBILITIES.

- a. NNSA Administrator (NA-1).
 - (1) Issues the *NNSA Strategic Vision* and supporting documents.
 - (2) Approves long-term strategic priorities for the NSE.
 - (3) Approves recommendations and action plans developed under the SOI.
 - (4) Approves and issues annual fiscal year Planning Guidance.
 - (5) Approves and issues the annual *Laboratory, Plant, and Site Strategic Planning Guidance*.
- b. Principal Deputy Administrator (NA-2). Provides overall leadership and advocacy for NSE-wide strategic planning.
- c. Director, Office of Policy and Strategic Planning (NA-1.1).
 - (1) Serves as the office of primary interest (OPI) for this NAP.
 - (2) Leads NSE-wide strategic planning processes and activities for NNSA.
 - (3) Works with the appropriate NNSA elements to identify the reporting structure, roles, responsibilities, and deliverables to support each enterprise-wide planning activity.
 - (4) Ensures consistency across enterprise-wide strategic planning activities.
 - (5) Leads the effort to draft the *NNSA Strategic Vision* and other supporting documents, as needed, every 4 years or at the start of a new Administration.

- (6) Coordinates with M&O partners, as appropriate, on NSE strategic planning efforts.

b. Account Integrators.

- (1) Ensure Account-specific strategic planning efforts align with NSE and Administration activities and priorities. Ensure alignment of strategic planning activities with ongoing activities and with respective program, functional, or field office planning efforts.
- (2) Support the development of the *NNSA Strategic Vision*, as needed, by identifying programmatic priorities and milestones.

c. Heads of NNSA Elements.

- (1) Support NSE-wide strategic planning efforts by providing subject matter expertise.
- (2) Support Account Integrators in the development of strategic planning products.

9. DEFINITIONS. See Appendix C

10. ACRONYMS. See Appendix B

11. REFERENCES.

- a. *NNSA Strategic Vision*, May 2019.
- b. *NNSA Governance & Management Framework*, May 2019.

12. CONTACT. Director, Office of Policy and Strategic Planning (NA-1.1), 202-586-8286.

BY ORDER OF THE ADMINISTRATOR:


Charles P. Verdon
Acting Administrator

Attachments:

- 1: Contractor Requirements Document
- 2: Strategic Outlook Initiative
- 3: Laboratory, Plants and Sites Strategic Planning

Appendix:
A: Planning Phase
B: Acronyms
C: Definitions

**ATTACHMENT 1: CONTRACTOR REQUIREMENTS DOCUMENT (CRD)
NAP 121.1A, *ENTERPRISE-WIDE STRATEGIC PLANNING***

1. INTRODUCTION. This Contractor Requirements Document (CRD) establishes the requirements for National Nuclear Security Administration (NNSA) Management and Operating (M&O) contractor partners to participate in NNSA's enterprise-wide strategic planning activities. It consists of Attachments 1, 2, and 3.

NNSA M&O contractor partners are responsible for complying with the requirements of this CRD. They are responsible for flowing down the requirements of this CRD to subcontractors at any tier to the extent necessary to meet the contractor's compliance with the requirements.

2. REQUIREMENTS. The M&O contracting partners must follow the requirements set forth in Attachment 2 (Strategic Outlook Initiative) and Attachment 3 (Annual Laboratory, Plant and Site Strategic Planning).

ATTACHMENT 2: STRATEGIC OUTLOOK INITIATIVE

Note: This attachment applies to NNSA federal and contractor personnel.

1. INTRODUCTION. This attachment describes the process and responsibilities for implementing the Strategic Outlook Initiative (SOI).

The SOI is an enterprise-wide, cross-cutting effort to look outside the program of record to identify long-term strategic and operational opportunities that may affect all or most elements of the nuclear security enterprise (NSE). Because of the cross-cutting nature of the work, it is managed by the Office of Policy and Strategic Planning (NA-1.1). The SOI creates enterprise-wide partnerships to undertake cross-cutting, “over-the-horizon (OTH)” analyses focused on identifying long-term risks and opportunities for consideration by NSE leadership.

The SOI is supported by the Strategic Outlook Steering Committee (SOSC), consisting of federal personnel, and the Strategic Outlook Initiative Team (SOIT), consisting of representatives from each Management and Operating (M&O) contractor partner. The SOSC is guided by a Charter and oversees the development of OTH studies. The SOSC ensures alignment of enterprise-wide, account-level, and program-level strategic planning activities and presents findings and recommendations to National Nuclear Security Administration (NNSA) leadership for consideration.

2. REQUIREMENTS.

- a. The SOI must support NNSA’s efforts to become a more agile, responsive, and proactive enterprise by providing decision-makers with the necessary tools to capitalize on opportunities of strategic significance as early as possible.
- b. The SOI must produce OTH studies outside the current program of record on an annual basis that will result in recommendations for NNSA leadership consideration.

3. RESPONSIBILITIES.

- a. Administrator (NA-1). Approves recommendations and action plans developed under the SOI.
- b. Principal Deputy Administrator (NA-2).
 - (1) Monitors the progress of the SOI.
 - (2) Reviews and provides guidance on topics for OTH studies and recommendations for leadership consideration on an annual or bi-annual basis, or as needed.

- c. Director, Office of Policy and Strategic Planning (NA-1.1).
 - (1) Oversees project management of the SOI.
 - (2) Manages funding for the SOI.
 - (3) Serves as co-chair of the SOSC.
 - (4) Serves as primary point of contact for the SOIT.
- d. Account Integrators. Ensure alignment of ongoing programmatic activities and program-level planning efforts with OTH studies and findings, as appropriate.
- e. Heads of NNSA Elements.
 - (1) Provide subject matter experts (SMEs) to the SOSC, as appropriate.
 - (2) Designate Co-chairs of the SOSC
- f. Management and Operating (M&O) Contractor Partners.
 - (1) Provide dedicated project coordinators to support the SOIT.
 - (2) Provide SMEs to support the development of OTH studies, as appropriate.
- g. Strategic Outlook Initiative Team (SOIT).
 - (1) Produce OTH studies.
 - (2) Provide support for other SOI – related enterprise-wide strategic planning activities.
- 4. PROCESS.
 - a. NNSA establishes an SOSC under a formal charter.
 - b. M&O contractor partners identify SOIT Project Coordinators.
 - c. The SOSC and the SOIT work together to develop the annual OTH study.
- 5. REFERENCES:
 - a. Executive Order 13450, *Improving Government Program Performance*, 11/13/2007.
 - b. NNSA Business Operating Procedure (BOP) 100.1, *Senior Leadership Councils*, dated 01-22-15

ATTACHMENT 3: LABORATORY, PLANT, AND SITE STRATEGIC PLANNING

Note: This attachment applies to NNSA federal and contractor personnel.

1. INTRODUCTION. This attachment describes the process for establishing an annual site-level strategic planning cycle for the National Nuclear Security Administration's (NNSA's) Management and Operating (M&O) contractor partners to ensure the development and integration of long-term strategic priorities for the enterprise.

The purpose of NNSA's laboratory, plant, and site strategic planning efforts is to:

- strengthen the partnership, trust, and transparency between NNSA and the M&O contractor partners who operate NNSA's laboratories, plants, and sites;
- facilitate high-level discussions on the health of the nuclear security enterprise (NSE) to identify trends that have the potential to affect NSE stewardship over the near-term, mid-term, and long-term; and
- successfully manage and resolve crosscutting issues that may affect a part, or all, of the NSE.

2. REQUIREMENTS.

- a. NNSA must issue annual site-level strategic planning guidance to M&O contractor partners to develop annual laboratory, plant, and site-level strategic planning documents.
- b. The annual site-level strategic planning guidance must outline the process, content requirements, and the timelines that must be followed by M&O contractor partners. The scope and length of the strategic planning documents may vary by year.

3. RESPONSIBILITIES.

- c. Administrator (NA-1). Issues the annual *Laboratory, Plant, and Site Strategic Planning Guidance*.
- d. Principal Deputy Administrator (NA-2). Sets or delegates the parameters for the content included in the annual guidance for strategic planning documents. This includes determining the frequency for developing comprehensive laboratory, plant, and site strategic plans, and determining whether briefings to senior NNSA leaders and key stakeholders by the M&O contractor partners is required.
- e. Director, Office of Policy and Strategic Planning (NA-1.1).
 - (1) Develops the annual *Laboratory, Plant, and Site Strategic Planning Guidance*.

- (2) Facilitates strategic planning discussions with the M&O contractor partners including workshops, as needed.
- (3) Coordinates with the Department of Energy (DOE) Office of Science on the DOE laboratory planning process.
- (4) Coordinates with the Account Integrators, NNSA Heads of Headquarters (HQ) Elements and Heads of Field Elements to ensure proper integration with account-level, program-level and site-level strategic planning documents and planning activities.
- (5) Distributes finalized documents.

f. Account Integrators.

- (1) Review Laboratory, Plant, and Site Strategic Planning Guidance.
- (2) Review draft strategic planning documents from M&O contractor partners and NNSA Element contributions to ensure alignment with Account-level strategic documents and planning activities.
- (3) Participate in discussions of the draft plans with NNSA and M&O leadership and provide feedback.

e. Heads of NNSA HQ Elements.

- (1) Review Laboratory, Plant, and Site Strategic Planning Guidance.
- (2) Review draft strategic planning documents from M&O contractor partners and ensure alignment with program-level strategic documents and planning activities.
- (3) Participate in discussions of the draft plans with NNSA and M&O leadership and provide feedback.

f. Heads of NNSA Field Elements.

- (1) Review Laboratory, Plant, and Site Strategic Planning Guidance.
- (2) Direct the respective M&O contractor partner to provide strategic planning documents, as specified by the annual guidance.
- (3) Participate in strategic planning discussions with the M&O contractor partners, as needed. Help ensure integration of mission work across the M&O contractor partners.
- (4) Review draft strategic planning documents from M&O contractor partners and ensure alignment with site-level strategic documents and planning activities.

- (5) In conjunction with its review process, facilitate discussions between M&O contractor partners on coordinating plans and updates from other sites to ensure proper mission integration.
- (6) Serve as the focal points at the respective sites for resolving NNSA comments before NA-1.1 distributes final documents.

g. M&O Contractor Partners.

- (1) Develop strategic planning documents in accordance with the annual strategic planning guidance.
- (2) Provide draft plans to the applicable Account Integrators and Head of Field Element.
- (3) Participate in inter-site reviews of draft strategic planning documents, as directed.
- (4) Provide the planning documents to NA-1.1 by the deadline in the annual strategic planning guidance.
- (5) Provide a management briefing to NNSA and M&O leadership on the strategic planning documents, if requested.
- (6) Provide final plans to NA-1.1 for distribution.

3. PROCESS.

- a. NNSA issues the annual *Laboratory, Plant, and Site Strategic Planning Guidance*.
- b. M&O contractor partners draft the site-level strategic plans in accordance with the annual strategic planning guidance. (M&O contractor partners will send the drafts to the respective NNSA Head of Field Element and to NA-1.1).
- c. Upon receipt of the draft strategic plans, NA-1.1 distributes them to account, program, functional, and field offices for review and comment as well as to M&O contractor partners.
- d. NA-1.1 coordinates NNSA comments and provides them to the M&O contractor partners and the respective NNSA Head of Field Element to resolve and revise.
- e. NA-1.1 may request the M&O contractor partners brief senior NNSA and M&O leadership and key stakeholders on their draft plans, as may be directed by NA-2.
- f. Once all comments are resolved, M&O contractor partners will provide final strategic plans to NA-1.1.

- g. NA-1.1 distributes the plans across the NSE, respecting constraints that apply for disseminating such information, and to key external stakeholders, as appropriate.

APPENDIX A: PLANNING PHASE

1. INTRODUCTION. This appendix describes the process for conducting the Planning phase of the annual planning, programming, budgeting, and evaluation (PPBE) process in the National Nuclear Security Administration (NNSA).

The Planning phase of the PPBE process includes the full range of work in a manner that is fiscally informed, but not constrained, to ensure all requirements and mission needs are incorporated. The resultant Planning Guidance supports the development of each program's internal planning process for the upcoming Future Years Nuclear Security Plan (FYNSP) and informs NNSA's enterprise-wide strategic planning process.

While planning is typically a year-round, continuous activity conducted by NNSA elements, a discrete Planning phase with stated objectives and guidance provided by the annual NNSA Planning Guidance ensures a corporate focus as preparations begin for the Programming phase.

NNSA uses a tiered approach to strategic planning to achieve its mission. This is attained by specifying strategic goals and objectives through Department of Energy (DOE)-level and NNSA-level strategic planning documents that are issued during each new Administration. These internal strategic documents must align with and support the mission priorities in the *National Security Strategy*, *National Defense Strategy*, and the *Nuclear Posture Review*, as well as priorities reflected in program level plans and input from NNSA contractors. Those priorities should drive the development of a budget that allows for timely execution of key mission priorities and enables NNSA to achieve its missions.

2. REQUIREMENTS.

- a. NA-1.1 will develop and implement Strategic Planning Guidance annually per the process outlined in NAP 130.1A, *Planning, Programming, Budgeting and Execution Process* or successor directive.
- b. The annual Planning Guidance must:
 - (1) Express NNSA's priorities and strategic vision.
 - (2) Identify ongoing strategic planning activities and those to be undertaken.
 - (3) List deliverables required to inform the programming cycle.
 - (4) Be signed by the Administrator.

3. REFERENCES.

- a. Executive Order 13450, *Improving Government Program Performance*, November 2007.

- b. NAP 130.1A, *Planning, Programming, Budgeting and Execution Process*, dated 12-09-19.

APPENDIX B: ACRONYMS

- a. FYNSP. Future Years Nuclear Security Program
- b. NSE. Nuclear Security Enterprise
- c. OPI. Office of Primary Interest
- d. OTH. Over-The-Horizon
- e. PPBE. Planning, Programming, Budgeting, and Evaluation
- f. SMEs. Subject Matter Experts
- g. SOI. Strategic Outlook Initiative
- h. SOIT. Strategic Outlook Initiative Team
- i. SOSC. Strategic Outlook Steering Committee

APPENDIX C: DEFINITIONS

- a. Account Integrator. The Account Integrator for each major appropriation (Weapons Activities, Defense Nuclear Nonproliferation, Naval Reactors, and Federal Salaries and Expenses) is responsible for integrating and prioritizing their respective portfolio.
- b. NNSA Element. An NNSA element is any federal NNSA program, field, functional, or other organization within the NNSA.
- c. NNSA Governance & Management Framework. The *Governance and Management Framework* focuses on the “One NNSA” team approach to mission integration and strategic planning and establishes clear roles and responsibilities across the enterprise. The Framework encompasses the Federal headquarters and field office staff, as well as the Management and Operating (M&O) partners.
- d. NNSA Strategic Vision. NNSA’s *Strategic Vision* identifies values, principles, mission priorities, and goals to ensure the NNSA is responsive to the Nation’s nuclear security and strategic defense needs.
- e. Over-the-horizon (OTH) studies. Consists of cross-cutting analyses focused on identifying long-term risks and opportunities for consideration by nuclear security enterprise (NSE) leadership. OTH studies are produced by the Strategic Outlook Initiative Team (SOIT).
- f. Planning, Programming, Budgeting, and Evaluation (PPBE). The NNSA PPBE process has four major phases for each budget cycle: Planning, Programming, Budgeting, and Evaluation (includes execution and performance). The PPBE process encompasses the procedures that ensure that the planning, programming, budgeting, and financial activities of the Administration comport with sound financial and fiscal management principles.
- g. Strategic Outlook Initiative (SOI). The SOI is an enterprise-wide, cross-cutting effort to look outside the program of record to identify long-term strategic and operational opportunities that may affect all or most elements of the NSE.
- h. Strategic Outlook Initiative Team (SOIT). As part of the SOI, this team consists of representatives from each M&O contractor partner.
- i. Strategic Outlook Steering Committee (SOSC). As part of the SOI, this team consists of federal personnel and is established under a formal charter.