

U.S. NUCLEAR REGULATORY COMMISSION MANAGEMENT DIRECTIVE (MD)

MD 6.10	STRATEGIC PLANNING	DT-17-144
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<i>Volume 6:</i>	Internal Management
<i>Approved By:</i>	Stephen G. Burns, Chairman
<i>Date Approved:</i>	August 15, 2016
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<i>Issuing Office:</i>	Executive Director for Operations Assistant for Operations
<i>Contact Name:</i>	June Cai 301-415-1771

EXECUTIVE SUMMARY

Management Directive (MD) 6.10, “Strategic Planning,” is being issued to replace, in part, MD 4.7, “Policies and Practices Governing NRC Long-Range Planning, Budget Formulation, and Resource Management” (Manual Chapter 1301). MD 4.7 addressed a broad scope of agency planning, budgeting, and financial activities. Based on Commission direction (COMSECY-13-0011), the Office of the Chief Financial Officer and the Office of the Executive Director for Operations are replacing MD 4.7 with four separate MDs: MD 4.7, “Budget Formulation”; MD 4.8, “Budget Execution”; MD 6.9, “Performance Management”; and MD 6.10, “Strategic Planning.” The administrative control of funds section in MD 4.7 was superseded by MD 4.2, “Administrative Control of Funds,” which was revised in 2015.

MD 6.10 describes the process used to generate the NRC Strategic Plan every 4 years. The strategic plan lays out the strategic goals, objectives, and strategies that provide the context for management decisions regarding performance goals, priorities, strategic human capital planning, and budget planning.

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I. POLICY

- A.** It is the policy of the U.S. Nuclear Regulatory Commission to prepare and submit a strategic plan as required by the Government Performance and Results Act Modernization Act of 2010 (GPRAMA). This plan lays out the strategic goals, objectives, and strategies to provide the context for management decisions regarding performance goals, priorities, strategic human capital planning, and budget planning.
- B.** The timing, schedule, and content of the NRC Strategic Plan must conform to the requirements of the GPRAMA and Office of Management and Budget (OMB) Circular No. A-11, "Preparation, Submission, and Execution of the Budget."

II. OBJECTIVES

- Ensure compliance in the strategic planning process with the GPRAMA and OMB Circular No. A-11.
- Provide policy guidance and direction for the agency's strategic planning process.
- Establish roles and responsibilities for the strategic plan update process.

III. ORGANIZATIONAL RESPONSIBILITIES AND DELEGATIONS OF AUTHORITY

A. Chairman

1. Appoints the Executive Director for Operations (EDO), who serves as the Chief Operating Officer (COO), and the Chief Financial Officer (CFO) subject to the approval of the Commission.
2. Initiates the update of the NRC Strategic Plan, including the proposed strategic plan framework, and presents the proposed update to the Commission for approval.
3. Serves as the agency spokesperson, and authors the Message from the Chairman included in the published strategic plan.

B. Commission

1. Approves the appointment of the EDO/COO and the CFO.
2. Reviews the Chairman's proposed strategic plan framework, the anticipated key external factors impacting the agency for the time period addressed by the strategic plan, and the evaluation and research that are used to develop the strategic plan.
3. Approves and modifies (if necessary) the proposed draft strategic plan before seeking comments from staff and external stakeholders.
4. Approves and modifies (if necessary) the proposed final strategic plan after review of staff and stakeholder comments.

C. Executive Director for Operations (EDO)

1. Serves as the COO, as designated by the Chairman and defined by the GPRAMA.
2. Serves as the agency's lead to provide overall management to monitor and improve agency performance and achieve the mission and goals of the agency through the use of strategic and performance planning, measurement, analysis, regular assessment of progress, and use of performance information to improve the results achieved.
3. Appoints the agency Performance Improvement Officer (PIO) and the Chief Information Officer (CIO), who report to the COO.
4. Promotes a results-oriented, performance-based management culture within the agency.
5. Directs office directors serving as business line leads to designate a senior level member of their staff to serve as a representative on the working group tasked to develop the strategic plan.
6. Engages the Commission on the timing and nature of their involvement by proposing a schedule that allows the agency to meet external due dates.
7. Leads the Deputy Executive Directors for Operations (DEDOs) and senior executives in reviewing and recommending changes to the existing strategic plan framework and the supporting information for external factors and evaluations and research, if warranted.
8. Reviews, endorses, and recommends to the Chairman the strategic plan framework and the external factors, evaluations, and research used in developing the strategic plan in accordance with OMB Circular No. A-11.

9. Reviews, endorses, and recommends to the Commission, through two Commission papers, the following key deliverables:

- (a) The draft strategic plan; and
- (b) The proposed final strategic plan, as revised after comments are reviewed, considered, and incorporated.

D. Performance Improvement Officer (PIO)

- 1. Serves as the agency's lead for the strategic planning program.
- 2. Serves as the agency's representative on the Performance Improvement Council (PIC) and the liaison with OMB and other Federal organizations that support PIC activities.
- 3. Leads and coordinates the systematic development of the strategic plan with all NRC offices.
- 4. Provides support to the COO and DEDOs in their review of the key deliverables listed in Section III.C.9 of this directive.

E. Chief Information Officer (CIO)

- 1. Serves as the agency's lead to set strategy and define the development processes, milestones, review gates, capital planning, enterprise architecture, project management, security risk tolerance, and reporting of all information technology/information management (IT/IM) resources.
- 2. Reports directly to the COO to carry out the IT/IM responsibilities of the agency.

F. Office of the General Counsel (OGC)

Provides legal advice to ensure that agency strategic planning complies with all applicable legal authorities.

G. Office Directors and Regional Administrators

- 1. Provide input and comments on the key deliverables developed during the strategic planning process, at the request of the COO.
- 2. Assign representatives to the Strategic Plan Working Group, as requested by the COO.

IV. APPLICABILITY

The policy and guidance in this directive and handbook apply to all NRC employees and contractors.

V. DIRECTIVE HANDBOOK

Handbook 6.10 contains the procedures and guidelines used to prepare and issue a strategic plan as required by the GPRAMA.

VI. REFERENCES

Nuclear Regulatory Commission

COMSECY-13-0011, "Management Directive 4.7, Policies and Practices Governing Nuclear Regulatory Commission Long-Range Planning, Budget Formulation, and Resource Management" (ML13078A042).

E-mail from Christine McDonald to Bill Borchardt, "Exemption from Priority Goals," July 20, 2011 (ML15106A633).

Management Directive—

4.7, "Budget Formulation."

4.8, "Budget Execution."

6.9, "Performance Management."

NUREG-1100, Performance Budget/Congressional Budget Justification, available at <http://www.nrc.gov/reading-rm/doc-collections/nuregs/staff/sr1100/>.

NUREG-1542, Performance and Accountability Report, available at <http://www.nrc.gov/reading-rm/doc-collections/nuregs/staff/sr1542/>.

NUREG-1614, NRC Strategic Plan, available at <http://www.nrc.gov/reading-rm/doc-collections/nuregs/staff/sr1614/>.

NUREG-1908, "Information Technology/Information Management Strategic Plan," available at <http://www.nrc.gov/reading-rm/doc-collections/nuregs/staff/sr1908/>.

Office of Management and Budget

OMB Circular A-11, "Preparation, Submission, and Execution of the Budget" (annually).

Public Laws

Federal Information Technology Acquisition Reform Act, Pub. L. 113-291, Title VIII, Subtitle D, 128 Stat. 3438-3450 (2014).

Government Performance and Results Act Modernization Act of 2010, Pub. L. 111-352, 124 Stat. 3866 (2011).

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I. BACKGROUND

A. Planning, Budgeting, and Performance Management Process

1. The Planning, Budget, and Performance Management (PBPM) process (see Exhibit 1 to this handbook) is the framework the U.S. Nuclear Regulatory Commission employs to meet the requirements of the Government Performance and Results Act Modernization Act of 2010 (GPRAMA). The GPRAMA requires Federal agencies to be results-oriented, linking work and resources to performance expectations.
2. The PBPM process enables the NRC to link budgeted resources with program performance. Through the PBPM process, the NRC establishes performance goals to identify the required work and the resources to conduct that work. PBPM

- is a continuous performance monitoring and review process. This process ensures that the agency is achieving its goals and performing activities in an effective and efficient manner.
3. The PBPM process links four essential elements into a performance framework. The four elements are strategic planning, budget formulation, budget execution, and performance management.
 - (a) Strategic Planning – provides for developing the strategic plan, where the long-term strategies and performance expectations for the agency are established, and provides guidance for the annual agency budget and performance plan.
 - (b) Budget Formulation – provides direction for determining the projected workload, resources, and performance indicators needed for formulating the annual budget to achieve the agency’s goals and strategic objectives. Budget formulation produces the annual performance budget that is submitted to the President and the Congress (see Management Directive (MD) 4.7, “Budget Formulation”).
 - (c) Budget Execution – provides for managing and using resources obtained through the budget formulation and appropriations process to accomplish the NRC’s goals and objectives. Budget execution provides the information needed for performance management and informs the next update of the strategic plan and the budget formulation cycle. The financial costs and results are presented to the public in the NRC’s audited financial statements published in the Performance and Accountability Report (PAR) (see MD 4.8, “Budget Execution”).
 - (d) Performance Management – provides the use of goals, indicators, targets, analysis, and data-driven reviews to improve the results of programs and the effectiveness and efficiency of agency operations. Performance management also contributes to the development of performance indicators in the annual performance plan (APP) and reporting of performance results in the annual performance report (APR) (see MD 6.9, “Performance Management”), which is included in the agency’s PAR.
 4. The components of the PBPM process are closely linked and complementary, reflecting a continuous cycle of performance management centered on outcomes. The NRC integrates its PBPM functions by aligning resources with the agency’s goals and establishing performance indicators to enable periodic measurement and monitoring of program execution. Continual performance assessments are used to analyze performance and seek improvements in effectiveness and efficiency.

B. Applicable Laws and Guidance

1. The Government Performance and Results Act Modernization Act of 2010

The GPRAMA requires Federal agencies to develop strategic plans with long-term goals, annually develop performance plans with performance goals and associated indicators, and report annually on prior year performance. The intent of the GPRAMA is to make Federal agencies more results-oriented by linking work and resources to performance expectations and assessing agency performance and improvement. The GPRAMA contains guidance for implementing strategic plans, APPs, and APRs.

2. Office of Management and Budget Circular No. A-11, "Preparation, Submission, and Execution of the Budget"

Office of Management and Budget (OMB) Circular No. A-11 provides requirements for the agency's performance budgeting process and execution of the budget. It includes guidance on how to prepare and submit materials required for OMB's presidential review of agency requests and formulation of the fiscal year budget. Additionally, the Circular provides the requirements for strategic plans, APPs, and APRs. It is revised annually.

3. Federal Information Technology Acquisition Reform Act

The Federal Information Technology Acquisition Act (FITARA) enhances the authority of the Chief Information Officer (CIO) related to agency information technology/information management (IT/IM). The CIO plays a significant role in the decision processes for all annual and multi-year IT/IM planning, programming, and budgeting. In addition, the CIO is responsible for agency IT/IM execution decisions, related reporting requirements, reports related to IT/IM, and the management, governance, and oversight processes related to IT/IM.

II. NRC STRATEGIC PLAN**A. Overview**

The strategic plan presents the agency's strategic goals, the agency's actions to realize those goals, and how the agency will address key challenges and external factors.

B. Objectives

1. Communicate a vision for the agency's future to OMB, Congress, NRC managers and employees, applicants, licensees, and the public.
2. Establish strategic goals and objectives to align resources, guide decisionmaking to improve outcomes by setting priorities, and inform agency decisionmaking about programmatic and support functions.

3. Establish the basis for planning across organizational operating units by laying the foundation for how agency components are to work toward common objectives.
4. Establish the basis for planning across the Federal Government to achieve shared objectives.

C. Timeframes

The GPRAMA aligns strategic planning with each 4-year Presidential term. It requires each agency to update and submit its strategic plan to Congress and the President in February of the year following the start of a new Presidential term. The strategic goals and objectives should be established for a period of not less than 4 years forward from the fiscal year in which it is published. As an example, the publication in February 2018 encompasses fiscal year (FY) 2018 – FY 2022, and the publication in February 2022 encompasses FY 2022 – FY 2026. See Exhibit 2 to this handbook for an example schedule for the FY 2018 – FY 2022 NRC Strategic Plan.

D. Content

The strategic plan should include the following information:

1. A comprehensive mission statement addressing the major functions and operations of the agency.
2. Outcome-oriented strategic goals and objectives for the major functions and operations of the agency.
3. A description of how goals and objectives contribute to the agency priority goals (APGs).¹
4. A description of how the goals and objectives are to be achieved.
5. A description of how the goals and objectives incorporate views and suggestions obtained through congressional consultations.
6. Selected performance goals that will help measure achievement of the goals and objectives in the strategic plan.
7. Identification of key factors external to the agency and beyond its control that could significantly affect the achievement of the strategic goals and objectives.

¹ The NRC is exempt from this requirement per OMB. See e-mail from Christine McDonald to Bill Borchardt, dated July 20, 2011, “Exemption from Priority Goals” (Agencywide Documents Access and Management System (ADAMS) Accession No. ML15106A633).

8. A description of the program evaluations used in establishing or revising strategic goals and objectives, with a schedule for future program evaluations to be conducted.

III. STRATEGIC PLAN WORKING GROUP

A. Group Members

The Strategic Plan Working Group (SPWG) consists of office and regional representatives who help the agency update the strategic plan in accordance with the GPRAMA and OMB Circular No A-11. The following directors designate representatives to the SPWG:

1. The Office of the Executive Director for Operations (OEDO) assigns a representative to lead the group.
2. The office directors who are the responsible business line leads assign a group member to represent each programmatic business line.
3. The regional administrators assign a single group member to represent the regions as a whole.
4. The Chief Financial Officer (CFO) assigns a group member to represent the financial management product line and to ensure coordination for related Office of the Chief Financial Officer (OCFO) responsibilities and publications.
5. The Deputy Executive Director for Materials, Waste, Research, State, Tribal, Compliance, Administration, and Human Capital Programs and the CIO assign group members to represent the remaining corporate support product lines.
6. The Director of the Office of International Programs assigns a group member to represent the international activities product line and to ensure coordination on the International Strategy.

B. Roles and Responsibilities

Each SPWG member functions as a senior programmatic specialist who is familiar with and is able to authoritatively represent the views of his or her business line lead and partner offices. Each member—

1. Provides policy, technical, and general advice and support in developing the strategic plan framework, draft strategic plan, and final strategic plan, in coordination with the OEDO.
2. Assists business line leads and partner offices to leverage knowledge gained through performance management tools, including logic models, in updating strategic plan components.

3. Involves internal and external stakeholders during the development of external factors.
4. Carries out day-to-day work in drafting and reviewing Commission papers and other deliverables related to the strategic plan.
5. Reviews and makes recommendations regarding comments submitted by stakeholders on the draft strategic plan.

IV. THE THREE-PHASE PROCESS

A. Phase I: Review and Update Strategic Plan Framework

1. Form the SPWG. This group consists of office and regional representatives who serve as a standing working group and communications conduit.
2. Plan and conduct assessments of external factors and of the strengths, weaknesses, opportunities, and threats associated with each objective. Obtain input from senior management, staff, and external stakeholders, including OMB and congressional staff members. As part of the assessment, consider the agency's performance in prior years' APPs and APRs.
3. Taking results of assessments into consideration, complete proposed revisions to the strategic plan framework, including mission, vision, goals, objectives, and strategies. Revise Appendices A, "External Factors," and B, "Research and Evaluations" of the strategic plan.
4. Submit framework with Appendices A and B to the Chairman for review, any modifications, and subsequent submission to the Commission for approval.
5. Modify the framework and the appendices in accordance with the Commission vote and the staff requirements memorandum (SRM).
6. Provide the framework and the appendices to OMB for comment.

B. Phase II: Develop Draft Strategic Plan

1. Complete the draft strategic plan, incorporating OMB comments, as appropriate, and submit to the Commission for approval.
2. Modify the draft plan in accordance with Commission vote and the SRM.
3. Issue the draft plan via a *Federal Register* notice (FRN) for a 30-day public comment period.
4. In coordination with the Office of Public Affairs (OPA), issue a press release to coincide with publication of the FRN.

5. In coordination with the Office of Congressional Affairs (OCA), request congressional comments.
6. Allow a 30-day external and internal stakeholder comment period, including congressional consultation.
7. Submit to OMB for information.

C. Phase III: Develop Final Strategic Plan

1. Analyze and address congressional, external, and internal stakeholder comments. Modify the strategic plan, as appropriate.
2. Submit the final strategic plan to the Commission for approval as an enclosure to the Chairman transmittal letter.
3. Modify the strategic plan in accordance with Commission vote and the SRM.
4. Submit the final plan to OMB for clearance by the required due date as specified in OMB Circular No. A-11.
5. Incorporate OMB comments after consultation with the Commission.
6. Publish and submit the final strategic plan to Congress and the President by the required due date as specified in OMB Circular No. A-11.

V. RELATED DOCUMENTS

The APP and APR are documents that describe how the agency will monitor the achievement of its strategic goals and objectives.

A. Annual Performance Plan

The APP is a description of the level of performance to be achieved during the year in which the plan is submitted and the next fiscal year. The APP should align with the agency's strategic goals and objectives defined in the strategic plan, explaining how they will be achieved. Strategic goals are advanced by strategic objectives, which are supported by specific performance goals and indicators. Results of agency progress on the performance goals outlined in the APP are presented and discussed in the APR. At this time, the APP is included in the Congressional Budget Justification (CBJ).

B. Annual Performance Report

The APR provides information on the agency's progress in achieving the goals and objectives described in the strategic plan and the APP, including progress on strategic objectives and performance goals. At this time, the APR is included in the PAR.

C. Other Strategic Documents

Any program or office-level strategic documents, such as the Information Technology/Information Management Strategic Plan (NUREG-1908), should be consistent with the NRC Strategic Plan (NUREG-1614).

VI. RESOURCES AND TOOLS

The Performance Improvement Officer (PIO) will provide the resources and tools, including access to strategic planning management subject matter experts, information, and automated tools necessary for an effective strategic plan.

VII. GLOSSARY**Congressional Budget Justification**

Each year, the NRC publishes its CBJ. This publication describes the agency's programs in the performance plan, the budget estimates for these program activities, and the distribution of the budget. The performance plan also includes goals and measures that gauge the agency's success in accomplishing its mission.

Information Technology/Information Management Strategic Plan

The NRC's IT/IM Strategic Plan (NUREG-1908) describes how IT/IM activities at the NRC contribute to the agency's mission. Each 5-year IT/IM plan lays out the mission and vision for the agency's IT/IM programs and establishes goals, along with strategies for accomplishing those goals and measures of success in their attainment.

Lead Office

An office with the overall lead for a business line.

Partner Office

An office, other than the lead office, with budgeted resources in a business line.

Performance and Accountability Report

The PAR (NUREG-1542) is the NRC's annual report on operations. It includes a report on the agency's programmatic performance; management's discussion and analysis; the audited financial statements of the NRC; the Office of the Inspector General's assessment of the NRC's most serious management and performance challenges; and other information.

Performance Improvement Council

Composed of the PIOs of Federal agencies and departments, as well as senior OMB officials, the PIC collaborates to improve the performance of Federal programs. The PIC facilitates information exchange among agencies, including providing information to assist them to assess problems and opportunities; plan and set priorities; identify, adopt, and promote proven practices; adjust actions quickly based on ongoing assessments of experience; monitor and reduce risks; and report candidly and concisely to key stakeholders to accelerate agency and program performance improvements

Performance Indicator

The indicator for a performance goal that will be used to track progress toward a goal or target within a timeframe.

Revalidation

The U.S. Government Accountability Office/OMB definition of validation is that information in indicators is free of error or bias and actually measures what it was intended to measure. Revalidation includes validation and verification and consideration of additional factors such as whether the indicator is consistently met, whether a new one needs to be created, or whether an existing indicator needs to be more challenging.

Strategic Plan Framework

The basic structure of the strategic plan, consisting of the agency's mission, vision, strategic goals, objectives, and strategies.

Target

The level of performance that is needed to meet a performance indicator.

VIII. ACRONYMS

ADAMS	Agencywide Documents Access and Management System
AO	Assistant for Operations
APG	Agency Priority Goals
APP	Annual Performance Plan
APR	Annual Performance Report
CBJ	Congressional Budget Justification
CFO	Chief Financial Officer

CIO	Chief Information Officer
COO	Chief Operating Officer
DEDO	Deputy Executive Director for Operations
EDO	Executive Director for Operations
FITARA	Federal Information Technology Acquisition Reform Act
FRN	Federal Register Notice
FY	Fiscal Year
GPRAMA	Government Performance and Results Act Modernization Act of 2010
IT/IM	Information Technology/Information Management
MD	Management Directive
NRC	U.S. Nuclear Regulatory Commission
OCA	Office of Congressional Affairs
OCFO	Office of the Chief Financial Officer
OEDO	Office of the Executive Director for Operations
OMB	Office of Management and Budget
OPA	Office of Public Affairs
PAR	Performance and Accountability Report
PBPM	Planning, Budgeting, and Performance Management
PIC	Performance Improvement Council
PIO	Performance Improvement Officer
SPWG	Strategic Plan Working Group
SRM	Staff Requirements Memorandum

EXHIBITS

Exhibit 1 Planning, Budgeting, and Performance Management Process



Exhibit 2 Example Schedule for Completion of FY 2018-2022 Strategic Plan

Task Name	Duration	Start	Finish
Phase I: Review and Update Strategic Plan Framework	160 days	Mon 08/01/16	Fri 03/10/17
Form a Strategic Plan Working Group.	6 weeks	Mon 08/01/16	Fri 09/09/16
Plan and conduct assessments of external factors and of the strengths, weaknesses, opportunities, and threats associated with each objective. Obtain input from Senior Management, staff, and external stakeholders, including OMB and congressional members.	8 weeks	Mon 09/12/16	Fri 11/04/16
Taking results of assessments into consideration, complete proposed revisions to the strategic plan framework, including mission, vision, goals, objectives, and strategies. Revise Appendices A, "External Factors," and B, "Research and Evaluations."	4 weeks	Mon 11/07/16	Fri 12/02/16
Submit framework with Appendices A and B to the Chairman.	2 weeks	Mon 12/05/16	Fri 12/16/16
Receive Commission vote and SRM.	4 weeks	Mon 12/19/16	Fri 01/13/17
Modify framework and appendices in accordance with the Commission vote and SRM.	4 weeks	Mon 01/16/17	Fri 02/10/17
Provide to OMB for comment.	4 weeks	Mon 02/13/17	Fri 03/10/17
Phase II: Develop Draft Strategic Plan	115 days	Mon 03/13/17	Fri 08/04/17
Complete the draft NRC strategic plan, incorporating OMB comments, as appropriate, and submit to Commission for approval.	4 weeks	Mon 03/13/17	Fri 04/07/17
Receive Commission vote and SRM.	6 weeks	Mon 04/10/17	Fri 05/19/17
Prepare <i>Federal Register</i> notice (FRN) for a 30-day public comment period.	2 weeks	Mon 05/22/17	Fri 06/02/17
Modify draft plan in accordance with Commission vote and SRM.	4 weeks	Mon 06/05/17	Fri 06/30/17
Issue a FRN for a 30-day public comment period. Issue a press release to coincide with publication of the FRN.	1 week	Mon 07/03/17	Fri 07/07/17
Allow a 30-day external and internal stakeholder comment period, including congressional consultation.	4 weeks	Mon 07/10/17	Fri 08/04/17
Phase III: Develop Final Strategic Plan	135 days	Mon 08/07/17	Fri 02/02/18

Analyze and address comments, including congressional and internal and external stakeholder comments. Modify Strategic Plan as appropriate.	5 weeks	Mon 08/07/17	Fri 09/01/17
Submit final Strategic Plan, including Chairman transmittal letter to the Commission for approval.	2 weeks	Mon 09/04/17	Fri 09/15/17
Receive Commission vote and SRM.	6 weeks	Mon 09/18/17	Fri 10/27/17
Modify plan in accordance with Commission vote and SRM. Submit to OMB for clearance.	4 weeks	Mon 10/30/17	Fri 11/24/17
Allow OMB a 2-week review period.	2 weeks	Mon 11/27/17	Fri 12/08/17
Incorporate OMB comments after consultation with the Commission.	4 weeks	Mon 12/11/17	Fri 01/05/18
Publish and submit final strategic plan to Congress and the President by required due date.	4 weeks and 1 day	Mon 01/08/18	Mon 02/05/18