CHAIRMAN OF THE JOINT CHIEFS OF STAFF INSTRUCTION

J-8
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CJCSI 3137.01B
15 April 2002

THE JOINT WARFIGHTING CAPABILITIES ASSESSMENT PROCESS

References(s): See Enclosure I.

1. <u>Purpose</u>. This instruction provides joint policy and guidance on the role, organization, process interrelationships, management, and operation of the Joint Warfighting Capabilities Assessment (JWCA) process.

2. <u>Cancellation</u>. CJCSI 3137.01A, 22 January 1999, "The Joint Warfighting Capabilities Assessment Process," is canceled.

3. <u>Applicability</u>. This instruction applies to the Joint Staff, Services, combatant commands, Defense agencies, and joint and combined activities.

4. <u>Policy</u>. This instruction sets forth the procedures and documents necessary to enable the Chairman of the Joint Chiefs of Staff (hereafter referred to as Chairman or CJCS) to fulfill the responsibilities under title 10, U.S. Code sections 113(g)(1), 153, and 163 (reference a). The Chairman:

   a. Advises the Secretary of Defense (SecDef) on the priorities of the requirements identified by the combatant commanders.

   b. Advises the Secretary of Defense on the extent to which program recommendations and budget proposals of the military departments and other components of the Department of Defense conform with the priorities established in strategic plans and with the priorities established for the requirements of the combatant commands.

c. Submits to the Secretary of Defense alternative program recommendations and budget proposals, within projected resource levels and guidance provided by the Secretary of Defense in order to achieve greater conformance with these priorities.

d. Recommends to the Secretary of Defense a budget proposal for activities of each combatant command.

e. Advises the Secretary of Defense on the extent to which the major programs and policies of the armed forces in the area of manpower conform to strategic plans.

f. Assesses military requirements for defense acquisition programs.

5. <u>Responsibilities</u>. See Enclosure B.

6. <u>Summary of Changes</u>. This instruction incorporates significant changes to the JWCA process and organization resulting from the Joint Requirement Oversight Council (JROC) evolution initiatives begun in February 2000. In addition to summarizing changes within the JROC process affecting responsibilities and ongoing JWCA functions, this instruction includes new JWCA functions for strategic topic assessments, requirements oversight, and integration/standardization. This instruction also includes a new enclosure pertaining to JROC/JWCA resource management.

7. <u>Effective Date</u>. This instruction is effective upon receipt.

8. <u>Releasability</u>. This instruction is approved for public release; distribution is unlimited. DOD components (to include the combatant commands), other Federal agencies, and the public may obtain copies of this instruction through the Internet from the CJCS Directives Home Page--http://www.dtic.mil/doctrine. Copies are also available through the Government Printing Office on the Joint Electronic Library CD-ROM.

For the Chairman of the Joint Chiefs of Staff:

JOHN P. ABIZAID
Lieutenant General, USA
Director, Joint Staff

Enclosures:
A--The Joint Requirements Oversight Council Process
B--The Joint Warfighting Capability Assessment Process
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ENCLOSURE A

THE JOINT REQUIREMENTS OVERSIGHT COUNCIL PROCESS

1. Purpose. This enclosure summarizes major aspects of the JROC process that are discussed in detail in the JROC Charter (CJCSI 5123.01).

2. Introduction. The JROC supports the Chairman's title 10 responsibilities to advise the Secretary of Defense on requirements, programs, and budgets. The JROC directs the JWCA process to support its mission.

3. JROC Mission. Title 10, U.S. Code, section 181, directs the Secretary of Defense to establish the JROC. In addition to other matters assigned to it by the President, the Secretary of Defense, or the Chairman, the JROC shall:

    a. Assist the Chairman in identifying and assessing the priority of joint military requirements (including existing systems and equipment) to meet the national military strategy.

    b. Assist the Chairman in considering alternatives to any acquisition program that has been identified to meet military requirements by evaluating the cost, schedule, and performance criteria of the program and of the identified alternatives.

    c. Assist the Chairman in assigning joint priority among existing and future programs meeting valid requirements, ensuring that the assignment of such priorities conforms to and reflects resource levels projected by the Secretary of Defense through defense planning guidance.

    d. Assist the Chairman in fulfilling title 10 functions identified in sections 153 and 163, to include assisting the Chairman in the formulation of programmatic advice to the Secretary of Defense.

4. JROC Organization

    a. JROC Membership. The Chairman chairs the Council. The functions of the JROC Chairman are delegated to the Vice Chairman of the Joint Chiefs of Staff. Service JROC membership consists of an Army, Marine, and Air Force officer in the rank of general, and a Navy officer in the rank of admiral. The Director, J-8, performs the function of JROC Secretary. The combatant commanders, or their appropriate representatives, have open invitations to attend JROC sessions.

b. <u>The Joint Requirements Board</u>. The Joint Requirements Board (JRB) is comprised of flag officers from each of the Services, designated by the JROC member of the Service concerned, and is chaired by the JROC Secretary. As the JROC supports the Chairman in carrying out his responsibilities, the JRB functions to assist the JROC in carrying out its duties and responsibilities. Functions of the JRB are specified in CJCSI 5123.01A.

c. <u>The Joint Requirements Panel</u>. The Joint Requirements Panel (JRP) is comprised of O-6s from each of the Services, a representative from the Defense Intelligence Agency (DIA), and is chaired by the Deputy Director for Resources and Requirements, J-8. As the JRB functions to assist the JROC in carrying out its duties and responsibilities, the JRP functions to assist the JRB/JROC by primarily focusing on the materiel requirements process. However, individual Service representatives on the JRP serve a dual function by assisting their JRB principal on all JROC matters. The major JRP functions are specified in CJCSI 5123.01A.

5. <u>JROC Communications</u>. JROC communications, including the JWCA process, are separate, unique, and do not follow normal Joint Staff or Service channels. Direct communications are necessary to facilitate and expedite JROC information flow. Communications between the JROC and the Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)) are direct. These channels are normally via memorandum from the JROC Chairman to USD(AT&L) and return; or from the JROC Secretary to the Defense Acquisition Board (DAB) Executive Secretary and return. Likewise, communications from the JROC to the Services are direct. Service principals will identify a Service point of contact (POC) with direct access to that principal to assist and facilitate JROC matters. Priority communications will be direct from the JROC Chairman or the JROC Secretary to the Service Principal and return. Routine communications will be from the JROC Secretariat or the JWCA Team Leader to the Service POC and return.

6. <u>JROC Information Availability and Releasability</u>

a. The JROC Secretariat is the approval authority for release of all official JROC information and documents. JROC predecisional documents and briefings may not be released without the prior approval of the JROC secretariat and J-8/Joint Requirements Division (JRD). Additionally, all JWCA team briefings fall under the category of predecisional information. Once these briefings are presented to the JRP, JRB or JROC, they can only be modified or released in accordance with JRP, JRB, or JROC guidance.

b. The JROC secretariat will maintain all minutes and memorandums related to the JROC process, including those related to the Enhanced Joint Requirements Board (EJRB). Reference b provides a description of the EJRB. Non-EJRB minutes and memorandums will be accessible to the Services, DIA, and the Joint Staff. Office of the Secretary of Defense, combatant commands, and other DOD agencies will be provided these materials upon request. EJRB-related materials will only be available for review by properly accessed EJRB/JROC members.

c. When the Secretary of Defense approves a recommendation of the Chairman, oversight information with respect to the recommendation produced as a result of JROC activities will be made available in a timely fashion to the congressional defense committees.

d. Other JROC information may be released to Congress and other non-DOD entities only after case-by-case review and coordination with the JROC Secretariat, JROC, Services, and applicable Joint Staff offices (e.g., Legal Counsel, Public Affairs, and Legislative Assistant), as appropriate.

7. <u>JROC/JWCA Interface</u>. The JWCA teams provide the analytical underpinning for the development and refinement of issues that support JROC priorities. This includes participation in the requirements generation process, development of JROC guidance, operational concepts, architectures, programmatic assessments and alternative programmatic recommendations. As such, JWCA efforts are governed exclusively by the JROC. Enclosure B provides a detailed description of the JWCA process and organization. JWCAs support the JROC in the following functions:

a. Strategic Topic Assessments (Enclosure C).

b. Stand-Alone Assessments (Enclosure D).

c. Requirements Integration Oversight (Enclosure E).

d. Integration/Standardization (Process Integration Teams) (Enclosure F).

e. Chairman's Programmatic Recommendations and Assessment (CPR and CPA) (Enclosure G).

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ENCLOSURE B

THE JOINT WARFIGHTING CAPABILITY ASSESSMENT PROCESS

1. Purpose. This enclosure describes the organization and functions of the JWCA process.

2. Introduction. The JWCA process exists to support the Chairman and the JROC in accordance with CJCS/JROC guidance. JWCAs provide analytic support for JROC discussions and decisions on joint operational concepts, operational views of integrated architectures, requirements, and programmatic issues.

3. JWCA Mission. JWCA teams enable the JROC to serve as the architect of the future joint force, including the realization of Joint Vision 2020. They assist the Chairman in executing his title 10 responsibilities by providing assessments and recommendations that enhance requirements integration and promote joint operational concepts and operational views of integrated architectures to advance joint, combined, and coalition warfighting, and when appropriate, leverage US Joint Forces Command Joint Concept Development and Experimentation. Specific priorities for the JWCA teams will be derived from the Chairman's JROC guidance memorandum and from the JROC. Specific JWCA responsibilities include:

   a. Provide assessments and recommendations that enable the JROC to:
        (1) Make integrated joint requirements decisions.

        (2) Identify the priority of joint requirements and alternatives to acquisition programs.

        (3) Develop requirements guidance and direction on joint operational concepts and operational views of integrated architectures.

        (4) Give programmatic advice to the Chairman.

   b. Incorporate joint concept development and experimentation efforts and other assessments into the JROC decision-making processes, as applicable.

   c. Assist the JROC in defining the scope and objectives for Senior Warfighter Forums (SWARFs), and provide analytic support as directed by the JROC.

d. Assess and provide a framework/recommendations to address future warfighting shortfalls in identified operational concepts with respect to doctrine, organization, training, materiel, leadership, personnel, and facilities (DOTMLPF).

e. Provide assessments and recommendations with respect to how Defense agencies could improve their support to warfighting forces.

f. Provide the combatant command, Service, or agency specific analyses and assessments, including Joint Monthly Readiness Review (JMRR) deficiencies, in support of CJCS and JROC guidance.

g. Provide a venue for combatant commanders to address near-term programmatic issues when other means are not available.

4. JWCA Organization

a. The current JWCA organization consists of the eight-matrixed teams depicted in Figure B-1.

Figure B-1. JWCA Areas, Sponsors, and Participants

b. Each team has a JROC-approved domain and key characteristics that detail the JWCA team areas of responsibility. Domains are listed in Appendix A of this Enclosure.

c. The JROC Chairman will appoint a Joint Staff Director to sponsor each JWCA team. Sponsors will appoint a flag/general officer to provide direct functional oversight and guidance. Each JWCA team will have a full-time O-6 team leader appointed by the JWCA sponsor, action officers with warfighting and functional area expertise, and when appropriate, contractor support. JWCA teams must be adequately staffed to ensure that all the functions outlined in this instruction are fully supported. Actual levels of effort for each JWCA team will vary based on JROC priorities and the nature and scope of ongoing issues. However, in accordance with guidance from the Director, Joint Staff, each Joint Staff JWCA sponsor will dedicate annually a minimum of 3 work-years of military manpower per JWCA team available for JROC tasking.

d. Additional contractor support for specific JWCA efforts will be provided by J-8 in accordance with JROC priorities and available resources.

5. <u>JWCA Functions</u>. JWCA team functions and organization are described below:

JWCA FUNCTIONS AND ORGANIZATION

Core Functions	Strategic Topic Assessment Function	Integration & Standardization Function
• Materiel Requirements Oversight • DOTMLPF Review • Stand-Alone Topics • SWARF, JMRR Support • Programmatic Support 　• CPR, CPA	• High-Priority Topics with Strategic Impact • Three General Categories: **• Operational Concepts and Integrated Architectures** **• Future System Requirements** **• Future/Legacy Systems**	• Requirements and Interoperability • Architecture • DOTMLPF • Joint Experimentation
Core JWCA Team:	**Task Organized Team:**	**Process Integration Tms:**
• Team Lead • JWCA Action Officers • Req'd Contractor Support • Service/OSD/combatant command Reps	• Lead JWCA Team • One or More Supporting Teams • Reps from other Teams • J-8/Contractor Support • OSD Support (as required)	• Standing Teams Composed of Reps From Each JWCA, J-8, Joint Staff, JFCOM, Services, combatant commands, and OSD as required.

Figure B-2. JWCA Functions and Organization

a. <u>Core Functions</u>. The core functions represent "in-house" efforts of individual teams directed by the JROC. While all JWCA efforts must be completed in compliance with established standards, core functions do not require extensive cross-JWCA coordination to complete. In addition to supporting core functions, each JWCA team will identify representatives to the Process Integration Teams identified in subparagraph 5c below and discussed at Enclosure F.

b. <u>Strategic Topic Assessment Function</u>. The strategic topic assessment function provides analyses and assessments in support of CJCS/JROC strategic guidance. The strategic guidance identifies CJCS, JROC, combatant command, and Service priorities for the development of mid- to long-term JWCA studies designed to profoundly impact future joint warfighting. The broad scope of such studies requires the coordinated effort of task-organized JWCA teams. Details concerning this function are provided in Enclosure C.

c. <u>Integration and Standardization Function</u>. The goal of the integration and standardization function is to ensure consistency and compliance of JWCA efforts through configuration control and continuity management for key enablers (i.e., requirements/interoperability, architectures, DOTMLPF, joint experimentation). This function is facilitated via employment of standing process integration teams led by J-8/JRD, Requirements and Acquisition Division (RAD)), with representatives from each JWCA, appropriate Joint Staff, Service, and USJFCOM representatives. Details concerning this function are provided in Enclosure F.

6. <u>Oversight/Management</u>

a. This section outlines responsibilities for oversight and management of the JWCA process.

b. Participant Responsibilities:

(1) <u>Joint Requirements Oversight Council</u>. The JROC oversees the JWCA process as follows:

(a) Directs JWCA teams to examine key relationships and interactions between joint warfighting capabilities.

(b) Reviews JWCA team assessments and recommendations designed to improve joint warfighting effectiveness.

(c) Coordinates JWCA findings with the combatant commands to assess acceptable risks and to ensure that joint warfighting requirement priorities are satisfied within established DOD resource constraints, while simultaneously ensuring requirements integration and joint interoperability, promoting joint operational views of integrated architectures and economies of scale, and reducing parallel and duplicative efforts.

(d) Determines which JWCA recommendations to refer to the Chairman for possible inclusion in the CPR or CPA.

(2) <u>Director for Force Structure, Resources, and Assessment (J-8), Joint Staff</u>. Reference b outlines the general responsibilities of the JROC Secretary. Specifically, the JROC Secretary:

(a) Supports the JROC and combatant commanders in executing and integrating the JWCA process by planning and coordinating JWCA briefings to the JROC and periodic JROC trips to the combatant commands.

(b) Ensures the JWCA administrative procedures are performed in accordance with references b and g.

(c) Provides periodic updates to the Office of the Secretary of Defense (OSD) to ensure integration of the JWCA process with other DOD activities.

(3) <u>Joint Requirements Board</u>. The role of the JRB is to assist the JROC in integration and oversight of the JWCA process. The JRB performs four specific integration and oversight functions:

(a) Reviews JWCA topics prior to JROC consideration.

(b) Identifies additional JWCA topics for JROC consideration and advises the JROC on other issues that require council review.

(c) Provides a focus for JWCA teams by shaping and directing the assessment process via initial review of team insights, findings, and recommendations as well as follow-on guidance and direction prior to final JROC review.

(d) Interfaces with the combatant command staffs on capabilities issues to ensure that the assessment process incorporates the combatant commanders' joint requirements.

(4) <u>Joint Requirements Panel</u>. The JRP will assist the JRB by coordinating and integrating Service participation in JWCA team efforts. The JRP will review JWCA insights, findings, and recommendations concerning integrated operational concepts and architectures and related products, and provide appropriate recommendations to the JRB.

(5) <u>Combatant Commanders</u>. Combatant commander participation is essential to the success of the JWCA process. This includes the following combatant commander actions:

(a) Proposes topics for strategic and stand-alone assessments in accordance with Enclosures C and D.

(b) Provides inputs to assist the Chairman in developing the CPR and CPA in accordance with Enclosure G.

(c) Provides JWCA team support for combatant commander-sponsored JMRR issues and combatant commander-led SWARFs as required by Enclosure D.

(d) Participates in JWCA team meetings to provide feedback on assessments and combatant commander issues or concerns to the JWCA team leader.

(e) Sponsors semiannual visits with the JRB and JROC to encourage further open and candid interaction within the process.

(6) <u>JWCA Sponsors</u>. The JROC chair appoints Joint Staff directors as JWCA sponsors. Each JWCA sponsor:

(a) Establishes JWCA teams to carry out the JWCA functions identified in paragraph 5 above in accordance with JROC directives and Director, Joint Staff, manning guidelines.

(b) Assigns a subordinate Joint Staff general/flag officer (GO/FO) to directly oversee their respective JWCA teams.

(c) Assigns a Joint Staff officer, in the grade of O-6, whose full-time duty is to serve as team leader for the directorate's JWCA team.

(d) Dedicates minimum 3 work-years of military manpower annually to the directorate's JWCA team for use by the JROC.

(e) Provides functional oversight and guidance.

(f) Conducts open, inclusive, regular meetings with balanced participation from the Services, combatant commands, OSD, Reserve Components, Defense agencies, and Joint Staff representatives.

(g) Periodically briefs JWCA team assessments to the JROC. This responsibility can be delegated to the JWCA GO/FO.

(h) Accompanies the JROC on periodic visits to the combatant commanders. This responsibility can also be delegated to the JWCA GO/FO.

(i)   Ensures consonance between JWCA recommendations and other products of the Joint Strategic Planning System (JSPS) outlined in reference c.

(7)   <u>JWCA GO/FO</u>. Each JWCA GO/FO:

(a) Ensures the JWCA team fulfills JROC-directed responsibilities and taskings.

(b) Provides direct supervision of the JWCA team leaders.

(c) Provides direct functional oversight of the JWCA team efforts.

(d) Presents the JWCA results to the JROC, as required.

(e) Accompanies the JROC and JRB, as directed, on periodic visits to the combatant commanders.

(8)   <u>JWCA Team Leaders</u>. Each JWCA team leader:

(a) Directs and guides the team in completing JROC-assigned tasks in support of the JWCA functions identified in paragraph 5 above.

(b) Ensures that all the JWCA team members, including combatant command representatives, participate in the assessment efforts throughout the process.

(c) Ensures the team's efforts are coordinated with other JWCAs as directed or when applicable.

(d) When part of a JWCA task force effort, supports the lead JWCA as required, and as outlined in the JROC Strategic Planning Directive.

(e) Holds periodic JWCA team meetings that enable members to actively participate.

(f) Organizes the JWCA team's work as directed by the JROC in accordance with the JRB guidance and the functional advice of the JWCA sponsor and GO/FO.

(g) Ensures the team presentations to the JRP, JRB, and JROC are prepared in accordance with guidelines established by the Joint Requirements Division (JRD) of J-8.

(h) Requests JROC approval of all proposed JWCA efforts. Requests resources to support approved JWCA efforts in accordance with JROC guidance and the administrative procedures established by JRD.

(i)   Accompanies the JROC and the JRB on periodic combatant commander visits to brief JWCA topics, coordinate JWCA work with combatant commander's staffs, and to solicit feedback.

(j) Ensures the JWCA team domain is reviewed, updated, and approved by the JROC annually. This action ensures that the JWCA's domain remains relevant and accurate.

(k) Ensures that a JWCA team charter is developed and submitted to the JROC for approval. Subsequently, ensures the charter is reviewed and updated annually.

(9) <u>JWCA Team Members</u>. JWCA team members bring critical warfighting and functional expertise to the JROC process. They provide the intellectual capital to facilitate the JROC's development of guidance on operational concepts, operational views of integrated architectures, requirements integration, and programmatic recommendations. At any given time, individual JWCA members may be required to support more than one of the JWCA functions identified in paragraph 5 above and discussed in the enclosures. Active participation of JWCA team members is essential to the success of the process. As required, Service representatives coordinate for required subject matter expertise to support topics addressed by the JWCA team.

(10) <u>J-8/JRD</u>. The JRD chief is the JRB secretary and is responsible to the JROC for the administration of the JWCA process. JRD, in conjunction with RAD, assists the Director, J-8, in fulfilling the responsibilities of the JROC secretary and supports JROC and JWCA processes as follows:

(a) Provides direct JROC support to include planning and integration of CPR and CPA development, combatant commander liaison trips, Integrated Priority Lists (IPLs), JMRRs, and combatant commander quarterlies, requirements generation oversight, acquisition oversight, science and technology oversight, schedule, documentation, correspondence, and trip coordination support.

(b) Provides JROC process support to include program support, integration and guidance, knowledge and information management support, JROC resource management and oversight,

management and oversight of assessments and analytic support, and SWARF support.

(c) Provides JROC process integration to include management and oversight of the Architecture, DOTMLPF, and Joint Experimentation Process Integration Teams to ensure integration, configuration control, standardization, and continuity management (Enclosure F).

(11) J-8/RAD. The RAD Chief is responsible for managing the Joint Staff review process regarding Major Defense Acquisition Programs (MDAPs), Advance Concept Technology Demonstrations (ACTDs), and Science and Technology (S&T) efforts. RAD serves as the Joint Staff point of contact for all acquisition policy matters and is the Joint Staff point of contact for all MDAPs and non-MDAP special interest items reviewed by the JROC. This includes supporting JROC resolution of cross-Service requirements and interoperability issues, overseeing joint and combined interoperability requirements, and monitoring combatant commander's warfighting requirements to address deficiencies. RAD supports the JROC processes as follows:

(a) Manages the materiel requirements generation process for JROC oversight of MDAPs and JROC special interest items for non-major programs in accordance with reference e.

(b) Identifies JWCA procedures for and integration of materiel requirements generation documents in accordance with reference e.

(c) Provides JROC process integration to include management and oversight of the Requirements Integration/Interoperability Process Integration Team to ensure integration, configuration control, standardization, and continuity management (Enclosure F).

(12) JWCA Communications. Like the JROC process, the JWCA process does not use JS Form 136 to coordinate official Service or agency positions. In accordance with the JROC charter, communication among the JWCA team leader and the Service, combatant command, or agency representatives will be direct. Full participation in the process by the Service, combatant command, and agency representatives allows various organizational perspectives and expertise to be brought to the process. However, participation shall not be construed as official Service, combatant command, or agency coordination or concurrence.

(13) Information Technology. In consonance with the Clinger-Cohen Act of 1996 and title 10, the Director Architecture and Interoperability in the Office of the DOD CIO, will serve in an advisory role on Information Technology including National Security Systems. In

addition, the DOD CIO will support JROC responsibilities for developing and validating the operational views of integrated architectures, as well as ensuring interoperability.

      (14) <u>JWCA Domains</u>. See Appendix A to this enclosure.

APPENDIX A TO ENCLOSURE B

JWCA TEAM DOMAINS

1. <u>Dominant Maneuver</u>. Assess capabilities that enable joint forces to gain advantage with decisive speed and agility by scaling and massing force or forces and the effects of lethal or nonlethal fires through the application of information, deception, engagement, mobility and counter-mobility capabilities.

2. <u>Precision Engagement</u>. Assess operations that link sensors, delivery systems, and effects. It includes the spectra of kinetic-to-non-kinetic weapons, lethal-to-non-lethal effects, and peacetime-to-wartime operations. Its actions may include conventional, special operations, or information operations forces.

3. <u>Information Superiority (IS)</u>. Assess capabilities that enable joint forces to gain and sustain information superiority in order to achieve decision superiority using command and control (C2) functions and information operations (IO) across the entire spectrum of military operations. By integrating C2, IO, intelligence, surveillance, and reconnaissance (ISR) and the communication and computer environment, IS enables the full potential of Dominant Maneuver, Precision Engagement, Full Dimensional Protection, Focused Logistics, and Strategic Deterrence.

4. <u>Focused Logistics</u>. Assess the ability to provide the joint force the right personnel, equipment, and supplies in the right place, at the right time, and in the right quantity, across the full range of military operations as part of Joint Vision 2020 (JV2020). Through the lens of Logistics Transformation, effectively link all logistics functions in the following areas: Force Health Protection, Joint Deployment and Rapid Distribution, Joint Theater Logistics Management, Agile Infrastructure, Multinational Logistics, and Information Fusion.

5. <u>Full Dimensional Protection</u>. Assess joint warfighting capabilities to protect joint force personnel and other assets required to decisively execute assigned tasks through the tailored selection and application of multilayered active and passive measures across the range of military operations with an acceptable level of risk.

6. <u>Communication and Computer Environment</u>. Assess joint architectures and program requirements, and the capabilities of joint, combined and coalition warfighters to transport, control, manage,

protect, defend, and process information across the Global Information Grid, to ensure interoperability and integration, as well as conformance with the information environment goals of JV2020.

7. <u>Intelligence, Surveillance and Reconnaissance</u>. Assess ISR tasking, collection, processing, exploitation, and dissemination capabilities that enable satisfaction of the joint force commander's information requirements to gain and sustain Full Spectrum Dominance. ISR also plays a prominent role within JV2020 key enabler, IS. As such, the ISR JWCA will be integrally involved in JWCA assessments that examine capabilities required for Precision Engagement, Dominant Maneuver, Full Dimensional Protection, and Focused Logistics.

8. <u>Strategic Deterrence</u>. Assess warfighting requirements and capabilities to deter potential adversaries from taking hostile actions against US or allied interests. Includes credible nuclear and conventional forces, weapons of mass destruction (WMD) counterproliferation efforts, military engagement activities, and posture of forward-based and deployed US forces.

ENCLOSURE C

STRATEGIC TOPIC ASSESSMENTS

1. Purpose. This enclosure outlines the JROC/JWCA strategic topic assessment process.

2. Introduction. Strategic assessments represent the principal mechanism by which the JROC focuses JWCA efforts on significant issues with the greatest potential to impact future joint warfighting. These assessments enable the JROC to make definitive decisions and recommendations on future operational concepts and architectures and individual or family of system requirements. Then, based on these published decisions and standards, the JROC validates the compliance of future requirements. Strategic assessments represent the JROC's highest priority efforts and will be considered first for resource allocation. Finally, these assessments provide an opportunity for the Chairman to influence joint concept development and experimentation efforts and facilitate their eventual impact on DOD decision-making processes.

3. Strategic Assessment Process Description. The JROC solicits strategic topics from the combatant commands, Services, OSD and the Joint Staff based on the Chairman's current strategic guidance. Additionally, the example timeline (outlined below and in figure C-1) links development of assessment efforts with JWCA resource allocation. Because strategic topics represent a considerable commitment of JROC resources, the JROC solicits strategic topics based on resource availability, not necessarily on an annual basis. The strategic assessment process consists of the following key events:

    a. Strategic Guidance. The JROC assists the Chairman in drafting his strategic guidance to the combatant commands, Services, and Joint Staff. This guidance is intended to ensure development and validation of integrated operational concepts, operational views of integrated architectures (e.g., Joint Operational Architecture), and requirements integration in support of the National Military Strategy and realization of future warfighting capabilities. This strategic guidance is published as needed and forms the basis for future assessments. J-8/JRD drafts the guidance in accordance with JROC directives.

    b. CJCS Joint Experimentation Guidance. In accordance with CJCSI 5123.01A, the JROC assists the Chairman in developing guidance to USJFCOM for joint concept development and experimentation. The JROC will also assist the Chairman by providing inputs for consideration prior to his approval of USJFCOM's annual Joint Experimentation

Campaign Plan. Both inputs can be used to focus future assessment efforts.

    c. <u>Topic Submission</u>. When the JROC solicits strategic topics, the combatant commands, Services, OSD, and the Joint Staff each have an opportunity to nominate topic(s). Nominations are submitted to J-8/JRD in accordance with the JROC's request and administrative guidelines provided by J-8/JRD.   Prior to topic submission, J-8/JRD forwards topic selection criteria to the combatant commands and Services for comment. The JROC approved criteria are then provided as part of the guidance for combatant command and Service consideration when preparing topic submissions.

    d. <u>Initial Topic Brief to JRP</u>. Following topic submission, representatives from each combatant command, Service, OSD, and the Joint Staff brief the Joint Requirements Panel (JRP) as needed in accordance with administrative guidelines provided by J-8, JRD. During the initial brief, the JRP provides input required to finalize each briefing for presentation to J-8/JRB and the JROC. J-8/JRD schedules all sessions.

    e. <u>Topic Brief to JRB/JROC</u>. All combatant command, Service, and Staff representatives present revised topic briefs to the JRB and the JROC as needed for review and/or consideration. The JRB prepares a recommended topic prioritization for the JROC to approve.

    f.   <u>JRB Combatant Command Trips</u>. Each combatant commander's staff receives an update concerning the status of strategic topics based on the JROC-approved prioritization as part the regular JRB CPA combatant command trips. The combatant commanders can provide their comments or concerns.

    g. <u>Final JROC Recommendation</u>. The JROC finalizes its recommended topic prioritization based on combatant command, Service, and Joint Staff comments, and issues a JROC Memorandum (JROCM) outlining its recommendations to the Chairman. Based on the Chairman's input, the JROC appoints a lead JWCA team to each strategic topic designated for assessment.

    h. <u>Development of the JROC Strategic Planning Directive</u>. Each lead JWCA team drafts a JROC strategic planning directive that provides a detailed breakout of the background, mission, task organization, execution plan, and resources required to complete the strategic assessment. Lead JWCA teams brief draft strategic planning directives to the JRP, JRB, and the JROC for final approval in accordance with administrative guidelines provided by J-8/JRD. A sample JROC

strategic planning directive is provided in Appendix A to this Enclosure. Actual planning directive formats for use by lead JWCA teams are provided by JRD as required.

i. <u>JWCA Task Force Begins Assessment</u>. Each JWCA task force (as specified in the JROC strategic planning directive) conducts its assessment in accordance with the JROC-approved plan and allocated resources. J-8/JRD monitors progress, and in conjunction with the JROC Secretariat, schedules in progress reviews (IPRs) for the JRB and the JROC. **No changes to the approved (strategic plan, to include changes to resource expenditures in excess of the limits identified in Enclosure H, will be made without formal JROC approval.**

THE STRATEGIC TOPIC PROCESS (EXAMPLE)

| JAN | FEB | MAR | APR | MAY | JUN | JUL | AUG | SEP | OCT | NOV | DEC |

Annual JROC Strategic Guidance

Topic Sponsor Brief Proposed Strategic Topic to JRP

Topic Sponsor Brief Proposed Strategic Topic to JRB /JROC

JRB CINC Trips

JROC Strategic Topic Approval

Strategic Planning Directive Development

USJFCOM JE CPLAN

Campaign Plan Recommendation

JWCA Task Force(s) Begin Work

Strategic Topic Process Sequence :
- CPR, CJCS Strategic Guidance
- Combatant Commanders Inform J-8 (JRD) Whether They Intend to Submit a Topic
- Combatant Command Reps Brief Proposed Strat Topic to JRP
- Combatant Command Reps Brief Proposed Topic to JRB / JROC
- JRB Combatant Command Trips (Review Status of Strategic Topics) CJCS Joint
   Experimentation Guidance (As Needed)
- Final JROC Approval of Strategic Topics
- Strategic Planning Directive Development
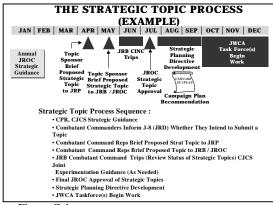- JWCA Taskforce(s) Begin Work

Figure C-1

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APPENDIX A TO ENCLOSURE C

SAMPLE JROC STRATEGIC PLANNING DIRECTIVE

JROC Strategic Planning Directive XX-200X

1. BACKGROUND. Provide a brief, one or two sentence statement of the specific DOD-level need to be addressed in this directive. *The Department of Defense needs to identify and integrate counterproliferation (CP) requirements that cover the range of military capabilities spanning the full spectrum of conflict.*

2. MISSION. Provide a concise paragraph that addresses the who, what, when, how, and why associated with achieving your objectives. Clearly state, in terms of major objectives, what you intend to accomplish. *The Counterproliferation JWCA Task Force, in conjunction with the US Special Operations Command and US Strategic Command will develop, not later than (NLT) April 2002, an operational concept and operational views of integrated architectures for a family of counterproliferation systems. This family of systems is designed to integrate and standardize counterproliferation core capabilities through the identification and validation of requirements, architectures, interoperability, and DOTMLPF. Additionally, the task force will develop a proposed CP CRD based on KPPs identified within the CP operational architecture. The objectives of the **Counterproliferation Task Force** are:*

> *Objective 1: Develop a CP operational architecture*
> *Objective 2: Develop cornerstone KPP(s) resulting in an overarching CP CRD*
> *Objective 3: Develop an investment strategy*
> *Objective 4: Develop CP capability requirements documents that address each CP pillar CRD*

3. TASK ORGANIZATION. Describe the proposed organizational structure to support the effort. This includes identification of the lead JWCA team, supporting JWCA teams, and any additional support required from outside the existing JWCA assets to include proposed combatant command or Joint Staff involvement. Provide a brief overview of each organization's role, but do not repeat the details from the Execution section concerning how the mission will be accomplished. Also, save the detailed discussion of the resources required (i.e., military man-years, contractor support, and funding) for the Resources section of this directive.

4. EXECUTION. Use this section to provide an overview of how the plan is to proceed, followed by a breakout of the details that clearly outlines the plan for accomplishing the objectives with a specific schedule of deliverables. Link the deliverables to the phases. Obviously, later phases may be subject to change. At the end of each phase, or in conjunction with the interim deliverables, updates to this directive are required for the JROC to either revalidate its initial guidance or issue revised guidance based on interim results.

   a. Phase Overview. Describe **each phase** of the proposed effort in detail to include:

      (1) Timeframe for each phase. *(Phase I: Sep 00 – Mar 01)*

      (2) Phase I Goals. State the goals for each phase.

      (3) Phase I Actions. State the overall methodology and planned actions for each phase. Provide sufficient detail to justify resources and support requirements in paragraph 5.

      (4) Outcome/Deliverables. List the specific outcomes for each phase. These should clearly link back to the schedule/precedence and the objectives. **One of the deliverables is an update of this directive (submitted at the end of each phase or upon submission of interim deliverables). This enables the JROC to either revalidate its initial guidance or provide additional direction as required.**

      (5) Endstate. Discuss plan for JROC decisions. *(i.e., CP CRD presented to the JROC for validation NLT April 2002.)*

   b. Tasks to Organizations. Provide a list of specific tasks required of each organization involved in the effort. While it may not be possible to create an accurate, detailed task list for every phase of the proposed execution plan, the first phases should contain a high degree of detail with more general guidance for the later phases. Also, it is important to keep in mind that the JROC can directly task certain organizations (e.g., Joint Staff, Services, or combatant commands who have agreed in advance to support or participate), but must **request** OSD support to task other organizations. Coordinate with J-8/JRD in cases where JROC tasking authority is unclear. Examples of specific organizational tasks are:

(1) Joint Staff

(a) J2: Provide intelligence support to facilitate the development of the integrated CP operational views of integrated architectures in accordance with (IAW) references c and e.

(b) J3: Provide guidance and facilitate the development of the operational views of integrated CP architecture IAW references c and e.

(2) US Special Operations Command: Provide support as co-lead to facilitate the development of the integrated operational views of CP architectures.

(3) US Air Force: provide support as CF CP pillar lead. Utilize reference b as a template for the development and production of the CF operational views of integrated operational architecture IAW reference e.

c. **Joint Concept Development and Experimentation**. If appropriate, identify the focus of any possible joint concept development and experimentation activities to support this effort. This **may** be used by the JROC as possible input for the Chairman's annual guidance to the Joint Concept Development and Experimentation Campaign Plan.

d. **Coordinating Instructions**. Identify staff support needed for the task force effort, for example specific elements of J-8/JRD process support, or Joint Warfighting Center support.

5. SUMMARY OF RESOURCE REQUIREMENTS. Identify **and justify** all projected resource requirements needed for this effort, by phase, as outlined below. Ensure the justification matches the details in the execution plan outlined in paragraph 3.

a. Identify and justify all JWCA military support broken out by JWCA team for each phase. Summarize the requirements in tabular format IAW the example below.

For example:

Summary of Military Manpower Requirements

	JWCA *Task Force*	*Phase I Military Workyears*	*Phase II Military Workyears*	*Total Military Workyears*
JWCA A	Lead[1]	1.0	1.5	2.5
JWCA B	Support	0.5	1.0	1.5
JWCA C	Support	0.5	1.0	1.5
JWCA D	Support	0.0	1.0	1.0
Service X	Support	0.5	0.5	0.5
Total		2.5	5.0	7.0
[1] Task Force (TF) lead must be a JWCA Team Leader				

Justification: Phase I (Sep 00 – Mar 01):

JWCA A: 0.5 workyear required for full-time TF leadership;
JWCA A: 0.5 workyear required for background research, data collection, coordination with USJFCOM concerning development of joint experimentation game plan, participation in DOTMLPF integration team, joint experimentation integration team, development of initial operational concept.

JWCA B: 0.5 workyear required for travel, data collection, and initial data analysis resulting in . . . (a component of the phase I deliverables).

JWCA C: 0.5 man-year required for travel, data collection, and initial data analysis resulting in . . . (a component of the phase I deliverables).

b. Identify and justify all requested non-JWCA team support to include combatant command, Service, OSD, or other agency representation for each phase.

c. Identify and justify all projected contractor support for each phase.

d. Identify and justify all funding levels, both RDT&E and O&M (to include funding for any projected travel) by phase for each fiscal year.

For Example:

Summary of Funding Requirements

		Phase I	Phase II	Total
O&M	($M)	0.45	0.5	1.0
RDT&E	($M)	0.70	1.1	1.8
Total	($M)	1.2	1.6	2.8

Phase I: (Sep 00 – Mar 01)
FY 01: $0.45M O&M required for. . . (e.g., travel, equipment, software tools, standing contractor support, etc.)

FY01: $0.70M RDT&E required for . . . (e.g., contractor support for new studies)

   e. Identify and justify any additional required resources.

   f. Discuss the availability of any existing resources to satisfy this requirement.

 6. REFERENCES. List the standard JROC/JWCA references (i.e., CJCSI 3137, 3170, 5123) and any other applicable documentation used in the formulation of this directive.
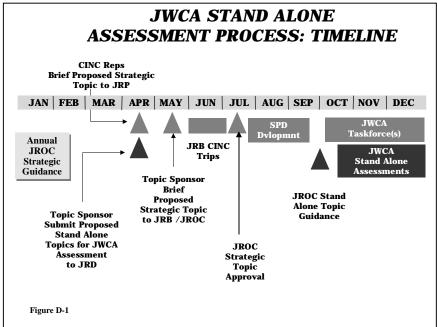
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ENCLOSURE D

STAND-ALONE ASSESSMENTS

1. Purpose. This enclosure outlines JWCA actions in support of stand-alone topic assessments.

2. Introduction. As outlined in Enclosure B of this instruction, JWCA teams perform several core functions that represent "in-house" efforts of individual teams. While all JWCA efforts must be completed in compliance with established standards, these core functions do not require extensive cross JWCA coordination to complete. Stand-alone assessments represent JWCA efforts derived from multiple sources to include Service POMs, the Joint Strategic Planning System, combatant commanders' Integrated Priority Lists, SWARFs, combatant commanders' Joint Monthly Readiness Reviews (JMRRs), and Calls for Topics, etc. Issues arising from stand-alone topics represent potential input for the CPR and the CPA.

3. Stand-Alone Assessments

    a. The Stand-Alone Topic Assessment Process is designed to facilitate resolution of joint warfighting capability issues that do not have the scope of the strategic topics and do not require the formation of JWCA task force groups to address. Potential issues for stand-alone JWCA study must go before the JROC for approval. JWCA teams will prepare information/decision briefings for the JROC in accordance with administrative guidelines provided by J-8/JRS. These briefings include proposed objectives of the recommended assessment/study, timelines involved, and resources required. The JROC can approve, disapprove, modify, or defer proposed assessments. J-8/JRS develops guidelines to facilitate the prioritization of potential stand-alone topics for JROC consideration at regular intervals.

    b. Stand-Alone Topic Assessment Timeline. Figure D-1 depicts a typical timeline for the solicitation and development of topics for JWCA assessments. The intent is to link these milestones with the milestones of the strategic topic assessment process. This enables the JWCAs and the JROC to more effectively identify and prioritize its resource requirements. J-8/JRD publishes a detailed schedule of requirement milestones for each stand-alone assessment cycle.

Figure D-1

4. Joint Monthly Readiness Reviews (JMRRs). JMRRs represent a source of stand-alone JWCA assessments that provide a direct link between the Chairman's readiness system and the JROC process. Identification of the most appropriate solution for some JMRR issues (i.e., those with significant programmatic implications) may be within the scope of JROC/JWCA responsibility.

   a. JROC/JWCA Process – Readiness Process Linkage. While the JWCAs serve as key enablers of the JROC's effort to become the architect of the future force, they can also address the combatant commander's near-term readiness issues where the resolution of those near-term issues also involves long-term enhancements of capabilities and architectures.

   b. Organizational Relationships. The Operations Directorate (J-3) is responsible for the JMRR process and coordinates with J-8/JRD to maintain a summary tracking of JMRR deficiencies undergoing JWCA analysis. On a semi-annual basis, J-3 Readiness provides the JRB with a current update of Readiness status as reported through the components of the Chairman's Readiness System, including summary analysis of the status of the deficiencies undergoing JWCA review. On a space and personnel available basis, J-3 Readiness provides a liaison officer for the JRB combatant command trips to address combatant commander raised issues which are more appropriately handled by the J-3 Readiness process than the JROC/JWCA process.
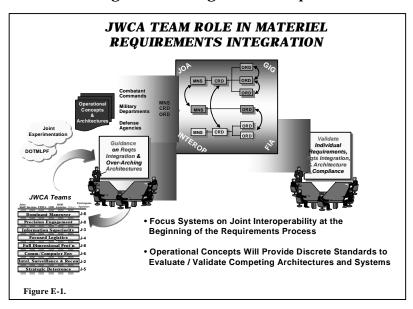
c. Joint Monthly Readiness Review Issues

(1) JMRR issues are dispositioned through a formal process administered by J-3. The criteria for becoming a JMRR deficiency and the management process used to bring deficiencies to resolution are covered in CJCSI 3401.01, The Chairman's Readiness System.

(2) In some cases, a formal study is required to determine how best to resolve the deficiency. JWCA analysis may be the vehicle to identify options to resolve the deficiency. Only a subset of JMRR deficiencies makes its way into the JROC/JWCA process. These JMRR deficiencies have significant impact on near-term warfighting and readiness with likely future warfighting implications. They require analysis beyond the scope of routine Joint Staff directorate analysis, and they have significant program implications. In these cases, the JROC/JWCA process is used only to examine potential materiel/ programmatic solutions, not to determine or endorse policy options for JMRR resolution. Determination of the necessity for JWCA team analysis is made in accordance with the following process:

(a) Director, Joint Staff, nominates deficiencies to the JROC Secretariat (J-8) for JWCA consideration. These deficiencies remain in the JWCA queue until the JROC approves specific JWCA action. The J-8/JRD assigns these deficiencies to a specific JWCA for initial review and presentation to the JROC for study plan approval.

(b) Following JROC approval for JWCA effort, these deficiencies remain in JWCA study until the JROC recommends a course of action. Once a course of action is identified and approved, the JROC makes the appropriate recommendations to J-3.

(c) Deficiencies that the JROC does not approve for JWCA study are normally returned to the Joint Staff for another form of resolution. However, if the JROC determines that no further action by either JWCA or the Joint Staff is required, the JROC may recommend to the J-3 that the Department acknowledge the risk associated with the deficiency and monitor the risk on a periodic basis until the situation that causes the risk changes, or another form of resolution, is identified.

5. Senior Warfighter Forum (SWARF) Support. The JROC addresses combatant command issues and recommendations on the adequacy of requirements generation and investment strategies through the currently established JROC trips and the requirements generation, acquisition, and PPBS processes. If a JWCA, Service, or combatant command identifies a joint requirement or resource mismatch they can also forward

a request to the JROC to convene a SWARF. A SWARF is a JROC-directed forum used to organize, analyze, prioritize, and build joint consensus from the warfighter's perspective on a complex resource and requirements issue. All SWARFs are approved by the JROC using the JROC Strategic Planning Directive format (Enclosure C). J-8/RAD provides oversight for SWARF Strategic Planning Directive development. The JROC Strategic Planning Directive identifies the SWARF lead the combatant command and supporting combatant commands, the specific issue to be addressed, fiscal guidelines, assignment of the appropriate acquisition and technical expertise to frame the issue, and the timeline to report recommendation(s). The JROC recommends combatant commands to lead SWARFs according to their missions and responsibilities. The SWARF lead briefs the recommendation(s) to the JROC. As appropriate, JWCAs monitor SWARFs and integrate their findings and recommendations into ongoing and future JWCA efforts. Additionally, JWCAs may be required to develop issues resulting from SWARFs into future JWCA stand-alone assessments.

ENCLOSURE E

REQUIREMENTS INTEGRATION OVERSIGHT

1. Purpose. This enclosure outlines JWCA team involvement in the process that supports the Chairman's title 10 responsibility to assess military requirements for defense acquisition programs, and to provide advice to the Secretary of Defense on requirements prioritization.

2. Introduction. CJCSI 5123.01A outlines the role of the JROC in the requirements generation process. A detailed discussion of the materiel requirements generation process is provided in CJCSI 3170.01 (reference e).

3. JWCA Team Materiel Requirements Integration Oversight. JWCA teams assist the JROC in making integrated joint requirements decisions by performing the following two functions:

   a. Development of Joint Operational Concepts and Operational Views of Integrated Architectures. JWCA teams develop joint operational concepts and operational views of integrated architectures, which, upon JROC approval, are used to validate Service system interoperability as a prerequisite for JROC support during the requirements generation process. These concepts and architectures provide the basis to develop and evaluate future system capabilities and concepts. Capstone Requirements Documents (CRDs) and Operational Requirements Documents (ORDs) must align with these integrated architectures in accordance with JROC guidance. Figure E-1 depicts this JWCA function.

Figure E-1.

b. <u>Materiel Requirements Review</u>. JWCA teams review all pertinent Mission Need Statements (MNSs), CRDs, and ORDs, and any other pertinent documentation as outlined in CJCSI 3170.01 to ensure compliance with JROC-approved joint operational concepts and operational architectures. These reviews include JWCA team assessments of DOTMLPF implications. JWCA team reviews will comply with guidelines published in CJCSI 3170.01, CJCSI 3180.01, and administrative guidance from J-8/RAD and JRD.

ENCLOSURE F

INTEGRATION/STANDARDIZATION (PROCESS INTEGRATION TEAMS)

1. Purpose. This enclosure outlines the JWCA integration and standardization functions in support of the JROC.

2. Introduction. Integration and standardization of efforts among the eight JWCA teams and with OSD, the Joint Staff, USJFCOM, the Services, and combatant commands is essential to successfully support the JROC in providing guidance for requirements integration. Process Integration Teams (PITs) are the mechanism to ensure consistency of JWCA efforts. PITs provide staff integration, standardization, and continuity management for **requirements integration/interoperability, integrated architectures, DOTMLPF,** and **joint experimentation** issues. PITs are intended to be JWCA process enablers that ensure all JWCA efforts proceed in a standard manner, using common concepts and terminology.

3. Organization. Process Integration Teams are standing teams led by the Joint Staff (J-8/JRD and RAD) with representatives from each JWCA team, each Service, and, as appropriate, representatives from the combatant commands, OSD, and the Joint Staff directorates, with additional support as required. Each JWCA team must have a representative on all PITs.

4. Team Functions

    a. Requirements Integration/Interoperability. The Requirements Integration/Interoperability Process Integration Team integrates aspects of JWCA team assessments that impact MNS, CRD, and ORD. This team ensures that JWCA developed requirements statements minimize redundancy, remain consistent with previously stated requirements, and that changes stemming from JWCA efforts are justified, publicized, and understood. Interoperability is also a key aspect of this team. Specifically, the team ensures that JWCA assessments address combatant commander warfighting interoperability needs, and that the assessments recommend prioritization of needs and resources to correct interoperability shortfalls. J-8/RAD chairs the Requirements Integration/Interoperability Process Integration Team.

    b. Architectures. The Architecture Process Integration Team provides configuration control, standardization, and continuity management to integrate architectures and operational concepts into the

JROC process. It leverages inputs from DOD (specifically ASD C3I/DOD CIO and OUSD(AT&L)), JWCAs, Joint Staff , and combatant commands to provide the foundation to advance joint, combined, and coalition warfighting. This foundation is based on the design of comprehensive and integrated operational, system and technical architectures. Accordingly, the Architecture PIT assists the JROC in identifying a path to achieve JV2020 and beyond. J-8/JRD chairs the Architecture PIT.

 c. <u>Doctrine, Organizations, Training, Materiel, Leadership & Education, People, and Facilities (DOTMLPF)</u>. The DOTMLPF PIT provides configuration control, standardization, and continuity management to integrate joint DOTMLPF recommendations into the JROC process. It leverages inputs from throughout the DOD requirements generation community, as well as from JWCAs, Services, combatant commands, particularly USJFCOM, and the Joint Staff, to advance joint and combined warfighting and other operations. The DOTMLPF PIT enables the JROC to serve as the architect of the future joint force by assisting the JROC in identifying a path to achieve JV2020 and beyond. Additional specific focus and priorities may be assigned by the JROC. J-8/JRD chairs the DOTMLPF PIT.

 d. <u>Joint Experimentation</u>. The Joint Experimentation Process Integration Team facilitates JROC input to the Chairman on priorities for future joint experimentation. This includes linking JWCA assessments with joint experimentation and integrating joint experimentation outputs into the JROC process. The Joint Experimentation PIT integrates USJFCOM's and others' joint experimentation efforts into JWCA assessments. It ensures that joint warfighting lessons learned from these experiments are incorporated in JWCA assessments and that new ideas for experimentation resulting from JWCA assessments are introduced into the appropriate joint experimentation forum. J-8/JRD chairs the Joint Experimentation PIT.

5. <u>Operating Guidelines</u>. Details concerning the operation of each PIT (meeting schedules, agendas, etc.) are published as required by the J-8 team lead.
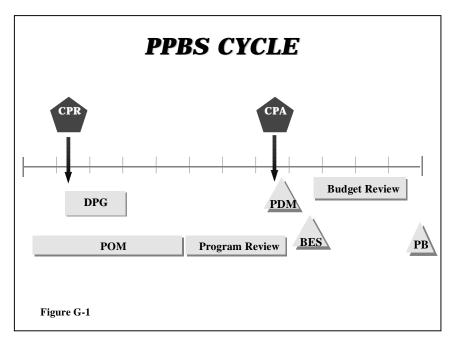
ENCLOSURE G

CHAIRMAN'S PROGRAM RECOMMENDATIONS AND ASSESSMENT (CPR AND CPA)

1. Purpose. This enclosure describes JWCA actions in support of the Chairman's title 10 responsibility to provide programmatic advice to the Secretary of Defense.

2. Introduction. The Chairman's programmatic advice to the Secretary of Defense is contained in two documents: the CPR and the CPA. The JROC supports the Chairman by formulating the recommendations in both documents based on analytical support provided by the JWCA teams.

3. Purpose of CPR and CPA. The CPR and the CPA are designed to influence DOD's Planning, Programming, and Budgeting System (PPBS) by providing CJCS concerns and recommendations to the Secretary of Defense. The CPR is intended to influence the Defense Planning Guidance (DPG), while the CPA is intended to influence the Program Decision Memorandums (PDMs) and the Intelligence Program Decision Memorandum (IPDM). The recommendations contained in both the CPR and CPA represent private correspondence between the Chairman and the Secretary of Defense and, therefore, neither document is published.

4. Overview of PPBS. The PPBS is the process used by the Secretary of Defense to manage DOD resource allocation. Reference d provides a detailed description of PPBS. Although intended as a biennial process, PPBS operates in consonance with the annual congressional budget cycle and culminates with submission of DOD's portion of the President's Budget.

    a. Planning. The Director, Program Analysis and Evaluation (PA&E), OSD, manages the planning phase. This phase assesses the military capabilities needed to support the US National Security Strategy. The planning phase results in SecDef's DPG which provides a common direction and policy basis for development of military department and agency programs. The DPG describes the national military strategy and defense policies, identifies the size and capabilities of forces necessary to carry out the national military strategy, establishes priorities for managing defense resources within fiscal constraints, and identifies unresolved issues requiring further study. The Chairman forwards program recommendations (the CPR) to the Secretary of Defense, conveying his priorities and recommendations for the DPG. In addition to the DPG, OSD also issues fiscal guidance during the Planning Phase. The fiscal guidance is based on the latest DOD topline estimate sent to

Congress with the current President's budget. Separate guidance is prepared for every DOD entity that prepares a program.

   b. Programming. The Director, PA&E, manages the programming phase. Submitting activities prepare resource programs (POMs) reflecting how they would comply with the DPG and Fiscal Guidance. OSD, the combatant commands, and the Joint Staff review programs and propose modifications to the DRB through the Program Review Group (PRG). Decisions to modify the POMs are documented in the PDMs. The purpose of the CPA is to influence the PDMs by providing the Secretary of Defense with the Chairman's assessment of the POMs and his recommendations for alternate funding. POMs as modified by the PDMs are the baseline for the budget estimate submission (BES).

   c. Budgeting. The Under Secretary of Defense (Comptroller) manages the budgeting phase. Submitting activities prepare budget estimates for 2 fiscal years. Submissions are reviewed by the Comptroller and coordinated with the OSD staff. Proposed changes are forwarded to the Deputy Secretary of Defense as Program Budget Decisions (PBDs). Budget estimates as modified by the PBDs become the DOD portion of the President's budget.

   d. Timeline. Figure G-1 depicts the annual timeline for the PPBS process.

PPBS CYCLE

CPR   CPA

DPG   Budget Review

PDM

POM   Program Review   BES   PB

Figure G-1

   e. Calendar of Events/Milestones. It is important to keep in mind that PPBS is driven by the annual congressional authorization and
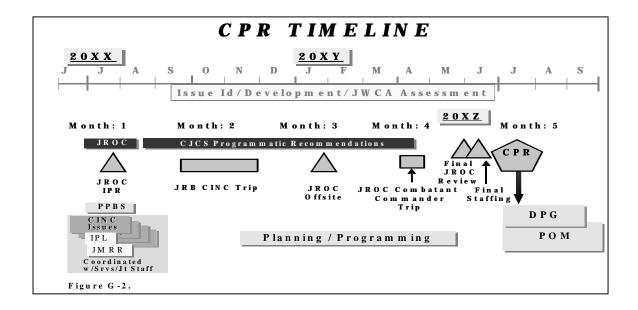
appropriation cycle.   As such, there is a set calendar of events/milestones for inputs to the decision cycle.

5. <u>Building the CPR</u>. The goal of the CPR is to influence the DPG by providing the Secretary of Defense with the Chairman's priority recommendations for the upcoming program. JWCA efforts to influence the planning and programming phases of PPBS are not designed to provide immediate solutions to current (budget/execution year) problems. In most cases, once issues are identified, the normal assessment process takes 12 – 18 months to produce recommendations for the CPR. It is important to keep in mind that the CPR does not influence current (execution year) issues, since it is intended to influence future budgets. The process of building the CPR is administered by J-8/ JRD and normally consists of the following eight steps:

- Issue Identification/Development/WCA Assessment
- JRB/JROC CPR Guidance (JRB/JROC IPR)
- JRB Combatant Commander Coordination (JRB Combatant Commander Trip)
- JRB/JROC Review (JRB/JROC Offsite)
- JROC Combatant Commander Coordination (JROC Combatant Commander Trip)
- Final JROC Review/Approval
- Final Staffing with Combatant Commands, Services, Joint Staff
- CJCS Approval

    a. <u>Issue Identification/Development/JWCA Assessment</u>. Possible issues for JWCA assessment are derived from several sources. These include CJCS/JROC guidance pertaining to requirements integration and the development of over-arching architectures, or from JROC-approved strategic topics. Additionally, issues stemming from the previous DPG, issues contained in the Joint Strategic Planning System's Joint Planning Document (JPD), combatant commander JMRRs, combatant commander IPLs, new combatant commander issues received via calls for topics, and previous POMs all serve as sources of issues for JWCA assessments. JWCAs must obtain JROC approval to start, stop, or modify all efforts.

    b. <u>JRB/JROC CPR Guidance (JRB/JROC IPR)</u>. The JROC provides guidance for JWCA teams concerning development of issues for possible CPR language. J-8/JRD coordinates a JROC session for JWCA teams to present the status of issues and ongoing efforts, together with recommendations concerning future disposition, to include recommendations for CPR language. J-8/JRD provides JWCA tams

administrative guidance to include briefing schedules and briefing formats.

c. JRB Combatant Commander Coordination (JRB Combatant Commander Trip). Representatives from the JRB and the JWCA teams take the JROC initial guidance and topic list to the combatant commanders for their feedback and proposed language. The combatant commanders have the opportunity to review possible recommendations for CPR consideration, as well as emphasize their programmatic priorities for the upcoming POM build. Additionally, the combatant commanders have the opportunity to influence future strategic topic formulation.

d. JRB/JROC Review (JRB/JROC Offsite). After completion of the JRB combatant commander trips, the JWCA teams, working in coordination with the Planning and Integration Branch of J-8/JRD, and with feedback from the combatant commanders, begin preparing draft CPR language for the JRB and JROC to review. Draft language is written for all potential CPR topics in accordance with JRD administrative guidelines. Draft language is coordinated through J-8/JRD, then reviewed at the JRB offsite with recommendations for JROC consideration. During the JROC offsite, the JROC approves, modifies, or eliminates draft CPR language.

e. JROC Combatant Commander Coordination (JROC Combatant Commander Trip). The JROC takes the results of its offsite to the combatant commanders for their review/feedback. Combatant commander modifications to CPR language can be made at this time with JROC approval.

f. Final JROC Review/Approval. All changes to the draft CPR language stemming from the JROC combatant commander trips are incorporated into the draft document by the Joint Requirements Division of J-8 and staffed with the JROC members for their review/approval.

g. Final Staffing with Combatant Commands, Services, and Joint Staff Directors. The JROC-approved CPR draft is staffed with the combatant commanders, Service Chiefs, and Joint Staff Directors for their final recommendation/comments to the Chairman concerning the CPR. J-8/JRD in a side-by-side presentation compiles all combatant command, Service, and Joint Staff comments for the VCJCS and the CJCS.

h. CJCS Approval. The Chairman reviews the draft CPR with all comments from the combatant commands, Services, and Joint Staff Directors. He then directs any additions/deletions to the draft document
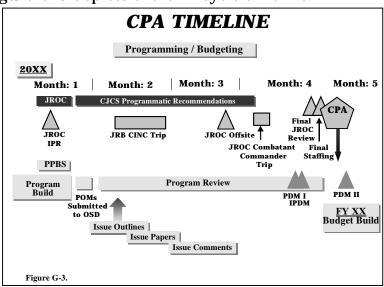
at this time. The Chairman sends the only final copy of the CPR to the Secretary of Defense for his consideration.

CPR TIMELINE

Figure G-2.

i.   Figure G-2 depicts the CPR cycle timeline.

6. <u>Building the CPA</u>. The CPA process is similar to building the CPR. The goal of the CPA is to provide CJCS recommendations to the Secretary of Defense that are designed to influence the Program Decision Memorandums and the Intelligence Program Decision Memorandum (PDMs and IPDM). As with the CPR, the CPA process is administered by J-8/JRD, and normally consists of the following eight steps:

- Issue Identification/Development/JWCA Assessment
- JRB/JROC CPA Guidance (JRB/JROC IPR)
- JRB Combatant Commander Coordination (JRB Combatant Commander Trip)
- JRB/JROC Review (JRB/JROC Offsite)
- JROC Combatant Commander Coordination (JROC Combatant Commander Trip)
- Final JROC Review/Approval
- Final Staffing with Combatant Commands, Services, Joint Staff
- CJCS Approval

a. <u>Issue Identification/Development/JWCA Assessment</u>. Issues are derived from the Service POMs. The combatant commands, OSD, and

the Joint Staff screen POMs to ensure compliance with the DPG and fiscal guidance. New issues arising after the DPG and fiscal guidance were issued, as well as carry over issues from the previous CPA or CPR can be considered.   The CPA cycle runs in conjunction with the OSD program review. While the Chairman can and does make recommendations that differ from OSD program review recommendations, the two processes are closely coordinated for two reasons. First, OSD is interested in the JROC's view of joint warfighting issues, and works program review issues with the JROC/JCS position in mind. Second, the Chairman seeks to understand the OSD program review position and recommendations on a given issue so that he can provide the Secretary of Defense relevant, reasoned, and informed advice.

   b. <u>JRB/JROC CPA Guidance (JRB/JROC IPR)</u>. Same as CPR.

   c. <u>JRB Combatant Commander Coordination (JRB Combatant Commander Trip)</u>. Representatives from the JRB and the JWCA teams take the JROC initial guidance and topic list to the combatant commanders for their feedback. The combatant commanders have the opportunity to review possible recommendations for CPA consideration.

   d. <u>JRB/JROC Review (JRB/JROC Offsite)</u>.   Same as CPR.

   e. <u>JROC Combatant Commander Coordination (JROC Combatant Commander Trip)</u>. Same as CPR.

   f. <u>Final JROC Review/Approval</u>. Same as CPR.

   g. <u>Final Staffing with Combatant Commands, Services, and Joint Staff Directors</u>. Same as CPR.

   h. <u>CJCS Approval</u>. Same as CPR.

   i. Figure G-3 depicts the CPA cycle timeline.

Figure G-3.

ENCLOSURE H

JROC RESOURCES

1. Purpose. This enclosure describes the process JWCAs use to obtain JROC Support Resources to execute their mission. Overall, the JROC's limited resources must be carefully managed so the JROC can provide timely and accurate advice to the CJCS and DOD leadership.

2. Introduction. The JROC allocates resources, including organic military analytic capability and annually appropriated Research, Development, Test and Evaluation (RDT&E) and Operations and Maintenance (O&M) funding, to achieve the following objectives:

   a. Oversee the requirements generation system process and the prioritization of joint military requirements.

   b. Accomplish strategic assessments that will focus JROC decisions on future joint requirements, operational concepts, and operational views of integrated architectures.

   c. Accomplish assessments that will focus JROC decisions on key warfighting capabilities identified by the combatant commands, Services and Joint Staff.

   d. Review major defense acquisition programs to meet military requirements within DOD-projected resource constraints.

   e. Provide advice/recommendations required to support of OSD, Secretary of Defense, Presidential and/or congressional direction.

3. JROC Resource General Guidance

   a. The term "JROC Support Resources" refers to the directed use of full-time military analysts and the use of JROC O&M and RDT&E funding to obtain contracted advisory and assistance services (CAAS).

   b. JWCA teams conducting assessments using JROC funding will proceed consistent with this instruction and the funding references g and h listed at Enclosure I.

   c. JWCA teams will coordinate resource planning information with J-8/JRD/PIB, using JROC standard formats prior to JROC assessment approval briefings.

d. JROC direction/consent for JWCAs to undertake additional effort (i.e., begin a new assessment or expand the scope of an ongoing study) does **not** constitute approval to expend JROC support resources. All such efforts must first be presented to the JRB, then to the JROC, for approval of the specific study proposal and allocation of resources to support the effort. Presentations include a description of the issues, options to assess or resolve the issue at varying levels of JROC support resources, and discussion of the JWCAs' recommended approach.

e. JROC approval for a task force to initiate effort on a JROC Strategic Topic Assessment constitutes specific authorization to expend JROC support resources to reach the first milestone approved by the JROC. The JROC may allocate resources for the entire Strategic Topic Assessment for planning purposes; however, subsequent resources will be released for task force expenditure only after the JROC's continuation approval at each milestone in-progress review briefing.

4. <u>Procedures for Requesting/Obtaining Resources</u>. The following procedures will be used to approve and allocate JROC Support Resources.

a. JWCA sponsors are responsible for ensuring their JWCA has and maintains the organic resources necessary to perform its core responsibilities; i.e., MNS/ORD/CRD review, internal JWCA assessments, membership on JROC PITs, liaison with J-8/JRD, etc. Military JWCA team members will conduct planning, policy development, interpretation of analysis, and program/budget execution. They are also responsible for financial accountability as required by statutes and directives. In addition, each JWCA shall designate an individual to work with the JROC Secretary (J-8/JRD/PIB) to facilitate execution of CAAS and other funding commitment efforts.

b. Individual JWCA teams, or the designated lead of a JWCA task force effort, will present requests for JROC Support Resources to the JRB. The JRB will review each JWCA's proposal along with the specific request for resources, to frame the issues, evaluate options, and propose assessment approach recommendations for JROC approval. The procedures for both organic and contracted efforts follow.

(1) JWCA teams shall prepare proposals to include, as a minimum, the following elements:

(a) Description of the issue/topic, source of the issue, interested parties, and related efforts.

(b) Feasible alternative methodologies to address the issue given three primary variables: deliverable **scope,** deliverable **schedule** and estimated **costs** (in terms of military work-years and/or contract funding). For example, an assessment might be approached using one military analyst conducting a cursory assessment in less than a month resulting in a concise but somewhat limited estimate and recommendation. Alternatively, the same assessment could be outsourced for many months at significant cost resulting in very detailed results and recommendations. A third option might accelerate delivery of the assessment results by applying even more resources over a shorter time frame. Providing the JROC multiple options is intended to provoke discussion and lead to an explicit decision on how much detail is required, how soon the answer is needed, at what cost, at what priority, and with what impact on other JWCA efforts.

$\underline{1}$. Option 1: In-house quick-look. Proposed review uses minimal JWCA resources to survey an issue and report findings (i.e., less than ¼ work-year total effort).

$\underline{2}$. Option 2: Mid-range approach. Proposal focuses a greater portion of available full-time JWCA resources to assess the issue in a more comprehensive manner. Proposal may also include funding for CAAS. Deliverable timeline may vary from Option 1.   Include discussion of potential impacts on schedule or deliverables to include efforts to mitigate risk.

$\underline{3}$. Option 3: Comprehensive approach. Proposal aims to assess the issue in an exhaustive manner, either by concentrating full-time JWCA efforts or by a CAAS effort. Deliverable scope and timeline may vary from Options 1 and 2.

(c) Description of required Service, combatant command, or agency participation that will exceed routine JWCA team activities.

(d) Summary of the total JROC Support Resources committed to all JWCA efforts for the fiscal year. (This information will be provided on request by J-8/JRD/PIB.)

(e) Discussion of JWCA-recommended approach, including relative strengths/weaknesses/risks of the options.

c. CAAS may be procured when it is essential to the joint mission and when equivalent services are not readily available within the Government. The proper use of CAAS is a legitimate way to accomplish the following:

(1) Obtain the opinions, special knowledge, or skills of experts in their respective fields.

(2) Enhance the understanding of complex issues and develop alternative solutions.

(3) Obtain advice regarding developments in industry, university, or foundation research, as well as facilitate citizen advisory participation in developing or implementing government programs that call for such involvement.

d. Based on JRB review and direction, JWCA teams will present proposals for JROC Support Resources to the JROC for approval.

e. The JROC Secretary will periodically update the JROC on the status and availability of JWCA military workload and remaining JROC funding.

5. Coordination Procedure Following JROC Approval* to Expend Resources. After briefing all required items in paragraph 4 above and receiving explicit JROC approval to contract for a specific maximum dollar-level of CAAS resources, JWCAs accomplish the following:

a. Prepare an execution package containing the following elements in accordance with reference h, JSI 5640.01 (Contracted Advisory & Assistance Services):

(1) Statement of Work (SOW)/Task Order.

(2) Independent Government Cost Estimate (IGCE).

(3) SD Form 419, Request for CAAS Form.

(4) DD Form 1498, Research and Technology Work Unit Summary.

(5) DD Form 254, Security Requirements (if required).

(6) Sole Source Justification (if required).

(7) Justification for using a Federally Funded Research and Development Center (FFRDC) or Systems Engineering & Technical Assistance (SETA) contractor, (if required).

(8) JS Form 136L, Joint Staff Action Processing Form.

* Note: While the JROC is the approval authority for the use of funding, the Program Element is assigned to the Joint Staff. Within the Joint Staff, J-8/JRD is designated to ensure the appropriate management controls are applied to JROC funds.

   b. JWCAs coordinate the execution package through JWCA GO/FOs with the following organizations/POCs:

      (1) At vice director level of respective JWCA's Joint Staff directorate, verify that government sources are not available to satisfy requirement.

      (2) J-8/JRD (JROC Resource Manager)

      (3) J-8 Studies and Analysis Management Division (SAMD)

      (4) J-8 Resource and Acquisition Management Office (RAMO)

      (5) Joint Staff Directorate of Management (DOM)/Office of the Joint Staff Comptroller, Joint Staff Acquisition Manager/Joint Staff CAAS Project Manager

      (6) Office of the Chairman, JCS/Office of Legal Counsel

      (7) Vice Director, Joint Staff (signature).

   c. After coordination with J-8/RAMO and J-8/JRD, JWCAs will brief the proposed CAAS effort to the J-8 Resource Management Council (RMC) in order to initiate the package. After all coordination is completed and Vice Director, Joint Staff, has approved the execution package, J-8/RAMO will obtain release of funds by the Joint Staff Comptroller, and the execution package is delivered to the appropriate government contracting office for negotiation and contract award.

   d. J-8/RAMO reports the final contract award amount and date obligated to the appropriate JWCA, to J-8/SAMD and to J-8/JRD.

6. Procedures for Managing Approved JROC Assessments

   a. JWCA teams provide periodic updates or in-progress reviews to the JRB and JROC as required. These reviews provide an opportunity for the JROC to revalidate the requirement for and priority of the assessment, and for JWCAs to report on progress achieved toward milestones and deliverables.

   b. If a JWCA team determines, prior to the conclusion of an assessment, that available resources are insufficient to complete the contractual requirements, JWCAs notify J-8/JRD and J-8/RAMO to discuss potential management actions including, for example, downstream efficiencies, rescoping the effort, or request for additional

resources. JWCAs requesting additional JROC funds must comply with the following:

(1) If the projected contract cost overrun is less than either 10 percent of the total contract cost or $20,000, whichever is less, approval authority is the JROC Secretary.

(2) If the projected overrun is greater than the threshold above, the approval authority is the JROC.

c. On completion of the assessment, JWCA teams prepare a final report or briefing to the JRB and JROC for each issue/topic assessed to close out the effort.

d. JWCA teams comply with J-8/RAMO guidelines to ensure completion of CAAS contract closeout documentation.

ENCLOSURE I

REFERENCES

a. Title 10, United States Code, chapters 2, 5, 6, 7, and 8

b. CJCSI 5123.01A, 8 March 2001, "Charter of the Joint Requirements Oversight Council"

c. CJCSI 3100.01A, 1 September 1999, "Joint Strategic Planning System"

d. CJCSI 8501.01, 1 April 1999, "Chairman of the Joint Chiefs of Staff, Commander in Chiefs of the Combatant Commands, and Joint Staff Participation in the Planning, Programming, and Budgeting System"

e. CJCSI 3170.01B, 2002, "The Requirements Generation System"

f. JROCM 098-00, 25 May 2000, "JROC Administrative Guide"

g. JSI 5640.01, 30 October 1996, "Contracted Advisory and Assistance Services"

h. J-8 Instruction 0609, 31 May 2000, "J-8 Financial Management"

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GLOSSARY

PART I--ABBREVIATIONS AND ACRONYMS

ACAT	acquisition category
ACTD	advance concept technology dmonstrations
APB	acquisition program baseline
BES	Budget Estimate Submission
C4	command, control, communications, and computers
C4I	command, control, communications, computers, and intelligence
CAAS	Contracted Advisory and Assistance Services
CJCS	Chairman of the Joint Chiefs of Staff
CJCSI	Chairman of the Joint Chiefs of Staff Instruction
CP	counterproliferation
CPA	Chairman's Program Assessment
CPR	Chairman's Program Recommendation
CRD	Capstone Requirements Document
DAB	Defense Acquisition Board
DAE	Defense Acquisition Executive
DIA	Defense Intelligence Agency
DOM	Directorate of Management
DPG	Defense Planning Guidance
DOTMLPF	Doctrine, Organization, Training, Materiel, Leadership, Personnel, Facilities
DRB	Defense Resources Board
EJRB	Enhanced Joint Requirements Board
FFRDC	Federally Funded Research and Development Center
GO/FO	general/flag officer
HASC	House Armed Services Committee
IAW	in accordance with
IGCE	independent government cost estimate
IO	information operations
IPR	in-progress review

IPDM	Intelligence Program Decision Memorandum
IPL	Integrated Priority List
IS	information superiority
ISR	intelligence, surveillance, and reconnaissance
JMRR	Joint Monthly Readiness Review
JPD	Joint Planning Document
JRB	Joint Requirements Board
JROC	Joint Requirements Oversight Council
JROCM	Joint Requirements Oversight Council Memorandum
JRD	Joint Requirements Division
JRP	Joint Requirements Panel
JV	Joint Vision
JWCA	Joint Warfighting Capability Assessment
KPP	Key Performance Parameters
MBI	Major Budget Issue
MDAPS	Major Defense Acquisition Programs
MNS	Mission Need Statement
NLT	not later than
NMS	National Military Strategy
O&M	operation and maintenance
OMB	Office of Management and Budget
ORD	Operational Requirements Document
OSD	Office of the Secretary of Defense
PA&E	Program Analysis and Evaluation
PB	President's Budget
PBD	Program Budget Decision
PDM	Program Decision Memorandum
PIT	Process Integration Team
POC	point of contact
POM	Program Objective Memorandum
PPBS	Planning, Programming and Budgeting System
PRG	Program Review Group
RAD	Requirements and Acquisition Division
RAMO	Resource and Acquisition Management Office
RDT&E	research, development, test, and evaluation
RMC	Resource Management Council
S&T	science and technology
SAMD	Studies and Analysis Management Division

SASC	Senate Armed Services Committee
SOW	Statement of Work
SETA	Systems Engineering and Technical Assistance
SWARF	Senior Warfighter Forum
TF	task force
USD(AT&L)	Under Secretary of Defense for Acquisition, Technology, and Logistics
USJFCOM	US Joint Forces Command
VCJCS	Vice Chairman of the Joint Chiefs of Staff
WMD	weapons of mass destruction

PART II--DEFINITIONS

APB: Acquisition Program Baseline - Every acquisition program shall establish an Acquisition Program Baseline to document the cost, schedule, and performance objectives and thresholds of that program beginning at program initiation. Performance shall include supportability and, as applicable, environmental requirements.

Categories of Acquisition Programs: Upon initiation, size and complexity shall generally categorize acquisition programs. The categories are:

1. Acquisition Category (ACAT) I (usually Major Defense Acquisition Programs)
2. ACAT IA (usually Major Automated Information Systems)
3. ACAT II (usually major systems)
4. ACAT III (all other acquisition programs)

   ACAT I programs have two subcategories:
A. ACAT ID, for which the Milestone Decision Authority (MDA) is USD (AT&L). The "D" refers to the Defense Acquisition Board (DAB), which advises the USD (AT&L) at major decision points.
B. ACAT IC, for which the MDA is the DoD Component Head or, if delegated, the DoD Component Acquisition Executive (CAE). The "C" refers to Component. The USD (AT&L) designates programs as ACAT ID or ACAT IC.

BES: Budget Estimate Submission – The proposed budget submission to OSD by the Services and Defense agencies outlining how they intend to use allocated resources for the next fiscal year.

CPA: Chairman's Program Assessment – Assesses Service POM submissions and recommends adjustments to the Secretary of Defense. Assists in making POM adjustment decisions.

CPR: Chairman's Program Recommendations – Chairman's programmatic recommendations to enhance joint warfighting capabilities via Defense Planning Guidance.

CRD: Capstone Requirements Document – A document that contains capabilities-based requirements that facilitates the development of individual ORDs by providing a common framework and operational concept to guide their development.

DAB: Defense Acquisition Board - The senior DOD acquisition review board chaired by USD(AT&L). The DAB advises USD(AT&L) on major

decisions on individual acquisition programs, specifically, and acquisition policies and procedures, generally.

DAE: Defense Acquisition Executive - USD(AT&L) is the DAE. The DAE serves as the Department's Acquisition Executive for MDAPs. As such, the USD(AT&L) establishes acquisition policies and procedures, and chairs the DAB.

DPG: Defense Planning Guidance – SecDef planning guidance and fiscal constraints to the Services for POM development. Links planning and programming phases of PPBS.

DRB: Defense Resources Board – DRB the senior DOD resource allocation board chaired by the Deputy Secretary of Defense. The DRB advises the Deputy Secretary on major resource allocation decisions. The Deputy Secretary of Defense approves funding for new acquisition programs and provides general affordability planning guidance for use in structuring these programs.

IPR: In Progress Review - Review of a project or program at critical points to evaluate status and make recommendations to the decision authority.

IPDM: Intelligence Program Decision Memorandum – A decision paper signed by the Deputy Secretary of Defense outlining and approving changes to the POM submissions for intelligence programs.

IPL: Integrated Priority List – A list of combatant commander highest priority requirements, prioritized across Service and functional lines, defining shortfalls in key programs that may adversely affect the combatant commander's mission. Each combatant commander submits an IPL annually.

JROC: The Joint Requirements Oversight Council - The JROC conducts requirements analyses, validates mission needs and key performance parameters, and develops recommended joint priorities for those needs. The JROC validates the C4I certification of mission need and operational requirements documents for conformance with joint C4 policy and doctrine, architectural integrity, and interoperability standards. The JROC advises the Chairman of the Joint Chiefs of Staff (CJCS) on requirements.

KPP: Key Performance Parameters - Those capabilities or characteristics so significant that failure to met the threshold value of performance can be cause for the concept or system selected to be reevaluated or the program to be reassessed or terminated. KPPs are a critical subset of all

the performance parameters found in the ORD, and are included in the performance portion of the APB. KPPs are validated by the JROC for ACAT I, and special interest programs.

MBI: Major Budget Issue – Budget issues remaining unresolved to the satisfaction of the combatant commanders and Service Chiefs at the end of the budget review.

MNS: Mission Need Statement – A formatted non-system-specific statement containing operational capability needs and written in broad operational terms. It describes required operational capabilities and constraints to be studied during the Concept Exploration and Definition Phase.

OMB: Office of Management and Budget – White House office that prepares the annual budget for the executive branch of the federal government. The Department of Defense budget is part of this budget.

OPERATIONAL CONCEPT: An end-to-end stream of activities that defines how force elements, systems, organizations, and tactics combine to accomplish a military task.

ORD: Operational Requirements Document - Documents the user's objective (desired) and threshold (minimum acceptable) level of requirements for operational performance of a proposed concept or system.

PA&E: Program Analysis and Evaluation – The Director, PA&E, leads the Department's programming effort, provides guidance for and reviews the results of analysis of alternatives studies prepared for acquisition programs, and for AIS systems determines that the cost and benefit analyses are accurate and complete.

PB: President's Budget – The annual budget submitted by the President to Congress for approval. The PB is prepared by OMB and includes the Defense Budget.

PBD: Program Budget Decision – Budget review document used to review and make changes to the Services' BES. PBDs are coordinated with the Joint Staff, Services, and combatant commands and approved by the DEP.

PDM: Program Decision Memorandum – A decision paper signed by the Deputy Secretary of Defense outlining and approving changes to the POM submissions.

POM: Program Objective Memorandum – Recommendations from the Services and Defense agencies to the Secretary of Defense concerning how they plan to allocate resources to meet the DPG.

PPBS: Planning, Programming and Budgeting System – The Department of Defense's cyclic process for determining requirements and allocating resources.

WORK-YEAR: The days or hours of work in a year. The convention used here is 240 work days per person per year (12 months x 4 weeks per month x 5 work days per week).

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