

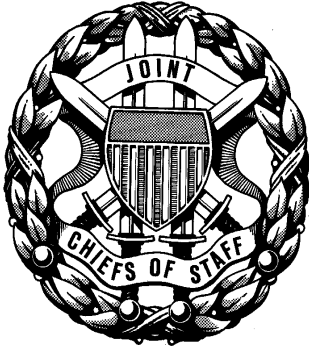
**CJCSI 3137.01C**  
**12 November 2004**

**THE FUNCTIONAL  
CAPABILITIES BOARD  
PROCESS**



**JOINT STAFF  
WASHINGTON, D.C. 20318**

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# CHAIRMAN OF THE JOINT CHIEFS OF STAFF INSTRUCTION

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J-8

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CJCSI 3137.01C

12 November 2004

## THE FUNCTIONAL CAPABILITIES BOARD PROCESS

References: See Enclosure G

1. Purpose. To provide policy and guidance on the role, organization, process, interrelationships, management and operation of the Functional Capabilities Boards (FCBs).
2. Cancellation. CJCSI 3137.01B, 15 April 2002, "The Joint Warfighting Capabilities Assessment Process," is canceled.
3. Applicability. This instruction applies to the Joint Staff, Services, combatant commands, Defense agencies, and joint and combined activities.
4. Policy. This instruction documents the procedures 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, United States Code, sections 113(g)(1), 153, and 163 (reference a). The Chairman:
  - a. Advises the Secretary of Defense (SecDef) on the priorities of capabilities identified by combatant commands.
  - 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 (DOD) conform with the priorities established in strategic plans and combatant command-prioritized capability needs.
  - c. Submits to the SecDef 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. Advises the Secretary of Defense on the extent to which the major programs and policies of the Armed Forces conform to strategic plans.

e. Assesses military capability needs for defense acquisition programs.

5. Definitions. See Glossary.

6. Responsibilities. See Enclosure B.

7. Summary of Changes. The Joint Capabilities Integration and Development System (JCIDS) process (CJCSI 3170.01 series) was implemented in June 2003 and established FCBs to support a new capabilities-based requirements process. Joint Warfighting Capabilities Assessment teams were incorporated into the Functional Capabilities Boards and this instruction highlights FCB activities in support of both the JCIDS process and the broader spectrum of non-JCIDS activities.

8. Releasability. 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/cjcs\\_directives](http://www.dtic.mil/cjcs_directives). Copies are also available through the Government Printing Office on the Joint Electronic Library CD-ROM.

9. Effective Date. This instruction is effective upon receipt.

For the Chairman of the Joint Chiefs of Staff:



NORTON A. SCHWARTZ  
Lieutenant General, USAF  
Director, Joint Staff

Enclosures:

- A - The JROC Process
- B - FCB Overview
- C - FCB Role in Strategy and Planning

D - FCB Role in Programming and Resourcing  
E - FCB Role in Feedback and Assessment  
F - Resource Management and Contracting Support  
G - References  
GL - Glossary

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## ENCLOSURE A

### THE JROC PROCESS

1. Purpose. This enclosure summarizes major aspects of the Joint Requirements Oversight Council (JROC) process that are discussed in detail in reference b, the JROC Charter.
2. Introduction. The JROC supports the Chairman's title 10 responsibilities to advise the Secretary of Defense on capabilities, programs and budgets. The JROC directs the FCB process to support this mission.
3. JROC Mission. Title 10, USC, section 181, directs the Secretary of Defense to establish the JROC. In addition to other matters assigned to it by the President, Secretary of Defense or Chairman, the JROC:
  - a. Assists the Chairman in identifying and assessing the priority of joint military capability needs (including existing systems and equipment) to meet national military and defense strategies.
  - b. Assists the Chairman in considering alternatives to any acquisition program that has been identified to meet military capability needs by evaluating the cost, schedule and performance criteria of the program and of identified alternatives.
  - c. Assists the Chairman in assigning joint priority among existing and future programs meeting valid capability needs, and ensures that the assignment of such priorities conforms to, and reflects, resource levels projected by the Secretary of Defense.
  - d. Assists the Chairman in fulfilling functions identified in title 10 sections 153 and 163, to include formulation of programmatic and budgetary advice to the Secretary of Defense.
4. JROC Organization
  - a. JROC Membership. The CJCS leads the JROC. However, the functions of the JROC Chairman are delegated to the Vice Chairman of the Joint Chiefs of Staff (VCJCS). Service JROC members, consisting of officers in the grade of general or admiral from the Army, Navy, Marine Corps and Air Force, are recommended by their respective Military Department Secretaries and approved by the Chairman after

consultation with the Secretary of Defense. The combatant commands, or their representatives, have open invitations to attend JROC sessions in an advisory role. The Director, J-8, serves as the JROC Secretary. Reference b lists additional advisors to the JROC and describes specific JROC responsibilities.

b. Joint Capabilities Board Membership. The Joint Capabilities Board (JCB) is comprised of General Officers/Flag Officers (GO/FOs) from each of the Services (designated by the permanent JROC member of the Service concerned) and is chaired by the JROC Secretary. The Chief, Joint Capabilities Division (JCD), Joint Staff/J-8, is designated as the JCB Secretary. Combatant command representatives have an open invitation to attend JCB sessions in an advisory role. The JCB reviews FCB context and sponsor program briefings and makes recommendations to the JROC. Functions of the JCB and a composite membership listing are provided in reference b. Information pertaining to context and program briefing content and structure are provided in reference c (JROC Administrative Guide).

c. Functional Capabilities Boards. FCBs are established according to functional areas to assist the JCB and JROC. The JROC determines which FCBs will be established, disbanded or combined. The JROC also determines which specific area(s) are assigned to each FCB and the lead organization(s) responsible for sponsoring the FCB. The Gatekeeper (Vice Director, J-8 (VDJ-8)) approves FCB portfolios inside each functional area. FCBs and FCB working groups provide the analytical underpinning for developing and refining issues that support JROC recommendations. This includes participating in strategy and planning development, programming and resourcing activities (consistent with reference d) and a variety of feedback avenues. Enclosure B provides a detailed description of the FCB process and organization.

5. JROC Communications. JROC communications are separate, unique and do not follow normal Joint Staff or Service channels. The JROC process includes both JCIDS and non-JCIDS activities and will follow the procedures outlined below for issue processing. Direct communications are necessary to facilitate and expedite JROC information flow. Communications from the JROC to the combatant commands and Services are direct. Combatant command or Service principals will identify its respective point of contact who has 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 combatant command or Service principal and return. Likewise, communications will be direct between the JROC and the Milestone Decision Authorities (MDAs) (Office of the Under Secretary of Defense for Acquisition, Technology and Logistics (OUSD(AT&L), Office of the

Assistant Secretary of Defense for Networks and Information Integration (OASD NII), and the Under Secretary of the Air Force (USecAF) Space), or between the JROC Secretary and Defense Acquisition Board (DAB) Executive Secretary. The JROC knowledge management and decision support (JROC KM/DS) tool will be used to store, process and staff documents to support the JROC and supporting processes.

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## ENCLOSURE B

### FCB OVERVIEW

1. Purpose. This enclosure describes the organization, functions and processes of the Functional Capabilities Board (FCB).
2. Introduction. The FCB process exists to support the Chairman and JROC. FCBs provide analytic support for JROC discussions and decisions on capability needs, joint concepts and programmatic issues. FCB responsibilities include both JCIDS and non-JCIDS activities.
3. FCB Mission. FCBs support the JROC by integrating stakeholder (Office of the Secretary of Defense (OSD), combatant commands, Services, Defense agencies, Joint Staff and other federal agencies) views in concept development, capabilities planning and force development to ensure the US military can execute assigned missions. FCBs provide assessments and recommendations that enhance capabilities integration, examine joint priorities among existing and future programs, assess program alternatives (including unclassified, collateral, compartmented and special access programs (SAPs)), minimize duplication of effort throughout the Services and provide oversight in the management of materiel and non-materiel changes that support the national defense and military strategies to achieve optimum effectiveness and efficiency of the Armed Forces.
4. FCB and FCB Working Group Membership. FCBs consist of military and/or civilian members from the organizations listed below. FCBs are sponsored by a JROC-designated organization and chaired by a GO/FO or civilian equivalent. The FCB Chairman may establish a permanent or temporary co-chair(s).
  - a. FCB Principal Members. The FCBs consist of representatives from the following organizations.
    - (1) US Army
    - (2) US Navy
    - (3) US Air Force
    - (4) US Marine Corps

- (5) The Joint Staff
- (6) Combatant commands
- (7) OUSD(AT&L)
- (8) Director, Program Analysis and Evaluation (D, PA&E)
- (9) OASD NII/DOD Chief Information Officer (CIO)

b. The FCB Chairman may provide additional organizations with membership on a permanent or as-needed basis. These organizations may include (but are not limited to):

- (1) Under Secretary of Defense, Comptroller (USD(C))
- (2) Under Secretary of Defense for Policy (USD(P))
- (3) Under Secretary of Defense for Personnel and Readiness (USD(P&R))
- (4) Under Secretary of Defense for Intelligence (USD(I))
- (5) USecAF (as the DOD Space MDA)
- (6) Defense agencies
- (7) Mission Requirements Board (MRB) executive staff

c. FCB Advisory Membership. The following advisory members support the FCB as required:

- (1) FCB working group leads
- (2) Joint Staff J-6 representative (interoperability advisor)
- (3) DOD laboratories
- (4) Employees from other federal agencies
- (5) CJCS legal counsel
- (6) Doctrine, organization, training, materiel, leadership and education, personnel and facilities (DOTMLPF) functional process owners

d. FCB Chairmen may invite representatives from industry, academia, Federally Funded Research and Development Centers (FFRDCs), or other organization outside the federal government to make presentations or answer questions at select FCB meetings.

e. The FCB Working Group Membership. FCBs may establish one or more FCB working groups to serve as their operational arms in addressing JCIDS and non-JCIDS activities. FCB working group members are generally drawn from the same organizations as the parent FCB. The FCB Chairman requests working group participation from the FCB membership, determines actual FCB working group composition and tasks the working group.

5. FCB Functions. Each FCB evaluates issues that impact its functional area and provides subject matter expertise and input to the JROC and JCB for JCIDS and non-JCIDS activities. High-level roles and responsibilities are listed below. FCBs will:

a. Report findings and make recommendations on issues requiring JCB or JROC review.

b. Provide assessments of capabilities issues to support planning programming, budgeting and execution (PPBE) process activities.

c. Coordinate and integrate Department-wide participation to ensure that supporting analyses adequately leverage the expertise of the DOD components to identify promising materiel and non-materiel approaches.

d. Conduct analysis, assessments and studies. FCBs conduct capability evaluations through assessments and studies, using common assessment frameworks (as appropriate), to structure issues and assess impact to joint warfighting. Typically, assessments require fewer resources and can be conducted without additional contractor support, while studies require greater resources and employ analytical tools. Reference e contains guidelines for performing successful studies.

e. Assist the JROC and JCB in overseeing materiel and non-materiel capabilities development within JCIDS, to include assessment of initial capabilities document (ICDs), capabilities development documents (CDDs), capabilities production documents (CPDs), DOTMLPF change recommendations (DCRs) and operational requirements document (ORD) updates or annexes.

f. Participate in the development and use of joint concepts that support the JCIDS process. Participate in the development of Capability Roadmaps and Capability Area Reviews.

g. Provide OUSD(AT&L) with priority joint warfighting capabilities for each of the Joint Functional Concepts as established through the JCIDS process. These priority joint warfighting capabilities will serve to inform the science and technology community and focus the technology development efforts specified in the Joint Warfighting Science and Technology Plan. These priority joint warfighting capabilities will also inform OUSD(AT&L) led capability roadmaps, capability area reviews, and industrial base capability studies (reference f, The Defense Acquisition System).

h. Develop and maintain portfolios to assist in managing capability issues and documents.

#### 6. FCB Integration and Meetings

a. The Gatekeeper (VDJ-8) chairs a weekly FCB GO/FO-level meeting to discuss internal and external coordination among the FCBs. The gatekeeper also chairs a weekly “gatekeeper” meeting with representatives from the Joint Staff J-6, J-7, J-8, the FCB working group leads and US Joint Forces Command (USJFCOM) to review JCIDS documents, assign Joint Potential Designators (JPDs) and determine lead and supporting FCBs for proposal review. J-8/JCD is responsible for overall FCB process integration and chairs weekly O-6 FCB integration meetings to receive updates and exchange information among FCBs, J-7/Joint Transformation Division and J-8 divisions (including Capabilities and Acquisition Division (CAD), Program and Budget Analysis Division (PBAD) and Studies and Analysis Management Division (SAMD)).

b. FCB Chairmen determine FCB meeting times, their locations and frequency, to accommodate the workload and maximize participation. FCB working groups determine internal meeting intervals and invite stakeholders to attend as appropriate. Use of collaboration tools is encouraged to support combatant command participation.

c. FCB Executive Secretariats will ensure read-ahead briefs for issues being vetted at FCB meetings are posted on the JROC KM/DS tool at least 48 hours prior to FCB meetings. Briefs containing Sensitive Compartmented Information (SCI) will be posted on the Joint Worldwide Intelligence Communication System (JWICS) (<http://j2irco.dia.ic.gov/pls/fcbi/home>). Secretariats should post

meeting topics on the JROC KM/DS tool a week prior to FCB meetings. FCB meeting minutes will also be uploaded to KM/DS.

d. In addition to providing context briefs to the JCB and JROC, FCBs may also provide capabilities-based context briefs for various boards and groups that support the Defense Acquisition System (reference f). These may include the DAB, Defense Space Acquisition Board (DSAB), Information Technology Acquisition Board (ITAB), Defense Logistics Board (DLB), Overarching Integrated Process Team (OIPT) and Integrating Integrated Process Team (IIPT). FCB presentations to these boards and teams help facilitate the integration of CJCSI 3170.01 series and Department of Defense Directive (DODD) 5000.1 series processes.

7. FCB Authority. FCBs make recommendations but do not, by themselves, approve or disapprove proposals being vetted for the JCB or JROC. If an FCB cannot reach consensus on an issue, the FCB Chairman forwards opposing viewpoints to the JCB and JROC for action without FCB endorsement. To enhance the quality of FCB recommendations, FCB members must be empowered to explain official Service, Staff or agency positions for issues under consideration at FCB meetings. Official positions are not required for FCB working group meetings. Table B-1 below summarizes key FCB responsibilities.

**Table B-1, Key FCB Responsibilities**

<b>Role</b>	<b>Key Responsibilities</b>
FCB Chairman	<ul style="list-style-type: none"> <li>• Provides the FCB recommendation (speaks for the FCB)</li> <li>• Determines FCB membership (per guidelines in this instruction)</li> <li>• Determines FCB working group composition</li> <li>• Establishes FCB meeting locations and frequencies</li> <li>• Specifies alternatives to resolve proposal shortcomings</li> </ul>
FCB	<ul style="list-style-type: none"> <li>• Integrates department-wide views in concept development, capabilities planning and force development</li> <li>• Advise and assist the JCB and JROC</li> <li>• Reviews working group and sponsor presentations</li> <li>• Reviews working group context briefings to the JCB and JROC</li> </ul>
FCB Working Group	<ul style="list-style-type: none"> <li>• Assesses issues to support JROC recommendations</li> <li>• Incorporates department-wide views and assists in adjudication of critical issues/comments</li> <li>• Performs independent assessments</li> </ul>
Lead FCB	<ul style="list-style-type: none"> <li>• Analyzes capability issues with assistance from Supporting FCB(s)</li> <li>• Provides summary analyses and recommendations on capability issues</li> <li>• Coordinates with supporting FCB for scope of support.</li> </ul>
Supporting FCB	<ul style="list-style-type: none"> <li>• Coordinates with lead FCB for scope of support (i.e., meetings, issue papers, briefings, etc.)</li> <li>• Performs the appropriate assessment/analysis of the capability and provides a summary to the lead FCB</li> </ul>

8. FCB Resources. FCB Chairmen are responsible for ensuring their FCB maintains the organic resources necessary to perform core

responsibilities; i.e., ICD, CDD, CPD, DCR review, internal FCB assessments, etc. Enclosure F provides procedures for obtaining JROC resources in support of FCB activities.

9. FCB Role in Support of the Joint Capabilities Development Process. The Joint Capabilities Development Process (reference g, SecDef memorandum, Initiation of a Joint Capabilities Development Process) links strategy, planning, programming, resourcing and feedback. FCBs support this process and the closely related PPBE and Joint Strategic Planning System (JSPS) processes. Figure B-1 portrays the FCB role in support of these processes, detailing five ongoing, interrelated phases and related FCB tasks. Although the process may appear sequential, in reality FCBs execute phases and activities in parallel because activities in multiple fiscal years occur simultaneously. The process represents the continuing assessment of issues that the JROC uses to support the Chairman. FCB activities directly impact the Chairman's statutory advice to the Secretary of Defense on program and budget proposals.

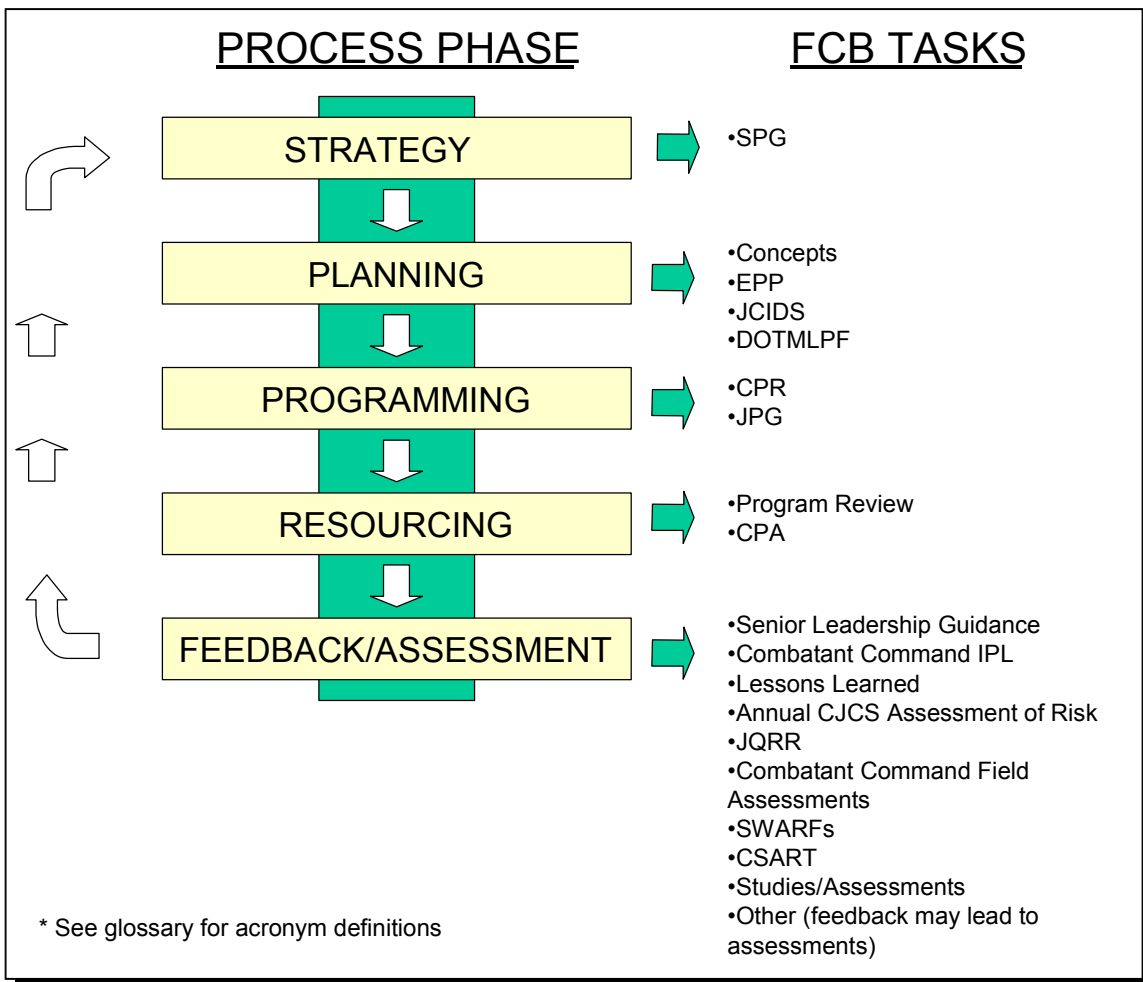


Figure B-1. FCB Role in Support of the Joint Capabilities Development Process

10. FCB Relationship with Other Organizational Frameworks.

Capability issues and proposals being referred to the JROC for decision will normally be evaluated by FCB(s) prior to presentation to the JROC or JCB. This ensures that the JROC and JCB receive FCB input on pending issues and that FCBs are aware of ongoing activity affecting their portfolios.

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## ENCLOSURE C

### FCB ROLE IN STRATEGY AND PLANNING

1. Purpose. This enclosure provides guidance on the role that Functional Capabilities Boards play in the Strategy and Planning phases of the Joint Capabilities Development Process.
2. Introduction. Strategy leads the identification of needs for military capabilities. Strategic decisions provide the direction for planning activities that lead to resourcing and execution. FCBs support strategy and planning activities by providing feedback to shape the national military and defense strategies and assessing capability-based solutions that support these strategies.
3. Strategic Planning Guidance Development (SPG). The SecDef issues the SPG, a top-level document that provides information on the Department's strategic objectives, priorities, major assumptions, force sizing, risk tolerance, study initiatives and capabilities guidance. The SPG focuses on strategic objectives but may provide programmatic guidance on a few issues of paramount importance (reference g). It links the strategy and planning processes and dictates those areas where joint planning efforts must focus. FCBs may have opportunities to review and comment on SPG drafts as they are staffed.
4. Concepts. A concept is a notion or statement of an idea – an expression of how something might be done. A joint concept is a visualization of future operations that describes how a commander, using military art and science, might employ capabilities to achieve desired effects. The Chairman, through the actions of the Joint Staff J-7, will ensure all concepts reflect applicable guidance, accomplish their tasked purpose and fulfill their role within the family of joint concepts. This family includes the Joint Operations Concepts (JOpsC), Joint Operating Concepts (JOCs), Joint Functional Concepts (JFCs) and Joint Integrating Concepts (JICs). USJFCOM is functionally responsible to the Chairman for leading joint concept development and experimentation (CDE). Joint Staff J-7 and USJFCOM will collaborate to ensure SecDef and CJCS goals for joint CDE are attained. FCBs need to be aware of these concepts and have an important role in the development of JFCs and JICs.
  - a. The overarching JOpsC describes how the future joint force will operate 10-20 years in the future in all domains across the range of

military operations within a multi-lateral environment in collaboration with interagency and multinational partners. It guides the development of future joint concepts and joint force capabilities. The JOpsC establishes the unifying framework for the family of joint concepts, the attributes and broad strategic and operational tasks for the future joint force, a campaign framework for future operations, the broad context for joint experimentation and the conceptual foundation for unified action towards implementing the military aspects of national strategy.

b. JOCs provide an operational-level description of how a joint force commander 10-20 years in the future will accomplish a strategic objective through the conduct of operations within a military campaign. This campaign links end state, objectives and desired effects necessary for success. The concept identifies broad principles and essential capabilities and provides operational context for JFC and JIC development and experimentation.

c. JFCs describe how the future joint force will perform a particular military function across the full range of military operations 10-20 years in the future. JFCs support the JOpsC and JOCs and draw operational context from them. JFCs identify required capabilities and attributes, inform JOCs and provide functional context for JIC development and joint experimentation (an example of a JFC is Battlespace Awareness). FCBs develop and maintain JFCs and assist in the development of attributes, assumptions, measures of effectiveness and standards that support JCIDS. FCBs continually assess their JFCs and relationships with other concepts.

d. JICs describe how a joint force commander 10-20 years in the future will integrate capabilities to generate effects and achieve an objective. A JIC includes an illustrative CONOPS for a specific scenario and a set of distinguishing principles applicable to a range of scenarios. JICs have the narrowest focus of all concepts and distill JOC and JFC-derived capabilities into the fundamental tasks, conditions and standards required to conduct a capabilities-based assessment (CBA). Capabilities-based assessments apply functional area analysis (FAA), functional needs analysis (FNA), and functional solutions analysis (FSA) to assess capability needs, gaps, overlaps and solutions to support a JIC. Reference h provides further information on the purpose of each analysis.

5. Enhanced Planning Process (EPP). The EPP provides the Secretary of Defense with programmatic choices and recommendations based on capability-based analyses of major issues (reference i). The Executive Committee (EXCOM), consisting of the Director, PA&E, the Director, Force Structure, Resources, and Assessment Directorate (DJ-8)

and the Principal Deputy Under Secretary of Defense (Policy), provides EPP oversight and guides the process. FCBs may provide members to support EPP issue teams that perform analytical work in accordance with approved terms of reference (TOR). EPP recommendations provide decision opportunities for leadership and may provide programming language input for the Joint Programming Guidance (JPG). EPP issues that do not impact the JPG, but remain valid, may affect PDMs or other policy decisions.

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## APPENDIX A TO ENCLOSURE C

### FCB ROLE IN SUPPORT OF THE JCIDS PROCESS

1. Purpose. This appendix describes Functional Capabilities Board (FCBs) roles in support of the Joint Capabilities Integration and Development System (JCIDS) process.
2. Introduction. JCIDS outlines a methodology that the Department of Defense will use to identify, assess and prioritize joint military capability needs as specified in title 10, United States Code (see reference a). In support of the JCIDS process, FCBs will:
  - a. Provide support to the JROC by integrating Department-wide stakeholder views and evaluating materiel and non-materiel capability-need solutions.
  - b. Present assessments and recommendations that enhance capabilities integration, examine joint priorities among existing and future programs, assess program alternatives and promote cross-Service efficiencies.
3. JCIDS Process Overview. JCIDS implements a capabilities-based approach that provides for systematic, integrated and interoperable materiel and non-materiel solutions to capability needs. See reference h (CJCSI 3170.01 series) for detailed JCIDS guidance.
4. FCB Responsibilities. FCBs operationalize joint concepts, identify capability gaps and integrate materiel and non-materiel solutions. FCBs play critical roles in the JCIDS process by providing a forum to review proposed capability needs and solutions. Coordination with sponsors in developing, reviewing, and evaluating JCIDS products and proposals ensures early visibility in the process to effect change and facilitate efficient and effective operations. The following paragraphs describe FCB responsibilities.
  - a. JCIDS Analysis. FCBs ensure that proposed capability approaches are examined for their potential to improve joint operations. Sponsors must complete JCIDS analysis before forwarding proposals (e.g., ICDs, CDDs, etc.) to the Gatekeeper for review. JCIDS analysis activities include: FAA, FNA, FSA and post-independent analysis.

(1) The goal of the FAA is to identify operational tasks, conditions and standards needed to achieve military objectives. Sponsors examine strategies (i.e., Defense Strategy, National Military Strategy, etc.), concepts (e.g., JOpsC, JOCs, JFCs, and JICs), the Universal Joint Task List (UJTL) and the anticipated range of broad capabilities that adversaries might employ to identify tasks to review in follow-on analysis.

(2) The FNA assesses the ability of current and programmed joint capabilities to accomplish the tasks that the FAA identified under the full range of operating conditions and to designated standards. Using the tasks identified in the FAA as a primary input, the FNA produces a list of capability gaps or shortcomings that require solutions and indicates the timeframe in which those solutions are needed. It may also identify redundancies in capabilities that reflect inefficiencies.

(3) FSA is an operationally based assessment of materiel and non-materiel approaches to solving (or mitigating) one or more of the capability gaps (needs) identified in the FNA. On the basis of the capability needs, potential approaches are identified, including (in order of priority) integrated DOTMLPF changes that leverage existing materiel capabilities; product improvements to existing materiel or facilities; adoption of interagency or foreign materiel solutions; and finally, initiation of new materiel programs. Identified capability needs or redundancies (excess to the need) establish the basis for developing materiel approaches in ICD and/or DOTMLPF approaches.

(4) The final step in the JCIDS FSA analysis process is the post-independent analysis. In this step, the sponsor will consider the compiled information and analysis results to determine which approaches best address the joint capability gap(s) in the functional area. This information will be compiled into an appropriate recommendation—either a DOTMLPF change recommendation or an ICD. Sponsors must complete FAA, FNA, FSA and post independent analysis prior to submitting a proposal into the JCIDS process. Sponsors are encouraged to interact with FCBs throughout all stages of JCIDS analysis. Rigorous, collaborative JCIDS analysis facilitates productive JCIDS proposal evaluation.

b. Gatekeeper Review. The Gatekeeper (VDJ-8) reviews JCIDS proposals, assigns lead and supporting FCBs for those proposals, and designates JPDs for materiel solutions (see Appendix B to Enclosure C for non-materiel solutions). Gatekeeper decisions are made at periodic gatekeeper review meetings. To support these decisions, sponsors submit JCIDS documents through the JROC KM/DS tool to the Administrative Gatekeeper (JROC Secretariat). The Administrative Gatekeeper conducts a cursory review of the documentation to ensure it meets preliminary review requirements. If the documentation does not meet established

requirements, the Administrative Gatekeeper returns it to the sponsor for correction. If the documentation is in order, the Administrative Gatekeeper forwards documentation to supporting gatekeepers (Secretariat representatives from the FCBs, Joint Staff J-6, J-7, and J-8/CAD) for JPD suggestions and lead/supporting FCB recommendations. The Gatekeeper reviews recommendations at the gatekeeper review meeting. After evaluating supporting gatekeeper votes, staff input and proposal overviews, the Gatekeeper selects lead and supporting FCBs based on FCB portfolios and current workloads and establishes the JPD. A JCIDS proposal that receives a JROC Interest or Joint Integration JPD proceeds to staffing (See reference h). Joint Integration proposals are returned to the sponsor for action after all applicable certifications are complete. However, FCBs may address Joint Integration or Independent proposals to maintain situational awareness or validate JPD classification.

(1) Lead FCB Responsibilities. The lead FCB is accountable for overall proposal evaluation as outlined in this appendix. The lead FCB working group assesses JCIDS documents and coordinates with supporting FCB working group(s) to ensure all joint warfighting aspects have been considered in the assessment. Lead FCBs establish internal proposal evaluation guidelines, meeting frequencies and other milestones that document the relationship and roles among lead and supporting FCBs.

(2) Supporting FCB Responsibilities. Supporting FCBs have either a direct or indirect interest in the proposal. Lead FCBs coordinate with supporting FCBs to define the scope of support (i.e., representation in meetings, issue papers, briefings, etc.). The supporting FCBs perform the appropriate assessment of the capability and provide pertinent information to the lead FCB. The Gatekeeper will resolve any disagreements between lead and supporting FCBs concerning the scope of support needed.

c. Proposal Evaluation. FCBs review JCIDS proposals for compliance with reference h. JCIDS proposals, often referred to as JCIDS documentation, include ICDs, CDDs and CPDs. FCBs will also review updates to existing ORDs. As a department-level body, FCBs provide a forum to review and assess cross-capability functionality (multiple FCBs and domain areas) and cross-system functionality (Joint, Service and agency) in identifying operational tasks, conditions and standards, capability gaps and potential solutions/approaches.

(1) Lead and Supporting FCB Working Group Assessment Areas. FCB working groups evaluate and assess a proposal's ability to address capability needs identified in JCIDS analysis (FAA, FNA and FSA) and make recommendations to their respective FCBs concerning proposal

content and suitability for presentation to the JCB and JROC. There are three primary assessment areas.

(a) Administrative Assessment. FCB Working Groups review documentation to ensure that it meets proper formatting and content guidance as prescribed in reference h. Working Groups and Sponsors meet informally to discuss document organization, content and staffing procedures.

(b) Joint Capabilities Assessment. FCB Working Groups review the JCIDS documentation to ensure that it clearly states the capability or functionality that the proposed system or program is providing to the joint warfighter by:

1. Conducting examinations to ensure that the proposal clearly describes the request as a new capability or an improvement of an existing capability.

2. Reviewing key performance parameters (KPPs).

3. Ensuring that appropriate certifications are complete. Current certifications include interoperability, threat validation and intelligence and insensitive munitions.

4. Reviewing any unresolved critical comments remaining following the formal staffing process.

5. Assessing the impact of the proposed capability on near and long-term warfighting issues.

6. Comparing the proposal to existing systems or programs that provide similar capabilities, identifying why the proposal is better than current alternatives and evaluating trade-offs. The proposal should also be examined in relation to its place within relevant concepts and capability roadmaps.

7. Assessing the implications of materiel solutions to doctrine, organization, training, materiel, leadership, personnel and facilities concerns.

(c) Programmatic Assessment. The FCB working group assesses the programmatic impact of the new capability proposal by:

1. Examining expected system/program costs.

2. Assessing the period of system/program execution.

3. Evaluating impact to existing system(s)/program(s) if proposal is fielded. This includes reviewing the roadmap/timeline for legacy retirement and new system initial operating capability (IOC).

4. Identifying the ramifications of delaying proposed system/program.

(2) FCB Working Group Recommendation. After verifying the applicable certification(s) are complete and finishing the assessments described above, the working group decides whether to recommend FCB endorsement of the proposal. If the working group identifies deficiencies, it works with the sponsor to clarify and revise the proposal. When deficiencies are corrected (or if they are not reconcilable), the proposal is referred to the FCB where the working group provides a context brief that frames the proposal in terms of functional area, relevant ROMO and timeframe under consideration. Concurrently, the sponsor provides the program briefing. See reference c for information pertaining to context and program briefing content and structure.

(3) FCB Proposal Evaluation Process. JCIDS proposals are reviewed at FCB meetings. The FCB receives the context briefing from the working group and program briefing from the sponsor. The FCB evaluates the content and completeness of capability proposals to ensure that new capabilities are conceived and developed in an integrated joint warfighting context. After proposal review, the FCB has two options.

(a) Recommend Approval. The proposal is forwarded to the JCB and, with JCB approval, to the JROC with the FCB's recommendation for approval. The FCB provides a context briefing to the JCB and JROC while the sponsor presents the program brief. After JROC action, the FCB will draft the necessary JROCM for approval and signature.

(b) Forward Without FCB Endorsement. If the FCB determines that a proposal does not support an integrated joint force, fails to adequately leverage the abilities of all DOD components, fails to contribute appropriately to the Joint Force commander's ability to most effectively deliver the desired effects, or has other significant shortcomings, the FCB Chairman specifies corrective action(s) required to resolve proposal shortcoming(s) and receive FCB endorsement. The sponsor then attempts to resolve these deficiencies. If agreement between the FCB and sponsor still cannot be achieved, the FCB Chairman informs the JCB about the shortcoming(s) and refers the proposal to the JCB for resolution.

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APPENDIX B TO ENCLOSURE C

FCB ROLE IN THE DOTMLPF CHANGE RECOMMENDATION PROCESS

1. Purpose. This appendix describes the FCB role in the DCR Process.
2. Introduction. The DCR process provides a means for organizations to bring joint DOTMLPF change recommendations with resource implications to the JROC for consideration. This appendix applies to DCRs outside the scope or oversight of new defense acquisition programs. DCRs embedded within new defense acquisition programs are covered by reference h. DCRs may be used to request: 1) new or modified non-materiel resources (i.e., Joint doctrine, organization, training, leadership, personnel or facilities), 2) additional numbers of systems (without modification) produced or deployed by the JCIDS process, and 3) acquisition of existing items or commodities to meet an operational need. DCRs must be measurable and lead to tangible joint capability improvement. Reference j (CJCSI 3180 series) provides further information on this process. The DCR process will eventually be incorporated into a future revision of reference h.
3. DCR Process. Joint Staff J-8/JCD facilitates DCR staffing and review with the lead FCB, assists in DCR JROCM preparation and tracks JROC-approved DCRs through implementation. The following paragraphs describe FCB support of the DCR process.
  - a. Issue Identification, Submittal and Gatekeeper Review. The Gatekeeper (VDJ-8) manages entry of DCRs into the FCB process. Sponsors identify issues, draft DCRs and conduct preliminary reviews with J-8/JCD. DCRs are processed via JROC KM/DS. Reference j contains guidelines for submissions. The Gatekeeper, with supporting gatekeeper assistance as appropriate, reviews the DCR and designates a lead and supporting FCB(s) (as required) to perform the assessment.
  - b. Issue Review. FCBs review DCRs to ensure that the requests support needed capabilities. FCB working groups assess DCRs using the following criteria:
    - (1) Warfighter Impact. Review issues, assess alternate courses of action and impact to the warfighter.
    - (2) Non-Materiel. Identify additional non-materiel solutions that arise from, or may be affected by, the DCR.

(3) Materiel. Identify materiel solutions affected by the DCR.

(4) Implementation Timeline. Assess implementation timeline, impact to current and future programs and consistency with approved capability roadmaps (if applicable).

(5) Rough Order of Magnitude (ROM) and Costs. Review programmatic and resourcing issues. When additional resources are required, identify programs using risk guidance that may assist the JCB and JROC in making programmatic and offset recommendations.

(6) Organization/Agent. Identify the responsible organization or agent that will implement corrective action.

c. While assessing DCRs, FCB working groups review related JCIDS proposals and non-materiel solutions to determine if the DCR is addressed by an existing or proposed solution. They evaluate risks and compare to SPG guidance. The FCB working group evaluates trade space, impact of accelerating pertinent programs and other alternatives that effect costs. If the working group identifies deficiencies, it works with the sponsor to clarify and revise the DCR. When deficiencies are corrected (or if they are not reconcilable), the DCR is referred to an FCB meeting where the FCB working group provides a context brief and the sponsor briefs the DCR.

d. DCRs are reviewed at FCB meetings. The FCB receives the briefs from the FCB working group and sponsor and has two options.

(a) Recommend endorsement. Endorsement from the FCB signifies that the DCR is valid from a joint perspective, the FCB supports the capability improvement recommendation and recommends JROC endorsement.

(b) Forward without FCB endorsement. If the FCB identifies deficiencies with the DCR, the FCB Chairman specifies corrective action(s) required to resolve proposal shortcomings. The sponsor then attempts to resolve these deficiencies. If agreement with the sponsor still cannot be achieved, the FCB Chairman informs the JCB about the deficiencies and refers the DCR to the JCB for resolution.

c. JCB and JROC Review. The JCB reviews the FCB context briefing and sponsor DCR briefing and makes a recommendation to the JROC. The JROC endorses one or more of the following alternatives.

(1) Execute the DCR. Once the JROC endorses the DCR, J-8/JCD facilitates DCR JROCM preparation.

(2) Plan for Concept Development or Experimentation. The JROC recommends the sponsor proceed with concept development or experimentation efforts. There is no requirement for FCBs to actively track further efforts because successful experimentation efforts will develop into refined DCRs or JCIDS proposals.

(3) Monitor Issue. The JROC informs the sponsor that an ongoing materiel or non-materiel solution will address the DCR. The sponsor should monitor the solution as it matures to ensure it will satisfy the DCR. The sponsor may bring a DCR back into the process if the expected solution fails to mature.

(4) Assume Risk. The JROC determines that there are higher priorities and that the risk of not implementing the DCR is acceptable. The JROC recommends that the sponsor assume risk.

(5) Further Study Required. The JROC recommends further study of the issue by the FCB or another body.

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## ENCLOSURE D

### FCB ROLE IN PROGRAMMING AND RESOURCING

1. Purpose. This enclosure describes FCB roles in support of the programming and resourcing phases of the Joint Capabilities Development Process.
2. Introduction. In fulfillment of title 10 responsibilities, the Chairman provides programmatic advice to the Secretary of Defense via two documents: the Chairman's Program Recommendations (CPR) and the Chairman's Program Assessment (CPA). The CPR is intended to influence the JPG or early PDMs while the CPA is intended to influence the program and budget review process. Both the CPR and CPA represent personal recommendations from the Chairman to the Secretary of Defense and therefore, neither document is published. Joint Staff J-8 tracks these recommendations through the JPG and program and budget review processes. This enclosure addresses the CPR, CPA, JPG and program and budget review processes.
3. CPR and CPA Overview. The CPR and CPA make specific recommendations to enhance joint warfighting and readiness by highlighting and emphasizing programs the Chairman deems critical for the next program/budget build.
  - a. Building the CPR/CPA. The JROC provides suggested CPR/CPA issues and recommendations to the Chairman. FCBs support this process by identifying, analyzing and recommending issues to resolve capability shortfalls within their respective portfolios. The following paragraphs describe a high-level view of FCB responsibilities.
    - (1) Issue Development. Preliminary CPR/CPA activities reflect ongoing, day-to-day FCB capability development and assessment. CPR/CPA issues can originate from numerous sources. These include:
      - (a) Integrated priority lists (IPLs)
      - (b) Program and budget review
      - (c) Service program objective memorandums (POMs)
      - (d) SPG/JPG

- (e) EPP
- (f) Assessments
- (g) Studies
- (h) Lessons learned
- (i) Combatant command field assessments (CCFA)
- (j) Senior warfighter forums (SWarFs)
- (k) Annual CJCS assessment of risk to the National Military Strategy (NMS)
- (l) Joint Quarterly Readiness Report (JQRR) deficiencies
- (m) Combatant command JROC and FCB trips
- (n) Senior leadership input and comment from the Senior Leadership Review Group, Strategic Planning Council meetings, combatant command conferences and other venues.

(2) FCBs prioritize, develop and track issues that impact their respective portfolios. During CPR/CPA development, J-8/JCD is responsible for providing overarching guidance and process. J-8/JCD develops planning timelines, provides administrative guidance to the FCBs, standardizes documentation formats and coordinates updates to senior leaders. Other branches within J-8 support issue development. PBAD provides expertise and information on resource implications while CAD evaluates programmatic and acquisition aspects.

(3) Internal Review. During the internal review process, issues are worked and refined in preparation for the combatant command trip. After FCB Chairman approval, FCB issues are briefed to the JCB and JROC. FCBs then make changes as required.

(4) Combatant Command Trip Preparation. The JROC and FCBs visit the combatant commands to review issues and ensure that the Department addresses combatant command needs. Since IPLs are a primary means by which combatant commands document unfulfilled capability needs, FCBs must carefully assess IPL issues in preparation for the trip. FCB working groups must communicate with combatant commands during IPL issue development to ensure stakeholder views are properly understood.

(5) Combatant Command Trip Execution. J8/JCD plans and coordinates the combatant command trip. During the trip, briefers address the issues, ongoing shortfall mitigation efforts, and possible decision opportunities. Combatant commands provide feedback on the Department's understanding of key issues, validate proposed solutions and assist in prioritizing issues.

(6) CPR/CPA Development. Following combatant command interaction, FCBs refine issues while J-8/JCD consolidates inputs and prepares draft CPR/CPA language. J-8/JCD staffs issues and recommendations with the combatant commands, Services and Joint Staff directorates. The JCB and JROC are briefed on any significant changes or unresolved issues following staffing and the draft CPR/CPA is sent to the Chairman for review. The Chairman directs any final changes and then forwards the signed document to the Secretary of Defense. Since the CPR and CPA are personal correspondence from the Chairman to the Secretary of Defense, copies are not available for public review.

4. Joint Programming Guidance. The JPG is issued to direct programmatic action on issues of departmental interest. Services and Defense agencies change their programs and budgets based on direction in the JPG. FCBs indirectly impact the JPG via CPR input (and participation in the EPP). In a program/budget off year, the JPG may be replaced by an early PDM but the process, timeline and purpose are similar.

5. Program and Budget Review. During program and budget review, the DepSecDef issues PDMs and program budget decisions (PBDs) to direct specific changes to programs and budgets. The Chairman has the opportunity to influence outstanding issues in the program and budget review process through the CPA.

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## ENCLOSURE E

### FCB ROLE IN FEEDBACK AND ASSESSMENT

1. Purpose. This enclosure describes FCB roles in assessing capability needs feedback and other issues.
2. Introduction. FCBs obtain inputs from a variety of sources to gain insights on capability needs, gaps and overlaps within their portfolios. This enclosure discusses the FCB capability issue process and provides a framework for addressing traditional avenues of feedback including combatant command IPLs, lessons learned, JQRRs, CCFAs, SWarFs, Combat Support Agency Review Team (CSART) Assessments and senior leadership guidance (to include governance bodies).
3. FCB Capability Issue Process Overview. FCBs may be tasked to assess capability issues that arise from IPLs, lessons learned, JQRR issues and deficiencies, studies and assessments, processes, meetings, Combat Support Agency Review Team Assessments, or senior leader tasking. FCBs perform assessments to evaluate capability shortfalls, overlaps or gaps and may then make recommendations to the JCB and JROC. The FCB capability issue process, as illustrated in Figure E-1, represents a repeatable methodology to assess these capability issues. The following subparagraphs describe the FCB capability issues process. Paragraphs 4 through 9 provide supporting detail tailored to the respective issue source.

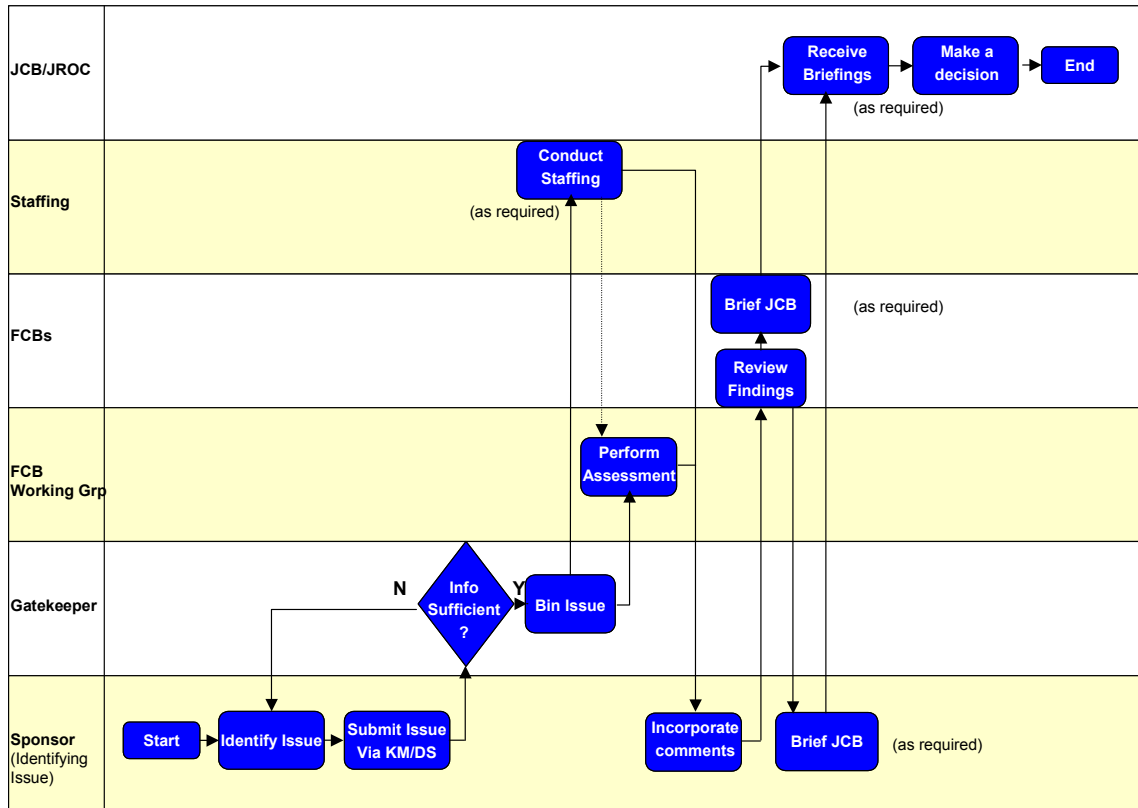


Figure E-1. FCB Capability Issue Process

a. Issue Identification, Submittal and Gatekeeper Review. The Gatekeeper (VDJ-8) manages entry of issues into the FCB process. Issue sponsors may include the Joint Staff, combatant commands, Services, OSD or other stakeholders. Individual issues may be embedded within a variety of documentation. The Gatekeeper, with supporting gatekeeper assistance as appropriate, reviews the issue and designates a lead and supporting (as required) FCB to perform the assessment.

b. Issue Review. As the FCB working groups perform their assessments, the Gatekeeper may direct staffing the issue via JROC KM/DS to initiate O-6 and/or GO/FO review. Working groups assess issues and define approaches using the following criteria.

- (1) Warfighter Impact. Review issues, assess alternate courses of action and impact to the warfighter.
- (2) Non-Materiel. Identify non-materiel solutions that resolve the issue.
- (3) Materiel. Identify materiel solutions that resolve the issue.

(4) Implementation Timeline. Assess implementation timeline, impact to current and future programs and consistency with approved capability roadmaps.

(5) ROM and Costs. Address programmatic and resourcing issues and perform cost benefit analyses, as required.

(6) Organization/Agent. Identify the responsible organization(s) or agent(s) that will implement corrective action(s).

c. While assessing issues, FCB working groups formulate and prioritize approaches. FCB working groups review related JCIDS proposals and non-materiel solutions to determine if the issue is already being addressed. They evaluate risk and compare to SPG guidance. If there is an existing program of record (POR), the working group may proceed with a variety of alternatives. If the working group determines that a materiel solution is needed and there is not an existing POR that addresses the issue, the working group may recommend ICD development. The working group evaluates trade space, risks to accelerate pertinent programs, and other alternatives that impact costs. The sponsor incorporates comments and feedback from the FCB working group and staffing.

d. The FCB Chairman then determines whether or not the importance of the issue merits review by the full FCB. If so, the FCB working group and sponsor brief the FCB on recommendations that include proposed approaches, prioritization and risks. The FCB Chairman approves recommendations for action and forwards the issue to the JCB if JCB or JROC action is required.

e. JCB and JROC Reviews. The JCB receives a context briefing from the FCB and an issues/program briefing from the sponsor. The JCB then makes a recommendation to the JROC. The JROC endorses one of the following alternatives:

(1) Provide Additional Information. The JROC requires additional information to make recommendations. FCBs maintain existing relationships with sponsors and work with them to gather information to meet JROC requirements.

(2) Assume Risk. The JROC determines that there are higher priorities and that the risk of not implementing the improvement recommendation is acceptable. The JROC recommends that the sponsor assume the risk. There is no FCB action.

(3) Monitor Issue Being Worked. The JROC informs the sponsor that an ongoing materiel or non-materiel solution should address the issue. The sponsor should monitor the solution as it matures to ensure it will satisfy the improvement recommendation. The sponsor may bring a recommendation back into the process if the solution fails to address the issue.

(4) Develop DCR. FCBs will assess the DCR when submitted.

(5) Adjust Program. FCB works with the sponsor to identify required program changes and address other programmatic concerns. An ICD may be developed if new capabilities are needed.

(6) Further Study Required. The JROC recommends further study of the issue by the FCB or another body.

4. Senior Leader Guidance. FCBs may also be requested to evaluate issues based on questions or requests from OSD, Joint Staff, combatant command, and Service leaders. FCBs assess these issues using the FCB Capability Issue Process.

5. Combatant Commander's Integrated Priority Lists. Combatant command IPLs serve as the primary vehicle for combatant commands to communicate their capability needs to OSD, the Services, and Defense agencies. The IPLs represent a list of the combatant command's highest priority capability gaps that, in the judgment of the combatant command, adversely affect the combatant command's ability to accomplish assigned missions.

a. OSD (PA&E) solicits IPLs from the combatant commands via tasking letter and administers POM preparation instruction that directs Services and Defense agencies to address IPLs. Combatant commands may prioritize IPLs and highlight risks and tradeoffs. FCBs integrate IPL concerns and priorities into the capability issue process. IPLs are received, reviewed, and binned to the appropriate FCB(s). IPL issues are assessed and may become candidates for the CPR/CPA.

b. FCBs assess their respective portfolios for capability gaps and use IPL issues to guide discussions for materiel and non-materiel solutions. J-8/PBAD provides information on issues with programmatic or resource implications while J-8/CAD evaluates programmatic and acquisition aspects.

6. CJCS Risk Assessment (CRA) to the National Military Strategy. The Chairman submits an annual report to Congress via the Secretary of Defense that provides his assessment of the nature and magnitude of the

strategic and military risks associated with executing the missions called for under the current NMS. The CRA fulfills statutory requirements and also serves to inform and advise other strategy, programming and policy processes. It reflects near-term priorities and examines trends over time that may affect the ability of the Armed Forces to achieve longer-term goals and objectives. The CRA may also identify long-term readiness and modernization issues that would require resolution through the JQRR or JROC processes. Issues needing JROC action may be referred to FCBs for assessment.

7. Lessons Learned. USJFCOM collects, processes, analyzes, distributes and archives relevant lessons learned, issues and key observations from the operational level of war in support of Regional Combatant Commanders (RCCs). As USJFCOM determines that lessons learned impact joint capabilities, it forwards issues, findings and approaches to the FCBs for evaluation. FCB working groups may participate in USJFCOM lessons learned working groups to develop lessons learned recommendations.

8. Joint Quarterly Readiness Reviews. JQRRs provide a direct link between the Chairman's Readiness System (CRS) and the JROC process (see reference k, CJCSI 3401.01 series). When directed by the Gatekeeper, FCBs assess near-term JQRR issues with significant joint operational and interoperability impact to the capabilities development process. In some cases, JQRR issues may be considered for a formal study to determine how best to resolve the deficiency.

a. Only a subset of JQRR deficiencies makes its way into the JROC/FCB process. These are JQRR deficiencies that have future warfighting implications. They require assessment beyond the scope of routine Joint Staff directorate analysis and have programmatic implications.

b. The CRS provides two avenues of JQRR reporting: readiness updates and Quarterly Feedback JQRRs. J-3/Readiness presents semi-annual readiness status updates with summary tracking of JQRR deficiencies to J-8. J-3 also briefs the other Joint Staff directorates on the Quarterly Feedback JQRR and bins deficiencies as required. J-8/JCD attends JQRR meetings and updates FCBs when needed to ensure FCBs maintain situational awareness.

c. The Director, Joint Staff (DJS), reviews JQRR assessment recommendations and may nominate deficiencies to the JROC and request an assessment or study to make recommendations for corrective action. Upon review, the JROC may assign the deficiency to the Gatekeeper for FCB action. The Gatekeeper will assign FCB(s) to assess

the issue. If the JROC does not support the need for an FCB assessment or study, it will return the recommendation to the DJS for another form of resolution or recommend that the Department acknowledge the risk and monitor on a periodic basis until the situation changes or another form of resolution is identified.

9. Combatant Commander Field Assessments. CCFAs represent a vehicle for a combatant commander to receive a rapid, tailored analysis in response to an emergent threat capability need. CCFAs represent the highest priority combatant command needs concerning fielded US force or system capabilities and/or vulnerabilities that involve more than one Service. These questions must be addressed within days or weeks. CCFAs address operational issues that, if not addressed immediately, will seriously endanger personnel or significantly impact mission accomplishment. FCBs may participate in CCFAs. See reference 1 for additional information.

10. Senior Warfighter Forums. A SWarF is a forum, generally consisting of combatant commands and Services, to organize, analyze, prioritize and build joint consensus from the warfighter's perspective on a complex resource and capabilities-need issue.

a. Combatant commands, Services or FCBs may recommend a SWarF if they identify a joint capabilities or resource mismatch.

b. As appropriate, FCBs participate in, or monitor, SWarFs and integrate their findings and recommendations into ongoing and future FCB efforts. Upon completion of SWarF activity, the SWarF may brief the JCB and JROC. FCBs may be required to develop issues resulting from SWarFs into future FCB assessments and studies.

11. Technology Demonstrations and Experimentation. The J-8/CAD Division Chief is responsible for managing the Joint Staff review process regarding advance concept technology demonstrations (ACTDs) and science and technology (S&T) efforts.

a. ACTDs enable the warfighter to evaluate advanced technology capabilities and refine operational concepts prior to a commitment is made to proceed with the formal acquisition process. Upon conclusion, the capability can be transitioned into the appropriate phase of the acquisition process.

b. The Deputy Under Secretary of Defense for Advanced Systems and Concepts (DUSD(AS&C)) is responsible for managing the ACTD process. FCBs may evaluate ACTD nominations and make recommendations on

prioritization based on an FCB assessment of capability needs in their portfolio.

c. USJFCOM, as the lead combatant command for concept development and experimentation, develops, explores, tests and validates 21st-century warfighting concepts and prototypes. USJFCOM examines new ideas and assesses future joint operational capabilities. These may result in DCRs or USJFCOM transformation change packages (TCP). The Gatekeeper may direct an FCB(s) to evaluate concept(s) and/or prototype(s) contained in DCRs or TCPs for impact to their capability portfolios.

12. Combat Support Agency Review Team Assessments. The CSART assessment (reference m) is a title 10 and Chairman-directed assessment of the readiness and responsiveness of the combat support agencies (CSAs) to support the operating forces. The assessment report is approved by the Chairman and forwarded to the Secretary of Defense with a recommendation for the Secretary to direct the implementation of the assessment recommendations. During the course of the assessments, the CSART may identify capability or longer-term readiness shortfalls and issues that are of interest to a FCB. FCBs may assess these issues individually or use CSART findings to support related FCB assessments and recommendations.

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## ENCLOSURE F

### RESOURCE MANAGEMENT AND CONTRACTING SUPPORT

1. Purpose. This enclosure describes the process FCBs use to obtain JROC support resources to execute their missions. 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 annually appropriated research, development, test and evaluation (RDT&E) and operations and maintenance (O&M) funding, to achieve the following objectives:
  - a. Oversee the JCIDS process and prioritization of joint military capability needs.
  - b. Accomplish studies or assessments that will focus JROC decisions on future joint capability needs and joint concepts.
  - c. Review major defense acquisition programs to meet military requirements within DOD-projected resource constraints.
  - d. Provide advice/recommendations required in response to direction from higher authority.
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. FCBs conducting assessments using JROC funding will proceed consistent with this instruction and reference n (JSI 5640.01 series, CAAS).
  - c. FCBs coordinate resource-planning information with J-8/JCD using standard JROC formats.
  - d. JROC direction/consent for FCBs 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 JROC Secretary for approval

of the specific study proposal and allocation of resources. 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 FCBs' recommended approach.

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

a. FCB Chairmen are responsible for ensuring their FCB maintains the organic resources necessary to perform core responsibilities; i.e., ICD, CDD, CPD, and DCR review, internal FCB assessments, etc. FCB 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 FCB shall designate an individual to work with the J-8/JCD to facilitate execution of CAAS and other funding commitment efforts.

b. Individual FCBs, or the designated lead of a JROC effort, will present requests for JROC support resources to the JROC Secretary. The JROC Secretary will review and approve proposals. FCBs will prepare proposals to include, as a minimum, the following:

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

(2) 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 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 FCB efforts.

(a) Option 1: In-house quick-look. Proposed review uses minimal FCB resources to survey an issue and report findings (i.e., less than 1/4 work-year total effort).

(b) Option 2: Mid-range approach. Proposal focuses a greater portion of available full-time FCB 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.

(c) Option 3: Comprehensive approach. Proposal aims to assess the issue in an exhaustive manner, either by concentrating full-time FCB efforts or by a CAAS effort. Deliverable scope and timeline may vary from Options 1 and 2.

(3) Description of required Service, combatant command or agency participation that will exceed routine FCB activities.

(4) Summary of the total JROC support resources committed to all FCB efforts for the fiscal year. (This information will be provided on request by J-8/JCD).

(5) Discussion of FCB-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 no government sources are available or adequate to perform the work. CAAS will not be used to replace lost military manpower. 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.

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

a. Prepare an execution package containing the following elements in accordance with reference n:

- (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 funds are expended in support of the JROC, the program element is assigned to the Joint Staff. Within the Joint Staff, J-8/JCD is designated to ensure the appropriate management controls are applied to JROC funds.

b. FCBs coordinate the execution package with the following organizations/POCs:

- (1) At Vice Director level of the respective FCB Joint Staff directorate, verify and certify that government sources are not available or adequate to satisfy requirement.
- (2) J-8/JCD (JROC Resource Manager.)
- (3) J-8/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/JCD, FCBs 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 FCB and to J-8/JCD.

6. Procedures for Managing Approved JROC Assessments. FCBs provide periodic updates or in-progress reviews to the JCB and JROC as required. These reviews provide an opportunity for the JROC to revalidate the requirement for, and priority of, the assessment and for FCBs to report on progress achieved toward milestones and deliverables.

a. If an FCB determines, prior to concluding an assessment, that available resources are insufficient to complete the contractual requirements, FCBs notify J-8/JCD and J-8/RAMO to discuss potential management actions including, for example, downstream efficiencies, rescoping the effort or request for additional resources. The JROC Secretary approves contractual changes that require additional resources.

b. On completion of the assessment, FCBs prepare a final report or briefing for each issue/topic assessed to close out the effort.

c. FCBs comply with J-8/RAMO guidelines to ensure completing CAAS contract closeout documentation.

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ENCLOSURE G

REFERENCES

- a. Title 10, United States Code, sections 153, 163, 167 and 181.
- b. CJCSI 5123.01 series, "Charter of the Joint Requirements Oversight Council"
- c. JROCM 137-03, 5 January 2003, "JROC Administrative Guide"
- d. DODD 7045.14 series, "Planning, Programming, and Budgeting System (PPBS)"
- e. J-8 Guide 5643, 6 June 2003, "Joint Staff Study Lead Guide"
- f. DODD 5000.1 series, "The Defense Acquisition System"
- g. Secretary of Defense memorandum, 31 October 2003, "Initiation of a Joint Capabilities Development Process"
- h. CJCSI 3170.01 series, "Joint Capabilities Integration and Development System"
- i. Secretary of Defense memorandum, 9 December 2003, "Enhanced Planning Process Procedures for FY 2006-2011"
- j. CJCSI 3180.01 series, "Joint Requirements Oversight Council (JROC) Programmatic Processes for Joint Experimentation and Joint Resource Change Recommendations"
- k. CJCSI 3401.01 series, "Chairman's Readiness System"
- l. CJCSI 3451.01 series, "Combatant Commander Field Assessment"
- m. CJCSI 3460.01 series, "Combat Support Agency Review Team Assessments"
- n. JSI 5640.01 series, "Contracted Advisory and Assistance Services"

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## GLOSSARY

### PART I--ABBREVIATIONS AND ACRONYMS

ACAT	Acquisition Category
ACTD	Advanced Concept Technology Demonstration
AT&L	Acquisition, Technology & Logistics
CAAS	Contracted Advisory and Assistance Services
CAD	Capabilities and Acquisition Division
CCFA	Combatant Command Field Assessment
CDD	Capabilities Development Document
CDE	concept development and experimentation
CJCS	Chairman of the Joint Chiefs of Staff
CJCSI	Chairman of the Joint Chiefs of Staff Instruction
CPA	Chairman's Program Assessment
CPD	Capabilities Production Document
CPR	Chairman's Program Recommendation
CRA	CJCS Risk Assessment
CRS	Chairman's Readiness System
CSART	Combat Support Agency Review Team
DAB	Defense Acquisition Board
DCR	DOTMLPF Change Recommendation
DIA	Defense Intelligence Agency
DIT	DOTMLPF Integration Team
DJ8	Director, J-8
DLB	Defense Logistics Board
DJS	Director, Joint Staff
DLB	Defense Logistics Board
DOD	Department of Defense
DOM	Directorate of Management
DPG	Defense Planning Guidance
DOTMLPF	Doctrine, Organization, Training, Materiel, Leadership and Education, Personnel and Facilities
DSAB	Defense Space Acquisition Board
DUSD(AS&C)	Deputy Under Secretary of Defense for Advanced Systems and Concepts
EPP	Enhanced Planning Process
EXCOM	Executive Committee

FAA	Functional Area Analysis
FCB	Functional Capabilities Board
FFRDC	Federally Funded Research and Development Center
FNA	Functional Needs Analysis
FSA	Functional Solutions Analysis
GIG	Global Information Grid
GO/FO	General Officer/Flag Officer
ICD	Initial Capabilities Document
IGCE	Independent Government Cost Estimate
IIPT	Integrating Integrated Process Team
IOC	Initial Operating Capability
IPL	Integrated Priority List
ITAB	Information Technology Acquisition Board
JBMC2	Joint Battle Management Command and Control
JCB	Joint Capabilities Board
JCD	Joint Capabilities Division
JCIDS	Joint Capabilities Integration and Development System
JFC	Joint Functional Concept
JIC	Joint Integrating Concept
JOC	Joint Operating Concept
JOpsC	Joint Operations Concept
JPD	Joint Potential Designator
JPG	Joint Programming Guidance
JQRR	Joint Quarterly Readiness Review
JROC	Joint Requirements Oversight Council
JROCM	Joint Requirements Oversight Council Memorandum
KM/DS	Knowledge Management and Decision Support
KPP	Key Performance Parameters
MAIS	Major Automated Information Systems
MDA	Milestone Decision Authority
MRB	Mission Requirements Board
NII	Networks and Information Integration
NMS	National Military Strategy
NSS	National Security Systems
O&M	Operation and Maintenance
OASD	Office of the Assistant Secretary of Defense
OIPT	Overarching Integration Process Team
ORD	Operational Requirements Document

OSD	Office of the Secretary of Defense
OUSD	Office of the Under Secretary of Defense
OUSD(AT&L)	Under Secretary of Defense for Acquisition, Technology, and Logistics
PA&E	Program Analysis and Evaluation
PBAD	Program and Budget Analysis Division
PBD	Program Budget Decision
POM	Program Objective Memorandum
POR	Program of Record
PPBE	Planning, Programming, Budgeting and Execution process
RAMO	Resource and Acquisition Management Office
RCC	Regional Combatant Commands
RDT&E	Research, Development, Test, and Evaluation
RMC	Resource Management Council
ROM	Rough Order of Magnitude
ROMO	Range of Military Operations
S&T	Science and Technology
SAMD	Studies and Analysis Management Division
SAP	Special Access Program
SCI	Sensitive Compartmented Information
SecDef	Secretary of Defense
SETA	Systems Engineering and Technical Assistance
SPG	Strategic Planning Guidance
SOW	Statement of Work
SWarF	Senior Warfighter Forum
TCP	Transformation Change Package
TOR	Terms of Reference
USecAF	Under Secretary of the Air Force
USD	Under Secretary of Defense
USD(C)	Under Secretary of Defense, Comptroller
USD(I)	Under Secretary of Defense for Intelligence
USD(P)	Under Secretary of Defense for Policy
USJFCOM	US Joint Forces Command
VCJCS	Vice Chairman of the Joint Chiefs of Staff
VDJ-8	Vice Director, J-8

## PART II--DEFINITIONS

Advanced Concept Technology Demonstration (ACTD) – A demonstration of the military utility of a significant new capability and an assessment to clearly establish operational utility and system integrity.

Architecture – A framework or structure that portrays relationships among all the elements of the subject force, system or activity.

Capability – The ability to execute a specified course of action. It is defined by an operational user and expressed in broad operational terms in the format of an initial capabilities document or a DOTMLPF change recommendation. In the case of materiel proposals, the definition will progressively evolve to DOTMLPF performance attributes identified in the CDD and the CPD.

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 IAM (usually Major Automated Information Systems)
3. ACAT II (usually major systems)
4. ACAT III (all other acquisition programs)

ACAT I programs have two subcategories:

1. ACAT ID, for which the MDA is USD (AT&L). The “D” refers to the DAB, which advises the USD (AT&L) at major decision points.
2. 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.

Capability Development Document (CDD) – A document that captures the information necessary to develop a proposed program(s), normally using an evolutionary acquisition strategy. The CDD outlines an affordable increment of militarily useful, logistically supportable and technically mature capability.

capability gaps – Those synergistic resources (DOTMLPF) that are unavailable but potentially attainable to the operational user for effective task execution.

Capability Production Document (CPD) – A document that addresses the production elements specific to a single increment of an acquisition program.

Capstone Requirements Document (CRD) – 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.

certification – A statement of adequacy provided by a responsible agency for a specific area of concern in support of the validation process.

Chairman's Program Assessment (CPA) – Provides the CJCS's personal appraisal on alternative program recommendations and budget proposals to the Secretary of Defense for consideration in refining the defense program and budget in accordance with title 10, US Code. The Chairman's program assessment comments on the risk associated with the programmed allocation of Defense resources and evaluates the conformance of program objective memoranda to the priorities established in strategic plans and combatant commander's priority requirements.

Chairman's Program Recommendation (CPR) – Provides the CJCS's personal recommendations to the Secretary of Defense for the programming and budgeting process before publishing the Joint Programming Guidance in accordance with title 10, US Code. The Chairman's program recommendations articulates programs the Chairman deems critical for the Secretary of Defense to consider when identifying DOD priorities and performance goals in the JPG and emphasizes specific recommendations that will enhance joint readiness, promote joint doctrine and training, improve joint warfighting capabilities and satisfy joint warfighting requirements within DOD resource constraints and within acceptable risk levels.

concept – a notion or statement of an idea; an expression of how something might be done. A joint concept is a visualization of future operations that describes how a commander, using military art and science, might employ capabilities to achieve desired effects.

Defense Acquisition Board (DAB) - The senior DOD acquisition review board chaired by OUSD(AT&L). The DAB advises OUSD(AT&L) on major decisions on individual acquisition programs, specifically, and acquisition policies and procedures, generally.

Defense Planning Guidance (DPG) – This document, previously issued by the Secretary of Defense, provides firm guidance in the form of goals, priorities and objectives, including fiscal constraints, for developing program objective memorandums by the Military Departments and Defense agencies. Replaced by the Strategic Planning Guidance and Joint Programming Guidance.

DOTMLPF functional process owner – A Joint Staff directorate that is responsible for the execution of its respective joint functional process (i.e., doctrine, organization, training, materiel, leadership and education, personnel and facilities) to meet the implementation of the recommended changes to joint DOTMLPF. A functional process owner provides assessment of its specific functional process during its review of proposed joint DOTMLPF.

Functional Capabilities Board (FCB) – An established body that is responsible for the organization, analysis and prioritization of joint warfighting capabilities within an assigned functional area.

Gatekeeper – That individual who makes the initial joint potential designation of JCIDS proposals. This individual will also make a determination of the lead and supporting FCBs for capability issues. The Gatekeeper is supported in these functions by USJFCOM, J-6, J-7 and the FCB working group leads. The Vice Director, J-8, serves as the Gatekeeper.

Initial Capabilities Document (ICD) – Documents the need for a materiel approach to a specific capability gap derived from an initial analysis of materiel approaches executed by the operational user and, as required, an independent analysis of materiel alternatives. It defines the capability gap in terms of the functional area, the relevant range of military operations, desired effects and time. The ICD summarizes the results of the DOTMLPF analysis and describes why non-materiel changes have been judged inadequate in fully providing the capability.

integrated priority list (IPL) – A list of combatant commander highest priority requirements, prioritized across Service and functional lines, defining shortfalls in key programs that, in the judgment of the combatant commander, adversely affect the combatant commander's forces to accomplish his assigned mission. The integrated priority list provides the combatant commander's recommendations for programming funds in the planning, programming and budgeting system process.

interoperability – 1. The ability of systems, units or forces to provide services to and accept services from other systems, units or forces and to use the services so exchanged to enable them to operate effectively together. 2. The condition achieved among communications--electronic systems or items of communications--electronics equipment when information or services can be exchanged directly and satisfactorily between them and/or their users. IT and NSS interoperability includes both the technical exchange of information and the end-to-end operational effectiveness of that exchange of information as required for mission accomplishment.

Joint Capabilities Board (JCB) – The JCB functions to assist the JROC in carrying out its duties and responsibilities. The JCB reviews and, if appropriate, endorses proposals prior to their submission to the JROC. The JCB is chaired by the DJ8. It is comprised of GO/FO representatives of the Services.

joint experimentation – An iterative process for developing and assessing concept-based hypotheses to identify and recommend the best value-added solutions for changes in DOTMLPF required to achieve significant advances in future joint operational capabilities.

Joint Functional Concept (JFC) – A description of how the future joint force will perform a particular military function across the full range of military operations 10-20 years in the future. JFCs support the JOpsC and JOCs and draw operational context from them. JFCs identify required capabilities and attributes, inform JOCs, and provide functional context for JIC development and joint experimentation (an example of a JFC is Battlespace Awareness)..

Joint Integrating Concept (JIC) – A description of how a Joint Force commander 10-20 years in the future will integrate capabilities to generate effects and achieve an objective. A JIC includes an illustrative CONOPS for a specific scenario and a set of distinguishing principles applicable to a range of scenarios. JICs have the narrowest focus of all concepts and distill JOC and JFC-derived capabilities into the fundamental tasks, conditions and standards required to conduct a capabilities-based assessment (CBA)..

Joint Operating Concept (JOC) – An operational-level description of how a Joint Force commander 10-20 years in the future will accomplish a strategic objective through the conduct of operations within a military campaign. This campaign links end state, objectives, and desired effects

necessary for success. The concept identifies broad principles and essential capabilities and provides operational context for JFC and JIC development and experimentation.

Joint Operations Concepts (JOpsC) – A description of how the future joint force will operate 10-20 years in the future in all domains across the range of military operations within a multi-lateral environment in collaboration with interagency and multinational partners. It guides the development of future joint concepts and joint force capabilities. The JOpsC establishes the unifying framework for the family of joint concepts, the attributes and broad strategic and operational tasks for the future joint force, a campaign framework for future operations, the broad context for joint experimentation, and the conceptual foundation for unified action towards implementing the military aspects of national strategy.

Joint Potential Designator (JPD) – A designation assigned by the Gatekeeper to specify JCIDS validation, approval and interoperability expectations.

a. “JROC Interest” designation will apply to all ACAT I/IA programs and programs designated as JROC Interest. This designation may also apply to intelligence capabilities that support DOD and national intelligence requirements. These documents will be staffed through the JROC for validation and approval. All CRDs will be designated as JROC Interest. DOTMLPF change proposals will also be designated as JROC Interest.

b. “Joint Integration” designation will apply to ACAT II and below programs where the concepts and/or systems associated with the document do not significantly affect the joint force and an expanded review is not required, but information technology and national security systems (IT and NSS) interoperability, intelligence or munitions certification is required. Once the required certification(s) are completed, Joint Integration proposals are validated and approved by the sponsoring component.

c. “Independent” designation will apply to ACAT II and below programs where the concepts and/or systems associated with the document do not significantly affect the joint force, an expanded review is not required and no certifications are required. Once designated, these documents are returned to the sponsoring component for validation and approval.

Joint Programming Guidance (JPG) – Replaced the programmatic elements of the former Defense Planning Guidance (DPG) and includes a

demonstration that the totality of the programmatic guidance provided in the SPG and JPG is fiscally executable.

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

Joint Requirements Oversight Council Memorandum (JROCM) – Official JROC correspondence generally directed to an audience(s) external to the JROC. JROCMs are usually decisional in nature.

Key Performance Parameters (KPP) – Those minimum attributes or characteristics considered most essential for an effective military capability. KPPs are validated by the JROC for JROC Interest and Joint Impact documents, and by the DOD component for Joint Integration or Independent documents. CDD and CPD KPPs are included verbatim in the acquisition program baseline.

Major Automated Information System – An AIS that is designated by ASD(NII) as a MAIS, or estimated to require or exceed established single-year program costs, total program costs or total life-cycle costs.

materiel solution – Correction of a deficiency, satisfaction of a capability gap, or incorporation of new technology that results in the development, acquisition, procurement or fielding of a new item (including ships, tanks, self-propelled weapons, aircraft, etc., and related software, spares, repair parts and support equipment, but excluding real property, installations and utilities) necessary to equip, operate, maintain and support military activities without disruption as to its application for administrative or combat purposes.

measures of effectiveness (MOE) – Tools used to measure results achieved in the overall mission and execution of assigned tasks. Measures of effectiveness are a prerequisite to the performance of combat assessment.

Milestones – Major decision points that separate the phases of an acquisition program.

Milestone Decision Authority (MDA) – The individual designated, in accordance with criteria established by the OUSD(AT&L), by the ASD(NII) (for Automated Information System acquisition programs) or by the USecAF (as the DOD Space MDA) to approve entry of an acquisition program into the next phase.

Non-materiel Solution – Changes in doctrine, organization, training, leadership and education, personnel or facilities to satisfy identified functional capabilities.

Planning, Programming, Budgeting, and Execution process (PPBE) – The Department of Defense’s cyclic process for determining requirements and allocating resources.

Program Analysis and Evaluation (PA&E) – 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.

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

Requirement – An established need justifying the timely allocation of resources to accomplish approved military objectives, missions or tasks.

Sponsor – The DOD component responsible for all common documentation, periodic reporting and funding actions required to support the capabilities development and acquisition process for a specific capability proposal.

Strategic Planning Guidance – A single fiscally-informed document that replaced the policy/strategy sections of the DPG.

validation – A process normally associated with collecting intelligence that provides official status to an identified requirement and confirms that the requirement is appropriate for a given collector and has not been previously satisfied. The review of documentation by an operational authority other than the user to confirm the operational capability. Validation is a precursor to approval.

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