CHAIRMAN OF THE JOINT CHIEFS OF STAFF INSTRUCTION

THE FUNCTIONAL CAPABILITIES BOARD (FCB)

Reference: See Enclosure C

1. <u>Purpose</u>. The purpose of this instruction is to establish policy and guidance on the roles, organization, process, interrelationships, management and operation of the FCB. The FCBs support the Chairman of the Joint Chiefs of Staff (hereafter referred to as "Chairman" or "CJCS") and the Joint Requirements Oversight Council (JROC) in identifying, assessing, and prioritizing (if required) joint military capability needs as specified in title 10, United States Code (USC), sections 153, 154, 163, and 181 (reference a).

2. <u>Cancellation</u>. CJCSI 3137.01C, 12 November 2004, "The Functional Capabilities Board Process," is canceled.

3. <u>Applicability</u>. This instruction applies to those organizations that support and participate in the FCBs, such as the Joint Staff, Services, combatant commands, combat support agencies (CSAs) and other Defense agencies, as appropriate, as well as joint and combined activities.

4. <u>Policy</u>

   a. CJCSI 5123.01 (Charter of the Joint Requirements Oversight Council) (reference b) is the principal document within the JROC structure and provides the foundation and overarching guidance to the FCBs.

   b. This instruction documents and implements the FCB procedures necessary to assist the JROC as an advisory council to the Chairman to fulfill responsibilities under title 10 USC.

c. FCBs are responsible for the identification, assessment and prioritization (if required) of joint capability needs proposals within assigned Joint Capability Areas (JCAs).
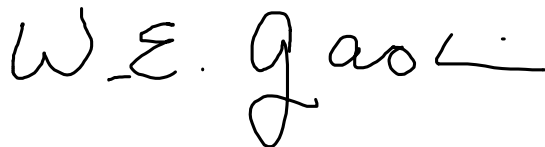
5. Definitions. See Glossary.

6. Responsibilities. See Enclosure B.

7. Summary of Changes. Changes to this instruction include the processes the FCBs are responsible to oversee, participate in, and collect information from, as they perform their primary mission of supporting the JROC. See Enclosure A.

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.

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

For the Chairman of the Joint Chiefs of Staff:

W. E. GASKIN
Major General, USMC
Vice Director, Joint Staff

Enclosures:
    A – Functional Capabilities Board Overview
        Appendix -- Capability Gap Assessment
    B – Responsibilities
    C – References
    GL - Glossary

DISTRIBUTION

Distribution A, B, C, and J plus the following:

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TABLE OF CONTENTS

Page

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ENCLOSURE A

FUNCTIONAL CAPABILITIES BOARD OVERVIEW

1. <u>Purpose</u>. This enclosure describes the organization, functions and processes of the Functional Capabilities Boards (FCBs).

2. <u>FCB Mission</u>. The FCBs support the Chairman of the Joint Chiefs of Staff in his title 10, USC, responsibilities of providing independent military advice to the Secretary of Defense. FCBs provide the assessments and recommendations required for the Joint Requirements Oversight Council (JROC) to validate and prioritize (if required) joint military capabilities needed to comply with the guidance provided by the Quadrennial Defense Review (QDR), National Defense Strategy (NDS), Guidance for Development of the Forces (GDF), Guidance for Employment of the Force (GEF) and National Military Strategy (NMS). FCBs serve as the link between Services, combatant commands, Office of the Secretary of Defense (OSD) and Combat Support Agencies (CSAs) on warfighting capabilities and issues.

3. <u>FCB Authority</u>. The JROC established the FCB structure to support its responsibilities as specified in CJCSI 5123.01 (reference b). The JROC approves activation of FCBs and assigns each FCB a sponsoring organization. Each FCB and its designated sponsoring organization are aligned with an approved Tier I JCA to support JROC efforts and processes. FCBs receive their authorization from the activating JROC Memorandum (JROCM) and are empowered to task subject matter experts from the Joint Staff, Services, combatant commands, CSAs, other Defense agencies as appropriate, and joint and combined activities in support of their respective JROC mission. FCBs make recommendations but do not approve or disapprove JROC actions.

4. <u>FCB Core Functions</u>. Each FCB evaluates its functional area to ensure future capability development provides joint military capabilities required by joint warfighters. FCBs will ensure only complete and fully staffed actions are forwarded to the JROC for consideration. The core functions of FCBs are delineated in the CJCSI 5123.01 series (reference b). Additionally, each FCB will:

    a. Assist the Joint Capabilities Board (JCB) and JROC in overseeing capabilities development by:

        (1) Assessing and recommending the capabilities within the FCB's functional area to meet the guidance provided by the QDR, NDS, GDF, GEF and NMS.

        (2) Nominating topics for JCB and JROC consideration.

(3) Providing assessments of alternatives to acquisition programs presented by program sponsors and Services.

(4) Assessing doctrine, organization, training, materiel, leadership and education, personnel, and facilities (DOTmLPF) change recommendations for materiel and non-materiel solutions.

(5) Aligning each FCB with a Capability Portfolio Manager (CPM) per ref (l); each FCB will coordinate with its respective CPM on capability development issues.

b. Coordinate and integrate department support to leverage the expertise of the Department of Defense (DOD) components for capability assessments by serving as the link between Services, combatant commands, CSAs, other Defense agencies and OSD.

c. Provide assessments and recommendations on JROC interest issues to the JCB and JROC. This may include overseeing/leading capability-based assessments (CBAs).

5. <u>FCB Membership</u>. The JROC appoints the sponsor organization for each FCB to assist the JCB and JROC.

a. <u>FCB Membership</u>. FCB membership consists of military and/or civilian members from several organizations. Each organization will empower its respective representative to speak for it on all matters brought before the FCB. The FCB will always try to reach a consensus on all issues. However, when consensus cannot be achieved, the FCB Chair is empowered to forward issues and recommendations, along with opposing viewpoints, to the JCB/JROC for resolution. FCB Membership is designed to be inclusive to ensure the broadest review of capability proposals and issues.

(1) Designated membership: Services (Army, Navy, Air Force, Marine Corps); Joint Staff; combatant commands; National Guard Bureau; CSAs.

(2) As needed participants: the Under Secretaries of Defenses for Acquisition, Technology and Logistics (USD (AT&L)); Comptroller (USD(C)); Personnel and Readiness (USD(P&R)); Policy (USD(P)); Intelligence (USD(I)); Assistant Secretary of Defense for Networks & Information Integration (ASD (NII))/DOD Chief Information Officer (CIO); the Director of the Office of Program Analysis and Evaluation (D, PA&E); the Under Secretary of the Air Force for Space (USecAF (Space)); the Director, Defense Threat Reduction Agency (DTRA); other Defense Agencies or entities; and the Intelligence Resources Board (Intelligence Community).

(3) Other DOD staff and agencies are invited in an advisory role based on the proposals under review by the FCB.

b. <u>FCB Working Group Membership</u>. FCB Working Groups (WGs) are comprised of representatives from OSD, the Joint Staff, the Services, combatant commands, and CSAs. Each organization will empower its representatives to speak for it on all matters brought before the FCB WG. Additional subject matter experts may be brought in by the participating organizations to provide supplementary details to the FCB WG, as necessary. Unless otherwise specified, the FCB Chair appoints each FCB WG lead for their respective WG(s). FCB WGs are led by an O-6 or government civilian equivalent from the organization responsible for the Joint Capability Area(s) in the FCB's portfolio and will report WG findings to their respective FCB. The FCB Chair will task the FCB membership for working group subject matter expertise participation and will determine the actual composition of the FCB WG.

6. <u>FCB Organization</u>

a. FCBs are sponsored by a JROC-designated organization. Table A-1 lists the JROC approved FCBs and their designated sponsors.

Table A-1. JROC Approved FCBs

Name	Sponsor
Command & Control	USJFCOM
Battlespace Awareness	J-2
Logistics	J-4
Building Partnerships	J-5
Net-Centric	J-6
Force Application	J-8
Force Support	J-8
Protection	J-8

b. Each JROC-designated sponsoring organization will establish the base organization for an FCB by appointing the following personnel in their respective FCB(s):

(1) FCB Chair: a General Officer/Flag Officer (G/FO) or government civilian equivalent.

(2) FCB Lead: a military officer in the grade of O6 or government civilian equivalent.

(3) FCB Secretary: a military officer in the grade of 05 or government civilian equivalent, designated by the FCB Chair.

c. The responsibilities of these roles are as follows:

(1) The FCB Chair:

(a) Speaks for the FCB and provides FCB recommendations to the JCB and JROC.

(b) Participates in FCB GO/FO Integration meetings.

(c) Determines additional FCB membership when/if necessary.

(d) Determines FCB Working Group composition.

(e) Establishes co-chair(s) when/if desired.

(f) Specifies alternatives to resolve proposal shortcomings.

(g) Approves all FCB presentations before going to the JCB or JROC.

(2) The FCB Lead:

(a) Oversees Working Group meetings.

(b) Confirms Working Group context briefings and sponsor issue presentations are reviewed and ready for presentation to the FCB, JCB and JROC. Context briefings will be prepared in accordance with the JROC Administrative Guide (reference c).

(c) Coordinates FCB actions.

(d) Ensures integration of department-wide views.

(e) Participates in O-6 FCB Integration meetings.

(3) The FCB Secretary:

(a) Performs assigned duties as directed by the FCB Lead.

(b) Attends FCB and Working Group meetings.

(c) Schedules meetings, taking minutes, tracking action items, and processing action items.

(d) Updates JROC Knowledge Management and Decision Support (KM/DS) data base with FCB schedules, documents and presentations.

(e) Coordinating with the JROC Secretariat to ensure JCB and JROC briefings and documents are received no later than 72 hours prior to the preparation sessions and/or actual forum.

d. Each FCB Chair should consider including additional personnel with expertise in the following areas:

(1) Planning, Programming, Budgeting, and Execution (PPBE) expert or cost analyst to provide program and portfolio assessments.

(2) Additional analysts to provide assessments on Joint Capabilities Integration and Development System (JCIDS) topics, acquisition program topics, and Capability Gap Assessment (CGA).

e. It is the responsibility of the JROC-designated sponsoring organization to fully support their assigned FCBs with the necessary resources (people, tools,

and funding) to allow the FCBs to successfully function and complete their mission. The JROC will supplement the FCBs with additional funding for specific purposes. The sponsoring organization may request the use of JROC funds in accordance with paragraph 13.

f. The Joint Staff J-8 Deputy Director for Requirements (J-8/DDR), serves as the JCIDS Gatekeeper. The Gatekeeper is responsible for assigning all JCB and JROC interest issues to the appropriate lead and support FCBs for assessment as specified in reference d. The Gatekeeper also approves FCB portfolios for each functionally aligned area assigned and established by the JROC.

7. <u>FCB Meetings</u>.

a. FCB Chairs will determine the time, location and frequency of FCB meetings to accommodate workload and maximize participation. Use of collaboration tools (e.g., Video Teleconference, Net Centric Enterprise Services buttons 1 and 2) is encouraged to support participation.

b. FCB and Working Group Leads are responsible for coordinating and optimizing times, locations and frequency for their meetings to accommodate the workload and maximize stakeholder participation. Use of collaboration tools is encouraged to support participation.

c. FCB Secretaries will ensure read-ahead briefs for issues being vetted at FCB meetings are posted on the JROC KM/DS tool at least 72 hours prior to FCB meetings. Secretaries will also post FCB meeting topics on the JROC KM/DS tool at least one week prior to FCB meetings. FCB meeting minutes will be uploaded on the JROC KM/DS tool as soon as possible after the meetings.

d. In addition to providing capabilities-based context briefs to the JCB and JROC, FCBs may also provide capabilities-based context briefs to various boards and groups that support the Defense Acquisition System. FCB presentations to these boards and groups help facilitate the integration of JCIDS and the Defense Acquisition System.

8. <u>FCB Integration Meetings</u>

a. The Gatekeeper (J-8/DDR) will chair biweekly FCB G/FO Integration meetings. The purpose of FCB G/FO Integration meeting is to ensure cross-functional area integration of capabilities; identification of potential tradeoffs between capability areas; evaluation of the effectiveness of, and potential improvement to, the FCB core functions; and to provide recommendations to the JCB and JROC. The FCB Integration meetings function as a clearinghouse prior to the JCB and JROC.

b. J-8/Chief, Joint Capabilities Division will chair biweekly O-6 FCB Integration meetings. The purpose of the O-6 FCB Integration meetings is to ensure cross-functional area integration of capabilities, evaluate the effectiveness of any potential improvement to the FCB core functions and to provide recommendations to the FCB G/FO integration meetings.

c. Figure A-1 depicts the frequency of FCB related meetings. FCB Lead (O-6) and FCB Chair (G/FO) Integration meetings occur on a biweekly schedule. FCBs conduct Working Group and full FCB meetings as required.
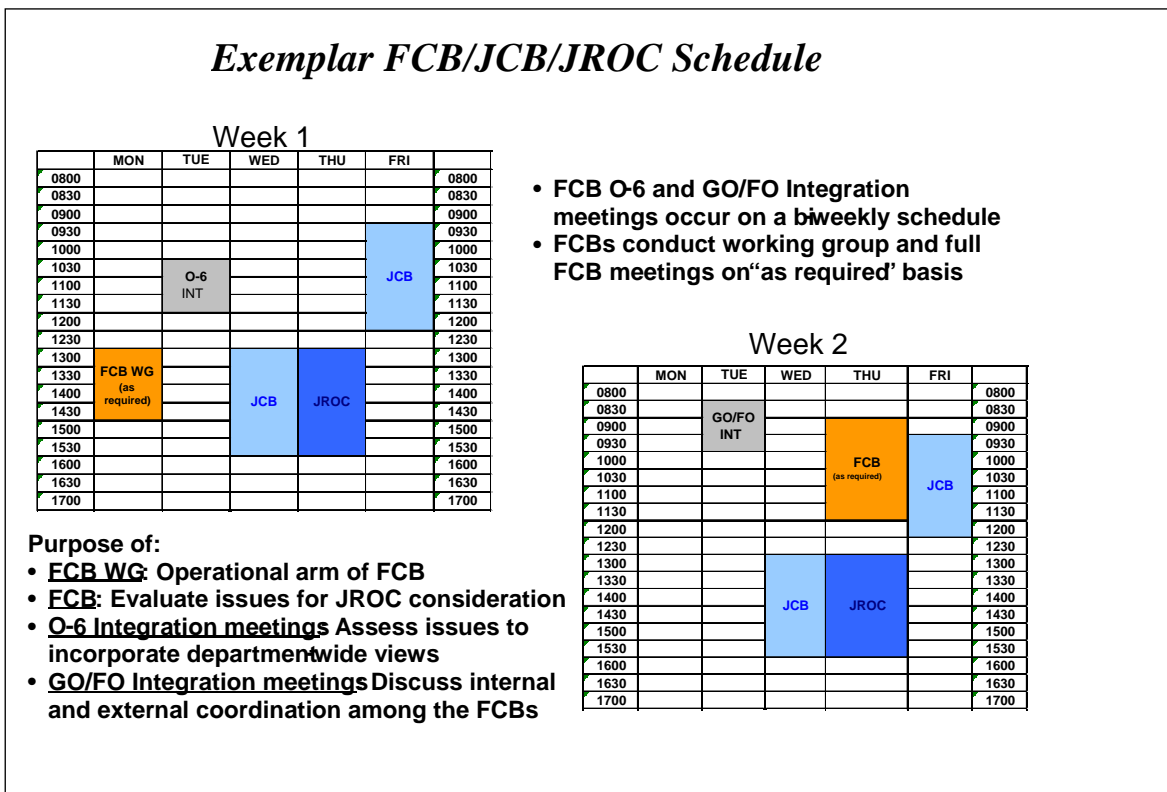
Figure A-1. Depiction of FCB Related Meetings

9. <u>FCB Portfolio Updates (if required)</u>. In order to keep the Gatekeeper fully informed of the status of the FCB Portfolios, the FCBs will provide status updates of their respective portfolios. J-8/Joint Capabilities Division will provide separate guidance to the FCBs in advance of portfolio update to clarify topics and issues to be addressed. CPMs will be informed of updates.

10. <u>JROC and JCB Combatant Command Trips</u>. The purpose of JROC and JCB combatant command trips is to review and develop candidate issues for the Chairman's Program Recommendation (CPR) and Chairman's Program Assessment (CPA) as well as share information between the JROC/JCB membership and the combatant commands. The JROC and JCB combatant command trips help ensure combatant command capability needs and issues

are properly identified and addressed. The JROC trip normally occurs in the spring and the JCB combatant command trip normally occurs in the fall. FCBs will support the JROC and the JCB combatant command trips by preparing directed briefings and 5x8s, and through trip participation, as required.

11. CGA Planning Conference. The conference will usually be conducted in the spring. The conference includes all parties referenced as participants in FCBs, as well as interested parties who can contribute to improving the CGA process. The main purposes of the CGA Planning Conference are to:

    a. Solicit ideas for improving the CGA process and transparency.

    b. Update attendees on changes to the processes throughout the department.

    c. Promote information exchange/process improvement.

12. FCB Communication. FCBs must use KM/DS to expedite communication and staffing. FCBs will use KM/DS to store, process and staff documents to support the JROC and supporting processes, and will ensure all FCB related information (e.g., context briefings, 5x8s, documents, FCB meeting schedules, FCB meeting minutes, etc.) is properly updated and maintained in the JROC KM/DS tool in accordance with the JROC Administrative Guide (reference c). Higher classification briefing materials may be posted on JWICS. Placeholder documents on KM/DS will direct users to the correct JWICS web site.

    a. The Chair and Secretary of each FCB ensure topics presented to the JROC Secretariat for scheduling have been staffed through the FCB and are ready to be presented to the JCB.

    b. The FCB Chair or Lead is expected to introduce (tee-up) presentations to the JCB/JROC. It is critical that FCB presentations to the JROC articulate:

        (1) _What_ the specific issue(s) is (are) in the program/topic.

        (2) _Where_ the FCB wants the JROC to focus.

        (3) _When_ the FCB needs JROC validation (Defense Acquisition Board (DAB)/Milestone/Urgent Need).

        (4) _Why_ the JROC should agree with FCB recommendations.

(5) *How* the FCB's recommendation(s) affect the warfighter and budget (assess warfighter's implications of cost, schedule and performance of the program).

13. <u>Funding</u>. The JROC has limited funding for conducting joint studies and assessments. As the JROC Secretary, the Director, Joint Staff/J-8 (DJ-8) manages support funding for JROC title 10 missions.

   a. JROC direction and/or consent to undertake additional effort (i.e., begin an assessment or expand the scope of an ongoing study) does not constitute approval to expend JROC support funding.

   b. FCB Chairs are responsible for ensuring their respective FCB maintains the necessary resources (people, tools, and funding)to perform their core responsibilities. The JROC will supplement the FCBs with additional funding for specific purposes. FCB Chairs, or the designated lead of the JROC effort, may request the use of JROC support funding by presenting a proposal to the JROC Secretary for review and approval. Proposals must contain:

      (1) Description of the issue/topic.

      (2) Source of the issue/topic.

      (3) Interested parties/stakeholders.

      (4) Related efforts.

      (5) Alternative methodologies to address the issue/topic that include alternative scopes, schedules, and costs.

   c. Contracted Advisory and Assistance Services (CAAS) may be procured when the JROC effort is essential to the joint mission and when no government sources are available or adequate to perform the work (e.g., new joint study or assessment). CAAS will not be used to replace lost military/government civilian manpower. Using 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 alternate solutions.

      (3) Obtain advice regarding developments in industry, academia or foundation research.

d. FCBs will identify funding requirements for joint studies and assessments to J-8/Joint Capabilities Division (JCD) at a date determined by the JCD. Once all requirements are identified, they will be briefed at the FCB G/FO Integration meeting. Funding will be allocated as a function of availability. The joint studies and assessments list will be reviewed on a quarterly basis and adjusted accordingly. If the JROC does not approve funding for a requirement that was identified and briefed to the FCB and G/FO Integration meetings, the requirement will remain in an unfunded status. If the responsible FCB Chair requests, it may be considered for funding during the quarterly requirement reviews until removed from consideration. Figure A-2 displays the JROC funding decision/approval process.
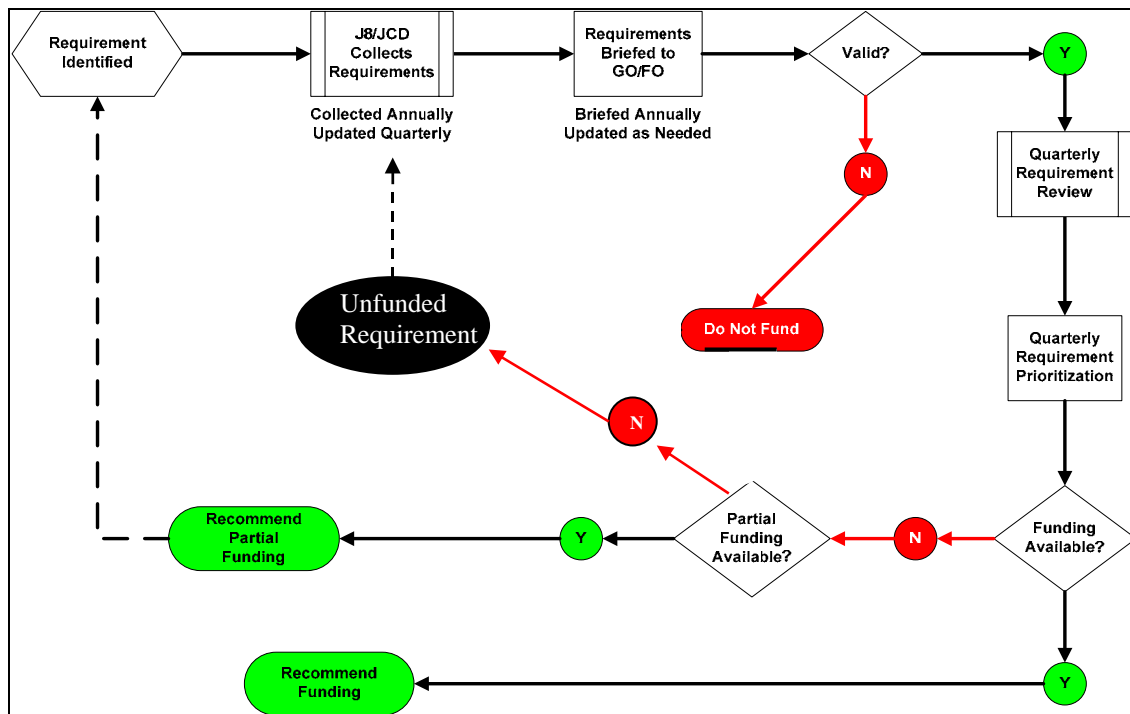
Figure A-2. JROC Funding Decision/Approval Process

e. After receiving approval to use JROC support funding from the JROC Secretary, FCBs (with J-8/JCD and Resource & Acquisition Management Office assistance will:

(1) Prepare an execution package using the Joint Staff's Automated Contract Management System (ACMS).

(2) Coordinate review and approval of the ACMS package (up to and including delivery of the execution package to the appropriate contracting office for negotiation and contract award).

(3) Manage the contract after award to ensure deliverables are provided to fulfill stated government requirements. Contract management will be conducted in compliance with Federal Acquisition Regulation (FAR) rules.

(4) Provide periodic updates or in-progress reviews to the JCB and JROC as required.

f. Figure A-3 represents the JROC Joint Studies and Assessments Funding Flow after funding has been approved.
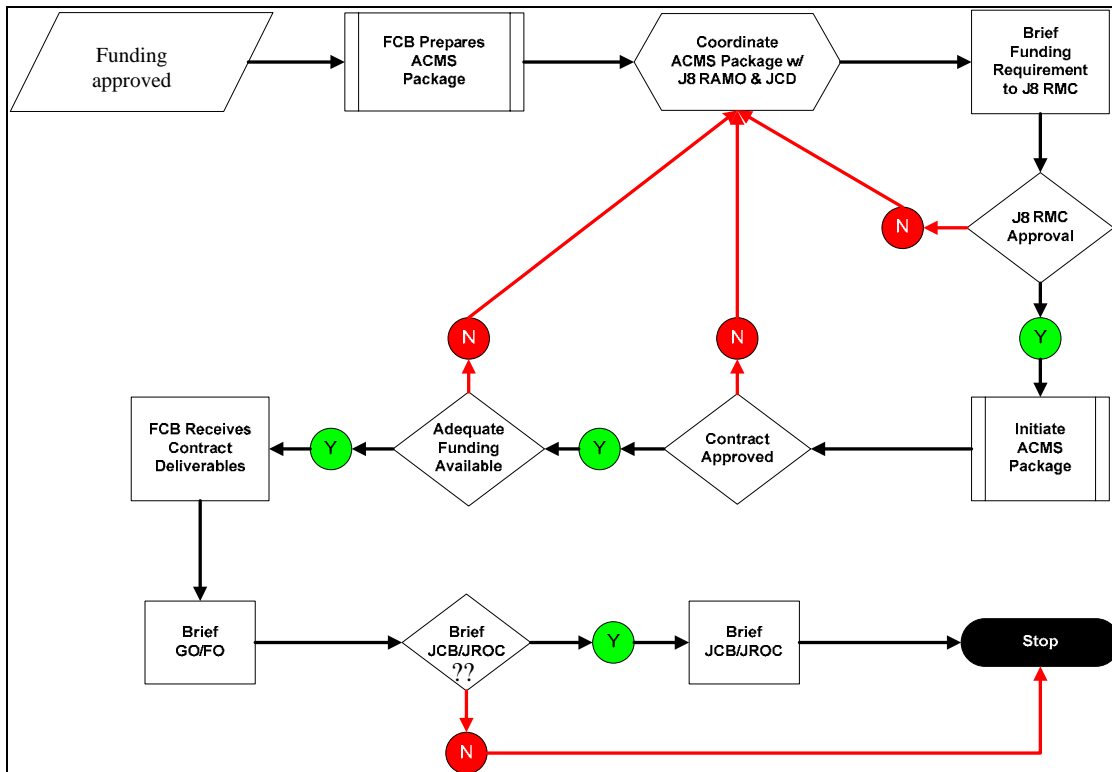
Figure A-3. JROC Joint Studies and Assessment Funding Flow

14. <u>Key FCB Processes/Products</u>. Successful delivery of capabilities relies on the FCB processes, forums, entities and programs working in concert with the other joint and DOD decision processes encapsulated in CBP. Through the performance of their core functions of gathering data and providing oversight, FCBs participate in several CBP processes described below. These processes assist the Chairman and JROC in their roles of advising the Secretary of Defense in identifying and assessing joint military capability needs as specified in reference a.

a. <u>Capability Gap Assessment (CGA)</u>. The CGA process examines identified capability gaps and shortfalls in the current force from various perspectives, groups "like" gaps, assesses on-going efforts to close or mitigate capability gaps, and recommends programmatic and/or non-programmatic solutions to

close or mitigate capability gaps. The result of the CGA is a list, for JROC approval, of capability gaps and recommended solutions for mitigation. The appendix to Enclosure A explains the CGA process in detail. The CGA Storyboard (Figure A-4 below) depicts major events associated with the CGA process. The top row of boxes outlines the process steps. The middle section depicts the entities that perform the functions, and the bottom section shows the desired outcomes, along with a timeline of events. The CGA process is general in nature and may be modified as necessary based on senior leader direction.
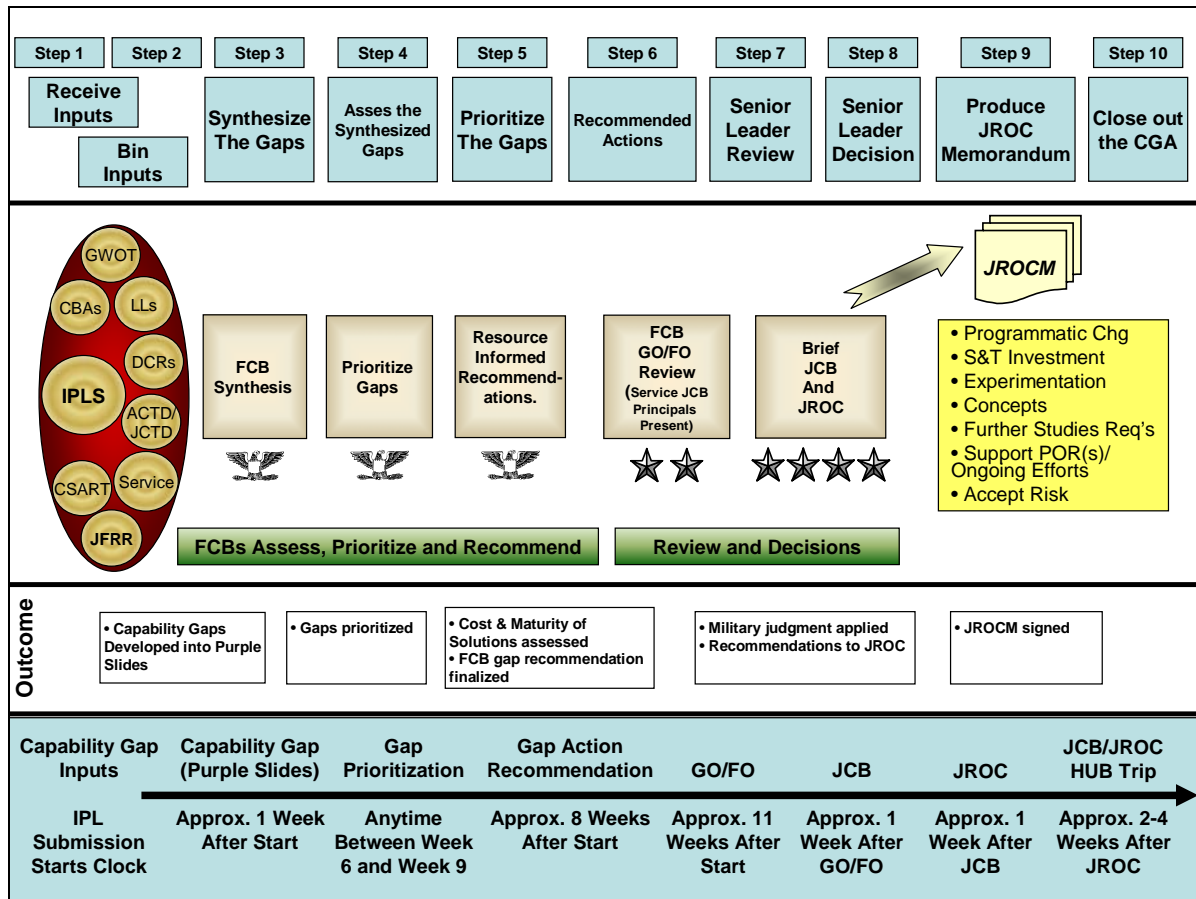
Figure A-4. Capability Gap Assessment Storyboard

   b. <u>Joint Capabilities Integration and Development System (JCIDS)</u>. Throughout the JCIDS process, FCBs provide oversight and assessment, as appropriate, to ensure JCIDS documents take into account joint capabilities and alternative approaches to solutions. FCBs are also responsible for assessing capabilities and tradeoffs across the range of their respective Tier 1 JCA. FCBs will participate in the JCIDS process in accordance with CJCSI 3170.01 (Joint Capabilities Integration and Development System) (reference d). FCBs will also:

(1) Provide a recommendation on the proposed capability, to include any changes required to resolve critical issues.

(2) Prepare a draft JROCM documenting recommended JROC decisions and subsequent actions, if any.

c. <u>Doctrine, Organization, Training, materiel, Leadership and Education, Personnel, and Facilities Change Recommendation (DCR)</u>. The Gatekeeper assigns joint DCRs to the appropriate FCB for assessment. FCBs will ensure that DCRs support joint warfighting capability needs. FCBs will provide a recommendation to the JCB and JROC. FCBs will participate in the joint DCR process as outlined in the JCIDS process (reference d). Additionally, the FCBs will:

(1) Facilitate preparation of draft JROCMs for JROC-approved joint DCRs.

(2) Assist with implementation of joint DCRs (JROCMs) through a process supported by the KM/DS.

(3) Provide a recommendation for all joint DCR extension requests prior to approval by the J-8/DDR, per the JROC Administrative Guide (reference c).

(4) Assist the JCB, which serves as the executive forum to monitor and coordinate the activities and events associated with implementing JROC approved joint DCRs, via the quarterly DOTmLPF Action Review (DAR).

d. <u>Combatant Commander Integrated Priority List (IPL)</u>. Combatant commanders annually submit capability needs prioritized across Service and functional lines that define capability shortfalls that limit combatant commander assigned mission accomplishment. FCBs use this information while assessing mitigation strategies to meet the combatant commander's needs. Additionally, IPLs are a key input to the CGA.

e. <u>Senior Warfighter Forum (SWarF)</u>. A SWarF is a collaborative body – generally consisting of Combatant Command Deputy Commanders – that organizes, analyzes, prioritizes, builds consensus and makes decisions from the joint warfighters' perspective on complex capability, resource and standards issues. Issues may be identified and a SWarF may be recommended/requested by combatant commands, Services, Joint Staff/FCBs and/or Capability Portfolio Managers (CPMs) when joint warfighter perspective/guidance is required or desired. At the invitation of the SWarF, FCBs may participate in, monitor and/or support SWarF efforts and integrate SWarF products into ongoing and future Department processes.

f. <u>Joint Urgent Operational Need (JUON)</u>. The rapid validation and resourcing of JUONs is a time-sensitive process supporting a Combatant Commander involved in a combat-related ongoing operation. The main purpose of this process is to rapidly validate, resource, and field urgent operational solutions needed sooner than can typically be delivered via established Service processes. Generally, JUONs are considered as life-threatening or combat-mission threatening needs, based on unforeseen military requirements that may be resolved in days, weeks or months. JUONs should not typically involve the development of a new technology or capability; however, the acceleration of a Joint Capabilities Technology Demonstration (JCTD), or minor modification of an existing system to adapt to a new or similar mission, is within the scope of the JUON validation and resourcing process. JUONs will be administered in accordance with CJCSI 3470.01 (Rapid Validation and Resourcing of Joint Urgent Operational Needs in the Year of Execution) (reference e). Options are to be considered across the realm of DOTmLPF possibilities. The Gatekeeper assigns the JUON to the appropriate FCB for assessment. FCBs will provide a JUON validation recommendation to the JCB and/or Joint Rapid Acquisition Cell (JRAC) and advise on the funding strategy the Designated Service/Agency (DS/A) proposes to the JCB.

g. <u>Joint Lessons Learned Program (JLLP)</u>. The JLLP is a process established to enhance joint capabilities through discovery, implementation, and sharing of lessons from joint operations, training events, exercises, and other activities. It is comprised of lesson learned organizations at the Joint Staff, combatant command, Service, and CSA level.

(1) The JLLP is administered in accordance with CJCSI 3150.25 (Joint Lessons Learned Program) (reference f).

(2) The JLLP influences JCIDS by identifying capability gaps.

(3) The Joint Lessons Learned Information System (JLLIS) is the DOD lessons learned system of record. All Services and combatant commands provide operational and tactical joint findings and DCRs to the Gatekeeper, who assigns the joint findings and DCRs to the appropriate FCB for processing and assessment.

(4) The Lessons Learned General Officer Steering Committee, chaired by the Director, Joint Staff, can also send strategic joint findings to the JCIDS Gatekeeper, who assigns the joint findings to the appropriate FCB for processing and assessment.

(5) The FCBs will provide oversight and assessment as appropriate to ensure analysis takes into account joint capabilities, concerns, operational and strategic lessons learned and approaches to solutions. Operational and

strategic lessons learned findings will be included in the CGA process, as identified by the FCB.

   h. Combat Support Agency Review Team (CSART) Assessment. The CSART assessment process is intended to improve the responsiveness and readiness of each CSA to support joint operating forces. The assessment determines:

      (1) The participation of the agency in the development and analysis of appropriate joint concept(s).

      (2) The adequacy of the joint concept or assessment's definition of required agency capabilities, interactions, and relationships.

      (3) The alignment of the agency's strategic plan with the joint concept.

      (4) The agency's progress in meeting desired or required future joint warfighting capabilities.

   i. These assessments are administered in accordance with CJCSI 3460.01 (Combat Support Agency Review Team Assessments) and DOD Directive 3000.06 (Combat Support Agencies) (references g and h respectively). The CSART may identify agency capability shortfalls during the course of the assessment and will refer capability or longer-term readiness shortfalls to the Gatekeeper. The Gatekeeper may accept the tasking and assign it to the appropriate FCB for processing and assessment. These shortfalls will be identified and assessed by the FCBs during the CGA.

   j. Joint Operations Concepts (JOpsC). The objective of a JOpsC is to guide the transformation of the joint force so that it is prepared to operate successfully 8 to 20 years in the future.   These concepts are informed by top-level strategic guidance in an effort to identify future capabilities needs. A JOpsC presents a description of how future operations may be conducted and provides the conceptual basis for joint experimentation and Capabilities-Based Assessments (CBAs). The outcomes of experimentation and CBAs will underpin investment decisions leading to the development of new military capabilities beyond the Future Years Defense Program (FYDP).   The FCBs will participate in the JOpsC development in accordance with CJCSI 3010.02 (Joint Concept Development and Experimentation (JCD&E)) (reference i)

   k. Joint Experimentation (JE). FCBs may recommend potential JE focus areas to the JROC as an output of their efforts to develop operational concepts and integrating architectures or from assessments. FCBs will participate in the JE process as outlined in CJCSI 3010.02 (JCD&E) (reference i). FCBs assist in the assessments of warfighter challenges before and during the CGA. The results of these assessments are used as inputs to assist USJFCOM in

prioritizing these challenges during the development of the Joint Concept Development and Experimentation Campaign Plan (JCD&E CPlan).

l. Joint Capability Technology Demonstration (JCTD). JCTD is a demonstration of the military utility of a significant new technology and an assessment to clearly establish operational utility and system integrity. These demonstrations assess the military utility of new capabilities, accelerate maturation of advanced technologies, and provide insight into non-materiel implications. FCBs will evaluate JCTD candidates within their functional areas and make recommendations via the JCB to the JROC based on military need and existence of duplicative efforts. The JROC reviews and makes a final validation decision based on military need to USD(AT&L). During the course of the JCTD, the lead Service will develop the appropriate JCIDS documents to transition those capabilities found to have operational and military utility. FCBs will assess JCTDs to ensure they comply with the JCIDS process as they transition to the acquisition process in accordance with CJCSI 3170.01 (Joint Capabilities Integration and Development System) (reference d).

m. Warfighting Mission Area (WMA) Information Technology (IT) Portfolio Management. The Warfighting Mission Area (WMA) is one of the four DOD Information Technology (IT) mission areas directed in DOD Directive 8115.01 (Information Technology Portfolio Management) (reference j). WMA IT investments support and enhance the Chairman's joint warfighting priorities by integrating joint capabilities to make them interoperable with other instruments of national power and create a desired change in the environment or prompt a desired action by others. WMA IT domain owners will incorporate and integrate the portfolio management procedures; analyze, select, control, and evaluate an investment in accordance with CJCSI 8410.01 (Warfighting Mission Area Information Technology Portfolio Management and Net-Centric Data Sharing) (reference k); and align WMA IT domains with the appropriate FCB's functional area. When programs and systems enter the JCIDS process, the Gatekeeper assigns them to the appropriate FCB for interoperability assessments, validation and approval.

n. Capability Portfolio Management (CPM). The Department of Defense shall use CPM to advise the Deputy Secretary of Defense and the heads of the DoD Components on how to optimize capability investments across the defense enterprise (both materiel and non-materiel) and minimize risk in meeting the Department's capability needs in support of strategy. Building upon DOD capabilities-based planning (CBP) and management efforts to facilitate strategic choices and improve the ability to make capability tradeoffs, the Deputy Secretary of Defense established CPM (reference l). CPM is the management of groups of like capabilities across the enterprise to improve interoperability, minimize capability redundancies and gaps, and maximize capability effectiveness. FCBs will collaborate with the capability portfolio managers and will participate in the CPM process, when necessary, to support the Chairman

in his title 10 responsibility of providing independent military advice to the Secretary (reference a).

    o. <u>Nunn-McCurdy Tripwire and Breaches</u>

    (1) Any Major Defense Acquisition Program (MDAP) that experiences cost growth of 10 percent over the current baseline or 25 percent over the original baseline will return to the JROC for an assessment to prevent a Nunn-McCurdy breach. The lead FCB will work with the sponsor to determine if the cost growth is due to difficulties in achieving the required KPP performance. If that is the case, the lead FCB, in consultation with the sponsor and AT&L, will make a recommendation on the potential for mitigating the cost growth by providing relief on the required performance and an assessment of the operational impact of the reduced performance.

    (2) The JROC will review and provide an assessment and evaluation of MDAP that experience a 15 percent increase to the program's current program baseline (Program Acquisition Unit Cost/Acquisition Procurement Unit Cost) and/or a 30 percent cost growth relative to their original program baseline to prevent significant Nunn-McCurdy breaches from becoming critical. Nunn-McCurdy analysis/assessments are initiated by OSD (AT&L), which organizes integrated process teams (IPTs) to determine national security impact, analyze alternatives, estimate costs and review management structure. The lead FCB works with the IPTs and provides recommendations on the essentiality of the program to National Security for JCB and JROC review.

    (3) The JROC will review and provide an assessment and evaluation of Major Automated Information Systems that experience a 15 percent increase in the expected program development cost or total life cycle cost relative to their original estimate to prevent significant changes from becoming critical. Assessments are initiated by OSD (AT&L), which organizes integrated process teams (IPTs) to determine national security impact, analyze alternatives, estimate costs and review management structure. The lead FCB works with the IPTs and provides recommendations on the essentiality of the program to National Security or efficient management of the department for JCB and JROC review.

    p. <u>Joint Strategic Planning System (JSPS)</u>. The JSPS proposes military strategy, forces and capabilities necessary to achieve our national security objectives in a resource-limited environment (reference m). JSPS facilitates stakeholder interaction with the DOD Planning, Programming, Budgeting, and Execution (PPBE) system by enabling timely and substantive participation by the Joint Staff, Services, combatant commands and Defense agencies during the development of each JSPS document. JSPS documents and other products are used to evaluate capabilities, programs and budgets during program development and resource allocation.

(1) Guidance for Development of the Force (GDF). FCBs, in accordance with their assigned functional areas, will participate in the development of the GDF by assisting the OSD issue/writing teams. The GDF is a Secretary of Defense guidance and decision document that:

(a) Establishes strategic objectives and priorities.

(b) Identifies planning constraints.

(c) Establishes JCA objectives, priorities and risks.

(d) Directs the development, refinement, and priority of Defense Planning Scenarios (DPS).

(e) Directs analyses to support future decisions (e.g., narrowing down uncertainty of the future security environment into a finite set of threat capabilities for planning).

(2) Chairman's Program Recommendation (CPR). The CPR provides the Chairman's personal recommendations to the Secretary of Defense for the programming and budgeting process prior to OSD publishing the Joint Programming Guidance in accordance with title 10, USC. The CPR articulates issues the Chairman deems important enough for the Secretary to consider when identifying DOD priorities in the Joint Programming Guidance (JPG). FCBs will assist in the development of the CPR by identifying and articulating candidate issues, conducting supporting research and developing 5x8s on the candidate issues. Since the CPR is the Chairman's personal correspondence to the Secretary of Defense, the document is not presented to the JCB and JROC for approval.

(3) Joint Programming Guidance. The JPG is a Secretary of Defense guidance and decision document that: 1) drives the development of program objective memorandum (POM) and budget estimate submission (BES); 2) provides programming goals, priorities, and objectives, including fiscal constraints, for the development of the Service and Defense agency program objective memoranda; 3) provides performance goals; 4) provides direction to facilitate compliance with GDF; and 5) provides guidance on selected (priority) joint capability issues. FCBs will use the JPG when assessing the Department's POM and will identify issues that do not support the joint warfighter.

(4) Chairman's Program Assessment (CPA). The CPA is the Chairman's personal assessment to the Secretary of Defense on the adequacy of Service and DOD POMs submitted in the most recent cycle and may be considered in refining the Defense program and budget in accordance with title 10, USC. The

Chairman's assessment comments on risk associated with the programmed allocation of Defense resources and evaluates the conformance of POMs to the priorities established in strategic plans and combatant commander's priority capability needs. The CPA also assesses the recommendations and execution of those issues highlighted in the CPR. FCBs will assist in the development of the CPA by identifying and articulating candidate issues, conducting supporting research and developing 5x8s on the candidate issues. Since the CPA is the Chairman's personal correspondence to the Secretary of Defense, the document is not presented to the JCB and JROC for approval.

q. <u>Joint Test and Evaluation (JT&E) Program</u>. JT&E reports directly to the Director, Operational Test and Evaluation (DOT&E) and the policies are set forth in DoD Directive 5010.41, Joint Test and Evaluation Program (JT&E). The purposes of the JT&E Program are to: Assess Service interoperability in joint operations and explore potential solutions to identified problems; evaluate joint technical and operational concepts, and recommend improvements; increase joint mission capability using quantitative data for analysis; improve modeling and simulation validity with field exercise data; provide feedback to the acquisition and joint operations communities; and improve Multi-Service and Joint Tactics, Techniques, and Procedures (MTTP and JTTP). FCBs will evaluate JT&E Joint Feasibility Studies (JFS), Joint Test and Evaluation Projects, and Quick Reaction Test (QRT) candidates within their functional areas and make recommendations via the FCB Chair to the J8 Deputy Director for Resources and Acquisition (DDRA) based on military need and existence of duplicative efforts. DDRA represents the Joint Staff on the JT&E Senior Advisor Council (SAC) and the Executive Steering Committee (ESC) for QRTs. The DDRA reviews and makes a final validation decision based on military need to the JT&E SAC and ESC.

APPENDIX TO ENCLOSURE A

CAPABILITY GAP ASSESSMENT

1. The JROC uses the CGA process to meet its responsibility to the Chairman, as outlined in CJCSI 5123.01D (reference b). The CGA process described here is general in nature and may be modified based on senior leader direction.

2. The CGA process officially begins with the receipt of the Integrated Priority Lists (IPLs) provided by the combatant commands in response to the Chairman's request for assessment of critical warfighting capability gaps that introduce risk to accomplishing their specific Unified Command Plan (UCP) missions. Figure A-A-1 shows the ten steps of the CGA process, identifying those steps led or facilitated by the Joint Staff/J-8 or by the FCBs.
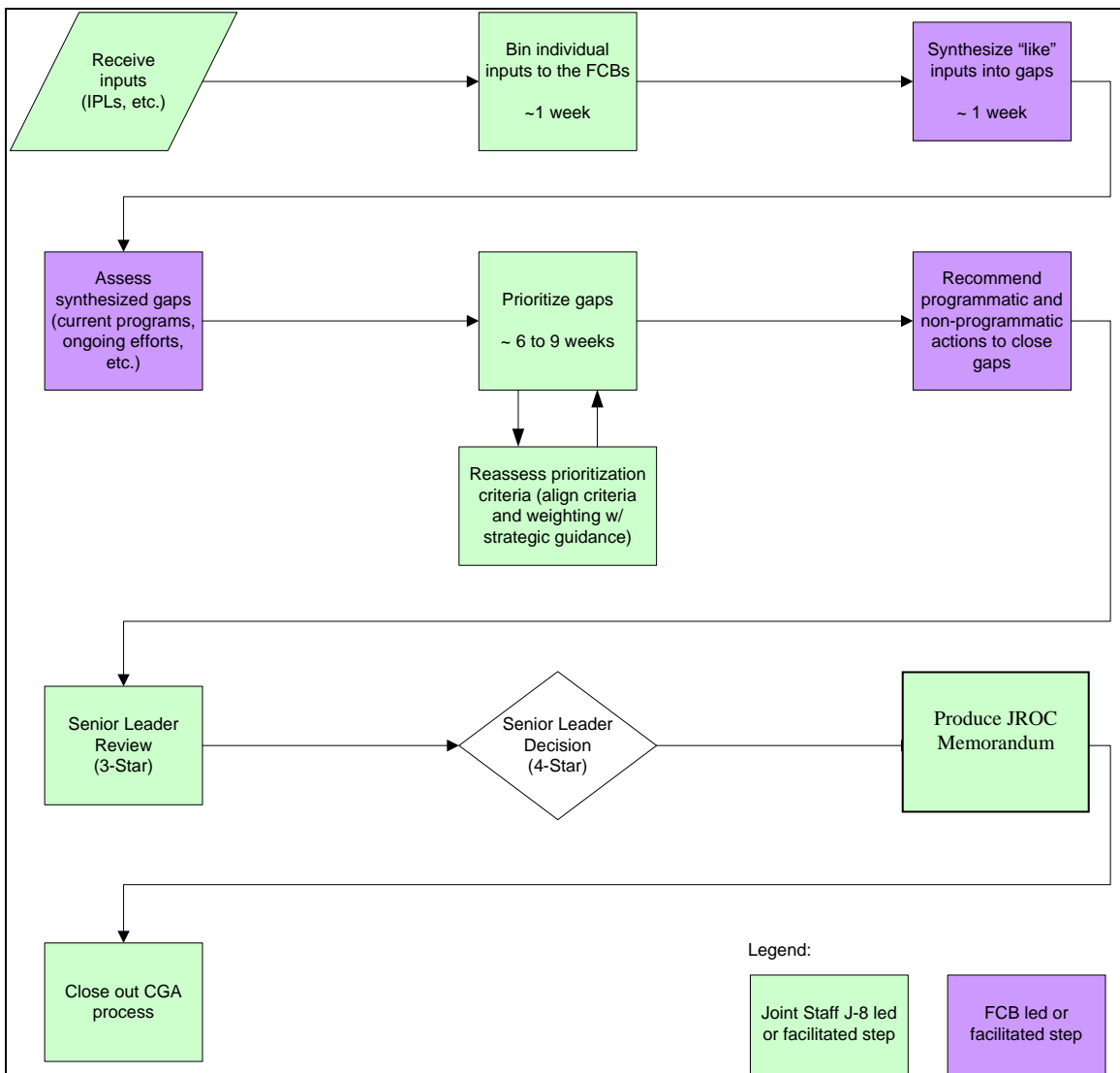
Figure A-A-1. CGA Ten Step Process

3. The ten step CGA Process:

a. Step 1, <u>Receive Inputs:</u> capability gap inputs are derived from many sources. The primary source is the combatant commands, in the form of their IPLs and Joint Combat Capability Assessment (JCCA) deficiency action items. Additional potential inputs include lessons learned, Combat Support Agency Review Team (CSART) findings, Joint Concept Development & Experimentation (JCDE) Warfighter Challenges, etc. Since some inputs are received throughout the year, a "snapshot" of these inputs will be taken at the beginning of the CGA process to capture those issues to evaluate during the assessment.

b. Step 2, <u>Bin the Inputs:</u> J-8/JCD serves as the clearinghouse for the Gatekeeper (Joint Staff/J-8 Deputy Director for Requirements (J-8/DDR)) in the CGA process, assigning specific IPL issues to the Functional Capabilities Boards (FCBs) and verifying that all other gap sources are being tracked, since other gap sources may have already been binned to FCBs through their respective processes. If binning disagreements between FCBs are not resolved at a lower level, the Gatekeeper will adjudicate. This step, to include resolving disagreements, takes approximately one week.

c. Step 3, <u>Synthesize the Gaps:</u> FCBs combine "like" deficiencies into a "synthesized capability gap." A synthesized capability gap is an overarching/umbrella gap that contains several "like" deficiencies. These are used to better manage the sheer number of deficiencies received. Combining "like" deficiencies helps identify multiple stakeholders (combatant commands, Services, Combat Support Agencies, etc.) with identical or similar issues, and allows both issues and potential solutions to be evaluated from a holistic viewpoint. FCBs begin this step as soon as issues are binned to them by the Gatekeeper. This step takes approximately one week.

d. Step 4, <u>Assess the Synthesized Capability Gaps:</u> the FCBs, as functional subject matter experts, work with the stakeholders and assess each synthesized capability gap. They gather data on existing Programs of Record, on-going studies, concept development, Science & Technology (S&T), and any other DOTMLPF action that has a bearing on the capability gap. Video Teleconferences (VTCs) with the combatant commands are conducted throughout this step to ensure all parties fully understand the issues. In addition to these scheduled VTCs, stakeholders have the opportunity to review the synthesized capability gaps on KM/DS, as they are developed, in order to engage with FCBs and ensure issues are captured fully and accurately. The assessment is complete when the FCB determines it has sufficient information bearing on the issue.

e. Step 5, <u>Prioritize the Capability Gaps (If required)</u>: prioritization is a two step process: reassessing the prioritization criteria and then the prioritization itself. Reassessing the criteria ensures the criteria are aligned with the strategy. The prioritization step uses an analytic hierarchy software tool to take the inputs and, using the criteria, compute a ranking score. For subjective criteria, the Subject Matter Experts from the FCBs, combatant commands, Defense agencies, and Services determine the input value by voting. This step begins after all the inputs are synthesized into capability gaps. FCB representatives explain their specific capability gaps to the other FCB representatives. This step is typically accomplished six to nine weeks after the IPLs are received.

f. Step 6, <u>Recommend Actions</u>: the FCBs, as the subject matter experts for their capability areas, develop recommended actions across DOTmLPF and programmatic solutions to close or mitigate the identified capability gaps. These recommendations, to include recommending the Office(s) of Primary Responsibility (OPR) and the suspense date(s), are reviewed by the entire FCB group to obtain consensus from the Services and combat commands on a mitigating course of action. This step begins once the CGA is completed. All recommendations need to be completed/agreed upon prior to senior leader review, which begins approximately 11 weeks after the IPLs are submitted. The recommended solutions from the CGA fall into six major categories:

(1) Support Program of Record (POR)/ongoing efforts: the existing PORs and on-going efforts are sufficient to close or mitigate the capability gap in the near future and the FCB believes those efforts should continue as planned/programmed until completion.

(2) Programmatic Change: the existing PORs and on-going efforts do not close or sufficiently mitigate the capability gap, a solution is known, there is sufficient programmatic detail regarding that solution, and/or the FCB believes the Department should make this investment. These programmatic recommendations could be used as the starting point for the CPR and CPA.

(3) Science and Technology Investment: the existing PORs cannot close or sufficiently mitigate the capability gap, a materiel solution is needed but the technology is lacking, and the FCB believes that a materiel solution may be available within a few years, warranting a science and technology investment.

(4) Further Study Required: the existing PORs and on-going efforts do not close or mitigate the capability gap, a non-materiel solution may close or mitigate the capability gap but there is insufficient information available to make a specific recommendation, and the FCB believes that additional information will lead to a specific recommendation. Examples of this include, but are not limited to, developing a concept of operations (CONOPS),

conducting a capabilities-based assessment, and conducting a joint experiment.

(5) Other: the FCB believes that an action not listed above should be taken (e.g., Global Force Management, experimentation, policy change, JCIDS action).

(6) Take No Additional Action: the FCB believes that no action should be taken to close or mitigate this capability gap. This is essentially stating that, at this time, we should accept risk for this particular capability gap.

g. Step 7, <u>Senior Leader Review:</u> the results of the CGA process are briefed at the FCB GO/FO integration meeting. The purpose of these briefings is to allow senior leaders to review the results and, if necessary, apply military judgment to refine the recommendations or adjust the prioritization of the results. This step occurs approximately 11 weeks after IPL submission.

h. Step 8, <u>Senior Leader Decision:</u> the results of the CGA process, as amended in step 7 above, are briefed to the JCB and the JROC. These briefings allow senior leaders to assess the results, apply military judgment to the prioritization as well as the recommendations, and approve the results.

i. Step 9, <u>Produce JROC Memorandum (JROCM):</u> decisions by the JROC are documented in a JROCM signed by the Vice Chairman. J-8 JCD staffs the JROCM through the Services and combatant commands and obtains the Vice Chairman's signature upon completion of staffing. J-8 JCD, in collaboration with the FCBs, tracks the execution of JROC decisions in accordance with the JROCM.

j. Step 10, <u>Close out the CGA:</u> JROC approval and implementation in a JROCM completes the CGA cycle. The documented results serve as an input into the CPR and CPA and provide the analytic underpinning for many future decisions related to these capability gaps. For the purposes of the CGA, however, the synthesized capability gaps are considered "closed" based on the JROC's decisions and the assumption that those decisions will be implemented. Failure to execute the JROC's decision is not a CGA issue, although it may generate an input for the next CGA cycle. At the completion of the cycle, J-8 JCD will review and incorporate any lessons learned for implementation in future CGA processes. Long term tracking of JROC decisions is a function of the responsible FCB(s), which will make recommendations on what unexecuted JROC recommendations will go into the next CGA cycle.

ENCLOSURE B

RESPONSIBILITIES

1. <u>Functional Capabilities Board (FCB)</u>. In order to support the JCB and JROC, FCBs are responsible for all organization, assessment, and prioritization (if required) of joint warfighting capability need proposals within JROC-assigned functional areas. FCBs ensure the joint force is best served by capabilities proposed through the various DOD processes and that those capabilities consider all DOTMLPF issues. FCB Chairs or Leads will:

  a. Participate in FCB Integration Meetings to ensure cross-functional area integration of capabilities, evaluate the effectiveness of and potential improvement to the FCB core functions, listed on page 1 of Enclosure A, and provide recommendations to the JCB and JROC.

  b. Participate in the CGA process as delineated in the appendix to Enclosure A.

  c. Assist JROC and JCB in overseeing materiel and non-materiel capabilities development within JCIDS, to include assessment of Initial Capabilities Documents (ICDs), Capability Development Documents (CDDs), Capability Production Documents (CPDs), DCRs and other related documents entered into KM/DS.

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

  e. Provide assessments of capability issues to support PPBE process activities.

  f. Conduct assessments and studies to structure issues and assess impact to joint warfighting.

  g. Review the development and use of joint concepts, as required.

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

  i. Provide recommendations to the CPA and the CPR.

  j. Review DCRs for impact, timing and resources.

  k. Assess Lessons Learned and JUONS for future capabilities.

  l. Assess JCTDs for future capabilities.

m. Participate in GDF writing teams/submission.

n. Review JPG during document staffing.

o. Participate in and provide subject matter expertise to Operational Availability studies.

p. Assess the operational implications from cost/schedule breaches for the JROC

q. Conduct additional assessments as directed by the JROC.

2. <u>FCB Working Groups</u>. Each FCB WG will support its respective FCB in accomplishing its FCB mission as directed by the FCB Chair.

3. <u>Joint Staff</u>

a. <u>Director, Joint Staff</u>

(1) Ensure the Joint Staff supports the FCB process and sponsoring organizations provide the required manning and equipment to conduct assigned tasks.

(2) Provide representatives to participate in FCBs and other JROC forums as necessary.

b. <u>Joint Staff Director/J-1</u>

(1) Provide representatives to participate in the Force Support FCB and other JROC forums as necessary to provide Human Capital Management expertise.

(2) Participate in the CGA process as delineated in the appendix to Enclosure A.

(a) Provide action officers and/or subject matter experts to assist in the assessment of capability gaps as well as the interpretation of the Department's overall global strategy.

c. <u>Joint Staff Director/J-2</u>

(1) Designate a Chair and Lead for the Battlespace Awareness FCB and provide the required manning and equipment to conduct assigned tasks.

(2) Provide representatives to participate in FCBs and other JROC forums as necessary.

(3) Participate in the CGA process as delineated in the appendix to Enclosure A.

(a) Provide action officers and/or subject matter experts to assist in the assessment of capability gaps as well as the interpretation of the Department's overall global strategy.

d. Joint Staff Director/J-3

(1) Provide representatives to participate in FCBs and other JROC forums as necessary.

(2) Participate in the CGA process as delineated in the appendix to Enclosure A.

(a) Provide Joint Combat Capability Assessment input to the CGA process.

(b) Provide action officers and/or subject matter experts to assist in the assessment of capability gaps as well as the interpretation of the Department's readiness.

e. Joint Staff Director/J-4

(1) Designate a Chair and Lead for the Logistics FCB and provide the required manning and equipment to conduct assigned tasks.

(2) Provide representatives to participate in FCBs and other JROC forums as necessary.

(3) Participate in the CGA process as delineated in the appendix to Enclosure A.

(a) Provide input to the CGA process, such as the inputs to the Defense Readiness Reporting System and the individual readiness deficiencies.

(b) Provide action officers and/or subject matter experts to assist in the assessment of capability gaps as well as the interpretation of the Department's readiness.

f. <u>Joint Staff Director/J-5</u>

(1) Designate a Chair and Lead for the Building Partnerships FCB and provide the required manning and equipment to conduct assigned tasks.

(2) Provide representatives to participate in FCBs and other JROC forums as necessary.

(3) Participate in the CGA process as delineated in the appendix to Enclosure A.

(a) Provide input to the CGA process, such as the inputs to the Chairman's Risk Assessment.

(b) Provide action officers and/or subject matter experts to assist in the assessment of capability gaps as well as the interpretation of the Department's overall global strategy.

g. <u>Joint Staff Director/J-6</u>

(1) Designate a Chair and Lead for the Net-Centric FCB and provide the required manning and equipment to conduct assigned tasks.

(2) Provide representatives to participate in FCBs and other JROC forums as necessary.

(3) Participate in the CGA process as delineated in the appendix to Enclosure A.

(a) Provide input to the CGA process, such as the inputs to the Chairman's Risk Assessment.

(b) Provide action officers and/or subject matter experts to assist in the assessment of capability gaps as well as the interpretation of the Department's overall global strategy.

h. <u>Joint Staff Director/J-7</u>

(1) Provide representatives for Force Preparation functions within the Force Support FCB. Provide additional representatives to participate in FCBs and other JROC forums as necessary.

(2) Coordinate with FCBs for input for developing JE guidance.

i. <u>Joint Staff Director/J-8</u>

(1) Designate a Chair and Lead for the Force Application FCB and provide the required manning and equipment to conduct assigned tasks.

(2) Designate a Chair and Lead for the Protection FCB and provide the required manning and equipment to conduct assigned tasks.

(3) Designate a Chair and Lead for the Force Support FCB and provide the required manning and equipment to conduct assigned tasks.

(4) Serve as the JROC Secretariat and administer the JCB and JROC process.

(5) Manage JROC communications and maintain JROC KM/DS.

(6) Oversee, organize and schedule JROC and JCB combatant command trips.

(7) Provide Program & Budget Analysis Division (PBAD) and Capabilities & Acquisition Division (CAD) representatives to participate in FCBs and other JROC forums as necessary.

(8) Oversee and manage the FCBs, to include:

(a) Overseeing, managing and scheduling the FCB G/FO and O-6 Integration meetings.

(b) Maintaining tasking authority over the FCBs.

(c) Ensuring cross-FCB coordination of issues.

(9) Oversee and manage the DOTmLPF Change Recommendation process.

(10) Oversee and coordinate the CGA Process.

(a) Draft the IPL guidance letter for inclusion into the Comprehensive Joint Assessment survey.

(b) Draft the supplemental IPL guidance letter for the J-8 Director's signature.

(c) Facilitate the CGA prioritization process. (if required)

(d) Participate in the CGA process as delineated in the appendix to Enclosure A.

(11) Designate the Chair for the Force Application FCB as the Force Application Secretariat.

(a) Work cross Service issues within Force Application portfolio to identify each Service's interest and ensure the appropriate capability is provided to the Joint Force.

(b) Use Force Application as a lens to recommend actions in enabler portfolios (Command and Control, Battlespace Awareness, Logistics and Net Centric) as necessary to enhance the ability to apply force.

4. Services

a. Participate and provide representatives and subject matter experts of the Service to the FCBs, FCB Working Groups and other JROC forums, as necessary.

b. Develop and provide recommended JCIDS documents as required in CJCSI 3170.01 series (reference d) to the JCIDS Gatekeeper.

c. Provide results of CBP analysis (e.g., CBAs, AOAs) to the FCBs in support of joint review of Service capability proposals and then forward them to the JROC for approval.

d. Participate as active members of the CGA process as delineated in the appendix to Enclosure A. This includes participation in the prioritization step, if required.

(1) Provide action officers and/or subject matter experts to assist the Joint Staff in understanding the Services' perspectives of the CGA process inputs.

(2) Participate in FCB and FCB Working Groups during the CGA process.

e. Participate in the staffing of JROCMs, and once JROCMs are approved, execute the JROCMs accordingly.

f. Participate in the JCTD process by sponsoring, endorsing and nominating potential joint capabilities.

5. Combatant Commands

a. Serve as participants/members of FCB, CPM, JCB and JROC forums. Provide representatives authorized to coordinate and speak on behalf of the combatant command to participate in FCBs and other JROC forums as necessary, in person, via VTC, or other available communication channels.

b. Develop and provide recommended JCIDS documents as required in CJCSI 3170.01 (reference d) to the JCIDS Gatekeeper.

c. Provide results of CBP analysis (e.g., CBAs, AOAs) to the FCBs in support of joint review of combatant command capability proposals and then forward them to the JROC for approval.

d. Submit capability shortfalls in accordance with the Comprehensive Joint Assessment survey. This includes, but is not limited to, Integrated Priority Lists (IPLs) to the Joint Staff/J-8, Readiness Deficiencies to the Joint Staff/J-3, and the Chairman's Risk Assessment to the Joint Staff/J-5. Inputs should be based on mission analysis of the combatant command's stated and implied missions in operational plans, contingency plans, the UCP, GDF, and GEF.

(1) When requested by the Joint Staff, using the risk assessment created by applicable CPMs, identify capability areas to accept additional risk and recommend a strategy to divest or decrement those capability areas over which the combatant commander has control.

(2) Provide action officers and/or subject matter experts to assist the Joint Staff in understanding the combatant command's inputs.

(3) Participate in VTCs and staffing actions to ensure the combatant command's concerns are understood by the Joint Staff and the combatant command's input is used in developing the assessment and recommendations to senior leaders.

e. Participate in CGA process as delineated in the appendix to Enclosure A.

f. Serve as participants/members/host of Senior Warfighter Forum (SWarF).

6. <u>Commander, U.S. Joint Forces Command</u>

a. Designate a Chair and Lead for the Command and Control (C2) FCB and provide the required manning and equipment to conduct assigned tasks.

b. Coordinate with FCBs for assessment input on Joint Experimentation and warfighter challenges during the development of the JCDE Campaign Plan.

c. Coordinate with the FCB's to receive input on the known capability development efforts for assessment during the development of the JCDE Campaign Plan.

7. <u>Defense Agencies</u>

   a. Develop and provide recommended JCIDS documents as required in CJCSI 3170.01 (reference d) to the JCIDS Gatekeeper.

   b. Provide results of CBP analysis (e.g., CBAs, AOAs) to the FCBs in support of joint review of Defense agency capability proposals and then forward them to the JROC for approval.

   c. Provide assessments of capability gaps and excesses, as requested by the Chairman (IPLs, Risk Assessment, Lessons Learned, DCRs, JUONs, etc.) to the Joint Staff J-8 and participate in the capabilities gap assessment process.

   d. Participate in FCB meetings and other JROC forums as necessary to ensure full understanding and awareness of Defense agency activities.

   e. Participate in the CGA process as delineated in the appendix to Enclosure A.

      (1) Provide input to the CGA process.

      (2) Provide action officers and/or subject matter experts to assist in the assessment of capability gaps as well as the interpretation of the Department's readiness.

8. <u>Other DOD Components (National Guard Bureau, defense agencies, Combat Support Agencies (CSAs) and field activities)</u>

   a. In accordance with DODD 3000.06 (reference h), utilize JCIDS to define and validate future joint warfighting capability needs.

      (1) Develop and provide JCIDS documents as required in CJCSI 3170.01 to the JCIDS gatekeeper.

      (2) Provide results of CBP analysis (e.g., CBAs, AoAs) to the FCBs in support of joint review of capability proposals and then forward them to the JROC for approval.

   b. Participate fully in the FCBs to define and validate future combat support capability needs.

   c. Participate in the CGA process as delineated in the appendix to Enclosure A.

      (1) Provide input to the CGA process, such as the inputs to the Defense Readiness Reporting System and the individual readiness deficiencies.

(2) Provide action officers and/or subject matter experts to assist in the assessment of capability gaps as well as the interpretation of the Department's readiness.

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ENCLOSURE C

REFERENCES

a. Title 10, United States Code, sections 153, 154, 163, and 181

b. CJCSI 5123.01 Series, "Charter of the Joint Requirements Oversight Council"

c. JROCM 105-08, 27 May 2008, "Joint Requirements Oversight Council Administrative Procedures and References"

d. CJCSI 3170.01 Series, "Joint Capabilities Integration and Development System"

e. CJCSI 3470.01 Series, " Rapid Validation and Resourcing of Joint Urgent Operational Needs (JUONS) in the Year of Execution"

f. CJCSI 3150.25 Series, "Joint Lessons Learned Program"

g. CJCSI 3460.01 Series, "Combat Support Agency Review Team Assessments"

h. DODD 3000.06, 10 July 2007, "Combat Support Agencies"

i. CJCSI 3010.02 Series, "Joint Concept Development and Experimentation (JCD&E)"

j. DOD Directive 8115.01, 10 October 2005, "Information Technology Portfolio Management"

k. CJCSI 8410.01 Series, "Warfighting Mission Area Information Technology Portfolio Management and Net-Centric Data Sharing"

l. DOD Directive 7045.20, 25 September 2008, Capability Portfolio Management

m. CJCSI 3100.01 Series, "Joint Strategic Planning Process"

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GLOSSARY

PART I – ACRONYMS

ACAT	acquisition category
ACMS	Automated Contract Management System
AoA	analysis of alternatives
ASD(NII)	Assistant Secretary of Defense for Networks and Information Integration
BES	budget estimate submission
CAAS	Contracted Advisory and Assistance Service
CAD	Capabilities and Acquisition Division, Joint Staff/J-8
CBA	capabilities-based assessment
CBP	capabilities-based planning
CDD	capability development document
CGA	Capability Gap Assessment
CIO	Chief Information Officer
CJCS	Chairman of the Joint Chiefs of Staff
CJCSI	Chairman of the Joint Chiefs of Staff Instruction
CM&S	Corporate Management and Support
CONOPS	concept of operations
CPA	Chairman's Program Assessment
CPD	capability production document
CPlan	campaign plan
CPM	capability portfolio manager (or management)
CPP	Capabilities Prioritization Process
CPR	Chairman's Program Recommendation
CSA	Combat Support Agency
CSART	Combat Support Agency Review Team
DAB	Defense Acquisition Board
DAR	DOTMLPF action review
DCR	doctrine, organization, training, materiel, leadership and education, personnel, and facilities change recommendation
DepSecDef	Deputy Secretary of Defense
DJ-8	Director for Force Structure, Resources, and Assessment, Joint Staff/J-8

DOD	Department of Defense
DODD	Department of Defense Directive
DODI	Department of Defense Instruction
DOM	Directorate of Management, Joint Staff
DOTMLPF	doctrine, organization, training, materiel, leadership and education, personnel, and facilities
DPA&E	Director of the Office of Program Analysis and Evaluation
DPS	Defense Planning Scenarios
DS/A	Designated Service/Agency
DTRA	Defense Threat Reduction Agency
FCB	Functional Capabilities Board
FYDP	Future Years Defense Program
GDF	Guidance for Development of the Force
G/FO	General Officer/Flag Officer
GS	Government Service
GWOT	global war on terrorism
ICD	initial capabilities document
IPL	integrated priority list
IPT	integrated process team
IT	information technology
JC2	joint command and control
JCA	joint capability area
JCB	Joint Capabilities Board
JCCA	joint combat capability assessment
JCD	Joint Capabilities Division, Joint Staff/J-8 (not to be confused with the term, "joint capabilities document)
JCDE	joint concept development and experimentation
JCIDS	Joint Capabilities Integration and Development System
JCTD	joint capabilities technology demonstration
JE	joint experimentation
JFC	joint functional concept
JFRR	Joint Forces Readiness Review
JLLIS	Joint Lessons Learned Information System
JLLP	Joint Lessons Learned Program
JOpsC	Joint Operations Concepts
JPG	Joint Programming Guidance
JRAC	Joint Rapid Acquisition Cell
JROC	Joint Requirements Oversight Council
JROCM	Joint Requirements Oversight Council Memorandum
JSPS	Joint Strategic Planning System

JUON	joint urgent operational need
KM/DS	Knowledge Management/Decision Support
LL	lessons learned
MDA	Milestone Decision Authority
Mil	military
OPR	Office of Primary Responsibility
OSD	Office of the Secretary of Defense
PBAD	Program and Budget Analysis Division, Joint Staff/J-8
PBD	Program Budget Decision
PBR	Program Budget Review
PDM	Program Decision Memorandum
POM	program objective memorandum
POR	program of record
PPBE	Planning, Programming, Budgeting, and Execution
RAMO	Resource and Acquisition Management Office, Joint Staff/J-8
S&T	science and technology
SES	Senior Executive Service
SWarF	Senior Warfigher Forum
UCP	Unified Command Plan
USC	United States Code
USD(AT&L)	Under Secretary of Defense for Acquisition, Technology and Logistics
USD(C)	Under Secretary of Defense Comptroller
USD(I)	Under Secretary of Defense for Intelligence
USD(P)	Under Secretary of Defense for Policy
USD(P&R)	Under Secretary of Personnel and Readiness
USecAF	Under Secretary of the Air Force
USJFCOM	United States Joint Forces Command
VTC	video teleconferencing
WG	working group
WMA	warfighting mission area

PART II – DEFINITIONS

capabilities-based planning (CBP) – The process for planning under uncertainty to provide capabilities suitable for a wide range of modern-day challenges and circumstances while working within an economic framework that necessitates choice.

DOD component - The DOD components consist of the Office of the Secretary of Defense, the Military Departments, the Joint Chiefs of Staff, the Joint Staff, the combatant commands, the Office of the Inspector General of the Department of Defense, the DOD agencies, DOD field activities, and such other offices, agencies, activities, and commands established or designated by law, by the President, or by the Secretary of Defense (SecDef).

Functional Area - The collection of functions described by the Joint Capability Areas comprising each of the Tier I JCAs.

5x8 – "Bottom line up front 5x8" is a Joint Staff document format which provides a concise summation of an issue or topic for senior leader review, to include a recommendation, if appropriate.