Department of Defense Implementation Plan

Distribution of
Arms, Ammunition and Explosives

March 2005

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Distribution of
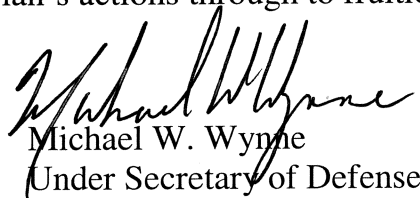## Arms, Ammunition and Explosives

March 2005

Foreword

This plan provides a roadmap for implementing the Deputy Secretary of Defense's May 2004 Strategic Plan for the Distribution of Arms, Ammunition, and Explosives (AA&E). It represents the combined ideas and efforts of all the DoD stakeholders responsible for broad policy and execution of the Department's AA&E logistics chain. Through execution of the actions contained in this plan, the Department will continue to dramatically enhance and improve the safe and secure distribution of its AA&E. I especially appreciate the contributions and commitment of the senior leadership and key stakeholder representatives who have spearheaded this effort in support of the Strategic Plan's vision and goals of achieving a secure, safe, effective, and efficient AA&E distribution system that meets warfighter requirements for AA&E in peace and wartime, well into the future.

This plan approaches the distribution of AA&E from a global, system-wide approach and incorporates concepts and actions that go beyond the logistics community. To support this broad framework, the plan includes actions to bridge the various AA&E-related organizational roles and responsibilities, statutes, policies, and implementing regulations underlying the key segments of the logistics chain—including testing, acquisition, production, storage, materiel issue, transportation, receipt, and disposal within the United States and in overseas theaters of operation. The actions contained in this plan do not change existing organizational missions, roles, and responsibilities—rather, they are intended to transcend the handoffs that are common to a logistics chain that relies on multiple modes and nodes of transportation within the commercial and DoD organic transportation systems and specially designed AA&E supply chains, including vendor-managed movements and foreign military sales shipments. The plan also addresses the detailed actions and milestones necessary to improve the oversight, management, control, safety, and security of AA&E across the entire DoD logistics chain and proposes measures of performance to track our progress. Lastly, this plan identifies specific actions needed to enhance and leverage the many systems and technology enablers that support AA&E logistics business processes and procedures.

In conclusion, I repeat Deputy Secretary Wolfowitz' direction in the Strategic Plan: "The success of this implementation plan is a shared responsibility which depends on leveraging joint cooperation, commitment, resources, and talents—both across the Department and with our industry partners." I ask for your continued support to provide the necessary resources and effort to see each of the plan's actions through to fruition.

Michael W. Wynne
Under Secretary of Defense
(Acquisition, Technology and Logistics)

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Chapter 1
Introduction

Since September 11, 2001, the Department of Defense (DoD) has responded to the heightened awareness of potential risks and vulnerabilities with a renewed emphasis on the safe and secure distribution of arms, ammunition, and explosives (AA&E). Recognizing the need to closely examine and strengthen the AA&E logistics chain, the department has undertaken several studies,[1,2] conducted senior leadership meetings, and instituted new policies and procedures to dramatically improve the safe and secure movement of AA&E. The Government Accountability Office (GAO) reinforced the need for these efforts in a series of reports it has issued over the past 3 years.[3,4]

In May 2004, the Deputy Secretary of Defense (DEPSECDEF) approved and issued the *Department of Defense Strategic Plan for the Distribution of Arms, Ammunition, and Explosives,* which defined the department's mission, vision, and goals for the distribution of AA&E. The strategic plan identified eight major objectives and 23 actions to improve the current AA&E logistics chain.

This implementation plan focuses on the 23 actions identified in the May 2004 AA&E strategic plan. In it, we organize the actions into 14 action implementation plans (AIPs). Each AIP identifies the key stakeholders, steps, timelines, issues, and cost considerations associated with implementation.

In approving the strategic plan, the DEPSECDEF emphasized that the success of the plan is a shared responsibility and directed that each DoD component "commit the necessary resources and focus collective efforts to implement the plan to achieve a more secure, safe, effective, and efficient AA&E distribution system that meets warfighter requirements for AA&E in peace and wartime, well into the future." To comply with the Deputy Secretary's mandate, it is essential that each office of primary and collateral responsibility (OPR/OCR) identified within this implementation plan allocate the manpower and funding necessary to implement their respective AIPs.

Similar to the strategic plan, this implementation plan is a "living document." During its development, we identified and defined additional actions, roles, responsibilities, and key stakeholders that were not reflected in the earlier strategic plan. Accordingly, some actions and milestones contained herein may differ from those in the strategic plan.

This implementation plan provides a process and templates for regular updates to each AIP, such as changes in status, issues, steps, timelines, and cost. It will be reviewed each year in recognition of the changing security environment, evolving roles, missions, and technological advancements, and to recognize and leverage other ongoing munitions efforts such as Joint Ordnance

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[1] LMI, *Motor Transport of DoD Arms, Ammunition, and Explosives: Optimizing the AA&E Distribution System*, Report MT101T9, John Storm et al., June 2002.

[2] LMI, *Strategic Munitions Distribution Network*, Report MT301L1, John Storm et al., September 2003.

[3] GAO draft report, *Ammunition and Explosives Shipment Practices Present Substantial Security and Safety Risks (SECRET)*, GAO-01-936, July 2001.

[4] GAO report, *Defense Inventory: Compliance with Regulations Needed to Improve Security of Munitions Shipments (FOUO)*, GAO-03-800, July 2003.

Commanders Group (JOCG) sponsored programs and the USTRANSCOM-led distribution process owner (DPO) Class V Munitions End-to-End Distribution Architecture Initiative.

The remainder of this plan is organized as follows:

- Chapter 2 provides an overview of the vision, mission, goals, and objectives identified in the 2004 *Department of Defense Strategic Plan for the Distribution of Arms, Ammunition, and Explosives*.

- Chapter 3 provides a summary of the 23 actions, a high-level timeline, and cost considerations for all actions.

- Chapter 4 presents the format of an AIP and describes the process to create updates.

- Appendix A presents the 14 AIPs.

- Appendix B presents the template for OPRs to create and report a "snapshot" status update for their respective AIPs and will serve as an updated addendum to the implementation plan.

- Appendix C presents the template for OPRs to create and report a detailed AIP status report.

- Appendix D provides a list of the definitions of the terms used within this plan.

Chapter 2
Strategic Plan Overview

The 2004 *Department of Defense Strategic Plan for the Distribution of Arms, Ammunition, and Explosives* defined the mission and vision of the AA&E logistics chain. It also identified four overarching goals associated with successful distribution of AA&E and eight objectives to support those goals. This chapter presents an overview of the strategic plan.

Mission

The strategic plan stated the AA&E logistics chain[1] mission as follows:

> *Provide an effective end-to-end system that consistently and quickly delivers AA&E materiel to the warfighter while maintaining the security and safety of the materiel and the public.*

Inherent in this mission is the requirement to implement mechanisms to rapidly and properly act and respond to threats or incidents that could compromise the mission, safety, or security of AA&E during distribution.

Vision

The strategic plan stated the DoD's AA&E logistics chain strategic vision as follows:

> *An effective and efficient worldwide logistics chain that meets warfighters' demands for AA&E where and when needed while protecting against security threats, limiting exposure to the public, and minimizing the potential for safety mishaps.*

Strategic Goals

The strategic plan identified four strategic goals for successful AA&E distribution. The goals and a brief description are presented below:

1. *Security*: This goal focuses on policies, responsibilities, procedures, business rules, required actions, and information awareness to keep AA&E in the custody of only those with specific authorization and quickly identify and respond to situations or incidents of actual or potential compromise.

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[1] In the context of this plan, the logistics chain encompasses traditional distribution functions involving the issue, storage, packaging, transportation, and receipt of materiel. It also encompasses those functions that potentially affect the distribution process to include testing, procurement, and production of materiel and subsequent processes, such as demilitarization and disposal. It also encompasses the separate logistics and transportation sectors within the DoD portion of the Federal Government Critical Infrastructure Protection structure.

2. *Safety*: This goal focuses on policies, responsibilities, procedures, business rules, required actions, and information awareness to keep the public and those who use or handle AA&E as safe as possible from the inherent dangers associated with exposure to explosive materiel.

3. *Accountability and Visibility*: This goal focuses on policies, responsibilities, procedures, business rules, required actions, and information awareness to ensure AA&E can be located, identified, and tracked throughout the logistics chain, with clear responsibility for ownership, handoffs, and performance.

4. *Effectiveness and Efficiency*: This goal focuses on policies, responsibilities, procedures, business rules, required actions, and information awareness to accomplish the AA&E distribution mission with the fewest resources (dollars, inventory, people, and infrastructure) possible while meeting the warfighters' requirements for materiel when and where it is needed.

Objectives

The strategic plan also identified eight objectives to support the mission, vision, and goals of the AA&E logistics chain.

1. Integrate safety and security business rules across the entire AA&E logistics chain.

2. Establish security business rules and risk mitigation actions on the basis of current threats.

3. Clarify roles, responsibilities, and business rules across the entire spectrum of DoD AA&E logistics chain management.

4. Improve collaboration and information exchange among all AA&E stakeholders.

5. Assess the OCONUS segments of the AA&E logistics chain.

6. Transform DoD's AA&E management, business processes, and technology investments from an individual segment view to an end-to-end logistics chain view.

7. Develop an AA&E logistics chain certification program that focuses on an end-to-end system view.

8. Improve AA&E business rule compliance.

A series of actions was formulated for each objective. This implementation plan focuses on those actions and discusses how DoD will implement each action to improve the AA&E logistics chain. The actions are presented in Chapter 3.

Chapter 3
Action Summary

The 2004 *Department of Defense Strategic Plan for the Distribution of Arms, Ammunition, and Explosives* presented 23 actions that support the mission, vision, goals, and objectives of the AA&E logistics chain. The strategic plan related and numbered them according to 8 objectives. This implementation plan organizes those actions—based on similarities in activities and stakeholders—into 14 action implementation plans.

This chapter identifies the 14 AIPs. It also presents a high-level implementation timeline and cost considerations for all the AIPs combined.

Action Implementation Plans

The actions contained in each AIP are similar, will be performed by the same office of primary responsibility (OPR), and will benefit from a combined synergy during implementation.

Each AIP is a "living document" and will be updated as progress is made. An AIP consists of a group of actions and contains details on how to accomplish each action, including action timelines and cost considerations. Each AIP was created in coordination with the key stakeholders involved in the distribution of AA&E.

Table 3-1 presents a summary of the 14 AIPs.[1] It identifies the OPR and actions for each AIP.

Table 3-1. AIP Summary

AIP	OPR	Actions
1	OUSD(AT&L)	**1.A**—Create a combined safety and physical security working group that is comprised of members of the DDESB, DDPSRB, OSD (TP), and Defense Procurement, as well as other designated experts.
		1.B—Establish a working group to continuously monitor and manage the safety and security policy and regulatory content placed on the AA&E Knowledge Management Portal.
2	OUSD(AT&L)	**2.A**—Perform threat, vulnerability, and risk assessments of the AA&E distribution system to manage AA&E risks with current information.
		2.B—Based on the results of the most current threat, vulnerability, and risk analysis, ensure DoD AA&E security-related business rules are scalable and are applied appropriately and consistently with current distribution system risks.
3	OUSD(AT&L)	**3.A**—Define and map all stakeholders in the current AA&E distribution system and document their explicit roles, responsibilities, and authorities (via policies, regulations, etc.).
		3.B—Create, cancel, or refine policies, instructions, manuals, and regulations to formalize the recommendations of Action 3.A.

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[1] Appendix A presents the 14 AIPs. Each AIP is placed in a corresponding annex within that appendix. For example, Annex 1 contains AIP 1, Annex 2 contains AIP 2, and so on.

Table 3-1. AIP Summary

AIP	OPR	Actions
4	OUSD(Policy)	**4.A**—Establish a forum or interagency working group to provide a comprehensive mechanism for interagency information exchange and collaborative readiness planning for AA&E distribution and other hazardous material security management and surveillance between key components (such as the services, JMC, USTRANSCOM, NORTHCOM, OASD[HD], OUSD[I], Department of Homeland Security, and the Department of Transportation).
5	OUSD(AT&L)	**4.B**—Review the current process of notifying management and investigative and incident assistance activities to determine if there are opportunities for streamlining the process to achieve a timelier and more effective mode of operation.
6	OUSD(AT&L)[2]	**4.C**—Using the interagency forum established by Action 4.A, coordinate a national position and implementing rules or legislation that should be implemented with respect to the purchase, domestic storage, and global distribution of sensitive AA&E items purchased and distributed by U.S. commercial entities and foreign governments when no U.S. federal agency or department is a party to the transaction.
7	Joint Staff	**5.A**—Document the current AA&E policies, procedures (including emergency response procedures), and unique circumstances that may affect AA&E movements in each combatant commander's theater of operation. Identify voids and recommend areas for improvement. **5.B**—Compare combatant command and CONUS roles, responsibilities, and procedures with respect to AA&E management, accountability, and visibility. Justify the unique differences in each command or recommend where standard processes should be used. **5.C**—Create or refine policies, instructions, manuals, and regulations to formalize the recommendations of Action 5.B.
8	OUSD(AT&L)	**6.A**—The OSD logistic domain owner will designate the AA&E business area a priority for review for compliance with the DoD Business Enterprise Architecture to expedite steps (portfolio management activities) required to identify legacy system brown-out dates and to follow though with early transition to the ultimate AA&E automated information system (AIS) solution.
9	OUSD(AT&L)	**6.B**—Identify and pursue innovative distribution alternatives or initiatives that effectively balance public exposure considerations with minimizing materiel handling and avoiding routing predictability, while ensuring warfighter time-definite delivery requirements for AA&E are satisfied. Also explore new tracking and sensing/intrusion technologies and techniques to further enhance the AA&E end-to-end distribution process worldwide based on the threat, risks, and vulnerability assessments. **6.C**—Enhance current business processes and modify or replace DoD systems to focus on process flows across organizational boundaries, rather than niche solutions.
10	OUSD(AT&L)	**6.D**—Establish a process and lead agent to coordinate and leverage the various AA&E-related research, development, test, and evaluation (RDT&E) efforts underway at any given time (both pre- and post-acquisition of AA&E) within the department that affect the AA&E logistics chain.
11	OUSD(AT&L)	**6.E**—Develop an online AA&E Knowledge Management Portal to achieve a "virtual AA&E one book."

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[2] *The DoD Strategic Plan for the Distribution of AA&E*, May 2004, identified OASD(HD) as the OPR for this AIP. After consideration of the scope of this AIP, AT&L and HD agreed AT&L should be the assigned OPR for this action, with HD providing key coordination and facilitation support.

Table 3-1. AIP Summary

AIP	OPR	Actions
12	OUSD(AT&L)	**6.F**—Develop an accurate and timely capability for centrally tracking AA&E movements worldwide.
13	Army(AMC/JMC)	**7.A**—Identify all current AA&E-related training courses to establish the baseline for the scope and amount of safety, security, business process, and system-related training is provided to personnel involved in the distribution of AA&E.
		7.B—Devise an overarching training curriculum for AA&E processes, including safety, security, business rules, and systems.
		7.C—Manage the AA&E training content and related reference material that is on the AA&E Knowledge Management Portal.
14	USTRANSCOM	**8.A**—Coordinate the necessary actions to develop, implement, and maintain an end-to-end distribution performance metrics collection and evaluation process, including the establishment of the program base-lines, such that the distribution performance can be monitored.
		8.B—Monitor AA&E logistics chain performance, refer actions to improve performance, and ensure compliance with established business rules to the appropriate component when performance metrics indicate the need for improvement or enforcement.

Timeline

Table 3-2 below provides a summary of the timelines for all 14 AIPs.[3]

Table 3-2. Summary AIP Timetable

AIP	Start date	End date
AIP 1	Jan 2005	Dec 2005
AIP 2	Jan 2005	Mar 2006
AIP 3	Dec 2004	May 2006
AIP 4	Feb 2005	Jan 2006
AIP 5	Sep 2004	Jun 2005
AIP 6	Jan 2006	Sep 2006
AIP 7	Mar 2005	Nov 2006
AIP 8	Dec 2004	Dec 2005
AIP 9	Jan 2005	Ongoing
AIP 10	Mar 2005	Apr 2006
AIP 11	Jan 2005	Mar 2006
AIP 12	Mar 2005	May 2006
AIP 13	Jan 2005	Jul 2006
AIP 14	Feb 2005	Nov 2005

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[3] The details of each AIP, including their timelines, are presented in Appendix A.

Funding and Resources

Each AIP will require a commitment of funding and personnel resources. By approving the May 2004 *DoD Strategic Plan for the Distribution of Arms, Ammunition, and Explosives*, the Deputy Secretary of Defense directed the DoD components responsible for each AIP to commit the necessary resources to implement the plan. This requires a commitment within their annual budget and personnel assignments. Each AIP dictates a different level of effort and funding. In turn, resource requirements will be influenced by several factors, including AIP scope, length, number and grade of personnel (both internal DoD and contractor support), travel, and training costs. In some instances, it will also require facility, hardware, software, communications, and maintenance costs.

It is essential that each OPR, working in coordination with supporting OCRs, identify and budget the personnel and funding necessary to implement their respective AIP. This must be accomplished as one of the first actions in the implementation process. The resources checklist provided in Table 3-3 will assist OPRs and OCRs in this effort.

Table 3-3. OPR and OCR Resources Checklist

Required resource	Cost considerations
Manpower	Number of man-months to implement the AIP. Factors include the length of task; frequency of meetings; and required time to review, assess research, analyze, coordinate, and manage. Delegation of responsibilities. Use of DoD in-house or contractor personnel.
Travel	Frequency and location of meetings, location of subject matter experts, and availability of video teleconference capability.
Training	Training required to prepare implementation personnel or to train personnel in new policies, processes, and procedures. Factors may include length of training, the number of target students, and the delivery method (e.g., classroom or distance learning or computer-based training).
IT	Funding for any software development or acquisition, hardware, and technology insertion costs. Cost to enhance existing Knowledge Management Portal capabilities.
Facilities	Cost of rented meeting rooms, new training facilities, or other infrastructure requirements. Factors may include frequency and duration, permanent vs. rented facilities, and location.

Chapter 4
Action Implementation Plan Format and Process

This AA&E implementation plan focuses on the 23 actions identified in the *DoD Strategic Plan for Distribution of Arms, Ammunition, and Explosives*, published in May 2004. This implementation plan organizes the actions into 14 AIPs, defined in Chapter 3. Because this document should be updated throughout the implementation process, an update format and process is required. This chapter describes the format of the AIPs and the process for keeping them up-to-date.

AIP Format

All of the AIPs follow a consistent format. This format will be maintained throughout the implementation process to allow for easy updates and record keeping of progress. Each AIP contains four sections, which are described below.

Section 1, *Initial AIP*

The initial AIP will be the starting point for implementation. This section includes the following details about each AIP:

- *Actions*: A review of the actions addressed in the AIP.

- *Background*: An introduction to the history and current situation, addressing the reasons why the AIP has been proposed.

- *Key stakeholders*: An identification of the organizations that will be required to play a role in the implementation or will be affected by the implementation.

- *Implementation steps*: A narrative that describes each step and identifies which stakeholder has responsibility for and will need to participate in that step. The narrative is supplemented by a Gantt chart that illustrates each step's estimated starting and ending dates, as well as any dependency it may have on other steps.

- *Issues*: An enumeration and exploration of potential issues that will affect the success of the implementation.

- *Cost*: A discussion of the various costs that will be incurred during the implementation, such as personnel costs, hardware and software costs, and training costs. The OPR and OCRs responsible for each AIP must commit the manpower and funding needed to implement the AIP.

- *Measures of progress and success*: A set of metrics to measure both implementation progress and implementation success. Implementation progress metrics include milestones for each step in the implementation plan. Measures for implementation success involve performance metrics formulated around the strategic goals identified for AA&E distribution: safety, security, visibility and accountability, and efficiency and effectiveness.

Section 2, *Status Snapshot*

The status snapshot provides a quick view of the current status of the AIP. It is likely that portions of the AIP will change during the implementation. These changes will affect steps to the implementation, timelines, and costs. As changes occur, the status snapshot will provide a quick way to see how the AIP has changed in comparison to the initial AIP.

Section 3, *Implementation Status Reports*

This section contains the detailed implementation status reports. These reports will document the details behind changes to the AIP steps, key stakeholders, timelines, and costs. By reading these narratives, the reader should acquire a sense of the progress and evolution of the entire AIP.

Section 4, *History of Status Snapshots*

This section contains a complete history of the status snapshots. By keeping all the old snapshots in a single location, the history of the AIP is maintained. These old snapshots can be used in conjunction with the implementation status reports as a reference, should questions or issues arise concerning AIP modifications.

AIP Management and Update Process

Each AIP is a standalone document. The OPR will place the individual AIP in either an electronic or 3-ring-binder notebook. The OPR should also post the AIP status at the AA&E Knowledge Management Portal once the portal is established.

The OPR will manage the master copy of the AIP notebook and distribute pertinent information to key stakeholders. The OPR will host a meeting each quarter (or as determined by the individual OPRs) and invite stakeholders to provide input for the status updates and implementation status reports. The OPR will document the updates and update the appropriate AIP notebook on a quarterly basis.

Each section of the AIP will be managed and updated as described below:

1. Section 1, *Initial AIP*. This section will remain constant and is not updated.

2. Section 2, *Status Snapshot*.[1]

   a. The OPR will write a new update and *replace* the pages found in this section.

   b. The OPR will move the replaced pages to Section 4.

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[1] The template for writing the status snapshot is presented in Appendix B, and will also be posted at the AA&E Implementation Plan website.

3. Section 3, *Implementation Status Reports*.[2]

    a. The OPR will document the status in this report and place it in this section.

    b. This section is cumulative in nature. Previously written implementation status reports *are **not** removed.*

4. Section 4, *History of Status Snapshots*. This section is cumulative. It contains a complete history of the status snapshots that were removed from Section 2.

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[2] The template for writing the Implementation Status Report is presented in Appendix C and will also be posted at the AA&E Implementation Plan website.

Appendix A
Action Implementation Plan Annexes

This appendix contains the detailed action implementation plans (AIPs). It is organized into 14 annexes—one for each of AIP.

- AIP 1: Actions 1.A. and 1.B

- AIP 2: Actions 2.A. and 2.B

- AIP 3: Actions 3.A. and 3.B

- AIP 4: Action 4.A

- AIP 5: Action 4.B

- AIP 6: Action 4.C

- AIP 7: Actions 5.A., 5.B., and 5.C

- AIP 8: Action 6.A

- AIP 9: Actions 6.B. and 6.C

- AIP 10: Action 6.D

- AIP 11: Action 6.E

- AIP 12: Action 6.F

- AIP 13: Actions 7.A., 7.B., and 7.C

- AIP 14: Actions 8.A. and 8.B

Each AIP is formatted as a standalone section and contains a brief narrative on the purpose and contents of the AIP and the update process.

Annex 1—Action Implementation Plan 1

This is the first of 14 AIPs in the overall *Department of Defense Implementation Plan for the Distribution of Arms, Ammunition, and Explosives*. It addresses Actions 1.A and 1.B:

- *Action 1.A*—Create a combined safety and physical security working group comprised of members of the DoD Explosives Safety Board (DDESB), DoD Physical Security Review Board (DDPSRB), Transportation Policy, and Defense Procurement, as well as other designated experts.

- *Action 1.B*—Establish a working group to continuously monitor and manage the safety and security policy and regulatory content placed on the AA&E Knowledge Management Portal.

This AIP supports Objective 1 of the DoD AA&E strategic plan: Integrate safety and security business rules across the entire AA&E logistics chain.

AIP 1 will consist of the following four sections:

1. Section 1, *Initial AIP*, is provided within the *DoD Implementation Plan for the Distribution of AA&E* on the following pages.

2. Section 2, *Status Snapshot*, will be created by the AIP office of primary responsibility (OPR) and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 1, *Initial AIP 1*.

3. Section 3, *Implementation Status Reports*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 2, *Status Snapshot*.

4. Section 4, *History of Status Snapshots*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 3, *Implementation Status Reports*.

The designated OPR will manage the master copy of this AIP notebook, create updates, and distribute pertinent information to key stakeholders.

Section 1, Initial AIP 1

The background, key stakeholders, implementation steps and timeline, cost considerations, measures of progress and success, and potential issues related to the success of this AIP are presented below.

Background

The safe and secure transport of hazardous material—including ammunition and explosives—is governed by a complex set of interrelated municipal, state, and federal laws and regulations and DoD directives, instructions, and regulations. Although there are numerous functional DoD components that develop and oversee policies that influence the "management and operation" of the individual segments of the AA&E logistics chain, these safety and security laws, policies, and regulations cut across every segment of the logistics chain. Safety and security, as used within the context of this plan, are defined as follows:

- *Safety* entails keeping the public and those who use or handle AA&E protected to the maximum extent possible from the inherent dangers associated with exposure to explosive or chemical material while in the distribution chain.

- *Security* entails visibility over and physically keeping AA&E in the custody of only those with specific authorization. It also entails the ability to quickly identify and respond to situations or incidents of actual or potential compromise of AA&E while in the logistics chain. Security includes both the physical and information security of DoD sites, materiel, and support systems.

The Under Secretary of Defense for Acquisition, Technology, and Logistics (USD[AT&L]) issues AA&E *safety* policy through the DDESB.[1] The Under Secretary of Defense for Intelligence (USD[I]) oversees AA&E physical *security* policy and uses the DDPSRB[2] structure to assist with security oversight. There is limited cross-development and coordination of safety and security policies and procedures. As a result, many of the safety and security-related rules and regulations that affect the daily procurement, storage, transportation, inventory control, sale, or disposal of AA&E are disbursed in many publications and not easily located.

Monitoring safety and security measures together can highlight where the policy of one may adversely affect the other. For example, for public safety reasons, the Department of Transportation (DOT) mandates placards must be displayed on the transportation conveyance to identify that the cargo is composed of hazardous materials.[3] This requirement may raise concerns within the security community, because posting the hazardous nature of the shipment on a vehicle (Class A explosives, for example) identifies the vehicle as a potential target. The establishment of an Explosives Safety *and* Physical Security Working Group (SPSWG) that includes a cross-section of experts representing the safety, security, and logistics disciplines will help

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[1] DoD Directive 6055.9, *DoD Explosives Safety Board and DoD Component Explosives Safety Responsibilities.*

[2] DoD Directive 5100.76, *Physical Security Review Board,* and DoD Manual 5100.76-M, *Physical Security of Sensitive Conventional Arms, Ammunition, and Explosives.*

[3] Title 49, Code of Federal Regulations (CFR).

highlight areas of inconsistent policy and operating procedure application. By working together through the SPSWG, the safety, security, and logistics communities can reconcile policy differences and minimize their respective concerns. This cooperative arrangement will also facilitate consistent policy development that balances safety and security considerations for implementation and use by all DoD components.

Key Stakeholders

The following are among the key stakeholders for this effort:

- *The Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics (OUSD[AT&L])* is responsible for AA&E safety policy and is the office of primary responsibility for directing and coordinating all actions necessary to accomplish the specific actions of this AIP.

- *The Office of the Under Secretary of Defense for Policy (OUSD[Policy])* develops and advises the Secretary of Defense on national security policy. Through the Assistant Secretary of Defense for Homeland Defense (ASD[HD]), OUSD(Policy) is the principal interface with the Department of Homeland Security.

- *DDESB* is a jointly staffed organization chartered by the USD(AT&L) and oversees the development and execution of AA&E safety policy. The DDESB is the principal office for executing this AIP.

- *OUSD(Intelligence)* is responsible for DoD physical security policy.

- *DDPSRB* is a joint board chartered by the OUSD(Intelligence) that provides advice and assistance in developing and overseeing DoD physical security policy, standards, and procedures for AA&E.

- *The Assistant Secretary of Defense for Networks and Information Integration (ASD[NII])* develops policy, provides expertise in information security, and advises on the secure transmission of AA&E data.

- *The military services* are responsible for managing their AA&E assets from acquisition to disposal, including compliance with all policies that affect the safe, secure, efficient, and effective distribution of AA&E. The Army is the designated Single Manager for Conventional Ammunition (SMCA) and exercises that authority through the Army Material Command.[4] The Army's Joint Munitions Command provides the distribution expertise for SMCA-managed munitions and explosives.

- *U.S. Transportation Command (USTRANSCOM)*, as the DoD distribution process owner, advises on distribution-related safety and security policy and implements these policies through Defense Transportation Regulation (DTR).

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[4] DoD Directive 5160.65 establishes the SMCA; DoD Instruction 5160.68 addresses roles and responsibilities of the SMCA and military services. Among other responsibilities, the SMCA maintains DoD 4145.26-M, *DoD Contractors' Safety Manual for Ammunition and Explosives*.

- *DLA* is a shipper of arms and non-AA&E hazardous material and disposes of demilitarized AA&E.

- *DCMA* provides expertise in contract management and ensures contractor compliance with DoD and federal safety and security policies and regulations.

Implementation Steps

The principal stakeholders and designated organizations will take the following steps to complete this effort:

1. *OUSD(AT&L)* will coordinate with the key policy stakeholders to establish the combined SPSWG. Existing groups and sub-groups will be leveraged to the extent practicable. Members of the SPSWG will include representatives from DDESB and DDPSRB, as well as others responsible for developing safety, security, and logistics policies that affect AA&E. The SPSWG will meet as necessary to accomplish this AIP as determined by the SPSWG chairperson.

2. *The SPSWG* will develop a charter that includes its mission, authority, membership, organization and sub-groups, responsibilities, and duration of the group.

3. *The SPSWG* will reconcile and clarify existing safety and security policies, identify required changes or new policies, establish priorities and initiate action to staff and implement agreed upon changes. This effort should take into consideration the *Organizational and Policy Assessment Report*[5] and issues identified in AIP 3 once they are completed.

   a. *The SPSWG* will assign specific focus areas to the appropriate subject matter experts (SMEs).

   b. *The SPSWG* will assess the impact of safety and security policy changes on the business processes across the AA&E logistics chain.

4. *The SPSWG* will assign responsibility to subject matter experts to monitor and manage the safety and security policy and regulatory content placed on the AA&E Knowledge Management Portal. Information about the Knowledge Management Portal is presented in AIP 11.

   a. *The subject matter experts* will review and validate policies and regulations for content before adding them to the Knowledge Management Portal.

   b. *The subject matter experts* will conduct an annual review of the Knowledge Management Portal for content.

   c. *The subject matter experts* will establish and chair "communities of practice." The communities of practice will address safety and security-specific questions, collect lessons learned, and host interactive discussions.

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[5] *Organizational and Policy Assessment Report*, to be developed by LMI in FY2005 for the ADUSD(TP), to satisfy Action 3 of this Implementation Plan.

Table A-1-1 lays out the notional timeline of each implementation step.

Table A-1-1. Timetable for AIP 1

Step name	Responsible party	Start date	End date
Establish Safety and Physical Security Working Group	OUSD(AT&L)	Jan 2005	Dec 2005
Issue memorandum	OUSD(AT&L)	Jan 2005	Jan 2005
Nominate SPSWG members	Stakeholders	Feb 2005	Feb 2005
Develop SPSWG charter	SPSWG	Feb 2005	Feb 2005
Define mission	SPSWG	Feb 2005	Feb 2005
Document authority	SPSWG	Feb 2005	Feb 2005
Determine membership	SPSWG	Feb 2005	Feb 2005
Determine organization	SPSWG	Mar 2005	Mar 2005
Document responsibilities	SPSWG	Mar 2005	Mar 2005
Identify SPSWG duration	SPSWG	Mar 2005	Mar 2005
Coordinate policy	SPSWG	Apr 2005	Oct 2005
Review existing policy	SPSWG	Apr 2005	Apr 2005
Identify policy gaps and conflicts	SPSWG	Apr 2005	May 2005
Establish policy change priorities	SPSWG	May 2005	June 2005
Staff and implement agreed upon changes	SPSWG	June 2005	Sept 2005
Manage safety and security knowledge	AA&E SMEs	Oct 2005	Dec 2005
Review all content for Knowledge Management (KM) Portal	AA&E SMEs	Oct 2005	Oct 2005
Perform annual review of portal content	AA&E SMEs	Oct 2006	Oct 2006
Establish and chair communities of practice on KM Portal	AA&E SMEs	Oct 2005	Ongoing

Issues

The following potential issues may affect the success of this effort:

- There may be organizational and political issues within the safety, security, logistics, security assistance, and procurement communities that pose a challenge to this effort.

- It may be difficult for the DDESB, DDPSRB, and other offices to find the personnel with both the expertise and time to support this effort. There may be a need to contract for subject matter experts to support this effort.

Cost

The primary resource required for this AIP is manpower. There may be additional costs for contractor support, travel, and training. The OPR, in coordination with the OCRs, should consider the following assumptions in determining their manpower and funding requirements.

- The manpower needed for this effort is required primarily to create and operate the SPSWG. Manpower estimates should be based on the following assumptions:

  □ The SPSWG will be chartered for a minimum of 1 year, with at least one representative from each OPR or office of collateral responsibility (OCR), and any other invited SMEs. The working group should convene on a weekly basis until the policy review process is complete.

  □ The SPSWG members will review policies and coordinate proposed changes in preparation for weekly meetings.

  □ Following the policy review process, resources will be required to coordinate and publish the initial safety and security-related policy documents and add the documents to the AA&E Knowledge Management Portal.[6] A different mix of resources may be required to perform the latter task.

  □ Minimal ongoing resources will be required to revisit, monitor, and manage the safety and security policy and regulatory content placed in the AA&E Knowledge Management Portal.

- There may be a need to contract for subject matter experts to support this effort if in-house resources are not available.

- There may be a need for subject matter experts to travel to the Washington, DC area for meetings.

- The SPSWG may wish to consider creating a training course, if significant changes are made to policy. The course would be developed in conjunction with AIP 13. The new course would update the AA&E community and orient the workforce concerning the new policies and the SPSWG function. The cost of the training will depend on the length of training, the number of target students, and the delivery method. Costs will be estimated after an initial assessment is made.

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[6] This estimate does not include the costs and labor for developing the Knowledge Management Portal, which are addressed separately in AIP 11.

Measures of Progress and Success

There are two categories of measures for this AIP:

- *Progress measures* highlight the success of implementing the initiative. Measures in this category focus on AIP actions and milestones.

- *Success measures* focus on what benefits the AA&E community and distribution chain will see when the AIP is carried out and the initiative successfully completed. Measures in this category focus on improvements in safety, security, accountability and visibility, and effectiveness and efficiency.

Below are the progress and success measures for this AIP.

Progress Measures

Progress measures for this AIP include the following:

- The SPSWG formed.

- The SPSWG charter formulated and published.

- All current safety and security documents relating to AA&E identified, along with a prioritized timeline for document review and modification.

- Number and percentage of documents modified, staffed, approved, and published.

- New training material about SPSWG and the new policy documents created.

- All new policies, instructions, regulations, and procedures published on the AA&E Knowledge Management Portal (dependent upon successful completion of AIP 13).

Success Measures

Success measures for this AIP include the following:

- User Knowledge Management Portal satisfaction survey results.

- Knowledge Management Portal use numbers.

- Ability to compare safety, security, procurement, and logistics policies and procedures to highlight where the policy of one may adversely affect the other.

- DoD personnel and vendor compliance with safety and security policies.

Annex 2—Action Implementation Plan 2

This is the second of 14 AIPs in the overall *Department of Defense Implementation Plan for the Distribution of Arms, Ammunition, and Explosives*. It addresses Actions 2.A and 2.B.

- *Action 2.A*—Perform threat, vulnerability, and risk assessments of the AA&E distribution system to manage AA&E risks with current information.

- *Action 2.B*—Based on the results of the most current threat, vulnerability, and risk analysis, ensure DoD AA&E security-related business rules are scalable and are applied appropriately and consistently with current distribution system risks.

This AIP supports Objective 2 of the DoD AA&E strategic plan: Establish security business rules and risk mitigation actions on the basis of current threats.

The AIP will consist of the following four sections:

1. Section 1, *Initial AIP 2*, is provided within the *DoD Implementation Plan for the Distribution of AA&E*, on the following pages.

2. Section 2, *Status Snapshot*, will be created by the AIP office of primary responsibility (OPR) and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 1, *Initial AIP 2*.

3. Section 3, *Implementation Status Reports*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 2, *Status Snapshot*.

4. Section 4, *History of Status Snapshots*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 3, *Implementation Status Reports*.

The OPR will manage the master copy of this AIP notebook, create updates, and distribute pertinent information to key stakeholders.

Section 1, Initial AIP 2

The background, key stakeholders, implementation steps and timeline, potential issues related to the success of this AIP, cost considerations, and measures of progress and success for this AIP are provided below.

Background

Before scrutiny by agencies both inside and outside the DoD, shipments of AA&E within the continental United States (CONUS) were executed with little communication or significant concern. This was because historically there had been relatively few incidents experienced during the AA&E distribution process. The paradigm of commercial AA&E transport began to change in 1997 after the *Defense In-Transit Visibility Integration Plan* and the Government Accountability Office (GAO) raised concerns regarding safety and accountability of in-transit AA&E. Moreover, the events of September 11, 2001, heightened our awareness of potential vulnerabilities and brought renewed emphasis on the need to closely examine and strengthen the AA&E logistics chain irrespective of past incident rates.

DoD responded quickly to the terrorist attacks and GAO concerns with new policies and procedures for the commercial movement of AA&E. DoD reactions included closing commercial motor carrier terminals to minimize exposure of unmonitored AA&E, enhancing the Defense Transportation Tracking System (DTTS) to conduct more frequent monitoring and increasing oversight, and implementing policy changes related to in-transit sensitive materiel.

But DoD has only reviewed some segments of the CONUS security criteria and business rules associated with the transport of AA&E since 2001. The remaining segments include a comprehensive review of Security Risk Codes (SRC), which make up Security Risk Categories (CAT), as dictated by vulnerability and threat assessments. In addition, DoD must complete comprehensive risk assessments that span the entire AA&E life cycle, by all modes, and include personnel security from a corporate and government perspective. The requirements for outside CONUS (OCONUS) and theater assessments are addressed in AIP 7.

DoD assigns a Controlled Item Inventory Code (CIIC) to all sensitive commodities prior to fielding a commodity. The SRS is a sub-group of the CIIC. The military service responsible for a sensitive commodity periodically reviews the SRC for that commodity. These reviews are conducted in conjunction with the procedures outlined in DoD 5100.76M. This regulation provides a matrix with four risk factors for developing and validating each SRC: utility, casualty or damage effect, adaptability, and portability. Under current procedures, risk factors remain constant but the threat may be fluid. As a result, each commodity retains the same assigned SRC throughout its life cycle, even if risks associated with segments of the life cycle change. Although DoD 5100.76M procedures have served DoD well over the years, no formal review of the adequacy of this process has been conducted.

Thus far, a comprehensive risk assessment or vulnerability analysis of the DoD shipment life cycle has not been conducted, although the Defense Intelligence Agency published a threat assessment in 2003. A threat assessment is only part of a holistic risk assessment, which includes

Threat + Vulnerabilities + Criticality–Mitigating Measures = Risk.

Key Stakeholders

The following are among the key stakeholders for this effort:

- *OUSD(AT&L)* is the OPR for directing and coordinating all actions necessary to accomplish the specific actions contained in this AIP. For assets determined to be "critical to the mission," OASD(HD) leads assessments and will use the Full Spectrum Integrated Vulnerability Assessment (FSIVA) format.

- *OUSD(Policy)* incorporates recommendations regarding threats, risks, and vulnerabilities into revised policy guidance issued to the military services.

- *OUSD(Intelligence)* sets the policies on force protection requirements for AA&E.

- *The Defense Intelligence Agency (DIA)* issues threat assessments and provides military and military-related intelligence for policy development and planning that supports threat, risk, and vulnerability assessment activities.

- As DoD's distribution process owner, *USTRANSCOM* is responsible for coordinating with intelligence organizations, directing threat and transportation intelligence analysis, and disseminating that information in support of its mission activities and supported command mobility forces. USTRANSCOM also is responsible for coordinating force protection assistance with combatant commanders and multiple agencies, including the Defense Threat Reduction Agency, U.S. Coast Guard, and Department of Homeland Security. Together, these agencies incorporate security services into the DTR and publish rules for commercial carriers, including compliance with safety and security criteria.

- *Combatant commanders* are responsible for force protection and security within their respective geographic areas of responsibility.

- *ASD(NII)* provides expertise in information security, factoring in threat, risks, and vulnerabilities.

- *The military services* provide expertise in threat, risk, and vulnerability policies, automated systems information, and issues pertaining to their respective business processes and practices. The SMCA (i.e., the Army, specifically AMC and JMC) and the Joint Ordinance Commanders Group (JOCG) provide the distribution expertise for munitions and explosives, including SRC development and review.

- *DLA* provides distribution expertise to assist security personnel in conducting threat, risk, and vulnerability assessments pertaining to DLA logistics business processes, practices, and infrastructure.

- *DCMA* provides expertise in threat, risk, and vulnerability policies; automated systems information; and issues pertaining to contractor compliance and their respective business processes and procedures.

- *Defense Program Office for Mission Assurance (DPO-MA)*, under the direction of *OASD(HD),* performs the analysis to identify and analyze potential threats, risks, and vulnerabilities pertaining to all modes of transport within the AA&E distribution system.

Implementation Steps

The principal stakeholders and designated organizations will take the following steps to complete this effort:

1. *OUSD(AT&L)* will host the initial stakeholder kick-off meeting to announce the effort, timelines, and objectives and to prioritize modes of transport. The stakeholders will review actions taken following September 11, 2001, in terms of threat, risk, and vulnerability assessments (including information security) in the AA&E distribution system.

2. *USTRANSCOM* will determine the distribution channels, priorities, and criteria to be used and collect AA&E threat and risk analysis and vulnerability assessment (RA/VA) distribution system data for the channels. USTRANSCOM also will analyze threat and RA/VA data in comparison with current CONUS security measures and business rules and identify differences and prioritize change recommendations by mode. USTRANSCOM will participate in in-process review (IPRs) with the OUSD(AT&L) to discuss status and findings.

3. *OUSD(AT&L),* through the OSD logistics domain owner (Logistics Business Enterprise Architecture Program Office), will help identify business-sensitive information and its integration into the AA&E enterprise-to-enterprise (E2E) architecture.

4. *OUSD(AT&L)* will conduct a stakeholder conference to discuss findings and recommendations. The stakeholders will discuss changes and determine implementation responsibilities, timelines, and resource requirements. OUSD(AT&L) will assign to stakeholders the responsibility to develop revised security measures and business rules, as required.

5. *OUSD(AT&L)*, in conjunction with *OUSD(Intelligence)*, *OUSD(Policy)*, and *OASD(NII)*, will lead policy development and staff the revised security measures and business rules with stakeholders for concurrence. *DCMA* (or the services, if not turned over to DCMA for contract administration) is responsible for enforcing contractor compliance for that policy incorporated into FAR clauses.

6. *USTRANSCOM* and *DCMA* will monitor DoD and commercial industry compliance with revised security measures and business rules.

Table A-2-1 lays out the notional timeline of each implementation step.

Table A-2-1. Timetable for AIP 2

Step name	Responsible party	Start date	End date
Prepare and conduct kickoff meeting to review latest actions and assign responsibilities for threat assessments	OUSD(AT&L)	Jan 2005	Jan 2005
Collect CONUS-specific data	USTRANSCOM	Feb 2005	May 2005
Analyze threat and RA/VA data	USTRANSCOM	June 2005	Aug 2005
Conduct monthly IPRs with OSD logistics domain owner	OUSD(AT&L)	Feb 2005	Monthly
Convene stakeholder conference	OUSD(AT&L)	Sept 2005	Sept 2005
Staff revised security measures and business rules	OUSD(AT&L)	Oct 2005	Mar 2006
Monitor DoD and commercial industry compliance	USTRANSCOM	Apr 2006	Monthly

Issues

The following potential issues may affect the success of this effort:

- There may be limited funding, as well as a lack of available personnel with both the expertise and time to support this effort.

- This is an ongoing process that requires annual funding for assessments and policy document revisions.

Cost

The primary resource required for this AIP is manpower. The OPR, in coordination with the OCRs, should consider the following assumptions when determining their manpower and funding requirements.

- Manpower will be required to review existing security measures, collect data, conduct the assessment, and present findings. These activities will be conducted primarily by OUSD(AT&L) and USTRANSCOM. Funding may be required to offset the cost of the assessments and associated travel requirements.

- Manpower is required to revise policy that creates easily scalable security levels and accompanying processes. This activity will be conducted primarily by OUSD(Policy), OUSD(Intelligence), ASD(HD), and ASD(NII). In addition, the military services and DLA will be required to review and staff all resulting policy.

- There may be a need for subject matter experts to travel to the Washington, DC area or other locations for meetings.

Measures of Progress and Success

There are two categories of measures for this AIP:

- *Progress measures* highlight the success of implementing the initiative. Measures in this category focus on AIP actions and milestones.

- *Success measures* focus on what benefits the AA&E community and distribution chain will see once the AIP is carried out and the initiative is successfully completed. Measures in this category focus on improvements in safety, security, accountability and visibility, and effectiveness and efficiency.

Below are the progress and success measures for this AIP.

Progress Measures

Progress measures for this AIP include the following:

- Kickoff meeting conducted.

- Data collection plan developed.

- Initial data collection and threat and RA/VA assessments for the highest priority distribution channels by transportation mode completed.

- Stakeholder conference held to present and discuss assessment results and recommendations.

- Policy, security measures, and business rules revised based on threat, risk, and vulnerability assessments are implemented.

Success Measures

Success measures for this AIP include the following:

- DoD and commercial shipments of AA&E receive the same security while in transit based on threat conditions.

- Security requirements for categorized and uncategorized AA&E receive equal weight during the assessment process.

Annex 3—Action Implementation Plan 3

This is the third of 14 AIPs in the overall *Department of Defense Implementation Plan for the Distribution of Arms, Ammunition, and Explosives.* It addresses Actions 3.A and 3.B.

- *Action 3.A*—Define and map all stakeholders in the current AA&E distribution system and document their explicit roles, responsibilities, and authorities.

- *Action 3.B*—Create, cancel, or refine policies, instructions, manuals, and regulations to formalize the recommendations of Action 3.A.

This AIP supports Objective 3 of the DoD AA&E strategic plan: Clarify roles, responsibilities, and business rules across the entire spectrum of DoD AA&E logistics chain management.

The AIP will consist of the following four sections:

1. Section 1, *Initial AIP*, is provided within the *DoD Implementation Plan for the Distribution of AA&E* on the following pages.

2. Section 2, *Status Snapshot*, will be created by the AIP office of primary responsibility (OPR) and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 1, *Initial AIP 3*.

3. Section 3, *Implementation Status Reports*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 2, *Status Snapshot*.

4. Section 4, *History of Status Snapshots*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 3, *Implementation Status Reports*.

The OPR will manage the master copy of this AIP notebook, create updates, and distribute pertinent information to key stakeholders.

Section 1, Initial AIP 3

The background, key stakeholders, implementation steps and timeline, cost considerations, measures of progress and success, and potential issues related to the success of this AIP are presented below.

Background

The DoD AA&E logistics chain involves many stakeholders, each with a different focus. Some stakeholders focus on broad "knowledge" areas, such as safety and security which apply to the entire AA&E community. Other stakeholders focus on a specific functional process within the logistics chain, such as testing, acquisition, transportation, storage, and disposal. Safety, security, and operating efficiency comprise only several of the many factors that must be considered in the performance of their respective "functional" missions. Within each stakeholder group, guidance and policy may differ significantly, with the focus of one stakeholder not necessarily being consistent with other stakeholders or the logistics chain as a whole. For example, the AA&E transportation community is governed by the DTR. The AA&E storage community is governed by DOD 6055.9-STD (DDESB Standard). Policy expressed in the DTR requires drivers to seek safe haven at the nearest DoD facility in the event of an emergency. The DDESB standard provides explosives safety quantity-distance standards for secure holding areas that may or may not be conducive to satisfying the DTR safe haven requirements. Day-to-day conflicts arising out of inconsistent policy guidance must often be mediated and resolved by higher headquarters officials.

This segmented guidance and direction often leads to confusion and inconsistency concerning aspects of safety, security, accountability, and visibility, and may even result in direct conflict between organizations and procedures. Moreover, in many cases, the lack of overall coordination causes inefficiencies throughout the logistics chain and diminishes the AA&E community's ability to effectively meet warfighter needs.

This complexity not only applies to DoD, but the DoD relationship with manufacturers and maintenance contractors (vendors). Relationships, roles, and responsibilities are not always clearly defined. As a result, DoD does not always have control and visibility over DoD AA&E while in the possession of the vendors during RDT&E, contractor maintenance and upgrades, intra-station transportation, and demilitarization and disposal.

Key Stakeholders

The following are among the key stakeholders for this effort:

- *OUSD(AT&L)* is the Office of Primary Responsibility for directing and coordinating all actions necessary to accomplish the specific actions contained in this AIP. It also has oversight of the DDESB, Single Manager for Conventional Ammunition charter, Defense Federal Acquisition Regulation supplement, foreign military sales, and defense logistics and transportation policies.

- *OUSD(Policy)* incorporates recommendations into revised policy guidance issued to the military services and has oversight responsibility for Homeland Defense.

- *OUSD(Intelligence)* is responsible for Physical Security policy and is the proponent for DoD Manual 5100.76-M.

- *The military services* are responsible for managing their AA&E assets from acquisition to disposal to include compliance with all policies affecting the safe, secure, efficient, and effective distribution of AA&E. Additionally, under the Army's SMCA mission, PEO Ammo, AMC, and JMC provide joint munitions logistics services, including acquisition and distribution of munitions and explosives.

- *USTRANSCOM*, as the distribution process owner, is responsible for the distribution segment of the AA&E logistics chain. USTRANSCOM is also the proponent for the DTR.

- *DLA* is a customer and provider of AA&E logistics services including the disposal mission.

- *OUSD(Comptroller)* provides guidance and oversight of funding issues.

- *USNORTHCOM* executes DoD's homeland defense and civil support mission. This includes conducting operations to deter, prevent, and defeat threats and aggression aimed at the United States, its territories, and interests as well as supporting civilian authorities as approved by the Secretary of Defense.

- *Department of Homeland Security (DHS)* is responsible for developing national homeland security policy and coordinating inter-governmental efforts for ensuring homeland security.

Implementation Steps

The principal stakeholders and designated organizations will take the following steps to complete this effort:

1. *OUSD(AT&L)* will identify all major stakeholders involved with distribution of AA&E. Major stakeholders are defined as down to and including the MACOM level, and will include components of Joint Commands as appropriate (such as USTRANSCOM).

2. *OUSD(AT&L)* will compile a list of all documentary guidance that may contain policy or functional guidance related to AA&E distribution. Much of the guidance may cross-organizational or functional lines, and the key to this task will be capturing the various stakeholder authorities, roles, functions, and processes. Much of the guidance may only address the distribution of AA&E indirectly.

3. *OUSD(AT&L)* will determine a method of representing the information and relationships within the documents identified. This effort will require the development of a mapping layout that can be used to support analysis and comparison of stakeholders, roles, functions, and processes in each document. Layout development may be an iterative process as information is gathered during document review.

4. *OUSD(AT&L)* will develop an overarching layout overview, mapping documents and stakeholders to functions. Reviewers will capture the functional "content" of each document in the layout.

5. *OUSD(AT&L)* will review individual document analysis and overall layout to determine if there are overlaps, duplications, conflicts, or gaps in stakeholder responsibilities or functional guidance affecting AA&E distribution.

6. *OUSD(AT&L)* will provide recommendations for resolution of all overlaps, duplications, conflicts, and gaps, identifying changes to organizational taskings and policy to create or refine.

7. *OUSD(AT&L)* will prioritize recommendations based on urgency and dependencies with other recommendations.

8. *OUSD(AT&L)* will draft and staff proposed changes, and publish updated guidance.

Table A-3-1 lays out the notional timeline of each implementation step.

Table A-3-1. Timetable for AIP 3

Step name	Responsible party	Start date	End date
Identify all major stakeholders	OUSD(AT&L)	Dec 2004	Dec 2004
Capture list of documentary guidance	OUSD(AT&L)	Dec 2005	Jan 2005
Design mapping layout	OUSD(AT&L)	Jan 2005	Mar 2005
Analyze and map documents and stakeholders	OUSD(AT&L)	Feb 2005	Mar 2005
Identify overlaps, duplications, conflicts, and gaps among documents and stakeholders	OUSD(AT&L)	Mar 2005	Apr 2005
Provide recommendations to resolve issues identified	OUSD(AT&L)	Apr 2005	May 2005
Prioritize recommendations	OUSD(AT&L)	May 2005	Jun 2005
Draft and staff proposed changes	OUSD(AT&L)	Jun 2005	Feb 2006

Issues

The following potential issues may affect the success of this effort:

- Compiling the list of stakeholders and their relevant policy and guidance documents will be time consuming and labor-intense; however, the completion of this action is critical to the timing and success of many, if not all, of the other actions identified in the AA&E strategic plan and detailed in this implementation plan.

- The large number of stakeholders, and their multiple perspectives on AA&E distribution chain segments, will complicate the ability to visually represent the many touch points and link them to applicable policy and guidance documents.

- Once the cataloguing process is complete, addressing and resolving issues between parties may require collaborative efforts, possibly through a series of working groups that possess specific subject matter expertise.

- Unresolved differences may require policy decisions and directive actions of OSD, the Joint Staff, or service headquarters.

- The process of staffing recommended actions and changes will require points of contact from within the major activities, responsible for obtaining multi-functional coordination within their headquarters. It may be difficult to locate personnel with both the expertise and time to support this effort.

Cost

The primary resource required for this AIP is manpower. There may be additional costs for training. The OPR, in coordination with the OCRs, should consider the following assumptions in determining their manpower and funding requirements.

- Manpower will be required for an initial document review, cataloging of information to the layout map, analysis of the information, and development of recommendations. An assessment should be made to quantify the number and complexity of recommended changes.

- The SPSWG may wish to consider creating a training course, if significant changes are made to the organizational structure for AA&E and accompanying guidance. The course would be developed in conjunction with AIP 13. The new course would leverage the research and analysis of this action and provide students with a quick overview of the AA&E logistics chain, its stakeholders, their roles, and the supporting guidance. The cost of the training will depend on the length of training, the number of target students, and the delivery method.

- There may be a need for travel to the Washington, DC area or other locations for meetings in support of this AIP.

Measures of Progress and Success

There are two categories of measures for this AIP:

- *Progress measures* highlight the success of implementing the initiative. Measures in this category focus on AIP actions and milestones.

- *Success measures* focus on what benefits the AA&E community and distribution chain will see when the AIP is carried out and the initiative successfully completed. Measures in this category focus on improvements in safety, security, accountability and visibility, and effectiveness and efficiency.

Following are the progress and success measures for this AIP.

Progress Measures

Progress measures for this AIP include the following:

- Document search completed.

- Documents and stakeholders mapped to AA&E logistics chain functions.

- Conflicts, gaps, and redundancies in organizational roles and policies identified and documented.

- Recommendations for organizational responsibility changes (or refinements) and policy changes completed and delivered.

- Organizational and policy changes prioritized.

- Organizational and policy changes staffed and draft changes proposed.

- Changes approved and implemented, with updated guidance published.

Success Measures

Success measures for this AIP include following:

- Control and visibility over DoD AA&E not only in the DoD pipeline, but also while in the possession of manufacturers and maintenance contractors.

- Reduction and simplification of policy and guidance documents.

- DoD personnel and vendor compliance with policy.

- Consolidation of distribution of AA&E responsibilities (as appropriate).

- Clearly delineated roles, responsibilities, and authorities for all organizations down to and including the major command level.

Annex 4—Action Implementation Plan 4

This is the fourth of 14 AIPs in the overall *Department of Defense Implementation Plan for the Distribution of Arms, Ammunition, and Explosives.* It addresses Action 4.A: Establish a forum or interagency working group to provide a comprehensive mechanism for interagency information exchange and collaborative readiness planning for AA&E distribution and other hazardous material security management and surveillance between key components (such as the services, JMC, USTRANSCOM, USNORTHCOM, OASD[HD], OUSD[I], Department of Homeland Security [DHS], and the Department of Transportation [DOT]).

This AIP supports Objective 2 of the DoD AA&E strategic plan: Improve collaboration and information exchange among all AA&E stakeholders.

The AIP will consist of the following four sections:

1. Section 1, *Initial AIP*, is provided within the *DoD Implementation Plan for the Distribution of AA&E* on the following pages.

2. Section 2, *Status Snapshot*, will be created by the AIP office of primary responsibility (OPR) and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 1, *Initial AIP 4.*

3. Section 3, *Implementation Status Reports*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 2, *Status Snapshot*.

4. Section 4, *History of Status Snapshots*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 3, *Implementation Status Reports*.

The office of primary responsibility (OPR) will manage the master copy of this AIP notebook, create updates, and distribute pertinent information to key stakeholders.

Section 1, Initial AIP 4

The background, key stakeholders, implementation steps and timeline, cost considerations, measures of progress and success, and potential issues related to the success of this AIP are presented below.

Background

Since September 11, 2001, there has been increased attention on the movement and visibility of dangerous commodities both within the United States and across its borders. Considerable changes have occurred in roles and responsibilities for oversight of homeland security and home-land defense within the United States.

Although AA&E is a subset of high visibility movements that potentially affect homeland secu-rity and public safety, the DoD's AA&E community brings certain knowledge and capabilities that could be useful. The DoD AA&E community can take measures to support and complement the homeland security mission. Similarly, the DoD AA&E distribution community can benefit from the exchange of information and tools available to the new homeland security and defense stakeholders. For example, an isolated incident involving sensitive AA&E could be linked to a broader plot to harm the U.S. population or other national interests.

Having the ability to quickly share intelligence with key stakeholders through established com-munication procedures could help mitigate potential serious incidents or consequences. It could also provide critical time to secure high-value target movements, before they can be compromised. Improved interagency communications could also lead to joint participation in exercises; development of mutual emergency response plans; the sharing of complementary technologies; and the leveraging of information, expertise, and capabilities that reside within each stakeholder organization.

Key Stakeholders

The following are among the key stakeholders for this effort:

- *OUSD(Policy)* is the OPR for directing and coordinating all actions necessary to accom-plish the specific actions contained in this AIP. The OUSD (Policy) (specifically, OASD[HD]) is the principal interface to Department of Homeland Security.

- *OUSD(AT&L)* oversees the acquisition and logistics functions within the DoD AA&E community. OUSD(AT&L) is also the lead for the DCIP logistics sector.

- *OUSD(Intelligence)* is responsible for physical security policy and advises on the most effective means to accomplish the exchange of intelligence across stakeholders.

- *The military services* are subject matter experts for munitions management and are re-sponsible for the management and oversight of their assets.

- *DCMA* ensures contractor compliance with established policy and regulations.

- *USTRANSCOM* is the distribution process owner.

- *USNORTHCOM* is responsible for homeland defense to include preparation for, prevention of, deterrence of, preemption of, defense against, and response to threats and aggression directed toward U.S. territory, sovereignty, domestic population, and infrastructure; *USNORTHCOM* is also is responsible for crisis management, consequence management, and other domestic civil support.

- *OASD(HD)* is the OUSD(Policy) focal point for the protection of U.S. sovereignty, territory, domestic population, and critical defense infrastructure against external threats and aggression.

- *DHS* is the national focal point for policy oversight for the prevention and deterrence of terrorist attacks and for efforts to protect the nation's homeland against internal and external threats and hazards.

- *DOT* ensures safe and efficient transportation regulations and systems are in place. DOT also oversees the safety of the motor carrier industry.

Implementation Steps

The principal stakeholders and designated organizations will take the following steps to complete this effort:

1. *OUSD(Policy)*, specifically *OASD(HD)*, will determine whether an existing or emerging forum or working group can address this action. If so, OASD(HD) will coordinate with that group to facilitate expanding their charter to address this action. If not, OASD(HD) will issue a memorandum to DoD stakeholders and letters to DHS and DOT announcing the establishment of an ad hoc committee within the DCIP logistics sector to specifically address AA&E issues. At a minimum, members should include representatives from the offices identified as key stakeholders.

2. Once convened, the *representatives* from the ad hoc *AA&E committee* will brief their respective roles in support of DHS, DOT, and DoD as they relate to managing potential risks of high visibility hazardous materials moving in the United States. This should include current procedures for notification and consequence management of accidents or incidents involving AA&E and other hazardous materials.

3. The ad hoc *AA&E committee* will develop a charter that includes its mission, authority, membership, organization, responsibilities, and duration of the group.

4. *The AA&E committee* will meet quarterly to address issues and potential areas for coordination.

   a. *The AA&E committee* will assign *subject matter experts* to develop a concept of operations (CONOPS) that defines what information will be exchanged, under what circumstances, and provides points of contact.

   b. *The AA&E committee* will also determine joint planning and exercise opportunities and explore technology-sharing opportunities.

5. As the CONOPS is developed and finalized, *the AA&E committee* will coordinate policy changes, additions to new requirements, or relationships established.

Table A-4-1 lays out the notional timeline of each implementation step.

Table A-4-1. Timetable for AIP 4

Step name	Responsible party	Start date	End date
Issue memorandum to establish AA&E committee	OASD (HD)	Feb 2005	Feb 2005
Convene initial committee meeting to brief members on roles	AA&E committee	Mar 2005	Mar 2005
Develop committee charter	AA&E committee	Mar 2005	Apr 2005
Hold quarterly meetings	AA&E committee	May 2005	Quarterly
Develop CONOPS	AA&E committee	Feb 2005	Jan 2006
Staff policy changes required to reflect CONOPS results	AA&E committee	Sept 2005	Jan 2006

Issues

The following potential issues may affect the success of this effort:

- There already are a number of interfaces and liaison relationships between the national homeland security and defense stakeholders. It is critical that this committee leverage those existing interfaces to ensure there is no duplication of effort and communication.

- It may be difficult to find personnel with both the expertise and time to support this effort.

Cost

The primary resource required for this AIP is manpower. There may be additional costs for contractor support and travel. The OPR, in coordination with the OCRs, should consider the following assumptions in determining their manpower and funding requirements.

- The AA&E committee, if no group exists, will be chartered for a minimum of 9 months and convene each month until the AIP is complete.

- The committee members will need to review current roles and missions, procedures, and capabilities.

- Committee members must invest several hours per week to complete this task, with several designated stakeholders providing additional time for conducting research, preparing briefings, developing a CONOPS, and drafting agreements.

- Each stakeholder organization will contribute at least one representative to the committee.

- There may be a need to contract for subject matter experts to support this effort if in-house resources are not available.

- There may be a need for subject matter experts to travel to the Washington, DC area for meetings. Costs will be estimated after an initial assessment is made.

Measures of Progress and Success

There are two categories of measures for this AIP:

- *Progress measures* highlight the success of implementing the initiative. Measures in this category focus on AIP actions and milestones.

- *Success measures* focus on what benefits the AA&E community and distribution chain will see when the AIP is carried out and the initiative successfully completed. Measures in this category focus on improvements in safety, security, accountability and visibility, and effectiveness and efficiency.

Below are the progress and success measures for this AIP.

Progress Measures

Progress measures for this AIP include the following:

- Memorandum establishing the ad hoc AA&E committee within the DCIP logistics sector issued.

- Committee members identified by each stakeholder.

- Initial committee session convened, with initial briefs on member roles.

- Committee charter developed.

- Coordination areas identified and CONOPS teams established.

- Quarterly committee meetings held.

Success Measures

Success measures for this AIP include the following:

- Number and percentage of CONOPS completed, documents modified, staffed, approved, and published.

- Measures in place within the DoD AA&E community to support and complement the homeland security mission.

- Exchange of information and tools between Homeland Security and DoD.

- Ability to quickly share such intelligence and decrease potential serious incidents.

- Joint participation in exercises, development of mutual emergency response plans, the sharing of complementary technologies, and the leveraging of information, expertise, and capabilities that reside within a stakeholder organization.

Annex 5—Action Implementation Plan 5

This is the fifth of 14 AIPs in the overall *Department of Defense Implementation Plan for the Distribution of Arms, Ammunition, and Explosives.* It addresses Action 4.B: Review the current CONUS process of notifying management, investigative and incident assistance activities to determine if there are opportunities for streamlining the process to achieve a more timely and effective mode of operation.

This AIP supports Objective 4 of the DoD AA&E strategic plan: Improve collaboration and information exchange among all AA&E stakeholders.

The AIP will consist of the following four sections:

1. Section 1, *Initial AIP*, is provided within the *DoD Implementation Plan for the Distribution of AA&E* on the following pages.

2. Section 2, *Status Snapshot*, will be created by the AIP office of primary responsibility (OPR) and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 1, *Initial AIP 5*.

3. Section 3, *Implementation Status Reports*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 2, *Status Snapshot*.

4. Section 4, *History of Status Snapshots*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 3, *Implementation Status Reports*.

The office of primary responsibility (OPR) will manage the master copy of this AIP notebook, create updates, and distribute pertinent information to key stakeholders.

Section 1, Initial AIP 5

The background, key stakeholders, implementation steps and timeline, cost considerations, and measures of progress and success, and potential issues related to the success of this AIP are presented below.

Background

The responsibility for tracking AA&E shipments via satellite and identifying in-transit emergencies rests with the Defense Transportation Tracking System (DTTS) Program Management Office (PMO). DTTS is a satellite-based movement tracking and emergency alert capability that has been operating 24 hours a day, 7 days a week since June 1986. The current DTTS AA&E emergency notification and response procedures only address shipments moving via motor, barge, and towboat within North America. Accidents and incidents involving movements of AA&E by commercial rail, air, water (other than tug/barge), and movements via DoD-owned (organic) assets are not subject to DTTS oversight or emergency response notification capabilities.

DTTS established strict emergency notification procedures and measurement criteria for recording notification time. During FY2004, DTTS reported 109 validated emergency alerts.[1] This compares to a total of 56,933 AA&E shipments tracked by DTTS during the same time frame. The average police notification time for those 109 emergencies was 6 minutes; the DoD notification time was 13 minutes. These times illustrate the effectiveness of the current DTTS procedures; however, AA&E incident notification procedures may require modification to include an immediate call to the nearest explosive ordnance disposal (EOD) team by DTTS or the Army Operations Center (AOC).

DTTS currently places a call to the AOC, which contacts U.S. Forces Command (FORSCOM), which in turn contacts the 52nd Ordnance Group, which ultimately contacts the nearest EOD team. This series of calls and potential delayed EOD response could extend public exposure to a hazardous situation. The current EOD response time goal is to arrive at the scene of an incident within 4 hours of notification. Performance metrics are not available to determine whether this goal is being achieved.

A revised emergency response notification process should also include other modes of AA&E transport and alerts provided to newly formed organizations, such as USNORTHCOM and OASD(HD), in the event of an incident. Criteria will need to be established in conjunction with the intelligence and force protection communities to determine which incidents warrant elevation to these national authorities.

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[1] A munitions emergency is defined at Appendix D. For DTTS activation purposes, the *Surface Deployment and Distribution Command Freight Traffic Rules Publication*, No. 1C, 4 January 2004, defines an emergency as any "situation" associated with in-transit DoD AA&E or other sensitive materiel that endangers the materiel, the general public, or the transporting carrier's personnel, equipment, or facilities, or threatens national security due to loss of ordnance-related high technology. The broad term "incident" includes accidents, fire, hijacking, theft, civil disturbance, equipment failure, labor strikes, natural disasters, and a threatened or real attack.

Key Stakeholders

The following are among the key stakeholders for this effort:

- *OUSD(AT&L)* is the office of primary responsibility for directing and coordinating all actions necessary to accomplish the specific actions contained in this AIP.

- *The military services* own and issue AA&E according to their respective business processes and practices. This includes providing explosive ordnance disposal (EOD) expertise and emergency response support.

- *DLA* is responsible for disposing demilitarized AA&E and mitigates transportation incidents involving non-AA&E hazardous material.

- *DCMA* ensures contractor compliance with policy and regulations.

- *USTRANSCOM* is the distribution process owner and issues regulations applying to the safe and secure movement of DoD AA&E and other hazardous material.

- *USNORTHCOM* advises on joint military information requirements and serves as lead for joint planning and exercises involving AA&E and other high-interest hazardous material.

- *OASD(HD)* is the primary DoD interface with the Department of Homeland Security and evaluates major accidents or suspicious incidents for terrorist involvement from a national perspective.

- *DDESB* provides objective advice to the Secretary of Defense and service secretaries on matters concerning explosives safety (including development, manufacture, testing, maintenance, demilitarization, handling, transportation, and storage). The DDESB mission is to prevent conditions that are hazardous to life and property on and off DoD installations from explosives and environmental effects of DoD titled munitions.

- *Army Operations Center* is the DoD central point of contact for emergency response to transportation incidents involving AA&E and represents Army as the lead military service responsible for dispatch of continental United States (CONUS) EOD personnel under Army directive AR385-14.

- *DTTS PMO* monitors the movement of commercial motor, barge, and towboat AA&E shipments via satellite tracking.

Implementation Steps

The principal stakeholders and designated organizations will take the following steps to complete this effort:

1. *OUSD(AT&L)* will host the initial kickoff meeting to announce the effort, timelines, and objectives.

2. *OUSD(AT&L)* will gather current emergency policies, procedures, and organizations involved.

3. *OUSD(AT&L)*will identify organizational, operational, and technical inefficiencies.

4. *OUSD(AT&L)* will prepare and prioritize change recommendations where appropriate.

5. *OUSD(AT&L)* will conduct a Stakeholder Conference to present recommendations for discussion.

6. *OUSD(AT&L)* will formally staff revised emergency response procedures, including memoranda of understanding (MOUs) as appropriate.

7. *OUSD(AT&L)* will monitor compliance with directives and have emergency response data that is collected by DTTS forwarded quarterly to *OUSD(AT&L)* for review.

Table A-5-1 lays out the notional timeline of each implementation step.

Table A-5-1. Timetable for AIP 5

Step name	Responsible party	Start date	End date
Conduct initial kickoff meeting	OUSD(AT&L)	Sept 2004	Sept 2004
Gather current documentation on emergency response policies, procedures, and organizations	OUSD(AT&L)	Sept 2004	Sept 2004
Identify organizational, operational, and technical inefficiencies	OUSD(AT&L)	Oct 2004	Oct 2004
Prepare and prioritize change recommendations	OUSD(AT&L)	Nov 2004	Dec 2004
Convene stakeholder conference to present findings and solicit feedback	OUSD(AT&L)	Jan 2005	Jan 2005
Present final report to OSD	OUSD(AT&L)	Jan 2005	Jan 2005
OSD approve report for stakeholder implementation	OUSD(AT&L)	Feb 2005	Feb 2005
Implement revised emergency response procedures	OUSD(AT&L)	Feb 2005	July 2005
Conduct quarterly compliance review	OUSD(AT&L)	May 2005	Quarterly

Issues

The following potential issues may affect the success of this effort:

- DTTS tracking and emergency response notification currently covers only the commercial AA&E motor carrier, barge, and towboat industry. Any review of the current procedures should include a look at the potential expansion of emergency response notification procedures to other modes of transportation and select highly hazardous commodities.

- Several organizations currently have in-transit AA&E and other hazardous material safety and security responsibilities as part of their mission. Centrally managing the emergency response function may require negotiations and the development of MOUs among organizations.

Cost

The primary resource required for this AIP is manpower. The OPR, in coordination with the offices of collateral responsibility (OCRs), should consider the following assumptions when determining their manpower and funding requirements.

- Manpower is required for initial data gathering and mapping of emergency response procedures and the formulation of any recommendations.

- Costs will be incurred to staff and revise policies, and for potential technology and training requirements.

- There may be a need for travel to the Washington, DC area or other locations for meetings in support of this AIP.

Measures of Progress and Success

There are two categories of measures for this AIP:

- *Progress measures* highlight the success of implementing the initiative. Measures in this category focus on AIP actions and milestones.

- *Success measures* focus on what benefits the AA&E community and distribution chain will see when the AIP is carried out and the initiative successfully completed. Measures in this category focus on improvements in safety, security, accountability and visibility, and effectiveness and efficiency.

Below are the progress and success measures for this AIP.

Progress Measures

Progress measures for this AIP include the following:

- Initial kickoff meeting held.

- Organizations involved in emergency response identified and interviewed.

- Emergency policies and procedures gathered.

- Operational, organizational, and technical change recommendations formulated and presented to emergency response stakeholders.

- Revisions of policies, regulations, MOUs, and procedures formally staffed.

Success Measures

Success measures for this AIP include the following:

- Monthly emergency response notification statistics monitored for *all* modes of transport (such as those captured by DTTS for surface motor shipments).

- Improved notification and on-scene response times by local EOD and DoD personnel in actual emergency situations and Joint Service exercises.

Annex 6—Action Implementation Plan 6

This is the sixth of 14 AIPs in the overall *Department of Defense Implementation Plan for the Distribution of Arms, Ammunition, and Explosives*. It addresses Action 4.C: Using the interagency forum established by Action 4.A, coordinate a national position and implementing rules or legislation that should be implemented with respect to the purchase, domestic storage, and global distribution of sensitive AA&E items purchased and distributed by U.S. commercial entities and foreign governments when no U.S. federal agency or department is a party to the transaction.

This AIP supports Objective 4 of the DoD AA&E strategic plan: Improve collaboration and information exchange among all AA&E stakeholders.

The AIP will consist of the following four sections:

1. Section 1, *Initial AIP*, is provided within the *DoD Implementation Plan for the Distribution of AA&E* on the following pages.

2. Section 2, *Status Snapshot*, will be created by the AIP office of primary responsibility (OPR) and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 1, *Initial AIP 6*.

3. Section 3, *Implementation Status Reports*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 2, *Status Snapshot*.

4. Section 4, *History of Status Snapshots*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 3, *Implementation Status Reports*.

The office of primary responsibility (OPR) will manage the master copy of this AIP notebook, create updates, and distribute pertinent information to key stakeholders.

Section 1, Initial AIP 6

Below are the background, key stakeholders, implementation steps and timeline, potential issues related to the success of this AIP, cost considerations, and measures of progress and success.

Background

Military AA&E and other high target hazardous materials are often produced, modified, stored, and moved under commercial ownership and control as

- part of the foreign military sales (FMS) program,

- moving between contractor facilities for testing or modification purposes, or

- until they enter the DoD inventory at the first military receiving point under "free on-board (FOB) destination" contract carriage terms.

During these times, ownership of the materiel remains with the contractor (or foreign freight forwarder for FMS materiel).

Additional study is required to assess the differences between commercial and DoD security procedures, while distributing the same commodities and to determine how to ensure consistency while in the distribution system.

- The International Trade in Arms Regulations (ITAR), Security Assistance Management Manual (DoD Manual 5105.38), and acquisition statutes and regulations govern the handling and distribution of military commodities purely under the control of commercial entities for FMS and contractor distribution of materiel before DoD assumes ownership.

- DoD federal acquisition regulations and contract clauses generally stipulate that commercial contractors comply with the same security requirements that apply to the materiel when under DoD control. This includes the same tracking and security requirements. Safety compliance is regulated under Parts 40 and 49 of the Code of Federal Regulations and applies equally to government and commercial entities.

Key Stakeholders

The following are among the key stakeholders for this effort:

- *OUSD(AT&L)* is the OPR[1] for directing and coordinating all actions necessary to accomplish the specific actions contained in this AIP. OUSD(AT&L) oversees the acquisition policies and regulations and logistics functions, including actions within the DoD AA&E community.

- *OUSD(Policy)* has oversight of the FMS Program through the Defense Security Cooperation Agency (DSCA) and is the proponent for regulations governing FMS movements of AA&E.

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[1] The *DoD Strategic Plan for the Distribution of AA&E* identifies OASD(HD) as the OPR for this action. After consideration of the scope of this action, OUSD(AT&L) and OASD(HD) jointly agreed that AT&L would serve as the OPR for this action in close coordination with HD.

- *OASD(Homeland Defense)* serves as the principal interface to the Department of Homeland Security.

- *OUSD(Intelligence)* advises on the most effective means to accomplish the exchange of intelligence across stakeholders.

- *USTRANSCOM* is the distribution process owner and responsible for commercial carrier compliance of DoD safety and security requirements. USTRANSCOM issues the DTR and carrier rules publications, which stipulates these requirements.

- *USNORTHCOM* advises on joint military information requirements and serves as lead for joint planning and exercises involving AA&E and other high-interest hazardous material.

- *The military services* are subject matter experts for munitions management and maintenance oversight of their AA&E assets.

- *DCMA* provides expertise in contract management and ensures contractor compliance with safety and security policy changes, implementation, and compliance.

- *The Department of Homeland Security* has mission responsibility for preventing and deterring terrorist attacks and protecting the nation's homeland against internal and external threats and hazards.

- *Department of Transportation* (DOT) ensures safe and efficient transportation regulations and systems are in place. DOT also oversees the safety of motor carrier industry.

- *The Department of State* addresses issues relating to foreign governments and host nation agreements.

Implementation Steps

The principal stakeholders and designated organizations will take the following steps to complete this effort:

1. The ad hoc *AA&E committee* (established in AIP 4 or other previously existing designated group) within the DCIP logistics sector, will identify agencies and organizations that play a role in establishing or enforcing the handling of hazardous materials at contractor facilities before officially entering the foreign military sales (FMS) system or before acceptance into the DoD inventory.

2. With the agencies and organizations identified, *the AA&E committee* will gather all pertinent policies, guidance, regulations, and other documents.

3. *The AA&E committee* will review the current documentation and evaluate the adequacy of the current procedures and organizational involvement.

4. *The AA&E committee* will recommend changes to policies, guidance, and procedures to ensure safety and security criteria are applied consistently across all segment of the logistics chain—whether under the direct control of DoD or its contractors—including FMS. In addition, the AA&E committee will assess whether new roles or missions should be

assigned or realigned based on the new relationships established via the Interagency Forum Concept of Operations (CONOPs) (established in AIP 4).

5. *The AA&E committee* will assign stakeholder representatives responsible for the affected policy area to draft and coordinate required changes to policies, regulations, or legislation to correct the issue.

Table A-6-1 lays out the notional timeline of each implementation step.

Table A-6-1. Timetable for AIP 6

Step name	Responsible party	Start date	End date
Identify agencies and organizations with roles in commercial hazardous material handling	OUSD(AT&L)	Jan 2006	Jan 2006
Gather documents	AA&E committee	Jan 2006	Feb 2006
Evaluate adequacy of current procedures and organizational involvement	AA&E committee	Feb 2006	Apr 2006
Recommend changes to policies, guidance, and procedures	AA&E committee	Apr 2006	May 2006
Draft and coordinate changes to policies, regulations, or legislation	AA&E committee	May 2006	Sep 2006

Issues

There is a potential issue that may affect the success of this effort: It may be difficult to find personnel with both the expertise and time to support this effort.

Cost

The primary resource required for this AIP is manpower. There may be additional costs for contractor support and travel. The OPR, in coordination with the OCRs, should consider the following assumptions in determining their manpower and funding requirements.

- *AA&E committee* members will need to review current roles and missions, policies and statutory provisions affecting the scope of this AIP.

- *AA&E committee* members will invest several hours per week to complete this task with several designated stakeholders providing additional time for conducting research, preparing briefings, and drafting alternative policies, agreements, or legislative changes.

- Each stakeholder organization listed above will contribute at least one representative to the *AA&E committee*.

- There may be a need to contract for *subject matter experts* to support this effort if in-house resources are not available.

- There may be a need for *subject matter experts* to travel to the Washington, DC area or other locations for meetings.

Measures of Progress and Success

There are two categories of measures for this AIP:

- *Progress measures* highlight the success of implementing the initiative. Measures in this category focus on AIP actions and milestones.

- *Success measures* focus on what benefits the AA&E community and distribution chain will see when the AIP is carried out and the initiative successfully completed. Measures in this category focus on improvements in safety, security, accountability and visibility, and effectiveness and efficiency.

Below are the progress and success measures for this AIP.

Progress Measures

Progress measures for this AIP include the following:

- Agencies and organizations that play a role in establishing or enforcing the handling of hazardous materials identified.

- All pertinent policies, guidance, regulations, and other documents gathered.

- Current documentation reviewed and evaluated.

- Changes to policies, guidance, and procedures recommended.

- Stakeholder representatives assigned to draft and coordinate required changes to policies, regulations, or legislation to correct the issue.

- Policies, regulations, or legislation updated and accepted.

Success Measures

Success measures for this AIP include the following:

- Consistency between commercial and DoD security procedures for commodities that are distributed on behalf of the U.S. government.

- Increased safety and security across all segments of the logistics chain, both commercial and DoD.

- Fewer incidents reflecting increased compliance by DoD and commercial entities.

- Necessary legislation or policy changes are introduced to ensure consistent private and government compliance with security requirements intended to protect the public.

Annex 7—Action Implementation Plan 7

This is the seventh of 14 AIPs in the overall *Department of Defense Implementation Plan for the Distribution of Arms, Ammunition, and Explosives.* It addresses Actions 5.A, 5.B, and 5.C.

- *Action 5.A*—Document the current AA&E policies, procedures (including emergency response procedures), and unique circumstances that may affect AA&E movements in each combatant commander's theater of operation. Identify voids and recommend areas for improvement.

- *Action 5.B*—Compare combatant command and CONUS roles, responsibilities, and procedures with respect to AA&E management, accountability, and visibility. Justify the unique differences in each command or recommend where standard processes should be used.

- *Action 5.C*—Create or refine policies, instructions, manuals, and regulations to formalize the recommendations of Action 5.B.

This AIP supports Objective 5 of the DoD AA&E Strategic Plan: Assess the OCONUS segments of the AA&E logistics chain.

The AIP will consist of the following four sections:

1. Section 1, *Initial AIP*, is provided within the *DoD Implementation Plan for the Distribution of AA&E* on the following pages.

2. Section 2, *Status Snapshot*, will be created by the AIP office of primary responsibility (OPR) and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 1, *Initial AIP 7*.

3. Section 3, *Implementation Status Reports*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 2, *Status Snapshot*.

4. Section 4, *History of Status Snapshots*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 3, *Implementation Status Reports*.

The OPR will manage the master copy of this AIP notebook, create updates, and distribute pertinent information to key stakeholders.

Section 1, Initial AIP 7

The background, key stakeholders, implementation steps and timeline, cost considerations, measures of progress and success, and potential issues related to the success of this AIP are presented below.

Background

The DoD AA&E logistics chain comprises commercial and internal DoD (organic) capabilities, assets and infrastructure, business processes and technologies. The AA&E strategic plan did not address the specific in-theater movement of AA&E; however, it is the theater combatant commander's responsibility to implement AA&E safety and security measures. These security measures must be commensurate with the combatant commander's mission, threat, and risk that exist within his assigned geographic area of responsibility.[1]

Overseas theaters of operation present unique and diverse challenges in distributing AA&E. Under-developed theaters usually lack the infrastructure and technology to track movements of AA&E. International laws and host nation agreements may dictate requirements and procedures substantially different than the criteria mandated within the continental United States (CONUS). Moreover, threat and force protection conditions may differ from those in CONUS and other theaters of operation.

DoD policies and regulations acknowledge that diverse conditions and individual host country laws may dictate variations in the security criteria applied outside CONUS (OCONUS). As such, policies and regulations give theater commanders some discretion as they apply the security criteria directed in DoD 5100.76-M. During the development of the AA&E strategic distribution plan, the need was identified to independently assess the threat, risks, policies, procedures, and doctrinal responsibilities for distributing AA&E within each theater of operation. Although DoD does not believe there is a "one-size-fits-all" set of policies that can be applied within the United States and to all theaters, each theater should consider lessons learned and be aware of available tools that are working in CONUS or other theaters of operation. DoD can examine the underlying reasons why a theater may deviate from a baseline set of business rules to ensure the safety and security of AA&E within their specific area of operation.

This AIP encompasses the requisite safety, security, and accountability provisions dictated by national, international, state, and local laws and regulations; host nation agreements; and DoD policies. It includes a risk and vulnerability assessment of each combatant command's AA&E supply chain; DoD-mandated AA&E regulations and policies; the applicable host country's environment and policies; theater combatant commands' and military service component commands' AA&E policies; and business processes governing ordering, receipt, issue, storage, and transportation—from point of origin to final destination.

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[1] DoD Manual 5100.76M, *Physical Security of Sensitive Conventional Arms, Ammunition, and Explosives* (currently under revision).

Key Stakeholders

The following are among the key stakeholders for this effort:

- *The Joint Staff* is the OPR for directing and coordinating all actions with the respective combatant commanders necessary to accomplish the specific actions in this AIP.

- *OUSD(AT&L)* oversees logistics functions and policies and coordinates all actions within the DoD AA&E community.

- *OUSD(Policy)* provides policy guidance within their mission responsibilities affecting the Military Services, combatant commanders and U.S. allies.

- *OUSD(Intelligence)* advises on the most effective means to accomplish the exchange of intelligence across stakeholders.

- *USTRANSCOM* is the distribution process owner and supporting combatant commander.

- *Combatant commanders* are responsible for ensuring safety and security compliance within their respective theaters and provide policies and guidance and enter into support agreements with respect to the distribution of AA&E pertaining to their theaters.

- *The military services* provide AA&E to support deployed forces and combatant commanders.

- *DLA* provides distribution support to combatant commanders and deployed forces.

- *The Defense Intelligence Agency* (DIA) provides military and military-related intelligence for policy development and planning that supports threat, risk, and vulnerability assessment activities within each theater of operation. Each combatant commander should coordinate with DIA to augment DIA knowledge with theater specifics in the conduct of assessments of theater processes and infrastructure for the distribution of AA&E.

- *The Department of State* addresses issues relating to foreign governments and host nation agreements.

Implementation Steps

The principal stakeholders and designated organizations will take the following steps to complete this effort:

1. *The Joint Staff* will determine which theaters already had a threat, risk and vulnerability analysis that included DoD supply chain distribution operations. *The Joint Staff* will order an analysis for theaters that have not yet had the appropriate analysis.

2. *The Joint Staff* will host the initial kick-off meeting to announce the effort, timelines, and objectives and prioritize target theaters (if necessary). *The Joint Staff* will provide participants, including the COCOMs, with the data collection plan and task them to begin work on their respective theaters.

3. *USTRANSCOM*, in coordination with each COCOM, will collect theater specific AA&E distribution data.

4. *USTRANSCOM*, in coordination with the *Joint Staff and combatant commander*, will analyze theater practices, policies, and risk analysis and vulnerability assessment (RA/VA) data in comparison to CONUS business rules. *USTRANSCOM*, in coordination with the *Joint Staff*, will identify differences and coordinate with theater representatives to clarify the reasons for differences.

5. *The Joint Staff* will prepare change recommendations where appropriate.

6. *The Joint Staff* will conduct an in-process review (IPR) on a theater-by-theater basis to review and discuss changes and determine implementation responsibilities, time lines, and consider resource requirements.

7. *The Joint Staff*, *USTRANSCOM*, and *OUSD(AT&L)* will create or refine policies, instructions, regulations and manuals, as appropriate, to formalize the recommendations and incorporate IPR feedback.

Table A-7-1 lays out the notional timeline of each implementation step.

Table A-7-1. Timetable for AIP 7

Step name	Responsible party	Start date	End date
Identify existing theater threat, risk, and vulnerability assessments	Joint Staff	Mar 2005	Mar 2005
Initiate analysis of theaters with outdated assessments	Joint Staff	Mar 2005	Apr 2005
Hold kick-off meeting with combatant commands	Joint Staff	May 2005	May 2005
Collect theater-specific AA&E distribution data	USTRANSCOM and combatant commands	Apr 2005	Jun 2005
Analyze theater practices, policies, and RA/VA data	USTRANSCOM	Jun 2005	Aug 2005
Identify differences with CONUS practices and assess justifications	USTRANSCOM	Sep 2005	Sep 2005
Recommend changes by theater	Joint Staff	Oct 2005	Oct 2005
Present finding to each combatant command in a series of IPRs	Joint Staff	Nov 2005	Nov 2005
Create or refine policies, instructions, manuals, and regulations to formalize the recommendations	Joint Staff	Dec 2005	Nov 2006

Issues

Following are potential issues that may affect the success of this effort:

- A critical component to the success of this action is the participation and cooperation of each area of operation (AOR).

- The availability of completed threat, risk, and vulnerability assessments for each AOR may be limited. AORs may have completed assessments, but the assessments may not have specifically addressed distribution, may not be releasable for this study, or may not be accurate given the current AOR environment.

- It may be difficult to create these assessments due to shifting circumstances. For example, a complete examination of the CENTCOM AOR may be delayed in light of the current civil unrest, nation building workload, and the heightened operational activity of U.S. forces in the region. While not preferable, this task can continue to proceed without these assessments. However, recommendations may address risk reduction without regard to the threat, vulnerability, and risk reduction in areas of operation that may be most vulnerable.

- It may be difficult to find personnel with both the expertise and time to support this effort.

Cost

The primary resource required for this AIP is manpower. There may be additional costs for contractor support and travel. The OPR, in coordination with the OCRs, should consider the following assumptions in determining their manpower and funding requirements.

- Manpower is required to document the current AA&E policies and procedures of each area of operation, noting the unique circumstances that may impact AA&E.

- Manpower is required to compare combatant command and CONUS roles, responsibilities, and procedures, and to identify where unique differences are justified in each command.

- Resources are required to create or refine policies, instructions, manuals, and regulations.

- Funding may be required to offset the cost of the vulnerability and risk assessments and associated travel requirements, if assessments have not been conducted in each combatant command AOR.

- Travel may be required to attend meetings and conduct research in support this AIP.

Measures of Progress and Success

There are two categories of measures for this AIP:

- *Progress measures* highlight the success of implementing the initiative. Measures in this category focus on AIP actions and milestones.

- *Success measures* focus on what benefits the AA&E community and distribution chain will see when the AIP is carried out and the initiative successfully completed. Measures in this category focus on improvements in safety, security, accountability and visibility, and effectiveness and efficiency.

Below are the progress and success measures for this AIP.

Progress Measures

Progress measures for this AIP include the following:

- Existing threat, risk, and vulnerability analyses obtained and adequacy of the analyses evaluated for each area of operation. Analysis ordered for theaters without current assessments.

- Data collection plan created.

- Initial kick-off meeting conducted.

- Theater-specific AA&E distribution data collected.

- Current practices analyzed, with differences identified.

- Change recommendations prepared.

- Theater-by-theater IPR conducted.

- Policies, instructions, manual, and regulations modified and staffed.

Success Measures

Success measures for this AIP include the following:

- Degree of global standardization of policies and procedures—If the policies, procedures, and associated risk for CONUS distribution of AA&E are prudent and acceptable, the variations from the CONUS processes and policies should be known and the total number of deviations should be no more than required to accommodate unique host country laws and risk environments. When completed, every exception to the desired global methods for doing AA&E business should be documented and approved by the OUSD(AT&L).

- Threat, risk, and vulnerability analysis—The amount of estimated risk reduction achieved as a result of identifying risk and implementing risk mitigation measures as a result of those measures. Unfortunately, a finding of "0 risk" resulting from an RA/VA is not possible. However, there are quantitative probability estimates that can be made on the potential of an adverse safety or security incident occurring due to a known vulnerability. Mitigating measures can then be taken to lower the risk level by trading a measure's expected effectiveness against the investment costs. In other words, the decision to implement a given mitigating measure is reduced to a matter of cost-benefit risk analysis, in terms of what the DoD may stand to lose if not implemented, compared to the cost of implementing the measure.

- Improved safety and security as theaters consider lessons learned from counterparts.

- Decreased numbers of incidents.

- Decreased number of lost assets.

Annex 8—Action Implementation Plan 8

This is the eighth of 14 AIPs in the overall *Department of Defense Implementation Plan for the Distribution of Arms, Ammunition, and Explosives*. It addresses Action 6.A: The OSD logistics domain owner and logistics systems portfolio manager will designate the AA&E business area a priority for review for compliance with the DoD Business Enterprise Architecture and to expedite steps (portfolio management activities) required to identify legacy system brown-out dates and to follow though with early transition to the ultimate AA&E AIS solution.[1]

This AIP supports Objective 6 of the DoD AA&E Strategic Plan: Transform DoD's AA&E management, business processes, and technology investments from an individual segment view to an end-to-end logistics chain view.

The AIP will consist of the following four sections:

1. Section 1, *Initial AIP*, is provided within the *DoD Implementation Plan for the Distribution of AA&E* on the following pages.

2. Section 2, *Status Snapshot*, will be created by the AIP office of primary responsibility (OPR) and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 1, *Initial AIP 8*.

3. Section 3, *Implementation Status Reports*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 2, *Status Snapshot*.

4. Section 4, *History of Status Snapshots*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 3, *Implementation Status Reports*.

The office of primary responsibility (OPR) will manage the master copy of this AIP notebook, create updates, and distribute pertinent information to key stakeholders.

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[1] Subsequent to the release of the *DoD Strategic Plan for the Distribution of AA&E*, the OSD Logistics Domain Owner designated USTRANSCOM as the portfolio manager for distribution systems. USTRANSCOM designated AA&E systems for priority review to develop a "use case" and baseline for the ultimate development of the distribution system enterprise architecture.

Section 1, Initial AIP 8

Below are the background, key stakeholders, implementation steps and timeline, potential issues related to the success of this AIP, cost considerations, and measures of progress and success.

Background

The efforts of multiple stakeholders managing and optimizing individual segments of the AA&E distribution system have resulted in independently developed business processes and narrow, single-point technology solutions. These independent initiatives have led to redundancies, conflicts, gaps, and interoperability issues. A frequent result is incomplete, inaccurate, and untimely data that negatively affect visibility, accountability, efficiency, and, potentially, safety and security. In addition, there is no formal mechanism for creating and sharing information. Sharing information could create a more agile, knowledgeable AA&E community.

The DoD has embarked on an overall DoD enterprise architecture development project. As part of this project, the DUSD(L&MR) Logistics Systems Modernization Office is charged with overseeing the development of a Logistics Business Enterprise Architecture. Although the AA&E systems initially were not targeted as a specific priority for review, the events following September 2001 and the sensitive nature of AA&E as a potential terrorist target justify these systems being given priority status under the Logistics Business Systems Enterprise Architecture initiative.[2]

There are more than 20 primary and numerous secondary automated systems involved with at least one aspect of the AA&E supply chain. In some cases, there are multiple military service systems designed to perform a common function, but only for each service's interest, such as inventory management or transportation management. The objective of this effort is to move from an independent military service view of the AA&E supply chain to a more holistic, DoD-wide global view. To better integrate the segments of the AA&E logistics chain, all stakeholders must collaborate to transform DoD's AA&E management, business processes, and technology investments from an individual segment view to an end-to-end logistics chain view. The designation of USTRANSCOM as the portfolio manager for distribution systems recognizes the importance of approaching this issue from an end-to-end distribution perspective. USTRANSCOM, in conjunction with Joint Munitions Command (JMC) and other AA&E stakeholders, has mapped the Class V (munitions) business processes with an objective to reengineer the end-to-end Class V distribution process. This action complements and is a logical extension to this previous work.

Early decisions on migration and legacy systems—including use of commercial off-the-shelf (COTS) systems, data standardization, and interoperability—will facilitate improved end-to-end distribution of AA&E and result in enhanced system-wide internal controls for strengthening safety and security of AA&E. A review should consider the need for system backups or a continuity of operations plan (COOP), particularly for ensuring continuous AA&E tracking and emergency response capabilities.

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[2] Ibid.

Key Stakeholders

The following are among the key stakeholders for this effort:

- *OUSD(AT&L)* is the Office of Primary Responsibility for directing and coordinating all actions necessary to accomplish the specific actions contained in this AIP.

- *USTRANSCOM* as the distribution process owner, portfolio manager for distribution systems, and OPR for this AIP. AA&E systems are a significant subset of the host of systems that comprise the distribution and logistics domain. A priority review of AA&E systems will serve as a baseline for USTRANSCOM as it develops the distribution system enterprise architecture. USTRANSCOM will perform key actions and coordination throughout all AIP implementation steps as they apply to the portfolio management of distribution systems.

- *The military services* conduct AA&E acquisition and supply chain implementation and manage their AA&E assets from acquisition to disposal. In addition, under the Army's SMCA mission, AMC and JMC provide joint munitions logistics services.

- *DLA* performs supply chain implementation including disposal of materiel, including demilitarized AA&E.

- *DCMA* provides contract administration support to the services, as required, for the distribution of AA&E.

- *The Joint Munitions Command* serves as the wholesale supply and distribution managers under the DoD SMCA executive agency designation, including demilitarization of munitions.

- *Combatant commands*[3] oversee and manage AA&E within their areas of operation; they use AA&E distribution and asset visibility information.

Implementation Steps

The principal stakeholders and designated organizations will take the following steps to complete this effort:

1. *USTRANSCOM* will oversee the AA&E architecture effort in conjunction with its distribution system portfolio manager responsibilities. USTRANSCOM will host a meeting with the stakeholders to determine how the AA&E enterprise-to-enterprise (E2E) architecture should fit within the context of the overall DoD and distribution system enterprise architecture initiatives.

2. *USTRANSCOM*, as required, will identify and acquire E2E architecture methodology expertise for assistance throughout this task.

3. *USTRANSCOM* will conduct frequent IPRs throughout the project to assure progress and assist in the smooth integration of the AA&E E2E architecture into the overall DoD Enterprise Architecture.

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[3] USNORTHCOM does not oversee and manage AA&E within CONUS. This mission resides with the military services, their components, and other key stakeholders as identified herein.

4. Assuming the DoD methodology is some form of a "capabilities based" enterprise architecture approach, *USTRANSCOM*, in coordination with the *OCRs* will document the

    a. current and future functional architecture,

    b. current and future automated systems architecture, and

    c. current and future technical architecture.

5. *USTRANSCOM* will facilitate a stakeholder conference to present each of the above products to the AA&E stakeholders.

6. Based on the input received from the conference, *USTRANSCOM* will adjust the three architectures as needed.

7. *USTRANSCOM* will formally staff the three products for final comments.

8. *USTRANSCOM* will incorporate the final E2E AA&E architecture products into the overall DoD Distribution Enterprise Architecture.

9. *OUSD(AT&L)* will monitor compliance with directives and taskings applicable to the AA&E and distribution architecture. Such directives may include freezes on investment of current systems, participation in new objective systems development, and participation in enterprise architecture product evaluations among other responsibilities.

Table A-8-1 lays out the notional timeline of each implementation step.

Table A-8-1. Timetable for AIP 8

Step name	Responsible party	Start date	End date
Meet with stakeholders	USTRANSCOM	Dec 2004	Dec 2004
Identify and acquire E2E architecture methodology expertise, as required	USTRANSCOM	Dec 2004	Jan 2005
Conduct monthly IPRs	USTRANSCOM	Jan 2005	Monthly
Document the current and future functional architecture—leveraging work already completed	USTRANSCOM	Jan 2005	May 2005
Document the current and future automated systems architecture—leveraging work already completed	USTRANSCOM	June 2005	Aug 2005
Document the current and future technical architecture—leveraging work already completed	USTRANSCOM	Sept 2005	Oct 2005
Convene stakeholder conference to present architectures and obtain feedback	USTRANSCOM	Nov 2005	Nov 2005
Adjust architecture if needed	USTRANSCOM	Nov 2005	Nov 2005
Formally staff the architectures for final comments and approval	USTRANSCOM	Nov 2005	Dec 2005
Incorporate the final AA&E architecture into the distribution enterprise architecture	USTRANSCOM	Dec 2005	Dec 2005
Monitor compliance	OUSD(AT&L)	Nov 2005	Quarterly

Issues

The following potential issues may affect the success of this effort:

- The planning horizon and time tables for the DoD Logistics Business Enterprise Architecture development may be difficult to synchronize with the DoD AA&E architecture development.

- Funding for system improvements, standardization and interoperability may be an issue and could drive the pace of development of the architecture.

Cost

The primary resource required for this AIP is manpower. There may be additional costs for contractor support and travel. The OPR, in coordination with the OCRs, should consider the following assumptions when determining manpower and funding requirements for this AIP.

- Manpower will be required to oversee and develop the E2E AA&E enterprise architecture.

- DoD SMEs and contractor support will likely be required to assess, develop, and document current systems and the future E2E AA&E enterprise architecture.

- There may be a need for subject matter experts to travel to the Washington, DC area or other locations for meetings.

- There may be costs associated with transitioning from legacy systems to the ultimate AA&E enterprise architecture solution. Identifying and funding these costs will be accomplished in accordance with DoD Business Enterprise Architecture (BEA) guidance.

Measures of Progress and Success

There are two categories of measures for this AIP:

- *Progress measures* highlight the success of implementing the initiative. Measures in this category focus on AIP actions and milestones.

- *Success measures* focus on what benefits the AA&E community and distribution chain will see when the AIP is carried out and the initiative successfully completed. Measures in this category focus on improvements in safety, security, accountability and visibility, and effectiveness and efficiency.

Following are the progress and success measures for this AIP.

Progress Measures

Progress measures for this AIP include the following:

- The three E2E architectures completed on schedule.

- "To be" architecture coordinated with stakeholders on schedule.

- The final AA&E E2E architecture presented and accepted on schedule.

Success Measures

Success measures for this AIP include the following:

- Achievement of an AA&E E2E architecture and completion of DoD-directed transformation actions according to the overall schedule identified by the Logistics Systems Modernization Office.

- A shared resource in which AA&E supply chain participants can view all AA&E asset, management, and operational information across DoD through one common architecture.

- Reduction in AA&E automated system development and maintenance cost across the entire DoD supply chain.

Annex 9—Action Implementation Plan 9

This is the ninth of 14 AIPs in the overall *Department of Defense Implementation Plan for the Distribution of Arms, Ammunition, and Explosives*. It addresses Actions 6.B and 6.C.

- *Action 6.B*—Identify and pursue innovative distribution alternatives or initiatives that effectively balance public exposure considerations with minimizing materiel handling and avoiding routing predictability, while ensuring warfighter time-definite delivery requirements for AA&E are satisfied. Also explore new tracking, sensing, and intrusion detection technologies and techniques to further enhance the AA&E end-to-end distribution process worldwide based on the threat, associated risks, and vulnerability assessments.

- *Action 6.C*—Enhance current business processes and modify or replace DoD systems[1] to focus on process flows across organizational boundaries, rather than niche solutions.

This AIP supports Objective 6 of the DoD AA&E Strategic Plan: Transform DoD's AA&E management, business processes and technology investments from an individual segment view to an end-to-end logistics chain view.

The AIP will consist of the following four sections:

1. Section 1, *Initial AIP*, is provided within the *DoD Implementation Plan for the Distribution of AA&E* on the following pages.

2. Section 2, *Status Snapshot*, will be created by the AIP office of primary responsibility (OPR) and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 1, *Initial AIP 9*.

3. Section 3, *Implementation Status Reports*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 2, *Status Snapshot*.

4. Section 4, *History of Status Snapshots*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 3, *Implementation Status Reports*.

The OPR will manage the master copy of this AIP notebook, create updates, and distribute pertinent information to key stakeholders.

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[1] This action focuses primarily on enhancing existing distribution business processes. Actual identification and replacement of systems that support the business processes will be addressed as part of USTRANSCOM's portfolio management responsibility under AIP 8.

Section 1, Initial AIP 9

The background, key stakeholders, implementation steps and timeline, cost considerations, measures of progress and success, and potential issues related to the success of this AIP are presented below.

Background

The efforts of multiple stakeholders managing and optimizing individual segments of the AA&E distribution system have resulted in independently developed business processes and narrow, single-point technology solutions. These independent initiatives have led to differing business processes and data elements. This niche focus has resulted in not only data gaps and interoperability issues, but also isolation within the AA&E community and lack of overarching discussion and pursuit of innovative ideas and technologies to be applied throughout the AA&E logistics chain. The objective of this effort is to establish a mechanism for discussing innovative business procedures and technologies, and for fostering collaboration among the services to create more holistic, process-flow-oriented solutions to be used by multiple organizations and services, rather than isolated single-function point solutions that sub-optimize the overall logistics chain.

Key Stakeholders

The following are among the key stakeholders for this effort:

- *OUSD(AT&L)* is the office of primary responsibility for directing and coordinating all actions necessary to accomplish the specific actions contained in this AIP.

- *USTRANSCOM*, as the distribution process owner, has been designated as the portfolio manager for distribution systems, including AA&E. USTRANSCOM will have a central role in this AIP and perform key actions and coordination throughout all AIP implementation steps.

- *The military services* are major shippers and customers, conduct AA&E acquisition and supply chain implementation, and provide oversight of their AA&E assets throughout the distribution process. The Secretary of the Army is designated the DoD's SMCA.

- *DLA* is a shipper of hazardous material and some AA&E in support of the military services.

- *DCMA* provides contract administration support for the military services, as required, to include ensuring contractor compliance with policy and regulations.

- *PEO-Ammunition Army* (PEO-AMMO) is the SMCA executor with mission responsibility for life-cycle acquisition management of designated service ammunition.

- *The Joint Munitions Command* (JMC) serves as the primary Army field operating activity responsible for wholesale supply and distribution managers under the DoD SMCA executive agency designation.

- *Defense Transportation Tracking System* (DTTS), which will become part of SDDC in FY2005, monitors via satellite the movement of commercial motor, barge, and towboat AA&E shipments and initiates emergency response to AA&E incidents.

- *Combatant commands* provide AA&E management and oversight within their respective AORs.

Implementation Steps

The principal stakeholders and designated organizations will take the following steps to complete this effort:

1. *OUSD(AT&L)* will determine if existing organizations or groups are in position to best lead this action (or major components of the action) and, if determined suitable, will assign the organizations or groups implementation responsibility for this action. If not, OUSD(AT&L) will issue to the key AA&E stakeholders a memorandum that establishes an *AA&E Process and Technology Transformation Working Group* and assign a lead organization to chair the group. Whether implementation for each action is led by an existing organization or group, or a new working group, a mix of acquisition, logistics, munitions, and transportation personnel must be involved in order to properly address the diverse and complex nature of the specific actions contained in this AIP.

2. *Stakeholders* will appoint members to the *AA&E Process and Technology Transformation Working Group*.

3. Members of the *working group* will expand or develop a new charter that includes their mission, authority, membership, organization and sub-groups, responsibilities, and duration of the group. This will be a long-term, ongoing working group.

4. *The working group* will develop an approach for identifying new business processes and technologies to investigate and coordinate their actions with USTRANSCOM in support of AIP 8 AA&E and distribution system portfolio management activities.

5. *The working group* will coordinate their approach with AA&E stakeholder principals to gain their approval.

6. *The working group* will meet at least quarterly to discuss new technologies, processes, methodologies, etc. and to assign actions. During each meeting, current investigations will be updated and new investigations will be tasked. As investigations are completed and recommendations are made, the working group will generate an investigative report for distribution to the AA&E community.

7. *The working group* should discuss and recommend when policy and public laws, federal hazardous material transport regulations, and pertinent DoD AA&E supply chain directives and instructions should be reviewed for change, based on the results of their investigations into new technologies and business processes.

Table A-9-1 lays out the notional timeline of each implementation step.

Table A-9-1. Timetable for AIP 9

Step name	Responsible party	Start date	End date
Issue memorandum designating or establishing an AA&E process and technology transformation working group	OUSD(AT&L)	Jan 2005	Jan 2005
Appoint stakeholder members to the working group	Stakeholders	Feb 2005	Feb 2005
Hold first working group meeting	Working group	Mar 2005	Mar 2005
Formulate working group charter	Working group	Mar 2005	Mar 2005
Formulate working group approach to identify and investigate new processes and technologies	Working group	Apr 2005	May 2005
Approve approach	Stakeholders	June 2005	June 2005
Hold quarterly working group meetings	Working group	June 2005	Quarterly

Issues

The following potential issues may affect the success of this effort:

- The right mix of knowledgeable people should be assembled to address AA&E distribution transformation. This includes military service and agency representation as well as personnel from AA&E distribution related areas of expertise (e.g., depot operations, item management, quality assurance, transportation, supply, and security). People well-versed in transportation security, both functionally and technologically, must also be included.

- New technology should be based on a combination of opportunity costs and risk aversion. The application of new safety and security technologies may bring increased distribution costs, while new streamlined operational systems may provide long-term benefits.

Cost

The primary resource required for this AIP is manpower. There may be additional costs for travel. The OPR, in coordination with the offices of collateral responsibility (OCRs), should consider the following assumptions in determining their manpower and funding requirements.

- Manpower will be required for researching, testing, developing, and implementing new distribution initiatives and technologies.

- There may be a need to contract for subject matter experts to support this effort, if in-house resources are not available.

- There may be costs associated with exploring and testing new distribution alternatives and sensing/tracking technologies and techniques.

- Subject matter experts may need to travel to the Washington, DC area or other locations for meetings.

Measures of Progress and Success

There are two categories of measures for this AIP:

- *Progress measures* highlight the success of implementing the initiative. Measures in this category focus on AIP actions and milestones.

- *Success measures* focus on what benefits the AA&E community and distribution chain will see when the AIP is carried out and the initiative successfully completed. Measures in this category focus on improvements in safety, security, accountability and visibility, and effectiveness and efficiency.

Below are the progress and success measures for this AIP.

Progress Measures

Progress measures for this AIP include the following:

- AA&E Process and Technology Transformation Working Group initiated by the OUSD(AT&L).

- Working group staffed.

- First working group meeting.

- Working group charter developed and approved.

- Approach for identifying and investigating new business processes and technologies formulated, documented, and approved.

- Quarterly working group meetings held.

Success Measures

Success measures for this AIP include the following:

- Number of investigative reports generated by the working group.

- Adoption rate of investigative reports recommendations by AA&E stakeholders.

- A formal mechanism established to share AA&E information.

- A more agile and knowledgeable AA&E community.

- Reduced redundancies, conflicts, gaps, and interoperability issues.

- Improved visibility, accountability, efficiency, safety, and security.

Annex 10—Action Implementation Plan 10

This is the tenth of 14 AIPs in the overall *Department of Defense Implementation Plan for the Distribution of Arms, Ammunition, and Explosives.* It addresses Action 6.D: Establish a process and lead agent to coordinate and leverage the various AA&E-related research, development, test, and evaluation (RDT&E) efforts underway at any given time (both pre- and post-acquisition of AA&E) within the department that affects the AA&E logistics chain.

This AIP supports Objective 6 of the DoD AA&E Strategic Plan: Transform DoD's AA&E management, business processes and technology investments from an individual segment view to an end-to-end logistics chain view.

The AIP will consist of the following four sections:

1. Section 1, *Initial AIP*, is provided within the *DoD Implementation Plan for the Distribution of AA&E* on the following pages.

2. Section 2, *Status Snapshot*, will be created by the AIP office of primary responsibility (OPR) and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 1, *Initial AIP 10*.

3. Section 3, *Implementation Status Reports*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 2, *Status Snapshot*.

4. Section 4, *History of Status Snapshots*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 3, *Implementation Status Reports*.

The OPR will manage the master copy of this AIP notebook, create updates, and distribute pertinent information to key stakeholders.

Section 1, Initial AIP 10

The background, key stakeholders, implementation steps and timeline, cost considerations, and measures of progress and success, and potential issues related to the success of this AIP are presented below.

Background

Research, development, testing, and evaluation (RDT&E) of AA&E items and items related to the identification, storage, handling, tracking, and distribution of AA&E is both formal and informal within the DoD. Each military service has organizations that manage RDT&E of AA&E end items; however, many services and DoD agencies are involved with informal testing and prototyping new and emerging technologies related to some aspect of the logistics chain for AA&E and other commodities. Testing and prototype efforts tend to focus on optimizing specific segments of the logistics chain rather than the pipeline as a whole. For example, RDT&E efforts do not always account for unique logistics issues posed by materiel characteristics (such as size, weight, transportability, storage, packaging, special handling, tracking, or other logistics-related factors) that may affect the safe, secure, efficient, or effective distribution of AA&E from the factory to the end user.

Innovative solutions and their subsequent design are not always leveraged within the AA&E community either. Similar technology developments may be underway in multiple organizations without any sharing of design ideas or common part considerations. As a result, the limited RDT&E funds may not be used efficiently and the end-items may be more expensive to produce and maintain.

This AIP will establish a process and lead agent to coordinate and leverage the various AA&E-related RDT&E efforts underway at any given time (both pre- and post-acquisition of AA&E) within the department. The focus of this initiative is on emerging technology efforts that may offer the potential for improving the design, handling, storage, accountability, visibility, and distribution of AA&E.

Key Stakeholders

The following are among the key stakeholders for this effort:

- *OUSD (AT&L)* is the office of primary responsibility for directing and coordinating all actions necessary to accomplish the actions contained in this AIP.

- *The military services* conduct AA&E RDT&E, acquisition and supply chain implementation. The services generally exercise their RDT&E mission for AA&E through their respective materiel command.

- *PEO–Ammunition* Army (PEO-AMMO) is the SMCA executor with mission responsibility for life-cycle acquisition management of designated service ammunition.

- *The Joint Munitions Command (JMC)* serves as the primary Army field operating activity responsible for wholesale supply and distribution managers under the DoD SMCA executive agency designation.

- *USTRANSCOM* is the distribution process owner.

- *DLA* performs supply chain implementation and ships some AA&E on behalf of the military services.

- *DCMA* provides any required contract administration support for the military services, including ensuring contractor compliance with policy and regulations.

Implementation Steps

The principal stakeholders and designated organizations will take the following steps to complete this effort:

1. *OUSD(AT&L)* will develop a set of criteria to select the best organization to serve as the single focal point. The single focal point will coordinate RDT&E initiatives to apply emerging technology throughout the in AA&E distribution process.

2. *OUSD(AT&L)* will conduct research to identify the potential agencies that appear to be a good match based on the criteria developed in Step 1.

3. *OUSD(AT&L)* will evaluate each of the potential candidates and recommend one to perform the RDT&E single focal point mission.

4. *OUSD(AT&L)* will convene an RDT&E stakeholder conference to review and obtain feedback on the evaluation and recommended focal point.

5. *OUSD(AT&L)* will develop business rules for how the single focal point will perform its mission and how other DoD activities will interact with the single focal point. Policy, regulatory changes, or modification to public law may be considered when developing these rules.

6. *The single focal point* will determine the best method of cataloguing and sharing information about ongoing emerging-technology RDT&E initiatives. This may be via the AA&E Knowledge Management Portal (Annex 11).

7. *The single focal point* will populate the shared communication resource (once available) with all ongoing emerging-technology RDT&E distribution projects.

8. *The single focal point* will operate and maintain currency in the shared communication resource.

Table A-10-1 lays out the notional timeline of each implementation step.

Table A-10-1. Timetable for AIP 10

Step name	Responsible party	Start date	End date
Develop criteria to select RDT&E single focal point organization	OUSD(AT&L)	Mar 2005	Mar 2005
Identify potential activities and organizations	OUSD(AT&L)	Apr 2005	Apr 2005
Evaluate potential activities/organizations using developed criteria	OUSD(AT&L)	May 2005	May 2005
Conduct RDT&E stakeholder conference to present recommendations and obtain feedback	OUSD(AT&L)	June 2005	June 2005
Develop business rules for single focal point performance and interaction with RDT&E stakeholders	OUSD(AT&L)	June 2005	Aug 2005
Determine the best method for sharing information on RDT&E initiatives	Single focal point	Sept 2005	Oct 2005
Populate shared communication resource with RDT&E initiative information	Single focal point	Mar 2006	Mar 2006
Operate and maintain currency of RDT&E information	Single focal point	Apr 2006	Ongoing

Issues

The following potential issues may affect the success of this effort:

- It may be difficult and time-consuming to identify all of the stakeholders currently involved in RDT&E and persuade them of the need to centrally manage their efforts.

- To fully exploit this initiative, a common resource for sharing information needs to be accessible to DoD AA&E logistics chain participants. Consequently, the successful completion of AIP 11 and the Knowledge Management Portal will be critical to the continuing success of this action and its ongoing information sharing requirements.

Cost

The primary resource required for this AIP is manpower. The OPR, in coordination with the offices of collateral responsibility (OCRs), should consider the following assumptions when determining their manpower and funding requirements.

- Manpower will be required to set up the RDT&E focal point and for focal point coordination activities. Costs will also be incurred in exploring and adopting a mechanism to share information across the RDT&E community on emerging and ongoing initiatives.

- There may also be costs for obtaining automated tools to assist the focal point in monitoring evolving technologies and disseminating information across the RDT&E community.

Measures of Progress and Success

There are two categories of measures for this AIP:

- *Progress measures* highlight the success of implementing the initiative. Measures in this category focus on AIP actions and milestones.

- *Success measures* focus on what benefits the AA&E community and distribution chain will see when the AIP is carried out and the initiative successfully completed. Measures in this category focus on improvements in safety, security, accountability and visibility, and effectiveness and efficiency.

Below are the progress and success measures for this AIP.

Progress Measures

Progress measures for this AIP include the following:

- RDT&E single focal point evaluation criteria developed.

- List of potential organizations and activities developed.

- Evaluation of potential candidates completed, including recommendation.

- RDT&E stakeholder conference convened.

- Business rules developed and documented.

- Best method of sharing information identified.

- RDT&E information populated onto common communication resource.

Success Measures

Success measures for this AIP include the following:

- Reduction of duplicative projects with the same objective—Because DoD does not have a baseline of the number of ongoing or duplicative projects from which to measure, this project can only be measured in a qualitative framework.

- Enhanced project and lessons learned sharing—This can be measured by the percentage of growth (or decline) in visitors to the shared resource center and the growth in the number of distribution technology projects that contained in the shared resource.

- Better use of limited RDT&E funds.

Annex 11—Action Implementation Plan 11

This is the eleventh of 14 AIPs in the overall *Department of Defense Implementation Plan for the Distribution of Arms, Ammunition, and Explosives.* It addresses Action 6.E: Develop an online AA&E Knowledge Management Portal to achieve a "virtual AA&E one book."

This AIP supports Objective 6 of the DoD AA&E Strategic Plan: Transform DoD's AA&E management, business processes and technology investments from an individual segment view to an end-to-end logistics chain view.

The AIP will consist of the following four sections:

1. Section 1, *Initial AIP*, is provided within the *DoD Implementation Plan for the Distribution of AA&E* on the following pages.

2. Section 2, *Status Snapshot*, will be created by the AIP office of primary responsibility (OPR) and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 1, *Initial AIP 11*.

3. Section 3, *Implementation Status Reports*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 2, *Status Snapshot*.

4. Section 4, *History of Status Snapshots*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 3, *Implementation Status Reports*.

The OPR will manage the master copy of this AIP notebook, create updates, and distribute pertinent information to key stakeholders.

Section 1, Initial AIP 11

The background, key stakeholders, implementation steps and timeline, cost considerations, measures of progress and success, and potential issues related to the success of this AIP are presented below.

Background

Many organizations play a role in the distribution of AA&E and most of these organizations have published policies, instructions, manuals, regulations, and other material designed to inform the community of rules, procedures, best practices, and lessons learned. Unfortunately, much of this information is scattered throughout the DoD and can be difficult to locate, limiting its effectiveness. In addition, while there are a few formal and informal groups in place that service the AA&E "community," these groups typically focus on isolated AA&E issues, providing no single community access point where AA&E community members can connect to seek advice and share ideas.

Knowledge management (KM) has been an emerging trend in both public and private sector organizations for the past decade. KM is a systemic process of connecting people to each other and to the information they need to effectively act.[1] Organizations are realizing that it isn't sufficient to simply gather information, if it cannot be effectively shared. They are embarking on knowledge retention and management strategies. These strategies focus on preventing the loss of technical and organizational information through technology, mentor programs, and fostering communities of practice for members with similar interests, knowledge needs, and job functions.

The DoD AA&E community, with its numerous members and vast information pool, is an ideal candidate for a KM initiative.

Key Stakeholders

The identification of operational requirements and availability of existing KM Portal capabilities are critical first steps. The design and initial implementation of the KM Portal requires both technical and functional experts to determine AA&E schema, identify critical information, and determine a KM update process. Key stakeholders have been chosen based on their roles in publishing large amounts of relevant material for the portal.

The following are among the key stakeholders for this effort:

- *OUSD(AT&L)* is the Office of Primary Responsibility for directing and coordinating all actions necessary to accomplish the specific actions contained in this AIP. Oversees the KM initiative.

- *OUSD(Policy)* incorporates recommendations into revised policy guidance issued to the military services.

- *OUSD(Intelligence)* advises on the most effective means to accomplish the exchange of intelligence across the stakeholders.

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[1] *Capturing Critical Knowledge from a Shifting Workforce*, American Productivity & Quality Center, 2003.

- *The military services* are major shippers, customers, and providers of AA&E logistics services including issuing service implementing regulations and related guidance.

- *USTRANSCOM* is the distribution process owner. USTRANSCOM publishes and coordinates safety and security rules concerning the distribution and transportation of AA&E.

- *DLA* performs supply chain implementation and ships some AA&E on behalf of the military services.

- *DCMA* provides contract administration support for the military services, as required, to include ensuring contractor compliance with policy and regulations.

- *DDESB* governs all safety rules pertaining to AA&E and provides input concerning the KM schema design.

- *Joint Ordnance Commander's Group (JOCG)* is an advisory group of senior service and DLA munitions commanders who meet on a regular basis to influence and shape policy and oversee joint munitions initiatives and address common issues spanning the spectrum of life cycle munitions management.

- *Joint Munitions Command (JMC)* serves as supply and distribution managers under the DoD Single Manager for Conventional Munitions Executive Agency designation and is responsible for the distribution chain for designated munitions. The JMC's Defense Ammunition Center (DAC) publishes a wide array of AA&E information and provides training that should be made available via the KM Portal. Similar capabilities exist within the other services for their managed munitions that should be leveraged and made available at the KM Portal.

Implementation Steps

The principal stakeholders and designated organizations will take the following steps to complete this effort:

1. *OUSD(AT&L)* will identify existing groups to potentially act as the AA&E KM Board.

2. *OUSD(AT&L)* will evaluate existing groups and, if determined suitable to serve as the KM Board, will issue a policy memorandum formalizing the group's KM roles and responsibilities.

3. In the event a suitable group cannot be identified, *OUSD(AT&L)* will create an AA&E Knowledge Management Board, including key representatives from the AA&E stakeholder community.

4. *The AA&E Knowledge Management Board* will identify AA&E common interests, insights, experiences, and problems. The board will form communities of practice and target DoD individuals for leading roles in developing and fostering each community.

5. *The AA&E Knowledge Management Board* will investigate tacit information capture techniques and identify best capture techniques for each community of practice.

6. *The AA&E Knowledge Management Board* will document the AA&E KM requirements, including operational, technical, and functional needs, and tacit information capture methods.

7. *The AA&E Knowledge Management Board* will conduct a DoD Knowledge Management audit to identify current Knowledge Management initiatives and identify technologies, lessons learned, best practices, etc.

8. *The AA&E Knowledge Management Board* will identify current AA&E data repositories and knowledge authors.

9. *The AA&E Knowledge Management Board* will perform an AA&E knowledge management market survey to identify DoD and private sector knowledge management solutions, including the current KM Portal operated by the DAC. The Knowledge Management Board will also consult service AA&E sources for additional information for use in constructing the AA&E Distribution Knowledge Management Portal. The board will rate each solution against the AA&E Knowledge Management requirements documented in Step 3. Solutions will include data capture, taxonomy, and searching, as well as online collaboration and chat capabilities.

10. *The AA&E Knowledge Management Board* will select the AA&E knowledge management technical solution and secure funding for purchase (if required) and implementation.

11. *The AA&E Knowledge Management Board* will implement a solution and seed it with initial AA&E information. The board, communities of practice, and other stakeholders will identify and assign "knowledge administrators" responsible for reviewing and updating knowledge as needed.

12. *Knowledge administrators* will maintain the solution and AA&E information currency.

Table A-11-1 lays out the notional timeline of each implementation step.

Table A-11-1. Timetable for AIP 11

Step name	Responsible party	Start date	End date
Identify organizations within the AA&E community	OUSD(AT&L)	Jan 2005	Jan 2005
Create an AA&E Knowledge Management Board	OUSD(AT&L)	Feb 2005	Feb 2005
Identify AA&E common interests and form communities of practice	OUSD(AT&L)	Feb 2005	Mar 2005
Investigate and recommend best tacit information capture techniques	AA&E KM Board	Mar 2005	Apr 2005
Document the AA&E knowledge management requirements	AA&E KM Board	Apr 2005	June 2005
Conduct DoD KM audit to identify current KM initiatives, technologies, and lessons learned	AA&E KM Board	Apr 2005	June 2005
Identify current AA&E data repositories and knowledge authors	AA&E KM Board	Apr 2005	June 2005
Perform an AA&E knowledge management market survey	AA&E KM Board	Apr 2005	Aug 2005
Choose an AA&E knowledge management technical solution and secure funding	AA&E KM Board	Sept 2005	Oct 2005
Implement knowledge management solution and seed with initial AA&E information	AA&E KM Board	Nov 2005	Feb 2006
Maintain Knowledge Management Portal and AA&E information currency	AA&E KM Board	Mar 2006	Ongoing

Issues

The following potential technical and organizational issues may affect the success of this effort.

Technical Issues

In the past, knowledge management activities focused on gathering as much information as possible and making it accessible on a portal. Many of these portals were never used by their intended customers or were abandoned after a short period of time. The main technical reasons behind these failures were:

- *Data organization and accessibility*—On many KM Portals, adequate time was not taken to design the layout and the data organization correctly. Portal users would find no good way to browse through the data by category or interest and would have to resort to search mechanisms that oftentimes provided an overflow of results that were only slightly related to what the user actually wanted to know. After a few attempts to find the proverbial needle in the information haystack, most users gave up and went back to tried and true methods for finding out what they needed to know.

- *Data currency*—Although many portals may have started successfully, many fell into disuse because the information on the portal became stagnant and dated. Any KM initiative must account for the cost and time to design and implement the portal, and must also account for continual upkeep time and cost. Internet links change, documents are updated, new data sources are created. If the KM Portal does not have administrators who ensure the currency of the information and links, the portal will slowly become abandoned by its users.

Organizational Issues

While KM Portal design and currency issues often lead to KM failure, an often overlooked issue that directly impacts the effectiveness of a KM initiative is the culture of the organization that it is to serve.

Most people want to share what they have learned and learn from others' mistakes. Unfortunately, in most organizations, organized knowledge transfer does not occur for a number of reasons:

- *Lack of awareness*—Individuals may not be aware that their knowledge is unique and is not documented elsewhere; and they may not be aware if there is a method for capturing and sharing that knowledge with others.

- *Lack of time*—Many individuals may be too caught up in the emergencies of the moment and not feel they have the time to step back and document their knowledge. This is especially true for tacit knowledge, knowledge that is experience-based and is often not documented in any formal business process manual.

- *Lack of focus*—A successful KM Portal shares *critical* knowledge with its users. In many cases, it is difficult to identify what information is critical and what knowledge is not.

- *Lack of corporate encouragement*—Senior-level acceptance and backing of a KM initiative is required. In addition, senior leaders must find ways to make each individual see what knowledge management does for them and why they should change their current ways of working in order to use KM. This includes both accessing a KM Portal to find information, as well as changing the way they work in order to capture their knowledge to be put onto the portal. For example, if an organization expects employees to document processes and lessons learned on their own time, the initiative will fail. The organization—starting from the leadership down—needs to make KM a priority and accord it an important place in funding, organizational changes, and business process changes to facilitate knowledge transfer.

Cost

Costs to successfully fulfill this AIP fall into the following categories: manpower, software, hardware, and training. The OPR, in coordination with the offices of collateral responsibility (OCRs), should consider the following assumptions when determining their manpower and funding requirements.

- Manpower will be required to provide representation to the KM Board and in investigating the availability of an existing KM Portal or the need to design and implement a portal. Additionally, once the portal is functional, time commitments will be required for knowledge administrators to keep knowledge current and relevant.

- There will be costs for the adaptation of an existing portal or acquisition and implementation of a KM Portal and collaboration solution, whether it is a DoD or private-sector solution. The cost of the software must be determined and is dependent upon the requirements identified in Step 5 of this AIP.

- The implementation of a KM Portal solution may require the purchase of new hardware to host the solution. The cost of the hardware will depend upon the solution chosen.

- Ideally, the KM solution should be easy to use and have online training for new users. However, knowledge administrators and power users may require additional training in order to ensure knowledge is kept current and is categorized into the knowledge taxonomy correctly. One week of hands-on training is anticipated for each knowledge administrator.

Measures of Progress and Success

There are two categories of measures for this AIP:

- *Progress measures* highlight the success of implementing the initiative. Measures in this category focus on AIP actions and milestones.

- *Success measures* focus on what benefits the AA&E community and distribution chain will see when the AIP is carried out and the initiative successfully completed. Measures in this category focus on improvements in safety, security, accountability and visibility, and effectiveness and efficiency.

Below are the progress and success measures for this AIP.

Progress Measures

Progress measures for this AIP include the following:

- Identification and evaluation of potential existing groups to serve as the AA&E Knowledge Management Board.

- Formation of the AA&E Knowledge Management Board completed.

- Formation of AA&E communities of practice with community leaders identified.

- Report on best practices and technologies for tacit knowledge capture completed.

- AA&E Knowledge Management Portal requirements assessment report completed.

- Documentation of current AA&E data repositories and knowledge authors.

- AA&E Knowledge Management Portal market survey of potential technology solutions completed.

- AA&E Knowledge Management Portal solution funding secured.

- AA&E Knowledge Management Portal solution selected.

- AA&E Knowledge Management Portal implemented.

- Initial AA&E knowledge loaded into the Knowledge Management Portal.

- Ongoing AA&E knowledge update and maintenance.

Success Measures

Success measures for this AIP include the following:

- User Knowledge Management Portal satisfaction survey results.

- Knowledge Management Portal use numbers.

- A resource established so AA&E supply chain participants can share best practices and lessons learned.

- Improved organizational knowledge retention and management strategies.

Annex 12—Action Implementation Plan 12

This is the twelfth of 14 AIPs in the overall *Department of Defense Implementation Plan for the Distribution of Arms, Ammunition, and Explosives*. It addresses Action 6.F: Develop an accurate and timely capability for centrally tracking AA&E movements worldwide.

This AIP supports Objective 2 of the DoD AA&E Strategic Plan: Transform DoD's AA&E management, business processes and technology investments from an individual segment view to an end-to-end logistics chain view.

The AIP will consist of the following four sections:

1. Section 1, *Initial AIP*, is provided within the *DoD Implementation Plan for the Distribution of AA&E* on the following pages.

2. Section 2, *Status Snapshot*, will be created by the AIP office of primary responsibility (OPR) and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 1, *Initial AIP 12*.

3. Section 3, *Implementation Status Reports*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 2, *Status Snapshot*.

4. Section 4, *History of Status Snapshots*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 3, *Implementation Status Reports*.

The OPR will manage the master copy of this AIP notebook, create updates, and distribute pertinent information to key stakeholders.

Section 1, Initial AIP 12

The background, key stakeholders, implementation steps and timeline, cost considerations, measures of progress and success, and potential issues related to the success of this AIP are presented below.

Background

DoD has a high-level in-transit visibility (ITV) requirement and a functional design for integrating existing and planned capabilities to track the identity, status, and location of unit and non-unit cargo and forces. Through various means and differing levels of effectiveness, DoD can track movements by military and commercial airlift, sealift, and surface assets from origin to destination. There is an on-going effort to link individual segments of the logistics chain to USTRANSCOM's Global Transportation Network (GTN) for ITV and asset visibility (AV); however, "visibility" often can occur hours and days after the actual event.

Development of an accurate and timely capability for tracking AA&E movements worldwide in near real-time will increase visibility, accountability, efficiency, and improve accident and emergency response within respective areas of responsibility (AORs). This is not to imply that all AA&E shipments must be tracked via satellite nor should DoD centrally track and manage AA&E global shipments for the purpose of facilitating timely emergency response to an incident. Rather, efforts are needed to leverage contracts, expertise, information, systems, technology, and research and development (R&D) efforts to provide combatant commanders and other DoD components access to the same capabilities and resources available in CONUS or within other AORs to track shipments on a near-real-time basis and have the ability to immediately respond to emergency situations. As required and determined by AA&E stakeholders, integration of existing systems and technologies may facilitate a worldwide AA&E tracking capability. Following is a partial list and brief description of major existing systems that play a primary or secondary role in the AA&E logistics chain:

- *Global Transportation Network* (GTN/GTN-21) provides central in-transit visibility and management reporting of DoD passengers and materiel. GTN integrates data from multiple data feeds from various distribution systems.

- *Global Freight Management* (GFM) *System* generates a bill of lading in an Electronic Data Interchange (EDI) machine-readable format.

- *Munitions Transportation Management System* (MTMS) is a Joint Munitions Command (JMC) system for ship planning unique to export munitions movements that are consolidated into shipload packages and offered for lift to SDDC. It also identifies commercial rail and truck assets required to support each ship plan and provides advanced ship planning information to the combatant commanders, services, and receiving activity representatives.

- *Defense Transportation Tracking System* (DTTS) provides near-real-time tracking of security risk categories I–IV AA&E moving via truck, barge, and towboat within CONUS for the purpose of accident and incident notification and emergency response support. Vehicle location reports are received at 15-minute intervals from truck, barge, and towboat shipments using commercial satellite-based tracking systems.

- *Intelligent Road/Rail Information Server* (IRRIS) is an Internet-based geospatial tracking tool that receives data from DTTS, and data from other sources to provide SDDC with real-time information and analysis for carrier performance.

- *Defense Transportation Reporting and Control System* (DTRACS) is a satellite-based truck and rail tracking capability used primarily for organic movements within the European Command AOR and Korea.

- *Integrated Data Environment—Asset Visibility* (IDE-AV) is a DLA system that provides visibility of assets in-storage, in-transit, and in-process.

- *Worldwide Port System (WPS)* provides detailed data concerning items of cargo arriving and departing water ports by generating the ship manifest and booking upon completion of vessel loading.

- *Global Air Transportation Execution System (GATES)* provides data on the air portion of cargo in-transit.

An effective capability for the timely tracking of AA&E shipments moving by rail is needed as well to support an effective emergency response process in the event of an AA&E incident and to reduce public exposure to potential hazardous situations. Efforts are underway to track CONUS rail movements by capturing AA&E rail location reports through an interface to satellite positioning units currently being installed in locomotives by most major rail carriers. This would provide near-real-time train location information, replacing the present train location-interval reporting provided through railroad systems. The limited quantities of AA&E moved by air are often identified as a Special Assignment Airlift Mission (SAAM) and a system such as the Global Air Transportation Execution System (GATES) may serve to provide visibility of these shipments under this integration plan.

Key Stakeholders

The following are among the key stakeholders for this effort:

- *OUSD(AT&L)* is the office of primary responsibility for directing and coordinating all actions necessary to accomplish the specific actions contained in this AIP. Serves as the Logistics Domain Owner and ensures compliance with the DoD Logistics Business Enterprise Architecture.

- *The Joint Staff* issues joint doctrine; supports strategic, contingency, and mobility planning; and coordinates combatant command requirements.

- *The combatant commands*[1] are responsible for business processes, automated systems, and issues pertaining to their respective AORs. The combatant commands oversee physical security, exercise movement control, and direct emergency response within their AORs.

- *USTRANSCOM,* as the distribution process owner, is responsible for the Global Transportation Network (GTN) and GTN 21. In addition, USTRANSCOM is the portfolio manager for distribution systems.

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[1] USNORTHCOM does not oversee and manage AA&E within CONUS. This mission resides with the military services, their components, and other key stakeholders as identified herein.

- *OUSD(Policy)* incorporates recommendations into revised policy guidance issued to the military services.

- *OUSD(Intelligence)* advises on the most effective means to accomplish the exchange of intelligence across the stakeholders.

- *The military services* own the materiel and issue it according to their respective business processes and practices.

- *DLA* issues hazardous material and is responsible for the disposal of demilitarized AA&E.

- *DCMA* ensures contractor compliance with policy and regulations and transmittal of transportation information to appropriate DoD components.

- *The JOCG Transportation Subgroup* represents the transportation stakeholders within the ad hoc JOCG group. The transportation subgroup serves as a forum for discussing and working through munitions-related transportation issues.

Implementation Steps

The principal stakeholders and designated organizations will take the following steps to complete this effort:

1. *OUSD(AT&L)*, *Joint Staff*, and *USTRANSCOM* will determine if and how the capability for near-real-time tracking AA&E movements worldwide should fit within the context of the overall DoD Logistic Business Enterprise Architecture (BEA).

2. *OUSD(AT&L), Joint Staff,* and *USTRANSCOM* will identify current AA&E tracking systems and technologies, evaluate each system, and verify gaps in coverage (mode, geographic region, etc.).

3. *OUSD(AT&L)*, *Joint Staff, combatant commanders,* and *USTRANSCOM*, in coordination with the *military departments* and other *DoD components*, will determine how best to leverage contracts, expertise, information, systems, technology, and R&D efforts to provide combatant commanders and other DoD components access to the same tracking capabilities and resources available in CONUS or within other AORs to facilitate emergency response to AA&E incidents.

4. *OUSD(AT&L), Joint Staff,* and *USTRANSCOM* will conduct a stakeholder conference to present the current tracking assessment, and evolving capabilities as well as discuss the viability of a central worldwide tracking capability.

5. *OUSD(AT&L)* and *USTRANSCOM* will lead efforts to adjust the tracking system architecture based on stakeholder requirements.

Table A-12-1 lays out the notional timeline of each implementation step.

Table A-12-1. Timetable for AIP 12

Step name	Responsible party	Start date	End date
Identify current tracking systems and verify gaps	AT&L, USTRANSCOM	Mar 2005	Apr 2005
Determine future functional, technical, and system requirements	AT&L, USTRANSCOM	Apr 2005	May 2005
Conduct stakeholder conference to present findings	AT&L, USTRANSCOM	Jun 2005	Jun 2005
Establish process and assign responsibilities for sharing tracking technologies and capabilities.	AT&L, USTRANSCOM	Jun 2005	Jul 2005
Determine viability and requirement for a central AA&E tracking mission and system	AT&L, USTRANSCOM	Jul 2005	Jan 2006
As required, design, test, and prototype a central tracking system	AT&L, USTRANSCOM	N/A	N/A
As required, complete regional rollout of central tracking system	AT&L, USTRANSCOM	Jan 2006	May 2006

Issues

The following potential issues may affect the success of this effort:

- The ability to develop a capability to centrally track and monitor AA&E movement worldwide by all modes crosses a number of organizational mission responsibilities and will require clearly delineated roles, responsibilities, and authorities to be documented (see Action 3.A. and 3.B.).

- Current technologies, whether satellite-based, cellular-based, or nodal-based, do not cover all geographic regions. A global solution will require a combination of technologies, including cargo centric solutions vice tracking of carrier assets.

- Countries have different laws and regulations governing frequencies that can be used by tracking technologies. A global solution will require complex technologies that can utilize multiple frequencies, or complex negotiations to obtain frequency waivers.

- Some areas of operation have very limited fixed infrastructure and may need to handle tracking with different technology.

- Tracking technology may require devices be affixed to each asset (vehicle, container, pallet, item, etc.) as well as the potential for additional devises to read the asset location. The cost for all of these devices may be substantial. Due to the nature of the logistics chain, the physical control of the assets (and the tracking devices) may change multiple times, leading to questions concerning who will purchase and maintain these devices.

- Tracking technologies or systems must be subject to HERO (Hazards of Electromagnetic Radiation to Ordnance) certification analysis and test.

- Software associated with tracking technologies and systems must have adequate built-in security protection and security control mechanisms with respect to both the tracking system database and the data transmission network. In addition, the tracking system access plan must account for the vetting of potential users in both CONUS and OCONUS environments.

Cost

The resources required to successfully fulfill this AIP include manpower, software, hardware, and training. The OPR, in coordination with the OCRs, should consider the following assumptions in determining their manpower and funding requirements.

- Manpower will be required to provide oversight of this AIP and assess the current systems used to track AA&E worldwide and determine if a central tracking system is needed and what should be the future architecture solution. This includes assessing technology applications to support the solution.

- Contractor support may be required to assist in determining and documenting future functional, technical, and systems architecture requirements, and whether current systems might fulfill these requirements.

- Acquisition of software may be needed to fill gaps and to integrate tracking capabilities.

- Acquisition of hardware, new technologies, and communications may be necessary to support the future architecture.

- Personnel must be trained to oversee, manage, and operate within the new architecture, including training in new global business processes and capabilities.

- Subject matter experts may need to travel to the Washington, DC area or other locations for meetings.

Measures of Progress and Success

There are two categories of measures for this AIP:

- *Progress measures* highlight the success of implementing the initiative. Measures in this category focus on AIP actions and milestones.

- *Success measures* focus on what benefits the AA&E community and distribution chain will see when the AIP is carried out and the initiative successfully completed. Measures in this category focus on improvements in safety, security, accountability and visibility, and effectiveness and efficiency.

Below are the progress and success measures for this AIP.

Progress Measures

Progress measures for this AIP include the following:

- Overall AA&E E2E integration architecture on schedule.

- Coordinated and leveraged contracts, expertise, information, systems, technology, and R&D as scheduled.

- Coordinated integration of central AA&E tracking capability as scheduled.

- Presentation and acceptance of system design and deployment on schedule.

Success Measures

Success measures for this AIP include:

- Prototype system demonstration that provides data accuracy and timeliness to provide central management and visibility across multiple modes and nodes within the logistics chain and between theaters of operation.

- System rollout that provides capability to view all AA&E assets in near real-time as they move through the distribution chain.

- Improved safety and security with the ability to initiate and coordinate emergency response in accident or incident situations.

Annex 13—Action Implementation Plan 13

This is the thirteenth of 14 AIPs in the overall *Department of Defense Implementation Plan for the Distribution of Arms, Ammunition, and Explosives.* It addresses Actions 7.A, 7.B, and 7.C.

- *Action 7.A*—Identify all current AA&E-related training courses to establish the baseline for the scope and amount of safety, security, business process, and systems training provided to personnel involved in the distribution of AA&E.

- *Action 7.B*—Devise an overarching training curriculum for AA&E processes, including safety, security, business rules, and systems.

- *Action 7.C*—Manage the AA&E training content and related reference material that is on the AA&E Knowledge Management Portal (Action 6.E).

This AIP supports Objective 7 of the DoD AA&E Strategic Plan: Develop an AA&E logistics chain certification program that focuses on an end-to-end system view.

The AIP will consist of the following four sections:

1. Section 1, *Initial AIP*, is provided within the *DoD Implementation Plan for the Distribution of AA&E* on the following pages.

2. Section 2, *Status Snapshot*, will be created by the AIP office of primary responsibility (OPR) and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 1, *Initial AIP 13*.

3. Section 3, *Implementation Status Reports*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 2, *Status Snapshot*.

4. Section 4, *History of Status Snapshots*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 3, *Implementation Status Reports*.

The OPR will manage the master copy of this AIP notebook, create updates, and distribute pertinent information to key stakeholders.

Section 1, Initial AIP 13

The background, key stakeholders, implementation steps and timeline, cost considerations, measures of progress and success, and potential issues related to the success of this AIP are presented below.

Background

Many organizations play a role in the AA&E logistics chain, and the individuals who perform functions within these organizations have often been trained through a combination of formal training and lessons learned on the job. While training exists today, it is not clear if the training covers all of the AA&E job function requirements. Many of the current courses cover handling and transportation safety details. They do not focus on the business processes and higher decision-making issues involved with the AA&E logistics chain. Moreover, many individuals may not take the highly detailed AA&E handling courses provided because those skills are not central to their job function. This leaves individuals to learn different issues at different times, and to learn potentially different solutions on how to resolve issues. The end result is a non-standard learning process for the AA&E community.

Many other specialties, both in the public and private sectors, have turned to certification processes and official training curricula to help standardize training available and to easily gauge an individual's knowledge and experience. For example, many IT professionals are required to train and earn Microsoft Certified Systems Engineer (MCSE) certification. Certification programs are ideal if there is a wide array of professionals involved in an area of expertise and a varying degree of knowledge required for a job function. The AA&E community is an ideal candidate for a training and certification program, since it requires unique expertise—from acquisition to disposal—throughout the logistics chain.

Key Stakeholders

The design of the training and certification programs will require the work of the major safety, security, and business process groups involved in the AA&E logistics chain.

The following are among the key stakeholders for this effort:

- *The Army (AMC and JMC)* is the office of primary responsibility for directing and coordinating all actions necessary to accomplish the specific actions contained in this AIP. JMC in support of the SMCA operates the Defense Ammunition Center (DAC) and School. The DAC and its military service counterparts publish a wide array of AA&E information and provide training. This training material is a likely starting point in curricula development.

- *The military services* are responsible for their respective business processes, automated systems, and training and will assist Army in this effort.

- *USTRANSCOM*, as the distribution process owner, serves as the principal creator of the transportation certification and training material designed to educate individuals on high-level and detailed distribution and transportation requirements.

- *DLA* performs supply chain implementation, ships some AA&E on behalf of the military services, and disposes of AA&E.

- *DDESB* governs all safety rules pertaining to AA&E and acts as the lead agency to coordinate various training programs to deal with safety considerations.

- *OUSD(Intelligence)* is the proponent for the DoD Physical Security Review Board (DDPSRB) and is the policy owner for DoD physical security.

- *DCMA* provides expertise in contract management and ensures contractor compliance with DoD safety and security requirements.

- *Joint Ordnance Commanders Group (JOCG*) is a joint service advisory group responsible for recommending policies and procedures for improving the management and distribution of AA&E. The JOCG's Education and Training Subgroup should support this AIP.

Implementation Steps

The principal stakeholders and designated organizations will take the following steps to complete this effort:

1. *The Army (AMC* and *JMC)* and *OUSD(AT&L)* will identify organizations within the AA&E community (based on AIP 3 results).

2. *The Army (AMC and JMC) and OUSD(AT&L)* will create the *Joint AA&E Certification Committee*, with key representatives from the AA&E community.

3. *The Joint AA&E Certification Committee* will identify high-level AA&E job functions that should receive training. The committee will identify what type and level of training each functional group should receive.

    a. *The Joint AA&E Certification Committee* will formulate a high-level curricula plan for each functional group, based upon the training requirements. The committee will determine what certification levels should be formalized, and what training should be completed for certification.

    b. *The Joint AA&E Certification Committee* will create strawman outlines for the courses identified in the curriculum. The committee will start with the introductory classes and proceed to the more advanced and detailed course work, ensuring these classes appropriately reflect the higher-level discussions.

    c. Based upon the job function and the course work, the *Joint AA&E Certification Committee* will determine the best methods for delivering the training: on-site, at centralized training facilities, distance learning over the Internet, or other options. This may vary by course.

    d. *The Joint AA&E Certification Committee* will create the detailed training material for the courses identified in the curriculum. The committee will use existing training material wherever possible. The committee will start with the introductory classes and proceed to the more advanced and detailed course work, ensuring these classes appropriately reflect the higher-level discussions.

e. *The Joint AA&E Certification Committee* will develop a process to track student coursework completed and progress toward certification.

f. *The Joint AA&E Certification Committee* will develop re-certification requirements and procedures, including specific abbreviated re-certification courses, if deemed appropriate.

g. *The Joint AA&E Certification Committee* will formulate a method for tracking certification status and how to notify individuals and organizations of pending re-certification requirements.

h. *The Joint AA&E Certification Committee* will devise a curricula and certification rollout plan, including awareness marketing and change management.

i. *The Joint AA&E Certification Committee* will provide all course material, especially distance-based learning material for posting on the AA&E Knowledge Management Portal (AIP 11).

j. *The Joint AA&E Certification Committee* will periodically review curricula to determine if modifications are required, based on new technologies, processes, or events, as well as based on student feedback. The committee will make necessary updates.

k. *The Joint AA&E Certification Committee* will communicate the availability of the Knowledge Management Portal and promote its use and capabilities to DoD components.

Table A-13-1 lays out the notional timeline of each implementation step.

Table A-13-1. Timetable for AIP 13

Step name	Responsible party	Start date	End date
Identify organizations within the AA&E community	Army (AMC/JMC)	Jan 2005	Jan 2005
Create an AA&E Certification Committee	Army (AMC/JMC)	Jan 2005	Jan 2005
Identify AA&E job functions and types, and levels of training required	AA&E Certification Committee	Feb 2005	Feb 2005
Formulate curricula plan and certification plan for each functional group	AA&E Certification Committee	Mar 2005	May 2005
Create strawman outlines of courses identified in the curricula	AA&E Certification Committee	June 2005	July 2005
• Determine best methods for training delivery	AA&E Certification Committee	June 2005	July 2005
• Create coursework	AA&E Certification Committee	Aug 2005	Nov 2005
• Identify process to track coursework completed and progress toward certification	AA&E Certification Committee	Aug 2005	Sept 2005
• Identify recertification requirements and procedures	AA&E Certification Committee	Oct 2005	Oct 2005
• Formulate method to track certification status	AA&E Certification Committee	Nov 2005	Nov 2005
• Devise a curricula and certification rollout plan	AA&E Certification Committee	Dec 2005	Jan 2006
• Begin rollout and training	AA&E Certification Committee	Feb 2006	July 2006
• Provide all curricula and course material on the AA&E Knowledge Management Portal	AA&E Certification Committee	Feb 2006	Feb 2006
• Periodically review curricula and coursework for required modifications	AA&E Certification Committee	Feb 2007	Annually

Issues

Following are potential issues that may affect the success of this effort:

- A concern in creating training requirements is if the individuals and organizations affected will initially accept the new requirements. As with any new training program, there will be individuals who resist going to training. If these individuals create a negative perception or atmosphere about the training, less-experienced individuals may resist the training based on a perception that is it not valuable.

- The certification team will need to consider carefully how to roll out the program. To gain buy-in, individuals may be grandfathered into certifications based on their knowledge, or individuals may be selected as subject matter experts to endorse, promote, and go through the certification process.

- The certification team will need to work with the AA&E community to identify different training requirements per job function and tailor classes (from high-level to detailed instruction) based upon these requirements. The certification program may be too cumbersome and overwhelming. For example, someone involved in the acquisition of AA&E probably does not need to go to a week-long training class on the details of disposal processes. If multiple certifications and training curricula are not created, and everyone is forced into the same template, there will be resistance to learning too much detail and there could be negative cost and time implications.

Cost

The resources required to successfully fulfill this AIP include manpower, software, hardware, and facilities. The OPR, in coordination with the offices of collateral responsibility (OCRs), should consider the following assumptions when determining their manpower and funding requirements.

- Manpower will be required to oversee AIP activities, participation on the Joint AA&E Certification Committee and design and roll out the training curricula and certification program. This includes developing a plan for establishing a certification process and tracking certification status.

- Manpower will be required to design the curricula (or leveraging existing curricula) and certification program. Training solutions may involve distance-based learning and self-testing, which may require acquisition of training-based software applications. The cost of the software is dependent upon the requirements identified in Step 6 of this AIP.

- If software applications are required, or if the training occurs at a specialized training facility, hardware will be required to host the applications and/or allow any computer-based training (CBT) to occur. The amount and type of hardware required will depend upon decisions made in Step 6 of the AIP and depend upon what software may be acquired to facilitate training.

- If all of the training is distance-based, there will be no facility costs. If the training takes place at a training facility, but facilities do not exist or are inadequate, then the facilities will need to be renovated or other facilities rented or maintained as permanent training sites. This cost depends upon whether existing facilities are available, how many facilities are needed, whether they are permanent or not, and the location of the facilities.

- There may be a need for subject matter experts to travel to the Washington, DC area or other locations for meetings.

Measures of Progress and Success

There are two categories of measures for this AIP:

- *Progress measures* highlight the success of implementing the initiative. Measures in this category focus on AIP actions and milestones.

- *Success measures* focus on what benefits the AA&E community and distribution chain will see when the AIP is carried out and the initiative successfully completed. Measures in this category focus on improvements in safety, security, accountability and visibility, and effectiveness and efficiency.

Below are the progress and success measures for this AIP.

Progress Measures

Progress measures for this AIP include the following:

- Formation of the AA&E Certification Committee.

- AA&E job function categories, along with types of training desirable (including level of detail).

- High-level curricula for each job function category, along with certifications and the required classes to attain each certification.

- Strawman outlines of training materials.

- Identification of existing training material used by AA&E community.

- Draft training material based on strawman outline and using existing training material when possible.

- Determination of best delivery methods for courses.

- Student training progress and certification status tracking method.

- Recertification program, including recertification courses.

- Change management and roll-out awareness programs.

- Training material posted on AA&E Knowledge Management Portal.

- Periodic certification and training material review methodology.

Success Measures

Success measures for this AIP include the following:

- Number of AA&E certified individuals (by certification type).

- Curricula that covers all AA&E job functions, business processes, and decision-making issues so individuals can address problems in a consistent manner.

- Standardized training to gauge different individuals' knowledge and experience across the AA&E community.

Annex 14—Action Implementation Plan 14

This is the fourteenth of 14 AIPs in the overall *Department of Defense Implementation Plan for the Distribution of Arms, Ammunition, and Explosives.* It addresses Actions 8.A and 8.B.

- *Action 8.A*—Coordinate the necessary actions to develop, implement, and maintain an end-to-end Distribution Performance Metrics Collection and Evaluation process, including establishment of the program baselines, such that the distribution performance, can be monitored.

- *Action 8.B*—Monitor AA&E logistics chain performance and refer actions to improve performance, and ensure compliance with established business rules to the appropriate component when performance metrics indicate the need for improvement or enforcement.

This AIP supports Objective 8 of the DoD AA&E Strategic Plan: Improve AA&E business rules compliance.

The AIP will consist of the following four sections:

1. Section 1, *Initial AIP*, is provided within the *DoD Implementation Plan for the Distribution of AA&E* on the following pages.

2. Section 2, *Status Snapshot*, will be created by the AIP office of primary responsibility (OPR) and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 1, *Initial AIP 14*.

3. Section 3, *Implementation Status Reports*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 2, *Status Snapshot*.

4. Section 4, *History of Status Snapshots*, will be created by the AIP OPR and either stored electronically for easy access or printed for insertion into an AIP binder, behind Section 3, *Implementation Status Reports*.

The OPR will manage the master copy of this AIP notebook, create updates, and distribute pertinent information to key stakeholders.

Section 1, Initial AIP 14

The background, key stakeholders, implementation steps and timeline, cost considerations, measures of progress and success, and potential issues related to the success of this AIP are presented below.

Background

Within the DoD AA&E distribution business area, there is no reliable method with which to measure how well the department manages the AA&E logistics chain. On more than one occasion, a Government Accountability Office or DoD Inspector General investigation has been the sole indicator that the overall, end-to-end distribution system is not performing as it should.

In the May 2004 *Department of Defense Strategic Plan for the Distribution of Arms, Ammunition, and Explosives*, all the participating stakeholders agreed a system needed to be put in place to monitor key performance parameters of the system, including compliance with established AA&E business rules. For example, AA&E shippers often fail to submit a report of shipment (REPSHIP) for every AA&E shipment executed. Receiving activities only become aware of a pending shipment when the carrier notifies them of their intent to deliver. Moreover, when a shipment is received, the receiving activity does not know if they have everything that was intended to be shipped or if something is missing and if it constitutes a transportation discrepancy report (TDR). This AIP is being conducted to design, implement, and monitor the compliance of key AA&E business rules.

Key Stakeholders

The following are among the key stakeholders for this effort:

- *USTRANSCOM* is the office of primary responsibility for directing and coordinating all actions necessary to accomplish the specific actions contained in this AIP.

- *OUSD(AT&L)* oversees the logistics functions and coordinates all actions within the DoD AA&E community.

- *The Joint Munitions Command (JMC)* is the SMCA field operating activity and controls the distribution chain for designated military service munitions.

- *The military services* develop and operate systems that produce shipment documentation and record shipment receipts.

- *DLA* develops and operates systems that produce shipment documentation and record shipment receipts.

- *DCMA* provides contract management, operates systems that produce shipment documentation, and ensures contractor compliance with established business rules and regulations.

Implementation Steps

The principal stakeholders and designated organizations will take the following steps to complete this effort:

1. *USTRANSCOM* will issue a memorandum to key stakeholders and invite them to participate on an end-to-end Distribution Performance Metrics Collection and Evaluation working group. *Stakeholders* will attend an initial workshop, determine categories of performance metrics, and break out into sub-team representing each category.

2. *The metrics sub-teams* will conduct a benchmark assessment of DoD organizations, other federal government agencies, and the commercial industry to determine best practices.

3. *USTRANSCOM* will host a second workshop with the sub-teams to draft performance metrics and the templates for collecting and reporting data.

4. *The metrics sub-teams* will interview AA&E subject matter experts to gain insight into how processes, systems, and organizations relate and perform.

5. *USTRANSCOM* will host a third workshop with the sub-teams to revise (as needed) performance metrics based on data availability and develop measures, targets, and initiatives to collect performance data.

6. *USTRANSCOM* will assign *subject matter experts* to collect data, perform measurement activities, monitor AA&E logistics chain performance, and report when performance metrics indicate the need for improvement.

Table A-14-1 lays out the notional timeline of each implementation step.

Table A-14-1. Timetable for AIP 14

Step name	Responsible party	Start date	End date
Issue memorandum to key stakeholders for distribution performance metric collection and evaluation workshop	USTRANSCOM	Feb 2005	Apr 2005
Convene workshop	USTRANSCOM	May 2005	May 2005
Conduct a benchmark assessment of best practices for performance metrics	Metrics sub-teams	May 2005	June 2005
Draft performance metrics and collection templates	Metrics sub-teams	July 2005	Aug 2005
Determine how AA&E processes, systems, and organizations relate and perform	Metrics sub-teams	July 2005	Aug 2005
Develop measures, targets, and initiatives	Metrics sub-teams	Sept 2005	Oct 2005
Assign subject matter experts to collect data, perform measurement activities, monitor performance, and report need for improvement	USTRANSCOM	Nov 2005	Ongoing

Issues

The following potential issues may affect the success of this effort:

- Completion of these tasks will require automated system changes to ensure the source systems used in shipping and receiving produce the required metrics. Changes will require funding at a time when many system investments are "frozen" pending implementation of new DPO enterprise-wide solutions.

- USTRANSCOM, in their role as DPO, is responsible for the overall performance of the DoD distribution system. In that light, they must also develop a performance metrics system for all commodities, including AA&E. This effort should therefore be complementary to their DPO metrics effort.

Cost

The primary resource required to successfully fulfill this AIP is manpower. The OPR, in coordination with the offices of collateral responsibility (OCRs), should consider the following assumptions in determining their manpower and funding requirements.

- Manpower will be required to research and determine categories of performance metrics, best industry practices, draft performance metrics, and the templates for collecting and reporting data, and develop measures, targets, and initiatives to collect performance data. The OPR should build upon efforts and capabilities already underway to develop and collect metrics in support of the distribution process owner (DPO) mission.

- Personnel may need to travel to USTRANSCOM, the Washington, DC, area or other locations for meetings in support of this AIP.

Measures of Progress and Success

There are two categories of measures for this AIP:

- *Progress measures* highlight the success of implementing the initiative. Measures in this category focus on AIP actions and milestones.

- *Success measures* focus on what benefits the AA&E community and distribution chain will see when the AIP is carried out and the initiative successfully completed. Measures in this category focus on improvements in safety, security, accountability and visibility, and effectiveness and efficiency.

Following are the progress and success measures for this AIP.

Progress Measures

Progress measures for this AIP include the following:

- End-to-end Distribution Performance Metrics Collection and Evaluation working group memorandum issued.

- Initial workshop held, categories of metrics defined, and sub-teams created.

- Best practices identified for DoD, federal agencies, and commercial industry.

- Second metrics workshop held and performance metrics and templates drafted.

- Subject matter experts interviewed and processes, systems, and organizations documented.

- Third metrics workshop held and measures, targets, and initiatives developed.

- Performance data collected and monitored.

Success Measures

Success measures for this AIP include the following:

- Most important cost drivers identified in an organization or across business areas.

- Opportunities for improved efficiencies and effectiveness identified via metrics collected.

- Ability to compare how successful a business area, system, organization is performing.

- Level of improvement of compliance and performance.

Appendix B
Template for Snapshot Status Update

The OPR will make quarterly updates. Updates will either be sent electronically to the ADUSD(TP) or other designee for distribution to all stakeholders or be posted on a website for download.

Below is the template for Status Updates.

AIP number: _____

Date of update: _____

POC for update: _____

Step number	Description of implementation step	Date initiated	Ongoing (yes or no)	Date completed

The following is an example of what a status update may look like.

AIP number: 1

Date of update: (insert date)

POC for update: (enter POC for update)

Step number	Description of implementation step	Date initiated	Ongoing (yes or no)	Date completed
1	OUSD(AT&L) will issue a memorandum to the key policy stakeholders to establish the combined Safety and Physical Security Working Group (SPSWG).	2/9/05	No	2/9/05
2	The SPSWG will develop a charter that includes their mission, authority, membership, organization and sub-groups, responsibilities, and duration of the group.	2/21/05	Yes	
3	The SPSWG will reconcile and clarify existing safety and security policies, identify required changes or new policies, establish priorities, and initiate action to staff and implement agreed upon changes.	2/21/05	Yes	
3.a	The SPSWG will assign specific focus areas to the appropriate subject matter experts.			
3.b	The SPSWG will assess the impact of safety and security policy changes on the business processes across the AA&E logistics chain.			

Step number	Description of implementation step	Date initiated	Ongoing (yes or no)	Date completed
4	The SPSWG will assign responsibility to subject matter experts to monitor and manage the safety and security policy and regulatory content placed in the AA&E Knowledge Management Portal.			
4.a	The subject matter experts will review and validate policies and regulations for content before adding them to the Knowledge Management Portal.			
4.b	The subject matter experts will conduct an annual review of the Knowledge Management Portal for content.			
4.c	The subject matter experts will establish and chair "communities of practice."			

Appendix C
Template for Detailed Implementation
Status Report

The OPR will write status reports quarterly. They will be sent electronically to the ADUSD(TP) or other designee for distribution to all stakeholders or be posted to a designated website for download.

Below is the template for status reports.

AIP number: _____

Date of update: _____

POC for update: _____

Status

Describe progress of implementation steps during last quarter:

Stakeholders

Describe how the AIP is affecting stakeholders' roles and responsibilities:

Timelines

Describe any modifications necessary for implementation timelines:

Cost

Describe costs for implementing this AIP or any funding issues:

Changes to AIP

If necessary, describe changes to the AIP or implementation steps:

Issues

Describe any other issues that will affect the implementation of this AIP:

Appendix D
Definitions

Arms, ammunition, and explosives (AA&E) is a broad categorical concept that can have multiple interpretations and definitions. Even though each military service and defense agency, as well as the federal government (through the Code of Federal Regulations), defines what materiel can be considered AA&E, there is no standard definition.

By combining input from various sources, we crafted working definitions to apply to this implementation plan. These definitions are intended to reflect the need for AA&E safety, security, accountability, and effectiveness in today's high-risk environment.

Arms, ammunition, and explosives (AA&E): For this plan, AA&E is a term used to inclusively mean weapons, components requiring special controls, ammunition or munitions for those weapons, and other conventional items or materials with explosive, chemical, or electro-explosive properties designed for and/or capable of inflicting property damage, and death or injury to humans and animals. Items should be considered for inclusion in the AA&E category if they meet any of the following tests:

    a. Possession of, or access to, the item is controlled due to potential risk associated with loss of the item, or its use for unintended purposes by unauthorized persons.

    b. The handling, transporting, storage, or use of the item presents a potential safety risk for the general population, and the risk must be controlled through visibility and specific procedures.

    c. The handling, transporting, storage, or use of the item presents a potential or known security risk. Exceptional care must be taken to maintain accountability over the item and information about it, to preclude disclosure of classified or sensitive information, or to prevent unauthorized persons from accessing or acquiring the item intentionally or unintentionally.

Business Enterprise Architecture (BEA): A high-level blueprint to guide DoD's transformation initiative. The BEA describes the structural composition of DoD business operations in ways that transcend organizational boundaries by demonstrating and facilitating the derivative nature of the design and development of business capabilities, linking business needs to business capabilities and by tracing business strategies to systems solutions. Further information on the Logistics BEA can be found at http://www.bea-log.com.

Continuity of operations plan (COOP): A plan to ensure a military function can be continued without interruption, despite accidents, natural disaster, weather, or intentional events. A COOP plan provides for distributed command, control, and communications, plus procedures to pass responsibilities from a primary location to an alternate location outside the affected area.

Conventional ammunition and explosives (CAE): For this plan, the term "conventional" refers to weapons, ammunition, ordnance, and explosives that are "not nuclear" in nature. Guideline lists

of CAE are found in various military services' regulations. This distinction is used for practical purposes, in an attempt to avoid further definition and categorization by weapon or munitions type, etc.

Department of Defense Explosive Safety Board (DDESB): A joint service board composed of a chair, voting representatives from the armed services, and a permanent military and civilian Secretariat, to perform Board operational and administrative functions. The DDESB provides advice to the Secretary of Defense and DoD Components on explosive safety matters. (See DoD 6055.9-STD for a detailed assignment of Board functions.)

Distribution chain: That complex of facilities, installations, methods, and procedures designed to receive, store, maintain, distribute, and control the flow of military materiel between the point of receipt into the military system and the point of issue to using activities and units. (JP 1-02) (Distribution represents that portion of the logistics or supply chain involving the receipt, storage, and preparation for movement, transportation, and delivery of materiel to the final destination.)

Explosive ordnance disposal (EOD) *unit*: Personnel with special training and equipment who render explosive ordnance safe (such as bombs, mines, projectiles, and booby traps), make intelligence reports on such ordnance, and supervise the safe removal thereof. (JP 1-02) As used in this plan, EOD units respond to incidents involving DoD explosives while in the distribution system—whether under commercial or military control.

Emergency: (1) *Safety*: A situation involving the immediate potential for, suspicion of, or detected damage to or deterioration of explosives or munitions or their packaging, container, or transportation conveyance as a result of an accident or incident. An emergency creates an actual or potential imminent threat to humans (health and/or safety), the environment, or property, as determined by appropriate authorities. An explosives or munitions emergency response specialist should be engaged to assess the nature and extent of the risks associated with an emergency. (2) *Security*: A situation involving the imminent threat of or actual terrorist or other hostile acts affecting the AA&E; theft, espionage, sabotage, or other potential threat to the AA&E.

Emergency response: (1) *Safety*: For the purpose of this plan, emergency response is separated from the "first response" of local authorities to an incident or accident. In our context, it refers to an immediate notification and response by DoD explosives and munitions emergency response personnel to assess, control, mitigate, or eliminate the actual or potential risk encountered during an explosives or munitions emergency. An explosives or munitions emergency response may include in-place render-safe procedures, treatment, or destruction of the explosives or munitions or their transport to another location to be rendered safe, treated, or destroyed. Explosives and munitions emergency responses can occur on either public or private lands. (2) *Security*: the response of local, state, or federal authorities to *security*-related incidents involving AA&E (i.e., terrorist or other hostile acts, theft, espionage, sabotage, or other potential threat to the AA&E).

Free on-board (FOB): An acquisition delivery term associated with transfer of title to property and responsibility for arranging transportation and delivery. The most common FOB terms are:

    a. FOB origin—the government takes title to the property at the seller's location, and arranges transportation and delivery to the ultimate consignee.

    b. FOB destination—the seller arranges transportation and delivery to the government consignee's location, and retains title to the property while in transit. Title conveys when the shipment is delivered and accepted at the consignee's location.

Functional architecture: A hierarchical arrangement of the systems functions; external functional interfaces; functional, performance, and verification requirements; and design constraints.

Logistics chain: For the purpose of this plan, the logistics chain is comprised of the planning, testing, procurement, production, supply, inventory management, transportation, sale, receipt, and maintenance of materiel in support of military forces or allies—including the return, demilitarization, and disposal of materiel, when required.

Retrograde: The process of moving material counter to the normal direction of distributing supplies and material, such as in returning munitions to the United States from overseas.

Safety: For the purpose of this plan, safety entails keeping the public and those who use or handle AA&E protected to the maximum extent possible from the inherent dangers associated with exposure to explosive or chemical materiel while in the distribution chain.

Single Manager for Conventional Ammunition (SMCA): The Secretary of Defense designated the Army as the SMCA; objectives and responsibilities are in DoD Directive 5160.65 and DoD Instruction 5160.68. The SMCA concept pulls management of CAE used by more than one service under a single DoD activity to avoid duplication of effort and prevent the military services from separately contracting for (and competing with each other) the same types of munitions. The SMCA

    a. increases DoD's acquisition leverage with the industry;

    b. promotes industry's ability to supply CAE for the military while simultaneously reducing the need for DoD-owned production; and

    c. enhances the integration of wholesale CAE logistics functions, maximizing efficiency and effectiveness.

Security: (1) A condition that results from the establishment and maintenance of protective measures that ensures a state of inviolability from unintentional or directly hostile acts or influences. With respect to classified matter, the condition that prevents unauthorized persons from having access to official information or material that is safeguarded in the interests of national security (JP 1.02). (2) For the purpose of this plan, security entails visibility over and physically keeping AA&E in the custody of only those with specific authorization, and the ability to quickly identify and respond to situations or incidents of actual or potential compromise of AA&E while in the logistics chain.

Subject matter experts (SMEs): Individuals who, because of their functional or technical background and expertise, are well suited to analyze, assess, develop, implement, and oversee actions identified in the implementation plan.

System architecture: The collection and relationship of the components that make up the system as part of the system design. The components are normally categorized into hardware and software.

Technical architecture: The minimum set of rules governing the arrangement, interaction, and interdependence of system parts or elements, the purpose of which is to ensure a system satisfies a specified set of requirements.