



Department of Defense

DIRECTIVE

NUMBER 5500.20
March 28, 2005

USD(P&R)

SUBJECT: Unified Legislation and Budgeting (ULB) Process

References: (a) DoD Directive 5124.2, "Under Secretary of Defense for Personnel and Readiness (USD(P&R))," October 31, 1994
(b) DoD Directive 5500.1, "Preparation and Processing of Legislation, Executive Orders, Proclamations, and Reports and Comments Thereon," May 21, 1964
(c) DoD Directive 7045.14, "Planning, Programming, and Budgeting System (PPBS)," May 22, 1984

1. PURPOSE

This Directive establishes policies for:

1.1. Developing and coordinating legislative initiatives associated with functions assigned to the Under Secretary of Defense for Personnel and Readiness (USD(P&R)), in accordance with reference (a).

1.2. Integrating those initiatives with the DoD Legislative Program in accordance with reference (b) and its Planning, Programming, and Budgeting Execution (PPBE) process in accordance with reference (c).

2. APPLICABILITY

This Directive applies to the Office of the Secretary of Defense, the Military Departments (including the Coast Guard when it is not operating as a Military Service in the Navy, under agreement with the Department of Homeland Security), the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the Office of Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities in the Department of Defense (hereafter referred to collectively as the "DoD Components"). The term "Military Services," as used herein, refers to the Army, the Navy, the Air Force, and the Marine Corps.

3. POLICY

It is DoD policy that:

3.1. The Unified Legislation and Budgeting (ULB) process complements the DoD Legislative Program, as managed by the General Counsel in accordance with reference (b), by:

3.1.1. Providing a joint forum to develop, review, and coordinate legislative initiatives affecting the personnel and readiness functions in accordance with reference (a).

3.1.2. Ensuring that the PPBE provides appropriate legislative funding for approved initiatives.

3.2. The ULB process shall normally be used for legislative initiatives involving matters under the functional cognizance of the USD(P&R) in accordance with reference (a) that affect more than one Military Department, or involve a requirement for new funding. However, the DoD Components may submit legislative proposals directly to the General Counsel in accordance with reference (b).

3.3. A developmental process shall ensure that the affected DoD Components have the opportunity to shape legislative initiatives before their formal evaluation (see paragraph 3.2., above).

3.4. The principals identified in subparagraph 4.1.4., below, shall forward signed initiatives submitted under the ULB process to the USD(P&R). Component initiatives will be fully developed for consideration including purpose, expected results, sectional analysis, draft legislative language, and PPBE costs for each Military Service.

3.5. A ULB summit shall convene annually, complementing the DoD PPBE schedule, to consider items with major policy or major funding implications (e.g., outlays of more than \$1 million for a single initiative, for any Service in a 1-year period). The USD(P&R) shall convene later summit(s) when he or she decides they are necessary.

3.6. Following each ULB summit, the USD(P&R), with the advice of the summit principals (see subparagraph 4.1.4., below), shall identify those initiatives that are appropriate for submission to the DoD Legislative Program, which establishes a requirement for legislative funding under the PPBE.

3.7. When the position of the USD(P&R) conflicts with that of the Director for Operations and Personnel, Office of the Under Secretary of Defense (Comptroller)(USD(C)) or the Director, Program, Analysis, and Evaluation, the USD(P&R) shall provide binding guidance on preparing PPBE submissions. The Deputy Secretary of Defense, with recommendations from the General Counsel, shall resolve the disagreement and determine whether to submit the initiative to the DoD Legislative Program and the Defense Budget.

3.8. Funding for initiatives approved initially (see paragraph 3.6., above) by the USD(P&R), then later disapproved by the Deputy Secretary of Defense, shall be made available for reallocation by the affected DoD Components.

3.9. Legislative initiatives approved (see paragraph 3.6., above) by the USD(P&R) shall be designated for enactment in a time frame supportable by the Defense Budget, as determined by the USD(P&R), on advice of the USD(C) and the summit principals (see subparagraph 4.1.4., below). The Office of the USD(P&R) shall submit supporting legislative proposals to the General Counsel according to reference (b).

4. RESPONSIBILITIES

4.1. The Under Secretary of Defense for Personnel and Readiness shall manage the ULB process by:

4.1.1. Establishing a developmental process to ensure the affected DoD Components have the opportunity to shape legislative initiatives affecting the personnel and readiness functions assigned to the USD(P&R) before their formal evaluation (see paragraph 3.3., above).

4.1.2. Inviting a representative of the Defense Finance and Accounting Service to take part in this developmental process and the ULB summits (see paragraph 3.5., above), and offer advice on the effective dates for legislative initiatives under review.

4.1.3. Working closely with the Secretaries of the Military Departments and the Chairman of the Joint Chiefs of Staff to establish an annual set of priorities for legislative action in areas associated with the personnel and readiness functions in accordance with reference (a).

4.1.4. Inviting the following principals to take part in the ULB summits (see paragraph 3.5., above):

4.1.4.1. The Assistant Commandant of Human Resources of the U.S. Coast Guard.

4.1.4.2. The Assistant Secretaries (Manpower and Reserve Affairs) of the Military Departments, with the Uniformed Personnel Chiefs of the Military Services.

4.1.4.3. The Assistant Secretaries of Defense, and the Deputy Under Secretaries of Defense of the Office of the USD(P&R).

4.1.4.4. The Assistant Secretary of Defense for Special Operations and Low-Intensity Conflict.

4.1.4.5. The General Counsel of the Department of Defense.

4.1.4.6. The Director, Program Analysis and Evaluation.

4.1.4.7. The Director For Operations and Personnel of the Office of the USD(C).

4.1.4.8. The Director for Manpower and Personnel (J-1), Joint Chiefs of Staff.

4.1.5. Inviting additional participants to the ULB summits (see paragraph 3.5., above) as appropriate.


4.2. The Under Secretary of Defense (Comptroller) and the Director, Program Analysis and Evaluation shall both ensure legislative funding is managed consistently with the guidance herein.

4.3. The General Counsel of the Department of Defense shall participate in the ULB process under this Directive.

4.4. The Secretaries of the Military Departments shall propose legislative initiatives for consideration through the ULB process, provide disposition recommendations, and fund those initiatives identified for submission to the DoD Legislative Program, consistently with reference (b) and this Directive.

5. EFFECTIVE DATE

This Directive is effective immediately.



Paul Wolfowitz
Deputy Secretary of Defense