CHAIRMAN OF THE JOINT CHIEFS OF STAFF INSTRUCTION

JOINT CAPABILITIES INTEGRATION AND DEVELOPMENT SYSTEM

References: See Enclosure B

1. <u>Purpose</u>. In support of references a and b, this instruction establishes the Joint Capabilities Integration and Development System (JCIDS) as the process used by the Joint Requirements Oversight Council (JROC) to fulfill its advisory responsibilities to the Chairman of the Joint Chiefs of Staff in identifying, assessing, validating, and prioritizing joint military capability requirements. This instruction provides a broad framework for the detailed JCIDS process activities described in reference c. This Instruction is not intended to stand alone — readers are encouraged to become familiar with reference b before reviewing this Instruction.

2. <u>Cancellation</u>.

    a. CJCSI 3170.01G, 1 March 2009, "Joint Capabilities Integration and Development System," is hereby cancelled.

    b. CJCSI 3470.01, 15 July 2005, "Rapid Validation and Resourcing of Joint Urgent Operational Needs (JUONs) in the Year of Execution," is hereby cancelled.

3. <u>Applicability</u>. This instruction applies to the Joint Staff, Services, Combatant Commands, and other DOD Components.

4. <u>Policy</u>.

    a. The JCIDS process exists to support JROC and CJCS responsibilities in identifying, assessing, validating, and prioritizing joint military capability requirements as outlined in references a and b. JCIDS provides a transparent process that allows the JROC to balance joint equities and make informed

decisions on validation and prioritization of capability requirements.

b. JCIDS operates through the organizational structures defined in reference b, with participation and advice from other organizations which have equity in the capability requirements process.

c. JCIDS uses Joint Capability Areas (JCAs) as an organizing construct for Functional Capability Boards (FCBs) and portfolio assessments, consistent with reference d. This provides the FCBs with portfolios of similar DOD capabilities functionally grouped to support capability analysis, strategy development, investment decisions, capability portfolio management, and capabilities-based force development and operational planning.

d. In addition to supporting JROC and CJCS advisory responsibilities, outputs of the JCIDS process are used to facilitate Doctrine, Organization, Training, Materiel, Leadership and Education, Personnel, Facilities, and Policy (DOTMLPF-P) changes, to drive the Defense Acquisition System (DAS), and to inform the Planning, Programming, Budgeting, and Execution (PPBE) processes detailed in references e through k.

e. Services, Combatant Commands, and other DOD Components with delegated validation authority will use variations of the JCIDS process within their organizations to validate Service-, Combatant Command-, or Component-specific capability requirements. Unless otherwise required to obtain joint validation, the following authorities apply:

(1) Services have validation authority for capability requirements unique to their organizations when the Gatekeeper assigned Joint Staffing Designator (JSD) is Joint Integration, Joint Information, or Independent. Services also have validation authority for Urgent Operational Needs (UONs) unique to their organizations. See references l through r for Service capability requirement validation processes.

(2) In accordance with reference s, USSOCOM has validation authority for capability requirements unique to its organization when the Gatekeeper-assigned JSD is Joint Capabilities Board (JCB) Interest, Joint Integration, Joint Information, or Independent. USSOCOM also has validation authority for UONs unique to its organization. See reference t for USSOCOM capability requirement validation processes.

(3) In accordance with reference u, the Defense Business Systems Management Committee has validation authority for defense business systems (DBS). Validation of capability requirements for, and acquisition of, DBS are conducted under the Business Capability Lifecycle (BCL) model outlined in reference u. BCL document formats remain acceptable in cases where DBS documents must be submitted to JCIDS for validation.

(4) In accordance with reference v, documents for capability requirements that are funded primarily or wholly with National Intelligence Program (NIP) funding, and are related to Major System Acquisitions (MSA), or are programs designated by the Secretary of Defense or the Director of National Intelligence (DNI) to be of special interest, will be developed, reviewed, and validated in accordance with the Intelligence Community Capability Requirements process outlined in reference w. Documents for capability requirements that are funded primarily or wholly with Military Intelligence Program funding, and are related to MSA, or are programs designated by the Secretary of Defense or the DNI to be of special interest, will be developed, reviewed, and validated under the JCIDS process outlined in this instruction and in reference c.

(5) With the exception of NIP-funded IC capability requirements, the JROC reserves the right to exert validation authority over any capability requirement by changing the JSD to JROC Interest or JCB Interest.

f. Unless otherwise authorized, documents generated under other Service-, Combatant Command-, or Component-specific processes will be consistent with JCIDS document formats and uploaded to the KM/DS system for information purposes and for visibility in the JCA portfolios.

g. In the aggregate, the validated and prioritized capability requirements in the FCB portfolios, along with information about the materiel and non-materiel solutions in work or already fielded to satisfy the capability requirements, provide the basis for the related advisory responsibilities of the JROC and the Chairman.

h. Processes and associated tools

(1) Enclosure A provides an overview of the JCIDS process and the interaction between JCIDS, DAS, PPBE, and other departmental processes.

(2) Reference c provides specific procedures for the operation of JCIDS, the development and staffing of JCIDS documents, and the mandated Requirements Management Certification Training program for personnel participating in the JCIDS process. It also outlines process variations for expedited staffing of JUONs or DOD Component UONs and Joint Emergent Operational Needs (JEONs).

(3) The KM/DS system is the authoritative system for processing, coordinating, tasking, and archiving JCIDS documents and related action items. Reference x provides the SIPRNET addresses for the KM/DS system used for the staffing of JCIDS documents. Reference y provides the SIPRNET addresses for the associated wiki site.

(4) The Capabilities Development Tracking and Management (CDTM) tool is provided as a means for sponsors to generate and submit documents into the KM/DS system for staffing and validation. Reference z provides the NIPRNET and SIPRNET addresses for the CDTM tool. Reference aa provides the NIPRNET and SIPRNET addresses for the associated wiki sites.

    i. Applicability of documents developed under previous versions of this instruction

        (1) Documents that were validated under previous versions of this instruction and the now superseded CJCSI 3470.01, "Rapid Validation and Resourcing of JUONs in the Year of Execution" remain valid.

        (2) Operational Requirements Document updates and annexes, Initial Capabilities Documents (ICDs), Capability Development Documents (CDDs), and Capability Production Documents (CPDs) developed under previous versions of this instruction will be accepted to support capability development. Updates to legacy documents will incorporate, or justify the absence of, the following Key Performance Parameters (KPPs) in accordance with reference c: force protection, survivability, sustainment, net-ready, training, and energy.

    j. Requests for exceptions or variances to this instruction or the document formats and processes described in reference c must be directed to the Joint Staff J-8 Requirements Management Division (J-8/RMD). J-8/RMD will work in coordination with the document sponsor and the appropriate FCB to ensure any exceptions or variances meet the needs of the JROC while allowing for appropriate flexibility in the capability requirements process.

5. Definitions. See Glossary.

6. Responsibilities. See reference b.

7. Summary of Changes. This is a complete revision of CJCSI 3170.01, reflecting consolidation of CJCSI 3470.01, alignment with changes in CJCSI 5123.01, Joint Capability Development Process Review (JCDPR) process improvement recommendations, JROC direction, and other administrative changes.

8. Releasability. This instruction is approved for public release; distribution is unlimited. DOD components (to include the combatant commands), other Federal agencies, and the public may obtain copies of this instruction through the Internet from the CJCS Directives Home Page--http://www.dtic.mil/ cjcs_directives.

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

WILLIAM E. GORTNEY
VADM, USN
Enclosures: Director, Joint Staff

A — Joint Capabilities Integration and Development System
B — References
GL — Glossary

(INTENTIONALLY BLANK)

DISTRIBUTION

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

(INTENTIONALLY BLANK)

ENCLOSURE A

JOINT CAPABILITIES INTEGRATION AND DEVELOPMENT SYSTEM

1. JCIDS Overview

     a. The JCIDS process operates in an iterative manner as shown in Figure 1. Initial capability requirements documents drive the early acquisition process, and the early acquisition process drives updates to capability requirements documents related to specific materiel and non-materiel capability solutions to be pursued. The updated capability requirements documents then drive the development, procurement, and fielding of materiel and non-materiel solutions that satisfy the capability requirements and close associated capability gaps.

     b. The JCIDS process is tailorable in many ways to facilitate timely fielding of capability solutions to meet validated capability requirements, as detailed in reference c.
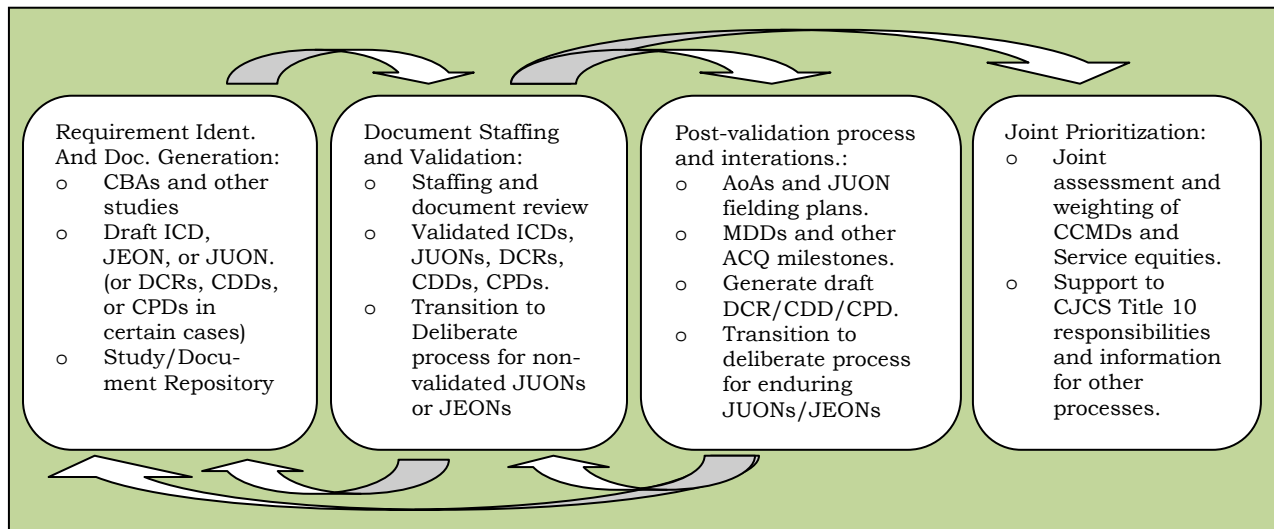

Requirement Ident. And Doc. Generation:	Document Staffing and Validation:	Post-validation process and interations.:	Joint Prioritization:
o CBAs and other studies o Draft ICD, JEON, or JUON. (or DCRs, CDDs, or CPDs in certain cases) o Study/Document Repository	o Staffing and document review o Validated ICDs, JUONs, DCRs, CDDs, CPDs. o Transition to Deliberate process for non-validated JUONs or JEONs	o AoAs and JUON fielding plans. o MDDs and other ACQ milestones. o Generate draft DCR/CDD/CPD. o Transition to deliberate process for enduring JUONs/JEONs	o Joint assessment and weighting of CCMDs and Service equities. o Support to CJCS Title 10 responsibilities and information for other processes.

Figure 1. Overview of JCIDS Process

     c. Requirement Identification and Document Generation

          (1) Services, Combatant Commands, and other DOD Components conduct Capabilities Based Assessments (CBAs) or other studies to assess capability requirements and associated capability gaps and risks. In the case of Urgent or Emergent operational needs, the scope of the assessment may be reduced to an appropriate level to determine the capability requirements in a timely manner. Regardless of the type of assessment, the assessments are

informed by high level strategy and guidance in the National Security Strategy, National Defense Strategy, National Military Strategy (NMS), Quadrennial Defense Review, Guidance for the Employment of the Force, Defense Planning Guidance (DPG), etc.

(2) Capability requirements and capability gaps identified through CBAs and other studies are traceable to an organization's assigned roles and missions, and, to the greatest extent possible, described in terms of tasks, standards, and conditions in accordance with references bb and cc.

(3) In accordance with reference c, results of CBAs and other studies, as well as assessments of operational utility, and other documents intended to justify the generation of JCIDS documents, are uploaded to the KM/DS studies repository for reference purposes.

(4) Any capability requirements which have significant capability gaps typically lead to an ICD which can then drive development of capability solutions which are materiel, non-materiel, or a combination of both. Urgent operational needs typically lead to a JUON or DOD Component UON document. Emergent operational needs typically lead to a JEON or DOD Component UON document.

(5) Joint DOTMLPF-P Change Recommendations (Joint DCRs) represent more refined requirements documents tailored toward a particular non-materiel approach for a capability solution, while CDDs and CPDs represent more refined requirements documents tailored toward a particular materiel approach for a capability solution. Both materiel and non-materiel approaches are usually derived from a validated ICD, JUON, JEON, or DOD Component UON after more detailed analysis of potential approaches and alternative capability solutions. In certain cases, Joint DCRs, CDDs, and CPDs are generated directly from studies or other analyses, without a related ICD, JUON, JEON, or DOD Component UON. Details of these variances are in reference c.

   d. <u>Document staffing and validation</u>

     (1) <u>ICDs, CDDs, CPDs, and Joint DCRs</u>

(a) Staffing and validation of each ICD, CDD, CPD, and Joint DCR is tailored to the nature of the document, as indicated by the JSD assigned by the Gatekeeper.

(b) Validation of these documents does not expire unless withdrawn by the validation authority or requirement sponsor, and as long as the plans, Joint Concepts, Concept of Operations, or other guidance establishing the original capability requirements are still valid.

(2) JUONs, JEONs, and DOD Component UONs

(a) Staffing and validation of JUON, JEON, and DOD Component UON documents are handled through expedited review processes in order to minimize delay and allow rapid fielding of capability solutions. JUONs are validated by the Joint Staff J-8 Deputy Director for Requirements (J-8/DDR), JEONs are validated by the JCB or JROC, and DOD Component UONs are validated by the designated sponsor validation authority.

(b) Unless withdrawn earlier by the validation authority or requirement sponsor, or supported by an assessment of operational utility for transition to enduring capability requirements or limited duration sustainment, validated JUONs and JEONs require review by the validation authority 2 years after the validation date. This ensures that the urgent capability requirements remain valid, or facilitates transition to the deliberate acquisition processes if appropriate. A similar review process for validated DOD Component UONs is at the discretion of the sponsor validation authority.

(3) Details of JCIDS staffing process variations, JSDs, and validation authorities are in reference c and details of the DOD Component staffing processes are in references through t.

e. Post-validation Processes and Interactions

(1) When a capability requirement document is validated by an organization with delegated validation authority, that validation authority will ensure that the validated document is uploaded to the KM/DS system. This is for information and visibility into the JCA portfolios, and does not imply joint staffing and validation unless otherwise required.

(2) Non-materiel solution activities, in the form of DOTMLPF-P analysis and Joint DCR validation and implementation, are covered under this part of the JCIDS process. Details are in reference c.

(3) Materiel solution activities are executed in the DAS process, and are guided by validated capability requirement documents from the JCIDS process. Acquisition efforts drive the generation of additional/refined JCIDS documents which will re-enter part 2 for staffing and validation. Details of interaction between JCIDS and DAS are in references c, e, and f.

(4) Material solutions initiated through a validated JUON, JEON, or DOD Component UON shall not require a CDD or CPD during rapid acquisition unless the capability meets the threshold for a Major Defense Acquisition Programs or Major Automated Information System (MAIS) program or is designated as an Acquisition Category 1D with CDD and or CPD required by

the Defense Acquisition Executive. Enduring requirements for rapidly fielded capability solutions may require a CDD and/or CPD to support transition and follow-on efforts.

(5) For any rapidly fielded capability solutions, the original requirement sponsor will generate an assessment of operational utility for the capability solution within 90 days of initial fielding to facilitate transition, sustainment, or alternate approaches. The three categories for the assessment are:

(a) Failure/Limited Success. Solution sponsor identifies an alternative solution for rapid acquisition.

(b) Success / Limited Duration Requirement. Solution sponsor sustains the solution for the limited timeframe identified by the requirement sponsor and then retires the capability solution.

(c) Success / Enduring Requirement. Solution sponsor sustains the rapidly fielded capability solution until replaced by an alternative capability solution, if applicable, and transitions to a deliberate acquisition program or further development, procurement, and sustainment efforts.

f. Joint Prioritization

(1) Joint prioritization of capability requirements addresses statutory responsibilities of the JROC and the Chairman in accordance with references a and b. In addition to satisfying statutory responsibilities, joint prioritization within JCA portfolios provides context for senior decision makers across the Department.

(2) Each FCB will establish joint priorities for all capability requirements submitted to their respective FCB portfolios in ICDs, JEONs, JUONs, or DOD Component UONs.

(a) Successor documents — CDDs, CPDs, and Joint DCRs — typically address capability requirements already established in ICDs, and thus do not require additional prioritization and will be traceable to the capability requirements and priorities from predecessor documents. In cases where CDDs, CPDs, or Joint DCRs are submitted without a preceding ICD, joint priorities will be established for the capability requirements contained within these documents.

(b) FCB efforts to establish joint priorities are conducted primarily as part of JCIDS document staffing activities to facilitate low workload on the part of the FCBs, and avoid an increase to staffing timelines. Some level of initial effort will be required to establish joint priorities for previously validated capability requirements in each FCB portfolio.

(c) Priorities determined by the sponsor of each capability requirement will not be considered during FCB assessments of joint priorities. Document sponsors may participate in normal FCB and FCB WG activities to ensure that pertinent information relating to the capability requirements under review may be considered by the FCBs and FCB WGs.

(d) See reference c for additional details of FCB activities relating to joint prioritization.

(3) The Gatekeeper maintains the FCB joint prioritization for capability requirements within each FCB portfolio. The joint prioritization is available as needed to provide context to other Departmental processes and senior-level decision-making.

2. Interaction of JCIDS with DAS and PPBE Processes

a. JCIDS (capability requirements and non-materiel solutions), DAS (materiel solutions), and PPBE (resources) are three key processes in DOD which must work in concert to ensure consistent decision making while delivering timely and cost effective capability solutions to the Warfighters. JCIDS is documented in this instruction and in references b and c; DAS is documented in references e and f; and PPBE is documented in references g through k. See Figure 2.
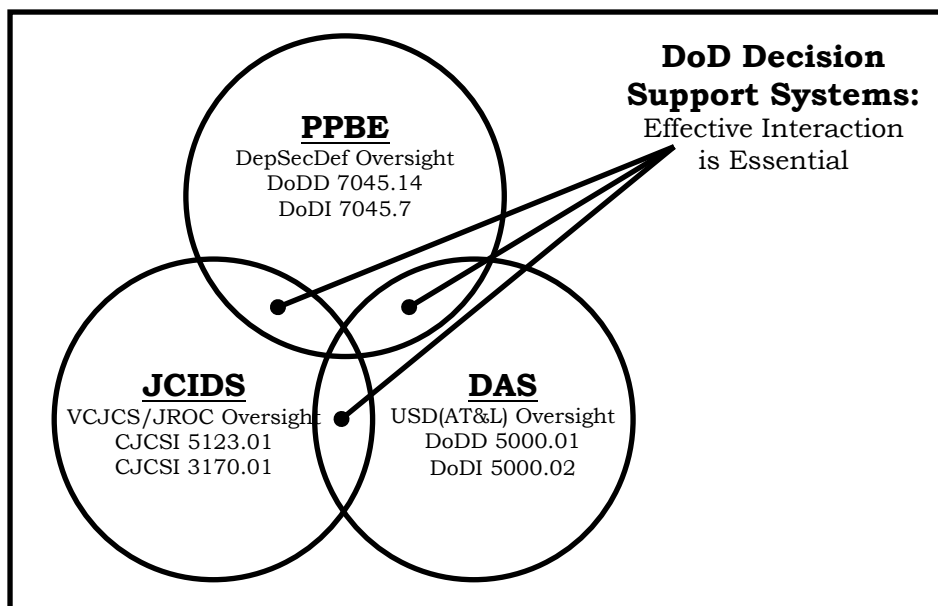

Figure 2. Three Critical Interacting Processes

b. Together, the three processes provide a means to determine, validate, and prioritize capability requirements and associated capability gaps and risks,

and then fund, develop, and field non-materiel and materiel capability solutions for the Warfighter in a timely manner.

   c. <u>DAS</u>. USD(AT&L) manages DAS as the primary process for transforming validated capability requirements into materiel capability solutions. JCIDS documents provide the critical link between validated capability requirements and the acquisition of materiel capability solutions through five major DAS phases: Materiel Solution Analysis, Technology Development (TD), Engineering & Manufacturing Development (EMD), Production & Deployment (P&D), and Operations & Support (O&S). Details of the DAS process are in references e and f. See Figure 3 for the relationship between the acquisition process and JCIDS documents.
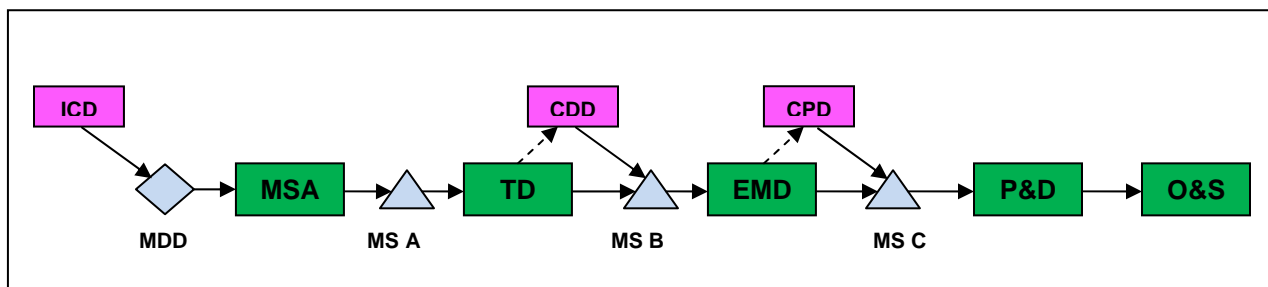

Figure 3. Overview of DAS and interaction with JCIDS documents.

   (1) <u>Materiel Solution Analysis Phase</u>

      (a) Following the validation of an ICD in the JCIDS process and a positive Materiel Development Decision by the Milestone Decision Authority (MDA), the solution sponsor conducts an Analysis of Alternatives (AoA) or similar study during this phase to identify the most appropriate option(s) to address one or more validated capability requirements and reduce or eliminate associated capability gaps.

      (b) Following an AoA on capability requirements in a JROC or JCB Interest ICD, the appropriate FCBs review the AoA and recommended solution, and other MSA analyses. Together with the solution sponsor, the FCB Chair briefs the JCB and/or JROC on the AoA recommendations and FCB assessment to facilitate the JCB or JROC providing informed advice to the MDA on the best approach to satisfy the capability requirement(s).

      (c) The FCB review of these MSA results shall be completed in sufficient time to permit preparation of a draft CDD, not submitted to JCIDS for validation at this time, to inform the Technology Development Strategy and Request for Proposals for the TD phase.

   (2) <u>Technology Development Phase</u>

(a) Following the completion of the Materiel Solution Analysis phase, and a positive Milestone (MS) A decision by the MDA to continue development of a materiel solution, the solution sponsor reduces technical risk through TD Phase activities, which may include competitive prototyping.

(b) The solution sponsor updates the draft CDD based upon TD phase activities and submits it to the JCIDS process for staffing and validation. The validated CDD is used as part of the pre-EMD review leading up to a MS B decision by the MDA.

(3) <u>Engineering & Manufacturing Development Phase</u>

(a) Following the validation of a CDD in the JCIDS process and a positive MS B decision by the MDA to continue development of a materiel solution, the sponsor develops and demonstrates a potentially effective and producible materiel solution during this phase, addressing the KPPs in the CDD and partially or wholly satisfying one or more validated capability gaps.

(b) During this phase, the sponsor generates a draft CPD and submits it into the JCIDS process for staffing and validation prior to a MS C decision by the MDA.

(4) <u>Production and Deployment Phase</u>

(a) Following the validation of a CPD in the JCIDS process and a positive MS C decision by the MDA to enter production with the materiel solution developed in the earlier DAS phases, the sponsor produces the capability solution(s) and fields them to the Warfighter until they reach full operating capability and the full quantity of end items have been produced.

(b) Normally there is no further interaction with JCIDS in this phase, unless there are changes during production that require changes to validated KPP thresholds, or if the program is not expected to remain within targets for cost, schedule, or quantity set during validation.

(5) <u>Operations & Support Phase</u>

(a) This phase overlaps the P&D phase once the first of the capability solutions have been fielded to the Warfighter.

(b) Normally there is no further interaction with JCIDS in this phase, although the capability requirement may re-enter the JCIDS process during this phase if modifications or upgrades require changes to validated KPP thresholds for follow-on development and production.

(d) At end of life, capability solutions supporting enduring capability requirements may need to be recapitalized to prevent a capability gap related to an enduring capability requirement.

<u>1</u>. In cases where the original capability requirements are still valid, and there are no changes to the previous KPPs, the original JCIDS documents may be used to recapitalize the capabilities and additional staffing and validation is not required.

<u>2</u>. In cases where the original capability requirement have been altered and/or different capabilities are to be pursued as part of the recapitalization, updated JCIDS documents are submitted for staffing and validation.

(6) When the capability requirement is no longer valid, the sponsor retires and disposes of any associated capability solution(s).

d. <u>PPBE</u>. The Deputy Secretary of Defense manages PPBE as the primary process for enabling the funding of the various JCIDS and DAS activities which develop, field, and sustain effective capability solutions to the warfighters. Details of the PPBE processes are in references g through k. See Figure 4 for an overview of the PPBE process.
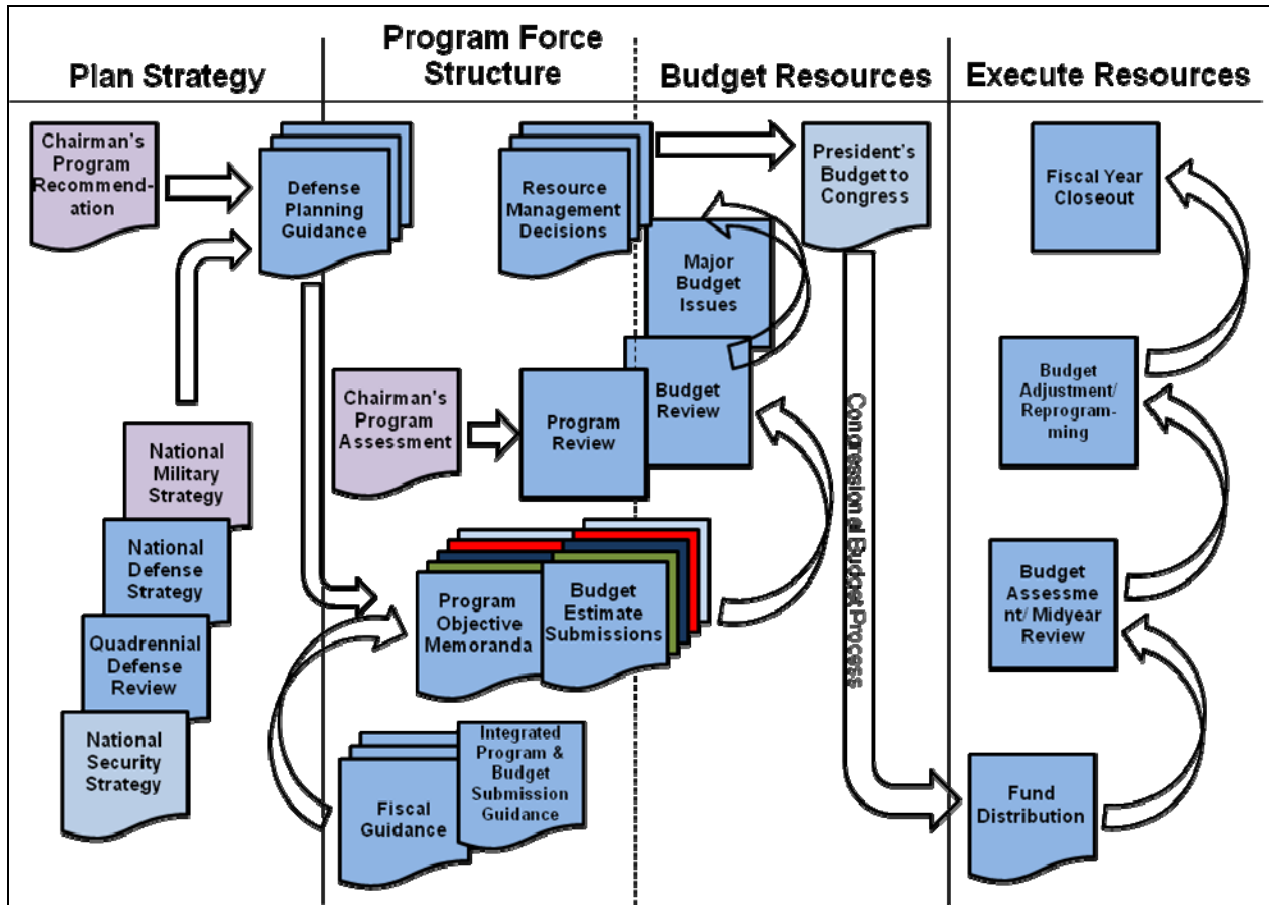
Figure 4. Overview of PPBE Process

(1) Planning. DPG considers the same strategic documents which inform the JCIDS process. The DPG, along with fiscal guidance from the Office of Management and Budget (OMB), informs the Services, Combatant Commands, and other DOD Components in the development of their Program Objective Memoranda (POMs).

(2) Programming. Each Service, Combatant Command, and other DOD Component considers the DPG, joint priorities, and other strategic guidance documents to generate inputs to the DOD budget in the form of a POM. Validated capability requirements from the JCIDS process are the driver for a large portion of the POMs, including both development of new capability solutions and sustainment of fielded capability solutions. OSD conducts an annual Program and Budget Review (PBR) to adjudicate program and budget issues and better align the overall DOD budget prior to submission to the OMB. The result of PBR is a Resource Management Decision, which directs changes to the POMs as they are consolidated into the overall DOD budget submission to OMB. Joint priorities established in JCIDS will inform both POM development efforts and issue discussions under the PBR.

(3) Budgeting. Since the DOD budget is only a portion of overall government expenditures, OMB consolidates the budget submissions from all of the government departments and agencies and produces the President's Budget for submission to Congress. Through a number of committees and legislative procedures, and informed by the President's Budget and testimony of various DOD officials, Congress authorizes and appropriates funds as it sees fit for the execution of DOD programs.

(4) Execution. Using the funding provided by Congress, the Services, Combatant Commands, and other DOD Components execute their programs and interact directly or indirectly with the JCIDS process with activities including study, identification, and validation of new capability requirements and associated capability gaps; development and acquisition of new capability solutions; and O&S of fielded capability solutions.

3. Interaction with Other Processes

  a. Integrated Priority Lists (IPLs)/Capability Gap Assessment (CGA)

(1) The IPL is a once-a-year update of Combatant Command prioritized issues (capability gaps associated with validated or proposed capability requirements) that limit Combatant Command ability to successfully achieve assigned roles, functions, and missions. The IPLs are the official submissions of these prioritized capability gaps to the Joint Staff for review under the CGA process.

(2) The CGA process, detailed in reference c, reviews Combatant Command IPLs, and other issues and perspectives from the Services and other DOD Components, relative to existing materiel and non-materiel efforts which may already be underway to address the capability gaps. As a result of the CGA, the JROC validates any new capability requirements and associated capability gaps, and recommends solutions for mitigation.

  b. JROC/JCB Tripwire

(1) The JROC/JCB Tripwire is a JROC process, established in accordance with reference dd, to review JROC and JCB Interest programs that deviate from cost, schedule, or quantity targets established at the time of validating CDDs or CPDs.

(a) Cost. Programs must return to the JROC or JCB for re-validation if they experience a cost growth equal to or greater than 10 percent over their current baseline or 25 percent over their original baseline as defined in the Acquisition Program Baseline.

(b) Schedule. Programs must return to the JROC or JCB for re-validation if they experience a schedule slip for Initial Operational Capability (IOC) or Full Operational Capability (FOC) equal to or greater than 12 months from IOC and FOC targets set in the validation JROC Memorandum (JROCM).

(c) Quantity. Programs must return to the JROC or JCB for re-validation if they experience a reduction in end-item quantities equal to or greater than 10 percent from a quantity target set in the validation JROCM.

(2) The lead FCB will work with the sponsor to assess whether an adjustment to validated KPPs is appropriate to mitigate the changes to cost, schedule, or quantity, while still providing meaningful capability for the warfighter. More detail on JROC/JCB Tripwire procedures are in reference c.

(3) JROC/JCB Tripwires do not preclude a validation authority from, at any time, requiring a review of previously validated requirements or programs by directly communicating to the applicable sponsor, outlining the review requirements, timeline, and other details.

c. Nunn-McCurdy Unit Cost Breach. The Nunn-McCurdy Unit Cost Breach review activity is a USD(AT&L) process implemented to meet statutory review requirements in reference ee. USD(AT&L) organizes Integrated Process Teams to review the program, alternatives, cost estimates, and national security impacts. More detail on Nunn-McCurdy Unit Cost Breach procedures are in references c and f.

(a) The FCBs, JCB, and JROC participate in order to review the driving capability requirements and associated capability gaps and operational risks, and provide recommendations with respect to the essentiality of the program to satisfying capability requirements critical to national security.

(b) Joint priorities provide additional information for consideration during the review.

d. MAIS Critical Change Reports. The MAIS Critical Change review activity is a USD(AT&L) process implemented to meet statutory review requirements in reference ff. More detail on MAIS Critical Change review procedures are in references c, f, and gg.

(a) The FCBs, JCB, and JROC participate in order to review the driving capability requirements and associated capability gaps and operational risks, and provide recommendations with respect to the essentiality of the program to satisfying capability requirements critical to national security.

(b) Joint priorities provide additional information for consideration during the review.

e. <u>PBR</u>. The PBR process is coordinated by CAPE to facilitate the consolidation of POM submissions from the Services and other DOD Components, and adjudication of any outstanding issues before presenting the overall DOD input to the President's budget submission.

(1) As close coordination of JCIDS, DAS, and PPBE is critical to the timely fielding of capability solutions to the warfighters, as indicated in Figure 2, representatives from the FCBs participate in issue teams to provide representation from the Warfighter capability requirement perspective.

(2) In addition, Joint Staff participation from J-8/CAD provides representation from the acquisition and capability solution perspective, and participation from J-8/PBAD provides representation from the financial perspective.

(3) Joint prioritization informs the PBR discussions regarding the relative priorities of the capability requirements behind the programs under review.

f. <u>Chairman's Program Recommendation/Assessment</u>

(1) <u>Chairman's Program Recommendation (CPR)</u>. The CPR provides the Chairman personal recommendations to the Secretary of Defense for the programming and budgeting process prior to OSD publishing the DPG. The CPR articulates issues the Chairman deems important enough for the Secretary to consider when identifying DOD strategic priorities in the DPG.

(a) FCBs will assist in the development of the CPR by identifying and articulating candidate issues, conducting supporting research and assessments, and developing 5x8s on the candidate issues.

(b) Joint prioritization is an additional input for consideration in the formulation of the CPR.

(2) <u>Chairman's Program Assessment (CPA)</u>. The CPA is the Chairman's personal assessment to the Secretary of Defense on the adequacy of Service and DOD POMs submitted in the most recent cycle and may be considered in refining the Defense program and budget. The Chairman's assessment addresses risk associated with the programmed allocation of Department resources and evaluates the conformance of POMs to the priorities established in strategic plans and Combatant Command priorities for capability requirements. The CPA also assesses the recommendations and execution of those issues highlighted in the CPR.

(a) FCBs will assist in the development of the CPA by identifying and articulating candidate issues, conducting supporting research and assessments, and developing 5x8s on the candidate issues.

(b) Joint prioritization is an additional input for consideration in the formulation of the CPA.

g. <u>Chairman's Risk Assessment (CRA)</u>. The CRA is the Chairman's assessment of the nature and magnitude of strategic and military risk in executing the missions called for in the NMS, and may include recommendations for mitigating risk, including changes to strategy, development of new operational concepts or capabilities, increases in capacity, or adjustments in force posture or employment.

(1) The CRA informs the review and validation of capability requirements in the FCB portfolios during normal staffing activities as well as IPL/CGA, PBR, and other periodic reviews.

(2) The CRA should also be informed by the priorities of validated capability requirements in the FCB portfolios, as well as the acquisition activities underway to satisfy the capability requirements and improving capabilities and reducing risk in conducting the missions called for in the NMS.

h. <u>Capability Portfolio Management (CPM)</u>. CPM is a process managed by USD(P) which is intended to inform senior leadership regarding status of capability solutions within each JCA portfolio to aid decisions related to future investments. CPM activities are aligned with the JCAs, and thus can leverage the alignment with the FCBs and joint prioritization in each portfolio. Details of the CPM process are in reference hh.

(INTENTIONALLY BLANK)

ENCLOSURE B

REFERENCES

a. Title 10, USC, section 181, "Joint Requirements Oversight Council"

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

c. JCIDS Manual, "Manual for the Operation of the Joint Capabilities Integration and Development System," on NIPRNET - https://www.intelink.gov/wiki/JCIDS_Manual, on SIPRNET - http://www.intelink.sgov.gov/wiki/JCIDS_Manual

d. PDUSD(P)/DJS memorandum, 8 April 2011, "Joint Capability Area (JCA) 2010 Refinement"

e. DODD 5000.01, 12 May 2003, "The Defense Acquisition System"

f. DODI 5000.02, 8 December 2008, "Operation of the Defense Acquisition System"

g. CJCSI 8501.01 series, "Chairman of the Joint Chiefs of Staff, Combatant Commanders, and Joint Staff Participation in the Planning, Programming, Budgeting, and Execution System"

h. DODD 7045.14 Ch-1, 28 July 1990, "The Planning, Programming, and Budgeting System (PPBS)"

i. DTM-04-005, 27 March 2004, "Control of Planning, Programming, Budgeting, and Execution (PPBE) Documents and Information"

j. DODI 7045.7 Ch-1, 9 April 1987, "Implementation of the Planning, Programming, and Budgeting System (PPBS)"

k. DepSecDef Management Initiative Decision 913, 22 May 2003, "Implementation of a 2-Year Planning, Programming, Budgeting, and Execution Process"

l. AFPD 10-6, 31 May 2006, "Capabilities-Based Planning & Requirements Development"

m. AFI 10-601, 12 July 2010, "Operational Capability Requirements Development"

n. AFI 63-114, 4 January 2011, "Quick Reaction Capability Process"

o. AR 71-9, 28 December 2009, "Warfighting Capabilities Determination"

p. MCO 3900.15, 10 March 2008, "Marine Corps Expeditionary Force Development System (EFDS)"

q. MCO 3900.17, 17 October 2008, "Marine Corps Urgent Needs Process (UNP) and the Urgent Universal Need Statement (Urgent UNS)"

r. SECNAVINST 5000.2E, 1 September 2011, "Implementation and Operation of the Defense Acquisition System and the Joint Capabilities Integration and Development System"

s. JROCM 179-09, 2 November 2009, "Delegation of Authority for Special Operations Capabilities to Special Operations Command"

t. USSOCOM Directive 71-4, 9 June 2009, "Special Operations Forces Capabilities Integration and Development System"

u. DTM 11-009, 23 June 2011, "Acquisition Policy for Defense Business Systems (DBS)"

v. DJ-8 and ADNI/SRA memorandum, 16 March 2010, "Guidelines for Interaction between the Intelligence Community Capability Requirements (ICCR) Process and Joint Capabilities Integration and Development System (JCIDS)"

w. DNI memorandum, 26 May 2010, "Intelligence Community Capability Requirements Process - Interim Guidance"

x. KM/DS System. On SIPRNET – http://jrockmds1.js.smil.mil

y. KM/DS Wiki. On SIPRNET – http://www.intelink.sgov.gov/wiki/Portal: JROC_KMDS_Knowledge_Management_and_Decision_Support

z. CDTM Tool. On NIPRNET – https://cdtm.js.mil. On SIPRNET – https://cdtm.js.smil.mil

aa. CDTM Wiki. On NIPRNET – https://www.intelink.gov/wiki/Capabilities_ Development_Tracking_and_Management_(CDTM). On SIPRNET – http://www. intelink.sgov.gov/wiki/Capabilities_Development_Tracking_and_Management_(CDTM)

bb. CJCSI 3500.02 series, "Universal Joint Task List (UJTL) Policy and Guidance for the Armed Forces of the United States"

cc. CJCSM 3500.04 series, "Universal Joint Task Manual"

dd. JROCM 104-10, 25 June 2010, "Cost Growth in Joint Requirements Oversight Council (JROC) Approved Programs"

ee. Title 10, USC, section 2433a, "Critical Cost Growth in Major Defense Acquisition Programs"

ff. Title 10, USC, chapter 144a, "Major Automated Information System Programs"

gg. Defense Acquisition Guidebook. On NIPRNET - https://dag.dau.mil.

hh. DODD 7045.20, 25 September 2008, "Capability Portfolio Management"

(INTENTIONALLY BLANK)

GLOSSARY

PART I – ACRONYMS

AoA	Analysis of Alternatives
CBA	Capabilities Based Assessment
CDD	Capability Development Document
CDTM	Capability Development Tracking and Management
CGA	Capability Gap Assessment
CJCS	Chairman of the Joint Chiefs of Staff
CJCSI	Chairman of the Joint Chiefs of Staff Instruction
CPA	Chairman's Program Assessment
CPD	Capability Production Document
CPR	Chairman's Program Recommendation
CPM	Capability Portfolio Management
DAS	Defense Acquisition System
DCR	DOTmLPF-P Change Recommendation
DepSecDef	Deputy Secretary of Defense
DNI	Director of National Intelligence
DOD	Department of Defense
DOTmLPF-P	Doctrine, Organization, Training, Materiel, Leadership Policy and Education, Personnel, Facilities, and Policy
DPG	Defense Planning Guidance
EMD	Engineering and Manufacturing Development Phase
FCB	Functional Capabilities Board
FCB WG	FCB Working Group
FDD	Full Deployment Decision
FOC	Full Operational Capability
IC	Intelligence Community
ICCR	Intelligence Community Capability Requirements
ICD	Initial Capabilities Document
IOC	Initial Operational Capability
IPL	Integrated Priority List
J-8/DDR	Joint Staff J-8 / Deputy Director for Requirements
J-8/RMD	Joint Staff J-8 / Requirements Management Division
JCA	Joint Capability Area
JCB	Joint Capabilities Board

JCD	Joint Capabilities Document
JCDPR	Joint Capability Development Process Review
JCIDS	Joint Capabilities Integration and Development System
JEON	Joint Emergent Operational Need
JRAC	Joint Rapid Acquisition Cell
JROC	Joint Requirements Oversight Council
JROCM	Joint Requirements Oversight Council Memorandum
JSD	Joint Staffing Designator
JUON	Joint Urgent Operational Need
KM/DS	Knowledge Management / Decision Support
KPP	Key Performance Parameter
MAIS	Major Automated Information System
MDA	Milestone Decision Authority
MIP	Military Intelligence Program
MQR	MAIS Quarterly Report
MS	Milestone
MSA	Major System Acquisitions
NIP	National Intelligence Program
NIPRNET	Nonsecure Internet Protocol Router Network
NMS	National Military Strategy
O&S	Operation and Support Phase
OMB	Office of Management and Budget
OSD	Office of the Secretary of Defense
OUSD(AT&L)	Office of the Under Secretary of Defense for Acquisition, Technology & Logistics
P&D	Production and Deployment Phase
PBR	Program and Budget Review
POM	Program Objective Memorandum
PPBE	Planning, Programming, Budgeting, and Execution
SAR	Selected Acquisition Report
SecDef	Secretary of Defense
SIPRNET	SECRET Internet Protocol Router Network
SIPRNet	Secret Internet Protocol Router Network
TD	Technology Development Phase
UJTL	Universal Joint Task List

| UON | Urgent Operational Need |
| USSOCOM | US Special Operations Command |

(INTENTIONALLY BLANK)

PART II – DEFINITIONS

Capability – The ability to execute a specified course of action. (A capability may or may not be accompanied by an intention.) (JP 1-02)

Capability Gap (or Gap) – The inability to execute a specified course of action. The gap may be the result of no existing capability, lack of proficiency or sufficiency in an existing capability solution, or the need to replace an existing capability solution to prevent a future gap.

Capability Need (or Need) – see "Capability Requirement".

Capability Requirement (or Requirement) – A capability required to meet an organization's roles, functions, and missions in current or future operations. To the greatest extent possible, capability requirements are described in relation to tasks, standards, and conditions in accordance with the Universal Joint Task List or equivalent DOD Component Task List. If a capability requirement is not satisfied by a capability solution, then there is also an associated capability gap which carries a certain amount of risk until eliminated. A requirement is considered to be 'draft' or 'proposed' until validated by the appropriate authority.

Capability Solution – A materiel solution or non-material solution to satisfy one or more capability requirements (or needs) and reduce or eliminate one or more capability gaps.

Core Mission Area – DOD core mission areas identified under the most recent Quadrennial Roles and Missions (QRM) review are: Homeland Defense and Civil Support (HD/CS); Deterrence Operations; Major Combat Operations (MCOs); Irregular Warfare; Military Support to Stabilization Security, Transition, and Reconstruction Operations; Military Contribution to Cooperative Security.

Document Sponsor – The organization submitting a JCIDS document. Solution sponsors for successor documents – Capability Development Documents (CDDs), Capability Production Documents (CPDs), and Joint DOTmLPF-P Change Recommendations (Joint DCRs) - may be different than the Requirement Sponsors for initial documents – Initial Capabilities Documents (ICDs), Urgent Operational Needs (UONs), Joint UONs (JUONs), and Joint Emergent Operational Needs (JEONs). Different Sponsors for requirements and solutions occurs most commonly when the initial requirement Sponsor does not have delegated acquisition authority and a different organization is designated to develop and field a capability solution.

DOD Components – The Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant

Commands, the Office of the Inspector General of the Department of Defense, the Department of Defense Agencies, field activities, and all other organizational entities in the Department of Defense. (JP 1-02)

Note that the term "DOD Components" also includes the National Guard Bureau (NGB). The term "DOD Components" is used for standardization/streamlining purposes and does not imply exclusion or exception from this grouping even if listed separately in the past.
Gap – See "Capability Gap".

Joint - Connotes activities, operations, organizations, etc., in which elements of two or more Military Departments participate. (JP 1-02)

Note that this definition of "joint" is applicable to requirement documents and capability solutions which apply to more than one DOD Component. See "joint military requirement" for the definition applicable to JROC responsibilities.

Joint Emergent Operational Need (JEON) – UONs that are identified by a Combatant Command as inherently joint and impacting an anticipated or pending contingency operation.

Joint Military Requirement – a capability necessary to fulfill or prevent a gap in a core mission area of the Department of Defense.

Note that the responsibilities of the JROC over "joint military requirements" include both joint requirements and single DOD Component requirements which makeup the entirety of the capabilities of the joint force and enable the DOD core mission areas.

Joint Urgent Operational Need (JUON) – UONs that are identified by a Combatant Command as inherently joint and impacting an ongoing contingency operation.

Materiel Solution – A new item (including ships, tanks, self-propelled weapons, aircraft, etc., and related spares, repair parts, and support equipment, but excluding real property, installations, and utilities) developed or purchased to satisfy one or more capability requirements (or needs) and reduce or eliminate one or more capability gaps.

Need – See "Capability Requirement".

Non-materiel Solution – Changes to doctrine, organization, training, (existing) materiel, leadership and education, personnel, and/or facilities, implemented to satisfy one or more capability requirements (or needs) and reduce or eliminate one or more capability gaps, without the need to develop or purchase a new materiel solution.

Rapid Acquisition – a streamlined and tightly integrated iterative approach, acting upon validated urgent or emergent capability requirements, to: conduct analysis and evaluate alternatives and identify preferred solutions; develop and approve acquisition documents; contract using all available statutory and regulatory authorities and waivers and deviations of such, appropriate to the situation; identify and minimize technical development, integration, and manufacturing risks; and rapidly produce and deliver required capabilities.

Requirement – See "Capability Requirement".

Requirement Sponsor – See "Document Sponsor".

Solution – See "Capability Solution".

Solution Sponsor – See "Document Sponsor".

Sponsor – See "Document Sponsor".

Urgent Operational Need (UON) – capability requirements identified by a DOD Component as impacting an ongoing or anticipated contingency operation. If left unfulfilled, UONs result in capability gaps potentially resulting in loss of life or critical mission failure. DoD Components, in their own terminology, may use a different name for a UON.

Validation - The review and approval of capability requirement documents by a designated validation authority. The JROC is the ultimate validation authority for capability requirements unless otherwise delegated to a subordinate board or to a designated validation authority in a Service, Combatant Command, or other DOD Component.

(INTENTIONALLY BLANK)