



CHAIRMAN OF THE JOINT CHIEFS OF STAFF INSTRUCTION

J-8

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CJCSI 8501.01B

21 August 2012

CHAIRMAN OF THE JOINT CHIEFS OF STAFF, COMBATANT COMMANDERS,
CHIEF, NATIONAL GUARD BUREAU, AND JOINT STAFF PARTICIPATION IN
THE PLANNING, PROGRAMMING, BUDGETING AND EXECUTION PROCESS

References: Enclosure D

1. Purpose. This instruction describes participation by the Chairman of the Joint Chiefs of Staff (CJCS), the Commanders of the Combatant Commands (CCDRs), the Chief, National Guard Bureau (CNGB), and the Joint Staff (JS) in the DoD Planning, Programming, Budgeting and Execution (PPBE) process.
2. Cancellation. CJCSI 8501.01A, 3 December 2004, "Chairman of the Joint Chiefs of Staff, Commander in Chiefs of the Combatant Commands, and Joint Staff Participation in the Planning, Programming, Budgeting, and Execution System" is hereby canceled.
3. Applicability. This instruction applies to the CJCS, CCDRs, CNGB, and JS.
4. Policy
 - a. Each Military Department, Defense agency, and U.S. Special Operations Command (USSOCOM) is in the best position to determine its requirements for equipment and personnel needed to comply with defense-level planning and programming guidance. Management of resources is considered an internal matter in accordance with the statutory responsibility of each Military Department to organize, train, equip, and administer its own forces. The CJCS normally will not address matters of internal organization that are the primary responsibility of the Armed Services (hereafter referred to as the "Services"), but this in no way negates the statutory responsibility of the CJCS to review major personnel, materiel, and logistics requirements of the Services in relation to strategic and operational plans.
 - b. The Goldwater-Nichols Department of Defense Reorganization Act of 1986 (PL 99-433) was the impetus for strengthening joint military participation

in the management of DoD resources. Currently codified in title 10, U.S. C., Armed Forces (Reference a), this legislation provides the CJCS, CCDRs, CNGB, and the JS a greater voice in the PPBE process.

c. As principal military advisor to the President, Secretary of Defense (SecDef), and the National Security Council (NSC), the CJCS has statutory responsibility to assist the President and SecDef in providing strategic planning, direction, and advice on requirements, programs, and budget priorities identified by the CCDRs and CNGB. CJCS mechanisms to satisfy these statutory responsibilities include the Joint Strategic Planning System (JSPS), Functional Capability Board (FCB), Joint Capability Board (JCB), and the Joint Requirements Oversight Council (JROC), which are discussed under separate instructions cited at Enclosure D.

5. Definitions. See Glossary. For purposes of this instruction the term DoD Component(s) includes Military Departments and Defense Agencies. In addition to separate budget proposals for activities of the Combatant Commands (CCMDs), requests for funding special operations forces (SOF)-peculiar activities are included in the budget proposal for USSOCOM.


6. Responsibilities. See Enclosure A.

7. Summary of Changes. This revision incorporates changes to the terms and processes of PPBE since Management Initiative Decision 913, 22 May 2003, and adds participation of the NGB.

8. Releasability. This instruction/manual/notice 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/ manual/notice through the Internet from the CJCS Directives Home Page--http://www.dtic.mil/cjcs_directives.

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

For the Chairman of the Joint Chiefs of Staff:



CURTIS M. SCAPARROTTI
Lieutenant General, U.S. Army
Director, Joint Staff

Enclosures:

- A – Responsibilities
- B – Joint Participation in DoD Planning, Programming, Budgeting and Execution
- C – The Congressional Budget Process
- D – References
- GL – Glossary

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ENCLOSURE A
RESPONSIBILITIES

The following functions and responsibilities are identified for the CJCS, CCDRs, CNGB, and JS involvement in each phase of the PPBE process. Enclosure A describes key military member participation throughout the process.

1. Chairman of the Joint Chiefs of Staff

a. Strategic Planning

(1) Prepare and submit to the SecDef the National Military Strategy (NMS) providing advice and assistance as to the strategic direction of the Armed Forces in accomplishing national security objectives.

(2) Prepare strategic plans including plans that conform to resource levels projected by the SecDef to be available for the period of time for which the plans are to be effective.

(3) Perform assessments to determine the capabilities of the Armed Forces of the United States and its allies as compared with potential adversaries.

(4) Prepare joint logistics and mobility plans to support those strategic plans and recommend the assignment of responsibilities to the Armed Forces.

b. Contingency Planning

(1) Provide for the preparation and review of contingency plans that conform to the President's and SecDef's guidance.

(2) Prepare and review contingency plans supported by joint logistics and mobility plans, and recommend the assignment of logistics and mobility responsibilities to the Armed Forces.

(3) Advise the SecDef on critical deficiencies and strengths in force capabilities, including manpower, logistic, and mobility support.

(4) Establish and maintain a uniform system of evaluating the preparedness of each CCMD to carry out its missions (e.g., the Chairman's Risk Assessment).

c. Advice on Requirements, Programs, and Budgets

(1) Advise the SecDef on the priorities identified by the commanders of unified and specified CCMDs.

(2) Advise the SecDef on the extent to which program recommendations and budget proposals of the Military Departments and other DoD Components conform with the priorities established in strategic plans, and with the priorities established for the CCMDs and the National Guard.

(3) Submit alternative program recommendations and budget proposals for activities of the CCDRs within projected resource levels and guidance provided by the SecDef. These recommendations will be submitted at key pre-determined points within the PPBE process such as the Service Program Objective Memoranda (POM) builds, issue paper nominations, issue team deliberations, and Major Budget Issue discussions.

(4) Review the draft strategic planning guidance and programming guidance, and provide comments to the SecDef.

(5) Prepare and submit to the SecDef the Chairman's Program Recommendations (CPR) providing CJCS' personal recommendations for consideration in publishing planning and programming guidance.

(6) Prepare and submit to the SecDef the Chairman's Program Assessment (CPA) providing CJCS' personal appraisal on alternative program recommendations and budget proposals for consideration in refining the defense program and budget through the Program/Budget review process.

(7) Prepare and submit to the SecDef the Chairman's Risk Assessment (CRA) to provide an assessment of risks as they relate to CCDRs' ability to execute missions and the Services' ability to support with available forces.

(8) Participate as a member of the SecDef's Small Group meetings.

(9) Advise the SecDef on Major Budget Issues (MBIs).

d. Discuss and make recommendations on CCMD planning, programming, budgeting, and execution concerns with the SecDef and Deputy Secretary of Defense (DepSecDef).

2. Commanders of the Combatant Commands. CCDRs have the opportunity to provide input and comment in all four phases of PPBE to ensure their commands attain the best mix of forces, equipment, and support.

a. Planning

(1) Provide input to CJCS in the development of NMS, Joint Strategic Capabilities Plan (JSCP), and net assessments.

(2) Provide input to CJCS to assist in the development of the CRA.

(3) Review and comment on the final draft planning and programming guidance before the SecDef's approval to consider the adequacy of policy, strategy, forces, and resource planning guidance.

(4) Provide input to the JS regarding CCMD capability needs, redundancies, and an assessment of risks resulting from balancing tasks and available resources.

b. Programming

(1) Provide prioritized funding requirements, at a time specified by each Service, to their Service Components, or their commands responsible for developing the CCMD's contributions to each respective Military Department Program Objective Memorandum (POM).

(2) At a time, and in a manner specified by the JS, prepare and submit an Integrated Priority List (IPL) according to CJCS instructions. The IPL may include, but is not limited to, high priority capability needs prioritized across Service and functional lines, risk areas, and long-term strategic planning issues.

(3) Independently submit issue papers (according to OSD Cost Analysis and Program Evaluation (CAPE) guidance) through the CJCS during the annual program/budget review (PBR) process and participate in program and budget deliberations as appropriate.

c. Budgeting

(1) Submit to the components, responsible commands, and Military Departments a budget proposal for activities to be included in the President's Budget. These may include:

- I Joint exercises
- II Force training
- III Contingencies
- IV Selected operations

(2) In addition to the above paragraph, the budget proposal of USSOCOM shall include funding requests for development and acquisition of special operations-unique equipment, and acquisition of other material, supplies, and services unique to special operations activities.

(3) Assess and provide to SecDef and CJCS the warfighting impact of Resource Management Decisions (RMDs).

(4) Independently raise RMD and MBI concerns with the SecDef and the CJCS during the annual budget review process and participate in deliberations as appropriate.

d. Execution

(1) Prepare and submit CCMD quarterly reports to the SecDef and CJCS as requested.

(2) At a time, and in a manner specified by the Service Components or their command responsible for execution year funding, provide mid-year assessments and Congressional supplemental requirements as required.

3. Chief of the National Guard Bureau (CNGB). The National Guard Bureau (NGB) has the opportunity to provide input and comment in all four phases of PPBE pertaining to National Guard capabilities, including but not limited to homeland defense and defense support of civil authorities. The CNGB shall assist the Secretaries of the Army (SecArmy) and Air Force (SecAF) to ensure joint functions, roles, and mission resource requirements are properly considered during the PPBE process. The CNGB will advise the SecArmy, SecAF, and the CJCS on any PPBE issues related to joint functions, roles and missions of the National Guard Joint Force Headquarters of the States (NG-JFHQs-State).

a. Planning

(1) Provide input to CJCS in the development of NMS and net assessments.

(2) Provide input to CJCS to assist in the development of the CRA.

(3) Review and comment on the final draft planning and programming guidance before SecDef's approval to consider the adequacy of policy, strategy, forces, and resource planning guidance.

(4) Provide input to the JS regarding National Guard capability needs, redundancies, and an assessment of risks resulting from balancing tasks and available resources.

b. Programming

(1) Provide prioritized funding requirements, at a time specified by the SecArmy and the SecAF, to their Directorates responsible for developing the National Guard contributions to each respective Military Department Program Objective Memorandum (POM).

(2) At a time, and in a manner specified by the JS, prepare and submit Capability Gap Assessment (CGA) input according to CJCS instructions. These may include, but are not limited to, listing high priority capability needs, prioritized across Service and functional lines, risk area, and determining long-term strategic planning issues.

(3) Submit issue papers (according to OSD CAPE guidance) through CJCS during the annual PBR process and participate in program and budget deliberations as appropriate.

c. Budgeting

(1) Submit budget proposals for activities to be included in the President's Budget to the SecArmy and the SecAF. These may include:

- I Joint exercises
- II Force training
- III Contingencies (e.g., Domestic Chemical, Biological, Radiological, Nuclear (CBRN) incidents)
- IV Selected operations (e.g., National Special Security Events (NSSEs), Border Protection)

(2) Assess and provide to SecDef and CJCS the warfighting impact of RMDs.

(3) Independently raise RMD and MBI concerns with the SecDef and the CJCS during the annual budget review process and participate in deliberations as appropriate.

d. Execution. At a time, and in a manner specified by the SecArmy and the SecAF, provide mid-year assessments of execution year funding and Congressional supplemental requirements as required.

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4. The Joint Staff. All JS directorates participate in all phases of the PPBE process. The Director, Joint Staff directs the activities related to planning, programming, budgeting, and execution and assigns responsibilities as required.

a. The Directorate for Force Structure, Resources, and Assessments (J-8) is the CJCS focal point for PPBE activities and the principal staff contact on these matters for the CCMDs, NGB, Services, and OSD. J-8 activities include, but are not limited to:

(1) Participating in the annual program review and budget review for CJCS.

(2) Analyzing the CCMD IPLs and CNGB CGA inputs, and informing the CJCS about CCDRs' and CNGB's most important concerns, as well as common concerns shared across all commands. J-8 will be supported by the Functional Capability Boards (FCBs) in this process.

(3) Developing fiscally constrained strategies, military options, net assessments, and performing an evaluation of risks.

(4) Performing tradeoff analyses of alternative resource levels.

(5) Reviewing and commenting on PPBE documents, to include: IPLs, defense planning and programming guidance, POMs, Budget Estimate Submissions (BES), Issue Papers (IPs), and RMDs. Also provide results and recommendations, as appropriate, to the CJCS.

(6) Reviewing force guidance, plans, concepts, joint doctrine, strategy, and resources to determine what extent desired levels of warfighting capability are met by the Armed Forces.

(7) Providing program and budget analysis to support the CJCS as the principal military adviser, spokesperson for the CCDRs and CNGB, and in congressional testimony.

(8) Providing the SecDef a coordinated response on assessment of CCMD quarterly reports.

(9) Develop the CPA and CPR for CJCS signature and forward to the SecDef.

b. Independent of the formal PPBE process, the DJ-8 serves as both the JROC Secretary and the Joint Capabilities Board (JCB) Chairman. The DJ-8 also maintains oversight of the FCB process. The JROC links to PPBE through

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endorsement of Joint Capabilities Integration Development System (JCIDS) documents and by framing potential CPR and CPA issues that emerge from the FCB process. The FCB process and the systems contained therein are discussed in references listed at Enclosure D.

c. The Directorate for Strategic Plans and Policy (DJ-5) governs operation and policy of the CJCS JSPS. The JSPS interacts with key DoD systems, providing the SecDef with supportive military advice into the PPBE process. The JSPS and the systems contained therein are discussed in references included at Enclosure D. The DJ-5 also develops the CRA.

d. Joint Staff directorates provide subject matter expertise and Joint perspective during the PBR process and at other times as needed to develop Joint warfighter positions and recommendations on program and budget issues.

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ENCLOSURE B

JOINT PARTICIPATION IN DOD PLANNING, PROGRAMMING, BUDGETING AND EXECUTION

1. Section 153 of Title 10 U.S.C. requires the CJCS to provide strategic direction and prepare strategic plans for the Armed Forces. The JSPS is the formal means by which the CJCS, in consultation with the JCS and CCDRs, discharges responsibility to continuously study the strategic environment. Strategic direction is provided through the NMS and other supplemental strategic guidance (e.g. Capstone Concept for Joint Operations [CCJO] and Joint Force 2020). Prepared in consultation with the CCDRs and JCS, the NMS conveys CJCS strategic direction to the Armed Forces.

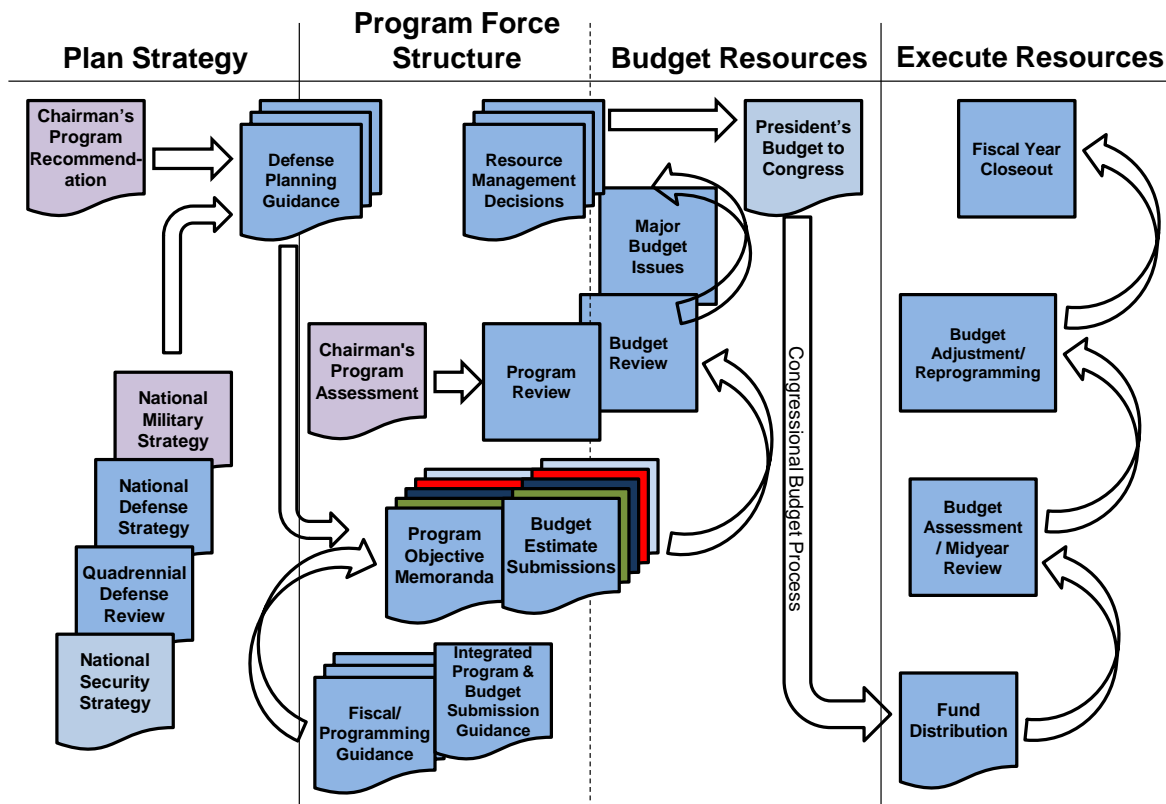


Figure B-1 – Key PPBE Document Flow

2. Title 10 U.S.C. also requires the CJCS to provide advice and assistance to the SecDef in the development of written policy guidance for the preparation and review of the program recommendations and budget proposals of the DoD Components. The DoD PPBE process is SecDef's central framework and decision-making process for resource allocation. The purpose of the PPBE is to

plan a defense strategy which meets a threat, program resources to fit that strategy or capability, and then prepare and execute a DoD budget in support of these programs. The PPBE process is based on objectives, policies, and strategies derived from National Security Directives signed by the President. Figure B-1 shows the key documents that influence the PPBE flow through each phase. The POM and BES are submitted to OSD at the same time and the Program and Budget Reviews are conducted concurrently.

a. Planning

(1) The planning phase of the PPBE identifies capabilities that support US national security objectives, develops a strategy to utilize capabilities in response to threats, and determines capabilities and forces required to support the strategy. The principal PPBE document produced in this phase is a defense planning guidance document.

(2) A draft planning guidance document (e.g., Defense Planning Guidance [DPG]) is prepared by the Under Secretary of Defense, Policy (USD(P)). The Chairman, CCDRs, CNGB, Service Chiefs, and OSD staff have an opportunity to review and comment on the draft. The Deputy Secretary of Defense (DepSecDef) may convene a Deputy's Management Action Group (DMAG) meeting for CCMDs to meet with the SecDef and discuss their recommendations on the draft.

(3) The approved DPG provides written policy guidance for the preparation and review of DoD Components' program recommendations and budget proposals by providing guidance on national security objectives and policies, defining priority military missions, and setting the context of the fiscal environment.

b. Programming

(1) At the direction of the SecDef, the Director, CAPE coordinates Strategic Portfolio Reviews (SPRs) for areas of interest with a goal to develop a solution that can be implemented in programs. The Military Departments, USSOCOM, the JS, and Defense Agencies develop their proposed programs based on the guidance provided in planning, programming and fiscal guidance and SPRs. The programs expressed in the POMs reflect systematic analysis of missions and objectives to be achieved, methods to accomplish them, and allocation of resources to each. Each CCMD and the NGB provides its warfighting requirements to its Service Components or designated responsible commands for incorporation into POMs.

(2) The CPR and CPA focus on enhancing joint readiness and warfighting requirements, and provide CJCS' personal programming and budgeting recommendations to SecDef for consideration. The CPR is submitted

to the SecDef prior to submission of DoD Component and USSOCOM POMs. The CPA is submitted to the SecDef after DoD Component and USSOCOM POMs are delivered to OSD and is designed to influence the Program Review process.

(3) Following a staff review of the POMs, OSD, FCBs, CCDRs, and CNGB submit potential issues to the DepSecDef for consideration. Selected issues are subsequently developed in detail. The JS, CCMDs, and NGB participate in the development of the issues by providing members to an issue team led by an OSD CAPE analyst. During the program review, the 3-Star Programmers Group and the DMAG meet to discuss issues in detail and to recommend solutions to the SecDef.

(4) A special session, if scheduled, at the start of the POM review process will allow the CCDRs and CNGB to present their issues to the DepSecDef and express views on the POMs and selected issues of interest to the CCMDs. In addition, appropriate CCDRs may be invited to attend DMAG meetings when their high priority issues are being considered.

(5) After all DMAG discussions are complete, the DepSecDef makes a preliminary decision on each issue. After consultation with the SecDef, final decisions are documented in a RMD. RMDs are the directive communiqués approving budgets and programs, as modified by the SecDef's final decisions.

c. Budgeting

(1) The Office of the Under Secretary of Defense (Comptroller) (OUSD(C)) conducts joint OSD/Office of Management and Budget (OMB) reviews and hearings after receiving the BES. Generally, hearings are conducted with program element monitors or their representatives. Other concerned parties normally attend to ensure the Services' perspective in programs and funding are understood. Recommendations are made to the DepSecDef (or USD(C) if the decision is uncontested on the OSD staff) by the OSD and OMB staffs. Decisions are transmitted by RMDs. The JS and the CCMD staffs, along with the Military Departments and Agencies, receive all RMDs issued by OUSD(C).

(2) The JS, in conjunction with the CCMDs, CNGB, FCBs, and the Services, analyze all RMDs for warfighting impact. In the case of draft/unsigned RMDs, the JS assesses their impact and recommends a response to OSD, signed by the Chairman or the Chairman-designated representative in J-8. The DepSecDef or USD(C) may either retain or modify draft RMDs. Their decision will be rendered in signed RMDs. If a draft RMD is not acceptable, the Chairman or the Service may take this budget issue to the DepSecDef for resolution as an MBI. MBIs are limited to those few items the USD(C), Service Secretaries/Chiefs, and the Chairman (with consideration of

the CCMDs' and CNGB's views), feel most strongly about. The DMAG may review the MBIs and make recommendations to the SecDef. The SecDef or the DepSecDef has the option to meet individually with the Chairman or the Service Secretaries to discuss these budget issues. All final decisions are transmitted to the DoD Components through signed RMDs. All final program and budget decisions are then incorporated into the President's Budget.

d. Execution. The JS does not have a major role in the execution phase of PPBE. The staff provides analysis and support to CJCS, CCMDs, and SecDef as requested. For example, the JS may provide an assessment of the impact of reprogramming actions and Continuing Resolutions (CR) on joint warfighter capabilities.

3. The Chairman advises SecDef on the extent to which program and budget proposals of the DoD Components conform to warfighting requirements.

a. Joint military institutions provide continuous input, coordination, and influence in shaping the DoD PPBE (Figure B-2). This may include input to draft planning and programming guidance, input to the POMs, participation in program and budget reviews, and ultimate development of the President's Budget.

b. To assist the Chairman in advising the SecDef with respect to the DoD PPBE (Figure B-2), CCDRs and the CNGB provide the Chairman an assessment of critical warfighting capability gaps.

c. This assessment is in the form of a CCDR IPL, CNGB Capability Gap Assessment (CGA) input, and a list of Joint Combat Capability Assessment deficiency action items, all of which inform the Capability Gap Assessment (CGA) process. The CGA process is discussed in reference e. The JROC is the final decision authority in the CGA process and ensures that the timing of the output is sufficient to influence the Program and Budget Review.

d. Further, the JROC is the senior advisory council to the CJCS and assists in establishing and assigning priority levels for joint military requirements; thus, their advice directly impacts the CPR as seen in the diagram below.

e. Finally, the FCBs and JCB will assist in the development of the CPA by identifying and articulating candidate issues and conducting supporting research and assessments.

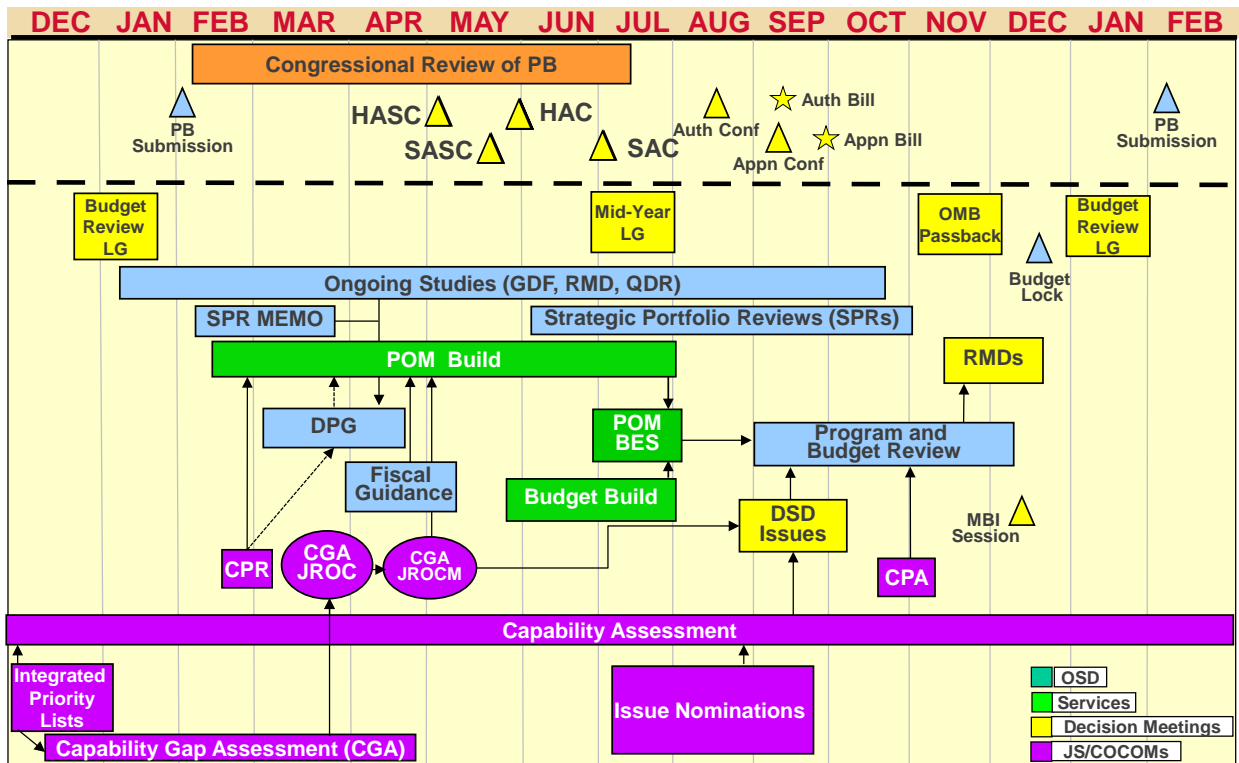


Figure B-2 – PPBE Process Overview

4. Section 010110, Chapter 1, Vol. 2A, of the DoD Financial Management Regulation (DoD FMR) requires OUSD(C), CAPE, JS, CCMDs, and the CCMD Support Agents (CCSAs) to meet annually to validate, and adjudicate as necessary, all adjustments to CCMD resources.

5. Additional PPBE information on budget formulation, presentation, and execution can be accessed from the following website:
<http://comptroller.defense.gov/fmr>.

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ENCLOSURE C

THE CONGRESSIONAL BUDGET PROCESS

1. The Congressional Budget Process is the legislative mechanism whereby Congress authorizes programs and appropriates funds requested in the President's Budget (PB). This process begins with the submission of the PB on the first Monday in February and ends with enacted legislation. The Congressional Budget process links the Budgeting and Execution phases of the PPBE process.

2. Following submission of the PB, the Budget Committees begin hearings to examine economic assumptions and spending priorities in preparation for drafting the first concurrent resolution. The Congressional Budget and Impoundment Control Act of 1974, as amended, provides Congress with a procedure establishing appropriate spending and revenue levels for each year. The congressional budget resolution prescribes the overall size of the fiscal pie and the particular sizes of its various pieces. It sets levels of new budget authority and spending, revenue, and debt levels. After floor action, the budget resolution goes to conference.

a. Conferees reconcile House and Senate differences and produce a final agreement. The final agreement is then voted on by the House and Senate and, upon passage, becomes the concurrent budget resolution. The concurrent budget resolution is a self-governing document within the Congress and does not go to the President for signature. The Budget Act requires Congress to complete the concurrent budget resolution by April 15th of each year.

b. While the Budget Committees are trying to pass a budget resolution, the authorization and appropriations committees are holding hearings on the programs under their jurisdiction. The authorization and appropriations bills are usually passed during the summer and the fall in preparation for the beginning of the new fiscal year.

3. Committee/Subcommittee. When a bill is introduced, it is referred to a committee. The committee may ask DoD for written comments on the measure.

a. Hearings are conducted to gather information and views from DoD officials. Committees receive testimony from SecDef, CJCS, CCDRs, Service Chiefs, Services Secretaries, CNGB, and other officials. Witnesses summarize submitted statements and respond to questions from members. The primary defense oversight committees that conduct hearings are the Senate Armed

Services Committee (SASC), the House Armed Services Committee (HASC), the Senate Appropriations Committee, Subcommittee on Defense (SAC-D), and the House Appropriations Committee, Subcommittee on Defense (HAC-D). Several other committees and subcommittees may also conduct hearings. After testimony, witnesses may be required to respond in writing to additional questions for the record.

b. Following hearings on introduced bills, committees meet to “mark up” legislation. For defense bills, these markups usually take place during the March–June period. The purpose of these meetings is to decide whether the bill (1) should be amended, and (2) referred to the full House or Senate for a vote. DoD will often discuss important issues with members or staff prior to the markup. Amendments can be minor or major. If the committee votes to report the bill, it will also submit a document—the “Committee Report”—which explains the bill’s purposes and provisions.

4. Influencing Legislation: To influence the content of a Defense bill, various communications are sent to congressional leaders. Preparations begin as soon as a defense oversight committee reports out its bill. The goal can be to promote changes to a bill during floor debate, urge one house to avoid mistakes of the other, or to influence final bill decisions by a conference committee.

a. Appeals. The Department has a formal process for “appealing” legislative language and/or funding provisions contained in House and Senate passed versions of bills. The process, under the control of the USD(C), may begin after markup. The general idea is to influence conference action on the bill.

b. In addition to the formal appeals process, the Department may contact members and staff, or may provide written communications from the Secretary or other high Departmental officials. Note that the Office of Management and Budget must clear all written communications to Congress relating to legislation.

c. President’s Position. Generally, the White House may express its views on a measure to be considered on the floor of the House or Senate in a written document called a “Statement of Administration Policy,” or SAP. The Office of Management and Budget—which represents the President—will prepare this document in consultation with the Department.

5. Congressional Votes. After a Committee reports a bill to the full body, the bill will be debated and possibly amended by the members, and passed. Generally, bills are passed first by the House, and then referred to the Senate for action.

6. Conference. A bill cannot become law until signed by the President. The President can only sign a bill that has been passed in exactly the same form by the House and the Senate. “Conference” are House-Senate meetings at which differences between similar bills are worked out—the goal is to produce a single measure that both bodies can pass. Each body is represented by a number of “conferees,” almost always from the Committee(s) that originally reported the bill.

7. Presidential Action. Bills may originate in either chamber of Congress; however, appropriations bills and bills for raising revenue originate in the House. When a bill has been agreed to in identical form by both chambers either without amendment by the Senate, or by House concurrence with the Senate amendments, or by agreement in both bodies to the conference report, a copy of the bill is enrolled for presentation to the President. When the President signs a bill it becomes public law.

a. If both the House and Senate pass exactly the same bill, the bill is presented to the President. The President has 10 days in which to sign the bill. If the President “vetoes” the bill, the Congress may override his decision by a two-thirds vote in both the House and Senate.

b. After a Defense appropriations bill becomes law, DoD may propose certain spending be cancelled (a rescission) or reprogrammed for another use. Congressional oversight committees must approve a rescission within 45 days of continuous session after receipt of the proposal or the funds must be made available for obligation.

c. If appropriations legislation is not enacted in time for fiscal year operations to begin, a continuing resolution authority (CRA) may provide agencies the authority to continue operations until the appropriations bill is enacted.

8. Budget Execution. The fiscal year begins on Oct 1st. Budget authority is granted to agencies through an apportionment system regulated by OMB. OMB apportions [distributes] funds to DoD and other agencies by time periods or activities over the duration of the appropriation. OUSD(C) then issues funding authorization documents to DoD Components who make allotments, obligate funds, and request supplemental appropriations and reprogramming. A supplemental appropriations bill provides funds in addition to the regular appropriations level when the need is too urgent to be postponed until the next regular appropriations act. Supplementals often arise when an emergency, e.g. disaster relief, contingency operations, or war requires immediate funding.

9. Budget Review and Audit. DoD is responsible for ensuring obligations incurred and resulting outlays adhere to congressional legislation. OMB appraises program and financial reports and keeps abreast of DoD efforts to

attain program objectives. The Government Accountability Office (GAO) regularly audits, examines, evaluates DoD programs, and may report to Congress its findings.

10. Websites for Congressional reference documents.

- a. <http://www.house.gov>
- b. <http://www.senate.gov>
- c. <http://thomas.loc.gov>
- d. <http://www.access.gpo.gov>

ENCLOSURE D

REFERENCES

- a. Title 10, U.S. C., Armed Forces, (10 U.S.C. § 151-156, 161-168).
- b. DoDD 7045.14, “The Planning, Programming, and Budgeting System,” (under revision).
- c. DoDD 5100.1 25 Series, “Functions of the DoD and Its Major Components.”
- d. CJCSI 3100.01, “Joint Strategic Planning System.”
- e. CJCSI 3170.01, “Joint Capabilities Integration and Development System.”
- f. CJCSI 5123.01, “Charter of the Joint Requirements Oversight Council.”
- g. DoD 7000.14-R Volume 2, “Budget Formulation and Presentation.”
- h. DoD 7000.14-R Volume 3, “Budget Execution – Availability and Use of Budgetary Resources.”

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GLOSSARY

PART I -- ACRONYMS AND ABBREVIATIONS

BES	Budget Estimate Submission
BR	Budget Review
CCJO	Capstone Concept for Joint Operations
CCDR	Combatant Commander
CCMD	Combatant Command
CGA	Capability Gap Assessment
CJCS	Chairman of the Joint Chiefs of Staff
CNGB	Chief, National Guard Bureau
CPA	Chairman's Program Assessment
CPR	Chairman's Program Recommendation
CRA	Continuing Resolution Authority Chairman's Risk Assessment
DMAG	Deputy's Management Action Group
DPG	Defense Planning Guidance
FCB	Functional Capabilities Board
FG	Fiscal Guidance
FYDP	Future Years Defense Program
IP	Issue Paper
IPL	Integrated Priority List
JCB	Joint Capabilities Board
JROC	Joint Requirements Oversight Council
JS	The Joint Staff
JSCP	Joint Strategic Capabilities Plan
JSPS	Joint Strategic Planning System
MBI	Major Budget Issue
NGB	National Guard Bureau
NMS	National Military Strategy
PB	President's Budget
PBR	Program/Budget Review
POM	Program Objective Memorandum
PPBE	Planning, Programming, Budgeting, and Execution
PR	Program Review

RMD	Resource Management Decision
SAP	Statement of Administration Policy
SPR	Strategic Portfolio Review (formerly Front End Assessment (FEA))

GLOSSARY

PART II – TERMS

Armed Services. For the purposes of this document, the Army, Navy, Marine Corps, and Air Force (also referred to as the “Services). Although the Coast Guard is defined also defined as one of the Armed Services in Title 10, for PPBE purposes it is not included because its funding comes through the Department of Homeland Security, not the Department of Defense. Also see Military Departments.

Authorization Bill. Legislation that establishes or continues the legal operation of a program or agency for a period of time; sanctions a particular type of obligation or expenditure; limits the amount of budget authority provided; or authorizes the appropriation of funds as necessary. Under House and Senate rules, the appropriation for a program or agency may not be considered until the authorization has been considered.

Appropriations Bill. Legislation that gives legal authority to spend or obligate money from the Treasury. Appropriations bills originate in the House and grant the money approved by authorization bills, but not necessarily the full amounts permissible under the authorization.

Budget Estimate Submission (BES). The proposed budget submission to OUSD Comptroller, by the Military Departments and Defense Agencies outlining how they intend to use allocated resources for the next year.

Chairman’s Program Assessment (CPA). Provides the CJCS’ personal appraisal on alternative program recommendations and budget proposals to the SecDef. The CPA comments on the risk associated with the programmed allocation of Defense resources and evaluates the conformance of POMs to the priorities established in strategic plans and combatant commander’s priority requirements.

Chairman’s Program Recommendation (CPR). Provides the CJCS’ personal recommendations to the SecDef for the programming and budgeting process before publishing the Joint Planning Guidance, in accordance with Title 10, USC. The CPR articulates programs the Chairman deems critical for the SecDef to consider when identifying DoD priorities and performance goals in the programming guidance and emphasizes specific recommendations that will enhance joint readiness, promote joint doctrine and training, improve joint warfighting capabilities and satisfy joint warfighting requirements within DoD resource constraints and within acceptable risk levels.

Continuing Resolution Authority (CRA). A joint resolution cleared by the Congress and approved by the President to provide new budget authority for federal agencies and programs to continue operations pending Presidential signature of the regular appropriations act.

Chairman's Risk Assessment (CRA). In accordance with U.S. Code Title 10, Chap. 5, Section 153 (d), the CRA provides the Chairman's assessment of the strategic and military risks associated with executing the missions called for in the National Military Strategy. The CRA is developed in consultation with the Joint Chiefs of Staff and the Combatant Commanders.

Fiscal Guidance (FG). The SecDef's topline fiscal control provided to each of the Military Departments and Components for use in preparing their POMs.

Future Years Defense Program (FYDP). The official document and database summarizing forces and resources associated with DoD programs. The FYDP is updated and published at least two times during an annual PPBE process to coincide with submission of the POM, BES, and PB.

Integrated Priority List (IPL). A list of combatant commanders' highest priority requirements, prioritized across Service and functional lines. They define shortfalls in key programs that may adversely affect the combatant commander's mission. Each CCMD submits an IPL annually (Reference e).

Issue Papers (IPs). Based on review of the Services POMs, major issues are outlined and developed by the OSD staff, DoD Components, CCDRs, CNGB, and the JS that have broad policy, force, program, or resource implications.

Joint Capability Board (JCB). A flag officer board, established by the JROC, to assist it in carrying out its duties and responsibilities.

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

Joint Strategic Planning System (JSPS). The primary means by which the Chairman of the Joint Chiefs of Staff, in consultation with the other members of the Joint Chiefs of Staff and the combatant commanders, carries out his statutory responsibilities to assist the President and the SecDef in providing strategic direction to the Armed Forces; prepares strategic plans; prepares and reviews contingency plans; advises the President and SecDef on requirements,

programs, and budgets; and provides net assessment on the capabilities of the US Armed Forces and its allies.

Major Budget Issues (MBIs). Key budget issues remaining unresolved to the satisfaction of the combatant commanders and Service Chiefs at the end of the budget review.

Management Initiative Decision 913. Implemented the two year Planning, Programming, Budgeting, and Execution Process on 22 May 2003.

Military Departments. The Departments of the Army, Navy, and Air Force (see also Armed Services).

National Military Strategy (NMS). The CJCS document prepared in consultation with the CCMDs and the JCS that conveys advice on strategic direction for the Armed Forces.

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

President's Budget (PB). The annual budget submitted by the President to Congress for approval. The PB is ultimately prepared by OMB and includes the Defense Budget.

Program Objectives Memorandum (POM). Recommendations from the Services and Defense Agencies to the SecDef concerning how they plan to allocate resources to meet planning and programming guidance.

Rescission. An item in an appropriations bill canceling budget authority previously appropriated but not spent. Repeal of a previous appropriation by the Congress at the request of the President to cut spending or because the budget authority is no longer needed.

Resource Management Decisions (RMDs). Document that contains the resources decisions made during the program/budget review. RMDs are coordinated with the JS, Military Departments, combatant commands, and NGB and approved by the SecDef or DepSecDef.

Services. See Armed Services.

Statement of Administration Policy (SAP). A statement of the Administration's position on a piece of legislation at various stages of its consideration by the Congress.

Strategic Portfolio Review (SPR). Formerly known as Front End Assessments (FEAs), these are SecDef approved studies on selected topics that need to be addressed during a program/budget review cycle.