CHAIRMAN OF THE JOINT CHIEFS OF STAFF INSTRUCTION

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JOINT REQUIREMENTS OVERSIGHT COUNCIL (JROC)
PROGRAMMATIC PROCESSES FOR JOINT EXPERIMENTATION
AND JOINT RESOURCE CHANGE RECOMMENDATIONS

References: See Enclosure C.

1. Purpose. This instruction provides joint policy, guidance, and procedures for JROC programmatic processes that support the following:

a. Developing the Chairman of the Joint Chiefs of Staff joint experimentation (JE) guidance, reviewing and endorsing US Joint Forces Command's (USJFCOM's) JE campaign plan, and exploiting joint experimentation results (see Enclosure A).

b. Recommending changes to existing joint resources when such changes are not associated with a new defense acquisition program. For the purposes of this instruction, joint resources include doctrine, organization, training, materiel, leadership and education, personnel, and facilities (hereafter referred to as "joint DOTMLPF") (see Enclosure B).

2. Cancellation. This instruction supersedes CJCSI 3010.02A, "Joint Vision Implementation Master Plan (JIMP)," Appendix E to Enclosure A.

3. Applicability. This instruction applies to the Services, combatant commands, Joint Staff, Defense agencies, and joint and combined activities. This instruction also applies to any organization that supports the JROC's role in advising the Chairman on JE, requirements prioritization, the conformance of programs to priorities established in defense guidance, and requirements integration not exclusively dealing with new defense acquisition programs.

4. Policy

a. Director, Joint Staff 10, United States Code, (reference a) establishes the JROC. The JROC Charter (reference b) provides overarching guidance for both the JROC proper and its direct support subpanels. This instruction delineates the responsibilities and procedures for organizations involved in bringing recommendations forward to the JROC and ultimately to the Chairman for review and action.

b. The Defense Reorganization Act of 1986 (Goldwater-Nichols legislation) provides the statutory basis for CJCS review of major personnel, materiel, and logistics requirements of the Armed Services in relation to plans, programs, and budgets. The Chairman uses the JROC as an advisory council to help fulfill his 10 USC responsibility to provide advice to the Secretary of Defense on requirements prioritization and the conformance of programs and budgets to priorities established both in strategic plans and those identified by the combatant commands.

c. The JROC primarily advises the Chairman regarding requirements, programs and budgets via the programmatic processes (described in this instruction) and the requirements generation system (reference c). For the purpose of planning and preparation of documents, Figure 1 depicts the respective paths and venues used when DOD components request

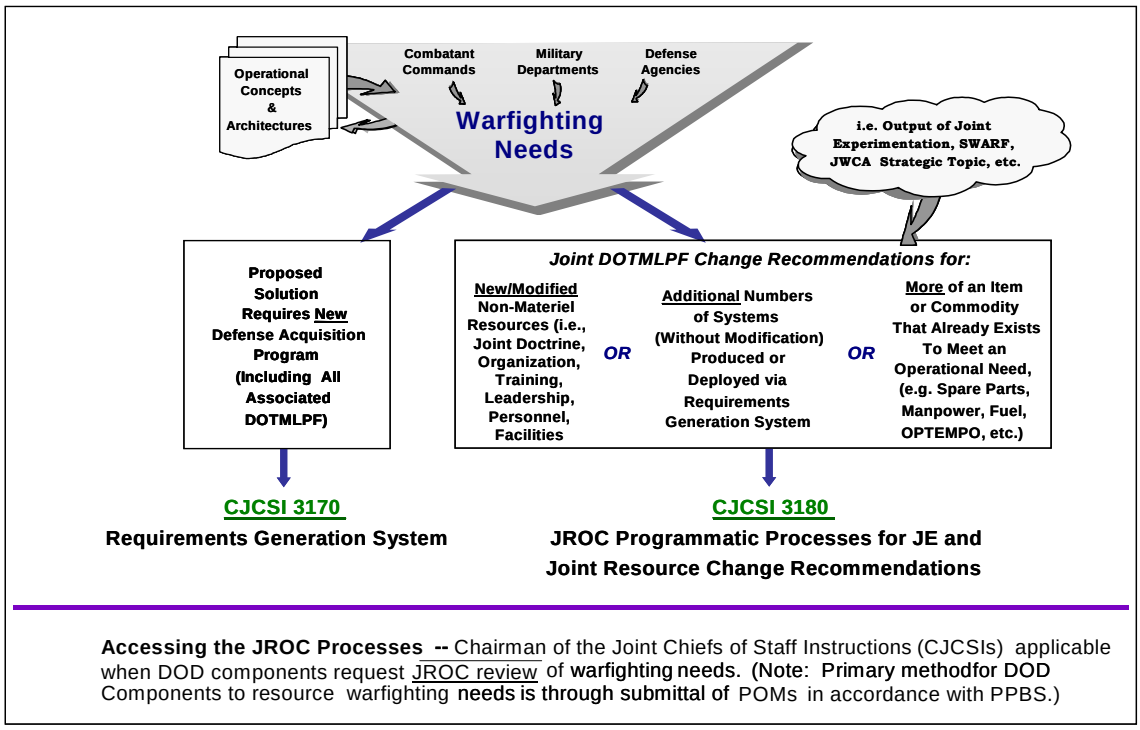

Figure 1. Accessing the JROC Processes

JROC review of warfighting requirements and associated potential materiel and nonmateriel DOTMLPF resource solutions.

(1) The left side of the chart shows the traditional JROC acquisition process. DOD components may propose materiel solutions that require a new defense acquisition program to best satisfy a deficiency, take advantage of technological breakthroughs, or replace aging systems. These proposed solutions, aligned with joint concepts and architectures, will take the form of mission needs statements (MNS), operational requirements documents (ORDs) or Capstone requirements documents (CRDs) as described in the requirements generation system. The JROC reviews all Major Defense Acquisition Programs as well as those designated as JROC special interest items (references c, d, and e).

(2) The right side of the chart depicts the JROC programmatic processes that are covered in this instruction and further described below:

(a) Proposals to change, institutionalize, and/or introduce new joint doctrine, organization, training, leadership, personnel, and facilities resulting as an output of JE or other assessments to meet operational needs.

(b) Requests for support within the Future Years Defense Program (FYDP) for additional numbers of existing systems previously produced or deployed via the requirements generation system.

(c) Requests for support within the FYDP to meet an established need justifying the timely allocation of resources to achieve a capability or accomplish approved military objectives, missions, or tasks (e.g., increases to manpower, operational tempo, spare parts, fuel supply, recruiting, etc.).

5. Definitions. See Glossary. For purposes of this instruction, the term "DOD component(s)" includes Office of the Secretary of Defense (OSD), the Military Departments, the Chairman of the Joint Chiefs of Staff (Joint Staff), the combatant commands (including US Element, North American Aerospace Defense Command (USELEMNORAD), Defense agencies, and DOD field activities.

6. Responsibilities. See Enclosures A, B, and C.

7. 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/doctrine. Copies are also available through the Government Printing Office on the Joint Electronic Library CD-ROM.

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

For the Chairman of the Joint Chiefs of Staff:

JOHN P. ABIZAID
Lieutenant General, USA
Director, Joint Staff

Enclosures:

A -- Joint Requirements Oversight Council Programmatic Process for Joint Experimentation
B -- Joint Requirements Oversight Council Programmatic Process for Joint DOTMLPF Change Recommendations
Appendix A -- Format for Joint DOTMLPF Change Recommendations
C -- References
GL -- Glossary

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ENCLOSURE A

JOINT REQUIREMENTS OVERSIGHT COUNCIL PROGRAMMATIC PROCESS FOR JOINT EXPERIMENTATION

1. Purpose. This enclosure provides the process for developing the CJCS JE guidance and review and endorsement of USJFCOM's JE campaign plan.

2. Introduction. The JROC programmatic process for JE meets specific CJCS guidance to formalize USJFCOM's input into the JROC process. The desired outcome is to better translate the results of JE into planned, approved, and resourced deliverables for the joint warfighter.

3. Procedures -- Integrating JE into the JROC Process

a. JE Guidance

(1) Submittal. Joint Staff, J-7, office of primary responsibility (OPR) for JE guidance development) solicits JE guidance inputs from the combatant commanders, Services, Joint Staff, OSD, and Defense agencies. Simultaneously, the Joint Warfighting Capability Assessment (JWCA) teams may recommend potential JE focus areas to the JROC either as an output of their efforts to develop operational concepts and integrating architectures or from assessments. The JROC reviews JWCA inputs and conveys priorities to the J-7 via a JROC memorandum (JROCM) both to refine the JE program for the first year of the program objective memorandum (POM) and to introduce and establish more substantive JE changes or requirements in the second and subsequent years of the POM.

(2) JROC Review and Endorsement. After compiling all inputs, J-7 drafts CJCS JE guidance, coordinates with the combatant commanders, Services, Joint Staff, OSD, and Defense agencies, and briefs the proposed text to the JROC for review and endorsement. Any JROC-recommended changes not included by J-7 in the final draft will be provided in side-by-side format to the Chairman.

(3) Chairman's Program Review (CPR) Language. Based on JROC input, JWCA leads and other DOD components may develop potential CPR language to reinforce JE guidance. CPR language, if proposed, will be vetted with the combatant commands to the extent practical during the CPR Joint Requirements Board (JRB) and/or JROC combatant command coordination trips (reference d).

(4) CJCS Approval. The Chairman reviews, signs, and sends JE guidance to USJFCOM as an input to facilitate deliberate planning and resourcing for joint warfighting experimentation. The Chairman also reviews, signs, and sends the CPR (including language reinforcing JE guidance) to the Secretary of Defense for potential action in the Planning Programming and Budgeting System (PPBS). (Refer to reference o.)

b. JE Campaign Plan

(1) Submittal. Following coordination with the combatant commanders, Services, Joint Staff, OSD, and Defense agencies, USJFCOM submits the JE campaign plan to the Chairman via the JROC for review and approval. The plan defines the structure of the proposed JE and outlines USJFCOM objectives, methods, and events to achieve those objectives. The plan also includes the proposed resources to achieve the objectives.

(2) JROC Review and Endorsement. Coinciding with written submittal, USJFCOM briefs the JE campaign plan to the JROC. JWCA teams and other DOD components, as applicable, also attend the JE campaign plan briefing. Following successful review, the JROC endorses the JE campaign plan and forwards it to the Chairman for approval.

(3) Chairman's Program Assessment (CPA) Language. Based on JROC input, JWCA leads and other DOD components may develop potential CPA language to reinforce the JE campaign plan. CPA language, if proposed, will be vetted with the combatant commands to the extent practical during the CPA JRB and/or JROC combatant command coordination trips (reference d).

(4) CJCS Approval. The Chairman reviews, signs, and sends the JE campaign plan to USJFCOM for execution. The Chairman also reviews, signs, and sends the CPA (including language supporting the JE campaign plan) to the Secretary of Defense for potential action in the PPBS.

c. JE Recommendations. Recommendations resulting from joint experiments and other assessments are submitted to the Joint Staff, J-8, in accordance with Enclosure B to this instruction and other DOD guidance, as required.

4. Responsibilities

a. Chairman of the Joint Chiefs of Staff. The Chairman provides overarching JE guidance and is the final approval authority for USJFCOM's JE campaign plan.

b. JROC. The JROC and subpanels (Joint Requirements Panel (JRP) and JRB) reviews and coordinates on the proposed CJCS JE guidance and endorses USJFCOM's JE campaign plan.

c. JWCA Teams. The JWCA teams may recommend additional or modified language for CJCS JE guidance either as a result of their efforts to develop operational concepts and integrating architectures or from assessments. The JWCA team leaders will coordinate on USJFCOM's JE campaign plan and attend USJFCOM's briefing to the JROC.

d. Joint Staff

(1) Directors, Joint Staff, J-1 through J-6. Provide inputs for JE guidance development, as requested, and coordinate on USJFCOM's JE campaign plan.

(2) Director, Joint Staff, J-7. Develops CJCS JE guidance with input from the combatant commanders, Services, Joint Staff, OSD, Defense agencies, and JWCA teams, as required. Staffs the JE guidance through the JROC for CJCS approval. Serves as Joint Staff lead for coordinating USJFCOM's JE campaign plan.

(3) Director, Joint Staff, J-8. Provides inputs for JE guidance development, as requested, and coordinates on USJFCOM's JE campaign plan. When directed by the JROC, incorporates JE supporting language in the CPA and/or CPR development and approval process.

e. Combatant Commands

(1) Applicable to All Combatant Commands. Provide inputs for JE guidance development, as requested, and coordinate on USJFCOM's JE campaign plan.

(2) USJFCOM. USJFCOM develops the JE campaign plan and coordinates it though Joint Staff, J-7, with the combatant commanders, Services, Joint Staff, OSD, and Defense agencies. USJFCOM submits the JE campaign plan for CJCS approval through the JROC process (to include briefings to the JRP, JRB, and JROC).

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ENCLOSURE B

JOINT REQUIREMENTS OVERSIGHT COUNCIL PROGRAMMATIC PROCESS FOR JOINT DOTMLF CHANGE RECOMMENDATIONS

1. Purpose. This enclosure describes the procedures and responsibilities for organizations involved in bringing joint DOTMLPF change recommendations to the JROC for consideration.

a. This guidance applies to DOTMLPF changes that are outside the scope or oversight of a new defense acquisition program. (Note: DOTMLPF changes associated with, and integral to, new defense acquisition programs are addressed in CJCSI 3170-series, reference c.)

b. The procedures outlined in this enclosure may also be used for processing DOTMLPF change recommendations that require additional numbers of existing systems (without modification) produced or deployed via the JROC requirements generation system. Additionally, these procedures may be used to support acquisition of existing items or commodities (e.g., increases to manpower, operational tempo, spare parts, fuel supply, recruiting, etc.) to meet an established operational need.

2. Introduction. As innovation, new technologies, JE, requirements reviews, combatant commanders' issues lists, warfighting lessons learned, etc., spawn potential enhancements to operational capabilities, the JROC will review specific change recommendations for joint warfighting utility and programmatic implications. Based on the findings, the JROC will provide recommendations for the Chairman's review and action.

3. Procedures -- Integrating Joint DOTMLPF Change Recommendations into the JROC Process

a. Generating Joint DOTMLPF Change Recommendations. Recommendations for joint DOTMLPF changes may be received from a variety of sources including, but not limited to:

(1) Joint and Service experimentation.

(2) Assessments by JWCA teams, Senior Warfighter Forums (SWARFs), battle laboratories, JROC-directed special study groups, combatant commanders, Services, Joint Staff, OSD, and Defense agencies.

(3) Review of existing MNSs, ORDs, or CRDs.

(4) Combatant commanders' issues collection and prioritization, technology demonstrations, warfighting lessons learned, and exercises.

b. Format Standards. Joint DOTMLPF change recommendation documents will be uniform across all DOD organizations and include discussion of the following:

(1) Purpose.

(2) Background.

(3) Description.

(4) Summary of analysis process.

(5) Specific recommendation and proposed implementation plan (including priorities, benefit to joint warfighters, timing and resources).

(6) Constraints.

(7) Issues.

(8) Recommendation summary.

(9) Package disposition.

NOTE: A sample template to assist in preparing recommendations is found in Appendix A, to this enclosure).

c. Submitting Recommendations. Recommendations for joint DOTMLPF changes are prepared in accordance with the above paragraph and submitted to the Joint Staff, Force Structure, Resources, and Assessment Directorate (J-8)/Requirements and Acquisition Division (RAD) through the DOD component organization for staffing. The document will be the DOD component flag-level coordinated position and forwarded with a cover letter identifying the document, date, any schedule drivers, and a working-level point of contact. All documents entering the review process are considered draft and do not require a formal signature until after JROC consideration.

(1) Format. The submission will be an electronic copy in Microsoft Word Version 6.0 or higher.

(2) Electronic Database. All recommendations are submitted to the Joint Staff database for review, comment, and endorsement. The current database is the Joint Command, Control, Communications, Computers, and Intelligence (C4I) Program Assessment Tool (JCPAT); SECRET Internet Protocol Router Network website URL address is http://206.36.228.76. The JCPAT is used by DOD components to submit documents, post comments during flag reviews, and track current status of documents.

(3) DOTMLPF Change Recommendation Priority Level. Each DOTMLPF change recommendation will be assigned a priority level based on a balanced assessment of the potential value, cost, impact, and timeframe needed for implementation. The sponsor will make the initial assessment; however, the priority level may be changed by the JROC. The following three priority levels apply:

(a) Emergency. Immediate action is required to fulfill an urgent joint warfighting requirement or correct a serious DOTMLPF deficiency. Emergency DOTMLPF recommendations will be processed as swiftly as possible and should be used on a rare and exceptional basis. The goal for implementation is 90 days from submittal to the Joint Staff; however, a shorter timeframe may be required.

(b) Priority. Timely action is required to meet a significant joint warfighting requirement or swiftly exploit opportunities to improve joint DOTMLPF capabilities. The goal for implementation is less than 6 months from submittal to the Joint Staff.

(c) Routine. The nature of the DOTMLPF change recommendation allows resourcing through a normal PPBS cycle. The goal for implementation is less than 18 months from submittal to the Joint Staff.

d. Formal Change Recommendation Review Process. Once a document enters the formal JROC flag review process, it will be staffed to all combatant commanders, Services, Joint Staff, OSD, and Defense agencies for review, endorsement, and comment.

(1) Flag Review and Functional Process Owner (FPO) Endorsement

(a) J-8, RAD, will review and verify the format for accuracy and completeness. J-8 will staff the draft document via Joint Requirements Oversight Council staff memorandum (JROCSM) for combatant commanders, Services, Joint Staff, OSD, and appropriate Defense agency flag review. The suspense date will normally be a minimum of 30 days

from transmittal date, with additional time provided if warranted by the complexity of the change recommendation or if critical comments require further analysis and adjudication.

(b) Functional process owners (J-1: Personnel; J-4: Facilities; J-7: Doctrine, Leadership/Education, and Training; J-8: Organization and Materiel) will use the JROC-approved criteria in reference f to make the following endorsement statement (FPOs will withhold endorsement of a joint DOTMLPF change recommendation until critical comments are resolved):

> "The Sponsor (combatant commander, Service, and/or agency), in coordination with the applicable FPO, has adequately addressed potential impacts on joint, multinational, and interagency warfighting and other operations with respect to Joint _____ ("Training" for example) resulting from the [implementation of this concept] or [acquisition and employment of this system]."

(c) Flag review comments should be identified as critical, substantive, or administrative. Convincing support for critical and substantive comments will be provided in a Comment/Justification format. Definitions are provided below:

1. Critical. A critical comment indicates nonconcurrence in the document until the comment is satisfactorily resolved. If the nonconcurrence is not resolved after flag review, the document will proceed to the JRP. The briefing to the JRP will address all unresolved issues.

2. Substantive. A substantive comment is provided because a section in the document appears to be or is potentially unnecessary, incorrect, misleading, confusing, or inconsistent with other sections.

3. Administrative. An administrative comment corrects what appears to be a typographical, format, or grammatical error.

(d) Incorporation of Flag Comments and Brief Preparation. Upon completion of flag level review, J-8, RAD, will compile and forward all comments back to the sponsor via JROCSM for final incorporation or revision. Once the sponsor has incorporated flag-level review changes, and has developed the JROC briefing, J-8, RAD, will schedule JROC briefings with the JROC Secretariat. Unresolved critical comments will be briefed to the JRB and JROC.

(2) JROC Briefing and Schedule. Briefings for the JRP, JRB, and JROC will be prepared in accordance with reference g. The DOD component will provide the updated draft document and briefing slides 48 hours prior to all scheduled briefs.

(3) JROC Recommendation to the Chairman. The JROC Secretary will consolidate the JROC's recommendations (including the recommended lead Military Department, combatant command, or Defense agency) and forward a JROCM along with the sponsor's change recommendation to the CJCS for approval.

e. Implementation of Change Recommendations. Under the direction of the Director, Joint Staff, the DOTMLPF Integration Team (an executive steering group) will support implementation (reference e). Issues that cannot be resolved by the Director may be elevated to the JROC for potential consideration as a CPA or CPR issue (reference c).

4. Responsibilities

a. Chairman of the Joint Chiefs of Staff. Title 10, USCs 153 and 163 delineate the CJCS responsibilities. Additionally, the Chairman reviews and endorses joint DOTMLPF recommendations in accordance with reference e.

b. JROC. Title 10, USC 181 and reference b specifically delineate the JROC's responsibilities to assist the Chairman. Also, in accordance with reference b, the JROC:

(1) Ensures the joint DOTMLPF recommendations resulting from joint concept development and experimentation are integrated into the JROC's deliberations on identifying, developing, validating, and prioritizing joint requirements.

(2) Establishes a process to collect, evaluate, and prioritize recommended issues to the Chairman for inclusion in his guidance for USJFCOM to consider in developing the annual JE campaign plan.

c. Joint Staff and DIA. The Joint Staff and DIA provide an important review, coordination, and certification function in support of the requirements validation and approval process. The JWCA team leaders, as members of the Joint Staff, participate in all functions of the review and coordination process. These functions include threat validation; interoperability, intelligence, aviation munitions interoperability, and munitions insensitivity certifications; joint doctrine, organization,

training, leadership/education, personnel joint reviews and endorsements; and the staffing of all documents that the JROC reviews.

(1) Director, Joint Staff, J-1. J-1 is the OPR for joint manpower and personnel reviews. IAW CJCSM 1600.01 (reference h) and CJCSI 1301.01B (reference i), J-1 will review all joint billet and joint personnel requirements identified in change recommendation documents.

(2) Director, J-2, Joint Staff, and Director, DIA

(a) Threat Validation, Intelligence Certification, and C4I Support Plans. DOD components may validate intelligence information for their recommendations using DIA-validated threat data and/or data contained in DOD Intelligence Production Program documents.

(b) Intelligence, Surveillance and Reconnaissance (ISR). J-2 and DIA will support the integration and exchange of information between ISR requirements and information superiority (IS) joint mission area-based requirements and change recommendation documents.

(3) Director, J-3, Joint Staff

(a) Global Command and Control Management. J-3 is the OPR for the GCCS Management Structure IAW CJCSI 6721.01A (reference j) as well as for all aspects of the NMCS. J-3 will review all GCCS- and/or NMCS-related functional requirements identified in change recommendations.

(b) Command and Control and Information Operations. J-3 will support the integration of command and control and information operations requirements into IS joint mission area-based requirements and change recommendation documents.

(4) Director, J-4, Joint Staff. J-4 is the OPR for joint facilities reviews. J-4 will review requirements and change recommendation documents for adequacy of facility planning and design criteria and environmental concerns regarding basing and operation. Additionally, when documents include materiel solutions, J-4 will review logistics and supportability issues, to include ensuring the system's initial and/or temporary facility requirements are within existing engineer force capabilities.

(5) Director, J-5, Joint Staff. The J-5 will act as CJCS executive agent for implementing JROC decisions regarding multinational and interagency requirements and change recommendation documents.

(6) Director, J-6, Joint Staff

(a) Interoperability Assessment. The J-6 will review all change recommendation documents for command, control, communications, and computer interoperability implications in accordance with CJCSI 6212.01 series. Unresolved interoperability issues will be forwarded by J-6 to the Military Communications-Electronics Board (MCEB) for resolution. The MCEB will ensure that unresolved issues resulting from interoperability assessments are presented to the JROC for resolution. (Refer to reference q.)

(b) Communications and Computer Systems. J-6 will review change recommendation documents to facilitate the integration of communications and computer systems requirements into the IS joint mission area.

(7) Director, J-7, Joint Staff

(a) Joint Vision Implementation. IAW reference e, the J-7 serves as executive agent for Joint Vision Implementation.

(b) Change Implementation Plan. J-7 will review each change recommendation document and provide written comments addressing "Joint DOTMLPF Change Recommendation Findings and Proposed Implementation Plan" (Appendix A, paragraph 5, to this enclosure).

(c) Joint Doctrine, Training, and Leadership/Education Review. J-7 will work with combatant commanders, Services, Joint Staff, OSD, and Defense agencies to ensure each change document adequately addresses potential impacts on joint, multinational and interagency warfighting, and other operations with respect to joint doctrine (IAW Joint Publication (JP) 1-01, reference k), joint training (IAW CJCSI 3500.01B, reference l and/or CJCSI 3500.02C, reference m), and joint leadership/education (IAW CJCSI 1800.01A, reference n) resulting from implementation of the proposed concept or employment of the system.

(8) Director, J-8, Joint Staff

(a) Joint Organization Review. J-8, Forces Division (FD), is the OPR for joint organizational reviews. J-8, FD, will review all change documents and assess whether existing joint organizations effectively support integration and operational employment of the proposed system or concept.

(b) Joint Materiel Review. J-8, RAD, will review all joint DOTMLPF change recommendation documents for proposed materiel solutions and will staff materiel issues in accordance with the applicable sections of reference c (with the exception that the timeline will normally be 30 days).

(c) JROC Secretary. Director, J-8, is the appointed JROC Secretary whose staff makes up the JROC Secretariat. Specific J-8 responsibilities are outlined in reference b.

d. Services. The Services are responsible for developing Service-specific operational concepts and experimenting within core competencies, supporting joint concept development with Service experimentation, providing feedback from the field, supporting JE, and overseeing integration of validated joint DOTMLPF recommendations.

e. Combatant Commands

(1) Applicable to all combatant commands:

(a) Joint Concepts. The combatant commanders and Commander, US Element, NORAD (Commander, USELEMNORAD), may recommend emerging joint concepts and participate in developing and evaluating joint concepts and architectures, recommending legacy system integration through joint interoperability modifications, and determining the applicability of lessons learned from exercises and military operations IAW reference e.

(b) JE. The combatant commanders and Commander, USELEMNORAD, are responsible for providing feedback from the field by conducting experiments and evaluating results as outlined in reference e.

(c) Senior Warfighter Forum. As discussed in reference c, if a combatant commander identifies a joint requirements issue or resource mismatch, they can forward a request to the JROC to convene a SWARF. Change recommendations could potentially lead the JROC to assign a combatant commander to lead a SWARF according to their missions and responsibilities. The SWARF lead would brief resultant recommendations to the JROC.

(2) USJFCOM

(a) Interoperability. The Commander, USJFCOM (CDRUSJFCOM), will serve as the Chairman's advocate for joint warfighting interoperability. CDRUSJFCOM will be the joint warfighter's

advocate for the development of joint operational concepts and architectures to ensure joint forces have interoperable systems. USJFCOM will support the Chairman in the following areas:

1. Comment during the staffing process on the adequacy of interoperability as addressed in change recommendations. USJFCOM will also have the opportunity to comment on unresolved interoperability issues at the JROC.

2. Share information exchange requirement development expertise and training with combatant command, Service, and Agency change recommendation developers upon request.

3. Act as the OPR for recommending legacy system integration. This is accomplished principally through USJFCOM's combatant commanders' issues collection process.

(b) USJFCOM JE. USJFCOM is functionally responsible to the Chairman for joint warfighting experimentation and for recommending emerging operational concepts.

1. USJFCOM will conduct JE to explore, demonstrate, and evaluate joint warfighting concepts (to include breakthrough joint concept development) as well as to recommend innovations and improvements to the employment concepts of new materiel systems. Experimentation will also focus on analysis, innovation, integration, and improvement of CJCS-approved joint concepts and architectures IAW reference e.

2. DOTMLPF change recommendations resulting from JE will be forwarded by USJFCOM to the Chairman through the JROC for coordination, recommendation, and endorsement using the procedures prescribed in this instruction and the format outlined in Appendix A.

(3) USSOCOM. Congress has given USSOCOM specific title 10 authority with a unique major force appropriation category (reference a, section 167). Therefore, the Commander, USSOCOM, can establish, validate, and approve USSOCOM requirements and budget for special-operations peculiar-change recommendations, while exercising his responsibility to ensure the interoperability of equipment and forces. In the event USSOCOM identifies systems or capabilities that may benefit other DOD components, the change recommendation process described herein provides a venue to submit proposals for JROC consideration.

(4) USSTRATCOM

(a) Space Operations. The Commander, USSTRATCOM (CDRUSSTRATCOM), serves as the Chairman's and combatant commanders' advocate for space operations and will coordinate on all space-related joint DOTMLPF change recommendations.

(b) Computer Network Operations (CNO). CDRUSSTRATCOM also serves as the Chairman's and combatant commanders' advocate for CNO and will coordinate on all CNO-related joint DOTMLPF change recommendations.

(5) USTRANSCOM. The Commander, USTRANSCOM, is responsible for providing common-user air, land, and sea transportation for the Department of Defense and will coordinate on all common-user transportation-related joint DOTMLPF change recommendations.

f. Defense Agencies. Defense agencies may recommend emerging joint concepts and participate in developing and evaluating joint concepts and architectures, recommending legacy system integration through joint interoperability modifications, and determining the applicability of lessons learned from exercises and military operations IAW reference e. Defense agencies may also develop their own change recommendation documents as a DOD component or be asked to manage the results of changes initiated by the combatant commands, Services, or Joint Staff.

APPENDIX A TO ENCLOSURE B

FORMAT FOR JOINT DOTMLPF CHANGE RECOMMENDATIONS

Joint DOTMLPF (Emergency, Priority, or Routine) Change Recommendation for _____ (title)

Proposed Lead Agency is _____

Submitted by _____ (sponsor)

1. Purpose. Provide a brief statement regarding the concept(s) addressed in this document. Provide rationale for emergency or priority processing.

2. Background. Frame the discussion by providing context. Briefly discuss the existing concepts, technologies, procedures, etc., to be influenced by the proposal in terms of opportunities to enhance or improve joint/multinational warfighting capabilities. Within the discussion, include the following (as applicable):

a. References to latest DOD strategic guidance or plans.

b. Cite NMS, Joint Planning Document, Defense Planning Guidance, Joint Intelligence Guidance, Joint Vision, Service investment plans, etc.

c. Cite the military task from the Universal Joint Task List (CJCSM 3500.4) associated with the proposal, as applicable.

d. Published JROCMs relevant to the proposal, including linkage to JROC-approved operational concept(s) and architectures.

e. Requirement validation. Use combatant commander's integrated priorities list, joint monthly readiness reviews, quarterly reports to the Secretary of Defense, approved requirements documents, etc., to validate the need to change joint DOTMLPF.

f. Other key decisions or events.

3. Description. Describe specifics of the proposal; address the who, what, when, how, and why. Clearly state, in terms of major objectives, what the recommendation is intended to accomplish and how it could

widen the qualitative superiority of joint forces over potential adversaries, close a gap (existing or projected), or otherwise enhance joint warfighting capabilities. Also include discussion of the following, as applicable:

a. Changes to tactics, techniques, and procedures.

b. Forces and systems affected and impact on interoperability.

c. Projected threat environment and, to the extent possible, the specific DIA-validated threat to be countered.

d. If recommendation includes incorporating future technology (materiel component), include brief discussion of the maturity of the science and technology area(s) or future systems involved and a risk assessment of the approach.

4. Analysis Process. Provide an executive summary of the analysis methodology that led to these recommendations, including:

a. Research, experimentation, and/or analysis plan.

b. Brief summary of the analytic techniques employed (i.e., modeling and simulation, statistical sampling, experimentation, real-world event lessons learned, etc.) to produce findings.

c. Discussion of facts and circumstances relating to adjustments made during execution of the approved research, experimentation, and/or analysis plan (if applicable).

NOTE: Include full description of analysis methodology as an attachment to the change recommendation.

5. Joint DOTMLPF Change Recommendation Findings and Proposed Implementation Plan. Use this section to describe research, experimentation, and analysis findings, and the recommended implementation plan. List recommendations and implementation plans in terms of each applicable joint DOTMLPF element.

a. List recommendations in priority order.

b. For each recommendation, include:

(1) Discussion of improvement and/or benefit to joint warfighting and joint interoperability.

(2) State whether or how change recommendation would advance Joint Vision desired operational capabilities.

c. Proposed implementation timeframe:

(1) Discussion of relationships between recommendations and associated implementation timing (i.e., a joint organizational change has implications for a personnel change, which influences training plans, etc.).

(2) Resources required to implement (total resources, including additional research, hardware, DOD manpower, test range time, contractor support, etc.).

(3) Rough-order-of-magnitude total cost, using template below including cost by FY and type of funding (RDT&E, O&M, procurement) required (also, note paragraph 6, Constraints, below).

DOTMLPF Change Recommendation	**FY xx (e.g. 04)**	**FY xx (e.g. 05)**	**FY xx (e.g. 06)**	**FY xx (e.g. 07)**	**FY xx (e.g. 08)**	**FY xx (e.g. 09)**	**FYDP Total**
Resources ($K)							
O&M							
RDT&E							
Procurement							
Manpower							
Total Funding							

Figure B-A-1. Summary of Resources Required to Implement (e.g., Doctrine) Change Recommendation Proposal

6. Constraints. Identify current or projected resource constraints with respect to implementing any element of the recommended findings in paragraph 5 above.

a. Highlight any proposed concept not currently addressed within the DOD program (PPBS).

b. If specific recommendation is, for example, a change to joint training, and sufficient resources are already programmed to cover the

total cost of implementing the proposal including course development, instructor manpower and/or billets, instructor education, training facilities, reading materials, hardware and mock-ups, etc., then do not include in paragraph 6.

c. If there are additional unprogrammed costs associated with implementing any of the recommendations, include in paragraph 6.

d. For each joint DOTMLPF change recommendation included in this paragraph, provide the following:

(1) Rough order of magnitude cost (total over the FYDP and by FY).

(2) Proposed resources required (RDT&E, O&M, procurement, billets and/or manpower, etc.).

(3) Potential source(s) for funding.

7. Issues

a. Identify any issues (DOD policy, treaties, protocols, agreements, legal issues, DOD roles, missions and functions, interagency, multinational, etc.) associated with implementing any element of the recommended findings in paragraph 5.

b. Provide proposed resolution.

c. Identify interoperability implications.

d. Identify any unresolved combatant commanders, Services, Joint Staff, OSD, and/or Defense agencies issues resulting from staffing and/or coordinating the recommendation document.

e. Critical and substantive comments must be addressed. (Refer to Enclosure B for definitions of critical, substantive, and administrative comments.).

8. Recommendation Summary

a. Recap the major findings and proposed implementation recommendations to advance future joint warfighting capabilities.

b. List alternative approaches and/or options to implement and resource recommendation(s), in relative order of priority. (Options are

particularly appropriate when comprehensive change recommendations are submitted with significant resource implications. However, recommendations without alternatives may be submitted when only one option is appropriate or practical.) As appropriate, alternatives will be tailored to the specific change recommendation(s) and focused on maximizing, for example:

(1) Scope

(a) All forces and/or systems.

(b) All forces and/or systems within a particular specialty.

(c) Specific performance of a subset of forces within a specialty or system.

(2) Implementation schedule

(a) Maximum impact achieved at earliest practical date.

(b) Impact achieved in phases.

(3) Additional level of resources required (combined scope and schedule)

(a) Comprehensive approach.

(b) Moderate.

(c) Limited.

c. Include a brief discussion of advantages and risks and/or disadvantages of each alternative.

9. Package Disposition

a. Provide the JROC an overall recommended option or way ahead.

b. Identify proposed lead combatant command, Service, and/or Defense agency as required.

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ENCLOSURE C

REFERENCES

a. Title 10, United States Code, "Armed Forces"

b. CJCSI 5123.01, 8 March 2001, "Charter of the Joint Requirements Oversight Council"

c. CJCSI 3170.01 Series, "Requirements Generation System"

d. CJCSI 3137.01 Series, "The Joint Warfighting Capabilities Assessment Process"

e. CJCSI 3010.02A, 15 April 2001, "Joint Vision Implementation Master Plan"

f. JROCM 078-01, 8 May 2001, "Integration of Joint Experimentation (JE) and Joint Doctrine, Organization, Training, Materiel, Leadership/ Education, Personnel, and Facilities (DOTMLPF) into the Joint Requirements Oversight Council (JROC) Process"

g. JROCM 098-00, 25 May 2000, "JROC Administrative Guide"

h. CJCSM 1600.01, 30 April 1998, "Joint Manpower Program Procedures"

i. CJCSI 1301.01B, 1 July 2001, "Policies and Procedures to Assign Individuals to Meet Combatant Command Mission-Related Temporary Duty Requirements"

j. CJCSI 6721.01, 27 November 2000, "Global Command and Control Management Structure"

k. Joint Pub 1-01, 5 July 2000, "Joint Doctrine Development System"

l. CJCSI 3500.01B, 31 December 1999, "Joint Training Policy for the Armed Forces of the United States"

m. CJCSI 3500.02C, 14 August 2000, "Joint Training Master Plan 2002 for the Armed Forces of the United States"

n. CJCSI 1800.01A, 1 December 2000, "Officer Professional Military Education Policy"

o. CJCSI 8501.01, 1 April 1999, "The Planning, Programming, and Budgeting System"

p. CJCS memorandum, 6 September 2000, "Joint Mission Areas to Organize the Joint Operational Architecture"

q. CJCSI 6212.01, 8 May 2000, "Compatibility, Interoperability, and Integration of Command, Control, Communications, Computers, and Intelligence Systems"

r. DODD 5000.1, 23 October 2000, "The Defense Acquisition System"

s. DODI 5000.2, 4 January 2001, "Operation of the Defense Acquisition System"

t. DOD 5000.2-R, June 2001, "Mandatory Procedures for Defense Acquisition Programs (MDAPs) and Major Automated Information Systems (MAIS) Acquisition Programs"

GLOSSARY

PART I -- ABBREVIATIONS AND ACRONYMS

C4I	command, control, communications, computers, and intelligence
CDRUSELEMNORAD	Commander, United States Element, North American Aerospace Defense Command
CDRUSJFCOM	Commander, United States Joint Forces Command
CDRUSSTRATCOM	Commander, United States Strategic Command
CJCSI	Chairman of the Joint Chiefs of Staff Instruction
CJCSM	Chairman of the Joint Chiefs of Staff Manual
CNO	computer network operations
CPA	Chairman's Program Assessment
CPR	Chairman's Program Recommendations
CRD	Capstone requirements document
DIA	Defense Intelligence Agency
DOTMLPF	doctrine, organization, training, materiel, leadership/education, personnel, and facilities
FD	Forces Division (J-8)
FPO	functional process owner
FY	fiscal year
FYDP	Future Years Defense Program
GCCS	Global Command and Control System
IAW	in accordance with
IS	information superiority
ISR	intelligence, surveillance, and reconnaissance
J-1	Joint Staff Manpower and Personnel Directorate
J-2	Joint Staff Intelligence Directorate
J-3	Joint Staff Operations Directorate
J-4	Joint Staff Logistics Directorate
J-5	Joint Staff Strategic Plans and Policy Directorate
J-6	Joint Staff Command, Control, Communications, and Computer Systems Directorate
J-7	Joint Staff Operational Plans and Joint Force Development Directorate
J-8	Joint Staff Force Structure, Resources, and Assessment Directorate

JCPAT	Joint Command, Control, Communications, Computers, and Intelligence (C4I) Program Assessment Tool
JE	joint experimentation
JIMP	Joint Vision Implementation Master Plan
JP	joint publication
JRB	Joint Requirements Board
JROC	Joint Requirements Oversight Council
JROCM	Joint Requirements Oversight Council Memorandum
JROCSM	Joint Requirements Oversight Council staff memorandum
JRP	Joint Requirements Panel
JWCA	Joint Warfighting Capability Assessment
MCEB	Military Communications-Electronics Board
MNS	mission needs statement
NMCS	National Military Command System
NORAD	North American Aerospace Defense Command
O&M	operations and maintenance
OPR	office of primary responsibility
ORD	operational requirements document
OSD	Office of the Secretary of Defense
POM	program objective memorandum
PPBS	Planning, Programming, and Budgeting System
RAD	Requirements and Acquisition Division, Joint Staff, J-8
RDT&E	research development test and evaluation
SWARF	Senior Warfighters Forum
USJFCOM	United States Joint Forces Command
USSOCOM	United States Special Operations Command
USSTRATCOM	United States Strategic Command
USTRANSCOM	United States Transportation Command

PART II -- TERMS AND DEFINITIONS

approval. The formal or official sanction of the identified need described in the requirements documentation. Approval also certifies that the documentation has been subject to the uniform process established by DOD 5000 series. (Refer to references r and s.)

analysis of alternatives (AOA). The evaluation of the operational effectiveness and estimated costs of alternative material systems to meet a mission need. The analysis assesses the advantages and disadvantages of alternatives being considered to satisfy requirements to include the sensitivity of each alternative to possible changes in key assumptions or variables. The AOA assists decision makers in selecting the most cost-effective material alternative to satisfy a mission need.

architecture. The structure of components, their relationships, and the principles and guidelines governing their design and evolution over time.

Capstone requirements document. A document that contains capabilities-based requirements that facilitates the development of individual operational requirements documents by providing a common framework and operational concept to guide their development. It is an oversight tool for overarching requirements for a system-of-systems or family-of-systems.

core capability. The core capability includes the following:

1. The set of functions that define a significant, stand-alone, operationally effective, and suitable military capability such that, should no further development occur, the user will have received a significant capability.

2. The integral characteristics of the system that if altered in subsequent increments would lead to significant redesign of the evolutionary system.

environmental considerations. System characteristics affecting the natural environment, such as noise or air pollution and their potential impact on the user's ability to base the system or train with the system. Includes compliance with environmental laws, including laws of other nations, which may be applicable to expected basing sites or training ranges.

experimentation. An iterative process of collecting, developing, and exploring concepts to identify and recommend better value-added

solutions for changes to DOTMLPF required to achieve significant advances in future joint operational capabilities.

family of systems. A set or arrangement of independent systems that can be arranged or interconnected in various ways to provide different capabilities. The mix of systems can be tailored to provide desired capabilities dependent on the situation.

information exchange requirements. The requirement for information to be passed between and among forces, organizations, or administrative structures concerning ongoing activities. Information exchange requirements identify who exchanges what information with whom as well as why the information is necessary and how that information will be used. (Refer to reference t.)

interoperability

1. The ability of systems, units, or forces to provide services to and accept services from other systems, units, or forces, and to make use the services, units, or forces, and to use the services so exchanged to enable them to operate effectively together.

2. The condition achieved among communications-electronics systems or items of communications-electronics equipment when information or services can be exchanged directly and satisfactorily between them and/or their users. The degree of interoperability should be defined when referring to specific cases. For the purposes of this instruction, the degree of interoperability will be determined by the accomplishment of the proposed information exchange requirements fields.

joint experimentation. An iterative process for developing and assessing concept-based hypotheses to identify and recommend the best value-added solutions for changes in doctrine, organizational training and education, materiel, leadership, and personnel required to achieve significant advances in future joint operational capabilities.

joint force training. Process of conducting and assessing joint and multinational training and exercises for assigned forces to assist Chairman, combatant commanders, and Service Chiefs in their preparations for joint and combined operations.

joint mission area. A functional group of joint tasks and activities that share a common purpose and facilitate joint force operations and

interoperability. Provides a logical way to organize the joint operational architecture. (Refer to reference p.)

joint operational architecture. Description of tasks and activities, operational elements, and information flows required to accomplish or support military operation. Supported by information exchanges in detail sufficient to ascertain specific interoperability requirements. Based on mission areas; incorporates doctrine; not generally systems-dependent; independent of technology; generic activity descriptions not based on current forces. Should clearly identify time phase(s) covered.

Joint Requirements Board. The council of one- and two-star officers, chaired by the JROC Secretary, who consider and prepare issues for JROC consideration.

Joint Requirements Oversight Council (JROC). A four-star panel consisting of the Vice Chairman of the Joint Chiefs Staff and a four-star officer designated by each of the Services. JROC bases recommendations to the Chairman on interaction with combatant commanders and the Joint Staff Director-led JWCA teams that perform detailed assessments of programmatic alternatives, tradeoffs, risks, bill-payers, and effectiveness.

JROC memorandum. Official JROC correspondence generally directed to an audience(s) external to the JROC. Usually decisional in nature.

JROC Staff memorandum. Official JROC correspondence generally utilized for internal staffing and tasking. Usually predecisional in nature and not releasable outside of JROC circles.

JROC Special Interest. Programs identified by the JROC Secretary as being of interest to the JROC for oversight although they do not meet the Acquisition Category (ACAT) I cost thresholds or have been designated as ACAT ID.

lead DOD component. The Service or agency that has been formally designated as lead for a joint program by the milestone decision authority. The lead component is responsible for all common documentation, periodic reporting, and funding actions.

Major Defense Acquisition Program (MDAP). An acquisition program that is not a highly sensitive classified program and is estimated by the Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)) to require an eventual total expenditure of more than $365 million in research development test and evaluation funds, $2.190 billion

in procurement funds measured in FY 2000 constant dollars, or programs designated as an MDAP by the USD(AT&L).

materiel solution. A defense acquisition program (nondevelopmental, modification of existing systems, or new program) that satisfies identified mission needs.

milestones. Major decision points that separate the phases of an acquisition program.

Military Department. A department that is headed by a civilian Secretary appointed by the President and includes a Military Service (the Department of the Navy includes two Services, Navy and Marine Corps).

Military Service. A branch of the Armed Forces of the United States, established by act of Congress, in which persons are appointed, enlisted, or inducted for military service, and which operates and is administered within a military or executive department.

mission area analysis. An analysis that uses a "strategy-to task" (e.g., National Military Strategy to individual mission tasks) methodology to identify the operational support tasks needed to achieve military objectives.

mission need. A deficiency in current capabilities or an opportunity to provide new capabilities (or enhance existing capabilities) through the use of new technologies. They are expressed in broad operational terms by the DOD components.

mission needs analysis. An analysis designed to assess ones ability to accomplish the tasks identified during the mission area analysis. The analysis uses a task-to-need methodology to identify mission needs. It can also highlight technological opportunities and identify reliability and maintainability improvements that enhance warfighting capability.

mission need statement. A formatted nonsystem-specific statement containing operational capability needs and written in broad operational terms. It describes required operational capabilities and constraints to be studied during the Concept and Technology Development Phase.

nonmajor defense acquisition program. A defense acquisition program that does not meet criteria for a major defense acquisition program. Further defined as ACAT II or III in DOD 5000.2-R, part 1.
nonmateriel solution. Changes in doctrine, tactics, training, or organization to satisfy identified mission needs. Mission needs

statements with an identified nonmateriel solution are sent to the Military Departments for consideration and action.

operational architecture view. A description (often graphical) of the tasks and activities, operational elements, and information flows required to accomplish or support a warfighting function.

operational requirements. A system capability or characteristic required to accomplish approved mission needs. Operational (including supportability) requirements are typically performance parameters, but they may also be derived from cost and schedule. For each parameter, an objective and threshold value must also be established.

operational requirements document. A formatted statement containing performance and related operational parameters for the proposed concept or system. Prepared by the user or user's representative at each milestone beginning with Milestone B (or Milestone I/program initiation).

requirement. The need of an operational user, initially expressed in broad operational capability terms in the format of a mission needs statement. It progressively evolves to system-specific performance requirements in the operational requirements document.

requirements authority. The individual within the DOD components charged with overall requirements definition and validation. The Vice-Chairman of the Joint Chiefs of Staff, in the role as Chairman of the JROC, is the requirements authority for all potential major defense acquisition programs and is responsible for all requirements policy and procedures, including mission needs statements, Capstone Requirements Documents, and operational requirements documents. The requirements authority for other acquisition category programs is specified in reference c (CJCSI 3170.01).

Senior Warfighter Forum. JROC-directed forum used to organize, analyze, prioritize, and frame complex warfighter resource and requirements issues for JROC approval. JROC tasking memorandum will identify the scope, sponsor, and supporting agencies to frame issues.

sponsor. The DOD component responsible for all common documentation, periodic reporting, and funding actions required to support the requirements and acquisition process.

system capabilities. Measures of performance such as range, lethality, maneuverability, and survivability.

system characteristics. Design features such as weight, fuel capacity, and size. Characteristics are usually traceable to capabilities (e.g., hardening characteristics are derived from a survival capability) and are frequently dictated by operational constraints (e.g., carrier compatibility) and/or the intended operational environment (e.g., nuclear, biological, and chemical).

system of systems. A set or arrangement of systems that are related or connected to provide a given capability. The loss of any part of the system will degrade the performance or capabilities of the whole.

system architecture view. A description, including graphics, of systems and interconnections providing for or supporting warfighting functions.

user. An operational command or agency that receives or will receive benefit from the acquired system. Combatant commanders and their Service component commands are the users. There may be more than one user for a system. The Service component commands are seen as users for systems required to organize, equip, and train forces for the combatant commands. The Chiefs of the Services and heads of other DOD components are validation and approval authorities and are not viewed as users.

validation. The review of documentation by an operational authority other than the user to confirm the need or operational requirement. As a minimum, the operational validation authority reviews the MNS, confirms that a nonmateriel solution is not feasible, assesses the joint Service potential, and forwards a recommendation for Milestone A (or Milestone 0) action. Validation is a necessary, but not sufficient, step for approval. This step appears identical to approval in the case of an MNS, but the JROC may delegate final operational requirements document approval authority while retaining validation authority.