

CHAIRMAN OF THE JOINT CHIEFS OF STAFF MANUAL

J-5

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CJCSM 3113.01A

31 May 2000

THEATER ENGAGEMENT PLANNING

References: See Enclosure D

1. Purpose. This manual sets forth guidelines and procedures for the geographic CINCs and Executive Agents to develop Theater Engagement Plans (TEPs). This procedural guidance meets the requirement established by reference a to develop a process to globally integrate military engagement activities. It provides military guidance for use by the CINCs and Executive Agents in the development of TEPs in response to JSCP-tasked requirements. This manual specifies the policies, procedures, and formats to be used across the spectrum of engagement activities.

2. Cancellation. CJCSM 3113.01, 1 February 1998, "Theater Engagement Planning," is canceled.

3. Applicability

a. Procedures established in this manual apply to the CINCs, Services, Joint Staff, and Defense agencies as indicated. This guidance may also apply when plans include significant forces of one Service attached to forces of another Service or when significant forces of one Service support forces of another Service.

b. In applying the guidance and procedures set forth in this manual, care must be taken to distinguish between distinct, but related responsibilities in the two channels of authority to forces assigned to the combatant commands. The Military Departments and Services recruit, organize, train, equip, and provide forces for assignment to combatant commands and administer and support these forces. This authority is, by law, subject to the provisions of chapter 6, title 10, United States Code, which details the authority of the CINCs. The CINCs exercise combatant command (command authority) over their assigned forces. Service component commanders are subject to the

Enclosure

orders of combatant commanders and are responsible to the Military Departments and Services in the chain of command for matters for which the joint force commander has not been assigned authority. Geographic CINCs and Executive Agents are responsible for analysis, prioritization, and incorporation of relevant, supporting CINC, Service, and Defense agency engagement activity data into their TEPs.

c. TEP is evolving both in the sense of a planning process and a product. Accordingly, it is foreseeable that changes in TEP policy and this document may need to occur out of the formal review cycle. Anticipating this requirement, the Joint Staff, J-5, has established a TEP Policy Working Group to vet and arbitrate both in-cycle and out-of-cycle policy change requests. Procedures, membership, and guidelines governing the conduct of the TEP Policy Working Group are contained in the published charter.

4. Responsibilities

a. Any proposal by a Joint Staff directorate to the Chairman of the Joint Chiefs of Staff that would change source document information reflected in this manual also must include a proposed change to this manual as an enclosure to the proposal.

b. The Military Services and other organizations will notify the Director, J-5, when changes to source documents reflected in this manual are initiated.

c. Recommendations for changes to this manual should be submitted to the Director for Strategic Plans and Policy, J-5, Joint Staff, Washington, D.C. 20318-5000.

5. Report Requirements. Reports required by this manual are exempt from normal reporting procedures in accordance with DOD Manual 8910.01M.

6. Releasability. This manual 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 manual through the Internet from CJCS Directives Home Page --<http://www.dtic.mil/doctrine/jel/cjcsd.htm>. Copies are also available through the Government Printing Office on the Joint Electronic Library CD-ROM.

7. Effective Date. This planning and procedural guidance is effective upon receipt.

For the Chairman of the Joint Chief of Staff:



C. W. FULFORD, JR.
Lieutenant General, U.S. Marine Corps
Director, Joint Staff

Enclosures

- A -- Theater Engagement Planning
- B -- Review of Theater Engagement Plans
- C -- Format and Content of Theater Engagement Plans
- D -- References
- GL -- Glossary

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ENCLOSURE A

THEATER ENGAGEMENT PLANNING

1. **Purpose.** This enclosure describes the planning process for development of TEPs. It outlines responsibilities, establishes time requirements for the planning cycle, and provides guidance regarding the nature, scope, and content of TEPs.

2. **Applicability.** This manual applies to TEPs prepared by the geographic CINCs and SecDef-designated Executive Agents for engagement planning for unassigned countries in response to CJCS tasking in the JSCP. CINCs and Executive Agents prepare TEPs in accordance with procedures contained herein, and the format provided in Enclosure C, and submit them to the Chairman of the Joint Chiefs of Staff for review. The TEPs from each geographic CINC or designated Executive Agent are then integrated into the "Global Family of Engagement Plans," which is approved by the Chairman and forwarded to the USDP for review.

3. Planning Process for TEPs

a. The TEP is primarily a strategic planning document intended to link CINC-planned regional engagement activities with national strategic objectives. The TEP is based on planning guidance provided in the JSCP, Enclosure E, Engagement Planning Guidance. CINC planned and supported operations and activities produce multiple benefits in readiness, modernization, and engagement. However, peacetime military engagement activities must be prioritized to ensure efforts are focused on those that are of greatest importance, without sacrificing warfighting capability. TEP identifies the synchronization of these activities on a regional basis and illustrates the efficiencies gained from regional CINC engagement activities that support national strategic objectives.

b. Geographic CINCs and Executive Agents will develop, as applicable, TEPs for their assigned theaters or designated countries inclusive of the year of execution and the next seven (7) fiscal years. The plan development process is conducted in four phases (Figure A-1). The first phase provides planning guidance via the JSCP; the second phase results in a geographic CINC-approved TEP Strategic Concept; the third phase includes synchronization of supporting and coordinating plans and results in a geographic CINC-approved TEP; and the fourth phase is the national-level review and integration into the Global Family of Theater Engagement Plans.

c. A TEP Strategic Concept for each geographic CINC's theater and Executive Agent's designated country is published biennially in April (of each

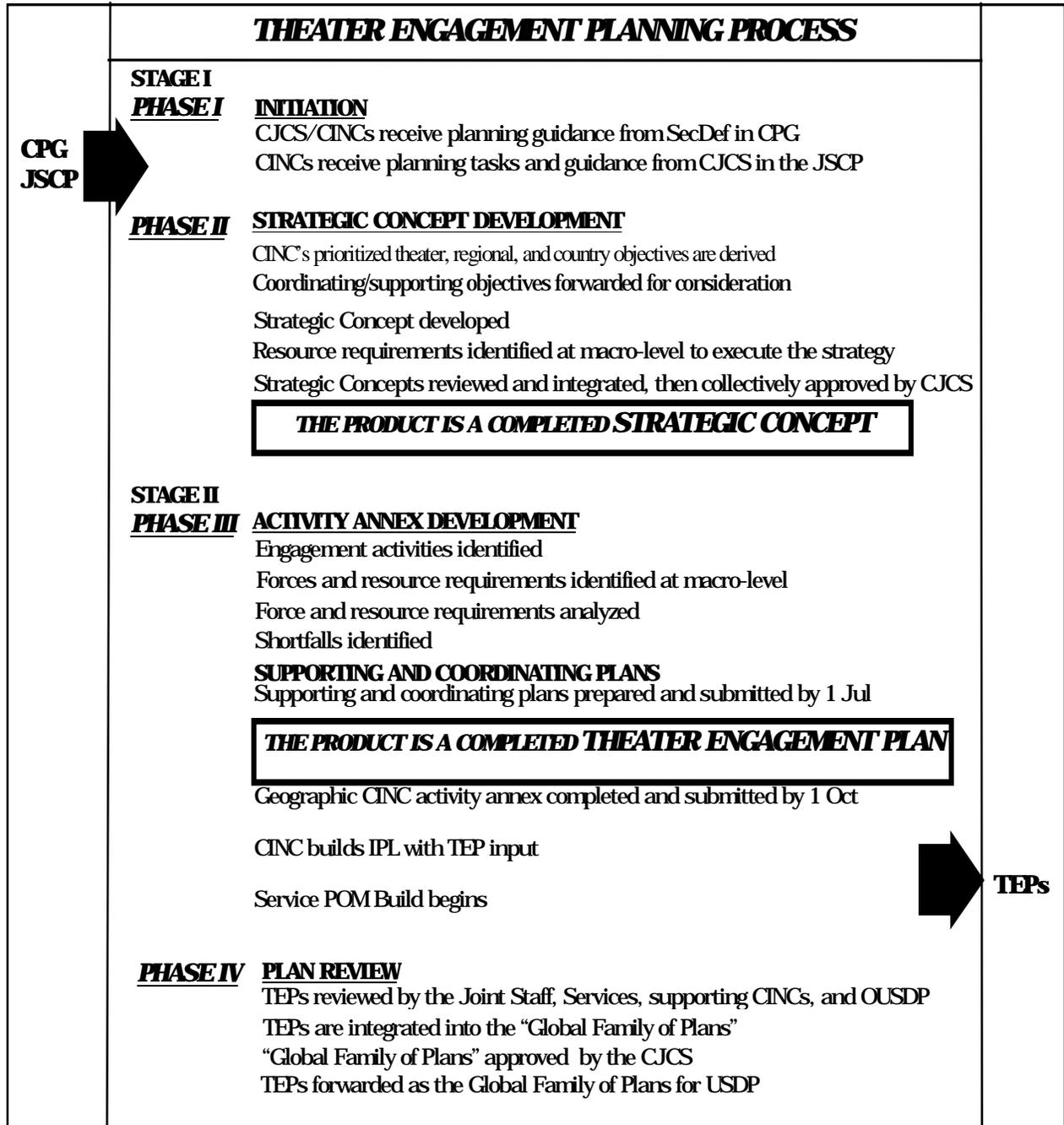


Figure A-1. Theater Engagement Planning Process

odd year) and TEP Activity Annexes are published annually in October. These documents provide a plan detailing the type and scope of engagement activities to be conducted in support of the CINC's or Executive Agent's strategy. The TEP provides the linkage between strategic objectives and engagement activities. The responsible CINC or Executive Agent is not limited only to the activities outlined in this manual for inclusion into the TEP. However, at a

minimum, the activities that are discussed within this manual should be included in the TEP where applicable. The responsible CINC or Executive Agent determines which additional activities will be included in the TEP. Engagement activity categories, for the purpose of TEP, are operational activities, combined exercises, security assistance, combined training, combined education, military contacts, humanitarian assistance, and any other military activity involving other nations that is intended to help shape the security environment in peacetime.

d. Each geographic CINC and Executive Agent TEP will be forwarded to the Chairman of the Joint Chiefs of Staff for review and integrated into the Global Family of Engagement Plans. When the family of plans is approved by the Chairman, it is then used by the Services, supporting commanders, Defense agencies, and other USG agencies in accordance with existing procedures and processes to develop programs and budgets. The family of plans, following the Chairman's approval, are forwarded to the Office of the Under Secretary of Defense for Policy (OUSDP) for review to ensure that they conform with established priorities of the USG; support national objectives, plans, and programs; and where interagency support is required, receive the priority and attention necessary to be sufficiently funded within the programs of non-DOD agencies (e.g., Security Assistance programs).

e. The JSCP directs that CINC planners use both assigned forces (from the "Forces For" document), those rotationally deployed to the theater and those that have historically been temporarily deployed for engagement activities. The CINC-established requirements for force capabilities, associated resources, and other resources (including civilian agencies) to conduct engagement activities in the respective theater/region are reviewed and synchronized during two phases of the TEP process: 1) regionally during plan development by the CINC's and Executive Agent's planning staffs working with components, supporting CINCs, and other agencies and 2) globally during the plan review process when the individual TEP is integrated into the global family of TEP plans by the CINC's representatives, the Services, and the Joint Staff.

f. The integrated national plan review ensures that planned TEP activities in the aggregate support national objectives. A second major purpose of the national review process is to ensure that TEP activities in the various theaters are, from a global perspective, sustainable. Although TEP is a plan for TEP activities, results of the plan review can provide input to decisions on regional force posture. When included with the remaining portion of the spectrum of operations, and combined with other factors such as political and diplomatic constraints, TEP provides part of the strategic, operational, and diplomatic/political background used in making both global and regional overseas presence decisions.

4. Planning Cycle Responsibilities and Time Requirements

a. Overview. Although TEP planning is continuous, the development of the TEP concept is on a biennial cycle and submissions of the TEP Annexes are on an annual cycle. It begins with publication of the JSCP or a JSCP “note-to-holders” and terminates with annual approval by the Chairman of the Joint Chiefs of Staff and review by OUSDP of the global family of CINC and Executive Agent TEPs.

(1) Within this cycle, the geographic CINCs and Executive Agents develop TEPs in a two-stage process for their assigned theaters or designated countries. In the first stage, the geographic-CINCs and Executive Agents prepare and submit TEP strategic concepts. In the second stage, the CINCs and Executive Agents complete their plans by identifying, preparing, and submitting their TEP Activity Annexes, which identify supporting activities and, at the program level, the resources required to conduct those activities. Resource requirements identified in the TEP Activity Annexes provide input by the CINC and components to the Planning, Programming, and Budget System (PPBS).

(2) The completed TEPs are subsequently reviewed and integrated into the Global Family of Engagement Plans by the Joint Staff in coordination with the supported CINCs, Services, and supporting CINCs. The Chairman of the Joint Chiefs of Staff then approves the plans. Resources required to conduct planned engagement activities are evaluated during Service and Defense agency normal PPBS actions, in accordance with the guidance published in the Defense Planning Guide (DPG). The CINC’s programming bridges from TEP to PPBS include the Joint Warfighting Capabilities Assessments (JWCAs), CINC’s conferences, program review, and, in the case of critical shortfalls, the Integrated Priority List (IPL). The programming bridge from TEP to PPBS is provided by CINC integration of engagement requirements, as identified in the TEP activity annexes, into the annual IPL.

(3) A TEP Strategic Concept is effective until updated or superseded by the responsible CINC or Executive Agency. Updates may be required, for example, if there are significant changes in the security environment or the applicable prioritized regional objectives published in the Contingency Planning Guidance (CPG)/JSCP are changed. At a minimum, TEP Strategic Concepts will be updated every 2 years and submitted to the Joint Staff for review on 1 April. TEP Activity Annexes will be updated annually and submitted via electronic media to the Joint Staff by 1 October. TEP Activity Annex submissions include: 1) greater detail and precision as a particular year’s activities move closer to the year of execution; 2) updates to the 7 out-years covered in the plan (e.g., changes driven by amended priorities, revised

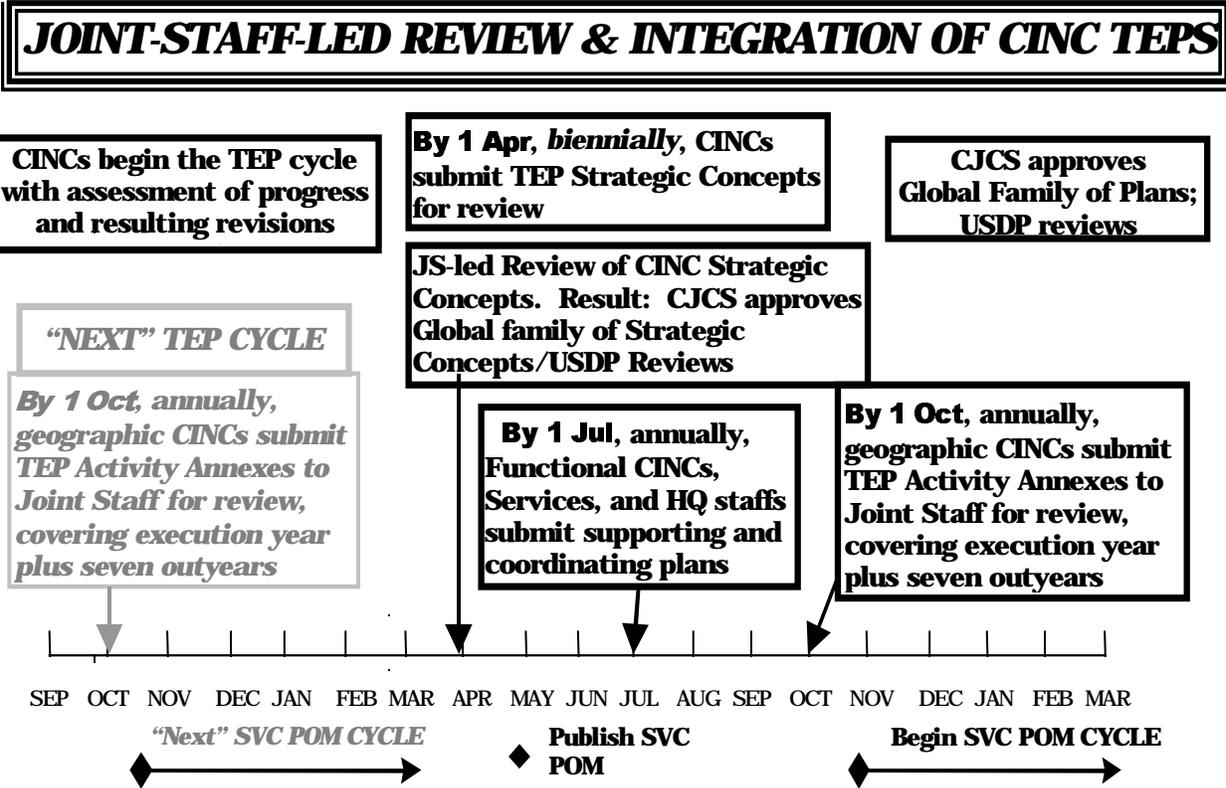


Figure A-2. Annual Planning Schedule for Theater of Engagement Planning

objectives, or availability of resources for engagement activities); and 3) the Activity Annex for the new planning year.

b. **Joint Staff.** The Joint Staff, in the name of the Chairman of the Joint Chiefs of Staff, publishes the JSCP and the TEP development schedule, oversees the TEP process as detailed in this manual, and coordinates review of the TEPs.

(1) The JSCP will provide necessary planning guidance to facilitate the preparation of TEPs, including prioritized regional objectives. The Secretary of Defense may assign countries, not otherwise assigned to a CINC in the Unified Command Plan (UCP), to Executive Agents for engagement planning. For areas not assigned either to a CINC or Executive Agent for engagement planning, the Director for Strategic Plans and Policy, J-5, Joint Staff, will prepare TEPs in close coordination with the CINCs, who will execute the planned engagement activities.

(2) The annual planning schedule for preparing TEPs is depicted in the chart in Figure A-2. The TEP preparation process is timed to be synchronized with critical PPBS and JSPS decision points. This timing supports the

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development of DOD programs and budgets. It also provides input to the budget processes of other departments (e.g., DOS) that provide the resources supporting some engagement activities. The TEP planning and submission cycle requires biennial completion and submission of TEP Strategic Concepts by 1 April (on odd years) and annual completion and submission of TEP Activity Annexes by 1 October. Each TEP Activity Annex submission will include data from the execution year plus the next seven (7) fiscal years. TEP cycle timing is also optimized for synchronization with the annual J-7 Worldwide Exercise Scheduling Conference, held each February.

(3) Reviews of CINC and Executive Agent A TEPs are conducted in accordance with Enclosure B of this manual.

c. Supported CINCs and Executive Agents. The CINCs and Executive Agents develop TEPs in response to JSCP direction and in accordance with applicable CJCS instructions. They review their TEPs annually, and perform mandatory updates to TEP Strategic Concepts biennially, or more frequently, if deemed appropriate. TEP Activity Annexes are developed, approved, and reviewed annually to reflect greater clarity as each year moves closer to execution. These updates will also reflect changes that have occurred in objectives and policies, requirements, and recommendations within specific theaters, regions, and countries; availability of resources; and out-year requirements and recommendations.

(1) Strategic Concepts must be formally updated and reviewed biennially.

(2) Annually, the CINC or Executive Agent reviews the Strategic Concept to determine whether it is consistent with current policy and planning guidance. If only minor or no changes are required, the CINC or Executive Agent will submit a memorandum stating that the previous TEP Strategic Concept remains valid.

(3) If the TEP Strategic Concept requires major changes, or the JSCP or other national-level policy documents forward significant changes in engagement planning guidance (e.g., assign new engagement objectives or provide a change in national-level guidance or policy), the CINC or Executive Agent will rewrite the TEP Strategic Concept and submit it for review in accordance with the planning schedule provided in this instruction. Exceptions that require submission of a new Strategic Concept include:

(a) CINC or Executive Agent deems submission appropriate.

(b) National Security or National Military Strategy changes require modification of existing Strategic Concepts.

(c) CPG/JSCP Prioritized Regional Objectives change.

(d) Significant changes to regional security environment compel revision of the existing Strategic Concept.

(e) Significant changes in resource availability.

(f) Other exceptional circumstances (i.e., NCA direction).

(g) The Chairman of the Joint Chiefs of Staff will notify CINCs and Executive Agents by message when any of the above situations (except (a)) require submission of new Strategic Concepts.

(4) TEP Activity Annexes are updated annually to reflect: 1) greater detail and precision as a particular year's activities move closer to the year of execution; 2) updates to the 7 out-years covered by the plan (e.g., changes necessitated because of amended priorities, revised objectives, or availability of resources for engagement activities); and 3) the Activity Annex for the new planning year.

(5) Once the TEP is reviewed and integrated into the family of engagement plans, the CINCs or Executive Agents will report all major changes in planned activities for the execution year of the current TEP to the Chairman of the Joint Chiefs of Staff. Changes to the TEP are considered major when they result from significant changes in politico-military conditions, availability of resources, and other priorities within the theater. These changes will be provided using current reporting systems to the maximum extent possible. Changes to the TEP are considered major when they:

(a) Require significant additional forces or capabilities beyond those assigned or historically available to the CINC or Executive Agent.

(b) Require additional or release of significant strategic mobility assets.

(c) Result from shortfalls in funding or other resources planned for in the CINC's or Executive Agent's TEP after the Chairman of the Joint Chiefs of Staff has approved the Global Family of Engagement Plans.

(d) Impact significantly on engagement activities with a region or country previously highlighted as particularly sensitive by the NCA.

(e) Increase operations tempo or personnel tempo above acceptable levels, especially in conjunction with unplanned contingency missions within the theater.

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(6) The CINC or Executive Agent will retain executed TEPs on file for 2 years. Upon expiration of the 2-year period, the permanent record copy of the executed TEP is then retired to the applicable Federal Records Center. Records so retired will be marked with appropriate instructions to ensure their protection against improper release in accordance with CJCSI 5714 series.

d. Supporting CINCs, Services, and Defense Agencies. Functional Unified Commands, Services, and Defense agencies routinely conduct engagement activities within the area of responsibility (AOR) of unified commands or involving foreign nationals from AOR countries. These organizations will report planned engagement activities to the affected geographic unified command by annually submitting, by 1 July, supporting and/or coordinating Activity Annexes. Supporting CINCs, Services, and Defense agencies will provide required data to supported CINCs and Executive Agents for the development of TEPs in accordance with the following guidance.

(1) Annually, by 1 July, supporting CINCs and Executive Agents will coordinate with and report planned engagement activities in specific theaters, regions, or countries to the supported CINC and Executive Agent in each of the categories specified in the TEP Activity Annexes. Supporting CINCs, Services and Defense agencies will coordinate force and resource availability to support the TEPs of supported CINCs and Executive Agents in the format provided herein.

(2) Annually, by 1 July, the Services and Defense agencies will report and coordinate planned engagement activities with the supported CINC or Executive Agent assigned responsibility for that theater, region, or country.

5. Conflicting Guidance

a. CINCs, who are also commanders of combined commands or conduct coordinated planning on a bilateral or combined basis, will report to the Chairman of the Joint Chiefs of Staff any conflicts between the guidance contained in the JSCP and directives or policy documents received from other national-level authorities, international authorities, or the provisions of international agreements.

b. If instructions in this manual conflict with guidance previously issued by the Joint Staff, other than in the JSCP or other national-level policy documents, or in bilateral/combined plans, the provisions herein will have precedence pending resolution of the conflict.

c. Guidance approved after publication of this manual that conflicts with provisions herein will be reflected as an immediate change by message or in the next revision of this manual.

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6. TEP Planning Procedures. Procedures for TEP development are designed to provide a standardized framework to assist in the timely, efficient development of TEPs. The following procedures identify the actions required during each phase of the TEP development process.

a. Phase I -- Initiation of Theater Engagement Planning

(1) Assignment of Missions. In the JSCP, the Chairman of the Joint Chiefs of Staff tasks the geographic CINCs and Executive Agents to produce TEPs, provides planning guidance, and forwards the CPG Annex A prioritized regional objectives to assist in the development of the TEP Strategic Concept. JSCP engagement planning guidance is reviewed annually, during the biennial JSCP review process, but also in the "out-of-cycle" year. The purpose for the review is to ensure significant changes to national strategy, priorities, objectives, engagement planning responsibility, and AOR boundaries are passed to affected CINCs and Executive Agents in a timely manner. During JSCP "out-of-cycle" years, changes to TEP planning guidance are normally issued in the form of a "note-to-holders."

(2) Resources for Planning. The JSCP, JSPS documents (CPG, National Security Strategy, National Military Strategy), and Service planning documents provide strategic guidance, intelligence, and resources available for planning. The JSCP also provides guidance on establishing CINC and Executive Agent priorities to accomplish assigned tasks and requirements for planning within theaters and regions. To provide a start point for each TEP planning cycle, the JSCP will direct that CINC planners use assigned forces (from the "Forces For" document), those rotationally deployed to the theater, and those that have historically been temporarily deployed into theater to support engagement activity requirements. Supported CINCs and Executive Agents will provide recommendations on the allocation of resources to support their engagement activities when the source and authority for funding decisions lies fully or partially outside the Department of Defense; e.g., security assistance and humanitarian assistance.

(3) CINC Assessments. At the beginning of each annual planning cycle, CINCs and Executive Agents assess the effectiveness of past engagement activities in helping to meet previously established theater, region, or country objectives. These assessments of progress toward meeting objectives help determine the path of future engagement plans and activities, including adjustments in activity type, focus, and numbers, and highlighting those means that are proving particularly effective or ineffective. This review will provide the basis of the CINC engagement assessment required to be submitted in each TEP cycle. The combined CINC assessments are an important part of the global assessment of the contribution of peacetime military engagement to the "shaping" pillar of the National Military Strategy and the partial foundation

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for engagement-related resourcing decisions. Refer to enclosure C, paragraph 4, CINC Engagement Assessment.

b. Phase II -- Strategic Concept Development. In the TEP Strategic Concept, CINCs and Executive Agents identify the factors affecting engagement in their assigned theaters or countries. They develop prioritized objectives derived from the JSCP's prioritized regional objectives and other national-level policy documents. In addition, they outline a supporting framework of peacetime military engagement activities necessary to progress toward established objectives. Together, these steps form the TEP Strategic Concept.

(1) Mission Analysis. The CINC and Executive Agent develop their objectives from the prioritized regional objectives provided in the JSCP and guidance from other national-level documents.

(2) Planning Guidance. The CINCs' and Executive Agents' planning guidance provides direction for developing a plan that includes each category of engagement activity: operational activities, combined exercises, security assistance, combined training, combined education, military contacts, humanitarian assistance, and other engagement activities. Information in this planning guidance includes the political, military, and economic environments; threats to security and stability in the theater; and opportunities, assumptions, and the planning schedule. The CINCs and Executive Agents provide engagement planning guidance to their Service component commands, supporting CINCs, and to the US Defense Representative in each country included in the TEP.

(3) Staff Planning. The staff planning and requirements development considers all probable options, actions, and activities that could meet the planning guidance. They include inputs from a range of participants, including the Service component commands, the theater Special Operations Command, the US Defense Representatives or Security Assistance Officer/Defense Attaché Officers, the Services where they have bilateral or multilateral arrangements in the theater (e.g., military-technical working groups), and supporting CINCs. Given the critical role of the US country teams in each of the theaters, their approaches to specific challenges within their country should receive appropriate attention in the development of engagement plans.

(4) TEP Strategic Concept. The CINCs and Executive Agents prepare a TEP Strategic Concept for their TEP that contains a narrative statement of how engagement activities will be employed to support achieving the CINC's or Executive Agent's objectives. The TEP Strategic Concept becomes the foundation of the TEP and includes the commander's intent, prioritized objectives, and a general discussion of the engagement tasks and activities and an assessment of current engagement progress toward completion of regional

objectives. Additionally, it identifies at the program level the forces and other resources required to accomplish the regional objectives. This description of resources will occur in sufficient detail to permit the supporting functional unified commands, Services, and Defense agencies to analyze their estimated program-level resource contributions to each activity category during the planning window.

(5) TEP Strategic Concept Review. The CINCs and Executive Agents forward their TEP Strategic Concepts in the format at Enclosure C to the Chairman of the Joint Chiefs of Staff for review. The Joint Staff leads a review of the TEP Strategic Concepts from each theater in accordance with the review procedures contained in Enclosure B, and integrates them into a global family of Strategic Concepts. The Chairman of the Joint Chiefs of Staff then approves the family of TEP Strategic Concepts and forwards them to OUSDP for review. The CINC's and Executive Agent's Strategic Concepts are the cornerstones upon which TEPs are developed. Consequently, the Chairman of the Joint Chiefs of Staff first reviews the TEP Strategic Concepts prior to detailed development of TEP Activity Annexes.

c. Phase III -- Annex Development. In Phase III, the CINCs and Executive Agents develop TEP Activity Annexes for each year of the TEP covering operational activities, combined exercises, security assistance, combined training, combined education, military contacts, humanitarian assistance, and any other military activity the CINC designates to implement their TEP Strategic Concept. CINC planners will use for planning purposes a combination of forces from Active and Reserve assigned in the Forces For document, those rotationally deployed to the theater, and those that have historically been temporarily deployed for engagement activities. Functional CINC, Services, and Defense agencies will submit their plan for engagement activities to the affected geographic CINC in the appropriate TEP Activity Annex format as illustrated in Enclosure C of this manual. CINC/Service planners identify special requirements for Reserve Component Forces, low density/high demand, and special operations forces (SOF) capabilities. When CINCs or Executive Agents cannot support planned activities with assigned and available forces, these shortfalls will be identified in the TEP Activity Annexes and the TEP review process. In the cases of humanitarian assistance activities and security assistance programs, activities included in the TEP Activity Annexes represent the CINC's or Executive Agent's recommendations for allocation of Department of Defense and non-DOD resources to the theater. The plan development process identifies shortfalls and coordinates engagement activities within the theater. Resources identified in the TEP Activity Annexes include (Active and Reserve) forces, time or duration of force commitment, transportation requirements, and, where applicable, funding. Specific information requirements for the TEP Activity Annexes are provided in Enclosure C.

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(1) Engagement Activity Planning. Within each of the categories and types of engagement activities, CINCs and Executive Agents plan for force, support, and transportation requirements.

(a) Force Planning. This step in the planning process relates the mission, task, activities, and priority of the objective to available forces. For each year of the TEP, detail will vary by activity and should be progressively more refined as the year moves closer to execution.

1. Planners should have sufficient levels of detail available regarding force requirements to develop comprehensive plans for most engagement activities covered by the first 2 years of the plan. For the subsequent years, it is understood that detail will be progressively less clear; however, planning information will be provided in concert with the format provided in Enclosure C.

2. The JSCP directs that the CINCs use assigned assets in the Forces For document, those that rotationally deploy to the theater, and those that have historically been temporarily deployed for engagement activities. Each Service, through the Service component commanders and supporting CINCs, makes forces of all types available to the supported CINCs and Executive Agents to conduct and sustain engagement activities.

(b) Support Planning. Support planning consists of determining the materiel and personnel requirements to conduct activities and sustain forces during performance of engagement tasks. Support requirements are based on force activity, location, and duration; Service planning guidance; and inter-Service and allied or host-nation support requirements.

(c) Transportation Planning. Transportation planning is conducted by the CINC or Executive Agent to determine strategic movement requirements for the forces conducting planned activities within the specific time periods of the TEP. CINCs and Executive Agents will use organic lift and nonorganic, common-user, strategic lift resources made available through coordination with the USTRANSCOM or as agreed to in the exercise planning conference.

(2) Categories of Engagement Activities. The following categories of engagement activities will be included in the TEP Activity Annexes. The key determinant of whether a specific activity is included in TEP is whether or not it is determined by the CINC to have a significant engagement role in the theater strategy.

(a) Operational Activities. Those activities conducted in conjunction with or part of ongoing operations that have significant engagement value that supports the CINC's theater strategy. Examples could include missions using

forces present overseas such as, peacekeeping, peace enforcement, humanitarian relief, sanctions enforcement, and counterdrug operations. Specific information requirements for operational activities are defined in Enclosure C.

(b) Combined Exercises. This category includes CJCS- and CINC-sponsored exercises, as well as bilateral and multilateral exercises conducted by the forces of the Service components with forces of other nations. Specific information requirements for combined exercises are defined in Enclosure C.

(c) Security Assistance. This category of engagement activity impacts all levels of the USG as well as those planned by the CINCs and Executive Agents in coordination with the senior military representatives of the US country teams or, where assigned, security assistance officers. Security assistance activities in the TEP Activity Annexes includes foreign military financing (FMF), foreign military sales (FMS), international military education and training (IMET) and enhanced international military education and training (E-IMET), Excess Defense Articles (EDA) program and potential direct commercial sales (DCS).

(d) Combined Training. This category includes scheduled unit and individual training activities with forces of other nations. It does not include CJCS-sponsored, CINC-sponsored, and Service exercises that are included in the Combined Exercises category in subparagraph c (2)(b) above. Joint Combined Exchange Training (JCET) is a subset of combined training and is a special category of combined training that involves US SOF training, and training with, the armed forces and other security forces of a friendly foreign country. By law (10 USC 2011), the primary purpose of JCET activities must clearly be the training of the participating US SOF units. JCET activities improve critical SOF Mission-Essential Task List skills and SOF readiness regarding language, culture, and knowledge of foreign environments. However, an ancillary benefit of JCET activities may be improved interoperability and relations with the participating friendly foreign forces. When these ancillary benefits support the TEP Strategic Concept, the geographic CINCs and Executive Agents should integrate the JCET activities into their Theater Engagement Plans. The JCET program is subject to numerous restrictions. Consult higher headquarters for amplified guidance if considering JCET activities. (See Glossary for complete JCET definition).

(e) Combined Education. This category includes activities involving the education of foreign defense personnel by US institutions and programs both in CONUS and overseas. In some cases, the supported CINC or Executive Agent has direct control over the allocation of education quotas. In other cases, the CINC or Executive Agent recommends the allocation of spaces,

and decisions on those recommendations are made during development of the US security assistance program or by the supporting Service.

(f) Military Contacts. This category includes senior defense official and senior officer visits, counterpart visits, ship port visits, participation in defense shows and demonstrations, bilateral and multilateral staff talks, defense cooperation working groups, military-technical working groups, regional conferences, State Partnership for Peace, and personnel and unit exchange programs. Scheduling of these activities is addressed, as feasible, for the period covered by the TEP.

(g) Humanitarian Assistance. This category includes those planned activities for which specifically allocated humanitarian assistance funds are requested and planned. They are primarily humanitarian and civic assistance provided in conjunction with military operations and exercises, assistance in the form of transportation of humanitarian relief, and provision of excess non-lethal supplies for humanitarian assistance purposes. Other forms of humanitarian assistance, such as demining training, may also be applicable to this category.

(h) Other Engagement. This category encompasses engagement activities such as those, which are the result of arms control treaties, obligations, or ongoing negotiations. This category also includes information exchanges.

(3) Supporting Plans. In PHASE III of the plan development process, required supporting and/or coordinating plans are completed, documented, and validated. Functional CINCs, Services, Defense agencies and/or supporting commands will provide supporting and/or coordinating plans to the supported geographic-CINC or Executive Agent annually by 1 July to ensure ample time for synchronization and incorporation into the geographic-CINC 1 October TEP Activity Annex submission. Services and DOD agencies will provide coordinating plans in the format and timeframe specified within Enclosure C for integration into geographic-CINC TEPs. The supported CINC or Executive Agent will review and validate supporting plans.

d. Phase IV -- Plan Review. The Joint Staff, Services, designated CINCs, and appropriate Defense agencies review the TEPs in accordance with Enclosure B, Review of Theater Engagement Plans. CINCs and Executive Agents electronically submit TEP Strategic Concepts and Activity Annexes to the Joint Staff Operational Plans and Interoperability Directorate, J-7, which has primary Joint Staff responsibility for conduct of the review.

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(1) TEPMIS Implementation. When the Theater Engagement Planning Management Information System (TEPMIS) is fielded, TEP activity annexes will be submitted to the Joint Staff, via electronic media, through the TEMIS global network. Organizations participating in TEP planning, reporting and review will be required to maintain global TEMIS capability, including hardware and secure connectivity requirements. The target date for initial operational capability of the global TEMIS network is 1 October 2001. TEMIS implementation will allow TEP planning, reporting, and review to become a continuous process resulting in optimal engagement planning and execution within the Joint Engagement Planning Community (JEPC).

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ENCLOSURE B

REVIEW OF THEATER ENGAGEMENT PLANS

1. Purpose. This enclosure establishes responsibilities and procedures for the review and assessment of TEPs.
2. CJCS Theater Engagement Plan Review Program
 - a. The Secretary of Defense will provide the Chairman with policy guidance annually for the preparation and review of TEPs.
 - b. USDP will assist the Secretary of Defense in preparing the policy guidance to be included in the CPG for the preparation of TEPs.
 - c. The Chairman is responsible for providing for the preparation and review of TEPs to ensure they conform to policy guidance from the President and the Secretary of Defense. In addition, the Chairman is responsible for advising the Secretary of Defense on critical deficiencies and strengths in force capabilities (including manpower, logistics, mobility resources, equipment, educational opportunities, etc.) identified during the preparation and review of TEPs. This includes assessing the effect of these deficiencies and strengths on meeting national strategic objectives and policy.
3. Sources of TEPs Submitted for Review. The Chairman of the Joint Chiefs of Staff reviews TEPs from the following sources:
 - a. TEPs submitted by the CINCs and Executive Agents in response to JSCP taskings including:
 - (1) New TEPs.
 - (2) Existing TEPs, as changed or updated on a recurring basis.
 - b. Bilateral politico-military plans that meet the criteria of TEPs in coordination with the cognizant CINC(s) or Executive Agent(s) and comparable authorities of other nations.
 - c. Politico-military plans of international treaty organizations, if such plans meet the criteria of TEP. The Chairman will review these plans when the US military representative of an international treaty organization requests guidance or comments from the Chairman on a plan.

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d. Other peacetime engagement plans specifically requested for review by the Chief of a Service, a CINC, an Executive Agent, or an agency external to the Department of Defense.

4. Responsibilities for CJCS Review. The Joint Staff will conduct and coordinate the TEP review with the Services, CINCs, and Defense agencies. If an additional review is desired following the Chairman's review and approval of the Global Family of Plans by authorities or agencies external to the Department of Defense, such reviews will be coordinated by OSD.

5. Types of Review

a. Review of CINC's or Executive Agent's TEP Strategic Concept. This review is conducted at the conclusion of the TEP Strategic Concept phase (Phase II) of the TEP development process. It is applicable to new or existing TEPs in which the TEP Strategic Concept has changed for a theater or region. If the CINC or Executive Agent determines there is no change required to an existing TEP Strategic Concept, then the current Strategic Concept will be used for the next planning cycle.

(1) Initiation of Review. Upon receipt of the CINC's or Executive Agent's TEP Strategic Concept, the Joint Staff will determine if it is in the appropriate format and conforms to JSCP guidelines. If the format is incorrect, the submitting headquarters will be notified by memorandum (or message).

(2) Review Responsibilities. The Joint Staff directorates, Services, OUSDP, and supporting CINCs will conduct independent reviews and submit comments within 60 days of the TEP Strategic Concept submission. Defense agencies will also review and comment, as appropriate. Comments will be submitted to the Joint Staff Operational Plans and Interoperability Directorate, J-7, which has primary Joint Staff responsibility for conduct of the review.

(3) Review Criteria. The general criteria for the TEP Strategic Concept review is adequacy with JSCP-prioritized regional objectives and those derived from other national-level policy documents. For TEP purposes, an assessment of adequacy is important to determine whether the scope and concept of planned engagement activities support national security objectives

(4) Review Comments. Comments will be categorized as execution-critical, substantive, and administrative.

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(a) Execution critical comments are major deficiencies that negate the capability of the TEP to support the JSCP-tasked objectives. Examples include major deviations from national strategic guidance or policy and major logistics or force level shortfalls.

(b) Substantive comments are less significant deficiencies that degrade the effectiveness of the TEP. They include deviations from CJCS guidance in the JSCP and other national strategy documents errors in format or other shortcomings of major significance

(c) Administrative comments are those offered for clarity, accuracy, and consistency. They include such items as information that has become available since the TEP's (Strategic Concept or Activity Annex) publication date, outdated references, minor omissions of activities, incorrect terminology, and other errors.

(5) Review Provisions and Completion. Reviews will be processed under the provisions of CJCSI 3113.01, "Responsibilities for the Management and Review of Theater Engagement Plans." The review will be completed within 90 days of plan submission. The reviewing agent will staff TEPs and resolve conflicts in accordance with the authority defined in Joint Publication 0-2, "Unified Action Armed Forces (UNAAF)," and staffing procedures listed in CJCSI 5711.01A, "Action Processing."

(6) Review Results. Results of the review of the individual TEPs will be forwarded to the supported CINC or Executive Agent by CJCS memorandum (or message) stating that the TEP Strategic Concept is either adequate or requires further refinement prior to integration into the Family of TEP Strategic Concepts.

(7) Postreview Actions. Within 30 days of receipt of the CJCS review results memorandum, the supported CINCs or Executive Agents will send a message to the Chairman of the Joint Chiefs of Staff stating their intentions concerning incorporation of execution-critical comments. A revised TEP Strategic Concept incorporating those execution critical comments deemed acceptable by the CINC or Executive Agent will be submitted to the Chairman within 30 days of receipt of the review results. Those substantive and administrative comments deemed appropriate by a CINC or Executive Agent should be incorporated when the TEP is submitted in its entirety. A CINC or Executive Agent may request resolution on review comments by forwarding resolution recommendations in a memorandum to the Director, Operational Plans and Interoperability Directorate, J-7, Joint Staff. If

necessary, resolution of CINC issues will be effected following the procedures of CJCSI 5711.01.

(8) Culmination of Review. The review will culminate with the integration of the TEP Strategic Concepts of the CINCs and Executive Agents into a family of concepts, which will be approved by the Chairman and forwarded to OUSDP for policy review.

b. Review of the Complete TEP. This review is conducted annually during the Plan Review Phase (Phase IV) of the engagement plan development process and is applicable to all TEPs. It is a formal review of the TEP including the TEP Activity Annexes. The following procedures apply:

(1) Initiation of Review. Upon receipt of the CINC's or Executive Agent's TEP, the Director for Operational Plans and Interoperability, J-7, Joint Staff, will determine whether it is in the appropriate format and conforms to JSCP guidelines. If the Activity Annex's detailing planned and desired engagement activities are not ready for review, the submitting headquarters will be notified by memorandum (or message).

(2) Review Responsibilities. The Joint Staff directorates, Services, OUSDP, and supporting CINCs will conduct independent reviews and submit comments within 60 days of plan submission. Defense agencies will also review and comment, as appropriate. Comments will be submitted to the Joint Staff Operational Plans and Interoperability Directorate, J-7, which has primary staff responsibility for conduct of the review.

(3) Review Criteria. The review of all TEPs is done simultaneously, but TEPs are looked at individually to ensure adequacy with JSCP-prioritized regional objectives and those derived from other national-level policy documents. At the same time, TEPs are reviewed as an integral part of the Global Family of Plans for feasibility and acceptability.

(a) The review for **adequacy** determines whether the scope and concept of planned activities are capable of satisfying the JSCP-taskings and other objectives stated in national-level policy documents.

(b) As a Global Family of Plans, the review for **feasibility** determines whether, in the aggregate, the activities contained in the TEP Activity Annexes can be accomplished using available resources and whether or not additional resources are required to meet proposed levels of engagement activity.

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(c) As a Global Family of Plans, the review for **acceptability** determines whether the contemplated course of action is worth the cost in manpower, material, and time involved; is consistent with the law of war; and militarily and politically supportable. It joins with the criteria of feasibility in ensuring that the Global Family of Plans can be accomplished with assigned or available resources. The TEP Activity Annexes are assessed, using this criterion, to ensure that the activities in the aggregate incorporate considerations of military supportability.

(4) Review Comments. Comments will be categorized as execution-critical, substantive, or administrative and will incorporate supporting rationale.

(a) Execution critical comments are major deficiencies that negate the capability of the TEP to support JSCP-tasked objectives. Examples include major deviations from national strategic guidance or policy, and major logistics or force level shortfalls.

(b) Substantive comments are less significant deficiencies that degrade the effectiveness of the TEP. They include deviations from the CJCS guidance contained in the JSCP and other national strategy documents, errors in format, or other shortcomings of major significance.

(c) Administrative comments are those offered for clarity, accuracy, and consistency. They include such items as information that has become available since the TEP's (Strategic Concept or Activity Annex) publication date, outdated references, minor omissions of activities, incorrect terminology, and other errors.

(5) Review Provisions and Completion. Reviews will be processed under the provisions of CJCSI 5711.01. All TEPs will be reviewed concurrently to enable global integration/synchronization. The reviews will be completed within 90 days of plan submission.

(6) Review Results. Results of the review will be forwarded to the supported CINC or Executive Agent by memorandum (or message) stating that the proposed TEP is both adequate and supportable, or requires adjustment.

(7) Postreview Actions

(a) Within 30 days of receipt of the CJCS review results memorandum, the supported CINCs or Executive Agents will send a

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message to the Chairman of the Joint Chiefs of Staff stating their intentions concerning incorporation of execution-critical comments. An updated TEP, incorporating those execution-critical comments deemed appropriate by the CINC or Executive Agent, will be submitted to the Chairman within 30 days of the review results. Those substantive and administrative comments deemed appropriate by a CINC or Executive Agent should be incorporated into the TEP. A supported CINC with substantial justification to request further consideration of review comments should forward recommendations in a memorandum (or message) to the Director, Joint Staff, for resolution in accordance with CJCSI 5711.01 procedures.

(b) Within 15 days of receipt of the CJCS review results memorandum (or message), the supported CINCs or Executive Agents will send a message to their component commands notifying them of the conclusion of the TEP review process and direct them to develop supporting plans (as required).

(c) Within 15 days of receipt of the supported CINC's TEP review notification message, component commanders will notify all supporting commands and Service agencies that are tasked to support the CINC's TEP, relaying plan status and effectiveness. The Services and other supporting agencies will take necessary actions (including programming and budget action) to ensure adequate resourcing of the activities in the TEP.

(8) Culmination of Review. The review will culminate with the integration of the CINC and Executive Agent TEPs into a Family of Engagement Plans that will be approved by the Chairman and forwarded to OUSDP for policy review.

6. TEP Review Program Taskings

a. Following the completion of the CJCS review of the Global Family of CINC and Executive Agent TEPs, the CINCs, if required, will prepare information briefings for presentation to the Chairman of the Joint Chiefs of Staff and the Secretary of Defense. The Joint Staff Operational Plans and Interoperability Directorate, J-7, will be responsible for coordinating briefings by appropriate CINCs and Executive Agents to the Chairman.

b. Following review of all the CINCs' and Executive Agents' TEPs and integration into a CJCS-approved Global Family of Engagement Plans, the Joint Staff Operational Plans and Interoperability Directorate, J-7, will release the CINC's and Executive Agent's TEPs to OUSDP. The OUSDP will review the Global Family of TEPs for policy conformance. OUSDP holds

these documents for review and provides information briefings to the Secretary of Defense if required. These reviews will assist OUSDP in preparing engagement planning guidance and objectives for inclusion in the following year's CPG.

c. Upon completion of CJCS approval of the Global Family of TEPs, the Chairman will provide the OUSDP with an assessment of the planning effort, including identification of aggregate strengths and deficiencies associated with the TEP and noting trends for further guidance. This assessment will be prepared by the Director, J-7 (in collaboration with the Joint Staff directorates and coordinated with the Services and appropriate CINCs and Defense agencies), and will be structured to meet the requirements of title 10, United States Code, section 153.

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ENCLOSURE C

FORMAT AND CONTENT OF THEATER ENGAGEMENT PLANS

1. Purpose. This enclosure provides specific guidance for the format and content to be used for the development of TEPs. The TEP Strategic Concept provides a broad overview of the theater environment, CINC objectives, and peacetime military engagement activities planned to shape the strategic environment. Specific engagement activity information is presented in the TEP Activity Annexes of the plan.

2. Format and Content. This model illustrates the format for a TEP.

a. The TEP Strategic Concept comprises paragraphs 1 through 5 of the plan format. The complete TEP includes all paragraphs of the plan format plus the TEP Activity Annexes.

b. The format is prepared to support unilateral US military engagement planning.

c. The format was developed using administrative guidelines normally associated with the preparation of formal written correspondence. Minor administrative alterations (for example, page headers and footers, page numbering, underlining) may be required.

d. NOTE: Terms and units for reporting forces/capabilities and resources for operational activities, combined exercises, combined training, humanitarian assistance, and other engagement activities across the CINCs and Services are not fully standardized.

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(Format, Theater Engagement Plan)

USCINC*** THEATER ENGAGEMENT PLAN 0000-XX ()
ENGAGEMENT FOR THE **** THEATER ()

HEADQUARTERS, US *** COMMAND

APO*****
(DATE)

() REFERENCES. List any documents essential to comprehension of the plan.

() PURPOSE. Include as an opening statement in this paragraph a reference to the engagement tasking from the JSCP.

1. () Situation

a. () Areas

(1) () Area of Responsibility. Describe the commander's area of responsibility covered in the TEP.

(2) () Area of Interest. Describe the area of interest covered by the plan, including air, sea, and ground areas that may affect implementation of the plan. This area may include regions outside those assigned to the CINC or Executive Agent.

(3) () Regions. Describe the regional divisions, as applicable, used by the CINC in constructing the TEP.

b. () General -- Security Environment. Describe the principal factors affecting security and stability in the theater. Provide an overview of the potential internal and external regional threats to security in the theater. Identify centers of gravity affecting accomplishment of the TEP.

(1) () Overview. Provide a theater-level perspective of the current and projected security environment within the theater. Identify US political, economic, and military interests in the theater and regions. Focus on opportunities for peacetime military engagement to shape the security

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environment in ways favorable to US interests. Address specific factors in enough detail to provide an overview of the theater.

(2) () Challenges to Theater Security and Stability. Describe the principal challenges and threats to theater or regional stability and security, specifically identifying trends in these areas. The challenges and threats should support CINC resourcing decisions on engagement activities.

(3) () Political Factors. Address the principal political trends, shifts, and future directions in the theater and regions and, where appropriate, in key countries. Where applicable, address multinational political organizations, both internal and external to the theater, and their impact on the situation in the theater. Identify short- and long-term trends that will impact the CINC's engagement strategy.

(4) () Economic Factors. Address the economic situation in the theater and regions and, in key countries, focusing on the impact of economic factors on security matters. Identify short- and long-term trends that will impact the CINC's engagement strategy.

(5) () Military Factors. Discuss the major military activities and trends in the theater and their potential impact on stability. This should also include a discussion of the potential major arms transfers within the theater and the impact to the CINC's warfighting equities. Identify the challenges to US and allied interests from these military activities. Identify short- and long-term trends that will impact the CINC's engagement strategy.

c. () Assumptions. List the assumptions on which the plan is based, including those assumptions for engagement planning provided in the JSCP. State expected conditions over which the CINC or Executive Agent has no control. Include assumptions both directly relevant to the development of this and supporting plans and those that if they failed to occur would invalidate the plan.

2. () CINC or Executive Agent Mission. State the mission of the command in achieving the prioritized regional objectives and implementing the engagement policies and guidance contained in the JSCP.

3. () Execution. Based on assigned and derived missions, objectives, and priorities, discuss how the command will achieve its mission and implement its vision.

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a. () CINC or Executive Agent Vision. State the CINC's or Executive Agent's vision for security and stability in the theater out at least 7 years, and preferably describe the desired future end-state toward which the CINC's or Executive Agent's chosen engagement activities are aimed.

b. () CINC or Executive Agent Strategic Objectives. Supporting national objectives provided in the National Security Strategy, National Military Strategy, other national-level guidance documents, and the prioritized regional objectives in JSCP, provide the CINC's or Executive Agent's, as applicable, prioritized theater, region, or country objectives. (Recommend numbering for ease of reference in the TEP Activity Annexes.)

c. () Regional Priorities. Provide the CINC's or Executive Agent's priorities for regions and/or countries in the theater. Discuss the prioritization process employed.

d. () CINC or Executive Agent Intent/Concept. Provide an overview of the CINC's intent for use of military forces, resources, and other tools to support the engagement objectives according to established national and CINC or Executive Agent priorities, within the planning period required. Describe how peacetime military engagement activities will help shape the security environment during this time period. Include the nature and scope of engagement efforts for the theater as a whole, for regions, and, where appropriate, selected countries. Highlight particularly those regions and countries that are pivotal or that are intended to be the primary focus of effort. Address CINC or Executive Agent priorities for specific types and/or quantity of engagement activities in each region. (The concept for employing engagement activities should be discussed in this section with details of specific activities provided in the TEP Activity Annex.) As desired, the CINC or Executive Agent should address any concerns regarding execution of the TEP and desired endstates.

(1) () Engagement Activities. Provide broad overview of planned engagement activities. Detailed description of activities, timelines, and other data will be provided in TEP Activity Annexes.

(a) () Operational Activities. Provide general comments regarding the nature, scope, frequency, and duration of operations conducted to support the engagement activities listed. This section includes routine and continuing operations, not crisis response or episodic activities of an emergent operational nature. Capture the details on each operational activity in Appendix 1 of the Activity Annex.

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(b) () Combined Exercises. Provide a general discussion of the nature, scope, and frequency of peacetime exercises designed to support theater and, where appropriate regional and country objectives. Include CJCS-, CINC-, and Service-sponsored exercises. In the Activities Annexes, Appendix 2 provides all details on planned exercises in the theater.

(c) () Security Assistance. Include a summary of current and recommended FMF, FMS, IMET, E-IMET, DCS, and EDA activities including military justification for the theater and countries. Security Assistance is a significant aspect of the CINC's engagement strategy. Compelling justification is required for contentious Security Assistance issues, and the successful argument will include language that links the CINC's strategy from the TEP up through the prioritized regional objectives. When discussing the impact or support of a major arms transfer for FMS, FMF, or EDA, refer to the Arms Transfer Guide, which has been provided in the Glossary. Include recommended IMET or other FMS-funded education programs in subparagraph [a] as well as in the TEP Activity Annexes. In the Activities Annexes, Appendix 3, provide details on proposed US security assistance activities by region and country. For instance, when proposing modernization of a country's military, recommend a capability and not a specific weapon system.

(d) () Combined Training. Include a summary discussion of training activities, not part of the exercise program, which support the theater objectives. In the Activities Annexes, Appendix 4, provide all details on identified and planned training activities.

(e) () Combined Education. Include a summary discussion of institutional education activities and programs. Include theater schools and centers, like the George C. Marshall Center, the Asia-Pacific Center for Security Studies, and the Center of Excellence in Disaster Management and Humanitarian Assistance. Address the allocation of spaces at schools, colleges, and US military courses. In the Activities Annexes, Appendix 5, provide the details on allocation of spaces by country, when available, to CINC-controlled schools and courses and recommendations on the allocation of spaces to the range of educational opportunities available in CONUS and other overseas schools and centers.

(f) () Military Contacts. Include a summary discussion of senior officer visits, counterpart visits, ship port visits, bilateral and multilateral staff talks, conferences, personnel exchange programs, unit exchange programs, formal military contact programs, State Partnership for Peace, and others, as

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appropriate. In the Activities Annexes, Appendix 6, provides the details on planned activities.

(g) () Humanitarian Assistance. Include a summary discussion of recommended humanitarian assistance programs and activities that contribute to security and stability within regions or countries of the theater. In the Activities Annexes, Appendix 7, provide all details on proposed humanitarian assistance activities by region and/or country.

(h) () Other Engagement (Optional). As required, include a summary discussion of other engagement activities conducted by the CINC or Executive Agent that do not properly belong in one of the previous categories. One type of activity to be reported in this section are those planned as part of the implementation of the provisions of arms control treaties and other related obligations. In the Activities Annex, Appendix 8 provides details on planned other engagement activities.

(2) () Resources. Provide a general discussion of the resources required and available to execute the CINC's or Executive Agent's TEP.

(a) () Resources Required to Implement the Engagement Plan. Include special reference to SOF, Reserve Component Forces, and low-density/high-demand forces/resources.

(b) () Infrastructure Requirements. Include US, multinational, and host-nation facilities.

(c) () Strategic/Theater/Tactical Lift Requirements, if known.

(d) () Resource Shortfalls.

4. () CINC Engagement Assessment. Provide a CINC's or Executive Agent's general overview of the effectiveness of recent engagement activities in supporting achievement of JSCP-tasked prioritized regional objectives, as well as CINC-developed theater, region, and country objectives. Include a review of past engagement accomplishments, key trends, analysis, shortfalls, future opportunities, and challenges. Those areas where engagement activities are being reduced, increased, or changed as the result of CINC or Executive Agent assessments of their effectiveness and strategic impact should be identified. Additionally, identify those regions and countries that have a high priority for certain types and/or quantity of engagement activities, but where engagement is constrained for reasons of internal regional or country politics.

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5. () Implementation Guidance. Discuss the process implemented within the command for planning, coordinating, and orchestrating engagement activities among assigned forces, supporting combatant commands, Services, Joint Staff, and OSD. Identify the command office of primary responsibility for the plan.

s/
t/
General/Admiral
Commander in Chief

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THEATER ENGAGEMENT PLANNING ACTIVITY ANNEX GUIDANCE

1. Purpose. To provide guidance for preparing TEP Activity Annexes.

2. General. The guidance in this enclosure supports preparation of TEP Activity Annexes to TEPs. The JSCP and its annexes provide tasking guidance. When the TEPMIS is fielded, TEP Activity Annexes will be submitted to the Joint Staff, via electronic media, through the TEPMIS global network. Organizations participating in TEP planning, reporting, and reviewing will be required to maintain global TEPMIS capability, including hardware and secure connectivity requirements. The target date for initial operational capability of the global TEPMIS network is 1 October 2001. TEPMIS implementation will allow TEP planning, reporting, and reviewing to become a continuous process resulting in optimal engagement planning and execution within the JEPC. Planning information required by the TEP Activity Annexes to the TEP can currently be submitted via electronic or manual means. In either case, all fields specified for each category of activity are completed in the format specified by this guidance. NOTE: Terms and units for reporting forces/capabilities and resources for operational activities, combined exercises, combined training, humanitarian assistance, and other engagement activities across the CINCs and Services are not fully standardized.

3. Periodicity of TEP Activity Annexes. A separate Activity Annex is required for each fiscal year covered by the TEP. Activity Annexes will be inclusive of the year of execution and the next seven (7) fiscal years. As such, there are always a total of eight annexes for the TEP. Activities included in supporting and coordinating plans will be submitted to the affected geographic CINC (supported CINC) in accordance with the formats contained within this enclosure.

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HEADQUARTERS, US *** COMMAND

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ANNEX A TO USCINC*** TEP 0000-XX (U)
ENGAGEMENT ACTIVITIES

1. () Purpose. This annex provides guidance for the conduct of engagement activities and outlines planned requirements in the theater or designated area.
2. () Engagement Activities. The following table represents the CINC's or Executive Agent's planned engagement activities. The example below provides the format for preparation of plan submissions that depict region and/or country engagement activities.

ENGAGEMENT ACTIVITIES FOR REGION/COUNTRY "X," FY XX

Appendix 1

OPERATIONAL ACTIVITIES (Region or Country)

Activity	Authority	Other Participants	Forces/ Capabilities	Resources	Duration	Objectives

Appendix 2

COMBINED EXERCISES (Region or Country)

Activity	Authority	Other Participants	Forces/ Capabilities	Resources	Duration	Objectives

Appendix 3

SECURITY ASSISTANCE

Table 3-1 -- IMET and FMF, EIPC for Country xxx
Table 3-2 -- ONGOING TRANSFERS for Country xxx
Table 3-3 -- PROJECTED CAPABILITIES THAT SUPPORT ENGAGEMENT OBJECTIVES for Country xxx
Table 3-4 -- PROJECTED CAPABILITIES THAT DO NOT SUPPORT ENGAGEMENT OBJECTIVES for Country xxx

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Appendix 4

COMBINED TRAINING

Activity (By In-Theater and by CONUS Schools)	Spaces	Military/ Civilian	Priority	Timeframe	Objectives

Appendix 5

COMBINED EDUCATION

Activity (By In-Theater, and by CONUS Schools)	Spaces	Military/ Civilian	Priority	Timeframe	Objectives

Appendix 6

MILITARY CONTACTS

Activity	Aggregate Number	Timeframe	Objectives
Senior officer visits			
Counterpart visits			
Ship port visits			
Conferences			
Staff Talks (bilateral and multilateral)			
Personnel exchange programs			
Unit exchange programs			
Other			

Appendix 7

HUMANITARIAN ASSISTANCE

Activity	Priority	Forces/Capabilities	Resources	Objectives

Appendix 8

OTHER ENGAGEMENT

Activity	Forces/Capabilities	Resources	Objectives

a. () Operational Activities. For each year of the planning period, provide the following information on the region or country in the format described below. The submission should contain all information in the prescribed format.

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Appendix 1

OPERATIONAL ACTIVITIES

Activity	Authority	Other Participants	Forces/Capabilities	Resources	Duration	Objectives

Activity. Name and description of the planned activity; for example, humanitarian assistance (e.g., PROVIDE COMFORT), peacekeeping (e.g., MOMEF).

Authority. Include the nature or source of the mission; e.g., treaty agreement, UN resolution.

Participants. Include other countries participating.

Forces/Capabilities. List combat and combat support/service support forces required to accomplish the activity; specify special capabilities. Indicate with an asterisk any forces or capabilities required that are either not assigned or identified in the JSCP.

Do not include unit designation.

Consider forces at normal conditions of readiness. Specify any additional training required. Specify any requirements for SOF, RC, and LD/HD forces.

Resources. Identify resources required to conduct the activity beyond military forces/capabilities; e.g., dollars, equipment, infrastructure. Include funding; strategic transportation, as applicable; special equipment; and requirements of a supporting CINC. Indicate whether the activity is funded through the FYDP.

Duration. Indicate specific dates or time window, if available, within which the operational activity will be conducted. Otherwise, provide best estimate of duration.

Objectives. Indicate the CINC or Executive Agent objectives supported by this activity. Note: For ease of display in tabular format, CINC or Executive Agent objectives can be referred to by their identifying number in the Strategic Concept.

b. () Combined Exercises. For each year of the planning period, provide the following information on the region or country in the format described below. The submission should contain all information in the prescribed format. Exercises will be divided into the following categories of magnitude (US assets only). At the CINC's or Executive Agent's discretion, they may report Level 3 exercises to the same level of detail as Level 1 and 2 exercises.

(1) () Level 1. Those exercises that require wing, brigade, naval squadron/group, or larger assets as participants.

(2) () Level 2. Those exercises that require squadron, battalion, or single-ship assets as participants.

(3) () Level 3. Those exercises that require forces below the magnitude of Level 2.

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Appendix 2

COMBINED EXERCISES

REGION or COUNTRY X
LEVEL 1 EXERCISES

Activity	Authority	Other Participants	Forces/ Capabilities	Resources	Duration	Objectives

LEVEL 2 EXERCISES

Activity	Authority	Other Participants	Forces/ Capabilities	Resources	Duration	Objectives

LEVEL 3 EXERCISES

Aggregate Number of Activities	Objectives

Activity. Name and short description of the planned exercise.

Annotate with an asterisk if the exercise is being proposed for the first time. Do not include as a proposed exercise those previously discussed and disapproved by the CJCS Exercise Conference.

All State Partnership for Peace (PFP) Program exercise activities will be included in the Exercise submission and not in other FMI.

Authority. Indicate whether the exercise is CJCS, CINC, or Service sponsored. List the specific CINC or Service sponsoring the activity.

Other Participants. Include US Services and other countries participating.

Forces/Capabilities. List combat and combat support/service support forces, as a minimum by major command participating, necessary to accomplish the exercise. Provide force/unit type (e.g., 1 x fighter squadron, 2 x FFG, 1 x mech infantry brigade), if available. Do not include unit designation. Specify requirements for SOF, RC, and LD/HD forces.

Resources. Identify additional resources required to conduct the activity beyond the forces/capabilities currently available to the sponsoring authority (e.g., equipment, infrastructure, strategic transportation, special equipment). Indicate whether the activity is funded through the FYDP.

Duration. Indicate dates within which the combined exercise will be conducted, if known, or as a minimum the length of the exercise. In the out-years, specify the quarter in which the activity is to take place, if known.

Objectives. Indicate the CINC or Executive Agent objectives supported by this activity. Note: For ease of display in tabular format, CINC or Executive Agent objectives can be referred to by their identifying number in the Strategic Concept.

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Aggregate Number of Activities. Indicate the aggregate number of combined Level 3 exercises planned for this region or country during the fiscal year. A greater level of detail for Level 3 exercises may be provided if the CINC or Executive Agent desires.

c. () Security Assistance Recommendations. Provide the following information on the country in the format described below. The submission should contain information in the prescribed format.

Appendix 3

SECURITY ASSISTANCE

Table 3-1 -- **IMET and FMF, EIPC for Country xxx**

Activity	Objectives (Note 1)	Current FY (Note 2)	Projected FY (Note 3)	Planning FY Recommended (Note 4)	Remarks (Note 5)
IMET					
FMF					
EIPC/ NADR					

Note 1: Linkage to PROs and supporting CINC-level Objectives. Include linkage to CINC engagement strategy. (Information provided by Unified Command)

Note 2: Appropriated and allocated funds for current operating FY. (Information provided by DSCA)

Note 3: Projected funding per President's budget for current operating FY plus one. (Information provided by DSCA)

Note 4: Funding requested in current FY plus two to meet identified requirements. (Recommendation provided by Unified Command)

Note 5: Significant comments on funding, including justification for changes for planning fiscal year and subsequent out-years through FYDP. Use of footnotes encouraged. (Information provided by Unified Command)

Table 3-2 -- **ONGOING TRANSFERS for Country xxx**

Capability (Note 1)	Projected Completion Date (Note 2)	Ongoing Transfers/Sales FMS/DCS/EDA (Note 3)	CINC Objs Supported (Note 4)	Rmks (Note 5)

Note 1: Capabilities deemed by the CINC as significant to supporting engagement strategy (if specific reference is desired for framing capabilities, refer CJCSM 3500.04A Universal Joint Task List for Operational Level Tasks or refer included reference list in TEPMIS). (Provided by Unified Command)

Note 2: FY in which transfer is expected to occur. (Provided by Unified Command)

Note 3: DSCA provide data to CINC on FMS/EDA transfers ongoing within the FY.

Note 4: Part of engagement strategy supported by transfer. (Provided by Unified Command J5)

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Note 5: Remarks on any significant aspect of transfer, including identification of equipment involved, obstacles to completion of sale/transfer, and actions required to ensure completion of sale/transfer. Use of footnotes encouraged.

Table 3-3 -- **PROJECTED CAPABILITIES THAT SUPPORT ENGAGEMENT OBJECTIVES**
for Country xxx

Capability (Note 1)	Linkage to Strategy (Note 2)	Strategy Supported Codes (Note 3)	Target FY (Note 4)	Remarks (Note 5)

Note 1: Military capabilities considered significant to supporting CINC engagement objectives (if specific reference is desired for framing capabilities, refer CJCSM 3500.04A, "Universal Joint Task List for Strategic Operational Level Tasks," or reference list provided in TEPMIS). (Provided by Unified Command)

Note 2: Part of CINC strategy supported by the transfer. (Provided by Unified Command)

Note 3: Strategy supported codes from CJCS Arms Transfer Matrix (use of multiple codes permitted): (Provided by Unified Command)

- C - Coalition Warfare
- I - Interoperability
- S - Self-Sufficiency
- M - Host Country Modernization
- A - Access

Note 4: Target FY for transfer, understanding that acquisition timelines are determined by host nation's needs and request procedures. (Provided by Unified Command)

Note 5: Optional section to provide further justification and importance of the capability needed. Use of footnotes encouraged. (Provided by Unified Command)

Table 3-4 -- **PROJECTED CAPABILITIES THAT DO NOT SUPPORT ENGAGEMENT OBJECTIVES**
for Country xxx

Capability (Note 1)	Rationale Code (Note 2)	Remarks (Note 3)

Note 1: Specific capabilities (UJTL category, type of system, specific equipment) that should not be transferred/sold to support the CINC engagement strategy. (If specific reference is desired for framing capabilities, refer CJCSM 3500.04A or reference list provided in TEPMIS). (Provided by Unified Command)

Note 2: Rationale Code: (Provided by Unified Command)

- Q -- Threatens qualitative military edge of US/Allied Forces in the region
- I -- Not interoperable with Allied/Coalition Forces
- R -- Negative impact on regional security
- O -- Other negative impact on engagement objectives

Note 3: Optional Section. This field can show further justification and importance of blocking transfer, as well as any anticipated opposition to decision from host nation, interagency process, Congress, and other nations. Use of footnotes encouraged. (Provided by Unified Command)

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d. () Combined Training. Provide the following information on the country in the format described below. The submission should contain all information in the prescribed format.

Appendix 4

COMBINED TRAINING					
Activity	Number	Magnitude	Forces/ Capabilities	Resources	Objectives

Activity. Name and short description of the planned training. Use the aggregate number in subcategories if appropriate. This category includes Mobile Training Teams (MTT), JCET - 18 (Counterinsurgency), and JCET - 4 (Mountain Operations). Indicate with an asterisk those activities supported with IMET funding.

Number. Indicate the aggregate number of combined training events by category planned for this country.

Magnitude. Indicate the number of person days (PERSDAYS) involved in the training event.

Forces/Capabilities. Include combat and combat support/service support capabilities required conducting the training; specifying any special capabilities required.

Indicate with an asterisk any forces or capabilities required which are not either assigned or identified in the JSCP.

Do not include unit designation.

Consider forces at normal conditions of readiness. Specify any additional training required. Specify requirements for SOF, RC, and LD/HD forces.

Resources. Identify resources required to conduct the training beyond military forces/capabilities; e.g., dollars, equipment, and infrastructure. Include funding; strategic transportation, as applicable; special equipment; and requirements of a supporting CINC. Indicate whether the activity is funded through the FYDP.

Objectives. Indicate the CINC or Executive Agent objectives supported by this activity. Note: For ease of display in tabular format, CINC or Executive Agent objectives can be referred to by their identifying number in the Strategic Concept.

NOTE: CINCs can recommend additional categories of activities for inclusion in future revisions to this manual.

e. () Combined Education. Provide the following information on the country in the format described below. The submission should contain all information in the prescribed format.

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Appendix 5

COMBINED EDUCATION

Activity (By in-theater, and by CONUS schools)	Spaces	Military/ Civilian	Priority	Timeframe	Objectives

Activity. State the planned or recommended educational activity under subcategories of in-theater and CONUS school or course; e.g., Marshall Center - 6, National War College - 1, Sergeant Majors Academy - 2. Where many students will attend a specific course or school during the year, provide numbers of students attending, not each specific event. Specify those schools and courses that the CINC controls and for which he plans to allocate spaces, and those for which the CINC is recommending attendance of personnel from other nations. Indicate with an asterisk those activities supported with IMET funding.

Spaces. Indicate the number of spaces for each school or course.

Military/Civilian. Indicate whether the spaces are for military or civilian personnel.

Priority. For those schools and courses, which the CINC does not control, indicate the priority that the CINC attaches to that recommendation. Priorities indicate the relative importance of that activity within the theater for that country. Priorities will be indicated as numerical value from 1 to 3, 1 being the highest priority and 3 the lowest.

Timeframe. Indicate dates when the planned activity will be conducted. If unknown, indicate quarters or frequency during the year.

Objectives. Indicate the CINC or Executive Agent objectives supported by this activity. Note: For ease of display in tabular format, CINC or Executive Agent objectives can be referred to by their identifying number in the Strategic Concept.

f. () **Military Contacts.** Provide the following information on the country in the data base format described below. The submission should contain all information in the prescribed format.

Appendix 6

MILITARY CONTACTS

Activity	Aggregate Number	Timeframe	Objectives
Senior officer visits			
Senior defense official visits			
Counterpart visits			
Ship port visits			
Conferences			
Staff talks (bilateral/multilateral)			
Personnel exchange programs			
Unit exchange programs			
Other			
Joint Contact Team Program			
State Partnership Program			

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Activity. Name and short description of the planned activity. Where activities are repetitive, indicate the type activity and number of planned events over the year (e.g., senior officer visits). In other cases, indicate frequency of events, if they are preplanned for the year; e.g., military-technical working groups. If subcategories are used under each activity category, indicate the aggregate number of activities in the subcategory in parenthesis. JCTP and SPP are included in the Other category.

Aggregate Number. Indicate the total of each type of contact planned for the indicated year.

Timeframe. Indicate dates when the planned activity will be conducted. If unknown, indicate quarters or frequency during the year.

Objectives. Indicate the CINC or Executive Agent objectives supported by this activity. Note: For ease of display in tabular format, CINC or Executive Agent objectives can be referred to by their identifying number in the Strategic Concept.

g. () Humanitarian Assistance. Provide the following information on the country in the format described below. The submission should contain all information in the prescribed format.

Appendix 7

HUMANITARIAN ASSISTANCE

Activity	Priority	Forces/Capabilities	Resources	Objectives

Activity. Name and short description of the recommended humanitarian assistance activity. Include all categories of humanitarian assistance, as appropriate.

Priority. For humanitarian assistance proposals, indicate the priority that the CINC attaches to his recommendations. Priorities indicate the relative importance of that activity within the theater for that country. Priorities will be indicated as numerical value from 1 to 3, 1 being the highest priority and 3 the lowest.

Forces/Capabilities. Include combat and combat support/service support capabilities required to conduct the humanitarian assistance activity. Specify any special capabilities required. Indicate with an asterisk any forces or capabilities required which are not either assigned or identified in the JSCP. Also specify requirements for SOF, Reserve Component, and LD/HD forces.

Resources. When possible, identify resources required to conduct the humanitarian assistance activities; e.g., personnel, dollars, equipment, transportation, or infrastructure. Indicate whether the activity is funded through the FYDP.

Objectives. Indicate the CINC or Executive Agent objectives supported by this activity. Note: For ease of display in tabular format, CINC or Executive Agent objectives can be referred to by their identifying number in the Strategic Concept.

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h. () Other Engagement Activities. This appendix is optional. Provide the following information in the format described below. The submission should contain information in the prescribed format. Include arms control and treaty monitoring in this category, as well as theater specific activities.

Appendix 8

OTHER ENGAGEMENT ACTIVITIES

Activity	Forces/Capabilities	Resources	Objectives

Activity. Provide a name and short description of the planned activity.

Forces/Capabilities. Include any forces or special capabilities required to accomplish the planned activities. Indicate with an asterisk any forces or capabilities required which are either not assigned or identified in the JSCP.

Resources. Identify resources required to conduct the activities; e.g., dollars, equipment, transportation, and infrastructure. Indicate whether the activity is currently funded.

Objectives. Indicate the CINC or Executive Agent objectives supported by this activity. Note: For ease of display in tabular format, CINC or Executive Agent objectives can be referred to by their identifying number in the Strategic Concept.

t/
General/Admiral
Commander in Chief
OFFICIAL:s/
General/Admiral
Deputy Commander in Chief

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ENCLOSURE D

REFERENCES

- a. Defense Planning Guidance FY 2002-2007, 6 April 2000.
- b. National Security Council, December 1999, "National Security Strategy."
- c. Chairman of the Joint Chiefs of Staff, September 1997, "National Military Strategy of the United States."
- d. Goldwater-Nichols DOD Reorganization Act of 1986.
- e. Title 10, United States Code, Armed Forces, as amended through December 31, 1996.
- f. DOD Directive 5100.1, 25 September 1987, "Functions of the Department of Defense and its Major Components."
- g. Joint Pub 0-2, 24 February 1995, "Unified Action Armed Forces (UNAAF)."
- h. Joint Pub 1-01, Change 1, 14 September 1993, "Joint Publication System, Joint Doctrine and Joint Tactics, Techniques, and Procedures Development Program."
- i. Unified Command Plan, 1 October 1999.
- j. CJCS Instruction 3110.01B, 16 October 1998, "Joint Strategic Capabilities Plan (JSCP)."
- k. CJCS Instruction 3100.01A, 1 September 1999, "Joint Strategic Planning System (JSPS)."
- l. CJCS Instruction 5711.01, 30 April 1997, "Action Processing."
- m. TEPMIS Software, Version 5 and 6 Series.
- n. TEPMIS User's Guide, Version 5 and 6.
- o. CJCS Instruction 3113.01, 1 April 1998, "Responsibilities for the Management and Review of Theater Engagement Plans."

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GLOSSARY

PART 1 -- ABBREVIATIONS AND ACRONYMS

AOR	Area of responsibility.
CINC	commander of combat command.
CJCS	Chairman of the Joint Chiefs of Staff.
CPG	Contingency Planning Guidance.
DAO	Defense Attaché Officers.
DCS	direct commercial sales.
DOD	Department of Defense.
DOS	Department of State.
DPG	Defense Planning Guidance.
EDA	Excess Defense Articles.
E-IMET	enhances international military education and training.
FMF	foreign military financing.
FMS	foreign military sales.
IMET	international military education and training.
IPL	Integrated Priority List.
JCET	Joint Combined Exchange Training.
JEPC	Joint Engagement Planning Community.
JSCP	Joint Staff Capabilities Plan.
JWCA	Joint Warfighting Capabilities Assessment.
NCA	Nation Command Authority.
OSD	Office of the Secretary of Defense.
OUSD	Office of the Under Secretary of Defense for Policy.
PPBS	Planning, Programming, and Budget System.
SAO	Security Assistance Officers.
SOF	special operations forces.
TEP	Theater Engagement Plans.
TEPMIS	Theater Engagement Planning Management Information System.

UCP Unified Command Plan.
USDP Under Secretary of Defense for Policy.

PART II -- TERMS AND DEFINITIONS

acceptability. As defined in Joint Pub 1-02, “Operation plan review criterion. The determination whether the contemplated course of action is worth the cost in manpower, material, and time involved; is consistent with the law of war; and is militarily and politically supportable. See also adequacy; completeness; feasibility; suitability.”

adequacy. According to Joint Pub 1-02, “Operation plan criterion. The determination whether the scope and concept of a planned operation are sufficient to the task assigned. See also acceptability; completeness; feasibility; suitability.” For TEP purposes: the TEP review determination as to whether the scope and concept of planned operations and activities are capable of satisfying the JSCP taskings and other national security objectives stated in national-level documents from which CINC objectives are derived.

area of interest. As per Joint Pub 1-02, “that area of concern to the commander, including the area of influence, areas adjacent thereto, and extending into enemy territory to the objectives of current or planned operations. This area also includes areas occupied by enemy forces who could jeopardize the accomplishment of the mission.” For TEP purposes: that area of concern to the commander, including the area of influence, areas adjacent thereto, and extending into territories potentially hostile to the objectives of current or planned engagement activities or operations.

area of responsibility. A defined area of land in which responsibility is specifically assigned to the commander of the area for the development and maintenance of installations, control of movement, and the conduct of tactical operations involving troops under the commander’s control, along with parallel authority to exercise these functions and those pertaining to engagement activities and operations. The geographic defined area of land in which responsibility is specifically assigned to a commander.

arms control activities. Specific engagement activities that result from arms control treaties, obligations, or ongoing negotiations.

Arms Transfers Justification Guide. Development of military justification to either support or deny arms transfers can be a difficult task especially for new/emerging systems, contentious issues and contentious systems. The following questions are provided as a tool to craft the appropriate justification to support the CINCs strategy for proposed arms transfers within his AOR: *Will introduction support execution of AOR war plans? Will this capability enhance mutual defense and AOR security objectives? Will this capability enhance interoperability (participation in combined operations with US forces and other AOR allies)? Will this new capability enable this country's military forces to perform important or useful mission(s) that would otherwise be performed by US forces? Is the nature of the capability proposed offensive, defensive or both? What is the ability of the country to absorb and support this capability? What is the scope and sensitivity of the technology proposed for transfer? Does the country have the capability and desire to appropriately protect the type of technology associated with the proposed capability? Will the transfer of this capability effect mil-to-mil contact with other AOR nations? To what extent will the proposed capability contribute to an arms race or increase possibility of an outbreak of bilateral or multilateral arms control arrangements.*

combined education. Activities involving the education of foreign defense personnel in US institutional education activities and programs both in CONUS and overseas. An example would be the attendance of foreign military officers at senior Service schools.

combined exercises. This category includes CJCS- and CINC-sponsored exercises, as well as bilateral and multilateral exercises conducted by the forces of the Service components with forces of other nations. Specific information requirements for combined exercises are defined in Enclosure C.

combined training. Scheduled unit and individual training activities with forces of other nations. This does not include CJCS- or CINC-sponsored exercises or Service-sponsored exercises that do not include forces of one or more other nations.

Contingency Planning Guidance (CPG). A document issued annually by the Secretary of Defense. The CPG contains SecDef guidance on developing theater engagement plans, to include, prioritized regional objectives. The CPG also contains guidance with regard to contingency planning. The content of the CPG is reflected in the JSCP, issued biennially or as requested by the Chairman of the Joint Chiefs of Staff,

with specific tasking to the CINCs, Executive Agents, Services, and Defense agencies for accomplishing the direction contained in the CPG.

country team. A team chaired by the ambassador or Chief of Mission in each country and composed of key embassy personnel to plan and oversee the conduct of US foreign policy with regard to that country. Defense Planning Guidance (DPG). A document issued by the Secretary of Defense that provides firm guidance in the form of goals, priorities, and objectives, including fiscal constraints, for the development of the Program Objective Memorandums by the Military Departments and Defense agencies.

Executive Agent. The individual or organization assigned by the Secretary of Defense to have the responsibility of preparing theater engagement plans for those countries not assigned to a theater commander by the Unified Command Plan.

feasibility. According to Joint Pub 1-02, "Operation plan review criterion. The determination of whether the assigned tasks could be accomplished by using available resources. See also acceptability; adequacy, completeness, suitability." For TEP purposes: the TEP review determination as to whether planned activities and operations can be accomplished using available resources, including forces identified for engagement planning.

focus. An area of emphasis or concentration. A weighted policy area or topic.

humanitarian and civic assistance. As stated in Joint Pub 1-02, "Assistance to the local populace provided by predominantly US forces in conjunction with military operations and exercises. This assistance is specifically authorized by title 10, United States Code, section 401, and funded under separate authorities. Assistance provided under these provisions is limited to 1) medical, dental, and veterinary care provided in rural areas of a country; 2) construction of rudimentary surface transportation systems; 3) well-drilling and construction of basic sanitation facilities; and 4) rudimentary construction and repair of public facilities." For TEP purposes: planned activities for which specifically allocated humanitarian assistance funds are requested. These activities are primarily provided in conjunction with military operations and include assistance in the form of transportation of humanitarian relief, and provision of excess nonlethal supplies for humanitarian assistance purposes. This assistance is specifically authorized by title 10, United States Code and funded under separate authorities.

humanitarian assistance. Assistance to the local populace provided by predominantly US forces in conjunction with military operations and exercises. This assistance is specifically authorized by Title 10, United States Code, section 401, and funded under separate authorities. Assistance provided under these provisions is limited to 1) medical, dental, and veterinary care provided in rural areas of a country; 2) construction of rudimentary surface transportation systems; 3) well drilling and construction of basic sanitation facilities; 4) rudimentary construction and repair of public facilities; and 5) detection and clearance of landmines, including activities relating to the furnishing of education, training and technical assistance with respect to the detection and clearance of land mines.

Integrated Priority List (IPL). A list of a combatant commander's highest priority requirements, prioritized across Service and functional lines, defining shortfalls in key programs that, in the judgment of the CINC, adversely affect the capability of the combatant commander's forces to accomplish their assigned mission. The integrated priority list provides the combatant commander's recommendations for programming funds in the Planning, Programming, and Budgeting System process. Identifies CINC's priority items needing attention during program development. Provides focused statements of CINC's most important concerns with suggestions for programmatic solutions to Secretary of Defense.

Joint Combined Exchange Training (JCET). The primary purpose and legislative intent of the JCET program is to provide US SOF training activities designed to improve SOF readiness by accomplishing SOF Mission-Essential Tasks (METs) and Joint Mission-Essential Tasks (JMETs) with foreign forces. While advancement of the theater CINC's Engagement Strategies and incidental training benefits to friendly foreign forces are expected, these results must always be secondary to the primary purpose of training of US SOF. By law, JCETs must meet several criteria: first, they must be conducted overseas with a host nation force; second, they should be primarily funded by Major Force Program (MFP) 11; third, they should use no foreign military assistance funds; fourth, any benefit a host nation or its forces gain from a JCET must be incidental to the purpose of training US SOF; and fifth, they must be reported to Congress annually in the 2011 report. Additionally, per a 1998 amendment to 10 USC 2011, all JCET missions must be preapproved by the Secretary of Defense (SECDEF). The procedure for SECDEF preapproval is contained in the CJCS JCET Authorization Document (JAD). The JAD system also is designed to ensure that the new human rights verification procedures have been completed prior to submission to the SECDEF. These procedures were designed to verify

that personnel in units with whom US SOF will train do not have a record of gross human rights abuses. See USSOCOM Policy Memorandum 99-09, 30 Mar 99, Subj: Joint Combined Exchange Training Program, page 2."

military contacts. Senior defense official and senior officer visits, counterpart visits, ship port visits, participation in defense shows and demonstrations, bilateral and multilateral staff talks, defense cooperation working groups, military to military contact programs, military-technical working groups, regional conferences, State Partnership for Peace (PfP) Program, and personnel and unit exchange programs. This includes visits of foreign personnel or delegations to the United States or overseas US locations.

peacetime military engagement. Peacetime military engagement encompasses all military activities involving other nations intended to shape the security environment in peacetime.

prioritized regional objectives. Theater Engagement Plans are based on prioritized regional objectives contained in the CPG and the JSCP. From these objectives, CINCs and Executive Agents derive their engagement objectives relating specifically to the theater, region, or countries within their areas of responsibility (AORs). Objectives are prioritized by the national interest they seek to advance, as defined in the Defense Planning Guidance:

Tier I. Vital interests are those of broad, overriding importance to the survival, safety, and vitality of the nation. The United States will do what it must to defend these interests, including, when necessary, using military might unilaterally and decisively.

Tier II. Important national interests are those that do not affect national survival, but do affect national well being and the character of the world. In such cases, The United States will use its resources to advance these interests insofar as the costs and risks are commensurate with the interests at stake.

Tier III. Humanitarian and other interests. In some circumstances the nation may act because US values demand a response such as response to natural and manmade disasters.

region. A defined area usually described in geographic terms, which is a portion of a theater or area of responsibility assigned to a commander.

Security Assistance (SA). Joint Pub 1-02 definition is as follows: “a group of programs authorized by the Foreign Assistance Act of 1961, as amended, and the Arms Export Control Act of 1976, as amended, or other related statutes by which the United States provides defense articles, military training, and other defense-related services, by grant, loan, or cash sales in furtherance of national policies and objectives”. Security assistance engagement activities are planned by the CINCs and Executive Agents in coordination with the senior military representatives of US country teams and the Security Assistance Officers, where assigned. On approval of security assistance funding by Congress, the Department of Defense executes security assistance programs in coordination with the CINCs and Executive Agents. Security assistance activities include Foreign Military Financing, Foreign Military Sales, International Military Education and Training and Enhanced International Military Education and Training, and Excess Defense Articles programs.

shaping. Actions in which the US Armed Forces help influence the international environment, primarily through their inherent deterrent qualities and through peacetime military engagement.

theater engagement. All military activities involving other nations intended to shape the security environment in peacetime within a geographic theater as described in the Unified Command Plan (UCP).

Theater Engagement Plans (TEP). Deliberate plans for all military activities involving other nations intended to shape the security environment in peacetime. Based on guidance from the NCA and CJCS, the CINC’s develop plans and employ forces and personnel in peacetime to protect and promote US interests and regional objectives. A TEP is comprised of the CINC’s TEP Strategic Concept plus TEP Activity Annexes. The geographic CINCs and Executive Agents develop TEPs; the Functional CINCs, Services, and other Defense agencies as required develop supporting/coordinating plans.

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