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IDEAS TO DOLLARS: PLANNING PROGRAMMING AND BUDGETING  
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MAXWELL AFB AL G L KIRSTEATTER APR 85 ACSC-85-1455

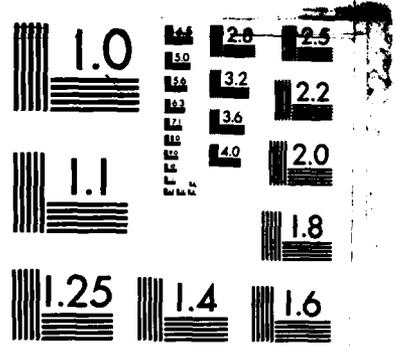
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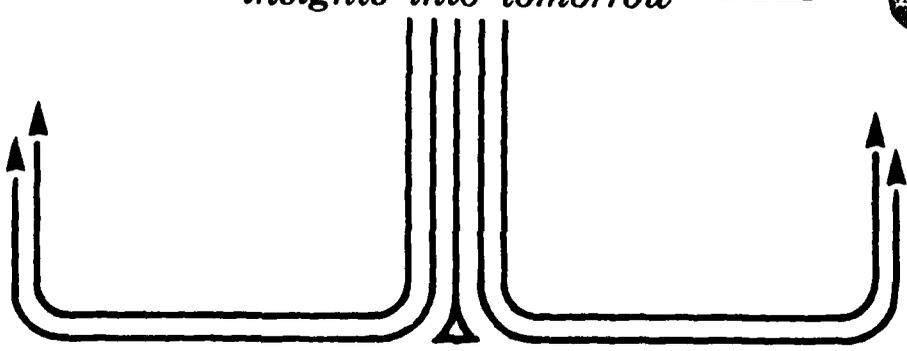
# AIR COMMAND AND STAFF COLLEGE

## STUDENT REPORT

IDEAS TO DOLLARS: PLANNING, PROGRAMMING,  
AND BUDGETING SYSTEM (PPBS) FOR THE  
MILITARY AIRLIFT COMMAND MANAGER  
CAPTAIN GARY L. KIRSTEATTER 85-1455  
*"insights into tomorrow"*

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FOR THE MILITARY AIRLIFT COMMAND PROGRAM MANAGER

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# **IDEAS TO DOLLARS**

**The Planning, Programming, And Budgeting System  
(PPBS)**



**FOR THE  
MILITARY AIRLIFT COMMAND  
PROGRAM MANAGER**

## PREFACE

This handbook is designed to complement the PPBS training you will receive as a MAC program manager. It consolidates a great deal of information to help you during your program development. After reading this handbook, you should have a general understanding of the MAC PPBS process and its interface with the overall PPBS process.

A sincere thank you goes to Colonel Melvin R. Barrett who sponsored this project. Without his support, I would not have had access to the information necessary to finish this project. I would like to give a special thanks to my wife, Maureen, for her editing assistance. She put up with the misspellings, rewrites, and long hours to help complete this handbook. I would also like to recognize Lieutenant Colonel Raymond J. Martinitch, Captain Christopher A. Kelly, and Captain Michael F. Planert, the guys on the "Barge" (HQ MAC Planning, Programming, and Budgeting System Division). Their review and comments insured this handbook provided an accurate reflection of what a MAC program manager needs to know to successfully work a program within PPBS. Major Lee A. Newman also provided critical information from the Air Staff perspective. I would also like to thank Major Barry Creighton. His Air Command and Staff project entitled, "How to Conduct Prerequisite Training, A Guide for MAC's Strategic Airlift Aircraft Commanders," provided the format I used to organize Chapter One. I offer a final thank you to Ms Janalee Quigley who created all the outstanding drawings in this handbook. Without these people, this project would have been very difficult to complete.

As you start into PPBS, I wish you the best. It is a very rewarding experience, so do not let the process frustrate you. If the answer is not in this handbook, ask questions. GOOD LUCK.

#### **ABOUT THE AUTHOR**

Captain KIRSTEATTER has established a solid background with the Military Airlift Command. He has flown both the CT-39, as a flight examiner, and the C-5 aircraft, as an aircraft commander, and logged over 2400 hours flying time. He spent a tour at the Military Airlift Command headquarters prior to coming to Air Command and Staff College. He was one of four people charged with the responsibility of developing MAC's Program Objective Memorandum. In this job he developed, implemented, and articulated MAC's Program Objective Memorandum (POM) requirements through the entire PPBS process. He worked closely with the Office of Secretary of Defense, the Joint Chiefs of Staff, HQ USAF, specified and unified commands, the other services, and the MAC staff resolving programming issues that involved MAC. He researched initiatives to insure MAC's POM accurately addressed the force structure, facilities, aircraft allocation, and beddown locations. His efforts helped improve the current funding situation for the Military Airlift Command.

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## CHAPTER ONE

### INTRODUCTION

#### PURPOSE

The purpose of this handbook is to provide Military Airlift Command (MAC) program managers with an overview of the Planning, Programming, and Budgeting System (PPBS). It will review one entire PPBS cycle in isolation, followed by an analysis of the impact of overlapping cycles. It will also include a consolidation of the most frequently used PPBS information. This handbook will complement the PPBS training you will receive from the Planning, Programming, and Budgeting System Division (HQ MAC/XPPB).

#### CONTENT

This handbook is designed to help you develop and support your specific program through the PPBS process. PPBS is the first part of the overall federal budgeting process which includes four phases: formulation, enactment, execution, and review and audit. (1:1) The PPBS process is the formulation phase. As a program manager, you will be actively involved in the MAC process which is also part of the formulation phase. Chapter Two concentrates on the MAC Program Objective Memorandum (POM) development process. It highlights the key information you will need to know to prepare a successful program. Chapters Three through Five discuss PPBS, the formulation phase along with your involvement in this phase. To simplify the process, these chapters divide the PPBS cycle into the following sections: the planning process, the programming process, and the budgeting process. Planning, the first "P," is considered the start of the PPBS process. Planning for each cycle ends when the Office of the Secretary of Defense (OSD) publishes the Defense Guidance. The programming phase begins with the major commands submitting their POMs to the Air Staff and ends with signing of the Program Decision Memorandum. The budget process begins with the OSD/Office of Management and Budget (OMB) review of the OSD submission and ends when the President submits his budget to Congress. (1:12-14) Chapter Six discusses the impact of overlapping cycles and focuses on two major MAC programs -- the

HH-60 and the Civil Reserve Air Fleet (CRAF) modification programs. The problems encountered in these two programs can happen to any program. This handbook also contains several appendices that bring together useful PPBS information for a MAC program manager. It includes a glossary of terms and acronyms, a listing of MAC's most common program element codes and appropriation codes, and a listing of points of contact for the PPBS process.

### NEED

If you are just starting to work with PPBS, you are aware it can be frustrating. It takes time before you feel like you understand your program and the overall process. Each year, HQ MAC/XPPB conducts training classes to help you with your responsibilities as a program manager. Past experiences have shown that a handbook to complement this training would be beneficial (7: ). This consolidated handbook is designed to aid this training and provide a basic reference for your work as a program manager. It will gather together information which is diverse and located in many different formats and places throughout the headquarters and serve as a quick reference on PPBS and MAC's involvement in the process. By providing the answers to general questions, it will give you and HQ MAC/XPPB more time to prepare your programs for the PPBS process.

### HOW TO USE THIS HANDBOOK

You should concentrate on Chapter Two. This chapter highlights the key information you will need to prepare your program. The next four chapters of this handbook will provide a general understanding of the overall PBBS process and your responsibilities, along with two examples of the effects of overlapping cycles -- the HH-60 and the CRAF Modification programs. Finally, the appendices contain reference material you can use during your exposure to the PPBS process.

### WHAT THIS HANDBOOK WILL AND WILL NOT DO

This handbook will:

- a. provide a starting place for your PPBS study,
- b. explain the MAC POM development process,
- c. provide a general understanding of the PPBS process,

offsets), the new programs the command would like to fund with the savings, and the remaining programs that are valid but the command cannot fund. The Air Force is not bound to the command recommendations. In fact, the Air Staff can accept or reject the whole proposal or use any part of it. The usual path for a program to take through the Air Staff will start at the panel level, then it will be reviewed by the PRC, the Air Staff Board, the Air Force Council, the Chief of Staff, and finally the Secretary of the Air Force. At each level of the process, the review boards suggest changes and work to fit the programs into the available budget. The command Deputy Chiefs of Staff for Plans (XP) attend each Air Staff Board meeting on the POM. Each time the Air Force Council meets on the POM, both the commanders and XPs for each command attend. After each level of review, the POM is sent back to the panels where the pricing problems are worked and then presented to the PRC for their approval before the new position is sent back up the chain. During this phase, you must continue to insure HQ MAC/XPPB has the most current information on your program.

#### OSD PROCESS

Once the Air Force completes its POM, they send it to OSD along with the Army, Navy, and Marine Corps POMs for the OSD Defense Resources Board (DRB) to review. The DRB is like the Air Force PRC. They review the services' POMs and compare them to the Defense Guidance goals and review any problems they see in the overall service capabilities. To assist the DRB review, JCS publishes the Joint Program Assessment Memorandum (JPAM) which shows their assessment of the services' POMs. OSD then formalizes the issues or problems they have into eight books:

Book One	Policy and Risk
Book Two	Nuclear Forces
Book Three	Conventional Forces
Book Four	Modernization and Investment
Book Five	Readiness and Logistics
Book Six	Manpower
Book Seven	Intelligence
Book Eight	Management Initiatives

#### DEFENSE RESOURCES BOARD MEETINGS

The DRB meets at least once on each book. In addition, the DRB invites the unified and specified commanders to brief them on how well the service POMs help the commanders perform their missions. Each unified and specified commander uses this occasion to provide information on key issues concerning their respective area of responsibility and the overall military

## COMMITTEES

The second level in the Air Staff corporate process contains four committees. The Program Review Committee (PRC) is the one tasked with making the programmatic decisions for the Air Force and developing the Air Force POM. The PRC membership is depicted in Appendix H. The other committees are the Force Structure Committee, the Operations Budget Review Committee (OBRC), and the Security Assistance Committee.

## AIR STAFF BOARD

Once the PRC establishes an overall Air Force position, they brief their recommendation to the Air Staff Board which consists of major generals at the Pentagon and is chaired by HQ USAF/PRP. This board then passes its recommendations to the Air Force Council.

## AIR FORCE COUNCIL

The Air Force Council is the final review level before the Air Force POM is taken to the Chief of Staff. The Vice Chief of Staff serves as chairman of the Council and the Air Staff DCSs are all members.

## PROGRAM ELEMENT MONITOR (PEM)

As the program manager is the focal point during MAC's POM development, the PEM is the focal point during the Air Staff process. The PEM is the person at the Air Staff who manages all the funds within a certain PEC. A PEC can appear in several program decision packages. The program manager at MAC works only the PECs within his programs. You can review Chapter Two for a discussion of PECs. It is important for you to seek out and get to know your PEM counterparts at the Air Staff. You can provide each other with key information concerning your program.

## AIR FORCE PROCESS

During the process, the Air Staff must combine all the commands' requests into one coordinated Air Force position. In January, each command presents its recommendations on baseline problems (currently funded programs) to the panels. The Air Force reviews its funded programs and insures that they are executable before they look at funding new programs. In February, the commands return to brief their entire POM recommendation to the panels and the committees. This package includes four parts: the baseline programs, any savings found within the baseline

## CHAPTER FOUR

### PROGRAMMING PROCESS

#### INTRODUCTION

The programming process takes the PPBS one step further toward the goal of the President's Budget. After each command combines all its requirements into a package, the Air Staff Board Structure then takes all the command inputs and puts together the Air Force POM. The Air Staff Board Structure acts outside the normal functional chain of command and consists of panels, committees, the Air Staff Board, and the Air Force Council. It provides recommendations on issues that would take an indefinite amount of time to go through the normal channels. The Air Force POM, which is a five-year projection like MAC's POM, is one of these issues. The Air Force POM is different from the command POMs because the Air Force must stay within the fiscal limits OSD set in the Defense Guidance. As previously stated, the commands do not have funding restrictions nor do they have any funds they can call their own. The money is all Air Force money. Once the Air Force completes its POM, they forward it to OSD for its review. OSD uses the Defense Resources Board to develop the Department of Defense's total program. Adjustments in this total DOD program are debated by the DRB. As a result of this effort by the DRB, OSD publishes the final SECDEF decisions in the Program Decision Memorandum (PDM). With this, the programming process concludes. (1:13) This chapter describes this process in more detail.

#### PANELS

The Air Staff Board Structure has 14 panels which form the initial review of the command POMs. Although every panel is important, the Mobility Panel is the primary point of contact for MAC. Since not all of MAC's programs are handled by the Mobility Panel, a program manager may have to work with other panel members or Air Staff program element monitors (PEM). The panels provide the detailed information about programs for the rest of the Air Staff Board Structure. Appendix G lists the Mobility Panel membership.

determines the best way to address their requirements within the OSD-specified limitation. (2:3-6) When SECDEF publishes this document, it signifies the end of the planning phase. (1:12)

### SUMMARY

The Air Staff uses these planning documents to develop their POM submission. The documents are the "bible" for making the tough decisions concerning which programs the Air Staff should try to include in its POM. As a program manager, you will have the opportunity to provide comments during the development of the DG, JSPD, and the PIPD. Your inputs will assist the planning process and provide you with support for your programs. The following chapters continue the discussion of the PPBS process and Figure Two depicts the time line for the planning phase.

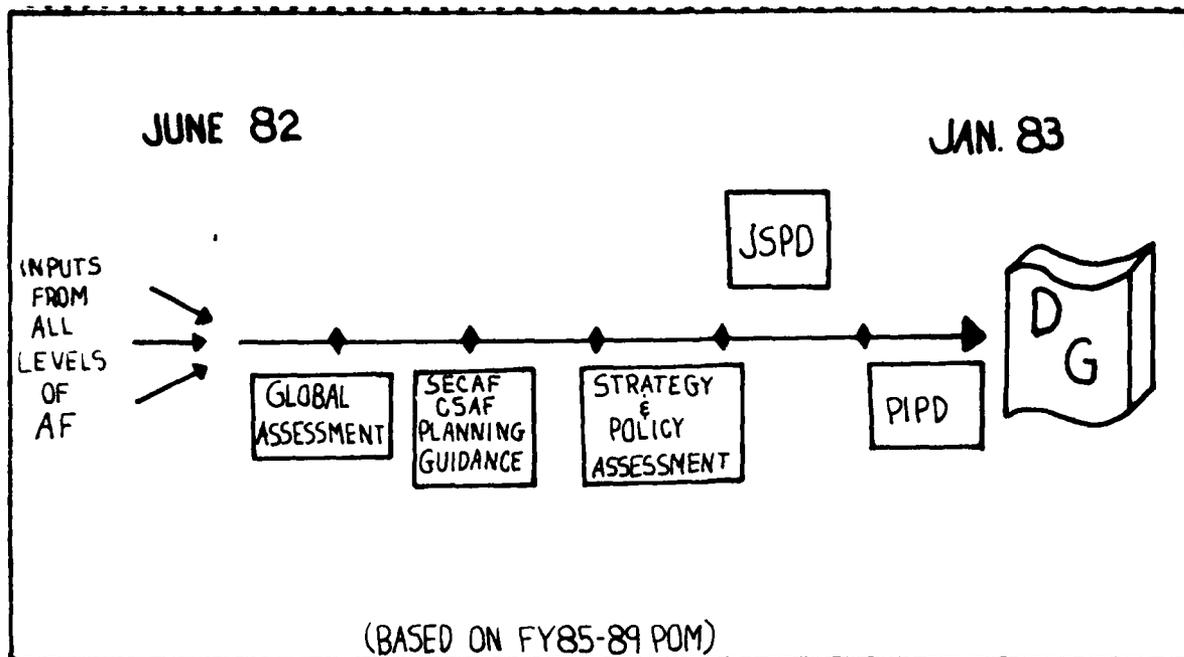


Figure 2. PLANNING PROCESS

Secretary of the Air Force/Chief of Staff of the Air Force  
(SECAF/CSAF) Planning Guidance

This document provides the Air Force planners with guidance from the top that sets long-term objectives and priorities. Basically, this document summarizes the Global Assessment.  
(2:13)

Strategy and Policy Assessment

This document evaluates the current military strategies and identifies issues for the Defense Guidance and Joint Strategic Planning Document formulation. (3:13)

Planning Input for Program Development (PIPD)

This document sets the Air Force specific priorities by Air Force mission area. It lays out the plan of attack for each command to follow. The Air Force mission is divided into the following areas: Mobility, Tactical, Strategic, Defense-Wide Support, and Centrally Managed Support. MAC has the primary responsibility to keep the mobility mission area on track.  
(4:13)

JOINT CHIEFS OF STAFF DOCUMENT

Joint Strategic Planning Document (JSPD)

This document contains the JCS advice to the President, National Security Council, and the Secretary of Defense on what military strategy and force structure is required to attain U.S. national security objectives. This document is fiscally unconstrained and is one input to the Defense Guidance. Being unconstrained, JCS can present programs, beyond those which currently fit in the budget, to state the total military requirement. (2:3-6)

OFFICE OF SECRETARY OF DEFENSE DOCUMENT

Defense Guidance (DG)

This document consolidates the work of the Secretary of Defense, JCS, and the services as well as the President. It sets the funding and priority limits for the services to use during their POM development. While each service gets a funding "bogie," OSD does not set a limit for specific programs. Each service

## CHAPTER THREE

### PLANNING PROCESS

#### INTRODUCTION

The ultimate goal of PPBS is to turn ideas into funded programs. To do this, a program must successfully go through several major steps. From the initial program idea to the President's Budget, the program can change at any time. The President's Budget forms the basis for the following PPBS cycles. PPBS is a continuous process with no clear break. However, planning documents form the basis for the other processes and this handbook will use the planning documents as the beginning of the PPBS cycle. These documents are reviewed annually before the start of the programming cycle because they contain the long- and short-range goals for the military. Each service, along with its component commands, tries to achieve these goals when programming for the future force structure and its associated support requirements. These documents can provide excellent support for your programs. Do not wait for "magic words" to appear that support your program. You have the opportunity to recommend changes to these documents, so use it to your advantage. You should review these documents and identify any changes, additions, or deletions you think are necessary. Be prepared to support your recommendations. The planning phase starts in the late summer and ends when the Secretary of Defense (SECDEF) signs the Defense Guidance. (1:12) This phase takes place during the same time frame as the MAC process. This chapter will discuss the key OSD, Joint Chiefs of Staff (JCS), and Air Force planning documents that are contained in this phase.

#### AIR FORCE DOCUMENTS

##### USAF Global Assessment

This document takes a twenty-year look into the future proposing military objectives and strategies. The Air Force updates it once every four years with annual supplements published for the other years. (3:1)

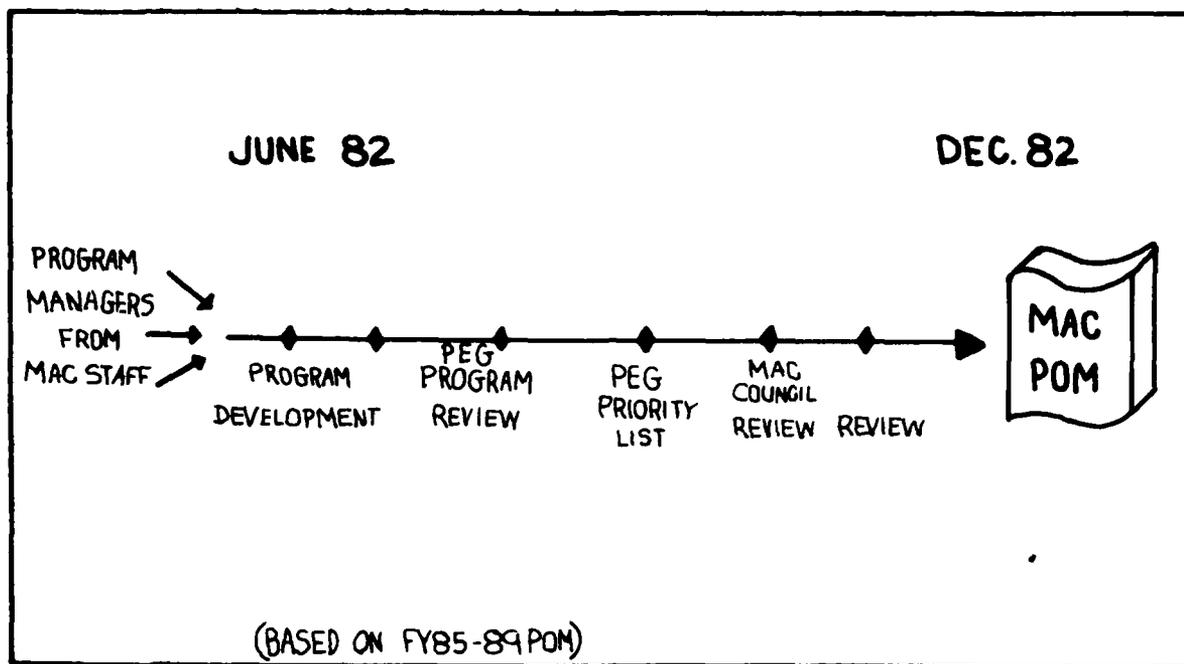


Figure 1. MAC PROCESS

any of the programs. The associated PEG member for each DCS should be updating his/her boss as the process takes place. Therefore, the DCSs should not be surprised by anything in the presentation. This is a major step for a program manager since you could be asked to explain your program in detail (manpower and cost). Once the MAC Council approves the PEG recommendation, the POM becomes the MAC Council recommendation to CINCMAC.

### CINCMAC REVIEW

CINCMAC reviews the MAC Council-approved POM and finalizes the document. Once CINCMAC approves the MAC Council recommendation, the document cannot be changed without going through CINCMAC. HQ MAC/XPPB then prepares this document for submission to the Air Staff. At this point, you must insure HQ MAC/XPPB has all the current program information just as you should be doing all along.

### SUMMARY

The MAC process starts with the program manager. As a program manager you are the expert for your program, and it is your responsibility to move your program through the MAC process and the long PPBS process that is just commencing. At this point, as a minimum, approximately six months have passed since you started your intensive program development. Most programs require more than just putting together a PDP and background paper. If you have a program like this, ask questions and insure you have completed all the necessary support to sell your program as you brief it to the PEG -- a vital step as you place it in the POM development process. Again, do not forget your counterpart at the Air Staff. He/she can provide vital assistance during the life of your program. Figure One depicts the time line for the MAC process. From here, MAC and all the other commands submit their POMs to the Air Staff to be reviewed for inclusion in the Air Force POM as the PPBS process continues.

## PROGRAM EVALUATION GROUP (PEG)

The PEG consists of 24 colonel or directorate-level equivalents from across the MAC staff representing every major functional area. The PEG is divided into two categories -- voting and nonvoting. The Director of Programs and Policy (HQ MAC/XPP) is the chairman of the PEG. Appendix F spells out the remainder of the PEG membership. The PEG is the first major group to review your program in the PPBS process. From August through November of each year, the PEG reviews every program that the MAC staff identifies for inclusion in the POM. After you coordinate your program with the appropriate agencies and through your Deputy Chief of Staff (DCS), you should provide HQ MAC/XPPB with copies so the PEG can review your work prior to your briefing. As stated earlier, the PEG will expect you to answer questions on your program. In addition, the PEG may call you back at any time to provide more information. Therefore, it is imperative you keep up with the most current information available. You are the EXPERT! In order to meet Air Staff guidance, the PEG will develop a priority listing of all programs. The MAC Council and CINCMAC will review the list prior to submitting it to the Air Staff. The following points are important for you to understand how the PEG puts this list together:

MAC has no funding limit (bogie); however, current Air Force guidance requires MAC to "balance the books."

MAC uses an offset strategy to "balance the books." To start a new program, MAC must give up something it is currently programmed to do. Thus, MAC does not program more funds than are currently available in the programs MAC manages for the Air Staff. The funding or total obligation authority in the current baseline programs contains funds for previously approved programmed growth and inflation.

MAC must provide the best recommendation within the limited resources available.

The bottom line is - if MAC works to help the Air Staff stay within its fiscal limits, MAC will also benefit in the end. This is the logic the PEG uses throughout the MAC POM development as well as the remainder of the PPBS process.

## MAC COUNCIL REVIEW

The MAC Council, the next review level, consists of CINCMAC/CV (chairman), and the Deputy Chiefs of Staff. This committee reviews and approves the PEG's POM proposal before CINCMAC reviews it. This usually takes place in the December-January time frame. The Council can make changes or ask questions on

MFP 8	Training, Medical, and Other General Personnel Activities
MFP 9	Administration and Associated Activities

You will further divide the costs within each MFP among the various program element codes (PEC). Each PEC is a five-digit number, with the first digit being the MFP number. For example, 41119 refers to the C-5 airlift squadrons in MFP 4. Appendix A lists MAC's most commonly used PECs. Each PEC is further broken down into appropriation codes (Appendix B) which tell how the money will be spent within each PEC. Appropriation code 3400 under the 41119 PEC would refer to the operations and maintenance costs, and appropriation code 3300 would refer to military construction within the C-5 airlift squadrons. You should remember that PDPs can contain more than one major force program, PEC, and appropriation code. Appendix C shows an example of a PDP. As you build your PDP, you must coordinate your product with every agency affected by your proposal. Appendix D contains a list of points of contact that should be helpful in the coordination process.

### Background Paper

The background paper provides the specific support for the program. It is very important that this paper answers three questions:

What is the program?

Why do we need the program?

What is the impact if this program is not funded?

You must write this paper so that ANYONE can read it and understand what your program is all about. The same coordination used on the PDP is required on the background paper. Appendix E contains a sample background paper.

### PEG Briefing

During your briefing, your goal is to sell your program to the PEG. There are three elements you should remember. First, you must show a slide of your PDP. Second, HQ MAC/XPPB will provide the PEG with an advance copy of your package so you need only give a short summary of the program. Finally, be ready to answer questions and advocate your program. This step is usually the major portion of the briefing. As you answer questions, highlight the key elements of your program. Your briefing does have a significant impact on how the PEG handles your program during the MAC POM development.

## FUNDED/UNFUNDED PROGRAMS

Before reviewing the MAC process you need to understand what constitutes a funded program and what does not. A funded program is anything that is currently being done or has funds assigned to it in the current Air Force baseline document. The baseline document is published three times a year: in January with the President's Budget, in May with the Air Force POM, and in September with the Budget Estimate Submission (BES). These three documents officially adjust, add, or delete programs from the baseline. However, during the time between publishing each document every program is scrutinized and adjusted as necessary to free funds for new requirements and account for fact of life changes. The update of these funded programs is similar to your monthly checking account. (8: ) You get a statement every month; yet, the balance changes significantly between each statement. An unfunded program is simply any other program that is not contained in the current baseline.

## PROGRAM MANAGER

As a program manager, you are the key to the success of your program. You will work your program throughout the MAC process and on through the remainder of the PPBS cycle. You must work closely with your counterpart at the Air Staff and make visits to the Pentagon as necessary to insure you always have the most current information. During the MAC process, you will have two key tasks: prepare your program and brief the Program Evaluation Group (PEG). A program consists of two important documents which are the program decision package (PDP) and the background paper. After you complete your package, you should check with HQ MAC/XPPB to confirm you briefing to the PEG.

### Program Decision Package

The PDP describes your program and spells out the associated costs and manpower. Your program will have costs that are associated with at least one of the following major force programs (MFP). There are ten MFPs:

MFP 0	Support of Other Nations
MFP 1	Strategic Forces
MFP 2	General Purpose Forces
MFP 3	Intelligence and Communications
MFP 4	Airlift/Sealift
MFP 5	Guard and Reserve Forces
MFP 6	Research and Development
MFP 7	Central Supply and Maintenance

## CHAPTER TWO

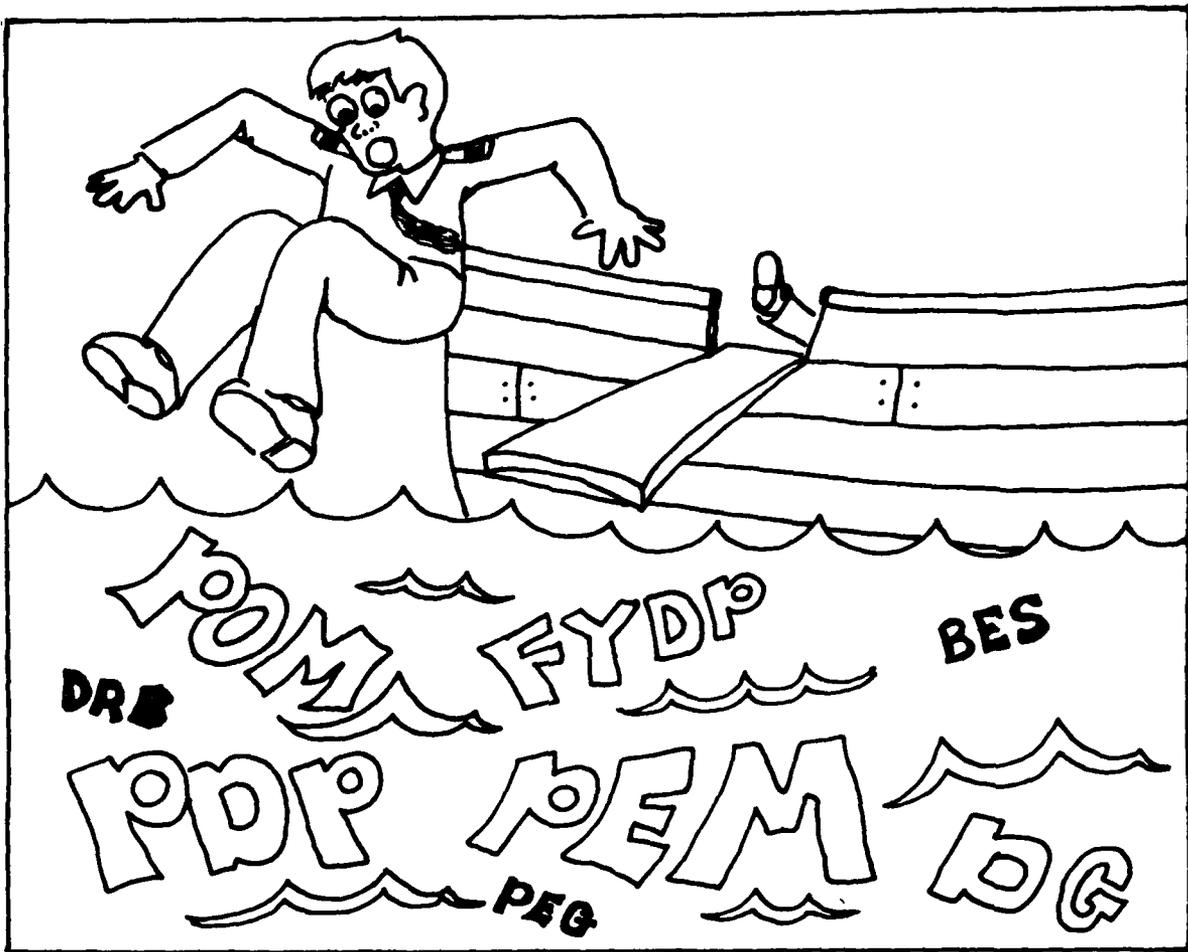
### MAC PROCESS

#### INTRODUCTION

This chapter will look at a history of how the major command involvement in PPBS increased along with an explanation of the MAC process. This is the program manager's first major involvement in the PPBS process. MAC's input to the Air Staff is called the POM which is a five-year projection of program costs and manpower.

#### HISTORY

The following highlights how MAC and the other commands in the Air Force became more actively involved in the PPBS process. The Air Staff Board Structure is the Air Force corporate body that handles PPBS. Each January, it uses the President's Budget as the basis to start its POM development. For the fiscal year (FY) 83 POM and earlier, MAC provided the Air Staff with a listing of their top concerns for the next budget cycle. Specifically, the input for the FY 83 budget was a three-page letter signed by the Deputy Chief Staff, Plans (HQ MAC/XP) containing 49 programs. Before the Air Staff began its FY 84 development, Assistant Secretary of Defense Carlucci directed the Department of Defense to increase the participation in the PPBS process. Thus, the Director of Plans and Programs (HQ USAF/PRP) tasked the commands to start briefing and defending their requirements in the Air Staff process. MAC had only a few months to prepare a document that consisted of a priority listing of every command requirement for MAC, currently funded or not, and provide funding recommendations for the unfunded programs. A few officers within HQ MAC/XP developed this document with minimal staff coordination because of the short suspense. Through the lessons learned during the FY 84 POM cycle, the MAC staff wrote MACR 27-1, Program Evaluation Group, 29 Jun 82, which establishes a process that provides a timely staff coordinated product for MAC Council and CINCMAC review prior to the major command POM submissions to the Air Staff. (7: ) The remainder of this chapter will focus on the MAC process that has evolved.



- d. consolidate the most useful PPBS information for a MAC program manager,
- e. explain the effects of PPBS overlap, and
- f. provide a good reference for PPBS.

This handbook will not:

- a. answer every PPBS question,
- b. make you a PPBS expert, and
- c. discuss the remainder of the federal budgeting process.

budget. Since MAC is a specified command, this meeting gives CINCMAC one more opportunity to directly address POM issues before the programs become part of the BES. Thus, CINCMAC will need the most current information on your program, especially if it is in any of the issue books.

#### JOINT PROGRAM ASSESSMENT MEMORANDUM (JPAM)

Issue books are not the only information source available to the DRB. As stated earlier, the JPAM is another important document which the DRB uses during its deliberation of the key issues. It provides OSD with the JCS assessment of how well the combined efforts of the services' POMs meet the Defense Guidance criteria. (2:3-3)

#### PROGRAM DECISION MEMORANDUM (PDM)

The programming phase ends with the PDM. (1:13) The DRB recommends to SECDEF what action to take on the issues. The PDM summarizes SECDEF's final decisions and directs the services to make the adjustments within their POMs.

#### SUMMARY

The Air Staff combines the command POM inputs into one consolidated package - the Air Force POM. OSD then combines the Air Force POM along with the other service POMs. The DRB reviews the overall defense programs and makes recommendations to SECDEF. SECDEF records his final decisions in the PDM. Once the services make the PDM adjustments and OSD approves them, the end result is the BES, the primary document in the next phase - budgeting. OSD plans to complete the BES each year on 15 September. Figure Three shows the time line for the programming phase.

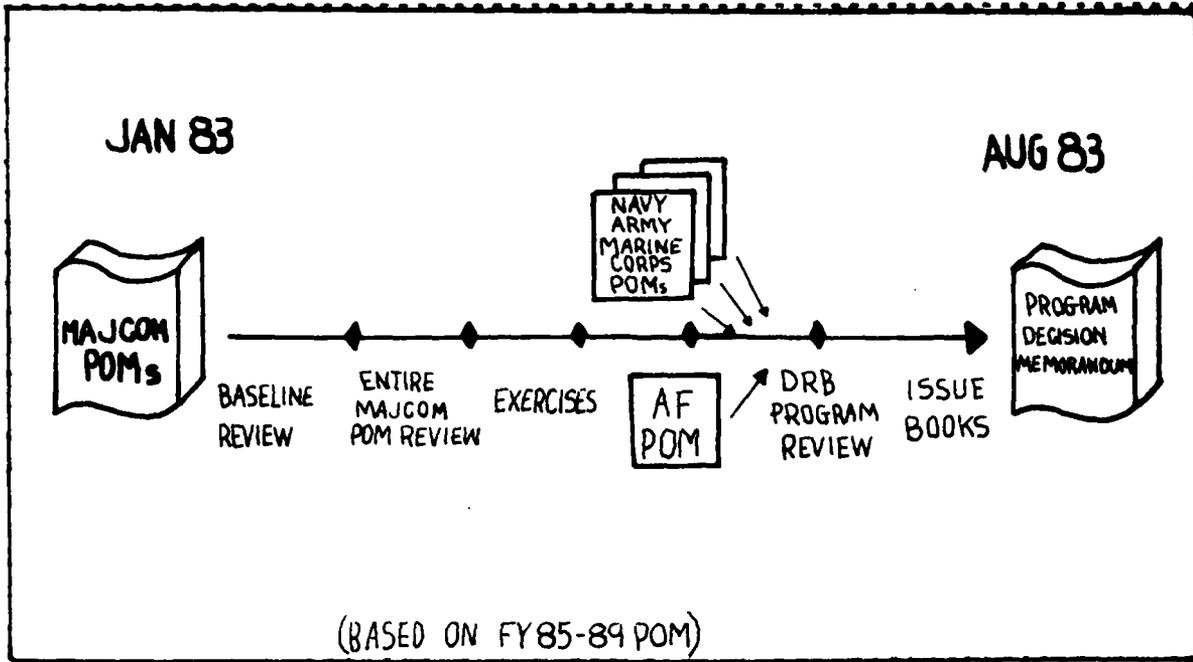
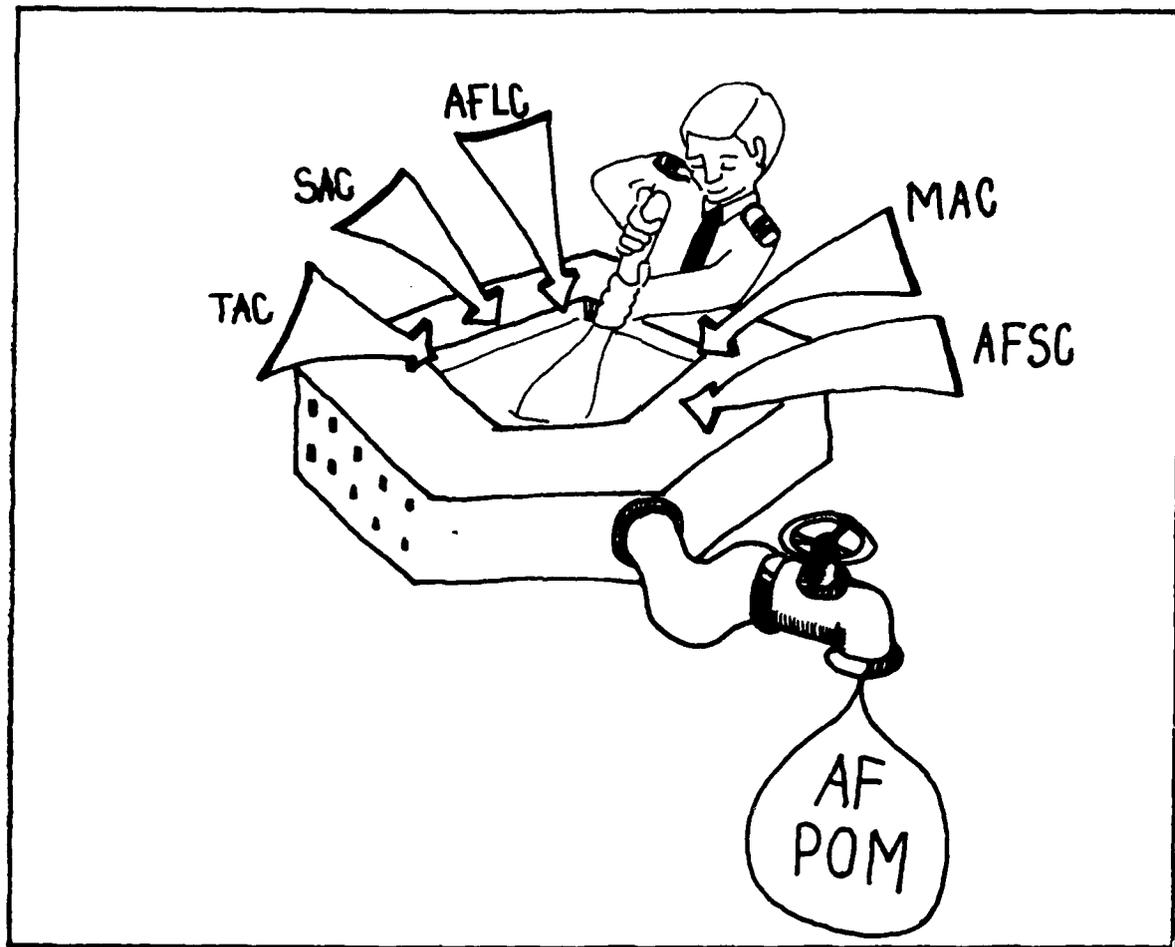


Figure 3. PROGRAMMING PROCESS



## CHAPTER FIVE

### BUDGETING PROCESS

#### INTRODUCTION

At this point, MAC's programs become part of the Air Force BES (Air Force budget) which OSD will combine with the other services' budget estimate submissions. These BESs will be submitted to OMB so they can eventually be included in the overall federal budget. The President's Office of Management and Budget (OMB) reviews this budget while OSD reviews the defense budget. As a "last step" in the budget review process, SECDEF reviews the DRB recommendations, makes the final program decisions, and approves the exact funding levels for inclusion in the Air Force portion of the OSD input into the President's Budget. (1:52) The end result of the budgeting process is the President's Budget. (1:15) If your programs have survived this far, they will be part of this budget.

#### PROGRAM BUDGET DECISION (PBD)

The PBD is the method that OSD uses to communicate OMB/OSD problems with the defense budget. PBDs come in three types: under the table, advanced, and signed. Under the table and advanced PBDs are ones that OSD is about to write. They provide the services with an advanced opportunity to review the decision. Signed PBDs are direction to make a change; yet, the services can appeal the decision. However, once SECDEF decides on the appeal, his decision stands. At first the Air Force has about five days to appeal the PBDs; however, as the time grows near for the President to submit his budget to Congress, the time can get as short as a few hours. The Air Staff is actively involved in this process and relies on the commands to provide them with up-to-date information on programs. Thus, it is imperative for you to be on top of your program if it is included in any PBD. Air Force and the other services must apply to their BES the PBDs that SECDEF signs. Once the PBD cycle is over and all the services make the recommended changes, the defense budget is ready for the President's review. After the President has approved the budget, he will present it to Congress for their authorization/appropriation process. When

the President submits his budget to Congress, the budgeting process ends. (1:15) Figure Four shows the time line for the budgeting process.

### SUMMARY

The OMB/OSD review is similar to the DRB review. The issues from the OSD program review can reappear in this phase. This can happen anywhere in the PPBS process. A problem solved at one point in time can always reappear at another time. This ends your whirlwind tour of PPBS. The following chapter discusses the effects of overlapping PPBS cycles.

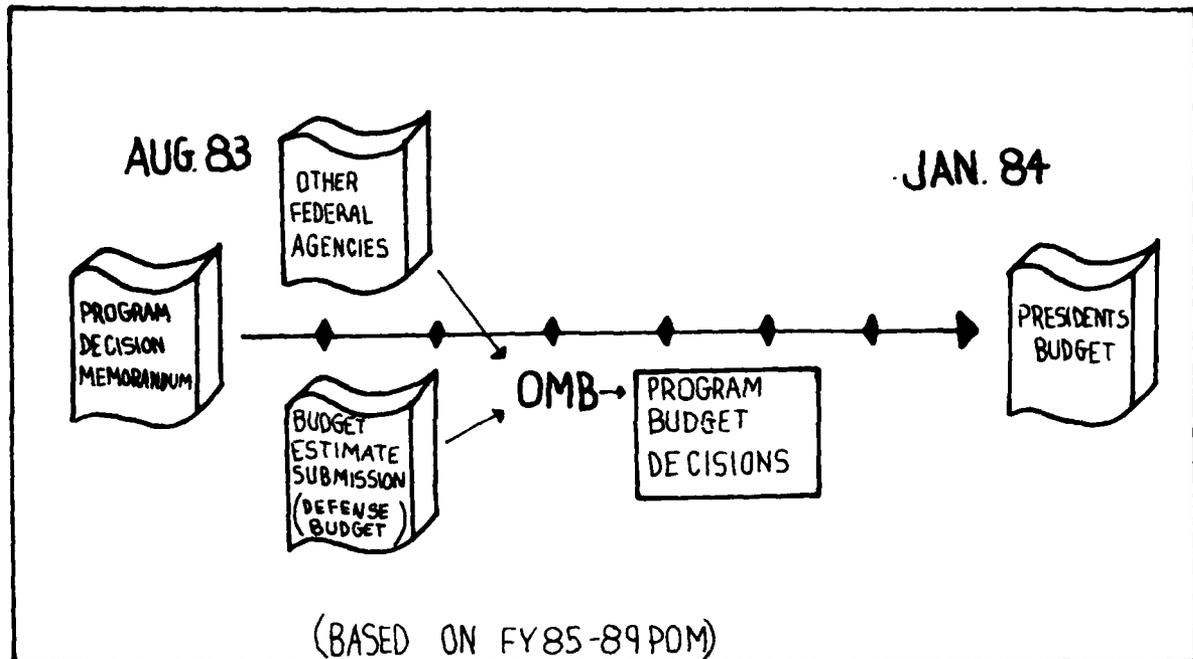


Figure 4. BUDGETING PROCESS

## CHAPTER SIX

### PPBS OVERLAP

#### INTRODUCTION

You have now completed your overview of a PPBS cycle in isolation. In reality, the PPBS cycles overlap, and what happens or does not happen in one PPBS cycle affects the other cycles. Figure Five depicts the overlapping cycles. This chart is called the "spending - defending - mending - pretending" chart. (8: ) At any given time, we are spending current fiscal year dollars and defending the next fiscal year dollars in Congress. We are also mending any future problems in the next fiscal year caused by current or previous adjustments to the budget. Finally, the commands are pretending by starting to prepare a budget for the fiscal years that follow. To discuss how this affects the PPBS cycles, this handbook will review the history behind changes in the HH-60 and Civil Reserve Air Fleet (CRAF) programs.

#### HH-60

Through the past few years the HH-60 program has changed from buying 243 HH-60Ds to 90 HH-60As. During the FY 85-89 Air Staff POM development, the baseline program contained funds for 243 HH-60D (full PAVELOW capability) helicopters. The Air Staff faced major budget cuts that year and, since the requirement for 243 helicopters was hard to support, the Air Staff cut the number back to 155 HH-60 helicopters -- 69 HH-60D and 86 HH-60E (aircraft without PAVELOW avionics). This forced MAC to adjust all the procurement, basing, manpower, military construction, and support requirements within the POM submission they were already building. During the FY 86-90 Air Staff POM development, the Air Staff reduced HH-60 program further to a total of 99 HH-60A helicopters (modified HH-60D). The Air Staff further reduced the number to 90 to keep the total buy under a specified amount. MAC, once again, had to make these adjustments in their POM submission.

## CRAF

The CRAF program is a classic example of a program that has been in and out of the funded budget several times. The Air Staff took the CRAF modification program out of the recommended funding area several years in a row during POM development. They did not fund the CRAF modification in favor of higher priority programs despite their concern that OSD would reinstate the program. Each time OSD directed the Air Staff to fund the CRAF modifications. As a result, the Air Staff had to adjust other funded programs to fit the CRAF modification program within its budget limits. MAC had to review these adjustments to see how they affected MAC's programs. Basically, MAC had to be on top of every iteration to insure they knew the current status of their programs.

## SUMMARY

History provides many more examples of problems with PPBS overlap. This handbook cannot possibly show them all, but does point out a PPBS cycle does not operate in isolation. Figure Five will be helpful in determining which parts of which cycles are going on at any given time. This handbook demonstrates the length and complexity of the PPBS process and highlights important reference facts. It also identifies the potential for overlap problems. As stated in the beginning, this handbook will not answer all your questions on PPBS. If you still yearn to learn more about the subject, the following two documents are an excellent place to continue your studies: AFP 172-4 The Air Force Budget Process, 1 October 1984, and the Air Staff's The Planning, Programming, and Budgeting (PPBS), A Primer, December 1983. Enjoy your journey into PPBS. Remember to learn as much about your program as you can. You can make or break your program.

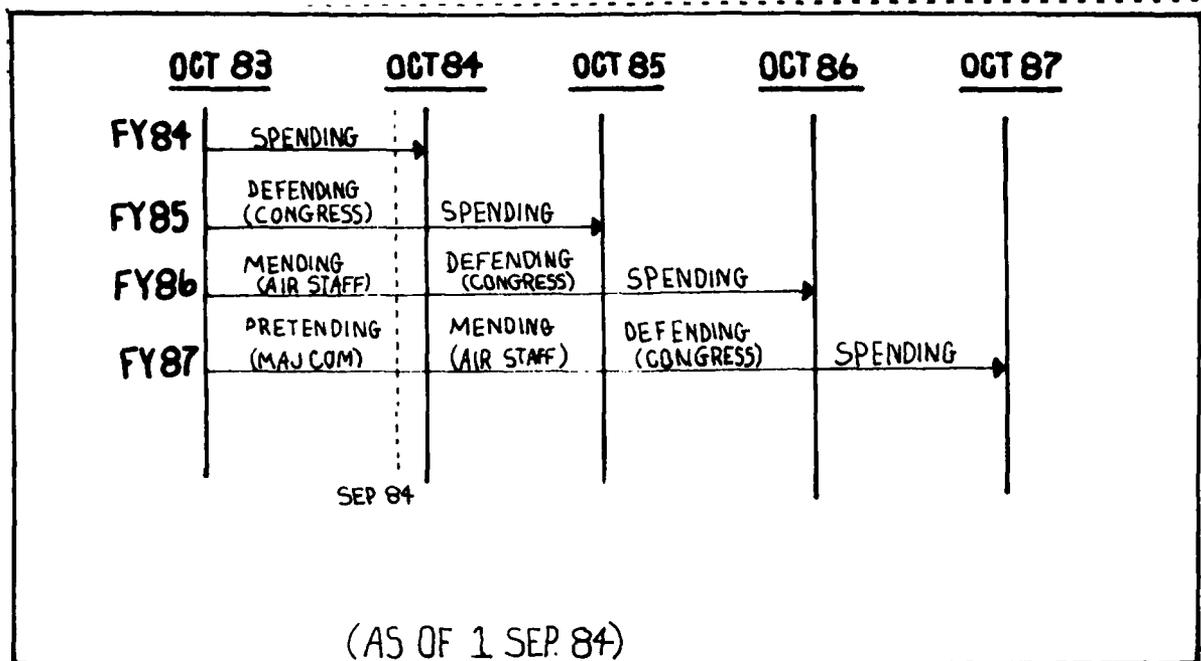


Figure 5. PPBS OVERLAP

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APPENDIX A

PROGRAM ELEMENT CODES (6:6-7)

01009f	SERVICE SUPPORT TO OSD
11213f	MINUTEMAN SQUADRONS
27596f	BASE OPERATIONS - TACTICAL AIR FORCES
28011f	JCS DIRECTED AND COORDINATED EXERCISES
28032f	STOCK FUND WRM (SERVICE CONTROL)
35109f	DOD CIVIL SEARCH/RESCUE
35111f	WEATHER SERVICE
35114f	TRAFFIC CONTROL/APPROACH/LANDING SYSTEMS
41115f	C-130 AIRLIFT SQUADRONS (IF)
41118f	C-141 AIRLIFT SQUADRONS (IF)
41119f	C-5 AIRLIFT SQUADRONS (IF)
41120f	MOBILITY AERIAL PORT SQUADRONS (IF)
41122f	AIRLIFT SUPPORT SERVICES
41123f	MILITARY AIRLIFT GROUP (IF)
41124f	AEROMED AIRLIFT SQUADRONS (IF)
41125f	AERIAL PORT SQUADRONS (IF)
41126f	PASSENGER MOVEMENT (COMMERCIAL)
41127f	CARGO TRANSPORTATION (COMMERCIAL)
41128f	MAIL TRANSPORTATION (COMMERCIAL)
41130f	C-17 AIRCRAFT (IF)
41168f	REVENUES (AIRLIFT SERVICES)
41214f	AIR CARGO HANDLING EQUIPMENT (436-L)
41215f	CIVIL RESERVE AIR FLEET MODIFICATIONS
41216f	AIRLIFT MISSION ACTIVITIES (NON-IF)
41314f	OPERATIONAL SUPPORT AIRLIFT
41840f	MAC COMMAND AND CONTROL
41841f	WWMCCS ADP (MAC)
41890f	INSTALLATION AUDIOVISUAL SUPPORT
41894f	REAL PROPERTY MAINTENANCE
41895f	COMMAND AND BASE COMMUNICATIONS (MAC)
41896f	BASE OPERATIONS (MAC)
41897f	TRAINING
41898f	MANAGEMENT HEADQUARTERS (AIRLIFT) (NON-IF)
41998f	MANAGEMENT HEADQUARTERS (AIRLIFT) (IF)
43111f	PORT TERMINAL OPERATIONS
43113f	TRAFFIC MANAGEMENT
44011f	SPECIAL OPERATIONS FORCES
44102f	AEROSPACE RESCUE AND RECOVERY
52664f	EC-130 TEWS (ANG)
52741f	SPECIAL OPERATIONS FORCES SQUADRONS (AFR)

APPENDIX A (CONTINUED)

PROGRAM ELEMENT CODES

53112f	WEATHER SERVICE (ANG)
53114f	AEROSPACE RESCUE/RECOVERY (ANG)
53122f	AEROSPACE RESCUE/RECOVERY (AFR)
53124f	WEATHER SERVICE (AFR)
54117f	C-19 STRATEGIC AIRLIFT (ANG)
54118f	C-5 STRATEGIC AIRLIFT SQUADRONS (AFR)
54119f	C-5 STRATEGIC AIRLIFT SQUADRONS (ANG)
54210f	C-141 STRATEGIC AIRLIFT SQUADRONS (AFR)
54212f	AERIAL PORT SQUADRONS (AFR)
54215f	C-141 ASSOCIATE AIRLIFT SQUADRONS (AFR)
54216f	AEROMED EVACUATION SQUADRONS (AFR)
54217f	C-5 ASSOCIATE AIRLIFT SQUADRONS (AFR)
54218f	C-17 AIRLIFT SQUADRONS (AFR)
54219f	C-5 STRATEGIC AIRLIFT SQUADRONS (AFR)
54332f	C-130 TACTICAL AIRLIFT SQUADRONS (ANG)
54342f	C-123 TACTICAL AIRLIFT SQUADRONS (AFR)
54343f	C-130 TACTICAL AIRLIFT SQUADRONS (AFR)
54396f	BASE OPERATIONS - AIRLIFT (AFR)
54498f	MANAGEMENT HEADQUARTERS (MOBILITY FORCES)
55296f	BASE OPERATIONS (ANG)
57112f	DEPOT MAINTENANCE (ANG)
57115f	DEPOT MAINTENANCE (AFR)
58152f	PROFESSIONAL/SKILL PROGRAM TRAINING (ANG)
58153f	FLIGHT TRAINING (ANG)
58212f	AEROMED EVACUATION UNITS (AFR)
58222f	AEROMED EVACUATION UNITS (ANG)
63256f	JOINT SERVICE ADVANCED VERTICAL LIFT (JVX)
64219f	INTEGRATED DIGITAL AVIONICS
64227f	FLIGHT SIMULATOR DEVELOPMENT
64708f	OTHER OPERATIONAL EQUIPMENT
65806f	AQUISITION AND COMMAND SUPPORT
71111f	SUPPLY DEPOTS/OPERATIONS (NON-IF)
71112f	INVENTORY CONTROL POINT OPERATIONS
72207f	DEPOT MAINTENANCE (NON-IF)
84731f	GENERAL SKILLS TRAINING
88716f	OTHER PERSONNEL ACTIVITIES
89732f	OFF-DUTY/VOLUNTARY EDUCATION PROGRAM
91212f	SERVICE-WIDE SUPPORT
91214f	PUBLIC AFFAIRS
91294f	REAL PROPERTY MAINTENANCE ACTIVITIES
91296f	MANAGEMENT HEADQUARTERS (PUBLIC AFFAIRS)

**APPENDIX B**

**APPROPRIATION CODES**

**APPN CODES**

**SUBJECT**

0700	FAMILY HOUSING
3300	MILITARY CONSTRUCTION (MILCON)
3400	OPERATIONS AND MAINTENANCE (O&M)
3500	MILITARY PAY - ACTIVE
3600	RESEARCH AND DEVELOPMENT
3700	MILITARY PAY - AFR
3730	MILITARY CONSTRUCTION - AFR
3740	O&M - AFR
3730	MILITARY CONSTRUCTION - ANG
3740	O&M - ANG
3850	MILITARY PAY - ANG

MC823 MAC RED SWITCH (9: )

INCREASES THE SECURE VOICE CAPABILITY BETWEEN SELECTED SUBSCRIBERS AT HQ MAC, MAC'S NUMBERED AIR FORCES, AND THE SECOND AIR DIVISION. PROVIDES USERS INCREASED SECURE VOICE ACCESS WHILE ELIMINATING THE REQUIREMENT FOR INDIVIDUAL COMMUNICATION SECURITY (COMSEC) EQUIPMENT FOR EACH SUBSCRIBER. SECURITY FOR CLASSIFIED COMMUNICATIONS BETWEEN SUBSCRIBERS ON THE RED SWITCH WILL BE PROVIDED THROUGH PHYSICAL SECURITY MEASURES. COMSEC EQUIPMENT WILL PROVIDE THE SECURITY FOR CALLS PLACED EXTERNAL TO THE SWITCH.

APPENDIX C

	<u>FY 86</u>	<u>FY 87</u>	<u>FY 88</u>	<u>FY 89</u>	<u>FY 90</u>	<u>FY 91</u>
<u>TOTAL OBLIGATION AUTHORITY</u>	<u>0.0</u>	<u>2.1</u>	<u>3.5</u>	<u>3.7</u>	<u>4.2</u>	<u>4.5</u>
41895f PROGRAM ELEMENT	<u>0.0</u>	<u>2.1</u>	<u>3.5</u>	<u>3.6</u>	<u>4.1</u>	<u>4.4</u>
3300	0.0	0.7	0.0	0.0	0.0	0.0
3400	0.0	1.3	3.3	3.4	3.9	4.2
3500	0.0	0.1	0.2	0.2	0.2	0.2
41896f PROGRAM ELEMENT	<u>0.0</u>	<u>0.0</u>	<u>0.0</u>	<u>0.1</u>	<u>0.1</u>	<u>0.1</u>
3400	0.0	0.0	0.0	0.1	0.1	0.1
67792f PROGRAM ELEMENT	<u>0.0</u>	<u>0.0</u>	<u>0.0</u>	<u>0.0</u>	<u>0.0</u>	<u>0.0</u>
3400	0.0	0.0	0.0	0.0	0.0	0.0
MANPOWER (AUTHORIZATIONS)	0	5	10	10	10	10

PACKAGE NUMBER: MC823 PACKAGE MONITOR: NAME/OFF/EXT AS OF DATE: 3 OCT 84

APPENDIX C (CONTINUED)

MC823      MAC RED SWITCH (9: )

GENERAL REMARKS:

THIS PROGRAM DECISION PACKAGE SUPPORTS A CINCMAC-APPROVED INITIATIVE OF THE MILITARY AIRLIFT COMMAND AND CONTROL (C2) ARCHITECTURE IMPLEMENTATION PLAN. IT ADDS SECURE VOICE CONNECTIVITY FOR MAC'S NUMBERED AIR FORCES AND THE SECOND AIR DIVISION. FUNDS ARE CONTAINED IN C522 (C# MOBILITY) FOR THE UPGRADE OF THE HQ MAC SWITCH TO 500 LINES IN FISCAL YEAR (FY) 89 AND COMPLETION OF THE 500 LINE SWITCH PURCHASE IN FY 90.

MODIFICATION NOTES:

NONE.

SYNOPSIS (ONE LINER):

INCREASES THE SECURE VOICE CAPABILITY BETWEEN SELECTED SUBSCRIBERS AT HQ MAC, MAC'S NUMBERED AIR FORCES, AND THE SECOND AIR DIVISION.

PACKAGE NUMBER: MC823      PACKAGE MONITOR: NAME/OFF/EXT      AS OF DATE: 3 OCT 84

APPENDIX D

POINTS OF CONTACT

<u>OFFICE</u>	<u>AUTOVON</u>	<u>REMARKS</u>
	<u>MAC</u>	
HQ MAC/DEP	638-5043	MILITARY CONSTRUCTION
HQ MAC/DDOAC	638-3502	FLYING HOURS
HQ MAC/LGXP	638-3424	CLASS IV MODIFICATIONS SPARES
HQ MAC/SIC	638-5217	MAC COMMAND AND CONTROL
HQ MAC/TRXP	638-2951	TRANSPORTATION REQUIREMENTS
HQ MAC/XPPB	638-4671/4672	OVERALL PPBS
HQ MAC/XPS	638-3025	CONGRESSIONAL ACTION
HQ MAC/XPQ	638-3167/3908	CLASS V MODIFICATIONS AIRCRAFT AQUISITION
	<u>USAF</u>	
HQ USAF/PRPFM	225-1258	MOBILITY ISSUES

## APPENDIX E

### BACKGROUND PAPER ON MAC RED SWITCH (9: )

#### WHAT WE NEED

- Expand interim secure voice capability to fully satisfy identified MAC requirements.
- Increased secure voice capability at MAC's numbered Air Forces (NAFs) and Second Air Division.
- Establish a secure voice digital system at MAC NAFs and Second Air Division to increase capabilities between command and control users.

#### WHY WE NEED IT

- Interim solution to URGENT FURY after action item: HQ MAC secure voice capability of 96 subscriber lines.
  - Expand our secure voice capability to provide:
    - Secure voice capability for 350 HQ MAC subscribers in Fiscal Year (FY) 1989.
    - Secure voice expansion in FY 91 for projected increases in mission requirements for up to 500 subscribers at Scott Air Force Base. This expansion is funded in C522 (C3 Mobility).
    - Increased access to the AUTOVON/AUTOSEVCOM nets.
- Provide command and control secure voice connectivity between HQ MAC, MAC NAFs, and Second Air Division.
- Eliminate requirement for individual communications security (COMSEC) equipment.
- Reapply critically limited COMSEC assets to meet current and future MAC mission requirements.
- Provide an automatic secure voice capability.

APPENDIX E (CONTINUED)

- Provide a secure voice intercom system within HQ MAC.

IMPACT IF NOT FUNDED

- Increased activities during contingencies and exercises will continue to saturate our limited secure voice capability.
  - CAT members will continue to wait to use the secure voice system.
  - Contingency planners will work in a restricted environment.
    - Responsiveness of individual CAT members will continue in a degraded mode.
    - Urgent responses will continue to suffer appreciable delay.
- Satellite communications (SATCOM) voice as primary backup has proven very susceptible to network saturation.
  - HQ MAC/NAF could resort to "talking around" critical and sensitive data.
    - Possibility of security compromise significantly increased throughout a contingency operation.
- MAC will continue to communicate 90 percent unsecure and 10 percent secure.
  - Mission planners will continue operations in an inhibited environment.
  - Assurance of mission success possibly jeopardized.
  - Delayed responses could result in unnecessary loss of personnel/equipment due to impeded mission execution.

Name/Grade  
Office/Extension  
Date

**APPENDIX F**

**PROGRAM EVALUATION GROUP MEMBERSHIP (3:1)**

MACR 27-1, Program Evaluation Group, 29 Jun 82, gives the following guidance:

**VOTING REPRESENTATIVES**

One representative/DCS:

HQ MAC/XP (CHAIRMAN)

HQ MAC/AC

HQ MAC/DE

HQ MAC/DO

HQ MAC/DP

HQ MAC/LG

HQ MAC/SI

HQ MAC/TR

HQ MAC/XD

**NONVOTING REPRESENTATIVES**

One representative/area:

HQ MAC/AC

HQ MAC/IG

HQ MAC/IN

HQ MAC/SG

HQ MAC/SP

23 AF

AWS

Two representatives/DCS:

HQ MAC/DO

HQ MAC/LG

HQ MAC/SI

HQ MAC/XP

**APPENDIX 6**

**MOBILITY PANEL MEMBERSHIP**

Representatives from the following areas:

HQ USAF/PRP - CHAIRMAN

HQ USAF/ACB

HQ USAF/CSV

HQ USAF/LET

HQ USAF/LEY

HQ USAF/MPM

HQ USAF/NGB/XO

HQ USAF/RE

HQ USAF/RDQ

HQ USAF/SA

HQ USAF/XOO

HQ USAF/XOX

Advisors from the following areas:

HQ USAF/LEE

HQ USAF/XOX

**APPENDIX H**

**PROGRAM REVIEW COMMITTEE MEMBERSHIP**

Representatives from the following areas:

HQ USAF/PRP - CHAIRMAN

HQ USAF/CVS

HQ USAF/IG

HQ USAF/IN

HQ USAF/LEE

HQ USAF/LEX

HQ USAF/LEY

HQ USAF/MPM

HQ USAF/MPP

HQ USAF/NGB/PR

HQ USAF/REX

HQ USAF/RDP

HQ USAF/RDQ

HQ USAF/SGH

HQ USAF/XOK

HQ USAF/XOO

HQ USAF/XOX

**APPENDIX H (CONTINUED)**

**PROGRAM REVIEW COMMITTEE MEMBERSHIP**

Advisors from the following areas:

HQ USAF/ACM

HQ USAF/PRP

HQ USAF/RDS

HQ USAF/RDX

HQ USAF/SA

HQ USAF/XOE

HQ USAF/XOS

**APPENDIX I**

**GLOSSARY OF ACRONYMS**

BES	BUDGET ESTIMATE SUBMISSION
BLSS	BASE LEVEL SUFFICIENCY SPARES
CY	CALENDAR YEAR
DG	DEFENSE GUIDANCE
DRB	DEFENSE RESOURCES BOARD
FY	FISCAL YEAR
HAC	HOUSE APPROPRIATIONS COMMITTEE
HASC	HOUSE ARMED SERVICES COMMITTEE
IF	INDUSTRIAL FUND
IOC	INITIAL OPERATING CAPABILITY
JMSNS	JUSTIFICATION FOR MAJOR SYSTEMS NEW START
JSPD	JOINT STRATEGIC PLANNING DOCUMENT
MAA	MISSION AREA ANALYSIS
OMB	OFFICE OF MANAGEMENT AND BUDGET
OSD	OFFICE OF THE SECRETARY OF DEFENSE
OWRM	OTHER WAR READINESS MATERIAL
PB	PRESIDENT'S BUDGET
PBD	PROGRAM BUDGET DECISION
PDM	PROGRAM DECISION MEMORANDUM
PD <sup>c</sup>	PROGRAM DECISION PACKAGE
PEC	PROGRAM ELEMENT CODE
PEM	PROGRAM ELEMENT MONITOR
PIPD	PLANNING INPUT FOR PROGRAM DEVELOPMENT

**APPENDIX I (CONTINUED)**

**GLOSSARY OF ACRONYMS**

PM	PROGRAM MANAGER
POM	PROGRAM OBJECTIVE MEMORANDUM
POS	PEACETIME OPERATING STOCK
SAC	SENATE APPROPRIATIONS COMMITTEE
SASC	SENATE ARMED SERVICES COMMITTEE
SON	STATEMENT OF NEED
WRM	WARTIME RESERVE MATERIAL
WRSK	WARTIME READINESS SPARES KITS

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