DEPUTY SECRETARY OF DEFENSE
1010 DEFENSE PENTAGON
WASHINGTON, DC 20301-1010

MAR 27 2004

MEMORANDUM FOR SECRETARIES OF THE MILITARY DEPARTMENTS
CHAIRMAN OF THE JOINT CHIEFS OF STAFF
UNDER SECRETARIES OF DEFENSE
COMMANDERS OF THE COMBATANT COMMANDS
ASSISTANT SECRETARIES OF DEFENSE
GENERAL COUNSEL OF THE DEPARTMENT OF DEFENSE
DIRECTOR, OPERATIONAL TEST AND EVALUATION
INSPECTOR GENERAL OF THE DEPARTMENT OF DEFENSE
DIRECTOR, ADMINISTRATION AND MANAGEMENT
DIRECTOR, PROGRAM ANALYSIS AND EVALUATION
DIRECTORS OF THE DEFENSE AGENCIES

SUBJECT: Control of Planning, Programming, Budgeting and Execution (PPBE) Documents and Information

The purpose of this memorandum is to reconfirm the Department's policies governing the disclosure of PPBE (formerly referred to as PPBS) documents and information.

PPBE papers and associated data set forth the details of defense strategy and proposed plans, programs, and budgets. Access to materials by those not directly involved in the PPBE process undermines the confidentiality necessary for the Secretary and me to obtain candid advice on the defense program. Also, access to PPBE information by private firms seeking contracts with the Department may jeopardize the integrity of the procurement process. Therefore, all addressees are directed to review their procedures governing access to PPBE data to ensure that they incorporate the requisite protections.

The Department's standards pertaining to the use and distribution of PPBE materials are defined in DoD Directive 7045.14. To ensure that guidelines set forth in the directive are accurate and complete, I am asking the Under Secretary of Defense (Comptroller) to prepare for my signature, within 90 days, a revision of the directive that updates the directive and incorporates the following provisions:

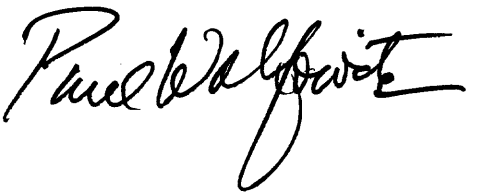
- Designate the Military Department Secretaries, the Chairman of the Joint Chiefs of Staff, and the Under Secretaries and Assistant Secretaries of Defense as approval authorities for disclosing PPBE documents and data outside the Department of Defense and other government agencies directly involved in the defense planning and resource allocation process (e.g. the Office of Management and Budget). Limit their disclosure authority to PPBE documents and data (other than those listed on the attachment) that are

generated by their offices or by organizations, including defense agencies, that they oversee.

- Eliminate the requirement for General Counsel coordination on requests for release of PPBE documents and data, unless the approval authority has reason to believe that litigation is pending that may affect the release of PPBE information.

The revised version of the directive also should include a list of major PPBE documents, as attached. The changes made by this memorandum are effective immediately.

Questions or comments relating to this policy should be referred to the Office of the Under Secretary of Defense (Policy), the Office of the Under Secretary of Defense (Comptroller), or the Office of the Director, Program Analysis and Evaluation.



Attachment

1. **Planning Documents and Data Sources**

   a. Defense Strategy

   b. Strategic Planning Guidance

2. **Programming Documents and Data Sources**

   a. Joint Programming Guidance

   b. Fiscal Guidance (when separate from Strategic Planning or Joint Programming Guidance)

   c. Program/Budget displays generated through the Program Data Requirements process

   d. POM/BES FYDP documents and associated OD, PA&E data systems such as the Defense Programming Database Data Warehouse

   e. Program Review Proposals and associated documents:
      - Issue Outlines
      - Program Change Proposals
      - Issue Papers/Briefings
      - Issue Summaries

   f. Proposed Military Department Program Reductions (or Program Offsets)

   g. Tentative Issue Decision Memoranda

   h. Program Decision Memoranda

   i. Cost Analysis Improvement Group Independent Cost Estimates

3. **Budgeting Documents and Data Sources**

   a. Component budget submissions, including:
      - Budget Change Proposals
      - Budget Estimate Submissions
      - Justification material in support of a component's submission

   b. PPBE decision documents, including:
      - Program Budget Decisions
      - Management Initiative Decisions

   c. Reports or the results of queries from the Comptroller Information System or the Procurement, RDT&E and Construction Programs systems

   d. Classified P-1, R-1, Procurement Programs, and RDT&E Programs documents

   e. DD 1414, "Base for Reprogramming Action"

   f. DD 1416, "Report of Programs"