



CHAIRMAN OF THE JOINT CHIEFS OF STAFF INSTRUCTION

J-8

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CJCSI 8501.01

1 April 1999

CHAIRMAN OF THE JOINT CHIEFS OF STAFF, COMMANDER IN
CHIEFS OF THE COMBATANT COMMANDS, AND JOINT STAFF
PARTICIPATION IN THE PLANNING, PROGRAMMING, AND BUDGETING
SYSTEM

References: Enclosure D

1. Purpose. This instruction describes participation by the Chairman of the Joint Chiefs of Staff, the commanders of the combatant commands, and the Joint Staff in the DOD PPBS process.

2. Cancellation. This instruction supersedes JCS MOP 136, 10th revision dated 22 July 1985.

3. Applicability. This instruction applies to the CJCS, the commanders of the combatant commands, and the Joint Staff. For purposes of this instruction the Commander, United States Element, North American Aerospace Defense Command (USNORAD) shall be considered a combatant command.

4. Authority. This instruction, in conjunction with CJCSI 3100.01, implements DOD Instruction 7045.7, "Implementation of the Planning, Programming, and Budgeting System (PPBS)," and DOD Directive 7045.14, "The Planning, Programming, and Budgeting System (PPBS)."

5. Policy

(a) Each Military Department, Defense agency, and US Special Operations Command (USSOCOM) are in the best position to determine its requirements for equipment and personnel needed to comply with the Defense Planning Guidance (DPG). Management of resources is considered an internal matter in consonance with the statutory responsibility of each Military Department to organize, train, equip, and

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administer its own forces. The CJCS normally will not address matters of internal organization that are the primary responsibility of the Services, but this in no way abrogates statutory responsibility of the CJCS to review major personnel, material, and logistics requirements of the Armed Services in relation to strategic and operational plans.

(b) Goldwater-Nichols legislation (Reference c) was the impetus for strengthening joint military participation in the management of DOD resources. Currently codified in Title 10 US Code, Armed Forces (Reference f) it provides the CJCS, CINCs, and the Joint Staff a greater voice in planning, programming, and budgeting.

(c) As principal military advisor to the National Command Authority (NCA) the CJCS has statutory responsibility to assist the President and SECDEF in providing for strategic planning and direction, and to provide SECDEF advice on requirements, programs, and budget priorities identified by the CINCs. CJCS mechanisms to satisfy statutory responsibilities include the JSPS, JWCA Process, JRB, and JROC which are discussed under separate instructions sited at Enclosure C. Title 10 significantly strengthens the role of CJCS, CINC, and Joint Staff participation in the decision making process for allocation of resources.

6. Scope. This instruction is limited to discussion of the role of joint military institutions in the management of resources within the Secretary of Defense's DOD PPBS process.

7. Definitions. See Glossary. For purposes of this instruction the term DOD component(s) includes Military Departments and Defense agencies. In addition to separate budget proposals for activities of the combatant commands, requests for funding SOF peculiar activities are included in the budget proposal for USSOCOM.

8. Responsibilities. See Enclosure A.

9. Summary of Changes. This revision incorporates the appropriate statutory responsibilities delineated by the Goldwater-Nichols DOD Reorganization Act, 1986 and codified in Title 10 US Code for joint military participation in the DOD PPBS.

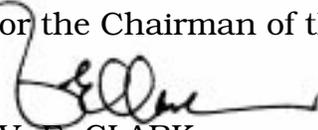
10. Releasability. This instruction is approved for unlimited public release to the SECDEF; the CINCs; the Directors, DIA, DISA, DLA, NIMA, and DTRA; the Director, NSA/Chief, CSS; the USNMR to SHAPE; the President, NDU; the Commander, JSOC; NMCC Site R; Commandant, Armed Forces Staff College, and the Services. The public may obtain copies of this instruction through the internet from the 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.

11. Revisions. Submit recommended changes to this policy to the Joint Staff J-8 Program and Budget Analysis Division, Washington D. C. 20318-8000.

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

For the Chairman of the Joint Chiefs of Staff:



V. E. CLARK
Vice Admiral, USN
Director, Joint Staff

Enclosures:

- A - - Responsibilities
- B - - Joint Participation in the Planning Programming and Budgeting System
- C - - Congressional Budget Process
- D - - References
- GLOSSARY

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ENCLOSURE A

RESPONSIBILITIES

Responsibilities. The following functions and responsibilities are identified for CJCS, CINC, and Joint Staff involvement in each phase of the PPBS process. Enclosure A describes key military member participation throughout the process.

a. Chairman of the Joint Chiefs of Staff

(1) Strategic Planning

(a) Prepare strategic plans supported by joint logistics and mobility plans, including plans that conform with resource levels projected by the SECDEF to be available for the period of time for which the plans are to be effective.

(b) Perform net assessments to determine the capabilities of the Armed Forces of the United States and its allies.

(c) Prepare and submit to SECDEF the National Military Strategy that provides advice and assistance as to the strategic direction of the Armed Forces in accomplishing national security objectives.

(d) Prepare and submit to SECDEF the Joint Planning Document (JPD) that contains the independent CINC, Military Department and Defense agency strategy, advice and recommendations for consideration in early development the DPG. (Reference b and f)

(2) Contingency Planning

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

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

(c) Establish and maintain a uniform system of evaluating the preparedness of each combatant command to carry out its missions.

(3) Advice on requirements, programs, and budgets.

(a) Acts as spokesperson for the CINCs on operational and logistics requirements of their commands.

- (b) Review the draft Defense Planning Guidance (DPG) and provide comments to the SECDEF.
- (c) Prepare and submit to SECDEF the Chairman's Program Recommendations (CPR) that provides CJCS' personal recommendations for consideration in publishing the DPG. (Reference e)
- (d) Prepare and submit to SECDEF the Chairman's Program Assessment (CPA) that provides CJCS' personal appraisal on alternative program recommendations and budget proposals for consideration in refining the defense program and budget. (Reference e)
- (e) Advise SECDEF on the extent to which program recommendations and budget proposals of the Military Departments and other DOD components for a fiscal year conform with the priorities established in strategic plans, and with the priorities established for the requirements of the combatant commands.
- (f) Submit alternative program recommendations and budget proposals for activities of the combatant commanders within projected resource levels and guidance provided by the SECDEF.
- (g) Participate as a member of the Defense Resources Board (DRB).
- (h) Advise the SECDEF on major budget issues (MBIs).
- (4) Discuss and make recommendations on CINC planning, programming, and budgeting concerns with the SECDEF, DepSecDef, and the DRB.

b. Commanders of the Combatant Commands. The CINCs have the opportunity to provide input and comment in all three phases of PPBS to ensure that their commands attain the best mix of forces, equipment, and support within fiscal constraints.

(1) Planning

- (a) Provide input to CJCS in development of NMS and JPD.
- (b) Provide input to CJCS through the JWCA process (Reference e) to assist in development of the CPR.
- (c) Provide input to the Joint Staff, at the beginning of the DPG drafting process, regarding the CINCs personal recommendations to the SECDEF for major changes to the existing DPG.

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(d) Meet with the DRB (as the board determines necessary) before the final draft DPG is provided for SECDEF signature to consider views on the adequacy of policy, strategy, forces, and resource planning guidance. (Reference b)

(2) Programming. The component commanders at Enclosure A figure A-3 are the primary interface between the CINCs and the Military Departments.

(a) Provide warfighting requirements, at a time specified by each Service, to their service components or their commands responsible for developing the CINCs contributions to each respective Military Department Program Objective Memorandum (POM).

(b) At a time and in a manner specified by the Office of the Secretary of Defense (OSD) prepare and submit an integrated priority list (IPL) to the SECDEF, DepSecDef, and CJCS that list high priority needs, prioritized across Service and functional lines with consideration of reasonable fiscal constraints. Through the IPL identify high priority needs, that require attention by the Department in developing and programming for solutions. (Reference b) In addition, within each problem area, identify suggested programs and cost estimates, within reasonable and realistic fiscal constraints, needed to solve the problem areas.

(c) Receive from the components or responsible commands feedback on status of warfighting priorities throughout the POM development process. Discuss with the components or responsible commands and Military Departments the degree to which the developing POMs are meeting the CINC's needs. (Reference j)

(d) Provide comments to the Secretary of Defense (SECDEF), the CJCS, and the Defense Resource Board on the impact of each respective Military Department, Defense agency, and USSOCOM POM on the CINCs' ability to carry out their responsibilities.

(e) Submit input to CJCS through the JWCA process to assist in development of the CPA.

(f) Independently submit issue outlines to the CJCS during the annual program review process and participate in DRB deliberations as appropriate.

(3) Budgeting

(a) Submit to the components, responsible commands, and Military Departments a budget proposal for activities of each of the combatant commands for which funding may be requested in the President's budget (Reference g). These may include:

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

(b) In addition to paragraph b(3)(a), the budget proposal of USSOCOM shall include requests for funding for development and acquisition of special operations-peculiar equipment; and acquisition of other material, supplies, or services that are peculiar to special operations activities. (Reference g)

(c) Assess and provide to SECDEF and CJCS the warfighting impact of Program Budget Decisions (PBDs).

(d) Independently raise PBD and MBI concerns with the SECDEF and the CJCS during the annual budget review process and participate in DRB deliberations as appropriate.

(4) Prepare and submit CINC quarterly reports in message format to the SECDEF and CJCS (Reference h).

c. The Joint Staff. All Joint Staff directorates participate in the different phases of the PPBS as they affect those areas for which the directorate is functionally responsible. The Director, Joint Staff directs activities of the Joint Staff related to planning, programming, and budgeting and assigns responsibility as required.

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

(a) Conducting the annual summer program review and fall budget review for CJCS.

(b) Analyzing the CINC IPLs to inform the CJCS about each CINC's most important concerns and common concerns shared across commands.

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

(d) Performing tradeoff analyses of alternative resource levels.

(e) Reviewing and commenting on PPBS documents: e.g. IPLs, DPG, PPI, POM, Issue Papers (IPs), Program Decision Memoranda (PDM), Budget Estimate Submission (BES), and PBDs and providing results and recommendations, as appropriate, to the CJCS.

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

(g) Providing program and budget analysis to support the CJCS as principal military adviser, spokesperson for the CINCs, member of the DRB, and in congressional testimony.

(h) Providing SECDEF a coordinated response on assessment of CINC quarterly reports.

(2) Independent of the formal PPBS process, the Director J-8 also serves as both the JROC Secretary and the JRB Chairman maintaining oversight of the JWCA process. The JROC links to PPBS through its framing of the CPR and CPA, which emerge from the JWCA process. (Reference e) In this context J-8 oversees development of the CPR and CPA through the JWCA process. The JWCA process and the systems contained therein are discussed in References d and e.

(3) The Directorate for Strategic Plans and Policy J-5 governs operation and policy of the CJCS Joint Strategic Planning System (JSPS). The JSPS interacts with key DOD systems that provide SECDEF supportive military advice to the DOD PPBS. The Joint Planning Document (JPD) provides early planning advice on military capabilities to the SECDEF. The JSPS and the systems contained therein are discussed in Reference i.

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ENCLOSURE B

JOINT PARTICIPATION IN DOD PLANNING, PROGRAMMING, AND BUDGETING

1. Title 10 USC. requires the CJCS to provide strategic direction and prepare strategic plans for the Armed Forces. The Joint Strategic Planning System (JSPS) is the formal means by which CJCS, in consultation with the JCS and CINCs, discharges responsibility to give strategic plans and direction to the Armed Forces. The JSPS provides for a continuous study of the strategic environment. The principal mechanism for this study is the Joint Strategy Review. Strategic direction is provided through the Chairman's Guidance (CG), Joint Vision 20XX (JVXX), and the NMS. The CG provides a common set of assumptions, priorities, intent, and critical planning factors required in the development of future strategies and plans. The Joint Vision document is a long-range vision that provides a common focal point for future planning and recommends concepts for operating within the projected security environment. Prepared in consultation with the CINCs and the JCS, the NMS conveys CJCS advice on strategic direction for the Armed Forces. The JPD supports the NMS by providing CJCS planning and broad level programming advice on military capabilities to the SECDEF early in the planning phase as the process of developing the DPG begins. The Directorate for Plans and Policy J-5 is the OPR for JSPS. Joint policy, guidance, responsibilities and functions of the JSPS are discussed in CJCSI 3100.01.

2. Title 10 U. S. C. requires CJCS to provide advice and assistance to the SECDEF in the development of written policy guidance

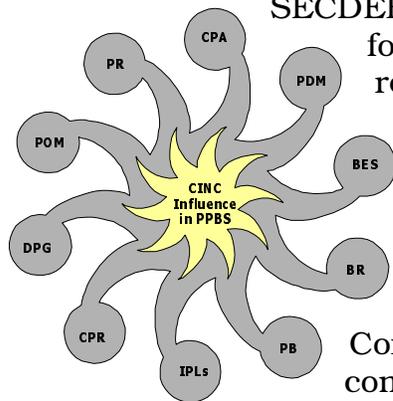


FIGURE B-1

for the preparation and review of the program recommendations and budget proposals of the DOD components. CJCS employs the JROC/JWCA process and inputs from the CINCs and Service Chiefs to help fulfill statutory responsibilities to influence programming and budget guidance and to develop joint resource recommendations. Concurrently CJCS employs the combatant commands, through daily interface with the Joint Staff, to effect continual influence in the decision making process during DOD PPBS activities (Figure B-1).

(a) The JROC/JWCA process is the Chairman's primary vehicle for obtaining a capabilities-based assessment of broad mission areas across Service lines. The JROC oversees the JWCA process and its teams of warfighting and functional area experts from the Joint Staff, combatant commands, services, OSD, Defense agencies, and others as required to conduct JWCA assessments. JWCA teams identify deficiencies and strengths in joint warfighting capabilities and make programmatic recommendations for more effective resource allocations. Once vetted through the JRB and approved by the JROC, JWCA assessments are used to assist CJCS in development of the CPR and CPA. The JROC and JRB, accompanied by JWCA team representatives, visit the CINC staffs twice each year to discuss JWCA study results that ultimately lead to proposed CPR/CPA language. After the JROC's semi-annual CINC trips, the JROC CPR and CPA recommendations to the Chairman are finalized. The CPR and CPA are produced and delivered separately from other PPBS documents. (Reference e) The Director, J-8 is the JROC Secretary and JRB Chairman maintaining oversight of the JWCA process. Joint policy and guidance on the role, organization, process interrelationships, management, and operation of the JWCA process are discussed in CJCSI 3137.01A. The Charter of the JROC is contained in CJCSI 5123.01.

(b) DOD PPBS is SECDEF's central framework and decision-making process for resource allocation structured to provide the combatant commanders with the best possible mix of forces, equipment, and support attainable within fiscal constraints. The purpose of the DOD PPBS is to plan a defense strategy that meets a threat, program resources to fit the strategy, and prepare a budget in support of these programs for the DOD. The PPBS process is based on and is consistent with objectives,

policies, and strategies derived from National Security Directives signed by the President. Figure B-2 shows the key documents that influence the PPBS flow through each phase.

(1) Planning

(a) The planning phase of the PPBS identifies threats to U. S. national security, develops a strategy to respond to those threats, and determines force requirements to support

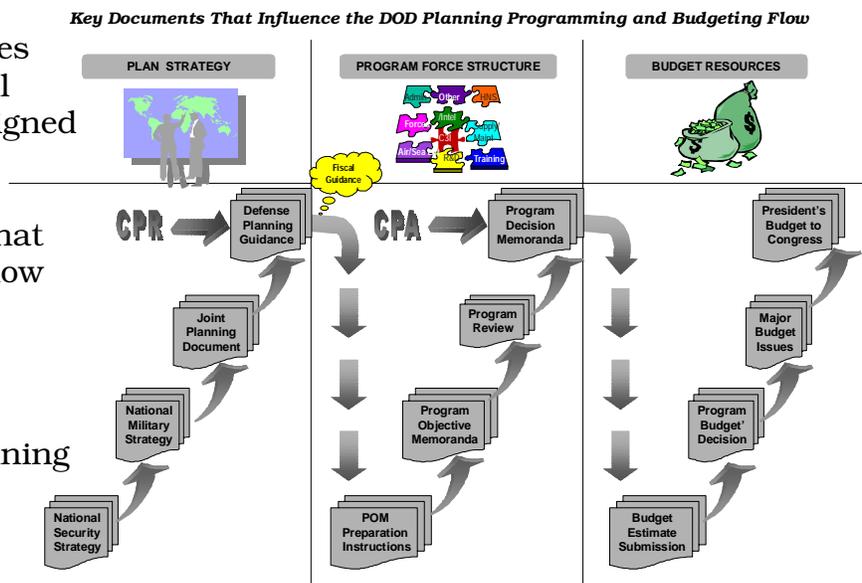


FIGURE B-2

the strategy. The CPR focuses on enhancing joint readiness and warfighting requirements, and provides CJCS' personal programming and budgeting recommendations to SECDEF for consideration when finalizing the DPG. The principal PPBS document produced in this phase is the DPG.

(b) A draft of the DPG is prepared by the Under Secretary of Defense, Program Analysis and Evaluation (USD, PA&E). The Chairman, CINCs, Service Chiefs, and OSD staff have an opportunity to review and comment on the draft DPG. The Deputy Secretary of Defense (DepSecDef) may invite the CINCs to meet with the Secretary of Defense and the DRB to discuss their recommendations on the draft.

(c) The approved DPG reflects economic constraints and management priorities and is the statement of the SECDEF on policy, strategy, and force planning. The DPG serves as the guidance document for the programming phase.

(d) The DepSecDef issues fiscal guidance (FG) to the components as topline controls for preparation of the POMs.

(2) Programming

(a) The Military Departments, USSOCOM, the Joint Staff and Defense agencies develop their proposed programs based on the guidance provided in the DPG and FG. These programs expressed in the

COMBATANT COMMAND AND SERVICE RELATIONSHIPS				
Service components will normally be responsible for interfacing CINC resource requirements with the parent Service. However, in some cases this is not practical or possible. The service components for each combatant command are identified below:				
COMBATANT COMMAND	ARMY COMPONENT	NAVY COMPONENT	AF COMPONENT	USMC COMPONENT
USCINCCOM	FORSCOM	LANTFLT	ACC	MARFORLANT
USCINCCENT	FORSCOM	NAVCENT	CENTAF	MARFORPAC
USCINCSpace	US ARMY SPACE	USN SPACE	AF SPACE	USN SPACE
USCINCSO	US ARMY SOUTH	LANTFLT	ACC	MARFORLANT
USCINCEUR	USAREUR	USNAVEUR	USAFE	MARFOREUR
USCINCPAC	USARPAC	PACFLT	PACAF	MARFORPAC
USCINCSTRAT	N/A	PACFLT/LANFLT	ACC	N/A
USCINCTRANS	MTMC	MSC	AMC	N/A
USCINCSOC	USASOC	NAVSPECWARCOM	AFSOC	N/A

FIGURE B-3

commands for incorporation into POMs (Figure B-3). The CINCs prepare a separate list of its higher priority needs in the form of an Integrated Priority List (IPL), prioritized across Service and functional lines and with consideration of reasonable fiscal constraints. The IPLs are submitted to the SECDEF, DepSecDef, and Chairman. The Joint Staff highlights CINC concerns and analyzes the common concerns across commands. The CINCs programmatic requirements are submitted at a time specified

POMs, reflect systematic analysis of missions and objectives to be achieved, methods to accomplish them, and allocation of resources to each. Each combatant command provides their warfighting requirements to its Service components or designated responsible

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by the Services in coordination with the CINCs to ensure their orderly inclusion into the Services' POM submission.

(b) The CPA is submitted to the SECDEF after the submission of DOD component and USSOCOM POMs. The CPA provides the advice of the Chairman, taking into consideration the views of the CINCs, on the balance and capabilities of the composite Service POMs to achieve the national military strategy and outlines the risks inherent in those force capabilities.

(c) Following a staff review of the POMs, DRB members and CINCs submit potential issues to OSD for consideration by the DRB. Selected issues are subsequently developed in detail. The Joint Staff participates in the development of the issues by either leading an issue team or by providing a member to an issue team. During the program review the DRB meets to discuss issues in detail and to recommend solutions to the issues to the SECDEF.

(d) A special DRB session*, if scheduled, at the start of the POM review process will allow the CINCs to present their views on the POMs and review selected issues that have been designated of general interest to the CINCs. (Reference b) In addition, appropriate CINCs may be invited to attend the DRB meetings when the issues they have raised are considered.

(e) After all DRB discussion has taken place, the DepSecDef makes a preliminary decision on each issue. After consultation with the SECDEF, final decisions are documented in a PDM to the DOD Components. PDMs are the directive communiqués approving POMs as modified by the DepSecDef approved positions on the issues. Issuance of the PDM provides the basis for the start of the budget phase of the PPBS.

(3) Budgeting

(a) The budgeting phase establishes the final estimated costs for the DOD part of the President's budget. The Military Departments, USSOCOM, and Defense agencies apply a strict costing to the estimates in the POMs as modified by the PDMs, to develop their budget estimate submissions (BES). After USD Comptroller receives the BESs, they conduct a joint OSD/OMB review and hearings. Generally, hearings are conducted with program element monitors or their representatives. Other concerned parties normally also attend to ensure the Services'

* A CINC DRB session may also be conducted near the end of the program review as needed.

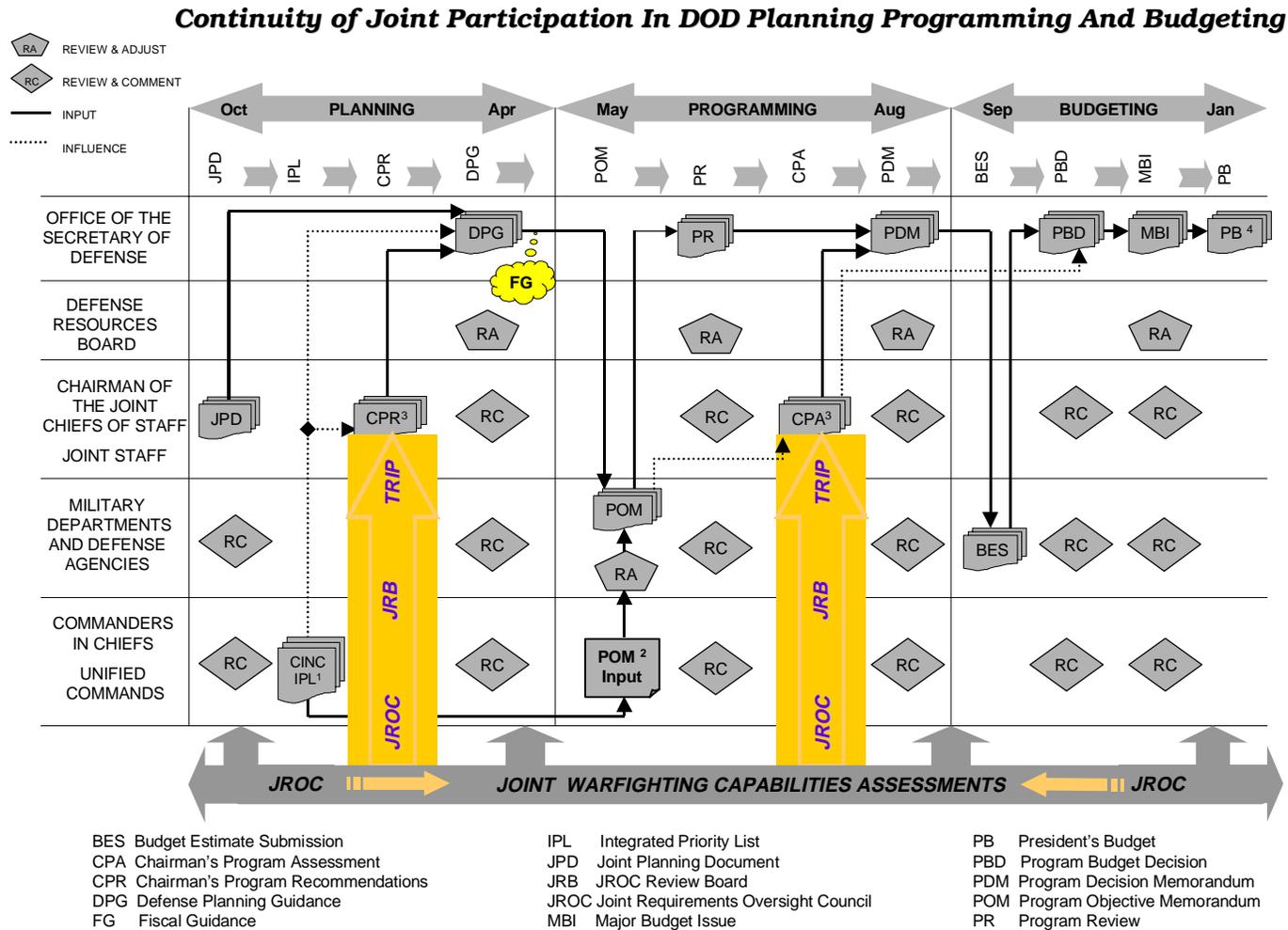
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perspective in programs and funding are understood. Recommendations are made to the DepSecDef (or USD Comptroller if the decision is uncontested on the OSD staff) by the OSD and OMB staffs. Decisions are transmitted by program budget decisions (PBDs) to the DOD components concerned. The Joint Staff and the CINC staffs receive all PBDs issued by OSD.

(b) The Joint Staff, in conjunction with the CINCs and the Services, analyzes PBDs for warfighting impact. In the case where the PBDs are draft and unsigned, the Joint Staff provides an assessment of the impact and recommends a response to OSD, signed by the Chairman or the Chairman-designated representative in J-8. The DepSecDef or USD, Comptroller may either sustain or modify the PBD as decisions rendered in signed PBDs. If the signed PBD is not adequately funded by modification, the Chairman or the Service may take this budget issue to the DRB or the DepSecDef for resolution as an MBI. MBIs are limited to those few items USD(C), the Service Secretaries, and the Chairman with consideration of the views of the CINCs, feel most strongly about. The DRB may review the MBIs and make recommendations to the SECDEF. The SECDEF or the DepSecDef may decide, however, to meet individually with the Chairman or the Service Secretaries to discuss the budget issues. All final decisions are transmitted to the DOD components through PBDs. All final budget decisions are compiled into the DOD input to the President's Budget to Congress.

3. The Chairman advises SECDEF on the extent to which program and budget proposals of the DOD components conform to warfighting requirements. Joint military institutions provide continuous input, coordination, and influence in shaping the DOD PPBS (Figure B-4). This may include drafting the DPG, providing input to the POMs, participation in program and budget reviews, and ultimate development of the Presidents' budget. The CINCs are full participants in the JWCA annual cyclic process. After the JROC's semiannual CINC trips, the JROC CPA and CPR recommendations to CJCS are finalized using inputs received from the CINCs. The actual timing of the process output milestones is established annually to ensure that the CPR and CPA are completed in time to influence the DPG and PDM respectively. The JWCA process is informally connected to the PPBS cycle through the CPR input to the DPG and the CPA input to the PDM. (Reference e) JSPS, PPBS, and CINC issues are sources for potential JWCA assessments.

4. PPBS information on budget formulation, presentation, and execution is contained in References k and l. DOD PPBS reference documents can be accessed from website -- <http://www.defenselink.mil>



¹ IPLs provide SECDEF visibility on key problem areas during planning; however, IPLs are the CINCs principal programming document that serves as the basis for developing CINC annexes to the POM.

² Submission to components is determined by each Service.

³ The CPR and CPA are the Chairman's "personal" correspondence to the Secretary of Defense. The JROC CPR and CPA recommendations to CJCS are finalized after the JROC's semi annual CINC trips, using the inputs received from the CINCs. Actual timing of the process output milestones is established annually to ensure that the CPR and CPA are completed in time to influence the DPG and PDM respectively. (Ref E)

⁴ CJCS considers results of the PB released in Feb when finalizing 1 March CPR advice to SECDEF.

FIGURE B-4

ENCLOSURE C

THE CONGRESSIONAL BUDGET PROCESS

1. The Congressional Budget Process (Figure C-1), though not a part of PPBS, is the legislative mechanism whereby Congress authorizes programs and appropriates funds requested in the budget. The President submits the executive budget to Congress on the first Monday in February, about 8 months before the fiscal year starts on October 1st.

The Congressional Budget Process

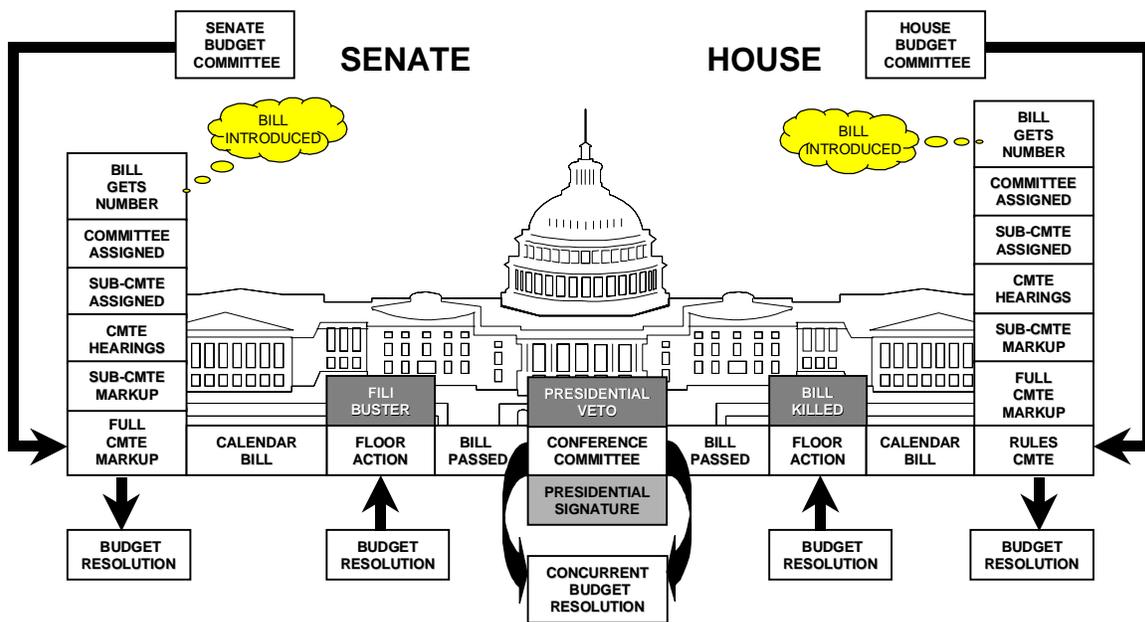


FIGURE C-1

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

(a) When both chambers pass the conference report it becomes the concurrent budget resolution. The House and the Senate should produce

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a conference resolution by April 15th of each year. The concurrent budget resolution is a self-governing document within the Congress and does not go to the President for signature.*

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

3. Committee/Subcommittee. When a committee favors a measure they solicit DOD for written comments on the measure.

(a) Hearings are conducted to gather information and views from DOD officials. Committees receive testimony from SECDEF, CJCS, CINCs, Services Secretaries and other officials. Witnesses summarize submitted statements and respond to questions from Members. The primary defense oversight committees that conduct hearings are the Senate Armed Services Committee (SASC), the House Armed Services Committee (HASC), the Senate Appropriations Committee, Subcommittee on Defense (SAC-D), and the House Appropriations Committee, Subcommittee on Defense (HAC-D). Several other committees and subcommittees may also conduct hearings. After testimony witnesses may be required to respond in writing to additional questions for the record.

(b) Committees assess contents of the Defense bills during markup in the Mar-May timeframe. The committee meets to perfect the measure through amendments. DOD sometimes attempts to influence the language. When language is agreed upon the committee sends the measure back to the chamber with a committee report describing its purposes and provisions and the work of that committee. Markup may result in the committee acting on amendments, proposing language provisions, inserting new sections or phraseology, or adjusting funding provisions.

4. DOD Appeals. Under the purview and guidance issued by the USD (Comptroller), DOD prepares formatted appeals to language and/or funding provisions contained in House and Senate versions of each bill. Appeals may occur following markup. Additionally, appeals may occur following floor debate in anticipation of influencing conference action on the bill.

* The Congressional Budget Act as amended requires the Congress to complete action on a concurrent resolution on or before April 15th of each calendar year for the fiscal year that begins on October 1st.

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

(b) The White House view on a House or Senate passed bill is either a letter or a Statement of Administration Policy (SAP). A SAP states the administration's views on a piece of legislation in various stages of consideration by congress.

(c) DOD influence on bills is advanced in several ways: through phone calls and visits with congressional members and staff; a SECDEF letter of the content set through meetings and coordination; and appeal packages with several one-page rebuttals to provisions in a defense bill.

(d) The Office of Management and Budget (OMB) must clear all written DOD communications to congress on legislation.

5. Congressional Votes. After conducting a formal vote on passage of the bill out of committee, the committee chairperson signs the bill. The bill is forwarded to the full Senate or House for floor debate (amendments, riders, etc.) with the ultimate goal of passage.

6. Conference. The House and Senate must both pass the bill before sending it to the President to sign into law. The conference is a meeting between both chambers to reconcile differences on provisions of their bill. Majority managers in each chamber must reach agreement before a conference report is considered. The approved conference report is forwarded to the President for signature.

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

(a) The President may veto a bill within 10 days after receipt (excluding Sundays) when Congress is in session. A pocket veto occurs if the President withholds approval after Congress adjourns. A bill can become law after congress overrides a presidential veto by a two-thirds vote in each house. The law giving the President "line item" veto authority was declared unconstitutional.

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

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

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

9. Budget Review and Audit. DOD is responsible for ensuring obligations incurred and resulting outlays adhere to congressional legislation. OMB appraises program and financial reports and keeps abreast of DOD efforts to attain program objectives. GAO regularly audits, examines, evaluates DOD programs, and may report to Congress its findings.

10. Websites* for Congressional Reference Documents.

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

* Quotation marks are intended for illustrative purposes only and should not be construed as part of the website address.

ENCLOSURE D

REFERENCES

- a. DODD 7045.14 22 May 1984 “The Planning, Programming, and Budgeting System (PPBS).”
- b. DODI 7045.7 23 May 1984 “Implementation of the Planning, Programming, and Budgeting System (PPBS).”
- c. Public Law 99-433 1 Oct 1986 “Goldwater-Nichols Department of Defense Reorganization Act of 1986.”
- d. CJCSI 5123.01 Series “Charter of the Joint Requirements Oversight Council.”
- e. CJCSI 3137.01 Series “The Joint Warfighting Capabilities Assessment Process.”
- f. CJCSI 3100.01 1 Series “Joint Strategic Planning System.”
- g. Title 10 US Code, Armed Forces amended through 31 December 1998.
- h. JCS MOP 136, 10th revision, 22 July 1985 “JCS, CINC, and OJCS Involvement in the Planning, Programming, and Budgeting System.” (hereby cancelled).
- i. CJCSI 3001.01A Series “CINC Quarterly Reports to the SECDEF.”
- j. DODD 5100.1 25 Series “Functions of the DOD and Its Major Components.”
- k. DODI 7000.14-R Volume 2 “Budget Formulation and Presentation.”
- l. DODI 7000.14-R Volume 3 “Budget Execution – Availability and Use of Budgetary Resources.”

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GLOSSARY

PART I -- ACRONYMS AND ABBREVIATIONS

BES	Budget Estimate Submission
BR	Budget Review
CPA	Chairman's Program Assessment
CPR	Chairman's Program Recommendations
CRA	Continuing Resolution Authority
DPG	Defense Planning Guidance
DRB	Defense Resources Board
FG	Fiscal Guidance
FYDP	Future Years Defense Program
IP	Issue Paper
JPD	Joint Planning Document
JROC	Joint Requirements Oversight Council
JRB	Joint Requirements Oversight Council Review Board
JSPS	Joint Strategic Planning System
JSR	Joint Strategy Review
JWCA	Joint Warfighting Capabilities Assessment
MBI	Major Budget Issue
NMS	National Military Strategy
PPBS	Planning, Programming, and Budgeting System
PPI	Program Objective Memoranda Preparation Instructions
PBD	Program Budget Decision
PDM	Program Decision Memoranda
POM	Program Objectives Memoranda
PR	Program Review
PRG	Program Review Group
SAP	Statement of Administration Policy

PART II – TERMS

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

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

Budget Estimate Submission (BES). Budget estimates prepared and submitted by DOD components and USSOCOM to OSD based on the program as approved in the PDMs, economic assumptions, pay and pricing policies, and congressional adjustments.

** Chairman's Program Assessment (CPA). CJCS' personal advice to the SECDEF on conformity of the POM to established priorities in strategic plans and requirements of the combatant commanders. Additionally, the CPA contains alternative program recommendations and budget proposals from the Chairman. (Reference e)

** Chairman's Program Recommendations (CPR). CJCS' personal memorandum containing recommendations for the Secretary of Defense's consideration as the DPG is completed. (Reference e)

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

Defense Planning Guidance (DPG). This document, issued by the SECDEF, provides firm guidance in the form of goals, priorities, and objectives, including fiscal constraints, for the development of the Military Departments, Defense agency, and USSOCOM POMs.

Defense Resources Board (DRB). The primary forum to provide the DepSecDef the opportunity to receive advice and recommendations of senior advisors on planning, programming, and budgeting matters and to develop stronger links among national security policy, military strategy, and the resources allocated to specific forces and programs. DRB Structure: Chair – DepSecDef; Vice Chair – CJCS; Executive Secretary – Director, PA&E; Members – USD(A&T), USD(P), USD(C), USD(P&R),

ASD(C³I), VCJCS, Service Secretaries, and others as appropriate. The Service Chiefs are always invited to support Service Secretaries.

Fiscal Guidance (FG). The SECDEF's topline fiscal control provided to each of the service and components for use in preparing their POMs.

Future Years Defense Program (FYDP). The official document and database that summarizes forces and resources associated with DOD programs. The FYDP is updated and published at least three times during an annual PPBS cycle to coincide with submission of the POM, BES, and PB.

Integrated Priority List (IPL). Formal communication to the SECDEF from the combatant commanders on their high-priority operational requirements, shortfalls, and specific concerns. IPLs are also furnished to CJCS and the Services.

Issue Papers (IPs). Based on review of the POMs [in relation to the DPG and CPR] major issues are outlined and developed by the OSD staff, DOD components, OMB, CINCs, and the Joint Staff that have broad policy, force, program or resource implications.

Joint Planning Document (JPD). A stand-alone document that supports the National Military Strategy by providing planning and broad level programming advice on military capabilities to the SECDEF for consideration during early preparation of the DPG.

** Joint Requirements Oversight Council (JROC). An advisory council to the CJCS to provide assistance in: identifying and assessing the priority of joint military requirements and acquisition programs to meet the national military strategy, considering alternatives to any acquisition program that has been identified to meet military requirements, and assigning joint priority among existing and future major programs meeting valid requirements identified by the combatant commands, services, and other DOD agencies. (Reference e)

** Joint Requirements Oversight Council Review Board (JRB). A flag officer board established by the JROC to assist the JROC in carrying out its duties and responsibilities. (Reference e)

* The Joint Staff (TJS). The staff under the Chairman of the Joint Chiefs of Staff as provided for in the National Security Act of 1947, as amended by the Goldwater-Nichols Department of Defense Reorganization Act of 1986. The Joint Staff assists the Chairman and, subject to the authority, direction, and control of the Chairman, the other members of the Joint Chiefs of Staff and the Vice Chairman in carrying out their responsibilities.

* Joint Strategic Planning System (JSPS). The primary means by which the Chairman of the Joint Chiefs of Staff, in consultation with the other members of the Joint Chiefs of Staff and the combatant commanders, carries out his statutory responsibilities to assist the President and the SECDEF in providing strategic direction to the Armed Forces; prepares strategic plans; prepares and reviews contingency plans; advises the President and SECDEF on requirements, programs, and budgets; and provides net assessment on the capabilities of the U. S. Armed Forces and its allies.

** Joint Warfighting Capabilities Assessment (JWCA). An annual cyclic process of appraising joint warfighting capabilities and requirements for the JROC. Assessments provide recommendation for JROC consideration. Recommendations once vetted with the CINCs are forwarded to CJCS for consideration for inclusion in the CPR or CPA, which are the Chairman's personal correspondences to the SECDEF. (Reference e)

Major Budget Issues (MBIs). After review of tentative budget decisions, these are issues identified by the DOD components that are serious enough to warrant a major issue meeting with the SECDEF. Subsequently, MBI decisions are announced in changes to the PBDs. (Reference b)

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

Planning, Programming, and Budgeting System (PPBS). A system based on a cyclic decision-making process with three distinct but interrelated phases of planning, programming, and budgeting.

POM Preparation Instructions (PPI). The OSD manual that provides DOD components instructions for preparing the POMs. It reviews the data submission and documentation requirements, discusses administrative procedures, and describes the production and distribution process. The PPI supplements the guidelines on program content and size found in the DPG and FG.

President's Budget (PB). The document sent to Congress by the President early each calendar year estimating government revenue and expenditures for the ensuing fiscal year.

Program Budget Decisions (PBDs). Decision documents signed by the SECDEF or the DepSecDef that address resource implications in the budget request as a result of the Joint OSD/OMB review of the BESs.

Program Decision Memoranda (PDMs). A set of documents within which DRB program review decisions are recorded, signed by the SEDEF or DepSecDef, and issued to the services and DOD components. The PDMs are the basis for the budget estimate submission.

Program Objectives Memoranda (POM). Recommendation of the DOD components to the SECDEF on the allocation of resources for proposed programs to achieve assigned missions and objectives. Proposed programs are consistent with the strategy and guidance stated in the DPG and constrained by FG.

Program Review Group (PRG). The subordinate working group to the DRB that prepares the agenda, papers, and briefing materials for the Board's deliberations.

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

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

NOTE: Above terms [Except those marked "**"] are not standardized within the Department of Defense for inclusion in Joint Pub 1-02, the DOD Dictionary of Military and Associated Terms, and are applicable only in the context of this document.

** As defined in CJCSI 3137.01 22 January 1999 "The Joint Warfighting Capabilities Assessment Process."