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DEFENSE NUCLEAR AGENCY

The attached documents were prepared by the Defense Nuclear Agency for the Carter-Reagan Transition Team. Certain portions of the DNA transition briefing book are currently and properly classified within the meaning of Executive Order 12065 and are, therefore, exempt from release under 5 USC 552(b)(1) and (3). The recommendations on page 4, 5, 9, 27 and 32 of the document are considered to be "internal advice, recommendations, and subjective evaluations, as contrasted with factural matters," and are exempt from release under 5 U.S.C. 552(b)(5). Page 6 of the document describes the actions being taken by DNA and the Navy in connection with on-going litigation and is exempt under 5 USC 552(b)(5).

The Initial Denial Authority for DNA is RADM G. H. B. Shaffer, Deputy Director, Operations and Administration. Appeals may be addressed to Lt. Gen. Harry A. Griffith, Director, DNA.

Defense
Nuclear
Agency

briefing book

TRANSITION

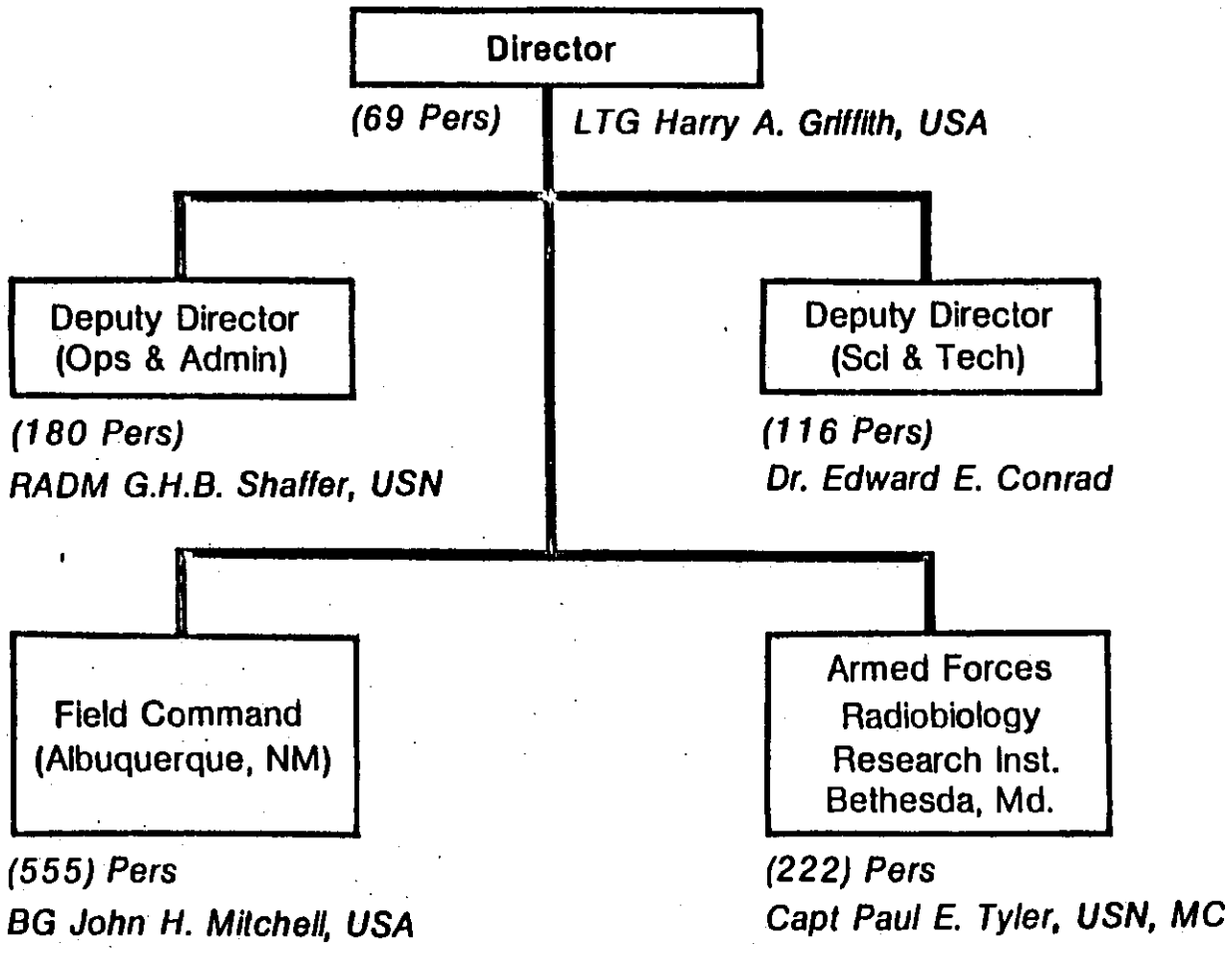
dna

MAJOR DNA FUNCTIONS

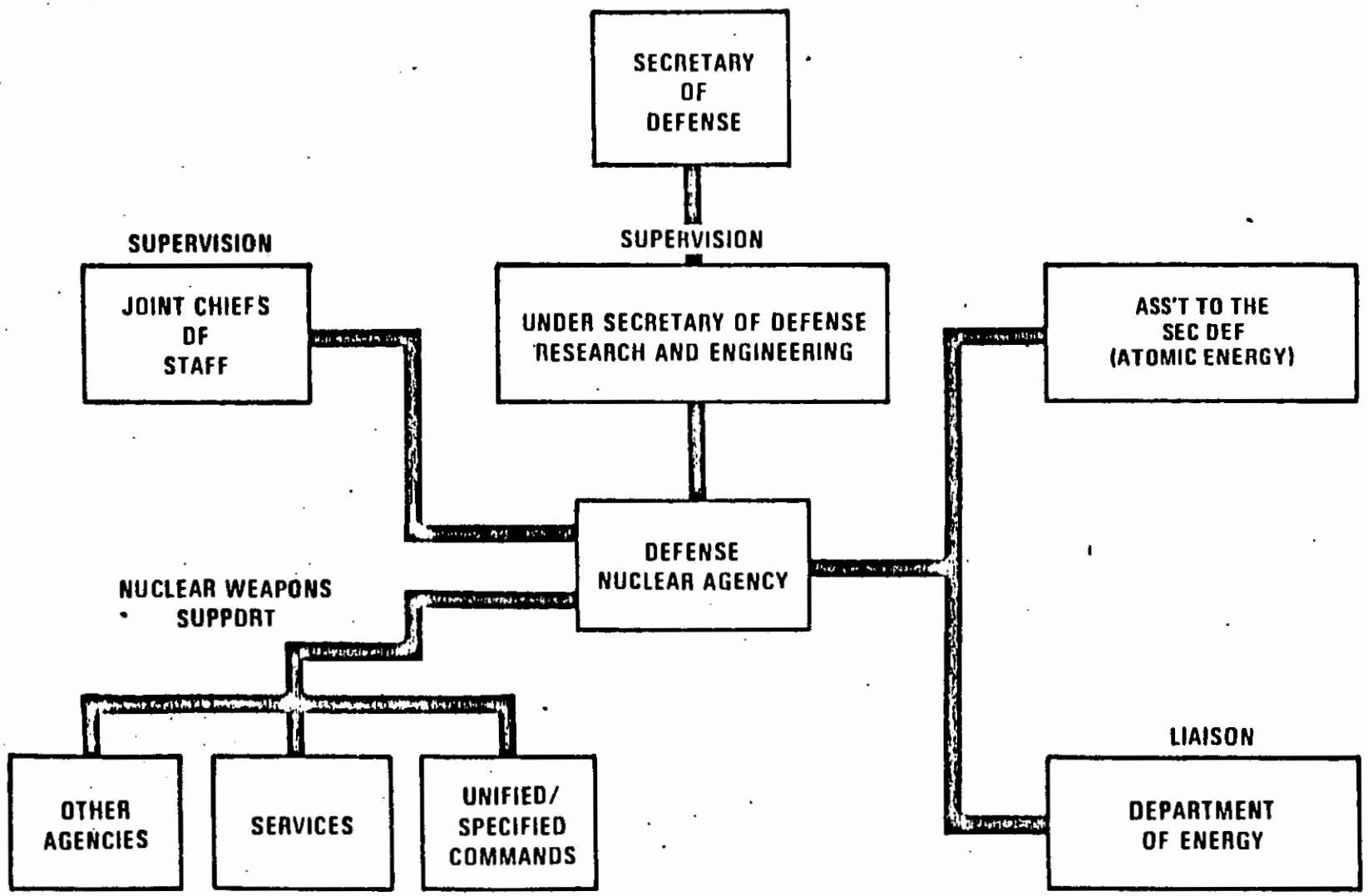
- Conduct R&D in nuclear weapon effects:
  - Underground nuclear tests
  - High explosive tests
  - Pulse-power machines
  - Simulation experiments
  - Computer codes
- Carry out all radiobiology research for DoD
- Develop:
  - Effectiveness of nuclear weapons (ours and theirs)
  - Vulnerability and hardening of systems, forces, C^3, etc.
  - Strategy and tactics for weapons use
  - Design inputs for U.S. systems
  - Targeting procedures, aids, etc.
  - Survivability of TNF
- Manage nuclear weapons stockpile
- Oversee nuclear weapons security
  - DoD Security Manual
  - Defense Nuclear Surety Inspections
  - Management of physical security
  - Terrorism/counterterrorism
  - Disable/Destruct
  - Overseas NEST
  - Security of TNF
- Provide advice/assistance on all nuclear weapon issues to all DoD components
- Execute specific nuclear weapon responsibilities:
  - National "Readiness to Test" program (Safeguard C)
  - JAIEG (Joint Atomic Information Exchange Group)
  - Nuclear Test Personnel Review
  - Ionizing Radiation Health Effects
  - Comprehensive Test Ban
  - Enewetak radiological cleanup
  - Nuclear Weapons Accident Exercises
  - JNACC (Joint Nuclear Accident Coordination Center)
  - Liaison with DoE

Defense Nuclear Agency

(1142 Pers; 44% Mil, 56% Civ)



DNA RELATIONSHIPS



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1. SUBJECT: Level Funding of the DNA RDT&E Program.

2. BACKGROUND: During FY 1977-80, the DNA RDT&E program has been essentially level funded at just under $200M in constant FY 1981 dollars. During that same period, DNA has assumed additional responsibilities, which require significant fiscal resources. Examples of these additional tasks are the Satellite X-Ray Test Facility (SXTF) program, the DoD Theater Nuclear Forces Survivability, Security, and Safety ($TNFS^3$) program, the Nuclear Test Personnel Review (NTPR) effort, an assessment of electromagnetic pulse (EMP) effects on tactical aircraft, support of a Navy nuclear weapon effects assessment effort, and a Pacific Command (PACOM) theater nuclear force survivability/vulnerability assessment. Years of level funding coupled with additional taskings have resulted in a major reduction of the Agency's basic nuclear weapon effects technology effort.

3. CURRENT STATUS: The added program efforts must continue in FY 1981 and for the foreseeable future. The DNA RDT&E submission for FY 1981 is $203M. Recently, Decision Package Set (DPS) #212 reduced DNA's FY 1982 submission from $240M to $232M (reclama submitted).

4. ALTERNATIVES:

a. Continue Near Constant Dollar Level Funding. Accept a continued decline in basic research on nuclear weapons effects to respond to the critical new R&D responsibilities.

b. Provide 5% (or more) Real Growth. Restoration of the DNA FY 1982 submission level of $240M would provide 5% real growth in that year. This level would restore some of the nuclear weapon effects technology base, as well as provide continued support of the SXTF, $TNFS^3$, NTPR, and the other critical efforts and would represent an initial step toward reversing a serious, adverse trend.

5. RECOMMENDATION:

Exemption 5

1. (U) SUBJECT: Underground Nuclear Testing

EXEMPTIONS 1 and 5.

Defense Nuclear Agency
Budgetary Summary
As of November 1980

($'s in Thousands)

	FY 1981	FY 1982
Research, Development, Test and Evaluation (6.2 Exploratory Development)	$203,000	$240,000
Military Construction (in support of RDT&E)	0	500
Operations and Maintenance	30,323	34,000
Procurement	1,632	2,000
Total Obligational Authority	$235,055	$276,500

	(Manpower in Units)	
Manpower Summary:		
Military Personnel (all Services)	504	516
Civilians (US Direct Hire)	638	641
Total Manpower Authority	1,142	1,157

1. SUBJECT: Emergency Disablement System (EDS)

2. BACKGROUND:

The Emergency Disablement System (EDS) renders nuclear weapons unusable on short notice. It was developed as an alternative to violent Emergency Destruction (ED) to prevent terrorist or host nation seizure of nuclear weapons. EDS was envisioned initially as a command initiated "strap on" device. This concept has evolved to an internal, command enabled, intruder activated, timer initiated system. From Dec 74 to Apr 75, USCINCEUR conducted an operational evaluation of 95 emergency disablement "strap on" devices. The final report resulted in a JCS request for a EUCOM Statement of Requirements, which was subsequently submitted and approved in June 76.

- The USAF was lead agency in developing EDS from June 1976 until November 1979 when responsibility was transferred to DNA. The reason for changing lead agencies was to balance the cost and effectiveness of EDS against other projects in Theater Nuclear Forces Survivability, Security and Safety ($TNFS^3$). The EDS Project Officer Group met six times from fall 1976 through summer 1978. During that time, the concept of Employment and Military Characteristics were approved and published.

3. CURRENT STATUS:

- Changes in concept, software and hardware requirements resulted in a loss of program momentum. Initial RD&T fiscal allocations have been exhausted, and Sandia Laboratories, Albuquerque terminated funding in March 1980. The Services no longer budget for EDS as a separate item although funds are available from allocations for more general categories.

- USEUCOM has been advised that the original development cycle is concluded, and that three EDS actions are being pursued: compendium of documents on options and costs, development of Intruder Detection System (proof of concept model), and DoE assessment of disablement effectiveness.

4. ALTERNATIVES/RATIONALE:

- Original USCINCEUR support of EDS has not changed.

- The low priority of the program among the Services is reflected by their lack of fiscal support.

1. (U) SUBJECT: Magazine Penetration Delay (also known as Weapon Access Delay System).

Exemption 1

3. (U) CURRENT STATUS: Currently the Army, under the management of Project Manager - Nuclear Munitions and with funds primarily from DNA, is developing experimental magazine penetration delay concepts and equipment. Two magazine penetration delay systems are scheduled to undergo user feasibility tests in Europe beginning in Summer 1981. Concurrently, adversary testing will be ongoing in the U.S.

4. (U) ALTERNATIVES/RATIONALE: Prior to Summer 1980, little attention had been paid to magazine penetration delay, thus funds had to be taken from other programs for the FY 81 effort. Most of the funds being used by the Army during FY 81 are DNA 6.2 RDT&E dollars. The normal equipment development process may take 3-5 years before magazine penetration delay devices are installed at nuclear weapon storage sites. High priority effort would take less time. USAREUR AOs have also expressed the possibility that a NATO infrastructure R&D process may be used in order to meet NATO requirements for security equipment.

Exemption 5

(U) C^3I. (Approximately 20 percent of DNA's annual TOA.)

Exemption 1

(U) High-altitude detonations would create continent-sized propagation disturbances that could negate or severely degrade satellite communications. DNA investigations of natural ionospheric disturbance, using a dedicated satellite and research radars, and of nuclear simulation, using high-altitude releases of barium, have led to the capability to predict nuclear disturbances and their impact. Propagation models test current satellite communications links, design future links, and develop mitigation schemes.

(U) DNA will continue theoretical and experimental effort to examine techniques to improve the performance of infrared surveillance, "adaptive HF," and VLF radio systems in nuclear environments and to mitigate nuclear effects on propagation at all frequencies.

(U) Significant portions of DoD communication needs are supplied by long-haul communication systems. We are concentrating on the EMP threats from high-altitude nuclear explosions because of their potential for causing widespread loss of communications. Our efforts have been directed not only toward understanding the response of communications networks and facilities, but also toward developing the methodologies to correct the identified problems.

Exemption 1

(U) We are continuing to address the satellite hardening issues comprehensively and with a financial commitment consistent with both the magnitude of the technical issues and the importance of satellite system survivability to national defense. The objectives of our RDT&E program are to improve our analysis and prediction capability, to develop test techniques for evaluating hardening solutions and, most importantly, to demonstrate the hardness of protected satellites.

(U) Strategic Systems. (Approximately 19 percent of DNA's annual TOA.)

(U) DNA is providing significant support to the Air Force in the development of MX, contributing directly to establishing system requirements and developing the technical data base to ensure adequate nuclear survivability. DNA support includes the missile system itself, the various basing concepts, and the supporting C^3. Included in this effort are nuclear threat environment and hardness issues relative to the Low Altitude Defense System (LoADS). Extensive tests of MX/LoADS components will be conducted in dust, thermal, and X-ray environments.

(U) The MINERS IRON underground nuclear test--executed in October 1980--will provide important data on the X-ray response of a number of candidate materials for protection of the motor cases, interstages, and other external booster components. In addition, DNA is developing shielding materials which can provide greater resistance to erosion due to nuclear-lofted dust and ice during flyout.

(U) DNA is continuing to develop data to evaluate the hardness and survivability of the various MX basing options. While primary emphasis is on the horizontal shelter concept, we are continuing to investigate nuclear weapons effects issues pertinent to other options such as the vertical shelter. We are placing emphasis on quantifying and, where feasible, reducing the uncertainties associated with specific nuclear weapons effects which threaten the survival of the system. DNA will develop step-by-step guidelines to assist field engineers in understanding nuclear effects and in applying technology tools (including codes and simulators) to achieve a system design which is inherently hard.

(U) In support of future U.S. strategic systems, we conduct an advanced reentry vehicle technology program. This program provides methods for improving survival from an enemy anti-ballistic missile (ABM) encounter and from fratricide among our own warheads (i.e., the effects of one burst interfering with another arriving warhead). This is accomplished by evaluating the effect of nuclear-weapon-created radiation and dust/debris environments on U.S. reentry vehicles, exploring protective shield concepts, and verifying hardness using underground, laboratory, and field tests. An example is the testing of candidate fuze systems for dust hardness in support of Advanced Ballistic Reentry Systems (ABRES) programs.

(U) In addition, we are supporting the Air Force hardness assessment of the B-52 by improving airblast and thermal analytical methods and conducting field experiments. Our Advanced Aircraft Assessment and Protection program includes threat-level EMP investigation of advanced electronics of the B-52. In addition, DNA has been tasked by the Deputy Under Secretary for Strategic and Space Systems to take the lead in developing a unified position on EMP hardening technology and to work in conjunction with the Air Force in bringing about a joint technology program for hardening of strategic systems, particularly aircraft.

Exemption 1

(U) We are also supporting the planning for effective employment of strategic nuclear weapon systems. The major part of this effort is a research program to: (1) examine and evaluate alternative ways that our strategic nuclear weapons might be employed in a wide range of conflicts; (2) identify installations and activities that would be targeted in these employment options; and (3) determine the nature and level of damage that must be inflicted by our nuclear forces to achieve national goals.

Theater Nuclear Warfare. (Approximately 17 percent of DNA's annual TOA.)

The DNA theater nuclear program has made major contributions to the development of theater nuclear force modernization, planning and employment capabilities, and improved doctrinal concepts. The program features direct, rapid response to operational commanders' needs and to direction by OSD and the JCS. Further, DNA theater nuclear programs assist in strengthening the effectiveness of the NATO triad and U.S. strategic objectives through increased emphasis on deterrence by targeting Soviet projection forces.

Examples of ongoing efforts include:

-- The SecDef requested DNA participation in a study to determine what would be required to hold the Warsaw Pact Second Echelon divisions at risk; EUCOM/SHAPE have concurred that a DNA developed concept is relevant and achievable.

-- PACOM has requested DNA support in conducting a net assessment of U.S./Soviet vulnerabilities in the Pacific Theater with a major effort to support a Pacific Command Theater nuclear warfare improvement program.

-- The SecDef requested DNA manage a DoD Theater Nuclear Forces Survivability, Security and Safety ($TNFS^3$) program which will identify essential elements of the TNF, validate technological, procedural, and operational improvement by test, exercise, and evaluation, and recommend appropriate improvements to provide TNF safety and security against possible sabotage and terrorist attacks and survivability in combat.

-- The CNO Executive Panel requested DNA assistance in an assessment of Navy policy for maritime theater nuclear warfare (MTNW) and the capability to implement that policy should deterrence fail. Present research efforts are focused on the technological alternatives offering the greatest leverage to improve Navy MTNW posture in the near- to mid-terms.

Theater nuclear force doctrine, together with employment planning concepts and capabilities, are evolving dynamically as exemplified above. DNA is playing a major role in that evolution.

Underground Nuclear Testing. (Approximately 13 percent of DNA's annual TOA.)

Because the capability to simulate nuclear detonations has limitations, our underground nuclear weapons effects test program remains a cornerstone of the DNA RDT&E effort to ensure nuclear hardness. This program consists of a comprehensive series of nuclear test events designed to obtain vital experimental information required to meet program objectives. Experiments are limited to those requirements which cannot be satisfied by simulation techniques. Specifically, we continue to rely on underground nuclear testing to provide design data and to validate the nuclear hardness of systems such as satellites, strategic missiles, and reentry vehicles. In addition, certain weapon environment information such as source-region EMP and cratering derives only from underground nuclear tests. Recent tests include HURON KING, conducted on 24 June 1980, and MINERS IRON, conducted on 31 October 1980. HURON LANDING is scheduled for execution during FY 1982. The HURON KING test exposed a full-size, operating, simulated spacecraft (called STARSAT) to X-rays to examine vulnerabilities. MINERS IRON evaluated the X-ray vulnerability of components of the MX missile, Advanced Ballistic Reentry Vehicle (ABRV), Advanced Maneuvering Reentry Vehicle (AMaRV), and other systems. HURON LANDING will evaluate, in a simulated exoatmospheric environment, components of the MX, ABRV, and Low Altitude Defense Systems.

Aboveground Simulation Testing. (Approximately 8 percent of DNA's annual TOA.)

In addition to underground nuclear testing, DNA pursues an extensive nuclear weapons effects simulator program. These simulators can test components repetitively--and, in some cases, full systems--more cost-effectively than underground testing. The continuing development of simulators reduces the need for underground nuclear testing--although it must be emphasized that, for the foreseeable future, certain tests can only be done underground. The simulation program consists of three areas: (1) laboratory radiation simulators; (2) high explosive testing; and (3) atmospheric phenomena simulation. For many years, laboratory radiation simulators have provided the means for assessing weapon system vulnerability to X-ray and electromagnetic pulse (EMP) effects. DNA has underway an effort to develop a satellite X-ray test facility (SXTF) beginning in FY 1984 as part of the nuclear hardening verification process for satellites (see the DNA C^3I program). In FY 1982, a DNA high explosive test (MILL RACE) will include large-scale thermal simulation to expose military equipment simultaneously to simulated nuclear blast and thermal pulses. Small barium releases simulate the phenomena of atmospheric nuclear detonations which affect signal propagation in the ionosphere. Such an experiment will be conducted in 1981 to examine the duration of the effects upon signal propagation. Electronics can simulate some atmospheric nuclear phenomena effects on satellite communications. A device to produce such signal degradation is under construction and will be used to test satellite receivers and transmitters.

Biomedical Effects. (Approximately 6 percent of DNA's annual TOA.)

- Biomedical Research

DNA also researches the effects of nuclear weapons upon humans. Most of this basic research is accomplished at the Armed Forces Radiobiology Research Institute (AFRRI), Bethesda, Maryland, which uses animal experimentation to determine the response of cells, tissue, blood systems, nervous systems, etc., to relatively high levels of ionizing radiation.

- NTPR

More recently, DNA has been designated Executive Agent for DoD in directing the Nuclear Test Personnel Review (NTPR) program on behalf of approximately 210,000 former DoD participants in atmospheric nuclear weapons testing during 1945-62, subsequent underground tests, and occupational duties at Hiroshima and Nagasaki in 1945-46. This program responds to widespread public concern that exposure to low-level ionizing radiation at these tests may lead to adverse health effects. The effort currently requires over $4 million in DNA RDT&E funds and 170 person-years of effort annually by DNA, the Services, and several contractors. We have been tasked to identify who was present at the tests, what they were doing, what radiological safety measures were taken, and what radiation doses were received.

Nuclear Readiness-to-Test Capability. (Approximately 6 percent of DNA's annual TOA.)

Under Safeguard C to the Limited Test Ban Treaty, the DoD will "maintain a basic capability to resume nuclear testing in the atmosphere should that be deemed essential to our national security." Tasked as the DoD coordinator for achieving a support program for the Safeguard, DNA's responsibilities include retention of Johnston Atoll, the primary U.S. overseas nuclear readiness-to-test facility, to ensure its availability in the event the U.S. resumes atmospheric testing. DNA, through our Field Command, maintains a small personnel force on Johnston Atoll to ensure this readiness.

DoD Physical Security Exploratory Development Program. (Approximately 2 percent of DNA's annual TOA.)

In April 1977, the DDRE tasked DNA to develop, in cooperation with the Services, an exploratory development program that would identify the technologies and techniques applicable to nuclear weapons security. Currently, DNA is the only authorized source within DoD to initiate and fund exploratory research in physical security. This program focuses upon efforts that will scientifically validate standards and procedures to ensure their effectiveness and efficiency, to determine the optimum level of achievable security, and to identify, test, evaluate and validate concepts (from human factors through automated detection/deterrent systems) that will enhance nuclear weapon security against an increasing spectrum of threats.

Nuclear Stockpile Management. (Approximately 1 percent of DNA's annual TQA.)

DNA provides consolidated management and data control for the DoD nuclear weapons stockpile. This function includes implementing the annual nuclear weapon stockpile allocations directed by the JCS and providing assistance to the JCS in the annual preparation of the nuclear weapons deployment plan. Further, DNA maintains current information on the status of production, modification and retirement of weapons and associated components throughout the life cycle of the weapon. Instrumental to the performance of these functions is DNA's operation of the Worldwide Military Command and Control System (WWMCCS) remote terminal. Through this terminal, DNA manages the Nuclear Weapons Accounting System for the Joint Chiefs of Staff, verifies the accuracy of the data bases maintained at the primary and alternate NMCC, and provides information to the National Command Authority, JCS and other customers. Additionally, to respond to the increasing worldwide terrorist threat, DNA developed Stockpile Emergency Verification procedures which provide a positive confirmation that all weapons in the DoD nuclear weapons stockpile remain in the custody of DoD.

Nuclear Weapons Accident Exercises (NUWAX). (Approximately 1 percent of DNA's annual TOA.)

DNA plans and directs nuclear weapon accident exercises for DoD in conjunction with the Department of Energy (DoE) and the Federal Emergency Management Agency (FEMA). Major objectives are to evaluate and test selected response and coordination procedures that comprise this country's collective capability to deal with peacetime nuclear accidents. These exercises provide realistic training for joint DoD/DoE nuclear accident response organizations; determine the effectiveness of nuclear accident response equipment, procedures, techniques, directives and plans; ascertain the effectiveness of the coordination and communications of a multiservice and DoE accident response force; and actively exercise the civil and Federal interfaces which would be required if an actual accident occurred.

1. (U) SUBJECT: Status of the Withdrawal of Nuclear Warheads from the NATO Guidelines Area

Exemptions 1 and 3

1. SUBJECT: National Level Response Capability

2. BACKGROUND:

- NUWAX-79 indicated that the then current national nuclear weapon accident response capability was in need of review.

- On 11 Apr 80, DNA recommended to DIR Joint Staff that consideration be given to establishing a National-level response force.

- Credible nuclear accident response options were generically grouped in terms of: Current matrix of response teams designated within each Service; single, highly trained response teams within each Service; single team, from one Service, performing primary response function for all of DoD; and a jointly constituted response team.

- Each Service member of the panel concluded that an enhanced Service capability maximizes advantages. The panel also recognized a requirement for additional Inter-Service support agreements.

- DNA proposed creation of an interim advisory team consisting of from six to twelve experts which would deploy on order to augment the Service team in the field.

- Panel recommendations were approved with minor changes by the Services at the action officer level.

- DNA forwarded recommendations to JCS on 26 Sep 80, where they were submitted to Services and DNA for formal (FLIMSY, BUFF, GREEN) concurrence.

- Extensive changes submitted by Services required major rewrite at the BUFF stage. These changes were incorporated at an AO Meeting and the proposed MOP was republished ("Re-BUFF") for Service coordination on 24 Nov 80.

3. CURRENT STATUS:

- DNA is prepared to field an augmentation team of experts on order.

- Final approval of an enhanced concept for nuclear weapon accident response is pending Service concurrence of the recirculated proposal ("Re-BUFF").

4. ALTERNATIVES/RATIONALE:

- On track.

1. SUBJECT: Joint DoD/FEMA Planning for Nuclear Weapons Accidents

2. BACKGROUND:

- On 28 May 80, DIR, FEMA requested DoD assistance in developing emergency plans for DoD nuclear facilities. Specifically requested were:

  -- A list of all storage facilities and their locations.

  -- Joint FEMA/DoD review of Emergency Planning Zones.

- On 2 Jan 80, ATSD(AE) emphasized DoD policy to cooperate with civilian agencies on radiological accident. He assured FEMA of DoD cooperation on 23 Jun, but emphasized the unique national security aspects involved.

- On 5 August, DNA was designated lead agency to develop a joint planning basis with FEMA. DNA requested FC/DNA to begin work on Emergency Planning Zone data on 26 Aug 80. Field Command's initial report was submitted on 17 Sep 80. The list of nuclear facilities, less nuclear weapons locations was provided to FEMA on 20 Oct 70.

- ATSD(AE) orally approved transmission of specific storage site data to FEMA on 21 Nov 80.

3. CURRENT STATUS:

- HQ DNA is preparing a prioritized list of actual and potential storage sites which will be sent to ATSD(AE) for retransmission to FEMA.

- Field Command, DNA is working on an illustrative site study similar to the four site specific surveys done by Sandia. The illustrative study should be completed in approximately 30 days.

- Input from the National Laboratory is pending tasking by DoE.

4. ALTERNATIVES/RATIONALE:

- On track.

1. SUBJECT: Plutonium (Pu) Storage

2. BACKGROUND:

- In July 1977, the Military Liaison Committee (MLC) approved a recommendation to increase storage limits for plutonium bearing weapons.

- The joint DoE/DoD Technical Publication, TP20-7, Nuclear Safety Criteria, still contains the original storage limits.

- DNA has agreed (18 Nov 80) to conduct a comprehensive study of the plutonium hazard and

- The ATSD(AE), Dr. Wade, has agreed (28 Mar 80) to chair the Steering Committee.

3. CURRENT STATUS:

- The Services are operating under the increased limits.

- TP20-7 must be changed to acknowledge current Service positions or the practice discontinued.

- DNA submitted study Terms of Reference (TOR) to ATSD(AE) for approval on 29 May 80.

4. ALTERNATIVES/RATIONALE:

- A meeting between ATSD(AE), Director of Military Applications (DoE) and Director, DNA is pending approval of the TOR.

- Participation by the National Laboratories is pending tasking by DoE.

- DNA envisions the study effort as having three elements.

  -- Operational chaired by DNA.

  -- Political/sociological chaired by a contractor.

  -- Technical analysis chaired by Sandia Laboratories, Albuquerque.

- ATSD(AE) has expressed a desire for the study to be in two parts:

  -- Short term (9-12 months).

  -- Long term (total evaluation of all aspects of Pu limits for both transportation and storage).

1. (U) SUBJECT: Starbird Study

2. (U) BACKGROUND:

- On 27 Feb 79, the ATSD(AE) proposed a joint DoD/DoE analysis of DoD nuclear weapon requirements and related DoE capabilities. Gen Starbird was appointed Study Director, hence the name "Starbird Study."

- Meetings, briefings, and working group sessions were conducted during 1979 which culminated in approval of Terms of Reference on 2 Nov 79.

- In 1980, meetings continued during which consultants reviewed findings as they were developed.

- The final report was published 15 July 1980.

3. (U) CURRENT STATUS:

- The Starbird Study resulted in a variety of recommendations which are summarized in para 4.

- Responsibility for implementation of recommendations within DoD rests with ATSD(AE), and with ASDF for DoE.

Exemptions 1 and 3

- (U) The above recommendations involved DNA in the following specific actions:

— Nuclear Weapons Development Guidance (NWDG), the DoD statement of qualitative requirements for the development of nuclear weapons.

- Annual Nuclear Weapons Safety Report to the President, prepared by DNA and transmitted through ATSD(AE).

- Membership on the Safety Committees of all weapon systems Project Officer Groups.

- Update DNA charter to include current activities.

- Provide staff assistance to ATSD(AE) on a variety of DNA mission related requirements.

1. SUBJECT: Nuclear Weapon Security Test and Evaluation Site (Development of a DoD mock nuclear weapon storage site required to support testing of security hardware, personnel, building designs, and procedure within the scope of a full-up nuclear weapon security system).

2. BACKGROUND: Current test programs emphasize only isolated laboratory testing of security hardware. Testing of developmental subsystems in an operational environment is rarely performed due to constraints at operational nuclear security sites. A mock site would allow validation and critically needed optimization of security systems and system components in a quasi operational environment.

3. CURRENT STATUS: DNA is presently briefing the Services on the requirements for a test site and site selection criteria. A recommended initial test site program, emphasizing tests related to small isolated Army European nuclear weapon storage site issues, is included in the briefing. Fort McClellan, Alabama, home of the U.S. Army Military Police School, is being recommended as the location for such a site.

4. ALTERNATIVES: An alternative is to construct a larger, multiservice site in the vicinity of Kirtland AFB, New Mexico (Albuquerque). The greater need of the Army to test security system elements in a small site setting and in a more realistic terrain environment than available in New Mexico results in the current emphasis away from the large site alternative.

5. RECOMMENDATIONS:

Exemption 5

1. SUBJECT: NUWAX-81

2. BACKGROUND:

- In April 1979, the first joint DoD/DoE Nuclear Weapon Accident Exercise (NUWAX-79) was conducted at the Nevada Test Site. As a result of the success and the lessons learned, the Assistant to the SecDef (Atomic Energy) directed DNA in June 1979, to take the lead in planning an expanded follow-on exercise (NUWAX-81).

- A total of $2.3 million was budgeted for all aspects of the exercise. Various planning conferences and meetings have been held throughout 1980. Participating agencies included DoE, FEMA, the National Laboratories (LLL, SNL, LASL), the military Services, FCDNA, California State Office of Emergency Services and various civilian contractor organizations (EG&G, REECO, H&N, etc).

3. CURRENT STATUS:

- NUWAX-81 will be conducted between 19 April - 1 May 81 at the Nevada Test Site.

- Approximately 560 player/participants and controller/umpire personnel are involved in the actual exercise.

- Official observers will include representatives of Great Britain, Canada, Australia and New Zealand in their capacity as members of the Air Standardization Coordinating Committee (ASCC).

4. ALTERNATIVES:

- The scope of NUWAX-81 will be expanded to include significant involvement with National, state and local emergency response agencies. All nuclear accident response procedures will be exercised.

- Realism will be maximized to include the use of

  - Short life radioactive material.

  - Site preparation with "crashed" helicopter, "damaged" nuclear weapons, and personnel "casualties."

1. SUBJECT: Intrinsic Radiation (INRAD) Study

2. BACKGROUND:

- A growing public awareness of and concern for the hazards of low level, intrinsic radiation inherent in nuclear weapons has been increasing.

- The number and size of legal claims based upon exposure to alleged radiation has risen sharply.

- Previous risk estimates were minimal for low level exposure to stored nuclear materials. While the general view remains that the effects are insignificant, DoD has decided to verify a variety of associated aspects.

3. CURRENT STATUS:

- A joint DoD/DoE study has been initiated to review the impact of intrinsic radiation. The working group is chaired by DNA/OASO and includes representatives from DoE, OATSD(AE), DNA, JCS, the military Services, and the National Laboratories.

- The working group contains two sub-groups: Weapon and Environment, and Personnel Exposure.

4. ALTERNATIVES;

- Specific areas to be addressed in the study include:

  - Identification of personnel who receive INRAD doses.

  - INRAD output of current stockpile.

  - Evaluation of Service programs, regulations, and procedures.

  - INRAD implications to DoD (fiscal, manpower, operational, etc.).

  - Impact on weapon design.

- The TOR for the study was approved on 12 Sep 80. The recommendations to be developed should be approved and implemented by September 1981. (Specific tasks and milestones are available as an enclosure if desired).

1. ⊠ SUBJECT: Overseas Nuclear Emergency Search Team (ONEST)

2. ⊠ BACKGROUND:

- (U) In response to the threat of nuclear terrorism in the United States, the Department of Energy developed a NEST capability.

- (U) Organizations include persons from DoE, DoD, the National Laboratories (LLL, LASL, and SNL), and DoE contractors (EG&G).

- (U) Capabilities include sophisticated threat assessment, highly technical nuclear search requirement; detailed diagnostics and render safe (disarm or destroy) procedures.

Exemption 1

- (U) Larger road block monitors were in production by mid-1980, and van/helicopter mountable pods were in procurement by the end of 1980.

3. ⊠ CURRENT STATUS:

Exemption 1

- (U) Training and maintenance are provided by quarterly visits from the DNA project officer and EG&G contractor personnel.

4. ⊠ ALTERNATIVES:

Exemption 1

- (U) Future program development will be based on experience gained from currently deployed capability.

1. SUBJECT: DoD Physical Security Management

2. BACKGROUND:

a. The current fragmentation of responsibilities, within the OSD, relative to the nuclear weapons security program makes it difficult for DNA to fulfill its responsibilities. It is essential that one element within OSD provide uniform policy guidance with respect to both nuclear security system implementation and the security research, development and acquisition process.

b. Under the provisions of an April 1974 Memorandum of Understanding (MOU) between the ATSD(AE) and the Assistant Secretary of Defense (Comptroller) (ASD(COMP)), the ATSD(AE) provides advice and assistance to the Deputy Assistant Secretary of Defense (Security Policy) (DASD(SP)) on matters concerning the protection of nuclear weapons. In 1978 the DASD(SP) became the Director, Security Plans and Programs (DUSD(PR)(SP&P)) for the Deputy Under Secretary of Defense for Policy Review (DUSD(PR)). The DUSD(PR)(SP&P) has policy responsibility across the broad spectrum of the security arena.

c. In April 1977, the Under Secretary of Defense for Research and Engineering (USDRE) tasked DNA to develop an exploratory development program which would identify the technology and techniques applicable to nuclear weapon security.

3. CURRENT STATUS:

a. Responsibilities divide among various OSD staff elements. The DUSD(PR) is responsible for the development of policies, standards, and procedures governing the physical security of nuclear weapons and devices. The ATSD(AE), being the principal staff assistant to SECDEF on atomic energy matters, is counted on to provide considerable advice and assistance on nuclear weapons matters to SECDEF, Military Departments, JCS, and others. Another DNA responsibility is to develop, prepare, publish design standards, and investigate/recommend standards and operating procedures for DoD.

b. There is a fragmentation within DoD involving nuclear weapons security program. This fragmentation has had a serious impact on development, procurement, installation, and maintenance of physical security equipment. To illustrate the problem, currently a proliferation of working groups addresses various aspects of physical security. We have a DoD Physical Security Review Board (PSRB), reporting to the Director, Security Plans and Programs (DUSD(PR)(SP&P)); Physical Security Equipment Action Group (PSEAG) reporting

to the Under Secretary of Defense for Research and Engineering (USDRE); the Tri-Service Requirements Working Group (PSRWG) and the Security Equipment Integration Working Group (SEIWG) reporting to the PSEAG.

c. In cooperation with the Army, Navy, and Air Force, DNA now funds and manages the nuclear weapons security exploratory development program.

4. ALTERNATIVES/RATIONALE:

a. Responsibility for nuclear security policy should be vested in the activity most knowledgeable of the total DoD nuclear program. Management would be strengthened and manpower savings realized if the nuclear security policy functions were assigned to DNA, under the staff supervision of the ATSD(AE). Many items of equipment developed for nuclear security will have broader application for other physical security requirements. In January 1978 an ATSD(AE) memorandum was prepared for the Secretary of Defense recommending that the 1974 MOU be terminated. To date, however, a decision has not been announced.

b. Technology and techniques developed in the nuclear security exploratory development program can provide scientifically validated direction for policy implementation. Accordingly, the physical security working groups (i.e., TSRWG and SEIWG) should be designated as subgroups of the PSEAG.

5. RECOMMENDATIONS:

Exemption 5

1. (U) SUBJECT: Special Nuclear Materials (SNM)

2. ~~(SRD)~~ (U) BACKGROUND: SNM consists of highly enriched uranium (HEU), plutonium (Pu), and tritium (T).

Exemptions 1 and 3

(U) The JCS, continuing to be unsuccessful in having their position incorporated in OSD documents, released a strongly worded JCSM on 22 Jul 80.

3. ([redacted]) (U) CURRENT STATUS:

Exemptions 1 and 3

- (U) Solutions to mid-term shortfall are long-lead time N-Reactor and PUREX, L & R Reactor and new reactor.

Exemptions 1 and 3

4. (U) ALTERNATIVES/RATIONALE:

- Future of SNM availability problem lies in the degree of aggression exerted by DoD and DoE on Congressional budget office to pursue approval of long lead term actions to prevent mid-term shortfalls.

1. (U) SUBJECT: Insertable Nuclear Components (INC) Technology

Exemptions 1 and 3

4. (U) ALTERNATIVES/RATIONALE:

- DoE has expressed interest in preserving the technology for new weapons systems.

- DoD has traditionally been willing to adapt a wait and see attitude.

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UNDER SECRETARY OF DEFENSE FOR RESEARCH AND ENGINEERING

The attached documents were provided to the Carter-Reagan Transition Team. No deletions have been made in the released documents. However, a total of 59 documents have been reviewed and determined to be currently and properly classified within the meaning of Executive Order 12065 and are denied in their entirety. The unauthorized release of this information would provide a foreign nation with an insight into the war potential of the defense posture of the United States and allow an adversary to improve or develop effective countermeasures. Therefore, the information is denied under 5 USC 552(b)(1). An index of the denied documents is attached.

Further, the documents provide the personal observations, recommendations and conclusions of staff officers and the auauthorized release of this information could inhibit the frank exchange of information between staff agencies and are denied under 5 USC 552(b)(5).

The Initial Denial Authority is Mr. L. A. Knutson, Director Program Control and Administrator, Office of the Under Secretary of Defense for Research and Engineering.

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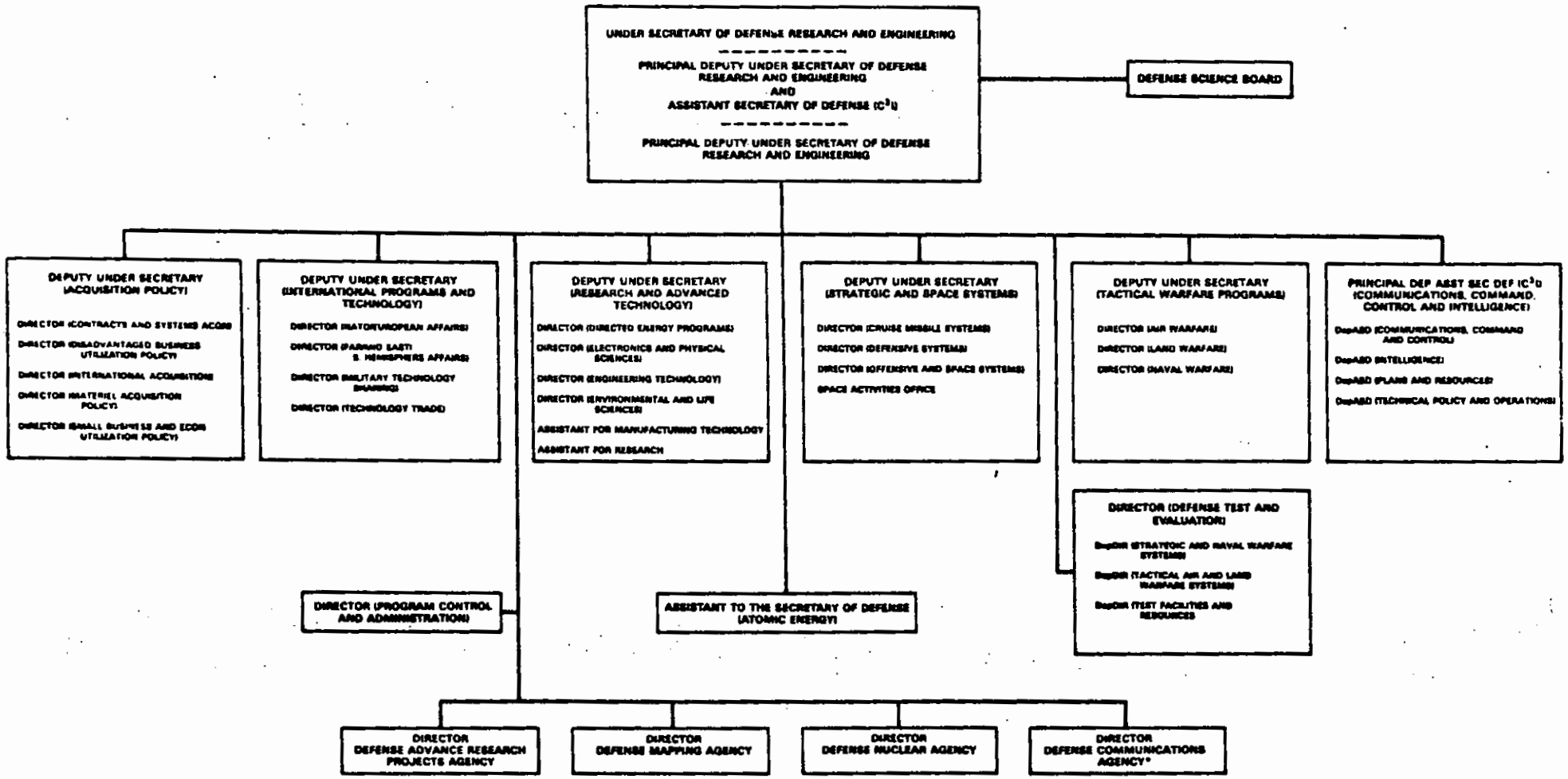

*REPORTS DIRECTLY TO ASD (C³I)

1 MAY 19[illegible]

OFFICE OF THE SECRETARY OF DEFENSE

November 18, 1980

Memo For LTC Hollander

PERSONNEL AUTHORIZATIONS AS OF 11/18/80:

	Civ.	Mil.	Total
R&E	191	57	248
C^3I	70	15	85
Atomic Energy	17	16	33
Small & Disadv-antaged Business	9	0	9

Edna

August 1, 1980

INTERNAL ALLOCATIONS

USDRE

	Civ.	Mil.	Total
USDRE	8	4	12
AP	41	8	49
IP&T	21	5	26
R&AT	29	5	34
S&SS	18	12	30
TWP	33	7	40
T&E	18	11	29
PC&A	22	5	27
Unallocated	1	0	1
	191	57	248

C^3I

ASD(C^3I) Office	3	2	5
C^3I	66	13	79
	69	15	84

AUTHORIZATION
(7 July '80)

USDRE	191	57	248
C^3I	69	15	84
TOTAL	260	72	332

UPDATED NOVEMBER 17, 1980

MASTER

August 1, 1980

ORGANIZATION

	Civ.	Mil.	Total
	5	2	7
Under Secretary of Defense Research & Engineering			
Dr. William J. Perry 1			
Col. Paul G. Kaminski, USAF 1M			
LTC Kenneth Hollander, USA 2M			
Mrs. Betty Ramsdale 2			
Mrs. Donna Anderson 3			
Mrs. Betty K. Hughes 4			
Mr. Lewis Washington 5			
	(3)*	(2)*	(5)*
Principal Under Secretary & ASD(C^3I)			
Dr. Gerald P. Dinneen 1C			
Capt. Francis D. Carden, USN 1MC			
LTC John F. Bashore, USA 2MC			
Mrs. Sharron Kramer 2C			
Mrs. Judy Coppin 3C			
	3	2	5
Principal Under Secretary			
Dr. Walter LaBerge 6			
LTC Gary Hyde, USA 3M			
Col. Barton Krawetz, USAF 4M			
Mrs. Pat Schotta 7			
Mrs. Carolyn Caldwell 8			

* Charged to C^3I

	Civ.	Mil.	Total
Dep Under Secretary (Acquisition Policy)	41	8	49
Professional Vacancy 9	2	1	3
Col. John E. Roberts, USAF 5M			
Miss Norma Whited 10			
Assistant for International Acquisition	5	2	7
Col. Ronald L. Carlberg, USAF 6M			
Mr. Walter Henderson 11			
Mr. Marvin Stearn 12			
Mr. James B. King 13			
LTC Mark A. Baker, USA 7M			
Mrs. Gerry Leginski 14			
Ms Sandra Delman 15			
Dir, Contracts & Systems Acquisition	2	0	2
Mr. Robert F. Trimble 16			
Mrs. Sharon Rightenburg 17			
Dep Dir, Defense Acquisition Regulatory Sys	4	0	4
Mr. James T. Brannan 18			
Mr. Charles Lloyd 19			
Professional Vacancy 20			
Mrs. Mildred Ashurst 21			
Dep Dir, Contract Placement & Administration	5	2	7
Professional Vacancy 22			
Professional Vacancy 23			
Mr. Thomas Bell 24			
Maj. D. R. Wright, USAF 8M			
Cdr Edward J. Bano, USN 9M			
Mrs. Mary Barton 25			
Mrs. Carol Berg 26			

	Civ.	Mil.	Total
Dep Under Secretary (Acquisition Policy)			
Dep Dir, Major Systems Acquisition	5	1	6
Mr. John E. Smith 27			
Mr. Truxton Baldwin 28			
Mr. Manfred Reinhard 29			
Military Vacancy 10M			
Mr. David K. Anderson 30			
Mrs. Ginger Roberts 31			
Dep Dir, Cost, Pricing & Finance	5	0	5
Mr. John Kendig 32			
Mr. Herbert Fisher 33			
Mr. David Koonce 34			
Professional Vacancy 35			
Miss Rachel Betlyn 36			
Dir, Materiel Acquisition Policy	2	0	2
Mr. John A. Mittino 37			
Mrs. Barbara Nedrow 38			
Dep Dir, Production Resources	5	0	5
Mr. Richard Donnelly 39			
Mr. John Osterday 40			
Mr. John E. Dubreuil 41			
Mr. Kenneth Foster 42			
Mrs. Betty Crook 43			
Dep Dir, Standardization and Support	6	2	8
Military Vacancy 11M			
Mr. D. D. Burchfield 44			
Mr. Howard Elsworth 45			
Mr. Mark Grove 46			
Professional Vacancy 47			
Col. Thomas Musson, USAF 12M			
Mrs. Jo Ingram 48			
Clerical Vacancy 49			

	Civ.	Mil.	Total
Dep Under Secretary (International Programs and Technology)	21	5	26
Dr. Vitalij Garber 50	4	2	6
RADM Samuel W. Hubbard, USN 13M			
Col. John Ello, USAF 14M			
Dr. Jeanne Mintz 51			
Mrs. Rita J. Artwohl 52			
Mrs. Audrey Case 53			
Director, NATO Affairs	5	1	6
Mr. Everett Greinke 54			
Mr. Francis M. Cevasco, Jr. 55			
Mr. Arthur Ligoske 56			
Col. John Hager, USAF 15M			
Mrs. Patricia Frame 57			
Miss Glenda Weddle 58			
Dir, Far and Mid East and S. Hemisphere	3	0	3
Mr. Gerald D. Sullivan 59			
Professional Vacancy 60 (Anthon Berg)			
Mrs. Judith Cooper 61			
Dir, Military Technology Sharing	4	1	5
Mr. Frank Kapper 62			
Mr. Howard Gardiner 63			
LTC Bruce Meiser, USAF 16M			
Mrs. Ann O'Connor 64			
Mrs. Elsa Conliffe 65			
Dir, Technology Trade	5	1	6
Dr. Oles Lomacky 66			
Mr. Gregory DeSantis 67			
Mr. John Batluck 68			
Capt. James Hower, USN 17M			
Mrs. Ann Wesner 69			
Miss Joan Bromiley 70			

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	Civ.	Mil.	Total
Principal Deputy ASD(C^3I)	66	13	79
Dr. Harry L. Van Trees 4 c Col. Richard B. Clement, USAF 3M c Mr. Craig Wilson 5 c Professional Vacancy 6 c Mrs. Louise Ensminger 7 c Miss Colena Rogers 8 c Mrs. Ann Gillenwater 9 c	6	1	
DASD(Programs & Resources)	2	0	2
Mr. Kenneth B. Cooper 10 c Miss Joanne Petras 11 c			
Dir, C^3 Resources	4	0	4
Dr. Alden P. Sullivan 12 c Mr. Nat Cavallini 13 c Mr. Dennis Litchfield 14 c Mrs. Carol Katawczik 15 c			
Dir, Intelligence Resources	5	0	5
Mr. James I. Mayer 16 c Mr. Norman Ghisalbert 17 c Mr. Alexander Buinickas 18 c Mrs. Claudia Scruggs 19 c Miss Debbie Mannherz 20 c			
Dir, C^3 Systems Research and Evaluation	1	0	1
Professional Vacancy (Dr. Stuart Starr) 21 c			
DASD(C^3)	2	0	2
Dr. Thomas P. Quinn 22 c Mrs. Yolanda Beach 23 c			

10

	Civ.	Mil.	Total
Principal Deputy ASD(C^3I) (cont'd)			
DASD(C^3) (cont'd)			
Dir, Theater & Tactical C^2	6	2	8
Mr. John C. Cittadino 24 c			
Mr. Dennis Marquis 26 c			
Professional Vacancy 27 c			
LTC John H. Martel, USAF 4 m c			
Col. Jonathan Myer, USAF 5 m c			
LTC Frank McLeskey, USA 10 m c			
Mrs. Rita Kibler 28 c			
Mrs. Virginia Hug 29 c			
Mrs. Pat McNelis 30 c			
Dir, Electronic Warfare & Countermeasures	3	1	4
Mr. John M. Porter 31 c			
Professional Vacancy (Mr. William J. Lewis) 32 c			
Capt. James H. Eckart, USN 6 m c			
Mrs. Louise Martoncik 33 c			
Dir, Information Systems	5	1	6
Professional Vacancy (Stephen T. Walker) 34 c			
Mr. Rudolph Sgro 35 c			
Mr. Stephen T. Walker 36 c			
LTC John Lane, USAF 7 m c			
Mrs. Mary Gober 37 c			
Miss Barbara Lawhorn 38 c			
Dir, Communications Systems	8	2	10
Mr. George L. Salton 39 c			
Mr. Albert G. Facey 40 c			
Mr. Andrew Hartigan 42 c			
Mr. Richard Howe 43 c			
Mr. Norman Gray 44 c			
Col. Jackie L. Manbeck, USA 8 m c			
Capt. Jerry Stump, USN 9 m c			
Mrs. Sally Dimond 45 c			
Mrs. Patricia Roberts 46 c			
Mrs. Margaret French 47 c			

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	Civ.	Mil.	Total
Principal Deputy ASD(C^3I) (cont'd)			
DASD(C^3) (cont'd)			
Dir, Strategic C^3	5	2	7
Dr. Robert D. Turner (Actg) 48 C			
Mr. Reynold Thomas 49 C			
Mr. Dale Hamilton 41 C			
Professional Vacancy 50 C (Space used for Dr. Stuart Starr)			
Col. John C. Frishett, USAF 15 M C			
LTC Robert Leahy, USAF 11 M C			
Mrs. Sandra Sims 51 C			
Mrs. Rachel Ellis 52 C			
DASD(Technical Policy & Operations)	6	0	6
Dr. David Solomon 53 C			
Mr. Walter Coari 54 C			
Mr. Paul Cahan 55 C			
Mr William J. Cook 56 C			
Miss Harriet Freedman 57 C			
Mrs. Evelyn Robbins 58 C			
DASD(Intelligence)	2	0	
Dr. James H. Babcock 59 C			
Miss Marjorie Holloway 60 C			
Dir, National Intelligence Systems	4	0	4
Mr. Anthony J. Tether 61 C			
Mr. Ronald J. Goldstein 62 C			
Mr. Victor E. Jones 63 C			
Miss Julie Mikovits 64 C			
Dir, Tactical Intelligence Systems/Dir, Reconnaissance Surveillance & Target Acquisition	6	3	9
Mr. Charles Hawkins 65 C			
Mr. Michael I. Keller 25 C			
Miss Janet Burner 70 C			
Mrs. Gail Moore 68 C			
Programs Division			
Capt. Harvey E. Fisher, USN 12 M C			
LTC Andrew LaChance, USAF 13 M C			
Mr. Loren Larsen 67 C			

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Principal Deputy ASD(C^3I)	Civ.	Mil.	Total
DA[redacted] Intelligence) (cont'd)			
Dir, Tactical Intelligence Systems/Dir, Reconnaissance, Surveillance & Target Acquisition			
Plans Division			
Col. Charles E. Schmidt, USA (Chief) 14mc			
Mr. Ernest W. Liska 69c			

	Civ.	Mil.	Total
Dep Under Secretary (Research & Advanced Technology)	29	5	34
Dr. Arden Bement 71	6	1	
Dr. George Millburn 72			
Col. T. R. Hukkala, USA 18M			
Mr. James Terrell 73			
Mrs. Virginia Gross 74			
Mrs. Nancy Kish 75			
Mrs. Susan Luker 76			
Assistant for Research	2	0	2
Dr. George Gamota 77			
Ms Barbara Findlay 78			
Director, Directed Energy Programs	2	1	3
Dr. Richard Airey 79			
Col. Frederick S. Holmes, USA 19M			
Mrs. Jan King 80			
Assistant for Manufacturing Technology	1	0	1
Mr. Lloyd Lehn 81			
Director, Electronics & Physical Sciences	7	0	7
Mr. Joseph Feinstein 82			
Professional Vacancy 83 (Mr. John MacCallum)			
Professional Vacancy 84			
Mr. Samuel Musa 85			
Professional Vacancy 86 (Mr. Joe Batz)			
Mrs. Doris Reeves 87			
Mrs. Garnette Dupont 88			
Director, Engineering Technology	8	0	8
Mr. G. R. Makepeace 89			
Professional Vacancy 90			
Mr. Jerome Persh 91			
Mr. Ray Thorkildsen 92			
Mr. Raymond Siewert 93			
Mr. George C. Kopcsak 94			
Miss Janice Rockwell 95			
Mrs. Bettie Hall 96			

	Civ.	Mil.	Total
Dep Under Secretary (Research and Advanced Technology) (cont'd)			
Director, Environmental & Life Sciences	3	3	6

Col. Elbert W. Friday, USAF 20M
Mr. Thomas Dashiell 97
Col. Phillip Winter, USA 21M
Cdr Paul R. Chatelier, USN 22M
Mrs. Donna Donovan 98
Mrs. Peggy Melburn 99

	Civ.	Mil.	Total
Dep Under Secretary (Strategic & Space Systems)	17	12	29
Dr. Seymour L. Zeiberg 100	4	4	
B/G Donald A. Vogt, USAF 23M			
Col. Joseph Eibling, USAF 24M			
LCDR John P. Fuller, USN 25M			
LTC Allan J. MacLaren, USAF 26M			
Mrs. Sandra VanNamee 101			
Miss Wanda Jacobs 102			
Mrs. Elizabeth Crossman 103			
Director, Defensive Systems	5	2	7
Dr. Verne Lynn 104			
Mr. William H. Winter 105			
Professional Vacancy 106 (Arthur H. Bertapelle)			
Col. David Niebauer, USAF 27M			
LTC Charles A. Lau, USAF 28M			
Miss Phyllis Bishop 107			
Mrs. Rowena Peterson 108			
Director, Offensive & Space Systems	5	2	7
Dr. Marvin C. Atkins 109			
Dr. Richard S. Ruffine 110			
Col. Warren R. McDonald, USAF 29M			
Col. Stephen F. Moore, USAF 30M			
Mr. Howard Barfield 111			
Mrs. Janelle Orrico 112			
Mrs. Adriane Baggett 113			
Director, Cruise Missiles	2	2	4
Mr. James F. Mullen 114			
Col. William L. Othling, USAF 31M			
Capt. O. V. Shearer, USN 32M			
Mrs. Margaret Dunan 115			
Space Activities Office	1	2	3
Civilian Vacancy 33M (Space converted from military) (Used for Bertapelle)			
LTC Gerald May, USAF 34M			
Maj. Ted Mervosh, USAF 35M			
Mrs. Linda Harney 116			

	Civ.	Mil.	Total
Dep Under Secretary (Tactical Warfare Programs)	33	7	40
Mr. David C. Hardison 117	7	1	8
Col. Donald Couture, USAF 36M			
Dr. Milton J. Minneman 118			
Professional Vacancy 119			
Mrs. Melanie Bernard 120			
Mrs. Annette Gwensberg 121			
Mrs. June Langley 122			
Mrs. Peggy Wolf 123			
Director, Air Warfare	8	3	11
Dr. John R. Transue 124			
Mr. Martin Chen 125			
Mr. Gerald Fitzgibbon 126			
Mr. Dean Gissendanner 127			
Professional Vacancy 128 (Mr. Charles Williams)			
Capt. Donald V. Boecker, USN 37M			
Col. William J. Scheuren, USMC 38M			
Col. Charles Hansult, USAF 39M			
Mrs. Irene Bacon 129			
Mrs. Janice Lovitt 130			
Mrs. Roberta Mc Call 131			
Director, Land Warfare	9	2	11
Mr. Charles W. Bernard 132			
Professional Vacancy 133			
Mr. C. F. Horton 134			
Mr. Myron Bruns 135			
Mr. Guntis Sraders 136			
Professional Vacancy 137			
Col. Charles Garvey, USA 40M			
LTC Cletus B. Kuhla, USAF 41M			
Mrs. Margo Potter 138			
Mrs. Anna Seidel 139			
Mrs. Sandra Price 140			

	Civ.	Mil.	Tot
Dep Under Secretary (Tactical Warfare Programs) (cont'd)			
Director, Naval Warfare	9	1	10

Mr. William D. O'Neil 141
Mr. Edward McKinney 142
Mr. David L. Anderson 143
Mr. Thomas Amrhein 144
Mr. John P. McGough 145
Mr. Charles V. Kincaid 146
Capt. John Peters, USN 142 M
Mrs. Carol Keefe 147
Miss Bonnie May 148
Miss Sandra Harvey 149

	Civ.	Mil.	Tot
Director, Defense Test & Evaluation	18	11	29
RADM I. W. Linder, USN (Ret) 150			
LTC Frank H. Tubbesing, USAF 43M			
Mrs. Kay McAllister 151			
Deputy Director, Tactical Air & Land Warfare Systems Test & Evaluation	3	8	11
B/G Eugene Fox, USA 44M			
Col. Ralph O. Anderson, USA 45M			
Col. Joseph K. Spiers, USAF 46M			
LTC Robert K. Rahn, USAF 47M			
LTC Robert W. Demont, USA 48M			
LTC Edward C. Robinson, USA 49M			
Capt. John F. Calvert, USN 50M			
Col. Marvin T. Garrison, USMC 51M			
Mrs. Miriam Harrison 153			
Mrs. Lois Ruff 154			
Mrs. Janet Myers 155			
Deputy Director, Strategic & Naval Warfare Systems Test & Evaluation	7	2	9
Mr. Charles K. Watt 156			
Dr. David E. Anderson 157			
Mr. Donald R. Greenlee 158			
Mr. H. Eugene Thompson 159			
Mr. G. Donald Wood 152			
Cdr Boyden Steele, USN 52M			
LTC Robert L. Christopher, USAF 53M			
Miss Gail Greene 160			
Miss Kathy Thacker 161			
Deputy Director for Test Facilities & Resources	6	0	
Mr. William A. Richardson 162			
Mr. James Cowgill 163			
Mr. Charles W. Karns 164			
Mr. Richard R. Ledesma 165			
Mrs. Ann Powell 166			
Mrs. Mary Lou Tennant 167			

	Civ.	Mil.	Total
	22	5	27

Dir, Program Control & Administration

Professional Vacancy 168
Mr. C. T. Everett 169
Mr. Paul Mirakian 170
Mr. Louis E. White 171
Miss Angie Moore 172
Mrs. Ruth Hoppe 173
Miss Ida Mae Young 174
Clerical Vacancy 175

Security Policy & Review Division

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Mrs. Bert Eister 180
Mr. Corsby Callaway 181
Miss Viola D. Hampton 182
Mr. Howard M. Sobel 183
Mr. Bernard A. Herbert 184
Miss Yolanda Sheppard 185
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SSGT Richard L. Hersey, USAF 55M

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CMSGT E. J. Francisco, USAF 56M
Mr. Wilson R. Collins 186
Mr. Nathaniel W. Lucas 187
TSGT James A. Reinertson, USAF 57M

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Mr. Thomas E. McConell 188

Defense/IDA Management Office

Col. James B. Statler, USA 58M
Mrs. Shirley Goldsmith 189

CAROL GARY 190

		Civ.	Mil.	Tot
Assistant for Program Planning				
Miss Edna R. Hufford	Overstrength			

OFFICE OF THE UNDER SECRETARY OF DEFENSE

WASHINGTON, D.C. 20301

RESEARCH AND
ENGINEERING

20 November 1980

MEMORANDUM FOR DIRECTOR, PROGRAM CONTROL AND ADMINISTRATION

SUBJECT: Acquisition Policy Roles and Missions

The following information is provided regarding the structure and capabilities of Acquisition Policy as it has evolved over the last three years. You should find it helpful in identifying the resources that are part of the Research and Engineering team that functions in direct support of contracts amd systems acquisition and materiel acquisition policy.

The Director (Contracts and Systems Acquisition) provides procurement and business management expertise in the principal areas of:

- Contracts and Systems Acquisition Policy
- Weapon Systems Acquisition Support (business planning and strategies)
- DoD Acquisition Regulatory System (DARS) (successor to ASPR)
- Foreign Procurement
- Intergovernmental Agreements
- Cost Accounting Standards
- Contract Finance
- Cost and Price Analysis
- Overhead Cost Management, including IR&D
- DoD Profit and Investment Policy
- Contract Administration
- Career Development
- Procurement Review
- Protests and Appeals

- Statistics (contracts and system acquisition)
- Patents, Data, Copyrights and Royalties
- National Policies (contracting/procurement)

The Director (Materiel Acquisition Policy) provides production and standardization expertise in areas as follows:

- Defense Standardization Program
- DoD Specifications and Standards Control and Tailoring
- Utilization of Industry Specifications and Standards Documents and Practices
- NATO Standardization (assemblies, components, spare parts and material)
- DoD Metric Conversion
- DoD REliability and Maintainability
- DoD Software Management Plan
- DoD Commercial Commodity Acquisition
- DoD Quality Assurance
- DoD Technical Data Management
- Materiel Acquisition Policy
- Defense Production Engineering Services Office (DPESO)
- Production Management
- The Defense Industrial Base
- Manufacturing Productivity
- Strategic Materials
- Energy Conservation (industry base related)
- Defense Priorities System/Defense Materials System Program
- Program Management Reports

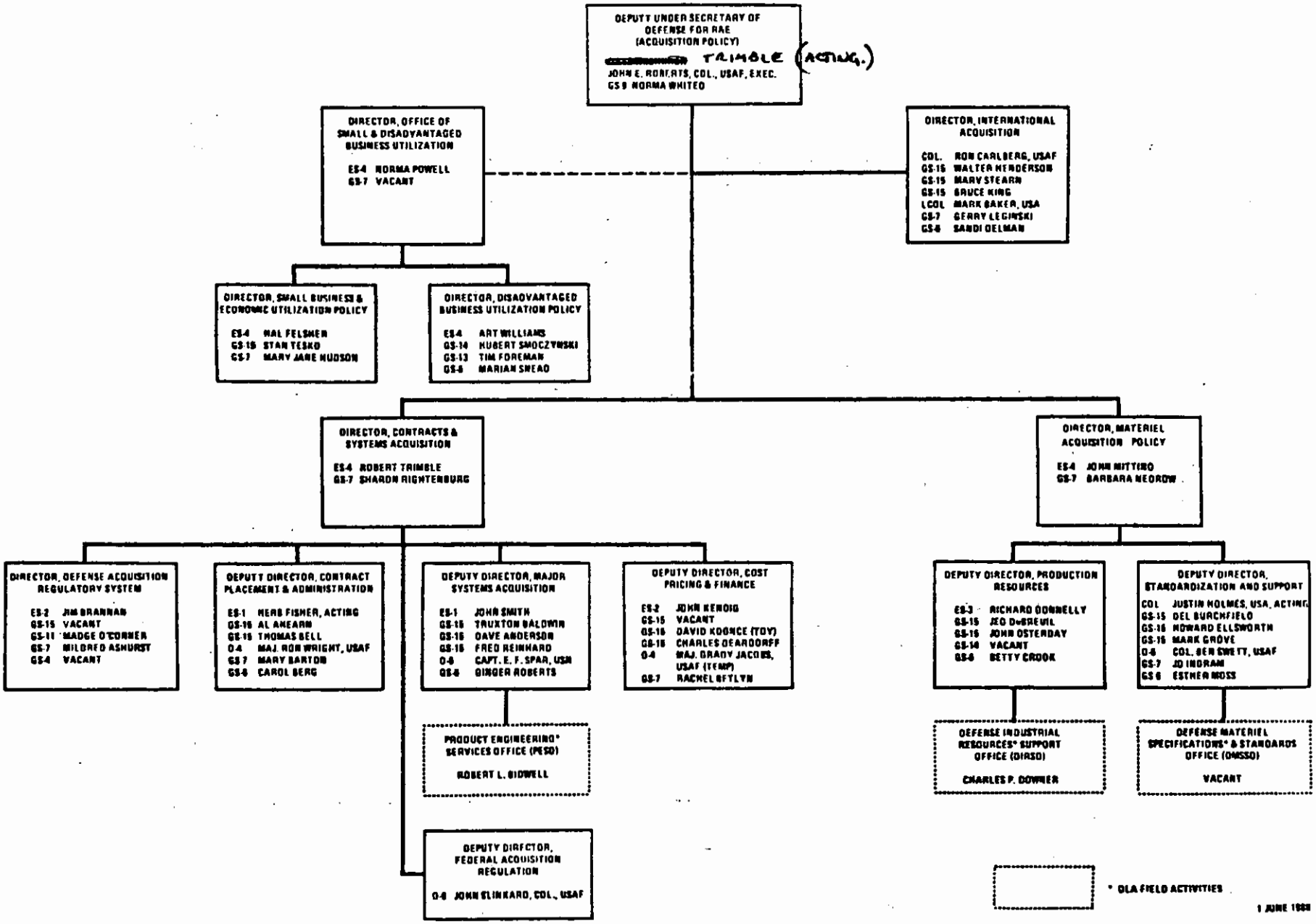
The enclosure expands on these functions and provides a more detailed description.

Encls
Org Chart
Expanded Functions

John E Roberts, Jr.

JOHN E. ROBERTS Jr . Col USAF
Mil Asst to Dep. Under Sect.
of Def. R&E (Acqn Pol)

DEPUTY UNDER SECRETARY OF DEFENSE FOR R&E (ACQUISITION POLICY)



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DETAILED DESCRIPTIONS OF ACQUISITION POLICY FUNCTIONS

Contracts and Systems Acquisition responsibilities include the following and are administered by Contracts and Systems Acquisition Directorate:

- Contracts and Systems Acquisition Policy

  Develops policies and procedures to govern DoD contracts and system acquisition activities. Assures the effective implementation of these policies within the Military Departments and Defense Agencies.

- Weapon Systems Acquisition Support

  Assures effective business planning and strategies to support the acquisition of major Defense weapon systems. Participates in the Defense System Acquisition Review Council (DSARC) as to business and acquisition strategy, source selection, type of contract and other procurement related matters. Monitors the development and use of innovative improvements in the techniques and procedures peculiar to weapon system procurement.

- DoD Acquisition Regulatory System (DARS)

  Develops policies and procedures required in the management and operation of the Defense Acquisition Regulatory System (DARS) as required by DoD Directive 5129.1 of April 29, 1977. Through the Defense Acquisition Regulatory Council (DARC), develops and publishes the Defense Acquisition Regulation (DAR), the successor to ASPR. Acts as the office of primary interest for DoDD 5000.1 and 5000.2 and is the DoD focal point for implementation of OMB Circular A-109.

Enclosure

- Foreign Procurement

  Establishes and implements offshore and foreign military sales (FMS) procurement policies and procedures. Recommends revisions as appropriate. Examples include the price differential favoring U.S. firms under the Buy American Act and our balance of payments program and source selection policies for FMS.

- Intergovernmental Agreements

  Directs and assures successful implementation and fulfillment of government-to-government agreements such as the U.S. Canada Defense Production Sharing Agreement, reciprocal procurement agreements, offset arrangements and other cooperative programs. Advises organizations such as ASD(ISA), other OSD agencies, foreign governments and U.S. and foreign business firms concerning proposed offset agreements and other government-to-government arrangements whereby foreign sources would participate in DoD procurement.

- Cost Accounting Standards

  Establishes, promulgates and evaluates uniform and integrated procurement policies, procedures and systems pertaining to cost accounting standards issued by the Cost Accounting Standards Board and assures proper implementation throughout DoD. Integrates and coordinates DoD procurement, contract administration and auditing policies with respect to cost accounting standards implementation.

- Contract Finance

  Manages, directs and develops DoD contract financing policy and monitors its implementation particularly in regard to advance payments, progress payments and loans associated with DoD contracts. Develops advanced financial analysis techniques to assess the financial strength of major Defense contractors.

- Cost and Price Analysis

  Develops and implements contract pricing policies, contract cost principles and procedures. This includes cost and price analyses, plus the consideration of the allowability, allocability and reasonableness of contractor's costs. Conceives, develops and implements new techniques for the pricing of weapon systems contracts to avoid under-pricing and the possibility of cost overruns.

- Overhead Cost Management, including IR&D

  Provides advice and counsel for cost allowability and business management aspects of the Independent Research and Development program. Directs and leads the development of uniform policies and procedures pertaining to overhead cost allowability, allocability, reasonableness and management. Assures consistent treatment of contractor overhead costs by DoD activities.

- DoD Profit and Investment Policy

  Manages and directs the development of DoD profit policy covering negotiated contracts. Assesses the overall level of profits on Defense contracts. Evaluates the effectiveness of DoD profit policies as an incentive for DoD contractors to make capital investments to improve efficiency and productivity of the industry. Directs and takes corrective policy action as appropriate.

- Contract Administration

  Establishes, promulgates and evaluates uniform policies and procedures pertaining to the post-award administration of DoD contracts, including inspection, status reporting, shipment, government property and termination. Administers the DoD plant cognizance program--the assignment of contract administration responsibility for certain contractor plants to the Military Departments.

- Career Development

  Exercises overall policy responsibility and assures effective management of the DoD procurement career development and procurement research programs and monitors the Federal Procurement Institute.

- Procurement Review

  Monitors and evaluates the performance of DLA as the DoD Executive Agent for the Procurement Management Review Program. Under this program, the Military Departments and DLA periodically review the operations of their procurement and contract administration organizations.

- Protests and Appeals

  Exercises overall policy responsibility for pre-award bid protests, post-award contractor appeals against contracting officer actions and appeals for extraordinary relief under P.L. 85-804. Monitors the activity of the Armed Services Board of Contract Appeals (ASBCA) that acts for the Secretaries in resolving post-award contract appeals.

- Statistics

  Directs the development of management requirements for contracts and system acquisition statistics, the analysis of such statistics and management actions stemming from such analysis.

- Patents, Data, Copyrights and Royalties

  Develops policies and provides advice with respect to patents, rights in technical data, copyrights and royalties.

- National Policies

  Develops contracting policies and procedures implementing national policies legislated by the Congress, such as energy conservation, pollution control, equal employment opportunity, the Service Contract Act, the Davis-Bacon Act, the Walsh-Healey Public Contracts Act, the Contract Work House and Safety Standards Act, the Fair Labor Standards Act, and others.

Materiel Acquisition Policy responsibilities include the following and are administered by the Materiel Acquisition Policy Directorate:

- Defense Standardization Program

  Provides overall OSD staff supervision and policy direction of the management and operation of the Defense Standardization Program in compliance with P.L. 436, and of the operations of the Defense Materiel Specifications and Standards Office.

- DoD Specifications and Standards Control

  Provides policy direction for the review, revitalization, and system management of the DoD library of specifications, standards, and other acquisition support components in procurement and design/development activities.

- DoD Specification Tailoring

  Establishes policy for, and directs development and implementation of a comprehensive departmental-wide program to assure cost-effective application and deliberate tailoring of DoD specifications and standards.

- Utilization of Industry Documents and Practices

  Directs major initiatives to cause a substantial increase in the adoption and use of equivalent industry (non-Government) specifications and standards in the DoD acquisition process. Evaluates compliance and initiates corrective actions. Responds to National policy as promulgated by OFPP/OMB.

- NATO Standardization

  Assures development of new DoD-wide initiatives, policies, and guidance in direct support and furtherance of Secretary of Defense and Administration policy on NATO standardization and interoperability. Responsibility pertains to DoD items and material below the major systems level (assemblies, components, spare parts, and material) and provision of a supporting specifications and standards base.

- DoD Metrication

  Directs development of overall strategy and planning for the conversion by the Military Services and Defense

Agencies to the metric system of measurement. Develops policy and monitors and assesses compliance. Responds to statutory requirements of P.L. 94-168, "Metric Conversion Act of 1975."

- DoD Reliability and Maintainability

Develops DoD-wide Reliability and Maintainability (R&M) policy, and DoD R&M practices designed to improve effectiveness of Defense Systems, and to reduce overall material costs. Brings military documentation and specifications and standards on R&M into compliance.

- DoD Software Management Plan

Provides policy for, and supervises development and implementation of a DoD-wide Defense Systems Software Management Plan to improve the acquisition, management, and control of computer resources. Advises DSARC regarding embedded computer resources, improves technology base, and attains standardization of programming languages and computer architecture.

- DoD Commercial Commodity Acquisition

Directs a major management effort and alternative acquisition methodology to significantly increase the percentage of Military Services and Defense Agency material requirements to be satisfied through commercial, "off-the-shelf" products. Responds to requirements of OFPP policy and pending legislation. Structures a major DoD policy document covering acquisition of commercial items, and monitoring of implementation.

- DoD Quality Assurance (QA)

Develops and maintains DoD policy in the Quality Assurance area. Directs development of solutions to DoD-wide management and policy problems involving inadequate Quality Assurance, and seeks methods of reducing overall cost of maintaining the DoD Quality Assurance discipline. Directs initiatives to improve the QA career program. Fosters improved NATO programs in the QA area.

- DoD Technical Data Management

  Develops and implements policies and procedures to streamline technical data management systems and programs (specifications, standards, drawings, etc.) and controls the application of technical requirement documents and resultant data products.

- Materiel Acquisition Policy

  Develops and coordinates R&D management, production management and major system acquisition policy covering programmatic and technical content. Assures uniform and effective application of these materiel acquisition policy areas by the Military Departments and Defense Agencies.

- System Program Transition

  Serves as OSD focal point for matters governing the efficient transition of major systems and system modification programs from R&D into production. Directs development of production planning and production readiness directives and instructions.

- Defense Production Engineering Services Office (DPESO)

  Develops staff guidance and direction for the production engineering and production management activities performed by DPESO. Sponsors the formation of special task efforts involving production expertise; e.g., use of composites in aircraft systems applications. Coordinates the application of DPESO personnel to production readiness reviews of major systems at limited production and full production milestone decisions in support of the DSARC process.

- Production Management

  Assures greater emphasis on production management, and assures that uniform production management practices are followed by DoD components. Develops greater production management expertise within DoD. Furnishes production management expertise for DSARC deliberation and institutionalize production planning/engineering and production assessment concepts throughout the DoD.

- The Defense Industrial Base

Maintains cognizance over the Defense production base and conducts industry sector studies to determine those sectors operating below economic efficiency. Establishes policy to promote maintenance of an effective program for identification of diminishing U.S. manufacturing sources and foreign source dependencies. Develops alternative acquisition business strategies and acquisition policies to resolve industrial base problems and promote maintenance of an industrial base that can rapidly and efficiently respond to current and emergency Defense production requirements. Determines the effect of EPA/OSHA requirements on Defense industrial sectors. Provides policy for maintenance of a viable Industrial Preparedness Planning Program.

- Industrial Resources Management

Assures that cost-effective industrial resources are available to meet Defense peacetime, surge and emergency production needs. Structures DoD policy to recognize and respond to the dynamic and economics of domestic and international supply and demand for natural and industrial resources to support Defense production. OSD focal point for over $30 billion of Government property.

- Manufacturing Productivity

Develops policy and procedures that will promote adoption of new manufacturing processes, materials and equipment for efficient production of Defense materiel, thereby reducing production leadtimes and acquisition/life cycle costs. In coordination with the Deputy Director (Research and Advanced Technology) promotes greater industry participation in the DoD Manufacturing Program. Initiates policies that will result in greater use of computer technology in the manufacture of DoD materiel.

- Strategic Materials

  Initiates and guides a DoD program to identify upgraded forms of strategic and critical materials in consonance with Section 302 and 303 of the Defense Production Act of 1950, as amended, to establish or reconstitute materials stockpiles in upgraded forms and overcome critical short falls.

- Energy Conservation

  Identifies the life cycle energy sensitivity of large-scale usage materials in DoD production programs and requires Service/DLA identification of energy intensive industrial processes. Ensures utilization of manufacturing techniques or production processes which utilize the most cost-effective energy sources.

- Strengthen Defense Priorities System/Defense Materials System Program

  Requires priority ratings to be based on military urgency, criticality and timeliness of delivery and assures that Special Priorities Assistance is applied only to critical components or systems.

- Program Management Reports

  Develops criteria and requirements for management reports concerned with major system acquisition program execution. Analyzes management reports and provides assessment of potential impacts or problem areas. Coordinates OSD staff reviews of major system acquisitions.

- Planning Review

  Coordinates the OSD review of major acquisition system program planning at the Secretary of Defense decision points to insure the status of planning is sufficient to support program decisions. Develops criteria for the required status of planning at key program decision points.

MISSION STATEMENT

DEPUTY UNDER SECRETARY (INTERNATIONAL PROGRAMS AND TECHNOLOGY)

Responsible for providing overall direction for all international research and engineering activities, including cooperation with NATO and other allied nations in defense research, development and weapons acquisition.

Responsible for administering the control of technology export for the Department of Defense by providing the DoD focal point for all activities involving munitions export cases, technology transfer policy and the export to foreign nations of equipment involving critical technology.

Recommends specific cooperative research, development and production policies to meet US/DoD objectives for Rationalization, Standardization and Interoperability and provides programmatic judgments regarding the transfer of technology to foreign nations consistent with national economic, technological, political and military objectives.

Recommends requirements and funding priorities for weapons and systems that have international implications.

Assesses the possibilities for beneficial cooperative R&D programs and insures the development and coordination of same according to worldwide geographical regions of responsibility.

Establishes and fosters strong structural working relationships with key industrial leaders and international representatives including the Council of NATO Armaments Directors and also functions as the key DoD point of contact for US industry, foreign officials and the Congress for all international R&D program initiatives and matters pertaining to the transfer of technology.

Analyzes a wide range of techno-military issues and identifies appropriate technologies requiring export control and insures adequate and timely DoD positions on US export and COCOM (Coordinating Committee) cases.

Formulates the DoD position on export control lists revisions and identifies critical technologies requiring export control in response to Congressional mandates.

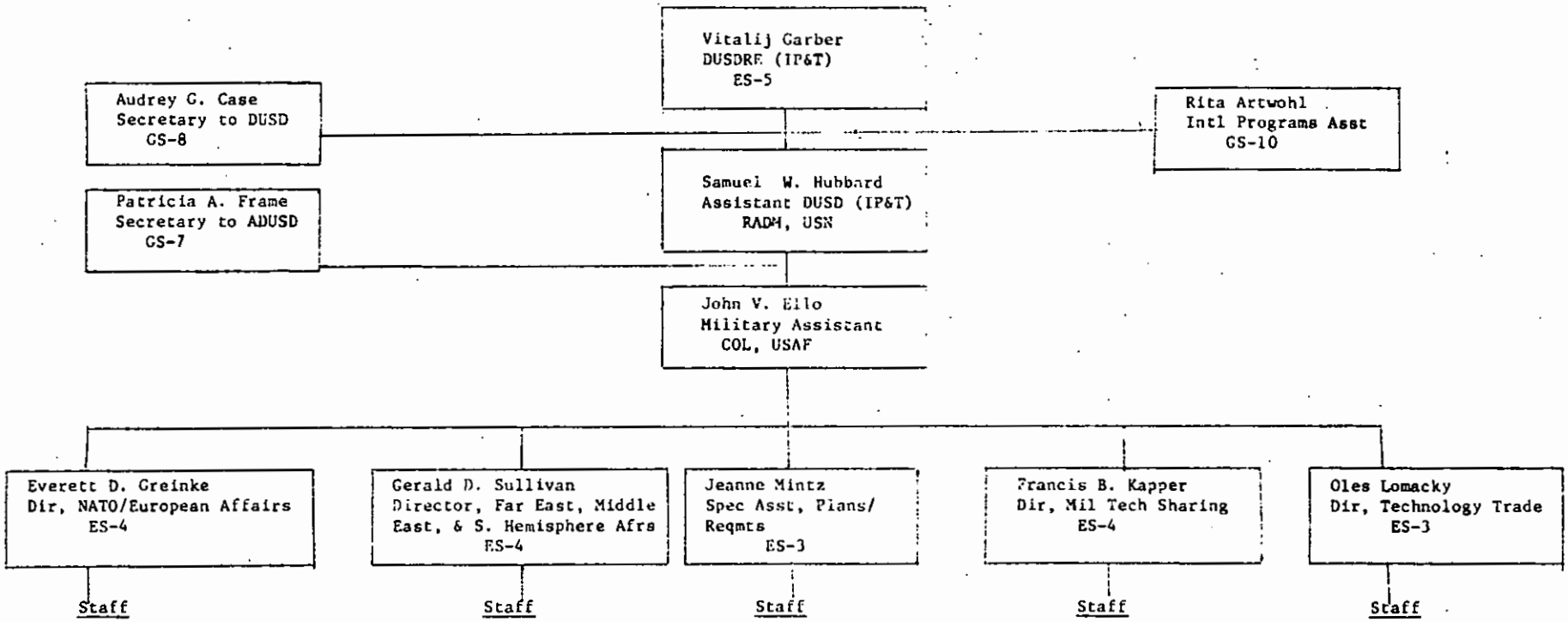
Represents the USDRE on the National Disclosure Policy Committee (NDPC) and provides policy formulation on matters involving military technology sharing, including munitions and foreign ownership.

BUDGET FOR IP&T

($ in millions)

	FY 1980	FY 1981
RDT&E (65104D)	2.5M	2.0M

INTERNATIONAL PROGRAMS AND TECHNOLOGY



Staff	
Arthur M. Ligoske	GS-15
Francis M. Cevasco, Jr.	GS-15
Stanley Zagalak	LTC, USA
Charles J. Infosino	GS-14
Thomas L. Leib	MAJ, USAF
Glenda R. Weddle	GS-08

Staff	
Anton Berg	GS-15
Napier Smith	CAPT, USN
Judy Cooper	GS-06

Staff	
Marvin Winkleman	MAJ, USAF

Staff	
Bruce Meiser	LTC, USAF
Howard Gardiner	GS-08
Elsa Conliffe	GS-06
Ann O'Connor	GS-06
Todd Stevensen	GS-14

Staff	
James J. Hower	CAPT, USN
John J. Batluck	GS-15
Gregory D. DeSantis	GS-15
John A. Hager	COL, USAF
Ann Wesner	GS-07
Joan E. Bromiley	GS-06

PROGRAM CONTROL AND ADMINISTRATION

Director

L. A. Knutson, ES-4
Angie Moore, GS-8

Personnel

Edna Willis, GS-10

Computer Applications

Louis White, GS-15
Ida Young, GS-4

Program Control

Tom Everett, GS-15
Paul Mirakian, GS-15
Ruth Hoppe, GS-9

IDA Mgmt Office

Col James Statler, USAF
Shirley Goldsmith, GS-7

Security Policy

Howard Stadermann, GS-15
Anita Bai, GS-11
Edna Hufford, GS-6

Mail and Records

CMSgt Emerson Francisco
TSgt Reinertson
SSgt Hersey
SSgt Simons
Mr. McConell, GS-9
Mr. Collins, GS-7
Mr. Lucas, GS-7
Mrs. Eister, GS-7
Mr. Calloway, GS-6
Ms. Hampton, GS-5
Mr. Herbert, GS-5
Mr. Sobel, GS-4
Ms. Sherrill, GS-4
Ms. Sheppard, GS-2

December 1980

FUNCTIONS

PROGRAM CONTROL AND ADMINISTRATION

General

a. Point of contact with Comptroller and control for OUSDRE GAO cases.

b. Point of contact with General Counsel and responsible for establishing DoD position on new legislative proposals.

c. Coordination and control of DoD Instructions and Directives.

d. Point of contact with Comptroller on Internal Audits affecting OUSDRE.

e. Control and coordination of all Congressional Actions Items and reports.

f. Prepares OUSDRE Congressional Back-up and coordinates preparation of R&D portion of SecDef Back-up.

g. Point of contact with Legislative Affairs on special Congressional requests for information.

h. Controls and reviews OUSDRE Congressional Transcripts.

i. Travel Funds - Office Supplies - Publications - Office Space and Equipment

Program Control

a. Central control office in DoD for RDT&E and Procurement program matters.

b. Controls deferral and release of Operating year funds.

c. Controls office assignment of program elements.

d. Processes reprogramming requests.

e. Designs procedures and implement Budget and Apportionment Reviews for RDT&E and Procurement.

f. Point of contact with Comptroller for operation and modification of PPBS system.

g. Maintains DCP numbering and filing system for SecDef and DepSecDef.

h. Point of contact with Comptroller for processing and coordinating DPS's.

i. Provides statistical data, charts, vugraphs, etc. for management purposes.

j. Point of contact with National Science Foundation for DoD RDT&E statistical data.

k. Designs and implements review of R&D Military Construction program.

l. Point of contact with Comptroller and MRA&L for processing and coordinating Military Construction apportionment requests, Minor Construction requests and Industrial Facility projects.

m. Point of contact with MRA&L on all R&D manpower matters.

n. Maintains R&D Civilian and Military manpower data.

o. Coordinates review and development of Congressional Appeal actions.

p. Point of contact with Military Departments and Defense Agencies on RDT&E and Procurement program matters.

q. Consultant to OUSDRE offices on budgeting procedures, Fiscal Matters, Inflation Factors and program status.

r. Maintains master files and distributes budget back-up material, technical information (1634s) and OUSDRE Program Guidance (Budget Guidance and Format I's).

s. Program Element responsibility for all general purpose support elements and Technical Review responsibilities for General Purpose Mil Con projects.

Computer Applications

a. Designs systems - Programs - Key punches and makes ADP runs of DoD RDT&E and Procurement programs for use by OUSDRE offices, Services, Comptroller, OMB and Congressional staffs.

b. Programs include arranging POM, Apportionment and Budget RDT&E data by Component, Mission Area, OUSDRE organization, Budget Activity, Magnitude and other specified breaks.

c. Operates Remote CRT site connected with DDC computer to retrieve data for OUSDRE staff for following data banks - 1498s, 1634s, IR&D. Liaison with DDC on acquisition of hard copies of TEch Reports. Secure site for on-line hook-up with Air Force Computer Center in process of construction.

Security Policy and Review

a. Central control point for processing all Congressional Transcripts involving USDRE or his staff.

b. Point of contact with Public Affairs for processing all R&D related Security Review cases.

c. Point of contact with Public Affairs for processing all Freedom of Information cases.

d. Central control and responsible for reporting on all OUSDRE committees and panels.

e. Responsible for annual review of OUSDRE directives and instructions.

f. Responsible for processing clearance requests for OUSDRE speeches and documents.

g. Responsible for Graphics, Printing and Distribution of Congressional Statements--and other speeches.

h. Responsible for production of unclassified Congressional Statement.

i. Maintains library of statements, speeches, Congressional Hearings, Reports, etc. Responsible for internal and external distribution.

j. Answers numerous letters from public and Congress requesting information on inventions, procurement procedures, copies of statements, etc.

k. Maintains historical file and is point of contact with Services on repeat inventors and cranks.

l. Central Control and responsible for processing requests for waivers and parole of foreign scientists.

m. Processes DIA requests for documents to be distributed to foreign governments and requests for visits of foreigners.

n. Recipient and processes Royalty checks for OSRD reports.

o. Liaison with Comptroller on all Security Policy actions involving OUSDRE.

p. Central control point for all DoD Scientific Conferences and Symposia. Distributes complete schedule throughout DoD and Industry bi-monthly.

Personnel

a. Civilian and Military Personnel Functions

b. Training Programs

c. Office Orders

d. Awards

e. Processing of Security Violations

f. Office Directories

Mail and Records

OFFICE OF THE
DEPUTY UNDER SECRETARY OF DEFENSE
FOR RESEARCH AND ENGINEERING
(RESEARCH AND ADVANCED TECHNOLOGY)

--MISSION STATEMENT--

Responsible for overall management of the science and technology (S&T) programs of the Department of Defense, and for related activities such as manufacturing technology and monitorship of the Defense in-house laboratories and Federal Contract Research Centers. Specific activities include:

- Necessary policy and programmatic actions to enable the U.S. to maintain a sufficient military technology lead over potential U.S. adversaries.

- Primary responsibility for appropriate and adequate participation by the academic community and the U.S. industrial base in the DoD S&T Program.

- Ensuring the timely interaction needed between the national scientific and technical intelligence community and the DoD S&T community.

- Serving as the DoD interface with the Government-wide S&T community to include, as appropriate, the President's Office of Science and Technology Policy.

- Representing DoD on international defense S&T matters and bodies, in conjunction with the Deputy Under Secretary of Defense for International Programs and Technology.

- Taking the lead in DoD for the timely generation and usage of Scientific and Technical Information (STI).

OFFICE OF THE
DEPUTY UNDER SECRETARY OF DEFENSE
FOR RESEARCH AND ENGINEERING
(RESEARCH AND ADVANCED TECHNOLOGY)

--PROFESSIONAL STAFF--

Deputy Under Secretary of Defense for
Research and Engineering (R&AT)--
Dr. George P. Millburn (Acting)

Technical Assistant -- Dr. George P. Millburn, SES-4
Military Assistant -- Colonel T. R. Hukkala, USA
Special Assistant -- Mr. James H. Terrell, GS-15

Director of Environmental and
Life Sciences -- Colonel E. W. Friday

Chemical Technology -- Mr. Thomas Dashiell, SES-4
Medicine & Life Sciences -- Colonel P. E. Winter, USA
Personnel & Training Technology
-- Commander P. R. Chatelier, USN

Director of Engineering Technology
--Mr. Gershom R. Makepeace, SES-4

Aeronautical -- Mr. Raymond Siewert, SES-4
Guided Weapons -- Mr. George Kopcsak, GS-15
Materials & Structures -- Mr. Jerome Persh, SES-4
Ordnance -- Mr. Ray Thorkildsen, SES-4
Vehicular Propulsion -- Mr. Raymond Standahar, SES-4

Director of Electronics and Physical
Sciences -- Dr. Joseph Feinstein, SES-4

Computer/C^2 -- Mr. Joseph C. Batz, GS-15
Electronic Warfare & Target Acquisition
-- Dr. Samuel A. Musa, SES-3
Electron Devices & Integrated Circuits
-- Mr. Larry Sumney, SES-2
Search & Surveillance -- Dr. John MacCallum, SES-2

Director of Directed Energy Programs
-- Dr. J. Richard Airey, SES-4

Deputy -- Colonel F. S. Holmes, Jr., USA

Director of Research
-- Dr. George Gamota, SES-4

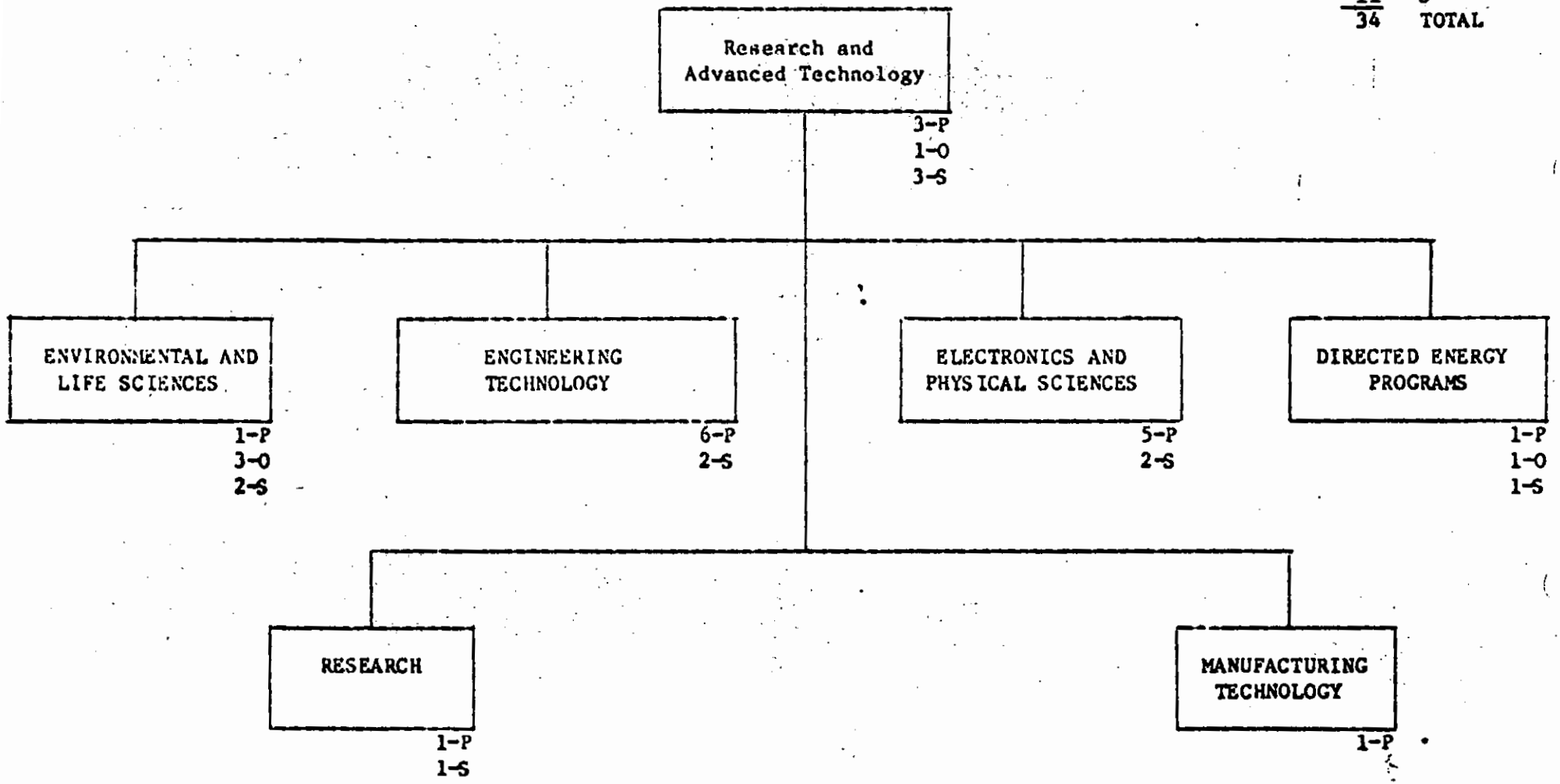
Assistant for Manufacturing Technology
-- Dr. Lloyd L. Lehn, GS-15

OFFICE OF THE
DEPUTY UNDER SECRETARY OF DEFENSE
FOR RESEARCH AND ENGINEERING
(RESEARCH AND ADVANCED TECHNOLOGY)

--ORGANIZATIONAL CHART--

Authorized Strength:

18	-	P
5	-	O
11	-	S
34		TOTAL



Legend:

P: Civilian Professional
O: Military Officer
S: Civilian Secretary

OFFICE OF THE
DEPUTY UNDER SECRETARY OF DEFENSE
FOR RESEARCH AND ENGINEERING
(RESEARCH AND ADVANCED TECHNOLOGY)

--BUDGET RESPONSIBILITIES--
(Dollars in Millions)

	Budget Category	FY 80	FY 81
Research: The basic research program performed by universities, in-house laboratories and industry.	6.1	$ 466	$ 547
Exploratory Development: The applied research program performed by universities, in-house laboratories and industry.	6.2	1,170	1,382
Advanced Development: Primarily the non-system technology demonstrations portion of this category.	6.3	615	635
Engineering Development: Chemical warfare, non-system training devices, medical equipment, aeronautical life support equipment and production aircraft engine improvements.	6.4	252	382
Management and Support: DoD-wide Scientific and Technical Information (STINFO), Service studies and analyses, and munitions safety, standards, etc.	6.5	79	87
Operational Systems Development: Propulsion testing, flight test support, meteorological support, and laboratory support to the fleet.	—	12	13
Manufacturing Technology: Demonstration of generic technologies to increase productivity of the industrial base.	7.8	156	155
TOTAL		$2,750	$3,201

NOTES: 1. The above programs are "clustered" into 27 technical areas such as directed energy, aeronautical vehicles, chemical warfare, electronic devices, electronic warfare, ocean vehicles, etc.

2. In addition, the DUSD(R&AT) monitors production programs on chemical warfare and meterological equipment (about $75 million per year).

3. Also the DUSD(R&AT) is the OSD office responsible for meteorological services. This O&M budget approximates $300 million per year.

MISSION STATEMENT

DEPUTY UNDER SECRETARY (STRATEGIC AND SPACE SYSTEMS)

Responsible for formulation of all technical and programmatic aspects of the spectrum of strategic and space activities including Strategic Offense (land-based, sea-based, and air breathing), Strategic Defense, and Space Systems.

Reviews, analyzes, and evaluates all DoD research, development and acquisition programs for Strategic Offense, Strategic Defense, and Space Systems.

Manages preparation of an overall plan for allocation of development and acquisition resources among the Strategic Offense, Strategic Defense, and Space System programs.

Reviews DCPs and MENS for development activities in the Strategic Warfare mission areas.

Reviews development, prototype, and full scale production activities conducted for Strategic Warfare and Space Systems.

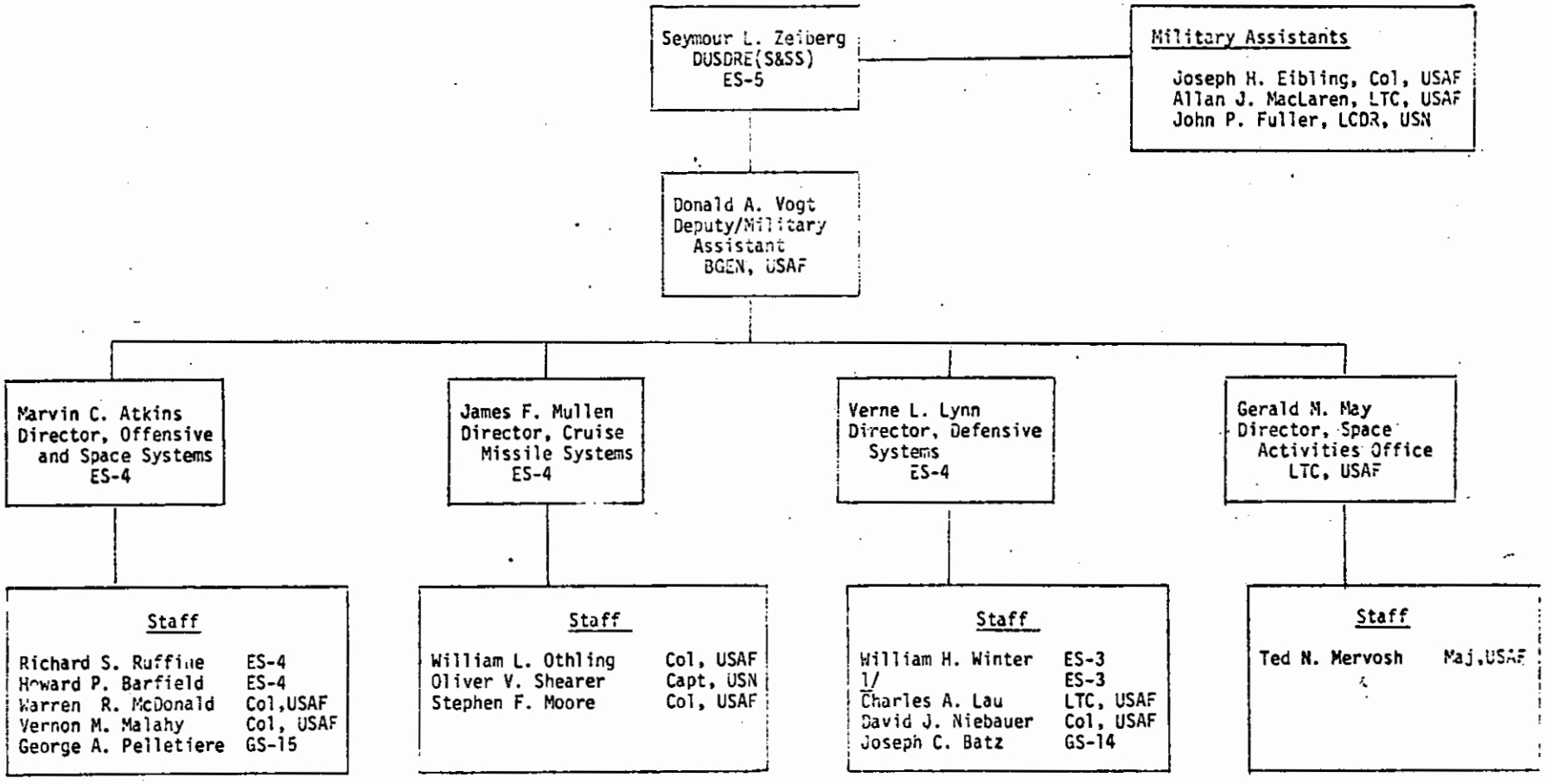
Recommends revisions to specific program DCPs or to the programs being pursued under the authority thereof.

Recommends a budget and apportionment of appropriated funds for Strategic Warfare and Space Systems development and acquisition activities.

Manages other related programs and non-strategic programs specifically assigned (currently includes SLCM, GLCM, and C-X).

BUDGETS FOR S&SS PROGRAM ($B)

	FY 1980	FY 1981
RDT&E	2.5	3.8
PROCUREMENT	4.6	5.1



1/ Position under active recruitment

Deputy Under Secretary of Defense for Research and Engineering

(Tactical Warfare Programs)

The Deputy Under Secretary (Tactical Warfare Programs) has responsibility for the research, development and acquisition of programs relating to General Purpose Forces. These programs involve a broad range of technologies including ships, submarines, aircraft, tanks, guns, and guided missiles. The functions of this position are as follows:

Plans, reviews, and controls all DoD development and procurement programs for Tactical Warfare Systems.

Prepares an overall plan for allocation of development and procurement resources among the various major mission areas of land warfare, naval warfare, air warfare, theater nuclear forces, and mobility forces.

Examines and studies the needs of the armed forces in the major mission areas to determine the optimism choice for the initiation of new programs.

Recommends programs and budgets under the PPBS system for tactical warfare development and procurement activities.

Manages the acquisition process for tactical programs including the review and recommendation for approval of Mission Element Need Statements, Decision Coordinating Papers, Secretary of Defense Decision Memorandums. Monitors program cost, schedule, and performance status and conducts program reviews as required.

Directs a staff organized into three line offices (Land Warfare, Naval Warfare and Air Warfare) and a support office with a total staff of 34 professional and 14 non-professional employees.

Interfaces directly with Congressional staff members to provide details on DoD requested programs and testifies at Committee hearings.

USDR&E(TWP) PORTION OF THE BUDGET

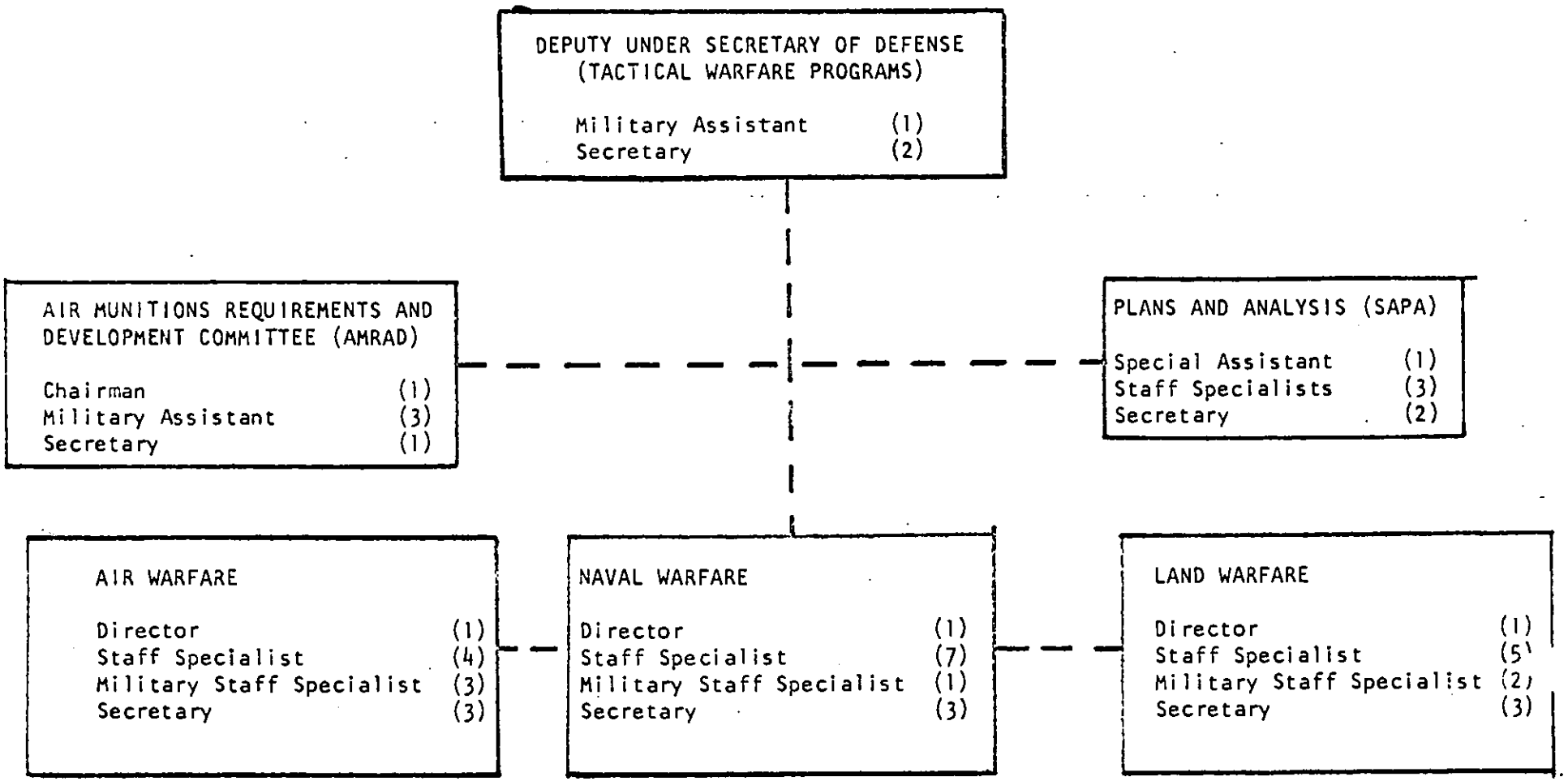
	R&D	PROCUREMENT
FY80	$3.9B	$22.6B
FY81	$3.9B	$24.9B

TWP PROFESSIONAL STAFF

DIVISION	NAME AND GRADE	TITLE	AREA OF RESPONSIBILITY
SAPA	DR. MILTON MINNEMAN, SES IV	SPECIAL ASSISTANT, PLANS AND ANALYSIS	
SAPA	MR. FRED WARD, GS-13	COMPUTER SYSTEMS ANALYST	PPBS, CONGRESSIONAL REPORTS
SAPA	DR. DAVID STEFANYE, GS-15	PHYSICAL SCIENTIST, GENERAL ENGINEER	TNF, ISRAEL RESEARCH AND DEVELOPMENT
SAPA	MR. STANLEY GAWLIK, GS-13	STAFF ASSISTANT	PROGRAM MANAGEMENT, STUDIES, PLANNING
AIR WARFARE	DR. JOHN TRANSUE, SES IV	DIRECTOR, AIR WARFARE	
AIR WARFARE	COL WILLIAM SCHEUREN, USMC	MILITARY ASSISTANT TO DIRECTOR	STAFF SPECIALIST FOR MOBILITY
AIR WARFARE	MR. MARTIN CHEN, SES I	STAFF SPECIALIST	INTERDICTION/NAVAL STRIKE
AIR WARFARE	MR. MIKE FITZGIBBON, GS-15	STAFF SPECIALIST	ATTACK AIRCRAFT AND TARGET ACQUISITION
AIR WARFARE	MR. DEAN GISSENDANNER, GS-15	STAFF SPECIALIST	PROPULSION SYSTEMS
AIR WARFARE	COL CHARLES HANSULT, USAF	MILITARY STAFF SPECIALIST	AIR TO AIR MISSILES, DEFENSE SUPPRESSION
AIR WARFARE	CAPT DON BOECKER, USN	MILITARY STAFF SPECIALIST	FIGHTER AIRCRAFT
AIR WARFARE	DR. CHARLES WILLIAMS	STAFF SPECIALIST	CLOSE AIR SUPPORT, BATTLEFIELD INTERDICTION

* ON LOAN TO OUSD(R&E)TWP

TWP ORGANIZATIONAL CHART



Attachment

DIVISION	NAME AND GRADE	TITLE	AREA OF RESPONSIBILITY
NAVAL WARFARE	MR. WILLIAM O'NEIL, SES IV	DIRECTOR, NAVAL WARFARE	
NAVAL WARFARE	MR. DAVID ANDERSON, SES III	STAFF SPECIALIST	ANTI-SUB WARFARE, ELECTROMAGNETIC SYSTEMS, PLANNING & PRIORITIES
NAVAL WARFARE	DR. EDWARD MCKINNEY, SES III	STAFF SPECIALIST	UNDERSEA SURVEILLANCE, NAVAL MINE WARFARE, UNDERSEA WEAPONS
NAVAL WARFARE	CAPT JOHN PETERS, USN	MILITARY STAFF SPECIALIST	SUBMARINE WARFARE, PPBS
NAVAL WARFARE	MR. JOHN MCGOUGH, GS-15	STAFF SPECIALIST	SHIPBUILDING, AMPHIBIOUS WARFARE, MULTI-MISSION SHIPS, ENERGY ELECTRICAL/ MECHANICAL COMPONENTS
NAVAL WARFARE	DR. CHARLES KINCAID, GS-15	STAFF SPECIALIST	ANTI-AIR WARFARE, NAVAL WARFARE SUPPORT, TAC NUC WEAPONS
NAVAL WARFARE	MR. THOMAS AMRHEIN, GS-15 (ON TRAINING ASSINGMENT UNTIL DECEMBER 15)	STAFF SPECIALIST	ANTI-SURFACE WARFARE, OVER THE HORIZON TARGETING, CRUISE MISSILES
NAVAL WARFARE	MR. JOSEPH FAULKNER, GS-15	TRAINEE (FROM NAVY)	ASW SENSORS, FIRE CONTROL AND WEAPONS
NAVAL WARFARE	MS. DONNA KULLA, GS-11	TRAINEE (FROM NAVY)	P-3, VPX, PROTOTYPE PROGRAM (JCAPP)
LAND WARFARE	MR. CHARLES BERNARD, SES IV	DIRECTOR, LAND WARFARE	
LAND WARFARE	COL CHARES GARVEY, USA	MILITARY ASSISTANT	CLOSE COMBAT/LOGISTICS, MECHANIZED VEHICLES, INFANTRY WEAPONS, ANTI-ARMOR

DIVISION	NAME AND GRADE	TITLE	AREA OF RESPONSIBILITY
LAND WARFARE	MR. CYRIL HORTON, SES IV	STAFF SPECIALIST	CLOSE COMBAT, AERONAUTICAL ENGINEERING, ARMOR, MECHANIZED VEHICLES
LAND WARFARE	MR. MYRON BRUNS, GS-15	STAFF SPECIALIST	CONVENTIONAL AMMUNITION
LAND WARFARE	MR. GUNTIS SRADERS, GS-15	STAFF SPECIALIST	BATTLEFIELD SURVEILLANCE/AIR MOBILITY, ELECTRONICS, HELICOPTERS
LAND WARFARE	LTCOL CLETUS KUHLA, USAF	MILITARY ASSISTANT	PHYSICAL SECURITY SYSTEMS
LAND WARFARE	MR. JOHN REIF	ASSISTANT STAFF SPECIALIST	CONVENTIONAL AMMUNITION
LAND WARFARE	(VACANT, GS-14/15)	STAFF SPECIALIST	FIRE SUPPORT
LAND WARFARE	(VACANT, SES I)	SENIOR STAFF SPECIALIST	GROUND AIR DEFENSE
AMRAD	CAPT DONALD WILSON, USN	CHAIRMAN	
AMRAD	COL ERNEST EVANS, USMC	MARINE CORPS REP.	
AMRAD	COL ALAN WALKER, USAF	AIR FORCE REP.	
TWP	MR. DAVID HARDISON, SES IV	DEPUTY UNDER SECRETARY	
TWP	COL DONALD COUTURE, USAF	MILITARY ASSISTANT TO THE DEPUTY UNDER SECRETARY	GENERAL SUPPORT AS REQUIRED

TWP NON-PROFESSIONAL STAFF

DIVISION	NAME	GRADE
TWP	MELANIE BERNARD	GS-09
TWP	ANNETTE GWENSBERG	GS-07
SAPA	PEGGY WOLF	GS-07
SAPA	VACANT	GS-06
AIR WARFARE	IRENE BACON	GS-07
AIR WARFARE	ROBERTA MCCALL	GS-06
AIR WARFARE	JANICE LOVITT	GS-06
NAVAL WARFARE	CAROL KEEFE	GS-07
NAVAL WARFARE	BONNIE MAY	GS-06
NAVAL WARFARE	SANDRA HARVEY	GS-06
LAND WARFARE	MARGO POTTER	GS-07
LAND WARFARE	ANN SIEDEL	GS-06
LAND WARFARE	VACANT	GS-06
AMRAD	LAVONNE TART	GS-07

MISSION STATEMENT

DIRECTOR DEFENSE TEST AND EVALUATION

Review T&E policy and procedures applicable to the Department of Defense as a whole and recommend changes to the Secretary of Defense.

Coordinate T&E instructions to the DoD Components and resolve T&E management problems between DoD Components.

Monitor the T&E planned and conducted by the DoD Components for major acquisition programs and for other programs, as necessary.

Manage the consideration and review of TEMPs within OSD, and review and comment on system T&E aspects of DCPs and other documents concerned with system acquisition T&E.

For major system acquisition programs, provide to the Defense Acquisition Executive, the Defense System Acquisition Review Council (DSARC), the Worldwide Military Command and Control System Council, as appropriate, and the Secretary of Defense an assessment of the adequacy of testing accomplished, an evaluation of test results, and an assessment of the adequacy of testing planned for the future to support system acquisition milestone decisions.

Initiate and sponsor technically and operationally oriented JT&E with specific delegation to appropriate DoD Components of all practical JT&E aspects.

Fulfill OSD responsibilities for the Major Range and Test Facility Base (MRTFB) in accordance with DoD Directive 3200.11.

Monitor, to the extent required to determine the applicability of results to system acquisitions or modifications, that T&E:

Directed by the JCS that relates to the Single Integrated Operational Plan (SIOP) as it affects system technical characteristics.

Conducted primarily for development or investigation of tactics, organization, or doctrinal concepts that affect system technical characteristics.

Review those program elements that relate to DoD Component independent test agency, test facility, and test resource budgets.

Source: DODD 5000.3 dtd 26 Dec 1979

DIRECTOR DEFENSE TEST AND EVALUATION

BUDGET

FY 1980	FY 1981
42.5	42.1

OFFICE UNDER SECRETARY DEFENSE-RESEARCH AND ENGINEERING

DIRECTOR DEFENSE TEST AND EVALUATION

Isham W. Linder	57171	
Executive Assistant LTC Frank H. Tubbesing, Jr.	54608	Foreign Weapons Evaluation
Kay McAllister	57171	

3E1060

Deputy Director for Tactical Air and Land Warfare Systems

BG Eugene Fox	54421	Deputy Director
Mrs Miriam Harrison	54421	Secretary
Col Marvin Garrison	57245/6/7	Joint T&E
Col Ralph Anderson	57245/6/7	Air Defense
Col Joseph Spiers	57245/6/7	TAC S-A Weapons
Capt Jack Calvert	57245/6/7	TAC Aviation
LTC Edward Robinson	74812	Helios/Armor
LTC Robert Demont	74812	Armor
LTC Robert Rahn	57245/6/7	Elec Warfare
Mr James Rogers	74812	Rel & Maint
Miss Janet Myers	57245/6/7	Secretary
Miss Lois Ruff	74812	Secretary

Room 3D1043

Deputy Director for Strategic and Naval Warfare Systems

Mr Charles Watt	57175	Deputy Director
Mrs Gail Greene	57175	Secretary
Mr Donald Greenlee	57176/7	Strat C3I Systems
Mr Gene Thompson	57176/7	Surface Warfare
Dr Dave Anderson	57176/7	Space Support
Mr Don Wood	57176/7	TAC C3I
CDR Boyd Steele	57176/7	ASW/Mine/Submarine
LTC Bob Christopher	57175/6/7	Strategic A/C, Missiles
Miss Cathy Thacker	57175/6/7	Secretary

Room 30973

Deputy Director for Test Facilities and Resources

Mr William Richardson	74818	Deputy Director
Mrs Ann Powell	74818	Secretary
Mr Richard Ledesma	74813/9	Army Test Resour International Ra Support
Mr James Cowgill	74819/70470	Navy Test Resou Aerial Targets
Mr Howard Elmore	74813/70470	Air Force Test Resources
Mr Charles Karns	74819/3	DDTE Appropriat
Mrs Mary Lou Tennant	74813/9	Secretary

Room 3D1031

13 November 1980

MISSION AND CHARTER OF THE DEFENSE ADVANCED RESEARCH PROJECTS AGENCY

The Defense Advanced Research Projects Agency was formed in early 1958, just a few months after the launching of the first Sputnik, to provide insurance against any future technological surprise. In proposing the Agency, Neil McElroy, then Secretary of Defense, testified that its purpose was to facilitate a quicker operational result for advanced technologies and to provide a general agency for exploring some highly speculative types of possible weapon systems. DARPA remains active in this role today and helps to provide new technological concepts and options to the Services. DARPA also serves as the corporate research staff of the Secretary of Defense and has a broad charter to take on tasks to achieve priority scientific objectives.

Department of Defense Directive 5105.41 sets forth the DARPA Charter as follows:

> Provide for the conduct of basic and applied R&D of advanced projects as may be designated by Under Secretary of Defense for Research and Engineering
>
> - Recommend to SECDEF assignment of R&D projects to ARPA
> - Place funded work orders with DoD components
> - Establish for DARPA and military departments such procedures required to perform work
> - Engage in assigned advanced R&D projects
> - Keep DDR&E, JCS and Services informed of new developments, technical advances

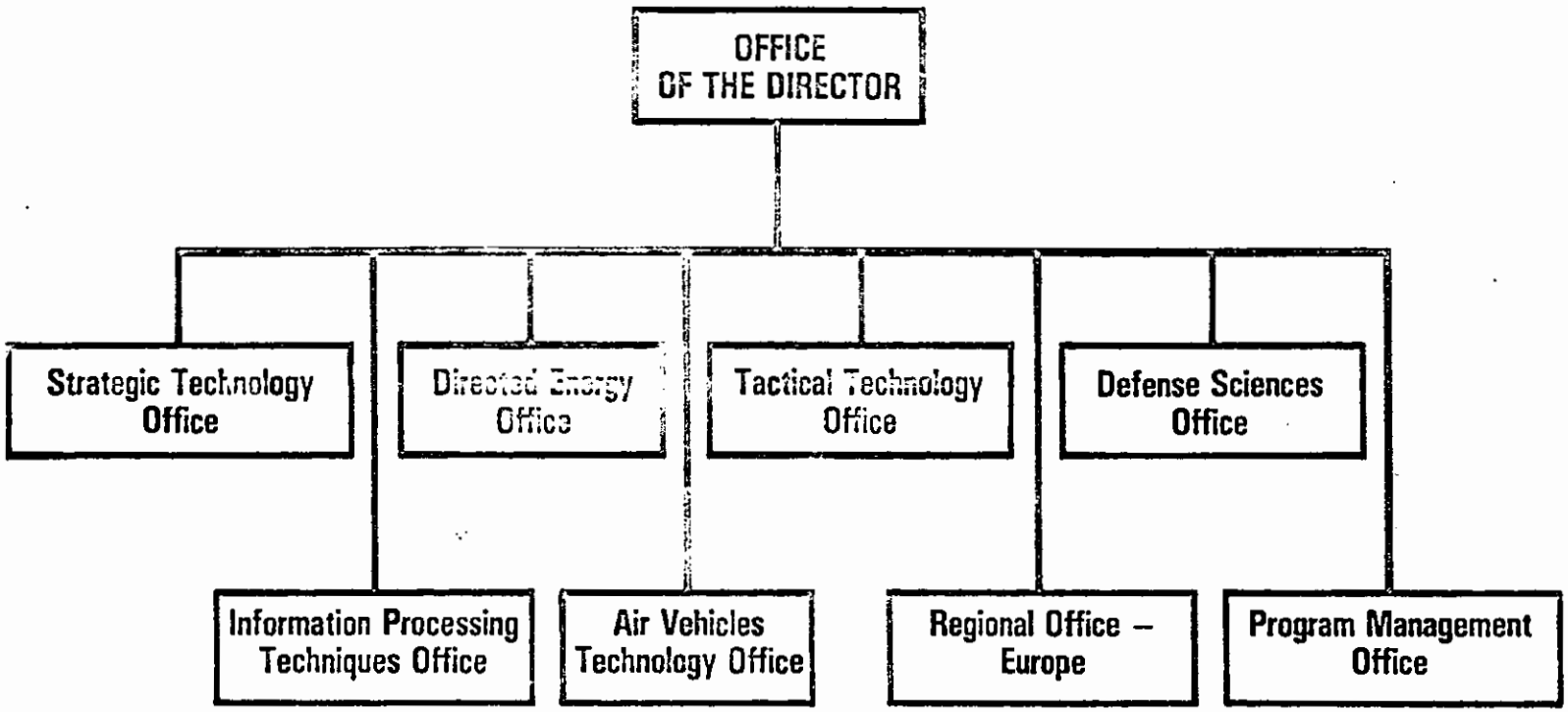
DARPA RDT&E BUDGET

(Direct Appropriation)

($ Millions)

FY 1980	FY 1981
455	572

DARPA's ORGANIZATION



252-1-3-80 30
R4-15-80

DEFENSE ADVANCED RESEARCH PROJECTS AGENCY (DARPA)
1400 Wilson Blvd., Arlington, VA 22209

Staff Directory

November 1980

DIRECTOR'S OFFICE		
Dr. Robert R. Fossum (Dir)	802	43007
Dr. Carl F. Romney (Dep Dir for Resch)	802	43035
Mr. Richard U. Scott (Dir, Pac)	750	44002
Mr. David T. Pelter	823	41633
Mrs. Margaret M. Doyle	802	43007
Mrs. Anita J. Kubasiewicz	802	43035
MANPOWER		
Ms. Dorothy L. Lindemuth	605	43077
Miss Briggitte R. Jones	605	45469
Mrs. Kathy James	605	45469
Miss Claudette Armstrong	605	45469
ADMINISTRATIVE SERVICES OFFICE		
Mr. W. L. DeWeese	607	43032
Mrs. Deborah A. Mitchell	611	43998
SPECIAL SECURITY		
Mrs. Kaye Pulzone	610	42087
TECHNICAL INFORMATION		
Miss Ginger Motyka	655	45919
Mrs. Alma Spring	653	45920
Mrs. Ann Everett	655	45919
OFFICE SERVICES		
SSgt Blake W. Corley, USAF	601	41608
SSgt Elton W. Williams, USAF	601	41608
TRAVEL		
TSgt Bill White, USAF	603	48011
MAIL UNIT		
Ms. Ruby Alston	651	43398
Mr. Dwight McLendon	651	45004
Mr. Bob Williams	651	45004
PROGRAM MANAGEMENT OFFICE		
Mr. Ray E. Chapman (Dir)	821	41440
Mr. James C. Goodwyn (Dep Dir)	822	41443
Ms. Kathy W. Pratt	813	41440
Mrs. Barbara Lockhart	813	41443
PROGRAM ANALYSIS		
Mr. Eugene W. Stubbs	825	41588
Mr. Bud Durand	837	41586
Mr. Edward Brown	831	43236
Mr. John K. Meson	835	41626
Mr. Paul R. O'Leary	829	41674
Miss Janice A. Latimer	813	41541
Ms. Terry Douglas	813	41541
FINANCIAL MANAGEMENT		
Mr. James E. Fargo	830	43237
Mr. George W. Morrow	830	43237
Mrs. Dee Dawson	833	41541
Miss Betty Mrun	829	41674
MANAGEMENT INFORMATION SYSTEMS		
Mr. Ronald W. Collison	839	43045
Mr. Pete Tumanidas	701	41469
Mrs. Claire P. Ricaurte	839	43506
Mrs. Margel S. Prince	839	43510
Mrs. Becky Graziano	701	41469
Mrs. Louise Lorenzen	701	41469
Mrs. Janice [illegible]ley	839	43045
REGIONAL OFFIC[illegible] ZONE		
Dr. David A. Churvonia (Dir)		8351
Col Raymond G. Schuarez, USAF (Dep Dir)		6272
VNCSP Stephen Lubasky		6272

INFORMATION PROCESSING TECHNIQUES OFFICE		
Dr. Robert E. Kahn (Dir)	730	45922
LtCol Duane Adams, USAF (Exec Asst)	730	48096
Mr. William E. Carlson	730	45917
LtCol Lawrence E. Druffel, USAF	730	45921
Dr. Vinton G. Cerf	730	43049
Dr. Barry Leiner	730	45918
LtCdr Andrew J. Dietzler, USN	730	45051
Dr. Robert S. Engelmore	730	45037
Ms. Dona McKenney	730	45918
Mrs. Judy Guerny-Lusby	730	44001
Mrs. June B. Ludwig	730	45921
Miss Jacquelyn Jones	730	45917
Mrs. Nettie Whitson	730	48096
Miss Beverly Duckett	730	43049
DEFENSE SCIENCES OFFICE		
Dr. Elliott C. Levinthal (Dir)	721	43010
Dr. Richard A. Reynolds (Dep Dir)	725	43010
Ms. Diane Moore	721	45800
Mrs. Garnette Jones	723	43010
MATERIALS SCIENCES		
Dr. Edward C. van Reuth (Asst Dir)	711	44750
Dr. Michael J. Buckley	719	41644
Dr. Sven Roosild	715	45800
LtCol Loren Jacobson, USAF	705	41346
Dr. Edward Friebele	715	44750
Mrs. Debra Hairston	711	44750
Mrs. Marge Legum	711	44750
CYBERNETICS TECHNOLOGY		
Dr. Craig I. Fields (Asst Dir)	641	41303
Dr. Judith L. A. Daly	631	41303
Dr. Clinton W. Kelly, III	643	41303
Mrs. Janet E. Wilson	635	41303
Mrs. Juanita Rishko	635	41303
NUCLEAR MONITORING RESEARCH		
Col George V. Bulin, Jr., USAF (Asst Dir)	621	43145
Dr. Ralph W. Alewine, III	627	43145
Mrs. Ann Kerr	625	43145
Dr. Thomas C. Bache, Jr.	623	43145
Mrs. Lou Ella Toney	612	43942
Ms. Darlene Lucas	629	43147
STRATEGIC TECHNOLOGY OFFICE		
Dr. Carl M. Thomas (Dir)	955	41701
Ms. Judy L. Dewey	951	43686
Mrs. Gilda Corley	940	41701
SURVEILLANCE		
Mr. James C. Larson (Asst Dir)	945	43688
Dr. James Fraser	933	41570
Dr. Stephen Zakanycz	935	41570
LtCol Allen Herzberg, USAF	953	41702
Maj Edward R. Dietz, USAF	957	41702
Miss Barbara Caldwell	940	41702
Mrs. Gloria McBroom	940	43688
ADVANCED CONCEPTS		
Col Charles E. Heimach, USAF (Asst Dir)	941	41571
Dr. Sherman Karp	937	41570
Miss Rhonda Culver	940	41571

DIRECTED ENERGY OFFICE		
Dr. Douglas Tanimoto (Dir)	911	4362
Dr. H. Alan Pike (Dep Dir)	915	4378
Mr. Robert W. Glaze	915	4362
Miss Linda A. Dupras	909	436[illegible]
Miss Connie Wyatt	909	4362
LASER AND PARTICLE BEAM TECHNOLOGY		
Dr. Joseph Mangano (Asst Dir)	921	437[illegible]
Dr. John R. Bayless	905	436[illegible]
LtCol Rettig P. Benedict, Jr., USAF	921	4374
LtCdr William E. Wright, USN	903	4176
Ms. Eileen Peach	919	4378
SPACE DEFENSE TECHNOLOGY		
Dr. Robert Sepucha (Actg Asst Dir)	929	
Col Ronald F. Prater, USAF	925	
Dr. Donald C. Winter	917	4[illegible]
Ms. Gussie Hopkins	919	437[illegible]
TACTICAL TECHNOLOGY OFFICE		
Mr. Wm. J. Phillips (Dir)	1011	424[illegible]
Dr. James A. Tegnelia (Dep Dir)	1007	426[illegible]
Mrs. Denice J. Hancotte	1003	429[illegible]
Mrs. Natalie D. Shideler	1012	425[illegible]
OCEAN MONITORING AND CONTROL		
Cdr Vernon P. Simmons, USN (Actg Asst Dir)	1033	418
Dr. Theo Kooij	1027	43[illegible]
Mr. Basil Papadales	1023	41[illegible]
Capt Karl M. Duff, USN	510	412[illegible]
Cdr Robert C. Bartlett, USN	1035	41[illegible]
Dr. Arthur J. Bruckheim	1025	41[illegible]
Mrs. Florence McCafferty	510	412
Mrs. Nancy Robinson	1031	427[illegible]
Miss Phyllis A. Pina	1031	427[illegible]
WEAPONS TECHNOLOGY AND CONCEPTS		
LtCol Jean D. Reed, USA (Actg Asst Dir)	1015	418
Dr. Raymond P. Gogolewski	1015	483
Dr. Allen R. Atkins	1014	42[illegible]
Mrs. Shirley A. Perkins	1017	483
Mrs. Joann Mathis	1017	[illegible]
TARGET ACQUISITION AND ENGAGEMENT		
Mr. Nicholas J. Willis (Asst Dir)	1013	[illegible]
LtCol Thomas W. Swartz, USAF	1005	429
Ms. Cynthia Fritzinger	1010	426
AIR VEHICLES TECHNOLOGY OFFICE		
Col Norris J. Krone, USAF (Dir)	1047	435
Mrs. Dorothy Orr	1055	43[illegible]
Mrs. Judy Lowe	1053	4[illegible]
MANNED AIRCRAFT		
LtCol James N. Allburn, USAF	1051	43[illegible]
Mrs. Maureen B. Origlio	1050	4[illegible]
UNMANNED AIRCRAFT		
LtCol Richard S. Baty, USAF	104[illegible]	43[illegible]
Mr. Donald Elder	1045	43[illegible]
Cdr Donald L. Finch, USN	1041	43[illegible]
Ms. Nancy Kuhn	1043	43[illegible]

EMERGENCY TELEPHONE NUMBERS			
Police	558-2722	[illegible] Code	
Fire	527-8900	[illegible]x	
Ambulance	527-8900	[illegible]on	[illegible]
Guard	42336	[illegible] Telecopier	45[illegible]

June 8, 1978
NUMBER 5105.41

ASD(C)

Department of Defense Directive

SUBJECT Defense Advanced Research Projects Agency (DARPA)

Reference: (a) DoD Directive 5105.41, "Defense Advanced Research Projects Agency," March 23, 1972 (hereby canceled)

A. PURPOSE

Pursuant to the authority vested in the Secretary of Defense under the provisions of title 10, United States Code, this Directive reissues reference (a) and establishes the Defense Advanced Research Projects Agency (hereafter referred to as "DARPA") with responsibilities, functions, authorities and relationships as outlined below.

B. MISSION

DARPA shall manage and direct the conduct of selected advanced basic and applied research and development projects for the Department of Defense.

C. ORGANIZATION AND MANAGEMENT

DARPA is established as a separate agency of the Department of Defense under the staff and operational direction of the Under Secretary of Defense for Research and Engineering. It shall consist of a Director and such subordinate organizational elements as are established by the Director within resources authorized by the Secretary of Defense.

D. RESPONSIBILITIES AND FUNCTIONS

The Director, DARPA shall:

1. Organize, direct, and manage the DARPA and all resources assigned to the DARPA.

2. Provide guidance and assistance, as appropriate, to all DoD Components and other U.S. Government activities on matters pertaining to the projects assigned to the DARPA.

3. Recommend to the Secretary of Defense, through the Under Secretary of Defense for Research and Engineering, the assignment of research projects to DARPA.

4. Arrange for the performance of and supervise the work connected with DARPA projects assigned to the Military Departments, other U.S. Government activities, individuals, private business entities, educational institutions, or research institutions, giving consideration to the primary functions of the Military Departments.

5. Engage in assigned advanced research projects.

6. Keep the Under Secretary of Defense for Research and Engineering, the Military Departments, the Joint Chiefs of Staff, and other DoD Agencies informed, as appropriate, on significant new developments, breakthroughs, and technological advances within assigned projects and on the status of such projects in order to facilitate early operational assignment.

7. Prepare and submit to the Assistant Secretary of Defense (Comptroller), in accordance with established procedures, the DARPA annual program-budget estimates, to include the assignment of appropriation program priorities.

8. Perform such other functions as may be assigned by the Under Secretary of Defense for Research and Engineering.

E. AUTHORITY

The Director, DARPA, is specifically delegated authority to:

1. Place funded work orders with the Military Departments and other DoD Components or directly with subordinate echelons of the Military Departments, after clearance with the Secretary of the Military Department concerned.

2. Authorize the allocation, as appropriate, of funds made available to DARPA for assigned advanced projects.

3. Establish for DARPA, the Military Departments, and other research and development activities, such procedures required in connection with work being performed for DARPA consistent with policies and instructions governing the Department of Defense.

4. Acquire or construct, through a Military Department or other U.S. Government agency, such research, development, and test facilities and equipment required to carry out his assignments and that may be approved by the Secretary of Defense in accordance with applicable statutes and DoD Directives.

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5. Exercise the administrative authorities contained in Enclosure 1 of this Directive.

F. RELATIONSHIPS

1. In the performance of his functions, the Director, DARPA, shall:

a. Coordinate actions, as appropriate, with the other Components of DoD having collateral or related functions in the field of his assigned responsibility.

b. Maintain active liaison for the exchange of information and advice in the field of his assigned responsibility with all DoD Components, non-DoD research and development institutions (including private business entities), educational institutions, and other U.S. Government activities.

c. Make full use of established facilities in the Office of the Secretary of Defense, other DoD Components, and other Governmental agencies rather than unnecessarily duplicating such facilities.

2. Officials of all DoD Components will provide support, within their respective fields of responsibility, to the Director, DARPA as may be necessary to carry out the assigned responsibilities and functions of his Agency.

G. ADMINISTRATION

1. The Director, DARPA, shall be a civilian selected by the Secretary of Defense.

2. DARPA shall be authorized such personnel, facilities, funds, and other administrative support as the Secretary of Defense deems necessary.

3. The Military Departments shall assign personnel to DARPA in accordance with approved authorizations and procedures for assignment to joint duty.

4. Administrative support required for DARPA will be provided by the Director, Washington Headquarters Services, and other DoD Components, as appropriate.

H. EFFECTIVE DATE

This Directive is effective immediately.

Enclosure - 1
Delegations of Authority

C W Duncan Jr

Deputy Secretary of Defense

DELEGATIONS OF AUTHORITY

Pursuant to the authority vested in the Secretary of Defense, and subject to his direction, authority, and control, and in accordance with DoD policies, directives, and instructions, the Director, DARPA, or, in the absence of the Director the person acting for him, is hereby delegated authority as required in the administration and operation of DARPA to:

1. Designate any position in DARPA as a "sensitive" position, in accordance with the provisions of the Act of August 26, 1950, as amended (5 USC 7532); Executive Order 10450, dated April 27, 1953, as amended by Executive Orders 10491, 10531, 10458, 10550, and DoD Directive 5210.7, dated September 2, 1966.

2. Authorize and approve overtime work for DARPA civilian officers and employees in accordance with the provisions of the Federal Personnel Manual Supplement 990-1, section 550.111.

3. Authorize and approve:

a. Travel for DARPA civilian officers and employees in accordance with the Joint Travel Regulations, Volume 2, Department of Defense, Civilian Personnel;

b. Temporary duty travel only for military personnel assigned or detailed to DARPA in accordance with the Joint Travel Regulations, Volume I, Members of the Uniformed Services; and

c. Invitational travel to persons serving without compensation whose consultive, advisory, or other specialized technical services are required in a capacity that is directly related to, or in connection with, DARPA activities, pursuant to the provisions of USC 5703.

4. Approve the expenditure of funds available for travel by military personnel assigned or detailed to DARPA for expenses incident to attendance at meetings of technical, scientific, professional, or other similar organizations in such instances where the approval of the Secretary of Defense or his designee is required by law (37 USC 412). This authority cannot be redelegated.

5. Develop, establish, and maintain an active and continuing Records Management Program, pursuant to the provisions of Section 506(b) of the Federal Records Act of 1950 (44 USC 3102), the Freedom of Information Act Program (5 USC 552) and the Privacy Act Program (5 USC 552a).

6. Enter into and administer contracts, through a Military Department or other U.S. Government department or agency, as appropriate, for research and development, supplies, equipment, and services required to accomplish the mission of DARPA. To the extent that any law or Executive Order specifically limits the exercise of such authority to persons at a higher level in the Department of Defense, such authority will be exercised by the appropriate Under Secretary or Assistant Secretary of Defense.

7. Establish and use Imprest Funds for making small purchases of material and services, other than personal, when it is determined more advantageous and consistent with the best interest of the Government, in accordance with the provisions of DoD Instruction 5100.71, "Delegations of Authority and Regulations Relating to Cash Held at Personal Risk Including Imprest Funds," March 5, 1973 and the Joint Regulation of the General Services Administration/Treasury Department/General Accounting Office, entitled "For Small Purchases Utilizing Imprest Funds."

8. Authorize the publication of advertisements, notices, or proposals in public periodicals as required for the effective administration and operation of DARPA (44 USC 3702).

9. Promulgate the necessary security regulations for the protection of property and places under the jurisdiction of the Director, DARPA pursuant to subsections III.A. and V.B. of DoD Directive 5200.8, "Authority of Military Commanders Under the International Security Act of 1950 To Issue Security Orders and Regulations for the Protection of Property or Places Under Their Command," August 20, 1954.

10. Establish and maintain, for the functions assigned, an appropriate publications system for the promulgation of regulations, instructions, and reference documents, and changes thereto, pursuant to the policies and procedures prescribed in DoD Directive 5025.1, November 18, 1977.

11. In coordination with the Deputy Assistant Secretary of Defense (Administration), enter into interservice support agreements in accordance with DoD Directive 4000.19, "Basic Policies and Principles for Interservice, Interdepartmental and Interagency Support," March 27, 1972.

12. Establish and maintain appropriate Property Accounts for DARPA and appoint Boards of Survey, approve reports of survey, relieve personal liability, and drop accountability for DARPA property contained in the authorized Property Accounts that have been lost, damaged, stolen, destroyed, or otherwise rendered unserviceable, in accordance with applicable laws and regulations.

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The Director, DARPA, may redelegate these authorities, as appropriate, and in writing, except as otherwise specifically indicated above or as otherwise provided by law or regulation.

These delegations of authority are effective immediately.

18 Nov 1980

DEFENSE NUCLEAR AGENCY - TOA's

FY 80: $208,769,000

FY 81: $223,395,000 (granted by OSD)

November 3, 1971
NUMBER 5105.31

ASD(C)

Department of Defense Directive

SUBJECT Defense Nuclear Agency (DNA)

References: (a) DoD Directive 5105.31, "Defense Atomic Support Agency (DASA)," July 22, 1964 (hereby cancelled)

(b) DoD Directive 4145.20, "Environmental Criteria and Design Standards for Atomic Weapons Storage and Maintenance Facilities," November 29, 1961 (hereby cancelled)

(c) DoD Directive 5154.4, "The Department of Defense Explosives Safety Board," October 23, 1971

(d) DoD Directive 5030.2, "Procedure for Handling Joint AEC-DoD Nuclear Weapons Development Projects," October 26, 1962

I. GENERAL

Pursuant to the authority vested in the Secretary of Defense, the Defense Nuclear Agency (DNA) is established as a designated agency of the Department of Defense (DoD) under the direction, authority, and control of the Secretary of Defense.

II. ORGANIZATION

DNA will consist of:

A. A Director, a Deputy Director (Operations and Administration), a Deputy Director (Science and Technology), and a headquarters establishment.

B. Such subordinate units, field activities, and facilities as are established by the Director, DNA, or are herein or hereafter assigned or attached specifically to DNA by the Secretary of Defense.

III. MISSION AND RESPONSIBILITIES

A. The mission of DNA is to provide support to the Secretary of Defense, the Military Departments, the Joint Chiefs of Staff, and other DoD Components, as appropriate, in matters concerning nuclear weapons as provided herein and such other aspects of the DoD nuclear program as may be directed by competent authority.

B. The Director, DNA, will be responsible for:

1. Consolidated management of the DoD nuclear weapons stockpile in accordance with the functions assigned herein.

2. Management of DoD nuclear weapons testing and nuclear weapons effects research programs. (This does not affect the basic Service responsibility for all aspects of specific weapons system development).

3. Providing staff advice and assistance on nuclear weapons matters within his cognizance to the Secretary of Defense, the Military Departments, the Joint Chiefs of Staff, other DoD Components, and government agencies, as appropriate and when requested.

IV. SUPERVISION

Staff supervision of DNA for the Secretary of Defense will be provided as follows:

A. The Joint Chiefs of Staff, acting through the Director, DNA, will exercise primary staff supervision over

DNA activities, except as prescribed otherwise herein. Specifically, they will:

1. Exercise staff supervision over the military operational aspects of DNA activities, including: (a) composition of the nuclear stockpile; (b) allocation and deployment of nuclear weapons; (c) military participation in and support of nuclear testing; (d) frequency of technical standardization inspections; and (e) requirements for technical publications.

2. Review and provide military advice on the adequacy of the DNA efforts in nuclear weapons testing and nuclear weapons effects research which is related directly to military systems considered in the Joint Strategic Objectives Plan, Joint Force Memorandum, and Nuclear Warhead Development Guidance.

B. The Director, Defense Research and Engineering (DDR&E) will exercise staff supervision through the Director, DNA, keeping the Director, Joint Staff, informed, of DNA activities associated with the DoD nuclear weapons effects research and nuclear weapons test programs.

C. The Assistant to the Secretary of Defense (Atomic Energy) will exercise staff supervision through the Director, DNA, keeping the Director, Joint Staff, informed, of DNA activities associated with: (1) technical nuclear safety; (2) logistics aspects of nuclear weapon stockpile management; (3) the application of nuclear energy in other than the weapons field; (4) the transmission of information to the Joint Committee on Atomic Energy, as required by the Atomic Energy Act of 1954, as amended; and (5) agreements between the DoD and the Atomic Energy Commission (AEC) on appropriate nuclear matters. In his role as Chairman of the Military Liaison Committee (MLC), the ATSD(AE) will exercise staff supervision through the Director, DNA, of DNA activities associated with DNA support of the MLC.

V. FUNCTIONS

Under its Director, and in accordance with the assignments of responsibility specified in Paragraph III., above, DNA will perform the following functions:

A. Maintain overall surveillance and provide guidance, coordination, advice, or assistance, as appropriate, for all nuclear weapons in DoD custody, including production, composition, allocation, deployment, movement, storage, maintenance, quality assurance and reliability assessment, reporting procedures, and retirement.

B. Provide advice and assistance, as appropriate, to the Secretary of Defense, Military Departments, Joint Chiefs of Staff, Unified and Specified Commands, and other government agencies on the effectiveness of nuclear weapons; the vulnerability of military forces, installations, and systems against nuclear weapons effects; and radiological defense activities. In this connection, when directed by the DDR&E, DNA will serve as DoD coordinator for work in selected technological areas related to nuclear vulnerability activities conducted by the Military Departments or other DoD Components.

C. Provide nuclear weapon stockpile information to the Joint Chiefs of Staff as required.

D. Provide nuclear warhead logistic information to authorized DoD organizations.

E. Plan, coordinate, and supervise the conduct of DoD nuclear weapons effects research and nuclear weapons testing, to include evaluation of the results of these programs.

F. Develop, coordinate, and maintain the national nuclear test readiness program jointly with the AEC and perform associated technical, operational, and safety planning.

G. Develop, coordinate, and conduct test exercises, overseas nuclear tests, and other nuclear-related operations, as directed. Arrange for mutual AEC-DoD support of AEC, DoD, or joint nuclear weapons tests.

H. Act as the central coordinating agency for the DoD with the AEC on nuclear weapon stockpile management, nuclear weapon testing, and nuclear weapons effects research within approved policies and programs and in consonance with the statutory provisions for the MLC and pertinent DoD-AEC agreements.

I. Conduct technical standardization inspections of units having responsibilities for assembling, maintaining or storing nuclear weapons, their associated components and ancillary equipment. Inspections will be performed on a selective sampling basis of nuclear capable units assigned to every major command in the Department of Defense. The Joint Chiefs of Staff will determine the frequency of such inspections. Inspection schedules will be coordinated with the major or component commands and the Service concerned.

J. Command the Armed Forces Radiobiology Research Institute (AFRRI).

K. Maintain and operate a Joint Nuclear Accident Coordinating Center (JNACC), in conjunction with the AEC.

L. Operate the Joint Atomic Information Exchange Group (JAIEG) in accordance with policy guidance furnished jointly by the ATSD(AE) for the DoD and the Assistant General Manager for Military Application for the AEC.

M. Perform for the DoD: (1) integrated materiel management functions for all AEC special designed and quality controlled nuclear ordnance items and for Service designed and quality controlled nuclear ordnance items where such management is mutually agreed upon between DNA and the appropriate Service, or as directed by the Assistant Secretary of Defense (Installations and Logistics); (2) management of

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that portion of the Federal Cataloging Program pertaining to nuclear ordnance items including the maintenance of the central data bank and the publication of Federal Supply Catalogs and Handbooks for all nuclear ordnance items; (3) as the DoD assignee, the standardization of nuclear ordnance items in coordination with the appropriate Service; (4) management of the AEC-DoD loan account for nuclear materials; and (5) management of a technical logistics data and information program.

N. Perform technical analyses and studies for the Secretary of Defense, the Military Departments, and the Joint Chiefs of Staff of nuclear related problems; prepare and coordinate implementing directives and joint technical publications when requested. DNA will provide analysis and study results to Defense Components, as appropriate, when such results are pertinent to stated requirements.

O. In coordination with the AEC and the Military Departments, disseminate technological information of joint interest relating to nuclear technology, development, and weapons through laboratory liaison, technical reports, and nuclear weapons technical publications. Publications pertaining to specific weapons will be the responsibility of the lead Service for the weapon concerned.

P. Provide technical assistance and support to the Secretary of Defense, the Military Departments, and the Joint Chiefs of Staff in developing nuclear warhead safety requirements and reviewing and processing safety rules for nuclear weapons systems. When appropriate, coordination will be effected with the Department of Defense Explosives Safety Board. (See DoD Directive 5154.4 (reference (c)).

Q. Within guidelines established by the Joint Chiefs of Staff, investigate and recommend DoD security and safety standards and operating procedures.

R. Develop, prepare, and publish, in coordination with the AEC, Military Departments, and the Department of Defense Explosives Safety Board, appropriate guidance,

environmental criteria, and design standards for the construction of facilities to be used for the storage and maintenance of nuclear weapons.

S. Perform such other functions as may be assigned by the Secretary of Defense.

VI. AUTHORITY

The Director, DNA, is specifically delegated authority to:

A. Command the Defense Nuclear Agency.

B. Have access to and direct communications with all DoD Components and, after appropriate coordination, with other organizations.

C. Exercise the administrative authorities contained in Enclosure 1 of this Directive.

VII. RELATIONSHIPS

A. In the performance of his function, the Director, DNA, will: (1) coordinate actions as appropriate with other Components of the DoD and those departments and agencies of government having related functions: (2) maintain appropriate liaison for the exchange of information and findings related to his assigned responsibilities; (3) make maximum use of established facilities, procedures, and channels for logistic support, procurement, accounting, disbursing, investigative, and related administrative operations; (4) obtain information from any Component of the DoD which is necessary for the performance of DNA functions; and (5) insure that the Military Departments, Joint Chiefs of Staff, and appropriate OSD staff elements are kept fully informed concerning DNA activities.

B. The Military Departments and other DoD Components will: (1) provide assistance within their respective fields of responsibility to the Director, DNA, in carrying out

his assigned responsibilities and functions; (2) coordinate with DNA all programs which include or are related to nuclear weapons effects research or nuclear weapons testing: (this includes specifically keeping the Director, DNA informed of systems response to nuclear weapons effects) (3) keep the Director, DNA, informed as to the substance of their major actions being coordinated with other DoD Components, AEC and its laboratories, and other government agencies which relate to DNA functions; and (4) provide the Director, DNA, with requirements for nuclear weapons effects research and nuclear weapons testing.

VIII. ADMINISTRATION

A. The Director, DNA, will be a lieutenant general or vice admiral appointed by the Secretary of Defense, upon recommendation of the Joint Chiefs of Staff. Normally, the position of Director will rotate among the Services.

B. The Deputy Directors will be appointed by the Secretary of Defense. When military officers, the Deputy Directors will be recommended by the Joint Chiefs of Staff and will normally be selected from Services different from that of the Director. Civilian Deputy Directors will be recommended by the DDR&E.

C. DNA will be authorized such personnel, facilities, funds, and other administrative support as the Secretary of Defense deems necessary.

D. The Military Departments will assign military personnel to DNA in accordance with approved Joint Manpower Program authorizations. Procedures for such assignments will be as agreed upon between the Director, DNA, and the individual Military Departments.

DELEGATIONS OF AUTHORITY

Pursuant to the authority vested in the Secretary of Defense, the Director, DNA, or, in the absence of the Director, a person acting for him is hereby delegated, subject to the direction, authority, and control of the Secretary of Defense, and in accordance with DoD policies, directives, and instructions, and pertinent OSD regulations, authority as required in the administration and operation of DNA to:

1. Exercise the powers vested in the Secretary of Defense by Section 204 of the National Security Act of 1947, as amended (10 U.S.C. 1580) and Section 12 of the Administrative Expenses Act of 1946, as amended (5 U.S.C. 302), pertaining to the employment, direction and general administration of DNA civilian personnel.

2. Fix rates of pay for wage board employees exempted from the Classification Act by 5 U.S.C. 5102(c)(7) on the basis of rates established under the Coordinated Federal Wage System. DNA, in fixing such rates, shall follow the wage schedules established by DoD Wage Fixing Authority.

3. Establish such advisory committees and employ such part-time advisors as approved by the Secretary of Defense for the performance of DNA functions pursuant to the provisions of 10 U.S.C. 173, 5 U.S.C. 3109(b), and the Agreement between the DoD and the Civil Service Commission on employment of experts and consultants, dated July 22, 1959.

4. Administer oaths of office incident to entrance into the Executive Branch of the Federal Government or any other oath required by law in connection with employment therein, in accordance with the provisions of the Act of June 26, 1943, as amended, 5 U.S.C. 2903(b), and designate in writing, as may be necessary, officers and employees of DNA to perform this function.

5. Establish a DNA Incentive Awards Board and pay cash awards to and incur necessary expenses for the honorary recognition of civilian employees of the Government whose suggestions, inventions, superior accomplishment, or other personal efforts, including special acts or services, benefit or affect DNA or its subordinate activities in accordance with the provisions of the Act of September 1, 1954, as amended, 5 U.S.C. 4503, and Civil Service Regulations.

6. In accordance with the provisions of the Act of August 26, 1950, as amended (5 U.S.C. 7532); Executive Order 10450, dated April 27, 1953, as amended; and DoD Directive 5210.7, dated September 2, 1966 (as revised):

a. Designate any position in DNA as a "sensitive" position;

b. Authorize, in case of an emergency, the appointment of a person to a sensitive position in the Agency for a limited period of time for whom a full field investigation or other appropriate investigation, including the National Security Check, has not been completed; and

c. Authorize the suspension, but not to terminate the services of an employee in the interest of national security in positions within DNA.

7. Clear DNA personnel and such other individuals as may be appropriate for access to classified Defense material and information in accordance with the provisions of DoD Directive 5210.8, dated February 15, 1962 (as revised), "Policy on Investigation and Clearance of Department of Defense Personnel for Access to Classified Defense Information" and of Executive Order 10501, dated November 5, 1953, as amended.

8. Act as agent for the collection and payment of employment taxes imposed by Chapter 21 of the Internal Revenue Code of 1954, and, as such agent, make all determinations and certifications required or provided for under Section 3122 of the Internal Revenue Code of 1954, 26 U.S.C. 3122, and Section 205(p) (1) and (2) of the Social Security Act, as amended, 42 U.S.C., 405(p) (1) and (2), with respect to DNA employees.

9. Authorize and approve overtime work for DNA civilian officers and employees in accordance with the provisions of Section 550.111 of the Civil Service Regulations.

10. Authorize and approve:

a. Travel for DNA civilian officers and employees in accordance with Joint Travel Regulations, Volume 2, Department of Defense, Civilian Personnel, dated July 1, 1965, as amended.

b. Temporary duty travel only for military personnel assigned or detailed to DNA in accordance with Joint Travel Regulations, Volume I, for Members of the Uniformed Services, dated November 1969, as amended.

c. Invitational travel to persons serving without compensation whose consultative, advisory, or highly specialized technical services are required in a capacity that is directly related to or in connection with DNA activities, pursuant to the provisions of Section 5 of the Administrative Expenses Act of 1946, as amended (5 U.S.C. 5703).

11. Approve the expenditure of funds available for travel by military personnel assigned or detailed to DNA for expenses incident to attendance at meetings of technical, scientific, professional or other similar organizations in such instances where the approval of the Secretary of Defense or his designee is required by law (37 U.S.C. 412). This authority cannot be redelegated.

12. Develop, establish, and maintain an active and continuing Records Management Program, pursuant to the provisions of Section 506(b) of the Federal Records Act of 1950, 44 U.S.C. 3102.

13. Enter into and administer contracts, directly or through a Military Department, a DoD contract administration services component, or other Government department or agency, as appropriate, for supplies, equipment and services required to accomplish the mission of the DNA. To the extent that any law or executive order specifically limits the exercise of such authority to persons at the Secretarial level of a Military Department, such authority will be exercised by the Assistant Secretary of Defense (Installations and Logistics).

14. Establish and use Imprest Funds for making small purchases of material and services other than personal for DNA when it is determined more advantageous and consistent with the best interests of the Government, in accordance with the provisions of DoD Instruction 7280.1, dated August 24, 1970, and the Joint Regulation of the General Services Administration -- Treasury Department -- General Accounting Office, entitled "For Small Purchases Utilizing Imprest Funds."

15. Authorize the publication of advertisements, notices, or proposals in public periodicals as required for the effective administration and operation of DNA (44 U.S.C. 3702).

16. a. Establish and maintain appropriate Property Accounts for DNA.

b. Appoint Boards of Survey, approve reports of survey, relieve personal liability, and drop accountability for DNA property contained in the authorized Property Accounts that has been lost, damaged, stolen, destroyed, or otherwise rendered unserviceable, in accordance with applicable laws and regulations.

17. Promulgate the necessary security regulations for the protection of property and activities under the jurisdiction of the Director, DNA, pursuant to subsections III.A. and V.B. of DoD Directive 5200.8, dated August 20, 1954.

18. Establish and maintain, for the functions assigned, an appropriate publications system for the promulgation of regulations, instructions, and reference documents, and changes thereto, pursuant to the policies and procedures prescribed in DoD Directive 5025.1, dated March 7, 1961.

19. Enter into support and service agreements with the Military Departments, other DoD agencies, or other Government agencies as required for the effective performance of responsibilities and functions assigned to DNA.

20. Issue appropriate implementing documents and establish internal procedures to ensure that the selection and acquisition of ADP resources are conducted within the policies contained in DoD Directive 4105.55, dated January 21, 1971, the Federal Property Management Regulations and Armed Services Procurement Regulations.

The Director, DNA may redelegate these authorities, as appropriate, and in writing, except as otherwise specifically indicated above or as otherwise provided by law or regulation.

This delegation of authority is effective immediately and supersedes the Delegation of Authority made to the Director, DNA in Enclosure 1 to DoD Directive 5105.31 dated July 22, 1964.

IX. EFFECTIVE DATE AND CANCELLATION

This Directive is effective upon publication. References (a) and (b) are hereby superseded and cancelled. Reference (d) will be revised to reflect changed DNA functions.

Deputy Secretary of Defense

Enclosure - 1
Delegations of Authority

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DEPARTMENT OF THE NAVY

The attached documents were provided to the Carter-Reagan Transition Team. Attachment (1) contains those documents releasable in their entirety; attachment (2) is comprised of those documents which have been segregated and are releasable; attachment (3) lists those documents denied in their entirety and attachment (4) provides the appropriate FOI exemptions claimed, rationale, and the Initial Denial Authority.

If you wish to appeal the denial of any of the above documents or information you should address your appeal to the Department of the Navy, Office of the General Counsel, Washington, D. C. 20360.

DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
WASHINGTON, D. C. 20350

30 January 1981

SECRET (UNCLASSIFIED UPON THE REMOVAL OF ATTACHMENTS)

MEMORANDUM FOR THE DIRECTOR, FREEDOM OF INFORMATION AND SECURITY REVIEW, OASD (PA)

Subj: U.S. News and World Report and the Armed Forces Journal Freedom of Information Requests for Transition Issue Papers (DFOI-81-44; DFOI-81-49)

In response to your January 13, 1981 request (Ref: CORR 81-11), four attachments are provided. Attachment (1) contains those documents releasable in their entirety; attachment (2) is comprised of those documents which have been segregated and are releasable; attachment (3) lists those documents denied in their entirety; and attachment (4) provides the appropriate FOI exemptions claimed, rationale, and the Initial Denial Authority.

H. A. HOPE JR.
CAPT USN
Executive Assistant & Naval Aide
to the Secretary of the Navy

ATTACHMENTS

SECNAV CONTROL # 1[illegible]074183

SECRET

SECRET

CATEGORY I DOCUMENTS

RELEASABLE IN ENTIRETY

ATTACHMENT (1)

ATTACH 1

1 December 1980

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OP-090/24 Nov 1980

MARITIME ASPECTS OF U.S. STRATEGY

The limits of U.S. national security interests extend far beyond our territorial boundaries. Setting aside the obvious requirement to deter strategic nuclear attack, the need to deter threats in distant areas to our vital overseas interests or those of our allies requires maritime strength and a forward strategy. It also requires that the U.S. maintain military forces which are ready and on-scene to preserve peace and foster stability, forces which have sufficient mobility and self-sustainability to operate virtually anywhere in the world, forces which are powerful enough to be credible when deployed to a region of interest and victorious when committed to action.

Maritime strength rests on the nation's economic power and political will; it is manifested in naval forces, a merchant marine, a coast guard, fishing and research fleets, the capacity to build and repair ships, ports and cargo handling facilities, and command and control. Of these, naval forces contribute most conspicuously to deterrence and to influencing events in a way favorable to national interests. Even if non-naval options are chosen in the commitment of military power, the adequacy and security of sealift are crucial to the deployment and logistics support of U.S. forces. Naval forces--the Navy and Marine Corps--combine the mobility, range, versatility, controllability, and logistical independence that are most often useful in dealing with crises abroad. Naval forces have offensive capabilities--air strike, shore bombardment, mine laying, landing of Marines--that are highly relevant and uniquely credible in time of crisis or confrontation. Because military options should facilitate, rather than complicate, reaction to crisis, the fact that naval forces can be employed quickly, and generally without political impediment, is of central importance.

After a quarter-century of unquestioned maritime superiority following World War II, the U.S. faces a growing world-wide challenge at sea from the Soviet Union. This challenge sweeps across the whole spectrum of maritime power, from the Navy to the merchant fleet, to the shipbuilding industry. Of concern is our ability to influence events in regions of interest as nations of the world perceive that the maritime balance is shifting. The U.S. refrains from tending to the maritime aspects of national security at its peril.

OP-965/28 Nov 1980

NAVY/MARINE CORPS OVERVIEW

Today's Navy/Marine Corps Team consists of:

- 456 active fleet ships
  - 376 combatants
  - 80 support ships
- 82 additional ships
  - 49 Naval Reserve Force (NRF) ships
  - 26 Naval Fleet Auxiliary Force (civ manned)
  - 7 TAKX/RX (preposition ships)
- 5542 aircraft
  - 3168 Navy (Active
  - 1119 USMC (Active)
  - 618 NRF/4th MAW
  - 637 Pipeline
- USMC is organized in:
  - 3 active and 1 reserve divisions.
  - 3 active and 1 reserve air wings.

There are:

- Navy: 528,000 active (68,000 officers; 460,000 enlisted)
  Of these 4,639 officers, 29,891 enlisted are women.
  87,000 reserve (17,000 officers; 70,000 enlisted)
- Marine Corps: 188,000 active (18,000 officers; 170,000 enlisted)
  Of these 528 officers, 6,343 enlisted are women.
  30,000 reserve (3,000 officers; 27,000 enlisted)
- Civilians: 314,000
- Flag/General Officers: 219 USN line (8-4 star, 30-3 star)
  42 USN staff
  66 USMC (2-4 star, 7-3 star)

These forces are maintained and operated with approximately 31% of the DOD budget broken down as follows:

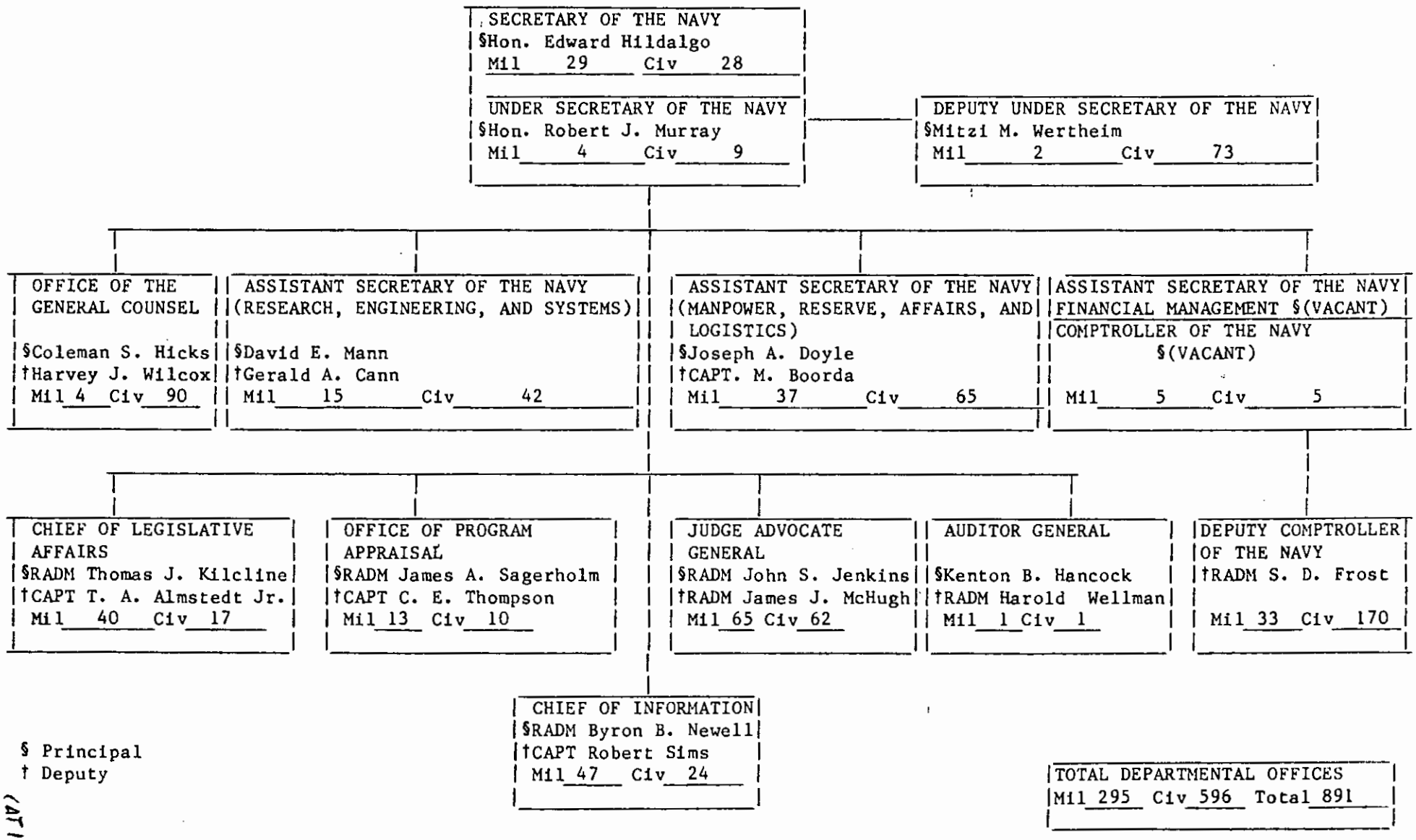
- FY81 Pres. Budget as Amended

	Navy ($M)	USMC ($M)
Military pay	$ 7,795	$2,355
Operations & Maintenance	17,139	981
Procurement	16,504	470
RDT&E	4,862	-
Stock fund	4	-
TOTAL	$46,176	$3,806

- Ordnance expenditures - FY81: USN: $1,154M
  USMC: 81M
- Fuel costs - FY81: USN: $3,542M
  USMC: 61M

Cat 1/965

DEPARTMENT OF THE NAVY SECRETARIAT AND STAFF OFFICES
FISCAL YEAR 1981



CAT I /DKS2

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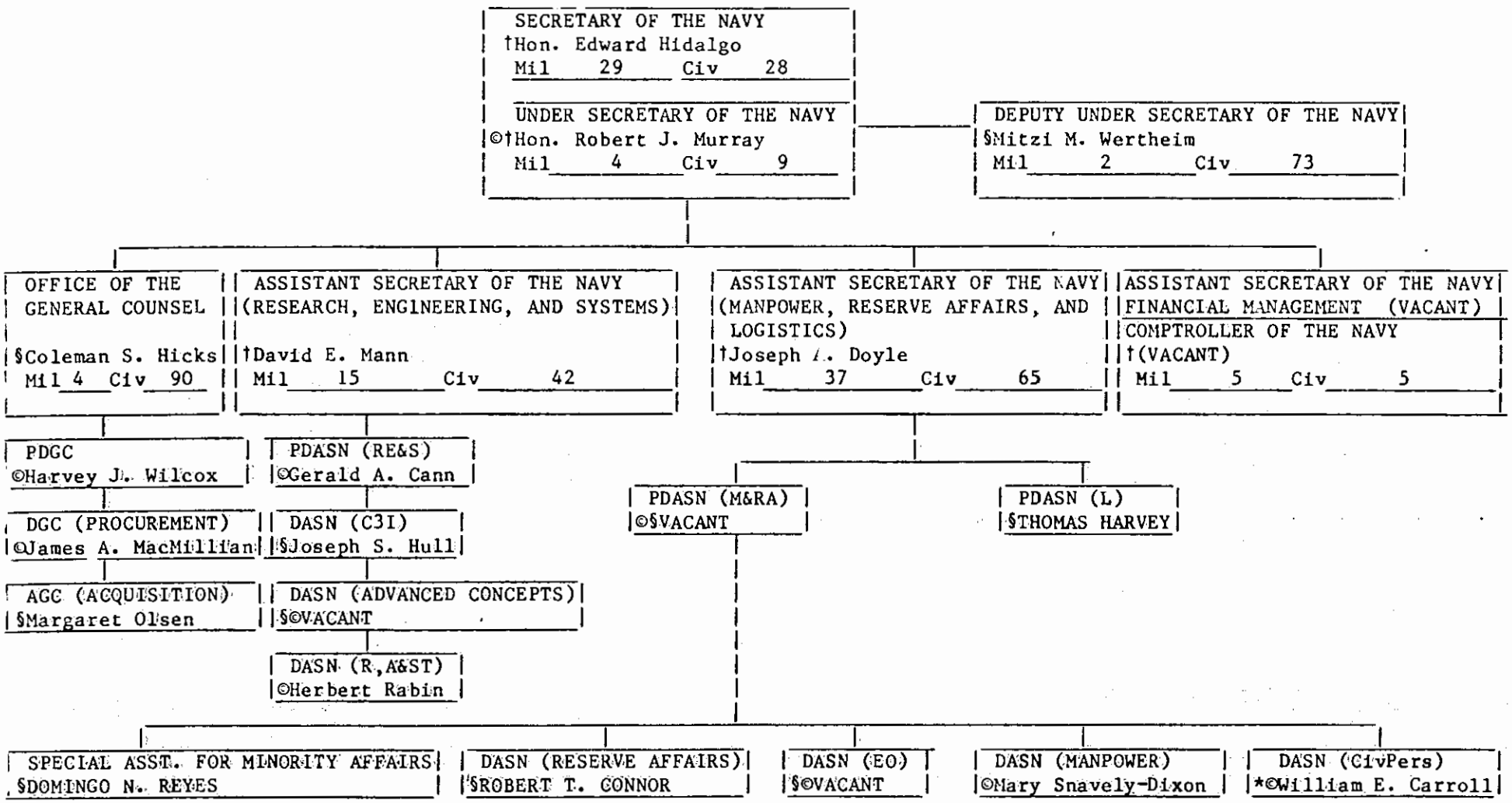
DEPARTMENT OF THE NAVY SECRETARIAT AND STAFF OFFICES
FISCAL YEAR 1981



§ SES NON-CAREER APPOINTMENTS
† PRESIDENTIAL APPOINTMENTS
© SES CAREER
* Position not permanently established, although currently occuppied on a reimbursable basis payable to International Communication Agency.

SCHEDULE "C" INCUMBENT AND POSITION LIST

SECRETARY OF THE NAVY

Mary Golden	Staff Assistant to the SECNAV	(GS-301-12)

UNDER SECRETARY OF THE NAVY

Charlotte McCabe	Private Secretary to the UNSECNAV	(GS-318-11)
Ronald L. Jackson	Special Assistant to the UNSECNAV	(GS-301-15)
Eddie Serrano	Special Assistant to the UNSECNAV	(GS-301-12)
William F. Cuff	Special Assistant to the UNSECNAV	(GS-301-12)
Clifford J. Sharrock	Special Assistant Emergency Planning	(GS-301-12)

DEPUTY UNDER SECRETARY OF THE NAVY

Mary Margaret Goodwin	Special Assistant for Environment	(GS-301-15)
J. Regan Kerney	Staff Assistant	(GS-301-13)

ASSISTANT SECRETARY OF THE NAVY (RESEARCH, ENGINEERING, AND SYSTEMS)

Rose Marie Moore	Private Secretary to the ASN(R&D)	(GS-318-10)

ASSISTANT SECRETARY OF THE NAVY (MANPOWER, RESERVE AFFAIRS, AND LOGISTICS)

Donna Lloyd	Private Secretary to the ASN(MRA&L)	(GS-318-10)

ASSISTANT SECRETARY OF THE NAVY (FINANCIAL MANAGEMENT)

Rebecca A. Doniff	Private Secretary to the ASN(FM)	(GS-318-10)

CAT 1 / DUGN

Cdr R.J. Zlatoper, USN; EA, DIR OPA
X79396 19 Nov 1980

OFFICE OF PROGRAM APPRAISAL (OPA)

BACKGROUND

- OPA is a small appraisal staff office under the immediate supervision of SECNAV.
- Mission is to provide SECNAV with evaluations of existing and proposed Navy/Marine Corps programs for his use in the decision-making process.

HISTORY

- 1952-1963: Office of Analysis and Review was comprised of civilians whose mission was to review mobilization/operations plans and requirements for balance/validity.
- 1963-Present: OPA was formed following the 1962 Dillon Board Study of DON organization to provide military/civilian analysts solely and immediately responsive to SECNAV.
- Current composition: 12 military, 4 civilian, with varied disciplines to span Navy/USMC programs.

OPA FUNCTIONS

- Analyze validity, adequacy, feasibility and balance of proposed DON programs to provide SECNAV a basis for assessing overall directions and priorities.
- Conduct, coordinate, or provide guidelines for special studies requested by SECNAV and key Civilian Executive Assistants.
- Appraise and advise SECNAV and his Civilian Executive Assistants on items relating to the Planning, Programming and Budgeting System (PPBS).
- Review/evaluate the responsiveness of DON's programming system in meeting SECNAV needs. Present recommendations as required.
- Analyze/appraise correspondence, reports and studies. Present recommendations to SECNAV and Assistants.
- Prepare backup material for SECNAV's annual authorization/appropriation Congressional appearances.
- Prepare special analyses/reports as SECNAV directs.

INTERFACES

- Office of Secretary of Defense - PA&E
- Navy Secretariat - All OASN's
- OPNAV - OP-090; OP-90; OP-92; OP-96; OP-098
- HQ, USMC - Requirements and Programs

CAI/OPA

UNCLASSIFIED

CAPT S. F. Loftus, USN
EA ASN(FM), 72325, 20 Nov 1980

SUBJECT

The Navy Comptroller Function

BACKGROUND

The Comptroller of the Navy is the ASN(FM); "double-hatting" is unique to Department of the Navy only since function encompasses both Navy and USMC. Comptroller is responsible for policy and procedures related to:

- Budget development, justification, and execution
- Reporting fiduciary information to DOD and Treasury
- Financial systems, procedures, and practices
- Special procedures for contract financing and military banking

DISCUSSION

Budget for FY 1981 cleared SAC in November 1980 and will probably go to Conference in December. Budget for FY 1982 has been developed and will be presented to Congress in January. Budget execution for FY 80 resulted in 88.3% obligation against availability (100.7% against plan) and 99.7% expenditure against availability/plan. Required reports have been rendered to DOD and Treasury.

Navy financial systems are not fully approved by GAO - we are under pressure to revise and update to meet GAO standards. A massive effort both in time (10 years) and dollars ($50 million). Solid plans have been developed and implemented.

PROBLEMS

Budget schedule is always hectic - driven by White House, Congressional, and DOD schedules. Navy has strong reputation for consistently preparing quality budget and documentation - significant effort under constant pressure. SECNAV is intimately involved in major issues.

Financial systems are not glamorous but require manpower, dollars, and ADP investment to improve and update. These systems are critical to sound financial management and budget execution.

FY 81 and 82 Budgets may require early supplemental/amendment action to meet Presidential program goals, Will need timely program and fiscal guidance - even so, process is time-consuming.

ACTION REQUIRED

None - for information only.

CAT I / ASN(FM)

OP-09B/24 Nov 1980

OFFICE OF THE CHIEF OF NAVAL OPERATIONS

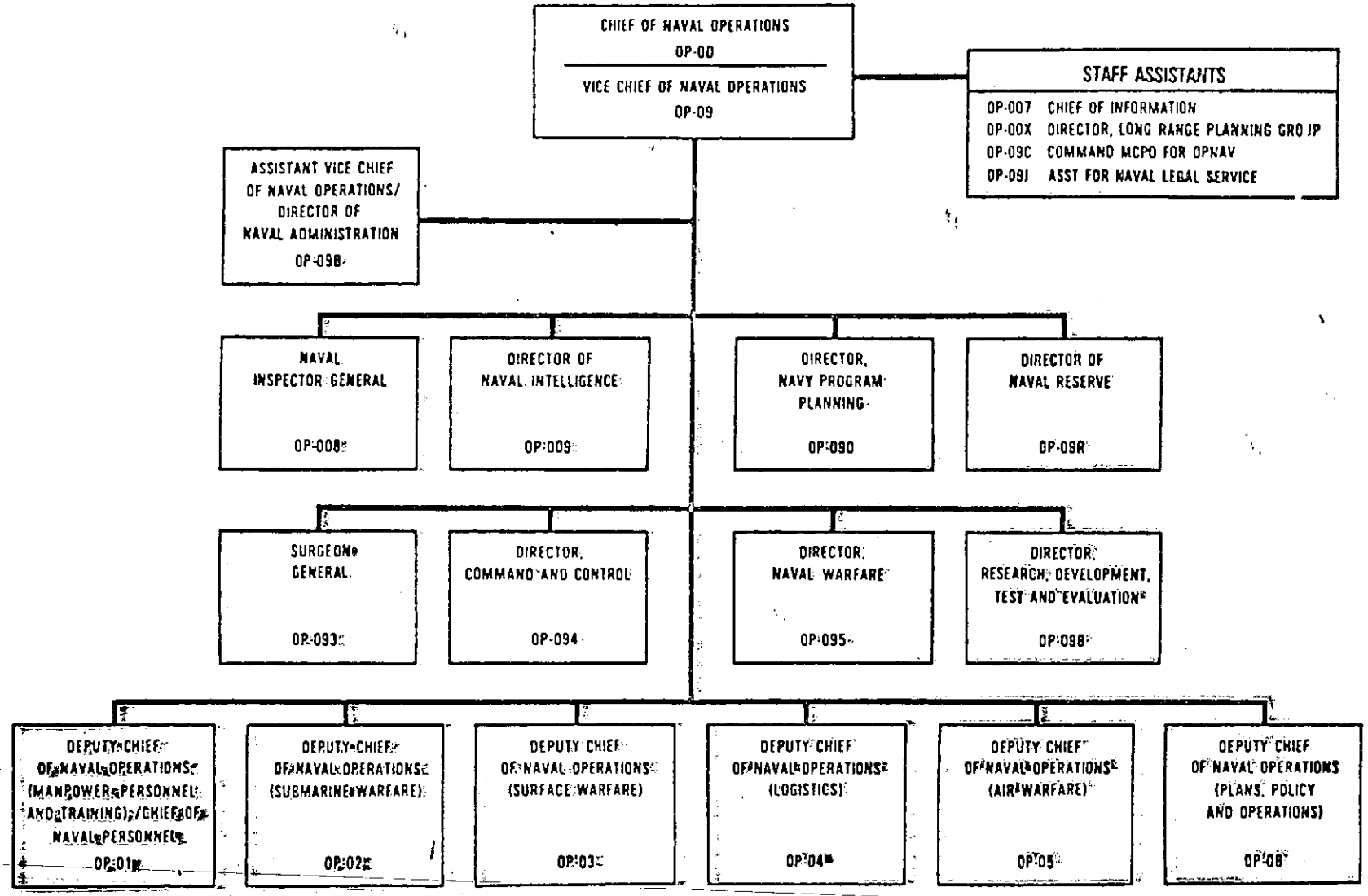
- Chief of Naval Operations (CNO)
  - statutory position
  - senior military officer of Department of the Navy (DON)
  - principal naval adviser to the President and Secretary of the Navy (SECNAV) on conduct of war
  - principal naval adviser and naval executive to SECNAV on the conduct of activities of the DON
  - Navy member of the Joint Chiefs of Staff
  - Incumbent is ADM Thomas B. Hayward, appointed in July 1978 for a four-year term.

- Vice Chief of Naval Operations (VCNO)
  - statutory position
  - also a four-star officer, he directs the staff of the Chief of Naval Operations and is his alternate as a member of the JCS.
  - the incumbent is ADM James D. Watkins, appointed in September 1979.

- Office of the Chief of Naval Operations (OPNAV)
  - headquarters of the Navy
  - advises and assists CNO in discharge of his responsibilities
  - formulates Navy-wide policy
  - plans, programs for, and supervises activities of the Navy
  - consists of 1693 personnel: 867 military officers, 224 enlisted, 602 civilians
  - organized around six Deputy Chiefs of Naval Operations (DCNO) and five Directors of Major Staff Offices (DMSO), who are vice admirals, and supporting elements.

- OPNAV organization chart is provided at TAB A.

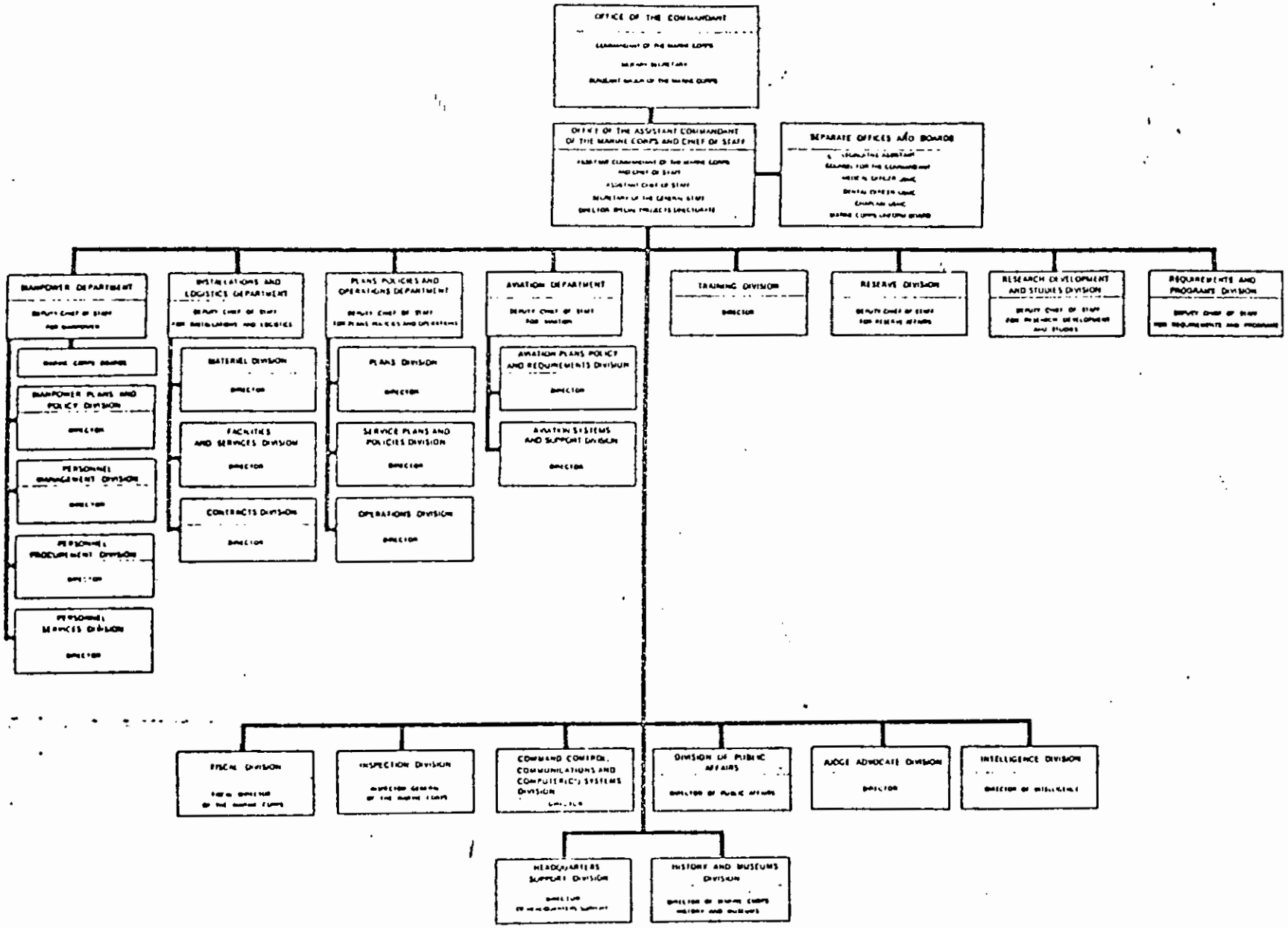
OFFICE OF THE CHIEF OF NAVAL OPERATIONS



OFFICE OF THE COMMANDANT OF THE MARINE CORPS

- CMC
  - statutory position
  - commands and is responsible for the total performance of the Marine Corps
  - principal adviser to SECNAV on Marine matters
  - not a part of CNO Command structure
  - close relationship with CNO within the DON
  - Marine member of Joint Chiefs
  - incumbent is Gen. Robert H. BARROW, appointed on 1 July, 1979.
- ACMC
  - statutory position
  - also a four star officer, he directs the General Staff and is the Commandant's alternate as a member of the JCS
  - the incumbent is Gen Kenneth MCLENNAN, appointed on 1 July 1979
- Headquarters Marine Corps (HQMC)
  - Headquarters of the Marine Corps
  - advises and assists the Commandant in discharge of his responsibilities
  - plans, programs for, and supervises the activities of the Marine Corps
  - organized around eight general officer Deputy Chiefs of Staff and six Directors of Major Divisions.
- HQMC Organization Chart is provided at Tab A.

HQMC ORGANIZATION CHART



CNM/24 Nov 1980

NAVAL MATERIAL COMMAND

- The Naval Material Command (NMC) is the Navy's single agency for acquisition and logistics support of all ships, aircraft, weapons, electronics equipment, and supporting systems. Its responsibilities encompass research and development, procurement, production, installation, maintenance, overhaul and modernization.

- The NMC is structured as shown at TAB A, and commanded by a four-star officer. The major operating divisions are the five systems commands:
  - Air Systems Command (3-star) -- aircraft, missiles, airborne weapon systems.
  - Electronic Systems Command (2-star) -- communications and electronics equipment other than weapon systems.
  - Facilities Engineering Command (2-star) -- planning, design, construction, maintenance and disposal of shore facilities.
  - Sea Systems Command (3-star) -- ships, submarines, weapon systems, sensor systems.
  - Supply Systems Command (2-star) -- logistic support, resupply.

- Over 200 separate shore activities provide a nucleus of trained personnel to perform specialized functions on a basis not normally adaptable to contracting.

- Eight Research and Development Centers centrally managed by the Chief of Naval Material provide a core capability in research and development organized on a "Center of Excellence" basis.

- The Chief of Naval Material reports to the Chief of Naval Operations in the performance of his duties. The incumbent is ADM Alfred J. Whittle, appointed in August, 1978.

END STRENGTH/BUDGET

- FY 81 authorized end strength is 14,200 military and 204,800 civilian personnel.

- FY 81 budget is $28.6 billion.

Cx 1/CNM

NAVAL MATERIAL COMMAND

PERSONNEL SUMMARY
(Mil & Civ, End FY-81 Authorized)

Hq Naval Material Command	933
CNM Project Managers Offices	1,031
R&D Centers	20,177
Other Shore activities	3,840
Air Systems Command	43,410
Electronic Systems Command	3,881
Facilities Engineering Command	20,605
Sea Systems Command	101,050
Supply Systems Command	24,248
Total Naval Material Command	218,953

CHIEF OF NAVAL MATERIAL

VICE CHIEF OF NAVAL MATERIAL

DEPUTY CHIEF OF NAVAL MATERIAL

HEADQUARTERS NAVAL MATERIAL COMMAND

PROJECT MANAGERS

Strategic Systems	PM-1
Trident	PM-2
Joint Cruise Missiles	JPM-3
Anti-Submarine Warfare Systems	PM-4
Saudi Navy Expansion	PM-5
High Energy Laser	PM-22
Tactical Nuclear Warfare	PM-23

SHORE ACTIVITIES

R&D CENTERS

Air Development Center, Warminster, PA
David W. Taylor Ship R&D Center, Bethesda, MD
Weapons Center, China Lake, CA
Ocean Systems Center, San Diego, CA
Underwater Systems Center, Newport, RI
Surface Weapons Center, Dahlgren VA
Coastal Systems Center, Panama City, FL
Personnel Research & Development Center, San Diego, CA

LOGISTIC ACTIVITIES

Industrial Resources Detachment, Philadelphia, PA
Training Equipment Center, Orlando, FL
(ADDU to CNM for Acquisition Matters)
Maintenance & Supply Support Office, Norfolk, VA
Maintenance Support Office, Mechanicsburg, PA

STRATEGIC SYSTEMS SUPPORT

Aeronautics Group, Point Mugu, CA
Ordnance Test Unit, Cape Canaveral, FL
Plant Representative Office, Pittsfield, MA
Plant Representative Office, Sunnyvale, CA
Polaris Missile Facility, Atlantic, Charleston, SC
Strategic Weapons Facility, Pacific, Bremerton, WA

In Development Status:

Submarine Base, Bangor, Bremerton, WA
Submarine Support Base, Kings Bay, GA
Trident Refit Facility, Bangor, Bremerton, WA
Trident Training Facility, Bangor, Bremerton, WA

NAVAL AIR SYSTEMS COMMAND

SHORE ACTIVITIES:

Aviation Logistics Center
Air Rework Facilities (8)
Logistic Support Activities (2)
Plant Representatives (7)
Test and Engineering Activities (8)
Other (5)

NAVAL ELECTRONIC SYSTEMS COMMAND

SHORE ACTIVITIES:

Systems Engineering Centers (4)
Systems Engineering Activity
Security Engineering Center
Space Systems Activity

NAVAL FACILITIES ENGINEERING COMMAND

SHORE ACTIVITIES:

Regional Field Divisions (6)
Public Works Centers (8)
Construction Battalion Centers (3)
Officers in Charge of Construction (8)
Other (3)

NAVAL SEA SYSTEMS COMMAND

SHORE ACTIVITIES:

Supervisors of Shipbuilding (18)
Shipyards (8)
Inactive Ship Facilities (2)
Weapon Stations/Support Centers (8)
Ordnance Stations (2)
Undersea Warfare Station
Sea Support Centers (2)
Combat Direction Systems Activities (2)
Test and Engineering Activities (8)
Plant Representatives (4)
Other (12)

NAVAL SUPPLY SYSTEMS COMMAND

SHORE ACTIVITIES:

Supply Centers/Annexes (7)
Inventory Control Points/Branches (3)
Fleet Material Support Office
Contracting Offices (4)
Fuel Activities (2)
Publications and Printing Activities (5)
Resale Activities (28)
Other (8)

TAB A

NAVY ACQUISITION PROCESS

opment and procurement programs
- 500+ individual programs in DON
- 19 designated as "major" (i.e., SECDEF decision authority) monitored by Defense Systems Acquisition Review Council (DSARC)
- DON decision authority delegated program by program to SECNAV, CNO, DCNO/DMSO, CNM. Selected programs monitored by Department of the Navy Acquisition Review Council (DNSARC), chaired by SECNAV.

- Acquisition Policy set by OSD
  - requirements based on mission area needs
  - phased development, periodic decision authority reviews
  - procedures for major (OSD decision authority) and DON controlled programs similar

- Basic/Applied Research
  - Managed by Chief of Naval Research/Chief of Naval Development
  - Maintains a technology base
  - Developments support ongoing programs or initiate new systems

- Mission Area Analysis (MAA)
  - establishes existence of a deficiency or technological opportunity
  - stand alone studies or in support of POM development
  - conducted within OPNAV
  - basis for requirements documents

- Requirements documents
  - Mission Element Needs Statements (MENS) for potential major program
  - Operational Requirement (OR) for all other
  - drafted by OPNAV program sponsor
  - approved by either CNO, SECNAV or SECDEF as appropriate

- Development Phases
  - Concept Formulation, Demonstration & Validation, Full Scale Development, Production
  - each phase preceeded by a program milestone

- Key milestones
  - Milestone Zero: program initiation, need agreement, MENS/OR approval
  - Milestone II: system deployment commitment

- Program reviews
  - at each milestone by the decision authority
  - yearly as part of POM/Budget development
  - monitor progress and approve development plans

- Program management
  - day-to-day technical and business/financial management by SYSCOM Program/Project Manager
  - OPNAV oversight by Resource Sponsor, Director, RDT&E and Director, Navy Program Planning
  - SECNAV oversight by ASN(RE&S)/ASN(MRA&L)

Cat 1/96E

CAPT C. T. WHITLEY
OPA EXT. 79152
17 December 1980

PROGRAM BALANCE

BACKGROUND

- In Navy and Defense program and budget resource allocation, balance refers to the distribution of prospective assets which, over an extended time, against a dynamic and considerably uncertain threat, and arrayed against a large variety of functional demands, is likely to result in the greatest overall effectiveness and the least probability of unacceptable outcomes.

- Such a balance, for greatest total naval capability and the best maritime defense, can be, and is, addressed in many ways. To cite a few:

  - Force Levels vs Modernization vs Readiness

  - Strategic Forces vs General Purpose Forces vs Support and Mobility Forces vs General Support

  - Active Forces vs Reserve Forces

  - Strike vs Anti-Air vs Anti-Surface vs Anti-Submarine vs Mine Warfare

  - Peacetime Presence vs Non-Mobilization Contingency vs General Mobilization War

  - Initial Combat Capability vs Combat Sustainability

  - Power Projection vs Sea Control

- All of these, and other, ways of setting up the cost-effectiveness equations address means to the same end. In a severely constrained fiscal environment, however, these requirements appear, not as mutually supportive parts of a harmonious whole, but as active competitors for scarce resources. It is obvious that some reasonable balance must be struck in every case. Over-emphasis on one or some, at the expense of the other(s) leads to a diminished overall effectiveness and less likelihood of success in carrying out our future national tasking.

DISCUSSION

- All resource allocation decisions, large and small, affect these balances in some way. These decisions are judgment calls; almost all based on imperfect knowledge and not demonstrably correct beyond reasonable doubt.

CAT 1 /OPA

- Sometimes, as in the immediate post-Vietnam period, imbalance is fairly obvious and generally agreed. In this case, both modernization (ship-building) and readiness (material condition) had suffered due to emphasis on Force Levels (keeping older ships), operating tempo, ordnance expenditure, and replacement/repair of battle-damaged aircraft. The dramatic decrease in active fleet ship forces during the 70's reflects not only a rebalancing toward modernization and readiness, but the end of service life of World War II capital investments.

- It is fair to assume that the present program is reasonably in balance. Most of it has been reviewed and refined many times by multiple management levels, both within and without the Navy.

  - To illustrate, $325M is about ½% of the present DON budget. Identification of offsets, from within another account, to add one $325M unit to the shipbuilding program is difficult and almost certainly causes or enlarges significant problems elsewhere. The same would be true in offsetting a $325 increment to construction, maintenance, development, or weapons inventories.

- Also, discretionary access to resources in the DON program, and hence management flexibility, are much more restricted than might be assumed.

  - Large, immediate costs of ownership must be paid.

  - Long standing programs representing large sunk costs are abandoned or redirected with difficulty.

  - Institutional resistance to change or innovation exists both within and without the Navy.

  - Political sensitivities or pressures sometimes inhibit or thwart otherwise desirable actions.

  - Lead times are long and tenure is, in most cases, shorter.

- In seeking to maintain this balance, pitfalls are numerous. Some involve loss of objectivity or judgment within too narrow a context. Some arise from uncertainty, evitable or inevitable, and inability to perceive alternative implications fully.

  - Sincere, able advocates are highly persuasive.

  - The need for X system or program, considered alone, is compelling.

  - Intuitive fixations (more and cheaper, technological innovation, quick payoff, traditionalism, threat over/under stated) mislead.

- Well-intentioned overmanagement from too high a level (as we perceive in OSD/OMB and the Congress) loses sight of too many significant factors.

- Time alone, frequently more than a human generation, obscures the outcome of a given course of action.

- Navy headquarters management, like the program it oversees, is an evolutionary product. It is, in its present state, necessarily responsive to top-down direction, but it also reflects a large degree of bottom-up approach to decision making.

  - Many needs and proposals, generally products of experience, are generated by fleet and shore commands.

  - These, together with threat assessment from intelligence sources, top-down guidance, resource limitations, and internally generated factors, are appraised at sponsoring staff levels intimately familiar with narrow sectors of the program.

  - Sponsor staffs then present their appraisals of capabilities, needs, shortfalls, and options to first level decision makers.

  - The first level decision makers pass judgment on numerous of these appraisals, seeking best balance and most effectiveness within their broader areas of cognizance, but still without need or responsibility to place their areas or problems in proper balance or context within the much greater whole of the DON program.

  - First level areas and requirements are then aggregated for second level consideration, and so on.

  - While all programs and decisions do not rigorously follow the somewhat simplified and idealized process described, practically all DON resources and plans are submitted to as many as four levels of such review one or more times a year.

  - By this approach, a minimum of relevant detail is overlooked and fuller implications are taken into account before, rather then after, the fact of the decision. Obviously, the level of detail directly considered gets progressively higher as the scope of consideration broadens to encompass eventually the entire DON.

CONCLUSION

Perfect program balance at the scale of the DON is, for all practical purposes, impossible to achieve or to recognize. Present balance is, by all accounts, reasonable now. Needs change, and grow. Significant improvements in balance or overall capability are very difficult to achieve with

confidence, lacking increased real resources. The present imperfect system works fairly well. Management devices such as MBO and ZBB do not necessarily render the undertaking more tractable nor enhance likelihood of success except to the degree that they permit botton-up participation and afford reasonable insight at each decision level. While, at each decision level, advocates compete vigorously for support of their programs' needs, an atmosphere of teamwork and good faith is essential. Suspicion and adversary relationships, particularly between decision levels, compound the difficulty of an already arduous task. Balanced inadequacy, or equal distribution of dissatisfaction, may be the best answer in prospect.

OP-965/26 Nov 1980

NAVY PLANNING, PROGRAMMING AND BUDGETING PROCESS

BACKGROUND

- Planning Phase: Five Year Defense Plan (FYDP) produced in previous fiscal cycle is appraised in warfare and support areas, deficiencies are identified and alternatives proposed for correcting deficiencies. Conducted by OP-96.

- Programming Phase: Fiscally constrained resources are applied to manpower, hardware, operating and R&D requirements to achieve the proper balance between readiness, force structure, sustainability, and modernization. Conducted by OP-90.

- Budgeting Phase: Programs approved for funding are scrubbed for pricing, executability, and conformance to guidance. Concentration is on first year of FYDP, which will be submitted to SECDEF as Navy Budget. Conducted by OP-92.

DISCUSSION

- Services prepare Program Objectives Memoranda (POM) beginning in Fall each year, submit to OSD in May. OSD reviews, enters into dialogue with Services, SECDEF decides major issues by August.

- Budgets are prepared at field level beginning in Spring, reviewed at Department level in July/August, adjusted to SECDEF program decisions in August, submitted to OSD/OMB in September.

- SECDEF and OMB jointly review department budget requests and establish overall priorities in November and render final budget decisions in December. Final fiscal control by OMB determines funding cut off level. Budget to Congress in January.

- TABS A and B provide a more detailed overview of the programming/budgeting process.

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TAB A

DEPARTMENT OF THE NAVY PROGRAMMING PROCESS FOR FY83

EVENT	DOCUMENT	REMARKS	TIME
SECDEF issues policy guidance	Defense Policy Guidance (DPG-83)	National strategy and objectives, planning assumptions, force sizing and special interests.	November 1980
SECNAV issues policy, programming guidance	Department of the Navy Planning and Programming Guidance (DNPPG-83).	Identifies areas requiring special attention in the Navy programming process. Amplifies or supplements SECDEF guidance as necessary.	November 1980
SECDEF issues programming guidance	Consolidated Guidance (CG-83)	The authoritative statement of fundamental strategy, issues and rationale. Provides fiscal guidance for development of service programs.	Draft in January 1981, approved version in April 1981
SECNAV forwards Navy Program to SECDEF	Navy Program Objectives Memorandum (POM-83)	SECNAV's recommendations to SECDEF on the Navy's resource requirements. Recommends force levels, manpower, procurement within fiscal guidelines specified by SECDEF. Covers a five-year period.	May 1981
JCS assessment of composite Defense Program	Joint Program Assessment Memorandum (JPAM-83)	JCS risk assessment of POM composite force recommendations. Evaluates capabilities of POM force and support levels to execute the approved national military strategy.	June 1981
OSD Issues vis a' vis Navy POM	Issue Papers	Interaction between DON and OSD on major program issues related to force levels, system acquisition and rates/levels of support.	June 1981

EVENTS	DOCUMENT	REMARKS	TIME
SECDEF issues tentative program decisions	Program Decision Memorandum (PDM)	SECDEF tentative decisions on service and agency POMs.	July 1981
SECNAV contests unfavorable PDM actions	Navy Reclama to PDM	Formal appeal to SECDEF for reconsideration of issues which have been disapproved (in whole or in part).	July 1981
SECDEF issues final program decisions	Amended Program Decision Memorandum (APDM)	Final decision on service programs.	August 1981

OP-96/24 Nov 1980

U.S. NAVY MISSION AND FUNCTIONS

- The mission of the U.S. Navy, as set forth in Title 10, U.S. Code, is to be prepared to conduct prompt and sustained combat operations at sea in support of U.S. national interests.

  - The U.S. Navy must be able to defeat, in the aggregate, potential threats to continued free use of the high seas by the United States.
  - The U.S. Navy carries out its mission within the framework of a national strategy, in joint coordination with other services and in combined planning with U.S. allies.

- The Navy's basic interrelated functions are sea control and power projection.
  - Sea control is the fundamental function of the U.S. Navy.
    - -- Connotes control of sea areas of interest and the associated air space and underwater volume.
    - -- Selectively exercised when and where needed;
    - -- Enhances security for sea-based strategic deterrence forces.
    - -- Power projection can be a necessary element to ensure sea control of contiguous land areas essential to control of the seas.
  - Power projection as an independent function is a means of supporting land or air campaigns.
    - -- Covers a wide spectrum of offensive naval operations.
    - -- An essential element is the amphibious task force, the nation's only means of inserting substantial U.S. ground forces into hostile environment.
    - -- Employment of power projection forces requires sea control.

- In the exercise of its mission responsibilities the Navy has three main roles:

  - Strategic nuclear deterrence.
  - Forward deployed forces operationally ready to support allies and protect U.S. interests.
  - Security of the sea lines of communication.

Oct 1/965

OP-96/24 Nov 1980

U.S. NAVY STRATEGIC CONCEPTS

- Naval forces must have global reach because any conflict between NATO and the Warsaw Pact will almost certainly be worldwide in scope.
  - Control of sea approaches to Eurasia is essential to support forward-based forces and allies
  - Critical to maintain naval forces that can go anywhere and stay as long as necessary to support national objectives.

- Naval forces must have the capability to take the offensive to the Soviets.
  - Must be able to destroy hostile forces at times and places carefully selected to provide maximum advantage to our side.
  - Gives option to take the initiative and force Soviets into defensive mode
    - -- Taking advantage of Soviet geographic disadvantages
    - -- Compelling them to concentrate forces close to home where they can threaten sea lines of communication (SLOCs) least.

- Flexibility in concepts for force employment is central to planning and force structure development.
  - Naval forces serve as an instrument of foreign policy, providing the National Command Authority with a variety of options for dealing with crises.
  - Implies capability to operate across the spectrum of warfare tasks--from deterrence through forward deployment of forces in peacetime to the full range of wartime tasks.

- Naval forces must have the degree of sophistication dictated by most likely threats.
  - The most severe threat is defined by the Soviet Union--which has made substantial investments in military procurement, R and D, and construction--and the expansion of Soviet naval power.
  - No choice but to meet the Soviet challenge with forces of requisite quality, sophistication and capability.

- Taking into account the probability that international instability is high, naval forces must be responsive.
  - Implies forward deployment or prepositioning of forces and concern for supporting infrastructure.
  - Implies capability to move rapidly to the scene of the crisis to deter and to contain conflict.
  - Implies capability to perform a full range of warfare tasks.

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Col O. K. STEELE, USMC, PL2, 44221
19 November 1980

SUBJECT
Maritime Strategy

BACKGROUND

- Although the U.S. is continental in scope, the inescapable fact remains that we are an insular nation with global economic, political and security interests.

  — We are a nation that:

    — Has a 180 billion dollar investment overseas

    — Transacts 74 to 80 billion dollars in foreign commerce annually

    — Imports, in addition to our energy needs, 90% of the minerals and metals needed to supply our industries

    — Uses the sea to transport 99% of all of its foreign trade

    — Has legal and moral security commitments with nations of other hemispheres, many of which share with us a historic and cultural tie.

DISCUSSION

- The trends for the 1980s and beyond:

  — Despite strong national interests and increasing competition for scarce resources, interdependence between nations will increase and become a dominant economic trend.

  — The importance of the third world regional powers will grow

  — Competition for resources will intensify

  — Access to raw materials will be threatened by producer restraint

  — Open passage on the high seas will be endangered by enlarged national claims

  — Political alignments will be increasingly based on economic ties.

  — An expanding Soviet merchant fleet, backed by a modern navy with greater global reach; this can threaten the U.S. in two ways:

    — Indirectly: loss of trading partners through presence and domination

    — Directly: loss of lines of communication during times of war or international crisis.

- It should be clear that if the U.S. must depend on the freedom of the seas for its future well-being and survival, then it is imperative that the leadership of this country revive a nation-wide interest in that strategy which can best guarantee this objective. It is to this nation's misfortune that this vital element of power has been cast adrift for too long.

  — National maritime power consists of two mutually supporting components:

    — Maritime Commerce: Maritime commerce embraces a wide range of institutions ranging from transport and fishing fleets to shipbuilding and port and repair facilities that support international trade.

— Naval Forces - Naval forces maintain secure bases and can deploy and operate in a manner that ensures sea lines of communication remain open to both national and friendly merchantmen. In addition to this basic function, naval forces:

- o play a major role in diplomatic affairs by representing the U.S. around the globe
- o can respond with aid and assistance during natural disasters
- o can respond as a show of force during times of international crisis
- o engage the enemy during conflict, destroying his forces, suppressing his commerce, and projecting U.S. power beyond its own borders without maintaining sizable land or air forces on foreign soil

SUMMARY

- Meeting our future national security and economic needs will depend in large measure on our ability to selectively control and exploit the seas and the sea lines of communication. If we are to survive, the nation must look again to strengthening its maritime posture.

ACTION REQUIRED

- Initiate a program to enhance public awareness of the contribution naval forces make to American security.
- Promote the requirement for a National Maritime Strategy.
- Support initiatives that strengthen the maritime aspects of the national strategy.

NAVY AND MARINE CORPS OPERATING FORCE ORGANIZATION

- Fleet Commanders in Chief and subordinate numbered fleet commanders have geographically oriented responsibilities and are permanently organized and assigned to a unified (theater) command.
  - CINCLANTFLT, the Navy component of the ATLANTIC COMMAND
    -- SECOND FLEET (Atlantic)
  - CINCPACFLT, the Navy component of the PACIFIC COMMAND
    -- THIRD FLEET (EAST/MID PACIFIC)
    -- SEVENTH FLEET (Western Pacific, Indian Ocean)
  - CINCUSNAVEUR, the Navy component of the U.S. EUROPEAN COMMAND
    -- SIXTH FLEET (Mediterranean)

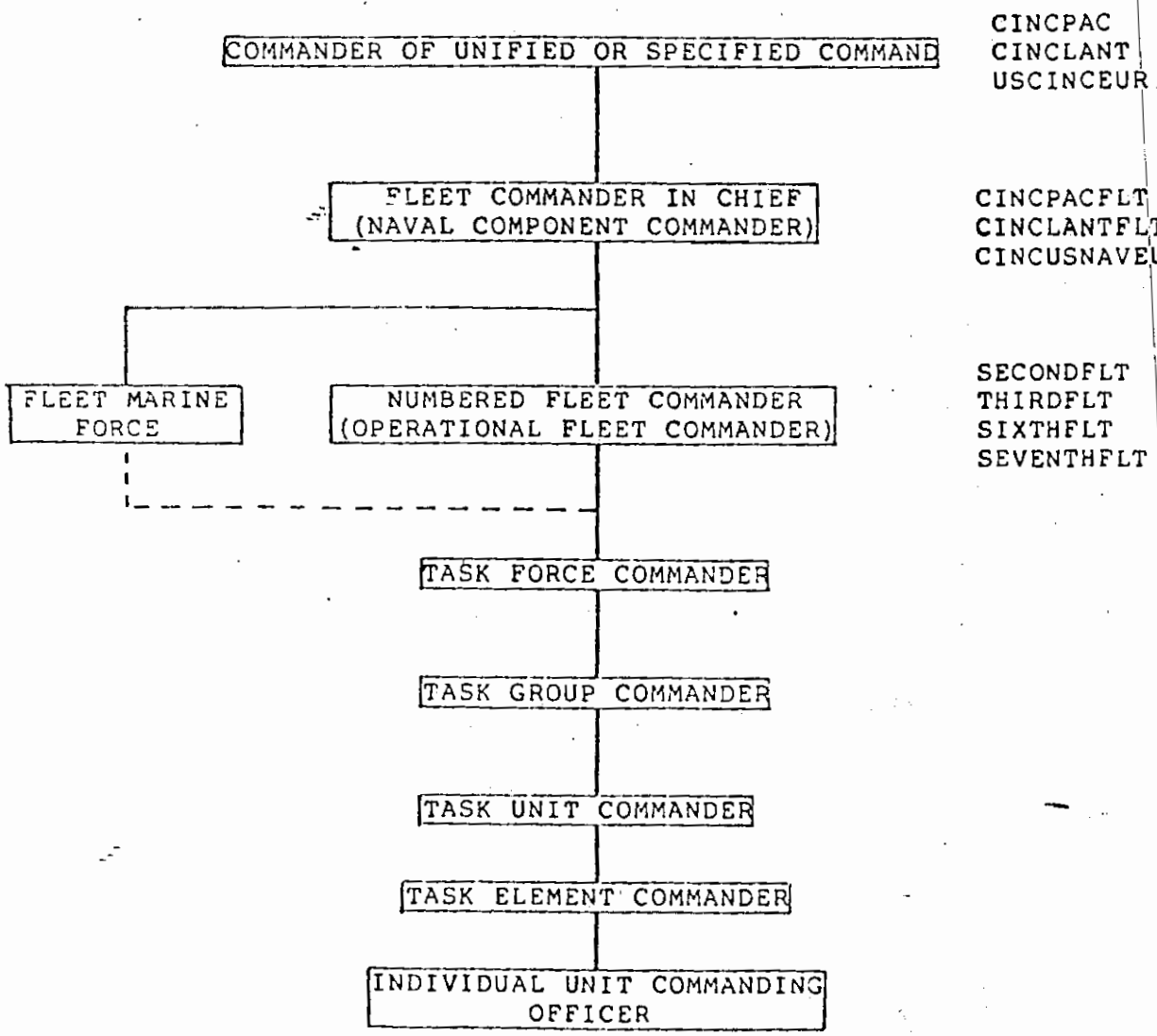
- Below the numbered fleet level, the operational chain of command is task oriented.

- The purpose of tactical force organization is to group Navy and Marine Corps units to achieve the proper balance of individual forces for specific tactical employment.
  - Units are tactically deployed in task organizations tailored to the intended employment of the force.
    -- Task forces are normally constituted to conduct broad naval warfare missions, e.g. to establish local naval superiority.
  - The principal task organization of Navy forces is that established to meet hostile forces in battle at sea.
  - The principal task organization of Marine forces is that established to conduct amphibious operations.

- Battle forces are formed for the specific purpose of challenging the enemy's main combatant force at sea.
  - Each included battle group must be able to perform effectively the full spectrum of at-sea offensive warfare tasks.
  - Battle groups at a minimum include within the task organization a carrier, surface combatants and submarines in direct support.
  - Task groups, units and elements normally have progressively narrower operational missions within the broader mission of the task force.

- Other naval tasks may require other types of task forces composed of ships and units with other capabilities, e.g., maritime surveillance and reconnaissance force and mobile logistics support force.

- Fleet Marine Forces are under operational command of the Fleet Commanders in Chief.
  - Fleet Marine Forces are employed as integrated Marine Air Ground Task Forces (MAGTF's) containing command, ground, aviation and combat service support elements.
    -- Subordinated to the numbered fleet commanders when deployed operationally as part of a naval task force.
  - Types of MAGTF's are:
    -- Marine Amphibious Force - division/wing team;
    -- Marine Amphibious Brigade - regimental landing team and provisional air group as basis;
    -- Marine Amphibious Unit - battalion size with an air squadron.


COMMANDER OF UNIFIED OR SPECIFIED COMMAND
CINCPAC
CINCLANT
USCINCEUR
FLEET COMMANDER IN CHIEF
(NAVAL COMPONENT COMMANDER)
CINCPACFLT
CINCLANTFLT
CINCUSNAVEUR
FLEET MARINE FORCE
NUMBERED FLEET COMMANDER
(OPERATIONAL FLEET COMMANDER)
SECONDFLT
THIRDFLT
SIXTHFLT
SEVENTHFLT
TASK FORCE COMMANDER
TASK GROUP COMMANDER
TASK UNIT COMMANDER
TASK ELEMENT COMMANDER
INDIVIDUAL UNIT COMMANDING OFFICER

LtCol WALKE, USMC, POC14, 43059
19 Nov 80

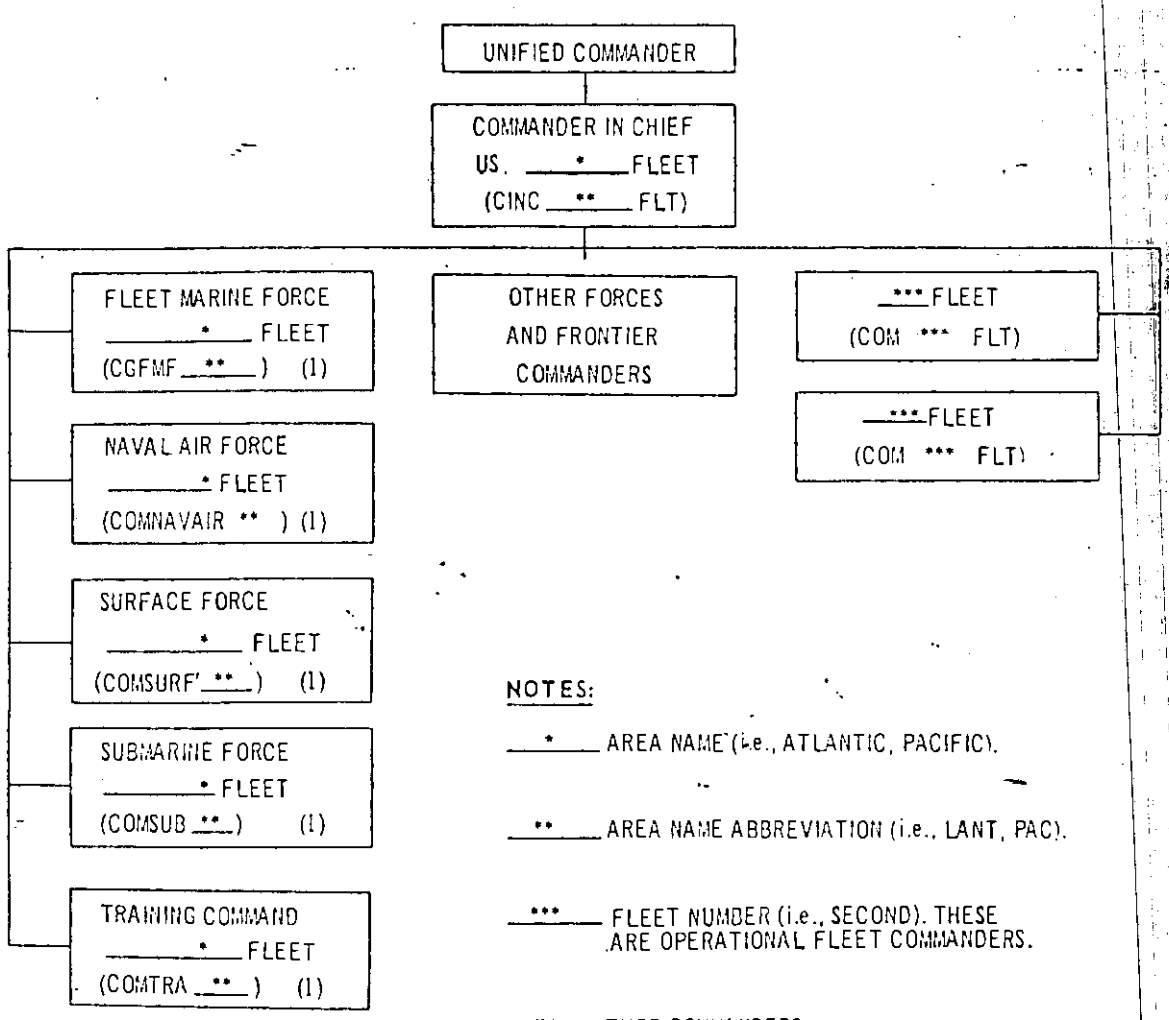
SUBJECT

Organization of Fleet Marine Forces

BACKGROUND

- Fleet Marine Forces (FMF) are assigned to the Atlantic and Pacific Fleets. See figure 1.
- Fleet Marine Forces are organized around Marine Division/Wing Force Service Support Group Teams. See Figure 2.
- Marine Forces are tactically employed by tailoring Marine Air Ground Task Forces (MAGTF) from forces assigned the FMF for each specific requirement. MAGTFs are temporary in nature, but nucleus headquarters are maintained for operational planning and to facilitate formation of task forces when directed. See figure 3.

FLEET ORGANIZATION



NOTES:

___*___ AREA NAME (i.e., ATLANTIC, PACIFIC).

___**___ AREA NAME ABBREVIATION (i.e., LANT, PAC).

___***___ FLEET NUMBER (i.e., SECOND). THESE ARE OPERATIONAL FLEET COMMANDERS.

(1) TYPE COMMANDERS.

Figure 1

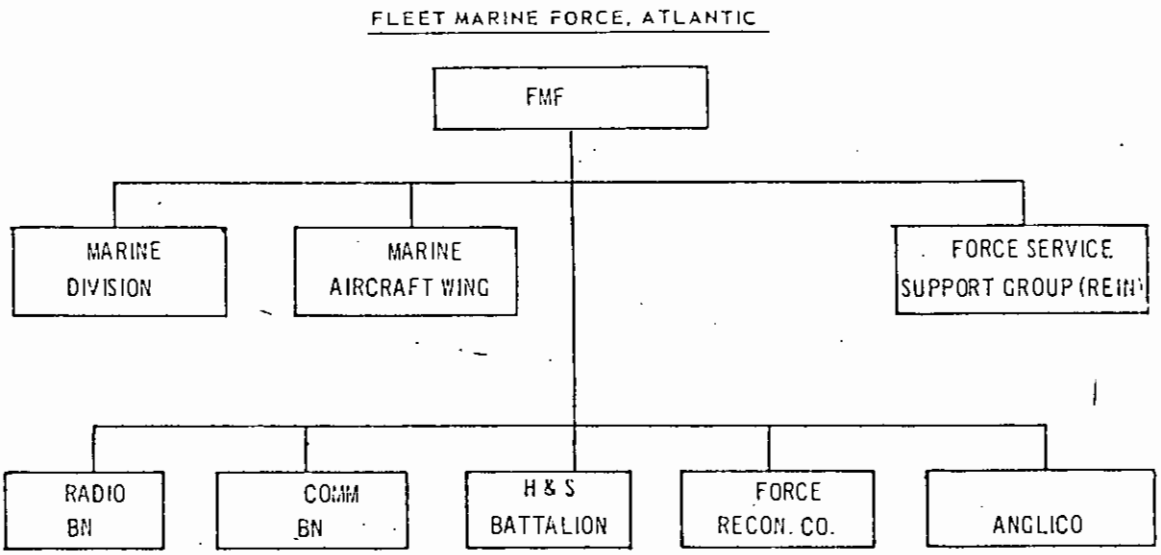


Figure 2

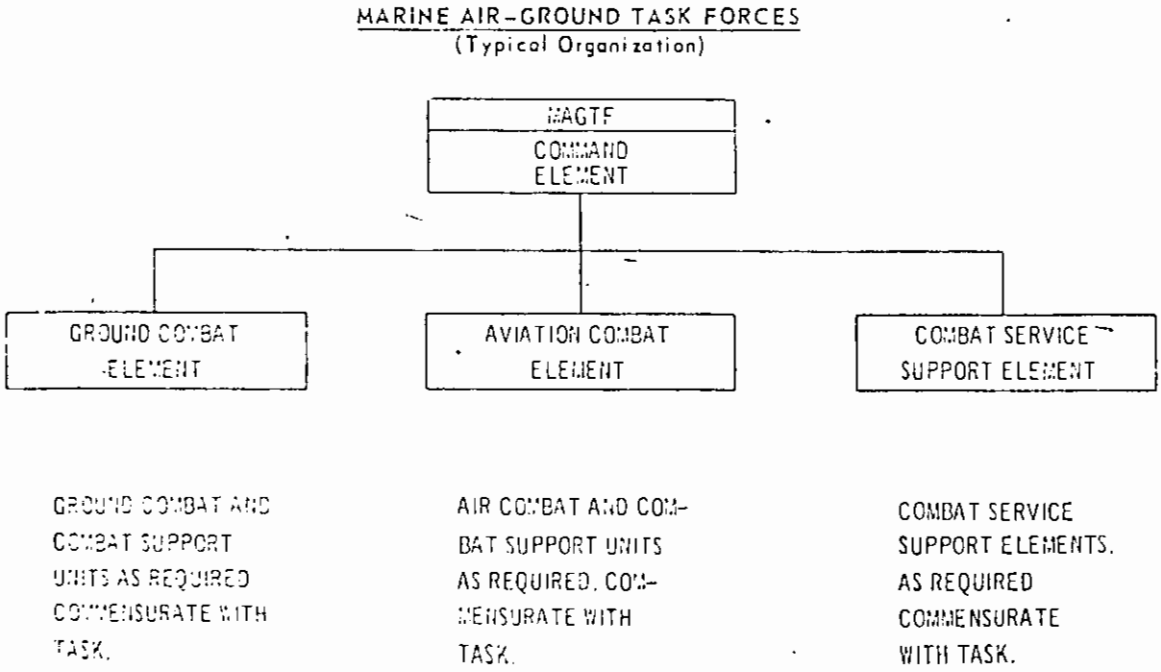


Figure 3

Maj W. M. HATCH, USMC
POG12, 4-2529, 19 Nov 80

MARINE CORPS TACTICAL FORCE ORGANIZATION

BACKGROUND

Fleet Marine Forces are comprised of air, ground, combat support, and combat service support (CSS) units which are routinely task organized into Marine Air-Ground Task Forces (MAGTF's) for training exercises and deployments. These integrated, combined arms forces, properly task organized for combat, can perform missions which range across the spectrum of conflict and crisis situations.

MAGTF's are capable of being rapidly deployed by any strategic mobility means. Deployed in amphibious shipping, these forces represent the nation's foremost force-in-readiness capable of being immediately employed under an appropriate level headquarters as a balanced air-ground team of combined arms and service support.

DISCUSSION

Marine Corps policy is that Fleet Marine Forces will normally be employed as integrated air-ground teams. The Fleet Marine Forces are capable of task-organizing air-ground task forces required by the assigned mission. This capability is designed to exploit the combat power inherent in closely integrated air and ground operations. These task organizations are called Marine air-ground task forces.

Regardless of the size of the MAGTF, it will include the following four major components:

- A command element.

- A ground combat element.

- An aviation combat element.

- A combat service support element (including Navy support elements).

Although a MAGTF is a task organization tailored to accomplish a specific mission, there are three basic types of MAGTF's. These types are:

- The Marine amphibious unit is a task organization which is normally built around a battalion landing team and a composite squadron. It is normally commanded by a colonel and employed to fulfill routine forward afloat deployment requirements. The MAU provides an immediate reaction capability to crisis situations and is capable of relatively limited combat operations. Because of comparatively limited sustainability, it is not envisioned that the MAU will routinely conduct amphibious assaults. When committed, the MAU is normally supported from its seabase. The MAU is considered to be the forward afloat deployed element of a larger landing force, such as the MAB, which would be constituted as required from CONUS/ forward based combat ready Fleet Marine Forces.

- The Marine amphibious brigade is a task organization which ...lly built around a regimental landing team and a provisional Marine aircraft group. It is normally commanded by a brigadier general and is capable of conducting amphibious assault operations of limited scope. During potential crisis situations, a MAB may be forward deployed afloat for an extended period in order to provide immediate response and may serve as the precursor of a MAF. Under these conditions, MAB combat operations may be supported from the seabase, facilities ashore, or a combination of the two.

- The Marine amphibious force, largest of the MAGTF's, is normally built around a division/wing team. However, it may range in size from less than a complete division/wing team up to several divisions and aircraft wings, together with an appropriate combat service support organization. The MAF is commanded by either a major general or a lieutenant general, depending on its size and mission. It is capable of conducting a wide range of amphibious assault operations and sustained operations ashore. It can be tailored for a wide variety of combat missions in any geographic environment. Currently I MAF is on the West Coast, II MAF is on the East Coast and III MAF is in the Central and Western Pacific.

The MAGTF is not a permanent organization; it is task organized for a specific mission and, after completion of that mission, is dissolved in accordance with prearranged plans. A MAF, because of its size, may be forward based, but not forward deployed. The effectiveness of a MAGTF is far superior to the sum of its separate air, ground, and combat service support capabilities. Separate employment of elements of the MAGTF under another command structure is not permitted, in that combat effectiveness is reduced, combat power is fragmented, and the tactical and logistic supportability of the force becomes questionable.

MAGTF's, task organized for amphibious operations, usually deploy as the landing force aboard amphibious task force shipping. MAGTF's may also be deployed for rapid response or reinforcing roles by use of tactical or strategic air or sealift. MAGTF's may be formed and deployed for combat, contingency deployments, and training exercises. They may be committed to combat from contingency deployments.

When employed in other than amphibious operations, MAGTF's are capable of functioning as self-sustaining uniservice forces under the operational command of unified, subordinate unified, or joint task force commanders.

The preplanned, coordinated tactical employment of two MAGTF's is not contemplated except where operations are separated in space or time, or are of a limited duration. Where a given situation requires added combat power, a larger MAGTF should be deployed to join and absorb the smaller force.

A forward deployed MAGTF is a contingency force usually deployed aboard amphibious shipping with the fleet. It is not task organized in the classical sense, since its structure is not oriented for the accomplishment of any given mission. Rather, it is configured based upon available forces and shipping, with consideration given to a variety of potential mission requirements. Forward deployed MAGTF's

are capable of rapid but limited response in a variety of possible contingencies. When committed to a combat role, they are normally considered as the forward element of a larger MAGTF, such as a MAF. The functions and roles which may be performed by forward deployed MAGTF's include:

- Assist U. S. diplomatic efforts through peaceful projection of influence and, during periods of threatening crisis, provide a selective show of force and interest.

- Permit early commitment of U. S. forces to combat when required.

- Preserve options limiting the degree, direction, and character of U. S. involvement.

- Assist allies through provision of flexible and selective levels of military assistance.

- Provide humanitarian assistance/disaster relief.

- Protect/evacuate noncombatants or installations.

ACTIONS REQUIRED

Background only; no action required.

OP-60/24 Nov 1980

SHORE ESTABLISHMENT: BASES AND STATIONS

- The shore establishment consists of all activities ashore assigned to support the operating forces in terms of personnel, material, supply, and fiscal procurement; training; maintenance; and planning and operational guidance.

- Principal Navy shore commands under the Chief of Naval Operations

  - Naval Material Command
  - Bureau of Medicine and Surgery
  - Naval Education and Training Command.

- Fleet Commanders-in-Chief command over four hundred shore activities; principal activities:

  - Atlantic:
    - -- Naval Bases: Charleston, SC; Guantanamo Bay, Cuba; Norfolk, VA; and Mayport, FL.
    - -- Naval Air Stations: Norfolk, VA; Brunswick, ME; Oceana, VA; Key West and Jacksonville, FL.

  - Pacific:
    - -- Naval Bases: San Diego, CA; Pearl Harbor, HI; Guam; Subic Bay, RP.
    - -- Naval Air Stations: Cubi Pt., RP; North Island, CA; Barbers Point, HI; Alameda, CA; Miramar, CA.

  - Europe:
    - -- Naval Station: Rota, Spain.
    - -- Naval Support Activity: Naples, Italy.
    - -- Naval Air Facilities: Sigonella and Naples, Italy.

- Marine Corps - The Commandant of the Marine Corps commands the Marine Corps shore establishment. The principal Marine Corps shore installations are:

  - Marine Corps Bases: Camp Lejeune, NC; Camp Pendleton, CA; Camp Butler, Okinawa.

  - Marine Corps Air Stations: El Toro, CA; Kaneohe, HI; Futema, Okinawa; Iwakuni, Japan; Cherry Point, NC; and Beaufort, SC.

Cat 1/06

LtCol E.O. LeROY
Code LFF-1
21 Nov 1980

MARINE CORPS INSTALLATIONS

BACKGROUND

- The shore establishment of the Marine Corps supports the operations, training, maintenance and administration of Marine forces.
- The Marine Corps operates 23 major installations in the Continental United States and overseas.

DISCUSSION

- These installations are located as follows:
  - East Coast
    - Marine Corps Base, Camp Lejeune, NC
    - Marine Corps Air Bases, Eastern Area
      - Marine Corps Air Station, Cherry Point, NC
      - Marine Corps Air Station, Beaufort, SC
      - Marine Corps Air Station(H), New River, NC
    - Camp Elmore, Norfolk, VA
    - Marine Corps Development and Education Command, Quantico, VA
    - Marine Corps Recruit Depot, Parris Island, SC
    - Marine Corps Logistics Base, Albany, GA
    - Marine Barracks, Washington, DC
    - Henderson Hall, Arlington, VA
  - West Coast
    - Marine Corps Base, Camp Pendleton, CA
    - Marine Corps Air-Ground Combat Center, 29 Palms, CA
    - Marine Corps Air Bases, Western Area
      - Marine Corps Air Station, El Toro, CA
      - Marine Corps Air Station, Yuma, AZ
      - Marine Corps Air Station(H), Tustin, CA
      - Marine Corps Auxiliary Landing Field, Camp Pendleton, Ca
    - Marine Corps Recruit Depot, San Diego, CA
    - Marine Corps Logistics Base, Barstow, CA
  - Pacific
    - Commander, Marine Corps Bases, Pacific
      - Camp H.M. Smith, Oahu, HI
      - Marine Corps Air Station, Kaneohe Bay, Oahu, HI
      - Camp Smedley D. Butler, Okinawa, JA
      - Marine Corps Air Station(H), Futenma, Okinawa, JA
      - Marine Corps Air Station, Iwakuni, JA

ORGANIZATION OF THE NAVY'S TRAINING ESTABLISHMENT

- Deputy Chief of Naval operations for Manpower, Personnel and Training (OP-01) is responsible for planning, programming, and monitoring execution of naval training.

- Deputy Chiefs of Naval Operations for Surface, Subsurface and Air Warfare (OP-03, OP-02, OP-05) assist OP-01 in identifying training requirements and allocating resources to accomplish identified requirements.

- Six major Training Agents exercise command of and provide support for major increments of the Department of the Navy's training effort:

  - The Chief of Naval Education and Training (CNET) is responsible for assigned shore-based education and training of Navy, certain Marine Corps, and other personnel in support of the Fleet, Naval Shore Establishment, Naval Reserve, Interservice Training Program, and Military Assistance and Foreign Sales Programs.

  - Fleet Commanders in Chief (CINCLANTFLT and CINCPACFLT) are responsible for afloat, underway, operational, and overall readiness training of units assigned.

  - Chief of Naval Reserve is responsible for mobilization training of surface, air, and ashore reserve units.

  - Chief of Bureau of Medicine and Surgery is responsible for all medical, dental, nursing, and physician assistant training.

  - Chief of Naval Material is responsible for overall industrial training and in addition, provides major material support to other Training Agents.

Cat 1/01

BRIEFING PAPER

UNCLASSIFIED

LtCol Kutchma, USMC, Code TRB, 694-2056

TRAINING ESTABLISHMENT

BACKGROUND

The Marine Corps training establishment provides both individual and collective training. They are under the military command and management control of the Commandant of the Marine Corps. The purpose of all Marine Corps training is the development of skilled forces-in-readiness prepared at all times to carryout any assigned mission.

DISCUSSION

Marine Corps training installations include the Marine Corps Development and Education Command, recruit depots, special schools, and other commands dedicated to training.

-Specific formal training locations include:

-Marine Corps Development and Education Command, Quantico, VA

-Marine Corps Recruit Depot, Parris Island, SC

-Marine Corps Recruit Depot, San Diego, CA

-Camp Lejeune, NC

-Camp Pendleton, CA

-Twentynine Palms, CA

-Albany, GA

-Aviation training is conducted at various Marine Corps air bases/stations after basic training in the naval air training command.

-Unit training is accomplished at home base facilities as well as at a variety of locations visited during deployed status. These areas include, but are not limited to Okinawa and Camp Fuji, Japan, Subic Bay, P.I., Korea, the Mediterranean area, and in Hawaii.

-The Commanding Generals, 4th Marine Aircraft Wing and 4th Marine Division are responsible for the training of reserve units. This training is conducted at both active force facilities and at local training areas.

-Also, other service schools are utilized extensively for the formal training of Marines.

-For information only.

UNCLASSIFIED

OP-04/24 Nov 1980

ORGANIZATION OF INDUSTRIAL FACILITIES

- Navy Industrial facilities consist of shipyards and weapons/ordnance facilities which operate under direction of Commander Naval Sea Systems Command (NAVSEA), and Naval Aviation repair facilities under Commander, Naval Air Systems Command (NAVAIR).

- Shipyard facilities

  - Sixteen Supervisor of Shipbuilding, Conversion and Repair offices which administer and manage new ship construction contracts, ship repair, modernization and conversion efforts. (FY80 end strength: 3748 civilians/320 military).

  - Eight shipyards operated by the Navy (FY80 end strength: 67,508 civilians/840 military).

  - Three Ship Repair Facilities managed by CINCPACFLT to support U.S. Seventh Fleet operations in Western Pacific.

- Fifteen weapons/ordnance facilities (6 operated by contractors) manufacture and repair weapons. (FY 80 end strength: 18,273 civilians/1300 military).

- Six Naval Air Rework Facilities perform depot level maintenance of airframes, engines, and associated components. (FY 80 end strength: 22,700 civilians/200 military).

- The Naval Avionics Center performs depot level maintenance of avionics components. (FY 80 end strength: 2300 civilians/ 8 military).

- Overseas Repair Activities perform minor repairs and support services for deployed units and are manned by foreign nationals.

- Commercial Contractors complement/supplement organic aviation maintenance facilities.

Cat 1/04

RECRUITING ORGANIZATION

- Navy Recruiting Command (NAVCRUITCOM):
  - recruits men and women for enlisted and officer programs (less Naval Academy) in regular and reserve components of the Navy.
  - under command of Commander, Naval Military Personnel Command/Deputy Chief of Naval Personnel.
  - receives policy guidance and recruiting goals from Deputy Chief of Naval Operations (Manpower, Personnel and Training).
  - divided into 6 geographic recruiting area commands:
    - -- Recruiting Areas divided into 43 Recruiting Districts;
    - -- Recruiting Districts maintain over 1400 field Recruiting Stations.
  - FY80 end strength 6164: 610 officers, 5054 enlisted, 500 civilian.

Cat I

UNCLASSIFIED

LtCol S.B. GRIMES, HQMC
Code MRP, 694-2162
20 Nov 1980

SUBJECT

Organization of Marine Corps Recruiting Service

BACKGROUND

The present organization of the recruiting service has been in effect since 1 June 1976.

DISCUSSION

The Marine Corps recruiting service is unique in that there is no single recruiting command. Responsibilities are shared between HQMC and recruit depots.

Organization of the Marine Corps Recruiting Service

- Personnel Procurement Division, Manpower Department Headquarters Marine Corps

  -- Officer Procurement: Operational and administrative control direct to six districts

  -- Enlisted Procurement: Administrative, fiscal and logistics, recruitment advertising, plans, policy and management control.

- Marine Corps Recruit Depots (Eastern Region - Parris Island, South Carolina and Western Region - San Diego, California)

  -- Officer Procurement: Not applicable

  -- Enlisted Procurement: Operational control of and responsible for quantity and quality of total accessions within geographical area.

- Marine Corps Districts (1st - Northeast; 4th - Eastern Central; 6th - Southeast; 8th - Central and South Central; 9th - Northern Central; and 12th - Western)

  -- Responsible for officer and enlisted procurement

- Marine Corps Recruiting Stations

  -- Forty-seven throughout the United States

  -- Forty-five stations have one or more Officer Selection Teams for a total of fifty-four teams.

- Recruiting Offices (1,041 throughout the United States) consisting of Recruiting Substations and Permanent Contact Stations for enlisted procurement.

ACTION REQUIRED

None - For information only

UNCLASSIFIED

NAVAL RESERVE

- Provides trained units and qualified individuals for active duty in times of war or national emergency and at such other times as national security requires.

- Under direction of Director of Naval Reserve/Chief of Naval Reserve. Incumbent: RADM Frederick F. Palmer, USN.

- Three Categories of Personnel:

  - Ready Reserve: 254,000
  - Retired Reserve: 128,000
  - Standby Reserve: 23,000

- Ready Reserve composed of both active and inactive reservists.
  - 65,000 reservists on active duty.
  - Inactive reserves composed of
    - -- 87,000 Selected Reserves to meet earliest post-mobilization requirements. They train in paid drill status and are assigned to:
      - --- Commissioned Units: provide complete operational entity (ship, aircraft squadron, or construction battalion) to operating force.
      - --- Reinforcing Units: augment active commissioned units and operating staffs.
      - --- Sustaining Units: augment fleet and force support activities.
    - -- 96,000 Individual Ready Reserves available to meet mobilization requirements, but not trained as regularly as Selected Reserve. 6,000 drilled without pay.
    - -- 6,000 Naval Reserve Officer Training Corps.

- Naval Reserve Fleet Ships:

- Destroyers	6
- Mine Warfare	22
- Amphibious Warfare	6
- Mobile Support, Auxiliaries	8
TOTAL	42

- Naval Reserve Aviation Squadrons:

- VF Squadrons	4
- VAL Squadrons	6
- VAQ Squadrons	4
- VAW Squadrons	2
- VP Squadrons	13
TOTAL	29

Cat 1/09R

OP-92/24 Nov 1930

CONTINUING RESOLUTION AUTHORITY (CRA) LIMITS

BACKGROUND

- In the absence of an FY 1981 Appropriation Act, the DOD has been operating under Continuing Resolution Authority, which provides fund availability through 15 December 1980.

- The FY 1981 CRA permitted the obligation of funds at a rate of operation not to exceed the rate provided in the House Appropriation Bill. However, the Committee directed that agencies avoid obligating funds for controversial programs or at rates which would restrict the prerogatives of the Congress.

- Within DOD, obligation of funds for items not included in the President's budget is not permitted unless an exception is granted by DEPSECDEF.

DISCUSSION

- If the Congress does not complete work on the FY 1981 DOD Appropriation Act during the current session, then another CRA would be required. It is assumed that a second CRA would provide the same limitations as contained in the current CRA and that OSD would support requests for exceptions to the current OSD imposed limitations.

PROBLEMS

- The most serious limitations imposed by Continuing Resolution Authority are restrictions on reprogrammings, and funding of discretionary items due to the need to prevent eventual overobligation of funds.

- Late enactment of the FY 81 Appropriation could impact on the availability of obligational authority in the operating accounts which could lead to invoking R.S. 3732 authority (used to incur obligations in excess of available appropriations for fuel, pay, transportation, etc.).

STATUS

- It appears likely that Congress will complete action on the FY 1981 DOD appropriation bill prior to 15 December.

Cat 1/92

OP-92/24 Nov 1980

SECOND CONCURRENT BUDGET RESOLUTION

BACKGROUND

- The Congressional Budget Act of 1974 requires the enactment of two concurrent resolutions which establish recommended levels for budget authority, outlays, and revenue.

- The first concurrent resolution is required in May before any of the appropriation bills are voted.

- The second concurrent resolution is enacted after Congress completes action on the appropriations bills. This resolution may revise or reaffirm these initial targets. Once it is approved, Congress is not permitted to enact appropriations which would exceed the amounts specified.

- The second concurrent resolution may be revised to permit Congress to enact supplemental appropriation. For example, in FY 1980, a revision was required before Congress could act on the FY 1980 Supplemental request for DOD.

DISCUSSION

- Concurrent resolutions apply to the National Defense function which encompasses DOD appropriations less military construction plus relatively small amounts for DOE (atomic energy) and HUD (selective service). None of the individual military departments are separately identified.

- Concurrent resolutions are internal Congressional actions not requiring DOD participation.

- DOD is not restricted in its request for additional FY 1981 funding by the existence of second concurrent resolution levels.

PROBLEM

- Second concurrent resolution approved by the Congress on 19 November 1980, may not be sufficient to permit the Congress to approve the full amount expected to be required for Defense during FY 1981, i.e., the FY 1981 appropriation bill plus supplemental requests for pay, inflation, fuel, and Indian Ocean related costs.

- Levels established in the second concurrent resolution would be a problem for DOD only if Congress were unwilling to revise them.

Cat 1/92

OP-92/24 Nov 1980

FY 1981 APPROPRIATIONS BILL

BACKGROUND

- The FY 1981 DOD Appropriation Act has not yet been passed by Congress, requiring program execution under Continuing Resolution Authority.

DISCUSSION

- The Military Construction Appropriation Act, signed into law on 13 October 1980, provides $801.0 million for the Military Construction, Navy and Naval Reserve appropriations.

- The Authorization Act for DOD appropriations, signed into law on 8 September, authorizes $22.7 billion or $4.2 billion more than requested in the President's Amended Budget for DON (includes USMC) programs requiring authorization.

- The House appropriations bill, passed on 16 September 1980, provides $52.9 billion in total obligational authority (TOA) or $2.7 billion more than requested for DON programs in the President's Amended Budget.

CURRENT STATUS

- Senate Committee markup, completed on 19 November, provides $54.3 billion of TOA. This bill excludes the proposed Indian Ocean budget amendment now being forwarded to Congress.

- Senate passed on 21 November. Awaits joint conference action.

Cat 1/92

CONGRESSIONAL BUDGET STATUS REPORT
ACTION ON APPROPRIATION

11/22/00

		PRESIDENT'S BUDGET AS AMENDED	AUTHORIZATION ACT	HOUSE BILL	SENATE BILL	HOUSE COMPARED TO PRES. BUDGET	SENATE COMPARED TO PRES. BUDGET	SENATE COMPARED TO HOUSE
MILITARY PERSONNEL, NAVY	TOA	7,533,294	-	7,644,094	7,867,173	110,800	333,879	223,079
MILITARY PERSONNEL, MARINE C	TOA	2,260,051	-	2,284,951	2,359,836	24,900	99,785	74,885
RESERVE PERSONNEL, NAVY	TOA	262,174	-	288,274	297,003	26,100	34,829	8,729
RESERVE PERSONNEL, MARINE COR	TOA	95,224	-	93,424	104,567	-1,800	9,343	11,143
OPERATION & MAINT., NAVY	TOA	16,635,952	-	16,865,275	16,544,229	229,323	-91,723	-321,046
OPERATION & MAINT., MARINE C	TOA	952,900	-	994,200	990,050	41,300	37,150	-4,150
OPERATION & MAINT., NAVY RES	TOA	502,545	-	597,145	510,235	94,600	7,690	-86,910
OPERATION & MAINT., MARCORPS	TOA	28,394	-	28,654	28,694	260	300	40
AIRCRAFT PROCUREMENT, NAVY	TOA	5,015,200	6,150,600	6,057,607	6,140,707	1,042,307	1,125,407	83,100
WEAPONS PROCUREMENT, NAVY	TOA	2,253,500	2,818,500	2,679,829	2,818,500	426,329	565,000	138,671
SHIPBUILDING & CONVERSION, NA	TOA	6,179,200	8,363,200	7,300,800	7,803,200	1,121,600	1,624,000	502,400
OTHER PROCUREMENT, NAVY	TOA	3,055,547	-	2,903,125	3,062,097	-72,422	6,550	78,972
PROCUREMENT, MARINE CORPS	TOA	469,700	183,358	477,141	513,313	7,441	45,613	39,172
RESEARCH, DEVEL., TEST&EVAL., N	TOA	4,862,879	5,165,115	4,508,263	5,110,015	-354,616	247,136	601,752
STOCK FUNDS	TOA	4,417	2,760	4,417	4,417	-	-	-
DOD APPROPRIATION ACT	TOA	50,111,077	22,683,533	52,807,199	54,156,036	2,696,122	4,044,959	1,348,837

MILITARY RETENTION (NAVY)

ENLISTED RETENTION

- Enlisted retention goals established as percentage of those eligible for reenlistment in each of three categories: completing 1st enlistment (1st term), completing 2nd enlistment (2nd term), finishing 3rd or later enlistment (3rd term and beyond).
  - FY-80 enlisted retention/steady state goals:
    1st Term - 36.7%/45%
    2nd Term - 50.5%/60%
    3rd Term & beyond - 91.6%/95%
  - Retention rates have declined between 1975 and September 1980, particularly in career force (3rd Term and beyond).
    -- A serious shortage, 21,000 midgrade petty officers, resulted, impacting readiness.
    -- To eliminate petty officer shortfall, must achieve recruiting and retention goals for several years in a row.

OFFICER RETENTION

- Goal is 60% retention overall. Two major areas of concern in officer retention:
  - 39% shortage of Lieutenant pilots relative to billets authorized; shortfall projected to increase to 46% by end FY82.
  - Nuclear submarine officer retention: 36% in FY80, projected to decline to 24% in FY82. Nuclear submariner can now expect to spend 15 of first 18 years of service on sea duty.

CORRECTIVE ACTION

- Inadequate compensation identified as most significant factor contributing to poor retention. Purchasing power of military members has declined steadily since advent of All Volunteer Force in 1972.

- Major initiatives proposed for FY81 to improve compensation are summarized at TAB A.

- Significant improvements became effective 1 October 1980; they are expected to have positive effect on retention, but it is too soon to tell. Initiatives for FY82 are summarized at TAB B.

PROBLEMS

- 11.7% pay raise authorized for FY81 good start...does not recoup lost purchasing power.

- Selective Reenlistment Bonus requirement underfunded $24.5M for FY81.

- Aviation Continuation Bonus not expected to be funded.

- Present levels of reimbursement for PCS inadequate.

- Sea Pay and Submarine Duty Pay levels inadequate.

CWF 1/01

TAB B

FY82 COMPENSATION ISSUES

	1982 Goals ($M)	Programmed 1982-86 ($M)
Basic Pay	$465 1/	$0
Enhanced Sea Pay 2/	$200	0
Increased Sub Pay 2/	35	
50% increase to Aviation Career Incentive Pay	11	0
Quarters Allowance when afloat (E-5 and up)	25	0
Travel reimbursement	96	0
Transportation & Living Expenses	52	0
Selective Reenlistment Bonuses	84	400

1/ To fund 6.6% growth - first step toward catch up to lost purchasing power. Uncapped cost of living increase would be in addition.

2/ Potential for Congressional authorization for FY81.

TAB A

MAJOR FY81 COMPENSATION INITIATIVES

		Authorized	Appropriated3/ 4/
1.	Basic Pay	Yes1/	
2.	Variable Housing Allowance	Yes	(Situation changing rapidly. Will update prior to SECDEF submit)
	Increased Travel Reimbursement	No	
4.	Transportation & Living Expenses	No	
5.	Selective Reenlistment Bonus Enhancement	Yes	
6.	Aviation Continuation Bonus	Yes2	
7.	25% increase in Aviation Career Incentive Pay	Yes	
8.	15% increase in Sea Pay	Yes	
9.	Physicians Pay	Yes	

1/ $11.7% basic pay raise authorized. Navy request was for additional $1.2B as first step toward catch up to lost purchasing power.

2/ Discretionary authority.

3/ As of 19 Nov 1980, Senate Appropriations Committee has recommended funding of all items except
- 11.7% pay raise to be funded in FY81 supplemental.
- Aviation Continuation Bonus. If DOD provides plan for payment, committee will consider recommending funding through reprogramming or supplemental.

4/ House Appropriations Committee recommended funding only items 2, 5, 7, 8 above and other Nunn-Warner increases.

LtCol T.W. Steele, USMC
MPP-47, 694-1464
20 November 1980

END STRENGTH (U)

BACKGROUND (U)

- Between 1972 and 1978, Marine Corps end strength declined from 198.2K to 190.8K as a result of strength shortfalls and congressionally mandated reductions.
- For POM-81, the Marine Corps programmed a 10,000 man end strength reduction for a more balanced allocation between manpower, procurement, and operations and maintenance.
- By late summer of 1979 in recognition of new RDF/MPS requirements and congressional concern regarding strength levels, the Marine Corps request for FY 1981 was increased to 185.2K.
- Improved retention trends experienced in summer of 1980 led to actions by the Congress to fund a 2,900 strength increase in FY 1980 and FY 1981.
- The drawdown from Vietnam and the difficulties of recruiting and retaining qualified manpower in the AVF environment have contributed to an erosion of a firm structure requirements benchmark.

DISCUSSION (U)

- In May 1980, UNITREP established the force structure immediately required for war as the criteria for measuring readiness.
- Current 1981 FYDP structure represents POM-82 decisions on force manning, strength achievability, and resource allocation.
- Increased FY 1980 and 1981 end strength (+2900) permits higher manning levels.
- Considerable disparity exists in readiness and force capability between the UNITREP and FYDP structures primarily in the activation and manning of logistics and certain aviation units. The differences in force structure are shown below:

	Officer	Enlisted	Total	
FYDP Structure	18,172	165,918	184,090	(185.2K E/S)
△ Improved FY80 Retention		+2,900	+2,900	
Revised FYDP Structure	18,172	168,818	186,990	(188.1K E/S)
△ to fill UNITREP	+2,160	+23,993	+26,153	
UNITREP Structure	20,332	189,911	210,243	

PROBLEMS (U)

- While current retention improvements are encouraging, the true limiting feature to any significant increase in strength above FYDP levels is the number of qualified individuals that can be trained in the critical skill areas.

Critical skill shortages are far more serious and bounding on force capability than overall end strength.

- Programs to attract higher quality recruits (MG I & II) must be introduced to insure sufficient quality in the AVF environment.

- Force expansion without such programs or the draft can only be achieved by reducing current physical, mental and educational standards.

ACTIONS (U)

- Action should be initiated to introduce a GI Bill-like education program to attract higher quality recruits.

- Retention initiatives improving compensation should be continued to retain the attractiveness of military service.

UNCLASSIFIED

LtCol T.W. Steele
MPP-47, 694-1464
20 Nov 1980

MILITARY COMPENSATION (U)

BACKGROUND (U)

- The FY 1981 DOD Authorization Act and the Military Personnel and Compensation Amendment of 1980 provided significant increases in compensation - most notably, VHA, PCS enhancements, 11.7% pay raise, increased per diem, flight pay, subsistence and bonuses.

- FY 1982 POM initiatives continue these enhancements and in the case of PCS reimbursements increase the FY 1981 levels.

DISCUSSION (U)

- Although FY 1981 and FY 1982 actions have not achieved comparability with 1972 levels, they have improved overall QOL and purchasing power.

- OSD projections for retention improvements to the career force (Marines in 5-30 years of service) resulting from compensation initiatives support the Marine Corps' career force objective levels of 49-50K.

- Although considered optimistic, funding to support a richer career force content was added in the PDM by OSD.

- The ability to recruit and retain sufficient numbers of qualified and skilled personnel at least partially depends on continued improvements to include, inter alia, the following:

  -- A stable compensation system which restores 1972 purchasing power levels, removes pay caps, maintains PCS reimbursements compatible with other Federal employees, modernizes and updates various special/incentive pays.

  -- A non-contributory educational program which provides additional incentives for entering and continuing service and permits transfer of entitlements to spouse or dependent.

  -- An improved military health care program with more military physicians and dentists, improved CHAMPUS care and a CHAMPUS dental care program.

PROBLEMS (U)

- To recruit and retain the numbers of qualified personnel necessary to man the force structure requires sufficient allocation of resources.

- The alternative is a short-term, rapid turnover personnel inventory sustained by the draft.

ACTION (U)

- Action to provide the resources to adequately recruit and retain needed quality Marines must be continued.

UNCLASSIFIED

OP-49/24 Nov 1980

CIVILIAN MANPOWER CEILING REDUCTIONS/HIRING FREEZE

BACKGROUND

- Since FY74, marking the end of the Vietnam War for all practical purposes, Department of the Navy (DON) civilian employment has decreased by 26,500 (8%). Military manpower has decreased by 21,300 (4%) during the same period.

- Civilian hiring freeze imposed on 1 March 1980 limits outside-DOD hiring of full time permanents to one for every two vacancies.

- Majority of DON civilians are in readiness and quality of life functions (e.g. industrial facilities, medical, training).

DISCUSSION

- DON has accommodated reduction/freezes by hiring temporaries to perform budgeted readiness related work and releasing them prior to the end of the fiscal year, resulting in inefficient workyear utilization rate. Appropriate use of temporaries is for workload surges at industrial activities.

- At end FY-80, DON was 2,700 below its FY-80 Full Time Permanent (FTP) ceiling as a result of the current freeze and 10,200 below its budgeted FY-81 FTP end strength.

- OMB will impose a full-time equivalent (FTE) or workyear ceiling government-wide in FY-82. Part time and temporary personnel will have to be counted against these ceilings. If ceilings are not keyed to funded workload, they will constrain ability to hire temporaries and thus will impact on ability to accomplish workload.

- Contracting out to circumvent personnel ceilings is prohibited by congressional restriction and OMB circular A-76.

PROBLEMS

- Failure to accomplish budgeted work loads at DON activities, affected by civilian manpower reductions, has direct impact on overall fleet readiness.

Cat 1/04

OP-443/24 Nov 1980

A-76 EFFECTS ON CONTRACTING OUT

BACKGROUND

- With the objective of reducing the size of the Federal payroll, OMB Circular A-76, as modified and reissued on 29 March 1979, requires a detailed study comparing costs of alternative means of carrying out functions--use of civilian employees of DON vs contracting with the private sector--in every case where the line item is in excess of $100,000.

- In FY80, Congress required a cost comparison study for all functions to be contracted out. Additionally, Congress required notification of all intents to review, study, and award contracts before any action was taken. The requirement became permanent law in FY81.

DISCUSSION

- Flexibility in contracting out provided by the original Circular A-76 has been virtually eliminated. The necessity to conduct cost comparison studies for all functions regardless of size requires development of an in-house organization, an in-house bid, and an independent review. This can add as much as six months to the process leading to the actual contract.

PROBLEMS

- In practice, the requirement for detailed cost studies delays proposed contracting out actions, creates turmoil in workload planning, and diverts limited manpower and funding resources from productive effort. DON has not been able to achieve budgeted civilian personnel reductions imposed in anticipation of contracting out. For example, in FY80, DON contracted out 637 of 4427 end strength reductions budgeted in anticipation of contracting out. A total of 194 studies remain incomplete. The FY81 budget assumes an additional 2241 civilian spaces will be contracted out. On a cumulative basis a restoration of 4300 ceiling spaces has been requested for FY81 in the FY82 Budget. The result is a budget execution problem; either critical work goes undone or Navy must request restoration of civilian personnel ceiling to levels higher than statutory and administrative constraints allow.

- Repeal of section 502 of the 1981 DOD authorization Act (PL 96-342) and raising the $100,000 A-76 threshold to $500,000 would reduce the resource requirements for operating the program and permit DON to proceed to contract out, when feasible, without undue delay.

STATUS

- Announcement of functions for cost studies which affect approximately 1400 military and 5500 civilian positions are before ASN(MRA&L).

- Issue of boosting $100,000 threshold to $500,000 is endorsed by the Defense Audit Service and presently in staffing at OSD.

Cal 1/04

LtCol. W. H. WHITE, USMC
Code RPR-5 (X42081)
24 November 1980

READINESS AND SUSTAINABILITY

BACKGROUND

° Readiness is the capability of a unit, formation, ship, weapon system or equipment to perform its primary mission.

° Sustainability is the ability to maintain the level and duration of combat activity necessary to achieve the desired national objectives.

DISCUSSION

° Readiness

°° Primarily measured by the UNITREP reporting system.

°° Marine Corps combat/combat support units are generally reporting that they are substantially ready with the primary areas of degradation being personnel and equipment.

° Sustainability

°° Primarily measured through the quantities of war materiel on-hand and in the pre-positioned war reserves (PWRS)

°° The Marine Corps is marginally ready with the primary area of degradation being ammunition.

PROBLEMS

° Readiness - Previous and current funding limitations have required that certain combat service support organizations be cadred. Organizations such as bridge, bulk fuel, port operations, marginal terrain vehicle, etc. are rarely used in peacetime but are critically needed during war.

° Sustainability - Previous and current funding limitations have precluded the procurement of sufficient quantities of ammunition in order to achieve and maintain the desired inventory objective.

READINESS AND SUSTAINABILITY

° Although deficiencies exist in both readiness and sustainability, modest improvement are projected through funds currently programmed in the out years.

ACTION REQUIRED

° Action, Longer Term

°° Increased end strength, to include increased funding levels, to allow activation of currently cadred combat service support units.

°° Increased funding levels to allow the procurement of critically needed equipment and war materiel, e.g. ammunition, bridging, electronic countermeasures and chemical warfare equipment, etc.

UNCLASSIFIED

Mr J. L. LOCKE, USMC, Code LMG 695-1191
19 November 1980

SUBJECT

Marine Corps Ground Combat Ammunition

BACKGROUND

o Ground ammunition is fired principally from weapons (artillery, tanks, mortars, hand guns) but also includes non-weapon types such as signals, demolitions, pyrotechnics, hand grenades, etc.

DISCUSSION

o Funds in budget not adequate to procure minimum requirements. Defense Consolidated Guidance (DCG) authorizes acquisition of 60 days combat munitions (and sustain training).

PROBLEMS

o Funds in FY82 and prior year budgets not adequate. Forecast funding for POM down years (FY83-86) are much higher but historically have been reduced as subsequent budgets moved forward. In either case, funds not adequate to procure/support minimum requirements.

CURRENT STATUS

o Attainment of FY82 programmed quantities will provide for only:

- 27 days modern and 36 days non-modern ammunition for all active MAFS and priority units of IV MAF LESS RDF and prepositioning requirements; OR

- 13.5 days modern and 18 days non-modern ammunition for all active MAFS and priority units of IV MAF PLUS RDF and prepositioning requirements.

SUMMARY

o Funds for ammunition procurement is inadequate.

ACTION REQUIRED

o Action will be required; longer term.

UNCLASSIFIED

UNCLASSIFIED

J. W. BLINN (Civ), USMC
Code LMM-1 (X41775)
20 November 1980

WAR RESERVE MATERIEL (WRM) AND SPARES

BACKGROUND

° Secondary item stores deficiencies exist within the fundable level addressed in the Consolidated Guidance.

DISCUSSION

° As of 31 October 1980 approximately 55% of the summary dollar value of the requirements to include sustainability had been attained.

° Requirements are projected to increase in the out years due to new equipments, e.g., Chemical Protective Clothing; additional outfitting requirements for cold weather items and the MPS program.

SUMMARY

° Although there are existing deficiencies, improvements are projected from funds programmed in the out years.

° Corrective actions include continued refinement of the requirement data base.

ACTION REQUIRED

° Action will be required, longer term.

UNCLASSSIFIED

NAVSEA/24 Nov 1980
Rev. 1

SHIPBUILDING CLAIMS

BACKGROUND

- Value of outstanding claims against the Navy by shipbuilders totaled $2.7 billion in April 1977
- In an effort to avoid future claims and alter the then existing adversary relationship between the Navy and some members of industry, the Naval Ship Procurement Process Study (NSPPS) was initiated in early 1977. Final report was published in July 1978.
- All major claims outstanding were settled Mid-1978

DISCUSSION

- The objective of the NSPPS was to identify the problem areas which over the years had emerged between the Navy and the shipbuilding industry and to find the means with which to resolve outstanding issues and minimize the potential for future claims.
- Thrust of the study recommendations was the improvement of acquisition procedures and the more equitable allocation of risks between the government and the shipbuilding industry. General areas targeted for improvement included acquisition planning, contract types and techniques, contract management, and change management. Specific recommendations were included for a number of subject elements within these general areas.
- Navy processing of the NSPPS report resulted in the identification of 65 significant topics. These topics were analyzed and a Navy position developed for each. As a result of this effort, 85% were adopted, and 15% were not.

STATUS

- SECNAV/Shipbuilder meeting held in April 1980 to review progress on NSPPS recommendations
- To date 54% of the recommendations have been implemented.
- At present, there are no outstanding claims on Navy shipbuilding contracts. However, as shown on TAB A, other claims totaling $12.3 million are being evaluated and negotiated by the Navy or are before the Armed Services Board of Contract Appeals (ASBCA) for resolution.

Cat 1/CNM

CURRENT SHIPBUILDING CLAIMS POSTURE

CONTRACTOR	AMOUNT (Millions)	TYPE OF WORK	STATUS
Sun Shipbuilding and Drydock	$3.7	Overhaul of LKA-117	Being evaluated and negotiated
Sun Shipbuilding and Drydock	$1.0	Overhaul of LPD-15	Being evaluated and negotiated
Norfolk Shipbuilding and Drydock	$6.4	Construction of PF-107 (FMS)	Being evaluated and negotiated
Norfolk Shipbuilding and Drydock	$0.3	Overhaul of LSD-32	Claim submitted to Armed Services Board of Contract Appeals (ASBCA) for resolution
Merritt-Chapman & Scott	$0.9	Interest claim	Claim submitted to Armed Services Board of Contract Appeals (ASBCA) for resolution
TOTAL	$12.3		

TAB A

PMA265/24 Nov 1980

F/A-18

BACKGROUND

- As the replacement for F-4 and A-7 aircraft, the F/A-18 is designed for strike escort, fleet air defense, interdiction and close air support roles. Reconnaissance and trainer versions are also planned within a total production of 1,366 aircraft.

DISCUSSION

- All development aircraft are in flight test; over 2,500 flight hours have been accumulated. Navy preliminary evaluations have demonstrated flying qualities and carrier suitability. Initial test and evaluation scheduled for completion Dec 80. All major milestones expected to be met except on-time completion of fatigue testing and start of Navy Board of Inspection and Survey trials.

PROBLEMS

- Flight test program five months behind schedule, but good aircraft availability has permitted us to regain some of the lost time.
- Acceleration and takeoff weight thresholds will require adjustment. Wing redesign to correct roll rate deficiency not yet verified.
- Two accidents--one unmistakably engine-related, the other not yet determined--have marred an otherwise extraordinary development program.

CURRENT STATUS

- $3.7B sunk cost through Oct 80. Navy FY 82 Budget (Basic level) total procurement cost is $35.1B; program cost is $37.4B and unit flyaway cost for 1366 aircraft will be $21M.
- Inflation, exceeding OSD/OMB projection, has absorbed funds needed for changes and support. Navy has asked for additional $121M for FY 82 airframe escalation adjustment. Cost growth and September 80 crash of an R&D aircraft have created a $78.5M+ RDT&E funding shortfall over Navy FY82 budget.

Cat 1/05

AV-8B

BACKGROUND

- The AV-8B light attack aircraft is designed with a vertical/short take-off and landing (V/STOL) capability to provide increased responsiveness to ground force close air support requirements through basing flexibility and high sortie rates.
- The Flight Demonstration Phase of the AV-8B program -- approved in March 1976--was successful.

DISCUSSION

- Development/procurement have not been supported throughout OSD. Issue has historically centered on affordability.
- DON continues to support development and procurement of the AV-8B for the Marine Corps, if funding levels become high enough to meet other tactical aircraft procurement goals at the same time.
- Congressional action in FY78, 79 and 80 restored RDT&E funding. Recent action by the Congress assured FY81 funding of $243M in RDT&E and $90M in long lead procurement for the first 12 production aircraft.

PROBLEMS

- The technical capability of the aircraft has not been a primary issue. The aircraft has met or exceeded all performance test objectives in the vertical takeoff mode and conventional performance mode, and has surpassed expected performance in the various short takeoff modes.

CURRENT STATUS

- RDT&E for FY82 currently at the enhanced level of the OSD Budget Request (Band 6).
- The AV-8B is the highest priority Marine aviation modernization program. Required funding to meet Congressionally directed FY85 IOC:

	82	83	84	85	86
RDT&E	231.1	97.5	47.7		
APN	667.3	773.6	1309.1	1143.5	1116.4
#A/C	(12)	(24)	(54)	(54)	(54)

UNCLASSIFIED

LtCol C.T. HUCKELBERY, APW-22, 4-1741
19 November 1980

ANTI-ARMOR (U)

BACKGROUND (U)

- Present mobile armor threat to MAGTF operations cannot be adequately countered with present spectrum of anti-armor weapons.
- Work situations dictates a special urgency for the RDF.
- General Requirements
  - Precision Guided Munitions (PGM) for high kill probability and stand off which reduces aircraft attrition.
  - Area weaponry for conditions which preclude precise target designation.
  - Area denial weaponry to canalize and impede the armor threat.
  - Multi-purpose aircraft gun that is versitile, responsive and complimentary to other weapons.

DISCUSSION (U)

- Current inventory consists of iron and laser guided bombs, TOW, and an area weapon-ROCKEYE.
- Funded developmental programs are: Laser Maverick (FY-84), Infrared Maverick (FY-85), GATOR (FY-85) and AV-8B 25mm Gun (FY-85).
- Available unfunded programs: Laser Zuni, Hellfire, 20mm Ammo Improvement.

PROBLEMS(U)

- Laser Zuni available in near term (FY-83), however, it is unfunded.
- Laser Maverick requires increased funding in FY-82 for FY-83 IOC.
- Air Force has withdrawn funding for GATOR from POM-82 and affordability an issue for USMC stand alone procurement.
- Hellfire is main weapon on Army advanced attack helicopter. USMC submitted in FY-81 but failed to be funded by DON.
- 25mm funding delays gun until FY-85 and has insufficient monies for an adequate supply of ammunition.

CURRENT STATUS (U)

Program ($M)	FY-81	FY-82	FY-83	FY-84	FY-85	FY-86
Laser Maverick	3*	5*	60	73	122	164
Infrared Maverick	10	14	-	36	65	77
GATOR	2	-	-	37	47	82
25mm Gun	11	26	47	73	63	63

* Joint Conference

SUMMARY (U)

- CNO Executive Board scheduled to review DON Anti-Armor Capability by end of November 1980.

ACTION REQUIRED (U)

- Action will be required; longer term.

NAVFAC/24 NOV 1980

SAN DIEGO HOSPITAL CONSTRUCTION

BACKGROUND

- Replacement required due to age of existing facility
  - commissioned 1919
- Present site, 78 acres in Balboa Park, determined inappropriate for construction of new facility due to:
  - proximity to San Diego Airport
    -- noise and aircraft accident potential
  - problems entailed in maintaining hospital operations during construction of new site.

DISCUSSION

- Navy selected site adjacent to Balboa Park in Florida Canyon in December 1979.
- Florida Canyon land obtained by condemnation in February 1980.
- Seismic fault running through chosen site discovered in Spring 1980.
- City of San Diego voters chose to convert use of Helix Heights site from cemetery to hospital in June 1980.
  - Helix Heights location previously proposed by City of San Diego in early 1979.

CURRENT STATUS

- Construction project authorized at $293 million
  - First phase funded at $25 million in the FY81 program
  - Funding approval for $202 million in FY82 will be requested
  - Balance to be requested in subsequent year.
- Construction contract for $25 million to be let in late 1981.

SUMMARY

- Congressional language requirement
  - House Appropriations Committee directed construction be on land owned by U.S. Government.
  - Senate Armed Services Committee directed comparative study of Florida Canyon and Helix Heights sites.
- Study near completion
  - local government and interest group comments being incorporated.

ACTION REQUIRED

- SECNAV make final site selection.
- Submit report of comparative study to Senate Armed Services Committee prior to obligating construction funds.
- Action anticipated prior to 20 January.

Cat 1/04

OP-44/24 Nov 1980

FORT ALLEN SUPPORT FACILITY

BACKGROUND

- On 23 September 1980 the Administration's Cuban/Haitian Task Force directed DOD to establish, operate and maintain a reception/holding facility for Cuban/Haitian refugees at the former Naval Communications Station, Fort Allen, Ponce, Puerto Rico.

- The Department of the Army, DOD Executive Agent, tasked CINCLANT to develop the facility for 5,000 inhabitants at Fort Allen; Commander, Antilles Defense Command was designated as local agent.

DISCUSSION

- On 25 September 1980, CINCLANT was directed to erect a tent camp for 2,000 refugees within 15 days, with the capability to increase to 5,000 within 30 days. By 6 October 1980 the camp was ready to receive 3,000 refugees. Up to 1400 military and civilian personnel were involved in the preparation of Fort Allen.

- The Governor of Puerto Rico, a Commonwealth environmental agency and a citizens' group all brought suits in the Federal District Court, San Juan, to bar the Navy from further actions at Fort Allen. The District Court issued an injunction barring further actions to transfer refugees to Fort Allen.

- The Justice Department appealed the decision to the Boston Circuit Court of Appeals which subsequently reversed the decision of the District Court. When the appellate court's reversal was appealed, the U.S. Supreme Court upheld the Appeal's Court's decision.

- There has been much press interest. There have also been demonstrations, bomb threats and the discovery of a bomb which was defuzed.

- Never having received or processed a single refugee, on 18 November 1980 Fort Allen was placed in a caretaker status, capable of reopening within 10 to 14 days, if necessary.

- The camp was scheduled to become civilianized on 21 November 1980. That transition is approximately one week behind schedule.

FUNDING

- The Federal Emergency Management Agency is responsible for funding all activities related to Fort Allen, on a reimbursable basis.

Cat 1/04

OP-04/24 Nov 1980

VIEQUES

BACKGROUND

- Navy has continuing requirement for 3 air-to-ground and 2 naval gunfire support (NGFS) target complexes in Puerto Rico area.

DISCUSSION

- Until 1975, Navy used target complexes on Culebra and Vieques for weapons training.
- In response to increasing political pressure, Navy was directed to cease weapons training on Culebra and its cays by 1975.
- Public Law 93-166 (Nov 1973) provides that suitable replacement range for Culebra be made available for long term Navy use by Commonwealth of Puerto Rico. Joint DOD - Commonwealth of Puerto Rico Commission has failed to identify alternative site.

STATUS

- Navy continues to use 2 air-to-ground target complexes on Vieques, one of which can be used for NGFS.
- Various political groups, including Governor of Puerto Rico, have attempted to obtain injunctions against continued Navy use of Vieques.
  - Navy obtained temporary injunction in September 1979 against fishing activities in vicinity of Vieques when range is in use. Permanent injunction granted 13 Nov 1980.
  - Other suits against use of Vieques still pending. Final Environmental Impact Statement filed 27 October 1980. Undergoing 30 day public review. Record of decision to be prepared December 1980.
- Opposition to Navy use of Vieques continues, satisfactory alternatives have not been identified.

Cat 1/04

OP-94/24 Nov 1980

EXTREMELY LOW FREQUENCY (ELF) COMMUNICATIONS

BACKGROUND

- The extremely low frequency (ELF) communications system was recommended by the Secretary of Defense to the President in January 1978 and December 1978.

DISCUSSION

- ELF is the only currently available technology which can provide essential operational messages for submarines at increased operational speeds and depths. The ELF communications system will enhance the survivability of our strategic submarine forces and thereby improve the credibility of those forces to deter war. In addition, ELF will improve the operational effectiveness of our attack submarines.

- The transmitter portion of the system will consist of a new transmitter, located on K. I. Sawyer Air Force Base, powering a 130 mile antenna located in the Upper Peninsula of Michigan and operated synchronously with an improved, though not expanded, facility already in Wisconsin.

- The 1981 DOD Authorization Act authorized $2.5M in FY81 R&D funds for ELF. It also made available to the Secretary of the Navy FY79 R&D funds (approximately $2.7M) which had been held up by the language of the FY79 and FY80 DOD Authorization Acts, and required the President to provide the Congress by 1 April 1981, plans for deploying an operational ELF system.

CURRENT STATUS

- In November 1980 the CNO reaffirmed to the Secretary of Defense the Navy's requirement for ELF and his belief that the recommendation made to the President two years ago remains the most feasible, cost-effective way to proceed with ELF. CNO also stated some acceleration of the IOC is possible if additional resources are provided in FY81 or FY82.

SUMMARY

- The years of development and testing show that ELF works and that ELF is safe. The Navy's requirement is reaffirmed.

ACTION REQUIRED

- Action will be required by 1 April 1981 to satisfy the requirements of the 1981 DOD Authorization Act.

Cat 1/094A

OP-50/24 Nov 1980

TACTICAL AIRCRAFT FORCE LEVELS

BACKGROUND (U)

- In recent years DON has procured tactical aircraft at a rate well below that needed to maintain approved force levels, 12 Carrier Air Wings and 3 Marine Air Wings. Fiscal constraints have reduced procurement programs for many aircraft to inefficient rates, dramatically increasing unit costs.

DISCUSSION (U)

- Congressional action on the FY 81 budget request resulted in increased authorization for procurement of tactical aircraft. A-6E, EA-6B, F-14 and F/A-18 procurements were increased over the budget request. Additionally, funds were provided for development and long lead procurement for AV-8B.

- DON plans include conversion in lieu of procurement (CILOP) and service life extension program (SLEP) to upgrade capability and ease the procurement shortfall.

PROBLEMS (U)

- The F-14 procurement will not sustain the force beyond FY 87.

- EA-6B and A-6E procurement will not support the required force levels; procurement rates are inefficient with attendant high unit costs.

Category 1/05

UNCLASSIFIED

Prepared by: Babil Arrieta
DASN(EO) Office
26 November 198

FEDERAL EQUAL OPPORTUNITY RECRUITMENT PROGRAM (FEORP)

Background: The Civil Service Reform Act provided nine basic merit principles, governing all personnel practices in the Federal Government. The first merit system principle is that recruitment must occur from all segments of society for positions within the Federal government.

Discussion: Congressman Garcia introduced the requirement that all agencies conduct minority recruitment programs to help eliminate underrepresentation of minorities in the Federal workforce. The Office of Personnel Management and the Equal Employment Opportunity Commission were assigned responsibility for issuing guidance and assistance.

On 19 September 1980, the Office of Personnel Management issued FPM Letter 720-2 requiring Federal agencies to develop and implement a FEORP. Federal agencies under FEORP are required to conduct an underrepresentation analysis for minorities and women by occupation al groups and grade groupings. If underrepresentation is determined to exist, then the agency must establish specific recruitment strategies to increase the applicant pool of the underrepresented group.

The Department of Navy issued SECNAVINST 12720.1 on 4 February 1980 requiring all DON components to implement the requirements under 720-2 and for CNO and CMC to issue necessary guidance and procedures to implement and maintain a DON Equal Opportunity Recruitment Program.

Problems: In general, the requirements mandated by FEORP are not insurmountable; however, the two Federal agencies delegated to offer guidance and assistance have issued guidance that is inconsistent. FEORP guidance issued by OPM deals only with recruitment programs and targeted occupations. Guidance issued by EEOC on hiring goals is based on distinct occupational series. The programs are dependent on each other for success, but will be ineffective if ambibuity continues. The current process will create a credibility gap among managers.

Follow-up guidance from CNO and CMC has not been issued; consequently, implementation of FEORP within DON components has not been widespread.

Action required: DON must continue supporting the establishment of goals by occupational groups. OPNAV must issue FEORP instructions requiring DON components to comply with the requirements and identify the necessary actions.

UNCLASSIFIED

Cat I / DA.'1(CP)

UNCLASSIFIED

Prepared by: Babil Arrieta
DASN(EO) Office
26 November 198

EEO IN THE SES AND MPS OBJECTIVES

Background: The CSRA established the Senior Executive Service and the Merit Pay Ssytem. A primary objective of CSRA is to improve the efficiency and responsiveness of the federal government's managers and supervisors. DON established the requirement that SES and MPS incumbents must have at least one EEO objective as their first performance objective.

Discussion: The management guidance issued by SECNAV to all SES and MPS incumbents stressed that providing equal opportunity for men and women of all backgrounds must be a high priority, that EEO is an inherent responsibility of line managers, and as such, it requires management attention as to how we hire and how we use existing training programs. SES and MPS members must contribute by establishing EEO objectives that address the primary needs of their organizations. SES and MPS incumbents are the necessary ingredient in meeting the affirmative action hiring goals, as they are the officials with the authority to make an employment offer.

DON, in its training program for SES and MPS incumbents, included training concerning the establishment of the EEO objective.

Problem: EEO is a nebulous term to managers and supervisors who in the past have categorized it as a duty handled by the EEO office. DON must continue reinforcing the premise that EEO is an inherent line manager's responsibility and that actions of all managers reflect the EEO posture of the activity.

Action necessary: DON guidance on the manager's/supervisor's responsibility in EEO should be issued before the FY 82 objective setting process.

UNCLASSIFIED

Cal I/DASN(CP)

UNCLASSIFIED

Prepared by: Babil Arrieta
DASN(EO) Office
26 November 198

AFFIRMATIVE ACTION PROGRAM PLANS (AAPP)

Background: The CSRA transferred affirmative action planning to EEOC from the Civil Service Commission. The EEOC issued Management Directive 702 on 11 December, 1979. In implementing the directive, the DON developed centralized ADP support and along with many other agencies began questioning the process imposed for establishing goals.

Discussion: The EEOC established FY 80 as the transition year with regards to AAPP. During the period from May to December 1979, EEOC issued draft guidance which DON reviewed. DON supported the transfer of authority to EEOC, optimistic that guidance would provide agencies with a sensible approach to affirmative action. EEOC stated that their measurement "Bottom Line" would be the representation of women and minorities in the workforce.

The guidance issued by EEOC on 11 December 1979, was divided into two phases with the first phase due from all agencies with 500 or more civilian employees on 1 February 1980, and the second phase due 1 April 1980. The guidance required an extensive analysis of the workforce to determine if underrepresentation existed and a measurement for determining underrepresentation in the civilian labor force. Analysis had to be conducted by distinct occupational series. DON, however, argued that analysis by distinct occupational series was counter productive. Specifically, requiring a comparison to the civilian labor force was unprecedented and unsupported by court decision. Further, EEOC guidance required agencies to use a mathematical formula for establishing hiring goals. This formula created hiring goals that were viewed by agencies as completely unrealistic and unsupportable by managers responsible for meeting the hiring objectives.

DON argued with EEOC that calculation of underrepresentation should be based on the relevant civilian labor force and should be by occupational groups. Further, that the establishment of hiring goals should reflect the availability of the relevant labor force and should be by occupational groups.

Problem: EEOC is currently drafting multi-year AAP guidance for FY 82 which may require agencies to continue the unrealistic approach under Management Directive 702 and may require agencies to establish goals that will create parity for each occupation within 5 years. The transition year has been extended into FY 81. The AAP generated has created a credibility gap among DON supervisors and managers.

Action required: DON must continue the effort to bring reality into the AAPP planning process.

UNCLASSIFIED

Cat 1 / DASN(EO)

UNCLASSIFIED

Prepared by: Babil Arrieta
DASN(EO) Office
26 November 198

DEPARTMENT OF THE NAVY EQUAL OPPORTUNITY

ACCOUNTABILITY SYSTEM (DONEAS)

Background: DON is responsible for assuring that all employees and applicants are afforded equal employment opportunity in all areas of employment. Further, DON and its components are required to conduct extensive analytical surveys by OPM and EEOC.

Discussion: Compliance with EEO requirements by DON requires the utilization of ADP systems. As such, the DASN(EO), in establishing the support staff, includes specialists in this area. The development of a centralized ADP system, for evaluating DON's EEO efforts and its components, and providing the required analytical processes, has been a priority project of the DASN(EO).

The efforts expended in this area have produced a system that responds and meets the DON data requirements for internal evaluation of activities with 200 or more employees. The system can produce the analysis required by OPM and EEOC to meet their reporting requirements.

The DONEAS' capability to run the program from a centralized base provides the DASN(EO) with the necessary data to evaluate the DON in meeting its EEO objective.

Problem: The DONEAS provides all the necessary information required by OPM and EEOC. However, the DONEAS currently provides the analysis by occupational groups rather than by occupational series and the format differs from that requested by OPM and EEOC.

Action required: DON must continue to support the implementation of DONEAS and acceptance by EEOC with data provided by DONEAS.

Cat 1 / DASN (EO)

UNCLASSIFIED

UNCLASSIFIED

CAPT T. Coldwell, USN, OP-007
X76724 20 November 1980

PUBLIC AFFAIRS ORGANIZATION

Purpose

- This paper describes the Department of the Navy public affairs organization and functions and its relationship to the Department of Defense.

Discussion

- The Navy's Chief of Information (CHINFO) is the direct representative of and advisor to the Secretary of the Navy and the Chief of Naval Operations for community relations and internal and external information matters. He meets daily with these officials. Under the supervision of the Under Secretary of the Navy he operates the Office of Information and nine field activities, and he coordinates activities of the Navy Internal Relations Activity (TAB A) and Navy Broadcasting Service (TAB B). He maintains liaison with the Assistant Secretary of Defense (Public Affairs) (ASD(PA)) to ensure policy and program compliance with Department of Defense directives.

- Mission: To inform the public and naval service personnel concerning Navy policies, operations, plans and programs.

- Authority for Public Affairs Program: Vested in the ASD/PA and implemented by SECNAV Instruction 5720.44, Navy Public Affairs Regulations.

- Public Information Functions: Respond to press queries; produce and distribute news and photo feature materials on naval personnel; arrange interviews and Fleet visits for media; release official photography; release contract announcements (in accordance with public law) and other announcements through ASD(PA); and assist commercial film producers.

- Community Relations Functions: Maintain liaison with national civic organizations; arrange Navy participation in public events; sponsor the Navy Band; coordinate official ceremonies; and administer civilian guest cruise programs.

- Internal Information Functions: Produce internal print and broadcast information materials; procure and administer shipboard and shore based radio and television broadcast facilities.

- Planning and Coordination Functions: Formulate public affairs plans and policy; coordinate programs with Department of the Navy staff offices, Fleet and shore based commands, and other uniformed services.

- Both the Navy and Marine Corps are subject to the direction of the Secretary of the Navy on public affairs matters. Additionally, CHINFO coordinates all Navy and Marines Corps matters of mutual interest. No command within the Department of the Navy, except Headquarters, Marine Corps, will deal directly with OASD(PA) on public affairs matters unless authorized to do so by CHINFO.

CAT I/OI

CAPT R. K. LEWIS, JR., USN
OP-0071, 695-5710
24 November 1980

SUBJECT

The Navy Internal Relations Activity

BACKGROUND

The Navy Internal Relations Activity (NIRA) was established in 1972 to centralize the Navy's internal information efforts. NIRA is a shore activity, in an active operating status, under an officer in charge and under the command of the Chief of Naval Operations, exercised through the Chief of Information. NIRA is subject to the area coordination authority of the Commandant, Naval District, Washington, D.C.

DISCUSSION

NIRA's mission is to plan and execute those functions necessary to ensure two-way channels of communication between Navy policy-makers and the five primary internal audiences (active duty personnel, dependents, reserves, retirees and civil service employees). To disseminate authoritative and timely information to all internal audiences concerning plans, policies and actions that are being considered or implemented for the purposes of strengthening national defense, improving Navy life, promoting morale and esprit de corps and assisting in the retention of quality personnel. NIRA operates on an annual budget of $1.9 million (FY80). Of this, $1,066,000 is for military and civilian salaries. Additional funding for film and video tape production is provided by the Navy Photographic Center. NIRA is staffed by 54 personnel, including 15 officers, 23 enlisted personnel and 16 civilians who are distributed among five divisions which perform the following functions:

- ADMINISTRATIVE SERVICES DIVISION, providing overall budget and administrative assistance and to coordinate distribution of NIRA products;

- PRINT MEDIA DIVISION, producing periodicals such as All Hands, Direction, Wifeline, Navy Editor Service, Navy Policy Briefs, Captain's Call Kit and Backgrounder;

- BROADCAST MEDIA DIVISION, producing the CHINFO Newsgram and the Navy Radio News Service;

- FILM AND TELEVISION DIVISION, producing the CNO SITREP series, the Navy Video News Service, and Navy Spotlight and spot announcements;

- PROGRAM, PLANS AND EVALUATIONS DIVISION, conducting periodic evaluations of NIRA products, coordinating the CHINFO Merit Award Contest, participating in internal information seminars across the country and providing assistance for special projects.

LCDR T. C. WYLD, USN
OP-007CB/695-2919
20 November 1980

NAVY BROADCASTING SERVICE (OP-007C)

Special Assistant for American Forces Radio and Television, Department of the Navy.

Mission: Assists the Chief of Naval Operations (CNO) in providing direction and coordinated policy for the management, operation, acquisition and maintenance of American Forces Radio and Television (AFRT) in the Navy; serves as CNO project office for Shipboard Information, Training and Entertainment (SITE) TV; represents the CNO in dealing with U.S. government agencies, commercial activities, and foreign officials in broadcast matters; acts as coordinator for the CNO in dealing with NMPC, CNM, and other Navy commands. The Director acts as Special Deputy for the purpose of evaluating shipboard AFRT TV systems and providing service approval. The Navy Broadcasting Service, an echelon 2 command, operates approximately 40 detachments overseas and a few support elements in CONUS and provides radio and television services to at-sea and overseas-based Navy people and their dependents.

CAT I / OI

UNCLASSIFIED

LtCol W. S. DEFOREST, USMC, (Code PAM)

MARINE CORPS PUBLIC AFFAIRS

BACKGROUND

Marine Corps Public Affairs (Public Information, Internal Information, Community Relations) are coordinated by the Division of Public Affairs, HQMC. Navy/Marine matters are coordinated with CHINFO.

DISCUSSION

With the advent of the RDF/RDJTF and the implementation of the Near Term Ships Prepositioning Program, major news media have focused increasing attention on Marine Corps capabilities, needs, and role in the RDF. Topics of primary interest include: amphibious shipping, the light armored vehicle, maritime prepositioning, the AV-8B and F/A-18 aircraft, and Navy/Marine Corps expeditionary/force projection capabilities; continuing interest in recruiting/retention.

PROBLEMS

-The "Garwood" case; a general court-martial of a Vietnam returnee at Camp Lejeune: PA policy -- inappropriate to comment on the trial until judicial action/review complete.

-Iran hostages - nine Marine security guards held among the 52 remaining: queries referred to State Department.

-The issue of posing nude in magazines: Marine Corps policy calls for administrative discharge for failure to meet standards in most cases.

CURRENT STATUS

-NBC Magazine: plans are being made for segment on Marine Corps role in the RDF/RDJTF.

-ABC's 20/20: is producing a segment on the 1975 evacuation of Saigon.

-U.S. NEWS: is scheduled to print a story in early December about the Marine Corps.

UNCLASSIFIED

LCDR PAUL HANSON, USN
Office of Information (OI-05)
697-8711
24 November 1980

SUBJECT (U)

Clearance of information for release to the public

DISCUSSION (U)

Authority to release information from Navy is delegated to the lowest command echelon having exclusive cognizance over the matter.

- This may be local, type or fleet commander.

- However, all proposed releases having Congressional or diplomatic impact are cleared by the Assistant Secretary of Defense (Public Affairs) (ASD(PA)) through CHINFO.

- All information originated at, or proposed for release at the Seat of Government shall be submitted to ASD(PA). Information of other-than-national-interest can be released by the Service component concerned once ASD(PA) has concurred.

- Speeches touching on national policy must be cleared by Naval Security Review (OP-009D3).

PROBLEMS (U)

None involving the Secretariat.

ACTION REQUIRED (U)

None; provided for background only.

CAT 1

UNCLASSIFIED

CDR J. J. Harnes, USN
OI-21, x74627
24 November 1980

SUBJECT

INTERVIEWS

BACKGROUND

Navy Department routinely honors print and electronic media requests for interviews with uniformed and civilian Department members. The interviews are conducted on an "on background" or "on-the-record" basis.

DISCUSSION

The Office of Information (CHINFO) receives and coordinates several hundred media interview requests each year. Requests are staffed with the appropriate Navy Department office(s) or individual(s) responsible for the requested topic area. Once a request is approved and ground rules established, a CHINFO representative escorts, monitors and provides public affairs assistance during the interview. SECNAV and CNO interviews are monitored by their respective public affairs assistants. Interviews are conducted within the following guidelines:

- On Background--Information may not be quoted or attributed to the Navy official being interviewed.

- On-the-Record--The reporter receives information which may be quoted or attributed to a specific Navy official.

ACTION REQUIRED

Background only; no action required. Requests for interviews can be expected on a continuing basis.

CAT I

UNCLASSIFIED

CAPT J. L. MARRIOTT, OI-09
X76265 20 November 1980

EXTERNAL PUBLIC AFFAIRS CONGRESSIONAL LIMITATIONS

Background

- In 1972 Congress passed, as a part of the Defense Appropriation Act, language which prohibited the Department of Defense (DOD) from spending more than 28 million dollars for public affairs activities. This spending limitation remained at 28 million through 1974.

  From 1975 through 1980 the spending limitation was reduced to 25 million for public affairs.

Discussion

- "Public Affairs Activities" defined by DOD as public information and community relations.

- Public Information: All functions and activities which are performed primarily for the purpose of providing official information about the military departments and defense agencies to the public, public media, government executive agencies, and Congress.

- Community Relations: All functions and activities which are performed for the purpose of contributing to good relations between the military departments and defense agencies and all segments of the civilian population at home and abroad to help foster mutual understanding, respect, and cooperation.

- Public Affairs (PA) limitation applies to all Operation and Maintenance (O&MN) costs which includes civilian salaries and military personnel costs.

- Public affairs personnel are those who deal directly with the public in excess of 50% of their time.

- Overall limitation is for the Department of Defense and each military department is given a limitation during Congressional mark up of budget.

- The Navy Department's public affairs limitation in Fiscal Year 80 was 7.1 million dollars. This money authorization included 4.6 million for the Navy and 2.5 million for the Marine Corps.

- The following activities are specifically excluded from public affairs limitation: aerial teams, military bands, museums, exhibits, and costs of speeches delivered by other public affairs personnel.

Problems

- Continued limitation of 25 million will adversely affect Navy Department public affairs programs.

Current Status

- DOD has justified to the current session of Congress an increase in the public affairs limitation to 28 million dollars.

Action Required

- Background only; no action required.

CAT I

CAPT R. K. LEWIS, JR., USN
OP-0071 695-9184
24 November 1980

SUBJECT

Liaison with the Maritime Constituency

BACKGROUND

(NIRA Lists 60-64)

A special direct mail effort was launched in August 1966 by the Chief of Information to develop contact with reserve and retired Navy people engaged in public affairs-oriented civilian occupations and with military-oriented organizations.

Expanded in 1976 to include retired flag officers regardless of cilivian occupations plus high ranking civilians identified by CNO (OP-OOK). Expanded in 1977 to include recruiting district council chairpersons and college liaison officers. Expanded in 1979 to include selected active duty people and commands.

Names of individuals were originally obtained from naval reserve and Navy recruiting activities and naval air stations. Only individuals expressing a desire annually to receive information are retained on the distribution lists.

DISCUSSION

Materials sent to categorized lists of above described audiences include:

Materials produced by NIRA/CHINFO	Materials produced by other organizations
Navy Policy Briefs	Navy Recruiting Update (CNRC)
Newsgram Summary	CNO and SECNAV Speeches
Backgrounder	Navy Sabbath brochure (NRA)
Direction Magazine	U.S. Lifelines (OP-09D)
Items of Interest	Seapower Facts & Statistics (OP-09D)
CNO Report to Congress	PRO-Navy Cards (CNRC)
CHINFO Fact File	Shareholders Reports (CNRC)
Understanding Soviet Naval Developments	The Foreword to Jane's (Navy League)
Ships, Aircraft and Weapons Systems of the U.S. Navy	You Can Help The Navy Booklet (CNRC)
	U.S. Navy Sea Cadet Booklet (Navy League)

ADDENDUM

A representative from the Navy Internal Relations Activity participates in monthly meetings of the Navy-Marine Corps Council, semi-annual briefings for military organizations by the Navy Recruiting Command, quarterly Wifeline Association meetings and other ancillary groups.

CAT 1

UNCLASSIFIED

LCDR P. H. Saxon, OI-32A, X57113
21 November 1980

SUBJECT

NAVY-MARINE CORPS COUNCIL (N-MCC)

BACKGROUND

The N-MCC was established by SECNAV in 1967 to provide a means by which the Department of the Navy could keep organizations primarily concerned with Navy and/or Marine Corps matters informed about issues, and to provide a forum for those organizations to coordinate common interests and objectives. There are currently 12 member organizations: Fleet Reserve Association; Naval Reserve Association; Naval Enlisted Reserve Association; Marine Corps Reserve Officers Association; National Naval Officers Association; Navy Club of the United States of America; Marine Corps League; Navy League of the United States; Women Marines Association; Navy Mothers' Club of America; Navy Wives Club of America; Navy Wifeline Association.

DISCUSSION

Representatives of member organizations meet monthly with CHINFO, CRUITCOM, and HQMC representatives to exchange information. The Secretary of the Navy annually sponsors a day of briefings (usually in April) to members of Council organizations. Attendance is by invitation, and approximately 100-125 persons attend each year.

PROBLEMS

In January the Chairman of N-MCC will request by letter that SECNAV authorize this annual briefing and be the luncheon speaker. The primary date requested will be Friday, April 10. When approved by SECNAV, CHINFO and HQMC Division of Public Affairs will coordinate agenda and complete all arrangements.

ACTION REQUIRED

Action will be required within 90 days.

CAT 1

UNCLASSIFIED

LCDR S. H. SAXON, OI-32A, X57113
24 November 1980

SUBJECT

Support to Military and Veterans Organizations

BACKGROUND

The Assistant Secretary of Defense for Public Affairs (OASD(PA)) establishes policy for dealing with, and coordinates military support for, all associations and organizations. CHINFO serves as the Navy's primary point of contact for military and veterans groups' national headquarters' staffs. COMNAVCRUITCOM is the point of contact for all youth-oriented organizations.

DISCUSSION

As authorized by OASD(PA) and within public affairs regulations, CHINFO coordinates support to groups such as the American Legion, VFW, The Retired Officers Association, and the Non-Commissioned Officers Association, in addition to organizations of the Navy-Marine Corps Council (see separate briefing sheet). Support includes providing speakers, patriotic music programs, color guards, assistance with visits to naval activities, and general information on Navy programs.

PROBLEMS

Close coordination between CHINFO and COMNAVCRUITCOM is required to ensure that we take advantage of all opportunities for community support, and such cooperation is evident at all levels of both organizations.

ACTION REQUIRED

Background only; no action required.

CAT 1

UNCLASSIFIED

CDR S. C. TAYLOR, USN
CHINFO (OI-23), 695-2078
21 November 1980

SUBJECT

"Navy Pride" program (CHINFO's "Goal One")

BACKGROUND

In support of CNO's retention objectives, CHINFO is mustering public affairs resources to help stimulate/reinforce a sense of pride and team spirit among naval personnel.

DISCUSSION

Stimulating all personnel to work to their full potential and retaining adequate numbers of those who do is a major objective of the CNO and SECNAV. Although individual performance remains high, more than 20,000 mid-level petty officers have left the service without relief. Serious officer shortfalls also exist, particularly in the nuclear, aviation and medical communities.

Recruiting surveys indicate job satisfaction and personal development comprise the top six "life goals" of American youth. Navy recruiting advertising, however, is keyed to the theme, "Navy: It's not just a job. It's an adventure." Retention studies indicate most people who leave the Navy do so because of inadequate compensation and excessive family separation.

Positive recognition of individuals and their outfits has a direct impact on initiative, effectiveness and retention. Although many means to provide same exist, studies indicate significant opportunities for greater cooperation, interaction and synergism.

PROBLEMS

Congressionally-imposed constraints on external public affairs activities and normal internal competition for billets and OPN funds present some limitations on "in-house" production but some resource realignments are feasible and may be recommended.

CURRENT STATUS

An ad-hoc "Washington Working Group" is developing a "Navy Pride" POA&M for approval in Nov.-Dec., refinement in Jan. by Field Activity Directors and implementation as soon as possible thereafter.

SUMMARY

Public affairs resources to stimulate personnel effectiveness and retention exist and are being marshalled to be applied most effectively, in concert with operational remedies (i.e., increased pay, adjusted operating schedules). These efforts are expected to reach fruition in late spring, 1981.

CAT 1

UNCLASSIFIED

CAPT R. K. LEWIS, JR., USN
OP-0071, 695-5710
24 November 1980

SUBJECT

Mr. Burnett Anderson, consultant to the Secretary of the Navy

BACKGROUND

At the request of Secretary of the Navy Hidalgo, Mr. Burnett Anderson, a private consultant and retired Career Minister of Information in the foreign service, is conducting a study on the Navy's public affairs program. Mr. Anderson's extensive public affairs experience in government service and in the private sector includes:

- Counselor for Public Affairs for the U.S. embassies in London (1977-79), Paris (1969-77), and Madrid (1967-69)
- Deputy Director of USIA for Policy and Plans (1965-67)
- Counselor for Public Affairs for the U.S. Embassy in Iran (1957-60)
- Deputy Director of Press and Publications Service, USIA (1955-57)
- Director of Press Relations for the U.S. Information Agency (1954)
- Press Officer for the Marshall Plan agencies in Germany (1952-54)
- Press Secretary to Governors Stassen and Thye of Minnesota (1941-44)
- News reporter and political writer for the Minneapolis Star and Tribune, Look magazine, and ABC Radio
- Writer for a variety of high-level public officials, ambassadors, and the late Edward R. Murrow

DISCUSSION

On 21 July 1980, Mr. Anderson reported to the Office of the Secretary of the Navy to begin his assigned research on Navy public affairs. Over the past four months, Mr. Anderson has met with some of the Defense Department's top management, including: CNO; Commandant of the Marine Corps; Assistant Secretary of Defense (Public Affairs); VCNO; DCNOs; Assistant Secretaries of the Navy; General Counsel and Deputy General Counsel; Chief of Information; information chiefs of the Army, Air Force, Marine Corps, and Coast Guard; and numerous Navy public affairs officers both in Washington and at major outlying commands (CINCLANTFLT, CINCPACFLT, Allied Forces Southern Europe, U.S. Naval Academy, Navy information offices in CONUS, etc.).

Mr. Anderson has focused on both the Navy's internal information program and the external facets of public affairs such as press relations, community relations, plans and policy, and recruiting. Presently, Mr. Anderson is preparing a final research report.

UNCLASSIFIED

CAT 1

CIVIL SERVICE REFORM ACT OF 1978

Background. The intent of the CSRA was to improve the efficiency and responsiveness of the federal government by changing many of the rules and systems which govern the way its personnel are managed. In implementing Reform, the Department of the Navy has developed new approaches to the management process, particularly in the areas of performance appraisal and compensation.

Discussion. The Act affected the federal systems for selecting, developing, assessing and compensating civil servants. The Civil Service Commission (CSC) was disestablished and the Office of Personnel Management (OPM) was created to develop and administer personnel policies and regulations. The CSC's equal employment opportunity responsibilities were transferred to the Equal Employment Opportunity Commission. The most significant provisions of the law were establishment of the Senior Executive Service (SES) and the Merit Pay System (MPS), the requirement to develop a new Performance Appraisal System for all employees not covered by SES or MPS, delegation of numerous personnel authorities from OPM to agencies, establishment of a probationary period for newly appointed managers and supervisors, changes in labor and employee relations procedures and a requirement to develop a recruiting plan to help eliminate underrepresentation of minorities and women in all areas of the work force. (The SES and MPS are addressed in separate papers.) The Navy's General Performance Appraisal System, which sets specific standards for job performance, has been approved by OPM and will go into operation on 1 October 1981. Training in the new system has begun with Navy-wide training scheduled for completion by April 1981.

The Labor and employee relations aspects of Reform are ongoing with the overall impact of the new requirements yet to be fully determined. The Federal labor relations program is now based in law and more closely resembles labor relations in the private sector. It is not too early, however, to recognize that the creation of the Federal Labor Relations Authority (FLRA), the Merit Systems Protection Board (MSPB) and the extension of Equal Employment Opportunity Commission (EEOC) to the public sector is causing a major increase in third party workload and a relearning of the way we do business in this area as these new independent agencies define their role in the personnel system.

Authorized by the Act, the Department of the Navy submitted the first Demonstration Project in the federal government to be approved by OPM. The Project adopts private sector personnel management methods vastly different from those in use in the federal service to two West Coast Navy activities, Naval Ocean Systems Center, San Diego, and Naval Weapons Center, China Lake.

The Department has taken an agressive interpretation of the law, aiming for improved managerial performance.

Problems: In general, the complex changes mandated by Reform have been incorporated smoothly and effectively by Navy management. This is due primarily to the high degree of management involvement in implementing Reform. There are, however, some areas of concern.

In the performance appraisal area, a great deal of union interest is evident in the establishment of standards on which individual performance will be based. If agreement is slow in being reached, it is possible that significant delays in implementation of the system will result.

Cat I/DASN(CP)

In the labor and employee relations area, the advent of FLRA and MSPB on the scene have impacted significantly. Our backlog of cases awaiting third party adjudication has tripled since passage of the reform act. There is no relief in sight and the workload, as well as expense in this area, is a very real problem. Similarly, the entry of EEOC into Navy's discrimination complaint process has lengthened an already complex procedure to an average of two years between filing and resolution. Since EEOC is making changes in affirmative action and the discrimination complaint programs, Navy is in the process of restructuring major aspects of its EEO program.

Action required: Background only; no action required.

IMPLEMENTATION OF SENIOR EXECUTIVE SERVICE (SES)

Background. The Senior Executive Service, a new personnel system covering managerial and supervisory positions above the GS-15 level of the General Schedule and below Level III of the Executive Schedule, was established on 13 July 1979 as a result of the passage of the Civil Service Reform Act. Ninety-eight percent (98%) of the Department of the Navy's (DON) eligible executives joined the new service at that time.

Discussion. The SES Management System, which covers the performance appraisal, award and pay processes for SES members, was developed and approved in September 1979. The heart of the SES system is the objective-based performance appraisal system which requires executives and their first and second level supervisors to develop a series of objectives based on their jobs. Accomplishment of their objectives forms the basis for the executive's appraisal which serves as the input in determining bonus eligibility. Approximately 700 persons, including all SES members and most of the Flag and General Officers in the Navy and Marine Corps attended training on the system. The SES system is overseen by the DON Civilian Executive Resources Board, a group of senior military and civilian officials.

The first performance appraisal cycle for SES ended in June 1980. Appraisals were reviewed and rank ordered by one of eight Performance Review Boards. The PRB recommendations were further reviewed and integrated by the Naval Executive Board which made final recommendations to SECNAV for bonus awards. SECNAV approved bonuses ranging from 7% to 20% of their salaries for 70 deserving career SES members. The bonuses were computed according to an Office of Personnel Management formula. In addition, in September 1979, the first Presidential Ranks were awarded -- three Navy executives received Distinguished Rank and 14, Meritorious Rank, with accompanying awards of $20,000 and $10,000 respectively. The biennial review of all executive level positions throughout the Department is currently underway with a final report to OSD in early December. An evaluation of the SES system to include the objective setting and appraisal process and merit staffing process will also be initiated shortly.

Problems. Staffing of SES positions continues to be a problem. This is due to additional SES spaces received at the advent of SES, unusually high turnover rates and centralized control of certain processing aspects. Success of the system also will require continued top management commitment. This can be evidenced by timely issuance of SECNAV's Annual Management Guidance, up front monitoring of objectives to ensure quality and close control of bonus dollars. This year, Congress reduced the maximum that could be given out to much below the legal maximum and the Office of Personnel Management reduced it more, causing morale problems in the SES. There is a risk that the system will become one of all sticks and no carrots if this trend continues.

Cat 1/DASN(CP)

DUSN/25 Nov 1980

DON MERIT PAY SYSTEM

Background. The Civil Service Reform Act (CSRA) requires Federal agencies to develop a Merit Pay System (MPS) in support of effective utilization of senior managers. The MPS is a management, appraisal and compensation system which covers all Department of the Navy (DON) GS-13 through GS-15 civilians whose work is of a supervisory or managerial nature (approximately 17,500 in DON).

Discussion. The Department of the Navy MPS extends the management system criteria for the Department's Senior Executive Service through the entire civilian top management structure. It utilizes an objectives-based performance appraisal system very similar to that used in SES. An individual's merit or incentive pay is based on accomplishment of objectives which were agreed upon by the MPS member and his or her first and second level supervisors.

The primary objective of the DON MPS is to assist DON managers in planning and evaluating the work performed by their organizations. Secondary objectives are improving the performance appraisal system for high grade civilians and basing their levels of compensation on how well they perform the critical tasks of their positions. The Secretary of the Navy issues annual merit pay guidance, allocates merit pay to merit pay units and prescribes a point-based formula for calculating individual merit pay awards.

To emphasize the concept of "pay for performance" and to give managers the ability to distribute merit pay to their better performers, the actual pay-out process for the MPS system is decentralized to 441 merit pay units. Actual pay decisions are made by key managers familiar with the performance of the merit pay members in their work unit. Implementation of the DON MPS is well underway. Over 18,000 MPS members and their supervisors have received training in the objective setting, performance appraisal and compensation facets of the system. Training for the managers of each of DON's 441 Merit Pay Units (MPU's) is planned for Spring 1981. This training will focus on general MPU management issues and how the MPS compensation program works. Additional guidance to the DON personnel office staff will be provided at the same time to update certain regulatory aspects of the system. Work is also underway to update current DOD ADP systems to provide the data necessary for compensation processing and evaluation. An interim evaluation of MPS implementation will be complete by March 1981. The first MPS compensation adjustments will become effective in October 1981 based on the performance appraisal period from 1 July 1980 to 30 June 1981.

Problems. We have some 413 cases from seven activities pending before the Federal Labor Relations Authority. These cases revolve around challenges to merit pay coverage in general and designations as management officials. DON has designated 94% of our GS-13's through 15's as merit pay members. As union coverage is at issue, the FLRA will be required to provide guidance. It is possible that in the near future, people who had been included in the Merit Pay System will be removed from it and revert to their GS designation. Hostility of MPS members to the new system and reluctance of members and their supervisors to accept MPS as a management tool are significant obstacle to successful implementation of MPS. Employee reaction to the first appraisals in July 1981 and to the first merit pay adjustment in October 1981 will be good indicators as to how well we've "sold" this new approach to appraisal and pay.

cat 1/DASN(CP)

OLA/24 Nov 1980

RELATIONSHIP WITH KEY MEMBERS/CONGRESSIONAL COMMITTEES

BACKGROUND

- The Committees of Congress and the key members of those committees and of the party leadership in both houses impact on every aspect of the Navy Department. Most interfaces are based on meetings, discussions, briefings that turn on credibility, patience, persistence and understanding.

- The handling of these relationships is an art and must be directed with skill. Although the Office of Legislative Affairs is tasked with the day-to-day management of this series of relationships, the Secretary of the Navy sets the basic tone and personally maintains special relationships with those members of greatest significance to him.

DISCUSSION

- The basic liaison function of OLA, providing assistance to all members in their inquiries, establishes a professional relationship between the Navy and Marine liaison officers and the members and their staffs. The Committee liaison work based on daily support of those committees with naval interests results in a special professional relationship between the action officers of OLA and the professional staffs and some members of these committees. Trust and a willingness to consider Navy positions comes from credibility based on honest, sincere responsiveness and consistency of policies and positions.

- Such relationships will make it possible for SECNAV to exert great influence on the way the Congress deals with Navy Department legislation. The critical nature of these relationships makes it most important that SECNAV quickly assure himself that the basic structure is as he wants it and that he start as early as possible in developing his personal relationships.

ACTION REQUIRED

- OLA will arrange suggested calls on key members and staff shortly after January 20. The importance of effecting these introductions as early as possible cannot be overemphasized. A reception in each House will be arranged at an early opportunity.

CAT 1

OLA/24 Nov 1980

RELATIONSHIP WITH HOUSE AND SENATE APPROPRIATIONS COMMITTEES

BACKGROUND

- A long standing relationship exists between the individual service comptrollers and the members of both the House and Senate Appropriations Committees (HAC/SAC) Defense Subcommittees. Within the Navy Department the Office of Director of Budgets and Reports (NCB) functions as the single point of contact between both the Navy and Marine Corps and members of the Appropriations Committees. This relationship has been formalized in appropriations report language.

DISCUSSION

- Each February or March the SECNAV testifies before the House and Senate Defense Appropriations Subcommittees' Posture Hearings as primary witness for the Department of the Navy. The CNO and Commandant of the Marine Corps accompany SECNAV and are also invited to testify. The Comptroller is present during all hearings held relative to Navy or Marine Corps Appropriations.

- During the past several years the House, with a larger staff, has tended to reduce or take issue with more Department of the Navy programs than the Senate. While committee assignments for the 97th Congress have not been finalized, we can reasonably expect the SAC to be generally supportive of Navy and Marine Corps programs. The anticipated level of support from the HAC is hard to predict, but will probably continue to be less than the SAC.

- The SECNAV participates in the appeals process on vital Navy and Marine Corps programs on various occasions during the budget cycle. The formal appeal to the Senate on the actions taken by the House on each year's budget request is the most significant action of this type. However, when requested, this participation also includes visits and telephone conversations with members of both houses.

- In addition to the personal participation of the SECNAV, various other Navy officials are involved upon request in briefings and informal meetings with both Appropriations Committee Members and committee staffs. This contact, as well as various trips to Navy facilities and installations by members and staffs of the Appropriations Committees, is coordinated by the Director of Budget and Reports.

CAT 1

OLA/24 Nov 1980

OSD-SECNAV LEGISLATIVE AFFAIRS RELATIONSHIP

BACKGROUND

- In 1977, the Office of the Assistant Secretary of Defense (Legislative Affairs) was changed to its present status as an "Assistant to the Secretary (Legislative Affairs)." The OSD Legislative Affairs function now emphasizes coordination of the department-wide legislative liaison function.

DISCUSSION

- With this shift in the OSD Legislative Affairs function, direct SECNAV involvement with the OSD legislative assistant has involved:

  - Guidance from SECDEF on treatment of major OSD legislative issues impacting on Navy.

  - Coordination of potential policy conflicts with Navy positions or testimony of Navy witnesses on the Hill.

  - Direct liaison when SECDEF takes the lead in Hill testimony or discussion on Navy issues.

  - Congressional notification of politically sensitive base closures, reductions in work forces (RIFs), shifts of major Navy ships or facilities from one Congressional District to another.

  - Coordination of all DOD sponsored congressional travel.

CURRENT STATUS

- The Navy Chief of Legislative Affairs and his deputy maintain the routine contact with OSD(LA) and regularly attend a monthly luncheon which is hosted alternately by OSD and the Service Chiefs of Legislative Affairs. The format of these luncheons is informal and discussions have centered on joint concerns resulting in many cases in the setting of common policies on actions to be followed. Pressure on the reins has been light but intelligently applied.

CAT 1

OP-906/24 Nov 1980

KEY DOD DOCUMENTS PROVIDED TO CONGRESSIONAL COMMITTEES

- Purpose: to list briefly some of the principal documents that Congress uses in its review of DOD (including Navy) programs.

FORMAL DOCUMENTS

- Presidential Budget: Includes DOD programs; initial DOD budget submission in January often is changed subsequently through DOD initiated requests for "Amendments" and "Supplementals."

- Posture Statements: Made in January-March time frame to individual congressional committees by Secretary of Defense, Service Secretaries, Service Chiefs and Chairman, JCS. They provide a status report on their respective organizations and highlight major budget programs.

- Questions-For-The-Record (QFR) and Questions and Answers (Q&A): Transmitted between DOD/Navy and Congressional committee staffs; they amplify, in writing, the oral testimony provided by DOD officials at committee hearings.

- DOD Appeals: DOD-initiated reclamas to decisions made by the Congressional Authorizations and Appropriations committees.

- Selected Acquisition Reports (SARS): Periodic status reports provided by DoD to Congress on selected major acquisition programs.

- General Accounting Office (GAO) Reports: The reports (and DOD comments on the reports) are used by congressional staffs to analyze DOD programs and policies.

DISCUSSION

- These documents, reports, and so forth represent only a small sample of the thousands of recurring and one-time reports submitted by DOD to Congress annually. Many are in response to short-notice oral requests for information and briefings. Considerable administrative effort is directed toward ensuring responses are properly coordinated within Navy/USMC/DOD and submitted on time. The size of the Congressional staff has grown and the administrative burden of responding to inquiries has expanded steadily. The level of detail involved in the process has also intensified.

POSSIBLE ACTION

- The new Administrtion might do well to join early with the 97th Congress in an effort to reestablish levels of trust and reduce markedly the exchange of detailed documentation on DOD programs, concentrating instead on policies, broad budgetary guidance and major issues.

CaX 1/90

OLA/24 Nov 1980

CONGRESSIONAL HEARINGS SCHEDULE

BACKGROUND

- Congressional Hearings schedule in flux.
  - Affected by the reorganization of the new Congress itself and awaiting new Presidential appointees.

DISCUSSION

- No schedule presently proposed for the 97th Congressional Hearings.
  - Best forecast, a review of the Congressional schedule of hearings for the 1977 Ford-Carter Transition.
- Trends of 1977 Transition hearings as follows:
  - Confirmation in January of SECDEF, Deputy SECDEF and other key OSD players. SECNAV and other Navy confirmation hearings expected in February-March.
  - Initial FY 1982 Defense Authorization Hearings (SECDEF) expected in late January for an essentially Carter Administration Budget proposal.
  - In February SECDEF comes to Congress with recommended revisions to the FY 1982 Defense Budget. Uniformed service chiefs go before Congress with annual posture statements.
  - New civilian service secretaries follow in early-mid March, preferring to take more time to study the budget prior to their initial Congressional Posture Statement.
- Schedule of 1977 Transition and Budget hearing attached.

ACTION REQUIRED

- Navy Office of Legislative Affairs (OLA) will provide hearing schedule when available.

CAT 1

CONGRESSIONAL HEARINGS

1977 Ford-Carter Transition

I. Nominations (Carter appointees)

Office	Date Nominated by President (Elect)	SASC Hearing Date	Senate Confirmation Date	Sworn In Office Date
SECDEF (Brown)	18 Dec 1976	11 Jan 1977	20 Jan 1977	21 Jan 1977
SECNAV (Claytor)	19 Jan 1977	8 Feb 1977	11 Feb 1977	14 Feb 1977
UNDER SECNAV (Woolsey)	21 Feb 1977	2 Mar 1977	4 Mar 1977	9 Mar 1977

II. Budget Hearings (FY 1978)

	Date FY 78 Defense Budget Presented (Ford Budget)	Date FY 78 Defense Budget Revision Presented (Carter)
SECDEF	25 Jan 1977 (Accompanied by CJCS)	24 Feb 1977
CNO (Holloway)	3 Feb 1977 (Maritime Posture)	
CMC (Wilson)	3 Feb 1977 (Maritime Posture)	
SECNAV (Claytor)	11 Mar 1977 (Maritime Posture, accompanied by CNO)	
SECNAV (Claytor)	17 Mar 1977 (Naval Shipbuilding, accompanied by CNM)	

Enclosure

CATEGORY II DOCUMENTS

SEGREGATED AND RELEASABLE IN

THE ATTACHED FORMAT

ATTACHMENT (2)

CONFIDENTIAL

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MARINE CORPS RESERVE

Background

° Mission. To maintain a Reserve component of trained units and qualified individuals for active duty in time of war or national emergency.

° Organization

- Selected Marine Corps Reserve (SMCR). 35,451
- Pretrained Individual Manpower (PIM): Individual Mobilization Augmentees (IMA) 101; Individual Ready Reserve (IRR) 56,862; Standby 2,047; Fleet Marine Corps Reserve (FMCR) 14,946.
- Total 109K; SMCR 32%; IRR 52%; Standby 2%; FMCR 14%

° Employment

- Provide trained units to bring active forces to wartime structured strength and increase combat, combat support capability.
- Provide qualified individuals to augment active and Reserve units and expand supporting base.
- Provide air/ground teams (Marine Amphibious Brigade (MAB) to Division/Wing Team (DWT)) to expand active force.

Discussion

° SMCR. (4th Marine Division, 4th Marine Aircraft Wing and 4th Force Service Support Group)

- Strength: Division 16,689; Wing 8,968; FSSG 5,274; Initial Training 4,520; and Active Duty Support 4,184.
  - -- Upward trend since FY-76: 29,306 FY-76; 35,451 FY-80; 36,653 projected FY-81.
  - -- Retention up. Attrition down. First term reenlistment up from 16% in FY-77 to 52% in FY-80. Initial attrition down from 20% in FY-77 to 12% in FY-80.
  - -- Quality high - 76% high school graduates
- Organization. Division, Wing and FSSG (See Tab 1-3).
- Readiness

[CONFIDENTIAL DATA DELETED]

- Exercises. FY-80. 19 Combined Arms Exercises from Norway to Panama.

° Pretrained Individual Reservist (PIR)

- IRR
  - -- 56,862 personnel (3,873 officers, 52,989 enlisted).
  - -- Viable population. Over 50% off active duty less than one year. 51% officers captain or below. 86% enlisted lance corporal to sergeant.
  - -- Reserve Counterpart Training. FY-80 650 officers; FY-81 1,300 officers and 175 enlisted planned.

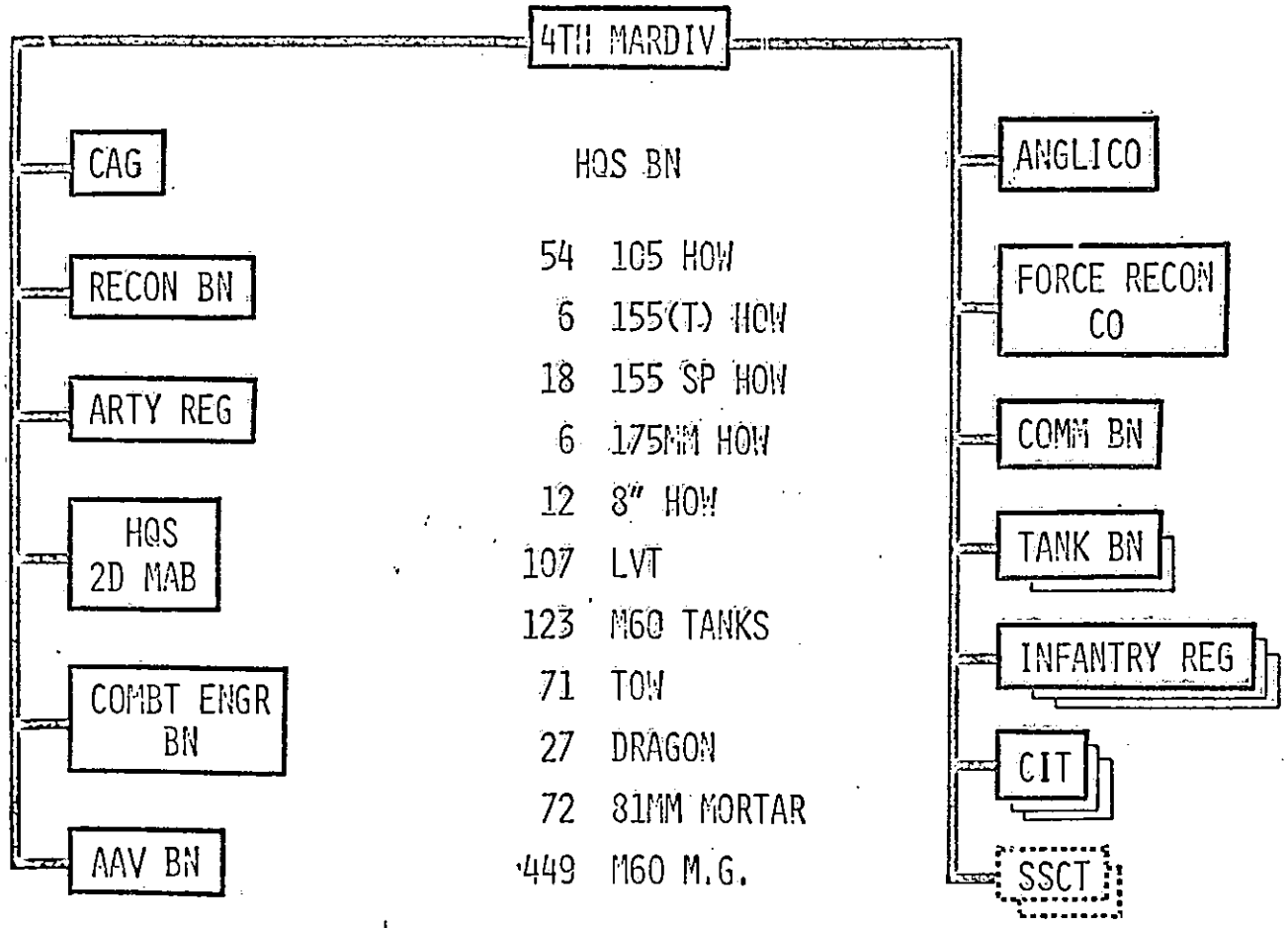
CONFIDENTIAL GATEGUARD

-- Mobilization Training Units. 150 units; 1,354 officers/enlisted.
-- Mobilization Designees. 619 personnel preassigned to mobilization billets.

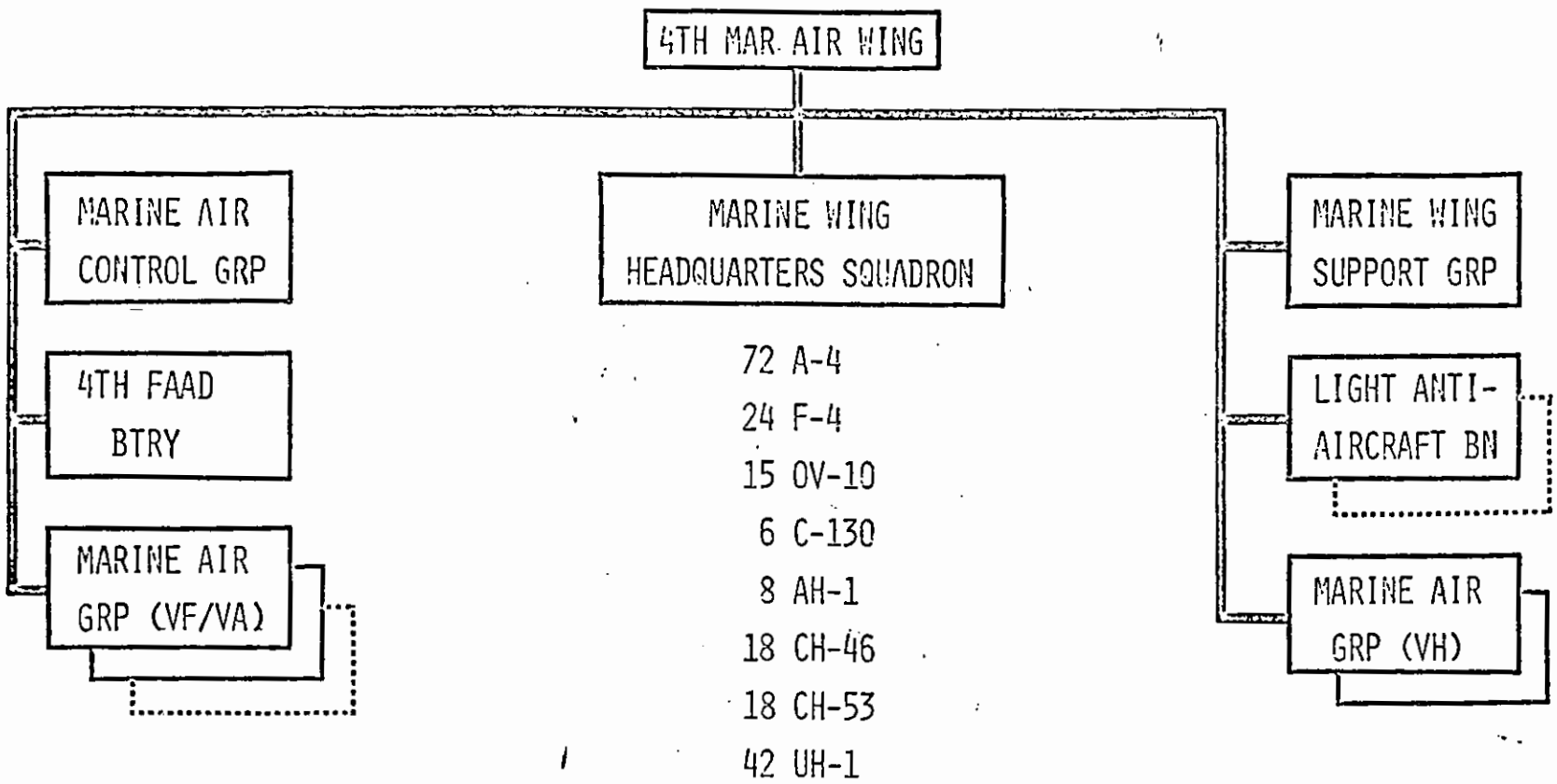
- IMA. 101 individual SMCR personnel preassigned to man priority mobilization billets.

[CONFIDENTIAL DATA DELETED]

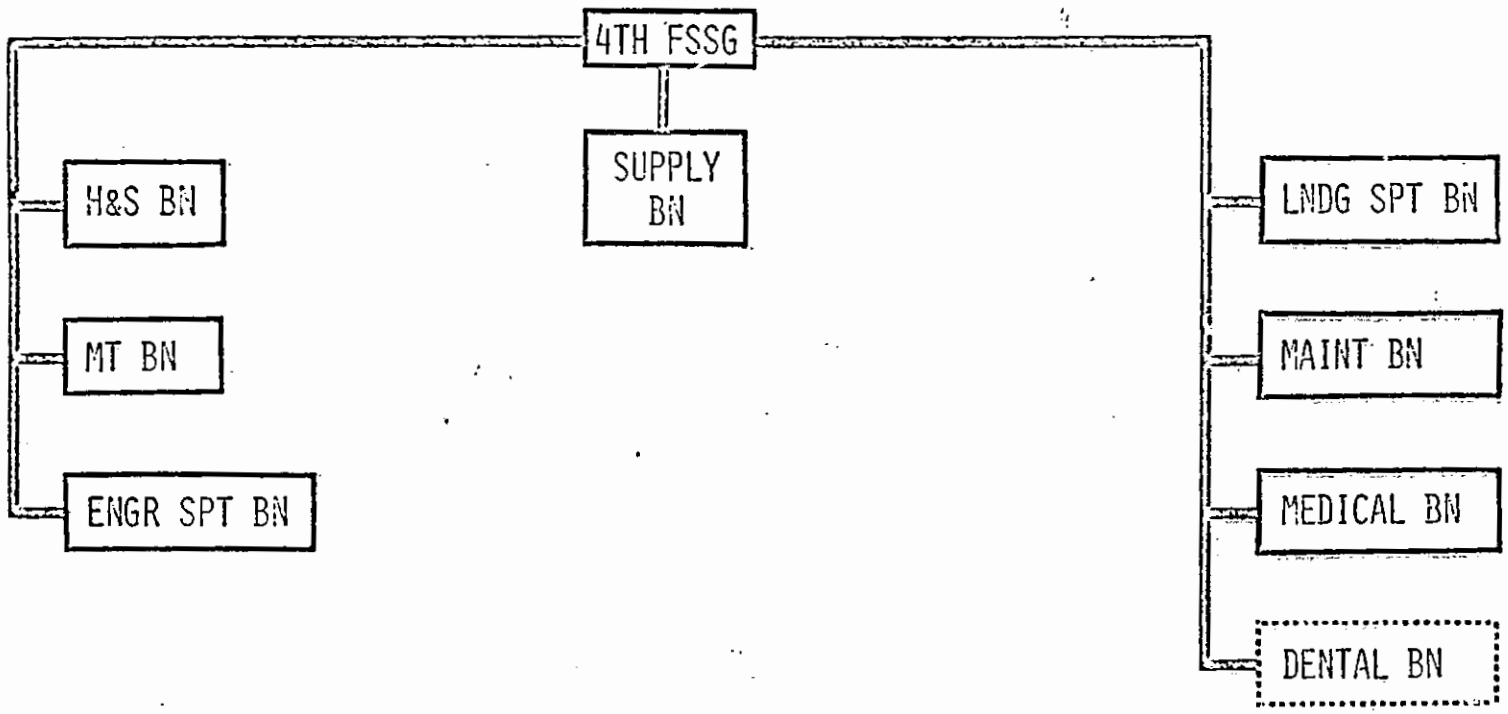
4TH MARDIV STRUCTURE



4th MAW STRUCTURE



4TH FSSG STRUCTURE



OP-60/24 Nov 1980

NAVY DEPLOYMENT LEVELS

BACKGROUND

- The U.S. Navy maintains approximately 30 percent of the force forward-deployed in the Western Pacific, Indian Ocean/Arabian Sea, and Mediterranean.

DISCUSSION (U)

- Long-standing national commitments (prior to 1979) are met primarily by the deployed U.S. SIXTH and SEVENTH Fleets. The SIXTH Fleet operating in the Mediterranean/Atlantic represents the bulk of sea power available to support NATO at the outbreak of hostilities. The SEVENTH Fleet normally operates in the Western Pacific available to support U.S. commitments to allies such as Japan and Republic of Korea. SEVENTH Fleet geographic area of responsibility also includes the Indian Ocean. Forces to support present I.O. deployments are drawn from both 7th/6th fleets.

- Forces now operating in the Indian Ocean consist of the Middle East Force, two Carrier Battle Groups, one Amphibious Ready Group (deployments to maintain "ground force" presence 70 percent of the time) and appropriate support ships.

PROBLEMS (U)

- Expanded and continuing operations in the I.O. cause the following problems:
  - reduces the capability of the SIXTH and SEVENTH Fleets to respond to contingency operations.
  - complicates maintaining high material readiness due long logistic tail.
  - adverse long term effect on morale/retention due to high OPTEMPO, with few (or no) port visits.

[CONFIDENTIAL TAB DELETED]

CATEGORY II
EXEMPTION 1

Category 2, Exemption 1/
06

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MARINE CORPS
MAJOR R&D PROGRAMS/IOC (U)

DISCUSSION (U)

Following are the major Marine Corps R&D programs funded by RDT&E Navy in FY 1982 along with planned Initial Operational Capability (IOC) dates:

Programs	Plannned IOC
- Marine Integrated Fire and Air Support System (MIFASS)	
- Tactical Air Operation Center (TAOC-85)	
- Tactical Combat Operation Center (TCO)	
- Position Location Reporting System (PLRS)	
- TRITAC	
- Modular Universal Laser Equipment (MULE)	
- Landing Vehicle Track Experimental (LVTX)	
- Mobile Protected Weapons System (MPWS)	
- Light Armored Vehicle (LAV)	
- Radar Course Direction Central (RCDC)	
- 5/4T Truck	

ACTION REQUIRED (U)

Action will be required; longer term

CATEGORY II
EXEMPTION 1
Cat 2 Ex 1

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OP-21/5 Dec 1980

SSBN FORCE LEVELS (U)

BACKGROUND (U)

- Ballistic missile submarine (SSBN) force levels have declined from a high of 41 (44 are allowed under SALT-I; 710 launch tubes being a co-restraint) and will bottom out at 31-32 in FY-81 depending on TRIDENT delivery dates. This decline is the result of the planned deactivation or conversion of POLARIS submarines prior to the delivery of TRIDENT submarines.

DISCUSSION (U)

- The current SSBN force consists of 31 POSEIDON SUBMARINES, 12 of which have or will be converted to carry the Trident I (C4) missile, and five POLARIS submarines. These five POLARIS will join three others which have been converted for attack submarine roles. Two of the older POLARIS submarines are being deactivated to comply with SALT I agreements as compensation for the introduction of TRIDENT.

- Congress has authorized construction of nine TRIDENT submarines through FY81, seven of which are under contract to Electric Boat Co. [CLASSIFIED SENTENCE (SECRET) DELETED]

- POSEIDON submarines are expected to retire upon completion of a 30 year life, (between 1993 and 1997), unless a future SALT agreement requires that they be deactivated earlier.

- Despite the near-term decline in SSBN force levels, changes in the mix and number of launchers and warheads per deployed submarine prevents a decline in force capability.

[CLASSIFIED TAB (SECRET) DELETED]

CATEGORY II

Category 2, Exemption 1 OP-21

EXEMPTION 1

OP-50/24 Nov 1980

HEAVY LIFT HELICOPTERS/CH-53E LINE BREAK

BACKGROUND (U)

- Current CH-53E procurement programming (49 aircraft as ofFY81) involves a two-year production break in FY82 and FY83, creating additional costs for the balance of the program in FY's 84-86. To date, effort to avoid the production line break have failed.

DISCUSSION (U)

- Funding constraints have precluded a continuous production line although the issue remains a high priority. [CONFIDENTIAL SENTENCE DELETED]

- Marine Corps requirements are under review. With the advent of the Light Armored Vehicle (LAV) and the Multipurpose Weapons System (MPWSP), the requirement for CH-53E's for the Marine Corps will likely increase beyond the present [ ] aircraft programmed.

PROBLEMS (U)

- Proposed procurement of aircraft in both FY82 and FY83 is under OSD review.
  - Long lead procurement money needed now; $8M in FY81 and $22M in FY82. [CONFIDENTIAL DATA DELETED]

SUMMARY (U)

- Congress has expressed its intent for FY82 production by authorizing $2 million for long lead provisioning in FY81 to assume the contractor's liability from 1 October 1980 to 1 January 1981.

ACTION REQUIRED (U)

- Action on FY-82 budget request will be required withing 90 days.

Cat 2, Exemption 1
[illegible]

OP-44/24 NOV 81

DIEGO GARCIA CONSTRUCTION

BACKGROUND (U)

- Since FY71, U.S. has been developing minimal logistic support and communication facilities on Diego Garcia.

- When programs authorized by Congress through FY78 are completed in 1982, facilities will include:

  - communications station
  - 12,000 foot runway
  - carrier battle group anchorage for 6 ships
  - fuel and supply pier with 700,000 barrel fuel storage
  - ammunition storage
  - aircraft hangar and parking apron
  - warehousing
  - personnel support facilities for 800 permanent people

DISCUSSION (U)

- Increased tempo of operations and permanent presence of battle group in Indian Ocean has led to new requirements for support at Diego Garcia. Permanent population is now expected to grow to 2150 over next 2-3 year. [SECRET SENTENCE DELETED]

CURRENT STATUS (U)

- $8.6 million to erect temporary berthing/messing for current OPTEMPO personnel funded in FY80 under SECDEF contingency authority.

- Operational and personnel support facilities costed at $142 million. FY80 Supplemental MILCON Bill contains $7.5 million and FY81 MILCON Bill funds $95.2 million of requirement. Shortfall: $39 million. [SECRET SENTENCE DELETED]

- Estimates of maximum capabilities of Diego Garcia and costs to develop forwarded to DEPSECDEF June 1980. No decision has been made as to possible additional missions. No funds programmed or requested.

Category 2, Exemption 1/
04

CATEGORY II
EXEMPTION 1

OP-32/24 Nov 1980

BLOCK OBSOLESCENCE OF COMBATANT SHIPS

BACKGROUND

- Blocks of cruisers/destroyers, amphibious ships, and attack submarines will reach the end of their expected service lives in the next 15-20 years or so and, in the absence of approved replacement programs, Navy force levels will decline precipitously.

DISCUSSION

- Guided-Missile Cruisers/Destroyers - Force levels fall below the 80 minimum requirement if ships are retired at ESL. By 2000 there will be a requirement to procure replacements. [CLASSIFIED (SECRET SENTENCE DELETED]
  - -- Two CG-47s have been funded with the remainder (minimum of 21 total) programmed for funding in FY 81-87.
  - -- Planned DDGX class building program (approximately 49 ships) will commence. This does not overcome planned retirement rate, and one can anticipate selective extension of some CG/DDG's. [CLASSIFIED (SECRET) SENTENCE DELETED]
- Amphibious Ships - Force levels fall below the minimum required amphibious lift in the 1990's. Planned LSD-41 and LHDX class building programs are inadequate to maintain the minimum amphibious lift. Increased procurement and/or selective extension will be required. [CLASSIFIED (SECRET) SENTENCE DELETED]
- Attack Submarine - Force levels fall below 90 if SSNs retire at ESL. Current SSN class building programs are inadequate to maintain the 90 force level. [CLASSIFIED INFO (SECRET) DELETED]

ACTION REQUIRED

- Continual review of ship building plans and retirement. Increased funding for ship construction - about $2.5B annually (FY81 $'s).

Category II

CATEGORY II

OP-50/24 Nov 1980

HXM

BACKGROUND (U)

- HXM is the nomenclature for new medium-sized helicopter to replace CH-46E, CH-53A/D, and [illegible]3 for amphibious assault, vertical replenishment and ca[illegible] [illegible] [illegible]roup ASW in the mid-1990's.

DISCUSSION (U)

- Current Navy/Marine Corps medium helicopter inventory deficiencies threaten long-term ability to continue to perform missions. There may be serious performance and survivability deficiencies in view of the mission to be performed and the threat to helicopters projected for the latter part of this century. [CONFIDENTIAL SENTENCE DELETED]

PROBLEMS (U)

- POM-82 provides for an HXM development program with a 1996 IOC. A 1990/91 IOC is preferred in order to minimize inventory shortfalls.

- Current inventories of helicopters will not satisfy CG requirement. [CONFIDENTIAL SENTENCE DELETED]

CURRENT STATUS (U)

[CONFIDENTIAL TABLE DELETED]

- Mission Element Needs Statement (MENS) approved by SECNAV and forwarded to the SECDEF recommending approval.

ACTION REQUIRED (C)

- Program is under review.

Category 2, Exemption 1, 5/05

CATEGORY II
EXEMPTIONS 1 & 5

OP-35/24 Nov 1980

DDGX FORCE LEVELS

BACKGROUND

- Construction of a new class of guided missile destroyers (DDGX) is planned, starting in FY 85, to provide replacements for retiring battle group surface combatants. This program should regain minimum guided missile cruiser-destroyer force levels by the turn of the century.

DISCUSSION

- The DDGX is envisioned as a multi-purpose, guided missile destroyer which will operate with CG-47's in Carrier Battle Groups, Surface Action Groups, Underway Replenishment Groups and Amphibious Ready Groups.
  [CLASSIFIED DELIVERY PLAN DELETED]
- Refinement of ship design is in progress; a follow-ship cost goal of $500M (FY80 $) is sought.

- DDGX program is scheduled for review by the Defense Systems Acquisition Review Council, 2nd quarter FY81.

STATUS

- FY 81 Authorization Act - $73.9M (R&D)
  FY 81 HAC - 0
  FY 81 SAC - $73.9M
  Will be resolved in conference.

Category II
EXEMPTION 1

LCDR T. C. WYLD, USN
OP-007CB/695-2919
20 November 1980

SUBJECT

Consolidation of American Forces Radio and Television (AFRT)

BACKGROUND

In response to Congressional criticism, consolidation plans were developed in 1979 to manage the AFRTS resources of all services under one, central DOD office.

The option proferred by a group of OSD staffers and the Deputy Assistant Secretary of Defense provided for the centralization of AFRT under one official within OSD, the Director, American Forces Information Service (AFIS).

AFRTS is an essential tool of command at the unit as well as theatre level. Within the context of information and entertainment programming, all elements of the command chain have ready access to (without absolute control of) AFRT outlets to assure execution of their internal information programs. AFRT, then, enhances combat effectiveness while boosting morale and welfare.

The proposal was defeated in favor of a Navy-organized plan.

DISCUSSION

The OSD consolidation proposal would have cost the services all resources then dedicated to AFRT. The Navy would have lost all authority to monitor and coordinate AFRT efforts in formerly Navy-controlled outlets. Assets assigned to Navy Broadcasting Service would have been drawn down gradually to support OSD-centralized shore stations, many in areas where predominantly non-Navy audiences are assigned. Smaller, remote outlets serving Navy audiences would have been closed.

Currently, half the ships in the Navy are equipped with SITE (Shipboard Information, Training and Entertainment) CCTV

CATEGORY II
EXEMPTION 5

systems, with the entire fleet slated for completion by the end of FY 83. The OSD proposal did not provide DOD the responsibility for these shipboard outlets, but would have absorbed all SITE support elements ashore (installation, repair and software programming). The Navy would have been required to reconstitute these elements from other resources to preserve the afloat program.

The Army, Marine Corps, JCS and DEP SECDEF joined Navy in the defeat of the AFIS proposal. The Navy's plan of a central management office within each military department was adopted; the Army and Air Force were required to establish an organization similar to the Navy Broadcasting Service.

[ONE PARAGRAPH DELETED]

LCDR T. C. WYLD, USN
OP-007CB/695-2919
20 November 1980

SUBJECT

Audiovisual (AV) Consolidation Within DOD

BACKGROUND

The high cost and adverse press alleging proliferation of AV resources in the military moved Congress and OMB to require more controls and accounting of AV. The Defense Audiovisual Agency (DAVA) was established under the Assistant Secretary of Defense (Public Affairs). OP-09BP, Assistant for Audiovisual Management, was established under OP-09B, the Director of Naval Administration, to implement DAVA plans and policies within the Department of the Navy.

DISCUSSION

The means established by DOD to achieve responsible AV resource management are: elimination of duplication, standardization of material and control of accounting. DOD prescribes consolidation as a management action only in the context of duplication or underutilization of resources.

DOD regulation specifies requirements for "sufficient utilization" and requires periodic review of the degree of utilization. If, as a result of this review, a facility or resource is found to be under-utilized, heads of DOD components are then instructed to close the facility, reduce assets--or effect consolidation.

Centralization of AV management under the appropriate functional control authority is crucial. The directive which calls for establishment of a central management office within military departments states that ASD(PA), while having overall management responsibility for AV resources, "...does not control their uses directly. Most applications are under the management control of the functions they support."

CATEGORY II
CA EXEMPTION 5

PROBLEMS

Consolidation of AV assets is underway now. DAVA guidance summarized above has been interpreted loosely, with consolidation being the management action preferred and, in most cases, least appropriate.

As presently organized, the Assistant for Audiovisual Management within the Department of the Navy must be responsive to requirements as well as cognizant of capabilities throughout the Department. Unlike CHINFO, OP-09BP is an OPNAV component alone, no special responsibilities to the Secretary of the Navy and not in the chain to address, for example, the needs of the Office of Naval Research or the U.S. Marine Corps. Further, OP-09BP does not sponsor enlisted ratings involved in AV activities (JO, DM, etc.) as does CHINFO.

COMMENT

Audiovisual communication arts, a most influential means of conveying information, have become more critical to and more widely sought by internal and external audiences. With respect to other information tools, CHINFO has a centralized responsibility for monitoring and coordinating. As a special assistant to SECNAV, CHINFO already coordinates management of similar information resources of the Marine Corps.

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NAVY/MARINE CORPS ACHIEVEMENTS, 1977-1980

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NAVY/MARINE CORPS ACHIEVEMENTS, 1977-1980

SHIPBUILDING CLAIMS SETTLEMENT

By April 1977, the Navy was confronted with a claims backlog of $2.7 billion, $2.3 billion of which were with the three major Navy shipbuilding contractors -- The Electric Boat Division of General Dynamics, The Ingalls Shipbuilding Division of Litton and Newport News Shipbuilding and Dry Dock Company. These claims represented long standing disputes on contracts dating back to the late 1960s. The animosities generated by these controversies were causing severe problems in the Navy's shipbuilding programs. The professional relationship so necessary for the successful construction of complex warships was being crippled and confidence in both the Navy's management ability and the shipyards' construction capabilities was being grievously eroded.

The Secretary of the Navy established claims resolution as the number one Navy priority and assigned responsibility to a small team headed by the ASN(MRA&L). A comprehensive program of negotiations was initiated simultaneously with each of the three shipbuilders. The overall goal was to achieve settlements which would cover all outstanding issues of controversy. The agreements had to serve the public interest, as judged by the test of Congressional review. Complex and difficult negotiations took place from September 1977 to October 1978. The first settlement was reached with General Dynamics on 9 June 1978. It resulted in reformation of two SSN 688 contracts allowing additional payment by the Navy of approximately $484 million. The settlement required General Dynamics to absorb an unprecedented loss of $359 million. On 20 June 1978 settlement was reached with Litton Industries resulting in reformation of two contracts for LHA assault ships and DD 963 destroyers. The agreement settled all outstanding claims with Litton and called for the Navy to pay Litton $447 million. Litton agreed to take a $200 million fixed loss on these contracts, without considering an additional $133 million of so-called Manufacturing Process Development Costs. On 5 October 1978 agreement was reached with Newport News on outstanding claims of $742 million and many other open issues involving construction of 13 nuclear powered warships. As a result of this agreement the Navy paid Newport News a total of $165 million.

PERSONNEL

Military Compensation. Military Compensation is inherently tied to the retention of career petty officers, non-commissioned officers, and officers of the Navy and Marine Corps, and improved retention must be achieved if the Navy/Marine Corps is to maintain its combat readiness. Dedicated efforts throughout the Department of the Navy and DOD facilitated extremely significant compensation improvements for the uniformed service member in 1980: establishment of variable housing allowances; increases in funding available for Zone "A" and "B" reenlistment bonuses and establishment of Zone "C" third term bonuses; improved Submarine Pay; increased Aviation Pay and the establishment of continuation bonuses; improved sea pay; increased Subsistence Allowances; improved physicians' bonuses; and increased travel en-

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titlements. These initiatives are certain to have a positive impact on the Navy Department's principal manpower problems -- low retention and inadequate accession rates.

Equal Opportunity. Strong consideration and support at all levels within the Department of the Navy have resulted in significant progress in this important area. During the past four years:

The Office of Deputy Assistant Secretary for Equal Opportunity has been created to improve formulation of EO policy and guidance in both the military and civilian communities to evaluate program execution and accomplishments, and to give this vital function appropriate stature within civilian and military personnel management.

Departmental EO/EEO objectives have been made a matter of accountability throughout the chain of command.

All members of the Senior Executive Service, and all other senior employees who participate in the Merit Pay System, are required to establish personal EEO objectives.

Under the Federal Equal Opportunity Recruitment Program, DON's work force has been analyzed to identify underrepresented groups, and affirmative action plans are being pursued to improve the balance.

Affirmative action has been applied in military recruiting. Women, racial, and ethnic minorities have been the subject of special recruiting efforts for both officer and enlisted accessions.

The continuing Hispanic Demonstration Project has met with significant success by reaching, in selected test areas, this relatively untapped manpower source and increasing Hispanic accessions without compromising quality standards.

Emphasis on equal opportunity has not been restricted to recruiting alone, but has been extended to training, advancement, and expanding participation by women and minorities across the entire spectrum of technical skills and specialty communities.

Women and Minorities. The Secretary of the Navy sought and gained an amendment to 10 U.S. Code Sec. 6015 which permits permanent assignment of women to noncombatant ships, and temporary assignment of women to combatants. In 1979, 53 women officers were assigned to duty in 14 noncombatant ships while 396 enlisted women were assigned to five of those ships. By 30 September 1980, the figures increased to 120 women officers and 694 enlisted women aboard 27 noncombatant ships. Women naval aviators now number 39 and the 55 women of the June '80 U.S. Naval Academy graduating class comprised the initial cadre of female USNA graduates. All major areas of minority recruiting, officer accession, reenlistment, total strength, and rating distribution have shown improvement. Since 1977, representation of Blacks in Navy enlisted ranks has increased from 8.7% to 11.5%, while Black naval officer representation has increased from 1.93% to 2.51%. The Navy/Marine Corps team is committed to expanding opportunities for women and minorities in the Services.

Civil Service Reform. The Department of the Navy's leadership immediately undertook a creative and successful implementation of all provisions of the Civil Service Reform Act. New, comprehensive, performance-based compensation programs for the Senior Executive Service and the Merit Pay System were designed as initial steps in improving the overall management of human resources in the Department. Recognizing the importance of training to successful implementation of SES and MPS, DON instructed nearly 20,000 persons in these systems, including a cadre of DON instructors to insure departmental self-sufficiency in this area. These early initiatives in reform implementation resulted in fifty agencies seeking assistance from the Navy Department in developing their own programs. The Department of the Navy submitted the first Demonstration Project in the Federal government to be approved by the Office of Personnel Management. This project adopted flexible, high-potential private sector personnel management methods, vastly different from those in use in the Federal Service, to two West Coast laboratory activities.

Civilian Personnel Reorganization. A thorough organizational and functional review of the Navy Department's civilian personnel management program was conducted following the citing of serious, extensive deficiencies caused by inefficient structure and lack of accountability. After lengthy analysis, a reorganization was effected, realigning responsibilities and authorities and finally fixing accountability with the Chief of Naval Operations and Commandant of the Marine Corps. While the Secretary retains responsibility for Departmental policy formulation, issuance, oversight, and control, the CNO and CMC now have the authority and resources for implementing that policy. The new organizational structure is highly supportive of total force management and assigns responsibility to line management for the Department's civilian personnel program. The Deputy Assistant Secretary of the Navy for Civilian Personnel has, for the first time, also assumed responsibility for the personnel policy formulation for approximately 50,000 non-appropriated fund civilian personnel, oversight of which was split from NAF military matters. Now, one civilian personnel office speaks for all civilian employees, be they AF or NAF. Key to the success of the entire reorganization has been improved interpersonal and working relationships that have developed, especially in the last year and a half.

Naval and Marine Corps Reserve. The strength of the Naval Reserve has stabilized at 87,000 with intentions to increase numbers in the out-years to meet the Navy's mobilization requirements as identified by the Navy's Manpower Mobilization System (NAMMOS).

Naval Reservists participation in fleet exercises has steadily increased and in FY-80 these Reservists took part in 24 fleet exercises.

Selected Marine Corps Reserve end strength has grown by over 6,000 personnel, from 29,306 to 35,549. Along with this growth, the quality of personnel has improved dramatically, as evidenced by an increase in high school graduates to over 75% of personnel, higher first term reenlistments, and sharply reduced judicial and administrative personnel problems.

Comprehensive mobilization procedures were developed and tested. These included establishing 50 Mobilization Stations throughout the country

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and staffing/training the Reservists who will handle them upon mobilization. An automated mobilization system was developed and implemented which provides an excellent mating of reserve resources and active force requirements/shortfalls. This system has been fully tested twice and has proven successful.

Improved Discipline. To enhance the potential combat effectiveness of the service, military discipline has been strengthened during the past four years. Ranging from naval directives on good order and discipline, with emphasis on officer/petty officer/non-rated personnel responsibilities, to revised approaches in dealing with UCMJ violations, these initiatives are resulting in improved discipline throughout the fleet.

Military Leadership Development. A comprehensive Leadership and Management Education and Training (LMET) program was undertaken during this administration to increase the professional leadership and managerial capabilities of uniformed service members. Formal courses were implemented for prospective commanding officers, department heads, division officers, chief petty officers, and leading petty officers. To date, 18,000 Navy personnel have successfully completed LMET and returned to the fleet with honed managerial skills. Based on these initial successes, plans have been developed to expand the scope of LMET to include shore establishments, flag officers, and DON civilians.

Family Service Centers. As an innovative approach to increasing retention rates among the Navy's married personnel, Family Service Centers were originated in 1979 to deal with spouse and child problems and to take positive steps to enrich the Navy family experience. Sixty-one centers are now operating with fourteen more to be opened in FY-81. The charter of this program is to emphasize the importance of the family to the Navy mission, to coordinate support efforts with civilian agencies such as the American Red Cross and USO, and to aid commands in resolving unique personal problems. The Marine Corps will open fifteen units in FY-81 and both the Army and Air Force are expected to pattern their family awareness programs on the Navy model.

FURTHERING NATIONAL SECURITY OBJECTIVES

Indian Ocean Operations. In response to the Iranian hostage crisis and Soviet invasion of Afghanistan in late 1979, two U.S. Navy battle groups (each consisting of an aircraft carrier, supporting combatants, and logistic ships) established and have sustained operations in the Northern Arabian Sea. These battle groups have been augmented periodically by amphibious task groups with embarked Marine Amphibious Brigades. The continued presence of the Navy/Marine Corps team in the Indian Ocean has been a major factor in the protection of vital U.S. interests in that region of the world.

RDF/Maritime Prepositioning. In 1980, to establish the capability to respond quickly and decisively to contingencies or crises in remote regions of the world, the Navy and Marine Corps contributed to the establishment of the Rapid Deployment Force, a Department of Defense command headquartered at MacDill AFB in Tampa, Florida. The Rapid Deployment Force consists of aircraft and ships dedicated to delivering a Marine Amphibious Brigade to a

remote location, then mating the personnel with their supporting equipment and supplies to sustain initial combat operations. The prepositioning of seven supply ships in the Indian Ocean is an important initial step in achieving deployment readiness for the RDF.

HUMANITARIAN ACHIEVEMENTS

Refugees (Southeast Asia). In April 1979, President Carter announced that the Navy would assist the "boat people" fleeing Vietnam by taking aboard those whose lives were deemed to be in danger due to unseaworthy craft, lack of food and water, or other extreme circumstances. Since then, Navy ships have embarked over 2600 refugees. In addition, Navy aircraft made reports of craft in distress to merchant vessels which picked up an additional 2,000 people. Secretary of State Muskie has personally thanked the Navy for its humanitarian assistance in this matter.

Refugees (Caribbean). During the exodus from Cuba in the spring of 1980, six Navy ships worked with Coast Guard vessels in the Florida Straits. These ships assisted boats in distress and picked up refugees in need of medical help. In addition, about 100 Navy and Marine Corps personnel manned the receiving center at Key West. Later in the year another four ships were sent to the Florida straits to assist the Coast Guard.

ALLIED RELATIONS

RIMPAC - '80. A major combined fleet exercise was conducted in the Pacific near Hawaii in the spring of 1980. The operation included ships and aircraft from Canada, Australia, Japan, and the United States. Training in many aspects of anti-air, anti-submarine, and anti-surface warfare was accomplished over a period of about ten days. This exercise was the first to include units from the Japanese Maritime Self-Defense Force in coordinated operations with the navies of Canada and Australia, thereby representing a major step forward in allied exercise participation and cooperation.

NATO Long Term Defense Plan (LTDP). During the past year the Navy has moved forward on NATO LTDP conventional force improvements. The more significant maritime progress areas include an enhanced air defense posture (achieved by installating joint defense missile systems in large combatants and close-in weapon systems in smaller ships) and a better anti-submarine warfare capability (through increased stocks and improved sensors).

NATO Rationalization/Standardization/Interoperability (RSI) Initiatives. The Navy continues to support greater alliance cooperation in armaments development and production with the objectives of increasing the scope and output of R&D resources and providing a higher degree of weapons standardization/interoperability in the field. In the area of weapons standardization, the Navy is evaluating the purchase of, or cooperating in the development of, the following programs: the Italian OTO MELARA gun, the Norwegian PENGUIN missile, the NATO SEASPARROW, and a new minesweeping system. Additionally, the U.S. AIM-9L SIDEWINDER air-to-air missile, the HARPOON anti-ship missile, the P-3 ORION ASW aircraft and the LAMPS MK III helicopter are under NATO review. Navy interoperability initiatives include: the publication of more than 40 common NATO tactical and procedural documents; participation in over 20 NATO training exercises from 1976 to

UNCLASSIFIED

1980; the consolidation of alliance training programs; and participation in excess of 100 weapons data exchange agreements.

NAVAL FORCES (STRATEGIC)

OHIO Launching. The USS OHIO (SSBN-726), the first of the new TRIDENT submarines, was launched on 7 April 1979 at New London, Connecticut. The keel was laid for the USS GEORGIA (SSBN-729) at the same time. Since then the USS MICHIGAN (SSBN-727) has been launched and another of these most modern SSBNs has been authorized, for a total authorized force to date of 8 TRIDENT submarines.

Kings Bay. Since moving from Rota, Spain, to Kings Bay, Georgia, last summer, the SSBN Support Base has continued to provide the nation with services to its most survivable deterrent force. Kings Bay has also been designated as the preferred location for the Atlantic Coast Strategic Submarine Base and will be the homeport for TRIDENT submarines on the US East Coast, joining the new base in Bangor, Washington as home for the TRIDENT fleet of the future.

NAVAL FORCES (CONVENTIONAL)

New Ship Construction/Force Levels. Since early 1977, the Department of the Navy has taken delivery of 71 new naval vessels and currently has an additional 86 under contract or presently being constructed.

AEGIS/CG-47. Since 1977, the Department of the Navy has provided for the acquisition of four new AEGIS AAW cruisers and is programming for additional ships of the class for the future. The AEGIS cruiser (CG-47) will be 563 feet long, displace 9000 tons, and carry a crew of 360. The ship will be equipped with the highly automated, rapid reaction AEGIS Combat System, which supports multiple, simultaneous surface-to-air missile engagements. The CG-47 class ships are currently being built by Litton Industries, while the AEGIS Combat System is being developed by the RCA Corporation.

Readiness Improvements. A DON principal priority throughout this administration has been the maintenance and enhancement of the combat readiness of forces in being. Significant increases have been achieved across the readiness spectrum, as indicated by some of the following examples:

The Backlog of Maintenance and Repair, a $630 million figure in FY-1976, has decreased to $587 million in FY-1980, and, if the existing program is prosecuted, will decrease to no backlog in FY-1986.

The Component Rework of ships and aircraft has increased by 5% during the current administration, rising from 84.6% in FY-1976 to 89.6% in FY-1980.

The Supply Material Availability of depot level repairable items was 71.2% in FY-1976. During the current administration, this figure increased to 75% by FY-1980, with steady, programmed increases projected for subsequent years.

SHIP PROCUREMENT PROCESS STUDY

In 1977 and 1978, the Navy prepared and completed an intensive examination of its ship acquisition procedures and management in order to come to grips with the underlying causal factors of major claims and to prevent, or at least minimize, their recurrence. The findings of this intensive review, contained in the Navy Ship Procurement Process Study final report, were used as a vehicle to strengthen contractual procedures with the shipbuilding industry. The interim report of this study was distributed to the builders in mid-1977. The final report was issued in July 1978. Since then the Navy has met periodically with industry representatives to assess implementation of the report. Some 65 conclusions have been reviewed by an advisory council, which has drafted a series of decision memorandums to implement the findings of the study within DON's management structure. The memorandums were distributed to industry in November 1980.

RESEARCH AND DEVELOPMENT

The Department of the Navy has made significant progress toward its near term goal of force modernization through the procurement of advance-design ships, aircraft and weapon systems. Significant examples include:

MK-48 ADCAP. The MK-48 Torpedo Advanced Capabilities Program (ADCAP) has been initiated as an upgrade to the existing Fleet weapon to counter an improved submarine threat.

Light Airborne Multi-Purpose System (LAMPS) MK III. Five LAMPS MK III RDT&E aircraft have been delivered and successfully test flown. The system's air-ship interface has been successfully demonstrated and USS McINERNY has been modified and is ready for initiation of the system Technical Evaluation in January 1981.

Integrated Tactical Surveillance System (ITSS). The ITSS Program was initiated, which has as its objective expansion of the combat horizon to counter the Backfire Bomber threat and to target missiles over the horizon.

Navy Embedded Computer System. A major organizational consolidation and new direction for tactical embedded computer systems was initiataed that will enhance the Navy's ability to deploy and maintain highly automated shipboard systems. Contracts have been awarded for parallel competitive development of two new tactical embedded computers.

PRODUCTIVITY IMPROVEMENTS

While the Department of the Navy Productivity Program has Navy-wide application, efforts have thus far focused on the Naval Material Command's industrial organizations. While many specific management initiatives can be cited, the following accomplishments reflect the savings which have accrued from the Shipyard Productivity Program. In Fiscal Year 1977 Navy targeted and achieved a five percent improvement in productivity in the naval shipyards which resulted in cost savings of over 40 million dollars. In Fiscal Year 1978, an additional productivity improvement goal of over 19 million dollars was established and met. The productivity goal for Fiscal Year 1979 of 20 million dollars was similarly attained. DON's most recent productivity enhancing capital investment proposals, just approved by the Secretary of Defense, total over 45 million dollars.

ENERGY EFFICIENCY

Through a combination of procedural improvements, capital investments, and planned equipment modifications, the Navy's 1985 energy conservation and substitution goals appear to be within reach. Improved operating methods and the waterborne hull cleaning program have resulted in improved efficiency in shipboard energy use. Combustion optimizers, improved antifouling hull paints, fresh water conservation equipment, and other R&D projects show promise in enabling the Navy to improve ship fuel efficiency 20% by 1985. In the aviation community, the 1985 goal of reducing fuel consumption by 5% per flight hour has already been attained and surpassed. R&D projects now underway, including airframe and engine modifications as well as procedural changes, promise further fuel efficiency improvements. Shore facilities' consumption is being reduced through energy saving capital investments and improved energy awareness. Energy consumption in Navy buildings alone in FY 80 was reduced by 2.5 million barrels of oil (equivalent), a savings of about $57 million, below the FY-75 consumption level.

MERCHANT MARINE/NAVY COORDINATION

Measures were implemented to provide more effective coordination and mutual support between the Navy and the U.S. flag Merchant Marine. A Navy - Maritime Policy Board was established to meet periodically with industry representatives thereby providing a forum for discussion and resolution of mutual problems in shipbuilding and ship operations. A Navy Reserve Program was created to meet the specific and unique requirements of merchant marine officers. The program provides naval training for merchant officers to enhance coordination between the merchant marine and the Navy, particularly during times of national emergency.

SEALIFT ENHANCEMENT PLAN

Under this plan specific programs have been instituted in coordination with the Maritime Administration and the maritime industry to ensure the sufficient and timely availability of strategic sealift assets under a non-mobilization scenario. An important part of the SEP is the Ready Reserve Force (RRF), a joint Navy/MARAD program established by Memorandum of Agreement between SECNAV and the Department of Commerce in November 1976. The program upgrades selected National Defense Reserve Fleet (NDRF) ships to a readiness status wherein they can respond within 10 days and establishes an annual readiness activation test. The program provides for a capacity of 28 dry cargo ships and 6 tankers. Program phasing has been developed to permit achievement of about 488,000 measurement tons of dry cargo capacity by FY-1983 and a 840,000 BBL tanker capacity by FY-1984. The primary objective of the RRF program, in conjunction with other programs such as the Sealift Readiness Program and Reduced Operating Status MSC ships, is to generate an effective mix of ships to meet DOD non-mobilization and peacetime surge requirements at optimum cost.

MAINTENANCE OF REAL PROPERTY (MRP)

The condition of the Navy's shore facilities had deteriorated progressively from FY-1966 due to sharp decreases in MRP funding. Consequently, the backlog of maintenance and repair (BMAR) grew rapidly, negatively impacting operational readiness. Program levels for FY-1977 contained only $10 million for major repair projects for the entire Navy, and all of the Services made MRP a major budget issue in FY-1976. Confronted with this problem, the Navy implemented improved techniques for programming and budgeting MRP resources. These techniques now identify facility deficiencies, segregate these deficiencies by identifiable, mission-related facility groups, and assess the condition of facilities in readiness terms. The process involves the direct participation of all levels of decision makers from activity commanding officers, major claimants, and OPNAV resource sponsors to the CNO himself who personally approves program objectives for each facility category. The visibility and understanding engendered in assessing readiness impact by facility category and the credibility gained within Navy, OSD and Congress have resulted in significant increases in MRP funding. Substantial progress has been made toward eliminating the large backlog caused by previous decades of low funding levels and, more importantly, the threat that the condition of shore facilities might constrain Navy military readiness has been minimized.

AUTOMATIC DATA PROCESSING MODERNIZATION

The Secretary of the Navy approved the establishment of the Naval Data Automation Command to improve the overall Navy automatic data processing management structure. In addition, to ensure the effective use of Navy automatic data processing resources, a series of six Data Processing Service Centers were established throughout the Navy. Currently, mid- and long-range automation plans are being developed. Major changes have been made to the Life Cycle Management of Automated Information Systems, thereby bringing ADP planning into conformance with OMB Circular A-109 and insuring ADP responsiveness to the ultimate user. Regular and significant cost savings/avoidance ($69.5M in multi-year savings in the last six months of FY-80 alone) have accrued through this "new" approach.

CATEGORY III DOCUMENTS

DENIED IN ENTIRETY

ATTACHMENT 3

ATTACHMENT (3)

ATTACHMENT (3)

DOCUMENTS DENIED IN ENTIRETY

TITLE	DATE	SUBJECT
Point Paper	24 NOV 80	Contribution of Allies
Point Paper	24 NOV 80	FY 1981 Budget Amendment
Memorandum for the Secretary of Defense	22 MAY 80	POM-82
Point Paper	24 NOV 80	Shipbuilding and Conversion, Navy (SCN)
Point Paper	24 NOV 80	Aircraft Procurement, Navy (APN)
Point Paper	24 NOV 80	Weapons Procurement, Navy (WPN)
Point Paper	22 NOV 80	Procurement Marine Corps (PMC) FY 1982 Program
Point Paper	24 NOV 80	Major R&D Programs
Point Paper	24 NOV 80	FY 1982 CDPS/Priorities
Point Paper	24 NOV 80	Defense Policy Guidance (DPG)
Memorandum for the Under Secretary of Defense, Policy	29 AUG 80	Recommendations Concerning the Forthcoming Defense Policy Guidance (U)
Memorandum for Distribution	25 SEP 80	DRAFT Defense Policy Guidance (U)
Memorandum for Under Secretary of Defense for Policy	22 OCT 80	For Comment DRAFT Defense Policy Guidance (DPG) FY 83-87
Memorandum for Secretaries of Military Depts; Chairman, Joint Chiefs of Staff; Under Secretary of Defense for Research and Engineering	28 NOV 80	Final DRAFT of 1983-87 Defense Policy Guidance
Memorandum for Under Secretary of Defense for Policy	4 DEC 80	Final for Comment DRAFT Defense Policy Guidance (DPG) FY 83-87
Point Paper	24 NOV 80	SECNAV Guidance for POM-83
Memorandum for the CNO; ASN(R,E&S); ASN(M,RA&L); ASN(FM)	10 NOV 80	Dept. of Navy Planning and Programming Guidance (DNPPG) (U)
Point Paper	24 NOV 80	Readiness and Sustainability Status and Trends (U)
Point Paper	24 NOV 80	Threat Ordnance Shortfall
Point Paper	24 NOV 80	Peacetime Operating Stock (POS) and War Reserve Materials (WRM)
Point Paper	24 NOV 80	Fuel Costs/Steaming and Flying Hours
Point Paper	24 NOV 80	RH-53 Replacement
Point Paper	24 NOV 80	Security of Diego Garcia (U)
Point Paper	24 NOV 80	Authorizations and Appropriations Committee Membership and Interests

LISTING OF FREEDOM OF INFORMATION EXEMPTIONS CLAIMED

ATTACHMENT
4

ATTACHMENT (4)

ATTACHMENT (4)

FOI EXEMPTIONS CLAIMED, RATIONALE, INITIAL DENIAL AUTHORITY

CATEGORY II DOCUMENTS (SEGREGATED AND RELEASABLE AFTER SEGREGATION)

TITLE	DATE	SUBJECT	FOIA EXEMPTION	RATIONALE	INITIAL DENIAL AUTHORITY
Point Paper	NONE	Marine Corps Reserves	#1 and #5	Note 1 Note 3	Deputy Chief of Staff for Requirements and Programs, CMC
Point Paper	24 NOV 80	Navy Deployment Levels	#1	Note 1	Director, Systems Analysis Division, OPNAV
Point Paper	NONE	Marine Corps Major R&D Programs/IOC (U)	#1	Note 1	Deputy Chief of Staff for Requirements and Programs, CMC
Point Paper	5 DEC 80	SSBN Force Levels (U)	#1	Note 2	Director, Systems Analysis Division, OPNAV
Point Paper	24 NOV 80	Heavy Lift Helicopters/CH-53E Line Break	#1	Note 1	Director, Systems Analysis Division, OPNAV
Point Paper	24 NOV 80	Diego Garcia Construction	#1	Note 2	Director, Systems Analysis Division, OPNAV
Point Paper	24 NOV 80	Block Obsolescence of Combatant Ships	#1	Note 2	Director, Systems Analysis Division, OPNAV
Point Paper	24 NOV 80	HXM	#1 and #5	Note 1 Note 3	Director, Systems Analysis Division, OPNAV
Point Paper	24 NOV 80	DDGX Force Levels	#1	Note 2	Director, Systems Analysis Division, OPNAV
Point Paper	20 NOV 80	Consolidation of American Forces Radio & Television (AFRT)	#5	Note 3	Under Secretary of the Navy

ATTACHMENT (4) (Continued)

TITLE	DATE	SUBJECT	FOIA EXEMPTION	RATIONALE	INITIAL DENIAL AUTHORITY
Point Paper	20 NOV 80	Audiovisual (AV) Consolidation Within DOD	#5	Note 3	Under Secretary of the Navy
Point Paper	NONE	Navy/Marine Corps Achievements, 1977-1980	#1	Note 1	Under Secretary of the Navy

NOTE 1: The portions of the document withheld are exempt from disclosure under 5 U.S.C. Section 552(b) because they are classified in the interest of national defense under the criteria of the Department of the Navy Information Security Program Regulation (OPNAVINST 5510.1F) which implements Executive Order No. 12065 and their unauthorized disclosure reasonably could be expected to cause identifiable damage to the national security.

NOTE 2: The portions of the document withheld are exempt from disclosure under 5 U.S.C. Section 552(b) because they are classified in the interest of national defense under the criteria of the Department of the Navy Information Security Program Regulation (OPNAVINST 5510.1F) which implements Executive Order No. 12065 and their unauthorized disclosure reasonably could be expected to cause serious damage to the national security

NOTE 3: The portions of the document withheld are exempt from disclosure under 5 U.S.C. Section 522(b)(5) because they consist of internal predecisional deliberations, opinions and recommendations. Release of these portions of material would be detrimental to the Department of the Navy's decision making process and would have an adverse effect upon the expression of candid opinion by naval personnel.

ATTACHMENT (4) (Continued)

CATEGORY III (DENIED IN ENTIRETY)

SUBJECT	FOIA EXEMPTION	RATIONALE	INITIAL DENIAL AUTHORITY
Contribution of Allies	#1	Note 1	Director, Systems Analysis Division, OPNAV
FY 1981 Budget Amendment	#5	Note 3	Director, Systems Analysis Division, OPNAV
POM-82	#1 and #5	Note 2 Note 3	Under Secretary of the Navy
Shipbuilding and Conversion, Navy (SCN)	#5	Note 3	Director, Systems Analysis Division, OPNAV
Aircraft Procurement, Navy (APN)	#5	Note 3	Director, Systems Analysis Division, OPNAV
Weapons Procurement, Navy (WPN)	#5	Note 3	Director, Systems Analysis Division, OPNAV
Procurement Marine Corps (PMC) FY 82 Program	#5	Note 3	Under Secretary of the Navy
Major R&D Programs	#5	Note 3	Director, Systems Analysis Division, OPNAV
FY 1982 CDPS/Priorities	#5	Note 3	Director, Systems Analysis Division, OPNAV
Defense Policy Guidance (DPG)	#1 and #5	Note 2 Note 3	Director, Systems Analysis Division, OPNAV
Recommendations Concerning the Forthcoming Defense Policy Guidance (U)	#1 and #5	Note 2 Note 3	Under Secretary of the Navy
DRAFT Defense Policy Guidance (U)	#1 and #5	Note 2 Note 3	Under Secretary of the Navy
For Comment DRAFT Defense Policy Guidance (DPG) FY 83-87	#1 and #5	Note 2 Note 3	Under Secretary of the Navy
Final DRAFT of 1983-87 Defense Policy Guidance	#1 and #5	Note 2 Note 3	Under Secretary of the Navy
Final for Comment DRAFT Defense Policy Guidance (DPG) FY 83-87	#1 and #5	Note 2 Note 3	Under Secretary of the Navy

ATTACHMENT (4) (Continued)

SUBJECT	FOIA EXEMPTION	RATIONALE	INITIAL DENIAL AUTHORITY
SECNAV Guidance for POM-83	#1 and #5	Note 1 Note 3	Director, Systems Analysis Division, OPNAV
Dept. of Navy Planning and Programming Guidance (DNPPG) (U)	#1 and #5	Note 1 Note 3	Under Secretary of the Navy
Readiness and Sustainability Status and Trends (U)	#1 and #5	Note 2 Note 3	Director, Systems Analysis Division, OPNAV
Threat Ordnance Shortfall	#1 and #5	Note 2 Note 3	Director, Systems Analysis Division, OPNAV
Peacetime Operating Stock (POS) and War Reserve Materials (WRM)	#1 and #5	Note 2 Note 3	Director, Systems Analysis Division, OPNAV
Fuel Costs/Steaming and Flying Hours	#1 and #5	Note 2 Note 3	Director, Systems Analysis Division, OPNAV
RH-53 Replacement	#5	Note 3	Director, Systems Analysis Division, OPNAV
Security of Diego Garcia (U)	#1 and #5	Note 2 Note 3	Deputy Chief of Staff for Requirements and Programs, CMC
Authorizations and Appropriations Committee: Membership and Interests	#5	Note 3	Director, Systems Analysis Division, OPNAV

NOTE 1: The withheld document is exempt from disclosure under 5 U.S.C. Section 552 (b) because it has been classified in the interest of national defense under the criteria of the Department of the Navy Information Security Program Regulation (OPNAVINST 5510.1F) which implements Executive Order 12065 and its unauthorized disclosure reasonably could be expected to cause identifiable damage to the national security.

NOTE 2: The withheld document is exempt from disclosure under 5 U.S.C. Section 552 (b) because it has been classified in the interest of national defense under the criteria of the Department of the Navy Information Security Program Regulation (OPNAVINST 5510.1F) which implements Executive Order 12065 and its unauthorized disclosure reasonably could be expected to cause serious damage to the national security.

NOTE 3: Withheld document is exempt from disclosure under 5 U.S.C. Section 552(b)(5) because it consists of internal predecisional deliberations, opinions and recommendations. Release of this material would be detrimental to the Department of the Navy's decision making process and would have an adverse effect upon the expression of candid opinion by naval personnel.

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ASSISTANT SECRETARY OF DEFENSE (GENERAL COUNSEL)

The attached documents were provided to the Carter-Reagan Transition Team by the Office of the Assistant Secretary of Defense (General Counsel). Three documents at tab 7, "Law of the Sea," "Panama Canal Treaty Implication," and "Law of War," have been denied as they are currently and properly classified under Executive Order 12065. The unauthorized release of this information could weaken the position of the United States in the discussion or peaceful resolution of potential or existing international differences which could result in a disruption of foreign relations, thereby adversely affecting the national security. Therefore, the information is denied under 5 USC 552(b)(1).

Several documents at tabs 8 and 9 have information deleted as it is considered internal advice and recommendations of which the unauthorized release could inhibit the exchange of frank advice within a staff agency thereby hampering the decision-making process. Deletions are made under the provisions of 5 USC 552(b)(5).

The Initial Denial Authority is Mr. Robert L. Gilliat, Office of the General Counsel.

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November 15, 1980

OFFICE OF THE GENERAL COUNSEL

Immediate Office

Togo D. West, Jr.	Level IV
Niederlehner, L.	ES-5
Cullen, Regina H.	GS-13/1
Miller, Sarah G.	GS-11/6
Buchanan, Joyce L.	GS-11/3
Norris, Rose C.	GS-9/10
Jones, Idalina M.	GS-9/9

Associate General Counsel (International, Intelligence & Investigative Programs

Dondy, Virginia M.	ES-4
Schachter, Leon J.	ES-3
Allen, James J.	GS-15/8
Richardson, Henry J., III	GS-15/3
Cifrino, Michael J.	GS-14/2
Ludlow, Susan C.	GS-14/2
Dyson, Albert H., III	GS-14/1
Gordon, Delorise G.	GS-8/9
Trader, Patricia L.	GS-8/9
Shirley, Patricia A.	GS-7/4
Eubanks, Johannah	GS-7/3

Assistant General Counsel (Manpower, Health & Public Affairs)

Gilliat, Robert L.	ES-4
Holmes, Forrest S.	GS-15/9
Ream, David W.	GS-15/4
Effron, Andrew S.	GS-15/1
Koffsky, Paul S.	GS-14/7
Puller, Lewis B., Jr.	GS-14/2
Thomas, Bertha	GS-8/10
Boone, Betty Jean	GS-7/7
Blankenship, Betty J.	GS-6/3

Assistant General Counsel (Fiscal Matters

Briskin, Manuel	ES-4
Morgan, Tom G.	GS-15/1
Yannello, Karen M	GS-12/1
Poindexter, Margaret E.	GS-8/8
Hill, Mary E.	GS-7/7

Assistant General Counsel (Logistics)

Trosch, Dennis H.	ES-4
Drake, Gurden E.	GS-15/4
Monts, Michael A.	GS-14/1
Schlossberg, George R.	GS-13/1
Richardson, Karen L.	GS-12/1
Hebert, Elizabeth T.	GS-8/9
Werner, Beatrice H.	GS-7/10
O'Toole, Josephine M.	GS-7/8

Legislative Reference Service

Windus, Werner	GS-15/5
[Vacancy]	GS-11/5
Godfrey, Bernice E.	GS-7/5
Crozzoli, Lydia A.	GS-6/7
Fletcher, William A.	GS-6/4
Knickerbocker, Rose E.	

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OFFICE OF THE GENERAL COUNSEL

November 1980

Grade	Immediate Office	I^3	Manpower	Logistics	Fiscal	Leg. Ref. Service
Level IV	West					
ES-5	Niederlehner					
ES-4		Dondy	Gilliat	Trosch	Briskin	
ES-3		Schachter				
ES-2						
ES-1						
15		Allen Richardson,H.	Holmes Ream Effron	Drake		Windus
14		Cifrino Ludlow Dyson	Puller Koffsky	Monts	Morgan	[Vacancy]
13	Cullen			Schlossberg Richardson,K.	Yannello	
12						
11						
10						
9						
Clerical	3	4	3	3	2	4

Authorized Ceiling: 45 (Civilians)

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November 14, 1980

RECAP

General Counsel Personnel

	Authorized		On Board	
	Professional	Clerical	Professional	Clerical
Central	3	3	3	3
Manpower	6	3	6	3
Logistics	5	3	5	3
I[3]	7	4	7	4
Fiscal	3	2	3	2
Legislative Reference	2	4	2	4
	26	19	26	19
	TOTAL: 45		TOTAL: 45	

Industrial Security Clearance Review Program

	Ceiling	On Board
Headquarters	12	12
Field	10	7

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ORGANIZATION CHART
OFFICE OF GENERAL COUNSEL

GENERAL COUNSEL
Togo D. West, Jr.

DEPUTY GENERAL COUNSEL
Leonard Niederluhner

SPECIAL ASSISTANT TO THE GENERAL COUNSEL
H. Regina Cullen

ASSISTANT GENERAL COUNSEL (MANPOWER, HEALTH & PUBLIC AFFAIRS)
Robert L. Gilliat

Serves:
- ASSISTANT SECRETARY OF DEFENSE (Manpower, Reserve Affairs & Logistics) (with respect to manpower and reserve affairs functions)
- ASSISTANT SECRETARY OF DEFENSE (Public Affairs)
- ASSISTANT SECRETARY OF DEFENSE (Health Affairs)
- Washington Headquarters Services (personnel matters)
- As Legal Advisor to Department Counselors for standards of conduct for DoD personnel
- As consultant on emergency planning and continuity of Government operations affecting the Department of Defense

Provides liaison for:
- General Counsel, Defense Mapping Agency
- Legal Advisor and Legislative Assistant, Joint Chiefs of Staff

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ASSOC. GENERAL COUNSEL (INTELLIGENCE, INTERNATIONAL & INVESTIGATIVE PROGRAMS)
Virginia M. Dondy

Serves:
- UNDER SECRETARY OF DEFENSE FOR POLICY
- ASSISTANT SECRETARY OF DEFENSE (International Security Affairs)
- ADVISOR TO THE SECRETARY OF DEFENSE FOR NATO AFFAIRS
- DIRECTOR, DEFENSE SECURITY ASSISTANCE AGENCY
- INSPECTOR GENERAL, DEFENSE INTELLIGENCE

Supervises:
- Defense Investigative Service

Provides liaison for:
- General Counsel, National Security Agency
- General Counsel, Defense Intelligence Agency

ASSISTANT GENERAL COUNSEL (FISCAL MATTERS)
Manuel Briskin

Serves:
- ASSISTANT SECRETARY OF DEFENSE (Comptroller)
- DIRECTOR, DEFENSE AUDIT SERVICE
- Washington Headquarters Services (except personnel matters)
- OSD Welfare & Recreation Association
- OSD Concessions Committee

Supervises:
- Industrial Security Clearance Program

Provides liaison for:
- Counsel, Defense Contract Audit Agency

ASSISTANT GENERAL COUNSEL (LOGISTICS)
Dennis H. Trosch

Serves:
- UNDER SECRETARY OF DEFENSE FOR RESEARCH & ENGINEERING
- ASSISTANT SECRETARY OF DEFENSE (Manpower, Reserve Affairs & Logistics) (with respect to installations and logistics functions)
- ASSISTANT SECRETARY OF DEFENSE (Program Analysis & Evaluation)
- ASSISTANT SECRETARY OF DEFENSE (Communications, Command, Control & Intelligence)
- ASSISTANT TO THE SECRETARY OF DEFENSE (Atomic Energy)
- DIRECTOR, DEFENSE ADVANCED RESEARCH PROJECTS AGENCY

Provides liaison for:
- General Counsel, Defense Nuclear Agency
- Counsel, Defense Logistics Agency
- Counsel, Defense Communications Agency

DIRECTOR LEGISLATIVE REFERENCE SERVICE
Werner Windus

Serves:
- General Counsel

Supervises:
- Development of the DoD Legislative program
- Development of coordinated DoD positions on proposed legislation, Executive Orders, and Presidential Proclamations
- Assignment of responsibility for implementation of laws and Executive Orders
- Legislative and Congressional document reference and distribution services
- Historical legislative files

Provides liaison for:
- Assistant to the Secretary of Defense (Legislative Affairs)

5

THE DIRECTORATE FOR INDUSTRIAL SECURITY CLEARANCE REVIEW

The Directorate for Industrial Security Clearance Review, under the supervision of the Office of General Counsel, has responsibility for determining the eligibility of employees of Defense contractors to classified information. The Directorate consists of a Director, a Screening Board, Hearing Examiners, an Appeals Board, and Legal Counsel.

The initial responsibility for granting security clearances to employees of Defense contractors is that of the Defense Industrial Security Clearance Office, which is not a part of the Directorate. That office can grant clearances, but if it determines that there is reason not to grant a clearance the matter must be submitted to the Directorate for determination.

Within the Directorate cases arriving from the Defense Industrial Security Clearance Office are considered by the Screening Board which either authorizes the granting of a clearance or issues a Statement of Reasons as to why the clearance should not be issued. Applicants for clearance may appeal adverse determinations to the Directorate's Hearing Examiners. Decisions of the Hearing Examiners may be appealed to the Directorate's Appeal Board.

The program operates under the authority of Executive Order 10865, dated February 20, 1960, as amended. By agreement with 17 other government agencies the program covers contractor employees of those agencies. The program has no application to security clearances of military personnel or civilian employees of the DoD.

OFFICE OF GENERAL COUNSEL
DIRECTORATE FOR INDUSTRIAL SECURITY CLEARANCE REVIEW

NOV 1980

	Director		
1.	Thomas J. Nugent	GS-15	697-8350
	Administrative Assistant		
2.	Helen L. Olivo	GS-8	7-8350
	Director's Secretary and Administrative Assistant to Appeal Board		
3.	Elizabeth C. Stafford	GS-6	7-8350
	Chief Department Counsel		
4.	Robert S. Brady	GS-15	5-2354
	Department Counsel		
5.	Herbert B. Mutter	GS-14	5-2354
6.	Vacant	GS-14	
	Secretary		
7.	Eleanor L. Row	GS-7	5-2354
	Chairman, Screening Board		
8.	John F. Delaney, Jr.	GS-14	5-7996
	Screening Board Members		
9.	Geraldine M. Morrison	GS-13	5-7996
10.	James A. Hall	GS-13	5-7996
11.	Charlene M. Krohn	GS-13	5-7996
12.	Victor J. Johanson (EOD 20 OCT 80)	GS-13	5-7996

Screening Board Secretary

13.	Dorothy H. Smith (EOD 6 OCT 80)	GS-6	5-7996

Eastern Hearing Office

Attorney Examiners

14.	Charles J. Klyde	GS-15	A/C 212 264-1417-8-9
15.	Vacant	GS-15	

Attorney

16.	Eugene F. Back	GS-14	A/C 212 264-1417-8-9

Secretary

17.	Sylvia Kopf-Raffelson (EOD 3 MAR 80)	GS-6	A/C 212 264-1417-8-9

Western Hearing Office

Attorney Examiners

18.	David H. Henretta, Jr.	GS-15	A/C 213 643-1696-7-8 Autovon: 8-833-1696
19.	Marvin P. Carlock	GS-15	A/C 213 643-1696-7-8 Autovon: 8-833-1696

Secretary

20.	Helen B. McClarnon	GS-6	A/C 213 643-1696-7-8 Autovon: 8-833-1696

Attorney

21.	Herman R. Testan	GS-14	A/C 213 643-0216 or 0362 Autovon: 8-833-0216
22.	Vacant		

Secretary (DLA Part-Time Employee)

	Nancy Bloom	A/C 213 643-0216 or 0362 Autovon: 8-833-0216

OFFICE OF GENERAL COUNSEL
DIRECTORATE FOR INDUSTRIAL SECURITY CLEARANCE REVIEW

Ad Hoc Appeal Board Members

John E. Ritzert - Consultant-Annuitant (EOD 22 SEP 80)

Herbert Lewis - Consultant-Annuitant (EOD 22 Sep 80)

Daniel J. Dinan - Personnel Security & Investigative Div., SP&P, 3C271 7-3969/4917

Gerald C. Cowden - Army Review Boards & Personnel Security, ODASA, 1E486 7-7775

(Administrative Assistant - Elizabeth Stafford 5-7858)

6

NAME: Togo Dennis West, Jr.

POSITION: General Counsel

DATE OF BIRTH: 21 June 1942

MARITAL STATUS: Married

UNIVERSITIES AND YEAR OF DEGREES:

Howard University, B.A. 1965
Howard University, J.D. 1968

BAR MEMBERSHIP AND YEAR:

District of Columbia - 1968
New York - 1969
Court of Military Appeals - 1969
Legal Ethics Committee of D.C. Bar

MILITARY EXPERIENCE AND RESERVE STATUS:

U.S. Army (Active Duty) - 1969-73
Judge Advocate, Military Justice Division, OJAG, U.S. Army - 1969-70
Attorney-Adviser to the Assistant Secretary of the Army (Manpower and Reserves) - 1970-73

PERSONAL EXPERIENCE:

Law Clerk, Hon. Harold R. Tyler, Judge of the U.S. Dist. Ct., Dist. New York, 1968-69
Associate, Covington and Burling, 1973-75, 1976-77
Associate Deputy Attorney General, U.S. Department of Justice, 1975-76
General Counsel, Department of the Navy, 1977-79
The Special Assistant to the Secretary and Deputy Secretary of Defense, 1979-80

ARRIVED AT OSD: 1 January 1979

NAME: Leonard Niederlehner

POSITION: Deputy General Counsel

DATE OF BIRTH: 12 October 1914

MARITAL STATUS: Married

UNIVERSITIES AND YEAR OF DEGREES:

University of Cincinnati, B.A. 1934
University of Cincinnati, LL.B. (J.D.) 1937
(Order of the Coif)

BAR MEMBERSHIP AND YEAR:

Ohio - 1937
U.S. Court of Appeals, Sixth Circuit - 1938
U.S. Supreme Court - 1958
District of Columbia - 1967

MILITARY EXPERIENCE AND RESERVE STATUS:

USNR September 1942 - August 1946
Ensign to Lt. Cdr. S(L) USNR (Lt. Cdr. Ret. Res.)

PROFESSIONAL EXPERIENCE:

General Practice, 1937-1940
Office of General Counsel, FSA, 1941-42
U.S. Navy, 1942-46
Counsel, Bureau of Yards and Docks, 1946-47
Counsel, Army-Navy Munitions Board and
Munitions Board, June - December 1947

ARRIVED AT OSD: Temporary duty - 30 September 1947
Payroll - 15 January 1948

NAME: H. Regina Cullen

POSITION: Special Assistant to the General Counsel

DATE OF BIRTH: 23 November 1952

MARITAL STATUS: Married

UNIVERSITIES AND YEAR OF DEGREES:

Macalester College, B.A. 1973
University of Kentucky, J.D. 1976
Vrije Universiteit Brussel, LL.M. 1979

BAR MEMBERSHIP AND YEAR:

Kentucky - 1976
U.S. Dist. Ct. E.D. Ky - 1979

MILITARY EXPERIENCE AND RESERVE STATUS:

None

PROFESSIONAL EXPERIENCE:

Assistant Attorney General, Commonwealth of Kentucky, 1976-79

ARRIVED AT OSD: 2 January 1980

NAME: Virginia M. Dondy

POSITION: Associate General Counsel, Intelligence, International and Investigative Programs

DATE OF BIRTH: 14 February 1943

MARITAL STATUS: Single

UNIVERSITIES AND YEAR OF DEGREES:

Goucher College, A.B. 1965
Georgetown University, J.D. 1971

BAR MEMBERSHIP AND YEAR:

District of Columbia - 1971
United States Supreme Court - 1974
New York - 1977

MILITARY EXPERIENCE AND RESERVE STATUS:

None

PROFESSIONAL EXPERIENCE:

Law Clerk, Judge Spottswood Robinson, III, U.S. Court of Appeals, District of Columbia, 1971-72
Associate, Steptoe & Johnson, Washington, D.C., 1972-76
Assistant General Counsel, ITT, New York, 1977-78
Deputy Assistant Secretary of Defense, Department of the Air Force (Equal Opportunity), 1978-79
Deputy Special Assistant to the Secretary of Defense, 1979-80

ARRIVED AT OSD: 1 August 1979

NAME: Leon J. Schachter

POSITION: Deputy Associate General Counsel, Intelligence, International and Investigative Programs (I^3)

DATE OF BIRTH: September 9, 1942

MARITAL STATUS: Single

UNIVERSITIES AND YEAR OF DEGREES:

University of Illinois, B.S. 1964
Northwestern University, J.D. 1967

BAR MEMBERSHIP AND YEAR:

Illinois - 1967
District of Columbia - 1968

MILITARY EXPERIENCE AND RESERVE STATUS:

U.S. Army 1968-72

PROFESSIONAL EXPERIENCE:

Department of Justice, Tax Division, 1967-68
Office of the Judge Advocate General, Military Justice Division, 1968-70
U.S. Army Judiciary, Government Appellate Division, 1970-72
Associate, Pierson, Ball and Dowd, Washington, D.C., 1972-80

ARRIVED AT OSD: March, 1980

NAME: James J. Allen

POSITION: Attorney-Advisor, Office of the Associate General Counsel (I^3)

DATE OF BIRTH: December 9, 1931

MARITAL STATUS: Married

UNIVERSITIES AND YEAR OF DEGREES:

Cornell University, B.A. 1953
Georgetown University, LL.B. and LL.M. 1958
Max Planck Institute for International Law, Research Fellow, 1958-59

BAR MEMBERSHIP AND YEAR:

District of Columbia - 1958

MILITARY EXPERIENCE AND RESERVE STATUS:

U.S. Air Force 1953-58

PROFESSIONAL EXPERIENCE:

None prior to arrival at OSD

ARRIVED AT OSD: 27 October 1959

NAME: Michael Cifrino

POSITION: Attorney-Advisor, Office of the Associate General Counsel (I^3)

DATE OF BIRTH: April 13, 1950

MARITAL STATUS: Single

UNIVERSITIES AND YEAR OF DEGREES:

Boston College, B.A. 1972
University of Maryland, J.D. 1975

BAR MEMBERSHIP AND YEAR:

Maryland - 1975

MILITARY EXPERIENCE AND RESERVE STATUS:

None

PROFESSIONAL EXPERIENCE:

Law Clerk, Hon. Charles D. Harris, Judge Supreme Bench, Baltimore City, 1975-76
Legal Services Corp., 1976
Office of General Counsel, Department of the Navy, 1976-79

ARRIVED AT OSD: 4 June 1979

NAME: Albert H. Dyson, III

POSITION: Attorney-Advisor, Office of the Associate General Counsel (I^3)

DATE OF BIRTH: October 10, 1949

MARITAL STATUS: Single

UNIVERSITIES AND YEAR OF DEGREES:

Stanford University, B.A. 1973
University of Michigan, J.D. 1976

BAR MEMBERSHIP AND YEAR:

Michigan - 1976
District of Columbia - 1977

MILITARY EXPERIENCE AND RESERVE STATUS:

None

PROFESSIONAL EXPERIENCE:

Commodities Futures Trading Commission, 1976-77
Department of the Navy, Office of General Counsel, 1977-80

ARRIVED AT OSD: 20 October 1970

NAME: Susan C. Ludlow

POSITION: Attorney-Advisor, Office of the Associate General Counsel (I^3)

DATE OF BIRTH: May 12, 1947

MARITAL STATUS: Single

UNIVERSITIES AND YEAR OF DEGREES:

Smith College, B.A. 1969
Fletcher School of Law & Diplomacy, M.A.and M.A.L.D. 1970-73
Graduate Institute of International Studies, Geneva, Switzerland. Diplome de l'Institut, 1972
University of Michigan, J.D. 1976

BAR MEMBERSHIP AND YEAR:

Michigan - 1976
District of Columbia - 1979

MILITARY EXPERIENCE AND RESERVE STATUS:

None

PROFESSIONAL EXPERIENCE:

Department of Justice, 1976-77
Department of the Air Force, Office of the General Counsel, 1977-80

ARRIVED AT OSD: 20 October 1980.

NAME: Henry J. Richardson, III

POSITION: Attorney-Advisor, Office of the Associate General Counsel (I[3])

DATE OF BIRTH: March 24, 1941

MARITAL STATUS: Married

UNIVERSITIES AND YEAR OF DEGREES:

University of Besancon, France. Certificate, 1962
Antioch College, 1963
Yale, J.D. 1966
UCLA, LL.M. 1971

BAR MEMBERSHIP AND YEAR:

Indiana - 1966

MILITARY EXPERIENCE AND RESERVE STATUS:

None

PROFESSIONAL EXPERIENCE:

International Legal Adviser, Government of Malawi, 1966-68
Associate Professor of Law, Indiana University, 1971-77
Visiting Associate Professor of Law Northwestern University, 1975-76
National Security Council, 1977-79
Senior Foreign Policy Analyst, Congressman Diggs, 1979

ARRIVED AT OSD: 24 September 1979

NAME: Howard Patrick Sweeney

POSITION: Attorney-Advisor, Office of the Associate General Counsel (I^3)

DATE OF BIRTH: December 5, 1943

MARITAL STATUS: Married

UNIVERSITIES AND YEAR OF DEGREES:

Loyola University, B.A. 1965
Loyola University, J.D. 1968

BAR MEMBERSHIP AND YEAR:

California - 1969
U.S. District Court, C.D. Calif. - 1969
U.S. Court of Military Appeals - 1970

MILITARY EXPERIENCE AND RESERVE STATUS:

U.S. Air Force 1969-80

PROFESSIONAL EXPERIENCE:

Law Clerk, U.S. District Court Judge A. Andrew Hawk, 1968-69
Office of the Judge Advocate General, 1971-77
- Trial Defense Counsel, 1969-74
- Base Staff Judge Advocate, 1971-72
- Military Judge, 1974-77
- Chief of Military Justice, 1972-77
- Chief of Civil Law, 1972-77
- Claims Officer, 1972-77

Office of the Secretary of the Air Force, Legislative Affairs, 1977-78
Office of the Secretary of Defense, Legislative Affairs, 1978-80

ARRIVED AT OSD: 1 June 1980

NAME: Robert L. Gilliat

POSITION: Assistant General Counsel (Manpower, Health & Public Affairs)

DATE OF BIRTH: November 16, 1931

MARITAL STATUS: Married

UNIVERSITIES AND YEAR OF DEGREES:

Wayne State, B.A. 1953
Wayne State, J.D. 1955
University of Michigan, M.P.A. 1959

BAR MEMBERSHIP AND YEAR:

Michigan - 1957
District of Columbia - 1976

MILITARY EXPERIENCE AND RESERVE STATUS:

U.S. Army 1955 - 1957
Reserve Status - Honorably Discharged

PROFESSIONAL EXPERIENCE:

ARRIVED AT OSD: 1 July 1958

NAME: Andrew Effron

POSITION: Attorney-Advisor, Office of the Assistant General Counsel, (Manpower, Health & Public Affairs)

DATE OF BIRTH: September 18, 1948

MARITAL STATUS: Married

UNIVERSITIES AND YEAR OF DEGREES:

Harvard College, B.A. 1970
Harvard Law School, J.D. 1975

BAR MEMBERSHIP AND YEAR:

District of Columbia - 1975

MILITARY EXPERIENCE AND RESERVE STATUS:

U.S. Army (JAGC), Capt. 1976-79
Reserve Status: Active Reserve

PROFESSIONAL EXPERIENCE:

Legislative Aide to Congressman William A. Steiger, 1975-76

ARRIVED AT OSD: 23 November 1977

NAME: Forrest S. Holmes, Jr.

POSITION: Attorney-Advisor, Office of the Assistant General Counsel, (Manpower, Health & Public Affairs)

DATE OF BIRTH: September 20, 1922

MARITAL STATUS: Single

UNIVERSITIES AND YEAR OF DEGREES:

Princeton, B.A. 1943
Harvard Law School, J.D. 1950

BAR MEMBERSHIP AND YEAR:

Maryland - 1950
Massachusetts - 1951
U.S. Dist. Ct., D. Mass. - 1952
U.S. Dist. Ct., D. Columbia. - 1954
U.S. Court of Appeals, D.C. - 1954
U.S. Dist. Ct., D. Md. - 1954
U.S. Supreme Court - 1955

MILITARY EXPERIENCE AND RESERVE STATUS:

OCS, 1943
U.S. Army, 1944-47
Army active reserve, 1954-77
Army Retired Reserve, 1977

PROFESSIONAL EXPERIENCE:

Associate, Goodwin, Procter & Hoar, Boston, Mass., 1951-53
General Practice, Maryland and D.C., 1953-58

ARRIVED AT OSD: 29 September 1958

NAME: Paul S. Koffsky

POSITION: Attorney-Advisor, Office of the Assistant General Counsel, (Manpower, Health & Public Affairs)

DATE OF BIRTH: 6 July 1951

MARITAL STATUS: Single

UNIVERSITIES AND YEAR OF DEGREES:

Harvard College, B.A. 1973
Columbia University, J.D. 1976

BAR MEMBERSHIP AND YEAR:

District of Columbia - 1977

MILITARY EXPERIENCE AND RESERVE STATUS:

None

PROFESSIONAL EXPERIENCE:

Associate, Wilmer, Cutler & Pickering, 1976-79
Senior Staff Attorney, DoD IG Task Force, 1979-80

ARRIVED AT OSD: April, 1979

NAME: Lewis B. Puller

POSITION: Attorney-Advisor, Office of AGC(MH&PA)

DATE OF BIRTH: August 18, 1945

MARITAL STATUS: Married

UNIVERSITIES AND YEAR OF DEGREES:

William & Mary, B.A. 1964-67
William & Mary, J.D. 1971-74

BAR MEMBERSHIP AND YEAR:

Virginia - 1974

MILITARY EXPERIENCE AND RESERVE STATUS:

1st Lt. USMCR (Ret.) - 1967-70

PROFESSIONAL EXPERIENCE:

Staff Attorney, General Counsel, Veterans Administration, 1974, 1975-76
Attorney/Board Member, Presidential Clemency Board, 1974-75
Nat Svs Dir, Paralyzed Veterans of America, 1976-77

ARRIVED AT OSD: 5 October 1979

NAME: David W. Ream

POSITION: Attorney-Advisor, Office of the Assistant General Counsel, (Manpower, Health & Public Affairs)

DATE OF BIRTH: March 27, 1936

MARITAL STATUS: Married

UNIVERSITIES AND YEAR OF DEGREES:

University of California, B.A. 1959
University of California, LL.B. 1962
George Washington University, LL.M. 1972

BAR MEMBERSHIP AND YEAR:

California - 1963

MILITARY EXPERIENCE AND RESERVE STATUS:

U.S. Army 1963 - 73
Active Reserve - Present

PROFESSIONAL EXPERIENCE:

Attorney, Office of General Counsel, Electronics Command Ft. Mommouth, N.J., 1964-65
Assistant to Judge Advocate Military Mission to Iran, 1965-67
Vietnam, 1967-68
Hq. D/Army Office of Judge Advocate General Procurement Law Div., 1968-70 and 1971-73;
Chief, Logistics and Contract Law, 1972-73

ARRIVED AT OSD: 4 September 1973

NAME: Dennis H. Trosch

POSITION: Assistant General Counsel (Logistics)

DATE OF BIRTH: 30 December 1934

MARITAL STATUS: Married

UNIVERSITIES AND YEAR OF DEGREES:

University of Wisconsin, B.S. 1956
University of Wisconsin, J.D. 1959

BAR MEMBERSHIP AND YEAR:

Wisconsin - 1959
District of Columbia - 1968

MILITARY EXPERIENCE AND RESERVE STATUS:

None

PROFESSIONAL EXPERIENCE:

Office of the General Counsel, Department of the Navy 1959-74

ARRIVED AT OSD: 8 December 1974

NAME: Gurden E. Drake

POSITION: Attorney-Advisor, Office of the Assistant General Counsel (Logistics)

DATE OF BIRTH: 26 December 1943

MARITAL STATUS: Single

UNIVERSITIES AND YEAR OF DEGREES:

University of Virginia, B.A. 1965
University of Virginia, LL.B. (J.D.) 1968

BAR MEMBERSHIP AND YEAR:

New York - 1968

MILITARY EXPERIENCE AND RESERVE STATUS:

U.S. Army (JAGC), Capt. - 1969-73
Reserve Status - Inactive Reserve

PROFESSIONAL EXPERIENCE:

Associate, Battle, Fowler, Stokes & Kheel, New York, N.Y., 1968-69
Captain, USAR (JAGC), 1969-73
Attorney-Advisor, Defense Nuclear Agency 1973-74

ARRIVED AT OSD: 15 December 1974

NAME: Michael A. Monts

POSITION: Attorney-Advisor, Office of the Assistant General Counsel (Logistics)

DATE OF BIRTH: March 24, 1951

MARITAL STATUS: Married

UNIVERSITIES AND YEAR OF DEGREES:

Northwestern University, B.A. 1973
University of Illinois, J.D. 1976

BAR MEMBERSHIP AND YEAR:

Illinois - 1976
District of Columbia - 1980

MILITARY EXPERIENCE AND RESERVE STATUS:

None

PROFESSIONAL EXPERIENCE:

Office of General Counsel, Department of the Navy, 1976-80

ARRIVED AT OSD: May, 1980

NAME: Karen L. Richardson

POSITION: Attorney-Advisor, Office of the Assistant General Counsel (Logistics)

DATE OF BIRTH: September 15, 1950

MARITAL STATUS: Single

UNIVERSITIES AND YEAR OF DEGREES:

William and Mary, B.A. 1972
American University Law, J.D. 1978
George Washington University, LL.M. Candidate, currently enrolled

BAR MEMBERSHIP AND YEAR:

Virginia - 1979
U.S. Court of Claims - 1980

MILITARY EXPERIENCE AND RESERVE STATUS:

None

PROFESSIONAL EXPERIENCE:

Office of Counsel, Defense Logistics Agency, 1978-80

ARRIVED AT OSD: 10 November 1980

NAME: George R. Schlossberg

POSITION: Attorney-Advisor, Office of the Assistant General Counsel (Logistics)

DATE OF BIRTH: March 3, 1952

MARITAL STATUS: Married

UNIVERSITIES AND YEAR OF DEGREES:

State University of New York at Stony Brook, B.S. 1973
New England School of Law, J.D. 1976
New York University School of Law, LL.M. Cand.
2 Yrs. (evenings)

BAR MEMBERSHIP AND YEAR:

New York - 1977
Federal Bar: Southern District - New York - 1977
Eastern District - New York - 1977

MILITARY EXPERIENCE AND RESERVE STATUS:

None

PROFESSIONAL EXPERIENCE:

Associate, Frank, Frank, Burger & Goldstein, 1976-77
Counsel, Donny Securities Ltd. 1977-78
Office of General Counsel, Department of the Navy 1978-80.

ARRIVED AT OSD: 24 March 1980

NAME: Manuel Briskin

POSITION: Assistant General Counsel (Fiscal Matters)

DATE OF BIRTH: January 27, 1936

MARITAL STATUS: Married

UNIVERSITIES AND YEAR OF DEGREES:

Cornell University, B.S. 1957
Cornell University, LL.B. (J.D.) 1959

BAR MEMBERSHIP AND YEAR:

New York - 1960

MILITARY EXPERIENCE AND RESERVE STATUS:

Captain MPC USAR (Reserve obligation completed)

PROFESSIONAL EXPERIENCE:

Office of General Counsel, Department of the Navy, 1960-65

ARRIVED AT OSD: 18 November 1968

NAME: Tom G. Morgan

POSITION: Attorney-Advisor, Office of the Assistant General Counsel (Fiscal Matters)

DATE OF BIRTH: July 26, 1944

MARITAL STATUS: Married

UNIVERSITIES AND YEAR OF DEGREES:

Cornell University, B.A. 1966
Albany Law School, J.D. 1969
George Washington University, LL.M. 1974

BAR MEMBERSHIP AND YEAR:

New York - 1969
District of Columbia - 1975

MILITARY EXPERIENCE AND RESERVE STATUS:

Active Duty, Army JAG, 1970-75
Army Reserve

PROFESSIONAL EXPERIENCE:

Associate, Richard C. Johnson, Albany, New York, 1969-70
Army JAGC, 1970-74
Associate, Neil B. Kabatchnick, 1975-76

ARRIVED AT OSD: 29 September 1976

NAME: Karen M. Yannello

POSITION: Attorney-Advisor, Office of the Assistant General Counsel (Fiscal Matters)

DATE OF BIRTH: May 8, 1952

MARITAL STATUS: Single

UNIVERSITIES AND YEAR OF DEGREES:

College of William & Mary, B.S. 1974
University of Virginia, J.D. 1977

BAR MEMBERSHIP AND YEAR:

Virginia - 1977
District of Columbia - 1979

MILITARY EXPERIENCE AND RESERVE STATUS:

None

PROFESSIONAL EXPERIENCE:

Michie/Bobbs Merrill Law Publishing Co., 1977-79
Law Editor, 1977-79
Senior Editor, April, 1979 - December, 1979

ARRIVED AT OSD: 2 January 1980

NAME: Werner Windus

POSITION: Director, Legislative Reference Service

DATE OF BIRTH: 24 February 1919

MARITAL STATUS: Married

UNIVERSITIES AND YEAR OF DEGREES:

Johns Hopkins University, B.A. 1940
University of Maryland, LL.B. 1949
Georgetown University, LL.M. 1966

BAR MEMBERSHIP AND YEAR:

Maryland - 1949
District of Columbia - 1950

MILITARY EXPERIENCE AND RESERVE STATUS:

U.S. Navy (Active Duty) 1942-1946, General Line
1951-1967, JAG Corps
Present Status: Commander, JAGC (Ret.)

PROFESSIONAL EXPERIENCE:

Associate, Penniman, Adkins and Caldwell Attorneys, Baltimore, MD, 1941-42
Office of General Counsel, Chief of Ordnance, Department of the Army, 1950-51
Cable, McDaniel, Bowie and Bond Attorneys, Baltimore, MD, 1967-68
Office, Chief Legislative Affairs, Department of the Navy, 1968-73

ARRIVED AT OSD: November, 1973

7

ASSOCIATE GENERAL COUNSEL FOR INTELLIGENCE, INTERNATIONAL AND INVESTIGATIVE PROGRAMS

The Associate General Counsel for Intelligence, International, and Investigative Programs provides legal services to Department of Defense components that have programs outside the United States and to Department of Defense components that are involved in collecting, producing and disseminating intelligence. The principal clients of the office are the Under Secretary of Defense for Policy, the Assistant Secretary of Defense (International Security Affairs), the Director of the Defense Security Assistance Agency, and the Inspector General for Defense Intelligence. Other clients of this office include the Director of International Programs of the Office of the Under Secretary of Defense for Research and Engineering and the Director of International Logistics of the Office of the Assistant Secretary of Defense (Manpower, Reserve Affairs and Logistics).

This office provides legal support for the representatives of the Department of Defense who conduct international negotiations for the Department or who represent the Department in negotiations conducted by the Department of State or other Executive Branch agencies. This office is also responsible for the legal opinions and interpretations required in implementing international agreements and arrangements involving the Department of Defense and in conducting the mission of the Department of Defense outside the United States. In addition, this Office is responsible for maintaining the central Department of Defense repository of international agreements under DoD Directive 5530.3; for monitoring implementation of the Department of Defense Foreign Tax Relief Program under DoD Directive 5100.64; and for administering the criminal jurisdiction provisions of Status of Forces Agreements under DoD 5525.1.

This office reviews intelligence activities that raise questions of legality or propriety, advises on the need for judicial warrants for the use of certain investigative and intelligence techniques, participates in the formulation of policy guidance and organizational changes with respect to DoD intelligence components, and assists in representing the Department on interagency groups that consider the legal framework within which intelligence components operate.

This office has management responsibility and provides legal services for the Defense Investigative Service.

H.R. 7893 passed the House on November 17, 1980 by voice vote and was referred to the Senate Governmental Affairs Committee for consideration. The Senate held hearings on S.3025. Those hearings were postponed indefinitely prior to participation by DoD.

PENDING OGC ACTION: To closely monitor any attempt to have this bill pass, or to attach the bill as a rider to another bill. OSD, the Services and the Defense Agencies are unanimous in opposing this bill. Our opposition has been clearly and repeatedly stressed to the Congress and OMB. Section 8(b)(1) of the 1978 requires the Secretary of Defense to submit, not later than March 31, 1981, proposed legislation to establish appropriate reporting procedures after the semiannual requirement expires on October 1, 1982. OGC has the action on submitting that legislation -- OSD/Comptroller has been asked to develop the necessary reporting procedures.

ROSSI v. BROWN

In 1968 the United States and the Republic of the Philippines entered into a binding executive agreement ("Base Labor Agreement"). A provision of the Agreement was that in exchange for allowing the United States to maintain certain military bases on sovereign Philippine soil, the United States military forces would give preference over United States citizens to Filipino citizens in meeting local employment needs.

In accordance with the Base Labor Agreement, in March 1968, certain American citizens employed at the United States Naval Station, Subic Bay, Philippines, were removed from their jobs and replaced by Filipino citizens.

On December 13, 1978, plaintiffs filed a complaint in the U.S. District Court, seeking injunctive relief and back pay, challenging as illegal the employment practice of giving preference to Philippine nationals in hiring at the United States Naval Station, Subic Bay, the Philippines. Plaintiffs alleged that the preferential hiring mandate of the Base Labor Agreement was violative of Section 106 of Pub. L. 92-129, 5 U.S.C. 7151 note, which provides, in part:

> Unless prohibited by treaty, no person shall be discriminated against by the Department of Defense or by any officer or employee thereof, in the employment of civilian personnel at any facility or installation operated by the Department of Defense in any foreign country because such person is a citizen of the United States or is a dependent of a member of the Armed Forces of the United States.

Subsequently, the parties filed cross-motions for partial summary judgment. On April 5, 1979, Judge Thomas A. Flannery entered a final order dismissing plaintiffs' claim. The Court of Appeals for the District of Columbia overturned the decision of the District Court on September 15, 1980. On October 29, 1980, the United States Attorney filed a Petition for Rehearing and Suggestion for Rehearing En Banc with the United States Court of Appeals for the District of Columbia Circuit.

Base Rights Agreements - Interpretative Statements

In Senate Report 96-931 on the Military Construction Bill, 1981, the Senate Committee on Appropriations requests that each country-to-country agreement submitted to the Committee include a "legal interpretation of the nature of the consultation required . . . in order for the United States to have access to and use of facilities which it has constructed or upgraded." For those country-to-country agreements which were submitted to the Committee prior to the issuance of the Report, the Committee requested the legal interpretation by November 15, 1980. ISA has delivered to the Committee interpretative statements prepared by the Legal Advisor's Office, Department of State, for Kenya, Somalia, Oman, and Diego Garcia. The requirement for interpretative statements is a continuing one.

"GRAYMAIL LEGISLATION"
(CLASSIFIED INFORMATION PROCEDURES ACT - P.L. 96-456)

BACKGROUND: This legislative initiative was developed in response to difficulties which the Executive and Judicial branches of the government have faced whenever classified information is at issue in a trial. The Executive Branch has been frequently faced with a "disclose or dismiss" dilemma, which meant that rather than risk disclosing classified information at time of trial, the government would refrain from prosecuting lawbreakers. The term "graymail" refers to the situation where defendants and their counsel press for the release of classified information, knowing that the threat of disclosure of such sensitive information might force the government to drop the prosecution. This Act details the procedures to be followed in federal criminal trials in order to better protect national security secrets and yet insure the defendant's right to a fair trial. As finally drafted, the Act received the support of the Administration, the Congress, the ACLU, the American Bar Association, and the Association of Former Intelligence Officers.

STATUS: The Act became law on October 15, 1980, and is applicable to any prosecution in which an indictment or, information was filed after that date.

PENDING OGC ACTION: Section 9(a) of this Act requires that the Chief Justice of the Supreme Court, in consultation with the Director of Central Intelligence, the Secretary of Defense, and the Attorney General, promulgate security procedures to protect any classified information in the custody of federal courts against unauthorized disclosure. Those rules are to be prescribed by February 12, 1981. Also, Section 12(a) requires the Attorney General to issue guidelines specifying the factors that Justice will use in deciding whether to prosecute a case where there is a possibility that classified information may be revealed. Those guidelines are required by April 13, 1981. OGC will need to closely monitor both actions to insure that DoD interests are protected -- in fact, we are already actively involved in the working group which is developing the security procedures.

Law of the Sea (U)

Panama Canal Treaty Implementation: Civilian Components Status Relative to DoD Dependents School Transferred to the Department of Energy under SOFA (U)

Law of War (U)

MICRONESIAN STATUS NEGOTIATIONS

Negotiations have been ongoing for eleven years with the local governments of the Marshall Islands, Palau and the Federated States of Micronesia, which collectively make up the Pacific Trust Territory. A Compact of Free Association was initialed by Ambassador Peter Rosenblatt with each of the governments in November of this year. The Compact provides for continued U.S. defense responsiblity for that area but otherwise grants substantially full sovereignty to the three island nations. The full U.S. Congress must now approve the Compact, including its economic development payments averaging $125 million a year for a 15 year period.

DEPARTMENT OF DEFENSE PROGRAMS TO PREVENT AND DETECT FRAUD AND WASTE IN GOVERNMENT OPERATIONS

I. INTRODUCTION

In response to the President's request of December 13, 1978 for a comprehensive plan for combatting fraud and waste in government programs, the Department of Defense submitted a Report to the President on January 31, 1979. Part I of the report details the audit, inspection and investigative units within DoD, including their purpose and staffing levels. Part II sets forth the specific activities of each of these components. Part II also recommends specific DoD projects and goals. Part III of the report contains recommendations for government-wide actions.

To supervise and direct department activities and to restructure the Department's fraud and waste investigative activities, the Secretary of Defense established the Steering Group for Oversight of Defense activities. The Deputy Secretary oversees the Group's activities. The Under Secretary (Policy) chairs the Groups' meetings.

Eleven projects designed to deal with a wide spectrum of fraud and waste issues were initiated by the Steering Group. In addition, a number of ancillary efforts were undertaken to examine situations perceived to need immediate attention. Two supplementary Reports to the President were submitted on August 24, 1979 and May 15, 1980 to provide an update on the various projects and the Steering Group has continued to meet on a monthly basis to ensure high level oversight of these efforts.

II. BACKGROUND

Any matter that concerns fraud or waste in the Department of Defense is the responsibility of the DoD Steering Group for Oversight of Defense Activities. The group includes the Assistant Secretary of Defense (Comptroller), the General Counsel, the Under Secretaries of the three military departments, the Deputy Assistant Secretary of Defense (Public Affairs) and the Deputy Under Secretary of Defense (Research and Engineering) for Acquisition Policy. In the beginning, the group met as frequently as weekly to establish a fraud and waste program within DoD and to direct preparation of the initial Report to the President. Subsequently, the Steering Group has met approximately every four weeks to oversee implementation of the DoD program.

In order to assist the Steering Group in preparing the first Report to the President, a Working Group was established,

composed of single representatives from the three military departments, a representative from the Office of the Assistant Secretary of Defense (Comptroller) and a member of the General Counsel's staff, who has served as Chairman. Members were responsible for obtaining all required statistical and organizational information needed for the report from the many different contributors within their respective departments. The Working Group reviewed and reworked these inputs to produce a draft report which, in turn, was reviewed carefully and amended by the Steering Group to produce the first Report to the President.

Thereafter, the substantive work of organizating departmental resources to attain the announced goals and objectives of reducing fruad and waste was undertaken. The Steering Group approved a management program which established individual project teams to study, refine and initiate execution of project plans drawn up by the Working Group. These project plans were based upon the goals and objectives outlined in the Report to the President. Each plan set forth one or more specific objectives and a timetable, established a project team and outlined the team's expected product. Products range from feasibility studies to new departmental regulations, all designed to have a practical application to improve operations with the Department. Members of project teams were picked for their skills and backgrounds to make available to individual projects the complete range of expertise and knowledge required to produce a quality product. For this reason, project teams varied in size depending upon the types of skills needed to produce a desired result. The projects themselves were designed to produce programs that would have applicability throughout the Department of Defense.

The project team concept has allowed application of the specific skills needed to solve a specific problem without overextending organizational resources. Project team members have been expected to work only part time on their project freeing them to continue their regular departmental duties. Project team leaders met periodically as a group with the Working Group to ensure that their projects were progressing satisforily, in a coordinated fashion and in line with the objectives set by the Steering Group. Regular written reports were furnished to the Steering Group which has provided overall management guidance. The results to date are outlined below.

III. PROJECTS

PROJECT A - Definition

This project was set up to develop definitions for the terms "fraud" and "waste" to ensure that DoD efforts would be

similarly focused and to make use of similar data bases for all projects undertaken. The final report of this project team adopted a functional approach by establishing four cateoories of fraudulent or wasteful activity and defining related terms. This report is set out in its entirety in Appendix B of the Supplemental Report to the President, "Department of Defense Programs to Prevent and Detect Fraud and Waste in Government Operations" dated August 24, 1979.

PROJECT B- Fraud Prevention Surveys

This project was undertaken to develop and initiate a pilot program of fraud prevention surveys to be conducted by interdisciplinary teams of auditors and investigators. The exchange of ideas, techniques and skills inherent in this approach is designed to help ensure a comprehensive analysis of actual and potential sources of fraud and waste within the surveyed organizations. Pilot surveys were conducted at three procurement centers and one finance center. The analysis of the four pilot survey reports disclosed that improvements in the reporting methods were needed to provide management officials some specific indication of the relative significance of the conditions disclosed by the surveys. Based on this analysis, departmental policy guidance is being drafted to provide for coordination of the various review and survey efforts conducted within each military department and defense agency and ensure succinct reporting of significant results.

PROJECT C- Prosecution Followup

The purpose of this project was to develop a system to monitor the progress of Department of Defense investigations referred to other agencies for further investigation or prosecution. The Project Team developed a reporting format for an automated system to be used by the military departments and defense agency components with investigative responsibilities. In addition, the information to be contained in this format is designed to satisfy the reporting requirements of the Department of Justice White Collar Crime Referral Form and the Inspector General Act of 1978. That Act requires, in part, that each executive department report significant cases referred for prosecution. Each defense department component currently maintains statistical information on every case that it investigates or refers outside of the department for investigation or prosecution. This data would have to be put into the automated system.

The Air Force was appointed Executive Agent for the Defense Department and has undertaken to prepare a text of the computer software program containing the reporting format developed by the project team. After a six month "debugging" period, the system will be used by the three military services.

PROJECT D - Property Accountability

As of January 1, 1979, the Army implemented new procedures utilizing more easily applied criteria for establishing accountability by service members for loss of or damage to government property. Between mid-1979 and mid-1978, the Army sustained a loss of property estimated at $118.5 million from an inventory of $12.5 billion. Proponents of the system claim it will deter negligent property loss as well as provide a means to recoup some of the losses sustained from negligence. A parallel program was approved for test in the Air Force recently and consideration is being given to doing the same for the Navy.

PROJECT E - Planning

This project was proposed to develop and implement a program emphasizing fraud and waste issues throughout the Department of Defense planning process. A group of Service representatives, chaired by the Assistant Secretary of the Air Force (Financial Management) was established to define more particularly the goals of the proposed project and report upon its feasibility. After receiving the report of the Assistant Secretary, the Chairman of the Steering Group on Oversight of Defense Activities concluded that increased planning could most effectively be accomplished within the current system of overall audit planning through the maximum application and utilization of existing policies and organizational structure. As a result, the Assistant Secretary of Defense (Comptroller) undertook to instruct Department of Defense audit organizations to assess the effectiveness of their planning functions and improve them where necessary.

PROJECT F - Improved Followup System

A project team was established to strengthen and improve DoD component followup systems for monitoring, tracking and reporting on management actions to correct reported deficiencies concerning fraud and waste and to implement recommendations made by audit, inspection, internal review and investigative organizations.

The project team produced a Department of Defense Directive which provides:

- the establishment of central focal points for followup at each management level;

- the designation of high level officials in DoD components to resolve differences between managers and audit, inspection, internal review and investigative organizations;

- that formal records be maintained of management actions;

- that semi-annual status reports on followup actions will be prepared and provided to top managers; and

- that the audit, inspecton and review agencies evaluate such status reports to determine whether corrective actions taken were responsive and adequate.

PROJECT G - Improved Coordination

This project was formed to study the effectiveness of coordination among the audit, inspection and investigative offices of OSD and the Service departments. The project team's final report concluded that additional formal mechanisms for coordinating the various audit, inspection and investigative offices with the Department of Defense were not necessary. The final report is set out in its entirety in Appendix B of the Supplemental Report to the President, "Department of Defense Programs to Prevent and Detect Fraud and Waste in Government Operations" dated August 24, 1979.

PROJECT H - Management Education

As originally proposed, the project was to develop and implement a pilot program of management education on fraud issues to be utilized by the Office of the Secretary of Defense. The purpose was to improve awareness and sensitivity for issues regarding fraud and waste. The project was to be evaluated for possible implementation throughout the Department of Defense. After analyzing the preliminary work of the project team, the Steering Group determined that there is currently a high state of awareness of fraud and waste issues and that the proposed course would be an uneconomical use of management time. As a result the project was terminated.

PROJECT I - Training Improvements

The Department of Defense has undertaken to improve the effectiveness of training for its auditors, inspectors and investigators engaged in combatting fraud and waste. A comprehensive review of all current training was accomplished and recommendations for improving particular aspects of that training are now being implemented.

PROJECT J - Management Information System

This project was designed to develop and implement a pilot management information system (MIS) to track the status of audit, internal review, inspection, investigation, prosecution and administrative recommendations and actions relating to fraud and waste within the entire Department of Defense. Instead of investing the time and funds in the development of a new management information system to be imposed throughout the Department, existing systems within the Department of the Air Force were evaluated and improved. Lessons learned were then applied to the fraud and

waste activities in the other Services and OSD agencies. Each of these organizations had existing systems that were either adequate or could be made adequate with changes. Appropriate improvement actions have been identified and are being pursued in these organizations.

PROJECT K - External Review of Audit

This project originally contemplated formation of an Advisory Committee under the Federal Advisory Committee Act (Public Law 92-363) comprised of managers from major audit firms, from corporations doing work similar to parts of the Department of Defense, and from academic institutions. The Advisory Committee was expected to perform a one-time review of the size of the DoD audit force, and to determine whether DoD audit techniques are adequate for current needs. After careful considerations, the Steering Group decided that these issues were more properly the responsibility of the Task Force on Evaluation of Audit, Inspection and Investigative Components of the Department of Defense which had been established under Public Law 95-452 (Inspector General Act of 1978) and did not implement this project.

PROJECT L - Contracting for Audit Services

This project was established to explore the possibilities of increased use of commercial audit firms by DoD components in lieu of increased staffing of the internal audit organizations. This review was performed in the Army, Navy, Air Force and Office of the Deputy Assistant Secretary of Defense (Audit).

The project report concluded that commercial audits of appropriated fund activities are not cost-effective, efficient or in the best interests of sound management.

In the case of audits of nonappropriated fund activities, the project team concluded that financially oriented audits, as presently conducted, are satisfactory due to the considerable experience with these types of audits possessed by private commercial firms.

Based upon these findings, the Steering Group on Oversight of Defense Activities decided to continue with the present system of limiting commercial audits to financial audits of nonappropriated fund instrumentalities in all but special circumstances approved in advance by the Assistant Secretary of Defense (Comptroller).

PROJECT M - Contractor Accountability for Government Equipment.

A study was made of the adequacy of the present system for accounting for the approximately $4.2 billion of government-owned equipment being used by contractors. The study results now being implemented are designed to reduce the inventory of such equipment held by contractors, reduce the cost of record keeping for both government and industry, and improve the timeliness and accuracy of the overall record keeping system.

IV. ANCILLARY PROJECTS

Prevention of Computer Fraud

A Department of Defense study was completed in mid-1979 which recommended that DoD take the lead in government and industry in developing methods to prevent computer fraud. Accelerated funding was approved for research and development and advanced systems to prevent unauthorized access to specific information in DoD computers are already undergoing tests.

General Accounting Office Hotline Assistance

In early 1979, the General Accounting Office (GAO) established a "fraud hotline" whereby the public could telephone GAO using toll-free number to report suspected instances of fraud and waste in any executive department of the government. Each executive department set up a point of contact who receives case referrals from the GAO Fraud Task Force which administers the program. Within the Department of Defense, the Defense Investigative Service (DIS) is designated the single point of contact for GAO referrals. Each of the military departments has also designated points of contact for accepting referrals from DIS. All referrals are designed a "due date" and a monthly report of all cases received and processed is prepared.

Department of Defense Hotline

On April 2, 1979, the Department of Defense established a toll-free telephone hotline program of its own to aid in uncovering fraudulent and wasteful practices. The toll-free telephone number is for use by DoD employees and military service members in reporting fraudulent or wasteful practices.

INSPECTOR GENERAL ACT AMENDMENTS OF 1980
(H.R. 7893)

BACKGROUND: In the Summer of 1978, the Congress enacted the Inspector General Act of 1978 (P.L. 95-452), consolidating control over and it, investigative and inspection resources under newly created offices of the Inspector General in 12 Executive Branch Departments and Agencies. After hearing the Defense Department's strong objections to the creation of an IG for DoD, Congress determined that it needed additional information before deciding whether the IG concept was appropriate and/or necessary for DoD. Congress directed that the Secretary of Defense establish a task force to study the audit, investigation and inspection components of DoD engaged in the prevention and detection of fraud, waste and abuse. In addition, the Congress required DoD to submit a semiannual report on audit, inspection and investigation functions. The Task Force reported its findings in May 1980, recommending against the creation of an IG for DoD, but recommending that a senior staff officer assist the Secretary of Defense in monitoring the economy, efficiency and effectiveness of this Department.

STATUS: Despite the Task Force recommendations, Rep. Jack Brooks, Chairman of the House Government Operations Committee introduced a bill, H.R. 7893, which would amend the 1978 IG Act to create IG's for DoD, Justice, Treasury and the International Development Cooperation Agency. Sen. Eagleton, Chairman of the Subcommittee on Governmental Efficiency and the District of Columbia, Senate Governmental Affairs Committee, introduced a similar bill, S.3025. House hearings were held and the Deputy Secretary of Defense, Graham Claytor, expressed DoD's continued opposition to such an IG on August 27, 1980. In addition to pointing out that the IG Task Force had recommended against a statutory IG for DoD, Mr. Claytor testified that establishment of a centralized statutory DoD Inspector General with independent authority would result in an unprecedented alteration of management responsibilities for national defense affairs. He also cited the attendant disruption of the civil-military chain of command; undermining of the authority of the Secretary of Defense and the Military Service Secretaries; and interference with the operation of DoD intelligence functions and the military justice system, as reasons to reject the proposal.

As an alternative to a statutory IG, the Deputy Secretary told the House Government Operations Subcommittee that DoD was studying various possibilities, including the appointment of an officer reporting directly to the Secretary of Defense. In this regard, IG responsibilities could be given to an existing DoD official, a new Under Secretary (as the IG Task Force recommended), a new Assistant Secretary, or a new Deputy Under Secretary.

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ASSISTANT GENERAL COUNSEL FOR MANPOWER, HEALTH AND PUBLIC AFFAIRS

The Assistant General Counsel for Manpower, Health and Public Affairs provides advice on legal and legislative matters involving Department of Defense policy in the fields of civilian and military manpower, health and medical affairs and public affairs. The principal clients of this office are the Assistant Secretary of Defense (Manpower, Reserve Affairs & Logistics) with respect to manpower and reserve affairs; the Assistant Secretary of Defense (Health Affairs); the Assistant Secretary of Defense (Public Affairs); and the Washington Headquarters Services with respect to personnel matters. In addition, this office is the focal point for legal issues arising in the areas of standards of conduct, the Freedom of Information Act, the Privacy Act, the Uniform Code of Military Justice, security policy, and the application of the Administrative Procedures Act to the Department of Defense.

The services of this office include oral and written legal opinions; drafting and evaluating the legal sufficiency of directives, memoranda, and communications emanating from the various offices served; analysis and evaluation of bills introduced in the Congress; the initiation, drafting, analysis, approval, and supervision of proposed legislation in the subject areas of responsibility; and providing assistance to the Department of Justice in litigating major cases involving policy issues of significance to the Department of Defense.

Amendment of the Uniform Code of Military Justice

The Joint Service Committee on Military Justice (an inter-service group comprised of Army, Navy, Marine Corps, Air Force, and Coast Guard attorneys) has addressed a number of substantive and procedural problems occasioned by current provisions of the Uniform Code of Military Justice and recommended various changes to the military justice system. The recommendation was reviewed by this office and, after minor changes were made, was forwarded to OMB for approval. OMB approved the bill entitled the "Military Justice Amendments of 1979," and it was introduced in the 96th Congress as H.R. 3805. The legislation is designed to streamline the court-martial trial system, enhance the quality of military justice, and align military justice practice more closely to that of the civilian courts. The present requirement that the convening authority make certain legal and factual determinations prior to referring a case to trial would be eliminated. Instead, the staff judge advocate would advise the convening authority prior to referral that there is sufficient evidence to support the charges and that there is jurisdiction over the accused and the offense. With respect to post-trial proceedings, the proposal would eliminate the requirement that the convening authority conduct a legal review of matters that are subsequently reviewed by military appellate courts. The convening authority would no longer be required to make complex legal judgments about the sufficiency of the findings. The convening authority's post-trial responsibility would be limited to acting on the sentence and taking whatever clemency action is deemed appropriate. In

conjunction with this proposal, the requirement for an elaborate post-trial review by the staff judge advocate would be eliminated. The proposal also modifies appellate procedures to enhance the rights of the accused by providing the Judge Advocates General with the authority to modify or set aside sentences in cases within their appellate jurisdiction as a matter of clemency.

No hearings were held on the legislation during the 96th Congress.

Revision of the Manual for Courts-Martial

The Office of Assistant General Counsel/MH&PA and the Judge Advocates General formed a committee in 1978 to revise the rules of evidence contained in the Manual for Courts-Martial to comport with the new Federal Rules of Evidence. This ambitious project involved a detailed examination of the Federal Rules to determine their applicability to military law, along with the development of rules to cover areas avoided by the Federal Rules including self-incrimination, search and seizure, eyewitness identification, and privileges. The result was a major revision of the evidentiary portion of the Manual, which was approved by the President in 1979. The new rules provide one of the most complete codes of evidence in the nation.

The evidence project demonstrated the need for a more comprehensive revision of the procedural aspects of the Manual to incorporate the numerous developments in federal criminal law since 1969 and to separate, more clearly, binding rules from non-binding commentary.

This office initiated a project in 1980 to completely revise the Manual. The project will substantially improve its utility and will enhance the reputation of the military justice system in the field of criminal law. The initial drafting has been assigned to the Joint Services Committee on Military Justice.

As rules are drafted by the Committee, they will be forwarded to this office for informal review at ten week intervals. The Committee has established a two-year time-table for completion of the draft and forwarding a revised Manual to this office for formal review. After internal DoD approval, the proposed Manual

will be published in the Federal Register for comment. After comments are received and analyzed, the proposal will be forwarded to the President through OMB for signature.

Revision of DoD Directives

Implementation of the Ethics in Government Act of 1978, Public Law No. 95-52, within the Department of Defense, is primarily the responsibility of the Office of General Counsel. The Assistant General Counsel/MH&PA is the action agent for the actual performance of this function. Two DoD Directives which were originally prepared by us and for which AGC/MH&PA has continuing oversight provide detailed rules to be observed by all DoD components. These issuances are cited below.

a. DoD Directive 5500.7, subject: "Standards of Conduct." This issuance provides specific guidance and is the basis for regulations promulgated by DoD components. Extensive revision of the Directive is needed as a result of new developments and, accordingly, a revised version has been circulated for coordination and comments received are being reviewed in preparation of a final version. It is necessary to revise the Directive periodically as experience with new procedures is gained and guidance is issued by the Office of Government Ethics, a subdivison of the Justice Department, the General Accounting Office and other responsible agencies. Reissuance requires observance of customary rule-making formalities. Thereafter, implementing component regulations must be reviewed and approved before promulgation.

b. DoD Directive 5500.2, subject: "Politics Governing Participation of Department of Defense Components and Personnel in Activities of Private Associations." This Directive is also currently being revised. The proposed redraft has been published

in the Federal Register and resulting comments have been reviewed. There are still several areas that remain to be resolved and these matters have been the subject of recent discussions to facilitate final decisions to be taken in the near future.

Individual Counseling

As an incident of the general responsibility of OAGC/MH&PA for supervision of the overall standards of conduct program within OSD and OJCS, it is frequently necessary to hold personal counseling sessions with present, prospective and former employees and officials to address specific questions. Sometimes it is necessary to prepare written opinions because of complications in the basic law and implementing regulations as those authorities are applied to the particular circumstances of individual cases. In addition, questions raised by prospective employers of departing officials and employees call for separate responses. In many instances, the unique peculiarities of individual situations require personal attention if problems are to be avoided.

Advice on FOIA Requests

The Department of Defense receives a continuing volume of requests from the public for release of information under the Freedom of Information Act, 5 USC §552. Requests for release of information from OSD sources are usually processed by the Freedom of Information Office in OASD/Public Affairs. That office, in turn, looks to OAGC/MH&PA for advice about the applicability of the Freedom of Information Act and the Privacy Act, 5 USC §552a, to these requests. This advice includes the detailed review of the materials in question, interpretation of the two Acts, conferences with the component that originated the materials, and in some instances, the preparation of formal opinions. The efforts of OAGC/MH&PA are directed toward insuring compliance with the Acts and thus, obviating burdensome litigation while simultaneously protecting OSD interests within the limits of the law.

Advice is also furnished on broader issues involving the two Acts in the formulation of general policy. For example, the AGC/MH&PA was asked to consider whether the Secretary of Defense has authority to prescribe guidance to the Military Departments with respect to their detailed implementation of the Freedom of Information Act.

Reform of the Freedom of Information Act

Problems encountered in the administration of the Freedom of Information Act, 5 USC §552, prompted OAGC/MH&PA to prepare a comprehensive proposal for legislative reform of the Act. The proposal was submitted to eighty agencies of the Government for review and comment. Upon receipt of these comments, the proposal was revised to reflect those of the comments that were considered to be meritorious. The proposal was forwarded to the Attorney General for inclusion in a package prepared by the Carter Administration for submission to Congress after completion of the required clearance process. However, that package has not been cleared and, therefore, nothing is pending before Congress.

The proposal consisted of two parts. The first dealt with problems and proposed changes related to the general provisions of the Act. The second part addressed problems in the Act's exemption sections.

Nine suggestions were made for amendment of the general provisions. These changes were intended to correct abuses that were not foreseen when the Act was adopted. They would limit the indexing requirement, restrict use of the Act by parties who bring actions against the Government, limit access to settlement documents, provide for obtaining litigation assistance from private parties in the defense of certain suits against the Government, authorize making records available through alternate distribution systems, control voluminous requests, require exhaustion of administration remedies, limit requirements for segregation of exempt from nonexempt materials, restrict access

to Government documents sought for their commercial value, and eliminate use of the Act by foreign nations.

The suggestions made for revision of the exemption provisions of the Act were designed to clarify the intent of Congress, reduce litigation, and simplify administration of the Act. These suggestions would remedy the inadequacy of the provision of the Act protecting confidential agency procedures, the ambiguity of the provisions with respect to protection of commercial information, the inability to protect exchanges of records with other levels and branches of the Government, the difficulty of withholding personnel lists, and the lack of protection for technical data that may not be exported under the Export Administration Act, 50 App. USC §2402, and the Arms Export Control Act, 22 USC §2778. ~~All of the suggestions were designed to effect only~~ administrative improvements in the Act so that appropriate use by the public can be fostered while abuses of the Act, not intended by Congress, can be eliminated.

Resolution of Missing in Action Cases

After the conclusion of hostilities in Southeast Asia in 1973 and the subsequent final repatriation of American prisoners of war, more than 1300 United States service members were classified as missing-in-action. The returning prisoners of war were unable to provide any information about these cases and the assistance provided by the North Vietnamese was very limited.

When diplomatic initiatives and special investigations conducted by both the Defense Department and Congress failed to disclose any further information, the Secretaries of the Military Departments, acting under the authority of the Missing Persons Act, 37 USC §551-§558, commenced administrative proceedings to review each case individually to evaluate the propriety of changing the status of these missing members to deceased. Such action has the effect of terminating continued entitlement to military pay and allowances. To prevent this official action, the next-of-kin of certain missing members challenged the constitutionality of the Act in a class action. The validity of the Act was upheld in the federal courts, subject to a requirement for granting next-of-kin the right to participate in status determination hearings.

Some of the next-of-kin then launched a major effort to prevent or delay indefinitely the status reviews by the Secretaries through the initiation of more than 300 requests for information under the Freedom of Information Act, 5 USC §552. They sought information first from case files and thereafter from the mass of "uncorrelated data" maintained in service files on missing-in-action cases in general. After these requests for information were resolved, the administrative review process continued with

the holding of hearings open to the next-of-kin. Each hearing was followed by a decision of the Military Department Secretary concerned to continue the missing-in-action status or to change the serviceman's status to deceased.

As a result of the tremendous effort to process these numerous requests for information and to combat next-of-kin resistance to status changes, by mid-November of 1980, only three missing-in-action cases remained before the courts and fourteen cases awaited completion of administrative processing by the military departments.

Review of Administrative Discharge Policies

Department of Defense Directive 1332.14 generally prescribes policy for the issuance of administrative discharges, although there are conde. rable differences among the services in their implementatn of the policy.

5 USC -552 (b)(5)

. The most notable case is Matlovich v. United States, 591F.2d 852 (D.C. Cir. 1978) in which the Court of Appeals remanded the case to the District Court, requiring the Air Force to explain the operation of its policy on separation of homosexuals.

5 USC 552 (b)(5

The order has been held in abeyance pending settlement negotiations.

OAGC/MI&PA has collaborated with the Office of the Assistant

Secretary/Manpower, Reserve Affairs, and Logistics to develop a comprehensive revision of the DoD Directive. A proposal was informally circulated among the services in September and a formal draft is now out for service comment. The revision simplifies the reasons for discharge, provides greater uniformity in procedures for discharge and clarifies policy on characterization. An inter-service task force was formed under the sponsorship of this office to monitor cases involving homosexuality. In light of a recent Ninth Circuit decision, Beller v. Middendorf, upholding the Navy's policy on homosexuality, settlement of the Matlovich case on terms that would preclude his reentry onto active duty appears to have been successfully concluded.

That portion of the revised Directive dealing with homosexuality is being coordinated with a view toward implementation before the end of 1980. It maintains existing DoD policy (that homosexuality is incompatible with military service) and provides procedures that can be administered uniformly by the services. The entire Directive is being coordinated with a longer suspense date with a view toward implementation in February 1981. Although primary responsibility in this area is vested in the Assistant Secretary of Defense/Manpower, Reserve Affairs, and Logistics, OAGC/MH&PA has participated in all actions involving revision of the Directive.

Goldberg v. Rostker

This is a class action which challenges the constitutionality of the Selective Service Act on an equal protection argument as that principle is embodied in the Fifth Amendement. Plaintiffs are males who, prior to the termination of inductions on June 30, 1973, were ordered to report for induction. They filed an action to enjoin their induction on the theory that the Selective Service Act was unconstitutional because it discriminates against males by reason of the fact that it does not provide for the induction of females. During the mid-1970s, the Government twice moved unsuccessfully for dismissal of the suit on the ground of mootness. After being inactive for a number of years, the case was revived earlier this year when the Administration sought the registration of eighteen and nineteen year olds. A three-judge panel of the U.S. District Court for the Eastern District of Pennsylvania ruled in favor of the plaintiffs.

The case is now pending on appeal before the U.S. Supreme Court. OAGC/MH&PA assisted the Justice Department in obtaining affidavits from DoD officials and in preparation of the Government's brief. A decision by the Supreme Court is expected in the spring of 1981.

Reformation of the Court of Military Appeals

The Court of Military Appeals, the highest court in the military justice system, was created in 1951 incident to enactment of the Uniform Code of Military Justice (UCMJ). It consists of three members, appointed from civil life by the President, with the advice and consent of the Senate.

The judges receive the same pay and allowances as judges of the U.S. Court of Appeals. Unlike other Article I courts such as the Tax Court and the courts of the District of Columbia, the Court of Military Appeals does not have a separate judicial retirement system; rather, the Court comes under the civil service retirement system. This means that a judge who serves fifteen years on the Court receives only about one quarter of the retirement benefits that a judge serving a similar term on the Tax Court receives.

In recent years, the Court has been adversely affected by a high turnover rate. During the past ten years, the Court's three seats have been filled by eight different judges sitting in eleven different combinations. The shifting majorities that resulted from the turnover produced considerable instability in military law. The small size of the Court, aggravated by this rapid turnover, has been viewed as a major deficiency in the military justice system.

A further problem has been that the Government cannot appeal adverse decisions from the Court of Military Appeals to the Supreme Court even though the accused can reach the Supreme Court through writs of habeas corpus.

In addition, the statutory provision placing the Court in

DoD "for administrative purposes only" has created tension between the Court and the Department by allegedly impairing the independence of the Court.

This office undertook a major study of the Court in response to these concerns. After the study was completed, DoD proposed legislation to reform the Court. The proposed legislation contained the following features:

o Expansion of the Court to five members to provide greater stability. A five-member court is the minimum under the ABA standards for the highest appellate court of a jurisdiction.

o Full fifteen year terms for all appointees. During the transition period established by the bill, the judges would be given staggered terms, varying from ten to fifteen years.

o Independent status for the Court, similar to that of the Tax Court.

o Full judicial retirement similar to the retirement system available to judges of the Tax Court.

o Review of decisions by the Court of Military Appeals in the Supreme Court by writs of certiorari.

The DoD proposal was cleared for submission to Congress with two modifications. The judicial retirement system was deleted at the insistence of OMB on the ground that no retirement legislation in any area should be submitted prior to the final report of the President's Commission on Pension Policy. The Supreme Court provision was modified at the insistence of the Justice Department to permit direct Supreme Court review only in cases in which the Court of Military Appeals has exercised its discretion to review.

ASSISTANT GENERAL COUNSEL FOR LOGISTICS

The Assistant General Counsel for Logistics is responsible for legal services related to the acquisition of property and services, the management and disposal of property of the Department of Defense, atomic energy matters, and environmental requirements. This Office provides legal advice and services to the Office of the Under Secretary of Defense for Research and Engineering; the Office of the Assistant Secretary of Defense for Communications, Command, Control and Intelligence; the Office of the Assistant Secretary of Defense (Manpower, Reserve Affairs & Logistics) with respect to logistics matters; the Office of the Assistant Secretary of Defense for Program Analysis and Evaluation; the Office of the Assistant to the Secretary of Defense for Atomic Advanced Research Projects Agency.

This office reviews for legal sufficiency proposed actions, regulations, directives, memoranda, and correspondence involving client organizations. It reviews legislative proposals and drafts legislation needed to supplement existing authority and represents the Department of Defense in dealing with other executive departments and agencies, congressional committee staff members and private industry on legal matters with respect to industrial programs, contracting research, production planning, and program evaluation.

Uniform Procurement System

The Secretary of Defense has expressed his concern with the Uniform Procurement System (UPS) proposal that was recently sent to the Congress. P.L. 93-83, the Office of Federal Procurement Policy Act Amendments of 1979 (41 U.S.C. §401 et seq.) directs the Administrator for Federal Procurement Policy to develop and submit to the Congress a Uniform Procurement System. Such a proposal was sent to the Congress on October 27, 1980. The Department of Defense has two concerns with respect to this proposal. First, the proposal describes the system in very general terms so that it is impossible to determine whether centralized controls over the acquisition processes to achieve uniformity will interfere with needs of the Department of Defense. Second, the inclusion in the Uniform Procurement System of the supply system, the system for stocking and distributing supply items.

This office has for many years supported the activities of the Department of Defense to assure that the Department of Defense maintained its own control over its own procurement and supply operations. We expect that we will continue over the next two years to be heavily engaged in the legislative and regulatory activity that will be necessary to adopt the Uniform Procurement System.

Legislation

This office assists in the annual preparation of the military construction authorizing legislation and assists in the preparation of positions on legislation affecting the acquisition of property and services for the Department of Defense. In addition to these routine functions with respect to legislation, we are actively engaged in the drafting or justification process (or both) with respect to the following items.

Vinson-Trammell Act. The Vinson-Trammell Act (10 U.S.C. §§ 2382 and 7300) imposes "excess profit" limitations of 10% and 12% on contracts for new airplanes and new ships, respectively. These limitations were suspended under the Renegotiation Act of 1950 which was permitted to expire on September 30, 1976. The Vinson-Trammell Act limitations are thought to be outmoded, and the implementing regulations, dating from the 1930s, are clearly out of date. The Congress has suspended implementation of the Vinson-Trammell Act pending a review of those statutes and with the expectation that there will be a new statute covering "excess profits." This office has prepared, as a drafting service, bills to replace the Vinson-Trammell Act.

Military Construction Codification. At the request of both House and Senate Armed Services Committee subcommittees dealing with military construction, this office prepared in late 1979 a codification of military construction and family housing legislation that appear in different places in the United States Code and in the annual military construction authorizing statutes. Although the draft code has not yet been enacted, the subcommittees continue to be interested in it. We anticipate that within the next year the committees will consider this legislation. If this proves to be true, we will have to update the code to reflect subsequently enacted legislation and to discuss committee proposed changes.

False Claims Act Amendments. During the past year legislation was introduced, at the request of the Department of Justice, to amend the False Claims Act (31 U.S.C. §231 *et seq.*). In certain respects the proposed amendments would have an adverse effect on Defense procurement. For example, the amendments would authorize the

Attorney General to void Defense contracts under certain conditions. This office has been discussing with the Department of Justice certain changes to the False Claims Act Amendments.

Product Liability Bill. Last year a bill was introduced in the House that would make Government agencies liable for injuries for damage to third parties resulting from negligent design for manufacture of a product by a contractor. During hearings before the House Judiciary Committee, it was concluded the legislation was too broad, and the Office of Federal Procurement Policy was asked to propose a more limited statute. The Office of Federal Procurement Policy has asked us to draft such a bill and to work with them and other Government agencies in the preparation of a legislative proposal.

Consultants/Studies and Analyses Contracts.

The Washington Post, in mid-1980, carried a series of articles that were highly critical of the use of consultants, and of contracting for studies and analyses, by Federal agencies. The Office of Management and Budget, in July, directed agencies to tighten up on their controls. This is an area that we have long been concerned about, and we are working closely with our acquisition clients and the special study group on the subject that was set up under the Assistant to the Secretary for Atomic Energy. We routinely get, for review, requests for contract action, and as a consequence of the Post articles, we have been scrutinizing these requests with particular thoroughness to identify potential problems for the Department from the proposed contracts. We are also pursuing the establishment of a review board to consider those requests for contract action that do raise potential problems. This will continue to be an important initiative in 1981.

Energy Security Act.

The Energy Security Act, Pub. L. No. 96-294 (1980), includes a "fast start" program to begin to develop the technology in anticipation of the role of the Synthetic Fuels Corporation. Responsibility for the fast start was assigned by Executive order primarily to the Department of Energy. However, the Department of Defense is slated as a major purchaser of synthetic fuels that are produced in response to DoE's solicitations. Consequently, this office has worked with DoE to define DoD's proper role, to develop the DoE solicitation, and to work out the sorts of arrangements that DoD can participate in. One of the tools or incentives, the use of which DoE and Congressman Moorhead are pressing for, is for DoD to enter into purchase commitments (for billions of dollars) in advance of appropriations. The Comptroller General has just considered this specific issue and concluded that, properly structured, such advance commitments are permissible under the Energy Security Act amendments to the Defense Production Act.

The solicitation that the Department of Energy put out was very general and invited offerors to describe how they would like to see the various incentives put together. Award of the DoE contracts is now imminent. We will be working with our procurement clients and the DoD fuel purchasing center to develop contracts for purchase commitments, consistent with our authority, and on the solicitations for and award of those contracts. We will also be involved in defining our relationship with the Synthetic Fuels Corporation, as it takes shape.

Chemical Agent Steering Committee.

An interim steering committee, under the direction of the Assistant to the Secretary of Defense for Atomic Energy, has been established to focus management attention on chemical warfare matters, address options for a permanent organizational forum for chemical warfare matters, initiate implementation of recommendations made by the study of the Defense Science Board on the subject, and coordinate all chemical warfare program matters at the OSD level. The General Counsel is represented by the OAGC(L) on the committee. The need for action in this area was highlighted by the Soviet invasion of Afghanistan.

The committee is considering such matters as assignment of central responsibility, and evaluating the strengths and deficiencies of the current program. The committee is aiming to make recommendations to the Secretary of Defense as early as possible in 1981. Among the legal considerations in this process are the National Environmental Policy Act, and the statutes governing the transportation of chemical agents, 50 U.S.C. §§1511-1518.

Movement or Disposal of Weteye.

A quantity of Weteye bombs (nerve gas) is stored at Rocky Mountain Arsenal in Colorado. The storage area adjoins the main runway at Denver's Stapleton Airport. The retention of the Weteye has for some time been highly controversial, and the battle was fueled by the crash of the DC-10 at O'Hare Airport. Colorado wants them out of the state. A proposal was made (several years ago) to move the bombs to Tooele Army Depot, Utah, where other chemical agents are stored. Governor Matheson of Utah and the congressional representatives from the State challenged that proposal, and the decision was made to do nothing. Section 809 of the Military Construction Authorization Act, 1981, now directs that the Weteye be removed from Rocky Mountain within one year after enactment of that Act. The options are to move it or destroy it. The Army is updating the environmental documentation.

The decision is among the actions being considered by the Chemical Agent Steering Committee. We are working with that committee and with the Army to assure that, in the course of the decision making process, the requirements of the National Environmental Policy Act and the Chemical and Biological Warfare Act (50 U.S.C. §§1511-1518) are met.

Energy Matters.

There are a number of initiatives that are underway to assure DoD access to adequate fuel supplies. This problem was the subject of hearings held in late 1979 and early 1980 by Congressman Stratton's Subcommittee on Investigations of the House Armed Services Committee, at which the Assistant General Counsel (Logistics) appeared as a witness. Stratton is highly critical of DoD's management in this area. Among the approaches that DoD is pursuing are access to the Naval Petroleum Reserves (which Stratton wants to return to the Navy), Outer Continental Shelf (OCS) oil, and the Strategic Petroleum Reserves. We made some progress with respect to the Naval Reserves by a provison we got into the Energy Security Act, and we have worked out a test program with Interior for the OCS oil. We will be continuing to work with our acquisition clients to streamline our contracting procedures with respect to petroleum. We will also be working with our acquisition clients and the Department of Energy to complete implementation of the Defense Production Act, by the Department of Energy, to cover the petroleum needs of Defense contractors. We have also developed a legislative proposal to permit waiver of statutory requirements, when necessary, for petroleum purchases, and we will be involved in moving this through the legislative process. These and other Energy initiatives will be active areas in 1981.

MX-Environment and Land Withdrawal.

The Air Force is preparing the draft environmental impact statement, in accordance with the National Environmental Policy Act, to support the site selection decision for MX. Nevada and Utah are the primary candidate sites. Because most of the land under consideration is public domain land, the Air Force will also be required as a parallel action to follow the complex procedures for land withdrawals from the public domain. The Air Force rightly anticipates that both of these actions will be hotly contested. Based on that assessment, the Air Force, early in the exercise, drafted legislation to streamline the environmental and land withdrawal processes, and to ease the requirements of the pollution abatement statutes. 5 USC 552 (b)(5) Consequently it is being held up.

We and other OSD offices, as well as an independent task force of the Defense Science Board that will report to the Secretary of Defense, have been actively involved in these MX matters. We expect that the MX environmental and land withdrawal issues will be of major significance and may be the subject of protracted litigation.

Occupational Safety and Health Act - Department of Labor Regulations

The President, by Executive Order 12196, dated February 26, 1980, empowered the Secretary of Labor to issue regulations, in lieu of guidance, to provide for the occupational safety and health programs of Federal agencies. The recently issued Labor regulations prescribe a number of controversial requirements. Among these are the provision for labor-management committees, with 50% management and 50% labor representation, that have direct access to the Labor Department in the event of disagreement, and the provision for unannounced inspections of DoD facilities by OSHA officials. DoD has, as is permitted by the regulations, elected not to establish the committees. We worked closely with the Office of the Assistant Secretary of Defense (Manpower, Reserve Affairs, and Logistics) in their negotiations with the Labor Department as Labor's regulations were being developed, and thereafter in identifying the various options for DoD to follow under those regulations.

ASSISTANT GENERAL COUNSEL FOR FISCAL MATTERS

The Assistant General Counsel for Fiscal Matters is responsible for all legal aspects of Department of Defense financial operations and related comptroller functions. The office provides legal advice to the Assistant Secretary of Defense (Comptroller) and also provides assistance to many of the other offices in the Office of the Secretary of Defense and the military departments because of the impact that expenditure of Department of Defense funds has on all aspects of the operations of the Department. This office is responsible for providing advice with respect to the Department of Defense Appropriation Authorization Act, the Department of Defense Appropriation Act and the Military Construction Appropriation Act.

This office is also responsible for interpretation of the Congressional Budget Act and the Impoundment Control Act; determinations concerning the availability of funds appropriated to the Department of Defense; providing legal advice and recommendations pertaining to the management of and accounting for appropriated funds; acting as counsel to the Department of Defense Military Pay and Allowance Committee; providing advice to the Deputy Assistant Secretary of Defense (Military Personnel Policy) on military compensation issues; and providing advice to the Department of Defense Joint Serviceman's Family Protection Plan/Survivor Benefit Plan Board and to the Department of Defense Pay Procedures Council.

The Fiscal Matters office provides advice on the fiscal aspects of Foreign Military Sales; the operation of banks and credit unions on military installations; automatic data processing activities of the Department; noncontractual claims matters; fiscal aspects of Overseas Dependents' Schools operations; and access to records by the General Accounting Office. It serves as counsel to the Department of Defense Concessions Committee and to the Office of the Secretary of Defense Welfare and Recreation Association. The office reviews all legislation of interest to the office of the Assistant Secretary of Defense (Comptroller); all Directives and Instructions involving fiscal matters that are referred to the General Counsel for coordination; and all General Accounting Office reports affecting the Department of Defense and the responses to those reports.

Use of Funds

Questions concerning which, if any, DoD appropriations can be used for a particular purpose are referred to this office. R.S. 3078 requires that funds can only be used for the purpose appropriated. Inevitably, as DoD has large appropriations compared to other agencies and even the White House, there is a tendency for others to seek to use DoD funds to finance particular activities. Many such attempts are marginally supportable and others have no legal basis whatsoever. These issues tend to generate a good deal of heat.

Continuing Resolution

The late enactment of Defense Appropriations Acts, after the beginning of the fiscal year, requires that the Department operate under a continuing resolution. This creates a myriad of legal and related congressional relations questions as to funding particular items, particularly new starts, under the authority of a continuing resolution.

In addition, for two of the last three years, we have not had any appropriations until the thirteenth day of the fiscal year. This office has been providing guidance regarding the Department's operation during such a period. Although a Continuing Resolution was enacted on October 1 this year, the problem of anticipating operating without one were particularly acute in view of a recent Attorney General opinion on this subject.

Budget Resolution/Reconciliation

The Congressional Budget Act of 1974 complicated an already complex situation regarding the annual requirement for fund authorization and appropriations. This office provides guidance concerning the legal and other questions that arise in connection with the impact of the Congressional Budget Act on the funding process. The process is a dynamic one and the issues and problems that may arise are not predictable.

The Impoundment Control Act

The temporary withholding of funds provided by the Congress (deferrals) and the permanent withholding of funds (recissions) are controlled by the Impoundment Control Act of 1974. Impoundment type issues can arise at any time, but tend to be more common at the outset of an administration, as the new administration changes existing programs. Whether a particular action comes under the Act, and how to proceed, if it does, are matters addressed by this office.

Anti-Deficiency Act

This office is responsible for the legal review and appropriate determinations concerning alleged violations of the Anti-Deficiency Act. A violation occurs when more funds are obligated or expended than are provided. Normally, violations occur each year below the appropriation level, but occasionally at the appropriation level, which necessitates Congressional action. All violations must be reported to the Congress.

DIRECTOR, LEGISLATIVE REFERENCE SERVICE

The Director, Legislative Reference Service, carries out the General Counsel's responsibilities for the preparation and processing of legislation. The Legislative Reference Service provides supervision and control over the offices of the Secretary of Defense, the military departments and Defense agencies on departmental legislative programs, Executive Orders, Presidential proclamations and pending Congressional bills to assure that a single Department of Defense position is presented with respect to all of these matters.

Each year the Legislative Reference Service develops from recommendations of the various components of the Department of Defense the items of legislation that make up the Department of Defense legislative programs for submission to that session of Congress. The Director, Legislative Reference Service, acts as the Department of Defense representative in dealing with the Office of Management and Budget and other departments of the Executive Branch to obtain clearance for the submission of Department of Defense legislative matters to Congress. The Legislative Reference Service also provides for the preparation of Defense views on legislation originating outside the Department of Defense.

The Service collects and maintains the legislative history of existing statutes affecting the Department. All legislative material and documents issued by Congress are received by the Legislative Reference Service and screened for material of interest to the Department of Defense. This material is integrated into a comprehensive legislative reference file maintained by the Legislative Reference Service to provide information on all proposed and enacted legislation affecting the Department of Defense.

Legislation

All legislation pending before the 96th Congress dies with the sine die adjournment of the Congress; and if the same or similar legislation is to be taken up in the 97th Congress, it must be reintroduced and begin its passage anew through the congressional consideration process. Thus, with respect to pending bills on which DoD views had been requested by the Congress, we do not know whether DoD will be required to take a position on legislation of this nature in the 97th Congress. While many bills are reintroduced by their sponsors in a following Congress, it cannot be predicted with certainty which ones will come up again, particularly in instances where the sponsor of the bill is not returning to Congress. On these incompleted bills from the 96th Congress, formulation of DoD views is held in abeyance, pending reintroduction of the legislation in the 97th Congress.

With respect to legislation originating within the executive branch, each department is required to submit to OMB for approval proposals that the department wishes to send to the Congress. DoD components have submitted their recommendations to us for proposals to be included in the DoD legislative program for the 97th Congress, and we are now in the process of preparing the final listing for submission to OMB. The program, in addition to proposals not previously submitted to OMB, will contain many items on which action was not completed in the 96th Congress. The completed program will be ready for submission to OMB prior to January 1, 1981. Proposals initiated by DoD components subsequent to submission of the program will be forwarded to OMB throughout the year.

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ASSISTANT SECRETARY OF DEFENSE (LEGISLATIVE AFFAIRS)

The attached documents were provided to the Carter-Reagan Transition team. Deletions have been made in the documents as the unauthorized release of the internal advice, would inhibit the frank exchange of information required in the decision-making process. The information is denied under the provisions of 5 USC 552(b)(5).

The Initial Denial Authority is Brigadier General Eugene M. Poe.

OFFICE OF THE ASSISTANT TO THE SECRETARY OF DEFENSE
(LEGISLATIVE AFFAIRS)

This office serves as the principal advisor to the Secretary of Defense and his staff on Legislative Affairs, and is charged with the responsibility of coordinating the efforts of the military departments in this regard. The specific responsibilities, relationships and authorities are spelled out in the attached DoD Directive (TAB A).

The office is staffed at a modest level, utilizing the military departments to handle matters which do not require policy consideration. Each department has its own legislative affairs office with a Director at the two star level. At TAB B is a breakout of the organization of the office and of the military departments.

Formal congressional activities operate under a statutory funding limitation which is now carried at $7.5 million allocated as follows:

Department of the Army	$1,991,187
Department of the Navy	1,980,095
Department of the Air Force	2,022,782
Office of the Secretary of Defense and Defense Agencies	1,505,936
TOTAL	$7,500,000

The size of the Department's budget and responsibilities, in its own right, creates a sizeable congressional work load.

For example, during the first 9 months of 1980, the DoD provided 1,393 witnesses for some 445 hearings involving 1,212 hours of testimony and received over a half million telephone calls. The Secretary of Defense personally appeared some 20 times for an excess of over 50 hours of testimony. Additional work load figures are attached at TAB C.

Early Hearings:

Confirmation Hearings: Senator John Tower, new Chairman of the Senate Armed Services Committee, has informed the members of his committee that confirmation hearings will begin between 6 and 20 January. There are 14 positions within the Office of the Secretary of Defense which require Senate confirmation. In addition, there are 16 positions in the military departments which require confirmation.

Program Justification (Posture Hearings): The hearings on the Authorization Bill normally begins in the Armed Services Committees during the last week of January. However, with the change in Administrations, the anticipated Supplemental and the Amended Budget Request, hearings probably won't begin until the latter part of February. In 1977, the Secretary of Defense did not appear before any committee of Congress in support of the FY 78 Amended Budget until 22 February, when he went before the House Appropriations Committee.

Traditionally, the Secretary of Defense appears with the Chairman of the Joint Chiefs of Staff before the Armed Services Committees, the Appropriations Committees and the Budget Committees. The Secretaries and Chiefs of the Military Departments appear immediately thereafter. Following these appearances, senior civilians and uniformed personnel in the Office of the Secretary of Defense and the Military Departments go before the different subcommittees in support of specific programs and budget requests.

Other: In addition to the Armed Services, Appropriations, and Budget Committees, during FY 81, the Secretary of Defense appeared before other Congressional Committees such as Senate Commerce, Science and Transportation on the space shuttle program; the Senate Foreign Relations Committee on nuclear warfare strategy and SALT and the House Foreign Affairs Committee on security assistance.

KEY COMMITTEES

Senate Armed Services Committee (9R - 8D): Two new Members (Republicans Quayle and Denton) have been assigned to the Senate Armed Services Committee. The Committee has changed its organizational structure from the traditional subcommittee line-up of R&D, Procurement, etc., to a mission concept; i.e., strategic, tactical, seapower and preparedness plus the usual personnel and military construction subcommittees.

Chairman Tower has indicated that the Committee will hold its first formal organizational meeting on 5 January. The Committee is expected to move out smartly holding confirmation hearings 6-20 January, to be followed by the FY 81 Supplemental and 1982 Authorization Bill.

House Armed Services Committee: The Chairman has requested approval from the House leadership to reduce the size of the committee from 45 to 41 members. The committee ratio is expected to reflect a balance of 23 to 18. This will require the assignment of an additional 2 democrats and 4 republicans. The committee structure will also expand from 7 to 8 subcommittees as the Special NATO Subcommittee is elevated to a permanent subcommittee and expanded to include O&M funding.

Senate Appropriations Committee (15R - 14D): The SAC has not yet organized into subcommittees. The new chairman of the Defense Subcommittee is expected to be Senator Stevens. Senator Stennis of course will be ranking minority.

House Appropriations Committee: There will be some new members on the House Appropriations Defense Subcommittee. However, the leadership will remain with Mr. Addabbo as Chairman, and Mr. Edwards as ranking minority.

Senate Budget Committee (12R - 10D): Senator Domenici will chair the Senate Budget Committee with Senator Hollings as ranking minority. Unlike the House Budget Committee, the Senate Budget Committee does not have a Special Task Force for Defense. The full committee acts on all funds for Defense.

House Budget Committee: The new chairman, James R. Jones emerged the victor in a tight race for leadership for the HBC over opponent David Obey The HBC will have its membership increased from 25 to 30 members. Chairmanship of the Defense and International Affairs Task Force will remain with Jim Mattox.

Intelligence Committees: Assignments to the Intelligence Committee in the Senate have not yet been made. However, Senator Goldwater is expected to chair the committee and Senator Moynihan is to move up to ranking minority. In the House Intelligence Committee there will be some changes in membership but the leadership will remain intact. Mr. Boland will remain as Chairman and Mr. Robinson is expected to be ranking minority.

Foreign Relations Committees: The Senate Foreign Relations Committee will have a ratio of 9 republicans to 8 democrats and will be chaired by Senator Percy. Senator Pell will be ranking minority. The House Foreign Affairs Committee will continue to be headed by Rep. Zablocki, with Rep. Broomfield as ranking minority.

Attachments
TAB A - DoD Directive 5142.1
TAB B - Organization Charts
TAB C - Work Load Figures

ORGANIZATIONAL STRUCTURE
AUTHORIZED STRENGTH

ATSD (LA)
DATSD (LA)

	Civ	Mil	Total
Professional	1	1	2
Clerical	3	0	3
Total	4	1	5

-- Principal staff assistant for DoD Legislative Affairs.

LIAISON

	Civ	Mil	Total
Professional	5	7	12
Clerical	8	0	8
Total	13	7	20

Maintain direct liaison with, and provide advice and assistance concerning Congressional aspects of DoD policies, plans, and programs.
Coordinate actions relating to Congressional consideration of DoD legislative program.
Coordinate DoD participation in Congressional hearings and investigations.
Assign responsibility, coordinate responses and respond to Congressional inquiries.
Arrange for the designation and appearance of witnesses and provision of information at Congressional hearings.

RESEARCH & ADMINISTRATION

	Civ	Mil	Total
Professional	0	1	1
Clerical	4	3	7
Total	4	4	8

-- Process and coordinate requests for DoD support of Congressional travel.
-- Provide for DoD processing of personal security clearances for members of Congressional staffs.
-- Conduct research on matters of legislative interest to the DoD and prepare appropriate reports including daily summaries of the Congressional Record.
-- Prepare daily schedule of Congressional hearings.
-- Handle transcripts and maintain file of hearings of DoD witnesses.
-- Provide internal personnel and administrative support.

SUMMARY OF AUTHORIZATIONS: 33

	Civ	Mil	Total
Professional	6	9	15
Clerical	15	3	18
Total	21	12	33

OFFICE, CHIEF OF LEGISLATIVE LIAISON

SEPTEMBER 1980

OFFICE OF THE CHIEF, Room 2C631

		SC
MG Edward C. Peter, Chief	76767	51
BG Charles D. Franklin, Deputy	56368	53
Mr. Carlos Lively, Special Assistant	53910	53
COL Fred A. Gordon, Executive	53524	55
LTC James C. Jolmer, Assistant Executive	53524	47
Miss Dorothy Voltaire, CLL Secretary	76767	56
Mrs. Debbie Manut, DCLL Secretary	56368	44

TRAVEL OFFICE, Room 2C630

Mrs. Andi Buel, Travel Officer	73843	31
Mrs. Elinor Belgon, Travel Assistant	77371	32

EXECUTIVE SERVICES DIVISION, Room 2C632

		SC
LTC James C. Jolmer, Chief	53524	47
SFC Ruth I. May	56849	49
Mr. Andre Blog	54492	49
Mrs. Ruth B. Bernhardt	56849	49
Mr. John Bolton	54492	

INVESTIGATIONS & LEGISLATIVE DIVISION, Room 2C634

		SC
Mr. John Maier, Chief Attorney	76856	30
LTC David McNeill, Jr., Deputy	70275	
LTC Howard Fagero, Legal Counsel	70276	
MAJ Pittsburgh Godwin, Legal Counsel	70275	
Mrs. Ruth Whitman, Secretary	76856	
Mrs. Lorraine Pittard, Legislative Act Rep	72106	
Mrs. Lucy Fuller, Legislative Act Rep	70277	
Mrs. Carol Hays, Legislative Act Asst	72106	

PLANS & OPERATIONS DIVISION, Room 2C638

		SC
COL Johnnie Caron, Chief	54854	23
LTC Samuel Gibson, Deputy	54828	24
Mrs. Dana Smith, Secretary	54828	

PLANS BRANCH

LTC John Mallett, Chief	39690	25
LTC Mike Peck (Budget)	35258	
LTC Gordon Merritt (Procurement)	78602	
LTC Frank Mannerson (Manpower)	79915	
LTC Michael T. Chase (R&D)	35258	
Mrs. Barbara Prendberg, Secretary	73690	26

OPERATIONS BRANCH

LTC Doral Willis, Chief	70279	28
LTC John Canstesy (Engineers)	72417	
LTC Vernon Conner	72417	
Mr. Al Brewer (Research)	76245	
Ms. Linda Payne, Congressional Act Rep	74417	
Mrs. Barbara Wallingsford, St Asst	70279	
Mrs. Vivian Hanson, Contracts	74417	

HOUSE LIAISON DIVISION, Room B-325, Rayburn Bldg.

COL Bernhell B. Murray, Chief	37580
LTC Wendell Block	37580
LTC James Kanowen	37580
LTC Phillip Gitchinge	37580
SSG Robert Miller	37581
Mrs. Virginia Johnson	37582
Miss Kay Dorden	37582
Miss Ethel McCann	37582
Mrs. Linda Coleman	37582

SENATE LIAISON DIVISION, Room 332, Russel Bldg.

COL John Campbell, Chief	37446
LTC John Spinch	36360
LTC John Critchfield	37447
SFC Lori Wade	37446
Mrs. Joan Goodale	37444
Mrs. Margaret Tyler	36360

US ARMY CONGRESSIONAL CORRESPONDENCE AGENCY, Room 2D631

		SC
COL Robert C. Woolweaver, Commander	78381	38

SPECIAL ACTIONS BRANCH

LTC James Gleisner, Chief	76381	40
Mrs. Yvonne Tucker, Congressional Coordinator	71000	41
MAJ Frank Dalton, Congressional Coordinator	71000	42
Mrs. Emily Wood, Congressional Act Rep	71000	
Mrs. Dee Sisco, Congressional Act Rep	78132	

EAST BRANCH

LTC Charles Moore, Chief	72583	35
Mrs. Janet Fagan, Supervisor	72583	33
CT, DC, KY, NY, OH, PA, PR, RI	59842	
DE, IN, MI, MD, MA, NH, NJ, TN, VA, VI	73394	
IL, MI, WV, WI, VI	73393	

WEST BRANCH

LTC James Haygood, Chief	72504	45
Mrs. Eleanor Locke, Supervisor	72504	46
AL, AR, FL, GA, MC, SC	59713	
CO, KS, LA, MO, MS, NE, OK, TX	79183	
AZ, AK, CA, GU, HI, ID, IA, MN, NO, NV, NM, ND OR, SD, UT, WA, WY	79184	

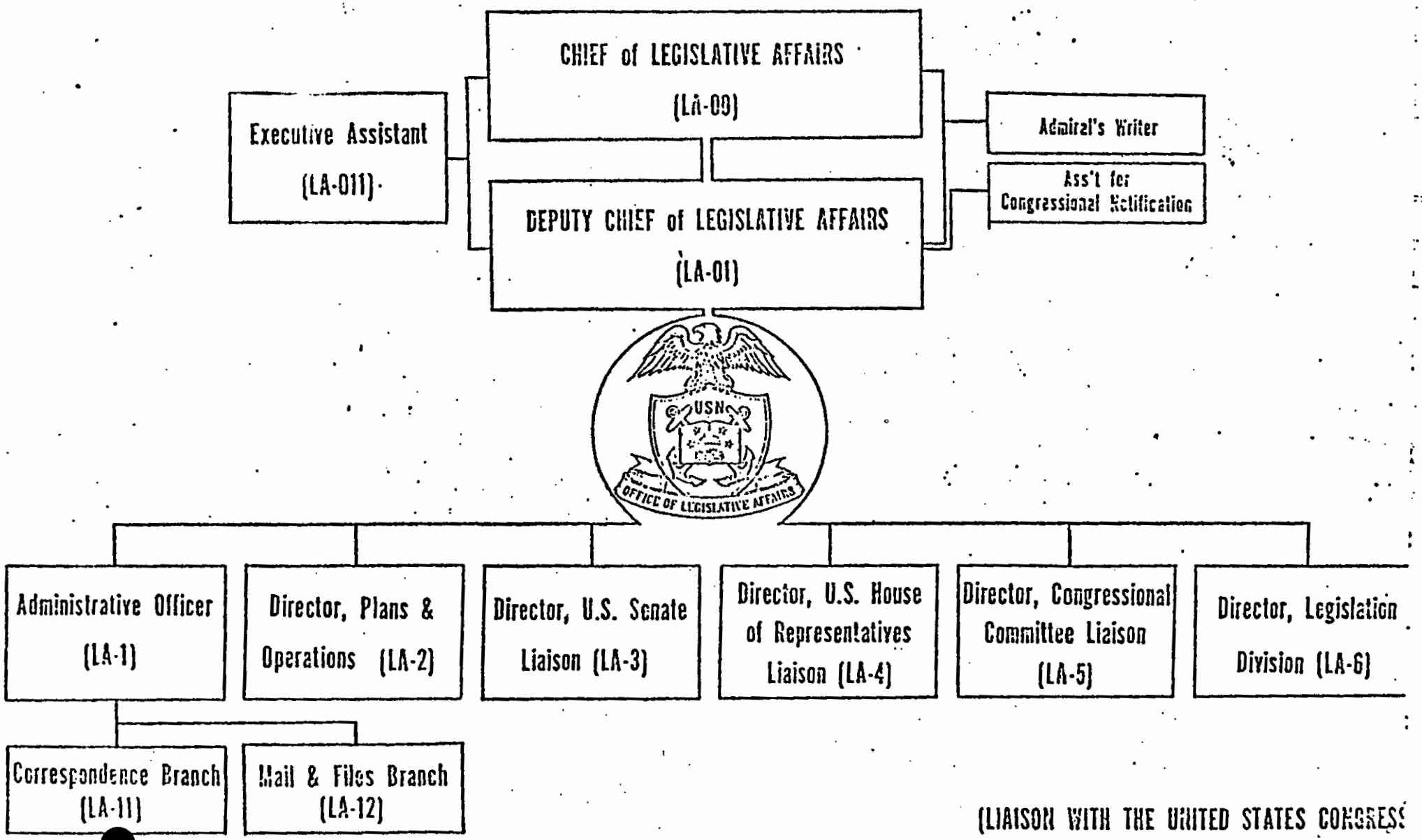
ADMINISTRATIVE SUPPORT BRANCH

LTC Keith D. Wolff, Chief	78381	34
SGM Frank Dalton, Supervisor, Inquiry Control	56028	20
Mrs. Mary Simmons, Supervisor, Word Proc	56028	48

ORGANIZATION CHART OF THE OFFICE OF LEGISLATIVE AFFAIRS

(Office of the Secretary of the Navy)

(As of August 1976)



(LIAISON WITH THE UNITED STATES CONGRESS

EXHIBIT A

SAFLL

OFFICE OF THE DIRECTOR (LL) 4D923

BRIG GEN GUY L. HECKER, JR., Director	78153
BRIG GEN JAMES D. GORMLEY, Deputy	52650
COL H. ARCHIE McSMITH, Actg Assoc Dir	75321
MAJ RICHARD W. FLYNN, Special Asst	76451
VICTOR J. TAMBONE, Executive	74142
CMSgt James P. Miller, Sgt Maj	75665
SMSgt Raymond V. Lukowski, Chief Admin	75665
Mrs. Pauline Alegria	78154
Mrs. Barbara Browne	52650
Ms. Chris Yurkiewicz, Admin Asst	74142

INQUIRY DIVISION (LLI) 5D903

COL FRANK W. HAUSMANN, Chief	73783
Col Gerald J. Smith, Deputy	73783
Mrs. Paula D. Haveron	73783

INQUIRY BRANCH #1, 5D871

LT COL MICHAEL ALBA	57364
Mrs. Rosalie Downs	57364

TEAM #1 - AL, AR, GA, IA, KY, LA, MD, MA, NC, OR, TX, WI

Lt Col Robert L. Marsh	57375
Capt Stevie Henderson	57375
CMSgt Jose Martinez	57375
Sandi Esty	57375
Cheryl Walker	57375

TEAM #2 - FL, ID, IL, IN, MI, NE, NV, OH, OK, PA, PR, WY

Lt Col Joseph L. Kameth	57201
Major Robert Miller	57201
Mrs. Margaret Story	57201
Cathy Hudock	57201
Ruth Thornton	57201

INQUIRY SUPPORT BRANCH

Joyce Earley	77617
Arnnetta Key	77617
Debbie Milburn	77617

INQUIRY BRANCH #2

LT COL THOMAS WOOD	57201
Betty Becker	57204

TEAM #3 - AK, AZ, CA, CZ, CO, CT, DE, DC, GU, HI, KS, ME, MN, MS, MO, MT, NH, NV, NM, NY, ND, RI, SC, SD, TN, UT, VT, VA, VI, WA, WV

Lt Col Jack McTasney	57361
Maj Dave Walters	57394
Mrs. Virginia Foster	57231
Capt Robert L. Smolen	57361
Capt Patricia A. Flannery	57361
Judy White	57361
Ennie Catterton	57394
Monika Krese	57394
Cheryl Cromwell	57361

WHITE HOUSE LIAISON (LLAW) 5D970

Major Robert E. Roberts	73731
Leola Wall	73731

SENATE LIAISON OFFICE (LLS) 152 RSOB

COL MICHAEL C. KERBY	37435
Major Daniel E. Kennedy, Jr.	37435
Mrs. Elizabeth A. Nelson	37435
Mrs. Wanni Spence	37435

LEGISLATION DIVISION (LLL) 5D925

COLONEL LARRY SHREVE	75322
Lt Col Bob Jones	53435
Lt Col Jeff Graham	74480
Lt Col Dick Flowers	71348
Lt Col Phil O'Neill	74738
Maj Dave Wozniak	53435
MSgt Gary Glaeser	72854
Mrs. Susie Ezzell	75322
Mrs. Vivian Johnson	71348
Mrs. Joy Perry	74480
Miss Adrienne Earnhardt	53435
Miss Rose Gennella	53391

AIR OPERATIONS OFFICE (LLO) 5D943

LT COL RONALD K. SABLE	53531
Mr. S.L. Ackley	71500
SMSgt Peter M. Steffes	71500
SMSgt Art Sturgill	53531
Ms. Karen Hardgrove	71500

PROGRAM LIAISON DIVISION (LLP) 5D917

COL JOHN G. SCHROEDER	77950
Lt Col Robert E. Bayer	77950
Lt Col Glen M. Thompson	77114
Major Samuel F. Hatfield	72814
Capt Wayne Christein	72814
Mrs. Charlotte Moyer	76790
Mrs. Rosemary Fili	72814

LEGISLATIVE RESEARCH OFFICE (LLR) 5D934

MS. RUTH GALEY	52552
Ms. Irene D. Kikta	72329
Mr. Frederick H. Bumgarner	52329
Ms. Rosalie Wildensteiner	52329
Mr. John Komarny	75734
Mrs. Alice Baker	72329

SYSTEMS LIAISON DIVISION (LLW) 5D920

COL RICHARD D. OSBORN	76711
Lt Col John Carter	53346
Lt Col William O'Brien	76041
Lt Col Richard Mayer	56905
Major Douglas Roach	55629
Major Wade Robert	53346
Major Robert J. Belisle	73376
Capt Neal Coyle (ASTRA)	76813
Mrs. Grace McGee	76711
Mrs. Barbara Carr	55629
Mrs. Cordie Green	56905

ADMINISTRATIVE WORK CENTER (LLC) 5D872

CMSgt RASEM M. MALLEY (5D874)	45751
Deputy (Vacant)	
SMSgt Joseph D. McDonald	73422
TSgt William R. Montgomery	71778
TSgt Robert L. Farrell	73020
SSgt Ernest Warrington	71778
SSgt James E. Jordan	57205
SSgt Courtland G. Ballou	71778
Mr. Adam F. Bohunko	73020
Mr. Willie L. Morris	73020
Mrs. Gail L. Patterson	73020
Mrs. Dorothy Hensley	73020
Sgt Rudy Chavis (TDY)	71778

HOUSE LIAISON OFFICE (LLH) B-320 RHOB

COL PAUL McMANUS	[illegible]
Lt Col John H. Cady	[illegible]
Major Lloyd W. Newton	[illegible]
Mrs. Helen Jeffrey	[illegible]
[illegible]	[illegible]

DEPARTMENT OF DEFENSE LEGISLATIVE ACTIVITY

NUMBER OF WITNESSES	PRINCIPAL	SUPPORT	TOTAL
1978	822	607	1429
1979	854	1414	2268
*1980	711	682	1393

HOURS OF TESTIMONY	
1978	1590
1979	1459
*1980	1212

NUMBER OF HEARINGS	
1978	465
1979	556
*1980	445

NUMBER OF COMMITTEES HEARING DOD TESTIMONY	
1978	86
1979	59
*1980	96

NUMBER OF BRIEFINGS	
1978	597
1979	1496
*1980	980

HOURS OF BRIEFINGS	
1978	1093
1979	2125
*1980	1279

WRITTEN QUERIES	
1978	91,815
1979	90,872
*1980	67,467

TELEPHONE QUERIES	
1978	532,818
1979	406,100
*1980	NA

PGS IN CONGRESSIONAL JUSTIFICATION BOOK		
1978	(FY 79)	15,815
1979	(FY 80)	NA
*1980	(FY 81)	17,457

*As of September 30, 1980

OFFICE OF THE SECRETARY OF DEFENSE

WASHINGTON, D.C. 20301

October 30, 1980

egislative Affairs

MEMORANDUM FOR RECORD

SUBJECT: Secretary of Defense Harold Brown - Appearances before Congressional Committees, CY 1980

DATE	COMMITTEES	SUBJECT	TIME
1-29	House Armed Services	FY 81 Auth: Posture	4:54
1-30	House Armed Services	FY 81 Auth: Posture	3:00
1-31	Senate Armed Services	FY 81 Auth: Posture	2:39
2-1	Senate Armed Services	FY 81 Auth: Posture	2:50
2-4	House Appropriations, SCte on Defense	FY 81 DoD Appns: Posture	2:50
2-5	House Appropriations, SCte on Defense	FY 81 DoD Appns: Posture	2:25
2-7	Senate Commerce, Science & Transportation	FY 81 NASA Auth: Space Shuttle Prog.	2:25
2-19	House Foreign Affairs	FY 81 Security Assistance Prog.	2:30
2-27	Senate Budget	FY 81 DoD Budget	3:40
2-28	House Budget	FY 81 DoD Budget	2:58
3-12	Senate Appropriations, SCte on Defense	FY 81 Proposed BudEstms for Defense	2:30
3-25	House Appropriations, SCte on MilCon	FY 81 DoD MilConAppns: MX Program	2:38
3-27	Senate Armed Services	FY 80-81 Budget	2:30
5-6	Senate Appropriations, SCte on MilCon	FY 81 DoD MilConProg: Alternative Basing Modes - MX	2:00
5-8	Senate Armed Services	Iran Rescue Attempt	4:45
6-5	Senate Armed Services	CX, MX, and Chemical Warfare	2:51
9-4	House Armed Services, SCte on Investigations	Leaks of Classified Information (STEALTH)	3:50e
9-4	Senate Armed Services	Binary Chemical Hearing	1:45
9-16	Senate Foreign Relations	Presidential Directive 59 (Nuclear War Strategy)	2:20

June Legates

June Legates

OFFICE OF THE SECRETARY OF DEFENSE

WASHINGTON, D.C. 20301

LEGISLATIVE AFFAIRS

December 21, 1979

MEMORANDUM FOR RECORD

SUBJECT: Secretary of Defense Harold Brown - Appearances before Congressional Committees, CY 1979

Date	Committee	Subject	Time
25 Jan	Senate Armed Services	FY 80 Defense Budget: Posture	3:28
29 Jan	House Armed Services	FY 80 Defense Budget: Posture	4:38
31 Jan	Senate Appropriations, SCte on Defense	FY 80 DoD Appns: Posture	2:50
5 Feb	House Foreign Affairs	FY 80 Security Assistance	2:30
5 Feb	Senate Foreign Relations	China/Taiwan	3:15
7 Feb	House Appropriations, SCte on Defense	FY 80 DoD Appns: Posture	5:40
8 Feb	House Appropriations SCte on Defense	FY 80 DoD Appns: Posture	2:10
21 Feb	Senate Budget	FY 80 Defense Budget	2:02
27 Feb	House Budget	FY 80 Defense Budget	3:45
3 Apr	Senate Armed Services	FY 79 DoD Supplemental	2:07
11 Apr	Senate Foreign Relations	Middle-East Peace Package	2:52
8 May	House Foreign Affairs	Middle-East Peace Package	2:53
9 Jul	Senate Foreign Relations	SALT II	4:20
11 Jul	Senate Foreign Relations	SALT II	7:00
17 Jul	Senate Foreign Relations	SALT II	3:23e
18 Jul	Senate Foreign Relations	SALT II	3:05
23 Jul	Senate Armed Services	SALT II	6:46
24 Jul	Senate Armed Services	SALT II	2:44
19 Sep	Senate Foreign Relations	SALT II	2:55
10 Oct	Senate Foreign Relations	SALT II	3:13
23 Oct	Senate Armed Services	SALT II	3:11
24 Oct	Senate Armed Services	SALT II	2:43
6 Nov	Senate Foreign Relations	SALT II	1:18e
13 Dec	Senate Armed Services	FY 81 Budget Preview	3:15
14 Dec	Senate Armed Services	FY 81 Budget Preview	2:18
18 Dec	House Armed Services	FY 81 Budget Preview	1:48
19 Dec	House Appropriations, SCte on Defense	FY 81 Budget Preview	1:35
20 Dec	Senate Foreign Relations	China	1:43e
			69:27

June Legates
OATSD(LA), R&A
x-57800

FILE
13

ASSISTANT SECRETARY OF DEFENSE (INTERNATIONAL SECURITY AFFAIRS)

The attached documents were provided to the Carter-Reagan Transition Team. The information withheld from the documents has been reviewed with the determination that it is currently and properly classified within the meaning of Executive Order 12065. The unauthorized release of this information could create or increase international tensions contrary to the national security of the United States, thereby adversely affecting the national security. Therefore, the information is denied under the provisions of 5 USC 552(b)(1).

The Initial Denial Authority is Mr. Franklin D. Kramer, Acting Assistant Secretary of Defense (International Security Affairs).

[redacted]

ASSISTANT SECRETARY OF DEFENSE

WASHINGTON, D.C. 20301

INTERNATIONAL
SECURITY AFFAIRS

18 NOV 1980

In reply refer to:
I-11819

MEMORANDUM FOR USD(P)

THROUGH: ASD(ISA)

SUBJECT: CY 81 Issues

Per your attached memorandum, I have listed the key NATO and European issues and problems that we should continue to focus on in CY 1981.

NATO

Maintain NATO's forward movement on force capbility and readiness, R/S/I, and long-term planning and programs, specifically:

[redacted]

(U) - Continue to press for standardization not only in NATO fora but in multilateral/bilateral contexts. (Attached is a list of major programs.)

BILATERAL

There are a number of important bilateral issues we must actively pursue in CY 81:

(U) - Negotiations with the Spaniards and Greeks concerning base rights.

(U) - Work out an agreed cost-shared program with the Canadians on North American Air Defense.

(U) - Stimulate more forthcoming Allied response to the military needs of Portugal and Turkey.

Although the above list is not all inclusive, those are the more critical issues requiring our attention in CY 81.

James V. Siena
DASD, European
NATO Affairs (ISA)

Attachment
a/s

MAJOR PROGRAMS

(U) -- Encourage NATO adoption of I-TOW while we press on to define 3d generation ATGW Family of Weapons and to develop a MOU.

(U) -- Press for NATO adoption of PAPS procedures. Develop procedures, with DRE, for processing NATO Mission Need Documents (MNDs).

(U) -- Develop new candidates for Family of Weapons concept, e.g., mines, air-to-ground.

(U) -- Monitor CNAD/NC review of Military Agency for standardization (AC/30S).

(4) -- Revise DoDD 2010.6, "NATO Standardization."

ASSISTANT SECRETARY OF DEFENSE

WASHINGTON, D.C. 20301

INTERNATIONAL
SECURITY AFFAIRS

24 November 1980

MEMORANDUM FOR MR. MC GIFFERT

SUBJECT: Transition Planning

The following is submitted in response to your request for Outstanding Issues, Recent Activities and Organization for use in transition planning.

Outstanding Issues

- Near Term

[redacted]

[redacted]

- Longer Term

[redacted]

FREDERIC L. CHAPIN
Deputy Assistant Secretary of Defense
International Security Affairs

Attachments
IA Weekly Activity Reports (Nov)
Organization Chart
Bios (DASD and Director, IA Region)

[redacted]

EPFK

BACKGROUND PAPER

SUBJECT: Outstanding Issues in Asia

Strategic Objectives

[redacted]

- Maintain the deterrent balance on the Korean Peninsula.

[redacted]

Immediate Issues:

[redacted]

[redacted]

CY 81 ISSUES - NEASA

POST-WAR RELATIONS WITH GULF STATES

[redacted]

U.S. - SAUDI SECURITY RELATIONSHIP

[redacted]

ARAB - ISRAELI CONFLICT AND SWA STRATEGY

[redacted]

[redacted]

FACILITIES ACCESS

[redacted]

- Develop a realistic CY 81 exercise plan.

- Expedite military construction programs in Egypt, Oman, Kenya, Somalia, and Diego Garcia.

[redacted]

- Work to make routine naval and other peacetime presence easier and more acceptable throughout the Indian Ocean.

[redacted]

ACCESS AND OVERFLIGHT

- Continue to pursue access to European facilities for deployments in a SWA contingency.

- Pursue increased or more regularized access to facilities on the Pacific route.

[redacted]

EGYPT

[redacted]

- Continue plans to develop Ras Banas as a rear staging/transit facility.

[redacted]

[redacted]

SECURITY ASSISTANCE

(U) - Seek increases in FMS credits and IMET programs to support our expanding interests in Southwest Asia.

(U) - Seek removal or amendment of legislative restrictions that hinder actions to support our expanding interests in Southwest Asia.

SECURITY RELATIONSHIPS WITH PAKISTAN AND INDIA

[redacted]

NORTHWEST AFRICA

(U) - Improve relations with Algeria without jeopardizing long-time friendship and military cooperation with Morocco.

[redacted]

(U) - Increase security assistance to Tunisia to help meet growing threat from Libya.

LIBYA

[redacted]

CUBANS IN AFRICA

[redacted]

LIBERIA

(U) - Maintain Liberia's traditional pro-American attitude under the Doe regime.

RESEARCH FUNDS

- Seek to restore funding for ISA/NSAA external research projects and consultants.

[redacted]

NET ASSESSMENT

The Office of the Director, Net Assessment, provided one document to the Carter-Reagan Transition Team. The releasable segregable portions of the document are attached. The withheld portion of the document has been reviewed with the determination that it is currently and properly classified within the meaning of Executive Order 12065 and denied under 5 USC 552(b)(1). Further, the denied information contains the opinions, recommendations and conclusions of various staff officers and the unauthorized release of their frank comments could inhibit the free flow of ideas between subordinates and superiors and severely inhibit the decision-making process. 5 USC 552(b)(5) is applicable in this case.

The Initial Denial Authority is Mr. Andrew W. Marshall, Director, Net Assessment.

DEPUTY ADVISOR FOR NATO AFFAIRS

The Office of the Advisor for NATO Affairs has reviewed its input to the Carter-Reagan Transition Team and determined that the information is currently and properly classified within the meaning of Executive Order 12065. The unauthorized release of these documents would provide a foreign nation with an insight into the war potential or the defense plans and posture of the United States. Also, their release would weaken or nullify the effectiveness of a defense or military plans which is vital to the national security. These documents also contain recommendations, opinions and conclusions that if released could inhibit the frank discussion and analysis of issues thereby hampering the decision-making process. Therefore, the documents are denied under 5 USC 552(b)(1) and (5).

The documents denied are:

(1) The NATO Infrastructure Program
(2) What to do about Host Nation Support (HNS) Initiatives with the FRG
(3) NATO Long Term Defense Programs (LTDP)

The Initial Denial Authority is LTG Richard H. Groves, Deputy Advisor for NATO Affairs.

File

ASSISTANT SECRETARY OF DEFENSE (PROGRAM ANALYSIS AND EVALUATION)

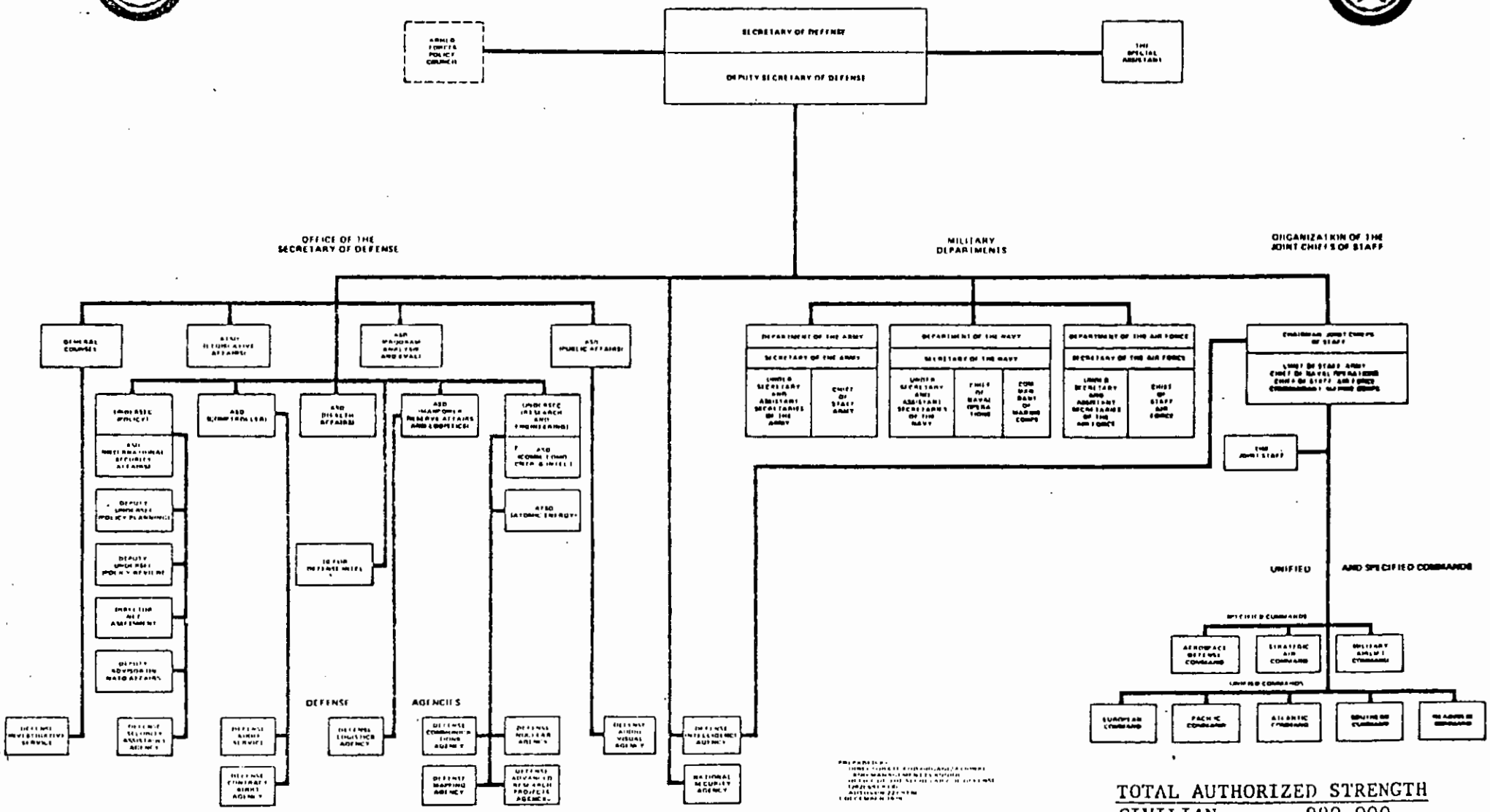
The Office of the Assistant Secretary of Defense for Program Analysis and Evaluation did not prepare issue papers for the Carter-Reagan Transition team.

THE SPECIAL ASSISTANT'S OFFICE

The attached documents were provided to the Carter-Reagan Transition Team. The documents have been reviewed and any information which would constitute a clearly unwarranted invasion of personal privacy of the individual members of the Special Assistant's Office has been deleted under the provisions of 5 U.S.C. 552(b)(6).

The Initial Denial Authority is Colonel Carl N. Beer, Executive Assistant to the Special Assistant.

DEPARTMENT OF DEFENSE



TOTAL AUTHORIZED STRENGTH	
CIVILIAN	990,000
MILITARY	2,059,000
TOTAL	3,049,000

IMMEDIATE OFFICE OF THE SECRETARY OF DEFENSE

THE SECRETARY OF DEFENSE SERVES AS THE PRINCIPAL ASSISTANT TO THE PRESIDENT ON ALL MATTERS RELATING TO THE DEPARTMENT OF DEFENSE. UNDER THE DIRECTION OF THE PRESIDENT AND SUBJECT TO THE PROVISIONS OF THE NATIONAL SECURITY ACT OF 1947, AS AMENDED, THE SECRETARY EXERCISES DIRECTION, AUTHORITY, AND CONTROL OVER THE DEPARTMENT OF DEFENSE.

THE DEPUTY SECRETARY OF DEFENSE ASSISTS IN THE ADMINISTRATION OF THE DEPARTMENT. THE DEPUTY IS DELEGATED FULL POWER AND AUTHORITY TO ACT FOR THE SECRETARY OF DEFENSE AND TO EXERCISE ALL POWERS OF THE SECRETARY AUTHORIZED BY LAW.

THE ARMED FORCES POLICY COUNCIL ADVISES THE SECRETARY OF DEFENSE ON MATTERS OF BROAD POLICY RELATING TO THE ARMED FORCES AS WELL AS SUCH OTHER MATTERS AS THE SECRETARY MAY DIRECT. THE MEMBERS REPORT REGULARLY TO THE COUNCIL ON MATTERS OF INTEREST TO THE DEPARTMENT OF DEFENSE.

THE SPECIAL ASSISTANT TO THE SECRETARY AND DEPUTY SECRETARY OF DEFENSE SERVES AS THE POINT OF CONTACT BETWEEN THE WHITE HOUSE STAFF AND ALL ELEMENTS OF THE DOD, SERVES AS EXECUTIVE SECRETARY TO THE ARMED FORCES POLICY COUNCIL, AND PROVIDES COUNSEL AND ASSISTANCE TO THE SECRETARY AND DEPUTY SECRETARY ON ANY MATTERS THEY DESIRE, BOTH WITHIN AND OUTSIDE OF THE DEPARTMENT.

SECRETARY OF DEFENSE

HAROLD BROWN, EX-I

CIV 7 MIL 2

DEPUTY SECRETARY OF DEFENSE

W. GRAHAM CLAYTOR, EX-II

CIV 5 MIL 2

ARMED FORCES POLICY COUNCIL

HAROLD BROWN	EX-I	SECDEF (CHMN)
W. GRAHAM CLAYTOR	EX-II	DEPSECDEF
CLIFFORD L. ALEXANDER	EX-II	SEC ARMY
EDWARD HIDALGO	EX-II	SEC NAVY
HANS M. MARK	EX-II	SEC AF
ROBERT W. KOMER	EX-III	U/S DEF(POLICY)
WILLIAM J. PERRY	EX-III	U/S DEF(R&E)
GEN DAVID C. JONES, USAF		CHMN, JCS
GEN EDWARD C. MEYER, USA		ARMY CoS
ADM THOMAS B. HAYWARD, USN		CNO
GEN LEW ALLEN, JR., USAF		AF CoS
GEN ROBERT H. BARROW, USMC		MC CMNDT

OTHER OFFICIALS ARE INVITED BY THE SECDEF TO ATTEND COUNCIL MEETINGS AS HE DEEMS APPROPRIATE.

SPECIAL ASSISTANT TO THE SECRETARY AND DEPUTY SECRETARY OF DEFENSE

PETER B. HAMILTON, ES-6

CIV 15 MIL 9

TOTAL AUTHORIZED STRENGTH

CIVILIAN	27
MILITARY	13
TOTAL	40

The Special Assistant's Office

Title	Grade Level	Name
The Special Assistant to the Secretary and Deputy Secretary of Defense	Level 06	Peter B. Hamilton
Executive Assistant to The Special Assistant	COL, USAF	Carl N. Beer
Confidential Assistant to The Special Assistant	GS-12	M. Joyce Nesmith
Private Secretary to the Secretary of Defense	GS-09	Betty P. Grim

PETER B. HAMILTON

The Special Assistant

to the

Secretary and Deputy Secretary of Defense

Peter B. Hamilton was appointed The Special Assistant to the Secretary and Deputy Secretary of Defense on December 21, 1979.

Mr. Hamilton was born in Philadelphia, Pennsylvania, on October 22, 1946. He received an A.B. degree, magna cum laude, from Princeton University in 1968, and a J.D. degree from Yale Law School in 1971. While at law school, he was an Editor and Officer of the Yale Law Journal.

During 1979, Mr. Hamilton served first as the Deputy General Counsel of the Department of Health, Education & Welfare, and then as the Executive Assistant to the HEW Secretary. In 1977 and 1978, he was the General Counsel of the Department of the Air Force. Prior to that, he practiced law in the Washington, D.C., firm of Williams & Connolly.

Mr. Hamilton was comissioned as an Ensign in the U.S. Navy upon graduation from college. He served on active duty from 1971 to 1974 in the Office of the Assistant Secretary of Defense (Systems Analysis) and in the Office of the General Counsel of the Department of Defense.

BIOGRAPHY

COLONEL CARL N. BEER

Colonel Carl N. Beer is Executive Assistant to The Special Assistant to the Secretary and Deputy Secretary of Defense. He serves as the DOD point of contact with the White House for meeting various requirements of the President and Vice President. He exercises management responsibility on behalf of The Special Assistant and provides direct support to the Secretary and Deputy Secretary on a wide range of issues affecting DOD programs.

Colonel Beer was born on March 25, 1935 in Buckhannon, West Virginia and graduated from high school in Hagerstown, Maryland. He earned a Bachelor of Science degree in Industrial Engineering, magna cum laude, from the University of Oklahoma in 1962. He received his commission and pilot wings through the Air Force aviation cadet program. Colonel Beer is a distinguished graduate of the Industrial College of the Armed Forces.

His early assignments were with the Air Defense Command, flying fighter-interceptor aircraft. After completing his M.S. in engineering in 1965, under the auspices of the Air Force Institute of Technology, Colonel Beer was assigned to Clark Air Base in the Philippines as an aircraft maintenance officer. His primary efforts were devoted to establishing a base support capability for the early F-4/RF-4 squadrons in Southeast Asia.

In May 1967 Colonel Beer was assigned to Davis-Monthan Air Force Base, Arizona as an F-4 instructor pilot training aircrews for combat duty in Southeast Asia. In April 1968 he was assigned to the 8th Tactical Fighter Wing at Ubon Air Base in Thailand. During the next 12 months Colonel Beer flew 265 combat missions (69 over North Vietnam) and led a maintenance/munitions analysis team which was credited with improvements in the readiness posture.

In June 1969 Colonel Beer was assigned to the USAF Academy as an instructor in the Department of Mathematical Sciences. Two years later he was selected for PhD sponsorship by the Academy and enrolled as a full-time student at the University of Oklahoma. Completing his Doctorate in Operations Research in 18 months, Colonel Beer returned to the Academy, and was academically promoted to Associate Professor of Mathematics.

Current as of: 12 January 1981

During his assignment at the Air Force Academy, Colonel Beer presented several papers to international symposia, including the results of his work in Stochastic Programming to Oxford University in England. He also served as Deputy Department Head until August 1976 when he entered the Industrial College of the Armed Forces.

In June 1977 Colonel Beer was assigned as Chief of the Fighter Division, Assistant Chief of Staff, Studies and Analyses, Headquarters U. S. Air Force. While in this capacity he led numerous study efforts addressing general purpose and theater nuclear force structure, readiness issues, and employment concepts. In June 1979 Colonel Beer was assigned as Director for Theater Force Analyses, with management responsibility for seventy military and civilian analysts and senior technical advisors (four Divisions). In December 1979 Colonel Beer became Executive Assistant to The Special Assistant in the Immediate Office of the Secretary of Defense.

His military decorations include the Defense Superior Service Medal, the Legion of Merit, the Distinguished Flying Cross with one oak leaf cluster, the Meritorious Service Medal, the Air Medal with fourteen oak leaf clusters, and the Air Force Commendation Medal with one oak leaf cluster.

Colonel Beer is married [redacted]

He was promoted to the grade of Colonel on January 1, 1977 with date of rank September 18, 1975.

BIOGRAPHY

MISS M. JOYCE NESMITH

Joyce Nesmith is the Confidential Assistant to The Special Assistant to the Secretary and Deputy Secretary of Defense.

Miss Nesmith was born on September 3, 1945 in Evansville, Indiana and graduated from high school in Washington, D. C. in 1963. She attended The American University in Washington, D.C. until 1965.

Miss Nesmith began her career in the government with the Air Force Research and Technology Division at Bolling Air Force Base in 1965, where she worked in the Materiel Division and later for the Executive Officer to the Commander. In 1967 she accepted a position with the Office of Space Systems in the Office of the Secretary of the Air Force at the Pentagon. In addition to her secretarial duties she was assigned research and writing responsibilties.

From 1970 to 1973 Miss Nesmith provided administrative and secretarial support to various panels of the President's Science Advisory Committee. In 1973 she joined the staff of the Deputy to the Director of Central Intelligence for the Intelligence Community, where she continued developing her administrative skills.

In 1974 she was invited to join the staff of the President's Foreign Intelligence Advisory Board where she again provided research and administrative support. In late 1974 Miss Nesmith began working for the Assistant Secretary of the Air Force (Research and Development) until she was asked to support the Secretary of the Air Force in 1977.

In June 1979 Miss Nesmith became the Confidential Assistant to the Executive Assistant to the Secretary of Health, Education and Welfare, where she worked until joining the office of The Special Assistant in October 1979.

The Military Assistants' Office

Title	Grade Level	Name
Military Assistant to The Special Assistant	CAPT, USN	Andrew C.A. Jampoler
Military Assistant to The Special Assistant	LTC, USA	Grant S. Green, Jr.
Military Assistant to The Special Assistant	LTC, USAF	Jean E. Klick
White House Fellow/Staff Assistant to the Secretary of Defense	GS-15	Michael K. Korenko
Staff Assistant to the Secretary of Defense	GS-14	Fredric D. Woocher
Staff Assistant to The Special Assistant	GS-11	Susan E. Kaslow
Personnel Security Specialist	CMSgt	Paul B. Leidy
Administrative Services Specialist	GS-09	Carol A. Chaffin
Secretary/Stenographer	GS-08	Diane L. Hawks
Secretary/Stenographer	GS-07	Joyce A. Menefee

Biography
Captain Andrew C.A. Jampoler
United States Navy

Captain Jampoler is presently Military Assistant to The Special Assistant to the Secretary and Deputy Secretary of Defense.

Captain Jampoler was born in January, 1942 in Poland. He was raised in southern Connecticut, where he attended primary and secondary school in Darien. In 1962, Captain Jampoler graduated from Columbia College, in New York City, with an AB degree in American history. Following graduation, he was commissioned an Ensign and began flight training. He was designated a naval aviator in November, 1963.

During eighteen years of naval service, Captain Jampoler's career has included roughly equal periods of shore and sea duty.

Sea assignments have been with three land-based maritime patrol squadrons (44, 5 and 19) and included five and six month deployments throughout the North Atlantic, Mediterranean, Western Pacific and Indian Ocean. During 1974-1975 he was Operations and later Aircraft Maintenance Officer in Patrol Squadron Five, in Jacksonville, Florida. Captain Jampoler's last sea duty (1976-1978) was as Commanding Officer of Patrol Squadron Nineteen, homeported at Naval Air Station Moffett Field, California. He has well over 3,000 flight hours in P3 aircraft, and has been a designated Anti-submarine Warfare Mission Commander, patrol plane commander, instructor, and maintenance evaluation pilot. He is an FAA licensed commercial pilot, with single- and multi-engine and instrument ratings, and a type rating in the Lockheed "Electra" aircraft.

Shore and overseas assignments include a tour of duty as an NROTC instructor at his alma mater (1967-1969), one year on the Headquarters Military Assistance Command staff in Saigon (1969-1970) as a psychological operations officer, and two tours of Washington duty.

The first Washington tour (1970-1973) included two years of service in the Strategic Plans and Policy Division (OP-60) of the Navy staff as a plans officer, and a year and one-half on the personal staff of the Chief of Naval Operations as his Assistant Secretary for Joint Chiefs of Staff matters. The present tour began in mid-1978.

Captain Jampoler completed two years of graduate study at the School of International Affairs of Columbia University; award of the school's MIA degree is anticipated during 1980,

following completion of the School's foreign language requirement. He is the author of three articles in the Proceedings, the monthly journal of the U.S. Naval Institute.

Captain Jampoler was selected three years in advance of his contemporaries for promotion to the grade of Commander, and one year early for advancement to his present grade. (His date of rank as Captain is August 1, 1980.) He holds the Meritorious Service Medal, and a number of other awards and decorations.

He is married [redacted]

Biography
Lieutenant Colonel Grant S. Green, Jr.
United States Army

Lieutenant Colonel Grant S. Green, Jr., is Military Assistant to the Special Assistant to the Secretary and Deputy Secretary of Defense.

LTC Green was born June 16, 1938 in Seattle, Washington. The son of a career Army officer he attended numerous schools, graduating from high school in Fort Smith, Arkansas. He earned a Bachelor of Arts degree in Political Science from the University of Arkansas in 1961. As a Distinguished ROTC graduate, he was at the same time commissioned in the Infantry as a Second Lieutenant. LTC Green later earned a Masters Degree in Personnel Management from George Washington University. LTC Green is a distinguished graduate of the Army Command and General Staff College as well as a graduate of the Air War College.

His early assignments were to Infantry and aviation units in the 82nd Airborne Division, Fort Bragg, N.C., and the 25th Infantry Division, Schofield Barracks, Hawaii, where he served as a company commander in an Infantry Battalion. After further career schooling in 1965, LTC Green served a year in Vietnam with the 1st Air Cavalry Division where he was the air operations officer for the 1st Brigade.

In 1967, LTC Green was assigned as Commanding Officer of the 2nd Warrant Officer Candidate Company, Fort Wolters, Texas, where, for over a two-year period, he was responsibile for the military development of more than 2000 future Warrant Officer aviators. In 1969, LTC Green returned to Vietnam for a second tour where he commanded an assault helicopter company in the 101st Airborne Division (Airmobile). Following this, he was assigned to Headquarters, 1st Army at Fort Meade, Maryland where he had staff responsibility for all unit training in the First Army area. After attendance at the Army Command and General Staff College in 1971, he was assigned, first to the Army Military Personnel Center and then to the Office of the Deputy Chief of Staff for Personnel in the Pentagon. In these assignments, from 1972 to 1976, he was responsible for allocation of training spaces and determination of training requirements and programs for more than 90% of all Army personnel receiving training in Service schools and training centers.

From August 1976 until September 1977, LTC Green commanded the 2nd Aviation Battalion (Combat), 2nd Infantry Division, Republic of Korea. This assignment was followed by service as a member of the Army Chief of Staff directed Army Training Study after which LTC Green attended the Air War College at Maxwell AFB, Alabama.

His military awards and decorations include the Distinguished Flying Cross, Bronze Star Medal with oak leaf cluster, the Meritorious Service Medal with oak leaf cluster, the Air Medal with twelve oak leaf clusters, the Army Commendation Medal, the Combat Infantry Badge, Senior Army Aviator Wings and the Army parachute badge.

LTC Green is not married.

He was promoted to the grade of LTC on May 6, 1975. He is on the current list for promotion to full Colonel.

Biography
Lieutenant Colonel Jean E. Klick
United States Air Force

Lieutenant Colonel Jean E. Klick is presently Military Assistant to The Special Assistant to the Secretary and Deputy Secretary of Defense.

Lieutenant Colonel Klick was born January 15, 1943 in Chicago, Illinois. She was graduated from Willowbrook Community High School, Villa Park, Illinois, in 1960 and attended Purdue University where she received a Bachelor of Arts degree in 1964. In 1970 she earned a Master's degree in business administration from Stanford University. During the 1977-78 academic year, Lieutenant Colonel Klick was Research Associate in Military Sociology at the University of Chicago. She also graduated from Squadron Officer School in 1971 and from Air Command and Staff College in 1975.

During sixteen years of military service, Lieutenant Colonel Klick's career has included primary duties in Administration, personnel, politico-military affairs, and plans and programming.

Lieutenant Colonel Klick was commissioned in December 1964 after completing Officer Training School and designation as a distinguished graduate. Her first assignment was as Assistant Director, Base Administration, England AFB, Louisiana. In August 1966 she was reassigned to Headquarters, Ninth Air Force, Shaw AFB, South Carolina, as Chief of the Publishing Division in the Directorate of Administration. In August 1967 she became the second female Air Force officer assigned to Thailand where she served as Executive Officer of the 432nd Tactical Reconnaissance Wing at Udorn Royal Thai Air Force Base. After completion of her Air Force Institute of Technology tour at Stanford University in June 1970, Lieutenant Colonel Klick served as Chief of the Career Control Section, Consolidated Base Personnel Office, Homestead AFB, Florida, until July 1972 when she became Chief, Personnel Division, 2nd Weather Wing, Wiesbaden Air Base, Germany. She then became Chief, Assignment Control Division, Deputy Chief of Staff, Personnel, Headquarters, United States Air Forces in Europe, in June 1973. Upon graduation from Air Command and Staff College in June 1975, she was assigned to Deputy Chief of Staff, Personnel, Headquarters Strategic Air Command, as Staff Director, Women in the Air Force, and later as Chief, Personnel Plans Branch. Following her year as a University of Chicago Research Associate in 1978, Lieutenant Colonel Klick served as Deputy Military Assistant to the Assistant Secretary of the Air Force for Manpower, Reserve Affairs, and Installations. She assumed her current duties in July 1979.

Her decorations and awards include the Meritorious Service Medal with two oak leaf clusters and the Air Force Commendation Medal with one oak leaf cluster.

Lieutenant Colonel Klick assumed her present grade on November 1, 1979.

Biography
Michael K. Korenko
White House Fellow

Michael K. Korenko, 35, was Materials Research Manager at the Westinghouse-Hanford Engineering Development Laboratory in Richland, Washington working with the Department of Energy prior to his selection as a White House Fellow. In that capacity he contributed to the development of advanced containment materials for breeder and fusion reactors. His current professional interests are focused on encouraging long term strategic planning and enhancing productivity in the government and private sectors.

A native of Garfield Heights, Ohio, he received a B.S. and an M.S. degree in Materials Sciences from Case-Western Reserve University and an Sc.D. from Massachusetts Institute of Technology. He then completed a NATO Postdoctoral Fellowship at Oxford University where he worked both on nuclear materials and on bio-medical research. Since 1974, Dr. Korenko has chaired three different national task groups which coordinated the fundamental research and alloy design activities of several laboratories across the country that were engaged in materials research for energy application. He has been awarded several patents and has recently received the Westinghouse-Hanford Invention of the Year Award.

His extracurricular activities have included teaching at the Joint Center for Graduate Study. He is married.

Michael K. Korenko

White House Fellow

Primary Duties

The White House Fellow's responsibilities and activities at the Department of Defense are divided into three broad categories: (1) direct staff assistance to the Secretary or The Special Assistant, (2) special projects, and (3) educational activities. Officially, the White House Fellow is Staff Assistant to the Secretary, however, the extent of direct utilization of the Fellow is at the discretion of the Secretary. The special projects of the current Fellow include re-industrialization of the defense commercial sector, demilitarization of useless or unstable chemical weapons, and an assessment of the potential of rapid solidification technology to extend the operational ranges of current defense hardware. The Fellow's educational activities involve attending speaker sessions or trips as scheduled by the Commission for White House Fellowships in the Office of Personnel Management. In addition, the program also includes briefing sessions by the executive officers within OSD and the Services and attendance of key meetings with the Secretary and the Deputy Secretary.

His current assignments have required interfacing with the Offices of the Comptroller, Manpower, Reserve Affairs and Logistics, and Research and Engineering, of OSD. The primary contacts external to OSD have been with the Office of Management and Budget, House Appropriations Committee, and the Joint Armed Services Committee.

FREDRIC D. WOOCHER

HOME ADDRESS: [redacted]

EDUCATION

STANFORD LAW SCHOOL
J.D., June 1978

Honors: Order of the Coif
Hilmer Oehlman, Jr., Award for Excellence in Legal Writing

Activities: President, Stanford Law Review (Vol. 30)
Note, Did Your Eyes Deceive You? Expert Psychological Testimony on the Unreliability of Eyewitness Identification, 29 Stan. L. Rev. 969 (May 1977)
Judicial Clerkship Committee
Law Students Civil Rights Research Council
National Lawyers Guild

STANFORD UNIVERSITY
Ph.D. in Psychology, June 1977 (Human Memory and Learning)

Honors: National Science Foundation Graduate Fellowship
Activities: Graduate Student Council

YALE UNIVERSITY
A.B. in Psychology, June 1972 (Minor in Statistics)

Honors: Phi Beta Kappa
Magna Cum Laude
Departmental Honors with Highest Distinction
Angier Prize for Outstanding Undergraduate Research Project
NSF Undergraduate Fellowship

Activities: Varsity Hockey (Mgr.)

EMPLOYMENT EXPERIENCE

1980-Present Department of Defense
Washington, D.C.

Staff Assistant to Secretary of Defense Harold Brown

1979-80 United States Supreme Court
Washington, D.C.

Law Clerk for Justice William J. Brennan, Jr.

1978-79	United States Court of Appeals for the D.C. Circuit Washington, D.C. Law Clerk for Judge David L. Bazelon
Summer 1977	Wilmer, Cutler & Pickering Washington, D.C. Summer Associate
Summer 1977	Manatt, Phelps, Rothenberg, Manley & Tunney Los Angeles, California Summer Associate
1973-77	Department of Psychology Stanford University Teaching Assistant and Lecturer: Taught an average of two undergraduate and graduate courses per year
1976-77	San Mateo County Private Defender Program Redwood City, California Legal Aid Intern: Client interviews, LPS motions, court appearances for Mental Health Unit, and preparation of briefs and motions for criminal cases.
1975-77	Santa Clara County Public Defender's Office San Jose, California Consultant: Expert witness and advisor on topic of eyewitness identification; gave invited presentation at California State Public Defenders Convention, San Francisco, California, April 1976.

PERSONAL DATA

Born: January 13, 1951 in New York, New York
Health:
Major Interests:

Biography
Susan E. Kaslow

Susan E. Kaslow presently is Staff Assistant to The Special Assistant. In this capacity, she serves as the DoD liaison to the White House on all personnel appointments to non-career positions and to special boards and study groups. Advises and makes recommendations to The Special Assistant on the disposition of these personnel requests. Meets with prospective candidates for positions in DoD to determine their qualifications and expectations and arranges interviews with the appropriate officials. Handles all requests for outside DoD support.

Miss Kaslow was born March 9, 1945 in New York, New York. She attended Harcum Jr. College in Bryn Mawr, Pennsylvania and the University of Maryland.

Miss Kaslow has been in her present position since October 1979. Prior government service includes: Confidential Assistant to the General Counsel of the Army from March 1977 to October 1979; Confidential Assistant to the General Counsel of the Privacy Protection Study Commission; Administrative Assistant in the Office of the Watergate Special Prosecution Force from June 1973 to October 1975; various positions in the Department of Justice from January 1972 to June 1973; Administrative Assistant in the Military Personnel Office, Defense Intelligence Agency from May 1967 to January 1972; and assistant in the Plans & Policy Directorate, Joint Chiefs of Staff.

During her career in the government, Miss Kaslow has received numerous awards.

Posture Statement/Speeches Office

Title	Grade Level	Name
Assistant to the Secretary of Defense	SES-01	Albert C. Pierce
Military Assistant	LTC, USA	Howard W. Randall
Military Assistant	MAJ, USAF	Robert J. Boots
Secretary	GS-08	Karen J. Kealey
Secretary	GS-07	Ann H. Cornett

BIOGRAPHY

ALBERT C. PIERCE

Since February 1980, Dr. Albert C. Pierce has served as Assistant to the Secretary of Defense. His principal responsibilities include preparation of speeches, policy statements, and Congressional testimony on the full range of national security issues for the Secretary of Defense and for the Deputy Secretary. He is the principal drafter of the Secretary's Annual Report to the Congress.

Dr. Pierce spent two years with the U.S. Arms Control and Disarmament Agency, where his area of special expertise was strategic arms limitation, in particular the SALT II Treaty. During his time at ACDA, he served as Assistant to the Counselor and later as Special Assistant in the Office of the Director.

Before entering federal service, Dr. Pierce was a Research Associate and Assistant to the President of the University of Massachusetts. From 1973 to 1975, he was a consultant to Cambridge Survey Research, Inc. and to the John F. Kennedy Library, Inc. He was also affiliated with the Institute of Politics at Harvard University, where he conducted several study groups.

A cum laude graduate of the Catholic University of America in Washington, D.C., Pierce holds a doctorate in political science from Tufts University. While a graduate student there, he was a Research Fellow, a National Science Foundation Fellow, and a Teaching Fellow in international relations.

Born in Philadelphia,

BIOGRAPHY

LIEUTENANT COLONEL HOWARD W. RANDALL

Lieutenant Colonel Howard W. Randall, recently selected for promotion to Colonel, is currently assigned as a Military Assistant in the Office of The Special Assistant to the Secretary and Deputy Secretary of Defense. Prior to his assignment as a Military Assistant, he was assigned as a Program Analyst in the Program Analysis and Evaluation Directorate, Office of the Army Chief of Staff.

Following graduation from West Point in 1961, he attended infantry, ranger and airborne training at Fort Benning, Georgia. His first assignment was in the 25th Infantry Division in Hawaii. In 1963, he attended the Special Warfare School at Fort Bragg, North Carolina, and learned Vietnamese at the Defense Language Institute. While serving as an Advisor to the Vietnamese Rangers in 1964, he was wounded and evacuated back to the United States.

Lieutenant Colonel Randall then served as a Company Commander and later as Aide-De-Camp to the Commanding General at Fort Ord, California. In 1967, he returned to South Vietnam where he initially served in the 1st Infantry Division and subsequently in the II Field Force Long Range Patrol Company.

From 1970 to 1973 he was assigned to the Army Staff at the Pentagon in the Office of the Assistant Chief of Staff for Force Development. His next assignment was to Germany in the 8th Mechanized Infantry Division where from 1974 to 1978 he was a Battalion Executive Officer, Brigade Executive Officer, Battalion Commander, and the Division G-3.

Lieutenant Colonel Randall holds a B.S. degree from West Point and an MBA (ORSA) from Tulane University. He has graduated from the Armor Officers Career Course, the Armed Forces Staff College, and the Army War College. His military decorations include three bronze star medals, three meritorious service medals, nine air medals, two Army commendation medals, the purple heart medal, and the Combat Infantryman Badge.

Lieutenant Colonel Randall is married

BIOGRAPHY

MAJOR ROBERT J. BOOTS

Major Robert J. Boots, recently selected for promotion to Lieutenant Colonel, is currently assigned as a Military Assistant in the Office of the Special Assistant to the Secretary and Deputy Secretary of Defense. As a Military Assistant, Major Boots provides assistance on Service related issues, preparation of speeches and testimony, and drafting of the Secretary's Annual Report to Congress.

Prior to his assignment as a Military Assistant, Major Boots was assigned as a Strategy and Planning Officer in the Directorate of Plans, Headquarters US Air Force from July 1979 to July 1980.

Major Boots was appointed to the USAF Academy in 1964 and graduated with the Class of 1968. He attended Pilot Training at Vance AFB, Oklahoma and was awarded his wings in August, 1969. He was subsequently assigned to Southeast Asia in the 460th Tactical Reconnaissance Wing where he flew 212 combat missions between 1969 and 1970.

In 1970 he was assigned to the 20th Military Airlift Squadron at Dover AFB, Delaware flying the C-141 as an instructor pilot and flight examiner. In 1972 Major Boots was selected as Aide and Executive Officer to the Commander of 21st Air Force at McGuire AFB, New Jersey.

In 1975 Major Boots was assigned to Headquarters Military Airlift Command as an Aircrew Standardization and Evaluation Flight Examiner. He also served as pilot for the Commander-in-Chief of the Military Airlift Command at Scott AFB, Illinois.

In 1978 Major Boots entered the Air Command and Staff College at Maxwell AFB, Alabama and graduated as a Distinguished Graduate in June 1979.

Major Boots holds a B.S. degree in Mathematics from the USAF Academy and an MBA from Webster College. He is a Senior Pilot with over 4000 hours flying time. He is also a qualified parachuist. His military decorations include: the Distinguished Flying Cross, the Air Medal, and the Meritorious Service Medal.

Major Boots is married

Protocol Office

Title	Grade Level	Name
Protocol Officer for the Secretary of Defense	LTC, USAF	Richard J. Tipplady
Officer in Charge/Secretary of Defense Mess	CW03, USA	William P. Raines
Administrative Assistant	GS-08	Eugenie M. Daugherty
Secretary/Stenographer	GS-07	Greta A. Lomas

BIOGRAPHY

LIEUTENANT COLONEL RICHARD J. TIPLADY

Lieutenant Colonel Richard J. Tiplady is Protocol Officer to the Secretary of Defense.

Lieutenant Colonel Richard J. Tiplady was born on September 8, 1940, in Ann Arbor, Michigan. In June of 1964, he graduated from the United States Military Academy and was commissioned as a Second Lieutenant in the United States Air Force. He is a graduate of Squadron Officers School, Maxwell Air Force Base, Alabama, 1969; Armed Forces Staff College, Norfolk, Virginia, 1972; Industrial College of the Armed Forces, 1979; and Central Michigan University (MBA), 1980.

Lieutenant Colonel Tiplady was initially assigned as a Management Engineering Officer at Lowery Air Force Base, Colorado (1964). From December 1965 through June 1967, he served as a Management Engineer, DCS/Plans, Hq Military Airlift Command, Scott Air Force Base, Illinois. From July 1967 to January 1970, Lieutenant Colonel Tiplady served as Administrative Assistant, Office of the Chief of Staff, Hq MAC. In January 1970, he was selected as Deputy Director of the Secretariat, Hq MAC.

From January to December 1971, Lieutenant Colonel Tiplady served as Chief of the Administrative Division and later as Executive Officer, Office of the Inspector General, Hq 7th Air Force. Following six months at Armed Forces Staff College, he was assigned to the Pentagon as Executive Officer to the Director, Doctrine, Concepts and Objectives, DCS/Plans and Operations, Hq USAF.

In 1974, Lieutenant Colonel Tiplady was selected as Deputy Executive Assistant to the Under Secretary of the Air Force. He served as Executive Military Assistant to the Under Secretary during the 1977 transition period and entered the Industrial College of the Armed Forces (ICAF), in 1978. Lieutenant Colonel Tiplady assumed his current position upon graduation from ICAF in 1979.

His military decorations include the award of the Bronze Star and the Meritorious Service Medal with Oakleaf Cluster.

Lieutenant Colonel Tiplady is married

(Current as of 13 Nov 1980)

BIOGRAPHY

CHIEF WARRANT OFFICER 3 WILLIAM P. RAINES
UNITED STATES ARMY

Mr. Raines is Officer in Charge of the Secretary of Defense Mess.

Mr. Raines was born on July 2, 1945, in Paw Paw, Kentucky. He attended public schools in Hurley, Virginia. Mr. Raines is a graduate of the Lewis Hotel and Restaurant Management School and the Army Club Management School. In 1975, Mr. Raines graduated from Upper Iowa University in Fayette, Iowa, with a BA in Public Administration. Mr. Raines is currently working towards completion of an MBA in Business Management from Central Michigan University. Award of the degree is expected in July 1981.

Mr. Raines has eighteen years of Service, with three overseas tours.

Overseas assignments have been with the 7th Infantry Division in Korea (1962-63); the 24th Corps Headquarters in Vietnam as Food Advisor (1969-70); and with USAEUR and 7th Army at Garmisch, Germany, as the Director, Hotel Operations and Training, for the largest non-appropriated fund in the Department of Defense (1975-78).

Mr. Raines' first Washington tour was at Ft. Myer, Virginia, as a Food Service Shift Leader (1963-64), and later to the Secretary of the Army Mess in the Pentagon (1964-68). From 1972-1975, Mr. Raines was assigned once again to the Office, Secretary of the Army as the Officer in Charge of the Secretary of the Army Mess. After completion of his latest overseas tour in 1978, Mr. Raines was assigned as the Officer in Charge of the Secretary of Defense Mess.

Mr. Raines was selected two years in advance of his contemporaries for promotion to Chief Warrant Officer W-4. He holds the Bronze Star Medal, three Meritorious Service Medals, and the Army Commendation Medal. He also has a number of other awards and decorations.

Mr. Raines is married

Security Office

Title	Grade Level	Name
Assistant for Personal Security	GS-15	Joseph E. Zaice
Assistant for Personal Security	GS-11	William R. Brown

BIOGRAPHY

JOSEPH E. ZAICE

Joseph E. Zaice became Assistant (Personal Security) to the Secretary of Defense in July 1969. He has served in this capacity for the last six (6) Secretaries of Defense.

Born in Elmsford, New York on 25 June 1928. He received a B.S. degree in 1952 from Seton Hall University and an M.S. degree in 1962 from Washington State University. He was graduated from the U.S. Army Command and General Staff School, Ft Leavenworth, Kansas in 1965.

Mr Zaice has served over 24 years in the United States Army with assignments in the Military Police Corps which included Commanding Officer of Military Police Detachments; Instructor at Military Police Schools and Commanding Officer of Criminal Investigations Branches.

Mr Zaice began his association with the Office of the Secretary of Defense in May 1968 while still on active duty on the Department of Army Staff. During that same summer he supervised U.S. Army CID Agents in support of the U.S. Secret Service at both the Republican and Democratic Presidential Conventions.

In 1969, Mr Zaice was assigned on active duty to the personal staff of the incumbent Secretary of Defense until retirement from the U.S. Army in 1970. Thereupon he was employed in a civilian capacity and administratively assigned to the Office of The Special Assistant to the Secretary of Defense.

As Assistant (Personal Security) to the Secretary of Defense he has travelled throughout the United States and around the world with the current and former U.S. Secretaries of Defense for the past 11 years. Employed initially in a Personal Security role, duties were amended to include complete travel arrangements for the Secretary of Defense and his party, protocol activities, newsmedia relationships and liaison with governmental (U.S. and Foreign) leaders and ranking leaders of the military industrial complex. He has established liaison with Municipal, State and Federal Police Agencies during the Secretary's personal appearances throughout the world.

Married

BIOGRAPHY

WILLIAM R. BROWN

William R. Brown is the Staff Assistant to the Assistant (Personal Security) to the Secretary of Defense.

Mr Brown was born in Uniontown, Kentucky on 23 November 1935 and graduated from Mater Dei High School in Evansville, Indiana in June 1954.

Mr Brown enlisted in the United States Air Force in September 1954. After basic training he was assigned to the Air Defense Command with duty station in Duluth, Minnesota; Goose Bay, Labrador; Steward AFB, New York; Duluth, Minnesota and The Pentagon, Washington, D.C.

Duties from 1954 thru 1963 were of administrative nature. In 1963 became the Acting Base Sergeant Major of the 343rd Fighter Group in Duluth, Minnesota. These duties involved supervising the overall administrative functions of the base which included Classified Control; mail deliveries; records management; publications; and the duplicating facilities.

From January 1967 thru August 1969 was assigned to the State-Defense Study Group in the Pentagon, Washington, D.C. Duties involved research and administration for approximately 40 professionals which included both civilians & military assigned to the Study Group to conduct long range studies in conjuction with the National Security Council.

In September 1969 Mr Brown was assigned to the Office of the Secretary of Defense Security Division.

Upon retiring from the United States Air Force in September 1974, Mr Brown became the Staff Assistant to the Assistant (Per Sec) to the Secretary of Defense.

DEPARTMENT OF DEFENSE
DIRECTIVES SYSTEM TRANSMITTAL

NUMBER	DATE	DISTRIBUTION
1315.13 -Ch 3(REPRINT) (Supersedes Ch 2, 9/3/74)	December 30, 1975	1300 series

ATTACHMENTS

REPRINT of DoD Directive 1315.13, 2/4/70

INSTRUCTIONS FOR RECIPIENTS

REPRINT

The attached REPRINT of DoD Directive 1315.13, "Assignment of Military Personnel to the Office of the Secretary of Defense, Organization of the Joint Chiefs of Staff, and the Defense Agencies," dated February 4, 1970, incorporates authorized changes to pages 2, 3, 5 and 6, which are indicated by marginal asterisks.

The REPRINTED Directive should be substituted for copies of DoD Directive 1315.13 previously distributed.

EFFECTIVE DATE AND IMPLEMENTATION

This Change is effective immediately. Two copies of revised implementing regulations shall be forwarded to the Assistant Secretary of Defense (Comptroller) within 60 days.

Maurice W. Roche

MAURICE W. ROCHE, Director
Correspondence and Directives
OASD(Comptroller)

WHEN PRESCRIBED ACTION HAS BEEN TAKEN, THIS TRANSMITTAL SHOULD BE FILED WITH THE BASIC DOCUMENT

SD FORM 1 MAR 62 106-1 PREVIOUS EDITIONS ARE OBSOLETE

(REPRINT WITH CHANGES
THROUGH 12/30/75 INCORPORATED)

February 4, 1970#
NUMBER 1315.13

ASD(C)

Department of Defense Directive

SUBJECT ~~Assignment of Military Personnel to the Office of the Secretary of Defense, Organization of the Joint Chiefs of Staff and the Defense Agencies~~

References: (a) DoD Directive 1100.8, "Assignment of Military and Civilian Personnel to the Office of the Secretary of Defense," April 28, 1961 (hereby cancelled)

(b) DoD Instruction 1320.4, "Military Officer Actions Requiring Presidential, Congressional, or Secretary of Defense Approval," May 29, 1968

(c) DoD Directive 1100.9, "Military-Civilian Staffing of Management Positions in the Support Activities," September 8, 1971

(d) DoD Directive 5158.1, "Organization of the Joint Chiefs of Staff and Relationships with the Office of the Secretary of Defense," December 31, 1958

I. REISSUANCE AND PURPOSE

This Directive reissues reference (a) to update policies governing the assignment of military personnel to the Office of the Secretary of Defense, the Organization of the Joint Chiefs of Staff, and the Defense Agencies, and provides all DoD components with uniform procedures to be followed in filling military billets established under DoD Directive 1100.9 (reference (c)). Reference (a) is hereby superseded and cancelled.

II. APPLICABILITY

The provisions of this Directive apply to all components of the Office of the Secretary of Defense, the Organization of the Joint Chiefs of Staff, the Defense Agencies ~~(excluding the National Security Agency)~~, and the Military Departments.

#Second amendment (Ch 2 (Reprint), 9/3/74)

3

III. POLICY

A. All positions in the Office of the Secretary of Defense, the Organization of the Joint Chiefs of Staff, and the Defense Agencies will be evaluated under the provisions of DoD Directive 1100.9 (reference (c)) and a determination made of positions to be filled by military personnel.

B. Positions designated as military will be filled so as to represent the Military Services equitably, providing such distribution is in accord with the resources of the Services and/or in accordance with approved manning documents. When appropriate, the occupancy of positions will be rotated among the Military Services.

C. The normal tour of duty for military personnel assigned in accordance with this Directive will be three years, unless otherwise specified or arranged with the Military Services. Extensions should be approved when they are consistent with Military Service requirements and/or career progression of the military personnel concerned, and are not in conflict with statutory limitations.

D. Military personnel may be released prior to completion of a normal or extended tour of duty provided the concurrence of the Chairman of the Joint Chiefs of Staff, a principal staff assistant to the Secretary of Defense (Director, Defense Research and Engineering, Assistant Secretaries of Defense, and Assistants to the Secretary of Defense), or the Director of the Defense Agency concerned has been obtained. Requests from the Military Services for reasons of operational necessity should be approved provided a timely replacement action is taken.

* E. When a general/flag officer is assigned duties as a Deputy Assistant Secretary of Defense, his authority is limited in that he will not act for or perform the functions of the Assistant Secretary. *

IV. DELEGATION OF AUTHORITY

When appropriate, each official may delegate the functions outlined in subsections VI.A. and B. of this Directive, to the extent necessary, to appropriate officials within the organization for which they are responsible.

#First amendment (Ch 3 (Reprint), 12/30/75)

4

RESPONSIBILITIES

A. The Chairman of the Joint Chiefs of Staff, the Deputy Assistant Secretary of Defense (Administration) for the Office of the Secretary of Defense, and the Directors of Defense Agencies utilizing military personnel are responsible for implementing the policies and procedures outlined in this Directive.

B. The Deputy Assistant Secretary of Defense (Administration) is responsible for accomplishing all matters affecting the assignment, reassignment, and release of military personnel to and from the Office of the Secretary of Defense.

C. The Secretaries of the Military Departments are responsible for nominating and/or assigning military personnel within the prescribed suspense dates and assuring that special qualifications (i.e., security, education, and experience requirements) reflected on personnel requisitions are met.

VI. PROCEDURES

A. Functional Charts, Organizational Charts, Staffing Plans and Positions Descriptions

1. Principal Staff assistants to the Secretary of Defense will prepare and approve information required for organization charts, function charts, and staffing plans, based on approved authorizations for their respective organizations.

a. Each position will be identified as military or civilian.

b. Completed military position descriptions (SD Form 37) will be submitted to the Deputy Assistant Secretary of Defense (Administration), Attn: Military Personnel Division, in support of staffing plans when the title or content of a position is revised.

c. Military personnel requirements will be submitted to the Deputy Assistant Secretary of Defense (Administration), Attn: Military Personnel Division, on SD Form 37, "Request for Nominations of Military Personnel." Except in unusual circumstances, nominations will be requested from only one Military Service for each requirement. The SD Form 37 for positions of Deputy Assistant Secretary of Defense must contain the comment that the incumbent will not act for or perform the functions of the Assistant Secretary.

#Second amendment (Ch 3 (Reprint), 12/30/75)

5

d. Organization charts, function charts, staffing plans, and position descriptions will be subjected to continuing review and updated as changes occur.

e. Changes in organization charts, function charts, staffing plans, and position descriptions will be provided the Deputy Assistant Secretary of Defense (Administration) as they occur or upon his request.

2. The Chairman of the Joint Chiefs of Staff and Directors of Defense Agencies (with the exception of NSA/CSS) will:

a. Prepare and approve information required for organization charts, function charts, and staffing plans, based on approved authorizations for their respective organizations.

b. Identify each position as military or civilian.

c. Support the staffing plan with appropriate position descriptions or definitive statements of military personnel requirements.

d. Conduct a continuing review of organization charts, function charts, staffing plans, and position descriptions, updating them as changes occur.

e. Provide organization charts, function charts, and staffing plans to the Deputy Assistant Secretary of Defense (Administration) as changes occur and upon his request.

3. The Director of the National Security Agency/Central Security Service (NSA/CSS) will, through close working relationships with the Military Departments, provide for manpower documentation and review, to include the following:

a. Provide organizational manual, chart, organization titles and designators to Services on a limited distribution basis and make available complete NSA/CSS Table of Distribution for review as required, through Service Cryptologic Agencies (SCA) liaison offices and the office of NSA/CSS Representative in the Pentagon.

b. Provide detailed military requirements to SCAs/Services by Service, grade, skill and organizational assignment, and provide additional supportive descriptions of all officer and top three enlisted manpower requirements.

c. Provide organizational charts to office-level identifying key billets as to civilian/military and grade.

d. Provide periodic feedback of billet incumbency information to facilitate manning procedures and conduct annual review of key billet assignments in coordination with Senior Service Representatives and SCA Chiefs.

e. Conduct periodic review and coordination, at appropriate level, of manpower resource program adjustments and resultant impacts on personnel manning plans, referring any unresolved issues growing out of these reviews to OSD for decision.

4. The Chairman of the Joint Chiefs of Staff, Directors of Defense Agencies, and the Deputy Assistant Secretary of Defense (Administration) for the Office of the Secretary of Defense will provide each of the Military Services their current organization charts, function charts, staffing plans, and military position descriptions.

#First amendment (Ch 2(Reprint), 9/3/74)

5. The Secretaries of the Military Departments will incorporate positions designated "Military" under provisions of this Directive into their manpower and personnel systems.

B. Filling of Positions

1. The Chairman of the Joint Chiefs of Staff, Deputy Assistant Secretary of Defense (Administration) for the Office of the Secretary of Defense, and the Directors of Defense Agencies (with the exception of NSA/CSS and those positions addressed in paragraph VI.B.4.) will submit personnel requisitions and a copy of the applicable military position description to the appropriate Military Service, through personnel channels, approximately nine (9) months in advance of the scheduled rotation date. The personnel requisition will indicate all special qualifications, including level of security clearance or special access requirements for the billet. New or additional personnel requirements will be forwarded to the Military Service when approved. Requisitions for positions addressed in paragraph VI.B.4. will be submitted ~~after clearance is obtained from The Special Assistant to the Secretary and Deputy Secretary of Defense~~

2. When filling positions designated as "Nominative," by the Chairman of the Joint Chiefs of Staff, Deputy Assistant Secretary of Defense (Administration) for the Office of the Secretary of Defense, and the Directors of Defense Agencies (with the exception of NSA/CSS), the Secretaries of the Military Departments will provide qualification records or brief digest of the military history and performance of the nominee to the requisitioning personnel office for acceptability determination at least one hundred twenty (120) days prior to the proposed reporting date. Qualification records of individuals being assigned without prior nomination will be provided at the time the assignment is made.

3. The Chairman of the Joint Chiefs of Staff, Principal Staff Assistants to the Secretary of Defense and the Directors of Defense Agencies (with the exception of NSA/CSS and those positions addressed in paragraph VI.B.4.), as appropriate, will determine the acceptability of military personnel and advise the nominating Military Service through prescribed personnel channels within fifteen (15) days of receipt of the qualification records.

4. ~~The Secretary and Deputy Secretary of Defense and The Special Assistant thereto must be kept informed of projected vacancies, which by their nature have a policy making impact on the Department of Defense.~~ This broad definition includes as a minimum positions that are the equivalent of a Deputy Assistant Secretary of Defense. ~~The following procedures apply:~~

#Second amendment (Ch 3 (Reprint), 12/30/75)

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a. ~~The Special Assistant to the Secretary and Deputy Secretary of Defense will be advised of all projected vacancies prior to any actions, formal or informal, to fill the position.~~ Where the anticipated loss is on a programmed basis this notice should be in sufficient time so that the Military Departments can nominate and reassign in an orderly manner and avoid personnel turbulence.

b. ~~Recommendations~~ from the appropriate official regarding his suggested candidate/candidates to fill the position ~~should be provided to The Special Assistant to the Secretary and Deputy Secretary of Defense.~~ The Special Assistant will subsequently advise as to any interviewing of the candidate the Secretary and Deputy Secretary of Defense may desire to conduct.

c. ~~No commitment accepting any candidate will be made without prior clearance of The Special Assistant to the Secretary and Deputy Secretary of Defense who obtains the concurrence of the Secretary or Deputy Secretary of Defense.~~

5. The Military Services will conduct any security checks and investigations required to satisfy security requirements of each billet and will publish orders to effect the assignment of military personnel to the gaining organization.

C. Rotation and Release of Military Personnel. The Secretaries of the Military Departments will reassign military personnel for duty (or release from duty) upon receipt of appropriate notification from the Chairman of the Joint Chiefs of Staff, the Deputy Assistant Secretary of Defense (Administration), or the Director of the Defense Agency concerned.

D. General and Flag Officer Positions

1. Assignment actions involving general and flag officers which require the advice of the Joint Chiefs of Staff, specific approval of the Secretary of Defense and/or the President of the United States, with the concurrence by the United States Senate, will be processed in accordance with the provisions of DoD Instruction 1320.4 (reference (b)).

2. The Chairman of the Joint Chiefs of Staff, Principal Staff Assistants to the Secretary of Defense, and Directors of Defense Agencies, as appropriate, will:

   a. Evaluate the qualifications of the general or flag officers nominated by the Military Services. When feasible based upon availability an interview may be conducted with the nominees.

   b. Transmit actions recommended for approval, by memoranda, to the Secretary of Defense when Secretary of Defense approval is required.

3. Except where otherwise required by law, the assignment of officers to general and flag rank positions below the rank of lieutenant general and vice admiral will be made with the approval of the Chairman of the Joint Chiefs of Staff, a principal staff assistant to the Secretary of Defense, or the Director of the Defense Agency concerned, with the following provisions:

   a. Assignments to the positions of Director and

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#Second amendment (Ch 3 (Reprint), 12/30/75)

Principal Deputy of Defense Agencies will be subject to the concurrence of the Deputy Secretary of Defense. All other assignments to general and flag rank positions within Defense Agencies will be subject to the concurrence of the Deputy Assistant Secretary of Defense (Administration). *

b. Assignments to the Office of the Secretary of Defense will be subject to the concurrence of the Deputy Assistant Secretary of Defense (Administration) or higher authority. *

c. Assignments to the Organization of the Joint Chiefs of Staff will be approved by the Chairman of the Joint Chiefs of Staff in accordance with DoD Directive 5158.1 (reference (d)).

VII. EXCEPTIONS

The Chairman of the Joint Chiefs of Staff, the Deputy Assistant Secretary of Defense (Administration) for the Office of the Secretary of Defense, and the Director of the Defense Agency concerned, as appropriate, may approve exceptions to the staffing plan in instances when qualified individuals of the designated category or rank are not available to fill authorized positions. *

VIII. EFFECTIVE DATE AND IMPLEMENTATION

This Directive is effective immediately. Two (2) copies of implementing instructions will be forwarded to the Deputy Assistant Secretary of Defense (Administration) no later than 120 days from the date of this Directive. *

Deputy Secretary of Defense

#First amendment (Ch 2 (Reprint), 9/3/74)

9/10L

DEPARTMENT OF DEFENSE
DIRECTIVES SYSTEM TRANSMITTAL

NUMBER	DATE	DISTRIBUTION
1442.4 - Ch 1 (Reprint)	July 2, 1969	1400 series

ATTACHMENTS

Reprint of DoD Directive 1442.4, January 11, 1965

INSTRUCTIONS FOR RECIPIENTS

The attached reprint of DoD Directive 1442.4, "Procurement of Temporary and Intermittent Services of Experts and Consultants," dated January 11, 1965, incorporates authorized changes to reference (b) and IV. C. 2., which are indicated by marginal asterisks. The reprint should be substituted for copies of the directive originally distributed.

The title "Assistant Secretary of Defense (Manpower)" appearing in V. (page 4) has been changed to read "Assistant Secretary of Defense (Manpower and Reserve Affairs)".

EFFECTIVE DATE AND IMPLEMENTATION

The above changes are effective immediately. Two (2) copies of implementing instructions shall be forwarded to Assistant Secretary of Defense (Manpower and Reserve Affairs) within sixty (60) days.

Maurice W. Roche

MAURICE W. ROCHE
Director, Correspondence and Directives Division
OASD(Administration)

WHEN PRESCRIBED ACTION HAS BEEN TAKEN, THIS TRANSMITTAL SHOULD BE FILED WITH THE BASIC DOCUMENT

SD FORM 1 MAR 62 106-1 PREVIOUS EDITIONS ARE OBSOLETE

(REPRINT with changes through 7/2/69 incorporated)

January 11, 1965 #
NUMBER 1442.4

ASD(M)

Department of Defense Directive

SUBJECT ~~Procurement of Temporary and Intermittent Services of Experts and Consultants~~

Refs.: (a) DoD Directive 1442.4, subject as above, July 17, 1962 (hereby cancelled)
(b) DoD Directive 5500.7, "Standards of Conduct," August 8, 1967 *

I. PURPOSE

This Directive prescribes general regulations governing the employment of individual experts, consultants, and part-time advisory personnel in the Department of Defense, including the procurement of individual services by contract.

II. CANCELLATION

Reference (a) is hereby superseded and cancelled.

III. APPLICABILITY

This Directive is applicable to all components of the Department of Defense (military departments, Defense Agencies and the Office of the Secretary of Defense), hereinafter referred to as "DoD Components."

IV. GENERAL REGULATIONS

A. The clear purpose of the statutory authorities to employ consultants or experts and to procure the services of part-time advisers is to make available highly specialized services which normally could not be obtained through the employment of individuals in regular Classification Act positions. The employment of individuals under these authorities will therefore be limited to those instances in which the desired services cannot be performed by present employees and cannot be obtained through use of normal civil service procedures. Nor will these authorities

#First amendment (Ch 1, July 2, 1969)

be used to effect an appointment when the job requires employment of an individual on a fulltime, continuing basis.

B. Authority to procure services under these statutory authorities may be exercised by the respective heads of DoD Components under this Directive and under any agreement entered into between the Department of Defense and the Civil Service Commission and may, except as otherwise provided herein, be redelegated subject to appropriate internal controls. Where authority has previously been delegated to subordinate officials and such delegation is not in conflict with these regulations, no redelegation will be required by reason of this Directive.

C. 1. Proposed appointments of candidates selected as consultants or experts in the Departmental service, and proposed renewals of appointments for a subsequent year, will be coordinated with the Secretary or Deputy Secretary of Defense prior to appointment or renewal, with the exception of physicians, dentists, and allied medical specialists performing care and service to patients; veterinarians providing veterinary service to animals; lecturers participating in educational activities; auxiliary chaplains; and other experts and consultants who are appointed for periods of less than 30 days during any one fiscal year. The requirement for coordination is without regard to the specific number of days worked and includes appointments to committees or advisory panels such as the Air Force Scientific Advisory Board, the Army Scientific Advisory Panel, the Defense Science Board, and the Defense Advisory Committee on Education in the Armed Forces.

2. ~~Submission for the purpose of such coordination will be forwarded to the Office of The Special Assistant to the Secretary and Deputy Secretary of Defense in advance of the proposed appointment or renewal, and will contain:~~

a. A brief resume of the nominee's background and experience;

b. A short statement of the matters on which the nominee's advice or service is needed, or if the nominee is to be a member of an Advisory Group established by law or by Department of Defense Directive or Instruction, a citation to the law or Defense issuance;

c. If the nominee is not to be a member of an Advisory Group established by law or by Defense issuance,

#First amendment (Ch 1, 7/2/69)

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(1) A statement as to the need for establishing the function, if new, or for additional personnel support of the function, if already being performed, and of the reasons why the required services cannot be obtained through use of normal civil service procedures;

(2) An explanation as to why the function proposed for the nominee cannot be performed by present employees or consultants of the DoD component making the request;

(3) A statement of the number of military and civilian personnel in the organizational entity to which the nominee will be assigned who, as full-time or part-time employees or as consultants, are now performing a function which is the same or similar to that proposed for the nominee.

d. Where applicable, an opinion from the appropriate legal officer that, under DoD Directive 5500.7 (reference (b)), no conflict of interest is involved.

D. Appointments and renewals of appointments under this Directive will not be made until the coordination required by subsection C above has been effected, all required security clearances have been obtained, and funds and personnel ceiling are available within the Fiscal Year authorizations.

E. As a general rule, 5 U.S.C. 55a as implemented by the current Department of Defense Appropriation Act will be used as the authority for employment of individual experts, consultants and advisory personnel, including employment of such personnel without compensation. However, when there exists some other authority which is specifically applicable to a particular appointment, that authority may be used without special justification.

F. Authority contained in 10 U.S.C. 173 to establish advisory committees and employ part-time advisers may not be used except by specific written delegation by the Secretary of Defense. Any request for such delegation will be made by the head of the DoD Component concerned and will state fully the reasons therefor.

G. The daily rates of pay specified in the various statutory authorities are to be recognized as maximum rates, and lesser rates will be fixed wherever appropriate. Determination regarding the specific rate to be paid, including decision to pay no compensation, will be made on an individual case basis. In fixing each

individual rate within the prescribed maximum, consideration will be given to the value and importance of the services to be performed, as well as to the experience and attainments of the appointee.

V. IMPLEMENTATION

Existing regulations governing appointments or contracts for the personal services of individual experts, consultants, or part-time advisory personnel will be revised as necessary to insure that they are in compliance with this Directive. Two copies of such regulations will be furnished to the Assistant Secretary of Defense (Manpower and Reserve Affairs).

Cyrus Vance

Deputy Secretary of Defense

August 10, 1978
NUMBER 3025.13

The Special Assistant
to S/D and DS/D

Department of Defense Directive

SUBJECT ~~Employment of Department of Defense Resources in Support of the United States Secret Service~~

References: (a) DoD Directive, 3025.13, subject as above, April 16, 1976 (hereby canceled)
(b) Interdepartmental Agreement Between the Department of Defense and the Department of the Treasury Concerning Secret Service Protective Responsibilities, June 10-11, 1968 (revision June 27, 1968 (enclosure 2))
(c) Title 18, United States Code, Section 3056, "Secret Service Powers," and Public Law 90-331, "Joint Resolution - To Authorize the United States Secret Service to Furnish Protection to Major Presidential Candidates," as amended
(d) through (k), see enclosure 1

A. REISSUANCE AND PURPOSE

This Directive:

1. Reissues reference (a) to reflect changes in policy concerning the costing of, and reimbursement for, support provided to the United States Secret Service;

2. Implements reference (b) by establishing Department of Defense policy governing the employment of DoD resources in support of the U.S. Secret Service, Department of the Treasury, in the performance of its protective duties under references (c) and (d); and

3. Assigns responsibilities to staff officials for carrying out the provisions of this Directive (see section B.).

B. APPLICABILITY

The provisions of this Directive apply to the Office of the Secretary of Defense, the Military Departments, the

Organization of the Joint Chiefs of Staff, the Defense Agencies, and the Unified and Specified Commands (hereafter referred to collectively as "DoD Components"). The term "Military Services," as used herein refers to the Army, the Navy, the Air Force and the Marine Corps.

C. POLICY

1. Logistics and other support, as defined in enclosure 2, will be provided only upon request of the Director, U.S. Secret Service, or an authorized representative. Such support is an express exception to the Posse Comitatus Act (reference (e)) and is authorized by 18 U.S.C. 3056 and P.L. 94-524 (references (c) and (d)). When requested by the Director of the U.S. Secret Service, Federal Departments and Agencies are directed to assist the Secret Service in the performance of its statutory protective duties (DoD Instruction 5030.34, reference (f)).

2. Public Law 94-524 (reference (d)) provides that the support provided to the Secret Service shall be made on a reimbursable basis, except when the Department of Defense provides temporary assistance directly related to the protection of the President, Vice President, or other officer immediately in order of succession to the Office of the President.

a. Permanent support may only be provided upon advance written request of the Director or Deputy Director of the Secret Service.

b. Moreover, every department and agency making expenditures (i.e., incurring costs) in support of the Secret Service protective duties shall transmit a detailed report of such expenditures to the Washington Headquarters Services in accordance with the provisions of enclosure 3.

c. These procedures shall give force to the principle that fiscal accountability for public expenditures should reside in the agency having the authority to obligate those expenditures.

3. All DoD personnel assigned to assist the Secret Service shall be subject to overall supervision of the Director, U.S. Secret Service, or a designee, during the duration of the assignment, in accordance with the provisions of the agreement (enclosure 2).

4. All requests by the Secret Service for DoD support (except Explosive Ordnance Disposal (EOD) and Protective Services Support Personnel) for the President and Vice President shall be submitted to the Office of the Director, White House Military Office, for approval.

a. With the exception of aircraft support, the White House Military Office will route such requests to the Office of The Special Assistant to the Secretary and Deputy Secretary of Defense.

b. Requests for aircraft approved by the White House Military Office will be scheduled through the Office of the Vice Chief of Staff of the Air Force.

5. All requests by the Secret Service for support other than in subsection C.4., must be approved by The Special Assistant, or a designee, before such support is provided, except that:

a. Military commanders may approve and respond to urgent requests as circumstances justify; however, all such cases will be reported after the fact to The Special Assistant.

b. DoD communications support for the Secret Service will be provided by the Director, Defense Communications Agency (DCA), in direct coordination with the Secret Service. The Director, DCA, need not inform The Special Assistant of such support, unless (1) Secret Service communications requirements cannot be met within DCA resources, or (2) support is provided pursuant to the Secret Service's responsibilities for protection of major Presidential candidates.

6. Within the Continental United States (CONUS), including Alaska, DoD support will be provided by the Military Departments. The commanders of the Unified Commands will provide support in those areas under their geographical jurisdiction. In other areas of the world, support requirements will be tasked to a Military Department or a Unified Command, based on proximity of available resources.

D. RESPONSIBILITIES

1. ~~The Special Assistant,~~ or an authorized representative (see exception under subsection C.4.):

a. Shall approve/disapprove Secret Service requests for DoD support, in accordance with the Department of Defense - Department of Treasury interdepartmental agreement (enclosure 2);

b. Shall forward approved requests to the Deputy Director for Operations, National Military Command Center (NMCC) (see exception under paragraph C.5.a.);

c. Shall act as the point of contact for the Department of Defense in all matters pertaining to DoD support of the Secret Service; and

d. May designate a person(s) recommended by the Secretary of the Military Department concerned, in consultation with the Joint Chiefs of Staff, with authority for approving Secret Service requests for support by the Military Department, subject to specific terms of reference. A person so designated will (1) direct his Department to provide the support, and (2) notify The Special Assistant of the action he has taken.

2. The Assistant Secretary of Defense (Public Affairs), in response to specific inquiries, may acknowledge that the Department of Defense is providing support to the Secret Service but will defer to the Secret Service for any discussion of specifics. News queries directed to DoD subordinate elements will be referred to the Office of the Assistant Secretary of Defense (Public Affairs).

3. The Secretaries of the Military Departments and Directors of Defense Agencies shall:

a. Provide Military Service resources in accordance with approved instructions (see paragraph D.4.a.).

b. Coordinate the use of resources under the operational control of the Unified Commands with cognizant commanders in instances when DoD support to the Secret Service is of such magnitude as to limit the mission capability of the Unified Commands.

c. Accumulate and report the full costs of resources used in providing support services in accordance with the guidance provided in enclosure 3.

d. Submit claims for reimbursement for assistance provided in accordance with Sections 6 and 8 of P.L. 94-524 (reference (d)) to the Director, U.S. Secret Service, U.S. Treasury Department, 1800 G Street, N.W., Washington, D.C. 20223.

e. Submit reports of all costs incurred in support of the U.S. Secret Service covering semiannual periods ending September 30 and March 31 to the Directorate for Information Operations and Reports, Washington Headquarters Services, Room 4B938, Pentagon. These reports will be due on the 45th calendar day or next business day after the last day of the reporting period. These reports are assigned Report Control Symbol DD-Comp(SA)1466. Supporting schedules to the report will identify the person or officer receiving the support, the dates the support was provided, and a description of the services provided (see enclosure 3, section D.).

4. The National Military Command Center (NMCC), under the direction and supervision of the Joint Chiefs of Staff, shall:

a. Designate the appropriate Military Department/Unified Command(s) to provide the DoD support and dispatch directives for compliance by the Department/Command concerned, unless the Department has already been designated under the provisions of paragraph D.1.d..

b. Assure that Secret Service requests for DoD support received outside of normal duty hours are promptly given to The Special Assistant or a designee, and that the Department/Command(s) concerned are alerted of the impending request(s).

c. Provide The Special Assistant with information of the action taken on each Secret Service request for DoD support.

5. The Commanders of Unified Commands, under the direction and supervision of the Joint Chiefs of Staff, shall provide DoD support for the Secret Service in accordance with approved requests and instructions (see paragraph D.4.a.).

E. PROCEDURES

1. For requests in support of the President and Vice President, see subsection C.4.

2. Other requests will normally be addressed through channels to The Special Assistant.

3. Outside of normal duty hours, requests may be received by the NMCC for action and forwarding to The Special Assistant.

F. EFFECTIVE DATE AND IMPLEMENTATION

This Directive is effective immediately. Forward two copies of the implementing instructions to The Special Assistant to the Secretary and Deputy Secretary of Defense within 120 days.

C. W. DUNCAN, JR.
Deputy Secretary of Defense

Enclosures - 3
1. References
2. Interdepartmental Agreement
3. Accounting and Reporting Guidance

References

(d) Public Law 94-524 (18 U.S.C. 3056), "Presidential Protection Act of 1976"
(e) Title 18, United States Code, Section 1385, "Posse Comitatus Act"
(f) DoD Instruction 5030.34, "Agreement Between the United States Secret Service and the Department of Defense Concerning Protection of the President and other Officials," July 11, 1977
(g) DoD Handbook 7220.9-H, "DoD Accounting Guidance Handbook," February 1, 1978
(h) DoD Manual 1338.10-M, "Manual for the Department of Defense Food Service Program," June 19, 1972
(i) Joint Travel Regulations, Volumes 1 and 2
(j) DoD Instruction 7230.7, "User Charges," June 9, 1976
(k) DoD Instruction 4500.39, "Motor Vehicle Management," August 31, 1976

Interdepartmental Agreement Between the Department of Defense and the Department of the Treasury Concerning Secret Service Protective Responsibilities.

I. Purpose of Agreement

For many years the Department of Defense has rendered valuable support to the Secret Service, Department of the Treasury, to aid in discharging that Agency's statutory protective responsibilities. The purpose of this agreement is to provide procedures for and delineate in more specific terms the logistical assistance and other support the Department of Defense will provide to the Secret Service.

II. Support to be Provided by the Department of Defense to the United States Secret Service

A. The Department of Defense shall, upon request, provide the Secret Service with medical service, motor vehicles, communications, and such other support as may be necessary to assist the Secret Service in the performance of its protective functions.

B. The Department of Defense shall, upon request, make available appropriate aircraft to transport Secret Service agents to destinations where persons entitled to Secret Service protection intend to travel or do travel either within or outside the United States, in the event commercial transportation is not available, readily obtainable, or satisfactorily capable of meeting the requirement.

C. The Department of Defense shall, upon request, make available when appropriate aircraft to transport Secret Service automobiles required by persons entitled to Secret Service protection when such persons travel either within or outside the United States.

D. The Department of Defense shall, upon request, make available when appropriate helicopters and other aircraft and crews to provide transportation to persons entitled to Secret Service protection when such persons travel either within or outside the United States and the Secret Service personnel accompanying such persons.

E. The Department of Defense shall, upon request, make available when appropriate a sufficient number of helicopters and crews to accompany motorcades when persons entitled to Secret Service protection travel within or outside the United States to aid in the security of the motorcades by overhead surveillance and to assist in the event motor vehicles containing protected persons should become immobilized.

III. Procedure for Requesting Assistance and Supervision of Department of Defense Personnel Furnishing Support to the Secret Service

A. The Secretary of Defense will designate an official within the Office of the Secretary of Defense who shall have the responsibility for providing the support required by the Secret Service in accordance with the provisions of this agreement. Logistic and other support will be provided only upon request by the Director of the Secret Service or his authorized representative.

B. Requests for logistical support and other assistance shall be communicated to the official designated by the Secretary of Defense as soon as possible after the need for such assistance is ascertained.

C. All Department of Defense personnel assigned to assist the Secret Service in accordance with the provisions of this agreement shall, during the duration of their assignment, be subject to overall supervision and direction of the Director, U.S. Secret Service or his authorized representative.

Secretary
Department of Defense

Date: June 10, 1968

Secretary
Department of the Treasury

Date: JUN 11 1968

Guidance on Accounting, Reporting and Determining Reimbursements for Protective Assistance Support

A. GENERAL

This guidance specifies the criteria for accounting and reporting the use of resources by the Department of Defense in support of the Secret Service's protective functions and for determining and billing the reimbursable portion of such support. Each DoD Component providing support to the Secret Service will provide for implementation of the accounting, reporting and billing requirements. Questions and recommended solutions or changes to the guidance herein shall be referred to the Assistant Secretary of Defense (Comptroller), or a designee, for consideration.

B. ACCOUNTING

1. General. When resources (e.g., services, equipment, facilities) are used in support of the Secret Service's protective functions, the full cost incurred by DoD will be accumulated and recorded in the accounting books and records. Each request for support by the Secret Service should be treated as a separate task and will be separately costed. The cost of the support rendered or made available pursuant to a Secret Service request is to be determined and accumulated without regard to whether the support is on a permanent, temporary, reimbursable or nonreimbursable basis.

2. Documentation. As a part of the normal administrative control procedures, a copy of the Secret Service request or a statement of the requested support and the official approval thereof, should be retained by the organization providing the support. In addition, the task request, approval document or file shall be annotated to identify the protectee(s) (i.e., person(s) designated by the Secret Service for protection) as well as the date(s), location(s) of the support and the DoD resources employed in providing such support.

3. Accounting System. The system used to account for the cost of support to the Secret Service need be no different than the system management officials have deemed adequate and sufficient for normal administration and control of resources. When the accounting system used by management has the capability to accumulate and distribute the indirect costs incurred in providing the support including the indirect costs for the overall management of the activity (e.g., an industrial fund activity), that system should be used to accumulate the indirect costs.

a. Where the existing accounting system can be modified efficiently and in a timely manner to provide for a systematic and

rational indirect costing process which would be otherwise beneficial in the day-to-day operations of the activity, that action should be taken.

b. If management has no other recurring or significant use for an accounting system which separately can identify direct and indirect costs, the Comptroller of the DoD Component concerned will establish a memorandum costing or cost finding system for activities providing support to the Secret Service.

c. The system will include, as a minimum, adequate internal controls and criteria by which to distinguish direct from indirect costs; specific guidance for (1) classifying by expense pool(s) local indirect costs, and (2) developing an annual local overhead rate(s); and provisions for the development and dissemination of an annual rate for general and administrative expenses and any other allocable nonlocally incurred expenses.

4. Costing. Cost shall be assigned to each task as follows. These are minimum requirements. Equivalent practices or methods which are more accurate and include all of the same cost elements may be substituted:

a. Military personnel costs will be based on hours worked times an hourly rate determined by multiplying the annual composite rate in the last column of tables 252-1 through 4, of the DoD Handbook 7220.9-H (reference (g)) by .00077[1/] for enlisted personnel and .00070[1/] for officers during FY 1978. These factors take into consideration retirement, leave and holiday, and other personnel costs at the acceleration rates set forth in Section 252 of the Handbook.

(1) An amount must be added to the hourly rate to cover Permanent Change of Station (PCS) costs. The factors used in the Five Year Defense Program to assign PCS costs to a military man-year, divided by 2080 man-hours should be used.

(2) Each Military Department will advise those DoD Components providing support to the Secret Service of the most current annual PCS costs on an hourly basis as soon as possible after the beginning of the Fiscal Year. For example, the FY 1978 factors per hour are:

1/ Derivation: Rate = $\frac{1}{2080}$ (1 + acceleration factors)

	FY 1978	
	Officers	Enlisted
Army	$ 1.40	$ .41
Navy	.72	.23
Marine Corps	.72	.20
Air Force	.73	.35

b. Civilian personnel costs will be based on hours worked times the employee's basic hourly rate accelerated to cover leave and Government contributions. Where the accounting system for civilian personnel costs does not determine acceleration factors, the factors prescribed in Section 230 of DoD Handbook 7220.9-H (reference (g)) will be used.

c. Subsistence provided by appropriated fund dining facilities will be costed at the meal rates in accordance with DoD Manual 1338.10-M (reference (h)). The per diem surcharge will be used to assure full costing for food preparation and service as well as the raw food costs. If the DoD personnel receive per diem and pay for their meals, only the per diem costs will be assigned.

d. Quarters provided will be costed by the furnishing activity (civil engineer or public works department and housing office records will be used to make an estimate of cost). Costs will be net of any payments made by the quartered DoD personnel, such as Visiting Officer Quarters (VOQ) payments.

e. Personnel travel, transportation, per diem and other authorized personnel expenses will be costed at the entitlement amounts authorized by the Joint Travel Regulation, Volumes 1 and 2 (reference (i)). Actual payment vouchers will be used whenever available.

f. Transportation of supplies, materials and equipment will be costed at amounts payable or paid or estimates if payable amounts are unavailable. Transportation rates should be requested from the Military Traffic Management Command in order to make reasonable estimates.

g. Consumable materials and supplies will be costed at the standard catalog price.

h. Loaned plant and equipment (investment items other than aircraft) will be costed based on the computation of an annual rent which will be the sum of the annual depreciation plus interest on investment. The amount of interest on investment is determined by applying the interest rate to the net book value which is, acquisition cost plus cost of additions less depreciation. The interest rate to be used is 10 percent. See DoD Instruction 7230.7 (reference (j)).

i. Contractual services will be costed at the acquisition price for the goods or services provided, plus the cost of any related contract administration.

j. DoD fixed wing aircraft usage will be costed at the Government rates published by the Air Force in AFR 76-11. Helicopter usage will be costed at the Government rate published annually by the Assistant Secretary of Defense (Comptroller) (i.e., current ASD(C) memorandum, April 19, 1978). Rates for any aircraft not listed in these documents will be furnished by HQ USAF/ACMCA upon request.

k. Motor vehicle usage will be costed at the average rate per mile, obtainable from the latest motor vehicle report of the DoD Component, which is prepared in accordance with DoD Instruction 4500.39 (reference (k)).

C. REIMBURSEMENTS

1. General

a. All support requested by the Secret Service for carrying out its protective mission is reimbursable unless specifically excepted (i.e., certain temporary support) by the statutory provisions of P.L. 94-524. Reimbursement under this Directive will be based on incremental costs incurred pursuant to the statute. This is a departure from normal interagency reimbursement practices which call for reimbursement for all costs incurred in providing services which are beyond an agency's mission.

b. A bill will be prepared and submitted for all reimbursable support furnished to the Secret Service and an account receivable recorded in accordance with Section 230 of the DoD Handbook 7220.9-H (reference (g)). Bills should be computed by task on a monthly basis and rendered within 30 days after the end of the month during which the support was provided. When the accumulated amount of the reimbursement during a fiscal quarter is under $100, the "waiver of reimbursement" procedure in paragraph 23003 of the Handbook may be applied.

2. Criteria In determining which support to the Secret Service is reimbursable, the following criteria will be used:

a. An authorized Secret Service official must have requested the support for their protective mission either orally or in writing. Requests for permanent support must be in writing.

b. An authorized DoD representative must have approved the request.

c. Permanent support tasks are reimbursable.

d. Temporary support tasks are reimbursable, except for:

(1) Support to the Secret Service in its duties directly related to the protection of the President or the Vice President or other officials immediately next in order of succession to the Office of the President, or

(2) Support of general purpose nonprotective services ordinarily supplied to the President or Vice President (i.e., the existing unreimbursed services such as normal communications and transportation which are outside of the protective assignment purview of the Secret Service). This support would not be requested by the Secret Service.

3. Documentation. Documentation of Secret Service requests or the DoD authorization of services will be sufficient to comply with the criteria in 2.a. and b. Either the request or approval should classify support as permanent or temporary and, if the latter, whether covered by the exceptions in 2.d. Any support provided to the Secret Service in carrying out its protective mission and at their request and not specifically exempted is reimbursable.

4. Computation

a. The intent of P.L. 94-524 is to make the Secret Service accountable for the funds it has available to carry out its protective services by generally requiring reimbursement for support provided to it. In computing the cost of reimbursable support to be billed, the amount included in the DoD cost accumulation process will be used except as limited by the following paragraph. Each DoD Component shall assure that its reimbursement computation practices adhere to the fiscal responsibility intentions underlying Public Law 94-524 (reference (d)) and execute this responsibility in a manner which is practical.

b. For support provided in all situations, other than those falling within the criteria described in paragraph C.2.d., the amounts to be reimbursed for service, equipment, and facilities shall include identifiable costs over and above the costs to the DoD Component of carrying out functions and duties in the ordinary course of its activities.

(1) For example, the reimbursement computation would include salaries of DoD personnel who are providing permanent support to the Secret Service, such as a permanent guard detail, but would not include the salaries of DoD personnel who are providing temporary support but remain under the overall control of their parent Service or agency (see enclosure 2, III.C.), such as an Army bomb disposal squad assigned to protect a Presidential candidate for a short period of time.

(2) In addition, the reimbursable cost would include aircraft operation and maintenance costs, rental cars, and travel costs incurred by the DoD Component concerned as a direct result of its providing temporary support to Secret Service protective functions. Also, the costs of acquiring and installing authorized facilities and equipment, such as fences and electronic devices, which will be used for protective purposes on a permanent basis, are reimbursable.

D. REPORTING

Costs of DoD resources expended in support of the U.S. Secret Service's protective functions will be accumulated by task. All costs incurred will be reported in accordance with the formats prescribed in attachments 1 and 2 of this enclosure and submitted as required by paragraph D.3.e. of this Directive.

Attachments- 2
1. Summary Format for Reporting DoD Costs in Support of Secret Service for Protective Assistance
2. Detailed Information and Cost of DoD Resources Used in Support of Secret Service Protective Assistance Operations

DEPARTMENT OF DEFENSE
COSTS IN SUPPORT OF SECRET SERVICE FOR PROTECTIVE ASSISTANCE

RCS: DD-Comp(SA)1466

Department or Agency _____

Report Date _____

Cost Categories	Total Costs Incurred 1/ Temporary Support to President and Vice President (not Reimbursable)	Total Costs Incurred 1/ All Other Support	Costs Subject to Reimbursement 2/
Personnel Services & Benefits			
Military			
Civilian			
Subsistence & Quarters			
Military			
Civilian			
Travel & Transportation of Persons			
Military			
Civilian			
Transportation of Things			
Rent, Communication & Utilities			
Other Services, Supplies & Materials			
Capital Assets			
Other (Specify)			
Total			

Submit reports to:

Directorate for Information Operations and Reports
Washington Headquarters Services
Room 3B938, Pentagon, Washington, D.C. 20301

1/ All costs incurred for DoD support to Secret Service for protective assistance pursuant to P.L. 94-524 computed in accordance with costing guidelines.

2/ Costs computed in accordance with reimbursement guidelines.

DoD COMPONENT _____

Detailed Information and Cost of DoD Resources Used In Secret Service Protective Assistance Support for _____

TRAVEL DATES	TRIP LOCATION	PERSONNEL SERVICES & BENEFITS 1/	SUBSISTENCE & QUARTERS 1/	TRAVEL & TRANSPORTATION OF PERSONS 1/	TRANSPORTATION OF THINGS	RENT COMMUNICATION & UTILITIES	OTHER SERVICES SUPPLIES & MATERIALS	CAPITAL ASSETS	OTHER (SPECIFY)	TOTA_
		Includes total compensation and benefits See B.4.a. and b.	See B.4.c. and d.	See B.4.a.(1), e. and k.	See B.4.f.	See B.4.g.,h., i. and j.	See B.4.g.,h., i. and j.	See B.4. i.		
TOTALS										

1/ Cost must be accumulated and reported separately for military and civilian personnel.

May 31, 1977
NUMBER 1000.17

ASD(C)

Department of Defense Directive

SUBJECT [redacted]

References: (a) DoD Directive 5132.10, "Security Assistance Technical Assistance Field Teams (TAFT's)," December 14, 1973
(b) Title 31, United States Code, Section 686
(c) DoD 7220.9H, "DoD Accounting Guidance Handbook," July 1972
(d) through (f), see enclosure 1.

A. REISSUANCE AND PURPOSE

This Directive reissues reference (e) to update procedures, establish policy, and assign responsibility for the management and administration of military and civilian DoD personnel supporting non-DoD agencies and activities. Reference (e) is hereby superseded and cancelled.

B. APPLICABILITY AND SCOPE

1. The provisions of this Directive apply to the Office of the Secretary of Defense, the Military Departments, the Organization of the Joint Chiefs of Staff, the Unified and Specified Commands, and the Defense Agencies (hereinafter referred to collectively as "DoD Components"), except as excluded below, and encompass all manpower authorizations and personnel initially funded from Defense appropriations, notwithstanding provisions of law which authorize the DoD or components thereof to provide support directly to non-DoD agencies.

2. The following categories of personnel are not governed by this Directive:

a. Personnel assigned outside the Department pursuant to DoD Directive 5132.10 (reference (a)), involving individual Foreign Military Sales funded by a foreign government and Military Assistance Groups and Missions.

b. Civilian personnel who are assigned only for training in another Federal/State/local agency under Chapters 410 and 412 of the Federal Personnel Manual (FPM) (reference (f)).

c. Personnel initially funded from DoD civil appropriations.

d. Personnel assigned to a DoD Component who perform reimbursable work for non-DoD agencies as a part of their normally assigned duties.

e. Personnel assigned to OSD or OJCS Exchange Programs with the State Department or the United States Information Agency. These Exchange Agreements will, however, be reviewed on a quadrennial basis.

C. POLICY

1. The use of DoD personnel to support non-DoD agencies and activities is generally not favored and shall be rigorously controlled. Personnel will be assigned to support non-DoD activities only when to do so clearly is in furtherance of specifically identifiable interests of the Department of Defense. Such assignments must also be authorized by law and consistent with the provisions of 31 U.S.C. §686 (reference (b)), which prescribes the conditions for the use of an existing capability of a Federal Agency to support another agency not possessing that capability.

2. DoD personnel assigned outside the DoD will be of high caliber. DoD discourages by-name requests from outside Agencies. Individuals on a last tour prior to retirement shall not be assigned outside DoD. Personnel assigned to a non-DoD agency will not be reassigned by that agency to another non-DoD agency.

3. Support may be provided to outside activities by individuals assigned on a permanent or temporary basis to the activity or by DoD units which remain under the operational control of the Secretary of Defense. This latter form of support is referred to as "operational mission support" and is indicated, where appropriate, in the listing of activities in enclosure 2.

4. All requests for support, of whatever form, must be submitted for approval to The Special Assistant to the Secretary and Deputy Secretary of Defense. This requirement includes requests for support under the Intergovernmental Personnel Act as authorized by Chapter 334 of the FPM (reference (f)), or as elsewhere authorized by statute. Approval by The Special Assistant is required for all changes to existing support arrangements. DoD Components receiving requests for support shall refer the requestor to The Special Assistant, or, when more practical, forward such requests to The Special Assistant.

5. Annually, during preparation of the DoD budget, The Special Assistant will require each supported activity to validate its requirement for DoD personnel. The results of this validation process will be provided to the DoD Components at least 60 days prior to their budget submission to OSD for their use in validating and programming the required manpower authorizations. Personnel assigned under the provisions of Chapter 334 of the Federal Personnel Manual (reference (f)) are not subject to this validation.

6. Except in unusual cases DoD personnel assigned or providing operational support outside the Department will perform duty on a reimbursable basis. Reimbursement for reimbursable support will recover full costs of personnel services (military and civilian) plus net additional costs of all nonpersonnel support (PCS, supplies, equipment, utilities, etc.). Reimbursement will be based on standing rates established in accordance with DoD 7220.9H (reference (c)) and DoD Directive 4000.19 (reference (d)).

7. Temporary assignments are those for a period of less than 90 days. They are subject to all provisions of this Directive, except the reporting requirement in section E. Any assignment in excess of 90 days, regardless of the individual detailed, is considered permanent.

D. RESPONSIBILITIES

1. ~~The Special Assistant to the Secretary and Deputy Secretary of Defense shall~~:

a. ~~Approve or disapprove all requests for personnel support and changes to existing support agreements for non-DoD activities, and provide overall policy direction~~.

b. ~~Act on requests for exceptions to the provisions of this Directive~~.

2. The Deputy Assistant Secretary of Defense (Administration) shall:

a. Provide staff support to The Special Assistant in managing the non-DoD activities manpower program.

b. Require each supported activity to validate annually its requirement for DoD personnel.

c. Provide each Military Department an annual consolidated manpower program for the budget year based on the validated requirement.

d. Coordinate all requests for support with the (a) Office of the Secretary of Defense staff element or elements having the functional

interest in the activity being supported; (b) the Assistant Secretary of Defense (Manpower, Reserve Affairs and Logistics); (c) the General Counsel, DoD; and (d) the Assistant Secretary of Defense (Comptroller), Attn: Deputy Assistant Secretary of Defense (Program/Budget).

e. Receive required reports and maintain necessary records on manpower assigned and programmed for non-DoD activities.

f. Serve as the focal point for information on non-DoD support.

3. The Assistant Secretary of Defense (Manpower, Reserve Affairs and Logistics) shall:

a. Incorporate manpower for non-DoD activities into the overall DoD manpower programs.

b. Provide staff advice and assistance to The Special Assistant on the manpower programming aspects of providing support to non-DoD activities.

4. The General Counsel, DoD, shall provide legal advice to The Special Assistant concerning the assignment of personnel outside the Department.

5. The Director of Defense Research and Engineering, the Assistant Secretaries of Defense and the Assistant to the Secretary of Defense (Atomic Energy) shall, as requested, provide staff assistance to The Special Assistant within their respective functional areas of responsibility, in evaluating requests for support from non-DoD activities.

6. DoD Components shall:

a. Ensure that manpower assigned outside DoD or to a unit classified as "operational mission support" is being utilized in conformance with the policy stated in subsection C.1.

b. Manage the inventory of personnel assigned outside the DoD to ensure the authorized manpower level is not exceeded. The authorized manpower level equates to the approved budget program plus any assignments subsequently approved by The Special Assistant.

c. Obtain from each non-DoD agency a memorandum of agreement specifying:

(1) Conditions which govern the assignment of component personnel.

(2) The tour length of personnel assigned on a permanent basis.

(3) Reimbursement procedures including cost of PCS, travel, and the rate of reimbursement for the salary, in accordance with sections 23003.F.2 and 252 of 7220.9H (reference (c)), for civilians and military personnel, respectively.

d. Ensure that the agreed-on reimbursement is received.

e. Report as required in section E.

E. REPORTING REQUIREMENTS

In order for the Secretary of Defense to be responsive to inquiries and to assure accuracy of data concerning this support, a quarterly report control symbol (RCS DD-A(Q) 1292) has been established. The format for this report is contained in enclosure 3 and individuals will be reported in the activity sequence shown in enclosure 2. Separate page(s) will be prepared for each activity so that submissions can be correlated. The report is due in OASD(C), Attn: DASD (Administration), by the end of the month following the close of the fiscal quarter. The names of personnel and organizational titles for classified activities and the U.S. Marine Corps Security Guard Battalion will not be used in this report; however, the total number of personnel in these organizations will be reflected in the report.

F. EFFECTIVE DATE AND IMPLEMENTATION

This Directive is effective immediately. Forward two copies of implementing regulations to the Assistant Secretary of Defense (Comptroller) within 60 days.

Harold Brown
Secretary of Defense

Enclosures - 3
1. List of additional references
2. Non-Defense Activities Receiving DoD Personnel Support
3. Format for Quarterly Report for DoD Personnel Assigned Outside the Department and Supporting Non-DoD Activities

References

(d) DoD Directive 4000.19, "Basic Policies and Principles for Inter-Service, Interdepartmental and Agency Support," March 27, 1972
(e) DoD Directive 1000.17, "Department of Defense Personnel Assigned to Duty Outside the Department and Supporting Non-DoD Activities," September 30, 1975 (hereby cancelled)
(f) Federal Personnel Manual, Chapters 334, 410 and 412

Non-Defense Activities Receiving DoD Personnel Support

	Operational Mission Support
EXECUTIVE BRANCH	
The White House Office	
Executive Office of the President	
National Security Council	
Office of Telecommunications Policy	
Council on Environmental Quality	
President's Foreign Intelligence Advisory Board	
The Vice President's Office	
DEPARTMENTS	
STATE DEPARTMENT	
UN Truce Supervisory Organization	
Naval Support Detachment	X
U.S. Marine Corps Security Guard Battalion	X
ARMS CONTROL AND DISARMAMENT AGENCY	
TRANSPORTATION DEPARTMENT	
United States Coast Guard	
Federal Aviation Administration	
2054th ABGp, Tinker AFB, OK (FAA)	X
COMMERCE DEPARTMENT	
Maritime Administration	
Merchant Marine Academy	
JUSTICE DEPARTMENT	
Law Enforcement Assistance Agency	
INTERIOR DEPARTMENT	
Office of Micronesian Status Negotiations	
Civic Action Teams - TTPI	
LABOR DEPARTMENT	
AGRICULTURE DEPARTMENT	
HEALTH, EDUCATION AND WELFARE DEPARTMENT	
AGENCIES	
Energy Research and Development Agency	
Environmental Protection Agency	
National Aeronautics and Space Administration	
National Science Foundation (Navy Antarctica)	X
Canal Zone Government	
Selective Service Commission	
American Battle Monuments Commission	
Radio Technical Committee for Aeronautics	
U.S. Soldiers' and Airmens' Home	
American Revolution Bicentennial Administration	
Federal Energy Administration	
FEDSIM (Federal Computer Evaluation Center)	X
Federal Executive Boards	

LEGISLATIVE BRANCH
U.S. Congress

JUDICIAL BRANCH
U.S. District Courts

CLASSIFIED ACTIVITIES

DOD PERSONNEL ASSIGNED OUTSIDE THE DEPARTMENT & SUPPORTING NON-DoD ACTIVITIES
QUARTERLY REPORT AS OF _____

_____
Department/Activity/Agency

NAME	SSAN	GRADE	POSITION TITLE	MIL DEPT/ DOD UNIT OF ASGMT	DATE ASSIGNED	TERMIN-ATION DATE	REIMBURS-ABLE *

*Indicate YES or NO

July 6, 1977
NUMBER 5210.55

SA/SD&DSD

Department of Defense Directive

SUBJECT ~~Selection of DoD Military and Civilian Personnel and Contractor Employees for Assignment to Presidential Support Activities~~

References: (a) DoD Directive 5210.55, "Selection of Department of Defense Military and Civilian Personnel for Assignment to Presidential Support Activities," January 11, 1969 (hereby cancelled)
(b) DoD Directive 5210.8, "Policy on Investigation and Clearance of DoD Personnel for Access to Classified Defense Information," February 15, 1962
(c) DoD Directive 5400.7, "Availability to the Public of Department of Defense Information," February 14, 1975
(d) through (g), see enclosure 1

A. REISSUANCE AND PURPOSE

This Directive reissues reference (a) to (1) prescribe uniform policies and procedures for the nomination, screening, selection, and continued evaluation of Department of Defense (DoD) military and civilian personnel and contractor employees assigned to or utilized in Presidential support activities; (2) prescribe the requirement for investigations of persons nominated for such assignments; (3) establish reporting requirements; and (4) assign responsibilities for carrying out the provisions of this Directive. Reference (a) is hereby superseded and cancelled.

B. APPLICABILITY AND SCOPE

1. The provisions of this Directive apply to the Office of the Secretary of Defense, the Military Departments, the Organization of the Joint Chiefs of Staff, and the Defense Agencies (hereinafter referred to collectively as "DoD Components").

2. Its provisions encompass all DoD organizations which assign personnel to Presidential support duties involving

regular or frequent contact with or access to the President or Presidential facilities, communications activities, or modes of transportation. These assignments are divided into two categories:

a. Category One

(1) Personnel assigned on a permanent or full-time basis to duties in direct support of the President (including the office staff of the Director, White House Military Office, and all individuals under his control):

(a) Presidential aircrew and associated maintenance and security personnel.

(b) Personnel assigned to the White House communications activities and the Presidential retreat.

(c) White House transportation personnel.

(d) Presidential mess attendants and medical personnel.

(e) Other individuals filling administrative positions at the White House.

(2) Personnel assigned on a temporary or part-time basis to duties supporting the President:

(a) Military Social Aides.

(b) Selected security, transportation, flight-line safety and baggage personnel.

(c) Others with similar duties.

(3) Personnel assigned to the Office of the Military Aide to the Vice President.

b. Category Two

(1) Personnel assigned to honor guards, ceremonial units, and military bands who perform at Presidential functions and facilities.

(2) Employees of contractors who provide services or contractor employees who require unescorted access to Presidential support areas, activities, or equipment--including maintenance of the Presidential retreat, communications, and aircraft.

(3) Individuals in designated units requiring a lesser degree of access to the President or Presidential support activities.

Designation of such units requires approval by The Special Assistant to the Secretary and Deputy Secretary of Defense (hereinafter referred to as The Special Assistant).

3. This Directive does not apply to DoD personnel whose duties involve infrequent visits to the executive offices of the White House or other Presidential facilities to conduct official business with the Presidential/Vice Presidential staffs.

C. NOMINATION AND SELECTION POLICY

1. Standard. Only those persons shall be nominated for, selected for, assigned to, employed in, or retained in Presidential support duties who are best suited for such duties based on a determination that their assignment, employment, or retention is clearly consistent with optimum Presidential security.

2. Nomination. Only those individuals most suitably qualified shall be considered for nomination to Presidential support duties. Minimum requirements include:

a. Must be a U.S. citizen who exhibits excellent character, mental stability, and a high degree of maturity, discretion, and trustworthiness, and who is believed to be unquestionably loyal to the United States.

b. Past and present duty performance, activities, and associations must be satisfactory in all aspects.

c. Immediate family shall be U.S. citizens who are not subject to physical, mental, or other forms of duress by a foreign power and who do not advocate or practice acts of force or violence to prevent others from exercising their rights under the Constitution or laws of the United States or any State or subdivision thereof. Immediate family in the sense of this Directive includes spouse, offspring, living parents, brothers, sisters, or other relatives or persons to whom the individual is closely linked by affection or obligation. Waivers of the citizenship requirement may be granted by The Special Assistant in consultation with the Director, White House Military Office.

3. Selection. Selection shall be a commonsense judgement, based on review of all available information. A nominee may not be selected for Presidential support duties if derogatory information in any of the categories outlined below is revealed during review of the case:

a. Those criteria set forth in section V., DoD Directive 5210.8 (reference (b)).

b. Conviction by courts-martial, imposition of punishment under Article 15, Uniform Code of Military Justice (UCMJ), for a

serious offense, or administrative separation in lieu of courts-martial. Record of conviction by courts-martial or imposition of punishment under Article 15, UCMJ, is not in itself necessarily disqualifying.

c. Arrests by civil or military agencies or frequent minor involvement with law enforcement agencies, which indicate irresponsibility or disrespect for the law.

d. Negligent or substandard performance of duty.

e. Evidence of personal habits, characteristics, traits, activities or associations which would be a basis for reasonable doubt as to the individual's reliability, stability, or general suitability for Presidential support duties.

4. Investigative Requirements

a. Personnel nominated for Category One duties must have been the subject of a Special Background Investigation (SBI), conducted in accordance with current DoD investigative scope requirements described in section IV, Defense Investigative Service Manual 20-1 (reference (g)). SBI must have been completed within the 12 months preceding selection for Presidential support duties. The individual's spouse shall be checked, at a minimum, through the Investigative Files of the Federal Bureau of Investigations and other national agencies as appropriate. In the event the individual marries subsequent to the completion of the SBI, the required spouse check shall be made at that time.

b. Personnel nominated for Category Two duties must have been the subject of a Background Investigation (BI), conducted in accordance with current DoD investigative scope requirements described in section III, Defense Investigative Service Manual 20-1 (reference (g)). BI must have been completed within the 12 months preceding selection for Presidential support duties. It should be noted that the duties (separate and distinct from their Presidential support responsibilities) of some Category Two personnel may make it necessary for them to have special access clearances, which require an SBI.

c. SBI and BI Bring-up Investigations

(1) SBI or BI bring-up investigations shall be conducted in accordance with current DoD scope requirements described in paragraph 3-46, Defense Investigative Service Manual 20-1 (reference (g)) at 5-year intervals from the date of the most recent prior investigation on both Category One and Category Two personnel who have been assigned continuously to Presidential support duties.

(2) The results of the SBI or BI bring-up investigation shall be processed and submitted for review and approval for continued assignment of an individual to Presidential support duties in accordance with procedures in section E.

5. Responsibilities

a. The heads of DoD Components with a Presidential support mission or who are called upon to nominate personnel to Presidential support activities shall:

(1) Designate a single office to represent the DoD Component on all matters covered by this Directive. The office so designated shall be specified in the implementing regulations required by section L.

(2) Be responsible for the nomination and assignment of individuals to Presidential support activities on a continuing basis and ensure that needed replacement personnel are identified in a timely manner to permit routine processing of the required investigations and higher echelon review and selection prior to assignment.

(3) Ensure that requests for expeditious handling of investigations are limited to those which are fully justified on the basis of priority operational requirements and are coordinated with The Special Assistant before submission to the Defense Investigative Service (DIS). The need for such requests should be rare in view of the fact that all Presidential support investigations are, as a matter of practice, assigned priority handling by the DIS.

b. ~~The Special Assistant shall be responsible for making suitability determinations as required herein and for general oversight of the administrative implementation of this Directive.~~

D. PRENOMINATION PROCEDURES

1. Review of Local Files

a. The DoD Component preparing to nominate an individual to Presidential support duties shall review all locally available records in making a determination based on the standard set forth in section C. During this review, particular emphasis shall be placed on identifying any potentially disqualifying information, as outlined in section C.3.

b. As a minimum, the prenomination review shall include the following:

(1) Active Duty Military Personnel

(a) Official military personnel records, for any unfavorable information.

(b) Official medical records, to include certification by a medical officer who is a U.S. citizen, that no physical or mental

disorder is noted in the record which could adversely affect the individual's reliability or judgement.

(c) Effectiveness/efficiency/fitness report file, to determine that the individual has demonstrated consistently high standards of performance.

(d) Local security files, for any unfavorable information.

(2) DoD Civilian Employees

(a) Official Personnel Folder, for any unfavorable information.

(b) Official medical records, as available, to include certification by a medical officer, who is a U.S. citizen, that no physical or mental disorder is noted in the record which could adversely affect the individual's reliability or judgement.

(c) Local security files, for any unfavorable information.

(3) Contractor Employees

(a) Contractor personnel records, for any unfavorable information.

(b) Medical or health records maintained by the contractor, under reviewing arrangements made by the contracting officer of the DoD Component concerned, by a medical officer who is a U.S. citizen, for evidence of any physical or mental disorder that could adversely affect the individual's reliability or judgement.

(c) Contractor security files, for any unfavorable information.

c. It is the responsibility of the DoD Component requesting the medical records review addressed above to inform the medical facility concerned of the requirement that certifying medical officers be U.S. citizens.

d. The review addressed above should determine that no unfavorable information is noted in the records that is disqualifying as set forth in section C.3. Further consideration should be given only to those individuals found to be most qualified.

2. Investigative Requests

a. General. The investigative requirements set forth in this Directive shall apply to new and/or updated investigations requested 60 days or more after the effective date of this Directive.

b. Initiation of Investigative Requests

(1) Military or DoD Civilian Employees. DoD Components shall submit requests for investigations directly to DIS. Normally, the military organization where the military member or civilian employee will actually perform Presidential support duties shall make the request to DIS; however, circumstances may exist where a losing command may request an investigation under this Directive in anticipation of the individual performing Presidential support duties at a next duty assignment. To avoid confusion or duplication, the losing organization requesting an investigation should notify the gaining organization that a request for investigation has been initiated.

(2) Contractor Employees

(a) Requests for investigation of contractor employees being considered for nomination to Presidential support duties, whose employment also requires access to classified information, shall be submitted by the DoD Component administering the contract through the Defense Industrial Security Clearance Office (DISCO).

(b) Requests for investigation of those contractor employees whose Presidential support duties do not require access to classified information shall be submitted by the DoD Component concerned directly to DIS. An information copy of the request shall be sent to DISCO for their records in order to avoid duplicative investigative requests on contractor employees who have already been investigated, or who might require a subsequent investigation under the Industrial Security Program.

(c) The DoD contracting activity is responsible for ensuring that the requirements of this Directive are incorporated into the contract of each contractor involved in Presidential support activities.

(d) Personnel security questionnaires that are executed by contractor employees processed under this Directive shall comply with DoD Regulation 5220.22-R (reference (f)).

(3) The administrative nickname "YANKEE WHITE" shall be stamped or printed in the Remarks Section of DD Form 1879, "Request for Personnel Security Investigation," for all requests initiated in accordance with this Directive.

5. Disqualification Prior to Nomination

a. Upon completion of the DIS investigation, the complete file concerning the potential military or DoD civilian employee nominee shall be reviewed and evaluated by a designated senior member of the DoD Component to which the nominee will be assigned when performing Presidential support duties. This review and evaluation for contractor employees will be conducted by a designated senior member of the DoD Component administering the contract involved. DIS shall return to the requesting organization, through DISCO, completed investigations on contractor employees whose duties require access to classified information.

b. In those cases in which the designated senior member performing the review and evaluation determines that disqualifying information exists, further processing of the case shall be terminated, except for contractor employees, whose cases will be governed by the provisions of E.6.

c. DISCO shall promptly notify the requesting organization whenever a determination has been made on those contractor employees being considered for Presidential support duties, whose duties also require access to classified information, that the investigation has developed information which could result in the individual's denial or revocation of access to classified information. However, DISCO shall continue processing the clearance for access to classified information to a final determination.

d. Denial or revocation of a security clearance for access to classified information shall automatically result in disqualification of an individual for nomination and assignment to Presidential support duties.

e. The disqualification of an individual for nomination and assignment to or utilization in, or subsequent removal from, Presidential support duties shall not, in and of itself, constitute grounds for any further action (i.e., administrative, personnel, disciplinary, or security related) since it is not necessarily an adverse reflection on the ability or character of the individual. Only when such a disqualification results from the discovery of information that is valid grounds in and of itself for disciplinary, administrative, or other action, shall that action be taken.

f. A case may contain minor derogatory or questionable information, about which there is doubt as to whether or not it is disqualifying, but for which further investigation seems inappropriate. If the individual is otherwise the most qualified person available for nomination to the Presidential support assignment concerned, the case shall be forwarded with an evaluation and recommendation by the head of the organization concerned.

E. NOMINATION AND SELECTION PROCEDURES

1. A complete nomination file, including certification that all requirements of this Directive have been met, shall be forwarded expeditiously, using the format set forth at enclosure 2, to the single office designated to act on behalf of the respective DoD Component for Presidential support.

2. It is the responsibility of the designated single office to further review the complete nomination file to assure that the requirements of this Directive have been met. The designated office, if concurring in the basic evaluation and recommendation, shall forward the entire file to The Special Assistant using the format set forth at enclosure 3.

3. When the single office does not concur in the lower echelon determination that the individual is suitable for nomination to Presidential support duties, the DoD Component concerned shall cancel the nomination; however, the entire file, together with the rationale for the cancellation, shall be forwarded to The Special Assistant for further review.

4. The Special Assistant shall coordinate the selection of individuals in the following categories with the Director, White House Military Office:

a. Those whose duties will require a close association with the President.

b. Those whose duties will require a White House pass.

c. Those whose completed file contains minor derogatory information or otherwise questionable material causing doubt as to their suitability for the duties involved.

d. Contractor employees whose completed file contains any derogatory or questionable information.

5. The Special Assistant may select any individual nominated for Presidential support duties, subject to the provisions of Section E.4. The Special Assistant may decline to select any individual nominated for assignment to Presidential support duties except contractor employees.

6. The nonselection of any contractor employee nominated for utilization in Presidential support duties shall be a responsibility of the United States Secret Service after referral by the Director, White House Military Office. Notification to the contractor of the nonselection shall be made by the contracting officer of the DoD Component administering the contract.

F. NOTIFICATION

1. After the appropriate determination has been made, The Special Assistant shall return the file to the designated single office of the originating DoD Component with a statement that the individual is either selected or not selected for assignment to or employment or utilization in Presidential support duties.

2. Individuals not selected shall be removed from further consideration for such duties. This removal shall be without prejudice, unless there exists derogatory information that is grounds for adverse action. beyond the Presidential support program.

3. Contractor employees who are not selected shall not be utilized for duties addressed in section B.2.b. Nonselection, in and of itself, does not affect options to utilize the employees on other contracts, including classified contracts. Under the provisions of this Directive, the processing of contractor employees to determine their suitability for employment in positions involving Presidential support duties is outside of the auspices of the Industrial Personnel Security Clearance Program for appeal purposes.

4. DoD Components shall forward requests to appeal a nonselection action, for other than contractor employees, through the same channels as the initial nomination. DoD Components shall include the original nomination file, plus whatever additional mitigating information is offered by the appellant and any other information considered relevant.

G. TOUR OF DUTY

The tour of duty for all military personnel selected for assignment to Presidential support duties shall be stabilized for the maximum period allowable under the assignment policies of the Military Department concerned, with the minimum being 1 year from the date of the assignment to Presidential support duties. Waivers of obligated service to to meet this requirement will be considered on a case-by-case basis by The Special Assistant.

H. CONTINUING EVALUATION

1. DoD Components having administrative or operational control of personnel selected and assigned to Presidential support duties shall establish procedures for a continuing evaluation of the suitability of these personnel for such duties. This requirement also applies to management personnel exercising supervision over contractor employees performing Presidential support duties. Supervisory personnel should observe and report to appropriate security personnel any indications of changes in the following characteristics or behavior which might be relevant to an individual's continued suitability for Presidential support duties.

a. Attitude on the job or job performance.

b. Special personal problems or family pressures.

c. Undue pressure or emotional strain.

d. Signs of overindulgence in alcohol, use of drugs, or abuse of prescribed medications.

e. Change in physical ability to perform assigned duties.

f. Indications of bizarre or deviate behavior.

g. Frequent minor involvement with law enforcement agencies or other signs of irresponsible conduct.

h. Changes in financial status such as sudden or unexplainable affluence or heavy indebtedness.

i. Changes in marital status; i.e., marriage to a foreign national.

2. Each individual selected for Presidential support duties shall be instructed that the ultimate responsibility for remaining suitable for continued assignment to, detail to, or employment in such duties rests with the individual. Therefore, each individual is encouraged to seek appropriate guidance and assistance on any personal problem or situation that may have a possible bearing on his or her suitability for continued utilization in Presidential support duties. Appropriate counseling should be made available by the organization in which such duties are performed.

3. Supervisory indoctrination programs shall be established by the DoD Components concerned to ensure that supervisory personnel recognize and discharge their special responsibility in matters relating to the suitability of their subordinates for continued utilization in Presidential support duties. These programs shall provide practical guidance or behavioral signals relating to an individual's continued suitability for such duties.

4. DoD Components shall establish procedures to ensure that:

a. Appropriate organizational management personnel are notified immediately of any information which raises doubt as to the individual's suitability for continued utilization in Presidential support duties.

b. When contractor employees are the subject of such information, the DoD Component administering the contract is to be notified.

I. TEMPORARY SUSPENSION AND PERMANENT REMOVAL

Individuals may be temporarily suspended or permanently removed from Presidential support duties at any time by the head of the organiation in which the individual is performing such duties, or by higher authority, whenever information becomes available that the individual is not, or may no longer be, suitable under the standards set forth in this Directive for Presidential support duties. Contractor employees may be suspended only by the contracting officer, pending a final decision by the United States Secret Service. See also section D.3.e.

1. Permanent Removal

a. Telephonic notification to The Special Assistant is required. no later than the beginning of the following duty day for each permanent removal and will include an assessment as to whether or not unfavorable publicity may result.

b. Written followup, including a full report of all available information, shall be submitted to The Special Assistant within 3 working days.

2. Temporary Suspension

a. Telephonic notification to The Special Assistant is required no later than the beginning of the following duty day for only those temporary suspensions from which unfavorable publicity may result.

b. In all cases of temporary suspension in which it is evident that the derogatory information upon which the suspension is based requires further clarification, an investigation shall be promptly initiated in order to develop all information relevant to the issue.

c. Written followup regarding those cases covered by section I.2.a., including a summary of all available information, shall be provided within 3 working days. A full report of investigation, if appropriate, shall be forwarded to The Special Assistant within 60 days.

d. Written monthly status reports for each suspension pending investigation are required. Temporary suspension actions unresolved within 90 days shall automatically become permanent removals and The Special Assistant notified accordingly.

e. Caution must be exercised when making initial and followup notifications concerning investigations to ensure the investigation is not compromised through unnecessary or accidental dissemination of investigative information to unauthorized parties.

3. The Director, White House Military Office, also shall be telephonically notified, by the commander of those units under the Director's operational control, concerning individuals who are suspended or removed.

4. Written followup reports shall be forwarded through the normal nomination process channels for review and evaluation at each level to ensure that the suspension or removal is warranted.

5. In all suspension or removal actions where a likelihood of embarrassment to the President is indicated, DoD Components shall notify The Special Assistant during duty hours or the Office of the Secretary of Defense Duty Officer during nonduty hours. The Duty Officer is located in the OSD Cables Branch, Office of the Deputy Assistant Secretary of Defense (Administration).

J. ACTION CONCERNING ADMINISTRATIVE REASSIGNMENTS AND REQUESTS FOR REINSTATEMENT OR WAIVERS

1. When an individual is administratively transferred or similarly separated from an assignment involving Presidential support duties (i.e., upon completion of a normal tour of duty, completion of a contract, transfer, resignation, retirement, or detachment from Presidential support duties in accordance with routine military or civilian personnel policies), or permanently removed for cause, the clearance of the individual for assignment or utilization involving Presidential support duties is automatically terminated.

a. An individual administratively terminated from Presidential support duties must be reinvestigated and reselected for subsequent assignment to Presidential support duties, except:

(1) A request for waiver of the reinvestigation requirement may be considered by The Special Assistant, on a case-by-case basis, for an individual transferring directly from one Presidential support activity to another, of the same or less sensitive category, with no intervening duty station or assignment.

(2) A request for waiver of the reinvestigation requirement may be considered by The Special Assistant, on a case-by-case basis, for a contractor employee who was administratively terminated from Presidential support duties for a period not to exceed 6 months. Such a case will only be considered if the contractor employee has remained in a position requiring a security clearance.

b. A request for waiver of other requirements of this Directive may be granted only by The Special Assistant.

K. REPORTS

1. Each DoD Component responsible for assignment of military or civilian personnel, or contractor employees, to Presidential support activities

shall submit to The Special Assistant a two-part quarterly report, in duplicate, as follows:

a. Part One shall list personnel approved in accordance with section F.1. who are assigned to Presidential support duties as of the end of the quarter. The report shall include the individual's name, grade or rank, social security number, and the Presidential support activity assignment or employing agency.

b. Part Two shall list all personnel transferred or deleted from the list of assigned or employed personnel since the last quarter. The report shall include the individual's name, grade or rank, social security number, and Presidential support activity where individual was previously assigned or employed.

2. Reports shall be submitted for the first quarter that ends subsequent to the effective date of this Directive, and each quarter thereafter. Reports shall reach The Special Assistant within 15 days after the end of the quarter.

3. The reports shall be marked "FOR OFFICIAL USE ONLY" unless the originators determine that a higher security classification is required and warranted in accordance with other appropriate security directives.

4. The reporting requirement established in section K.1. has been assigned Report Control Symbol DD-SD(Q)934.

L. EFFECTIVE DATE AND IMPLEMENTATION

This Directive is effective immediately. Forward two copies of implementing regulations to The Special Assistant to the Secretary and Deputy Secretary of Defense within 90 days.

Deputy Secretary of Defense

Enclosures - 3
1. References, continued
2. Sample Transmittal Memorandum for DoD Component
3. Sample Transmittal Memorandum for The Special Assistant

SAMPLE TRANSMITTAL MEMORANDUM

MEMORANDUM FOR: (Enter Identity of Appropriate DoD Component Single Office)

SUBJECT: Personnel Investigation File

1. The attached investigative file concerning (enter name, rank or civilian grade, social security number, Military Department or DoD employing agency or contractor facility) has been completed in accordance with DoD Directive 5210.55 and is forwarded for review.

2. (Enter name) is being nominated for (state assignment or continued assignment) to (identify the specific Presidential support activity) as a (identify the individual's specific duty assignment; i.e., aviation maintenance technician, security policeman, steward, rotor blade examiner, switchboard operator, etc.).

3. These duties are addressed in section B., (specify Category One or Category Two) of DoD Directive 5210.55, requiring completion of a favorable (enter Special Background Investigation or Background Investigation). (Note that, per Section D.4.b., it is conceivable that Category Two personnel could have had an SBI vice a BI.)

4. (State that the attached file contains no derogatory information, or that the attached file contains derogatory information summarized below:) (Summarize derogatory information in subparagraphs(s).)

5. The above-identified individual (is or is not) recommended for assignment to the activity and duties for which nominated. (Justify the recommendation if derogatory information is contained in the file. Specifically identify all reasons for a recommendation that a contractor employee not be selected for the particular position in question.)

6. (If appropriate, state that the individual's effectiveness or performance reports have been reviewed and found acceptable.)

7. Investigative file indicates that the (specify SBI or BI) was completed on (specify date) and the national agency check was completed on (specify date).

Attachment

Position Description

Protocol Officer for the Secretary of Defense

Acting under the general administrative direction of The Special Assistant, the Protocol Officer is responsible for planning, coordinating, and arranging all military and ceremonial activities involving the Secretary and Deputy Secretary of Defense to include arrival honor ceremonies, military cordons, promotion and award ceremonies, swearing-in and departure ceremonies, and numerous activities attendant to receiving U.S. and foreign dignitaries.

In coordination with the OSD staff he is responsible for drafting responses to invitations requesting Secretary or Deputy Secretary attendance at a wide range of official functions; and he is also responsible for arranging official luncheons, dinners and receptions hosted by the Secretary and Deputy Secretary of Defense.

As the senior protocol authority within the Department of Defense, he responds to inquiries throughout the Department on ceremonial practice, flag etiquette, order of precedence, titles and forms of address, and all aspects of official entertaining. The Protocol Officer maintains various key personnel rosters including the Department of Defense official precedence list.

BIOGRAPHY

ALBERT C. PIERCE

Since February 1980, Dr. Albert C. Pierce has served as Assistant to the Secretary of Defense. His principal responsibilities include preparation of speeches, policy statements, and Congressional testimony on the full range of national security issues for the Secretary of Defense and for the Deputy Secretary. He is the principal drafter of the Secretary's Annual Report to the Congress.

Dr. Pierce spent two years with the U.S. Arms Control and Disarmament Agency, where his area of special expertise was strategic arms limitation, in particular the SALT II Treaty. During his time at ACDA, he served as Assistant to the Counselor and later as Special Assistant in the Office of the Director.

Before entering federal service, Dr. Pierce was a Research Associate and Assistant to the President of the University of Massachusetts. From 1973 to 1975, he was a consultant to Cambridge Survey Research, Inc. and to the John F. Kennedy Library, Inc. He was also affiliated with the Institute of Politics at Harvard University, where he conducted several study groups.

A cum laude graduate of the Catholic University of America in Washington, D.C., Pierce holds a doctorate in political science from Tufts University. While a graduate student there, he was a Research Fellow, a National Science Foundation Fellow, and a Teaching Fellow in international relations.

Born in Philadelphia,

BIOGRAPHY

LIEUTENANT COLONEL HOWARD W. RANDALL

Lieutenant Colonel Howard W. Randall, recently selected for promotion to Colonel, is currently assigned as a Military Assistant in the Office of The Special Assistant to the Secretary and Deputy Secretary of Defense. Prior to his assignment as a Military Assistant, he was assigned as a Program Analyst in the Program Analysis and Evaluation Directorate, Office of the Army Chief of Staff.

Following graduation from West Point in 1961, he attended infantry, ranger and airborne training at Fort Benning, Georgia. His first assignment was in the 25th Infantry Division in Hawaii. In 1963, he attended the Special Warfare School at Fort Bragg, North Carolina, and learned Vietnamese at the Defense Language Institute. While serving as an Advisor to the Vietnamese Rangers in 1964, he was wounded and evacuated back to the United States.

Lieutenant Colonel Randall then served as a Company Commander and later as Aide-De-Camp to the Commanding General at Fort Ord, California. In 1967, he returned to South Vietnam where he initially served in the 1st Infantry Division and subsequently in the II Field Force Long Range Patrol Company.

From 1970 to 1973 he was assigned to the Army Staff at the Pentagon in the Office of the Assistant Chief of Staff for Force Development. His next assignment was to Germany in the 8th Mechanized Infantry Division where from 1974 to 1978 he was a Battalion Executive Officer, Brigade Executive Officer, Battalion Commander, and the Division G-3.

Lieutenant Colonel Randall holds a B.S. degree from West Point and an MBA (ORSA) from Tulane University. He has graduated from the Armor Officers Career Course, the Armed Forces Staff College, and the Army War College. His military decorations include three bronze star medals, three meritorious service medals, nine air medals, two Army commendation medals, the purple heart medal, and the Combat Infantryman Badge.

Lieutenant Colonel Randall is married [redacted]

BIOGRAPHY

MAJOR ROBERT J. BOOTS

Major Robert J. Boots, recently selected for promotion to Lieutenant Colonel, is currently assigned as a Military Assistant in the Office of the Special Assistant to the Secretary and Deputy Secretary of Defense. As a Military Assistant, Major Boots provides assistance on Service related issues, preparation of speeches and testimony, and drafting of the Secretary's Annual Report to Congress.

Prior to his assignment as a Military Assistant, Major Boots was assigned as a Strategy and Planning Officer in the Directorate of Plans, Headquarters US Air Force from July 1979 to July 1980.

Major Boots was appointed to the USAF Academy in 1964 and graduated with the Class of 1968. He attended Pilot Training at Vance AFB, Oklahoma and was awarded his wings in August, 1969. He was subsequently assigned to Southeast Asia in the 460th Tactical Reconnaissance Wing where he flew 212 combat missions between 1969 and 1970.

In 1970 he was assigned to the 20th Military Airlift Squadron at Dover AFB, Delaware flying the C-141 as an instructor pilot and flight examiner. In 1972 Major Boots was selected as Aide and Executive Officer to the Commander of 21st Air Force at McGuire AFB, New Jersey.

In 1975 Major Boots was assigned to Headquarters Military Airlift Command as an Aircrew Standardization and Evaluation Flight Examiner. He also served as pilot for the Commander-in-Chief of the Military Airlift Command at Scott AFB, Illinois.

In 1978 Major Boots entered the Air Command and Staff College at Maxwell AFB, Alabama and graduated as a Distinguished Graduate in June 1979.

Major Boots holds a B.S. degree in Mathematics from the USAF Academy and an MBA from Webster College. He is a Senior Pilot with over 4000 hours flying time. He is also a qualified parachuist. His military decorations include: the Distinguished Flying Cross, the Air Medal, and the Meritorious Service Medal.

Major Boots is married

Lieutenant Colonel Grant S. Green, Jr.

Primary Duties

Assists the Secretary and Deputy Secretary of Defense by preparing policy papers and reviewing those from a wide cross section of the OSD staff. Serves as primary DoD point of contact with the White House staff for providing support to the President and Vice President. Reviews and approves all requests for DoD personnel and materiel support requested by other Federal departments and agencies.

Supervises the Presidential support program which involves special background investigations for all DoD personnel who have frequent association with members of the White House. Monitors/reviews all Presidential support nomination procedures for White House Military Office staff, unit commanders, military aides to the President and Vice President and White House social aides.

Reviews and processes recommendations for DoD military awards. Coordinates and approves use, by DoD and other federal agencies, of all Special Air Mission (SAM) aircraft. Provides staff assistance and administration to the Armed Forces Policy Council.

Lieutenant Colonel Jean E. Klick

Primary Duties

Responsible for staffing and coordination of policy on matters relating to Manpower, Reserve Affairs, and Logistics; Health Affairs; and Communications, Command, Control, and Intelligence. Processes action memoranda and staff papers prepared by the Office of the General Counsel and the Assistant for Legislative Affairs. Monitors programs affecting or initiated by the Air Force.

Acts as liaison between the Department of Defense and the Department of Justice for issues concerning the FBI and Protection of Federal Witnesses. Maintains coordination with the Office of Personnel Management. Monitors the Fraud, Waste, and Abuse Task Force.

Reviews and processes nominations for civilian awards. Researches, compiles, and drafts the Secretary of Defense's weekly report to the President.

Position Description

Staff Assistant to the Secretary of Defense

Acting under the general administrative direction of The Special Assistant, the Staff Assistant to the Secretary of Defense serves as a personal staff representative of the Secretary in contacts with the White House Staff, principal officials and executive assistants of Members of Congress, Members of the Cabinet, and other federal departments and agencies. In this capacity, the Staff Assistant acts as the Secretary's point-of-contact at primary mangement levels within OSD, the Organization of the Joint Chiefs of Staff, the Secretaries of the Military Departments, and the Directors of Defense Agencies, assembling a large volume and variety of information and directing specific actions as may be necessary in response to requests from federal officials outside the Department of Defense. By the same token, the Staff Assistant acts as liaison for various components of the Department in requesting information and/or appropriate action from other federal agencies.

The Staff Assistant also handles a wide range of assignments and special projects for the Secretary of Defense and/or The Special Assistant. These assignments, which are often of a sensitive and confidential nature, may require independent research, fact-gathering, analysis and evaluation of the resulting data, and the presentation of appropriate recommendations. The Staff Assistant further ensures that the directions of the Secretary and/or The Special Assistant are carried out both before and after their consideration and decision on such matters.

The Confidential Assistant

to

The Special Assistant

The Confidential Assistant to The Special Assistant provides high level administrative assistance in both internal office management and administrative support in the coordination and management of a variety of projects, studies, and actions, keeping The Special Assistant informed of critical developments. Based on an intimate knowledge of The Special Assistant's views and policies, provides guidance to staff personnel relating to priorities, practices and procedures, assuring smooth and efficient operation and relieving The Special Assistant from involvement in important, but time-consuming details.

The Confidential Assistant serves as the point of contact for The Special Assistant, referring matters out for study and action, establishing deadlines, monitoring progress, personally resolving related problems and disseminating The Special Assistant's instructions.

The Confidential undertakes complex research projects requiring fact-finding, investigation, report writing, correspondence preparation and follow-up. These assignments are frequently of a highly sensitive and controversial nature, and involve contact and coordination with key civilian and military officials.

The Military (Naval) Assistant to the Special Assistant:

- o Serves as the immediate office's liaison with the Navy Secretariat on Department of the Navy matters.
- o Serves as the office's liaison with the Vice President's military office.
- o Serves as the office's liaison with the following OSD staff offices and agencies: USD(Policy), USD(Research and Engineering), ASD(International Security Affairs), ATSD (Atomic Energy), and the Defense Security Assistance, Defense Intelligence, Defense Advance Research Projects and Defense Nuclear Agencies. Liaison responsibilities include the review, coordination and staffing of papers from these several offices that are en route to the Secretary and Deputy for action.

When requested, the Military Assistant also prepares original papers, correspondence, speeches and congressional statements.

The Special Assistant's Office

Title	Grade Level	Name
Executive Assistant to The Special Assistant	Col, USAF	Carl N. Beer
Confidential Assistant to The Special Assistant	GS-12	M. Joyce Nesmith
Private Secretary to the Secretary of Defense	GS-09	Betty P. Grim

DOD TRANSITION

OASD (COMPTROLLER)

DECEMBER 1980

Resource Allocation and Management

The existing DoD system for developing total resource levels (funds and manpower) and for allocating and managing them starts in the Fall of each year with the drafting of Policy Guidance and continues through various phases for up to 10 years, until appropriated funds are fully expended. As a result, there are always several phases underway at any time.

There are a number of regularized processes dealing with individual elements of the total, such as the Defense Systems Acquisition Review Council (DSARC). The National Foreign Intelligence Guidance and programs are reviewed under supervision from the Director for Central Intelligence, but follow roughly analogous steps. These act as each situation requires, their impact on the overall process depending on the state that process is in. Input is provided from OMB, the NSC and the President.

To provide a perspective on the sequence and timing of events, the following lists the major phases of the annual cycle now just getting underway. Attachments address these in more detail:

Early 1981: Drafting, coordinating and issuing Consolidated (Policy, Program and Fiscal) Guidance (CG) to Defense Components (Military Departments and Defense Agencies).

May 1981: Submission to OSD of Program Objective Memoranda (POM's) by the Components in response to the CG.

Jun-Jul 1981: Review of issues raised in the POM review and issuance of Program Decision Memoranda (PDM's); and after appeals, Amended PDM's (APDM's).

August 1981: Budget Guidance (Program and Fiscal) to Defense Components based on the ADPM's and on latest economic (pricing) assumptions.

Sep 1981: Budget submissions from Components to OSD for joint OMB/OSD review.

Oct-Dec 1981: Budget scrub of Component proposals; issuance of budget decisions; appeals; Sec Def major issue meetings with Military Departments; Sec Def meeting with President and printing of Budget.

Jan 1982: Press Briefing and submission of Budget and Defense Report to Congress.

Feb-Sep 1982: Testimony before Congressional Committees, response to Hill staffs, mark-up of and Conference/passage of: 1st (in April) and 2nd (in September) Budget Resolutions; major DoD and Military Construction Authorization (May) and Appropriation (September) Bills.

Sep 1982: Issuance of fund authorizations; development of monthly Obligation/Outlay plans; consideration of reprograming actions among and within appropriations; reporting as required to Congress; and execution of contract and in-house programs. This period ranges from one year for Pay and Operations appropriations to five years for Shipbuilding.

The Defense Resources Board is the principal forum for airing and resolving OSD staff differences on programs and priorities from a requirements viewpoint. The DRB is comprised of:

Chairman:	Deputy Secretary of Defense
Permanent Members:	USD(R&E), USD(P), ASD(C), ASD(MRA&L), ASD(PA&E)
Ex Officio:	Chairman, JCS
Associate Members:	ASD(C^3I), ASD(ISA), ASD(HA), Advisor for NATO Affairs, and a representative of the Director, OMB.

Associate members participate by invitation of the chairman. On occasion, representatives of the Military Services may be invited by the chairman as observers.

The Defense Systems Acquisition Review Council (DSARC) acts as the top level DoD corporate body for system acquisition, providing advice and assistance to the Secretary of Defense. The DSARC is comprised of:

Chairman:	Defense Acquisition Executive - USD(R&E)
Permanent Members:	USD(P)*, USD(R&E), ASD(C), ASD(MRA&L), ASD(PA&E), Chairman, JCS*
Principal Advisors:	ASD(C^3I), Advisor for NATO Affairs, DUSD(R&E)AP, and others as specified in DoDI 5000.2.

The Cost Analysis Improvement Group (CAIG), acts as the principal advisory body to the DASRC on matters related to cost.

* or a specifically designated representative.

Major issue (reclama) meetings with the Military Departments and wrap-up meetings prior to issuance of guidance, of APDM's and of Budget Decisions, or to presentations to the President are normally chaired by the Secretary. Meetings with the President tied to the cycle are normally held in June after OMB's Spring Review, and in December as the budget process concludes.

Staff Responsibilities

The ASD(Comptroller) is responsible for the design of, and the automated data base for the entire PPBS; budget justification/execution phases are also the responsibility of the Comptroller, who assigns responsibility for follow-up on and reporting required by DoD and Congressional review of Programs and Budgets.

The USD(Policy) prepares and coordinates Policy Guidance.

The ASD(PA&E) prepares and coordinates Consolidated Guidance, identifies POM issues for DRB/SecDef consideration.

The USD(R&E) and other ASD's prepare those parts of the PG and CG appropriate to their functional responsibility.

The OJCS is responsible for developing the Joint Strategic Objectives Plan (JSOP) as a statement of military requirements related to National Security Policy, and the Joint Program Assessment Memorandum (JPAM) which estimates the risks associated with SecDef guidance and component responses to guidance.

The budget "scrub" is directed by the Comptroller, with viewpoints of OSD DRB members and OMB incorporated in, passed to the Secretary or Deputy Secretary

for decision with the Decision Package Sets by which the budget is scrubbed.

Primary responsibility for legislative liaision rests with the ATSD for Legislative Affairs, with the Comptroller handling liaison with the appropriations committees.

Processes

Attached are more detailed descriptions of and a schedule for the various steps in the internal PPBS process.

Enclosures

RESOURCE ALLOCATION AND MANAGEMENT

A. PPBS

B. The JOINT OSD/OMB BUDGET REVIEW

C. THE COMPTROLLER MISSION

D. PPBS IMPROVEMENTS

E. DRAFT DOD I 7045.7 ON PPBS

F. POM REVIEW

G. PRIORITIZATION DURING THE BUDGET REVIEW

H. DSARC PROCESS

I. SUMMARY OF THE CONGRESSIONAL BUDGET PROCESS

J. CONGRESSIONAL ACTIONS, FY 80 & FY 81

K. CONGRESSIONAL HEARINGS

L. ACTIONS ON RECOMMENDATIONS IN CONGRESSIONAL COMMITTEE REPORTS AND RELATED AUTHORIZATION AND APPROPRIATION ACTS

M. REPORTING REQUIREMENTS IN CONGRESSIONAL COMMITTEE REPORTS

Mc. HAC SURVEYS AND INVESTIGATIONS STAFF

N. THE PROCESS OF BUDGET EXECUTION

O. BUDGET EXECUTION FLEXIBILITIES

P. BACKGROUND PAPERS

SUMMARY OF THE DoD PLANNING, PROGRAMING,
AND BUDGETING SYSTEM (PPBS)

The Assistant Secretary of Defense (Comptroller) is responsible for the design, installation and maintenance of PPBS (DoDD 7000.1) which includes responsibility for the establishment, improvement and maintenance of procedural guidance for PPBS (DoDI 7045.7).

The PPBS is a cyclic process containing five distinct, but interrelated, phases; planning, programing, budgeting, execution and accountability. In the first three phases prior decisions are re-examined and analyzed from the viewpoint of the force structure/national security objectives and the current environment (threat, economic, technological, and resource availability) and the decisions are either reaffirmed or modified as necessary. The cycle for a given fiscal year commences in the month of November almost two years prior to the start of that fiscal year. While the execution phase of that fiscal year might appear to be completed 35 months later, in reality obligations and expenditures against that fiscal year's program may continue, for some appropriations, for several years.

1. The Planning Phase

In the planning phase the role and posture of the United States and the DoD in the world environment are examined, with particular emphasis on Presidential policies. Some of the facets analyzed are: (a) potential and probable enemy capabilities and threat; (b) potential and probable capabilities of our Allies; (c) alternative U.S. policies and objectives in consideration of (a) and (b); (d) military strategies in support of these policies and objectives; (e) planning force levels that would achieve defense policy and strategy; and (f) planning assumptions for guidance in the following phases of PPBS.

The first step in the PPB is the preparation by JCS, and submission to the Secretary of Defense, of the Joint Strategic Planning Document (JSPD) containing independent JCS military strategy advice and recommendations to be considered in the development of the draft Consolidated Guidance (CG) and subsequent PPBS documents. It contains a concise, comprehensive military appraisal of the threat to U.S. interests and objectives worldwide; a statement of recommended military objectives derived from national objectives; and the recommended military strategy to attain national objectives. A summary of the JCS planning force levels which could successfully execute, with reasonable assurance, the approved national military strategy is included. JCS views on the attainability of the planning force in consideration of fiscal responsibility, manpower resources, material availability, technology and industrial capacity are also stated. The JSPD provides an appraisal of the capabilities and risks associated with programed force levels, based on the planning forces considered necessary to execute the strategy, and recommends changes to the force planning and programing guidance where appropriate.

After consideration of the military advice of the JCS, as expressed in the JSPD, the next milestone is the Secretary of Defense's Consolidated Guidance (CG). A draft of the CG covering the budget and program years is issued in January to solicit the comments of the DoD Components and to provide a vehicle for an exchange of views on defense policy between the Secretary of Defense, the President, and the National Security Council. The final version of the CG, issued in March, serves as an authoritative statement of the fundamental strategy, issues, and rationale underlying the Defense Program, as seen by the leadership of the DoD. The CG, culminating the planning phase, provides definitive guidance, including fiscal constraints, for the development of the Program Objective Memorandum by the Military Departments and Defense Agencies, and continues as the primary DoD guidance until revised or modified by subsequent Secretary of Defense decisions.

2. The Programing Phase

Annually, in May, each Military Department and Defense Agency prepares and submits to the Secretary of Defense a Program Objective Memorandum. POMs are based on the strategic concepts and guidance as stated in the CG and include an assessment of the risk associated with the current and proposed forces and support programs. POMs express total program requirements for the years covered in the CG, and provide rationale for proposed changes from the approved FYDP base. Dollar totals must be within the fiscal guidance issued by the Secretary of Defense. Major issues which are required to be resolved during the year of submission must be identified. Supporting information for POMs is in accordance with the annual POM Preparation Instructions.

After the POMs are submitted, the JCS submits the Joint Program Assessment Memorandum (JPAM) for consideration in reviewing the Military Department POMs, developing Issue Papers, and drafting Program Decision Memorandums. The JPAM provides a risk assessment based on the composite of the POM force recommendations and includes the views of the Joint Chiefs of Staff on the balance and capabilities of the overall POM force and support levels to execute the approved national military strategy. Where appropriate, the Joint Chiefs of Staff recommends actions to achieve improvements in overall Defense capabilities within, to the extent feasible, alternative POM funding levels directed by the Secretary of Defense. In addition, the JPAM develops SALT-constrained forces and provides recommendations on the nuclear weapons stockpiles considered necessary to support these forces, and on the security assistance program.

The programing phase continues in accordance with the following steps:

a. The POMs are analyzed at the OSD level and Issue Papers are generated which analyze the Service proposals in relation to (1) the Consolidated Guidance, (2) the balance between force structure, modernization, and readiness, and (3) efficiency trade-offs. Significant issues raised by the POMs which require Secretary of Defense resolution are highlighted, decision alternatives are listed, and these alternatives evaluated

as to cost and capacity to implement DoD missions. These "Issue Papers" are developed in coordination with the DoD Components to assure completeness and accuracy of the information contained therein. The views of the JCS on the risks involved in the POMs are considered during preparation of the Issue Papers.

b. Based on the Issue Papers and JCS risk assessment, the Secretary issues Program Decision Memoranda (PDM's) which are transmitted to the DoD Components for analysis and comment as appropriate.

c. Comments on the PDMs may be prepared in a manner prescribed by the submitting activity, but must present precise program impact that may be expected as a result of the decision. If comments on the PDMs express a dissenting view, any additional or clarifying information or justification must accompany the statement to allow a re-evaluation of the issue.

d. Comments submitted by the JCS address the impact on total DoD program balance. JCS provides the Secretary of Defense with an assessment of the risks involved and inherent in the PDMs and an evaluation of strategic implications.

e. Following a staff review of comments on the PDMs, meetings are held by the Secretary of Defense to discuss unresolved issues. If appropriate, Amended Program Decision Memoranda are then issued to incorporate any new decision, or to reiterate the previous decision.

3. The Budgeting Phase

With the establishment of program levels in the POM/PDM process, the budgeting phase begins with the DoD Components formulating and submitting, by September 15, detailed budget estimates for the budget year portion of the approved program. The budget estimates include the prior year, current year, and budget year (budget year plus one for authorized programs) in accordance with the Budget Guidance Manual and supplementary memoranda. Budget estimates are prepared and submitted based on the approved program as well as economic assumptions related to pay and pricing policies which are contained either in the PDMs or in separately prescribed detailed budget guidance revised and issued each year. The budget estimates are reviewed jointly by the Office of the Secretary of Defense (OSD) and the Office of Management and Budget (OMB). The entire budget is reviewed to insure the requests are properly priced; to insure production schedules are within production capacity; and to insure that the estimates are consistent with the Secretary's readiness objectives. Approval of the estimates for inclusion in the President's Budget is documented by Secretary of Defense budget decision documents. These decisions will evaluate, adjust and approve all resources in the budget request by decision units and/or packages within the appropriation and budget activity structures. The decisions will include the current year, the budget year, the authorization year (budget year + 1) and an estimate of the resource impact on the three succeeding program years consistent with the President's requirement for multi-year planning estimates.

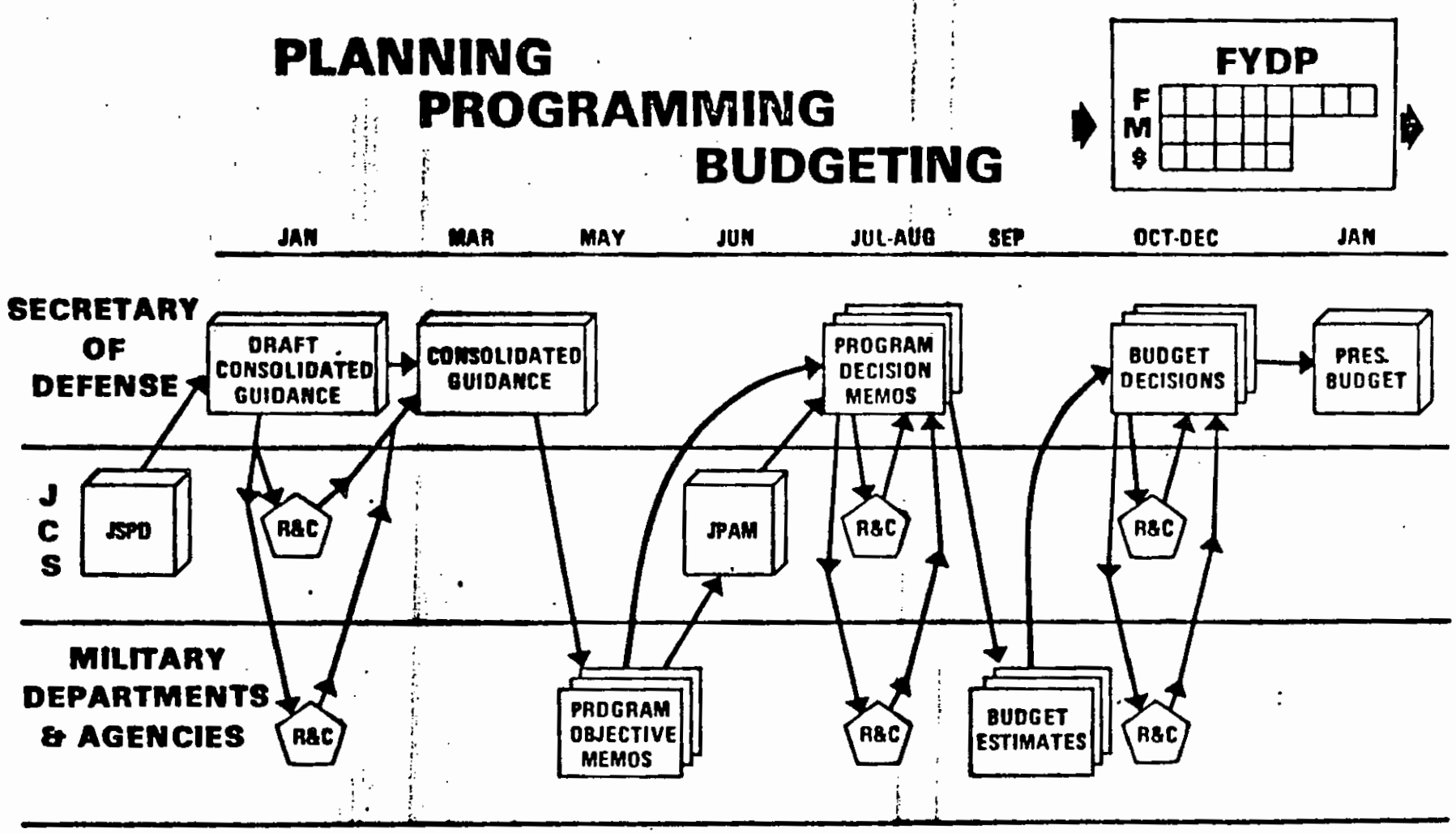
During the course of the budget review, the DoD Components have an opportunity to express an appeal position on each decision. Prior to final decisions, the Service Secretaries and Military Chiefs have the opportunity for a meeting with the Secretary of Defense to present and resolve any outstanding issues of major significance.

The Secretary then presents his budget to the President for consideration within the overall Federal requirements. Changes from that meeting are subsequently incorporated into the DoD submission and decision documentation is finalized. Following the printing process the budget is submitted to the Congress in January. The FYDP is updated to reflect the President's Budget and related resource impact in the "outyears" thereby establishing a consistent base for the ensuing decision cycle.

4. The Execution and Accountability Phases

The execution and accountability phases follow the submission of the budget and its enactment by the Congress. These phases are concerned with: execution of the programs approved by the Congress; the accountability and reporting of actual results for use in monitoring program execution; preparing future plans, programs, and budgets; and supplying financial status information to DoD managers.

PLANNING PROGRAMMING BUDGETING



JSPD = JOINT STRATEGIC PLANNING DOCUMENT
JPAM = JOINT PROGRAM ASSESSMENT MEMORANDUM

R&C = REVIEW AND COMMENT

FYDP SYMBOLS
F = FORCES
M = MANPOWER
$ = DOLLARS
□ = YEARS

3417-8

THE SECRETARY OF DEFENSE

WASHINGTON, D.C. 20301

MEMORANDUM FOR THE SECRETARIES OF THE MILITARY DEPARTMENTS
CHAIRMAN OF THE JOINT CHIEFS OF STAFF

SUBJECT: PPBS Schedule for the FY 83-87 Cycle

Attached is the schedule for the FY 83-87 cycle of the Planning, Programing and Budgeting System. The sequence is the same as the previous cycle but includes the JCS submission of the Joint Program Assessment Memorandum (JPAM). It also advances the entire schedule one week to allow four weeks following the APDM for preparation of the budget. The tardiness of the budget is a perennial problem we should endeavor to correct and this schedule makes a modest attempt to do so.

Thank you for your efforts during this cycle and let us continue to work together during the next cycle to use the PPB system as effectively as we can.

Enclosure

cc: Under Secretaries of Defense
Assistant Secretaries of Defense
General Counsel
Assistants to the Secretary and Deputy Secretary of Defense
Directors, Defense Agencies

Calendar of Key PPBS Events
for
FY1983-87 Cycle

Dec 1, 1980	--	JCS submits Joint Strategic Planning Document (JSPD)
3 weeks		
Dec 22, 1980	--	Components submit written suggestions for key Consolidated Guidance (CG) features
1 week		
Dec 29, 1980	--	SecDef completes review of suggestions and JSPD
3 weeks		
Jan 19, 1981	--	OSD staff submits first draft of CG to SecDef
1 week		
Jan 26, 1981	--	SecDef completes review of first draft of CG
1 week		
Feb 2, 1981	--	Draft of CG sent to Components for comment
3 weeks		
Feb 23, 1981	--	Components send CG comments to SecDef
2 weeks		
Mar 6, 1981	--	SecDef reviews comments in a single meeting with Military Depts., and CJCS
1 week		
Mar 13, 1981	--	SecDef sends revised CG to Components
8 weeks		
May 8, 1981	--	Components submit POMs, update FYDP and Annexes*
4 weeks		
Jun 5, 1981	--	JCS submits Joint Program Assessment Memorandum
1 week		
Jun 12, 1981	--	OSD transmits draft Issue Papers(IPs) for comment
1 week		
Jun 19, 1981	--	Components, OMB, NSC provide IP comments to SecDef
1 week		
Jun 26, 1981	--	OSD sends revised IPs to SecDef
2 weeks		
Jul 10, 1981	--	SecDef completes review of IPs with OSD staff
1 week		
Jul 17, 1981	--	SecDef sends Program Decision Memoranda (PDMs) to Components
2 weeks		
Jul 31, 1981	--	Components send PDM comments to SecDef
1 week		
Aug 3-7,1981	--	Military Depts. meet individually with SecDef, DepSecDef and CJCS
2 weeks		
Aug 20, 1981	--	SecDef sends Amended Program Decision Memoranda to Components
4 weeks		
Sep 15, 1981	--	Components submit budget estimates, update FYDP and Annexes

* Mar 13 - Mar 27 CG Summary drafted, sent to President

The Joint OSD/OMB Budget Review

The DoD jointly reviews the budget with the OMB staff in order to devote maximum review and analysis time here in the Department. The alternative would require earlier submission by OSD to OMB in order to provide time for independent OMB review. The current joint OSD/OMB review is unique throughout the government and has been for many years.

The Budget is due from all components of the Department of Defense (DoD) on September 15th and is accompanied by an update of the Five Year Defense Program (FYDP) and annexes. Distribution is made to the Office of Management and Budget (OMB) and all participating organizational elements of the Office of the Secretary of Defense (OSD).

Participation in the joint review is open to all elements of the DoD components and OSD staffs. Inputs from participants are solicited by each appropriation director for inclusion in the decision package sets (DPS's); the decision documents ultimately signed by the Secretary/Deputy Secretary of Defense.

In accordance with instructions, budget submissions are converted from three PDM levels into bands with continuous ordinal ranking provided throughout. The decision packages contained in these bands are consistent with those established during the POM review. In order to provide a tentative Secretary of Defense integrated ranking list to OMB by mid-October, the DRB reviews and integrates the component submissions. As a foundation for this action, the Comptroller provides a ranking summary and a narrative description of each decision package as soon as possible after the budget submissions are received. A date for the DRB meeting is announced subsequently.

As a parallel action, the budget scrub proceeds immediately upon receipt of the budget submissions. Since the program has been set in place, the budget is scrubbed thoroughly at all levels to consider matters of pricing, executability, efficiencies, etc. The Comptroller's Decision Package Sets (DPS's) are the vehicle for the budget scrub.

Oftentimes as DPS's are drafted, copies are "floated" for input from participants. Once the DPS takes final form it begins a formal coordination process. Coordination should be obtained from the interested Assistant Secretary/Principal Deputy Assistant Secretary level. All notes, memoranda, letters, or other pertinent appendages become a permanent part of the decision document and are retained in the documentation files. These documents are "close hold" in their "raw" signature form. The document, once coordinated with other OSD staff elements, is processed through the Deputy Assistant Secretary (Program/Budget), a representative of OMB, the Principal Deputy Assistant Secretary (Comptroller) and the Assistant Secretary (Comptroller), to the Secretary/Deputy Secretary of Defense. Subsequent to signature, the decision document is printed and distributed throughout the Department and OMB. In order to protect the confidential nature of DRB and OSD staff coordinations and positions, the document which is printed and distributed consists of only the decision document. This is essential to encourage open debate of issues and objective advice to the Secretary.

As the Secretary/Deputy Secretary approves and returns DPS's, they are translated into the Automated Budget Review System to reflect increases and decreases to the submissions. Periodic status reports are provided to the Secretary/Deputy Secretary as well as the OSD managers and staff and the submitting components. Status is in terms of Total Obligational Authority (TOA), the total cost of a program without regard to year or source of funding; Budget Authority (BA), essentially appropriations requested from the Congress; and Outlays, the net of gross disbursements and collections from customers. These are the three basic measures used throughout the budget community. For comparative purposes, dollar values are inflated and/or deflated to reflect constancy in order to measure year-to-year "real growth" as distinct from inflationary increases.

The status reporting is as frequent as management requires and is structured in hierarchial order relative to level of detail.

While the review is progressing, the Defense Resources Board (DRB) meets periodically to consider the relative ranking priorities of approximately $20-25 billion of programs ranked by the submitting components. The DRB first integrates the original component rankings by reviewing and approving OSD staff prepared priority ranking proposals (PRP's). Those PRP's not approved by the DRB are discarded. The DRB then meets with the Secretary who approves/disapproves the DRB re-ranking proposals. Subsequent iterations are sometimes appropriate. At the point when the Secretary begins meeting with the President on the overall budget levels, the Secretary oftentimes makes changes to the ranking to insure that the highest priority programs are included within the approved funding level. All such approved ranking changes are reflected daily in the automated system so the budget status reporting is current for both DPS changes and ranking changes.

As the process nears completion, various management summaries are available providing TOA, BA and Outlays in both current and constant budget year dollars. The level of real growth is identified and often debated as are the inflation and pay raise assumptions contained in the budget estimates.

Recognizing that last minute changes are disruptive and sometimes error prone, the Department makes the best advantage of time available to continue the review and decision process. However, once OMB has the budget in print, the word is passed that the budget is locked and changes are no longer permitted.

Attention and staff efforts are then directed to preparing information to release to the Press during the DoD Budget Press Briefing; congressional justifications, the Secretary's posture statement, and other related requirements. The FYDP and annexes are updated to reflect all applicable budget decisions and automated data bases and hard copy justification exhibits in support of the budget are provided to the congressional oversight committees. Reprograming requests which have been reflected in the budget are prepared, staffed and submitted to the applicable committees for approval. Accounting records are adjusted as applicable to be consistent with resources reflected in the current year column of the budget. A series of budget hearings and reprograming hearings dominate subsequent months necessitating a great expenditure of management time appearing before the applicable oversight committees.

ASSISTANT SECRETARY OF DEFENSE

WASHINGTON, D.C. 20301

COMPTROLLER

18 SEP 1980

MEMORANDUM FOR SECRETARIES OF THE MILITARY DEPARTMENTS
CHAIRMAN OF THE JOINT CHIEFS OF STAFF
UNDER SECRETARIES OF DEFENSE
ASSISTANT SECRETARIES OF DEFENSE
GENERAL COUNSEL
ASSISTANTS TO THE SECRETARY OF DEFENSE
DIRECTORS OF THE DEFENSE AGENCIES

SUBJECT: FY 1982-1986 budget work schedule and budget printing dates

The enclosed schedule is forwarded for your information and action as appropriate. I know that the appropriate sense of urgency prevails within your organization as it does in mine. Please make this schedule available to all personnel within your organization who may be involved in the formulation of the FY 1982-1986 budget.

We intend to work again this year toward making the job as easy and painless as possible within the constraints that exist.

Jack R Borsting

Jack R. Borsting
Assistant Secretary of Defense

Enclosure

FY 1982-1986 Budget Process Planning Dates

1.	Receive Component Submits	Sept. 15, 80
2.	Begin budget hearings	Sept. 17, 80
3.	Submit to OMB current services/top line projections	Sept. 25, 80
4.	Begin update of FYDP Annexes with Service Submissions	Sept. 22, 80
5.	Begin update of FYDP with Service Submissions	Sept. 29, 80
6.	DRB receive Ranking Summaries containing service/agency ordinal prioritization to begin familiarization of content	Early Oct.
7.	DRB, OMB and Services receive Integrated Ranking Summaries reflecting tri-service integrating, compliance corrections and interleaving	Oct. 9, 80
8.	Process decision package sets: First to SecDef Final to SecDef	Oct. 10, 80 Nov. 14, 80
9.	Deadline for ranking proposals from DRB members to to OASD(PA&E)	Oct. 17, 80
10.	OASD(PA&E) sends PCPs and summaries to DRB principals	Oct. 23, 80
11.	DRB meeting	Oct. 28, 80
12.	DRB Chairman sends two-part decision memo to Secretary	Oct. 31, 80
13.	DPS coordination forwarded to OASD(C) within 1 day	Nov. 3, 80
14.	Reclamas due on DPSs received by components: Submitted to OASD(C) within 3 days Submitted to OASD(C) within 2 days Submitted to OASD(C) within 24 hours	 Nov. 3, 80 Nov. 10, 80 Nov. 17, 80
15.	DRB meeting with Secretary to obtain decision on two-part memo	Nov. 5, 80
16.	Secretary, DRB and Services receive reprioritization Ranking Summaries	Nov. 7, 80
17.	DRB meeting with Secretary for fine-tuning of Ranking Summaries	Nov. 12, 80
18.	Secretary, DRB and Services receive fine-tuned Ranking Summaries	Nov. 14, 80

19.	Outlay forecast for OMB (FY 81-82)	Nov. 12, 80
20.	Special Budget update for prior year ($)	Nov. 13, 80
21.	Secretary's meetings with Services on prioritization	Nov. 19-20, 80
22.	Wrap-up meeting with Secretary	Nov. 21, 80
23.	Ranking to DRB and Services; to OMB for Director's meeting with President	Nov. 25, 80
24.	Special Budget update for prior year (manpower)	Nov. 26, 80
25.	Director of OMB meeting with the President	Week of Dec. 1, 80
26.	Deadline for reprinted galley to OMB	Dec. 8, 80
27.	DRB meeting with Secretary for fine tuning prioritization	Dec. 10, 80
28.	Secretary of Defense meeting with the President	Dec. 12, 80
29.	Receipt of last $ galley proof from the OMB	Dec. 13, 80
30.	Deadline for return of marked-up $ galley proof to OMB	Dec. 17, 80
31.	DoD components submit summary update of FYDP	Dec. 19, 80
32.	Update FYDP and annexes by program element/line item	Jan. 5, 81
33.	Budget released to press	Jan. 16, 81
34.	Delivery of budget to Congress	Jan. 19, 81

Office of the Assistant Secretary of Defense
(Comptroller)

Mission

Title 10, United States Code, Section 136 specifies the Comptroller's responsibilities as follows:

"S 136. Assistant Secretaries of Defense: appointment; powers and duties; precedence

(a) There are seven Assistant Secretaries of Defense, appointed from civilian life by the President, by and with the advice and consent of the Senate.

(b) The Assistant Secretaries shall perform such duties and exercise such powers as the Secretary of Defense may prescribe. One of the Assistant Secretaries shall be the Assistant Secretary of Defense for Health Affairs. He shall have as his principal duty the overall supervision of health affairs of the Department of Defense. One of the Assistant Secretaries shall be the Assistant Secretary of Defense for Manpower and Reserve Affairs. He shall have as his principal duty the overall supervision of manpower and reserve component affairs of the Department of Defense. In addition, one of the Assistant Secretaries shall be the Comptroller of the Department of Defense and shall, subject to the authority, direction, and control of the Secretary--

(1) advise and assist the Secretary in performing such budgetary and fiscal functions and duties, and in exercising such budgetary and fiscal powers, as are needed to carry out the powers of the Secretary;

(2) supervise and direct the preparation of budget estimates of the Department of Defense;

(3) establish and supervise the execution of principles, policies, and procedures to be followed in connection with organization and administrative matters relating to --

(A) the preparation and execution of budgets;

(B) fiscal, cost, operating, and capital property accounting;

(C) progress and statistical reporting; and

(D) internal audit;

(4) establish and supervise the execution of policies and procedures relating to the expenditure and collection of funds administered by the Department of Defense; and

(5) establish uniform terminologies, classifications, and procedures concerning matters covered by clauses (1) - (4).

(c) Except as otherwise specifically provided by law, an Assistant Secretary may not issue an order to a military department unless --

(1) the Secretary of Defense has specifically delegated that authority to him in writing; and

(2) the order is issued through the Secretary of the military department concerned, or his designee....."

These responsibilities are expanded upon in the ASD(C) charter published in DoD Directive 5118.3 of July 11, 1972. It provides:

"The Assistant Secretary of Defense (Comptroller) is the principal staff assistant to the Secretary of Defense for programming, budgeting, auditing, and fiscal functions; for all matters pertaining to organization, management, and administration. He shall provide staff supervision for the Defense Contract Audit Agency and the Defense Audit Agency. In addition, he shall:

A. Provide for the design and installation of resource management systems throughout DoD.

B. Collect, analyze, and report resource management information for the Secretary of Defense and as required for the Office of Management and Budget, the Congress, the General Accounting Office, and other agencies outside of the DoD."

The directive itemizes specific functions, relationships and authorities pertinent to the Comptroller and it includes a listing of the numerous authorities which the Secretary of defense has formally delegated to the Comptroller.

July 11, 1972
NUMBER 5118.3

ASD(C)

Department of Defense Directive

SUBJECT Assistant Secretary of Defense (Comptroller)

Refs.: (a) DoD Directive 5118.3, subject as above, January 24, 1966 (hereby cancelled)
(b) DoD Directive 5110.1, "Assistant Secretary of Defense (Administration)," July 11, 1964 (hereby cancelled)

I. GENERAL

Pursuant to the authority vested in the Secretary of Defense, and the provisions of Title 10, United States Code, Section 136(b), one of the Assistant Secretary positions authorized by law is designated Assistant Secretary of Defense (Comptroller) with responsibilities, functions and authorities as prescribed herein. The Assistant Secretary of Defense (Comptroller) shall be the Comptroller of the Department of Defense.

II. RESPONSIBILITIES

The Assistant Secretary of Defense (Comptroller) is the principal staff assistant to the Secretary of Defense for programming, budgeting, auditing, and fiscal functions; for all matters pertaining to organization, management and administration; and for DoD investigative and security policies. He shall provide staff supervision for the Defense Contract Audit Agency, Defense Mapping Agency and the Defense Investigative Service. In addition, he shall:

A. Provide for the design and installation of resource management systems throughout the DoD.

B. Collect, analyze, and report resource management information for the Secretary of Defense and as required for the Office of Management and Budget, the Congress, the General Accounting Office, and other agencies outside of the DoD.

III. FUNCTIONS

Under the direction, authority, and control of the Secretary of Defense, the Assistant Secretary of Defense (Comptroller) shall:

A. Coordinate and control the programming process.

B. Supervise, direct, and review the preparation and execution of the DoD budget.

C. Establish policies and procedures for:

1. Expenditure and collection of funds administered by the DoD and related fiscal accounting systems.

2. International financial matters.

3. Control of prices for transactions involving the exchange of goods and services by DoD Components.

4. Contract audit and internal audit.

5. Terminologies, classifications, and procedures relating to programming, budgeting, funding, accounting, reporting, auditing, economic analysis, program evaluation, output measurement, and resource management.

6. Management of DoD automatic data systems.

7. Management and control of DoD information requirements.

D. Conduct:

1. Audit functions and services for the Office of the Secretary of Defense, the Organization of the Joint Chiefs of Staff, and other DoD Components, as assigned.

2. DoD-wide audits of the Military Assistance Program and other selected areas and functions.

3. Special audits or audit surveys of selected areas within the DoD as requested or as deemed appropriate.

E. Serve as DoD liaison with the General Accounting Office and process GAO or other external audit reports and assure appropriate corrective actions.

F. Provide the Office of the Secretary of Defense with:

1. An Automatic Data Processing capability.

2. A Central Data Service to accumulate data, provide reports and related analyses and evaluations.

G. Establish policies, plans, and programs for physical, investigative, industrial, and personnel security matters.

H. Serve as Chairman of the Defense Investigative Review Council.

I. Direct and administer the DoD Information Security Program.

J. Oversee the administration of and provide overall policy guidance for the DoD Industrial Personnel Security Clearance Program.

K. Act for the Secretary of Defense as United States Security Authority for NATO, SEATO, and CENTO, and as the National Security Authority for security agreements.

L. Conduct research, develop plans, and recommend organizational structures and management practices that will achieve efficient and economical operation.

M. Review and validate organizational arrangements and manning levels of offices within the Office of the Secretary of Defense, the Organization of the Joint Chiefs of Staff and the Defense Agencies.

N. Provide administrative support for the Office of the Secretary of Defense, the Organization of the Joint Chiefs of Staff and other organizations as assigned.

O. Act as Department of Defense coordinator in all matters relating to the improvement of Federal-State relations.

P. Represent the Secretary of Defense in providing for continuity of Government, military participation in civil and domestic emergencies, and related emergency planning, and coordinate emergency planning within the DoD.

Q. Establish policy for and supervise DoD audio-visual activities.

R. Insure that all matters presented to the Secretary of Defense for signature reflect established Presidential and DoD policies and are consistent with interdepartmental and interagency agreements.

S. Provide policy, guidance, coordination, and supervision for the operation of administrative facilities and services common to all Defense activities at the Seat of Government.

T. Establish standards and provide policy guidance, coordination, and evaluation of the operation of administrative facilities and services in support of DoD Components as necessary.

U. Establish, control, and manage the DoD Directive System.

V. Prepare, maintain and coordinate historical records and reports for the Office of the Secretary of Defense.

W. Process requests to the Secretary of Defense for Special Air Mission transportation other than for Congressional travel.

X. Perform such other functions as the Secretary of Defense assigns.

IV. RELATIONSHIPS

A. In the performance of his functions, the Assistant Secretary of Defense (Comptroller) shall:

1. Coordinate actions, as appropriate, with DoD Components having collateral or related functions in the field of his assigned responsibility.

2. Maintain active liaison for the exchange of information and advice with other DoD Components, as appropriate.

3. Make full use of established facilities in the Office of the Secretary of Defense and other DoD Components rather than unnecessarily duplicating such facilities.

B. The heads of all DoD Components and their staffs shall cooperate fully with the Assistant Secretary of Defense (Comptroller) and his staff in a continuous effort to achieve efficient administration of the DoD, and to carry out effectively the direction, authority, and control of the Secretary of Defense.

C. The channel of communication with Unified and Specified Commands on matters relating to audit shall be directly between those Commands and the Secretary of Defense. The Assistant Secretary of Defense (Comptroller) is assigned staff responsibility for such matters, and he is authorized to communicate directly in regard to them with Commanders of Unified and Specified Commands. All directives and communications of the Assistant Secretary of Defense (Comptroller) to such Commands which pertain to audit shall be coordinated with the Joint Chiefs of Staff.

D. DoD Components are defined for the purpose of this Directive to be: the Office of the Secretary of Defense, the Organization of the Joint Chiefs of Staff, the Military Departments, Defense Agencies and the Unified and Specified Commands.

V. AUTHORITIES

A. The Assistant Secretary of Defense (Comptroller), in the course of exercising full staff functions and those assigned by Title 10, U.S.C., Section 136(b), is hereby specifically delegated authority to:

1. Issue instructions and one-time directive-type memorandums, in writing, appropriate to carrying out policies approved by the Secretary of Defense for his assigned areas of responsibility. Instructions to the Military Departments will be issued through the Secretaries of those Departments or their designees.

2. Obtain such reports, information and assistance from DoD Components as may be necessary to the performance of his assigned functions.

3. Issue policies and instructions which establish procedures for the review and approval of reporting requirements and forms which the Office of the Secretary of Defense or the Defense Agencies propose to place on any Component of the DoD and to designate those requirements which are prescribed by the Office of the Secretary of Defense. Review, and when appropriate, transmit to the Office of Management and Budget those reporting requirements which any Component of the DoD proposes to place upon the public, including Defense contractors.

4. Request the prompt initiation of reviews by DoD Components of organization and management practices.

5. Communicate directly with heads of DoD Components.

6. Exercise such authority vested in the Secretary of Defense as may be required in the administration of DoD security programs.

B. Specific delegations to the Assistant Secretary of Defense (Comptroller) are in Enclosure 1 to this Directive.

VI. CANCELLATION

References (a) and (b) are hereby cancelled.

VII. EFFECTIVE DATE

This Directive is effective immediately.

Kenneth Rush

Enclosure - 1
1. Delegations of Authority

DELEGATIONS OF AUTHORITY

Pursuant to the authority vested in the Secretary of Defense, the Assistant Secretary of Defense (Comptroller) is hereby delegated, subject to the direction, authority and control of the Secretary of Defense, authority to:

1. Direct and control the Defense Data Elements and Data Codes Standardization Program and monitor application by Department of Defense Components, as prescribed in Department of Defense Directive 5000.11.

2. Supervise the operation of the Military Pay and Allowance Committee as prescribed in Department of Defense Directive 5154.13.

3. Establish and supervise the execution of principles, policies and procedures to be followed in connection with organizational and administrative matters relating to internal and contract audit in the Department of Defense, as prescribed in Department of Defense Directive 7600.2, and under the authority of 10 U.S.C. 136(b).

4. Approve requests to hold cash at personal risk for authorized purposes and to redelegate such authority as deemed appropriate in the administration and control of DoD funds, subject to provisions of Treasury Department Circular No. 1030, "Regulation Relating to Cash Held at Personal Risk Including Imprest Funds by Disbursing Officers and Cashiers of the United States Government", as amended, and under the authority of 10 U.S.C. 136(b).

5. Approve the establishment of accounts for the individual operations financed by management funds and to issue regulations for the administration of accounts thus established pursuant to the authority of 10 U.S.C. 2209.

6. Exercise the powers vested in the Secretary of Defense pertaining to the employment and general administration of civilian personnel (5 U.S.C. 301, 302(b), and 3101).

7. Fix rates of pay for wage board employees exempted from the Classification Act by 5 U.S.C. 5102(c)(7) on the basis of rates established under the Coordinated Federal Wage System, in accordance with the

Federal Personnel Manual, Supplement 532-1, U.S. Civil Service Commission, "Coordinated Federal Wage System", as amended. The Assistant Secretary of Defense (Comptroller), in fixing such rates, shall follow the wage schedules established by the Department of Defense Wage Fixing Authority.

8. Administer oaths of office incident to entrance into the Executive Branch of the Federal Government, or any other oath required by law in connection with employment therein, in accordance with the provisions of 5 U.S.C. 2903(b).

9. (a) Authorize, in case of an emergency, the appointment of an employee of the Office of the Secretary of Defense or of a Defense Agency to a sensitive position for a limited period, for whom a full field investigation has not been completed, in accordance with Executive Order 10450, as amended; and

(b) authorize the suspension of an employee in the interest of the national security in accordance with the provisions of 5 U.S.C. 7532.

10. Approve, as the designee of the Secretary of Defense, the establishment or continuation of advisory committees and the employment of part-time advisers as consultants or experts by any Component of the Department of Defense whenever the approval of the Secretary of Defense is required by law, Civil Service Commission regulation, or DoD issuance, and pursuant to the provisions of 5 U.S.C. 3109(b), 10 U.S.C. 173, and the Agreement between the Department of Defense and the Civil Service Commission on Employment of Experts and Consultants.

11. Enter into contracts for supplies, equipment, personnel and services and provide for contract administration required for assigned activities and, subject to the limitation contained in 10 U.S.C. 2311, make the necessary determinations and findings as required.

12. Purchase or requisition through a Military Department, Defense Agency, or other Government department or agency, or directly, equipment and supplies (5 U.S.C. 301).

13. Establish and use Imprest Funds for making small purchases of material and services, other than personal, when it is determined more advantageous and consistent with the best interests of the Government,

in accordance with the provisions of DoD Directive 5100.25 and DoD Instruction 7280.1, as revised.

14. Approve contractual instruments for commercial-type concessions at the Seat of Government, and maintain general supervision over commercial-type concessions operated by or through the Department of Defense at the Seat of Government, DoD Directive 5120.18.

15. Act as agent for the collection and payment of employment taxes imposed by Chapter 21 of the Internal Revenue Code of 1954, and, as such agent, make all determinations and certifications required or provided for under Section 3122 of the Internal Revenue Code of 1954 (26 U.S.C. 3122), and Section 205(p)(1) and (2) of the Social Security Act, as amended (42 U.S.C. 405(p)(1) and (2)).

16. Act as custodian of the seal of the Department of Defense and attest to the authenticity of official records of the Department of Defense under said seal (10 U.S.C. 132).

17. Act for the Secretary of Defense before the Joint Committee on Printing, the Public Printer, and the Director of the Office of Management and Budget on all matters pertaining to printing, binding and publications requirements (chapter 11 of title 44, United States Code).

18. Authorize the publication of advertisements, notices or proposals, as required (44 U.S.C. 3702).

19. (a) Establish and maintain appropriate property accounts for OSD and organizations assigned thereto for administrative support (10 U.S.C. 136(b)).

(b) Appoint boards of survey, approve reports of survey, relieve personal liability, and drop accountability for property contained in authorized property accounts that have been lost, damaged, stolen, destroyed, or otherwise rendered unserviceable, in accordance with applicable laws and regulations (10 U.S.C. 136(b)).

20. Establish and administer an active and continuing Records Management Program for the Department of Defense, pursuant to the provisions of 44 U.S.C. 3102.

21. Clear personnel for access to Top Secret, Secret and Confidential material and information, in accordance with the provisions of Department of Defense Directive 5210.8, as revised, subject: "Policy on Investigation and Clearance of Department of Defense Personnel for Access to Classified Defense Information," and of Executive Order 11652.

22. Authorize and approve overtime work for civilian officers and employees in accordance with the provisions of Section 550.111 of the Federal Personnel Manual, Supplement 990-1 (Book III), U.S. Civil Service Commission, "Civil Service Laws, Executive Orders, Rules and Regulations", as amended.

23. Authorize and approve:

(a) Travel for civilian officers and employees in accordance with the Joint Travel Regulations, Vol. 2, DoD Civilian Personnel, as amended;

(b) Temporary duty travel for military personnel in accordance with the Joint Travel Regulations, Vol. 1, Members of the Uniformed Services, as amended;

(c) Invitational travel to persons serving without compensation whose consultive, advisory or highly specialized technical services are required, pursuant to the provisions of 5 U.S.C. 5703.

24. Approve the expenditure of funds for travel incident to attendance at meetings of technical, scientific, professional or other similar organizations in such instances where the approval of the Secretary of Defense is required by law (5 U.S.C. 4110 and 4111, and 37 U.S.C. 412).

25. Pay cash awards to, and incur necessary expenses for, the honorary recognition of civilian employees of the Government in accordance with the provisions of 5 U.S.C. 4503.

26. Supervise and administer the affairs of welfare and recreation activities (5 U.S.C. 301).

27. Enter into support and service agreements with the Military Departments, other DoD agencies, or other Government agencies, as required (5 U.S.C. 301).

The authorities vested in the delegate named herein may be redelegated by him, as appropriate.

PLANNING, PROGRAMMING, AND BUDGETING SYSTEM IMPROVEMENTS

The Secretary of Defense, in October 1977, directed that the Defense Department Planning, Programming and Budgeting System (PPBS) be revised to achieve five objectives:

1. To provide an opportunity for early Presidential participation in the process;

2. To permit the Secretary of Defense and the President, based on the advice of all appropriate offices and organizations in the Department of Defense, to play an active role in shaping the defense program;

3. To create a stronger link between planning and programmatic guidance and fiscal guidance;

4. To develop, through discussion, a sound and comprehensive rationale for the program, and

5. To ensure the program is based on sound analysis and contributions for all relevant offices.

The revised system was designed to provide a more coherent basis for guiding the Military Departments in the preparation of their specific program recommendations. It consolidated and reduced to one what in prior years had been three separate forms of guidance from the Secretary of Defense: the Defense Guidance, the Planning and Program Guidance, and the Fiscal Guidance. The revised consolidated guidance was to incorporate an analysis of the rationale for each aspect of the Secretary's guidance to the Services and of the overall defense program.

The Joint Chiefs of Staff and the Military Departments actively participated in the process--from the initial planning to the development of the defense budget to be submitted to the President. The Joint Chiefs of Staff also have modified their system for providing advice and recommendations to the Secretary of Defense in accordance with the opportunities for participation provided by the revised PPBS.

In addition to their participation in the PPBS, the Joint Chiefs of Staff advise the President, the National Security Council, and the Secretary of Defense on a wide range of national security matters. They also are statutory members of the Armed Forces Policy Council.

JCS, Departments Role

The role of the Joint Chiefs of Staff and the Military Departments in the process included the submission of the JCS Joint Strategic Objectives Plan, pre-draft consultation sessions with the Secretary of Defense, informal comment and review during the drafting process, extensive review and comment (written and face-to-face) on the preliminary draft, review and comment on a subsequent draft, and participation in the presentation of the proposals to the President.

In May 1977, the Joint Chiefs of Staff submitted to the Secretary of Defense the Joint Strategic Objectives Plan, Volume 1 (JSOP I). As in past years, this document included a statement of broad defense objectives, a discussion of the military threat facing the United States, general recommendations concerning strategy and force planning, and a discussion of areas of significant risk. In January 1978, the Joint Chiefs of Staff submitted JSOP II, which included, inter alia, the major force recommendations of the Joint Chiefs of Staff, a comparison of these recommendations with currently programmed forces, and an appraisal of programmed forces. Although JSOP I was submitted and JSOP II was substantially prepared before the revisions in PPBS, these documents provided the Secretary of Defense and the President with the basic views of the Joint Chiefs of Staff on military strategy and force requirements. In light of the changes in the PPBS, additional procedures were adopted to supplement the joint planning process so that the Secretary could, in the revised PPBS, more easily receive the full benefit of the advice, recommendations, and expert capability of the Joint Chiefs of Staff.

In the past, Secretarial guidance had developed in three parts and the JSOP documents were tailored to those parts. JSOP I was prepared prior to the Defense Guidance and assisted the Secretary in making the determinations of policy, strategy, and force planning that were included in the Defense Guidance. The JSOP II provided the Secretary with the JCS views on what should be included in the Planning and Programming Guidance and the Fiscal Guidance. Under the revised system, Secretarial guidance was combined into one document that also included the rationale on which the defense program would be based.

PPBS Modifications

When the modifications of the PPBS were first contemplated in the fall of 1977, the Joint Chiefs of Staff and the Secretaries of the Military Departments were asked for their comments, suggestions, and recommendations. After these recommendations and other comments on the PPBS proposal had been submitted, the Secretary of Defense agreed that it was important that the initial step in the annual process should be the responsibility of the Joint Chiefs of Staff and the Military Departments, and that they should have full opportunity to participate in the process throughout. In a memorandum dated Oct. 26, 1977, addressed to the Chairman of the Joint Chiefs of Staff and the Secretaries of the Military Departments, the Secretary of Defense established a procedure for consultative meetings "to give the Services, individually and collectively, an opportunity to give advice, make recommendations, and offer substantive input." The Secretary's memorandum continued:

"Though the revised PPBS is designed to afford the opportunity at several stages, I deem it important that one such opportunity be prior to the first draft of the document. The last thing I want to do is inhibit your initiative or innovation. I envision these meetings as an opportunity for you to present your proposals with respect to the CG and that a dialogue about them will ensue between the Services and the Secretary of Defense."

Those meetings took place in November. Each was atterded by the Chairman of the Join'. Chiefs of Staff or the Chairman's personal representative. The Secretary of Defense first held three lengthy meetings with, respectively, the Secretary of the Army and Chief of Staff of the Army; the Secretary of the Navy, Chief of Naval Operations and Commandant of the Marine Corps; and the Secretary of the Air Force and Chief of Staff of the Air Force; and staff members they designated to accompany them. A fourth, "wrap-up," meeting was then held with all three Secretaries of the Military Departments, the Chairman of the JCS, and the members of the Joint Chiefs of Staff. At these meetings the Chairman and members of the Joint Chiefs of Staff and the Secretaries of the Military Departments were able to provide dirctly to the Secretary of Defense prior to the drafting of any guidance, their advice, recommendations and comments.

Follow-Up Memoranda

After the meetings, the Army, Navy, and the Joint Chiefs of Staff sent follow-up memoranda to the Secretary of Defense emphasizing the points they considered most important and setting out the areas they believed required special attention. Other memoranda, concerning both the form and the content of the Secretary's guidance, followed.

The preliminary draft of the Secretary's guidance was shaped by the comments of the participants in the initial meetings, the follow-up memoranda, the directions of the Secretary of Defense, and informal comments and advice provided by the JCS and the Services during the drafting process.

The draft that was produced was "preliminary". It was not to have any effect until there had been a complete review and opportunities for comment by the JCS and the Services. It was circulated to the Joint Chiefs of Staff and to the Military Departments for comment in January 1978.

The review and comment period for the Joint Chiefs of Staff and the Military Departments covered four weeks. It was a working document, subject to change, to serve as a focus for debate and discussion. It was designed to provide a document to cover matters raised in the pre-draft meetings and memoranda, and a vehicle for discussion and addition to other considerations not covered in the initial discussions. The integration of matters previously contained in the Defense, Planning and Programming, and Fiscal Guidance documents and the requirement that the rationale for the defense program be subjected to increased analytical rigor demanded a careful consideration by the Joint Chiefs of Staff and the Services. It also provided the Joint Chiefs of Staff and the Military Departments with an opportunity to challenge the premises, reasoning and conclusions of the proposed guidance. If the rationale in the preliminary draft were faulty, the Joint Chiefs of Staff and the Service could focus on weak points in the rationale and suggest alternative guidance with better justification.

As indicated by the Secretary in the memorandum that accompanied the draft for comment and review:

"I want to use the Consolidated Guidance not merely to advise you in the preparation of your POMs (Program Objective Memoranda), but also as a vehicle for debate and dialog over the rationale it contains . . . ."

Detailed Comments

The Joint Chiefs of Staff and the Secretaries of the Military Departments submitted detailed comments on the draft. In addition, the Joint Chiefs of Staff provided a strategy section for inclusion, and substantial and useful recommendations on the strategic aspects of the guidance.

The written comments on the draft, the views expressed at the follow-up meetings and the guidance of the Secretary of Defense provided the basis for the next draft, which required development of a justification for all changes made, and a justification of changes that were recommended but not made. The redraft and justifications were then presented to the Secretary for decision and, based on his decisions, a revised draft was completed.

The revised draft was again circulated to the Chairman and members of the Joint Chiefs of Staff and to the Secretaries of the Army, Navy, and Air Force for their personal comment and review. Their comments went directly to the Secretary and Deputy Secretary of Defense for their personal review. As a result of those comments, further changes were made. The draft was then sent to the White House. In May 1978, to assist him in his review, the President met with the Secretary of Defense and the Joint Chiefs of Stff. Following that meeting, the President held further discussions with the Secretary of Defense and the JCS Chairman.

The remainder of the planning, programming and budgeting system followed the basic pattern of prior years. After receiving the draft guidance the Military Departments prepared and submitted their Program Objective Memoranda.

The retention of the above feature of the former PPBS reflects the degree to which the revised PPBS preserved the initiative of the Departments of the Army, Navy, and Air Force. Under the system instituted in the early 1960s, the programming initiative resided in the Office of the Secretary of Defense through Draft Presidential Memoranda (DPMs). These stipulated procurement, force structure and costing in detail. The Military Departments were given an opportunity to comment, but once the DPMs were setled, the Services went directly to the preparation of their detailed budgets. Under the current system, the initial formulation of the defense program continued--as in the past nine years--to be the responsibility of the Military Departments and not of the Office of the Secretary of Defense. Thus, the revised system provided an opportunity for participation of the military professionals in the development of the Secretarial guidance and retained for the Military Departments their basic programming initiative.

The PPBS also was structured to preserve the important role of the Joint Chiefs of Staff in the evaluation of program objectives. In prior years, the JCS had prepared and submitted to the Secretary a Joint Forces Memorandum (JFM) at the time that the POMs were prepared and submitted. The JFM

identified important program objectives and provided an assessment of the risk, in terms of defense strategy, incurred by adopting, or not adopting, certain program objectives. Under the revised PPBS, the Joint Chiefs of Staff have replaced the JFM with a Joint Program Assessment Memorandum (JPAM), which is provided to the Secretary after the POMs are submitted. The JPAM provides JCS advice to the Secretary for his review of the Service POMs, development of Issue Papers, and decisions on specific Service programs. It includes a risk assessment based on an overview of the national military strategy and the force structure recommended in the POMs, as well as recommendations for improvements in the overall defense program through selection of certain programs at alternative POM levels. The JPAM therefore provides the Secretary with more valuable assistance in his consideration of the programs of all three Services. The first JPAM was submitted as part of the present PPBS cycle.

Issue Papers

After the submission of the POMs, the staff of the Secretary of Defense drafted issue papers which were sent for review and comment to the Joint Chiefs of Staff, the Military Departments, the Office of Management and Budget, and National Security Council. The issue papers then were revised in response to the comments and provided to the Secretary of Defense. Based on the advice provided in the JPAM, his review of the POMs, and the issue papers, the Secretary made the basic program decisions that were then incorporated in the Program Decision Memoranda (PDMs). The PDMs were sent to the Joint Chiefs of Staff and the Military Departments for review and comment. Major comments--at the selection of the members of the Joint Chiefs of Staff and the Secretaries of the Military Departments--became the subject of a series of reclama meetings attended by the Secretary and Deputy Secretary of Defense, the Chairman of the Joint Chiefs of Staff and representatives of the Services. As a result of the written comments and the reclama meetings, the PDMs were modified and issued as Amended Program Decision Memoranda (APDM).

The drafting of the APDMs marked the second point of Presidential involvement in the system. At that point, the Secretary of Defense with the personal assistance of the Chairman of the Joint Chiefs of Staff prepared a status report for the President describing the major features of the Service POM submissions, the major issues that had been raised and their disposition, and an evaluation of the differences among the defense programs available over a range of funding profiles. The status report was submitted to the President for review and guidance. The ADMs were sent to the Military Departments as the basis for the budget proposals that they are now preparing.

After the pre-draft meetings in November 1977, the Joint Chiefs of Staff initiated an evaluation of their role in the revised PPBS and decided to modify the basic documents through which they provided their formal input to the system. This led to several changes made at JCS suggestion. The first of these changes was the replacement of the JFM with the JPAM. This was accomplished in the first cycle of the revised PPBS, as discussed above.

Second Modification

The .econd modification involved a restructuring of the JSOP documents. To replace the JSOP I and II, the JCS created a Joint Strategic Planning Document (JSPD) to be submitted 60 days in advance of the preliminary draft guidance. The JSPD contains a comprehensive appraisal of the military threat to the United States, a statement of recommended military objectives, recommended military strategy to attain the objectives, and a summary of the JCS planning force levels that could execute, with reasonable assurance, the military strategy. It also will include the JCS views on the attainability of the recommended force levels within fiscal constraints, manpower resources, material availability, technology, and industrial capacity. It will incorporate an initial appraisal of the risk associated with programmed force levels and recommendations for changes in the prior Consolidated Guidance. Thus the JSPD will provide comprehensive recommendations by the Joint Chiefs of Staff tailored to the integrated approach of the revisd defense planning, programming, and budgeting system.

NUMBER 7045.7

Department of Defense Instruction ASD(C)

SUBJECT: The Planning, Programing, and Budgeting System (PPBS)

References: (a) DoD Directive 7000.1, "Resource Management Systems of the Department of Defense," August 22, 1966 (as amended)

(b) DoD Instruction 7045.7, "The Planning, Programming and Budgeting System," October 29, 1969 (hereby cancelled).

(c) DoD Handbook 7045.7-H, "FYDP Codes and Definitions Handbook"

(d) through (h), see Enclosure 1

A. PURPOSE

This Instruction establishes procedural guidance in support of reference (a) for: (a) submission, analysis, review, and approval of new and revised Department of Defense programs and budgets; (b) the processing and approval of resource changes to the Five Year Defense Program (FYDP): (c) the maintenance and updating of the FYDP structure; and (d) the maintenance and publication of the FYDP Codes and Definitions Handbook (7045.7-H) (reference (c)).

B. APPLICABILITY AND SCOPE

1. The provisions of this Instruction apply to the Office of the Secretary of Defense, the Military Departments, the Organization of the Joint Chiefs of Staff and the Defense Agencies (hereinafter referred to collectively as "DoD Components").

2. The Secretary of Defense approved programs for the military functions of the DoD for the prior, current, budget and program years are reflected in the FYDP, and planning, programing, budgeting, execution and accountability for the DoD will be consistent with the FYDP. The program years for cost and manpower are the four succeeding years beyond the budget year, for forces they are the seven years beyond the budget year.

C. DEFINITIONS

The terms used in this Instruction are defined in General Accounting Office publication "Terms Used in the Budgetary Process," PAD-77-9, July 1977.

D. KEY PPBS DOCUMENTS

1. Joint Strategic Planning Document (JSPD)

The JSPD will be submitted for use in the development of the draft Consolidated Guidance (CG). It will contain a concise, comprehensive military appraisal of the threat to U.S. interests and objectives worldwide; a statement of recommended military objectives derived from national objectives; and the recommended military strategy to attain national objectives. A summary of the JCS planning force levels which could successfully execute, with reasonable assurance, the approved national military strategy will be included, as well as views on the attainability of these forces in consideration of fiscal responsibility, manpower resources, material availability, technology, and industrial capacity. The JSPD will also provide an appraisal of the capabilities and risks associated with programmed force levels, based on the planning forces considered necessary to execute the strategy, and will recommend changes to the force planning and programing guidance where appropriate.

2. Consolidated Guidance (CG)

After consideration of the military advice of the JCS, as expressed in the JSPD, the next milestone is the Consolidated Guidance (CG). A draft of the CG is issued first to solicit the comments of the DoD Components and to provide a vehicle for an exchange of views on defense policy between the Secretary of Defense, the President, and the National Security Council. The final version of the CG serves as an authoritative statement of the fundamental strategy, issues, and rationale underlying the Defense Program, as seen by the leadership of the DoD. The CG provides definitive guidance, including fiscal constraints, for the development of the Program Objective Memoranda by the Military Departments and Defense Agencies.

3. Program Objective Memorandum (POM)

Annually, each Military Department and Defense Agency will prepare and submit to the Secretary of Defense a Program Objective Memorandum. POMs will be based on the strategic concepts and guidance as stated in the CG and include an assessment of the risk associated with the current and proposed forces and support programs. POMs will express total program requirements for the years covered in the CG, and must provide rationale for proposed changes from the approved FYDP base. Costs will be within the fiscal guidance issued by the Secretary of Defense. Major issues which are required to be resolved during the year of submission should be identified. Supporting information for POMs will be in accordance with the annual POM Preparation Instructions.

4. Joint Program Assessment Memorandum (JPAM)

The JPAM will be submitted by JCS for consideration in reviewing the Military Departments' Program Objective Memoranda (POMs), developing Issue Papers, and drafting Program Decision Memoranda. It will provide a risk assessment based on the composite of the POM force recommendations and include the views of the Joint Chiefs of Staff on the balance and capabilities of the overall POM force and support levels to execute the approved national military strategy. Where appropriate, the Joint Chiefs of Staff will recommend actions to achieve improvements in overall Defense capabilities within, to the extent feasible, alternative POM funding levels directed by the Secretary of Defense. In addition, the JPAM will develop SALT-constrained forces and provide recommendations on the nuclear weapons stockpiles considered necessary to support these forces, and on the security assistance program.

5. Program Decision Memorandum

a. POMs will be reviewed in accordance with the following:

(1) The OSD Staff will prepare decision (issue) papers on program issues. These "Issue Papers" will be developed in coordination with the DoD Components who will assure completeness and accuracy of the information contained therein. The views of the JCS on the risks involved in the POMs will be considered during preparation of the Issue Papers.

(2) Based on the Issue Papers and JCS risk assessment, the Secretary will issue Program Decision Memoranda (PDMs) which will be transmitted to the DoD Components for analysis and comment as appropriate.

b. Comments on the PDMs may be prepared in a manner prescribed by the submitting activity, but will present the precise program impact

that may be expected as a result of the decision. If comments on the PDMs express a dissenting view, any additional or clarifying information or justification will accompany the statement to allow a reevaluation of the issue.

c. Comments submitted by the JCS will address the impact on total DoD program balance. JCS will provide the Secretary of Defense with an assessment of the risks involved and inherent in the PDMs and an evaluation of strategic implications.

d. Following a staff review of comments on the PDMs, meetings will be held by the Secretary of Defense to discuss major unresolved issues. If appropriate, Amended Program Decision Memoranda (APDMs) will then be issued to incorporate any new decision, or to reiterate the previous decision.

6. Budget Estimates

Annually, each DoD Component will submit its budget estimates to the Secretary of Defense in accordance with reference (d), DoDI 7110.1 and 7110.1-M. The budget estimates will include the prior year, current year, and budget fiscal year (budget year plus one for authorized programs) in accordance with currently established procedures. Budget estimates will be prepared and submitted based on the program as approved in the PDMs/APDMs, as well as economic assumptions related to pay and pricing policies which will be contained either in the APDMs or in separately prescribed detailed budget guidance each year.

7. Budget Decisions

a. In order to maximize the review and analysis time, DoD and OMB will jointly review the budget estimates. Participation in this joint

review will be open to all elements of the DoD Components and OSD staffs. Inputs from participants will be solicited for inclusion in the Decision Package Sets (DPSs), the decision document ultimately signed by the Secretary/Deputy Secretary of Defense. These decisions will address all of the resources in the budget request and be related to the appropriations and budget activity structure of the Department of Defense. The decisions will include the current year, the budget year, the authorization year (budget year + 1) and an estimate of the resource impact on the three succeeding program years.

b. DPSs, as they are approved by the Secretary/Deputy Secretary, will be translated into the Automated Budget Review System to reflect increases and decreases to the submissions. Periodic status reports will be provided to the Secretary/Deputy Secretary as well as the OSD managers and staff and the submitting components. Status will be in terms of Total Obligational Authority, Budget Authority, and Outlays.

c. While the review is progressing, the Defense Resources Board (DRB) will meet periodically to consider the relative ranking priorities of programs ranked by the submitting components. The DRB will first integrate the original component rankings by reviewing and approving OSD staff prepared Priority Change Proposals (PCPs). Those PCPs not approved by the DRB will be discarded. The DRB will then meet with the Secretary who will approve/disapprove the DRB reranking proposals. The Secretary will make changes to the ranking to ensure that the highest priority programs are included within the approved funding level. All such approved ranking changes will be reflected daily in the automated system so that the budget status reporting will be current for both DPS changes and ranking changes.

d. After review of the tentative budget decisions, DoD Components may identify issues that are serious enough to warrant a major issue meeting with the Secretary of Defense. Subsequent decisions made by the Secretary of Defense will be announced in revisions to previously issued DPSs.

E. PLANNING, PROGRAMING AND BUDGETING SYSTEM SCHEDULE

Publication timing of the various PPBS documents is critical. Since the system represents a dialogue between the many participants, the documents must be issued to allow adequate time for analysis and response. Therefore, a schedule of significant events in the PPBS process for the upcoming calendar year will be initiated and staffed by OASD(C) and issued annually by the Secretary of Defense to establish the dates for:

1. Submission by the Joint Chiefs of Staff of independent military strategy and other military advice considered necessary by the JCS. Such advice will be contained in identified JCS documents which are a formal part of the PPBS.

2. Issuance of Consolidated Guidance (CG).

3. Submission and review of DoD Components' Program Objective Memoranda (POMs), including JCS risk assessment, recommendations on overall force balance and processing of Issue Papers.

4. Issuance of Secretary of Defense PDMs and APDMs.

5. Submission of the DoD budget estimates.

6. Other significant items having an impact on the decision-making cycle.

F. GENERAL SYSTEM DESCRIPTION

Each of the documents mentioned below are described in detail in Section D. Enclosure 2 is a general systems flowchart.

1. The PPBS is a cyclic process containing five distinct, but interrelated, phases; planning, programing, budgeting, execution and accountability.

In the first three phases prior decisions are reexamined and analyzed from the viewpoint of the current environment (threat, political, economic, technological, and resource availability) and the decisions are either reaffirmed or modified as necessary.

2. In the planning phase the role and posture of the United States and the DoD in the world environment are examined, with particular emphasis on Presidential policies. The following facets are analyzed: (a) potential and probable enemy capabilities and threat; (b) potential and probable capabilities of our allies; (c) potential U.S. policies and objectives in consideration of (a) and (b); (d) military strategies in support of these policies and objectives; (e) planning force levels that would achieve defense policy and strategy; and (f) planning assumptions for guidance in the following phases of PPBS.

3. The first step in the PPBS cycle is the submission of the Joint Strategic Planning Document (JSPD) containing independent JCS military strategy advice and recommendations, to be considered when subsequent PPBS documents are developed.

4. Next is the publication of the Consolidated Guidance (CG) which will consider the JCS strategy advice, provide guidance for implementation of Presidential policy decisions and military strategic objectives, and document Secretary of Defense guidance for subsequent program formulation.

5. The DoD Components, using the preceding documents as guidance, develop their proposals for the program years. These proposals, expressed in the Program Objective Memoranda (POMs), represent systematic analysis of missions to be achieved, alternative methods of accomplishing the missions, and the effective application of the constrained resources.

6. After the POMs are submitted, the JCS will provide, in the Joint Program Assessment Memorandum (JPAM), a risk assessment based on the

capability of the composite force level and support program for the Armed Forces to execute the strategy outlined in the CG.

7. The programing phase culminates with the issuance of Program Decision Memoranda (PDMs). Based on previous guidance documents, the POMs are analyzed, Issue Papers are developed and staffed, decisions are expressed in PDMs, and, as necessary, reaffirmed or modified in Amended Program Decision Memoranda (APDMs).

8. With the establishment of program levels in the POM/PDM process, the budgeting phase begins with the DoD Components developing detailed budget estimates for the budget year portion of the approved program. These estimates are reviewed and analyzed during the Joint OMB/DoD Budget Review and are approved in budget decision documents.

9. The execution and accountability phases follow the submission of the budget and its enactment into appropriation acts by the Congress. These phases are concerned with: controlling and monitoring the execution of the budget; the accountability and reporting of actual results for use in monitoring program execution; preparing future plans, programs, and budgets; and supplying financial information to DoD managers.

G. FIVE YEAR DEFENSE PROGRAM (FYDP)

1. General

a. The FYDP is a reflection of the Secretary of Defense approved programs for the DoD. It resides in an automated data base which is updated and published at least three times a year. It contains forces, manpower, and total obligational authority (TOA) identified to a program element structure aggregated into ten programs. Program elements generally represent aggregations of organizational entities, therefore reflecting

the primary and support missions of the DoD. Resources are further subdivided by Resource Identification Codes (RICs) which identify force type, manpower type and budget appropriation. See Enclosure 3 for the FYDP concepts and structure. The FYDP is assigned RCS DD-COMP (AR)853.

b. A FYDP Codes and Definitions Handbook (DoD 7045.7-H) is maintained by the ASD(C) and contains the DoD program structure including all approved definitions, codes, and titles used in the FYDP data base as well as program and program element criteria.

c. Program Change Requests (PCRs) will be used to propose out-of-cycle changes to FYDP data that would result in a net change to a DoD Component's resources. Pursuant to Chapter 442 of the Budget Manual (reference (d)), PCRs will be submitted by the gaining organization, to reflect the resource impact of functional transfers. The resource impact of the transfer will be incorporated in the next FYDP update only after having been approved by a PCD. Legal approval for the functional transfer may be accomplished by memorandum or other decision document but must be signed by the Secretary of Defense. PCRs will also be used to propose changes to the FYDP structure definitions and codes which would result in no net change to a DoD Component's resources. See Enclosure 4 for use and preparation of PCRs.

d. Program Change Decisions (PCDs) will be used to reflect Office of the Secretary of Defense decisions on PCRs. See Enclosure 5 for use and preparation of PCDs.

2. Other FYDP Usage

a. The FYDP is used extensively as a data base for many related processes, both internal and external to the Department of Defense, but within the Executive branch. Within the Department, in addition to being

one of the official published results of the PPBS process and an operating tool of the DoD manager, it is also widely used as a source of data for both analysis and as an input to alternative ways of displaying and portraying actual and programmed resources. The internal uses include: The Secretary of Defense posture statement; the Manpower Requirements Report; and Defense Planning and Programming Category Reports.

b. As a result of Congressional requests, a special annual publication of the FYDP, containing the prior, current and budget years and a Procurement Annex containing the prior, current, budget and out-years have been developed and provided to various Congressional oversight committee staffs and the Congressional Budget Office (CBO). Since the FYDP outyear programs reflect internal planning assumptions, all other data beyond the budget year are not releasable outside the Executive Branch.

c. The CBO has developed a Defense Resource Model (DRM) for use as an analytical tool in support of alternative levels of Defense resources. Following the budget submission to Congress, budget year data are extracted from the FYDP, according to CBO specifications which aggregate program elements and resource identification codes to unclassified summary levels, for input to the DRM. Data from the DRM are used by CBO to fulfill the legal requirement for mission oriented displays as stipulated in P.L. 93-344, the Congressional Budget and Impoundment Control Act.

3. Subsystems and Annexes

There are a number of data bases that contain data that are subsidiary to, or reconcilable with, the data in the FYDP. The sponsoring

office is responsible for design, installation and maintenance of subsystems and annexes, their data bases, and for compliance with DoDD 5000.19 (reference (h)). Currently they are:

a. RDT&E and Acquisition Data Base

All procurement line items in the P-1, and all program elements in the R-1 are coded in accordance with the USDR&E mission area structure, to be used as the basis for mission area analysis, mission element need statements, and the POM review of all acquisition activities.

Sponsoring Office - OUSDR&E

RCS

b. FYDP Telecommunications Subsystem

This subsystem provides resource management data by telecommunications category and project, R&D project, procurement line item, construction project, and operating resources (including manpower) for use in planning and the POM review.

Sponsoring Office - OASD(C^3I)

RCS - DD-T(TA)1164

c. RDT&E Annex

The automated RDT&E Annex is the single official reflection of the program elements approved during the review processes. It will be maintained to reflect all applicable decisions and provide consistency with the FYDP.

Sponsoring Office - OASD(C)

RCS - DD-COMP(AR)1092

d. Procurement Annex

The Automated Procurement Annex is the single official reflection of the line item programs approved during the review processes.

It will be maintained to reflect all applicable decisions and provide consistency with the FYDP.

Sponsoring Office - OASD(C)

RCS - DD-COMP(AR)1092

e. Construction Annex

The Automated Construction Annex is the single official reflection of the construction projects approved during the review process. It will be maintained to reflect all applicable decisions and provide consistency with the FYDP.

Sponsoring Office - OASD(C)

RCS - DD-COMP(AR) 1092

H. DECISION IMPLEMENTATION

1. Decisions made by the Secretary of Defense will normally be identified in one of the decision documents described herein. In addition, reprograming actions in accordance with DoDI 7250.10 (reference (e)) will be reflected, as appropriate, in FYDP updating. Decisions will be implemented by the DoD Components by applying the forces, manpower and cost data to the FYDP data file by program element in accordance with DoDI 7045.8 (reference (f)). The Assistant Secretary of Defense (Comptroller) will issue a PCD directing FYDP updates to be submitted. The PCD will include any special instructions, program structure changes, limitations, and controls necessary for the update.

2. The Defense Systems Acquisition Review Council (DSARC), acting as the top level DoD corporate body for system acquisition, provides advice and assistance to the Secretary of Defense. Milestone decisions made through the major weapon system acquisition process (reference (g)) are based upon review of details of one particular program and reflect the readiness of

that system to progress to the next acquisition phase. The program approved in the DSARC process must compete for funds with other programs in the PPBS resource allocation process. The Secretary of Defense milestone decision is based on specific schedule, cost and operational effectiveness estimates which, if changed significantly, might alter the Secretary of Defense milestone decision. PPBS actions by the DoD Components and the OSD staff, that cause the schedule and cost estimates to change significantly enough to call into question the last milestone decision, shall be explained by the DoD Component or OSD staff element proposing the change in the PPBS document.

I. LIMITATIONS

Approval of programs in either the DSARC process or the PPBS process will not constitute authority to either commit or obligate funds.

J. RESPONSIBILITIES

In the PPBS:

1. The Joint Chiefs of Staff are responsible for developing and submitting to the Secretary of Defense independent military advice and recommendations on strategy, and for providing military advice for achieving national security objectives and for risk assessment.

2. The Under Secretary of Defense for Policy (USDP) is responsible for development of policy guidance in connection with the CG.

3. The Assistant Secretary of Defense (Program Analysis and Evaluation) is responsible for the development of planning and programing guidance based on the policy guidance developed by USDP and on the military strategy advice of the JCS, preparing and promulgating the POM Preparation Instruction, preparing and staffing the CG with DoD Components,

coordinating the POM review, preparing and coordinating the PDMs/APDMs.

4. The Assistant Secretary of Defense (Comptroller) is responsible for the overall PPBS procedures and annual issuance of the PPBS calendar, coordinating the annual budget review, as well as the operational matters relating to maintaining the FYDP.

5. The Defense Resources Board is responsible, during both the POM and budget review/decision processes, for resolving as many issues as possible with the DoD Components, assuring adherence to the fiscal and other mandatory guidance, and precluding the reevaluation of decisions in the absence of new information.

6. All DoD Components are responsible for participating as appropriate in meeting the objectives and requirements of the PPBS.

K. REPORTING REQUIREMENTS

Each OSD office and DoD Component is responsible for compliance with the provisions of DoDD 5000.19, (reference (h)) in their respective areas of responsibility.

L. IMPLEMENTATION AND EFFECTIVE DATE

This Instruction is effective upon issuance. Three copies of each DoD Component's implementing documents will be forwarded to the Assistant Secretary of Defense (Comptroller) within one hundred and twenty days of the date of this Instruction.

Enclosures:

1. References (d) through (h)
2. PPBS Flow Chart
3. FYDP Concepts and Structure
4. Use and Preparation of Program Change Requests (PCRs)
5. Use and Preparation of Program Change Decisions (PCDs) and Decision Package Sets (DPSs)

References

(d) DoD Instruction 7110.1, "Guidance for Preparation of Budget Estimates, Operating Budgets, Financial Plans and Apportionment Requests, and Related Support Material," August 23, 1968, and Manual (7110.1-M)

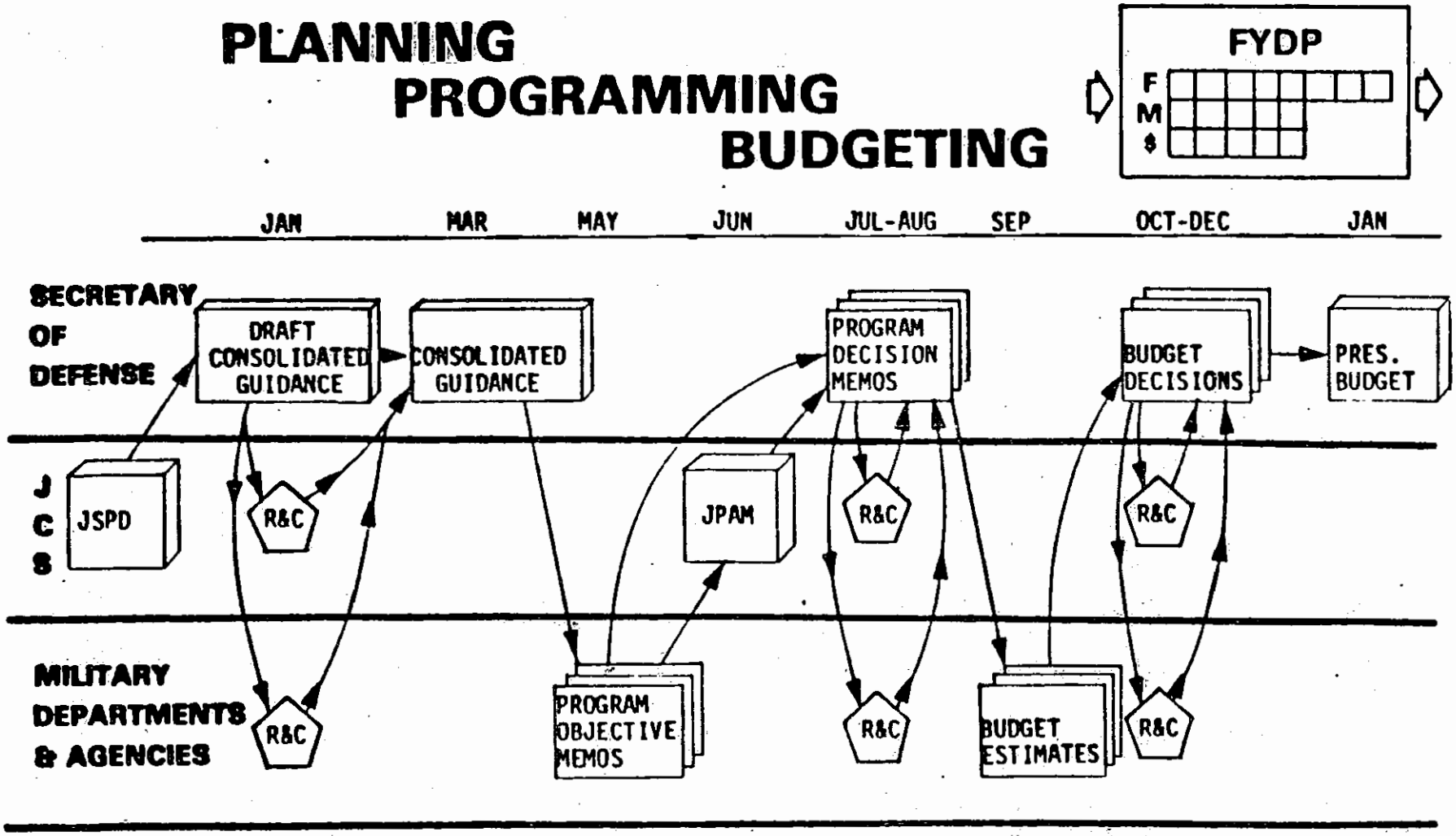
(e) DoD Instruction 7250.10, "Implementation of Reprograming of Appropriated Funds," January 10, 1980

(f) DoD Instruction 7045.8, "Procedures for Updating Program Data in the Five Year Defense Program (FYDP)," to be reissued

(g) DoD Instruction 5000.2, "Major System Acquisition Procedures," March 19, 1980

(h) DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976

PLANNING PROGRAMMING BUDGETING



JSPD = Joint Strategic Planning Document
JPAM = JOINT Program Assessment Memorandum
R&C = Review and Comment

FYDP Symbols
F = Forces
M = Manpower
$ = Dollars
= Years

7045.7 (Enl 2)

(Encl 3)

THE FYDP

CONCEPTS AND STRUCTURE

A. GENERAL

The Five Year Defense Program (FYDP) is the official document which summarizes the Secretary of Defense approved programs (prescribed in Program Decision Memoranda, Program Change Decisions, budget decisions, and other SecDef decision documents) for the Department of Defense. The FYDP, which contains PY, CY, BY and BY + 1 through BY + 4 (BY + 7 for forces), is published three times a year and reflects the total resources programmed by the DoD, by fiscal year. An historical FYDP is published annually, following the POM update of the FYDP, and contains prior year resource data consistent with the official accounting records for fiscal years 1962 through the prior year, as applicable.

The FYDP consists of both force-related mission programs with their organic support, and support-related programs, which include those functions which are not organic to other program elements. It is continually being modified to associate maximum resources practicable with the force-related programs, consistent with DoD management needs. Also, efforts are continuing to improve the system by minimizing allocations of costs which support more than one program or program element.

B. PROGRAMS

A program is an aggregation of program elements which reflects a force mission or a support mission of the DoD and contains the resources

needed to achieve an objective or plan. It reflects fiscal year time-phasing of mission objectives to be accomplished and the means proposed for their accomplishment.

The FYDP is comprised of ten major Defense programs as follows:

Program 1 - Strategic Forces

Program 2 - General Purpose Forces

Program 3 - Intelligence and Communications

Program 4 - Airlift/Sealift Forces

Program 5 - Guard and Reserve Forces

Program 6 - Research and Development

Program 7 - Central Supply and Maintenance

Program 8 - Training, Medical, and Other General Personnel Activities

Program 9 - Administration and Associated Activities

Program 0 - Support of Other Nations

The major programs of the FYDP fall within the general organizational areas of responsibility within the Office of the Secretary of Defense, as shown below. However, since resources in these programs may overlap areas of management and functional responsibility, the programs are not considered to be the exclusive responsibility of any one particular organizational element of the Office of the Secretary of Defense.

1. Program 1 - Strategic Forces

Office of Prime Responsibility: Assistant Secretary of Defense (Program Analysis and Evaluation)

Strategic forces are those organizations and associated weapon systems whose force missions encompass intercontinental or transoceanic

inter-theater responsibilities. Program 1 is further subdivided into Strategic Offensive Forces and Strategic Defensive Forces, including operational management headquarters, logistics, and support organizations identifiable and associated with these major subdivisions.

2. Program 2 - General Purpose Forces

Office of Prime Responsibility: Assistant Secretary of Defense (Program Analysis and Evaluation)

General purpose forces are those organizations and associated weapon systems whose force mission responsibilities are, at a given point in time, limited to one theater of operations. Program 2 consists of force-oriented program elements, including the command organizations associated with these forces, the logistics organizations organic to these forces, and the related support units which are deployed or deployable as constituent parts of military forces and field organizations. Also included are other programs, such as the Joint Tactical Communications Program (TRI-TAC), JCS-directed and coordinated exercises, Coast Guard ship support program, war reserve materiel ammunition and equipment, and stock-funded war reserve materiel.

3. Program 3 - Intelligence and Communications

Office of Prime Responsibility: Assistant Secretary of Defense (Communications, Command, Control and Intelligence)

Program 3 consists of intelligence, security, and communications program elements, including resources related primarily to centrally-directed Department of Defense support mission functions, such as mapping, charting, and geodesy activities, weather service, oceanography,

aerospace rescue and recovery, special activities, nuclear weapons operations, space boosters, satellite control, aerial targets, etc. Intelligence and communications functions which are specifically identifiable to a mission in the other major programs will be included within the appropriate program.

4. Program 4 - Airlift/Sealift Forces

Office of Prime Responsibility: Assistant Secretary of Defense (Program Analysis and Evaluation).

Program 4 consists of program elements for airlift, sealift, traffic management, and water terminal activities, both industrially-funded and nonindustrially-funded, including command, logistics, and support units organic to these organizations.

5. Program 5 - Guard and Reserve Forces

Offices of Prime Responsibility: Assistant Secretary of Defense (Manpower, Reserve Affairs and Logistics); Assistant Secretary of Defense (Program Analysis and Evaluation).

The majority of Program 5 resources consist of Guard and Reserve training units in support of strategic offensive and defensive forces and general purpose forces. In addition, there are units in support of intelligence and security; airlift and sealift; research and development; central supply and maintenance; training, medical, general personnel activities; administration; and support of other nations.

6. Program 6 - Research and Development

Office of Prime Responsibility: Under Secretary of Defense for Research and Engineering.

Program 6 consists of all research and development programs and

activities that have not yet been approved for operational use. Includes:

a. Basic and applied research tasks and projects of potential military application in the physical, mathematical, environmental, engineering, biomedical, and behavioral sciences.

b. Development, test, and evaluation of new weapon systems, equipment, and related programs.

7. Program 7 - Central Supply and Maintenance

Office of Prime Responsibility: Assistant Secretary of Defense (Manpower, Reserve Affairs and Logistics).

Program 7 consists of resources related to supply, maintenance, and service activities, both industrially-funded and nonindustrially-funded, and other activities such as second destination transportation, overseas port units, industrial preparedness, commissaries, logistics and maintenance support, etc. These functions/activities, which are for the most part centrally managed, provide benefits and support necessary for the fulfillment of the DoD programs.

8. Program 8 - Training, Medical, and Other General Personnel Activities

Offices of Prime Responsibility: Assistant Secretary of Defense (Health Affairs); Assistant Secretary of Defense (Manpower, Reserve Affairs, and Logistics).

Program 8 consists of resources related to training and education, personnel procurement, personnel services, health care, permanent change of station travel, transients, family housing, and other support activities associated with personnel. Excluded from this program is training

specifically related to and identified with another major program. Housing, subsistence, health care, recreation, and similar costs and resources that are organic to a program element, such as base operations in other major programs, are also excluded from this program. These functions/activities, which are for the most part centrally managed, provide benefits and support necessary for the fulfillment of the DoD programs.

9. Program 9 - Administration and Associated Activities

Office of Prime Responsibility: Assistant Secretary of Defense (Comptroller).

Program 9 consists of resources for the administrative support of departmental and major administrative headquarters, field commands, and administrative and associated activities not accounted for elsewhere. Included are activities such as construction planning and design, public affairs, contingencies, claims, audiovisual activities, criminal investigations, etc.

10. Program 0 - Support of Other Nations

Office of Prime Responsibility: Assistant Secretary of Defense (International Security Affairs).

Program 0 consists of resources in support of international activities, including Service support to the Military Assistance Program (MAP), foreign military sales, the NATO infrastructure, etc.

C. PROGRAM ELEMENTS

A program element is a primary data element in the FYDP which generally represents aggregations of organizational entities and

resources related thereto. Program elements represent descriptions of the various missions of the DoD. They are the building blocks of the programing/budgeting system and may be aggregated and re-aggregated in a variety of ways:

1. To display total resources assigned to a specific program.
2. To display weapon systems and support systems within a program.
3. To select specified resources.
4. To display logical groupings for analytical purposes.
5. To identify selected functional groupings of resources.

The program element concept allows the operating manager to participate in the programing decision process since both the inputs and outputs should be stated and measured in program element terms. Each program element may or may not consist of forces, manpower and dollars, depending on the definition of the element.

D. RESOURCE IDENTIFICATION CODES

Resource Identification Codes (RICs) are used to identify the types of resources assigned to each program element. An explanation of the type of RICs follows:

1. Force Codes. The Force Resource Identification Code is a four-digit code used to identify specific hardware items, or weapon systems, by type and model, such as aircraft, missiles, ships, and specific force organizations such as divisions, brigades, battalions, wings, etc.

2. Manpower Codes. The Manpower Resource Identification Code is a four-digit code used to identify officer, enlisted, and civilian manpower in both the active and the guard and reserve establishments. Separate

codes permit the recognition of cadets and ROTC enrollees, and identify civilians as either U.S. direct hire, foreign direct hire, or foreign indirect hire.

3. Appropriation Codes. The Appropriation Resource Identification Code is a four-digit code used to identify all appropriation accounts contained in the President's Budget as well as those of a historical nature applicable to the FYDP prior year period. These codes in most cases relate to Treasury-assigned appropriation symbols. The purpose of the resource identification code is to permit identification of the precise kinds of resources included in each element.

Each DoD Component submitting data to the DoD FYDP has been assigned codes for use in reporting such data in response to guidance for updating of the FYDP. The visibility of these resource identification codes by program element allows selection of specific data for analysis and management summary purposes.

Authority of the Principal Deputy Assistant Secretary of Defense (Comptroller) must be obtained prior to making any changes to the RIC structure.

(Encl 4)

INSTRUCTIONS FOR THE USE AND PREPARATION OF PROGRAM CHANGE REQUESTS (PCRs)

A. PCRs will be used to request changes requiring a net increase or decrease in a DoD Component's resources as recorded in the latest FYDP, provided the document expressing such a decision, and requiring that increase or decrease, does not provide sufficient detail to permit FYDP updating. A PCR may also be used to request program and program element restructures and/or resource identification codes, or for modification/deletion of such codes in connection with the above actions.

B. PCRs may be originated by DoD Components and submitted to the Secretary of Defense via the ASD(C), over the signature of the head of the Component or his designated representative on DD Form 1570 (Program Change Request) (Att 1 to this Encl) in accordance with the following instructions:

1. PCR Number. DoD Components will assign PCR numbers in consecutive sequence starting with one (1) each calendar year. The Component identifier code as prescribed by DoD 7045.7-H (reference (c)) and a prefix designating the calendar year will precede each number (e.g. N-1-001). Numbers assigned to proposals that are subsequently withdrawn or cancelled will not be reused.

2. Title. DoD Components will assign a brief title to each PCR which adequately describes the subject matter of the request.

3. FYDP "As of" Date. Enter the date of the specific FYDP update on which the proposal is based.

4. Principal Action Officer. Enter the name, organization, and phone number of the individual most knowledgeable of the proposed change.

5. Justification.

a. Functional Transfers

(1) Briefly describe the rationale for the transfer, provide a summary of the functions being transferred, including the organizations involved; and any additional supportive data including a copy of the required approval of the transfer (See paragraph 212.1 and Chapter 442 of the Budget Guidance Manual (reference (d)). A copy of the memorandum of agreement will be attached to the PCR. Detailed displays, in the following format, showing resource net change impact in terms of program elements, manpower, and appropriations will be provided either in the justification section of the PCR or attached to the PCR.

	FY__	FY__	FY__	FY__	FY__
Program Element Code & Title					
Civ Dir Hire	+ 11	+ 12	+ 13	+ 13	+ 13
O&M	+ 220	+ 220	+ 230	+ 230	+ 230
Program Element Code & Title					
Civ Dir Hire	- 11	- 12	- 13	- 13	- 13
O&M	- 210	- 220	- 230	- 230	- 230

Continuation sheets may be used to provide any additional documentation in support of the proposal or to provide any additional clarification deemed appropriate.

(2) The gaining organization is responsible for preparation of PCRs relating to functional transfers.

b. Other PCR Actions Requiring Net Resource Changes. Briefly describe the change which results in the net increase or decrease in the Component's resources. Provide any supportive data or rationale for the change. Detailed resource displays similar in format prescribed for functional transfers in para. B.5.a.(1) above are required.

c. Program Structure Changes. Briefly describe the rationale for the proposal, provide a summary of the resources affected by the change and any additional supportive information that may be of value in assessing the proposal. The following specific information is required:

(1) Proposed Implementation Date. The request must indicate in which FYDP update the proposal, if approved, should be implemented. If a special update is desired, provide detailed justification and explanation as to why the proposal cannot be accommodated during a regularly scheduled update.

(2) Fiscal Years Affected. The FYDP is the single most comprehensive data base in the DoD for prior year information. In order to preserve consistency and to provide comparability with outyear data, structure change proposals should include prior years when the necessary data are available.

(3) Program Element Changes

(a) If new program elements are requested or data are being shifted between/among program elements, net changes in resources for the first unexecuted fiscal year affected will be provided. The format for this display follows and it may be included in the body of the PCR or as an attachment thereto, depending on the number of program elements involved.

FY 82	Military Manpower	Civilian Manpower	Invest. $	Operating $	Forces
PE 1	+ 100	+ 50	+ 100	+ 5,000	N/A
PE 2	+ 2,000	+ 100	N/A	+ 100,000	+ 6
PE 3	+ 300	+ 500	+ 1,000	+ 250,000	N/A
PE 4	- 2,400	- 650	- 1,100	- 355,000	- 6

It is emphasized that the above data are required for the first unexecuted fiscal year only and will be used to assess the impact of the proposal on the resource content of the programs and program elements affected.

(b) Assessment of the organizational impact of the change will be provided. For example, if the proposal will subdivide a DoD Component's funded activities into several programs or program elements, this information should be provided.

(c) Enclosure 3 provides guidance for programs and program elments. All requests for structure change will be evaluated against this guidance. If the proposal deviates significantly from this guidance, detailed justification for such deviation will be provided.

(d) New or revised program element definitions that will result if the proposal is approved will be appended to the PCR. Revised definitions should include a marked-up version of the current definition as well as a final typed version of the proposed revision. (DD Form 1643, Att 2 to this Encl)

(e) If a program element is being deleted or designated as historical, a brief explanation is required.

(f) Program element title changes should be included

in the revised definition, or if the request is for a title change only, it should be so stated and explained in the request.

(4) Resource Identification Code (RIC) Changes. RIC changes (additions, deletions, title changes) should include an explanation and/or existing authorization for the change.

6. Thirty (30) copies of functional transfer PCRs and fifteen (15) copies of all other PCRs will be forwarded to the Director for Program and Financial Control, OASD(C), for processing, staffing and decision. A PCD will be prepared announcing the decision.

PROGRAM CHANGE REQUEST	Request Number
Title	FYDP As of Date
Principal Action Officer	

Description

Justification

SIGNATURE AND DATE

DD FORM 1570

Air-Launched Cruise Missile (ALCM) (AGM 86)	1 1 1 2 2 F

Includes manpower authorizations, peculiar and support equipment, necessary facilities, and the associated costs specifically identified and measurable to the following: The AGM-86 Air-Launched Cruise Missile (ALCM) is a small unmanned, winged air vehicle capable of sustained subsonic flight following launch from an airborne carrier aircraft. The air vehicle is propelled by a turbofan engine, incorporates a nuclear warhead, is internally guided by an inertial system updated by terrain correlation (TERCOM), and can be programed to strike a wide variety of preselected ground targets as a result of its accuracy and yield characteristics.

Wing Headquarters
Airborne Missile Maintenance
Munitions Maintenance
Field Maintenance
Avionics Maintenance
Weapons System Security

Excludes nuclear warhead costs which are borne by the Energy Research and Development Administration. Excludes Research and Development (see PE 64361F).

WWMCCS ADP - NORAD/ADCOM	1 2 3 1 0 F

Includes all resources (R&D, investment, and operations) directly associated with ADP support of the World-Wide Military Command and Control System (WWMCCS), as defined in DoD Directive 5100.30. Includes those resources devoted to planning, designing, developing, procuring, leasing, programing and operating ADP facilities that are a part of or are in direct support of WWMCCS. Includes, but is not limited to, WWMCCS new standard (Honeywell) ADP systems.

Where an ADP center is providing both WWMCCS and non-WWMCCS support, and resources are not readily distinguishable between them, the WWMCCS portion will be determined on the basis of relative workload.

WWMCCS - ADP - CONAD Includes all WWMCCS ADP resources at CONAD/NORAD.

Excludes Intelligence Data Handling System resources (see PE 310250); WWMCCS architecture (see PE 637350); and resources included in program elements which are part of the Consolidated Telecommunications Program.

INSTRUCTIONS FOR USE AND PREPARATION OF PROGRAM CHANGE DECISIONS (PCDs) AND DECISION PACKAGE SETS (DPSs)

A. PROGRAM CHANGE DECISIONS (PCDs).

1. PCDs will be used to reflect Secretary of Defense decisions on PCRs, to provide detailed guidance for updates of the FYDP and related annexes, and other decisions as deemed appropriate by the Secretary.

2. PCDs are formatted in a manner to make them compatible with PCRs, using SD Form 428 (Program Change Decision) (Att 1 to this Enclosure) in accordance with the following instructions.

a. PCD Number. Enter the request number assigned to the PCR. When the PCD is originated without benefit of PCR input, or responds to 2 or more PCRs, the letter X preceding the year will be assigned (e.g., X-1-001). For FYDP update PCDs, and in special cases as determined by OASD(C), the letter Z will be assigned.

b. Implementing Component. Enter the DoD Component designated to implement the decision. When more than one Component is involved, insert "All" or "See Below." In the latter case, specify the Components that are required to implement the decision.

c. Program Element Code. Enter the code as assigned by DoD 7045.7-H, "FYDP Codes and Definitions Handbook." When more than one element is involved, insert "Various" and identify each program element in the body of the decision.

d. Guidance. Enter relevent DoD issuance or official, as appropriate (e.g., DoDI 7045.7, or ASD (Comptroller)).

e. Discussion/Evaluation/Decision.

(1) Provide a brief summary of the proposed change as originally submitted by the PCR or outline the objective of the proposed change and provide summary background information to explain why the change is needed.

(2) As necessary, include an evaluation of the logic of the proposed change, and the variances or alternatives considered. Include all significant information that might influence the decision.

(3) Include the actual decision, either approved or disapproved or, as appropriate, the approval of an alternative. If an alternative or modification to the original proposal is being approved, coordination with the Components will be effected and the staffing results indicated in the PCD or covering memorandum. If disapproved, the reasons for disapproval will be stated.

(4) The decision generally will be described in program element terms.

(5) The PCD will specify when the change will be incorporated in the FYDP. If OASD(C) determines a special update to the FYDP is justified, the date for that update will be specified in the PCD.

f. Signature and Date. Normally PCDs will be signed by ASD(C) or his designated representative.

B. DECISION PACKAGE SETS (DPS) - SD Forms 428-1 and 428-1c

1. General. The data applied to the DPS, SD Form 428-1, and its continuation sheet, 428-1c, are variable and will not be confined to a

specific pattern. As frequently as possible, the decision will be expressed by use of a single page document, SD Form 428-1.

2. Specific Entries. Enter data in accordance with detailed instructions prescribed by the annual Program/Budget Instructions.

3. Attachments. When an out-year impact (first year beyond the budget year) is apparent, the decision record that accompanies the DPS will express the impact in program element terms.

(Att 1 to Encl 5)

PROGRAM CHANGE DECISION		PCD Number
EMENTING DOD COMPONENT	PROGRAM ELEMENT CODE	GUIDANCE

SIGNATURE AND DATE

CD FORM 1 90

PAGE OF PAGES

DECISION PACKAGE SET	NUMBER
SUBJECT	DOD COMPONENT

DESCRIPTION

DECISION

FOR OFFICIAL USE ONLY

DECISION PACKAGE SET *(Continuation)*

NUMBER

CONTINUATION OF CONSIDERATION

THE DEPUTY SECRETARY OF DEFENSE

WASHINGTON, D.C. 20301

MAY 12 1980

MEMORANDUM FOR THE MEMBERS OF THE DEFENSE RESOURCES BOARD

SUBJECT: POM Review

This memo describes in general terms the program review and decision process that will be followed this year. As you will see, it is substantially unchanged from last year. More detailed guidance will be provided later by the ASD(PA&E) who will again take the lead in managing the process. The DRB will continue in its role of examining the major issues raised and presenting recommendations to the Secretary of Defense for decisions. In doing this, the DRB will attempt to eliminate unimportant issues, resolve as many issues as possible with the Services, assure adherence to the fiscal and other mandatory guidance, and preclude the revisiting of decisions in the absence of new information.

Schedule

A schedule is attached. The following explains the sequential steps:

"Thumb-Nail sketches" of Proposed Issues. By May 30th, each of the sponsors of the seven POM Issue Papers will submit to PA&E a brief "thumb-nail-sketch" for each of the issues he proposes to raise in his Issue Paper. Each sketch will outline in the briefest possible way -- 2 or 3 lines -- the alternatives to Service programs that he proposes to include, why (e.g., compliance with SecDef Mandatory Guidance), and an estimate of the financial effects. The ASD(PA&E) will collate these and distribute them to the members of the DRB, who will use them to:

- Cull out any issues judged to be of lesser importance.
- In the case of overlapping proposals, decide how they should be combined and restructured.
- Decide whether modifications of proposed issues -- such as adding or deleting alternatives -- would be desirable.
- Get a preliminary estimate of the balance -- or lack thereof -- between proposals to add and proposals to subtract money, with the aim of adherence to the fiscal guidance at each level.

To accomplish this, I will call such meetings of the DRB as may seem desirable at the time -- though these are not specifically indicated on the schedule.

Draft Issue Papers Distributed for Review. On a staggered schedule starting June 20th, the draft Issue Papers will be distributed not only to the Services for their review and comment, but also to the other members of the DRB (i.e., other than the sponsor) for their information and comments, if they have any.

Final Issue Papers. A week after distribution of the draft Issue Papers, Service (and any DRB) comments will be collected by the ASD(PA&E) and distributed to the sponsors. The sponsors will modify their Issue Papers accordingly, reflecting those comments they accept, and summarizing in each paper those they reject. The ASD(PA&E) will distribute the final versions of the Issue Papers to the DRB members a week later, together with a summary of the fiscal effects of the proposed alternatives.

DRB Meetings. Two or three days after each Issue Paper is distributed, the DRB will meet to discuss the issues and alternatives, and to develop recommendations for the Secretary of Defense. (Those recommendations may also include deletion of issues judged not to be worth the Secretary's time.)

The recommendations will be forwarded to the Secretary in the form of a two-part memorandum. The first part will briefly summarize all the issues on which there is no disagreement within the DRB. The second part will treat those issues on which the DRB is split, and will include 1) the relevant section of the Issue Paper treating that issue, 2) a summary if necessary of any additional information developed since the drafting of the Issue Paper, and 3) a compilation showing which of the appropriate DRB members recommend which of the alternatives.

Last year, the DRB members were sometimes represented at these meetings by relatively junior substitutes. In addition, what had been intended as a deliberative and advisory body too often took on the tone of a majority-rule election, in which some members seemed to feel compelled to "cast a ballot", regardless of their responsibility for or expertise in the issue under discussion.

To avoid that this year, substitutes will be restricted to the members' principal deputies and, while all members are encouraged to contribute to the discussion, Associate Members' recommendations will be reported only in those cases involving their special responsibility or expertise; Principal Members are asked to abstain from making recommendations merely on a pro forma basis.

The primary goals of this phase of the DRB review are 1) to ensure that all elements of the Defense program are in the appropriate rough order, that is, located in the appropriate band, and 2) to ensure that the resulting fiscal levels remain consistent with the Fiscal Guidance.

Follow-Up Actions. The Secretary of Defense, after reviewing the DRB's two part memo (the schedule also allows for a "wrap-up" meeting with the DRB if he wants one), will indicate his decisions and return them to the ASD(PA&E) for incorporation in the Program Decision Memorandums (PDMs) to be sent to the Services.

This year the Services will again begin preparing their budgets immediately on receiving the PDMs, with the understanding that some modifications may be necessary upon receipt of the APDMs.

Service reclamas will be due two weeks after receipt of the PDMs, followed by the customary meetings with the Secretary prior to issuance of the APDMs, the final budget submissions to OSD being due three weeks later on September 19th.

Though it is not the purpose of this memo to describe the procedures to be followed during the subsequent budget review, I want to emphasize that the DRB will continue to direct and supervise that process, assuring a smooth continuity between the program and budget reviews, the adherence to a common set of decision packages, and that decisions, once made, are not revisited in the absence of new information. During this period there will be two concurrent activities: the budget submissions will be "scrubbed" for efficiencies, executability, costing, etc. at all levels, and the relatively coarse prioritization developed at three levels during the program review will be refined to a continuous ordinal list from the minimum level to the enhanced.

Special Provisions for the C^3I Issue Paper

In the past years, the C^3I Issue Paper has, for understandable reasons, contained a great many issues of a highly specialized nature involving matters of only indirect concern to other offices in OSD. To simplify the process of review of such issues, we have established through common agreement a group of C^3I program elements that will be handled on a special basis.

For the program elements within that group, the ASD(C^3I) will be responsible for proposing a modification of the Service proposals in the form of a complete and integrated package. The total cost of that package at the Basic level of the fiscal guidance will equal the aggregate costs of those program elements in the latest FYDP, adjusted pro rata to the degree that the FYDP total does not exactly match the fiscal guidance. Appropriately larger and smaller integrated packages will be developed to correspond to the Enhanced and Minimum fiscal guidance levels.

For that part of the C^3I Issue Paper, "thumb-nail-sketches" will not have to be prepared for consideration by the DRB. Though the members will be able to challenge any part of the ASD(C^3I)'s proposal at the C^3I meeting, it is to be understood that, failing such challenges, the DRB will generally endorse his suggestions.

The remainder of the C^3I Issue Paper will address non-force structure issues proposed by ASD(C^3I) that cover programs outside the agreed group of program elements (i.e., elements in which other OSD offices have a direct involvement). It will also contain any proposals for elements within the agreed group that would, if adopted, exceed the cost limits described above, implying the need for offsetting cost reductions elsewhere in the Defense program. C^3I-related force structure issues will be included in the Strategic, Theater Nuclear, or General Purpose Forces Issue Papers as appropriate.

"Out-of-Court" Settlements

In past years we have been able to resolve some issues "out-of-court" -- by agreement between OSD and a Service without any need for a formal statement of the issue for inclusion in an Issue Paper book, formal comment, recommendations or decision by the Secretary of Defense. Obviously, this can save time and avoid unnecessary effort. I encourage even greater emphasis on "out-of-court" settlements this year. The ASD(PA&E) will be sending you more detailed guidance in this regard.

OMB Participation

The provisions for OMB participation will be similar to last year's; we will be glad to add OMB's alternatives to our issues, or to include any complete OMB issues in our Issue Papers. We welcome such participation not only to improve our program review, but also to minimize the disruption that major programmatic changes can cause if interjected in the late stages of the annual PPBS cycle.

W. Graham Claytor, Jr.

W. Graham Claytor, Jr.

Attachment

CY 1980 PROGRAM REVIEW SCHEDULE

May 16: Service and Defense Agency Program Objective Memorandum (POMs) submitted

May 30 - July 16:

Issue Paper	Issue Paper Sponsor	"Thumb-Nail Sketches" to PA&E	Draft Issue Papers Out for Review	Comments Due	Final Issue Paper Due to DRB	DRB Meeti
1. Strategic Forces	ASD(PA&E)	May 30	June 20	June 27	July 3	July
2. Theater Nuclear Forces	ASD(PA&E)	May 30	June 23	June 30	July 7	July
3. General Purpose Forces	ASD (PA&E)	May 30	June 24	July 1	July 8	July
4. C^3	ASD(C^3I)	May 30	June 25	July 2	July 9	July
5. RDT&E	USDR&E	May 30	June 26	July 3	July 10	July
6. Manpower & Logistics	ASD(MRA&L)	May 30	June 27	July 3	July 11	July
7. Intelligence	ASD(C^3I)	--	--	--	--	July

July 17	Wrap-up meeting with Secretary of Defense
July 25	Publish Program Decision Memorandums (PDMs)
August 8	Service Reclamas to PDMs submitted
August 18, 19	Service Reclama meetings with Secretary of Defense
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August 27	Publish Amended Program Decision Memorandums (APDMs)

Tab A

ASSISTANT SECRETARY OF DEFENSE

WASHINGTON, D.C. 20301

PROGRAM ANALYSIS
AND EVALUATION

MAY 16 1980

MEMORANDUM FOR THE DEFENSE RESOURCES BOARD

SUBJECT: POM Review Procedures

This memo provides the procedures and formats to be used in the program review process described in Secretary Claytor's memo of May 12th. In order to make the process flow as smoothly as possible, please identify two key people for your organization: the person who is going to manage the program review for you and his staff point-of-contact. Please forward these names to my staff point-of-contact, LTC Jeffrey Oster, (Rm 2D278, X70221).

Thumb-Nail Sketches will be used by the Defense Resources Board (DRB) to focus the POM review on the major issues by culling out issues of lesser importance. Please submit summaries of your proposed issues -- using the format in Enclosure 1 -- by May 30th.

Issue Papers will be the basis of the DRB's recommendations to the Secretary for changes to the Service-proposed programs. Preparation of the Issue Papers will be the same as last year. Submit the final edition of your draft and final Issue Papers --using the format in Enclosure 2 -- to Mr. Charles Pugh, X70395, room 2E313. To provide time for printing and distribution, please submit them two working days prior to the distribution dates shown in the schedule (Enclosure 3). Include transmittal letters for my signature for forwarding the draft Issue Paper to the Services and the final Issue Paper to the DRB.

Out-of-Court settlements are used for resolving issues without taking up the Secretary's time. These settlements are to be recorded on the form specified in Enclosure 4 and must be agreed to by the sponsoring OSD Office, the Military Department or organizations affected, and the ASD(PA&E). These reports are not to exceed two pages. When agreement is reached, the form is prepared by the initiating office and staffed with the other offices. A file copy of all out-of-court settlements will be retained by PA&E.

Issues must be resolved within each Military Department's fiscal guidance. Thus, any issue requiring additional resources can be settled out-of-court only if a suitable offset is identified. Please publish all out-of-court settlements in a separate section of your Issue Paper to inform the Secretary of your agreements.

Tab B

DoD Fiscal Guidance is to be adhered to throughout the Program Review. To do this, each Issue Paper must provide at least enough program reductions to offset proposed additions. This does not suggest that the aggregate POM funding covered by each Issue Paper will be precisely preserved. The Secretary must have enough flexibility to accept some attractive, but costly proposals and pay for them with lower-priority items. The result of this process may well be a net shifting of funds from one area to another.

Russell Murray, 2nd
Assistant Secretary of Defense
Program Analysis & Evaluation

Tab B

Issue Sponsor, e.g., ASD(PA&E) :

Issue: State as a brief question; e.g., "What is the appropriate mix of prepositioning and airlift programs to increase our capability for rapid deployment of conventional forces?"

Military Department: 2/

Rationale: Explain the major financial or policy significance of the issue.

Cost Summary:

	Costs (FYDP $ Millions) FY 82	FY 82-86 Total
Absolute Costs by Program Levels 3/		
Alternative 1 - POM 4/		
Minimum	100	750
Basic Level	150	1080
Enhanced Level	175	1260
Alternative 2		
Minimum	60	450
Basic Level	130	930
Enhanced Level	175	1260
Cost Changes Relative to POM Minimum and Bands		
Alternative 1 - POM 4/ 5/		
Minimum	100	750
Basic Band	50	330
Enhanced Band	25	180
Alternative 2 6/		
Minimum	- 40	-300
Basic Band	+ 20	+150
Enhanced Band	+ 20	+150

1/ These issue abstracts are to be brief, straightforward statements.
2/ List components involved, including Defense Agencies.
3/ The absolute cost at each program level is the total program cost cumulated to that level. For Alternative 1 in the example above, the FY82 resources in the Minimum total $100M. The absolute cost of the Basic level ($150M) is equal to the Minimum ($100M) plus the Basic band ($50M), while the Enhanced level ($175M) is the sum of the Basic level ($150M) and the Enhanced band ($25M).
4/ Alternative 1 always displays the resources as submitted in the POM.
5/ POM resources are displayed by band in Alternative 1 as the base point for the changes proposed in subsequent alternatives. As can be seen in Footnote 3, band totals equal the difference between two successive program levels.
6/ For each alternative to the POM, the Minimum, Basic, and Enhanced band values are changes relative to the respective band total displayed in Alternative 1 - POM. The example Alternative 2 in FY82 reduces the Minimum by $40M and adds $20M to both the Basic and Enhanced bands.

ISSUE FORMAT

Issue

State as a brief question; e.g., "What is the appropriate mix of prepositioning and airlift programs to increase our capability for rapid deployment of conventional forces?"

Background

Relate issue to U.S. strategy for meeting the threat; e.g., show trends in program funding and capability in the January 7, 1980 FYDP compared with those introduced in the POM; relevant action on the FY 1981 budget.

Alternatives

State specific alternatives for decision. Alternative 1 is always the POM. For all other alternatives, describe the changes proposed to the POM. Associated resource impacts are provided in the "Cost and Manpower Summary" table.

If procurement of major equipment is involved, include a table showing procurement quantities and costs for each alternative by year. In a simple procurement issue, (i.e., no R&D or O&S funds involved and only a single major end-item, for instance, the F-25 tactical fighter) quantities may be included in the "Cost and Manpower Summary" table.

Evaluation of Alternatives

State the impact each alternative (including the POM) would have on U.S. programs and defense capabilities; benefits and costs of each alternative relative to the POM and other alternatives considered.

Enclosure 2

Tab B

Cost and Manpower Summary

	Costs (FYDP $ Millions)					
	FY82	FY83	FY84	FY85	FY86	FY82-86
Absolute Costs by Program Levels 1/						
Alternative 1 - POM 2/						
Minimum	100	125	150	175	200	750
Basic Level	150	185	220	245	280	1080
Enhanced Level	175	215	255	285	330	1260
Alternative 2						
Minimum	60	65	90	105	130	450
Basic Level	130	155	190	210	245	930
Enhanced Level	175	215	255	285	330	1260
Cost Changes Relative to POM Minimum and Bands						
Alternative 1 - POM 2/ 3/						
Minimum	100	125	150	175	200	750
Basic Band	50	60	70	70	80	330
Enhanced Band	25	30	35	40	50	180
Alternative 2 4/						
Minimum	- 40	- 60	- 60	- 70	- 70	-300
Basic Band	+ 20	+ 30	+ 30	+ 35	+ 35	+150
Enhanced Band	+ 20	+ 30	+ 30	+ 35	+ 35	+150

1/ The absolute cost at each program level is the total program cost cumulated to that level. For Alternative 1 in the example above, the FY82 resources in the Minimum total $100M. The absolute cost of the Basic level ($150M) is equal to the Minimum ($100M) plus the Basic band ($50M), while the Enhanced level ($175M) is the sum of the Basic level ($150M) and the Enhanced band ($25M).

2/ Alternative 1 always displays the resources as submitted in the POM.

3/ POM resources are displayed by band in Alternative 1 as the base point for the changes proposed in subsequent alternatives. As can be seen in Footnote 3, band totals equal the difference between two successive program levels.

4/ For each alternative to the POM, the Minimum, Basic, and Enhanced band values are changes relative to the respective band total displayed in Alternative 1 - POM. The example Alternative 2 in FY82 reduces the Minimum by $40M and adds $20M to both the Basic and Enhanced bands.

	Manpower (000)				
	FY82	FY83	FY84	FY85	FY86
Absolute Strengths by Program Levels 1/					
Alternative 1 - POM 2/					
Minimum	10	10	10	10	10
Basic Level	15	15	15	15	15
Enhanced Level	17	17	17	17	17
Alternative 2					
Minimum	5	5	5	5	5
Basic Level	12	12	12	12	12
Enhanced Level	17	17	17	17	17
Strength Changes Relative to POM Minimum and Bands					
Alternative 1 - POM 3/					
Minimum	10	10	10	10	10
Basic ~~Level~~ Band	5	5	5	5	5
Enhanced ~~Level~~ Band	2	2	2	2	2
Alternative 2 4/					
Minimum	- 5	- 5	- 5	- 5	- 5
Basic ~~Level~~ Band	+ 2	+ 2	+ 2	+ 2	+ 2
Enhanced ~~Level~~ Band	+ 3	+ 3	+ 3	+ 3	+ 3

1/ The absolute strength at each program level is the total program strength cumulated to that level. For Alternative 1 in the example above, the FY82 strength in the Minimum is 10K. The absolute strength of the Basic Level (15K) is equal to the Minimum (10K) plus the Basic band (5K), while the Enhanced level (17K) is the sum of the Basic level (15K) and the Enhanced band (2K).

2/ Alternative 1 always displays the resources as submitted in the POM.

3/ POM resources are displayed by band in Alternative 1 as the base point for the changes proposed in subsequent alternatives. As can be seen in Footnote 3, band totals equal the difference between two successive program levels.

4/ For each alternative to the POM, the Minimum, Basic, and Enhanced band values are changes relative to the respective band total displayed in Alternative 1 - POM. The example Alternative 2 in FY82 reduces the Minimum by 5K and adds 2K to the Basic and 3K to the Enhanced band.

CY 1990 PROGRAM REVIEW SCHEDULE

May 16: Service and Defense Agency Program Objective Memorandum (POMs) submitted

May 30 - July 16:

Issue Paper	Issue Paper Sponsor	"Thumb-Nail Sketches" to PA&E	Draft Issue Papers Out for Review	Comments Due	Final Issue Paper Due to DRB	DS Meet
1. Strategic Forces	ASD(PA&E)	May 30	June 20	June 27	July 3	July
2. Theater Nuclear Forces	ASD(PA&E)	May 30	June 23	June 30	July 7	July
3. General Purpose Forces	ASD (PA&E)	May 30	June 24	July 1	July 8	July
4. C^3	ASD(C^3I)	May 30	June 25	July 2	July 9	July
5. RDT&E	USDR&E	May 30	June 26	July 3	July 10	July
6. Manpower & Logistics	ASD(MRA&L)	May 30	June 27	July 3	July 11	July
7. Intelligence	ASD(C^3I)	--	--	--	--	July

July 17	Wrap-up meeting with Secretary of Defense
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Enclosure 3

Tab B

OUT-OF-COURT SETTLEMENT FORMAT

ISSUE: (short descriptive title)

DISCUSSION: (Include description of POM Program, why change from POM is desirable, description of changes, and specification of program offsets).

COST AND MANPOWER IMPACTS RELATIVE TO POM

	Cost (FYDP $ Millions) and Manpower (DOD)				
	FY 82	FY 83	FY 84	FY 85	FY 86
CHANGE TO POM FOR ISSUE 1/					
Minimum	+10				
Basic band 2/	+ 8				
Enhanced band 2/	+ 4				
CHANGE TO POM FOR OFFSET 1/					
Minimum	-10				
Basic band 2/	- 8				
Enhanced band 2/	- 4				

TENTATIVE APPROVAL

Sponsoring ASD or Director _____

Military Department/JCS _____

ASD(PA&E) _____

1/ Minimum, Basic band, and Enhanced band resource values are changes to to the respective bands in the POM. The example shown adds $10M to the Minimum, $8M to the Basic band ($18M to the Basic level), and $4M to the Enhanced band ($22M to the Enhanced level). The increases are then offset by equal and opposite adjustments to the minimum and the respective bands as indicated in the instructions.

2/ The Basic band contains the Program Decision Packages (PDPs) between the Minimum and the Basic level and the Enhanced band contains the PDPs between the Basic and Enhanced levels.

THE SECRETARY OF DEFENSE

WASHINGTON, D.C. 20301

SEP 10 1980

MEMORANDUM FOR THE MEMBERS OF THE DEFENSE RESOURCES BOARD

SUBJECT: Prioritization During the Budget Review

During the POM review process, we prioritized the defense program into three bands: Minimum, Basic, and Enhanced. We now have to prioritize the elements within the Basic and Enhanced bands, ending up with a ranking of all Consolidated Decision Package Sets (CDPSs) between the highest priority item in the Basic band and the lowest priority item in the Enhanced band. This will be done through the following series of steps:

- When the Service budget submissions are received, the ASD(C) will distribute component ranking summaries that include a narrative description of each decision package (i.e., each CDPS) to the members of the DRB.

- At the same time, the ASD(PA&E) will interleave the CDPSs of all the Service submissions (which the Services will have arranged in an ordinal ranking) into a tentative DoD-wide prioritized list. This list will be divided into 8 bands, and distributed to the DRB. It will also serve as the preliminary list that the OMB has requested by October 10th.

- DRB members will then submit Priority Change Proposals (PCPs) in accordance with the "ground rules" in the attached sheet. The PCPs will be collected, collated, and distributed by the ASD(PA&E) to the DRB members for their review.

- After considering the PCPs, the DRB will make its recommendations to me in the form of a two-part memo drafted by the ASD(PA&E). One part will summarize those PCPs that meet with no objections from DRB members. The other will report PCPs under contention, indicating which of the DRB members favor and which oppose the PCP. I will indicate my decisions on that memo, as well as any reprioritizations I may want to make apart from those suggested by the DRB.

- The ASD(PA&E) will report my decisions to the DRB members for their information, and to the ASD(C) for incorporation in his master system.

- My final list will be due to OMB about November 25th. In addition to the initial DRB prioritization meetings, I plan to hold at least one meeting with the DRB for a final "fine tuning" of the list.

As was the case last year, all program prioritization decisions will be addressed through the DRB using the PCP process described in this memo, while all budget scrubs will be handled through the DPS process. Throughout the budget review, the master list will be maintained by ASD(C), and will be updated to reflect both scrubs and reprioritizations. Obviously, one set of CDPSs will be common to both halves of the process.

Any suggestions that the DRB members may have for improving the prioritization process described here should be sent to the ASD(PA&E) as early as possible.

Harold Brown

Attachment

GROUND RULES FOR PRIORITY CHANGE PROPOSALS (PCPs)

1. An individual PCP will deal only with moving a CDPS from one band to another, (e.g., from Band 4 to Band 2), not from one specific space on the list to another (e.g., not from 175th on the list to 87th).

2. PCPs should address CDPSs as an integral unit.

3. Proposals to transfer CDPSs from the Basic to Enhanced band or vice versa will be disallowed except in cases where significant new information has come to light since the POM review. Moving a CDPS into the Minimum will not be allowed in any case.

4. PCPs that recommend splitting a CDPS (i.e., proposing one priority for a portion of the CDPS, and another for the rest) will be accepted in only the most unusual circumstances.

5. All PCPs will be submitted using the Priority Change Proposal format that will be provided by ASD(PA&E).

REFERENCES, Continued

(d) DoD Instruction 7000.3, "Selected Acquisition Reports (SARs)," April 4, 1979
(e) DoD Directive 4120.3, "Defense Standardization and Specification Program," February 10, 1979
(f) DoD Instruction 4120.19, "Department of Defense Parts Control System," December 16, 1976
(g) DoD Directive 5160.65, "Single Manager Assignment for Conventional Ammunition," November 26, 1975
(h) DoD Instruction 5000.36, "System Safety Engineering and Management," November 6, 1978
(i) DoD Directive 6050.1, "Environmental Effects in the United States of DoD Actions" July 30, 1979
(j) DoD Directive 4155.1, "Quality Program," August 10, 1978
(k) DoD Directive 3224.3, "Physical Security Equipment: Assignment of Responsibility for Research, Engineering, Procurement, Installation, and Maintenance," December I, 1976
(l) DoD Directive 5000.3, "Test and Evaluation," December 26, 1979
(m) DoD Directive 4100.35, "Development of Integrated Logistic Support for Systems/Equipments," October 1, 1970
(n) DoD Instruction 5010.19, "Configuration Management," May I, 1979
(o) DoD Directive 5000.34, "Defense Production Management," October 31, 1977
(p) DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976
(q) DoD Directive 4120.21, "Specifications and Standards Application," April 9, 1977
(r) Military Standard 881A, "Work Breakdown Structures for Defense Materiel Items," April 25, 1975
(s) DoD Directive 5000.28, "Design to Cost," May 23, 1975
(t) DoD Instruction 7000.2, "Performance Measurement for Selected Acquisitions," June 10, 1977
(u) DoD Instruction 5000.33, "Uniform Budget/Cost Terms and Definition," August 15, 1977

MISSION ELEMENT NEED STATEMENT (MENS) FORMAT

Prepare MENS in the format shown below. Do not exceed 5 pages, including annexes. Reference supporting documentation.

A. MISSION

1. Mission Areas. Identify the mission areas addressed in this MENS. A need can be common to more than one mission area. When this is the case, identify the multiple mission areas.

2. Mission Element Need. Briefly describe the nature of the need in terms of mission capabilities required and not the characteristics of a hardware or software system.

B. THREAT OR BASIS FOR NEED

Summarize the basis for the need in terms of an anticipated change in the projected threat, in terms of an exploitable technology or in terms of nonthreat related factors (e.g., continuing requirements for new pilots). When the need is based on a threat change, assess the projected threat over the period of time for which a capability is required. Highlight projected enemy force level and composition trends, system capabilities or technological developments that define the quantity or quality of the forecast threat. Include comments by the DIA and provide specific references from which the threat description is derived. Quantify the threat in numbers and capability. If nuclear survivability and endurance are required mission capabilities, include an explicit statement of this fact. When the need is based on exploitation of developing technology, describe the benefits to mission performance.

C. EXISTING AND PLANNED CAPABILITIES TO ACCOMPLISH THIS MISSION

Briefly summarize the existing and planned DoD or allied capabilities to accomplish the mission. This must not be a narrow, one-Service view when looking across a multi-Service or an overlapping mission area, such as air defense. Reference existing documentation, such as force structure documents.

D. ASSESSMENT OF NEED

The most important part of the MENS is the evaluation of the ability of current and planned capabilities to cope with the projected threat. Base the evaluation on one or more of the following factors:

1. Deficiency in the existing capability, such as excessive manpower, logistic support requirements, ownership costs, inadequate system readiness or mission performance.

2. Exploitable technological opportunity.

3. Force size or physical obsolescence of equipment.

4. Vulnerability of existing systems.

E. CONSTRAINTS

Identify key boundary conditions for satisfying the need, such as:

1. Timing of need.

2. Relative priority within the mission area.

3. The order of magnitude of resources the DoD Component is willing to commit to satisfy the need identified. This resource estimate is for initial reconciliation of resources and needs. It is not to be considered as a program cost goal or threshold.

4. Logistics, safety, health, energy, environment, and manpower considerations.

5. Standardization or interoperability with NATO, and among the DoD Components.

6. Potentially critical interdependencies or interfaces with other systems, and technology or development programs.

F. RESOURCE AND SCHEDULE TO MEET MILESTONE 1

Identify an approximate schedule and an estimate of resources to be programed along with the approach proposed for developing alternative concepts for presentation to the Secretary of Defense at Milestone I.

DECISION COORDINATING PAPER (DCP) FORMAT

Prepare DCP in the format shown below. Do not exceed 10 pages, including annexes. Reference supporting documentation.

Part I: State the direction needed from the Secretary of Defense, including deviations from the acquisition process contained in DoD Directive 5000.1 (reference (b)) and this Instruction.

Part II: Describe the overall program. The Description and Mission statement contained in the "Congressional Data Sheets" may satisfy this requirement.

Part III: Revalidate the need for the program.

Part IV: Summarize system and program alternatives considered and the reasons why the preferred alternative was selected.

Part V: Summarize the program schedule and acquisition strategy with emphasis on the next phase. The degree of competition should be addressed.

Part VI: Identify and assess issues affecting the Secretary of Defense's milestone decision.

ANNEXES

A. Goals and Thresholds
B. Resources - Preferred Alternative
C. Life-Cycle Cost

	Last Approved by SECDEF [1]		Current Estimate	Recommended to SECDEF At This Milestone [2]	
	Goal	Threshold		Goal	Threshold
	(a)	(b)	(c)	(d)	(e)
COST [3] [4]					
RDT&E [5]					
Procurement					
Flyaway					
SCHEDULE [4] [6]					
Next Milestone					
IOC					
PERFORMANCE [7]					
Operational Availability [8] [9]					
Mission Survivability and Reliability [9] [10]					
Weight					
Range					
Speed					
Sortie Rate [11]					
SUPPORTABILITY AND MANPOWER [7]					
Manning [12]					
Maintenance-related R&M [9] [13]					
Petroleum, Oil, Lubricant Consumption					
Spares [14]					

1 Provide goals and thresholds from last SDDM.

2 Explain any changes from columns (a) and (b) in a footnote.

3 Provide values for total RDT&E and procurement appropriations and for flyaway/rollaway/sailaway cost. Additional cost elements may be appropriate for individual systems. All cost goals and thresholds will be in constant, base year dollars.

4 Add additional stubs as appropriate. The stubs indicated are mandatory.

5 Provide both a total RDT&E program goal and threshold. Fiscal year thresholds shall be displayed in a footnote to this Annex and shall total to the overall RDT&E threshold.

6 Provide projected date for next milestone and for Initial Operational Capability (IOC). Define IOC by footnote. Additional schedule elements may be added, as appropriate.

7 Select appropriate parameters that drive system effectiveness and costs. The stubs indicated are only examples.

8 Use readiness-related R&M parameters that constitute operational availability if more appropriate.

9 Provide goals and thresholds to be achieved by the next milestone. Predicted survivability growth and R&M growth shall be displayed in a footnote to this annex as a series of intermediate thresholds capable of being measured during development, production, and deployment.

10 Include mission maintainability if maintenance will be performed during the mission.

11 Include combat utilization rate if different from peacetime utilization rate.

12 Include both operators and maintenance personnel.

13 Include separate parameters for depot maintenance.

14 Use logistic-related R&M parameters, if appropriate.

	FY 19__ PRIOR	FY 19__	FY 19__	FY 19__	FY 19__	FY 19__	FY 19__	TO COMPLETION	TOTAL PROGRAM
Acquisition Quantities Development Production Deliveries									
DEVELOPMENT Validation Phase Full-Scale Development Total Development Cost [1] RDT&E Funding (Approved FYDP)									
PRODUCTION System Cost [2] (Long Lead Requirements) Initial Spares Total Procurement Cost [1] Procurement Funding (Approved FYDP)	(A non-add entry for each fiscal year)					( )	( )	( )	( )
MILCON During Development During Production Total MILCON MILCON Funding (Approved FYDP)									
Total Program Acquisition Cost [1] RDT&E, Procurement and MILCON Funding (Approved FYDP) (Difference)									
Estimated Other Resources Requirements [3] During Development During Production									
OPERATING AND SUPPORT O&M MILPERS Procurement [4] Total Operating and Support Cost [1]									
Total Life Cycle Requirements									

1 Definitions should be in accordance with DoD Instruction 5000.33 (reference (u)).
2 Equal to Weapon System Cost as defined in DoD Instruction 5000.33 (reference (u)); for Shipbuilding, Outfitting and Post Delivery Costs will be included.
3 Other Life Cycle related costs (i.e., Installation, Project Manager Office, Civilian Salaries, etc.) funded by other appropriations; e.g., O&M & MILPERS during Development and/or Production phase. Also, Production Base Support (Industrial Facilities), shore-based training facilities, and other system peculiar costs identified as a separate line item, or as a portion of a separate line item, in another part of the Procurement Budget. Identify the content of this entry.
4 Procurement costs associated with operating and owning a weapon system such as modifications, replenishment spares, ground equipment, etc.

DCP ANNEX C
LIFE CYCLE COST

CONSTANT DOLLARS (IN MILLIONS)

ALTERNATIVE	DEVELOPMENT	PRODUCTION	OPERATING AND SUPPORT	TOTAL
A 1				
A 2				
A 3				
o				
o				
o				

CURRENT DOLLARS (IN MILLIONS)

ALTERNATIVE	DEVELOPMENT	PRODUCTION	OPERATING AND SUPPORT	TOTAL
A 1				
A 2				
A 3				
o				
o				
o				

INTEGRATED PROGRAM SUMMARY (IPS) FORMAT

The IPS summarizes the implementation plan of the DoD Component for the complete acquisition cycle with emphasis on the phase the program is entering. Limit the IPS to 60 pages (inclusive of all annexes except Annex B) with no more than two pages required per topic. When further detail is available in a published study or plan, reference these documents in the IPS and provide them for inclusion in the Milestone Reference File (MRF). Do not classify the IPS higher than SECRET. When possible, display data in numerical or tabular format. The following annexes are mandatory:

A. Resources - Cost Track Summary
B. Resources - Funding Profile
C. Resources - Summary of System Acquisition Costs
D. Manpower
E. Logistics

Include the topics indicated below in the IPS. If a specific item cannot be discussed due to the nature or timing of the acquisition process, provide a statement and explanation to that effect.

1. Program History. Summarize previous milestone decisions and guidance, PPBS decisions, and significant Congressional actions affecting the program.

2. Program Alternatives. In addition to the program proposed by the DoD Component in the DCP, briefly describe each DCP alternative program, including its advantages and disadvantages. Do not duplicate data in the IPS annexes.

3. Cost Effectiveness Analysis. Summarize the assumptions, methodology, status, and results of any cost-effectiveness analyses prepared in support of the milestone decision. This section shall contain specific discussions of those aspects of the analyses that relate to the issues identified at the Milestone Planning Meeting. If the analysis supporting the recommended milestone decision is not complete at the time the IPS is submitted, describe the analytical and coordination tasks remaining and provide a schedule for completion of the analysis before the scheduled DSARC meeting.

4. Threat Assessment. Provide an up-to-date summary of the threat, including discussion of CIPs. At Milestones I, II, and III, a reaffirmation of program need shall be included.

5. System Vulnerability. Describe vulnerability to detection, interference, and attack and program actions to minimize these vulnerabilities. Nuclear and nonnuclear survivability and endurance information shall be summarized.

6. Organizational and Operational Concept. Describe the organizational structure associated with the system and the general system operational concept. Describe a typical mission profile or profiles and activity rates (wartime and peacetime).

7. Overview of Acquisition Strategy. Describe the overall strategy to acquire and deploy a system to satisfy the mission need, referring to but not repeating other sections of the IPS. Discuss the rationale for any deviations from acquisition process prescribed in DoD Directive 5000.1 (reference (b)) and this Instruction. Emphasis should be on the next phase of the acquisition process.

8. Technology Assessment. Summarize the degree to which technology planned for use in this program has been demonstrated. Identify technology risks and activities planned to reduce these risks. Discuss nuclear hardening technology and associated risks, as appropriate.

9. Contracting. Provide a summary of information in the contracting plan. At a minimum, include: (a) the overall program contracting plan (introduction and maintenance of competition throughout the system life-cycle and plans for competitive breakout of components by both the government and the contractors); (b) contractor performance under contracts in the current program phase; and (c) major contracts to be awarded in the next program phase (summary of workscope, contract types, sources solicited and selected, scheduled award dates, special terms or conditions, data rights, warranties, estimated cost or price including incentive structures). When appropriate, reference other portions of the IPS or documents in the MRF for additional detail. Do not include contractor sensitive data in this paragraph.

10. Manufacturing and Production. Summarize the system's production plan concentrating on those areas appropriate to the next phase. Refer to DoD Directive 5000.34 (reference (o)). Additionally:

a. At Milestone I. Identify new manufacturing technology needed for each concept considered for demonstration and validation. Also identify deficiencies in the U.S. industrial base and availability of critical materials.

b. At Milestone II. Describe areas of production risk and provisions for attaining a producible design during the Full-Scale Development phase and identify requirements for parts control, long lead procurement, and limited production.

c. At Milestone III. Summarize the results of the production readiness review and address the existence of a manufacturing design. Include nuclear hardening design in the summary, if appropriate. If the review is not complete at the time the IPS is submitted, describe the tasks remaining and provide a schedule for completion prior to the scheduled DSARC meeting.

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11. Data Management. Discuss how general engineering and data requirements imposed on contractors shall be selected and tailored to fit the particular needs of the program and the program manager and the degree of configuration management that shall be applied to the program.

a. Application. Identify exceptions to use of approved specification, standards, their related technical and engineering data, special reports, terminology, data elements and codes to be used for program management. Refer to DoD Directive 5000.19 (reference (p)) and to DoD Directive 4120.21 (reference (q)).

b. Work Breakdown Structure (WBS). Identify and explain any deviations from MILSTD 881A (reference (r)).

c. Contractor Data Base. Discuss how the contractor's internal data base shall be validated and used to provide essential information. Discuss also whether or not contractor data products can be used as substitutes for DoD required reports.

d. Levels of Details. Discuss how reporting burdens shall be minimized by using the highest level of the WBS that can serve management needs.

12. Configuration Management. Identify interfacing systems and discuss the degree of configuration management planned for each phase. Also, explain any intended deviations from DoD Directive 5010.19 (reference (n)).

13. Test and Evaluation. Describe test results to date and future test objectives. Based on the Test and Evaluation Master Plan, include a narrative description of the overall test strategy for both Development Test and Evaluation and Operational Test and Evaluation. Refer to DoD Directive 5000.3 (reference (l)).

14. Cost. Address the elements listed below. Make the discussion consistent with Annexes A, B, and C and address such displays in expanded detail, if appropriate.

a. Life-Cycle Cost. Discuss the underlying assumptions pertaining to the life-cycle cost estimates, including the impact of Foreign Military Sales, cooperative development or production, planned production rates, and learning curves for each of the alternatives in the DCP.

b. Cost Control. Discuss cost control plans to include the following items:

(1) Assumptions on which the proposed program cost thresholds were determined.

(2) Proposed Design-to-Cost goals and how they shall be implemented at the contract level. Refer to DoD Directive 5000.34 (reference (o)) and to DoD Directive 5000.28 (reference (s)).

(3) Exceptions to implementation of Cost/Schedule Control Systems Criteria and alternative cost control procedures to be used. Refer to DoD Instruction 7000.2 (reference (t)).

c. Production

(1) Milestone I. Discuss the economics for establishing a second production source for the preferred alternative. Estimate the increased costs or savings from competitive production sources. Production quantities and production rates for this estimate shall be determined at the Milestone Planning Meeting.

(2) Milestones II and III. Provide an analysis of variation in unit cost with production rate which identifies efficient production rates.

d. Programing and Budgeting. Discuss the sources and applications of funds, as necessary, to explain IPS Resource Annex C.

15. Logistics. Summarize information contained in the Integrated Logistics Support Plan and present related management issues and risk areas. Display backup data in Annex E. Refer to DoD Directive 4100.35 (reference (m)). Additionally:

a. At Milestone I

(1) Identify mission requirements (including any NATO member requirements) that significantly impact upon system design features and support concepts.

(2) Identify subsystems and logistic elements that drive support cost and readiness of similar current systems and identify areas for improvement in new system design efforts.

(3) Identify subsystems and major items of equipment that are common to other programs and systems and describe standardization approach.

(4) Define the support concept alternatives to be considered, including the levels of maintenance for each alternative.

(5) Identify major support equipment requiring new development.

(6) Identify new technology items that require advances in repair technology.

(7) Identify all estimated RDT&E funding to be allocated to support planning and analysis by program phase.

b. At Milestones II and III. Update the information provided at the previous milestone. Additionally:

(1) Identify R&M test results to date and the quantitative effect on support resource requirements, such as manpower, spares, depot maintenance, to meet readiness objectives.

(2) Estimate the capability of current and planned support systems to meet logistic objectives, such as resupply time, maintenance turn-around-time, and automatic test equipment production rate and capacity.

(3) Identify contract provisions for logistics support, such as parts control and interim contractor support. Do not repeat information contained in the Contracting section of the IPS.

(4) Identify any subsystems considered for long-term contractor support and the analysis leading to contractor support decisions.

(5) Provide a reference to the document that includes the leadtimes and activation dates for each level of organic support capability.

16. Reliability and Maintainability. Define each R&M parameter that applies to the system proposed in the DCP and summarize R&M achievements of the preceding phase. Describe R&M requirements for the next phase. Additionally:

a. At Milestone I. Establish a tentative design goal (or a range of values) at the system level for each applicable R&M parameter. These goals shall be responsive to projected needs of the mission area and realistic in comparison to measured R&M values of similar systems.

b. At Milestone II

(1) Show that operational R&M problems, typical of similar systems, have been addressed in design, by careful selection of GFE, and by tailoring operating and support concepts.

(2) Identify major GFE elements of the new system and provide some indication of how reliable and maintainable they are in similar applications. State the source of this information.

(3) Establish a specific goal and threshold for each applicable R&M parameter to be attained prior to Milestone III.

(4) Display predicted R&M growth as a series of intermediate points associated with thresholds for full-scale development.

c. At Milestone III. Display predicted R&M growth as a series of intermediate points associated with thresholds for production and deployment.

17. Quality. Summarize the independent quality assessments required by DoD Directive 4155.1 (reference (j)) and provide the status of action taken or in process as a result of the recommendations contained in the independent quality assessments.

18. Manpower. Specify the system activity level used to estimate and compute the system manpower requirements presented in the annex. Indicate whether this activity represents a combat surge, sustained combat, pre-combat readiness, or other posture (specify). Also specify the available hours per person, per month used to compute numbers of people from work-load estimates (not required at Milestone I). List any other critical assumptions that have a significant bearing on manpower requirements. Discussion of manpower requirements shall be consistent with Annex D and provide supporting detail as appropriate. Additionally:

a. At Milestone I

(1) Summarize manpower sensitivity to alternative employment concepts being considered.

(2) Identify parameters and innovative concepts to be analyzed during the next phase such as: new maintenance concepts and organization; new concepts or technologies to improve personnel proficiency and performance.

b. At Milestone II

(1) Summarize the significant manpower implications of trade-offs conducted among hardware design, support characteristics, and support concepts.

(2) Explain briefly significant manpower differences in comparison with a reference system, considering design, support concept, and employment objective. The reference system should be one that is being replaced by the new system, performs a similar function, or has similar technological characteristics.

(3) Quantify the sensitivity of manpower requirements to the proposed maintenance related reliability and maintainability goals and to system activity rates.

(4) Describe the sources of manpower for the new system. Summarize projected requirements versus projected DoD Component assets in critical career fields. Identify new occupations that may be required.

(5) Include schedules for:

(a) Further trade-off analyses among design and support elements impacting manpower,

(b) Job task identification,

(c) The manpower analyses planned during full-scale development, and

(d) Planned T&E to verify the manpower estimates and underlying assumptions.

c. At Milestone III

(1) Explain changes from manpower estimates presented at the previous milestone. Quantify manpower sensitivity to the maintenance related reliability and maintainability levels demonstrated, to those proposed, and to system activity levels (including wartime surge).

(2) Identify shortfalls in meeting requirements by occupation. Assess the impact on system readiness of failure to obtain required personnel. Identify new occupations not yet approved and programed into DoD Component personnel and training systems.

(3) Summarize plans for evaluating manpower requirements during follow-on test and evaluation.

19. Training

a. At Milestone I. Identify any significant differences in the training implications of the alternative system considered.

b. At Milestone II and III

(1) Summarize plans for attaining and maintaining the required proficiency of operating and support personnel, quantifying the scope and duration of formal training, time in on-the-job and unit training, use of simulators and other major training devices in formal and unit training and use of other job performance and training aids. Identify anticipated savings from use of simulators or other training devices.

(2) Provide a summary by fiscal year and occupation of all formal training requirements for the proposed system, identifying numbers of personnel trained and training costs (including facility modifications). Separately identify the net impact on special emphasis training programs such as undergraduate flight training.

c. At Milestone III Also

(1) Summarize plans and additional resources required to train the initial component of operating and support personnel for unit conversion to fielded systems.

(2) Summarize plans for training reserve component personnel whose mission requires operation or support of the system.

(3) Reference plans for validation of proficiency criteria and personnel performance.

20. Facilities. Describe any new government or industry facilities required for production or support of the system. Summarize how these facilities are to be made available. Identify cost and schedule constraints, such as training, testing or maintenance, imposed by facilities limitations.

21. Energy, Environment, Health and Safety. Summarize the environmental and energy impacts of developing, producing, and operating the DCP systems alternatives.

a. Specifically, for energy considerations:

(1) At Milestone I. Establish tentative design goals, or range of values, for energy efficiency and substitution at the system level that are responsive to projected needs of the mission area. These goals should be shown in comparison to energy efficiency and substitution capability of similar systems.

(2) At Milestone II. Establish firm energy related goals when appropriate and state trade-offs made between the design, operating concepts, simulators, and any substitution objectives.

(3) At Milestone III. Review energy consumption projections and efficiencies and their sensitivities to system populations.

b. Additionally, prior to the Milestone II and III decisions, summarize the results of system health and safety analyses and assessments and specify actions pending on any unresolved significant system health or safety hazards. Cite management decisions, if any, to accept the risks associated with significant identified hazards.

c. List environmental documentation prepared in accordance with DoD Directive 6050.1 (reference (i)).

22. Computer Resources. Address the following factors:

(a) Interface requirements.

(b) Computer programs and documentation required to support the development, acquisition, and maintenance of computer equipment and other computer programs.

(c) Plans for maintenance and update of software after initial system operating capability has been achieved.

23. International Programs. Summarize action taken with regard to NATO RSI considerations listed in paragraph E.14. of the basic Instruction and identify approved, pending, and potential Foreign Military Sales.

EXAMPLE - COST TRACK SUMMARY [1]
(Millions of Dollars)

	FY Constant (Base Year) $			Escalated $
	Planning/ Development Estimate [2]	SDDM (Date) [3]	Current Estimate [4]	Current Estimate [4]
DEVELOPMENT PHASE				
RDT&E				
Validation Phase				
Full Scale Development				
Contractors (Provide one level of WBS indenture based on program requirements)				
In-House (Provide one level of WBS indenture based on program requirements)				
Contingency (Service)				
TOTAL RDT&E APPROPRIATION				
MILCON				
O&M [5]				
MILPERS [5]				
TOTAL DEVELOPMENT PHASE				
PRODUCTION PHASE				
PROCUREMENT				
System Cost [7]				
Flyaway (Provide one level of WBS indenture based on program requirements)	( ) [6]	( ) [6]	( ) [6]	( ) [6]
Other System Costs				
Initial Spares				
Other Line Item Procurement [8]				
TOTAL PROCUREMENT APPROPRIATION				
MILCON				
O&M [5]				
MILPERS [5]				
TOTAL PRODUCTION PHASE				
TOTAL OPERATING & SUPPORT PHASE				
TOTAL LIFE CYCLE REQUIREMENTS				
AVERAGE ANNUAL SYSTEM O&S COSTS No. of Systems: No. of Years:				

1 Apply footnotes as required to explain the chart. Adjustments to format are authorized to accommodate program; stub entries will be decided on at the initial Milestone Planning Meeting. Definitions should be in accordance with DoD Instruction 5000.33 (reference (u)).

2 Identify basis for estimate and date of SDDM.

3 Add columns as necessary for each SDDM revision.

4 The preferred alternative or the latest approved baseline cost estimate contained in the SDDM will be shown in both constant and current (escalated) estimate columns.

5 Other Life Cycle related costs (i.e., Installation, Project Manager Office, Civilian Salaries, etc.) funded by O&M and MILPERS during Development and/or Production phase.

6 Enter Quantity.

7 Equal to Weapon System Cost as defined in DoD Instruction 5000.33 (reference (u)).

8 Production Base Support (Industrial Facilities), shore-based training facilities, and other system peculiar costs identified as a separate line item, or as a portion of a separate line item, in another part of the Procurement Budget. Identify the content of this entry.

NOTE: Reasons for significant variations in estimate should be explained by footnote (e.g., schedule slippage, Congressional funding, etc.).

Annex to be completed for each alternative:
1) In Constant (base) year dollars
2) In Escalated dollars using current FYDP rates and ground rules

IPS ANNEX B
RESOURCES - FUNDING PROFILE [1]
(Dollars in Millions)

	FY 19__ PRIOR	FY 19__	FY 19__	FY 19__	FY 19__	FY 19__	FY 19__	TOTAL PROGRAM
Acquisition Quantities to be Procured [2]								
Development								
Production								
Deliveries								
DEVELOPMENT PHASE								
RDT&E								
Validation Phase								
Full Scale Development Phase								
Other System Costs								
TOTAL RDT&E APPROPRIATION								
MILCON								
O&M [3]								
MILPERS [3]								
TOTAL DEVELOPMENT PHASE								
PRODUCTION PHASE								
PROCUREMENT [4]								
System Cost [5]								
Flyaway, Rollaway, Sailaway								
Other System Costs								
Initial Spares								
Other Line Item Procurement [6]								
TOTAL PROCUREMENT APPROPRIATION								
MILCON								
O&M [3]								
MILPERS [3]								
TOTAL PRODUCTION PHASE								
OPERATING AND SUPPORT PHASE								
MILPERS								
O&M								
Procurement [7]								
TOTAL OPERATING AND SUPPORT PHASE								

1 Apply footnotes as required to explain the chart. Adjustments to format are authorized to accommodate program; stub entries will be decided on at the initial Milestone Planning Meeting. Definitions should be in accordance with DoD Instruction 5000.33 (reference (u)). Use as many columns as necessary to show every year of acquisition funding and operation and support funding until steady state operations are achieved.

2 Identify the number of Development and Production units to be acquired by fiscal year.

3 Other Life Cycle related costs (i.e., Installation, Project Manager Office, Civilian Salaries, etc.) funded by other appropriations; e.g., O&M and MILPERS during Development and/or Production phase.

4 Enter the costs by appropriation; e.g., Aircraft Procurement, Missile Procurement, Ships Construction Navy, or Other Procurement. If more than one applies, identify it separately.

5 Equal to Weapon System Cost as defined in DoD Instruction 5000.33 (reference (u)).

6 Production Base Support (Industrial Facilities), shore-based training facilities, and other system peculiar costs identified as a separate line item, or as a portion of a separate line item, in another part of the Procurement Budget. Identify the content of this entry.

7 Procurement costs associated with operating and owning a weapon system such os modifications, replenishment spares, ground equipment, etc.

IPS ANNEX C
RESOURCES - SUMMARY OF SYSTEM ACQUISITION COSTS [1]

SOURCES OF FUNDING	CURRENT DOLLARS (MILLIONS)	
Department of the Army		$XXXXX
Program Element XXXXX	$XXXXX	
Program Element XXXXX	XXXXX	
Department of the Navy		XXXXX
Program Element XXXXX	$XXXXX	
Department of the Air Force		XXXXX
Program Element XXXXX	$XXXXX	
Defense Agencies		XXXXX
Program Element XXXX	$XXXXX	
Other U.S. Government		XXXXX
Other Foreign		XXXXX
TOTAL FUNDING		$XXXXX

APPLICATIONS	CURRENT DOLLARS (MILLIONS)	
Major System Equipment	$XXXXX	
System Project Manager	XXXXX	
System Test and Evaluation	XXXXX	
Peculiar Support Equipment	XXXXX	
Training	XXXXX	
Data	XXXXX	
Operational Site Acquisition	XXXXX	
Industrial Facilities	XXXXX	
Common Support Equipment	XXXXX	
Initial Spares and Repair Parts	XXXXX	
TOTAL FUNDING		$XXXXX

1 Refer to DoD Instruction 5000.33 (reference (u)).

IPS ANNEX D
MANPOWER

The IPS will have a one page Manpower annex including the following:

A. Current manpower estimate for military force structure:[1]

	UNIT MANNING [3]			PROGRAM TOTALS [5]		
UNIT TYPE [2]	PROGRAM ALTERNATIVE	REFERENCE SYSTEM	NO. OF UNITS [4]	ACTIVE MILITARY	RESERVE COMPONENT	OTHER

B. Contractor support and depot workload (Annual manhours per end item deployed) [6]:

	DSARC System	Reference System
Contractor Support (below depot)		
Depot Level Workload		

C. Net Change in Total Force Manpower associated with the proposed system deployment:

	Active Forces	Reserves	DoD Civilians
Number of Authorizations			

1 Not required at Milestone 1.
2 List each unit type that will operate the system/primary system elements, including unit types that provide imtermediate maintenance of system components. Examples of unit types are "Tank Battalion," "Munitions Maintenance Squadron," "Avionics Intermediate Maintenance Department."
3 For each unit type, show the manning required to satisfy the most demanding mission (normally combat employment, but may be pre-combat readiness for certain naval vessels and systems on alert). Show total unit manning for operating units, organizational level direct support units, and dedicated intermediate support units. For units that provide intermediate level support to many primary systems, such as naval shore based intermediate maintenance departments, show manning equivalent of the man years of work attributable to program the alternative. Denote manning equivalents with an asterisk.

4 Number of units of each type in the planned force structure for the program alternative.

5 Multiply number of units by unit manning, and equivalent manning by quantity of systems deployed, to obtain total manning required for units operating and/or supporting the program alternative system. Show how these requirements are expected to be satisfied as: active military authorizations, reverse component authorizations, and/or other to be identified in footnote. Unprogramed requirements must be shown as "other."

6 Annual man years of below-depot contractor support divided by the planned quantity of the system in the force structure, and the annual man years for depot level maintenance of the system and its components divided by the planned quantity of the system in the force structure. Not required at Milestone I.

IPS ANNEX E
LOGISTICS

The IPS will have a one-page Logistics Annex. The following provides general format guidance, but should be tailored to meet the needs of each new system.

	New System[1] Alt. 1	Alt. 2	Alt. 3	Current System[2]
1. System Readiness Objectives				
Peacetime Readiness 3				
Wartime Employment 4				
2. Design Parameters				
Reliability 5				
Maintainability 6				
Built-in-test Effectiveness 7				
3. Logistics Parameters				
Resupply Time				
Spares Requirement 8				

1 Include one column for each program alternative. For each parameter provide an estimate at system maturity based on analyses and tests to date.
2 Identify a comparable system in current operation.
3 Appropriate peacetime measures such as Operational Readiness at peacetime utilization rate, supply and maintenance downtime rates.
4 Appropriate wartime measure for the system such as sortie generation rate, operational availability at combat utilization rate, station coverage rate.
5 Appropriate logistic-related reliability parameters such as mean time between maintenance actions or removals.
6 Appropriate maintainability measures for the system such as mean time to repair, maintenance manhours per maintenance action.
7 If applicable to the system, include fault detection, fault isolation, and false alarm rates.
8 Estimate of spares investment required to meet system readiness objectives at stated logistic-related reliability levels. May be stated as requirement per site or operating unit, or for entire fleet, as appropriate.

DOD POLICY ISSUANCES RELATED TO ACQUISITION OF MAJOR SYSTEMS

A. DEFENSE ACQUISITION REGULATION
(FORMERLY ARMED SERVICES PROCUREMENT REGULATION)

B. ADMINISTRATION - GENERAL

4105.55	(D)	Selection and Acquisition of Automatic Data Processing Resources
4275.5	(D)	Acquisition and Management of Industrial Resources
5000.4	(D)	OSD Cost Analysis Improvement Group
5000.16	(D)	Joint Logistics and Personnel Policy and Guidance (JCS Publication No. 3)
5000.23	(D)	System Acquisition Management Careers
5000.29	(D)	Management of Computer Resources in Major Defense Systems
5100.40	(D)	Responsibility for the Administration of the DoD Automatic Data Processing Program
5220.22	(D)	Department of Defense Industrial Security Program
5500.15		Review of Legality of Weapons Under International Law
7920.1	(D)	Life Cycle Management of Automated Information Systems (AIS)
7920.2	(D)	Major Automated Information System Approval Process

C. ADMINISTRATION - STANDARDIZATION OF TERMINOLOGY

5000.8		Glossary of Terms Used in the Areas of Financial, Supply and Installation Management
5000.9	(D)	Standardization of Military Terminology
5000.11	(D)	Data Elements and Data Codes Standardization Program
5000.33		Uniform Budget/Cost Terms and Definition

D. COMMUNICATION/INFORMATION MANAGEMENT

5000.19	(D)	Policies for the Management and Control of Information Requirements
5000.20	(D)	Management and Dissemination of Statistical Information
5000.22		Guide to Estimating Cost of Information Requirements
5000.32		DoD Acquisition Management Systems and Data Requirements Control Program
5230.3	(D)	Information Releases by Manufacturers
C-5230.3	(D)	Public Statements on Foreign and Military Policy and on Certain Weapons (U)
5230.4	(D)	Release of Information on Atomic Energy, Guided Missiles and New Weapons
5230.9	(D)	Clearance of Department of Defense Public Information
5400.4	(D)	Provision of Information to Congress
5400.7	(D)	Availability to the Public of Department of Defense Information

E. CONTRACT MANAGEMENT

1100.11	(D)	Equal Employment Opportunity, Government Contracts
4000.19	(D)	Basic Policies and Principles for Inter-service, Interdepartmental and Interagency Support
4105.60		Department of Defense High Dollar Spare Parts Breakout Program
4105.62	(D)	Selection of Contractual Sources for Major Defense Systems
4140.41		Government-Owned Materiel Assets Utilized as Government-Furnished Materiel for Major Acquisition Programs
4160.22	(D)	Recovery and Utilization of Precious Metals

5010.8	(D)	DoD Value Engineering Program
7800.1	(D)	Defense Contract Financing Policy

F. INTEGRATED LOGISTICS

4100.35	(D)	Development of Integrated Logistic Support for Systems/Equipments
4130.2	(D)	The Federal Catalog System
4140.19		Phased Provisioning of Selected Items for Initial Support of Weapons Systems, Support Systems, and End Items of Equipment
4140.40	(D)	Basic Ojectives and Policies on Provisioning of End Items of Materiel
4140.42		Determination of Initial Requirements for Secondary Item Spare and Repair Parts
4151.7		Uniform Technical Documentation for Use in Provisioning of End Items of Materiel
4151.15		Depot Maintenance Programming Policies
5100.63		Provisioning Relationships Between the Military Departments/Defense Agencies and Commodity Integrated Materiel Managers

G. INTERNATIONAL COOPERATION

2000.3	(D)	International Interchange of Patent Rights and Technical Information
2000.9	(D)	International Co-Production Projects and Agreements Between the U.S. and other Countries or International Organizations
2010.6	(D)	Standardization and Interoperability of Weapon Systems and Equipment within the North Atlantic Treaty Organization (NATO)
2010.7	(D)	Policy on Rationalization of NATO/NATO Member Telecommunication Facilities
2015.4		Mutual Weapon Development Data Exchange Program (MWDDEP) and Defense Development Exchange Program (DDEP)
2035.1	(D)	Defense Economic Cooperation with Canada

2045.2		Agreements with Australia and Canada for Qualification of Products of Non-Resident Manufacturers
2100.3	(D)	United States Policy Relative to Commitments to Foreign Governments Under Foreign Assistance Programs
2140.1		Pricing of Sales of Defense Articles and Defense Services to Foreign Countries and International Organizations
2140.2	(D)	Recoupment of Nonrecurring Costs on Sales of USG Products and Technology
3100.3	(D)	Cooperation with Allies in Research and Development of Defense Equipment
3100.4	(D)	Harmonization of Qualitative Requirements for Defense Equipment of the United States and Its Allies
3100.8		The Technical Cooperation Program (TTCP)
4155.19		NATO Quality Assurance
5100.27	(D)	Delineation of International Logistics Responsibilities
5230.11	(D)	Disclosure of Classified Military Information to Foreign Governments and International Organizations
5230.17	(D)	Procedures and Standards for Disclosure of Military Information to Foreign Activities
5530.3	(D)	International Agreements

H. PLANS - CONSERVATION OF RESOURCES

4170.9		Defense Contractor Energy Shortages and Conservation
6050.1	(D)	Environmental Effects on the United States of DoD Actions

I. PLANS - MATERIAL AVAILABILITY, WAR RESERVE AND MOBILIZATION

3005.5	(D)	Criteria for Selection of Items for War Reserve
4005.1	(D)	DoD Industrial Preparedness Production Planning
4005.3		Industrial Preparedness Production Planning Procedures
4005.16	(D)	Diminishing Manufacturing Sources and Material Shortages (DMSMS)
4100.15	(D)	Commercial or Industrial-Type Activities
4151.16	(D)	DoD Equipment Maintenance Program
4210.1		Department of Defense Coded List of Materials
4210.7		Controlled Materials Requirements
4210.8		Department of Defense Bills of Materials
4410.3		Policies and Procedures for the DoD Master Urgency List (MUL)
4410.4	(D)	Military Production Urgencies System
5160.54	(D)	Industrial Facilities Protection Program - DoD Key Facilities List
5220.5	(D)	Industrial Dispersal

J. PRODUCTION, QUALITY ASSURANCE, TEST AND EVALUATION

4155.1	(D)	Quality Program
4200.15		Manufacturing Technology Program
5000.3	(D)	Test and Evaluation
5000.34	(D)	Defense Production Management
5000.38	(D)	Production Readiness Reviews
5010.20	(D)	Work Breakdown Structures for Defense Materiel Items

5160.65	(D)	Single Manager Assignment for Conventional Ammunition

K. RESOURCE MANAGEMENT

7000.1	(D)	Resource Management Systems of the Department of Defense
7000.2		Performance Measurement for Selected Acquisitions
7000.3		Selected Acquisition Reports (SAR)
7000.10		Contract Cost Performance, Funds Status and Cost/Schedule Status Reports
7000.11		Contractor Cost Data Reporting (CCDR)
7041.3		Economic Analysis and Program Evaluation for Resource Management
7045.7		The Planning, Programming and Budgeting System
7200.4	(D)	Full Funding for DoD Procurement Programs

L. TECHNICAL MANAGEMENT - GENERAL

1130.2	(D)	Management and Control of Engineering & Technical Services
4630.5	(D)	Compatibility and Commonality of Equipment for Technical Command and Control, and Communications
5010.12		Management of Technical Data
5010.19	(D)	Configuration Management
5100.30	(D)	Worldwide Military Command and Control Systems (WWMCCS)
5100.36	(D)	Department of Defense Technical Information
5100.38		Defense Documentation Center for Scientific and Technical Information (DDC)
5100.45		Centers for Analysis of Scientific and Technical Information
5200.20	(D)	Distribution Statements on Technical Documents
5200.21		Dissemination of DoD Technical Information

7720.13		Research and Technology Work Unit Information System
7720.16		Research and Development Planning Summary (DD Form 1634) for Research and Development Program Planning Review

M. TECHNICAL MANAGEMENT - DESIGN PARAMETERS

3224.1	(D)	Engineering for Transportability
4100.14		Packaging of Materiel
4120.3	(D)	Defense Standardization and Specification Program
4120.11	(D)	Standardization of Mobile Electric Power Generating Sources
4120.18	(D)	Metric System of Measurement
4120.19		Department of Defense Parts Control System
4120.20		Development and Use of Non-Government Specifications and Standards
4120.21	(D)	Specifications and Standards Application
4140.43	(D)	Department of Defense Liquid Hydrocarbon Fuel Policy for Equipment Design, Operation, and Logistics Support
4151.1	(D)	Use of Contractor and Government Resources for Maintenance of Materiel
4151.9		Technical Manual (TM) Management
4151.11		Policy Governing Contracting for Equipment Maintenance Support
4151.12		Policies Governing Maintenance Engineering within the Department of Defense
4500.37		Ownership and Use of Containers for Surface Transportation and Configuration of Shelters/ Special-Purpose Vans

4500.41		Transportation Container Adaptation and Systems Development Management
C-4600.3	(D)	Electric, Counter-Counter Measures (ECCM) Policy (U)
4630.5	(D)	Compatability and Commonality of Equipment for Tactical Command and Control and Communications
5000.28	(D)	Design-to-Cost
5000.36		System Safety Engineering and Management
5000.37		Acquisition and Distribution of Commercial Products
5100.50	(D)	Protection and Enhancement of Environmental Quality
5148.7	(D)	The Joint Tactical Communications (TRI-TAC) Program
6055.2		Personal Protective Equipment

December 26, 1979
NUMBER 5000.3

USDR&E

Department of Defense Directive

SUBJECT: Test and Evaluation

Reference: (a) DoD Directive 5000.3, "Test and Evaluation," April 11, 1978 (hereby canceled)
(b) DoD Directive 5000.1, "Major System Acquisitions," January 18, 1977
(c) DoD Directive 5000.2, "Major System Acquisition Process," January 18, 1977
(d) DoD Directive 3200.11 "Use, Management and Operation of Department of Defense Major Ranges and Test Facilities," June 18, 1974
(e) DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976

A. REISSUANCE AND PURPOSE

This Directive reissues reference (a) and establishes policy for the conduct of test and evaluation in the acquisition of defense systems; designates the Director Defense Test and Evaluation (DDTE) as having overall responsibility for test and evaluation matters within the Department of Defense; defines responsibilities of the DDTE, organization of the Joint Chiefs of Staff (OJCS) and DoD Components; and provides guidance for the preparation and submission of Test and Evaluation Master Plans.

B. APPLICABILITY AND SCOPE

1. The provisions of this Directive apply to the Military Departments and the Defense Agencies (hereafter referred to as "DoD Components"), the Office of the Secretary of Defense (OSD), the OJCS, and the Unified and Specified Commands. As used herein, the term "Military Services" refers to the Army, Navy, Air Force, and Marine Corps.

2. These provisions encompass major defense system acquisition programs, as designated by the Secretary of Defense under DoD Directive 5000.1 (reference (b)), and apply to all DoD Components that are responsible for such programs. In addition, the management of system programs not designated as major system acquisitions shall be guided by the principles set forth in this Directive.

4500.41		Transportation Container Adaptation and Systems Development Management
C-4600.3	(D)	Electric, Counter-Counter Measures (ECCM) Policy (U)
4630.5	(D)	Compatability and Commonality of Equipment for Tactical Command and Control and Communications
5000.28	(D)	Design-to-Cost
5000.36		System Safety Engineering and Management
5000.37		Acquisition and Distribution of Commercial Products
5100.50	(D)	Protection and Enhancement of Environmental Quality
5148.7	(D)	The Joint Tactical Communications (TRI-TAC) Program
6055.2		Personal Protective Equipment

December 26, 1979
NUMBER 5000.3

USDR&E

Department of Defense Directive

SUBJECT: Test and Evaluation

Reference: (a) DoD Directive 5000.3, "Test and Evaluation," April 11, 1978 (hereby canceled)
(b) DoD Directive 5000.1, "Major System Acquisitions," January 18, 1977
(c) DoD Directive 5000.2, "Major System Acquisition Process," January 18, 1977
(d) DoD Directive 3200.11 "Use, Management and Operation of Department of Defense Major Ranges and Test Facilities," June 18, 1974
(e) DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976

A. REISSUANCE AND PURPOSE

This Directive reissues reference (a) and establishes policy for the conduct of test and evaluation in the acquisition of defense systems; designates the Director Defense Test and Evaluation (DDTE) as having overall responsibility for test and evaluation matters within the Department of Defense; defines responsibilities of the DDTE, organization of the Joint Chiefs of Staff (OJCS) and DoD Components; and provides guidance for the preparation and submission of Test and Evaluation Master Plans.

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C. DEFINITIONS

Terms used in this Directive are defined in enclosure 1.

D. POLICIES AND RESPONSIBILITIES

1. General

a. Test and evaluation (T&E) shall begin as early as possible and be conducted throughout the system acquisition process to assess and reduce acquisition risks and to estimate the operational effectiveness and operational suitability of the system being developed. Meaningful critical issues, test objectives, and evaluation criteria related to the satisfaction of mission need shall be established before tests begin.

b. Successful accomplishment of T&E objectives will be a key requirement for decisions to commit significant additional resources to a program or to advance it from one acquisition phase to another. Acquisition schedules, financial plans, and contractual arrangements shall be based on this principle.

c. Dependence on subjective judgment concerning system performance shall be minimized during testing. To the extent permitted by resource constraints and the need for realistic test environments, appropriate test instrumentation will be used to provide quantitative data for system evaluation.

2. Development Test and Evaluation (DT&E). DT&E is that T&E conducted to assist the engineering design and development process and to verify attainment of technical performance specifications and objectives. DT&E is normally accomplished or managed by the DoD Component's materiel development agency. It includes T&E of components, subsystems, hardware/software integration, related software, and prototype or full-scale engineering development models of the system. T&E of compatibility and interoperability with existing or planned equipment and systems are also included.

a. During the system acquisition phase before the decision Milestone I, DT&E shall be accomplished, when appropriate, to assist in selecting preferred alternative system concepts.

b. Before the Milestone II decision, adequate DT&E shall be accomplished to identify the preferred technical approach, including the identification of technical risks and feasible solutions.

c. Before the Milestone III decision, adequate DT&E shall be accomplished to ensure that engineering is reasonably complete (including survivability/ vulnerability, compatibility, transportability, interoperability, reliability, maintainability, safety, human

factors, and logistic supportability), that all significant design problems have been identified, and that solutions to these problems are in hand.

d. After the Milestone III decision, DT&E shall be an integral part of the development, acceptance, and introduction of system changes to improve the system, react to new threats, and reduce life cycle costs.

e. For systems that interface with equipment of another DoD Component or that may be acquired by more than one DoD Component, multiservice DT&E may be required. Such testing shall include appropriate participation and support by all affected DoD Components.

f. The DoD Component's developing agency shall structure acquisition programs, make information available, and arrange for the DoD Component's independent operational test and evaluation (OT&E) agency's participation in development testing, as appropriate, to support OT&E objectives.

3. Operational Test and Evaluation (OT&E). OT&E is that T&E conducted to estimate a system's operational effectiveness and operational suitability, identify needed modifications, and provide information on tactics, doctrine, organization, and personnel requirements. Acquisition programs shall be structured so that OT&E begins as early as possible in the development cycle. Initial operational test and evaluation (IOT&E) must be accomplished prior to the Milestone III decision.

a. In each DoD Component there shall be one major field agency, separate and distinct from the materiel developing/procuring agency and from the using agency, responsible for managing operational testing and for reporting test results and its independent evaluation of the system under test directly to the Military Service Chief or Defense Agency Director.

b. OT&E shall be accomplished in an environment as operationally realistic as possible. Typical operational and support personnel will be used to obtain a valid estimate of the users' capability to operate and maintain the system when deployed under both peacetime and wartime conditions.

c. During the system acquisition phase before the Milestone I decision OT&E will be accomplished, as appropriate, to assess the operational impact of candidate technical approaches and to assist in selecting preferred alternative system concepts.

d. Before the Milestone II decision OT&E will be accomplished, as necessary, to examine the operational aspects of the selected alternative technical approaches and estimate the potential operational effectiveness and suitability of candidate systems. Decisions made at Milestone

II to commit funds for production long lead items or limited production must be supported by OT&E results.

e. Before the Milestone III decision, adequate OT&E shall be accomplished to provide a valid estimate of the system's operational effectiveness and suitability. The items tested must be sufficiently representative of the expected production items to ensure that a valid assessment can be made of the system expected to be produced.

f. After the Milestone III decision during initial production and deployment of the system, the DoD Component's OT&E agency will manage follow-on OT&E (FOT&E), as necessary, to ensure that the initial production items meet operational effectiveness and suitability thresholds and to evaluate system, manpower, and logistic changes to meet mature system readiness and performance goals.

g. When systems have an interface with equipment of another DoD Component or may be acquired by more than one DoD Component, multiservice OT&E shall be accomplished. Such testing shall include participation and support by all affected DoD Components. An independent evaluation shall be submitted by the OT&E agency of each participating DoD Component.

h. Throughout the system acquisition process, the DoD Component's OT&E agency shall:

(1) Ensure that OT&E is effectively planned and accomplished during all acquisition phases.

(2) Participate in initial system acquisition planning and test design to ensure adequacy of the planned schedules, testing, and resources to meet OT&E objectives and to ascertain which portions of DT&E can contribute to the accomplishment of OT&E objectives.

(3) Monitor, participate in as appropriate, and review the results of DT&E to obtain information applicable to OT&E objectives.

(4) Ensure that the operational testing and applicable development testing, and data collected, are sufficient and credible to support its analysis and evaluation needs.

(5) Provide an independent evaluation of OT&E results at key decision milestones. The Milestone III evaluation shall include recommendations regarding the system's readiness for operational use.

(6) Bring directly to the attention of its Military Service Chief, or Defense Agency Director, issues which impact adversely upon the accomplishment of adequate OT&E.

4. Combining Development and Operational Testing. Planning for DT&E and OT&E shall be coordinated at the test design stages so that

each test phase uses resources efficiently to yield the data necessary to satisfy common needs of the materiel developing agency and the OT&E agency. Development and operational tests may be combined when clearly identified and significant cost and time benefits will result, provided that the necessary resources, test conditions, and test data required by both the developing agency and the OT&E agency can be obtained. Participation by the OT&E agency in the planning and execution of tests must be sufficient to ensure that the testing conducted and data collected are sufficient and credible to meet the OT&E agency's requirements. When a combined testing program is chosen, it will normally include dedicated operational test events, and the final period of testing prior to the Milestone III decision will emphasize appropriate separate operational testing managed by the DoD Component's OT&E agency. In all cases, the OT&E agency shall provide a separate and independent evaluation of the test results.

5. T&E for Major Ships of a Class. The long design, engineering, and construction period of a major ship will normally preclude completion of the lead ship and accomplishment of tests thereon prior to the decision to proceed with follow-on ships. In lieu thereof, successive phases of DT&E and OT&E shall be accomplished as early as feasible at land-based or sea-based test installations and on the lead ship to reduce risk and minimize the need for modification to follow-on ships.

a. When combat system complexity warrants, there shall be one or more combat system test installations constructed where the weapon, sensor, and information processing subsystems are integrated in the manner expected in the ship class. These test installations may be land-based, sea-based, or both, depending on test requirements. Adequate DT&E and OT&E of these integrated subsystems shall be accomplished prior to the first major production decision on combat systems. To the degree feasible, first generation subsystems shall be approved for Service use prior to the initiation of integrated operational testing. When subsystems cannot be Service-approved before this integrated operational testing, their operational suitability and effectiveness shall be examined at the test installation as early as possible in the acquisition cycle.

b. For new ship types that incorporate major technological advances in hull or nonnuclear propulsion design, a prototype incorporating these advances shall be employed. If the major technological advances affect only certain features of the hull or nonnuclear propulsion design, the test installation need incorporate only those features. Adequate T&E on such prototypes shall be completed before the first major production decision on follow-on ships.

c. The prototyping of Navy nuclear propulsion plants will be accomplished in accordance with the methods in use by the Department of Energy (DoE).

d. For all new ship classes, continuing phases of OT&E on the lead ship shall be conducted at sea as early in the acquisition process as possible for specified systems or equipment and, if required, for the full ship to the degree feasible.

e. A description of the subsystems to be included in any test installation or test prototype, the schedules to accomplish T&E, and any exceptions to the above policies shall be provided in the initial and any subsequent milestone decision documentation for approval by the Secretary of Defense.

6. Test and Evaluation of Computer Software. The provisions of this Directive apply to the software components of defense systems as well as to hardware components.

a. Quantitative and demonstrable performance objectives and evaluation criteria shall be established for computer software during each system acquisition phase. Testing shall be structured to demonstrate that software has reached a level of maturity appropriate to each phase. Such performance objectives and evaluation criteria shall be established for both full-system and casualty mode operations. For embedded software, performance objectives and evaluation criteria shall be included in the performance objectives and evaluation criteria of the overall system.

b. Decisions to proceed from one phase of software development to the next will be based on quantitative demonstration of adequate software performance through appropriate T&E.

c. Before release for operational use, software developed for either new or existing systems shall undergo sufficient operational testing as part of the total system to provide a valid estimate of system effectiveness and suitability in the operational environment. Such testing shall include combined hardware/software and interface testing under realistic conditions, using typical operator personnel. The evaluation of test results shall include an assessment of operational performance under other possible conditions which were not employed, but which could occur during operational use.

d. The OT&E agencies shall participate in the early stages of software planning and development to ensure that adequate consideration is given to the system's operational use and environment, and early development of operational test objectives and evaluation criteria.

7. T&E for One-of-a-Kind Systems. Some programs, particularly space, large-scale communications, and electronic system programs, involve procurement of a few items over an extended period. For these programs, the principles of DT&E of components, subsystems, and prototype or first production models of the system shall be applied. Compatibility and interoperability with existing or planned equipment shall be tested during DT&E and OT&E. OT&E shall be accomplished prior to the production decision or initial acceptance of the system to

provide a valid estimate of operational effectiveness and operational suitability. Subsequent OT&E may be conducted to refine estimates and ensure deficiencies are corrected.

8. Production Acceptance Test and Evaluation (PAT&E). PAT&E is T&E of production items to demonstrate that procured items fulfill the requirements and specifications of the procuring contract or agreements. Each DoD Component is responsible for accomplishing PAT&E.

9. T&E Master Plan (TEMP). The DoD Component shall prepare and submit, before Milestone I and each subsequent decision milestone, a TEMP for OSD approval. This broad plan shall relate test objectives to required system characteristics and critical issues, and integrate objectives, responsibilities, resources, and schedules for all T&E to be accomplished. Guidelines for preparation and submission of the TEMP are at enclosure 2.

10. Changes to TEMPs. The DoD Component shall ensure that any significant changes made in the test program after approval are reported promptly to the DDTE, with the reason for change.

11. Acquisition Milestone Decisions. The DDTE provides T&E assessments to support system acquisition milestone decisions. The DoD Components shall, in addition to providing the information specified in DoD Directive 5000.2 (reference (c)) and TEMPs in accordance with enclosure 2, provide the following additional information to the DDTE for use in making T&E assessments. When testing has been accomplished, appropriate test reports shall be provided as early as possible prior to milestone decision points. Other available supporting information including system operational concepts, how tests were accomplished, and test limitations shall be provided upon request of the DDTE. In addition, the DoD Component shall inform the DDTE of significant progress toward, or problems with, meeting significant test objectives during the conduct of test programs.

12. Joint T&E (JT&E) Program. When required and as initiated by the DDTE, JT&E will be conducted. In addition to examining the capability of developmental and deployed systems to perform their intended mission, JT&Es may also be conducted to provide information for technical concepts evaluation, system requirements, system improvements, systems interoperability, force structure planning, developing or improving testing methodologies, and obtaining information pertinent to doctrine, tactics, and operational procedures for joint operations. Testing shall be accomplished in realistic operational conditions, when feasible and essential to the evaluation. Responsibility for managing the practical aspects of each JT&E will be delegated to a specific DoD Component, and supported by forces and material from participating Components.

13. Participation by the Joint Chiefs of Staff (JCS) in JT&E Programs. As the proponent for joint procedures and interoperability

of deployed forces, the JCS have a requirement for JT&E results that provide information on joint doctrine, tactics, and operational procedures. Joint testing objectives will be addressed, when feasible, in conjunction with scheduled JCS exercises to minimize resource impact and provide economies. When JT&E and JCS exercises are integrated, the JCS will participate, as appropriate, in testing involving joint force interoperability to ensure compatibility of exercise and JT&E objectives.

a. The JCS shall annually coordinate, for submission to the DDTE, JT&E nominations by the Joint Staff, the Military Services, and the Commanders in Chief (CINC) of the Unified and Specified Commands. This does not preclude direct nominations to the DDTE from the Military Services or CINCs for JT&E activities that are inappropriate for JCS consideration or out of phase with the JCS nominations.

b. The list of nominations shall be prioritized for each fiscal year. To the extent feasible, it shall identify the participating Military Services, identify tests with potential for integration with JCS exercises, and recommend a lead Service or CINC to conduct the JT&E.

c. Control and OSD sponsorship of JT&E will be exercised by the DDTE. The DDTE, in coordination with the JCS, will task the selected lead Service or, through the JCS, the selected CINC to conduct the test, incorporate the test into joint exercises, as appropriate, appoint a Joint Test Director, develop the test plans, and provide reports, as required.

d. The Military Services, CINCs (if appropriate), and the Joint Staff shall participate in or monitor the JT&E definition and test design efforts, and coordinate the results of these before the commitment of resources.

E. WAIVERS

Waiver of the provisions of this Directive may be granted only by the Secretary of Defense.

F. EXCLUSIONS

Nuclear subsystem T&E governed by joint DoD/DoE agreements are excluded from the provisions of this Directive.

G. RESPONSIBILITIES OF THE DIRECTOR DEFENSE TEST AND EVALUATION

The Director Defense Test and Evaluation shall:

1. Review T&E policy and procedures applicable to the Department of Defense as a whole and recommend changes to the Secretary of Defense.

2. Coordinate T&E instructions to the DoD Components and resolve T&E management problems between DoD Components.

3. Monitor the T&E planned and conducted by the DoD Components for major acquisition programs and for other programs, as necessary.

4. Manage the consideration and review of TEMPs within OSD, and review and comment on system T&E aspects of DCPs and other documents concerned with system acquisition T&E.

5. For major system acquisition programs, provide to the Defense Acquisition Executive, the Defense System Acquisition Review Council (DSARC), the Worldwide Military Command and Control System Council, as appropriate, and the Secretary of Defense an assessment of the adequacy of testing accomplished, an evaluation of test results, and an assessment of the adequacy of testing planned for the future to support system acquisition milestone decisions.

6. Initiate and sponsor technically and operationally oriented JT&E with specific delegation to appropriate DoD Components of all practical JT&E aspects.

7. Fulfill OSD responsibilities for the Major Range and Test Facility Base (MRTFB) in accordance with DoD Directive 3200.11 (reference (d)).

8. Monitor, to the extent required to determine the applicability of results to system acquisitions or modifications, that T&E:

a. Directed by the JCS that relates to the Single Integrated Operational Plan (SIOP) as it affects system technical characteristics.

b. Conducted primarily for development or investigation of tactics, organization, or doctrinal concepts that affect system technical characteristics.

9. Review those program elements that relate to DoD Component independent test agency, test facility, and test resource budgets.

H. INFORMATION REQUIREMENTS

The reporting requirements prescribed by this Directive are exempt from formal approval and control in accordance with subparagraph VII.D. of enclosure 3 to DoD Directive 5000.19 (reference (e)).

I. EFFECTIVE DATE AND IMPLEMENTATION

This Directive is effective immediately. Forward two copies of implementing documents to the Under Secretary of Defense for Research and Engineering within 120 days.

W. Graham Claytor, Jr.
Deputy Secretary of Defense

Enclosures - 2
1. Definitions
2. Test and Evaluation Master Plan (TEMP) Guidelines

DEFINITIONS[1]

Acquisition Risk. The chance that some element of an acquisition program produces an unintended result with adverse effect on system effectiveness, suitability, cost, or availability for deployment.

Availability. A measure of the degree to which an item is in an operable and commitable state at the start of a mission when the mission is called for at an unknown (random) time.

Combat System Test Installation. A collection of subsystems including weapons, sensor, and information processing equipment, together with their interfaces installed, for the purposes of early testing before the availability of a first production item, at a fixed or mobile test facility designed to simulate the essential parts of the production item.

Critical Issues. Those aspects of a system's capability, either operational, technical, or other, that must be questioned before a system's overall worth can be estimated, and that are of primary importance to the decision authority in reaching a decision to allow the system to advance into the next acquisition phase.

Evaluation Criteria. Standards by which achievement of required operational effectiveness/suitability characteristics, or resolution of technical or operational issues may be judged. At Milestone II and beyond, evaluation criteria must include quantitative goals (the desired value) and thresholds (the value beyond which the characteristic is unsatisfactory).

JT&E Program. An OSD program for JT&E, sponsored by the DDTE, structured to evaluate or provide information on system performance, technical concepts, system requirements or improvements, systems interoperability, improving or developing testing methodologies, or for force structure planning, doctrine or procedures.

Logistic Supportability. The degree to which the planned logistics (including test equipment, spares and repair parts, technical data, support facilities, and training) and manpower meet system availability and wartime usage requirements.

Long Lead Items. Those components of a system or piece of equipment that take the longest time to procure and, therefore, may require an early commitment of funds in order to meet acquisition schedules.

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[1]Terms defined in JCS Pub. 1, "Department of Defense Directory of Military and Associated Terms," are not included except for the term "Vulnerability," for which supplementary information is provided concerning its specific application in this Directive.

Maintainability. The ability of an item to be retained in or restored to specified condition when maintenance is performed by personnel having specified skill levels, using prescribed procedures and resources, at each prescribed level of maintenance and repair.

Multiservice T&E. T&E conducted by two or more DoD Components for systems to be acquired by more than one DoD Component, or for a DoD Component's systems that have interfaces with equipment of another DoD Component.

Operational Effectiveness. The overall degree of mission accomplishment of a system used by representative personnel in the context of the organization, doctrine, tactics, threat (including countermeasures and nuclear threats) and environment in the planned operational employment of the system.

Operational Suitability. The degree to which a system can be satisfactorily placed in field use, with consideration being given availability, compatibility, transportability, interoperability, reliability, wartime usage rates, maintainability, safety, human factors, manpower supportability, logistic supportability, and training requirements.

Pilot Production Item. An item produced from a limited production run to demonstrate the capability to mass produce the item for operational use.

Pre-Production Prototype. An article in final form employing standard parts, representative of articles to be produced subsequently in a production line.

Realistic Test Environment. The conditions under which the system is expected to be operated and maintained, including the natural weather and climatic conditions, terrain effects, battlefield disturbances, and enemy threat conditions.

Reliability. The duration or probability of failure-free performance under stated conditions.

Reliability, Mission. The ability of an item to perform its required functions for the duration of a specified mission profile.

Required Operational Characteristics. System parameters that are primary indicators of the system's capability to be employed to perform the required mission functions, and to be supported.

Required Technical Characteristics. System parameters selected as primary indicators of achievement of engineering goals. These may not be direct measures of, but should always relate to the system's capability to perform the required mission functions, and to be supported.

Survivability. The degree to which a system is able to avoid or withstand a hostile environment without suffering an abortive impairment of its ability to accomplish its designated mission.

Vulnerability. For weapon system acquisition decisions, three considerations are critical in assessing system vulnerability: susceptibility--a system limitation or weakness (may not be exploitable); accessibility--the openness of a system to exploitation by a countermeasures technique; and feasibility--the practicality and probability of an adversary exploiting a susceptibility in combat.

TEST AND EVALUATION MASTER PLAN (TEMP) GUIDELINES

A. SCOPE AND APPLICABILITY

The provisions of these Guidelines encompass major defense system acquisition programs as designated by the Secretary of Defense and certain other important programs for which a TEMP is specifically requested by the DDTE and apply to all DoD Components responsible for such programs.

B. POLICIES AND PROCEDURES

1. The TEMP is the primary document used in the OSD review and decision process to assess the adequacy of the planned testing and evaluation. As such, the TEMP must be of sufficient scope and content to explain the entire T&E program.

2. Each TEMP submitted to OSD should be a summary document of not more than 30 pages, detailed only to the extent necessary to show the rationale for the kind, amount, and schedules of the testing planned. It must, however, relate the T&E effort clearly to technical risks, operational issues and concepts, system performance, reliability, availability, maintainability and logistic requirements, and major decision points. It should also explain the relationship of the various simulations, subsystem tests, integrated system development tests and initial operational tests which, when analyzed in combination, provide confidence in the system's readiness to proceed into the next acquisition phase or into fully capable service. The TEMP must address the T&E to be accomplished in each program phase, with the next phase addressed in the most detail. TEMPs supporting the production and initial deployment decision must include the T&E planned to verify correction of deficiencies, production acceptance testing, and follow-on OT&E.

3. Five copies of a draft TEMP will normally be submitted to the DDTE for OSD review and comment concurrent with submission of the "For Comment" DCP to the Acquisition Executive prior to the planned Decision Milestone I date. This draft will be revised if necessary after review by the DoD Component Acquisition Executive and submitted for OSD coordination at least 15 working days before the DSARC meeting (or decision milestone date if a DSARC meeting is not planned). The TEMP will be updated and submitted in accordance with these procedures before Milestones II and III. OSD approval of the TEMP, or redirection, will be provided following decision milestones.

C. CONTENT OF TEMP

Every TEMP submitted to OSD should contain the same kind of information, and the following format should be used as a guide. If more detail for internal use is desired, DoD Components may supplement the

TEMP with detachable annexes. At DoD Component discretion, Part I may be preceded by a page of administrative information (listing of responsible persons and offices involved in the procurement).

Part I - Description

1. Mission. Summarize the operational need, mission to be accomplished, and planned operational environment (conditions, natural and induced, in which it will operate). This section should relate directly to the Mission Element Need Statement (MENS) and planned system operational concept.

2. System. Briefly describe the system and how it works, to include:

a. Key functions of the system that permit it to accomplish its operational mission. Include, if practical, a mission/function matrix relating the primary functional capabilities that must be demonstrated by testing to the mission(s) to be performed and concept(s) of operation.

b. Interfaces with other systems that are required to accomplish the mission.

c. Unique characteristics of the system that make it different or better than alternative systems, or that lead to special test requirements (such as hardness to nuclear effects).

3. Required Operational Characteristics. List the key operational effectiveness and suitability characteristics, goals, and thresholds.

4. Required Technical Characteristics. List the key technical characteristics, performance goals, and thresholds.

Note: The characteristics listed in 3. and 4. above should include, but not be limited to, the characteristics identified in the Decision Milestone documentation. Clearly define these characteristics, particularly in the areas of reliability, availability, and maintainability. Indicate the program milestones at which the thresholds will be or have been demonstrated. If an interservice or international program, highlight any characteristics resulting from this circumstance. Prior to Milestone II, while tradeoffs of characteristics are underway, it may not be possible to establish firm goals or thresholds. In this case, those aspects of performance critical to the ability of the system to accomplish its mission should be identified.

5. Critical T&E Issues

a. Technical Issues. Briefly describe key areas of technological or engineering risk that must be addressed by testing.

b. Operational Issues. Briefly describe key operational effectiveness or suitability issues that must be addressed by testing.

Part II - Program Summary

1. Management. Outline the program and T&E management responsibilities of participating organizations. Highlight arrangements between participants for test data sharing, responsibilities for test management decisions, and management interfaces for multiservice T&E efforts. Discuss the adequacy of the planned test periods and schedule to provide confidence in test results.

2. Integrated Schedule. Display on one page (a foldout, if necessary) the integrated time sequencing of T&E for the entire program and related key events in the acquisition decision-making process. Include events such as program decision milestones, key subsystem demonstrations, test article availability, first flights, critical support resource availability, critical full-up system demonstrations, key OT&E events, first production deliveries, and initial operational capability date.

Part III - DT&E Outline. Discuss all DT&E in sufficient detail so that test objectives are related to the system operational concept and are clearly identified for each phase. Relate the planned testing to the critical technical issues appropriate to each phase. The near-term portion of the plan should contain the most detail; the long-range portions should be as specific as possible. The following information should be included.

1. DT&E to Date. Provide a summary of the DT&E already conducted based on the best available information. This section should set the stage for discussion of planned DT&E. Briefly describe test articles (for instance brassboard, advanced development model), with emphasis on how they differ from the planned production articles. Emphasize DT&E events and results related to required performance characteristics, critical issues, and requirements levied by earlier OSD decisions. Highlight technical characteristics or specification requirements that were demonstrated (or failed to be demonstrated). When simulations are a key part of the DT&E effort, describe how the simulations are confirmed.

2. Future DT&E. Discuss all remaining DT&E planned, beginning with the date of the current TEMP revision and extending through completion of planned production and modifications. Address separately each remaining phase of DT&E, including the following for each phase:

a. Equipment Description. Summarize the equipment's functional capability and how it is expected to differ from the production model.

b. DT&E Objectives. Summarize the specific DT&E objectives to be addressed during this phase. The objectives identified should be the discrete major goals of the DT&E effort, which, when achieved, will provide solutions to critical technical issues and demonstrate that the engineering effort is progressing satisfactorily. Broad, general objectives, such as "demonstrate that the design and development process is complete," are of no value. If the Secretary of Defense decision memorandum requires demonstration of specific technical characteristics in a given phase, identify those characteristics.

c. DT&E Events/Scope of Testing/Basic Scenarios. Summarize the key DT&E events planned to address the objectives. In addition, describe in sufficient detail the scope of testing and basic test scenarios so that the relationship between the testing and the objectives, and the amount and thoroughness of testing, are clearly apparent. Include subsystem tests and simulations when they are key elements in determining whether or not objectives will be achieved. Discuss reliability, availability, and maintainability testing, and define terms.

3. Critical DT&E Items. Highlight all items the availability of which are critical to the conduct of adequate DT&E prior to the next decision point. For example, if the item is not available when required, the next decision point may be delayed. If appropriate, display these critical items on the integrated schedule.

Part IV - OT&E Outline

Discuss all planned OT&E, from the earliest IOT&E through the FOT&E during initial production and deployment which addresses operational effectiveness and suitability and identifies deficiencies in the production system, in similar format and detail as that described in the DT&E outline (Part III). In the OT&E to Date section, which sets the stage for discussion of the planned OT&E, relate the test conditions and results to the operational effectiveness and suitability, as appropriate, of the systems being acquired. In this section and in Future OT&E, be sure to discuss the degree to which the test environment, including procedures and threat simulations, is representative of the expected operational environment. Also discuss the reliability testing concept, and the training and background of operational test personnel. In OT&E Objectives, present the major objectives that, when achieved, will establish the operational effectiveness and suitability of the system. Either present the objectives in terms of, or relate the objectives to, the system's operational effectiveness and suitability. In OT&E Events/Scope of Testing/Basic Scenarios, relate the testing to be performed to the OT&E objectives (for instance, specify test outcomes that satisfy the objectives). When development and operational testing are combined, some of Parts III and IV may be combined, as appropriate.

Part V - Production Acceptance Test and Evaluation (PAT&E)

Briefly describe the PAT&E planned to demonstrate that items procured fulfill the requirements and specifications of the procuring contract or agreements.

Part VI - Special Resource Summary

Provide a brief summary of the key resources for DT&E, OT&E, and PAT&E that are unique to the program.

1. Test Articles. Identify the actual number of articles, including key support equipments, of the system required for testing in each phase and for each major type of T&E (DT&E, OT&E, PAT&E). If key subsystems (components, assemblies, or subassemblies) are to be tested individually, identify each such subsystem and the quantity required. Specifically identify prototypes, pilot production, and production models.

2. Special Support Requirements (instrumentation, targets, threat simulations, test sites, facilities). Identify the special support resources required for T&E, and briefly describe the steps being taken to acquire them.

October 30, 1980
NUMBER 5000.4

Department of Defense Directive

ASD(PA&E)

SUBJECT: OSD Cost Analysis Improvement Group

References:
(a) DoD Directive 5000.4, "OSD Cost Analysis Improvement Group" June 13, 1973 (hereby canceled)
(b) DoD Directive 5000.1, "Major System Acquisitions," March 19, 1980
(c) DoD Instruction 5000.2, "Major System Acquisition Procedures," March 19, 1980
(d) DoD Directive 2010.6, "Standardization and Interoperability of Weapon Systems and Equipment Within the North Atlantic Treaty Organization," March 5, 1980
(e) DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976
(f) DoD Directive 5000.11, "Data Elements and Data Codes Standardization Program," December 7, 1964
(g) DoD Instruction 5000.33, "Uniform Budget/Cost Terms and Definitions," August 15, 1977

A. REISSUANCE AND PURPOSE

This Directive reissues reference (a), updating the permanent charter for the OSD Cost Analysis Improvement Group (CAIG).

B. APPLICABILITY

The provisions of this Directive apply to the Office of the Secretary of Defense (OSD), the Military Departments, the Organization of the Joint Chiefs of Staff (JCS), and the Defense Agencies (herein called "DoD Components").

C. ORGANIZATION

1. Membership. The OSD CAIG shall be composed of:

a. A Chair appointed by the permanent members of the Defense Systems Acquisition Review Council (DSARC), as defined in references (b) and (c).

b. One member appointed by each DSARC permanent member. The Chair shall be in addition to these CAIG members.

c. One member appointed by the Secretary of each Military Department.

d. Ad hoc representatives, as appointed by the CAIG Chair, for special purposes.

e. An Executive Group, made up of the Chair and the OSD/JCS members.

2. Responsiblities. The OSD CAIG shall act as the principal advisory body to the DSARC on matters related to cost. Members of the CAIG shall represent their functional areas in accord with the standing organizational role and mission of their office. The specific responsibilities include:

a. Providing the DSARC with a review and evaluation of independent and program office cost estimates prepared by the DoD Components for presentation at each DSARC. These cost reviews shall consider all elements of system life cycle costs, including research and development, investment, and operating and support.

b. Providing the DSARC with an independent analysis of cost implications of proposed coproduction programs in support of North Atlantic Treaty Organization standardization and interoperability (DoD Directive 2010.6 (reference (d)).

c. Establishing criteria and procedures (enclosure 1) concerning the preparation and presentation of cost estimates on defense systems to the DSARC and CAIG.

d. Maintaining an integrated cost analysis research program, with one of its primary functions to identify to OSD and the DoD Components where efforts are needed to improve the technical capability of the Department of Defense to make cost estimates of all major equipment classes.

e. Developing useful methods of formulating cost uncertainty and cost risk information and introducing them into the DSARC process.

f. Working with the DoD Components to determine what costs are relevant for consideration as part of the DSARC process, and developing techniques for identifying and projecting these costs.

g. Developing and implementing policy to provide for the appropriate collection, storage, and exchange of information concerning improved cost estimating procedures, methodology, and data necessary for cost estimating between OSD staffs, DoD Components, and outside organizations. The collection of information shall be consistent with the provisions of DoD Directive 5000.19 (reference (e)). Existing DoD standard data elements shall be used for all data requirements, when possible, in accordance with DoD Directive 5000.11 (reference (f)).

h. Providing an assessment or recommendations to the DSARC of all cost objectives before their inclusion in approved Secretary of Defense Decision Memoranda or similar documents that give direction to a DoD Component for the acquisition of a major defense system.

i. Helping to resolve issues that arise over the comparability and completeness of cost data to be reported on new cost data collection systems.

j. Accomplishing other tasks and studies, when requested by the DSARC principals.

3. Administration

a. Members shall be assembled for regular and executive meetings held at the call of the Chair.

b. Minutes shall be prepared for each CAIG meeting, executive and regular.

c. For each DSARC, a report shall be prepared that summarizes the CAIG's review and evaluation of DoD Component independent and program office cost estimates. Only the CAIG executive group shall assist in the preparation of these reports.

d. Special reports shall be prepared to document the results of other CAIG efforts.

D. EFFECTIVE DATE AND IMPLEMENTATION

This Directive is effective immediately. Forward two copies of implementing documents to the Assistant Secretary of Defense (Program Analysis and Evaluation) within 120 days.

W. Graham Claytor, Jr.
Deputy Secretary of Defense

Enclosure - 1
Criteria and Procedures for the Preparation and Presentation of Cost Analyses to the OSD CAIG

CRITERIA AND PROCEDURES FOR THE PREPARATION AND PRESENTATION OF COST ANALYSES TO THE OSD CAIG

A. OBJECTIVE AND ORGANIZATIONAL RESPONSIBILITY

1. The basic objective of the DoD Component presentations to CAIG is to explain in detail how the independent and program office cost estimates were prepared to permit the CAIG to provide the DSARC with a cost assessment.

2. The independent analysis should be prepared by an organization separate from the control and direction of the program or project office that is directly responsible for the acquisition of the defense system being reviewed.

B. SCOPE OF INDEPENDENT ANALYSIS

1. An independent cost analysis should be prepared for each alternative that will be presented to the DSARC. A complete description of these alternatives should be provided as part of the back-up documentation.

2. The independent analysis should provide a projection for all elements of life cycle costs to include the following:

a. Research and Development (R&D). The cost of all R&D efforts should be estimated regardless of the funding source or management control. Nonrecurring and recurring R&D costs for prototypes and engineering development hardware should be shown separately, where appropriate.

b. Investment. The investment costs should include the costs of the prime hardware and its major subcomponents; support costs such as training, peculiar support, and data; initial spares, and military construction costs (if any). The cost of all related procurements (such as, modifications to existing aircraft or ship platform) should also be estimated, regardless of funding source or management control. Nonrecurring and recurring costs for the production of prime hardware should be shown separately, where appropriate.

c. Operating and Support (O&S). All elements of O&S cost should be estimated. These elements are defined in CAIG-issued O&S guidelines.

3. Use of existing assets or assets being procured for another purpose must not be treated as a free good. The "opportunity cost" of these assets should be estimated, where appropriate, and considered as part of the program cost.

4. When program alternatives have different useful operational lives, the costs should be expressed as an equivalent annual cost or put into some other comparable form.

5. The independent cost analysis should separately show both prior year expenditures and projected costs by cost element.

6. Disposal costs should be included where the cost of demilitarization, detoxification, or long time waste storage problems are different between alternatives.

C. ANALYTICAL METHODS

1. The techniques used to make the independent cost estimate shall take into account the stage of the acquisition cycle that the defense system is in when the estimate is made (such as, advance development, engineering development, or production). Until actuals are available, the use of parametric costing techniques is the preferred approach to the development of the cost estimates. It is expected that heavy reliance will be placed on parametric, as well as analog and engineering methods, for DSARC I and II reviews, while projections of cost actuals will be predominantly used for preparing independent estimates for DSARC III reviews. A comparison of several cost estimating methods is encouraged.

2. When cost estimating relationships (CERs) already available or newly developed are used to make the cost estimates, the specific form of the CER, its statistical characteristics, the data base used to develop the CER, and the assumptions used in applying the CER are to be provided as back-up. Limitations of the CER as well as other CERs considered but not used shall be discussed. Adjustments for major changes in technology, new production techniques, different procurement strategy, production rate, or business base should be highlighted and explained.

3. For estimates made by analogy or engineering costing techniques, the rationale and procedures used to prepare such an estimate must be documented. This should include actual workload and cost experience used to make the estimate and the method by which the information was evaluated and adjusted to make the current cost estimate. If an analog estimate is made using complexity factors, the basis for the complexity analysis including backgrounds of the individuals making the ratings, the factors used (including the ranges of values), and a summary of the technical characteristics and cost driving elements shall be provided to the CAIG.

4. Actual cost experience on prototype units, early engineering development hardware, and early production hardware for the program under consideration should be used to the maximum extent possible. If development or production units have been produced, the actual cost information is to be provided as part of the back-up.

5. Quantifications of uncertainty by the use of frequency distributions or ranges of cost are encouraged. The probability distributions and assumptions used in preparing all range estimates should be provided.

6. If allowances for contingencies are used, an explanation of how the contingency was determined should be provided. This should include an assessment of the circumstances that must occur for such a contingency to be required.

7. The sensitivity of projected costs to critical program assumptions should be examined. This should include factors such as learning curve assumptions, technical risk or failures (requiring more development effort), changes in performance characteristics, schedule alterations, and variations in testing requirements.

8. Program estimates involving multinational acquisitions will include the impact on costs to the U.S. Government of coproduction, license fees, royalties, transportation costs, and expected foreign exchange rates, as appropriate.

D. PRESENTATION OF COST RESULTS

1. A brief overview of the program to include a description of the hardware involved, program status, procurement strategy (such as, contracting approach, R&D, and production schedules) should be presented.

2. A brief description of each alternative to be presented at the DSARC should be discussed, with the preferred alternative highlighted.

3. The Program Manager or representative should present the CAIG with estimates for each alternative under consideration and explain how they were derived.

4. The independent cost estimates for each alternative should be presented, with an explanation of how they were derived; a comparison by cost category will be made with the Program Manager's estimate, and significant differences examined in detail.

5. The R&D and investment estimates should be shown in both constant and current dollars. O&S estimates should be shown in constant dollars. The constant dollars should be as close as possible to the present budget year. The cost category breakout should be the same at the summary levels as those reported in the Integrated Program Summary (IPS), Annex B (DoD Instruction 5000.2 (reference (c))).

6. When CERs are presented to the CAIG as part of the presentation, use of graphs to present both the basic data and resulting CER is encouraged.

7. The status of Contractor Cost Data Reporting (CCDR) Data Plan, or, if implemented, the status of CCDR reporting and the processing of the cost data on the weapon system being reviewed shall be presented to the CAIG. If the actual costs of the prototype and full-scale development hardware are used as the basis for the projections, the supporting cost-quantity curves should be presented.

8. For purposes of comparing independent estimates with the Program Manager's estimates, the same assumptions, such as, funding schedule, delivery schedule, escalation, and outlay rates, should be used. If the independent analysis team does not believe the Program Manager's assumptions are valid, this fact should be identified and its impact calculated.

9. If the Program Manager's estimate is validated and found to be reasonable, the basis for reaching this conclusion must be presented to the CAIG.

10. A cost track in constant "base year" dollars will be shown between the Program Manager's preferred alternative estimate and the cost estimates approved at previous DSARCs with an explanation of major program changes. The same format as the cost track summary required in the IPS, Annex A (DoD Instruction 5000.2 (reference (c))), may be used.

11. Wherever possible, comparisons will be made on a constant dollar unit cost basis--flyaway, procurement unit, and program acquisition unit as defined in DoD Instruction 5000.33 (reference (g)). Procurement quantities will be identified on all presentations. Subsystem breakouts will be shown in a similar fashion.

12. A comparison will be made of the Program Manager's and the independent estimates for the preferred alternative to all approved Design-to-Cost goals and Decision Coordination Paper (DCP) cost thresholds.

13. O&S costs for each alternative will be compared with one or more existing, reference systems--preferably including the one to be replaced by the new weapon. The following will be addressed:

a. Potential significant force structure, employment, or maintenance changes that are not part of the approved program, regardless of the DoD Component's position on funding such changes.

b. Annual costs for the operational force and for a typical force unit (battalion, squadron) operating the system.

c. Major elements of O&S costs expressed in terms of their basic rates of consumption, such as, petroleum-oil-lubricants in gallons per operating time or distance, personnel end-strength by category and skill, spares consumption per operating hour, or depot cost per overhaul or operating hour.

14. A time-phased life cycle estimate for each alternative under consideration should be presented. Comparison of these numbers with the latest Five-Year Defense Program should be shown and differences explained. Comparison of these numbers with the DoD Component Program Objective Memoranda or Approved Program Decision Memoranda shall also be presented, if appropriate.

E. PROCEDURES FOR A CAIG PRESENTATION

1. The "For Comment" draft DCP and IPS provided to OSD 90 days prior to each DSARC will provide the latest cost data and funding profiles available at that time for each alternative. The final DCP and IPS, required to be provided to OSD 15 working days prior to each DSARC, will contain the cost data to be presented to the CAIG and the DSARC.

2. Thirty days prior to the CAIG meeting, the CAIG action officer will meet with the DoD Component representatives and agree on the agenda for the CAIG presentation.

3. The presentation of the DoD Component's independent cost analysis and program office estimates shall be made to the CAIG at least 15 working days prior to all DSARCs unless specifically waived by the CAIG Chair. Copies of the briefing charts, the briefing text (if one is used) and a summary report of the estimates shall be made available at the time of the presentation to the CAIG. At least 20 working days prior to the DSARC, the DoD Component shall provide the CAIG, on an informal basis, two copies of the information and analysis that will be used as the basis for the CAIG briefing.

4. The specific assumptions and calculations used to derive the independent and the Program Manager's cost estimate for each alternative are to be made available to the CAIG. The price escalation indices, such as, annual outlay rates, and weighted total obligational authority rates starting with the base year, shall also be provided. This information is desired as much in advance of the CAIG meeting as possible and in no event shall it be provided later than the time of the CAIG meeting.

5. The DoD Component's organization staffs preparing the cost analyses shall maintain a close liaison with the CAIG staff during the review process to ensure full understanding of the DoD Component estimates.

6. The CAIG final report to the DSARC will be made available to the appropriate DoD Components at the time it is sent to the DSARC. The CAIG staff will be available to fully discuss its analysis and conclusions at that time.

March 19, 1980
NUMBER 5000.1

USDRE

Department of Defense Directive

SUBJECT: Major System Acquisitions

References: (a) DoD Directive 5000.1, "Major System Acquisitions," January 18, 1977 (hereby canceled)
(b) DoD Directive 5000.2, "Major System Acquisition Process," January 18, 1977 (hereby canceled)
(c) DoD Directive 5000.30, "Defense Acquisition Executive," August 20, 1976 (hereby canceled)
(d) through (g), see enclosure 1

A. REISSUANCE AND PURPOSE

This Directive reissues reference (a), cancels references (b) and (c), and updates the statement of acquisition policy for major systems within the Department of Defense. This Directive also implements the concepts and provisions of Office of Management and Budget (OMB) Circular A-109 (enclosure 2).

B. APPLICABILITY

The provisions of this Directive apply to the Office of the Secretary of Defense (OSD), the Military Departments, the Organization of the Joint Chiefs of Staff (OJCS), and the Defense Agencies. As used in this Directive, the term "DoD Components" refers to the Military Departments and the Defense Agencies.

C. OBJECTIVES

Each DoD official who has direct or indirect responsibility for the acquisition process shall be guided by the objectives of OMB Circular A-109 (enclosure 2) and shall make every effort to:

1. Ensure that an effective and efficient acquisition strategy is developed and tailored for each system acquisition program.

2. Minimize the time from need identification to introduction of each system into operational use, including minimizing time gaps between program phases.

3. Achieve the most cost-effective balance between acquisition and ownership costs and system effectiveness.

4. Correlate individual program decisions with the Planning, Programing, and Budgeting System (PPBS).

5. Maximize collaboration with United States allies.

6. Integrate support, manpower, and related concerns into the acquisition process.

D. POLICY

1. General. The provisions of this Directive and OMB Circular A-109 (enclosure 2) apply to the acquisition of major systems within the Department of Defense. The principles in this Directive should also be applied, where appropriate, to the acquisition of systems not designated as major. Responsibility for the management of system acquisition programs shall be decentralized to DoD Components except for the decisions retained by the Secretary of Defense.

2. Specific

a. Analysis of Mission Areas. As part of the routine planning for accomplishment of assigned missions, DoD Components shall conduct continuing analyses of their mission areas to identify deficiencies in capability or more effective means of performing assigned tasks. During these ongoing analyses, a deficiency or opportunity may be identified that could lead to initiation of a major system acquisition program.

b. Alternatives to New System Development. A system acquisition may result from an identified deficiency in an existing system, a decision to establish new capabilities in response to a technologically feasible opportunity, a significant opportunity to reduce the DoD cost of ownership, or in response to a new emphasis in defense. Development of a new system may be undertaken after assessment of alternative system concepts including:

(1) Change in United States or North Atlantic Treaty Organization (NATO) tactical or strategic doctrine.

(2) Use of existing military or commercial systems.

(3) Modification or product improvement of existing systems.

c. Designation of Major Systems. The Secretary of Defense shall designate those systems to be managed as major systems. Normally, this shall be done at the time the Mission Element Need Statement (MENS) is approved by the Secretary of Defense. In addition to the criteria set forth in OMB Circular A-109 (enclosure 2), the decision to designate any system as major may be based upon:

(1) Development risk, urgency of need, or other items of interest to the Secretary of Defense.

DSARC PROCESS

THIS SECTION CONTAINS THE DOD DIRECTIVES AND INSTRUCTIONS ON THE:

(A) MAJOR SYSTEMS ACQUISITIONS

(B) MAJOR SYSTEMS ACQUISITION PROCEDURES

(C) OSD COST ANALYSIS IMPROVEMENT GROUP

IT EXPLAINS THE RESPONSIBILITIES, ORGANIZATION AND MEMBERSHIP OF THE DSARC AND THE CAIG.

(2) Joint acquisition of a system by the Department of Defense and representatives of another nation or by two or more DoD Components.

(3) The estimated requirement for the system's research, development, test and evaluation (RDT&E), and procurement funds.

(4) The estimated requirement for manpower to operate, maintain and support the system in the field.

(5) Congressional interest.

d. Affordability. Affordability shall be considered at every milestone. At Milestone 0, the order of magnitude of resources the DoD Component is willing to commit and the relative priority of the program to satisfy the need identified will be reconciled with overall capabilities, priorities, and resources. A program normally shall not proceed into Concept Exploration unless sufficient resources are or can be programed for Phase 0. Approval to proceed into the Demonstration and Validation phase shall be dependent on DoD Component assurance that it plans to acquire and operate the system and that sufficient RDT&E resources are available or can be programed to complete development. Approval to proceed into the Full-Scale Development phase shall be dependent on DoD Component assurance that resources are available or can be programed to complete development and acquisition and to operate and support the deployed system in the manner prescribed by the Secretary of Defense. This assurance will be reaffirmed by the DoD Component prior to receiving approval to proceed into the Production and Deployment phase. Affordability, a function of cost, priority, and availability of fiscal and manpower resources, shall be established and reviewed in the context of the PPBS process. Specific facets of affordability to be reviewed at milestone decision points are set forth in DoD Instruction 5000.2 (reference (d)).

e. Acquisition Time. A primary objective of management shall be to minimize the time it takes to acquire materiel and facilities to satisfy military needs. Particular emphasis shall be placed on minimizing the time from a commitment to acquire an operable and supportable system to deploying it with the operating force. Commensurate with risk, such approaches as developing separate alternatives in high-risk areas, experimental prototypings of critical components, combining phases, or omitting phases should be explored. In those cases where combining or omitting phases are appropriate, authority shall be requested from the Secretary of Defense.

f. Tailoring. OSD and DoD Components shall exercise judgment and flexibility to encourage maximum tailoring in the acquisition process, as described in OMB Circular A-109 (enclosure 2), this Directive, and DoD Instruction 5000.2 (reference (d)), while stimulating a competitive environment. Tailoring of the acquisition process shall be documented in the MENS or the Decision Coordinating Paper. Approval of such tailoring shall be included in the Secretary of Defense Decision Memorandum.

g. Standardization and Interoperability

(1) Equipment procured for the use of personnel of the Armed Forces of the United States stationed in Europe under the terms of the North Atlantic Treaty should be standardized or at least be interoperable with equipment of other members of NATO. Accordingly, NATO rationalization, standardization, and interoperability (RSI) shall be basic considerations in acquisition of systems having a partial or total application to Europe. Refer to DoD Directive 2010.6 (reference (e)).

(2) Acquisition of equipment satisfying DoD Component needs should also include consideration of intraservice and interservice standardization and interoperability requirements.

h. Logistic Supportability. Logistic supportability shall be a design requirement as important as cost, schedule, and performance. A continuous interface between the program management office and the manpower and logistics communities shall be maintained throughout the acquisition process.

i. Directed Decisions by Higher Authority. When a line official above the program manager exercises decision authority on program matters, the decision shall be documented as official program direction to the program manager. The line official shall be held accountable for the decision.

3. Milestone Decisions and Phases of Activity. Four milestone decisions and four phases of activity comprise the normal DoD acquisition process for major systems.

a. Milestone 0 Decision. Approval of MENS and authorization to proceed into Phase 0--Concept Exploration--which includes solicitation, evaluation and competitive exploration of alternative system concepts. Approval to proceed with Concept Exploration also means that the Secretary of Defense intends to satisfy the need.

b. Milestone I Decision. Selection of alternatives and authorization to proceed into Phase I--Demonstration and Validation.

c. Milestone II Decision. Selection of alternative(s) and authorization to proceed into Phase II--Full-Scale Development--which includes limited production for operational test and evaluation. Approval to proceed with Full-Scale Development also means that the Secretary of Defense intends to deploy the system.

d. Milestone III Decision. Authorization to proceed into Phase III--Production and Deployment.

4. Documentation for Milestone Decisions

a. Milestone 0

Mission Element Need Statement (MENS). Each major system acquisition program requires a MENS approved by the Secretary of Defense. DoD Components shall prepare MENS to document major deficiencies in their ability to meet mission requirements. Joint MENS shall be prepared to document major deficiencies in two or more DoD Components. OSD and the OJCS may also prepare MENS in response to perceived mission area deficiencies. These MENS shall recommend a lead DoD Component to the Secretary of Defense. The MENS, as described in enclosure 2 to DoD Instruction 5000.2 (reference (d)), shall be limited to five pages, including annexes.

b. Milestones I, II, and III

(1) Decision Coordinating Paper (DCP). The DCP provides basic documentation for use by Defense Systems Acquisition Review Council (DSARC) members in arriving at a recommendation for the Secretary of Defense. It includes: a program description, revalidation of the mission need, goals and thresholds, a summary of the DoD Component's acquisition strategy (including a description of and tailoring of standard procedures), system and program alternatives, and issues affecting the decision. The DCP, as described in enclosure 3 to DoD Instruction 5000.2 (reference (d)), shall be limited to 10 pages, including annexes.

(2) Integrated Program Summary (IPS). The IPS summarizes the DoD Component's acquisition planning for the system's life-cycle and provides a management overview of the program. The IPS, as described in enclosure 4 to DoD Instruction 5000.2 (reference (d)), shall be limited to 60 pages, including all annexes except Annex B, Resources - Funding Profile.

(3) Milestone Reference File (MRF). The MRF shall be temporarily established within OSD to provide a central repository for existing program documentation and references for referral during each milestone review.

c. Milestones 0, I, II, and III

Secretary of Defense Decision Memorandum (SDDM). The SDDM documents each milestone decision, establishes program goals and thresholds, reaffirms established needs and program objectives, authorizes exceptions to acquisition policy (when appropriate), and provides the direction and guidance to OSD, OJCS, and the DoD Component for the next phase of acquisition.

E. RESPONSIBILITIES

1. The Defense Systems Acquisition Review Council (DSARC) shall advise the Secretary of Defense on milestone decisions for major systems and such other acquisition issues as the Defense Acquisition Executive determines to be necessary.

2. The Defense Acquisition Executive (DAE)

a. The DAE shall:

(1) Be the principal advisor and staff assistant to the Secretary of Defense for the acquisition of defense systems and equipment.

(2) Be designated by the Secretary of Defense and shall serve as the permanent member and Chairman of the DSARC.

(3) In coordination with the other permanent members of the DSARC:

(a) Integrate and unify the management process, policies, and procedures for defense system acquisition.

(b) Monitor DoD Component compliance with the policies and practices in OMB Circular A-109 (enclosure 2), this Directive, and DoD Instruction 5000.2 (reference (d)).

(c) Ensure that the requirements and viewpoints of the functional areas are given full consideration during staff and DSARC deliberations, and are integrated in the recommendations sent to the Secretary of Defense.

(d) Ensure consistency in applying the policies regarding NATO RSI for all major systems.

b. The DAE is specifically delegated authority to:

(1) Designate action officers who shall be responsible for the processing of the milestone documentation and who shall monitor the status of major systems in all phases of the acquisition process.

(2) Issue instructions and one-time, Directive-type memoranda in accordance with DoD Directive 5025.1 (reference (f)).

(3) Obtain such reports and information, consistent with the provisions of DoD Directive 5000.19 (reference (g)), as may be necessary in the performance of assigned functions.

3. The Under Secretary of Defense for Policy (USDP) shall be a permanent member of the DSARC. On occasion, the USDP may designate a representative to attend a given DSARC meeting.

4. The Under Secretary of Defense Research and Engineering (USDRE) is a permanent member of the DSARC and shall be responsible for policy and review of all research, engineering development, technology, test and evaluation, contracting, and production of systems covered by this Directive. On occasion, the USDRE may designate a representative to attend a given DSARC meeting. In addition, the USDRE shall:

a. Monitor, in conjunction with the Assistant Secretary of Defense (Program Analysis and Evaluation) (ASD(PA&E)), DoD Component procedures for analysis of mission areas.

b. Coordinate review of MENS provided by DoD Components.

c. Coordinate, together with Assistant Secretary of Defense (Comptroller) and ASD(PA&E), the interface of the acquisition process with the PPBS.

5. The Assistant Secretary of Defense (Manpower, Reserve Affairs, and Logistics) (ASD(MRA&L)) is a permanent member of the DSARC and shall be responsible for policy on logistic, energy, environment, safety, and manpower planning for new systems and for ensuring that logistic planning is consistent with system hardware parameters, logistic policies, and readiness objectives.

6. The Assistant Secretary of Defense (Comptroller) (ASD(C)) is a permanent member of the DSARC and shall coordinate, together with USDRE and ASD(PA&E), the interface of the acquisition process with the PPBS.

7. The Assistant Secretary of Defense (Program Analysis and Evaluation) (ASD(PA&E)) is a permanent member of the DSARC and shall:

a. Monitor, in conjunction with USDRE, DoD Component procedures for analysis of mission areas.

b. Evaluate cost-effectiveness studies prepared in support of milestone decisions for major system acquisition.

c. Coordinate, together with USDRE and ASD(C), the interface of the acquisition process with the PPBS.

8. The Chairman, Joint Chiefs of Staff (CJCS), or a representative designated by CJCS shall be a permanent member of the DSARC.

9. The principal advisors to the DSARC are listed in DoD Instruction 5000.2 (reference (d)).

10. The Head of Each DoD Component shall manage each major system acquisition assigned by the Secretary of Defense and shall establish clear lines of authority, responsibility, and accountability.

DoD Component Heads shall also:

a. Appoint a DoD Component acquisition executive to serve as the principal advisor and staff assistant to the Head of the DoD Component.

b. Establish a System Acquisition Review Council.

c. Ensure that a program manager is assigned and that a program manager's charter is approved as soon as feasible after Milestone 0.

d. Establish career incentives to attract, retain, motivate and reward competent program managers.

e. Provide a program manager the necessary assistance to establish a strong program office with clearly established lines of authority and reporting channels between the program manager and the Head of the DoD Component. Where functional organizations exist to assist the program manager, the relationship of the functional areas to the program manager shall be established.

f. Monitor major system acquisitions to assure compliance with OMB Circular A-109 (enclosure 2), this Directive, and DoD Instruction 5000.2 (reference (d)).

11. The Program Manager shall acquire and field, in accordance with instructions from line authority, a cost-effective solution to the approved mission need that can be acquired, operated, and supported within the resources projected in the SDDM.

F. ORDER OF PRECEDENCE

This Directive and DoD Instruction 5000.2 (reference (d)) are first and second in order of precedence for major system acquisitions except where statutory requirements override. All DoD issuances shall be reviewed for conformity with this Directive or DoD Instruction 5000.2 (reference (d)) and shall be changed or canceled, as appropriate. Conflicts remaining after 90 days from issuance of this Directive shall be brought to the attention of the originating office and the DAE.

G. EFFECTIVE DATE AND IMPLEMENTATION

This Directive is effective immediately. Forward one copy of implementing documents to the Under Secretary of Defense for Research and Engineering within 120 days.

W. Graham Claytor, Jr.
Deputy Secretary of Defense

Enclosures - 2
1. References
2. OMB Circular A-109, "Major System Acquisitions," April 5, 1976

REFERENCES, continued

(d) DoD Instruction 5000.2, "Major System Acquisition Procedures," March 19, 1980
(e) DoD Directive 2010.6, "Standardization and Interoperability of Weapons Systems and Equipment within the North Atlantic Treaty Organization," March 5, 1980
(f) DoD Directive 5025.1, "Department of Defense Directives System," November 18, 1977
(g) DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976

EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

April 5, 1976 CIRCULAR NO. A-109

TO THE HEADS OF EXECUTIVE DEPARTMENTS AND ESTABLISHMENTS

SUBJECT: Major System Acquisitions

1. Purpose. This Circular establishes policies, to be followed by executive branch agencies in the acquisition of major systems.

2. Background. The acquisition of major systems by the Federal Government constitutes one of the most crucial and expensive activities performed to meet national needs. Its impact is critical on technology, on the Nation's economic and fiscal policies, and on the accomplishment of Government agency missions in such fields as defense, space, energy and transportation. For a number of years, there has been deep concern over the effectiveness of the management of major system acquisitions. The report of the Commission on Government Procurement recommended basic changes to improve the process of acquiring major systems. This Circular is based on executive branch consideration of the Commission's recommendations.

3. Responsibility. Each agency head has the responsibility to ensure that the provisions of this Circular are followed. This Circular provides administrative direction to heads of agencies and does not establish and shall not be construed to create any substantive or procedural basis for any person to challenge any agency action or inaction on the basis that such action was not in accordance with this Circular.

4. Coverage. This Circular covers and applies to:

a. Management of the acquisition of major systems, including: ° Analysis of agency missions ° Determination of mission needs ° Setting of program objectives ° Determination of system requirements ° System program planning ° Budgeting ° Funding ° Research ° Engineering ° Development ° Testing and evaluation ° Contracting ° Production ° Program and management control ° Introduction

of the system into use or otherwise successful achievement of program objectives.

b. All programs for the acquisition of major systems even though:

(1) The system is one-of-a-kind.

(2) The agency's involvement in the system is limited to the development of demonstration hardware for optional use by the private sector rather than for the agency's own use.

5. Definitions. As used in this Circular:

a. Executive agency (hereinafter referred to as agency) means an executive department, and an independent establishment within the meaning of sections 101 and 104(1), respectively, of Title 5, United States Code.

b. Agency component means a major organizational subdivision of an agency. For example: The Army, Navy, Air Force, and Defense Supply Agency are agency components of the Department of Defense. The Federal Aviation Administration, Urban Mass Transportation Administration, and the Federal Highway Administration are agency components of the Department of Transportation.

c. Agency missions means those responsibilities for meeting national needs assigned to a specific agency.

d. Mission need means a required capability within an agency's overall purpose, including cost and schedule considerations.

e. Program objectives means the capability, cost and schedule goals being sought by the system acquisition program in response to a mission need.

f. Program means an organized set of activities directed toward a common purpose, objective, or goal undertaken or proposed by an agency in order to carry out responsibilities assigned to it.

g. System design concept means an idea expressed in terms of general performance, capabilities, and characteristics of hardware and software oriented either to

operate or to be operated as an integrated whole in meeting a mission need.

h. Major system means that combination of elements that will function together to produce the capabilities required to fulfill a mission need. The elements may include, for example, hardware, equipment, software, construction, or other improvements or real property. Major system acquisition programs are those programs that (1) are directed at and critical to fulfilling an agency mission, (2) entail the allocation of relatively large resources, and (3) warrant special management attention. Additional criteria and relative dollar thresholds for the determination of agency programs to be considered major systems under the purview of this Circular, may be established at the discretion of the agency head.

i. System acquisition process means the sequence of acquisition activities starting from the agency's reconciliation of its mission needs, with its capabilities, priorities and resources, and extending through the introduction of a system into operational use or the otherwise successful achievement of program objectives.

j. Life cycle cost means the sum total of the direct, indirect, recurring, nonrecurring, and other related costs incurred, or estimated to be incurred, in the design, development, production, operation, maintenance and support of a major system over its anticipated useful life span.

6. General policy. The policies of this Circular are designed to assure the effectiveness and efficiency of the process of acquiring major systems. They are based on the general policy that Federal agencies, when acquiring major systems, will:

a. Express needs and program objectives in mission terms and not equipment terms to encourage innovation and competition in creating, exploring, and developing alternative system design concepts.

b. Place emphasis on the initial activities of the system acquisition process to allow competitive exploration of alternative system design concepts in response to mission needs.

c. Communicate with Congress early in the system acquisition process by relating major system acquisition programs to agency mission needs. This communication should follow the requirements of Office of Management and Budget (OMB) Circular No. A-10 concerning information related to budget estimates and related materials.

d. Establish clear lines of authority, responsibility, and accountability for management of major system acquisition programs. Utilize appropriate managerial levels in decisionmaking, and obtain agency head approval at key decision points in the evolution of each acquisition program.

e. Designate a focal point responsible for integrating and unifying the system acquisition management process and monitoring policy implementation.

f. Rely on private industry in accordance with the policy established by OMB Circular No. A-76.

7. Major system acquisition management objectives. Each agency acquiring major systems should:

a. Ensure that each major system: Fulfills a mission need. Operates effectively in its intended environment. Demonstrates a level of performance and reliability that justifies the allocation of the Nation's limited resources for its acquisition and ownership.

b. Depend on, whenever economically beneficial, competition between similar or differing system design concepts throughout the entire acquisition process.

c. Ensure appropriate trade-off among investment costs, ownership costs, schedules, and performance characteristics.

d. Provide strong checks and balances by ensuring adequate system test and evaluation. Conduct such tests and evaluation independent, where practicable, of developer and user.

e. Accomplish system acquisition planning, built on analysis of agency missions, which implies appropriate resource allocation resulting from clear articulation of agency mission needs.

f. Tailor an acquisition strategy for each program, as soon as the agency decides to solicit alternative system design concepts, that could lead to the acquisition of a new major system and refine the strategy as the program proceeds through the acquisition process. Encompass test and evaluation criteria and business management considerations in the strategy. The strategy could typically include: ° Use of the contracting process as an important tool in the acquisition program ° Scheduling of essential elements of the acquisition process ° Demonstration, test, and evaluation criteria ° Content of solicitations for proposals ° Decisions on whom to solicit ° Methods for obtaining and sustaining competition ° Guidelines for the evaluation and acceptance or rejection of proposals ° Goals for design-to-cost ° Methods for projecting life cycle costs ° Use of data rights ° Use of warranties ° Methods for analyzing and evaluating contractor and Government risks ° Need for developing contractor incentives ° Selection of the type of contract best suited for each stage in the acquisition process ° Administration of contracts.

g. Maintain a capability to: ° Predict, review, assess, negotiate and monitor costs for system development, engineering, design, demonstration, test, production, operation and support (i.e., life cycle costs) ° Assess acquisition cost, schedule and performance experience against predictions, and provide such assessments for consideration by the agency head at key decision points ° Make new assessments where significant costs, schedule or performance variances occur ° Estimate life cycle costs during system design concept evaluation and selection, full-scale development, facility conversion, and production, to ensure appropriate trade-offs among investment costs, ownership costs, schedules, and performance ° Use independent cost estimates, where feasible, for comparison purposes.

8. Management structure.

a. The head of each agency that acquires major systems will designate an acquisition executive to integrate and unify the management process for the agency's major system acquisitions and to monitor implementation of the policies and practices set forth in this Circular.

b. Each agency that acquires--or is responsible for activities leading to the acquisition of--major systems will

establish clear lines of authority, responsibility, and accountability for management of its major system acquisition programs.

c. Each agency should preclude management layering and placing nonessential reporting procedures and paperwork requirements on program managers and contractors.

d. A program manager will be designated for each of the agency's major system acquisition programs. This designation should be made when a decision is made to fulfill a mission need by pursuing alternative system design concepts. It is essential that the program manager have an understanding of user needs and constraints, familiarity with development principles, and requisite management skills and experience. Ideally, management skills and experience would include: ° Research and development ° Operations ° Engineering ° Construction ° Testing ° Contracting ° Prototyping and fabrication of complex systems ° Production ° Business ° Budgeting ° Finance. With satisfactory performance, the tenure of the program manager should be long enough to provide continuity and personal accountability.

e. Upon designation, the program manager should be given budget guidance and a written charter of his authority, responsibility, and accountability for accomplishing approved program objectives.

f. Agency technical management and Government laboratories should be considered for participation in agency mission analysis, evaluation of alternative system design concepts, and support of all development, test, and evaluation efforts.

g. Agencies are encouraged to work with each other to foster technology transfer, prevent unwarranted duplication of technological efforts, reduce system costs, promote standardization, and help create and maintain a competitive environment for an acquisition.

9. Key decisions. Technical and program decisions normally will be made at the level of the agency component or operating activity. However, the following four key decision points should be retained and made by the agency head:

a. Identification and definition of a specific mission need to be fulfilled, the relative priority assigned within the agency, and the general magnitude of resources that may be invested.

b. Selection of competitive system design concepts to be advanced to a test/demonstration phase or authorization to proceed with the development of a noncompetitive (single concept) system.

c. Commitment of a system to full-scale development and limited production.

d. Commitment of a system to full production.

10. Determination of mission needs.

a. Determination of mission need should be based on an analysis of an agency's mission reconciled with overall capabilities, priorities and resources. When analysis of an agency's mission shows that a need for a new major system exists, such a need should not be defined in equipment terms, but should be defined in terms of the mission, purpose, capability, agency components involved, schedule and cost objectives, and operating constraints. A mission need may result from a deficiency in existing agency capabilities or the decision to establish new capabilities in response to a technologically feasible opportunity. Mission needs are independent of any particular system or technological solution.

b. Where an agency has more than one component involved, the agency will assign the roles and responsibilities of each component at the time of the first key decision. The agency may permit two or more agency components to sponsor competitive system design concepts in order to foster innovation and competition.

c. Agencies should, as required to satisfy mission responsibilities, contribute to the technology base, effectively utilizing both the private sector and Government laboratories and in-house technical centers, by conducting, supporting, or sponsoring: ° Research ° System design concept studies ° Proof of concept work ° Exploratory subsystem development ° Tests and evaluations. Applied technology efforts oriented to system developments should be performed in response to approved mission needs.

11. Alternative systems.

a. Alternative system design concepts will be explored within the context of the agency's mission need and program objectives--with emphasis on generating innovation and conceptual competition from industry. Benefits to be derived should be optimized by competitive exploration of alternative system design concepts, and trade-offs of capability, schedule, and cost. Care should be exercised during the initial steps of the acquisition process not to conform mission needs or program objectives to any known systems or products that might foreclose consideration of alternatives.

b. Alternative system design concepts will be solicited from a broad base of qualified firms. In order to achieve the most preferred system solution, emphasis will be placed on innovation and competition. To this end, participation of smaller and newer businesses should be encouraged. Concepts will be primarily solicited from private industry; and when beneficial to the Government, foreign technology, and equipment may be considered.

c. Federal laboratories, federally funded research and development centers, educational institutions, and other not-for-profit organizations may also be considered as sources for competitive system design concepts. Ideas, concepts, or technology, developed by Government laboratories or at Government expense, may be made available to private industry through the procurement process or through other established procedures. Industry proposals may be made on the basis of these ideas, concepts, and technology or on the basis of feasible alternatives which the proposer considers superior.

d. Research and development efforts should emphasize early competitive exploration of alternatives, as relatively inexpensive insurance against premature or preordained choice of a system that may prove to be either more costly or less effective.

e. Requests for alternative system design concept proposals will explain the mission need, schedule, cost, capability objectives, and operating constraints. Each offeror will be free to propose his own technical approach, main design features, subsystems, and alternatives to schedule, cost, and capability goals. In the conceptual and

less than full-scale development stages, contractors should not be restricted by detailed Government specifications and standards.

f. Selections from competing system design concept proposals will be based on a review by a team of experts, preferably from inside and outside the responsible component development organization. Such a review will consider: (1) Proposed system functional and performance capabilities to meet mission needs and program objectives, including resources required and benefits to be derived by trade-offs, where feasible, among technical performance, acquisition costs, ownership costs, time to develop and procure; and (2) The relevant accomplishment record of competitors.

g. During the uncertain period of identifying and exploring alternative system design concepts, contracts covering relatively short time periods at planned dollar levels will be used. Timely technical reviews of alternative system design concepts will be made to effect the orderly elimination of those least attractive.

h. Contractors should be provided with operational test conditions, mission performance criteria, and life cycle cost factors that will be used by the agency in the evaluation and selection of the system(s) for full-scale development and production.

i. The participating contractors should be provided with relevant operational and support experience through the program manager, as necessary, in developing performance and other requirements for each alternative system design concept as tests and trade-offs are made.

j. Development of subsystems that are intended to be included in a major system acquisition program will be restricted to less than fully designed hardware (full-scale development) until the subsystem is identified as a part of a system candidate for full-scale development. Exceptions may be authorized by the agency head if the subsystems are long lead time items that fulfill a recognized generic need or if they have a high potential for common use among several existing or future systems.

12. Demonstrations.

a. Advancement to a competitive test/demonstration phase may be approved when the agency's mission need and program objectives are reaffirmed and when alternative system design concepts are selected.

b. Major system acquisition programs will be structured and resources planned to demonstrate and evaluate competing alternative system design concepts that have been selected. Exceptions may be authorized by the agency head if demonstration is not feasible.

c. Development of a single system design concept that has not been competitively selected should be considered only if justified by factors such as urgency of need, or by the physical and financial impracticality of demonstrating alternatives. Proceeding with the development of a noncompetitive (single concept) system may be authorized by the agency head. Strong agency program management and technical direction should be used for systems that have been neither competitively selected nor demonstrated.

13. Full-scale development and production.

a. Full-scale development, including limited production, may be approved when the agency's mission need and program objectives are reaffirmed and competitive demonstration results verify that the chosen system design concept(s) is sound.

b. Full production may be approved when the agency's mission need and program objectives are reaffirmed and when system performance has been satisfactorily tested, independent of the agency development and user organizations, and evaluated in an environment that assures demonstration in expected operational conditions. Exceptions to independent testing may be authorized by the agency head under such circumstances as physical or financial impracticability or extreme urgency.

c. Selection of a system(s) and contractor(s) for full-scale development and production is to be made on the basis of (1) system performance measured against current mission need and program objectives, (2) an evaluation of estimated acquisition and ownership costs, and (3) such factors as

contractor(s) demonstrated management, financial, and technical capabilities to meet program objectives.

d. The program manager will monitor system tests and contractor progress in fulfilling system performance, cost, and schedule commitments. Significant actual or forecast variances will be brought to the attention of the appropriate management authority for corrective action.

14. Budgeting and financing. Beginning with FY 1979 all agencies will, as part of the budget process, present budgets in terms of agency missions in consonance with Section 201(i) of the Budget and Accounting Act, 1921, as added by Section 601 of the Congressional Budget Act of 1974, and in accordance with OMB Circular A-11. In so doing, the agencies are desired to separately identify research and development funding for: (1) The general technology base in support of the agency's overall missions, (2) The specific development efforts in support of alternative system design concepts to accomplish each mission need, and (3) Full-scale developments. Each agency should ensure that research and development is not undesirably duplicated across its missions.

15. Information to Congress.

a. Procedures for this purpose will be developed in conjunction with the Office of Management and Budget and the various committees of Congress having oversight responsibility for agency activities. Beginning with FY 1979 budget each agency will inform Congress in the normal budget process about agency missions, capabilities, deficiencies, and needs and objectives related to acquisition programs, in consonance with Section 601(i) of the Congressional Budget Act of 1974.

b. Disclosure of the basis for an agency decision to proceed with a single system design concept without competitive selection and demonstration will be made to the congressional authorization and appropriation committees.

16. Implementation. All agencies will work closely with the Office of Management and Budget in resolving all implementation problems.

17. Submissions to Office of Management and Budget. Agencies will submit the following to OMB:

a. Policy directives, regulations, and guidelines as they are issued.

b. Within six months after the date of this Circular, a time-phased action plan for meeting the requirements of this Circular.

c. Periodically, the agency approved exceptions permitted under the provisions of this Circular.

This information will be used by the OMB, in identifying major system acquisition trends and in monitoring implementations of this policy.

18. Inquiries. All questions or inquiries should be submitted to the OMB, Administrator for Federal Procurement Policy. Telephone number, area code, 202-395-4677.

HUGH E. WITT
ADMINISTRATOR FOR
FEDERAL PROCUREMENT POLICY

Approved:

JAMES T. LYNN
DIRECTOR

March 19, 1980
NUMBER 5000.2

Department of Defense Instruction

USDRE

SUBJECT: Major System Acquisition Procedures

References:
(a) DoD Directive 5000.2, "Major System Acquisition Process," January 18, 1977 (canceled by reference (b))
(b) DoD Directive 5000.1 "Major System Acquisitions," March 19, 1980
(c) DoD Directive 5000.35, "Defense Acquisition Regulatory System," March 8, 1978
(d) through (u), see enclosure 1

A. PURPOSE

This Instruction replaces DoD Directive 5000.2 (reference (a)) to provide revised supplementary procedures for Department of Defense use in implementation of reference (b).

B. APPLICABILITY

The provisions of this Instruction apply to the Office of the Secretary of Defense (OSD), the Military Departments, the Organization of the Joint Chiefs of Staff (OJCS), and the Defense Agencies. As used in this Instruction, the term "DoD Components" refers to the Military Departments and the Defense Agencies.

C. PROCEDURES

1. Major System Designation. The Secretary of Defense shall designate certain acquisition programs as major systems. The Defense Acquisition Executive (DAE) may recommend candidate programs to the Secretary of Defense at any point in the acquisition process, but normally recommendations shall be made in conjunction with Mission Element Need Statement (MENS) approval. The DAE is authorized to withdraw the designation of "major systems" when changing circumstances dictate. The DAE shall advise the Secretary of Defense before such an action is taken.

2. Major System Listings. The Executive Secretary of the Defense Systems Acquisition Review Council (DSARC) shall, as the agent of the DAE, maintain and distribute a list of designated major systems. Additions and deletions to the list shall be disseminated when changes occur. The Executive Secretary, in conjunction with the Assistant Secretary of Defense (Comptroller) shall maintain a listing of programs for which Selected Acquisition Reports (SARs) are required.

3. Milestone 0 Documentation

a. Mission Element Need Statement (MENS)

(1) Purpose. A MENS is the document upon which the Milestone 0 decision is based. It identifies and defines: (a) a specific deficiency or opportunity within a mission area; (b) the relative priority of the deficiency within the mission area; (c) the Defense Intelligence Agency (DIA) validated threat forecast or other factor causing the deficiency; (d) the date when the system must be fielded to meet the threat; and (e) the general magnitude of acquisition resources that the DoD Component is willing to invest to correct the deficiency. A MENS is required for each acquisition, including system modifications and additional procurement of existing systems, which the DoD Component anticipates will cost in excess of $100 million (FY 1980 dollars) in research, development, test and evaluation (RDT&E) funds or $500 million (FY 1980 dollars) in procurement funds. A MENS is not required for programs, regardless of size, directed toward developing and maintaining a viable technology base.

(2) Scope. The deficiency or opportunity identified in a MENS should be defined as narrowly as possible to allow a reasonable probability of correcting the deficiency by acquiring a single system. Defining a broad architecture of systems to counter projected threats in a mission area is part of the ongoing analysis of mission areas rather than a part of a specific acquisition program. Though the scope of the deficiency identified in a MENS shall be narrowly defined, solutions to the problem shall not be specified. Alternative concepts and associated risks shall be evaluated in the Concept Exploration phase.

(3) Format. Enclosure 2 contains the format of a MENS along with explanatory information regarding its preparation.

(4) Processing

(a) DoD Components shall identify all new acquisition starts in the yearly submission of the Program Objective Memoranda (POM). These submissions shall identify those new acquisitions that are likely to exceed dollar thresholds specified above for a MENS. New system acquisitions exceeding the dollar thresholds specified above that have not previously had a MENS reviewed and approved must have a MENS submitted to the DAE no later than POM submission date. Review and approval of MENS before POM submission are encouraged.

(b) The DoD Component shall forward a draft MENS, along with a recommendation as to whether the program should be designated as a major system, to the DAE who shall solicit comments from the OSD staff, OJCS, the other Military Departments and the DIA.

1 When the DAE plans to recommend designation as a major system, comments on the MENS shall be provided to the DoD Component

within 20 workdays of receipt of the draft MENS. Upon receipt of OSD comments, the DoD Component shall revise the MENS and return it to the DAE within 20 workdays for approval action.

2 When the DAE does not recommend designation as a major system, the MENS shall be returned to the appropriate DoD Component or functional organization for milestone decision responsibility on the program.

b. Secretary of Defense Decision Memorandum (SDDM)

(1) When the DAE plans to recommend approval of the MENS and designation of a system as major, the action officer shall prepare a SDDM. The DAE shall forward the SDDM to the Secretary of Defense after formal coordination. The SDDM shall be coordinated with the DSARC permanent members and any advisors the DAE considers appropriate. The Milestone 0 SDDM shall also establish when the next milestone review shall occur.

(2) Upon approval of the MENS by a SDDM and designation of a system as major, the DoD Component may take necessary programing action to incorporate required resources into the Planning, Programing, and Budgeting System (PPBS). Programing action may be taken in parallel with preparation of the MENS. If the requirement is urgent, the MENS should be submitted with a request for reprograming action.

4. Defense Systems Acquisition Review Council (DSARC). The DSARC, acting as the top level DoD corporate body for system acquisition, shall provide advice and assistance to the Secretary of Defense. The following paragraphs set forth organizational and procedural elements of the DSARC process.

a. DSARC Permanent Members and Principal Advisors

(1) Permanent Members

(a) Defense Acquisition Executive.

(b) Under Secretary of Defense for Policy or a representative designated by the Under Secretary of Defense for Policy.

(c) Under Secretary of Defense for Research and Engineering or a representative designated by the Under Secretary of Defense for Research and Engineering.

(d) Assistant Secretary of Defense (Comptroller).

(e) Assistant Secretary of Defense (Manpower, Reserve Affairs, and Logistics).

(f) Assistant Secretary of Defense (Program Analysis and Evaluation).

(g) Chairman, Joint Chiefs of Staff, or a representative designated by the Chairman, Joint Chiefs of Staff.

(2) Principal Advisors

(a) For communications, command, control, and intelligence (C^3I) research, engineering, and program matters: Assistant Secretary of Defense (Communications, Command, Control, and Intelligence) (ASD(C^3I)).

(b) For NATO affairs: Advisor to the Secretary of Defense and Deputy Secretary of Defense on NATO Affairs.

(c) For producibility and acquisition strategy matters: Deputy Under Secretary of Defense for Research and Engineering (Acquisition Policy).

(d) For program matters: Appropriate Deputy Under Secretary of Defense for Research and Engineering.

(e) For defense policy and related operational requirements matters: Appropriate Deputy Under Secretary of Defense Policy.

(f) For threat assessment and substantive intelligence matters: Director, DIA.

(g) For test and evaluation (T&E) matters: Director of Defense Test and Evaluation.

(h) For cost matters: Chairman of the Cost Analysis Improvement Group.

(i) For Logistics Support: Director, Weapons Support Improvement Group.

b. DSARC Reviews. The DAE is responsible for convening formal meetings to facilitate the decision process. Principal advisors shall not attend unless invited by the DAE. Formal DSARC reviews shall normally be held at Milestones I, II and III. In addition, any DoD Component head or DSARC member may request the Chair to schedule a meeting of the DSARC to consider significant issues at any point in the acquisition process for any major system. The Secretary of Defense may, upon the recommendation of the DAE, choose to make his decision and issue a SDDM without a formal council review. Dispensing with the formal review shall be considered by the DAE when the OSD staff review, preliminary to a scheduled review, indicates that there are no substantial issues that would require a DSARC meeting. In this case, the SDDM shall be prepared by the action officer and coordinated in accordance with subparagraph C.4.e.(4). before it is forwarded to the Secretary of Defense for his decision.

c. Milestone Review Process

(1) Milestone Planning Meeting. A planning meeting shall be scheduled by the Executive Secretary and chaired by the action officer six months in advance of each DSARC meeting. The purpose of the Milestone Planning Meeting is to identify the system and program alternatives and the issues and items to be emphasized in the Decision Coordinating Paper (DCP) and the Integrated Program Summary (IPS). DSARC members, DSARC advisors, DoD Components, and the program manager shall be represented at the meeting. After the meeting, the action officer shall prepare a memorandum recording the issues and responsibilities and distribute it to DoD Components, DSARC members, and DSARC principal advisors.

(2) For Comment DCP and IPS. The For Comment DCP and the IPS shall be submitted together by the DoD Component to the DAE three months before to a DSARC meeting. The action officer shall ensure that copies are made available to DSARC members and advisors and to their staffs for review and discussion with the DoD Components. The action officer shall prepare and transmit formal comments to the DoD Component two months in advance of the scheduled DSARC meeting. Every effort shall be made to resolve major issues before the DSARC meeting.

(3) Final DCP and IPS Update. A Final DCP and an update to the IPS shall be submitted by the DoD Component to the Secretary of Defense through the DAE 15 workdays before a scheduled DSARC meeting. The action officer shall provide copies of the Final DCP and the update to the IPS to each DSARC member and advisor.

(4) Pre-Brief Meeting. The position of each DSARC member and advisor on the DCP shall be determined by their staff representatives in time to prepare a presentation to be given to the DAE at the Pre-Brief Meeting. Attendees at the Pre-Brief Meeting shall be prepared to discuss the DCP and to provide specific program recommendations. Following the Pre-Brief Meeting, the action officer shall prepare a recommended position paper and provide copies to the members and principal advisors to the DSARC so that final action can be taken at the executive session after the formal DSARC meeting. Members and principal advisors who have dissenting positions shall be prepared to submit them at the executive session for final resolution.

(5) Post DSARC Action. Within five workdays following the DSARC meeting, the DAE shall submit the SDDM, together with any dissenting positions, to the Secretary of Defense. Normally, the SDDM shall be issued to the DoD Component within 15 workdays following the DSARC meeting.

d. Milestone Planning Schedule

Event	Schedule in Relation to Date of DSARC Meeting
Milestone Planning Meeting	- 6 months
For Comment DCP and IPS	- 3 months
DCP Comments to DoD Components	- 2 months
Final DCP and Update to IPS	- 15 workdays
OSD Cost Analysis Improvement Group (CAIG) Briefing	- 15 workdays
OSD Test and Evaluation (T&E) Briefing	- 15 workdays
OSD Manpower and Logistics Analysis (M&LA) Briefing	- 15 workdays
DIA Report to DSARC Chair	- 10 workdays
DSARC Chair's Pre-Brief Meeting (OSD Staff Only)	- 5 workdays
CAIG Report	- 3 workdays
T&E Report	- 3 workdays
M&LA Report	- 3 workdays
DSARC Meeting	0
SDDM issued to DoD Component	+ 15 workdays

e. Milestone I, II and III Documentation

(1) Decision Coordinating Paper (DCP). The DCP provides the primary documentation for use by the DSARC in arriving at the milestone recommendation. It summarizes the program and the acquisition strategy, the alternatives considered, and the issues. The format of the DCP is in enclosure 3. Notwithstanding any other DoD issuance, additional requirements for information in the DCP shall be issued only by the DAE.

(2) Integrated Program Summary. The IPS summarizes the implementation plan of the DoD Component for the life cycle of the system. The IPS provides information for a management overview of the entire

program. The format of the IPS is in enclosure 4. Notwithstanding any other DoD issuance, additional requirements for information in the IPS shall be issued only by the DAE.

(3) Milestone Reference File (MRF). A MRF shall be established at each milestone to provide a central location for existing program documentation referenced in the DCP and IPS. This working file shall be provided by the DoD Component to the DSARC Executive Secretary at the time the For Comment DCP and IPS are submitted. It shall be used by DoD personnel who need more detailed information.

(4) Secretary of Defense Decision Memorandum (SDDM)

(a) The SDDM documents the Secretary of Defense's milestone decision including approval of goals and thresholds for cost, schedule, performance, and supportability, exceptions to the acquisition process, and other appropriate direction. Before forwarding the SDDM to the DAE, the action officer shall obtain coordination from the DSARC permanent members and such advisors as the DAE considers appropriate for the action. The DAE shall forward the SDDM to the Secretary of Defense for signature.

(b) The action officer shall prepare and coordinate a SDDM to reflect revised thresholds and updated program direction resulting from threshold breaches or projected breaches reported by the DoD Component. The action officer shall also prepare and coordinate a SDDM when programing or budgeting decisions (including congressional direction) affect thresholds or program direction contained in the previous SDDM. This shall be done within 40 workdays after submission of the Presidential Budget to Congress. In the case of congressional direction, the SDDM shall be prepared and coordinated 40 workdays after the legislation is enacted.

f. DSARC Executive Secretary. The DAE shall designate a permanent Executive Secretary who shall administer and coordinate the DSARC process and:

(1) Maintain and distribute periodic status reports.

(2) Make administrative arrangements for Milestone Planning Meetings, Pre-Brief Meetings, and DSARC meetings.

(3) Assemble and distribute necessary documentation.

(4) Maintain a central reference file for current DCPs, IPSs, and SDDMs.

(5) Hold the MRF until a SDDM is issued.

(6) Control attendance at Pre-Brief Meetings and DSARC meetings.

g. Action Officers. The action officer appointed by the DAE for each major system is the lead OSD staff person in the DSARC process and must coordinate both OSD issues and DoD Component positions. Action

officers may be appointed from any OSD functional organization. For xample, they may be from the Office of the Under Secretary of Defense for esearch and Engineering for systems involving research, development, and production, from the Office of the Assistant Secretary of Defense (Comptroller) for general purpose ADP systems, or from the Office of the Assistant Secretary of Defense (Manpower, Reserve Affairs, and Logistics) for military construction that is designated as a major system. They shall:

(1) Conduct the Milestone Planning Meeting for assigned major systems.

(2) Process the DCP and IPS in accordance with this Instruction.

(3) Present the DSARC Chair's Pre-Brief Meeting.

(4) Monitor the milestone planning schedule.

(5) Draft, coordinate, and obtain approval of all SDDMs including those necessitated by PPBS or congressional action.

D. DEFENSE ACQUISITION REGULATORY SYSTEM (DARS)

DoD directives, regulations, and instructions that relate to the acquisition process are part of the DARS as stipulated by DoD Directive 5000.35 (reference (c)). The object of this system is to provide detailed functional regulations required to govern DoD acquisition of materials, supplies, and equipment. Program managers shall tailor their programs to DoD issuances that are part of DARS. Principal issuances that relate to major system acquisitions are listed in enclosure 5.

E. ACQUISITION PLANNING

Special attention in the development of acquisition planning shall be given to the following matters.

1. Mission Analysis. Mission analysis is any assessment of current or projected U.S. military capability to perform assigned missions. Mission analysis shall normally evaluate the interplay of threat, capability, operations concepts, survivability, and other factors such as environmental conditions which bear on the missions of the various Components of the Department of Defense. The primary objective of mission analysis is the identification of deficiencies, so that appropriate corrective action can be initiated. The scope may vary from a very narrow subject, such as the survivability of a Minuteman silo attacked by a single reentry vehicle, to a very broad subject, such as the ability of the United States to maintain overall strategic deterrence.

2. Operational Requirements. Materials, supplies, and equipment acquired by the Department of Defense shall contribute to or support the operational requirements of the military forces in execution of missions

essential to the current national military strategy or enhance future capabilities of the military forces to achieve national and defense policy objectives. Department of Defense operational requirements should be prioritized based on their effectiveness in furthering policy objectives and strategic and operational concepts, in consideration of threat and other factors, such as environmental conditions, which bear on the missions of the various Components of the Department of Defense.

3. Threat. The effectiveness of a proposed weapon system in its intended threat environment is a fundamental concern of the acquisition effort and shall be considered by the program manager from the outset. An interactive analysis, that is, a study of the system-threat interaction, shall be conducted before Milestone I and shall be updated in greater specificity before each subsequent milestone. The intelligence used for the interactive analysis shall be provided by the DoD Component intelligence organization directly to the program manager and to DIA. Analyzing system concepts and specific systems in this manner allows program managers to identify threat parameters, such as numbers, types, mix, or characteristics of projected enemy systems, that are most critical to the effectiveness of the U.S. system. These Critical Intelligence Parameters (CIPs) shall be provided to the DIA through the DoD Component intelligence organization. The Director, DIA, shall validate threat data before its use in the interactive analysis, review CIPs output, and report the findings and conclusions in writing to the DAE 10 workdays before the DSARC meeting. The DoD Component shall confirm the effectiveness of the U.S. system in its intended threat environment at Milestones II and III.

4. Acquisition Strategy

a. Acquisition strategy is the conceptual basis of the overall plan that a program manager follows in program execution. It reflects the management concepts that shall be used in directing and controlling all elements of the acquisition in response to specific goals and objectives of the program and in ensuring that the system being acquired satisfies the approved mission need. Acquisition strategy encompasses the entire acquisition process. The strategy shall be developed in sufficient detail, at the time of issuing the solicitations, to permit competitive exploration of alternative system design concepts in the Concept Development phase. Additionally, sufficient planning must be accomplished for succeeding program phases, including production, for those considerations that may have a direct influence on competition and design efforts by contractors. The acquisition strategy shall evolve through an iterative process and become increasingly definitive in describing the interrelationship of the management, technical, business, resource, force structure, support, testing, and other aspects of the program.

b. Development of the initial program acquisition strategy shall be completed by the cognizant DoD Component as soon as possible after Milestone 0. The program acquisition strategy is unique for each program and should be tailored by the program manager to the circumstances surrounding the program. Intended exceptions to applicable DoD Directives

and Instructions should be noted in the acquisition strategy summary. Advice and assistance should be sought from business and technical advisors and experienced managers of other major system programs.

c. While the acquisition strategy developed is not a document requiring DAE approval, the program manager shall be required to keep all management levels informed on strategy and shall be required to summarize certain aspects of it at the milestone decision points. At the earliest practical date and no later than Milestone II, the program manager shall be required to have a comprehensive strategy for full-scale development, test and evaluation, and production. The strategy for production shall be updated at Milestone III.

5. Management

a. Management Information. Management information shall be limited in all areas of activity to information essential to effective control. Normally, the required information shall be provided from the same data base used by the contractor for management decision making. A realistic work breakdown structure that is limited to the minimum number of levels necessary shall be developed for each program as a framework for planning and assignment of responsibilities, reporting progress, and as a data base in making cost estimates for other systems. A configuration management plan, that is consistent with the work breakdown structure, shall be developed for each program.

b. Programing and Budgeting. Secretary of Defense milestone decisions are based upon review of details of one particular program and reflect the readiness of that system to progress to the next acquisition phase. The program must compete for funds with other programs in the PPBS process. The Secretary of Defense milestone decision is based on specific schedule, cost and operational effectiveness estimates which, if changed significantly, might alter the Secretary of Defense milestone decision. PPBS actions by the DoD Components and the OSD staff, that cause the schedule and cost estimates to change significantly enough to call into question the last milestone decision, shall be explained by the DoD Component or OSD staff element proposing the change in the PPBS document.

c. Estimates. The validity of decisions reached at each milestone depends upon the quality of cost, schedule, performance, and supportability estimates presented at the milestone reviews. Although there is considerable uncertainty early in the acquisition process, every effort must be made to use the best available data and techniques in developing estimates. Bands of uncertainty shall be identified for point estimates. Broad bands of uncertainty shall be expected early in the acquisition process, with smaller bands developed as the program matures and uncertainty decreases. Traceability of successive cost estimates, to include adjustments for inflation and to segregate estimating error from program changes, shall be maintained starting with program cost estimates approved at Milestone I.

(1) A life-cycle cost estimate shall be prepared at Milestone I, using the best available data and techniques. An updated life-cycle cost estimate shall be provided for each subsequent milestone. These cost estimates shall be developed as soon as ongoing development activities permit to eliminate unnecessary delays in the milestone decision process.

(2) Milestone I cost, schedule, performance, and supportability goals shall not inhibit tradeoffs among these elements by the program manager in developing the most cost-effective solution to the mission need.

(3) Goals and thresholds for cost, schedule, performance, and supportability shall be documented in the SDDM. At Milestone II, firm design-to-cost goals shall be established for the system or systems selected for full-scale development. Program accomplishments shall be evaluated against cost, schedule, and supportability goals with the same rigor as the evaluation of technical performance.

d. Thresholds. Threshold values shall be proposed at Milestones I, II, and III by the DoD Component and approved by the Secretary of Defense for cost, schedule, performance, and supportability. These values shall reflect reasonable variances that are acceptable for the goals proposed in the DCP. At Milestone I, threshold values shall be established for only a few items and the distance between the goal and the threshold for individual items may be larger than at subsequent milestones. Program managers are responsible for reporting actual and projected threshold breaches immediately to each line official and the DAE. Following this initial report, the DoD Component shall provide the DAE with an assessment of the problem, a description of the action to be taken to resolve the problem and, if required, a recommendation to establish new threshold values. Approved changes to thresholds shall be documented in a SDDM.

e. Selected Acquisition Reports (SAR). SARs shall be submitted for all major systems in accordance with DoD Instruction 7000.3 (reference (d)). The SAR baseline (Development Estimate) shall be extracted from the goals approved in the SDDM at Milestone II.

f. Use of Government or Not-For-Profit Organizations. When Government laboratories, federally funded research and development centers, educational institutions, and other not-for-profit organizations submit alternative major system design concepts for consideration, care shall be taken to exclude such proposing organizations from participating in the evaluation process on those systems. If further exploration of an alternative system design concept submitted by one of these organizations is appropriate, that concept may be made available to industry to propose on the continued development stages. In selected cases where no capability exists in the private sector or when it may be in the best interest of the Government to do so, DoD research and development centers may be assigned development tasks to complement a major system development. DoD research and development centers may be used as a technical arm of the program management office, especially in matrix management organizations. Typical

assignments may include actions such as studies, analysis, technology development, systems engineering, risk and cost reduction efforts, and development test and evaluation.

g. Affordability

(1) Affordability, the ability to provide adequate resources to acquire and operate a system, is principally a determination of the PPBS process. The ability to provide sufficient resources to execute a program in an efficient and effective manner is a fundamental consideration during milestone reviews. Requests or proposals to proceed into the next acquisition phase shall be accompanied by assurance that sufficient resources are or can be programed to execute the program as directed by the Secretary of Defense.

(2) The DoD Component shall describe in the MENS the general magnitude of resources it is prepared to commit to acquire a system to satisfy the need. At Milestone I, affordability considerations shall be used as a factor in determining the selection of alternative concepts. At Milestones II and III, a favorable decision shall not be made unless the system's projected life-cycle costs, including product improvement and other modifications, are within the amounts reflected in the latest Five Year Defense Plan/Extended Planning Annex (FYDP/EPA) or unless compensating changes are made to other items in the defense program.

(3) The DoD Component briefing presented to the DSARC at Milestones I, II, and III shall include the following affordability considerations:

(a) Comparison of program resource estimates with latest PPBS projections (including the extended planning annex).

(b) Identification of the relative ranking for this system and the DoD Component's other major systems in the same mission area and general time frame in the latest program or budget submission.

(c) Analysis of variation in unit cost (recurring hardware, flyaway, and procurement) with production rate (Milestones II and III).

(d) Identification of potential offsets necessary to provide the resources to execute the remaining phases of the program where program cost estimates provided to the DSARC exceed latest budget projections. Where joint programs are involved, offset identifications shall not be limited to the lead DoD Component.

h. Timeliness. An objective of any acquisition is to achieve Initial Operational Capability (IOC) within the time dictated by the need or threat. When technical, cost, and supportability risks are low or when the urgency to counter a threat transcends high technical, cost, and supportability risks, DoD Components should give consideration to minimizing acquisition cycle time by planned concurrency. This may include

increasing funding, overlapping, combining, or omitting the phases of the acquisition process or overlapping or combining development T&E with operational T&E. The amount or degree of such concurrency should be based on the extent of potential savings in acquisition time balanced against technical, cost and supportability risks and national urgency in each acquisition program. To achieve timely deployment, consideration may also be given to accepting system performance growth after deployment. When any of the foregoing actions are planned, the risks associated therewith will be discussed in the documentation provided to the DSARC. Further, when tailoring of the acquisition process includes modification or reduction of the number of milestone reviews by the Secretary of Defense, the planned approach must be approved in a SDDM.

i. Joint Programs. When system acquisition programs involve more than one DoD Component, the SDDM shall specify the lead DoD Component and provide explicit guidance on the responsibilities of the participating DoD Components, including threat support. The lead DoD Component shall assign the program manager and request the other participating DoD Components to assign deputy program managers. The lead DoD Component shall also establish the program's objectives by promulgating a program charter after coordination with the other participating DoD Components.

6. Competitive Concept Development

a. Alternative Concept Solutions. Alternative concept solutions to the mission need shall be obtained competitively unless the Secretary of Defense, in approving the MENS, has approved pursuing a single concept. Even when pursuing a single concept, competition should be considered in development of that concept. The widest possible range of acquisition and support alternatives to satisfy the mission need shall be considered. Foreign contractors should be included in solicitations, when feasible and when not prohibited by National Disclosure Policy. At a minimum, solicitations shall outline the need in mission terms, schedule objectives and constraints, system cost objectives, and operating and deployment constraints.

b. Standards and Specifications. Maximum use should be made of architectural standards and functional specifications that include only minimum requirements. Specifications stated in detailed or how to language should be avoided, when possible. The number of government specifications and standards specified or referenced in solicitations shall be minimized. Solicitations should normally not specify standard support concepts. If nonstandard support concepts are proposed, they shall be accompanied with estimates of the cost to implement them.

7. Contracting

a. Pre-Proposal Briefings. Program managers should conduct orientation briefings for all interested participants and, where appropriate,

allow industry to comment on acquisition strategy and drafts of solicitations. The objectives are to remove inhibitors to innovative solutions and to improve the approach to achieving all system objectives.

b. Competition. Competition should be introduced in the Concept Exploration phase and maintained throughout the acquisition cycle as long as economically practical. In addition, both the government and its contractors shall break out components for competition throughout the acquisition cycle to the maximum extent possible. Techniques and procedures that result in cost auctioning between prospective contractors or where technical ideas or data are shared with other contractors without prior authorization of the source are prohibited.

c. Socioeconomic Program Implementation. Government socioeconomic programs must be considered throughout the system acquisition process. Particular emphasis shall be placed on contracting with small and disadvantaged business firms.

8. Design Considerations

a. Standardization in Engineering Design. Standardization shall be applied in design during the Demonstration and Validation phase and the Full-Scale Development phase, as appropriate, to reduce cost of production and operational support and to accelerate timely operational readiness through optimum utilization of existing or codeveloped subsystems, equipment, components, parts, and materials common to other systems and available in supply. Standardization shall be optimized to enhance nuclear and nonnuclear survivability and endurance, quality, reliability, maintainability, supportability, and life-cycle cost but shall not compromise essential performance or excessively inhibit the application of new technology and innovative, advanced design. A standardization program, including a parts control program, shall be applied in accordance with methods and objectives described in DoD Directive 4120.3 (reference (e)) and DoD Instruction 4120.19 (reference (f)).

b. Production Planning. From the early phases of the program, consideration shall be given to the costs of production, including total government investment required to ensure adequate production facilities, availability of critical materials, and capability. Affordability must be considered in production planning. The program manager shall also consider means to increase the possibilities for competition during production. When the program requires production of conventional ammunition, early coordination is required with the single manager for conventional ammunition to ensure that the ammunition production plan considered at Milestone II can be executed. Refer to DoD Directive 5160.65 (reference (g)).

c. Operational Concept. The operational concept specifies how the system shall be integrated into the force structure and deployed and operated in peacetime and wartime to satisfy the mission need set forth in the MENS. It establishes required readiness and activity rates and provides the basis for further integrated logistics support planning. An initial

operational concept and system readiness objective must be developed by Milestone I for each alternative and finalized by Milestone II. The operational concept and system readiness objective shall be maintained throughout the program.

d. Manpower and Training

(1) New systems shall be designed to minimize both the numbers and the skill requirements of people needed for operation and support, consistent with system availability objectives. Manpower and personnel factors, to include numbers, occupations, and skill levels of manpower required, shall be included as considerations and constraints in system design. Integration of manpower and personnel considerations with the system shall start with initial concept studies and shall be refined as the system progresses to form the basis for crew station design, personnel selection and training, training devices and simulator design, and other planning related to manpower and personnel.

(2) Where applicable, planning for training shall consider provisions for unit conversion to the fielded system and training of reserve component personnel. Such planning shall consider tradeoffs conducted among equipment design, technical publications, formal training, on-the-job training, unit training, and training simulators and shall develop a cost-effective plan for attaining and maintaining the personnel proficiency needed to meet mission objectives.

(3) After Milestone 0, manpower requirements shall be subjected to tradeoffs with system characteristics and support concepts. Manpower goals and thresholds consistent with projected activity levels, maintenance demands, and support concepts shall be identified by Milestone II. Tradeoffs for maintenance effectiveness among manpower (numbers, occupations, and skill levels), support equipment, system design, and the support structure shall be conducted. The manpower and training requirements to support peacetime readiness objectives and wartime employment shall be developed by Milestone III. These requirements shall be based upon considerations that include available Operational Test and Evaluation results and current field experiences with similar equipment.

e. System Energy Requirements. Energy requirements shall be considered in system selection and design. Major considerations shall be minimum energy usage and the substitution of other energy sources for petroleum and natural gas.

f. Electromagnetic and Other Spectrum Allocation. Planning and coordination for spectrum allocation, compatibility, and use with other systems having related spectra shall be conducted as early as possible for all systems involving intentional radiation or reception of electromagnetic energy, optical energy, acoustic energy, or other types of energy.

g. Deployment Requirements. When deployment is a requirement, transportability shall be a system selection and design factor. The

transportability of individual systems and components and units equipped with such systems in programed military and Civil Reserve Air Fleet aircraft or other transportation modes shall be evaluated. Tradeoffs between transportability and combat effectiveness may be appropriate. Both intertheatre and intratheatre transportability shall be considered.

h. Safety and Health. System safety engineering and management programs shall be in accordance with the criteria and procedures in DoD Instruction 5000.36 (reference (h)) to ensure that the highest degree of safety and occupational health, consistent with mission requirements and cost effectiveness, is designed into DoD systems.

i. Environment. Environmental consequences of system selection, development, production, and deployment shall be assessed at each milestone, and environmental documentation prepared in accordance with DoD Directive 6050.1 (reference (i)).

j. Quality. A quality program shall be implemented in accordance with the criteria and procedures set forth in DoD Directive 4155.1 (reference (j)) to ensure user satisfaction, mission and operational effectiveness, and conformance to specified requirements.

k. Security. Physical security requirements shall be incorporated into the design of any system in which security of the system or of its operating or supporting personnel is essential to the readiness and survivability of the system. Deployment of the physical security subsystem shall take into account the requirements of DoD Directive 3224.3 (reference (k)).

9. Reliability and Maintainability (R&M). Goals and thresholds shall be proposed in the DCP at Milestone II for system R&M parameters directly related to operational readiness, mission success, nuclear and nonnuclear survivability and endurance, maintenance manpower cost, and logistic support cost. R&M goals and thresholds shall be defined in operational terms and shall include both contractor furnished equipment (CFE) and government furnished equipment (GFE) elements of the system.

a. R&M goals shall be realistically achievable in service. When possible, operational R&M deficiencies shall be precluded by design of CFE, by careful selection of GFE, and by tailoring of R&M-related operating and support concepts, policies, and planning factors.

b. The R&M thresholds recommended at Milestone II shall be the minimum operational values acceptable to the DoD Component. Thresholds approved in the SDDM at Milestone II shall be achieved before Milestone III. Thresholds approved in the SDDM at Milestone III shall be achieved during initial deployment.

c. R&M growth shall be predicted and graphically displayed in the IPSs prepared for Milestones II and III. The SDDM shall include threshold

values, with specified confidence levels, at interim review points. A threshold breach shall be reported at these points if these threshold values are not achieved.

d. Resources shall be identified for incorporation and verification of R&M design corrections during full-scale development and initial deployment. Assessment of current R&M values and timely corrective action are required until all R&M thresholds approved at Milestone III have been achieved in service or approved by waiver.

10. Test and Evaluation. Test and evaluation shall commence as early as possible. An estimate of operational effectiveness and operational suitability, including logistic supportability, shall be made prior to a full-scale production decision. The most realistic test environment will be chosen to test an acceptable representation of the operational system. Refer to DoD Directive 5000.3 (reference (l)).

11. Logistics. Integrated logistic support plans and programs, including NATO or bilateral allied support, shall be structured to meet peacetime readiness and wartime employment system readiness objectives tailored to the specific system. Beginning early in the system development process, both Department of Defense and industry shall consider innovative manpower and support concepts. Alternative maintenance concepts shall be assessed during concept development and at other appropriate points of the life cycle. Readiness problems and support cost drivers of current systems shall be analyzed to identify potential areas of improvement to be addressed during concept formulation. Program goals shall be based on quantitative analysis and established by Milestone II. Detailed support planning shall be initiated during full-scale development, and firm requirements shall be established before Milestone III. The supportability of a system's nuclear hardness design shall receive explicit consideration. Logistics and manpower planning shall be adjusted based on follow-on T&E and other appropriate reviews. Before Milestone III, the acquisition strategy shall be updated to include follow-on support in accordance with DoD Directive 4100.35 (reference (m)).

12. Computer Resources. Acquisition of embedded computer resources for operational military systems (including command and control systems) shall be managed within the context of the total system.

a. Requirements for interfaces between computers and plans to achieve that interface must be identified early in the life cycle. Plans for software development, documentation testing, and update during deployment and operation require special attention.

b. Computer resource planning shall be accomplished before Milestone II and continued throughout the system life cycle.

c. Computer hardware and software shall be specified and treated as configuration items. Baseline implementation guidance is contained in DoD Instruction 5010.19 (reference (n)).

13. Command and Control Systems

a. The major characteristics of command and control systems that require special management procedures are a rapidly evolving technological base, multiple requirements for internal and external interfaces, and reliance on automatic data processing hardware and related software. Such command and control systems differ from other weapon systems: they are acquired in small numbers, in some cases only one of a kind; their operational characteristics are largely determined by the users in an evolutionary process; and commercial equipment exists that can emulate the function. For command and control systems meeting the above criteria, acquisition management procedures should allow early implementation and field evaluation of a prototype system using existing commercial or military hardware and software.

b. Upon the recommendation of the appropriate using command, the DoD Component or the ASD(C^3I), an alternate acquisition procedure shall be presented for approval by the Secretary of Defense. Following the documentation of a command and control major system requirement in a MENS approved by the Secretary of Defense in a SDDM, the design and testing of such systems should, in most cases, be accomplished in an evolutionary manner. These command and control systems shall be configured initially as prototypes using existing military or commercial equipment to the maximum extent possible and with a minimum of additional software. The designated users should be tasked to test various configurations in an operational environment using prototype and laboratory or test bed equipment and to assume the major responsibility for the Demonstration and Validation phase. In these cases, it shall be necessary for the DoD Component to recommend in the MENS that the Concept Exploration phase be combined with the Demonstration and Validation phase. The end result of combining these phases shall be a definition of a command and control system, including operational software, tailored to meet the commander and user needs and the documentation necessary for operational employment. When these objectives are achieved, the DoD Component shall normally recommend that the system be procured in sufficient numbers for initial fielding. In other cases, the DoD Component may decide to use the results of the test bed to initiate a competitive Full-Scale Development phase.

c. The procedures described in this paragraph are equally applicable to those non-major command and control systems that meet the criteria described above. Developers of such systems should be encouraged to pursue these alternative procedures when appropriate.

14. International Programs: NATO Rationalization, Standardization and Interoperability (RSI). DoD Components shall take action on the following areas and report progress at all milestone reviews.

a. Consider NATO country participation throughout the acquisition process. This includes standardization and interoperability with other NATO weapons systems.

b. Consider NATO doctrine and NATO member threat assessments. In development of MENS, mission needs of NATO members shall be considered. In general, data that cannot be disseminated to foreign nations shall not be included in MENS.

c. Solicit NATO member contractors for bids and proposals on U.S. systems and components when such an opportunity is not precluded by statute or by the National Disclosure Policy.

d. During the evaluation of alternative system concepts, the DoD Component shall:

(1) Consider all existing and developmental NATO member systems that might address the mission need. Identify any performance, cost, schedule, or support constraints that preclude adoption of a NATO system.

(2) Determine testing requirements for NATO member candidate systems recommended for further development or acquisition.

(3) Determine whether a waiver of "Buy American" restrictions is appropriate, when a Secretary of Defense determination has not been made.

(4) Develop plans for further international cooperation in subsequent phases of the acquisition cycle for items such as cooperative development, coproduction, subcontracting, and cooperative testing or exchange of test results.

(5) Recommend U.S. position on third-country sales, recoupment of research and development costs or sharing research and development costs, and release of technology.

e. In subsequent phases of the acquisition cycle, DoD Components shall:

(1) Continue to expand and refine plans for international cooperation.

(2) Develop plans for host nation initial or joint logistics support, if applicable.

F. ORDER OF PRECEDENCE

The provisions of DoD Directive 5000.1 (reference (b)) and this Instruction are first and second in order of precedence for major system acquisition except where statutory requirements override. Any Department of Defense issuance in conflict with DoD Directive 5000.1 (reference (b)) or this Instruction shall be changed or canceled. Conflicts remaining after 90 days from issuance of this Instruction shall be brought to the attention of the originating office and the DAE.

G. EFFECTIVE DATE AND IMPLEMENTATION

This Instruction is effective immediately. Forward one copy of implementing documents to the Under Secretary of Defense for Research and Engineering within 120 days.

W. Graham Claytor, Jr.

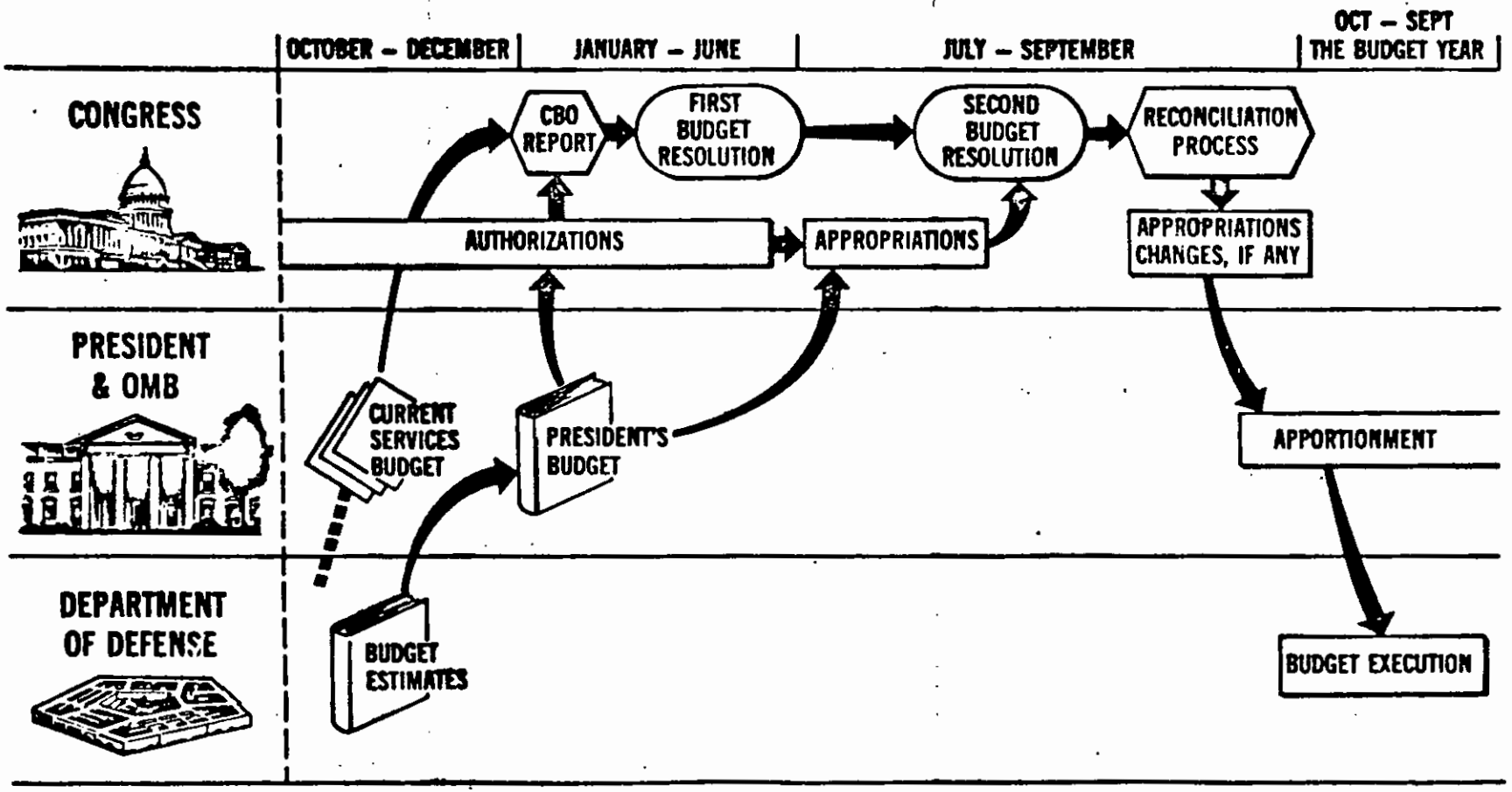
W. Graham Claytor, Jr.
Deputy Secretary of Defense

Enclosures - 5
1. References
2. Mission Element Need Statement (MENS) - Format
3. Decision Coordinating Paper (DCP) - Format
4. Integrated Program Summary (IPS) - Format
5. DoD Policy Issuances Related to Acquisition of Major Systems

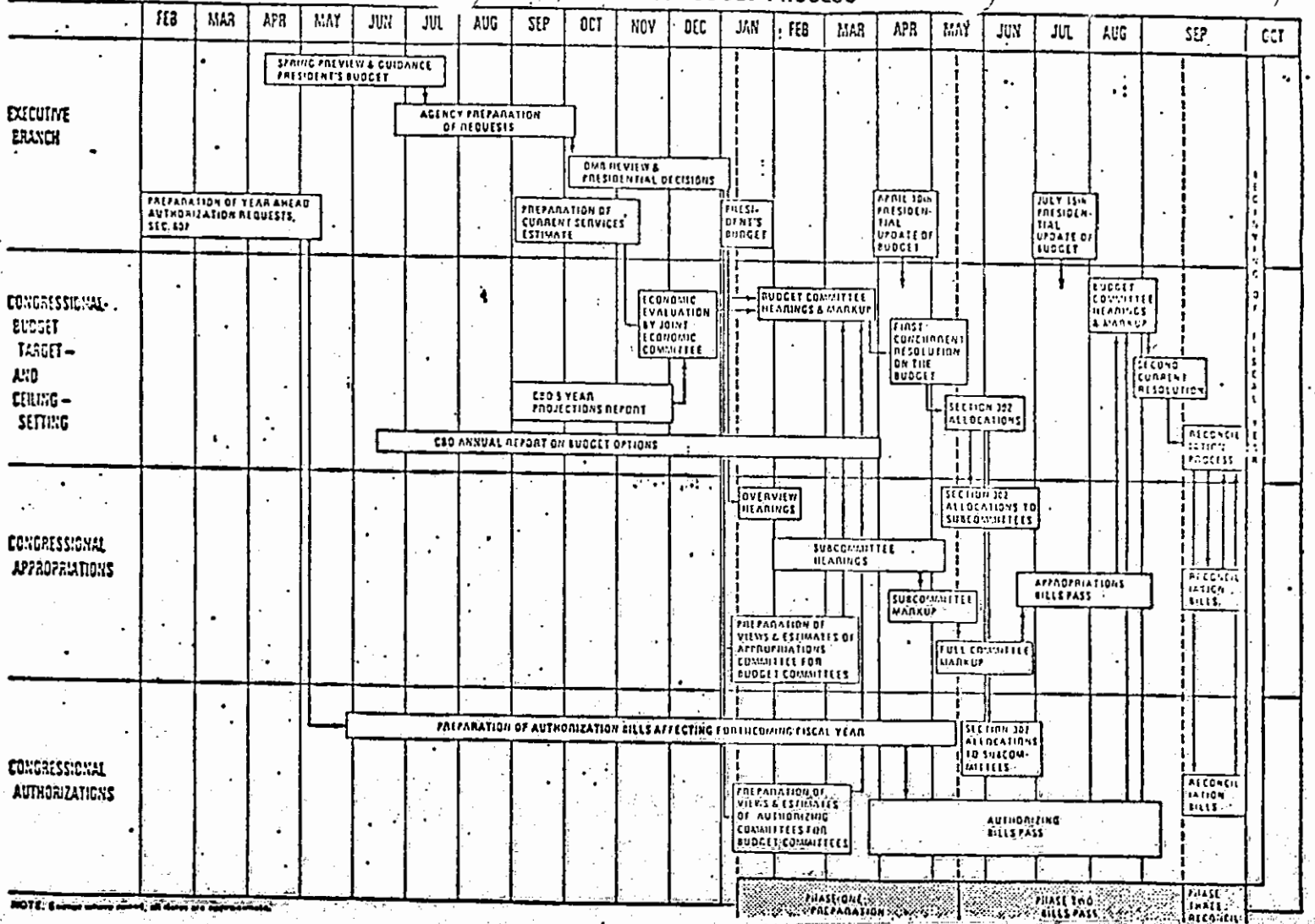
SUMMARY OF THE CONGRESSIONAL BUDGET PROCESS

- THIS SECTION PROVIDES A BRIEF DESCRIPTION OF THE CONGRESSIONAL BUDGET PROCESS AS ESTABLISHED BY THE CONGRESSIONAL BUDGET AND IMPOUNDMENT CONTROL ACT OF 1974.
- THE ACT ESTABLISHES A TIMETABLE FOR VARIOUS PHASES OF THE BUDGET PROCESS.
- THE ACT ALSO ESTABLISHES PROCEDURES FOR CONGRESSIONAL REVIEW OF PRESIDENTIAL IMPOUNDMENT ACTIONS.

BUDGET PROCESS — NEW STYLE



1. THE FEDERAL BUDGET PROCESS



THE CONGRESSIONAL BUDGET PROCESS

Synopsis

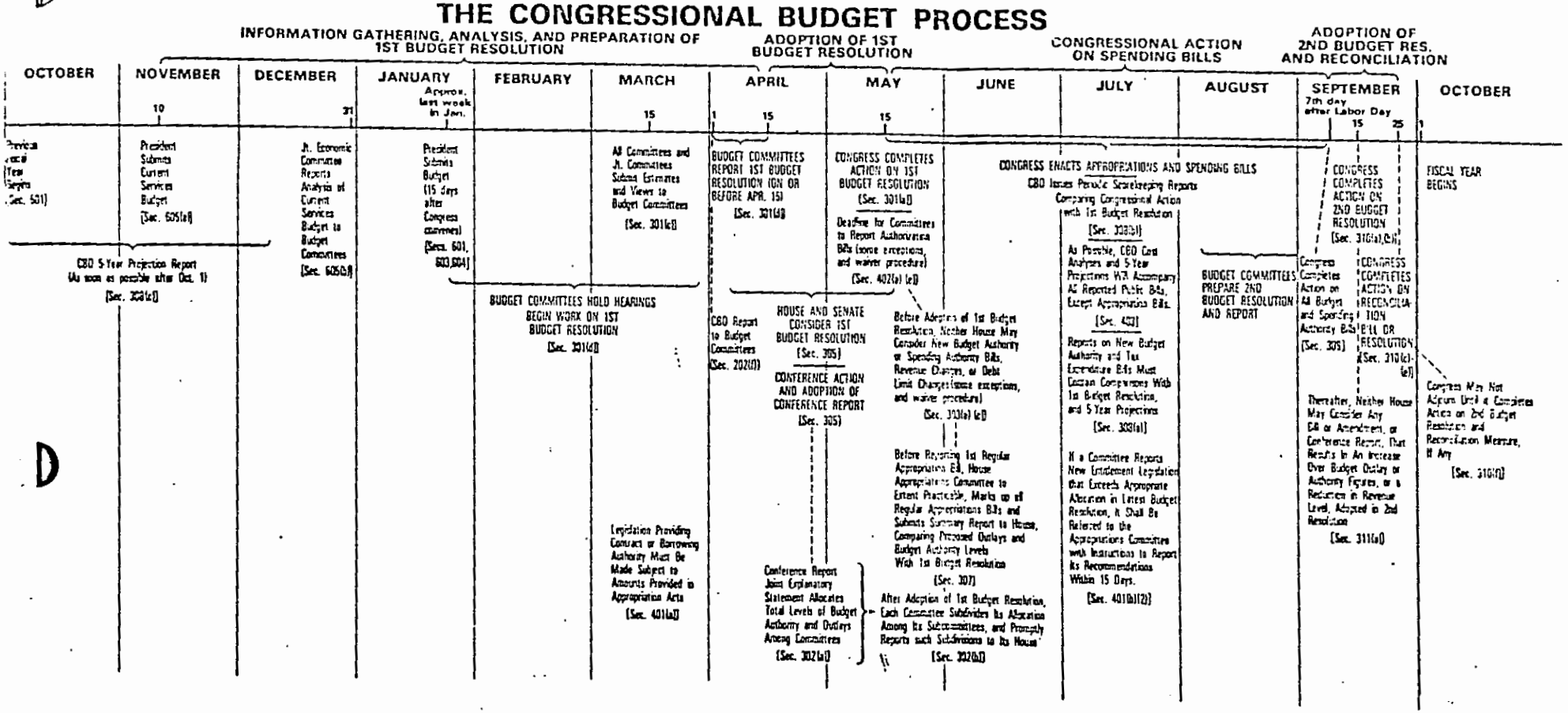
P.L. 93-344, The Congressional Budget Act of 1974, established new procedures for Congress to handle appropriations. The essence of the system is the "Concurrent Resolution on the Budget." These Budget Resolutions set forth, on an aggregate basis, the size of the United States Budget; amount of budget authority; level of outlays; level of revenues; surplus or deficit; and change in the debt. This allows Congress the chance to examine the Budget as a whole, and to consider its impact on the national economy. Heretofore, Congress has had no comprehensive overview of the Budget. Rather, appropriation bills were acted upon separately with little attempt to relate revenues to outlays.

The first Budget Resolution is designed to act as a target for Congressional action during the summer--it is not binding, in that Congress may take any action it chooses on appropriations bills. But through periodic scorekeeping reports issued by the Budget Committees and the Congressional Budget Office (all established by P.L. 93-344), Congress may compare amounts in appropriation bills with the targets in the first Budget Resolution. The second Budget Resolution revises or reaffirms the figures in the first Resolution and makes them binding. Thus, the outlay target in the first Budget Resolution becomes a spending ceiling by the second; the revenue target in the first Resolution becomes a "revenue floor" in the second. The second Resolution may also direct other committees of Congress to take actions in compliance with the binding limits in that Resolution. For example, the Appropriations Committee may be directed to rescind amounts already enacted.

The Budget Resolutions also serve a second major purpose: they allow Congress to debate and, if desired, to adjust the priorities inherent in the aggregate figures. This is accomplished by dividing the totals among functional categories, such as Agriculture, National Defense, or Health. As well as adjusting the totals, Congress may adjust the mix.

HOUSE COMMITTEE ON THE BUDGET

THE CONGRESSIONAL BUDGET PROCESS



THE CONGRESSIONAL BUDGET AND IMPOUNDMENT CONTROL ACT OF 1974

THE CONGRESSIONAL BUDGET PROCESS

Title III of the Act establishes a timetable for various phases of the congressional budget process, prescribing the actions to take place at each point. Following is a description of the elements of the congressional budget timetable set forth in Section 300 of the Act:

	Action to be completed
On or before Nov. 10 ----------	President submits current services budget

Submission of a current services budget is the first element in the timetable. This document estimates the budget authority and outlays needed to carry on existing programs and activities for the next fiscal year under certain economic assumptions. Its purpose is to give the Congress, at the earliest date possible (just one month after the current fiscal year has begun), detailed information with which to begin analysis and preparation of the budget for the upcoming fiscal year.

Thus, the Congressional Budget Office (CBO) and the House and Senate Budget Committees begin work on new budget projections based on the current fiscal year's levels. To help them evaluate the President's projections, the Act requires the Joint Economic Committee to report to the Budget Committees by December 31 on the estimates and economic assumptions in the current services budget.

	Action to be completed
On or before 15th day after Congress meets ----------	President submits his budget

The President's budget is required to be submitted 15 days after the Congress convenes. This budget remains one of the major factors in the development of the congressional budget. Shortly after its submission, the two Budget Committees begin hearings on the budget, the economic assumptions upon which it is based, the economy in general, and national budget priorities. Participants at these hearings include Administration officials, Members of Congress, and representatives of various national interest groups.

	Action to be completed
On or before Mar. 15 ----------	Committees and joint committees submit reports to Budget Committees

An important step in the budget process is the submission of the views and recommendations of all standing committees of the House and Senate.

These reports are due March 15, one month in advance of the reporting date of the first concurrent resolution on the budget. These reports are important to the proper functioning of the budget process and, accordingly, are made mandatory by the Act. They provide the Budget Committees with an early and comprehensive indication of committee legislative plans for the next fiscal year. These reports contain the views and estimates of new budget authority and outlays to be authorized in legislation under their jurisdictions which will become effective during the next fiscal year.

In addition, the Joint Economic Committee is directed to submit a report with its recommendations as to the fiscal policies that would be appropriate to achieve goals of the Employment Act of 1946.

	Action to be completed
On or before Apr. 1 ----------	CBO submits report to Budget Committees

The CBO is required to submit its report to the Budget Committees on or before April 1. This report deals primarily with overall economic and fiscal policy and alternative budget levels and national budget priorities.

	Action to be completed
On or before Apr. 15 ----------	Budget Committees report first concurrent resolution on the budget to their Houses

April 15 is fixed by the Act as the deadline for reporting by the Budget Committees of the first concurrent resolution on the budget. This date allows a maximum of one month for floor consideration in each House, conference between the two Houses, and adoption of conference reports, required to be completed by May 15.

The concurrent resolution sets forth the following:

1. The appropriate levels of total budget authority and outlays for the next fiscal year, both in the aggregate and for each major functional category of the budget.

2. The appropriate budget surplus or deficit for the next fiscal year.

3. The recommended level of Federal revenues and recommended increases or decreases in revenues to be reported by appropriate committees.

4. The appropriate level of the public debt and recommended increases or decreasea to be reported by appropriate committees.

5. Any other matters deemed appropriate to the congressional budget process.

In addition, the report on the resolution compares the Budget Committee's revenue estimates and budget authority and outlay levels with the estimates and amounts in the President's budget. It also identifies the recommended sources of revenues; makes five-year budget projections; and indicates significant changes, if any, in Federal aid to States and localities.

The first budget resolution for a given fiscal year establishes targets for budget authority and outlays for each of the major functional categories, as well as for the five major budget aggregates--revenues, budget authority, outlays, deficit, and public debt. These budget targets, which represent a congressional determination of appropriate fiscal policy and national budget priorities, guide the Congress in its subsequent spending and revenue decisions. With the adoption of the second concurrent budget resolution, the aggregate budget authority, outlays, and revenue levels become binding.

Following adoption of the budget resolutions, the Budget Committee, aided by the CBO, provides up-to-date scorekeeping reports to inform Members as to how congressional action on spending and revenues compares with the budget aggregates and functional targets in the resolution.

On or before:	Action to be completed
May 15	Committees report bills authorizing new budget authority
May 15	Congress completes action on first concurrent resolution on the budget

May 15 is a key date in the new budget process for two reasons:

First, it is the deadline for the reporting of legislation authorizing new budget authority, a requirement imposed by Section 402 of the Act. Authorization measures reported after that date may be considered in the House only if an emergency waiver reported by the Rules Committee is adopted. Exempted from this May 15 reporting requirement are entitlement bills and omnibus social security legislation.

This reporting deadline is an important part of both the overall budget process and a prerequisite to the timely enactment of appropriation bills. In addition, section 607 of the Act requires advance submission by the Executive Branch of proposed authorizing legislation (that is, submission at least one year and 4½ months in advance of the fiscal year to which it applies); and the statement of managers on the Budget Act legislation expresses its expectation that the Congress will develop a pattern of advance authorizations for programs now authorized on an annual or multi-year basis.

Second, May 15 is the deadline for the adoption of the first budget resolution by the Congress; and prior to its adoption, neither House

may consider any revenue, spending, entitlement, or debt legislation. The only measures permitted to be considered prior to the adoption of the first resolution are those involving advance budget authority or changes in revenues which first become effective following the fiscal year dealt with in the first resolution.

In addition to the various matters required to be included in the resolution, the Act also provides for important material to be included in the joint statement of managers accompanying the conference report.

The joint statement must distribute the allocations of total budget authority and outlays contained in the resolution among the appropriate committees of the House and Senate. For example, if the conference report allocates $7 billion in budget authority and $6 billion in outlays for a certain functional category, the statement of managers must divide those amounts among the various committees of the House and Senate with jurisdiction over programs and authorities covered by that functional category. Each committee to which an allocation is made must, in turn, further subdivide its allocation among its subcommittees or programs, and promptly report such subdivisions to its House.

	Action to be completed
On or before 7th day after Labor Day	Congress completes action on bills and resolutions providing new budget authority and new spending authority

The next critical date in the budget process is the 7th day after Labor Day, the deadline for completing action on all regular budget authority and entitlement bills. The only exception to this requirement is for appropriations bills whose consideration has been delayed because necessary authorizing legislation has not been timely enacted.

This deadline is of critical importance for the budget process. While most spending legislation is expected to be acted upon in the months immediately following the adoption of the first resolution on May 15, it is crucial for all spending bills to be completed by the deadline date. The reason is that by the 7th day after Labor Day only three weeks will remain until the start of the new fiscal year, and during those weeks Congress must adopt a second budget resolution and undertake and complete a reconciliation process, if necessary.

Thus, even a small delay in completing authorizing and spending legislation can upset the timing of remaining budget actions (adoption of the second resolution and completion of the reconciliation process). Congress would then be forced into continued reliance on "continuing resolutions," a major defect sought to be corrected by the new budget process.

On or before:	Action to be completed
Sept. 15	Congress completes action on second required concurrent resolution on the budget
Sept. 25	Congress completes action on reconciliation bill or resolution, or both, implementing second required concurrent resolution

September 15 and 25 are, respectively, the dates for adoption of the second resolution and completion of the reconciliation process, the final phase of the new budget process.

The Act sets no deadline for reporting this second resolution. The date probably will vary from year to year depending on when action is completed on the various spending bills.

The second resolution affirms or revises, on the basis of new information and data, changed economic circumstances, and Congress' spending actions, the matters contained in the first resolution (that is, the "target" levels of budget authority and outlays, total revenues, and the public debt limit). In addition, the second resolution may direct the committees with jurisdiction over any changes to the House. The changes may include rescinding or amending appropriations and other spending legislation, raising or lowering revenues, making adjustments in the debt limit, or any combination of such actions.

For example, the resolution might call upon the Appropriations Committees to report legislation rescinding or amending appropriations, and the Ways and Means and Finance Committees to report legislation adjusting tax rates or the public debt limit. In addition, other committees may be called upon to report certain actions.

Implementing legislation solely within the jurisdiction of one committee is reported to the House or Senate by that Committee. However, if more than one committee is directed to report certain actions, then the committees submit their recommendations to the Budget Committees which compile the various actions, without substantive change, into a single reconciliation measure. This special procedure is necessary to expedite completion of the reconciliation process.

The Congress may not adjourn sine die until it has completed action on the second resolution and the reconciliation process. Furthermore, after adoption of the second resolution and completion of the reconciliation process, it is not in order in either House to consider any new spending legislation that would cause the aggregate levels of total budget authority or outlays adopted in that resolution to be exceeded, nor to consider a measure that would reduce total revenues below the levels in the resolution. Such legislation is subject to a point of order.

Of course, Congress may adopt a revision of its most recent resolution at any time during the fiscal year. In fact, the framers of the Budget Act anticipated that, in addition to the May and September resolutions, Congress may adopt at least one additional resolution each year, either in conjunction with a supplemental appropriations bill or in the event of sharp revisions in revenues or spending estimates brought on by major changes in the economy.

	Action to be completed
On or before Oct. 1 ----------	Fiscal year begins

The completion of reconciliation actions beings the budget timetable to a close, five days before the start of the fiscal year on October 1.

* * * * *

The congressional budget timetable sets firm dates for key elements of the new system. Certain parts of the budget process cannot move ahead unless other actions are completed. Appropriations cannot be considered until the first budget resolution is adopted and necessary authorizations have been enacted. Reconciliation actions cannot be undertaken until action is completed on appropriation bills and the second budget resolution. Thus, failure to complete a particular action on schedule affects later actions as well. In short, the four main phases of the budget process (authorizations, budget resolutions, spending measures, and reconciliations) must be completed by the dates assigned to them in the Act.

THE CONGRESSIONAL BUDGET AND IMPOUNDMENT CONTROL ACT OF 1974

IMPOUNDMENT CONTROL

Title X of the Act establishes procedures for congressional review of Presidential impoundment actions. This is a companion feature of the new budget control system. The title recognizes two types of impoundment actions by the Executive Branch: rescissions and deferrals.

Rescissions must be proposed by the President whenever he determines that (1) all or part of any budget authority will not be needed to carry out the full objectives of a particular program; (2) budget authority should be rescinded for fiscal reasons; or (3) all or part of budget authority provided for only one fiscal year is to be reserved from obligation for that year. In such cases, the President submits a special message to the Congress requesting rescission of the budget authority, explaining fully the circumstances and reasons for the proposed action. Unless both Houses of the Congress complete action on a rescission bill within 45 days, the budget authority must be made available for obligation.

Deferrals must be proposed by the President whenever any Executive action or inaction effectively precludes the obligation or expenditure of budget authority. In such cases, the President submits a special message to the Congress recommending the deferral of that budget authority. The President is required to make such budget authority available for obligation if either House passes an "impoundment resolution" disapproving the proposed deferral at any time after receipt of the special message.

Rescission and deferral messages are also to be transmitted to the Comptroller General who must review each message and advise the Congress of the facts surrounding the action and its probable effects. In the case of deferrals, he must state whether the deferral is, in his view, in accordance with existing statutory authority. The Comptroller General is also required to report to the Congress reserve or deferral actions which have not been reported by the President; and to report and reclassify any incorrect transmittals by the President.

If budget authority is not made available for obligation by the President as required by the impoundment control provisions, the Comptroller General is authorized to bring a civil action to bring about compliance. However, such action may not be brought until 25 days after the Comptroller General files an explanatory statement with the House and Senate.

The President is also required to submit monthly cumulative reports of proposed rescissions, reservations, and deferrals. These reports, to be published in the Federal Register, explain fully the factors that prompted the various impoundment actions.

BUDGET TIMETABLE

On or before:	Action to be completed:
November 10	President submits current services budget.
15th day after Congress meets	President submits his budget.
March 15	Committees and joint committees submit reports to Budget Committees.
April 1	Congressional Budget Office submits report to Budget Committees.
April 15	Budget Committees report first concurrent resolution on the budget to their Houses.
May 15	Committees report bills and resolutions authorizing new budget authority.
May 15	Congress completes action on first concurrent resolution on the Budget.
7th day after Labor Day	Congress completes action on bills and resolutions providing new budget authority and new spending authority.
September 15	Congress completes action on second required concurrent resolution on the budget.
September 25	Congress completes action on reconciliation bill or resolution, or both, implementing second required concurrent resolution.
October 1	Fiscal year begins.

CONGRESSIONAL HEARINGS

The President's Budget will probably be transmitted to the Congress on January 19, 1981. Hearings begin immediately after that with the Armed Services Committees and then the Appropriations Committees hearing the Secretary of Defense and the Chairman of the Joint Chiefs of Staff with the Defense Posture. Service Secretaries and Chiefs usually follow with the Military Department Posture Statements. Posture hearings are usually completed by mid-to-end-February and then detailed hearings follow.

Attached listings of the calendar year 1980 House and Senate Defense and Military Construction Appropriation Subcommittee hearings are illustrative of the type of hearings held by these committees each year.

HOUSE APPROPRIATIONS DEFENSE SUBCOMMITTEE HEARINGS
CALENDAR YEAR 1980

February 4 & 5 10 AM/1:30 PM (4th) 9:30 AM (5th)	FY 81 Defense Posture Statement - Honorable Harold Brown
February 5 & 6 1:30 PM (5th) 9:30 AM/1:30 PM (6th)	FY 81 Army Posture Statement - Honorable Clifford L. Alexander, Jr.
February 19 & 20 9:30/1:30 (19th) 9:30 (20th)	FY 81 Navy Posture Statement - Honorable Edward Hidalgo
February 20 & 21 1:30 PM (20th) 9:30/1:30 (21st)	FY 81 Air Force Posture Statement - Honorable Hans M. Mark
February 26 9:30 AM/1:30 PM	FY 81 Defense Budget Overview - Honorable Fred P. Wacker
February 27 10:00 AM/1:30 PM	FY 81 Research, Development & Acquisition Posture Statement - Honorable William J. Perry
February 28 9:30 AM/1:30 PM	FY 81 Research, Development & Acquisition Posture Statement - Honorable William J. Perry
March 4 10 AM/1:30 PM	European Command - Gen. Bernard W. Rogers
March 5 9:30 AM/1:30 PM	Strategic Air Command - Gen. Richard H. Ellis
March 6 9:30 AM/1:30 PM	Readiness Command - Gen. Volney F. Warner
March 11 1:30 PM	Signals Intelligence Processing - Adm. B. R. Inman
March 12 9:30 AM/1:30 PM	General Defense Intelligence Program Processing Overview - Gen. Eugene Tighe Imagery Processing - Dir., National Photographic Interpretation Center National Foreign Assessment Center Processing - Dep. Dir., National Foreign Assessment Center Human Intelligence Processing - Associate Dep. Dir. for Operations (CIA) National Foreign Intelligence Program Overview - Adm. Stansfield Turner

HOUSE APPROPRIATIONS DEFENSE SUBCOMMITTEE HEARINGS (CONT'D)
CALENDAR YEAR 1980

March 13 9:30 AM	Intelligence Related Activities Overview - Hon. Gerald P. Dinneen
March 13 1:30 PM	Use of the Space Shuttle - Hon. Hans Mark
March 18 10:00 AM/1:30 PM	TENCAP - Dr. James H. Babcock
March 19 9:30 AM	Special Activities, Air Force - Air Force witnesses
March 19 1:30 PM	Special Activities, Navy - Navy witnesses
March 19 2:45 PM	Defense Intelligence Agency Budget Request - DIA witnesses
March 24 9:30 AM	Tactical Cryptologic Program - Admiral Inman
March 24 10:45 AM	CIA Budget - Mr. Frank Carlucci
March 24 1:30 PM	Air Force Intelligence Related Activities - Air Force witnesses
March 25 9:30 AM/1:30 PM	Central Intelligence Agency - CIA witnesses
March 26 9:30 AM	Navy/Marine Corps Intelligence Related Activities - Navy and Marine Corps witnesses
March 26 1:30 PM	Army Intelligence Related Activities - Army witnesses
March 26 3-4 PM	Project BETA, and BETA Reprogramming - Dr. Harry L. Van Trees
April 1 9:30 AM-12 NOON	FY 81 Defense Manpower Overview - Hon. Robert B. Pirie
April 1 1:30 PM	Navy & Marine Corps Manpower Programs - VADM Robert B. Baldwin
April 1 2:30 PM	Army Manpower Programs -.Mr. William D. Clark
April 1 3:30 PM	Air Force Manpower Programs - Mr. Joesph Zengerle

HOUSE APPROPRIATIONS DEFENSE SUBCOMMITTEE HEARINGS (CONT'D)
CALENDAR YEAR 1980

April 2 10:00 AM/1:30 PM	Implementation of FY 79 and FY 80 Congressional Actions in Military Personnel and O&M Areas - Mr. Joseph Sherick
April 15 10:00 AM/1:30 PM	Army RDT&E Programs - Army Witnesses
April 16 9:30 AM/1:30 PM	Navy RDT&E Programs - Navy Witnesses
April 21 1:00 PM	FY 80 DoD Supplemental Request - Hon. Harold Brown
April 22 9:30 AM/1:30 PM	FY 80 Army Supplemental Request - BG Corey Wright
April 23 9:30 AM	FY 80 Reprogrammings (Intel. Community & Air Force)
April 23 11:00 AM/1:30 PM	FY 80 Air Force Supplemental Request - MG George M. Browning
April 24 9:30 AM/1:30 PM	FY 80 Navy Supplemental Request - RADM T.J. Hughes
April 28 1:30 PM/2:30 PM	Hostage Rescue Situation - Honorable W. Graham Clayton, DepSecDef
April 29 9:30 AM/1:30 PM	Subcommittee Markup of '80 Supplemental
April 30 9:30 AM/1:30 PM	Air Force RDT&E Programs - LTG Kelly H. Burke
May 1	FY 80 Reprogrammings - Intelligence
May 6 10 AM	Air Force RDT&E Programs (Cont'd from Apr. 30) - LTG Kelly H. Burke
May 6 1:30 PM	FY 80 Reprogrammings - Air Force and DMA
May 7 9:30 AM/1:30 PM	DoD Transportation Activities - Mr. Paul Hyman
May 8 9:30 AM	Full Committee Markup of FY 80 Supplemental
May 12 1:30 PM	DoD Medical Activities - Hon. John Moxley

HOUSE APPROPRIATIONS DEFENSE SUBCOMMITTEE HEARINGS (CONT'D)
CALENDAR YEAR 1980

May 13 9:30 AM	FY 80 Reprogrammings - Army
May 14 9:30 AM/1:30 PM	Navy Shipbuilding - VADM J. H. Doyle, Jr.
May 15 9:30 AM/1:30 PM	MX Program - Hon. William J. Perry
May 20 10:00 AM/1:30 PM May 21 9:30 AM/1:30 PM	O&M - Air Force - BG Richard D. Murray
May 22 9:30 AM/1:30 PM	Telecommunications, Command & Control - Hon. Gerald P. Dinneen
May 28 9:30 AM	Wheeled Vehicles - Hon. Percy A. Pierre
May 28 1:30 PM	Anti-Armor Weapons - Mr. Robert A. Moore
June 2 2:00 PM	Hostage Rescue Mission - Hon. W. Graham Claytor
June 3 10:00 AM/1:30 PM	Tactical Aircraft & Air-to-Air Missiles - Army & Marine Corps witnesses
June 4 9:30 AM/1:30 PM	Navy & Air Force witnesses
June 5 9:30 AM/1:30 PM	Procurement Practices - Mr. Dale W. Church
June 10 10:00 AM/1:30 PM	Operation and Maintenance, Army - Army witnesses
June 11 9:30 AM	Ballistic Missile Defense - Army witnesses
June 12 9:30 AM/1:30 PM	Marine Corps Missions/Operations/Modernization and Rapid Deployment Force Requirements - Marine Corps witnesses
June 17 10:30 AM/2:30 PM	Guard and Reserve Programs - Honorable Harold W. Chase
June 18 9:30 AM	Army Guard and Reserve Mobilization Process - MG Emmett H. Walker, Jr.
June 18 10:00 AM	FY 80 Air Force Reprogrammings - Air Force witnesses

HOUSE APPROPRIATIONS DEFENSE SUBCOMMITTEE HEARINGS (CONT'D)
CALENDAR YEAR 1980

June 18 1:30 PM	Air Guard and Reserve Programs - MG John T. Grice
June 18 2:00 PM	FY 80 Reprogrammings - Army, Navy, and OSD witnesses
June 19 9:30 AM/1:30 PM	Ammunition Programs - BG Lawrence Skibbie
June 24 9:30 AM	General Provisions and Language - Mr. Manuel Briskin
June 25 9:30 AM/1:30 PM	Operation and Maintenance, Navy - RADM Thomas J. Hughes
June 26 1:30 PM	Subcommittee Markup of Reprogrammings Heard on June 18
June 30 & July 1	Outside Witnesses
Sept. 18 9:30 AM	FY 80 Mil Pers Reprogrammings - Mr. Dube
Sept. 23 9:30 AM	FY 1980 Navy & Air Force Reprogrammings - Navy and Air Force witnesses
Oct. 1 10:30 AM	FY 80 Below Threshold Reprogramming on 30mm Gun POD - Air Force witnesses

HOUSE APPROPRIATIONS MILITARY CONSTRUCTION SUBCOMMITTEE HEARINGS
CALENDAR YEAR 1980

February 26 9:30 AM	FY 81 Defense Budget Overview - Mr. John R. Quetsch
February 26 1:30 PM	Intelligence Overview - Mr. John R. Hughes
February 27 9:30 AM/1:30 PM	FY 81 Military Construction Program Overview - Mr. Perry Fliakas
February 28 10:00 AM	Program Oversight - Mr. Perry Fliakas
February 28 1:30 PM	Army Master Restationing Plan - Army witnesses
March 4 9:30 AM/1:30 PM	Planning and Design Program - Mr. Perry Fliakas
March 5 9:30 AM/1:30 PM	Pollution Abatement, Energy Conservation, and Safety Programs - Mr. George Marienthal
March 6 9:30 AM/1:30 PM	Medical Construction Programs - Mr. Vernon McKenzie
March 11 10:00 AM	Defense Posture in the Pacific - Mr. Perry Fliakas
March 11 & 12 1:30 PM (Closed)	Host Nation Support - LTG Richard H. Groves
March 12 9:30 AM/1:30 PM	NATO Construction Program - MG William Read
March 13 9:30 AM/1:30 PM	Strategic Programs: Cruise Missile, Space Shuttle, Trident - MG William Gilbert
March 18 10:00 AM/1:30 PM	Real Property Maintenance - Mr. Perry Fliakas
March 19 9:30 AM/1:30 PM	FY 81 Family Housing Program - Mr. Perry Fliakas
March 24 1:30 PM	FY 81 Defense Agencies Mil Con Program - Mr. Perry Fliakas
March 24 3:00 PM	FY 81 Reserve Components Mil Con Program - Hon. Harold W. Chase

HOUSE APPROPRIATIONS MILITARY CONSTRUCTION SUBCOMMITTEE HEARINGS (CONT'D)
CALENDAR YEAR 1980

March 25 1:30 PM	MX Program - Hon. Harold Brown
March 26 9:30 AM/1:30 PM	MX Program - Air Force witnesses
March 27 9:30 AM	FY 81 Army Mil Con Program - MG William Read
March 27 1:30 PM	FY 81 Air Force Mil Con Program - MG William Gilbert
April 1 10:30 AM/1:30 PM	FY 81 Navy/Marine Corps Mil Con Program - RADM D. G. Iselin
April 2 9:30 AM/1:30 PM	Outside Witnesses
April 24 9:30 AM	FY 80 Supplemental and FY 81 Amendment - Mr. Perry Fliakas
July 30 10 AM	Pending FY 80 Reprogrammings - Service witnesses

SENATE APPROPRIATIONS DEFENSE SUBCOMMITTEE HEARINGS
CALENDAR YEAR 1980

March 12 10:00 AM	FY 81 Defense Posture Statement - Hon. Harold Brown
March 26 10:00 AM	FY 81 Air Force Posture Statement - Hon. Hans Mark
March 26 2:00 PM	FY 81 Navy Posture Statement - Hon. Edward Hidalgo
March 27 10:00-11:00 AM	FY 81 Navy RDT&E Request - Hon. David E. Mann
March 27 11:00-12:00 AM	FY 81 Navy Procurement Request - Other than Shipbuilding - V/Adm. W. L. McDonald
March 27 2:00 PM	FY 81 Navy Procurement Request including Shipbuilding - V/Adm. James H. Doyle, Jr.
April 1 10:00 AM	FY 81 Army Posture Statement - Hon. Clifford Alexander
April 1 2:00 PM	FY 81 Research, Development & Acquisition Posture Statement - Hon. William J. Perry
April 2 2:00 PM	FY 81 Defense Manpower Overview - Hon. Robert B. Pirie
April 3 2:00 PM	FY 81 Defense Budget Overview/O&M Overview/ General Provisions - Mr. John R. Quetsch
April 17 10:00 AM	FY 81 Army Procurement and RDT&E Request - Hon. Percy Pierre
April 18 10:00 AM	FY 81 Air Force Procurement and RDT&E Request - LTG Kelly H. Burke
April 24 10:00 AM	Intelligence Community - Director of Centeral Intelligence
April 28 10:00 AM	FY 81 Defense Budget Overview/O&M Overview/ General Provisions - Mr. John R. Quetsch
May 8 2 PM	FY 80 Supplemental Request - Mr. John R. Quetsch
May 13 2 PM	Subcommittee Markup of FY 80 Supplemental
May 15 10:30 AM	FY 81 Defense Agencies Request - Directors of DCA, DLA, DMA, DNA, DARPA

SENATE APPROPRIATIONS DEFENSE SUBCOMMITTEE HEARINGS (CONT'D)
CALENDAR YEAR 1980

July 25 2 PM	Central Intelligence Agency - Honorable Frank C. Carlucci
July 25 3 PM	Special Activities, Air Force - Honorable Robert J. Herman
July 31 2 PM	FY 81 Defense Intelligence Programs (NSA & DIA) - VADM Bobby Inman
July 31 3 PM	FY 81 Defense Intelligence Programs (C3I & Policy) - Hon. Gerald P. Dinneen
Sept. 24 10 & 2	Public Witnesses

SENATE APPROPRIATIONS MILITARY CONSTRUCTION SUBCOMMITTEE HEARINGS
CALENDAR YEAR 1980

March 3 10 AM	Overview of FY 81 Military Construction (Overall request, summary of each Service request, highlights of program items of special interst) - Mr. Perry Fliakas
March 4 2 PM (Closed) (Joint hearing with SASC)	Defense Posture in the Pacific - Mr. Perry Fliakas
March 5 1 PM (Closed) (Joint hearing with SASC)	Defense Posture in Indian Ocean/Persian Gulf - Mr. Perry Fliakas
March 10 10 AM	Strategic Programs - Navy (Poseidon Conversion - Trident Construction, East Coast Trident Site) - Navy witnesses
March 10 2 PM	Strategic Programs - Air Force (Space Shuttle, MX, ALCMs) - MG William Gilbert
March 18 2 PM	Defense Agencies FY 81 Military Construction Program - Mr. Perry Fliakas
March 18 3 PM	Family Housing/Quality of Life - Mr. Perry Fliakas
March 24 2 PM (Joint hearing with SASC)	Energy Policy - Mr. George Marienthal
March 26 2 PM	Facilities in Support of General Purpose Forces - MG William Read
March 26 3:30 PM	Logistics/Air-and Sea-Lift/Supply - MG William Read
April 17 2:00 PM (Joint hearing with SASC)	Space Shuttle - Cost Variations and Reprogrammings - Air Force witnesses
April 17 2:30 PM (Joint hearing with SASC)	FY 80 Supplemental and FY 81 Amendment - Mr. John Rollence

SENATE APPROPRIATIONS MILITARY CONSTRUCTION SUBCOMMITTEE HEARINGS (CONT'D)
CALENDAR YEAR 1980

April 18 2:00 PM	Medical Construction Programs - Mr. Vernon McKenzie
April 22 9:30 AM	FY 81 Reserve Components Military Construction Program - LTG LaVern Weber
April 30 1:30 PM (Joint hearing with SASC)	NATO-Long-Term Planning/Infrastructure/US Direct and Prefinancing in Support of NATO - Mr. Perry Fliakas
May 6 10:00 AM	Alternative Basing Modes for MX - Hon. Harold Brown
May 15 2:00 PM	Nuclear Storage and Security - MG William Read

ACTIONS ON RECOMMENDATIONS IN CONGRESSIONAL COMMITTEE REPORTS AND RELATED AUTHORIZATION AND APPROPRIATION ACTS

OASD(C) is responsible for the development of a Defense Department position or statement of action taken on each matter on which the Armed Services or Appropriations Committees make a recommendation or indicate particular concern in their reports on DoD authorization and appropriation requests. (See DoD Directive 5545.2 and DoD Instruction 5545.3 for background and guidance.)

August 20, 1979
NUMBER 5545.2

ASD(C)

Department of Defense Directive

SUBJECT: DoD Policy for Congressional Authorization and Appropriation Actions

References: (a) DoD Directive 5545.2, "Review and Implementation of Congressional Actions on Authorization and Appropriation Acts Affecting DoD and Related Congressional Reports," September 19, 1974 (hereby canceled)
(b) DoD Instruction 5545.3, "DoD Procedures for Congressional Authorization and Appropriation Actions," July 5, 1979

A. REISSUANCE AND PURPOSE

This Directive reissues reference (a); and establishes policies and responsibilities for handling Congressional action items designed to expedite the publication of DoD position statements.

B. APPLICABILITY

The provisions of this Directive apply to the Office of the Secretary of Defense (OSD), the Military Departments, the Organization of the Joint Chiefs of Staff (OJCS), and the Defense Agencies (hereafter referred to as "DoD Components").

C. POLICY

House, Senate, and Conference Reports on Authorization and Appropriation Acts affecting the Department of Defense shall be reviewed by DoD Components to identify each Congressional recommendation or suggestion, reporting requirement, and expression of concern to recommend a DoD position on the item. Thereafter, a Secretary of Defense-approved policy position shall be established, and implementing action, when required, shall be taken within the Department of Defense. The approved statements shall serve as the DoD position on each item, and shall be the source of data for the Secretary of Defense's Congressional Reference Book and other matters.

D. RESPONSIBILITIES

1. The Secretaries of the Military Departments and the Directors of Defense Agencies, or their designees, shall:

a. Review each Congressional report to identify specific action items, as described in section C., applicable to the reviewing DoD Component or to the Department of Defense as a whole, and submit informally to the Assistant Secretary of Defense (Comptroller)(ASD(C)).

b. Evaluate each action item, and develop a statement of the action taken on those items assigned to each DoD Component. When appropriate, recommend a DoD position on each item in accordance with instructions in DoD Instruction 5545.3 (reference (b)).

2. The Under Secretaries of Defense; the Assistant Secretaries of Defense, the General Counsel, DoD; the Assistants to the Secretary of Defense; and the Chairman of the Joint Chiefs of Staff shall:

a. Take action as set forth in D.1.a. and b.

b. Review Military Departments' and Defense Agencies' evaluations and recommendations on their immediate areas of responsibility, and coordinate these submissions and the action items and General Provisions assigned to their activity with other OSD and OJCS elements.

c. Submit to the ASD(C) a summary statement of action taken and, when appropriate, a DoD position for approval by the Secretary of Defense, in accordance with DoD Instruction 5545.3 (reference (b)).

d. Prepare the guidance necessary for implementing the policy decisions of the Secretary of Defense.

3. The Assistant Secretary of Defense (Comptroller) shall:

a. Review all Acts and related reports to identify and assign items requiring action by DoD Components, and ensure that all actions have been selected.

b. Coordinate Congressional action items to be assigned to the cognizant DoD Component in advance of formal tasking.

c. Act as the focal point to receive all submissions, under D.1.a. and D.2.a., and recommendations from the Military Departments and Defense Agencies, and refer these to the office of primary responsibility within the OSD or OJCS.

d. Coordinate a DoD position or policy recommendation, and publish a complete set of the statements of action and DoD position reflecting Secretary of Defense approval.

e. Ensure that all Congressional requests for reports or other specific information are identified and assigned to an appropriate DoD organizational element for compliance.

f. Issue detailed guidance, including due dates, for the implementation of this Directive.

E. EFFECTIVE DATE AND IMPLEMENTATION

This Directive is effective immediately. Forward two copies of implementing instructions to the Assistant Secretary of Defense (Comptroller) within 120 days.

C. W. Duncan, Jr.
Deputy Secretary of Defense

D. PROCEDURES AND RESPONSIBILITIES

1. General

a. After extracting the action items and before preparing transmittal statements, each DoD Component shall coordinate informally with the Assistant Secretary of Defense (Comptroller) (ASD(C)) to verify that all relevant items have been selected.

b. The ASD(C) shall conduct a joint session with the Military Departments and those OSD offices having primary interest (principally the Under Secretary of Defense for Research and Engineering, Assistant Secretary of Defense (Manpower, Reserve Affairs and Logistics), and Assistant Secretary of Defense (Program Analysis and Evaluation)) to determine the DoD Component to be assigned primary responsibility for action on each item, and to prepare the statements of action taken and DoD position statements.

c. When action applies to a DoD Component other than the Component assigned primary action, the Component may respond on that portion of the action that affects its own activities by submitting a transmittal statement to the office having primary responsibility within 10 calendar days of receipt of action assignments from the ASD(C).

2. The Secretaries of the Military Departments and the Directors of Defense Agencies shall:

a. Upon issuance of the Congressional reports related to Authorization and Appropriation Acts affecting the Department of Defense, review each report thoroughly to identify specific action items, extract pertinent information containing views of the Congress on the operations of the Military Department/Defense Agency, and submit a statement informally to the ASD(C). Particular emphasis shall be placed on directed or suggested actions. When applicable, reference shall be made to similar actions in prior years. General Provisions are excluded from the Military Department/Defense Agency review.

b. Prepare a statement for transmittal to the ASD(C) containing action taken and, when appropriate, a DoD position on those assigned items that require action at the Military Department/Defense Agency level. Submit these statements to the ASD(C) in accordance with the instructions and format prescribed in enclosures 2 and 3 and within the time schedule established in section E.

3. The Principal Staff Assistants and the Chairman of the Joint Chiefs of Staff shall:

a. As office of primary responsibility, review action statements proposed by the Military Departments/Defense Agencies, including a determination as to whether the action or DoD position is consistent

July 5, 1979
NUMBER 5545.3

Department of Defense Instruction

ASD(C)

SUBJECT: DoD Procedures for Congressional Authorization and Appropriation Actions

References: (a) DoD Instruction 5545.3, "Review and Implementation of Congressional Actions on Authorization and Appropriation Acts Affecting DoD and Related Congressional Reports," September 19, 1974 (hereby canceled)

(b) DoD Directive 5545.2, "Review and Implementation of Congressional Actions on Authorization and Appropriation Acts Affecting DoD and Related Congressional Reports," September 19, 1974

A. REISSUANCE AND PURPOSE

This Instruction reissues reference (a); establishes the procedures for handling Congressional action items; and prescribes uniform procedures to be followed by DoD Components assigned responsibility in reference (b) for:

1. Reviewing and identifying specific recommendations contained in House, Senate, and Conference Reports on the Authorization and Appropriation Acts listed in enclosure 1, and for taking positive action on each recommendation, to include the development and issuance of policy directives, instructions, and any other action required by these reports.

2. Identifying subject matter on which information must be furnished to the Congress, and developing the data in such a manner as to respond fully to the Congressional request.

3. Implementing, through appropriate media, the General Provisions of the Authorization and Appropriation Acts listed in enclosure 1, and maintaining central control of actions taken as a result of recommendations in these Acts and related Congressional reports.

B. APPLICABILITY

The provisions of this Instruction apply to the Office of the Secretary of Defense (OSD), the Military Departments, the Organization of the Joint Chiefs of Staff (OJCS), and the Defense Agencies (hereafter referred to as "DoD Components").

C. DEFINITION

As used herein, the term "Principal Staff Assistants" means the Under Secretaries of Defense, the Assistant Secretaries of Defense, the General Counsel, DoD, and the Assistants to the Secretary of Defense.

with existing policy, and, if not, whether existing policy needs to be changed or the proposed policy disapproved. This shall include coordination with appropriate OSD/OJCS offices.

b. Prepare a statement for transmittal to the ASD(C) summarizing the action taken by the Military Departments/Defense Agencies and, when appropriate, a DoD position for approval by the Secretary of Defense. The instructions and format prescribed in enclosures 2 and 3 shall be followed.

c. Prepare a statement for transmittal to the ASD(C) containing action taken and, when appropriate, a DoD position for approval by the Secretary of Defense on assigned General Provisions and on those assigned action items that require action at the OSD/OJCS level but not at the Military Department/Defense Agency level. The instructions and formats prescribed in enclosures 2, 3, and 4 shall be followed.

d. Prepare the necessary DoD issuances or policy statements required to implement the policy decisions of the Secretary of Defense and the General Provisions of the Authorization and Appropriation Acts.

4. The Assistant Secretary of Defense (Comptroller) shall:

a. Independent of the review conducted by the other DoD Components, review each Authorization and Appropriation Act and related Congressional reports to identify specific action items to be extracted by the OSD, the OJCS, the Military Departments, and the Defense Agencies.

b. Serve as the central point to receive all submissions under paragraph D.2.a.

c. Assign to the OSD/OJCS office of primary responsibility all General Provisions and those action items that require action at the OSD/OJCS level but not at the Military Department/Defense Agency level, and assign those action items requiring action by the Military Departments/Defense Agencies.

d. Furnish the office of primary responsibility 2 copies of the General Provision that requires review to determine if there is any change to the "action taken" statement for the previous year. Any changes that are necessary may be made on the copy furnished. If the General Provision is new, the "action taken" statement shall contain an implementing statement. There is no necessity to retype the General Provision language.

e. Upon receipt of action statements proposed and submitted by the Military Departments/Defense Agencies, verify that relevant items have been included, and then forward to the OSD/OJCS office of primary responsibility.

f. Coordinate and consolidate statements of action taken and DoD position statements for official dissemination indicating Secretary of Defense approval.

g. Furnish a complete set of statements of actions and DoD position reflecting Secretary of Defense approval to appropriate officials of the Department of Defense, General Accounting Office, and to members of the Congressional Committees.

h. Ensure that the Assistant to the Secretary (Legislative Affairs) receives statements of action and DoD position statements as required for inclusion in the Secretary of Defense Congressional Reference Book.

i. Maintain a complete central control record of action items being processed, and monitor the implementation of this Instruction.

E. DUE DATES

To have an approved DoD position for use in Congressional Hearings and other policy determinations, this time schedule shall be followed:

1. Military Departments/Defense Agencies and OSD/OJCS staff offices shall transmit the action statements, described in paragraphs D.2.b. and D.3.c., to the ASD(C) as directed by the ASD(C).

2. OSD/OJCS staff offices shall finalize and transmit the action statements, described in paragraph D.3.b., to the ASD(C) within 8 calendar days after receipt.

3. General Provisions, described in paragraph D.3.c., shall be finalized and returned to the ASD(C) within 10 calendar days after receipt.

F. EFFECTIVE DATE AND IMPLEMENTATION

This Instruction is effective immediately. Forward two copies of implementing instructions to the Assistant Secretary of Defense (Comptroller) within 120 days.

Fred P. Wacker

Fred P. Wacker
Assistant Secretary of Defense
(Comptroller)

Enclosures - 4
1. List of Authorization and Appropriation Acts Affecting DoD, and Related Congressional Reports for Review and Implementation
2. Instructions for Preparing Action Statements
3. Sample Format--Action Statements Other than General Provisions
4. Sample Format--Action Statements--General Provisions

LIST OF AUTHORIZATION AND APPROPRIATION ACTS AFFECTING DOD, AND RELATED CONGRESSIONAL REPORTS FOR REVIEW AND IMPLEMENTATION

A. CONGRESSIONAL ACTIONS

House of Representatives, Senate, and Conference Committees' Reports:

Department of Defense Appropriation Authorization Act

Department of Defense Appropriation Act

Military Construction Authorization Act

Military Construction Appropriation Act

Supplemental Appropriation Authorization Acts (Department of Defense)

Supplemental Appropriation Acts (Department of Defense)

Concurrent Resolutions on the Budget

Budget Rescission Bills

B. GENERAL PROVISIONS

Department of Defense Appropriation Authorization Act

Department of Defense Appropriation Act

Military Construction Authorization Act

Military Construction Appropriation Act

Supplemental Appropriation Authorization Acts (Department of Defense)

Supplemental Appropriation Acts (Department of Defense)

INSTRUCTIONS FOR PREPARING ACTION STATEMENTS

1. The formats for preparing action statements are shown in the following enclosures:

Enclosure 3, Other than General Provisions
Enclosure 4, General Provisions

2. Action statements pertaining to items other than General Provisions shall include a listing of references to the applicable Congressional reports and a narrative summary of the "Recommendation or Action Indicated by Congressional Committee(s)." The title shall be selected as descriptive of the subject matter. Action statements pertaining to General Provisions shall include a verbatim extract of the provision.

3. Statements of action taken, or DoD position, shall be prepared in the same type of language used for preparing witness statements; that is, succinct and directly responsive to the point at issue and suitable for use by the Secretary and Deputy Secretary of Defense, the Secretaries of the Military Departments, and other officials in appearances before Congressional Committees.

4. Directives, regulations, or other official promulgations and studies that pertain to the action, shall be referred to or quoted in the action statement. Copies of such referenced items shall be attached to both the General Provision and action item statements.

5. Statements shall be single spaced and prepared on 8 by 10-1/2 inch paper with 1-inch top and left margins and 1/2-inch bottom and right-hand margins. Organization, preparer's name and extension, and date of preparation should appear in the lower right-hand corner of each statement. Originating office and other reviewing offices that make a substantive change shall be listed. All action statements shall be unclassified; classified material may be submitted to serve as back-up data.

6. Forward 2 copies of the General Provision and an original and 2 copies of each action item statement with the appropriate enclosures to the Assistant Secretary of Defense (Comptroller) by transmittal memorandum signed at the level designated in implementing instructions.

SAMPLE FORMAT

ACTION STATMENTS OTHER THAN GENERAL PROVISIONS

DLGN 41 AND 42 NUCLEAR FRIGATES

House Budget Committee Report, First Concurrent Resolution, Page 36
House Armed Services Committee Report, Pages 35-40
Conference Armed Services Committee Report, Pages 27, 28, 42
House Appropriations Committee Report, Second Supplemental (1978) Page 5
House Appropriations Committee Report, Page 174
Senate Appropriations Committee Report, Pages 22, 159-161
House Appropriation Committee Report, Military Construction, Page 2
P.L. 95-485, Appropriation Authorization Act, Section 203

Recommendation or Action Indicated by Congressional Committee(s)

The President's FY 1974 budget did not include a request for authorization for Nuclear Powered Frigates (DLGN). In its report each year, for the past 8 years, the HASC has presented in detail its reasons for believing it is necessary for the security of the United States that the Navy be provided with nuclear frigates to accompany nuclear carriers. The Committee feels that additional nuclear frigates are needed. The House authorized advance procurement funds in the amount of $79 million to provide long lead-time items for the nuclear frigates DLGN 41 and DLGN 42. The Senate receded from its position and accepted the House authorization. In addition, the Senate accepted the restrictive language providing that the $79 million could be used only for the procurement of long lead-time items for the DLGNs 41 and 42. That language further provided that contracts for these long lead-time items be entered into as soon as practicable unless the President fully advises the Congress that the construction of these vessels is not in the National interest.

Action Taken

The FY 1974 program has been placed on contract and the FY 1975 President's Budget requests $244.3 million to fully fund DLGN-41 and to provide additional advance procurement funding for DLGN-42. Funds to complete DLGN-42 are programmed in FY 1976.

DoD Position
(Include appropriate statement when applicable)

OASD(C))DASD(P/B)[1]
S.KETTERING, x72124
3/20/74[2]

[1]Enter on last page only.
[2]Month/Day/Year - in numbers only

(NOTE: Omit page numbers when submitting final format)

SAMPLE FORMAT

ACTION STATEMENTS -- GENERAL PROVISIONS

GENERAL PROVISIONS
DEPARTMENT OF DEFENSE APPROPRIATION ACT, 1974
PL 93-155, November 16, 1973

SURVIVOR BENEFIT PLAN-AMENDMENT

Section 804. Section 3(b) of Public Law 92-425 (86 Stat. 711) is amended by --

(1) striking out in the first sentence "before the first anniversary of that date" and inserting in lieu thereof "at any time within eighteen months after such date", and

(2) striking out in the second sentence "before the first anniversary of" and inserting in lieu thereof "at any time within eighteen months after".

Action Taken

Section 804 of the Department of Defense Appropriation Authorization Act for FY 1974 extended for 6 months (until March 20, 1974) the period within which retired members of the uniformed services could elect to participate in the Survivor Benefit Plan. The Military Departments have publicized the extension to enable potential participants to elect into the Plan.

The provision will be fully executed on March 20, 1974.

OASD(MRA&L)MPP
MAJ. JONES, X54132
2/4/74[1]

[1]Month/Day/Year - in numbers only

NOTE: "DoD Position" is not required.

ASSISTANT SECRETARY OF DEFENSE
WASHINGTON, D.C. 20301

COMPTROLLER

8 APR 1975

MEMORANDUM FOR Secretaries of the Military Departments
Chairman of the Joint Chiefs of Staff
Director of Defense Research and Engineering
Assistant Secretaries of Defense
General Counsel
Director, Telecommunications & Command and Control Systems
Assistants to the Secretary of Defense
Directors of the Defense Agencies

SUBJECT: Identification and Control of Reports Generated by Congressional Armed Services and Appropriations Committees

References: a. DoD Directive 5545.2, "Review and Implementation of Congressional Actions on Authorization and Appropriation Acts Affecting DoD and Related Congressional Reports," September 19, 1974.

b. DoD Instruction 5545.3, "Procedures for the Annual Review and Implementation of Congressional Actions on Authorization and Appropriation Acts Affecting DoD and Related Congressional Reports," September 19, 1974.

c. DoD Directive 5000.19, "Policies for the Management and Control of DoD Information Requirements," June 1, 1973.

DoD Directive 5545.2 (reference a) and DoD Instruction 5545.3 (reference b) assign responsibility and establish procedures for identifying and implementing each of the actions required by the Congress in their reports on the annual defense authorization and appropriation legislation. Such actions as required by the Congress frequently include the preparation and submission of one-time or recurring reports to the Congress. Often, these reports are required at a date prior to the completion of the publication of action item statements under the provisions of references a and b.

Reports of this nature are also subject to the policies and procedures in DoD Directive 5000.19 (reference c). Accordingly, it has been determined that the procedures for administering the reports control function under this latter directive should also be utilized in establishing a positive control system that will assure timely preparation and submission of this particular group of reports.

It has been the practice under DoD Instruction 5545.3 (reference b) for each DoD component to conduct a review of Congressional Armed Services and Appropriations Committee reports to identify action items which need to be addressed. Subsequently, in a joint session conducted by the ASD(C) action item officer, an agreement has been made to determine the DoD component to be assigned primary responsibility for action on each item. In this regard, we would also like to continue to ensure that all responses to action items are prepared in a timely manner.

It is now planned that immediately upon release of any Congressional Armed Services or Appropriations Committee Report, a preliminary review will be made by the ASD(C) action item officer, with such assistance as may be necessary from his counterparts in the DoD components, specifically for the purpose of identifying any potential one-time or recurring reporting requirements. These items will then be referred to the Directorate for Information Operations and Control for analysis consistent with the provisions of DoD Directive 5000.19 (reference c). The ASD(C) action item officer will then convene a meeting of representatives from the applicable DoD component staff offices to: (1) consider possible alternatives for fulfilling the reporting requirement (e.g., using available similar or substitute data); (2) assign report control symbols, as appropriate; and (3) designate the office of primary responsibility for each report. If Conference Committee action addresses any of the reporting requirements and necessitates a revision to the previously established requirement, the ASD(C) action item officer will again convene a meeting of DoD component representatives to update the action required.

An action item report control calendar will then be developed and maintained to insure that reporting due dates are met. Copies of the control calendar will be distributed to the appropriate Defense Component information management control office/information focal points as designated by reference (c). If a reporting date cannot be met, a request for extension of the due date must be addressed to the applicable Committee. ASD(C) coordination is required on all reports, or requests for extensions, to the Appropriations Committees.

Your cooperation in implementing this procedure will be greatly appreciated and should facilitate our ability to react promptly to these important congressional requirements.

Terence E. McClary

Terence E. McClary
Assistant Secretary of Defense

REPORTING REQUIREMENTS IN CONGRESSIONAL COMMITTEE REPORTS

OASD(C) reviews congressional committee reports to:

- o Assure that actions and reporting requirements levied by the Congress are satisfied.
- o Control those congressional actions requiring a report through maintenance of a reports calendar.

(See ASD(C) memorandum, April 8, 1975, for background and guidance)

HAC SURVEYS AND INVESTIGATIONS STAFF

OASD(C) maintains relationships with the Surveys and Investigations (S&I) Staff -- the investigating arm of the House Appropriations Committee. (See DODI 5500.16, December 8, 1976, for background and guidance.)

- o Establishes focal point in OSD and Services for all new S&I studies.
- o Serves as contact point with House Appropriations Committee for obtaining S&I reports.

NUMBER 5500.16
DATE December 8, 1976

ASD(C)

Department of Defense Instruction

SUBJECT Relationship with the Surveys and Investigations Staff, House Appropriations Committee

References:
(a) Section 202(b) of the Legislative Reorganization Act of 1946, P.L. 79-601 (2 U.S.C. 72a)
(b) DoD Directive 5118.3, "Assistant Secretary of Defense (Comptroller)," July 11, 1972
(c) DoD Directive 5400.4, "Provision of Information to Congress," February 20, 1971
(d) DoD Directive 5200.1, "DoD Information Security Program," June 1, 1972
(e) OMB Circular No. A-10, "Responsibilities for Disclosure with Respect to the Budget," November 12, 1976
(f) Deputy Secretary of Defense memorandum, August 27, 1969, subject: "GAO Review of Weapons Systems Programs - Access to Records"

I. PURPOSE

This Instruction establishes policies and procedures governing the relationship of Department of Defense Components (see III) with the Surveys and Investigations Staff (S&I Staff), House Appropriations Committee.

II. BACKGROUND

A. The Surveys and Investigations Staff, House Appropriations Committee, was established, pursuant to section 202(b) of the Legislative Reorganization Act of 1946, P.L. 79-601, (2 U.S.C. 72a) (reference (a)), to conduct surveys and investigations of the organization and operation of any Executive Branch agency deemed necessary to assist the House Appropriations Committee in actions concerning matters coming under its jurisdiction. Inquiries conducted under this authority have been a major source of information for the House Appropriations Committee in their action on Defense appropriation requests and in recommendations for DoD action which are set forth in the reports on appropriation bills.

B. The regular S&I Staff comprises a small nucleus of professional and clerical personnel, usually about eight individuals, augmented by contract personnel and by personnel detailed from various Federal Government agencies. This provides a staff of skilled investigators with expertise in various areas. Department of Defense has, on occasion, provided personnel for this staff. Arrangements are made for reimbursement to an agency for personnel detailed to the Staff. Normally, investigators are

not assigned to work on inquiries involving the agency from which they are detailed. The S&I Staff reports directly to the Chairman of the Appropriations Committee and is completely separate from committee staffs that deal individually with agency budget requests.

C. In conducting inquiries, it is not the practice of S&I Staff teams to provide a draft copy of their report to the agency for comment. Moreover, S&I Staff team chiefs or members are not required to reveal the nature of their criticism at exit interviews nor to indicate what will be included in their final report. Reports on inquiries conducted by the S&I Staff are made to the Chairman of the Appropriations Committee. While the Department may routinely request copies of the final report, such copies may not be released except by authority of the Chairman or a majority of the Committee. In some cases, reports are withheld indefinitely.

III. APPLICABILITY AND SCOPE

The provisions of this Instruction apply to the Office of the Secretary of Defense, the Military Departments, the Organization of the Joint Chiefs of Staff, the Defense Agencies, and the Unified and Specified Commands (hereinafter referred to as "DoD Components").

IV. RESPONSIBILITIES

A. The Assistant Secretary of Defense (Comptroller) in the role of principal staff advisor to the Secretary of Defense for ". . . budgeting, auditing, and fiscal functions" pursuant to Section II, DoD Directive 5118.3 (reference (b)), is responsible for establishing administrative procedures covering the relationship of DoD Components with the S&I Staff, serving as the principal liaison representative of the Department of Defense with the S&I Staff, and making such arrangements as are necessary to facilitate the conduct of inquiries by the S&I Staff. In carrying out this authority, the Special Assistant, Office of the Assistant Secretary of Defense (Comptroller), is designated as the individual who will coordinate with all other DoD Components those matters related to S&I Staff inquiries and direct S&I Staff members who are conducting inquiries to the appropriate organizations and individuals within the Department of Defense.

B. Each principal staff assistant to the Secretary of Defense or in the Organization of the Joint Chiefs of Staff is responsible for Defense-wide coordination of inquiries involving their respective functional areas. When notification of an impending inquiry has been received from the Special Assistant, OASD(C), each principal staff assistant to the Secretary of Defense or the Director of the Joint Staff will designate and advise the Special Assistant, OASD(C), of the office within that organization and the individual from that office who will serve as the OSD or JCS Staff Coordinator for that particular inquiry.

C. Each Secretary of a Military Department and Director of a Defense Agency is responsible for all arrangements that are necessary for S&I Staff teams to conduct inquiries within each department or agency. These arrangements will include the designation of an office to receive all notifications of impending inquiries; assignment of responsibility to a specific organization and individual within the Military Department or Defense Agency for dealing with the S&I Staff and with the OSD Staff Coordinator on each inquiry as it is announced; advising the Special Assistant, OASD(C), and the OSD Staff Coordinator, as appropriate, of individuals who are to be contacted by Surveys and Investigations Staff personnel; and reporting to the Special Assistant, OASD(C), on the status and results of each inquiry.

V. POLICIES AND PROCEDURES

A. Inquiries are initiated by majority vote of a subcommittee of the House Appropriations Committee, with participation by both the subcommittee Chairman and the Ranking Minority Member. Upon approval of the Chairman and Ranking Minority Member of the House Appropriations Committee, the request for an inquiry is directed to the S&I Staff for action. The Chief, Surveys and Investigations Staff, House Appropriations Committee, will advise the Secretary of Defense by letter of the impending inquiry. Information copies of such letters will be provided to the Assistant Secretary of Defense (Public Affairs), the Assistant Secretary of Defense (Legislative Affairs), General Counsel, Organization of the Joint Chiefs of Staff, the Military Departments, and any interested Defense Agency. Following such notification, the Special Assistant, Office of the Assistant Secretary of Defense (Comptroller), will determine the office of primary responsibility and request that an individual from that office be designated as the OSD Staff Coordinator. The Special Assistant, OASD(C), will then forward the name of the individual designated as OSD Staff Coordinator to the S&I Staff. Henceforth, the OSD Staff Coordinator will become the principal coordinator between the S&I team and DoD for the conduct of that particular inquiry.

B. If the subject of the inquiry is in a functional area under the jurisdiction of the Joint Chiefs of Staff, the Director of the Joint Staff will designate the individual who will serve as Staff Coordinator for that particular inquiry. In those instances, the JCS Staff Coordinator will perform the same duties and assume the same responsibilities that are otherwise assigned in this Instruction to the OSD Staff Coordinator.

C. The Special Assistant, OASD(C), will also advise the Principal Deputy Assistant Secretary of Defense (Comptroller) of each inquiry as it is received. If the PDASD(C) determines that there are significant budgetary implications in an inquiry, a member of that staff may be appointed as Budget Monitor to assist and advise

the OSD Staff Coordinator on budgetary matters. The OSD Staff Coordinator will keep the Budget Monitor advised of the progress of the inquiry.

D. The Special Assistant, OASD(C), will also inform the designated representative or central coordinating office in the Military Department concerned of each inquiry as it is received. Each Defense Agency will also be advised of each inquiry in which it has an interest. A Military Department or Defense Agency individual will then be designated as the principal coordinator within that organization for matters pertaining to the inquiry. Such individuals will normally be from the same functional area as the OSD Staff Coordinator.

E. As appointments are made, the Special Assistant, OASD(C), will notify the Chief, Surveys and Investigations Staff, of the names of Department of Defense individuals who are to be contacted to get the inquiry underway.

F. The Chief, Surveys and Investigations Staff, will furnish the Special Assistant, OASD(C), a list of the names of S&I Staff investigators who will be participating in an inquiry. The Special Assistant, OASD(C), will then obtain the security clearance of each investigator from the Assistant Secretary of Defense (Legislative Affairs) or the Office of the Deputy Assistant Secretary of Defense (Administration), OASD(C), Attn: Security Division, and provide a listing of investigators and their security clearance to the OSD Staff Coordinator, the Military Department central coordinating offices, and any Defense Agency that may be involved in the inquiry.

1. While the inquiry is underway, the OSD Staff Coordinator will assure that DoD personnel who will be contacted by S&I Staff members have been notified, in advance, of their security clearance. In addition, the Security Division will provide a security clearance certification to the appropriate security office for each DoD Component or Defense contractor that is to be contacted by S&I Staff members.

2. Any question that may arise concerning the security clearance of S&I Staff members should be resolved promptly. When necessary, the security clearance of any S&I Staff member may be verified by direct contact with the ODASD(A), OASD(C), Attn: Chief, Security Division, telephone 697-7171.

G. Surveys and Investigations Staff teams will be advised to contact the OSD Staff Coordinator when the inquiry is commenced for the purpose of arranging visits to DoD facilities and obtaining required information. The OSD Staff Coordinator will take the lead in making such arrangements and will arrange for travel and appointment schedules with Military Department coordinators or with other Department of Defense offices. When the S&I Staff team requests information or data from the OSD staff or JCS, the OSD Staff Coordinator will secure

such information or data. This will enable the OSD Staff Coordinator to be knowledgeable of the material being requested and at the same time preclude unnecessary administrative delays in obtaining the information or data. The OSD Staff Coordinator will request that the S&I Staff team advise on any unresolved problems that may arise in the conduct of the inquiry. All possible steps will be taken to assure that S&I Staff members receive full cooperation of DoD organizations in conducting the inquiry.

H. It is the practice of Surveys and Investigations Staff teams to visit DoD installations by themselves. Accordingly, the OSD Staff Coordinator or Military Department and Defense Agency coordinators should not arrange for DoD officials to accompany S&I teams except in unusual circumstances, or when the S&I team chief requests that DoD officials accompany them.

I. Each Military Department and Defense Agency will designate an office as the initial point of contact and central coordinating office on all matters concerning the activities of the S&I Staff. Upon being advised by the Special Assistant, OASD(C), that notification of an impending inquiry has been received, the Department or Agency central coordinating office will (1) notify the appropriate staff offices of the pending inquiry, and (2) initiate the action to designate an individual to serve as the principal coordinator with the S&I Staff for that particular inquiry. Since it is usually desirable for the Department or Agency coordinator to be in the same functional area as the OSD Staff Coordinator, the Department or Agency central coordinating office will ascertain from the Special Assistant, OASD(C), who will be the OSD Staff Coordinator before finalizing the Military Department or Defense Agency appointment.

VI. REPORTING

A. Each Military Department or Defense Agency involved in any inquiry will submit a monthly report, in duplicate, no later than the 15th day of the following month, to the Special Assistant, OASD(C), on the status of each inquiry.

B. This progress report will include a description of any controversial issues, their resolution, and any corrective actions taken as a result of the inquiry.

C. The Special Assistant, OASD(C), will immediately distribute the copies of Military Department or Defense Agency reports to the applicable OSD Staff Coordinators.

D. Each OSD Staff Coordinator will notify the Special Assistant, OASD(C), promptly of any unusual or controversial matters not covered in the Military Department or Defense Agency reports.

E. The Special Assistant, OASD(C), will maintain a list indicating the status of all inquiries that are pending, in progress, or completed during the current year and other pertinent information. This list will be reproduced quarterly for distribution to ASD(C), ASD(LA), ASD(PA), General Counsel, the Military Departments, and other interested staff offices.

F. The reporting requirements prescribed in A., above, are assigned Report Control Symbol DD-COMP(M)

VII. PROVISION OF INFORMATION TO S&I STAFF MEMBERS

A. The provision of information and data to S&I Staff members, will be subject to the prevailing rules and customs for providing information direct to the House Appropriations Committee (DoD Directive 5400.4, reference (c)). It is the policy of the Department of Defense to extend maximum cooperation and provide all needed information to S&I Staff members in their conduct of inquiries subject to the following conditions:

1. Classified information that is pertinent to the subject of the inquiry will be properly safeguarded and provided only in accordance with the policies and regulations established under DoD Directive 5200.1, "DoD Information Security Program" (reference (d)).

2. Budget estimates and supporting materials for any given fiscal year will not be provided prior to transmittal of the President's Budget for that year to the Congress. Thereafter, any material provided to the Appropriations Committee may be furnished. OMB Circular A-10, (reference (e)), establishes the policies with respect to any premature disclosure of Presidential recommendations.

3. Instructions issued by the Deputy Secretary of Defense in his memorandum of August 27, 1969 (reference (f)), concerning the release of out-year financial planning data, will be observed.

4. Any information which is recognized by law as privileged will not be released. For example, the non-factual information, i.e., recommendations and conclusions contained in Inspector General reports and special investigation reports, is generally considered to be information which is privileged and therefore not releasable.

B. The conditions cited above in paragraphs A.1-4. which may preclude the provision of data to S&I Staff members should arise infrequently. When such conditions do arise, it should normally be possible to satisfy requests for such data by some alternate means that are acceptable to both the requestor and the

Department of Defense. Defense personnel will, therefore, exert every possible effort to discover such alternate means. However, in those cases where requests for data cannot be satisfied by some alternate means, there will be no disclosure of material described above, or final refusal to disclose such material, except in accordance with the procedures set forth in paragraph IV.B.2. of DoD Directive 5400.4 (reference (c)).

VIII. EFFECTIVE DATE AND IMPLEMENTATION

This instruction is effective immediately. Two copies of implementing documents shall be forwarded to the Assistant Secretary of Defense (Comptroller) within 60 days.

Fred P. Wacker
Assistant Secretary of Defense
(Comptroller)

THE PROCESS OF BUDGET EXECUTION

Office of The
Assistant Secretary of Defense
(Comptroller)

THE PROCESS OF BUDGET EXECUTION

- THIS BRIEFING DEALS WITH THE MATTER OF DEPARTMENT OF DEFENSE UNOBLIGATED AND UNEXPENDED BALANCES – A SUBJECT WHICH IS FREQUENTLY DISCUSSED AND OFTEN MISUNDERSTOOD.
- JUST AS IN THE SUBTITLE FOR THIS BRIEFING, THERE IS OFTEN A TENDENCY TO ATTACH A SUBJECTIVE QUALITY TO THESE TERMS.
- THESE TERMS ARE FREQUENTLY USED IN AN ABSTRACT WAY AND ADDRESSED AS IF THEY WERE A MEANS TO AN END.
- IT IS IMPORTANT TO UNDERSTAND THE PROCESS OF BUDGET EXECUTION, BECAUSE UNOBLIGATED AND UNEXPENDED BALANCES BECOME AN ARITHMETIC DERIVATIVE.

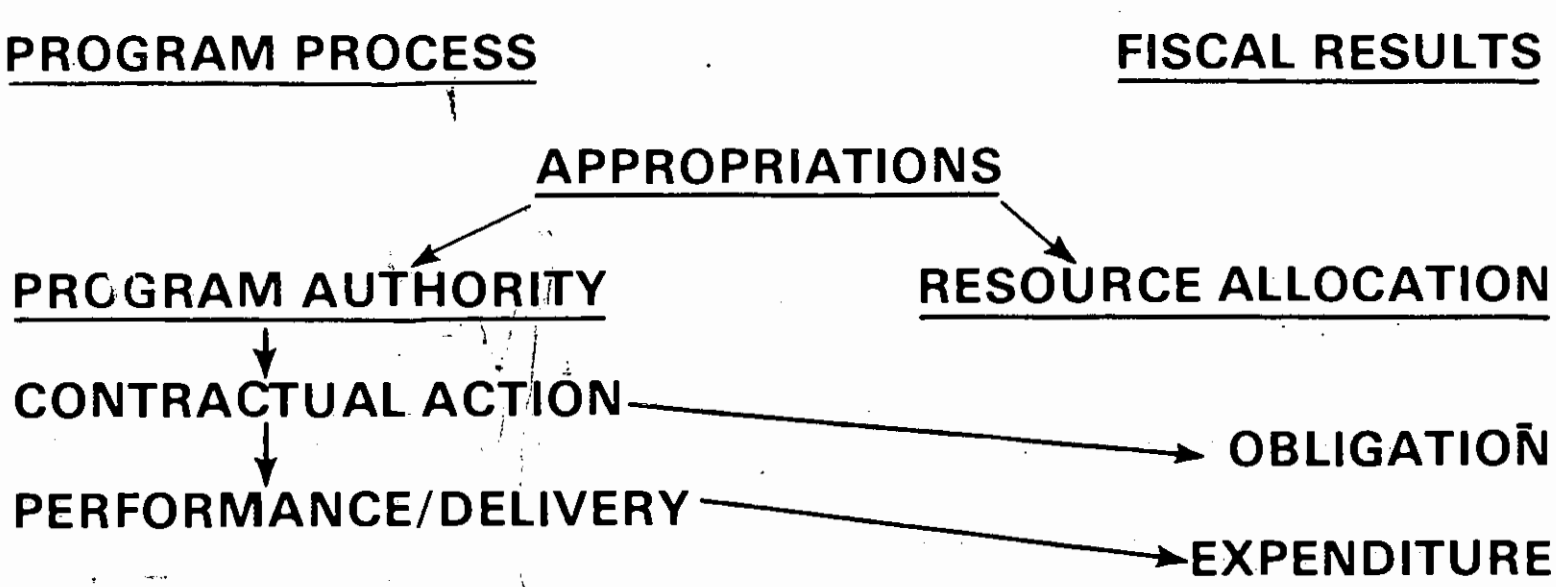
THE PROCESS OF BUDGET EXECUTION

UNOBLIGATED
AND
UNEXPENDED BALANCES

EVENTS IN THE EXECUTION PROCESS

- THE LEGISLATIVE PROCESS PROVIDES BOTH THE AUTHORITY AND THE RESOURCES TO ACCOMPLISH DEPARTMENT OF DEFENSE PROGRAM OBJECTIVES.
- THE PROCESS IS EVENT ORIENTED.
- CONTRACTUAL ACTION INVOLVING PERSONAL SERVICES OR MATERIEL RESULTS IN OBLIGATIONS.
- PAYMENTS FOR PERFORMANCE RENDERED OR DELIVERY OF MATERIEL RESULTS IN EXPENDITURES.

EVENTS IN THE EXECUTION PROCESS



TIME PHASING OF THE EXECUTION PROCESS

- IF THE EVENTS IN THE EXECUTION PROCESS WERE COMPLETED ENTIRELY WITHIN EACH FISCAL YEAR, THERE WOULD BE NO UNOBLIGATED OR UNEXPENDED BALANCES.
- IF WE WERE DEALING ENTIRELY WITH OPERATING PROGRAMS IN THE DEPARTMENT OF DEFENSE BUDGET, THERE WOULD BE NO UNOBLIGATED BALANCES AT THE END OF EACH YEAR AND ONLY MODEST UNEXPENDED BALANCES.
- NEITHER OF THE FOREGOING TWO CONDITIONS APPLIES SINCE THE BUDGET DEALS ALSO WITH MAJOR CAPITAL INVESTMENTS.
- CONGRESS FULLY FUNDS THE CAPITAL INVESTMENTS APPROVED IN THE ANNUAL BUDGET, AND RECOGNIZES THE TIME PHASING REQUIREMENTS OF THE ACQUISITION PROCESS BY PROVIDING APPROPRIATION OBLIGATION LIFE SPANS AS APPROPRIATE TO THE VARIOUS FUNCTIONAL AREAS.

TIME PHASING OF THE EXECUTION PROCESS

OPERATIONS

- 1 YEAR APPROPRIATION LIFE
- 100% OBLIGATED IN 1ST YEAR
- 87% EXPENDED IN 1ST YEAR

R&D

- 2 YEAR APPROPRIATION LIFE
- 93% OBLIGATED IN 1ST YEAR
- 58% EXPENDED IN 1ST YEAR

PROCUREMENT (EXCL. SHIPBUILDING)

- 3 YEAR APPROPRIATION LIFE
- 76% OBLIGATED IN 1ST YEAR
- 13% EXPENDED IN 1ST YEAR

SHIPBUILDING

- 5 YEAR APPROPRIATION LIFE
- 51% OBLIGATED IN 1ST YEAR
- 5% EXPENDED IN 1ST YEAR

MILITARY CONSTRUCTION

- 5 YEAR APPROPRIATION LIFE
- 75% OBLIGATED IN 1ST YEAR
- 11% EXPENDED IN 1ST YEAR

DEPARTMENT OF DEFENSE BUDGET

MILITARY FUNCTIONS UNOBLIGATED AND UNEXPENDED BALANCES

- THE TIME SPAN REQUIRED FOR ORDERLY BUDGET EXECUTION IS SUCH THAT THERE WILL AND SHOULD BE BALANCES.
- UNOBLIGATED BALANCES REPRESENT PROGRAMS, OR PORTIONS OF PROGRAMS, WHICH HAVE NOT YET BEEN PLACED UNDER CONTRACT.
- WE WOULD EXPECT THE UNOBLIGATED BALANCES TO PERTAIN TO CAPITAL INVESTMENT PROGRAMS IN GENERAL AND TO THE MAJOR PROCUREMENT AREA IN PARTICULAR.
- IT IS IMPORTANT TO RECOGNIZE THAT BY FAR THE LARGER PORTION OF UNEXPENDED BALANCES REPRESENTS PROGRAMS WHICH HAVE REACHED THE CONTRACTUAL ACTION STAGE OF THE EXECUTION PROCESS. THESE BALANCES REPRESENT LEGAL OBLIGATIONS AGAINST WHICH PAYMENT MUST ULTIMATELY BE MADE.

DEPARTMENT OF DEFENSE BUDGET
MILITARY FUNCTIONS UNOBLIGATED AND UNEXPENDED BALANCES
($ BILLIONS)

	6/30/73	6/30/74	6/30/75	9/30/76	9/30/77	9/30/78	9/30/79	EST. 9/30/80	EST. 9/30/81
UNOBLIGATED BALANCES	12.7	15.1	16.7	21.0	20.0	21.3	23.0	24.4	23.8
OBLIGATED BALANCES	26.9	28.5	27.1	30.3	42.7	52.4	60.9	70.4	86.4
UNEXPENDED BALANCES	39.6	43.6	43.9	51.3	62.7	73.6	83.9	94.8	110.1

DOD UNOBLIGATED BALANCES
END OF FISCAL YEAR, 1978-81

- THE TRENDS AND BALANCES IN THE AREAS OTHER THAN PROCUREMENT ARE FAIRLY CONSTANT.
- THE RDT&E PROGRAM IS INCREMENTLY FUNDED AND OBLIGATES ON THE ORDER OF 93% IN THE INITIAL YEAR.
- MILITARY CONSTRUCTION, WHILE FULLY FUNDED AS A CAPITAL INVESTMENT, IS A RELATIVELY SMALL PORTION OF THE TOTAL DEPARTMENT OF DEFENSE BUDGET AND THE BALANCES ARE ACCORDINGLY MODEST.
- THE INDUSTRIAL FUNDS ARE REVOLVING FUNDS WHICH FINANCE THE OPERATIONS OF SHIPYARDS, ARSENALS, DEPOTS, AND OTHER COMMERCIAL AND INDUSTRIAL TYPE OF INHOUSE DOD ACTIVITIES.
- THE STOCK FUNDS ARE ALSO REVOLVING AND MANAGEMENT FUNDS WHICH FINANCE THE PURCHASE OF CONSUMABLE MATERIALS FOR RESALE TO THE MILITARY SERVICES AND OTHER AUTHORIZED CUSTOMERS. CONSUMABLE MOBILIZATION RESERVE MATERIALS ARE ALSO PURCHASED THROUGH THE STOCK FUNDS.
- AS EXPECTED THE LARGEST PORTION OF OUR UNOBLIGATED BALANCES APPLIES TO THE PROCUREMENT APPROPRIATIONS WHEREIN WE FINANCE THE ACQUISITION OF AIRCRAFT, MISSILES, SHIPS, TRACKED COMBAT VEHICLES, AND OTHER WEAPONS AND MATERIAL.

DOD UNOBLIGATED BALANCES
END OF FISCAL YEAR 1978-81
($ BILLIONS)

	9/30/78	9/30/79	EST. 9/30/80	EST. 9/30/81
PROCUREMENT	15.8	15.1	17.9	17.9
RDT&E	.9	1.1	1.1	1.3
MILITARY CONSTRUCTION	1.5	1.5	1.5	1.7
FAMILY HOUSING	.2	.2	.1	.2
INDUSTRIAL FUNDS	2.7	3.4	3.2	2.6
STOCK FUNDS	–	1.6	.5	–
TRUST FUNDS	.1	.1	.1	.1
TOTAL UNOBLIGATED BALANCES	21.3	23.0	24.4	23.8

PROCUREMENT APPROPRIATIONS UNOBLIGATED BALANCES

- WITHIN THE PROCUREMENT AREA THE NAVY SHIPBUILDING PROGRAM ACCOUNTS FOR THE LARGEST SINGLE PORTION OF THE UNOBLIGATED BALANCES.
- BALANCES IN OTHER APPROPRIATIONS VARY DEPENDING UPON THE NATURE AND SIZE OF THE PROGRAM.
- A COMPARISON OF THE BALANCES, EXCLUSIVE OF SHIPBUILDING, WITH THE PROGRAM VALUE EACH YEAR INDICATES THAT THE RELATIONSHIPS ARE STABLE AND REASONABLY PREDICTABLE. THE FOLLOWING TWO CHARTS PROVIDE AN AGING ANALYSIS OF BOTH UNOBLIGATED AND UNEXPENDED BALANCES IN THESE AREAS.

PROCUREMENT APPROPRIATIONS
UNOBLIGATED BALANCES
($ MILLIONS)

	9/30/78	9/30/79	EST. 9/30/80	EST. 9/30/81
AIRCRAFT, ARMY	183	193	234	236
MISSILES, ARMY	130	197	301	334
WPNS. AND TR. COMBAT VEH., ARMY	310	336	394	511
AMMUNITION, ARMY	452	479	520	577
OTHER, ARMY	802	750	715	897
AIRCRAFT, NAVY	1,031	1,306	1,096	1,589
WEAPONS, NAVY	998	878	847	976
SHIPBUILDING, NAVY	6,550	6,317	8,090	6,173
OTHER, NAVY	734	830	761	885
MARINE CORPS	130	207	143	198
AIRCRAFT, AIR FORCE	2,770	2,227	2,857	3,033
MISSILES, AIR FORCE	825	589	956	1,370
OTHER, AIR FORCE	752	599	839	986
DEFENSE AGENCIES	145	152	143	91
TOTAL UNOBLIGATED BALANCES	15,812	15,062	17,897	17,854
UNOBLIGATED BALANCES: AS A PERCENT OF AVAILABILITY	32.0%	30.7%	33.8%	29.6%

ANALYSIS OF PROCUREMENT (EXCLUDING SCN) UNOBLIGATED AND UNEXPENDED BALANCES

- APPROXIMATELY THREE-FOURTHS OF THE UNOBLIGATED BALANCES REPRESENT APPROPRIATIONS THAT ARE NO MORE THAN ONE YEAR OLD.

- ON THE ORDER OF 80% OF THE UNEXPENDED BALANCES REPRESENT APPROPRIATIONS THAT ARE NO MORE THAN TWO YEARS OLD.

ANALYSIS OF PROCUREMENT
(EXCLUDING SCN)
UNOBLIGATED AND UNEXPENDED BALANCES
($ BILLIONS)

	71	72	73	74	75	76	77	78	79	80	81
UNOBLIGATED BALANCE	6.5	5.1	5.4	6.7	7.5	10.2	9.3	9.3	8.7	9.8	11.7
1ST YEAR BALANCE	6.5	3.5	3.4	5.5	5.9	8.4	7.1	6.8	6.2	7.3	8.9
2ND YEAR BALANCE		1.6	2.0	1.2	1.6	1.8	2.2	2.4	2.6	2.5	2.8
UNEXPENDED BALANCE	17.9	17.3	18.1	18.4	18.4	22.4	28.9	34.9	39.9	45.3	53.7
1ST YEAR BALANCE	17.9	11.4	12.2	11.6	11.6	16.4	19.0	21.6	22.8	25.4	29.9
2ND YEAR BALANCE		5.9	4.1	4.9	5.0	4.2	7.8	9.8	11.7	12.6	14.4
3RD YEAR BALANCE			1.8	1.1	1.1	1.0	1.2	2.5	3.7	5.0	5.6
4TH YEAR BALANCE				.8	.3	.3	.4	.4	1.0	1.4	2.4
PRIOR YEARS					.4	.5	.5	.6	.7	.9	1.4

ANALYSIS OF SCN UNOBLIGATED AND UNEXPENDED BALANCES

- IN THE CASE OF SHIPBUILDING, THE AGING PATTERN VARIES BECAUSE OF THE MORE EXTENDED ACQUISITION CYCLE.

ANALYSIS OF SCN
UNOBLIGATED AND UNEXPENDED BALANCES
($ BILLIONS)

	71	72	73	74	75	76	77	78	79	80	81
UNOBLIGATED BALANCE	2.0	2.6	3.2	4.0	4.9	4.6	5.6	6.6	6.3	8.1	6.2
1ST YEAR BALANCE	2.0	1.4	1.4	2.0	2.7	2.0	3.1	2.9	2.2	3.8	3.0
2ND YEAR BALANCE		1.2	.9	.8	1.4	1.5	1.5	2.3	1.8	1.7	1.7
3RD YEAR BALANCE			.9	.7	.4	.9	.5	1.1	1.5	1.3	.7
4TH YEAR BALANCE				.5	.4	.2	.4	.2	.8	1.3	.8
5TH YEAR BALANCE							.1	.1			
UNEXPENDED BALANCE	5.5	6.6	7.5	8.9	9.1	10.2	13.2	15.8	16.5	18.9	20.6
1ST YEAR BALANCE	5.5	2.7	2.8	3.2	3.1	4.1	5.6	5.6	4.3	6.5	6.0
2ND YEAR BALANCE		3.9	2.1	2.2	2.6	2.4	3.4	4.9	4.8	3.2	5.6
3RD YEAR BALANCE			2.6	1.7	1.7	1.8	1.9	2.8	3.7	3.7	2.3
4TH YEAR BALANCE				1.8	1.0	1.1	1.2	1.2	1.9	2.9	2.7
PRIOR YEARS					.7	.8	1.1	1.3	1.8	2.6	4.0

AIRCRAFT EXECUTION

(BASED ON FY 1976 A-10 PROGRAM)

- TO ILLUSTRATE THE TIME-PHASED ASPECT OF BUDGET EXECUTION, THIS CHART SUMMARIZES CONTRACTUAL ACTION FOR THE FY 1976 A-10 AIRCRAFT PROGRAM.
- FOURTEEN SEPARATE CONTRACTS WERE INVOLVED.
- APPROXIMATELY 70% OF THE PROGRAM WAS OBLIGATED IN THE FIRST YEAR, AND THE REMAINDER WAS OBLIGATED IN APPROXIMATELY EQUAL INCREMENTS DURING THE SECOND AND THIRD YEARS.
- WHILE THE PRECISE PHASING FOR INDIVIDUAL PROGRAMS WILL VARY, WE ARE ABLE TO RELY UPON AGGREGATED HISTORICAL DATA TO MAKE REASONABLY ACCURATE BUDGET PROJECTIONS.

AIRCRAFT EXECUTION

(BASED ON FY 1976 A-10 PROGRAM)

$ IN MILLIONS

AIRCRAFT	PROGRAM	ACTUAL OBLIGATIONS YR. 1	YR. 2	YR. 3
AIRFRAME	156	135	149	156
ENG. CHANGE ORD.		(9)	(5)	(–)
RESERVE FOR INCENTIVES		(3)	(–)	(–)
RESERVE FOR ESCALATION		(7)	(2)	(–)
RESERVE FOR CLAIMS		(2)	(–)	(–)
ENGINES	54	40	47	54
ENGINE ACCESSORIES		(6)	(2)	(–)
RESERVE FOR INCENTIVES		(2)	(2)	(–)
RESERVE FOR ESCALATION		(6)	(3)	(–)
ELECTRONICS	5	4	5	5
GFE		(1)	(–)	(–)
SUPPORT	65	14	36	65
TRAINING EQUIPMENT		(12)	(5)	(–)
GROUND EQUIPMENT		(32)	(20)	(–)
DATA		(7)	(4)	(–)
OTHER	13	12	13	13
ORDNANCE		(1)	(–)	(–)
PROGRAM	293			
TOTAL OBLIGATIONS	—	205	250	293
UNOBLIGATED	—	(88)	(43)	(0)

DEPARTMENT OF DEFENSE BUDGET
FY 1979 OBLIGATIONS AND OUTLAYS

- ESTIMATES OF OBLIGATIONS EACH YEAR INCLUDE BOTH THE DIRECT (APPROPRIATED FUND) PROGRAM AND THE REIMBURSABLE (CUSTOMER) PROGRAM.
- OUTLAY ESTIMATES DEPEND HEAVILY UPON HISTORICAL DATA SINCE DISBURSEMENTS ARE MADE AT NUMEROUS CENTRALIZED FISCAL LOCATIONS, AND NOT THROUGH THE INDIVIDUAL PROGRAM MANAGER ORGANIZATIONS.
- THIS CHART COMPARES THE FY 1979 ACTUALS TO THE ESTIMATES REFLECTED IN THE FY 1980 PRESIDENT'S BUDGET (JANUARY 1979).
- AFTER ADJUSTING THE PLANS ONLY FOR APPROPRIATIONS AND CUSTOMER ORDERS WHICH FAILED TO MATERIALIZE, THE ACTUAL OBLIGATIONS FOR FY 1979 WERE AT 100.1% OF THE ESTIMATE AND OUTLAYS AT 102.8%.

DEPARTMENT OF DEFENSE BUDGET
FY 1979 OBLIGATIONS AND OUTLAYS
($ BILLIONS)

	OBLIGATIONS	OUTLAYS
PLAN	169.9	112.4
ADJUSTED AVAILABILITY	-1.1	-.5
REVISED PLAN	168.8	111.9
ACTUAL	169.0	115.0
ACTUAL AS % OF REVISED PLAN	100.1%	102.8%

FEDERAL GOVERNMENT UNOBLIGATED AND UNEXPENDED BALANCES

- OUR UNEXPENDED AND UNOBLIGATED BALANCES ARE IN FACT LARGE BUT THEY ARE PREDICTED AND PREDICTABLE.
- THE BALANCES FOR THE TOTAL FEDERAL GOVERNMENT ARE EVEN MORE IMPRESSIVE, WITH A PROJECTED TOTAL UNEXPENDED BALANCE EXCEEDING FOUR-FIFTHS OF A TRILLION DOLLARS BY END FY 1981.
- DOD ESTIMATED BALANCES FOR FY 1979 (WHICH ENDED 9/30/79) COMPARE FAVORABLY WITH THE ACTUAL RESULTS.
- THE FY 1979 ESTIMATES VS ACTUAL FOR OTHER AGENCIES UNDERSCORES THE FACT THAT WE ARE DEALING WITH ESTIMATES AND NOT A PRECISE SCIENCE.

FEDERAL GOVERNMENT UNOBLIGATED AND UNEXPENDED BALANCES ($ BILLIONS)

	9/30 78	9/30 79 AS FORECAST JANUARY 1979	9 30 79	EST. 9 30 80	EST. 9 30 81
FEDERAL FUNDS					
UNOBLIGATED BALANCES					
DOD MILITARY	21.2	22.4	22.9	24.4	23.7
OTHER AGENCIES	101.0	65.6	85.8	104 4	103.7
FEDERAL GOVERNMENT TOTAL	122.1	88.0	108.7	128.8	127.3
UNEXPENDED BALANCES					
DOD MILITARY	73.4	86.6	83.7	94.7	110.0
OTHER AGENCIES	386.6	398.0	409.4	471 1	511.4
FEDERAL GOVERNMENT TOTAL	460.1	484.6	493.1	565.8	621.4
TRUST FUNDS					
UNOBLIGATED BALANCES					
DOD MILITARY	.1	.1	.1	.1	.1
OTHER AGENCIES	135 6	149.7	148.3	158.3	169.8
FEDERAL GOVERNMENT TOTAL	135.8	149.8	148.4	158.4	169.9
UNEXPENDED BALANCES					
DOD MILITARY	.2	.2	.2	.2	.1
OTHER AGENCIES	179.1	199.3	195.0	209.4	225.2
FEDERAL GOVERNMENT TOTAL	179.3	199.5	195.1	209.5	225.4
TOTAL FEDERAL FUNDS & TRUST FUNDS					
UNOBLIGATED BALANCES					
DOD MILITARY	21.3	22.5	23.0	24.4	23.8
OTHER AGENCIES	236.6	215.3	234.1	262.7	273.5
FEDERAL GOVERNMENT TOTAL	257.9	237.8	257.1	287.2	297.2
UNEXPENDED BALANCES					
DOD MILITARY	73.6	86.8	83.9	94.8	110.1
OTHER AGENCIES	565.8	597.3	604.3	680.5	736.6
FEDERAL GOVERNMENT TOTAL	639.4	684.1	688.2	775.3	846.8

FEDERAL GOVERNMENT
UNOBLIGATED AND UNEXPENDED BALANCES

- THIS CHART HELPS TO ILLUSTRATE THAT WE ARE DEALING WITH THE PHENOMENON OF LARGE NUMBERS.
- AS A RESULT OF PROGRAM GROWTH TO A DEGREE AND INFLATION TO A LARGER DEGREE, THE BALANCES MUST BE EXPECTED TO GROW.
- DOD UNOBLIGATED BALANCES OF $13.0 BILLION AND UNEXPENDED BALANCES OF $36.0 BILLION A DECADE AGO WERE VERY LARGE NUMBERS.
- CONVERTING THESE FY 1971 BALANCES TO CONSTANT FY 1981 PRICES MAKES THEM EVEN MORE IMPRESSIVE.

FEDERAL GOVERNMENT UNOBLIGATED AND UNEXPENDED BALANCES
($ BILLIONS)

	FY 1971	FY 1972	FY 1973	FY 1974	FY 1975	FY 1976	FY 1977	FY 1978	FY 1979	EST FY 1980	EST FY 1981
CURRENT PRICES											
UNOBLIGATED BALANCES											
DOD MILITARY	13.0	11.9	12.7	15.1	16.7	21.0	20.0	21.3	23.0	24.4	23.8
OTHER AGENCIES	161.9	165.3	174.3	219.2	271.5	247.7	233.8	236.6	234.1	262.7	273.5
FEDERAL GOVERNMENT TOTAL	174.8	177.2	187.0	234.3	288.3	268.7	253.8	257.9	257.1	287.2	297.2
UNEXPENDED BALANCES											
DOD MILITARY	36.0	35.9	39.6	43.7	44.0	51.4	62.6	73.6	83.9	94.8	110.1
OTHER AGENCIES	224.9	233.7	254.1	379.0	462.9	490.2	526.3	565.8	604.3	680.5	736.6
FEDERAL GOVERNMENT TOTAL	260.9	269.5	293.7	422.7	506.9	541.5	589.0	639.4	688.2	775.3	846.8
CONSTANT 1981 PRICES											
UNOBLIGATED BALANCES											
DOD MILITARY	27.2	23.6	23.5	25.9	26.6	31.3	27.5	27.0	26.9	26.4	23.8
OTHER AGENCIES	339.1	327.3	322.7	376.1	432.2	369.7	321.0	300.4	273.9	283.8	273.5
FEDERAL GOVERNMENT TOTAL	366.3	350.9	346.2	402.0	458.8	401.0	348.5	327.4	300.8	310.2	297.2
UNEXPENDED BALANCES											
DOD MILITARY	76.9	73.8	78.6	79.2	70.0	76.4	86.9	95.4	99.8	103.2	110.1
OTHER AGENCIES	480.2	480.4	504.5	686.7	736.6	728.3	730.4	733.5	719.0	741.0	736.6
FEDERAL GOVERNMENT TOTAL	577.1	554.2	583.1	765.9	806.7	804.7	817.3	828.9	818.8	844.2	846.8

GAO REVIEW IN 1977 OF DOD UNOBLIGATED BALANCES

- WITHIN DOD PROGRAM PERFORMANCE IS MONITORED ON A CONTINUOUS BASIS.
- IN 1977, AT THE REQUEST OF THE CONGRESSIONAL BUDGET COMMITTEES, THE GENERAL ACCOUNTING OFFICE (GAO) CONDUCTED A SPECIAL REVIEW.
- THE CONCLUSIONS ON THIS CHART WERE INCLUDED AMONG THE PRINCIPAL GAO FINDINGS.

GAO REVIEW IN 1977 OF DOD UNOBLIGATED BALANCES

- GAO DID NOT FIND EVIDENCE THAT THE BUILD-UP IN UNOBLIGATED BALANCES FOR DEFENSE'S PROCUREMENTS BETWEEN JULY 1, 1972, AND SEPTEMBER 30, 1976, REPRESENTED A DEFENSE INABILITY TO PERFORM ITS PROGRAMS

- MOST OF THE INCREASE IN DEFENSE'S PROCUREMENT UNOBLIGATED TOTAL WAS DUE TO PROGRAMMED GROWTH RATHER THAN AN OBLIGATION RATE DECLINE

- THERE WAS NO EVIDENCE THAT ALLOWANCES FOR ENGINEERING CHANGE ORDERS AND INFLATION WERE OVERESTIMATED

SUMMARY

- A NEGATIVE CONNOTATION SHOULD NOT BE ATTACHED TO THE EXISTENCE OF UNOBLIGATED AND UNEXPENDED BALANCES. MISIMPRESSION EXISTS AMONG MANY THAT THESE BALANCES ARE COMPARABLE TO NON-INTEREST BEARING CASH IN AN INDIVIDUAL'S CHECKING ACCOUNT.
- COMPLETE ABANDONMENT OF THE FULL FUNDING PRACTICE WOULD MAKE LESS THAN ONE-FIFTH OF THE TOTAL UNEXPENDED BALANCES DISAPPEAR WHILE ADDING CONSIDERABLE COMPLICATIONS TO THE ANNUAL BUDGET PROCESS.
- ABANDONMENT OF THE FULL FUNDING PRINCIPLE WOULD ALSO REQUIRE THE DEVELOPMENT OF ANOTHER TERM COMPARABLE TO BUDGET AUTHORITY IN ORDER TO PROVIDE VISIBILITY WITH RESPECT TO THE TRUE LIABILITY OF THE FEDERAL GOVERNMENT.

SUMMARY

- UNOBLIGATED AND UNEXPENDED BALANCES PROVIDE A USEFUL MEASURE OF FEDERAL GOVERNMENT COMMITMENTS
- SUCH BALANCES DO NOT REPRESENT IDLE CASH
- TAX POLICIES AND TREASURY BORROWING PRACTICES ARE BASED UPON AMOUNTS TO BE EXPENDED WITHIN EACH FISCAL YEAR
- UNEXPENDED BUT OBLIGATED BALANCES CAN BE REDUCED BY CANCELLATION OF CONTRACTS
- UNEXPENDED AND UNOBLIGATED BALANCES CAN BE REDUCED BY CANCELLATION OF PROGRAMS OR BY ABANDONING THE CONGRESSIONAL PRINCIPLE OF "FULL FUNDING" CAPITAL INVESTMENTS

BUDGET EXECUTION FLEXIBILITIES

Office of The
Assistant Secretary of Defense
(Comptroller)

BUDGET EXECUTION FLEXIBILITIES

- REPROGRAMING
- TRANSFER AUTHORITY
- FOREIGN CURRENCY FLUCTUATION
- EMERGENCY AND EXTRAORDINARY EXPENSES
- SECTION 3732 DEFICIENCY AUTHORITY
- WORKING CAPITAL FUNDS TRANSFER AUTHORITY
- PERMANENT AUTHORITY
- FUNCTIONAL TRANSFERS
- EMERGENCY MILITARY CONSTRUCTION
- MILITARY CONSTRUCTION CONTINGENCY AUTHORITY AND FUNDS
- TRANSFER AUTHORITY RELATED TO ADVANCE RESEARCH
- TRANSFER AUTHORITY RELATED TO ADVANCE RESEARCH FACILITIES CONSTRUCTION
- CONSTRUCTION PROJECTS COST VARIATIONS
- RESTORATION OR REPLACEMENT OF FACILITIES DAMAGED OR DESTROYED
- MINOR CONSTRUCTION

REPROGRAMING

Example of Use

A $44.0 MILLION REPROGRAMING REQUEST WAS APPROVED TO CREATE AN ADVANCE BUY LINE IN THE BACK-UP TITAN III BOOSTER PROGRAM IN FY 1980. THE OVERALL GOAL OF THE PROGRAM WAS TO TAKE INITIAL STEPS TO MAINTAIN CRITICAL TITAN III PRODUCTION CAPABILITY UNTIL INITIAL OPERATIONAL CAPABILITY OF THE SPACE SHUTTLE THROUGH ACQUISITION OF LONG-LEAD ITEMS. SOURCES OF FUNDING FOR THE INCREASE WERE FROM PROCUREMENT AND RDT&E APPROPRIATIONS.

BUDGET EXECUTION FLEXIBILITIES

- REPROGRAMING
- TRANSFER AUTHORITY
- FOREIGN CURRENCY FLUCTUATION
- EMERGENCY AND EXTRAORDINARY EXPENSES
- SECTION 3732 DEFICIENCY AUTHORITY
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REPROGRAMING

- APPLIES TO APPROPRIATIONS IN THE ANNUAL DOD APPROPRIATION ACT - MILITARY PERSONNEL, OPERATION & MAINTENANCE, PROCUREMENT, AND RESEARCH AND DEVELOPMENT.

- BASED UPON AGREEMENTS BETWEEN DOD AND THE CONGRESSIONAL ARMED SERVICES AND APPROPRIATIONS COMMITTEES.

- PROVIDES FLEXIBILITY TO REVISE THE PROGRAMS WITHIN AN APPROPRIATION.

- SOME ACTIONS MAY BE APPROVED BY THE MILITARY DEPARTMENTS AND DEFENSE AGENCIES; OTHERS REQUIRE APPROVAL BY THE SECRETARY OF DEFENSE AND NOTIFICATION OF, OR PRIOR APPRDVAL BY, THE CONGRESSIONAL CDMMITTEES SPECIFIED.

- A SUMMARY REPORT OF ALL REPRDGRAMING ACTIONS IS SUBMITTED TO THE CONGRESS SEMIANNUALLY.

- CONSIDERABLE PRESSURE FROM THE COMMITTEES TO MINIMIZE REPROGRAMING. SECTION 743 OF THE 1980 ACT STATES THAT "NO PART OF THE FUNDS IN THIS ACT SHALL BE AVAILABLE TO PREPARE OR PRESENT A REQUEST TO THE COMMITTEES ON APPROPRIATIONS FOR THE REPROGRAMING OF FUNDS, UNLESS FOR HIGHER PRIORITY ITEMS, BASED ON UNFORESEEN MILITARY REQUIREMENTS, THAN THOSE FOR WHICH ORIGINALLY APPROPRIATED AND IN NO CASE WHERE THE ITEM FOR WHICH REPROGRAMING IS REQUESTED HAS BEEN DENIED BY THE CONGRESS."

APPROVAL AND/OR NOTIFICATION REQUIREMENTS FOR REPROGRAMMING ACTION

DOD COMPONENT ACTION	OSD ACTION			
DOD INSTRUCTION 7250.10 DATED JANUARY 10, 1980 "IMPLEMENTATION OF REPROGRAMING OF APPROPRIATED FUNDS," REQUIRES PRIOR APPROVAL OF THE SECRETARY OF DEFENSE OR THE DEPUTY SECRETARY OF DEFENSE FOR THE FOLLOWING:	OBTAIN PRIOR APPROVAL OF HOUSE & SENATE COMMITTEES ON		NOTIFY HOUSE AND SENATE COMMITTEES	
	ARMED SERVICES	APPRO-PRIAT.	ARMED SERVICES	APPRO-PRIAT.
1. ACTIONS REQUIRING PRIOR COMMITTEE APPROVAL.				
A. ANY REPROGRAMING TO INCREASE THE PROCUREMENT QUANTITY OF AN INDIVIDUAL AIRCRAFT, MISSILE, NAVAL VESSEL, TRACKED COMBAT VEHICLE, OTHER WEAPON OR TORPEDO AND RELATED SUPPORT EQUIPMENT FOR WHICH FUNDS ARE AUTHORIZED UNDER 10 USC 138.	YES	YES		
B. ANY REPROGRAMING ACTION INVOLVING THE APPLICATION OF FUNDS, IRRESPECTIVE OF THE AMOUNT, TO ITEMS IN WHICH ANY ONE OR MORE OF THE CONGRESSIONAL COMMITTEES IS KNOWN TO HAVE A SPECIAL INTEREST; ALSO ANY REPROGRAMING ACTION WHICH, BY NATURE OF THE ACTION, IS KNOWN TO BE OR HAS BEEN DESIGNATED AS A MATTER OF SPECIAL INTEREST TO ONE OR MORE COMMITTEES, E.G. REPROGRAMING FOR TRANSFERS PURSUANT TO THE GENERAL TRANSFER AUTHORITY IN DOD APPROPRIATION ACTS.	1/	YES		

1/ YES, IF ACTION INVOLVES AN APPROPRIATION FOR WHICH FUNDS HAVE BEEN AUTHORIZED UNDER 10 USC 138. THE REPROGRAMING ACTION IS FORWARDED TO THESE COMMITTEES AND IS MARKED "INFORMATION COPY" ONLY WHEN FUNDS (EXCEPT RDT&E) CITED AS SOURCES OF FINANCING WERE SUBJECT TO AUTHORIZING LEGISLATION. ALL REPROGRAMING ACTIONS WHICH CITE RDT&E FUNDS AS A SOURCE OF FINANCING REQUIRE ARMED SERVICES COMMITTEE APPROVAL.

APPROVAL AND/OR NOTIFICATION REQUIREMENTS FOR REPROGRAMING ACTIONS

DOD COMPONENT ACTION	OSD ACTION			
DOD INSTRUCTION 7250.10 DATED JANUARY 10, 1980 "IMPLEMENTATION OF REPROGRAMING OF APPROPRIATED FUNDS," REQUIRES PRIOR APPROVAL OF THE SECRETARY OF DEFENSE OR THE DEPUTY SECRETARY OF DEFENSE FOR THE FOLLOWING.	OBTAIN PRIOR APPROVAL OF HOUSE & SENATE COMMITTEES ON		NOTIFY HOUSE AND SENATE COMMITTEES ON	
	ARMED SERVICES	APPROPRIATIONS	ARMED SERVICES	APPROPRIATIONS
II. ACTIONS REQUIRING NOTIFICATION TO THE COMMITTEES				
A. MILITARY PERSONNEL – REPROGRAMING INCREASE OF $5 MILLION OR MORE IN A BUDGET ACTIVITY.				YES
B. OPERATION AND MAINTENANCE – REPROGRAMING INCREASE IN ANY BUDGET ACTIVITY OF $5 MILLION OR MORE.				YES
C. PROCUREMENT – REPROGRAMING INCREASE OF $5 MILLION OR MORE IN A LINE ITEM OR THE ADDITION TO THE PROCUREMENT LINE ITEM DATA BASE OF A PROCUREMENT LINE ITEM OF $2 MILLION OR MORE.			1/	YES
D. RDT&E – REPROGRAMING INCREASE OF $2 MILLION OR MORE IN ANY PROGRAM ELEMENT, INCLUDING THE ADDITION OF A NEW PROGRAM OF $2 MILLION OR MORE, OR THE ADDITION OF A NEW PROGRAM ESTIMATED TO COST $10 MILLION OR MORE WITHIN A 3 YEAR PERIOD.			YES	YES
E. REPROGRAMING ACTIONS INITIATING NEW PROGRAMS OR LINE ITEMS WHICH RESULT IN SIGNIFICANT FOLLOW ON COSTS EVEN THOUGH INITIAL ACTIONS ARE BELOW $5 MILLION AND $2 MILLION THRESHOLDS IN A THRU D ABOVE.			1/	YES

1/ YES, IF ACTION INVOLVES AN APPROPRIATION FOR WHICH FUNDS HAVE BEEN AUTHORIZED UNDER 10 USC 138. THE REPROGRAMING ACTION IS FORWARDED TO THESE COMMITTEES AND IS MARKED "INFORMATION COPY" ONLY WHEN FUNDS (EXCEPT RDT&E) CITED AS SOURCES OF FINANCING WERE SUBJECT TO AUTHORIZING LEGISLATION. ALL REPROGRAMING ACTIONS WHICH CITE RDT&E FUNDS AS A SOURCE OF FINANCING REQUIRE ARMED SERVICES COMMITTEE APPROVAL.

APPROVAL AND/OR NOTIFICATION REQUIREMENTS FOR REPROGRAMMING ACTION

DOD COMPONENT ACTION	OSD ACTION			
DOD INSTRUCTION 7250.10 DATED JANUARY 10, 1980 "IMPLEMENTATION OF REPROGRAMING OF APPROPRIATED FUNDS," REQUIRES APPROVAL OF THE ASSISTANT SECRETARY OF DEFENSE (COMPTROLLER) FOR THE ACTIONS IN SECTION III	OBTAIN PRIOR APPROVAL OF HOUSE & SENATE COMMITTEES ON		NOTIFY HOUSE AND SENATE COMMITTEES ON	
	ARMED SERVICES	APPROPRIATIONS	ARMED SERVICES	APPROPRIATIONS
III. ACTIONS CLASSIFIED AS AUDIT-TRAIL-TYPE CHANGES (INTERNAL REPROGRAMINGS)	N/A	N/A	N/A	N/A
RECLASSIFICATIONS REPORTING CHANGES IN AMOUNTS, BUT NOT IN THE SUBSTANCE OF THE PROGRAM NOR FROM THE PURPOSES ORIGINALLY BUDGETED FOR, TESTIFIED TO, AND DESCRIBED IN THE BUDGET JUSTIFICATIONS SUBMITTED TO THE CONGRESSIONAL COMMITTEE.				
IV. QUARTERLY REPORTING ON NEW STARTS	N/A	N/A	YES	YES
ADVANCE NOTIFICATION ON BELOW THRESHOLD REPROGRAMINGS FOR NEW PROGRAMS OR LINE ITEMS NOT OTHERWISE REQUIRING PRIOR APPROVAL OR NOTIFICATION ACTION IS MADE BY LETTER DIRECTLY TO THE COMMITTEES BY THE DOD COMPONENT INVOLVED. THESE ITEMS ARE THEN REPORTED QUARTERLY ON A DD FORM 1416-1, SPECIAL QUARTERLY REPORT OF PROGRAMS, WHICH ALSO INCLUDES ACTIONS PREVIOUSLY CONSIDERED BY THE COMMITTEES AS PRIOR APPROVAL OR NOTIFICATION ACTIONS.				

DEPARTMENT OF DEFENSE

REPROGRAMING ACTIONS, FY 1970-1979

($ MILLIONS)

REQUESTED	FY 1970	FY 1971	FY 1972	FY 1973	FY 1974	FY 1975	FY 1976	FY 1977	FY 1978	FY 1979
NUMBER OF ACTIONS	129	132	82	56	24	45	43	55	66	60 b/
NUMBER OF LINE ITEMS	299	275	185	129	37	194	110	112	115	159
DOLLAR VALUE OF PROGRAM	$2,431	$3,266	$1,866	$1,453	$ 219	$1,446	$ 791	$ 1,036	$ 1,237	$ 1,163
(GENERAL TRANSFER AUTHORITY)	–	(348)	(803)	(789)	(75)	(758)	(225)	(452)	(733)	(428)
APPROVED										
DOLLAR VALUE OF PROGRAM	2,385	3,146	1,680	1,255	200	1,166	687	728	1,032	956
(GENERAL TRANSFER AUTHORITY)	–	(280)	(694)	(672)	(65)	(533)	(167)	(230)	(688)	(383)
COMPARISON										
VALUE OF TOTAL DEFENSE PROGRAM a/	74,000	71,247	74,632	76,701	79,141	82,095	92,561	105,548	113,409	125,199
% OF REPROGRAMING INCREASES	3.3%	4.4%	2.3%	1.6%	0.3%	1.4%	.7%	.7%	1.0%	.8%
(GENERAL TRANSFER AUTHORITY)	–	4.0%	1.3%	0.8%	0.2%	0.6%	.2%	.2%	.6%	.4%
BELOW-THRESHOLD REPROGRAMINGS c/										
NUMBER OF ACTIONS						1,864	2,186	1,396	1,087	1,468
TOTAL $ VALUE						787	1,210	1,578	1,063	1,357

a/ EXCLUDES MILITARY CONSTRUCTION, FAMILY HOUSING, MILITARY ASSISTANCE, CIVIL FUNCTIONS, AND CIVIL DEFENSE.

b/ EXCLUDES 4 ACTIONS FORMALLY WITHDRAWN.

c/ DATA NOT AVAILABLE PRIOR TO FY 75

DEPARTMENT OF DEFENSE

REPROGRAMING ACTIONS FOR FISCAL YEARS 1970-1979

($ MILLIONS)

	FY 1970	FY 1971	FY 1972	FY 1973	FY 1974	FY 1975	FY 1976	FY 1977	FY 1978	FY 1979
NUMBER OF ACTIONS FORWARDED TO CONGRESS	129	132	82	56	24	45	43	55	66	60 a/
(PRIOR APPROVAL ACTIONS)	(41)	(47)	(42)	(38)	(16)	(28)	(30)	(36)	(42)	(37)
(NOTIFICATION ACTIONS)	(88)	(85)	(40)	(18)	(8)	(17)	(13)	(19)	(24)	(23)
$ REQUESTED BY TITLE										
MILITARY PERSONNEL	$ 54	$ 366	$ 287	$ 222	$10	$ 192	$75	$ 33	$ 52	$ 27
RETIRED PAY, DEFENSE	–	–	–	–	–	–	–	–	–	15
OPERATIONS & MAINTENANCE	212	585	697	923	88	438	168	129	544	276
PROCUREMENT	1,744	1,792	669	224	82	674	501	763	476	625
RDT&E	421	523	213	84	39	22	47	111	165	189
REVOLVING & MANAGEMENT FUNDS	–	–	–	–	–	120	–	–	–	–
CLAIMS, DEFENSE	–	–	–	–	–	–	–	–	–	31
TOTAL REQUESTED BY DOD	2,431	3,266	1,866	1,453	219	1,446	791	1,036	1,237	1,163
(PRIOR APPROVAL ACTIONS)	(950)	(1,222)	(916)	(984)	(148)	(1,085)	(402)	(683)	(902)	(846)
(NOTIFICATION ACTIONS)	(1,481)	(2,044)	(950)	(469)	(71)	(361)	(389)	(352)	(335)	(316)
TOTAL APPROVED BY CONGRESS	2,385	3,146	1,614	1,255	200	1,166	687	728	1,032	956
(PRIOR APPROVAL ACTIONS)	(904)	(1,105)	(751)	(816)	(129)	(804)	(320)	(430)	(837)	(727)
(NOTIFICATION ACTIONS)	(1,481)	(2,041)	(863)	(439)	(71)	(360)	(367)	(298)	(195)	(229)

a/ EXCLUDES 4 ACTIONS FORMALLY WITHDRAWN

TRANSFER AUTHORITY

- SECTION 734 OF THE 1980 DOD APPROPRIATION ACT PROVIDES A GENERAL AUTHORITY FOR TRANSFERS, NOT TO EXCEED $750 MILLION DURING FY 1980 BETWEEN APPROPRIATIONS OR FUNDS AVAILABLE TO DOD FOR MILITARY FUNCTIONS (EXCEPT MILITARY CONSTRUCTION). DOD HAS REQUESTED THAT CONGRESS INCREASE THIS LIMITATION.

- AUTHORITY TO TRANSFER MAY NOT BE USED UNLESS FOR HIGHER PRIORITY ITEMS BASED ON UNFORESEEN MILITARY REQUIREMENTS.

- REQUIRES A DETERMINATION BY THE SECRETARY OF DEFENSE THAT SUCH ACTION IS IN THE NATIONAL INTEREST AND APPROVAL BY OMB.

- PROVIDES THAT THE SECRETARY OF DEFENSE SHALL NOTIFY CONGRESS PROMPTLY OF ALL TRANSFERS.

- THE USE OF THIS AUTHORITY IS ALSO SUBJECT TO THE PRIOR APPROVAL OF THE APPROPRIATIONS COMMITTEES UNDER THE REPROGRAMMING PROCEDURES.

TRANSFER OF AUTHORITY

Example of Use

THIS AUTHORITY, USED IN CONJUNCTION WITH THE REPROGRAMMING SYSTEM, ENABLED THE MOVEMENT OF $13 MILLION TO THE MISSILE PROCUREMENT, AIR FORCE ACCOUNT TO ACCELERATE DELIVERY SCHEDULES FOR SATELLITE FLIGHT MODELS 9 THROUGH 12 TO MAINTAIN A VIABLE DEFENSE SATELLITE COMMUNICATION SYSTEM SPACE SEGMENT. FUNDS PROGRAMMED IN THE OTHER PROCUREMENT, AIR FORCE ACCOUNT FOR BOMBS, SPACETRACK, AND FIRST DESTINATION TRANSPORTATION WERE USED AS A SOURCE OF FINANCING.

TRANSFER AUTHORITY

- SECTION 734 OF THE 1980 DOD APPROPRIATION ACT PROVIDES A GENERAL AUTHORITY FOR TRANSFERS, NOT TO EXCEED $750 MILLION DURING FY 1980 BETWEEN APPROPRIATIONS OR FUNDS AVAILABLE TO DOD FOR MILITARY FUNCTIONS (EXCEPT MILITARY CONSTRUCTION). DOD HAS REQUESTED THAT CONGRESS INCREASE THIS LIMITATION.

- AUTHORITY TO TRANSFER MAY NOT BE USED UNLESS FOR HIGHER PRIORITY ITEMS BASED ON UNFORESEEN MILITARY REQUIREMENTS.

- REQUIRES A DETERMINATION BY THE SECRETARY OF DEFENSE THAT SUCH ACTION IS IN THE NATIONAL INTEREST AND APPROVAL BY OMB.

- PROVIDES THAT THE SECRETARY OF DEFENSE SHALL NOTIFY CONGRESS PROMPTLY OF ALL TRANSFERS.

- THE USE OF THIS AUTHORITY IS ALSO SUBJECT TO THE PRIOR APPROVAL OF THE APPROPRIATIONS COMMITTEES UNDER THE REPROGRAMMING PROCEDURES.

FOREIGN CURRENCY FLUCTUATION

Example of Use

THE EXCHANGE RATE FOR THE DEUTSCHEMARK USED TO COMPUTE THE FY 1980 FINANCING REQUIREMENTS FOR THE APPROVED PROGRAM IN GERMANY WAS $2.24. THE JANUARY 1980 EXCHANGE RATE WAS DOWN TO $1.71. THE FOREIGN CURRENCY FLUCTUATION ACCOUNT WOULD BE USED TO PROVIDE ADDITIONAL DOLLARS TO BUY THE SAME PROGRAM AT THE NEW RATE.

CONVERSELY, THE EXCHANGE RATE FOR THE LIRA USED TO COMPUTE THE FY 1980 FINANCING REQUIREMENTS FOR THE APPROVED PROGRAM IN TURKEY WAS $17.67. THE JANUARY 1980 RATE WAS UP TO $70.00. IN THIS CASE, ACCORDING TO LAW, THE ADDITIONAL FUNDS GENERATED BY THE HIGHER RATE CANNOT BE USED IN TURKEY TO BUY ADDITIONAL PROGRAM, BUT MUST BE RETURNED TO THE FOREIGN CURRENCY FLUCTUATION ACCOUNT.

FOREIGN CURRENCY FLUCTUATION

- FUNDS ARE APPROPRIATED TO THE FOREIGN CURRENCY FLUCTUATION, DEFENSE, ACCOUNT FOR TRANSFER TO MILITARY PERSONNEL AND OPERATION AND MAINTENANCE APPROPRIATIONS (AVAILABLE FOR DEFENSE ACTIVITIES IN FOREIGN COUNTRIES) TO FINANCE INCREASED OBLIGATIONS DUE TO DOWNWARD FLUCTUATIONS IN THE CURRENCY EXCHANGE RATES (FROM THOSE USED IN BUDGET PREPARATION).

- FUNDS MUST BE TRANSFERRED INTO THIS ACCOUNT WHEN UPWARD FLUCTUATIONS IN CURRENCY EXCHANGE RATES RESULT IN SUBSTANTIAL NET GAINS IN THE MILITARY PERSONNEL AND OPERATION AND MAINTENANCE APPROPRIATIONS

- THE INTENT IS BOTH TO SHIELD OPERATING PROGRAMS FROM SIGNIFICANT LOSSES AND TO RECOUP SIGNIFICANT GAINS TO PREVENT WINDFALL INCREASES BEING USED TO FINANCE WHAT MIGHT BE LOW PRIORITY PROGRAMS, OR PROGRAMS WHICH WERE NOT REVIEWED AND APPROVED BY THE CONGRESS.

- THE SECRETARY OF DEFENSE HAS AUTHORITY TO APPROVE THESE TRANSFERS. AN ANNUAL REPORT TO THE CONGRESS ON ALL TRANSFERS MADE TO OR FROM THIS APPROPRIATION IS REQUIRED.

EMERGENCIES AND EXTRAORDINARY EXPENSES LIMITATION

Example of Use

IN ADDITION TO SUPPORTING PROGRAMED AND TARGET OF OPPORTUNITY INTELLIGENCE EFFORTS, THIS LIMITATION ALSO COVERS REPRESENTATION ALLOWANCES.

EMERGENCIES AND EXTRAORDINARY EXPENSES

- WITHIN THE OPERATION AND MAINTENANCE APPROPRIATION FOR THE DEFENSE AGENCIES, AND FOR EACH OF THE MILITARY DEPARTMENTS, AN AMOUNT IS SPECIFIED FOR EMERGENCIES AND EXTRAORDINARY EXPENSES. (LESS THAN $5 MILLION ANNUALLY PER COMPONENT).

- THESE FUNDS ARE USED FOR COVERT PURPOSES AND FOR EXPENSES NOT OTHERWISE AUTHORIZED TO BE PAID FROM DEFENSE APPROPRIATIONS. THEY MAY BE USED ON THE APPROVAL OF THE SECRETARY OF THE RESPECTIVE MILITARY DEPARTMENT, OR THE SECRETARY OF DEFENSE IN THE CASE OF THE DEFENSE AGENCIES APPROPRIATION. THE APPROPRIATE SECRETARY MUST CERTIFY THAT THE USE OF THE MONEY IS NECESSARY FOR CONFIDENTIAL MILITARY PURPOSES.

- LEGISLATION REQUIRES THE SECRETARY OF DEFENSE TO SUBMIT A REPORT OF EXPENDITURES UNDER THESE LIMITATIONS ON A QUARTERLY BASIS TO THE COMMITTEES ON ARMED SERVICES AND APPROPRIATIONS OF THE SENATE AND HOUSE OF REPRESENTATIVES.

SECTION 3732 DEFICIENCY AUTHORITY

Most Recent Example of Use

THIS AUTHORITY GENERALLY REFERRED TO AS THE "FEED AND FORAGE ACT" WAS INVOKED IN FISCAL YEAR 1980 IN THE OPERATION AND MAINTENANCE ACCOUNTS. ITS USAGE PROVIDED FOR ADDITIONAL FUEL AND TRANSPORTATION COSTS DUE TO UNANTICIPATED FUEL PRICE INCREASES.

SECTION 3732 DEFICIENCY AUTHORITY

- UNDER SECTION 3732 OF THE REVISED STATUTES (41 USC 11), THE DEPARTMENT OF DEFENSE HAS LIMITED AUTHORITY TO ENTER INTO OBLIGATIONS ON A DEFICIENCY BASIS.
- ITS APPLICATION IS LIMITED TO THE NECESSITIES OF THE CURRENT YEAR UNDER CIRCUMSTANCES IN WHICH APPROPRIATIONS FOR CLOTHING, SUBSISTENCE, FORAGE, FUEL, QUARTERS, TRANSPORTATON, OR MEDICAL AND HOSPITAL SUPPLIES ARE EXHAUSTED.
- APPROVAL BY THE SECRETARY OF DEFENSE AND NOTIFICATION TO THE CONGRESS IS REQUIRED.
- WHEN THE FULL EXTENT OF THE DEFICIENCIES ARE KNOWN, A REQUEST MUST BE SUBMITTED TO THE CONGRESS FOR FUNDS TO COVER SUCH DEFICIENCIES.
- THIS STATUTE WAS USED AT THE TIME OF THE BERLIN AND CUBAN CRISES. IT WAS USED IN FY 1980 TO COVER INCREASED FUEL AND RELATED TRANSPORTATION COSTS.
- THERE HAVE BEEN A NUMBER OF RECENT ATTEMPTS WITHIN THE CONGRESS TO REPEAL THIS STATUTE.

WORKING CAPITAL FUNDS TRANSFER AUTHORITY

Example of Use

UNDER THE PROVISIONS OF THIS AUTHORITY, DURING FY 1980, CASH BALANCES OF $13 MILLION IN THE DEFENSE STOCK FUND AND $48 MILLION IN THE ARMY STOCK FUND WERE TRANSFERRED TO THE NAVY AND AIR FORCE STOCK FUNDS TO PROCURE WAR RESERVES.

WORKING CAPITAL FUNDS TRANSFER AUTHORITY

- SECTION 736 OF THE 1980 DOD APPROPRIATION ACT AUTHORIZES THE TRANSFER OF CASH BALANCES BETWEEN WORKING CAPITAL FUNDS OF THE DEPARTMENT OF DEFENSE (STOCK FUNDS AND INDUSTRIAL FUNDS).

- USE OF THIS AUTHORITY REQUIRES APPROVAL BY THE SECRETARY OF DEFENSE AND OMB.

PERMANENT AUTHORITY

UNFUNDED CONTRACT AUTHORITY

Example of Use

ON A RECURRING BASIS UNFUNDED CONTRACT AUTHORITY IS USED IN THE STOCK FUNDS TO MAINTAIN REQUIRED LEVELS OF INVENTORY BY OBLIGATING CONTRACTS/PURCHASE ORDERS IN SUCH AMOUNTS TO ACCOMMODATE PROCUREMENT AND ADMINISTRATIVE LEAD TIMES, RISING INFLATION, AND OTHER STOCKAGE REQUIREMENTS TO SATISFY CUSTOMER ORDERS IN A TIMELY MANNER.

THE OUTSTANDING VALUE OF UNFUNDED CONTRACT AUTHORITY AT THE END OF FY 1979 WAS $4 BILLION.

PERMANENT AUTHORITY

UNFUNDED CONTRACT AUTHORITY

- U.S. CODE TITLE 10, 2210 (b) PROVIDES THAT "OBLIGATIONS MAY, WITHOUT REGARD TO FISCAL YEAR LIMITATIONS, BE INCURRED AGAINST ANTICIPATED REIMBURSEMENTS TO STOCK FUNDS IN SUCH AMOUNTS AND FOR SUCH PERIODS AS THE SECRETARY OF DEFENSE, WITH THE APPROVAL OF THE DIRECTOR, OFFICE OF MANAGEMENT AND BUDGET, MAY DETERMINE TO BE NECESSARY TO MAINTAIN STOCK LEVELS CONSISTENTLY WITH PLANNED OPERATIONS FOR THE NEXT FISCAL YEAR."

- UNFUNDED CONTRACT AUTHORITY OBLIGATIONS ARE LIQUIDATED BY REIMBURSEMENTS FROM CUSTOMER ORDERS.

FUNCTIONAL TRANSFERS

Example of Use

IN APRIL, 1979 THE FEDERAL COBOL COMPILER TEST SERVICE WAS TRANSFERRED FROM THE DEPARTMENT OF THE NAVY TO THE GENERAL SERVICES ADMINISTRATION (GSA). $149,000 WAS TRANSFERRED FROM THE OPERATION AND MAINTENANCE, NAVY, ACCOUNT, TO GSA TO SUPPORT THIS FUNCTIONAL TRANSFER.

FUNCTIONAL TRANSFERS

- UNDER 10 USC 126, AUTHORITY EXISTS TO TRANSFER FUNDS FROM ONE APPROPRIATION ACCOUNT TO ANOTHER IN CONNECTION WITH THE TRANSFER OF RESPONSIBILITIES FROM ONE ORGANIZATION TO ANOTHER.

- THIS AUTHORITY HAS BEEN USED IN THE CASE OF REORGANIZATION ACTIONS.

- SUCH TRANSFERS ARE SUBJECT TO APPROVAL BY THE SECRETARY OF DEFENSE AND OMB.

EMERGENCY MILITARY CONSTRUCTION

Example of Use

A RECENT USE OF THIS AUTHORITY WAS TO PROVIDE $4,400,000 TO THE NAVY FOR DREDGING OF THE THAMES RIVER IN CONNECTICUT TO PROVIDE ADEQUATE CHANNEL DEPTH FOR TRANSIT OF THE FIRST TRIDENT SUBMARINE FROM ITS CONSTRUCTION SITE, ELECTRIC BOAT DIVISION OF GENERAL DYNAMICS CORPORATION, TO LONG ISLAND SOUND FOR SEA TRIALS.

EMERGENCY MILITARY CONSTRUCTION

- THE ANNUAL MILITARY CONSTRUCTION AUTHORIZATION ACT PROVIDES EACH OF THE MILITARY DEPARTMENTS WITH AUTHORITY OF $20,000,000 TO PROCEED WITH CONSTRUCTION OF FACILITIES MADE NECESSARY BY CHANGES IN MISSIONS AND RESPONSIBILITIES WHICH HAVE BEEN OCCASIONED BY (1) UNFORSEEN SECURITY CONSIDERATIONS, (2) NEW WEAPONS DEVELOPMENTS, (3) NEW AND UNFORESEEN RESEARCH AND DEVELOPMENT REQUIREMENTS, (4) IMPROVED PRODUCTION SCHEDULES, OR (5) REVISIONS IN THE TASKS OR FUNCTIONS ASSIGNED TO A MILITARY INSTALLATION OR FACILITY OR FOR ENVIRONMENTAL CONSIDERATIONS.

- USE OF THIS AUTHORITY REQUIRES A DETERMINATION BY THE SECRETARY OF DEFENSE THAT DEFERRAL OF SUCH CONSTRUCTION FOR INCLUSION IN THE NEXT MILITARY CONSTRUCTION AUTHORIZATION ACT WOULD BE INCONSISTENT WITH INTERESTS OF NATIONAL SECURITY. ALSO, THE SECRETARY INVOLVED IS REQUIRED TO NOTIFY THE CONGRESSIONAL ARMED SERVICES COMMITTEES.

- FUNDS TO FINANCE SUCH CONSTRUCTION MUST BE REPROGRAMED, WITH THE CONCURRENCE OF THE COMMITTEES ON APPROPRIATIONS, FROM SAVINGS OR FROM LESSER PRIORITY MILITARY CONSTRUCTION PROJECTS.

MILITARY CONSTRUCTION CONTINGENCY AUTHORITY AND FUNDS

Example of Use

RECENTLY, UNDER THIS AUTHORITY, $8.6 MILLION WAS APPROVED FOR CONSTRUCTION OF FACILITIES AT DIEGO GARCIA TO SUPPORT THE INCREASED TEMPO OF OPERATIONS IN THE INDIAN OCEAN.

MILITARY CONSTRUCTION CONTINGENCY AUTHORITY AND FUNDS

- THE ANNUAL MILITARY CONSTRUCTION AUTHORIZATION AND APPROPRIATION ACTS CONTAIN AUTHORITY WHICH PERMITS THE TRANSFER OF FUNDS FROM THE MILITARY CONSTRUCTION, DEFENSE AGENCIES APPROPRIATION TO OTHER APPROPRIATIONS OF THE DEPARTMENT OF DEFENSE WHICH ARE AVAILABLE FOR MILITARY CONSTRUCTION. THE PROJECTS TO BE FINANCED MUST BE DETERMINED TO BE VITAL TO THE SECURITY OF THE UNITED STATES.

- IN FY 1981, $30 MILLION HAS BEEN PROGRAMED UNDER THE MILITARY CONSTRUCTION, DEFENSE AGENCIES APPROPRIATION TO PROVIDE FINANCING FOR THIS AUTHORITY.

- USE OF THIS AUTHORITY REQUIRES APPROVAL BY THE SECRETARY OF DEFENSE AND NOTIFICATION OF THE COMMITTEES ON ARMED SERVICES OF BOTH THE HOUSE AND SENATE. COMMENCING WITH THE FY 1980 MILITARY CONSTRUCTION APPROPRIATIONS ACT, THE HOUSE APPROPRIATIONS COMMITTEE HAS MADE THE UTILIZATION OF CONTINGENCY FUNDS SUBJECT TO PRIOR APPROVAL REPROGRAMING.

TRANSFER AUTHORITY RELATED TO ADVANCE RESEARCH

Example of Use

FUNDS FOR MISSILES AND RELATED EQUIPMENT IN THE RDT&E, DEFENSE AGENCIES APPROPRIATION WERE TRANSFERRED TO RDT&E, ARMY FOR BALLISTIC MISSILE DEFENSE (DEFENDER).

TRANSFER AUTHORITY RELATED TO ADVANCE RESEARCH

- THE ANNUAL DOD APPROPRIATION ACT PROVIDES AUTHORITY TO TRANSFER FUNDS BETWEEN THE RDT&E, DEFENSE AGENCIES APPROPRIATION AND OTHER APPROPRIATIONS FOR PROGRAMS RELATED TO ADVANCED RESEARCH

- THIS AUTHORITY IS INTENDED TO APPLY TO PROGRAMS MONITORED BY THE DEFENSE ADVANCED RESEARCH PROJECTS AGENCY

- USE OF THE AUTHORITY REQUIRES A DETERMINATION BY THE SECRETARY OF DEFENSE

- THERE HAS BEEN NO USE OF THE AUTHORITY IN RECENT YEARS

TRANSFER AUTHORITY RELATED TO ADVANCE RESEARCH FACILITIES CONSTRUCTION

EXAMPLE OF USE

THIS AUTHORITY WAS USED FOR CONSTRUCTION ON KWAJALEIN ISLAND IN SUPPORT OF THE BALLISTIC MISSILE RANGE TO PROVIDE A CAPABILITY FOR TESTING BALLISTIC MISSILE WARHEADS AND DECOY BODIES AT GREAT DISTANCES. THE TRANSFER WAS TO MILITARY CONSTRUCTION FROM RDT&E (ARPA) BY DECREASING OTHER LOWER PRIORITY ADVANCED RESEARCH PROJECTS.

TRANSFER AUTHORITY RELATED TO ADVANCE RESEARCH FACILITIES CONSTRUCTION

- PUBLIC LAW 89-188 AUTHORIZED THE SECRETARY OF DEFENSE TO CONSTRUCT FACILITIES REQUIRED FOR ADVANCE RESEARCH PROJECTS NOT TO EXCEED A CUMULATIVE COST OF $20 MILLION. TO DATE, $8 MILLION OF THIS AUTHORITY HAS BEEN USED AND $12 MILLION REMAINS AVAILABLE.
- THE FUNDS REQUIRED TO FINANCE THIS AUTHORITY ARE BUDGETED FOR, ALONG WITH OTHER ADVANCE RESEARCH FUNDS, UNDER THE RESEARCH, DEVELOPMENT, TEST AND EVALUATION, DEFENSE AGENCIES APPROPRIATION. UPON APPROVAL TO CONSTRUCT AN ADVANCE RESEARCH FACILITY, THE NECESSARY FUNDS ARE TRANSFERRED TO THE MILITARY CONSTRUCTION, DEFENSE AGENCIES APPROPRIATION.
- THIS TRANSFER AUTHORITY IS RESTATED ON AN ANNUAL BASIS IN THE MILITARY CONSTRUCTION, DEFENSE AGENCIES APPROPRIATION LANGUAGE. THERE IS NO REQUIREMENT TO NOTIFY CONGRESS OF ITS USE.

CONSTRUCTION PROJECTS COST VARIATIONS

Example of Use

RECENTLY, IT WAS NECESSARY TO USE THIS AUTHORITY TO ACCOMMODATE A 54% INCREASE (FROM $118,200,000 TO $181,900,000) IN THE COST OF THE SPACE TRANSPORTATION SYSTEM (STS) LAUNCH COMPLEX AT VANDENBERG AIR FORCE BASE, CALIFORNIA.

CONSTRUCTION PROJECTS COST VARIATIONS

- THE ANNUAL MILITARY CONSTRUCTION AUTHORIZATION ACT PROVIDES THAT THE MILITARY DEPARTMENTS AND DEFENSE AGENCIES MAY INCREASE STATION AUTHORIZED TOTALS FOR CONSTRUCTION BY 5% IN CONUS AND 10% FOR OUTSIDE THE UNITED STATES. IF ONLY ONE PROJECT (FACILITY) IS AUTHORIZED FOR A STATION, AN INCREASE OF 25% MAY BE APPROVED. SUCH INCREASES ARE PERMITTED ONLY WHEN (1) THEY ARE REQUIRED FOR THE SOLE PURPOSE OF MEETING UNUSUAL VARIATIONS IN COST AND (2) THEY COULD NOT HAVE BEEN REASONABLY ANTICIPATED.
- INCREASES IN EXCESS OF THE ABOVE PERCENTAGES CAN BE INCURRED ONLY AFTER APPROVAL BY THE SECRETARY OF DEFENSE, NOTIFICATION OF THE COMMITTEES ON ARMED SERVICES OF THE SENATE AND HOUSE OF REPRESENTATIVES, AND EITHER (1) THIRTY DAYS HAVE ELAPSED FROM DATE OF NOTIFICATION, OR (2) BOTH COMMITTEES HAVE INDICATED APPROVAL.
- SUCH INCREASES ARE TO BE FUNDED FROM SAVINGS FROM OTHER CONSTRUCTION PROJECTS. FOR PROJECTS COSTING IN EXCESS OF $500,000, COST INCREASES EXCEEDING 25% OR $1,000,000, WHICHEVER IS LESSER, ARE SUBJECT TO PRIOR APPROVAL REPROGRAMMING BY THE COMMITTEES ON APPROPRIATIONS. IN NO EVENT MAY THE TOTAL AMOUNT AUTHORIZED FOR AN APPROPRIATION BE EXCEEDED BECAUSE OF COST VARIATIONS.

RESTORATION OR REPLACEMENT OF FACILITIES DAMAGED OR DESTROYED

Example of Use

RECENT USE OF THIS AUTHORITY WAS FOR RESTORATION OF A TITAN II MISSILE COMPLEX AT MCCONNELL AFB, KANSAS, WHICH WAS DAMAGED AND RENDERED INOPERATIVE BY A MASSIVE OXIDIZER SPILL.

RESTORATION OR REPLACEMENT OF FACILITIES DAMAGED OR DESTROYED

- 10 U.S.C. 2673 PROVIDES AUTHORITY FOR THE MILITARY DEPARTMENTS TO RESTORE OR REPLACE FACILITIES THAT HAVE BEEN DAMAGED OR DESTROYED BY FIRE, FLOODS, HURRICANES OR OTHER "ACTS OF GOD."
- THE LEGISLATION REQUIRES THAT EACH USE OF THIS AUTHORITY BE APPROVED BY THE SECRETARY OF DEFENSE, AND THAT THE COMMITTEES ON ARMED SERVICES OF THE SENATE AND HOUSE OF REPRESENTATIVES BE NOTIFIED.
- FUNDS TO FINANCE SUCH CONSTRUCTION MUST BE REPROGRAMED FROM SAVINGS OR FROM LOWER PRIORITY PROJECTS. SUCH REPROGRAMING REQUIRES THE PRIOR APPROVAL OF THE COMMITTEES ON APPROPRIATIONS OF THE SENATE AND HOUSE OF REPRESENTATIVES.

MINOR CONSTRUCTION

Example of Use

IN MAY, 1980, THE DIRECTOR, DEFENSE MAPPING AGENCY, APPROVED A $377,000 PROJECT FOR ALTERATION OF FACILITIES AT FORT SAM HOUSTON, TEXAS, TO ACCOMMODATE THE RELOCATION OF THE HEADQUARTERS, INTER-AMERICAN GEODETIC SURVEY, FROM THE PANAMA CANAL ZONE TO THE CONTINENTAL UNITED STATES.

MINOR CONSTRUCTION

- AUTHORITY IS PROVIDED BY 10 U.S.C. 2674 TO CONSTRUCT FACILITIES COSTING $500,000 OR LESS WHICH ARE NOT OTHERWISE AUTHORIZED BY LAW
- APPROPRIATIONS AVAILABLE FOR MILITARY CONSTRUCTION MAY BE USED FOR SUCH CONSTRUCTION, GENERALLY REFERRED TO AS "MINOR CONSTRUCTION". IN ADDITION, FUNDS AVAILABLE FROM APPROPRIATIONS FOR OPERATION AND MAINTENANCE MAY BE USED FOR ANY PROJECT COSTING NOT MORE THAN $100,000.
- THE LEGISLATION REQUIRES THAT PROJECTS COSTING $300,000 OR MORE BE APPROVED BY THE SECRETARY OF THE MILITARY DEPARTMENT OR DIRECTOR OF DEFENSE AGENCY CONCERNED AND, FURTHER, THAT PROJECTS COSTING $400,000 OR MORE BE APPROVED BY THE SECRETARY OF DEFENSE.
- AN ANNUAL DETAILED REPORT IS REQUIRED TO BE SUBMITTED TO THE COMMITTEES ON ARMED SERVICES AND APPROPRIATIONS OF THE SENATE AND HOUSE OF REPRESENTATIVES ON THE USE MADE OF THIS AUTHORITY. IN ADDITION, THESE COMMITTEES MUST BE NOTIFIED IN WRITING AT LEAST 30 DAYS BEFORE ANY FUNDS ARE OBLIGATED AGAINST ANY PROJECT COSTING MORE THAN $300,000.

BACKGROUND PAPERS

THIS SECTION CONTAINS A NUMBER OF BACKGROUND PAPERS AND FACT SHEETS ON SUBJECTS OF PARTICULAR INTEREST. INCLUDED ARE:

1. Impact of Executive Order 12036 (National Foreign Intelligence Program) on PPBS
2. Financing of procurement - full funding
3. Aircraft procurement, advance procurement
4. Exemption of DoD Appropriations from apportionment
5. Apportionment on a Deficiency Basis
6. General Transfer Authority
7. Section 3732 Authority
8. Reprograming of Appropriated Funds
9. Military Construction Appropriations Legislation and Administration
10. Unbudgeted Inflation in Stock Fund Prices
11. Budgeting for Inflation in Operation and Maintenance Appropriations
12. Civilian Personnel Ceilings
13. Restraints/Limitations Imposed by the Congress
14. Authorizing of O&M Appropriations

BACKGROUND PAPER

Topic: Impact of Executive Order 12036 (National Foreign Intelligence Program) on DOD PPBS

Discussion:

o E.O. 12036 of January, 1978 prescribes "full and exclusive" authority for the Director of Central Intelligence (DCI) over National Foreign Intelligence Program (NFIP) resource levels. The DCI manages NFIP formulation through the Intelligence Community (IC) Staff.

o The Defense Intelligence Program constitutes the bulk of the NFIP. Resources for it are programed in approximately 32 DOD program elements and budgeted in a variety of DOD appropriations involving OSD, the Military Departments, DIA and NSA.

o Annually each Spring, the President approves an explicit fiscal ceiling for the NFIP, to be accommodated within fiscal guidance levels prescribed for the agencies whose budgets will include NFIP resources. Changes in NFIP fiscal guidance levels, unless accompanied by parallel changes in fiscal guidance levels for DOD, can cause increases or decreases in allowances for non-Intelligence DOD programs, but not vice versa. Similarly, approved resource levels for the Defense portion of the NFIP may be changed by DCI decisions during the subsequent program and budget reviews, or by Presidential decisions made later, before the budget is finalized. Normally, these fluctuations are not accompanied by changes to overall DOD allowance levels, and must be accommodated by changing non-Intelligence program levels.

o To preserve the "full and exclusive" authority of the DCI over NFIP resources, we fence the Defense Intelligence Program during the DOD PPB cycle. DCI program decisions are reflected in the SECDEF Program Decision Memoranda or Amended Program Decision Memoranda, often in separate Intelligence issuances. DCI budget decisions are recorded in standard Decision Package Sets, whereby the SECDEF approves the inclusion in the DOD budget of Defense Intelligence Program resources approved by the DCI.

o The IC Staff program/budget review process is similar to ours. OMB, the Office of the Assistant Secretary of Defense (Command, Control, Communications and Intelligence), and this office participate in it. During the Fall, joint hearings are held, followed by formulation of budget issues for DCI consideration.

o The Secretary of Defense has the right, under terms of E.O. 12036, to appeal DCI budget decisions to the President, should he feel that DOD interests are adversely impacted.

o Separate NFIP Congressional Justification Books are prepared by the program managers under IC Staff direction. The DCI takes the lead in justification of NFIP requests to the Congress, including appeals on Congressional action. NFIP budget proposals are reviewed by the House Permanent Select Committee on Intelligence and the Senate Select Committee on Intelligence, which initiate authorizing legislation, and the House and Senate Appropriations Committees. For items covered by 10 U.S.C. 138, the Armed Services Committees include NFIP fiscal and manpower resources in their authorizing legislation also.

o Under E.O. 12036, the Secretary of Defense has day-to-day management responsibility (including financial management) for the Defense Intelligence Program. Resource realignments must, however, be approved by the DCI.

Summary: E.O. 12036 has created the unusual situation wherein another party, the DCI, controls resource level determinations for a significant portion of the Defense program.

June 11, 1980
Directorate for Construction

FINANCING OF PROCUREMENT PROGRAMS

Department of Defense procurement programs are presented and financed on a full funded basis consistent with the expressed wishes of the Congress.

The concept of full funding was initially applied to Navy shipbuilding authorized by the act of March 10, 1951 (65 Stat. 4). Prior to enactment of the act, the Navy shipbuilding program operated under contract authorizations with funds appropriated in annual increments as estimated to be required for contract expenditures during the budget year. After the passage of the act, the Congress appropriated funds for the entire cost of the Navy shipbuilding programs.

This principle has been applied to all procurement programs since that time.

In a letter dated May 15, 1957, to the Secretary of Defense, Congressman Mahon, as Chairman of the Department of Defense Subcommittee, House Committee on Appropriations, stated, in part, that:

> "The general prevailing practice of this Committee is to provide funds at the outset for the total estimated cost of a given item so that the Congress and the public can clearly see and have a complete knowledge of the full dimensions and cost of any item or program when it is first presented for an appropriation.
>
> "During the course of these hearings, the Committee has learned that one or more contracts have been executed for materiel on a partially funded basis with the apparent expectation of completing the financing by ultimately fully obligating the transactions with succeeding years appropriations."
>
> * * * * * *
>
> "It is recommended that all necessary action be taken to prevent such practice in the future and to insure that procurement funds are administered so as to accomplish the full program for which the appropriation was justified."

On May 21, 1957, the Secretary of Defense issued DOD Directive 7200.4 which stated the concept of full funding.

Financing of Procurement Programs (Continued)

Application of the full funding concept has been monitored closely by Congress over the years. In 1968, Congress requested the General Accounting Office to conduct a review to determine whether DOD was complying fully with the policy. A favorable report was issued by GAO in February 1969 and DOD Directive 7200.4 was updated and strengthened on October 30, 1969. The HAC report (93-662, Pg 147) on the 1974 Budget request re-emphasized the importance of the full funding principle. The Department of Defense strongly supports this Congressional policy of full funding and believes that the one time savings in New Obligational Authority would not compensate for the disadvantages inherent in incremental funding of procurement appropriations.

Specific disadvantages are:

. Loss of visibility and controls built into present program year full funding.

. Potential for disruption of scheduled and approved program execution if projected timing of obligations vary.

. Commits future Congresses to finance the balance of incremental starts, thereby reducing Congressional impact on annual budgets.

. Invalidates present reprogramming procedures and arrangements, which are built on principle of full funding.

. Would require significant funding of contingent liability termination costs not required under a full funding system.

. Would create serious uncertainties for contractors, since total programs would not be funded at time of authorization and appropriations. They would be bidding on partial programs.

. Would increase difficulty of administering programs under Continuing Resolution Authority (CRA) in view of varying obligation patterns and changing program requirements.

. Would create serious problems with contractors responsible for weapons system integration, since funding would be out of phase with responsibilities.

. Production planning would be seriously disrupted.

Financing of Procurement Programs (Continued)

. Would increase number of line items by the number of program years for which funding is required (varying between 3 to 5 years), thereby greatly increasing number of line items Congress would have to address. This would also result in loss of program year integrity which exists under the present full funding system.

. In view of recent Congressional action terminating continuing appropriations in favor of multiple year accounts, most procurement items would be financed in three separate and distinct appropriations - 5 in the case of ship programs. This could require a complete revamping of government and industry accounting systems.

. The total effect would be to completely restructure the budget and financial management system within the DOD and throughout Defense industry. This would lead to the same unmanageable situation that existed prior to 1957. Congressional control over programs would be decreased. Defense program management would be greatly complicated - returning to a situation which was corrected by Congressional direction 23 years ago.

FACT SHEET

Aircraft Procurement, Advance Procurement

- Service current and proposed budgeting practices for Aircraft Advance Procurement items are inconsistent with DoD Directive 7200.4 Full Funding of DoD Procurement Programs.

- DoD 7200.4 states "... permit the procurement of long leadtime components (underlining added) in advance of the fiscal year in which the related end item (aircraft) is to be procured ... It is important that proposals for advance procurement be made on a selective basis with consideration of the applicability of the components as spares in the event that the prospective program fails to materialize."

- At one time services were consistent with the directive.

- Increasing leadtimes in early 70's have caused the services to deviate from the Full Funding Policy (increases from 18 months to 30 and 40 months).

  - Air Force: All advance procurement for A-10, F-16, F-15, E-3A is funded at Termination Liability levels with the exception of some GFE (Government Furnished Equipment).

  - Navy: Same as Air Force for all major programs.

  - Army: Advance Procurement is fully funded (components) in FY 1981 budget, but Army is proposing in POM 1982 to fund UH-60 advance procurement on the basis of termination liability.

- Navy and Air Force Aircraft DPS (FY 1981 budget cycle) directed services to full fund advance procurement in POM 82.

- Recent Air Force and Navy correspondence request relief from that direction due to the funding that would have to be diverted to fully fund advance procurement and the resultant major impact on on-going programs.

- Congress provided advance procurement funds for the F-18 in the FY 1980 budget (termination liability) and recommended services budget in this fashion (Armed Services Conference Committee Report).

- Costs to Fully Fund Advance Procurement: During the FY 1981 budget cycle Air Force estimated the additional cost to fully fund advance procurement at over $770 million. Navy indicated it would be over a billion.

ALTERNATIVES:

A. Direct Services to Full Fund Advance Procurement.

Pros: Consistent with existing directives.

Cons: Unless significant TOA increases are granted, this alternative will require services to reduce aircraft quantities to full fund advance procurement thereby stretching out programs and increasing costs and will require reduction of other mod, spares or support programs.

B. Direct Services to Fully Fund Advance Procurement for those items that are otherwise useable as spares if procured at the component level and to budget for Air Frame Structure long lead at the termination liability level since structure is not useable as spares. This would require revision of 7200.4.

Pros: Would result in a directive that is similar to the current directive but one that recognized unique aircraft procurement problems and related full funding at the component level to only those components otherwise useable as spares if program cancelled. Would also result in funding requirements of a lesser magnitude (20 to 40 percent) than full funding with less disruption.

Cons: Would still require some disruption and would result in significantly greater administrative and contract effort to determine what components are required and to write and negotiate such contracts.

C. Allow Aircraft Advance Procurement on a total termination liability basis. Requires revision of 7200.4.

Pros: Minimizes program disruption, consistent with recent congressional direction, recognizes unique problems with aircraft advance procurement.

Cons: Opens door for all other procurement programs to fund in this fashion which could have serious implications in monitoring and controlling ship procurement costs if Navy subsequently pressed for funding of ship advance procurement at the termination liability level.

OASD(C) P/B
Procurement Dir.
May 5, 1980

FACT SHEET

Exemption of Department of Defense Appropriations from Apportionment

DEFINITION

Section 714(A) of the FY 1980 DoD Appropriations Act (and similar general provisions in earlier acts) provides that the President may exempt appropriations, funds, and contract authorizations from the provisions of subsection (c) of R.S. 3679. This exempts the accounts from apportionment controls. Invocation of this provision does not permit obligation in excess of available resources but does permit obligations to be incurred at an increased rate.

MOST RECENT USE

The last time this authority was invoked was for the Army, Navy, and Air Force O&M accounts on February 27, 1980, by President Carter for increased fuel and stock fund costs.

HOW INVOKED

- The Secretary of Defense requests OMB to request the President to exempt specific appropriations from apportionment.
- OMB forwards the request to the President who determines that the specific appropriations are exempt.
- The Secretry of Defense notifies the Congress that the authority has been exercised.
- The DoD Components involved are advised of the exemption and any related reporting requirements.
- Internal DoD fund release documents are adjusted to reflect the exemption from apportionment.

OASD(C)P&FC
June 13, 1980

FACT SHEET

Apportionment on a Deficiency Basis

DEFINITION/BACKGROUND

In certain instances, the law (Anti-Deficiency Act) permits requests to anticipate the need for supplemental budget authority. Generally, the permissions are based on laws enacted subsequent to the basic act that require expenditures beyond administrative control; emergencies involving safety of human life, property, or human welfare; and pay increases granted to wage-board employees. Provision is also made to apportion on a deficiency basis where other laws may be enacted that authorize apportionments that anticipate the need for supplemental estimates of appropriation (e.g. a continuing resolution that authorizes deficiency apportionments necessitated by civilian and military pay increases). This latter category is used annually in DoD accounts which are impacted by pay. Further explanations of the other categories can be found in Section 43.2 of OMB Circular A-34.

HOW INVOKED

- Upon advancement of the fall budget review to the point where it is known which accounts will require a pay supplemental, a memo to the Secretary of Defense is prepared requesting his determination that apportionment on a deficiency basis is necessary. Retired pay increases based on the CPI also qualify.

- The Services submit reapportionment requests to align the accounts with the current year column of the budget. The DD 1105's contain a prescribed footnote that "This apportionment request indicates a necessity for a supplemental appropriation now estimated at $xx,xxx,xxx." A copy of the Secretary's determination is attached to each DD 1105 and the original is provided to OMB (no transmittal).

- The amount in the footnote must be in exact agreement with the President's Budget Request.

- OMB approves the request, including a similar footnote, and usually adjusts the amount of the pay raise from the 4th Quarter obligation phasing.

OASD(C)P&FC
June 13, 1980

FACT SHEET

General Transfers

DEFINITION/BACKGROUND

Program execution and unforeseen military requirements leading to a need for additional resources in excess of those available within an appropriation account can be financed by reducing or eliminating lower priority programs in other accounts and transferring the funds.

General transfer authority authorizing the Secretary of Defense to transfer up to a statutory amount of working funds or funds made available by appropriation to the DoD for Military functions (except Military Construction) between appropriations, funds or any subdivision was included in the FY 1971 DoD Appropriation Act. Transfer authority had previously been available under provisions of the Emergency Fund, Defense.

UTILIZATION

- The use of general transfer authority by the Department of Defense requires a determination by the Secretary of Defense that such action is necessary in the national interest and requires approval by the Office of Management and Budget. Transfers must be made to higher priority items but in no case to items for which funds have been denied by Congress.

- The reduction or elimination of programs to generate resources for transfer and the increase in or initiation of programs must be approved by applicable Congressional Committees on reprograming requests prior to the actual transfer of resources.

- The amount of transfer authority is established annually in the DoD Appropriation Act and expires at the end of the fiscal year.

- Amounts of transfer authority available and amounts used.

	$ Millions	
	Available	Used
FY 1972	750	694
FY 1973	750	672
FY 1974	625	65
FY 1975	750	533
FY 1976	750	167
FY 1977	750	230
FY 1978	750	688
FY 1979	750	383
FY 1980	750	

OASD(C)P&FC
June 13, 1980

FACT SHEET

Section 3732, Revised Statutes

AUTHORITY

Title 41, United States Code, Section 11, as amended.
Appropriation Bills each fiscal year often expand upon the Code.

DEFINITION

Section 3732, Revised Statutes, authorizes military departments to incur obilgations in excess of available appropriations in procuring or furnishing clothing, subsistence, forage, fuel, quarters, transportation, or medical and hospital supplies not to exceed the necessities of the current fiscal year (DoDD 7220.8, August 16, 1956).

HISTORY OF USE

The Department of Defense has invoked the authority in seven fiscal years since 1960:

FY	Circumstance Requiring Use
1962	Berlin Airlift
1966	Southeast Asia
1967	Pending enactment of Supplemental Appropriations
1968	Pending enactment of Supplemental Appropriations
1969	Pending enactment of Supplemental Appropriations
1972	Southeast Asia
1978	Pending enactment of Supplemental Appropriations

HOW INVOKED

- Memorandum from Military Department to the Secretary of Defense
- "Recognition of the need" from the Secretary of Defense to the Secretary of the Military Department
- Immediate notification to the Speaker of the House and President of the Senate
- Concurrently advise OMB

REPORTING

Estimated obligations incurred pursuant to the subject authority are required to be reported quarterly to the Congress.

OASD(C) P&FC
12 June 1980

FACT SHEET

Reprograming of Appropriated Funds

DoD Directive 7250.5, January 9, 1980, states the DoD reprograming policies relating to the appropriation accounts covered by the DoD Appropriations Act.

DoD Instruction 7250.10, January 10, 1980, implements the policies of DoDD 7250.5 and reflects recognition by the Congress of the practice of reprograming DoD funds covered in the DoD Appropriation Acts as a necessary, desirable, and timely device for achieving flexibility in the execution of Defense programs.

1. History

Reprograming procedures have been in effect to some extent since the early 1960s but, in consultation with the congressional committees, have been formalized, refined and modified to meet changing needs. Both DoDD 7250.5 and DoDI 7250.10 were revised in January 1980, (previous revision was in January 1975). These policies are based on long-standing agreements between DoD and the Congressional Armed Services and Appropriations Committees.

2. Provisions

a. Actions Requiring Prior Approval of Congressional Committees: Reprograming actions involving the application of funds, regardless of amount, which:

(1) Increases the procurement quantity of an individual aircraft, missile, naval vessel, tracked combat vehicle, and other weapon or torpedo and related support equipment for which funds are authorized under 10 USC 138.

(2) Affects an item that is known to be or has been designated as a matter of special interest to one or more of the congressional committees.

(3) Involves the use of general transfer authority.

b. Actions Requiring Notification to Congressional Committees: Actions involving changes in the application of funds in significant amonts (thresholds) as agreed upon with the committees and outlined in DoDI 7250.10, as follows:

Military Personnel and Operations & Maintenance	An increase of $5 million or more in a budget activity.
Procurement	An increase of $5 million or more in a procurement line item, or the addition to the procurement line item data base of a procurement line item of $2 million or more.
RDT&E	An increase of $2 million or more in any program element, including the addition of a new program of $2 million or more, or the addition of a new program the cost of which is estimated to be $10 million or more within a 3-year period.

c. Actions Internal to DoD: These actions are audit-trail type actions processed within DoD when not otherwise constrained by law or other provisions within DoDI 7250.10, and include reclassification actions not involving any changes from the purposes justified in budget presentations to Congress. These actions are approved by the ASD(C).

3. Major Changes in Last Revision

a. Special Interest Items: Prior to FY 1980, when an item was reduced by congressional action, it was considered to be an item of "special interest" by the Congress and could not be increased without prior committee approval. The revision established the policy that noncontroversial dollar adjustments would no longer cause an item to be of "special interest".

b. Appeals to Committees on Reprograming Decisions: Prior to the latest revision, there was no specified policy on how to appeal an adverse committee decision or how to amend a pending request. The revision established a policy that committee decisions may be appealed by the Secretary or Deputy Secretary of Defense, and that any DoD action on a reprograming request taken after its submission to the committees is subject to the same review and approval procedures as the original action.

c. New Starts: Advance letter notification to the Appropriations Committees is required on all below-threshold new starts. These "new starts" are below-threshold reprogramings for new programs or line items not otherwise requiring prior approval of, or notification action to, the committees. Previously, DoD could initiate these actions on its own authority and inform the committees later on a quarterly report. The Appropriations Committees directed that notification be made in advance. This is done by letter directly to the committees by the DoD component involved after advance coordination with OASD(C).

d. Source of Funds: Complete identification of the detail of the sources of funds on each reprograming action is now required. Previously, DoD did not have to formally identify the individual programs which were being reduced or canceled when the funds came from another appropriation account. As a practical matter, the programs being decreased can be of equal, or sometimes greater, significance to the committees than the program or item being increased. This has become a rather significant point with the Authorization (Armed Services) Committees since, as a general trend, funds have been transferred from the procurement accounts to the operating accounts.

4. Some Current Issues

Proposed for inclusion in the latest DoDI 7250.10 were increases to the dollar thresholds which require notification action to the committees. These thresholds have not been revised in the past two decades. By increasing the thresholds, the number of reprogramings submitted to the Committees could be reduced considerably. However, this proposal was not accepted by all of the committees. New thresholds proposed were:

Military Personnel and Operation and Maintenance	An increase of $10 million or more.

Procurement	An increase of $10 million or more in a procurement line item, or the addition of a new item of $5 million or more.
RDT&E	An increase of $5 million or more in any program element, or the addition of a new program element of $5 million or more, or a new program element which is estimated to be $25 million or more within a three-year period.

There were mixed reactions to the need for the increases within DoD. The Military Departments pressed strongly for the increases. Within OASD(C) were the following reactions:

- Procurement Directorate felt that the approved thresholds for Procurement were not overly restrictive since the majority of Procurement reprogramings far exceed the $5 million threshold; therefore, a doubling would not benefit the Department.

- R&D Directorate strongly supported efforts to revise reprograming thresholds since current thresholds do not keep pace with inflation.

- Military Personnel Directorate does not encounter significant problems at the $5 million threshold at the budget activity level. Typically, increases and decreases within a budget activity can be netted against each other and, with application of pay supplementals, programs can be balanced without exceeding the budget activity thresholds.

- Operations Directorate indicated that the current O&M thresholds are satisfactory, and cautioned that any efforts to increase them could trigger committee imposition of line item controls in O&M.

5. Some "Open" Items

- In proposing the new thresholds, ASD(C) secured the agreement of SAC, HASC, and SASC to raise the thresholds to the new limits. HAC objected to the reprograming process based on the "newness" of the Subcommittee Chairman. ASD(C) was invited to reintroduce the subject with Mr. Addabbo after the Chairman had a year of experience with the system. This year of experience, although not specifically identified, could be identified as FY 1980. This would provide a "window" for reintroducing the subject to HAC at the close of FY 1980.

- There are still problems attendant with clear-cut identification of "special interest" items. SAC and HASC presently show listings of such items in their committee reports. SASC has given us specific guidance on what to consider special interest items. This places the decision on DoD of identifying HAC special interest items, where, if we judge in error, can lead to criticism.

OASD(C)P&FC
June 13, 1980

BACKGROUND PAPER

Topic: Military Construction Appropriations Legislation and Administration

Discussion:

o The annual legislation for Military Construction programs is provided under authorization and appropriation acts which are separate and distinct from the acts providing legislation for the balance of Defense programs. There are currently thirteen separate construction appropriations covered under existing or proposed (FY 1981) legislation. A listing of these, with brief description, is included at the end of this background paper.

o Under current legislation, funds appropriated annually for military construction programs remain available for obligation for five years (including the fiscal year for which enacted). The two exceptions are the amounts appropriated annually for Family Housing operation and maintenance (one year life) and the Homeowners Assistance Fund (available until expended), discussed further in the attachment.

o The total FY 1981 request for military construction appropriations is $5.4 billion.

o The lead review in Congress is undertaken by four Subcommittees chartered to focus on installations and facilities. These include two Subcommittees on Armed Services (House and Senate) and two on Appropriations (House and Senate). Their review is exhaustive, involving examination and hearings at the level of the individual construction project. Congressional mark-up is also at the level of the individual project.

o Rather broad flexibility is available to the Defense Department in the program execution phase, but under rather tight Congressional oversight which is imposed either in the form of prior Congressional notification and/or reprograming procedures. Subject to these, we are provided authority to: (1) restore facilities damaged or destroyed through accident or natural disaster; (2) undertake (within certain limitations) urgent or emergency projects required in the interest of national security, and which cannot be delayed until the next budget cycle; (3) exceed the dollar amounts justified to Congress for individual construction projects, and (4) undertake, within lump sums provided annually, projects costing $500,000 or less which are not otherwise authorized by law (generally referred to as "minor construction").

o In-house, program administration and execution follows the same level of review (project detail) imposed during the program and budget review leading to development of the President's budget. For military construction, the OMB apportionment process controls apportionment of funds at the level of the individual construction project. Under this system, each project is re-validated as to need prior to release of funds to the Defense component. Requirements to use unobligated balances remaining at the end of each fiscal year are monitored throughout the life of each appropriation.

Family Housing, Defense

o This appropriation finances the cost of construction of on-base housing for military families, leasing of off-base housing units, and the operation and maintenance of the total family housing inventory. This account is unique in that it is both on investment and operating account. Funds appropriated for the investment portion remain available for obligation for a period of five years, whereas funds appropriated for maintenance and operation remain available for obligation only until the end of the fiscal year of enactment. A third feature of this appropriation is that it provides annual amounts in excess of $100 million for retirement of mortgage debt incurred in the 1950's when Defense purchased substantial interests in privately owned housing. The indebtedness is being retired as slowly as possible because of the extremely favorable interest rates (4-4 1/2%).

Homeowners Assistance Fund, Defense

o This program provides, in accordance with Public Law 89-754, assistance to military and civilian employee homeowners by reducing losses on resale values of their homes incurred as a result of the closure of military installations or reduction in the scope of operations at such installations.

Foreign Currency Fluctuation, Construction, Defense

o This appropriation was established in FY 1980 as a Congressional initiative with initial capitalization of $125 million. The funds were made available for transfer only to military construction accounts to help compensate for loss in the purchasing power of dollars budgeted as a result of unfavorable fluctuation of the dollar relative to other currencies. All of the funds provided have been transferred to the regular construction accounts. No additional funds are being sought in the FY 1981 President's budget.

June 11, 1980
Directorate for Construction

Military Construction Appropriations

Active Forces:

Military Construction, Army
Military Construction, Navy
Military Construction, Air Force

o These appropriations finance facilities needed to support the active forces, including air, fleet and troop operations, training, equipment maintenance, bachelor housing, medical and dental services, research efforts, and community support such as clubs, theatres, post exchanges and the like.

Reserve Forces:

Military Construction, Army National Guard
Military Construction, Air National Guard
Military Construction, Army Reserve
Military Construction, Naval Reserve
Military Construction, Air Force Reserve

o These appropriations finance those facilities needed to support the training and readiness of the Guard and Reserve forces including armories, reserve centers and facilities for storage and maintenance of equipment.

Defense Level Accounts:

Military Construction, Defense Agencies

o This appropriation provides funds for construction of facilities for the Defense Agencies, which provide common-service support to the military departments in such areas as logistics, intelligence and mapping, and construction of facilities to support selected activities which do not fall under the purview of the Defense Agencies, but nonetheless serve requirements of more than one military service such as the overseas dependent school program and certain operational, training and research functions.

NATO Infrastructure

o This appropriation provides funds for the United States share of the NATO Infrastructure program, a program which provides those minimum essential dedicated wartime facilities required to support the deployment and operation of NATO military forces, including U.S. forces committed to NATO. The program is financed collectively by NATO member countries in accordance with a negotiated cost sharing formula. NATO Infrastructure is proposed to be established as a new and discrete appropriation in the FY 1981 President's budget. Currently, it is a separate budget activity under the appropriation "Military Construction, Defense Agencies".

Unbudgeted Inflation in Stock Fund Prices

Stock Fund price stabilization policy for nonfuel related purchases requires that standard prices be updated annually based on actual product procurement cost experienced during the year of execution. Actual user cost is then adjusted by approved surcharges or a stabilization factor, which takes into account an estimate for anticipated inflationary price growth, changes in transportation rates, efficiencies in operations, etc. approved during the budget year review.

The current system is an improvement over our previous pricing system, since it enables customers to more readily execute planned purchases and the stock fund manager to maintain stock fund cash levels. However, there remains a major difference from our price/rate stabilization policy relative to fuel sales and services provided by industrial fund activities. Sales prices/rates in both these areas are established during the budget year review and customer related funds are adjusted accordingly. These budgeted sales rates remain fixed or stabilized when the fiscal year commences and variances in cost experienced during the execution, whether plus or minus, are considered during subsequent budget year reviews.

By allowing the stock fund manager to update the cost "baseline" to reflect actual versus programed inflationary price growth, we force customers or program managers to effect program changes in order to accommodate the "baseline" update. We should eliminate this disruptive factor and implement a price stabilization policy which will not cause unbudgeted user cost increases.

Ops. Dir./13 June 1980

Budgeting for Inflation in Operation and Maintenance Appropriation

Beginning in FY 1978, the Congress, by Public Law 94-361, authorized the Department of Defense to include in the budget estimates for operating funds an estimate of price growth anticipated in the cost of goods and services. Prior to FY 1978, price increases occurring subsequent to submission of the President's budget had to be offset through program reductions.

In determining the amounts required to offset the impact of increased costs, the Department uses the most recent economic assumptions provided by the administration. The FY 1981 President's budget, as amended, reflects a general inflation factor of 9.7 percent. A slightly higher rate for purchases from the DoD Stock Funds and for purchased utilities has been included. To the extent that actual inflation exceeds these predictions, program reductions will be required. For each (one) percent that inflation exceeds the budgeted rate, an additional $300 million in the operating accounts will be required - either through supplemental appropriations or by program reductions.

Program areas that lend themselves to the flexibility required to cope with inflation are, for the most part, those programs directly related to readiness. For example, flying hours, ship steaming hours, and unit training are controllable programs at the lowest organizational level and therefore are the first to suffer when inflation exceeds the budgeted amount.

Ops. Dir./13 June 1980

Civilian Personnel Ceilings

Limits as to the total number of civilian personnel the Department may employ have been a continuing problem for several years. Congress authorizes the total number of civilian personnel we may have during a given fiscal year. OMB also places various restrictions on civilian employment in terms of full time permanent positions and from time-to-time other categories. Some hiring restrictions are imposed by the President in his fiscal guidance, limiting the total number of civilian personnel the Department may budget for in a given fiscal year. Each of these ceiling actions seriously limit the Department's flexibility in managing its many programs. We have continually opposed the implementation of ceiling limits on civilian personnel. We consider personnel to be a resource not a program. We feel the total amount of funds available should control the number of people a manager is able to employ. This would obviously give each manager the flexibility to manage his program by managing his dollar resources. If contracting certain functions out to private industry become cost effective, we could do so. If however, it becomes more cost effective to accomplish the task in house we could obtain the personnel required without the restrictions of a ceiling on personnel. The Department operated without civilian ceilings in FY 1973 and FY 1974 and it worked very well. GAO has also supported the elimination of civilian ceilings. At the same time, we could protect matters of special congressional interest such as headquarters by controlling the total number of personnel in the headquarters function. This could satisfy the congressional concern, but still provide the Department with enough flexibility to better manage its programs.

If, however, it is not possible to eliminate ceilings, we have an internal OSD staff problem in that OASD MRA&L manages the ceiling limitations while the Comptroller manages the fiscal resources. These two functions should be combined and we feel they should be managed by this office.

Restraints/Limitations Imposed by the Congress

In the review and markup of the Defense budget, Congressional Committees oftentimes impose certain restraints or limitations in the form of funds reductions or limitations without regard or an appreciation of program impact or the capability within Defense to effect policy changes. For example, the FY 1980 House Appropriations Committee report effected adjustments relative to resources requested for Studies and Analyses, employee compensation claims, foreign national pay raises and use of civilian personnel sick leave. Also specific language appended to the Defense Bill limited expenditures relative to funds appropriated for travel and transportation activities. Resources requested for compensation claims are based on actual claim settlements negotiated by the Department of Labor. Foreign national pay raises are effected via State Department country-by-country agreements. Policy governing the use of sick leave is promulgated by the Office of Personnel Management . Dialogue on the part of the Defense Department with other agencies concerning these areas does take place and can be effective. However, resource requirements are based on policy external to Defense. Funding adjustments become in fact unprogrammatic reductions; for example, we have no option but to finance foreign national pay raises negotiated by State.

Limitations such as that imposed on travel and transportation expenditures become disruptive and often impact on direct readiness related training. We do not regard travel and transportation as a program. It is a vehicle for accomplishing logistic support of operating forces and moving both people and supplies to perform training activities. The Department has had a problem in conveying to the Congressional Appropriations Committee members and staff appreciation of this problem.

Authorization of Operation and Maintenance (O&M) Appropriation

The House Armed Services Committee has proposed addition of a Section (802) in the FY 1981 House Report on the Authorization Bill for prior authorization beginning in FY 1982. This proposal stems primarily as a reaction to service comments that the House Appropriations Committee as well as OSD and the Office of Management and Budget have effected reductions in the O&M budgets which impact readiness areas. Congress has maintained there was no intention to reduce readiness areas in any of their adjustments and that such effects occur from misapplication of specific non-readiness reductions.

Notwithstanding the merit of the rational for service application of congressional reductions, it appears likely authorization of O&M will occur. It will cause the following:

- Constrain flexibility in program execution in accounts subject the dynamics and urgency of rapidly changing requirements not only from national security considerations but also from price (inflation) impacts.

- Complicate and lengthen the budget and reprograming process. We must satisfy two additional committees - hearings and responses to staff questions. Also, developments after authorization, but before appropriation, will require additional authorization action. New authorization will also be necessary before requesting additional funds through notification reprogramings, supplementals and amendments.

- Increase Department staff requirements in order to be responsive to four committees. This is important because of significant reductions in headquarters staff over the past decade. Departmental accounting systems will need, perhaps significant, modification to meet identification and tracking requirements of authorization level detail. This will also drive up overhead costs.

Ops. Dir./13 June 1980

ASSISTANT SECRETARY OF DEFENSE
(COMMUNICATIONS COMMAND CONTROL AND INTELLIGENCE)

The Office of the Assistant Secretary of Defense (Communications, Command and Intelligence) (ASD(C^3I)) provided the attached documents to the Carter-Reagan Transition Team. The releasable segregable portions of the document are attached. The withheld portion of the document has been reviewed with the determination that it is currently and properly classified within the meaning of Executive Order 12065 and denied under 5 USC 552(b)(1). Further, the denied information contains the opinions, recommendations and conclusions of various staff officers and the unauthorized release of their comments could inhibit the free flow of information and ideas between subordinates and superiors and severely inhibit the decision-making process. This information is therefore denied under 5 USC 552 (b)(5).

The Initial Denial Authority is Mr. Laurin Knutson, Director Program Control and Administrator, Office of the Under Secretary of Defense for Research and Engineering.

(TOL)

FILE

Assistant Secretary of Defense (Communications, Command, Control and Intelligence)

and

Principal Deputy Assistant Secretary of Defense (Communications, Command, Control and Intelligence)

Organization and Functions

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Assistant Secretary of Defense (C^3I)
and
Principal Deputy ASD(C^3I)

Introduction and Overview

The Assistant Secretary of Defense (C^3I) is responsible to the Secretary of Defense for the DoD's communications, command, control, and intelligence programs. In addition, the ASD(C^3I) serves as the principal deputy to the Under Secretary of Defense, Research and Engineering. At Tab B is the Department of Defense Directory Chart showing the place of the ASD(C^3I)/PDUSD (R&E) in the organization.

The combination of C^3 and Intelligence functions under a single assistant secretary was new with this administration. Previously, there was an assistant secretary for intelligence and a director of Defense Telecommunications and Command and Control Systems (DTACCS). To reduce the number of people reporting directly to the Secretary of Defense, the ASD(C^3I) was placed under the Under Secretary of Defense, Research and Engineering, and made his principal deputy as well. As a result, three positions were combined into one. The DOD Directive 5137.1 at Tab C lists the specific responsibilities and functions of the ASD(C^3I).

There is another position in the Office of the Secretary of Defense with responsibility for communications, command, control and intelligence – the Deputy Under Secretary of Defense (Policy Review) in the Office of the Under Secretary of Defense for Policy. Under DOD Directive 5130.2, the DUSD(PR) is responsible for Defense policy as it relates to C^3 and intelligence analysis, requirements, and priorities. (The original DOD Directive and a draft up-dated one are at Tab D.) The intent of having two organizations at the OSD level involved in the same area was to differentiate between the responsibility for establishing policy/requirements and for developing and implementing the programs evolving from the policies/requirements. In practice there has been a smooth working relationship between ASD(C^3I) and DUSD(PR) helped by the fact that the differentiation mentioned above was flexible.

The Office of the ASD(C^3I) is organized with a principal deputy, four other deputies, and eleven directors as shown at Tab E. The C^3I programs are managed by mission area, e.g., Strategic C^3, rather than by functional areas, e.g., communications. A listing of these mission areas is also given at Tab E and a detailed discussion of them is given in the program books.

The organization and function descriptions of the Principal Deputy and four other deputies are at Tab F; the duties of the directors at Tab G. The entire office of the ASD(C^3I) is authorized a total of 84 people, 69 civilians and 15 military. All but two of these positions are filled or in process of being filled. A roster of all the people is at Tab H. Listed on the roster are seven additional people on loan from other agencies and organizations.

The two program books are designed to present a coherent view of the entire C^3I program. To carry out our presently required program will require $11.3 billion in FY 81 and about $13.0 billion in FY 82 as shown in Tab I. The numbers in the chart do not reflect the final Congressional action on the FY 81 appropriation bill passed on December 5, 1980. The numbers for FY 82 and FY 82-86 are based on the budgets submitted by the Services and Agencies.

One of the major tasks of the ASD(C^3I) is testifying before Congress in support of the C^3I programs. Normally there are six hearings; the authorization, appropriations and intelligence committees/subcommittees of both the Senate and the House. A list of the Congressional Chairmen and contacts for these committees is listed at Tab J.

In addition to extensive involvement with Congress, the ASD(C^3I) and his principal deputy are involved with numerous other committees, councils and organizations within and without DoD. The list at Tab K shows the major ones which are reasonably current and expected to continue.

March 11, 1977
NUMBER 5137.1

ASD(C)

Department of Defense Directive

SUBJECT Assistant Secretary of Defense (Communications, Command, Control, and Intelligence)

References:
(a) Title 10, United States Code, 133 and 136
(b) DoD Directive 5135.1, "Director, Telecommunications and Command and Control Systems," January 17, 1974 (hereby cancelled)
(c) DoD Directive 5115.1, "Assistant Secretary of Defense (Intelligence/Director of Defense Intelligence)," July 20, 1976 (hereby cancelled)
(d) DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976

I. PURPOSE

Pursuant to the authority vested in the Secretary of Defense under the provisions of reference (a), one of the positions of Assistant Secretary of Defense is designated the Assistant Secretary of Defense (Communications, Command, Control, and Intelligence) (hereinafter "the ASD(C^3 I)"), with responsibilities, functions, and authorities as prescribed herein.

II. CANCELLATIONS

References (b) and (c) are hereby cancelled.

III. RESPONSIBILITIES

The ASD(C^3 I) is the principal staff assistant to the Secretary of Defense for DoD telecommunications, command and control, and intelligence resources (including related warning and reconnaissance activities). He also serves as principal staff assistant in carrying out the Secretary of Defense's responsibilities as Executive Agent of the National Communications System (NCS). For each of his assigned areas he shall:

A. Provide advice, make recommendations, and issue guidance on DoD plans, programs, and fiscal activities.

B. Develop policies, systems and standards for the administration and management of approved plans and programs.

C. Initiate and review programs for carrying out approved policies.

D. Review the quality and timeliness of products and their effectiveness for users.

E. In conjunction with the ASD (Comptroller), review proposed programs and the resources required to implement them, formulate budget estimates, and recommend resource allocations.

F. Monitor the implementation of approved programs, cooperation, and mutual understanding between the other Federal agencies.

G. Participate in those planning, programming, and budgeting activities which relate to ASD(C^3 I) responsibilities.

H. Exercise, subject to the direction of Director of Defense Research and Engineering, the latter's direction, authority and control over all research and development matters related to communications, command, control, and intelligence.

I. Exercise direction, authority, and control over all DoD actions to allocate resources for intelligence activities, except those organic to combatant forces and those intelligence support activities specifically delegated to the Joint Chiefs of Staff. Authority over the intelligence activities of the Military Departments will be exercised through the Secretary of the Military Department concerned.

J. Serve on boards, committees, and other groups pertaining to his functional areas.

K. Perform such other duties as the Secretary of Defense may from time to time prescribe.

IV. FUNCTIONS

The ASD(C^3 I) shall carry out the responsibilities described in section III. in the following areas:

A. Facilities, equipment, systems, and resources.

B. Satellite activities.

C. Command and Control Systems, including the World-Wide Military Command and Control System (WWMCCS).

D. Telecommunications.

E. Application and integration of ADP technology.

F. National Communications System.

G. Surveillance, warning, and reconnaissance related to communications, command and control or intelligence.

H. Integration of national and tactical communications, command and control, and intelligence.

I. Intelligence collection and processing.

J. Communications Security (COMSEC).

K. Electronic Counter-Countermeasures (ECCM).

L. Such other areas as the Secretary of Defense may from time to time prescribe.

M. Exclusions:

1. Operational direction of communications, command, control, and intelligence.

2. Telecommunications and command and control systems integral to weapons systems designed for, and usually delivered with, and as part of an aircraft, missile complex, ship, tank, etc., the costs of which are normally included in the cost of the weapons systems.

V. ORGANIZATION AND MANAGEMENT ARRANGEMENTS

A. The ASD(C^3 I) may be assisted by such deputies as he shall appoint with the approval of the Secretary of Defense.

B. The ASD(C^3 I) shall provide technical guidance to the World-Wide Military Command and Control System (WWMCCS), Engineer, Joint Tactical Communications Office (TRI-TAC), and Electromagnetic Compatibility Analysis Center (ECAC).

VI. RELATIONSHIPS

A. In the performance of his duties, the ASD(C^3 I) shall:

1. Coordinate and exchange information with other DoD organizations having collateral or related functions.

2. Use existing facilities and services, whenever practicable, to achieve maximum efficiency and economy.

B. All DoD organizations shall coordinate all matters concerning the functions cited in section IV. with the ASD(C^3 I).

VII. AUTHORITIES

The ASD(C^3 I) is hereby delegated authority to:

A. Issue instructions and one-time directive-type memoranda which carry out policies approved by the Secretary of Defense, in his assigned fields of responsibility. Instructions issued to the Military Departments will be issued through the Secretaries of those Departments or their designees. Instructions to Unified or Specified Commands will be issued through the Joint Chiefs of Staff.

B. Obtain such reports, information and assistance, consistent with the policies and criteria of DoD Directive 5000.19 (reference (d)), as he deems necessary.

C. Communicate directly with the heads of DoD component organizations, including the Secretaries of the Military Departments, the Joint Chiefs of Staff, the Directors of Defense Agencies and, through the Joint Chiefs of Staff, the Commanders of Unified or Specified Commands.

D. Establish arrangements for DoD participation in those non-defense governmental programs for which he has been assigned primary cognizance.

E. Communicate with other government agencies, representatives of the legislative branch, and members of the public, as appropriate, in carrying out assigned functions.

VIII. EFFECTIVE DATE

This Directive is effective immediately.

Harold Brown

Secretary of Defense

Out of date

June 16, 1977
NUMBER 5130.2

ASD(C)

Department of Defense Directive

SUBJECT Director of Policy Review

Reference: (a) DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976

A. PURPOSE

Pursuant to the authority vested in the Secretary of Defense under the provisions of Title 10, United States Code, the position of Director of Policy Review is hereby established with responsibilities, functions, and authorities as prescribed herein.

B. RESPONSIBILITIES

The Director of Policy Review is the principal staff assistant to the Secretary of Defense for Defense policy as it relates to communications and intelligence analysis, requirements and priorities, as well as other policy matters as determined by the Secretary of Defense. For each of his assigned areas the Director shall:

1. Develop Department of Defense communications and intelligence policy and means to verify response to policy.

2. Confirm requirements for research, development and systems acquisition for intelligence analysis and production, intelligence collection and communications.

3. In accordance with existing guidelines determine priorities for Defense intelligence collection and establish guidelines for the assembly, integration and validation of all Defense intelligence requirements.

4. Exercise staff supervision on policy matters over the Defense Intelligence Agency, the National Security Agency, the Defense Mapping Agency, the Defense Communications Agency, Air Force and Navy special intelligence programs, Defense communications and intelligence functions retained by the

Military Departments, and, in conjunction with the Assistant Secretary of Defense (Comptroller), the Defense Investigative Service.

5. Provide staff support for the Defense Intelligence Advisory Board.

6. Conduct liaison with the Joint Staff and Unified and Specified Commands on policy matters related to his areas of responsibility.

7. Develop Department of Defense policy and requirements for use of space for matters related to his areas of responsibility.

8. Provide to the Assistant Secretary of Defense (Communications, Command, Control and Intelligence) requirements for intelligence and communications programs.

9. Oversee Department of Defense participation in sensitive intelligence matters, including contracts or arrangements with other countries; cooperate with the Assistant Secretary of Defense (International Security Affairs) with respect to review of intelligence matters related to the Special Coordinating Committee (Intelligence).

10. Provide policy guidance, oversight, and coordination for intelligence-related programs and issues.

11. Participate in studies and analyses involving communications or intelligence policy matters and other matters as directed by the Secretary of Defense.

12. Serve on boards, committees, and other groups pertaining to his functional areas.

13. Perform such other duties as the Secretary of Defense may from time to time prescribe.

C. FUNCTIONS

The Director of Policy Review shall carry out the responsibilities described in section B. in the following areas:

1. Intelligence planning, policy and requirements.

2. Communications planning, policy and requirements.

3. Requirements for intelligence production, research, development, and systems acquisition.

4. Intelligence collection and analysis requirements and priorities.

5. Consolidated Defense Intelligence Program.

6. National and tactical intelligence.

7. Counterintelligence and security policy.

8. Mapping, charting and geodesy.

9. Sensitive intelligence (HUMINT and TECHNICAL).

10. Liaison with users.

11. Such other areas as the Secretary of Defense may from time to time prescribe.

D. RELATIONSHIPS

1. In the performance of his duties, the Director of Policy Review shall:

a. Coordinate and exchange information with other DoD organizations having collateral or related functions.

b. Use existing facilities and services whenever practicable to achieve maximum efficiency and economy.

2. All DoD organizations shall coordinate all matters concerning the responsibilities cited in section B. with the Director of Policy Review.

E. AUTHORITIES

The Director of Policy Review is hereby delegated authority to:

1. Issue instructions and one-time directive-type memoranda which carry out policies approved by the Secretary of Defense, in his assigned fields of responsibility. Instructions issued to the Military Departments will be issued through the Secretaries of those Departments or their designees. Instructions to Unified or Specified Commands will be issued through the Joint Chiefs of Staff.

2. Obtain such reports, information and assistance, consistent with the policies and criteria of DoD Directive 5000.19, as he deems necessary.

3. Communicate directly with the heads of DoD organizations, including the Secretaries of the Military Departments, the Joint Chiefs of Staff, the Directors of Defense Agencies and, through the Joint Chiefs of Staff, the Commanders of Unified and Specified Commands.

4. Communicate with other government agencies, representatives of the legislative branch, and members of the public, as appropriate, in carrying out assigned functions.

F. EFFECTIVE DATE

This Directive is effective immediately.

Deputy Secretary of Defense

Proposed Revision 30 Nov 1980

NUMBER 5130.2

Department of Defense Directive

SUBJECT Deputy Under Secretary for Policy Review

Reference: (a) DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976

A. PURPOSE

Pursuant to the authority vested in the Secretary of Defense under the provisions of Title 10, United States Code, the position of Deputy Under Secretary for Policy Review is hereby established with responsiblilities, functions, and authorities as prescribed herein.

B. RESPONSIBILITIES

The Deputy Under Secretary for Policy Review is the principal staff assistant to the Secretary of Defense for Defense policy as it relates to command, control and communications (C3) and intelligence analysis, requirements and priorities, as well as other policy matters as determined by the Secretary of Defense. For each of his assigned areas the Deputy Under Secretary shall:

1. Develop Department of Defense C3 and intelligence policy and means to verify response to policy.

2. Advise and assist the Secretary of Defense on matters concerned with the integration of Departmental C3 and intelligence plans and policies with overall national security objectives.

3. Represent the Department of Defense as directed in C3 and intelligence matters involving the National Security Council, the Department of State, the Intelligence Community, and other departments, agencies, and interagency groups in the national security area.

4. Review and confirm requirements for research, development and systems acquisition for intelligence analysis and production, intelligence collection and communications.

5. In accordance with existing guidelines determine priorities for Defense intelligence collection and establish guidelines for the assembly, integration and validation of all Defense intelligence requirements.

6. Exercise staff supervision on policy matters over the Defense Intelligence Agency, the National Security Agency, the Defense Mapping Agency, the Defense Communications Agency, Air Force and Navy special intelligence programs, Defense communications and intelligence functions retained by the Military Departments, and, in conjuction with Assistant Secretary of Defense (Comptroller), the Defense Investigative Service.

7. Establish priorities for Department of Defense C3 and intelligence requirements. Recommend priorities for C3 and intelligence programs to the Defense Resources Board, Assistant Secretary of Defense (C3I), and the National Foreign Intelligence Board.

8. Review C3 and intelligence programs and systems to determine compliance with Department of Defense policy and requirements.

9. Provide staff support for the Defense Intelligence Advisory Board.

10. Conduct liaison with the Joint Staff and Unified and Specified Commands on policy matters related to his areas of responsibility.

11. Develop Department of Defense policy and requirements for use of space for matters related to his areas of responsbility.

12. Provide to the Assistant Secretary of Defense (Communications, Command, Control and Intelligence) requirements for intelligence and C3 programs.

13. Oversee Department of Defense participation in sensitive intelligence matters, including contracts or arrangements with other countries; cooperate with the Assistant Secretary of Defense (International Security Affairs) with respect to review of intelligence matters related to the Special Coordinating Committee (Intelligence).

14. Provide policy guidance, oversight, and coordination for intelligence-related programs and issues.

15. Participate in studies and analyses involving C3 or intelligence policy matters and other matters as directed by the Secretary of Defense.

16. Serve on boards, committees, and other groups pertaining to his functional areas.

17. Perform such other duties as the Secretary of Defense may from time to time prescribe.

C. FUNCTIONS

The Deputy Under Secretary for Policy Review shall carry out the responsibilities described in section B. in the following areas:

1. Intelligence planning, policy and requirements.

2. C3 planning, policy and requirements.

3. Requirements for intelligence production, research, development, and systems acquisition.

4. Intelligence collection and analysis requirements and priorities.

5. Consolidated Defense Intelligence Program.

6. Electronic Warfare and C3 Countermeasures

7. National and tactical intelligence

8. Counterintelligence and security policy.

9. Mapping, charting and geodesy.

10. Sensitive intelligence (HUMINT and TECHNICAL).

11. Liaison with users.

12. Such other areas as the Secretary of Defense may from time to time prescribe.

D. RELATIONSHIPS

1. In the performance of his duties, the Deputy Under Secretary for Policy Review shall:

a. Coordinate and exchange information with other DoD organizations having collateral or related functions.

b. Use existing facilities and services whenever practicable to achieve maximum efficiency and economy.

2. All DoD organizations shall coordinate all matters concerning the responsibilities cited in section B. with the Deputy Under Secretary for Policy Review.

E. AUTHORITIES

The Deputy Under Secretary for Policy Review is hereby delegated authority to:

1. Issue instructions and one-time directive-type memoranda which carry out policies approved by the Secretary of Defense, in his assigned fields of responsibility. Instructions issued to the Military Departments will be issued through the Secretaries of those Departments or their designees. Instructions to Unified or Specified Commands will be issued through the Joint Chiefs of Staff.

2. Obtain such reports, information and assistance, consistent with the policies and criteria of DoD Directive 5000.19, as he deems necessary.

3. Communicate directly with the heads of DoD organizations, including the Secretaries of the Military Departments, the Joint Chiefs of Staff, the Directors of Defense Agencies and, through the Joint Chiefs of Staff, the Commanders of Unified and Specified Commands.

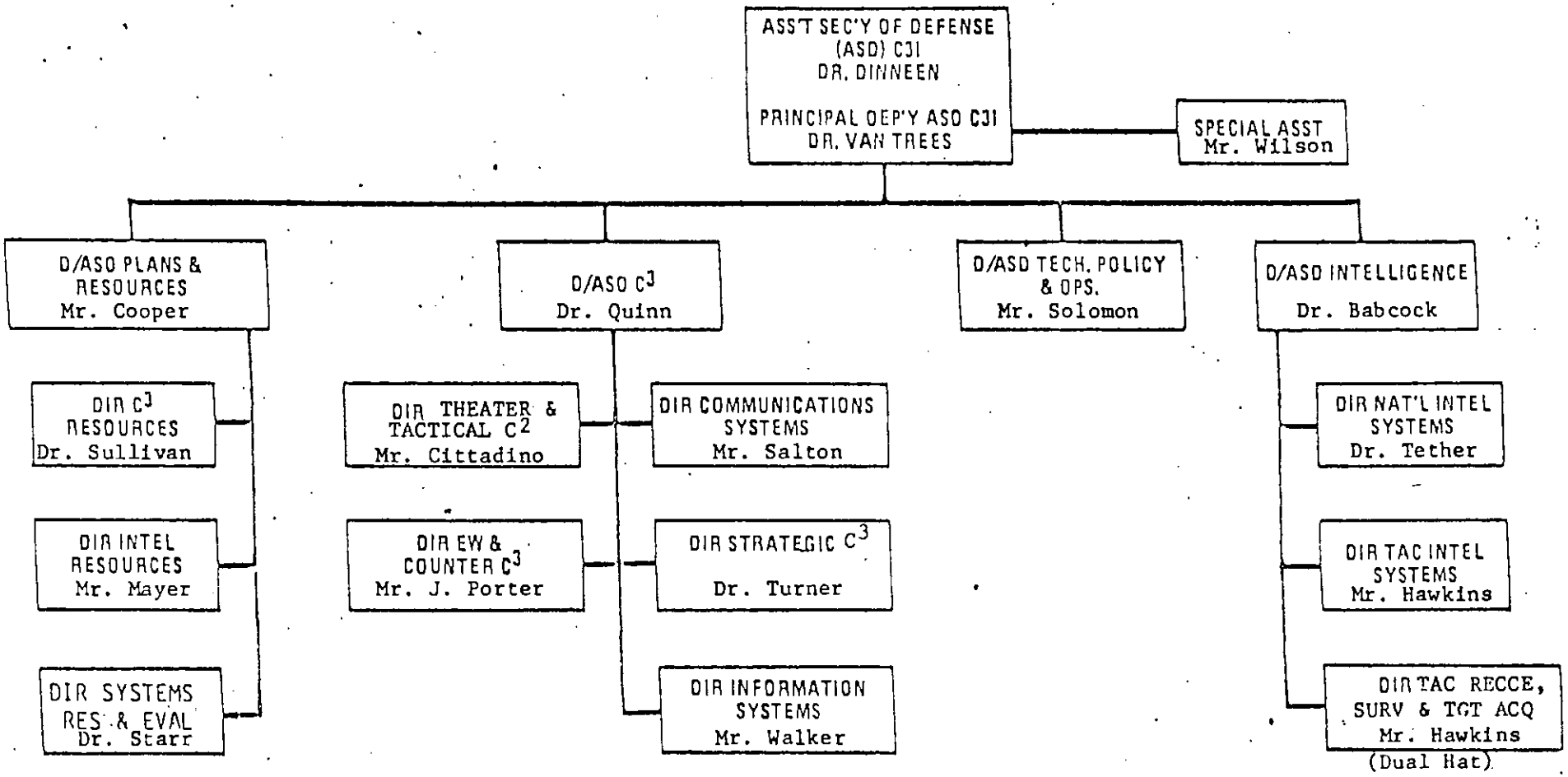
4. Communicate with other government agencies, representatives of the legislative branch, and members of the public, as appropriate, in carrying out assigned functions.

F. EFFECTIVE DATE

This Directive is effective immediately.

OFFICE OF THE ASSISTANT SECRETARY OF DEFENSE

COMMUNICATIONS, COMMAND, CONTROL AND INTELLIGENCE



As of 18 Nov 80

C^3I Mission Areas

Responsible DASD		Responsible Director
	130 Strategic C^3I	Turner
QUINN	131 Strategic C^2	Turner
	132 Strategic S&W	Frishett
	133 Strategic Comm	Turner
	134 Strategic Info Systems	Walker
QUINN	250 Theater & Tactical C^3I	Cittadino
	251 Theater C^2	Cittadino
	252 Theater S & Recce	Hawkins
	254 Tactical C^2	Cittadino
	255 Tactical Surv, Recce & Tgt Acq	Hawkins
	256 Tactical Comm	Salton
	257 EW & CC^3	Porter
BABCOCK	310 Consolidated Defense Intelligence	Tether
BABCOCK	311-314 NFIP	Tether
	315 Cmd Spt Intell	Hawkins
	316 Other Intell	Hawkins
QUINN	320 Defense-wide C^3I Support	Salton
	321 Nav & Pos Fixing	Cittadino
	322 Spt & Base Comm	Salton
	323 Common User Comm	Salton
	324 ComSec	Salton
	325 Other C^3I Spt (Spectrum Mgmt, Arch. Spt & Eval, Info Processing)	
BABCOCK	420 Global Mil Env Spt (DMSP only)	Hawkins

10 Nov 80

Principal Deputy Asst Secy Defense (C^3I)

Organization

This position is located in the Immediate Office of the Assistant Secretary of Defense (Communications, Command, Control, and Intelligence). The incumbent serves as the Principal Deputy Assistant Secretary of Defense (C^3I).

Incumbent works closely with the Assistant Secretary of Defense (C^3I) in providing support to the Secretary of Defense for DoD Telecommunications, Command and Control, and Intelligence resources (including related warning and reconnaissance activities). He serves to support the Secretary of Defense in the execution of his responsibilities as Executive Agent of the National Communications System (NCS). On behalf of the Assistant Secretary, the Principal Deputy guides the performance of the internal OASD(C^3I) organization in executing its day-to-day responsibilities.

Functions

As Principal Deputy, the incumbent serves as alter-ego to the Assistant Secretary in providing policy guidance and technical direction to the OASD(C^3I) Staff in providing advice and recommendations on DoD plans, programs, and fiscal activities within area of responsibility. This includes the development of policies, systems, and standards for the administration and management of research, development, and acquisition of command and control and intelligence systems. The incumbent furnishes policy guidance and technical direction in the establishment of major C^3 and intelligence programs; takes executive action on internal management matters; reviews proposed reserve programs, recommending resource allocations and evaluating systems performance as appropriate. Substitutes for the ASD(C^3I) in the

presentation and justification of programs to congressional committees, at various departmental and interdepartmental committee meetings and conferences, and at international forums as an expert spokesman for the Department of Defense.

Works closely with the ASD(C^3I) in planning the C^3 and intelligence program in order to provide the Secretary of Defense with the most meaningful and relevant recommendations on major systems development requirements and attendant program and resource implications.

Exercises direction, authority, and control over all DoD actions to allocate resources for intelligence activities (except those organic to combat forces and other activities specifically delegated to the Joint Chiefs of Staff). Coordinates the programming for, and operation of, intelligence activities of the Military Departments through the appropriate Secretaries concerned.

Acts to promote the coordination, cooperation, and mutual understanding within the Department of Defense and between the DoD and other Federal agencies in the civilian community.

Participates in providing policy guidance and supervision to the Defense Communications Agency, the Joint Tactical Communications Office (TRITAC), the World-Wide Military Command and Control Systems (WWMCCS), and those Defense intelligence activities charged with the execution of the DoD portion of the National Foreign Intelligence Program. Other areas of responsibility include, but are not limited to, satellite activities; telecommunications; combat support; navigation and electronic warfare; tactical command and control; NATO C^3 and intelligence; surveillance, warning, and reconnaissance; communications security; electronic counter-coutermeasures, and the application and integration of ADP technology in areas of primary interest.

DASD(Technical Policy and Operations)

Organization. This position is located in the Office of the PDASD(C^3I) in the office of the Assistant Secretary of Defense (Communications, Command, Control and Intelligence), OUSDRAE. The ASD(C^3I) is the Principal Staff Assistant to the Secretary of Defense on Communications, Command, Control and Intelligence matters and the Principal Assistant to the Secretary of Defense for the National Communications System (NCS). In addition, he exercises primary staff responsibility in the Office of the Secretary of Defense for the World-Wide Military Command and Control System (WWMCCS), National Military Command System (NMCS), and WWMCCS-related systems, and for development of U.S. positions on all telecommunications-related matters involving NATO telecommunications policy, programs and procedures.

The incumbent of this position serves as Deputy Assistant Secretary of Defense (Technical Policy and Operations) with responsibility for providing technical advice, assistance and staff support to the ASD(C^3I) by supplying technical policy and ensuring the effectiveness of all Department of Defense telecommunications operations world-wide, and in executing his responsibilities as principal assistant to the Secretary of Defense for the National Communications System.

Duties:

(1) Exercises staff responsibility for the NCS Executive Agent functions of the ASD(C^3I), who is the principal assistant to the Secretary of Defense in his role as Executive Agent, NCS. As alternate to the ASD(C^3I) in this capacity, the incumbent:

(a) Reviews progress in fulfilling NCS responsibilities and recommends to the Executive Agent for the NCS, as appropriate, measures for improving the NCS and for securing efficiency, effectiveness and economy. Reviews and evaluates requirements generated from user agencies and the proposals suggested to meet such requirements. Applies professional communications and electronics education and experience to such proposed requirements, solutions, etc., in order to provide an independent technical evaluation and recommendation to the Executive Agent for the NCS, who is responsible for ensuring the validity of all requirements placed on the NCS and determining how a variety of pressing needs should be fulfilled. Provides overall policy direction and guidance to the National Security Group, a special high level activity within the NCS.

(b) Provides for the receipt and processing of requests from all agencies requiring service from the NCS; to include: determining feasibility, developing alternatives, methods of implementation, and recommending appropriate priorities.

(c) Recommends NCS-related tasks and other projects to be assigned to the Manager, NCS, or to other governmental agencies, as appropriate. Reviews the final reports from such projects and provides

the Executive Agent for the NCS with an independent technical evaluation thereof. Reviews other proposals to determine if they are technically and professionally adequate and feasible.

(2) Identifies the need for, develops, coordinates and recommends new or revised telecommunications operations policy, doctrine and implementing directives for control of and compliance with the telecommunications objectives of the DoD.

(3) Provides the focal point for liaison and representation for the DoD in joint technical studies and projects with the Department of State, Director of Telecommunications Policy (Executive Office of the President), Federal Communications Commission, General Services Administration, Department of Commerce, Defense agencies and other Federal departments and agencies to develop overall policies and procedures for national telecommunications.

(4) Provides executive leadership and staff direction, technical expertise, and policy guidance for:

(a) The establishment of meaningful operational and economic evaluation criteria, cost-effectiveness parameters, and operational utility parameters, including test or exercise objectives.

(b) Review of overall DoD telecommunications performance, including quality, cost and mission effectiveness; making recommendations for improvement, as appropriate.

(c) Formulation and coordination of DoD position papers and policy guidance governing telecommunications projects, such as Presidential Directives, Presidential Review Memoranda, national policies on commercial communications, and DoD use of international commercial communications.

(d) The development of policy and operational aspects of OSD and U.S. telecommunications responses to General Accounting Office reports, Office of Management and Budget directives, and Congressional inquiries.

(e) Support in:

1. Formulation of overall objectives for Defense telecommunications, including order of priority and timing with particular interest in reliability and cost-effectiveness.

2. The translation of current, medium, and long range objectives for DoD telecommunications into implementing policy and directives.

3. Coordination and review of telecommunications plans of the NCS, Military Departments, and Defense agencies (including those special telecommunications of a sensitive nature), to ensure that interservice and inter-agency needs are adequately and satisfactorily met.

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(5) Exercises responsibility and provides overall policy direction for all common carrier, leased circuit, frequency allocation, channel allocation, and circuit assignment matters, particularly in regard to Automatic Digital Network (AUTODIN), Automatic Voice Network (AUTOVON), and Automatic Secure Voice Communications Network (AUTOSEVOCOM).

(6) Provides the focal point within the DoD for sponsoring and coordinating actions of governmental and industrial groups (both national and international) in the development, preparation and promulgation of design, operation, engineering, installation, and operation of equipment and systems to be used in military force communications and throughout the global Defense Communications System (DCS) and NCS.

(7) Serves as the DoD central point of contact on telecommunication policy matters to organizations external to DoD.

(8) Provides DoD policy guidance and evaluates and approves plans and programs for Radio Frequency Management, World Administrative Radio Conference-1979 and Electromagnetic Compatibility.

(9) Performs other duties as assigned.

Kenneth B. Cooper

DASD(Plans and Resources)

Organization. This position is located in the Office of the Assistant Secretary of Defense for Communications, Command, Control and Intelligence (C^3I). The ASD(C^3I) is the principal staff assistant to the Secretary of Defense for C^3I resource management, as set forth in DoD Directive 5130.2, dated 16 June 1977. In turn, the Deputy ASD for Programs and Resources (P&R) is the principal staff assistant to the ASD(C^3I) for resource aspects of all DoD command, control, communications and intelligence activities. These include DoD planning, programming, and budget preparation activities, as well as preparation of statements, testimony, and responses to the Congress in all C^3I programs.

Functions.

(1) Supervises the Director for C^3 Resources in the exercise of his resource management functions, involving OSD-level development, review, coordination and/or issuance of planning, programming, and budgeting decision and policy documents; development of issues for fiscal resolution; selection of analysis methodologies suitable for C^3 problems; assuring C^3 resource data bases; and control and coordination of telecommunication resources to include deferral or release of funds, and transfer of funds between Services and Agencies.

(2) Supervises the Director of Intelligence Resources in the exercise of his resource management function of DoD intelligence programs comprising the National Foreign Intelligence Program (including the Consolidated Cryptologic Program (CCP), the General Defense Intelligence Program (GDIP), Special Air Force Activities and Special Navy Activities), and the program defined as Intelligence-Related Activities (IRA), including, for example, the DoD Tactical Intelligence Program. This involves monitoring all Agency/Military Department budgetary inputs to intelligence programs; recommending preferred budgetary alternatives and fiscal and budgetary program changes; preparation of Program Decision Memorandums for SecDef signature; serving as principal ASD(C^3I) intelligence resources spokeman during the joint DoD/OMB/DCI Intelligence Program Budget Review; conducting critical analyses of national and IRA program and budget submissions for the Services; developing intelligence issues based on fiscal and budgetary evaluations and relative contribution to national and defense policies and goals.

(3) Supervises the Director of Planning in the interaction with Congress on C^3I matters; in the creation of C^3I system architectures involving both complex scientific and operational parameters; in long-range planning involving scientific, technical R&D, and acquisition strategies; and in the development of OSD program documents and guidance. Congressional interfaces include personal interaction on principal issues, overseeing the preparation of C^3I fiscal and manpower aspects of Congressional testimony preparation and development of responses to Congressional inquiries--both informal and for-the-record.

(4) Functions as principal assistant to the ASD(C^3I) for all matters described above as under his supervision and deals accordingly with officials within DoD and other government agencies, and with industrial managers or academic representatives. Prepares speeches, briefings, study presentations, etc., as appropriate.

Dr. Thomas P. Quinn

Deputy Assistant Secretary of Defense (Communications, Command and Control)

Organization

This position is located in the Office of the Assistant Secretary of Defense (Communications, Command, Control, and Intelligence). The incumbent serves as the Deputy Assistant Secretary of Defense (Communications, Command and Control). Incumbent provides expert technical support to the ASD(C^3I) and his Principal Deputy on all matters related to DoD Telecommunications and Command and Control systems, and directs the organizational sub-components involved in the development of policies, systems, and programs for C^3 systems architecture and acquisition. Oversees the management and coordination of Service and Defense Agency C^3 programs for the following major mission areas:

- Strategic Command and Control
- Strategic Communications
- Theater Command and Control
- Tactical Command and Control
- Tactical Communications
- Electronic Warfare and Counter-C^3
- Navigation and Position-Fixing
- Support and Base Communications
- Common User Communications
- Communications Security (COMSEC)
- Strategic and Theater Information Systems

Technical disciplines involved range from advanced electronic component technology to sophisticated, highly complex space systems.

Functions

The DASD(C^3) on behalf of the ASD(C^3I) and his Principal Deputy is responsible for all DoD activities necessary to Defense C^3. Incumbent provides policy guidance and technical direction to the ODASD(C^3) staff through the Directors for Combat Support, Electronic Warfare and Counter-C^3, Information Systems, Communications Systems, and Strategic and Theater Command and Control Systems. This includes responsiblity for the development of policies, systems, and standards by which the development and acquisition of Defense C^3 systems will be accomplished. Reviews proposed C^3 programs in terms of total Departmental requirements, state-of-the-art technology, and availability of resources. Assures the preparation of presentations and justifications to be provided to the Secretary of Defense, interdepartmental committees, international forums, OMB, and the Congress on all issues within area of responsibility. On behalf of the ASD(C^3I), and as required, provides expert testimony on Defense C^3 programs and budgets to Congressional committees and staffs. Makes recommendations on program trade-offs, systems integration, consolidations, and operational methodology in order to achieve increased C^3 systems effectiveness and efficiency, to eliminate costly duplication in systems development and acquisition, and to assure complete and responsive strategic and tactical C^3 systems operations.

Manages the preparation of overall development and acquisition plans to achieve optimum military capability for the aforementioned mission areas. Defines relative emphasis to be placed on each program and, by working with major resource sponsors, develops priorities for developing systems.

Participates in and directs the development of policy guidance and acquisition strategy for the Defense Communications Agency, the Joint

Tactical Communications Office (TRI-TAC), the Worldwide Military Command and Control System (WWMCCS).

Acts to stimulate R&D by private enterprise in areas of potential significance to Defense C^3. Promotes coordination, cooperation, and mutual understanding within DoD and between DoD and other Federal Agencies. Acts as the chairman, major participant, or OASD(C^3I) representative on major committees that oversee and direct the development of C^3 systems, especially in the area of Tri-Service tactical communications, command and control for strategic forces, and C^3 research and development.

Dr. James H. Babcock

DEPUTY ASSISTANT SECRETARY OF DEFENSE (INTELLIGENCE)

ORGANIZATION

The Office of the Deputy Assistant Secretary of Defense (Intelligence) is located in the Office of the Assistant Secretary of Defense (Communications, Command and Control, and Intelligence). The ASD(C^3I) is the principal staff assistant to the Secretary of Defense for Department of Defense telecommunications, command, control, and intelligence resources (including related warning and reconnaissance activities).

The Office of the Deputy Assistant Secretary of Defense (Intellience) is the primary source of technical policy and management expertise within the OASD(C^3I) for all matters involving intelligence and intelligence related activities. It is responsible for advice on related modernization planning and R&D efforts on intelligence and intelligence-related systems and intelligence and intelligence related information processing and data handling techniques. It is responsible for technical review of intelligence and intelligence related systems and programs during their development and acquisition, and for preparation of overall plans for the evolution of these systems.

The Office of DASD(Intelligence) contains two directorates; one for National Intelligence Systems, and one for Tactical Intelligence Systems. An organization chart is at TAB A.

FUNCTIONS

The DASD(I) manages, plans, directs, and coordinates the activities of two subordinate directorates engaged in the performance of specialized work associated with the review and assessment of DoD-wide intelligence and intelligence-related, systems. These two staffs are the Directorate, National Intelligence Systems, and the Directorate, Tactical Intelligence Systems. The DASD(I) oversees and participates in the intensive review and evaluation of existing systems, those in development, and plans for systems to meet future needs. DASD(I) manages the preparation of technical criteria for use in measuring efficiency, adherence to desired performance specifications, and mission satisfaction. In this connection, DASD(I) assures technical review of program proposals and budget submissions and takes necessary action to bring questionable issues to the attention of the Assistant Secretary of Defense (C^3I) for discussion and resolution of differences. He also acts as the reviewing authority for the technical and fiscal implementation of intelligence and intelligence-related programs for consistency with guidance and satisfaction of technical requirements.

DASD(I) meets regularly with senior representatives of the Military Departments, the IC Staff, Defense agencies, Unified and Specified Commands, and other key officials throughouy the Intelligence Community. He is responsible for ensuring that he and his staff are currently informed of the latest developments, new inventions and techniques, test results on experimental projects, etc., through personal contact with senior representatives of industry, academic, and research organizations, learned societies, and others, including liaison contacts with representatives of friendly foreign governments.

DASD(I) insures that intelligence, and intelligence related, programs are properly phased with appropriate C^3 systems. DASD(I) identifies issues which involve multi-systems and which bisect two or more programs; provides plans and recommendations to the Assistant Secretary of Defense (C^3I) for the resolution of sensitive issues and for alternative courses of action.

Through all stages of systems planning, development and implementation, DASD(I) manages the assessment of interfaces in national intelligence, and tactical intelligence, assuring proper consideration of interfaces with NATO.

The DASD(I) manages the development of plans and recommendations for intelligence systems that support the national command authorities and their policies.

DASD(I) insures the proper balance and mix of intelligence, and intelligence related, systems to satisfy DoD and national requirements in times of peace, emergency, or the crisis of war. DASD(I) coordinates with the Deputy Assistant Secretaries of Defense for C^3, Technical Policy and Operations, and Plans and Resources, in the formulation of R&D requirements and fiscal policy for C^3, intelligence and intelligence-related systems.

DASD(I) is the primary interface with the Office of the Deputy Under Secretary of Defense for Policy on evaluations and assessments of intelligence and intelligence-related systems.

DASD(I) serves as the chairman, or member, of special study groups, task forces, working committees, etc., on highly sensitive intelligence, intelligence-related, and surveillance and warning systems problems or proposed plans of national significance. These involve dealing with senior military managers, Defense officials, scientists, engineers, and program officials to develop new concepts for the future, feasibility of adopting new operational concepts to solve intelligence problems, degree of modification of existing systems to maintain the integrity of Defense intelligence systems and the validity of the results of intelligence analysis, and other aspects of large scale systems management.

DIRECTOR OF STRATEGIC COMMUNICATIONS, COMMAND AND CONTROL

INTRODUCTION

This position is located in the Office of the Deputy Assistant Secretary of Defense for Communications, Command and Control (DASD(C3)), Office of the Assistant Secretary of Defense for Communications, Command, Control and Intelligence.

DUTIES

As Director of Strategic Communications, Command and Control, the incumbent: provides executive leadership, guidance and direction to a senior-level staff of civilian and military specialists who have continuing responsibility for assigned programs within the scope of the Office of Strategic Communications, Command and Control (OSC3) functions (this scope includes programs for acquisition, improvement and operation of strategic surveillance and warning systems, strategic command and control facilities, and strategic communications); oversees development of procedures and techniques for planning, review, and evaluation of all systems and subsystems of interest to OSC3; directs and coordinates in-depth analyses, research, on-site inspections, and liaison with OJCS and Service commanders or others as appropriate, in order to make an accurate appraisal of the efficiency and cost-effectiveness of present SC3 systems and programs; uses such data and findings as a basis for plans and technical guidance to improve OASD(C3I) resource management, control and utilization.

Based on broad knowledge and extensive experience in the field of SC3, and reinforced by data available from program reviews or other sources, the incumbent, as a recognized expert in this field, provides technical advice, assistance, and staff support of a high order to the ASD(C3I) and higher authority on matters within the responsibility of OSC3; and is expected to take the initiative in the development of new or revised policies, goals, and programs for recommendation to higher authority. The incumbent holds meetings, conducts briefings and otherwise presents and defends OASD(C3I) positions on such matters.

In addition to the foregoing, and with the support and assistance of his staff, the incumbent of this position:

o Reviews and make recommendations on those parts of the command and control master plans of the Unified and Specified Commands, Services, and Defense Agencies within the cognizance of OSDC3.

o Reviews and makes recommendations on plans, programs, and budget submissions for SC3 systems to assure their consistency with guidance, technical adequacy, proper funding and interoperability.

o Serves as focal point for planning, coordination and development of U.S. strategic command and control systems.

o Recommends research and exploratory development programs to support the evolution of SC3 technology and rectify command and control deficiencies.

o Insures the compatibility of SC3 and systems with related military and non-military systems.

o Assures the maintenance of the Worldwide Military Command and Control System (WWMCCS) architecture.

o Monitors and evaluates WWMCCS performance.

o Serves as focal point for the management of the activities of the WWMCCS Systems Engineer.

Incumbent insures a continuing affirmative application of the OSD-wide policy of equal employment opportunity. Insures that personnel management within the organization is accomplished without regard to race, color, religion, sex, age or national origin. Is responsible for keeping abreast of developments, policy issuances, etc., in the EEO.

John Cittadino

DIRECTOR, THEATER AND TACTICAL C^2

Introduction

The position of Director, Combat Support, is located in the Office of the Assistant Secretary of Defense (Communications, Command, Control and Intelligence (C^3I)).

The Director, Combat Support, has responsibility for management of over 65 separate development and acquisition programs in the following mission areas:

- Tactical Command and Control
- Positioning and Navigation
- Tactical, Reconnaissance and Surveillance

These programs account for about $1 billion of RDT&E and $2 billion of production, operations/maintenance and support funding each year. Technical disciplines involved run the gamut from advanced electronic component technology to sophisticated space based worldwide navigation and positioning systems.

Duties

1. The Director, Combat Support, is responsible for all DoD activities necessary to the Combat Support Program. Additionally, he chairs the Navigation Working Group of the Positioning/Navigation Executive Group, which is responsible to the Assistant Secretary of Defense (C^3I) for overseeing the RDT&E and acquisition of positioning and navigation systems within the Department of Defense (DoD) and the Research and Development (R&E) Sub-group of the DoD Advisory Committee on Federal Aviation, which is responsible for coordinating programs of interest to the Federal Aviation Administration, the Office of the Secretary of Defense (OSD), and the Military Departments.

2. Manages the preparation of overall development and acquisition plans to achieve optimum military capability in the Combat Support mission areas by specifically defining the relative emphasis to be placed on each program.

3. Manages the preparation of Decision Coordinating Papers (DCPs) and Mission Area Summaries (MAS) necessary for proper conduct of the programs assigned to his office. He assures that:

(a) each project is properly oriented technically and operationally towards correction of significant combat forces deficiencies;

(b) all tactical and operational principles have been considered and integrated into the program where necessary;

(c) the views of all concerned segments of the Military Departments, OSD, industry, universities and research organizations have been carefully considered;

(d) budgetary requirements, pivotal performance and cost characteristics, including design-to-cost goals, if appropriate, have been clearly established with a set of definitive and measurable milestones against which each RDT&E program's progress can be assessed;

(e) the specialists and military assistants assigned to his office are properly guided in their preparation of DCPs and other documents. This includes discussion and clarification of OSD policy, interservice coordination considerations, operational and cost factors, and where necessary, initiation of studies to enlighten controversial issues or clarify key points;

(f) all written material is clear, concise and logically ordered; that significant management issues and decision alternatives have been highlighted sharply; and that all necessary supporting data have been furnished.

4. Reviews progress of development and production activities being pursued in support of Combat Support mission area plans. Recommends needed changes or modifications to help insure that planned technical and cost, including design-to-cost, goals will be met.

5. Recommends budget (categorized into RDT&E production, military construction, Operations and Maintenance activities) for the Combat Support mission area. This includes the Program Objectives Memorandum, Defense Report, the Five Year Defense Plan, Posture Statement and the annual RDT&E budget.

6. Accomplishes other tasks as may be assigned by the Assistant Secretary of Defense (C^3I).

George Salton

Director, Communications Systems

Introduction: This position is located in the Office of Communications Systems, Office of the Principal Deputy Assistant Secretary/Deputy Under Secretary of Defense for Research and Engineering (Communications, Command, Control and Intelligence), OASD (C^3I), Office of the Under Secretary of Defense for Research and Engineering. The ASD (C^3I) is the principal staff assistant to the Secretary of Defense for C^3I resource management as set forth in his charter--DOD Directive No. 5130.2, dated 16 June 1977, which summarizes the functions, responsibilities, and authorities of the ASD. Related organizational and staffing data are a matter of record.

The Office of Communications Systems provides technical advice, assistance and staff support on matters relating to the development, design, testing, acquisition, and operation of global, theater, common user, and strategic telecommunications systems. These systems elements of command and control and the WWMCCS.

The incumbent of this position serves as Director, Office of Communications Systems responsible for providing technical advice, assistance, and staff support to superiors on matters relating to the development, design, testing, acquisition, and operations of DOD telecommunications systems. This includes global, theater, common user, and strategic systems as well as elements of command and control and of the WWMCCS. Performs duties as outlined below.

Duties: Provides executive direction and leadership of a high order to a staff of senior professionals who are recognized throughout the DOD communications organizations and their counterparts elsewhere in government for their broad knowledge and expertise in their respective areas of specialization. Guides and coordinates staff efforts toward the attainment of mission objectives for the Office. Assures that such efforts are carried out within the broad guidelines of overall policy, priorities, and goals established by higher authority.

In connection with the foregoing, and with the support and assistance of the Office of Communications Systems staff, incumbent -

o Initiates plans for the development, design, acquisition, testing, and operation of all DOD telecommunications systems and equipment. Makes technical review of conceptual plans and designs for proposed new systems and equipments to insure the proper level of reliability, survivability, security, funding, and interoperability with other systems and networks. This involves identification and proper phasing of needed research and development of advanced technology and systems and the method of systematic introduction of new systems into the inventory.

o Reviews, evaluates, and provides direction for the development, design, acquisition, testing and operation of all telecommunications programs of the Military Departments and Defense Agencies to insure their compatibility, efficiency, and effectiveness.

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o Recommends DoD policy for telecommunications planning, development, and design with the objective of attaining timely, effective, and efficient solutions to long-term national and DoD telecommunications needs in assigned areas of responsibility. Participates in the review of JCS, Military Departments, and other DoD telecommunications programs, plans, and requirements; and insures that they reflect and are addressed by the Ten-Year DoD Plan for Telecommunications and WWMCCS. Maintains liaison with the Office of the Deputy Under Secretary of Defense for Policy.

o Initiates and participates in the preparation of Area Coordination Papers (ACPs) for major telecommunications plans and programs. These ACPs analyze present and projected needs and develop optimum programs and plans to meet these needs.

o Reviews and participates in preparation of Development and Concept Papers (DCPs) for new telecommunications systems. DCPs contain detailed plans for the implementation of approved ACPs and contain sufficient detail for direct transfer to programming documents for budgetary purposes. Supports and represents the ASD(C^3I) on matters within the scope and responsibility of the Defense System Acquisition Review Council (DSARC).

o Monitors and reviews the telecommunications plans and RDT&E programs of the Military Departments and Defense Agencies to insure that they support the policies, objectives, and needs of the DoD and National Communications Systems. Provides superiors with timely recommendations concerning program deficiencies and appropriate remedial actions. Recommends initiation and changes in the magnitude of RDT&E projects in important areas where he is able to identify deficiencies. Develops technical criteria and program guidance for these programs to insure consistency with the overall system framework developed in the DoD Ten-Year Plan for Telecommunications. Participates in program analyses and evaluations required by the planning, programming and budget system affecting DoD telecommunications programs in his area of responsibility.

o Directs and coordinates the preparation of major segments of the overall telecommunications RDT&E budget. This includes comprehensive backup material and requires coordination with the C^3 budget coordinator and OASD(Comptroller) throughout the budget process.

o Guides and actively participates in the establishment of technical test and evaluation criteria with emphasis on reliability, survivability and security for communications systems.

Based on broad knowledge and extensive experience in this field, incumbent proposes appropriate research and exploratory development programs to support telecommunication objectives and to stimulate advances in the state of the art in this area of responsibility. Conducts technical analyses in pertinent technologies and disciplines to define the characteristics of new research and development which offer potential solutions to long-term military telecommunications problems Recommends testing and/or limited applications of new technologies as appropriate.

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Represents superiors and C^3I interests by serving as an active participant in interdepartmental study groups, task-forces, boards and committees. May serve as group leader or chairman of such groups. Also, in like manner, serves on international (i.e., NATO or other) study and work groups for the purpose of exploring technical problems and working out cooperative approaches to their resolution. Follows up on implementation. Maintains liaison with universities, industry, government laboratories and other facilities to keep abreast of new developments and trends.

Monitors NATO and Allied telecommunications programs and plans to insure consistency with DoD plans for telecommunications and WWMCCS. Travels to overseas bases in Europe, the Pacific, and elsewhere on official business of great importance to the achievement of C^3I and Office of Communications Systems objectives.

DIRECTOR
ELECTRONIC WARFARE AND COMMUNICATIONS, COMMAND, AND CONTROL COUNTERMEASURES

INTRODUCTION

This position is located in the Office of the Deputy Assistant Secretary of Defense (Communications, Command, and Control). The incumbent of this position serves as the primary source of technical, programmatic, and management expertise within the Department of Defense for all matters involving electronic warfare and communications, command, and control countermeasures (EW and C^3CM). In this capacity, he is responsible for advising the Assistant Secretary of Defense (C^3I), the Under Secretary of Defense for Research and Engineering, and frequently the Deputy Secretary of Defense on major program decisions regarding extremely critical areas of airborne and surface based devices and systems for collecting and processing information about the presence, type, and location of enemy tactical forces and weapons and electromagnetic warfare systems to degrade enemy C^3 systems and the weapon systems they control.

Nations large and small are deploying radars, missiles with seeker heads, guided munitions, electronic intelligence collection devices, and communications systems to command and control these weapons at an extremely rapid pace. Virtually any level of conflict in which this country may become engaged will very likely require a large and competent operational EW and C^3CM capability either because the enemy forces will have highly lethal electronic weapons to begin with or because of the technical and material support they will receive from their more industrially advanced allies. The experiences of our forces in Southeast Asia and of friendly forces using U.S. electronic equipment during military clashes during the early 1970's highlighted the need for a drastic improvement in the capability of friendly forces to exploit, deceive, jam, or destroy the communications systems and radar, infrared, and electro-optical guided weapons employed by nations hostile or potentially hostile to the U.S. and its allies. As a result, EW and C^3CM programs of the DoD were revisited and reanalyzed.

The Director, EW and C^3CM, is instrumental in restructuring the research and development program to permit better understanding of and coordination between the program elements and provide proper direction of effort. The principal new thrust is toward organizing a coordinated Army and Air Force effort to exploit the potential of EW and C^3CM to counter enemy forces in the forward edge of the battle area and to strengthen the Navy's capability to conduct effective operations during war-at-sea and power project ashore operations. In the past years, the

magnitude of the programs for which the incumbent is directly responsible has increased to 46 major RDT&E program elements valued at approximately $300M annually. There are six additional programs associated with intelligence activities which the incumbent must monitor closely. The DoD procurement and operation of EW and C^3CM equipment developed under the RDT&E account exceeds $1 billion annually. Far more important, however, is the materially improved defense posture of the United States and our allies due to improved and expanded technical capabilities in this area.

DUTIES

As the ranking DoD authority on EW and C^3CM, the incumbent provides technical support to his supervisors, including the Deputy Secretary/Secretary of Defense on major policy and program decisions and provides expert programmatic and technical guidance to the Military Departments, other elements of DoD, civilian and military authority of NATO and other allies, and defense industries both in the United States and abroad. The electronic warfare and C^3 countermeasures program with which he must be thoroughly familiar covers a broad spectrum of complex technical fields, including, for example, self-protection and support aircraft jamming systems; shipboard threat warning and anti-shipping missile decoy systems; tracked, vehicle-mounted C^3 jammers; and data transmission, processing, and distribution systems to provide the information to the operational commander in a timely manner.

o Advises the Assistant Secretary of Defense (C^3I) on major program decisions regarding the extremely critical areas of airborne, land-based or sea-borne devices on systems for intercepting and processing information about the presence, type, and location of enemy forces and weapons and the electromagnetic warfare systems needed to degrade enemy C^3 systems and the weapon systems they control.

o Originates, evaluates, and provides guidance to OSD and the Military Departments regarding project plans for new systems.

o Determines the need for such programs based on an analysis of current/potential threats, resource priorities, requirement trends, strategic objectives, and innovations in technology related to electromagnetic warfare and signal exploitation. This involves an analysis of a vast amount of complex technical and scientific data gathered from a variety of sources (e.g., the Military Departments and other OSD offices).

o Incumbent insures a continuing affirmative application of the OSD-wide policy of equal employment opportunity. Insures that personnel management within the Directorate is accomplished without regard to race, age, religion, sex, handicap, or national origin. Is responsible for keeping abreast of developments, policy issuances, etc., in the equal employment opportunity field.

Stephen T. Walker

DIRECTOR, INFORMATION SYSTEMS

Introduction. This position is located in the Office of the DASD (C^3), Office of the Assistant Secretary of Defense (Communications, Command, Control and Intelligence) (C^3I). The Assistant Secretary of Defense (C^3I) is the Principal Staff Assistant to the Secretary of Defense for technical telecommunications, command and control and intelligence matters and the Principal Assistant to the Secretary of Defense for the National Communications System.

The Director, Information Systems, is responsible for providing staff support, assistance, advice and recommendations to the DASD (C^3), the PDASD (C^3I) and the ASD (C^3I) on technical, budgetary, and other program matters related to automated information systems. He recommends approval, disapproval or changes in Department of Defense Information System plans and associated funding requirements. While reviewing information system plans he will ensure that there is a minimum of duplication, effective integration and system engineering, and appropriate configuration management of technical components and the associated information reporting systems.

The Director, Information Systems also serves as the Director, WWMCCS ADP Coordinating Office. Overall objectives of the WWMCCS ADP Coordinating Office are to oversee the WWMCCS Information System (WIS) modernization process and to assure that key decisions affecting WIS evolution and modernization are translated into action within the normal Department of Defense (DoD) institutional framework.

Duties:

(1) Defines and recommends tasking to develop plans, programs and technical policies to guide the directions of information systems developments.

(2) Provides program oversight and architectural guidance for DoD information systems dealing with command and control and intelligence applications. These include the WWMCCS Information Systems, Automated Message Handling, the DoD Intelligence Information System (DODIIS) and other specified information systems. Ensures that development in these areas is consistent with an overall architectural objective.

(3) Represents the Assistant Secretary of Defense (C^3I) on committees or panels related to automated information systems technology, programs, or policy.

(4) Provides expert advice and assistance to the C^3I staff for the management of software acquisition in C^3I programs.

(5) Provides for Congressional interfaces including personal interaction on principal issues, overseeing the preparation of C^3I information systems fiscal and manpower aspects of Congressional testimony preparation and the development of responses to Congressional inquiries—both informal and for the record.

(6) Responsible for monitoring Agency/Military Department budgetary inputs to C^3I information system programs; recommending preferred budgetary alternatives and fiscal and budgetary program changes; preparing Program Decision Memorandum for SecDef signature; conducting critical analyses of information system programs and budget submissions and developing information system issues based on fiscal and budgetary evaluation and relative contribution to national defense policies and goals.

(7) Ensures the development of effective ADP security programs and technical policy in support of command and control and intelligence requirements. Coordinates these developments with COMSEC programs/policy.

(8) Recommends initiatives and program directions for R&D in information systems technology, including display, human engineering and ADP technology areas.

(9) Acts as the Director, WWMCCS ADP Coordinating Office with the following responsibilities, authorities and functions:

(a) Provides OASD (C^3I) staff support and makes recommendations relative to (WIS) evolution and modernization.

(b) Acts as the Secretariat for the WWMCC ADP Executive and Coordinating Committee structures.

(c) Maintains oversight, through the WWMCC System Engineer, the WWMCCS ADP Technical Support Manager, the Director, C^3S, OJCS, and the Services of programming and expenditure of resources necessary for WIS modernization.

(d) Acts as the DoD focal point and coordination point for all activities related to WIS evolution and modernization. In this regard, DoD Components ensure that all actions related to WIS evolution and modernization are coordinated through the WWMCCS ADP Coordinating Office.

(e) Acts as a coordination point between the WIS and DoD Intelligence Information Systems (DODIIS) modernization planners and between WIS and related Allied Command and Control Information Systems modernization efforts.

Dr. Alden P. Sullivan

DIRECTOR, C^3 RESOURCES

INTRODUCTION. This position is located in the Office of the Deputy Assistant Secretary (Plans and Resources), Office of the Assistant Secretary of Defence (Communications, Command, Control and Intelligence). The ASD(C^3I) is the principal staff assistant to the Secretary of Defense for C^3I resource management. The incumbent of his position serves as Director for C^3 Program Resources.

DUTIES. Serves as principal advisor to superiors and to the C^3 Office Directors on the fiscal and manpower aspects of all C^3 and related activities. Incumbent monitors resource aspects of all OSD/OJCS, Service, Agency and Theater assets and formulates resource recommendations which are referred upward to the ASD(C^3I) and, ultimately, to the Secretary of Defense for decision. Basic responsibilities of incumbent, as C^3 Program. Budget Coordinator include:

o OSD-level development, review, coordination, and/or issuance of planning, programming, and budgeting decision and policy documents associated with those functional areas of primary concern. Such documents include Fiscal Guidance, Program Objectives Memoranda (POM) Guidance, Apportionment, Program Decision Memoranda (PDM), Program Change Decision (PCD), Program Budget Decision (PBD), and single issue decision and policy memoranda.

o Development of issues and initiatives lists which point up areas of profitable study and resolution of problems leading to improved resource expenditure levels and better fiscal decisions.

o Studies, analyses, and audits relating to C^3 resources to include in-house efforts as well as direction and monitoring studies and analyses of others which aim to facilitate decisions and develop ASD(C^3I) positions, as required.

o Independent validation of methodology, cost, and performance data as well as conclusions of C^3 systems resource analyses conducted at lower and lateral levels.

o Acquisition, maintenance, and operation of the C^3 resources data base to provide ready visibility over those resources for management and reporting purposes.

o Control and coordination of C^3 resources to include deferral and release of funds, coordination of reprogramming actions, and transfers of funds between Services and Agencies.

o Providing the focal point and clearing house for support pertaining to responses to Congressional, General Accounting Office, and Office of Management and Budget on C^3 matters.

James Meyer

DIRECTOR, INTELLIGENCE RESOURCES

Introduction

The Deputy Assistant Secretary of Defense (Plans and Resources) is the primary assistant to the Assistant Secretary of Defense (Communications, Command, Control and Intelligence) for the resource aspects of all DoD communications, command, control and intelligence activities. These include DoD planning, programing, budgeting and execution activities as well as the preparation of statements, testimony and responses to the Congress in all communications, command, control and intelligence programs.

The Director, Intelligence Resources, serves as the principal assistant to the Deputy Assistant Secretary of Defense for Plans and Resources [DASD(P&R)] and to the Assistant Secretary of Defense (Communications, Command, Control and Intelligence) [ASD(C^3I)] for all DoD fiscal and budgetary matters concerning the resources of DoD national intelligence programs, tactical intelligence programs and other Tactical Intelligence and Related Activities (TIARA).

DoD national intelligence programs include the Consolidated Cryptologic Program (CCP), the General Defense Intelligence Program (GDIP), Special Air Force Activities and Special Navy Activities. These are the positive intelligence elements of the DoD which are also contained in the National Foreign Intelligence Program (NFIP).

Tactical Intelligence and Related Activities (TIARA) comprise activities not contained within the NFIP which respond primarily to military commanders for time sensitive intelligence while also responding to national intelligence needs. DoD tactical intelligence programs are a subset of TIARA which consists of cryptologic and other intelligence efforts which directly support operational commanders. TIARA also include Intelligence Training, Reserves, and Research and Development Activities.

The Director, Intelligence Resources, is responsible to the DASD (Plans and Resources) for the conduct of cross-program budgetary analyses and for overall fiscal and manpower program development on the national intelligence programs, tactical intelligence programs and other Tactical Intelligence and Related Activities (TIARA) for the Department of Defense (DoD).

Duties

- Monitors all Agency/Military Department budgetary inputs to intelligence programs in the DoD Planning, Programing and Budgeting System (PPBS) and the Zero Base Budgeting (ZBB) System to ensure that the ASD(C^3I) is apprised of the intelligence budgetary alternatives programed and under consideration. Identifies and recommends preferred alternatives on the basis of articulated and anticipated Secretary of Defense and ASD(C^3I) preferences and policies.

- Recommends fiscal and budgetary program changes that will enable the more efficient use, cohesiveness and management of available intelligence resources to meet national and tactical intelligence requirements. Such recommendations are based on a thorough assessment of national and DoD economic trends and policies.

- Prior to recommending fiscal and budgetary changes, the incumbent integrates; compiles and collates fiscal data concerning intelligence resources obtained from other C^3I elements, from the Directors, National Intelligence Systems and Tactical Intelligence Systems and their staff assistants, from DoD national and tactical Program Managers, and from Service and Defense Agency intelligence and program/budget staffs.

- Prepares Program Decision Memorandums (PDM's) for the Secretary of Defense's signature which direct the execution of the incumbent's recommended course of action with respect to programmatic content. After signature of the PDM's, incumbent ensures the programs are adjusted accordingly.

- By maintaining general and, in some areas, specific detailed knowledge of intelligence equipment capabilities, incumbent is able to recommend policy direction of MILDEPS and other DoD agencies [i.e., OASD(C); OASD(PA&E); OUSD(PR)] with regard to the transfer of funds to meet intelligence requirements in accordance with the Five Year Defense Plan (FYDP), RDT&E guidance and GDIP, CCP, Special Air Force and Special Navy Activities.

- Serves as the principal ASD(C^3I) intelligence resources spokesman during the joint DoD/DCI/OMB Intelligence Program Budget Review, thereby ensuring the development, coordination and promulgation of all fiscal and manpower decision documents for national and tactical intelligence planning, programing, budgeting and execution at the OSD level.

- Conducts resource reviews, analyses and evaluations of national and IRA program and budget submissions from the Army, Navy, Air Force, National Security Agency and Defense Intelligence Agency as directed by the Secretary of Defense in support of departmental and Presidential budgetary decisions.

- Serves as a principal committee member in the OASD(C) and OMB budget and apportionment reviews of Defense Intelligence Activities.

- Coordinates Congressional reductions and increases to DoD intelligence programs to ensure maximum effectiveness is obtained with the resultant minimum of adverse impact. This requires the constant monitoring of actual expenditures as a cross-check to assess the adherence to revised policy decisions.

- Analyzes DoD intelligence issues with respect to their contribution to national and defense policies and goals. These analyses are based on a fiscal and budgetary reevaluation of subordinate analyses as well as historical data, projected trends, and the articulated policy of the President and the Secretary of Defense. All fiscal and manpower analyses of programs search for substantive or funding weaknesses and recommend actions for their elimination.

- Establishes detailed fiscal and manpower boundaries for DoD intelligence activities, to include all Tactical Intelligence and Related Activities (TIARA).

- Works directly with ASD(C^3I) to function as an interface at the ASD management level within the Office of Management and Budget, the National Security Council, the Department of State, the Intelligence Community Staff of the Director of Central Intelligence and other government agencies whose areas of interest are tangent to or impact on operations of the National Foreign Intelligence Program or DoD TIARA. This also involves communications to develop policy and coordination of positions both within OSD and outside at the behest of ASD(C^3I).

- Incumbent is the principal assistant to the ASD(C^3I) and the DASD (Plans and Resources), with respect to the fiscal and manpower aspects of Congressional testimony preparation and the development of responses to Congressional inquiries -- both informal and for the record for intelligence issues. Most important among these are testimony before six Congressional subcommittees. Incumbent's responsibilities for Tactical Intelligence and Related Activities (TIARA) are specifically intended to address recently articulated Congressional direction for improved OSD TIARA fiscal and manpower management. These efforts must be carefully coordinated with the intelligence elements of the Services and Defense Agencies as well as the DCI's Intelligence Community Staff.

DIRECTOR, SYSTEMS RESEARCH AND EVALUATION

Introduction

This position is located in the Office of the Deputy Assistant Secretary of Defense (Plans and Resources), Office of the Assistant Secretary of Defense (Communications, Command, Control and Intelligence). The Deputy ASD(Plans and Resources) is the principal staff assistant to the ASD(C^3I) for resource and planning aspects of all DoD command, control, communications and intelligence activities. These include DoD planning, programming and budget preparation activities as well as preparation of statements, testimony, and responses to the Congress on all C^3I programs. Incumbent serves as the Director, Systems Research and Evaluation and is responsible for the monitorship of DoD C^3 and intelligence systems research programs and technical evaluation activities on behalf of the Office of the ASD(C^3I).

Duties

The Director, Systems Research and Evaluation (SR&E) is responsible for:

1) The integration and promulgation of C^3I system research.

2) The review, synthesis and dissemination of systems evaluation methodologies.

3) The assessment of advanced technologies and trends.

4) The conduct of a program of selected research ~~and~~ related to C^3I.

The Director, SR&E discharges these responsibilities in several capacities. In addition to providing expert technical support to the

DASD (Plans and Resources), he also serves as the Executive Secretary to the C^3I Systems Research Council and the C^3I Systems Evaluation Council. These councils are chaired by the PDASD(C^3I) and serve to advise the ASD(C^3I) on all matters relating to, in the first instance, the conduct of C^3I systems research and, in the second instance, C^3I systems evaluation and analysis. As Executive Secretary to these councils he will be responsible for coordinating, synthesizing and preparing analyses of current research and evaluation activities across all Services and appropriate agencies and developing recommendations pertaining to their continuation and priorities as well as other specific assignments received from the councils.

Duties in connection with the aforementioned responsibilities are concerned with the integration and promulgation of C^3I systems research and include the development of cross-service/agency perspectives of C^3I systems research activities, stimulation of related information-exchange functions, and action as the focal point within the OASD(C^3I) for all matters relating to the conduct of systems research.

Duties in connection with specified responsibilities in systems evaluation include the review and analysis of proposed methodologies and techniques, the development of a program to improve the state-of-the-art of C^3I systems evaluation and the development and maintenance of a set of standards and guidelines for systems evaluation for submission to the Systems Evaluation Council.

Duties associated with the assessment of advanced technologies include serving as the OASD(C^3I) focal point for liaison with the Defense Advanced Research Projects Agency, the Office of the Deputy ~~Assistant~~ Under Secretary of Defense Research and Engineering (Research and Advanced Technology), the C^3I advanced technology research efforts of the Services and Defense Agencies, and with the intelligence community on foreign technology matters for C^3I and related electronic warfare systems; monitoring the evolution of technology and the assessment of its impact on future C^3I systems, through a liaison with the Service Laboratories, universities, industry, FCRC's, professional societies, and prominent individual scientists; providing the scientific and technical community with areas of potential long range interest to C^3I as well as areas in which short term improvements are needed, and acting as the OASD(C^3I) focal point for all public inquiries regarding the admissibility or introduction of novel technological concepts/approaches to C^3I problems.

Studies and research to accomplish these tasks are accomplished through contractual agreements with appropriate academic and research activities, with assistance and support of research activities within the Military Departments and Defense Agencies, and through the detail of highly qualified specialists to the OASD(C^3I) for project development.

Dr. Anthony J. Tether

Director, National Intelligence Systems

Introduction

This position is located in the Office of the Deputy Assistant Secretary of Defense (Systems), Office of the Assistant Secretary of Defense (Communications, Command, Control, and Intelligence).

The ASD(C^3I) is the principal staff assistant to the Secretary of Defense for Department of Defense telecommunications, command and control, and intelligence resources (including related warning and reconnaissance activities). His responsibilities include guidance on DoD plans, programs and fiscal activities, program reviews, monitoring implementation of approved programs and direction of R&D matters relating to communications, command, control, and intelligence.

The DASD(Intelligence) is responsible for the development and implementation of the Consolidated Defense Intelligence Program (CDIP), monitorship of surveillance, warning, and other intelligence related activities, and for communications, command and control programs development and systems acquisition. His responsibilities are discharged through subordinate directors: (1) National Intelligence Systems; (2) Surveillance and Warning Systems; and (3) Tactical Intelligence Systems.

The Director, National Intelligence Systems is the primary source of technical policy and management expertise within the OASD(C^3I) for all matters involving intelligence activities. In this capacity he is responsible for advising the ASD(C^3I) on current and future issues pertaining to intelligence modernization, R&D efforts on intelligence systems, and intelligence information processing and data handling. He is responsible for technical review of intelligence systems and programs during their development and acquisition, for preparation of overall plans for the evolution of intelligence systems, and for such other subjects as may become appropriate.

Duties

o Prepares, in coordination with appropriate OASD(C^3I) staffs, inputs to annual DoD guidance and PPBS documentation for the direction and conduct of intelligence programs.

o Acts as reviewing authority for the technical implementation of intelligence programs, for consistency with guidance, and for technical satisfaction requirements.

o Provides primary interface with Director, Policy Review, for the conduct of evaluations and assessments of intelligence systems.

o Reviews proposals, recommended programs, and budget submissions for completeness and responsiveness to requirements and guidance, identifying and acting on technical issues.

o Ensures that intelligence programs are properly phased with necessary C^3 support, and that flow, and processing, of information within and from intelligence systems is appropriately addressed.

o Identified issues which involve multi-systems and which cross programs, and provides plans and recommendations to ASD(C^3I) for the resolution of these issues.

o Identifies alternatives and makes recommendations concerning the mix of intelligence systems to satisfy requirements of peace, crisis, and war.

o Ensures that intelligence interfaces in the tactical and NATO areas are properly considered in the direction, development, and implementation of intelligence systems.

o Ensures that the interfaces of intelligence and C^3 systems are properly accounted for in the direction, development and implementation of systems.

o Develops plans and makes recommendations for intelligence systems to support national command authorities and their policies.

o Serves as the OASD(C^3I) focal point for the preparation of required inputs for Presidential Review Memoranda dealing with intelligence systems and determines the technical impact, if any, of PRMs on the intelligence systems area.

o Determines, in coordination with the Deputy Assistant Secretary of Defense (Communications, Command and Control) in the formulation of required research and development efforts in the intelligence systems and supporting C^3 areas.

o At the direction of the DASD(Intelligence) serves as a member of study groups, task forces, and working committees. Represents the ASD(C^3I), of DoD, as appropriate, in providing advice, evaluation and coordination of assigned functions with other segments of DoD, as well as with government departments and foreign governments.

Provides technical competence in joint design and trade off studies at the DoD level to assure that required intelligence systems support is provided to meet DoD needs. Provides technical and scientific guidance in his area to joint, U.S. and allied boards and committees as appropriate, and represents ASD(C^3I) as appropriate, in meeting with the Military Services, the IC Staff, intelligence agencies, industry or foreign nations when major developments affecting intelligence systems are under discussion.

o Incumbent assists top administrators in DoD as requested in advisory capacity in molding the main features of programs within his area of responsibility. He is responsible for achieving desirable coordination of DoD-wide intelligence efforts. This will be accomplished by such means as frequent contact and interchanges of information with key civilian and military technical personnel in the Department of Defense and other appropriate agencies. He will also undertake a program of discussions and personal contacts with high-level representatives of industry and educational institutions engaged in work in these fields. He will represent the ASD(C^3I) on official committees and boards as spokesman in this area, and will be authorized to make recommendations which may have a broad influence on DoD-wide policy in administration of work on intelligence programs.

o Personally recruits and maintains a high quality professional staff to assist him in the discharge of his responsibilities.

o Responsible for the monitoring of R&D efforts in support of intelligence systems to ensure their consistency with overall intelligence systems goals and objectives.

o The incumbent will be subject to special assignment on related duties by the Deputy Assistant Secretary of Defense (Intelligence).

Mr. Charles Hawkins

DIRECTOR, TACTICAL INTELLIGENCE SYSTEMS
DEPUTY ASSISTANT SECRETARY OF DEFENSE
(INTELLIGENCE)

Introduction - This position has the following basic duties:

1. Supervises a directorate consisting of six military/civilian professionals and two administrative personnel engaged in planning, programming, managing, coordinating and justifying within the executive branch and to six Congressional Committees all DoD Tactical Intelligence and Intelligence-Related Activities (TIARA), and those national assets that have military application.

2. Oversees and coordinates the management of tactical intelligence resources consisting of more than 55,000 personnel and $2.7B.

3. Plans for all DoD tactical intelligence support to operational forces insuring the integration and application of appropriate national assets to satisfy military requirements; interface of national and tactical systems to minimize redundancy; and providing multi-service and, where appropriate and authorized, multi-national interoperability.

4. Evaluates and coordinates Military Service and Defense Agency tactical intelligence and intelligence-related programs, participating at each stage of the PPBS process to assure an integrated, coherent Defense tactical intelligence posture for support of the military forces.

5. Coordinates with the congressional staff and provides congressional justification in testimony or in writing for tactical intelligence and intelligence related activities.

Duties:

Supervisory Activities: Directs the professional and administrative actions of two Assistant Directors (GS-15 and Military 06); two civilian professionals (GS-14), two senior military officers (06); and two secretary/steno administrative experts. Insures the development of goals and objectives; assigns responsibilities and establishes priority of effort; provides broad or specific guidance as required; counsels and prepares performance appraisals; and preforms related administrative and supervisory responsibilities to include the assurance of Equal Employment Opportunities. Incumbent must be cognizant of the detailed technical aspects of intelligence activities and the PPBS process to provide direction of subordinates efforts in tactical intelligence architectural development and assessment; program evaluation; and the development of investment strategies for specific systems as well as the total tactical intelligence apparatus. Directly supervises or oversees approximately $1M annually in contractual study efforts.

Tactical Intelligence and Intelligence-Related Management. Incumbent is responsible for managing a dynamic and diverse mission area spread across Military Service and Defense Agency programs. Resources for which incumbent is responsible are in many instances a part of major programs, thus requiring extensive matrix management in collaboration with other Program Directors. Operating within this diverse management environment, incumbent must insure the development of a cohesive tactical intelligence and intelligence related activities (TIARA) program comprised of over 55,000 personnel and $2.7B. To fulfill this management responsibility, the incumbent provides OSD guidance and leadership for the JCS, the Military Departments, Defense Agencies, U&S Commanders and theater and tactical components in developing a survivable, tactical intelligence support structure that provides advance warning of attack and sustained intelligence support to operational forces. Provides the management structure under which DoD, in collaboration with the DCI, will promulgate policies to assure the adequacy of tactical intelligence and security support for combat operations. Prepares and promulgates planning and programming guidance for intelligence and security support to tactical forces. Insures a sound requirements-oriented basis through close coordinations with DUSD(PR) for systems procurement and resource allocation decisions for tactical (IRA) programs, and reviews strategic (NFIP) program proposals for impact on intelligence support to theater and tactical commanders during peace and war. Develops and promulgates policies and assigns responsibilities for relating theater and tactical requirements to intelligence resource needs. Conducts formal periodic reviews of the tactical intelligence support structure to assure adherence to the principles of strategic and tactical system interface; development of multi-sensor collection systems and platforms; multi-service and, multi-source correlation, integration, and production in the tactical zone and theater of operations. Maintains liaison with congressional staffs and coordinates the Services/ Agencies interaction with the Congress on tactical intelligence activities. Reviews intelligence manpower and training, to include exercise support, to assure an adequate base of knowledgeable tactical intelligence specialists are available to operate the tactical intelligence apparatus in peace, crisis and war. Provides direction for the evolvement of a Defense Tactical Intelligence Program, similiar to the NFIP, to enhance acquisition and management of essential tactical intelligence resources. Prepares for the exchange of tactical intelligence on a multi-national scale where U.S. forces operate as part of a combined military force.

Directs the formulation of long range plans and forecasts, develops Defense Consolidated Guidance, and manages Defense Planning, Programming and Budgeting with respect to intelligence capabilities which contribute to the support of operational commanders.

DoD Planning Activities. As Director of Tactical Intelligence Systems, incumbent provides integrated planning and Congressional action support

across the intelligence spectrum for the DASD(I) and to ASD(C3I). Originates, integrates, and coordinates the design of an overall Tactical Intelligence architecture involving tactical doctrine/concepts, force interoperability, the threat, command information needs, and complex technical/scientific/ quantitative parameters. As a product of this effort, supervises the development, annual revision and production of the DoD Plan for Intelligence Support to Operational Commanders, and directs the preparation of planning guidance for issuance by the ASD(C3I) to the Services and Defense Agencies relative to their individual tactical intelligence support plans. Performs required coordination and serves as the focal point for DoD, Service, and Defense Agency tactical intelligence-oriented plans and studies. Conducts effectiveness analysis and evaluation of tactical intelligence capabilities and those national capabilities which have military applications. Directs in collaboration with other OSD activities, the DCI, OJCS, the Military Services, Defense Agencies, Unified and Specified Commands, selected Subunified and Component Commands the development of an integrated effort which addresses the tactical intelligence support needs of operational commanders throughout the total spectrum of war. Supervises the concepts formulation and oversees preparation of the DoD Plan for intelligence support to operational commanders, ensuring that interactions between the force structure, the threat, information needs, applicable doctrine, commander's criteria and tactical intelligence capabilities and supporting programs/budgets are considered in the planning process. Chairs DoD Planning conferences, approves agenda and conference results. Coordinates military requirements with the DUSD(PR) and ensures their integration, as appropriate in the DoD Plan. Directs planning initiatives based upon identified system deficiencies or shortfalls using quantitative assessment techniques and methodologies, directs effectiveness analysis and evaluation of individual systems and determines their value to and essentiality within the tactical intelligence architecture. Resolves system tradeoff issues. Develops alternative investment strategies for achieving an improved tactical intelligence posture. Directs inputs to various Defense guidance documents to implement results of analytical efforts.

Programmatic Responsibilities. Incumbent is responsible for all DoD Tactical Intelligence and Intelligence-Related Activities consisting of more than $2.7B, 55,000 personnel and 150 individual systems. Incumbent serves as the primary source of technical, policy, and management expertise within the Department of Defense (DOD) for all matters involving Tactical Intelligence and Intelligence Related Activities. In this capacity, advises the ASD(C3I), the Under Secretary of Defense for Research and Engineering, and frequently the Deputy Secretary of Defense on major program decisions involving development and acquisition of tactical intelligence equipment and systems critical to the functioning of our forces against the enemy. Incumbent is the focal point in the OUSDR&E for initiating new actions; coordinating the Military Departments' and Defense Agencies' efforts in this mission area, and establishing the

priority and direction of the programs under his cognizance. Directs reviews of tactical intelligence systems and related resources to assure adherence to Defense Tactical Intelligence Planning, future architectural design, efficiency standards, cost effectiveness, and mission accomplishment. Conducts program reviews and provides substantive resource recommendations throughout the PPBS cycle on all tactical intelligence activities, and on those strategic activities which contribute to the satisfaction of the intelligence needs of operational forces. Assesses the military potential, technical feasibility, and employment parameters of all tactically oriented Intelligence and Intelligence Related Activities to assure compatibility with Defense Tactical Intelligence Master Planning. Assures that policies are enunciated and enforced which provide adequate consideration of design criteria for intelligence system survivability during the systems acquisition process. Approves the results of cross-program reviews to insure conformance to standardization and inter-operability objectives; joint service use of applicable technologies; and that risks associated with proposed program execution is militarily feasible and technically attainable within milestone and resource allocation constraints. Manages the procedural and substantive development of those portions of periodic OSD program documents as pertain to tactical intelligence including, for example, generating the tactical intelligence input to chapters of the Secretary of Defense's Consolidated Guidance. Reviews planning documents, studies, posture statements, and annual reports for implications concerning tactical intelligence. Maintains close liaison with ODUSD(Policy) to assure translation of functional requirements into programmatic alternatives to be manifested in ASD(C3I) guidance and draft directives. Provides expert technical staff support on major program and policy issues requiring decisions at the highest DoD level. Programs of concern cover a broad spectrum of complex technical fields. These include but are not limited to advanced sensor technology, imagery and SIGINT processing systems, information handling systems and special collection systems used in intelligence-related support to tactical forces. Identifies actual or potential problem areas, trends, significant program accomplishments and/or deficiencies, areas of imbalance and required program adjustments. Directs and participates in the necessary study of key issues. Develops alternate course of action. In this connection, reviews plans, papers and studies submitted by other intelligence agencies and organizations to assure their conformity and compatibility with governing DoD policy and procedures. Also considers the policies of and interacting with certain organizations external to DoD. On the basis of broad policy and resource guidance, establishes specific OSD tactical intelligence objectives and insures that those objectives are accomplished.

Congressional Coordination and Justification. Incumbent is required to maintain continuing interface with the congressional staff to coordinate programs and budget requests regarding Tactical Intelligence and Intelligence Related Activities. Directs the preparation of planning, programming,

and justification documents provided to the Congress on tactical intelligence; provides briefings as requested; responds to inquiries, both formally and informally as required; and monitors and reports on resolution of issues identified by congressional committees within his area of responsibility. Serves as the resident DoD expert on Tactical Intelligence and Intelligence Related Activities and supports the DASD(I), ASD(C3I), DUSD(R&E), Deputy Secretary and Secretary of Defense, as required, in preparing for congressional testimony.

	Civ	Mil	Total
ASD(C^3I)	69/64	15/15	84/79*
Dr. Gerald P. Dinneen	3/3	2/2	5/5
Capt Frank Carden, USN			
LTC John F. Bashore, USA			
Mrs. Sharron Kramer			
Mrs. Judy Coppin			

*Note status figures: billets authorized/on board

	Civ	Mil	Total
Principal Deputy ASD(C^3I)			
Dr. Harry L. Van Trees	6/5	1/1	7/6
Col Richard B. Clement, USAF			
Special Assistant Vacancy			
Mr. Craig Wilson			
Mrs. Louise Ensminger			
Miss Colena Jo Rogers			
Mrs. Ann Gillenwater			
DASD(Programs & Resources)			
Mr. Kenneth B. Cooper	2/2	0/0	2/2
Miss Joanne Petras			
Dir, C^3 Resources			
Dr. Alden P. Sullivan	4/4	0/0	4/4
Mr. Nat Cavallini			
Mr. Dennis Litchfield			
Mrs. Carol Katawczik (maternity Leave 26 Sep 80 - 9 Jan 81)			
Detailed from DCA			
Mr. Howard Porter			
Mrs. Sylvia Helms			
Mrs. Polly Hoag			
Dir, Intelligence Resources			
Mr. James Mayer	5/5	0/0	5/5
Mr. Norman Ghisalbert			
Mrs. Claudia Scruggs			
Mr. Alex Buinickas			
Miss Deborah Mannherz			
Dir, C^3 System Evaluation			
Dr. Stuart Starr (to report 7 Dec 80)	1/1	0/0	1/0

	Civ	Mil	Total
DASD(C^3)			
Dr. Thomas P. Quinn	2/2	0/0	2/2
Mrs. Yolanda Beach			
Dir, Theater and Tactical C^2			
Mr. John C. Cittadino	7/5	3/3	10/8
Professional Vacancy - Mr. Richard Howe selected, transfer date TBD			
Mr. Dennis C. Marquis			
Col Stephen W. Gilbert, USAF (replaced by LtCol John Martel, USAF)			
Col Jonathan Myer, USAF			
Professional Vacancy - moved from Tactical Intelligence Systems			
LTC Frank McLeskey, USA			
Mrs. Rita Kibler			
Mrs. Virginia Hug			
Ms. Pat McNellis			
Dir, Electronic Warfare and C^3 Countermeasures			
Mr. John M. Porter	3/3	1/1	4/4
Capt James H. Eckart, USN			
Mr. William Lewis - on board, approval package at OPM			
LtCol Herman Arnold, USAF (on loan)			
Mrs. Louise Martoncik			
Dir, Information Systems			
Mr. Stephen T. Walker (Acting)	5/4	1/1	6/5
Mr. Rudolph Sgro			
LtCol John Lane, USAF			
Professional Vacancy (to move to T^2C^2)			
Mrs. Mary L. Gober			
Mrs. Barbara Lawhorn			
Dir, Communications Systems			
Mr. George Salton	8/8	2/2	10/10
Mr. Albert G. Facey			
Mr. Andrew Hartigan			
Mr. Norman Gray			
Capt Jerry Stump, USN			
Col Jackie Manbeck, USA			
Mr. Richard Howe - to move to T^2C^2, date TBD			
Mrs. Sally Dimond			
Mrs. Patricia Roberts			
Mrs. Margaret French			

	Civ	Mil	Total
DASD(C^3) (Continued)			
Dir, Strategic C^2			
Dr. Robert D. Turner (Acting)	5/5	2/2	7/7
Dr. Dale Hamilton			
Mr. Reynold Thomas			
Col John Frishett, USAF			
LtCol Robert Leahy, USAF			
Mrs. Sandra Sims			
Mrs. Rachel Ellis			
DASD(Technical Policy and Operations			
Mr. David Solomon	6/6	0/0	6/6
Mr. Walter Coari			
Mr. Paul Cahan			
Mr. William J. Cook			
Miss Harriet Freedman			
Mrs. Evelyn Robbins			
DASD(Intelligence)			
Dr. James H. Babcock	2/2	0/0	2/2
Mrs. Marjorie E. Holloway			
Mr.Richard Baer (on loan from IC Staff)			
Dir, National Intelligence Systems			
Dr. Anthony J. Tether	4/4	0/0	4/4
Mr. Ronald J. Goldstein			
Mr. Victor E. Jones			
Mr. Larry Castro (on loan from NSA) (departed - replacement not yet selected)			
Miss Julie L. Mikovits			
Dir, Tactical Intelligence Systems/Dir, Reconnaissance Surveillance and Target Acquisition			
Mr. Charles Hawkins	6/6	3/3	9/9
Mr. Michael I. Keller			
Miss Janet Burner			
Mrs. Gail Moore			
Programs Division			
Capt Harvey E. Fisher, USN			
LtCol Andrew Lechance, USAF			
Mr. Lauren Larson			

	Civ	Mil	Total
DASD(Intelligence) (Continued)			
Plans Division			
Col Charles E. Schmidt, USA			
Mr. Gerald F. Kozlowski (on loan from NSA)			
Mr. Robert R. Darron (on loan from MITRE)			
Mr. Earnst Liska			

C^3I RESOURCES*
FY 1980, 81, 82 and FY 1982-86
($ Billions)

Source: October 1980
FYDP Extract for
C^3I by Mission area
23 October 1980

PrepBy: C^3 Resources
OASD(C^3I)
5 December 1980

Classified by: OASD(C^3I), C^3 Resources
Declassify on: 31 December 1987

CONGRESSIONAL CONTACTS FOR ASD(C^3I)

House Armed Services Committee (HASC)

Chairman - Melvin Price
Staff Director - John Ford
Chairman, R&D Subcommittee - Harold Runnels (next senior after Mr. Ichord-retired)
  Staff member - Anthony Battista (C^3&I)
  Staff member - Thomas Cooper (C^3)

Senate Armed Services Committee (SASC)

Chairman - John Tower (new)
Chairman, R&D Subcommittee - John Warner (new)
  Staff member - George Riedel (old) (C^3& I)
  Staff member - George Foster (old) (C^3)

House Permanent Select Committee on Intelligence (HPSCI)

Chairman - Edward P. Boland
Chairman, Program & Budget Authorization Subcommittee - unknown (Mr. Burleson defeated)
  Staff member - Jim Bush (former member ASD(I))

Senate Select Committee on Intelligence (SSCI)

Chairman - Barry Goldwater (new)
Chairman - Budget Authorization Subcommittee - unknown (Sen Inouye former Chairman)
  Staff member - Daniel Childs (old)

House Appropriations Committee (HAC)

Chairman - James Whitten
Chairman, Defense Subcommittee - Joseph Addabbo
Principal Staff Assistant - Ralph Preston
  Staff member (C^3) - John Plashal
  Staff member (I) - Pete Murphy
  R&D staff member (EW) - Robert Seraphin

Senate Appropriations Committee (SAC)

Chairman - Mark Hatfield (new)
Minority Counsel (old) - Joel E. Bonner
Chairman, Defense Subcommittee - Ted Stevens (new)
  Principal staff member - Fred Rhodes (C^3&I) (old)
  R&D staff member - Doug Allen (C^3) (old)

C^3 Resources

3 December 1980

Defense Communications Agency (DCA) - The Director of DCA reports to the ASD(C^3I) as shown in Tab A. In addition, the Joint Chiefs of Staff are authorized to task the Director, DCA. Present director: LTG William J. Hilsman.

WWMCCS System Engineer (WSE) - The WSE is part of DCA. There is extensive direct technical interface between WSE and the office of the ASD(C^3I). Present WSE: David R. Israel

Military Satellite Communications Office (MSO). The MSO office is in DCA. The office of the director is presently vacant.

National Security Agency (NSA) - A discussion of the relationship between NSA and the Department of Defense is contained in the separate Intelligence program book. The present incumbent is Vice Admiral Bobbie Inman.

Director of Central Intelligence (DCI) - The Office of the Deputy Under Secretary for Policy (Policy Review) and the office of ASD(C^3I) both deal extensively with the staff of the Director of Central Intelligence and support the Secretary of Defense in his direct relations with the DCI. The present DCI is ADM Stansfield Turner.

Joint Chiefs of Staff (JCS) - Very recently a new directorate in the Office of the JCS was formed entitled Command, Control, and Communications Systems (C^3S). The Office of ASD(C^3I) deals directly with the C^3S directorate particularly in matters relating to C^3 requirements and priorities. The present incumbent is Lieutenant General Hillman Dickinson.

Councils, Committees and Boards

- Defense Systems Mananagement Policy Guidance Council
- WWMCCS Council
- Telecommunications and Command and Control Council
- Defense Systems Acquisition Review Committee
- Defense Space Operations Committee
- Joint Reconnaissance Committee
- Defense Science Board
- National Communications Security Board
- National Foreign Intelligence Board
- Various NATO Committees and Working Groups

~~TOP SECRET~~

(FOI)

C^3I Program Management Structure

and

Major Programs (U)

December 10, 1980

THIS PAGE UNCLASSIFIED

Classified by USDR&E(ASD/C3I)

Declassify on

Review on 10 December 2000

Extended by USDR&E(ASD/C3I)

Reason 1,3,4,5,7

USDRE: 75-221-80

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Introduction

The organization and functions of the Office of the Assistant Secretary of Defense (Communications, Command, Control, and Intelligence) were described in Volume I. In this volume, the C^3I program management structure and the major programs are described. The total C^3 program, which includes approximately 400 programs with a budget of about $13 billion in FY 82, is discussed in this volume.

In order to carry out our responsibilities to manage these programs, we use a mission area structure. The four major mission areas are:

a. Strategic C^3I

b. Theater and Tactical

c. Defense-wide C^3I Support

d. Consolidated Defense Intelligence

Figure 1 shows the major mission area structure with representative programs.

Although the detailed nature of the C^3I varies according to the mission area, there is a fundamental structure that is common throughout. The three basic components of C^3I systems are:

a. Command Centers, in which command decision-makers and their staffs evaluate information on enemy actions and the status of friendly forces and provide direction to the forces for accomplishment of assigned objectives;

b. Sensor Systems, which provide warning of enemy attacks, intelligence on enemy forces, assessments of enemy actions and own-force strikes, and targeting data for use by own-force firepower; and

c. Communications Systems, for conveying information from sensor systems to command centers, interconnecting command centers for coordination of operations, and transmitting orders from command centers to the forces.

The operation of the C^3 portion of C^3I is depicted in Figure 2. The surveillance and warning sensors detect activity in the surveillance area. The sensor data is communicated to a command center where it is analyzed, correlated with other information, and a decision is made. The decision is then communicated to the forces by another communications system and the forces respond. The resulting situation is sensed by the sensors, the data communicated back to the command center and the cycle repeats.

A fourth component, Automatic Data Processing, is frequently an integral part of the first three. Special-purpose or general-purpose computers are employed at sensor sites to reduce raw data to relevant information; in communications systems to expedite routing of messages, facilitate

C^3I MISSION AREA OVERVIEW

Strategic C^3I

Command & Control

E-4 Adv Abn Comd Post
National Mil Comd Sys
Post-Attack Comd & Cont Sys (PACCS)

Communications Systems

AFSATCOM
TACAMO
SACDIN

Surveillance & Warning

Defense Support Program
- Mobile Grnd Terminals
DMEWS/PARCS/DEW
OTH-B
Space Surveillance
IONDS

Information Systems

WWMCCS Info Systems
Computer Security
WIN

Theater & Tactical C^3I

Command & Control

E-3A/NATO AWACS
Jt Crisis Mgmt Capability
JINTACCS
IFF

Communications Systems

TNF Communications
TRI-TAC
JTIDS
SEEK TALK
SINCGARS-V
PLRS
PLRS/JTIDS Hybrid

Recce, Surv & Tgt Acq

TR-1/GUARDRAIL
Tactical Fusion (DETA)
E-2C
PLSS

EW and Counter C^3

EF-111A
ASPJ
EA-6B

Defense-Wide C^3I Support

Navigation & Position Fixing

NAVSTAR Global Positioning System
Microwave Landing System

Communications Systems

DSCS II, III
Secure Voice Improvement Program
Defense Communications Sys (DCS)
European Telephone System
Base & Support Comm - DMATS
AUTODIN II

Consolidated Defense Intelligence

National Foreign Intelligence Prog

Consolidated Cryptologic Program
General Defense Intelligence Program
Classified Programs

Indications and Warning

TIARA (Tac Intell & Related Activities)

TCP (Tac Cryptologic Prog)
DRSP (Defense Reconnaissance Supt Program)

Figure 1

C^3 System

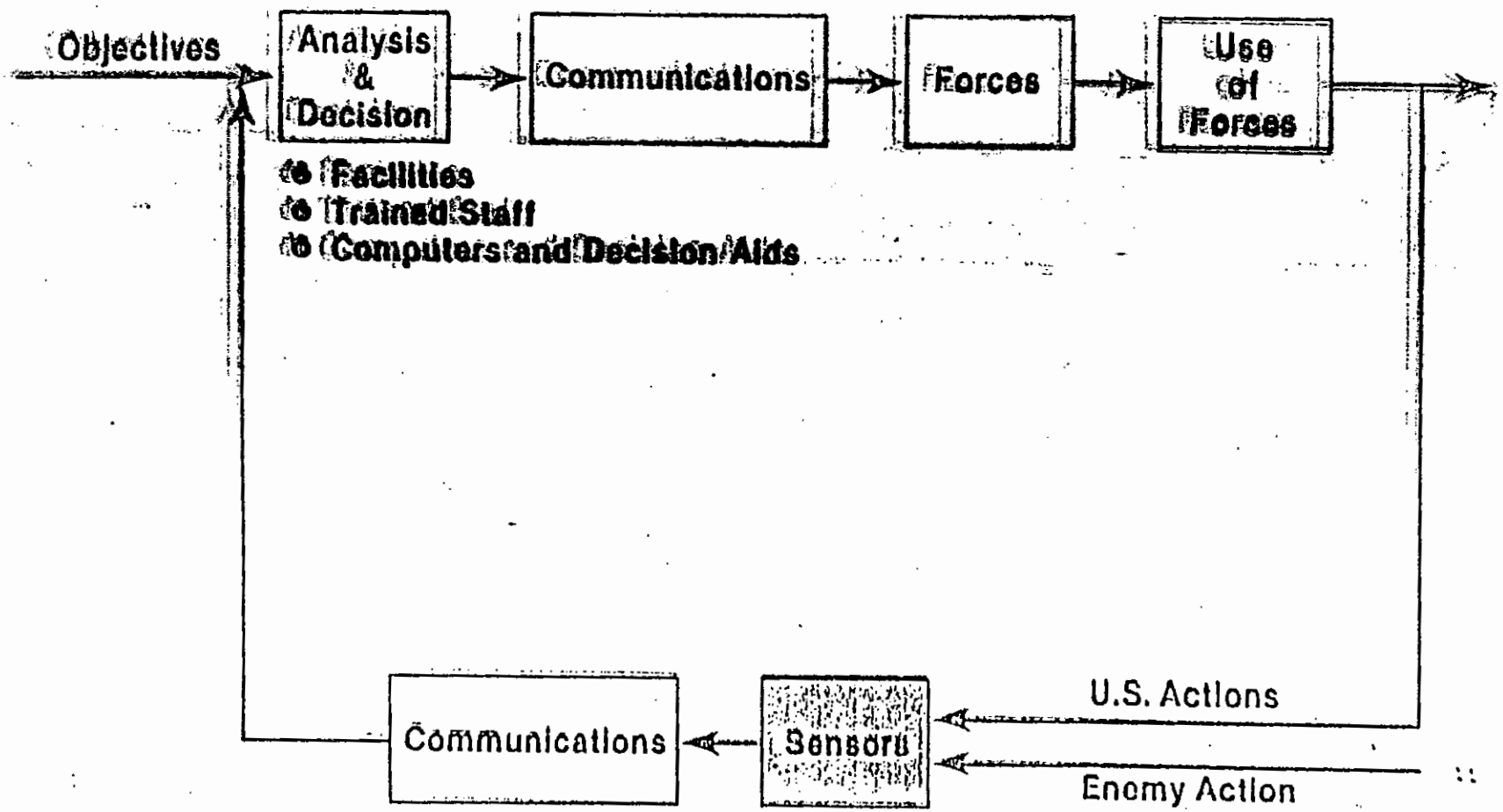


Figure 2

transmission of information and orders, and support interactive data exchanges between command centers; and within command centers to aid in assimilation, integration and evaluation of sensor inputs, storage and retrieval of force status and other operational data, and generation of orders.

These functional components of C^3I systems must possess certain key attributes, albeit in varying degrees over the major mission areas:

o A high degree of coordination must prevail between command centers involved in interrelated military operations, but the command and control capability must be sufficiently distributed to provide resilience in the event that command nodes are destroyed by enemy action.

o Communications and sensor systems must be resistant to jamming and deceptive countermeasures and secure against exploitation by adversary SIGINT activities.

o Automatic data processing must be reliable, of adequate capacity to meet surge needs, and responsive to changing operational concepts and situations.

Collectively, C^3I systems must support timely and effective military operations and efficient utilization of defense resources. Together with means to exploit, confuse, and disrupt adversary C^3I capabilities, systems with these attributes can do much to offset an unfavorable numerical force imbalance.

Strategic C^3I systems are used for control and direction of our strategic nuclear forces. Given the nature of global nuclear conflict, strategic C^3I must meet the most rigorous standards for reliability, survivability, and endurance. Strategic command centers are involved in and must directly support decision-making, under conditions of extreme stress and urgency, by the highest echelon of command--the National Command Authorities (NCA). Strategic surveillance and warning systems (including associated automatic data processing and communications) must provide extremely reliable and timely detections of the onset of nuclear attack, to enhance the survivability of strategic forces and the means to direct them, and to support selection by the NCA of the most effective response option. Collateral missions include space surveillance and detection and characterization of nuclear detonations.

Strategic communications must provide for rapid and certain delivery of Emergency Action Messages to the strategic forces, report-back from the forces, and support reconstitution of forces and command entities following an initial attack.

The implementation of strategic C^3I systems reflects great emphasis on survivability and endurance, through the use of mobility, redundancy, diversity, and proliferation of the basic functional capabilities, and through testing and incorporation of features to enhance resistance to the effects of nuclear detonations. With the evolution of nuclear weapons employment policy and the increasing sophistication of nuclear weapon delivery systems, even greater emphasis will be needed to assure that strategic C^3I systems make a positive contribution to deterrence.

The Theater and Tactical C^3I systems encompass a broad collection of C^3I and equipments essential to the control of a modern, integrated, mobile, and effective force. The theater C^3 mission is to provide a link between the National Command Authorities through the chain of command to the senior tactical commander (typically at the Army Corps, Air Force Wing, and Navy Battle Group level). In terms of command this link can be through allied command headquarters such as NATO or through intervening U.S. headquarters such as RDJTF. In either case, intelligence and administrative/logistic information may be provided directly to the tactical commander.

Our theater C^3I initiatives emphasize survivability of essential command and control functions and improved capabilities for participation in multinational operations in support of alliance commitments. Although we do provide some permanent, hardened command centers, we prefer to have mobile (air and ground) command centers which are less vulnerable to enemy targeting and sabotage. We are concentrating on major improvements in three areas: (1) rapidly deployable C^3 capability - Joint Crisis Management Capability (JCMC); (2) command and control of our Theater Nuclear Forces (TNF); and (3) C^3I support for the Rapid Deployment Force. Each of these programs is heavily oriented toward providing survivable, jam resistant, secure communications to insure the rapid, accurate interchange of critical command and intelligence information under highly stressed conditions. Improvements are also being sought in handling the expected large volume of traffic through the introduction of automated aids. Theater-level sensor support comes primarily from the national program and the tactical sensors. An exception is the NATO AWACS which provides surveillance with its radars as well as command and control of aircraft.

The principal objectives of the tactical C^3I programs are: (1) to provide tactical commanders of all Services, at all echelons, with the right information at the right time to help him make the right decisions, and (2) to disrupt the enemy in their ability to command and control. Tactical command and control centers are all mobile. Within C^3I our task is to provide the communications, the sensor and intelligence inputs, and the means for handling the data. In tactical communications two major objectives are to achieve security and to improve jam-resistance for all battlefield radios. Because of the increased demands of the modern battlefield for timely, accurate information, we are emphasizing automated data tactical systems which are mobile/transportable, rugged and survivable. We continue to stress improved interoperability between the Services and with the forces of our allies. The tactical C^3I sensors are related to the tasks of reconnaissance, surveillance, and target acquisition. Our objective is to select a balanced mix of imagery sensor and signal intelligence systems that will compliment each other in accuracy and distance comparable to newly introduced weapon systems. We are using ADP to help the tactical commanders correlate the high volume outputs of this sensor mix. For example, a joint tactical fusion system is being initiated as a follow-on to the BETA test bed program.

In an inverse manner, the electronic warfare and counter-C^3 systems fit into the three C^3I basic components mentioned earlier: command centers, communications, and sensor systems. EW and counter-C^3 can disrupt the operation of an enemy's command centers and communications systems and seriously interfere with the use of his sensors against our forces.

The Defense-wide C^3I programs support, as the name suggests, our strategic and our theater and tactical C^3I responsibilities. We do not label any command centers as defense-wide, although in fact we would use some of the same centers we list in the strategic and theater and tactical command and control. The defense-wide C^3I systems must support the command function between all echelons and have flexibility to cope with evolving threats and be consistent with planned force composition and employment. Our navigation and position-fixing systems are designed to provide accurate, secure, jam-resistant, all-weather/all-hours information needed for precise world-wide control of forces. These same systems support our sensor systems as well as our weapon system with a common grid for reconnaissance, surveillance, and targeting functions.

In the defense-wide communications area, our objective is to provide world-wide jam-resistant secure systems that are resistant to nuclear effects. We have systems using satellites, such as the Defense Satellite Communications System (DSCS) and extensive terrestrial systems. Base and support communications and the defense-wide COMSEC program complete this mission area.

The first three major mission areas are covered in this volume. The Consolidated Defense Intelligence mission area is in Volume III. This mission area contains the National Foreign Intelligence Program (NFIP) which is under the Director of Central Intelligence (DCI). The relationship between the National Intelligence Program and DoD C^3I program is discussed in Volume III. We have worked closely with the DCI and the Intelligence Community Staff in developing the plan for providing national intelligence support to operational commanders. The second major element in this area is the program to provide intelligence support to the tactical commanders.

Figure 3 shows the FY 81 budget request broken down by mission areas.

Sections B through E of this volume describe the mission areas and the major programs briefly. There are briefings and/or detailed plans available to amplify the various topics.

There is a particular set of C^3 programs that will require senior management attention in the first half of 1981. These programs are summarized in Table 1.

C^3I RESOURCES BY MISSION AREA

FY 81 Budget Request - $11,303M
($ Millions)

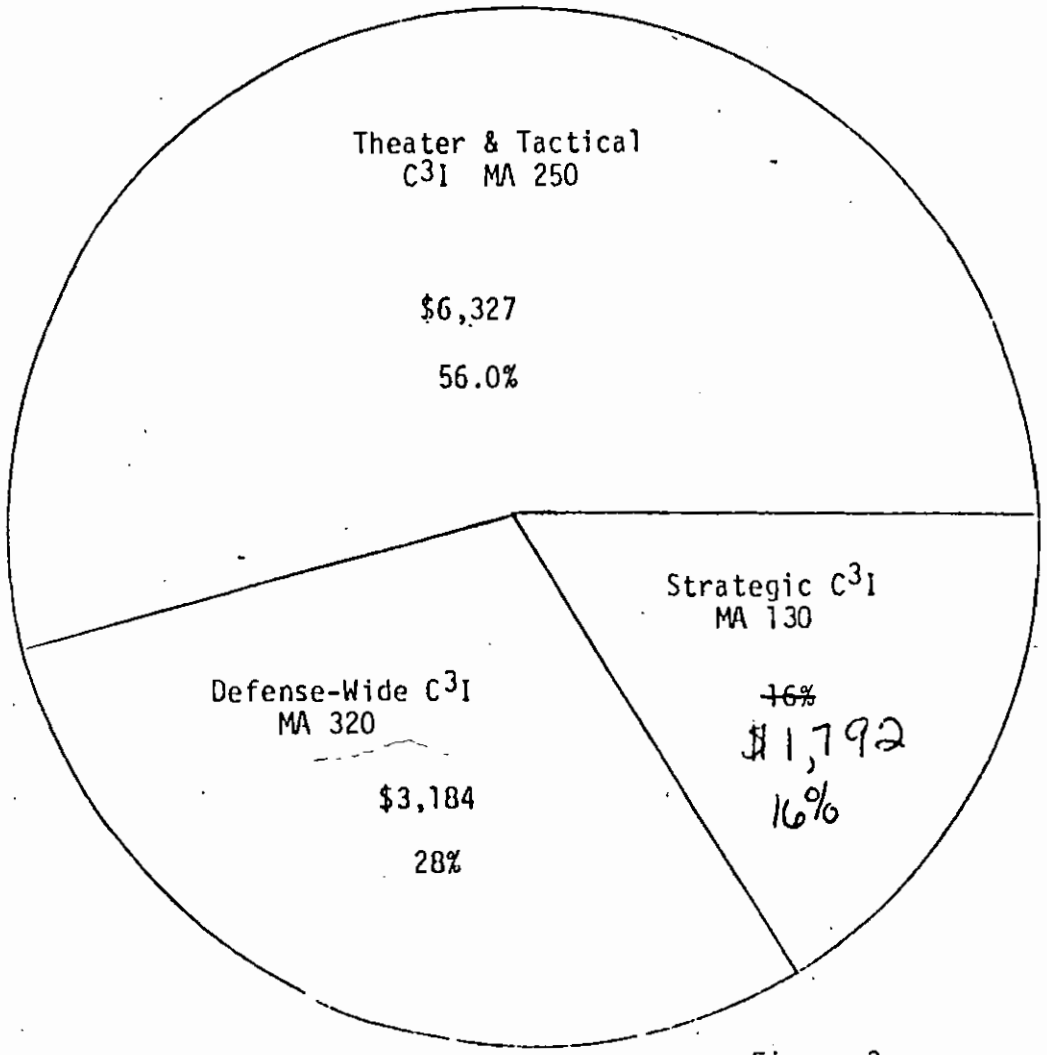


Figure 3

Source: Sep 80 FYDP

DASD(C[illegible]
C3 Resources

Table 1

C^3 Programs Requiring Action in the First Half of 1981

Strategic

1. Missile Warning and Attack Assessment
2. WWMCCS ADP and Intercomputer Network Upgrades
3. The Strategic Satellite System
4. Survivable and Enduring C^3 Program
5. CONUS Air Defense
6. IONDS
7. TACAMO Follow-on

Theater and Tactical

1. Joint Tactical Information Distribution System (JTIDS)
2. Joint Tactical Fusion Center
3. TNF C^3 Improvement Program
4. IFF
5. LEASAT
6. TR-1 and ASARS
7. Precision Location Strike System (PLSS)
8. UHF Anti-Jam Radios

Defense-wide

1. Secure Voice Improvement Program (SVIP)
2. AUTODIN II
3. Defense Satellite Communications System (DSCS) II and III

General

1. Implementation of PD-53
2. Implementation of PD-58
3. Military Communications Satellite Architecture
4. NATO C^3I

STRATEGIC COMMUNICATIONS, COMMAND, CONTROL & INTELLIGENCE (C^3I); MISSION AREA 130

(U) This major mission area (MA) addresses those capabilities required to provide survivable, reconstitutable, and secure means for management of the strategic nuclear forces and for technical support of operations of these forces prior to, during, and following global nuclear conflict. The major MA includes the following MA's:

MA 131 -- Strategic Command and Control
MA 132 -- Strategic Surveillance and Warning
MA 133 -- Strategic Communications
MA 134 -- Strategic Information Systems

(U) Activities closely related to this MA include the airborne command posts of CINCEUR, CINCLANT, and CINCPAC, which provide survivable adjuncts to ground-based command and control facilities for direction of SIOP forces in these commands. The programs are currently assigned to MA 251 -- Theater Command and Control, MA 251.b -- Mobile Facilities.

(U) Table 1.01 provides past, current, and future budget data for MA 130. Further detail on MAs 131-134 and major programs is given in the following sections and in the Annex. Table 1.02 provides funding data for MA 251b.

(U) These issues emanate from PD-59, and a detailed discussion of it is furnished subsequently (see "C^3 Support for PD-59). In addition, a comprehensive briefing, prepared for the National Security Council Staff, is available.

Major Plans.

WWMCCS Five Year Plan
Joint Strategic Planning Document (JSPD), Annex C.

TABLE 1.01

MA 130 -- Strategic Command and Control, Communications, and Intelligence* ($ Millions)

	FY 80	FY 81	FY 82	FY 83	FY 84	FY 85	FY 86
R&D	150.9	385.8	495.8				
Investment**	561.7	627.4	803.1				
Operations***	635.3	778.9	901.0				
Total Obligational Authority	1,447.9	1,792.2	2,199.8				
Manpower****	14,359	14,734	14,790				

* Data in this and subsequent fiscal tables are as of 29 September 1980.

** Investment includes funds in the following accounts: Aircraft Procurement, Missile Procurement, Other Procurement, Military Construction.

*** Operations includes funds in the following accounts: Operation and Maintenance, Military Personnel.

**** Manpower includes Civilian US Direct Hire as well as Active Military Manpower.

TABLE 1.02

MA 251b -- Theater Command and Control -- Mobile Facilities* ($ Millions)

	FY 80	FY 81	FY 82	FY 83	FY 84	FY 85	FY 86
Investment**	-	1.0	1.8				
Operations***	31.4	37.0	40.7				
Total Obligational Authority	31.4	38.0	42.5				

*Funding is for CINCEUR, CINCLANT, and CINCPAC airborne command posts.

TABLE 1.03

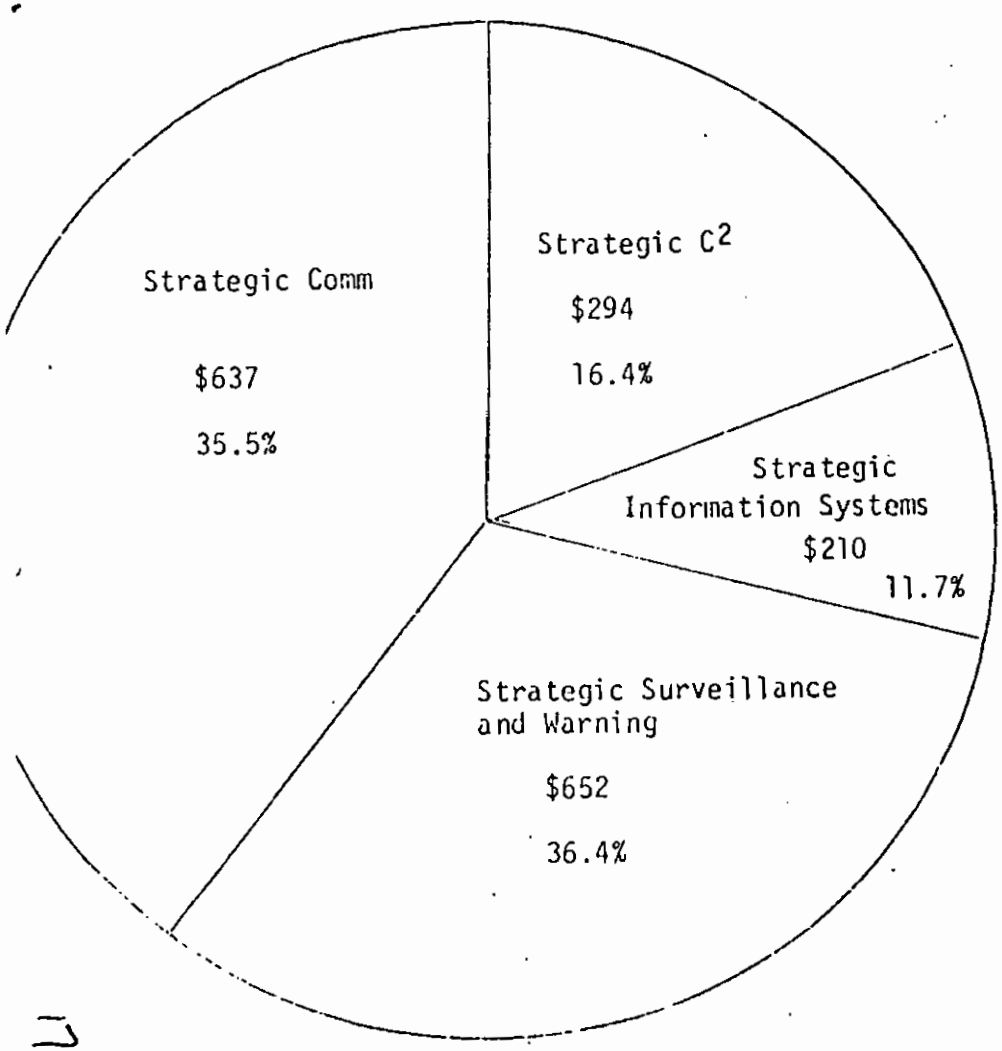
MA 325b, ARCHITECTURAL SUPPORT AND EVALUATION

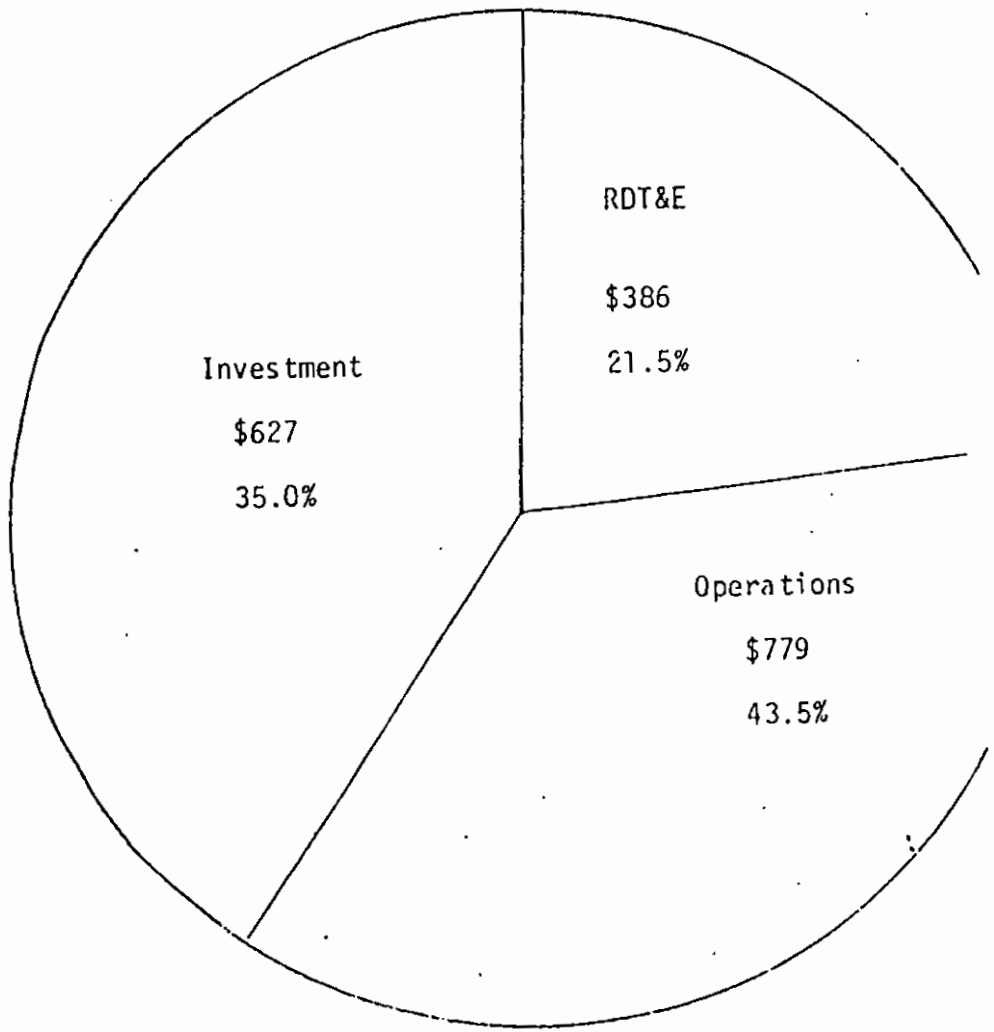
	FY 80	FY 81	FY 82	FY 83	FY 84	FY 85	FY 86
R&D	36,767	50,853	82,593				
OPS	6,710	7,573	7,983				
Total Obligational Authority	43,477	58,426	90,576				
Manpower	59	65	75				

MISSION AREA 130

STRATEGIC C^3I

FY 81 Budget Request - $1,792M
($ Millions)





Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

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OASD(C^3I)
C^3 Resources

1.1 MA 131 -- Strategic Command and Control

(U) Description. The strategic command and control mission area deals with the systems and procedures required to provide a survivable and enduring (or reconstitutable) command and control capability for the National Command Authorities, the Joint Chiefs of Staff, and the Unified and Specified Commands. Included in this mission area are fixed and mobile command facilities and their associated subsystems and staffs needed for informed, timely and flexible decision making and the direction of strategic offensive and defensive forces.

(S) Budget Profile ($ Millions)

(U) List of Major Programs. Major programs in this mission area are the E-4B Advanced Airborne Command Post Program and the up-grade of the EC-135 Airborne Command Post aircraft (HEMP-hardening and UHF-FDM replacement). Other programs, in the Strategic Communications missions area, are directly supportive of (and essential to) this mission area.

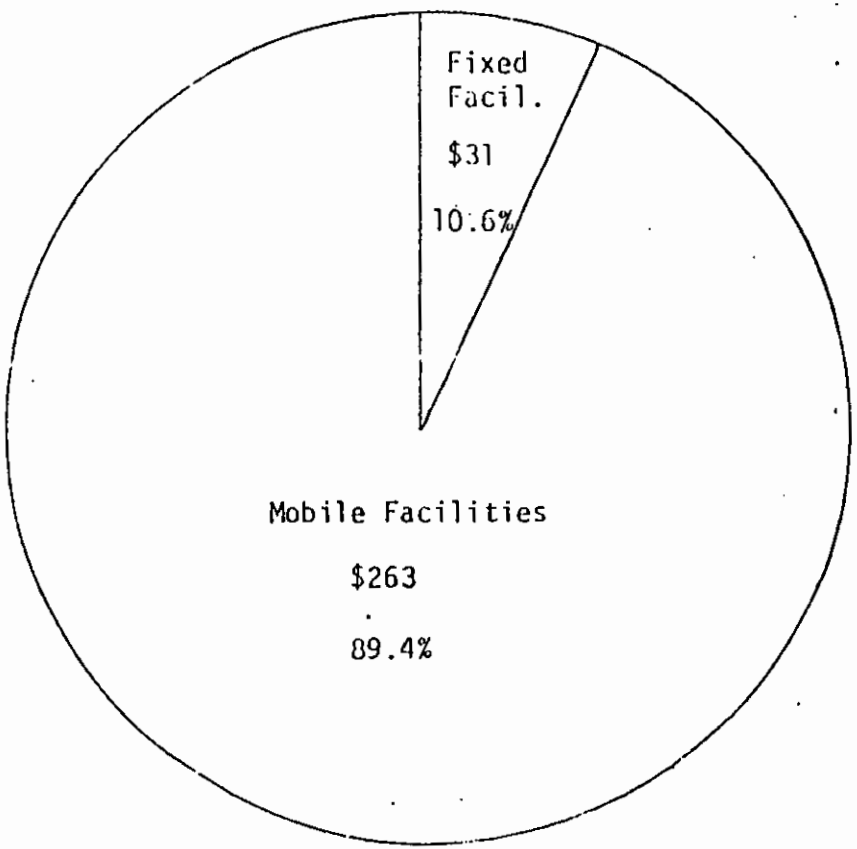
(U) Major Plans

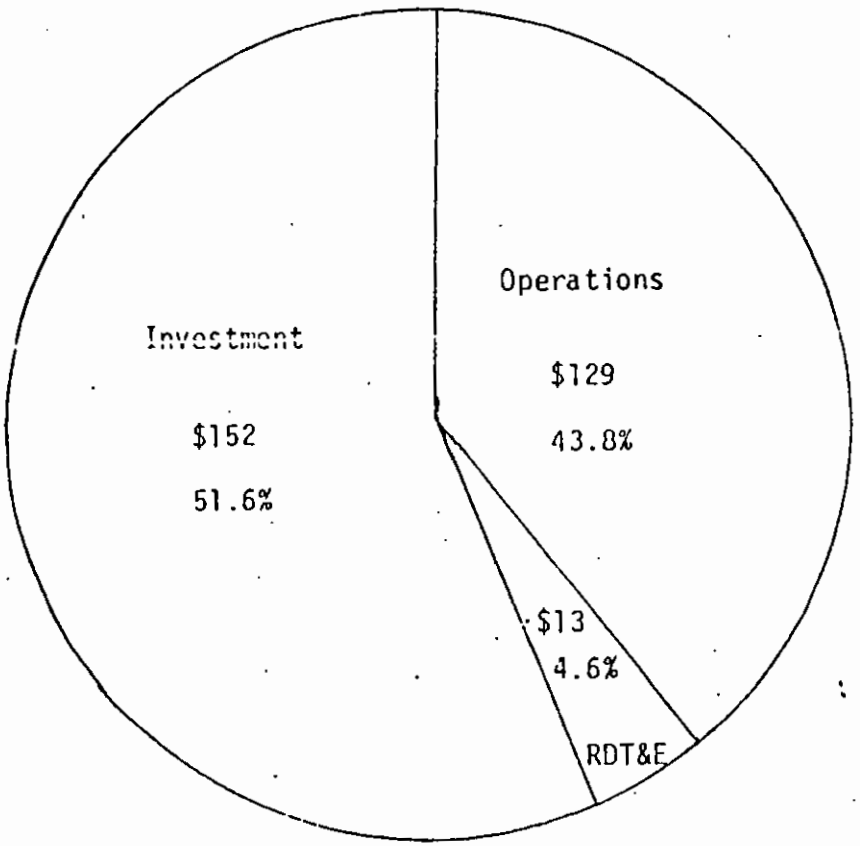
- WWMCCS Architecture and WWMCCS Selected Architecture
- NMCS FYMOP
- WWMCCS Five-Year Plan
- E-4B ABNCP Improvement Plan (in preparation

MISSION AREA 131

STRATEGIC C^2

FY 81 Budget Request - $ 294M
($ Millions)





Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

OASD(C^3I)
C^3 Resources
5 Dec 80

Strategic C^2 Mission Area 131

Funding Summary*

		($ Millions) FY 1981	FY 1982
131	a. Fixed Facilities		
	NMCC	3.0	4.8
	ANMCC	6.4	6.8
	NMCS-Wide Support	21.6	28.0
		(31.0)	(39.6)
	b. Mobile Facilities		
	PACCS	229.7	207.3
	NEACP	32.9	35.5
		(262.6)	(242.8)
	Total 131	293.7	282.4

Totals may not add due to rounding

* Includes all program elements except partials

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DI[illegible] JR: [illegible]
ACT OFFICER: LTC Leahy

PROGRAM: E-4B Advanced Airborne Command Post

BACKGROUND: (C)

DESCRIPTION: (S)

FUNDING: ($ - Million)	81	82	FYDP	Total
RDT&E	7.1	3.4		
Procurement	145.4	111.6		
O&M	-	45.9		
MILCON	-	-		

MILESTONES:

DSARC III in May 1980
1st E-4B delivered in January 1980 (IOC)
3rd E-4B delivered in May 1984 (NEACP FOC)
6th E-4B delivered in 4th Quarter, CY 1986 (CINCSAC FOC)

ISSUES:

- o Technical -- None
- o Congressional -- None
- o Funding -- In Basic Level (Band 2)

E-4B Advanced Airborne Command Post (Continued)

DATE: 9 December 1980
DIRECTOR: Dr. Turner
ACT OFFICER: N/A

PROGRAM: (U) EC-135 Airborne Command Post Improvements

MILESTONES:

(U) EMP-hardening expected to begin in FY 82 (five-year program.

(U) UHF-FDM replacement could begin in FY 83 (five to six year program).

ISSUES:

DECISIONS:

101

23

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[redacted]

DATE: [illegible]
DIRECTOR: Dr. Turner
ACT OFFICER: N/A

PROGRAM: (U) Survivable & Enduring C3 Support for PD-59

DESCRIPTION: (S)

USDRE: [illegible]

[redacted]

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(U) The critical command & control aspects of PD 59 as related to post attack environment are being examined through a program of the WWMCCS System Engineer entitled "Enhancing Post Attack WWMCCS". This is an architectural and research and development program intended to identify and evaluate improvement alternatives concerning the survivability and endurance of the WWMCCS following an attack on the United States. These programs focus on those WWMCCS assets which are required for generation, control and employment for effective force management in the trans- and post attack environment.

FUNDING: (S)

MILESTONES: N/A

ISSUES: (S)

DECISIONS: (U) Decisions on both the programmatic and the requirements/concepts classes of issues are required within the next year. Most of the needed C3 improvement actions are multi-year efforts, and must be initiated very soon if we are to have even a small proportion of these improvements available in the highly critical 1985-1990 time frame.

Major Plans.

CINCSAC Connectivity Study
CNO Connectivity Study
DSB Study on Survivable and Enduring C^3

MA 132 -- Strategic Surveillance and Warning

A. Description (U)

(S)

B. Budget Profile (U)

(S)

C. Major Plans

- o Missile Attack Warning Master Plan
- o WWMCCS Five-Year Plan
- o DOD Plan for North American Air Defense (in preparation)

TABLE 1.2-1

MA 132 STRATEGIC SURVEILLANCE AND WARNING, PLUS MA 133, SURVEILLANCE AND WARNING COMMUNICATIONS ($000)

	FY 80	FY 81	FY 82	FY 83	FY 84	FY 85	FY 86
R&D	107,692	163,484	247,206				
INV	142,020	202,378	373,817				
OPS	228,445	285,984	327,998				
Total Obligational Authority	478,157	651,846	949,021				
Manpower	2255	2248	2207				
MA 132a MISSILE ATTACK WARNING							
R&D	45,260	98,100	184,807				
INV	132,231	189,719	344,530				
OPS	115,410	142,570	149,641				
Total Obligational Authority	292,901	430,389	678,978				
Manpower	1869	1783	1744				
MA 132b, AERODYNAMIC THREAT WARNING							
R&D	13,900	13,300	26,103				
INV	-	-	-				
OPS	69,453	81,895	97,034				
Total Obligational Authority	83,353	95,195	123,137				
Manpower	64	64	64				
MA 132c, SPACE SURVEILLANCE							
R&D	48,352	52,084	36,296				
INV	9,789	12,659	29,287				
OPS	38,090	54,411	72,030				
Total Obligational Authority	96,411	119,154	137,613				
Manpower	203	227	243				

MA 132 STRATEGIC SURVEILLANCE AND WARNING, PLUS MA 133, SURVEILLANCE AND WARNING COMMUNICATIONS (CONTINUED) ($000)

MA 132d,* NUCLEAR DETONATION DETECTION

	FY 80	FY 81	FY 82	FY 83	FY 84	FY 85	FY 86
R&D	-	12,100	4,602				
INV	-	-	16,888				
Total Obligational Authority	-	12,100	21,490				

*NFIP activity; shown for reference purposes; not included in MA totals.

MA 133C, SURVEILLANCE AND WARNING COMMUNICATIONS

OPS	5,492	7,108	9,293
Total Obligational Authority	5,492	7,108	9,293
Manpower	119	174	156

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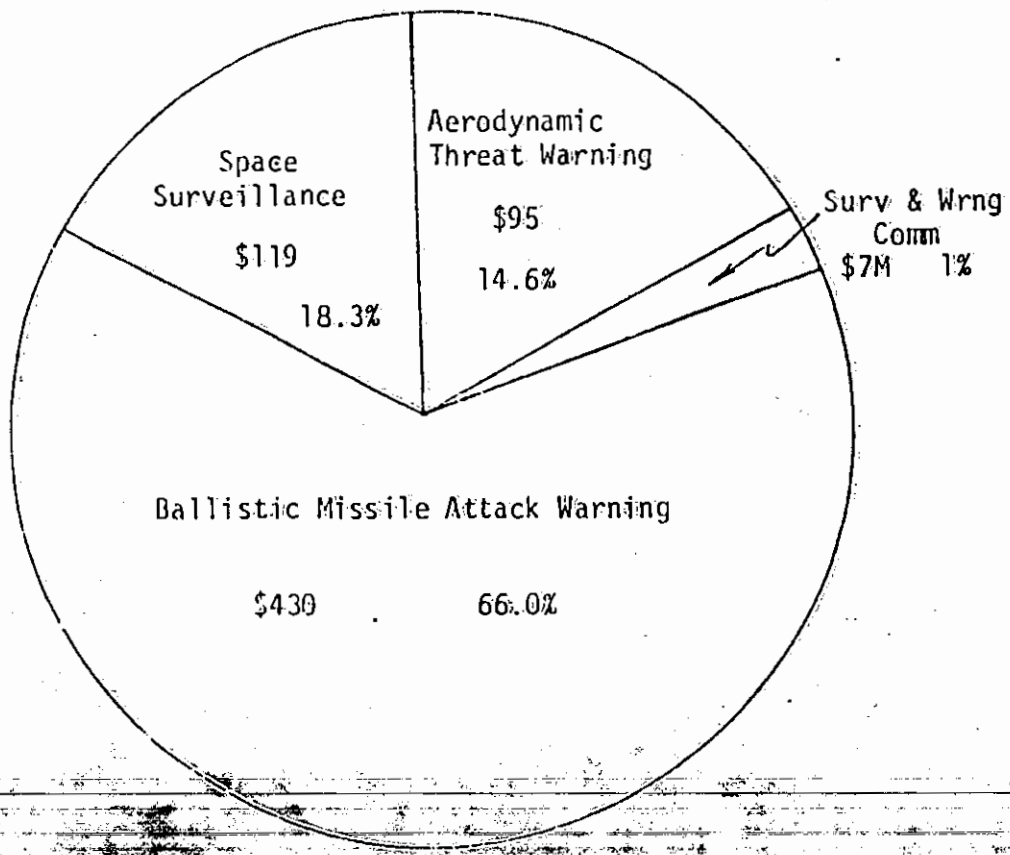
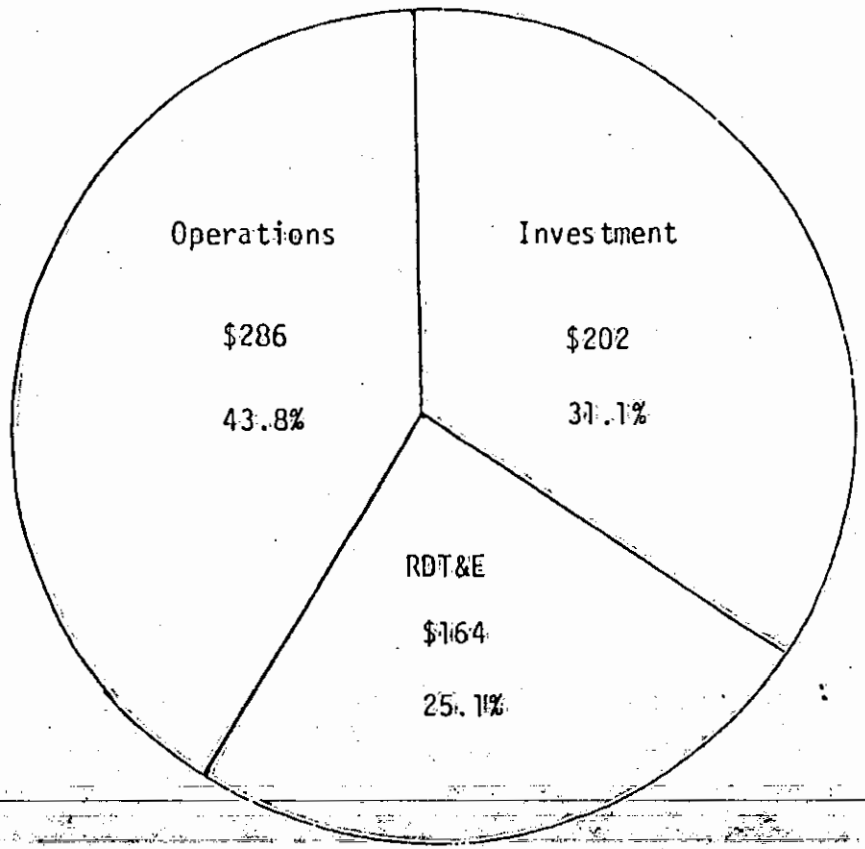
MISSION AREA 132

STRATEGIC SURVEILLANCE & WARNING

FY 81 Budget Request - $652M
($ Millions)





Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

OASD(C^3I)
C^3 Resources
5 Dec

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Strategic Surveillance & Warning Mission Area 132

Funding Summary*

		($ Millions) FY 1981	FY 1982
132	a. Ballistic Missile Attack Warning		
	BMEWS	110.0	83.1
	DSP	277.3	540.0
	SLBM Radar Warning	21.5	21.5
	PARCS	6.2	7.6
	Missile Surv Tech	12.3	17.4
	Adv Warning Sys	-	9.4
	Warning Info Correl.	3.0	-
		(430.4)	(679.0)
	b. Aerodynamic Threat Warning		
	DEW Sites	81.7	96.8
	Conus OTH Radar	12.4	26.3
	Adv Spc Applications	1.1	-
		(95.2)	(123.1)
	c. Space Surveillance		
	Spacetrack	62.1	97.3
	Space Surv.	12.3	12.8
	Space Surv. Technology	44.7	27.5
		(119.2)	(137.6)
	d. Surv & Warning Comm		
	PARCS	.5	.5
	BMEWS-Comm	2.0	2.2
	Spacetrack-Comm	1.4	2.4
	OTH Radar-Comm	.2	.3
	SLBM Radar Warning Comm	1.0	1.4
	DSP-Comm	2.0	2.5
		(7.1)	(9.3)
	Total 132	651.8	949.0

Totals may not add due to rounding

* Includes all program elements except partials

DATE: 5 December 1980
DIRECTOR: Dr. Turner
ACT OFFICER: N/A

PROGRAM: (U) Ballistic Missile Early Warning System (BMEWS)

DESCRIPTION: (S)

FUNDING:		81	82	FYDP	Total
(U)	RDT&E	9,200	13,021		
	Procurement	44,966	12,954		
	Operations	55,882	57.081		

MILESTONES

(U)	Tactical Operations Room Upgrade Complete	FY 1981
(U)	Missile Impact Predictor Computer Changeout Complete	FY 1982
(U)	Site I (Thule) Detection/Tracking Radar UHF Upgrade Complete	FY 1985

~~SECRET~~

DATE 24 Nov 80
DIRECTOR Dr. Turner
ACT OFFICER Col Frishett

Program: (U) Defense Support Program (DSP)

Description: (S)

FUNDING (S)

	$(000) 81	82	FYDP	Total
RDT&E				
PROCUR				
OPS				

MILESTONES: (S)

SECRET

ISSUES:

DECISIONS Jan-Jun 81:

DIRECTOR Dr. Turner
ACT OFFICER Col Frishett

Program: Distant Early Warning (DEW) Line

Description: The prime mission of the DEW Line is to provide tactical warning of a bomber attack from the north. The DEW Line also provides a base structure to support communications from BMEWS at Thule, Greenland and the SAC Green Pine System. DEW, installed in the 1950's, consists of 31 arctic based radars. The DEW line cannot detect aircraft below 1,000-foot altitudes, and the line also can be readily circumnavigated by the Soviet LRA.

FUNDING	$(000) 81	82	FYDP	Total
RDT&E	--	--		
PROCUR	--	--		
OPS	81,694	96,833		

MILESTONES:

NONE

ISSUES:

DATE 24 November 1980

DIRECTOR Dr. Turner

ACTION OFFICER COL Frishett

Program: CONUS Over-The-Horizon -Backscatter (OTH-B) Radar

Description: An Over-The-Horizon-Backscatter radar system is under development in anticipation of deployment for tactical warning of air breathing threats to the North American continent. An experimental radar site (ERS) has been under test since early CY80. OTH-B radar is a vital element of joint US-Canada air defense planning.

FUNDING $(000)

	81	82	83	TOTAL
RDT&E	12,200	26,103		
Procur	-	-		
OPS	201	201		

Milestones:

DSARC II/III Oct-Nov 1981

Issues:

Decisions:

Review/approval of a DoD Master Plan for North American Air Defense; transmitted to Congress by February 1981.

~~SECRET~~

36

DIRECTOR Dr. Turner
ACT OFFICER Col Frishett

Program: Integrated Operational NUDETS Detection System (IONDS)

Description: (S)

FUNDING

	S(000) 81	82	FYDP	Total
NFIP-RDT&E	12,000	4,602		
PROCUR	--	16,888		
OPS	--	--		
DoD (Crosslink)				
RDT&E	(4,500)	(3,500)		
PROCUR	--	--		
OPS	--	--		
DoD (Terminals)				
RDT&E	--	(3,000)		
PROCUR	--	--		
OPS	--	--		

( ) = Unfunded requirement

MILESTONES: (S)

SECRET

1.3 MA 133 -- Strategic Communications

1.3.1 Description. Those capabilities required to communicate between NCA, command-control elements and strategic forces. It also includes communications support to CONUS defense forces, space defense and communications interfaces with theater C systems. The command elements include those such as NEACP, the JCS, various CINC's and others. Force elements include the strategic triad of ICBM's, SLBM's, and bombers. Assured command and control of strategic nuclear-capable assets in a hostile environment requires a variety of communications systems and transmission techniques. Consequently, communications systems include satellites, airborne and ground systems. Transmission mediums include LF/VLF, landline and UHF and SHF satellites.

1.3.3 List of Major Programs. Major programs in this mission area are the Minimum Essential Emergency Communications Network (MEECN), the PAACS post-attack airborne command and control system, the SAC Digital Network (SACDIN), TACAMO, and the Air Force Satellite Communications System.

1.3.4 Major Plans

DSCS Program Plan FY 81-85
DCS Ten Year Plan FY 82-92
MEECN Master Plan FY 81-92
WWMCCS Five Year Plan
MILSATCOM Architecture (which is being prepared)

MA 133 -- Strategic Communications ($ - Millions)

	FY 80	FY 81	FY 82	FY 83	FY 84	FY 85	FY 86
R&D	104	181	195				
Investment	278	251	275				
Operations	169	205	237				
Total Obligational Authority	551	637	707				

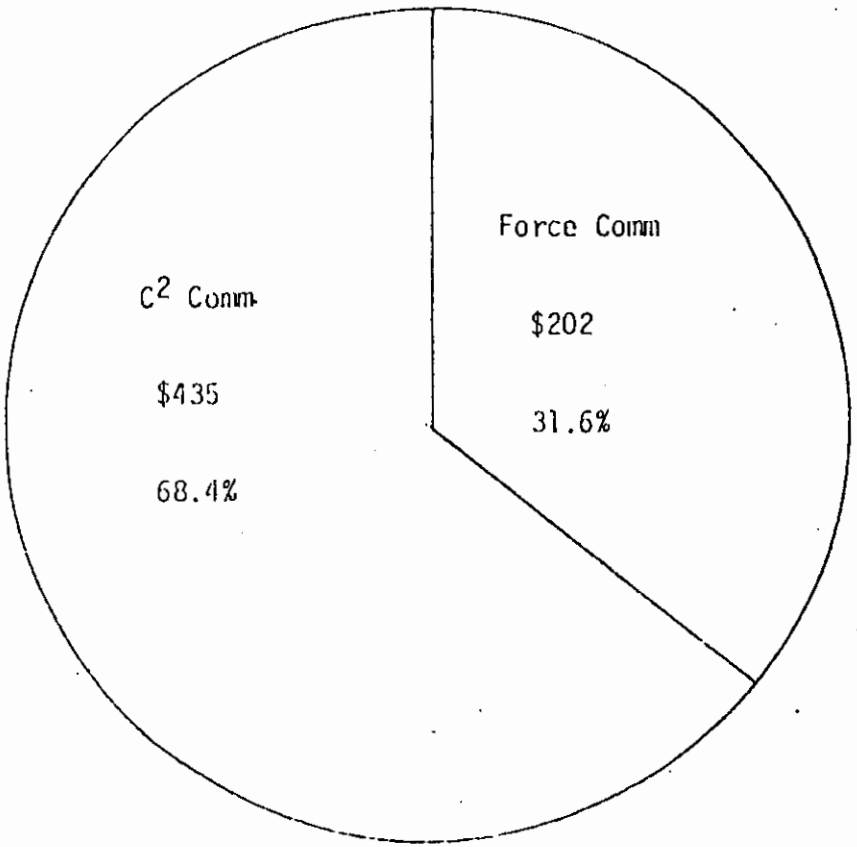
UNCLASSIFIED

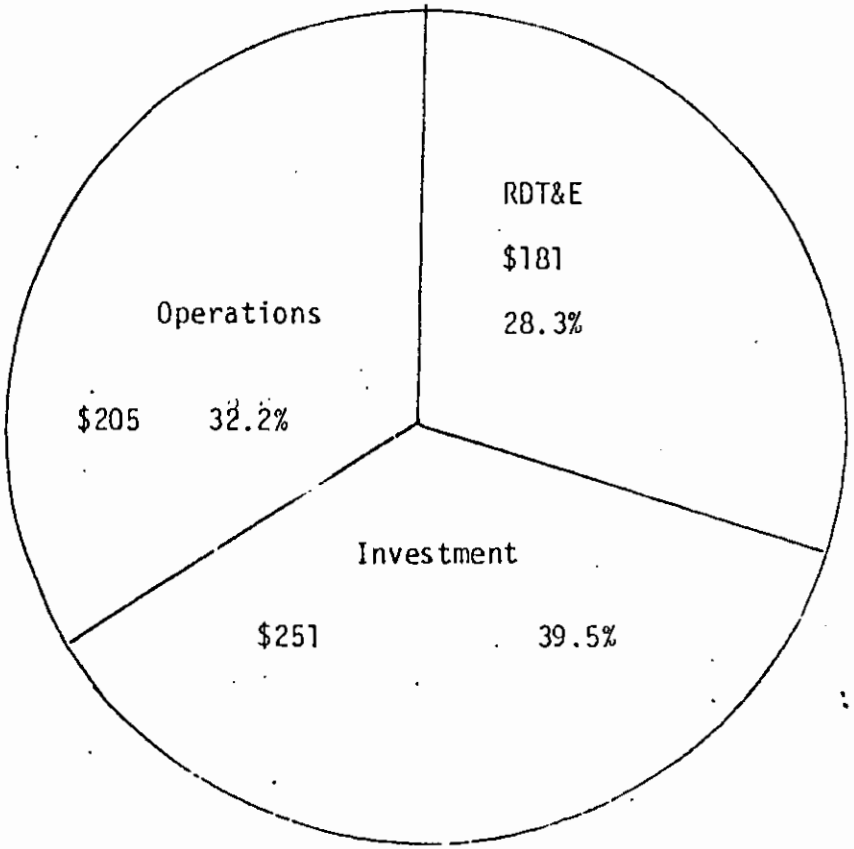
UNCLASSIFIED

MISSION AREA 133

STRATEGIC COMMUNICATIONS

FY 81 Budget Request - $ 636M
($ Millions)





Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

OASD(C^3I)
C^3 Resources
5 Dec 8

Strategic Communications Mission Area 133

Funding Summary*

		($ Millions) FY 1981	FY 1982
133	a. C^2 Comm		
	SAC Comm	86.4	159.7
	PACCS Comm	4.5	5.0
	Spec Purpose Comm	1.9	2.0
	NORAD-COC	7.3	7.1
	Comm-416L	30.3	34.3
	NEACP-Comm	5.4	6.1
	NMCS-wide Spt-Comm	8.0	8.9
	MEECN	22.6	41.2
	AFSATCOM	110.8	105.4
	SDS	151.6	84.1
	Comm Sys	6.4	3.3
		(435.3)	(457.1)
	b. Force Comm		
	FBM Control (including TACAMO)	161.8	202.1
	Titan Comm	4.9	5.1
	Minuteman Comm	11.7	14.1
	ELF Comm	.5	.9
	GRYPHON	21.6	26.9
	HYDRUS	1.0	.9
		(201.5)	(250.1)
	Total 133	636.8	707.2

Totals may not add due to rounding

* Includes all program elements except partials

DATE: 8 December 1980
DIRECTOR: Dr. Turner
ACT OFFICER: Dr. Hamilton

PROGRAM: (U) Satellite Data System (SDS)

DESCRIPTION: (S)

FUNDING:	81	82	FYDP	Total
(U) RDT&E	45.8	29.1		
Procurement	95.5	43.2		
O&M & Mil Pay	10.3	11.8		
Total	151.6	84.0		

MILESTONES:

(U) Program start	October 1971
1st launch	June 1976
2nd launch	August 1976
2 s/c IOC	October 1976
3rd launch, 3 s/c IOC	August 1978
Upgrade vehicle #6	September 1978
Build 5A similar to 5	May 1980
4th vehicle delivered	May 1980
5th vehicle delivered	October 1980

SECRET

DATE: 3 December 1980
DIRECTOR: Dr. Turner
ACT OFFICER: N/A

PROGRAM: SSBN Communications

DESCRIPTION: (S)/

FUNDING (EC-X only): ($ - Millions)	81	82	FYDP	Total
(U) RDT&E	-	31.6		
(U) Procurement	-	45.9		
(U) MILCON	-	3.3		
(U) MILPERS	-	0		
(U) O&M	-	-		

(Cost data are extracted from CNO Executive Board Briefing. Cost offsets can be made by deleting some EC-130Q replacement airframes. At present, the EC-X is funded only in the Enhanced Band).

MILESTONES:

(U) MENS due in early 1981.
(U) DSARC I due in mid-1981
(U) If a start on EC-X is made in FY 82, first production delivery would be in FY 86, and the last (15th) aircraft delivery would be in FY 89.

ISSUES:

DECISIONS:

(U) Approval of SSBN Communications MENS.
(U) DSARC I (development) decision -- selection of promising alternative methods of assuring survivable, enduring SSBN communications.

~~SECRET~~

DATE: 5 December 1980
DIRECTOR: Dr. Turner
ACT OFFICER: Dr. Hamilton

PROGRAM: SACDIN

DESCRIPTION: (U) A digital communications network to provide secure transmission of hard-copy data (status of forces, Emergency Action Messages) between CINCSAC, subordinate SIOP execution commanders, and SAC SIOP forces. While SACDIN is not survivable, it is an integral part of the SAC Command and Control System, and replaces an obsolete network which is becoming increasingly difficult to maintain in an operationally acceptable status. SACDIN, as planned, will draw on automatic message routing and other features of the AUTODIN II system.

FUNDING:	81	82	FYDP	Total
RDT&E	23.3	30.0		
Procurement	8.4	69.5		
O&M and MIL PAY	54.6	60.2		
	86.3	159.7		

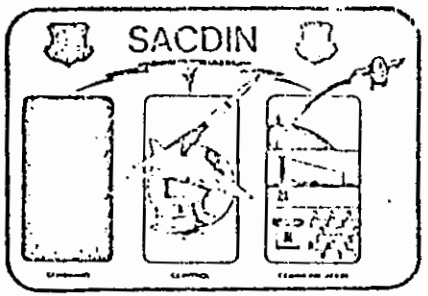
MILESTONES:	
Congressional approval of restructured program	June 1978
Start development	July 1978
Complete functional prototype	Jan 1981
AF acquisition reviews	Dec 1981
Field qualifications checkout	June 1983
AFSARC III	Jan/Mar 1983
Start full scale implementation	Mar 1983
Full Operational Capability	Jan 1985

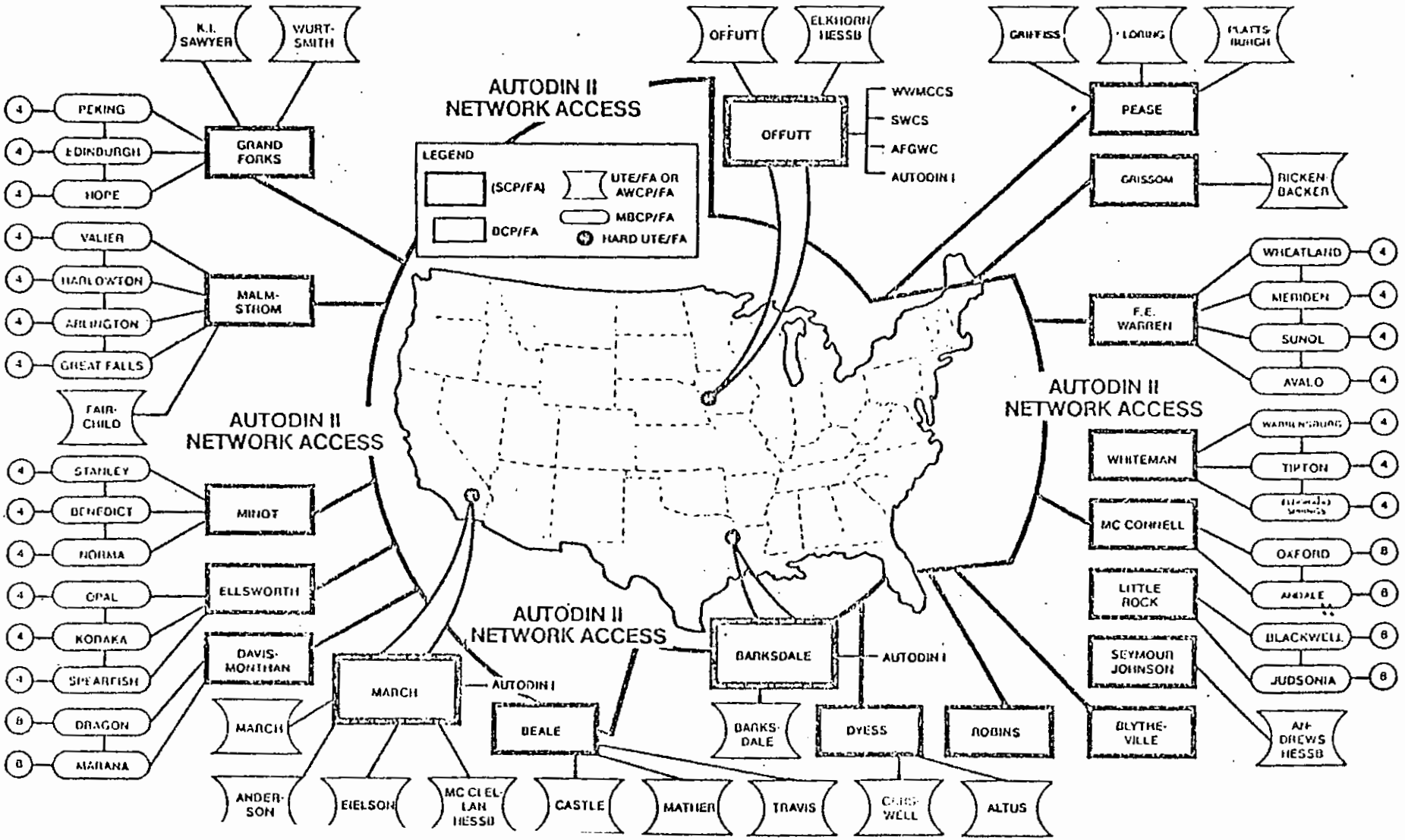
ISSUES:

DECISIONS:

- Go ahead on full production in early 1983.
- Program adjustment if ceiling is broken (e.g., because AUTODIN II is delayed) and Congressional relief cannot be obtained.

SACDIN NETWORK





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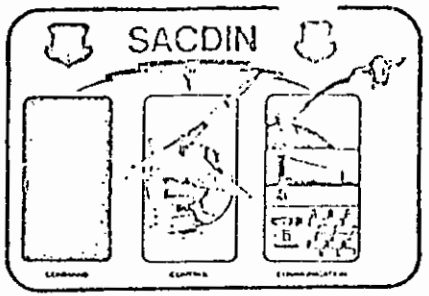
STATISTICS



- **Locations**
  - 154 Nuclear Survivable (Missile Launch Control Centers)
  - 39 Non-Survivable (HQ-Airfields)
  - 1 Training
- **Equipment – State-of-the-Art – Average 2 Racks Per Location**
  - 362 Racks
  - 2011 Chassis
- **Interconnecting – Extensive – Used By, But Not Part of, SACDIN**
- **Communications**
  - 200,000 Miles (AUTOVON, AUTODIN & HICS)
- **System Interface – 12 Communication Interfaces**
- **System Speed – Less Than 15 Sec. for EAM Delivery**

Delivery Time for Emergency Action Message (EAM) is Measured From *Transmit Enable* to *Complete Printout* From Any Point in Network to Any or All Points in Network

MISSION AREA 134: Strategic Information Systems

DESCRIPTION: This mission area includes those capabilities required for information processing, storage, retrieval, and display for strategic command and control processes. The major program in this mission area is the World Wide Military Command and Control System (WWMCCS) Automated Data Processing (ADP). There are two aspects to this program: continued operation and maintenance of the 35 existing WWMCCS ADP facilities at 26 worldwide locations, and the modernization of these ADP facilities under a program called the WWMCCS Information System (WIS). The existing WWMCCS ADP facilities consist primarily of large Honeywell computers purchased initially in the early 70s which will require replacement by the mid to late 1980s. The bulk of FY 82-84 funds in this mission area are to operate and maintain the existing facilities without significant enhancement.

The WIS modernization program will provide the replacement capability for these systems starting in the 1986 time frame. The WIS modernization activities are expected to fall into two general categories: (1) those hardware and software efforts common to a number of sites, and (2) the more specialized capabilities common to several sites are termed "operational families" of which four have been identified to date: (1) Resource and Unit Monitoring, (2) Conventional Planning and Execution, (3) Nuclear Planning and Execution and (4) Tactical Warning and Space Defense. The development of these families involving standard centrally-developed hardware and software packages, will be the responsibility of a to be established WWMCCS Program Management Office. Service and site unique efforts would remain as at present the responsibility of the Services.

The WWMCCS ADP program includes ADP equipment used in the two major missile warning systems--the NORAD Missile Warning and Space Surveillance System and the Command Center Processing and Display System. These systems provide the capability to CINCNORAD needed to exercise command and control over assigned forces and to provide the National Command Authority and the Strategic Air Command with essential and time-critical decisionmaking information in support of the tactical warning mission. These systems are undergoing a series of upgrade and modernization actions which will improve their reliability and effectiveness.

The WWMCCS Intercomputer Network (WIN) is a data communications network utilizing the ARPA network technology which links the present Top Secret WWMCCS computers. WIN is providing the inter computer connectivity between WWMCCS systems and sites that is vital to the success of command and control efforts in support of the Rapid Deployment Force and other similar activities.

The AUTODIN II Program will provide a DoD wide data communications service for all levels of DoD user from the highest levels of intelligence data to the unclassified logistics and support functions. AUTODIN II is included here because of its importance to the interconnection of all C^3I information systems.

List of Major Programs

-- World Wide Military Communications Command System (WWMCCS) Automated Data Processing (ADP)

-- Missile Warning ADP Systems

-- World Wide Military Communications Command System Intercomputer Network (WIN)

-- AUTODIN II Program (not in M.A. 134)

List of Major Plans

WWMCCS ADP	- OJCS MJCS 275-79, WWMCCS ADP Concept of Operations for post-1985.
	- GAO Report, The WWMCCS--Major Changes Needed in Its ADP Management and Direction (LCD 80-22 and 22A)
	- WIS Progress Report to Congress (draft by DCA/WSE, 18 Nov 80)
	- Planning for the Modernization of the WWMCCS Information System, Jan 1980 (prepared by DCA/WSE).
WIN	- OJCS WIND M-06-79, Overview of the WIN, 6 Nov 79
AUTODIN II	- Management Engineering Plan for AUTODIN II Phase I, 10 Mar 77
	- Defense Audit Service Report on the Review of AUTODIN II (No. 81-005) 6 Oct 80
MISSILE WARNING ADP SYSTEMS	- USAF Report, Special Management Review of USAF Support to the Tactical Warning/Attack Assessment System, 3 Jul-2 Sep 80, 8 Oct 1980.
	- Report of Senator Gary Hart and Senator Barry Goldwater to the Committee on Armed Services, U. S. Senate, "Recent False Alerts from the Nation's Missile Attack Warning System, 9 Oct 1980.

List of Major Programs

-- World Wide Military Communications Command System (WWMCCS) Automated Data Processing (ADP)

-- Missile Warning ADP Systems

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-- AUTODIN II Program (not in M.A. 134)

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List of Major Actions

	PROGRAM	DECISIONS
Prior to 20 Jan 81	WWMCCS Intercomputer Network (WIN) Upgrade	Approve system reliability improvements
	WWMCCS Information System (WIS) Modernization	Report to Congress Jan 81.- Select WIS management structure
	Computer Security Evaluation Center	Approve NSA proposal to establish Center at NSA

List of Major Actions

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	WWMCCS Information System (WIS) Modernization	Report to Congress Jan 81 - Select WIS management structure
	Computer Security Evaluation Center	Approve NSA proposal to establish Center at NSA

BASIC LEVEL $M C^3I DOD BUDGET REPORT -/27/80

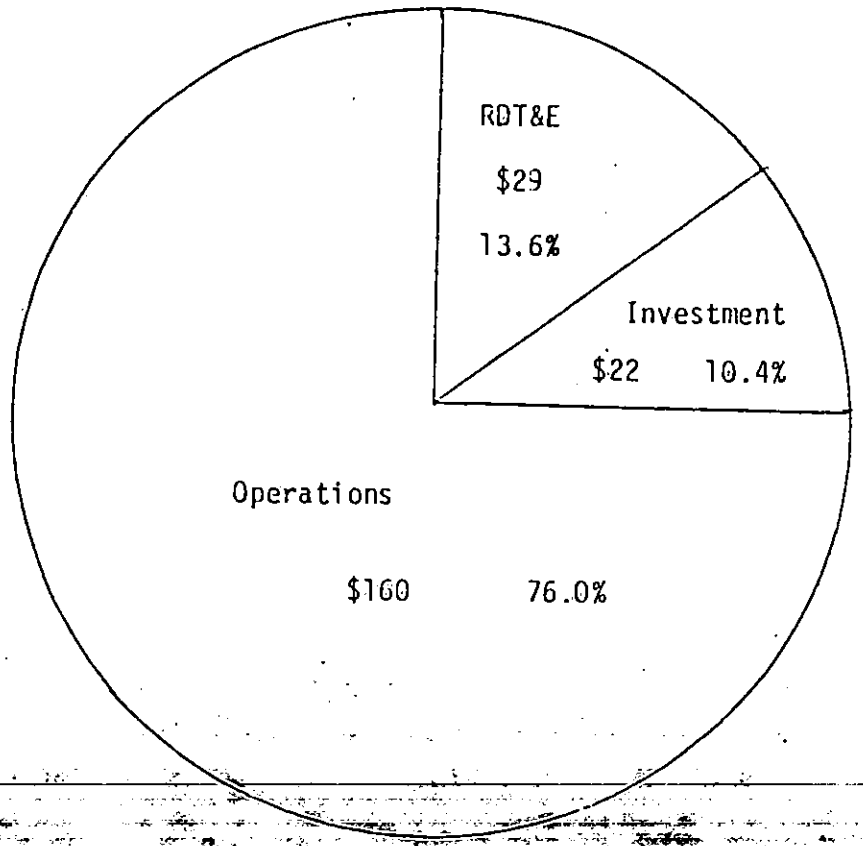
	81	82	83	84	85	86
RDT&E						
WWMCCS ADP Missile Warning	16.6	22.974				
WWMCCS ADP Service Support	4.0	-				
WWMCCS ADP Joint Command Support	7.9	12.764				
TOTAL	28.5	35.738				
PROCUREMENT						
WWMCCS ADP Missile Warning	3.7	9.326				
WWMCCS ADP Service Support	9.6	8.303				
WWMCCS ADP Joint Command Support	8.5	4.928				
TOTAL	21.8	22.557				
O&M & MIL PAY						
WWMCCS ADP Missile Warning	64.1	69.487				
WWMCCS ADP Service Support	35.3	37.425				
WWMCCS ADP Joint Command Support	60.2	62.125				
TOTAL	159.6	169.037				

VT

MISSION AREA 134

STRATEGIC INFORMATION SYSTEMS

FY 81 Budget Request - $ 210M
($ Millions)



Source: Sep 80 EYDP
Does not include NFIP nor partial program elements

CONFIDENTIAL

OASD(C3I)
C3 Resources
5 Dec 80

Strategic Information Systems Mission Area 134

Funding Summary*

		($ Millions) FY 1981	FY 1982
134	WWMCCS-ADP SAC	19.0	25.1
	WWMCCS-ADP NORAD/ADCOM	16.9	21.6
	NORAD COC	43.0	58.2
	Cmd Ctr Process/Display	4.1	4.7
	WWMCCS ADP-AABNCP	7.3	-
	WWMCCS ADP JTSA	18.5	32.5
	WWMCCS ADP NMCS	38.3	39.5
	WWMCCS ADP	40.0	50.9
	WWMCCS Info Sys	-	6.4
	Mgmt Hqs - WWMCCS ADP	22.8	22.3
	WWMCCS ADP-USMC	.1	.1
	TOTAL 134	209.9	261.3

Totals may not add due to rounding

* Includes all program elements except partials

CONFIDENTIAL

DATE 6 December 1980

PROGRAM (Title)

DIRECTOR Mr. Stephen T. Walker

WWMCCS Automatic Data Processing (ADP)

ACTION OFFICER LtCol Lane, Mr. Sgro

DESCRIPTION: This program includes all resources (R&D, Procurement, and operations and maintenance) directly associated with the current WWMCCS ADP and the modernization of that ADP in an effort called the WWMCCS Information System (WIS). Included is the support provided to the National Military Command System (NMCS), the Strategic Air Command (SAC), the Alternate Airborne National Command Post (AABNCP), the North American Air Defense Command (NORAD/ADCOM), the Unified and Specified commands, the component commands and the Service Headquarters. (P.E. 11310F; 12310F; 12311F; 12436F; 32010F; 32017K; 32018K; 32019K; 33151A, F, H, N; 33152K; 33298A, N; 91119M)

FUNDING ($M)	81	82	FYDP	Total
Operations and Maintenance of Existing ADP Facilities				
RDT&E	28.137	19.135		
PROCUREMENT	26.267	22.557		
O&M & MIL PAY	138.997	168.437		
WIS Modernization				
RDT&E	-	16.6		
PROCUREMENT	-	-		
O&M & MIL PAY	-	.5		

MILESTONES: The operation and maintance of the current WWMCCS ADP is a continuous maintenance and minor enhancement program for the existing set of facilities. The WIS Modernization effort will present alternatives for modernization to the WWMCCS Council by December 1981. Depending upon the alternatives selected, field installation should begin during FY 86.

ISSUES:

Congressional: The WWMCCS ADP program has come under repeated Congressional and GAO criticism as not adequately performing and as requiring replacement. The HAC and the Conference Committee reports on the FY 81 appropriations bill requested submittal of a WIS Modernization Progress Report in January 1981. This report is in circulation for comment at this time.

PROGRAM (Title)

WWMCCS Automatic Data Processing (ADP)

ISSUES: (Continued)

PROGRAM (Title) DIRECTOR Mr. Stephen [illegible]

WWMCCS Intercomputer Network (WIN) ACTION OFFICER LtCol John J. Lane

DESCRIPTION: The WIN is the communications medium for information interchange between the WWMCCS computers. It supports the JCS, the Unified and Specified commands and the Service Headquarters in planning, force monitoring, and crisis management actions. The WIN had its genesis as an experimental network to evaluate networking concepts in an operational environment. It was placed in operational service as an interim system pending its replacement by AUTODIN II. (P.E. 32107K)

FUNDING ($M)	81	82	FYDP	Total
RDT&E	5.200	3.674		
PROCUREMENT				
O&M & MIL PAY	.700	.700		

MILESTONES: The WIN is undergoing continuous enhancement in software, hardware, and procedures. Recent performance during Exercise Proud Spirit showed very substantial improvement over previous exercises.

ISSUES:

Congressional: The GAO has furnished Congress with reports describing the WIN as beset with reliability problems.

Technical:

ACTIONS:

In light of the continuing delays in the AUTODIN II network, the following steps are now underway to alleviate these problems.

1. Upgrade of the communications subnetwork to state-of-the-art hardware and software currently in use on the ARPA network, COINS and other networks.

2. Installation of Network Front End processors between the WWMCCS computers and WIN to improve network interface effectiveness and reduce the overhead of the network on the WWMCCS computers.

3. Restructure WIN operation and maintenance as a DCA Operations Center function rather than the present widely distributed management and control procedures.

4. Install a modern Network Operations Center to allow effective management of network resources.

5. Refine and improve WWMCCS computer application software and procedures for making effective use of the WIN.

All above steps are under review or in progress.

DECISIONS Jan - June 81:

- o Approve system reliability improvements (prior to 20 Jan 81)

PROGRAM (Title) DIRECTOR: Mr. Stephen T. Walker

AUTODIN II ACTION OFFICER: LtCol John J. Lar

DESCRIPTION: The AUTODIN II program will provide a general purpose data communication packet switched network for integrating the teleprocessing and record communications needs of DoD into a single digital backbone transmission system. As a major subsystem of the DCS, AUTODIN II will provide data service at all levels of security from unclassified to Top Secret, Special Intelligence. (P.E. 33126)

FUNDING ($M)	81	82	FYDP	Total
RDT&E				
PROCUREMENT				
O&M	10.339	22.554		

(This system will be leased from Western Union)

MILESTONES: Installation of equipment at the three initial switching centers and the System Testing Facility has been completed. Individual site testing has been completed with deficiencies noted to be cleared. System testing (projected to begin in January following repeated delays) and security validation testing are estimated to require a minimum of two months. Projected IOC if tests are successfully completed is mid March 1981.

ISSUES:

AUTODIN II:

Technical:

DECISIONS Jan - June 81:

DATE 9 December 1980

PROGRAM (TITLE) DIRECTOR Mr. Stephen T. Walker

Missile Warning ADP Systems ACTION OFFICER LtCol John J. Lane

DESCRIPTION: The NORAD Missile Warning System allows CINCNORAD to provide the National Command Authorities and the Strategic Air Command with essential and time-critical decisionmaking information in support of the tactical warning mission.

FUNDING: ($M)	81	82	FYDP	TOTAL
RDT&E	16.6	22.9		
PROCUREMENT	3.7	9.3		
O&M & MIL PAY	64.1	69.4		

NOTE: Funding for these systems is also included in the totals provided for the WWMCCS ADP program.

MILESTONES: There are a number of near-term improvements to the system referenced below that will be completed by late FY 1982; the longer-term improvements will be implemented on a phased basis between 1986 and 1990.

ISSUES:

Recently there have been several incidents involving false missile alerts. On 9 Nov 1979 a portion of a recorded test scenario was erroneously transmitted outside NORAD Headquarters to the NMCC ANMCC and SAC. On 3 and 6 June a failure in an integrated circuit on a communication multiplexor caused false missile warning messages to be transmitted to the same locations.

Extensive investigation of these incidents has led to the following near-term corrective measures.

1. An Off-Site Test Facility has been established to provide a development and test capability which will not require use of the operational system.

2. Strict procedures have been established to prevent the accidental transmission of test data from the operational system.

3. The suspect board in the June incidents has been replaced and accelerated maintenance procedures have been established.

4. A message validity check (cyclic redundancy check) has been added to all outgoing NORAD messages to detect any errors introduced from the time of message generation until its use at the NMCC, ANMCC AND SAC.

Funding ($M)	FY 81	FY 82	FYDP
RDT&E	0.9	1.8	
Proc*	2.9	4.8	
O&M*	136.8	145.0	

*AUTOVON only data as DSN implementation data has not been developed.

Milestones

DSN Concept Plan Approved	Spring 81
Upgrade Fairview AUTOVON Switch	CY 81
Activate Two Alaskan AUTOVON Switches	CY 82

C. Theater and Tactical (Mission Area 250)

The Theater and Tactical Command and Control area is made up of an extremely broad collection of C^3I systems and equipment which are essential to the execution of a modern, integrated, mobile and effective fighting force. It is made up of two major segments, theater and tactical C^3I. The Theater C^3I mission is to provide a link from the National Command Authority (NCA) and those resources it has available, both national and strategic, to the tactical commander (typically at the Army Corps, Air Force Wing, and Navy Battle Group level). Our theater-level C^3I initiatives emphasize survivability of essential command and control functions with concurrent efforts aimed at improving our capabilities for participation in multinational operations in support of alliance commitments. Major emphasis has recently been placed in three areas: (1) improvements to our Joint Crisis Management Capability; (2) improvements and upgrade of our Theater Nuclear Forces (TNF) C^3; (3) C^3I support for the Rapid Deployment Force. Each of these programs are heavily oriented toward providing survivable, jam resistant, secure communications to insure the rapid, accurate interchange of critical command information under highly stressed conditions. Improvements are also being sought in handling the expected large volume of traffic through the introduction of automated aids.

The principal objectives of these programs is to provide tactical commanders of all services, at all echelons, with the right information, at the right time to help him make the right decision to win the battle and to disrupt the enemy in their ability to command and control. Because of the increased demands of the modern battlefield for timely, accurate information, emphasis is being placed on automation and data distribution. Tactical systems which are mobile/transportable, rugged and survivable, are being developed for all services. We are stressing improved interoperability between the Services and with the forces of our allies.

In tactical communications, a major effort is being devoted to achieve security and to improve jam-resistance for all battlefield radios. In the tac recce area a major objective is to select a balanced mix of SIGINT, ELINT, COMINT and imagery sensor systems that will compliment each other in accuracy and distance comparable to newly introduced weapon systems. Development of joint tactical fusion system to correlate the high volume outputs of this sensor mix is being initiated as a follow-on to the BETA test bed program.

Theater and tactical C^3I systems obviously serve a variety of functions at the various echelons, but in general, all must have the flexibility to cope with evolving threats and be consistent with planned force composition and employment. Among the key objectives which we prescribe for these systems are the following:

- Precise and efficient control of forces at all levels of command.
- Heightened survivability in both a conventional and nuclear environment.
- Jam-resistant, secure communications.
- Interoperability with other forces and commands (unified, specified, joint, NATO and other allies).

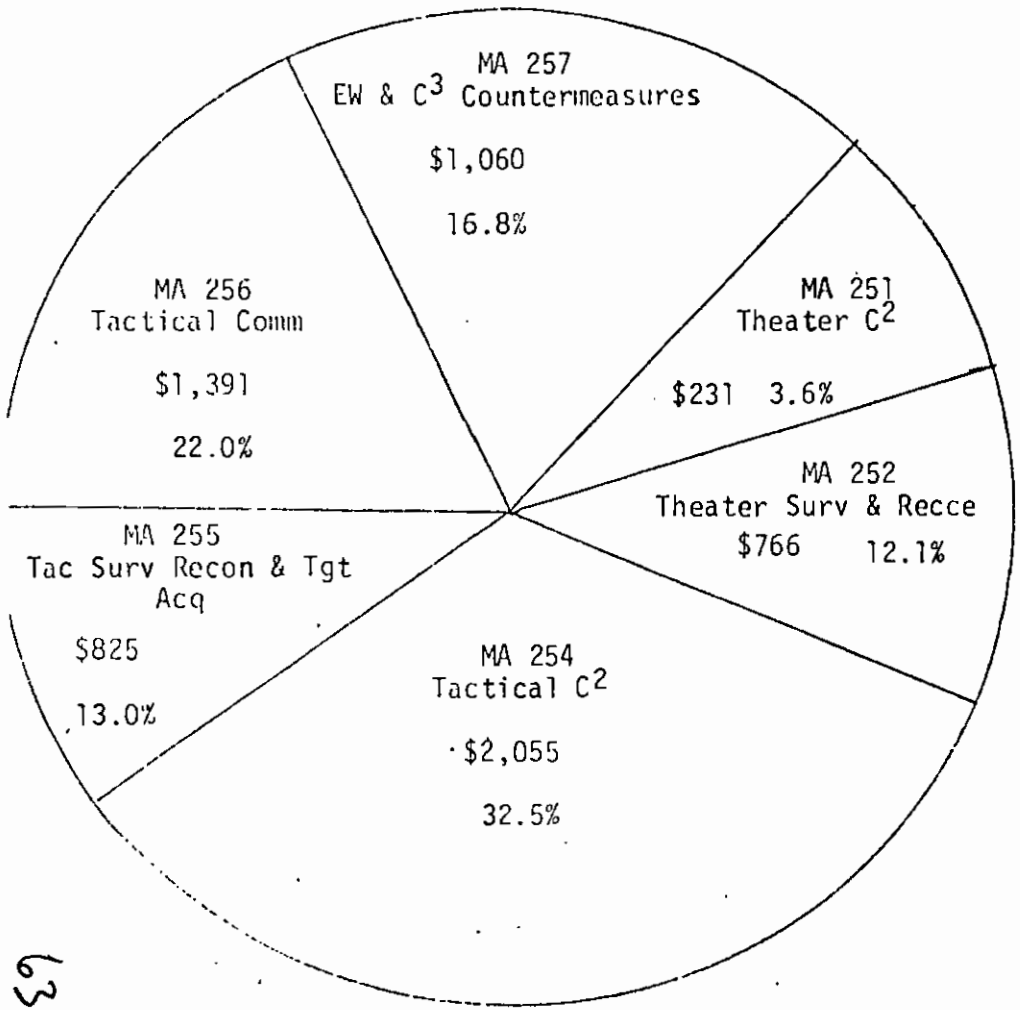
- Improved endurance in all stressed scenarios.
- Maximum use of existing systems/equipments where possible.
- Evolutionary vice revolutionary system development philosophy.
- Technical capability for rapid, high volume, secure transfer of data.
- Reconstruction capability.
- Standardization to provide for ease of maintenance and resupply.

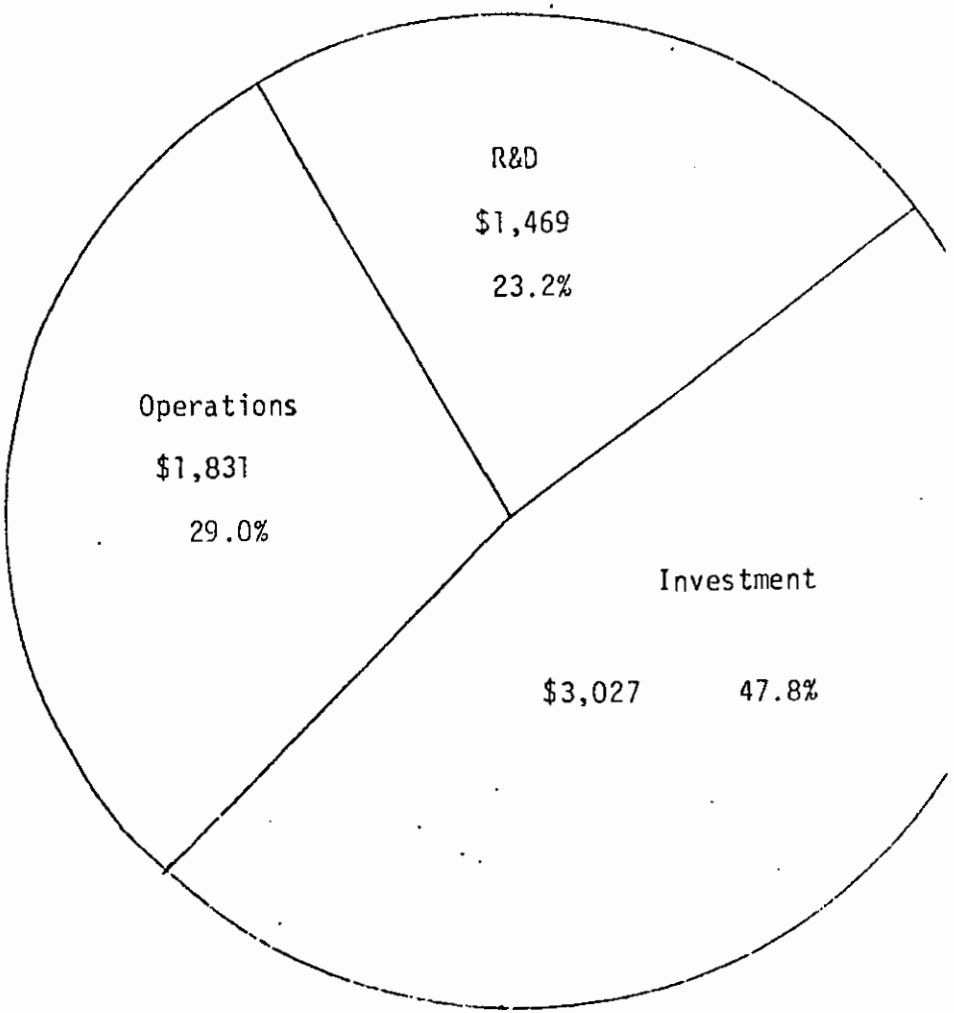
Over the past several years, Theater and Tactical C^3I programs have been receiving increased management attention and priority.

MISSION AREA 250

THEATER AND TACTICAL C^3I

FY 81 Budget Request - $6,327M
($ Millions)





63

Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

OASD(C^3I)
C^3 Resources

Mission Area 251 Overview (Theater C^2)

Narrative Description. Global national security interests require rapidly deployable means for Command and Control (C^2) if the U. S. is to achieve effective command of a crisis without unnecessary escalation to a higher level of conflict. In addition, survivability of C^2 functions is as important at the theater level as at the strategic level. Dissemination of timely and accurate intelligence nuclear weapons release and other critical information to theater force commanders along with adequate warning is essential to assure force survivability against surprise attack and to enhance readiness so that U. S. forces can defend effectively against any forces that it faces.

The Theater Command and Control mission area addresses capabilities required to command and control Multi-Service and Multi-National forces, including theater nuclear forces. Theater C^2 Systems are generally taken to be those capabilities that are either unique to a theater of operations or are permanently embedded in it. There are problems unique to each theater which reflect considerations in geography, political relationships, the threat and economics. In Europe, the predominant factors are the NATO alliance and the WARSAW PACT threat. Thus, close planning and coordination with NATO is required to deter war in that area.

It is also clear that if a war is fought in Europe, it will be a coalition war fought within the NATO framework rather than a U. S. only war. This view has major ramifications on U. S. C^2 systems, since it is obvious that a wartime C^2 system for U. S. troops alone will not be sufficient. As effective system is required which encompasses the NATO command structure, that allows commanders to command multi-national troops and that interfaces with the tactical systems of the allied nations.

On the other hand, in the Pacific Command (PACOM), the vast area involved creates unique crisis management C^2 problems. Survivability of in-place C^3 systems is also critical in PACOM, particularly in Korea. Hence, U. S. objectives there are to improve the survivability of command centers and their communications links and to achieve compatibility and interoperability with the C^3 systems serving the allied forces.

The U.S. has recognized both the common and unique C^2 problems that exist in the various theaters and is moving to resolve them. Airborne (EC-135) Command post (ABNCP) facilities, manpower and operating resources are provided to CINCEUR, CINCPAC and CINCLANT in order to assure that they are responsive to the National Command Authority (NCA) and can maintain positive control of the Single Integrated Operational Plan (SIOP) forces during all phases of hostilities up to and including general nuclear war. C^3 upgrades to the ABNCP's include improved secure voice capability and addition of an AFSATCOM airborne terminal.

Thus the Joint Crisis Management Capability program is underway to

provide CINCEUR, CINCPAC and CINCRED a range of rapidly-deployable facilties and communications for crisis management and joint task force applications. The capabilities being developed range from a minimum, easily transporatable, communications package through a rapidly responsive set of airborne and ground deployable C^3 modules for a moderate size force to a C3 package to augment a large joint task force. These C^3 capabilities would provide the commander the facilities and means to gather and relay crisis assessment information to the appropriate area commander or the NCA and to exercise command and control of subordinate elements.

In the case of theater nuclear forces (TNF), C^3 systems currently exist but are being upgraded and replaced in an evolutionary manner. More reliable, higher power radio equipment is being provided U. S. custodial units and terrestrial links are being added and provided secure record capability. A major TNF C^3 system improvement plan for Europe has just been completed and will be the basis for future budget actions.

Other areas in which theater level C^2 improvement are being made include a program to provide a fully interoperable, automated C^2 system for the USAF operated Allied Tactical Operations Center in Germany, through which assigned NATO Air Forces can be directed and controlled. In this program the USAF will adapt and procure German developed equipment. The Air Force also has underway project OASIS in USAFE. OASIS will automate fuctions in the Tactical Fusion Center (BOERFINK BUNKER) to provide the CINC a complete, integrated assessment of the air and ground situation. Hardware and software upgrades are underway to improve recent integration and dissemination of information from special intelligence, reconnaissance and tactical and operation systems.

The Navy Worldwide Command and Control (C^2) System is also being upgraded under a 5-year plan to assure coordination and integration of shore command centers and their systems for integration of fleet operational, intelligence logistics and communications.

Finally, in an effort to allow the various CINCs to make near term C^2 enhancements to their own systems, a program has been initiated in FY 81 to provide small amounts of funds directly to them. With JCS as focal point, it is expected that this low cost program will provide a high readiness payoff.

Budget Profile:

	FY 81	FY 82	FYDP (82-86)
RDT&E	19.2	28.6	129.9
PROCUREMENT	116.4	110.7	349.2
O&M	94.9	110.7	623.5

Major Programs:

- Joint Crisis Management Capability (JCMC)
- RDJTF

NOTE: Summary Sheets for these programs are attached.

Major Plans:

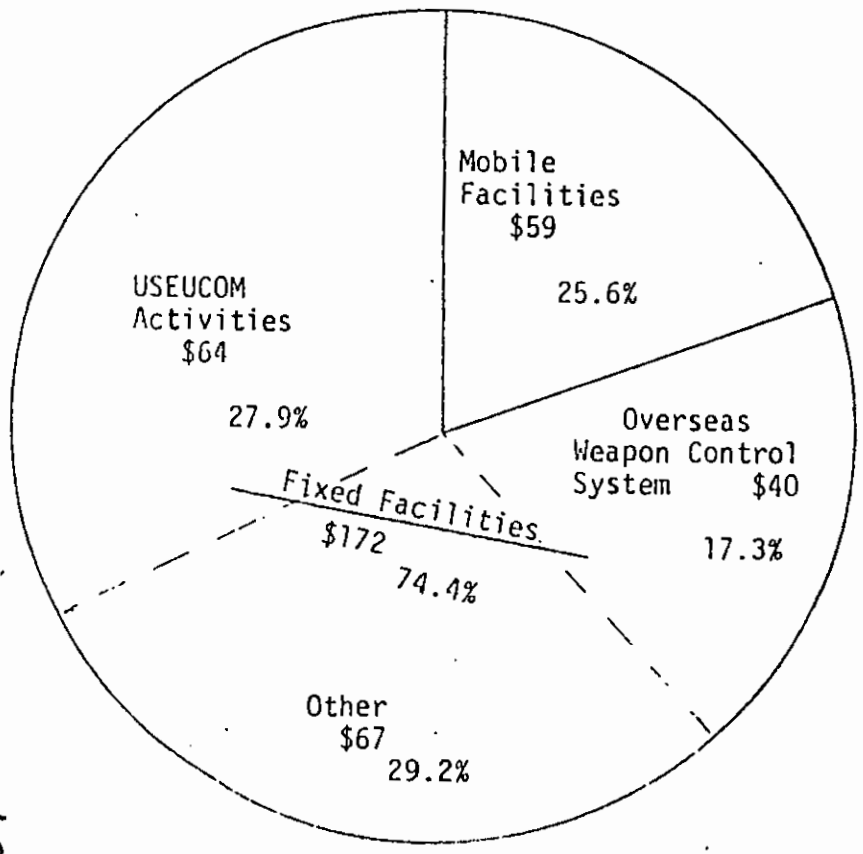
- Army, Command and Control Master Plan.
- Navy, Command and Control Plan.
- Air Force, Tactical Air Forces Integrated Information Systems Plan.
- DoD Long Range Theater/Tactical C^3I Resources Plan.
- European Theater Nuclear Weapons C^3 System Improvement Plan.
- Theater Nuclear Force C^3I Architecture.
- Telecommunications Plan for Improvements in Korea (TPICK)

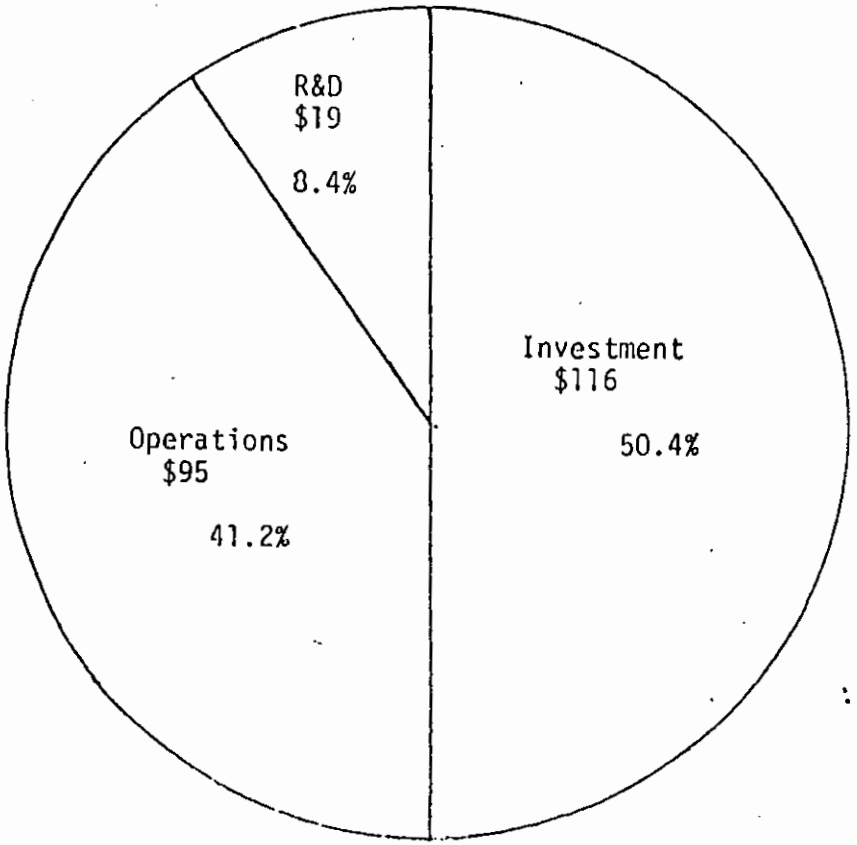
UNCLASSIFIED

Mission Area 251

Theater C^2

FY 81 Budget Request - $231M
($ Millions)





Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

CONFIDENTIAL

OASD(C^3I)
C^3 Resources
5 Dec 80

Theater Command & Control Mission Area 251

Funding Summary*

	($ Million) FY 1981	FY 1982
251 a. Fixed Facilities		
USEUCOMM Activities	64.4	-
CINC Init.	-	12.0
Navy C^2	29.4	50.5
OAWCS	39.9	27.6
PAC C^2	2.4	2.8
USAFE C^2	11.2	18.8
EUCOM C^3 Sys	13.8	27.4
C^2 Sys	10.5	11.1
	(171.6)	(150.4)
b. Mobile Facilities		
ABNCP (CINCEUR)	14.8	16.1
ABNCP (CINCPAC)	12.3	14.0
ABNCP (CINCLANT)	10.7	12.4
NMCS-wide Spt Comm	21.1	57.3
	(59.1)	(99.8)
Total 251	230.7	250.2

Totals may not add due to rounding

* Includes all program elements except partials

CONFIDENTIAL

PROGRAM: Joint Crisis Management Capability (JCMC)

DESCRIPTION: This program is designed to provide the National Command Authority (NCA) and theater CINCs a ground and air transportable C3 facility which is capable of rapid worldwide deployment for use in crisis management situations and military contingency operations. At the present time CINCEUR and CINCPAC have a very limited capability to provide early on the scene crisis assessments to Washington. Facilities under JCS control are not sufficient to meet requirements, including those of the Rapid Deployment Joint Task Force (RDJTF). The JCMC program will provide four levels of crisis management capability. Level 1 will a minimum communications package consisting of a lightweight easily transportable satellite terminal which will provide secure communications in small crisis situations. Level 2 will be a rapidly responsive airborne capability to relay crisis situation assessment communications between the scene and appropriate area and national authorities. Level 3 will be as air and ground transportable C^3 capability for a moderate size joint force and Level 4 will be a C^3 package to augment the capability of a large crisis management force and assure its responsiveness to the NCA. All capability levels, except Level 4, are currently being implemented. OSD guidance on the Level 4 capability will be issued in 2QFY81.

FUNDING	FY 81	FY 82	FYDP	Total
RDT&E	2.8M	4.0M		
Procurement	14.6M	43.3M		
O&M & Mil Pay	2.0	2.0		

MILESTONES: Requirement validated by JCS, 15 Jan 79
OSD program guidance issued 14 May 1979
OSD implementation guidance issued on Level 2/4 capability, 29 Jul 80
- o Contract award 4QFY81
- o IOC 4QFY84
- O FOC QFY85

OSD implementation guidance issued on Level 1 capability, 19 Nov 80
- o Contract award 1QFY82
- o IOC 4QFY82
- o FOC 1QFY84

OSD implementation issued on Level 4 capability, 2QFY81

ISSUES:

DECISIONS Jan - June 81:

January 1981: OSD must approve an acquisition plan for the Army to provide lightweight satellite terminals to meet the Level 1 capability.

ASD ☐
PDASD ☐
DASD J. Babcock
Director C. Hawkins

(U) Mission Area 252: Theater Surveillance and Reconnaissance

(U) The advent of long-range weapons (artillery, missiles and strike aircraft) in Soviet land, sea, and air forces requires detection, location, and classification of such forces at longer range. The excellent range-payload characteristics of our strike aircraft and the range and precision of ground-launched and sea-launched missiles can be fully exploited only if means are available to find and designate targets at long-range with a location accuracy consistent with weapon delivery capabilities and with a timeliness consistent with the dynamics of war. Theater surveillance and reconnaissance programs are aimed at fulfilling these needs.

(U) Surveillance and reconnaissance support for combat can be delineated based on four general objectives, i.e., allocation of uncommitted reserves, maneuver of forces, fire mission decisions, and fire control or targeting. Two of these objectives - allocation on uncommitted resources and concentration of forces - are primarily theater command responsibilities. To meet these objectives, theater commanders and their staffs must have organic intelligence, reconnaissance and surveillance systems and supporting analysis centers. These assets must also be complemented by information available from the National intelligence system. In preparation for hostilities, order-of-battle information on potential theaters of operations must be developed and maintained. This information is based upon the coordinated employment of all intelligence disciplines - signals intelligence, imagery intelligence, radar intelligence, acoustic intelligence and so on. This order-of-battle development, conducted in peacetime, is an essential input to combat operations and requires updating on a regular basis. Collecting the requisite data constitutes a major portion of the prehostilities tasking of theater and national collection and production resources. While the establishment and maintenance of these orders-of-battle is essential to peacetime force readiness, the character of such requirements changes dramatically with the onset of hostilities. Once a war starts, enemy forces will organize into combat nodes which differ greatly in many cases from peacetime organizations. Combat intelligence, reconnaissance and surveillance in the theater is different than order-of-battle analysis, and the collection and processing needs are different.

(S)

(U) Ocean surveillance needs are also extensive. They range from in-close warning to long-range (near worldwide) surveillance. For example, task force planning and defensive Anti-Submarine Warfare require the need to survey the status and location of ships and submarines at long ranges from deployed naval forces. In addition to its program for detection of enemy submarines, the Navy is initiating the development of an Integrated Tactical Surveillance System to consolidate multi-sensor information, process that information and provide targeting data to meet its over-the-horizon detection, location, classification and targeting requirements.

(U) The available and programmed mix of theater support systems is a partial consequence of perceived commitments to future combat situations. These range from all-out war in Europe and on the high seas, to combat support in Korea, and to contingency plans worldwide.

(U) The primary mission of programs in this Mission Area is to provide information to satisfy the requirements of theater commanders; and secondarily, to satisfy National intelligence requirements. To perform these missions, surveillance and reconnaissance operations are conducted in which air, land and sea vehicles obtain information on the disposition, composition and movement of enemy or potential enemy forces through the use of sensing systems. Objective capabilities are:

- An all-weather, 24 hour reconnaissance and surveillance capability, preferably with standoff systems.

- A capability to locate targets with sufficient accuracy to permit use of standoff weapons at considerable ranges.

- A responsive capability against time sensitive targets.

- Adequate numbers of systems.

- A capability to correlate information from diverse sources to produce usable intelligence for commanders in a timely manner.

- Survivability in a high-threat environment.

(C)

(U) The majority of the Program Elements in this Mission Area are managed by OASD(C^3I); specifically by the Tactical Intelligence Systems Directorate. There are, however, a significant number of Program Elements managed elsewhere in OUSDR&E; such as SURTASS, a Navy towed-array sound surveillance system for submarine detection; SOSUS, the fixed-array submarine detection system; and other Anti-Submarine Warfare systems. The common point of reference is that the dominant majority of Program Elements in the Mission Area are reported to Congress as Tactical Intelligence and Related Activities.

(C) A. Budget Profile:

(U) B. Representative Programs:

<u>Army</u>

Tactical Intelligence Units (CEWI)
TENCAP activities

Navy

Integrated Tactical Surveillance System
SURTASS
Undersea Surveillance System
CLASSIC WIZARD

Air Force

SR-71 Reconnaissance Aircraft
Tactical Air Intelligence System

(u) C. Major Plans, Studies, or Architectures.

- DoD Plan for Intelligence Support to Operational Commanders

- SENTINEL VECTOR

Mission Area 252

Theater Surveillance & Reconnaissance

FY 81 Budget Request -
($ Millions)

Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

OASD(C^3I)
C^3 Resources

Theater Surveillance & Reconnaissance Mission Area 252

Funding Summary*

	($ Millions) FY 1981	FY 1982
252 a. Land Target S&R		
SR-71 Squadrons		
Tac Surv Sys		
Tac Air Intell Sys		
Tac Surv Sys		
b. Surface Target Surveillance		
Fleet Intell Spt Activities		
OTH Targeting		
Aero-Ocean Surveillance		
c. Subsurface Target Surveillance		
U/S Surveillance System		
Ship Towed Array Surveillance		
Sub-Surv Eq Prog		
Surv. Towed Array Sensor		
d. Multifunction and Support		
Space Activities		
Special Dev		
C^2 Surv/Recon Support		
Total 252		

Totals may not add due to rounding

* Includes all program elements except partials

CONFIDENTIAL

DATE: 8 December 1980
DIRECTOR: Mr. Hawkins
ACT OFFICER: CAP. Fisher

Program: Integrated Tactical Surveillance System (ITSS) (U)
PEs 63763N
24572N (Partial PE)

Description: (U)

Funding (S)

Milestones: (S)

Issues: (S)

~~SECRET~~

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(U) Congress: On 3 December 1980 Navy Program Sponsors briefed a staff member of the House Permanent Select Committee on Intelligence on the ITSS concept, source of funds used, FY 81 reprogramming requirements and future plans. Additional briefings of congressional staff members are anticipated.

(S) Potential Problems

DECISIONS Jan - Jun 1981:

MENS Approval

Tactical C^2 (Mission Area 254)

Narrative Description. The Tactical Command and Control mission area contains fifty-two program elements that are divided between command and control systems for Land, Naval, and Air Forces, as well as identification, airborne early warning and multifunctional systems and interoperability programs. The systems in this mission area perform force level and maneuver control, early warning for air, ground and sea elements of aircraft and/or missile attack, air control, identification friend or foe and provide for the development of joint interoperability for tactical command and control systems. What is the situation today in Tactical C^2? Most of our operational tactical C^2 systems, except for Air Control/Air Defense operations are largely manual. They are deficient in timeliness, capacity and quality/accuracy of data exchanged; they are aging, with low reliability and they are expensive (man-power intensive) to operate; and in most cases, are not interoperable. Thus, we are making a major effort to upgrade the capability of all Services by increasing automation where practical, providing improved data distribution systems, accentuating standardization of hardware and software for tactical applications, promoting improvements to the acquisition process for C^2 systems, and strongly emphasizing and supporting the program to effect Joint Interoperability of Tactical Command and Control Systems (JINTACCS). We are designing our systems to be mobile and/or hardened where needed with maximum application of ECM resistant communications and distributed data bases for maximum survivability.

From a funding standpoint, the Tactical C^2 area is dominated by these programs for airborne target detection and tracking: the Navy's E2C HAWKEYE aircraft for over the ocean air target detection and tracking and the Air Force E3A Airborne Warning and Control System and the NATO Airborne Early Warning and Control (AEW&C) program. Together these systems account for $1.3 Billion or 65% of this sub-mission area's FY 81 funds. These are all airborne surveillance platforms and real time air battle command and control systems. The capabilities of the E2C and E3A to detect low flying aircraft over water and (especially the E3A) over land in a high electronic counter measures environment are exceptional. The deep-look capability of the E3A provides a surveillance and command and control capability over and beyond the battlefield heretofore known in modern air warfare. In addition, in the NATO arena, we and most of our allies are procuring the E3A and ancillary European ground facilities as the solution to the NATO airborne early warning requirement.

There are several other very important DoD initiatives in the tactical C^2 area that warrant discussion. The Joint Tactical Information Distribution System (JTIDS) is a key development and production program both in the U. S. and potentially within the NATO countries. It is a high capacity secure/anti-jam data link which will be the primary data distribution system for tactical use by

U. S. forces. Our NATO allies are also seriously considering JTIDS for their tactical data needs and it has been selected for adoption as the NATO airborne early warning aircraft's ECM Resistant Communications System. In addition, the JTIDS design is a strong candidate for the future NATO Multi-functional Information Distribution System now being defined by the NATO Tri-Service Group on Communications and Electronics equipment. Another initiative is the expansion of the Joint Interoperability for Tactical Command and Control Systems (JINTACCS) program to include the interface with other NATO Nations' systems. We are also cooperating with several other NATO nations to start development of the NATO Future Identification System. This will be a multi-faceted effort to include all aspects of the IFF problem; i.e., aircraft to aircraft, helicopter to tank, tank to tank, etc. This effort represents an opportunity for U. S. and other NATO Nations' industries to cooperate/team to meet common goals.

As noted above, we are also in the process of implementing new procedures for developing and putting these systems into the field. The new process emphasizes the evolutionary nature of C^2 systems and the need to let them be adapted in the field through close interaction with the user. We hope that application of this new process will accelerate the fielding of C^2 systems.

Budget Profile

	FY 81	FY 82	FYDP (82-86)
RDT&E	345.7	352.6	
PROCURE	1092.3	1057.6	
O&M	616.8	654.5	

Major Programs:

- E-3A AWACS
- NATO AEW&C
- IFF Developments
- JINTACCS
- PLRS
- PLRS/JTIDS Hybrid
- E-2C "Hawkeye"

NOTE: Program Summary Sheets for each program above are attached.

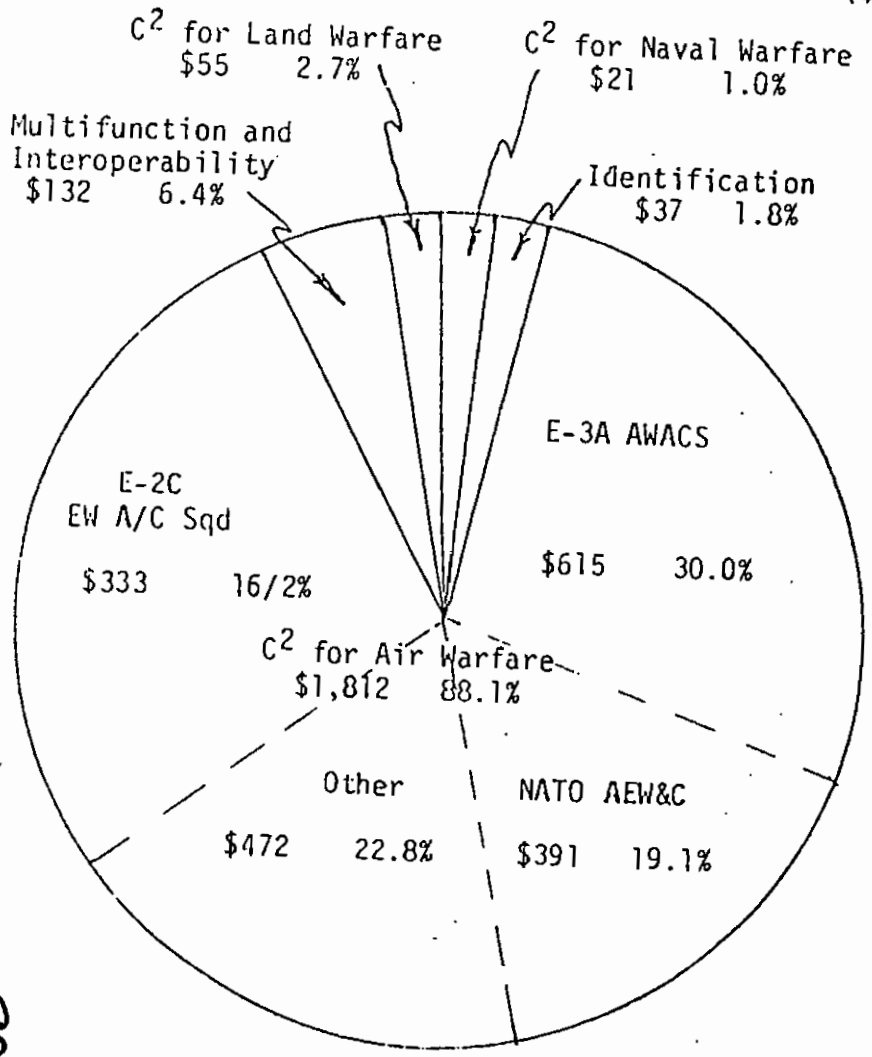
Major Plans:

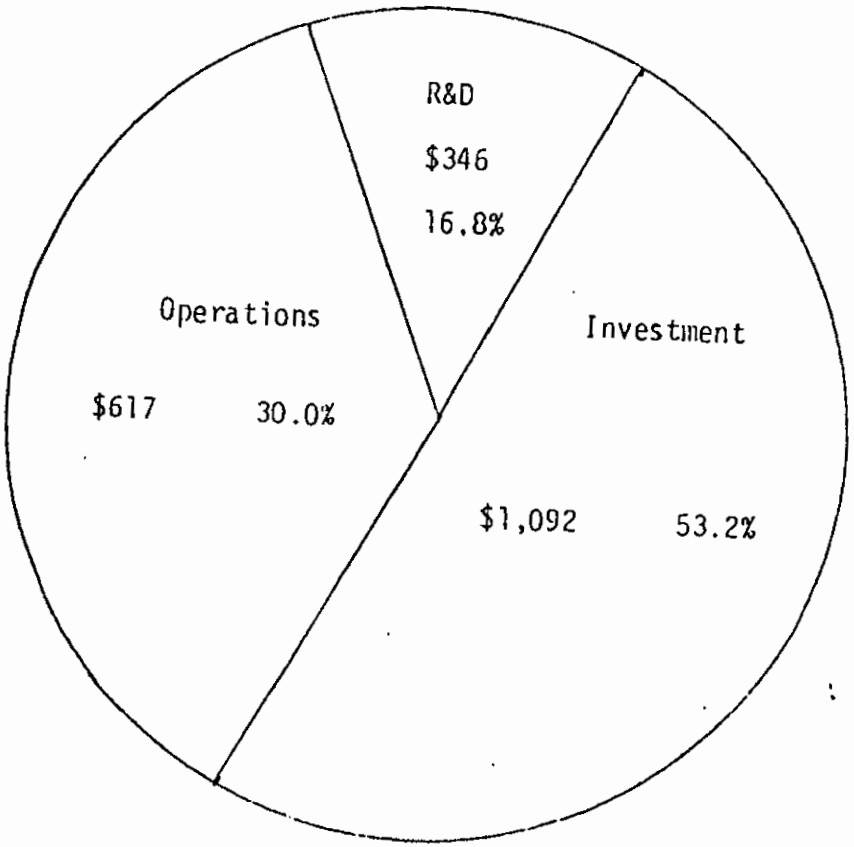
- Army, Army Command and Control Master Plan
- Navy, Navy C^2 Plan
- Air Force, Tactical Air Forces Integrated Information System Master Plan
- DoD, Long Range Theater/Tactical C^3I Resource Plan

MISSION AREA 254

TACTICAL C^2

FY 81 Budget Request - $2,055 M
($ Millions)





Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

[redacted]

OASD(C^3I)
C^3 Resources
5 Dec 80

Tactical Command & Control Mission Area 254

Funding Summary*

		($ Million) FY 1981	FY 1982
254	a. C^2 for Land Warfare		
	Ops C^2 Info Sys	16.8	15.3
	MC C^3 Sys	11.4	11.6
	C^2	26.4	16.0
		(54.5)	(42.9)
	b. C^2 for Naval Warfare		
	CV Tact Spt Ctr	4.4	4.7
	Combat Sys Integration	1.0	7.7
	C^2 Sys	9.0	9.0
	Combat Info Ctr Conversion	6.4	10.7
		(20.9)	(32.1)
	c. C^2 for Air Warfare		
	NATO AEW&C Program	391.7	375.1
	Early Warning A/C Squad (E-2C)	332.6	360.7
	Tac Air Cont Sys (Op Ctrs, Comm Sqdns)	290.4	216.9
	Tactical C^2 Sys	6.5	10.9
	Tactical Abn C^2 Sys (E-3A AEW&C)	615.5	648.1
	C^2 Warning (ANG)	10.7	10.8
	Early Warning A/C Squad	5.5	6.2
	Tactical Air Control Sys (ANG)	86.7	80.7
	Comm Units (ANG)	64.6	68.4
	Air Control	7.4	7.9
		(1811.6)	(1785.6)
	d. Identification		
	NATO Identification	-	3.5
	Adv Identification Techniques	1.0	3.9
	IFF Development	3.1	12.6
	Tactical Identification Sys	14.8	13.0
	AIMS/ATCRBS/MARK XII	3.2	4.6
	IFF Equipment	3.3	5.2
	A/C Identification Sys	11.1	10.3
	(Congress has reduced the Ident Program from $36.6 to $13.3)	(36.6)	(53.1)
	e. Multifunction & Interoperability		
	TAC Interoper/Info Spt Sys	1.2	6.2
	Adv Sys Integration Demo	-	6.9
	Tact Automation	14.2	22.8
	C^3 Adv Dev	9.2	15.4
	PCOTES	-	5.1
	Tact C^3 Sys Eng	12.2	11.8
	MC C^3 Sys	42.3	31.0
	Jt Interoper Tact C^2	48.9	52.1
	Battlefield Sys Integration	3.4	-
		(131.5)	(151.5)
	Total 254	(2055.0)	(2065.2)

Totals may not add due to rounding

- [illegible] all program elements except partials & [illegible]

CONFIDENTIAL

DATE: 8 December 1980
DIRECTOR: Mr. Cittadino
ACT OFFICER: Col Myer

PROGRAM: Joint Tactical Information Distribution System (JTIDS)

DESCRIPTION: JTIDS is a jam-resistant, secure, high-capacity digital information distribution system for the tactical combat environment. It is a joint-Service acquisition program with technology and equipment tailored to specific Service needs for the exchange of command and control, status and tactical information among all equipped forces. It employs time division multiple access (TDMA) and spread spectrum techniques to support data and voice links. Basic TDMA Class 1 command terminals are in production for U. S. and NATO AWACS and their ground C^2 interfaces, while Class 2 tactical (TDMA) terminals and advanced Distributed TDMA terminals are approaching full-scale development for tactical aircraft, combatant ships and ground-based platforms.

FUNDING:

	FY 81	FY 82	FYDP (82-86)
Air Force (RDT&E)	60.0	87.6	
Navy (RDT&E)	32.0	67.1	
Army (RDT&E)	3.1	16.1	

MILESTONES:

Production of Class 1 TDMA terminals (for AWACS, C^2):	Jul 80
IOC of Class 1 TDMA terminals (on U.S./NATO AWACS, C^2)	Mar 83
DSARC IIA (Full-scale development of Class 2 TDMA terminals)	Jan 81
DSARC IIB (Full-scale development of DTDMA terminals)	late-81
DSARC III (Production of tactical terminals)	mid-86

ISSUES:

Funding: Potentially high costs to equip all forces is of major concern to the Air Force. Cost reduction options will be part of development.

Operational:

DECISIONS: Jan-Jun 81.

DSARC IIA - Jan 81
DSARC IIB - late 81

DATE: 6 December 98
DIRECTOR: Mr. Cittadino
ACT OFFICER: Col. Myer

PROGRAM: TACS Communications

DESCRIPTION: Program provides military personnel, O&M funds and special interface equipment to support the Air Force's ground-based Tactical Air Control System (TACS)'s connectivity and restoration of communications for tactical air bases. All communications equipment and their units (3 groups, 1 squadron) are in mobile status for war or contingency missions. Procurement funds are primarily for 31 Adaptable Surface Interface Terminals (ASIT) that will provide mobile JTIDS interfaces between AWACS and the ground TACS. Future acquisitions will include digital communications terminals, manpack radios and additional TACS equipment.

FUNDING:	FY 81	FY 82	FYDP(82-86)
Procurement	3.9M	42.3M	
O&M and Mil Pay	48.7	49.3	

MILESTONES:
ASIT DT&E/IOT&E complete -- Sep 80
ASIT production decision -- Jul 81
(JTIDS equipment already in production)

ISSUES:

DATE: 5 December 1980
DIRECTOR: Mr. Cittadino
ACT OFFICER: Col Myer

PROGRAM: NATO AEW&C

DESCRIPTION: Program provides for U.S. share (42%) of procurement of 18 AWACS aircraft and European ground C^2 interface and basing facilities for NATO. AWACS aircraft will be in a jointly developed U.S. - NATO Standard configuration to assure cost/schedule efficiency, mission effectiveness and interoperability. Thirteen nations are participating in various aspects of the program, to include coproduction. U.S. funds and support are a National commitment. The force will be NATO-owned and operated.

FUNDING:

	FY 81	FY 82	FYDP(82-86)
Procurement	382.0M	358.2M	
O&M and Mil Pay	9.6	16.9	

MILESTONES:

U.S. offered AWACS to NATO	- Oct 73
NATO study and contract definition	- 74-78
Nations signed program acquisition MOU	- Dec 78
Unique development and production start	- Mar 79
First aircraft delivery to Europe (for integration)	- Feb 81
First NATO AWACS IOC	- Feb 82
Last NATO AWACS operational	- Jun 85

ISSUES:

DECISIONS:

PROGRAM: E-3A Airborne Warning and Control System (AWACS)

DESCRIPTION: The E-3A AWACS (Air Force "Sentry") is an airborne radar surveillance and communications system that provides early warning and command and control for both worldwide tactical and North American air defense missions. Its overland lookdown radar (mounted on a modified 707-type airframe) provides long-range deep-look monitoring of hostile airspace, while its onboard computing and other avionics support its communications and force management functions. AWACS's jet-speed mobility allows it to deploy worldwide in hours to meet contingency requirements and to function in either a patrol or station-keeping role. Modifications (in production) will meet both U.S. and NATO requirements for better sea surface surveillance, a larger computer, and the JTIDS ECM-resistant communication system. The U.S. program is 34 aircraft; of which 22 have been delivered.

FUNDING:

	FY 81	FY 82	FYDP (82-86)
RDT&E	66.2	53.8	
Procurement (incl mods)	284.3	294.3	
O&M & Mil Pay	174.2	130.1	

MILESTONES:

DSARC III	- Dec 75
Production Start	- Jun 76
IOC	- Mar 78

ISSUES:

Enhancements:

DECISIONS: (Jan-Jun 81)

None

SECRET

DATE: 5 December 1980
DIRECTOR: Mr. Cittadino
ACT OFFICER: Col Myer

PROGRAM: E-2C "Hawkeye"

DESCRIPTION: The E-2C is a Navy carrier-based airborne early warning aircraft to support battle group operations. It provides early warning of approaching hostile air and surface units, vectors interceptors, and supports other force management and communication functions. Improvements to the radar, computer and passive detection system are planned. Current allocation is 4 E-2Cs per carrier; 50 are operational and production continues at 6/year. A modest RTD&E program is being conducted in this program to improve the E-2C system. This program is based on an analysis of the projected ECM and target threat to the U. S. sea control forces. The R&D program commerced in 1979 to modify (1) antenna weapon replaceable assembly (WRA) for the APS-125 radar subsystem, (2) two of the ten memory WRAs on the OL-77/ASQ Computer Programmer, and (3) frequency coverage of the ALR-59 Passive Detection System (PDS).

FUNDING:	FY 81	FY 82	FYDP (82-86)
RDT&E	20.1	19.3	
PROCUREMENT	264.0	290.7	
O&M MIL PAY	48.5	50.7	

MILESTONES:
DSARC III - Jun 71
Production Start - FY 72
IOC - FY 74

ISSUES: None

DECISIONS: (Jan-Jun 81)

None.

DIRECTOR: Mr. Cittadino
ACT OFFICER: Mr. Cittadino

(U) PROGRAM: IFF Developments

(U) DESCRIPTION: (U) The functions of IFF are provided by a combination of three elements: (1) operational procedures; (2) a direct question and answer (Q&A) component, and (3) an indirect component. Introduction of new equipment must include consideration of present procedures and procedures in turn should be revised to accommodate the introduction of new equipment. Obtaining identity from a direct communication with an unknown target is the role of the direct Q&A component. It is widely recognized that a direct Q&A is an essential part of any IFF system. The indirect component which provides the means to achieve fusion of multiple inputs within the overall C^3 structure is also viewed as an important and necessary element of total system.

(S)

(U) Direct IFF Program: The Q&A development program contains three efforts: (1) the development of a next generation NATO interoperable system which conforms to the characteristics of STANAG 4162 (including hardware fabrication, and investigation of transition platform integration studies, cost effectiveness studies);(2) the investigation of L-Band alternatives to the draft STANAG 4162; and (3) development near-term improvement to the existing Mark XII for the interim time period.)

~~SECRET~~

DESCRIPTION (Continued):

(U) The US has committed to the completion and confirmation of STANAG 4162 as the basis for further development. It was determined that this document contained the performance parameters and was sufficiently definitive to scope the state of the art needed to proceed with the award of 3 concept definition contracts to industry. These contract awards were made in October 1980. The concept definition contracts will be followed in one year by the award of one or more prototype hardware development contracts.

(S)

(U) At the same time, there will be an investigation of various L-Band systems which will be considered as alternatives if the STANAG-compliant system is not cost-effective or has an unacceptable technical risk. The attractiveness of L-Band is based upon the existence of the Mark XII in that band and the very sizeable number of US weapon systems which include that system.

(U) Independent of our dedication to the development of a next generation of NATO interoperable systems, it is apparent that we will have to depend on our Mark XII capability through a transition period which will probably extend into the early to mid 1990s. Consequently, we continue to pursue the development of improvements to assure maximum utility of that system to meet the threat and to assure coexistence with the evolving civil environment.

(U) Indirect IFF Program: Although it has not received priority equal to the direct IFF development, an indirect IFF capability is a necessary adjunct to the overall system. Work is proceeding on the development of an architecture to imbed the indirect IFF function into the existing and emerging C^3 framework. Utilization of multiple sensor information which can be processed within the existing C^3 structure with both friendly and enemy identifications distributed to friendly weapon systems in near real time offers the potential of a high pay-off at relatively low cost. A test bed has been established to evolve an optimum architecture and demonstrate its effectiveness.

DESCRIPTION (Continued)

(iii) In addition, the US Air Force is working with the FRG on a European demonstration on indirect capabilities in 1981. This demonstration will incorporate inputs of sensors from both nations into a fusion algorithm contained in a CRC. Identification information will be distributed to various weapon systems locations. The US welcomes participation of other nations in this indirect IFF work. The US plans to study the French SINTACS/JTIDS approach and participate in a joint effort, if appropriate.

(iv) In October 1980, the Secretary of Defense approved the Charter establishing a Joint Program Manager for the U.S. Combat Identification System which effectively put the management of all U.S. IFF efforts under a single manager. The Air Force has been designated as lead service and has established the joint program office at Wright Patterson AFB.

FUNDING: (4)

	FY 81	FY 82	FYDP
RDT&E			
Army	2.9M	2.0M	
Navy	6.7M	6.8M	
Air Force	11.0M	6.3M	
Procurement			
Army	0	0	
Navy	0	0	
Air Force	0	0	

MILESTONES: (4)

- Confirm STANAG 4162 within NATO by January 1981.
- Complete investigations of alternatives for direct Q&A by early 1982.
- Award contracts for hardware development of direct Q&A in FY-82.
- Complete development/operational tests on Mark XII improvements in FY-82.

ISSUES: (5)

DECISIONS: (Jan-Jun 1981)

None

SECRET

DATE: 8 December 1980
DIRECTOR: Mr. Cittadino
ACT OFFICER: Mr. Cittadino

PROGRAM: Joint Interoperability of Tactical Command and Control Systems

DESCRIPTION: The JINTACCS program is an effort to achieve compatibility, interoperability, and enhance the operational effectivenss of selected operational facilities and supporting tactical command and control systems of the military Services and Agencies in joint operations. The JINTACCS Program is also responsible for assisting the OSD, OJCS, Services and Agencies in their efforts to achieve compatibility and interoperability of U. S. tactical command and control systems in NATO and for ensuring that these activities are in harmony with the joint U. S. interoperability efforts of the JINTACCS Program. The program's range of operations include:

- o developing the management structure and procedures for joint interoperability.
- o developing architecture and engineering implementation plans and documents that specify joint technical standards.
- o conducting tests to ensure compatibility and interoperability.
- o demonstrating operational effectiveness.
- o establishing interface design standards for JCS approval for joint tactical command and control systems.
- o supporting configuration management of the standards established.

In developing and administrating the JINTACCS Program, consideration has and is being given to NATO reporting systems, the JCS joint reporting structure and systems, quadripartite standardization agreements, NATO standardization agreements and the Services/ Agencies reporting systems. The Army performs as Executive Agent for this program and as the Service responsible for NATO affairs in tactical interoperability.

FUNDING:

RDT&E	FY 81	FY 82
Army	23.2M	33.4M
Navy	9.3M	7.1M
Air Force	13.0M	7.4M
Marine Corps	1.1M	1.3M

MILESTONES: Complete Intelligence operational effectiveness demonstration during SOLID SHIELD EXERCIES - SPRING 1981.
Develop and coordinate a U. S. Master Plan to interface with the developing NATO Interoperability Plan - FY 81.
Continue efforts to implement U. S. Master Plan - FY 82.
Plan and execute U.S./NATO Interoperability Testing FY 83-86.

ISSUES: - Service agreement on a message standard for JTIDS (TADIL J).
Lagging efforts on standards for automated systems.
Availability of FY 81 funding for cost growth incurred on test center development.

DECISIONS: Jan - Jun 82:

None.

DIRECTOR: Mr. Cittadino
ACT OFFICER: Mr. Cittadino

PROGRAM: Command and Control (PLRS)

DESCRIPTION: The Position Location and Reporting System (PLRS) is a joint USA/USMC development program to produce a tactical system capable of tracking users (airborne, vehicles, dismounted), providing them with position/location information and reporting their movement and location to the tactical commander. Each user unit will be capable of transmitting and/or relaying data to computers in one of the two master units which control the system for an Army Division or Marine Corps Amphibious Landing Force. Commanders will use PLRS to obtain friendly force information. Users will obtain accurate data on their own position, the range and bearing to desired units or locations, navigation data on designated flight corridors and locate and/or obtain proximity to zones and boundaries of friendly units. NAVSTAR GPS will be used to initialize the PLRS master units and will thereby translate the common worldwide grid of GPS to Army and Marine Corps PLRS users thus creating a common "grid-lock" with other Services GPS users.

FUNDING:

	FY 81	FY 82	FYDP	Total
Army RDT&E	25.2M	15.0M		
Procurement	0	22.2M		
USMC RDT&E		2.5M		
Procurement	0			

MILESTONES:

Development Test II	FY 81
Type Classification	FY 82
Production Decision	FY 82
Develop Training & Skill Performance Aids	FY 82
Conduct European, Artic & Tropic Certification Test	FY 82
Complete Supply and Maintenance Support Package	FY 83
IOC	FY 84
Production Continues	FY 83-86

ISSUES:

DECISIONS: Jan-Jun 81

Type classification 1Q 82
Production decision FY 82

DATE: 8 December 1980
DIRECTOR: Mr. Cittadino
ACT OFFICER: Mr. Cittadino

PROGRAM: Army Data Distribution System (ADDS: PLRS/JTIDS Hybrid)

DESCRIPTION: In order to resolve a very serious battlefield deficiency, the Army plans to provide a first generation data distribution system through the integration of the PLRS and JTIDS equipment. The PLRS/JTIDS Hybrid provides for the deployment of expanded PLRS equipment at battlefield elements requiring position location and low to medium capacity digital information exchange. The JTIDS Class II equipments will be deployed at elements having a high data rate exchange requirement. Interchange of data between the two systems will be provided through an interface at the PLRS net control station where a JTIDS terminal will be located and interfaced. Present program efforts include the design and testing of the PLRS and JTIDS terminals. Initial integration efforts of the JTIDS and modified PLRS terminals into a testbed will begin in 1982.

FUNDING:		FY 81	FY 82	FYDP
	RDT&E	18.8M	15.6M	

MILESTONES: IOC: FY 86

ISSUES: -

DECISIONS: Jan-Jun 81:

None.

ASD ☐
PDASD ☐
DASD J. Babcock
Director C. Hawkins

(u) Mission Area 255: Tactical Reconnaissance, Surveillance and Target Acquisition

(u) The primary mission of programs in this area is to support tactical force commanders with the intelligence information they require for the battle management functions of planning, maneuver and targeting. Collection and processing capabilities covering a range of disciplines including SIGINT, RADINT, PHOTINT and ACOUSTINT are required by all Services. These capabilities provide the operational commanders with sensor information on location, capabilities, and intentions of enemy forces. Tactical commanders are primarily concerned with four general classes of activity:

- Allocation of uncommitted resources
- Maneuver of forces
- Fire mission decisions
- Fire control or targeting

(u) For these commanders, the single most important criterion in the design of any combat intelligence support system is timeliness. Under tactical conditions, the time-scale is often constrained to minutes or fractions of an hour. Mobile targets must be reported on in a time consistent with the speed, geography, range, and degree of lethality in each particular scenario. Virtually all military actions that can be considered as alternatives by a tactical commander also require some finite lead time to be effective. Timeliness can be realized, when the situation demands, by dedicating current National or theater assets to the exclusion of all competing requirements. However, to provide regular capability to tactical commanders requires more than a one-time dedication of National or theater assets; it requires the maintenance of an organic tactical intelligence, reconnaissance, surveillance and target acquisition capability, complete with related communications networks and data processing.

(u) For example, the missions of fire support and Close Air Support (CAS) direction are basically equivalent; they both involve the delivery of weapons upon targets - fire mission decisions and fire control. This mission is oriented towards small enemy units, artillery, and mobile SAM/AAA units. The objective

is to reduce the rate of presentation of these nodes in the battle space. Hence, the requirement is for targeting accuracies, corresponding frequency of coverage and timeliness of collection.

(u) The typical Marine Air-Ground Task force presents a different type of requirement for operational intelligence support. In this type of campaign, the objectives are shorter-ranged and presumably directed against an enemy force less sophisticated, albeit as locally powerful, as the types of opposition to be planned for by the Army, Navy and Air Force. Marine intelligence needs are similar to Army needs in the area near the line of contact, but less stringent at longer ranges.

(u) While tactical commanders require more timely and accurate data than theater commanders, they can accept shallower geographic coverage. The details, of course, vary with the specific maneuver element, which can range from a tactical air command through a division/brigade to a naval battlegroup. The specific and detailed requirements for each maneuver element will be different, but there is a generic similarity which permits grouping for planning and system selection purposes.

(u) Mission Area programs have the general objectives of: augmenting and improving our existing capabilities; extending range and coverage; increasing information processing, dissemination capability and sensor/system interoperability and reducing vulnerability to deliberate electronic countermeasures. The key goal in the mission area is to acquire an appropriate mix of sensors and compatible platforms, with interoperbility through common equipment and/or jam-resistant data links. Specific objectives are to provide the following capability to the tactical commanders on an all-weather 24-hour basis:

(u) - Timely and accurate information on location, identification and movement of enemy forces in the combat area for targeting and increased effectiveness of combat maneuver elements.

(u) - A responsive target engagement capability with precision target locations to effectively counter superior numerical forces of men and equipment.

(u) - Automatic passive 24-hour surveillance and targeting of enemy personnel and vehicle movements up to 150 km behind the FEBA.

- Detection and location of enemy weapons systems.

(u) - Fire adjustment data for friendly weapons from battlefield or ocean surveillance sensors.

(u) Previously, the OSD responsibility for the management of Program Elements in this Mission Area was assigned to various directorates in OSD according to their force structure relationship. This assignment of responsibility facilitated the essential close coordination with the force structure, but did not adequately stimulate cross-program and interoperability tradeoffs; among Services and with National intelligence systems. In October 1980, as an element of a major realignment of program responsibility, the Director, Tactical Intelligence Systems was dual-hatted as Director, Tactical Reconnaissance, Surveillance and Target Acquisition (TRSTA) to assure greater recognition of such cross-program considerations.

(u) Activities in the Mission Area include:

1) Sensor subsystems which gather information about the location, movement, and activities of enemy forces, and

2) Fusion Centers which assemble, integrate, and display enemy force activities to decisionmakers who then assess the threat and command the appropriate response.

(S)

(S)

Tactical Fusion Centers provide automated assistance to the correlation of intelligence data from multiple sources to achieve a near-real-time display of the ground tactical situation and provide targeting information. The purpose is to assist commanders by developing current enemy situation assessments and target nominations for weapons delivery. The Army All-Source Analysis System (ASAS) and the Air Force Automated Tactical Fusion Division (ATFD) are being jointly developed for this purpose, and will draw upon knowledge gained from the BETA testbed experience.

While the responsibility for the majority of Program Elements in this Mission Area is now assigned to the Director, Tactical Reconnaissance, Surveillance and Target Acquisition, there are notable exceptions: Army Stand-Off Target Acquisition System, Remotely Piloted Vehicles, and unattended ground sensors; Navy intelligence-related centers contained within overall ship construction and acquisition programs, and; Marine Corps Sensor Control and Management Platoons.

A. Budget Profile: ($M)

Fiscal Year	FY 1981	FY 1982	FY 1983	FY 1984	FY 1985	FY 1986
	1053.7	1167.5				

B. Representative Programs:

Army

SOTAS
REMBASS
Remotely Piloted Vehicles

Navy

TARPS
Reconnaissance Squadrons
Ship Intelligence Centers

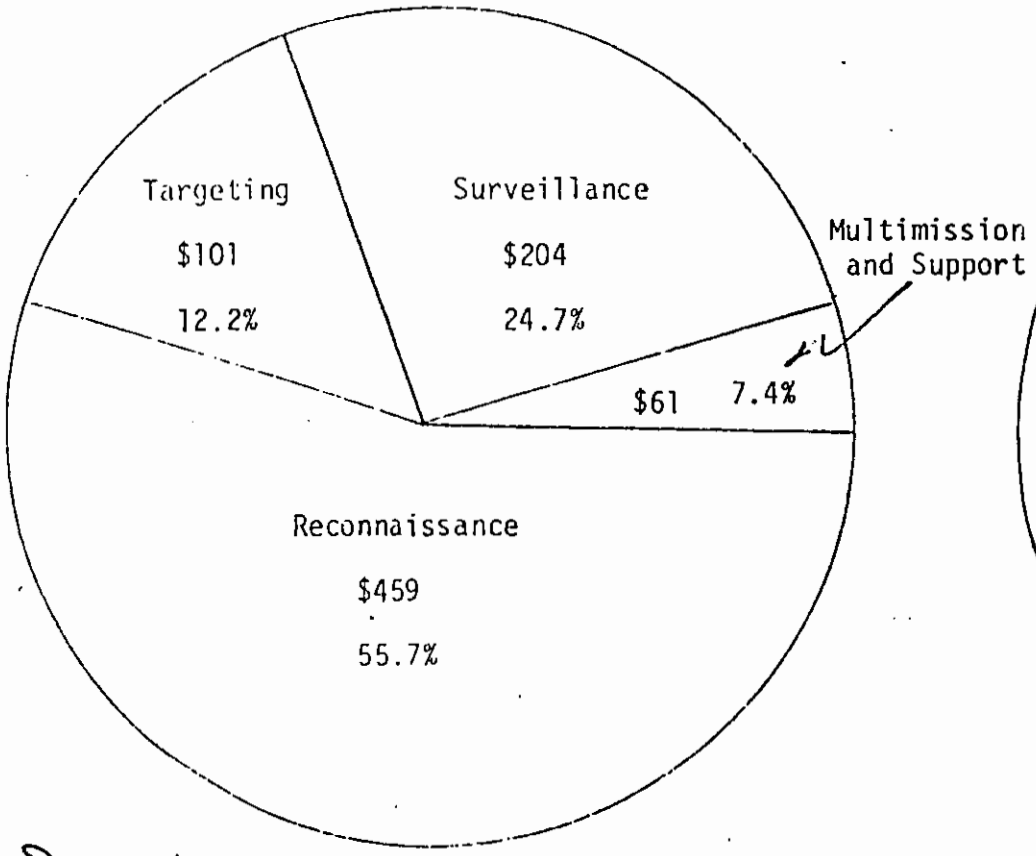
Air Force

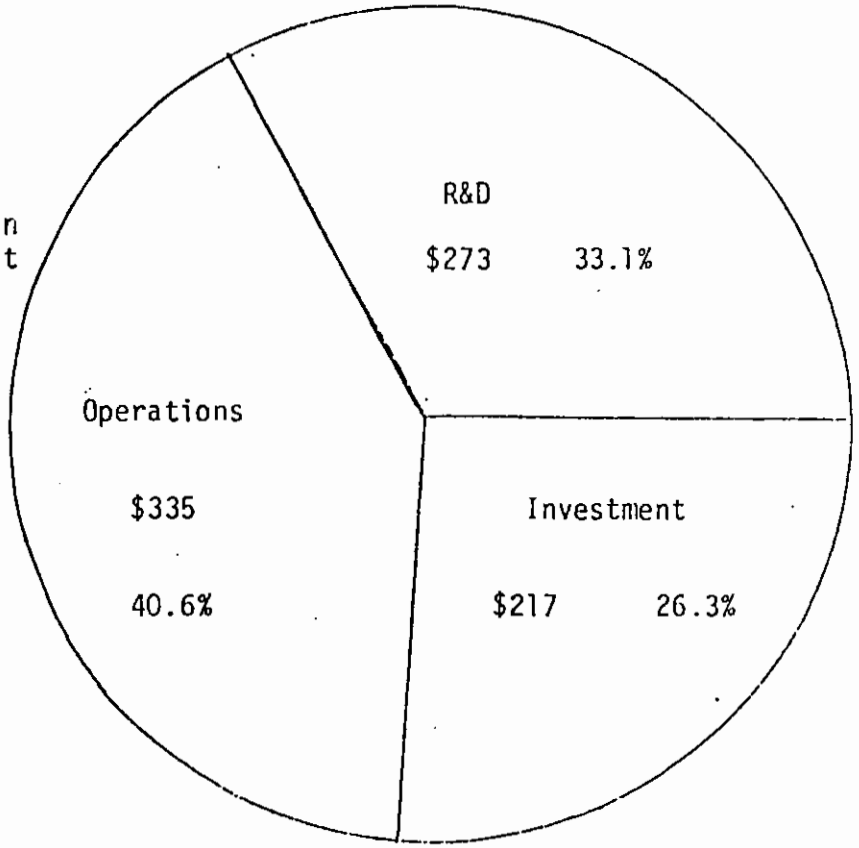
TR-1 Reconnaissance System
Side Looking Airborne Radar
PLSS
Reconnaissance/EW Equipment
RF-4C Squadrons

MISSION AREA 255

TACTICAL SURVEILLANCE, RECON. & TGT. ACQ.

FY 81 Budget Request - $825M
($ Millions)





Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

[redacted]

OASD(C^3I)
C^3 Resources
5 Dec 80

Tactical Surveillance, Reconnaissance & Target Acquisition Mission Area 255

Funding Summary*

		($ Millions) FY 1981	FY 1982
255	a. Reconnaissance		
	Recce Squadrons	12.9	4.3
	Marine Tact Recce Squad	27.2	34.5
	RF-4 Squadrons	209.7	203.7
	B/EB-57 Squadrons	15.8	4.0
	Recce Squadrons	5.6	4.2
	RF-4 Squadrons (ANG)	145.6	154.8
	Recon Sensors/Processing Tech	7.0	4.2
	SLAR	27.7	29.8
	Intell Sys	3.0	3.2
	Tact. A/B Recon	4.6	5.6
		(459.1)	(448.4)
	b. Surveillance		
	TR-1 Squadrons	133.8	137.7
	Abn EW Equip	9.5	10.2
	Unattended Grd Sensors	4.1	7.5
	SOTAS	56.8	76.8
		(204.1)	(232.3)
	c. Targeting		
	Location Strike Sys	.3	.4
	PAVE MOVER	13.3	5.3
	Remotely Piloted Vehicles	56.0	62.8
	PLSS	30.9	89.1
		(100.6)	(157.6)
	d. Multimission & Support		
	Tact Intell Processing	1.4	3.3
	MC Intell/EW Sys	1.2	2.9
	Tact Elect Spt Measure Sys	37.4	42.0
	Recce Equip	15.1	14.3
	Navy Integ/Btfld Exploit Tgt Acq	.4	1.6
	Intelligence	5.6	7.2
		(61.1)	(71.3)
Total 255		824.8	909.6

Totals may not add due to rounding

* Includes all program elements except partials

DATE 8 Dec 80
DIRECTOR Mr. Hawkins
ACT OFFICER Mr. Keller

(U) Program: TR-1 Reconnaissance System

(U) Description: The TR-1 is a tactical reconnaissance variant of the strategic U-2R aircraft. The TR-1 will be equipped with a variety of sensors (depending on mission), including a new synthetic aperture radar (ASARS II) with a high capacity data link and associated ground processing facilities to provide day/night all-weather battlefield surveillance into the second echelon of opposing forces.

(S) FUNDING

	$(M) FY 81	FY 82	FYDP	Total
RDT&E				
PROC				
O&M Mil Pay				

(S) MILESTONES:

(S) Production Start:

(S) IOC:

(U) ISSUES:

SECRET

(S) DECISIONS Jan - Jun 1981:

Date: November 25, 1980
Director: D(EW&C^{3}CM)
Action Officer: Mr. Porter

(U) Program: Precision Location Strike System (PLSS)

(S) Description:

(U) Funding: ($M)

	FY 81	FY 82	FYDP	Total
RDT&E	30.9	89.1		
Procurement	0.0	0.0		
O&M and Mil Pay	.3	2.1		

(C) Milestones:

DSARC II
System Critical Design Review
Begin System Integration
Begin DT&E/IOT&E
DSARC III
IOC (first production system)

(C) Issues:

Technical:

(U) Decision: Jan-Jun 81 - Support reprogramming action to restore PLSS to $62.6M or support a "tailored" ($30.9M) program.

Classified by: D(EW&C^{3}CM)
Declassify on: 25 Nov 86

CONFIDENTIAL

DATE: [illegible]
DIRECTOR: Mr. Cittadino
ACT OFFICER: Mr. Cittadino

PROGRAM: Joint Tactical Fusion System (JTFS)

DESCRIPTION: This is a joint program to develop fusion center capability for the Army and Air Force. This joint system will provide automated assistance to the correlation of intelligence data from multiple sources to achieve a near-real-time display of the ground tactical situation. The purpose is to assist Army and Air Force battlefield commanders by developing current enemy situation assessments and target nominations. This program is an outgrowth of the BETA program and the JTFS will make optimum use of BETA developed hardware and software.

The program responds to the Congressional guidance to redirect the BETA project to the joint development of a tactical fusion capability which meets the requirements for the Army's All Source Analysis System (ASAS) and the Air Force's Automated Tactical Fusion Division (ATFD). In concert with this guidance, this program provides a management structure which preserves the joint nature of the development, maximizes the current investment in BETA, allows for both common and specific software development, makes maximum use of common hardware and provides for competitive development.

Fusion is the process of melding intelligence and related command and control data from multiple sources, to portray an accurate and timely display of the tactical situation which allows a commander to employ forces in time to offset or disrupt the maneuver scheme of opposing forces. The output of the fusion proces , as it relates to the ASAS and ATFD, is the dynamic ground battlefield situation display and generation of immediate target nominations. The first product assists the commander in assessing the current ground situation, while the second reflects prioritiz tion of target importance based upon that assessment. The need for automated systems to perform the fusion function stems from the magnitude of the postulated threat forces and the concomitant high volume of collector data that are available, particularly from computer supported sensor systems which gather data in near-real-time. The volume of sensor reports is expected to increase dramatically in the future from the current level of hundreds of report/hour to a potential of thousands of reports/hour. Experience in developing interface to photographic, electro optic and radar imaging systems, ELINT collectors, COMINT and HUMINT sources, and moving target indicating radar in the BETA program provides confidence that new collectors can be accommodated within existing reporting standards.

The fundamental elements of a fusion system are: the communications processors which receive the sensor inputs and disseminate correlated product to appropriate commanders in the form of target nominations and order of battle displays; the central processors which perform the correlation function; the mocroprocessor based graphic terminals which manipulate and display the correlated data; and the software which accomplishes the various functions. Software is a significant portion of the development effort, for example the BETA software utilizes 380,000 instructions, in support of the fusion process.

[illegible] (Continued):

The plan for fielding of [illegible] is based on an Integrated Joint Program Management Office, guided by a General Officer level Steering Committee and reporting to Headquarters DARCOM with the US Army as the Lead Service. The program includes parallel activities necessary to reach an Initial Operating Capability (IOC of FY-85) required by the Army and Air Force.

FUNDING:	FY-81	FY-82	FY-83	FY-84	FY-85	TOTAL
RDT&E	42.0	82.31				
Procurement		7.19				
O&M & Mil Pay						
Total	42.0	89.50				
Available in FYDP						
Shortfall						

MILESTONES:

Contract award	2Q FY-82
Complete DT&E/OT&E	2Q FY-85
IOC	3Q FY-85

ISSUES:

DECISIONS: Army and Air Force must decide by January 1981 on FY-81 reprogramming or the program will revert back to the alternate plan which leads to an FY-87 IOC.

Tactical Communications (Mission Area 256)

Description: This mission area includes those programs, systems, equipments, and organizations in support of both Reserve and Active Forces. The tactical communications units provide the capability for installation, operation and maintenance of equipments and systems for voice, message, and data communications with and between tactical echelons, with other Military Services, the Defense Communications System (DCS), and Allied forces in support of command and control, administrative, intelligence and logistical functions. The equipments used are either airborne, shipboard, or land mobile and provide net radio communications or wide area multi-channel switched systems in support of DoD land, air and sea tactical forces. The various tactical communications programs must facilitate interoperability between the Services and with the general purpose forces of our Allies. The equipments are typically procured in large numbers and can impose substantial burdens for maintenance and logistics support. The tactical communications programs are designed to protect our essential command and control functions from hostile counter-communications efforts. Communications Security Equipment (COMSEC) and Anti-jamming and ECCM techniques play a vital part in the development and procurement of these tactical communications systems. COMSEC, however, is funded in a separate mission area.

Budget Profile. The majority of RDT&E funds are for TRI-TAC, SINCGARS-V, Air Force Advanced Communications Systems and Ground Mobile Forces Satellite (GMF) communications terminals. The major investment programs are TRI-TAC, GMF terminals, Army Combat Support Communications Equipment, Theater Nuclear Forces Communications equipments, SINCGARS-V radios and HAVE QUICK, SEEK TALK and Navy ARC-182 Combo radios. The major operational expenditures are for Satellite (LEASAT) Leasing and Civilian and military salaries.

Funding ($M)

	FY 81	FY 82	FY 82-86
RDT&E	364.6	524.3	
Investment	633.0	847.8	
Operations	393.6	429.9	
No. Personnel	23,368	24,648	

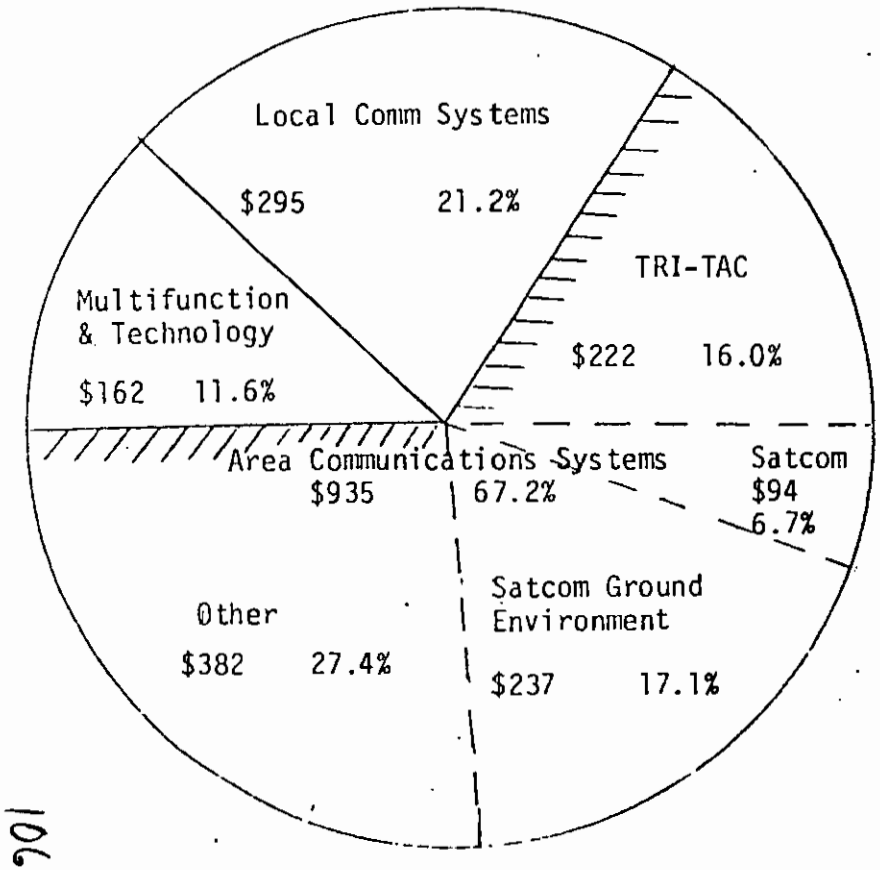
Major Programs:

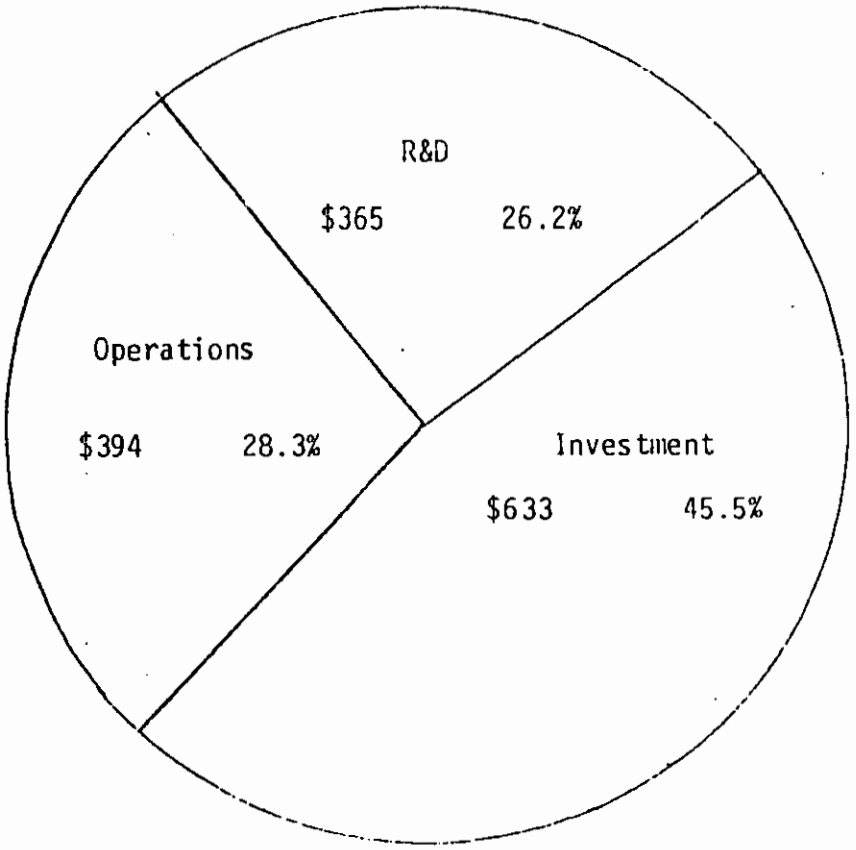
- Ground Mobile Forces (GMF) Satellite Communications Program
- Theater Nuclear Forces (TNF) Communications Improvements
- Advanced Communications Systems (HAVE QUICK, SEEK TALK)
- Army Combat Support Communications

MISSION AREA 256

TACTICAL COMMUNICATIONS

FY 81 Budget Request - $1,391M
($ Millions)





Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

OASD(C^3I)
C^3 Resources

Tactical Communications Mission Area 256

Funding Summary*

	($ Millions) FY 1981	FY 1982
256 a. Area Communications Sys		
US Readiness Cmd-Comm	23.4	31.3
Comm Spt - Alaska Spec Msn	5.0	5.1
Tac Spt - Comm Units (EUR)	101.4	116.9
Comm Spt - (EUR Spt)	3.2	3.2
Tac Spt - Comm Units (PAC)	11.0	12.7
Comm Spt (PAC Spt)	.1	.1
Tac Spt - Comm Units (FORSCOM)	129.7	138.9
Tac Spt - Comm Units (OTH Conus)	.3	.3
OAWCS-Comms	4.6	1.8
Tac Air Control Sys	52.6	91.6
Command Comm (TAC)	32.2	37.0
TRI-TAC	222.2	323.0
Satellite Comm (FLTSAT/LEASAT)	93.9	88.8
Satcom Grd Environ	237.4	220.0
Sat Comm Terminals	15.8	39.7
Intra-Theatre Imaging	2.2	.5
	(935.1)	(1111.0)
b. Local Communications		
Fleet Telecom (TAC)(Ship Tac Equip)	39.7	65.7
MC Telecomm	24.5	30.3
Adv Comm Sys (HAVE QUICK/SEEK TALK)	61.5	60.7
Combat Spt Comm	133.3	237.1
Adv Comm Data Sys	.4	5.4
Comm Development	4.6	6.5
SINCGARS	16.2	15.7
Submarine Comm	9.2	7.6
Comm Eng Dev	5.0	10.0
	(294.6)	(438.9)
c. Multifunction & Technology		
Tact Info Sys	32.0	67.1
Adv Space Comm (Tac Satcom II/Laser Com)	27.3	51.5
Adv Comm	3.3	5.0
JTIDS (Discussed under C^2)	94.8	122.9
Adv Comm Tech	4.2	5.6
	(161.7)	(252.0)
Total 256	1391.3	1802.0

Totals may not add due to rounding

* Includes all program elements except partials and NFIP

Date: December 6, 1980
Director: Mr. Salton
Action Officer: Mr. Hartigan

Program: Ground Mobile Forces (GMF) Satellite Communications Program

Description: The GMF Program is the acquisition of tactical satellite communications ground terminals to satisfy the requirements of Army, Air Force, Marine Corps and RDF. The terminals being procured operate at SHF utilizing the DSCS satellites or at UHF utilizing GAPFILLER or FLTSATCOM satellites. The SHF terminals will be equipped with anti-jam (AJ) communications capability. Although the GMF terminals are scheduled to start delivery in early 1983, the AJ capability will not be added until one year later. Of the UHF terminals, only the AN/MSC-64 terminals being deployed in support of tactical nuclear forces (TNF) will have an AJ capability.

The overall GMF concept is to utilize satellite communications capability in support of tactical commanders. The Army commenced their terminal procurement utilizing FY 79 funds and will equip their terminals with Army tactical multiplex which is presently deployed throughout all Army tactical units. The Air Force delayed their GMF termin al acquisitions until FY 81 so that they could obtain terminal equipped with TRI-TAC compatible equipment. The Marine Corps terminals will also be equipped with Army-type multiplex. The Army is the procuring activity for all satellite terminals for all requirements. Air Force and Marine Corps will fund for their terminals requirements.

While the GMF terminals are being planned for deployment in support of tactical requirements, interoperability between the GMF and DSCS will be achieved through the gateway concept. That is, there are fifteen large fixed DSCS satellite ground stations that will be equipped with GMF equipment to terminate GMF links when required to do so. This will only take place when specified by the JCS or NCA. These gateway stations will also be equipped with tactical AJ equipment so that interoperability in an AJ environment will also be possible. While interoperability is possible, it will require prior coordination to preempt the GMF terminal out of its present tactical network into a strategic network through a DSCS gateway terminal. This will be accomplished through the Army GMF control terminal AN/TSQ-114 which will be in constant communications with the DSCS control network and all GMF terminals. All GMF terminals will have the same type tactical AJ equipment and therefore will be interoperable in an AJ environment.

Funding (Estimated) ($ in Millions)	FY 81	FY 82	FY 82-86
RDT&E			
Army	10.8	16.8	
Procurement			
Army	59.6	46.5	
Air Force	15.8	27.8	
Marine Corps	6.0	3.6	

Milestones:

- Delivery of first AN/MSC-64 UHF satellite communications terminal to Europe in support of communications for tactical nuclear forces. September 1981.

- Production start for Air Force GMF terminals AN/TSC-100 and AN/TSC-94. May 1981.

- Exercise contract option utilizing FY 81 Army and Marine Corps funds for the second buy in the multi-year contract for the AN/TSC-85 and AN/TSC 93 GMF terminal. February 1981.

~~SECRET~~

Date: December 6, 1980
Director: George Salton
Action Officer: ~~A. Hartigan~~
Col. J MADBECK

(c) Program: Theater Nuclear Forces (TNF) Communications Improvements

Description:

(u) The present near term improvement will provide online secure teletype over the ECCCS and will also extend the ECCCS to those remaining U.S. Custodians through lease facilities that were not part of the system in the past.

(u) With regard to the Cemetery Network, new and more reliable equipment is being procured for the network control station (NCS) and the communications relay control stations (CRCSs). Since the present NCS & CRCSs are all located in Germany, better system control was considered achievable if additional CRCSs could be located outside German and south of the Alps. The near term improvements will provide one additional CRCS in the southern flank to achieve this improvement. In addition a secure teletype will be added to the Cemetery Network.

(c)

(c)

a nuclear environment. R&D funding will also support the TNF C-I architecture for communications improvements.

(~~S~~)

(U) The entire set of recommended system improvements will be reviewed in January-February, 1981 and implementation decisions will be made. Follow-on work in developing the TNF-C^3I architecture will focus on European targeting, intelligence, etc., as well as TNF C^3I requirements in the Pacific Command (PACOM).

((U) FUNDING (Estimated) ($ in Millions)

	FY 1981	FY 1982	FY 1982-86
RDT&E			
Army	2.0	2.0	
Procurement			
Army	9.0	23.6	
Navy	0.0	0.9	
Air Force	0.9	2.9	

(~~C~~) MILESTONES

(U) ISSUES: None.

(U) DECISIONS - Contract award for new HF radios for the Detachment and Firing Teams to be awarded at the end of 1981.

- How the Regency Net (HF radios supporting the Detachments and Firing Teams) will communicate with the UHF satellite terminal supporting TNF whether they will be collocated.

[redacted]

SECRET

Date: December 6, 1980
Director: Mr. Salton
Action Officer: Mr. R. Howe

Program: (U) UHF Anti-Jam Radios

Description: (S)

SECRET

Navy:

Funding (Funding profiles currently under development)

Milestones

ISSUES

DATE December 5, 1980

PROGRAM: Army Combat Support Communications

DIRECTOR George L. Salton

ACTION OFFICER R.G. Howe

DESCRIPTION: This program involves procurement of various items of tactical communications hardware other than that being developed by the TRI-TAC program. Included is: procurement of the new family of single channel very high frequency/frequency modulated (VHF/FM) combat net radios (SINCGARS): hardware for the Special Forces Burst Communications System (BCS); Steerable Null Antenna Processors to provide jamming protection for some of the current family of combat radios; a new squad level radio (AN/PRC-68); improved teletype equipment to replace 1950 vintage machines; a replacement ground-air portable radio (AN/PRC-113); miscellaneous multiplex equipment, and initial spare replacement parts, and modification of equipment now in service. This procurement provides a baseline for the Integrated Tactical Communications System objective system by updating analog equipment to digital TRI-TAC standards.

Summary of FY-81 and FY-82 Procurement List (Major Items)

Item	Quantity
Hand Crank Generator, G-76	500
Multiplexers (Varions)	10,000
Radio Set AN/PRC-77	5,500
Radio Repeater AN/TRC-152	53
Radio Terminal AN/TRC-151	177
Radio Repeater AN/TRC-113	60
Radio Set AN/GRC-103	400
Radio Terminal AN/TRC-145	86
Data Buffers TD-1065	1,515
Small Unit Transceiver AN/PRC-68	16,400
Radio Set AN/VRC-12	6,788
Teletype Terminals AN/UGC-74	1,768
Field Telephones TA-838	6,500
Steerable Null Antenna Proc.	1,393
Burst Communication Stations	19
VHF Transmission Multicoupler	15,600

FUNDING

MILESTONES

- Continuing procurement of various equipments through the FYDP period.
- SINCGARS milestones covered on separate briefing sheet.

Dat . December 6. 1980
Director: George Salton
Action Officer: R. G. Howe

Program: Single Channel Ground and Airborne System - VHF (SINCGARS-V)

Description: SINCGARS-V is an Army program which is developing a new generation of manpack, vehicular, and airborne VHF radios for the combat forces. The radios will be securable and will include ECCM capabilities including anti-jam techniques. They will replace the Army and Marine Corps AN/PRC-77, AN/VRC-12, and AN/ARC-114 radios. A total of approximately 200,000 radios will be procured.

FUNDING $M	FY 1981	FY 1982	FYDP (1982-1986)
RDT&E	16.0	15.5	
Procurement	0	0	

MILESTONES

- Three competitive advanced development contracts were awarded in April to:
  - o Cincinnati-Electronics, Teamed with Marconi
  - o Collins Radio Division of Rockwell International
  - o ITT

- DT/OT Phase I Testing Complete	Early CY 1982
- DSARC II	Mid CY 1982
- Initial Procurement	Early CY 1985
- IOC	Mid CY 1987

NATO INVOLVEMENT

A bilateral agreement was signed at the U.S. OSD and German MOD level in early 1980 to test and compare U.S. and German ECCM techniques and devices for VHF Combat Net Radios. U.S. and Germany agreed to release the MOU to NATO through the Tactical Radio Equipment Subgroup of the Tri-Service Group on Communications Electronics Equipment. The MOU was released in August 1980. The office of the SINCGARS Project Manager is working on a draft of a second MOU which will detail the procedures to be used for testing the German equipment. This MOU is expected to be completed by the end of 1981. In addition, an MOU was signed in December 1979 between the US, Canada, Belgium, Netherlands, and Italy. This MOU provides for these countries to participate in the SINCGARS ECCM design, testing and selection process. It is hoped that this arrangement will lay a foundation for NATO VHF ECCM standards that will be compatible with the ECCM technique selected for SINCGARS.

Date: December 6, 1980
Director: George Salton
Action Officer: R. G. Howe

Program: Joint Tactical Communications Program (TRI-TAC)

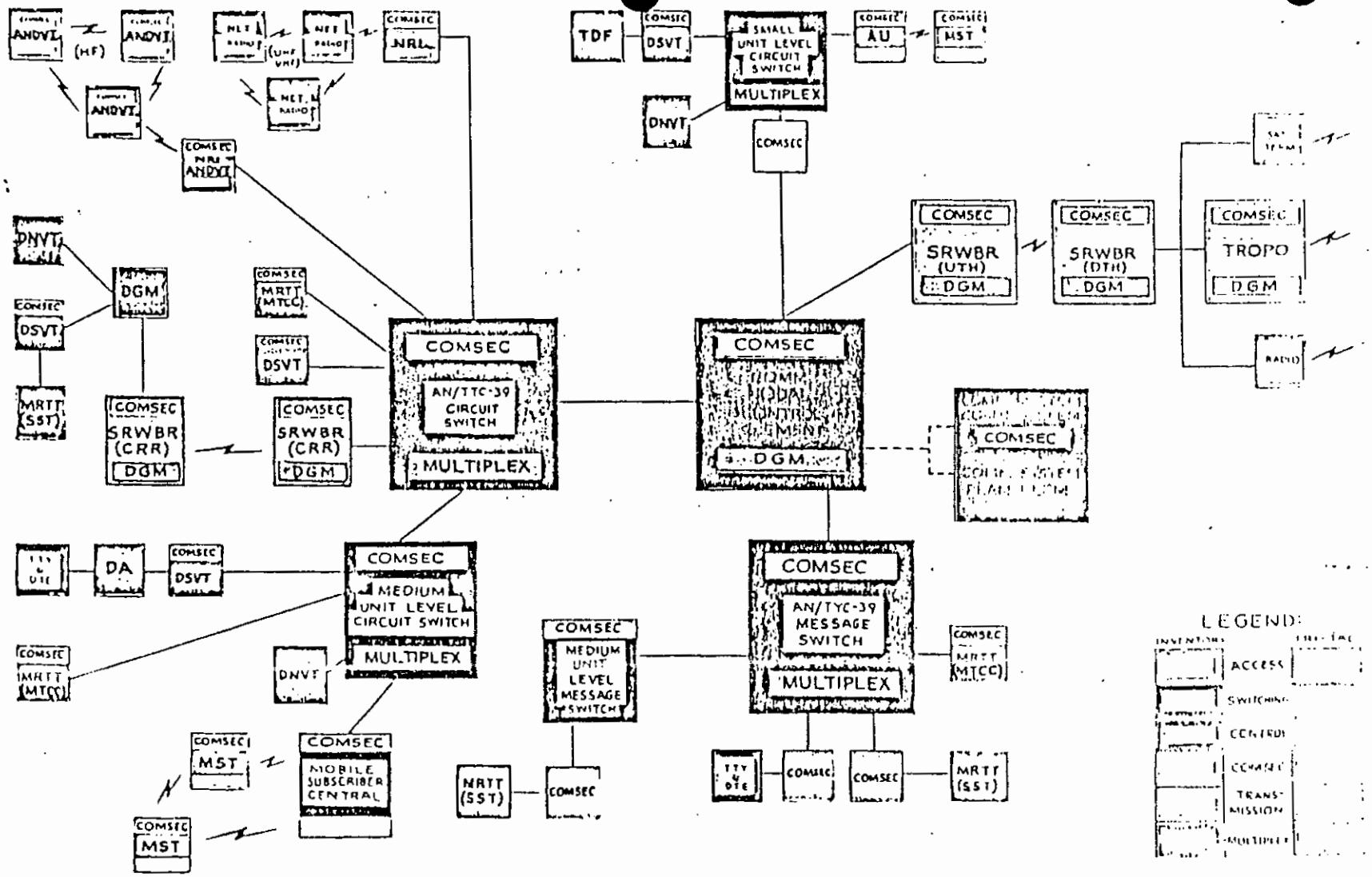
Description: The Program is primarily concerned with design, development and acquisition of switched tactical communications systems on a joint basis. This includes all trunking, access and switching equipment for mobile and transportable tactical multi-channel systems, associated systems control and technical control facilities, local distribution equipment, voice, record, data and ancillary terminal devices and associated communications security equipment. Also included are mobile and transportable tactical single-channel switched systems which may be operated as an independent system or as part of a tactical multi-channel system, and all interface devices for connecting TRI-TAC developed equipment to existing Service systems, the DCS and NATO systems. Typical TRI-TAC system architecture is attached as Enclosure 1.

FUNDING $M	FY 81	FY 82	FYDP (82-86)
RDT&E	73.8	106.4	
Procurement	141.4	271.3	
MILPERS	6.8	5.0	

MILESTONES (Major Items)	Completion of Govt Tests	First Production Deliveri
AN/TYC-39 Message Switch	Completed	Mid CY 1982
AN/TTC-39 Circuit Switch	Completed	Late CY 1982
COMSEC Equipment	Late CY 1980	Late CY 1982
Digital Tropo Terminal	Completed	Late CY 1983
Short Range Wideband Radio	Early CY 1981	Mid CY 1983
Digital Group Multiplex	Early CY 1981	Mid CY 1983
Tactical Digital Facsimile	Mid CY 1981	Mid CY 1984
Communications Nodal Control Element	Late CY 1981	Mid CY 1985
Digital Non-Secure Voice Terminal	Early CY 1982	Mid CY 1983
Unit Level Circuit Switch	Late CY 1982	Mid CY 1985
Modular Record Traffic Terminal (SST)	Mid CY 1983	TBD
Unit Level Message Switch	Mid CY 1984	Late CY 1986
Advanced Narrowband Digital Voice Terminal	Mid CY 1984	Early CY 1987
Communications System Control Element	TBD	TBD
Mobile Subscriber Equipment	TBD	TBD

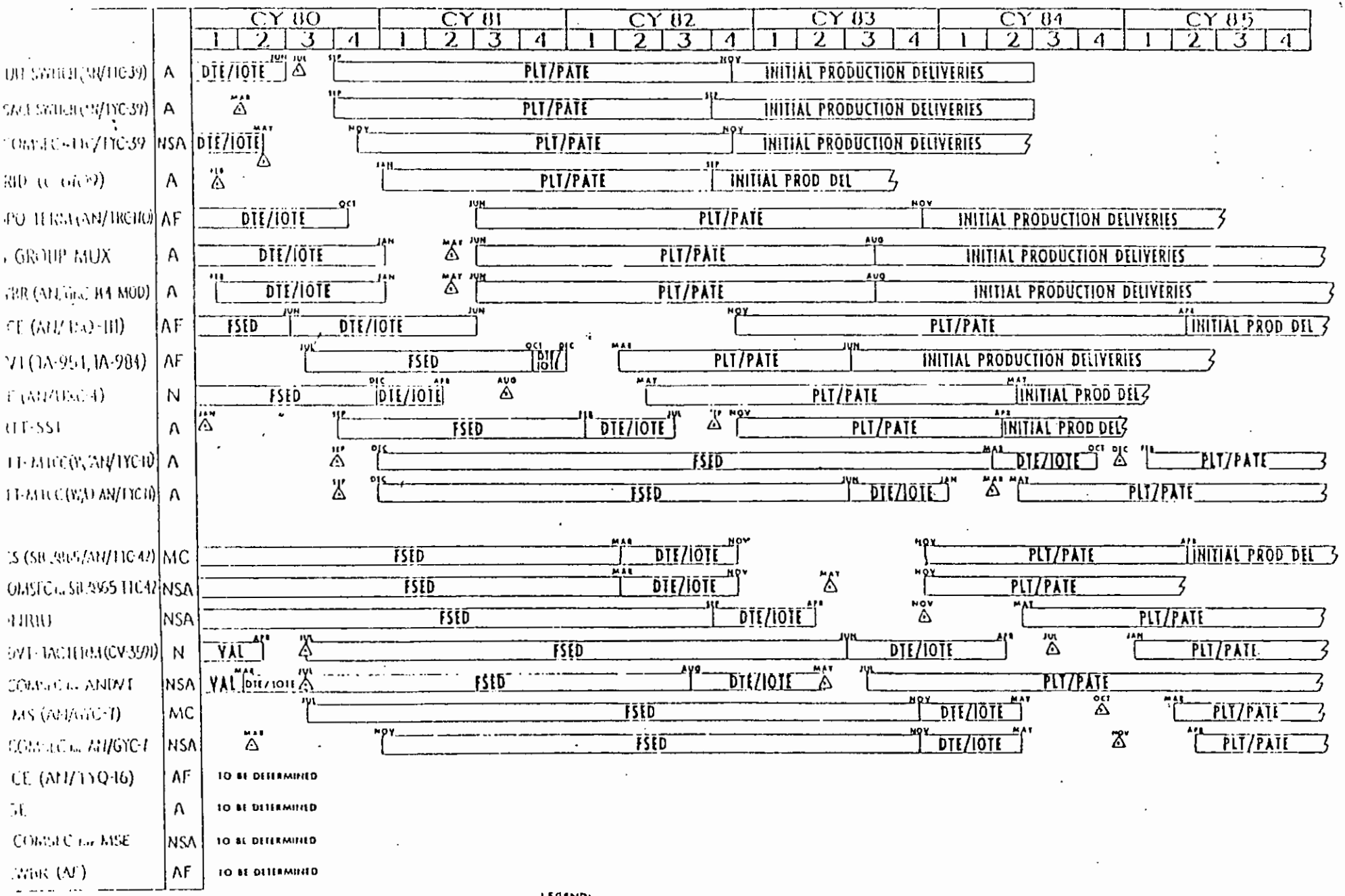
Detailed schedules attached as Enclosure 2.

TAC TACTICAL SWITCHED COMMUNICATIONS VOICE & MESSAGE TRAFFIC



Enclosure 1

TRI-TAC ACQUISITION PROGRAMS
PROJECT/PROGRAM MANAGERS' FORECAST SCHEDULES



Program: Fleet Satellite Communications (FLTSATCOM), Lease Satellite Communications (LEASATCOM)

Description: FLTSATCOM is the Navy's synchronous satellite program operating in the UHF spectrum and being host to the Air Force Satellite Communications (AFSATCOM) package. The FLTSATCOM provides reliable beyond-the-horizon communications for shipboard, airborne and shore-based fleet units. It also provides an anti-jam Fleet Broadcast Capability from Naval Communications Stations to ships at sea. This AJ capability is provided by utilizing spread spectrum modulation and accessing the FLTSATCOM satellite processor at super high frequency (SHF) from large fixed satellite terminals equipped with 60 foot antennas. The signal is converted in the satellite to UHF for down-link transmission to SSR-1 Fleet Broadcast receivers. There are 465 ships equipped with SSR-1 terminals capable of receiving this one-way AJ protected Fleet Broadcast information. Larger ships and major combatants that require reliable two-way communications utilize the AN/WSC-3 UHF transceiver. While the WSC-3 can provide secure voice connectivity, it has no AJ capability nor does the FLTSATCOM satellite have any method of protecting any Navy transmissions via the AN/WSC-3. For each circuit requirement, an additional AN/WSC-3 will be installed. The maximum number of AN/WSC-3 terminals installed on any ship is five and this occurs on aircraft carriers and flagships. Navy aircraft are equipped with an airborne version of the AN/WSC-3 transceiver.

(C)

Along with FLTSATCOM, the Navy is still utilizing GAPFILLER UHF satellite service it leases from COMSAT General Corporation. The follow-on space segment for FLTSATCOM will also be a lease service obtained from Hughes Communications Services, Inc.

Funding ($M)	FY 81	FY 82	FY 82-86
Proc - Navy*	30.0	-	
O&M** - Navy	30.0	29.3	

Milestones

- Feb 1981 FLTSATCOM Satellite No. 4 launched Nov 30, 1980, will be turned over for operational traffic in the Pacific area.

- Jun/Jul 1981 Launch of FLTSATCOM Satellite No. 5, the last of the FLTSATCOM spacecraft.

DATE: 6 December 1980

DIRECTOR: Mr. Cittadino

ACT.OFFICER: LTC McLeskey

PROGRAM: Communications, Command and Control (C^3) For The Rapid Deployment Joint Task Force (RDJTF)

DESCRIPTION: The RDJTF is, in practice, a four Service reservoir of forces suitable and prepared for rapid deployment in a contingency, coupled with a headquarters which was established in March 1980 at MacDill AFB, Florida. Efforts have been underway since then to determine and to provide the C^3 capabilities that would be needed for the Headquarters and for the Service components at each stage - predeployment, deployment and employment of an assigned mission. For the Headquarters element, essential garrison type communications have been provided and support during deployment or employment, in the near term, would come from a combination of C^3 assets presently available to U. S. Readiness Command and in the Services. In the longer term C^3 requirements include procurement of satellite terminals, high frequency radio equipment, switchboards and record traffic terminals. In addition there is a requirement for increased manning for the communications element supporting the Headquarters.

The Services requirements for the RDJTF are also being addressed. In FY 80 a $56M budget supplemental was approved by Congress to upgrade shipboard communications, provide communications equipment for the Air Force to support a "bare base" operations concept and buy new high frequency radios and tactical facsimile equipment for the Army. For the longer term procurement is continuing on such items as TRI-TAC equipment and ground mobile satellite terminals. The ongoing Joint Crisis Management Capability (JCMC) program will also provide the Commander RDJTF a significantly improved enroute and initial ground C^3 capability. Other ongoing programs in the areas of positioning and navigation and tactical data distribution are programmed and will significantly improve the C^3 posture of the RDJTF in the long term.

A comprehensive set of RDJTF requirements is being developed in an OSD study which is scheduled for completion in January 1981.

FUNDING:

	FY 81	FY 82	FYDP	TOTAL
Procurement	*30M	15M		

* Reflects an unapproved DoD FY 81 budget amendment for RDF related C^3 equipment.

MILESTONES: JCS Validate C^3 requirements for Hqs. RDJTF 13 January 1981

OSD complete RDF requirements support study 31 January 1981

OSD develop POM 83 Consolidated Guidance on RDF February 1981

Services program RDF requirements May 1981

ISSUES:

DECISIONS Jan - June 81:

Jan 81 JCS validate Hqs. RDJTF requirements

Feb 81 OSD issue Consolidated Guidance on RDF requirements

Jun 81 OSD review/approve Service POM inputs

ELECTRONIC WARFARE AND C^3 COUNTERMEASURES; MISSION AREA 257

OVERVIEW:

BUDGET PROFILE:

Classified by: ASD(C^3I)
Declassify on: 8 Dec 86

~~SECRET~~

MAJOR ACTIONS REQUIRED/FORTHCOMING

(U) Presentation of Electronic Warfare Acquisition Process Review Committee findings and recommendations in briefing format, Action Memorandum, and Committee report to OSD and Service authorities available on/before 10 December 1980.

(U) Completion of Defense Science Board Task Force on Countermeasures by 30 January 1981. Findings and recommendations in briefing format, Action Memorandum, and Task Force Report available on/before 1 March 1981. Study addresses proper balance between hard kill and EW assets in enemy air defense suppression "mix."

(U) OSD review of the Navy/Air Force Advanced Self-Protection Jammer Program, 3 March 1981.

LIST OF DOCUMENTS AND REPORTS

EW AND C^3CM

DODD 3222.4, Electronic Warfare Administration

DODD 4600.3, Electronic Counter-Countermeasures (ECCM) Policy

DODD 4600.4, Command, Control and Communications (C^3) Countermeasures

Memorandum of Policy #95, Electronic Warfare

NATO Long Term Defense Plan/Task Force 7 Report

DSB Task Force Report on Approaches to Countering Warsaw Pact C^3

DSB Task Force Report on Navy C^3CM

USAF/USA Counter Mission Analysis

Modern Modulation Trends and Projected Impact on Tactical Reconnaissance and Surveillance Systems

NATO Electronic Warfare Policy MC 64/4

NATO Electronic Warfare Concepts and Doctrine

NATO C^3 Countermeasures Policy (Draft)

NATO Major Commanders C^3 Countermeasures Concepts (Draft)

Joint Army/Air Force Defense Suppression Objectives Statement

Electronic Warfare Procedures for Employment in Joint Operations

U. S. Army Electronic Warfare Concept

DCP 171, Airborne Self-Protection Jammer

NDCP W0556-SH, EA-6B

DCP 126C, EF-111

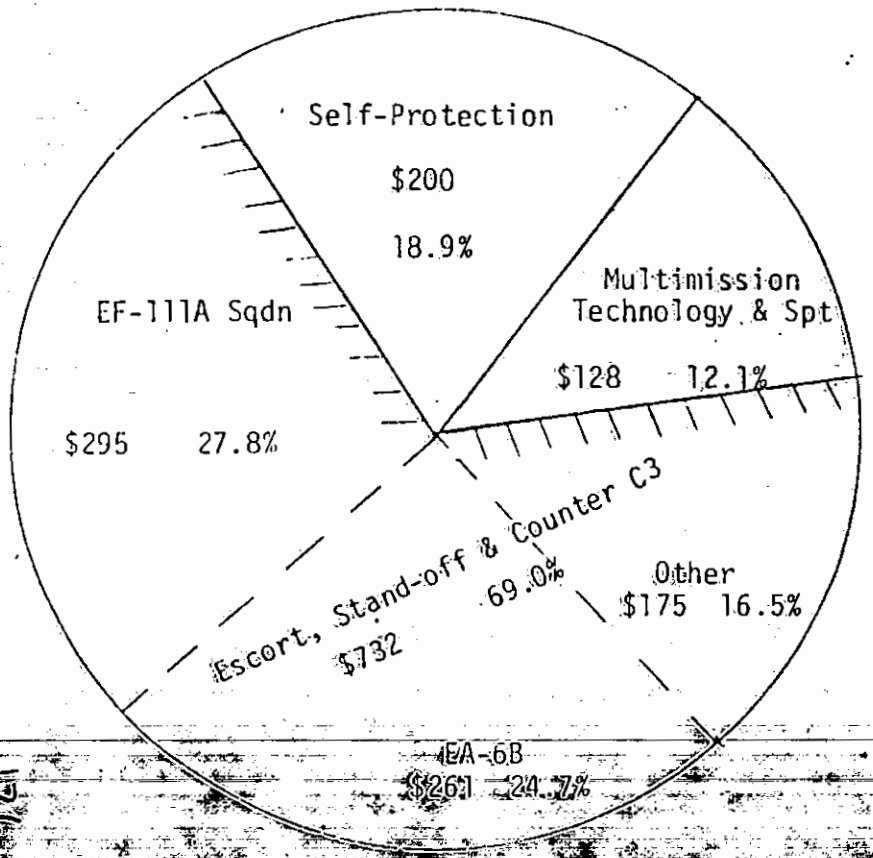
DCP 129, Precision Location Strike System (PLSS)

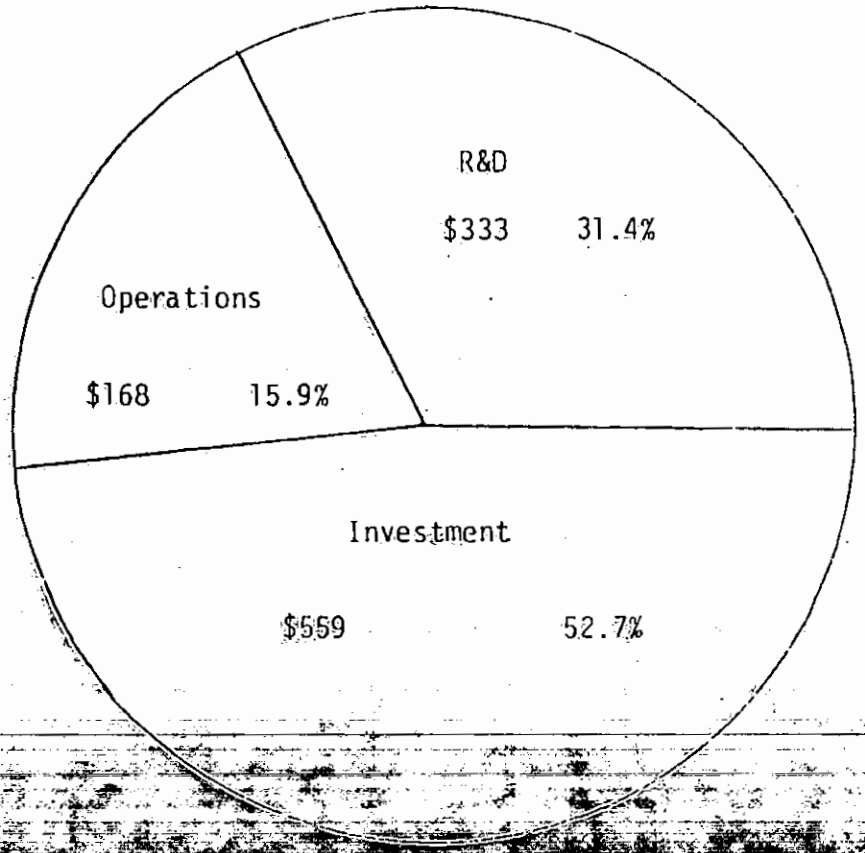
DCP 130, ASMD-EW Suite

MISSION AREA 257

EW & C^3 COUNTERMEASURES

FY 81 Budget Request - $1,060 M
($ Millions)





Source: 80 FYDP

OASD(C3)

Electronic Warfare & C^3 Countermeasures Mission Area 257

Funding Summary*

	($ Millions) FY 1981	FY 1982
257 a. Self-Protection		
TacAir IR C/M	4.3	4.9
Helicopter IR C/M	4.1	5.5
Surface EW	23.6	21.6
Acft Surv/EW Self-Protection	20.3	29.1
Adv Radar Warning	.7	.4
Adv Self-Protect Sys	29.6	24.3
NATO Sea Gnat	1.7	3.1
Shipboard EW Imp	6.5	15.0
Airborne Self-Protect Jammer	12.5	35.6
Protective Systems	71.7	87.2
Tactical Protective Systems	24.9	24.7
	(200.0)	(251.3)
b. Escort Standoff & Counter C^3		
Sea Based EW Squadrons (EA6-B)	233.9	220.5
Shore Based EW Squadrons	49.6	61.7
EW Counter Response	7.9	10.8
MC Tact EW Squad	39.0	88.9
Expendable Drones	5.7	9.2
EF-111	294.8	290.4
Compass Call	61.9	35.1
EC-130 TEWS	14.1	15.3
Tact C^3	6.3	6.9
EF-111A	-	5.3
Tact C^3 CM	15.9	12.3
System Protection	2.2	-
	(731.5)	(756.4)
c. Multimission, Technology & Support		
Cover & Deception	24.3	29.1
EW Spt Projects	15.8	40.3
MC Intel/EW Sys	2.6	2.0
Electromagnetic Combat Spt	5.2	26.3
EW Vulnerability/Susceptibility	24.4	23.8
EW Technology	14.6	12.0
Tac Elec C/M Sys	14.5	32.2
Air EW	13.9	17.4
SIGINT/EW Tact Spt	12.7	22.5
	(127.9)	(205.5)
Total 257	1059.5	1213.3

Totals may not add due to rounding

* Includes all program elements except partials

Background: (U) The EA-6B was first introduced in the fleet in 1971 with limited electronic surveillance and jamming capability designed to counter the electronic warfare threat in Southeast Asia. The aircraft has been in continuous production since introduction to meet USN and USMC force level requirements. Two significant configuration updates have taken place to meet the constantly expanding and increasingly complex electronic warfare threat. A third configuration improvement, Improved Capabilities (ICAP) II, will commence in 1981. Other long range potential improvements are under study.

Program Element: P.E. 24154N, EA-6B Electronic Warfare Countermeasures Aircraft (U)

Description: (U) The EA-6B is a carrier-based, twin jet, electronic version of the A-6 and is compatible with strike aircraft in speed, range, strength, and maneuverability. The aircraft has a computer controlled electronic surveillance and control system and high power jamming transmitters in various frequency bands. The EA-6B is in production.

Program Element: P.E. 25674N, EW Counter Response (U)

Description: (C)

Funding: ($M's)	FY 81	FY 82	FYDP	Total
RDT&E (P.E. 25674N)	7.9	10.8		
Procurement (P.E. 24154N)	187.8	217.0		
O&M and Mil Pay	73.5	77.1		

Milestones:

ICAP II, DNSARC IIIA	7/81
ICAP II, ASU	7/82
ICAP II, IOC	7/83

Issues: (C)

Decisions: Jan-Jun, none.

Classified by: D(EW&C3CM)
Declassify on: 9 Dec 86

CONFIDENTIAL

Program: (U) Advance Self-Protection Systems (PE 64226N and 64757F)

Description: ~~(C)~~

Funding: ($ M's) (U)	FY 81	FY 82	FYDP	Total
RDT&E,N	29.4	24.3		
RDT&E,F	12.5	35.6		
Procurement (USN)				
Procurement (USAF)				
O&M,N				
O&M,F				

Milestones: ~~(C)~~

Issues: (U)

Decisions: Jan-Jun 81 (U)

1) ASPJ and CPMS Source Selection (for single contract team)
2) OSD Program Review

Classified by: D(EW&C3CM) CONFIDENTIAL

49

Date: November 25, 1980
Director: D(EW&C^{3}CM)
Action Officer: Mr. Porter

Program: EC-130H Tactical C^3 Countermeasures Aircraft - COMPASS CALL

Description: /

Issues: None

Decisions: Jan-Jun 81, none

Classified by: D(EW&C^{3}CM)
Declassify on: 25 Nov 86

Director: D(EW&C³CM)
Action Officer: Mr. Stodola

Program: QUICK FIX

Description:

Funding: ($ M's)	FY 81	FY 82	FYDP	Total
RDT&E	4.0	2.8		
Procurement	0	4.6		
O&M and Mil Pay	2.0	5.2		

Milestones:

EH-60A Initial Acceptance Test
OT-IIA
Production IPR
IOC

Classified by: D(EW&C³CM)
Declassify on: 25 Nov 86

CONFIDENTIAL

Date: 25 November 1980
Director: D(EW&C^{3}CM)
Action Officer: Mr. Porter

Program: TACJAM, AN/MLQ-34

Description:

Funding: ($ M's)	FY 81	FY 82	FYDP	Total
RDT&E	1.0	3.5		
Procurement	62.7	70.2		
O&M and Mil Pay	0	4.6		

Milestones:

Issue:

Decisions: None (Jan-Jun 81)

Classified by: D(EW&C^{3}CM)
Declassify on: 25 Nov 86

Director: D(EW&C^{3}CM)
Action Officer: Lt Col Arnold

Program: (U) EF-111A Tactical Jamming System (TJS)

Description: (C)

Funding: ($ M's) (U)	FY 81	FY 82	FYDP	Total
RDT&E	5.6	14.5		
Procurement	277.5	264.3		
O&M and Mil Pay	3.5	10.4		

Milestones: (U)

DSARC III	Dec 78
Production Contract	Mar 79
IOC (18 aircraft)	Nov 83
Complete 42 aircraft modification	Dec 85

Classified by: [illegible]
Declassify on: 25 Nov 86

~~CONFIDENTIAL~~

Program: C^3 Countermeasures

Description:

Funding: ($ M's)	FY 81	FY 82	FYDP	Total
RDT&E	76.0	103.0		
Procurement	135.4	168.5		
O&M and Mil Pay	6.2	12.8		

Milestones:

IOC	4 COMPASS CALL Aircraft	4/82
IOC	Integrated COVER AND DECEPTION (ICAD)/ SPS-48 Simulator	6/82
IOC	Integrated COVER AND DECEPTION (ICAD)/ SPS-49 Simulator	8/82
IOC	Off-Board Deception Systems (ODDS) NTDS Simulator	4/84
IOC	Off-Board Deception Systems (ODDS) C-Band Simulator	4/85
IOC	Off-Board Deception Systems (ODDS) F-Band Simulator	12/85
IOC	TACJAM	1/82
IOC	QUICK FIX	12/85

Classified by: ASD(C^3I)
Declassify on: 8 Dec 86

D. Defense-Wide C^3I Support (Mission Area 320)

Major Mission Area Overview.

The C^3I support systems encompass the areas of: Navigation and Position Fixing, Support and Base Communications, Common-User Communications, Communications Security, and a variety of other architectural and spectrum management functions. The Defense-Wide C^3I systems must support the command function between all echelons and have flexibility to cope with evolving threats and be consistent with planned force composition and employment. They provide an essential backbone for our military capabilities and must be designed, implemented and operated to fulfill the following key requirements:

- Accurate, secure, jam-resistant, all-weather/all-hours navigation and position-fixing is needed for precise world-wide control of forces, with a common grid for reconnaissance, surveillance, and weapon-control functions.

- World-wide, jam-resistant secure communications that are resistant to nuclear effects to link decision makers with commanders in the U.S. and overseas.

- U.S. military forces throughout the world need secure jam-resistant voice, digital data, and message services to support general C^3 functions.

- It is National policy to protect U.S. government telecommunications which carry traffic essential to our national security from intrusion, deception and exploitation. Protection for CONUS links and a global secure voice switched network are major new efforts.

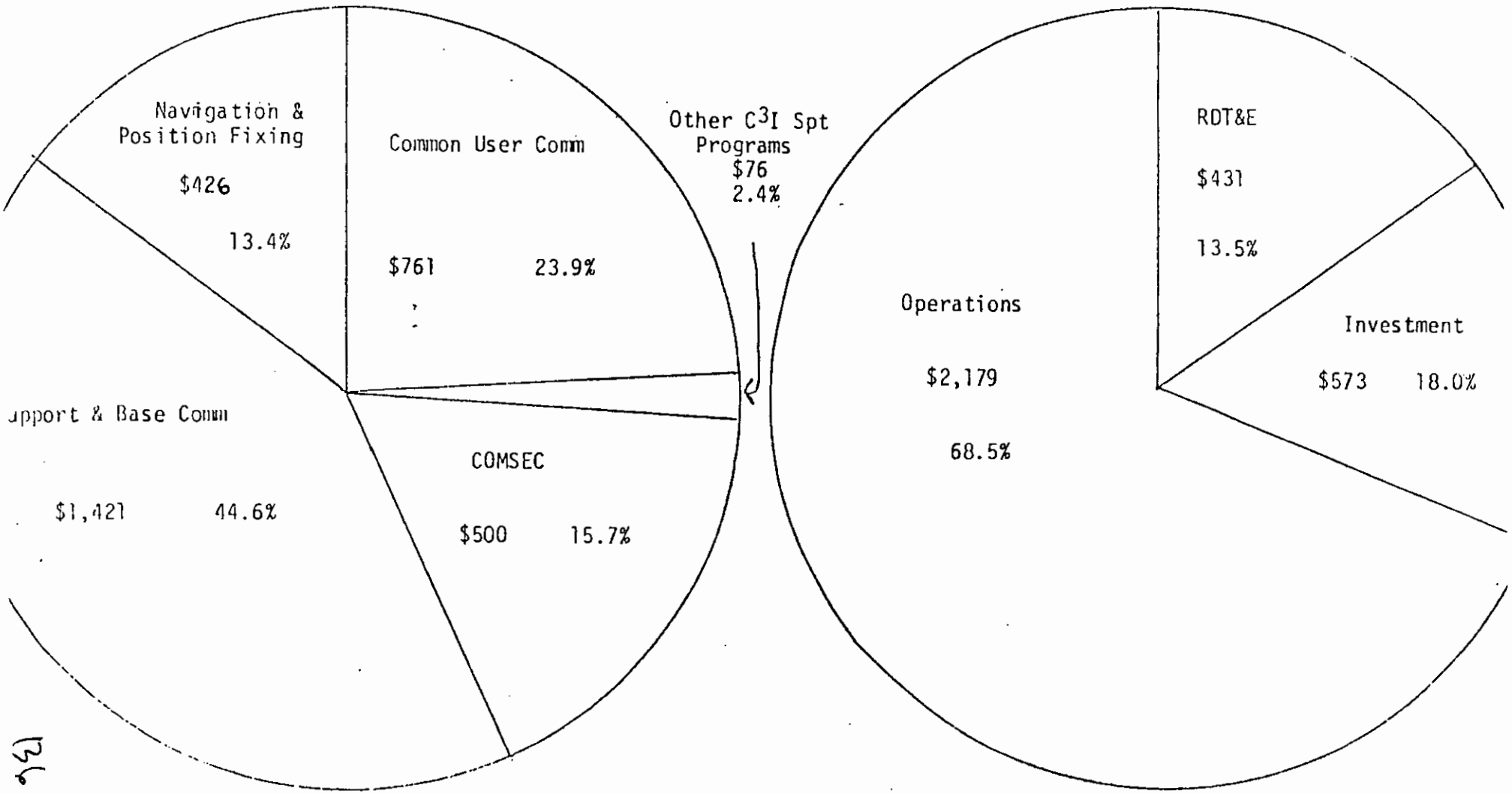
The mission area is highly O&M and MILPERS oriented which utilizes 60 percent of the mission area 320 resource allocations over the period of the FYDP. The development of new techniques and equipments/systems which have a primary goal of reducing both manpower and recurring O&M costs offers the potential for outyear savings. However, additional RDT&E and significant capital investment expenditures in the near-term would be required to achieve the reductions in recurring outyear O&M costs. The development of such techniques for some portions of this mission area has been hampered by low RDT&E expenditures. Efforts which would benefit from increased RDT&E and procurement in this mission area include: digital switching, transmission and technical control facilities; consolidation and automation of facilities; increased reliability in components and simplified installation and maintenance features.

Funding Profile ($M)

MISSION AREA 320

DEFENSE-WIDE C^3I SUPPORT

FY 81 Budget Request - $3,184 M
($ Millions)



Source: [illegible] 80 FYDP
Does not [illegible]lude NFIP nor partial program elements

[illegible]

OA[illegible] C^3I)
C3 Resources

Navigation and Position Fixing (Mission Area 321)

Narrative Description. A vital factor in all command and control situations is the need to accurately know where you are, where other friendly forces are, where the enemy is relative to you, and to precisely determine the position of enemy targets. The major purposes of the programs and projects in this mission area are to provide force location, improved weapons laydown, all weather operations, accurate sensor basing and enhanced mobility, reaction, force discrimination and situation monitoring through improved positioning and navigation capabilities for tactical and strategic forces. Effective C^2 is not possible without integrated and capable positioning and navigation. The Navigation and Positioning Fixing mission area consists of twenty-four program elements divided among global systems, local systems, autonomous systems (self-contained), and Mapping and Geodesy. The mission areas program of highest interest in the NAVSTAR Global Positions System which is a space based radionavigation system designed to provide worldwide, all weather, day/night, 3D positioning, velocity and time information to any suitably equipped user. NAVSTAR GPS shows great promise for alleviating major requirements deficiencies as well as providing the means for revolutionary advances in the uses of positioning, velocity and timing information. Other new initiatives in unconventional inertial system concepts also show great promise toward providing users with high-quality, high-accuracy, self-contained navigation capabilities that are invulnerable to EW effects. Program Management for this mission area covers significantly more systems than the program elements would suggest. Long-range planning for almost all existing and developing DoD POS/NAV systems is accomplished under this mission area.

The OASD (C^3I) responsibilities include being the DoD focal point for all positioning and navigation activities systems management and the related programs. The programs receiving major emphasis at this time are the NAVSTAR Global Positioning System (GPS) and certain inertial navigation efforts. The GPS is expected to be the primary radio navigation system of the future. The importance of GPS does not negate the need for certain local area positioning systems such as the Army/Marine position location reporting system (PLRS) and various self-contained navigation systems for high priority weapons systems which operate in sophisticated electronic threat environments. Therefore, despite the prominance of GPS, we will continue to require supporting improvements to self-contained navigation systems utilizing advanced techniques such as ring laser gyros and strapped-down navigation concepts.

Specific Objectives that we are trying to achieve in this mission area are:

Make maximum use of existing and developing POS/NAV capabilities.

- Accelerate definition of procurement plan and integration schedule for GPS user equipment. Develop integration priorities for users.

- Give high priority to definition of how to benefit for continually increasing operational capability of NAVSTAR GPS.

- Resolve on-going evaluations of GPS selective availability.

- Participate in the resolution of funding/schedule mismatch for IONDS terminal deployment.

- Support OSD and Service involvement in transition planning for MLS.

- Pursue Service evaluation and testing of Army-developed MLS equipment.

Define the best POS/NAV systems mix to satisfy validated requirements.

- Focus continuing efforts on long-range planning for POS/NAV systems mix.

- Develop explicit guidance that implements POS/NAV decisions reflected in the JCS Master Navigation Plan and the Federal Radionavigation Plan.

- Support immediate release of the Federal Radionavigation Plan.

Develop and deploy high performance Inertial Navigation capabilities.

- Continue high priority support to advanced technology efforts such as ring-laser gyroscopes and solid-state strap-down gyroscopes.

- Continue priority efforts to finalize standardized INS F3.

Support multi-national efforts in POS/NAV.

- Pursue definition of cost-sharing alternatives for NAVSTAR GPS.

- Give high priority to development and implementation of Canadian-U.S. joint development sharing protocol for NAVSTAR GPS.

- Support development and use of NAVSTAR GPS user equipment by NATO participants in the NAVSTAR GPS program.

- Give high priority support to specific U.S./NATO actions to increase/emphasize TSGCEE/SUBGROUP 4 and standardization working activities on POS/NAV Systems.

We are cooperating very closely with NATO in several navigation and positioning projects. Of major importance is the Multinational Memorandum of Understanding (MOU) on the GPS program. This MOU has brought NATO countries into the GPS program as full-fledged participants in the development of user equipment. NATO representatives are also active members of the GPS Joint Program Office.

Over a billion dollars are spent on positioning and navigation equipment each year in DoD. This includes development, procurement and operation of satellite systems (i.e., TRANSIT and NAVSTAR Global Positioning System); surface, aircraft and ship navigation equipment (i.e., PLRS, inertial navigators, dopplers, TACAN, LORAN, etc.); and surveying systems/equipment. This magnitude of expenditures draws more than the usual amount of scrutiny both within and from without DoD and has led to a continuing multi-agency planning effort of all radio navigation systems to annually produce a consolidated Federal Radio Navigation Plan. The main thrust is to reduce the proliferation of POS/NAV systems and establish phase-in/phase-out schedules. The OMB chairs this effort with DoD (OASD-C^3I) DOT, and other involved agencies participating. The first report to the President and Congress is expected shortly. We have already begun the next update revision.

There is a significant amount of interchange and coordination with civilian agencies and organizations in the navigation field. The Director, Theater and Tactical C^2 is the primary point of contact with the DOT and FAA for all DoD POS/NAV research, engineering and acquisition matters. To sustain the improved planning efforts between the DoD and DOT, a DoD/DOT JOINT RADIONAVIGATION WORKING GROUP and an Executive Committee have been established and are functioning. An FAA/DoD R&D Coordination Committee also functions to coordinate program efforts on systems which have both civil and military implications such as the Joint Tactical Microwave Landing System, Discrete Address Beacom System, GPS, etc. Through this mechanism, potential system and technical problem areas are identified, analyzed and resolved in an orderly manner.

Funding Profile:

	FY 81	FY 82	FYDP (82-86)
RDT&E	188.3	248.1	
INVESTMENT	34.1	154.8	
O&M	203.5	205.3	
TOTAL	425.9	608.2	

Major Programs:

- NAVSTAR GPS - User Equipment
- NAVSTAR GPS - Space & Ground Segment

Major Plans:

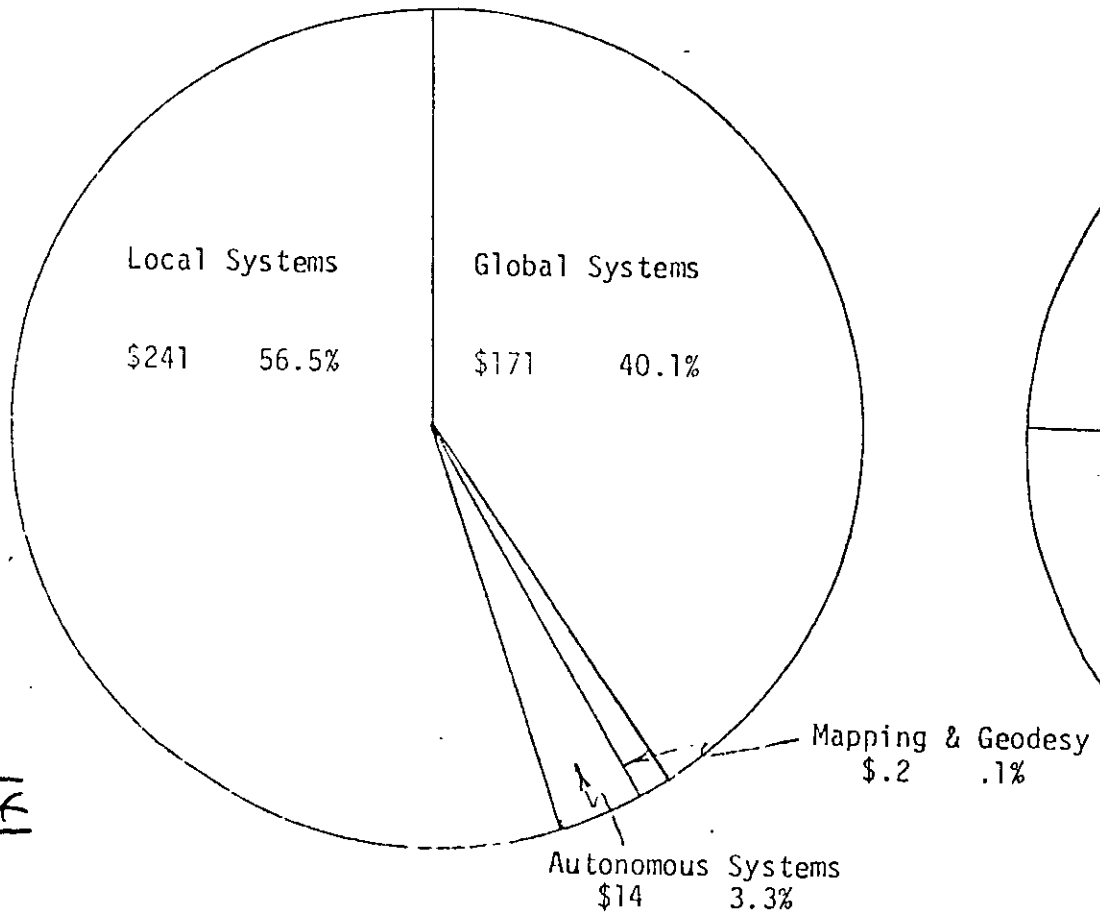
- Army, Command and Control Master Plan
- Navy, Command and Control Plan
- Air Force, Tactical Air Forces Integrated Information System
- DoD, Long Range Theater/Tactical C^3I Resource Plan
- OJCS, Master Navigation Plan
- Federal Radio Navigation Plan

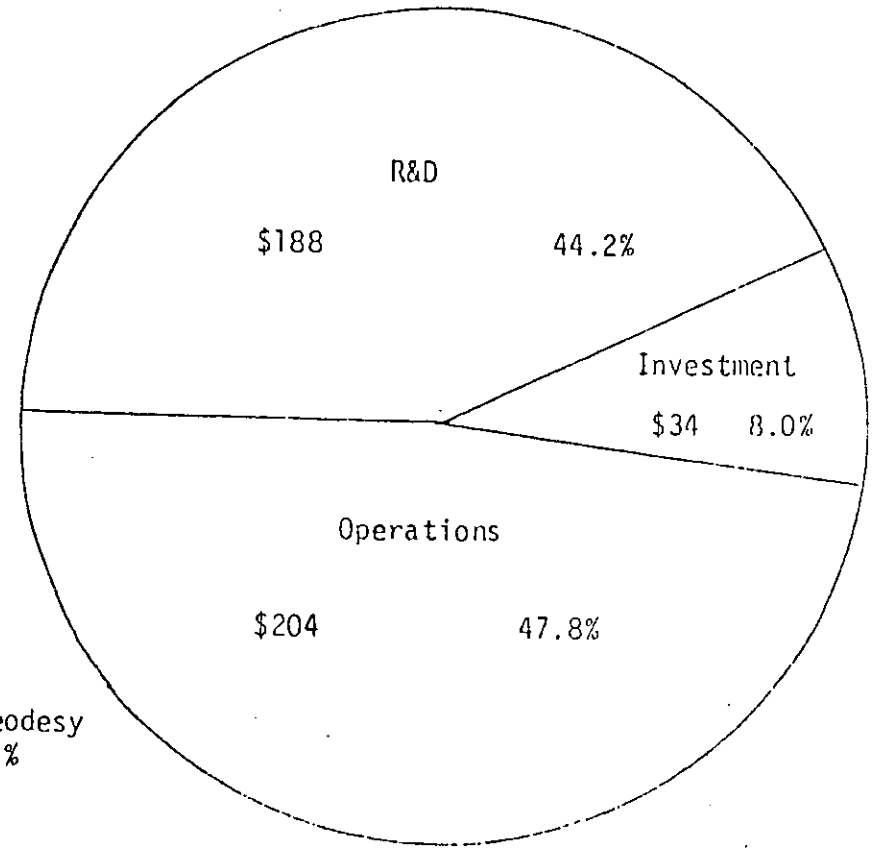
CONFIDENTIAL

MISSION AREA 321

NAVIGATION & POSITION FIXING

FY 81 Budget Request - $426M
($ Millions)





Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

OASD(C^3I)
C^3 Resources

Navigation and Position Fixing Mission Area 321

Funding Summary*

		(S Millions) FY 1981	FY 1982
321	a. Global Systems		
	NAVSTAR GPS (Space/Grd)	.3	120.5
	Navigation Satellite	5.5	17.1
	NAVSTAR GPS (User Eq)	165.0	204.0
		(170.8)	(341.6)
	b. Local Systems		
	Traffic Control & Landing Sys**	240.3	246.7
	Air Control (TRACALS)	.1	.1
		(240.4)	(246.8)
	c. Autonomous Systems		
	Adv Navigation Dev	.3	2.2
	Navigation Sys	3.5	6.8
	A/C Navigation Sys Verif	1.6	1.7
	A/C Avionics	9.0	8.0
		(14.5)	(18.6)
	d. Mapping and Geodesy		
	Mapping & Geodesy	.2	1.2
	Total 321	(425.9)	(608.2)

Totals may not add due to rounding

**(85% Operations)

* Includes all program elements except partials and NFIP.

DATE: 8 December 1980
DIRECTOR: Mr. Cittadino
ACT OFFICER: Lt Col J. Martel

PROGRAM: NAVSTAR Global Positioning System (GPS)

DESCRIPTION: The NAVSTAR GPS is a space-based radio postiioning/navigation system that will provide extremely accurate three-dimensional position and velocity information togehter with system time to suitably equipped users anywhere on or near the earth. The GPS consists of three major segments: space, control and user, all of which are in full scale development. Position determinations are based on the measurement of the transit time of RF signals from four satellites (of known positions and synchronized time) of a total constellation of 18. Position accuracies on the order of 10 meters (throughout the world) and greater can be achieved. Four satellites are normally required for navigation, and the four offering the best geometry can be selected manually or automatically by receivers using ephemeris information transmitted by the satellites. Ranges to the four satellites are determined by scaling the signal transit time by the speed of light. Operation of the system requires precise synchronization of the satellite clocks with the "GPS system time" which is accomplished by the use of an atomic frequency standard in each satellite and use of clock correction parameters that are provided by the ground Control Segment. The requirement for users to be equipped with costly precision clocks is eliminated by the use of range measurements from four satellites. In terms of navigation accuracy, one nanosecond of time error is equivalent to approximately 0.3 meters (0.984 feet) of range error so that precision timing and frequency control are essential to the GPS system. The ability to precisely position all friendly users and the enemy forces and targets in a common grid reference system is critical to the effectiveness of our strategic, tactical and space weapon systems. In addition, for reconnaissance and intelligence missions, knowledge of exact positions at a given time is essential. The NAVSTAR GPS program directly supports and provides major increases in effectiveness of the following mission areas: air interdiction (destruction or neutralization of enemy ground and naval forces); close air support; airlift and rapid deployment forces; special operations (unconventional warfare, search and rescue, counter-insurgency); strategic attack; counter-air and aerospace defense; laud warfare (close combat, fire support, ground air defense, mine warfare, combat and service support); theater and tactical C^3I (surveillance, reconnaissance, target acquisition and C^2); naval warfare (anti-air, anti-submarine, anti-surface, nuclear and conventional strike, amphibious warfare, mining and mine sweeping); and naval supporting warfare (special warfare, ocean surveillance, electronic warfare, logistics). All of the U. S. military services, other elements of the Department of Defense, the U. S. Department of Transportaion, and our NATO

allies are participating in the development of the system which will provide unprecedented navigational accuracies for military and civil users on a worldwide basis. In addition, GPS provides precise, continuous (full-time), all-weather, common grid worldwide positioning, navigation, time reference capability, highly accurate velocity information (essential for inertial and weapon delivery systems) under both combat and non-combat conditions.

FUNDING:

	FY 80 & Prior	81	82	83	84	85	86	THRU 86
RDT&E	599.5	170.5	221.0					
PROCURE			120.5					
O&M & MIL. PAY								
TOTALS	599.5	170.5	341.5					

MILESTONES: Program

- DSARC III — Sep 83
- 3D Capability — 4th Qtr 87

Space Segment

- Replenishment Satellite Contract Award — Oct 79
- Block II Contract Award — Oct 80
- Production Contract — Jan 82

Control Segment

- Development Contract Award — Sep 80
- Operational Control Segment Operational — Nov 87

User Segment

- FSED Contract Awards (2) — Jul 79
- Start IOT&E — Jan 83
- Complete IOT&E — Aug 83
- First Production Contract Awards — Jan 84

ISSUES: Programmatic: Need to establish firm policy on selective availability (balance civil use and national security considerations).

DECISIONS: Jan-Jun 82.

None.

Support & Base Communications (Mission Area 322)

Narrative Description. Base Communications includes the acquisition, construction, installation site preparation, operation and maintenance of the Services' nontactical/Non-Defense Communications System (DCS) post, camp, station, airbase, facility communications terminal and switching facilities, to include Defense Metropolitan Area Telephone Systems (DMATS), equipment plants, manual and automated telecommunications center switching facilities and associated cable distribution plants to include Automatic Digital Network (AUTODIN) terminals, message reproduction, processing and distribution, base wire and radio systems including maintenance and/or lease of fixed and mobile radios, including Military Affiliate Radio System (MARS), lease and/or maintenance of outside plant television facilities (antenna/cable systems), commercial communications including locally leased circuits and equipment, toll and local telephone and message charges, and other communications services purchased from commercial communications companies and common carriers. The European Telephone System (ETS) is the fixed telephone system serving U.S. Forces in Europe.

Budget Profile.

Funding ($M)

	FY 81	FY 82	FYDP (82-86)
RDT&E	5.1	6.0	
Proc.	131.0	115.3	
O&M	1,284.5	1,400.2	
No. Personnel	43,878	42,427	

Major Programs:

- European Telephone System (ETS)
- Defense Metropolitan Area Telephone Systems (DMATS)

Major Plans:

- ETS Plan
- Base Communications Plan (BASCOP)
  - Vol. I and II, September 1977
- Base Communications System Design for the 1980's (Draft Vol. IV) and draft SCOPE DIAL Plan

- ASD(C^3I) establishment of Defense Switched Network (DSN)
  - Memorandum, 6 September 1979

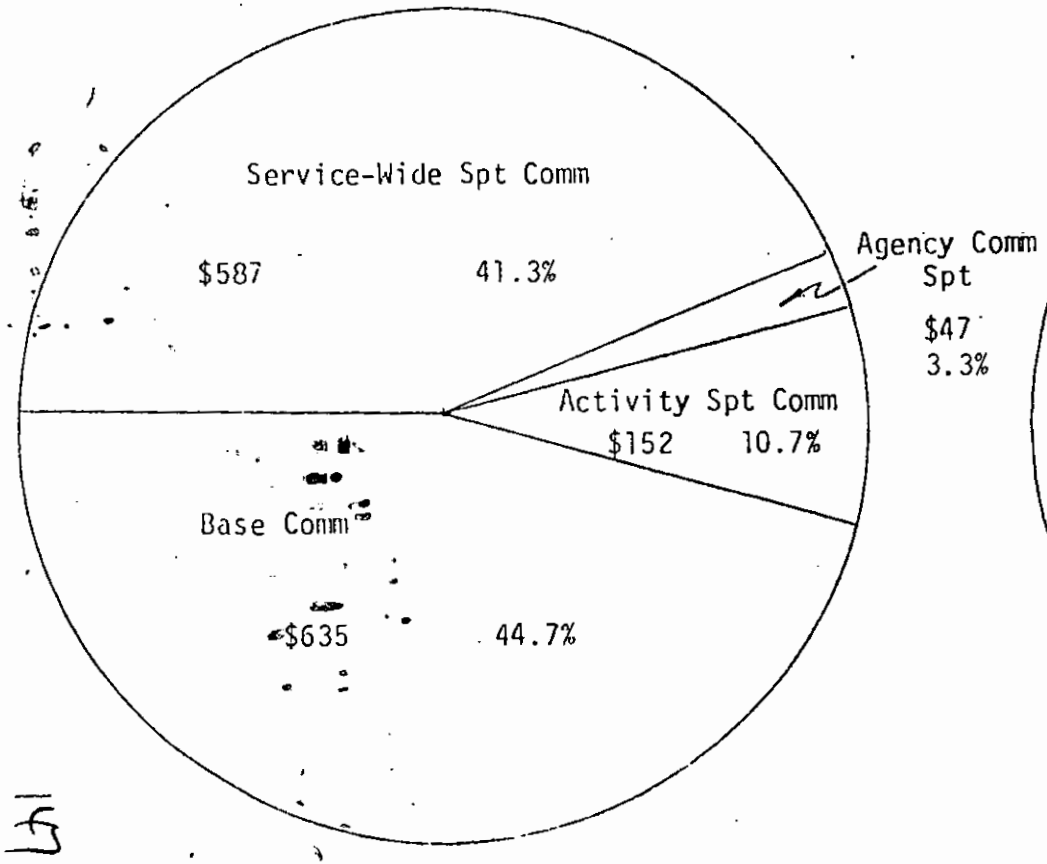
- Revised DSN Concept Plan (available January 1981)

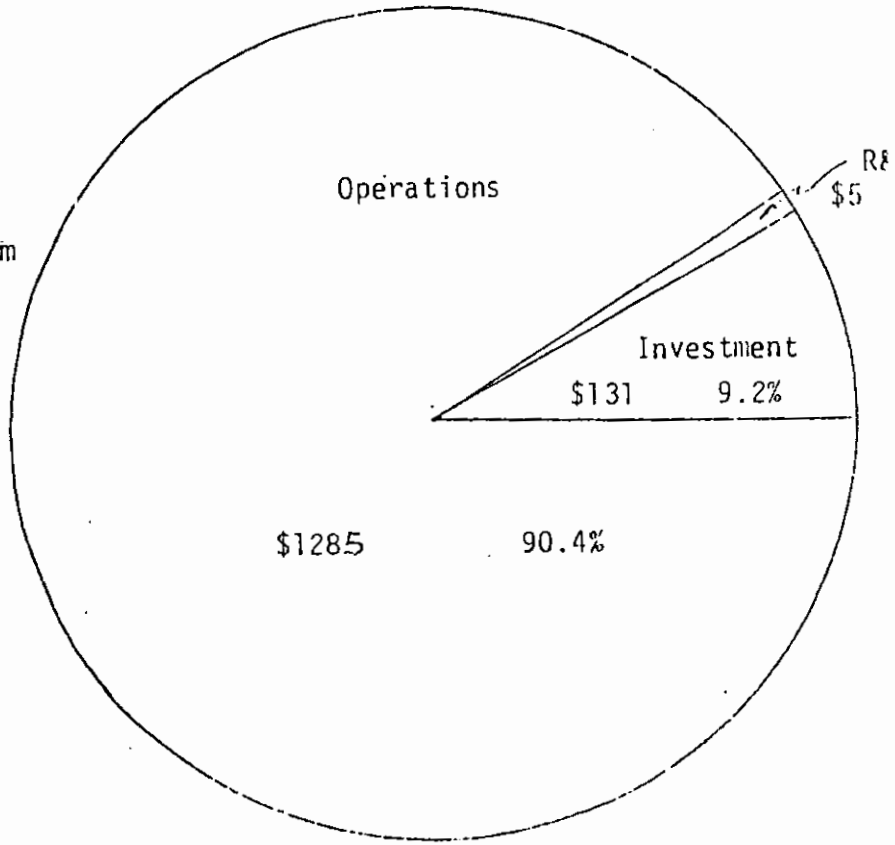
Issues: The issues in this mission area are primarily those related to individual geographical areas (typically of a 50-mile radius). They deal with the relationship of individual base telephone and message centers and the degree to which they are to become integrated with, or replaced by, consolidation programs.

MISSION AREA 322

SUPPORT & BASE COMMUNICATIONS

FY 81 Budget Request - $1421M
($ Millions)





Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

OASD(C^3I)
C^3 Resources

Support and Base Communications Mission Area 322

Funding Summary*

		($ Millions) FY 1981	FY 1982
322	a. Base Comm		
	Base Comm (SAC)	40.9	35.5
	" " (ADC)	10.5	11.8
	" " (TAC)	65.9	69.4
	" " (Navy)	32.9	34.6
	" " (MC)	15.4	16.2
	Installation Audio Visual	2.5	2.3
	Mgmt Hq	135.4	144.4
	Base Comm (Army-CONUS)	118.3	129.0
	" " (Army-EUR)	72.9	86.8
	" " (Army-PAC)	13.3	14.6
	" " Program 3	2.4	3.0
	" " (MAC)	30.7	30.3
	Acquisition/Cmd Spt	4.4	5.2
	Base Comm Logistics	48.6	43.6
	" " Training	30.6	33.1
	" " Health Care	9.6	10.7
	" " Admin	14.2	16.2
		(634.6)	(670.1)
	b. Service-wide Support Comm		
	STARCOM	212.4	207.9
	AIRCOM	181.9	220.8
	NAVCOM	175.2	185.5
		(569.5)	(614.2)
	c. Activity Support Comm		
	Undersea Surv Sys	1.8	1.4
	Weather Serv	22.2	24.9
	AFSC Engr/Install	104.8	111.0
	Satellite Control Fac	13.2	16.1
	Def Met Sat Prog	1.1	1.4
	SAMTEC	8.6	9.3
		(151.7)	(164.0)
	d. Agency Spt Comm		
	Def Invest Serv	0.1	0.1
	Def Map Agency	2.6	2.8
	Nuc Wpns	0.6	0.6
	Logistic Act	33.1	40.4
	Am Forces Info Serv	11.1	9.5
	Defense Contract Audit Agency	1.3	1.6
	Wash Hq Serv	1.8	1.9
		(45.7)	(47.8)
	Total 322	1420.6	1521.5

Totals may not add due to rounding

* Includes all program elements except partials

Common User Communications (Mission Area 323)

Narrative Description. Common user communications encompass those global backbone and inter-area assets required to communicate between national and theater/command and control elements, and between multi-national command and control elements and multi-national tactical forces. Common user communications generally consist of fixed (non-mobile) facilities providing long distance communications in support of multi-service equipments. Economics and connectivity to widely diversified users are gained by the pooling of equipments and facilities. This in turn provides for a robust network, diverse routing, and improved survivability for "thin-line" critical users. The provisioning of a common user backbone also provides the capability to interface diverse systems and equipment via the standardized protocols, signalling and standards of the backbone. Thus, it is both highly compatible with users unique operational concepts, responsive to changes in requirements and capable of providing "on-demand" service for unforeseen requirements. It includes the global switching and transmission facilities of the Defense Communications System (DCS) as well as point-to-point circuits and closed networks. It includes government-owned facilities as well as large amounts of leased assets and contractor support. The switching facilities consist of voice, secure voice, secure record/data and unsecure intercomputer networks. Transmission assets consist of satellites, submarine cables, landlines, and microwave/tropospheric scatter radio systems.

The equipment in use is primarily late 1950/early 1960's technology and major improvements in quality and capability are required. The most significant improvments in recent years have been in the satellite capability area where large gains in global coverage and capacity have been achieved. The system has excellent data security, but very limited security for voice communications. Major improvements in survivability, secure voice, ability to operate under jamming conditions, and reducing the manpower required to operate the system are required.

Budget Profile:

Major Programs:

- AUTOVON and Defense Switched Network
- Secure Voice Improvement Program (SVIP)
- AUTODIN II
- Defense Satellite Communications System (DSCS)

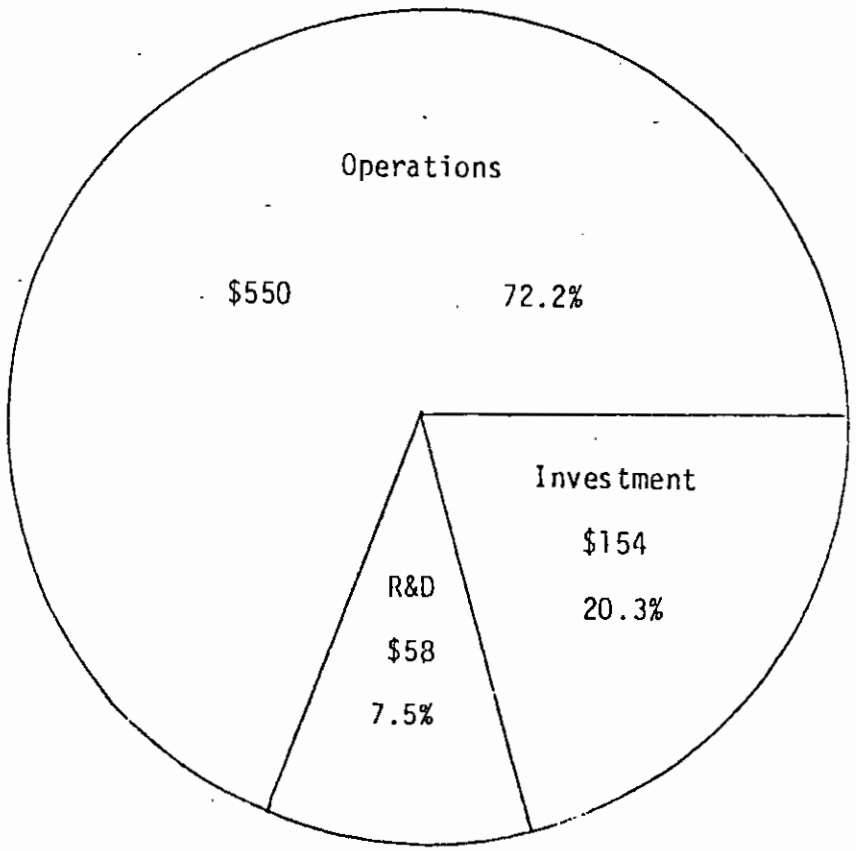
Major Plans:

- Defense Communications System Five-Year Program (FYP) FY 1982-1986
  . Executive Summary
  . OASD(C^3I) Promulgation/Guidance memorandum, July 31, 1980
- Defense Communications System Ten-Year Plan FY 1982-1992
  . Executive Summary
  . OASD(C^3I) Promulgation/Guidance memorandum, October 1980
- Defense Switched Network (DSN)
  . ASD(C^3I) establishment memorandum, September 6, 1979
  . Revised DSN Concept Plan (available January 1981)
- Integrated AUTODIN System - Parts I, II, and III Reports
  . OASD(C^3I) Memorandums on Parts I and II
- Telecommunications Council Charter
- PDM Issue Book
- C^3 section of the Seventh Annual Report to Congress on Rationalization/Standardization within NATO
- C^3 section of the January 1981 Report to Congress on the Readiness Status of NATO's Military Forces
- Revised DoD Directive 2010.7 on U.S. Policy on Rationalization of NATO/NATO Member Communications Facilities
- NICS Stage II Transition Strategy (AC/270-D/220)
- Semi-Annual NJCEC Decision Sheets
- C^3 LTDP Program Monitors Annual Report to the DPC Ministers
- Defense Satellite Communications System Program/Plan FY 1982-1986
  . Executive Summary
  . ASD(C^3I) Approval/Guidance Memorandum, June 12,1980

MISSION AREA 323

COMMON USER COMMUNICATION

FY 81 Budget Request - $761M
($ Millions)



Source: Sep 80 FYDP
Does not [illegible]lude NFIP nor partial program elements

OASD(C^3I)
C^3 Reso[illegible]es

Common User Comm Mission Area 323

Funding Summary*

	($ Millions) FY 1981	FY 1982
323 Defense Satellite Comm Sys	140.3	224.9
Defense Comm Serv (Indust Fd)**	474.1	488.2
Def Comm Ser (Revenues)	-472.9	-487.0
Long Haul Comm - Army	219.2	219.3
" " " - Air Force	231.9	249.3
" " " - DCA	89.2	112.0
" " " - Navy	79.5	101.6
Total 323	761.3	908.4

Totals may not add due to rounding

* Includes all program elements except partials

** Communications Services Industrial Fund (CSIF). The CSIF is a revolving fund which provides leased communication service worldwide to DoD and non-DoD customer activities on a reimbursable basis. The CSIF is managed by the DCA with the day-to-day operation being accomplished by the Defense Commercial Communication Office (DECCO), a field activity of the DCA, located at Scott AFB, Ill. DECCO also has field offices in Europe, Hawaii and Alaska. The total FY 81 estimated commercial sales through the CSIF is $475 million.

Date: December 6, 1980
Director: Mr. Salton
Action Officer: Mr. A. Facey

Program: AUTOVON and Defense Switched Network (DSN)

Description: AUTOVON is the principal long-haul unsecure voice communications network of the Defense Communications System (DCS). It handles end-to-end switched communications for the Department of Defense and certain other government agencies. The network consists of three major components: switching centers, transmission facilities, and terminal equipment. It has a total of 69 operational switching centers connected by 8,800 circuits. Forty-five switching centers are located within the Continental United States (CONUS), eight in Canada, one in the Panama Canal, and fifteen in overseas locations. AUTOVON includes interswitch trunks and subscriber access lines over a variety of means, including microwave, High Frequency (HF) radios, tropospheric scatter, cable, and satellites. These facilities are predominantly leased in the Continental United States with a mixture of leased and government-owned facilities overseas and between the CONUS and overseas nodes.

AUTOVON provides a precedence calling system which ensures that National Command Authorities and other commanders can place calls during crisis situations. This is accomplished by preempting or temporarily denying service to lower priority users. As such it provides common user access to our forces for the day-to-day exchange of information among all echelons of command with an inherent capability for force control and feedback during crisis or conflict levels.

AUTOVON interfaces with the National Communications System (NCS), allied communications networks including electrical connection to the NATO Initial Voice Switched Network (IVSN) and special networks. AUTOVON trunks provide the backbone for the current narrowband AUTOSEVOCOM I network. The planned Secure Voice Improvement Program (SVIP) will use both AUTOVON and other networks for secure voice service.

Recent studies concerning AUTOVON and Base telephone switching systems have highlighted the advantages of employing digital switching/transmission equipments and placing AUTOVON switching functions at or close to the users on military bases. Additionally, the advent of on-base or regional commercial satellite terminals for handling portions of the DoD's long distance AUTOVON, commercial and Federal Telecommunications Service (FTS) traffic offers the advantages for increased economies. Therefore, the DoD is defining and establishing a Defense Switched Network which would take advantage of the less costly and more efficient digital systems and permit a more judicious and balanced use of long distance voice communications. This could eliminate the need for a separate dedicated AUTOVON switched system as we know it today. We are refining and enlarging on the concept studies previously done and will be developing well-defined concept and implementation plans for the CONUS initially and subsequently overseas. These plans will be supported by appropriate transition strategies so that our acquisition and leasing actions for all forms of long distance voice communications as well as our base telephone systems are in harmony.

RDT&E	0.9	1.8
Proc*	2.9	4.8
O&M*	136.8	145.0

*AUTOVON only data as DSN implementation data has not been developed.

Milestones

DSN Concept Plan Approved	Spring 81
Upgrade Fairview AUTOVON Switch	CY 81
Activate Two Alaskan AUTOVON Switches	CY 82

Date: December 6, 1980
Director: Mr. Salton
Action Officer: Mr. A. Facey

Program: Secure Voice Improvement Program (SVIP)

Description: The Secure Voice Improvement Program (SVIP) is to provide a global secure voice capability for the non-tactical elements of our force structure. The capability which exists at the present time is severely limited in quantity, quality, global coverage, and requires cumbersome and complex procedures to place and complete a call. The principal aim is to be able to provide a dial-it-yourself secure voice capability over existing government-owned and leased telephone and transmission systems and be interoperable with Federal (non-DoD) and tactical secure voice systems. Growth to 10,000+ users by the mid-1990s is projected.

The technical design complexities in developing secure voice telephones and the complex interfaces associated with making them interoperable with a range of telephone systems and tactical secure voice networks have severely limited the rate of progress in proceeding towards a new system. The design complexities have not only slipped the projected availability dates by 2-3 years but are resulting in high unit cost projections of $30K plus which have necessitated a re-look at the system approach previously selected. If unit prices remain high, it is probable that the quantities procured will remain low despite the security threat that prevails. Therefore a major reappraisal of our actions and options has been initiated which will:

FUNDING*	FY 81	FY 82	FYDP	Total
RDT&E	14.2M	14.2		
Proc	3.0	3.0		

*Will require increases as new approach is defined.

MILESTONES

Congressional Approval	Fall 1979
Terminal Feasibility Analysis Completed	Spring 1981
Full Scale Development Start	Summer 1981
Low Rate Initial Prod Deliveries	1986

ISSUES

DECISIONS

Each of the above issues will require decisions by OSD and guidance to the MILDEPS during the first half of CY 81.

Date: December 6, 1980
Director: Mr. Salton
Action Officer: Mr. A. Hartigan

Program: Defense Satellite Communications System (DSCS)

Description: The Defense Satellite Communications System provides Super High Frequency satellite communications for secure voice and high data rate transmissions in support of unique and vital national security requirements for worldwide military command and control, crisis management, intelligence and early warning detection data relay, treaty monitoring and surveillance information, Presidential support missions, and diplomatic traffic. The Defense Communications Agency (DCA) is responsible for overall DSCS program management, systems engineering, operations, and satellite communications architecture. The DSCS program consists of a space segment, which is an Air Force responsibility; a multi-user terminal segment of ground, airborne, and naval elements; and an operational control segment. The authorized space segment is comprised of four operational and two in-orbit spare DSCS satellites positioned in synchronous equatorial orbit over four geographical areas to provide global (less polar) coverage to 72° latitude. Existing DSCS II satellites will be replenished with DSCS III satellites which will provide increased channelization, flexibility, and electronic counter-countermeasure capability. DSCS III will include a UHF and, in the future, SHF capability for Emergency Action Message Dissemination.

The ground segment in support of DSCS requirements is large fixed-type terminals equipped with antennas from 60 feet in diameter down to 18 feet in diameter. In addition, the Advanced Airborne Command Post and Navy ships will utilize the DSCS for strategic requirements. There are also a number of small, highly transportable ground terminals available to support JCS contingency operations. All terminals will be equipped in the future with AJ communications equipment to provide communications connectivity in a jammed environment.

Funding ($M) (Estimated)	FY 81	FY 82	FYDP FY 82-86
RDT&E			
Army	15.3	21.0	
Navy	2.1	--	
Air Force	21.3	35.2	
DCA		2.6	
Procurement			
Army	120.0	106.7	
Navy	5.2	6.0	
Air Force	96.0	133.3	
O&M & Mil Pay			
Army	19.7	20.8	
Navy	4.4	7.2	
Air Force	12.2	23.8	

Milestones

- Jan 1981 - the first AN/GSC-39 satellite ground terminal to become operational at Thurso, Scotland

- Feb/March 1981 - the first of the new anti-jam modems will become operational linking Europe and CONUS with protected communications

- May/June 1981 - launch of the first demonstration Flight Satellite of the DSCS III program along with DSCS II satellite number 15 on a TITAN IIIC launch vehicle

- Mid to late 1981 - DSARC III for DSCS III satellites

- Mid to late 1981 - production go-ahead for DSCS III operational satellites

Issues:

Communications Security (Mission Area (324)

Narrative Description. Protective measures taken to deny unauthorized persons information derived from telecommunications of the U.S. Government related to national security and to ensure the authenticity of such communications. Although considered a separate Mission Area, a wide variety of COMSEC equipments and programs upport parent C^3 programs in all other major Mission Areas. All COMSEC resources for all Services and Defense Agencies are separately identified in the COMSEC Resources Program, P.E. 33401.

- Security Standards and Assessments: Development of Signals Security vulnerability and threat assessment capabilities.

- COMSEC Technology: Development of concepts, techniques and technology for integrating Service needs with COMSEC hardware and software.

- Secure Voice: Attain total security for all voice radio communications by the late 1980's - mid 1990's.

  Single Channel Radio

  -- KY-8/28/38 - NESTOR - Wideband Secure Voice - Tactical Crypto

  -- KY-57/58 - VINSON - Wideband Secure Voice - Tactical Crypto

  -- KY-67 - BANCROFT - Wideband Secure Voice - Tactical radio and crypto in a single unit.

  -- KYV-2 - Crypto for AN/PRC-68 VHF-FM squad radio

-- KYV-4/K6V-10 - Crypto and ECCM units for SINCGARS-V

-- KY-65/75 - PARKHILL - Narrowband HF - Tactical Crypto (analog)

-- KYV-5 - ANDVT - Narrowband HF - Tactical Crypto (digital)

Joint Tactical Communications

-- TRI-TAC crypto family

Defense Communications System

-- KY-71, KY-72 - Secure Telephone Units - Digital systems for Secure Voice Improvement Program (SVIP), Federal Secure Telephone System and strategic applications

-- Secure Voice and Graphic Conferencing crypto

- COMSEC Technical Support: Provides operator and maintenance training and support to improve life cycle reliability and availability. Includes test and ancillary equipment

- Material Development/Production/Distribution and Control: Produce, store, issue and account for keying material, codes and other COMSEC support materials.

- Operation and Management Support: Identifies all manpower and supporting resources fully dedicated to COMSEC activities.

SECRET

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Major Plans:

- National COMSEC Plan for Space Systems and Nuclear Weapons Systems
- National COMSEC Plan for Tactical Voice Communications
- National COMSEC Plan for Fixed Plant and Strategic Voice Communications
- Air Force COMSEC Objectives Plan
- Navy Secure Voice Plan
- Army Priorities for Application of COMSEC Equipment Resources
- National COMSEC Policy Directives
- DoD COMSEC and ECCM Directives
- National COMSEC Committee Annual Report
- DoD COMSEC Congressional Budget Justification Books

Major Actions Required/Forthcoming. The ASD(C^3I) represents the Secretary of Defense as the Chairman, National Communications Security Committee, an interdepartmental/agency committee responsible for communications security activities that protect government-derived classified information and government-derived unclassified information relating to the national security.

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MATERIAL,
DEVELOPMENT,
PRODUCTION,
DISTRIBUTION
AND CONTROL

FY 82 COMSEC RESOURCES PROGRAM

($ MILLIONS)

TAB A

162

MISSION AREA 324

COMMUNICATION SECURITY

163

Source: Sep 80 FYDP
Does not include NFIP nor partial program elements

OASD(C3I)
C3 Resources

NATO ACTIVITIES IN C^3I

The Office of the Assistant Secretary of Defense (C^3I) is actively engaged in contributing to the improvement and strengthening of NATO. These contributions take varying forms from small unilateral technical contributions to large multi-national or even total NATO cooperative efforts. The following constitute a partial listing of current activities/initiatives that C^3I is currently pursuing:

1. Participation in NATO C^3 Organizations
2. NATO Air Defense/ACCS Team
3. MIDS
4. IFF/NIS
5. LTDP
6. NICS
7. NATO III Satellite
8. NATO IV Satellite
9. Combat Net Radio
10. Single Channel Radio Access
11. ELCROVOX

Highlights of these programs are contained in the material that follows.

1. Participation in NATO C^3 Organizations.

C^3I currently represents the U. S. in the following high level C^3 NATO bodies:

- NATO Air Defense Committee (NADC) and the Panel on Airspace Management and Control (PAMCS).
- NATO Joint Communications and Electronics Committee (NJCEC).
- NATO Command and Control and Data Processing Committee (NCCDPC).
- Tri-Service Group on Communications and Electronics (TSGCEE) and Subordinate Bodies.
- C^3 Senior National Representatives (C^3SNRs).
- SHAPE Technical Centre Scientific Committee of National Representatives (STC SCNRs).

In all of the above organizations, the C^3I role is to develop and present coordinated U. S. positions to NATO and to provide leadership in order to rapidly progress NATO and U. S. objectives in the C^3 field.

2. NATO Air Defense/ACCS Team.

One of the largest technical programs ever undertaken by NATO has recently been approved by the NATO Defense Ministers. This program, which will improve the total NATO air operations will cost $44 Billion over the next 15 years. The C^3 portion will cost over $4 Billion and encompasses most of the major C^3 efforts in Allied Command Europe.

In order to design, develop and implement the C^3 components, the U. S. recommended a systems engineering team be formed (the ACCS Team), and the nations have agreed. The Team of 30 members will be soon formed and will be in full operation by the summer of 1981. C^3I is actively pursuing the formation of the Team and expects to participate fully with key managers and staff members.

At present there is considerable disagreement among the nations on where the ACCS team will be located as well as selection of personnel to fill key leadership positions on the team. The two locations being considered are Brussels, Belgium and The Hague, Netherlands. The U.S. has maintained a strong position that the team should be located at the SHAPE Technical Center (STC) at the Hague because this would be the least costly approach and would collocate the team with the STC team which will provide it technical support.

Although the US has withdrawn our candidate from consideration as the team leader or deputy, there are still multiple candidates for each position with no clear-cut choice for U.S. support at this time.

MIDS is conceived as NATO's integrated communications-navigation-identification (CNI) program; it has been approved as part of the Air Defense Planning Group's program, under the LTDP. MIDS program work falls under the (TSGCEE), and is monitored by a nine-nation Project Group on MIDS. The current program is a year-long study of MIDS architectural and systems applications, both to support work on a draft Stanag and MOR, and to provide options for detailed architectural and technical standards and characteristics. This work was performed by a full-time, six-nation MIDS Team, located at The Hague. Candidate MIDS systems are JTIDS, SINTAC and MACS. The U. S. goal is now to pursue the MIDS development and implementation as part of the NATO Air Defense Program and in other applications.

4. NATO IFF

The U. S. role in NATO IFF activities relates to the use and installation of the current Mark XII system and the definition of the NIS (future NATO Identification System). The U. S. objective is to achieve secure IFF interoperability through installation of Mark XII compatible equipment by all NATO Allies. As a follow-on, the NATO Identification System (NIS) will be a significant improvement to the Mark XII and extend an IFF capability to the forward combat zone in a ground-to-ground and air-to ground modes. The NIS development will be guided by an agreed upon signals-in-space STANAG that is currently in draft form. This agreement will permit the formulation of national MOU's and phase-in-dates that are commensurate with priorities. The U. S. will retain lead responsibility for the associated cyrptographic components or modules which appear to be the subject of a new development.

However, to date there has been considerable disagreement among the four principal nations (US, UK, FRG and France) participating in the STANAG formulation. A US analysis has shown that a STANAG compliant design will require advanced technology to build and will be costly to acquire and install into existing weapon systems. Thus, the US (with support from France) has insisted that the STANAG include a discussion of alternatives which will be examined and that initial confirmation of the STANAG be with the understanding that the nations will proceed with the development of a STANAG compliant design. (We want everyone to understand that we are not committing to procurement until we complete our US development and get a DSARC decision). We have informed the other nations that we must examine other alternatives (including L-Band, the frequency band of the existing IFF system) to assure ourselves that we have chosen the most cost effective approach. The UK and FRG have raised objectives to the US approach stating that "other alternatives were discarded years ago" but offering no technical documentation to substantiate the basis for discarding. They further feel that the US approach will delay the fielding of a new system. They feel that all efforts should be devoted solely to developing a STANAG compliant design. They object to a STANAG which includes discussion of alternatives, which the US has insisted upon. We have raised this issue to high levels within the MODs and have recently seen some signs of a movement toward the US position. There will be meetings in December 1980 and January 1981 which hopefully will break the stalemate.

5. C^3 Long-Term Defense Program (LTDP).

Although a number of communications, command and control (C^3) programs were underway in NATO, approval of the NATO Long Term Defense Program by Defense Ministers and subsequently by NATO Heads of State and Government in the Spring of 1978 placed these and new programs into a cohesive coordinated whole. It gave NATO and national C^3 efforts an increased sense of purpose and urgency. Of the ten LTDP program areas, C^3 is an essential element in four: maritime posture, air defense, electronic warfare and, of course, the program specifically devoted to C^3. Major C^3 LTDP measures are development and approval of operational, procedural and technical interoperability standards for communications and ADP systems; NATO Integrated Communications System Stage II, Maritime Communications Program; Tactical Trunk Network; Single Channel Radio Access, NATO/National Area Interconnection Program; Strategic ADP System; War Headquarters Improvement Program; Tactical ADP Program; and Warning Improvement Program. These programs will be implemented between now and the end of this century. Over that period, incremental improvements to NATO's C^3 capabilities will take place.

6. NATO Integrated Communications System (NICS). The NATO Integrated Communications System, conceived in 1970, will be an effective operating NATO command, control and communications system by the early 1980s. This system is designed to meet the political and command and control communications requirements of NATO civil and military authorities. The completed network will be a survivable, common-user, switched voice/teletype/data system which will absorb or replace most of the current NATO-funded communications systems. The NICS will connect the NATO headquarters in Brussels, NATO commanders headquarters down to the Principal Subordinate Commands and the NATO national capitals for essential command and control, political consultation, intelligence exchange and messages concerning nuclear weapons employment.

The mature NICS Stage II will be redundant for survivability, will have facilities in all NATO nations, and will be centrally managed and controlled by NATO international personnel. The first stage will be completed about 1983 at a cost of more than one-half billion dollars. The entire system, including Stage II, is scheduled for completion in the mid-1990s. The additional full system cost will approach one and one-half billion dollars (in 1977 dollars).

As major elements of Stage I, the NATO Integrated Communications System Management Agency (NICSMA) contracted for the Telegraph Automatic Relay Equipment (TARE) message switches, the access switches of the Initial Voice Switch Network (IVSN), and the NATO Phase III Satellite Communications System. These systems will be installed and operational by the end of 1983. NICSMA, with national and SHAPE Technical Center (STC) help, completed the NICS Stage II Architecture. At their fall 1980 meeting, the NJCEC agreed on the concept and a transition plan for NICS Stage II. The lack of sufficient funds in the current series of infrastructure slices to complete Stage I and to proceed with Stage II is being brought to the attention of DPC ministers.

8. NATO IV SATCOM

9. Combat Net Radio (CNR)

10. SCRA/MSE

11. NATO Narrowband Secure Voice Equipment (NBSVE)

SUBJECT: Presidential Directive/NSC-53, National Security Telecommunications Policy (U)

BACKGROUND: (TS)

(U) The Office of the Manager, National Communications System, in their 1978 Annual Report to the Executive Office of the President addressed this problem in detail. Also addressed was the lack of a national security telecommunications policy and the fact that this situation would not improve if the telecommunication industry infrastructure continued the trends that were being established.

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(U) President Carter, in his memorandum of November 15, 1979, entitled "National Security Telecommunications Policy (PD/NSC-53)" stated the telecommunications objectives for satisfaction of priority national security needs and set forth principles for national communications assets to meet those objectives. The primary emphasis of those principles is to increase the utility, connectivity, restorability and survivability of common carrier and industry private line networks. The National Communications System (NCS) was given the responsibility to implement these principles (the Secretary of Defense is the Executive Agent for the National Communications System). To meet these responsibilities the NCS Staff works closely with FEMA, other government agencies and the communications industry.

STATUS:

(U) On September 24, 1980, the NSC Staff convened a meeting of the NSC/PD-53 Oversight Committee to review PD-53 implementation status. The NCS was tasked to report progress in two areas, i.e., Common Carrier and FCC initiatives, as well as brief the PD-53 implementation background. All other PD-53 addressees were requested to report on their individual PD-53 Agency initiatives. As a result of the discussion that took place during the 24 September meeting, General Odom tasked the Executive Agent, NCS, to assess the vulnerability of commercial carrier system and the impact of this vulnerability on national security C^3 and to develop a listing of possible guidance to be issued to commercial common carriers and Government agencies to reduce this vulnerability. A briefing report on findings was provided to the PD-53 Oversight Committee on December 4, 1980.

ISSUES

(U) There were four categories of technical conclusions presented during the briefing which led to the overall issue of common carrier vulnerabilities and deficiencies and how to best take action to reduce these deficiencies through government initiatives. These issues are: Legal and regulatory constraints; carrier's interconnection policies; technology and standards influence on interconnection proposals; and economic and financial factors bearing on implementation strategy. The NCS approach to resolving these issues was to separate initiatives to reduce these deficiencies into near term and mid term technical initiatives and policy initiatives. The near term technical initiatives and policy initiatives require financial resources, but no policy or regulatory change. The mid term and policy initiatives do involve regulatory, legislative and policy changes as well as significant dollar resources. A secondary issue, to ascertain whether or not the near term initiatives have any policy impact, was tasked by the NSC for completion by the PD-53 addressees by COB December 11, 1980. It is anticipated that an NSC implementor to take action on the near term initiatives signed by Dr. Brzezinski will be forthcoming.

RECOMMENDATION: (U) The recommendations contained in December 4, 1980, briefing were:

- o Establish NSC-chaired PD-53 Oversight Committee.
- o Approve prioritized initiatives and issue taskings.
- o NCS expedite development of strategic plan.
- o EOP pursue policy initiatives.
- o President appoint an FCC Commissioner with national security background.

More specifically, Executive Agent, NCS, should be prepared to continue to pursue implementation of PD-53 by providing necessary resource support to the Office of the Manager in the near term. The Executive Agent should also be prepared to support the NSC in their mid term and policy initiative areas.

Date: December 8, 1980
Director: Dr. Turner
Action Officer: Mr. R. Thomas

(U) SUBJECT: Presidential Directive NSC-58 Continuity of Government/ C3I dated June 30, 1980

(U) BACKGROUND:

(TS)

(U) CURRENT STATUS:

~~(S)~~

(U) An initial program plan has been briefed to the interagency steering group which, as a result, approved the approach being taken and the Terms of Reference for the JPO. The plan provides for a five-phase program as follows:

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(U) (c) FY 83 Prototype test and evaluation - Through live operational tests and exercises evaluate capability to support the mission, refine procedures and revise operational concept. Based on identified deficiencies, revise specifications and initiate preparation of user documentatation.

~~(TS)~~

(U) (a) Definition of requirements and documentation of the initial operational concept which will be performed in-house with ad-hoc assistance from the participating agencies.

(S)

(U) ISSUES:

(U) Appointment of a Director, JPO. Early action is required to identify and employ a senior respected individual as the Director, Continued civil agency participation and completion of necessary inter-agency agreements are dependent on this appointment.

(U) RECOMMENDATION:

(U) Continued support by DoD for the program defined in PD 58 to include early appointment of a Director.

ELECTROMAGNETIC COMPATIBILITY (EMC)/FREQUENCY MANAGEMENT, MISSION AREA 325

DESCRIPTION: The basic objective of the DoD EMC program is to ensure that telecommunications equipment when operating with other systems in a common electromagnetic environment do so without causing or being caused unacceptable degradation due to unintentional interference (unintentional jamming). This effort is outlined in DoD Directive 3222.3. Frequency management is a basic tool for achieving EMC. It includes both the allocation of the electromagnetic spectrum (national and internationally) into segments for compatible, like systems and the discreet assignment and regulation of frequencies for specific equipments and operations. This is covered by DoD Directive 4650.1. The Electromagnetic Compatibility and Analysis Center (ECAC) is a DoD agency which supports the Services and Agencies in this effort. They have responsibility for developing a communications-electronics systems data base and the analysis tools necessary to determine if systems will operate in their intended electromagnetic environment. The key issues at the current time relate to the implementation of the World Administration Radio Conference (WARC)-79 decisions, the 1984 Space Conference, and a proposal to relocate ECAC.

STATUS: The final acts of WARC-79 have been submitted to the Senate for ratification. No specific date has been set for hearing. A series of proposed domestic rules which would implement the acts nationally are in the process of being issued by the FCC. These rules would become effective upon ratification of the treaty by the Senate. In NATO the Final Acts of WARC-79 will be implemented by a Council document. This document will be considered by a joint civil/military group-the NATO Allied Radio and Frequency Agency (ARFA) during the week of January 23, 1981. Regarding the proposed ECAC relocation, the USAF is scheduled to complete the legislatively required environmental and operational impact studies by mid-December. After internal review the studies will be submitted for public review prior to a SECDEF decision.

CURRENT ISSUES: WARC-79 Implementation - The domestic and international implementation of WARC-79 has raised several issues however, the most important current issue relates to the use of the bands 3.4 to 3.7 GHz and 4.5- 4.8 GHz for international satellite communications. These bands are desired by INTELSAT for expansion of their network to meet future traffic requirements. However, the lower band is used by DoD for airborne radar such as AWACS and the upper band is used in Europe for vital troposcatter communications links. This is an issue both here and in NATO.

ECAC Relocation- The USAF has proposed to move ECAC from its current location at Annapolis, MD to Duluth, Minn., in order to alleviate economic burdens at Duluth caused by the closing

DATE 6 December 1980

DEPUTY David L. Solomon

ACT.OFFICER William Cook

of other USAF operations and to improve the utilization of Government owned facilities. This has created concern for the economic situation at Annaplis as well as the possible impact on DoD and national frequency management operations. The USAF studies will consider all these aspects.

RECOMMENDATIONS: No specific action is required at this time.

		($ million) FY 1981	FY 1982
325	a. Spectrum Mgmt		
	Electromag Comp Anal Ctr	10.1	11.3
	Electromag Spectrum Mgmt	7.3	7.9
		(17.4)	(19.2)
Total 325		17.4	19.2

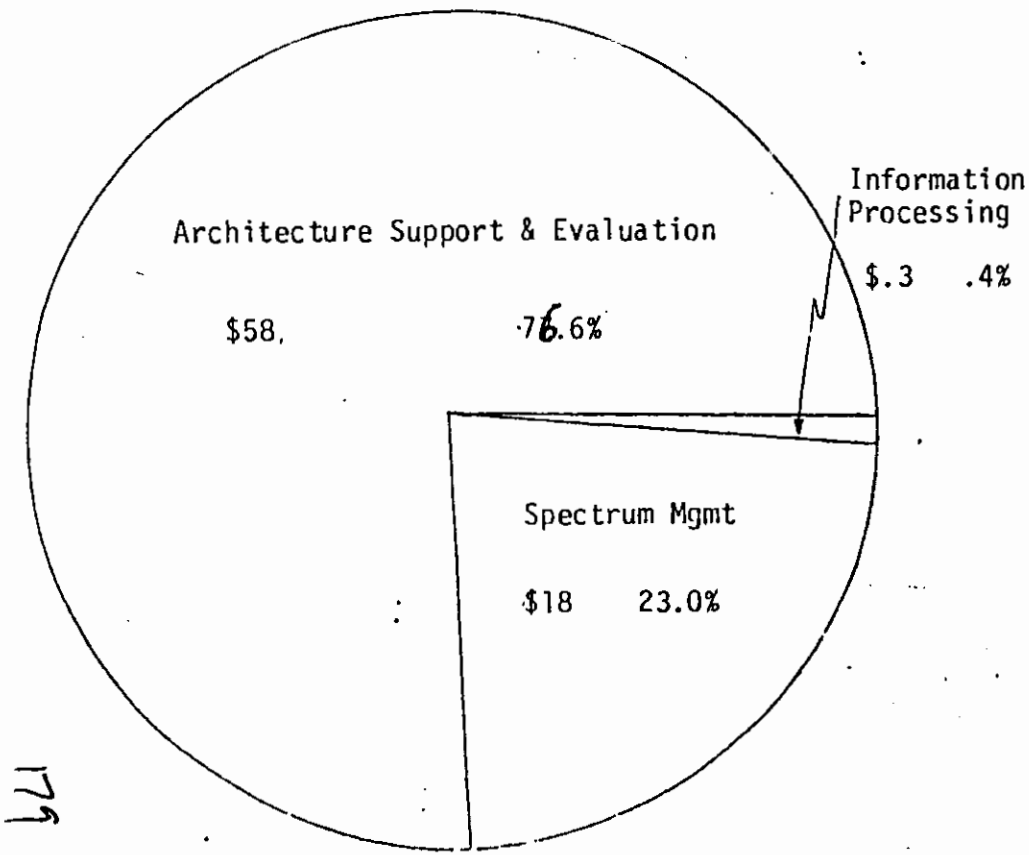
Totals may not add due to rounding

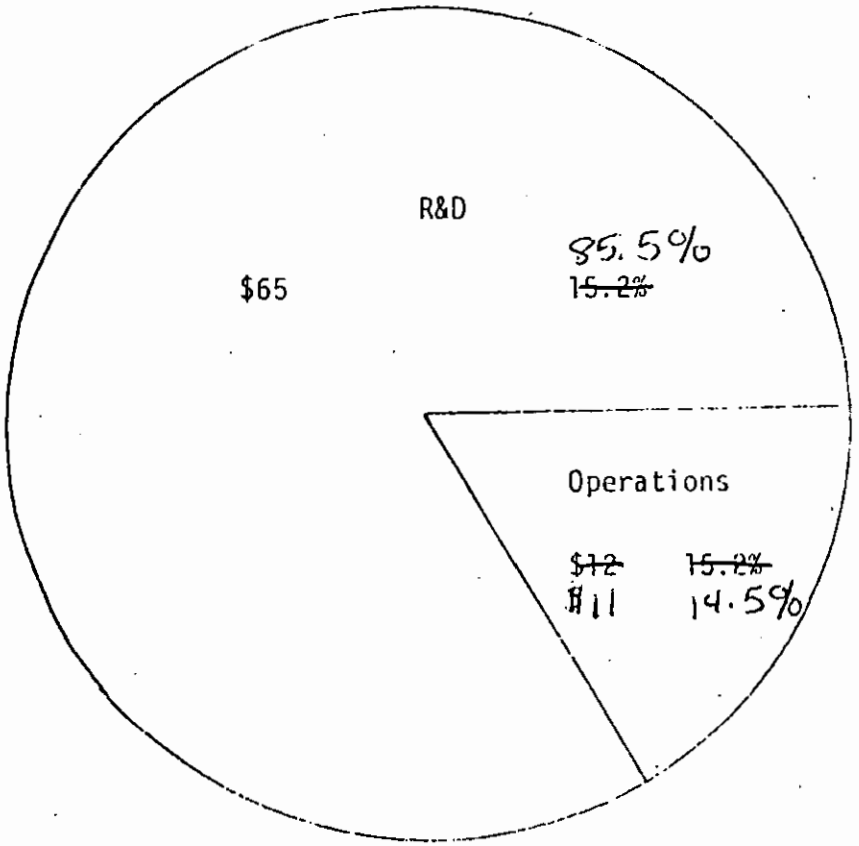
* Includes all program elements except partials

C^{3}I SUPPORT PROGRAMS MISSION AREA 325

Funding Summary*

FY 81 Budget Request - $ 76M
($ Millions)





Source: S[illegible]80 FYDP

OASD(C^{3}I)
C^3 Resou[illegible]s

SUBJECT: International Telecommunications Policy

BACKGROUND: Last year the Department of State established an interagency group for the coordination and discussion of international telecommunications policy. The group is currently chaired by Deputy Under-Secretary of State Nimitz with DoD being represented by ASD(C^3I). The NSC, NTIA, ICA and FCC are also represented. At the present time the principal thrusts of the group include legislative initiatives relative to international communications, transborder data flow/free flow of information, The World Administrative Radio Conference (WRAC-79) and Regional Satellite Communications.

STATUS: The interagency group has had three meetings during the past year and plans to have another regular quarterly meeting in March. Two task groups have also been established; one to consider legislation and the other to develop a proposal policy for regional satellite systems. The first group is developing a legislative primer which is targeted for February 15, 1980. No specific date has been established for the second but the Department of State is preparing a DoS input to the FCC on certain specific cases which have been pending before the F.C.C.

CURRENT ISSUES: 1. Legislative Proposals for Amendment of the 1934 Communications Act. Specific issues are in the process of being developed by the task group on legislative proposals.

2. Transborder Data Flow/Free Flow of Information. The Department of State and other agencies have proposed that US policies which have been enunciated in several international forums on this matter be incorporated into legislation. Because of our international intelligence, administrative (e.g. credit unions, personnel, postal) and broadcasting (e.g. AFRTS) interests the DoD is greatly concerned with the transformation of these positions into a legislative format.

3. World Administrative Radio Conference (WARC-79). The final acts of WARC-79 have been submitted to the Senate for ratification. Departmental and agency testimony as well as US policy toward implementation of the Acts will be considered by this group during the next year.

4. Regional Satellite Communications. Currently the 1962 Communications Satellite Act gives COMSAT/INTELSAT a virtual monopoly over US international, commercial satellite communications. Several proposals before the FCC would tend to erode this monopoly by licensing other carriers for "regional" traffic. This would have the possible benefits of increasing competition, reducing tariffs paid by DoD, and possibly helping to meet the objectives of PD-37 and other directives. However, it tends to be in conflict with the INTELSAT accord and possibly our policy toward the third world.

RECOMMENDATION: Continued active participation by the DoD in this group is recommended to ensure the adequate national security considerations in the development of international communication policy and legislation.

Funding (4) (Funding profiles currently under development)

Milestones (5)

ISSUES (c)