



CHAIRMAN OF THE JOINT CHIEFS OF STAFF INSTRUCTION

Directive current as of 12 February 2008

J-8

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CJCSI 8501.01A

3 December 2004

CHAIRMAN OF THE JOINT CHIEFS OF STAFF, COMBATANT COMMANDERS, AND JOINT STAFF PARTICIPATION IN THE PLANNING, PROGRAMMING, BUDGETING, and EXECUTION SYSTEM

Reference: Enclosure D.

1. Purpose. This instruction describes participation by the Chairman of the Joint Chiefs of Staff, the commanders of the combatant commands, and the Joint Staff in the DOD PPBE process.
2. Cancellation. CJCSI 8501.01, 1 April 1999, "Chairman of the Joint Chiefs of Staff, Commander in Chiefs of the combatant commands, and Joint Staff Participation in the Planning, Programming, and Budgeting System" is hereby canceled.
3. Applicability. This instruction applies to the CJCS, the commanders of the combatant commands, and the Joint Staff.
4. Authority. This instruction, in conjunction with CJCSI 3100.01 and MID 913 (22 May 03) implements DOD Instruction 7045.7, "Implementation of the Planning, Programming, Budgeting, and Execution System (PPBE)," and DOD Directive 7045.14, "The Planning, Programming, Budgeting, and Execution System."
5. Policy
 - a. Each Military Department, Defense agency, and US Special Operations Command (USSOCOM) are in the best position to determine its requirements for equipment and personnel needed to comply with the Strategic Planning Guidance (SPG) and Joint Programming Guidance (JPG). Management of resources is considered an internal matter in accordance with the statutory responsibility of each Military Department

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

b. Goldwater-Nichols legislation (Reference c) was the impetus for strengthening joint military participation in the management of DOD resources. Currently codified in Title 10, U.S. Code, Armed Forces (Reference g), this legislation provides the CJCS, COCOMs, and the Joint Staff a greater voice in the planning, programming, budgeting, and execution process.

c. As principal military advisor to the President, Secretary of Defense, and the National Security Council, the CJCS has statutory responsibility to assist the President and SecDef in providing strategic planning, direction, and advice on requirements, programs, and budget priorities identified by the COCOMs. CJCS mechanisms to satisfy these statutory responsibilities include the Joint Strategic Planning System (JSPS), Functional Capability Board (FCB), Joint Capability Board (JCB), and the Joint Requirements Oversight Council (JROC), which are discussed under separate instructions sited at Enclosure D.

6. Scope. This instruction is limited to discussion of the role of joint military institutions in the management of resources within the Secretary of Defense's DOD PPBE process (Reference a, b, and k).

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

8. Responsibilities. See Enclosure A.

9. Summary of Changes. This revision incorporates changes to PPBE process presented in Management Initiative Decision 913, 22 May 2003, (Reference k).

10. Releasability. This directive is approved for public release; distribution is unlimited. DOD components (to include the combatant commands), other federal agencies, and the public may obtain copies of this directive through the Internet from the CJCS Directives Electronic Library at http://www.dtic.mil/cjcs_directives. Copies are also available

from the Government Printing Office on the Joint Electronic Library CD-ROM.

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

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

For the Chairman of the Joint Chiefs of Staff:



NORTON A. SCHWARTZ
Lieutenant General, USAF
Director, Joint Staff

Enclosures:

- A -- Responsibilities
- B -- Joint Participation in DOD Planning Programming, Budgeting, and Execution System
- C -- The Congressional Budget Process
- D -- References
- GL -- Glossary

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ENCLOSURE A
RESPONSIBILITIES

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

a. Chairman of the Joint Chiefs of Staff

(1) Strategic Planning

(a) Prepare and submit to SecDef the National Military Strategy providing advice and assistance as to the strategic direction of the Armed Forces in accomplishing national security objectives.

(b) Prepare strategic plans including plans that conform with resource levels projected by the Secretary of Defense to be available for the period of time for which the plans are to be effective.

(c) Perform net assessments to determine the capabilities of the Armed Forces of the United States and its allies as compared with potential adversaries.

(d) Prepare joint logistics and mobility plans to support those strategic plans and recommend the assignment of responsibilities to the armed forces.

(2) Contingency Planning

(a) Provide for the preparation and review of contingency plans that conform to the President's and Secretary of Defense's guidance.

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

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

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

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

- (a) Advise the SecDef on the priorities identified by the commanders of unified and specified combatant commands.
- (b) Advise SecDef on the extent to which program recommendations and budget proposals of the Military Departments and other DOD components conform with the priorities established in strategic plans, and with the priorities established for the combatant commands.
- (c) Submit alternative program recommendations and budget proposals for activities of the combatant commanders within projected resource levels and guidance provided by the SecDef.
- (d) Review the draft Strategic Planning Guidance (SPG) and Joint Programming Guidance (JPG) and provide comments to the SecDef.
- (e) Prepare and submit to SecDef the Chairman's Program Recommendations (CPR) providing CJCS' personal recommendations for consideration in publishing the Joint Programming Guidance (Reference d & e).
- (f) Prepare and submit to SecDef the Chairman's Program Assessment (CPA) providing CJCS' personal appraisal on alternative program recommendations and budget proposals for consideration in refining the defense program and budget through the Program/Budget review process (Reference d & e).
- (g) Participate as a member of the Senior Leader Review Group (SLRG) and Strategic Planning Council (SPC).
- (h) Advise the SecDef on major budget issues (MBIs).

(4) Discuss and make recommendations on COCOM planning, programming, budgeting, and execution concerns with the SecDef, DepSecDef, and the SRLG.

b. Commanders of the Combatant Commands. COCOMs have the opportunity to provide input and comment in all four phases of PPBE to ensure their commands attain the best mix of forces, equipment, and support.

(1) Planning

(a) Provide input to CJCS in development of NMS and net assessments.

(b) Provide input to CJCS to assist in the development of the CPR/CPA.

(c) Meet with the Strategic Planning Council before the final draft SPG and JPG are provided for SecDef signature to consider the adequacy of policy, strategy, forces, and resource planning guidance.

(d) Provide input to the Joint Staff regarding COCOM capability needs, redundancies, and an assessment of risks resulting from balancing tasks and available resources.

(2) Programming

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

(b) At a time, and in a manner specified by the Office of the Secretary of Defense (OSD), prepare and submit an integrated priority list (IPL) according to SecDef, DepSecDef, and CJCS instructions. These may include, but are not limited to, listing high priority capability needs, prioritized across Service and functional lines, risk areas, and determining long-term strategic planning issues.

(c) Provide input to CJCS to assist in development of the CPR/CPA.

(d) Independently submit issue papers (according to OSD PA&E guidance) through the CJCS during the annual program review process and participate in SLRG and Strategic Planning Council deliberations as appropriate.

(3) Budgeting

(a) Submit to the components, responsible commands, and Military Departments a budget proposal for activities to be included in the President's Budget. These may include:

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

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

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

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

(4) Execution

(a) Prepare and submit COCOM quarterly reports in message format to the SecDef and CJCS as requested.

(b) At a time, and in a manner specified by the service components or their command responsible for execution year funding, provide mid-year assessments and Congressional supplemental requirements as required.

c. The Joint Staff. All Joint Staff directorates participate in all phases of the PPBE process. The Director, Joint Staff directs the activities related to planning, programming, budgeting, and execution and assigns responsibilities as required.

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

(a) Participating in the annual program review and budget review for CJCS.

(b) Analyzing the COCOM IPLs and informing the CJCS about combatant commander's most important concerns as well as common concerns shared across all commands. J-8 will be supported by the FCBs in this process (Reference e).

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

(d) Performing tradeoff analyses of alternative resource levels.

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

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

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

(h) Providing SecDef a coordinated response on assessment of COCOM quarterly reports.

(2) Independent of the formal PPBE process, the Director, J-8 serves as both the JROC Secretary and the JCB Chairman. J-8 also maintains oversight of the FCB process. The JROC links to PPBE through endorsement of JCIDS documents and by framing potential CPR and CPA issues that emerge from the FCB process. The FCB process and the systems contained therein are discussed in References d and e.

(3) The Directorate for Strategic Plans and Policy (J-5) governs operation and policy of the CJCS Joint Strategic Planning System (JSPS). The JSPS interacts with key DOD systems providing SecDef supportive military advice into the PPBE process. The JSPS and the systems contained therein are discussed in Reference f.

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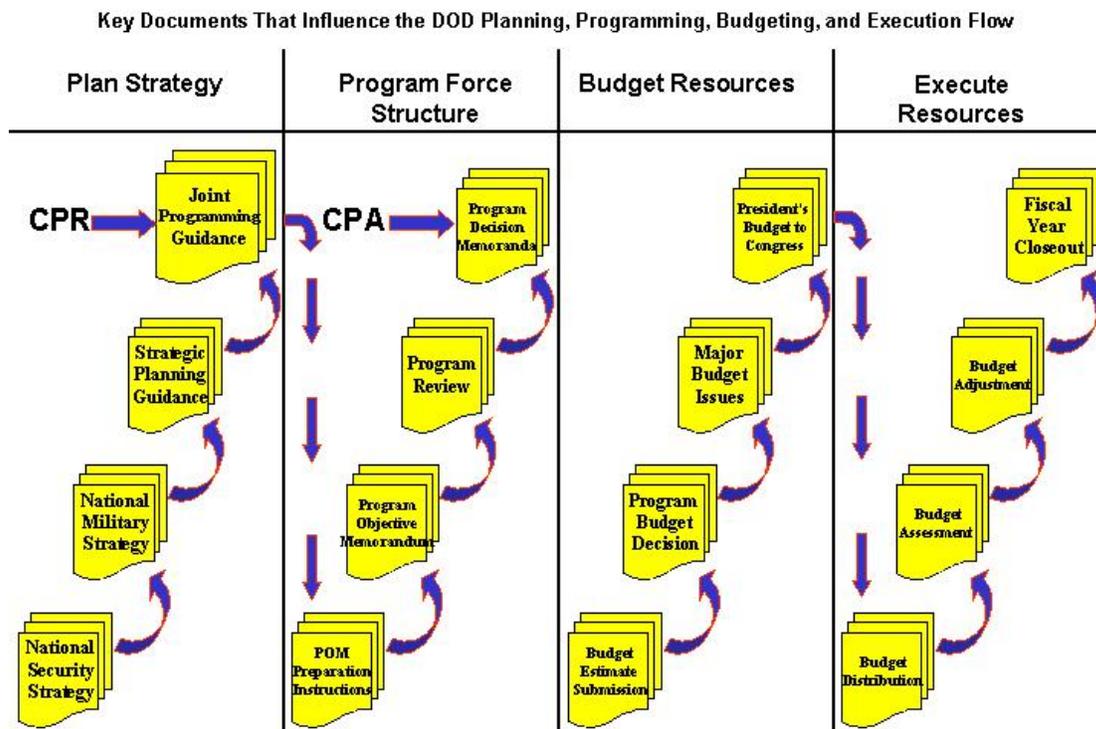
ENCLOSURE B

JOINT PARTICIPATION IN DOD PLANNING, PROGRAMMING,
BUDGETING, AND EXECUTION

1. Title 10 U.S.C. requires the CJCS to provide strategic direction and prepare strategic plans for the Armed Forces. The Joint Strategic Planning System (JSPS) is the formal means by which the CJCS, in consultation with the JCS and combatant commanders, discharge responsibility to give a continuous study of the strategic environment. Strategic direction is provided through the National Military Strategy and Joint Vision 2020. Joint Vision 2020 is a long-range document that provides a common focal point for future planning and recommends concepts for operating within the projected security environment. Prepared in consultation with the combatant commanders and JCS, the NMS conveys CJCS advice on strategic direction for the Armed Forces.

2. Title 10 U.S.C. also requires the CJCS to provide advice and assistance to the SecDef in the development of written policy guidance for the preparation and review of the program recommendations and budget proposals of the DOD components. The DOD PPBE process is SecDef's central framework and decision-making process for resource allocation. The purpose of the PPBE is to plan a defense strategy which

Figure B-1



meets a threat, programs resources to fit a strategy or capability, and prepare a DOD budget in support of these programs. The PPBE process is based on objectives, policies, and strategies derived from National Security Directives signed by the President. Figure B-1 shows the key documents that influence the PPBE flow through each phase. As a result of MID 913, the POM and BES are submitted to OSD at the same time. Because of this, the Program and Budget Reviews will happen concurrently.

(1) Planning

(a) The planning phase of the PPBE identifies capabilities that support US national security objectives, develops a strategy to utilize capabilities in response to threats, and determines capabilities and forces required to support the strategy. The principal PPBE document produced in this phase is the SPG.

(b) A draft of the SPG is prepared by the Under Secretary of Defense, Policy. The Chairman, COCOMs, Service Chiefs, and OSD staff have an opportunity to review and comment on the draft SPG. The Deputy Secretary of Defense (DepSecDef) may convene an SPC for COCOMs to meet with the Secretary of Defense and discuss their recommendations on the draft.

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

(d) The SPG establishes a framework for and gives direction to an Enhanced Planning Process (EPP), which will culminate in the Joint Programming Guidance (JPG).

(e) Off-Year Planning: The bi-annual nature of the PPBE process results in an off-year where the primary focus is on execution of the budget. During the off-year, a SPG will normally not be produced. EPP studies will continue to progress in order to support future year programming efforts.

(2) Programming

(a) A draft of the JPG is prepared by the Director, Program Analysis and Evaluation (USD, PA&E). The JPG is designed to provide fiscally constrained programming guidance. Among issues for consideration in the JPG are EPP recommendations and high priority COCOM capability shortfalls.

(b) In support of the JPG and Service POM development, the COCOMs prepare an Integrated Priority List (IPL), which is a succinct statement of key capability gaps that could hinder the performance of assigned missions. This list is prioritized across Service and functional lines and is fiscally constrained. The IPL is submitted to the SecDef, DepSecDef, and the Chairman. The Joint Staff highlights COCOM concerns by employing the FCBs to provide analysis, assessments, and recommendations. The highest priority COCOM shortfalls and EPP recommendations are reviewed by the 3-Star Programmers for possible inclusion in the JPG. Final JPG issues are approved by the Strategic Planning Council.

(c) The Military Departments, USSOCOM, the Joint Staff, and Defense agencies develop their proposed programs based on the guidance provided in the SPG, JPG and FG. These programs expressed in the POMs, reflect systematic analysis of missions and objectives to be achieved, methods to accomplish them, and allocation of resources to each. Each combatant command provides their warfighting requirements to its Service components or designated responsible commands for incorporation into POMs.

(d) The CPR and CPA focus on enhancing joint readiness and warfighting requirements, and provides CJCS' personal programming and budgeting recommendations to SecDef for consideration. The CPR is submitted to the SecDef in parallel with preparation of the JPG and prior to submission of DOD component and USSOCOM POMs. The CPA is submitted to the SecDef after DOD component and USSOCOM POMs are delivered to OSD and is designed to influence the Program Review Process.

(e) Following a staff review of the POMs, SLRG members, FCBs, and COCOMs submit potential issues to OSD for consideration. Selected issues are subsequently developed in detail. The Joint Staff participates in the development of the issues by providing members to an issue team led by an OSD PA&E analyst. During the program review, the 3-Star Programmers Group and the SLRG meet to discuss issues in detail and to recommend solutions to the SecDef.

(f) A special SLRG session, if scheduled, at the start of the POM review process will allow the COCOMs to present their views on the POMs, and review selected issues that have been designated of general interest to the COCOMs. In addition, appropriate COCOMs may be invited to attend SLRG meetings when their high priority issues are being considered.

(g) After all SLRG discussions have taken place, the DepSecDef makes a preliminary decision on each issue. After consultation with the SecDef, final decisions are documented in a PDM to the DOD Components. PDMs are the directive communiqués approving POMs, as modified by the DepSecDef's final decisions.

(h) Off-year Programming: The bi-annual nature of the PPBE process results in an off-year where the primary focus is on execution of the budget. The normal programming cycle is modified slightly in that a JPG may not be produced. COCOM IPLs submitted in an off-year are reviewed by the FCBs for very high priority capability shortfalls. The results of this analysis will assist the Joint Staff in reviewing and adjudicating COCOM inputs into the Program/Budget review process. There is a significantly higher threshold to programmatic changes during an off-year in order to reduce the number of programmatic changes.

(3) Budgeting

(a) The budgeting phase establishes the final estimated costs for the DOD portion of the President's budget. The Military Departments, USSOCOM, and Defense agencies apply a strict costing to the estimates in the POMs, as modified by the PDMs, to develop their budget estimate submissions (BES). After OUSD Comptroller receives the BES, they conduct joint OSD/OMB reviews and hearings. Generally, hearings are conducted with program element monitors or their representatives. Other concerned parties normally attend to ensure the Services' perspective in programs and funding are understood. Recommendations are made to the DepSecDef (or OUSD Comptroller if the decision is uncontested on the OSD staff) by the OSD and OMB staffs. Decisions are transmitted by program budget decisions (PBDs) to the DOD components. The Joint Staff and the COCOM staffs receive all PBDs issued by OUSD-C.

(b) The Joint Staff, in conjunction with the COCOMs, FCBs, and the Services, analyze all PBDs for warfighting impact. In the case of draft/unsigned PBDs, the Joint Staff assess their impact and recommends a response to OSD, signed by the Chairman or the Chairman-designated representative in J-8. The DepSecDef or OSD, Comptroller may either sustain or modify draft PBDs. Their decision will be rendered in signed PBDs. If a signed PBD is not satisfactory, the Chairman or the Service may take this budget issue to the SLRG or the DepSecDef for resolution as an MBI. MBIs are limited to those few items OUSD(C), the Service Secretaries, and the Chairman (with consideration of the views of the COCOMs), feel most strongly about. The SLRG may review the MBIs and make recommendations to the SecDef. The SecDef or the DepSecDef has the option to meet individually with the Chairman

or the Service Secretaries to discuss these budget issues. All final decisions are transmitted to the DOD components through a signed PBD. All final budget decisions are then incorporated into the President's Budget.

(4) Execution. The Joint Staff is not a major player in the execution phase of PPBE. The staff provides analysis and support to CJCS, COCOMs, and Secretary of Defense as requested.

3. The Chairman advises SecDef on the extent to which program and budget proposals of the DOD components conform to warfighting requirements. Joint military institutions provide continuous input, coordination, and influence in shaping the DOD PPBE (Figure B-2). This may include drafting the SPG and JPG, providing input to the POMs,

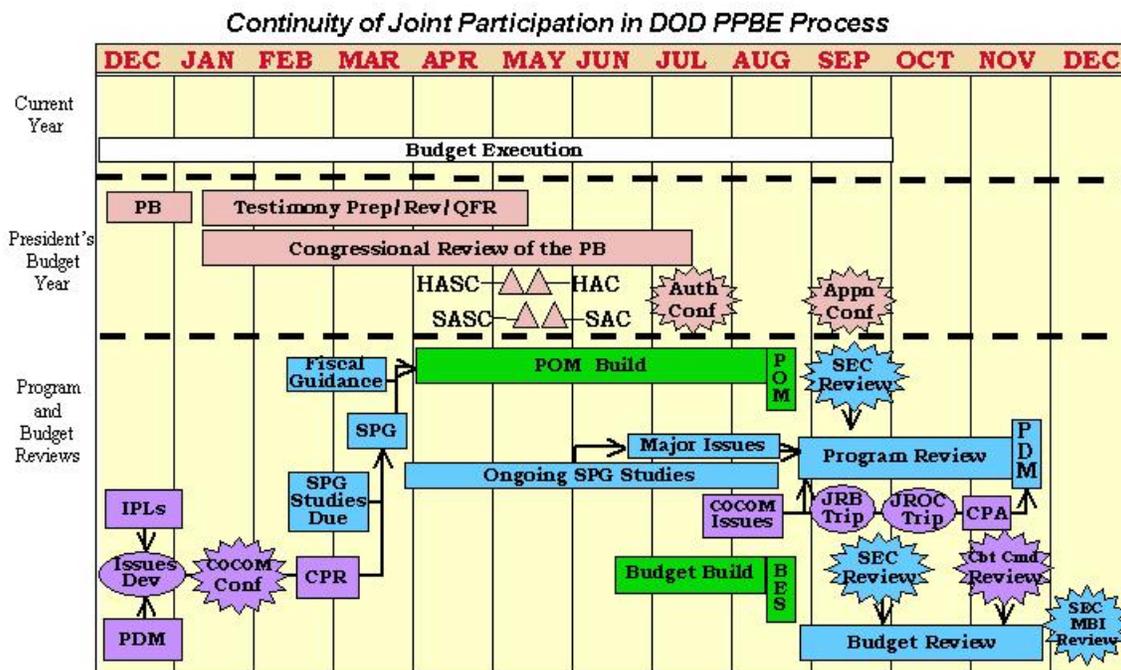


Figure B-2

participation in program and budget reviews, and ultimate development of the Presidents' budget. The COCOMs are full participants in the FCB process. After the JROC's periodic COCOM trips, the JROC CPA and CPR recommendations to CJCS are finalized using inputs received from the COCOMs and FCBs. The actual timing of the process output milestones is established to ensure the CPR and CPA are completed in time to influence the JPG and Program/Budget review respectively. The FCB process is closely connected to the PPBE cycle through the IPLs,

Issue Development, and CPR input to the JPG and the CPA input to the Program/Budget Review process. JSPS, PPBE, and COCOM issues are sources for potential FCB assessments.

4. Additional PPBE information on budget formulation, presentation, and execution can be accessed from the following website:
<http://www.defenselink.mil>.

ENCLOSURE C

THE CONGRESSIONAL BUDGET PROCESS

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

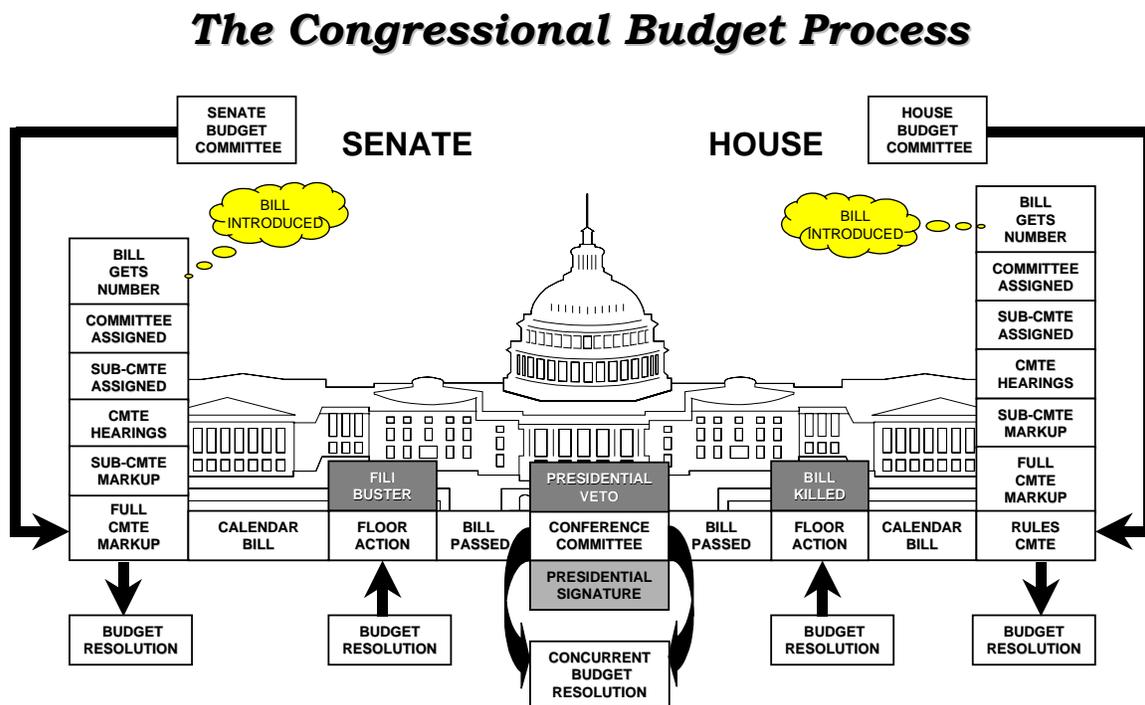


FIGURE C-1

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

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

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

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

3. Committee/Subcommittee. When a bill is introduced, it is referred to a committee. The committee may ask DOD for written comments on the measure.

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

(b) Following hearings on introduced bills, committees meet to “mark up” legislation. For defense bills, these markups usually take place during the March—June period. The purpose of these meetings is to decide whether the bill (1) should be amended, and (2) referred to the full House or Senate for a vote. DOD will often discuss important issues with members or staff prior to the markup. Amendments can be minor or major. If the committee votes to report the bill, it will also submit a document—the “Committee Report”—which explains the bill’s purposes and provisions.

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

(a) Appeals. The Department has a formal process for “appealing” legislative language and/or funding provisions contained in House and

Senate passed versions of bills. The process, under the control of the USD Comptroller, may begin after markup. The general idea is to influence conference action on the bill.

(b) In addition to the formal appeals process, the Department may contact members and staff, or may provide written communications from the Secretary or other high Departmental officials. Note that the Office of Management and Budget must clear all written communications to Congress relating to legislation.

(c) President's Position. Generally, the White House may express its views on a measure to be considered on the floor of the House or Senate in a written document called a Statement of Administration Policy," or SAP. The office of Management and Budget—which represents the President—will prepare this document in consultation with the Department.

5. Congressional Votes. After a Committee reports a bill to the full body, the bill will be debated and possibly amended by the members, and passed. Generally, bills are passed first by the House, and then referred to the Senate for action.

6. Conference. A bill cannot become law until the President signs it. The President can only sign a bill that has been passed in exactly the same form by the House and the Senate. "Conference" are House-Senate meetings at which differences between similar bills are worked out—the goal is to produce a single measure that both bodies can pass. Each body is represented by a number of "conferees," almost always from the Committee(s) that originally reported the bill.

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

a. If both the House and Senate pass exactly the same bill, the bill is presented to the President. The President has 10 days in which to sign the bill. If the President "vetoes" the bill, the Congress may override his decision by a two-thirds vote in both the House and Senate.

b. After a Defense appropriations bill becomes law, DOD may propose certain spending be cancelled (a rescission) or reprogrammed for another use. Congressional oversight committees must approve a rescission

within 45 days of continuous session after receipt of the proposal or the funds must be made available for obligation.

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

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

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

10. Websites for Congressional Reference Documents.

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

ENCLOSURE D

REFERENCES

- a. DODD 7045.14, 22 May 1984, "The Planning, Programming, and Budgeting System (PPBS)."
- b. DODI 7045.7, 23 May 1984, "Implementation of the Planning, Programming, and Budgeting System (PPBS)."
- c. Public Law 99-433, 1 October 1986, "Goldwater-Nichols Department of Defense Reorganization Act of 1986."
- d. CJCSI 5123.01 Series, "Charter of the Joint Requirements Oversight Council."
- e. CJCSI 3137.01C Series, "The Functional Capabilities Board Process."
- f. CJCSI 3100.01 1 Series, "Joint Strategic Planning System."
- g. Title 10 U.S. Code, Armed Forces, March 18, 2004.
- h. DODD 5100.1 25 Series, "Functions of the DOD and Its Major Components."
- i. DODI 7000.14-R Volume 2, "Budget Formulation and Presentation."
- j. DODI 7000.14-R Volume 3, "Budget Execution – Availability and Use of Budgetary Resources."
- k. Management Initiative Decision 913, 22 May 2003

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GLOSSARY

PART I -- ACRONYMS AND ABBREVIATIONS

BES	Budget Estimate Submission
BR	Budget Review
CPA	Chairman's Program Assessment
CPR	Chairman's Program Recommendations
CRA	Continuing Resolution Authority
EPP	Enhanced Planning Process
FCB	Functional Capabilities Board
FG	Fiscal Guidance
FYDP	Future Years Defense Program
EPP	Enhanced Planning Process
IP	Issue Paper
IPL	Integrated Priority List
JCB	Joint Capabilities Board
JPG	Joint Programming Guidance
JROC	Joint Requirements Oversight Council
JSPS	Joint Strategic Planning System
JSR	Joint Strategy Review
MBI	Major Budget Issue
NMS	National Military Strategy
PPBE	Planning, Programming, Budgeting, and Execution
PPI	Program Objective Memoranda Preparation Instructions
PBD	Program Budget Decision
PDM	Program Decision Memoranda
POM	Program Objective Memoranda
PR	Program Review
PRG	Program Review Group
SAP	Statement of Administration Policy
SLRG	Senior Leader Review Group
SPC	Strategic Planning Council
SPG	Strategic Planning Guidance

GLOSSARY

PART II – TERMS

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

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

Budget Estimate Submission (BES). The proposed budget submission to OUSD Comptroller, by the Services and Defense agencies outlining how they intend to use allocated resources for the next two fiscal years (Reference e).

Chairman's Program Assessment (CPA). Provides the CJCS' personal appraisal on alternative program recommendations and budget proposals to the Secretary of Defense. The CPA comments on the risk associated with the programmed allocation of Defense resources and evaluates the conformance of program objective memoranda to the priorities established in strategic plans and combatant commander's priority requirements (Reference e).

Chairman's Program Recommendations (CPR). Provides the CJCS' personal recommendations to the Secretary of Defense for the programming and budgeting process before publishing the Joint Planning Guidance, in accordance with Title 10, USC. The CPR articulates programs the Chairman deems critical for the Secretary of Defense to consider when identifying DOD priorities and performance goals in the JPG and emphasizes specific recommendations that will enhance joint readiness, promote joint doctrine and training, improve joint warfighting capabilities and satisfy joint warfighting requirements within DOD resource constraints and within acceptable risk levels (Reference e).

Continuing Resolution Authority (CRA). A joint resolution cleared by congress and approved by the President to provide new budget authority

for federal agencies and programs to continue operations pending Presidential signature of the regular appropriations act (Reference e).

Enhanced Planning Process: Designed to examine major issues and provide capability-based analyses of programmatic alternatives to the Secretary of Defense.

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

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

Integrated Priority List (IPL). A list of combatant commanders highest priority requirements, prioritized across Service and functional lines. They define shortfalls in key programs that may adversely affect the combatant commander's mission. Each COCOM submits and IPL annually (Reference e).

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

Joint Capability Board (JCB). A flag officer board, established by the JROC, to assist it in carrying out its duties and responsibilities (Reference e).

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

Joint Requirements Oversight Council (JROC). The JROC conducts requirements analyses, validates mission needs and key performance parameters and develops recommended joint priorities for those needs. The JROC validates the command, control, communications, computers and intelligence certification of mission needs and operational requirements documents for conformance with joint policy, doctrine, architectural integrity, and interoperability standards. The JROC advises the Chairman on the requirements and capability needs (Reference e).

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

Major Budget Issues (MBIs). Key budget issues remaining unresolved to the satisfaction of the combatant commanders and Service Chiefs at the end of the budget review (Reference e).

Management Initiative Decision 913. Implemented the two year Planning, Programming, Budgeting, and Execution Process on 22 May 2003.

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

Planning, Programming, Budgeting, and Execution System (PPBE). The Department of Defense's cyclic process for determining requirements and allocating resources (Reference e).

President's Budget (PB). The annual budget submitted by the President to Congress for approval. The PB is ultimately prepared by OMB and includes the Defense Budget (Reference e).

Program Budget Decisions (PBDs). Budget review document used to review and make changes to the Services' BES. PBDs are coordinated with the Joint Staff, Services, and combatant commands and approved by the DepSecDef (Reference e).

Program Decision Memoranda (PDMs). A decision paper signed by the Deputy Secretary of Defense outlining and approving changes to the POM submissions (Reference e).

Program Objectives Memoranda (POM). Recommendations from the Services and Defense Agencies to the Secretary of Defense concerning how they plan to allocate resources to meet the SPG and JPG (Reference e).

Recission. An item in an appropriations bill canceling budget authority previously appropriated but not spent. Repeal of a previous

appropriation by congress at the request of the President to cut spending or because the budget authority is no longer needed.

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

Strategic Planning Guidance (SPG). Single fiscally-informed document that replaced the policy/strategy sections of the Defense Planning Guidance.