



CHAIRMAN OF THE JOINT CHIEFS OF STAFF INSTRUCTION

Directive Current as of 16 Aug 2018

J-7
DISTRIBUTION: A, B, C, S

CJCSI 3010.02E
17 August 2016

GUIDANCE FOR DEVELOPING AND IMPLEMENTING JOINT CONCEPTS

References: See Enclosure E.

1. Purpose.

a. This instruction provides guidance and responsibilities for developing joint concepts and transitioning approved joint concepts into applicable joint capability development processes for implementation.

b. While primarily addressing the development and transition of joint concepts, this instruction acknowledges that implementing a joint concept occurs through application in accordance with authoritative policy, guidance, and processes governing joint capability development programs.

2. Superseded/Cancellation. CJCSI 3010.02D, 22 November 2013, "*Guidance for Development and Implementation of Joint Concepts*," is hereby superseded.

3. Applicability. This instruction applies to the Joint Staff (JS), Military Services, National Guard Bureau (NGB), combatant commands (CCMDs), Defense Agencies, and joint and combined activities responsible to the Chairman of the Joint Chiefs of Staff (CJCS), hereafter referred to as the Chairman.

4. Policy. This instruction describes and documents the procedures used by the Chairman to fulfill his responsibilities under title 10, U.S. Code, sections 153 and 181 per reference a.

5. Definitions. See Glossary.

6. Responsibilities. See Enclosure D.

7. Summary of Changes. This revision of CJCSI 3010.02D:

a. Reflects overarching guidance for developing joint concepts within the Department of Defense (DoD) for approval by the Chairman, for the Capstone Concept for Joint Operations (CCJO); or by the Vice Chairman, for all other joint concepts.

b. Incorporates lessons learned and adjustments to the Joint Concept Program procedures endorsed by the Joint Concept Development (JCD) governance bodies.

c. Clarifies voting procedures for the JCD governance bodies: the Joint Concept General Officer Steering Committee (JC GOSC) and the Joint Concept Working Group (JCWG).

d. Establishes a Joint Concept Review Committee (JCRC) to evaluate concept prospectuses before submission to the broader JCWG for action, review concepts at the mid-point of development, and develop recommendations for the JC GOSC on issues affecting the JCD program.

e. Specifies procedures for developing, submitting, and reviewing joint concept prospectuses.

f. Establishes a joint concept life cycle to guide the development, evaluation, transition, and assessment of joint concepts over time, and to serve as a bridge between JCD and the broader joint force development community, in order to facilitate concept implementation.

g. Changes primary responsibility for JCD governance to the JS J-7; eliminates JS J-8 responsibility of co-lead for JCD governance.

h. Clarifies roles and responsibilities for the design and execution of in-stride evaluations during concept development, and affirms the requirement for further testing and verification after approval of a concept.


i. Clarifies requirements and responsibilities for transitioning and implementing joint concepts.

j. Establishes annual review of approved joint concepts.

8. Releasability. UNRESTRICTED. 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/]. JS activities may also access it via the SIPR Directives Electronic Library Websites.

9. Effective Date. This INSTRUCTION is effective upon receipt.

For the Chairman of the Joint Chiefs of Staff:


WILLIAM C. MAYVILLE, JR.
LTG, USA
Director, Joint Staff

Enclosures

- A - Joint Concepts Overview and Governance
- B - Developing Joint Concepts
- C - Implementing Joint Concepts
- D - Responsibilities
- E - References
- GL - Glossary

(INTENTIONALLY BLANK)

DISTRIBUTION

Distribution A, B, C, plus:

	<u>Copies</u>
Under Secretary of Defense for Defense Acquisition, Technology and Logistics.....	2
Under Secretary of Defense for Policy.....	2
U.S. Coast Guard.....	2
National Guard Bureau.....	2

"The office of primary responsibility (OPR) for the subject directive has chosen electronic distribution to the above organizations via E-mail. The Joint Staff Information Management Division has responsibility for publishing the subject directive to the SIPR and NIPR Joint Electronic Library Websites."

(INTENTIONALLY BLANK)

TABLE OF CONTENTS

	Page
ENCLOSURE A JOINT CONCEPTS OVERVIEW AND GOVERNANCE.....	A-1
Purpose of Joint Concepts.....	A-1
Role of Joint Concepts in the Joint Strategic Planning System (JSPS).....	A-1
Role of Joint Concepts in Developing the Force.....	A-3
The Joint Concept Life Cycle	A-5
Joint Concepts Governance Structure	A-6
Family of Joint Concepts	A-9
Status of Joint Concepts	A-11
Annual Review of Joint Concepts	A-11
Revising Joint Concepts	A-12
Archiving Joint Concepts	A-12
ENCLOSURE B DEVELOPING JOINT CONCEPTS.....	B-1
Joint Concept Development Process	B-1
Joint Concept Prospectus.....	B-1
Concept Development Team Composition	B-3
Concept Research and Writing	B-4
Outline for a Joint Concept	B-5
Independent Red Team Review	B-7
Concept In-stride Evaluation.....	B-7
Transition Approach	B-8
Coordination and Approval	B-8
ENCLOSURE C IMPLEMENTING JOINT CONCEPTS.....	C-1
Introduction.....	C-1
Joint Concept Implementation Framework	C-1
Transition Phase	C-1
Application Phase	C-4
Joint Concept Transition Plan Outline.....	C-A-1
ENCLOSURE D RESPONSIBILITIES.....	D-1
Overview.....	D-1
Office of the Secretary of Defense	D-1
Chairman of the Joint Chiefs of Staff.....	D-1
Vice Chairman of the Joint Chiefs of Staff	D-1
Joint Chiefs of Staff	D-1
Director, Joint Staff.....	D-1
Director for Joint Force Development, Joint Staff (DJ-7)	D-1
Director for Force Structure, Resources, and Assessment, Joint Staff (DJ-8)	D-2
Functional Capabilities Boards	D-3
Other Joint Staff Directorates.....	D-3

Joint Concept General Officer Steering Committee	D-3
Joint Concept Working Group	D-4
Joint Concept Review Committee	D-4
Joint Concept Sponsors	D-4
Services, Combatant Commands, National Guard Bureau, and Defense Agencies	D-5
 ENCLOSURE E REFERENCES	 E-1
 ENCLOSURE GL GLOSSARY	 GL-1
PART I-ABBREVIATIONS AND ACRONYMS	GL-1
PART II-DEFINITIONS	GL-3
 FIGURES	
A-1. Role of Joint Concepts in JSPS	A-2
A-2. Joint Concept Life Cycle.....	A-6
A-3. JCD Governance Roles.....	A-7
A-4. Family of Joint Concepts Structure.....	A-10
B-1. Joint Concept Development Process.....	B-1
B-2. Joint Concept Version Numbering	B-5
B-3. Considerations for Developing CRCs	B-6
B-4. Joint Concept Evaluation Planning Criteria	B-8
C-1. Joint Concept Implementation Framework.....	C-1
C-2. Selected Joint Capability Application Processes	C-5

ENCLOSURE A

JOINT CONCEPTS OVERVIEW AND GOVERNANCE

1. Purpose of Joint Concepts

a. A joint concept describes a method for employing joint force capabilities to achieve a stated objective or aim within the context of a specified operating environment or against specified joint force challenges. Joint concepts propose how the joint force, using military art and science, may develop new approaches to conduct joint operations, functions, and activities. Joint concepts propose new approaches for addressing compelling challenges—current or envisioned—for which existing approaches and capabilities are ineffective, insufficient, or nonexistent, thus requiring reexamination of how we operate and develop the future joint force. These innovative approaches address gaps, shortfalls, or inadequacies in existing approaches and capabilities, and include application of new technologies to offset future joint challenges and to provide opportunities. Using various analytical methods, the joint concept community evaluates both developing and approved concepts to determine whether they are feasible and promote informed decisions on developing new joint capabilities. Following approval of a concept, the joint concept community evaluates, refines, and matures concept-required capabilities to identify gaps that facilitate the development of specific joint capability recommendations. These recommendations are then submitted to various capability application process owners for acceptance, approval, and subsequent capability fielding.

b. Joint concepts are informed by authoritative documents such as the *National Security Strategy* (NSS), *Quadrennial Defense Review*, *Sustaining U.S. Global Leadership: Priorities for 21st Century Defense*, the *National Military Strategy* (NMS), and joint doctrine. Additionally, the *Joint Operating Environment* (JOE) (reference m) provides insights into dominant trends affecting the security environment and their implications for future military operations. Joint concepts are written using a problem-solution method. The identification and refinement of a joint military problem, a proposed operational solution, and the capabilities required to implement the proposed solution are essential components for guiding and evaluating the concept as it progresses toward approval. Once approved, joint concepts inform future force development.

2. Role of Joint Concepts in the Joint Strategic Planning System (JSPS). JSPS is the primary means by which the Chairman carries out statutory responsibilities assigned in titles 6, 10, 32, and 50 of the United States Code (USC).

a. The Chairman's primary roles within JSPS are to: 1) conduct independent assessments; 2) provide independent advice to the President, Secretary of Defense, and National Security Staff; and, 3) assist the President and Secretary of Defense in providing unified strategic direction to the armed forces (reference c). The JSPS enables integration across and within processes in order to provide comprehensive assessments, advice, unified direction, and execution. All major CJCS activities, including the Joint Concepts Program, fall within the JSPS.

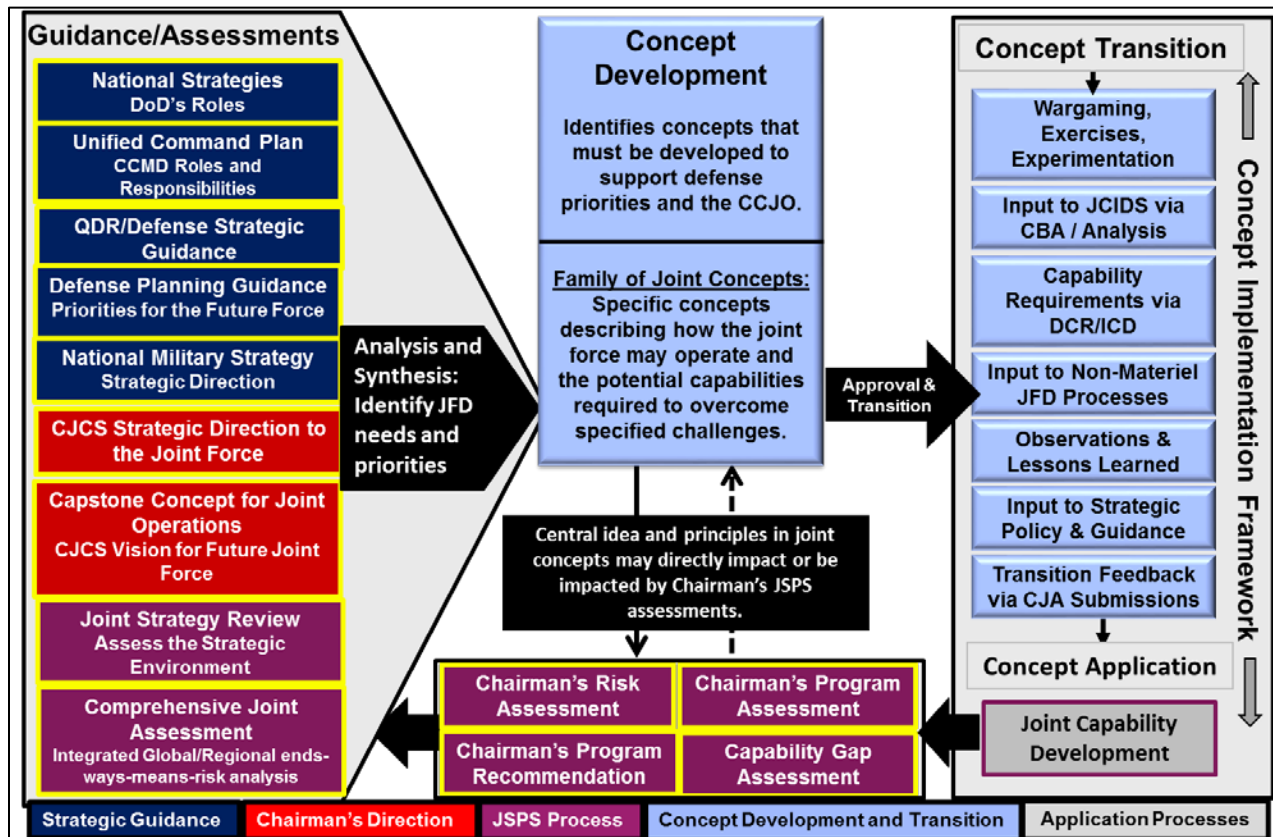


Figure A-1. Role of Joint Concepts in JSPS

b. Figure A-1 depicts the role of joint concepts within the JSPS. On behalf of the Chairman, the Director for Joint Force Development, Joint Staff J-7 (DJ-7) develops the Capstone Concept for Joint Operations (CCJO) (reference k), the Chairman's overarching vision for the future joint force, by synthesizing guidance, direction, and information contained in strategic guidance documents, including the Chairman's Strategic Direction to the Joint Force (CSDJF), and a variety of JSPS assessments. Over time, the joint community develops a family of joint concepts to address defense priorities and add greater depth to the Chairman's vision as described in the CCJO and other vision documents approved by the Chairman. Upon concept approval, the concept sponsor, with the support of JS directorates, develops a transition plan

to guide further maturation and analysis of the concept, in order to identify specific force development recommendations for consideration by appropriate joint capability development processes. The implementation of approved joint concepts also informs future iterations of JSPS assessments of readiness, risk, sufficiency, joint military requirements, roles, and missions.

3. Role of Joint Concepts in Developing the Force. JCD is a component of Joint Force Development (JFD) (reference n). Joint concepts identify capabilities required to achieve stated objectives or address future joint force challenges. These concept-required capabilities (CRC) provide focus for capability development recommendations that may lead to changes in doctrine, organization, training, materiel, leadership and education, personnel, facilities, and policy (DOTMLPF-P). The following sections describe the interrelationship between joint concepts and the DOTMLPF-P components they may affect.

a. Doctrine. Joint doctrine provides the fundamental principles that guide the employment of U.S. military forces in coordinated action toward a common objective. It is based on extant capabilities (i.e., existing force structures and fielded equipment); it incorporates time-tested principles of joint operations, operational art, and elements of operational design, and is authoritative for current operations. Joint concepts should propose a clear alternative to existing doctrine and include evidence of significant operational value relative to the joint force challenges under consideration. Concepts are not authoritative. They are promising, but unproven, ideas that should be rigorously tested. Joint concepts consider, but are not limited by, existing doctrine, policy, treaties, laws, or technology. As concepts utilize extant capabilities, are incorporated into plans and practices, and gain institutional acceptance, appropriate elements of the concept may be incorporated into doctrine (references g and h).

b. Organization. Joint concepts propose new ways to accomplish a joint operation, function or activity. Once validated, these new approaches may necessitate changes in the way the joint force organizes to accomplish missions, execute functions, and deliver, support, or sustain joint warfighting capabilities.

c. Training. Joint doctrine is the basis for joint training; however, some joint concepts also affect joint training. For example, the Chairman may emphasize specific joint concepts and required capabilities in the Chairman's Joint Training Guidance or designate them as high-interest training issues (reference f). Joint concepts may indirectly influence individual, staff, and collective joint training by identifying the need for changes in joint doctrine or tactics, techniques, and procedures. Combatant commanders (CCDRs) may adopt these changes to prepare the joint force to respond more effectively to strategic and operational requirements, and to execute assigned or anticipated missions. With concurrence of the relevant joint force commander (JFC), joint

concepts may be integrated into the joint event life cycle. Concept developers may engage and support exercise planners to incorporate appropriate aspects of the future security environment into scenarios, educate the training audience on the concept and required capabilities, and observe event execution. Joint training observations also help mature the ideas in an approved concept or support development of a new or revised concept by identifying and analyzing trends, best practices, and insights derived from multiple combatant command (CCMD) exercises across the full range of joint functions and missions.

d. Materiel. Joint concepts propose capabilities required to improve the ability of the joint force to overcome future challenges. The set of required materiel capabilities in an approved joint concept may be the foundation for generating proposed joint military requirements through the Joint Capabilities Integration and Development System (JCIDS) (reference e). Capabilities-based assessments (CBAs) or similar analyses examine the capability requirements identified in a joint concept to determine whether there are any current or projected capability gaps that present an unacceptable level of risk to future execution of the concept and thus warrant further action. Within JCIDS, initial capability documents (ICDs) will be developed to support development of a new capability solution to close capability gaps. Materiel capability gaps are then reviewed and validated through JCIDS. While many non-materiel changes may be pursued through authoritative joint capability development processes outside the JCIDS process, when necessary, joint DOTMLPF-P change recommendations (DCRs) may be submitted for non-materiel change recommendations to existing joint resources that are not associated with a new defense acquisition program. For capability requirements that cannot be met with a joint DCR, capability development documents (CDDs) or capability production documents (CPDs) will be developed to pursue materiel approaches for a capability solution.

e. Leadership and Education. Joint Professional Military Education (JPME) is a Chairman-approved body of learning objectives, information, and content, with supporting policies, procedures, and standards. Joint concepts articulate the Chairman's vision for future joint operations and significantly influence JPME. For example, a joint concept may form the foundation of an elective course or serve as a topic for student research papers. This not only encourages critical thinking on an approved joint concept, but also directly supports further development of conceptual ideas and approaches. Joint concepts may also be a basis of instruction, exercise, or discussion for the Pinnacle and Capstone courses for general officers/flag officers (GO/FO) and the Keystone course for senior non-commissioned officers (NCOs). Concept sponsors, in coordination with the JS J-7, may present approved concepts during the annual PME review process (reference b).

f. Personnel. The personnel component of DOTMLPF-P refers to military or civilian individuals required to accomplish assigned missions, tasks and activities. The Chairman, CCDRs, and Secretaries of the Military Departments are responsible for developing and assigning personnel to meet established joint personnel requirements. Joint concepts espouse new ways of operating or new capabilities that may require military, DoD civilians, and potentially the contractor force, to acquire new individual and collective skills. Consequently, these new skills may need to be tracked and developed within the structure of Service and joint personnel systems.

g. Facilities. Key facilities include command installations and industrial facilities of primary importance in support of military operations or military production programs. Joint concepts may impact a number of joint functions and operations that rely on facilities, in and outside the continental United States, for deployment, reception, staging, movement, integration and sustainment.

h. Policy. Joint concepts and policy are closely related. Policy can direct, assign tasks, prescribe desired capabilities, and provide guidance for ensuring that the Armed Forces of the United States are prepared to perform their assigned roles. Policy can therefore establish requirements for joint concepts and capabilities. JCD must consider and account for the intent or capability articulated in current policy when proposing and assessing the feasibility of new or alternative ways in which the joint force could operate. Concept evaluation and assessment should also ensure that new concepts continue to meet the intent of current policy. Conversely, accepting or applying new approaches and capabilities articulated in a joint concept could have significant policy implications. If not resolved through changes in policy, these implications could negate or marginalize the desired improvements in operational capability.

4. The Joint Concept Life Cycle. As depicted in Figure A-2, the joint concept life cycle begins with an understanding of militarily-relevant trends and evolving conditions in the future security as described in the JOE that present the most pressing challenges for the joint force. Other key inputs, such as historical analysis; feedback from the Joint Lessons Learned Program (JLLP); and an understanding of existing strategic guidance, policy, doctrine and capabilities, help joint concept developers examine these challenges. Joint concepts are developed and transitioned using the procedures described in Enclosures B and C respectively, and implemented in accordance with specific policy and guidance governing relevant capability development processes. Joint capability development recommendations are submitted for validation and approval by appropriate capability development application authorities. The JCD governance body periodically reviews and assesses the concept and execution of its transition plan to ensure consistency with current strategic guidance, relevance in light of documented changes in the future security

environment, and utility in terms of impact on ongoing or proposed joint capability development efforts across the joint force. As a result of this review, a sponsor may recommend suspending, archiving, revising, or terminating the concept effort. The life cycle of an individual concept culminates when JCD governance bodies assess that a concept has met its intended purpose, is no longer needed to guide joint capability development, or requires revision.

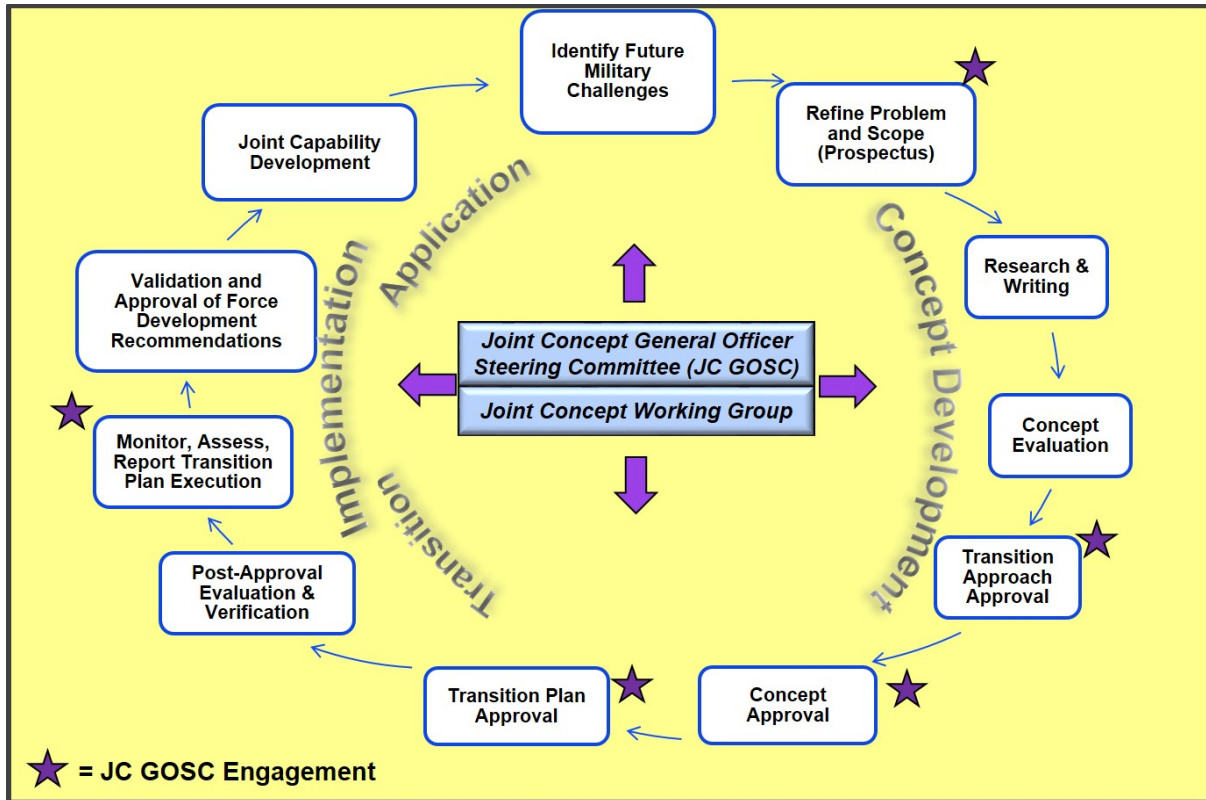


Figure A-2. Joint Concept Life Cycle

5. Joint Concepts Governance Structure. On behalf of the Chairman, the DJ-7 oversees the joint concept life cycle through two principal bodies: the Joint Concept General Officer Steering Committee (JC GOSC) and the Joint Concept Working Group (JCWG). As Figure A-3 shows, the roles of the JCD governance structure include: 1) proposing joint concepts to develop; 2) overseeing the process for developing, evaluating, and coordinating joint concepts; and, 3) guiding the transition of approved concepts to materiel and non-materiel application processes. The Director, Joint Staff (DJS) is the approval authority for recommendations to develop, revise, or archive a joint concept. The DJS will promulgate decisions to develop, revise, or archive a joint concept in a Director, Joint Staff Memorandum (DJSM) in order to facilitate broad collaboration and engagement across the joint force. The DJ-7 is the approval authority for joint concept transition plans.

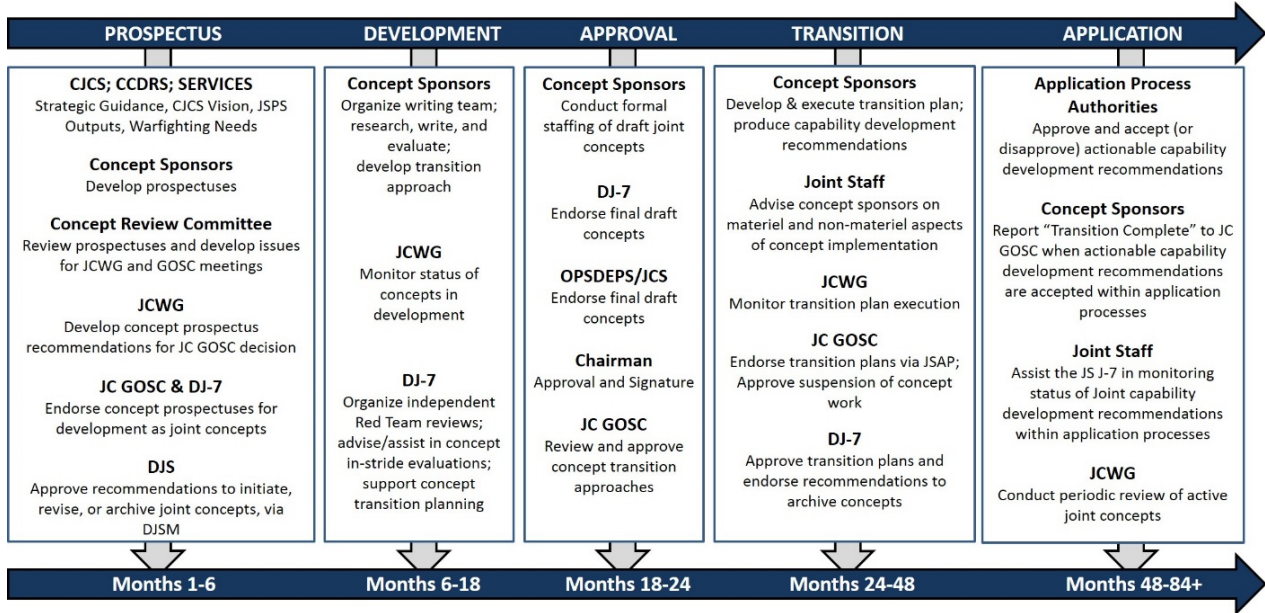


Figure A-3. JCD Governance Roles

a. Joint Concept Working Group (JCWG). The JCWG meets quarterly to review and evaluate concept prospectus papers, to develop recommendations to the JC GOSC on prospectuses that merit development as joint concepts, and to monitor development of joint concepts throughout the life cycle, including concept writing, evaluation, coordination, and transition planning. The JCWG is responsible for verifying that a joint concept is the best way to address the military challenge described in the prospectus. Additionally, the JCWG identifies opportunities to synchronize Joint, Service and multi-Service concept development and assessment efforts to promote collaboration, cooperation and mutual support where feasible. The JCWG voting members are O-6 or civilian equivalent representatives from the concepts and capabilities agencies within the Services, NGB, functional and geographic CCMDs, JS directorates as well as the Defense Threat Reduction Agency (DTRA), Defense Logistics Agency (DLA), and the Office of Under Secretary of Defense for Defense Acquisition, Technology and Logistics (OUSD AT&L).

(1) Joint Concept Review Committee. To facilitate the work of the quarterly JCWG, the JCWG Chair organizes a Joint Concept Review Committee (JCRC). The JCRC meets monthly, and consists of the Services, United States Special Operations Command (USSOCOM), JS J-7, and sponsors of concept prospectuses under consideration. The JCWG Chair may invite other organizations to attend specific JCRC meetings as appropriate. The primary purpose of the JCRC is to thoroughly review joint concept prospectuses and to develop recommendations on issues impacting the JCD program, as identified by the JCWG chair. The JCWG chair coordinates the agenda and chairs the meeting. The JCRC assesses a concept prospectus for sufficiency of the military challenge, the rationale for why a joint concept is needed to address it,

and the scope of the proposed concept effort. Enclosure B provides specific criteria to guide the development and review of concept prospectuses. The JCRC may offer feedback to the sponsor prior to a final decision on the prospectus. Only prospectuses receiving unanimous concurrence of the JCRC will be forwarded to the broader JCWG for consideration and vote. Once a prospectus is approved for development, the JCRC will review the draft concept at approximately the mid-point of development to ensure consistency with the approved prospectus and adherence to the standards of this instruction.

(2) The Chief, JS J-7 Joint Concepts Division, chairs the quarterly JCWG, coordinates the agenda, and publishes the minutes. Any member of the JCWG may propose an agenda topic. The JCWG chair will identify topics that require a JCWG recommendation or decision, and provide relevant materials to JCWG members for consideration in advance of the JCWG meeting. Only the JCWG principal or designated representative may cast a vote on behalf of the member organizations. A 2/3 majority vote by JCWG members present, which must include the unanimous vote of the Services, USSOCOM (in its title 10 role), and JS J-7, is required to create an official position of the JCWG. If these conditions are not met, the issue will not move forward to the JC GOSC with a recommended action. For issues meeting the 2/3 vote threshold, the JCWG Chair will present the JCWG recommendation to the JC GOSC, highlighting all non-concur votes with supporting rationale. For issues failing to meet the 2/3 vote threshold, the JCWG chair will brief the JC GOSC chair regarding the circumstances of the failed vote. The JC GOSC chair may elect, and other JC GOSC members may request, to elevate failed votes to the JC GOSC level.

b. Joint Concept General Officer Steering Committee (JC GOSC). The JC GOSC meets at least semi-annually to provide senior leader advice and recommendations to the DJ-7 on JCD activities, including endorsing joint concept prospectus papers for development as joint concepts. This body also provides a mechanism for DJ-7 accountability to JCD stakeholders. The Deputy Director, Future Joint Force Development, JS J-7 (DD FJFD) chairs the JC GOSC and performs secretariat functions including provision of read-ahead materials and publication of minutes.

(1) The JC GOSC provides guidance for execution of all aspects of the joint concept life cycle, including: identifying emerging or future military challenges that might require a new joint concept; providing an endorsement recommendation to the DJ-7 on joint concept prospectuses to address those challenges; proposing ways to leverage and achieve synergy among ongoing Joint, Service, and multi-Service concept development efforts; approving joint concept transition approaches and endorsing transition plans; suspending work on a concept; and, endorsing recommendations to revise or archive joint concepts.

(2) The JC GOSC is comprised of a GO/FO or senior executive service (SES) from each of the Services, NGB, JS directorates, CCMDs, and Defense Agencies. Critical issues requiring a JC GOSC decision prior to the next scheduled meeting may be handled through electronic means, at the discretion of the JC GOSC chair. The DD FJFD will relay JC GOSC advice and recommendations to the DJ-7 regarding specific concepts for development, designation of sponsoring organization, and opportunities for integration and mutual support. JC GOSC will deliberate and vote on prospectuses and other issues as led by the JC GOSC chair.

6. Family of Joint Concepts. This instruction establishes three categories of joint concepts: the CCJO, joint operating concepts (JOCs), and supporting joint concepts. Joint concepts examine the missions defined in defense strategic guidance in the context of the Chairman's vision and the JOE. Additionally, joint concepts directly inform development of realistic strategic scenarios, ensuring that those scenarios provide an opportunity to evaluate/stress concepts. Service concepts, USSOCOM concepts (within its title 10 authority), multi-Service concepts, and concepts of operation (CONOPS) are written within the joint community to address focused, limited scope topics, and may expand or implement ideas contained in joint concepts. While these concepts are not normally part of the formal family of joint concepts, they should be aligned with joint concepts where practical, to ensure synchronized and mutually supportive development and avoid duplication of effort. When appropriate, these concepts may be considered by the JCD governance bodies for inclusion as supporting concepts within the family of joint concepts. Figure A-4 depicts the family of joint concepts structure. The DJ-7 and JCD governance body will determine the specific alignment and continued relevance of approved joint concepts within the joint concepts structure.

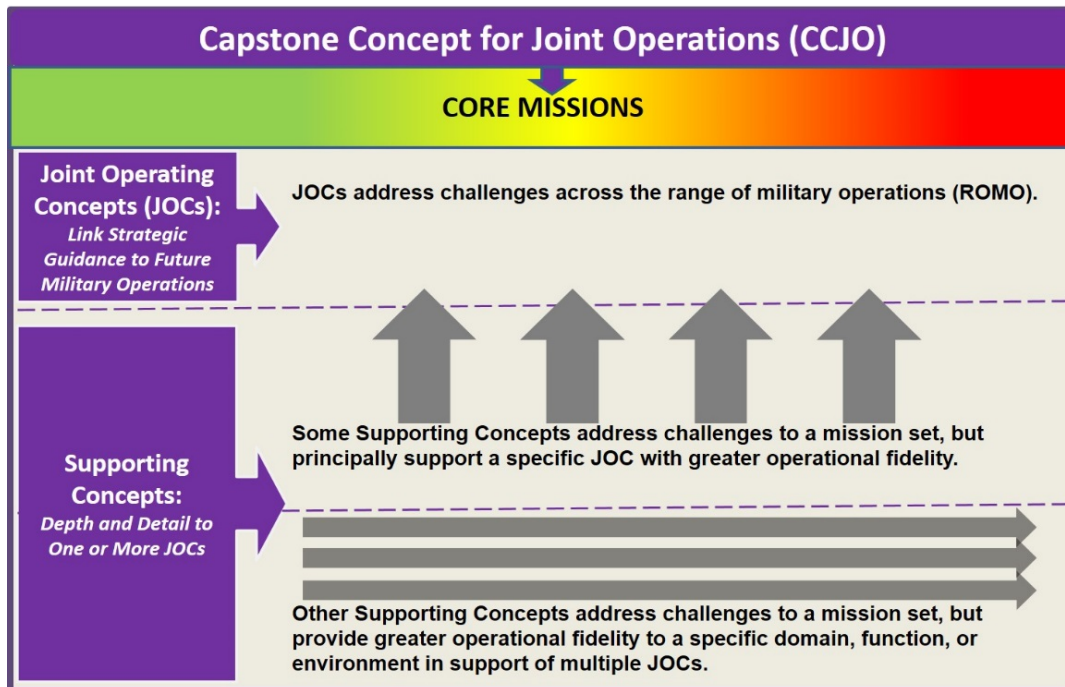


Figure A-4. Family of Joint Concepts Structure

a. Capstone Concept for Joint Operations (CCJO). The CCJO describes the Chairman's vision for how the joint force will defend the nation against a wide range of security challenges. The CCJO articulates joint force support of defense strategic guidance for the protection of national interests. Triggers for the development of a new or revised CCJO include changes in the future security environment, new strategic guidance, and CJCS guidance and direction. As the foundational concept document, the CCJO's development is similar to that of joint operating and supporting concepts. However, the guidance, reviews, evaluation, and approval processes for the CCJO are directed by the Chairman. The CCJO helps establish priorities to implement the vision for the future joint force and provides a bridge between strategic guidance and joint operating concepts in support of joint force development.

b. Joint Operating Concepts (JOCs). JOCs broadly describe how the joint force may execute military operations within a specific mission area in accordance with defense strategic guidance and the CCJO. Collectively, JOCs describe joint capabilities required to operate across the range of military operations and encourage further examination through war gaming, joint training, and a variety of studies, experimentation, and analyses.

c. Supporting Joint Concepts. Supporting joint concepts add depth and detail to one or more JOCs by describing how the future joint force may conduct a subset of a JOC mission or apply joint functions across two or more JOC mission areas. Supporting joint concepts allow for a more in-depth exploration of joint capabilities. Supporting joint concepts may inform the

conduct of CBAs and other analyses designed to identify capability gaps and support the refinement, documentation, and validation of non-materiel and materiel changes needed to achieve the required capabilities and operational approach specified in the concept.

7. Status of Joint Concepts. Individual concepts proceed through the joint concept lifecycle on their own development, transition, and application timelines. The JCD governance bodies use the following categories to describe the status of joint concepts as determined by the periodic review of joint concepts over time. The JS J-7 will maintain all joint concepts in the Joint Electronic Library Plus (JEL+) and update their status as required.

a. Active. A joint concept is active from the time a prospectus is approved for development until the JCD governance body recommends that the concept should be archived. The concept is formally tracked by the JCD governance body from when it is initiated, through the transition phase, and until the concept's capability development recommendations are submitted to the application processes for validation and approval (see Enclosure C). Once a concept's capability development recommendations are accepted by appropriate application processes, the concept is considered mature. Although a mature concept remains active, it will no longer be formally tracked by the JCD governance body.

b. Suspended. The JC GOSC, on the recommendation of a concept sponsor, may suspend work on a concept due to shifts in policy, a higher priority placed on other conceptual work, or resource constraints. During this time no active work or reporting on the concept is required. When the concept sponsor reports that the issue is resolved, the JC GOSC may approve returning the concept to active status. If the issue cannot be resolved, the concept sponsor will recommend that the concept be archived.

c. Archived. A joint concept may be archived when the JCD governance bodies determine that active concept development, transition, and application activities are complete or terminated. An archived concept will no longer be monitored by the JCD governance body and should not be used as the basis for joint force or capability development submissions. Archived concepts may be used as references for future concept development efforts.

8. Annual Review of Joint Concepts. Joint concepts, with the exception of the CCJO, will enter an annual review cycle after concept approval to determine their transition progress, continued relevance and utility. The CJCS will establish timeframes and criteria for reviewing the CCJO. Since approved concepts are required to have a transition plan, the objectives and milestones in the approved plan will guide the initial cycles of review. Based on the results of the review, the concept sponsor will make a recommendation to the JCWG and JC GOSC on whether the current concept version should remain active, be

revised, be suspended, or be archived. Concept sponsors, in coordination with the JS, will apply the following criteria to review approved joint concepts:

- a. Consistency with strategic guidance released since the concept was last approved (or revised).
- b. Changes in the operating environment, as documented in approved operating environment documents (e.g., the JOE).
- c. Status of transition efforts, based on the assessment process documented in the concept transition plan.
- d. Ongoing or proposed capability development submissions that are not specifically part of the concept but rely on the concept as justification.
- e. Quantitative and qualitative data describing a concept's contributions to joint capability development through DOTMLPF-P change processes.

9. Revising Joint Concepts. When the annual review determines that a concept remains relevant but requires updating, the sponsor may recommend revising the concept. A sponsor will submit a prospectus through the JCWG and JC GOSC to the DJS for approval. The prospectus will articulate the specific rationale for revising the concept, including an examination of the changes in the operational environment, strategic guidance, or advancements in technology that warrant the revision. The development and transition of a concept approved for revision will follow the processes documented in Enclosures B and C of this instruction. However, modification of some steps in the development process may be warranted depending on the nature of the revision. Sponsors will submit recommended modifications of the development process to the JCWG and JC GOSC for approval.

10. Archiving Joint Concepts. The DJS is the approval authority for archiving joint concepts. An approved joint concept may be a candidate for archiving under three distinct conditions: 1) when the periodic review determines that a concept is outdated or superseded by a new DoD policy, guidance or joint concept; 2) when the force development community, in coordination with the concept sponsor, determines that the concept's capability recommendations have sufficiently transitioned to appropriate joint capability development processes for action; or, 3) when further transition of the concept is deemed no longer useful or feasible. In any of these situations, the concept sponsor may submit a recommendation to archive the concept through the JCWG, JC GOSC, and DJ-7 for approval by the DJS. If approved for archiving, the JS J-7 coordinates with appropriate DoD knowledge management authorities to place the concept in a designated archive folder. The JS J-7 maintains supporting research materials in an appropriate repository for future reference.

ENCLOSURE B

DEVELOPING JOINT CONCEPTS

1. Joint Concept Development (JCD) Process. The JCD process is a deliberate approach for producing a joint concept. It consists of four major activities: 1) prospectus development; 2) research and writing; 3) evaluation; and, 4) coordination and approval (see Figure B-1). Upon concept approval, the sponsor and the joint force development community plan and conduct transition activities as described in Enclosure C. The concept sponsor is responsible for all aspects of joint concept development and transition, including planning, resourcing, coordination, and reporting, as described in Enclosures B and C. While the CCJO's development is similar to that of joint operating and supporting concepts, the guidance, reviews, evaluation, and approval processes for the CCJO are directed by the Chairman. The JCD process is depicted in Figure B-1.

Concept Development Process			
Prospectus Development	Research and Writing	Evaluation	Coordination and Approval
<ul style="list-style-type: none"> • Sponsor develops prospectus with assistance of JS J-7 • JCRC reviews and forwards prospectuses to JCWG • JCWG makes recommendation to JC GOSC • JC GOSC makes recommendation to DJ-7 • DJ-7 makes recommendation to DJS • DJS directs joint concept initiation 	<ul style="list-style-type: none"> • Form core writing team and development team • Research military challenge and potential solutions • Core writing team develops initial outline and increasingly mature drafts • Development team reviews mature drafts at key junctures • Independent Red Team Review • Capability development workshop • Initial approach for concept transition 	<ul style="list-style-type: none"> • JCRC conducts mid-point review • Sponsor conducts in-stride evaluation to assess viability of emerging concept ideas 	<ul style="list-style-type: none"> • Initial JSAP review • Final JSAP review • Comment resolution conference if needed • Operations Deputies review • Joint Chiefs review • CJCS review and signature

Figure B-1. Joint Concept Development Process

2. Joint Concept Prospectus. New joint concepts are proposed through the submission of a concept prospectus. The purpose of the prospectus is to describe a compelling military challenge for which existing solutions are inadequate or nonexistent, and might be solved by a change in the way the

joint force operates, and to demonstrate the need for a joint concept over other types of development actions. Because the development of a joint concept typically requires a significant commitment of resources across the community, concept prospectuses are thoroughly reviewed and debated before being recommended to the DJS for development as a joint concept. The following procedures apply to prospectus development, review, and approval for both new concepts and revision of existing concepts.

a. Prospectus Development. Any DoD organization may submit a joint concept prospectus for consideration. A prospectus is required for proposing a new joint concept or revising an existing joint concept. Sponsoring organizations should obtain senior leader endorsement of the prospectus prior to submission to the JCWG and JC GOSC for review. Every prospectus should:

- (1) Align with current strategic guidance and address changes in the future security environment.
- (2) Describe how the concept supports the CCJO core mission and central idea.
- (3) Identify a compelling military challenge. The military challenge should express the operational task to be accomplished by the future joint force and the factors that make its accomplishment difficult.
- (4) Explain how current approaches and capabilities are inadequate to address the challenge, with emphasis on specific deficiencies in joint doctrine and other capabilities.
- (5) Summarize initial research to justify the need for a new joint concept.
- (6) Identify the proposed concept's relationships to other approved or developing concepts.
- (7) Demonstrate why a joint concept is the best approach to address the stated challenge.

b. Prospectus Review. Concept prospectuses undergo a thorough review process before being recommended to the DJS for concept initiation:

- (1) The prospectus author submits the prospectus to the JCWG chair for review by the JCRC. The JCRC assesses the prospectus for sufficiency using the criteria in paragraph 2.a., above. The JCRC should verify that the proposed concept supports the CCJO, differs from current joint doctrine and other existing or developing joint concepts, and that a joint concept is the best approach for addressing the military challenge. A unanimous vote of the JCRC, consisting of the JS J-7, Services and

USSOCOM, is required in order to forward a prospectus to the JCWG for consideration.

(2) The JCWG reviews and prioritizes prospectuses on the basis of necessity, supportability, and CJCS guidance. A two-thirds majority vote by JCWG members present, which must include the unanimous vote of the Services, USSOCOM, and JS J-7, is required to forward a prospectus to the JC GOSC for an endorsement decision. The organization submitting a prospectus assumes the role of concept sponsor or coordinates with the JCWG to identify and nominate a concept sponsor.

(3) The JCWG chairman presents the JCWG recommendation to the JC GOSC for endorsement. Based on the JC GOSC endorsement decision, the DD FJFD drafts the appropriate staffing action through the DJ-7 to the DJS for approval decision and issuance of a DJSM.

(4) Once the DJS issues a DJSM, the concept sponsor, with the advice and support of the JS J-7, is responsible for organizing and resourcing all aspects of concept writing, in-stride evaluation, staffing, processing for CJCS approval, and transition planning. During development of the concept, the sponsor must brief, and the JCWG must approve, any major changes to the concept's purpose, scope, or military challenge as described in the original prospectus.

3. Concept Development Team Composition. The concept sponsor will organize a core writing team and a development team to produce the concept. Exact team composition will be tailored to each concept, in terms of organizational representation and subject matter expertise. During the prospectus development and review process, all JCWG members have the opportunity to support the concept development effort through active representation, facilitating participation of subject matter experts, or identifying planning, war games, experiments, or other activities that sponsors might leverage.

a. Core Writing Team. The core writing team is the nucleus of the writing effort and develops the initial ideas in the concept prospectus into the joint concept. The core writing team normally consists of the sponsoring organization's lead action officer and designated writer, Service representatives, CCMD representatives as appropriate, relevant subject matter experts, and a process advisor from the JS J-7 Joint Concepts Division. To remain an effective vehicle for idea development, the core writing team should be kept as small as possible. The core writing team must develop a battle rhythm enabling frequent exchange of ideas and research while developing the written concept. This battle rhythm is best sustained through a minimum of monthly physical or virtual meetings focused on producing specific deliverables.

b. Development Team. The development team provides the means to obtain a broader set of perspectives from a wider audience on the emerging conceptual ideas at key junctures in the concept development process. The development team typically meets once before the Red Team review and again before the initial joint staff action package (JSAP) review. The development team consists of additional subject matter experts, concept developers, operators, and planners from the Services, CCMDs, other DoD stakeholders, and inter-organizational partners, to ensure broad feedback on the draft concept.

4. Concept Research and Writing.

a. Research. Concept writing begins with research to refine the military challenge and discover a wide range of innovative ideas that might contribute its solution. Concept writers analyze the JOE to identify future trends, implications, and challenges, and to apply the principles of the CCJO to derive the operational framework within which the concept must fit. Strategic guidance, joint and Service doctrine, studies, lessons learned, training and exercise reports, and scholarly journals provide additional information to expand the writing team’s understanding and perspectives. It is important to look beyond the joint force to other relevant government agencies, non-governmental organizations, academia, industry and multinational partners, to broaden perspectives on the challenge and potential solutions.

b. Writing. Writing a concept is an iterative rather than linear process. Concept writers must constantly assess the impact that changes in one section might have on other sections of the document. The goal of concept writing is to communicate clearly a compelling military challenge, a proposed way of operating to overcome the challenge, and the capabilities that will support the proposed operational approach. Joint concepts are formatted in accordance with JS Manual 5701 (reference p) and JS Manual 5711 (reference q). As depicted in Figure B-2, draft concept version numbers correspond to major development milestones which enable stakeholders to monitor progress of the development effort. For a concept approved for revision, the version numbering will restart at the approved version number, i.e., X.1.

Concept Version Numbering Scheme	
Prospectus	Nominates topic for joint concept development. Focus is on describing the compelling military challenge and how the authors intend to address it.
v0.1	Initial idea-level outline.
v0.3	Informally coordinated first draft. Submitted for Red Team review.
v0.4	Incorporates Red Team feedback and integrates concept required capabilities. Final azimuth check by JCRC. Version of record for the in-stride evaluation.

v0.5	Incorporates in-stride evaluation results. Submitted for initial JSAP review.
v0.7	Incorporates initial JSAP review results. Submitted for final JSAP review.
v0.9	Incorporates final JSAP review results. Submitted for Operations Deputies (OPSDEPS) and JCS endorsement.
v1.0	Submitted for CJCS approval and signature.

Figure B-2. Joint Concept Version Numbering

5. Outline for a Joint Concept. The following outline is typical for joint concepts. Concept sponsors may include additional sections in the base concept or as appendices.

a. Executive Summary. Concepts should include an executive summary succinctly describing the main features of the concept so that readers can quickly understand the concept's main points and overall structure. The executive summary should be developed only after the ideas have sufficiently matured and included in the draft concept after completion of version X.7 staffing.

b. Introduction. This section introduces the concept's topic area, purpose, and challenges. It states concisely how the concept enables and supports the operational approach identified in the CCJO or other joint concepts.

c. Future Security Environment. This section identifies aspects of the future operating environment directly relevant to the concept. It provides the justification for the identified gap, challenge, or opportunity. The writing team will consider the future environment as described in the NMS, CCJO, JOE and other assessments of the future security environment. Pertinent JSPS documents include the comprehensive joint assessment (CJA), an annual survey through which CCMDs, Services, and the NGB describe the strategic environment, opportunities, challenges, state of the organization, and requirements; the biennial joint strategy review (JSR); and annual Chairman's risk assessment (CRA), which synthesize CJA assessments and JS functional estimates. This section should focus on articulating implications of the anticipated future operating environment specific to the concept rather than a comprehensive description of the environment.

d. The Military Challenge. The military challenge should succinctly express the operational task to be accomplished. Joint concepts synthesize key aspects of the future security environment into a compelling military challenge which existing solutions cannot address, or on an unrealized opportunity to increase the effectiveness of joint operations.

e. The Central and Supporting Ideas. The central idea is the centerpiece of the joint concept, providing a framework for how the joint force will address the military challenge. Supporting ideas explain and expand on the central idea in greater detail. This set of ideas introduces new ways of operating and accentuates differences from extant practices.

f. Concept Required Capabilities (CRC). This section of the concept describes capabilities the joint force must possess in order to execute the concept. The ability to operate as described in the concept generates force development implications. Concept writers express these implications as CRCs. Considerations for developing CRCs are described in Figure B-3.

Concept Required Capability (CRC)
A CRC directly maps to one or more of the concept's ideas, should address a single capability, and should not be duplicated within the same concept.
A CRC should be measurable in its ability to solve the military problem and must be sufficiently detailed to facilitate transition to capability development processes.
A CRC may propose a new capability or describe how an existing capability may be modified or applied differently to improve the joint force's ability to operate as described in the concept.
A CRC may be written using doctrinal terms or it may propose new terms.
CRCs should be expressed consistently and with sufficient detail to enable leverage across different concepts.
CRCs should be prioritized within the concept to enable transition planners and other users to clearly understand the CRCs that are most critical to the concept.
CRCs may use supporting actions to provide additional detail to identify potential Office of Primary Responsibility (OPR), timeline, and the specific action(s) required to generate the overall required capability.

Figure B-3. Considerations for Developing CRCs

(1) CRCs vary in specificity based on the concept's timeframe and focus. The format for a CRC is: "*the Joint Force requires the ability to...*"

(2) A CRC directly maps to one or more of the concept's ideas for addressing the military challenge within the future security environment. The concept sponsor, supported by the JS J-7, will convene a capability development workshop prior to the concept's in-stride evaluation to develop CRCs. This workshop enables concept writers, subject matter experts, JS J-8, and functional capabilities boards (FCBs) to identify and develop unclassified and classified CRCs collaboratively.

g. Risks. This section identifies risks associated with executing the concept as described. The concept sponsor and core writing team will identify and categorize potential challenges or risks associated with executing the

approach identified in the concept. Risk should be identified and categorized in accordance with the Chairman's joint risk assessment system within the JSPS (reference c).

h. Joint concepts also include a glossary and bibliography. Once the concept is staffed and approved, a foreword from the CJCS is added.

6. Independent Red Team Review. Red Team reviews are independent assessments by subject matter experts who apply their knowledge and experience to challenge the intellectual rigor, logic, and assumptions of the initial draft concept. The JS J-7 coordinates, resources, and hosts Red Team reviews for all joint concepts. The review occurs after development and informal coordination of version X.3. The Red Team will evaluate the overall concept, but typically focuses on the military challenge, proposed solutions, and any specific items the concept sponsor identifies.

7. Concept In-stride Evaluation. In-stride evaluation provides a review of the concept's central and supporting ideas, required capabilities, implications, and risks, and provides the concept sponsor feedback on the draft concept's viability. The in-stride evaluation occurs after completion of version X.4 and before the initial JSAP staffing of version X.5. The concept sponsor, with the advice and assistance of the JS J-7 Futures Evaluation Division (FED), is responsible for the design, resourcing, and execution of the in-stride evaluation.

a. Concept in-stride evaluations may be accomplished using a number of methodologies and techniques. Seminar war games or table-top exercises are useful formats, since they permit incorporation of both qualitative and quantitative design elements essential to evaluating a conceptual idea. Concept sponsors may leverage other related assessment activities, such as joint training exercises, Service war games, and/or operational studies to support the in-stride concept evaluation. Concept sponsors must design the in-stride evaluation with the rigor necessary to support findings and recommendations that will strengthen the draft concept or determine insufficiency to address the military challenge.

b. Planning for the in-stride evaluation should begin early in the concept development process. No later than one month prior to the in-stride evaluation, the concept sponsor will present the evaluation plan to the JCWG chair and FED lead for initial review per the criteria in Figure B-4 and update the JCWG at the next scheduled meeting.

Joint Concept Evaluation Planning Criteria
Analytical Framework: The analytical framework aligns to evaluation criteria and is displayed with a series of key and supporting questions to evaluate the viability of the concept.
Data Collection and Analysis Plan (DCAP): The DCAP specifies how observations will be generated, collected, and synthesized during and after the in-stride evaluation.
Design: The overall design (seminar, table top exercise, wargame) of the in-stride evaluation is adequate to assess concept viability.
Scenarios: Vignettes and adversaries adequately and accurately represent the concept's military challenge within the future security environment.
Concept of Operations (CONOPS): The central and supporting ideas of the concept are reflected in an abbreviated CONOPS to enable player cells to operate as the concept intends. CONOPS may be developed in advance or during the initial activities of the in-stride.
Participants: Participants from stakeholder organizations and multinational partners have experience and subject-matter-expertise to support a thorough evaluation of the concept.
Facility: A suitable venue for size, classification, and automation requirements.
Preparation: Adequate measures to prepare participants in the in-stride evaluation.

Figure B-4. Joint Concept Evaluation Planning Criteria

8. Transition Approach. Concept sponsors initiate transition approach planning during concept development, as the concept's central idea and required capabilities begin to mature. Sponsors should consider the methods that may be employed to evaluate the concept's ideas and capabilities in order to verify their readiness for transition once the concept is approved. Sponsors should also begin to engage with key joint capability development process owners and other stakeholders who will be expected to act on specific recommendations developed through various evaluation and assessment methods. Concept sponsors will present the transition approach to the JCWG for approval following submission of version x.9 for Operations Deputies (OPSDEPS) endorsement.

9. Coordination and Approval. The CCJO is submitted to the CJCS for approval. All other joint concepts are submitted to the VCJCS for approval following a thorough staffing process. Concept sponsors are responsible for preparing draft versions of the concept for informal and formal coordination. Informal coordination among the writing team and stakeholders occurs throughout the writing process. Formal staffing of joint concepts is conducted IAW CJCSI 5711.01 (reference j) to ensure transparency across the joint force and gain the broadest feedback on the end product. Concept version 0.5 will undergo an initial review through JSAP to obtain stakeholder input. Once updated to reflect adjudicated changes from the initial staffing, concept version 0.7 will be submitted though JSAP for final review. Following comment

17 August 2016

adjudication, the sponsor will present the final draft concept to the OPSDEPS for endorsement and resolve remaining issues. Once endorsed by the OPSDEPS, the sponsor, with support of the JS J-7, will obtain public affairs and legal reviews, followed by formal review and endorsement by the Joint Chiefs of Staff, prior to final review and approval by the Chairman or Vice Chairman. The DJ-7, in coordination with concept sponsors, will develop and submit appropriate staffing packages to process the final concept document to the Chairman or Vice Chairman for review and approval.

(INTENTIONALLY BLANK)

ENCLOSURE C

IMPLEMENTING JOINT CONCEPTS

1. Introduction. This enclosure provides general procedures for exploring, evaluating, refining, and maturing the ideas and capabilities in approved joint concepts; developing specific force development recommendations; and submitting those recommendations to various application process owners for acceptance, validation and approval.

2. Joint Concept Implementation Framework. The implementation framework for joint concepts consists of a transition phase and an application phase. In the transition phase, conceptual solutions are matured and refined into joint capability recommendations, which are then submitted for approval to the appropriate authority. In the application phase, the approved recommendations are implemented through capability development processes governing a range of continuing actions to realize the desired changes to the joint force. Application processes involve numerous organizations including the Office of the Secretary of Defense (OSD), CCMDs, JS directorates, Services and agencies. The implementation framework and its relationship to JCD are depicted in Figure C-1.

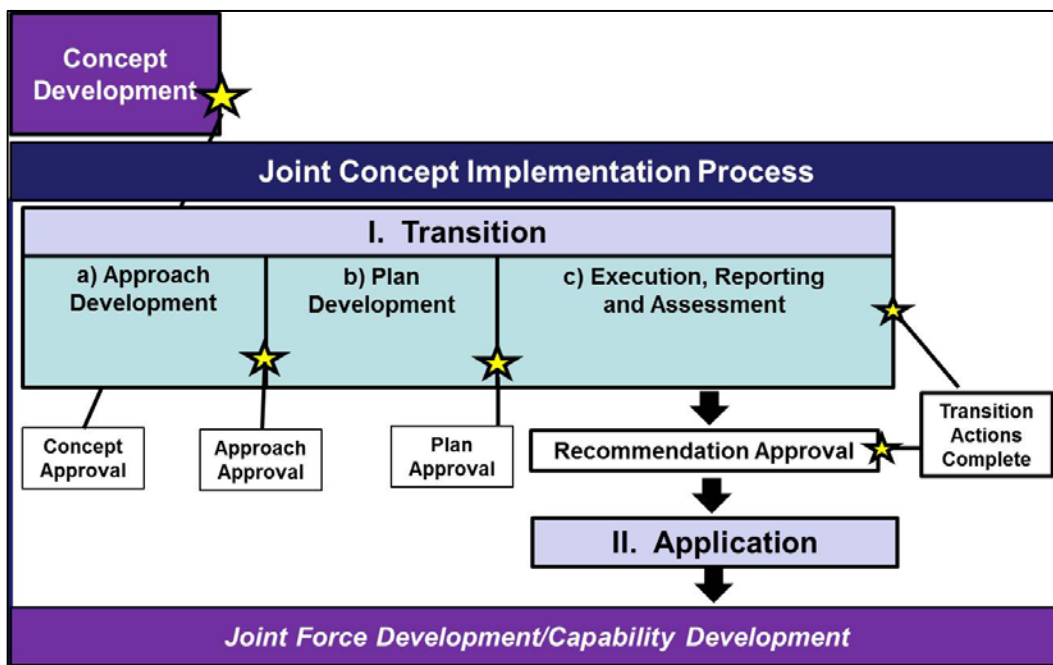


Figure C-1. Joint Concept Implementation Framework

3. Transition Phase. The transition phase describes the process of maturing and refining concept solutions through activities such as wargames, experiments, exercises, demonstrations, and CBAs to construct joint capability

development recommendations. The concept sponsor is responsible for executing the transition phase, which has three primary elements: 1) the transition approach, which describes the end state with specific conditions to be achieved and outlines actions to achieve the conditions; 2) the transition plan, which specifies the actions required to construct joint capability development recommendations and submit those recommendations to appropriate application processes; and 3) transition plan execution, reporting, and assessment.

a. Transition Approach Development. Concept sponsors begin developing the transition approach during the early stages of concept development as the concept's central and supporting ideas and CRCs begin to mature. The transition approach considers relevant factors including the concept purpose and central idea, the nature and type of capabilities outlined in the joint concept, resource availability, and the authority of the concept sponsor. The transition approach describes facts, assumptions, or risks that may impact transition execution, as well as any limitations (restraints and constraints) that must be considered during transition plan development. Concept sponsors will present the transition approach to the JCWG for approval following submission of the draft concept version x.9 to the OPSDEPS for review and endorsement. The transition approach should:

(1) Describe the concept's desired end state and the key ideas or proposed solutions that are immediately viable for transition or require further exploration.

(2) Identify joint capability development recommendations that are ready for immediate approval and transfer to the appropriate capability development process authority, as well as any DOTMLPF-P elements that will be examined through CBAs or other analytical methods.

(3) Describe elements of the concept that may require additional evaluation or refinement, and a proposed methodology to accomplish it.

(4) Describe the transition timeline including currently planned activities.

(5) Identify any known factors that may impact transition execution.

b. Transition Plan Development. The transition plan identifies the specific activities, objectives, and milestones that will achieve the sponsor's desired end state. The transition plan includes the types and scope of assessment activities, tasks, and coordination and synchronization measures. The transition plan is a single document used to guide execution, assessment, and reporting. It specifies the roles and responsibilities of the sponsor and

other supporting organizations. A transition plan outline is provided for reference in Appendix A to this enclosure. Considerations for transition plan development include:

(1) Identify a realistic and achievable end state to guide the development, execution, and assessment of the transition plan.

(2) Determine the best mix of exploratory methods needed to build the level of understanding or maturity of CRCs and supporting actions. These methods include analyses, detailed study, wargaming, experimentation and exercises.

(3) Establish a method and develop criteria for identifying and evaluating relevant joint capability development actions already underway (e.g., joint doctrine development, joint training plans, JPME curricula, DCRs) and identify gaps where new actions may be needed to support the concept's transition plan.

(4) If the sponsor determines that all transition recommendations will be captured in a DCR, the DCR implementation plan (required per reference e) may be developed in lieu of a concept transition plan. However, if additional transition actions beyond a DCR are anticipated, the DCR implementation plan will be a subset of the overall transition plan.

(5) Sponsors should tailor the structure, detail and focus of their recommendations to align with the submission guidelines, approval, validation, and governance mechanisms for appropriate application process being considered. For example, the Joint Requirements Oversight Council (JROC) is the highest level of requirements validation authority for materiel capability development. Independent validation authority for materiel capability requirements is delegated to the Services and USSOCOM for Service-unique and special operations-particular requirements, respectively (reference i).

c. Transition Plan Coordination and Approval. Transition plans will be coordinated with the JCWG and JC GOSC prior to submission to the DJ-7 for approval, typically within six months of JCWG approval of the transition approach. Concept sponsors will submit a draft plan to the JS J-7 for informal staffing to the JCWG via email. JCWG members will provide comments and supporting rationale to the sponsor using a comment resolution matrix. The sponsor submits the revised transition plan to the JS J-7 for formal staffing via JSAP to obtain JC GOSC endorsement and/or Service Planner concurrence, as required. The JS J-7 submits the final transition plan to the DJ-7 for approval.

d. Transition Execution, Assessment and Reporting.

(1) Execution. Transition execution begins after transition plan approval and continues until each change recommendation is approved or disapproved by the appropriate capability development process authority. Transition execution timelines may vary substantially from one concept to another. Transition execution should be adjusted as required to achieve the desired endstate. Major adjustments to transition plan execution will be briefed during the annual updates to the JC GOSC.

(2) Assessment and Reporting. During transition execution, the concept sponsor is responsible to lead a transition team for the development of a comprehensive list of recommended force development changes needed to operationalize the concept. Once all change recommendations are identified and OPRs assigned, the concept sponsor will report transition completion to the DJ-7 via the JC GOSC. At that point, the OPRs, as designated in the transition plan, will ensure all force development recommendations are provided to the appropriate process owners for approval and implementation. The concept sponsor will assist the application process owners and other stakeholders as required, but will no longer formally track capability development activities. Joint concept sponsors will brief the JCWG and JC GOSC annually on the status of transition plan execution.

4. Application Phase. The application phase begins as capability development recommendations are validated and approved for entry to appropriate application processes. The application phase transforms approved recommendations into new operating methods and other joint capabilities. Application processes involve numerous DoD organizations including OSD, CCMDs, the Services, JS directorates, and Defense Agencies. Each application process has its own authoritative governance process, prioritization methodology, and pace of progress. Acceptance of a capability development recommendation within an application process should not be considered a guarantee that the desired end state will be achieved. Additionally, some application processes may require longer engagement by concept sponsors in the change process than others. For example, the joint doctrine development process requires concept sponsors to advise and assist the proponents of relevant joint publications in applying the recommended changes. Selected capability development application processes, process owners, and current references are listed in Figure C-2.

DOTMLPF-P Area	Functional Process Owner	Associated Guidance/ Processes
Joint Doctrine	JS J-7	References g and h
Joint Organizations	JS J-8 (with J-1 & J-5 support)	CJCSI 4320.01F, 21 August 2014
Joint Training	JS J-7	Reference f

Joint Materiel	JS J-8	References e, i, and l
Joint Leadership & Education	JS J-7	Reference b
Joint Personnel	JS J-1	CJCSI 1001.01B, 7 October 2014
Joint Facilities	JS J-4	DoDD 4165.06, 13 October 2004 (certified current as of 18 Nov 08)
Joint Policy	JS J-5	DoDI 5111.16, 27 October 2005

Figure C-2. Selected Joint Capability Application Processes

(INTENTIONALLY BLANK)

APPENDIX A TO ENCLOSURE C

JOINT CONCEPT TRANSITION PLAN OUTLINE

Executive Summary. Provide a high-level summary of the transition plan suitable for senior leaders.

1. Situation.

a. General. This section functions as an overview of the transition approach. Provide a general introduction that includes the purpose and scope of the transition plan. Summarize analyses performed during concept development and transition planning, explain the concept's problem - solution logic (problem definition), and identify the portions of the concept that are targeted for transition.

b. Risks. Identify risks associated with the transition approach and the impact on implementing the concept.

c. Assumptions. Identify and describe the assumptions (if any) required to execute the transition plan.

2. Mission. A concise statement of the purpose, method, and desired end state for achieving the capabilities required to execute the concept.

3. Execution.

a. Concept of operations. Provide a detailed description of how the transition approach will mature and refine the solutions presented within the joint concept into capability development recommendations that will be submitted to application processes. Identify portions of the concept that are targeted for transition (central idea, solutions, CRCs, etc.) and explain how each portion may be transitioned. Include the description of the DoD process, role of the sponsor and other organizations that will assist in transition, and specify the time frame required to develop capability recommendations.

b. Tasks. Based on the approved transition approach, identify critical actions necessary to achieve the capabilities, identify OPRs, and detail how each will be achieved. Describe specific steps required for each individual action. Include who initiates the action, what steps are required to complete the transition process, when the initial step will be initiated, the expected duration until transition of that action is complete, and how progress will be assessed.

c. Synchronization and Coordinating Instructions. Describe the order in which tasks will be achieved to ensure synchronization and alignment with application processes.

- Summarize analysis used for selecting each action and explain the rationale for selecting each action's process.
- Identify linkages between existing transition plans and transition actions required for this concept.
- Display a transition timeline with milestones for completion of each action

4. Assessment. Describe the method and criteria that will be used to assess the transition plan's progress.

5. Reporting. Describe or illustrate how the sponsor and other stakeholders will report the status of transition efforts to the JCWG, JC GOSC, and the broader community of interest.

6. Roles, Responsibilities, and Oversight. Describe the specific roles and responsibilities for organizations participating in transition. Delineate any governance structures that may be used in support of transition as required.

Annexes (as needed)

- A. References
- B. Glossary
- C. DOTLMPF-P matrix
- D. Crosswalk of linkages to other transition plans
- E. Transition timeline / Plan of Actions and Milestones (POA&M)
- F. Crosswalk of linkages to wargames, experiments, and other venues

ENCLOSURE D

RESPONSIBILITIES

1. Overview. This enclosure outlines the responsibilities of the offices, organizations, and individuals participating in JCD.
2. Office of the Secretary of Defense (OSD). Provides JCD direction in defense strategic guidance.
3. Chairman of the Joint Chiefs of Staff (CJCS).
 - a. Provides JCD direction through the NMS, CCJO and other strategic documents.
 - b. Develops, approves and publishes revisions to the CCJO.
4. Vice Chairman of the Joint Chiefs of Staff (VCJCS). Approves and signs all joint concepts, other than the CCJO.
5. The Joint Chiefs of Staff (JCS). Reviews and endorses all joint concepts prior to submission to the Chairman or Vice Chairman for approval.
6. Director, Joint Staff (DJS).
 - a. Approves prospectuses for the development of new, or the revision of existing, joint concepts based on recommendations of the DJ-7.
 - b. Chairs meetings of the OPSDEPS to review and endorse draft joint concepts prior to submission to the JCS for review, and the Chairman or Vice Chairman for approval.
 - c. Approves recommendations to archive joint concepts.
7. Director, Joint Force Development, Joint Staff (DJ-7).
 - a. Responsible to the Chairman for the Joint Concepts Program.
 - b. Organizes, coordinates and chairs the joint concept governance bodies (JCWG, JCRC, and JC GOSC).
 - c. Supports concept sponsors in developing, evaluating, and transitioning joint concepts.
 - d. Approves joint concept transition plans.

- e. Identifies and prioritizes military challenges meriting concept development.
 - f. Coordinates JFD activities with DJ-8 to minimize duplication of effort and ensure mutual support.
 - g. Endorses joint concept prospectuses for DJS approval and issuance of a DJSM.
 - h. Ensures proposed concepts align with and support strategic guidance, DoD policy objectives, and strategic scenarios and assessments.
 - i. Coordinates and resources independent Red Team reviews for all draft joint concepts.
 - j. Maintains standards and best practices, and advises and assists concept sponsors in writing, evaluating, and implementing all joint concepts.
 - k. Represents JCD efforts in multinational and interagency forums.
 - l. Submits joint concepts for preliminary and final staffing and final approval using JSAP. Assists sponsors in processing “paper” OPSDEPS and JCS reviews of final draft concepts. Assists concept sponsors in scheduling OPSDEPS and JCS Tank reviews, if required.
 - m. Prepares staffing actions for JCS and CJCS review and approval of final draft concepts.
 - n. Maintains all joint concepts in the JEL+.
 - o. In coordination with sponsoring organizations, periodically assesses the body of approved joint concepts to ensure continued alignment with the CCJO and defense strategic guidance.
 - p. Submits recommendations to the DJS to archive joint concepts. Develops and maintains a joint concept repository for archived concepts and supporting documentation.
8. Director, Force Structure, Resources, and Assessment, Joint Staff (DJ-8).
- a. Participates as a member of the JCWG and JC GOSC.
 - b. Directs the appropriate FCBs to support concept sponsors in assessing joint concept prospectuses, identifying and refining concept required

capabilities, and monitoring the execution and assessment of joint concept transition activities.

c. Advises concept sponsors on the conduct of CBAs and subsequent development of JCIDS requirements documents.

d. Assists in the development of appropriate DCRs or ICDs as a result of CBAs.

9. Functional Capabilities Board (FCB).

a. Closely coordinates JCIDS activities with JFD in order to minimize duplication of effort.

b. Identifies critical joint force capability requirements and ongoing force development activities that could inform or support proposed joint concepts.

c. Assists in review and assessment of joint concepts and concept proposals in respective JCA portfolios.

d. Provides capability portfolio reviews and participates in CRC workshops to help shape the CRCs into statements of capability needs that facilitate concept transition plan development.

e. Supports joint concept sponsor in the development of transition approaches, plans and assessments.

10. Other Joint Staff Directorates.

a. Participate as members of the JCWG and JC GOSC.

b. Propose or sponsor joint concepts within their joint functional areas of responsibility.

c. Monitor execution of approved joint concept transition plans and assess status of achievement of transition objectives.

d. Notify DD FJFD staff of DoD, Joint or Service policy, guidance, or related concepts that might impact joint concepts approved for development.

11. Joint Concept General Officer Steering Committee (JC GOSC).

a. Meets at least semi-annually to provide guidance and oversight of the JCD program.

- b. Reviews and provides endorsement decisions on prospectuses submitted as candidates for joint concept development.
- c. Monitors status of joint concepts in development and transition.
- d. Advocates within their respective organizations for support of joint concept development activities.
- e. Endorses transition plans for approved joint concepts, and provides an approval recommendation to the DJ-7.

12. Joint Concept Working Group (JCWG).

- a. Meets at least quarterly to review concept prospectuses and related issues, and to develop recommendations for consideration by the JC GOSC.
- b. Executes JC GOSC decisions and responds to JC GOSC tasks.
- c. Organizes a JCRC to consider issues affecting the overall JCD program.
- d. Works closely with Service (or organizational equivalents) joint action coordination offices to facilitate timely staffing of JCD actions at the action officer, planner, and GO/FO levels.
- e. Approves joint concept transition approaches and reviews transition plans to facilitate a JC GOSC endorsement decision.
- f. Monitors transition plan execution through periodic reviews.

13. Joint Concept Review Committee (JCRC).

- a. Meets monthly to consider issues affecting the JCD program, as determined by the JCWG chair.
- b. Consists of the Services, USSOCOM (in its title 10 role), and JS J-7.
- c. Decides whether new concept prospectuses should go to the full JCWG for endorsement recommendation to the JC GOSC.
- d. Reviews concepts at the mid-point of development to ensure they are progressing in accordance with (IAW) the approved prospectus and the standards of this instruction.

- e. Provides feedback and recommendations to the full JCWG.

14. Joint Concept Sponsor.

- a. Responsible for leading all aspects of joint concept development and transition, including planning, resourcing, coordination, and reporting, as described in Enclosures B and C, and further delineated below.
- b. Identifies and proposes military challenges that should be addressed through joint concept development.
- c. Submits prospectus papers to the JCWG describing the problem and scope to be addressed in the proposed concept.
- d. Develops joint concepts IAW procedures described in Enclosure B.
- e. Coordinates timeline for concept development through the JCWG.
- f. In coordination with JS J-7, conducts an independent Red Team review and in-stride evaluation prior to formal staffing of a draft joint concept.
- g. Updates the status of joint concepts in development during meetings of the JCWG and JC GOSC.
- h. Submits joint concepts to JS J-7 for preliminary and final staffing within JSAP.
- i. In coordination with JS J-7, schedules reviews of final draft concepts with the OPSDEPS and JCS prior to submission to the Vice Chairman for approval.
- j. Develops an initial transition approach during concept development and, upon concept approval, assumes primary responsibility as transition sponsor.
- k. Briefs the transition approach to the JCWG for approval following submission of version x.9 of the concept for OPSDEPS endorsement.
- l. Submits the final transition plan to DJ-7 for review and approval.
- m. Organizes and conducts post-approval wargames, CBAs, and other assessments to support joint concept transition execution and the development of DOTMLPF-P changes for consideration by applicable joint force development processes.

n. Provides an annual review of approved concepts to JCD governance bodies.

o. Following concept approval, provides lessons learned to JS J-7 to improve best practices for JCD.

15. Services, Combatant Commands, NGB, and Defense Agencies.

a. Provide subject matter expertise to support concept development. Combatant Commands will participate in meetings of core writing teams and other joint concept development activities, as resources allow.

b. Participate in meeting of the JCWG, JCRC (as required), and JC GOSC.

c. Inform the JCWG of critical military challenges and ongoing force development activities that could inform or support proposed joint concepts.

d. Assess proposed concept ideas and required capabilities to determine potential impact on plans, operations, and joint functions.

e. Propose war games, exercises, and other appropriate venues in which a joint concept might be evaluated or tested.

f. Within resources, support the transition of approved joint concepts.

ENCLOSURE E

REFERENCES

- a. Title 10, United States Code, sections 153 and 181
- b. CJCSI 1800.01 Series, "Officer Professional Military Education Policy"
- c. CJCSI 3100.01 Series, "Joint Strategic Planning System"
- d. CJCSI 3150.25 Series, "Joint Lessons Learned Program"
- e. CJCSI 3170.01 Series, "Joint Capabilities Integration and Development System"
- f. CJCSI 3500.01 Series, "Joint Training Policy and Guidance for the Armed Forces of the United States"
- g. CJCSI 5120.02 Series, "Joint Doctrine Development System"
- h. CJCSM 5120.01 Series, "Joint Doctrine Development Process"
- i. CJCSI 5123.01 Series, "Charter of the Joint Requirements Oversight Committee"
- j. CJCSI 5711.01 Series, "Policy on Action Processing"
- k. Chairman of the Joint Chiefs of Staff, Capstone Concept for Joint Operations: Joint Force 2030 (draft in development; please contact OPR for access to this reference.)
- l. DoDD 5000 Series, "Defense Acquisition System"
- m. Joint Operating Environment 2035: The Joint Force in a Contested and Disordered World (draft in development; please contact OPR for access to this reference.)
- n. Joint Publication 1, Doctrine for the Armed Forces of the United States, 25 March 2013
- o. JP 5-0, Joint Operation Planning, 11 August 2011
- p. Joint Staff Manual 5701 Series, "Formats and Procedures for Developing CJCS, Joint Staff, and J-Directorate Publications"

q. Joint Staff Guide 5711, “Editorial Guidance and Accepted Usage for Joint Staff Correspondence”

GLOSSARY

PART I-ABBREVIATIONS AND ACRONYMS

Items marked with an asterisk () have definitions in PART II*

*CBA	capabilities based assessment
CCJO	Capstone Concept for Joint Operations
CCMD	combatant command
CDD	capability development document
CGA	Capabilities Gap Assessment
CJA	Comprehensive Joint Assessment
CJCS	Chairman of the Joint Chiefs of Staff
CJCSI	Chairman of the Joint Chiefs of Staff instruction
CRA	Chairman's Risk Assessment
CRC	Concept-required capability
*CONOPS	concept of operations
CSDJF	Chairman's Strategic Direction to the Joint Force
DAS	defense acquisition system
*DCR	DOTMLPF-P Change Recommendation
DD FJFD	Deputy Director, Future Joint Force Development, Joint Staff J-7
DJ-7	Director, Joint Force Development, Joint Staff J-7
DJ-8	Director, Force Structure, Resources, and Assessment, Joint Staff J-8
DJS	Director, Joint Staff
DJSM	Director, Joint Staff memorandum
DOTMLPF-P	doctrine, organization, training, materiel, leadership and education, personnel, facilities and policy
DoD	Department of Defense
FCB	functional capabilities board
GO/FO	General Officer/Flag Officer
ICD	initial capabilities document
JC GOSC	joint concept general officer steering committee
JCD	joint concept development
JCIDS	Joint Capabilities Integration and Development System
JCWG	joint concept working group
JCS	Joint Chiefs of Staff
JFC	joint force commander

*JFD	Joint Force Development
JLLP	Joint Lessons Learned Program
JOC	joint operating concept
JOE	joint operating environment
JP	joint publication
JPME	joint professional military education
JROC	Joint Requirements Oversight Council
JSAP	Joint Staff action package
*JSPS	Joint Strategic Planning System
JSR	Joint Strategy Review
NGB	National Guard Bureau
NMS	National Military Strategy
NSS	National Security Strategy
OPR	office of primary responsibility
OPSDEPS	Service Operations Deputies
OSD	Office of the Secretary of Defense
QDR	Quadrennial Defense Review
SES	senior executive service
USCG	United States Coast Guard

PART II-DEFINITIONS

(Unless otherwise stated, the terms and definitions contained in this glossary are for the purposes of this document only).

active concept -- A joint concept is active from the time a prospectus is approved for development until the concept's capability development recommendations are approved by the application processes that will generate the required DOTMLPF-P changes.

application process owners --The numerous organizations and processes across the Department of Defense with responsibility and authority for joint force development and capability development decisions.

archived -- A joint concept may be archived when the JCD governance bodies determine that active concept development and transition activities are complete or terminated. An archived concept will no longer be monitored by the JCD governance body and should not be used as the basis for joint force or capability development submissions.

capabilities-based assessment -- An analytic process that identifies capability requirements and associated capability gaps.

capability gap -- The inability to meet or exceed a validated capability requirement, resulting in an associated operational risk until closed or mitigated. The gap may be the result of no fielded capability, lack of proficiency or sufficiency in a fielded capability solution, or the need to replace a fielded capability solution to prevent a future gap. (CJCSI 3170.01J)

capability solution -- A materiel or non-materiel solution to satisfy one or more capability requirements and reduce or eliminate one or more capability gaps. (CJCSI 3170.01J)

concept development period -- The time between DJS approval of the prospectus and CJCS approval of the concept.

concept of operations -- A verbal or graphic statement that clearly and concisely expresses what the joint force commander intends to accomplish and how it will be done using available resources. Also called CONOPS. (JP-5-0)

concept-required capability (CRC) -- A proposed capability derived logically from the concept's central and supporting ideas and required for the concept's execution.

concept revision -- The rewrite of a previously approved joint concept that updates either the military challenge or proposed solution based on changes in

strategic guidance, defense priorities, or assessments of the future operating environment.

concept sponsor -- The organization assigned primary responsibility for proposing and submitting prospectuses, writing and evaluating joint concepts, and overseeing transition of approved joint concepts.

concept suspension -- Temporary placement of a concept in inactive status due to shifts in policy, higher priority placed on other concepts, or resource constraints. Once these issues are resolved, the JC GOSC may return the concept to active development.

concept termination -- Formal direction from the DJS to end the ongoing development or revision of a joint concept based on a JC GOSC and DJ-7 recommendation.

doctrine, organization, training, materiel, leadership and education, personnel, facilities, and policy (DOTMLPF-P) change recommendation (DCR) -- A recommendation for changes to existing joint resources, when such changes are not associated with a new defense acquisition program.

Joint Capabilities Integration and Development System (JCIDS) -- The JCIDS process exists to support JROC and CJCS responsibilities in identifying, assessing, validating, and prioritizing joint military capability requirements as outlined in title 10, USC, section 181 and the JROC Charter (CJCSI 5123.01). JCIDS provides a transparent process that allows the JROC to balance joint equities and make informed decisions on validation and prioritization of capability requirements.

joint concept -- Identifies a current or future military challenge and proposes a solution to improve the joint force's ability to address that military challenge. A joint concept may also propose new ways to employ the joint force based on future technology.

joint concept development process -- A deliberate approach for producing a joint concept. It consists of four major activities: 1) prospectus development; 2) research and writing; 3) evaluation; and 4) coordination and approval.

Joint Concept Implementation (Application Phase) -- Consists of processes that govern a range of continuing actions to realize desired changes to the Joint Force. Application processes involve numerous organizations to include OSD, CCMDs, Joint Staff Directorates, Services and agencies.

Joint Concept Implementation (Transition Phase) -- Actions to mature and refine conceptual solutions into joint force development recommendations or

joint capability development recommendations for approval and action by the appropriate application process authority.

Joint Force Development -- The deliberate, iterative, and continuous process of planning and developing the current and future joint force through integrated materiel and non-materiel solutions across the DOTMLPF-P spectrum.

Joint Strategic Planning System (JSPS) -- One of 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 statutory responsibilities to assist the President and Secretary of Defense in providing strategic direction to the armed forces.

materiel (capability solution) -- A new item (including ships, tanks, self-propelled weapons, aircraft, etc., and related spares, repair parts, and support equipment, but excluding real property, installations, and utilities) necessary to equip, operate, maintain, and support military activities without distinction as to its application for administrative or combat purposes. (JP 4-0)

non-materiel (capability solution) -- Changes to doctrine, organization, training, (previously fielded) materiel, leadership and education, personnel, facilities, and/or policy, implemented to satisfy one or more capability requirements (or needs) and reduce or eliminate one or more capability gaps, without the need to develop or purchase a new materiel solution.

recommendation -- A relevant, proposed action deemed appropriate and advisable based on data analysis.

requirement -- A capability required to meet an organization's roles, functions, and missions in current or future operations. To the greatest extent possible, capability requirements are described in relation to tasks, standards, and conditions in accordance with the universal joint task list or equivalent DoD Component task list. If a capability requirement is not satisfied by a capability solution, then there is an associated capability gap. A requirement is considered to be 'draft' or 'proposed' until validated by the appropriate authority. (CJCSI 3170.01J)

stakeholder -- An organization or entity with substantive interest in the JCD process, or which has a key contributing role in joint concept development, transition or implementation.

validation -- The review and approval of capability requirement documents by a designated validation authority. The JROC is the ultimate validation authority for capability requirements unless otherwise delegated to a subordinate board or to a designated validation authority in a Service, CCMD, or other DoD component. (CJCSI 3170.01J)

viable -- Capable of working, functioning, or developing adequately.