

Army G-8-FD
Standard Operating Procedures
for
JCIDS Document Review Staffing
and
Affordability Assessments

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This SOP describes the HQDA Deputy Chief of Staff, G-8-Force development (FD) procedures for staffing, reviewing, and providing the G-8 approval of Joint Capabilities Integration and Development System (JCIDS) requirements documents. One of the main focuses of the Army G-8 review is to ensure requirements are cost-informed, affordable, and cost-effective.

The only way for the Army leadership to understand how each individual requirement fits within the broader context of Army Equipment Modernization Strategy is if the interaction of the Requirements, Resourcing, and Acquisition processes is continuous rather than sequential. Therefore, the formal review of the requirement document, which this SOP focuses on, should only be viewed as one part of a continuous process, without a clearly defined beginning or end. Even after a requirement document is approved, we will go back and make changes based upon changing resources, threat, user-needs, or acquisition input.

Before a requirement document begins at TRADOC, there must be critical upfront synchronization in order to conduct the proper analysis that will structure the requirements document and ensure it is cost-informed, affordable, and cost-effective. While each individual requirement in and of itself is complex and involves a series of tradeoffs, within the G-8 the analysis is especially complex because we must ensure the tradeoffs and analysis are done not just for the individual requirement document, but also within the portfolio, across the different equipment portfolios, and even across the different resourcing Program Evaluation Groups in the PPBE. Many of these reviews require careful reasoning and the application of judgment and military experience

I challenge everyone to understand the context in which every decision is made, to understand all the stakeholders involved, ensure rigorous analysis is conducted, and to constantly review every program we have – not just during formal review periods, but whenever new information becomes available. The next three years are going to be especially difficult for our Army as we face the specter of dramatically reduced funding for equipment modernization. We must be especially frugal with our resources because every dollar not spent wisely, is capability our Soldiers will not receive. If we can save money in one program by carefully crafting a requirement, then those dollars will be available to improve capabilities somewhere else.

We owe our Soldiers our best effort every day. Challenge every assumption, every piece of analysis, and make sure we know the difference between being cost-informed, affordable, and cost-effective.

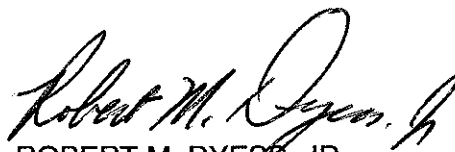

ROBERT M. DYESS, JR
Major General, U. S. Army
Director, Force Development

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Standard Operating Procedures for JCIDS Document Review Staffing and Affordability Assessments

1. **Purpose:** This SOP describes the HQDA Deputy Chief of Staff, G-8-FD procedures for staffing, reviewing, and providing the G-8 approval of Joint Capabilities Integration and Development System (JCIDS) requirements documents. One of the main focuses of the Army G-8 review is to ensure requirements are cost-informed, affordable, and cost-effective. Recent changes to Title 10 and the JROC processes have made resources an integral part of approving requirements. Those changes which impact the G-8 staffing and approval of requirement documents include:
 - a) Ensuring that appropriate trade-offs are made among life-cycle cost, schedule, and performance objectives, and procurement quantity objectives in the establishment and approval of joint military requirements
 - b) Reviewing the estimated level of resources required in the fulfillment of each joint military requirement and in ensuring that the total cost of such resources is consistent with the level of priority assigned in the fulfillment of each joint military requirement
 - c) Establishing an objective for the overall period of time within which an initial operational capability should be delivered to meet each joint military requirement
2. **References:**
 - a) AR 71-9, Warfighting Capabilities Determination.
 - b) CJCS 3170.01H, Joint Capabilities Integration and Development System.
 - c) DoD Directive 5000.01, The Defense Acquisition System.
 - d) DoD Instruction 5000.02, Operation of the Defense Acquisition System.
 - e) Defense Acquisition Guidebook.
 - f) JCIDS Manual, Manual for the Operation of the Joint Capabilities Integration and Development System.
3. **Scope:**
 - a) JCIDS is used by DoD to identify improvements to existing capabilities and to develop new warfighting capabilities. G-8 participates in the process by reviewing all JCIDS documents, primarily to ensure the requirement is cost-informed, affordable, and cost effective – as an individual program, within the portfolio, and across the portfolios.
 - b) The only way for the Army leadership to understand how each individual requirement fits within the broader context of Army Equipment Modernization, is for the Directorate of

Materiel Systems Synchronization Officer (DOM SSO) to provide relevant funding information (for the individual program and the portfolio in general) to the document sponsor during the development of the requirement document. The requirements process simply cannot function without this critical upfront synchronization. This resource synchronization will allow TRADOC to conduct the proper analysis in order to structure the requirements document and ensure it is cost-informed, affordable, and cost-effective.

- c) While each individual requirement in and of itself is complex and involves a series of tradeoffs, within the G-8 the analysis is especially complex because we must ensure the tradeoffs and analysis are done not just for the individual requirement document, but also within the portfolio, across the different equipment portfolios, and even across the different resourcing Program Evaluation Groups in the PPBE. Many of these reviews require careful reasoning and the application of judgment and military experience. Every level of the G-8 organization is expected to fully contribute to the review and assist the lead action officer in the completion of their duties. We will all strive to complete reviews on time and to standard.

4. G-8 JCIDS Document Review Process Overview:

- a) While this SOP is focused on what happens when an official request to review a requirements document comes to HQDA from TRADOC, it must be clear to all that the coordination and synchronization must begin well before then, even before the document is written. There must be a constant interaction with TRADOC that balances the Army Equipment Modernization Strategy, Resources, Joint interdependencies, and evolving leadership guidance to ensure that requirements are scoped accordingly. If a cost-cap is appropriate, then this must be addressed early in the process. *The feedback between the requirements, resourcing, and acquisition processes must be continuous and cannot be sequential.* Additionally, the synchronization does not end when the requirements document is approved, it must continue through the life of the program.
- b) G-8's participation in the formal review process begins with a tasking from HQDA G-3/5/7 through the G-8 Staff Action Control Office (SACO) via SIPRnet e-mail alerting the G-8 Gatekeeper of a new document review to be completed and returned to the G-3/5-CIC Requirements System Officer (RSO) for inclusion in the Army's response to TRADOC or the Joint Staff.
 - i) The e-mail contains the document title, type (Initial Capabilities Document (ICD), Capability Development Document (CDD), Capability Production Document (CPD), etc.), level of review (General Officer / Senior Executive Service (GO/SES) and Army Requirements Oversight Council (AROC) review), suspense, name of G-3/5-CIC RSO and a link to the task in the Capabilities and AROC Management System (CAMS).

- ii) G-3/5/7 will conduct one GO/SES review of each document to identify all pertinent issues. The second review is not a second staffing, rather it is the AROC review and approval; it will highlight critical issues that may result from the first review and will gain AROC approval as a paper or physical AROC.
- c) CAMS is the Army's automated system for storing and distributing JCIDS documents for review and is the official method for reviewing organizations to submit their response to the G-3/5-CIC RSO who consolidates all responses into the Army position.
 - i) The document to be reviewed and its supporting documents reside in CAMS and are open for commenting for the period of the review. Once the suspense date is reached the G-3/5-CIC RSO closes the tasker and the document is removed from CAMS to prevent further comments submissions.
 - ii) Late comments generally cannot be included in the Army's official response. It is therefore imperative to meet the suspense date or request an extension within the first 24 hours. The G-8 Gatekeeper is responsible for tasking the review to the appropriate G-8 organizations and returning the official G-8 response to the G-3/5-CIC RSO, who then returns the response to TRADOC.
- d) Appendices A through J contain sample forms and other resources to aid in completing JCIDS document reviews

5. Roles and Responsibilities: Participants in the review process and their associated responsibilities are as follows:

- a) **Force Development (FD) Staff Action Control Officer (SACO) / G-8 Gatekeeper:**
 - i) Receive tasking e-mail from G-3/5/7 Gatekeeper. It is recommended that an alternate, with tasking authority, be identified to prevent valuable time loss in the event the primary gatekeeper is unavailable.
 - ii) Retrieve documents from CAMS and place in the G-8 FDZ folder on the SIPRnet J-drive.
 - iii) Log document and task information into Gatekeeper's Open Taskers log book.
 - iv) Enter task into the HQDA Tracking System and assign a tracking number. This tracking number is used to title the task SIPRnet folder.
 - v) Prepare tasker instruction sheet specific to the document and level of review.
 - vi) Task the appropriate lead and assist division in the HQDA tracking System and notify the appropriate division XOs via e-mail. FDP, FDR and FDJ are assists on all JCIDS document reviews.
 - vii) Contact the DOM Deputy, Director for Operations (DOM OPS) to adjudicate contested materiel division assignments or the Deputy, Director of Joint Integration (DJI) to adjudicate all other contested or questionable assignments.
 - viii) Notify RSO of DOM Lead assignment.

- ix) Submit requests for extension to G-3/5-CIC Deputy Division Chief. The SSO is responsible for providing rationale and proposed new suspense date for request.
 - x) Close tasks for divisions in the HQDA Tracking System as they provide notification of completion of their review.
 - xi) Maintain status of reviews.
 - xii) Ensure all required supporting documents are received and complete with required signature(s) prior to uploading G-8's comments into CAMS.
 - xiii) Verify that the Lead AO has saved the signed Form 5, Response Sheet, Affordability Assessment Worksheet into the HQDA Tracking System, or if classified, are saved in the appropriate SIPRnet folder.
 - (1) The Gatekeeper will NOT perform any quality control or review of these JCIDS Reviews.
 - xiv) Coordinate with the G-3/5-CIC and Joint Gatekeepers to adjudicate unresolved G-8 FD issues/responses.
 - xv) Provide the DJI a monthly status report of documents in review within G-8, known to be pending review and the adjudicated status of all non-concurs.
- b) **Assistant Deputy, Force Development (ADFD):** Routinely advise directors and deputy directors on the status of open JCIDS documents. Discuss overdue or near overdue JCIDS reviews at Monday director's meetings.
- c) **Director, Lead Division:**
- i) Review packet for content accuracy and potential G-8 FD, Equipping Program Evaluation Group (EE PEG) and Army equities; request additional information as needed.
 - ii) Sign Form 5.
- d) **Director, Joint Integration:**
- i) Serves as the GO approval authority for G-8 chop on JCIDS documents. Note G-8 approval is gained during the Army Requirements Oversight Council (AROC) review. Authority is delegated to Deputy DJI (D,DJI) in the event the DJI is absent within the 24 hours prior to suspense date.
 - ii) Review packet for content accuracy and potential G-8 FD, EE PEG and Army equities; request additional information as needed.
 - iii) Advise the FD about G-8 FD GO/SES level non-concurs.
 - iv) Sign Form 5.

d) Directorate XO (DOM, DOR, DOI, DJI AND PAE):

- i) Assist in tracking progress of review. May assist with forwarding the folder to the next approval level and entering the task into the Directorate log book as required.
- ii) Notify G-8 Gatekeeper and Lead action officer when the document is approved.

e) Division Operations (OPS) Officer or Executive Officer (XO):

- i) Receive tasking e-mail from G-3/5-CIC Gatekeeper. It is recommended that an alternate, with tasking authority, be identified to prevent valuable time loss in the event the primary gatekeeper is unavailable.
- ii) Assign tasker to Lead AO or Assist within the division or notify G-8 Gatekeeper of incorrect assignment within 24 hours of receipt of tasker. The Deputy Director, Materiel Operations Team will adjudicate contested materiel division assignments; the D,DJI will adjudicate all other contested assignments.
- iii) Notify G-8 Gatekeeper of Lead AO and Assist assignments within 24 hours of receipt of tasker. Enter AO's name in HQDA Tracking System's "Current Task List".
- iv) Forward tasker instruction sheet and tasking e-mail to Lead AO and Assists.
- v) Notify G-8 Gatekeeper when task is complete (i.e., all signatures received and completed forms/documents are in SIPRnet folder).
- vi) Upload signed, scanned forms appropriate for the level of review into the HQDA tracking system in time to meet the suspense; Notify Gatekeeper the forms have been uploaded.

f) Division Chief:

- i) Review and approve comments from the lead Division Action Officer.
- ii) Ensure the review packet is complete IAW appendix B.
- iii) Review accompanying Affordability Analysis Worksheet IAW appendix G.
- iv) Validate that the Division has provided full funding for the proposed Program of Record (POR) or is committing to fully fund the proposed POR, if concurring with the document.
- v) Sign the Form 5.
- vi) G-8 DOM Divisions need to maintain open and continuous contact with the G3/5-CI Requirements System Officers (RSOs) and TRADOC centers of excellence to review portfolio priorities and fiscal resources constraints. The intent is not to wait for G-8-FD staffing before determining if the Key Performance Parameters (KPPs), Key Systems Attribute (KSAs) are appropriate/valid, and quantities are affordable. Ideally, the capability document is developed in an open and collaborative manner to

ensure the quantities, capabilities, and cost in the document are consistent with funding levels the portfolio can support.

- vii) Present a decision briefing to the DJI for all recommendations of non-concur. It will represent the views of all organizations that made Critical or Substantive comments and will consist of the regular packet prepared for all reviews plus the adjudicated Comment Resolution Matrix (CRM) from the O6-level or previous review(s), as applicable. The Division Chief may invite the Assist authors of the comments to attend or may choose to represent their views. The packet must be delivered to the DJI not later than 24 duty hours prior to the briefing.

g) Lead Action Officer (AO):

- i) Responsible for contesting assignment of a tasker within 24 hours of receipt.
- ii) Notify Gatekeeper of any agreements made with G-3/5/7 that affects suspense date. Provide Gatekeeper with rationale for request of an extension.
- iii) Responsible for the overall quality control and timeliness of the staff action. This includes the reconciliation of all G-8 comments on the CRM, securing of the necessary staff coordination, packet preparation, signature and completion of the staffing packet.
- iv) Request an extension through the G-8 Gatekeeper. Extension requests are approved by G-3/5-CIC Deputy, Division Chief. Provide the G-8 Gatekeeper with credible rationale for the request along with current and proposed suspense dates. Requests must be made within 48 hours of Division's receipt of task or as soon as a barrier to meeting the suspense is identified. Extension requests made on the day of the suspense are likely to be denied by G-3/5/7 and should be avoided.
- v) Prepare the packet your Division Chief will brief to the DJI and participate in the briefing as needed. Assists may be requested to participate in the briefing at the discretion of the Lead Division Chief.
- vi) Schedule an office call with the DJI for all GO/SES reviews that recommend non-concur or in situations in which G-8 positions are unattainable. Plan the office call in sufficient time to meet the suspense date. Send packet to the DJI as a read-ahead not later than 24 duty hours prior to the office call.
- vii) Review document and any previous staffing of the document to prepare the staff action. Use the CJCS 3170 series, the JCIDS Manual, the DoD 5000 series and this SOP (Paragraph 2 should be used as a guide, by type of document review) as the basis for your review.
- viii) Complete the FD Affordability Analysis Worksheet (Appendix G.) for Army sponsored CDDs and CPDs only. Coordinate with Director of Requirements (DOR-FDP), and DJI (FDJ) to prepare Affordability Analysis Worksheet and provide the affected division with a copy as soon as possible. The affected division will need to review the Worksheet prior to submitting their position on the document. Coordinate with FDR and Program Analysis and Evaluation (PAE) to inform/advise of any Defense Wide/Joint funding for program to support affordability review.

- ix) Consolidate the comments from other reviewers in G-8 into a single comment matrix and save in the appropriate SIPRnet folder. NOTE: Do not change margins or column widths or delete the instructions beneath the table as it interferes with the automated CAMS upload.
- x) Ensure all G-8 comments are consistent and in agreement. If unable to achieve consensus, identify where various G-8 elements are in disagreement and discuss in DJI's office call.
- xi) Ensure G-8's comments are clear, unambiguous and de-conflicted and that the G-3/5-CIC RSO and the document sponsor receiving G-8's comments can understand the changes that need to be made. Changes should usually be word for word changes to the document.
- xii) Determining concurrence on funding shall be in accordance with paragraph 3e.
- xiii) Coordinate with Assistant Secretary of the Army for Acquisition, Logistics, and Technology (ASA (ALT)) for CDD and CPD reviews. Record their position on the Form 5. ASA(ALT) comments are submitted separately from the G-3/5/7's. This coordination is intended for G-8 leadership's situational awareness. Contact the G-3/5-CIC RSO to obtain name of ASA(ALT) Point of Contact (POC).
- xiv) Package G-8's position in a folder for leadership review and signature. The folder must be ready for DJI review and presented at the time of the office call (if required). Refer to the instructions at the bottom of the tasker to organize the folder. See Appendix B for documents to be prepared for the GO/SES level reviews.
- xv) For GO/SES level reviews, submit folder to the G-8 Editor for approval of the Form 5 prior to obtaining any signatures. The Lead may e-mail the documents to the Editor; however, the Editor will only initial the hard copy of the documents. The Editor's initials are required on the final product for all GO/SES reviews. The Lead will deliver the initialed forms and the folder to the appropriate Operations Officer or XO for Division Chief signature. If at any point someone makes a change to the documents after the Editor has initialed the original Form 5, the documents must be resubmitted to the Editor for another review. The Editor's review can take between 24-48 hours to complete; plan accordingly to meet the suspense date.
- xvi) Track the folder as it moves along signature trail. While the Directorate XO may assist with forwarding the folder to the next approval level and entering the task into the Directorate log book, it is the responsibility of the Lead AO to track the progress of the folder. If hand carrying a folder to a front office for signature, enter the task in the log book.
- xvii) Scan the signed Form 5, Response Sheet, Affordability Assessment Worksheet and upload into the HQDA Tracking System. Classified documents must be uploaded and saved in the appropriate SIPRnet folder.
- xviii) Inform the FDR Assist of the final GO/SES funding decision as noted on the Form 5 and Affordability Assessment Worksheet.
- xix) Assist the Gatekeeper in tracking the status of the review.

xx) Ensure the consolidated comment matrix has been saved in the appropriate SIPRnet folder. Final matrix must meet the requirements of paragraphs 9-11 above.

xxi) Keep the hardcopy folder for Division files.

h) Assisting Division/AO:

i) Provide G-8 Gatekeeper and Lead AO name for Assist Division(s).

ii) Contact lead AO to acknowledge receipt within 24 hours. Notify Gatekeeper within 24 hours if contesting assignment of the tasker.

iii) Use the CJCS 3170 series, the JCIDS Manual, the DoD 5000 series and this SOP as the basis for your review.

iv) Submit completed CRM to Lead AO or place in SIPRnet J-drive folder prior to your suspense; notify Gatekeeper and Lead AO when review is complete. For PA&E Assists, e-mail completed CRM or a statement of "concur, without comment" to the tasker lead and G-8 Gatekeeper.

v) Within two weeks after the review suspense, follow-up with the document's sponsor on the status of adjudication of your critical comments. Monitor until comment has been appropriately resolved and report final resolution to the Lead AO and Gatekeeper.

vi) Be prepared to participate in Lead Division Chief's decision briefing to the DJI for any reviews recommending non-concur.

i) **G-8 Editor:** Review Form 5 and Affordability Worksheet for correctness for GO/SES reviews. Work with Lead AO to resolve editing issues. Maintain 24-48 hour turn-around schedule for editing documents.

6. Focal Point for Document Review, by G-8 Division:

a) **FDJ:** Focus on overall format, clarity and Joint issues/concerns and provide an Action Officer to serve as an Assist for every JCIDS document reviewed by G-8. Document checklists are listed in paragraph 4 below. FDJ Action Officers review documents to:

i) Ensure a capability gap(s) and supporting solution(s) are clearly identified.

ii) Ensure the document is formatted IAW CJCS 3170 series.

iii) Ensure the required content is addressed IAW CJCS 3170 series.

iv) Focus on Joint integration and key issues for senior leadership, including possible joint redundancies.

v) Keep DJI apprised of document review.

vi) Ensure key check points are address by document type in paragraph 2 below.

- b) **FDP: Focus on Funding:** FDP provides an Action Officer (AO) to serve as an Assist for every JCIDS document reviewed by G-8. The FDP AO reviews cost and funding profiles presented in the documents. For CDDs and CPDs, the FDP AO coordinates with the Lead AO to review the Affordability Analysis Worksheet, validates the funding inputs to the worksheet and examines the JCIDS documents for the following contents in accordance with AR 71-9, the FD Policy Memorandum on Affordability, and this SOP:
- i) Life cycle or total ownership cost estimate expressed as dollar value in base year threshold and objective values.
 - ii) Affordability table with cost and funding over the future years defense plan (FYDP), by appropriation. Funding requirements:
 - iii) Materiel Development Decision (MDD): Materiel Solutions Analysis phase must be fully funded.
 - iv) Milestone A (MS A): Technology Development (TD) phase must be fully funded.
 - v) Milestone B (MS B): Engineering and Manufacturing Development Phase. Program initiation begins at MS B and the program must be fully funded to include RDT&E, procurement, and sustainment.
 - vi) Milestone C (MS C): Production and Deployment phase. Program must be fully funded to include RDT&E, procurement, and sustainment.
 - vii) FDP will non-concur with documents that do not show sufficient program funding.
 - viii) Source, or approved proposed source, of funding.
 - ix) FDP reviews 1- star or higher staffing documents for funding commitments and tracks those commitments to the Army Program Element (APE) level in Force Development Investment Information System (FDIIS).
 - x) FDP reviews CDDs, CPDs and the Affordability Analysis Worksheet and makes comments and additional recommendations with the emphasis on impacts to readiness, potential basis of issue concerns and fielding timelines.
- c) **FDR: Focus on portfolios:**
- i) FDR conducts an assessment across Capability Portfolios and provides recommendations concerning redundancies, prioritization and cost-benefit. FDA can assist with cross portfolio assessments as requested by the Lead AO given enough information is available to run the Capital Planning Model (e.g., Capabilities Needs Analysis (CNA) score, procurements and funding by year, Army Acquisition Objective (AAO)).
 - ii) For programs which G-8 commits to fund during the review, FDR will ensure the program is funded in the POM. In cases where G-8 agrees to accept a bill for documented unfunded requirements, FDR will make sure the bill is brought forward during GO/SES reviews for the EE PEG to fund.

- d) **Center for Army Analysis (CAA) / Army Modeling and Simulation Office (AMSO):** CAA provides an M&S Action Officer to serve as an Assist for every GO/SES level JCIDS document review by G-8. CAA will look for potential Army impacts with respect to modeling and simulation.
- e) **PA&E:** Focus on other PEG funding: PA&E provides an Action Officer to serve as an Assist for every GO/SES level JCIDS document reviewed by G-8. PA&E looks for potential Army and EE PEG equities, and funding responsibilities that may lie outside of the EE PEG. Directors will expect PA&E to provide funding information from the other PEGs. PA&E also reviews documents for duplicative requests and requirements already programmed.
- f) **DOM/DOR/DJI/PAE Lead Action Officer: Focus on funding:** Lead Action Officers, usually the SSO, serve as subject matter experts to the extent they are familiar with the system. The SSO is only responsible for certifying program affordability based on completion of the Affordability Analysis Worksheet, in coordination with FDP. The Lead Action Officer / SSO's affordability review of a document will result in one of the following assessments and recommendations in Table 1.

PROGAM ASSESSMENT	RECOMMENDATION	COMMENT
Fully Funded	Concur	Select this recommendation when the Division Chief has or intends to fully fund the requirement
Partially Funded (95% or Greater)	Concur	Select this recommendation when the G-8-FD Division Chief cannot fully fund the requirement but is recommending that the Director, Force Development support the full funding within EE PEG resources. Requires Division Chief to provide justification on why the Portfolio cannot fully fund and why adjustments to the requirement are not suitable. This may require a formal review during the Program Objective Memorandum (POM) 2-Star Review) and pursuit of descoping the requirement or a slower more incremental funding of the capability
Compete for Funding 60-94%	Conditional Concur	Select this recommendation when the Division Chief is unable to provide funding for any of the requirement, but recommends that the requirement be placed as a bill for consideration during the 1- and 2-Star review EE PEG POM building process. Division Chief also makes recommendations concerning how to make the requirement more affordable.
Un Funded	Conditional Concur	Select this recommendation when the Division Chief is unable to fund any of the requirement, but recommends that the requirement be placed as a bill for consideration during the 1 and 2-Star review EE PEG POM building process. Division Chief also makes recommendations concerning how to make the requirement more affordable. This may generate a recommendation to G-3/5/7 to place the document in a deferred status pending outcome of the upcoming POM process.
Fully Funded	Non-Concur	Select this recommendation when the Division Chief recommends moving the resourcing to other Army priorities.
Revise Requirement	Non-concur	Select this recommendation when the Division Chief is recommending that the requirement be returned. Justification must include why the requirement should not be supported why the benefit does not out-weigh the total life cycle cost of the capability, identify alternate systems that can provide a degraded capability with a cost avoidance/savings or request TRADOC to identify other capabilities to use a bill payer

Table 1: Recommendations Based on Affordability Analysis

Depending on level of expertise, Lead AO / SSO may also comment on:

- Discussion and clarity of capability gaps.
- Potential redundancy with other Army or other Services systems.
- Appropriate match of materiel solution to requirement.
- Accuracy of KPPs.
- Funding profile accuracy and articulation of the funding level.
- Reasonable operational and organization concepts.
- Interoperability requirements that are sufficiently broad and cover more than the Net Ready KPP.
- Reasonable and affordable fielding plans.
- Army equities and general impact of a program or system upon the Army. Will the Army be giving up any roles and missions? What will the Army have to give up in personnel and authorizations?
- Key issues that need to be brought to Leadership's attention as described in the Form 5.

Ideally, the document sponsor will work with the SSO prior to and during development of the document to ensure that the quantities, capabilities, and costs presented in the document are consistent with the level of funding specified by the SSO. This is critical to being able to concur with the document. The Lead SSO may also address the research questions in Appendix 10 as considerations for emerging requirements.

7. Focal Point by Document Type: While the focus of the G-8 review is on funding for Army equities for CDDs and CPDs, Action Officers should check these key areas by document type.

a) **Initial Capability Document (ICD):** The ICD is the Sponsor's primary means of proposing the requirement solution to resolve a specific capability gap, or a set of capability gaps, for a given time frame, and that are identified as the result of a Capability Based Assessment (CBA). The ICD describes capability gaps that exist in joint warfighting functions, as described in the Joint Operations Concepts (JOpsC) or a CONOPS. The validated ICD is used to support Analysis of Alternative (AoA), Material Solution Analysis Acquisition Phase, and Mile Stone (MS) A decision by the Mile Stone Decision Authority (MDA). Comments are required if the below elements are not included in the ICD.

- CONOPS provides a clear and concise summary of the operational outcome.
- Description of the capabilities required as identified in the CBA or other requirements source document.
- Description of the capability gap(s) and desired outcome to include summarized matrix with associated measurable metrics.
- DOTMLPF analysis considers non-material and material solutions.
- Operational Risk (Internal – i.e., Army dependence on its own Service capabilities; External –i.e., Joint Integration and dependence on external (Joint, Intergovernmental, Interagency and Multinational) capabilities)
- Ensure correct Joint Staff Designator is assigned by Joint Staff.
- Resource Availability (dollars, personnel, etc.)
- Technical Feasibility (technical readiness) Performance Schedule.
- Joint Potential Designator (JPD).
- Validation and approval authority.
- No more than ten Pages long (header page and EXSUM not included in the ten page limit).
- Seven sections: CONOPS Summary, JCAs, Capability Requirements, Capability Gaps and Overlap/Redundancies, Threat and Operational Environment, Assessment of Non-Materiel Approaches, and Final Recommendations.

b) **Doctrine, Organization, Training, Leadership, Personnel, and Facilities (DOTMLPF)-P Change Recommendation (DCR):** Joint DCRs provide a means of documenting and validating non- materiel capability solutions (Doctrine, Organization, Training, Leadership, Personnel, and Facilities- DOTMLPF) as an alternative to, or complement of, Materiel capability solutions. Comments are required if the below elements are not included in the DCR.

- A brief discussion that provides the who, what, when, where, and why of the initiative and overall intent.
- Provides analysis and an executive summary that led to the recommendation for a DCR.
- Provides a proposed implementation plan with a list of recommendations in priority order to include a proposed timeline for implementation, ROM cost to include RDT&E, O&M and procurement and recommendation on who funds costs.
- Addresses DoD policy issues that would prevent effective implementation.
- Identifies potential issues (treaties, etc) and proposed solution.
- Provides other options in priority order and possible resourcing requirements.
- No more than 30 pages long.
- 9 Sections: Purpose, Background, Description, Analysis Process, Joint DCR Finding and Proposed Implementation Plan, Constraints, Policy, Issues, and Recommendation Summary.

c) **Capability Development Document (CDD):** The CDD is the Sponsor's primary means of proposing refined capability requirements in the form of Key Performance Parameters (KPPs), Key System Attributes (KSAs), and additional performance attributes associated with a particular solution intended to wholly or partially satisfy validated capability requirements and close or mitigate associated capability gaps. The validated CDD is used to inform the pre-Engineering Manufacturing and Development Acquisition Phase leading up to a MS B decision by the MDA. Comments are required if the below elements are not included in the CDD.

- Correct cost and funding profile.
- Brief capability gap discussion with applicable ICDs and/or applicable Military Utility Assessments (MUAs)
- Provide an overview of the capability gap in terms of relevant range of military operations and the timeframe under consideration.
- A CDD is not submitted for staffing and validation until an AoA or alternative supporting analysis is completed, provided to the studies repository, and reviewed by the validation authority.
- Describe the system capability and how it relates to the capability defined in the ICD, CONOPS, and the DOD Enterprise Architecture, and the solution architecture.
- Provide a description of each attribute and include a supporting rationale for the capability and cite any existing analytic references. Include a threshold and an objective value.
- Clear CONOPs with Operation View One (OV1) that considers the entire Joint community and associated resources.
- Provide a program summary and the strategy for reaching full capability.
- Provide a summary matrix format of KPPs and KSAs with both threshold and objective levels with all mandatory items covered.
- Do the KPPs make sense with considerations for measurability, affordability and feasibility?
- Does the technology readiness statement present a level of confidence that the capability can be developed as described in the KPPs/KSAs.
- Provide a clear definition for Initial Operational Capability (IOC) and Full Operational Capability (FOC) to include any incremental approaches.
- Provide analysis of funding requirements and availability of funding.
- Ensure correct Joint Staff Designator is assigned by Joint Staff.
- No more than 45 pages long.
- 16 Sections: Capability Discussion, Analysis Summary, CONOPS Summary, Threat Summary, Program Summary, Development KPPs, KSAs and Additional Performance Attributes, System of Systems (SoS) Synchronization, Spectrum Requirements, Intelligence Supportability, Weapon Safety Assurance, Technology Readiness Assessment. Assets Necessary to Achieve IOC, IOC and FOC Schedule Definitions, DOTMLPF-P Considerations, Other System Attributes and Program Affordability.

b) **Capability Production Document (CPD):** The CPD is the Sponsor's primary means of proposing the operational performance attributes at a system level necessary for the acquisition community to produce a single increment of a specific system. The most significant difference between a CDD and CPD is the refinement of the threshold and objective values for KPPs, KSAs and additional performance attributes. The validated CPD is used to support the MS C decision by the MDA. Comments are required if the below elements are not included in the CPD.

- A brief discussion of the capability provided.
- Clear CONOPs with OV1 that considers the entire Joint community and associated resources.
- If an AoA was not conducted justification will need to be provided.
- Provide a program summary and the strategy for reaching full capability. A summary in matrix format of KPPs and KSAs with both threshold and objective levels with all mandatory items covered. Do the KPPs make sense with consideration for measurability, affordability, and feasibility?
- Does the technology readiness statement present a level of confidence that the capability can be developed as described in the KPPs/KSAs?
- Provide a clear definition of assets required to achieve IOC and FOC and a final look at all DOTMLPF considerations.
- Provide detailed analysis of program affordability and sponsor commitment to fund this program.
- Ensure correct Joint Staff Designator is assigned by Joint Staff.
- Capability gap discussion with applicable ICDs, CDDs and/or applicable Military Utility Assessment (MUAs).
- Describe the system capability and how it relates to the capability defined in the ICD, CDD, CONOPS, and the DOD Enterprise Architecture, and the solution architecture.
- Provide a description of each attribute and include a supporting rationale for the capability and cite any existing analytic references. Include a threshold and an objective value.
- No more than 40 pages long
- 16 Sections: Capability Discussion, Analysis Summary, CONOPS Summary, Threat Summary, Program Summary, Production KPPs, KSAs and Additional Performance Attributes, SoS Synchronization. Spectrum Requirements. Intelligence Supportability, Weapon Safety Assurance, Technology and Manufacturing Readiness, Assets Required for FOC IOC and FOC Schedule Definitions, Other DOTMLPF-P Considerations, Other System Attributes, and Program Affordability.

- d) **Information Systems (IS) ICD:** Implement the "IT Box model" to provide IS programs greater flexibility to incorporate evolving technologies, and achieve faster responses from requirement validation processes than is typical for other kinds of materiel or non-materiel solutions. CDD and CPDs are not required as successor documents to an IS ICD. Comments are required if the below elements are not included in the IS ICD.
- Identify the flag-level oversight body, the chair of that body, and the organization represented on the body being proposed to receive delegated requirements oversight duties.
 - Define the proposed capability requirements and initial minimum level in terms of measures of effectiveness.
 - Define capability gaps in terms of the difference between the proposed capability requirements and similar existing capabilities, if any.
 - Estimate development and integration costs for the lifetime of the program. Break out costs into annual estimates.
 - No more than 10 pages long.
 - One Section: Capability Gaps and Overlaps or Redundancies.

8. Cost Effectiveness, Affordability, and Funding:

- a) **Cost Effectiveness:** As depicted in figure 1, Cost Effectiveness *is a value determination where the benefit of the capability is greater than the life cycle cost for the Program and mitigates or offsets the risk associated with foregoing other acquisition Programs. In other words, cost ineffectiveness can be viewed as the "knee in the curve" at which point additional capability above an acceptable level becomes significantly more expensive.* Affordability analysis is a key component of G-8's JCIDS document review. This section contains instructions for conducting an affordability analysis of JCIDS documents to provide the means for Force Development to establish an affordability position for submission to the Director when determining the Army G-8 position on JCIDS CDD or CPD documents. Consider alternative and/or existing programs that can meet requirements in a more cost effective manner as well as other DOTMLPF-P solutions. There is an improvement over the existing capability but at a reduced cost over what is proposed in the capability document. The KPPs and KSAs must be evaluated and relooked to determine if the facts and assumptions used during the DOTMLPF-P and capability needs analysis have changed. The intent is not to redo previous DOTMLPF-P work or decisions, rather review that work to determine if those assumptions, facts and decisions made are still applicable. The document review process should be a collaborative process and whenever possible assist and help the capability document through the process.

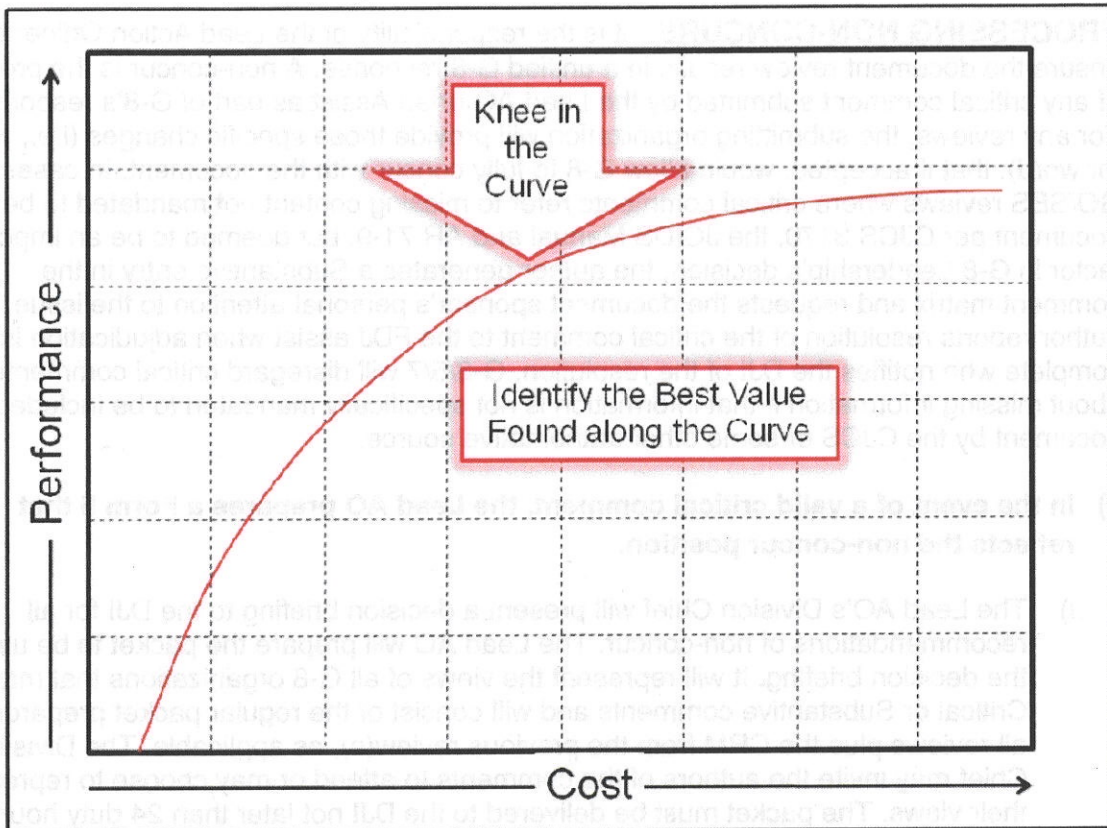


Figure 1: Cost Effectiveness and the Knee in the Curve

- b) **FD Affordability Analysis Worksheet:** The Lead Action Officer completes the FD Affordability Analysis Worksheet (Appendix G) to submit with all Army sponsored JCIDS (CDD/CPD) document review folders to the Director, Force Development during the General Officer and Principal level staffing process. The Lead Action Officer will coordinate with FDR and PAE to inform/advise of any Defense Wide/Joint funding for program to support affordability review. The sustainment assessment portion of the worksheet requires coordination with appropriate PEG representatives for TT, II and SS PEG funding POCs. See appendix G
9. **TIMELINESS:** Meeting the G-3/5/7 suspense is critical for having G-8's position considered as part of the Army's official response to the document. G-3/5/7 considers a missed suspense as an automatic concur. G-8's official response is made only through CAMS and is uploaded by the G-8 Gatekeeper; sending the comment matrix to the RSO does not constitute an official response. The Gatekeeper will track timeliness of completion of document reviews including, but not limited to, number and level of reviews conducted and types of responses returned.

10. PROCESSING NON-CONCURS: It is the responsibility of the Lead Action Officer to ensure the document review results in a unified G-8 response. A non-concur is the product of any critical comment submitted by the Lead AO or an Assist as part of G-8's response. For any reviews, the submitting organization will provide those specific changes (i.e., word for word), that if accepted, would allow G-8 to fully concur with the document. In cases of GO/SES reviews where critical comments refer to missing content not mandated to be in a document per CJCS 3170, the JCIDS Manual and AR 71-9, but deemed to be an important factor in G-8 Leadership's decision, the author generates a Substantive entry in the comment matrix and requests the document sponsor's personal attention to the issue. The author reports resolution of the critical comment to the FDJ assist when adjudication is complete who notifies the DJI of the resolution. G-3/5/7 will disregard critical comments about missing information if that information is not specifically mandated to be included in a document by the CJCS or some other authoritative source.

a) In the event of a valid critical comment, the Lead AO prepares a Form 5 that reflects the non-concur position.

- i) The Lead AO's Division Chief will present a decision briefing to the DJI for all recommendations of non-concur. The Lead AO will prepare the packet to be used in the decision briefing. It will represent the views of all G-8 organizations that made Critical or Substantive comments and will consist of the regular packet prepared for all reviews plus the CRM from the previous review(s), as applicable. The Division Chief may invite the authors of the comments to attend or may choose to represent their views. The packet must be delivered to the DJI not later than 24 duty hours prior to the briefing.
- ii) The G-3/5-CIC RSO assembles all Army comments and submits them to the G-3/5-CIC Gatekeeper who then submits the comments to TRADOC or Joint Staff. The POC for the review adjudicates all comments received and generates a CRM indicating whether the comment is fully accepted (A), partially accepted (P), or rejected (R). The CRM is distributed with the follow-on document review.
- iii) After the Gatekeeper has successfully returned G-8's response to G-3/5/7, the G-8 author of the critical comment(s) follows up on resolution of their non-concurrence by contacting the TRADOC or sponsor POC to determine the status of the adjudication. The POC resolves non-concurs by working directly with the author, but usually only makes contact if there is a need to negotiate the critical comment. The author reports the results of comment adjudication to the Lead AO and the Gatekeeper no later than two weeks after TRADOC completes comment adjudication. The Gatekeeper will provide the DJI and ASPAD (PA&E) with a monthly report of the adjudicated status of all non-concurs. If the document is released at the next level without G-8's critical comment(s) being resolved, G-8 reviewers submit the critical comment(s) again.

Appendix A: Process Flow

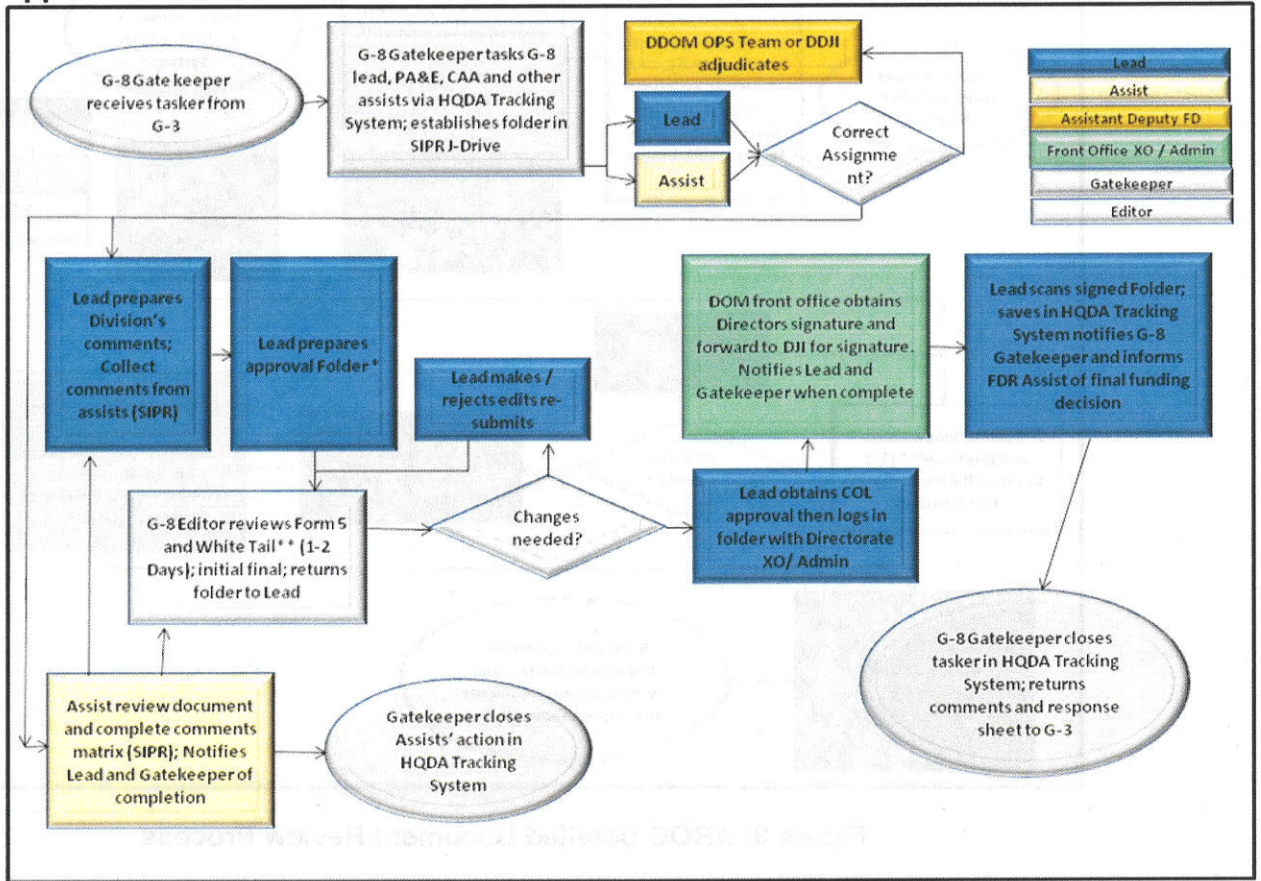


Figure 2: GO/SES Detailed Document Review Process

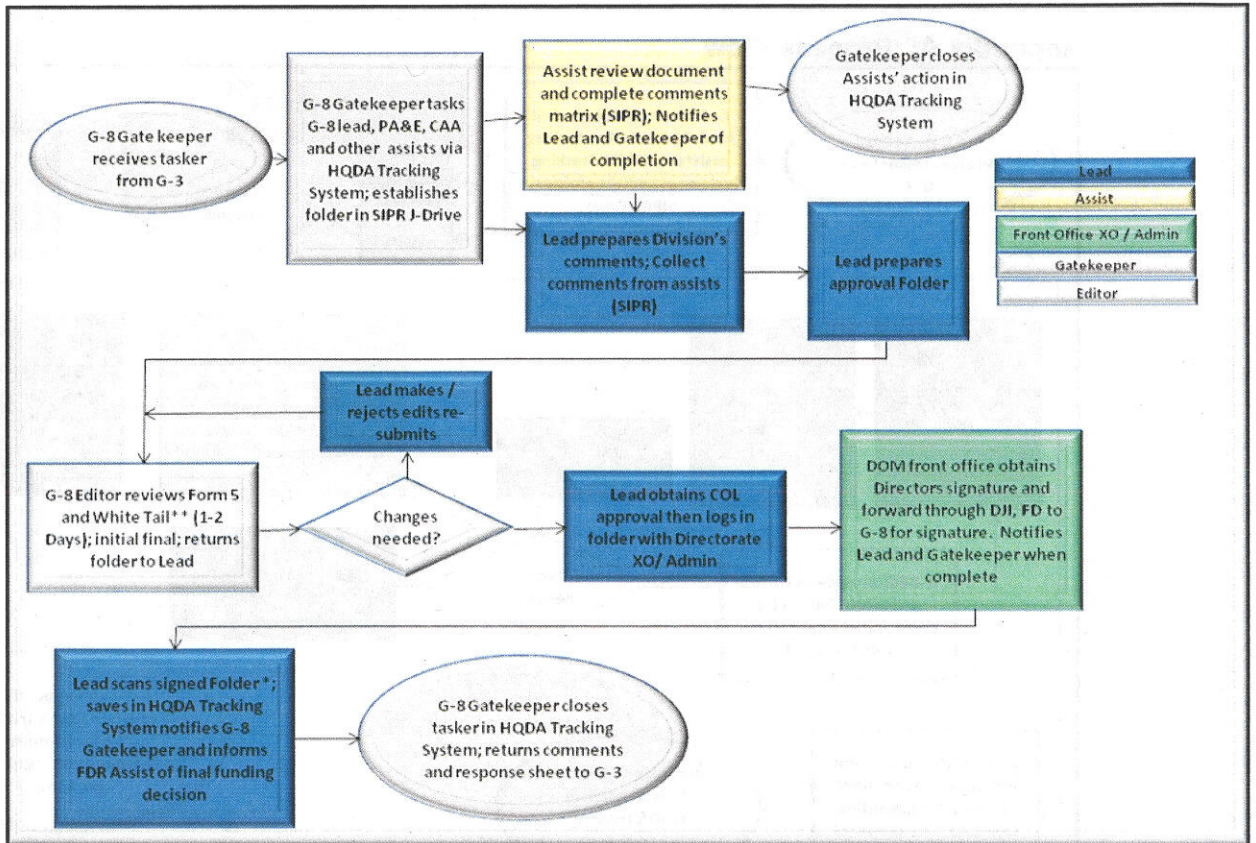


Figure 3: AROC Detailed Document Review Process

Appendix B: Checklist for Lead and Assist Action Officers

GO/SES Level Review Checklist (See Figure 4 for pertinent documents)

- Schedule office call with the DJI for all recommendations of non-concur. Office call to be completed in sufficient time to return signed Form 5 to G-8 Gatekeeper prior to suspense. Be prepared to participate in office call.
- Review document(s) and enter comments into comment matrix.
- Ensure all Assists have provided comments no later than their suspense.
- Prepare **consolidated comment matrix** (See Appendix C) and save in SIPRnet folder. All columns with the exception of the "Comment" column must have an entry. Comments must be in agreement with each other and with G-8's final position on the document.
- Tasker Instruction Prepare **Affordability Analysis Worksheet** (See Appendix G) and save in SIPRnet folder. To be completed for Army sponsored CDDs and CPDs only.
- Prepare **Form 5** in accordance with template (See Appendix D). Include contact information for all Assists from whom comments were received. The Director, Joint and Futures (DJI) is the final approval authority for all G-8 GO/SES One-Star JCIDS document reviews. (Section 8 signatures: Div Chief; Director for Lead division; DJI).
- Prepare folder in accordance with the instructions provided on the tasking document (See Appendix E). For recommendations of non-concur, include the CRM from the GO/SES or previous reviews, as applicable.
- Notify FDP of final approved funding decision.

AROC or Paper AROC/Principal Level Review Checklist

- Utilize the same steps as discussed for the GO/SES review and documents shown in figure 4 are used for the AROC/Principal review.
- The second review is not a second staffing, rather it is the AROC review and approval; it will Highlights critical issues that may result from the first review and will gain their approval as a paper or physical AROC.

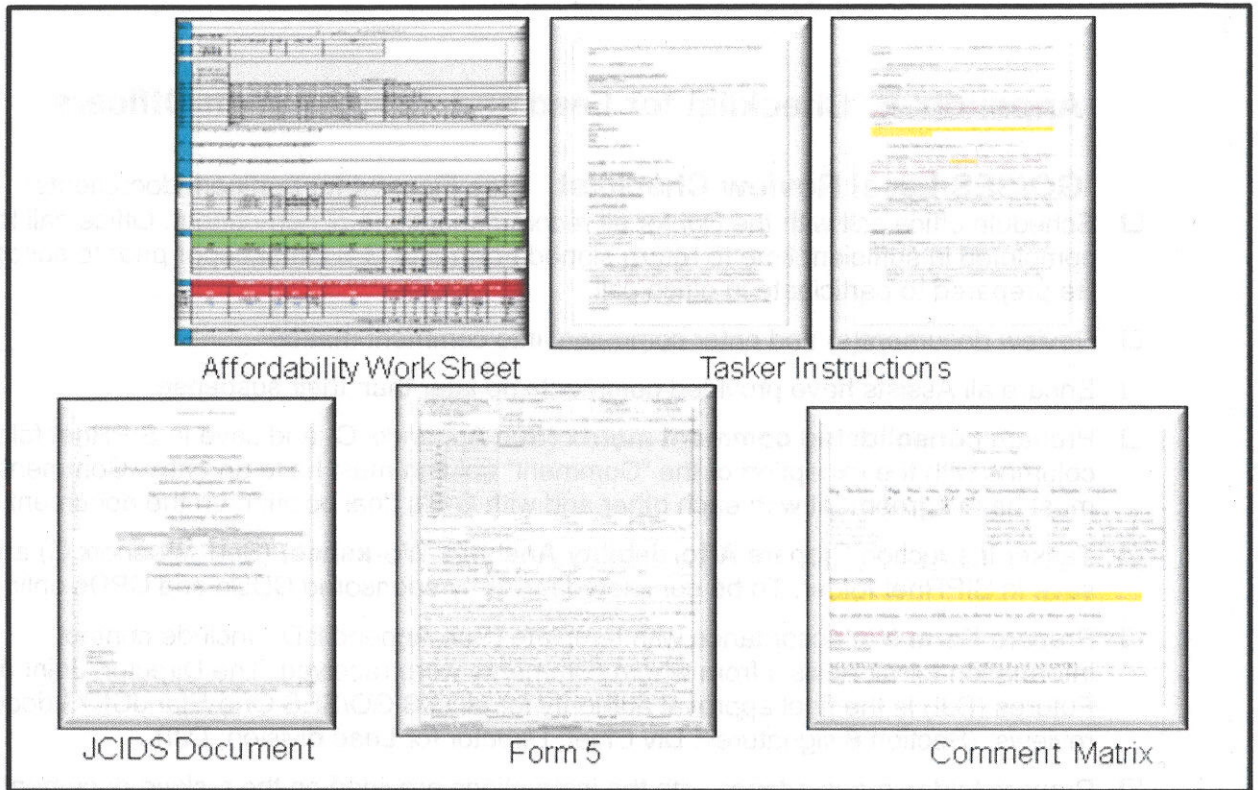


Figure 4: Documents Used for JCIDS Document Reviews

Appendix C: Example Comment Matrix

UNCLASSIFIED

3-Star Level
Coliform Analyzer (CA)
CPD

Org / Reviewer	Page #	Para #	Line #	Class U,C,S	Type A,S,C	Recommendation	Rationale	Comment
HQDA, DAPR-FDY Mr. B. Franklin 703-123-4567 your.mail@concus.army.mil	39	16	162	U	C	Secure full funding and then change paragraph 16 to reflect full funding to make this program affordable. Change the funding table to reflect full funding for this program as required by DoDI 5000.2, Para 7b.	This program is unaffordable because it is not fully funded to the procurement levels outlined in the CPD.	and lines 163-170.
HQDA, DAPR-FDM MAJ F. Wright 703-123-9876 first.last@concus.army.mil	ii	Table of Contents	15	U	A	Correct page number to correspond to actual location of paragraph in document	Type / Accuracy	

INSTRUCTIONS:

REVIEWERS: DO NOT MAKE ANY FORMAT MODIFICATIONS TO THE MATRIX OR USE PAGE BREAKS

Do not add any columns. Column width may be altered but do not add or delete any columns

One Comment per row: Each row represents one comment. DO NOT reference two pages or two paragraphs or two line numbers. A new row in the table should be created for each instance (or you can include the additional pages, lines, paragraphs in the comment column).

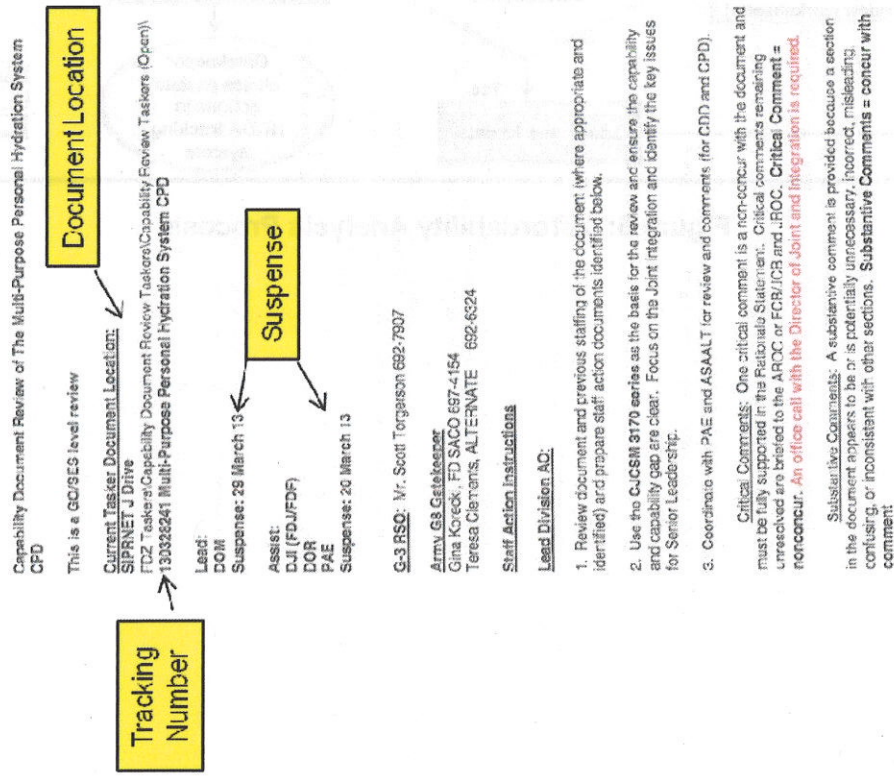
ALL CELLS (except the comment cell) MUST HAVE AN ENTRY, even if its just a short entry, i.e., "Completeness", "Accuracy" in Rationale, "Change to..." in comment. Enter your comment in the Comment column, the recommended change in Recommendation column and rationale for the comment/change in the Rationale column.

LINE NUMBER: Field will only accept a single numeric entry. Use only the starting line number. If the comment is about several lines or several non-contiguous lines, include the additional lines in the comment column, i.e., "and lines 283-304".

Do not delete any portion of the instructions

UNCLASSIFIED

Appendix E: Example Tasker Instructions



confusing, or inconsistent with other sections. **Substantive Comments = concur with comment**

Administrative Comments: An administrative comment corrects what appears to be a typographical, format, or grammatical error. **Administrative Comments = Concur with comment**

5. **Packaging.** Place staff action in a blue pocket folder. The HQDA Form 5 is stapled to the front with appropriate classification markings attached. Use Letter TABS. The documents are arranged as indicated below.

HQDA Form 5 v. Jan 11: **Must be approved by G-8 Editor before obtaining signatures.** Stapled to front of the Blue pocket folder unless the staff action is classified SECRET. If SECRET, place Classification cover on front and HQDA Form 5 next underneath.

If concurring with the reviewed document, clearly state reason for non-concur in the Discussion section of page 1.

Three-Star Response Sheet (Encl. 1): Front right pocket, TAB A

Comments: Front left pocket: Use matrix provided in document folder (SIPRNET J drive) as TAB B. **Please also save consolidated comment matrix in SIPRNET document folder. In order to close tasker out with G-3, Gatekeeper must upload matrix into CAMS on SIPRNET.**

Affordability Analysis Worksheet: TAB C. For CDDs and CPDs. Lead completes worksheet with assess divisions input.

Reviewed Document: The reviewed document is TAB D. Plastic tabs for parts of the document (capability, capacity gap, KFFs, affordability, etc.) are appropriate. Make them different than the primary tabs.

ASSIST DIVISIONS

Use the CUCSM 3170 entries as the basis for the review and ensure the capability and capability gap are clear. [Headquarters Agencies CUCSPROPTODA AFDOZ JED](#)
[Front Office/FCBI/CS/ICIS Manual - 31 JAN 2009 ICF](#)

- 1.
2. Assist AO is responsible for providing comments (if any) by saving matrix to the SIPRNET document folder and communicating having done so to the Lead Division AO and the Gatekeeper.

Appendix F: Affordability Analysis Process

Figure 5 depicts the process for preparation of the affordability analysis worksheet within the JCIDS document review process.

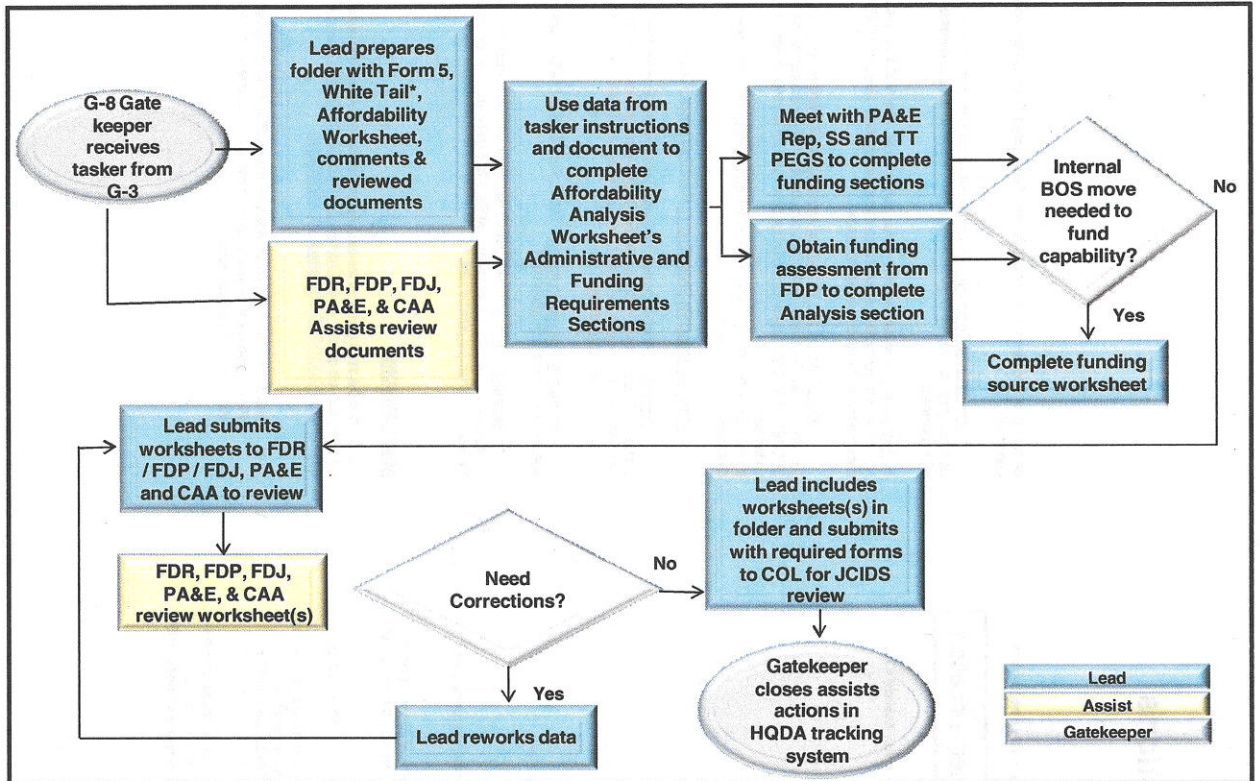


Figure 5: Affordability Analysis Process

Appendix G: Affordability Analysis Worksheet

Section													
DAPR-FD Army G-8 Affordability Assessment													
1	Document Name:												
2	Prepared by	First & Last Name	Grade	Duty Title	Date								
3	Approved by												
4	Division Chief Recommendation ("X" Selection)	Recommendation											
4a		<i>Concur</i> with this document; cited requirements are <i>fully funded</i> .			Retain funding.								
4b		<i>Concur</i> with this document; cited requirements are <i>partially funded</i> .			Compete for funding.								
4c		<i>Concur</i> with this document; cited requirements are <i>totally unfunded</i> .			Compete for funding.								
4d		<i>Non-concur</i> with this document; cited requirements are <i>fully funded</i> .			Revise requirement; retain current funding.								
4e		<i>Non-concur</i> with this document; cited requirements are <i>fully funded</i> .			Rescind requirement; move current funding to higher priority.								
4f		<i>Non-concur</i> with this document; cited requirements are <i>partially funded</i> .			Revise requirement prior to competing for funding								
4g		<i>Non-concur</i> with this document; cited requirements are <i>partially funded</i> .			Rescind requirement, move current funding to higher priority.								
4h		<i>Other</i>											
General explanation of Recommendation selected in Section #4:													
4i													
Comments regarding BOIP affordability and potential trades:													
4j													
Comments regarding KPP affordability and potential trades:													
4k													
5	EE PEG Funding Requirements Cited In This Document												
	BOS	ROOT	MDEP	APE	APPN	CMD	FY	FY	FY	FY	FY	TOTAL	
	xxx	xxxxxxxxxxx	xxxx	#####	RDTE	xxx	20,000	25,000	40,000	15,000	5,000	105,000	
	xxx	xxxxxxxxxxx	xxxx	#####	WTCV	xxx	0	0	0	10,000	15,000	25,000	
							0	0	0	0	0	0	
							0	0	0	0	0	0	
							0	0	0	0	0	0	
							Funding Total	20,000	25,000	40,000	25,000	20,000	130,000
6	EE PEG Funding Requirements Aligned To The Requirements Cited In This Document												
	BOS	ROOT	MDEP	APE	APPN	CMD	FY	FY	FY	FY	FY	TOTAL	
	xxx	xxxxxxxxxxx	xxxx	#####	RDTE	xxx	10,000	20,000	0	0	0	30,000	
							0	0	0	0	0	0	
							0	0	0	0	0	0	
							0	0	0	0	0	0	
							0	0	0	0	0	0	
							Funding Total	10,000	20,000	0	0	0	30,000
7	Potential EE PEG Bill-Payers To Fully Fund The Requirements Cited In This Document (or funding excess to requirement)												
POM	BOS	ROOT	MDEP	APE	APPN	CMD	FY	FY	FY	FY	FY	TOTAL	
15-19	xxx	xxxxxxxxxxx	xxxx	#####	RDTE	xxx	10,000	5,000	40,000	15,000	5,000	75,000	
15-19	TBD	TBD	TBD	TBD	WTCV	TBD	0	0	0	10,000	15,000	25,000	
							0	0	0	0	0	0	
							0	0	0	0	0	0	
							Funding Total	10,000	5,000	40,000	25,000	20,000	100,000
7a	Explanation of potential EE PEG Bill-Payers OR disposition of current funding if Recommendation is "4e" or "4g" above.												

Appendix H: Sample AROC Response Sheet



DEPARTMENT OF THE ARMY
OFFICE OF THE ASSISTANT SECRETARY
FOR ARMY REQUISITION
WASHINGTON DC 20315-6000

5, 8 February 2013

DAARO-CI

JAN 24 2013

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Final Army Requirements Oversight Council (AROC) Principal Review of the Major Advanced Capability-3 (MAC-3) Capability Development Document (CDD)

1. The AROC will not meet to review this document. Your review and signature indicates your concurrence or nonconcurrence on this action. The previous staffing member's General Officer or equivalent signature on the response. This review requires the signature of the principle AROC member or advisor to establish the final AROC position on approval to exercise the capability proposal, to include application of required resources. TRADOC has addressed all concerns with the proposed capability document. This final AROC Principal review is to ensure TRADOC has addressed your comments. This is NOT a second staffing of the capability document. The only new comments acceptable are those that are the result of the adjudication review process or an unforeseen critical issue.

2. The CDD was previously staffed with your organization for comments or concurrence through the Capabilities and AROC Management System (CAMS) system. The revised version of the proposed capabilities document and the GO SES approved comments submitted by your staff are currently available for your review and validation on CAMS.

3. Request you review this document to ensure comments are captured, provide concurrence or nonconcurrence, and sign the response sheet located in CAMS. Response for this action is 1200, 8 February 2013. Please upload and return the signed response sheets through CAMS to the RSO, LTC Matthew Lipscomb.

4. An extension of the above suspense date can only be granted by the Division Chief or Deputy Division Chief of Current and Future Warfighting Capabilities Division, DAAROC-CI.

5. This WODAS DCS, G-3/57 POC for this action is LTC Rachana Liscenko at: 616-992-6212.

FRANK S. BECHTEL
Director, Capabilities Integration,
Production and Analysis Directorate

Response Sheet for the
Period Advanced Capability-3 (MAC-3)
Capability Development Document (CDD)

1. COL Robert B. Williams, Deputy Chief of Staff, G-3 Date

2. LTJG Mary A. Lapine, Deputy Chief of Staff, G-2 Date

3. COL John F. Caronoff, Deputy Chief of Staff, G-3/57 Date

4. LTJG Paul David V. Moore, Deputy Chief of Staff, G-2 Date

5. LTJG Susan B. Lawrence, Chief Information Officer, G-6 Date

6. LTJG James O. Probst, Deputy Chief of Staff, G-3 Date

7. LTJG William M. Phillips, Program Manager, Deputy
to the Assistant Secretary of the Army (Acquisition,
Logistics and Technology) Date

8. LTJG Stephen G. Sims, Deputy Assistant Secretary of
the Army, Chief of the Expedition Date

9. MSgt Douglas L. O'Connell, Commodity Specialist,
US Army Training and Equipments Directorate Date

Appendix I: Defense Acquisition Executive Milestone Conditions for Cost and Funding:

Milestone Conditions are to be used as guidelines for determining compliance of cost and funding information presented in JCIDS documents:

1. Materiel Development Decision: Funding for the MDD is normally limited to satisfy the Materiel Solution Analysis Phase. (DoD 5000.2, page 15).

- a) Requires an approved ICD (DoD 5000.2, page 14).
- b) Provides AoA guidance (DoD 5000.2, page 15).
- c) May authorize program entry at (pre or post) MS A, MS B, or MS C provided that statutory and regulatory requirements have been met. (DoD 5000.2, page 12).

2. Milestone A ICD Conditions: Funding for milestone A shall normally be limited to satisfy the Technology Development Phase objectives.

- a) Will contain an affordability target (14 Sep 10 Policy OUSD-ATL).
- b) Estimated production rates are required (14 SEP 10 OUSD-ATL Policy).
- c) Presentation of a competitive strategy for each program at each milestone.
- d) All MDAPs require a component-level cost position for all milestones (DoDI 5000.02).
- e) 2366a milestone A certification complete (USC 2366a & b) for ACAT I programs.

3. Milestone B CDD Conditions: Full funding is required for milestone B.

- a) In no cases shall milestone B be approved without full funding (Reference DoDI 5000.02).
- b) Presentation of systems engineering tradeoff analysis that shows how cost varies as the major design parameters and time to complete are varied.
- c) Estimated production rates are required (14 SEP 10 OUSD-ATL Policy).
- d) Presentation of a competitive strategy for each program at each milestone
- e) All MDAPs require a component-level cost position for all milestones (DoDI 5000.02).

- f) Affordability assessments are required as entrance criteria to milestone B (see Table T 3, DoD Instruction 5000.02).

4. Milestone C CPD Conditions: Full funding is required for milestone C

- a) Established range of approved production rates (14 SEP 10 OUSD-AT&L Policy).
- b) Presentation of a competitive strategy for each program at each milestone.
- c) All MDAPs require a component-level cost position for all milestones (DoDI 5000.02).
- d) Fund to the threshold level (DoDI 5000.02).
- e) Affordability assessments are required as entrance criteria to milestone C (see Table T3, DoD Instruction 5000.02).

Appendix J: Research Questions for Consideration

1. Purpose. The following provides questions and issues to consider when an emerging requirement is under development and/or to provide a recommendation on an emerging materiel requirement during formal staffing.

2. Research questions on Documentation and Priority.

- Is there an existing Operational Needs Statement for the capability and if so has it been filled and how was it filled?
- Is there a Capabilities Development Document or Capability Production Document and where is it in the development and approval process?
- Who are the advocates for the capability (TRADOC, Army G3/5/7, specific HQDA Staff, Army National Guard, U.S. Army Reserves, COCOMs, Senior Army Leaders, Congress, and OSD)?
- Where does the capability stand (priority) in the Capability Portfolio Review, previous Program Objective Memorandum development, and Army G3/5/7 priorities?
- Where does the capability stand in the overall Capabilities Needs analysis (CNA)?
- What is the timeline for staffing the document, milestones, and funding to meet milestones?
- Is this capability a modification of current equipment or a new capability? Does it replace an existing capability?

3. Research questions on Sustainment and Interoperability.

- What are the organizational changes required to incorporate this capability and does it have any second and third order equipping impacts?
- What are the necessary sustainment tails associated with this capability to support TRADOC, logistics and maintenance?
- What are the compatibility issues with existing equipment? Will other programs have additional requirements?
- Will existing equipment require modification to employ the new capability?

4. Research Questions on Funding.

- Is there RDTE funding already established as “seed” funding prior to the approval of the requirement? If so, did it follow the decision tree diagram below?
- Is this capability currently a non-program of record funded by OCO or Base to meet an existing Operational Needs Statement?
- Are there procurement funds already in place for this capability or modification? If so identify the specific Force Development Investment Information System (FDIIS) Root, APE, Appropriations and Fiscal Years.

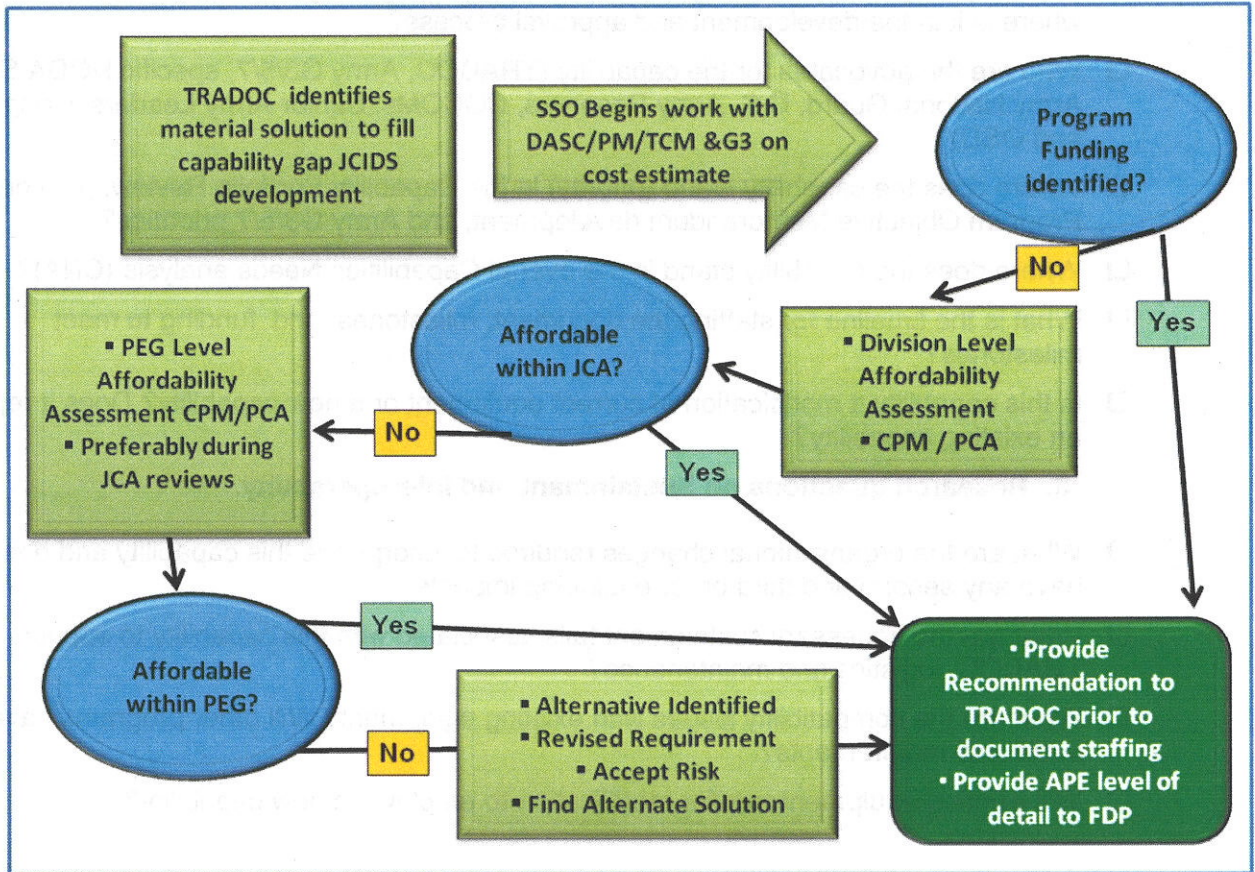


Figure 6: Decision Tree for Funding Assessment

5. Research Questions on Readiness and War-fighter Capabilities.

- What is the capability gap being filled?
- How does the requirement/capability enhance readiness or warfighting capability?
- If the capability is replacing existing equipment or modifying existing equipment what is the incremental improvement to warfighting?

- Does this capability fill an existing MTOE shortage?

6. Research Questions on Affordability. Affordability is defined as a determination that the Life Cycle Cost (LCC) of an acquisition program is in consonance with the long-range investment and force structure plans of the DoD or individual DoD components. Conducting a program at a cost constrained by the maximum resources the DoD or DoD component can allocate to that capability.

- Is the capability fully funded, partially funded or not funded?
- Based on the priorities where does the new capability or modification to existing capability stack against other BOS funded programs?
- Based on the CDD/CPD funding profile and the priorities can the BOS fully fund the program on the CDD/CPD timeline?
- If not funded or only partially funded where should the unfunded requirement be placed on the EE PEG prioritization for funding (Bill list)?
- If not fully funded what funding profile is supportable?
- Are there incremental options that make the program more affordable and if so what is the remaining unfunded requirement after the adjustment?
- What is the anticipated Basis of Issue and can this be reduced with acceptable results?
- Can the procurement quantity per year be reduced and stretched out to make it more affordable?
- Are there other programs with funding that do not have an existing approved capabilities document that can be shifted to fund this capability?

7. Research Questions on Cost Effectiveness. Cost Effectiveness is a value determination where the benefit of the capability is greater than the life cycle cost for the Program and mitigates or offsets the risk associated with foregoing other acquisition Programs. In other words, cost ineffectiveness can be viewed as the “knee in the curve” at which point additional capability above an acceptable level becomes significantly more expensive.

- Does the technology readiness statement present a level of confidence that the capability can be developed as described in the KPPs/KSAs.
- Are the results of the Capability Based Assessment (CBA) findings at MDD that resulted in a materiel solution still valid, or are there new options for fulfilling the capability need?
- Based on a review of available costing data (Cost-Benefit Analysis, PM/PEO estimates, AoA data, DASA-CE estimates, OSD CAPE estimates, others), are there tradeoffs across KPPs, KSAs, and Key System Attributes that may reduce the cost? Do the KPPs make sense with considerations for measurability, affordability and feasibility?
- Do the KPPs and KSAs consider clear differences between threshold and objective levels or incremental options that make the program more affordable?

