

LESSON 3 NATIONAL STRATEGIC PLANNING

“In national wars, the value of cooperation is enormously enhanced, fusing, as it does, the body and soul of a nation into one intricate self-supporting organism. All must pull together, for such wars are the wars of entire nations; and, whatever may be the size of the armies operating, these should be looked upon as national weapons, and not as fractions of nations whose duty is to fight while the civil population turns thumbs up or thumbs down. Gladiatorial wars are dead and gone.”

— Major General J. F. C. Fuller
The Reformation of War, 1923

Lesson Introduction

This lesson introduces several terms and processes involved in national strategic planning. Specifically, we will look at the following:

- The Joint Strategic Planning System (JSPS) is a flexible and interactive system intended to provide supporting military advice for the planning, programming, and budgeting system and strategic guidance for the Joint Operation Planning and Execution System (JOPES). The DoD Dictionary defines JSPS as follows:

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 the statutory responsibilities to assist the President and [the] Secretary of Defense in providing strategic direction to the Armed Forces; prepares strategic plans; prepares and reviews contingency plans; advises the President and Secretary of Defense on requirements, programs, and budgets; and provides net assessment on the capabilities of the Armed Forces of the United States and its allies as compared with those of their potential adversaries.

- The Joint Planning and Execution Community (JPEC) is defined as those headquarters, commands, and agencies involved in the training, preparation, movement, reception, employment, support, and sustainment of military forces assigned or committed to a theater of operations or objective area. The JPEC usually consists of the Joint Staff, Services, Service major commands (including the Service wholesale logistic commands), unified commands (and their certain Service component commands), subunified commands, transportation component commands, Joint task forces (as applicable), the Defense Logistics Agency, and other Defense agencies (e.g., the Defense Intelligence Agency) as may be appropriate to a given scenario.

- The Unified Action Armed Forces (UNAAF) and the Unified Command Plan (UCP) are two critical documents you will examine during this lesson. Contained in these documents is the detailed planning and operational authority provided the combatant commanders. The UNAAF sets forth the principles and doctrine governing the activities of the armed forces when services of two or more military departments are operating together. The UCP, established for the combatant commands, is approved by the President and published by the Chairman, Joint Chiefs of Staff (CJCS). Moreover, the UCP identifies geographic areas of responsibility, assigns primary tasks, and establishes command relationships.
- The Joint Requirements Oversight Council (JROC) and the Joint Capabilities Integration and Development System (JCIDS) process are two extremely important outcomes of the Goldwater-Nichols Act (GNA) and recent Defense Department reforms. Today, the JROC and JCIDS provide significant decisionmaking mechanisms for the CJCS to support both, strategic planning and the interaction with the Planning, Programming, and Budgeting System (PPBS). The JROC replaced the Joint Readiness and Management Board in June 1986, four months prior to the enactment of the GNA. This act mandated, among other things, a Joint approach to warfighting by requiring the CJCS to prioritize (for the Secretary of Defense) defense requirements, to assess capabilities, and to present alternative acquisition and budget proposals. The JROC's function was symbolic at first; it provided informal advice to the Chairman. The designation of the Vice Chairman as JROC chairman in 1987 bolstered the power of the Vice Chairman, but it was not until 1994 that the CJCS, General John Shalikashvili, began to rely more heavily on the JROC to help him better assess each military department's program recommendations. The JCIDS process, by which the CJCS determines capability gaps and requirements and conducts assessments of military needs, ensures maximum use of the Services and Defense agencies' capabilities and resources, with an eye towards reducing unnecessary redundancy. Analyses, refinements, and assessments are conducted by boards and teams of warfighting and functional area experts from the Joint Staff, combatant commands, Services, Office of the Secretary of Defense, Defense agencies, and others, as required. The JROC and the JCIDS process are inextricably linked.

It is essential that Marines either currently assigned or going to a Service or component headquarters or senior-level Joint assignment gain a basic understanding of how the various Marine Corps programs and requirements fit into the processes described in this lesson. As you progress through the 8800 CSCDEP, you will continually refer to these terms and processes and, particularly during the Operational Level of War and Joint, Multinational, and Interagency Operations courses.

Student Requirements by Educational Objective

Requirement 1

Objective 1. Describe how the JSPS works, its purpose, and the kinds of inputs the process uses and various outputs that the process produces. At a minimum, relate how the National Security Strategy (NSS), Joint Strategic Review (JSR), National Military Strategy (NMS), Joint Vision (JV), Contingency Planning Guidance (CPG), and the Joint Strategic Capabilities Plan (JSCP) are involved in the process. [JPME Areas 1(a)(b)(c)(e), 2(a)(b), 3(e), 4(a)(c)]

Objective 2. Explain how the JSPS affects Joint operational planning. [JPME Areas 1(a)(b), 2(a)(b), 3(e), 4(a)(c)]

Read:

- *Joint Strategic Planning System*, CJCSI 3100.01A, 1 September 1999, pp A-1 to A-3 and B-1 to B-2 (5 pages)
- *Joint Staff Officers Guide*, JFSC Pub 1 2000, pp 2-7 (start at para. 203) to 2-22 (16 pages)
- *Joint Publication 5-0, Doctrine for Planning Joint Operations*, 13 April 1995, chapter 2, pp II-4 to II-7 (stop at para 6. Introduction) (4 pages)

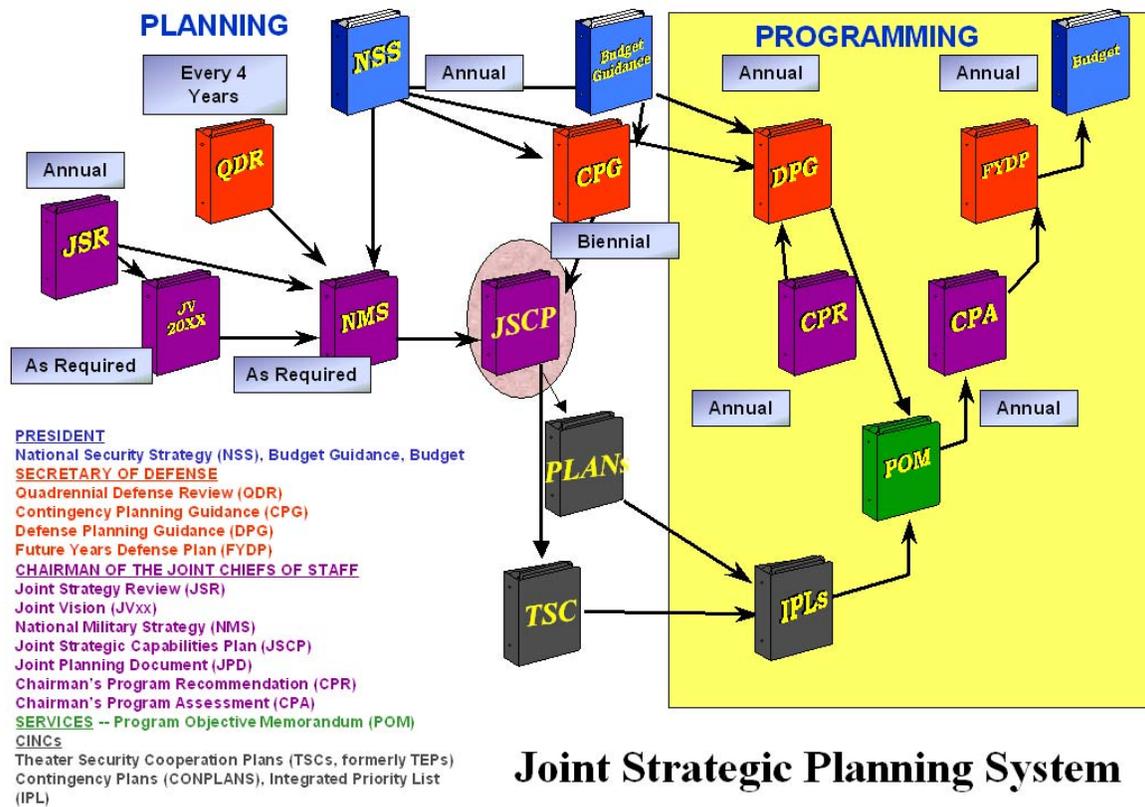
The JSPS is a complicated process that has been evolving and changing since the Goldwater-Nichols Act took effect in 1986; in fact, the JSPS continues to evolve. The JSPS is the formal means by which the CJCS, in consultation with the Service Chiefs and combatant commanders, meet statutory requirements in order to prepare a military strategy to support national objectives; to advise the President and the Secretary of Defense on requirements, program recommendations, and budget proposals; prepare strategic plans; and perform net assessments. As you examine the supporting diagrams, it is important to note that the JSPS process results in the following products: The JV 20XX, the NMS, the Joint Planning Document (JPD), the JSCP, and the Chairman's Program Assessment (CPA). The process begins with the JSR, which assesses the strategic environment. The NMS and JV come from this review and will shape the strategic thinking of those involved with the process. Not all JSPS documents are produced annually, as shown in the following graphic. Additionally, depending upon the Secretary of Defense, the JPD may or may not be produced. Remember that the JPD is based on the NMS/JV and is the Chairman's planning and broad programming recommendations and advice to the Secretary of Defense.

The JSPS is designed to accomplish the following:

- Prepare strategic plans and perform net assessments
- Evaluate threats to national interests
- Prepare a military strategy that supports national objectives

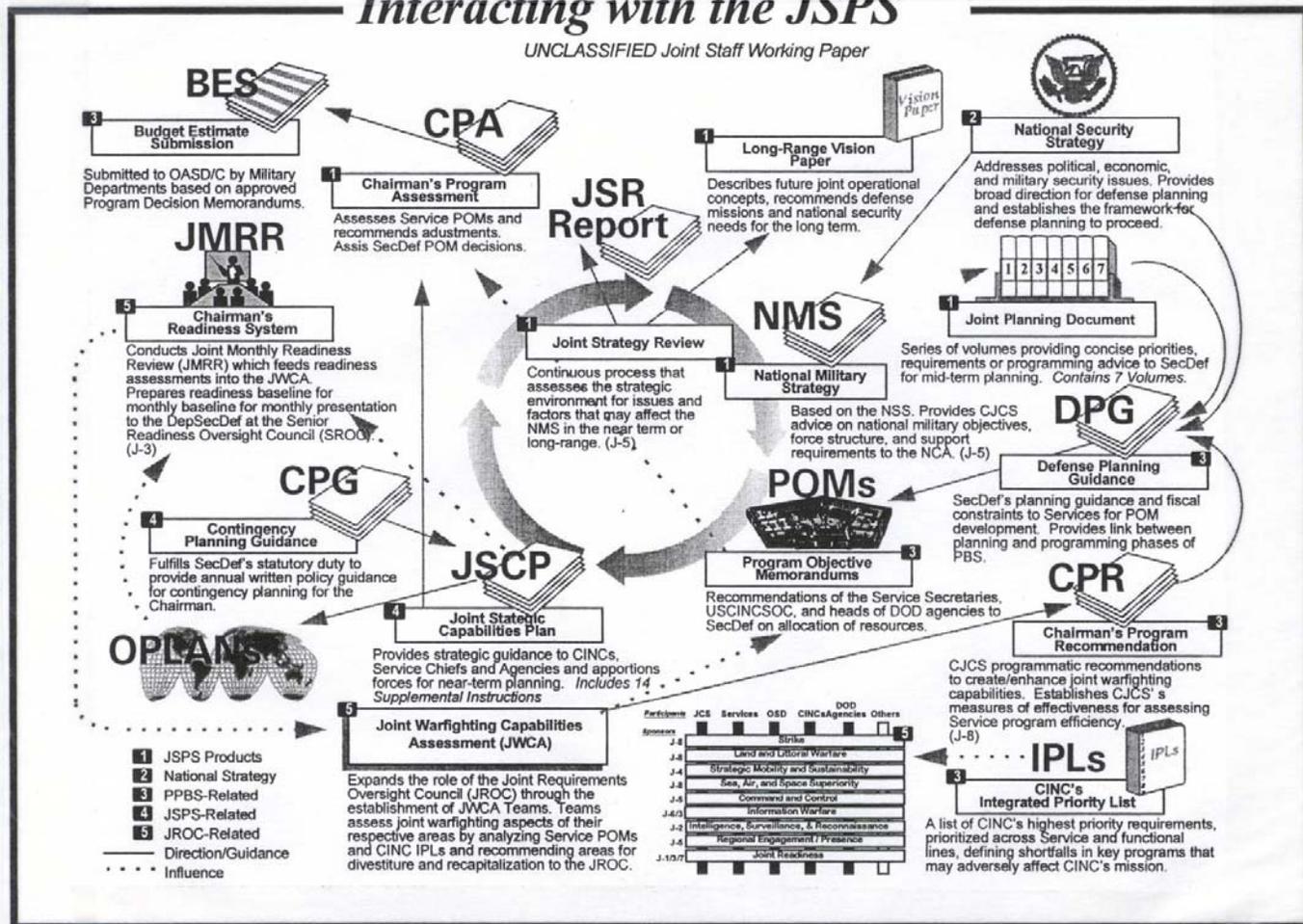
- Propose military strategy programs
- Propose those forces necessary to ensure that national security objectives are met
- Assess current budgets and existing programs

The Planning, Programming, and Budgeting System (PPBS) produces a plan, a program, and a budget for the DoD with the objective of furnishing the combatant commanders with the best mix of forces, equipment, and resources available within fiscal constraints. Key elements of the PPBS are the Defense Planning Guidance (DPG) and Program Objective Memorandum (POM). The intent of both systems is to provide the President and the nation with the best resource mix to protect national interests and promote national objectives.



Interacting with the JSPS

UNCLASSIFIED Joint Staff Working Paper



Requirement 2

Objective 3. Describe who comprises the Joint Planning and Execution Community (JPEC) and be able to explain what role it fulfills within the national military structure. [JPME Areas 1(c), 2(a)(b), 3(e), 4(a)]

Read:

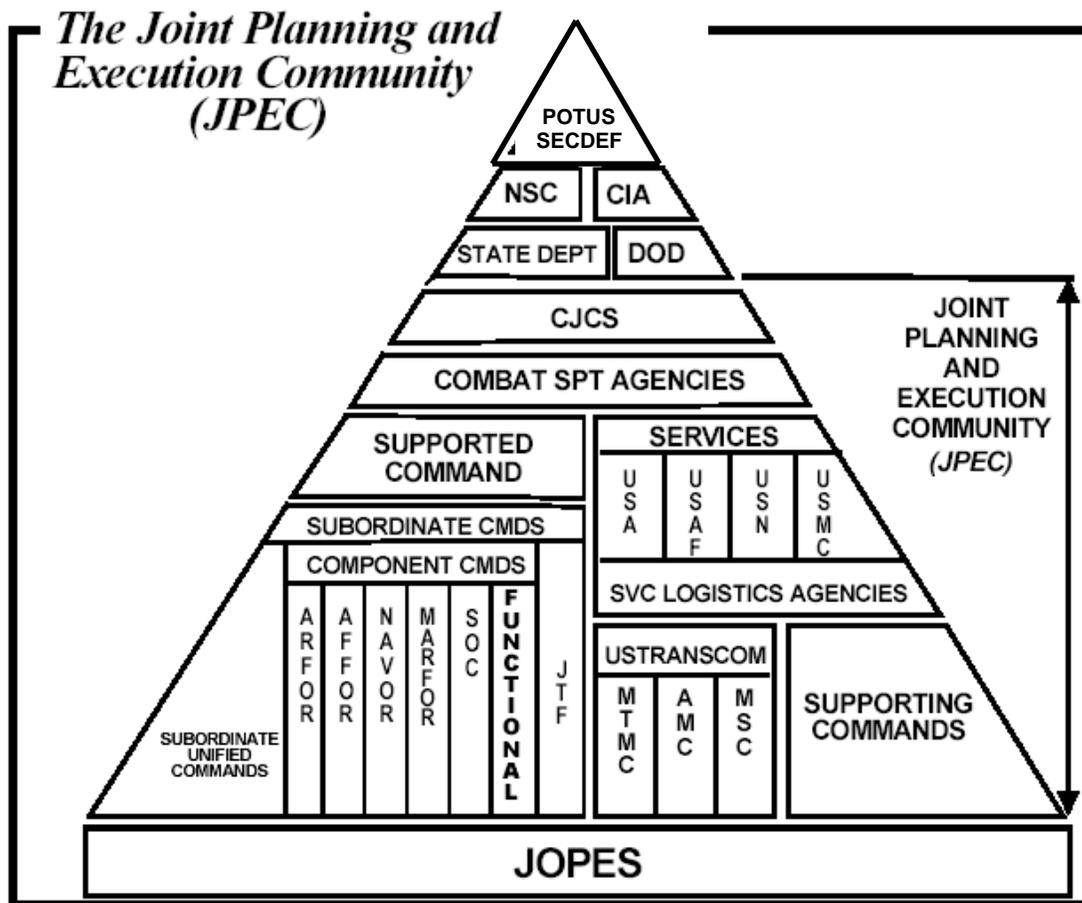
- Joint Pub 5-0, *Doctrine for Planning Joint Operations*, 13 April 1995, pp. I-4 to I-9 (stop at para 12. Types of Planning Processes) (5 pages)

Introduction to the Joint Planning and Execution Community (JPEC)

Peacetime or deliberate planning is the process used when time permits the total participation of the JPEC. Development of the plan, coordination among supporting commanders, agencies, and Services, reviews by the Joint Staff, and conferences of JPEC members can take many months, possibly the entire duration of the planning cycle. You will be provided more information on the JPEC when presented with the lesson on the

Joint Operation Planning and Execution System (JOPES) found in the Joint, Multinational, and Interagency Operations (8806A) course.

The process of planning a Joint operation produces an operations plan outlining military action. The process begins with a national strategy stated by the President, is supported with the funding of resources by Congress, and is defined by the task assignments published by the CJCS. Participants in the planning process include the President and the Secretary of Defense, their advisors, supporting executive-level agencies, and a group collectively called the JPEC. Joint Pub 1-02 defines members of the JPEC as the headquarters, commands, and agencies involved in the training, preparation, movement, reception, employment, support, and sustainment of military forces assigned or committed to a theater of operations or objective area. The chart below shows the members and agencies that make up the JPEC.



Requirement 3

Objective 4. Differentiate between *unity of effort* and *unified action*. [JPME Areas 1(a)(b), 2(a)(b)]

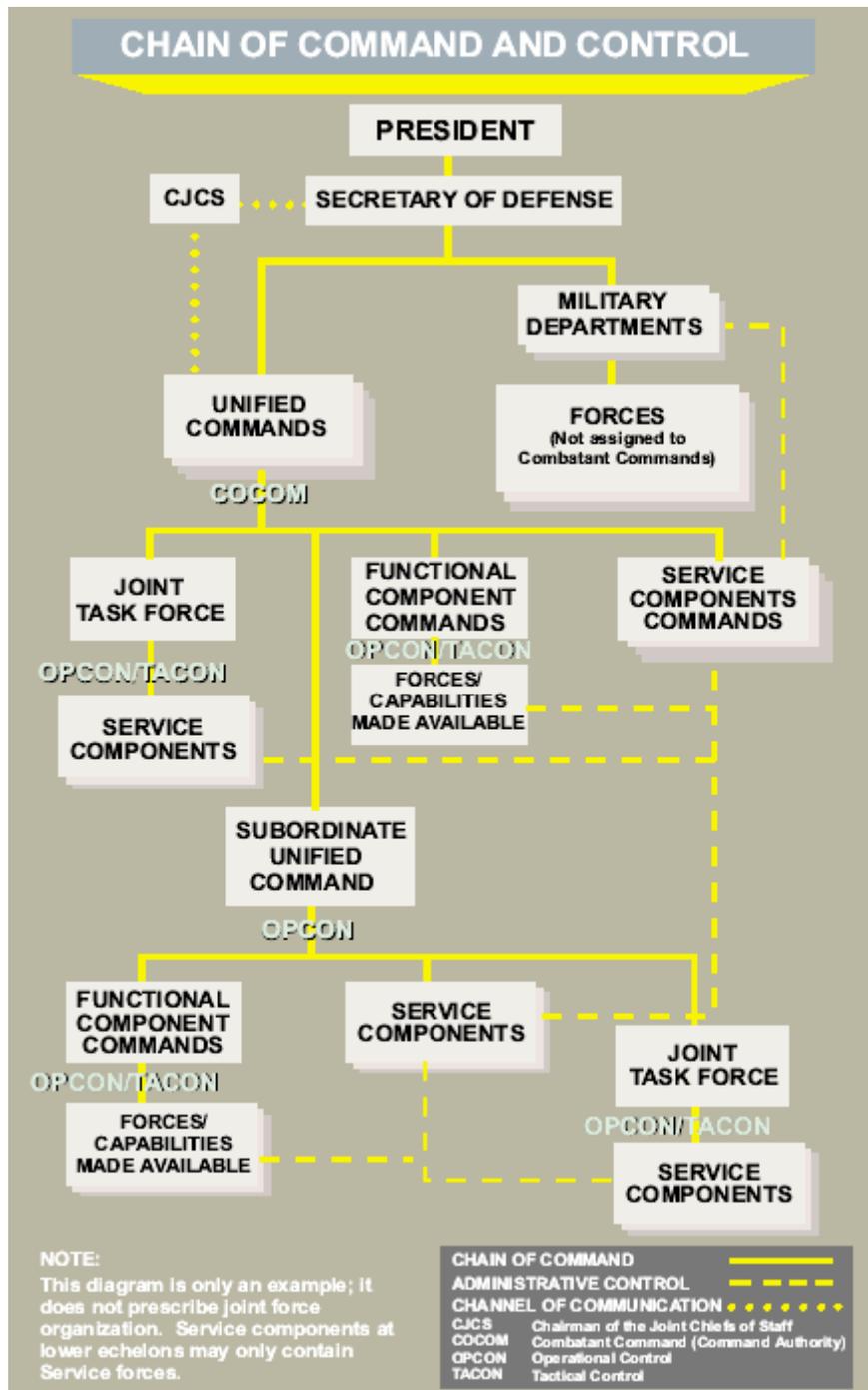
Objective 5. Explain the relationships between the implementers of both, the National Military Strategy and JV (the President and the Secretary of Defense, the Department of Defense, the Chairman, Joint Chiefs of Staff, Service Chiefs, Joint Staff, and Combatant Commanders) as outlined by the *Unified Action Armed Forces* Joint publication. [JPME Areas 1(a)(b)(c)(e), 2(a)(b), 3(e), 4(a)]

Objective 6. Discuss the role and function of the UCP in national strategic planning. [JPME Areas 1(c), 2(a)(b), 3(a)(e) 4(c)]

View:

- Air Command and Staff College lecture, “UNAAF/UCP,” by Major Kim Olson, USAF (8 minutes)
- DOCNET segments, “UNAAF,” sections 1, 2, 2.1, and 2.2, refer to *Joint Publication 0-2, Unified Action Armed Forces* (UNAAF), 10 July 01, pp I-1 to I-11 (17 minutes)

Joint Pub 0-2, *Unified Action Armed Forces* (UNAAF), describes the broad scope of activities within unified commands, subordinate unified commands, or joint task forces under the overall direction of their commanders. The Unified Command Plan (UCP) sets forth guidance to those commanders. Taken together, the UNAAF and UCP describe the actions, structure, and missions of all armed forces conducting joint warfare as described in Joint Pub 0-2. It is professionally prudent for all students to understand the impact and requirements as set forth in these two documents, particularly in view of situation facing our nation’s armed forces today. The graphic below shows the chain of command and control, starting from the President and Secretary of Defense. It also illustrates the kinds of relationships that exist between the implementers of the National Military Strategy, the Joint Vision, and current operational concepts.



Unified Command Plan (UCP)

The UCP serves as the vehicle through which the President and the Secretary of Defense assign missions to the combatant commanders. Title 10, USC, is used to solidify the role of the CJCS and the commanders.

The unified command structure is flexible, and it changes when necessary to accommodate evolving U.S. national security needs. The UCP is a classified document that establishes the combatant commands, identifies geographic areas of responsibility, assigns primary tasks, defines authority of the commanders, establishes command relationships, and gives guidance on the exercise of combatant commands. It is approved by the President, published by the CJCS, and addressed to the commanders of combatant commands. Title 10 USC §161 tasks the CJCS to conduct a review of the UCP “not less often than every two years” and submit recommended changes to the President, through the Secretary of Defense.

Five combatant commanders have geographic area responsibilities. These combatant commanders are each assigned an area of responsibility (AOR) by the UCP and are responsible for all operations within their designated areas: U.S. Northern Command, U.S. Central Command, U.S. European Command, U.S. Pacific Command, and U.S. Southern Command. There are also four functional combatant commands, U.S. Joint Forces Command, U.S. Special Operation Command, U.S. Transportation Command, and U.S. Strategic Command.

Unified and specified combatant commands were first described in the National Security Act of 1947, and the statutory definition of the combatant commands has not changed since then. A Unified Combatant Command is a military command which has a broad, continuing mission under a single commander and which is composed of forces from two or more military departments. A Specified Combatant Command is a military command which has a broad, continuing mission and which is normally composed of forces from one military department. There are currently no specified commands but the option to create such a command still exists. The term, **combatant command**, means a unified or specified command.

An objective of the Goldwater-Nichols Act of 1986 was to clarify the command line to the combatant commanders and to preserve civilian control of the military. The act stated that the operational chain of command runs from the President to the Secretary of Defense to the combatant commanders. The act also stated that the President “may direct” that communications between the President or the Secretary of Defense and combatant commanders be transmitted through the CJCS. In the Unified Command Plan, the President executes this option and directs that communications between himself and his Secretary of Defense and the combatant commander will be transmitted through the CJCS. Further, by statute, the Secretary of Defense is permitted wide latitude to assign oversight responsibilities to the CJCS in the Secretary’s control and coordination of the combatant commanders. This authority has been exercised in DOD Directive 5100.1 (*Functions of the Department of Defense and its Major Components*), dated August 1, 2002, and other directives.

UCP paragraphs seven and eight outline the following about force assignment:

7. Except as otherwise directed by the President or the Secretary of Defense, all forces operating within the geographic AOR assigned to a unified combatant

command shall be assigned or attached to and under the command of the commander of that command. This includes National Guard and Reserve Forces when ordered to Federal active duty.

8. A force assigned or attached to a combatant command under Title 10 §162 may be transferred from that command only as directed by the Secretary of Defense and under procedures prescribed by the Secretary of Defense and approved by the President.

The **Forces for** memorandum specifies the following:

Reflects the peacetime disposition of forces. It does not constitute wartime force apportionment for planning or force allocation at execution.

- Combatant commanders exercise COCOM over assigned forces and are directly responsible to the President and the Secretary of Defense for the performance of assigned missions and the preparedness of their commands to perform assigned missions. Execution or deployment orders for these missions will be issued by the President or the Secretary of Defense and communicated through the CJCS.

Combatant commanders prescribe the chain of command within their commands and designate the appropriate level of command authority to be exercised by subordinate commanders. The military departments operate under the authority, direction, and control of the Secretary of Defense. This branch of the chain of command includes all military forces within the respective Services not specifically assigned to combatant commanders.

Requirement 4

Objective 7. Explain the development, the role, and the mission of the JROC, to include membership, responsibilities, and functions. [JPME Areas 1(c)(e), 2(a)(b), 4(a)(b)(c)]

Objective 8. Describe the process, the validation, and the approval of Joint requirements in the Joint Capabilities Integration and Development System (JCIDS) process. [JPME Areas 1(c)(e), 2(a)(b), 4(a)(b)(c)]

Read:

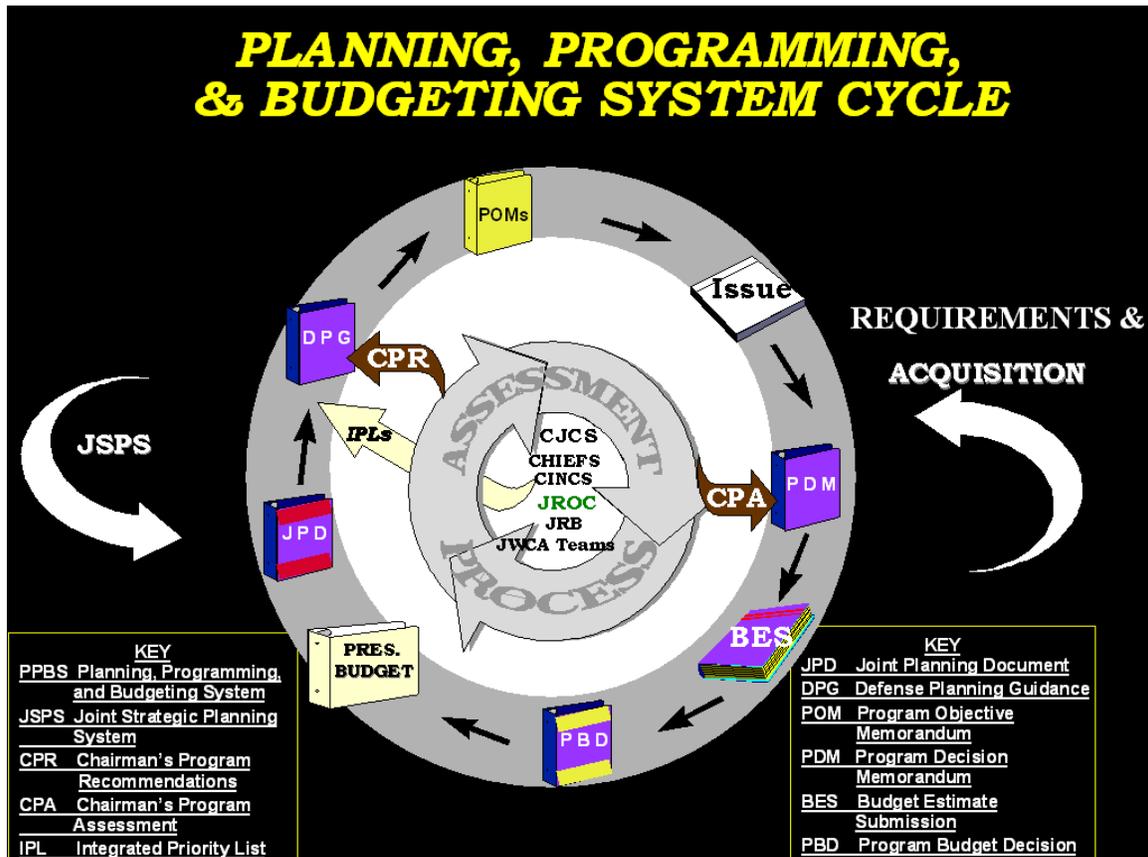
- *Charter of the Joint Requirements Oversight Council*, CJCSI 5123.01A, 8 March 2001, Enclosure A, pp. A-1 to A-15 (15 pages)
- *The Joint Capabilities Integration and Development System*, CJCSI 3170.01C, 24 June 2003, pp. A-6 to A-15 and B-1 to B-6 (15 pages)

Joint Requirements Oversight Council (JROC) and the Joint Capabilities Integration and Development System (JCIDS) Process

Today, the JROC and JCIDS process provides significant decisionmaking mechanisms for the CJCS to use to support strategic planning and interaction with the Planning, Programming, and Budgeting System (PPBS). Future battle-staff planners must understand the weapons systems requirement generation process and subsequent acquisition processes that enhance mission success through deliberate and crisis action operational battle plans, which are such an essential part of joint warfighting in support of our national security strategy.

The Defense Reorganization Act of 1986 established the CJCS's statutory responsibility to advise the Secretary of Defense on requirements, programs, and budgets. Title 10, USC, §181, directed the Secretary of Defense to establish the JROC. The JROC helps the CJCS to identify and assess the priority of Joint military requirements to meet the national strategy.

The following graphic shows the location of the JROC within the PPBS cycle. It also illustrates the manner in which the JSPS and the requirements and acquisition sides flow into making national strategy a reality.



The JCIDS process replaces the old Joint Warfighting Capabilities Assessment (JWCA) process. It was developed based on the following memorandum from Secretary of Defense, Donald Rumsfeld:

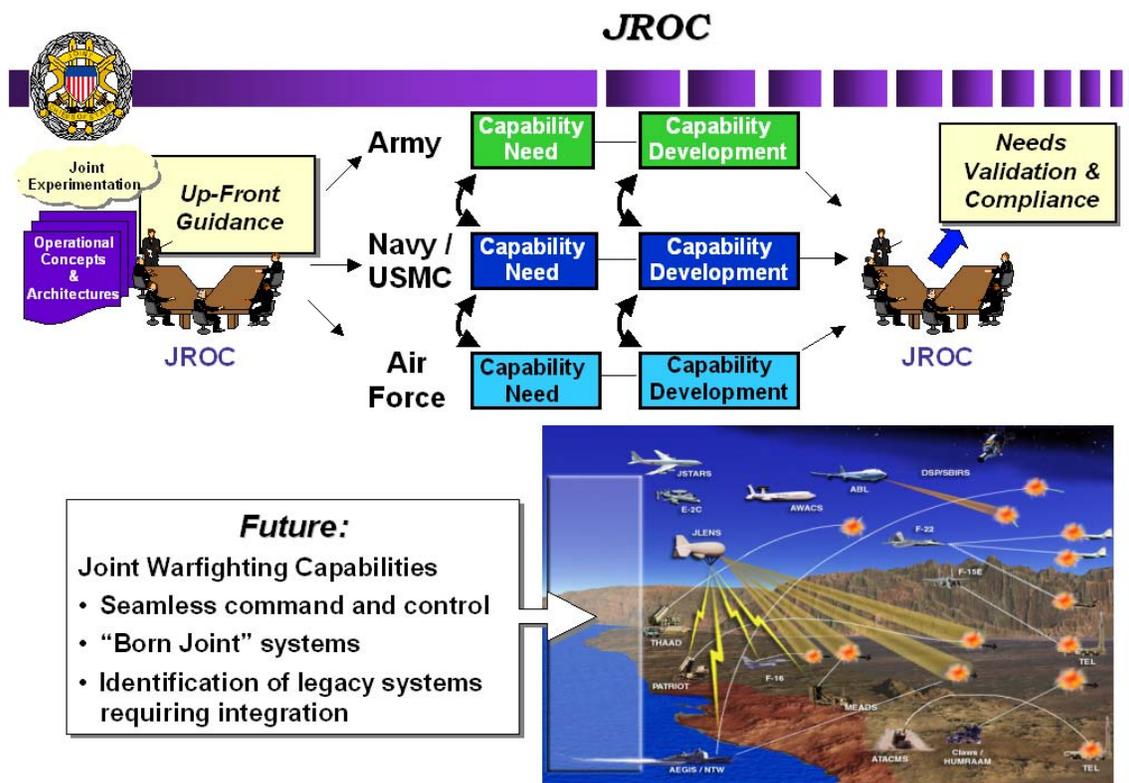
As Chairman of JROC, please think through what we all need to do, individually or collectively, to get the requirements system fixed.

It is pretty clear it is broken, and it is so powerful and inexorable that it invariably continues to require things that ought not to be required, and does not require things that need to be required.

This is “WHY” we must change from the old requirements process to the new JCIDS process. JCIDS is the compromise process that allows Services to continue to develop requirements/capabilities.

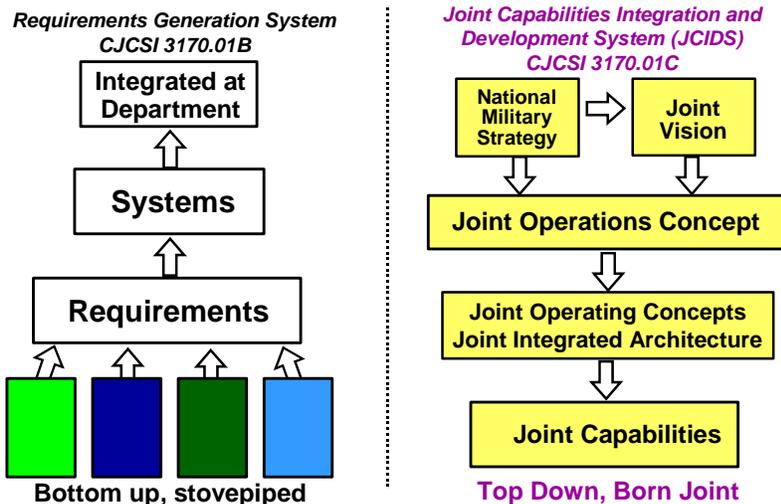
The CJCSI 5123.01A reading is generally accurate. At the time of this course’s publication, the DOD was transitioning from the JWCA process to the JCIDS process. As a result, all publications that support the JCIDS process were unavailable for reference. The CJCSI 5123.01A in some minor ways conflicts with the newer CJCSI 3170.01C. Included in this requirement and located in the following text are comparisons between the JWCA and JCIDS processes. The JCIDS process is a capabilities based methodology whereby the JROC gets involved at the beginning of the process to identify capability gaps requiring attention.

The following graphic shows the JROC influencing the requirement generation process to ensure that joint requirements derived from the Joint Vision and the joint concept development and experimentation efforts of the Joint Forces Command are included in the process from the beginning.

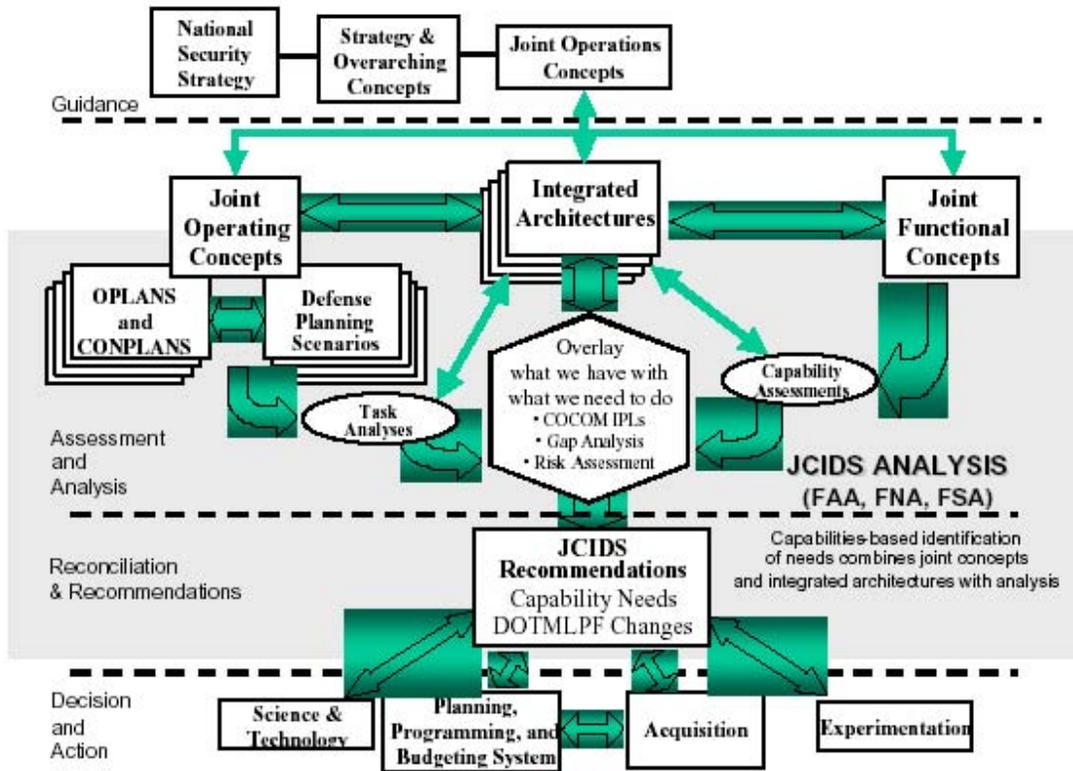


The next graphic illustrates the orientation change in requirement generation from bottom-up to top-down. One can see the stark difference between the beginnings of the two processes.

JWCA vs. JCIDS



The following graphic shows greater detail than the graphic above: specifically it depicts the JCIDS top-down capability need identification process.



Additionally, the JCIDS process provides the following benefits:

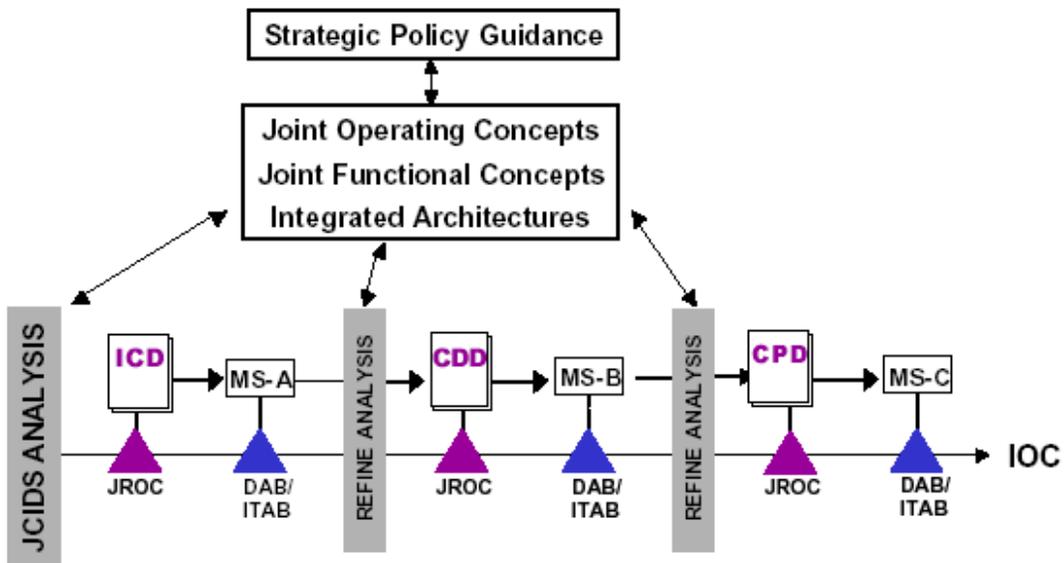
- An enhanced methodology utilizing joint concepts that will identify and describe existing or future shortcomings and redundancies in warfighting capabilities
 - Describe the attributes of effective solutions and identify the most effective approach or combination of approaches to resolve those shortcomings
- Better linkage to the acquisition process by engaging the provider early, as capabilities proposals are developed
- Prioritization of joint warfighting capability gaps based on future joint concepts to help focus the efforts of solution developers
- Improved prioritization of validated joint warfighting capability proposals
- Better definition of the relationship between materiel considerations and those of doctrine, organization, training, [materiel], leadership and education, personnel, and facilities (DOTMLPF) resulting from the development, fielding and sustainment of a new capability, whether it is an individual system, a family of systems, or a system of systems

- Improved coordination with other U.S. government departmental or agency staffs

The JROC responsibilities have remained relatively the same within the JCIDS process and are as follows:

- Examines, defines, and validates major defense program capabilities
- Oversees the JCIDS process
- Serves as a senior, uniformed, advisory council to the CJCS

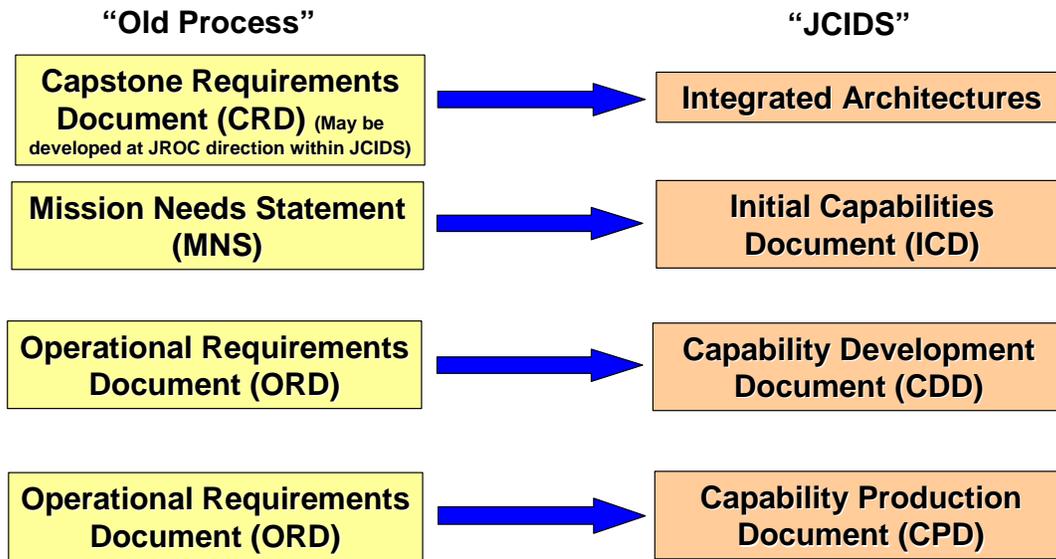
Essentially, the JROC has two primary functions contained within the responsibilities listed above: Functional Capabilities Board (FCB) oversight and capabilities identification. The JROC oversees six FCBs and ensures that JCIDS analyses are conducted. It reviews Initial Capabilities Documents (ICDs), Capability Development Documents (CCDs), and Capability Production Documents (DCPs) at program milestones as depicted below.



A comparison of the old acquisition documents with the JCIDS documents are as follows:

Document Comparison

CJCSI 3170.01C



The ICD defines the capability gap in terms of the functional area, the relevant range of military operations, and the desired effects and time. The CDD outlines the specific performance parameters of a program, platform, or weapon system that is designed to fill the gap. The CPD addresses the production elements specific to a single increment of an acquisition program.

JROC Membership: The CJCS is the chairman of the JROC. His functions as the JROC Chairman are delegated to the Vice Chairman of the Joint Chiefs of Staff (VCJCS). Other members of the JROC are officers in the grade of general or admiral from the Army, Navy, Air Force, and Marine Corps. Service representatives are recommended by their Military Department Secretary and approved by the CJCS after consultation with the Secretary of Defense. The first graphic that follows shows the JROC membership as it currently exists. Notice in the second graphic, which outlines the JROC JCIDS decision chain, that the combatant commanders have a standing invitation to attend all JROC sessions.

Joint Requirements Oversight Council (JROC)



JROC SECRETARY
Director, J-8

**Advisory Council to assist
the Chairman in fulfilling his
Title 10 responsibilities**

Vice Chief, USN



Vice Chief, USA



ACMC, USMC



Vice Chief, USAF



JROC CHAIRMAN
Vice Chairman, JCS

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JROC Organization



JROC DECISION CHAIN



FINAL DECISION AUTHORITY

CJCS

ADVICE TO SECDEF

JROC

RECOMMENDATION APPROVAL/
TOP LEVEL GUIDANCE

JCB (JRB)

ISSUE DEVELOPMENT

FCB (JRP)

INITIAL ISSUE REVIEW

JWCA

ANALYTIC FOUNDATION

JROC MEMBERSHIP

Chair: VCJCS

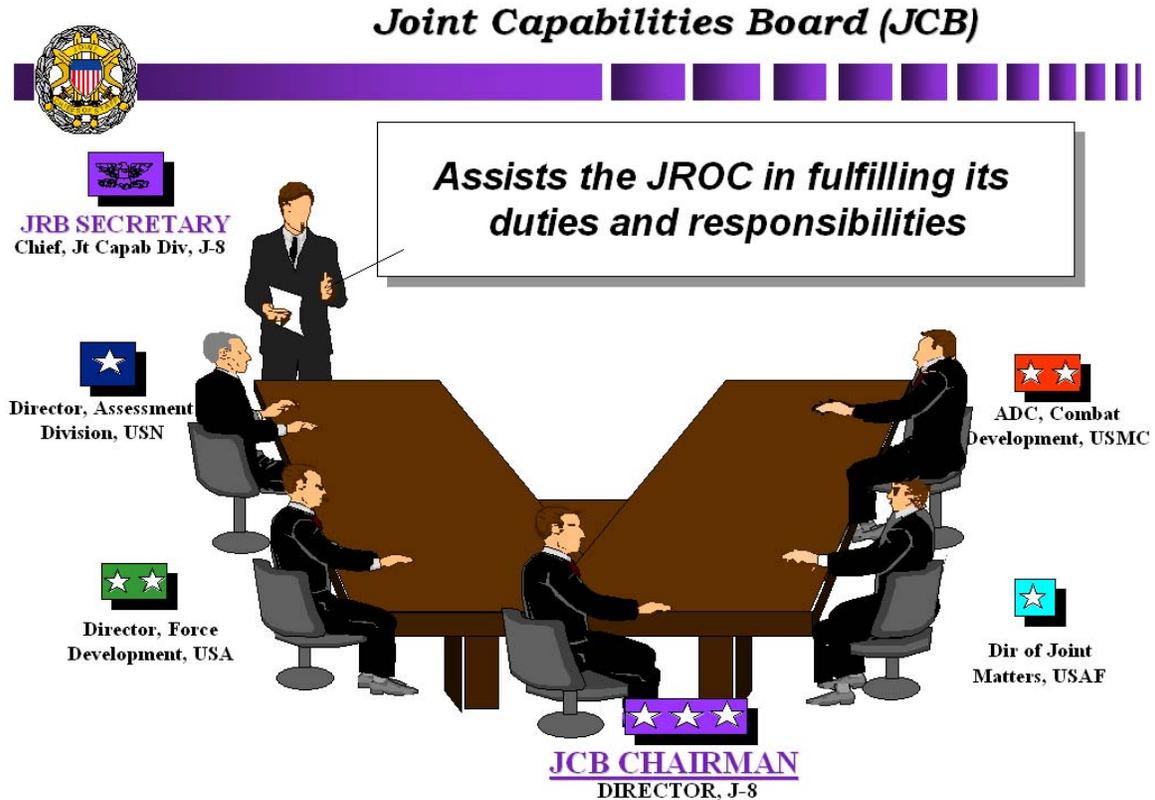
Council Members:

- Vice Chief of Staff, Army
- Vice Chief of Naval Operations
- Vice Chief of Staff, Air Force
- Assistant Commandant of the Marine Corps

JROC: Joint Requirements Oversight Council
JCB/JRB: Joint Capabilities/Requirements Board
FCB/JRP: Functional Capabilities Board/Joint Requirements Panel
JWCA: Joint Warrighting Capability Assessment Teams

Combatant Commanders have a standing invitation to attend all JROC sessions

The Joint Capabilities Board (JCB) reviews and refines, resolves conflicts, and prepares all issues to go before the JROC. It is organized as follows:

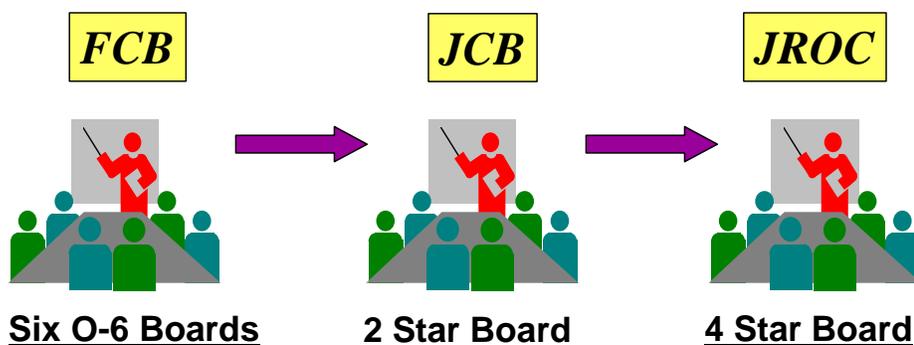


The Functional Capabilities Board (FCB) supports the JROC in identifying joint military capabilities, considering alternatives, and assigning priority among acquisition programs in JROC-assigned functional areas to meet the national security strategy. It also evaluates Acquisition Category (ACAT) I / IA or JROC Special Interest, Joint Integration ACAT II and below. Finally, the FCB is responsible for the entire DOTMLPF range of solutions.

The FCB is composed of six, O-6 level “murder boards” chaired by a one- or two-star flag or general officer.

The briefing sequence for the JCIDS process is depicted in the following graphic.

JROC Briefing Sequence



Lesson Summary

The educational objectives and readings presented in this lesson are offered in order to expose students to a series of processes far different from and far more complex than those normally found in intermediate-level grade assignments. However, for those moving into a senior level headquarters or into a joint staff assignment, it is critical to gain a working knowledge of how each process works. The JSPS and the JROC/JCIDS process are on different ends of the planning spectrum, but they (and all other processes in between) work to make national strategy a reality. Knowledge of the JPEC is important in order to understand how national military participants who are involved in using a strategic plan work that plan through the various processes in order to achieve national strategic desires. Additionally, documents such as the UNAAF and UCP demonstrate how the military element of national power aligns itself to accomplish the strategic intent and goals of the national leadership.

Moreover, as you move into follow-on courses, the information gained from this lesson should enhance your ability to more readily deal with and understand how these processes support operational level planning. Those follow-on courses will include, but are not limited to, the Operational Level of War, Joint, Multinational, and Interagency Operations, and specifically, lessons dealing with the joint operation planning process, which will include both deliberate and crisis action planning. It is operational planning that translates national security strategy into military objectives achievable through military actions.

JPME Summary

AREA 1					AREA 2				AREA 3					AREA 4					AREA 5			
A	B	C	D	E	A	B	C	D	A	B	C	D	E	A	B	C	D	E	A	B	C	D
X	X	X		X	X	X			X				X	X	X	X						