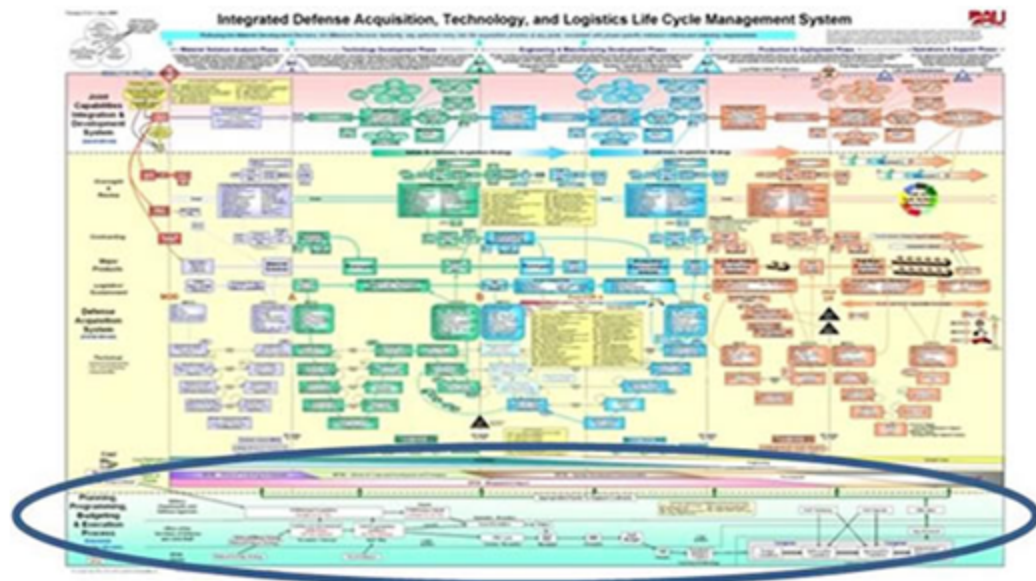


Welcome to Planning Phase

In this lesson, we will introduce the Planning phase, to include its:

- Products
- Major activities
- Timeline
- Principal players



Objectives

Upon completion of this lesson, you will be able to:

- Identify the principal players, major activities, timeline, and primary inputs and products of the Planning Phase of PPBE.

Planning Phase Overview

In the Planning phase of PPBE, military capabilities are assessed, national security threats are articulated, and national defense policies, objectives, and strategy are defined. This leads to a resource-informed process to provide strategy-based planning and broad programming advice for the preparation of the [Defense Planning and Programming Guidance \(DPPG\)](#).

The Planning Phase culminates in the issuance of the DPPG. The DPPG is the link between planning and programming, and it provides guidance to the DoD Components (military departments and defense agencies) for the development of their program proposals, known as the Program Objective Memorandum (POM).

Popup Text

Defense Planning and Programming Guidance (DPPG)

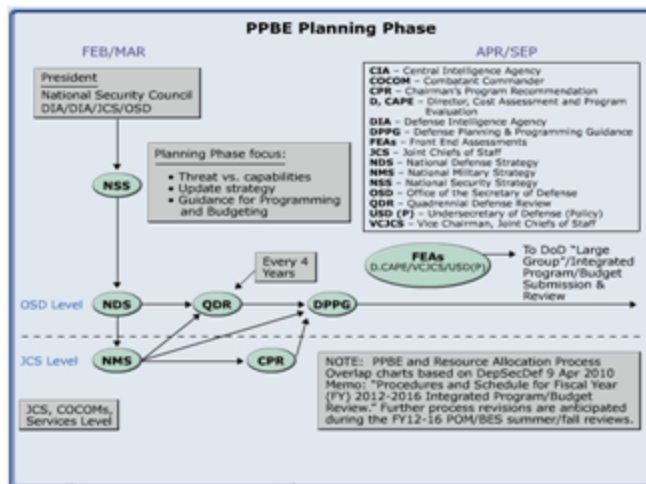
Product of the Planning, Programming, Budgeting and Execution (PPBE) process planning phase. The DPPG reflects the President's National Security Strategy (NSS), the Secretary of Defense's National Defense Strategy, and the Chairman of the Joint Chiefs of Staff's National Military Strategy (NMS). It also reflects results of the Quadrennial Defense Review, and the annual Chairman's Program Recommendations (CPR). The DPPG drives the development of the Program Objective Memoranda (POM) and Budget Estimate Submissions (BES). ([DAU Glossary](#))

Planning Phase Overview, Cont.

Planning takes place under the general direction of the Undersecretary of Defense for Policy (USD(P)). Participants represent the views of all the senior defense staff offices, including the various elements of the Office of the Secretary of Defense (OSD), the Joint Chiefs of Staff (JCS), the unified and specified (combatant) commands, and affected staff elements of the military services and defense agencies.

The National Security Council and the Office of Management and Budget also participate in the process of deriving broad elements of national security policy guidance. The Service PPBE Action Officers participate in the Planning Phase by providing inputs to and reviewing the DPPG. The flowchart and acronyms will be explained in the following pages.

Select the image below to view an enlargement and a brief overview of the PPBE Planning Phase.

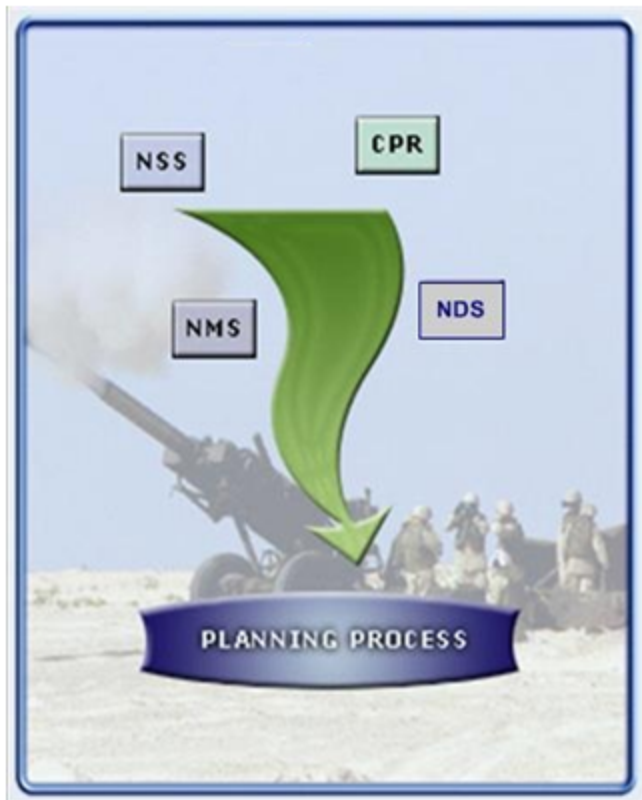


Planning Phase Primary Inputs

The primary inputs to the PPBE Planning Phase are:

1. National Security Strategy of the United States (NSS)
2. National Military Strategy (NMS)
3. National Defense Strategy (NDS)
4. Chairman's Program Recommendation (CPR)

The following pages explain each of these inputs.



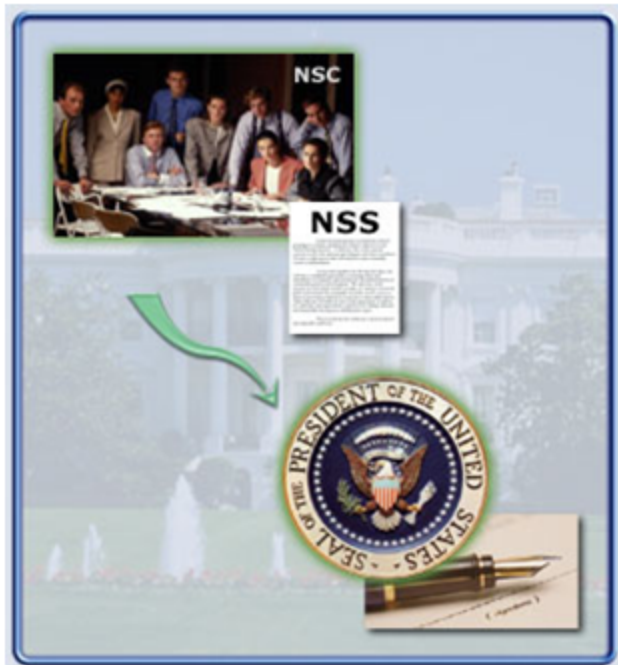
National Security Strategy of the United States (NSS)

The National Security Strategy of the United States (NSS) is a key input to the Planning phase. Prepared by the National Security Council (NSC) and signed by the President, this unclassified document provides general information on the following:

- National objectives and interests
- Global and regional trends
- Political, economic and defense strategies

The National Security Strategy (NSS) is usually prepared in the first year of a new administration. It provides the basis for the National Military Strategy (NMS).

[Click here to access a sample National Security Strategy \(NSS\).](#)



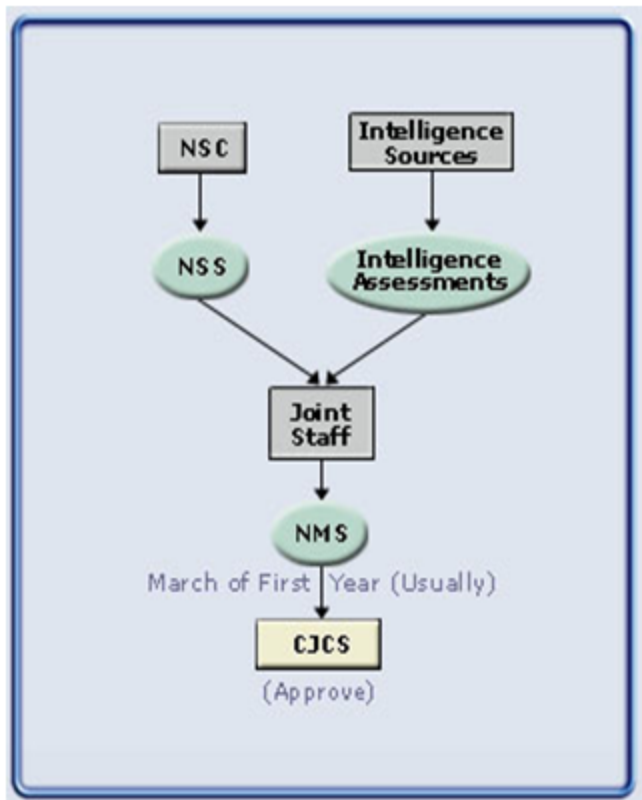
Long Description

Diagram showing the NSS (National Security Strategy) document prepared by NSC (National Security Council) and signed by the President.

National Military Strategy (NMS)

In support of the National Security Strategy (NSS), the Chairman of the Joint Chiefs of Staff (CJCS) recommends a National Military Strategy (NMS) and fiscally constrained force structure that supports the attainment of national security objectives during the period to be covered by the DPPG.

The NMS is prepared using the NSS and intelligence assessments from the Central Intelligence Agency, the Defense Intelligence Agency and other intelligence organizations.



Long Description

Flowchart showing how the Joint Staff puts the NMS together for the CJCS to review and approve. The CJCS uses input from the NSS created by the NSC, and input from intelligence assessments provided by other intelligence sources.

National Defense Strategy (NDS)

The [National Defense Strategy \(NDS\)](#) is issued by the Secretary of Defense. It flows from the NSS and describes the National Military Strategy. It also provides a framework for other DoD strategic guidance, specifically on campaign and contingency planning, force development, and intelligence. It reflects the results of the most recent Quadrennial Defense Review (QDR) and lessons learned from on-going operations in Iraq, Afghanistan, and elsewhere.

The NDS describes our overarching goals and strategy. It outlines how DoD will support the objectives outlined in the NSS. The NDS acts on these objectives, evaluates the strategic environment, challenges, and risks we must consider in achieving them, and maps the way forward.

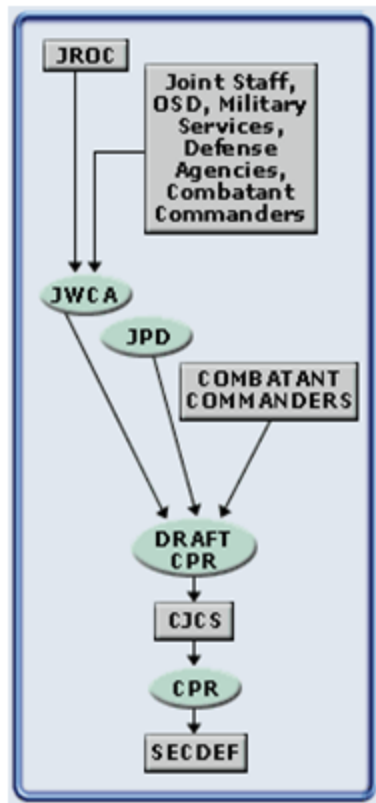


Chairman's Program Recommendations (CPR)

The Joint Requirements Oversight Council (JROC), supported by the Joint Staff, OSD, Military Services, Defense Agencies, and Combatant Commanders, conducts an annual Joint Warfighting Capability Assessment (JWCA) of warfighting mission areas.

During the Planning Phase of PPBE, information from the JPD and the JWCA process is used by the Joint Staff to prepare the draft Chairman's Program Recommendations (CPR). This draft CPR goes out for broad review and comment within DoD.

The final CPR is a closely-held document reflecting the warfighting requirements and priorities of the combatant commands, as well as the Chairman's personal recommendations as the nation's senior military advisor. It is submitted to the Secretary of Defense to consider in making final decisions on Defense Planning and Programming Guidance (DPPG) content.



Long Description

Flowchart depicting the process for creating the CPR. Flowchart shows four ovals: JWCA; JPD; Draft CPR; and Final CPR. Five boxes are also depicted: JROC; Joint Staff, OSD, Military Services, Defense Agencies, Combatant Commanders; Combatant Commanders; CJCS; and SECDEF. Arrows run from the JROC and Joint Staff, OSD, Military Services, Defense Agencies, and Combatant Commanders boxes to the JWCA oval. Arrows run from the JWCA and JPD ovals, and the Combatant Commanders box, to the Draft CPR oval. Arrows run, consecutively from the Draft CPR oval to the CJCS box, from there to the CPR oval, and finally from there to the SECDEF box.

Defense Planning and Programming Guidance (DPPG) Development Process

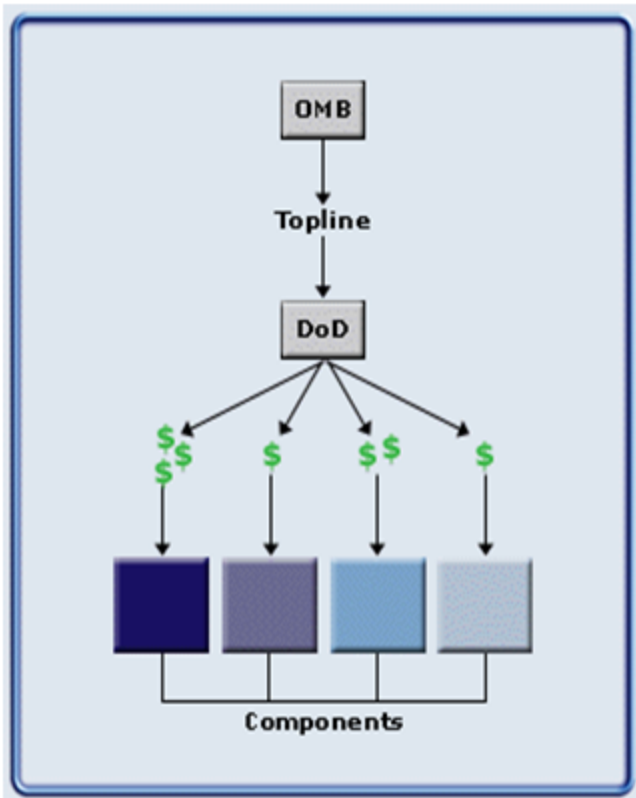
The DPPG is prepared by the OSD Director of the Cost Assessment and Program Evaluation (CAPE) and released by the SECDEF. The DPPG sets specific fiscal controls and directed explicit program actions for each Military Department and Defense Agency.

The DPPG depicts a combined long term view of the security environment and helps shape the investment blueprint for the five POM years "

Planning Phase Fiscal Guidance

During the Planning phase, DoD considers at a very high level the resource constraints resulting from the "topline" set by the Office of Management and Budget (OMB) for the defense portion of the federal budget.

The "topline" provides fiscal guidance regarding Total Obligational Authority (TOA) levels for each Component for the budget year(s) and the four following out-years as an accompaniment to the JPG.



Long Description

Flowchart showing that the 'topline' is set by the OMB for the defense portion of the federal budget. In turn, DoD allocates this topline amount among the various Components.

Planning Phase - Timing

Planning is a meticulous process that begins about three years in advance of the first budget year covered by the PPBE cycle.

For example, the planning to support the budget request for FY 2014 would have begun in FY 2011.



Long Description

Flowchart showing the three year span of the Planning Phase (FY11) to the First Budget Year (FY14).

Principal Players - Planning Phase

The principal players in the PPBE Planning Phase include:

- Secretary of Defense
- Undersecretary of Defense (Policy)
- Director, Program Analysis & Evaluation
- Chairman, Joint Chiefs of Staff
- Unified and Specified Command Combatant Commanders
- Service Chiefs
- Joint Staff
- OSD Staff
- Component Staffs
- Service/Component PPBE Action Officers (for example, PEM, RO, MDEP POC, DASC)



Knowledge Review

The Planning phase culminates in the issuance of the Defense Planning and Programming Guidance (DPPG). Which of the following are inputs to the DPPG?

- ☒ National Military Strategy (NMS)
- ☐ Future Years Defense Program (FYDP)
- ☐ Acquisition Program Baseline (APB)
- ☒ Chairman's Program Recommendations (CPR)

Check Answer



The **NMS** and **CPR** are both inputs to the Defense Planning and Programming Guidance.

Knowledge Review

The Joint Planning Document (JPD) provides concise programming priorities and requirements in support of the _____.

- ☐ National Security Strategy of the United States (NSS)
- ☐ Joint Warfighting Capability Assessments (JWCA)
- ☒ National Military Strategy (NMS)
- ☐ None of the above

Check Answer



The Joint Planning Document (JPD) provides concise programming priorities and requirements in support of the **National Military Strategy**.

Knowledge Review

Select all that apply.

The principal players in the PPBE Planning Phase include:

- ☒ Undersecretary of Defense (Policy)
- ☒ Chairman, Joint Chiefs of Staff
- ☐ OMB Budget Analyst
- ☒ Joint, OSD, and Component Staffs
- ☒ Unified and Specified Command Combatant Commanders
- ☒ Service/Component PPBE Action Officers

Check Answer



The Principal players in the PPBE Planning Phase include the **Undersecretary of Defense (Policy)**, **Chairman, Joint Chiefs of Staff**, **Joint, OSD, and Component Staffs**, **Unified and Specified Command Combatant Commanders**, and **Service/Component PPBE Action Officers**.

Planning Phase Summary

You have completed the lesson Planning Phase and should now be able to:

- Identify the principal players, major activities, timeline, and primary inputs and products of the Planning Phase of PPBE.

Lesson Completion

You have completed the content for this lesson.

To continue, select another lesson from the Table of Contents on the left.

If you have closed or hidden the Table of Contents, click the Show TOC button at the top in the Atlas navigation bar.