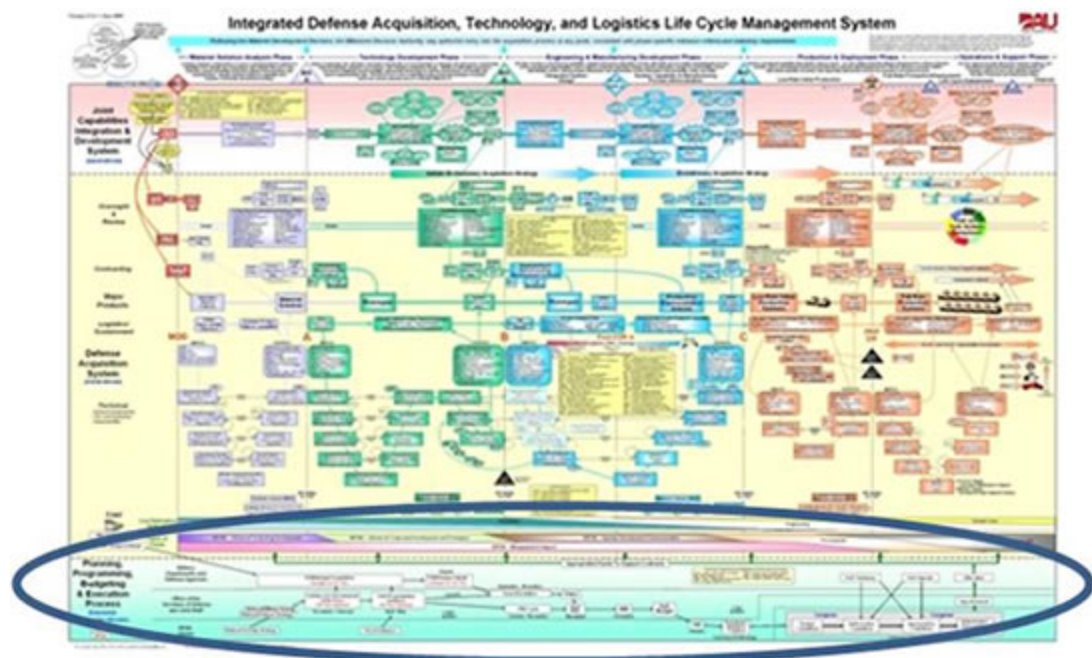


Welcome to the Programming Phase

In this lesson, we will introduce the Programming 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 Programming phase of PPBE.

Programming Phase Overview

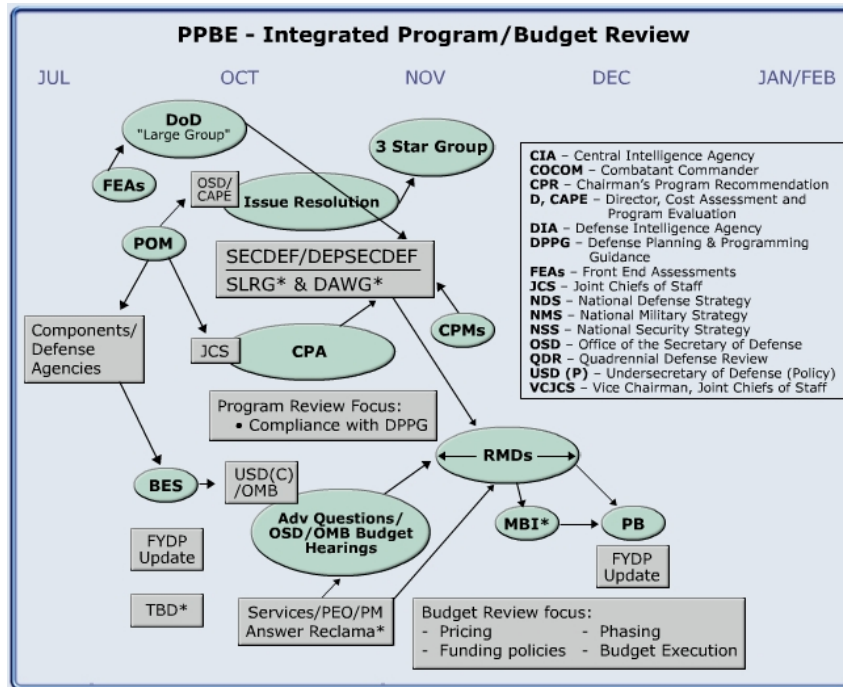
During the Programming Phase, previous planning decisions, OSD programming guidance contained in the DPPG, and Congressional guidance are translated into detailed allocations of time-phased resource requirements which included forces, personnel, and funds.

The Director, Cost Assessment & Program Evaluation (Dir, CAPE) is responsible for overall coordination of this PPBE phase.

Before 2001, the Programming and Budgeting phases took place sequentially, with Programming followed by Budgeting. Since 2001, these two PPBE phases have been conducted concurrently; however, they will be presented separately to simplify discussion. Select the following hyperlink to access a detailed [Combined Programming and Budgeting Phases flowchart](#).



Popup Text



Program Development

In July/August timeframe, each Component (Military Department and Defense Agency) submits a combined POM/BES to SECDEF. The POM/BES covers the 5-year FYDP and presents the Component's proposal for a balanced allocation of available resources within specified constraints to satisfy the DPPG. Significant force structure and end-strength changes, as well as major system new starts must be identified. Program imbalances and shortfalls in meeting DPPG and war fighter objectives are also to be highlighted.

Program Review and Decisions

After submission of the combined POM/BES, the Joint Staff , JROC, and CPMs conduct a review of the POM portion of the Military Departments', Components', and Defense Agencies' submissions to assess how they have conformed to the priorities and resource constraints addressed in the DPPG, NMS, and the QDR. The results of the Joint Staff and JROC reviews are included in the Chairman's Program Assessment (CPA), which is issued during the Fall and which may include alternative program recommendations and budget proposals to achieve greater conformity with the stipulated priorities. The CPMs' assessments are submitted to the Deputy's Advisory Working Group (DAWG) chaired by the DEPSECDEF. The CPMs may outline alternative investment recommendations to those submitted in the POMs.

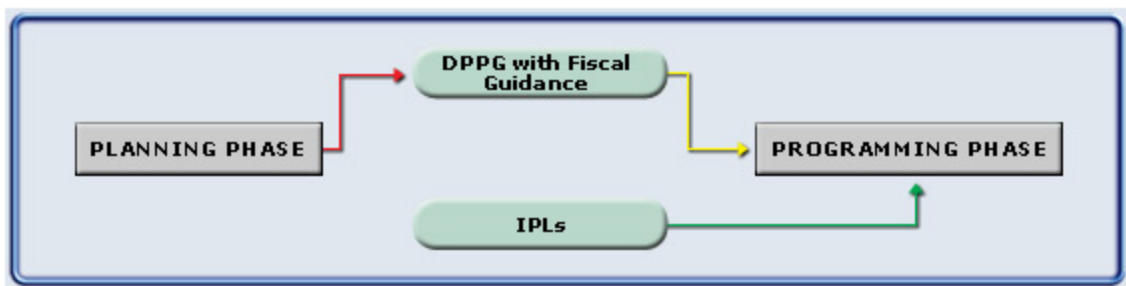
Concurrent with the Joint Staff review of the POM portion of the POM/BES, program analysts in the Director, CAPE office conduct a detailed review of the Services' and Defense Agencies' POM submissions and make program change recommendations through POM Issue Papers. These documents define specific issues to be reviewed by comparing the proposed program to the objectives and requirements established in the DPPG. The Issue Papers present alternatives and evaluate the implications of each alternative, including cost and personnel changes. The Services, Joint Staff, and OSD directorates may comment on – reclama – the recommendations contained in the POM Issue Papers, to include providing justification supporting the original POM submission.

During the October and November timeframe, the DEPSECDEF issues to the Military Departments and Defense Agencies one or more Resource Management Decisions (RMDs), which summarizes the program decisions in the current cycle. These RMDs approve, with the indicated changes, the Service/Agency POMs. Resource Management Decision (RMD) documents are now issued in lieu of PDMs and Program Budget Decisions (PBDs).

Programming Phase Inputs

The Defense Planning and Programming Guidance (DPPG) and the associated Fiscal Guidance that result from the Planning phase are two of the key inputs to the Programming phase.

Additionally, the DoD Components receive Integrated Priority Lists (IPLs) from the Combatant Commanders of the Unified and Specified commands that provide the Warfighter's views of resource requirements and priorities that should be addressed during Programming. The DoD Components' subordinate commands also provide input regarding their resource allocation desires.



Long Description

Flowchart diagram depicting the two Programming Phase Inputs.

1. DPPG with Fiscal Guidance, the output from the planning phase
2. IPLs.

Program Submission

Each DoD Component considers the various inputs it receives, then puts together a balanced program that allocates its personnel and financial resources in the way that the Component determines will best satisfy DPPG objectives and fiscal constraints while addressing the Combatant Commanders' concerns. The Service PPBE Action Officers (PEM, RO, MDEP POC, DASC) are key players in this program preparation process.

The Component program is documented in a program submission (commonly known as the Program Objective Memorandum or POM) submitted by the Component Head as part of the Program and Budget Review submission to OSD in August.



Long Description

Balance scale with Forces, Personnel and Financial Resources on the left, and DPPG Objectives and Fiscal Constraints on the right. Depicts DoD Components considering the various inputs, then putting together a balanced program to address the Combatant Commanders' concerns.

Program Submission, Cont.

Annually, the Components each prepare a new program submission documenting their program proposals. Components must identify significant force structure and personnel end-strength changes that have occurred since the previous submission, as well as any new starts being undertaken for major acquisition systems. Any shortfalls in meeting DPPG or Combatant Commander objectives should also be highlighted.

The Special Operations Command (SOC) has the distinction of being the only Combatant Command to prepare its own program submission. This ensures that DoD can easily identify the resources devoted to the special operations mission area.



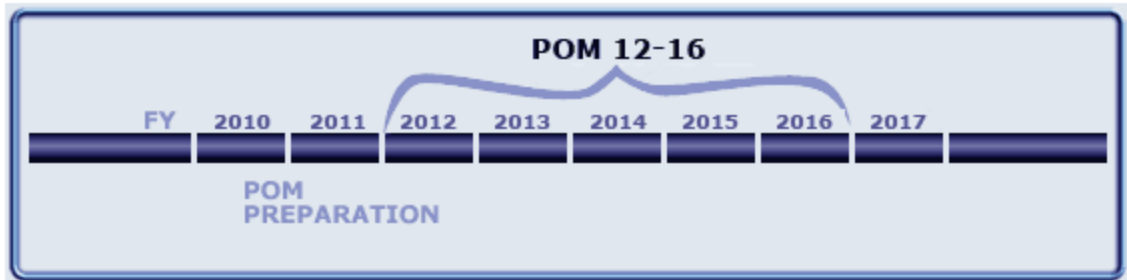
Long Description

The seals of SOC and the four services represent that each component submits its own program to OSD.

Program Submission, Cont.

A regular program submission covers the budget year and four out-years. It is usually referred to as the POM and further identified by the first and last years of the period it covers.

For example, the POM that has FY 2012 as its budget year is known as "POM 12-16" and is represented in the graphic above.



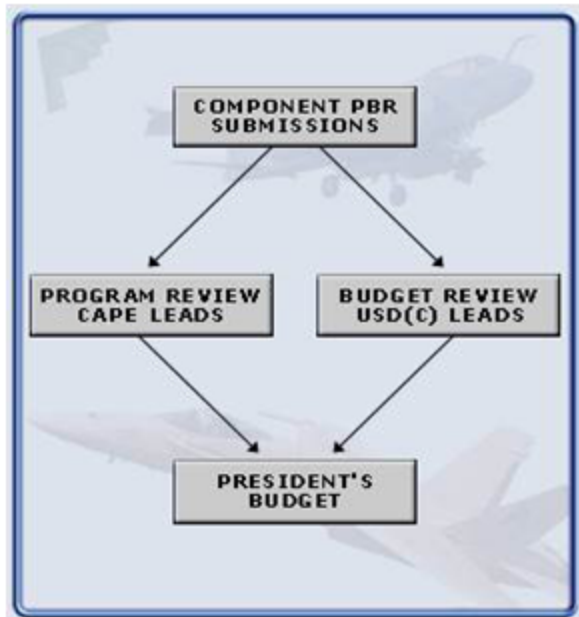
Long Description

POM bar scale covering the budget year and four out-years. In this case, the POM will actually be prepared in May 10. Each POM is usually referred to by the first and last years it covers. This POM is referred to as "POM 12-16".

Concurrent Program and Budget Review

OSD conducts a detailed review of the Component Program and Budget Review submissions. The review consists of two distinct tracks that proceed concurrently: Program Review and Budget Review. OSD/Cost Assessment and Program Evaluation (CAPE) leads the Program Review and recommends issues to be considered. The Components, Combatant Commanders, Joint Staff, and OSD Principal Staff Assistants may also nominate issues.

The Program Review considers issues pertaining to DPPG compliance, the overall balance of Component programs, and programmatic issues deferred during DPPG preparation, as well as significant late-breaking issues. All other issues are handled in the Budget Review, which is discussed as part of the Budgeting phase of PPBE. Most decisions regarding the disposition of nominated issues are made by the Vice Chairman of the Joint Chiefs of Staff, CAPE Deputy Director for Program Evaluation and the USD (Comptroller), although the Secretary of Defense has final decision authority.



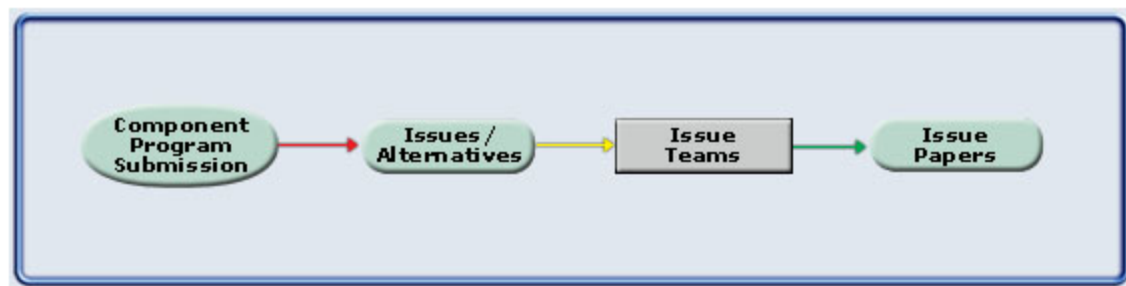
Long Description

Flowchart showing the OSD process during a detailed review of the Component Program and Budget Review submissions. Top box reads 'Component PBR Submissions.' The left box reads 'Program Review, CAPE leads'. The right box reads 'Budget Review, USD (C) leads'. The bottom box reads 'President's Budget'.

Program Review

Issue Teams, typically including representatives from affected OSD and Component staff offices as well as the Joint Staff, are constituted to examine the proposed programs in light of the specific issues identified for consideration during the Program Review. An example of such an issue might be compliance with readiness levels called for in the DPPG. The Issue Teams also consider program alternatives and recommend the program changes they consider necessary.

The Issue Papers that result from this review present one or more alternatives to the Component program submission position on a particular issue, and analyze the implications of each alternative, particularly with respect to cost and personnel. Any major stakeholder who disagrees with an Issue Paper recommendation usually has an opportunity to articulate why they disagree and to propose a new alternative or to support an existing alternative.



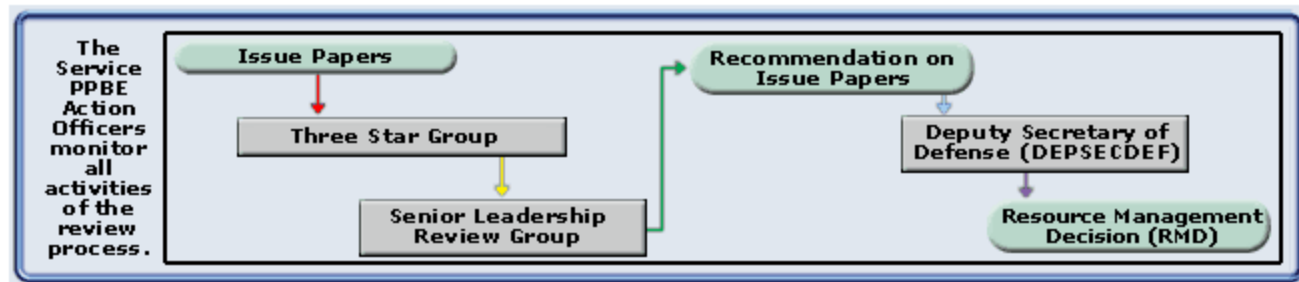
Long Description

Flowchart with four blocks connected together, in the following order: Component Program Submission, Issues/Alternatives, Issue Teams, and Issue Papers. Issue Teams are constituted to examine the proposed programs, consider any program alternatives proposed by major stakeholders, and recommend the program changes they consider necessary.

Program Review, Cont.

The Three Star Group reviews Issue Papers that address particularly important or broad issues and passes these on to the Senior Leadership Review Group (SLRG). The SLRG considers the Issue Paper, the original Component position, and any dissenting opinions submitted, before deciding which position should be recommended to the Deputy Secretary of Defense (DEPSECDEF) for inclusion in the approved Component program. These decisions are documented in a Resource Management Decision (RMD).

The Service PPBE Action Officers (PEM, RO, MDEP POC, DASC) constantly monitor activities during the program review process and take action as necessary to obtain and provide information to defend their programs.

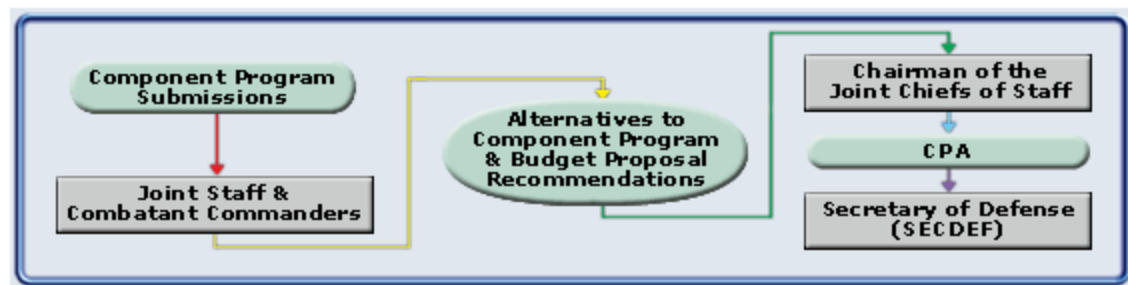


Long Description

Flow chart with 6 boxes: Issue Papers; Three Star Group; Senior Leadership Review Group; Recommendation on Issue Papers; Deputy Secretary of Defense (DEPSECDEF); and Resource Management Decision (RMD). The boxes are connected in numeric order to support the content of the page. The flow chart also includes the statement, the Service PPBE Action Officers monitor all activities of the review process.

Chairman's Program Assessment (CPA)

In parallel with the OSD staff Program Review, the Joint Staff and Combatant Commanders review the Component program submissions to assess compliance with the Defense Planning and Programming Guidance and National Military Strategy, as well as accommodation of the Combatant Commanders' Integrated Priority Lists. The resulting document is issued by the Chairman of the Joint Chiefs of Staff to the Secretary of Defense as the Chairman's Program Assessment (CPA). The CPA provides SECDEF with alternatives to Component program recommendations and budget proposals to achieve greater conformance with established priorities.



Long Description

Flow chart with activity boxes that represent that the Joint Staff and the Combatant Commanders review the Component POMs for compliance with the DPPG, NMS, and Combatant Commanders' IPLs. The output from this review is the Chairman's Program Assessment.

Resource Management Decision (RMD)

During the October and November timeframe, the DEPSECDEF issues to the Military Departments and Defense Agencies one or more Resource Management Decisions (RMDs), which summarizes the program decisions in the current cycle. These RMDs approve, with the indicated changes, the Service/Agency POMs. Resource Management Decision (RMD) documents are now issued in lieu of PDMs and Program Budget Decisions (PBDs).

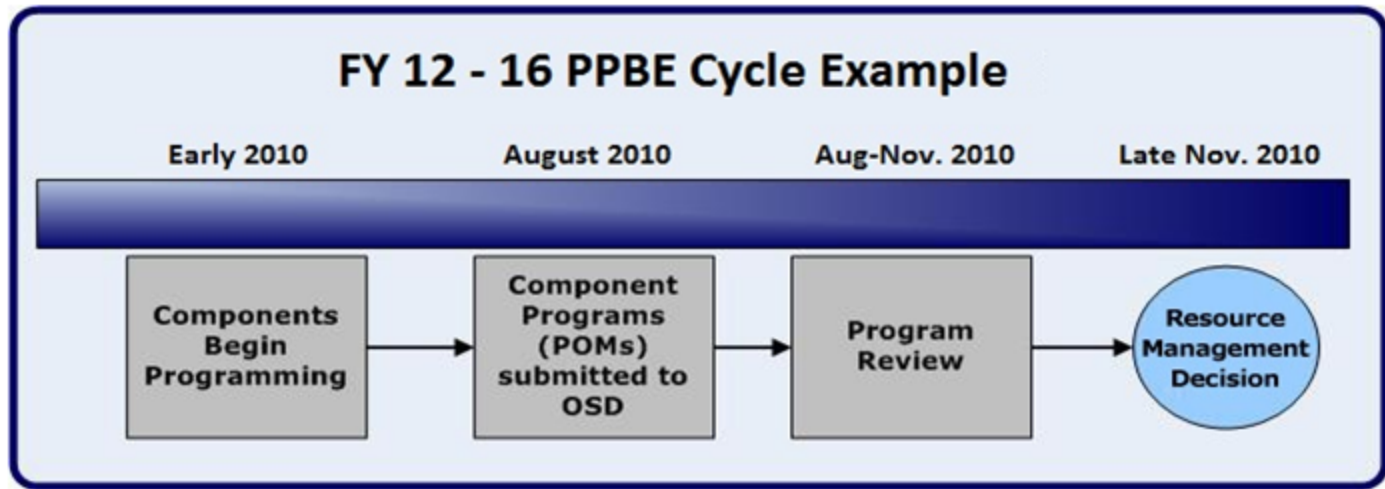
These decisions are not subject to review by budget analysts and are incorporated directly into the budget.



Programming Phase Timeline Chart

In the PPBE process, the Programming phase begins early in the calendar year two years prior. As shown in the hyperlink example below, combined program and budget submissions are provided to OSD in August. Review of the program submissions continues through November, when the Resource Management Decision (RDMs) are issued and the changes they direct are incorporated into the budget.

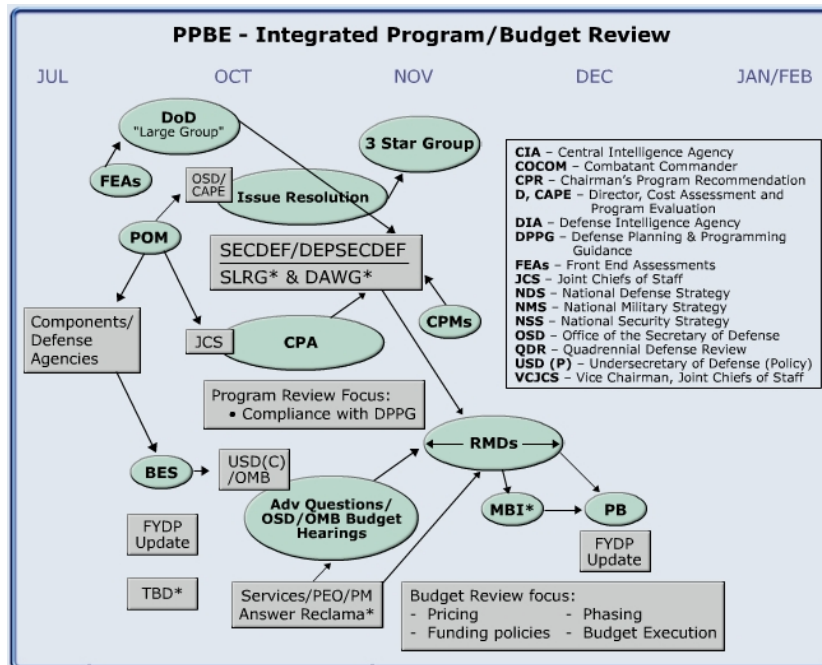
As an example, during the FY 12-16 PPBE cycle, Components would begin Programming in early calendar year 2010. The Component Programs (POMs) would be submitted to OSD during August 2010 as part of the combined Program and Budget Review submission. Program Review would take place between August and November 2010, with Program Decision Memorandums issued in late November 2010. Select the following hyperlink to access a [Programming Phase Timeline Chart](#).



[D](#)

Popup Text

Programming Phase Timeline Chart



After submission of the combined POM/BES, the Joint Staff, JROC, and CPMs conduct a review of the POM portion of the Military Departments', Components', and Defense Agencies' submissions to assess how they have conformed to the priorities and resource constraints addressed in the DPPG, NMS, and the QDR. The results of the Joint Staff and JROC reviews are included in the Chairman's Program Assessment (CPA), which is issued during the Fall and which may include alternative program recommendations and budget proposals to achieve greater conformity with the stipulated priorities. The CPMs' assessments are submitted to the Deputy's Advisory Working Group (DAWG) chaired by the DEPSECDEF. The CPMs may outline alternative investment recommendations to those submitted in the POMs.

Concurrent with the Joint Staff review of the POM portion of the POM/BES, program analysts in the

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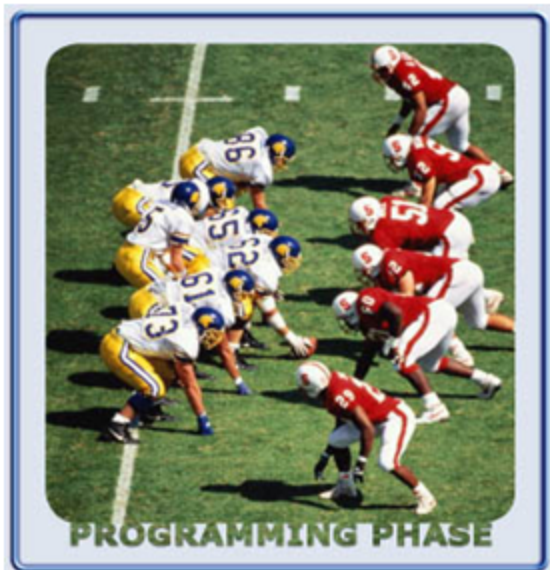
Long Description

Flow chart illustrating an example of FY 12-16 PPBE cycle. Components begin programming in early 2010, POMs are submitted to OSD in August 2010. Program review conducted during Aug-Nov 2010 and a Program Decision Memo is sent out by late November 2010.

Principal Players - Programming Phase

The principal players in the PPBE Programming Phase include:

- Secretary of Defense
- Deputy Secretary of Defense
- Chairman and Vice Chairman, Joint Chiefs of Staff
- Under Secretary of Defense, Comptroller
- Director, Cost Assessment and Program Evaluation
- Unified and Specified Command Combatant Commanders
- Defense Resources Board
- Program Review Group
- Component Heads
- OSD Staff
- Joint Staff
- Component Staffs
- Service/Component PPBE Action Officers (PEM, RO, MDEP, POC, DASC)



Knowledge Review

Which one of the following is a direct input to the Programming phase?

- ☐ National Security Strategy of the United States (NSS)
- ☒ Defense Planning and Programming Guidance (DPPG)
- ☐ National Military Strategy (NMS)
- ☐ Resource Management Decision (RMD)

Check Answer



The **Defense Planning and Programming Guidance (DPPG)** is a direct input to the Programming phase.

Knowledge Review

Select all that apply:

In preparing the program submission (or POM), a Component must identify any significant changes that have occurred since the previous program submission pertaining to:

- ☐ National Security Strategy
- ☒ Major acquisition new starts
- ☒ Force structure
- ☒ Joint Personnel end-strength

Check Answer



In preparing the program submission (or POM), a Component must identify any significant changes that have occurred since the previous program submission pertaining to: **Major acquisition new starts, Force structure, and Joint Personnel end-strength.**

Knowledge Review

The Component program submission that supports the FY 08 - FY 13 PPBE cycle should be submitted to OSD in:

- ☐ August 2005
- ☐ April 2006
- ☒ August 2006
- ☐ November 2006

Check Answer



The Component program submission that supports the FY 08 - FY 13 PPBE cycle should be submitted to OSD in **August 2006**.

Knowledge Review

Which of the following documents provides SECDEF with the nation's senior military advisor's advice regarding Competent recommendations and budget proposals to achieve greater conformance with established priorities?

- ☐ Program Submission for the Program and Budget Review
- ☒ Chairman's Program Assessment (CPA)
- ☐ Issue Paper
- ☐ Program Decision Memorandum (PDM)

Check Answer



The **Chairman's Program Assessment (CPA)** provides SECDEF with the nation's senior military advisor's advice regarding Competent recommendations and budget proposals to achieve greater conformance with established priorities.

Knowledge Review

Which of the below is **not** a principal player in the PPBE Programming Phase?

- ☒ National Security Council
- ☐ Chairman, Joint Chiefs of Staff
- ☐ Joint, OSD, and Component Staffs
- ☐ Director, Cost Assessment and Program Evaluation

Check Answer



The **National Security Council** is not a principal player in the PPBE Programming Phase.

Programming Phase Summary

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

- Identify the principal players, major activities, timeline, and primary inputs and products of the Programming 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.

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