

MORS Workshops on CBP The Past & the Present

April 3, 2006

Jim Bexfield

Overview

- **What happened in 2004**
- What you will see today
- A preview of the upcoming workshop

CBP—Oct 19-21, 2004

- Focus was on lexicon, emerging concepts, and recent applications
- Unclassified at Institute for Defense Analyses
- Co-chairs: Jim Bexfield (OSD/PA&E) and Lisa Disbrow (JS/J8)
- Over 225 attendees

Henry

Capability Based Planning

Definition: CBP is a top-down, competitive approach to weigh options vs. resource constraints across a spectrum of challenges

CBP Objectives:

- Link DoD decision-making to the Defense Strategy
 - Apportion across risk horizon – traditional, irregular, catastrophic, disruptive challenges
- Inform risk tradespace -- identify joint capability gaps, redundancies and opportunities
 - Generate common framework for capability trades
 - Couple programmatic capability development to operational needs
- Facilitate the development of affordable capability portfolios that:
 - Hedge against uncertainty
 - Increase costs to adversaries while suppressing our costs

Back to the Future: The Six PPBS Principles

(1960s vintage)

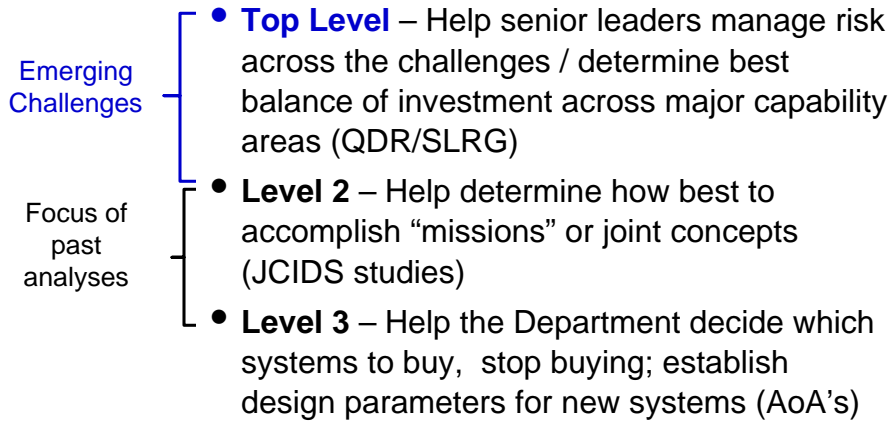
- Decisions should be based on explicit criteria of national interest, not on compromises among institutional forces.
- Needs and costs must be considered simultaneously.
- Major decisions should be made by choices among explicit, balanced, feasible alternatives.
- The Secretary should have an active analytic staff to provide him with relevant data and unbiased perspectives.
- Open and explicit analysis, available to all parties, must form the basis for major decisions.
- A multiyear force and financial plan is required to project the consequences of present decisions into the future.

CBP Terminology

- **Mission:** The purpose(s) (objectives and end state) assigned to a commander
- **Endstate:** A set of conditions, behaviors, and degrees of freedom that defines achievement of a commander's mission
- **Effect:** a change in a condition, behavior, or degree of freedom.
- **Capability:** The ability to achieve a desired effect under specified standards and conditions by performing a set of tasks through combinations of means and ways
- **Task:** An action or activity (derived from an analysis of the mission and concept of operations) assigned to an individual or organization to provide a capability
- **CONOPS:** Overall picture and broad flow of tasks assigned to subordinates/supporting entities within a plan by which a commander maps capabilities to effects to accomplish the mission for a specific scenario.
- **Scenarios:** Assumptions about the political-military context of an operation, including adversaries, friendly forces, and neutrals.
- **Conditions:** The values of operational environment variables, including scenarios that affect task performance.
- **Standards:** Quantitative or qualitative measures that gauge the levels of performance of a task.

Levels in CBP

- CBP can apply at multiple levels (each with its own perspective)



The Allied View

- CBP becoming the foundation used by leadership for investment decisions
- Focuses on Acquisition
 - Starts with guidance, identifies capability gaps, explores options, and ends with an affordable investment plan
 - All use
 - A capability partition scheme
 - Scenarios set in one or more future time periods

The Acquisition View

- Capability Area Reviews (CARs)
 - Help align individual program expectations
 - Assess the cumulative effect of individual program decisions
- Roadmaps
 - Prompt discussion, inform decisions, and capture decisions made
 - Materiel and non-materiel solutions
 - Affordability
- Renewed emphasis on system engineering

The Methodology View

- Need better understanding of human factors
- Need better scenario development process
- Decision analysis may be useful (value-focused thinking, multi-attribute utility)
- Lack accepted models for the disruptive, catastrophic, and irregular challenge areas

The Current Operations View

- Adaptive Planning (AP) is a major DoD initiative to develop a joint capability to create and revise plans rapidly & systematically, as circumstances require
- Integrated Priority List (IPL)
 - Used by COCOMs to communicate a prioritized list capabilities they need to accomplish their command's goals
 - The process should include finding areas with excess capability for possible trade-space or offsets

Future Force Planning (General)

- CBP studies are harder to manage and organize
 - Substantial time spent defining risk
 - Lots of study time spent agreeing on taxonomies and terminologies
 - Scenario selection difficult
- Recommendations
 - Publish white paper fully explaining CBP principles (cost, risk, taxonomy, and scenarios)
 - Make exemplar capabilities-based study plans, reports, and templates available for all “Levels”

Other Findings

- Services have implemented differing CBP frameworks
 - Linking to evolving Joint framework has been difficult
- Most CBP presented focused on the traditional challenge
- Encourages activities that are broad, inclusive, collaborative, and facilitate data sharing
- CBP is an emerging art that needs:
 - A common language to describe 'capabilities'
 - A common means of assessing risk to support tradeoff decisions
 - A common means of developing / proposing capability options, particularly cross-capability (level 1) trades

Krieg

Barriers to Implementing CBP

- Tenure of senior leadership needed to drive strategic change
 - Current average: 2 – 4 years
 - Baseline success models suggest 7 – 10 years
- Fixation on unnecessary precision – must focus on what is relevant for the decision
- Eisenhower's military industrial complex is force for the status quo (will Congress be part of the leadership for change?)
- Curse of success – hard to change when you have market leadership
- Lack of flexibility in the Defense Budget
 - Gone from draft to professional force: more expensive and harder to downsize
 - Turning defense into an entitlement program

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Background Briefings

- **MORS 2004 Workshop** – An overview of CBP I workshop and a preview of CBP II. (Jim Bexfield)
- **Adaptive Planning** – A new process to rapidly develop and efficiently maintain deliberate and crisis action plans. (Tim Hoffman)
- **Overview of JCIDS** - The evolution of the warfighting capability based analysis and assessment process. (Bill Cooper)
- **Joint Capability Areas (JCAs)** – The development, integration and road ahead for categorizing capability within the Department. (Joe Bonnet)
- **Analytic Agenda** - Department-wide agreement to make major, joint analysis efforts more effective, efficient, relevant by providing common, analysis ready, starting points. (Jim Stevens)

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Tuesday's Plenary

<u>Topic</u>	<u>Speaker</u>	<u>Some possible topics</u>
Keynotes		
– OSD (AT&L)	Mr Krieg	Capability Portfolio Management, Evaluation of Alternatives (EOAs)
– OSD (Policy)	Mr Henry	QDR, Adaptive Planning
– JCS (J8)	VADM Chanik	JCIDS, Capability Roadmaps, IPLs
– JCS (J7)	RADM Mauldin	Joint Capability Areas, Adaptive Planning
– OSD (PA&E)	Mr Berkson	Analytic Agenda, Mapping Program Elements to JCAs
• The Technical Cooperation Program	Dr Taylor, UK	Capability Engineering, Comparison of Approaches Across Countries
• Supporting the Implementation of JCAs	Ms Gerton	Applying JCA to pgm and budget databases
• QDR Implications	COL Kelly	Using CBP in QDRs
• CBP Initiatives	COL Lanza	Draft Joint Staff instruction on CBP
• Institutional Reform & Governance	Ms Rathbun	How the Department's may change to accommodate CBP
• CBP 2004 & 2006	Mr Bexfield	Review of 2004 and challenges for 2006

Thursday's Plenary 1100-1200

- **AT&L Mr Durham**
 - Implementing CBP in the Acquisition World
- **TTCP Mr Christopher**
 - How Canada used CBP to address a large budget increase

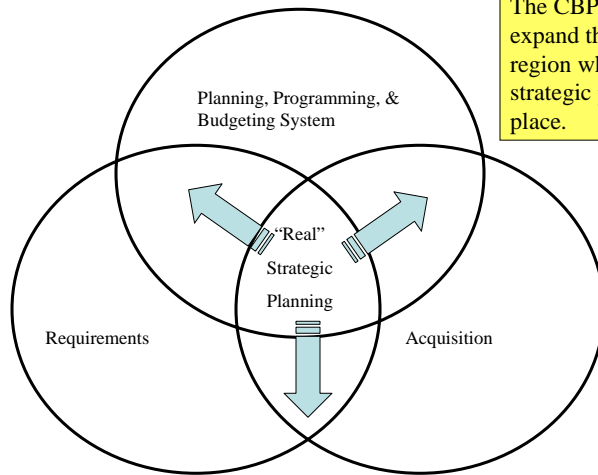
Working Group Discussion

- **WG 1 CBP and the QDR**
 - How CBP can support QDRs
- **WG 2 Improving the CBP Process: Strategy to Joint Concepts to JCIDS/EPP**
 - How strategy impacts joint capability definition and development
 - Role of JCAs, JOCs, JOpsC, JFCs and JICs
 - Use of the Analytic Agenda
 - Linkage to JCIDS
- **WG 3 Improving the CBP Process: JCIDS to Acquisition**
 - Evaluation of Alternatives (EOAs)
 - Information and resource needs
 - Analysis support to acquisition
- **WG 4 CBP Support to Strategic Decisions Across Domains**
 - WG 4 will look at the capabilities-based approach in the context of making changes across domains, where a domain is a function, service or type of force. Such changes usually result from major strategic shifts, shifts among domains, and how the notion of capabilities is or could be used to describe those shifts.
- **WG 5 CBP Support to Strategic Decisions Within Domains**
 - How risk is addressed within mission and functional areas
 - Comparison of JCAs with allied constructs, role of scenarios
 - Accomplishing trades within mission areas
- **WG 6 CBP and Adaptive Planning**
 - Working Group examines how the Department might practically implement "capabilities packaging" both in building its contingency plans and in managing its forces and assets across DoD's constellation of plans. This workshop will focus largely on defining and scoping the problem.

QUESTIONS

BACKUPS

Integrating Processes



The CBP Framework will expand the feasible region where "real" strategic planning takes place.

Background Briefings

- **CBP Lexicon** - Proposes a framework that defines and relates the essential elements of Capabilities Based Planning. (Kiefer)
- **PPBS Status** - An overview of where we are today in transforming DoD. (Gordon)
- **Overview of JCIDS** - The evolution of the warfighting capability based analysis and assessment process. (Bonnet)
- **Analytic Agenda** - Department-wide agreement to make major, joint analysis efforts more effective, efficient, relevant by providing common analysis ready starting points. (Hollywood)
- **PPBS History** - An historical perspective on DoD's Planning, Programming and Budgeting System (PPBS). (Gordon)
- **Adaptive Planning** - A process for systematic, on-demand creation and revision of executable plans. (Hoffman)
- **Strategic Planning & Budgeting** - An approach to implement a capabilities-based resourcing system and PPBE reform using "Capability Delivery Groups." (Miller)