



DEPARTMENT OF THE ARMY
OFFICE OF THE
DEPUTY CHIEF OF STAFF FOR OPERATION AND PLANS
400 ARMY PENTAGON
WASHINGTON DC 20310-0400



DAMO-FMR

12 April 2001

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Approval of Army Warfighting Requirements - Interim Implementation Guidance

1. References:

- a. Memorandum, CSA, 19 March 2001, subject: Approval of Army Warfighting Requirements (enclosure 1).
- b. CJCSI 3170.01A, 17 August 1999, subject: Requirements Generation System.

2. This memorandum provides the interim implementation guidance for the Army Materiel Requirements Generation System, in accordance with the CSA memorandum at enclosure 1. A description of the revised materiel requirements generation process is at enclosure 2. General responsibilities are outlined at enclosure 3. At enclosure 4 are the instructions for the CSA Requirements Review Council.(RRC).

3. These instructions apply to all requirements documents regardless of Acquisition Category (ACAT) level of associated programs. Implementation of this memorandum will begin immediately and includes documents, which are currently in the approval process or being updated. This memorandum will serve as interim guidance, pending an update to AR 71-9, Materiel Requirements.

4. The HQDA POC for this action is Ms. Marguerite Frick, DAMO-FMR, DSN 227-9712, email (uncl): frickm@hqda.army.mil.

4 Encls

LARRY R. ELLIS
Lieutenant General, GS
Deputy Chief of Staff
for Operations and Plans

DAMO-FMR

SUBJECT: Approval of Army Warfighting Requirements - Interim Implementation
Guidance

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UNITED STATES ARMY
THE CHIEF OF STAFF

19 March 2001

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Approval of Army Warfighting Requirements

1. Effective immediately, the Chief of Staff, Army, will approve all warfighting requirements. All Army warfighting requirements in the form of Mission Need Statements (MNS), Capstone Requirements Documents (CRD), and Operational Requirements Documents (ORD) will be submitted to Headquarters, Department of the Army (HQDA), for validation or approval. This applies to all requirement documents, regardless of Acquisition Category (ACAT) level. In this context, Army warfighting requirements include Joint and other Service requirements with Army participation or interest.
2. Major warfighting concepts designed to guide force modernization, (e.g., Brigade Combat Team or higher Organizational and Operational Concepts) will also be approved by the Chief of Staff, Army. These will be reviewed by the Requirements Review Council (RRC) for synchronization with Army modernization strategy and affordability. The DCSOPS will schedule and execute the RRC.
3. This change is necessary due to rapidly changing technology; constraints on the Army budget; increased sustainment costs; the need to provide a concrete linkage between requirements and resources; and increasing emphasis on Joint interoperability.
4. The foundation of the requirements generation process will not change. The U.S. Army Training and Doctrine Command (TRADOC) will continue to be responsible for balanced development of concepts, requirements, and products in doctrine, training, leadership, organizations, materiel, and soldiers. The TRADOC Commander's evaluation and recommendation will accompany all requirements submitted for HQDA approval.
5. The Army Requirements Oversight Council (AROC) will be established to advise the Chief of Staff on Army warfighting requirements. The membership, responsibilities, and general procedures for this Council are outlined in a paper at enclosure. These guidelines will be used to assist the Council in its activities until they are incorporated into regulatory guidance.

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SUBJECT: Approval of Army Warfighting Requirements

6. Specific guidance for implementing this policy, to include the RRC and AROC procedures, will be provided under separate cover by the Deputy Chief of Staff for Operations and Plans. Army Regulation 71-9, Materiel Requirements, will be updated to reflect this policy.



ERIC K. SHINSEKI
General, U.S. Army
Chief of Staff

Encl

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U.S. ARMY TEST AND EVALUATION COMMAND

Guidelines for the Army Requirements Oversight Council (AROC)

1. **Responsibilities.** The AROC is responsible for making recommendations on the disposition of materiel requirements documents for Army warfighting requirements to the Chief of Staff, Army.

a. The AROC will review Mission Need Statements (MNS), Capstone Requirements Documents (CRDs), and Operational Requirements Documents (ORDs) and advise the Chief of Staff on:

(1) **Military Need and Risk.** The AROC will review all warfighting deficiencies addressed by the requirement documents and validate that: (1) such deficiencies cannot be corrected by non-materiel means, such as changes to doctrine, training, leader development, or organizations; (2) suitable, lesser cost, materiel alternatives do not exist; and (3) that failure to pursue the program will result in an unacceptable risk to the Army's warfighting capabilities. The AROC will also consider the execution risk to ensure capabilities can be available to the field in timeframe required.

(2) **Synchronization with Transformation Campaign Plans (TCP).** The AROC will validate that the recommended strategy (for MNS or CRDs) or program (for ORDs), is consistent with transformation campaign plans, and contributes to a balanced, synchronized modernization program.

(3) **Program Affordability.** The AROC will review cost and affordability of concepts and programs to ensure that they are within budgeting and programming limits for short and long term. This will include potential supportability requirements for the concept or system.

(4) **Program Definition and Interoperability.** The AROC will ensure that the operational and organizational definition of the capability (MNS or CRD) or system (ORD) is clear, and consistent with Army warfighting concepts. The Key Performance Parameters (KPP) must describe the minimum essential requirements for the capability (CRD) or system (ORD). The proposed system must meet Army and Joint interoperability requirements.

b. After its review, the AROC will make one of the following dispositions of the MNS, CRD, or ORD.

For documents where approval authority is the Army:

(1) Recommend approval (with or without AROC modification), and HQDA retention of control over any future changes to the document.

(2) Recommend approval (with or without AROC modification), and HQDA retention of control over future changes to Key Performance Parameters (KPPs). The CG, TRADOC would then have authority to modify non-KPP requirements in an ORD.

(3) Recommend approval (with or without AROC modification), and delegation of future changes to the document to CG, TRADOC.

For documents requiring JROC action:

(4) Recommend approval (with or without AROC modification), and forwarding to the JROC (Potential ACAT 1 Mission Needs Statements; all Capstone Requirement Documents; and Operational Requirement Documents for ACAT I programs, all Information Technology (IT) Systems, and JROC Special Interest Items).

For all documents:

(5) Return the document to the ARSTAF for additional development.

(6) Recommend disapproval.

2. Membership.

a. The AROC will consist of the following permanent members:

- 1) Vice, Chief of Staff, Army, who will convene and chair the AROC.
- 2) Military Deputy, Office of the Assistant Secretary of the Army (Acquisition, Logistics, and Technology)
- 3) Director of Information Systems for Command, Control, Communications, and Computers
- 4) Deputy Under Secretary of the Army (Operations Research)
- 5) Deputy Chief of Staff for Intelligence
- 6) Deputy Chief of Staff for Logistics
- 7) Deputy Chief of Staff for Operations and Plans
- 8) Deputy Chief of Staff for Personnel
- 9) Deputy Chief of Staff for Programs

10) Deputy Chief of Staff for Combat Developments, U. S. Army Training and Doctrine Command

b. Advisors to the Council are as follows:

1) Assistant Deputy Chief of Staff for Operations and Plans (serves as the AROC secretary)

2) Director of the Army Staff

3) Commander, U.S. Army Test and Evaluation Command

3. Process.

a. The ODCSOPS Army Materiel Requirements and Policy Branch, DAMO-FMR, will be responsible for coordinating meetings; developing and promulgating AROC administrative procedures; promulgating AROC decisions, and supporting the VCSA in executing AROC responsibilities. DAMO-FMR will ensure instructions are provided to appropriate action offices beginning with the submission of the requirement document for review.

b. The AROC process will be conducted in an expeditious fashion. A "Paper AROC" may be used, at the discretion of the AROC Chair, to staff noncontentious issues.

c. The AROC may not review all Army requirements. Approval of selected documentation may be delegated to the DCSOPS by the CSA. Disapproval authority will remain at the CSA level.

Army Materiel Requirements Generation System

1. The Army Materiel Requirements Generation System will be an evolutionary change to the current system. It will provide for approval of Army warfighting requirements at the Chief of Staff, Army level. It will place increased emphasis on program affordability and Joint interoperability. A senior advisory council, the Army Requirements Oversight Council (AROC) will advise the CSA on materiel requirements issues.
2. All requirements documents will be processed through the ODCSOPS Requirements Office (DAMO-FMR) which will also function as the AROC and RRC Secretariat. The AROC will review selected materiel requirement documents prior to submission to the CSA for approval. Review authority for others will be delegated to the DCSOPS to facilitate timelines. The AROC will be chaired by the Vice Chief of Staff (VCSA) with key Secretariat, ARSTAF and MACOM principals as members. The CSA has the prerogative to attend AROC meetings at his discretion and based on his interest. Mission Need Statements (MNS), Capstone Requirements Documents (CRD), and Operational Requirements Documents (ORD) will be briefed to the AROC by the CG, TRADOC's designated representative, using a briefing format patterned after the current Joint Staff administrative instructions for JROC briefings. Selected documents reviewed by the AROC, will be sent to the RRC for review by the CSA and other senior Army leadership.
3. The new system will consist of four phases as defined in CJCSI 3170.01A; concept definition, documentation, validation and approval (Encl 2, Figure 1).
 - a. Concept Definition.
 - 1) The definition phase defines, analyzes, evaluates and justifies the development of a warfighting capability. The concept definition phase applies to mission needs, individual systems, unit capabilities, and systems of systems. Mission needs will be documented in MNS; individual systems may be defined in ORDs; unit capabilities may be outlined in Organizational and Operational (O&O) Concepts, and system of systems capabilities are outlined in CRDs.
 - 2) If a mission need or individual system concept is identified, a formal request will be sent to HQDA, ODCSOPS, identifying the need (for MNS) or materiel capabilities (for ORD). This request will also summarize and reference the supporting analysis behind the proposal as well as provide a description of the expected O&O concept. This request will be reviewed by the ARSTAF to ensure the proposal is affordable, compatible with modernization strategies, adds value or improvements to the battlespace and meets interoperability needs. These requests will be reviewed by ODCSOPS and, upon approval, will be returned to TRADOC to begin the next phase.
 - 3) The Commanding General, Training and Doctrine Command may develop O&O Concepts to describe unit capabilities. These O&O Concepts can be used as a guide for organizational structure and materiel development. O&O Concepts are not

requirements documents, and cannot be used as justification for a unit structure, specific system or funding. Before a Concept is approved, HQDA will staff the request to ensure the ARSTAF has a firm idea of how the unit will operate in the joint battlespace, and the capability it will provide to the Army. The ARSTAF will then review the proposal for synchronization with the Transformation Campaign Plan (TCP) and affordability.

4) If a CRD is proposed, Joint Staff/JROC approval is required. Requests to initiate CRDs will be forwarded to HQDA, ODCSOPS. These will be in the same format as the request to initiate a MNS or ORD. ODCSOPS will review the request, and upon HQDA approval, forward the request to the Joint Staff IAW CJCSI 3170.01A.

5) After approval by HQDA (the JROC for CRDs), TRADOC begins the documentation phase.

b. Documentation Phase.

1) The formal preparation and review of required and standardized documents in support of the defined mission need is the documentation phase. These documents, MNS, CRD and ORD, are normally prepared by the appropriate TRADOC School. Most documents are developed with a team, or Integrated Concept Team (ICT), approach. In these cases, the HQDA staff is included in the coordination, and sits as an ICT member. This provides for early HQDA involvement, and facilitates rapid approval by HQDA in the later steps.

2) The ICT forwards completed requirements documents through the appropriate TRADOC school to HQ, TRADOC for review. Headquarters, TRADOC reviews the document, and ensures that: (1) It describes a valid need, the requirement supports the TCP, and the capability is not available in existing programs, or by quicker, less expensive alternatives; (2) The O&O Concept is clearly defined, and synchronized with other systems, as appropriate; (3) The Key Performance Parameters (CRDs and ORDs) are clear, measurable, operationally-oriented, testable (ORDs), and achievable; (4) The requirements in the document are adequately supported by analysis or experimentation; (5) Interoperability has been appropriately addressed; and (6) The documents are administratively correct. For CRDs and ORDs, the capabilities required (KPPs or other system capabilities) and supporting rationale should reflect analytical insights on the preferred alternative(s) identified in the Analysis of Alternatives (AoA), cost-schedule-performance tradeoffs, requirements cost tradeoffs, experimentation, test and evaluation, and affordability analysis.

3) The documents are then endorsed by CG, TRADOC or a designated representative, and sent to HQDA for approval. All warfighting requirements documents must be endorsed by CG, TRADOC or a designated representative, or they will not be accepted by HQDA. CG, TRADOC may disapprove a document. In this case, the process stops, and documents are not forwarded to HQDA.

c. Validation Phase.

1) The validation phase is the formal review process of a requirements document by HQDA to confirm the identified need and operational requirement. The ARSTAF reviews the document. For requirements such as Soldier Enhancement Program (SEP) requirements, the ARSTAF performs an expedited approval process. This approval procedure will be used with other selected documentation, using a delegation of approval authority from the CSA. After any issues are resolved, the document is approved and returned to TRADOC. The Force Integration Staff Officer (FISO) located in DAMO-FMR is the primary lead for the consolidation and establishment of the HQDA position for all documents.

2) For all other requirements documentation, a more formal process is used, modeled after the existing joint process. The document enters the ARSTAF through the Requirements Validation and Prioritization Division (DAMO-FMR), is sent to requirements POCs in each major ARSTAF element, and a 21 day General Officer-level staffing period is opened. The comments are collected, reviewed, and a consolidated HQDA set of comments, identified by the FISO, is provided to HQ TRADOC. TRADOC reviews the comments and incorporates them into the document. If comments are not incorporated, they are forwarded to HQDA, with the rationale for non-acceptance.

3) The revised document is reviewed by HQDA, and a determination is made whether the document is ready for the Army Requirements Oversight Council (AROC). If major unresolved issues exist, all attempts must be made to resolve them prior to presentation to the AROC. If there are issues that are appropriate for resolution by the AROC, the FISO frames the issues for decision by the AROC, and attempts to gain consensus on "facts" surrounding the issue, to facilitate a decision in the AROC.

4) Army Requirements Documents (less the SEP and selected documents mentioned earlier) will be approved by the Chief of Staff. The AROC will provide the Chief of Staff a recommendation.

5) Noncontentious documents may be processed by "Paper AROC", where the members provide a written concurrence in lieu of a meeting.

6) The AROC will periodically review previously approved requirements to ensure that they are still valid and remain fully integrated in the TCP. In the event that a requirement is superseded or the mission it was based on no longer exists, the AROC will recommend to the CSA that the requirement be formally retired.

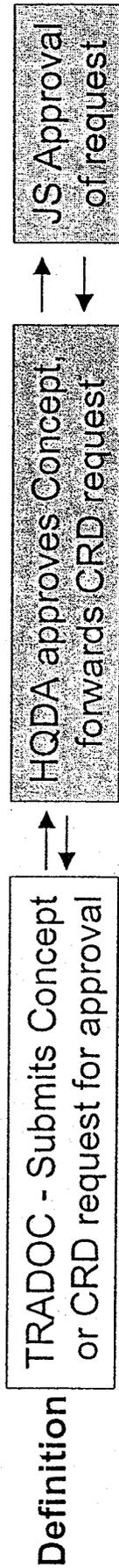
d. Approval Phase. The approval phase documents the CSA's approval or disapproval with the final validated document.

4. Process Enablers. A secure (SIPRNET) and unsecure, web-based staffing process will be used (as appropriate) to provide fast and complete staffing and coordination of products. ARSTAF and TRADOC offices will be required to have SIPRNET access for classified processing. The goal is to make this essentially a "paperless" process, until

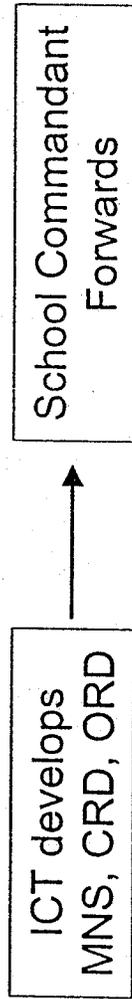
the AROC meeting. Approved documents will be archived electronically and made available to authorized users. The staffing process for the new system is shown at Encl 2, Figure 2.

Army Materiel Requirements Generation System Process Overview

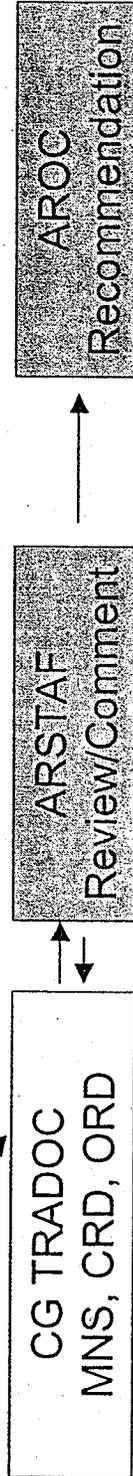
Phase



Documentation



Validation



Approval



Light, Encl 2

Additional Requirements Generation System Responsibilities

1. Army Secretariat:

- a. Military Deputy, Office of the Assistant Secretary of the Army (Acquisition, Logistics, and Technology):
 - (1) Participate in the AROC, as required.
 - (2) Provide a single staff point of contact for materiel requirements and AROC matters.
 - (3) Ensure review of materiel and other requirements issues from an acquisition (cost and schedule), supportability, technical feasibility and performance viewpoint.
- b. Director of Information Systems for Command, Control, Communications and Computers:
 - (1) Participate in the AROC, as required.
 - (2) Provide a single staff point of contact for materiel requirements and AROC matters.
 - (3) Ensure review of materiel and other requirements issues from an interoperability and C4 architecture viewpoint.
- c. Deputy Under Secretary of the Army (Operations Research):
 - (1) Participate in the AROC, as required.
 - (2) Provide a single staff point of contact for materiel requirements and AROC matters.
 - (3) Assess, in conjunction with ODCSOPS, the adequacy of supporting analyses during all phases.

2. Army Staff:

- a. Deputy Chief of Staff for Operations and Plans:
 - (1) Responsible for approval of Army warfighting requirements and policy, procedures and execution of the requirements generation process.
 - (2) Participate in the AROC, as required.
 - (3) Provide the Secretary for the AROC, serve as the Office of Primary Responsibility for AROC matters, and provide support to the CSA and VCSA on AROC matters.
 - (4) Assess, in conjunction with ODUSA(OR), the adequacy of supporting analyses during all phases. Specifically, assess the feasibility of accomplishing Key Performance Parameters (KPPs).
 - (5) Force Integration Staff Officers (FISOs) within ODCSOPS will be the lead for taking requirements documents through the AROC process as well as the lead for all documents forwarded to the RRC.

Encl 3

b. Deputy Chief of Staff for Intelligence:

- (1) Participate in the AROC, as required.
- (2) Provide a single staff point of contact for materiel requirements and AROC matters.
- (3) Ensure review of materiel and other requirements issues from a military intelligence viewpoint as well as a threat issues.

c. Deputy Chief of Staff for Logistics:

- (1) Participate in the AROC, as required.
- (2) Provide a single staff point of contact for materiel requirements and AROC matters.
- (3) Ensure review of materiel and other requirements issues from a supportability viewpoint and, in conjunction, with Army Transformation objectives, reduction of logistics footprint and tail.

d. Deputy Chief of Staff for Personnel:

- (1) Participate in the AROC, as required.
- (2) Provide a single staff point of contact for materiel requirements and AROC matters.
- (3) Ensure review of materiel and other requirements issues from a manpower and personnel viewpoint.

e. Deputy Chief of Staff for Programs

- (1) Participate in the AROC, as required.
- (2) Provide a single staff point of contact for materiel requirements and AROC matters.
- (3) Ensure review of materiel and other requirements issues from a program affordability viewpoint.

3. Deputy Chief of Staff for Combat Developments, U. S. Army Training and Doctrine Command:

- (1) Participate in the AROC, as required.
- (2) Provide a staff point of contact for AROC matters.

Guidelines for the Requirements Review Council (RRC)

1. **Purpose/Function.** The RRC functions to ensure senior Army leadership consensus on major issues affecting the current and future direction of the Army. These issues include, but are not limited to, emerging operational concepts, review of operational requirements and programs, critical equipping issues, and other force modernization issues. This forum is designed to provide open discussion among senior Army leaders on issues affecting the future and direction of the Army.

a. All major warfighting concepts designed to guide force modernization, (e.g., Brigade Combat team or higher Organizational and Operational Concepts) will be briefed to the RRC for approval. These will be reviewed by the RRC for synchronization with Army modernization strategy and affordability as well the concept itself.

b. CSA will direct which operational requirements documents will be reviewed by the RRC after recommendation from the AROC. These will be reviewed to ensure there is senior leadership consensus on the direction of significant materiel issues.

2. **Membership.** Attendance at the RRC will be strictly limited by direction of the CSA. Exceptions to the member/additional attendee list are subject to approval by the CSA and the CSA Staff Group (CSG).

a. The RRC will consist of the following permanent members:

- Chief of Staff, Army - chair
- Vice, Chief of Staff, Army
- Assistant Secretary of the Army (Acquisition, Logistics, and Technology)
- Assistant Secretary of the Army (Financial Management and Comptroller)
- Assistant Secretary of the Army (Manpower and Reserve Affairs)
- Director of Information Systems for Command, Control, Communications, and Computers
- Military Deputy, Office of the Assistant Secretary of the Army (Acquisition, Logistics, and Technology)
- Director of the Army Staff
- Deputy Chief of Staff for Programs
- Deputy Chief of Staff for Intelligence
- Deputy Chief of Staff for Logistics
- Deputy Chief of Staff for Operations and Plans
- Deputy Chief of Staff for Personnel
- Assistant Chief of Staff for Installation Management
- Chief of Engineers
- The Surgeon General
- Director, Army National Guard
- Chief, Army Reserve

Commander, U.S. Army Materiel Command
Commander, U.S. Army Training and Doctrine Command
Commander, U.S. Army Forces Command
Chief of Legislative Liaison
Chief of Public Affairs
Sergeant Major of the Army

b. Additional nonmember RRC attendees are:

General Counsel
Center for Military History Representative
CSA XO
VCSA XO
CSG Representative
ODCSOPS Dwarf
AIG
Others as directed by the CSG

c. The RRC will meet once a month unless otherwise directed by the CSA. This meeting will usually be scheduled on the fourth Wednesday of each month unless other directions are given. RRC will be scheduled for no more than two hours, 0900-1100, including discussion time.

3. Process.

a. The DCSOPS is responsible for scheduling and executing the RRC.

b. The RRC/AROC Secretariat in ODCSOPS will be responsible for coordinating meetings including scheduling and attendance; developing and promulgating RRC administrative procedures; submission of and taskings for topics; documentation of decisions, taskings and other actions from the RRC, and supporting the CSA and DCSOPS in executing RRC responsibilities. The RRC/AROC Secretariat will ensure instructions are provided to appropriate action offices on briefing requirements beginning with the approval of the RRC topics by the CSA.

c. Primary briefer for materiel requirements documents and equipping issues will be the ODCSOPS Force Integration Staff Officer (FISO). Major operational and organizational concepts will be briefed as directed by the CG, TRADOC.