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CAPABILITIES BASED PLANNING - ADVANTAGES AND CHALLENGES

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Abstract:

The objective of this paper is to present a short overview on the Capabilities Based approach to Defense Planning, to inform about the current status in shaping the legal framework for a future national defense planning process, and to present the advantages and challenges of the current approach to defense planning domain. Nevertheless, the paper will conclude with some personal findings and ideas regarding a possible approach in the implementation of the Capabilities Based framework into our national defense planning.

Key words: Capabilities Based defense planning, PPBS, challenges, advantages,

1. Context

Everything changed after that September 2001. An atypical enemy, using atypical weapons attacked USA, hitting the Twin Towers at The World Trade Center and Pentagon building. Other Americans died in the crash of UA Flight 93, the fourth plane hijacked by the terrorists. For a while, the entire world was in shock.

It was a tragedy that made everyone aware about the fact that the security of a nation is a responsibility that belongs to many more actors, not only to the Armed Forces. Governmental agencies, private sector (as appropriate), federal government, local authorities and other bodies etc. all share the responsibility to accomplish their tasks in order to avoid that such events will happen again.

The new approach was to design and develop a form of all-hazards planning, as an alternative to the traditional threat-based planning process. It has to address the growing uncertainty in the threat environment, using a wide range of possible scenarios to bound requirements and, thereby, reduce the tendency to fixate on any one threat, hazard, or set of conditions. It was intended to provide for transparency, coherence and a more rational basis for making decisions on future acquisitions. The planning process had to become more responsive to uncertainty, economic constraints and risk. The start was to ask questions regarding *what do we need to do* rather than *what equipment are we replacing*.

[1]

From the military perspective, the Secretary of Defense, Donald Rumsfeld, established the Capabilities Based approach as a new management framework, seeing it as a way to manage strategic risks in a highly uncertain world. As it was stated in the Defense

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Strategy Quadrennial Defense Review Report - 2001 *“The new defense strategy is built around the concept of shifting to a “capabilities-based” approach to defense. That concept reflects the fact that the United States cannot know with confidence what nation, combination of nations, or non-state actor will pose threats to vital U.S. interests or those of U.S. allies and friends decades from now. It is possible, however, to anticipate the capabilities that an adversary might employ to coerce its neighbors, deter the United States from acting in defense of its allies and friends, or directly attack the United States or its deployed forces. A capabilities-based model - one that focuses more on how an adversary might fight than who the adversary might be and where a war might occur - broadens the strategic perspective. [2]”*

2. The trend(s) in the defense planning domain.

The main goal of a Defense Planning process is to ensure that a defense system has all the necessary means and capabilities to accomplish its tasks throughout the full spectrum of possible missions. It is a slightly ambiguous term because it encompasses various participants, process and functions, as well as a different time horizon.

In a narrow sense, the Defense Planning process is associated with the creation and maintenance of military capabilities. It supports preparations for war and involves the necessary planning to recruit, organize, train, equip and provide military forces [3].

Over time, there were different approaches to defense planning. Back in 2003, NATO Research and Technology Organization published a handbook [4], with the aims to enhance the Long Term Defense Planning process across the Alliance and within the Partnership for Peace nations, and to create the framework to facilitate a common understanding of this process. In accordance with this document, there are different angles that we can look from to the long term defense planning process and, based on these angles, we can identify different approaches. Those five that I appreciated that could have a relevance for the topic of my academic paper, are described in the following: [5]

a. Top-down planning. This is a “strategy to tasks” approach to planning. The process begins with the specification of top-level policy, interests and objectives. Strategies are developed that support overall policy and objectives. This approach is then cascaded down through lower levels;

b. Resource-constrained planning. The objective of this planning approach is to provide a viable capability that is sustainable within the provided budget. No effort is made to investigate force structure options that are more expensive, regardless of the potential performance.

c. Incremental planning. Existing capabilities form the foundation of new capabilities. Initiated changes attempt to evolve these capabilities with well-known improvements.

d. Capability-based planning. This method involves a functional analysis of expected future operations. The future operations themselves do not enter the performance evaluations. The outcome of such planning is not concrete weapons systems and manning levels, but a description of the tasks force structure units should be able to perform expressed in capability terms. Once the capability inventory is defined, the most cost-effective and efficient physical force unit options to implement these capabilities are derived.

e. Scenario-based planning. This approach utilizes a representative set of situations for the employment of forces. The situations are specified in terms of environmental and operational parameters and form the test bed for assessing capability or system requirements against formulated mission objectives.

f. Threat-based planning. The threat-based approach involves identifying potential

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adversaries and evaluating their capabilities. Capability or system requirements are based on the criterion of outperforming the opposition. Quantitative and qualitative solutions are explored. This was the common planning approach during the Cold War.

It was not my intention to describe all the approaches presented in the handbook. Over time some of them became more relevant than the others. The Alliance's current defense planning process [6] is the results of this evolution and it could be very much seen as a mix of the aforementioned approaches.

The Capabilities Based planning and output-oriented defense budgeting are two main trends in contemporary defense planning. The nature of modern conflict and uncertainties in the security environment have caused a shift from the threat-based to the capability-based planning not only in the Euro-Atlantic defense community, but in other countries, like Australia [7], as well. Furthermore, the need for more efficiency in spending the public resources has initiated a change of principle in the defense budget construction. Instead of the input-oriented approach, the output-oriented defense budget is applied.

Although these two approaches of defense planning (threat-based & capabilities based) were generally agreed and discussed in various fora as being opposites to each other, there are voices that claims that they are not so much differentiated. *“Capabilities-based planning is often contrasted in discussion and articles with “threat-based planning,” which is confusing because capabilities-based planning is also very much concerned about threats. No one seriously proposes that the Department of Defense should spend nearly \$400 billion per year for general insurance against the abstract possibility that some threat might conceivably arise somewhere, sometime - especially when threats currently exist and other potential challenges can be seen on the horizon. It follows that the correct contrast is not with “threat-based planning” as that phrase is interpreted literally, but rather with dependence on a specific bounding threat as represented by one or a very few point scenarios.”* [8]

3. Defense Planning, Capability, Capabilities Based Planning. Definitions

In order to understand the current status and to work with the right terminology, I consider being useful a short overview on the current national definitions on the above mentioned terms.

The national law that currently defines the defense planning is the Law 473/2004, which somehow became obsolete. In accordance with the art. 1 of this law, *Defense planning (...) represents the total number of activities and measures developed to promote the national interests, and to define and fulfill the Romania's national security objectives in the defense domain*". The same law, within the art. 2, identifies only the six planning domain, namely: forces, armaments, resources, logistics, C3 (command, control and communications), and civil emergencies.

As we already said, the law is quite obsolete, and in order to fully adapt the national defense planning process to the new NATO Defense Planning Process (NDPP) it was mandatory to be revised.

A draft of a new law was prepared by the Ministry of Defense in 2010 that incorporated pretty much all the necessary updates in the defense planning domain. Unfortunately, due the bureaucracy and the very slow revision process of the document, the draft left the Prime-Minister Office only in October 2014, and was sent to continue the revision process. The good news with this new draft is that the document is in line with the NDPP model. It is the merit of this high level document that the term “Capability” is defined, and the chosen definition is pretty much the same with what the other countries understands when it comes to the Capabilities Based Planning approach. Nevertheless, the

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definition of the term “Defense Planning” was revised, so this will encompass better and brings more clarity in this area. In accordance with art. 1, para 2 of this draft, Defense Planning is “...a process (...) that consists of programs, actions and measures (...) to identify, develop and train all the necessary military and non-military capabilities to fulfill the missions and objectives in the military domain (...)”. Taking a look at this definition, we can see a different approach to defense planning (*process*), and the key words here are *military and non-military capabilities*.

Moreover, art. 1, para 3, establishes that “*In order to accomplish its missions, objectives and its commitments, Romania develops and maintain a single set of forces and capabilities, which determine a single and integrated defense planning mechanism.*”

Another important step done by the Ministry of National Defense promoting this draft, was the definition of the term “Capability” described in art. 10, para 2 as “*The ability to execute actions in order to accomplish certain objectives*”. The very next paragraph of this law also describes the key domain that has to be taken into account in developing a capability, namely Doctrine, Organization, Training, Materiel, Leadership, Personnel, Facilities and Interoperability (DOTMLPFI), which is the same approach as the one described in ACT 80-7 Directive. As a matter of comparison, we can find another definition of a Capability within Defense Capability Development Handbook 2014 elaborated under the authority of Australian Government, Department of Defense. [9].

In addition to these aspects, the number of the planning domains has been increased from six to 12, namely: forces; armaments; C3; logistics; civil emergencies; resources; air defense; air traffic management; intelligence; medical; Research & Development; standardization.

Last, but not least, with a great influence on the future Capabilities Based Planning framework Romania is going to define and implement, the planning timeframe for one of the most important departmental document, (namely Defense Planning Guidance) was increased from 6 years to 10 years, a request asked for by the planners from the Ministry of National Defense and General Staff for a long time.

This short considerations on the current draft of the future defense planning law have had the goal to inform about the actions taken at the higher echelons in order to provide the general framework for the defense planning process, to improve it and adapt it to the highest extent [10] to NDPP process. This is very much in line with the Declaration on Reform and Transformation (p. 33) within NATO Strategic Concept, adopted by Heads of State and Government at the NATO Summit in Lisbon 19-20 November 2010: “*We will (...) ensure the maximum coherence in defense planning, to reduce unnecessary duplication, and to focus our capability development on modern requirements*”.

As far as the definition of the Capabilities Based Planning, it seems that the most clear and comprehensive was provided by the Paul K. Davis, in the monograph [11] he prepared for the Office of the Secretary of Defense in 2002, as he was working at RAND National Defense Research Institute, USA. According with this definition, the “*capabilities-based planning means planning under uncertainty, to provide capabilities suitable for a wide range of modern-day challenges and circumstances while working within an economic framework that necessitates choice*”. The key words here are *uncertainty, capabilities, modern-day challenges, and economic framework that necessitates choice*. The definition, at the time it was published, was a result of a long time work, nearly a decade, as the author himself recognized [12]. Since then, it was used on a large scale, and cited in various fora and studies. In the present, after more than 10 years, we can acknowledge that the definition has all the characteristics of the current environment, and it is still valid.

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4. Planning, Programming, Budgeting and Execution/Evaluation System (PPBES) and Capabilities Based Planning (CBP)

4.1. PPBES

The history of the **PPBS** is a very well-known story. It originated in the early '60, during Robert McNamara's tenure as a Secretary of Defense, in which position he came from the civilian corporate domain. Taking the Office, McNamara was looking for a more active role in managing the department. *"Secretary McNamara wanted to achieve the following two key strategic management challenges: (1) to integrate and balance foreign policy, military strategy, force requirements, and the defense budget and (2) to approach all defense programs in a rational and analytical way and base resolutions on national interest"* [13].

The main drawback of the system in place was the lack of management and control tools of the Defense planning process at the DOD level, with no real independent and integrated staff support. The priorities of each Service were in the front line, their leaders were fighting to get more resources for what they were thinking is the most important, and, as a result, the jointness approach to the missions was affected.

McNamara's solution to tackle these limitations was to implement two important and interrelated actions. First he directed a systematic analysis of all DoD requirements and incorporated these requirements into a five-year, program-oriented defense budget. Then, he directed actions which resulted in formation of a rational resource allocation system that was later called the Planning, Programming and Budgeting System (PPBS) [14].

It was very important to design and implement a system to *"...link, integrate, and provide a bridge between planning and budgeting, so that planning would be fiscally informed and annual budgets."* [15]"

Nevertheless, the new system had to be based on a solid foundation (principles) that had to facilitate the implementation of the aforementioned goal, and to support the management at the highest level within Department of Defense. These six principles are at the core of the system and they were once more clear defined during a conference [16] organized by Center for Naval Analyses, on the PPBS, as follows:

- ✓ decision-making process should be based on the national interest (criteria), and not on Service programs;
- ✓ the needs and the costs have to be considerate simultaneously; decisions concerning forces and budgets cannot be made separately;
- ✓ in decision-making process real alternatives should be evaluated (to include costs, forces, and strategies together);
- ✓ the need to actively use analytical independent staff/experts at the top policy making levels;
- ✓ the need to establish a multiyear force and financial plan, on the basis of the outcome from the aforementioned analytical independent staff;
- ✓ the use of open and explicit analysis, together with all the parties involved in the process.

Over time, PPBS suffered various modifications and adjustments (to include the "E" in the acronym PPBS, in 2003, from the additional Executive phase) and its evolution can be traced by the actions taken by various administrations in order to tackle the challenges they encountered and the solutions identified to their current issues within the defense domain [17].

There were other evolutionary enhancements of the system: to place more emphasis on planning, gain more input from the Combatant Commanders and focus on capabilities.

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The PPBES's place within the bigger picture, which is the US Department of Defense acquisition system, so called "the backbone for developing military capability", could be seen in the Fig. 1.

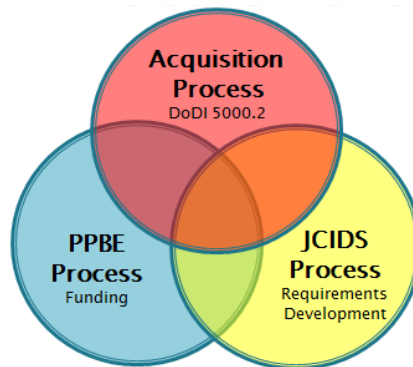


Fig. 1 US. Department of Defense Acquisition System

Each of these processes plays a critical role in the development and procurement of DoD military capability and forms the overall acquisition system. As can be seen, there are three interrelated processes, namely:

- a) The Acquisition Process, that manages the development and procurement of DoD weapons systems;
- b) The Joint Capabilities Integration Development System (JCIDS) with the primary purpose to assess and resolve gaps in military joint warfighting capabilities and control the requirements generation process; and
- c) The PPBE Process: The Planning, Program, Budget and Execution (PPBE) Process that is used for strategic planning, program development, and resources determination for current and future warfighter programs. Basically, as we've said before, this system links the plans, with the programs that satisfy the warfighters needs, and the resources to realize these plans. [18]

The PPBES model that is applied by USA DOD is shown in Fig.2.

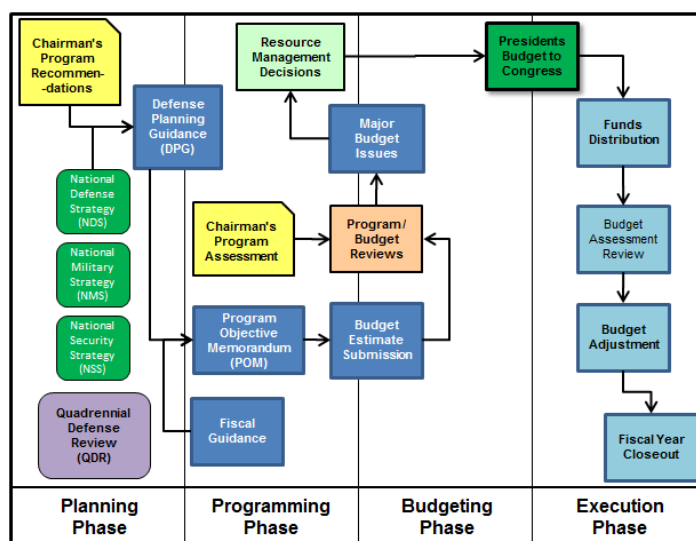


Fig. 2 PPBES within US Department of Defense

The system was "exported" to the other countries, as well, in an attempt to make their defense planning process easier, interoperable, and to assist them, especially the

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Eastern countries, in their aspirations to become NATO members. Romania was one of the first countries that took benefit of the US and UK experts in the defense planning domain. After some “adjustments” regarding the responsibilities and authority at the Ministry of National Defense and General Staff level [19], the system became operational starting with 2002. Since then, under the civilian control of the Defense Integrated Planning Directorate (DIPD), it is the tool that integrates all the activities related with the defense planning domain at the Ministry of National Defense level.

Still, there is a difference in the approach of PPBS in Romania and the US regarding the Evaluation phase. In Romania, the Evaluation phase means only evaluation, meaning the program performance evaluation and the budget execution (how the money was spent) evaluation. In this case, Budgeting means developing the budget, approval of the budget, apportioning the money and spending them - so the budget execution is part of the budgeting phase. In the US, the Execution phase is a combination of the budget execution and evaluation, meaning that Execution comprises the execution (implementation) of the programs (until now they were only on paper), apportioning the money, execution of the budget (spending the money) and of course the review (evaluation) of the program execution and budget execution. [20]

The current Romanian PPBES is shown in the Fig. 3 [21], below.

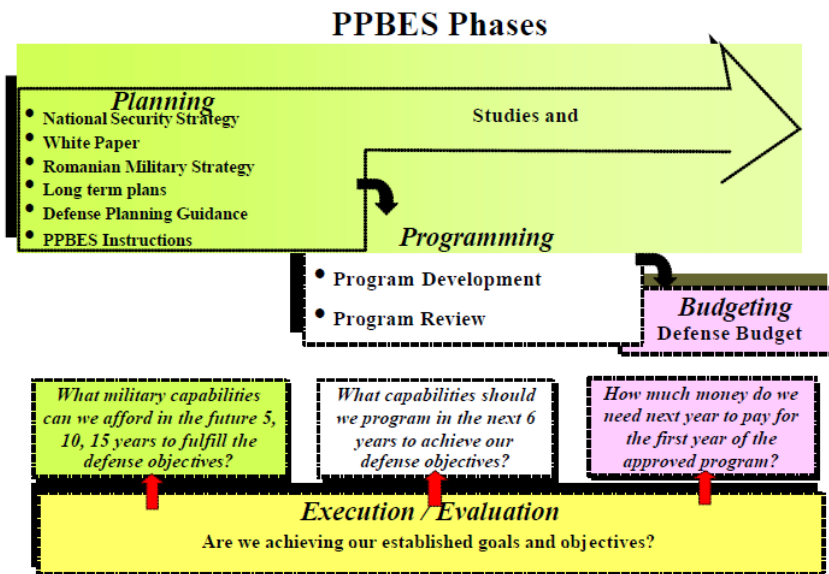


Fig. 3 - PPBES within MoND of Romania

4.2. Advantages and Disadvantages of PPBES

Like any other management tool, PPBES has both advantages and challenges. These were generated not only by the system itself, but by the environment (economic, military, political and social) in which the modern military functions, as well. This new environment generates the need for a flexible, modern and adaptable resource management system. The PPBES can provide this framework, on the condition that we recognize and eliminate its shortcomings and capitalize on its advantages. The pros and cons that are presented below, are based on the strengths and weaknesses identified by the planners that have used PPBES worldwide [22].

a. Advantages

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- PPBES provides a link between goals - resources - money allocations in form of budgets - performance evaluation. The goals set by the high level decision makers (in the case of the military, through the National Security Strategy, National Defense Strategy, the Defense Planning Guidance) in the Planning phase are linked to the resources needed (...) to achieve these goals in the Programming phase. The medium year programs outlined in Programming are then translated into one-year program budgets or line item budgets, which provide the framework for the implementation of the above mentioned programs and their associated objectives[23];

- for those who know the way it functions, PPBES provides the most needed feedback for the system, both in terms of program performance and in terms of financial performance. The need to evaluate the resource management is not a new idea, but the benefit of PPBS is that it encourages the correlation of the financial reports with the performance reports, for a better identification of the causes of the issues identified;[24]

- the system provides for a procedure that equitably (try to) distribute the available resources among competing programs;

- PPBES was designed for and try to assure a financial rigor and integrity, at the same time with some answers to the question "How much is enough?"[25]

- the implementation of PPBES was another way of consolidating the civilian control over the resources allowing, also, the military participation to the management of power;

- It is a good tool for the Ministry of Defense to manage the long live capital assets, to include weapons systems, especially because it requires medium and long term planning

b. Disadvantages

- difficult to execute defense programs (medium term) while the state budget is an annual budget (the case of Romania, but not only its case). Nevertheless, with PPBES implemented at the Ministry of National Defense level only, sometimes it is quite difficult to be on the same page with the Ministry of Public Finances. While their focus is on a detailed outline of the inputs and the strict control of expenditures, PPBES deals with the achievement of the objectives for which the resources are planned, programmed and spent;

- the constraints that comes from the provisions of the public finance law, which further restricts the 1 year time horizon of the budget to quarterly financial allocations, with the possibility to reallocate the funds from one quarter to another only within very specific framework. These regulations ensure a better financial control, but at the same time, generate additional challenges in the achievement of the objectives, as it is very difficult to plan for the future in such detail and to anticipate all the possible events. Moreover, the existence of the long-term budgetary problems that, generally speaking, every country faces nowadays;

- PPBES is, still, a complex product, a labor intensive system, and involves not only a huge amount of workload, but a lot of paperwork, as well; this is very well acknowledged by all those experts involved in the process, in all the countries where the system operates;

- nevertheless, the system is seen as too slow some time, too complicated to be understood, not responsive to the pace of new ideas and technology; over the years, a lot of criticism came from this point of view, especially the experts in the US. It was said that PPBES obstructs organizational and manager's creativity and improvisations because of the strict rules that have to be followed;

- PPBES does not offer a rapid acquisition mechanism to insert rapidly new capabilities needed for the forces engaged in a war. This kind of criticism came even from Secretary of Defense, Donald Rumsfeld that once said "*...the time it take to produce or purchase a new weapons system has doubled, even as new technologies are arriving in years and months, not decades.*"[26]. This could be a major disadvantage and a threat to PPBES - it was designed for predictable peace time, not for war;

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- often, because of its strict rules and rigorous process, the system is considered to be inflexible, unable to accommodate, in short time, with urgent requirements;
- in order to produce the expected outcomes, PPBES should be understood and heavily supported by the leaders and decision-making persons. Without their support and guidance, the results will be affected.

c. Some thoughts for a better use of PPBES

- adapting PPBES processes to the specific needs of the organization, and reviewing it regularly for fine adjustments;
- ensure that the organization has the right number of personnel and good analysts who understand PPBES and know how to operate it;
- ensuring a high level of support and guidance, leadership and commitment from the senior officials involved in decision-making based on the PPBES results;
- providing an opportunity to educate participants in PPBES in order that all those involved in it can share a common understanding of the processes.

4.3. Capabilities Based Planning

According to the definition presented in Chapter 3, the Capabilities Based Planning has to deal with “*uncertainty, capabilities, modern-day challenges, and economic framework that necessitates choice*”.

A capability includes four major components: force structure (in terms of numbers, size and composition of the units); modernization (that refers at the technological level of the forces and weapon systems); unit readiness (the ability of the units to deliver the outputs for which it was designed); and sustainability (the ability to maintain the necessary level and duration of operational activity to achieve military objectives). [27]

As a relatively new approach to defense planning, in my opinion, Capabilities Based Planning has to be implemented for a number of reasons (explained in the following paragraphs).

a) NATO approach

As a NATO member, Romania agreed the design of the new NDPP which became the Alliance’s framework for developing the needed capabilities to tackle the threats of the current and future environment. Within the new framework, each member country, with NATO included as a 29th entity, got the task to acquire so-called Capability Targets (CT), as opposite to the former Force Goals. The new Capabilities Based Cycle is shown below, in the Fig. 4.



Fig. 4 The NATO Defense Planning Process (NDPP)

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The current cycle ended in 2013, with Capabilities Targets 2013 assigned to each and every country that form the Alliance. As we already know, these CT are the results of a quite complex and long process, top-down approached, with its first step being Political Guidance. This include NATO's Level of Ambition, which is already approved by each NATO member. These member states, within this complex and yet, transparent planning process, commit themselves to contribute to collective defense in accordance with the following underlying principles:

- political solidarity among member countries;
- the promotion of collaboration and strong ties between them in all fields where this serves their common and individual interests;
- the sharing of roles and responsibilities and recognition of mutual commitments;
- a joint undertaking to maintain adequate military forces to support Alliance strategy and policy.

b) Other approaches

After the 9-11, United States initiated a thoroughly process to analyze, shape and define a new framework to assure the security of the Nation in the new environment defined by uncertainty and hybrid threats. A Universal Task List [28] was developed out of which Federal, State, and local authorities select the tasks that apply to them. As an example of the implementation of the Capabilities Based Planning within the Commands, Services, and other agencies that falls under the Chief of Joint Staff authority, a Universal Joint Task Manual [29] was developed to "... serve as a foundation for capabilities-based planning across the range of military operations. A UJT is an action assigned to provide a capability. The UJTL supports the DOD in joint capabilities-based planning, joint force development, readiness reporting, experimentation, joint training and education, and lessons learned." [30].

The Technical Cooperation Program (TTCP) [31] was one of the international cooperation program, among other individual countries and independent research institutions, which was deeply involved in framing this new approach to defense planning. It is the merit of TTCP experts to design a generic process chart of Capabilities Based Planning, which is described below, in Fig. 5

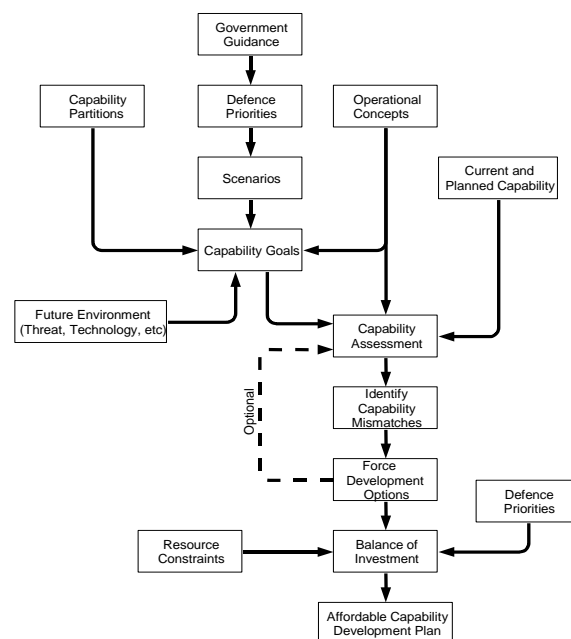


Fig. 5 Generic Process Chart of Capability-Based Planning

Source: The Technical Cooperation Program - Guide to Capabilities Based Planning, p.4

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Canada and Australia, two of the five member countries of the aforementioned Technical Cooperation Program (TTCP), are also in developing strong frameworks for the implementation of the Capabilities Based Process that is used as an accompanying tools in Transformation of their Forces.

According to the Guide to Capabilities Based Planning, *“Due to differences in organizational, planning and legislative processes, each nation is implementing its own variant of CBP. While there are strong similarities between these variants, there are also significant differences. Because of this, the Joint Concepts and Analysis Panel of the Joint Systems and Analysis Group in TTCP decided to develop a guide to capability-based planning that would describe the core concept behind Capability-Based Planning. The aim of the guide is to provide a common understanding of CBP and establish some principles for its use.”* [32]

Useful information regarding their approaches and the status of their accomplishments could be find in *Master of Defense Studies Research Project, Evolutionary Acquisition - A Complementary Approach to Capability Based Planning for the Delivering of Aerospace Power* [33], and *Defence Capability Development Handbook, 2014* [34]

5. Personal Findings and Ideas for a national approach

Taking into consideration the advantages of the Capabilities Based Planning, and the requirement of an increased interoperability within the Alliance, the current Romanian proposal of the new defense planning law could be seen as the first step in the long process of building a strong foundation for an integrated approach to the national security.

Regarding the responsibilities of the Romania’s Ministry of National Defense, in my personal opinion, the future defense planning framework will have to start from these general ideas:

- the foundation of the national Capabilities Based Planning framework should be the strategic documents described by the Defense Planning Law;

- as a NATO member, Romania will continue to deliver the Capability Targets Package that will come out of the NATO Defense Planning Process;

- although these Capabilities Targets could be used as multirole (national, NATO, EU), they cannot address all the threats to our country in the current environment. Anyway, the development of defense capabilities is first and foremost a national responsibility. To identify the entire spectrum of needed capabilities, a comprehensive Strategic Defense Review is required; this process should take into consideration the new geo-strategic realities, the new threats like cyber defense, the responsibilities in national security area that belongs to various entities and bodies, and so on;

- the integration of all the specific activities should be performed at a higher level (governmental), in a of Comprehensive Approach, to include financial aspects at national level (some of these aspects, were identified as drawbacks in the current PPBES, as well);

- the success of a Capabilities Based Planning cannot be achieved without an integrated approach at the national level. The Ministry of National Defense could be in the lead, as it was for the PPBES. The success of the PPBES implementation (PPBES will continue to be the general framework for the capabilities development), national NDPP experience, international experience within NATO defense planning structures and so on, could be very good reasons for assuming this position;

- in a narrow perspective, Ministry of National Defense should prepare and implement various mechanism to develop, compare, evaluate and prioritize capabilities, synchronize the national process with the NDPP and its adjustments, define and implement

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a mechanism to institutionalize Capability Based Planning process within its domain (to include aspects of R&D, Concept Development and Experimentation, Simulation, Lessons Learned etc.;

- a complete evaluation of the current status in the capabilities development domain, the implications and challenges for a future implementation should be performed by a civilian entity/organization, composed by experts, analysts, researchers, former military senior officials etc. Based on the international experience in the Capabilities Based Planning area, on the national implications, findings and specific conditions, threats evaluations, political guidance, the new evolutions within the NDPP (Smart Defense), economical constraints and risks etc., a national study can be drafted and presented to our national decision makers. This could be the foundation of a specific national Capabilities Based Planning model;

- based on this general framework, at the departmental level, detailed documents will be developed by each authority with responsibilities in the national security to include, defense acquisition management and life cycle management, financial regulations, national defense industry, research and development, non-military capabilities etc.

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- [5] RTO-TR-069 AC/323(SAS-025)TP/41, *Handbook on Long Term Defense Planning*, p. 3-4
- [6] *The "Outline Model for a NATO Defense Planning Process"*, 02 April 2009
- [7] Australia, together with New Zealand, USA, Canada and United Kingdom, has cooperated intensively in the defense area, mostly in the format of The Technical Cooperation Program (TTCP) - a forum for defense science and technology collaboration that was established in 1957 (UK, Canada, and USA). Australia and New Zealand joined the program in 1965 and, respectively, 1969
- [8] Paul K. Davis, *Analytic Architecture for Capabilities-Based Planning, Mission-System Analysis, and Transformation*, (monograph), RAND National Defense Research Institute, 2002, p. 8
- [9] Australian Government, Department of Defense, *Defense Capability Development Handbook, 2014*, p. 2
- [10] After the Ukraine's crisis that had an impact on NATO-Russia cooperation, it is expected that NDPP will be affected, and NATO members defense planning processes, as well. As a consequence, the future national defense planning framework should be designed with the ability to quickly adapt to this kind of inputs.
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[26] D.H. Rumsfeld, *Taking exception: Defense for 21st Century*, The Washington Post, May 2003

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“Carol I” Publishing House, 2010, p. 68

[28] <http://en.wikipedia.org/wiki/UniversalJointTaskList> - Universal Joint Task List, more commonly known as UJTL, is a comprehensive list of possible military tasks at the strategic, operational and (joint) tactical level of war. The UJTL was developed for the U.S. Armed Forces but it has been used by several other countries and international military organizations such as NATO, sometimes in adapted form and under different names, but usually including the term "task list". The UJTL is meant to be a tool in operational planning and similar forms of military planning. It gives a menu of capabilities (mission-derived tasks with associated conditions and standards, i.e., the tools) that a joint force commander may select to accomplish the assigned mission. Once identified as essential to mission accomplishment, the tasks are reflected within the command joint mission essential task list.

[29] CJCSM 3500.04F, 1 June 2011 - Universal Joint Task Manual

[30] CJCSM 3500.04F, 1 June 2011 – Universal Joint Task Manual, Enclosure A, p. A-1

[31] The Technical Cooperation Program Joint Systems and Analysis Group Technical Panel 3 - *Guide to Capability-Based Planning*

[32] The Technical Cooperation Program - *Guide to Capabilities Based Planning*, p.1

[33] LCol C.R.J. Desgagné, *Evolutionary Acquisition - A Complementary Approach to Capability Based Planning for the Delivering of Aerospace Power, Master of Defense Studies Research Project, 24 April 2009, p. 64-75*

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