Australian Government

Department of Defence

THE STRATEGY FRAMEWORK
2010

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Feedback on the The Strategy Framework 2010 is welcome. Users are invited to make comment, including proposals for amendment to the content of the handbook. People wishing to comment are requested to direct their comments to:

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FOREWORD

The Defence White Paper 2009, *Defending Australia in the Asia Pacific Century: Force 2030*, announced the Government objective of ensuring that Defence is a strategy-led organisation. The Strategic Reform Program is the Defence-wide effort to create the structure and processes to enable Defence to meet this objective effectively and efficiently. These two major linked changes in Defence require a revised Strategy Framework that ensures that key Defence strategic planning documents serve these objectives in their design and development. *The Strategy Framework* replaces the *Strategy Planning Framework Handbook* 2006.

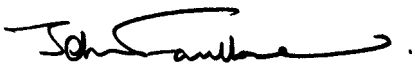
The Strategy Framework seeks to synchronise the formulation of strategic guidance, strategic planning for operations, international engagement, preparedness management and capability development. It aims to guide planners to create strategic-level documents that are congruent, coherent, and comprehensive. Planning staffs must collaborate across Defence to develop these documents.

This handbook is a companion volume to the *Defence Capability Development Handbook*, which covers the capability development process in detail. *The Strategy Framework* is written with three audiences in mind:

- Senior Defence decision-makers who need to understand the context of the decisions they make. *The Strategy Framework* provides a guide to the set of documents that comprise Defence's strategic planning, including the relationships between these documents.
- Staff within Defence who use or prepare documents within the Strategy Framework. The handbook provides staff with an overview of how their work relates to the work undertaken by other strategic planners. It also provides a guide to the consultation and clearance required to produce each document.
- Interested parties within and external to Defence who wish to understand how Defence capabilities and activities align with Government direction and strategic guidance.

This edition includes restructuring of the Strategy Framework to reflect changes in process, language and structure resulting from the Mortimer and Pappas Reviews, the White Paper, the Strategic Reform Program (SRP) and associated initiatives. New material has been included on budget planning and strategy planning by the Services to show how these areas link to other aspects of the Strategy Framework.

Some documents in the Strategy Framework are mature, but others are still under development or remain at the conceptual stage. As a result, *The Strategy Framework* describes less-developed documents in aspirational terms and the description of their form and role is likely to evolve as the SRP process matures, and will appear in future editions of this handbook.



John Faulkner
Minister for Defence

TABLE OF CONTENTS:

Foreword i

List of Figures iv

List of Abbreviations v

CHAPTER 1:
INTRODUCTION 1

CHAPTER 2:
GOVERNMENT DIRECTION 8

CHAPTER 3:
STRATEGIC GUIDANCE 16

CHAPTER 4:
STRATEGIC PLANNING FOR OPERATIONS 25

CHAPTER 5:
INTERNATIONAL ENGAGEMENT 28

CHAPTER 6:
PREPAREDNESS 31

CHAPTER 7:
CAPABILITY 36

CHAPTER 8:
BUDGET PLANNING 43

CHAPTER 9:
STRATEGIC PLANNING IN THE SERVICES 48

CHAPTER 10:
SYNCHRONISING THE STRATEGY FRAMEWORK 54

Annex A to The Strategy Framework 2010
STRATEGY PLANNING FRAMEWORK PRODUCT DESCRIPTIONS 58

Annex B to The Strategy Framework 2010
SERVICE-LEVEL STRATEGY DOCUMENTS 71

LIST OF FIGURES

Figure 1: The Strategy Framework 2
Figure 2: Major Elements of Defence involved in the Strategy Framework 3
Figure 3: Components of the Strategy Framework 6
Figure 4: Cabinet and its committees 10
Figure 5: National Security Coordination 13
Figure 6: Government Direction 15
Figure 7: Strategy Documents 18
Figure 8: Five-Year White Paper Cycle 20
Figure 9: Strategic Planning for Operations 25
Figure 10: CDF Planning Directive Format 27
Figure 11: Defence International Engagement 29
Figure 12: Preparedness 32
Figure 13: The Preparedness Management System 33
Figure 14: Phases of the Capability Systems Life Cycle 37
Figure 15: Capability Needs Phase Components and Responsibilities 39
Figure 16: Capability Documents 41
Figure 17: Simplified Defence Business Model 44
Figure 18: Synchronising Strategy Framework Products 56

LIST OF ABBREVIATIONS

Adaptive Campaigning-Future Land Operating Concept	(AC-FLOC)
Air Force International Engagement Strategy	(AFIES)
Air Force Strategic Management System	(AFSMS)
Air Force Headquarters	(AFHQ)
American, British, Canadian and Australian Armies Program	(ABCA)
Approved Future Force (Army)	(AFF)
Army-After-Next	(AAN)
Army Continuous Modernisation Process	(ACMP)
Army Experimentation Framework	(AEF)
Army-in-Being	(AIB)
Army International Engagement Plan	(AIEP)
Army Objective Force	(AOF)
Assessment of Future Risk to Capability	(AFRTC)
Attorney-General's Department	(AGD)
Australian Agency for International Development	(AusAID)
Australian Capability Context Scenarios	(ACCS)
Australian Crime Commission	(ACC)
Australian Customs and Border Protection Service	(ACBPS)
Australian Defence Force	(ADF)
Australian Federal Police	(AFP)
Australian Intelligence Community	(AIC)
Australian Operational Concept	(AOC)
Australian Secret Intelligence Service	(ASIS)
Australian Security Intelligence Organisation	(ASIO)
ADF Activity Management System	(ADFAMS)
Australian Joint Essential Tasks	(ASJETS)
Border Protection Committee of Cabinet	(BPC)
Border Protection Task Force	(BPTF)
Capability Managers	(CM)
CDF's Preparedness Directive	(CPD)
Chief of Air Force	(CAF)

Chief of Army	(CA)
Chief of Army's Preparedness Directive	(CAPD)
Chief of Army's Strategic Guidance for Land Forces	(CASG)
Chief of Capability Development Group	(CCDG)
Chief of Defence Force	(CDF)
Chief Defence Scientist	(CDS)
Chief Executive Officer, Defence Materiel Organisation	(CEO DMO)
Chief Finance Officer	(CFO)
Chief Information Officer	(CIO)
Chief of Joint Operations	(CJOPS)
Chief of Navy	(CN)
Commander Joint Logistics	(CJLOG)
Commander Joint Operations	(CJOPS)
Concept Development and Experimentation	(CD&E)
Coordination and Public Affairs	(CPA)
Customer Service Agreement	(CSA)
Defence Capability and Investment Committee	(DCIC)
Defence Capability Development Handbook	(DCDH)
Defence Capability Plan	(DCP)
Defence Capability Plan – Public Version	(DCP-PV)
Defence Capability Update	(DCU)
Defence Committee	(DC)
Defence Information and Communications Technology Strategy	(Defence ICT Strategy)
Defence Intelligence Organisation	(DIO)
Defence International Engagement Group	(DIEG)
Defence International Engagement Plan	(DIEP)
Defence Materiel Organisation	(DMO)
Defence Planning Guidance	(DPG)
Defence Preparedness Assessment	(DPAS)
Defence Science and Technology Organisation	(DSTO)
Defence Strategic Workforce Plan	(DSWP)
Department of the Prime Minster and Cabinet	(PM&C)
Department of Foreign Affairs and Trade	(DFAT)
Department of Finance and Deregulation	(Finance)

Department of Immigration and Citizenship	(DIAC)
Department of Infrastructure, Transport, Regional Development and Local Government	(DITRDLG)
Deputy Secretary Defence Support	(DEPSEC DS)
Deputy Secretary Intelligence and Security	(DEPSEC I&S)
Deputy Secretary People Strategies and Policy	(DEPSEC PSP)
Deputy Secretary Strategy	(DEPSEC S)
Deputy Secretary Strategic Reform and Governance	(DEPSEC SRG)
DSTO's Experimentation Initiative	(DEI)
Expenditure Review Committee	(ERC)
Financial Year	(FY)
First Assistant Secretary	(FAS)
Force Element	(FE)
Force Options Testing	(FOT)
Force Structure Development Directorate	(FSDD)
Force Structure Review	(FSR)
Foundations of Australian Military Doctrine	(ADDP-D)
Fundamental Input to Capability	(FIC)
Fundamentals of Land Warfare	(LWD 1)
Future Air and Space Operating Concept	(FASOC)
Future Joint Operating Concept	(FJOC)
Future Land Operating Concept	(FLOC)
Future Maritime Operating Concept	(FMOC)
Head Joint Capability Coordination	(HJCC)
Head Personnel Capability	(HPC)
Headquarters Joint Operations Command	(HQJOC)
Homeland and Border Security Policy Coordination Group	(HPCG)
Information and Communications Technology	(ICT)
Intelligence, Surveillance and Reconnaissance	(ISR)
Inter Departmental Committees	(IDC)
Inter Departmental Emergency Task Force	(IDETF)
Inter Departmental Working Groups	(IDWG)
Joint Decision Support Centre	(JDSC)
Joint Operations Command Operational	

Preparedness Requirement	(JOCOPR)
Major Capital Facilities	(MCF)
Material Sustainment Agreement	(MSA)
Maritime Capability Enablers	(MCE)
Maritime Experimentation Program	(MEP)
Military Strategic Commitments	(MSC)
National Defence Estate Strategy	(NDES)
National Security Committee of Cabinet	(NSC)
National Intelligence Coordination Committee	(NICC)
Navy Capability Committee	(NCC)
Navy International Relations	(NIR)
New Policy Proposal	(NPP)
Office of National Assessments	(ONA)
Operational Preparedness Objectives	(OPO)
Preparedness and Mobilisation	(ADDP 00.2)
Preparedness Management System	(PMS)
Program of Major Service Activities	(PMSA)
Quarterly Strategic Review	(QSR)
Raise-Train-Sustain	(RTS)
Rapid Prototyping, Development and Experimentation	(RPD&E)
RAN Strategy for International Engagement	(RANSIE)
Readiness Notice	(RN)
Royal Australian Air Force	(RAAF)
Royal Australian Navy	(RAN)
Strategic Command Group - Principals	(SCG-P)
Strategic Planning Group	(SPG)
The Army Plan	(TAP)
The Strategy Framework 2010	(TSF 2010)
Vice Chief of the Defence Force	(VCDF)
Workforce and Financial Management Committee	(WFMC)

CHAPTER 1:
INTRODUCTION

THE CONTEXT FOR THE STRATEGY FRAMEWORK

1-1. The Defence White Paper 2009, *Defending Australia in the Asia Pacific Century: Force 2030*, announced the Government objective of ensuring that Defence is a strategy-led organisation. The Strategic Reform Program is the Defence-wide effort to create the structure and processes to enable Defence to meet this objective effectively and efficiently. These two major and inter-related changes in Defence require a revised Strategy Framework[1] to ensure that key Defence planning documents serve this objective.

Adjusting Defence's processes

1-2. The 2008 *Audit of the Defence Budget* (the Pappas Review) and the *Defence Procurement and Sustainment Review* 2008 (the Mortimer Review) both identified the need for stronger links between Defence's strategy and its capability decisions. In response *Defending Australia in the Asia Pacific Century: Force 2030*, stated that 'improved Defence planning processes will be crucial to the success of this White Paper.'[2]

1-3. The White Paper announced a number of initiatives to improve Defence's planning processes including: the adoption of a five-year planning cycle for major Defence decisions; institutionalisation of the Force Structure Review (FSR) process[3]; and improved processes for force structure development; definition of capability requirements; and development of capability proposals.[4]

Intent

1-4. Strategy planning is a critical task for decision-makers in any organisation. It identifies goals, determines how to pursue these goals and decides what resources are applied often under conditions of great uncertainty. In the familiar language of strategy, this is expressed as identifying the 'ends' to be achieved, devising the 'ways' to do this, and determining and managing the 'means' to achieve the selected ends.[5] The ends, ways and means of any strategy are linked components that must balance if the strategy is to succeed. Assessing the feasibility, acceptability and suitability of the strategy contributes to a judgement of its success. For the purposes of the Strategy Framework, strategy means the calculated relationship between ends, ways and means.

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1 Described in this handbook, *The Strategy Framework 2010* which replaces the *Strategy Planning Framework Handbook 2006*

2 *Defence White Paper 2009*, para 13.12.

3 *Defence White Paper 2009*, para 8.72

4 *Defence White Paper 2009*, para 8.74.

5 The *Australian Defence Glossary* does not define 'strategy' as such but defines national strategy and military strategy. For the purposes of the Strategy Framework, strategy means the calculated relationship between ends, ways and means as explained in para 1-4 above.

1-5. Government direction shapes strategic plans to produce effective planning for operations—in essence for the Defence organisation of today—and capability development for the Defence organisation of tomorrow. As with any complex system, strategy planning is not a simple linear process. Instead, there is a constant dialogue between all components of strategic planning. This handbook attempts to present a simplified description of what is a highly dynamic set of relationships. Similarly, the Framework is evolutionary, adjusting to reflect revised Government and Defence policies.

1-6. The Strategy Framework assists Defence decision-makers by ensuring strategic-level documents and processes provide congruent, coherent, and comprehensive guidance to a strategy-led Defence organisation. An effective Strategy Framework aids decision-makers to translate Government direction into action across the Defence organisation. Done correctly, strategy will help to realise the Chief of Defence Force's (CDF's) vision for an Australian Defence Force (ADF) that is 'balanced, networked and deployable, staffed by dedicated and professional people who operate within a culture of adaptability and excel at joint, interagency and coalition operations.'[6]

1-7. The framework synchronises the functions of strategic guidance, strategic planning for operations, international engagement, preparedness, capability development, and the planning of the Defence budget. Figure 1 shows the interdependent relationship between these components.

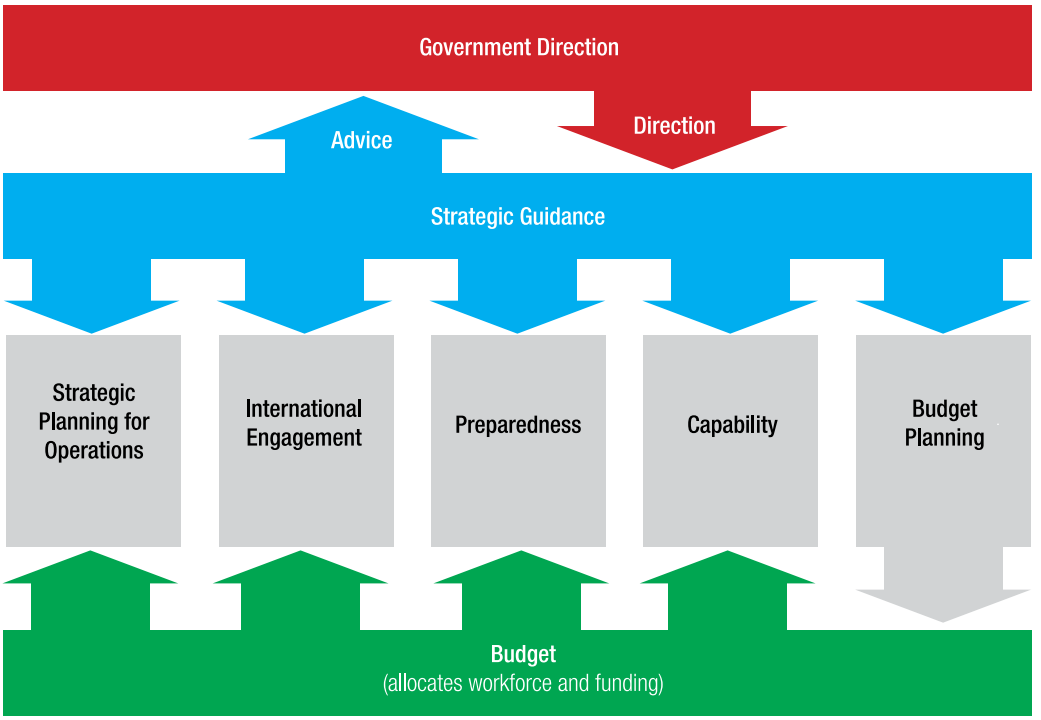

Figure 1: The Strategy Framework

6 *Joint Operations in the 21st Century: The Future Joint Operating Concept*, CDF's Foreword, p. 3

1-8. Readers should not mistake the use of blocks in the diagram as implying separate processes. All of the components link closely. For example, the shaping and support of operations will often involve international engagement; similarly, operations will use the forces prepared through the capability component and held at readiness by the preparedness component; and Defence budgeting supports all Defence activities. The Strategy Framework aims to integrate planning functions that are often separated by organisational boundaries and to illustrate how discrete elements of planning fit into the larger framework.

1-9. The Strategy Framework will evolve through the Strategic Reform Program (SRP). Both documents and processes will be tailored to meet new circumstances and expectations. *The Strategy Framework* handbook will be reviewed regularly to take account of these changes, and updated versions will be published on both the Defence Intranet and Defence Internet publications websites.

Defence Organisations That Contribute to the Strategy Planning Framework

1-10. Figure 2 shows the senior management structure of the Department of Defence. All of the organisations led by these senior leaders contribute to the work within the Strategy Framework.

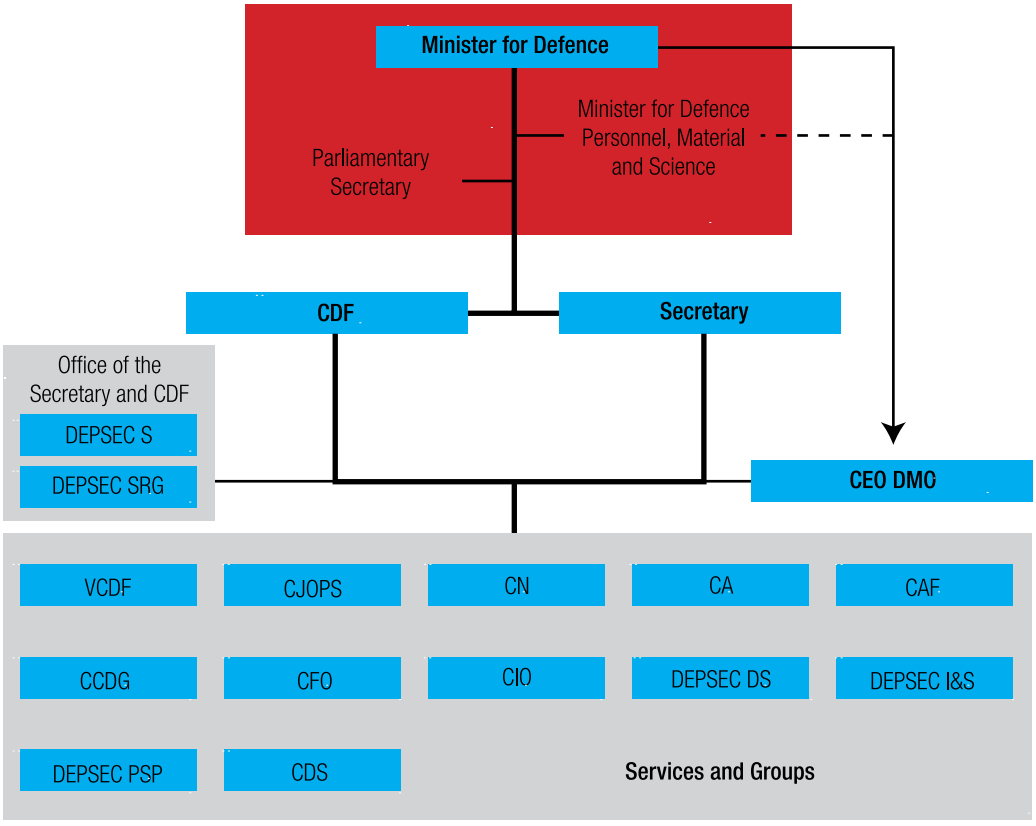

Figure 2: Major Elements of Defence involved in the Strategy Framework

Scope

1-11. *The Strategy Framework* does not propose a mechanical step-by-step process to deliver prescribed outcomes. Rather it describes the key documents that decision-makers can use to ensure their decisions are set in the appropriate strategic context.

1-12. We take this approach rather than use a process-oriented view because, although a wide range of processes are used for strategic planning in Defence, the key decisions and policies are promulgated through the documents that are the readily visible outcomes of these various processes. This handbook does not describe in detail how to formulate each document; this responsibility rests with the individual organisation responsible for each document and their writing team. However, the annexes to this handbook give a brief description of each key document and indicate who has the responsibilities to sponsor, author, contribute to, clear, and approve each document.

1-13. A companion to this handbook is the *Defence Capability Development Handbook* (DCDH) which details the capability development process. *The Strategy Framework* and DCDH are supported by two Australian Defence Doctrine Publications (ADDP), *Foundations of Australian Military Doctrine* (ADDP-D) and *Preparedness and Mobilisation* (ADDP 00.2). These ADDPs describe higher-level command and operations and preparedness management respectively and provide supporting detail to this handbook.

Intended Users

1-14. This handbook is written with three audiences in mind:

a. Senior Defence decision-makers who need to understand the context of the decisions they make. *The Strategy Framework* provides a guide to the set of documents that comprise Defence's strategic planning, including the relationships between these documents.

b. Staff within Defence who use or prepare documents within the Strategy Framework. The handbook provides staff with an overview of how their work relates to the work undertaken by other strategic planners. It also provides a guide to the consultation and clearance required to produce each document.

c. Interested parties within and external to Defence who wish to understand how Defence capabilities and activities align with Government direction and strategic guidance.

1-15. The document is unclassified and publicly releasable to ensure it can inform all of these audiences.

OUTCOMES

1-16. The Strategy Framework enables Defence to achieve operational outcomes by providing the practical foundation for:

a. a Defence organisation able to meet Government's strategic and operational objectives and commitments; and

b. an evolving, adaptive Defence organisation that can anticipate, define and manage Australia's military needs in a way that reflects Government guidance and accounts for budget allocations.

1-17. The Strategy Framework enables these outcomes by establishing:

a. clear linkages to Government's strategic priorities and direction;

b. strategy-led policymaking and planning;

c. defined linkages between strategic intent and operational planning, providing a shared, coherent basis for operational-level decision-making;

d. a strategy-led capability planning process;

e. capability planning that is clearer to stakeholders, both within and external to Defence;

f. sound financial management practices where commitment of resources is aligned with strategic priorities; and

g. guidance concerning strategic policy and planning development that allows staff to develop and position their work more effectively.

Measuring the value of the Strategy Framework

1-18. At its core, the Strategy Framework is about assisting decision-makers to meet the Government's aims and objectives through wise strategic choices. The framework must help decision-makers choose the appropriate balance between ends, ways and means to deliver effective strategic outcomes that are feasible, acceptable and suitable.

1-19. The value of the Strategy Framework depends on the extent to which the intents and plans expressed by the framework's documents achieve the Government's priorities, and the extent to which the funding and workforce priorities and allocations contained in the Defence Budget reflect these intents and plans.

COMPONENTS OF THE STRATEGY FRAMEWORK

1-20. The Strategy Framework consists of seven components. Figure 3 illustrates the relationship between these components.

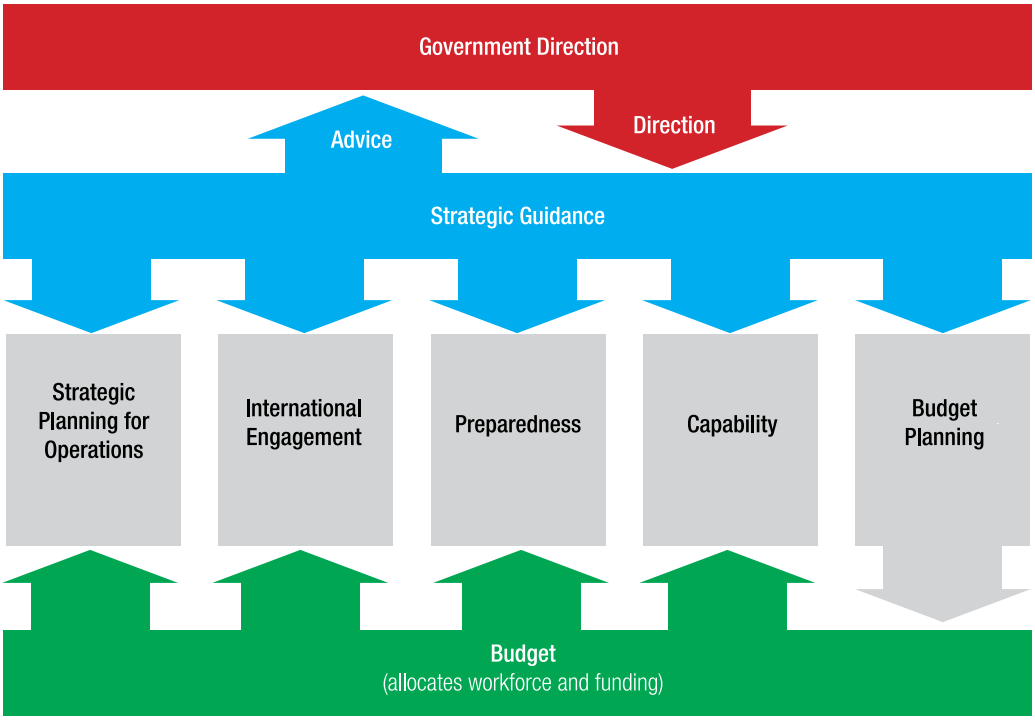

Figure 3: Components of the Strategy Framework

1-21. The seven components of the Strategy Framework are:

a. **Government Direction**. Comprises the system by which the Government provides direction to Defence and the basis within the Australian system of government for this authority. Chapter 2 covers this component.

b. **Strategic Guidance**. Comprises the linked activities and documents that provide strategic guidance within Defence and support strategic advice to the Government. Chapter 3 covers this component.

c. **Strategic Planning for Operations**. Comprises the linked activities and documents that convert strategic guidance into operational planning. Chapter 4 covers this component.

d. **International Engagement**. Covers the international engagement activities conducted by Defence to shape the strategic environment and to prepare for and support operations. Chapter 5 covers this component.

e. **Preparedness**. How Defence uses the Preparedness Management System (PMS) to ensure Defence can respond to Government direction. Chapter 6 covers this component.

f. **Capability**. Comprises the linked activities and documents that convert strategic guidance into Defence capability. Capability is considered through the Fundamental Inputs to Capability (FIC) and includes the strategic management of areas such as personnel and sustainment, as well as the acquisition of capital equipment. Chapter 7 covers this component.

g. **Budget Planning**. Provides the resources to link the other components. The budget planning component outlines the budget framework. Defence conducts budget planning annually in conformance with whole-of-government Budget development rules and timings. Chapter 8 covers this component.

1-22. Each of the Services and Groups conduct their own planning to ensure activities align with strategic guidance and contribute to meeting Government direction. Chapter 9 describes strategic planning in the Services.

1-23. This handbook presents a simplified picture of what are highly dynamic relationships. The planning of strategy is a complex, interactive system, not a linear process; this requires constant dialogue between all components of the Strategy Framework.

1-24. **Classification and Releasability**. The Strategy Framework includes both classified and unclassified documents. Some documents are classified to protect information on plans and intentions. Other documents are unclassified and may be released publicly.

SUMMARY

1-25. Each component of the Strategy Framework—strategic guidance, strategic planning for operations, international engagement, preparedness, capability planning and budget planning—is articulated by documents that express intentions and plans. This handbook describes the broad process within the framework and the documents that are the visible and authoritative outputs of staff efforts and decision-making. Some documents form a foundation for strategic thinking and have enduring value. Others have a role more limited in time often as part of a regular cycle. Irrespective, each document is the product of a Defence process to collaboratively prepare, draft, review, and endorse it using wide consultation to ensure the document is comprehensive in its analysis and recommendations. The documents produced under the Strategy Framework gain their value by supporting Defence decision-making.

1-26. The chapters that follow explain each component of the Strategy Framework. Later, the components are linked to show the interdependent nature of the documents and how they are synchronised within this framework. Cognisant that some users of this handbook will concentrate on specific chapters, there is some repetition, especially of key themes, across each chapter to ensure the wider context can be understood.

CHAPTER 2:
GOVERNMENT DIRECTION

SOURCE OF GOVERNMENT AUTHORITY

2-1. The Constitution of Australia[7] establishes the federal system of government and confers the powers of the Commonwealth on the three arms of government, namely the Parliament, the Executive Government, and the Judiciary. The Constitution vests in the Parliament legislative powers to make laws in relation to certain subjects. Formally, the Executive Government is comprised of the Queen, the Governor-General, Ministers and other officers of the Commonwealth, including members of the Australian Defence Force and the Australian Public Service.

2-2. While the Constitution is the fundamental law of Australia, it does not spell out some of the central features of the federal system of government, nevertheless, these features are integral to the system established by the Constitution. One such feature, which is basic to the Westminster system of government and which underpins the Australian Constitution, is the principle of responsible government. Under this principle, 'the Crown' acts in accordance with the advice of Ministers. Ministers are in turn members of, and responsible to, the Parliament. It is for this reason that section 64 of the Australian Constitution requires Ministers to be members of the Parliament and to administer (and thus be responsible for) their departments.

The Commonwealth's Defence power

2-3. The Constitution under Section 51 (vi) authorises the Parliament to make laws with respect to 'the naval and military defence of the Commonwealth and of the several States, and the control of the forces to execute and maintain the laws of the Commonwealth.'

2-4. Other constitutional powers, such as section 61 and the national implied power support the exercise of power by the Executive for the purpose of defence. For example, the power to make a decision to 'commit Australia to war' is entirely the prerogative of the crown. This is done through the exercise of Executive power under section 61 of the Constitution and does not require an enactment by Parliament in order to be effective.

Command of the Australian Defence Force

2-5. Section 68 of the Constitution provides that the Governor-General has "Command-In-Chief" of the ADF. This function of the Governor-General is titular in nature and exercised on the advice of Ministers in accordance with the principle of responsible government. Similarly, any specific powers in Defence legislation given to the Governor-General (such as the power to appoint the Service Chiefs) are exercised on ministerial advice.

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7 As contained in the *Commonwealth of Australia Constitution Act*.

2-6. The *Defence Act 1903* includes provisions that set out the broad legislative framework for the command and administration of the ADF and its three arms, the Navy, the Army and the Air Force. In setting these broad parameters, the Defence Act:

a. provides that the Minister has the "general control and administration of the ADF" (section 8);

b. vests the "command of the ADF" with the Chief of the Defence Force (CDF), subject to the Minister's power of general control and administration (section 9);

c. provides that, under the CDF, the Chief of Navy, the Chief of Army and the Chief of Air Force command their respective "arms of the ADF", subject to the Minister's power of general control and administration (section 9);

d. vests the administration of Defence jointly with the Secretary and the CDF except with respect to:

(1) matters falling within the command of the ADF or the command of an arm of the ADF; or

(2) any other matter specified by the Minister (section 9A); and

e. provides that, under the CDF, the Vice Chief of the Defence Force is responsible for the parts of the administration of the ADF for which the CDF has responsibility, whether alone or jointly with the Secretary, as the CDF specifies in writing, and any other functions as CDF determines in writing (section 9AA).

2-7. The Secretary, and the Chief Executive Officer of the Defence Materiel Organisation as the head of a Prescribed Agency, have the responsibility under the *Financial Management and Accountability Act 1997*, as the Chief Executive of an Agency, to manage its affairs in a way that promotes proper use of the Commonwealth resources for which the Chief Executive is responsible. The Secretary also has the responsibility under the *Public Service Act 1999* to perform the role of employer for Australian Public Service members of Defence.

2-8. The above provisions are consistent with the general constitutional responsibility and authority of Ministers for the administration of their portfolios. They ensure that any exercise of command and administration responsibilities in the ADF, as well as the administration of the Department, are subject to ministerial control. They also reflect civil authority over the ADF.

2-9. The Government, acting through the Minister and other relevant Ministers, is responsible for the operational use of the ADF. As a result, the Government in its executive capacity can deploy the ADF, or elements of the ADF, within or outside Australia at any time.

DECISION MAKING AND COORDINATION BODIES

National Security Governance

2-10. National Security Governance in this handbook refers to arrangements to lead, manage, and hold to account the national security community. The national security community includes traditional national security Departments, such as Defence and Foreign Affairs and Trade (DFAT), but extends broadly across Government to ensure the comprehensive management of national security. The remainder of this section discusses how the range of Departments and agencies that form this community coordinate their activities.

2-11. The National Security Adviser in the Department of the Prime Minister and Cabinet holds a central position within the national security community for coordination, policy development and provision of advice on national security to the Prime Minister.

2-12. Cabinet is the top-level decision forum for Government, but most national security issues devolve to the National Security Committee of Cabinet (NSC), which is the usual Commonwealth decision making and coordinating body for national security matters.

2-13. The Secretaries Committee on National Security (SCNS), operating with a broadened agenda and expanded membership, remains the peak inter-departmental body to advise Government on policy and operational matters. Three inter-departmental committees, described in more detail below, underpin this high-level Commonwealth national security decision-making framework:

a. The Strategic Policy Coordination Group (SPCG);

b. The Homeland and Border Security Policy Coordination Group (HPCG); and

c. The National Intelligence Coordination Committee (NICC).

The Cabinet

2-14. The Cabinet is the key decision-making forum for Government. It sets the broad direction of Government policy. Reflecting the broad remit of Cabinet, it delegates much of its work to committees with responsibility for a specific issue or range of issues. The current Government has eight active Cabinet committees shown in Figure 4. Detail on Cabinet policy and procedures can be found in the *Cabinet Handbook* produced by the Cabinet Secretary. The latest version of the *Cabinet Handbook* is available online.[8]

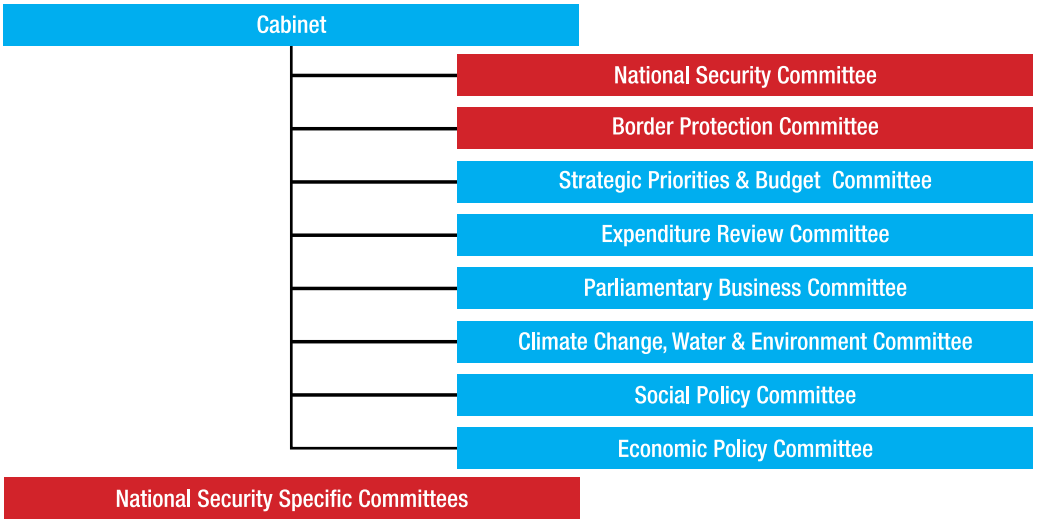


Figure 4: Cabinet and its committees

[8] See http://www.pmc.gov.au/guidelines/docs/cabinet_handbook.doc.

National Security Committee of Cabinet

2-15. The National Security Committee (NSC) considers almost all Defence submissions. It focuses on major international security issues of strategic importance to Australia, national responses to developing situations (either domestic or international) and classified matters relating to aspects of operations and the activities of the National Intelligence Community.

2-16. The NSC can make decisions without reference to the full Cabinet, though the Cabinet remains fully informed. Officials routinely attend NSC meetings and Ministers and officials exchange advice and views so that Ministers have the best information to make a decision.

2-17. The NSC comprises the Prime Minister as Chair, the Deputy Prime Minister as Deputy Chair, the Treasurer, the Cabinet Secretary, the Attorney-General, the Minister for Defence, the Minister for Foreign Affairs and the Minister for Immigration and Citizenship. The Minister for Finance and Deregulation is co-opted for expenditure matters.

2-18. The officials who attend include the Secretaries of the Departments of the Prime Minister and Cabinet, Treasury, Defence, Foreign Affairs and Trade, Immigration and Citizenship and Attorney-General's as well as the National Security Adviser (NSA), CDF and the Directors General (DG) of the Office of National Assessments (ONA), Australian Security Intelligence Organisation (ASIO) and Australian Secret Intelligence Service (ASIS).

2-19. With the agreement of the Cabinet Secretary, other relevant Ministers and senior officials can be co-opted to the NSC by exception, for example on capability-related matters, such as large-scale projects and the Defence Capability Plan.

Border Protection Committee of Cabinet

2-20. The Government created new mechanisms supporting the Cabinet to manage border protection issues. As these mechanisms are only newly established, they may evolve further with experience.

2-21. The Government created the Border Protection Committee (BPC) of Cabinet in 2009 to deal with border protection issues. The BPC largely focuses on policy responses, but it also reviews border protection operations.

2-22. The Ministers for Defence, Foreign Affairs, Home Affairs and the Attorney-General are members of the BPC. The attending officials are the NSA, Chief Executive Officer (CEO) Australian Customs and Border Protection Service (ACBPS), Secretaries of the Department of the Prime Minister and Cabinet, of the Department of Immigration and Citizenship (DIAC) and the Attorney-General's Department (AGD), DG ONA, DG ASIS, the Commissioner of the Australian Federal Police (AFP), and the CDF.

Secretaries Committee on National Security

2-23. The Secretaries Committee on National Security (SCNS) supports the NSC. SCNS is chaired by the Secretary of PM&C and includes all the officials that attend NSC plus the AFP Commissioner, the CEO ACBPS and the equivalent from other agencies as required.

Strategic Policy Coordination Group

2-24. The Strategic Policy Coordination Group (SPCG) coordinates key policy issues affecting Australia's international strategic concerns. The Deputy National Security Adviser chairs the SPCG. VCDF and Deputy Secretary Strategy represent Defence. Representatives from the Department of Foreign Affairs and Trade and ONA are also principal members.

Border Protection Task Force

2-25. The Border Protection Taskforce (BPTF) is a regular meeting by relevant officials that supports the BPC. The BPTF develops policy advice and provides expert input from across government to better coordinate and streamline arrangements to manage and respond to irregular maritime arrivals. The NSA chairs the Taskforce with the CEO ACBPS as the deputy chair. Deputy Secretaries (or equivalents) attend from Defence, DFAT, AGD, DIAC, AusAID, AFP, ONA, ASIO, ASIS and others as required.

Homeland and Border Security Policy Coordination Group

2-26. The Homeland and Border Security Policy Coordination Group (HPCG) acts on national security issues of a domestic nature in a similar coordination role as the SPCG. Defence is not a permanent member of the HPCG, but is invited to attend when the Committee is addressing matters with Defence considerations. The Deputy NSA chairs the HPCG and the permanent members are from departments and agencies with core responsibility for domestic security including PM&C, AGD, DIAC, the Department of Infrastructure, Transport, Regional Development and Local Government (DITRDLG), AFP, ASIO, Australian Crime Commission (ACC) and ACBPS.

National Intelligence Coordination Committee

2-27. The National Intelligence Coordination Committee (NICC) is the most senior mechanism for the whole-of-government strategic coordination of national intelligence. The NSA chairs the NICC, which consists of leaders across the Australian Intelligence Community and law enforcement agencies. It aligns and integrates the national intelligence effort. The Deputy Secretary Intelligence and Security, and the Directors of the Defence Imagery and Geospatial Organisation (DIGO), Defence Intelligence Organisation (DIO) and the Defence Signals Directorate (DSD) represent Defence.

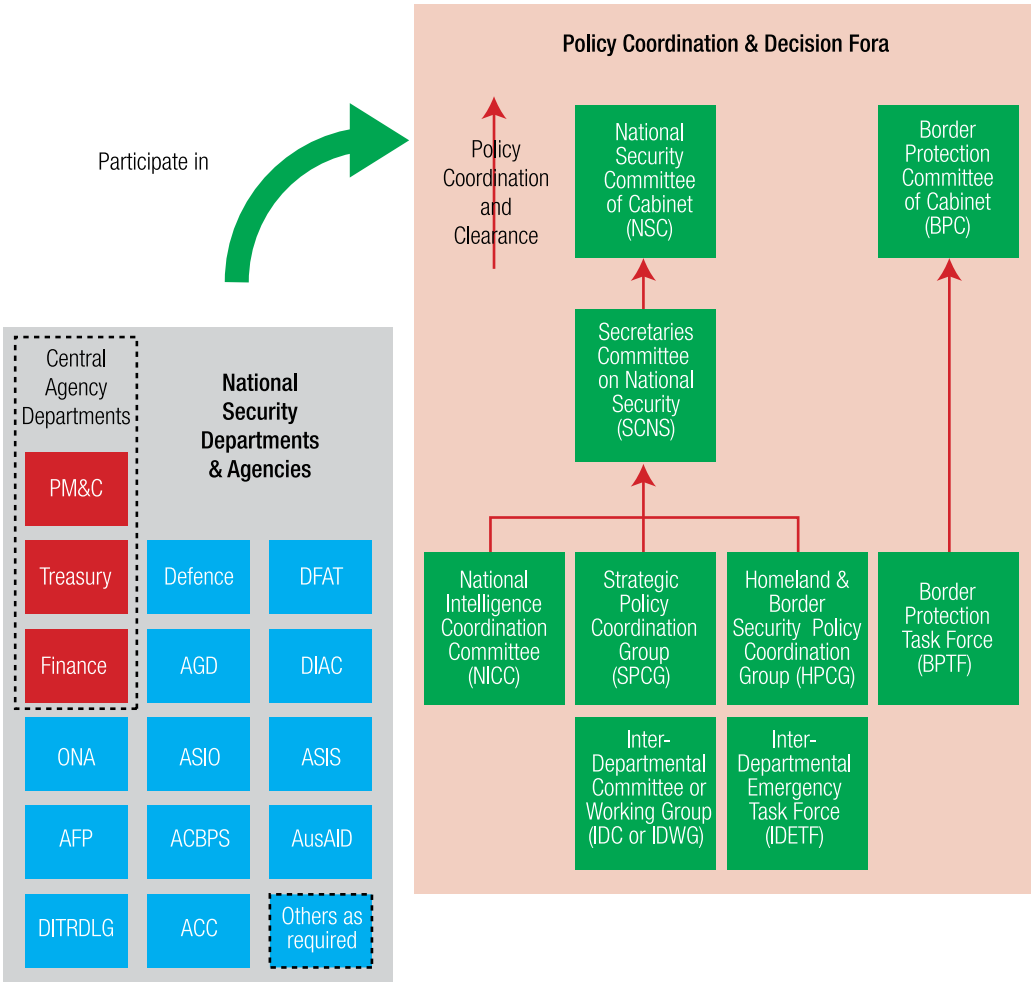


Figure 5: National Security Coordination[9]

Lower-level Inter-departmental Coordination

2-28. Any department can hold a meeting of an Inter Departmental Committee (IDC) or Working Group (IDWG) at the appropriate working level for any issue requiring whole-of-Government consideration. Department of Foreign Affairs and Trade may also form an Inter Departmental Emergency Task Force (IDETF) to manage the working level coordination of a crisis.

[9] PM&C – Department of the Prime Minster and Cabinet; DFAT – Department of Foreign Affairs and Trade; Finance – Department of Finance and Deregulation; AGD – Attorney-General's Department; DIAC – Department of Immigration and Citizenship; ONA – Office of National Assessments; ASIO – Australian Security Intelligence Organisation; ASIS – Australian Secret Intelligence Service; AusAID – Australian Agency for International Development; ACBPS – Australian Customs and Border Protection Service; AFP – Australian Federal Police; DITRDLG – Department of Infrastructure, Transport, Regional Development and Local Government, ACC – Australian Crime Commission.

How Government Provides Direction to Defence

2-29. Government provides direction to Defence in a number of forms, including:

a. *National Security Statement.* Prime Minister Rudd presented the first *National Security Statement* to Parliament on 4 December 2008. This Statement gave the Government's position on the range of national security issues and its approach to managing these issues. The *National Security Statement* defines national security broadly and represents the first articulation of a formal national security policy. Further *National Security Statements* will refine and articulate Government's national security priorities.

b. Defence White Paper. A team within Defence produces the Defence White Paper for the Government. During its development, the NSC reviews the White Paper a number of times to ensure it reflects Government assessments and priorities. After NSC clearance and promulgation, the Defence White Paper is the Government's top policy direction to Defence. The most recent iteration is the Defence White Paper 2009, *Defending Australia in the Asia Pacific Century: Force 2030*. The White Paper also acts as the paramount strategic guidance within Defence as described in Chapter 3.

c. Other Policy Statements. The Government will from time-to-time produce other policy statements that provide direction to Defence. An example is the Counter-Terrorism White Paper.

d. NSC Decisions. The NSC will issue direction to Defence, and other Government departments, as a result of its deliberations and consideration of Cabinet Submissions. Due to the convention of Cabinet confidentiality, distribution is tightly controlled.

2-30. Ministerial Submissions and Directions. Defence sends Ministerial Submissions (MINSUBS) to the Minister for Defence on a range of issues. MINSUBS can either advise the Minister on an issue or seek his direction. The Minister will often provide direction by annotating the MINSUB, although he may choose to provide direction verbally, by letter or email.

2-31. Figure 6 shows how Government directs Defence. Note how the White Paper appears as both the formal Government direction setting out its long-term priorities for Defence and as the paramount strategic guidance document within Defence. *Defence Planning Guidance* (DPG) provides classified amplification of the policy set in the White Paper for the Defence audience.

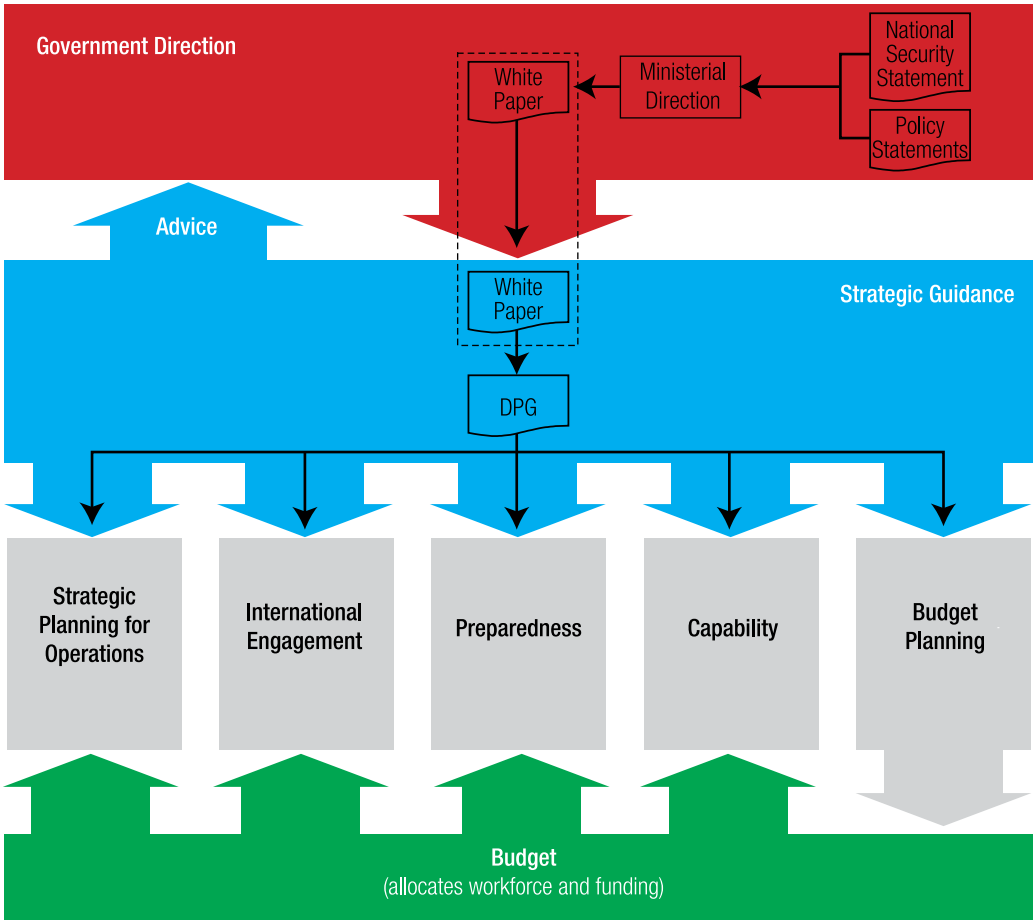


Figure 6: Government Direction

CHAPTER 3:
STRATEGIC GUIDANCE

THE CONTEXT FOR STRATEGIC GUIDANCE

3-1. Strategy development in Defence involves analysing trends and developments in Australia's strategic environment and formulating policy and plans. These policies and plans guide subordinate planning and action within Defence to meet the Government's current and future national security objectives. As a function, strategy plays a critical role in ensuring that Defence identifies and prioritises threats and opportunities. Strategy development also ensures that Defence is structured, equipped, and prepared to shape and respond to Australia's security environment in accordance with Government policy.

3-2. The formulation of strategic plans and policy is a dynamic process. Ideally, it evolves at a measured pace, but sometimes strategy must change quickly to reflect rapidly moving circumstances. The output of strategy development is informed judgement, promulgated through a set of documents that focus on Australia's security requirements for the near and longer terms, and which supports decision-making and guides further planning. An unusual feature of Defence strategic planning is that it must encompass very long-term judgments about Australia's strategic circumstances to take account of the long lead times associated with defence capability development. Thus, the 2009 Defence White Paper needed to make judgements about Australia's strategic circumstances and needs out to 2030. Few other areas of public policy work to such time scales.

3-3. The strategic guidance process produces advice, expressed as strategic assessments, judgements, policy, and responses. Such advice informs and enables choices for senior-level decision-makers. It also provides guidance for strategic planning for operations and capability development. Defence also offers advice concerning the military dimension of Australia's national power to Government. This advice, known as military strategy, is a distillation of the combination of military technical advice and the military aspects of Government's overall national security policy. Increasingly, the whole-of-government approach to national security makes it necessary to coordinate Defence's plans with other government agencies, and at times non-government or foreign government agencies, before those plans are executed.

3-4. Guidance to Defence regarding national security comes from a variety of sources that include public policy statements, such as white papers and public statements by government leaders, and classified communications such as Cabinet or ministerial decisions. Public and classified security policy are intended to align, although it must be noted that any written policy or strategy is a snapshot in time and may often need to be adapted to changes in Australia's circumstances. For security reasons, some aspects of strategic policy are not widely shared within or outside of Defence and the Government.

3-5. From higher guidance, the strategy development process shapes the employment of Defence for current operations, and simultaneously shapes Defence to deliver a future force able to meet the military dimension of Australia's security needs. Strategy development does this through a range of hierarchical documents described in the next section. Annex A expands on the document descriptions in this chapter.

Defence Organisations Involved in Developing Strategic Guidance

3-6. Strategy Executive is responsible for sponsoring the principal strategy documents. Other Groups and the Services participate in the collaborative development, review, and endorsement of these documents.

STRATEGIC GUIDANCE PROCESS

3-7. The key strategy documents (extant or under development) that support strategic planning for operations, international engagement, preparedness, capability development and budgeting are:

a. *Defence White Paper*;

b. *Defence Planning Guidance* (DPG);

c. *Quarterly Strategic Review* (QSR);

d. Strategy papers,

e. *CDF Planning Directives* (see Chapter 4);

f. *Australian Capability Context Scenarios* (ACCS);

g. *Foundations of Australian Military Doctrine* (ADDP-D);

h. *Future Joint Operating Concept* (FJOC), supported by battlespace domain and joint enabling concepts; and

i. other Government White Papers related to security, such as those from the Department of Prime Minister and Cabinet, the Department of Foreign Affairs and Trade and the Attorney-General's Department, which will also influence strategy development in Defence.

3-8. Figure 7 shows the relationship between the strategy documents described later in this chapter.

Strategy Development Processes

3-9. Strategy development ideally occurs in a logical, stepped process, with major documents providing the lead for periodic updates of subordinate plans.

3-10. Government has directed Defence to prepare a new White Paper at intervals no greater than five years as the centrepiece of the Government's strategic risk-based approach to Defence planning.[10] This five-yearly cycle (see Figure 8) will act as a series of gates for progression of the key aspects of

[10] Defence White Paper 2009, para 13.12.

Defence planning. It will consist of the annual DPG cycle for the first four years following a White Paper. In the fourth year of the cycle prior to a White Paper in the fifth year activities will also include:

a. a strategic risk assessment, identifying key changes to the strategic environment, and any need for change to the interests and principal tasks of the ADF;

b. a force structure review, analysing any new major projects that may come into the DCP in coming years against strategic fundamentals and budgetary constraints (both funding and workforce); and

c. an independent audit update, which would:

(1) review affordability of the future program of work against the budgetary and workforce environment;

(2) examine the external environmental influences (including economic) on the Defence enterprise and budgetary forecasts;

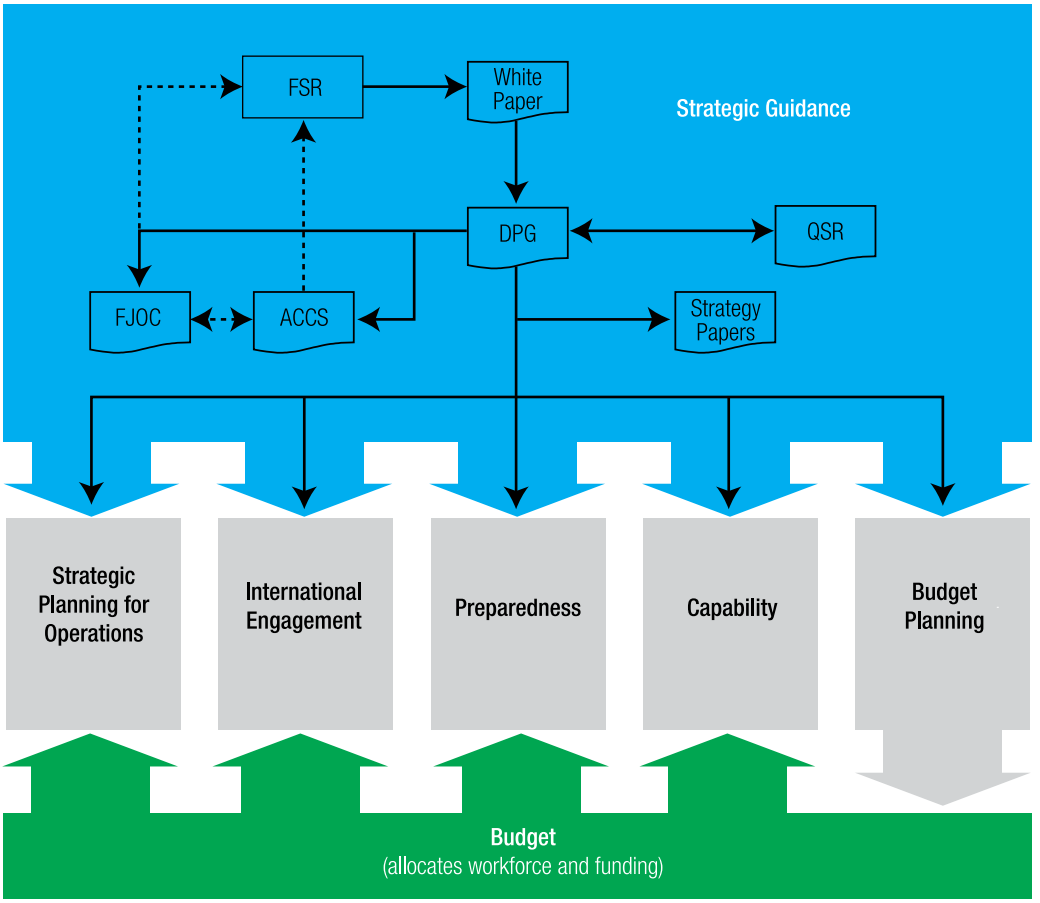


Figure 7: Strategy Documents

(3) test the feasibility, affordability and suitability of the future program of work including capability requirements not yet programmed;

(4) validate that the capability business process and force structure development activities, resources, investment plans and activity levels (current and projected), align with strategic priorities;

(5) assess the performance of all reform activities and governance arrangements in delivering effectiveness and efficiency in Defence;

(6) identify opportunities for further productivities not addressed in previous reform activities; and

(7) suggest improvements to Defence planning, resourcing, or governance to ensure the continued progression of Defence's reform agenda.

3-11. This preparatory work will provide Government with an opportunity to establish clear guidance prior to commencing a White Paper. The next White Paper is developed then in the fifth year.

3-12. The annual strategy development process starts with the DPG, which is approved by the CDF and Secretary with advice from the Defence Committee (DC). Following this internal Defence consideration, the National Security Committee of Cabinet agrees the DPG.

3-13. **Continuous Review**. Not all documents are reviewed annually. Some documents are reviewed on a longer timeline, often related to the five-year White Paper cycle. These are generally more enduring in nature, and include documents such as the *Future Joint Operating Concept* (FJOC). Despite this longer-term nature, documents such as the FJOC are checked against each new DPG to ensure they continue to conform with the new DPG. Outside of this review cycle, a DPG or QSR that revealed a significant unanticipated change or 'strategic shock' in the strategic environment might lead to a reconsideration of strategies and a re-write of these documents. Strategy papers are produced and reviewed as needed. More detail on these documents is available below.

3-14. Other documents are reviewed more frequently. The *Quarterly Strategic Review* (QSR) is reviewed quarterly by the Strategic Command Group – Principals (SCG-P). SCG-P consideration allows the CDF to make decisions regarding Defence's capability to meet emergent contingencies, to adjust Defence posture as necessary, and address funding and workforce resource allocations.

3-15. The strategy development process is assisted by experimentation and strategic wargaming. Experimentation, generally conducted by the Defence Science and Technology Organisation (DSTO) and under single-Service arrangements, is a tool to test concepts and capability options. Experiments use the *Australian Capability Context Scenarios* (ACCS) to help in the comparison of the results of experimentation. Strategic wargames are conducted, on an as required basis, to assist senior-level decision-making.

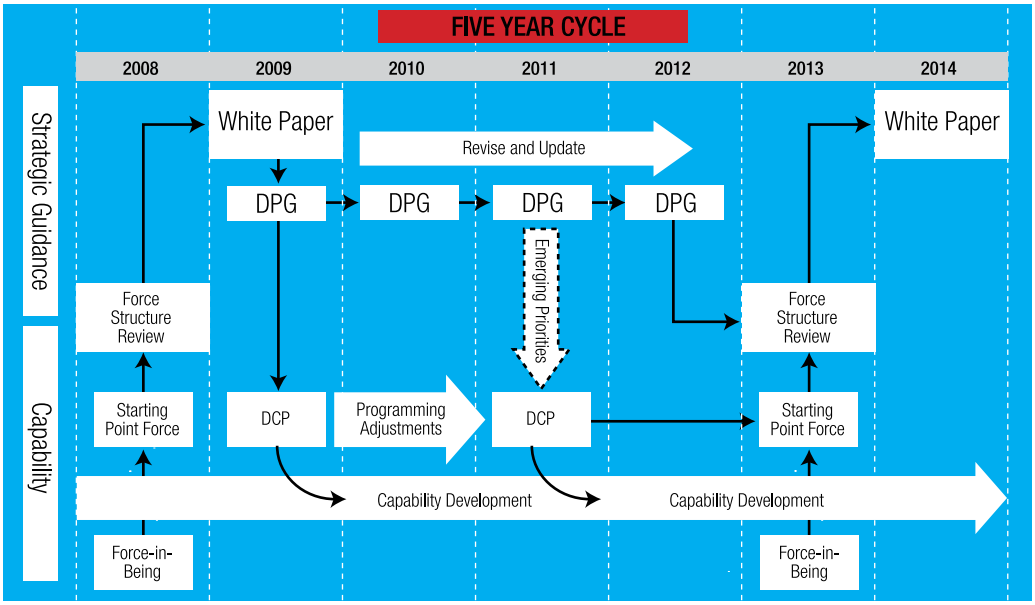


Figure 8: Five-Year White Paper Cycle

STRATEGY DOCUMENT DESCRIPTIONS

Classification and Security

3-16. The nature of much strategy work requires a level of secrecy. Information must be shared internally within the planning process, as necessary on a need-to-know basis, with access by the public, allies, and other foreign nations as appropriate.

Defence White Papers

3-17. Defence White Papers are Australia's principal public policy documents regarding Defence. The White Paper presents the Government's long-term strategic direction and commitments for Defence as well as future capability requirements. The White Paper publicly enunciates policy guidance regarding the outcomes of Defence's strategy, capability and resource allocation processes. It also apportions Defence funding and workforce resources to achieve strategic interests and goals in accordance with priorities.

3-18. The Defence White Paper and other guidance provided by the Government inform the development of more detailed planning, capability, workforce, preparedness, and financial guidance. This guidance, alongside classified documentation, sets the parameters for the annual Defence budget.

3-19. An outcome from White Papers is public transparency and accountability for Defence policy and plans, both nationally and internationally. The Government directed production of a new White Paper every five years, although the Government may direct an update or a new Defence White Paper earlier if a strategic shock or a change of circumstance suggests one is required.

Defence Planning Guidance (DPG)

3-20. Between the release of each new White Paper, the *Defence Planning Guidance* (DPG) is the Government's classified defence planning document and Defence's lead classified strategy document amplifying the policy guidance of the White Paper. The DPG articulates the strategic priorities that guide Defence to produce the military outcomes directed by Government. The DPG takes into account the Government's national security priorities as outlined in the *National Security Statement* and through the annual national security priority and budget setting mechanisms. This ensures that Defence priorities are consistent with national security priorities. The National Security Committee of Cabinet will consider the DPG annually, in sufficient time to set strategic direction to Defence's corporate and budget planning cycle, and recommend any necessary adjustments.

3-21. Within Defence, the DPG sets strategic guidance for managing strategic risk, military strategy, force structure planning and capability development, preparedness and mobilisation, force posture, international engagement and resource planning. The DPG also sets strategic guidance for specific subordinate strategies and enterprise planning for enabling functions including workforce planning and management, facilities and estate, joint logistics, information and communications technology, science and technology, Defence support services, intelligence, procurement, sustainment, and industry support.

3-22. The DPG includes a strategic risk assessment and analysis of the future strategic environment, identifying contingencies to which Defence may need to respond during the next 20 years. The strategic risk assessment sets priorities for managing and treating strategic risks, in a form consistent with national security interests, and priorities, and guide preparedness, force structure development, force posture and international engagement. Contingencies identified in the strategic risk assessment also provide a basis for further refinement of the *Australian Capability Context Scenarios* (ACCS), which test concepts and capabilities through Defence's experimentation framework. The QSR reviews assessments of the strategic environment between DPGs.

3-23. The DPG identifies the objectives and broad priorities to guide relationships with organisations outside Defence, including allies, international partners, other government agencies, and the national support base.

3-24. The outcome of the DPG is strategic guidance that informs, directs, and prioritises subordinate planning and strategic-level management within Defence in a coherent way, consistent with national security priorities.

Quarterly Strategic Review (QSR)

3-25. The *Quarterly Strategic Review* (QSR) advises CDF and the Strategic Command Group - Principals (SCG-P) of potential changes in Australia's strategic environment and strategic-level issues that might arise within the next 3–24 months. The QSR examines issues that may require a change to force posture or readiness, in response to an emerging or changing situation. As such, the QSR is used to provide 'mid-course correction' for the DPG and fine-tune and set near-term priorities for preparedness.

3-26. The QSR is developed through a consultative analytical process across Defence Groups and Services, but particularly involving Strategy Executive (SP & IP Divisions), VCDF Group (MSC and JCC), Intelligence & Security Group (DIO) and HQJOC. A 3/2-star steering group provides quality assurance of the QSR. The QSR is presented to the SCG-P along with the Defence Preparedness Assessment (DPAS) (see paragraph 6-12). The QSR strives to provide the SCG-P with strategic advice of possible contingencies and consequences, and possible responses.

3-27. SCG-P consideration of the QSR, and the assessment of preparedness drawn from the regular reporting of the Preparedness Management System (see Chapter 3), ensures that planning for operations is strategic in focus. If necessary the SCG-P can re-direct ADF preparedness and posture for emergent operations from a well-informed perspective.

3-28. The QSR process is critical to fine-tuning ADF preparedness and, as such, has the following features:

a. the QSR process is overseen by a cross-functional steering committee;

b. the most recent Defence Intelligence Organisation (DIO) Strategic Outlook provides the intelligence basis for QSR;

c. the QSR identifies concurrency risks and options for their management and remediation;

d. the QSR assists the fine-tuning and setting of near-term priorities for preparedness;

e. the QSR helps to shape the timing of deployments; and

f. there is a strong link between the QSR, strategy papers, and strategic planning processes.

3-29. Upon approval by CDF, the QSR is used as the basis of a ministerial submission to inform the Minister for Defence of departmental planning and analysis. It also informs other Defence planning including through the Defence Strategic Targeting Committee and the Defence International Engagement Group.

Strategy papers

3-30. Strategy papers on specific issues are written as required to provide:

a. policy options, which often receive consideration at the higher levels of Defence and across Government;

b. policy direction, to be promulgated as required;

c. a discussion of a range of issues which may be for internal consumption or be written to inform a whole of government approach, or undertaken with an ally on an issue of mutual interest.

3-31. Strategy papers provide classified guidance to policymakers on Australia's strategic interests and priorities with regard to specific geographic areas and operations. They draw on guidance as articulated in the DPG, the QSR and the *Defence International Engagement Plan*.[11] Strategy papers use a format tailored to address a particular issue. Strategy papers may be developed as:

a. part of a package of advice, complementing the more comprehensive framework of the *CDF Planning Directive* (see Chapter 4) and other planning tools; or

b. as a stand-alone document.

Australian Capability Context Scenarios

3-32. The *Australian Capability Context Scenarios* (ACCS) are a classified collection of scenarios—linked to higher priority contingencies in the DPG—and reflect possible circumstances under which the future joint force might be employed. Each ACCS consists of a scenario leading into a Planning Directive, Operational Plan, and Operational Level Effects that the future force needs to achieve in wargaming or experimenting against the scenario. The scenarios are not predictive, rather they are designed to be plausible and reflect the nature and dimensions of possible future contingencies. They are designed to stretch the force in geographic contexts aligned with the Defence White Paper direction. The ACCS are structured in a generic manner to allow users to inject Red and Blue Forces and other potential actors (civilians, non-governmental organisations [NGOs], etc) relevant to the scenario in the chosen timeframe.

3-33. The ACCS provide a measurable and consistent baseline for analysis. This ensures alignment between Defence and single-Service experimentation. Use of the scenarios is controlled by Strategy Executive through business rules that are designed to prevent any misuse that may skew experimental or wargame results and hence decision-making. The ACCS form the basis of the Force Structure Review that informs White Paper development.

Foundations of Australian Military Doctrine

3-34. ADDP-D, *Foundations of Australian Military Doctrine*, outlines the strategic military doctrine of the ADF and the Australian approach to warfare, providing strategic guidance for the development and employment of ADF capability. ADDP-D provides guidance to the planning and conduct of ADF operations at all levels. It is reviewed as required.

Future Joint Operating Concept

3-35. As the White Paper and DCP describe the 'ends' and 'means' for military activity respectively, the *Future Joint Operating Concept* (FJOC), environmental[12] and joint enabling concepts, describe the generic 'ways' the ADF will operate over the period covered by the Defence White Paper. These operating concepts will inform the Force Structure Review process in year four of the five-year White Paper

[11] See Chapter 5 for more information on the *Defence International Engagement Plan*.

[12] Such as the FMOC, FLOC and FASOC.

cycle. The FJOC will also inform Service operating concepts. The DPG guides the FJOC and other concepts. The FJOC will be continuously improved and validated through Defence experimentation. Experimentation will indicate weaknesses in existing or planned operating concepts and thus shape decisions about potential capabilities to address these weaknesses.

3-36. The FJOC and the supporting environmental[13] and enabling concepts are intended to be enduring documents. These concepts will be reviewed at intervals normally not exceeding five years to ensure that they reflect the best of our learning and experimentation. The battlespace domain concepts are described further in Chapter 9.

3-37. The FJOC will build a shared understanding of how the ADF will conduct operations in the future. This shared understanding guides future planning and capability development for the future ADF.

3-38. The current edition of the FJOC is *Joint Operations for the 21st Century* (June 2007). Future editions will be produced by Head Joint Capability Coordination (HJCC) on behalf of VCDF as the Joint Capability Manager.

DEFENCE EXPERIMENTATION AND WARGAMING

Experimentation Intent

3-39. Defence experimentation uses wargaming and simulation, lessons learnt from operations and exercises, studies from operations research and history, and military judgement to inform strategic guidance and capability development. In addition, Defence undertakings such as the Defence Science and Technology Organisation's (DSTO) Experimentation Initiative and the establishment of a Joint Decision Support Centre (JDSC), serve to improve experimentation by offering a centre of excellence for Defence experimentation and capability decisions.

3-40. Defence experimentation needs to guide and be linked with single service experimentation to develop a shared vision for ADF's future capabilities. Head Joint Capability Coordination (HJCC) manages this guidance and linkage on behalf of VCDF as the Joint Capability Manager.

Strategic Wargaming

3-41. The Directorate of Deliberate Planning and Strategic Wargaming in Strategic Policy Division conduct classified seminar wargames (the TAIPAN series) for the CDF. CDF approves the wargame program, which is drawn from DPG and Defence White Paper guidance. The primary purpose of the TAIPAN series is to use reality-based scenarios to test senior decision-makers, improve strategic planning outcomes and prepare military advice to Government. The TAIPAN wargames frequently involve representatives from other government departments and assist participants to gain a better understanding of strategic issues that may affect planning and capability development.

[13] Environmental concepts are also known as battlespace domain concepts and include the FMOC, FLOC and FASOC.

CHAPTER 4:
STRATEGIC PLANNING FOR OPERATIONS

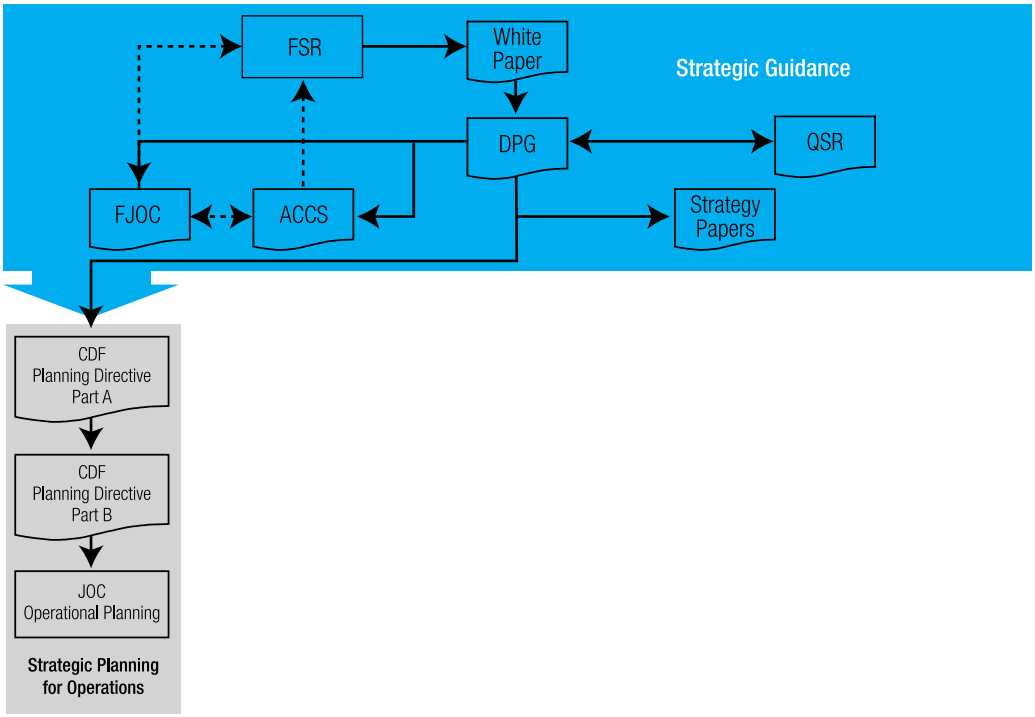
THE CONTEXT FOR STRATEGIC PLANNING FOR OPERATIONS

4-1. Strategic planning for operations within Defence seeks to confirm and translate Government and CDF direction in order to guide and generate planning for operations. The outcomes of strategic planning for operations seek to ensure that Defence is prepared for directed, possible, and anticipated military operations through contingency planning conducted by HQJOC. Essential to the effective planning for operations is a collaborative approach that maximizes input from all relevant stakeholders.[14]

STRATEGIC PLANNING FOR OPERATIONS PROCESS

Documents and Systems

Figure 9: Strategic Planning for Operations



[14] This planning may also involve adjusting force posture through the Preparedness Management System (PMS). The PMS is described in more detail in Chapter 6.

4-2. As shown in Figure 9, the *CDF Planning Directive* represents the primary source of guidance for operational planners on strategic direction. Detailed descriptions at Annex A support the broad descriptions of documents for strategic planning for operations in this Chapter. The *CDF Planning Directive* focuses on providing Defence stakeholders with the strategic context to support planning and the development of military options and plans. The *CDF Planning Directive* covers the Australian Government direction and intent, including, where applicable, the whole-of-government strategy and Defence's role in support of, or integrated with, that strategy. The Directive includes the circumstances leading to the requirement to develop military options so that Chief of Joint Operations (CJOPS) and the operational planners understand this context.

4-3. The purpose of the *CDF Planning Directive* is to align input from the strategic-level stakeholders in Defence and, where applicable, other government agencies and partners, to provide clear and unambiguous guidance for planners.

Process Flow for Planning for Operations

4-4. A process of regular strategic reviews provides senior decision-makers with the information to enable planning for military operations and international engagement. As described in Chapter 3, the annual review is through the DPG, supplemented by the QSR.

Classification

4-5. Planning documents are rarely unclassified. Defence and other government departments and agencies are made aware of impending operations and potential deployments by Defence and Government communications on a need-to-know basis. The Government informs the public through public announcements.

STRATEGIC PLANNING FOR OPERATIONS DOCUMENT DESCRIPTIONS

CDF Planning Guidance

4-6. Guidance for operational planning, normally conducted by HQJOC, is provided through *CDF Planning Directives*. These are produced by a coordinated process involving VCDF Group (Military Strategic Commitments [MSC]), Strategy Executive (Strategic Policy [SP Division], International Policy [IP Division] and Ministerial Support and Public Affairs [MSPA] Divisions), the Defence Intelligence Organisation (DIO), and Headquarters Joint Operations Command (HQJOC). Service Headquarters, other Defence Groups and other Government Departments participate as necessary to support the development of strategic guidance and subsequent operational planning.

4-7. *CDF Planning Directives* are produced in two parts, as shown in Figure 10:

a. Part A focuses on the strategic context, including National and Defence strategic interests, priorities and objectives. This part also articulates the strategic risk and the relevant engagement aspects applicable to the planning requirement. Development of Part A is led by Military Strategy Branch of SP Division with contributions from MSC, DIO, IP Division, HQJOC and other stakeholders as applicable.

b. Part B provides CDF intent, planning direction, which will include mission, tasks, additional planning factors, constraints and limitations and the planning timeline. Development of Part B is led by MSC. Involved organisations will vary, but will include SP Division, IP Division, MSPA, DIO, HQJOC and where relevant, Service Headquarters.

4-8. Development of Parts A and B will normally be sequential, but if time constraints do not permit this, the two parts can be developed concurrently. The *CDF Planning Directive*, comprising both Parts A and B, is cleared by VCDF, Deputy Secretary Strategy (DEPSEC S) and CJOPS and submitted to CDF either directly or through the Strategic Command Group – Principals for endorsement, in consultation with the Secretary.

CDF Planning Directive INTRODUCTION Purpose Background	
PART A – STRATEGIC CONTEXT	**PART B – PLANNING DIRECTION**
National Strategic Level	**CDF Intent**
National Strategic Interests	Purpose, Method and End-state
National Strategic Priorities	**Proposed Mission**
Relationships and Engagement	Although likely to be proposed by CJOPS during back brief to Strategic Command Group
Strategic Risk	**Tasks**
Defence Strategic Level	**Additional Planning Factors**
Defence Strategic Interest	**Constraints and Limitations**
Defence Strategic Objectives	**Planning Timeline**
Defence Strategic End-State	

Figure 10: CDF Planning Directive Format

CHAPTER 5:
INTERNATIONAL ENGAGEMENT

THE CONTEXT FOR DEFENCE INTERNATIONAL ENGAGEMENT

5-1. Defence conducts international engagement activities to shape the strategic environment in ways that further Australia's national interests. Strategic planning guides defence engagement using the Defence White Paper and the DPG with the *Defence International Engagement Plan* (DIEP) used to set the detailed priorities and objectives for international engagement.

Defence Organisations Involved in International Engagement

5-2. Strategy Executive is responsible for managing Defence's international engagement, with much of this work managed within International Policy (IP) Division. IP Division leads the collaborative development of Defence's principal international engagement planning document, the DIEP, which has a five-year horizon. IP Division develops the DIEP in consultation with Groups and Services, and it reflects existing and evolving strategic guidance. The Services manage their participation in international activities through Service international engagement plans that link back to the Defence Engagement Objectives in the DIEP. Chapter 9 further describes the Service international engagement plans. HQJOC manage their participation in non-operational international activities in the *Program of Major Service Activities* (PMSA), which is used to schedule and coordinate key exercises and international engagement activities (see Chapter 6, paragraph 6-18 to 6-19 for more detail).

INTERNATIONAL ENGAGEMENT PROCESS

Documents and Systems

5-3. As shown in Figure 11, Defence international engagement is guided by the DIEP. The broad document descriptions in this Chapter below are supported by detailed descriptions at Annex B.

Process Flow for Engagement Planning

5-4. A process of regular strategic reviews provides senior decision makers with the information to enable planning for international engagement. As discussed in Chapter 3, the annual review is through the DPG, supplemented by the QSR.

Classification and Security

5-5. Engagement objectives and measures are sensitive and the DIEP is classified accordingly. Defence and Government communications inform Defence and other government departments and agencies of these objectives and measures on a need-to-know basis. Public announcements by the Government inform the public.

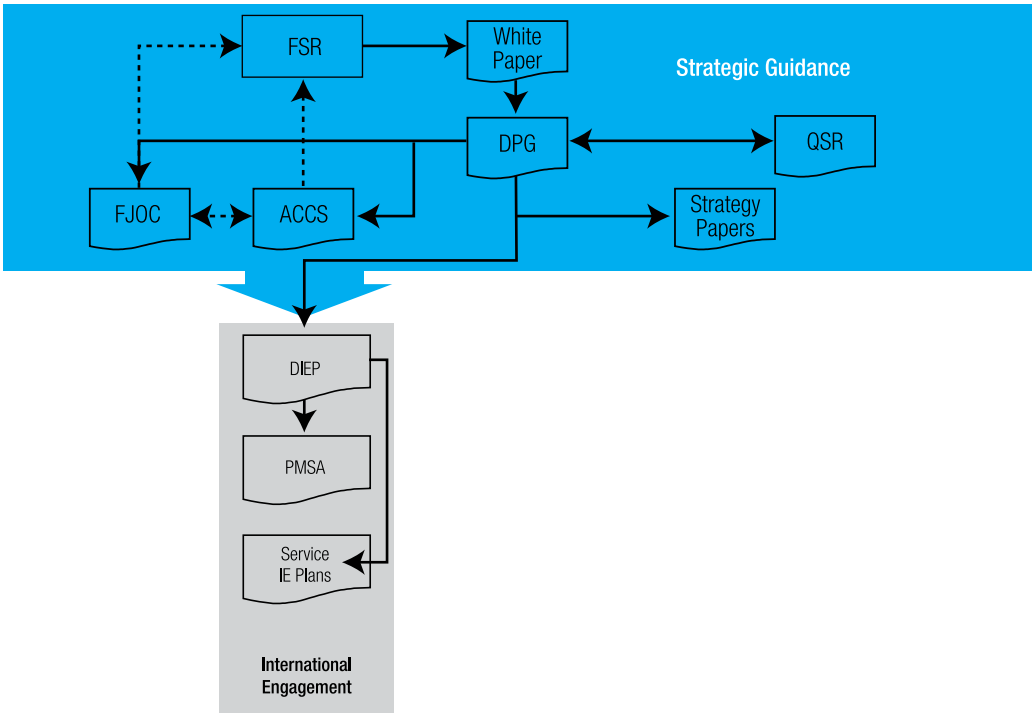


Figure 11: Defence International Engagement

INTERNATIONAL ENGAGEMENT DOCUMENT DESCRIPTIONS

Defence International Engagement Plan

5-6. The classified *Defence International Engagement Plan* (DIEP) sets out a hierarchy of international engagement objectives, performance measures, and initiatives for Defence's program of international engagement over a five-year period. It draws upon the *Defence White Paper* and the DPG for guidance and the formulation of Defence engagement objectives. These objectives provide for the strategic, Defence-wide prioritisation of our international relationships. The DIEP also provides specific guidance to enable the ADF to fulfil its combined operational preparedness requirements, and for our overseas attachés and the Services to conduct operational-level engagement activities. The PMSA supplements the DIEP to also cover operational level and selected Service international engagement activities.

5-7. The DIEP is produced through close consultation with the Defence International Engagement Group (DIEG). Key members of the DIEG, particularly the Services, write their own engagement plans aligned with DIEP guidance (see Chapter 9 for the Service plans) to ensure the coordination of single-Service and joint exercise planning with Defence's international engagement program.

5-8. The outcomes of the DIEP are:

a. first, the alignment of Defence's engagement and shaping operations with national objectives; and

b. second, clear links from strategic guidance to operational-level tasking for international engagement.

5-9. Many of the activities to support the DIEP are conducted through the PMSA. See Chapter 6 for a description of the PMSA.

CHAPTER 6:
PREPAREDNESS

THE CONTEXT FOR PREPAREDNESS

6-1. Preparedness consists of two components, readiness and sustainability. The Preparedness Management System (PMS) ensures that Defence is ready for anticipated military operations and is capable of sustaining these operations. Strategic planning guides preparedness. By its nature, the PMS is complex. As such, this chapter provides an overview of the PMS with ADDP 00.2 *Preparedness and Mobilisation* providing further detail.

Defence Organisations Involved in Preparedness

6-2. VCDF Group (Joint Capability Coordination [JCC] Division) is responsible for strategic management and reporting of Defence's preparedness. HQJOC manages the operational aspects of preparedness and the preparedness reporting system. Services and the other Groups manage and report their preparedness as part of their Raise, Train, and Sustain (RTS) functions. The *CDF Preparedness Directive* (CPD) details preparedness tasks and responsibilities for each of the Services and Groups involved in managing preparedness.

PREPAREDNESS PROCESS

Documents and Systems

6-3. As shown in Figure 12, key documents which guide and manage preparedness are the:

a. *Defence Planning Guidance* (DPG) (see Chapter 3), especially the incorporated Strategic Response Matrix (SRM); and

b. *CDF Preparedness Directive* (CPD);

c. *Quarterly Strategic Review* (QSR);

d. *Joint Operations Command Operational Preparedness Requirement* (JOCOPR);

e. *Program of Major Service Activities* (PMSA); and

f. *Australian Joint Essential Tasks* (ASJETS).

6-4. These documents form the backbone of the Preparedness Management System (PMS) in Defence and tabulated descriptions at Annex B support the broad descriptions below.

Process Flow for Preparedness

6-5. A process of regular strategic reviews provides senior decision makers with the information to adjust preparedness levels. As discussed in Chapter 2, the annual review is through the DPG, supplemented by the QSR.

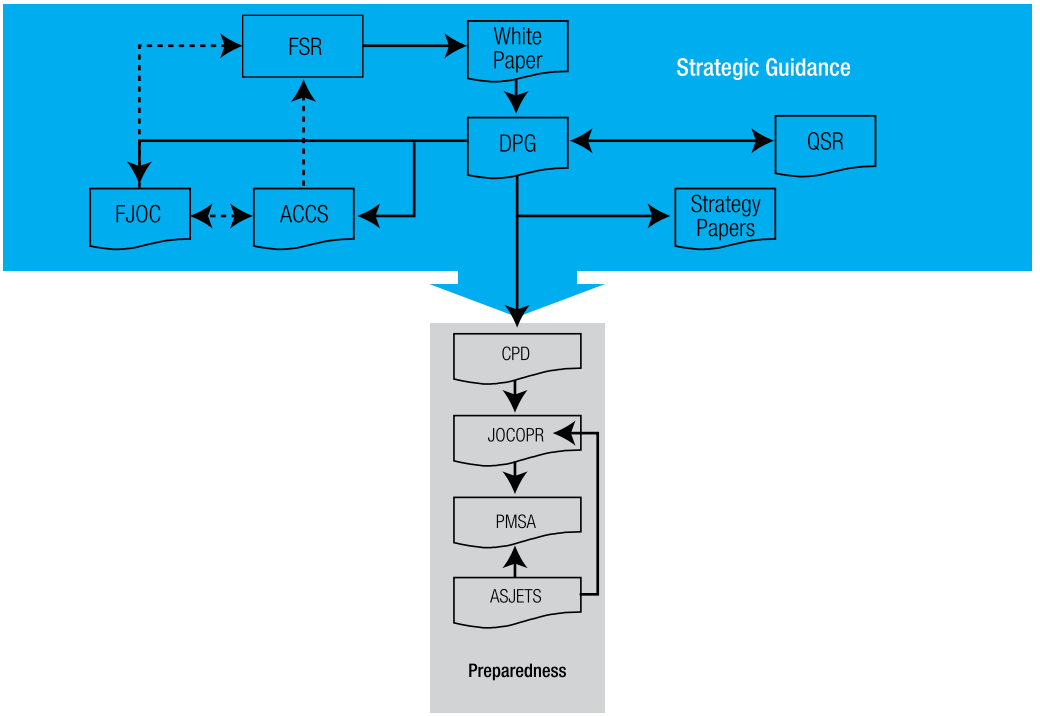


Figure 12: Preparedness

The Preparedness Management System

6-6. This section provides an overview of the Preparedness Management System (PMS). ADDP 00.2 *Preparedness and Mobilisation* describes the PMS more fully.

6-7. Preparedness is the combination of force readiness and sustainability (across all eight Fundamental Inputs to Capability [FIC][15]) and enables measurement of a force's ability to embark on and sustain military operations and other commitments relating to national security. Careful management of preparedness within fiscal constraints optimises the level of military capability available for operations.

6-8. The PMS is a mechanism that translates Government policy into resource allocations for the Services and Groups to generate and maintain the capabilities required to defend Australia and its national interests. The key outcome of the PMS is that Defence is appropriately postured for our current strategic environment and able to adapt to the demands of the future environment.

[15] See Chapter 7.

6-9. The PMS is represented by a continuous, four-phase cycle that is responsive to changes in our strategic environment. The four phases are development, implementation, reporting, and review, illustrated at Figure 13. The Strategy Framework is central to the development, reporting, and review phases of the PMS.

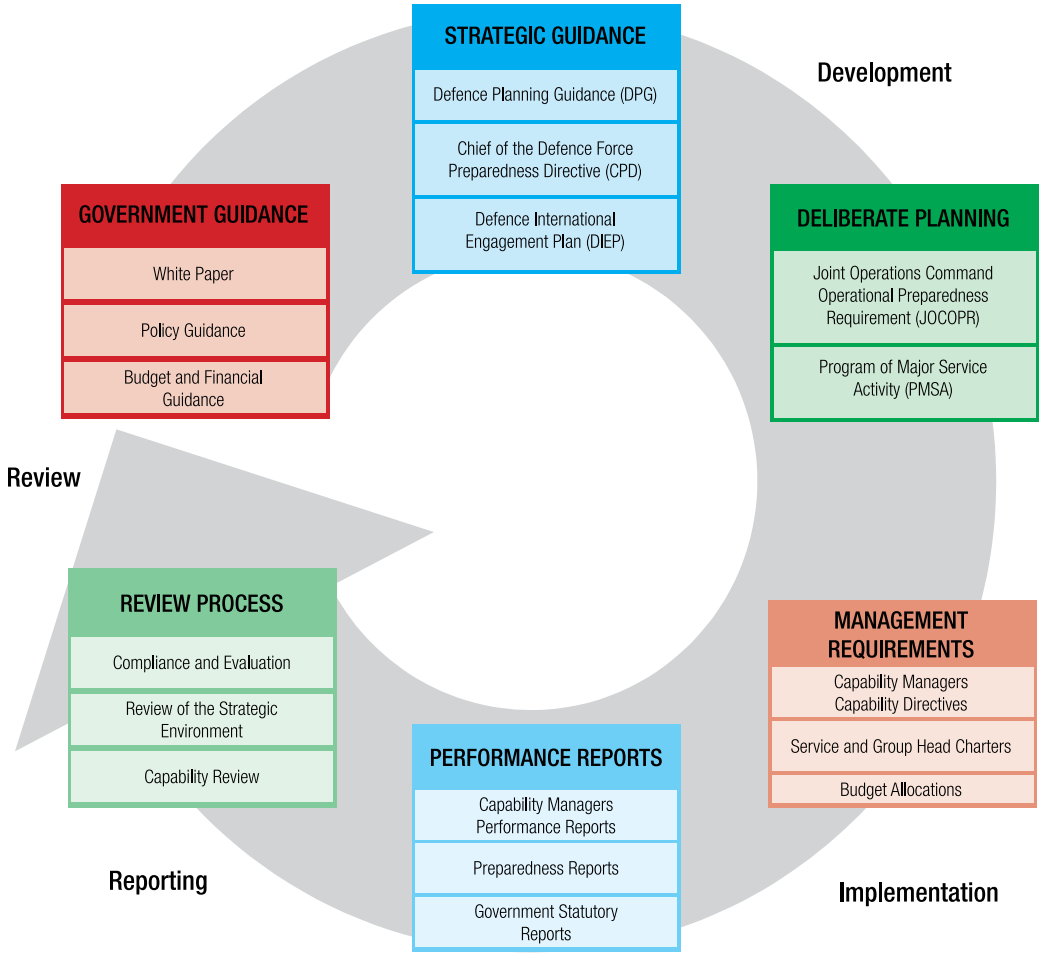


Figure 13: The Preparedness Management System

6-10. **Development**. Government guidance informs the PMS cycle, which is successively interpreted, analysed and refined to produce a number of strategic-level planning documents, including the CPD.[16]

[16] Not to be confused with CDF Planning Directives.

6-11. **Implementation**. Implementation in the PMS occurs when the demands of the JOCOPR are reconciled with resource allocations. Resources for RTS activities to meet preparedness levels are planned, agreed and allocated through the Defence Budget process, both directly and through Customer Service Agreements (CSA) and Materiel Sustainment Agreements (MSA). Preparedness and financial reporting monitor specific outputs to ensure preparedness levels are achieved.

6-12. **Reporting**. Preparedness reporting assesses the risk associated with new or existing operations by considering deficiencies in the Force-in-Being, concurrency pressures, force availability and sustainability, and resource issues. The reporting phase enables the CDF to compare the Force-in-Being's actual preparedness levels against those set in the JOCOPR and supported by Service and Group budget allocations. The *Defence Preparedness Assessment* (DPAS) is the primary report used by the SCG-P to monitor Defence preparedness and capacity to conduct new operations. In addition, the *Assessment of Future Risk to Capability* (AFRTC) every six month informs the SCG-P about potential future capability issues out to a four-year time horizon. The Preparedness Business Rules that form part of the CPD guide the development of the DPAS and AFRTC. These Rules are available from Director Preparedness Management in VCDF Group and guide development of the DPAS and AFRTC.

6-13. **Review**. Relevant documents including the *Defence White Paper*, DPG, the QSR and the DIEP, inform the review phase of the Preparedness Management System. This phase ensures that preparedness levels set in the development phase remain appropriate to strategic circumstances and Government guidance. In addition, regular reviews, such as the annual review of the JOCOPR ensure that strategy, capability, and preparedness remain aligned and congruent with national security objectives.

PREPAREDNESS DOCUMENT DESCRIPTIONS

6-14. **DPG**. The DPG (see paragraphs 3-20 to 3-24) provides Defence guidance on preparedness and concurrency expectations, with detail in tabular form in the Strategic Response Matrix annex.

6-15. **QSR**. The QSR (see paragraphs 3-25 to 3-29) provides three-monthly updates on the strategic environment to inform the PMS on potential priorities for new military operations.

6-16. **CPD**. The *CDF Preparedness Directive* (CPD) is the principal executive document in the PMS. It directs all Output Groups to achieve a posture aligned with Government guidance and strategic circumstances. In particular, the CPD:

a. directs CJOPS to produce the JOCOPR; and

b. assigns Capability Managers (CM) and Executives specific tasks and responsibilities to ensure Defence preparedness requirements are achieved.

6-17. **JOCOPR**. The *Joint Operations Command Operational Preparedness Requirements* (JOCOPR) specifies Defence preparedness requirements to achieve the outcomes sought by Government. It details the Readiness Notice (RN), roles, and operational outcomes for Defence Force Elements (FE) to meet a variety of contingencies without any practical or fiscal constraints. Capability Managers address any practical constraints by matching their Force Elements against the JOCOPR. This step informs the implementation phase.

6-18. **PMSA**. The *Program of Major Service Activities* (PMSA) is a rolling program of joint and combined exercises and activities (on 6 month, 18 month & 4 year cycles). The PMSA details activities planned to meet the requirements of the JOCOPR and the DIEP. The design of the PMSA ensures all capability and preparedness requirements are validated. These exercises and activities are the means by which the Government establishes confidence that Defence maintains its skills and capabilities at an appropriate level. The PMSA aligns with the JOCOPR through the ASJETS, which list the skills Defence needs to achieve Operational Preparedness Objectives (OPO) successfully with an acceptable level of risk.

6-19. The PMSA is led by preparedness requirements and international engagement priorities, supported by exercise management, and shaped by operational and training lessons. The DIEP and preparedness requirements direct Defence participation in exercises and other activities. Defence participation in these activities benefits joint training and preparedness evaluation. The ADF Activity Management System (ADFAMS) is a central element of the PMSA and is important to delivering support to preparedness management, operations and developing joint capability.

6-20. **ASJETS**. The *Australian Joint Essential Tasks* (ASJETS) are a list of the main tasks involved in the planning, preparation and conduct of military operations. The ASJETS are the essential tasks the ADF must be able to perform to achieve the Operational Preparedness Objectives (OPO) specified in the JOCOPR. Exercise planning uses the ASJETS to ensure all aspects of preparedness for the OPOs is tested. The ASJETS are based on doctrine and practice, capturing what needs to be done, without dictating how it must be done. The ASJETS use a language common to all the Services and are similar to US, UK, Canadian and NATO essential task lists.

CHAPTER 7:
CAPABILITY

THE CONTEXT FOR CAPABILITY

7-1. Capability development defines, gains Government approval for, and acquires capabilities that are employed by Defence in accordance with strategic priorities. Applying strategy to capability development helps to minimise risk and exploit opportunities consistent with Government's priorities while remaining within approved resource levels. Government's top-level priorities for capability are developed and promulgated through the *Defence White Paper* and the DPG.

Fundamental Inputs to Capability

7-2. Capability extends beyond the major capital equipment managed through the approval process by Capability Development Group and acquired by the Defence Materiel Organisation. Capability covers all of the Fundamental Inputs to Capability (FIC) and, therefore, is the combined effect of multiple inputs. Rather than being simply the sum of these inputs, capability is the synergy that arises from the combination and application of these inputs and this determines the level of capability in any particular context. In Defence, the FIC, are:

a. **Personnel**. All people within Defence, both military and civilian. The input incorporates recruiting, individual training and all conditions of service and employment, including entitlements, salaries and wages, superannuation and allowances.

b. **Organisation**. Flexible functional groupings with an appropriate balance of competency, structure and command and control to accomplish their tasks. This input also includes critical organisations that directly support the ADF effort.

c. **Collective training**. A defined training regime undertaken by organisations that is validated against the preparedness requirements for operations, and derived from Government guidance. The regime is to include frequency and depth of competency in skills with a particular emphasis on long-term readiness-critical, war-fighting skills.

d. **Major Systems**. Systems that have a unit cost of A$1m or more, or have significant Defence policy or joint Service implications designed to enhance Defence's ability to engage military power. Input includes, but is not limited to, ships, tanks, missile systems, armoured personnel carriers, major surveillance or electronic systems, and aircraft.

e. **Supplies**. Supplies needed for Defence to operate including stock holdings, provisioning lead times, serviceability and configuration status. There are ten supply classes, as described in Australian Defence Doctrine Publication (ADDP) 4 *Defence Logistics* and ADDP 4.2 *Support to Operations*.

f. **Facilities and Training Areas**. Buildings, structures, property, plant, equipment, training areas, civil engineering works, through life maintenance and utilities necessary to support capabilities, both at the home base and at a deployed location. This input may include direct ownership or leasing of facilities or training areas.

g. **Support**. Infrastructure and services from the wider national support base within Australia or offshore which are integral to the maintenance of Defence effort. The input is encompassing and could originate from civil/private industry/contractors, other Government agencies and international support base agencies.

h. **Command and Management**. Written guidance such as regulations, instructions, publications, directions, doctrine, tactical level procedures and preparedness documents required for Defence to support decision making, administration, and operations. Input also includes funding not readily attributable to any other FIC element (e.g. discretionary funding). [17]

Defence Organisations Involved in Capability

7-3. The centrality of capability development to Defence is shown by the active participation of many different organisational units across the phases of the Capability Systems Life Cycle (see Figure 14):[18]

a. Strategic Policy Division is responsible for managing the identification of Capability Needs (see Figure 15). This includes amplifying strategic guidance, identifying Government's strategic intent, and linking this to priorities and concepts for new capabilities. This work involves contributing strategic guidance to capability documents to ensure that the development, acquisition, and evaluation of capabilities aligns with Defence's strategic priorities. A key outcome of the Needs Phase is a transparent and auditable logic trail between Government direction and Defence capability development decisions. This responsibility is largely executed through the Force Structure Development Directorate (FSDD) of SP Division, in cooperation with the Capability Managers (VCDF, CN, CA, CAF, CIO etc), Capability Development Group staff and other stakeholders, such as DSTO.

Figure 14: Phases of the Capability Systems Life Cycle

[17] The FIC are defined doctrinally in ADDP 00.2 *Preparedness and Mobilisation*

[18] The Capability Systems Life Cycle is shown in Figure 14, but not described further. More detail on the Capability Systems Life Cycle is in the *Defence Capability Development Handbook* (DCDH).

b. Capability Development Group staff use this strategic guidance to finalise the Needs Phase by developing capability goals and programs through the Force Structure Review (FSR) process, which informs the *Defence Capability Plan* (DCP). This whole process extends from the articulation of capability goals and the assessment of capability needs, to the development of programs and plans showing how Defence will change in the future.

c. This is followed by the Requirements Phase, where Capability Development Group staff refines these goals and programs to develop progressively more tightly defined capability options and requirements. The Requirements Phase is described in the *Defence Capability Development Handbook* (DCDH).

d. In the Acquisition Phase, the Defence Materiel Organisation (DMO) takes these options and requirements and acquires new capability. DMO also manages the acquired system through its service life and supervises the withdrawal of the capability in the Disposal Phase.

e. Capability Managers play a fundamental role in all phases. In the Needs Phase in particular, Service Chiefs and other capability managers conduct their own gap analysis, often based on single-Service experimentation, to identify future capability requirements. Each battlespace domain Future Operating Concept contributes a conceptual framework to this development. The role of the Capability Managers is described in greater detail in the DCDH.

f. VCDF as the Joint Capability Manager is responsible for the Department's ability to generate and deliver joint capability. VCDF achieves the joint capability management function through Commander Joint Logistics, Commander Joint Health and Commander Joint Education, Training and Warfare. In addition, Joint Capability Coordination Division undertakes the role of Coordinating Capability Manager for other joint capabilities assigned to VCDF. HJCC, operating at the conceptual and policy level, works with Services and other Groups to generate and sustain joint capability. VCDF Preparedness Staff provide guidance on future preparedness requirements as an input to the DPG. HJCC produces the capstone Future Joint Operating Concept, which describes how the future force will operate in the future operating environment.

g. Workforce requirements analysis to explore the feedback between workforce and capability establishs the net workforce required, and any workforce risk to achieving fully developed capability.

Adjusting Defence's processes

7-4. The 2008 *Audit of the Defence Budget* (the Pappas Review) and the *Defence Procurement and Sustainment Review 2008* (the Mortimer Review) identified that Defence's strategy and its capability decisions needed to link more effectively in a transparent and auditable manner.

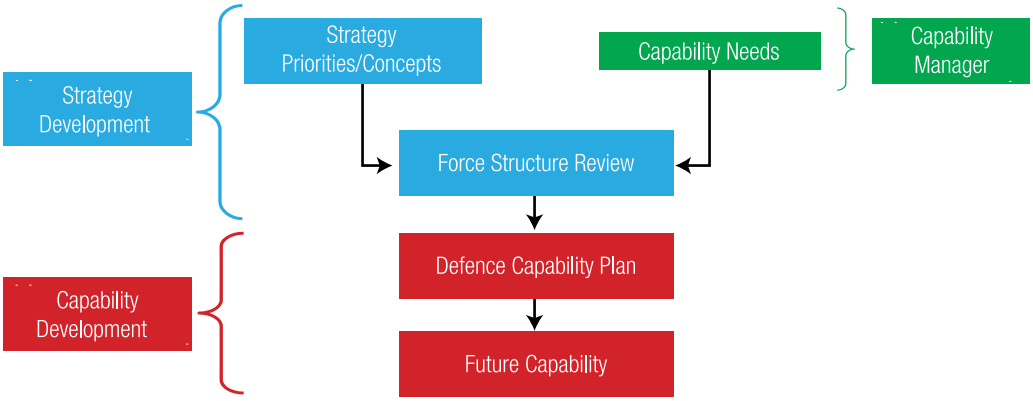


Figure 15: Capability Needs Phase Components and Responsibilities

7-5. The 2009 *Defence White Paper* stated that 'improved Defence planning processes will be crucial to the success of this White Paper.' The White Paper went on to announce that the Government would adopt a five-year planning cycle for major Defence decisions.[19] Chapter 3 explains this cycle. As part of this process, the White Paper stated Defence would adopt an institutionalised Force Structure Review (FSR) process, with improved processes for force structure development, definition of capability requirements, and development of capability proposals.[20]

7-6. This would lead to an improved force structure development process that strengthens the links between strategic guidance, force development, and capability decisions.[21] In the White Paper, Government directed that no force structure option or capability requirement would be considered in future unless it has been generated through this process.[22]

7-7. As a result, CDF and the Secretary directed the establishment of the Force Structure Development Directorate (FSDD) in Military Strategy Branch, Strategic Policy Division to improve the alignment between capability and strategy.

7-8. The role of the FSDD is to provide strategic guidance to capability development and to ensure capability decisions and force structure development aligns with strategic direction. This is achieved by the following functions:

a. Ensuring alignment between strategy and capability through close engagement with Capability Development Group and capability managers including the provision of authoritative guidance as the strategic basis for capability proposal documentation as well as active participation in the capability development process through representation in key capability review and decision committees.

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19 *Defence White Paper 2009*, para 13.12.

20 *Defence White Paper 2009*, para 8.74.

21 *Defence White Paper 2009*, para 8.72.

22 *Defence White Paper 2009*, para 8.73.

b. Developing and monitoring the force structure through oversight and coordination of the Force Structure Review (FSR) process. The FSR process will address the requirement mandated in the Defence White Paper for an improved force structure and capability development process. FSDD are responsible to develop and implement a process, including facilitating workshops and initiating necessary studies, which aligns the Capability Managers' force modernisation and capability development activities with the strategic guidance provided by the White Paper and subsequent DPG. The FSR process culminates in a distinct FSR activity in the fourth year of the five-year Defence White Paper cycle (see Figure 8 in Chapter 3). The FSR identifies capability gaps and prioritises capability goals across the ADF and Defence.[23]

7-9. The FSR leads to a revised DCP approved by Government. This revised DCP programs the planned capability acquisitions for the approved White Paper force structure. The Defence White Paper 2009 directs that the FSR process is the only method for considering new force structure options or new capabilities.

CAPABILITY PROCESS

7-10. The products (extant and under development) within or highly relevant to the Capability component of the Strategy Framework are:

a. *Defence Capability Plan* (DCP);

b. *Defence Capability Plan – Public Version* (DCP-PV);

c. Capability Roadmaps; and

d. Other strategic plans for Fundamental Inputs to Capability (FIC) including

(1) *People in Defence*,

(2) *Defence Strategic Workforce Plan* (DSWP),

(3) *Defence Information and Communications Technology Strategy*, and

(4) *National Defence Estate Strategy* (NDES).

7-11. Figure 16 depicts the relationship between these capability documents and plans, described in more detail below. As the SRP process matures, further development of this area will occur. There is a crucial relationship between the capability development documents and the Defence Budget (see Chapter 8).

CAPABILITY DOCUMENT DESCRIPTIONS

Defence Capability Plan

7-12. The classified *Defence Capability Plan* (DCP) is the ten-year program of new major capital equipment investment. The plan is reviewed bi-annually for programming purposes and as part of the FSR process to take account of changing strategic circumstances, new technologies and changed priorities, and the context of the overall Defence budget.

[23] Defence White Paper 2009, para 8.73

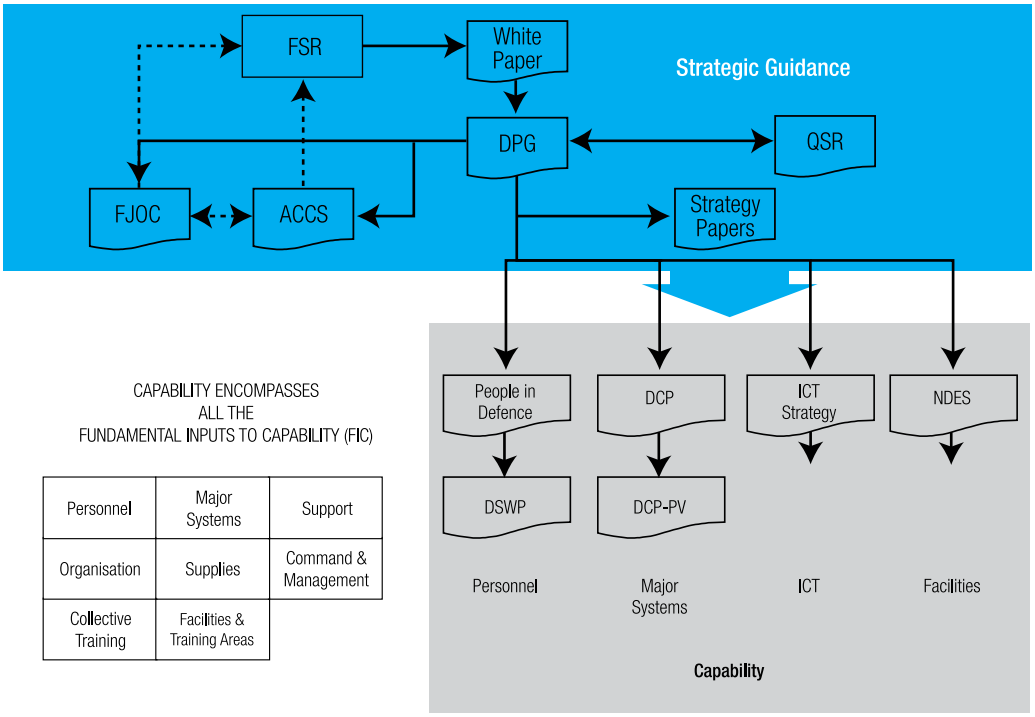

Figure 16: Capability Documents

7-13. An unclassified *Defence Capability Plan – Public Version* (DCP-PV) parallels the classified DCP to meet Government's commitment to keep Australian industry informed of Defence's acquisition planning. This helps industry effectively perform its role as a crucial component of national Defence capability. The DCP-PV covers major capital equipment proposals planned for Government consideration (either first or second pass approval) in the future.

Capability Roadmaps

7-14. Capability Roadmaps describe the proposed course of development within a particular capability area (defined by an effect such as strike, or a technology such as unmanned aerial vehicles). They add detail and act as a focus for analysis and coordination.

7-15. Chief Capability Development Group (CCDG) directs the production of Capability Roadmaps as required. CCDG ensures that these are linked to each other so that ADF capability is developed to focused, efficient, and complementary ends, with this result reflected in the DCP. VCDF (HJCC) also raises roadmaps for joint capabilities as required.

Other Strategic Plans for Fundamental Inputs to Capability (FIC)

7-16. Other material and intellectual inputs to capability are provided through supporting Defence and Service plans. As the SRP process matures, further development of the relationship between these inputs will occur. These include doctrine plans, Defence estate planning and investment, information technology plans and personnel plans. Service planning is discussed in Chapter 9 below and in single-Service instructions. Key supporting Defence plans and processes are:

a. ***People in Defence***. People Strategies and Policy Group produces *People in Defence: Generating the Capability for the Future Force*. This document provides a people vision and objectives to guide personnel policy measures to realise the Defence White Paper 2009.

b. ***Defence Strategic Workforce Plan*** (DSWP). The DSWP 2010-20 builds on the strategic direction of the *Defence White Paper 2009* and the SRP. The DSWP 2010-20 provides the link between *People in Defence* and the respective Service and Group People Plans. The DSWP is revised every five years and is released in the same year as the White Paper. The DSWP does four things:

(1) articulates Defence's approach to workforce planning to achieve the future workforce needed for the Defence capabilities required by Government;

(2) assess the workforce challenges and risks;

(3) distils guidance for the development of Service and Group Plans; and

(4) underpins the development of the Defence Workforce Planning Cycle (DWPC).

c. ***Defence Information and Communications Technology (ICT) Strategy***. The Chief Information Officer (CIO) released the *Defence Information and Communications Technology Strategy 2009* to place the remediation and reform of ICT capability in the context of the White Paper and the SRP. It take a whole-of-portfolio approach across the ICT domain to:

(1) considering investments and planning,

(2) increasing efficiency, and

(3) streamlining processes.

d. **National Defence Estate Strategy (NDES)**. The NDES is a ten-year capital investment plan for the Defence estate. The NDES reflects facilities and infrastructure priorities to support the introduction of new military equipment into operational service, as well as reinvestment required to maintain facilities to support Defence personnel and operations.

e. The Joint Doctrine Steering Group, chaired by VCDF, manages ADF doctrine, assigns priorities for doctrine production each year, and reviews completed work before publication.

CHAPTER 8:
BUDGET PLANNING

THE CONTEXT FOR THE DEFENCE BUDGET

8-1. The Defence internal budget process serves two main purposes. First, it provides for the allocation of resources, both funding and workforce, aligned with Government priorities. Second, Defence's budget planning process mirrors the broader Government budget process to ensure alignment with whole-of-government budgeting and financial management.

8-2. This chapter outlines the processes and framework by which Defence plans for, authorises, and expends its budget. The *Defence Portfolio Budget Statements*, budget updates, the Chief Finance Officer (CFO) Group's website, the People Strategies and Policy Group's website and the Department of Finance and Deregulation's website all provide further information.[24]

Linking Strategic Guidance to Resources

8-3. The *Defence White Paper 2009* and the Strategy Framework provides a mechanism to ensure that resources, both funding and workforce, are committed to activities aligned with strategic guidance. The documents within the Strategy Framework act as a yardstick to assess the relative merit of plans, projects, and activities. Those most closely aligned with the strategic guidance of the White Paper receive commensurate priority of resources. Those that align poorly are re-examined for their merit, and either redeveloped to better align with strategic guidance or discontinued.

8-4. The model at Figure 17 shows how the strategy and business planning frameworks work to reflect Government direction. This linkage ultimately results in the annual budget.

THE BUDGET PROCESS

The Australian Government Budget Process

8-5. The Budget process is designed to enable the Executive Government, within its fiscal strategy, to formulate policy priorities that are delivered through the Budget. The outcome of the Budget process is a set of decisions which, to implement, generally involves enabling Australian Government entities to spend money. Through the Budget process the Executive gains Parliament's authority to spend public funds, by the passing of annual Appropriation Acts. The Executive Government then allocates this money to its Departments of State and other Australian Government entities so they can undertake activities on behalf of the Executive Government.

[24] General Budget information is available at www.budget.gov.au.

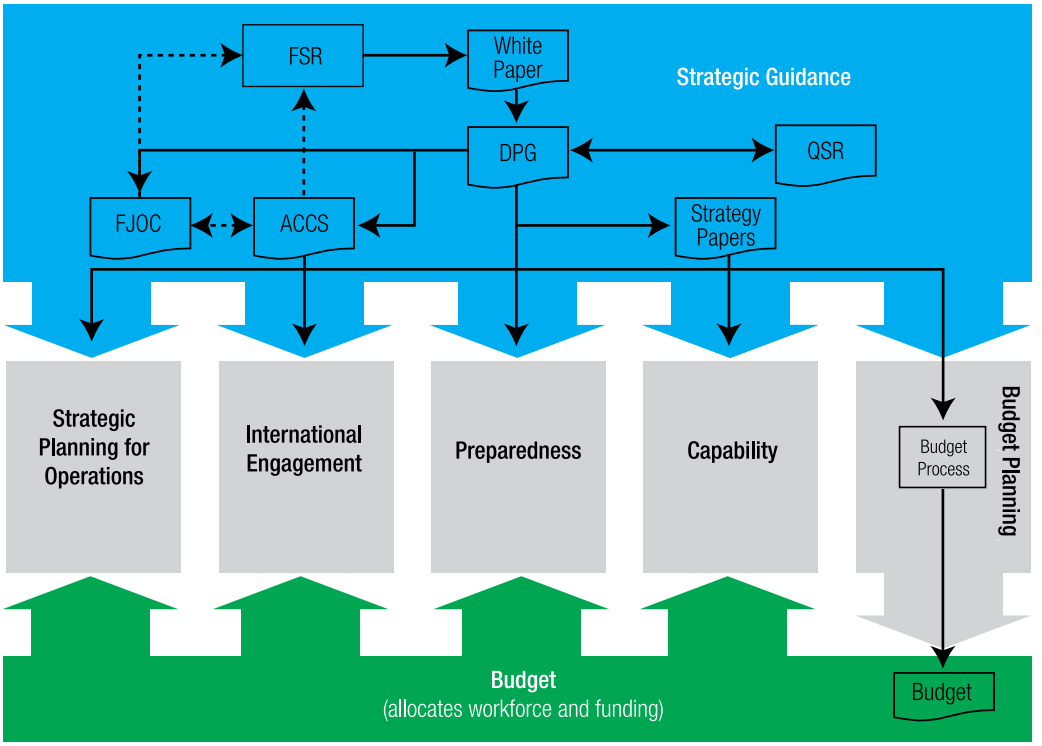

Figure 17: Simplified Defence Business Model

8-6. The priority setting and Budget decision processes usually occur between September each year and the following May, while the spending and reporting activities are ongoing throughout the cycle. This process aims to ensure that government decision-making is transparent and accountable, and based on sound financial and economic management principles.

8-7. The Budget papers, in particular Budget Paper No. 2, for Budget Measures, and agency *Portfolio Budget Statements* (PBS) document the planned use of public money and workforce allocations. Monthly financial statements report the actual use of Commonwealth resources through during the Budget financial year. *Consolidated Financial Statements* (CFS), the *Final Budget Outcome*, and agency annual reports detail actual expenditure and workforce allocations at the end of the financial year.

Defence Financial Framework

8-8. For the first time as part of the 2009-10 Budget, an Australian Government committed to funding for the life of the Defence White Paper out to 2030. This new funding package provides Defence with greater funding stability and certainty while requiring Defence to drive efficiencies and improve productivity. Defence's funding is based on the following funding principles:

a. 3 per cent average real growth to 2017-18;

b. 2.2 per cent average real growth from 2018-19 to 2029-30;

c. 2.5 per cent fixed price indexation from 2009-10 to 2029-30;

d. agreement that Defence will reinvest all savings from the SRP back into priority Defence capabilities;

e. shortfalls against the White Paper funding plan will be offset by Defence; and

f. an extension of the efficiency dividend of 1 per cent of the administrative activities for the life of the White Paper.[25]

8-9. This means that Defence now has a funding envelope articulated out to 2030 without the fluctuations and uncertainty of price updates to the Budget. The Budget will continue to be supplemented on a no-win, no-loss basis for fluctuations in the rate of foreign exchange and for Defence operations as directed by Government. Foreign exchange rates are updated annually in accordance with the budget timetable and Defence operations are also funded on an annual basis according to Government's directions and priorities at the time.

8-10. The Australian Government budget is updated publicly twice a year: – planned expenditure for the whole financial year is set out in agencies' *Portfolio Budget Statements* update, and then updated in the Mid-Year Economic and Fiscal Outlook (MYEFO), where agencies issue *Portfolio Additional Estimate Statements*. Proposals to vary budget and workforce allocations can only be actioned through approved Defence and Government processes.

8-11. Within Defence, the Workforce and Financial Management Committee (WFMC) is the pre-eminent decision making committee on financial and workforce matters. The members of the WFMC are the Secretary (co-chair) and the Chief of the Defence Force (co-chair). Senior financial and workforce managers from within the Department advise the Secretary and CDF.[26]

8-12. The WFMC's role is to consider and decide upon; funding and workforce requests for new or existing initiatives, New Policy Proposals (NPPs) to be put forward to Government; reprioritisation of Departmental resources; issues papers and standing items. Within the current budget framework and budget rules however, NPPs are minimal and emerging cost and workforce pressures within Defence must be resourced internally by re-prioritisation as a rule.

8-13. A proposal going forward to the WFMC must have its costs reviewed by the Chief Finance Officer (CFO) Group prior to consideration by the Committee. CFO Group analysis and recommendations regarding cost estimates do not convey approval of the proposal, but are a pre-requisite for consideration by the Committee. Likewise, the People Strategies and Policy (PSP) Group provide an analysis and briefing on any workforce implications of a proposal. Deputy Secretary Strategic Reform and Governance (DEPSEC SRG) advises on any proposals relating to the SRP. These three key advisors each provide advice and recommendation regarding proposals to assist the Secretary and CDF in their consideration of each proposal.

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[25] Defence White Paper 2009, paras 18.1-18.4

[26] These advisers and managers are the CFO, DEPSEC PSP, FASRA, FASFMR, HPC and DGWP. DEPSEC SRG is invited when SRP-related items are considered.

8-14. In addition, proposals must also consider and include provision for enabling support. Consultation with Defence Support Group and the Chief Information Officer Group, and where required, Vice Chief Defence Force Group, is therefore essential.

8-15. Two or three star level officers sign off on any proposals that are submitted and Groups Heads normally appear before the Committee to discuss the merits of their proposal. Further information on the WFMC is available on the Defence intranet on either the Senior Committees website or via the CFO FinD website.

The Defence Budget

8-16. The internal process used to develop the Defence Budget mirrors the whole-of-government framework to ensure consistency with those processes, and to ensure the same level of consultation, transparency, and rigour.

8-17. The CFO Group mirrors the role of the Department of Finance and Deregulation in this process. It also provides a source of independent financial advice to the Secretary and CDF to assist in their decision-making process.

8-18. All budget proposals emanating from the Service Chiefs, CEO DMO and Group Heads/Executives should have clear links to the Government-endorsed strategies and priorities of the Defence White Paper in order for proposals to be supported. All workforce and funding decisions will be made through the annual Budget process, which accounts for the bulk of Defence's budget decisions with a particular focus on proposals of a medium to longer-term nature. Each Government Department and Agency must seek approval from the Prime Minister to bring items forward in the Budget through the "SPBC letter" (Strategic Priorities and Budget Committee), normally sent at the end of October each year.

8-19. Alternatively, consideration of any urgent and unavoidable proposals outside the Budget process requires approval by the Prime Minister, and may be subject to additional Government requirements as set by the Cabinet from time to time. Operational deployments and associated rapid acquisitions are funded on a 'no-win, no-loss' basis following established NSC and departmental procedures for funding over and above the agreed Defence budget.

8-20. To ensure the Secretary and CDF meet their ministerial directive and that the Service Chiefs and Group Heads meet their charter obligations, the Secretary and CDF have agreed a number of budget rules. These provide the framework for managing the Defence budget at the Portfolio and Group levels, while providing sufficient flexibility for Group Heads to implement and manage their overall budget programs. The rules require Groups to review their financial performance on a monthly basis, explaining variations and highlighting risks and pressures. Groups are also expected to advise CFO Group of any significant budget matters including funding pressures, savings options, underspends or reprogramming requirements. The rules encourage Service Chiefs and Group Heads/Executives to return surplus funds, at an early stage, for reallocation without penalty.

BUDGET DOCUMENTS

8-21. Each year the Minister and Department release explanations of Defence spending to the public and international community. These documents provide information about the funds assigned to Defence, and details of new spending initiatives.

8-22. The most detailed documents are the *Portfolio Budget Statements*, the *Portfolio Additional Estimate Statements* and the *Defence Annual Report*. Their purpose is to inform Senators and Members of Parliament, and the community, of the proposed allocation of resources to government outcomes, by agencies, within the portfolio. Agencies receive resources from the annual appropriations bills, special appropriations, and revenue from other sources.

8-23. A key role of the *Portfolio Budget Statements* is to facilitate the understanding of proposed annual appropriations. In this sense, the *Portfolio Budget Statements* are officially Budget Related Papers and are declared by the Appropriation Bills to be 'relevant documents' to the interpretation of the Bills according to section 15AB of the *Acts Interpretation Act 1901*.

8-24. The *Portfolio Budget Statements*, the *Portfolio Additional Estimate Statements* and the *Defence Annual Report* are also available on the Defence intranet either through the Defence documents or via the CFOG FinD websites.[27]

THE IMPORTANCE OF BUDGET PLANNING

8-25. All strategic planning must fit within a framework of sound workforce and financial planning and management that conforms to the annual Budget cycle and broader government processes. Through the *Defence White Paper 2009* the Government committed to sustainable funding arrangements for the Defence budget into the future. This commitment provides funding certainty for planning and real funding growth to meet the growing cost of the military equipment the White Paper identified we will need in an increasingly demanding world. The White Paper provides guidance on Defence's strategic and capability needs to ensure that every dollar is targeted and managed to get the right Defence capability at the right cost.

[27] For the most recent *Portfolio Budget Statement* go to http://www.defence.gov.au/budget/index.htm.

CHAPTER 9:
STRATEGIC PLANNING IN THE SERVICES

PURPOSE

9-1. This chapter provides an introduction to Service-level strategic planning, including their key planning documents, respective environmental operating concepts,[28] international engagement plans, and experimentation processes. Service-level instructions provide detailed descriptions of each document.

9-2. The Services contribute significantly to the joint and departmental strategic planning described in earlier chapters of this handbook. They also conduct their own strategic planning giving guidance and direction about their specific environments and roles. Defence strategic planning informs Service strategic planning ensuring activities align with strategic guidance and contribute to meeting Government direction.

STRATEGY PLANNING IN THE NAVY

General

9-3. The Navy Strategic Planning Cycle aligns with higher Defence strategic planning arrangements, guides capability development efforts, and creates the conditions for innovation. The Navy Strategic Planning Process is focussed through the five-yearly White Paper review process and responsive to the DPG, QSR and other updates. The Navy strategic planning cycle informs the Force Structure Review conducted in the year prior to a new White Paper and is influenced through the FJOC and the Joint Experimentation framework.

9-4. Navy strategic planning is based around the three stages of capability management; the current force, the force-in-acquisition and the force-in-development. It seeks to derive the force-in-development capability needs and remediate the current force capability requirements to focus the Navy's support to ADF operational requirements.

9-5. Navy's strategic planning processes and accompanying suite of planning documents are currently under review subsequent to the New Generation Navy (NGN) program and the Strategic Reform Program 2009. Annex B provides a tabulated description of the Navy strategy documents described in this Chapter.

[28] Environmental concepts are also known as battlespace domain concepts and include the FMOC, FLOC and FASOC.

Navy Strategy Documents

9-6. *Australian Maritime Doctrine* (AMD 1) provides Navy and the ADF with the doctrinal guidance for successfully conducting the span of maritime operations. AMD 1 provides relevant doctrine for how Navy contributes to the conduct of maritime operations as a single Service, and as part of a joint and combined maritime force.

9-7. The *Future Maritime Operating Concept* (FMOC 2025) describes the way maritime combat power will be delivered by Navy or a joint or combined maritime force in the future. FMOC is the ADF's long-term, maritime, joint warfighting capability aspiration. It informs and guides capability needs and requirements for the future ADF in the maritime environment. The FMOC draws upon AMD 1 and recognises lessons from history to gain maximum benefit from the inherent qualities of sea power, whilst seeking to address its limitations. Whilst the FMOC is Navy-led, it is a joint document developed in collaboration with the other Services and in consultation with the other relevant areas of Defence.

9-8. The *Navy Strategic Plan* is Navy's short-term strategy that sets Navy direction for the immediate three year timeframe. It ensures the provision of capabilities for the current fleet and the future fleet in order to meet CN's Charter. In so doing the document outlines the strategic challenges facing Navy and relevant responses, including the prioritisation of resources.

Navy Experimentation

9-9. The Maritime Experimentation Program (MEP) seeks to provide a scientific basis for development of capability proposals. The Director Navy Capability Requirements and Analysis manages and coordinates this Program on behalf of the Navy Capability Committee.

9-10. The Maritime Experimentation Program achieves its various goals through:

a. **Headmark**. Headmark is the premier experimentation campaign in Navy for development of future operating concepts. Headmark seeks to better articulate concept development with a scientific rigour in order to develop concepts to inform capability proposals. Headmark is guided by the requirements of the joint experimentation framework to ensure that any concept experimented on pays appropriate attention to the joint warfighting requirements in the maritime domain and battlespace. The result of this rolling three-year cycle and five-year forecasting program informs capability development and assists the evolution of future operating concepts for the maritime domain.

b. **Maritime Force Options Testing**. The Maritime Experimentation framework seeks to experiment with future maritime force options through rigorous testing against the ACCS. The aim of maritime force options testing is to develop a suite of recommendations in preparation for the four-yearly force structure review. Through regular maritime force options testing, the Maritime Experimentation framework seeks to ensure rigorous assessment of future force options.

(1) **Gap Analysis**. Gap Analysis is conducted to assess the remediation of the current maritime force. Gap analysis seeks to scientifically test several options to the current fleet to

recommend remediation pathways to ensure successful capability delivery in accordance with the JOCOPR.

(2) **Staff sponsored experimentation**. This series of experimentation seeks to engage the wider Navy audience to test various alternate future strategic environments in order to determine essential and preferred force options that will be enduring regardless of the future strategic environment.

Navy International Engagement

9-11. International engagement is fundamental to achieving Navy's mission. CN's international engagement priorities, which articulate Government-agreed, whole-of-Defence priorities, are developed in the *Navy International Engagement Plan* (NIEP) which is used by Navy's international engagement practitioners at all levels to execute CN's intent. This allows for an increased ability to undertake existing international engagement activities, identify, and develop new opportunities and to use judgement to prioritise activities within resource constraints. The NIEP supports the DIEP in the achievement of Defence engagement objectives.

STRATEGY PLANNING IN THE ARMY

General

9-12. Army's strategic planning cycle is aligned to higher Defence strategic planning arrangements and is iterative in response to the publication of new strategic policy guidance and key Defence policy documents. The strategic planning environment allows for regular analysis of the framework documents and the Land Force's current and future operating environment in order to provide guidance on how the Army will fulfil its responsibilities as part of a whole-of-government approach to resolving modern conflicts. This includes how the Land Force will be structured, what equipment it will have and how it will operate. The process recognises the need for flexible and robust strategies to meet concurrency and other emerging challenges that Army is likely to face. Annex B provides a tabulated description of the Army strategy documents described in this Chapter.

Army Strategy Documents

9-13. The *Chief of Army's Strategic Guidance for Land Forces* (CASG) directive provides a unified and comprehensive strategic policy context for Army. This directive consolidates relevant direction on: the likely nature, size, and scale of tasks; force level requirements; and characteristics of Land Force operations that Government could reasonably expect Army to undertake in current and future timeframes. The CASG draws from the applicable key judgements contained within Army's concept hierarchy.

9-14. Army's capstone concept document *Adaptive Campaigning-Future Land Operating Concept* (AC-FLOC) provides the conceptual and philosophical framework and force modernisation guidance for

the Land Force's response to the complexities of the future security environment. It analyses the contemporary conflict environment and details future capability directions for the Australian Army. By utilising five interdependent and mutually reinforcing Lines of Operation, AC-FLOC seeks to influence and shape perceptions, allegiances and actions of a target population to achieve the accepted enduring conditions.

9-15. The *Fundamentals of Land Warfare* (LWD 1) provides Army with the doctrinal guidance for achieving its mission of winning the land battles of the twenty-first century. LWD 1 sits at the apex of the Army doctrine hierarchy and represents a 'best practice' approach towards strategic thinking about land power. It provides relevant doctrine for the conduct of land operations by Army in partnership with the other two Services, as well as with friends and allies, as part of a Government-wide contribution to conflict resolution.

9-16. The *Chief of Army's Preparedness Directive* (CAPD) provides strategic-level guidance to Army on matters affecting preparedness and Army's capacity to balance its raise, train and sustain obligations within increasing operational responsibilities to Government. The CAPD is Army's statement of achievable levels of readiness, providing the strategic guidance within Army on the division of key tasks. It also articulates Army's Directed Level of Capability, the agreed Army deficiencies, and reinforces CA's key priorities. The CAPD is subordinate to, and informed by, the CPD.

9-17. *The Army Plan* (TAP) has been implemented to ensure that Army meets the Government's strategic guidance and capability development requirements. The annual TAP Review Cycle allows Army to regularly review its force structure plan to ensure that Army's priorities continue to be met over time. TAP is divided into two parts:

a. **TAP Part One**. Coordinates successful implementation of those capability changes that have been endorsed for implementation and given appropriate resources (the Approved Future Force [AFF]); and

b. **TAP Part Two**. Coordinates the bringing forward of capability proposals from the Army Objective Force (AOF) to approval and entry into the AFF.

9-18. The broad framework in which TAP Part One is created and updated is the Army Continuous Modernisation Process (ACMP). The Army's approach to continuous modernisation is founded upon a concept-led and capability-based (CL-CB) approach. Apart from describing the processes and relationships that link the three states of Army modernisation (the Army-in-Being [AIB], the AFF and the AOF) the ACMP defines the methods by which Army develops capability requirements and coordinates the introduction into service of Army capabilities.

Army Experimental Framework (AEF)

9-19. The Army Experimental Framework (AEF) supports Army's continuous modernisation by providing an analytical framework to define, test, and refine concepts and capabilities. The AEF extends out to the 2020–30 timeframe through the *Continuum of Land Force Capability*. This continuum starts with the

AIB and progresses through the AFF to the AOF using the conceptual model of the Army After Next to inform the three states of Army. This experimentation approach provides Army with the discipline, tools, and processes to test and refine well ahead of any force structure changes and capability acquisitions. The AEF seeks to ensure the timely consideration and development of integrated plans for each of the elements of Army capability. The AEF integrates with other the other Services to ensure experimentation validity is achieved in the joint environment, and uses the ACCS.

Army International Engagement

9-20. The *Army International Engagement Plan* (AIEP) is Army's capstone document for the conduct of all Army international engagement activities and supports Government-agreed Defence priorities. The AIEP integrates Army's international engagement activities and initiatives within the wider Defence international engagement strategy. The AIEP articulates the range of activities that Army participates in and provides the requisite guidance, authority, and framework to Army Commands and Agencies to enable the development and conduct of engagement in support of Army objectives. It supports the DIEP in the achievement of Defence engagement objectives and provides Army with a sustainable, prioritised, and synchronised program of activities.

STRATEGY PLANNING IN THE AIR FORCE

General

9-21. Air Force strategic planning is aligned with Defence strategic guidance and conforms with the capability and business planning requirements of Air Force. Strategy planning documents are pivotal to Air Force's strategic planning process. Annex B provides a tabulated description of the Air Force strategy documents described below.

Air Force Strategy Documents

9-22. The *Air Power Manual* is the Air Force's principal air power doctrine publication. It draws together the complex factors that define Air Force's air power and describes that air power in a way that recognises the need to prepare for operations within an increasingly seamless ADF. The *Future Air and Space Operating Concept* (FASOC) articulates the Air Force's preferred aim point as it transitions through the DCP and describes how the future force created by the DCP will operate until about 2025. *DI(AF) ADMIN 2-3 Capability Management in the RAAF*, establishes the policy for the management of Air Force capability to achieve a force structure that is prepared for immediate and future operations. It defines the planning documents required, such as the *Air Force Plan* and *CAF Capability Intents*.

Air Force Experimentation

9-23. The Air Force Experimentation Capability has been established within Air Force Headquarters to plan, manage, and conduct a single-Service experimentation program on behalf of CAF. Air Force experimentation contributes to a strategy-led force modernisation process in two main ways.

a. Firstly, it forms part of Air Force's internal concept development process, where it can be used to inform, test and evaluate air and space power concepts. Once 'validated' through experimentation, these concepts can be used to provide context and guidance to the Air Force Capability Manager.

b. Secondly, Air Force experiments provide a means of assessing the suitability of planned force structures and organisations, thereby identifying possible capability gaps and further opportunities to increase the effectiveness of the force's air power generation and sustainment process. Force modernisation-based experiments are synchronised with the improved ADF force structure review process directed by the *Defence White Paper 2009*.

9-24. Air Force experiments are always conducted in a joint force context and are generally set 10 to 15 years into the future to encompass the planned force to be delivered through the extant DCP.

9-25. Where possible the Air Force Experimentation Capability will continue to leverage-off the longstanding and productive relationship with the experimentation programs of key allies to further develop and explore coalition warfighting dimensions.

Air Force International Engagement

9-26. The *Air Force International Engagement Strategy* (AFIES) is the principal document that defines the Air Force's international engagement activities and priorities. The document further defines the objectives laid down in the DIEP to identify and prioritise the levels of engagement and interoperability sought and the areas to be targeted through bilateral and multilateral activities conducted between the Air Force and foreign forces. The AFIES is intended for use throughout the Defence organisation, particularly in those areas that are at the forefront of Air Force international engagement. It provides strategies and priorities for engaging other armed forces throughout the world.

CHAPTER 10:
SYNCHRONISING THE STRATEGY FRAMEWORK

MANAGEMENT

10-1. Deputy Secretary Strategy is responsible for ensuring the congruence, coherence and comprehensiveness of the Strategy Framework, by:

a. designing the Strategy Framework in consultation with stakeholders;

b. maintaining the effectiveness of the Strategy Framework by ensuring links between components are maintained, by periodically reviewing it, and amending it where appropriate;

c. documenting the framework via the *The Strategy Framework* handbook; and

d. communicating the Strategy Framework so that staff and decision-makers are aware of the functionality of the system.

ANNUAL TIMETABLE

10-2. The processes in the Strategy Framework predominately follow an annual cycle. A diagram of this cycle is at Figure 18. The timeframe for the documents and processes during the budget cycle are:

By end-May	Broad outcomes and strategies of the DPG agreed.
June	Defence Committee consider the DPG.
By end-July	Government endorse the DPG through the NSC.
	Defence endorses reviews of FJOC and ACCS (if due for review in that year).
By end-September	Defence endorsement of the high-level strategic plans, including the *Defence Strategic Workforce Plan*. Presentation of resource bids and draft New Policy Proposals for the draft Defence *Portfolio Budget Submission* (Service Chiefs/ Group Heads – Workforce and Financial Management Committee).
By end-October	Defence presents first draft of the Defence *Portfolio Budget Submission* to accompany Defence Minister's "SPBC letter" (Strategic Priorities and Budget Committee) (CFO – Workforce and Financial Management Committee).
November	Strategic Priorities and Budget Committee (SPBC) of the Cabinet. (CFO – Workforce and Financial Management Committee).
	Defence endorsement of the *Joint Operations Command Operational Preparedness Requirement* (JOCOPR).

January	Update estimates before Expenditure Review Committee consideration,
By end- February	Defence lodges *Portfolio Budget Submission*, based on guidance provided in Senior Minsters' Review (CFO – Workforce and Financial Management Committee.
March	Expanded NSC (including Minster for Finance) considers Budget submission.
April	Budget estimate updated.
	Budget Cabinet (CFO – Workforce and Financial Management Committee).
May	Annual Budget (CFO – Workforce and Financial Management Committee).

CONTINUOUS IMPROVEMENT OF THE HANDBOOK

10-3. Currently this handbook describes a collection of documents, extant or under development, which form key parts of the Strategy Framework. Intended users of the handbook include staffs within Defence who need to understand how their work relates to others. Strategy planning is a complicated process and hence understanding and maintaining the relationships between documents and between components is critical to ensure that strategic planning for Defence is congruent, coherent, and comprehensive.

10-4. As SRP processes mature, there will be changes to the Strategy Framework. *The Strategy Framework* will be reviewed annually to incorporate such changes.

Note: Figure 18: Synchronising Strategy Framework Products is overleaf.

	Document	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
	TSF	The Strategy Framework (2 yearly update cycle - paired with DCDH)											
	DPG		1st draft		2nd draft		To DC		To NSC		Prepare for next DPG		
	QSR		Develop 1/xx	Distribute 1/xx		Develop 2/xx	Distribute 2/xx		Develop 3/xx	Distribute 3/xx		Develop 4/xx	Distribute 4/xx
Strategy Executive	Strategy Papers	As required to address issues											
	CDF Planning Directive Part A	As required to provide strategic guidance for operational planning											
	Strategy/ Concept Development Projects	As required (eg ACCS or specific research projects for external sources)											
	Force Structure Advice	FSDD / FSR cycle (to be developed further). Use inputs from analysis, workshops, studies, concepts and experimentation cycles)											
	DIEP							Develop		Consult			Issue
VCDF Group	CDF Planning Directive Part B	As required to provide strategic guidance for operational planning											
	CPD				1st draft		2nd draft		To DC		CDF signoff		
	FJOC	Reviewed at intervals not exceeding three years											
	Joint Experimentation	Conducted annually. Refine Service identified gaps and ICDSs. ICDSs developed in Years 1-3 of White Paper cycle to inform Year 4 FSR											
CDG	DCDH	Defence Capability Development Handbook (2 yearly update cycle - paired with TSF)											
	DCP						Public Release			Update process commences		To DC	
Services	Enviornmental (Service) Concepts (FMOC, FLOC, FASOC)	Reviewed at intervals not exceeding three years											
CFO Group	Estimates Update	Pre ERC update estimates			Budget estimate updated	Budget					Additional Estimates updated	PAE Statements Tabled	
	Budget Submission		Lodge Portfolio Budget Submission	Expanded NSC meeting	Budget to Cabinet	Budget					SPBC letter to PM on next Budget		SPBC meeting
	Senate Estimates (SE)		Additional Estimates SE Hearing				Budget SE Hearing				Budget Estimates Supplementary SE Hearing		
	Financial Statements									Audit completed			

Figure 18: Synchronising Strategy Framework Products

LIST OF ANNEXES

ANNEX A – STRATEGY FRAMEWORK PRODUCT DESCRIPTIONS

Defence White Paper

Defence Planning Guidance (DPG)

Quarterly Strategic Review (QSR)

Australian Capability Context Scenarios (ACCS)

Foundations of Australian Military Doctrine (APDD-D)

Future Joint Operating Concept (FJOC)

CDF Planning Directives

Defence International Engagement Plan (DIEP)

CDF Preparedness Directive (CPD)

Joint Operations Command Operational Preparedness Requirement (JOCOPR)

Defence Capability Plan (DCP)

Defence Strategic Workforce Plan (DSWP)

National Defence Estate Strategy (NDES)

ANNEX B – SERVICE-LEVEL STRATEGY DOCUMENTS

Australian Maritime Doctrine (AMD)

Future Maritime Operating Concept (FMOC)

Navy Strategic Plan

Navy International Engagement Plan (NIEP)

Adaptive Army

Chief of Army's Strategic Guidance for Land Force

Adaptive Campaigning-Future Land Operating Concept

Chief of Army's Preparedness Directive

Army International Engagement Plan

Future Air and Space Operating Concept (FASOC)

Air Force Plan

CAF Capability Intent

Air Force International Engagement Strategy

Note: Abbreviations for appointment holders are not listed in the abbreviation table in this handbook. Users should refer to the Defence Functional Directory and Service instructions to identify the full titles of listed appointments.

ANNEX A TO
THE STRATEGY FRAMEWORK 2010

STRATEGY PLANNING FRAMEWORK PRODUCT DESCRIPTIONS

DEFENCE WHITE PAPER

Product Name		**Defence White Paper**
Abbreviated Name		**N/A**
Intent		• Articulate the strategic priorities that guide the Defence • Provides unclassified strategic guidance • Identifies the contingencies Australia might face out to a 20-year horizon • Identifies the relative priority for providing a Defence response to contingencies • Identifies objectives and relative priorities to guide relationships with organisations outside Defence including allies, international partners, other government agencies and the national support base • Considers all Fundamental Inputs to Capability • Includes security environment analysis for the future
Outcome		• An informed Defence, national support base, Australian public and allies cognisant of Government national security objectives and guidance on how these can be met
Product Timeframe		Covers all timeframes of the Strategy Framework, giving planning components in the short-term and intent components in the long-term
Sponsor		Minister for Defence
Drafter		DEPSEC S
Drafting Group Participants		TBA by DEPSEC S
Review Group Participants		TBA by DEPSEC S
Endorsed by		NSC/Cabinet through DC
Content Outline		TBA
Process Relation-ships	Predecessors	Current DPG and Defence White Paper and other strategic updates, budgetary information, Government announcements
	Partner	Nil
	Successors	DPG
Superseded products		Earlier editions of the Defence White Paper
Product Access		UNCLASSIFIED
Product Review		Five-year cycle as directed by Government.

DEFENCE PLANNING GUIDANCE

Product Name		***Defence Planning Guidance***
Abbreviated Name		**DPG**
Intent		• Articulates the strategic priorities that guide Defence • Shapes unclassified strategic guidance • Identifies the contingencies Australia may face in the short and long-term out to a 20 year horizon • Identifies the relative priority for Defence contingencies • Identifies objectives and relative priorities for relationships with organisations outside Defence including allies, international partners, other government agencies and the support base • Outlines Australia's military strategy • Considers all Fundamental Inputs to Capability • Includes security environment analysis for the future
Outcome		• An informed Defence strategic planning community able to prepare plans for the Defence across all FICs that generate capabilities and response options to meet Government objectives and priorities
Product Timeframe		Covers short-term (0–5 years) to long-term (20 years)
Sponsor		SEC/CDF
Drafter		ASSP
Drafting Group Participants		As advised by DEPSEC S
Review Group Participants		FASSP, FASMSPA, DCN, DCA, DCAF, DCJOPS, CJLOG, CDS, HPC, HICMD, DGCP, FASBFP, FASCIR, FASIP, ASCS, COO DS
Endorsed by		NSC through COSC and DC
Content Outline		National Security and the Role of Australia's Armed Forces; The Strategic Environment; The Strategic Basis for Force Development; Managing Risk in the Current and Future Strategic Environment; Defence Strategic Planning Guidance and Priorities.
Process Relation-ships	Predecessors	Government White Papers and Strategic Updates, national security policy and strategies, Government budget, Government announcements
	Partner	nil
	Successors	ACCS, FJOC, QSR, CDF Planning Directives, CPD, DIEP
Superseded products		Earlier editions of the DPG
Product Access		CLASSIFIED
Product Review		Annual

QUARTERLY STRATEGIC REVIEW

Product Name		***Quarterly Strategic Review***
Abbreviated Name		**QSR**
Intent		• Advise SCG-P of recent changes in strategic environment that affect the likelihood and circumstances in which the ADF may be required to undertake operations out to 18–24 months. • Identifies emerging issues that SCG-P should be aware of and highlight those that might require action. • Identify preparedness issues that might require SCG-P attention.
Outcome		• A strategic planning community and Defence prepared to provide operational options to meet Government objectives over the next 24 months
Product Timeframe		Set in the short term (i.e. 0–5 years) timeframe of the Strategy Framework and generally covers 3–24 months from current date
Sponsor		DEPSEC S
Drafter		DDSA
Drafting Group Participants		The QSR is coordinated by Military Strategy Branch in cooperation with the QSR Working Group, which consists of representatives from International Policy Division, HQJOC, VCDF Group (Preparedness and MSC), Army, Navy, Air Force, DIO, CIO Group, Strategic Logistics and DMO
Review Group Participants		QSR Steering Group. This consists of DEP SEC S, VCDF, CJOPS, DEPSEC I&S, HMSC, HJCC, DDIO, FASSP, FASIP and DGMS.
Endorsed by		CDF through SCG-P.
Content Outline		CLASSIFIED
Process Relation-ships	Predecessors	DPG, DIO Strategic Outlook
	Partner	Concurrency MINSUB, Defence Preparedness Assessment
	Successors	Strategy papers, CDF Planning Directives
Superseded products		Earlier QSR
Product Access		CLASSIFIED
Product Review		Quarterly

AUSTRALIAN CAPABILITY CONTEXT SCENARIOS

Product Name		**Australian Capability Context Scenarios**
Abbreviated Name		**ACCS**
Intent		• Provide a classified/strategic testing tool for capability and concept development
Outcome		• Enable components of Defence to make broad capability and conceptual conclusions by using a standardised set of scenarios with an updated threat context in real geographic terms
Product Timeframe		Set in the long-term (i.e. 15–20 years) timeframe of the Strategy Framework
Sponsor		DEPSEC S
Drafter		DMSC&FW
Drafting Group Participants		ASSP, DGMS, DGNCPE, COMD LWDC, DGSP-AF, DDIO, DGPLANS (DOP), DGSL, DGPG, RLSC, ASISF, DGWP, DGCP
Review Group Participants		FASSP, DCN, DCA, DCAF, DDIO, DCJOPS, CJLOG, HPC, HICMD, DGCP
Endorsed by		COSC
Content Outline		N/A
Process Relation-ships	Predecessors	DPG, White Paper
	Partner	FJOC
	Successors	Capability Roadmaps
Superseded products		Australian Illustrative Planning Scenarios (AIPS) 2002, 2004, earlier editions of the ACCS
Product Access		CLASSIFIED
Product Review		Reviewed every three years

FOUNDATIONS OF AUSTRALIAN MILITARY DOCTRINE

Product Name		**ADDP-D *Foundation of Australian Military Doctrine***
Abbreviated Name		**ADDP-D**
Intent		• Outlines the strategic military doctrine of the ADF and the Australian approach to warfare • Provides strategic guidance for ADF development and employment, including the development and application of subordinate doctrine • Written from a strategic perspective to provide professional military guidance for the planning and execution of ADF operations at all levels • Also describes the relationship between national policy and ADF operations with regard to: national security and strategic policy issues applicable to Australia; the nature of international conflict, and the application of armed force in international affairs; the constitutional, political, legal, and administrative contexts and arrangements within and under which Australia may use armed force
Outcome		• A comprehensive body of doctrine describing how the ADF fights • It places all subordinate doctrine in a strategic context
Product Timeframe		ADDP-D is an enduring document, covering all timeframes of the Strategy Framework.
Sponsor		FASSP
Drafter		JWDTC
Drafting Group Participants		FASSP, COMDT JWDTC, CA, CAF, CN, HQJOC, DEPSEC I&S, HPC, DCJOPS, CJLOG, CIO, HICMD, HDL, LWDC, Aerospace Studies Centre, SSC
Review Group Participants		Joint Operations Doctrine Group (chaired by VCDF)
Endorsed by		COSC
Content Outline		Role of Doctrine, National Security and Military Power, Conflict and War, Australia's Principles of War, The Australian Approach to War, Applying Military Power: Australian Warfighting Concept, Legal and Public Policy Aspects and Strategic Level, Preparedness and Mobilisation
Process Relation-ships	Predecessors	DPG, FJOC
	Partner	N/A
	Successors	ADDP-D.1 *Australian Approach to Warfare*, ADDP-D.2 *Force 2020*, ADDP-D.3 *Joint Operations for the 21st Century* (FJOC), ADDP-D.3.1 *Network Centric Warfare*, ADDP 00.2 *Preparedness and Mobilisation*
Superseded products		ADDP–D first edition 2002.
Product Access		UNCLASSIFIED
Product Review		At no more than five-year intervals

FUTURE JOINT OPERATING CONCEPT

Product Name		**Future Joint Operating Concept** (2007 edition titled *Joint Operations for the 21st Century*)
Abbreviated Name		**FJOC**
Intent		• Explains CDF's vision of the 'ways' the ADF will operate in the Defence White Paper time frame • Informs the Force Structure Review process • Informs the longer term development of ADF capability
Outcome		• Provides a shared understanding within the strategic planning community of CDF's vision for the ADF, with a focus on the way the future force might conduct operations
Product Timeframe		Set in long term - DWP time frame
Sponsor		VCDF
Drafter		HJCC
Drafting Group Participants		ASSP, DGMS, DGNCPE, COMD LWDC, DGSP-AF, ASCS, DGPLANS (DOP), DGSL, DGPG, RLSC, ASISF, DGIPP, DGWP, DGCP
Review Group Participants		FASSP, DCN, DCA, DCAF, ASCS, DCJOPS, CJLOG, CDSAD, HPC, HICMD, DGCP
Endorsed by		CDF through COSC
Content Outline		Describes the generic 'ways' of ADF operations in the Defence White Paper timeframe
Process Relation-ships	Predecessors	DPG,
	Partner	Supporting: Future Joint Maritime Operating Concept, Future Land Operating Concept, Future Air, and Space Operating Concept, and Enabling Operating Concepts.
	Successors	Joint Integrating and Supporting Operating Concepts, experimentation (for concept validation)
Superseded products		Future Warfighting Concept, earlier editions of the FJOC
Product Access		UNCLASSIFIED
Product Review		Reviewed at intervals not exceeding five years, dependent upon DPG judgments

CDF PLANNING DIRECTIVES

Product Name		**CDF Planning Directives**
Abbreviated Name		**CDF Planning Directives**
Intent		• CDF Planning Directives provide guidance and direction for planning by operational-level HQ and other Defence agency
Outcome		• CDF Planning Directives provide the military strategic objectives and end-states for a situation that potentially requires a Defence response • CDF Planning Directives provide directives to operational-level HQ to initiate plans/AOC development, and immediate planning (planning for operations) • Other non-operational Defence agencies can be tasked • CDF Planning Directives provides SCG-P endorsed guidance for planning by the Strategic Planning Group (SPG) in Joint Operations Command (JOC)
Product Timeframe		Set in the short-term (0–5 years) timeframe of the Strategy Framework although ideally a deliberate planning product (most often examining issues with a 12 months+ warning time), they also respond to emerging contingencies and scenarios—with the result that the product timeframe draws in to the immediate future
Sponsor		FASSP
Drafter		DDPSW
Drafting Group Participants		SP, IP, MSC, JOC, DIO, and other participants as required.
Review Group Participants		DEPSEC S, VCDF and CJOPS.
Endorsed by		CDF in consultation with Secretary.
Content Outline		CDF Planning Directives include background including strategic intelligence assessment, and identify constraints, options, sustainability and concurrency issues, and all other matters relevant to Defence's responses either to a continuing or possible future scenario/contingency
Process Relation-ships	Predecessors	Strategy papers, direction from CDF, DIO reports and indictors and warnings
	Partner	QSR, DPAS , Concurrency MINSUB
	Successors	Operational Plans, Australian Operational Concepts
Superseded products		Earlier editions of CDF Planning Directives covering similar area
Product Access		CLASSIFIED
Product Review		As required by CDF

DEFENCE INTERNATIONAL ENGAGEMENT PLAN

Product Name		Defence International Engagement Plan
Abbreviated Name		DIEP
Intent		• Indicates priorities for international defence relationships • Provides strategic-level guidance for AS overseas attaches • Provides strategic-level guidance outlining the type of interoperability and standardisation sought with our international partners • Articulates and develops, with a five-year strategic outlook, a hierarchy of objectives and activities for Defence's program of international engagement
Outcome		• Synchronisation of international engagement activities (shaping operations) across the Defence to meet the Government's national security objectives
Product Timeframe		The DIEP looks five years into the future from the current date
Sponsor		FASIP
Drafter		Director Strategic Planning and Management
Drafting Group Participants		International Policy Division in consultation with Groups and Services
Review Group Participants		Defence International Engagement Group (DIEG) including representatives from NAVSTRATCOM, AHQ, AFHQ, HQJOC, DMO, DSTO, DIO, DIGO, DSA, JLOG and CDG
Endorsed by		DC
Content Outline		CLASSIFIED
Process Relation-ships	Predecessors	DPG
	Partner	PMSA
	Successors	Royal Australian Navy Strategic International Engagement Plan, Army International Engagement Plan, Air Force International Engagement Plan, other Group international engagement plans
Superseded products		Earlier editions of the DIEP, DIESP
Product Access		CLASSIFIED
Product Review		Annual

CDF PREPAREDNESS DIRECTIVE

Product Name		**CDF Preparedness Directive**
Abbreviated Name		**CPD**
Intent		• Establishes the preparedness posture of Defence • Guides enterprise planning to achieve preparedness levels • Articulates Groups/Service/DMO tasks and responsibilities • Guides preparedness reporting • Guides the management of EO reserve stocks
Outcome		• Defence is postured to provide effective military options to Government when required
Product Timeframe		Covers short-term (0–3 years)
Sponsor		VCDF
Drafter		HJCC
Drafting Group Participants		The CPD is coordinated by Defence Preparedness Branch in cooperation with the Preparedness Working Group, which consists of representatives from all Groups, Services and DMO.
Review Group Participants		DEPSEC S, VCDF, CJOPS, CCDG, CFO, CN, CA, CAF, CIO, DEPSEC DS, DEPSEC I&S, CDS, DEPSEC PSP, CEO DMO
Endorsed by		CDF through COSC
Content Outline		Preparedness Intent, Tasks and Responsibilities, Preparedness Management, Concurrency, Other Preparedness Initiatives, ARO Table, Management of EO Reserve Stock
Process Relation-ships	Predecessors	Government White Papers, DPG
	Partner	nil
	Successors	CNPD, CAPD, CAFPD, JOCOPR, DPAS, AFRTC, QSR, Reserve Stock Holdings
Superseded products		Earlier editions of the CPD
Product Access		CLASSIFIED
Product Review		As required to maintain currency. This can be dependant on changes to senior leadership and/or the strategic environment

JOINT OPERATIONS COMMAND OPERATIONAL PREPAREDNESS REQUIREMENT

Product Name		**Joint Operations Command Operational Preparedness Requirement**
Abbreviated Name		**JOCOPR**
Intent		• JOCOPR provides operational level guidance to Defence groups on force element preparedness requirements
Outcome		• Identifies a range of Operational Preparedness Outcomes • Details the role and operational outcome for each Force Element against the contingencies articulated in the DPG
Product Timeframe		Set in the short term (0-5 years) timeframe of the Strategy Framework, the JOCOPR is effective for 12 months from the issue date (normally 01 Jul each year).
Sponsor		CJOPS
Drafter		J5
Drafting Group Participants		Staff officers from VCDF, JOC, Navy, Army, Air Force, Strategy Executive, CDG, CIOG, DMO, DSTO, DSG and I&S are involved in the development of each version of the document.
Review Group Participants		COSC. All relevant stakeholders (from VCDF, JOC, Navy, Army, Air Force, CDG, CIOG, DMO, DSTO, DSG and I&S) are consulted prior to the delivery of the draft for review by COSC.
Endorsed by		COSC
Content Outline		CLASSIFIED
Process Relation-ships	Predecessors	White Paper, DPG, CPD, DIEP
	Partner	
	Successors	Charters to Service/Group Heads
Superseded products		Earlier JOCOPR
Product Access		CLASSIFIED
Product Review		Annual

DEFENCE CAPABILITY PLAN

Product Name		**Defence Capability Plan**
Abbreviated Name		**DCP**
Intent		• A costed, detailed development plan for Australia's military capabilities • Sets out the capability goals along with explanations of how they will be met from within available resources
Outcome		• Resourced capability projects and capability roadmaps • Guidance to capability managers, CDG and the DMO on resourcing and priorities for the acquisition of capabilities by Defence
Product Timeframe		Set in the short- (0–5 years) and medium- (5–15 years) term timeframe of the Strategy Framework, the DCP covers capability programming over a 10-year timeframe
Sponsor		CCDE
Drafter		HCS
Drafting Group Participants		ASSP, DGMS, DGNCPE, DGDP-A, DGCM-AF, ASCS, DGPLANS, DGPG, DGIPP, ASISF, ASPB, DGWP, DGIC, ASSPED, DGMD, DGLD, DGAD, DGICD, ASIA, DGCP
Review Group Participants		FASSP, DCN, DCA, DCAF, ASCS, DCJOPS, CJLOG, CDSAD, FASBFP, HPC, DCEO DMO, HID, HI, HCS, HICMD, DGCP
Endorsed by		NSC, through the Minister for Defence, CDF and DCIC
Content Outline		The plan sets out the proposed investment in new equipment under seven capability goals: land forces, air forces, maritime forces, strike, support, intelligence and information capability
Process Relation-ships	Predecessors	White Paper, DPG
	Partner	DCP – Public Version
	Successors	Capability development / acquisition aspects Workforce, industry, single-Service Capability plans, roadmaps
Superseded products		Earlier iterations of the DCP
Product Access		DCP is a CLASSIFIED document. Selected aspects are included in the publicly available DCP – Public Version
Product Review		Annually reflecting the outcomes of the defence capability update process.

DEFENCE STRATEGIC WORKFORCE PLAN

Product Name		**Defence Strategic Workforce Plan**
Abbreviated Name		**DSWP (date to – i.e. 2010–2020)**
Intent		• The DSWP provides guidance to shape Defence's workforce outcomes over the planning period with specific action items listed to address the key workforce issues and risks
Outcome		• The plan is based on the strategic direction outlined in the Defence White Paper and is consistent with Defence's people vision • The plan applies to all Services and Groups, and supports the development of subordinate Service and Group Workforce or People Plans • The plan articulates Defence's approach to workforce planning with a balanced approach to demand and supply issues • The plan discusses the military and civilian workforce challenges and risks • The plan outlines the development of the Defence Workforce Planning Cycle (DWPC) • The DSWP Action Plan details issues that need to be resolved to improve workforce planning and management across Defence • The plan includes a list of workforce intelligence research tasks • Workforce Guidance Trails provide the approved workforce guidance figures over the planning horizon
Product Timeframe		The DSWP covers the medium (i.e. 10 years) timeframe.
Sponsor		DEPSEC PSP
Drafter		Directorate Strategic Workforce Planning
Drafting Group Participants		Working Group Advisory inputs from all Groups and Services HR specialist and workforce planners
Review Group Participants		DGWP, HPC, HPP, DPC
Endorsed by		COSC and DC
Content Outline		Workforce Demand and Supply aspects
Process Relation-ships	Predecessors	Previous DSWP iteration
	Partner	Workforce Guidance Trails (updated on DGWP Web-site)
	Successors	
Superseded products		Earlier editions of the DSWP
Product Access		CLASSIFIED
Product Review		The DSWP is reviewed five yearly with annual updates. Workforce Guidance Trails are updated throughout the year.

NATIONAL DEFENCE ESTATE STRATEGY 2030

Product Name		**National Defence Estate Strategy 2030**
Abbreviated Name		**NDES 2030**
Intent		The NDES 2030 is a publicly releasable strategic document that: • explains what the estate is and its role in supporting capability; • outlines the challenges and influences facing the estate in the next 20 to 30 years; and • sets out a framework for investment, development and management of the estate over the next 20 to 30 years, including principles for the use of public-private partnerships, leasing, and capital investment.
Outcome		• The NDES 2030 informs and guides Defence groups, other Australian Government departments and agencies, state and local governments, industry and the community, regarding future planning, investment and management considerations for the Defence estate. It will not provide any information on the planned expenditure on the estate until such expenditure is approved on a project-by-project basis
Product Timeframe		The NDES 2030 covers the long term (i.e. 20 years).
Sponsor		DEPSEC DS
Drafter		Estate Planning Branch, Infrastructure Division – Defence Support
Drafting Group Participants		Inputs from all Groups and Services
Review Group Participants		Defence Estate Committee , Defence Estate Planning and Investment Committee and DC members
Endorsed by		MINDEF
Content Outline		
Process Relation-ships	Predecessors	N/A
	Partner	Defence Basing Plan (under development – due mid-late 2011) Defence Estate Investment Plan Major Capital Facilities Program Estate Maintenance Program
	Successors	National Defence Estate Strategy 2035
Superseded products		N/A
Product Access		UNCLASSIFIED
Product Review		The NDES 2030 is reviewed five yearly

ANNEX B TO
THE STRATEGY FRAMEWORK 2010

SERVICE-LEVEL STRATEGY DOCUMENTS

AUSTRALIAN MARITIME DOCTRINE

Product Name		**Australian Maritime Doctrine**
Abbreviated Name		**AMD 1**
Intent		• Explains how the Navy thinks about, prepares for and operates in peace and conflict • Sets out Navy's place within the Australian Defence Force and its roles in Australia's military strategy
Outcome		• Guidance on the way in which maritime forces provide unique and essential contributions to the overall ADF effort to protect Australia's security interests
Product Timeframe		Enduring principles based on current capability but applicable to future capability
Sponsor		CN
Drafter		DSPC-A
Drafting Group Participants		ASSP, DGMS, COMD LWDC, DGSP-AF, DGSL, DGCP, DGMD, DGICD, HMS, DGMARSPT, DGNCPE, DGNCTS, DGMAROPS, NSA, CMOD, DSAD, DGJCC
Review Group Participants		NCC (DCN, DGNCPE, DGNCTS, DGMAROPS, DGMD, COMFLOT, HNE, DGNP, DGMARSPT, DGNBG, DGNCIW, NSA) CNSAC (CN, DCN, COMAUSFLT, HMS, HNPAR, HNE, DGNBG, DGGHS-N, DGADFLS)
Endorsed by		CNSAC
Content Outline		The fundamental principle of AMD 1 is that maritime forces seek to establish sea control in order to conduct military power projection and permit the use of sea lines of communication by military, commercial and private shipping.
Process Relation-ships	Predecessors	
	Partner	LWD 1 Air and Space Doctrine
	Successors	
Superseded products		
Product Access		UNCLASSIFIED
Product Review		Reviewed every five years

FUTURE MARITIME OPERATING CONCEPT

Product Name		**Future Maritime Operating Concept**
Abbreviated Name		**FMOC**
Intent		• Informs and guides developing capability needs and requirements for the future ADF in the maritime environment
Outcome		• Informs and guides developing capability needs and requirements for the future ADF in the maritime environment
Product Timeframe		Set in the long-term (15–25 years) timeframe of the Strategy Framework and CLC
Sponsor		CN
Drafter		DSPC-A
Drafting Group Participants		ASSP, DGMS, COMD LWDC, DGSP-AF, DGSL, DGCP, DGMD, DGICD, HMS, DGMARSPT, DGNCPE, DGNCTS, DGMAROPS, NSA, CMOD, DSAD, DGJCC
Review Group Participants		NCC (DCN, DGNCPE, DGNCTS, DGMAROPS, DGMD, COMFLOT, HNE, DGNP, DGMARSPT, DGNBG, DGNCIW, NSA) CNSAC (CN, DCN, COMAUSFLT, HMS, HNPAR, HNE, DGNBG, DGGHS-N, DGADFLS)
Endorsed by		COSC
Content Outline		The FMOC asserts that the Future Navy will be required to project force and gain local sea control across open ocean SLOCs, through choke points and across the littoral The operating concept title is Maritime Force Projection and Control
Process Relation-ships	Predecessors	FJOC
	Partner	FLOC FASOC
	Successors	
Superseded products		Previous FMOCs, Plan Blue, The Navy Strategy, Plan Green
Product Access		CLASSIFIED
Product Review		Reviewed every three years

NAVY STRATEGIC PLAN

Product Name		**The Navy Strategic Plan**
Abbreviated Name		
Intent		• Sets Navy's strategic direction
Outcome		• Ensures provision of capabilities for the current fleet and the future fleet in order to meet CN's Charter
Product Timeframe		Sets Navy's short term strategic plan with a three year outlook
Sponsor		CN
Drafter		DGNBG
Drafting Group Participants		DGNCPE, DGNCTS, DGNBG, HNPAR
Review Group Participants		NCC (DCN, DGNCPE, DGNCTS, DGMAROPS, DGMD, COMFLOT, HNE, DGNP, DGMARSPT, DGNBG, DGNCIW, NSA) CNSAC (CN, DCN, COMAUSFLT, HMS, HNPAR, HNE, DGNBG, DGGHS-N, DGADFLS)
Endorsed by		CNSAC
Content Outline		Strategic intent Objectives Strategic challenges facing Navy and relevant responses Measuring strategic outcomes Prioritisation of resources Contribution to NGN and SRP
Process Relation-ships	Predecessors	Plan Green
	Partner	FMOC
	Successors	
Superseded products		Plan Green
Product Access		CLASSIFIED and UNCLASSIFIED versions
Product Review		Reviewed annually

NIEP

Product Name		**Navy International Engagement Plan**
Abbreviated Name		**NIEP**
Intent		CN's guidance for Navy's international engagement practitioners
Outcome		• Navy's IE practitioners at all levels better understand CN's priorities and therefore are better equipped to undertake existing IE activities, identify and develop new IE opportunities and to use judgement to prioritise IE activities within resource constraints.
Product Timeframe		• Set in the short-term (0–5 years) timeframe of the Strategy Framework
Sponsor		CN
Drafter		DNIE
Drafting Group Participants		Various from NAVSTRATCOM, FHQ, IP Division and Defence Export Unit
Review Group Participants		Various from NAVSTRATCOM, FHQ, IP Division and Defence Export Unit
Endorsed by		CN
Content Outline		CN's guidance for Navy's international engagement practitioners
Process Relation-ships	Predecessors	DIEP
	Partner	
	Successors	
Superseded products		Previous NIEPs and RANSIEs
Product Access		CLASSIFIED
Product Review		Constantly reviewed to reflect changing priorities and circumstances; web-based, located on the Defence Secret Network

ADAPTIVE ARMY

Product Name		**Adaptive Army**
Abbreviated Name		**Adaptive Army**
Intent		• Ensure the success of Army in the conduct of contemporary (and future) operations, force generation, and preparation through an enhanced capacity to learn lessons, and then adapt based on those lessons.
Outcome		• To develop self-sustaining processes to continually review and adapt Army objectives, structures and processes.
Product Timeframe		Present to 2030
Sponsor		CA
Drafter		OCA
Drafting Group Participants		AHQ, SOCOMD, FORCOMD, HQ 1 DIV, CDG, DSTO, Navy, Air Force, DEPSEC-S, COO DS
Review Group Participants		As above
Endorsed by		CASAC
Content Outline		Rebalancing Army. Review Personnel Initiatives. Review Materiel Management. Review Policy.
Process Relation-ships	Predecessors	HNA, ELF
	Partner	The Army Plan Part 1 & 2; CAPD; CASG
	Successors	
Superseded products		
Product Access		UNCLASSIFIED
Product Review		Annual

CHIEF OF ARMY'S STRATEGIC GUIDANCE

Product Name		**Chief of Army's Strategic Guidance**
Abbreviated Name		**CASG**
Intent		• CASG consolidates relevant direction on: the likely nature, size, and scale of tasks; force level requirements; and characteristics of Land Forces that Government could reasonably expect Army to undertake in current and future timeframes
Outcome		• Provision of consistent and relevant 'capability hooks' for the purpose of winning resources to Raise, Train and Sustain Land Force capabilities for the Army-in-Being and the future force
Product Timeframe		Present and future
Sponsor		Chief of Army
Drafter		Directorate of Future Land Warfare and Strategy
Drafting Group Participants		Futures Staff Officers from DFLWS, HMSP-A, COMD LWDC, FORCOMD, AHQ SOCOMD
Review Group Participants		CASAC
Endorsed by		CASAC
Content Outline		CASG covers the Chief of Army's Intent; extant Defence strategic guidance; and the application of strategic guidance to Land Forces
Process Relation-ships	Predecessors	DPG
	Partner	AC-FLOC, CAPD
	Successors	None
Superseded products		Previous CASG
Product Access		CLASSIFIED
Product Review		Updated every three years, or earlier as required.

ADAPTIVE CAMPAIGNING-FUTURE LAND OPERATING CONCEPT

Product Name		**Adaptive Campaigning-Future Land Operating Concept**
Abbreviated Name		**AC-FLOC**
Intent		• Combines earlier Complex Warfighting and Adaptive Campaigning to analyse the contemporary conflict environment and detail conceptual, force modernisation and capability directions to Army. • As a response to this, AC-FLOC provides conceptual and force modernisation direction to Army. • AC-FLOC further represents a framing of the land force contribution as part of the military response in a whole-of-government approach.
Outcome		• AC-FLOC articulates how the future land force will execute the FJOC concept of Multidimensional Manoeuvre • AC-FLOC sets the context for land concepts, provides a coherent approach to land operations and states parameters for capability development • Provides a clear developmental intent for Army conceptual and force modernisation • As Army's capstone Warfighting concept, AC-FLOC guides Army from the Army-in-Being towards the Army-Objective Force (AOF) conceptual and capability model
Product Timeframe		Present and future (Review post DWP 2014)
Sponsor		Chief of Army
Drafter		Directorate of Future Land Warfare and Strategy - Army
Drafting Group Participants		Futures Staff Officers from COMD LWDC, DGMS, DGSP-AF, DGNSPF, AHQ, HQFORCOMD, SOCOMD, APDC, NHQ, AFHQ, JOC, CCD, DSTO, DGJCC and CCDE
Review Group Participants		CASAC for endorsement and COSC for agreement
Endorsed by		CASAC then COSC
Content Outline		*AC-FLOC* examines the environment and articulates an operational concept, a capability concept, and the Chief of Army's Development Intent (CADI). AC-FLOC details implications for force modernisation
Process Relation-ships	Predecessors	CW 2004; AC 2006
	Partner	Superior: FJOC. Peers: FJMOC, FASOC
	Successors	None
Superseded products		Adaptive Campaigning 2006
Product Access		UNCLASSIFIED
Product Review		Reviewed every five years.

ARMY INTERNATIONAL ENGAGEMENT PLAN

Product Name		**Army International Engagement Plan**
Abbreviated Name		**AIEP**
Intent		• Army employs its international engagement program to build its knowledge of military trends, influence other nations' armies, develop mutual trust, communication and understanding, improve Army's reputation internationally, benefit from other nations' experience and prepare for success on operations • Specifically, the AIEP: o Provides strategic context, direction and priorities for the development of Army's international relationships o Details guidance, mechanisms and processes for coordinating Army's international engagement activities within the wider defence strategy o Assist Army commanders and principal staff officers in determining priorities for the allocation of resources
Outcome		• Provide a framework to facilitate IE policy, activities, programs, and initiatives to shape Army international relations through a sustainable and synchronised program of prioritized activities.
Product Timeframe		Set in the short-term (0–5 years) timeframe.
Sponsor		CA
Drafter		Deputy Director International Engagement- Army
Drafting Group Participants		Deputy Directory Strategy - Army
Review Group Participants		Army International Engagement Group (AIEG) (details to be advised separately)
Endorsed by		CASAC
Content Outline		CLASSIFIED
Process Relation-ships	Predecessors	DPG, DIEP
	Partner	PMSA
	Successors	Functional Command International Engagement Plans
Superseded products		Previous iterations of AIEP
Product Access		CLASSIFIED
Product Review		Annual

FUTURE AIR AND SPACE OPERATING

Product Name		**Future Air and Space Operating Concept**
Abbreviated Name		**FASOC**
Intent		• Articulates future, roles, missions and methods • Informs the longer term development of air and space combat capability
Outcome		• A shared understanding within the strategic planning community of the way the future air and space force might conduct operations as part of the future ADF • Harmonised with joint and other single-Service future concepts
Product Timeframe		Long-term (15–20 years)
Sponsor		CAF
Drafter		Director Strategic Planning and Governance – Air Force
Drafting Group Participants		AFHQ (DGSP, DGCP, APDC) AHQ, NHQ, SCG-P, DGJCC
Review Group Participants		DCAF
Endorsed by		COSC
Content Outline		Outline the strategic intent for Air Force Australia's strategic context Evolving concept for future air power Detail functions of the future Air Force Identify challenges inherent in the concept
Process Relation-ships	Predecessors	DPG, Joint Experimentation Framework (concepts)
	Partner	*Superior*—FJOC *Peer*—FMOC, FLOC and AAP1000-D
	Successors	Future Air Power and Air Force Concepts for Operation, Joint Integrating and Supporting Operating Concepts, Joint experimentation Framework (validation)
Superseded products		Air Force 2020
Product Access		UNCLASSIFIED: Published in the public domain
Product Review		Intervals not exceeding three years

AIR FORCE PLAN

Product Name		**Air Force Plan**
Abbreviated Name		**AF Plan**
Intent		• Set the Air Force vision, mission and goals, and the key strategies and objectives for achieving the goals
Outcome		• Provides the overarching strategic intent to guide all aspects of implementing Air Force activities, and in particular, to inform the development of the AFHQ and HQAC Business Plans
Product Timeframe		Present to 10 years
Sponsor		CAF
Drafter		Director Strategic Planning and Governance – Air Force
Drafting Group Participants		AFHQ (all branches), HQAC (DBWM)
Review Group Participants		DCAF
Endorsed by		CAFAC
Content Outline		Air Force Vision Mission Goals (including Goal descriptions) Strategies Objectives
Process Relation-ships	Predecessors	*DPG*
	Partner	FASOC
	Successors	*CAF Capability Intent*
Superseded products		
Product Access		CLASSIFIED
Product Review		Annual (Issued 1 July)

CAF CAPABILITY INTENT

Product Name		**CAF Capability Intent**
Abbreviated Name		**CAF Intent**
Intent		• Outlines CAF's broad intent for progression of capability from the force-in-being to the force under development • Addresses the transformation for each FIC • CAF intent will inform the DCP
Outcome		• The Air Force position for the introduction of planned capabilities is clearly articulated to CDE, DMO, DSG and other Services, groups and agencies as required
Product Timeframe		Present to 5–10 years
Sponsor		CAF
Drafter		DGCP-AF
Drafting Group Participants		AFHQ (DCC, DEC), HQAC (DCM, DBWM), FEG (SOCM/SOCD)
Review Group Participants		DCAF
Endorsed by		CMB
Content Outline		Capability Intent will be produced for Air Combat, Air Lift, MISRR, Battlespace Management, Combat Support, Command and Control, Test and Evaluation, and Intelligence The broad intent for the transition of FIC from the force-in-being to the planned capability will be summarised in terms of Purpose, Method and Endstate Transformation requirements and issues are grouped by FIC Science and technology initiatives are listed Risks to the achievement of planned capability are identified Each Intent should be limited to approximately four pages
Process Relation-ships	Predecessors	
	Partner	Defence Capability Plan
	Successors	Capability System Plans Capability System Transition Plans Workforce, Infrastructure and Logistic Support Plans
Superseded products		Capability Plans and Capability Support Plans
Product Access		CLASSIFIED, widely distributed within Defence
Product Review		Reviewed annually or following guidance from the Minister for Defence or NSC

AIR FORCE INTERNATIONAL ENGAGEMENT STRATEGY

Product Name		**Air Force International Engagement Strategy**
Abbreviated Name		**AFIES**
Intent		• Define the RAAF's international engagement activities and priorities
Outcome		• Provide strategies and priorities for engaging other Armed Forces throughout the world
Product Timeframe		Set in the short-term (0–5 years) timeframe.
Sponsor		Director General Strategy and Planning – Air Force
Drafter		Deputy Director – International Engagement
Drafting Group Participants		Various from AFHQ and HQAC
Review Group Participants		Various from AFHQ and HQAC
Endorsed by		CAF
Content Outline		Air Force International Engagement Overview International Engagement Objectives Conduct of Air Force International Engagement Air Force International Engagement Activities Relationships and Global Themes
Process Relation-ships	Predecessors	DPG, DIEP
	Partner	Nil
	Successors	Nil
Superseded products		Nil
Product Access		CLASSIFIED
Product Review		Produced Nov 04, re-examined post DIEP review.