

SERIES 1400

PROGRAM ANALYSIS AND EVALUATION (PA&E)

1400. PROGRAM ANALYSIS AND EVALUATION (NC1-330-77-3, except where indicated)

PA&E participates in the development of policies, plans, and guidance upon which DoD programs are based through: Performing analyses and evaluations of plans, programs, and budgets in relation to U.S. defense objectives, projected threats, allied contributions, estimated costs and resource constraints; developing and evaluating alternative program proposals to rectify deficiencies; initiating actions to ensure the Department's programs adhere to the Secretary's policies and promote achievement of national security objectives; reviewing, analyzing, and evaluating programs for executing approved policies; ensuring that the costs of DoD programs are presented accurately and completely. Also assesses the effects of DoD spending on the U.S. economy, and evaluates alternative policies to ensure that the DoD program can be implemented efficiently. Provides leadership in developing and promoting improved analytic tools and methods for analyzing national security planning and the allocation of resources. Unless otherwise indicated, all files described in this section shall be transferred to NARA after 30 years.

1401. RESERVED

1402. STRATEGIC AND SPACE PROGRAMS FILES

This office analyzes and evaluates the cost and operational effectiveness of alternative programs for strategic strike (i.e., strategic nuclear and conventional offensive forces); strategic defense; theater ballistic missile defense, space systems (including satellites, launch vehicles, and ground support); strategic C3I systems; defense-wide C3 systems; chemical and biological defense; chemical stockpile destruction, science and technology; arms control compliance and verification; and nuclear nonproliferation. Consequently, it reviews and develops alternatives to Service, Defense Agency, and OSD proposals in these areas.

1402-01. Strategic Strike and Arms Control Programs. These files contain analyses and evaluations of U.S. strategic force posture requirements, including intercontinental ballistic missiles (ICBMs), submarine-launched ballistic missiles (SLBMs), cruise missiles, short-range nuclear attack missiles, and strategic bombers. The files also contain analyses of the implications of the START and other agreements and proposals related to present and future U.S. and Soviet strategic capabilities, and analyses of the strategic balance.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1402-02. Strategic Defensive and Space Programs. These files contain analyses and evaluations of U.S. strategic defensive force postures and requirements, including strategic and theater ballistic missile defense, space defense, strategic air defense, chemical and biological defense, civil defense, space-based attack warning and surveillance, defense-wide C3, and strategic command, control, communications, and intelligence. The files also contain analyses and evaluations of space support programs. Finally, they contain analyses of U.S. plans for chemical weapons demilitarization.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

### 1403. RESOURCE ANALYSIS FILES

These files document the execution of PA&E's responsibilities for the DRB Program Review and other similar reviews. They contain cost analyses in support of the PPBS and the DAB as well as studies and analyses of defense resource and economic issues.

1403-01. Force and Infrastructure Cost Analysis. These files document studies of operating and support (O&S) costs for major weapons systems and the methodologies for estimating force structure costs. The files also contain analytical cost estimates for the issues related to force structure alternatives, reviews of O&S cost estimates for all weapon systems and full life-cycle costs for strategic missile systems and combat vehicles submitted for milestone and program reviews by program offices and Service-independent cost agencies. Documents the collection and reporting of actual O&S costs by weapon system through the "Visibility and Management of Operating and Support Costs" (VAMOSOC) program. Also documents analytical and administrative support for the programming phase of the PPBS, including preparation and publication of the POM preparation instructions, the preparation, review and consolidation of issues for presentation to the DPRB, and the preparation and publication of the POM.

Disposition: Permanent. Cut off and transfer to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1403-02. Operations Analysis and Procurement Planning. Documents the OSD CAIG review independent cost estimates for major defense acquisition programs submitted for milestone and in-progress review in support of the DAB. Contains cost analyses in support of the DRB, recommendations to the USD(A&T) for the certification of cost estimates to the Congress required by the Nunn-McCurdy law, and documents analytical cost support to other PA&E offices and to the OSD staff on such matters as re-pricing different acquisition strategies. Also contains reviews of Military Departments' data plans for contractor cost data reports and research to improve methods of cost analysis, and documentation supporting role of directing research by contractors in the

field.

Disposition: Permanent. Cut off and transfer to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

1403-03. Economic Analysis and Resource Planning. These files document PA&E's role in the sponsorship and conduct of economic and financial analyses of major defense programs that include the fiscal guidance and procedures for the DPRB Program Review, price indexes and outlay rates for defense purchases, and published results of the Defense Economic Impact Modelling System. Also economic analyses of manpower, environmental, medical, acquisition, and other defense programmatic issues as well as analyses of the industrial base, major systems acquisition strategies, independent research and development/bid and proposal, science, engineering, and technology programs. Documents research into the economics of defense acquisition, sources and composition of cost variances, the effects of defense purchases on national economy, and other defense economic issues.

Disposition: Permanent. Cut off and transfer to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-03.

1403-04. Weapons System Cost Analysis. These files contain technical studies of the life-cycle costs of major weapons systems; independent analyses of life-cycle costs of major weapon systems in support of the DAB and DAB committee program and milestone reviews, including reviews and evaluations of the costs and costing methodology used in major weapons systems cost and operational effectiveness analyses (COEAs). Also included are assessments of the reasonableness of the program acquisition unit costs and current procurement unit costs in support of Secretary of Defense certifications to Congress as well as all costs shown in acquisition program baselines (APB) and defense acquisition economic summary (DAES) reports. Also documentation supporting PA&E's role as central manager of the contractor cost data report (CCDR) Program.

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#### 1404. THEATER ASSESSMENTS AND PLANNING FILES

These files contain analyses of U.S. interests worldwide, threats to those interests, and the capabilities (including deployment capability) of the U.S. and potential allies to meet those threats. Evaluations of alternative U.S. and allied military postures; projections of the cost and manpower requirements of the approved and alternative defense programs beyond the program years; evaluations of the cost and effectiveness of major automated information systems (AIS) that support Department operations. Records also include extensive databases and analytical methods/models used in analyses and records of PA&E's AIS and contract research programs.

1404-01. Europe and Pacific Forces. These files contain studies and analyses of force capabilities, requirements, and defense programs and security assistance programs affecting NATO, Asia, Pacific basin, Caribbean, Central and South America, and Africa. These are maintained on a country, regional or theater-level basis. Also documents PA&E's function as the focal point for special operations, anti-drug, mobilization and crisis management planning and programming.

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1404-02. Projection Forces. These files contain documents supporting the reviews and analyses of policies and programs that support the U.S. ability to project combat forces overseas, including the capability to move forces and equipment between and within theaters by air, sea, and land transportation or by prepositioning; programs involving forces earmarked for rapid movement; programs designed to facilitate the command and control of mobility forces and their cargoes; programs designed to facilitate our regional policies and strategy in Southwest Asia; wartime medical programs; emergency use of civil transportation resources; indirect support airlift forces; and mobility support forces.

Disposition: Permanent. Cut off and transfer to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

#### 1404-03. Planning and Analytical Support

1404-03.1. Files documenting PA&E's role in directing analyses of the long-range military capability and resource implications of current and alternative DoD programs.

1404-03.2. Implementing a PA&E-wide information architecture comprised of databases, models, computer-based methodologies for conducting program analysis and evaluation, and computer systems, networks and services, and submissions of budgets and budget justifications supporting that information architecture.

1404-03.3. Plans, programs, and contracts for development, maintenance, and employment of databases and analytical tools for use by analysts throughout PA&E and the Department of Defense.

1404-03.4. Coordination of PA&E involvement in and review of CIM programs and initiatives.

1404-03.5. Cost/benefit analyses of automated information systems and support of PA&E participation in the deliberations of the Major Automated Information Systems Review Council (MAISRC).

1404-03.6. Documentation of oversight function for the planning and use of contract advisory assistance services, policies and procedures affecting the PA&E contract study program, and monitoring of progress of contract efforts.

Disposition: Permanent. Cut off and retire to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

#### 1405. GENERAL PURPOSE PROGRAMS FILES

These files contain documents pertaining to PA&E's role in directing the analysis and evaluation of the force levels and mixes of U.S. general purpose air, land, and naval forces, including their affordability, effectiveness, capabilities, and readiness. Also contain summaries of alternative forces and acquisition programs for review by the Secretary and Deputy Secretary of Defense in making critical decisions on the allocation of Defense resources.

1405-01. Land Forces. These files document reviews and analyses of DoD Army and Marine Corps Active and Reserve land forces, combat and support, weapons systems requirements, and alternative mixes and levels of land force structures as well as the development and procurement programs to determine the most cost-effective alternatives for planning, programming, and budgeting purposes.

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1405-02. Naval Forces. These files document reviews and analyses of naval forces including Anti-Submarine Warfare, anti-air warfare, amphibious, fire support, cruise missiles, naval ASW and AAW weapons, mine countermeasures, combat logistics/replenishment, surface combatants, attack submarines, undersea surveillance, fleet escort and shipbuilding programs.

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1405-03. Tactical Air. These files document reviews and analyses of tactical air forces (Active and Reserve), including land- and sea-based aircraft for air-ground support operations, air-to-air combat, interdiction, reconnaissance, and other support missions. Reviews and analyses of theater and fleet air defense forces.

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1405-04. Force Structure Analysis. These files contain analyses and evaluations of the overall planning basis for the general purpose force structure, including mission definition, scenario assumptions, and intelligence support. Documents development of

conceptual approaches for cross-Service, cross-mission analysis and relation of mission-level analysis to systems acquisition issues. Also includes governmental and non-governmental analyses of general purpose program force structure and force effectiveness issues; special studies ranging from specific analyses such as "land forces for Latin American contingencies" to general assessments such as a study of overall general purpose force forward presence needs.

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