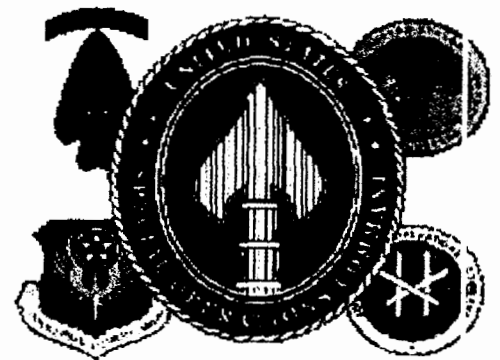


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# COUNTERPROLIFERATION OPERATIONAL ARCHITECTURE

26 APR 02



Prepared by  
USSTRATCOM and USSOCOM

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(U) SECTION I (U)

(U) EXECUTIVE SUMMARY (U)

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5 (U) The counterproliferation (CP) of Weapons of Mass Destruction (WMD) continues to  
6 be a top priority for the United States Government (USG) and the Department of Defense (DoD).  
7 Chemical, biological, radiological and nuclear capabilities are finding their way into the hands of  
8 governments and terrorist organizations intent upon disputing regional stability and harming  
9 Americans at home and abroad. America's armed forces must be prepared to act against any  
10 adversary threatening to acquire and use WMD against our forces, interests, friends or coalition  
11 partners.

12  
13 (U) This report documents the Counterproliferation Operational Architecture (CPOA)  
14 developed in response to a Joint Requirements Oversight Council (JROC) tasking. The  
15 information collected and the resulting database will be used to develop a CP Capstone  
16 Requirements Document (CRD) and a CP investment strategy to integrate wide-ranging DoD CP  
17 programs and ensure efficient funding of capabilities required to counter the growing WMD  
18 threat. USSTRATCOM and USSOCOM are the co-leads in this effort and have worked in  
19 conjunction with pillar lead organizations for Counterforce (CF) – US Air Force; Active Defense  
20 (AD) – Joint Theater Air and Missile Defense Organization; Passive Defense (PD) - US Army;  
21 and Consequence Management (CM) – Joint Forces Command (originally), subsequently  
22 assumed by Joint Staff J5/ Nuc & CP. These four separate organizations were tasked to develop  
23 the four “pillar” architectures to be integrated into the single CPOA. The assignment of four  
24 individual pillar leads had the potential outcome of trying to integrate four incompatible  
25 products. Therefore, the first order of business was to establish the methodology to be used in  
26 developing the various pillar architectures.

27  
28 (U) The C4ISR Architecture Framework, Version 2.0 states that an operational  
29 architecture is a description of the **tasks, and activities, operational elements, and information**  
30 **flows** required to accomplish or support a military operation. The CP continuum is summed up  
31 by the phrase: ‘Every NBC weapon (WMD) that is destroyed before it is used (CF), is one less  
32 we must intercept (AD), or absorb (PD) and mitigate (PD/CM). Mission area definitions,  
33 expanded from the above phrase, were used by the pillar leads to develop their architectures.  
34 The pillar leads followed a strategy-to-task methodology to flesh-out the architectures, first by  
35 establishing pillar core elements, and then decomposing these elements down into activities and  
36 major tasks, tasks, sub-tasks, etc. To provide an operational context, the completed sets of pillar  
37 tasks were aligned against the missions found in the Chairman of the Joint Chiefs of Staff  
38 Concept Plan (CJCS CONPLAN) 0400, *Counterproliferation of Weapons of Mass Destruction*,  
39 and merged into the integrated CPOA. The CPOA contains a comprehensive integrated set of  
40 pillar tasks covering the spectrum of CP operations aligned against the CJCS CONPLAN 0400  
41 missions. Information exchange requirements (IERs) were identified in both a detailed, task  
42 specific listing, and in a more generic CJCS CONPLAN 0400 mission listing. Finally, UJTLs  
43 for each task were assigned. While it is important to show the alignment of CP tasks against  
44 CJCS CONPLAN 0400 missions, it is also necessary to understand the objectives of these  
45 missions within a given phase of the plan.  
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1 (U) The Counterproliferation Operational Concept (CPOC) was written to provide a  
2 vehicle to link CP core capabilities and key enablers with the military operations and activities  
3 required to support our nation's efforts in countering the proliferation of WMD. The concept  
4 considers and integrates seminal CP documents and efforts and provides the overarching,  
5 common framework upon which the development of the CPOA was based. The CPOC is  
6 presented as a narrative based on the operational phases as outlined CJCS CONPLAN 0400.  
7 These phases are: Phase 1, Continual Deterrence; Phase 2, Enhanced Deterrence Operations;  
8 Phase 3, Decisive Combat Operations; and Phase 4, Restorative Operations. Additionally, the  
9 CPOC discusses the nine-phase adversary proliferation continuum beginning with the decision to  
10 acquire or produce WMD to the actual employment and effects of WMD use. Further, the  
11 CPOC contains narrative descriptions of the four phases of CJCS CONPLAN 0400 and a  
12 graphic, depicting the integration of and linkages between the CP Hierarchy and the proliferation  
13 continuum. Referencing the proliferation continuum and the applicable operational tasks from  
14 the hierarchy provides a useful picture of the complexity of CP operations.  
15

16 (U) Essentially, the CPOA is a relational database containing all the relevant CP tasks  
17 and associated information. The co-leads felt the need to establish a firm foundation from which  
18 to review or interpret the CPOA. Accordingly, the report contains a synopsis of the top-level  
19 CJCS CONPLAN 0400 missions and the integrated pillar tasks contributing to mission  
20 accomplishment. The missions are addressed at the highest level possible still allowing for task  
21 differentiation between similar missions. The missions required to execute each phase of CJCS  
22 CONPLAN 0400 are briefly described. Phase 1, *Continual Deterrence*, contains 29 missions;  
23 Phase 2, *Enhanced Deterrence*, contains 8 missions; Phase 3, *Decisive Combat Operations*,  
24 contains 19 missions; and Phase 4, *Restorative Operations*, contains 6 missions. Additionally, a  
25 mission numbering methodology is utilized. While mission numbers do not appear in CJCS  
26 CONPLAN 0400, the project co-leads established the system to provide easier cross-reference to  
27 the text, spreadsheet and database products contained in this report. The CPOA is a precursor to  
28 the CP Capstone Requirements Document (CRD). One of the required elements of a CRD is a  
29 section containing Information Exchange Requirements (IERS).  
30

31 (U) The CPOA contains an eight-page spreadsheet identifying CP IERS. These CP  
32 critical IERS are characterized by: Command and Control (C2), Situational Awareness (SA),  
33 Threat, Fire Support, Logistics, Personnel and Targeting. Additionally, the sending and  
34 receiving node of the critical information are identified. These are the *producers* and *users* of  
35 the critical CP information. The CP IERS are grouped according to CJCS CONPLAN 0400 and  
36 will be included in the forthcoming CP CRD. Specific task IERS are contained within the  
37 CPOA. These specific IERS can be used when developing focused material solutions to  
38 validated CP deficiencies.  
39

40 (U) It is important to note that the CPOA does not assign a priority to a pillar in  
41 determining potential weight of effort toward mission accomplishment in a mission area, nor to a  
42 given task within a pillar. While the CPOA contains all potential tasks covering the CP  
43 spectrum, the relevance of tasks, required to accomplish a given operation, is situationally  
44 dependent on the mission objectives and pillar taskings.

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(U) SECTION II (U)

(U) INTRODUCTION (U)

(U) Counterproliferation (CP) of Weapons of Mass Destruction (WMD) continues to be a top priority for the United States Government (USG) and the Department of Defense (DoD). Ideally, efforts to develop, refine, and improve DoD CP capabilities should compliment and enhance one another. Duplicative or competing CP programs and activities can squander scarce resources. A well-coordinated, integrated investment strategy with wide-spread DoD visibility will ensure development and funding of the most effective capabilities mix to protect US national interests against growing WMD threats.

(U) Joint Requirements Oversight Council Memorandums (JROCMs) 162-00 and 163-00, dated 26 Sep 00, tasked the development of a CP Operational Concept, CP Operational Architecture (CPOA), and CP Capstone Requirements Document (CRD). Together, these documents and the investment strategy derived from them will represent the Integrated CP Roadmap upon which future CP requirements generation will be based. USSOCOM and USSTRATCOM were assigned as co-leads for this effort. Pillar leads, assigned to develop the CP core capabilities' inputs, were as follows:

- Counterforce – US Air Force;
- Active Defense – Joint Theater Air and Missile Defense Organization;
- Passive Defense – US Army;
- Consequence Management – USJFCOM(originally); subsequently assumed by Joint Staff J5/Nuc & CP.

(U) Building upon the CP Operational Concept accepted by a Senior Warfighters Forum (SWarF) on 16 Apr 01 and approved by the JROC, the project co-leads used a pillar-based approach to determine necessary tasks required to accomplish CJCS CONPLAN 0400 CP missions. These tasks, identified in cooperation with the pillar leads and their contractors, were inserted into a Microsoft Access database which links the tasks to CJCS CONPLAN 0400 phases and missions. In accordance with guidance from *Interoperability and Supportability of National Security Systems, and Information Technology Systems* (CJCSI 6212.01B), the tasks also have associated Information Exchange Requirements (IERs) consisting of information descriptions, receiving nodes and sending nodes. More than 780 individual tasks are resident in the CPOA database. From these tasks and their associated IERs, some 190 critical CP IERs have been identified and associated with the appropriate CJCS CONPLAN 0400 missions. The CPOA information resident in the database will serve as the basis for developing an overarching CP Mission Needs Statement (MNS) and CP Capstone Requirements Document (CRD), leading to a CP Investment Strategy for the FY04 POM. The assignment of four individual pillar leads had the potential outcome of trying to integrate four incompatible products. Therefore, the first order of business was to establish the methodology to be used in developing the various architectures.

(U) The remainder of this section outlines the methodology used in creating the CPOA. While covering the spectrum of CP operations, the four core capabilities may overlap in certain

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1 mission areas. Using the CP Operational Concept as the foundation, pillar capabilities were  
2 defined, in an effort to minimize task overlap. **The emphasis indicated in the definitions**  
3 **facilitates identifying the transition points between pillar capabilities.**

4  
5 (U) **Counterforce (CF)**: operations that are intended to divert, deny, degrade, or  
6 destroy an adversary's capability to develop, manufacture, stockpile, and employ  
7 weapons of mass destruction **before they can be used.**

8  
9 (U) **Active Defense (AD)**: measures taken to detect, divert or destroy enemy  
10 weapons of mass destruction and delivery means **while enroute to their targets.**

11  
12 (U) **Passive Defense (PD)**: **actions taken to protect** US, allied, and coalition  
13 forces **against WMD effects**, including measures to detect and identify NBC  
14 agents, individual and collective protection equipment, NBC medical response,  
15 vaccines for BW defense, NBC decontamination capabilities, doctrine and  
16 training.

17  
18 (U) **Consequence Management (CM)**: measures taken to **protect** public health  
19 and safety, **restore essential** government services, and **provide** emergency relief  
20 **to governments, businesses, and individuals affected by the consequences of a**  
21 **chemical, biological, radiological, nuclear and/or high-yield explosive situation.**

22  
23 (U) Counterforce is preemptive, or offensively reactive. Active Defense addresses  
24 enroute threats. Passive Defense has pre-attack mitigating actions and post-attack actions to  
25 restore operations tempo. Consequence Management is focused on full recovery from the effects  
26 of an event, regardless its cause. Passive defense and consequence management contain the  
27 largest task overlap.

28  
29 (U) To illustrate the CP continuum, consider the statement:

30  
31 (U) Every NBC weapon (WMD) that is destroyed before it is used  
32 (CF), is one less we must intercept (AD), or absorb (PD) and  
33 mitigate (PD/CM). (see OV-1 on page 33)

34  
35 (U) Guidance on architecture content, contained in C4ISR Architecture Framework,  
36 Version 2.0, was used to standardize the look and format of the core architectures. The guidance  
37 states:

38  
39 (U) "The operational architecture view is a description of the tasks  
40 and activities, operational elements, and information flows  
41 required to accomplish or support a military operation.

42  
43 (U) It contains descriptions (often graphical) of the operational  
44 elements, assigned tasks and activities, and information flows  
45 required to support the warfighter. It defines the types of  
46 information exchanged, the frequency of exchange, which tasks

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1 and activities are supported by the information exchanges, and the  
2 nature of information exchanges in detail sufficient to ascertain  
3 specific interoperability requirements. Tenets that apply to the  
4 operational architecture view include the following:  
5

- 6 • (U) The primary purpose of an operational architecture is to  
7 define operational elements, activities and tasks, and  
8 information exchange requirements
- 9 • (U) Operational architectures incorporate doctrine and  
10 assigned tasks and activities
- 11 • (U) Activities and information-exchange requirements may  
12 cross organizational boundaries
- 13 • (U) Operational architectures are not generally systems-  
14 dependent
- 15 • (U) Generic activity descriptions are not based on an  
16 organizational model or force structure
- 17 • (U) Operational architectures should clearly identify the time  
18 phase(s) covered (e.g., specific years; “as-is” or “to-be;”  
19 “baseline,” “planned,” and/or “transitional”).”  
20

21 (U) Following a “Strategy-to-Task” methodology, the pillar leads were directed to  
22 identify core CP elements, major activities, and tasks within their respective core area. Core  
23 elements identified for each pillar are as follows:  
24

- 25 (U) **Counterforce:** Deliberate Planning (CF1.XX); Training (CF2.XX); Targeting Cycle  
26 (CF3.XX)
- 27 (U) **Active Defense:** Plan (AD1.XX); Sustain (AD2.XX); Command Control (AD3.XX);  
28 Execute (AD4.XX)
- 29 (U) **Passive Defense:** Planning (PD1.XX); Deployment (PD2.XX); Extended Operations  
30 (PD3.XX); Transition and Redeployment (PD4.XX)
- 31 (U) **Consequence Management:** Planning (CM1.XX); Assessment and Deployment  
32 (CM2.XX); Immediate Response (CM3.XX); Extended Operations (CM4.XX);  
33 Transition and Redeployment (CM5.XX)  
34

35 (U) Pillar leads, in coordination with subject matter experts, then decomposed the pillar  
36 elements into a complete set of major tasks, tasks, sub-tasks, etc., covering the activities within  
37 their respective pillar area. The resulting product tells “the story” of the pillar within the  
38 spectrum of CP operations.  
39

40 (U) The pillar tasks were aligned against the CJCS CONPLAN 0400 missions, as  
41 described in Section V.  
42

43 (U) Detailed pillar information exchange requirements (IERs) were developed containing  
44 information characterization, description, comment, and To/From data. The intent is to merge  
45 pillar IERs into a single CPOA listing (work in progress). These detailed IERs will be used in  
46 developing future focused CRDs and/or ORDs.

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(U) The pillar architectures were merged into a single CPOA. This provides a view of the integrated actions or tasks within a given CJCS CONPLAN 0400 mission.

(U) Generic IERs for each CJCS CONPLAN 0400 mission were developed (see Section VI), using the integrated tasks as the foundation. The IERs will be included in the forthcoming CP CRD.

(U) The final step in the process was assigning UJTLs to the CPOA tasks.

(U) In summary, the CPOA contains a comprehensive integrated set of pillar tasks covering the spectrum of CP operations aligned against the CJCS CONPLAN 0400 missions. While the majority of the pillar coordination has been accomplished through a small number of pillar representatives, the purpose of this report is to obtain action officer (A/O) collective review and comment across all pillar organizations.



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1 (U) SECTION III (U)

2 (U) COUNTERPROLIFERATION OPERATIONAL CONCEPT (U)

3 (U) Executive Summary (U)

4  
5 1. (U) The Counterproliferation (CP) Operational Concept (Annex A) was written to  
6 provide a vehicle to link counterproliferation core capabilities and key enablers with the  
7 military operations and activities required to support our nation's efforts in countering the  
8 proliferation of weapons of mass destruction (WMD). The concept considers and  
9 integrates seminal CP documents and efforts and provides the overarching, common  
10 framework upon which the development of the CP Operational Architecture was based.

11  
12 2. (U) The Operational Concept is presented in phases as outlined in Chairman of the  
13 Joint Chiefs of Staff Concept Plan (CJCS CONPLAN) 0400, Counterproliferation of  
14 WMD. These phases are: Phase 1, Continual Deterrence; Phase 2, Enhanced Deterrence  
15 Operations; Phase 3, Decisive Combat Operations; and Phase 4, Restorative Operations.  
16 Each phase in the CP Operational Concept is presented as a narrative based on CJCS  
17 CONPLAN 0400. Each narrative is followed by a graphic that captures, on one page, the  
18 integration of and linkages between the CP Hierarchy (Figure 1), CP Core Capabilities,  
19 CP Key Enablers, CJCS CONPLAN 0400 activities, and the portion of the Adversary  
20 Proliferation Continuum (Figure 2) most affected by that phase. It is recognized that US  
21 forces may well be involved in multiple phases in several areas of the world  
22 simultaneously. However, the CP Operational Concept can best be understood by  
23 considering the phases as applied to a single adversary, who begins with no existing  
24 WMD capability then progresses sequentially through the Adversary Proliferation  
25 Continuum, and culminates with employment of a weapon of mass destruction. This  
26 view provides an enhanced understanding of proliferation as a process and of CP as a  
27 campaign whose phased activities are designed to have specific effects upon that process.

28  
29 3. (U) To successfully execute the CP mission, US armed forces require appropriate and  
30 complementary offensive and defensive capabilities. These capabilities must  
31 demonstrate to an adversary the futility of pursuing WMD as a viable threat and must  
32 ensure US military forces retain the initiative and freedom of action in a contaminated  
33 environment. The mutually supporting CP core capabilities are: **counterforce, active**  
34 **defense, passive defense and consequence management**. Key enablers serve to  
35 integrate and balance the core capabilities. As the commander's tools, the key enablers  
36 support planning and decision making when considering available CP operational  
37 options. The key enablers for successful CP operations are: **command, control,**  
38 **communications, computers, intelligence, surveillance and reconnaissance (C4ISR);**  
39 **information operations; interoperability; readiness; mobility; and sustainment**. The  
40 application key enablers integrate the core capabilities into coordinated, synchronized CP  
41 activities and operations, and represents the concept of CP battle management.

42  
43 4. (U) Proliferation of WMD is a global problem, which routinely crosses combatant  
44 command geographic boundaries. It spans the entire operational spectrum and must be  
45 addressed in a variety of environments and on a continuous basis. Planners and

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1 commanders must consider all available methods and means to determine the most  
2 effective and efficient approach to monitoring and countering the proliferation processes.  
3 The integration of core capabilities and key enablers, applied continuously through a  
4 campaign plan-type approach, will enable the US armed forces to help prevent the  
5 acquisition or development of WMD where it does not already exist; deter its use where  
6 it does; and protect against its effects if it is employed.  
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(U) SECTION IV (U)

(U) CJCS CONPLAN 0400 MISSIONS AND PILLAR INTEGRATION SYNOPSIS

(U)

(U) This section of the report describes the major tasks found in CJCS CONPLAN 0400. A numbering system was established to allow cross-reference with the IER matrix spreadsheet (Section VI) and the task descriptions. This numbering format was also used in the CPOA database. The numbering scheme is associated with the phases of CJCS CONPLAN 0400:

<u>PHASE</u>	<u>CJCS CONPLAN 0400 MISSION NUMBERS</u>
Continual Deterrence	1.XX
Enhanced Deterrence	2.XX
Decisive Combat Operations	3.XX
Restorative Operations	4.XX

(U) Each mission within each phase described in CJCS CONPLAN 0400 was assigned a number for tracking. Additionally, each pillar activity (CF, AD, PD, CM) will have tasks occurring within each CJCS CONPLAN 0400 phase.

(U) This section contains a single page spreadsheet which will be useful when reviewing the remainder of the section. It will provide the reviewer a visual perspective of the "tiered" numbering system used to cross-reference the CJCS CONPLAN 0400 missions. The missions highlighted in YELLOW contain both *Mission Description* and *Pillar Integration Synopsis* paragraphs in pages 17-30. These missions correlate to the numbered missions contained in the IER spreadsheet located in **Section VI** of this report.

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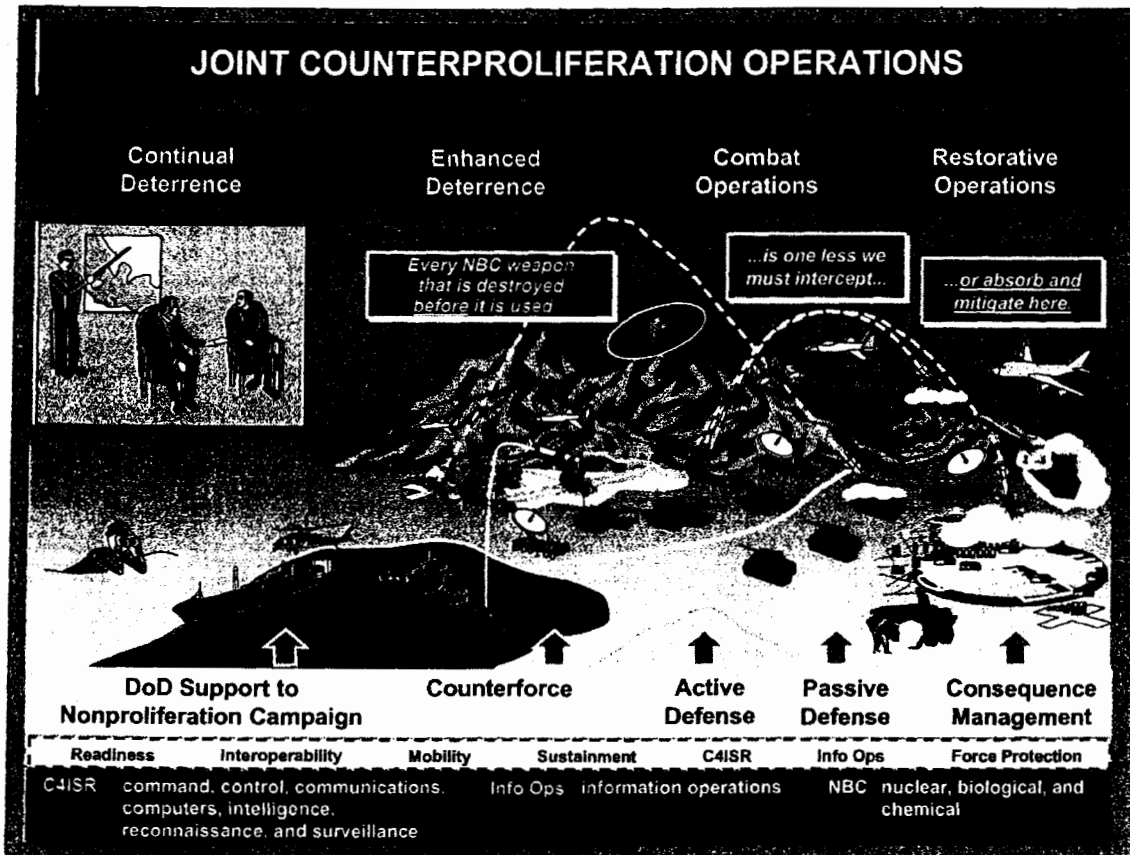
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(U) SECTION VI (U)

(U) SUMMARY (U)

(U) A quick review and some parting thoughts:

(U) An operational architecture is a description of the **tasks, and activities, operational elements, and information flows** required to accomplish or support a military operation. **(C4ISR Architecture Framework, Version 2.0)**

(U) **Counterproliferation.** Counterproliferation includes activities across the full range of US Government efforts to combat proliferation, including the application of military power to protect US forces and interests; intelligence collection and analysis; and support to diplomacy, arms control, and export controls; with particular responsibility for ensuring US forces and interests can be protected, should they confront an adversary armed with weapons of mass destruction or missile delivery systems. **(Draft JP 3-40)**

(U) CP crosses through all four operational concepts (Dominant Maneuver, Precision Engagement, Focused Logistics, and Full Dimensional Protection) articulated in Joint Vision 2020. The CPOA and the four JV 2020 architectures, under development, must now be integrated for consistency.

(U) The CPOA is a database composed of a comprehensive set of tasks describing the spectrum of counterproliferation from the four pillars' perspectives. To provide operational context, these tasks were arrayed against CJCS CONPLAN 0400 missions.

(U) The CPOA is not system dependent, nor is it based on any organizational model or force structure.

(U) The CPOA does not convey the regional combatant commanders' capability to perform the tasks.

(U) The CPOA does not assign a priority to a pillar in determining potential weight of effort toward mission accomplishment in a mission area, nor to a given task within a pillar.

(U) While the CPOA contains all potential tasks covering the CP spectrum, the relevance of tasks, required to accomplish a given operation, is situationally dependent on the mission objectives and pillar taskings.