



Management Plan

Nominations for Fiscal Year 2016

**Director, International Cooperation
Office of the Under Secretary of Defense
Acquisition, Technology and Logistics**

Web: www.acq.osd.mil/ic/cwp.html

Email: osd.coalition.warfare@mail.mil

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BACKGROUND

Current U.S. military strategy and the global security environment make coalition warfare and multinational operations fundamental features of the U.S. national security strategy. Coalitions provide a broad base of technological, operational, and logistical support for military operations and ease the U.S. financial and manpower burdens associated with meeting military goals and objectives. U.S. strategic guidance confirms that coalitions and relationships with international partners are high priorities for the nation and the Department of Defense. The 2010 National Security Strategy recognized that alliances and multinational operations are force multipliers. The 2012 Defense Strategic Guidance reiterates the DoD's preference for conducting operations with allied and coalition forces whenever possible.

Despite decades of conducting multinational operations, the United States and its partners continue to experience challenges in conducting coalition operations. Shortcomings still exist in areas such as countering transnational criminal organizations, control, communications, and computers and intelligence, surveillance, and reconnaissance (C4ISR), non-lethal weapons, combating weapons of mass destruction, battlespace awareness, humanitarian assistance/disaster relief, and logistics. These shortcomings reveal the complexities and challenges associated with multinational air, land, and sea campaigns and encumber warfighters' abilities to effectively and safely complete missions. U.S. and partner defense budget reductions further exacerbate these challenges.

"... we must lead the international community with a steady and sure hand to confront threats and challenges together as we work closely with our allies and partners to advance our common interests and build a more hopeful world. We must use all tools of American power to protect our citizens and our interests; America must engage – not retreat – in the world, but engage wisely."

- Secretary Hagel, Message to the Department of Defense, February 27, 2013

The Coalition Warfare Program (CWP) program element (PE: 0603923D8Z), under the authority of the Office of the Under Secretary of Defense for Acquisition, Technology and Logistics (OUSD(AT&L)), addresses these needs while striving to deliver new and improved capabilities to the warfighter. CWP provides seed funding to DoD organizations to conduct cooperative research, development, test, and evaluation (RDT&E) projects with foreign government partners. It is the only Office of the Secretary of Defense (OSD) program dedicated to initiating cooperative RDT&E projects with allied and partner nations. The CWP leverages U.S. and foreign investments and expertise to conduct cooperative research and development projects with foreign partners. The cost sharing and cooperative engagement delivers a high return on investment for the Department, with a 1:7 return overall and a 1:4 return from the international partners for every CWP dollar spent.

CWP projects enable Project Teams to move a technology into the next stage of development or to prepare for transition to operational forces. These projects may also form the basis for future cooperation with our international partners. CWP pursues projects that enhance and increase U.S. and coalition defense capabilities in support of technological or political objectives. Funded projects accelerate the delivery of high-quality solutions to warfighter problems, improve U.S. interoperability with its coalition partners, and strengthen global partnerships. CWP projects support DoD acquisition by:

- Helping program offices convert U.S.-only projects into coalition solutions for the U.S. warfighter.
- Influencing coalition interoperability in major programs that will have far-reaching use by U.S. forces.
- Addressing requirements of combined operations early in a program's development cycle to avert risks to joint/coalition operations and avoid costs associated with adding requirements later in the acquisition process.
- Enabling U.S. DoD access to leading-edge global technology.
- Providing significant cost savings to the DoD while maintaining a strong research and development base.

“A reduction in resources will require innovative and creative solutions to maintain our support for allied and partner interoperability and building partner capacity.”

Sustaining U.S. Global Leadership, January 2012

Priorities for 21st Century Defense

As a research and development funding source in the Office of the Secretary of Defense, CWP strives to bridge the gap between the Combatant Commanders/operational components of the Services and the development and acquisition organizations. CWP funding incentivizes the R&D community to build and sustain solutions to Combatant Command (CCMD) and operational component capability gaps.

CWP REQUIREMENTS

Projects selected for CWP funding must adhere to the following criteria:

Strong project management: CWP only accepts project nominations from DoD organizations. CWP Project Teams must properly execute, manage, and report on the selected CWP projects, mitigating risks and seizing opportunities as they arise. Successful projects have achievable goals, reasonable funding requests, and executable transition plans.

Sound foreign partnership: CWP projects are collaborative efforts with foreign partners' defense organizations. The foreign partner(s) must have a demonstrable engagement in the RDT&E work, to include committing resources to the effort. The legal vehicles (e.g., required international agreements, licenses, security, etc) and other requirements (e.g., foreign disclosure approvals, etc) must be achievable.

Substantive RDT&E content: CWP, as an RDT&E program element, mandates that funding be used to execute research, development, test and evaluation projects. CWP projects must conform to the rules for RDT&E funding. Projects can include development across the RDT&E spectrum.

Warfighter emphasis: CWP selects projects that have the support of the CCMDs and that provide them the capabilities and coalition enablers they require to be successful in their missions and operations. Projects may support the full-range of DoD operations.

Sound resource planning: CWP funding should be requested for U.S. activities within a project. Selected projects will receive one to three years of funding—up to a maximum of \$2 million. The maximum project length is 3 years. The request for CWP funding should be a fraction of the cost of the whole project and should be matched or exceeded by the other U.S. resources. An organization’s commitment to a project is weighed by the financial contributions that are directly applied to the RDT&E effort in the project. Projects should also show equitable cost sharing between the total U.S. (CWP and other U.S. contributions) and the foreign partners. Projects requesting the maximum CWP funding must demonstrate responsiveness to critical DoD needs.

Tangible outcomes: CWP projects result in tangible deliverables. Highly attractive projects develop and demonstrate solutions that reach warfighters within two to three years.

Transition plan: Transitioning a CWP project involves maturing the technology to the next phase of development, testing, or final fielding. CWP nominations must have an identified transition plan with written support from a transition manager showing commitment to the effort after the CWP project is completed.

LEVERAGING OPPORTUNITIES

MULTI-AND BILATERAL FORUMS

The Department of Defense has international dialogues with numerous partners to identify needs and deficiencies in coalition capabilities. The DoD Science and Technology (S&T) and R&D communities have a wealth of knowledge with respect to activities in their counterparts’ programs, and well-established relationships with many of their direct counterparts in partner nations. CWP seeks to leverage, promote, and increase cooperative activities within these communities.

OTHER DoD PROGRAMS

CWP projects can add new capabilities to previous or ongoing activities. The project may be conducted in conjunction with other DoD programs, (e.g., Joint Capability Technology Demonstration (JCTD), Service International Cooperative Research and Development (ICR&D), Small Business Innovation Research (SBIR), etc.).

Asia-Pacific – “Our relationships with Asian allies and key partners are critical to the future stability and growth of the region.”

Middle East – “To support these objectives, the United States will continue to place a premium on U.S. and allied military presence in – and support of – partner nations in and around this region.”

Europe – “In this resource-constrained era, we will also work with NATO allies to develop a “Smart Defense” approach to pool, share, and specialize capabilities as needed to meet 21st century challenges.”

Sustaining U.S. Global Leadership, January 2012

Priorities for 21st Century Defense

MANAGEMENT APPROACH

The Coalition Warfare Program is administered by the Office of the Director of International Cooperation (IC), OUSD(AT&L). Director, IC is the approval authority for selection and funding of CWP projects. The Deputy Director for CWP serves as the senior OSD point of contact for the program. The CWP Team within OUSD(AT&L)/IC oversees the entire nomination-to-project execution cycle.

Once nominations are submitted, the CWP Team puts them through several stages of review and refinement before selecting the top candidates for the Subject Matter Experts (SME) Review Board and Embassy Reviews. The CWP Team utilizes a broad range of experts in DoD and in our foreign partners' embassies to select projects that best enable coalition solutions and meet the needs of the Department and our partners. Upon approval, CWP provides funding to the Project Team to execute according to the project plan.

ROLES

CWP Team: The Deputy Director for CWP and OUSD(AT&L)/IC CWP staff. The CWP Team conducts outreach to seek potential projects, analyzes nominations, works with U.S. and partner nation teams to improve the viability of worthwhile nominations, maintains the CWP budget, and oversees the execution of the selected projects.

DoD R&D Community: The government labs and program offices within the Services and Agencies that have the Title 10 Authorities to execute RDT&E activities and the CCMD S&T offices. The R&D Community includes the project leads and managers (once selected) of CWP projects. Experts within this community participate in CWP reviews to help identify project synergies and duplications.

Service International Program Offices (IPOs)/CWP Points of Contact (POCs): U.S. Army: Deputy Assistant Secretary of the Army for Defense Exports and Cooperation (DASA DE&C), U.S. Navy: Navy International Program Office 01C (NIPO), U.S. Air Force: Secretary of the Air Force for International Affairs Armaments Cooperation Division (SAF/IAPQ). These offices distribute the CWP call memo to the Service R&D community, review first draft nominations, conduct reviews for duplicative efforts or joint interest in projects, participate in the nomination and selection process, and assist the CWP Team in overseeing the execution of the selected projects. They are also the Service points of contact for completing any required international agreements associated with a CWP project. Some Agencies (e.g., DTRA, DISA, CTTSO) have similar CWP POCs.

U.S. Project Team: The Project Team will have a designated Defense Department team lead and could have multiple U.S. partners participating in the effort, to include industry and academia. More complex projects might need to include technology transfer and foreign disclosure specialists on the Project Team. The U.S. Project Lead is responsible for the overall technical, financial, and contractual aspects of the project. To be successful, a CWP project must have multiple core team members, as a single project manager is not usually sufficient to complete all of the coordinations and oversight activities necessary for success.

Foreign Project Team: The foreign Project Team will have government—preferably defense organization—leads from each of the participating nations. These leads will be responsible for the technical, financial, and contractual aspects of their project-related efforts. The nomination form (**Annex C**) must include a written statement of commitment by the foreign lead. Foreign teams can also include foreign industry and academia members.

CCMD S&T Advocates: The CCMD S&T Advocates are located in the Science Advisor/Science and Technology staffs within each of the CCMDs, and act as the end-user community representatives endorsing projects that meet their commands' needs during the review of CWP nominations. Advocates also maintain awareness of project progress during the CWP execution phase. The CWP Team will work with these offices to gain advocacy for project nominations early in the nomination development process as a primary element of a competitive CWP nomination. If selected, the U.S. project lead will be responsible for coordinating with the CCMD S&T Advocates during the project execution.

Transition Managers: Transition Managers take the deliverable of the CWP project and conduct the next step of activity within the development, procurement, or fielding process.

Support Team: Support elements to a project include the offices assisting with the processes and project development, but are not necessarily involved in day-to-day project activities. Examples of support elements include: Attachés in the foreign embassies, Offices of Defense Cooperation in overseas U.S. embassies, and Service and AT&L desk officers, or other organizations that support information sharing and coordination with counterparts, foreign disclosure, security, technology transfer, and international agreements.

Endorsers: Like advocates, endorsers support the end-use of the products. These may be from any level, including program offices interested in the technology, resource sponsors, other CCMD offices, senior level DoD support, other Agencies, or foreign partners.

PROJECT SUBMITTAL/SELECTION SCHEDULE

The following ten steps outline the basic CWP project schedule. Additional guidance and details are provided in the referenced Annexes.

STEP 1: CALL FOR NOMINATIONS

MAY 2014

OUSD(AT&L)/IC issues a memo to CCMDs, Services, and DoD agencies calling for new CWP project nominations. The Service IPOs and other CWP POCs in the Department will distribute the call memo—along with this management plan and the document template Annexes—and the CWP Team will post the relevant documents on the CWP website: <http://www.acq.osd.mil/ic/cwp.html>.

STEP 2: OUTREACH

MAY – OCTOBER 2014

The CWP Team will provide informational briefings on the Program and the FY16 candidate cycle throughout the summer. In addition, the CWP Team is always prepared to discuss potential candidate ideas with Project Teams to see if they would make competitive CWP nominations.

The CWP Team, along with the respective Service or Agency CWP POCs, will hold one-on-one discussions to allow potential Project Teams to ask the CWP Team questions about the process and to discuss nomination ideas. Discussions can take place in person, by teleconference, or by video teleconference at any time prior to the initial due dates. Interested parties are highly encouraged to reach out as early as possible to get advice and support from the CWP Team and the respective Service/Agency CWP POC. In addition, the CWP Team will hold “Open Houses” to discuss CWP candidates with interested parties. Providing a completed **Annex A** to a CWP POC or the CWP Team prior to these discussions will help the CWP Team provide the best advice on the necessary coordination and project planning steps to make the nomination successful.

Annex A is an initial planning document with financial planning and international agreement worksheets. It is designed to help Project Teams start laying out the details that will ultimately be provided in the formal nomination (Annexes B, C and D). Annex A will help identify areas where the Project Team needs help and determine if the project meets CWP requirements and is ready for the current nomination cycle. Please answer the questions posed in the Annex A as completely as possible.

Seek the support of the CWP Team and the other CWP POCs if you have questions or if you would like to participate in one of the Open House events. CWP Email – osd.coalition.warfare@mail.mil

Some key areas that need to be addressed during project planning include:

Resubmissions: Project leads interested in re-submitting a nomination from a prior year should revise their nomination using the FY16 nomination templates. The new nomination should adequately address feedback provided by the CWP Team in the previous cycle.

Management Planning: Successful cooperative projects with foreign counterparts require broad engagements with the partners and other parts of DoD to assure compliance with plans, processes, and regulations. Successful projects have multiple core team members.

Financial Planning: The Project Teams should start identifying internal resources available for the project early in the project nomination development process. This requires a good relationship with the organization’s budget and contracting office. Projects should base their CWP funding request on an actual estimate of the cost of completing the project and an analysis of the other resources available. **Annex B** contains the detailed resource planning sheet for the nomination, and is a good tool to use in developing the project plan with the partner. Project managers must provide schedule and cost estimates as part of the nomination process. Execution planning should take into account reasonable expectations regarding completion of international agreements. The CWP Team will work with selected projects to determine in which fiscal years to provide CWP funds—determinations will be based on the Project Team’s submitted project plan.

Test and Demonstration Planning: For projects that require demonstration, Project Teams should identify the demonstration or exercise venues as part of the project plan. Many standing test events/venues require early application and test plans. This requires consideration early in the planning process.

International Agreement Development: Most CWP projects require international agreements. An agreement need not be in place or in negotiation at the time a nomination is submitted to OSD, but will need to be in place before the cooperative work of a project can begin. The appropriate Service IPO can assist the Project Team with understanding what agreements, if any, are needed to conduct the project and will provide information to the Project Team on the process and timeline required to conclude the necessary agreements. Project Teams can consult the International Armaments Cooperation Handbook for general guidance on the development and conduct of international agreements in the Resources Section of AT&L/IC’s website: <http://www.acq.osd.mil/ic/>.

Addressing Technology Transfer, Export Control, Security and Disclosure Issues: Because CWP projects are conducted with foreign governments—and may include engagement with foreign and U.S. industry—Project Teams need to work with the appropriate organizations on the security, disclosure and licensing requirements early in the nomination development process. The CWP Team can provide the necessary points of contact to the appropriate Service and OSD offices upon request.

STEP 4: INITIAL NOMINATIONS

OCTOBER 2014 - 15 JANUARY 2015

Service and Agency-specific Due Dates: Nominations require different degrees of staffing prior to submission to the CWP Team, depending on the organizations and international agreements involved. The IPO will review, help refine, and coordinate on the nominations and will then submit these nominations to the CWP Team on or before the initial CWP due date. Please contact the appropriate CWP POC for full information regarding deadlines and requirements.

Nominations from the Services must be submitted to the appropriate IPO by their internal deadline.

Formal FY16 process deadlines

	Annex A Submission	Initial Nominations
Army: DASA(DE&C)	N/A	13 November 2014
*Navy: NIPO 01C	1 October 2014	11 November 2014
*Air Force: SAF/IAPQ	1 October 2014	26 November 2014
OSD: OUSD(AT&L)/IC/CWP	N/A	15 January 2015

****Some Service organizations have earlier internal deadlines. Contact CWP or relevant IPO for more information.****

Initial nominations are due to the CWP Team no later than 1700 Eastern Time Zone on 15 January 2015.

A complete initial nomination requires the following documentation:

Annex B – Tasks and Resource Spreadsheets

Annex C – Nomination Form

Annex D – Quad Chart

STEP 5: EVALUATION AND FEEDBACK

JANUARY– FEBRUARY 2015

The CWP Team will review the initial nominations and provide feedback to all Project Teams and the CWP POCs. Projects that are not strongly competitive will be rejected for consideration or asked to self-eliminate. Some Services and Agencies will hold in-person reviews to discuss the projects and provide initial feedback to make the nominations as complete and competitive as possible before the final nomination due date. Engagement will include face-to-face meetings, video teleconferences, teleconferences, or email exchanges with the Project Team, CWP POCs, and other necessary coordinating offices.

STEP 6: FINAL NOMINATIONS

26 FEBRUARY 2015

Final nominations are due to the CWP Team no later than 1700 Eastern Time Zone on 26 February 2015. Nominations will be rejected as a candidate if not completed by the deadline.

A complete final nomination requires the following documentation:

Annex B – Tasks and Resource Spreadsheets

Annex C – Nomination Form

Annex D – Quad Chart

The final nomination should be complete and reflect all feedback received during the initial evaluation phase. The CWP Team will review the final nominations and select the top twenty candidates to present at the Subject Matter Experts (SME) Review Board. Feedback will be provided to all Project Teams once the finalists are selected.

STEP 7: FINAL EVALUATION: SME REVIEW BOARD AND SELECTION

MARCH – APRIL 2015

The SME Review Board includes the Services' IPOs, Service and CCMD requirements communities, DoD Agencies, the Joint Staff, OSD staff, and other CWP POCs. On a case-by-case basis, SMEs from organizations with particular areas of expertise are recruited to evaluate nominations. SMEs review the final CWP candidates and evaluate them against the Department's warfighting priorities and the CWP project criteria.

The CWP Team will convene the SME Review Board in late March to evaluate the top twenty nominations. Project leads will have fifteen minutes to brief their project against the quad chart. Separately, the CWP Team will hold meetings with Embassy representatives to evaluate partner commitment and execution plans of proposed projects.

The CWP Team will use SME feedback to determine selection recommendations for Director, IC. The CWP Team will notify Project Teams of the selection decisions in April 2015.

STEP 8: PROJECT INITIATION

APRIL-JUNE 2015

Upon notification, the selected Project Teams will be assigned a CWP Team member to provide oversight and support to the project. The Project Teams will also be required to sign and return the **CWP Agreement Form** as soon as possible, indicating their agreement to comply with CWP reporting and execution requirements.

The CWP Team will hold training sessions in May to walk U.S. Project Teams—to include the technical, financial and contracting leads—through the process of completing the required initial documentation, which is due on or before **15 June 2015**. The initial documentation consists of:

Updated Annex D (Quad Chart) incorporating updates to the project plan or contributions.

Initial Annex E (Monthly Report) providing disbursement instructions and obligation and spend plans. These plans need to be completely vetted with the respective financial and contracting officers.

Initial Annex F (Quarterly Report)

These documents are critical reporting elements for the CWP Team, which has reporting requirements within AT&L and to the OSD Comptroller.

STEP 9: PROJECT EXECUTION

JULY 2015 – PROJECT COMPLETION

CWP funding is dependent upon congressional approval of the CWP budget and successful completion of the required steps to initiate the project. These steps include completing the necessary international agreements, putting in place required contracts, developing valid project plans, and securing partner nation and U.S. partner funding and resources. When the fiscal year's funds are available and the Project Team is ready to begin work, the CWP Team will initiate the transfer of funds in accordance with the project's funding plan.

During the execution phase of the project, Project Teams must demonstrate sound financial management practices. This includes submitting required financial reporting documents on time, obligating funds as soon as possible, forwarding obligation documents to the CWP Team, and executing funds per the defined spend plans (Annex E). The CWP Team requires timely report submissions to keep abreast of the project's status and to assist with solving problems, as required. The reporting requirements are as follows:

15th of each month – Annex E (Monthly Report) Provides the Project Team's financial officer's obligation and expenditure information for the previous month. Copies of obligation documents (contracts, MIPR acceptances, etc.) should be forwarded to the CWP Team as soon as they are generated.

15th of March and July (and other times, as needed) - Rebaselined Annex E (Monthly Report). If necessary, the project's execution plan will be rebaselined to show the plan for executing the remaining CWP funds. This supports the CWP Team's mid-year budget review and also planning for the next fiscal year. A Project Team should only change a project's execution plans after discussion with CWP Team.

15th of October, January, April and July – Annex F (Quarterly Report) and Updated Annex D (Quad Chart) - Providing a status update for the project, describing progress toward goals, and identifying any issues impeding progress.

Status Updates/Project Reports. Project Teams are encouraged to invite the CWP Team to major project events and to send the CWP Team relevant reports throughout the life of the project. Project Teams should alert the CWP Team to any issues that arise (including changes to the obligation and expenditure plans). Occasional reports on the transition status of the effort after the CWP project has ended are also welcomed.

Quarterly reports are required from the time the project is selected until final report submission, regardless of the level of activity in any given month or quarter.

Monthly reports are required as soon as funds are provided to the project and until the balances on all of the funding documents are zero.

STEP 10: PROJECT CLOSE-OUT

WITHIN 60 DAYS OF PROJECT COMPLETION

After completion of the CWP project, the CWP Team will work with the Project Team to recover any outstanding funding. All funding documents must show a zero balance—i.e., funding must be fully expended or returned—before a project will be considered complete. In certain cases, this could be a lengthy process, as contracts are closed out and modified.

Final Report (Annex G). The Project Team should forward the Final Report within 60 days of the project's completion. Annex G contains a final report outline, which includes a narrative describing how well the project met originally stated goals and objectives, reports from demonstrations and trials, a description of the project's challenges that may have impacted the final outcome, likely follow-up activities (i.e., further testing, acquisition, etc.), and a comprehensive picture of all spending (OSD, other DoD and foreign partner).

COLLABORATION INITIATIVES

Funding returned from completed projects will be made available to support additional cooperative RDT&E engagements with foreign partners, but as small-dollar, quick-executing initiatives. These initiatives are identified by Director, IC to support partner engagements, or as submissions by the CCMD S&T offices. These efforts are meant to encourage current or future cooperative R&D efforts with foreign partners, to include pre-cursor activities with partners for future CWP submissions. The CWP team will collect these ideas and implement as rolling starts when additional funds are available. As quick-executing

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projects, these activities must fall under the auspices of an existing agreement or legal mechanism to support the engagement.

CONTACT INFORMATION

Website: <http://www.acq.osd.mil/ic/cwp.html>

Email: osd.coalition.warfare@mail.mil

ACRONYMS

C4ISR	Command, Control, Communications and Computers and Intelligence, Surveillance, and Reconnaissance
CCMD	Combatant Command
CTTSO	Combating Terrorism Technical Support Office
CWP	Coalition Warfare Program
DASA/DE&C	Deputy Assistant Secretary of the Army for Defense Exports and Cooperation
DISA	Defense Information Systems Agency
DoD	Department of Defense
DTRA	Defense Threat Reduction Agency
IC	International Cooperation
ICR&D	International Cooperative Research and Development
IPO	International Program Office
JCTD	Joint Capability Technology Demonstrations
MIPR	Military Interdepartmental Purchase Request
NATO	North Atlantic Treaty Organization
NIPO	Navy International Programs Office
OSD	Office of the Secretary of Defense
OUSD(AT&L)	Office of the Under Secretary of Defense for Acquisition, Technology and Logistics
PE	Program Element
POC	Point of Contact
R&D	Research and Development
RDT&E	Research, Development, Test, and Evaluation
S&T	Science and Technology
SAF/IAPQ	Secretary of the Air Force for International Affairs Armaments Cooperation Division
SBIR	Small Business Innovation Research
SME	Subject Matter Expert

ANNEXES

PROJECT NOMINATION ANNEXES

A: INITIAL PLANNING DOCUMENT

B: RESOURCES AND SCHEDULE SPREADSHEETS

C: NOMINATION FORM

D: QUAD CHART

PROJECT EXECUTION ANNEXES

E: MONTHLY REPORT

F: QUARTERLY REPORT

G: FINAL REPORT