



Department of Defense

DIRECTIVE

NUMBER 5141.01
March 16, 2006

DA&M

SUBJECT: Director, Program Analysis and Evaluation (PA&E)

- References:
- (a) Section 113 of title 10, United States Code
 - (b) DoD Directive 5141.1, "Director, Program Analysis and Evaluation (PA&E)," March 18, 1999 (hereby canceled)
 - (c) DoD Directive 7045.14, "The Planning, Programming and Budgeting System (PPBS)," May 22, 1984
 - (d) DoD Directive 5205.07, "Special Access Program (SAP) Policy," January 5, 2006
 - (e) through (h), see Enclosure 1

1. REISSUANCE AND PURPOSE

Under the authority vested in the Secretary of Defense by Reference (a), this Directive:

1.1. Reissues Reference (b) to update the responsibilities, functions, relationships, and authorities of the Director, Program Analysis and Evaluation (PA&E).

1.2. Authorizes the Director, PA&E, as the Principal Staff Assistant reporting directly to the Secretary of Defense, to promulgate DoD policy in DoD Instructions within the responsibilities, functions, and authorities assigned herein.

2. APPLICABILITY

This Directive applies to the Office of the Secretary of Defense (OSD), the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities in the Department of Defense (hereafter referred to collectively as the "DoD Components").

3. RESPONSIBILITIES AND FUNCTIONS

The Director, PA&E, as the principal staff assistant and advisor to the Secretary and Deputy Secretary of Defense, conducts independent analysis for, and provides independent advice on, all DoD program and evaluation matters. In this capacity, the Director, PA&E, shall:

3.1. Provide analysis, advice, and recommendations on matters relating to the Planning and Programming phases of the Planning, Programming, Budgeting, and Execution (PPBE) system, consistent with DoD Directive 7045.14 (Reference (c)).

3.1.1. Prepare programmatic guidance on which the Future Years Defense Program (FYDP) is based. Prepare fiscal guidance in coordination with the Under Secretary of Defense (Comptroller).

3.1.2. Manage the Enhanced Planning Process (EPP) phase of the Strategic Planning Process for Secretary or Deputy Secretary of Defense approval. The Joint Programming Guidance documents the decisions resulting from the EPP phase.

3.1.3. Manage the program review phase of the PPBE system, including serving as the Executive Secretary to the senior group advising the Secretary and Deputy Secretary of Defense on program review issues and as Chairman of the group charged with overseeing the development of those issues. Prepare for Deputy Secretary of Defense approval the Program Decision Memoranda documenting the decisions resulting from the program review phase.

3.2. Analyze, evaluate, and provide alternative plans, programs, and budgets for U.S. defense objectives, projected threats, allied contributions, estimated costs, and resource constraints.

3.3. Review, analyze, and evaluate programs for executing approved strategies and policies, including special access and compartmented intelligence programs, in accordance with DoD Directive 5205.07 (Reference (d)), and in coordination with the Under Secretary of Defense for Intelligence (USD(I)).

3.4. Ensure that the costs, effectiveness, and capabilities of DoD programs are presented accurately and completely, including special access and compartmented intelligence programs, in accordance with Reference (d), and in coordination with the USD(I).

3.5. Provide guidance for, and manage the operation and improvement of, the FYDP, including the Program Element Structure.

3.6. Assess effects of DoD spending on the U.S. economy and evaluate alternative policies to ensure that DoD programs can be implemented.

3.7. Provide leadership in developing and promoting improved analytic skills and competencies, tools, data, and methods for analyzing national security planning and the allocation of resources.

3.8. Serve on boards, committees, and other groups pertaining to the Director, PA&E's, functional areas, and represent the Secretary and Deputy Secretary of Defense on PA&E matters outside the Department of Defense.

3.9. In support of the Secretary and Deputy Secretary of Defense, or as otherwise delegated, perform critical reviews of requirements, capabilities, and life-cycle costs of current and proposed defense programs, including reviews of Analyses of Alternatives (AOAs) submitted within the Defense Acquisition Board review and milestone decision process. Provide advance guidance to Principal Staff Assistants, in accordance with their roles verified by PL 108-375, section 332 (Reference (e)), and the Secretaries of the Military Departments on alternatives and analytic techniques employed in AOAs.

3.10. Ensure that PA&E policies and programs are designed and managed in ways that improve standards of performance, economy, and efficiency and that activities under the authority, direction, and control of the PA&E are attentive to the requirements of their organizational customers, internal and external to the Department.

3.11. Provide leadership and support to the Cost Analysis Improvement Group, in accordance with DoD Directive 5000.4 (Reference (f)).

3.12. Perform such other duties as the Secretary and Deputy Secretary of Defense may prescribe.

4. RELATIONSHIPS

4.1. In the performance of assigned functions and responsibilities, the Director, PA&E, shall:

4.1.1. Report directly to the Secretary and Deputy Secretary of Defense.

4.1.2. Coordinate and exchange information with other OSD officials, the Heads of the DoD Components, and Federal officials having collateral or related functions.

4.1.3. Use existing facilities and services of the Department of Defense or other Federal Agencies, when practicable, to avoid duplication and achieve maximum efficiency and economy.

4.2. Other OSD officials and the Heads of the DoD Components shall coordinate with the Director, PA&E, on all matters related to the responsibilities and functions cited in section 3.

5. AUTHORITIES

The Director, PA&E, is hereby delegated authority to:

5.1. Promulgate in DoD Instructions, DoD policy within the authorities and responsibilities assigned herein, including authority to identify collateral responsibilities of OSD officials and Heads of DoD Components. Such Instructions shall be fully coordinated in accordance with DoD 5025.1-M (Reference (g)). Further, in assigned areas of responsibility, has authority to issue other DoD Instructions, DoD publications, and one-time directive-type memoranda, consistent with Reference (g), that implement policy approved by the Secretary of Defense in assigned areas of responsibility. Instructions to the Military Departments shall be issued through the Secretaries of the Military Departments. Instructions to the Commanders of the Combatant Commands shall be communicated through the Chairman of the Joint Chiefs of Staff.

5.2. Obtain reports, information, advice, and assistance consistent with DoD Directive 8910.1 (Reference (h)), as necessary to carry out assigned functions.

5.3. Communicate directly with the Heads of the DoD Components, as necessary to carry out assigned functions, including the transmission of requests for advice and assistance. Communications to the Military Departments shall be transmitted through the Secretaries of the Military Departments, their designees, or as otherwise provided in law or directed by the Secretary of Defense in other DoD issuances. Communications to the Commanders of the Combatant Commands normally shall be transmitted through the Chairman of the Joint Chiefs of Staff.

5.4. Communicate with other Government officials, representatives of the Legislative Branch, members of the public, and representatives of foreign governments, as appropriate, in carrying out assigned functions. Communications with representatives of the Legislative Branch shall be coordinated with the Assistant Secretary of Defense for Legislative Affairs and be consistent with the DoD Legislative Program.

6. EFFECTIVE DATE

This Directive is effective immediately.



Gordon England

Enclosure – 1

E1. References, continued

E1. ENCLOSURE 1

REFERENCES, continued

- (e) Public Law 108-375, "The Ronald Reagan National Defense Authorization Act for Fiscal Year 2004," Section 332, October 28, 2004
- (f) DoD Directive 5000.4, "Cost Analysis Improvement Group (CAIG)," November 24, 1992
- (g) DoD 5025.1-M, "DoD Directives System Procedures," March 5, 2003
- (h) DoD Directive 8910.1, "Management and Control of Information Requirements," June 11, 1993