Management Plan

Nominations for Fiscal Year 2021

Senior Advisor, International Cooperation
Office of the Under Secretary of Defense
Acquisition and Sustainment

Web: www.acq.osd.mil/ic/cwp.html
Email: osd.coalition.warfare@mail.mil
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Current U.S. military strategy and an increasingly complex 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 among the highest priorities for the Nation and the Department of Defense (DoD). The 2018 National Defense Strategy (NDS), *Sharpening the American Military’s Competitive Edge*, ranks “strengthening alliances as we attract new partners” as DoD’s second highest priority behind rebuilding military readiness and a more lethal Joint Force.

Despite decades of conducting multinational operations, the United States and its partners continue to experience capability and interoperability shortfalls. Gaps still exist in areas such as artificial intelligence, deep learning, intelligence, surveillance, and reconnaissance, cyber security, autonomy, directed energy, and combating weapons of mass destruction. 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.

The Coalition Warfare Program (CWP) program element, under the authority of the Office of the Under Secretary of Defense for Acquisition and Sustainment (OUSD(A&S)), promotes addressing these needs through cooperative research, development, test, and evaluation (RDT&E) projects with foreign government partners. It is the only Office of the Secretary of Defense (OSD) investment 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 deliver a high return on investment for the DoD, with a 1:3 return vis-a-vis international partner contributions, and a 1:5 return overall, for every CWP dollar contributed.

CWP projects enable DoD Project Teams to advance a technology into the next stage of development or to prepare for transition to operational forces. These projects may also form the basis for larger-scale efforts 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 goals by:

- Supporting all three of DoD’s highest priorities as expressed in the 2018 NDS: developing a more lethal force, strengthening international partnerships, and supporting business reforms by making the wisest investment of DoD resources.

- Helping program offices convert U.S.-only projects into coalition solutions.

- Influencing coalition interoperability in major programs that will have far-reaching use by U.S. Forces.

“A more lethal, resilient, and rapidly innovating Joint Force, combined with a robust constellation of allies and partners, will sustain American influence and ensure favorable balances of power that safeguard the free and open international order. Collectively, our force posture, alliance and partnership architecture, and Department modernization will provide the capabilities and agility required to prevail in conflict and preserve peace through strength.”

2018 National Defense Strategy
• 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 (R&D) base.

As an R&D funding source in the OSD, CWP strives to bridge the gap between the Combatant Commanders/operational components of the Military Departments 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 through collaborative RDT&E.

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. Successful projects have achievable goals, reasonable funding requests, and executable transition plans. The legal vehicles (e.g., required international agreements, licenses, security, etc.) and other requirements (e.g., foreign disclosure approvals, etc.) must be achievable.

Sound foreign partnership: CWP projects are collaborative efforts with foreign partners’ defense organizations. The foreign partner(s) must have demonstrable engagement in, and contribution to, the RDT&E work; to include committing resources to the effort.

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 can come from across the RDT&E spectrum, but must conform to the rules for RDT&E funding.

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. CWP reviews project submissions against strategic DoD guidance documents and initiatives, such as the National Defense Strategy, National Security Strategy, the National Military Strategy, and the Quadrennial Defense Review.

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 for the FY21 selections. 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 of $2 million must demonstrate responsiveness to

“We will expand the competitive space while pursuing three distinct lines of effort:

- First, rebuilding military readiness as we build a more lethal Joint Force;
- Second, strengthening alliances as we attract new partners; and
- Third, reforming the Department’s business practices for greater performance and affordability.”

2018 National Defense Strategy
critical DoD needs, advancing the state of the art for their discipline, or pioneering new technology in a strategic capability area (i.e., “game-changers”).

**Tangible outcomes:** CWP projects result in tangible deliverables ready for the next phase of maturation or to enter into the processes for fielding. Highly attractive projects develop and demonstrate solutions with well-developed transition paths that will enable technology to reach warfighters within two to three years after conclusion of the CWP project.

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

**LEVERAGING OPPORTUNITIES**

**Multi- and Bi-lateral 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, Foreign Comparative Testing, Emerging Capabilities Technology Development, Small Business Innovation Research, etc.).

**MANAGEMENT APPROACH**

The Coalition Warfare Program is administered by the Office of the Senior Advisor for International Cooperation (IC), OUSD(A&S). Senior Advisor, 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(A&S)/IC oversees the entire nomination-to-project execution cycle.

Once nominations are submitted, the CWP Team guides proponents 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 community 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.

For FY21, and subsequent years, the Senior Advisor, OUSD(A&S)/IC, may elect to conduct out-of-cycle selections to promote CWP goals and execution objectives. Furthermore, the Senior Advisor will issue initial CWP funds to new-start FY21 projects on a “first-come, first-served” basis, in the order that they complete their requisite international agreements; until all planned FY21 CWP funds are obligated. Therefore, projects with longer agreement timelines might have to wait for FY22 funding in the event other projects exhaust the FY21 funds planned for new starts. Implementation of these options will be considered on an annual basis.

**Roles**

**CWP Team:** The Deputy Director for CWP and OUSD(A&S)/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, advises the IC Senior Advisor on final selections, and oversees the execution of the selected projects.

**DoD R&D Community:** The government labs and program offices within the Military Departments and DoD 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.

**Military Department 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/IAPC). These offices distribute the CWP call memo to the Military Department 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 Military Department points of contact for completing any required international agreements associated with a CWP project. Some Agencies (e.g., DTRA, DISA, CTTSo, MDA) have similar CWP POCs.

**U.S. Project Team:** The Project Team will have a designated DoD 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 coordination 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 B**) 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 U.S. embassies overseas, Military Department and A&S 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 eleven (11) steps outline the basic CWP project schedule. Additional guidance and details are provided in the referenced Annexes.

**Step 1: Call for Nominations**

MAY 2019

OUSD(A&S)/IC issues a memo to CCMDs, Military Departments, and DoD Agencies calling for new CWP project nominations. The Military Department IPOs and other CWP POCs in DoD will distribute the call memo along with this Management Plan.

**Step 2: Outreach**

APRIL - SEPTEMBER 2019

The CWP Team will provide informational briefings on the Program and the FY21 nomination/selection cycle throughout the spring and summer. For information about the outreach schedule, or to request an outreach event at your organization, please contact the CWP Team at osd.coalition.warfare@mail.mil.

**Step 3: Project Planning**

MAY – SEPTEMBER 2019

The CWP Team, along with the respective Military Department or Agency CWP POCs, will be available for 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 during the nomination process. Interested parties are highly encouraged to reach out as early as possible to get advice and support from the CWP Team and the respective Military Department/Agency CWP POC. Providing a completed Annex A (Quad Chart) 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.

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 FY21 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 C 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 demonstrations, Project Teams should identify the demonstration or exercise venues as part of the project plan. Many standing test events/venues/ranges 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 project can begin and CWP funds issued. The appropriate Military Department 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.

**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 Military Department and OSD offices upon request.

**Step 4: Initial Review**

The first step in the FY21 process is to submit an Annex A (Quad Chart) to the CWP office by 1700 Eastern Time Zone on 9 August 2019. The CWP team will review the submissions and contact the Project Team to provide feedback on whether or not the Project Team should proceed with a full nomination. The CWP Team will provide guidance and training for all Project Teams that are invited to proceed with the nomination process.

**Military Department 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 CWP due date. Please contact the appropriate CWP POC for full information regarding deadlines and requirements.
Nominations from the Military Departments must be submitted to the appropriate IPO by their internal deadline.

**Step 5: Nomination Development**  
**September 2019 – 6 December 2019**

If a Project Team is cleared to proceed with developing the full nomination, a CWP team member will work closely with them 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: First Draft Nominations**  
**11 October 2019**

First drafts of all CWP nomination package documents (Annex A, Annex B, Annex C) are due to the CWP office not later than 1700 Eastern Time Zone on **11 October 2019**. This required deadline is intended to enhance the process of refining project nomination proposals between the CWP Team and U.S. Project Teams. Therefore, the “First Draft Nominations” do not need to be fully-complete, revised, documents; but, they should be developed enough for the CWP Team to provide informed advice for revising the packages for final submission.

**Step 7: Final Nominations**  
**6 December 2019**

A complete final nomination requires the following documentation:

- **Annex A – Quad Chart**
- **Annex B – Nomination Form**
- **Annex C – Tasks and Resource Spreadsheets**

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

**Step 8: Final Evaluation: US SME Review Board and Selection January – March 2020**

The SME Review Board includes the Military Departments’ IPOs, Military Department 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 selection criteria.

The CWP Team will invite Project Leads to brief their nominations to the SME Review Board. 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 Senior Advisor, IC. The CWP Team will notify Project Teams of the selection decisions in March, 2019.

**Step 9: Project Initiation**  
**April-May 2020**

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 Acceptance Form** as soon as possible, indicating their agreement to comply with CWP reporting and execution requirements.

The CWP Team will hold training sessions in April or 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 in **April 2020**. The initial documentation consists of:

- **Updated Annex A (Quad Chart)** incorporating updates to the project plan or contributions.
- **Updated Annex C (Task and Resources Spreadsheet)** providing disbursement instructions and obligation and spend plans. These plans need to be completely vetted with the respective financial and contracting officers.
- **Initial Annex D (Quarterly Report)**

For FY21 selections, Project Teams will also be expected to work with their CWP Team POCs and Military Department IPO POCs to complete the Summary Statement of Intent (SSOI) document for their project not later than 60 days after selection notification. This will help ensure an early and strong start to the international project agreement development process.

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

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**Step 10: Project Execution**  
**June 2020 – 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 CWP Finance POC, and executing funds per the defined spend plans (**Annex C**). 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 C (Tasks and Resources Spreadsheet).** Only due after CWP fund receipt. 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 C (Tasks and Resources Spreadsheet). 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 D (Quarterly Report) and Updated Annex A (Quad Chart). Due regardless of status of project funding. Provides 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.

Please note that for Quarterly and Final Reports, CWP uses content from these documents in products we provide to foreign partners and DoD leadership, and also posts the reports on our U.S.-only SharePoint site for viewing by CWP stakeholders. CWP might also post final reports – or excerpts of the reports – on other U.S.-only tech-sharing websites. For these reasons, it is important to heed guidance on the CWP templates for proper distribution markings on reports and for checking the releasability of the sections marked for sharing with the project’s foreign partner(s).

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 11: 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 E). The Project Team should forward the Final Report within 60 days of the project’s completion. Annex E 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 Senior Advisor, 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 projects, these activities must fall under the auspices of an existing agreement or legal mechanism to support the engagement.

**CONTACT INFORMATION**

Email: osd.coalition.warfare@mail.mil

**ACRONYMS**

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<tr>
<th>Acronym</th>
<th>Description</th>
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<tbody>
<tr>
<td>CCMD</td>
<td>Combatant Command</td>
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<td>CWP</td>
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ANNEXES

A: Quad Chart
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