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Operations

**CAPABILITIES-BASED PLANNING &
REQUIREMENTS DEVELOPMENT**

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(Major General Stanley Gorenc)

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This directive establishes the framework for Air Force capabilities-based planning (CBP) and requirements development to ensure Air Force capabilities meet the needs of the Joint Warfighter now and in the future. The capabilities identified through this process should contribute to future Joint, allied, and coalition operations where applicable. This policy directive implements CJCSI 3170.01, *Joint Capabilities Integration and Development System* and CJCSM 3170.01, *Operation of the Joint Capabilities Integration and Development System*. It applies to all Air Force organizations, including the Air National Guard and Air Force Reserve Command. Recommended changes to this publication should be sent to the OPR using Air Force (AF) Form 847, *Recommendation for Change of Publication*. Maintain records in accordance with Air Force WEB-RIMS Records Disposition Schedule located at <https://webrims.amc.af.mil/rds/index.cfm>.

SUMMARY OF CHANGES

The establishment of the Air Force CONOPS, the implementation of the Joint Capabilities Integration and Development System and the transition from a “threat-based” to a “capabilities-based” approach to planning and requirements development required this document to be substantially rewritten. This directive supersedes and renames Air Force Policy Directive 10-6, dated 19 January 1993, titled *Mission Needs and Operational Requirements*.

1. Purpose. This directive provides policy and establishes responsibilities concerning Air Force capabilities-based planning and requirements development. Air Force organizations must use a formal capabilities-based approach to identify, evaluate, develop, field, and sustain capabilities that compete for limited resources. This directive will:

- 1.1. Direct the use of the Capabilities Review and Risk Assessment (CRRA) as a CBP process that is traceable, repeatable, and defensible to identify Air Force-wide capability shortfalls, gaps, and poten-

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tial tradespace study areas. Results of the CRRA process will align with the National Defense Strategy and feed the Joint Capabilities Integration and Development System (JCIDS) process.

1.2. Prescribe products and processes associated with Air Force CBP and the JCIDS process.

1.3. Formalize capabilities-based planning and requirements development responsibilities for Headquarters United States Air Force, Major Commands (MAJCOM), Air Reserve Component, Direct Reporting Units (DRU) and Field Operating Agencies (FOA).

1.4. Ensure capabilities-based planning and development occurs continuously and collaboratively with other program stakeholders. To that end, this AFPD must be used in conjunction with AFPD 63-1, *Capability-Based Acquisition System*, and AFPD 99-1, *Test and Evaluation*.

2. Air Force capabilities and associated gaps, shortfalls, and potential tradespace study areas across the Doctrine, Organization, Training, Materiel, Leadership and Education, Personnel, and Facilities (DOTMLPF) spectrum will be identified and prioritized through the CRRA (normally once every two years), a disciplined Functional Area Analysis (FAA) and Functional Needs Analysis (FNA) during the CBP process. Identification of shortfalls/gaps is aided by associated CBP actions performed by other entities to include MAJCOMs, DRUs, FOAs, etc.. Formal CRRA results, in terms of capability objectives and action items, will be presented to the Air Force Chief of Staff for approval, at the appropriate Functional Capability Board for Joint validation/decision, and briefed to the Executive Air Force Requirements for Operational Capabilities Council (AFROCC) to assign responsibility for the Functional Solution Analysis (FSA) and/or development of appropriate JCIDS documents.

3. A disciplined FSA will be led by a sponsor (MAJCOM, FOA, DRU assigned through the Executive AFROCC) to identify potential cross-agency solutions to current or future gaps, shortfalls, and/or tradespace study areas. Air Force organizations will first assess all aspects of DOTMLPF solutions to satisfy shortfalls/gaps. Changes to existing resources across the DOTMLPF spectrum, to include materiel items, will be documented with a DOTMLPF Change Recommendation (DCR). If it is determined development of a materiel solution(s) is required, an Initial Capabilities Document (ICD) will normally be developed.

4. If a materiel solution is pursued, an approved ICD (or other recognized requirements document, i.e., Capability Development Document [CDD], Capability Production Document [CPD], DCR, AF IMT 1067) is a prerequisite for entry into the normal acquisition process. Refer to AFI 63-1101, *Modification Management*, for procedures associated with the use of AF IMT 1067.

5. An analysis of alternatives (AoA) is required for DoD Acquisition Category (ACAT) I programs, or as directed by the applicable Acquisition Executive for ACAT II/III programs. The AoA report summarizes the results of cost and performance analyses of the various alternatives that may provide the necessary capability. AoA study plans and AoA results will be briefed to the AFROCC and forwarded through AF/CV to OSD/PA&E for review. The Milestone Decision Authority approves the study plan and preferred solution and the sponsor documents the capability attributes in the CDD and/or CPD.

6. The CDD and the CPD are the sponsor's means of documenting a militarily useful capability that is technologically sound, measurable, testable, sustainable, and affordable. The CDD supports the System Development and Demonstration phase of an acquisition program. The CPD supports the Production and Deployment, and Operations and Support phases.

7. Identification of support and sustainment requirements for a new capability is initiated early in the Concept Refinement stage and followed through with logistician involvement during development of those capability documents that support the new capability's acquisition, testing, fielding, and follow-on support.
8. All Air Force, or Air Force led, operational capability documents (Joint Capabilities Document [JCD], ICD, CDD, CPD, DCR) require AFROCC validation. Approval authority will be in accordance with JCIDS guidance.
9. HQ USAF/A3/5 is responsible for Air Force operational capabilities-based planning and development. HQ USAF/A5X provides oversight of the operational capabilities-based planning process. HQ USAF/A5R provides oversight of the capabilities development (requirements) process and documentation procedures. HQ USAF/A5R serves as the AFROCC Chairman as well as the Air Force representative to the Joint Capabilities Board. HQ USAF/A4M provides product support oversight to ensure capabilities being delivered to the warfighter are supportable and sustainable from cradle to grave.
10. Specific Air Force responsibilities, procedures, formats, and processing guidelines are published in AFI 10-601, *Capabilities Based Requirements Development*, AFI 10-602, *Determining Mission Capability and Supportability Requirements*, and AFI 10-604, *Capabilities Based Planning*, which are the implementing documents to this policy directive.
11. Address requests for waivers to AFI 10-601, *Capabilities Based Requirements Development*, to HQ USAF/A5R. Address requests for waivers to AFI 10-602, *Determining Mission Capability and Supportability Requirements*, to HQ USAF/A4M. Address requests for waivers to AFI 10-604, *Capabilities-Based Planning*, to HQ USAF/A5X.

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Secretary of the Air Force