U.S. DEPT OF DEFENSE

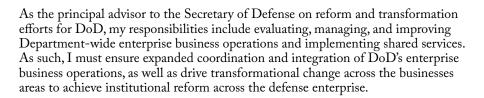# FY 2020 ANNUAL PERFORMANCE REPORT

December 31, 2020

Efficiency for Lethality. That is the working mission of the Office of the Chief Management Officer (OCMO). OCMO strives to meet that mission by achieving the right outcomes that maximize efficiency to support the lethality of our warfighters. OCMO supports the Department of Defense's (DoD) imperative that our warfighters be fully prepared to meet their mission and that DoD remains the most dynamic and innovative organization and fighting force in the world.

As the principal advisor to the Secretary of Defense on reform and transformation efforts for DoD, my responsibilities include evaluating, managing, and improving Department-wide enterprise business operations and implementing shared services. As such, I must ensure expanded coordination and integration of DoD's enterprise business operations, as well as drive transformational change across the businesses areas to achieve institutional reform across the defense enterprise.

To accomplish this, OCMO developed the National Defense Business Operations Plan (NDBOP), which aligns with the Department's National Defense Strategy (NDS), and enables the Department to meet its critical mission of providing combat-credible military forces needed to deter war and protect the security of our nation. It is our solemn responsibility to deliver optimized enterprise business operations and shared services to assure the successful implementation of the NDS.

Two years ago OCMO played a critical role in the Defense-Wide Review (DWR), a DoD initiative aimed at better alignment of DoD resources to NDS priorities. As a result of the success of the DWR, the Secretary enhanced the Chief Management Officer's (CMO) responsibility to include:

1. Review current year budget execution and develop a consolidated annual program and budget for DW organization and accounts;

2. Conduct bottom-up reviews of Defense Agencies and Field Activities (DAFA); and

3. Reform business processes, evaluate and oversee DAFA performance against measurable business goals.

The charge of defending our Nation's interests while serving the needs of our warfighters is critically important and business reform is an essential component of the Department's future success. Every military member, civilian, and contractor has a shared responsibility to support reform efforts to gain full value from every taxpayer dollar spent on defense, properly supporting our warfighters and maintaining the trust of Congress and the American people.

Secretary Miller says all within the Department are part of the team. That is the mindset we must all maintain. We should focus on delivering outcomes, creating value, and ensuring we continually align with the needs of the warfighter and taxpayer. If we do that, OCMO ensures maximum efficiency for lethality and DoD meets its mission.

Lisa W. Hershman
Chief Management Officer

ABOUT THIS REPORT

This report fulfills the Government Performance and Results and Modernization Act (GPRAMA) 2010, Office of Management and Budget (OMB) Circular A-11 (2020), and Congressional Reporting Requirements of Section 912 of the Fiscal Year (FY) 2017 National Defense Authorization Act (NDAA) (Public Law 114-328) requirements. This effort outlines the organizational and policy goals and priorities, including specific and measurable performance and implementation targets that demonstrate how the Department intends to accomplish its business operations goals and measure progress toward achievement. The performance results for the FY 2020 Annual Performance Report (APR) are included as a separate appendix as described below. The 2018 NDS is the Department's strategy to provide for the common defense of the U.S. The Department's strategy is based on three major lines of effort.

FY 2022 NATIONAL DEFENSE BUSINESS OPERATIONS PLAN

The NDBOP was published and signed in May of 2018. The NDBOP outlines how the DoD's business operations support implementation of the NDS and achievement of NDS objectives.

APPENDIX A
FY 2020 DoD Annual Performance Report (Performance Results)

The DoD APR for FY 2020 communicates the Department's progress towards achieving the strategic objectives in the NDBOP and performance goals in the FY 2021 Annual Performance Plan (APP) published in February 2020. This report provides readers an assessment of how DoD's FY 2020 performance measures and results align to its mission and functions, and provides detailed performance-related information to the President, the Congress, and the American people. The APR also provides information on the Department's priority goals and other Department-wide management initiatives.

The FY 2020 APR is one in a series of three reports this year which comprise the Department's performance and accountability reports:

➤ DoD Agency Financial Report: Published – November 16, 2020

➤ Third Quarter, FY 2020 Performance Results Summary within the APR, which succeeds and fulfills the purpose formerly accomplished by the Organizational Assessment Report: Published – October 1, 2020

➤ DoD APR: Delivery date – January 2021

Based on GPRAMA's intent to align performance planning cycles to Administration transitions, a new APP is not required this cycle.

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SECTION ONE

DEPARTMENT MISSION OVERVIEW

INTRODUCTION AND EXECUTIVE SUMMARY

The enduring mission of the Department is to provide combat-credible military forces needed to deter war and protect the security of the nation. The Department is committed to ensuring the U.S. military remains the best prepared and most lethal Joint Force in the world, and that the President and American diplomats negotiate from a position of strength. Should deterrence fail, the U.S. military is prepared to fight and win.

Today, the Nation faces an increasingly dynamic and unpredictable security environment characterized by a decline in the long-standing free and open international order established following World War II and an erosion of military advantage in key regions. Significant political changes combined with rapid advances in commercial technologies – such as big data analytics, artificial intelligence, robotics, quantum science, autonomy, and additive manufacturing (e.g., 3D printing) – present important opportunities as well as challenges and that will shape the character of future wars. Additionally, rogue regimes and non-state actors remain a concern, enabled by increasingly sophisticated capabilities.

In response to this complex global security environment, the Department continues to carry out its mission objectives as outlined in the January 2018 NDS, which focuses on the Department's role in implementing the December 2017 National Security Strategy (NSS). The NDS is the preeminent guidance document which articulates the central problem the U.S. military seeks to address; identifies core elements of the strategic environment; defines core defense missions; and specifies the capabilities, capacity, posture, and readiness needed to address these challenges. It also articulates an effective strategy to address global security challenges and provide for the common defense. The NDS continues to serve as the key strategic document driving the Department's priorities, investments, and programmatic decisions along three distinct lines of effort:

➤ Rebuilding military readiness and building a more lethal Joint Force;

➤ Strengthening alliances and attracting new partners; and

➤ Reforming the Department's business practices for greater performance and affordability.

In addition, the Department supplements the implementation of the three NDS lines of effort with a focus on "Taking Care of Our People." This focus recognizes the fact the Department's people are its greatest resource, and their hard work at home and abroad keeps our Nation safe and determines the success of the NDS lines of effort.

RESOURCES

During FY 2020, the Department continued to faithfully implement the three NDS lines of effort thanks to the ongoing congressional support provided through the:

➤ DoD Appropriations Act of 2020,

➤ Military Construction, Veterans Affairs, and Related Agencies Appropriations Act of FY 2020,

➤ Energy and Water Development and Related Agencies Appropriations Act of FY 2020, and

➤ NDAA for FY 2020.

The provisions of these laws have allowed the Department to reverse declines in readiness and begin to modernize air, land, sea, space, and cyber capabilities. To meet the objectives outlined in the NDS, the Department must continue to make the most of every resource; however, sustained and uninterrupted funding remains key to preparing the U.S. Joint Force to deter future conflict. Through balanced investments, the development of new operating concepts, disciplined execution in the field, and internal reforms, the Department will continue to foster a dominant Joint Force to protect the security of the nation, increase American influence, preserve access to markets to improve the American standard of living, and strengthen cohesion among allies and partners. In FY 2020, the Department received total appropriations of $914.2 billion.

COVID-19 Response Funding

In response to societal and economic impacts of Coronavirus Disease 2019 (COVID-19), legislation was passed by Congress and signed into law by the President to assist with preventing the spread and mitigating the negative impact of the pandemic on individuals; businesses; and federal, state, local, and tribal government operations. Two of these laws provided supplemental appropriations to the Department totaling $10.7 billion, which are reflected in the DoD FY 2020 total appropriations amount:

➤ The Families First Coronavirus Response Act (FFCRA) was signed into law on March 18, 2020. The provisions of the FFCRA included $82 million in emergency supplemental Operation & Maintenance (O&M) funding for the Defense Health Program to waive TRICARE participant copayments and cost sharing associated with COVID-19 related testing and medical visits.

➤ The Coronavirus Aid, Relief, and Economic Security Act (CARES Act) was signed into law on March 27, 2020. The provisions of the CARES Act included $10.6 billion in emergency supplemental funding to support the Department's efforts to prevent, prepare for, and respond to the COVID-19 pandemic domestically and internationally, and to fund existing shortfalls in TRICARE-managed care support contracts. These funds were provided across multiple appropriation categories (i.e., Military Personnel, O&M, Procurement, and Revolving Funds) and to multiple DoD Components, including the Military Services, National Guard (NG) and Reserves, Defense Health Program, U.S. Army Corps of Engineers, and the DoD Office of Inspector General (DoD OIG).

CORONAVIRUS: THE DEPARTMENT'S RESPONSE

In response to COVID-19, the DoD is prioritizing the protection of our forces—including service members and their dependents, civilians, and contractors—maintaining mission readiness, and supporting the whole-of-government effort to fight this virus.

DoD SUPPORT TO COVID-19

► Protect our people
► Maintain mission readiness
► Support whole-of-nation response

PROTECT OUR PEOPLE

We remain committed to the health and well-being of our people.

DoD provides a host of services to bolster personal well-being and offer assistance in times of need for service members, civilians, and their families.
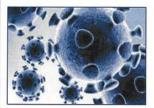
FOR CURRENT INFO:
https://www.defense.gov/Explore/Spotlight/Coronavirus/

- DoD will continue to use a conditions-based approach to maintain safe duty locations and adjust personnel travel to maximize safety.
- The Department has processes in place to conduct contact tracing and mitigate the impact of positive cases within DoD and our communities.
- DoD's goal is to have a standardized and coordinated strategy for prioritizing, distributing and administering a COVID-19 vaccine(s) through a phased approach to all active duty, Reserve Component, and National Guard, as well as all mission-essential DoD civilians and all contractor personnel performing mission essential functions, including healthcare, emergency services personnel, and other critical support.
- The Defense Health Agency, in coordination with the Joint Staff, Services, Defense Agencies, and OSD Health Affairs has submitted DoD's jurisdictional plan to the Centers for Disease Control and Prevention.
- DoD established a Vaccine Planning Team that is in the final stages of developing and publishing a comprehensive plan to distribute and administer COVID-19 vaccine to DoD beneficiaries.
- DoD prioritization will be derived from the data-driven, national prioritization to ensure readiness while maintaining fair and equitable access to everyone, especially groups that are disproportionally affected by the pandemic.

DOD SUPPORT TO OPERATION WARP SPEED

Using the vast resources of the federal government and U.S. private sector, Operation Warp Speed (OWS) is accelerating the development, manufacturing, and distribution of safe and effective COVID-19 countermeasures, including vaccines.

FOR CURRENT INFO:
DoD OWS Spotlight Page

- OWS is a joint effort of U.S. Department of Health and Human Services and DoD.
- OWS is leveraging the best, most talented experts from across the federal government and private industry to develop safe and effective vaccines and therapeutics quickly without compromising safety.
- OWS will ensure 100 percent of all medical protocols are executed to standard. Science will drive countermeasures development and the Food and Drug Administration will be the final approval authority.
- DoD's involvement in supply and production will enable faster distribution than would have otherwise been possible.
- As part of the OWS whole-of government effort to deliver safe and effective vaccines and therapeutics to the American people, several DoD locations have been identified to participate in the Phase 3 trials evaluating vaccine candidates under development.
- Military treatment facilities may be considered for other trials for different COVID-19 vaccine candidates.
- DoD has a goal of 1,000 volunteers in each market area; the target population is Active Duty, Reserve and National Guard, retirees, veterans, and other Military Health System beneficiaries who meet trial parameters.
- While not directly part of OWS, there are two additional DoD-funded efforts aimed at development of a COVID-19 vaccine – one underway by Inovio and one internal effort being pursued by the Walter Reed Army Institute of Research.

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DoD ORGANIZATIONAL STRUCTURE

The Department is one of the nation's largest employers, with approximately 1.3 million personnel in the Active Component (AC), nearly 800,000 personnel serving in the Reserve Component (RC) consisting of the National Guard (NG) and Reserve forces, and approximately 770,000 civilian employees. DoD Military Service members and civilians operate globally in all domains, including air, land, sea, space, and cyberspace. In carrying out the Department's mission to protect national security, Military Service members operate approximately 17,400 aircraft and over 295 Battle Force ships.
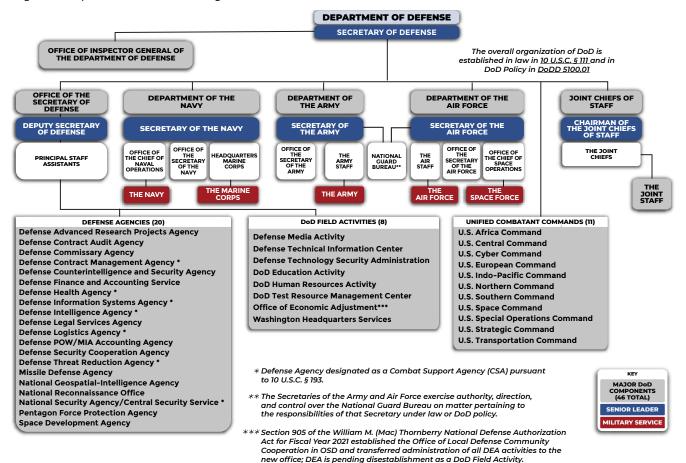
The Department manages one of the Federal Government's largest portfolios of real property, with more than 603,000 assets (buildings, structures, and linear structures) located on over 4,600 sites worldwide as of the beginning of FY 2020. The Department's assets are situated on sites located in all 50 states, the District of Columbia, 7 U.S. territories, and over 40 foreign countries. These sites represent a total of nearly 26.5 million acres that individually vary in size from military training ranges with over 3.3 million acres, such as the White Sands Missile Range, to single weather towers or navigational aids isolated on sites of less than one one-hundredth (0.01) of an acre. The acreage consists of various interest types ranging from fee interest (i.e., owned by the U.S. Government) to other legal interests such as leases, licenses, permits, public land orders, treaties, and agreements. Beyond their mission specific areas (such as runways, training areas, and industrial complexes), DoD installations also contain many types of facilities supporting community operations similar to those found in municipalities or on university campuses (such as public safety, hospital and medical, dining, and religious facilities; community support complexes; housing and dormitories; utility systems; and roadways).

The Secretary of Defense (SecDef) is the principal assistant and advisor to the President in all matters relating to the Department, and exercises authority, direction, and control over the Department, in accordance with Section 113(b) of title 10 USC (10 U.S.C. § 113(b)). The Department comprises the Office of the Secretary of Defense (OSD); Joint Chiefs of Staff (JCS); Joint Staff (JS); Combatant Commands (CCMD); Military Departments (MilDep); DoD OIG; DAFA; and other offices, agencies, activities, organizations, and commands established or designated by law, the President, or the SecDef (see Figure 1).

The chain of command to these CCMDs runs from the President to the SecDef directly to the commander of the combatant command (CCDR). The CJCS transmits communications to the CCDRs from the President and SecDef per title 10 § 151(b)(1) and § 163(a)(1), but does not exercise military command over any combatant forces.

Figure 1. Department of Defense Organizational Structure

Office of the Secretary of Defense

The function of the OSD is to assist the SecDef in carrying out his duties and responsibilities as prescribed by law. The OSD comprises the Deputy Secretary of Defense (DepSecDef), the CMO of the DoD, the Under Secretaries of Defense (USD), the General Counsel (GC) of the DoD, the Assistant Secretaries of Defense (ASD), the DoD OIG, and other staff offices within OSD established by law or by the SecDef.

The OSD Principal Staff Assistants (PSA) are responsible for the oversight and formulation of defense strategy, policy, and resource allocation, as well as for overseeing and managing the DAFA under their purview (see Figure 2).

Figure 2. Office of the Secretary of Defense Principal Staff Assistants

* The Inspector General of the DoD serves as a principal advisor to the Secretary of Defense. However, the Inspector General and the Office of Inspector General are organizationally independent from the rest of the Department. Audit organization independence is a key principle under Generally Accepted Government Auditing Standards.

Office of Inspector General

The DoD OIG is an independent and objective unit within the Department that conducts and supervises audits and investigations relating to the Department's programs and operations. The DoD OIG serves as the principal advisor to the SecDef on all audit and criminal investigative matters relating to the prevention and detection of fraud, waste, and abuse in the programs and operations of the Department.

Defense Agencies and DoD Field Activities

Defense Agencies and DoD Field Activities are established as DoD Components by law, the President, or the SecDef to provide, on a Department-wide basis, a supply or service activity common to more than one MilDep when it is more effective, economical, or efficient to do so. Although both Defense Agencies and DoD Field Activities fulfill similar functions, the former tend to be larger, normally provide a broader scope of supplies and services, and can be designated as Combat Support Agencies to directly support the CCMDs. Each of the 20 Defense Agencies and 8 DoD Field Activities operate under the authority, direction, and control of the SecDef through an OSD PSA (see Figure 3).

Figure 3. Defense Agencies and DoD Field Activities

SECRETARY OF DEFENSE

CMO DoD
- Pentagon Force Protection Agency
- Washington Headquarters Services

DoD CIO
- Defense Information Systems Agency *

USD (R&E)
- DARPA — Defense Advanced Research Projects Agency
- Missile Defense Agency
- SDA — Space Development Agency
- Defense Technical Information Center
- DoD Test Resource Management Center

USD (A&S)
- Defense Contract Management Agency *
- Defense Logistics Agency *
- Defense Threat Reduction Agency *
- OEA — Office of Economic Adjustment

USD (P)
- Defense Security Cooperation Agency
- Defense POW/MIA Accounting Agency
- Defense Technology Security Adminstration

GC DoD
- Defense Legal Services Agency

USD (C)
- Defense Contract Audit Agency
- Defense Finance and Accounting Service

ATSD (PA)
- Defense Media Activity

USD (P&R)
- Defense Commissary Agency
- Defense Health Agency *
- dodea — DoD Education Activity
- DoD Human Resources Activity

USD (I&S)
- Defense Intelligence Agency *
- Defense Counter-Intelligence and Security Agency
- National Geospatial-Intelligence Agency *
- National Security Agency/ Central Security Service *
- National Reconnaissance Office

* Eight Defense Agencies are designated as *Combat Support Agencies* with joint oversight by the Chairman of the Joint Chiefs of Staff

Key
- Defense Agency
- DoD Field Activity

The Joint Chiefs of Staff and the Joint Staff

The JCS, supported by the JS under the direction of the Chairman, constitute the immediate military staff of the SecDef. The JCS consist of the CJCS, the Vice Chairman (VCJCS), the Chief of Staff of the Army, the Chief of Naval Operations, the Chief of Staff of the Air Force, the Commandant of the Marine Corps, the Chief of the National Guard Bureau, and effective December 20, 2020, the Chief of Space Operations. The JCS function as the military advisors to the President, the National Security Council, and the SecDef.

Combatant Commands

The CCDRs are responsible for accomplishing the military missions assigned to them (see Figure 4). CCDRs exercise command authority over assigned and allocated forces, as directed by the SecDef. The chain of command to these CCMDs runs from the President to the SecDef directly to the CCDR. The CJCS transmits communications to the CCDRs from the President and SecDef per title 10, but does not exercise military command over any combatant forces.

Among CCMDs, the U.S. Special Operations Command (USSOCOM) and the U.S. Cyber Command (USCYBERCOM) have additional responsibilities and authorities similar to a number of authorities exercised by the MilDeps, including programming; budgeting; acquisition; training, organizing, equipping, and providing special operations forces and cyberspace operations forces, respectively; and developing strategy, doctrine, tactics, and procedures. However, the USSOCOM and USCYBERCOM are reliant on the Military Services for ensuring combat readiness of the forces assigned to them.

Figure 4. Combatant Commands

Military Departments

The MilDeps consist of the Departments of the Army, the Navy ((DON) of which the Marine Corps is a component), and the Air Force ((DAF) of which the recently established U.S. Space Force (USSF) is a component). Upon the declaration of war, if Congress so directs in the declaration or when the President directs, the Coast Guard becomes a service in the Department of the Navy; otherwise, it is part of the Department of Homeland Security. The Army, Navy, Marine Corps, Air Force, Space Force, and Coast Guard are referred to as the Military Services. The three MilDeps organize, train, and equip the five Military Services (or six when including the Coast Guard), and provide administrative and logistics support to the CCMDs by managing operational costs and execution.

The FY 2020 NDAA established the USSF as a new Military Service within the Department of the Air Force. Establishing the USSF will elevate the role of space in American national defense and transform how the Department organizes, trains, and equips in order to prepare for new security challenges in an era of great power competition.

The MilDeps include both AC and the RC. The AC is composed of units under the authority of the SecDef, manned by active duty Military Service members. The RC includes the NG and the Reserve forces of each Military Service, with the exception of the USSF (see Figure 5). The NG, which has a unique dual mission with both federal and state responsibilities, can be called into action during local, statewide, or other emergencies (such as storms, drought, and civil disturbances) and in some cases to support federal purposes for training or other duty (non-federalized service) when directed by the governor of each state or territory.

When ordered to active duty for national emergencies or other events, units of the NG or Reserve forces of the Military Services are placed under operational control of the appropriate CCDR or provide support to a Military Service. The NG and Reserve forces are recognized as indispensable and integral parts of the nation's defense and are fully part of the applicable MilDep.

Figure 5. Reserve Components – Reserve and National Guard

Federal Missions

United States Army Reserve   United States Navy Reserve   United States Air Force Reserve   United States Marine Corps Reserve   United States Coast Guard Reserve

Federal and State Missions

Air National Guard   Army National Guard

PERFORMANCE OVERVIEW

Similar to the manner in which the NDS provides a specific focus on the Department's role in implementing the NSS, the FY 2018 – FY 2022 NDBOP provides greater detail on how the Department plans to implement the three NDS lines of effort (which constitute the Department's strategic goals) from a business operations and mission support infrastructure perspective. The NDBOP, which fulfills the requirements of the Government Performance and Results Act of 1993 (GPRA), the 2010 GPRAMA, and the OMB Circular No. A-11, contributes to the NDS implementation by defining strategic objectives within each of the NDS lines of effort based on input/recommendations from the DoD Components, DoD OIG, Government Accountability Office (GAO), and the President's Management Agenda (PMA) (see Figure 6).

Figure 6. DoD Strategic Goals and Objectives

STRATEGIC GOAL	STRATEGIC OBJECTIVES
GOAL 1- Rebuild Military Readiness as We Build a More Lethal Joint Force	1.1 – Restore military readiness to build a more lethal force
	1.2 – Increase weapon system mission capability while reducing operation cost
	1.3 – Enhance information technology (IT) and cybersecurity defense capabilities
	1.4 – Deliver timely and relevant intelligence to warfighters and decision makers to provide decisive and dominant advantage over adversaries
	1.5 – Implement initiatives to recruit and retain the best total force to bolster capabilities and readiness
	1.6 – Ensure the U.S. technological advantage
	1.7 – Enhance safe and resilient DoD installations
	1.8 – Enhance acquisition and sustainment workforce
	1.9 – Respond to Combatant Command and Inter-Agency urgent operational needs
GOAL 2 - Strengthen our Alliances & Attract New Partners	2.1 – Reform the security cooperation enterprise
	2.2 – Promote acquisition & sustainment initiatives with key international partners
GOAL 3 - Reform the Department's Business Practices for Greater Performance and Affordability	3.1 – Improve and strengthen business operations through a move to DoD-enterprise or shared services; reduce administrative and regulatory burden
	3.2 – Leverage data as a strategic asset by expanding our data analytics capability and cultivate data-driven solutions
	3.3 – Improve the quality of budgetary and financial information that is most valuable in managing the DoD
	3.4 – Enable innovative acquisition approaches that deliver warfighting capability at the speed of relevance
	3.5 – Build safe, secure, and resilient Defense Industrial Base (commercial and organic)

Figure 7. DoD Strategic Performance Framework

ENTERPRISE PERFORMANCE AND RISK MANAGEMENT

The CMO, as DoD's Performance Improvement Officer (PIO), leads enterprise business operations transformation and reform policies and programs for improved efficiency and effectiveness, as well as business planning, performance measurement, analysis, and reporting. In 2016 OMB updated Management's Responsibility for Enterprise Risk Management and Internal Controls (ERM/IC) in Circular No. A-123, and expanded internal controls from financial reporting to all reporting objectives. Therefore, Department leaders and managers are not only responsible for establishing goals and objectives around operating environments, ensuring compliance with relevant laws and regulations, and managing both expected and unexpected or unanticipated events, but further must apply their analysis of risk across strategic, operations, reporting, and compliance objectives. This aids in deciding where internal controls will be most effectively employed to avoid inaccurate or unreliable reporting, or impact the DoD's ability to accomplish its mission and performance goals. Importantly, management decisions to apply internal controls over reporting inclusive of both operational and financial risks (ICOFR) should be made at the individual performance goal and indicator level, where there is a significant risk that a material reporting error may impact achievement of the agency's mission objectives; and where the application of ICOFR is likely to cost-effectively mitigate that risk.

To facilitate these requirements, the Department utilizes a top-down/bottom-up approach with the NDBOP and appending Defense Planning Guidance serving as arbiters of the top-down approach listing the top strategic goals and priorities of the Department. The bottom-up approach is nested with the ERM/IC program where component risks and internal control deficiencies are aligned to the Department's strategic objectives. In FY 2020, the Department continued to mature its risk management approach with the publication of the DoD Fraud Risk Management Strategy, the approach leverages the ERM/IC program, with support on data analytics, to identify and monitor fraud risks facing the Department. Additional efforts are underway to more closely integrate and evaluate goals and progress made toward addressing DoD OIG Management Challenges, GAO High-Risk Areas, and other audit recommendations. Leaning forward the Department will continue to work on the strengthening of existing governance structures with the goal of ultimately embedding ERM/IC into the strategic planning process.

Leaders at all levels throughout the Department are responsible for meeting the performance goals and measures set out in the APP that relate to their functional areas, some of which are used to inform critical elements of senior executive performance plans. To ensure the quality of the performance data provided for performance management and assessment, the CMO requires written attestation from goal owners that (1) all performance information is complete, accurate, and reliable, and (2) verification and validation procedures were performed on the data, the procedures were documented, and supporting documentation is available upon request. Using the APP goals and measures in this manner, and holding goal owners accountable for the quality of their performance data, helps to ensure that DoD leaders are focusing on achieving measurable outcomes that align with the mission strategy in the NDS and NDBOP (see Figure 8).

Figure 8. DoD Performance Measurement and Evaluation Process

In addition to the APP performance goals and measures, the Department employs hundreds of other performance measures to help assess progress in key areas such as reform, acquisition, military readiness, audit remediation, and business process improvement. Together, these datasets help DoD management monitor the entire breadth and scope of the Department's worldwide responsibilities and guide the effective and efficient use of resources. This information supports multiple decision-making and accountability efforts such as provision to the DepSecDef to inform management decisions, inclusion in budget exhibits to justify funding requests, and submission to the Congress through a wide range of reports to facilitate proper legislative oversight.

Given the importance of performance information, the Department continually strives to identify and implement improvements to the DoD performance management process. One such initiative being led by the OCMO is the ongoing effort to define and implement consistent performance metrics for similar functions across the Department, beginning with key administrative functions such as human resources, acquisition, financial management, information technology (IT), and property management. These shared performance metrics are being developed using a "balanced scorecard" approach (i.e., measuring performance from the perspectives of financial, customer/stakeholder, internal business processes, and organizational capacity) to help ensure that desired function outcomes are achieved while encouraging the use of innovative solutions to improve performance. Once developed, these performance metrics will be benchmarked against Departmental targets as well as performance results within the Federal Government try to foster accountability and improvement.

DoD PRIORITY GOALS

The strategic objectives and performance goals in the NDBOP reflect the Department's longer-term reform agenda and component priorities, which align with the Future Years Defense Program (FYDP), a document which projects the forces, resources, and programs the Department will need to support mission achievement. Additionally, the Department has specific Priority Goals, which are expected to be accomplished within two years. Agency Priority Goals (APG) or DoD Priority Goals are essentially performance goals, but with the APG designation, that require additional accountability (quarterly reviews) and reporting (www.performance.gov). APGs are intended to highlight priority policy and management areas where agency leaders want to achieve near-term performance advancement through focused senior leadership attention.

A senior leader within the Department is assigned to each Priority Goal and is responsible for updating the appropriate DoD governance bodies on a quarterly basis to ensure that all organization levels are focused on achieving success, and ensuring sufficient time, resources, and attention are allotted to address problems or opportunities. DoD-level Priority Goals are listed below. (See Figure 9). Progress against these goals is updated quarterly and located on www.performance.gov.

Figure 9. DoD Strategic Priority Goals

STRATEGIC OBJECTIVE (SO)	PRIORITY GOAL LEAD	DoD PRIORITY GOALS FY 2020 - FY 2021
SO 3.1	CMO	Priority Goal 3.1.1: By September 30, 2021, create a long-lasting culture of innovation, empowerment, and improvement to reduce the cost of doing business throughout the Department and achieve $16.4 billion in reform savings (FY 2020 - $7.7B and FY 2021 - $8.7B)
SO 3.1	CMO	Priority Goal 3.1.7: Between October 1, 2019 and September 30, 2021, DoD will promulgate 50 regulations a year to implement the recommendations of DoD's Regulatory Reform Task Force, and reduce its existing regulations by 35 percent
SO 3.3	Comptroller	Priority Goal 3.3.1: By September 30, 2021, complete yearly audits, gain actionable feedback, and remediate findings toward achieving a clean audit opinion for the DoD

PRESIDENT'S MANAGEMENT AGENDA

The PMA is a key input to the NDBOP and links DoD reform to the development of best practices at the federal level. The PMA lays out a long-term vision for modernizing the Federal Government in key areas that will improve the ability of agencies to deliver mission outcomes, provide excellent service, and effectively steward taxpayer dollars on behalf of the American people. The PMA is implemented by the President's Management Council (PMC), which includes the Chief Operating Officers of major Federal Government agencies, primarily Deputy Secretaries, Deputy Administrators, and Agency Heads from General Services Administration (GSA) and Office of Personnel Management (OPM). Due to high demands of the office, the DepSecDef has delegated the responsibility of serving as the Department's representative and PIO to the CMO. The PMC advises the President and the OMB on government reform initiatives, provides performance and management leadership throughout the Executive Branch, and oversees implementation of government-wide management policies and programs.

CROSS-AGENCY PRIORITY GOALS

The PMC supports implementation of Federal Cross-Agency Priority (CAP) Goals, which require senior level leadership to support change and innovation for government-wide best practices that require cross agency coordination. The PMC partners with other Executive Councils to design and develop interagency mechanisms (tools, processes and technologies) that accelerate the achievement of administration management priorities. CAP Goals are a tool used by leadership to accelerate progress on a limited number of presidential priority areas where implementation requires active collaboration among multiple agencies. Long-term in nature, CAP Goals drive cross-government collaboration to tackle government-wide management challenges affecting most agencies. As a subset of presidential priorities, CAP Goals are used to implement the PMA and are complemented by other cross-agency coordination and goal-setting efforts. CAP Goals are updated or revised every four years with each presidential administration's term.

DoD currently co-leads three Cross-Agency Priority Goals for the President's Management Council:

➤ CAP Goal 3 Workforce for the 21st Century;
➤ CAP Goal 7 Category Management; and
➤ CAP Goal 13 Security Clearance, Suitability, and Credentialing Reform.

Per the GPRAMA requirement to address CAP Goals in the Agency Strategic Plan, the APP, and the APR, please refer to www.performance.gov for the agency's contributions to those goals and progress, where applicable. The Goal Leader, the Performance Improvement Council and OMB will coordinate quarterly updates to the website which will reflect the overall action plan and will describe how the agency's goals and objectives contribute to the CAP Goal. For DoD CAP Goals, refer to https://www.performance.gov/about/CAP_about.html.

STRATEGIC GOAL 1
REBUILD MILITARY READINESS AS WE BUILD A MORE LETHAL JOINT FORCE

Why This Matters

The Department is investing in modernizing the force and increasing lethality to ensure we are able to address future threats. The NDS is our guide to effectively compete in today's complex security environment. Everything we do must be aimed towards achieving the goals and objectives of that strategy. The ultimate purpose is to ensure we have a more lethal, agile, resilient and ready Joint Force, able to deter war and possess a decisive advantage in any conflict. Efficiency to facilitate lethality is also a key success factor.

Great power competition once again has returned to the global stage. If we are to remain the world's preeminent military power, then we must change course and face the challenges of the future head on. The NDS is a strategy grounded in reality. Strategic competitors such as China and Russia are deliberately building up and modernizing their military forces to challenge the United States and enable their geopolitical aspirations. At the same time, regional adversaries like Iran and North Korea continue to promote instability.

The Department is focused on developing joint concepts and doctrine to fight in a multi-domain environment, building upon the progress achieved by the services in recent years. There are five characteristics of today's strategic landscape that are driving adaptation across the Joint Force: the return of great power competition, changes to the character of war, the capacity of the force relative to operational commitments, increased operational commitments, and an unprecedented pace of change in virtually every aspect of our profession. The Department is investing in modernizing the force and increasing lethality to ensure we are able to address future threats.

Additionally, the DoD, through Small Business Innovation Research (SIBR) and Small Business Technology Transfer (STTR), needs to increase private-sector commercialization of research innovations in order to sustain a technological advantage over our adversaries. It is imperative to rapidly deliver innovative technology to the warfighter by streamlining and expediting the awarding process for SBIR/STTR across the Department. The DoD needs to increase collaboration between Small Business Concerns participating in SBIR/STTR and federal laboratories; research and development centers; and non-profit research institutions.

How We Are Getting There

Modernize the Force: Invested in game-changing technologies as we transition from a legacy military to a more capable future force; established required funding levels for DoD's top 11 modernization initiatives, including hypersonics, artificial Intelligence, and the largest R&D budget in the department's history.

➤ **Nuclear Recapitalization:** Prioritize continued sustainment and modernization of all three legs of the nuclear triad, our nuclear command, control and communications, and non-strategic nuclear forces.

➤ **Space:** Published the Defense Space Strategy. Established the USSF as the sixth branch of the U.S. Armed Forces and U.S. Space Command as the 11th combatant command to bolster our ability to fight and win future conflicts.

➤ **Cyber:** Created the Cyber Mission Force under USCYBERCOM. Pursuing DoD's "Defend Forward" strategy that ensures we are persistently engaged with cyber actors to defeat them online, improve the lethality of our CCMD, and support a whole-of-government effort to deliver a safe, secure, and legitimate election.

➤ **Readiness:** Updated key war plans for the first time in years, while working to achieve a higher level of sustainable readiness. Examples include: adopting the Bomber Task Force operational concept to improve readiness and strategic flexibility; testing our sealift readiness; and conducting dynamic force employments to assess our alert posture.

➤ **Dynamic Force Employment (DFE):** Implemented the DFE concept to become more operationally unpredictable, to complicate adversary decision-making, to test readiness of our Immediate Response Forces, and to enable the rapid repositioning of forces to becoming more responsive to future threats.

Central to the achievement of this goal are the people who comprise the DoD workforce. Recruiting, developing, and retaining a high-quality military and civilian workforce is essential for the Department's warfighting and deterrent success. Cultivating a lethal, agile Joint Force requires more than new technologies and posture changes—it depends on the ability of Military Service members and the DoD civilian workforce to integrate new capabilities, adapt warfighting approaches, and improve business practices in order to achieve mission success. The creativity and talent of the combined DoD workforce is the Department's greatest enduring strength, and one that is not taken for granted.

STRATEGIC GOAL 2
STRENGTHEN OUR ALLIANCES & ATTRACT NEW PARTNERS

Why This Matters

A strong network of like-minded nations that are willing and able to fight together is an advantage that our adversaries do not possess. The strengthening and expansion of mutually beneficial alliances and partnerships are crucial to the Department's achievement of the NDS goals. The Department seeks to build and develop a network of allies and partners capable of acting decisively to address shared challenges. These security relationships enhance our collective defense and are based on the principles of mutual respect, responsibility, and accountability.

We're only as strong as the investments we are willing to make towards our common defense. The international order constructed following World War II benefited the entire world. Initiatives like the Marshall Plan helped to rebuild the continent, restore political order, and bring about economic prosperity falling a time of great destruction. Our potential adversaries seek to weaken the integrity of these institutions and incrementally reshape the international system. Should we remain complacent and fail to recognize the shifting landscape, we risk inviting greater aggression and further challenges to our shared values and security. Defending this system and deterring this aggression remains our primary task and we can only do this by working closely together to maintain a ready, capable alliance that is prepared to fight and win.

How We Are Getting There

Guidance for the Development of Alliances and Partnerships (GDAP): This SecDef-issued, DoD-internal guidance is designed to align, focus, and synchronize DoD priorities in this strategic goal. The GDAP provides a common DoD methodology and guidelines for advancing our defense relations, security cooperation, and force planning efforts toward more coordinated and competitive performance. Our network of allies and partners is a strategic advantage our competitors cannot match; the GDAP seeks to sustain this advantage long-term by ensuring mutually beneficial alliances and partnerships in an era of strategic competition with China and Russia. Consistent with the NDS, we have pursued the following regional and functional initiatives over the last year. Going forward, we will apply the GDAP methodology to further refine and prioritize regional and functional initiatives.

➤ **Indo-Pacific:** Focused DoD on China, including establishing a China Strategy Management Group. Strengthened alliances and partnerships by deepening interoperability, expanding deterrent networks, and executing maritime security and awareness operations. Also, conducted a record number of Freedom of Navigation operations in the South China Sea.

➤ **Europe/NATO:** Enhanced the North Atlantic Treaty Organization's (NATO) readiness by making the NATO Readiness Initiative a top priority. The United States has maintained our ironclad commitment to NATO while encouraging defense spending increases from other NATO Allies by more than $130 billion cumulatively since 2016, during which time the number of countries spending at least 2 percent of their Gross Domestic Product (GDP) on defense doubled.

➤ **Afghanistan:** Set the conditions, alongside NATO allies and partners, for a negotiated political settlement that prevents Afghanistan from serving as a safehaven for terrorists who threaten the U.S., its allies, partners and interests.

➤ **Korea:** Supported diplomatic efforts to negotiate a final, fully verified denuclearization of North Korea while maintaining a high state of readiness with our Republic of Korea allies.

➤ **Women, Peace, and Security (WPS):** Released DoD's WPS Strategic Framework and Implementation Plan, which will strengthen alliances and attract new partners by demonstrating our commitment to human rights and gender equality.

STRATEGIC GOAL 3
REFORM THE DEPARTMENT'S BUSINESS PRACTICES FOR GREATER PERFORMANCE AND AFFORDABILITY

Why This Matters

The third line of effort of the NDS centers on the need to transform the Department's enterprise business operations in order to increase performance and affordability. This line of effort is intrinsically about creating a long-lasting culture of innovation, empowerment, and improvement to reduce the cost of doing business throughout the Department, which has already led to $37 billion in budgeted savings in FY 2017 – FY 2021. The Department remains committed to harvesting financial savings gained through reform and investing them into the NDS priorities. The Department is a large federated organization and it is important to ensure that the speed of reform efforts does not compromise the missions of the DoD components.

The institutionalizing of defense reforms is dependent upon stakeholder buy-in. Senior leadership engagement is necessary for long-term change. The OCMO plays an integral role in this regard. The current challenges and increased threats facing our warfighters require more financial investment than is currently available with a fixed top-line budget. The Department's goal is to be prudent with taxpayers' dollars while managing defense in an ever-changing security environment, which requires changing the way we do business. To be sustainable, reform must be implemented as a wholesale process, policy, system, and cultural changes – not as singular projects at the direction of administration leadership. Moreover, the lack of budgeted reform funding inhibits the level and certainty of financial benefits, as well as the speed and scope of reform implementation and sustainment.

Reform Savings Overview (FY 2017 – FY 2024)

➤ OMB did not set FY 2017 - FY 2018 savings goals, but DoD programmed savings of $1.3 billion in FY 2017, and $3.3 billion in FY 2018.

➤ OMB set FY 2019 savings goal of $5.0 billion for DoD – DoD exceeded the goal at $6.5 billion in savings.

➤ OMB set FY 2020 savings goal of $7.4 billion for DoD – The FY 2020 President's Budget includes $7.7 billion in reform savings.

➤ In FY 2019 and FY 2020, the Department continues to execute reform efforts in contracting, IT, healthcare reform, civilian personnel management, acquisition, and financial management.

➤ For FY 2019 – FY 2024, reform efforts have been prioritized according to the highest return on resource investment. Reform priorities are: contract management; healthcare management; Fourth Estate management; acquisition; IT and business systems; civilian personnel management; and logistics and supply chain.

Transformation and Reform Initiatives

The OCMO provides leadership and oversight to reform initiatives across the Department by implementing shared performance metrics, innovative processes and services, data driven solutions, and mission focused funding. The CMO drives and incentivizes operational and financial efficiencies by measuring, tracking, and reporting performance and outcomes. As the designated leader to foster sustainable reform and change in the DoD, the OCMO continues to undergo organizational structural adjustments that better enable the office to implement its statutory authorities and delegated responsibilities.

Knowing the challenges to any significant reforms, the OCMO is consistently promoting a sense of urgency, focusing on aligning leadership at all levels, communicating a consistent message, proactively removing obstacles, driving immediate wins, and working to anchor all of this in long-term behavior. Current efforts focus on generating savings

and rationalizing business practices through 'Reform.' As these efforts progress, the focus will pivot to establishing a culture of performance and productivity on an enduring, institutionalized basis, which is essential to best equipping the next generations of leadership and warfighters to come. As the NDS states, "We have a responsibility to gain full value from every taxpayer dollar spent on defense, thereby earning the trust of Congress and the American people."

Defense-wide Reviews

The first round of the DWR consisted of a major DoD initiative to improve alignment of time, money, and people to the NDS priorities with support from the CMO, Under Secretary of Defense (Comptroller), and Office of the Director, Cost Assessment and Program Evaluation (CAPE) that identified savings of over $5 billion for FY 2021. The CMO had a DW goal of $5 billion and achieved $4.9 billion without a single cut, and $1.3 billion from non-controversial, PSA suggested cuts.

As a result of the success of the DWR, the Secretary directed the CMO to function as a Secretary of the Fourth Estate. The CMO will:

➤ Focus on reforming business processes, overseeing resource planning and allocation, and evaluating each DW organization's performance against business goals; and,

➤ Establish methods to strengthen oversight, continue reform momentum, and instill fiscal discipline across DW organizations and accounts.

The CMO's immediate focus, in coordination with CAPE and the Comptroller, is to develop a consolidated FY 2022 - 2026 program and budget for the DW accounts.

Knowing the challenges to any significant reforms, we are consistently promoting a sense of urgency, maintaining leadership alignment at all levels, communicating a consistent message, proactively removing obstacles, driving immediate wins, and working to anchor all of this in long-term behavior. Current efforts focus on generating savings and rationalizing business practices through reform. As these efforts progress, the focus will pivot to establishing a culture of performance and productivity on an enduring, institutionalized basis, which is essential to best equipping the next generations of leadership and warfighters to come. We have a responsibility to gain full value from every taxpayer dollar spent on defense, thereby earning the trust of Congress and the American people.

Governance

The Reform Management Group was established as the Department's governance forum for identifying opportunities for Reform, prioritizing Return on Investment, and adjudicating disagreement between principals. Chaired by the CMO, this Senior governing body continues to be the proper mechanism to provide transparent and informed policy direction in support of the NDS to the MilDeps and other DoD Components on:

➤ transformation and reform initiatives,

➤ the definition of enterprise business management priorities, and

➤ strategic guidance on business systems integration and investment.

Examples of financial management reform successes this past year:

➤ Retired 12 systems within DFAS, reducing system costs by $2.5M. (FY 2017 - FY 2019)

➤ Developed standard roles and responsibilities between the Services and DFAS that streamline disbursing processes, and prepare to retire the Defense Joint Military Pay system.

➤ Savings to be realized and codified upon the Services' implementation of their Integrated Personnel and Pay System solutions.

➤ Formalized and matured a Robotic Process Automation (RPA) shared-service platform that offers multiple RPA product offerings and allows organizations to easily deploy, secure, and manage robots at scale. The use of this platform improves the management, sharing and oversight of deployed automations and by the end of FY 2020, 14 DoD Organizations had joined the platform. In addition to establishing an RPA platform, the team developed 36 process automations for the Comptroller and Defense-Wide Agencies on the Defense Agency Initiative accounting system, resulting in 14.8K labor hours being redirected to higher value work annually.
**Note: The decrease in labor hours redirected (from prior reporting) is due to re-assessment of time savings of UMD clearing automations (initial figures provided by process owner were overstated).

Reform Initiatives Throughout the Department

Financial Management. While utilizing financial statement audit findings to highlight opportunities for reform or process efficiency, we have focused on initiatives that will reduce operational costs within the DoD financial management line of business by simplifying and standardizing our business processes and systems. Expanding the Comptroller's enterprise data applications to support providing information to auditors versus multiple component applications reduces duplication, utilizing a shared platform to support audit requirements and also data analytics.

Contract Management. This reform initiative is active with two primary areas of focus: 1) Services Requirements Review Board (SRRB) and 2) Category Management (CM).

Validation of contract requirements for continued need, redundancy, and effectiveness of contracts, structures, and conditions – remains a major reform focus area. Accomplishments for FY 2020 are significant.

➤ Financial savings achieved, demonstrated, and validated for all DoD Components in accordance with Service Requirements Review Boards, Senior Review Panels, and programmed budgeted amounts have confirmed $441 million for FY 2020. The annual review cycle focused on evaluation of bridge contracts which resulted in a significant reduction in bridge contracts in the DoD Services arena. Organizations have active plans for reductions and are implementing them successfully. COVID-19 impacted senior review panels with shifts from in-person to paper reviews, yet no issues with schedule or outcome achievements are expected. Guidance for the 2021 annual cycle will be issued in Q1 of 2021.

➤ Category Management throughout the DoD has completed 6 sprints comprising over 100 initiatives. These sprints evaluated over $77 billion of spend from over 394,000 contracts impacted. These reviews are expected to realize substantial benefits of improved processes, quality, cost avoidance and savings across the Defense Program in all 19 Government Services Agency defined subcategories. Initial sprint savings determined in FY 2020 have thus far reached $67 million, with $6 billion in savings currently being considered. As some key DoD organizations

were called upon to provide response capability to support COVID-19, some spend reviews and sprint initiatives were placed on hold or pushed to the future for extended completion times. Continued focus of institutionalization of category management through establishment of an Enterprise Category Management Governance and driving outcomes by emphasizing implementation of category management best practices.

Healthcare. The DoD Military Health System has continued to implement changes fundamental to its governance, organization, and business operations in order to more effectively carry out its mission. Achievements in FY 2020 are highlighted below.

The Defense Health Agency (DHA) resumed the transition of military Medical Treatment Facilities (MTFs) to the DHA under the health care market construct on November 9, 2020, in accordance with the approved execution plan, realizing the benefits of an integrated system of readiness and health, removing unwanted duplication and variance, and meeting the intent of the NDAA 2017 to further develop an effective and efficient Military Health System (MHS). The health care market construct expands on the existing expanded Multi-Service Markets concept in order to drive process standardization, reduce variability, and generate efficiencies while reducing redundancies and overhead to fully optimize the MHS.

The Military Medical Provider Readiness initiative is focusing on increasing the volume and complexity of Veterans Affairs (VA) patients seen in the system to support clinical competency and readiness for DoD providers. Concurrently, the services that DoD provides could improve the VA's access to timely, quality care. The Joint Executive Committee established as a FY 2019 - 2020 priority that DoD and the VA establish a process to increase VA purchased care patient referrals to MTFs with excess capacity; this will support Graduate Medical Education and wartime skills maintenance. Since the JEC releases new priorities each FY, adjustments will be made based on new JEC guidance. The COVID medical response has fully engaged the DoD and VA leadership and this effort has been paused until the COVID response moderates.

The COVID-19 pandemic paused the transition of MTFs. During the pause, changes in the MTF staffing mission requirements as well as changes to local healthcare system capacities and capabilities occurred that need to be reassessed. The recent restarting of MTF transition activities will require revalidation of data and analysis of affected MTFs and local healthcare systems. The proposed changes in MTF scope of operations are "conditions-based" and require continuous monitoring of local civilian network capacity to ensure timely access to care for beneficiaries who plan to transition to the network. The revalidation and updates to the implementation plan will be complete by June 30, 2021 and the DoD will follow with updated recommendations for rightsizing MTFs.

Information Technology Reform

In order to achieve digital modernization objectives, DoD-wide IT reform activities are being established to consolidate and streamline capability delivery to support an evolving mission environment. Reform efforts are in progress, targeting an optimized and converged IT infrastructure, driving efficiencies across the Department, providing opportunities for reductions in acquisition overhead, increasing combined purchasing power, and improving the effective utilization of shared expertise across the DoD environment. The Network and Services Optimization reform is converging DAFA networks, service desks, and operation centers into an optimized, secure, and effective environment capable of addressing current and future mission objectives. Additionally, reform activities are accelerating a transition within the Department to a cloud-enabled future, while standardizing IT commodity applications through commercial industry capabilities to deliver modernized services.

Community Services. The Department's intent is to improve community services for our Service members and their families, improve support to commanders, and fulfill its fiduciary responsibility concerning appropriated and non-

appropriated funds. The reform team completed a business process assessment and proposed a transformation initiative aimed at creating synergies and streamlining operations of the Defense Commissary Agency, Army and Air Force Exchange Service, Navy Exchange, and Marine Corps Exchange (collectively the Defense resale enterprise) as the first phase of the community services reform effort.

Logistics. The Logistics Reform area is focused on opportunities to deliver increased readiness while improving the efficiency of logistics processes. Enterprise-wide initiatives include efforts to improve inventory optimization for inherently unforecastable items with highly variable demand patterns, increase utilization of the DoD's warehouse resources, and improve the efficiency and effectiveness of spares packages for deployments. This reform area also encompasses enhancements to the Defense Logistics Agency's processes such as consolidating industrial supply, storage, and distribution functions; introducing a print-on- demand capability to more efficiently deliver up- to-date maps to the warfighter; and leveraging increased buying power by consolidating the DoD's procurement efforts for individual commodity groups and expanding support to other government agencies, like the Department of Veteran's Affairs.

Human Resources. This year, the hiring improvement and legislative/regulatory reform initiatives were transferred to the Office of the Under Secretary of Defense for Personnel and Readiness. The Human Resources Service Delivery reform project was transferred to the OCMO Defense-wide Program Office (DWPO). The first phase of this reform initiative is complete. The second phase was incorporated into the Fourth Estate/DAFA Review, still underway.

Defense Business Systems and Enterprise Business Operations. The Defense Business System and Enterprise Business Operations Directorate has authority and operates as the Senior Official for the defense business systems strategy, direction, investment, and enterprise business architecture management, ensuring execution and enterprise optimization and management of defense business systems reform, integration, and associated business IT.

These efforts are moving current business operations from a complex, compliance-driven, manual, and unstructured environment to a dynamic, agile, and data-driven ecosystem that looks across the Department and identifies opportunities to reduce redundancy and capitalize on common requirements. Enterprise business operations are optimized by investing in the right mix of business capabilities that align to the Defense Business Enterprise Architecture (BEA), functional strategies, and by promoting real-time decisions based on intelligence from data insights.

In order to effectively synchronize, integrate, and coordinate enterprise business operations, the Department must ensure optimal alignment of the business domain to support the primary and enduring DoD mission to provide combat-credible military forces needed to deter war and protect the security of our nation.

Active Business Systems Initiatives

➤ **USALearning assisted acquisition.** DoD currently has multiple disparate platforms to deliver learning capabilities to the DoD workforce. Leveraging USALearning to implement a Whole-of-Government Approach to the delivery of learning will allow the Department to better engage category management to modernize learning systems while optimizing costs to improve the workforce's learning experience with unified capabilities and improve overall total force readiness and assessment. A Memorandum of Agreement between OPM and DoD for USALearning assisted acquisition services was signed in March 2019, aimed at improving the efficiency of the acquisition process and increasing opportunities for additional savings. The process also ensures that acquiring digital learning products and services is aligned with the Departments vision for Enterprise Digital Learning Modernization with the migration of the Defense Civilian Personnel Database System to a new Software as a Service (SaaS)/Cloud based human capital management system, which will be referred to as the Defense Civilian

Human Resource Management System. By providing the visibility into training and education service and product requirements, the Department is able to optimize shared services and buying power, minimize acquisition transactions, and identify opportunities for future cost savings.

➤ **Task Management Systems (TMS).** The DoD found there are more than 50 different task management systems in use across the military services and Fourth Estates, operating as unique stovepipes of information and implemented a variety of technical solutions. Consolidation and standardization of these systems will both improve the execution of task management, and reduce operational cost by saving the Department $114M over the FY 2020 to FY 2024 FYDP.

➤ **Defense Travel Modernization (DTM).** Provides a real-time, modern, state of the art travel application that reduced costs, empowers DoD travelers/authorizing officials to make travel decisions that benefit their organizations, enhance audit features to easily guide the user to make smart, compliant choices and artificial intelligence that audits every expense report to analyze receipts, Government Travel Charge Card transactions, and bookings to uncover improper payments before they occur. This capability is expected to save the DoD $200M annually in full production deployment.

ENTERPRISE BUSINESS OPERATIONS PRIORITIES

To better serve the mission, service, and stewardship needs of the American people, and build upon a history of bipartisan Government reform initiatives, the DoD made reform one of the top three priorities across the Department. To achieve greater efficiency, effectiveness, and accountability of taxpayer dollars, a range of transformational reform initiatives must effect programs and produce results – from preventing fraud, maximizing impact, reducing duplication and redundancy, taking advantage of opportunities for shared services, centers of excellence, or other arrangements that leverage the highest-performing organizations and business operations and free up resources to build a more lethal force.

The NDS requires relentless and ruthless prioritization in order to balance near-term challenges and prepare for great power competition, particularly given fiscal realities confronting the Nation. Reforming the Department to free up time, money, and manpower is not optional – it is a strategic imperative if we are to modernize the Joint Force and improve its readiness and lethality.

Recognizing the challenges of driving organizational transformation, the Department has been deliberate in identifying reform priorities and how implementation will be managed. Key factors define clear roles and responsibilities, managing the change process, ensuring alignment across leadership and line staff, and managing risk factors. Based on these approaches, a reform management framework was developed to assess the needs and opportunities to best align efforts to the needs of the mission. DoD wide business reform priorities fall into the category of an organizational best practice - quality effectiveness initiative, or one of the six financial savings categories:

> DoD reform efforts drive transformational and sustainable improvements by simplifying business processes and maximizing the use of shared services and enterprise IT

➤ Better Alignment of Resources

➤ Business Process Improvements

➤ Business System Improvements

➤ Policy Reform

➤ Weapon System Acquisition Process

➤ Divestments

The Department's key drivers of reform are oriented on the enterprise business operations priorities for FY 2021.

ENTERPRISE BUSINESS OPERATIONS PRIORITIES FOR FY 2021

MISSION (WHAT):
Maximize the efficiency and effectiveness of enterprise business operations to reallocate funding to bolster lethality, ensure the success of the National Defense Strategy, and provide value to the taxpayers

VISION (HOW):
Capitalize on opportunities to provide shared services, reduce duplication and waste, and improve processes throughout the Department to increase efficiency and effectiveness, and inform senior decision making

PRIORITIES

PRIORITY 1:
Integrate and improve the management of the Defense Wide organizations through business process reform, organizing for innovation, and connecting resource planning with performance against business goals to free up resources to modernize the Joint Force, and improve readiness and lethality.

PRIORITY 2:
Instill a culture of continuous process improvement and promote agile business processes through reform efforts that enhance outcomes and improve how the Department provides enterprise business operations.

PRIORITY 3:
Exceed customer expectations for all OCMO statutory and delegated responsibilities to service, transform, and manage across the Department.

PRIORITY 4:
Continuously improve the resilience of the Pentagon Reservation's operational readiness and ability to overcome any condition through innovation and collaboration.

TRANSFORMATION AND REFORM

Over time, the lack of standard business processes has allowed the Department's decision-making to become overly cumbersome, costly, and risk-averse in an attempt to ensure quality of performance. The Department recognizes that in order to face the challenges of its complex and dynamic operating environment, reforms must be implemented to increase the speed with which decisions, policies, capabilities, and information are provided in support of the warfighter. As such, in order to free up resources to reduce operational risk to the warfighter, the Department must transition to a management system that allows leadership to harness opportunities for improved efficiency by reducing cumbersome approval chains, and reject overly risk-averse thinking that impedes change. This management system must also be coupled with a shift to a performance culture where results and accountability matter. Together, these changes will help promote the Department's goals of supporting Joint Force lethality and fulfilling the responsibility of gaining full value from every taxpayer dollar spent on defense.

In line with this vision, the Department continues to employ the use of cross-functional teams to examine business operations to identify and implement reforms which improve operational effectiveness and maximize efficiency so that additional time, money, and manpower that can be reallocated to higher priorities (such as enhancing lethality, readiness, and modernization). These teams receive oversight and guidance from the Reform Management Group—a senior leadership board consisting of numerous PSAs and the MilDep CMOs—and use performance data to propose and evaluate reform recommendations. DoD Components use the Defense Enterprise Reform Management Framework Portal to report execution, progress, and post-implementation achievement of their reform initiatives, and the OCMO and Comptroller review and validate all reform savings prior to their inclusion in this report, the APR, and the annual Defense Budget Overview.

Agency Priority Goal 3.1.1: By September 30, 2021, create a long-lasting culture of innovation, empowerment, and improvement to reduce the cost of doing business throughout the Department and achieve $16.4 billion in reform savings (FY 2020 - $7.7 billion and FY 2021 - $8.7 billion)

In FY 2019, the Department set a goal of recognizing reforms savings of $46 billion over the five-year period covered by the FY 2019 - FY 2024 FYDP. The Department exceeded its FY 2019 reform savings goal of $5 billion in FY 2019 and is projected to meet its FY 2020 reform savings goal of $7.7 billion in FY 2020, with a cumulative total of $14.2 billion in reform savings projected over FY 2019 and FY 2020 (see Figure 10).

Figure 10. FY 2019 – FY 2024 Projected Reform Savings*

REFORM TYPE	FY 2019 ACTUAL SAVINGS	FY 2020 ACTUAL SAVINGS	FY 2021 BUDGETED SAVINGS	FY 2022 - 2024 PROJECTED SAVINGS
Better Alignment of Resources	$5,886	$2,144	$8,207	$19,972
Business Process Improvements	$522	$2,310	$2,883	$5,350
Business System Improvements	$(23)	$251	$300	$884
Divestments	-	$2,949	$4,978	$23,417
Policy Reform	$134	$178	$626	$2,229
Weapon System Acquisition Process	-	$(101)	$856	$4,036
Total	**$6,518**	**$7,731**	**$17,850**	**$55,888**

SHARED SERVICES

Defense-Wide Program Office (DWPO)

The OCMO Fourth Estate Management Office was renamed to the Defense-Wide Program Office (DWPO) following the SecDef memorandum "Department of Defense Reform Focus in 2020," dated January 6, 2020. In an effort to increase focus on fiscal discipline across the Department, the responsibilities of the DWPO were expanded to include overseeing business functions and resource planning across the entire Defense-Wide (DW) community. As part of this oversight, DWPO evaluates each DW organization's performance against business goals, reviews recommendations for cost savings and efficiencies, and coordinates with the CAPE and the Comptroller to develop a consolidated FY 2022-2026 Program Objective Memorandum for the DW accounts.

In direct support of the CMO's optimized enterprise business operations and shared services of the NDS responsibility, Washington Headquarters Services (WHS) is designated as the service provider delivering Human Resources Management, Facilities Management, Acquisition Services, Financial Management, Executive Services, History and Library Services, and other management activities for the OSD. CMO will transition WHS from an appropriations-funded organization providing functional services to a fee-for-service, multi-functional enterprise shared services organization that delivers an exceptional customer experience with greater performance and lower costs, enabling DoD agencies to fulfill their missions. The CMO has proposed a new Defense Working Capital Fund which, upon congressional approval, would enable fee-for-service with transparent transactional costs and Service Level Agreements with balanced scorecards aligned to customer-centric mission-focused services that meet or exceed customer expectations at lower costs.

Improved Customer Experience

The best way to evaluate how well processes, products, and services are meeting requirements is to speak to customers directly. Conducting customer experience assessments is key to ensuring the Military Services and other organizations are receiving the support required to meet mission requirements. To accomplish this, the CMO established a DoD Customer Experience Office to assess and improve human resource management, facilities management, acquisition, financial management, historical, executive, and other shared services provided to the OSD and DoD.

To measure performance and the customer experience, the CMO implemented over 60 digital Balanced Scorecards specifically tailored to each customer. These scorecards are updated monthly and measure customer-focused performance goals and customer feedback for shared services delivered by Washington Headquarters Services (WHS), the designated service provider. WHS is using 2020 as a baseline and expects to demonstrate an increase in customer satisfaction in 2021. Providing this common operating picture allows the DoD Customer Experience Office to transparently communicate with each customer and improve services in a way that best compliments their unique and critical missions.

Utilizing the APP and APR, overall customer satisfaction and percentage of total metrics goals achieved are also measured to ensure enterprise-level progress. Great customer experience cannot be achieved by service providers without also having a positive employee experience; a measured focus-area of the CMO.

Force Protection

The Pentagon Force Protection Agency (PFPA) improves the Pentagon's operational readiness and resilience through goals set across their portfolio, to include leveraging new technologies to integrate physical security systems and warn tenants of threats; upgrading facilities to improve security and traffic patterns and mitigate risks; and training and equipping personnel to better detect and deter threats.

DoD Financial Audit

The DoD audit aligns with the strategic goals of the NDS, including reforming the Department for greater performance and accountability. The DoD annual financial statement audit comprises of 24 standalone audits and one consolidated audit conducted by the DoD OIG. Six organizations received unmodified opinions, the highest grade; one received a qualified (modified) opinion, which means that data is right with some exceptions; and four audits are ongoing. All other reporting entities received a disclaimer of opinion, which means the auditors did not have enough evidence to provide an opinion.

During FY 2020, the Department expanded its audit priority areas from the four areas focused on in FY 2019 to include four additional priorities. The Department's strategy for addressing these priorities remains on implementing corrective actions that will result in operational improvements that provide the greatest value to the warfighter in the near-term. Although some issues related to these business areas may require long-term solutions (such as retiring legacy systems), the FY 2020 audit priorities contained various opportunities that were immediately actionable at multiple levels throughout the Department.

FY 2020 Audit Priorities

➤ Real Property (Existence and Completeness)

➤ Inventory, and Operating Materials and Supplies (OM&S)

➤ Government Property in the Possession of Contractors

➤ Access Controls for IT Systems

➤ Fund Balance with Treasury

➤ Financial Reporting Internal Controls

➤ Joint Strike Fighter Program

➤ Supporting Audit Progress for DoD Components with Disclaimers of Opinion

Key Audit Take Aways:

➤ The DON conducted a physical count of its Inventory and OM&S through the Navy Material Accountability Campaign, resulting in the identification of almost $442.8 million in assets that were not previously reflected in their records.

➤ The Department of the Army developed and implemented a Python-based solution to automate the review of accounting transactions entered into the General Fund Enterprise Business System and the Logistics Modernization Program system for compliance with the U.S. Standard General Ledger transaction library.

➤ The DAF implemented the Theatre Integrated Combat Munitions System (TICMS) at all Air Force installations to serve as their single application worldwide for configuration management, capability analysis, and combat support related to conventional munitions, which compose the majority of the Air Force OM&S balance.

➤ DISA Working Capital Fund received their first unmodified opinion in December 2020.

BUSINESS OPERATIONS PLANS FOR THE MILITARY DEPARTMENTS

FY 2018 National Defense Strategy

FY 2018 - FY 2022 National Business Operations Plan

Army Business Operations Plan

Navy Business Operations Plan

Air Force Business Operations Plan

Department of the Army Business Operations Plan

Army Priorities

People   **Readiness**   **Modernization**

The Army Business Management Plan

The Army systematically and continuously improves business processes, methods, and practices in order to maintain readiness and realize the 2035 Army vision. Reform leverages opportunities to free up time, money, and people to reinvest in higher Army priorities.

➤ The Army has the workforce capability and capacity to quickly and effectively address emerging business needs, and promotes an organizational culture characterized by high performance, engagement, diversity and inclusion.

➤ The Army uses data and information effectively to guide process management toward the achievement of key business results, anticipate and respond to rapid, unexpected change and identify best practices to share across the enterprise.

➤ The Army designs, manages, improves and innovates business operations and processes to control costs, improve performance and support readiness and modernization priorities.

People

- *Acquire, develop, employ, and retain uniformed and civilian talent* needed to achieve Total Army readiness.
- *Improve access, timeliness, and auditability* of personnel and pay information for the Total Army; ensure secure, consistent processes and data; meet required standards.
- *Develop enterprise-wide business acumen* related to leadership and management, process improvement, and resource-informed decision-making among all leaders.

Data

- *Data drives continuous improvement and innovation*; information is a strategic asset; analytical insights optimize business process performance.
- *Data infrastructure enables the use of data analytics, artificial intelligence and machine learning* to enhance business operations, increase collaboration and interoperability and reduce operational costs.
- *Data and information governance ensure high data quality* throughout the lifecycle of the data, and data controls that support Army business objectives are implemented.

Processes

- *Continuously improve Army business processes* to empower commanders and provide better outcomes while controlling the overall costs of business operations.
- *Optimize the organizational structure of Army agencies* and activities involved in delivering Title 10 functions for efficiency.
- *Transform Army approaches to acquisition* of goods and services such as Category Management to maximize the value of every dollar.

Leaders have the decision space to create a more lethal and dominant Army—an Army that will ultimately produce a safer strategic environment for our Nation.

Department of the Navy Business Operations Plan

DEPARTMENT OF THE NAVY BUSINESS OPERATIONS PLAN

Business Operations Plan
Fiscal Years 2021-2023

The business of the DON is to man, train, organize and equip Navy and Marine Corps forces for global operations. We must adopt the same aggressive readiness posture in our business processes as we do in every other aspect of warfare, and realize that what we do impacts our ability to fight and win. To achieve this, the Department of the Navy released its new FY 2021 - 2023 Business Operations Plan (DON BOP). This plan aligns to the National Defense Strategy lines of effort (Restore Readiness, Strengthen Alliances, and Reform Business Practices) and the 9 strategic objectives in the National Defense Business Operations Plan. It provides a framework that unifies Secretariat, Navy, and Marine Corps activities under 14 DON specific Strategic Objectives realized through 40 Focus Areas. Major impacts from the DON BOP include:

The Navy is Making Progress in Readiness Recovery

The number of Sailors filling operational sea duty billets (current on board) is at its highest point since 2014 and is projected to continue to trend upward into FY 2021 and beyond. For Forward Deployed Naval Forces-Japan (FDNF-J), ships are receiving 18 weeks of dedicated training with increased manning for DDGs, LPDs, and LHAs. For example, DDGs on average had 25 more Sailors on board in FY 2020 as compared to FY 2012. Finally, on-time ship maintenance availability completion rates in private shipyards improved from 24% in FY 2018 to 37% in FY 2019.

US and its Allies Train Together

Over the past four years, the Marine Corps executed 999 operations, 54 amphibious operations, 585 theater security cooperation events, and participated in 305 exercises with our allies and partners. Last year, the Marine Corps conducted crisis response to protect the US embassy and American diplomatic personnel in Baghdad, Iraq. Over a period of 8 months, they provided scalable, task organized security reinforcements to the embassy during times of crisis and heightened regional tensions

Jupiter Achieves Initial Operating Capacity

Jupiter, the DON Enterprise Data Environment, achieved initial operating capability providing the Secretariat, Navy, and Marine Corps with a secure, state of practice data management and analytics environment capable of ingesting, storing, processing, and exploiting Naval data across all echelons. This is a critical leap forward for making data a strategic Naval asset directly contributing to readiness, force planning, and warfighting. The release of Jupiter also represents a watershed moment of collaboration between the DON and OSD, as the Jupiter platform is based on the Advana analytics platform.

The DON BOP can be found on the SECNAV website at www.secnav.navy.mil/bop/

Department of the Air Force Business Operations Plan

As outlined in the *2018 National Defense Strategy* (NDS), the Department of the Air Force (DAF) is facing an increasingly complex global security environment marked by the reemergence of long-term strategic competition, rapid technological changes, and new concepts of warfare and competition. To keep pace, in early FY 2019 the DAF created its first-ever Business Operations Plan (DAFBOP), which articulated how to reform business operations in support of the three lines of effort (LOE) in the NDS and 16 strategic objectives contained in the National Defense Business Operations Plan (NDBOP). See the strategic hierarchy of the DAFBOP at Figure 1.

National Defense Strategy (NDS)
3 lines of effort

National Business Operations Plan (NDBOP)
15 Strategic Objectives

DAF Business Operations Plan (DAFBOP)
30 DAF Objectives

Figure 1 Strategic Hierarchy of the Department of the Air Force Business Operations Plan

DAFBOP progress is tracked online at https://afbop.servicenowservices.com/afbop. The plan is digital and agile, and can be dynamically adjusted to any changes in the security environment and/or strategic direction. At publication, the original plan contained 20 objectives and 131 implementing activities, but now contains 30 objectives with 148 implementing activities. In late FY 2020, an online reform tracker was developed to quantify monetary and non-monetary savings/avoidance realized from reform initiatives.

The DAF is committed to continuously improving business operations to enable readiness and lethality. As a result of a sustained focus on optimizing management practices and business operations, the DAF has made significant progress towards implementing many of the 30 business operations objectives in support of the three NDS LOEs.

LOE 1 – Rebuild Military Readiness as We Build a More Lethal Joint Force: The ability of the DAF to integrate new capabilities, adapt warfighting approaches, and reform business practices enables mission success. To achieve the objectives of the NDS, the DAF is pursuing an integrated design to field modernized forces that can connect the Joint Force, generate combat power, and conduct logistics under attack. The DAF is also focused on transformative efforts in the areas of modernization, mission support, and readiness to ensure the DAF is delivering agile and effective support to the warfighter.

To increase readiness and lethality, the DAF is committed to dominating space. Since December 2019, the DAF has been implementing the Fiscal Year 2020 National Defense Authorization Act (FY 2020 NDAA), which initiated the Department of the Air Force's (DAF's) transition into a two-service department—the United States Air Force (USAF) and the United States Space Force (USSF). With this transition underway, the DAF is focused on streamlining decision-making and organizational structure within a two-service department to enable readiness and lethality. Governance processes used by the Office of the Secretary of the Air Force are assessing opportunities for process improvement, the elimination of redundancies, and transforming outdated processes to develop a governing structure that moves at the speed of relevance and meets the needs of the warfighter. Since its inception, the USSF has been committed to cultivating a lean, agile, and highly effective organization. The USSF will be mission-focused and efficient, minimizing cost and bureaucracy by leveraging

The Department of the Air Force BOP can be found at https://www.fedscoop.com 03/FY19-21-Air-Force-Business-Operations-Plan_FINAL_Single-Pages_Low-Res_20190226.pdf

The Air Force BOP can be found at https://www.fedscoop.com/wp-content/uploads/2019/03/FY19-21-Air-Force-Business-Operations-Plan_FINAL_Single-Pages_Low-Res_20190226.pdf

Department of the Air Force Business Operations Plan

existing DAF resources, processes, and organizations to provide support wherever possible. Planners are also taking a "clean sheet" approach to designing core business processes, studying agile and innovative organizations, and leveraging best practices from industry and government. Integral to the USSF's Service identity are the values of organizational agility, innovation, and boldness.

LOE 2 – Strengthen Our Alliances and Attract New Partners: Security cooperation is more vital than ever to the nation's prosperity and collective defense. As the DAF builds a network of partners, allies, and emerging security partners, the DAF enlists help in deterring aggression and containing threats. The DAF is committed to working alongside allies and international partners to increase global defense capabilities and capacity. The DAF is establishing the organization, policies, and practices to make alliances and partnerships central to the way the DAF does business. Alliances and partnerships are crucial to the DAF strategy and the focus of the two strategic objectives included in the NDBOP. The DAF is focused on improving the execution of Foreign Military Sales (FMS) to optimize the delivery of interoperable capabilities to foreign partners. The DAF continues to educate the Security Cooperation Community on the benefits of using weapon system checklists to guide Partner Nation requirements development when drafting Letters of Request for FMS programs. Additionally, the DAF received funding for exportability feasibility studies, which will aid in the early identification of critical technology protection needs and shorten delivery of applicable weapons systems to FMS Partner Nations.

LOE 3 – Improve and Strengthen Business Operations: The DAF is reforming business operations to generate lasting institutionalized resources to support the mission. This will allow the DAF to rehabilitate outdated business practices, prevent a drain on scarce resources, and facilitate the DAF's ability to anticipate and adapt. The DAF is placing a renewed emphasis on performance and accountability across its management approach and promoting a culture of innovation, agility, and accountability. The DAF recognizes that innovative business reform will deliver greater organizational agility and free up resources to reinvest in greater readiness to support the warfighting mission. The DAF continues to optimize organizational structures to reduce unnecessary layers of bureaucracy and enable more efficient and effective decision-making. This optimization of organizational structures has recently been supercharged by both Chief of Space Operations, Gen. John Raymond, and Chief of Staff of the Air Force, Gen. Charles Brown, Jr. In his first major pronouncement Gen. Brown stated that the USAF must continue "to streamline bureaucracy to the greatest extent possible." The USSF has already executed numerous organization changes, to include flattening its command structure from five echelons of command to three. With the reorganization, Gen Raymond stated that the USSF has taken a "significant step towards the development of a 21st century service purpose-built to achieve speed, agility, and unity of effort."

In FY 2020, the DAF obtained significant efficiencies by rate, process, and demand efforts through the implementation of the Air Force Category Management Program. The DAF reported total realized cost avoidance of $2.1 billion since 2017 and is projecting cost avoidance of $2.67 billion out to FY 2024. In addition, to reduce regulatory burden, the DAF has reviewed 1,246 publications, rescinded 474 publications, and revised 772 publications. By streamlining directive publications, the DAF unburdened Airmen and Space Professionals to allow quick, informed, and effective decisions. Finally, through prototyping, experimenting, tailoring acquisition strategies, combined with agile software development, the DAF acquisition processes have been streamlined to speed up the delivery of innovative solutions to war fighters. This program acceleration has brought a saving equivalent to 113.25 years of planned scheduling. It is anticipated that this could reach a savings goal of 150 years.

The Department of the Air Force BOP can be found at https://www.fedscoop.com 03/FY19-21-Air-Force-Business-Operations-Plan_FINAL_Single-Pages_Low-Res_20190226.pdf

SIXTH ARMED FORCES BRANCH ANNOUNCED: THE U.S. SPACE FORCE

The USSF is a new branch of the Armed Forces. It was established on December 20, 2019 with enactment of the Fiscal Year 2020 National Defense Authorization Act and will be stood-up over the next 18 months. The USSF was established within the Department of the Air Force, meaning the Secretary of the Air Force has overall responsibility for the USSF, under the guidance and direction of the SecDef. The USSF is a military service that organizes, trains, and equips space forces in order to protect U.S. and allied interests in space and to provide space capabilities to the Joint Force. USSF responsibilities include developing military space professionals, acquiring military space systems, maturing the military doctrine for space power, and organizing space forces to present to our CCMD.

The USSF set out to invent the force for this first year and was given the opportunity to start with a clean sheet of paper and not do business the way we've done in the past. As a result, space force is "purpose built" to meet its missions and responsibilities in space.

"Increasingly, free and open access to space is under threat. Though the United States will not be the aggressor in space, we will, we must, build a Space Force to defend our space interests."

—Air Force Secretary Barbara Barrett

ENTERPRISE DATA MANAGEMENT

Data Analytics

In accordance with the FY 2017 NDAA, the OCMO was established, and created the Data Insight Directorate, and Department's first Chief Data Officer (CDO) position. This position has principal responsibility in the Department for providing for the availability of common, usable, Defense-wide data sets with applications such as improving acquisition outcomes and personnel management to support business reform. The Foundations for Evidence-Based Policymaking Act of 2018 (Evidence Act) also provides further authorities and emphasizes collaboration and coordination to advance data and evidence-building functions. Effective 2020, the CDO position moved to the Office of the Chief Information Officer. The new CDO recently published the Department's first Data Strategy.

The 2020 DoD Data Strategy sets the vision, guiding principles, essential capabilities, goals, and objectives to transform the Department into a data-driven organization. The DoD Data Strategy supports making data widely available to and accessible by mission commanders, warfighters, and decision-makers in a near real-time, usable, secure, and linked manner. A core tenet of the strategy is the understanding that data is a strategic asset (not an IT asset) that is an essential and integral part of the mission that must be leveraged in a way that brings both immediate and lasting military advantage.

The CDO works hand-in-hand with MilDep CDOs, the JS, PSAs and other key stakeholders to develop enterprise-wide solutions. Delivering performance means we will shed outdated management practices and structures while integrating insights from business innovation. For example, the CDO collaborates with the Comptroller to utilize their next-generation, commercial-grade platform called Advana. We believe leveraging common enterprise data and enterprise advanced analytics helps the DoD achieve critical national security, mission, and business outcomes.

EVIDENCE ACT

The Evidence Act gives Department CDOs oversight of lifecycle data management as well as data assets including the standardization of data format, sharing of data assets, and publication of data assets. The CDOs must maximize the use of data in the Department, including for the production of evidence, cybersecurity, and improvement of operations. The DoD CDO will also serve as a member on the Federal CDO Council under the OMB to establish Government-wide best practices for the use, protection, dissemination, and generation of data; identify ways agencies can improve upon the production of evidence for use in policymaking; and promote and encourage data sharing agreements between agencies.

Recent efforts by SecDef during the Defense-wide reviews have highlighted the importance of evidence based decision making for large scale budget exercises in the DAFA. DAFAs generate different types of data such as administrative data, generated as part of fulfilling their respective missions; and survey data, generated as part of collecting information directly from citizens and businesses. When deployed, linked, and analyzed together, these different types of datasets may have the huge potential to transform research evaluation and policymaking.

The Evidence Act and related policies give additional impetus to efforts – particularly as identified in the NDS of 2018, to make available certain common enterprise data – to reform and improve business practices in DoD through data-informed decision-making. Publicly available data sets may serve an incidental purpose of facilitating innovation in the private sector through opportunity identification.

The size and complexity of the DoD suggests that a federated approach to implementation of the Evidence Act is warranted. DoD has taken the first step of designating its first CDO. A potential path forward also includes the appointment of a Statistical Official and Evaluation Officer. Currently the DoD continues to participate in the Chief Evaluation Council on Statistical Policy to gain insight and collaborate with other federal agencies.

Business Enterprise Architecture

Modernization and improved interoperability of DoD business systems are critical to efficiently respond to warfighter needs, sustain public confidence in the Department's stewardship of taxpayer funds, and support the path to full auditability. The NDAA for FY 2012 authorizes the SecDef to act through the Defense Business System Management Committee to develop the Defense BEA, which comprises all DBS—information systems other than national security systems that are operated by, for, or on behalf of the Department—as well as the supported functions and activities. The purpose of the BEA is to effectively guide, constrain, and permit implementation of interoperable DBS solutions that are consistent with the policies and procedures established by the Director of the OMB. The CMO is responsible and accountable for developing and maintaining the BEA as well as integrating business operations, while the Comptroller is responsible and accountable for the content of those portions of the BEA that support financial management activities, strategic planning, and budgeting activities.

In accordance with Section 1002 of the NDAA for FY 2020, the Department submitted a DBS Audit Remediation Plan to Congress in July 2020. This plan is a living document that provides an integrated view of the enterprise roadmap for audit-relevant DBSs, leveraging the BEA to guide investment decisions. The plan presented the CMO's current account of DBSs of the Department that will be introduced, replaced, updated, modified, or retired in connection with the Department's financial statement audit. It also established a foundation for a future roadmap that will:

➤ Capture in-service, retirement, and other pertinent dates for affected DBSs;

➤ Describe current cost-to-complete estimates for each affected DBS; and

➤ Document dependencies both between the various DBSs and the introduction, replacement, update, modification, and retirement of such systems.

In addition, the DBS Audit Remediation Plan highlights the Department's progress and identifies areas of improvements for procedures in monitoring and managing its DBSs to develop a sustainable enterprise roadmap. Although the report serves as a baseline to advance the Department forward, a key improvement identified in the plan is to establish an enterprise target date to achieve the desired end state. The outcomes of executing this plan will maximize the performance of the Department's business systems while also reducing the population of these systems.

SECTION TWO

APR ACRONYMS

ACRONYM/ ABBREVIATION	DEFINITION
AC	*Active Component*
APG	*Agency Priority Goals*
APP	*Annual Performance Plan*
APR	*Annual Performance Report*
ASD	*Assistant Secretary of Defense*
ATSD	*Assistant to the Secretary of Defense*
BEA	*Business Enterprise Architecture*
CAP	*Cross-Agency Priority*
CAPE	*Cost Assessment and Program Evaluation*
CARES Act	*Coronavirus Aid, Relief, and Economic Security Act*
CCMD	*Combatant Command*
CCDR	*Combatant Commander*
CDO	*Chief Data Officer*
CIO	*Chief Information Officer*
CJCS	*Chairman of the Joint Chiefs of Staff*
CM	*Category Management*
CMO	*Chief Management Officer*
Comptroller	*Office of the Under Secretary of Defense, Comptroller*
COVID-19	*Coronavirus Disease 2019*

CSA	*Combat Support Agency*
DAF	*Department of the Air Force*
DAFA	*Defense Agencies and Field Activities*
DBS	*Defense Business Systems*
DFE	*Dynamic Force Employment*
DHA	*Defense Health Agency*
DoD	*Department of Defense*
DoDD	*Department of Defense Directive*
DoD OIG	*Department of Defense Office of Inspector General*
DON	*Department of the Navy*
DON BOP	*Department of the Navy's Business Operations Plan*
DepSecDef	*Deputy Secretary of Defense*
DWPO	*Defense-Wide Program Office*
DWR	*Defense Wide Review*
ERM/IC	*Enterprise Risk Management and Internal Controls*
FFCRA	*Families First Coronavirus Response Act*
FY	*Fiscal Year*
FYDP	*Future Years Defense Program*
GAO	*Government Accountability Office*
GDAP	*Guidance for the Development of Alliances and Partnerships*
GDP	*Gross Domestic Product*
GPRAMA	*Government Performance and Results and Modernization Act of 2010*

GSA	*General Service Administration of 2010*
ICOFR	*Inclusive of both Operational and Financial Risks*
IT	*Information Technology*
JCS	*Joint Chiefs of Staff*
JS	*Joint Staff*
LMS	*Learning Management System*
MTF	*Medical Treatment Facility*
NATO	*North Atlantic Treaty Organization*
NDAA	*National Defense Authorization Act*
NDBOP	*National Defense Business Operation Plan*
NDS	*National Defense Strategy*
NSS	*National Security Strategy*
O&M	*Operation and Maintenance*
OCMO	*Office of the Chief Management Officer*
OM&S	*Operating Materials and Supplies*
OMB	*Office of Management and Budget*
OPM	*Office of Personnel Management*
OSD	*Office of the Secretary of Defense*
OUSD(A&S)	*Office of the Under Secretary of Defense for Acquisition and Sustainment*
PIO	*Performance Improvement Officer*
PMA	*President's Management Agenda*
PMC	*President's Management Council*

PSA	Principal Staff Assistants
RC	Reserve Component
RPA	Robotic Process Automation
SaaS	Software as a Service
SBIR	Small Business Innovation Research
SecDef	Secretary of Defense
SO	Strategic Objective
SRRB	Services Requirements Review Board
STTR	Small Business Technology Transfer
TICMS	Theatre Integrated Combat Munitions System
U.S.	United States
USD	Under Secretary of Defense
USCYBERCOM	United States Cyber Command
USSF	United States Space Force
USSPACECOM	United States Space Command
USSOCOM	United States Special Operations Command
VA	Veterans Affairs
VCJCS	Vice Chairman of the Joint Chiefs of Staff
WHS	Washington Headquarters Services
WPS	Women, Peace, & Security

Appendix A: FY 2020 DoD Annual Performance Report (APR)

The DoD Annual Performance Report (APR) for Fiscal Year (FY) 2020 communicates the Department's progress towards achieving its strategic objectives and performance goals based on the *FY 2021 Annual Performance Plan* (which covers the FY 2020 budget execution year). The APR provides readers an assessment of how DoD's FY 2020 performance measures and results align to its mission and functions, and provides detailed performance-related information to the President, the Congress, and the American people. The APR also provides information on the Department's priority goals and other Department-wide management initiatives.

The *2020 Annual Performance Report* is one in a series of three reports which comprise the Department's performance and accountability reports:

- *Third Quarter, FY 2020 Performance Results Summary, which succeeds and fulfills the purpose formerly accomplished by the Organizational Assessment Report:* Published – September 23, 2020

- *DoD Agency Financial Report*: Published – November 16, 2020

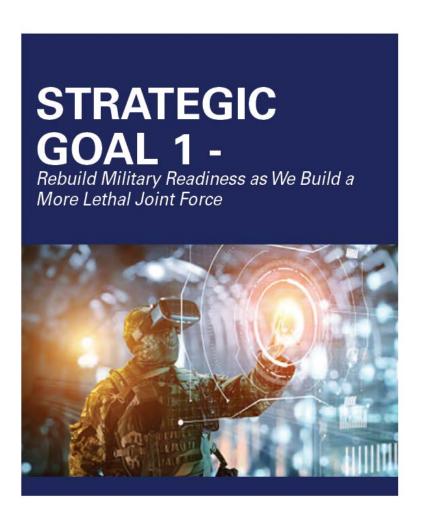- *DoD Annual Performance Report*: Delivery date – January 2021

In FY 2020, the Department was successful in meeting or exceeding many of the FY 2021 Annual Performance Plan (APP) performance targets for which performance results were available, including those related to achieving efficiencies, effectiveness, and cost savings; audit remediation; and reforming the Department's business operations.

To ensure the quality of the assessed performance data, the Office of the Chief Management Officer requires written attestation from DoD goal owners that (1) all performance information is complete, accurate, and reliable, and (2) verification and validation procedures were performed on the data, the procedures were documented, and supporting documentation is available upon request.

Summary of Strategic Goals, Objectives, and Performance Results

Figure 1. DoD Strategic Goals and Objectives

STRATEGIC GOAL	STRATEGIC OBJECTIVES
GOAL 1- Rebuild Military Readiness as We Build a More Lethal Joint Force	1.1 – Restore military readiness to build a more lethal force
	1.2 – Increase Weapon System Mission Capability while Reducing Operation Cost
	1.3 – Enhance information technology and cybersecurity defense capabilities
	1.4 – Deliver timely and relevant intelligence to warfighters and decision makers to provide decisive and dominant advantage over adversaries
	1.5 – Implement initiatives to recruit and retain the best total force to bolster capabilities and readiness
	1.6 – Ensure the U.S. technological advantage
	1.7 – Enhance Safe and Resilient DoD Installations
	1.8 – Enhance Acquisition and Sustainment Workforce
GOAL 2 - Strengthen our Alliances & Attract New Partners	2.1 – Reform the Security Cooperation Enterprise
	2.2 – Promote Acquisition & Sustainment Initiatives with Key International Partners
GOAL 3 - Reform the Department's Business Practices for Greater Performance and Affordability	3.1 – Improve and strengthen Enterprise Business Operations through a move to DoD-enterprise or shared services; reduce administrative and regulatory burden
	3.2 – Leverage Data as a Strategic Asset by expanding our data analytics capability and cultivate data-driven solutions
	3.3 – Improve the quality of budgetary and financial information that is most valuable in managing the DoD
	3.4 – Enable Innovative Acquisition Approaches that Deliver Warfighting Capability at the Speed of Relevance
	3.5 – Build Safe, Secure, and Resilient Defense Industrial Base (commercial and organic)

STRATEGIC GOAL 1 -
Rebuild Military Readiness as We Build a More Lethal Joint Force

Strategic Objective (SO) 1.1: Restore Military Readiness to Build a More Lethal Force
SO Leaders: USD(P&R)

STRATEGIC OBJECTIVE OVERVIEW:

In a January 31, 2017, memo to the Department, the Secretary of Defense outlined a multi-year effort to strengthen the U.S. Armed Forces. The Secretary stressed the Administration's commitment to improving warfighting readiness, "with the ultimate objective to build a larger, more capable, and more lethal joint force." The Department will continue to rebuild warfighting readiness through "buying more critical munitions, funding facilities sustainment at a higher rate, building programs for promising advanced capability demonstrations, investing in critical enablers, and growing force structure at the maximum responsible rate."

STRATEGIC OBJECTIVE PROGRESS UPDATE:

- The Executive Readiness Management Group (ERMG) forum continues to monitor, assess, and manage readiness recovery progress moving forward. The Fiscal Year 2021-2025 Defense Planning Guidance provided specific guidance to the Department and the Services to continue the readiness recovery efforts started in 2017.

- In accordance with the Secretary's guidance to seek Departmental level reforms, and legislation in the FY 2019 National Defense Authorization Act (NDAA), the Under Secretary of Defense for Personnel and Readiness began the consolidation of Service Defense Readiness Reporting System variants and improvements to readiness data and interfaces. The Plan of Action and Milestones was updated in light of new information and understanding of requirements. The Readiness Reporting Reform report to Congress is complete, and was delivered in February 2020. The plan of action and milestones highlighted within the report are in progress. The Office of Deputy Assistant Secretary of Defense for Force Readiness began drafting the revised readiness reporting policies, and will work with the Joint Staff to nest efforts for their policy revisions as well.

- With Coronavirus Disease 2019 (COVID-19) National Emergency continuing, the DoD Career Ready Portal is being enhanced with personalized mapping based on individual and life milestones to provide an enriching experience when it comes to identifying relevant programs. The DoD Credential Opportunities On-Line (COOL) website continues to be enhanced with a total Force Military Occupation Crosswalk. The DoD Credentialing Office officially launched the beta version of MilGears Powered by COOL (Navy Edition) which provides a targeted mapping to career objectives and profess-ionization goals. Lastly, the SkillBridge resource has been one of the most successfully featured resources on the portal, significantly contributing to employment training information for our partners and Service members during the pandemic.

STRATEGIC OBJECTIVE NEXT STEPS:

- The Readiness Recovery Framework (R2F) continues to form the basis for the Semi-Annual Readiness Report to Congress. Service force elements are assessed semi-annually and metrics are added where force elements are experiencing readiness shortfalls. The R2F is updated

semi-annually in the ERMG venue and will undergo continued validation as conditions and readiness levels evolve, to include expansion of Major Force Elements and readiness metrics where required.

- Work continues on the enhancements to Defense Readiness Reporting System-Strategic (DRRS-S) that will allow Army and Marine Corps transition and make DRRS-S the consolidated readiness reporting tool for use by the department, as required by the FY 2019 NDAA.

- Continue coordination with Washington Headquarters Service, Military Departments, and stakeholders to have timely response to any inquiries to the Credentialing issuances as it moves through the release, signing, and publication process.

- Work with the Departments of Labor and Veterans Affairs, and our partners to continue our partnerships with Non-Governmental Organizations and Veteran and Military Service Organizations in support of the portal and more importantly our Service members.

FY 2020 Summary of Results

Performance Goal (PG) 1.1.1: Improve the Department's ability to measure, assess, and understand readiness by September 30, 2021		Priority Goal Leader: USD(P&R)					
Performance Measures		Q1 2020	Q2 2020	Q3 2020	Q4 2020	FY 2021	FY 2022	Prior Year Results
PM 1.1.1.1: Refine and Improve Readiness Recovery Framework Program Metrics/Goals Build-Up (Number of Force Elements)	Target	40	N/A	N/A	40	116	159	
	Actual	40			40			
PM 1.1.1.2: Refine Air Force Readiness Recovery Framework Program	Target	8	N/A	N/A	8	16	21	
	Actual	8			8			
PM 1.1.1.3: Refine Army Readiness Recovery Framework Program	Target	15	N/A	N/A	15	43	46	
	Actual	15			15			
PM 1.1.1.4: Refine Marine Corps Readiness Recovery Framework Program	Target	4	N/A	N/A	4	16	24	
	Actual	4			4			
PM 1.1.1.5: Refine Navy Readiness Recovery Framework Program	Target	7	N/A	N/A	7	16	17	
	Actual	7			7			
PM 1.1.1.6: Refine Functional Combatant Command Readiness Recovery Framework Program (includes SOCOM, CYBERCOM, and SPACECOM)	Target	6	N/A	N/A	6	25	51	
	Actual	6			6			
Number: # of Force Elements with readiness shortfalls and assigned metrics / Overall # of Force Elements (FEs) assessed								

FY 2020 PERFORMANCE GOAL OVERVIEW:

Utilizing the R2F and Directed Readiness Tables (DRT), the Department developed plans and quantifiable standards to improve readiness conditions and address risks to national security, as well as identified opportunities to create trade-space to invest in readiness recovery, recapitalization, modernization, and innovation. The Department will continue to refine each Military Service's R2F Metrics/Goals with the ultimate aim of increasing the lethality of the Joint Force through enhanced readiness.

The metrics identified in the R2F measure the Military Services' progress toward rebuilding warfighting readiness by tracking key readiness shortfall drivers such as personnel accessions and retention, training, equipment availability, maintenance shortfalls, etc. Each metric is tailored to a specific challenge and readiness inhibitor in the identified Major Force Elements (MFEs) and designed to be leading indicators of larger, systemic readiness recovery.

MFEs are the Services' most critical force elements in support of the National Defense Strategy. This action plan contributes to increasing the readiness of the Military Services and creating a more lethal Joint Force by improving the Department's ability to measure, assess, and understand readiness. More specifically, this effort will refine and improve readiness metrics for each Military Service that will be used over time as a way to track readiness improvements.

External factors may pose challenges to R2F. These include: a lack of stable, predictable, and adequate funding, changes in operational tempo that increases demand of the Military Services, and real-world-actions of near-peer adversaries.

The R2F provides the Department with an ability to measure, assess, and understand readiness. Each Military Service is responsible for its readiness recovery goals and recovery dates.

FY 2020 PERFORMANCE PROGRESS UPDATE:

The Department continued the periodic assessment of Service force elements with validation and refinement of Service R2F metrics during the first of two semi-annual reviews. In coordination with Office of the Secretary of Defense Components, the Joint Staff, and the Services, the R2F were validated and updated where necessary through the ERMG venue and reported to the Deputy Secretary of Defense/Secretary of Defense and Congress. The Department will conduct another in-depth review after the FY 2022 DRT are published. The Services updated existing metrics in preparation for the submission of the Semi-Annual Readiness Report to Congress, but in-depth analysis has not yet occurred. We anticipate a more thorough SECRET-level review once operations return to normal. The ERMG did not convene in fourth quarter due to COVID-19, but the Readiness Management Group shared information electronically to inform leadership of readiness issues. Readiness metrics were also briefed to the Deputy Secretary as part of his routine core metrics reviews. Changes in the number of force elements tracked reflects Service adjustments in readiness focus and additions/changed to Directed Readiness Tables that depart from the original list of force elements tracked during the 45 Day Readiness Review upon which the original totals were based.

OUSD Personnel and Readiness (P&R) continues to work with Space Force to assess the readiness of force elements under their purview and establish R2F metrics as appropriate.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

The performance measures aim to capture the overall number of force elements assessed, based on those force elements that have a defined readiness level through the Dynamic Force Employment model. Those Force Elements that have identified readiness shortfall will be included in the R2F with underlying readiness metrics to drive readiness improvements.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

As stipulated, Force Readiness, in coordination with the other Office of the Secretary of Defense Components, the Joint Staff, and the Services, reviewed 40 force elements that require attention and are currently tracked in the R2F.

IDENTIFY KNOWN RISKS:

External factors may pose challenges to recovering readiness shortfalls identified by the R2F. These include: a lack of stable, predictable, and adequate funding; changes in operational tempo that increases demand of the Military Services; and real-world-actions of near-peer adversaries. COVID-19 response activities require prioritization of safety- and health-related activities throughout the Department. Support to civil authorities and keeping Service members safe remain the top priorities of the Department.

MITIGATION EFFORTS:

No mitigation efforts were required.

NEXT STEPS:

The last semi-annual review of the R2F occurred in June 2020, so preparations are underway for the next upcoming review. The Department will align with projected Directed Readiness Tables with FY 2022 once signed by the Secretary.

PERFORMANCE INFORMATION GAPS:

All performance information is current and available.

CHANGED PERFORMANCE GOALS / MEASURES:

No changes and no significant changes are forecasted.

FY 2020 Summary of Results

PG 1.1.2: Reform the Automated Defense Readiness Reporting System to increase functionality, integrity, and utility for the Department		PG Leader: USD(P&R)					
Performance Measures		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.1.2.1: Identify DRRS-S input tool requirements and design to meet FY 2019 NDAA legislation	Target	DoD Readiness Reporting Reform Report to Congress in Coordination	DoD Readiness Reporting Reform Report to Congress Published	DoD Readiness Reporting Policy revisions in begin	DoD Readiness Reporting Policy revisions in coordination	DoD Readiness Reporting Policy revision complete	Implement improvements to DRRS-S	
	Actual	Achieved Desired Performance Level	Completed	Completed	Completed			
PM 1.1.2.2: Create functionality in DRRS-S to support Army & Marine Corps transition to DRRS-S	Target	DRRS-S functionality development in progress	DRRS-S functionality development in progress	DRRS-S functionality being tested by Services	DRRS-S functionality fielded for use by Services	Complete	N/A	
	Actual	On track (development in progress)	On Track (development in progress)	Significant Risk of Completing on Time	Significant Risk of Completing on Time			
PM 1.1.2.3: Publish a Directive-Type Memorandum on strategic readiness	Target	Continue to socialize the Strategic Readiness DTM throughout the Department	Continue to socialize the Strategic Readiness DTM throughout the Department	Continue to socialize the Strategic Readiness DTM throughout the Department	Continue to socialize the Strategic Readiness DTM throughout the Department	Publish the Strategic Readiness DTM	Update the Strategic Readiness DTM	
	Actual	Concept still being socialized	Concept still being socialized	Concept still being socialized	Concept still being socialized			

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

This performance goal supports business reform and impacts information used for decision-making on efforts to restore readiness and build lethality. The performance goal seeks to make tangible progress toward the consolidation of the Services' reporting systems with the Defense Readiness Reporting System-Strategic (DRRS-S), leveraging modern technologies where appropriate to improve the value of DRRS-S information to decision makers. The overall effort is viewed through three performance measures:

- Identification of future metric and system capabilities/improvements consistent with the FY 2019 National Defense Authorization Act (NDAA) SEC 358(d)

- Updates to DRRS-S required for DRRS-Army and DRRS-Marine Corps transition to DRRS-S

- Begin expanding the Department's readiness perspective to a strategic level, through publication of a Directive Type Memorandum (DTM)

FY 2020 PERFORMANCE PROGRESS UPDATE:

Progress continues with the Military Services integration. Service testing with the Army and Marine Corps is ongoing. Refinements are being made, adding necessary functionality to DRRS-S. The effort to complete a DTM is still in coordination with the Office of the Secretary of Defense Components, the Joint Staff, and the Services with the goal of publishing it in the long term. The Readiness Reporting Reform report to Congress is complete, and was delivered in February 2020. The plan of action and milestones highlighted within the report are in progress. The Office of the Deputy Assistant Secretary of Defense for Force Readiness began drafting the revised readiness reporting policies, and will work with the Joint Staff to nest efforts for their policy revisions as well.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

The three performance measures supporting this goal are:

1. Identify future DRRS-S input tool requirements and design to meet FY 2019 NDAA legislation. This measure is focused on the intent of FY 2019 NDAA SEC 358(d), which directed the Under Secretary of Defense for Personnel and Readiness to assess the current process for collecting, analyzing, and communicating readiness data, and develop a strategy for implementing any recommended changes to improve and establish readiness metrics using the current DRRS-S platform.

2. Create functionality in DRRS-S to support Army & Marine Corps transition to DRRS-S. This measure is focused on the intent of FY 2019 NDAA SEC 358(c), as amended by FY 2020 NDAA SEC 362, which calls for all the military services to complete their transition to reporting in DRRS-S by October 1, 2020. Accomplishing the transition by the mandated deadline necessitates DRRS-S implement functionality to support the Army and Marine Corps' current reporting processes.

3. Publish a DTM on strategic readiness. The greatest improvement to the measurement of readiness within the Department will be its expansion to the strategic level, and this performance measure is intended to track the initial step towards expanding the scope of readiness measurement across and beyond DoD.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

The first and third performance measures are completed or tracking in accordance with the FY 2020 plan. The second measure is at significant risk of not completing on time.

IDENTIFY KNOWN RISKS:

Delays in standing up the Defense Information Systems Agency-hosted hardware required to support transitioning the Army and Marine Corps to DRRS-S has compressed testing timelines to a point where there is significant risk to completing all tasks on time. Although the an initial capability was established, the various delays precluded the testing and verification necessary to transition the Army and Marine Corps until sometime in FY 2021.

MITIGATION EFFORTS:

Contingency plans are a critical part of the consolidation effort. These plans include funding and resource considerations to maintain current capabilities should the timeline not be met for any reason.

NEXT STEPS:

The Army and Marine Corps will continue as planned, making adjustments where necessary to compensate for delays. The Readiness Reporting Reform effort will focus on Office of the Secretary of Defense Policy revision, and the strategic readiness concept and DTM continue to be socialized across DoD.

PERFORMANCE INFORMATION GAPS:

All performance information is current and available.

CHANGED PERFORMANCE GOALS / MEASURES:

No changes and no significant changes are forecasted.

FY 2020 Summary of Results

Performance Goal (PG) 1.1.3: Improve Credentialing Opportunities		Priority Goal Leader: USD(P&R)					

Performance Measures		Q1 2020	Q2 2020	Q3 2020	Q4 2020	FY 2021	FY 2022	Prior Year Results
PM 1.1.3.1: Integrate DoD Credentialing Policy into Career Investment Portfolio and revise DoDI by the end of FY 2020	Target	Measured Annually			X	X		
	Actual				FY21			
PM 1.1.3.2: Begin the preparation to integrate non-Federal partnership programs into the Service Member Outcomes Portal to include industry, labor unions, NGOs and VSOs/MSOs	Target	Measured Annually			X			
	Actual				X			

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FY 2020 PERFORMANCE GOAL OVERVIEW:

The Department will establish Credentialing and SkillBridge Programs to enable Service member Credentialing, Licensing, Apprenticeships, and capstone job training opportunities. This will include Military Occupation Code to Civilian Occupation mapping, Public-Private Engagement, and Strategic Inter-Agency Partnership related to Workforce Development. External and internal engagements include, but not limited to: The White House, Office of Personnel Management, Department of Veterans Affairs, Department of Labor, labor unions, the Department of Commerce, Military Service Organizations (MSO) and Veteran Service Organizations (VSO), DoD Components, Military Departments, Office of General Counsel, Legislative Affairs, Public Affairs, and Transition to Veterans Program Office.

FY 2020 PERFORMANCE PROGRESS UPDATE:

FE&T is actively engaged to ensure progress on PM 1.1.3.1. Currently, the Issuance is in the final steps prior to publication.

PM 1.1.3.2 has been completed. We have signed Memoranda of Understanding with Non-Governmental Organizations and MSOs/VSOs to collaborate on expanding opportunities for Service members.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

Measures are updated annually.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

The Department of Defense signed SkillBridge Memorandums of Understanding (MOUs) with several federal agencies. We are also working closely with the National Security Agency, Department of Labor, and Department of Energy to finalize additional SkillBridge MOUs. Through these efforts, the Department continues to advocate for promoting the successful continuation of service for Service members through civil service.

IDENTIFY KNOWN RISKS:

National Emergency (COVID-19).

MITIGATION EFFORTS:

Continue planned implementation and maintenance plan unless Emergency requirements deem additional coordination from DoD Stakeholders.

NEXT STEPS:

Continue towards publication of the DoD Credentialing Issuance providing policy guidance to DoD stakeholders.

PERFORMANCE INFORMATION GAPS: None

CHANGED PERFORMANCE GOALS / MEASURES: None

FY 2020 Summary of Results

PG 1.1.4: Advance DoD Integrated Safety Assessment, Reporting, Culture and Mishap Mitigation Activities to Reduce Preventable Mishaps and Improve Operational Readiness		PG Leader: USD(P&R)					
Performance Measures		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**

Performance Measures		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.1.4.1: Provide final recommendations for Mishap Leading Indicators and Mishap Classification Causality and Corrective Action Bins and definitions	Target		X					
	Actual		X					
PM 1.1.4.2: Provide final recommendations from the Lessons Learned Management Task Force on sharing and communicating Lessons Learned across DoD	Target			X		X		
	Actual			Not Met				
PM 1.1.4.3: Submit final mishap data standards and values for submission to the Business Enterprise Architecture, implementing leading indicators, mishap classification recommendations, and lessons learned management approach	Target				X			
	Actual	Measured Annually			X			
PM 1.1.4.4: Analysis of SOH Program Management Program Element Code	Target					X		NEW
	Actual							
PM 1.1.4.5: Develop a DoD-wide Safety Management System Criteria and Recognition Program	Target						X	NEW
	Actual							

FY 2020 PERFORMANCE GOAL OVERVIEW:

This Performance Goal (PG) focuses on managing the four Defense Safety Oversight Council (DSOC) TFs to advance how the Department collects, integrates, reports, shares, and analyzes mishap and safety-related data for use in mishap mitigation activities. By standardizing mishap data and reducing data gaps, sharing Safety and Occupational Health (SOH) information, identifying and implementing leading indicators, and improving the mishap classification system, each of the Task Force (TF) deliverables will provide outcomes that can be implemented to assist leaders in making the most effective and efficient risk mitigation and resource decisions for mishap reduction. This PG and its performance measures align with the DoD SOH Strategic Plan and the National Defense Strategy.

FY 2020 PERFORMANCE PROGRESS UPDATE:

Personnel and Readiness (P&R) Force Safety and Occupational Health (FSOH) continues to lead TF meetings for the Leading Indicators, Mishap Classification, Information Sharing (previously Lessons Learned Management), and SOH Data Reform on a regular monthly schedule (since November 2018).

RAND provided an updated draft report based on TF feedback in July 2020. The TF prepared draft recommendations for Department-wide implementation of seven leading indicators, including draft measures and implementation plans. The TF also grouped other recommendations into policy updates, marketing efforts, or potential further study. The TF will prepare a decision brief for an upcoming DSOC Integration Group meeting with final recommendations. The TF will also coordinate with the DSOC Safety Information Management (SIM) Working Group to ensure requirements are incorporated into the safety mishap common data elements and business processes, as well as ensure updates are included in the appropriate DoDIs. Final recommendations will be presented to the DSOC Integration Group by Q2 FY 2021.

The Information sharing (previously Lessons Learned Management) TF is focused on developing recommendations for improved inter-service information sharing. The TF drafted definitions, content, and frequency for mishap, hazard, and near-miss lessons learned sharing, review SOH-related issuances, recommend clarifications for sharing lessons learned. The TF reviewed these requirements with the DSOC Safety Information Management Working Group, which adjusted the proposed standard SOH data elements to reflect the information need to compile lessons learned, best practices, and Occupational Safety and Health Administration citations. The Task Force will next address how privileged information can be shared in a consistent manner across the Services for the purposes of mishap reduction.

The SOH Data Reform TF organized and received demonstrations of thirteen existing DoD Component tools and five commercial tools. Using the previously developed and approved evaluation criteria, the contractor team supporting the Task Force completed the draft analysis of alternatives report with detailed scoring and pros and cons. The TF also continued to coordinate directly with the DSOC SIM Working Group to ensure the standard SOH data elements and business rules are included as requirements for the final recommendation to the business enterprise architecture, and to support the SIM WG with drafting metadata. The TF is reviewing and providing feedback on the draft report and will next develop recommendations. The SIM Working Group completed the initial minimum safety

standard data elements and business processes, and the DoD Components are conducting informal coordination.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

The combined Performance Measure (PM) 1.4.1.2 includes final recommendations for both the Mishap Leading Indicators and DoD Safety Information Sharing Task Forces and are now scheduled for completion by Q2 FY 2021.

Performance Measure 1.1.4.3 was expanded to include the safety business processes, in addition to the data elements and values. Due to the additional information included with this measure, it was completed as draft (vice final) in FY 2020.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

Due to the delay in receipt of RAND's initial draft report, and not receiving the updated draft report based on the TF feedback until July 2020, as well as and the detailing of the Leading Indicators TF Chair to the DoD COVID-19 TF, this measure will be completed by Q2 2021 (1.1.4.2).

The Information Sharing TF Chair was transitioned to the DoD COVID-19 TF the last six months of his detail to FSOH, initial recommendations for this measure will now be completed by Q2 2021 (1.1.4.2).

The draft mishap data standards, values, and business processes for submission to the Business Enterprise Architecture are in informal coordination with the DoD Components. All products will be formally submitted concurrently once finalized (1.1.4.3).

IDENTIFY KNOWN RISKS:

RAND's work in support of the Leading Indicators TF was extended at no cost in order for RAND to fully address all TF comments and ensure value-added recommendations for DoD implementation. The TF required time to review and evaluate RAND's updated final report and develop final recommendations. The RAND report was received in late March, and the TF members provided detailed feedback and suggestions in April. RAND's updated draft report was received in July, therefore this effort was completed in FY 2020.

The Leading Indicators TF Chair was detailed for 3 months to the DoD COVID-19 TF.

The FSOH Chair of the Information Sharing TF was also detailed to the DoD COVID-19 TF and served in that role through the remainder of his detail to FSOH. TF activities have been on hold.

MITIGATION EFFORTS:

Alternate FSOH staff stepped up to Chair the Leading Indicators TF, despite a reduction in manpower, and meetings are continuing remotely. Final recommendations are targeted by Q2 2021.

The Information Sharing TF Chair was detailed to the COVID-19 Task Force and did not return to FSOH. Efforts will recommence in Q1 2021. Final recommendations are targeted by Q2 2021.

NEXT STEPS:

Leading Indicators TF – Finalize recommendations for leading indicators to implement DoD-wide, including measures, and updates to appropriate SOH DoDIs. Recommendations are targeted by the end of Q2 2021.

Mishap Classification TF – Incorporate updates to the mishap cost thresholds and mishap causality and corrective action bin definitions and guidance with examples in DoDI 6055.07 "Mishap Notification Investigation Reporting and Record Keeping." Continue to coordinate with the Defense Readiness Reporting System program on requirements for a mishap readiness impact indicator.

Information Sharing TF – Recommence efforts with new Chair. Engage Joint Staff Support Center lessons learned sharing forums to continue discussions and collaboration. Continue to look into Joint Lessons Learned Information Sharing tool for potential joint solution. Review SOH-related issuances and recommend clarifications for sharing lessons learned, and address how privileged information can be shared in a consistent manner across the Services for the purposes of mishap reduction, and to ensure lessons learned can be shared across the Services with no inhibitions. Target recommendations by Q2 2021.

SOH Data Reform TF – Continue to analyze alternative solutions for a DoD-wide SOH information management tool and develop recommendations for DSOC Integration Group review.

Continue supporting the SIM Working Group to finalize the standard safety data elements, list of values, and business rules, and incorporate data related recommendations from the DSOC TFs for submission to the Business Enterprise Architecture. Final standard safety data elements and business processes are targeted for completion at the end of Q4 2021.

PERFORMANCE INFORMATION GAPS:

The delayed submission of the RAND leading indicator final report was identified as a risk above.

The evolving COVID-19 situation and detailing of critical office members was also identified as a risk above.

CHANGE PERFORMANCE GOALS / MEASURES:

Updated PM 1.1.4.2 target due date from Q4 FY 2020 to Q2 FY 2021.

Updated PM 1.1.4.3 to reflect draft (vs final) data standards and values, and added the draft business processes.

SO 1.2: Increase Weapon System Mission Capability While Reducing Operating Cost

SO Leader: USD(A&S)

STRATEGIC OBJECTIVE OVERVIEW:

The technological superiority of the United States is being challenged by potential adversaries in ways not seen since the Cold War. For this reason, it is paramount that the Department provide our warfighters with dominant military capabilities. The quality of this force is dependent on our efforts and those in the industrial base to innovate, test, and field advanced capabilities against a broad spectrum of potential threats. We will assess and balance risk between recapitalization and innovation, in certain cases forgoing large-scale procurement of capabilities that provide incremental improvements in favor of developing leap-ahead technologies. This includes bolstering our focus on science and technology, advanced components, and early prototypes. With a renewed focus on productivity of in-house laboratories, external research efforts funded through contracts and grants, and the independent research and development by private industry, the Department is working to maximize warfighter capability and effectiveness while driving down costs through reform efforts. The Department is encouraging greater innovation and investments in industry with a science and technology budget request aligned with priorities and investments focused on the development and demonstration of technologies required to prepare DoD for an increasingly competitive global security environment.

STRATEGIC OBJECTIVE PROGRESS UPDATE:

Improve F-35 Execution. The NDS emphasizes rebuilding military readiness for a more lethal joint force. To that end, the Office of the Under Secretary of Defense for Acquisition and Sustainment (OUSD(A&S)) implemented a contract performance incentive to boost F-35 assembly flow and product quality. Moreover, to increase F-35 Mission Capability and Aircraft Availability Rates, OUSD(A&S) developed and executed a performance improvement plan to increase spare parts, accelerate organic depot repair activations, and aggressively implement reliability and maintainability improvements across the fleet. The F-35 enterprise's efforts continue to improve sustainment in the deployed environment while working to achieve the Department's goal of an 80% mission capability (MC) rate for operational tactical aircraft by the beginning of FY 2020.

Nuclear Command, Control, and Communications (NC3). The 2018 Nuclear Posture Review of the nuclear enterprise identified the broad diffusion within DoD of authority and responsibility for governance of the NC3 system and the need to reform governance of the overall NC3 system. Careful study and review culminated in the 2019 Deputy Secretary of Defense designation of the Commander, United States Strategic Command as the Enterprise Lead for the NC3 enterprise with authority and responsibility for operations, requirements, and systems engineering and integration functions; and the Under Secretary of Defense for Acquisition and Sustainment (USD(A&S)) as the NC3 Enterprise Capability Portfolio Manager with authority and responsibility for acquisition and resources.

Operational Availability (AO). Supply Availability, and Time-Definite Delivery performance remained steady or improved over the course of FY 2020. Supply Availability and Time-Definite Delivery are both above target and AO is within the performance standard threshold and is rated green. Because of the nature of the data collection process, FY 2020 Q4 data will not be available until 45 days after the end of the FY.

Noteworthy challenges in FY 2020 were COVID-19 impacts to suppliers and reduced obligation authorities in Defense Working Capital Funds that constrained the ability to purchase inventory in support of higher readiness goals.

Strategic Objective Next Steps:

The updated F-35 Life Cycle Sustainment Plan (LCSP) is current with the USAF and DoN Service Acquisition Executives for signature; final approval by ASD(Sustainment) is expected in December 2020. Accompanying that approval by ASD(S) will be a signature memorandum that calls for the F-35 Joint Program Office to update the F-35 LCSP six months after the completion and acceptance of findings from the ongoing F-35 Business Case Analysis (BCA), scheduled to be completed in May 2021. As part of that update, the signature memorandum identifies several issues raised by stakeholders during review of the current draft LCSP that must be addressed in the post-BCA LCSP update.

FY 2020 Summary of Results

PG 1.2.1: Significantly improve the F-35 Program execution		PG Leader: OUSD(A&S)					
Performance Measures		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.2.1.1: Update and issue the F-35 Lifecycle Sustainment Plan and report progress on achieving Sustainment Affordability targets in accordance with the Oct 2018 Acquisition Decision Memorandum	Target	X	X	X	X	X	X	
	Actual	X	X	Not Met	Not Met			
PM 1.2.1.2: Demonstrate readiness for F-35 Full Rate Production Decision	Target	Measured in FY 2021				X		
	Actual							
PM 1.2.1.3: Complete F-35 Initial Operational Test & Evaluation	Target	Measured Annually			X			
	Actual				Not Met			
PM 1.2.1.4: Expand Global Sustainment Capabilities	Target	X	X	X		X		
	Actual	X	X	X				

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FY 2020 PERFORMANCE GOAL OVERVIEW:

The F-35 Lightning II is the premier multi-mission, next generation strike fighter that provides the U.S. and Allied forces unmatched, game-changing capabilities. The F-35 provides transformational capabilities that will fundamentally change the way our nation's military operates around the globe. The F-35 is the cornerstone of increased lethality, strengthened global alliances and reformed business practices in support of the DoD's National Defense Strategy.

As the F-35 Program completes Initial Operational Test & Evaluation (IOT&E) and prepares to transition into Full Rate Production (FRP), the Department is focusing on sustaining a growing fleet in a cost-effective manner. The Department is focused on driving improvements in both the Air Vehicle Availability and Full Mission Capable metrics, and reducing Cost Per Tail (Aircraft) Per Year and Cost Per Flight Hour to achieve affordability targets.

FY 2020 PERFORMANCE GOAL PROGRESS UPDATE:

The Defense Acquisition Executive (DAE) continues to focus oversight of F-35 program to improve governance, execution, complete F-35 IOT&E and assess readiness for conducting a FRP Decision by March 2021. The DAE conducted regularly scheduled F-35 Executive Steering Group and F-35 Acquisition Small Group meetings to ensure senior levels of the Office of the Secretary of Defense, Joint Staff, U.S. Services and F-35 Joint Program Office remain aligned on F 35 requirements, resourcing, acquisition strategy, sustainment strategy, and program execution, and have a forum to strategically guide F-35 program decision making. The DAE hosted a F-35 Chief Executive Officers' (CEO) Roundtable meeting in September 2020 with senior leadership from F-35 industry partners, DoD stakeholders and the National Armaments Directors from the Partner nations. The CEO Roundtable focused on affordability, sustainment and rapid agile capability.

The impact of COVID-19 during FY 2020 continued into the fourth quarter with adverse schedule implications due to social distancing to completing the integration of the F-35 into the Joint Simulation Environment (JSE) at Naval Air Station Patuxent River, Maryland. The technical complexity of integrating the F-35 and threat systems into a high-fidelity, simulated environment also proved to be a continuing challenge towards making progress in maturing the JSE to conduct Runs for Score in support of IOT&E Completion. The DAE and Director of Operational Test & Evaluation visited the JSE in August 2020 to assess status and progress. The JSE runs for Score are a pre-requisite for completion of F-35 IOT&E and the Beyond Low Rate Initial Production (BLRIP) Report, which is required to allow the DAE to make a FRP Decision after the BLRIP Report to Congress.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 1.2.1.1: In FY 2020, the Department adjusted the F-35 Life Cycle Sustainment Plan Plans of Action & Milestones (POAM) process to more closely track performance to plan. The desired end state for each success element has been clarified, along with key levers to achieve that end state. For each key lever, dates and milestones have been identified, along with clear metrics to track progress. OASD(S) is also working with CAPE, the Services, and the F-35 Joint Program Office (JPO) to identify disconnects between the funding required for sustainment and projected funding levels. This effort will also inform efforts to reduce sustainment costs to meet the Service-budget-informed affordability constraints.

PM 1.2.1.2: At the F-35 Interim Program Review Defense Acquisition Board meeting on 19 October 2020, USD(A&S) and key program stakeholders agreed that the Full Rate Production decision timeline would be pushed back, due to the timeline needed to complete IOT&E. The objective date for the Full Rate Production decision is now September 2021, with a threshold of 1Q CY2022.

PM 1.2.1.3: As of 30 Sep 2020, the program has two open air trials, 64 JSE trials and one cybersecurity event remaining to complete IOT&E. Integration of the F-35 In-A-Box (FIAB) into the Joint Simulation Environment (JSE) to enable adequate evaluation of the F-35 against modern airborne and surface threats in realistic densities continues. The overall JSE integrated master schedule (IMS) is undergoing reassessment due to technical difficulties and COVID-19 impacts. One open air trial is scheduled for Oct 2020 and one trial remains to be scheduled. The remaining cybersecurity event is scheduled for Oct 2020.

The completion of F-35 IOT&E had an objective date of Sep 2020 (4Q FY 2020) and threshold date of March 2021, per the F-35 Acquisition Program Baseline Change 3 Update, approved by the DAE on 5 Feb

2020. The stand-up of the Fleet Readiness Center in the Western Pacific (FRC WESTPAC) provides US Navy and Marine F-35 B/C Regional Maintenance, Repair, Overhaul and Upgrade (MRO&U) capability for airframes and engines for the Asia Pacific Region. MRO&U capability at Marine Corps Air Station Iwakuni is now tracking for 2Q FY 2020 (Feb 2020). The original deferred activation was necessary to align with completion of local facility modifications and was coordinated with Commander, Fleet Readiness Centers (COMFRC). Commander, FRC exercised oversight of contract award and follow-on construction, averting further delays (Completed Oct 2019). Modifications will continue to be installed via a depot field team.

PM 1.2.1.4: The ongoing global pandemic has had a significant impact of OCONUS and partner sustainment capabilities. The program is currently evaluating the impact on the timeline for the stand-up of these capabilities.

IDENTIFY KNOWN RISKS:

The risks to IOT&E completion include: new discoveries of anomalies or safety issues requiring software and/or hardware fixes or an acceptable plan to mitigate those discoveries; Joint Strike Fighter (JSF) Operational Test Team (JOTT) capability and capacity to conduct test while also concluding test activities; and further delays with test infrastructure and the ongoing FIAB integration into the JSE. The current known delays to the JSE integration effort and completion of F-35 IOT&E will likely extend the BLRIP report past the current Full Rate Production (FRP) decision threshold date of March 2021.

Additional risk realized as issues include the impact of COVID-19, which negatively impacted the JSE integration schedule due to social distancing, implementation of telework, and reduction of the ability to conduct on-site, day-to-day work activity due to security requirements. Quantification of the impact is still being assessed, but the immediate impact is the completion of F-35 IOT&E pushing beyond 4Q FY20.

MITIGATION EFFORTS:

The F-35 Joint Program Office, Director of Operational Test & Evaluation, JOTT and Contractor Partners worked to actively assess the performance of the JSE during Spin Up #1 in late 4Q FY 2020. A review of the results and the installed system performance for the JSE to complete IOT&E is pending from DOT&E as of the end of 4Q FY 2020.

The JSE Team worked diligently throughout FY 2020 to continue JSE integration efforts, identify issues with system integration and performance and formulate a plan to address discrepancies and execute under challenging circumstances (COVID-19 and technical complexity).

NEXT STEPS:

Implement DAE direction for the F-35 Program coming out of the October 2020 F-35 IPR DAB, strategic direction from the monthly F-35 ESGs, continuation of the JSE Monthly Status Updates and the JSE Team working through integration complexity issues along with assessing work to be accomplished and schedule re-baselining recommendation to F-35 program execution leadership top the DAE to accomplish the remaining effort to allow a credible JSE to support IOT&E Runs for Score.

PERFORMANCE INFORMATION GAPS:

PM 1.2.1.3: The F-35 Program and stakeholders are awaiting DAE direction on program execution with respect to F-35 IOT&E completion and schedule impacts. This direction is expected in 1Q FY 2021.

CHANGED PERFORMANCE GOALS / MEASURES:

PM 1.2.1.3: The primary change is that the completion of F-35 IOT&E did not complete by the end of 4Q FY 2020, as planned. The F-35 Program is awaiting direction from the DAE on moving forward. The F-35 IPR DAB in October 2020 will provide a program status with a major focus on IOT&E completion and offer Courses of Action for DAE consideration. The Completion of IOT&E did not complete in 4Q FY 2020 and now is moving into FY 2021. The F-35 FRPD is also impacted and projected to slip further right into FY 2021 due to IOT&E Completion being a pre-requisite event.

FY 2020 Summary of Results

PG 1.2.2: Driving Nuclear Enterprise reforms to keep modernization of the nuclear deterrent on track		**PG Leader:** OUSD(A&S)					
Performance Measures		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.2.2.1: Support Air Force B61-12 Life Extension Program tail kit and National Nuclear Security Administration warhead integration leading to tail kit production contract award	Target		X					
	Actual		X					
PM 1.2.2.2: Support Air Force in upcoming Long Range Stand Off (LRSO) weapon design reviews	Target	X						
	Actual	X						
PM 1.2.2.3: Assist Navy, DoD CAPE, OSD(Policy) and Joint Staff in completing the Analysis of Alternatives for the Nuclear Sea-Launched Cruise Missile	Target	Measured Annually			X			
	Actual				Not Met			
PM 1.2.2.4: Conduct Ground Based Strategic Deterrent Milestone B Defense Acquisition Board and Decision	Target	Measured Annually			X			
	Actual				X			

Measure								
PM 1.2.2.5: Initiate the Nuclear Certification Overarching Integrated Product Team	Target		X					
	Actual		X					
PM 1.2.2.6: Approve the Long Range Stand Off (LRSO) Engineering & Manufacturing Development (EMD) Request for Proposal (RFP)	Target					X		
	Actual				X			
PM 1.2.2.7: Re-baseline the Inter-Continental Ballistic Missile Fuze Modernization program	Target	Measured Annually			X			
	Actual				Not Met			
PM 1.2.2.8: Support development of an integrated nuclear bomber capability transition framework	Target		X					
	Actual		X					
PM 1.2.2.9: Support Test and Evaluation facility/resource reviews	Target	Measured Annually			X			
	Actual				X			
PM 1.2.2.10: Establish a Re-entry Vehicle Overarching Integrated Product Team	Target		X					
	Actual		X					

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020

Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

Our Nuclear Triad is the backstop and foundation of national defense and the defense of allies. While still reliable and credible today, current delivery systems, weapons, command and control systems, and infrastructure are rapidly aging into obsolescence. The Department will modernize the nuclear triad – including nuclear command, control, and communications (NC3) and supporting infrastructure. Modernization of the nuclear force includes developing options to counter competitors' coercive strategies, predicated on the threatened use of nuclear or strategic non-nuclear attacks.

FY 2020 PERFORMANCE GOAL PROGRESS UPDATE:

All performance measures have been accomplished with the exception of two: (1) PM 1.2.2.7 "Re-baseline the Inter-Continental Ballistic Missile Fuze Modernization program," was deferred by Air Force to 1Q FY

2021; (2) PM 1.2.2.3 "Assist Navy, DoD CAPE, OSD(Policy) and Joint Staff is completing the Analysis of Alternatives for the Nuclear Sea-Launched Cruise Missile (SLCM-N)," is not scheduled until 3Q FY 2021 (when originally listed as a performance objective, the final CAPE AoA schedule was not yet known). One performance measure was advanced from FY 2021 to FY 2020; specifically, PM 1.2.2.6 "Approve the Long Range Stand Off (LRSO) Engineering & Manufacturing Development (EMD) Request for Proposal (RFP)" was completed earlier than planned, in 4Q FY 2020. Additionally, the Secretary of Defense has received quarterly briefings on this objective over this past year, which have helped informed senior leadership on options to further advance nuclear enterprise modernization.

FY 2020 PERFORMANCE MEASURES OVERVIEW:

The Department will modernize the nuclear triad – including nuclear command, control, and communications (NC3) and supporting infrastructure. Modernization of the nuclear force includes developing options to counter competitors' coercive strategies, predicated on the threatened use of nuclear or strategic non-nuclear attacks.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

In FY 2020, the Department supported several significant nuclear modernization milestones. The Department supported the Long Range Standoff Weapon Technology Maturation and Risk Reduction Preliminary Design Reviews. The Department also conducted two nuclear modernization deep dives with the new Secretary of Defense and his staff to identify risks and opportunities to expedite nuclear modernization. Finally, USD(A&S) established a Reentry Vehicle Overarching Integrated Product Team to review overall alignment of planned nuclear weapon reentry vehicle efforts.

PM 1.2.2.1: Information and Integration Portfolio Management (I&IPM) coordinated with NNSA and DOT&E to evaluate the B-61 MOD 12 Tailkit Assembly Program's status in DOT&E, and progress in Low Rate Initial Production. I&IPM will continue to evaluate the program through DOT&E completion and Beyond Low Rate Initial Production Report planned in September 2020. Finalized the production contract for Lot 1, Lot 2 Advanced Procurement, and Production Support.

PM 1.2.2.2: The Department supported the Long Range Standoff Weapon Technology Maturation and Risk Reduction Preliminary Design Reviews.

While AF attempts to satisfy requirements for senior-leader situational awareness of Nuclear Certification, the Nuclear Certification Overarching Integrated Product Team was put on hold and

USD(A&S) was notified of the status of the effort via an Information Memo. Beginning in March I&IPM also participated in multiple meetings of a working group led by ODASD(Nuclear Matters), intended to find ways to modernize and streamline Nuclear Certification processes and procedures. As part of this working group, I&IPM reviewed inputs from other participants (other OSD offices, the Joint Staff, the Services, and DTRA) and made its own recommendations for how the Services could improve nuclear certification.

PM 1.2.2.3: "Assist Navy, DoD CAPE, OSD(Policy) and Joint Staff is completing the Analysis of Alternatives for the Nuclear Sea-Launched Cruise Missile (SLCM-N)," is not scheduled until 3Q FY 2021

PM 1.2.2.4: USD(A&S) led efforts to complete the Ground Based Strategic Deterrent Milestone B Defense Acquisition Board and Decision. The Acquisition Decision Memorandum for GBSD MSB was approved in September 2020.

PM 1.2.2.5: Information and Integration Portfolio Management (I&IPM) participated in both of LRSO industry Technology Maturation and Risk Reduction Preliminary Design Reviews. I&IPM considers this activity closed, but will continue to follow the program to its Developmental Request for Proposal Decision Point planned for August 2020.

PM 1.2.2.6: USD(A&S) led efforts to approve the LRSO Engineering & Manufacturing Development (EMD) Request for Proposal (RFP). This was accomplished one quarter earlier than expected in September 2020, with the associated Acquisition Decision Memorandum approved the same month.

PM 1.2.2.7: "Re-baseline the Inter-Continental Ballistic Missile Fuze Modernization program," was deferred by Air Force to 1Q FY 2021.

PM 1.2.2.8: The bomber capability transition roadmap completed as part of the Nuclear Posture Review out brief. The nuclear bomber force will continue to be evaluated at the Nuclear Secretary of Defense Weekly Priorities Review.

PM 1.2.2.9: USD(A&S) supported CAPE issue team deliberation regarding Test and Evaluation facility/resource reviews to ensure appropriate future funding for nuclear modernization testing requirements.

PM 1.2.2.10: USD(A&S) established an Overarching Integrated Product Team (OIPT) to review the overall alignment of planned nuclear Reentry Vehicle acquisition programs. I&IPM conducted four principal RV OIPTs and briefed the Nuclear Weapons Council initial observation and recommendation in March 2020. I&IPM plans to close out the initial RV OIPT effort with an out brief to the NWC in June 2020.

IDENTIFY KNOWN RISKS:

Known nuclear modernization risks are tracked via the portfolio management database (Defense Acquisition Executive Summary), Defense Acquisition Executive In-Progress Reviews, Secretary of Defense Weekly Priorities Review (quarterly for nuclear modernization), Secretary of Defense Nuclear Deep Dives, the Nuclear Weapons Council, and Overarching Integrated Product Teams.

MITIGATION EFFORTS:

Risks and mitigations are covered in the Nuclear Secretary of Defense Weekly Priorities Review.

NEXT STEPS:

The quarterly Secretary of Defense meetings have been formalized as performance measures for FY 2021, as have program oversight actions associated with the Ground Based Strategic Deterrent (GBSD) program, LRSO, SLCM-N, and sea/air leg transition issues.

PERFORMANCE INFORMATION GAPS: All performance information is current and available.

CHANGED PERFORMANCE GOALS / MEASURES: Re-baseline PM 1.2.2.3 and PM 1.2.2.7.

FY 2020 Summary of Results

PG 1.2.3: Expedite Logistics Innovation		PG Leader: Logistics-Supply Chain, Reform Director						
Performance Measures		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.2.3.1: Operational Availability	Target	89.3%	89.3%	89.3%	89.3%	89.3%	89.3%	NEW
	Actual	80.1%	80.0%	81.8%	80.7%			
The A$_O$ target is a weighted average of the A$_O$ targets for individual weapon systems and military equipment. We changed the methodology for computing this metric starting in Q3 2020 to more closely align with the data collection efforts from the Services. All values for A$_O$ shown in this table were updated using the new methodology.								
PM 1.2.3.2: Supply Availability	Target	85%	85%	85%	85%	85%	85%	NEW
	Actual	87.5%	87.7%	88.0%	87.9%			
The metric for PM 1.2.3.2 was previously NMCS and CASREP backorders. Starting in Q2 2020, we began using Supply Availability as the metric to more closely align with the Services' internal tracking efforts and more meaningfully reflect the supply system's contribution to weapon system readiness. We changed all values in the table to Supply Availability.								
PM 1.2.3.3: Time Definite Delivery Compliance	Target	85%	85%	85%	85%	85%	85%	FY19: 85%
	Actual	85%	85%	86%	86%			

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FY 2020 PERFORMANCE GOAL OVERVIEW:

Investments will prioritize prepositioned forward stocks and munitions, strategic mobility assets, partner and allied support, as well as non-commercially dependent distributed logistics and maintenance to ensure logistics sustainment while under persistent multi-domain attack.

FY 2020 PERFORMANCE PROGRESS UPDATE:

Operational Availability (AO) is achieving 91.6 percent of target and is rated green.

Supply Availability is above the target and continues to improve. Supply Availability is above the target and continues to improve. This metric is rated green.

Time Definite Delivery (TDD). TDD is above target and is rated green.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 1.2.3.1: Operational Availability. DASD(Log) and DASD(MR) jointly monitor this metric quarterly at the Logistics Executive Steering Committee (LESC). DASD(MR) reports AO at the individual weapon system level as part of the Equipment Availability portion of the Secretary of Defense's Weekly Priorities Review and the Deputy Secretary's Management Action Group. DASD(Log) and key stakeholders from the Services and DLA review this metric monthly during the Supply Chain Metrics Working Group. The Comprehensive Inventory Management Improvement Program working group meets monthly to identify ways to improve Operational Availability, formulate implementation strategies, and monitor the progress that the Services and DLA are making toward implementing these strategies.

PM 1.2.3.2: Supply Availability. DASD(Log) and DASD(MR) jointly monitor this metric quarterly at the Logistics Executive Steering Committee (LESC). DASD(Log) and key stakeholders from the Services and DLA review this metric monthly during the Supply Chain Metrics Working Group. The Comprehensive Inventory Management Improvement Program working group meets monthly to identify ways to improve supply availability, formulate implementation strategies, and monitor the progress that the Services and DLA are making toward implementing these strategies.

PM 1.2.3.3: Time Definite Delivery Compliance. DASD(Log) monitors this metric quarterly at the Logistics Executive Steering Committee (LESC). DASD(Log) and key stakeholders from the Services and DLA review this metric monthly during the Supply Chain Metrics Working Group. The Comprehensive Inventory Management Improvement Program working group meets monthly to identify ways to improve Time Definite Delivery, formulate implementation strategies, and monitor the progress that the Services and DLA are making toward implementing these strategies.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 1.2.3.1: Operational Availability - We changed the methodology for computing this metric starting in Q3 2020 to more closely align with the data collection efforts from the Services. All values for AO shown in this table were updated using the new methodology.

PM 1.2.3.2: Supply Availability - Starting in Q2 2020, we began using Supply Availability as the metric to more closely align with the Services' internal tracking efforts and more meaningfully reflect the supply system's contribution to weapon system readiness. We changed all values in the table to Supply Availability

PM 1.2.3.3: Time Definite Delivery Compliance - DASD(Log) monitors this metric quarterly at the Logistics Executive Steering Committee (LESC). DASD(Log) and key stakeholders from the Services and DLA review this metric monthly during the Supply Chain Metrics Working Group. The Comprehensive Inventory Management Improvement Program working group meets monthly to identify

ways to improve Time Definite Delivery, formulate implementation strategies, and monitor the progress that the Services and DLA are making toward implementing these strategies.

Identify Known Risks:

None

MITIGATION EFFORTS:

None

NEXT STEPS:

Continue to use existing forums and working groups to pursue continuous process improvements.

PERFORMANCE INFORMATION GAPS:

None

CHANGED PERFORMANCE GOALS / MEASURES:

Changed PM 1.2.3.2 from "NMCS and CASREP (Casualty Report) Backorders" to "Supply Availability".

SO 1.3: Enhance information technology and cybersecurity defense capabilities

SO Leaders: Principal Deputy, Department of Defense Chief Information Officer (DoD CIO)

STRATEGIC OBJECTIVE OVERVIEW:

The DoD CIO is committed to facilitating accomplishment of the Department's priorities of building a more lethal Joint Force, strengthening alliances, and reform, through digital modernization. Vision: deliver an information dominant domain to defeat our Nations' adversaries. The performance goals (PG) for strategic objective (SO) 1.3 support the DoD CIO's digital modernization focus areas of cybersecurity, cloud, communications, artificial intelligence, and data.

STRATEGIC OBJECTIVE PROGRESS UPDATE:

Confirmed by the Senate on December 29, 2019, the DoD CIO kept the implementation of the DoD Digital Modernization Strategy a high priority, and maintained unrelenting focus on leveraging underlying technologies, such as Cloud, Artificial Intelligence (AI), Command, Control, and Communications (C3), and Cybersecurity. Specific progress for the related FY 2020 Performance Goals, under SO 1.3 are described in this report.

STRATEGIC OBJECTIVE NEXT STEPS:

The DoD CIO will continue efforts to improve the performance of digital modernization initiatives supporting SO 1.3. Key milestones are identified as targets in the progress update section.

FY 2020 Summary of Results

PG 1.3.1: Implement First Four Cyber Priorities		PG Leader: DoD Chief Information Security Officer (CISO), DoD CIO					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.3.1.1: Automated Continuous Endpoint Monitoring (ACEM): Achieve 100% endpoint visibility for Non-classified Internet Protocol Router (NIPR) information networks	Target	*	*	*	*	*	*	*All data and targets are classified
	Actual	*	*	*	*			
PM 1.3.1.2: Identity Credential Access Management (ICAM): Deploy DoD enterprise and Component level ICAM solution	Target	*	*	*	*	*	*	*All data and targets are classified
	Actual	*	*	*	*			
PM 1.3.1.3: DevSecOps: Develop a Secure Application Development capability for the DoD	Target	*	*	*	*	*	*	*All data and targets are classified
	Actual	25%	51%	79%	96%			
PM 1.3.1.4: Implement Cyber Excepted Service (CES) and Improve Workforce	Target	42%	51%	59%	67%	79%	90%	FY19: 34%
	Actual	35%	53%	53%	46%			

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FY 2020 PERFORMANCE GOAL OVERVIEW:

Pursuant to Executive Order 13800, "Strengthening the Cybersecurity of Federal Networks and Critical Infrastructure," DoD has embarked on a concerted effort to harden its attack surface. Part of this programmed effort includes identification of the First Four Cyber Priorities. These priorities were identified by and agreed to by the National Security Agency and the Services.

FY 2020 PERFORMANCE PROGRESS UPDATE:

Details are classified.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 1.3.1.3: By the end of FY 2020, there will be a DoD Enterprise DevSecOps platform that is used for hardening containers and an enterprise repository where over 170 hardened containers are posted for use by DoD users. To support users, guidance related to acquisition, implementation, and security will be published, and DevSecOps training will be developed and offered.

PM 1.3.1.4: The performance measure (PM) leverages data collected via the DoD Cyber Landscape Scorecard initiative, and is a composite metric whose value is defined by milestone accomplishments related to the implementation, execution, and sustainment of the Cyber Excepted Service (CES) personnel system, as well as, human capital performance indicators of the civilian workforce. These performance indicators include Attrition Rate, Vacancy Rate, Incentive Usage, Average Time a Position is Vacant, and Retirement Rate, forming the AVITR Performance Index. A summary performance score, such as this one, best reflects the multi-front approach the DoD CIO is taking by implementing new authorities like CES while executing and sustaining existing workforce management initiatives. Target values align to forecasted resourcing levels through 2022.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 1.3.1.2: Details are classified. COVID-19 impacted some programs but overall program on track.

PM 1.3.1.3: In FY2020, the main DevSecOps accomplishment was completing the hardening of the original set of 172 containers, which are now maintained in an enterprise repository and available for use across the DoD. The Container Hardening Guide was finalized. This guide describes the hardening process in detail so other programs can use this process and submit hardened containers to the enterprise for reuse. The DevSecOps Playbook is nearly complete and expected to be published in the next quarter. The Continuous Authorization approach is being socialized across the DevSecOps community to include the Cyber personnel. This approach will be formalized in FY 2021. The Defense Acquisition University (DAU) continued to refine and deliver DevSecOps training.

PM 1.3.1.4: Notably, progress in Q4 FY 2020 included significant advancement in CES Phase II implementation efforts. DISA and USAF have completed Phase II implementation by the planned timelines due to early targeted training sessions of HR personnel and organization-specific outreach by DoD CIO CES Program Office.

In Q3 FY 2020, although the Department did not conduct reporting for the DoD Cyber Landscape Scorecard, the Department plans to complete the Cyber Workforce PM, the methodology of which has been validated by 1-Star/SES-level working groups comprehensively for Q4 FY 2020. The composite

PM reflects the Department's progress related to the implementation and sustainment of CES, as well as, organizational performance in addressing attrition, vacancies, incentive usage, time a position is vacant, and retirement eligibility across six key civilian occupational series. Since reporting did not occur for Q3 FY 2020, Q2 FY 2020 goals were utilized.

In FY 2020, the Department substantially advanced the effort to operationalize a CES Compensation Program by gaining approval in May 2020 of the GO/SES-level Cyber Workforce Management Board (CWMB) for a Targeted Local Market Supplement (TLMS) for select cyber work roles. The TLMS, upon implementation, will enable the Department to compete for top-tier cyber talent. Building on stakeholder validation of selected work roles for the TLMS, the Department leveraged market research from an engagement with the RAND Corporation that identified private sector salaries for the selected work roles by geographic domains. DoD CIO used these insights for a data-driven collaboration with USD P&R Defense Civilian Personnel Advisory Service (DCPAS) to ensure that Special Salary Rates (SSR) are accounted for in pay tables under the TLMS while maintaining the integrity of the GG grade structure. Further formal external coordination with USD P&R DCPAS and USD(I) has occurred to gain stakeholder review and concurrence with establishment of CES TLMS rates. To operationalize the TLMS, the next steps include gaining final approval by USD P&R.

IDENTIFY KNOWN RISKS:

PM 1.3.1.3: There is technical risk as this is a complex undertaking and a new approach to software development in the DoD. The technical risk is mitigated through close collaboration between DoD CIO, USD(A&S), Air Force, DISA, and industry. Technical meetings are held on an as-needed basis to mitigate identified challenges.

There is also risk associated with the publication of new guidance as the DevSecOps approach brings significant changes related to organizational structure, business processes, security assessment and accreditation, etc., which must be figured out before the guidance can be written and coordinated. Risk is mitigated through close collaboration between DoD CIO, USD(A&S), Air Force, DISA, and industry, as well as research and application of industry best practices. Meetings are held on an as-needed basis to work through challenges.

PM 1.3.1.4: COVID-19 is the cause of the reduced score for Q4, as COVID-19 has reduced the ability to leverage existing recruiting and retention incentives designed to improve overall workforce health. As a result of reduced incentive use, vacancy rates as well as the amount of time that positions are vacant have both increased, resulting in an increased proportion of the workforce, which is retirement eligible. These three factors (incentives leveraged, retirement eligibility and vacancy rates) were the largest influences on the Q4 FY 2020 score.

MITIGATION EFFORTS:

PM 1.3.1.4: In Q4 FY 2020, we were actively advancing necessary CES policy and program changes (e.g. TLMS and Interchange Agreement) to address recruiting and retention challenges.

DoD CIO has implemented numerous remote work policies and systems to enable a workforce capable of adapting to changing work conditions posed by COVID-19.

NEXT STEPS:

PM 1.3.1.3: Next steps involve shifting from establishing an initial capability, which has been achieved, to addressing and mitigating technical and non-technical obstacles to increase the adoption of DevSecOps across the Department. Specific tasks focus on defining software-related roles for workforce, publishing the Software Acquisition Pathway policy, updating the DoD Enterprise DevSecOps Reference Design, publishing the DevSecOps Playbook, maturing the Continuous Authorization approach, looking at enterprise software licensing for commonly used DevSecOps tools, and defining a set of metrics to apply to all DevSecOps projects.

PM 1.3.1.4: By the end of Q1 FY 2021, the Department will advance the Targeted Local Market Supplement (TLMS) through the final stages of approval by relevant Departmental stakeholders (e.g. USD P&R, USD(I)) with the intent to begin operationalizing the CES Compensation program by January 2021. The Department will maintain CES implementation at DISA with planned completion achieving or beating planned timelines. In the out-years (FY 2021-2024), the Department will complete CES implementation at the remaining Service Cyber Components, along with the sustained operationalization of a CES Compensation and Cyber Rotational Program.

PERFORMANCE INFORMATION GAPS:

PM 1.3.1.1: DoD has deployed 94% of purchased licenses on NIPRnet and SIPRnet. There will be discrepancies in complete reporting until every DoD Component is operating every acquired ACEM module and operating each module at the correct version level. JFHQ-DODIN Automated Continuous Endpoint Monitoring Concept of Operations (ACEM CONOPS) was signed 30 September 2020. The ACEM CONOPS provides initial guidance for planning purposes for both classified and unclassified environments.

PM 1.3.1.2: The ICAM Joint Program Integration Office is coordinating the implementation plan that will identify performance information gaps.

PM 1.3.1.4: Fourth quarter FY 2020 Cyber Landscape Scorecard data was successfully captured and entered into ERS portal for formal submission. Scores were notably reduced in this reporting period due to the recruiting and retention challenges posed by COVID-19. No challenges are projected for successful capture of scorecard data for Q1 FY 2021.

CHANGED PERFORMANCE GOALS AND INDICATORS:

PM 1.3.1.2: The DoD ICAM Strategy and Reference Design have been signed and released for public. There have been no changes to performance goals/measures.

PM 1.3.1.4: No changes in reporting goals or metrics for FY 2020. Future reporting for Q1 FY 2021 will be completed using updated metrics of Recruiting and Retention as outlined in updated Template for New Performance Goal form. The DoD CIO continues to seek improvements via automation and increased reliance on systems of record for scorecard reporting; future PM reporting will reflect enhanced capabilities that streamline reporting and reduce Service/Component burden, in support of the DoD 2019 Digital Modernization Strategy.

FY 2020 Summary of Results

PG 1.3.2: Implement Joint Regional Security Stack (JRSS) as an Enterprise Service to standardize and enhance security of the Department of Defense Information Network (DoDIN)		PG Leader: Deputy CIO for Information Enterprise (DCIO IE)					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.3.2.1: Cumulative percentage of NIPRNet/SIPRNet JRSS installed with operational traffic	Target	65% / 0%	70% / 0%	75% / 16%	85% / 16%	90% / 60%	100% / 85%	FY18: 65% / 0%
	Actual	65% / 0%	65% / 0%	65% / 0%	65% / 0%			FY19:65% / 0%
PM 1.3.2.2: Cumulative percentage of locations whose network communications are behind JRSS on NIPRNet and SIPRNet	Target	50% / 0%	52% / 0%	55% / 0%	59% / 2%	70% / 15%	80% / 25%	FY18: 40% / 0%
	Actual	57% / 0%	60% / 0%	62% / 0%	64% / 0%			FY19: 49% / 0%
Note: First number reflects NIPR JRSS/Second Number reflects SIPR JRSS								

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FY 2020 PERFORMANCE GOAL OVERVIEW:

The JRSS effort is a priority initiative under the Department's Digital Modernization Strategy. It addresses the need to secure, operate and defend the cyber warfighting domain. JRSS capabilities include modernizing the Department's information transport capabilities through installation of high throughput Multiprotocol Label Switching (MPLS) routers and fiber optic links; enhanced network security stacks based on Commercial-Off-the-Shelf (COTS) products; management of the enhanced network stacks; and an analytics capability that synchronizes defensive cyberspace operations throughout the DoD Information Network (DoDIN). JRSS capabilities improve the ability to defend the DoDIN and resolve gaps in mid-point security for Internet Protocol (IP)-based traffic. JRSS implementation is driving dramatic changes to network security throughout the DoDIN by collapsing disparate legacy security solutions and complex duplicative networking connections into a dynamic, flexible, and upgradeable future DoD IT environment.

FY 2020 PERFORMANCE PROGRESS UPDATE:

NIPRNet. The Department met Q4 FY 2020 performance targets for migrating Component sites to NIPRNet JRSS, with 216 of 336 planned sites behind NIPRNet JRSS as their primary network security solution on NIPRNet, protecting over 1.3 million users. The Department did not meet Q4 FY 2020 performance targets for installing and transitioning JRSS to operations on NIPRNet. A total of 13 of 20 planned JRSS-NIPR stacks are currently installed with operational traffic and two are installed and being prepared to accept operational traffic.

The JRSS Portfolio Management Office (PMO) completed actions directed by the Digital Modernization Infrastructure (DMI) Executive Committee (EXCOM) and JRSS Senior Advisory Group (SAG) to reduce operational and performance risk and improve migration planning and execution processes with increased emphasis on site readiness to better position the Department to achieve established goals. The JRSS PMO presented the proposal regarding implementation of JRSS Break and Inspect (B&I) at all JRSS sites, and rescheduled the cooperative vulnerability and penetration assessment planned for July 2020 to October 2020 COVID-19 travel restrictions. The JRSS PMO is conducting remote/virtual assessments to validate closure of Test Incident and Problem Reports (TIPRs) identified during prior test events. Migration to JRSS on NIPRNet remains complicated due to the magnitude of all DoD Components migrating to a common physical infrastructure, varying complexities of legacy network security solutions that JRSS will replace, external dependencies on actions by Military Services to upgrade base-level management systems, COVID-19 impacts, and site-specific technical and operational issues. The JRSS PMO conducted a JRSS Implementation Planning Board (IPB) session as the principal collaborative body to coordinate, integrate and synchronize all acquisition, migration, and implementation actions that affect the overall JRSS schedule. Additionally, the JRSS PMO continued to implement a five-phased approach for managing and executing migrations. This approach provides a deliberative process to orient, assess, and conduct detailed planning prior to executing migration of a site to JRSS on NIPRNet.

The approach includes a closeout phase with post-migration surveys and customer acceptance. Each phase has specific timelines for conducting migration actions. The result is a robust and repeatable process.

SIPRNet. The Department decided to delay transition of JRSS to operations on SIPRNet until conditions are set. The JRSS SAG, under direction of the DMI EXCOM, conducted governance reviews of SIPRNet JRSS in December 2019. The JRSS governance structure is the primary mechanism to assess performance in meeting Department goals for JRSS. This includes recurring senior executive-level reviews by the JRSS SAG and DMI EXCOM to track progress and prioritize resolution of issues. The JRSS SAG endorsed the approach to analyze the SIPRNet JRSS project for any changes in requirements or impacts to the project based upon updated cyber security architecture and concepts of operations. The Department conducts senior executive-level deep dives on specific issues through the JRSS SAG when required.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 1.3.2.1: This performance measure assesses progress on regional delivery, installation and configuration of JRSS capabilities by the Defense Information Systems Agency (DISA) JRSS PMO at 20 sites for NIPRNet and 25 sites for SIPRNet, and subsequent transition of JRSS to DISA Global for operations; including operational traffic traversing the stack. Key initiatives internal to DISA that support goal accomplishment include optical network upgrades and build-out of the MPLS mesh across the DoDIN.

PM 1.3.2.2: This performance measure assesses progress on actual migration of network security contexts by JRSS PMO Migration Teams (PMT) and Service Migration Teams (SMT) from legacy solutions to JRSS as an enterprise service at 336 DISN Subscriber Sites (DSS) sites. External initiatives that support the goal include Component-level efforts to upgrade network and management system capabilities at bases, camps, posts and stations that will migrate to JRSS. On-going efforts by United States Cyber Command and Joint Force Headquarters DoDIN to establish and mature operational policies and processes related to JRSS similarly support the Department's goal for JRSS.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 1.3.2.1

NIPRNet. The Department did not meet the FY 2020 performance measure targets due to COVID-19 travel restrictions made it impractical to install and configure the JRSS stacks to operations on NIPRNet in Southwest Asia (SWA) and U.S. Indo-Pacific Command (INDOPACOM). A total of 13 of 20 planned NIPRNet JRSS are installed with operational traffic and transitioned to DISA Global for operation and maintenance as an enterprise service.

SIPRNet. The Department delayed transition of JRSS to operations on SIPRNet until conditions are set. The JRSS SAG and DMI EXCOM conducted governance reviews of SIPRNet JRSS and directed actions to address known issues affecting transition and migration to SIPRNet JRSS.

PM 1.3.2.2

NIPRNet. The Department met Q4 FY 2020 performance measure targets for JRSS on NIPRNet. 216 out of 336 planned major DoD bases, posts, camps and stations have migrated to JRSS as their primary network security solution on NIPRNet.

SIPRNet. The Department did not migrate Component sites to JRSS on SIPRNet pending outcomes of multiple updates to the concept of operations and end-to-end cyber security architecture to determine the way ahead.

IDENTIFY KNOWN RISKS:

PM 1.3.2.1 & PM 1.3.2.2: The primary risks to achieving the Department's goal for JRSS include COVID-19 impacts, system configuration, migration site preparedness, and user proficiency issues that may affect the pace of migration and extend the timeline for achieving the desired end-state for JRSS. Specific risks are identified through lessons learned during site migrations, operator feedback from the DoD Components, and, formal test and evaluation events conducted by the Joint Interoperability Test Command (JITC). Risk mitigation is controlled through proactive and frequent engagements with all stakeholders through appropriate working groups and boards identified in the JRSS governance framework under direction of the DMI EXCOM. Technical issues may be submitted through a Trouble Ticket process established and addressed by DISA Global as the enterprise support provider for JRSS production capabilities. Requirements are submitted and validated by the JRSS Configuration Management Board (CMB). The CMB considers solutions based on doctrine, organization, training, materiel, leadership and education, personnel, and facilities (DOTMLPF) required to accomplish a mission. The JRSS Joint Operations Board, under direction of Joint Force Headquarters-DoDIN is the primary forum to address operational issues. JRSS Test Incident and Problem Reports (TIPRs) identified by JRSS operators are similarly tracked for resolution through the JRSS Test and Evaluation Working Integrated Product Team (WIPT). The JRSS PMO provides status of risk and issues affecting JRSS to the JRSS SAG and DMI EXCOM, with actions tracked through resolution.

MITIGATION EFFORTS:

PM 1.3.2.1& PM 1.3.2.2: The JRSS Implementation Planning Board (IPB) conducted a meeting to synchronize development of the JRSS architecture and migration planning efforts. The IPB forum has also positively influenced the execution of JRSS architecture updates and migration of remaining sites. By

gaining a common understanding of existing JRSS challenges through the IPB, the JRSS PMO is able to collaborate and prioritize methods for resolving architecture and migration concerns.

The JRSS SAG conducted a review of mechanisms to establish Command Accountability and track operator and unit readiness for commands that use JRSS to support their mission requirements in June 2020. JRSS SAG, USCYBERCOM, and JFHQ-DoDIN agreed to develop an operator proficiency model based on the Cyber Mission Force model. USCYBERCOM agreed to create a JRSS SIPRNet-specific Concept of Operations since JRSS SIPRNet is different than JRSS NIPRNet. The JRSS SAG reviewed the refined the FY 2020 JRSS test and evaluation approach to provide decision-quality insights on current status of JRSS performance in September 2020.

NEXT STEPS:

PM 1.3.2.1 & PM 1.3.2.2: The primary focus during Q1 FY 2021 includes efforts to continue the migration of designated Component bases, posts, camps and stations to JRSS on NIPRNet. The Q1 FY 2021 focus for JRSS on SIPRNet includes developing short term and long term action plans to assess updated concepts of operations and cyber security architecture, and address impacts due to COVID-19.

PERFORMANCE INFORMATION GAPS:

All performance information is current and available.

CHANGED PERFORMANCE GOALS / MEASURES:

No changes and no significant changes are forecasted.

FY 2020 Summary of Results

PG 1.3.3: Implement Defense Industrial Base (DIB) and Cyber Supply Chain Risk Management (SCRM) Activities		PG Leader: Deputy CIO for Cybersecurity (DCIO CS)					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.3.3.1: Number of new DIB participants in the voluntary Defense Industrial Base Cybersecurity program	Target	25	25	25	25	40	40	NEW
	Actual	24	29	21	44			
PM 1.3.3.2: Number of cyber threat information products developed and shared by the DoD Cyber Crime Center (DC3) with DIB Cybersecurity program participants	Target	250	250	250	250	1,000		NEW
	Actual	244	454	357	294			
PM 1.3.3.3: Cyber-Supply Chain Risk Management	Target	10	10	10	20	40	10	NEW
	Actual	10	10	10	20			
PM 1.3.3.4: Improve threat and risk assessment methods and capabilities	Target	10	10	15	15	40	60	NEW
	Actual	10	10	15	15			
PM 1.3.3.5: Facilitate Supply Chain Risk Management Information Sharing	Target	10	20	25	25	80	80	NEW
	Actual	10	20	25	25			
PM 1.3.3.6: Develop and Implement a SCRM Component for the DoD Information Network (DODIN) Approved Product List	Target	10	10	10	20	60	60	NEW
	Actual	10	10	10	20			

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

DIB: Cyber threats to unclassified Defense Industrial Base (DIB) networks and information systems threaten to compromise DoD information and pose an imminent threat to U.S. national security and economic security interests. Expanding and refining DIB Cybersecurity (CS) activities to better protect DoD unclassified information directly supports the DoD Digital Modernization Strategy Objective 3: Protect Sensitive DoD Information and Critical Programs and Technologies on DIB Unclassified Networks and Information Systems. While the DIB CS program is open to all cleared defense contractors (~8,500), the number of defense contractors with controlled unclassified information requiring the Defense Federal Acquisition Regulation Supplement (DFARS) clause is in an estimated 69,000 contracts. DoD's way forward for cyber threat information sharing must address this large number of companies. Strengthening the voluntary DIB CS program will enable DoD to help DIB CS participants take proactive steps to better safeguard and mitigate threats to DoD information residing on DIB unclassified networks and information systems.

SCRM: Information Communications Technology (ICT) touches every aspect of Department of Defense's (DoD) key interests, from national security, critical infrastructure, and business to health and human services. Effectively managing supply chain risks to DoD ICT will be the key to securing the Department and our nation in an ever increasingly interconnected world. The DoD supply chain is comprised of tens of thousands of small, medium, and large companies. The scale and complexity of DoD suppliers present cyber risks that can undermine the Warfighter and the DoD mission. These risks emanate from embedded vulnerabilities in software code, deliberate insertion of malicious software and hardware into the supply chain, counterfeit products and risks related to foreign influence, cybersecurity, financial stability, and other factors.

Managing supply chain risks requires coordination across a spectrum of disciplines including acquisition laws and regulations, ICT risk management, technical engineering and testing, threat intelligence information sharing, and the ability to map and illuminate downstream suppliers for awareness of foreign influence, cybersecurity, and other supply chain concerns. Additionally, a consistent and standard SCRM practices across the government and industry is necessary to address the growing supply chain risks.

FY 2020 PERFORMANCE PROGRESS UPDATE:

The DIB and SCRM CS Programs met performance measures target for FY 2020.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 1.3.3.1: The goal is to enhance and supplement the Defense Industrial Base (DIB) capabilities to safeguard DoD information that resides on or transits DIB unclassified networks or information systems, through the voluntary DIB CS Program. As the program continues to grow, the DIB CS program encourages all cleared defense contractors to participate in the voluntary program to gain insight on emerging cyber threats.

PM 1.3.3.2: The DoD Cyber Crime center produces a variety of cyber threat products for DIB CS participants. The tailored cyber threat products help participants thwart attacks, secure their networks, and improve cyber hygiene.

PM 1.3.3.3: The Department needs to update policies and practices to empower acquisition managers, procurement officers, data owners, risk managers, and system users to identify, mitigate, and continuously monitor and report ICT supply chain risks throughout the system lifecycle. A holistic set of policies should identify expectations, responsibilities, and authorities for the department. Services and Agency policies should align with Department level policies and promote synchronization between the acquisition, cybersecurity, engineering, and intelligence/counterintelligence stakeholders will enable supply chain risk management in the context of the environment, adjusting risk mitigation strategies and response based in part on the importance of the system(s) to the DoD and/or mission.

PM 1.3.3.4: Understanding threats, vulnerabilities, and likelihood of a supply chain related risk is critical to effectively minimizing risks to the Department. Multiple sources of all-source intelligence and commercially available information contribute to supplier threat and risk assessments. The SCRM Scoping and Mitigations Working Group (SMWG) assesses threat information, identifies vulnerabilities, and potential impacts of DoD operational usage, and devises appropriate mitigation plans and recommendations. DoD services and agencies leverage multiple sources of all-source intelligence and commercially available information to understand and mitigate supply chain risks based on their priorities. The Department is continually refining supply chain illumination capabilities, mitigation procedures, hardware/software assurance testing, and supply chain vulnerability assessments to optimize SCRM efforts across the Department.

PM 1.3.3.5: Facilitate SCRM Information Sharing through 1) Development of SCRM "tear-line" or similar process for reporting for classified SCRM threats to the operational acquisition and risk management communities, 2) Leveraging commercial SCRM analytic capabilities to enable unclassified risk information sharing, and 3) Implementing FASC SCRM information Sharing processes.

PM 1.3.3.6: DoD's Approved Products List (APL) is currently based on interoperability and cybersecurity testing but does not include supply chain risk management analysis. Including initial SCRM evaluations and continuous monitoring a will reduce the risk of the Department purchasing hardware or software from vendors associated with known high threat SCRM and cyber threats.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 1.3.3.1: The DIB CS Program actively engages with industry at in-person and virtual outreach events to encourage cleared defense contractors to join the voluntary program. During FY 2020, the DIB CS Program had 44 new participants join and no in-person or virtual outreach events were attended due to COVID-19.

PM 1.3.3.2: As the program continues to grow, DC3 is tailoring cyber threat products for participants, such as providing small business with information on securing their networks.

PM 1.3.3.3: Completed preparation for DoD Issuances Coordination Initiation for the DoDI 5200.44 to move the document into formal coordination. DoD is completing updates to DoDI 8100.04, DoD Unified Capabilities (UC). The process to initiate formal coordination is planned for first quarter of FY 2021.

Continued developing a SCRM best practices and guidance document describing an integrated approach to supply chain risk assessment and mitigation activities. This guidance will leverage lessons learned

across the most recent SCRM policy and facilitate incorporation of emerging guidance across government agencies.

OMB published the interim final rule to implement the requirements of the laws that govern the operation of the Federal Acquisition Security Council (FASC). DoD continues to work with OMB, CISA and other FASC member organizations to identify and prioritize high-risk suppliers, support establishment of CISA as the FASC's executive agent information sharing agency, and issue government-wide policy. Additionally, DOD is sharing processes and procedures for interagency use.

Established a Cyber SCRM Portal on SIPRNET.

PM 1.3.3.4: OUSD (A&S) and DoD CIO signed the Scoping and Mitigations Working Group Roles and Responsibilities Memo.

Continued to collaborate with the DoD SCRM-TAC on the new Request for Information (RFI) procedures.

SMWG 4th quarter activities include several packages in staffing and continued evaluation of emerging threat reports. Developing a standardized process for providing operational usage guidance based on identified risks.

Conducted an additional Supply Chain Illumination capability pilot focused on visualization techniques for complex corporate relationships and foreign influence indicators from a large data set

Enabled Supply Chain Illumination pilot capabilities for two mission critical Programs of Record.

Supported USD(I&S) and the Components with illumination and analysis in support of the Secretary of Defense SCRM tasker.

PM 1.3.3.5: The DoD requires insight into the supply chain for its Information Technology and Communications (ICT) components, which are used in virtually all DoD systems, networks, and warfighting capabilities. There is a need to tackle hard issues in understanding and sharing information about the supply chain down to technology, component, and subcomponent source and origin levels. Understanding the complex web of suppliers, and identifying sources and products of concern has proven to be complex and labor intensive. Classification level of data, proprietary tool information and legal concerns are some of the barriers for sharing timely and detailed information about suppliers necessary for operational stakeholders to make timely and actionable SCRM risk decisions and mitigations throughout the procurement process. DoD CIO is engaging with other U.S. government stakeholders, international partners, and industry in efforts to ensure cyber risk-related information is available and accessible.

PM 1.3.3.6: Continued a pilot to provide basic SCRM due diligence and continuous monitoring for 103 suppliers on the APL and initiated discussions with DoD CIO and DISA leadership on the results of the pilot and recommended follow-on activities.

IDENTIFY KNOWN RISKS:

PM 1.3.3.3: As policies move through the approval process, there is increased risk for delay due to stakeholder comments and competing priorities.

MITIGATION EFFORTS:

PM 1.3.3.3: To mitigate risks, communication with stakeholders continues to be an open dialog enabling the understanding of and ability to work through critical concerns about the policy updates.

NEXT STEPS:

PM 1.3.3.1: The DIB CS Program will continue to encourage cleared defense contractors join the program and inform industry and government about the benefits of participating. Due to COVID-19, the DIB CS Program did not participate in any in-person outreach events.

PM 1.3.3.2: The DoD Cyber Crime Center will continue to maintain the production and dissemination of tailored cyber threat products to DIB CS participants.

PM 1.3.3.3: Ensure 5200.44 hits SD-106 staffing before November 2020 and continue to monitor policy updates and engage in efforts to build a holistic set of SCRM policies.

Encourage Components to update their Supply Chain Risk Management policies.

Contribute to interagency efforts to address Cyber Supply Chain Risks through engagement in the Federal Acquisition Security Council and other efforts, as appropriate.

Refine and enhance the Cyber SCRM portal (NIPR and SIPRNET) to incorporate stakeholder feedback.

Complete the SCRM best practices and guidance document by Q4 FY 2021.

PM 1.3.3.4: Enhance outreach and access to supply chain illumination and continuous monitoring capabilities pilot and review, analyze efficacy and efficiency of these piloted capabilities, and provide an annual report.

Continue evaluation of emerging threat reports.

Continue to advance DoD CIO C-SCRM pilots.

Continue to improve knowledge management.

Conduct planning for a virtual Trusted Systems and Networks (TSN) Round Table for information sharing.

PM 1.3.3.5: Increase visibility of and access to supply chain illumination pilot capabilities and track usage.

Complete an in-progress assessment of the Supply Chain Illumination Pilot by Q1 FY 2021.

Develop and execute a strategic communications plan to provide authoritative SCRM information and educate acquisition and risk professionals of laws, policies, procedures, threats and risks.

Continue engagement with FASC to establish processes and procedures to improve information sharing with the Interagency and with industry.

PM 1.3.3.6: Coordinate with DISA to implement SCRM risk assessment into the APL process.

Engage with Interagency groups on APL methodologies employed across the federal government and the Intelligence Community.

PERFORMANCE INFORMATION GAPS:

All performance information is current and available.

CHANGED PERFORMANCE GOALS / MEASURES:

No changes and no significant changes are forecasted.

FY 2020 Summary of Results

PG 1.3.4: Accelerate DoD's Adoption & Integration of Artificial Intelligence (AI)		PG Leader: Director, Joint Artificial Intelligence Center						
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.3.4.1: Build out the Joint Artificial Intelligence Center	Target	40%	50%	60%	66%	90%		FY19: 30%
	Actual	40%	50%	60%	66%			
PM 1.3.4.2: Mission Initiative and Joint Common Foundation (JCF) Lines of Effort on schedule and within budget	Target	75%	75%	80%	80%	85%	90%	NEW
	Actual	75%	75%	77%	80%			
PM 1.3.4.3: DoD AI and JAIC engagements with industry, academia, and U.S. allies and partners	Target	Measured Annually			100%	100%		NEW
	Actual				100%			
PM 1.3.4.4: Guide the creation of strategically and militarily useful AI technologies that are secure and resilient	Target	Measured Annually			4	5	6	NEW
	Actual				6			

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FY 2020 PERFORMANCE GOAL OVERVIEW:

JAIC Mission and Priorities

The mission of the Joint Artificial Intelligence Center (JAIC) is to accelerate the adoption and integration of AI-enabled capabilities, scale the impact of AI throughout the DoD, and synchronize DoD AI activities to expand competitive military advantage. The 2018 National Defense Strategy (NDS) foresees that ongoing advances in AI "will change society and, ultimately, the character of war." To preserve and

expand our nation's military advantage and enable business reform, the Department must pursue AI applications with boldness and alacrity, while ensuring strong commitment to military ethics and AI safety.

AI is a significant administration priority. The JAIC supports a number of White House AI initiatives including: (1) implementation of Executive Order 13859: Maintaining American Leadership in AI; (2) supporting the work of the AI in Government Policy Coordination Committee and National Security Council staff work to publish a National Security Presidential Decision Memorandum on protecting American advantages in AI; (3) participating in the Office of Science and Technology-led Select Committee on AI, the AI and Machine Learning (ML) Subcommittee, and the AI Interagency Working Group of the Networking and Information Technology Research and Development Program; (4) and inputting to the National Institute of Standards and Technology strategy for shaping AI-related technical standards at the national and international levels.

AI is also a significant priority for Congress. Section 238 of the FY 2019 National Defense Authorization Act (NDAA) tasked the Secretary of Defense to designate a senior official with primary responsibilities for the coordination of activities relating to the development and demonstration of AI and ML. The Secretary of Defense designated the JAIC Director as that senior official for the Department. Section 238 also directed the Department to complete a study on past and current advances in AI and the future of the discipline, including the methods and means necessary to advance the development of the discipline, to comprehensively address the national security needs and requirements of the Department, and to submit to the Congressional defense committees a report on the findings of the designated official with respect to the completed study. The JAIC oversaw that study and presented its findings to the Deputy Secretary of Defense. The JAIC is currently implementing all of the report's strategic and tactical recommendations in coordination with all other relevant DoD AI stakeholders. Finally, Section 256 of the FY 2020 NDAA directed the Department of Defense to develop and implement a strategy for building an AI-ready workforce. This is a major undertaking for the JAIC.

AI is one of the pillars underpinning the DoD CIO's Digital Modernization Strategy, and the JAIC is chartered to be the focal point of DoD's AI strategy and to accelerate fielding of AI capabilities across the entire spectrum of DoD missions, from the tactical edge to back-office business functions. The JAIC's success is instrumental in helping the Department move from an industrial-age, hardware-centric organization to an information-age, software-centric fighting force capable of deterring peer competitors or, if deterrence fails, fighting and winning.

How the JAIC Addresses this Mission

To accelerate the adoption and integration of AI-enabled capabilities and scale the impact of AI throughout the DoD, a new, Agile management approach is required. Achieving this goal requires close coordination and synchronization among DoD Components, interagency partners, foreign allies, industry, and academia. In furtherance of these goals, the JAIC provides AI-related 1) mission coordination 2) capability delivery 3) strategic engagement and policy guidance 4) intelligence and security 5) plans and analysis 6) human capital management.

The JAIC's long-term success can be measured by the overall increase in fielded AI-enabled capabilities and AI-enabled autonomous systems across the spectrum of DoD missions, through routinize adoption and integration across the Services, Combatant Commands, and Joint Task Forces.

Barriers to Mission Success

Primary barriers and challenges to the JAIC successfully accomplishing its mission objectives include gaining stable resources (personnel and funding) through the Future Years Defense Program (FYDP), organizational barriers to strategic data management, critical AI talent acquisition and retention, an acquisition system and supporting processes built for hardware-centric procurements, willingness to embrace necessary organizational culture and process changes, and DoD's lack of experience with AI product management and integration.

FY 2020 PERFORMANCE PROGRESS UPDATE:

JAIC Overall Performance

The JAIC met all FY 2020 goals related to its operational development, the launch of Mission Initiatives (MI), and the development of the JAIC Common Foundation (JCF). JAIC efforts have been and will continue to be focused on achieving JAIC full operational capability – in terms of people, infrastructure, and governance – to support the delivery of AI-enabled capabilities across the Department at speed and at scale.

Significant Challenges

- COVID-19: The JAIC successfully met performance requirements, with only minor delays during the ongoing COVID-19 outbreak. To date, 95% of JAIC personnel have Tier-1 teleworking capabilities, and the JAIC has continued to participate in and has led vendor requests for proposals (RFPs), contract evaluator training, and international engagements. Current progress against the JAIC's mission has not been significantly altered due to these short-term challenges, but if conditions persist, the JAIC may experience delays in on-boarding new employees, developing new capabilities, and integrating as effectively as it might under normal circumstances, with mission partners.

- PERSONNEL: Due to the fact that much of the initial cadre comprising the staff was temporary, JAIC lost some time and momentum due to personnel loss and turnover. The JAIC, and the DoD more broadly, also must be prepared to tackle the Department's lack of expertise in AI/machine learning, product development and delivery, and program management. Compensation disparities with the private sector, competition with other government agencies and departments for talent, and limited opportunities for continued educational and professional development while serving in DoD, have led to difficulties recruiting and retaining civilian AI, ML, and data science experts.

- FACILITY: The JAIC outgrew its initial office space, and is expanding into a second location within the National Capital Region (NCR). Unforeseen delays and costs associated with the move, coupled with new social-distancing requirements for workforce reentry once the space is fully outfitted for reintegration have significantly challenged the staff and the associated requirements continue to impact internal resource availability for other planned work.

JAIC Internal and External Performance and Governance Reviews

In Q4, the JAIC continued refining and analyzing planned and proposed FY 2020 and FY 2021 Mission Initiatives and supporting AI projects. The JAIC continuously reviews performance of these efforts

focusing on partner integration, removing technical barriers to entry, and accelerating AI adoption. Q4 Highlights include:

- In accordance with requirements outlined in Section 238 of the FY 2019 NDAA, the JAIC Director - in his capacity as the Senior DoD AI official - hosts a quarterly 3-Star DoD AI Executive Steering Group (ESG) to synchronize JAIC and DoD AI development efforts. The virtual July ESG included 80 participants from across the Military Departments, OSD Staff, Joint Staff, and seven of the Combatant Commands. As part of the DoD AI governance structure, the JAIC hosts a monthly O-6-level DoD AI working group, consisting of 100+ members, and guides established subcommittees to address DoD AI development and integration challenges.

- In accordance with requirements outlined in Section 256 of the FY 2020 NDAA, the JAIC– in partnership with key OSD and Service partners – on the DoD AI Education Strategy and Implementation Plan delivered strategy and implementation plan in September. The strategy and supporting plan address how DoD plans to educate its service members and civilians in relevant occupational fields on matters relating to AI to include a draft curriculum. In satisfaction of requirements outlined in Section 260 of the FY 2020 NDAA, the JAIC completed its inaugural Biannual Report, which outlines JAIC mission and objectives, and comprehensively overviews progress against the mission initiatives, program, key contracts, collaborations with allies and partners, and performance metrics.

- The JAIC has developed a missions, products, and executive internal review board to select best AI products for initial development, continually review and evaluate product performance, and ensure that RDT&E resources are strategically leveraged against top mission priorities with the most promising solutions. The implementation review boards are needed because AI development often produces erroneous initial results and may require more resources, retraining, and data. These review boards ensure that product development resources are used in the most efficient manner and aligned with the partner requirements.

Product and Services Development Updates

To assist in developing JAIC operational capability during Q4, the JAIC continued building out leased spaces; increased the number of permanently assigned personnel and permanent workforce; refined its FY 2020 budget plans; addressed FY 2021-2025 finances; and honed its strategic approach to identifying and developing partnerships with AI stakeholders across DoD and the interagency, and with international partners, industry, and academia. Fourth quarter highlights include:

- The JAIC hosted the first DoD AI Symposium on September 10th and 11th. The symposium, which had over 2,000 attendees and 100 virtual exhibition booths from companies and DoD organizations, showcased DoD AI growth, investments, and principles and industries ability to integrate their capabilities into the DoD.

- The JAIC launched a new DoD acquisition and contracting model named Tradewind. Tradewind leverages an Other Transaction Authority (OTA) acquisition approach to get a 501(c) company on contract to develop an acquisition model hosted on AI.mil and available to all DoD components. It will enable more meaningful market research/front-end collaboration and will facilitate an

optimal teaming arrangement of both traditional and non-traditional companies for AI product procurement.

- The JAIC continued to advance six Department-wide mission initiatives in Q3 FY 2020: Joint Logistics (formerly, Predictive Maintenance), Threat Reduction and Protection (formerly Humanitarian Assistance & Disaster Relief), Joint Information Warfare (formerly Cyber Sensing & Cyber), Business Process Transformation (formerly Intelligent Business Automation) Joint Warfighting Operations (formerly Maneuver and Fires and Joint Warfighting), and Warfighter Health.

- JCF infrastructure development was delayed by the Joint Enterprise Defense Infrastructure (JEDI) contract work stoppage, but the JAIC identified a mitigation strategy and has built a contract vehicle to address this challenge. The JAIC worked with the Defense Information Systems Agency (DISA) to advance a multi-year prime integrator contract to build-out needed cloud computing infrastructure. The JCF Prime Integrator Services contract was awarded to Deloitte LLC on August 11, 2020 to build, secure, operate, maintain and enhance the JCF. The prime integration service will include small businesses and other non-traditional companies to build the JCF.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 1.3.4.1: JAIC Composition:

1. The Chief of Staff will oversee internal initiatives to bring JAIC to Full Operational Capability (FOC) (e.g., managing facilities, IT requirements, acquisition of contractors, and hiring of new employees);

2. The Plans, Budgeting and Acquisitions (PBA) Directorate supports JAIC planning, programming, budgeting, execution, and acquisition;

3. The Strategy and Policy Directorate oversees execution of the DoD AI strategy, captures and shares lessons learned across the Department, leads JAIC's external public communications, leads DoD in technical AI policy development, oversees DoD AI governance, and generates initiatives to influence foreign partners);

4. The Missions Directorate leads external user engagement and requirements development;

5. The Products Directorate develops, tests, evaluates, and oversees JAIC technical work, focused on scaling AI across the Department, and manages the Data Science & AI Engineering (DS&AI) Division, the Test and Evaluation Division, and the Infrastructure and Platform Division, which develops the JCF.

PM 1.3.4.2: The JAIC Infrastructure and Platform team will build the Joint Common Foundation (JCF) to accelerate the development and delivery of AI/ML capabilities to the field. The JCF will help jumpstart and scale Mission Initiatives (MIs) and use the latest state-of-the-art AI/ML tools and approaches. It will provide AI/ML developers in the DoD and its industry partners access to secure, assessed, and authorized development environments to develop and demonstrate AI/ML for MIs and, later, other DoD AI projects; support access to a common set of tools, technologies, processes, and documentation hosted on a cloud-based development environment (JEDI) where the latest state-of-the-art AI/ML, COTS/GOTS, and customized capabilities can be applied to MI data; enable integrated approaches that foster agility, rapid

AI/ML proof of concept development, and validation of the value proposition; and enable design for integration with operational systems and the tactical edge at the outset.

JAIC Mission Initiative leads work with domain experts and mission partners to identify select DoD mission areas and specific user needs, in order to create, improve, integrate, and deploy AI products into operations. This is accomplished through a systematic process that includes determining AI requirements and needs; collecting and curating data; developing initial AI capability; assessing the ethical implications of the design protocol and intended use cases; testing and evaluating initial AI capabilities; improving AI capabilities to meet warfighter requirements; deploying and testing AI capabilities in an operationally-relevant environment; integrating those capabilities into operations; and sustaining them throughout the system development lifecycle (SDLC).

PM 1.3.4.3: In FY 2020, the JAIC will continue its academic partnership on Predictive Maintenance with Carnegie Mellon University's Robotics Institute, and will continue to engage industry through the Defense Innovation Unit, where the JAIC has representation.

The JAIC engages with international partners and allies on AI strategy, national agencies on AI governance and synchronization, and elected leaders on DoD AI policy and DoD needs. The JAIC supports the National Security Commission on AI, participates in the White House Office of Science and Technology Policy (OSTP)-led AI in Government Policy Coordinating Council and the National Science and Technology Council's Subcommittee on ML/AI to support implementing the President's AI Executive Order and other relevant initiatives.

The JAIC supports and advances international partnerships, including 72 engagements in 2019, to build the foundation for AI-enabled interoperability, to bring partner technology and talent to the DoD, and to assert global U.S. leadership on AI policy, ethics, and standards. The international team laid the groundwork in 2019 for substantial partnership opportunities with the UK, France, Singapore, the Netherlands, Israel, and multilaterally within the UN, EU, and NATO.

Looking to 2021, the JAIC plans to increase engagements in the Indo-Pacific theater, lead AI policy and predictive maintenance discussions within the Vice Chairman of Joint Chief of Staff's (VCJCS) trilateral initiative with UK and France, develop NATO's AI strategy and priorities, and partner with the State Department to influence EU legislation on AI regulation by the end of the year. The international team also hosted the inaugural "AI Partnership for Defense" meeting with key international leaders in AI; and will continue work on developing the JAIC's first project agreement with Singapore and the JAIC Human Assistance & Disaster Relief team; contributing to the UK's campaign plan on AI capability development with the U.S. Navy; and partnering with the Israelis on capability development with the Joint Warfighting team.

PM 1.3.4.4: The JAIC's ability to develop expertise and influence the creation of strategically and militarily useful operational technologies is directly related to its ability to integrate DoD strategic guidance, to include the National Defense Strategy (NDS), the DoD AI Strategy, Service and Combatant Command technology requirements. For the JAIC to quickly and efficiently integrate new capabilities, the JAIC must leverage adaptive portfolio management, business intelligence, and investment techniques, AGILE software development management techniques and DevSecOps practices, and integrate lessons learned from all DoD AI development efforts.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 1.3.4.1: To achieve full operational capability, the JAIC must: fill 90% of government positions with permanent staff; ensure sufficient, permanent funding; identify and acquire safe, permanent workspace for all employees and contractors; and instantiate the necessary IT infrastructure to support the entire organization. Additionally, a fully-operational JAIC is capable of employing and scaling AI-enabled technologies across the Department, with associated JCF architecture sustained, and leveraged by non-JAIC users.

The JAIC successfully completed a realignment of personnel resources based on FY 2019 lessons learned in order to better address DoD capability delivery needs. The JCF NIPR cloud build-out is still in work, despite JEDI contract work stoppage, and mitigation measures are in place to meet current capability delivery needs. The JAIC has secured a secondary space in the National Capital Region (NCR) to meet immediate facility space concerns.

In response to the ongoing COVID-19 outbreak, the JAIC impressively adapted to the joint work environment. While there are some delays in on-boarding, the JAIC has adapted new procedures and teams to surge on building out teleworking capabilities, executing budget, and contract coordination. It is difficult to project the long-term impacts to planned or scheduled JAIC product and service development and delivery, caused by the COVID-19 outbreak. In an effort to guard against or mitigate the impact of uncontrollable development/delivery delays, the JAIC worked diligently to strategically balance FY 2020 requirements and budgets across its directorates, examine incremental funding decisions to maintain operations, and strategically postured the JAIC to minimize impact.

PM 1.3.4.2:

- All Mission Initiatives have detailed product development plans, laying out production schedules, initial cost estimates, metrics, initial testing plans, and transition partnerships for all ongoing FY 2020 and FY 2021 planned AI development products and capabilities. For specific MIs and lines of effort, please reference FY 2020 NDAA Section 260 Report, filed in June 2020.

- During the ongoing COVID-19 crisis, the JAIC Mission team initiated Project SALUS to support USNORTHCOM, National Guard Bureau, and other USG requirements. This project aims to integrate commercial vendors and develop AI/ML-enabled projection models to support time-critical supply and personnel requirement predictions and aid in resource allocation planning and decision-making. Project SALUS (PS) officially entered Phase 2 on 1 July and is managed by the Joint Warfighting Operations team. The PS team continued to pursue cost-sharing arrangements and are working with NORTHCOM and others to fund the continuation of SALUS predictive analytics. The team also led the development and deployment of predictive models to forecast virus progression, geographical resurgence, and critical food shortage in support of USNORTHCOM's and National Guard Bureau's COVID-19 response.

- The JAIC's Threat Reduction and Protection (TRP) mission team deployed the fire perimeter model to the Hap Arnold Innovation Center at March Field, CA to perform User Interface / User Experience (UI/UX) integration and user testing with intelligence analysts and CAL FIRE operations leaders. During testing, intelligence analysts and firefighters will test automation

viability, workflow speeds, and accuracy of the AI-created maps through the mobile Tactical Assault Kit (TAK) and desktop Guardian interfaces.

- The JAIC's Joint Logistics team fielded the Engine Health Model (EHM) to the 160th Special Operations Aviation Regiment at Fort Campbell, KY. The model uses engine sensor data to predict the probability of an engine hot start and has attained initial operating capability.

- The Aviation Maintenance Sustainment Office and its Digital Integrated Maintenance Environment (AMSO-DIME) at the 160th Special Operations Aviation Regiment have now packaged the AI model within a laptop titled the MaTE (maintenance at the edge) kit. These AI advancements have extended not only in CONUS, but also include two OCONUS locations.

- The JAIC's Warfighter Health team, working with the Defense Innovation Unit (DIU) purchased and set for installation two augmented reality microscopes (ARM). These ARMs and the accompanying AI vision algorithm could allow for faster detection and treatment of various cancers. Faster detection and treatment helps reduce costs, and cancer treatment is the fastest growing treatment cost for the Defense Health Agency (DHA).

- The JAIC's Business Process Transformation mission team, as part of its Human less Unmatched Transactions (HUnT) Product Line, and the Defense Innovation Unit awarded contracts to two vendors, Vertosoft and Summit2Sea. Each vendor will complete Intelligent Automation prototypes to resolve financial errors for the Deputy Assistant Secretary of the Army for Financial Operations and Information (DASA-FOI) and OSD Comptroller. Phase 2 funding to transition the models into production is awarded based on the vendor's success in Phase 1. The expedited DIU competitive process took approximately 4 months from solicitation to award.

- The team's policy, legal analytics, and mapping tool (GAMECHANGER) has been in alpha testing for four months, growing to over 350 users and more than four thousand unique queries.

- The JAIC's Joint Warfighting Operations (JWO) Smart Sensor team completed the Smart Sensor Phase Zero test of the Smart Sensor brain (onboard/edge processor) at Hagerstown Regional Airport 21 September. This test included cross-cueing of the sensor through the brain. This test is the first major milestone for reaching Phase One testing in February 2021 at Advance Battle Management System (ABMS) exercise 4.

- The team's Gargoyle project has developed a low-altitude, full motion video data pipeline for Joint Force use and began operationally testing its weapon detector components in September.

- The JAIC's Data Science & AI Engineering (DS&AI) team and its Acquisitions team finalized a draft Request for Information (RFI) from commercial industry, academia, non-profit organizations, and other entities for the purposes of: 1) enabling the Government to form and improve the requirements for a decentralized data readiness multiple award contract (MAC), and solicit industry best ideas to promote flexibility, efficiency, and innovation in AI work; and 2) exploring unique and innovative approaches to improve DoD data readiness in order to maximize outreach and collaboration with the Nation's industry leaders in AI. In order for the JAIC to transform the DoD through AI, the DoD must improve its data readiness.

- The JAIC's Test and Evaluation (T&E) team completed the first quantitative technical evaluation of the TRP Fire Perimeter Mission Initiative (MI).

PM 1.3.4.3:

NATO: The JAIC represented the United States at a NATO-hosted virtual Working Group focused on implementing AI. AI is a top priority technology area for NATO's Emerging Technology Roadmap. NATO convened representatives from all Alliance countries together with speakers from academia and industry to discuss challenges and opportunities for AI adoption. Topics included a variety of AI projects and policy issues, focusing on implementation of AI ethical principles. The JAIC briefed 122 international representatives on its efforts to implement DoD's AI strategy, drive AI adoption at scale, and plans and actions to implement the Department's AI ethical principles.

Interagency: Multiple representatives from the JAIC participated in the 200-person joint Intelligence Community (IC) Augmenting Intelligence with Machines (AIM)/JAIC annual summit. Presentations focused on AI maturity models, AI Ethical Principles/Responsible AI, strategic human capital, and current challenges in Test & Evaluation.

Additionally, the JAIC published "AI Technology in Plain English," a DoD guide on AI terminology and standardization.

P3: The JAIC participated in the Vice Chairman of the Joint Chiefs of Staff (VCJCS) P3 trilateral initiative with the United Kingdom and France. This program looks to develop a plan to advance AI policy coordination. Under this umbrella, the JAIC is producing a discussion paper to focus the conversation on AI ethics, counter-China, and data sharing issues.

AI Partnership for Defense: After a short hiatus, the team is revamping its AI Partnership for Defense concept. Now that the AI symposium has moved to a virtual platform, it is exploring the feasibility of a small-scale, high-impact event with select foreign partners as a private break-out session. The team is currently drafting a new agenda and has initiated coordination with JS J6 about invitees to ensure it is prioritizing partners of interest to the CCMDs.

Pacific Posture: As the International team continues efforts with Singapore and pursues a deeper relationship with Australia, the JAIC has initiated conversations with USINDOPACOM directly to ensure its efforts are a force multiplier for the CCMD. The team anticipates working with the Joint Staff and relevant CCMD leads to lay the groundwork for future bilateral conversations with Australia, focused on prioritized avenues of cooperation.

Public: One month after adoption of the DoD AI Ethical Principles, the JAIC published a blog post on https://www.ai.mil/blog.html that describes how the JAIC is moving towards implementation of the principles. Specifically, the post highlighted efforts including initiating a Responsible AI Subcommittee, kicking-off JAIC's Responsible AI Champions Pilot Program, and incorporating the principles into a recent Joint Warfighting RFP, all of which are focused on, or underpinned by, how to operationalize the DoD AI Ethics Principles within the DoD and in the acquisition process.

Academic Engagement: The JAIC is nearing finalization of its Academic Engagement Strategy to establish and implement the processes, procedures, and programs necessary to cultivate meaningful relationships with academic institutions. Academic institutions are one of the most important strategic resources that

the JAIC has engaged with as part of executing the DoD AI Strategy. The work under exploration and development in public/private university research laboratories and classrooms represent a wealth of resources, talent, knowledge, and infrastructure that is available to be leveraged for the benefit of the JAIC and the Department's pursuit of delivering AI-enabled solutions. As a result, the JAIC established the following four overarching strategic objectives for JAIC partnerships with Academia, to include: Thought Leadership in AI; Product Development; Workforce Development, Training, and Education; Recruitment Pipeline.

The JAIC's engagement with Academia for the purpose of developing thought leadership capabilities in AI has directly enabled the following benefits for the DoD: streamlined access to research breakthroughs; opportunities for knowledge transfer; sharing of emerging AI technologies; AI engineering best practices; and reach-back support for technical evaluations of AI capabilities. In addition to engaging Academia in the pursuit of Thought Leadership in AI, the JAIC has engaged with academic institutions on product development while an idea is still in the early stages of maturation; this has enabled the JAIC to influence the productization and transition pathway of the technology, while helping mitigate technical risks involved at early stages of problem/solution framing, data discovery and prototyping as part of AI product lead maturation. Workforce development, training, and education in the emergent fields of AI strategy, technology, acquisition and supporting disciplines have been paramount for the achievement of the JAIC's strategic vision to deliver AI at scale across the Department. The JAIC has leveraged relationships with Academia beyond Thought Leadership in AI and Product Development alone to enable the cultivation of a robust AI workforce. Finally, to enable effective recruitment of AI talent, the JAIC has led the development of these pipelines through a series of partnerships with key academic institutions. In the absence of this type of engagement, the JAIC would be at a disadvantage in the targeted recruitment and hiring of new personnel with critical AI related skillsets who are currently highly coveted in the private sector job market.

In order to operationalize its Academic Engagement Strategy, the JAIC established seven distinct pathways of engagement to enable implementation. These engagement pathways with Academia include: direct strategic partnerships; government-university-industry partnerships; university-affiliated research centers (UARCs); consortia; federal government agencies; DoD research and development organizations; and DoD-affiliated graduate institutions and service academies. Leveraging these pathways throughout 2020, the JAIC initiated numerous academic engagement activities to work towards achieving the stated strategic objectives. For example, the JAIC partnered with the National Security Innovation Network (NSIN) via participation in their Hacking for Defense program to collaborate with talented, interdisciplinary student teams (e.g., Stanford University) to develop innovation solutions to several of the JAIC's use cases (e.g., developing AI to draw facility boundaries around no-strike facilities). Further, the JAIC partnered with NSIN by serving as a placement host in support of their Technology and National Security Fellowship (TNSF) program, which is an opportunity for technologists and entrepreneurs to serve their country by embedding with key decision makers at the top levels of the U.S. government to provide advice and emerging expertise for issues at the critical intersection of national security and technology. The TNSF Fellow is supporting several ongoing JAIC activities with a particular focus on developing a market intelligence framework for collecting, mining, analyzing and assessing information relevant to the JAIC market for AI and other emerging technologies to uncover market trends that can be monitored, gathered

and analyzed specifically for the purpose of accurate and confident decision-making in determining the JAIC's focus in areas such as market opportunity, penetration, and development.

As another academic engagement initiative, the JAIC partnered directly with Stanford University's Center for AI in Medicine and Imaging (AIMI) in support of JAIC product development efforts pertaining to two medical imagery products. Further, the JAIC partnered with several UARCs on several of the JAIC's 30+ AI products in the funnel, such as the Georgia Tech Research Institute (Georgia Institute of Technology) and the Johns Hopkins University Applied Physics Laboratory. In addition to partnering with UARCs, the JAIC has also established relationships with several federally funded research and development centers (FFRDCs) for both product development and for collaboration on other activities related to AI technical policy, ethics, and governance. For instance, the JAIC partnered with the Carnegie Melon University Software Engineering Institute (CMU SEI) to develop and execute the JAIC's Responsible AI Pilot Program delivered in May-June 2020. Further, the JAIC has engaged in several AI thought leadership opportunities with FFRDCs, such as in AI engineering and assured AI systems with CMU SEI and Massachusetts Institute of Technology Lincoln Laboratory.

Another noteworthy activity included the JAIC's establishment of the Service Academy AI Community of Interest (CoI) and the DoD-Affiliated Graduate Institution AI CoI to facilitate academic engagement for the exchange of best practices and lessons learned in AI pedagogy, curriculum, projects, and promotion of AI innovation to accelerate its adoption. These ongoing CoI groups aim to simultaneously affect the rapid advancement of technology, strategy, doctrine, policy and tactics that will ultimately shape the future of military capabilities and their long-term impact on mission outcomes. The Service Academy AI CoI connects the JAIC with faculty/cadets/midshipmen from the U.S. Military Academy, U.S. Air Force Academy, U.S. Naval Academy, and U.S. Coast Guard Academy to discuss opportunities for development in AI, expose DoD AI challenges and use cases, and foster a ready AI workforce. The DoD-Affiliated Graduate Institute AI CoI connects the JAIC with faculty/students from the Army War College, Naval War College, Air War College, National Defense University, National Intelligence University, Joint Special Operations University, Defense Acquisition University (DAU), Naval Postgraduate School (NPS), and Air Force Institute of Technology (AFIT) to collaborate on AI curriculum development and discuss emerging AI and AI-related technologies. For both AI CoIs, future JAIC activities include the facilitation of applied AI projects, competitions and internships supporting DoD use cases, the sharing of AI education and training materials, and proposing new ideas for AI research and development efforts. For example, to help scale workforce development, education and training across the DoD, the JAIC partnered with AFIT to develop an AI Hub on their digital training platform (Avolve) to host its BrAIn Camp and Approachable AI Seminar training materials for DoD-wide use. In addition, to support pilot implementation of the DoD AI Education Strategy, the JAIC partnered with both DAU and NPS to facilitate execution of AI product management training to 80+ personnel across the DoD and Services.

R&D Coordination: The JAIC completed the development of its Research & Development (R&D) Coordination Plan with two main objectives: (1) facilitate partnerships for the technical evaluation, knowledge transfer, and sharing of emerging AI technologies, AI research breakthroughs, and AI engineering best practices with the DoD, Services and Intelligence Community (IC); and (2) synchronize AI R&D efforts across the DoD/Services/IC enterprise to determine which current AI projects are ready for transition into the JAIC AI product supply funnel for subsequent accelerated development,

testing/evaluation and delivery. Part of this plan includes building a collaborative network with those personnel leading AI-focused R&D portfolios, programs, projects across the DoD/Services/IC enterprise to gain situational awareness of the current and future AI R&D efforts (technical details, technology readiness levels, timelines, etc.). As a method of execution, the JAIC conducts regularly occurring AI R&D coordination meetings with the Office of the Undersecretary of Defense (Research & Engineering), U.S. Army Research Laboratory, U.S. Air Force Research Laboratory, U.S. Naval Research Laboratory, U.S. Coast Guard R&D Center, Defense Advanced Research Projects Agency, Defense Innovation Unit, Defense Digital Service, Defense Threat Reduction Agency, Strategic Capabilities Office, National Geospatial Intelligence Agency, Defense Intelligence Agency, Intelligence Advanced Research Projects Agency, U.S. Army AI Task Force, U.S. Navy Digital Transformation Office, and U.S. Air Force AI Accelerator.

Another method of execution includes participation in the subcommittees of the DoD AI Working Group, the DoD/IC Adversarial AI Working Group, and other DoD/Services/IC AI-related R&D working groups, communities of practice, and CoI opportunities for other AI R&D coordination.

Market Intelligence: The JAIC initiated development of its Market Intelligence Strategy, with the focus of implementation to arm the JAIC with a repeatable, systematic process for defining, identifying and tracking market information as it applies to the JAIC's mission and the broader DoD community. In conjunction with the JAIC Academic Engagement Strategy, the JAIC R&D Coordination Plan, and the JAIC Industry Engagement Strategy, this strategy will develop a scalable framework for collecting, mining and analyzing information relevant to the JAIC's market for AI and other emerging technologies. The operationalization of this framework can be used to assess current and future AI and AI-enabling technologies for availability, maturity and readiness, as well as help uncover market trends that can be monitored, gathered and analyzed specifically for the purpose of accurate and confident decision-making in determining the JAIC's strategy in areas such as market opportunity, market penetration strategy, and market development.

PM 1.3.4.4: The JAIC focused on three primary tasks related to guiding the creation of strategically and militarily useful technologies in FY 2020: product development plans and schedule, DoD AI Governance, and national partner integration.

Multiple JAIC teams participated in the newly established Adversarial AI Working Group (A2IWG) in partnership with other DoD Components, Service Components and the Intelligence Community. The A2IWG is in the process of drafting and finalizing its official charter, as well as continuing its outreach efforts to solicit greater membership.

The JAIC is partnering with OUSD(R&E) on DevOps for resilient AI engineering, which entails creating system models and introducing them into a model-driven software engineering framework. This includes data labeling and AI model training as part of an automated model-driven software architecture, the modeling of cloud and embedded data-driven processes, and automating the refactoring of information services. Future steps entail working through the details of integrating Cornerstone, an AI-enabled capability for biological materials assessment for counter weapons of mass destruction, into the JAIC Joint Common Foundation.

A cross-functional JAIC team met multiple times with key NSCAI staff to help them formulate several big concepts in furtherance of Commission recommendations to optimize AI R&D across the DoD.

Specifically, the team discussed the concepts of a DoD Data Catalog, DoD AI Model Catalog, a DoD AI Software Repository, and a DoD AI Virtual Test Range. The JAIC provided Commission staff information about its ongoing efforts relevant to these concepts, particularly highlighting work with the Joint Common Foundation, work with Cloud One / Platform One for Development Security Artificial Intelligence Operations (DevSecAIOps) pipeline development, work with TRMC related to the use of AI test harnesses as part of AI product development, and the JAIC's partnership with the CIO's new Office of the Chief Data Officer.

The JAIC engaged with National Security Commission on Artificial Intelligence (NSCAI) staff concerning its proposed recommendations on AI Business Applications. Discussions centered on a range of issues facing DOD agencies seeking to implement standard commercial AI business applications, including Authority to Operate/Information Technology (ATO/IT) issues and acquisition challenges. As many of these issues are being raised and addressed within the JAIC-led Intelligent Automation (IA) Subcommittee work, the team invited the NSCAI lead staffer to participate on the subcommittee.

Based on repeated, successful staff engagements, the JAIC Director of T&E was invited to brief the NSCAI Commissioners, which includes senior industry IT leaders, leads the Commission's research-focused Line of Efforts, and considers recommendations to address some of the key challenges facing the research enterprise's ability to accelerate AI research, development and transition. This offered the JAIC the opportunity to provide organizational views on the Department's efforts to test infrastructure to support the development of AI and autonomy capabilities, as well as a vision for where it should be moving to establish necessary test bed resources.

As lead coordinator for oversight and implementation of the DoD AI Ethics Principles, the JAIC continues to operationalize these principles for the DoD through policy research, governance, and workforce pilots. The adoption of these principles demonstrate DoD's leadership on AI nationally and globally. Following the Department's formal adoption of the principles in February, the JAIC-led Responsible Use of AI Subcommittee held meetings to start creating an operational framework for the AI Ethical Principles that will inform a DoD policy recommendation. The subcommittee's work also includes a review of the Defense Innovation Board & RAND recommendations found in their respective 2019 reports and feedback to OSD Policy's "handbook" to DoDD 3000.09, "Autonomy in Weapon Systems". The subcommittee comprises a cross-functional group of subject matter experts and includes representatives from R&E, T&E, OSD Policy, OGC, Service-level JAGs, and the Defense Advanced Research Projects Agency (DARPA). Further, the JAIC participates in the White House AI in Government Policy Coordinating Council to formalize ethical principles for non-defense and non-intelligence applications. These draft principles align with DoD's AI Ethical Principles and expect formal staffing by OMB this fall.

IDENTIFY KNOWN RISKS:

PM 1.3.4.1: The two biggest risks to the JAIC's ability to achieve FOC stem from challenges quickly hiring people with the requisite AI and software product management skills critical for capability delivery, and from delays in the JCF caused by the JEDI contract ordered work stoppage. Additional risks include delays and unforeseen costs associated with the requisite additional facility space to support and retain the growing workforce, continued challenges to building the JCF infrastructure, governing and executing a growing budget, and meeting the full complement of FY 2019 NDAA Section 238 requirements.

To date, the JAIC has experienced only minor setbacks in capability delivery due to the ongoing COVID-19 outbreak. If conditions persist, however, the JAIC may experience delays in on-boarding new employees, developing new capabilities, and integrating with mission partners, compounding overall risk to achieving FOC. As part of its strategic plan, the JAIC hosted a virtual DoD AI symposium on 9-10 September with 2,000+ participants. This event supported recruitment, operational integration, and showcased the JAIC's operational capability.

The JAIC is challenged to expeditiously and efficiently acquire and enable or support the acquisition of AI products and services for DoD, due to its lack of an independent contracting authority. To address this challenge, the JAIC has been aggressively working with a number of contracting offices throughout the DoD and federal government and has begun to explore innovative solutions designed to scale ability and reduce cost and schedule; however, as the JAIC is set to exercise a larger budget over the FYDP, an independent JAIC contracting authority is still needed.

PM 1.3.4.2: Primary risks include delays in the JCF build out caused by the ordered JEDI contract work stoppage, a lack of AI specialists within the DoD, and data readiness levels on DoD AI projects. Risks to the MIs include insufficient AI specialty across DoD, the lack of a centralized contracting and budgeting office within the JAIC, and the lack of access to required datasets.

PM 1.3.4.3: To date, the JAIC has experienced only minor setbacks in engagements with industry, academia, and U.S. allies and partners due to the ongoing COVID-19 outbreak. If conditions persist, however, the JAIC may experience delays in engagements, stalling partnerships, and slowing the JAIC's momentum.

PM 1.3.4.4: Guiding the creation of strategically and militarily useful capabilities is more ambitious, and less intuitively measurable than researching and developing prototype AI and ML capabilities. Primary difficulties and risks identified by previous services and RDT&E efforts include: data readiness and stewardship, adequate infrastructure to support operationally-relevant timelines, availability of specific operational requirements, and availability of algorithmic and operational testing to ensure performance meets requirements.

Additionally, the JAIC recognizes that integrating new technologies requires cultural change and ethical acceptance of these technologies within military operations – achievement of both of require significant time, education, and supporting resources.

MITIGATION EFFORTS:

PM 1.3.4.1: Personnel Risk Mitigation: The JAIC is exploring both mitigation strategies and developing a comprehensive staffing pilot program in FY21. This program will look to enable enhanced pay authority for strategically-placed AI and ML positions across the Services and OSD components. The JAIC will submit this proposal as a future date.

Space-Related Risk Mitigation: The JAIC prepared to start moving some personnel positions to the new Suffolk Building in Falls Church to complement existing JAIC workspaces in Crystal City. The secondary facility is sufficient to accommodate the JAIC's continued expansion during 2020, and will serve as a good interim solution pending completion of the long-term plan for a permanent, consolidated JAIC facility.

Additionally, a final Economic Analysis report was submitted to Washington Headquarters Services in support of the JAIC's Major Land Acquisition Waiver (MLAW). This request should accommodate the JAIC's rapid growth to 314 personnel by 2021, eventually providing a single facility to accommodate the entire JAIC organization, at all classification levels.

PM 1.3.4.2: The JAIC completed an organizational realignment based on FY 2019 lessons learned, to maximize JAIC performance, and to optimize placement and utilization of newly-assigned billets. The JAIC has initiated a project development framework to include data and AI-organizational readiness. The JAIC is aggressively pursuing acquisition and contracting partnerships to support rapid, agile contracting actions while building internal contracting capability. The JCF is moving forward with DoD cloud approved clouds (Amazon Web Services (AWS) GovCloud and Microsoft Azure Government Clouds) and posturing for rapid mitigation as needed.

PM 1.3.4.3: To meet challenges in staffing the JAIC, mitigation efforts include hiring a strategic recruiter and heavily leveraging Cyber Excepted Service-related hiring authorities and programs. The JAIC will also leverage other contracting offices, including DISA's Defense Information Technology Contracting Organization (DITCO).

The JAIC will continue to leverage teleworking and virtual meeting capabilities to support DoD AI and the JAIC's engagements with industry, academia, and U.S. allies and partners.

PM 1.3.4.4: The JAIC addresses the identified risks through the DoD AI ESG, the DoD AI Working Group (WG), and identified subcommittees. The subcommittees focus, on technical standards, human-machine teaming, and workforce development. The subcommittees are designed to identify and codify best practices in furtherance of solutions to DoD AI problems that are presented for decision at the DoD AI ESG.

The AI governance process is aimed at identifying and eliminating policy/process/people barriers to AI adoption. The JAIC will propose both policy changes and legislative reforms to accelerate AI adoption. The JCF will eliminate technical barriers to AI development.

OSD Policy is developing a "handbook" to accompany DoD Directive 3009.09 Autonomy in Weapon Systems, on how DoD components should prepare and submit autonomous weapon system projects for approval. This quarter, the JAIC returned its consolidated point of view and feedback to OSD(P) for consideration.

NEXT STEPS:

PM 1.3.4.1: Current JAIC efforts are focused on identifying and hiring the best qualified people to fill its permanent civilian and military billets; in-processing remaining detailed personnel; improving both the JAIC's NCR offices; reviewing FY21 planning and programming; continuing strategic engagements with international partners on AI strategy and the ethical use of AI; designing and implementing a business intelligence and market research strategy; fulfilling FY19 NDAA Section 238 tasks by developing an AI governance structure and building DoD AI communities of interest and FY20 NDAA Section 256 tasks on DoD AI education, leveraging expert consultant capabilities, and advancing its products pipeline by transitioning initial prototype capabilities and identifying new leads for the portfolio funnel.

As the JAIC closes out Q4 of FY20, the focus is on documenting and prioritizing FY21 efforts. The team is working to document option year costs expected in FY21 for continuing contracts and identifying staff support contracts. The end result is a cohesive JAIC-wide plan for FY21 spending.

PM 1.3.4.2: JCF and the JAIC's Mission Initiatives will continue product development and deployment. Next steps include 1) Building Product Delivery Pipeline models based on FY 2019 and FY 2020 lessons learned; 2) Updating the FY 2021 JAIC Cost Model and Spend Plan based on new Product Delivery Models; and 3) Securing transition partnerships for primary lines of effort.

PM 1.3.4.3: The JAIC will continue efforts to engage with international partners and allies on AI strategy, national agencies on AI governance and synchronization, and elected leaders on DoD AI policy and DoD needs. The JAIC will support the contract award of JCF and Joint Warfighter prime integrator contracts.

PM 1.3.4.4: The JAIC will report on FY 2021 development plans, to include transition partners, production schedules, and performance metrics directly aligned with the NDS and military requirements.

PERFORMANCE INFORMATION GAPS:

All performance information is current and available.

CHANGE PERFORMACE GOALS / MEASURES:

No changes and no significant changes are forecasted.

FY 2020 Summary of Results

<table>
<tr><td colspan="2">PG 1.3.5: Award of Joint Enterprise Defense Infrastructure (JEDI) Cloud Contract</td><td colspan="7">PG Leader: Deputy CIO for Information Enterprise (DCIO IE)</td></tr>
<tr><td colspan="2">Performance Measure</td><td>Q1 2020</td><td>Q2 2020</td><td>Q3 2020</td><td>Q4 2020</td><td>FY 2021</td><td>FY 2022</td><td>Prior Year Results</td></tr>
<tr><td rowspan="2">PM 1.3.5.1: *Award of JEDI Cloud Contract</td><td>Target</td><td>N/A</td><td>N/A</td><td>N/A</td><td>N/A</td><td rowspan="2">N/A</td><td rowspan="2">N/A</td><td rowspan="2">FY19: 0%</td></tr>
<tr><td>Actual</td><td>N/A</td><td>N/A</td><td>N/A</td><td>N/A</td></tr>
<tr><td colspan="9">* Award being made yet does not account for protests

Note: N/A. The contract was awarded to Microsoft on October 25, 2019, but a Court of Federal Claims (COFC) imposed Preliminary Injunction subsequent to a post-award protest from Amazon Web Services (AWS) has halted performance of contract activities.</td></tr>
</table>

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

The Deputy Secretary of Defense established an enterprise cloud initiative to competitively acquire the JEDI Cloud. The JEDI Cloud is purposed to be the DoD's pathfinder, general purpose enterprise-wide cloud, which will fill specific gaps in the DoD's cloud ecosystem. JEDI Cloud will provide a full range of commercial cloud computing capabilities, at all three classification levels, from the home front to the tactical edge. JEDI will allow DoD to take advantage of economies of scale, ensure superiority through data aggregation and analysis, and lay the foundational technology for artificial intelligence and machine learning.

The Request for Proposal (RFP) was released on July 26, 2018 with bids received on October 12, 2018. The contract was awarded to Microsoft on October 25, 2019, but a Court of Federal Claims (COFC) imposed Preliminary Injunction subsequent to a post-award protest from Amazon Web Services (AWS) has halted performance of contract activities. Furthermore, on April 17, 2020, the COFC Judge granted the Government's Motion for a Voluntary Remand, which allowed the DoD to amend the solicitation, receive limited but revised proposals from bidders within the competitive range, conduct a re-evaluation, and issue a new award decision. Upon conclusion of the re-evaluation, the Department, on September 4, 2020, reaffirmed its award to Microsoft.

FY 2020 PERFORMANCE PROGRESS UPDATE: N/A

FY 2020 PERFORMANCE MEASURE OVERVIEW: N/A

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE: N/A

IDENTIFY KNOWN RISKS: N/A

MITIGATION EFFORTS: N/A

NEXT STEPS: N/A

PERFORMANCE INFORMATION GAPS: N/A

CHANGE PERFORMANCE GOALS / MEASURES:

On February 13, 2020, the Court of Federal Claims issued a preliminary injunction prohibiting the Government from moving forward with substantive work under the JEDI Cloud contract. This means that work moving early adopters and other DoD missions into the JEDI Cloud will be delayed until the litigation is resolved.

On April 17, 2020, the Court of Federal Claims granted the Government's Motion for Voluntary Remand and ordered the Government to issue a new award decision within 120 days of the date of the Order. On September 4, 2020, the Department completed its comprehensive re-evaluation of the JEDI Cloud proposals and reaffirmed its award to Microsoft.

FY 2020 Summary of Results

PG 1.3.6: Evolve to 5G						PG Leader: USD(R&E) and Deputy CIO for Command, Control, & Communications (DCIO C3)		
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2021**	**Prior Year Results**
PM 1.3.6.1: Evaluate Pilot results	Target	Identify initial pilot locations and use cases	Release Pilot Requests for Proposal (RFPs)	Evaluate RFP Responses	Award Pilot Contracts	TBD after contracts awarded and Pilots begin	Pilot success measurement	First Tranche of pilots with specific use cases awarded at selected locations
	Actual	4 locations and use cases ID'd	4 RPPs issued for initial pilot locations and use cases	Submissions received for RPPs. Evaluation ongoing	Selections were determined but officially announced on 8 Oct			

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

This performance goal measures DoD's evolution to 5G wireless capability through the execution of early adoption pilot projects. In response to the President's commitment to making America first in 5G wireless technology, DoD is actively supporting the National Security Council's established goal to improve America's digital infrastructure by deploying nationwide secure 5G Internet.

Communications networks have become fundamental to how the U.S. wages war, providing our forces with information to make decisions, communicate decisions to other warfighters, and direct our weapons.

Commercial, strategic, and tactical networks now share a common technology base that is increasingly threatened by peer adversaries who are subsidizing their commercial entities to gain military, intelligence, and economic advantages. This new arena for great power competition is 5G, which is a suite of transformational communications technologies that will enable truly ubiquitous connectivity, providing human-to-human, machine-to-machine, and human-to-machine connectivity at scales not possible before. To ensure that the DoD can continue to effectively operate anywhere and anytime, the DoD must begin now to address the spectrum, standards and security challenges that 5G presents, while simultaneously collaborating with the private sector to accelerate 5G innovation, so that the DoD can rapidly take full advantage of its capabilities. USD(R&E) and DoD CIO have identified the following as priorities:

- Establish relationships with 5G domestic and international standards bodies
- Spectrum modernization initiatives
- Streamline the DoD's adoption of 5G technology by providing at-scale test facilities that enable rapid experimentation and dual-use application prototyping

FY 2020 PERFORMANCE PROGRESS UPDATE:

The DoD 5G Strategy was approved by the Secretary of Defense on May 2, 2020. This strategy provides the DoD approach to implementing the National Strategy to Secure 5G and aligns with the National Defense Authorization Act for FY 2020, Section 254. In Q4, the Department completed the final draft of the DoD 5G Strategy implementation plan that will provide a roadmap for addressing the technology, security, standards, policy, and partnering aspects of how DoD can use and advance 5G networks and applications.

Significant progress was achieved in Q4 FY 2020 across all three, priority areas:

5G to Next G experimentation/pilots work continued in Q4. Award selections were made for 5G experimentation and testing at five DoD installations in Q4, but were not officially announced until October 8, 2020 due to COVID-19 delays as well as extensive legal review. The test sites include the four Tranche 1 locations: Hill Air Force Base, UT (Dynamic Spectrum Utilization); Joint Base Lewis-McChord, WA (AR/VR Training); Marine Corps Logistics Base Albany, GA (5G Smart Warehousing - Vehicular); Naval Base San Diego, CA (5G Smart Warehousing – Trans-shipment); and the Tranche 1.5 site: Nellis Air Force Base, Las Vegas, NV (Distributed Command and Control).

Due to COVID-19, 5G standards development has been impacted and standards organizations have been forced to move their meetings online, which has created additional challenges. The DoD Standards Cross-Department Team (CDT) participated in a number of Standard meetings in Q4 and is participating in preparations for the International Telecommunications Union (ITU) World Telecommunication Standardization Assembly, which has been delayed until at least Q2 FY 2021 due to COVID-19. Standards accomplishments in Q4 include:

- The DoD Standards Engagement Plan was published on August 27, 2020 and established the objectives, focus areas and structure for productive relationships that strengthen U.S. influence in key standards-setting organizations.
- The DoD Cross-Department Team submitted two 5G security contributions to the international standards organization, Third Generation Partnership Project (3GPP). Both contributions, with

minor modifications, were approved. This was the result of a four-month effort by the DoD 5G Standards CDT Security group. The contributions went through extensive peer-review by members of DoD 5G Standards CDT Security group and were endorsed by the Department of Justice, National Institute for Standards and Technology and Department of Homeland Security (DHS), as well as a number of members of industry. These two joint contributions proposed certificate-based solutions to mitigate known threats before and during the primary user authentication process in a 5G-standalone (SA) network. The solutions are designed to mitigate the risks for a user device to be exploited, denied of service, identified, or tracked by a false (or rogue) base station.

- DoD joined the Alliance for Telecommunications Industry Solutions (ATIS) Non-Terrestrial Networking and Unmanned Aerial Vehicle Working Groups and began participation in the Open Radio Access Network Alliance.

- A draft industry standard for 5G supply chain assurance is under development by the ATIS 5G Supply Chain Working Group. DoD is leading the use case scenario and requirements development activities.

DoD continues to be very involved in working with the Federal Communications Commission, as well as other appropriate organizations with regards to spectrum sharing in all bands. In addition to the spectrum-sharing activities that will be accomplished at Hill AFB, UT as part of Tranche I, the newly announced pilots in Tranche II will evaluate bi-directional spectrum sharing, both in DoD and the commercial sector at Tinker Air Force Base, OK.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

Selections were made in Q4, but not officially announced until 8 Oct due to delays caused by COVID-19 and extensive legal reviews. 5G standards participation and standards submission/approval exceeded initial forecast for Q4.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

COVID-19 restrictions and extensive legal reviews delayed the official announcement Tranche 1 Pilot contract awards. All awards were officially announced on Oct 8, 2020. As a result of lessons learned from Tranche 1 and 1.5, the Department will issue Request for Prototype Proposals (RPPs) for Tranche II locations from two organizations acting as Other Transaction Authority (OTA); the Information Warfare Research Project (IWRP) Prototype Consortium as well as the National Spectrum Consortium (NSC).

Progress was achieved in supporting 5G standards development during Q4 FY 2020. DoD submitted two 5G security contributions to the international 5G standards organization, 3GPP. Both contributions, with minor modifications, were approved. That said, the COVID-19 pandemic forced standards organizations to move all meetings to an online forum, which has caused significant schedule delays. New 5G standard releases have been either reduced in scope or moved to a later date. Members from the 5G CDT participated in virtual 3GPP plenary sessions and other meetings.

DoD worked with other federal agencies (FAA, DHS) to support the selection of low-band spectrum (1300-1350) MHz) for 5G usage in the future via the Spectrum Efficient National Surveillance Radar (SENSR) program. The program represents an interagency effort to consolidate various government long-range surveillance radar needs into a singular system that incorporates new technology that will allow the band

to be open for 5G access. A SENSR DoD Execution Plan was initiated to assist with the implementation and identify key milestones for completion. It is in formal coordination and expected to be completed in Q4 FY 2020. In support of the White House-led American Mid-band Initiative (AMBIT) effort, DoD determined that 100 MHz of contiguous spectrum in the 3550-3450 MHz band for the lower 48 states was possible, given the provisions for certain reservations defined as Cooperative Planning Areas (CPA) and Periodic Use Areas (PUA). The CPAs and PUAs give DoD the opportunity to use the spectrum where and when it is essential. This band is also critical for military access, which uses it for multiple, critical land, sea, and airborne capabilities used to defend the nation. This effort represents an accelerated and unprecedented activity given the timeline set by the White House and technical work needed to ensure critical military capabilities and mission functions are not impacted. Lastly, the DoD is participating in several ITU study group efforts looking to identify additional 5G bands for global consideration at the World Radio-communication Conference in 2023. The ITU work was delayed by the pandemic and future meetings and member-state inputs will need to be adjusted, accordingly.

IDENTIFY KNOWN RISKS:

COVID-19 restrictions will continue to raise challenges for the Department. Enhanced teleworking policies and the implementation of advanced collaboration software have allowed the DoD to continue to move forward with 5G efforts. However, expectations must be couched by the reality that the current situation could continue or possibly worsen, which could have some effect on 5G progress.

To ensure acceleration of the adoption of 5G in the DoD, USD(R&E) will continue to establish test facilities that enable rapid experimentation & dual-use application prototyping. To overcome risks, red/blue teaming will be used to identify and mitigate vulnerabilities. The use of the pilots will allow 5G to be deployed at additional DoD sites more quickly and efficiently and at lower costs. Security with any technology is critical and as a result, the U.S. will establish zero trust architectures.

Establishment of standards in 5G is critical to the success of 5G in the U.S. To an extent, the U.S. participation in the development of 5G standards had previously been lacking, while other nations have been heavily involved representing their national requirements. DoD in particular has been aggressive in its participation in 5G standards organizations and its early successes have been significant. However, to ensure that U.S. and DoD equities are met in future 5G standards releases, it is critical for DoD to continue to establish relationships with U.S. government organizations and industry representing U.S. positions, standards organizations, 3GPP and Institute of Electrical and Electronic Engineers. Establishing relationships with Federal Agencies and Standards organizations, as well as participation is a function of the DoD 5G CDT and will assist in control of the risks.

A public version of the DoD Standards Engagement Plan that establishes how the standards align with the DoD 5G Strategy and C3 Modernization Plan was released in Q4.

Electromagnetic spectrum will continue to be at a premium worldwide and can be vulnerable to adversary exploits. The prototyping will help counter adversary attempts to deny access to the RF spectrum by using hardware and software for sensing what is using the spectrum, software for classification of signals and will utilize hardware and software for dynamically using the spectrum. Additionally, DoD will employ multiple Operate Through principles such as Zero Trust Architecture, Encryption, and Multi-Path

Communications to both counter adversary attempts to deny access to 5G networks, and to provide resiliency in contested and degraded communication environments.

MITIGATION EFFORTS:

Lessons learned from the Tranche 1 process will be incorporated into the preparation and award for the Tranche 2 pilots. One initial step is that in two organizations, the IWRP and NSC will serve as OTAs vice one organization.

NEXT STEPS:

Transition work will begin at the Tranche 1 and 1.5 sites by the selected teams for each location. The release of some RPPs for the Tranche II use cases and locations is also planned for Q1 FY 2021.

5G standards goals for Q1 FY 2021 include submitting/participating in development of two 5G standards contributions, 1) "Certificate Based Solution for Protecting System Information Messages with Digital Signature in a Non-Public Network" to 3GPP Security WG (SA3). This contribution mitigates the threats from rogue base station attacks in denial of service and user tracking, applying "5G Radio Access Network (RAN) Slicing Framework during Cell Selection / Reselection Phases" to 3GPP Radio layer 2 (RAN2) WG. This contribution ensures Transmission Security (TRANSEC) techniques are added to the RAN-slicing capability and is available for DoD to use in tactical scenarios.

Work with Five Eyes (FVEY) Nations through the FVEY Defense CIO Forum (DCIOF) to obtain 5G Use Case Program Plan and Timeline endorsement.

PERFORMANCE INFORMATION GAPS:

All performance information is current and available.

CHANGE PERFORMACE GOALS / MEASURES:

Performance goals for Performance Goal 1.3.6 for FY21 were updated in the FY 2021/2022 Annual Performance Plan submission provided in September 2020.

FY 2020 Summary of Results

PG 1.3.7: Joint Enterprise Defense Infrastructure (JEDI) Environments Open for Business		PG Leader: Deputy CIO for Information Enterprise (DCIO IE)					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2021**	**Prior Year Results**
PM 1.3.7.1: JEDI Cloud Open for Business	Target	N/A	N/A	N/A	N/A	N/A	N/A	FY19: 0%
	Actual	N/A	N/A	N/A	N/A			

Note: N/A. The JEDI Cloud contract was awarded to Microsoft on October 25, 2019, but a Court of Federal Claims Ordered Temporary Injunction due to a post-award protest that halted performance of all contract activities.

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

The Deputy Secretary of Defense established an enterprise cloud initiative to competitively acquire the JEDI Cloud. JEDI Cloud is purposed to be the DoD's pathfinder, general purpose enterprise-wide cloud, which will fill specific gaps in the DoD's cloud ecosystem. JEDI Cloud provides a full range of commercial cloud computing capabilities, at all three classification levels, from the home front to the tactical edge. JEDI Cloud will allow DoD to take advantage of economies of scale, ensure superiority through data aggregation and analysis, and lay the foundational technology for artificial intelligence and machine learning.

This performance metric is based upon when services in the JEDI Cloud are available and users can place task orders for services at all classification levels.

FY 2020 PERFORMANCE PROGRESS UPDATE:

The ultimate success of achieving this performance metric is dependent on the outcome of the COFC post-award protest filed by AWS. The COFC Preliminary Injunction Order has halted progress towards this goal. Both the DoD and the DoJ are working to expediently resolve the protest.

FY 2020 PERFORMANCE MEASURE OVERVIEW: N/A

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE: N/A

IDENTIFY KNOWN RISKS: N/A

MITIGATION EFFORTS: N/A

NEXT STEPS: N/A

PERFORMANCE INFORMATION GAPS: N/A

CHANGE PERFORMANCE GOALS / MEASURES:

On February 13, 2020, the COFC issued a preliminary injunction prohibiting the Government from moving forward with substantive work under the JEDI Cloud contract. This means that work moving early adopters and other DoD missions into the JEDI Cloud will be delayed while litigation is resolved.

On April 17, 2020, the COFC granted the Government's Motion for Voluntary Remand and ordered the Government to issue a new award decision within 120 days of the date of the Order.

After, requesting additional time to conclude the Voluntary Remand activities due to unexpected delays, the DoD, on September 4, 2020, completed its comprehensive re-evaluation of the JEDI Cloud proposals and re-affirmed the award to Microsoft.

FY 2020 Summary of Results

PG 1.3.8: Modernize Tactical Radio Communications (Waveforms, Radios, Crypto)		PG Leader: Deputy CIO for Command, Control & Communications (DCIO C3)						
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.3.8.1: COMSEC Modernization Radio (Tactical Radios)	Target	Measured Annually			40%	60%	80%	FY18: 5%
	Actual				5%			
PM 1.3.8.2: COMSEC Modernization Radio (Link-16)	Target	Measured Annually			60%	90%	100%	FY19: 24.7%
	Actual				24.7%			
PM 1.3.8.3: Accelerate Mobile User Objective System (MUOS) Terminal Procurement	Target	14%	16%	18%	20%	28%	36%	FY19: 9.2%
	Actual	9.2%	9.2%	9.2%	9.2%			

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

This performance goal focuses on Service and United States Special Operations Command (USSOCOM) cryptographic modernization efforts for 2 MHz to 2 GHz tactical radios required to provide warfighters with secure communications capabilities critical to command and control of joint forces in contested environments and leverages the National Security Agency (NSA) Communications Security (COMSEC) Modernization Initiative (CMI) requirement to drive COMSEC modernization investments. By achieving tactical radio COMSEC modernization, this performance goal supports the National Defense Strategy by increasing warfighter lethality through accelerated investment and greater emphasis in flexible, modular,

innovative, and survivable Command, Control, Communications, and Computers (C4) capabilities at the tactical edge.

FY 2020 PERFORMANCE PROGRESS UPDATE:

The COVID-19 pandemic safety measures implemented by the DoD substantially impacted the Department's ability to execute tactical radio modernization efforts and reporting during this quarter. The Deputy Secretary of Defense (DSD) signed out the C3 Modernization Strategy on September 17, 2020, which documents the strategic goals and lines of effort required to deliver modernized C3 networks and systems to the joint warfighter. DoD CIO continued to work with the Services to refine "Waveform Lead Service" plans detailing their ability to accomplish DSD-assigned Lead Service responsibilities for specific radio communications waveforms. As part of the budget certification process, DoD CIO reviewed each Service's compliance with the FY 2022-2026 Capability Planning Guidance as it pertains to tactical radio modernization programming to ensure that each Service had a plan to achieve the Department's modernization goals. The uncertainty of the long term impacts of COVID-19 safety measures will continue to impact the Department's ability to modernize and accurately report progress achieved regarding its tactical communications capabilities. The Tactical Communications Modernization database is the tool that DoD CIO utilizes to measure progress, identify gaps, and interoperability risks the Services and SOCOM face in modernization of crypto and tactical radio communications. The DoD CIO database is hosted on the SIPRNET, thus inaccessible to many Service personnel to update with current information during the Department's COVID-19 health condition measures. It may take additional time before the database is populated to reflect accurate Service modernization statuses as measured against waveforms and cryptographic capability established cease key dates. Services are reporting varying levels of Link 16 crypto modernization progress. The Navy is on a path to provide Combatant Commanders with Link 16 on all capable deployed platforms. All current Marine Corps rotary wing platforms scheduled to install Link 16 are forecasted to meet modernization goals but the majority of USMC rotary-wing aircraft still have no Link 16 plans; fixed- wing aircraft still need a funded modernization plan. The Army reports that the Air Defense and Airspace Management (ADAM) will not meet modernization efforts and has no funded upgrade plan for aircraft. A lack of engineering efforts and funding to procure COMSEC modernized terminals is hindering completion of Air Force modernization efforts. International Link 16 users are lagging behind U.S. modernization efforts, and will pose a challenge to network interoperability for several years beyond the Cryptographic Modernization (CM) date. The Department continues to work to accelerate the procurement and fielding of Wideband Code Division Multiple Access (WCDMA) terminals and narrowband network transitions to mitigate the aging legacy Ultra High Frequency (UHF) Satellite Communications (SATCOM) constellation challenges. DoD CIO will assess WCDMA modernization progress through quarterly updates to the Command, Control, and Communications Leadership Board (C3LB) as directed in the Network Transition Plan, as well as using the Network Transition Working Group (NTWG) and the Program Budget Review (PBR) process along with the budget certification authority to steer the Services' terminal acquisition and fielding plans to align with the established network transition targets by year.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 1.3.8.1: This performance measure focuses on Service and USSOCOM cryptographic modernization efforts for 2 MHz to 2 GHz tactical radios required to provide warfighters with secure communications

capabilities critical to command and control of joint forces in contested environments and leverages the NSA CMI requirement to drive COMSEC modernization investments. The performance measure reflects the number of 2 MHz-2 GHz radio terminals that have completed, or do not require COMSEC modernization as a percentage of the current radio inventory.

PM 1.3.8.2: This performance measure focuses on Service and USSOCOM cryptographic modernization efforts of Link 16 terminals required to provide warfighters with secure communications capabilities critical to command and control of joint forces in contested environments and leverages the NSA CMI requirement to drive COMSEC modernization investments. The performance measure reflects the number of DoD Link 16 terminals that have completed, or do not require COMSEC modernization as a percentage of the current Link 16 terminal inventory.

PM 1.3.8.3: This performance measure focuses on Service deployment of WCDMA tactical radios required to field an operational Mobile User Objective System (MUOS) capability. MUOS is a DoD system developed to provide secure worldwide UHF SATCOM. Each Service procures and fields UHF radios providing the user interface and enabling MUOS communications. This performance measure tracks the number of WCDMA terminals the Services procure and field to enable the transition of legacy SATCOM networks to WCDMA networks and fielding of a MUOS operational capability.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 1.3.8.1: The COVID-19 pandemic safety measures implemented by the DoD substantially impacted the Department's ability to execute tactical radio modernization efforts and reporting during this quarter. The DoD CIO continued to lead efforts to synchronize and wherever possible, accelerate 2 MHz to 2GHz tactical radio procurement and fielding to support Department-wide tactical communications capability cryptographic modernization efforts via the C3LB governance construct. The DSD signed out the C3 Modernization Strategy on September 17, 2020, which documents the strategic goals and lines of effort required to deliver modernized C3 networks and systems to the joint warfighter. As part of its role in the execution of the C3 Modernization strategy, DoD CIO continued to work with the Services to populate the radio, terminal, and waveform and COMSEC database, which is the repository for DoD radio/terminal and COMSEC inventory, as a means of monitoring Service compliance and progress with the strategy. DoD CIO continued to work with the Services to refine "Waveform Lead Service" plans detailing their ability to accomplish DSD-assigned Lead Service responsibilities for specific radio communications waveforms. As part of the budget certification process, DoD CIO reviewed each Service's compliance with the FY 2022-2026 Capability Planning Guidance as it pertains to tactical radio modernization programming to ensure that each Service had a plan to achieve the Department's modernization goals.

PM 1.3.8.2: As reported to the C4/Cyber Functional Capabilities Board in February 2020, the Navy has shifted funding to maximize Link 16 modernization in all operational platforms. The Navy is on a path to provide Combatant Commanders with Link 16 on all capable deployed platforms. The Air Force continues to have challenges, even with funding directed in the DSD Project Decision Brief (PDB). Lack of engineering efforts and funding to procure COMSEC modernized terminals is the main issue facing the Air Force in completing modernization efforts. The Army now reports that the ADAM will not meet modernization efforts; this is a recent change and is due to a lack of retrofit kit availability. The Army also lacks a funded upgrade plan for aircraft. For the Marine Corps (USMC), all current rotary-wing platforms are forecasted to meet modernization goals, but the majority of USMC rotary-wing aircraft still have no

Link 16 plans; however, fixed-wing aircraft still needs a funded modernization plan. Additionally, foreign nations are also part of the Link 16 operational network, but most are lagging behind U.S. modernization by over a year. This delay will pose an ongoing operational capability challenge for several years after the CM deadline.

PM 1.3.8.3: The COVID-19 pandemic safety measures implemented by the DoD substantially impacted the Department's ability to execute tactical radio modernization efforts and reporting during this quarter. The WCDMA terminal fielding data and revisions described in the 'Target' field is based on the DoD CIO and Joint Staff jointly- conducted data call on Service terminal fielding data. The WCDMA terminal fielding in Q4 2020 represented 9.2% of the approximate total of 20,398 terminals to be fielded by FY 2031. The 9.2% figure represents Navy, Air Force, and some Army terminals deployed to support tests and non-combat operational use, while the Marine Corps was the first Service to field WCDMA terminals for combat operational use. Progress in Service fielding of WCDMA terminals and the need for Services to accelerate the fielding of WCDMA terminals and associated platforms was the basis for a coordinated effort to transition legacy UHF networks to MUOS WCDMA networks.

The Joint Staff developed Network Transition Plan (NTP) highlights the goal for the Services to transition 30% of their UHF legacy networks to WCMDA networks FY 2023 and overall transition of 70% by FY 2026. In order to achieve the transition goals laid out in the NTP, the Services are required to field a comprehensive 70% of terminals across all segments.

Based on the O-6 level review of the Network Transition Plan, the Service goals were summarized and presented to the C3LB Principals in August, resulting in an action for the Services to provide funding shortfalls and future programming actions on terminal and platform fielding to the 16 October C3LB. DoD CIO assessment on Service terminal and platform fielding indicates the Army and Air Force will require an increased terminal and platform fielding rate in order to achieve the goals set forth in the NTP. The Marine Corps is on schedule to complete their ground terminal fielding by FY 2021, the Navy has budgeted for the procurement and installation of airborne terminals for the Navy and Marine Corps aviation platforms.

In addition to coordinating with Joint Staff and USSPACECOM on the development and implementation of the NTP, DoD CIO will track the progress of Service acquisition and fielding of MUOS terminals and platforms and will provide quarterly updates of each weapon system to ensure the overall terminal goals are satisfied.

Finally, USSPACECOM issued a Fragmentary Order (FRAGO) to Operation OLYMPIC DEFENDER declaring MUOS available for full use across the spectrum of operations. This FRAGO in combination with the other guidance should encourage Services and Combatant Commands to modernize to the MUOS WCDMA capability.

IDENTIFY KNOWN RISKS:

PM 1.3.8.1: The uncertainty and the long term impacts of COVID-19 safety measures will continue to effect the Department's ability to modernize and accurately report progress achieved regarding its tactical communications capabilities. The Tactical Communications Modernization database is the tool that DoD CIO utilizes to measure progress, identify gaps, and interoperability risks the Services and SOCOM face in modernization of crypto and tactical radio communications. The DoD CIO database is hosted on the

SIPRNET, thus inaccessible to many Service personnel to update with current information during the Department's COVID-19 health condition measures. It may take additional time before the database is populated to reflect accurate Service modernization statuses as measured against waveforms and cryptographic capability established cease key dates.

PM 1.3.8.2: Link 16 is a critical tactical datalink connecting U.S. and foreign partner nations' platforms. The DoD must protect the network and the security of the data that moves across Link 16. The DoD remain committed to CM by January 1, 2022. After this date, all operational networks will use modernized crypto, and access to Link 16 will be denied to those platforms that have not modernized.

PM 1.3.8.3: The Joint Staff delivered the Network Transition Plan to OSD CAPE in mid-October 2020. Service budgeting, procuring and fielding of MUOS terminals and associated platforms is key to achieving the network transition goals set forth in the NTP. Joint Staff and DoD CIO will review Service network transition goals on a quarterly basis and report to the C3LB any identified risks that will require course correction.

The level of transition from legacy UHF to MUOS nets and the success of the NTWG is at risk and depends on the level of Service commitment to prioritize their investment to fund for WCDMA terminal acquisition and equipping their associated platforms to enable the identification and eventual transition of legacy networks to MUOS WCDMA. The greatest risk is in platform integration time and costs, which in some cases requires depot-level action.

MITIGATION EFFORTS:

PM 1.3.8.1: Services acknowledge inability to meet crypto modernization mandates. DoD CIO will use the annual Capability Planning Guidance process to influence Service budget development. DoD CIO will employ C3LB governance structure to inform Department senior leadership regarding known or developing risks associated with failure to comply with tactical communication modernization mandates and NSA cease key dates.

PM 1.3.8.2: As directed in the DSD PDB, platforms not meeting the modernization date will not have access to the network. Joint Staff J6 is leading an effort in concert with Combatant Commands to authorize limited capability, single nation, Link 16 networks. These networks reflect the acquisitions delays impacting some nations, and will allow nations to maintain Link 16 proficiency, using legacy keys, during the 1 Jan 2022 to 1 Jan 2024 timeframe.

PM 1.3.8.3: As part of the NTWG efforts, the DoD CIO will manage the NTWG SharePoint site and assess Service acquisition and fielding of WCDMA terminals and track progress of legacy network transition to MUOS WCDMA. Based on recommended network transition targets, DoD CIO will assess progress through quarterly updates to the C3LB as directed in the Network Transition Plan, as well as using the NTWG along with the budget certification authority to steer the Service terminal acquisition and fielding to align with the established network transition targets by year.

Based on current Service funding for terminal and platform procurement and fielding, the DoD CIO has identified major risk areas in the airborne fielding of Army and Air Force platforms. DoD CIO is requesting the Army and Air Force provide to the C3LB their funding shortfalls and future programming actions to address identified shortfalls and capability gaps.

NEXT STEPS:

PM 1.3.8.1: Leveraging ADVANA, DoD CIO will gather tactical radio communications modernization data through Service data calls, identifying platforms' ability to meet waveform and crypto modernization goals. Provide the C3LB governance structure with the required information to mitigate risks. As necessary, DoD CIO will petition the C3LB to elevate the issue to the Deputy's Management Action Group.

PM 1.3.8.2: The Joint Requirements Oversight Council (JROC) is requesting the Services and Combatant Commands to assess the impact to operational plans and develop mitigation strategies for the loss of Link 16 access to identified platforms. The JROC also requests the C3LB to monitor Link 16 modernization plans and schedule changes that adversely impact meeting the crypto modernization full operational capability (FOC) date.

PM 1.3.8.3: The Joint Staff coordinated with DoD CIO, USSPACECOM, Services and Combatant Commands to develop a legacy narrowband to MUOS WCDMA network transition plan and worked with DoD CIO via C3LB guidance to deliver the Final Network Transition Plan report to OSD CAPE in October 2020.

During the 16 October C3LB, DoD CIO provided an assessment of the Army and Air Force terminal and platform-fielding summary with identified funding shortfalls. The Army and Air Force were requested to provide a detailed airborne funding shortfall and future programming action to address those shortfalls. The DoD CIO will coordinate with the Services to ensure the identified shortfalls are addressed.

The Joint Staff commenced Theater-level network transition plan discussions with INDOPACOM and other Combatant Commands (CCMDs) to provide a prioritized list of networks for transition to MUOS WCDMA in each geographical area of operations. This level of planning and coordination between the CCMD, the Service Components and the Services is required to enable a timely transition to MUOS capability. Follow-up meetings with the remaining CCMDs will span across FY 2021 to complete detailed theater-level network transition to MUOS capability.

The Services will use these networks to field the necessary WCDMA terminals and equipping the associated platforms to enable transition of networks to occur within the established timeframe.

The DoD CIO will continue to manage the NTWG SharePoint site and facilitate Joint Staff-led reviews using agreed upon metrics to assess Service acquisition and fielding of WCDMA terminals on a quarterly basis to ensure overall progress of network transition by FY 2027. The Joint Staff J6 will brief the C3LB quarterly.

PERFORMANCE INFORMATION GAPS:

PM 1.3.8.1: Data for this performance measure is collected and reported annually.

PM 1.3.8.2: Data for this performance measure is collected and reported annually. Platforms that are not CM compliant by this date will be denied access to the Link 16 networks. The JROC requests the C3LB monitor Services' Link 16 modernization plans and schedule changes that adversely impact meeting CM FOC.

PM 1.3.8.3: The Joint Staff along with DoD CIO and USSPACECOM conducted a Service data call to identify WCDMA terminal and platform requirements in order to transition legacy networks to field a WCDMA capability.

Early assessment of the data submitted indicates the Services are not planning to field MUOS terminals in alignment with each legacy network requirement. Instead, the Air Force approach is to transition to WCDMA only once their entire squadron at a base is properly fielded/ integrated with MUOS terminals and platforms. Similarly, the Navy approach is to transition to WCDMA when all assets within a strike group are properly fielded/ integrated with MUOS terminals; this effort would be across the Fleet.

Based on the June 2020 briefing to the C3LB, the Joint Staff J6 requested the Services utilize contact teams to assess individual platforms transition to WCDMA and report where early fielding was possible and also where gaps remain due to Doctrine, Organization, Training, Materiel, Leadership and Education, Personnel, Facilities and Policy issues.

CHANGE PERFORMACE GOALS / MEASURES:

PM 1.3.8.1: N/A

PM 1.3.8.2: N/A

PM 1.3.8.3: None at this time, but could be revised based on Service terminal and platform fielding limitations.

FY 2020 Summary of Results

PG 1.3.9: Assured Electromagnetic Spectrum (EMS) Access, Use, & Maneuver		PG Leader: Deputy CIO for Command, Control & Communications (DCIO C3)						
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.3.9.1: Electromagnetic Spectrum Enterprise Architecture (EMSEA)	Target	50%	60%	70%	80%	100%		NEW
	Actual	50%	50%	60%	70%			
PM 1.3.9.2: EMS Common Operational Picture	Target	65%	80%	90%	100%			NEW
	Actual	10%	24%	34%	45%			

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
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FY 2020 PERFORMANCE GOAL OVERVIEW:

Evolve the DoD to an Agile Electromagnetic Spectrum Enterprise.

Develop a resilient, survivable, secure, distributable, tailorable, and sustainable tactical/operational EMS enterprise capable of operating within a contested, congested, and operationally limited EMS environment while ensuring DoD spectrum access requirements are adequately protected domestically in order to achieve EMS superiority over our adversaries.

Lack of Joint EMS joint functional Capability hindering DoD ability to successfully execute in contested and congested environments. 5G offers a unique opportunity to leverage emerging technology in this trade space offering inherent communication protection features and advanced network capability/capacity for spectrum dependent systems. Also, services are configuring electromagnetic battle management (EMBM) to enable Command and Control (C2) of the EMS at deployed locations, but require a joint solution, database support and an architecture capable of servicing networks required by fielded units. Also, due to increased demands for spectrum to support commercial users (e.g., 5G), spectrum bands currently used by DoD are being examined for reallocation to non-federal usage, putting DoD equities and missions at risk.

This performance goal Aligns with DoD CIO Digital Modernization Strategy and objectives to establish C2 superiority, integrate Joint Information Enterprise (JIE) sharing, integrate Artificial Intelligence (AI) and cloud into all elements of electromagnetic spectrum enterprise (EMSE) and aligns with DoD CIO objective to modernize and consolidate DoD networks and data centers.

The DoD CIO Spectrum Policy and Programs (SPP) office is under resourced to effectively manage department transition and much of the work in this area is contingent on the FY 2021-2022 President's Budget submission. Other concerns: intense pressure to reallocate spectrum to win the race to 5G; promotion of economic growth; spectrum auctions used as revenue offsets in budget scoring; and lack of support from federal regulator.

NDAA 19 tasks the Department to resource electromagnetic spectrum operations (EMSO) efforts. Spectrum Pipeline Act called for auction of 30 MHz of spectrum by 2024, MOBILE NOW requires 255 MHz of spectrum below 6 GHz to be reallocated for fixed and wireless broadband use by Dec 2020. These initiatives have potential to impact DoD access to spectrum in Test, Training, and Operations.

EMS enterprise architecture (EMSEA) and EMS Visualization are projects that must be completed in alignment with the Department's vision. Thus, these projects require substantial oversight from DoD CIO C3 (SPP), the Joint AI Center (JAIC), Joint Enterprise Defense Infrastructure (JEDI), and DoD CIO Information Enterprise (IE). Spectrum access, use and maneuver are critical to maintaining all of DoD's superiority on the battlefield.

FY 2020 PERFORMANCE PROGRESS UPDATE:

Overall, the EMS Access, Use and Maneuver performance goal is on track to meet all goals for FY 2020. The Department is supporting both initiatives with a positive approach and personnel to share information. The Common Operational Picture initiative suffered a delay in receiving new money this year, which has been corrected. The program is poised to meet its gates with minimal schedule slide. This issue will be closely monitored.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 1.3.9.1: Develop enterprise architecture products to inform and guide the transformation of EMS operations at the strategic-national and operational levels to support DoD modernization strategies and support JADC2. Identify and guide improvements in EMS data capture and curation. Identify and guide interoperability improvements with related national and coalition EMS capability development. Align the Strategic National level EMS enterprise initiatives with DoD modernization objectives. Influence investment in EMS capabilities to support agile EMS operations.

PM 1.3.9.2: Develop enhanced capabilities for the Joint Spectrum Data Repository (JSDR) to improve Situational Awareness of the Electromagnetic Operational Environment (EMOE) in support of Electromagnetic Battle Management (EMBM) by improving EMS data capture and quality, integrating additional data sources, improving modeling capabilities and expanding visualization of EMS data. This effort may also adopt capabilities from the Electromagnetic Spectrum Visual Instance of the Environment for Warfighters (EMS-View) Joint Capability Technology Demonstration (JCTD) to improve data exchange between the JSDR and component spectrum capabilities. This effort is supported and enhanced by DoD adoption of commercial cloud capabilities and DevSecOps services and tools.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 1.3.9.1: The EMSEA development team completed the EMSEA Strategic National segment operational views (OVs) and all views (AVs). The EMSEA WG met in July to begin the stakeholder review process for the OVs and AVs and completed its review in August. The Strategic National Segment is an Enterprise architecture to inform and guide the transformation of the strategic national level capabilities and activities to improve DoD EMS access and support DoD modernization strategies (e.g. Agile EMS Operations, Digital Modernization).

PM 1.3.9.2: A new contract for Electromagnetic Battle Management (EMBM) Situational Awareness (SA) was awarded for this effort. The delay in funding due to the FY 2020 continuing resolution did not have a significant impact, but delayed initiation of this effort until 3Q FY 2020. Software sprint deliveries were made in July and September with an anticipated SIPRNET deployment in November 2020 after which testing and demonstrations will be conducted. This release includes streamlining of EMS analysis functions and additional data integration. The goal is to demonstrate the initial EMBM SA enhancements to JSDR for support of Austere Challenge 2021 tac 2 (AC-21). A working group has been ongoing with DSO, STRATCOM and JEWC for identifying and prioritizing requirements for the upcoming development cycles. Meeting has been requested with the NRO FADE/MIST program to identify interface/integration options. A request for EMS SA to receive the GCCS-J feed from the STRATCOM server was approved by JS J3 and that interface is in development. An EMS-View technical demonstration was conducted at Aberdeen Proving Grounds September 1-3. Data exchange between the USMC Spectrum Services Framework (SSF), the JSDR, and the Electronic Warfare Planning and Management Tool (EWPMT) was successfully demonstrated. Final technical demonstration is scheduled for November 9-13 and Operational Demonstration for December 7-11 2020 at Aberdeen.

IDENTIFY KNOWN RISKS:

PM 1.3.9.1: DoD will not be able to inform and guide the modernization of EMS capability development; supports interoperability and ability to plan for and align EMS capability development to support JADC2.

PM 1.3.9.2: Most significant risk was delayed funding due to continuing resolution. Technical risk is inclusive of software development and data and has medium risk from an acquisition perspective. Risk is controlled due to use of the established JSDR capability and bench. Additional capabilities and components can be added to the JSDR architecture to support situational awareness with low to medium risk. This initiative will include multiple components with minimal interdependencies to control the impact of any one component creating high risk for other components. Delay in ability to schedule EMS-VIEW operational tests due to COVID-19 imposes medium risk of delay in ability to incorporate associated capabilities into the EMS Cop and may negatively impact the schedule and the capability IOC. Continued delay in ability to schedule meeting with FADE/MIST imposes medium to high risk of delay in identifying synchronization of capabilities.

MITIGATION EFFORTS:

PM 1.3.9.1: Although the 4Q FY 2020 performance measure was not met due to the COVID-19 related delay of the EMSEA C2 Segment Approval, the EMSEA effort is still on schedule to meet the overall goal to complete the Strategic National Segment by 4Q FY 2021. Therefore, a mitigation strategy is not required at this time.

PM 1.3.9.2: Funding was delayed to initiate this effort due to operations under continuing resolution in Q1 FY 2020. Mitigation was to adjust schedule accordingly. Delay in delivery schedule will continue to be tracked through development to more clearly define the impact. Currently, low to medium delay in delivery schedule. Delay in ability to conduct EMS View technical and operational demonstration due to COVID 19 was mitigated by ability to continue unclassified development activities.

NEXT STEPS:

PM 1.3.9.1: The next steps include:

- Complete the Technical and Capability views of the Strategic National Segment's As-Is component in Q1 FY 2021

- Begin developing the To-Be component of the Strategic National Segment in Q1 FY 2021

- Continue to ensure alignment with JADC2 Reference Architecture Planning Team

PM 1.3.9.2: The next steps include:

- Incorporation of working group requirements into integrated master schedule and EMBM SA baseline delivery plan

- Incorporation of FADE/MIST interface/integration plan into integrated master schedule and EMBM SA baseline delivery plan

- Completion of target EMBM SA baseline for delivery in support of Austere Challenge 21

- Expansion of blue record production for DoD spectrum dependent systems

- Integration of additional data sources to provide more comprehensive awareness of friendly and non-friendly activities in the electromagnetic spectrum

- Adoption of capabilities from the EMS-View JCTD

PERFORMANCE INFORMATION GAPS:

There are no performance information gaps.

CHANGE PERFORMACE GOALS / MEASURES:

The COVID-19 situation directly impacted Performance Goal PM 1.3.9.1 (Electromagnetic Spectrum Enterprise Architecture (EMSEA)). The EAEP assessment process 30-day extension pushed the planned EAEP Assessment completion and JIE EXCOM approval of the EMSEA C2 Segment into 3Q FY 2020.

FY 2020 Summary of Results

PG 1.3.10: Modernize and Protect PNT Delivery						PG Leader: Deputy CIO for Command, Control & Communications (DCIO C3)		
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.3.10.1: MGUE platform integration and installation	Target	N/A	JLTV Comp			Stryker PEO Cert Complete	DDG & B-2 Install Comp	N/A
	Actual	N/A	JLTV PEO Cert delayed	JLTV PEO Cert complete (delayed from Q2)				
PM 1.3.10.2: Defense Regional Clock (DRC) Installation	Target	83%	-	90%	-	100%		FY19: 85%
	Actual	87%	87%	87%	87%			

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FY 2020 PERFORMANCE GOAL OVERVIEW:

The provisioning of positioning, navigation, and timing (PNT) information has been a significant force multiplier for the Joint Force and key allies for many years. The Global Positioning System (GPS) has been the principal means for providing PNT. As a consequence, GPS has come under adversary duress. In order to maintain the advantages derived from GPS-based PNT, DoD is modernizing GPS, hardening the system, and developing alternatives and complements that maintain PNT superiority, when and where required. Additionally, DoD is deploying precise timing capabilities globally to increase timing resiliency for the Joint Force.

These activities are in direct support of key objectives for PNT resilience stated in National Defense Strategy and highlighted by Congress in annual legislative initiatives. The DoD provides an annual Report

to Congress, which addresses the status of progress in modernizing/hardening GPS as a part of the DoD PNT Enterprise. Beginning with the Annual Report addressing FY 2019 activities, the report will also include detailed information on GPS M-Code procurement and installation planning, in accordance with Section 1610 of the FY 2019 National Defense Authorization Act.

FY 2020 PERFORMANCE PROGRESS UPDATE:

DoD CIO prepared and coordinated the PNT Oversight Council's Annual Report to Congress. The report included an attachment detailing the Services' plans for M-Code procurement and initial installations. The attachment was developed using the PNT Data Repository that is maintained by DoD CIO with data provided by the Services.

The DoD PNT Oversight Council (OC) was briefed on and endorsed efforts to resolve GPS user equipment development funding disconnects and fund the integration of M-code capabilities into key platforms on the United States Strategic Command (STRATCOM) priority list. The Deputies Management Action Group (DMAG) approved the Council's proposed approach and also vetted a Council recommendation to perform acquisition oversight on M-code modernization into the Service programs equipping the Joint Force. This issue is a follow-on to the Council directed bulk-buy in the previous program review to ensure sufficient GPS M-Code Application Specific Integrated Circuits are available to support planned production, integration, and fielding of Modernized GPS User Equipment (MGUE) for all MGUE Increment 1 requirements. The DoD PNT OC received additional briefings from the Services in July, August, and September 2020 in conjunction with the CAPE Program Review to further refine and clarify the way ahead.

An Acquisition Program Baseline (APB) schedule breach was identified by the Air Force in October 2019, delaying the availability of MGUE Increment 1 cards GPS Receiver Applications Module Aviation/Maritime (GRAM S/M) intended for aircraft and maritime applications. This impacts integration and operational testing plans for Air Force (B2) and Navy (DDG) lead platforms, as well as planned installations in Tier 1 and Tier 2 aviation and maritime platforms. Recovery timeline and required funding to establish a new APB has been reviewed by Air Force. The Issue Paper submitted to CAPE captures these disconnects and additional disconnects the Air Force revealed to complete development on Aviation platform receiver boxes and munitions receivers necessary for fielding M-code in these weapons systems. Plans for production, testing, and integration of MGUE Increment 1 cards for Ground GPS Receiver Applications Module for land-based systems are not affected. A revised APB is projected to be available by Dec 2020. Planned functional user evaluations in USMC Joint Light Tactical Vehicle (JLTV) and Army (Stryker) lead platforms in FY 2021 remain on schedule at this time.

The DoD PNT Executive Management Board (EMB) will follow up on Service plans for integration of complementary PNT capabilities to GPS in all DoD systems using the Modular Open-System Approach (MOSA) strategy as required by the DoD PNT Enterprise Strategy published in November 2018 and the DoD Directive and Instructions in the DoDD 4650 family of PNT policy issuances. The 2020 Issue Paper included a recommendation to move forward with a MOSA-oriented Resilient Embedded GPS Inertial (R-EGI) capability and future initiatives to certify a flexible, Software Defined PNT Receiver (SDPR) capability for use in R-EGI and other applications that meet munitions requirements. However, no action was directed in the program review to fund SDPR and R-EGI. Funded efforts for FY 2021 are at risk due to execution year shortfalls associated with concurrently funding Embedded GPS Inertial-Modernization

(EGI-M) and munition receiver priority efforts pending an Above Threshold Reprogramming approval or an enhancement mark by the Congressional committees in this Program Element.

DoD CIO is drafting a Capabilities Development Document to address the capability requirements for survivable, resilient time.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 1.3.10.1: In the future, the performance measure will be aligned with the percentage of platforms that have completed MGUE integration. However, at present, MGUE is still undergoing developmental test and Service integration is limited to four lead platforms.

PM 1.3.10.2: DoD CIO is leading the Critical Time Dissemination (CTD) project, providing direct oversight to the U.S. Navy and Defense Information Systems Agency in the deployment of Defense Regional Clocks (DRCs) as a survivable, enduring, alternate PNT timing source for critical missions and critical mission systems. The PNT Council approved 46 DRCs for fielding in direct support to six of nine Combatant Commands.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 1.3.10.1: The DoD PNT EMB and OC conduct regular reviews of progress in all areas of the DoD PNT Enterprise. The Program Executive Officer (PEO) certification on the JLTV lead platform was achieved last quarter. The APB milestone threshold date for this PEO certification was June 30, 2020. The Stryker lead platform is projected to achieve PEO certification by Dec 2020 before the March 2021 APB threshold date for this lead platform. These two lead platforms are on track to undergo a functional user evaluation in lieu of an Operational Test and Evaluation (OT&E). JLTV and Stryker are projected to respectively complete OT&E in FY 2021-2022.

As noted above, a schedule breach was identified affecting availability of MGUE Increment 1 cards (GRAM S/M) intended for aircraft and maritime applications. The Air Force conducted an in-depth review of the program. The Air Force revealed a funding disconnect through the FYDP to complete MGUE Inc. 1 development due to the schedule breach, resulting lead platform integration and test delays, and required implementation of security-related Engineering Change Proposals. A new APB formalizing the revised MGUE Inc. 1 schedule with milestones is expected to be issued in December 2020.

PM 1.3.10.2: None of the five remaining unfunded clocks were installed during fourth quarter.

IDENTIFY KNOWN RISKS:

PM 1.3.10.1: The PNT OC is meeting monthly to clarify the aviation platform fielding path to field M-code via R-EGI or EGI-M in priority platforms. R-EGI funded efforts for FY 2021 are at risk due to execution year shortfalls associated with also funding EGI-M and munition receiver priority efforts pending Above Threshold Reprogramming approval or an enhancement mark by the Congressional committees in this Program Element. Additionally, identification of risks and corrective actions are topics under regular review by the DoD PNT Working Groups, with recommendations for action and follow-up referred to the EMB and OC, as appropriate, for review and approval.

PM 1.3.10.2: The PNT Council in FY 2016 authorized the deployment of 46 timing suites; however, five timing suites remain uninstalled and are underfunded, placing the PNT Council approved completion timeline at risk. Additionally, the tech refresh and sustainment for all 46 timing suites remains unfunded.

MITIGATION EFFORTS:

PM 1.3.10.1: Mitigation of delay in availability of MGUE Increment 1 aviation and maritime cards was a focus area for the Council, along with Service M-code fielding per the STRATCOM priority list. The identified integration risks and delays associated with M-code receivers place further emphasis on moving forward with MOSA architectures to provide resilient PNT capabilities. The DMAG vetted a Council recommendation to perform acquisition oversight on M-code modernization into the Service programs equipping the Joint Force. This further empowers the Council to make acquisition decisions in addition to the program review in carefully examining opportunities to accelerate the MOSA strategy to mitigate ongoing delays in fielding M-code. This was reflected in increasing stakeholder interest in moving forward with a MOSA-based Resilient EGI instead of a modernized EGI-M and initiatives in to certify a Software Defined PNT Receiver (SDPR) for aviation use that can also be leveraged to meet munitions requirements. Continued emphasis on integration of complementary PNT capabilities via common open architecture interface standards is integral to modernizing and protecting Joint Force PNT information delivery.

PM 1.3.10.2: N/A

NEXT STEPS:

PM 1.3.10.1: The PNT Enterprise Working Groups will meet regularly, and the EMB and OC will continue to review and approve Service plans for development, production, and integration of GPS MGUE in DoD platforms and of complementary PNT capabilities in all DoD systems under the MOSA strategy. The Fall 2020 Data Call for the DoD PNT Data Repository will be initiated in October 2020 to update Service and Agency MGUE/PNT equipage plans for all platforms in inventory.

PM 1.3.10.2: The CTD program will conduct a program review with DoD CIO leadership in October 2020.

PERFORMANCE INFORMATION GAPS:

PM 1.3.10.1: COVID-19 restrictions delayed a GPS III launch from April 29 to June 30 and forced delays in preparations for JLTV testing. The PEO certification on the JLTV and Stryker lead platforms was still achieved. The APB milestone threshold date for this PEO certification was June 30, 2020. COVID-19 may cause additional unknown impacts going forward.

PM 1.3.10.2: Teams installing one of the five remaining clock suites completed their two-week mandatory quarantine period on site before beginning installation procedures. COVID-19 may cause additional unknown impacts to the remaining clock installations.

CHANGE PERFORMACE GOALS / MEASURES: No changes and no significant changes are forecasted.

FY 2020 Summary of Results

PG 1.3.11: Improve Senior Leadership Communications by Ensuring Those Critical DoD Systems, Facilities, Platforms, and Nodes Provide Assured, Reliable, and Resilient Communications		PG Leader: Deputy CIO for Command, Control & Communications (C3)						
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.3.11.1: Assess 5 critical senior leadership communications nodes yearly	Target	2	1	2	1	5	5	FY19: 4
	Actual	2	1	0	0			
PM 1.3.11.2: Develop 5 Plan Of Action and Milestones (POAMs) to resolve each location's findings	Target	2	1	2	1	5	5	FY19: 4
	Actual	2	1	1	1			
PM 1.3.11.3: Annual report that captures DTRA assessments	Target	Measured Annually			1	1	1	FY19: 1
	Actual				1			

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FY 2020 PERFORMANCE GOAL OVERVIEW:

Senior Leadership Communications (SLC) must be improved by ensuring these critical DoD systems, facilities, platforms, and nodes provide assured, reliable, and resilient communications to all United States Government (USG)/DoD Senior Leaders. Assured, reliable, and resilient SLCs increases lethality and greatly improves C3 across the department.

FY 2020 PERFORMANCE PROGRESS UPDATE:

Defense Threat Reduction Agency (DTRA) completed no scheduled Balanced Survivability Assessments in Q4 FY 2020 due to COVID-19 travel restrictions.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 1.3.11.1: Under the authority of the Council on Oversight of the National Leadership Command, Control, and Communications System (CONLC3S), DoD CIO provides oversight to DTRA's National Leadership Command Capabilities (NLCC) Balanced Survivability Assessment (BSA) teams. These independent teams assess the resiliency, cyber-security, endurability, and survivability of critical senior leadership nodes operated by USAF, USN, USA, DISA, and Combatant Commanders. The assessment utilizes a systems approach to survivability; yielding recommendations that facility owners can use to make

prudent investment decisions in light of what they consider to be the most critical systems and most worrisome threats.

PM 1.3.11.2: Units that were evaluated in an NLCC Assessment are tasked with developing and executing a Plan of Action and Milestones (POA&M) to mitigate critical issues. It takes DTRA 60 days to write the final report and the OPR of the site assessed is given 90 days to develop the POA&M. DoD CIO, as the CONLC3S Secretariat, tracks the POA&M status and provides BSA updates to the CONLC3S members.

PM 1.3.11.3: The annual assessment report captures the FY assessments and provides context for trends and cross-cutting issues.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 1.3.11.1: DTRA has completed three of the six scheduled BSAs for FY 2020.

PM 1.3.11.2: One POA&M was developed by the location's mission owner and delivered to DoD CIO in Q4. Other tasked POA&Ms have been delayed, due to COVID-19 workplace restrictions at mission owner sites.

PM 1.3.11.3: The annual assessment was provided to Senior Steering Group (SSG) and Council on Oversight of the National Leadership Command, Control, and Communications System (CONLC3S) in fourth quarter.

IDENTIFY KNOWN RISKS:

PM 1.3.11.1: COVID-19 travel restrictions impacted BSAs in the Q3 & Q4 FY 2020 and are impacting the necessary planning for scheduled assessments in Q1 FY 2021. Postponed assessments will be rescheduled in coordination with all parties.

PM 1.3.11.2: COVID-19 workplace restrictions will likely impact delivery of final POA&M responses by mission owners following Q4 FY 2020.

PM 1.3.11.3: There are no known risks.

MITIGATION EFFORTS:

PM 1.3.11.1: Planning and rescheduling activities continue for previously scheduled BSA assessments.

NEXT STEPS:

PM 1.3.11.1: DTRA's Q1 FY 2020 assessment plan is in flux, due to continued COVID-19 travel restrictions. We expect the postponed FY 2020 assessments to be rescheduled for FY 2021 or early FY 2022.

PM 1.3.11.2 - PM 1.3.11.3: N/A

PERFORMANCE INFORMATION GAPS: All performance information is current and available.

CHANGE PERFORMACE GOALS / MEASURES: No changes and no significant changes are forecasted.

SO 1.4: Deliver timely and relevant intelligence to warfighters and decision makers to provide decisive and dominant advantage over adversaries	
SO Leader: OUSD(I)	
PG 1.4.1: Provide Advantages in Competitive and Contested environments	**PG Leader:** Director for Defense Intelligence (Intelligence Strategy, Programs & Resources)
See Classified Appendix	
PG 1.4.2: Leverage Commercial Technologies and Innovation Solutions	**PG Leader:** Director for Defense Intelligence (Warfighter Support)
See Classified Appendix	
PG 1.4.3: Elevate Defense Security	**PG Leader:** Director for Defense Intelligence (Intelligence and Security)
See Classified Appendix	
PG 1.4.4: Deepen Alliances and Foreign Partnerships	**PG Leader:** Director for Defense Intelligence (Warfighter Support)
See Classified Appendix	
PG 1.4.5: Increase Enterprise Integration	**PG Leader:** Director for Defense Intelligence (Intelligence Strategy, Programs & Resources)
See Classified Appendix	

STRATEGIC OBJECTIVE OVERVIEW:

In order to increase lethality, improve readiness, and grow the capability and capacity of our forces, it is imperative to improve the overall management of our Total Force of Active and Reserve military personnel, government civilians, and contracted services. Section 129a of Title 10, United States Code requires the Secretary of Defense to establish policies and procedures for determining "the most appropriate and cost efficient mix of military, civilian, and contractor personnel to perform the mission of the Department of Defense." The outcome is to attain "a Department of Defense workforce sufficiently sized and comprised of the appropriate mix of personnel necessary to carry out the mission of the Department and the core mission areas of the Armed Forces."

While the Department spends a large amount on labor costs, our Total Force is the key enabler for all operational and critical support functions. We must continuously review and better rationalize how we choose among Total Force alternatives in determining how to do our work, and reinvest cost savings in force readiness and modernization.

The Department's lethality and readiness are not just a function of our Service members. DoD's civilian workforce is essential to sustaining the viability and capabilities of the All-Volunteer Force – providing the critical equipment maintenance, base support, logistics and engineering expertise, family programs, and medical care that ensure our Soldiers, Sailors, Airmen, and Marines are ready to deploy, world-wide, and answer the call of our operational Commanders. DoD's civilian workforce is in the business of protecting the American way of life, not regulating or governing it. While it may be appropriate for other federal agencies to reduce their civilian workforce, for the DoD, right-sizing will necessitate targeted growth to both restore readiness and increase the lethality, capability, and capacity of our military force.

In addition, the DoD will go beyond optimization of the Total Force to address critical areas to support Service members and civilians. DoD provides numerous programs and initiatives to ensure it maintains a highly skilled military and civilian workforce shaped for today and prepared for tomorrow's needs. These programs deliver critical skill training to support the mission, provide more flexible measures to recruit quality people, and encourage young citizens to pursue technical, competitive DoD careers. The Department's ability to replace the loss of skills and experience with new talent depends on efficiently and effectively recruiting, hiring, and retaining high-performing employees.

STRATEGIC OBJECTIVE PROGRESS UPDATE:

The Department has made tremendous strides to improve both the timeliness and quality of its hires into the civilian workforce. Since FY 2018, the overall civilian time to hire (TTH) has decreased 17 days, ending FY 2020 with an average TTH of 83 days; in FY20 alone TTH was reduced by 11 days. This fiscal year is also the first time the Department has promoted and reported hiring managers' customer satisfaction, achieving the FY 2020 goal of 75% satisfaction. This score is up from 69% in

FY 2019. As the quantity of completed surveys continues to increase across the Department quarter after quarter, the satisfaction score is expected to continue to increase in the next FY.

STRATEGIC OBJECTIVE NEXT STEPS:

Increase the use of Hiring Mangers Customer Satisfaction Survey throughout the Department to better capture satisfaction scores by continuing to advertise the survey and provide updates on completion rates to each Component; conduct quarterly performance reviews of Component's hiring action plans, to include their Time to Hire and effectiveness by the end of the fiscal year; and continue working with external and internal partners to implement the DoD hiring process model.

FY 2020 Summary of Results

PG 1.5.1: Improve recruitment and retention of the civilian workforce						PG Leader: USD(P&R)		
Performance Measures		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.5.1.1: Civilian Time to Hire: Number of days for all civilian hiring actions (Internal and External)	Target	Decrease from previous FY average of 94	Decrease from Q1 FY 2020	Decrease from Q2 FY 2020	Decrease from Q3 FY2020	74	67	94 day average
	Actual	82	83	78	88			
PM 1.5.1.2: Continue quarterly performance reviews of Components' hiring efficiency (time to hire) and effectiveness (manager satisfaction/ applicant quality)	Target	Reviews ongoing	Reviews ongoing	Reviews ongoing	Reviews ongoing	Reviews ongoing	Reviews ongoing	
	Actual	Reviews ongoing	Reviews ongoing	Reviews ongoing	Reviews ongoing			
PM 1.5.1.3: Monitor Hiring Mangers Customer Satisfaction Survey results	Target	75%	75%	75%	75%	>FY 2020 average	>FY 2021 average	
	Actual	72%	73%	78%	75%			
PM 1.5.1.4: By October 1, 2020, implement DoD Hiring Model across the Enterprise and begin identifying hiring	Target	On Track	On Track	On Track	On Track	Complete & Reviews Ongoing	Reviews Ongoing	
	Actual	On Track	On Track	Delayed	Delayed			

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FY 2020 PERFORMANCE GOAL OVERVIEW:

DoD is working to improve civilian hiring by monitoring Component-level Hiring Improvement Initiative Action Plans and fostering ongoing collaboration to accomplish the objective of improving the efficiency and effectiveness of civilian hiring.

DoD has reengineered the Department's civilian hiring process in order to 1) reduce the duration for time-to-hire and improve the quality of new civilian employees in support of mission readiness; 2) develop enterprise-wide metrics/measurement standards to provide standardized reporting on the hiring process; and 3) identify common enterprise-wide process steps, activities, and information assets. The reengineered hiring process is conveyed by a DoD hiring model with seven core hiring segments that are each defined by specific events and notional timelines. Implementation of the DoD hiring model will facilitate improved analysis and assessment of DoD's hiring activities and enable DoD to more effectively identify opportunities to improve hiring.

This strategy directly supports National Defense Business Operations Plan Strategic Objective 1.5, "Implement initiatives to recruit and retain the best total force to bolster capabilities and readiness."

Challenges include: Portions of the hiring process being owned and managed outside of Human Resources (HR) (billet/manpower, security/suitability, medical, drug testing, visa, etc.), insufficient HR resources to support hiring initiatives, limited understanding of variety of hiring authorities and flexibilities on the part of HR professionals and hiring officials, delay in implementation of an enterprise-wide HR information technology system that captures Time to Hire (TTH) metrics, and Component-level policies that dilute available flexibilities.

Congress provided the Department with 42 new hiring personnel flexibilities since FY 2009 which offer DoD a great degree of flexibility, but also introduce a great degree of complexity and confusion for HR professionals and hiring officials in application of the new authorities.

The established performance goal of improving civilian hiring addresses major challenges that are faced by all Components, as civilian hiring is an ongoing concern. Areas that are being considered in addressing hiring improvement include: policy/process shortfalls, proper accountability, system/technical inefficiencies, and training deficiencies.

FY 2020 PERFORMANCE PROGRESS UPDATE:

In fourth quarter, the Department extensively utilized the newly modified direct hire authority (DHA) authorized in section 1109 of the National Defense Authorization Act for FY 2020, which amended section 9905 of title 5, United States Code. Despite its implementation in April 2020, this DHA is the second most used DHA for FY 2020 (10,033 hiring actions). As a result, the average TTH when using DHAs in FY 2020 decreased across all Components compared to FY 2019: Air Force, 66 (-7); Navy, 94 (-13), Army, 101 (-15), and 4th Estate, 96 (-33).

The increasing use of direct hire authorities, as well as priority placement program streamlining initiatives, continue to support the improvement in TTH in DoD. Overall, DoD TTH decreased from 94 days in FY 2019 to 83 days in FY 2020. However, the COVID-19 National Emergency and resultant quarantine protocols impacted ability to complete recruitment efforts during the end of Q2/Q3, which resulted in delays in onboarding in Q4.

Continued mitigations during COVID-19 include increasing and broadening use of technology such as video platforms for interviews, electronic fingerprinting services, and delivery services to ensure new hires get necessary equipment to be productive.

The HR system intended to automate the DoD TTH model will not be deployed until FY 2021. The standardized metrics/measurements will be captured in future configurations.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

Accomplishment of hiring improvement goals will continue to be monitored/managed through the DoD Human Capital Operating Plan. A TTH goal of 80 days was established for FY 2020, with the understanding that outliers (occupations/locations with unique hiring challenges) need to be identified.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

TTH days increased during Q4 by 10 days; however, overall DoD TTH for FY 2020 (83) decreased 11 days compared to FY 2019 (94). DoD continues to make progress toward the target TTH goal of 80 days. All Components experienced declines in TTH from FY 2019 to FY 2020: Air Force, 77 (-21); Navy, 84 (-10), Army, 91 (-7), and 4th Estate, 71 (-4).

The increasing use of direct hire authorities, as well as priority placement program streamlining initiatives, continue to support the improvement in TTH in DoD. Overall, DoD TTH decreased from 94 days in FY 2019 to 83 days in FY 2020. However, the COVID-19 National Emergency and subsequent health protection protocols impacted the Department's ability to complete recruitment efforts during the end of Q2/Q3, which resulted in delays in onboarding in Q4.

In response, the Department adapted recruitment mitigation measures include increasing and broadening use of technology such as video platforms for interviews, electronic fingerprinting services, and delivery services to ensure new hires get necessary equipment to be productive.

IDENTIFY KNOWN RISKS:

Risks include unidentified or unforeseen barriers to hiring, resource and budget constraints, hiring freezes, shifts towards down-sizing or restructuring, changing mission requirements, and changes to hiring authorities and flexibilities. Further, efforts to align the entire Enterprise with a single hiring model may be challenged by system limitations and Component-unique processes and circumstances that limit flexibility to adapt to the established model.

MITIGATION EFFORTS:

At this time, no mitigation is warranted.

NEXT STEPS:

Expect ongoing progress towards meeting goals while understanding that efforts in response to the COVID-19 National Emergency may impact recruitment timeliness.

PERFORMANCE INFORMATION GAPS:

DoD will continue to collaborate with various stakeholders (e.g., Office of Personnel Management USA Staffing) to implement the DoD hiring model within DoD's personnel data systems to better

capture hiring delays in the TTH segments, and implement initiatives to improvement existing challenges in the segments. The target date for implementation is FY 2021/Q1.

CHANGED PERFORMANCE GOALS / MEASURES: None

FY 2020 Summary of Results

PG 1.5.2: Enhance recruitment and sustainment of the All-Volunteer Force (AVF)		PG Leader: USD(P&R)					
Performance Measures		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.5.2.1: *By the end of FY 2021, increase percent of youth who say they have considered military service by two points to 60%	Target	Measured Annually			59%	60%	N/A	Results expected January 2020
	Actual				51%			
Current events are impacting the market that is hard for military advertising at its current spend to overcome.								
PM 1.5.2.2: By the end of FY 2021, increase enlisted annual accession percentages from non-top 10 states by one-half point to 72.4%	Target	Measured Annually			72.2%	72.4%	N/A	Results expected January 2020
	Actual				data are not available			
PM 1.5.2.3: By the end of FY 2021, increase influencers who have seen a JAMRS ad by five points to 10%	Target	Measured Annually			8%	10%	N/A	Results expected January 2020
	Actual				45%			

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

The recruiting environment is becoming increasingly difficult for recruiters. The improving economy (low unemployment), limited pool of eligible youth (29 percent of 17-24 year olds), and a clear disconnect in the perceptions of a large part of our society regarding what it means to serve in the military pose significant challenges. The Services must consistently provide sufficient resources (recruiters, incentives, and marketing) to ensure they are able to sustain the All-Volunteer Force.

FY 2020 PERFORMANCE PROGRESS UPDATE:

The Joint Advertising Marketing Research & Studies (JAMRS) media campaign last calendar year was a success and had a positive impact on this measure. Given the preliminary data from last year's campaign Personnel and Readiness (P&R) has every reason to believe we are on track to meet this objective.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

Military recruiting is challenging. There is a limited pool of eligible youth (29 percent of 17-24 year olds) and a clear disconnect in the perceptions of what a large part of our society believes it means to serve in the military. Additionally, the COVID-19 pandemic and the State's stay at home orders have made it more difficult to reach and process prospective recruits. The Services must consistently adapt to these challenges and provide sufficient resources (recruiters, incentives, and marketing) to ensure they are able to sustain the All-Volunteer Force.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

The JAMRS media campaign last calendar year was a success and had a positive impact on this measure. In March 2020 they kicked off another media campaign that should have an added positive effect.

IDENTIFY KNOWN RISKS:

1.5.2.1: Current events are impacting the market that is hard for military advertising at its current spend to overcome.

MITIGATION EFFORTS: N/A

NEXT STEPS:

Given the preliminary data from last year's campaign, P&R has every reason to believe we are on track to meet this objective.

PERFORMANCE INFORMATION GAPS:

All performance information is current and available.

CHANGED PERFORMANCE GOALS / MEASURES:

No changes and no significant changes are forecasted.

SO 1.6: Ensure the U.S. technological advantage

SO Leader: OUSD (R&E)

STRATEGIC OBJECTIVE OVERVIEW:

The Under Secretary of Defense for Research and Engineering (USD(R&E)), the Department's Chief Technology Officer, is committed to fostering technological dominance across the Department of Defense and ensuring the advantage of the American warfighter.

The organization has been guided by the National Defense Strategy and its three lines of efforts: to build a more lethal force, strengthen alliances and attract new partners, and reform the way we do business. The OUSD(R&E) has been structured to support these initiatives, with its staff that includes: Director of Defense Research and Engineering (DDR&E) for Modernization (DDR&E(M)); DDR&E(Advanced Capabilities); DDR&E(Research and Technology); Director, Defense Innovation Unit; Director, Defense Innovation Board; Director, Defense Science Board; and its Defense Agencies and Field Activities (i.e., DARPA, MDA, SDA, TRMC, and DTIC).

Under the DDR&E(M), the Technical and Assistant Directors lead the Department-wide strategy for development and implementation of key modernization priority areas in: Artificial Intelligence and Machine Learning; Autonomy; Biotechnology; Cyber; Directed Energy; Fully Networked Command, Control and Communications (FNC3); Hypersonics; Microelectronics; Quantum Science; Space; and 5G.

STRATEGIC OBJECTIVE PROGRESS UPDATE:

The OUSD(R&E) will continue its regular assessments of the Department-wide strategies, termed the Road to Dominance, through quarterly reviews and regular engagement and strategy sessions with respective portfolio leads. Quarterly reviews will include an external reviewer to provide an independent assessment and recommendations for consideration in roadmap configuration.

STRATEGIC OBJECTIVE NEXT STEPS:

The DDR&Es continue to work with their staff on the areas addressed by each metric to enrich future efforts where applicable.

FY 2020 Summary of Results

PG 1.6.1: Foster U.S. military technical advantage by advancing development and aligning investments		PG Leader: OUSD (R&E)						
Performance Measures		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Result**
PM 1.6.1.1: Recruit a Director of Defense Research and Engineering for Modernization to serve as the Department's steward and advocate for advancing the Department's National Defense Strategy's modernization priorities	Target	X						N/A
	Actual	X						
PM 1.6.1.2: Deliver Department-Wide Road to Dominance Strategies to Deliver Game-Changing Effects for the Warfighter	Target				X	N/A		N/A
	Actual				X			
PM 1.6.1.3: Leverage strategic partnerships to ensure the Department's investments are appropriately focused on the modernization priorities and address issues during the FY 2022 Program and Budget Review, as needed, to address remaining investment gaps	Target				X			
	Actual				X			
PM 1.6.1.4: Mature R&E Organization; finalize transitions from heritage OUSD (AT&L) manpower and processes. Complete and obtain approval for the OUSD(R&E) charter	Target	X				N/A	N/A	N/A
	Actual	Partially Met			Target Met in July			
PM 1.6.1.5: Re-orient Federally Funded Research and Development Centers (FFRDCs) to align with FAR 35.017	Target		X			N/A	N/A	N/A
	Actual		X					

PM 1.6.1.6: Ensure the long-term viability of the U.S. manufacturing industry to produce capabilities at scale								
• Align Manufacturing Technology Programs to DoD technology modernization areas	Target	Measured Annually			X	N/A	N/A	N/A
	Actual	Measured Annually			X	N/A	N/A	N/A
• Establish Defense Manufacturing Council	Target		X			N/A	N/A	N/A
	Actual		X			N/A	N/A	N/A
• Establish Synthetic Biology Manufacturing Innovation Institute	Target	Measured Annually			X	N/A	N/A	N/A
	Actual	Measured Annually			Final Announcement Pending in 1QFY21		N/A	N/A
PM 1.6.1.7: Mitigate exploitation of DoD funded research and technology								
• Technology and Program Protection DoDI	Target		X				N/A	N/A
	Actual		Partially Met		Target Met in July	Expected completion date to 3QFY21	N/A	N/A
• Guidance to DoD Grant Managers to address research exploitation	Target			X			N/A	N/A
	Actual			Partially Met	Target Met in July		N/A	N/A
PM 1.6.1.8: Grow competency and methodology for quantifiable cyber resilience of weapons systems								
• Deploy Software assurance (SwA) engineering tool licenses	Target		X				N/A	N/A
	Actual		X				N/A	N/A
• Updated DoDI 5200.44	Target				X	N/A	N/A	N/A
	Actual				Partially Met in Aug 2020; Final approval expected in 3QFY21		N/A	N/A
PM 1.6.1.9: Establish Prototyping Senior Steering Group	Target			X			N/A	N/A
	Actual	X					N/A	N/A

FY 2020 PERFORMANCE GOAL OVERVIEW:

The Under Secretary of Defense for Research and Engineering (USD(R&E)), continues to drive the Department toward technical dominance in the modernization areas outlined in the NDS. The modernization priorities include: 5G; artificial intelligence; autonomous systems; biotechnology; cybersecurity; directed energy; fully-networked command, control, and communications; hypersonics; microelectronics; quantum science; and space. The OUSD(R&E) continues to work across the Department to ensure the research and development investments are aligned and focused.

The OUSD(R&E) also ensures the U.S maintains or achieves technological advantage through other activities. For FY 2020, the Department set the goal to ensure the long-term viability of the U.S. manufacturing industry to produce capabilities at scale and in the needed time frame. Accordingly, the Department established the Joint Defense Manufacturing Council, which will provide strategic oversight across DoD and alignment to numerous working groups and activities related to manufacturing technology. The council convened its first meeting in March and continues to implement virtual meetings. The Department also set a goal to mitigate exploitation of DoD funded research and technology. The OUSD(R&E) developed DoD Instruction 5000.83, Technology and Program Protection to Maintain Technical Advantage, which was issued in July 2020. The policy standardizes the practice of evaluating all Science and Technology programs for risk of exploitation. Another Department goal in FY 2020 was to grow the competency and methodology for quantifiable cyber resilience of weapon systems, which the Department has done through efforts such as the deployment of software assurance tools to DoD practitioners through the Joint Federated Assurance Center (JFAC) portal. The OUSD(R&E) has established a Prototyping Senior Steering Group (PSSG) to ensure the organization's prototyping investments are synchronized and provide the widest benefit to the Joint Service.

The OUSD(R&E) is also contributing efforts to address the coronavirus disease 2019 (COVID-19) pandemic. Utilizing Coronavirus Aid, Relief, and Economic Security Act (CARES Act) funds, the DoD's response to the COVID-19 pandemic includes research and development at the Defense Advanced Research Projects Agency in the areas of AI and biotechnology to help accelerate the response to the current crisis. The OUSD(R&E) is using funds to leverage the federal, state, commercial, and academic members of the DoD Manufacturing Innovation Institute national ecosystem to support manufacture of antibody and antiviral diagnostics technologies, rapidly deploy medical devices and instrumentation, develop a range of medical countermeasures, and coordinate national efforts to accelerate secure U.S. manufacture and acceptance of critical medical supplies.

FY 2020 PERFORMANCE PROGRESS UPDATE:

In FY 2020, the status of the OUSD(R&E) goals and metrics:

For PM 1.6.1.2, the OUSD(R&E) delivered 9 of 11 roadmaps for the modernization areas. The remaining roadmaps for Space and Artificial Intelligence are expected to be completed in Q1 FY 2021.

For PM 1.6.1.3, the OUSD(R&E) used the available roadmaps to support their discussions with the Services, Agencies, and OSD offices to ensure the Department's investments are appropriately focused on the modernization priorities. Where possible, the OUSD(R&E) recommended changes through the FY 2022 Program and Budget Review to address remaining investment gaps.

For PM 1.6.1.6, the OUSD(R&E) is working closely with the DoD manufacturing technology (MANTECH) team to coordinate manufacturing technology development. The team is working to stand up the BioIndustrial Manufacturing Innovation Institute in 1Q FY 2021.

For DoDI 5200.44, Protection of Mission Critical Functions to Achieve Trusted Systems & Networks (TSN), the OUSD(R&E) updated the DoDI in FY 2020. Final approval of the document is expected in 1Q FY 2021.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 1.6.1.1: The DDR&E(M) will serve as the Department's steward and advocate for advancing the Department's National Defense Strategy's modernization priorities through the continued development of the Modernization Roadmaps.

PM 1.6.1.2: In support of the Performance Goal to foster U.S. military technical advantage by advancing development and aligning investments, the OUSD(R&E) planned to deliver Department-wide road to dominance strategies to deliver game-changing effects for the warfighter. Road to Dominance Strategies are detailed year-by-year development roadmaps for each modernization priority area.

PM 1.6.1.3: The OUSD(R&E) planned to leverage strategic partnerships to ensure the Department's investments are appropriately focused on the modernization priorities and address issues during the FY 2022 Program and Budget Review, as needed, to address remaining investment gaps. Road to Dominance strategic roadmaps were used to guide strategic partnerships and align the Department's investments on the modernization priority activities in the roadmaps during the FY 2022 Program and Budget Review to address gaps.

PM 1.6.1.4: The OUSD(R&E) organization had planned to finalize its transition from the heritage OUSD(AT&L) organization by completing the transfer of billets, establishing its own business processes, and finalizing its charter.

PM 1.6.1.5: The OUSD(R&E) is reviewing the management and oversight of the Federally Funded Research and Development Centers (FFRDCs) to ensure that these organizations strategically align to the highest technology requirements of the Department.

PM 1.6.1.6:

1. Align Manufacturing Technology Programs to DoD technology modernization areas: The goal was to coordinate funding across manufacturing authorities to support the manufacturing needs of the modernization priorities.

2. Establish the Defense Manufacturing Council: The key performance measure is standing up the Joint Defense Manufacturing Council (JDMC). The JDMC is chartered with the following:

   - Strategically manage the Manufacturing Innovation Institutes (ensure the MIIs are effective at promoting a globally competitive manufacturing industry in their technical focus area)

   - Promote DoD and industry manufacturing capabilities in support of DoD leadership modernization and technology priorities

- Promote DoD and industry manufacturing capabilities in support of DoD production and sustainment needs (e.g. Cold Spray, Additive Manufacturing, Cyber for Manufacturing)

- Success in improving the DoD/industry capabilities requires coordination across funding authorities, across lifecycle activities, across the Components, and with industry. The JDMC membership currently includes the DoD organizations necessary to provide that coordination. We are working on how best to engage industry in the JDMC activities and interests.

3. Establish BioIndustrial (initially titled "Synthetic Biology") Manufacturing Innovation Institute (MII): Establish BioIndustrial MII to foster an end-to-end U.S. 'ecosystem' for synthetic biology including cohesive scale-up manufacturing and downstream processing capabilities, integrated test & evaluation capacity, and data operationalized for design for manufacturing, all coupled with workforce development and a focus on ethics and biosecurity. The MII will be structured to address DoD and commercial applications.

PM 1.6.1.7:

1. Technology and Program Protection DoD Instruction: The OUSD (R&E) will publish DoD Instruction (DoDI) 5000.XX "Technology and Program Protection to Maintain Technical Advantage" issuance by June 2020. The policy standardizes the practice of evaluating all S&T programs for risk of exploitation. Prior to funding an effort, the DoD S&T enterprise must evaluate and document what to develop in the open and what to develop within appropriate protective mechanisms. This will leave open research open and only document and apply protections to critical research.

2. Guidance to DoD Grant Managers to address research exploitation: The OUSD (R&E) will develop and distribute two types of guidance to DoD Program Managers. The first will be a requirement that all Program Managers funding university research grants require the collection of researcher information as part of the Research Progress Performance Report (RPPR) form. This information, combined with checks for foreign conflicts of interest and conflicts of commitment, will allow the Department to take action against those that would try to exploit DoD funded research. The OUSD(R&E) will also develop a model risk framework for DoD research to assist Program Managers and DoD components in ensuring that the appropriate security measures are in place for DoD research.

PM 1.6.1.8:

1. Deploy Software Assurance engineering tool licenses: The OUSD(R&E) aim was to deploy software assurance tools to DoD practitioners through the Joint Federated Assurance Center (JFAC) portal. This effort was supported by the JFAC working group with representation from each of the Military Departments to select priority software assurance (SwA) vulnerability analysis tools to purchase and make available to the DoD components.

2. DoDI 5200.44, Protection of Mission Critical Functions to Achieve Trusted Systems & Networks (TSN): Provide an update to the 2018 version of the DoDI.

PM 1.6.1.9: The OUSD(R&E) will establish a Prototyping Senior Steering Group (PSSG). The PSSG is an executive-level advisory board to determine funding priorities for prototypes, demonstrations, and experimentations. The PSSG leverages expertise and experience across all prototyping stakeholders to identify opportunities for targeted investment and increased efficiencies. The bi-annual PSSG is chaired by the Deputy Director (Prototypes & Software) in the office of the Director of Defense Research Engineering (Advanced Capabilities). The PSSG evaluates incoming prototype and demonstration/experimentation proposals and its output is a prioritized list with identified funding and transition partners. Discussions focus on technical innovation, capability impact, transition, de-confliction, and cross-pollination/collaboration efforts. The bi-annual PSSG includes S&T representatives from the Joint Staff, the Military Services, Combatant Commands, and OUSD(R&E) Assistant Directors. To address the long-term feasibility of proposed prototype systems, other attendees such as OUSD(Acquisition and Sustainment) can be invited.

Initiatives that support the PSSG are the National Defense Strategy, Chairman's Capability Gap Assessment, Military Service or defense agency identified capability gaps, Joint Mission Forum, USD(R&E)'s modernization priorities and Road to Dominance, and OUSD(R&E) Assistant Directors' Strategies and Roadmaps for achieving the modernization priorities and Road to Dominance.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 1.6.1.1: A position for the Director of Defense Research and Engineering for Modernization (DDR&E(M)) was established and filled in Q1 FY 2020.

PM 1.6.1.2: Nine of the eleven modernization roadmap strategies were developed and disseminated on Intelink for Department-Wide access (upon DDRE(Modernization) approval) in May 2020. DDRE(Modernization) hired the two remaining Principal Directors for AI and Space and those two roadmaps are in development and will be completed in Q1 FY 2021.

PM 1.6.1.3: Nine of eleven roadmaps were available to guide partnerships and align investments. DDRE(Modernization) hired the two remaining Principal Directors for AI and Space and plan to have the modernization priority investments for these areas aligned if practicable to the budget.

PM 1.6.1.4: The transfer of manpower billets is complete in FY 2020. The OUSD(R&E) organizational structure is in place and the leadership is working to fill the remaining vacancies. The OUSD(R&E) continues to establish its own business processes since the organization became its own under secretariat in 2018. The OUSD(R&E) charter was approved and issued in Q4 FY 2020.

PM 1.6.1.5: The initial review of all of the FFRDCs was completed in Q1 FY 2020. The review highlighted opportunities to strengthen the prioritization and allocation of staff technical equivalent (STE) to the FFRDC as well as the need for independent technical reviews of the core competencies. The OUSD(R&E) continues to evaluate mechanisms to incorporate independent technical reviews as part of the Comprehensive Review conducted by the FFRDC primary sponsor. The OUSD(R&E) is revising the DoD Instruction (DoDI) 5000.77 that governs the management of the FFRDCs to ensure that the requirement for independent technical review is incorporated into the Comprehensive Review criteria and the Sponsoring Agreements. The plan is to have the new issuance available in Q1 FY 2022.

PM 1.6.1.6:

1. Align Manufacturing Technology Programs to DoD technology modernization areas: OUSD (R&E) achieved this goal with the release and process of the MANTECH Core FY 2021 project call, and development of 1-N list of project outcomes. Additionally, OUSD (R&E) conducted a review of the Defense Manufacturing Science and Technology (DMS&T)-sponsored projects at the Manufacturing Innovation Institutes (MIIs), identified opportunities for projects aligned to the modernization priorities and met the goal of aligning at least 50% of the project investments at the MII by the end of Q3 FY 2020. Finally, the establishment of the Joint Defense Manufacturing Council now coordinates funding across manufacturing authorities to support the manufacturing needs of the modernization priorities.

2. Establish the Defense Manufacturing Council: OUSD(R&E) met this goal during Q2 FY 2020 by standing up the Joint Defense Manufacturing Council with its first convened meeting on 6 March 2020. The new Council provides strategic oversight and alignment to numerous working groups and activities related to manufacturing technology. The Council consists of representatives from across the Office of the Secretary of Defense, the Services and Agencies, and the Joint Staff.

3. Establish BioIndustrial Manufacturing Innovation Institute: OUSD(R&E) released supporting contract actions, the NOI and FOA in Q2 FY 2020 and contract award for the ninth MII, focused on BioIndustrial Manufacturing will be announced in Q1 FY 2021.

PM 1.6.1.7:

1. Technology and Program Protection DoD Instruction: The OUSD (R&E) published DoD Instruction (DoDI) 5000.83 "Technology and Program Protection to Maintain Technical Advantage" in July 2020. The policy standardizes the practice of evaluating all S&T programs for risk of exploitation. Prior to funding an effort, the DoD S&T enterprise must evaluate and document what to develop in the open and what to develop within appropriate protective mechanisms. This will leave open research open and only document and apply protections to critical research.

2. Guidance to DoD Grant Managers to address research exploitation: The USD(R&E) signed a memo that included a requirement that all Program Managers funding university research grants require the collection of researcher information as part of the Research Progress Performance Report (RPPR) and it went into effect at the end of July 2020. A draft version of the risk framework has been developed and is undergoing review before being distributed to Program Managers and Grant Managers. The plan is to complete the risk framework by Q1 FY 2021.

PM 1.6.1.8:

1. Deploy Software Assurance engineering tool licenses: The operational impact of these tools has been notable: the tools support cost avoidance by catching hacker-prone vulnerabilities in software before release to the Warfighters; and adoption of SwA tools and methodology is nearly 100% once programs see the benefit and return on investment.

2. Updated DoDI 5200.44: The DoDI is now in final coordination and should be approved NLT Q1 FY 2021.

PM 1.6.1.9:

Prototyping Senior Steering Group (PSSG) #1 – On 19 May 2020, DD(P&S) hosted the first-ever virtual NIPR and SIPRNet in-year proposal evaluation and selection meeting. Over 165 participants from OSD, the Military Services, defense agencies, the Joint Staff, and academia participated. 80 proposals were received from the Military Services and Combatant Commands (CCMDs) totaling approximately $1.1 billion in requests. A comprehensive down-select was conducted resulting in 18 proposals for presentation and evaluation equaling over $200 million in requests. Nine proposals were aligned to the Rapid Prototyping Fund and nine were aligned to the Rapid Prototyping Program, which is managed by DDRE(AC). The impacted technology/modernization areas include: Artificial Intelligence/Machine Learning (AI/ML), Biotechnology, Directed Energy, Fully Networked Command, Control, and Communications (FNC3), Hypersonics, Space, and 5G. The PSSG process resulted in the award of approximately $124 million in FY 2020 funds, and initiation of projects in mid-Jun 2020.

IDENTIFY KNOWN RISKS:

For some activities, the current COVID-19 situation delayed the team's coordination efforts (e.g., required alternate means of communication), but the impact was minimal and did not impede the staff from doing their mission. If there were other risks, they are described below.

PM 1.6.1.1: N/A

PM 1.6.1.2: N/A

PM 1.6.1.3: N/A

PM 1.6.1.4: See general statement regarding COVID-19

PM 1.6.1.5: See general statement regarding COVID-19

PM 1.6.1.6:

1. Align Manufacturing Technology Programs to DoD technology modernization areas: N/A

2. Establish the Defense Manufacturing Council: See general statement regarding COVID-19

3. Establish BioIndustrial Manufacturing Innovation Institute: See general statement regarding COVID-19

PM 1.6.1.7: N/A

PM 1.6.1.8:

1. Deploy Software Assurance engineering tool licenses: N/A

2. Updated DoDI 5200.44: See general statement regarding COVID-19

PM 1.6.1.9: See general statement regarding COVID-19

MITIGATION EFFORTS: None to report

NEXT STEPS:

PM 1.6.1.1: N/A

PM 1.6.1.2: With all the Principal Directors for AI and Space on-board, the goal is for the roadmaps for these areas to be developed and completed in Q1 FY 2021.

PM 1.6.1.3: With all the Principal Directors for the Modernization areas in place, the roadmaps will continue to be updated and used to have the modernization priority investments for these areas aligned, if practicable, to the current and planned budgets.

PM 1.6.1.4: N/A

PM 1.6.1.5: N/A

PM 1.6.1.6: Establish BioIndustrial Manufacturing Innovation Institute

PM 1.6.1.7: Complete the review of the risk framework and distribute to Program Managers and Grant Managers. Expected completion is Q1 FY 2021.

PM 1.6.1.8: Obtain approval for update to DoDI.

PM 1.6.1.9: PSSG 2 – DD(P&S) virtually hosted PSSG #2 on 28 – 30 July 2020. PSSG 2 focused primarily (not exclusively) on FY 2021 new-start projects across the prototyping and experimentation portfolio. To date, over 120 proposals have been received and a rigorous review and down-select process is currently underway to ensure proposed capabilities support the updated Joint Mission Priority Areas for FY 2021.

PERFORMANCE INFORMATION GAPS: N/A

CHANGED PERFORMANCE GOALS / MEASURES:

PM 1.6.1.6, Establish BioIndustrial Manufacturing Innovation Institute, is planned to be met in Q1 FY 2021.

SO 1.7: Ensure Safe and Resilient DoD Installations

SO Leader: USD (A&S)

STRATEGIC OBJECTIVE OVERVIEW:

The National Defense Strategy emphasizes rebuilding military readiness for a more lethal joint force. As power projection platforms, installations are key components of this line of effort. The Department must work to ensure resiliency to a wide range of challenges – regardless of the source – to include weather, climate, natural events, disruptions to energy or water supplies, and direct physical or cyber-attacks. The Department also recognizes that we must make installations a safe place for our Service members and their families. As such, the Department takes a broad, systemic approach considering threats to both built and natural infrastructure. Not only must the Department ensure facilities themselves are resilient, but must also ensure that the surrounding land, water, and airspace can support mission-essential activities. The DoD is proactive in developing comprehensive policy, guidance, and tools to mitigate these impacts, with a focus on robust infrastructure, sound land management policies, and increased energy resilience.

STRATEGIC OBJECTIVE PROGRESS UPDATE:

The Department is committed to having safe and resilient installations and the below performance goals will assist in achieving this objective.

Enhance the Quality of Military Housing: To ensure privatized housing is safe and meets resident needs, DoD has recommitted to its Military Housing Privatization Initiative (MHPI) program oversight role. Eight lines of effort were identified to correct deficiencies. These lines of effort include:

1. Issue Resident Bill of Rights
2. Develop Resident Responsibility Document
3. Review MHPI Resident Satisfaction Survey Process
4. Establish Dispute Resolution Process
5. Establish Incentive Fee Framework
6. Revitalize Housing Workforce
7. Establish Customer Care/Resident Advocates
8. Issue Common Lease Framework

Ensure Installation Energy Resilience: Energy is an essential enabler of military capabilities. The Department depends on energy resilient forces and installations to achieve its missions. DoD is providing installation energy and resilience related policy and governance for programs and activities to enable more resilient, efficient, and mission capable infrastructure and installations. OASD(Sustainment) will continue receiving Installation Energy Plans (IEP) from the Services (79 expected in Fiscal Year 2020). Black start exercises, also known as Energy Resilience and Readiness Exercises (ERRE), are a critical component to test and verify the Department's strategy to ensure energy resilience. These exercises reveal opportunities to improve energy resilience in materiel, operations, and planning.

Mitigate Environmental Threats to Past, Current, and Future Installations: The effects of a changing climate produce potential impacts to the Department's built and natural infrastructure, as well as to its

missions and operational plans. It is important that installations are resilient to a wide-range of environmental vulnerabilities. The Department incorporates climate resilience as a cross-cutting consideration for planning and decision-making processes, and not as a separate program or specific set of actions. Specifically, the Department considers resilience in the installation planning and basing processes, including the consideration of environmental vulnerabilities in installation master planning, management of natural resources, design and construction standards, utility systems and service, and emergency management operations. To improve understanding of installations' relative exposure to the effects of extreme weather and climate impacts, DoD coordinated with the U.S. Army Corps of Engineers (USACE) to update and expand the climate assessment tool originally developed for the Army. In September 2019, a contract was awarded to implement the tool at up to 50 sites in the United States and 10 overseas for the Military Departments. USACE continues to make progress updating the climate assessment tool and is on track to produce a report for each Military Department and fact sheets for each site in September.

Environmental Remediation of the "PFAS" Class of Chemicals: The Secretary of Defense established the PFAS (Per- and Polyfluoroalkyl Substances) Task Force on July 23, 2019. The Task Force provides strategic leadership and direction to ensure a coordinated, aggressive, and holistic approach on DoD-wide efforts to proactively address PFAS. The Task Force works to provide the Department with the tools needed to address the effects from DoD PFAS, as we take care of our Soldiers, Sailors, Airman, Marines, their families, and the affected communities surrounding our bases. DoD's proactive action reduces the risks of Perflurooctane Sulfonate (PFOS) and Perfluorooctanoic Acid (PFOA) to human health through its three-pronged approach: 1) quick action to address PFOS and PFOA in the drinking water it supplies, 2) response actions in accordance with the Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA, aka Superfund), and 3) committing significant funds in research and development to identify and test fluorine-free Aqueous Film Forming Foam (AFFF), and to develop more cost effective treatment technologies.

STRATEGIC OBJECTIVE NEXT STEPS:

Enhance the Quality of Military Housing: The Department will continue making progress on the eight identified lines of efforts to correct MHPI program deficiencies. In the near term, the Secretaries of the Military Services will host the Tri-Service meeting with the MHPI partners in January 2020 to discuss progress on the performance measures and other resident focused initiatives. The Department will continue to host weekly meetings with the Military Service Components to discuss progress on these performance measures; identify challenges that impede progress; and develop mitigation strategies to enable continued advancement on the performance measures. Additionally, the Resident Bill of Rights is nearing finalization.

Ensure Installation Energy Resilience: The Department will continue to provide installation energy and resilience related policy and governance for programs and activities to enable more resilient, efficient, and mission capable infrastructure and installations. Two ERREs and 79 IEP submissions from the Services were anticipated, but have been impacted by the COVID-19 pandemic. The Department is working to have plans in place to complete these actions once the travel limitations and other COVID-19 prevention measures are sufficiently reduced to allow these to take place.

Mitigate Environmental Threats to Past, Current, and Future Installations: The Department will implement the climate assessment tool. The results of the assessments performed will allow the Department to understand relative exposure of the identified locations to the effects of extreme weather and climate impacts. The DoD Components will work with field staff to identify water resilience vulnerabilities and to provide quarterly progress updates to OSD on status of compliance.

Environmental Remediation of the "PFAS" class of chemicals: The Department will evaluate the cost reporting data received on November 15, 2019, to determine whether PFAS-specific cost to complete policy is necessary to support the Department's efforts to address PFAS. The Department recently released an updated version of DoD PFAS website to provide additional articles, reference materials, links, talking points and messages intended to communicate the on-going efforts to address the concerns of our warfighters, their families, and our communities, and will continually provide updates as necessary.

FY 2020 Summary of Results

PG 1.7.1: Continue to be responsive to the Combatant Commanders in response to validated urgent operational needs		PG Leader: OUSD(A&S)						
Performance Measures		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.7.1.1: Issue Resident Bill of Rights	Target	X						
	Actual		X					
PM 1.7.1.2: Develop Resident Responsibility Document	Target	X						
	Actual		X					
PM 1.7.1.3: Review MHPI Resident Satisfaction Survey Process	Target			X				
	Actual		X					
PM 1.7.1.4: Establish Dispute Resolution Process	Target	X						
	Actual	X						
PM 1.7.1.5: Establish Incentive Fee Framework	Target	X						
	Actual			X				
PM 1.7.1.6: Revitalize Housing Workforce	Target		X (Army)		X (DON & Air Force)			
	Actual		X (Army)		X (DON & Air Force)			
PM 1.7.1.7: Establish Customer Care Advocates	Target		X (Army and Navy)		X (Air Force)			
	Actual		X (Army and Navy)		X (DON & Air Force)			
PM 1.7.1.8: Issue Universal Lease Framework	Target				X			
	Actual			X				

FY 2020 PERFORMANCE GOAL OVERVIEW:

The Department is committed to protecting the quality of life for military personnel and their families by ensuring access to safe, high-quality, affordable family and unaccompanied housing where they want to live. The housing conditions where Service members and their families live impacts quality of life, their ability to do their jobs, and the Department's ability to recruit and retain the force. Ensuring a positive housing experience is critical to support personnel readiness. The Department is also committed to the long-term success of the Military Housing Privatization Initiative (MHPI) program, and continues oversight of the MHPI portfolio to ensure delivery of safe, quality, well-maintained housing for Service members and their families over the life of the housing projects. This includes a dual focus of ensuring residents have a safe and positive experience living in privatized housing, as well as ensuring the long-term viability of the MHPI projects.

FY 2020 PERFORMANCE PROGRESS UPDATE:

The FY 2020 National Defense Authorization Act (NDAA) included significant modifications of, and additions to, the MHPI legal framework. On February 25, 2020, the Secretary of Defense and the Military Service Secretaries issued the MHPI Tenant Bill of Rights (BOR) that addressed 15 of the 18 rights set out in the FY 2020 NDAA. The BOR expressed DoD's commitment to provide the full benefit of the initial 15 rights by May 1, 2020, and to continue our efforts to provide the full benefits of the three remaining rights - access to maintenance history, process of dispute resolution, and withholding of rent until disputes are resolved - as soon as possible. On June 1, 2020, the Assistant Secretary of Defense for Sustainment (ASD(S)), as the Chief Housing Officer (CHO), announced that the first 14 rights in the BOR are fully available to military service members and their families who are tenants of MHPI housing (Tenants) at the vast majority of installations, noting that there are a few instances where an individual right may not be fully available initially at an installation, in which case the affected Tenants will be informed at the local level. The CHO announcement, posted on the defense.gov website, asked Tenants for their patience as the Department, including our military installations, and the MHPI projects gain proficiency in delivery these rights, especially given the present national health situation. The announcement also explained that the Department has made significant progress working with the MHPI companies to resolve remaining challenges so the benefits of the 15th right (common forms and documents), and the remaining three rights (access to maintenance history, process of dispute resolution, and withholding of rent until disputes are resolved) can be made available to Tenants.

On May 1, 2020, the CHO issued interim policy on provision of a seven-year maintenance history for MHPI housing units to prospective tenants. The interim policy does not require "all information" regarding the maintenance of the unit as required by the FY 2020 NDAA, but instead provides the prospective tenant with a seven-year maintenance history in a user-friendly format before signing the lease, and allows tenants to request and receive additional details on that maintenance history. On June 25, 2020, the CHO and the Military Service Components held a conference call with the MHPI companies and the financial community (aka Lenders) engaged in the MHPI projects to discuss provision in the FY 2020 NDAA. This was the Office of the Secretary of Defense's first formal engagement with the Lenders and allowed DoD to validate Lender concerns and understand their approval requirements, thereby informing the way ahead towards implementation of the FY 2020 NDAA provisions. On July 16, 2020, the CHO issued policy on use of the MHPI Universal Lease and

issued the Universal Lease Frame, a template with common terms and schedules including dispute resolution and rent segregation. On September 2, 2020, the CHO issued guidance directing each Military Department to work with their respective MHPI companies to accelerate the MHPI Universal Lease review process to meet a hard deadline of December 15, 2020, that was directed by the Secretary of Defense, noting that any necessary amendments of the project documents can occur later.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 1.7.1.1: Issue Tenant Bill of Rights – Secretary of Defense released an MHPI Tenant Bill of Rights (BOR) on February 25, 2020, that was signed by Secretary Esper and the Secretaries of the Military Departments. The National Defense Authorization Act (NDAA) for FY 2020 set out 18 rights of military service members and their families residing in privatized housing (Tenants). The BOR expressed the Department's commitment to provide the full benefit of the initial 15 rights by May 1, 2020, and explained that the Department would work with the MHPI companies and, as necessary, Congress to ensure the benefits of the three remaining rights – access to maintenance history, process of dispute resolution, and withholding of rent until disputes are resolved – are fully available. The BOR is posted on the defense.gov website and Landlords will be required to attach a copy of this document to all new Tenant leases immediately following MilDep implementation of the Universal Lease Policy issued by the Assistant Secretary of Defense, in his capacity as the Chief Housing Officer (CHO), on July 16, 2020. CHO issued guidance on September 2, 2020, directing the Military Departments to work with their respective MHPI companies to accelerate review of the MHPI Universal Lease process and obtain each MHPI company's decision, by December 15, 2020, as to whether the company will voluntarily implement the Universal Lease at their existing MHPI projects. The firm deadline of December 15, 2020, was established at the direction of the Secretary of Defense. The required amendments to the project documents can occur after that date, but the goal is for the Universal Lease to be utilized at existing MHPI projects by mid-FY 2021.

PM 1.7.1.2: Develop Tenant Responsibility Document – Secretary of Defense issued the MHPI Tenant Responsibility Document on February 25, 2020. This document outlines five important responsibilities of Tenants residing in privatized housing, consistent with requirements in the FY 2020 NDAA: prompt reporting of home hazards or needed repairs; care for the home; personal conduct; home access by the Landlord; and compliance with the Tenant lease terms and associated rules and guidelines. The Tenant Responsibility document is posted on the defense.gov website and Landlords will be required to attach a copy of this document to all new Tenant leases immediately following MilDep implementation of the Universal Lease Policy issued by the Assistant Secretary of Defense, in his capacity as the Chief Housing Officer, on July 16, 2020.

PM 1.7.1.3: Review MHPI Resident Satisfaction Survey Process – OASD(Sustainment), in coordination with the MilDeps, completed review of the MHPI resident satisfaction survey process in June 2020, identifying process improvements to ensure that the Department conducts one annual MHPI resident satisfaction survey, in Q1 of the fiscal year to capture resident input immediately after the summer Permanent Change of Station (PCS) season when most military members complete their PCS moves. The survey will be conducted under contract by one MilDep on a rotating basis, with the others sharing in the contract cost, and all survey data and results will be provided directly to the MilDeps before they

are shared with the MHPI project companies, consistent with FY 2020 NDAA requirements. The revised process will be implemented effective with the next annual survey, conducted in Q1 of FY 2021.

PM 1.7.1.4: Establish Dispute Resolution Process – The CHO issued a Universal Lease template document with common terms and schedules, including dispute resolution and rent segregation, on July 16, 2020. The dispute resolution process established in the Universal Lease complies with the process set out in the FY 2020 NDAA. More details are provided under PM 1.7.1.8, below.

PM 1.7.1.5: Establish Incentive Fee Framework – The ASD(S) established a common incentive free framework in policy issued October 28, 2019, and the MilDeps had completed negotiation of revised incentive fees at most MHPI projects as of July 2020 (Army and Air Force projects complete, DoN projects nearly complete).

PM 1.7.1.6: Revitalize Housing Workforce – The MilDeps have taken steps to revitalize their housing workforce at multiple organizational levels. As of July 15, 2020, Army had filled all of its planned 114 new housing positions; DoN had hired 145 of 286 planned additional staff; and Air Force had hired 105 of 218 additional housing-related staff, with continue hiring ongoing. Department of Navy's target for completing its hiring is December 2020 and Air Force's target is March 2021.

PM 1.7.1.7: Establish Customer Care/Resident Advocates – As of July 15, 2020, the Army and DoN had established Tenant advocates at each installation with MHPI housing, and the Air Force had established most Tenant advocates positions with hiring actions ongoing for remaining installations. In all cases, military service members and their families who reside in MHPI housing (Tenants) have access to either a Tenant advocate or a military legal assistance attorney, in compliance with the FY 2020 NDAA.

PM 1.7.1.8: Issue Common Lease Framework – The Assistant Secretary of Defense, as the Chief Housing Officer (CHO), issued overarching policy for use of the MHPI Universal Lease, a template with common terms and schedules including the dispute resolution and rent segregation processes, on July 16, 2020. The policy is effective immediately and directs the MilDeps to require all new or renewed MHPI Housing Projects to use the Universal Lease template for military tenants and their families (Tenants) of MHPI family or unaccompanied housing (other than transient lodging); to immediately seek project owner agreement to use the Universal Lease template when leasing an MHPI housing units to Tenants at existing MHPI projects; to report to the CHO any instance where the MHPI project owner does not agree to use the Universal Lease template at its existing MHPI Housing Project; and to develop and implement MilDep policies to ensure that the current version of the MHPI Tenant Bill of Rights and MHPI Tenant Responsibilities document are attached to each new Tenant lease. The CHO issued guidance on September 2, 2020, directing the Military Departments to work with their respective MHPI companies to accelerate the MHPI Universal Lease review process to provide a final decision on whether MHPI companies will agree to implement the Universal Lease by a hard deadline of December 15, 2020. This guidance was consistent with direction from the Secretary of Defense; required amendments to the MHPI project documents can occur after December15, 2020, but the intent is for the Universal Lease to be utilized at existing projects in FY 2021.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

The Department has made significant progress in advancing the eight MHPI performance measures, completing nearly all requirements within or ahead of the targeted timeline as of the end of the fourth quarter of FY 2020: The Department completed review of the MHPI Resident Satisfaction Survey Process in the third quarter, ahead of schedule, setting in motion an improved process that will begin in FY 2021. The Department of the Army completed revitalization of its housing workforce in the third quarter meeting its target; however, the Department of the Navy fell behind schedule in its hiring efforts, missing its third quarter targeted completion. The Department of the Air Force remains on schedule to meet its target for housing workforce revitalization in FY 2021. The Departments of the Army and Navy met their targets to designate customer care/resident advocates at each installation with MHPI housing during the third quarter, and the Department of the Air Force remains on track to establish required resident advocates in FY 2021. In addition, the ASD(S), as the Chief Housing Officer (CHO), issued policy on July 16, 2020, for the MilDeps to immediately work with MHPI companies to implement the Universal Lease Framework, to include the dispute resolution process and others processes and requirements contained therein. The Department's July 2020 release of the Universal Lease Framework completes this performance measure one quarter earlier than targeted, and also completes the Dispute Resolution Process performance measures, although two quarters later than targeted. The CHO issued follow-on guidance on September 2, 2020, that directed the MilDeps to work with their MHPI project companies to accelerate the Universal Lease Framework process review to meet a December 15, 2020, hard deadline established by the Secretary of Defense. This accelerated timeline will ensure MHPI project companies make a decision on whether they will implement the Universal Lease framework at existing MHPI projects, thereby advancing the Department's goal of implementing the Universal Lease across the MHPI portfolio in FY 2021. In addition, the Department issued interim policy on provision of a seven-year maintenance history for MHPI housing units to prospective tenants, and continued to advance implementation of other provisions in the FY 2020 NDAA besides those tracked by the eight MHPI performance measures identified for FY 2020.

IDENTIFY KNOWN RISKS:

The Department must put in place policies, processes and procedures to fully implement many of the MHPI provisions in the FY 2020 NDAA, to include several which require incorporation into the project legal agreements. However, the NDAA provisions only apply to new or renewed projects unless a MHPI company agrees to their retroactive application to existing deals. MHPI projects are not contracts, but are ground leases with associated legal agreements that cannot be unilaterally changed by the Military Departments or the Congress; rather, the MHPI project companies and the financial community (aka Lenders) engaged in MHPI projects must agree to any changes to the project legal documents.

The MHPI projects and their Lenders remain concerned regarding implementation of any MHPI provisions that would impact project financial risk. During the Privatized Housing Partnering Summit held on June 25, 2020, the MHPI companies indicated the proposed universal lease would take months to obtain agreement due to the number of stakeholder (Lenders, States, local municipalities) reviews required. The MHPI companies and their Lenders expressed concern that providing a seven-year home maintenance history to prospective tenants, as called for by the FY 2020 NDAA of by the Department's interim policy issued on May 1, 2020, deviates from private-sector rental practices, stigmatizing the

MHPI housing units and thereby putting MHPI projects at a competitive disadvantage. They are generally open to implementing a simplified maintenance history covering few years of data, but this would be inconsistent with DoD interim policy and the FY 2020 NDAA. While the MHPI companies and Lenders signaled a willingness to accept rent segregation within the project cash waterfall if subordinate to project debt, this is inconsistent with the FY 2020 NDAA. The MHPI companies and Lenders remained concerned regarding an FY 2020 NDAA requirement that directs MHPI project companies reimburse the Department for medical treatment linked to housing conditions, but generally accept DoD's planned policy approach that would rely on the existing Medical Claims Recovery Act process to seek medical claim reimbursement. The MHPI companies also expressed concern that FY 2020 NDAA provisions requiring additional home inspections and application of new standards to existing homes (e.g. especially for historic homes) will increase project expenses. As a result, the above FY 2020 NDAA requirements, and potentially others, may require collaboration with Congress to achieve the same principles through revised language, raising risk regarding the implementation timeframe for these provisions at existing MHPI projects.

The ASD(S) continues to monitor progress on actions to improve the MHPI resident experience and program oversight in order to identify, assess, and mitigate risk to meet targets. ASD(S) issued guidance directing the MilDeps to obtain a decision from MHPI project companies by December 15, 2020, on whether they will agree to voluntarily incorporate the Universal Lease Framework into existing MHPI project legal documents; however, the Department cannot control the timeline required to obtain MHPI project companies or lender approval to incorporate new requirements into project legal documents as necessary to fully implement some FY 2020 NDAA requirements.

MITIGATION EFFORTS:

The Department of the Navy and Department of the Air Force continue their efforts to complete hiring actions to revitalize their housing workforce, and for the Air Force to establish Tenant Advocates at all installations with MHPI housing. These efforts were impacted by the current health crisis during the second and third quarters of FY 2020.

The Department will continue to work with the MHPI project companies to implement the NDAA provisions, but may need to collaborate with Congress to achieve the same principles through revised language.

NEXT STEPS:

The Department of Defense, working through the Military Departments, will continue to collaborate with the MHPI project companies to finalize processes and procedures to fully implement Right #15 in the Tenant Bill of Rights (i.e., the Universal Lease) and to work through remaining issues necessary to expeditiously implement the remaining three tenant rights set out in the FY 2020 NDAA. The Department will collaborate with Congress regarding FY 2021 NDAA provisions, as appropriate, to help ensure quality housing for MHPI Tenants and the long-term financial viability of the MHPI program and projects.

PERFORMANCE INFORMATION GAPS: All performance information is current and available.

CHANGED PERFORMANCE GOALS / MEASURES: No changes and no significant changes are forecasted.

FY 2020 Summary of Results

PG 1.7.2: Ensure Installation Energy Resilience		PG Leader: OUSD(A&S)						
Performance Measures		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.7.2.1: Installation Energy Plan Reviews	Target	X	X	*X	*X	X	X	NEW
	Actual	X	X					
*Due to the COVID 19 pandemic (e.g., travel restrictions, inability to tour facilities and conduct interviews, etc.) ODASD(Energy) changed from quarterly to annual program reviews for this performance category in the third quarter of FY2020. Specifically, ODASD(Energy) removed the 3Q and 4Q Installation Energy Plan Review targets in the table above: FY 2020 PERFORMANCE MEASURES/TARGETS.								
PM 1.7.2.2: Energy Resilience and Conservation Investment Program (ERCIP) Annual Program Review	Target	X				X	X	NEW
	Actual	X						
PM 1.7.2.3: Utilities Privatization Program Annual Program Review	Target	X				X	X	NEW
	Actual	X						

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete,
accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

Energy is an essential enabler of military capabilities and the Department depends on energy resilient forces and installations to achieve its missions. The Department's critical infrastructure are at risk by a wide range of foreign and domestic adversaries and natural events. Recent natural events at Tyndall AFB, Offutt AFB, NAWS China Lake, and Camp Lejeune that caused major disruptions on mission readiness and posture are examples of the catastrophic effects nature can have on the Department's missions, installations, and enabling infrastructure. To mitigate threats on the Department's critical assets, the Department has worked proactively to lay the policy groundwork needed to ensure energy readiness and cybersecurity are integrated across the full energy portfolio.

FY 2020 PERFORMANCE PROGRESS UPDATE:

- ODASD(Energy) continued to support the Military Services in their operationalization of OSD issued installation energy policies which focus on closing energy resilience and cybersecurity gaps, and implementing the National Defense Strategy (NDS). ODASD(Energy) hosted annual Installation Energy Plan (IEP) program reviews with each Military Component and reviewed IEPs submitted in Q1 of FY 2020. Additionally, ODASD(Energy) held annual program reviews with each of the Military Components in November 2019 in relation to the Energy Resilience and Conservation Investment Program (ERCIP). ODASD(Energy) also hosted annual Utilities Privatization (UP) Program reviews with each of the Military Components Q1of FY2020.

- DoD Components moved forward in their efforts to develop comprehensive Installation Energy Plans (IEPs) in Q2 of FY 2020. Through monthly engagement in Energy Performance Working Group meetings ODASD(Energy) has provided guidance and assistance to the Services in order to improve IEP outcomes. IEPs for priority installations continued to be submitted in FY 2020. Travel restrictions related to the COVID 19 pandemic in March 2020 have slowed the progress of site visits needed to complete IEPs by the end of the FY. Additionally, continued travel restrictions impeded efforts in Q3 and Q4 of FY 2020.

- DoD Components continued to develop comprehensive Installation Energy Plans (IEPs) in Q3 of FY 2020 where COVID-19 did not affect the planning process. Through monthly engagement in Energy Performance Working Group meetings, ODASD(Energy) provided guidance and assistance to the Services in order to improve IEP outcomes. IEPs for priority installations continued to be submitted in FY 2020. Travel restrictions related to the COVID 19 pandemic slowed the progress of site visits needed to complete IEPs at quarter's end.

- DoD Components continued to develop comprehensive Installation Energy Plans (IEPs) in Q4 of FY 2020 where COVID-19 did not impact the planning process. Through monthly engagement in Energy Performance Working Group meetings, ODASD(Energy) provided guidance and assistance to the Services in order to improve IEP outcomes. IEPs for priority installations continued to be completed in FY 2020. Travel restrictions related to the COVID 19 pandemic slowed the progress of site visits needed to complete IEPs at the end of FY 2020. Continued travel restrictions are expected to impede efforts Q1 of FY 2021.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 1.7.2.1: Department policy, Installation Energy Plans: Energy Resilience and Cybersecurity Update and Expansion of the Requirement to All DoD Installations dated May 30, 2018, requires Installation Energy Plans (IEPs) to be completed for priority installations by the end of FY 2019, the 75% highest energy consuming installations by the end of FY 2020, and all the remaining installations by the end of FY 2021. At the end of each fiscal year, the DoD Components must submit their completed IEPs to OASD(Sustainment). This holistic planning process identifies critical energy requirements and provides a framework to make prudent time phased investment decisions based upon mission needs.

PM 1.7.2.2: Each DoD Component with active ERCIP projects provide a program update on the performance of their completed projects, brief on the status of active projects in the design/construction phase, provide a financial overview, and discuss future plans and strategy for managing their program.

The Annual Program Reviews allow the DoD Components to share lessons learned and best practices, guide Department decision making to close energy gaps at critical installations, and improve program execution.

PM 1.7.2.3: Maintaining access to reliable, resilient, and cyber-secure utility infrastructure and facility related controls and data is critical to DoD mission execution. Military installations have historically been challenged in maintaining reliable utility infrastructure that keeps pace with operational and mission needs. The Department performs annual utilities privatization program reviews to ensure that privatized utilities are being managed in an energy resilient and cyber-secure manner. Additionally, DoD Components' UP investments will be aligned to the Installation Energy Planning process to ensure investments are prioritized by mission and implemented in a lifecycle cost effective manner.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 1.7.2.1: DoD Components continued to develop IEPs in Q4 of FY 2020 where COVID-19 did not limit the ability to complete them. ODASD(Energy) continued to provide review and assistance in order to improve outcomes. Components used ODASD(Energy) feedback to improve the IEP development processes. ODASD(Energy) continued to host monthly Energy Performance Working Group (EPWG) meetings in Q4 of FY 2020 with key Program stakeholders to monitor Component status and alignment with the National Defense Strategy. EPWG meetings facilitated the achievement of Service goals addressed at the IEP Annual Program Review.

Due to implementation complexities caused by the COVID 19 pandemic (e.g., travel restrictions, inability to tour facilities and conduct interviews, etc.) ODASD(Energy) has changed from quarterly to annual program reviews for this performance category in FY2020. Specifically, ODASD(Energy) has removed the 3Q and 4Q Installation Energy Plan Review targets in the table above.

PM 1.7.2.2: ODASD(Energy) continued to host monthly ERCIP Working Group meetings with key stakeholders to monitor Component status, compliance with policy, and alignment with the National Defense Strategy. Working Group meetings continued to facilitate the achievement of goals and address issues discussed at the ERCIP Annual Program Review.

PM 1.7.2.3: ODASD(Energy) hosted monthly UP Working Group meetings in Q4 of FY 2020 with key Program stakeholders to monitor Component status and alignment with the National Defense Strategy. Working Group meetings facilitated the achievement of Service goals addressed at the UP Annual Program Review.

IDENTIFY KNOWN RISKS:

Separate Working Group meetings for IEPs, ERCIP and UP, respectively are held approximately every month to address any issues and for ODASD(Energy) to provide information, lessons learned, and best practices to continue to advance these Programs. Travel restrictions related to COVID 19 are slowing the progress of site visits needed to complete or advance IEPs, FY 2023 ERCIP project development, and certain post-award oversight activities. Continued travel restrictions are expected to impede efforts in the Q1 of FY 2021. The Services are presently developing and implementing risk mitigations to reduce any program and schedule impacts.

MITIGATION EFFORTS:

The Services continue to develop and implement risk mitigations to reduce any program and schedule impacts from COVID 19 related travel restrictions.

NEXT STEPS:

ODASD(Energy) plans to hold IEP Annual Program Reviews in FY 2021 and FY 2022. ODASD(Energy) plans to hold ERCIP Annual Program Reviews in FY 2021 and FY 2022. ODASD(Energy) plans to hold UP Annual Program Reviews in FY 2021 and FY 2022.

PERFORMANCE INFORMATION GAPS: All performance information is current and available.

CHANGED PERFORMANCE GOALS / MEASURES: No changes and no significant changes are forecasted.

FY 2020 Summary of Results

PG 1.7.3: Mitigate Environmental Threats to Past, Current, and Future Installations		**PG Leader:** USD(A&S)						
Performance Measures		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.7.3.1: Expand and run DoD climate tool to assess vulnerabilities	Target	Measured in FY 2021				X		NEW
	Actual							
PM 1.7.3.2: Assess Current Department Water Resilience Vulnerabilities	Target	X						NEW
	Actual	X						
PM 1.7.3.3: Integrate climate resilience (flood risk mitigation) into master planning and DD1391s	Target		X (Modify DD 1391)		X (Update UFCs)			NEW
	Actual		Not Met		Not Met			
PM 1.7.3.4: Incorporate climate resiliency (projections) into planning and design UFCs	Target	Measured Annually			X			NEW
	Actual				X			

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

The effects of a changing climate are a national security issue with potential impacts to the Department's built and natural infrastructure, as well as missions and operational plans. It is important that our

installations be resilient to a wide-range of environmental vulnerabilities, including climate factors such as changing sea level, coastal and riverine flooding, drought, desertification, wildfires, thawing permafrost, select historic extreme weather events, and reduced aviation lift capacity due to air quality. We incorporate climate resilience as a cross-cutting consideration for our planning and decision-making processes, and not as a separate program or specific set of actions. Specifically, the Department considers resilience in the installation planning and basing processes. This includes consideration of environmental vulnerabilities in installation master planning, management of natural resources, design and construction standards, utility systems and service, and emergency management operations.

FY 2020 PERFORMANCE PROGRESS UPDATE:

- DoD Components continued to evaluate the damages inflicted by recent major natural events and implement lessons learned into installation planning and building standards.

- DoD published revised installation planning and facilities design standards to incorporate projected sea level change at coastal installations, and fielded a new climate assessment tool for evaluating future climate-related risks at installations.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 1.7.3.3: Integrate climate resilience (flood risk mitigation) into master planning and DD1391s

This performance measure consists of updating DoD policy guidance for flood risk management to incorporate new statutory requirements for installation planning, risk mitigation, and congressional reporting, and modification of the DD form 1391 to include additional information requirements.

PM 1.7.3.4: Incorporate climate resiliency (projections) into planning and design UFCs

Incorporate climate resiliency (projections) into planning and design UFCs. This performance measure consists of revising the Department's Unified Facilities Criteria to incorporate the use of data representing projected (future) conditions and thereby improve the long-term resilience of defense installations against environmental threats.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 1.7.3.3: Integrate climate resilience (flood risk mitigation) into master planning and DD1391s

The development of DoD's updated floodplain management guidance (which includes requirements for flood risk mitigation on DD1391s) has required more time than originally planned, exacerbated by the unplanned turnover of key staff leading the effort.

PM 1.7.3.4: Incorporate climate resiliency (projections) into planning and design UFCs

The Department updated its UFC for installation master planning in September 2020 and for civil engineering in early October 2020 to incorporate DoD-vetted data projections for sea level change at coastal locations. These updates represent the Department's first use of data projections representing possible future conditions.

IDENTIFY KNOWN RISKS: None

MITIGATION EFFORTS: None

NEXT STEPS:

PM 1.7.3.3: Integrate climate resilience (flood risk mitigation) into master planning and DD1391s

The updated floodplain management guidance (including flood risk mitigation requirements for DD1391s) is planned for completion in second quarter FY 2021.

PM 1.7.3.4: Incorporate climate resiliency (projections) into planning and design UFCs

The Department is evaluating the new Climate Assessment Tool for application to installation planning and facilities design in areas other than sea level change. These applications require a high level of data definition and specificity to adequately represent future conditions. The evaluation is planned for completion in second quarter FY 2021.

PERFORMANCE INFORMATION GAPS:

Unknown, pending evaluation of the Climate Assessment Tool that will identify the extent of any information gaps in data needed for installation planning and facilities design purposes.

CHANGED PERFORMANCE GOALS / MEASURES:

None, although the expected completion date for PM 1.7.3.3 has moved to FY 2021.

FY 2020 Summary of Results

PG 1.7.4: Environmental Remediation of the "PFAS" class of chemical		PG Leader: USD(A&S)						
Performance Measures		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.7.4.1: Develop Policy to Track Sites in Preliminary Assessment/Site Investigation	Target	X				X		Signed Oct 23, 2019
	Actual	X						
PM 1.7.4.2: Develop Policy to Estimate Cost to Complete	Target	X						Signed Oct 15, 2019
	Actual	X						
PM 1.7.4.3: Issue Policy to Report PFAS in Storm Water Discharge Permits	Target		X (Modify DD 1391)		X (Update UFCs)			Signed Jan 10, 2020
	Actual		X		X			
PM 1.7.4.4: Establish DoD PFAS Website on Defense.gov	Target	X			X			Went live Nov 19, 2019
	Actual	X						
PM 1.7.4.5: Identify Method for Testing Non-Groundwater & Soil and Establish Timelines for Implementation	Target	X						NEW
	Actual	X						
PM 1.7.4.6: AFFF Sampling to Validate Concentrations of PFOS/PFOA	Target	X						Lab validation Dec 30,
	Actual	X						
PM 1.7.4.7: Evaluate Fluorine Free Foams to Validate MILSPEC Compliance	Target	X	X	X	X	X	X	On-going
	Actual	X	X	X	X			

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete,
accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

Ensuring the health and safety of our Service members, the families living on our installations, and the surrounding communities is one of the Department's top priorities. To reinforce DoD's commitment to meet critical mission requirements while protecting human health, OUSD(A&S) led the effort for

DoD to proactively take action to reduce the risks of Perfluorooctane Sulfonate (PFOS) and Perfluorooctanoic Acid (PFOA) to human health, by adopting a three-pronged approach: 1) DoD has taken quick action to address PFOS and PFOA in the drinking water it supplies, 2) DoD has taken response actions in accordance with the Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA, aka Superfund), and 3) DoD has committed significant funds in research and development to identify and test fluorine-free Aqueous Film Forming Foam (AFFF), and to develop more cost effective treatment technologies.

FY 2020 PERFORMANCE PROGRESS UPDATE:

The three large-scale testing efforts at Tyndall AFB, NRL-CBD and Jensen-Hughes have resumed after the COVID-19 shutdown. Through the end of June DoD has conducted approximately 200 (28-sq ft) burn pan tests on 15 unique PFAS-free foams.

- Extinguishment approaches but is not as good as legacy AFFF but can be improved with alternative delivery modes like compressed air or increased foam volume.
- Burnback is as good, or better, than AFFF for several formulations.
- Viscosity is one significant issue for some of the commercially available formulations and would require additional equipment or systems engineering.
- Work in the coming months will focus on larger-scale tests (400 sq ft) of the most promising candidates and investigation of their chemical and physical properties pertinent to use as a firefighting agent.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 1.7.4.1: On October 23, 2019, ASD(Sustainment) signed the policy requiring the DoD Components to submit quarterly on their progress towards cleanup of PFAS releases caused by past DoD and National Guard activities.

PM 1.7.4.2: On October 15, 2019, ASD(Sustainment) signed the policy requiring the DoD Components to annually submit costs associated with the investigation and cleanup of PFAS releases caused by past DoD and National Guard activities.

PM 1.7.4.3: On January 10, 2019, Acting ASD(Sustainment) signed the policy for Reporting of PFAS in Storm Discharge Permits. The initial report from the CWA-SSC identified 12 locations where PFAs are incorporated into the National Pollutant Discharge Elimination System Permit.

PM 1.7.4.4: On November 19, 2019, DoD Public Affairs rolled out the new DoD PFAS website on Defense.gov. Over the course of several months, several articles and videos have been published. Additionally, the resources section has been updated to include links to publications, transcripts, reports, and memos.

PM 1.7.4.5: In-house validation completed for the testing method for non-groundwater and soil and establish timelines. The next steps are reviewing the Environment Protection Agencies test methods during public comment period.

PM 1.7.4.6: Lab validation was completed on December 30, 2019.

PM 1.7.4.7: The three large-scale testing efforts at Tyndall AFB, NRL-CBD and Jensen-Hughes have resumed after the COVID-19 shutdown. Through the end of Q3 approximately 200 28-sq ft burn pan tests have been conducted on 15 unique PFAS-free foams

- Extinguishment approaches but is not as good as legacy AFFF but can be improved with alternative delivery modes like compressed air or increased foam volume
- Burnback is as good or better than AFFF for several formulations
- Viscosity is one significant issue for some of the commercially available formulations and would require additional equipment or systems engineering

Work in the coming months will focus on larger-scale tests (400 sq ft) of the most promising candidates and investigation of their chemical and physical properties pertinent to use as a firefighting agent.

The SERDP efforts on ecotoxicology of PFAS-free formulations and the ESTCP demonstration of equipment cleaning procedures are on contract and awaiting approval for the investigators to return to their labs. One of the ecotoxicology projects expects to resume work in late July.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

As noted, performance measures 2-6 are completed. Evaluation of Fluorine Free Foams to validate MILSPEC compliance is ongoing.

IDENTIFY KNOWN RISKS:

None

MITIGATION EFFORTS:

None

NEXT STEPS:

Continued testing and evaluation of Fluorine Free Foams to validate MILSPEC compliance.

PERFORMANCE INFORMATION GAPS:

None

CHANGED PERFORMANCE GOALS / MEASURES: N/A

SO 1.8: Recruit, Develop, and Retain a Diverse Acquisition and Sustainment Workforce

SO Leader: USD (A&S)

STRATEGIC OBJECTIVE OVERVIEW:

The National Defense Strategy (NDS) requires increased performance in our acquisition system. Executing one of our most important senior leader functions – talent management, the Department of Defense (DoD) must recruit, develop and retain the high-quality acquisition workforce essential to develop, acquire and sustain operational capabilities for the Nation and warfighter. DoD's current acquisition workforce framework is outdated, too complex and does not support component acquisition leaders and their new generation acquisition workforce, so the DoD acquisition community is focused on getting Back-to-Basics (BtB). OUSD (A&S) is working with the Service Acquisition Executives and other leaders to streamline and modernize the thirty-year old acquisition workforce framework. Strategically, the Department must achieve the increased performance of the acquisition system – DoD has already moved out by deploying the Adaptive Acquisition Workforce Framework – and now, must follow through with achieving the strategic imperative to modernize workforce talent management.

STRATEGIC OBJECTIVE PROGRESS UPDATE:

The USD(A&S) signed out the Back to Basics announcement memo on 2 September 2020. The memo announces the new acquisition workforce streamlined and improved functional framework, establishes governance and calls for implementation October 2021. Implementation task force teams are completing functional area framework updates.

The Navy has expanded beta testing of a private sector modern talent management system in different Navy system commands.

STRATEGIC OBJECTIVE NEXT STEPS:

Complete detailed implementation planning and implement changes to deploy the new Back-to-Basics framework in October 2021.

Complete Navy talent management system pilot, assess lessons learned and identify opportunities for expanded testing and deployment of this type capability across the defense acquisition workforce.

FY 2020 Summary of Results

PG 1.8.1: Enhance Acquisition Workforce Talent Management Tools and Processes		PG Leader: USD(A&S)						
Performance Measures		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.8.1.1: Deployment of new agile acquisition workforce framework	Target		X		X	X	X	
	Actual		X		2 Sep 2020			
PM 1.8.1.2: Deployment of modern talent management system capability 1. Completion of Service Pilot Phase 1 Update 2. Expanded deployment	Target		X		X	X	X	
	Actual		X		Nov 2020			

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accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

To streamline and achieve the modernized "Back-to-Basics" acquisition workforce framework, DoD's outcome is the shift from a "one-size-fits-all" acquisition training approach, in which certifications and training are "done" early in the career -- to a modernized framework of continuous learning, lean enterprise training, and increased point-of-need, job-relevant targeted training within a credentials framework. The new framework design empowers acquisition program and team leaders, supervisors and employees to plan training and continuous learning to program, organization/team shaping and individual needs. This modernized framework includes leveraging the Defense Acquisition University Transformation which is delivering now on the new Virtual Instructor Led Training, new credentials, improved access to private sector training through Coursera, and leveraging technology to provide speed and ease of access to training for the workforce. The combination of transformation efforts will streamline and modernize how components equip their acquisition workforce – creating a more capable workforce able to collaborate and innovate for improved NDS and acquisition results.

As a major talent management enabler, OUSD(A&S) is also working with OUSD (P&R) and the Military Service Senior Acquisition Executives to plan deployment of modern talent management systems for the defense – as an example, multi-functional talent information systems already used in the private sector that provide leadership, managers and the workforce a real-time and high value talent information sharing and strategic/tactical decision capability.

FY 2020 PERFORMANCE PROGRESS UPDATE:

The USD(A&S) signed out the BtB announcement memo on 2 September 2020. The memo establishes announces the new talent management framework, establishes governance and calls for implementation October 2021. The new framework streamlines acquisition functional areas to Program Management, Contracting, Life Cycle Logistics, Business – Financial Management / Cost Estimating, Engineering and Test & Evaluation.

The Navy is piloting as a pathfinder for the acquisition community, a modern, commercial talent management system – using SAP. The Navy provided the DUSD(A&S) an update on 13 Nov 2020, which included information on expanded beta testing in different Navy system commands. Related, the Defense Acquisition University (DAU) is also piloting use of higher-level talent management functions using for the DAU team with Cornerstone, a commercial, cloud-based talent management system. OUSD(P&R) is using Oracle's cloud-based TM system to deploy core HR functions and initial workforce talent profile capability. During FY 2020, OUSD(A&S) established and populated an internal A&S team beta talent/resume' bank.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 1.8.1.1: Degree of streamlining and modernizing acquisition workforce functional framework. Degree of synchronization with DAU Transformation changes.

PM 1.8.1.2: Degree of modernized, improved talent management capability for the defense acquisition workforce.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 1.8.1.1: The USD(A&S) signed out the BtB announcement memo on 2 September 2020. The memo establishes announces the new talent management framework, establishes governance and calls for implementation October 2021. The new framework streamlines 14 to six acquisition functional areas to Program Management, Contracting, Life Cycle Logistics, Business – Financial Management / Cost Estimating, Engineering and Test & Evaluation. DAU deployed eight initial credentials, a key element of the new framework to provide the workforce improved job relevant training", and PM 1.8.1.2 to "Navy piloting of commercial TM system (SAP) for Navy acquisition workforce underway and beta testing expanding. SAP TM functionality will significantly enhance TM capability for Navy acquisition leadership, organizations, management and employees.

PM 1.8.1.2: Navy piloting of commercial TM system (SAP) for Navy acquisition workforce underway and beta testing expanding. SAP TM functionality will significantly enhance TM capability for Navy acquisition leadership, organizations, management and employees.

IDENTIFY KNOWN RISKS:

PM 1.8.1.1: Implementing "Back-to-Basics" modernized acquisition workforce framework is biggest change to DoD acquisition workforce framework since inception of the Defense Acquisition Workforce Improvement Act – major change is complex planning and implementation challenge.

PM 1.8.1.2: Piloting commercial Talent Management capability also a major change within longstanding DoD core HR focus – above core HR is a new area of focus. Major changes to a major

training and talent management framework impacts the culture and necessarily requires buy-in and implementation risk.

MITIGATION EFFORTS:

PM 1.8.1.1: Leverage oversight by new Defense Acquisition Workforce Leadership Team which is chaired by the Deputy Under Secretary of Defense for Acquisition and Sustainment and includes the principal civilian deputies representing the Service Acquisition Executives and the Functional Area Leaders.

PM 1.8.1.2: Piloting and beta testing of new talent management system provides risk mitigation.

NEXT STEPS:

PM 1.8.1.1: The USD(A&S) signed out the BtB announcement memo on 2 September 2020. The memo establishes governance, announces the new framework, establishes governance and calls for implementation Oct 2021. Planning and implementation efforts are underway.

PM 1.8.1.2: Navy has and is continuing its TM pilot in system commands.

PERFORMANCE INFORMATION GAPS:

All performance information is current and available.

CHANGED PERFORMANCE GOALS / MEASURES:

No changes and no significant changes are forecasted.

FY 2020 Summary of Results

PG 1.8.2: Transform the Way We Train and Develop the Acquisition Workforce		PG Leader: USD(A&S)						
Performance Measures		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.8.2.1: Number of students enrolled in a credential* *Includes those in process and completions; cumulative totals.	Target	2000	2000	2000	2000	X	X	
	Actual	2561	4154	6205	7901			
PM 1.8.2.2: Number of credential completions* * Cumulative totals.	Target	65	65	65	65	X	X	
	Actual	125	331	633	859			

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accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

Leverage learning programs that build a competent acquisition workforce, enabling warfighter success. DAU will create a customer-driven, responsive, lifelong-learning model to replace the existing monolithic 3-level certification system. By using tailorable job credentials, complemented by other relevant training assets DAU will achieve positive acquisition outcomes.

FY 2020 PERFORMANCE PROGRESS UPDATE:

At the end of the fourth quarter, 7,901 students had enrolled and 859 had earned one of DAU's new credentials, exceeding our expectations. On April 27 DAU released a fourth credential, Program Protection, first in a series of credentials on Cybersecurity. By September 30, DAU released a total of eight credentials including, Services Acquisition (for acquisition and non-acquisition personnel), Digital Engineering, Agile, Intellectual Property, Data Analytics and Risk/Issue and Opportunity Management. By September 30, the Contracting and Life Cycle Logistics Functional Area Taskforce Teams submitted their respective competency models and plans to reform their respective talent development models. Taskforce Teams to reform talent development for Cost Evaluation, Financial Management, Engineering and Test & Evaluation and Program Management are finalizing framework updates. The Honorable Ellen Lord, OUSD (A&S) established the new functional area framework and designated Functional Area Leaders and governance bodies by her 2 Sep 2020 Back to Basics memo.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

Measures enrollments/completions of new DAU skills credentials. Assesses customer demand for learning experiences and credentialing. Also can flag demand vs supply issues. Key internal initiatives: 1) Services and 4th estate acquisition Taskforce Teams (facilitated by OUSD(A&S)) defining improved talent development frameworks (DAWIA-compliant) and identifying key credentials DAU should offer; 2) OUSD(A&S) reform of workforce development governance construct.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

As of the end of fourth quarter, 7901students had enrolled and 859 had earned one of DAU's eight credentials, exceeding our expectations. Credentials released in this quarter were Intellectual Property, Risk/Issue/Opportunity Management and Data Analytics. The Life Cycle Logistics completed their respective talent development model. The Program Management, Engineering and Test and Evaluation Task Force teams continued to meet. The Business Functional Area Task Force team, including Financial Management and Cost Evaluation, started work.

IDENTIFY KNOWN RISKS:

Implementation risk associated with complexity of major update to talent development framework of 182,000 member workforce.

MITIGATION EFFORTS:

Leverage oversight by new Defense Acquisition Workforce Leadership Team which is chaired by the Deputy Under Secretary of Defense for Acquisition and Sustainment and includes the principal civilian deputies representing the Service Acquisition Executives and the Functional Area Leaders.

NEXT STEPS:

Continue implementation planning and execution of changes to framework, certification requirements and development of new credentials.

PERFORMANCE INFORMATION GAPS:

All performance information is current and available.

CHANGED PERFORMANCE GOALS / MEASURES:

No changes and no significant changes are forecasted.

FY 2020 Summary of Results

PG 1.8.3: Enhance Diversity in Acquisition Workforce		PG Leader: USD(A&S)					
Performance Measures		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 1.8.3.1: Assess state of diversity	Target		X			X	X	
	Actual		X					
PM 1.8.3.2: Identify and share Service/Agency, Private Sector best practices	Target				X	X	X	
	Actual				DAWDA report issued May 2020			

FY 2020 PERFORMANCE GOAL OVERVIEW:

DoD's acquisition community must lead time anticipate, attract and prepare a next generation diverse workforce and create the acquisition work environment that leverages all facets of diversity and fits the new generation culture and expectations – all critical to achieving a high performance workforce that successfully develops, acquires and sustains operational capability for the warfighter. The diverse workforce must have state-of-the-art learning resources, a breadth of experience opportunities, engagement, talent mobility, and work/life balance. The defense acquisition community will proactively prepare for the next generation acquisition workforce through assessing its current state of diversity, highlighting successes of diversity (e.g., Women in Defense Acquisition), and identifying and facilitating sharing of Service/Agency and private sector best practices – in branding, recruiting, outreach and strategic communications, and engaging the workforce of tomorrow and today. These efforts will contribute to expanded awareness across the Nation (and to today's workforce) of the many opportunities in the DoD acquisition profession.

FY 2020 PERFORMANCE PROGRESS UPDATE:

PM 1.8.3.1: Initial analysis complete with follow-on analysis planned on an on-going basis.

PM 1.8.3.2: Publishing of FY 2019 Defense Acquisition Workforce Development Account Annual Report in May 2020 which includes highlights of talent management initiatives across DoD components – highlights in recruiting, hiring, training, development, and use of retention and recognition incentives.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 1.8.3.1: Assess state of diversity in the acquisition workforce and identify/share Service/Agency and Private Sector best practices which increase awareness and engage the workforce – to attract, engage and retain a diverse acquisition workforce. Highlight acquisition professionals who represent the great contributions of the facets of diversity in the defense acquisition workforce. Highlight key diversity initiatives and events.

PM 1.8.3.2: Identification and sharing of talent management best practices across acquisition community.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 1.8.3.1: Initial diversity/demographic analysis complete; identification of initial professionals to highlight as part of Women in Defense Acquisition. Initial drafting and collection of information for first article. Continued Social Media, Outreach and other initiatives which provide opportunity for diversity engagement (Early Career Workshop, Defense Acquisition Public Private Talent Exchange, Defense College Acquisition Internship Program, Defense Civilian Emerging Leadership Program)

PM 1.8.3.2: Continue efforts to identify and share best practices in FY 2021.

IDENTIFY KNOWN RISKS:

None

MITIGATION EFFORTS:

None

NEXT STEPS:

PM 1.8.3.1: Develop and publish Women in Defense Acquisition articles.

PM 1.8.3.2: Develop and publish 2020 Defense Acquisition Workforce Development Account annual report; leverage highlights from DoD annual workforce innovation development award nominations and winners. Plan, execute collection across components of acquisition workforce talent management best practices. Conduct 2021 virtual summit to share best practices.

PERFORMANCE INFORMATION GAPS:

All performance information is current and available.

CHANGED PERFORMANCE GOALS / MEASURES:

No changes and no significant changes are forecasted.

FY 2020 Summary of Results

PG 1.8.4: Grow Competencies in Emerging Disciplines; Validate Annually								PG Leader: USD(A&S)
Performance Measures		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Result**
PM 1.8.4.1: Deployment of Emerging Training Requirements capability [finalizing Back-to-Basics Framework implementation to Q4]	Target		X		X			
	Actual		Met		USD(A&S) Memo 25Sep 2020	X	X	
PM 1.8.4.2: Leverage PPTE assignments for emerging disciplines	Target		15 exchange participation					
	Actual		15 exchange participation			X	X	
PM 1.8.4.3: Leverage use of authorities	Target		Measured Annually		X			
	Actual				Met	X	X	
PM 1.8.4.4: Software Talent Initiatives	Target		Measured Annually		X			
	Actual				Met	X	X	
PM 1.8.4.5: Plan Implementation of Defense Civilian Training Corps	Target			X				
	Actual			Initial Plan to Congress Aug 2020		X	X	

FY 2020 PERFORMANCE GOAL OVERVIEW:

Achieving the "quick equip" capability to train and tool the acquisition workforce, working with industry partners, to develop, acquire and sustain at the speed of relevance the application of emerging technologies and innovations requires a multi-faceted approach. First, we need a continuous capability to identify the emerging workforce training and tool needs. For example, the Office of the Under Secretary of Defense for Research and Engineering maintains a Modernization Priorities list with high priority technology areas that, in many cases, will translate into urgently needed development, acquisition and sustainment. Part of acquisition workforce readiness is being able to access or train/tool the workforce to work with industry to rapidly provide new capability to the warfighter. Hence, Performance Goal 1.8.4.

OUSD(A&S), in partnership with the Service Acquisition Executives and Enterprise Functional Leaders, is planning modernization of the "Back-to-Basics" acquisition workforce framework. The USD(A&S), on 2 September 2020, issued the memo announcing Back-to-Basics for the Defense Acquisition Workforce. In parallel, the Defense Acquisition University has continued to proactively move forward to transform DAU for the 21st Century workforce and acquisition mission. These reform transformation efforts must include a capability – a joint urgent training requirements capability to continuously track and meet the changing needs of the acquisition workforce. As part of the new BtB framework, Functional Leaders will ensure, through their joint functional team, a capability to rapidly identify and to quickly equip the acquisition workforce with training and tools (e.g., related to the DoD's Modernization Priorities list). Identifying emerging new high priority training needs will require Functional Area Leaders working closely with Subject Matter Experts from the Services/Agencies to define new competency requirements, partner with OSD Personnel & Readiness to develop validated competency models, and then define and make available needed training, tools and other resources (enterprise, component or private sector) to quickly support the workforce.

OUSD(A&S) will leverage the Public-Private Talent Exchange to promote exchanges will a goal to infuse industry participants with emerging discipline experience into DoD acquisition organizations.

OUSD(A&S)/Services/Agencies will leverage use of special hiring and pay authorities to acquire unique expertise and skill sets required by DoD.

OUSD(A&S)/Services/Agencies will leverage use of innovative approaches to organize and improve software talent representing organic digital/software capability to support the continuous software needs in development, acquisition, and sustainment of military weapon and other systems.

OUSD(A&S) will continue work with OUSD(R&E) and OUSD(P&R) and others to plan implementation of the Defense Civilian Training Corps (DCTC) which emanates from the USD(A&S) letter to Congress (SMART Corps) in March 2019 and the FY 2020 National Defense Authorization Act, section 860. The DCTC program at colleges and universities will be ROTC-like, but for future DoD civilian STEM-priority graduates. The DCTC program curriculum priority will be to provide STEM students with the opportunity to apply their STEM college learning to real DoD technical challenges. Through planned summer internships and projects these students will gain experience innovating to solve DoD challenges while in college – enriching the pipeline of experienced talent ready to become DoD acquisition and STEM professionals.

FY 2020 PERFORMANCE PROGRESS UPDATE:

PM 1.8.4.1: The USD(A&S) signed out the BtB announcement memo on 2 September 2020. The memo establishes announces the new talent management framework, establishes governance and calls for implementation October 2021. Memo established Defense Acquisition Workforce Leadership Team – which is providing direction and oversight for the BtB implementation. WLT also establishing emerging and high priority requirements Watch List. Six Functional Area Task Force teams completing complete review of workforce requirements, including emerging requirements as part of updating training, certification and credential requirements for the defense acquisition workforce.

PM 1.8.4.2: A&S executed 2020 Public-Private Talent Exchange (PPTE) program in January as planned, which expanded the 2019 program from 13 to 15 and includes 12 government and 3 industry

participants. Private sector partners for 2020 include Ball Aerospace, Boeing, Booz Allen Hamilton, Deloitte, Guide house, National Industries for the Blind, Science Applications International Corporation, and Virgin Orbit. DoD participants include Army, Navy, A&S, R&E, and 4th Estate agencies. A&S is supporting the Comptroller as they plan their future participation in the PPTE program. The USD(A&S) hosted the capstone virtual session with the exchange participants. Participants shared positive experiences and strongly encouraged continuation and expansion of the program. PPTE program operations guide developed to establish foundation, based on lessons learned and best practices, for long term program.

PM 1.8.4.3: Sharing of hiring authorities via public HCI web site and continued monitoring of use of acquisition workforce hiring and pay authorities.

PM 1.8.4.4: DoD Software Workforce Working Group continued research and initiatives to identify requirements for an improved DoD software workforce capability, to include developing competencies, identifying best practices, hosting a virtual software workforce panel and publishing an initial plan provided to Congress in August 2020.

PM 1.8.4.5: Implementation planning conducted to include publishing of initial plan provided to Congress August 2020. Air Force detailee with significant acquisition and STEM background (recent graduate from Eisenhower School) assigned to support and lead implementation.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 1.8.4.1: Establishment of new senior leader governance body – the Defense Acquisition Workforce Leadership Team (WLT) to provide oversight and monitoring of emerging requirements Watch List. Establishment of functional area governance leads and teams to complete update of workforce requirements and talent development framework. Ongoing effective monitoring and implementation of changes by WLT and functional area teams to meet emerging requirements.

PM 1.8.4.2: Continuation and expansion of Defense Acquisition Public Private Talent Exchange participants.

PM 1.8.4.3: Availability of hiring authorities' information across acquisition community (via public HCI web site) and continued monitoring of use of acquisition workforce hiring and pay authorities.

PM 1.8.4.4: Comprehensive talent management approach to planning effective DoD software workforce capability.

PM 1.8.4.5: Completion of implementation planning for STEM focused DCTC program that strengthens DoD STEM pipeline. Effective execution of implementation of beta DCTC unit August 2021 and planning for five units by August 2022.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 1.8.4.1: The USD(A&S) memo announced the Back-to-Basics for the Defense Acquisition Workforce initiative, on 2 Sep 2020. In parallel, the new six acquisition workforce Functional Areas established Task Force teams, which are ongoing, to plan and design the improved talent management framework for their Functional Area. The memo cites deployment of BtB in Oct 2021. DAU has already deployed initial credentials as part of the improved framework.

PM 1.8.4.2: A&S worked with the government and industry partners to expand the 2020 PPTE program. The 2019 program had 13 participants (6 from government/7 from industry). The 2020 program has 15 participants (12 from government/3 from industry).

On 17 January 2020 the USD(A&S) hosted an exchange orientation at the Pentagon in which participants met with senior DoD leaders and other participants. The 2020 program mid-point session was held virtually in 4 May 2020 with USD(A&S) at which the participants shared feedback on their exchange experiences. The Capstone session was held with the USD(A&S) and participants on 29 July 2020.

PM 1.8.4.3: Published hiring authorities and updates to public HCI web site. Continued monitoring of use of authorities.

PM 1.8.4.4: The USD(A&S) signed out the initial plan – a report to Congress – in October 2020. The DoD Software Workforce Working Group has actively developed workforce requirements and assessed best practice approaches to deploy an improved DoD software workforce capability to meet software acquisition and software development needs. A second report to Congress on the long term approach to deploying the capability will be provided to Congress in December 2020.

PM 1.8.4.5: OUSD(A&S) worked with OUSD(R&E) and OUSD(P&R) and others to plan implementation of the Defense Civilian Training Corps (DCTC) which emanates from the USD(A&S) letter to Congress (SMART Corps) in March 2019 and the FY 2020 National Defense Authorization Act, section 860.   The USD(A&S) signed out the initial implementation plan to Congress in August 2020. Additionally, A&S has issued the public Request for Information to the college/university community. The plan provided to Congress describes the priority that DCTC improve the pipeline of STEM talent into DoD through a STEM application-based curriculum designed to help the students hands-on learn with the opportunity to innovate, understand emerging technologies and get a head start through their DCTC projects and internships on solving DoD technical challenges. The DUSD(A&S), Acting USD(R&E) and Acting Deputy (P&R) met on 3 November 2020 as the senior governance team and affirmed this intent for the DCTC program.

IDENTIFY KNOWN RISKS:

PM 1.8.4.1: Complexity of implementing a new DoD-wide workforce framework.

PM 1.8.4.2: Perceived barriers to Industry in participating; post government employment restrictions as Industry participants to DoD are subject to legal cooling off periods. To enhance Industry participation Ms. Lord, works with CEOs and reminds them, when appropriate, of the PPTE opportunity; reminders at Tri-Association partner meetings; Monthly A&S Newsletter; leveraging HCI social media and web site; leveraging alumni as ambassadors.

PM 1.8.4.3: Lack of awareness of authorities and changes to authorities. Lack of use in recruiting, hiring and retaining quality acquisition workforce.

PM 1.8.4.4: Complexity of implementing new DoD-wide workforce capability. The USD(A&S) signed out the initial plan – a report to Congress – in August 2020. The DoD Software Workforce Working Group has actively developed workforce requirements and assessed best practice approaches to deploy an improved DoD software workforce capability to meet software acquisition and software development

needs. A second report to Congress on the long term approach to deploying the capability will be provided to Congress in December 2020.

PM 1.8.4.5: First-of-a-kind initiative, but have MilDep ROTC and SMART programs to leverage. Continuation of planning details for deployment of first Defense Civilian Training Corps unit in August 2021; Congressional appropriators may provide, via current bills, funding for DCTC that can be used for FY 2022. A&S will initiate programming steps with CAPE and Comptroller.

MITIGATION EFFORTS:

PM 1.8.4.1: Inclusive working groups that include the Services, DAU and functional community SMEs – all under senior leadership oversight through the Defense Acquisition Workforce Leadership Team, chaired by the DUSD (A&S).

PM 1.8.4.2: A&S provided informal view to Congress on draft bill to remove one-year cooling off period for PPTE Industry participants on matters not related to their experience while on the exchange to DoD. A&S submitted a FY 2021 legislative proposal to allow charging by Industry of PPTE costs as indirect cost on government contracts – however, OMB did not submit the proposal to Congress. HCI has also worked with OGC to review suggestions by Lockheed to revise the PPTE Memorandum of Agreement that would help mitigate COI concerns. HCI is planning the 2021 PPTE program now with progressive ramp up of exchanges, taking into consideration COVID-19 impacts on ability to effectively do exchanges. Noted is the impact of COVID-19 on travel and organizations maximizing virtual telework may impact participation in FY 2021. FY 2020 exchanges ended up continuing, but virtually; however, operating solely virtual does diminish the benefits of on-site engagement between industry and DoD counterparts.

PM 1.8.4.3: Placing authorities that are available on the A&S HCI web site – available publicly and across DoD.

PM 1.8.4.4: The DoD Software Workforce Working Group is very inclusive – membership comprised of the Services and key OSD SMEs, along with DAU and HCI.

PM 1.8.4.5: Graduate of Eisenhower School on-board (very experienced AF T&E professional) on-board at HCI to manage/do planning. Leverage existing MilDep, SMART and other programs. Continuation of planning with key OSD and MilDep partners. USD(A&S) signed out joint A&S-P&R initial implementation plan to Congress – providing the single vision for DCTC program – further reaffirmed by the 3 Nov 2020 senior leader DCTC IPR meeting.

NEXT STEPS:

PM 1.8.4.1: Continued planning and implementation towards FY 2022 deployment.

PM 1.8.4.2: Ongoing efforts above to plan expanded participation for 2021 program; continue advocacy of removal of barriers – legislative changes/proposal.

PM 1.8.4.3: Continued assessment of use of authorities and ensuring DoD-wide awareness of authorities and changes.

PM 1.8.4.4: The DoD Software Workforce Working Group will continue work outlined in its implementation plan to Congress – a primary effort being to establish requirements, determine approach

and baseline private sector and DoD best practices. The USD(A&S) signed out the initial plan – a report to Congress – in October 2020. The DoD Software Workforce Working Group has actively developed workforce requirements and assessed best practice approaches to deploy an improved DoD software workforce capability to meet software acquisition and software development needs. A second report to Congress on the long term approach to deploying the capability will be provided to Congress in December 2020.

PM 1.8.4.5: Initial plan provided to Congress in August 2020. Advance progress on detailed planning and finalize next implementation plan report which is due to Congress in Dec 2020.

PERFORMANCE INFORMATION GAPS:

All performance information is current and available.

CHANGED PERFORMANCE GOALS / MEASURES:

No changes and no significant changes are forecasted.

STRATEGIC GOAL 2 -
*Strengthen our Alliances &
Attract New Partners*

STRATEGIC GOAL 2
Strengthen Our Alliances & Attract New Partners
Strategic Objective (SO) 2.1: Reform the Security Cooperation Enterprise
SO Leader: Defense Security Cooperation Agency (DSCA)

STRATEGIC OBJECTIVE OVERVIEW:

The Department is part of an interagency team working with the State Department and other stakeholders to build international cooperation through bilateral, regional, and broader relationships toward mutually beneficial strategic and operational outcomes. The Department's contribution to strengthening alliances and partnerships consists of a wide range of programs and activities designed to improve security and foster interoperability and preparedness, both in terms of capability and capacity. These programs include foreign military sales, foreign military funding, exercises and training events, military-to-military exchanges, and partnering to develop key technological capabilities. We will ensure that these programs and activities are calibrated and coordinated so that the Department fully and appropriately contributes to the achievement of our broader national security objectives. This effort includes assessing and reforming our security cooperation (SC) organizations and structures, our workforce, and our processes.

STRATEGIC OBJECTIVE PROGRESS UPDATE:

DSCA continued to support the Department's role in our national security and National Defense Strategy Implementation by assessing and reforming our SC cooperation organizations and structures, our workforce, and our processes based on OSD policies and guidance

Working with other key Department of Defense stakeholders, DSCA developed and is currently implementing strategic planning frameworks that will focus DoD attention on developing partner capabilities tied to NDS objectives. This "Strategy to Capability" approach contributes to the Department's efforts to prioritize efforts across all security cooperation activities. These frameworks establish a coordinated DoD perspective on partner roles, capabilities, and activities. The Department uses these frameworks to undertake a structured, standardized review of partner capabilities and requirements in light of shared objectives. The process thus empowers decision makers to make more strategic prioritization and resourcing decisions.

As of Q4 FY20, DSCA completed and validated 64 total Level 1 Strategic Frameworks. Also, DSCA continues to implement the SC workforce certification program, and has moved the majority of courses offered to a virtual instruction environment in response to COVID-19, which is enabling certification training at the intermediate level to continue in light of limitations on resident training.

STRATEGIC OBJECTIVE NEXT STEPS:

DSCA continues to implement continuous improvements that support Enterprise-wide National Defense Strategy Implementation efforts and strategic and operational outcomes. Final steps for FY 2020 included continued institutionalization of the Strategy to Capability planning methodology by

developing and validating Level 1 Strategic Frameworks, monitoring SC certification guideline implementation, offering resident courses virtually, and preparing a Department of Defense Instruction (DoDI) for the certification program. In addition, DSCA continues to monitor and address impacts on these efforts due to COVID-19.

FY 2020 Summary of Results

PG 2.1.1: Synchronize U.S. planning and resourcing efforts to develop full-spectrum capabilities for partner nations		**PG Leader:** DSCA					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 2.1.1.1: Level 1, Strategic Frameworks	Target	20	20	20	20	X	X	29
	Actual	18	16	0	1	X	X	

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete,
accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

DSCA developed and is currently implementing planning frameworks that will focus DoD attention on developing partner capabilities that best support partner security roles tied to National Defense Strategy (NDS) objectives. This Strategy to Capability approach will enable the Department to prioritize efforts across all security cooperation activities. Through these planning frameworks, DSCA is institutionalizing a consistent approach to depicting standardized capability and acquisition information while allowing sufficient flexibility for each partner nation relationship, and making this information accessible. The Strategy to Capability methodology is based on four levels:

- Level 1 is a current state analysis linking strategic plans to capabilities of mutual benefit to the United States and the partner nation.
- Level 2 is the plan of activities to achieve the future state. This analysis represents the planning and resourcing process for SC programs in a particular country.
- Level 3 is a deep dive into specific systems or areas of support that help to execute the plan, and allows senior leaders to identify challenges and opportunities at the granular level, such as with acquisition.
- Level 4 is an interagency, targeted action plan to facilitate strategic competition, support contingencies, and deny adversaries.

The Strategy to Capability methodology and format is relatively new to the SC community. This may impede rapid development until SC practitioners are more familiar with the process and products. To be effective, Level 1 Strategic Frameworks require active participation of multiple stakeholders, which varies with each partner nation. Having multiple stakeholders increases the risk of disagreement

regarding partner nation SC roles, capabilities, and activities and may require adjudication, further delaying development.

To proactively address the above challenges, DSCA created a Standard Operating Procedure (SOP) for the development of Strategic Framework and Five Year Plan documents and automated the process for creating Five Year Plans. DSCA will continue its outreach and training efforts to all DoD SC stakeholders to promote buy-in.

FY 2020 PERFORMANCE PROGRESS UPDATE:

Though DSCA was unable to complete the targeted 20 validated Level 1 Strategic Frameworks per quarter in FY20, DSCA did manage to complete 35 of these frameworks through quarter 4 – an increase from the 29 completed in FY19. After completing the first 29 frameworks in FY19, the Security Cooperation (SC) Enterprise became much more familiar with the product and its requirements, resulting in the completion of 34 strategic frameworks in just the first two quarters of FY21. However, in quarter 3 the COVID-19 pandemic impacted the ability of the SC Enterprise (including stakeholders across the DoD, the Services, and the Combatant Commands) to provide the classified data necessary to build, coordinate, and validate the Level 1 Strategic Frameworks, thereby, preventing DSCA from meeting targets.

However, even with these constraints, DSCA made significant progress in other areas of this performance goal. As of the end of Q4 FY20, the SC Enterprise revalidated five of the 64 Strategic Frameworks already completed, 14 additional Strategic Frameworks are in review, and 22 are under development for a total of 100 Strategic Frameworks either validated, in review, or in development. Further, in Q3FY21, DSCA implemented an Automation Tool for developing Level 2 Five Year Plans. Five Year Plans are a required appendix for the Initiative Design Document (IDD) submitted to OSD(Policy) for Title 10 funding and they are routinely used to brief congressional staff. As of the end of Q4 FY20, users leveraged the automated tool developed by DSCA to produce 120 Five Year Plans.

Through multiple Secretary of Defense level forums, DSCA has highlighted the utility and applicability of the Strategic Frameworks. Demand for and acceptance of the Strategy to Capability products has grown throughout the Department of Defense over the last year, as evidenced by roughly 160 unique users with access to the Strategic Framework Library and 190 users of the Five Year Plan Automation Tool. Overall, familiarity with and demand for the Strategic Frameworks has grown throughout DoD and the inherent usefulness and applicability of the Strategic Frameworks has become widely acknowledged. DSCA briefed Secretary Esper on the Strategy to Capability Framework during a meeting of the Secretary's Allies & Partners Weekly Priorities Review (SWPR) where it was well received and the Secretary directed DoD to continue leveraging the analysis provided by the framework to inform the security cooperation enterprise.

DSCA continues to work on building, coordinating, and validating additional Level 1 Strategic Frameworks. Although DSCA considers this effort to be institutionalized now, DSCA remains committed to continuing to develop and validate a total of 130 Strategic Frameworks – one for each of the Partner Nations with a significant Security Cooperation relationship with the United States.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

While there are four levels to the Strategy to Capability Approach, Level 1 Strategic Frameworks provides the best indicator to measure progress as it is the only indicator for which DSCA has full responsibility and control. This metric measures the number of reviewed and validated Strategic Frameworks. These frameworks are critical to synchronizing planning and resourcing efforts across the Department because they are the only document that establishes a coordinated DoD perspective on partner roles, capabilities and activities. The Level 1 Strategic Frameworks are the foundational documents of Levels 2-4.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

The COVID-19 pandemic impacted the ability of the SC Enterprise (to include action officers at DSCA, the Geographic Combatant Commands, and other DoD offices) to provide the data necessary to build, coordinate, and validate the Level 1 Strategic Frameworks at the normal rate. Therefore, only 35 new Level 1 Strategic Frameworks were completed during this fiscal year. However, even with these constraints, significant progress was made. As of the end of Q4 FY20, five Strategic Frameworks were revalidated, and in addition to the 64 validated Strategic Frameworks, there were 14 Strategic Frameworks in review and 22 under development for a total of 100 Strategic Frameworks either validated, in review, or in development.

IDENTIFY KNOWN RISKS:

The Strategy to Capability methodology and format remain relatively new to the SC community. This may impede rapid development until SC practitioners are more familiar with the process and product. Disagreements regarding SC roles, capabilities, and activities are possible among stakeholders and may require adjudication. Organizations may resist participation in the Strategy to Capability feedback process, which could affect the comprehensiveness of the final products.

DSCA expects the COVID-19 Pandemic to continue to impact performance in meeting this Performance Goal. Though since Q4 FY20 DoD has shifted from a mandatory "maximum telework" posture to one that gradually allows for more in-office presence, these requirements are largely at the discretion of individual commands in recognition of the different conditions and requirements across geographic areas. The inconsistency in in-office staffing across DoD and access to required classified data systems will continue to limit our ability to build, coordinate, and revalidate Level 1 Strategic Frameworks in the timeframe originally projected.

MITIGATION EFFORTS:

DSCA will continue its outreach and training efforts to all DoD SC stakeholders at the action officer and leadership levels to promote buy-in. Through multiple Secretary of Defense level forums, DSCA has highlighted the utility and applicability of the Strategic Frameworks. Demand for and acceptance of the Strategy to Capability products has grown throughout the Department of Defense over the last year, as evidenced by roughly 160 unique users with access to the Strategic Framework Library, and 190 users of the Five Year Plan Automation Tool as of the end of Q4 FY20. DSCA created SOPs for the development of Strategic Frameworks, Five Year Plans, and System Program Management Plans.

DSCA continues to work on advancing the development of additional Level 1, Strategic Frameworks as much as possible.

NEXT STEPS:

Although this effort is considered to be institutionalized now, DSCA will continue developing Strategic Frameworks and will continue outreach to inform stakeholders and end-users of the Strategy to Capability framework. DSCA established a Strategic Framework Repository which allows SC stakeholders access to all the validated Strategic Frameworks. DSCA will continue to add new Strategic Frameworks to the Repository. DSCA is coordinating with the Defense Security Cooperation University (DSCU) to develop appropriate training that addresses the new formats, their development, and their use. DSCA completed the development of an automation tool to assist in building and standardizing Five Year Plans.

DSCA will continue to work toward building, coordinating, and validating level 1 strategic frameworks, though we expect the ability of the SC enterprise to respond to these efforts to be limited, thereby causing further delays in completing additional frameworks.

PERFORMANCE INFORMATION GAPS:

All performance information is current and available.

CHANGED PERFORMANCE GOALS / MEASURES:

No changes and no significant changes are forecasted.

FY 2020 Summary of Results

PG 2.1.2: Develop coordinated policy that aligns Security Cooperation across the enterprise to better support global strategic priorities.		PG Leader: DSCA					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 2.1.2.1: Establish guidance to create a trained and certified workforce	Target	40%	40%	40%	65%	80%	100%	25 Complete
	Actual	40%	40%	40%	65%			
PM 2.1.2.2: Develop, test and field courses for the SCW Certification Program	Target	45%	50%	55%	60%	75%	100%	40%
	Actual	45%	53%	67%	67%			
PM 2.1.2.3: SCW members complete all required Basic level courses in the appropriate academic Area of Concentration (AoC).	Target	0%	10%	20%	30%	85%	90%	N/A
	Actual	3%	6%	11%	16%			

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

DSCA is leading a Congressionally-mandated Security Cooperation Workforce Development Program (SCWDP) to professionalize and certify the DoD SC workforce (SCW). Initiatives related to this effort include identifying DoD billets/positions with SC functions, and the personnel in those positions (SCW members); building and implementing a program to certify the SCW based on training and experience; developing courses for the Certification Program clustered by academic Area of Concentration and certification level; issuing DoD guidance specific to the Certification Program; tracking SCW experience and continuous learning; training the SCW, and recording completed training. The SCW is made up of nearly 21,000 DoD billets/positions worldwide. The Certification Program will be implemented in phases starting in January 2020 with full implementation of the program by the end of 2023.

In FY 2018, DSCA issued broad SCWDP guidance to the DoD components. DSCA issued guidance specific to the Certification Program in Q1 of FY 2020, and began implementation of the Certification Program in Q2 of FY 2020. In FY 2017 and FY 2018, DoD Components submitted manpower and personnel data to DSCA to help identify the size and scope of the SCW. DSCA also used this data to develop an initial set of SCW competencies, which were validated using the DoD standard Defense Competency Assessment Tool (DCAT). Those validated SC competencies are being used to inform development of Certification Program courses. In FY 2019, DSCA worked with DoD Components to

define and identify Key SC Workforce (Key SCW) positions, which will be used to prioritize SCW training, and will inform other requirements for those positions in the future. Lastly, in FY 2019, DSCA established the Defense Security Cooperation University and began offering an initial tranche of Certification Program courses to SCW members.

FY 2020 PERFORMANCE PROGRESS UPDATE:

Although this effort is considered to be institutionalized, DSCA continues to monitor certification implementation. Impacts from COVID-19 on resident training for SC workforce certification has necessitated the cancellation of resident courses and mobile training teams who provide resident training at customer locations. To mitigate this impact, conversion of resident courses to virtual instructor led training is ongoing.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 2.1.2.1: DSCA, in close cooperation with the DoD Components, developed and issued broad DoD guidance for the Security Cooperation Workforce Development Program (SCWDP), as required by 10 USC 384. That guidance outlined the scope and scale of the SCWDP, and provided some preliminary task-organizing guidance, but did not provide implementation-level detail for the Certification Program, which is a major element of the SCWDP.

In December 2019, DSCA issued Certification Program Implementation Guidelines. The guidelines provide the DoD Components with the information and guidance necessary to implement phase I of the Certification Program, which is when the Basic and Intermediate certification courses are available for SCW members to take, but course completion is not mandatory. DSCA drafted and began coordination of a Department of Defense Instruction in Q4 of FY 2020 to formalize Certification Program implementation and management for phase 2 (mandatory course completion) and beyond.

PM 2.1.2.2: DSCA will develop courses to be offered by the Defense Security Cooperation University (DSCU) and/or DSCU's academic partners that meet the developmental needs of the SCW. Those courses will be offered in one of five academic Areas of Concentration (AoC), each with three levels (basic, intermediate, advanced) in addition to a course for SC executives. Each SC Workforce member will be assigned an AoC and certification level, and will be required to complete required courses in order to be certified. Certification is mandatory for all SC Workforce members while they are in a SCW position/billet.

PM 2.1.2.3: PM 2.1.2.3: SCW members are required to be certified in an AoC and certification level determined by their DoD component, based on guidance from DSCA. All SCW members require at least Basic level certification. Even as higher-level courses are still in development, SCW members have had the opportunity to take required Basic level courses during the transition period - January 1, 2020 through signature of the Certification Program DoDI (estimated January 2021) - December 2020- before the mandatory certification period begins. For Basic level courses, the deadline is one year from the date the Certification Program is signed (estimated January 2021) for current SCW members, and one year from entry into a SCW position for new SCW members.

Given the size of the SCW and the annual turnover rate of 13%, it is not possible for all SCW members to be fully trained at a given point in time.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 2.1.2.1: DSCA completed pre-coordination of the DoD Instruction for the Security Cooperation Workforce Certification Program (draft DoDI 5132.ab) and submitted the DoDI to WHS to begin formal coordination with the DoD Components in early Q1 FY 2021.

PM 2.1.2.2: DSCU has fielded all Basic level courses. Curriculum has been developed for all Intermediate level courses, and has been fielded and validated for all Intermediate level courses except for those in the Case Life Cycle AoC. These courses are being fielded in Q1 2021. Advanced level course development continues with fielding planned beginning in FY 2021.

In addition, DSCU has moved the majority of courses offered to a virtual (online) instruction environment during the current COVID-19 pandemic.

PM 2.1.2.3: Progress toward completion of certification requirements has slowed due to COVID-19. In addition, participation in the Certification Program has been voluntary during the January 1, 2020 – (est.) December 31, 2020 transition period, during which completion deadlines do not apply. DoD Components are waiting for the signed Certification Program DoDI – estimated for January 2021 – which will mark the end of the transition period before they encourage their SC Workforce members to complete Certification Program courses.

IDENTIFY KNOWN RISKS:

PM 2.1.2.1: The major risk associated with developing guidance related to the SCWDP is that a DoD component will non-concur with the draft Certification Program DoDI and thus delay full implementation of the SCWDP.

PM 2.1.2.2: None.

PM 2.1.2.3: A delay in issuing the Certification Program DoDI – estimated for January 2021 – could lead to an extension of the transition period and slow progress toward certification.

MITIGATION EFFORTS:

PM 2.1.2.1: We mitigate this risk by careful backward planning, working transparently and in close cooperation with the DoD Components, communicating our intentions clearly and in a timely manner, planned working-level and executive-level engagements to address SCWDP policy, a methodical approach to soliciting and receiving feedback for existing SCWDP-related guidance, drafting guidance as early as possible, and providing for maximum time in the coordination process so that we can meet our implementation milestones.

In addition, the SCWDP governance structure allows for timely information collection, dissemination, analysis and deliberation with a defined decisional structure to address issues with policies/guidance. Analysis of Security Cooperation Workforce Development Database (SCWD-D) data allows DSCA to recognize trends and provide amplifying guidance when necessary to address opportunities and threats to successful implementation.

PM 2.1.2.3: The transition period mitigates an immediate certification mandate and is allowing for the components to posture for successful mandatory implementation starting Q2 FY 2021. DSCA is resourcing the MILDEPs with Full Time Equivalents for SCWDP activity beginning in Q1 of FY 2021.

The transition year has been successful in testing certification processes (database management; course registration and delivery; automation, certification and user interface).

NEXT STEPS:

PM 2.1.2.1: Begin DoD-wide coordination of the DoDI. The Certification Program DoDI will be signed in Q2 of FY 2021.

PM 2.1.2.2: Courses developed, but not fielded, will be fielded in FY 2021: Remaining case life cycle intermediate courses as well as executive education and a cross-cultural/regional survey course(s). New SCO course development will continue, with fielding in Q2 FY 2021. Advanced course development will continue, with fielding by Q4 FY 2021.

PM 2.1.2.3: Resources, tools, and process are in place and tested for the initiation of the mandatory certification year beginning 2021.

PERFORMANCE INFORMATION GAPS:

All performance information is current and available.

CHANGED PERFORMANCE GOALS / MEASURES:

No changes and no significant changes are forecasted.

Strategic Objective (SO) 2.2: Promote Acquisition & Sustainment Initiatives with Key International Partners
SO Leader: USD(A&S)

STRATEGIC OBJECTIVE OVERVIEW:

Continue efforts to improve NATO Allies and international partners' ability to deliver capabilities in support of operational readiness. This includes engagements to promote U.S. industry and industrial cooperation as well as government-to-government mutual support and cooperation with defense systems and acquisition. Utilize 2019 NATO Defense Planning data to identify key areas for multinational armaments cooperation to optimize the NATO Allies' 20% R&D and Defense Acquisition investment pledges. Engage NATO, European Union (EU), and EU nations to obtain support for cooperation frameworks with the U.S as its defense initiatives evolve.

STRATEGIC OBJECTIVE PROGRESS UPDATE:

Continue to engage international partners to support acquisition and sustainment objectives, to include U.S. interventions during the NATO Conference of National Armaments Directors (CNAD) on improving delivery to NATO capabilities and improving the multinational cooperation processes.

At the request of the Secretary of Defense, as stated in a Directive Type Memorandum, DoD has identified a number of follow-on actions to better align our conventional arms transfers with U.S. national security. The initiatives related to defense trade build upon on the President's Conventional Arms Transfer Policy and implementation of the U.S. National Defense Strategy (NDS). There are four lines of effort overall, involving areas that complement and advance the objectives in the annual performance plan and build on progress made to date.

STRATEGIC OBJECTIVE NEXT STEPS:

The next steps to achieve this strategic goal include leveraging the NATO Five Power and Conference of National Armaments Director as well as bilateral engagements with Australia, Japan, and India to promote capabilities that support U.S. regional goals and objectives. Support key leader engagements identified in the Allies and Partners SWPR. Continue to lead the Department in achieving the objectives of the Defense Trade Modernization initiative.

FY 2020 Summary of Results

PG 2.2.1: Identify and Exploit Opportunities for Interoperability with Potential Partners		PG Leader: USD(A&S)						
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 2.2.1.1: Conduct *PF#2: AUS Workshop ME&I Definition & Introduction *PF = Pathfinder	Target	X						1st held 12-13 Sept 19
	Actual	X						
PM 2.2.1.2: PF#2: AUS Workshop ME&I Follow-On	Target	X						NEW
	Actual	X				X		
PM 2.2.1.3: Conduct PF#3: Finland Workshop ***** Finland Workshop in 2020 cancelled as result of - COVID-19	Target		X					NEW
	Actual		Not Met					
PM 2.2.1.4: Conduct PF#4: NLD Workshop (TBD)	Target							NEW
	Actual							

FY 2020 PERFORMANCE GOAL OVERVIEW:

1. To deploy a Mission Engineering and Integration common framework with international partners to integrate capabilities for interoperability between forces.

2. Determine, test, and apply common frameworks based on mission execution to compare capabilities.

3. Determine operational gaps between coalition forces' capabilities.

4. Determine right investments across coalition forces to fight in an integrated and interoperable manner.

5. The end-state of this goal is refined and tested Mission Engineering and Integration framework deployed with international partners leading to enhanced interoperability between forces.

FY 2020 PERFORMANCE PROGRESS UPDATE:

As a result of the COVID-19 pandemic, OUSD(A&S) conducted the majority of its international engagements virtually and in a few cases had to delay and reschedule engagements to later in FY 2020 or into FY 2021. These impacts have not seriously impeded progress towards meeting our strategic objectives, and OUSD(A&S) has worked to promote defense acquisition as "essential" with key partners to minimize global supply chain disruptions. Moving forward, OUSD(A&S) plans to continue to mitigate impacts on the DoD global supply chain from COVID-19 by conducting the following actions:

- Engage with foreign partners to reduce supply disruptions
- Identify and resolve company-specific supply chain disruptions
- Share information/best practices with foreign partners to be better prepared in the future

FY 2020 PERFORMANCE MEASURE OVERVIEW:

DoD engages with industry partners on international procurement and development measures to make U.S. products more attractive and competitive. DoD engages to ensure U.S. industry has the opportunity to compete for foreign government contracts; and works with U.S., foreign-owned subsidiaries, and foreign industry to ensure the strength and reliability of the global supply chain.

Outreach to the defense industrial base includes partner nation companies that conduct business in the U.S. and U.S. companies that conduct business in partner nations. In partnership, the Offices of International Cooperation and Industrial Policy conduct these efforts.

A&S initiatives include international partner support on procurements of U.S. items and integration of international acquisition and exportability planning across the Defense Acquisition System to help strengthen the U.S. defense industrial base and reduce unit costs for both the U.S. and foreign partners.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

In Q4 FY 2020, outreach to industry continued to address regular business involving international acquisition issues and assess and mitigate ongoing impacts from COVID-19.

The Secretary of Defense's initiative to enhance U.S. defense trade, spearheaded by A&S, improves DoD planning for and execution of exportability activities. The initiative will provide cutting-edge military capability to international partners; improve competitiveness of U.S. defense systems in the global market place; and reduce production and sustainment costs over the life of acquisition programs.

IDENTIFY KNOWN RISKS:

Ongoing travel restrictions and international defense budget retractions due to COVID-19.

MITIGATION EFFORTS:

Virtual meetings, teleconferences, etc.

NEXT STEPS:

Goals to conduct international-specific industry outreach will include virtual meetings and continued engagement in this high-priority area. This includes planned engagements, such as CEO meetings and quarterly tri-association meetings.

PERFORMANCE INFORMATION GAPS:

Acquisition systems/program data is controlled at the Service-level, therefore we rely on the Services to approve usage in test cases with international partners.

CHANGED PERFORMANCE GOALS / MEASURES: None

FY 2020 Summary of Results

PG 2.2.2: Enable Timely FMS Deliveries via Contracting, Dialogue with Industry, Tech Release, and Plan for Exportability		PG Leader: USD(A&S)						
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 2.2.2.1: Publish DFARS case to codify the FFP requirement in regulations	Target	X						NEW
	Actual	X						
PM 2.2.2.2: Conduct outreach to Industry Associations and CEOs	Target	X	X	X	X			NEW
	Actual	X	X	X		X		

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
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FY 2020 PERFORMANCE GOAL OVERVIEW:

Engage with industry partners on international procurement and development measures to make U.S. products more attractive and competitive. Focus areas include improving FMS contracting timeliness, optimizing technology security and foreign disclosure reviews, and planning for exportability. DoD engages to ensure U.S. industry has the opportunity to compete for foreign government contracts; and works with U.S., foreign-owned subsidiaries, and foreign industry to ensure the strength and reliability of the global supply chain. A&S initiatives seek to integrate international acquisition and exportability

planning across the Defense Acquisition System help strengthen the U.S. defense industrial base and reduce unit costs for both the U.S. and foreign partners.

FY 2020 PERFORMANCE PROGRESS UPDATE:

As a result of the COVID-19 pandemic, OUSD(A&S) conducted the majority of its international engagements virtually and in a few cases had to delay and reschedule engagements to later in FY 2020 or into FY 2021. These impacts have not seriously impeded progress towards meeting our strategic objectives, and OUSD(A&S) has worked to promote defense acquisition as "essential" with key partners to minimize global supply chain disruptions. Moving forward, OUSD(A&S) plans to continue to mitigate impacts on the DoD global supply chain from COVID-19 by conducting the following actions:

- Engage with foreign partners to reduce supply disruptions
- Identify and resolve company-specific supply chain disruptions
- Share information/best practices with foreign partners to be better prepared in the future

FY 2020 PERFORMANCE MEASURE OVERVIEW:

Outreach to the defense industrial base includes partner nation companies that conduct business in the U.S. and U.S. companies that conduct business in partner nations. In partnership, the Offices of International Cooperation and Industrial Policy conduct these efforts.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

In fourth quarter, outreach to the defense industry highlighted new reform initiatives underway to address current/future FMS sales and improve how we deliver capabilities to U.S. Allies and partners, namely the Secretary of Defense's defense trade initiatives. Other topics concerned international acquisition issues and impacts from COVID-19 on both the U.S. defense industry and global supply chains upon which U.S. Allies and partners rely upon.

IDENTIFY KNOWN RISKS:

Ongoing travel restrictions and international defense budget retractions due to COVID-19.

MITIGATION EFFORTS: Virtual meetings, teleconferences, etc.

NEXT STEPS:

Goals to conduct international-specific industry outreach will include virtual meetings and continued engagement in this high-priority area. This includes planned engagements, such as CEO meetings and quarterly tri-association meetings.

PERFORMANCE INFORMATION GAPS:

We do not know Partners' unique requirements and impact use of existing contract vehicles.

CHANGED PERFORMANCE GOALS / MEASURES: None

PG 2.2.3: Partner with Interagency and Industry Stakeholders to Advance Shared Equities		PG Leader: USD(A&S)					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 2.2.3.1: Engage with DoD Components and Industry CEOs as part of communications strategy	Target	X	X	X	X			NEW
	Actual	X	X	X	X			
PM 2.2.3.2: Leverage tradeshows to make partners aware of cutting edge U.S. defense systems* * Tradeshow participation in 2020 cancelled as result of - COVID-19	Target	X	X		X			NEW
	Actual	X	Not Met		Not Met	X		
PM 2.2.3.3: Conduct outreach with MoDs, NATO, and EU to ensure security and interoperability of systems	Target		X	X	X	X	X	NEW
	Actual		X	X	X			

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FY 2020 PERFORMANCE GOAL OVERVIEW:

Work in tandem with U.S. interagency partners to transform USG business practices and industry culture to encourage early planning for foreign sales for DoD programs and non-programs of record. Lines of effort will: Engage with DoD Components and industry Chief Executive Officers as part of overall communications strategy; Leverage defense trade shows to make partners aware of cutting-edge U.S. defense systems; Conduct outreach with Ministries of Defense, NATO, and the EU to ensure U.S. firms can continue to compete widely for foreign contracts.

FY 2020 PERFORMANCE PROGRESS UPDATE:

- Through DoD hosting of the NATO Industry Forum, A&S had significant opportunity to promote U.S. objectives for transatlantic engagement and cooperation. Industrial engagements provided opportunity to promote U.S. systems, collaboration benefits, and DoD reforms including cybersecurity, agile acquisition, and contracting reforms.

- Through bilateral DoD engagements, A&S had significant opportunity to promote U.S. objectives for global engagement and cooperation. Industrial engagements provided

opportunity to promote U.S. systems, collaboration benefits, and DoD reforms including cybersecurity, agile acquisition, and contracting reforms.

- Through bilateral DoD engagements such as the Australia U.S. Ministerial Defense Acquisition Committee (ADAC), A&S had significant opportunity to promote U.S. objectives for global engagement and cooperation. Industrial engagements provided opportunity to promote U.S. systems, collaboration benefits, and DoD reforms including cybersecurity, agile acquisition, and contracting reform.

- Through a mix of bilateral and multilateral engagements such as the U.S. – India Defense Technology and Trade (DTTI) initiative, OUSD(A&S) advanced the Department's objectives through a number of targeted engagements. This includes continued focus on securing U.S. industry's participation in EU defense initiatives, support to international partners' defense plans, and maintaining defense advantages and security across the spectrum of emerging technologies and activities.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

Use existing engagements with industry and government counterpart to achieve U.S. goals and objectives.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 2.2.3.1: Engagement with U.S. and foreign industry to plan for sales of defense technologies and resolve acquisition matters. Teleconferences were held with NGC, Textron-Bell, Boeing, and BAE Systems. Engagement with U.S. and foreign industry partners has focused on impacts to the industrial base as a result of COVID-19. Most engagements were bilateral and virtual in Q4.

PM 2.2.3.2: USD(A&S)'s planned participation in Farnborough Airshow – airshow cancelled.

PM 2.2.3.3: USD(A&S)'s continued engagement with industry on plans for sales. Continued participation on engagements with European Union and partner nations on modifying restrictive objectives in EU Defense Initiatives (EDF, PESCO, EDIDP) and promote U.S. participation.

IDENTIFY KNOWN RISKS:

COVID-19 poses risk to PM 2.2.3.2 as trade shows/air shows may not to be held in FY 2021.

Reticence by specific EU member states from supporting U.S. industrial participation.

MITIGATION EFFORTS:

Enhancing industry communications, in meetings such as CEO meetings and quarterly tri-association meetings. To the full extent possible, leadership will endeavor to attend trade shows/air shows virtually.

Continued interagency activities with U.S. industry, the EU and EU member states.

NEXT STEPS:

Continue engagements with international partners to share and support contingency planning based on COVID-19 lessons learned. This includes a series of engagements with industry and government organizations including the NATO Conference of National Armaments Directors and Declaration of Principles bilateral meetings with several nations. Continue outreach with industry, EU, and Ministries of Defense on U.S. concerns related to ability for U.S. to participate in EU defense initiatives and provide official USG response on European Defense Fund (EDF) technical discussions outcomes.

PERFORMANCE INFORMATION GAPS:

Travel restriction timelines and mass gathering restrictions are unknown.

CHANGED PERFORMANCE GOALS / MEASURES:

Participation in trade/air shows will continue to be tracked, with the interest in attending virtually or in person, should conditions related to the COVID-19 pandemic allow for safe travel.

FY 2020 Summary of Results

PG 2.2.4: Strengthen Industrial Base Through Approved International Partners						PG Leader: USD(A&S)		
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 2.2.4.1: Leverage CNAD to drive acquisition best practices, shape multinational cooperation to meet NATO targets for collective security. Continue focus on NATO-EU cooperation as key element for EU defense initiatives.	Target	X	X	X	X	X	X	NEW
	Actual	X	X	X	X			
PM 2.2.4.2: Engage key partners and allies where Chinese influence may compromise global industrial base.	Target		X	X	X	X	X	NEW
	Actual		X	X	X			

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FY 2020 PERFORMANCE GOAL OVERVIEW:

The U.S. Defense Industrial Base (DIB) benefits greatly from partnering with international partners and foreign sales of U.S. systems by keeping production lines going strong, even during decreases in demand from DoD. Strategic partnerships focused on international acquisition enable the Department

to obtain the most secure and resilient advanced technology from the global DIB. A&S will leverage international armaments cooperation tools to enhance coalition interoperability; increase partner military capability; protect and retain access to the most advanced technology from the global defense industrial base; and strengthen alliances and build new partnerships.

FY 2020 PERFORMANCE PROGRESS UPDATE:

- Focus efforts at Conference of National Armaments Directors (CNAD) to improve NATO's ability to deliver defense capabilities. Engage through multilateral forums to strengthen controls on critical/emerging technologies and foreign direct investment, including the Five Power Maintaining Technology Advantage Working Group.

- Promote strong engagements with international partners and foreign industry to support transatlantic defense cooperation and making the U.S. partner of choice.

- Promote strong engagements with NATO on intent to join multinational cooperation initiatives, and engagement with international partners and foreign industry to support transatlantic defense cooperation and making the U.S. partner of choice.

- Promote strong engagements with NATO on intent to join multinational cooperation initiatives, and engagement with international partners and foreign industry to support transatlantic defense cooperation and making the U.S. partner of choice.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

DoD utilizes existing international engagements, such as Conference of National Armaments Directors (CNAD), to spread the message, drive best practices, shape cooperation. Through events like CNAD and other planned activities, we want to engage with partners and allies that may be the target of Chinese influence.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 2.2.4.1: Building on positive engagement throughout FY 2020, the U.S. and NATO multi-national cooperation remained on track despite ongoing impacts from COVID-19. The U.S. continued to promote NATO program management improvements for the benefit of the alliance and to improve NATO multinational cooperation and acquisition management. This includes focusing efforts for the upcoming Conference of National Armaments Directors (CNAD) anticipated for early FY 2021.

PM 2.2.4.2: The U.S.-organized and led a robust discussion for the Five Power Maintaining Technology Advantage Working Group. The discussion demonstrated that the U.S. and Allies increasingly viewed the threat from strategic competitors in similar terms, and were remaining vigilant for attempts to take advantage of the conditions resulting from the COVID-19 pandemic.

IDENTIFY KNOWN RISKS:

Chinese influence in Europe intends to erode collective military technology advantages and create a disjointed perspective within the European and transatlantic community. COVID-19 shutdowns and teleworking impact the ability to hold meetings with various participants, particularly at classified levels.

MITIGATION EFFORTS:

Talking points continue to be prepared for senior leadership to express U.S. concerns and ongoing dialogues with NATO allies and partners related to Chinese disinformation and marketing activities during COVID-19 crisis.

Maximize use of virtual meetings and hold SVTCs where possible.

NEXT STEPS:

Develop papers and information for CNAD discussions on China and resilience for November meeting.

Continue to promote increased multinational cooperation and mitigate delivery delays to NATO programs. Prepare CNAD templates for adoption by NATO Allies to increase participation.

PERFORMANCE INFORMATION GAPS:

All performance information is current and available.

CHANGED PERFORMANCE GOALS / MEASURES:

No changes and no significant changes are forecasted.

STRATEGIC
GOAL 3 -
Reform the Department's business practices
for greater performance and affordability

STRATEGIC GOAL 3

Reform the Department's Business Practices for Greater Performance and Affordability

SO 3.1: Improve and strengthen business operations through a move to DoD-enterprise or shared services; reduce administrative and regulatory burden

SO Leaders: CMO

STRATEGIC OBJECTIVE OVERVIEW:

The third line of effort of the NDS is reforming the Department's Enterprise Business Operations for greater performance and affordability, which often supports the first line of effort. The goal of reform is to create a long-lasting culture of innovation, empowerment, and improvement to reduce the cost of doing business throughout the Department. The Department is a large federated organization and it is important that the speed of reform efforts do not compromise the missions of DoD components. Institutionalizing defense reforms is fostered by obtaining stakeholder buy-in and a commitment from stakeholder engagement in the decision-making process. Managing defense in an ever-changing security environment requires changing the way we do business. To be sustainable, reform must be implemented as wholesale - process, policy, system, and cultural changes. CMO leads reform across the Department by implementing shared performance metrics, innovative processes and services, data driven solutions, and mission focused funding. This objective also addresses the requirements in Executive Orders 13771 and 13563, Reducing Regulation and Controlling Regulatory Costs (Jan 30, 2017) and "Improving Regulation and Regulatory Review (Jan 18, 2011). These Executive Orders require the elimination of two existing regulations for every new significant regulation issued, that the cost of planned regulations be prudently managed and controlled through a budgeting process, and that agencies review existing significant rules to determine whether any rules should be modified, expanded, streamlined, or repealed to lessen the burden on the public. The CMO drives and incentivizes operation and financial efficiencies by reviewing, measuring, tracking, and reporting performance and outcomes. Further, as a primary agent to foster sustainable reform and change in the DoD, it is imperative the OCMO continue to undergo organizational adjustments to better implement statutory authorities and delegated responsibilities.

STRATEGIC OBJECTIVE PROGRESS UPDATE: The Department has made noteworthy progress in achieving performance goals associated with reform and regulatory strategic objectives. In FY 2020 the Department met its planned reform savings target goal of $7.7B in efficiencies.

DoD reforms continue to identify and realize financial savings as a result of reform efforts. In addition to financial savings, several reform efficiencies have been identified to improve quality and time of processes for multiple DoD products and services, as well as improve overall compliance with regulatory and DoD policy. A few example success areas for FY 2020 are provided here as progress updates. DoD Achieved significant savings by conducting Service Requirements Review Board (SRRB) and Contractor Courts. The entire Fourth Estate (60+ organizations) participated in contract service requirements reviews executing a reduction of funding for studies/analysis, elimination of contracts, and a reduction of unnecessary contract support resulting in $1.3B from FY 2017 though FY 2020. The Department is also implementing a modernized "Travel-as-a-Service" capability to improve processes, reduce number of human touchpoints needed, automate travel management, and improve financial controls. This effort

achieved $280M in FY 2020 savings. Further, DoD is acquiring training and education products and services through USALearning to provide improved quality, more rapid acquisition and modernization outcomes, and more cost-optimized training and education products and services compared to acquisition processes separately undertaken by each Component. This increases shared service opportunities by providing visibility into DoD-wide digital learning products, services, spending, and technology. The training and education modernization reform initiative met FY 2020 programmed savings, and is meeting $122M over the FYDP. In the area of continuous process improvements focused on quality and time advancements rather than savings, DoD increased transparency and reduction of duplication among multiple providers of Human Resources services for ~72K civilian personnel in the Fourth Estate with Civilian Human Resources Shared Service Delivery model, governance process, shared performance expectations, and cost model definitions. Implementation beginning FY 2021 enables standardized delivery and performance assessment across the Fourth Estate. With a similar focus on quality improvements, DOD re-engineered interim security clearances and transfer of trust processes to improve acceptance of the transfer of clearances between agencies; ability for hiring managers to request targeted investigations rather than full investigations; reduced the hiring timeline for new DoD civilian employees; and reduced workload on investigative resources. Across the various reform areas, innovative culture and approaches are being fostered. Increased communication and collaboration amongst the military services and DoD components are resulting in cooperative solutions that serve DoD as an enterprise.

Results from the Secretary of Defense's third line of effort, "Reform the Department's Business Practices for Greater Performance and Affordability" includes:

- Continued efforts to configure the Defense Civilian Human Resource Management System (DCHRMS), a cloud-based human resources personnel system that is integrating six different databases into one. In FY 2020, thousands of business processes and rules were reengineered, reducing system roles by 30%, decreasing the number of data fields by 45%, and reducing the number of interfaces down to 36 from 42 in FY 2019.

- In FY 2020, more than 2,000 users were added onto the Defense Travel Modernization Prototype and over 800 trips were completed. Quarterly reports identified a 4.3% improvement in improper payment rates as well as increased customer satisfaction rates. Despite delays in deployment as a result of the DoD travel ban in response to the COVID-19 pandemic, reforms related to this effort saved $119.0 million in FY 2020.

- The Department continues to focus on validation of contract requirements, redundancy, and effectiveness as a major reform area. FY 2020, financial savings of $441.0 million were confirmed through programmed budgeted amounts in accordance with Service Requirements Review Board and Senior Review Panel validations.

STRATEGIC OBJECTIVE NEXT STEPS:

Reform will continue to strengthen relationships and open communication between the services and the components, encourage innovative approaches, promote enterprise-level solutions wherever possible, and improve measurability and tracking to support data-driven solutions and action. The Department continued forward with the second wave of Defense-wide reviews through clean-sheeting. Conducting Defense Agency and Field Activity budget reviews, reports, certifications, and improvement plans and

legislative requirements. The DoD major reform method of Category Management will shift from spend reviews to implementation with significant savings tracked across multiple years for working capital funded reforms while efforts accelerate and expand deployment of the approach. The military services also continue pursuing reform priorities for greater accountability and to generate higher states of operational readiness and lethality.

FY 2020 Summary of Results

PG 3.1.1: By September 30, 2021, create a long-lasting culture of innovation, empowerment, and improvement to reduce the cost of doing business throughout the Department and achieve $16.4 billion in reform savings (FY 2020 -$7.7B and FY 2021 - $8.7B).		**PG Leader:** OCMO, Transformation & Reform Director					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.1.1.1: *Achieve DoD-wide Reform Saving Targets.* Attain Comptroller validated Department-wide fiscal year (FY) reform financial saving targets to meet Office of Management and Budget Passback for DoD to achieve reform savings totaling $46B over FY 2019-2024.	Target				$7.7B	$8.7B	$9B	NEW
	Actual				$7.7B			
PM 3.1.1.2: *Actively Govern DoD Reform Progress & Effectiveness.* Reform governance oversee initiative progress & impacts according to sanctioned schedules, savings, and performance.	Target	20%	40%	70%	100%	100%	100%	NEW
	Actual	50%	50%	89%	100%			
PM 3.1.1.3: *Annually Set FYDP Reform Saving Targets.* Continuously establish annual RMG financial savings and effectiveness targets through each relevant Fiscal Year Defense Program (FYDP) cycle.	Target		Q2			Q2	Q2	NEW
	Actual		Q2					

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FY 2020 PERFORMANCE GOAL OVERVIEW:

The DoD's imperative mission to provide the military forces needed to deter war and protect the security of our country, requires a complex enterprise that is mindful of cascading effects, with a need to maintain inventory levels to meet military and wartime demands, under limiting authorities to quickly achieve business operational reductions, needing meaningful changes forcing system, process, or policy updates

before taking effect, and in full consideration of potential negative impacts to readiness. To achieve this end, DoD establishes cross-functional multi-component teams, leads a senior reform governance board, leverages a reform management framework, and conducts frequent recurring progress reviews with resource decision implications. (Statutory Requirement: (§921(b)(5)(A) of P.L. 115-232 (FY2019 NDAA)).

FY 2020 PERFORMANCE PROGRESS UPDATE:

The Department achieved $7.7 billion in financial savings for FY 2020, continuing to contribute toward the reform savings total of $46 billion across FY 2019-2024 as the target set by OMB. Established reform teams continue to push the Department forward in cross-functional reform areas. DoD leverages a standardized reform management framework to monitor progress of each reform area against major milestones and measurable tollgates. The senior reform governance board conducts frequent recurring progress reviews at a rate of 50% each quarter, provides direction, establishes priority, and conducts resource analysis to ensure continued advancement of the reform areas. As of Q4, 8 of 8 reform teams as well as the Defense-wide program office have presented high priority initiatives and efforts to the RMG. The Department is in the process of executing and implementing defense-wide reforms 2.0 (DW 2.0) with emphasis on category management, clean sheeting, and streamlining business processes and functions. For the second year in a row, DoD has successfully set the annual Fiscal Year Defense Program (FYDP) saving targets by the end of the second quarter at continued FY levels that maintains the necessary momentum to achieve $46B in savings by FY 2024. These savings targets are critical to sustain the progress made in benefit realization while advancing toward new bold transformation and reform initiative solution developments, decisions, and implementation engagements.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

The three performance measures driving the Department toward creation of a long-lasting culture of innovation, empowerment, and improvement to reduce the cost of doing business by saving $16.4 billion in reform savings by Sept 30, 2021, are significant as a whole. Setting annual FYDP reform savings targets, actively governing DoD reform progress and effectiveness, and achievement of the Department's reform targets are vitally important in ensuring DoD stays on track to meet the overarching financial efficiency target of $46 billion by FY 2024.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 3.1.1.1: Reforms are underway by the military Services, in multiple areas such as, better alignment of resources, business system improvements, and divestitures. Defense Agencies and Field Activities are making progress in business process improvements, policy reforms, as well as better resource alignment efforts. The Department is making progress on establishing cost baselines related to its reform efforts and ensuring that reform savings are reflected in its budgetary materials. Across FY 2017-2021, the Department has successfully programmed $37B from reform and Defense-Wide Reviews (DWR).

PM 3.1.1.2: Reform areas are prioritized and reviewed by the appropriate governance board leadership. Of the RMG reforms, 50% of reform areas are currently reviewed on a quarterly basis. To date in Q4, 8 of 8 reform teams as well as the Defense-wide program office have presented high priority initiatives and efforts to the RMG. These reviews have successfully been able to avoid pitfalls and delays in moving the reform initiatives forward. As an example the Defense Travel Modernization project had experienced some

slippage in the implementation timeline, by involving senior leadership, new performance measures were introduced to measure the downstream effects and cost. Continuation of strengthening and streamlining DoD oversight and governance forums and capabilities will drive deeper and more insightful progress for FY 2021 and beyond.

PM 3.1.1.3: Reform targets set across the Department for FY 2020 were identified by the Military Services, the Defense Field Agencies and Activities (DAFA), and the DoD Reform Management Group (RMG). The Services saved $6.6 billion in equipment divestiture reforms, processes to improve expenditure efficiencies, Next Generation Air Dominance, Global Positioning System-III, and bottom up reviews. DAFA and RMG reform targets took the Department's FY 2020 savings total over $7.7 billion. These reforms targeted improvements and savings in the Defense Health Program, Fourth Estate IT optimization, Fourth Estate Cloud Migration, Assisted Acquisition through USALearning, Task Management System Rationalization, and Streamlining the Risk Management Framework Process. Reform area initiative targets align with numerous DoD performance objectives and goals, contributing directly to achieving the overall DoD Strategic Goal #3 on reform.

Identify Known Risks:

COVID-19 arose unexpectedly and the full impacts on DoD reform efforts are not yet known as effects are reviewed and monitored. However, because of existing infrastructure actions except to remain on track.

Mitigation Efforts:

Close and ready support for reform efforts as requirements arise has been the leadership, approach and remains key in addressing impending areas of concern.

Next Steps:

DoD oversight and governance forums and processes are being reviewed and streamlined to increase the capability of senior reviews across all reform areas. More focused review at the reform initiative level will be executed in Q1 of FY 2021. Further leverage of the standardized reform management framework and real-time reporting will also increase visibility and oversight of reform areas; improving the Department's ability to identify potential opportunities and pitfalls much earlier.

Performance Information Gaps:

The Department is considering how best to capture reform actual financial savings (execution data) for comparison with savings programmed and budgeted to validate success of the transformation.

Changed Performance Goals & Indicators:

For FY 2021, the RMG governance progress and effectiveness reviews are shifting from business reform areas to reform initiatives based on quarterly key performance indicators and balanced scorecard results for data driven oversight and decision.

FY 2020 Summary of Results

<table>
<tr>
<td colspan="2">PG 3.1.2: Lead the integration and optimization of Enterprise Business Operations while creating a long-lasting culture of innovation, empowerment and improvement to reduce the cost of doing business throughout the Department.</td>
<td colspan="7">PG Leader: OCMO, Transformation & Reform Director</td>
</tr>
<tr>
<th colspan="2">Performance Measure</th>
<th>Q1 2020</th>
<th>Q2 2020</th>
<th>Q3 2020</th>
<th>Q4 2020</th>
<th>FY 2021</th>
<th>FY 2022</th>
<th>Prior Year Results</th>
</tr>
<tr>
<td rowspan="2">PM 3.1.2.1: Effectively Resource & Manage Reform Initiatives. Proactively manage and resource reform team capabilities through operative sources and IAW governance decisions to maximum feasible on a recurring basis.</td>
<td>Target</td>
<td>80%</td>
<td>80%</td>
<td>100%</td>
<td>100%</td>
<td rowspan="2">100%</td>
<td rowspan="2">100%</td>
<td rowspan="2">NEW</td>
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<tr>
<td>Actual</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
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<tr>
<td rowspan="2">PM 3.1.2.2: Equip Reform Teams for High-Impact Results. Train and administer business optimization process improvement methodologies and documentation requirements for business reform areas initiatives ensuring accuracy and timely conformity by the end of FY 2020.</td>
<td>Target</td>
<td>20%</td>
<td>40%</td>
<td>70%</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td rowspan="2">NEW</td>
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<tr>
<td>Actual</td>
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<tr>
<td rowspan="2">PM 3.1.2.3: Deliver Enterprise Reform Initiative Successes. Evaluate, inform, and guide reform initiative progress delivery and success of schedules, savings, and performance for effective RMG governance, savings benefit realization of targets, and business reform impacts that contribute to NDS accomplishment IAW Department program budget FY submissions.</td>
<td>Target</td>
<td colspan="3">Establish Baseline</td>
<td>55%</td>
<td>TBD</td>
<td>TBD</td>
<td rowspan="2">NEW</td>
</tr>
<tr>
<td>Actual</td>
<td colspan="3">105 of 199 successful reform initiatives = 53%</td>
<td>69%</td>
<td>75%</td>
<td>85%</td>
</tr>
</table>

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FY 2020 Performance Goal Overview:

For the DoD to compete, deter, and win in an increasingly complex security environment while executing objectives in the most efficient and effective manner throughout the enterprise, the Chief Management Officer of the Department must successfully deliver optimized enterprise business operations. To drive enhanced enterprise business operations, the OCMO Transformation and Reform (T&R) Directorate delivers reform initiatives with high-impact results improving efficiency and standardization through three primary services; Business Management services (resources, contracts facilities, equipment, and official documentation mgmt.), Business Optimization services (best practices, integrative workshops, change agent/transformation institutionalization expertise, standardization methodologies, training, and system support tools), and Business Reform services (initiative quality, progress reviews, and advisement on schedule, savings, and performance; benefit validation realization and sustainment follow-through). These OCMO cross-functional reform services are a key means for the Department to improve the business environment in support of the warfighter. Statutory Requirement: (§921(b)(5)(A) of P.L. 115-232 (FY 2019 NDAA)

FY 2020 Performance Progress Update:

A few alternative funding routes are in review to provide a more constant predictable level of investment for contract management cyclical sprints and to assist with community service reforms. In meeting reform optimization support requirements to ensure high-impact results can be achieved, 100% of RMG reform area requests for assistance have been met. For Q4, a customer perspective from RMG reform teams has been developed to measure optimization support requirements with outcomes. Of the 199 RMG reforms, 138 or 69% are either active and on track, closed-achieved, closed-partially achieved, or have transitioned to the business owner to execute and manage. The data continues to become more informative and reliable as reform teams execute and report against recent refined key performance indicators and balanced scorecards; both as driving factors going into quarterly RMG governance reviews at the discrete reform initiatives level. Continuing in FY 2021, focused sessions driving outcomes and measures at the initiative level for each reform area will enhance transparency and accuracy of overall progress and health of reforms.

FY 2020 Performance Measure Overview:

Evaluating the effectiveness of adequately meeting reform requirements such as resourcing, equipment, capabilities, training, etc, are key indicators to consider reform initiative successes. As these factors and associated impacts become more engrained operationally and more transparent in reform progress reviews, further clarity on the best definition and approach to the measurement will enhance maturity value. In addition, evaluation of reform initiative successes according to progress delivery, schedule, and benefit/savings adherence is postured to continue to improve. Visibility of effectiveness is continually increasing through the Defense Reform Portal for completeness and accuracy, and upcoming structured senior leader governance quarterly reviews.

FY 2020 Performance Measure Progress Update:

PM 3.1.2.1: To achieve this mandate, the CMO established the Reform Management Group (RMG) in 2017 to manage and oversee business reform efforts. Reform team leaders leverage the RMG governance

to propose opportunities inclusive of estimated benefits, performance measures, milestones, and stakeholder approvals. Once approved, the reform leader may request funding support to enable implementation and execution. At the beginning of FY 2018, CMO established an agency reform blanket purchase agreement to leverage industry experts to support analysis, implementation and execution of qualified reforms. Initially, the CMO supported the funding of reform opportunities through their base budget. The OCMO reviewed the FY 2018 budget request to identify potential off-sets to help fund the reform teams. The OCMO baseline budget request was $31.8M which provided the underpinning of the reform team analytical support. After the CMO prioritized the remaining budget and identified opportunities for realignment of funding, the enhanced level of support for the reform teams, leaving a $30.25M unfunded requirement. Initial expectations focused on providing the reform team's minimal contract support have proven overly optimistic. Reform Team leads requested additional support to execute their duties and deliver results. Given Secretary of Defense's reform priority, the CMO received funds through proportional cut across the OSD elements, less the non-discretionary actions, to offset this UFR within the account.

Beginning in FY 2019, 3 of the 9 reform teams matured (Real Property, Testing & Evaluation, and Human Resources) and transitioned to their operational organizations, and one team (Information Technology) split into two (IT and Business Systems). These reforms were funded through their parent organization while the CMO continued to track implementation progress and benefits. The remaining reform teams began to self-fund their reform initiatives. Category Management and Community Services continued to execute under the CMO. Due to the magnitude of funding required to support these requirements, the CMO identified concerns and worked to assist with funding these reforms. In FY 2020, Category Management was programmed/budgeted for $12M. The unfunded requirements leveraged the funding of the OCMO base budget and OSD mid-year execution reviews. In Q4, the OCMO began working with Military Services and Defense Agencies to fund category management projects. Working with OCMO, these components collaboratively drive towards realization of outcomes.

PM 3.1.2.2: The OCMO Transformation and Reform Business Optimization Division (BOD) continued to equip Reform Teams and develop team member skillsets through concentrated workshops, training sessions (formal courses and Just-In-Time training), and one-on-one coaching sessions. In FY 2020, over 25 enterprise-level business transformation / process improvement workshops were conducted with over 300 participants; topics included the Reform Management Framework, Personnel Vetting, Industrial Security, Personnel Suitability, and Human Resources Shared Services. These workshops targeted enterprise-wide business optimization solutions while also providing opportunities for Reform Team member skill development in a live setting. Customer satisfaction feedback is solicited in all workshops, training courses and coaching sessions, and responses are leveraged to continuously improve content and delivery of outcomes. CMO training and support has influenced the Defense Counterintelligence and Security Agency (DCSA) to hire multiple process improvement experts and business process modelers to support ongoing agency transformation initiatives. CMO continues to conduct training sessions/workshops on CPI methods and tools, including topics such as developing project charters, balanced scorecard and key performance indicators (KPIs), Business Process Modeling Notation (BPMN) 2.0 compliant process models, organizational structures, and business operating models.

PM 3.1.2.3: Leading up to and throughout FY 2020 Q2, reform teams focused on uploading reform initiatives and supporting content in the DoD Reform Portal for Reform Management Framework (RMF) transparency, tracking, management, and oversight. By Q3, all RMG, MILDEP & DAFA reform initiatives up through FY 2020 were incorporated into the reform portal. Uploads were complete and updates on information continued into Q4 for a more refined measurement of success at the end of FY 2020 as the Reform Management Framework (RMF) is more fully operationalized and indicators of cost savings, schedule, and performance are established.

With all reform initiatives up through FY 2020 accounted for in the portal as of Q4 (199) (does not include pipeline ideas or DWR initiatives for FY 2021), 138 or 69% were actively on track, have been closed-achieved closed-partially achieved, or in accordance with RMG approval have transitioned to the business owner for execution and management. The remaining initiatives have either been cancelled, closed-not achieved, or placed on-hold.

Identify Known Risks:

Funding availability, COVID-19 increased demand for remote work functionality and solutions; however reform initiatives remain closely monitored for necessary support to remain active toward making progress.

Mitigation Efforts:

The tools and processes for obtaining funding are under review for opportunities to establish long-term funding solutions. This would allow reform teams to focus on innovation and forward progress rather than devoting valuable resources to funding adjudication. COVID-19 has also re-prioritized resources towards remote capabilities. Continual analysis of new and developing needs of the reform teams is used to monitor the situation and allocate resources as needed.

Next Steps:

Review process of obtaining long-term funding and resource vehicles to maximize time and resources the reform areas apportions to innovation and transformation.

Performance Information Gaps:

N/A

Changed Performance Goals & Indicators:

PM 3.1.2.2 In Q4 a measure of customer satisfaction of optimization support requirements with outcomes will be developed and piloted, with full implementation occurring in Q1 FY 2021. PM 3.1.2.3 established a Q1-3 baseline for reform initiatives on the path to success based on current management status; therefore, new targets were set for FY 2021.

FY 2020 Summary of Results

PG 3.1.3: Deliver performance-driven shared services and an exceptional customer experience		PG Leader: CMO					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.1.3.1: Pentagon Counter-Small UAS Program: Install, test, and operationalize emerging electronic and kinetic capabilities to maximize defenses against small Unmanned Aircraft System (sUAS) threats on the Pentagon Reservation (PFPA). Provide first FOC capability in Q3, FY 2020.	Target	Radar & jammers		Cameras				NEW
	Actual	Radar	Jammers					
PM 3.1.3.2: Pentagon Physical Security Information Management: Complete operationalization of the next generation of PFPA's Physical Security Information Management (PSIM) software, assuring situational awareness of critical physical security platforms at the Pentagon Reservation and select DoD facilities. Target EDC Q4, FY 2020.	Target	25%	50%	75%	100%	100%		
	Actual	25%	66%	75%	85%			
PM 3.1.3.3: OSD Insider Threat Program: Accomplish three additional elements of the National Insider Threat Task Force Insider Threat Program Maturity Framework by Q4, FY 2020.	Target	100-90%	100-90%	100-90%	100-90%			
	Actual	80%	*75%	*80%	*90%			
PM 3.1.3.4: Police Officer Recruitment: In collaboration with the Defense Civilian Personnel Advisory Service (DCPAS), Washington Headquarters	Target				75			NEW

Services, Human Resources Directorate (WHS-HRD), and the Federal Law Enforcement Training Centers (FLETC), PFPA will increase its throughput of new police officer recruits from 60 to 75 officers per year (FY 2020 and FY 2021).	Actual				72		
PM 3.1.3.5: Improved Promotion Processes for Pentagon Police:	Target				FOC		
Implement the Office of Personnel Management, Human Resources Solutions, Selection and Promotion Assessment processes for Pentagon Police Officer grades Corporal through Captain. FOC for full implementation Q4, FY 2020.	Actual		IOC		FOC		
PM 3.1.3.6: Leased Facilities Antiterrorism Exercises and Training:	Target	4	2	2	2		
Complete 10 delegated facilities' annual Antiterrorism (AT) Training and Exercises to support each Designated Official's ability to identify/validate tasks, conditions, and standards required to execute their AT plans. EDC Q4, FY 2020.	Actual	4	1	13	6	10	10
PM 3.1.3.7: Safeguarding of Classified Information:	Target				2100		
Mitigate the technical threats to national security information in classified processing spaces and comply with the initiative captured in the DepSecDef's policy titled "Mobile Device Restrictions in the Pentagon," signed May 22, 2018. Goal: Conduct 2100 Inspections by Q4, FY 2020.	Actual	594	700	0	1,331		

PM 3.1.3.8: Washington Headquarters Services **(**WHS) – Improve the Employee Experience measured by the *Best Places to Work in the Federal Government* Agency Ranking (percentage)	Target	Measured Annually			75% (Annually reported in late winter)	80%	85%	FY19: 76% (319 out of 420)
	Actual				TBD			
PM 3.1.3.9: WHS – Percentage of employees responding positively that they are empowered to perform their jobs. (DoD 2018 Benchmark: 62%)	Target	Measured Annually			65%	70%	75%	FY19: 63%
	Actual				TBD			
PM 3.1.3.10: WHS – Employee Engagement Index Score* (2018 Medium-Sized Agency Best-in-Class Benchmark: 83%) * Defined as an employee's sense of purpose that is evident in their display of dedication, persistence and effort in their work or overall attachment to their organization and its mission	Target	Measured Annually			70%	75%	83%	FY19: 70%
	Actual							
PM 3.1.3.11: WHS – Develop a Shared Services Catalogue to organize and maintain service inventory and standards	Target	Draft	Final	Implement				NEW
	Actual	90%	95%	Goal deferred				
PM 3.1.3.12: WHS – Percentage of customer-focused goals and metrics achieved in the quarterly Balanced Scorecard	Target			80%	85%	90%	95%	NEW
	Actual			78.3%	78.3%			
PM 3.1.3.13: WHS – Percentage of customer satisfaction ratings of satisfactory or above for WHS functions and services	Target	Measured Annually			80%	*80%	*85%	NEW
	Actual				61%			
* FY 2021 and FY 2022 Metric Target Performance Goals adjusted to align with current data and initiatives								

PM 3.1.3.14: WHS – Percentage of all payments processed on time and without error	Target	98%	98%	98%	98%	98%	98%	NEW
	Actual	98.9%	99.5%	99.5%	98.8%			
PM 3.1.3.15: WHS – Percentage of time and attendance (payroll) certified before respective payroll cut-off date	Target	99.1%	99.2%	99.3%	99.4%	99.6%	99.9%	FY19: 99.1%
	Actual	99.2%	99.0%	98.9%	99.2%			
PM 3.1.3.16: WHS – Average Time to Hire (TTH) General Schedule (GS)-15 and below or equivalent employees	Target	70 Days	70 Days	70 Days	70 Days	62 Days	58 Days	FY19: 77 Days
	Actual	79 Days	91 Days	79 Days	79 Days			
PM 3.1.3.17: WHS – Average Time to Hire (TTH) Senior Executive Service (SES) employees	Target	125 Days	125 Days	125 Days	125 Days	120 Day	115 Days	NEW
	Actual	152 Days	126 Days	163 Days	109 Days			
PM 3.1.3.18: WHS – Percentage of personnel actions processed before respective payroll cut-off date	Target	90%	95%	95%	97%	97%	97%	NEW
	Actual	97%	89%	99%	99%			
PM 3.1.3.19: WHS – Percentage of repair/maintenance requests resolved or escalated within suspense	Target	80%	85%	88%	90%	90%	90%	FY19: 88%
	Actual	91%	92%	70%	84%			
PM 3.1.3.20: WHS – Percentage of all contracts awarded within suspense	Target	80%	85%	85%	85%	87%	90%	FY19: 85%
	Actual	96%	91%	88%	93%			
PM 3.1.3.21: WHS – Percentage of Issuance reviews, WHS-specific Freedom of Information Act (FOIA) requests, and security classification case reviews completed 5 business days or sooner prior to the suspense	Target	95%	95%	95%	95%	95%	95%	NEW
	Actual	82%	89%	94%	91%			

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020

Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

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FY 2020 PERFORMANCE GOAL OVERVIEW - <u>PFPA (PM 3.1.3.1 – 3.1.3.7)</u>

Protect and safeguard designated Department of Defense personnel, resources, and facilities. Lead the Department of Defense in force protection best practices by professionalizing, standardizing, and integrating services, processes, and systems. Deliver support services while improving the customer experience.

FY 2020 PERFORMANCE PROGRESS UPDATE:

PM 3.1.3.1: PFPA in collaboration with its interagency partners made significant progress in FY 2020 towards operationalizing the Pentagon C-sUAS capability at IOC. PFPA successfully obtained FAA approval to operate the system per 10 U.S.C. 130i. PFPA was also successful in installing the C-sUAS electronic defeat systems. The final systems, the cameras, are currently in the process of being procured. At this time, PFPA is beginning planning for tuning, testing, and training to get the system fully operational.

PM 3.1.3.2: PSIM2 is ready to begin deployment in Q1 2021, pending JSP's IATT or ATO approval. Down select of the materiel solution, a commercial off the shelf product used by other large DOD, Federal, and commercial sector customers for similar use cases, was completed in mid-2019. Since that time PFPA has successfully worked to configure the system to work with PFPA's existing access control, SCIF alarm, perimeter intrusion, video surveillance, identity management, and Computer Aided Dispatch systems and to validate to specification. This configuration and validation work was completed in the test/integration environment in March 2020 and has enabled the system to be ready for deployment in the production environment by Q1 2021. In anticipation of this, JSP has already completed racking new server hardware at Pentagon and Mark Center and completed infrastructure configuration. JSP is also working to provide IATT and ATO approval for the PSIM2. The PSIM2 deployment is dependent on IATT or ATO approval by JSP.

Pending JSP's IATT or ATO approval, PFPA will begin deploying and configuring PSIM2 in production environment and begin operational transition from the PSIM1 to PSIM2 in the Pentagon and Mark Center Security Operations Centers. The existing EOL/EOS system will be decommissioned upon completion of the transition period. PSIM2 will also be fielded as a new capability at satellite SOCs at select locations including with JCS Military Security Force and Raven Rock Mountain Complex Security Operations Centers.

PM 3.1.3.3: The three elements of the National Insider Threat Task Force Insider Threat Maturity Framework PFPA is seeking to achieve this FY are Engagement; Personnel and Training; and Information, Integration, Analysis, and Response. In all of these areas, the inability to fully staff to projected manpower is negatively impacting achievement of the elements. Additional information on each element below.

PM 3.1.3.4: PFPA will not meet its objective for FY 2020-2021 by 3 new recruits due to the COVID19 Pandemic and the forced closing of the Federal Law enforcement Training Facility

PM 3.1.3.5: PFPA met its Initial Operating Capability objective by completing a successful Captains selection board that encompassed assessments provided by OPM HRS. PFPA has coordinated with OPM HRS to develop assessment questions using a Subject Matter Expert panel to provide input for the Sergeant and Lieutenant and Promotion panels that will occur Q1 FY 2021 and Corporal Promotion panel that will occur in Q2 FY 2021. PFPA is coordinating with OPM HRS to develop Job Knowledge Test, Situational Exams, Written and Oral interview assessment questions for the Corporal Promotion Panel ahead of schedule. We achieved full implementation Q4 FY 2020.

PM 3.1.3.6: Antiterrorism Force Protection Division successfully completed four (4) of 10 leased facilities Antiterrorism Training and Exercises to meet DoDI 2000.16, Vol 1, DoD Antiterrorism (AT) Program Implementation: DoD AT Standards. The Leased Facilities Designated Officials supported by their Facility Security Committees (FSC) and PFPA Liaison Antiterrorism Officers (ATOs) effectively tested plans using a mix of Chemical, Biological and Radiological (CBR), Active Shooter events, and force protection condition (FPCON) transitions to validate planning tasks to meet required AT Standards. DoD tenants made in the areas of FSC members completing required training and reviewing planning annexes supporting implementation. Additional training emphasis on facility-specific FPCON measure action to mitigate presented threats and risk. Coordinated risk-decision and timely information dissemination requires immediate improvement.

PM 3.1.3.7: The Mobile Device Detection (MDD) program has been terminated. The project number of inspections was not met due to COVID responses in the workplace.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 3.1.3.1: The Pentagon C-sUAS installation schedule for infrastructure and sensor installation and integration included milestones and dependencies of internal and external stakeholders.

Internal initiatives included developing installation and integration requirements; acquisition of installation material and equipment; obtaining required approvals; collaboration with stakeholders; managing installation effort. Key internal stakeholders include Pentagon Emergency Management and Pentagon Police Division. External initiatives included installation of power and Ethernet infrastructure; design of mounting infrastructure; completion of system integration with the command and control system and physical installation of sensors and supporting hardware. Key external partners include the U.S. Army Combat Capabilities Development Command; Aviation & Missile Center; Office of the Under Secretary of Defense for Research and Engineering; Washington Headquarters Services; and the Joint Service Provider.

PM 3.1.3.2: Completion of the project (in % completion) to integrate, test, and deploy the CNL PSIM software to replace the original software that has come out of service due to the vendor no longer supporting the product.

PM 3.1.3.3: The core component of the DoD/National InT Framework for programs that have reached Full Operating Capability (FOC) involves maturing capability areas. Focus of this measure supports policy

development, and engages internal and external components, senior leadership, trusted agents, security managers, and employees.

PM 3.1.3.4: PFPA continues its efforts to recruit new police officers with several initiatives to include recruiting events and fairs, leveraging Veterans' Recruitment Appointment (VRA) and Direct Hiring Authority to increase throughput of police officer recruits.

PM 3.1.3.5: Implement the Office of Personnel Management, Human Resources Solutions, Selection and Promotion Assessment processes for Pentagon Police Officer grades Corporal through Captain. Key initiatives include support agreement with OPM HRS to develop promotion assessments by Grade.

PM 3.1.3.6: The goal is to work with customers to conduct an annual AT exercise IAW DoDI 2000.16, Standard 23. The requirement is to test a portion of the AT Plan.

PM 3.1.3.7: All program termination, all goals have reached conclusion.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 3.1.3.1: Travel restrictions, stay-at-home orders, quarantine requirements, etc., caused by the COVID-19 pandemic are contributing to schedule delays as SMEs required to conduct operationalization activities are located out of state. PFPA is collaborating with interagency partners to leverage efficiencies and cost savings associated with using existing contract vehicles for C-sUAS sustainment services. PFPA supported NCR sUAS situational awareness by conducting notifications for Windtalker sUAS detections and collaborating with DDS on Windtalker operations and system performance.

PM 3.1.3.2: Performed Pre-Installation Test and Check Out (PITCO) in the lab environment. Currently, adjusting the CNL application and configurations based on comments received from the PITCO. Initiated PSIM2 deployment preparations that include demonstration of the system to the end-users and soliciting their feedback, replacement of forty (40) PSIM1 workstations, coordinating setup and configuration of the PSIM2 network infrastructure and firewall with JSP, and submission of documentations and artifacts required for the RMF process.

PM 3.1.3.3: In FY 2020, the OSD ITP:

- Administrative Instruction (AI) 00AM, "OSD Insider Threat Program (ITP)" remains in DoD OGC for final review status (490+ calendar days). AI 00AM provides an operational InT foundation, reduces program and organizational risk, refines procedures, and establishes criteria protecting OSD, WHS and PFPA

- Collaborated with Office of the Under Secretary of Defense for Intelligence and Security (OUSD (I&S)), DoD Chief Information Officer (DoD CIO), Defense Information Systems Agency (DISA), and other Component representatives on an enhanced UAM / OPSEC pilot project. Implementation aligns DoD Counter-InT programs with national and defense evolved InT authorities

- Provided guidance and support to internal and external InT community Hubs and relevant functional areas such as AT, CI, and Security to establish programs or build an InT capacity; assisting in the areas of strategy, policy, implementation, and tailored operations

- Capitalized on engagement efforts in the virtual/telework environment, facilitating co-sponsored WAVR-21 training for internal and external DoD and NCR organizations. Training continues into Q4 FY 2021

- Unfilled billets in Q4 FY 2020 within the OSD ITP affected the ability to continually engage personnel at all levels, and capitalize on mission opportunities within the area of responsibility

PM 3.1.3.4: PFPA is slightly behind in its objective for FY 2020-2021. To date we have recruited a total of 72 new officers into the Agency. The overwhelming increases are a result of the USD P&R/DCPAS Direct Hiring Authority granted to Defense agencies and the Services with series 0083 police officers. The DHA has allowed PFPA to target qualified applicants without regard to title 5, U.S. Code, sections 3309-3318, which prescribe requirements for applicants of veterans' preference and competitive examining to positions in the competitive service. This has allowed PFPA to reach recent college graduates with law enforcement related degrees without the prior law enforcement experience and qualified non-merit applicants with law enforcement/security related experience.

PM 3.1.3.5: PFPA met its Initial Operating Capability objective by completing a successful Captains selection board that encompassed assessments provided by OPM HRS. PFPA coordinated with OPM HRS to develop assessment questions using a Subject Matter Expert panel to provide input for the Sergeant Promotion panel that occurred in Q3 FY 2020. PFPA also coordinated with OPM HRS to develop Job Knowledge Test, Situational Exams, Written and Oral interview assessment questions for Corporal Promotion Panel ahead of schedule for full implementation met in Q4 FY 2020.

PM 3.1.3.6: The 4th Quarters training and exercises included testing six (6) DoD occupied facilities (delegated/non-delegated) AT Plans along with supporting jurisdictional first responders in our September 23, 2020 and September 29, 2020 exercises. The suspicious death (coronavirus), traffic accident with chemical spill, and active shooting (domestic) exercises tested each organization's AT Plan, Occupant Emergency Plan, and the Designated Official's ability to make internal/external notifications, manage risk and articulate risk decisions. The exercise tested supporting jurisdictional first responder's ability to evaluate plans, validate equipment and coordinate consequence management efforts.

PM 3.1.3.7: Before the COVID pandemic, the number inspections projected for the year were set to be met or slightly exceeded. After responses to COVID were implemented the program ended below the projection by roughly 800 inspection (37% below).

IDENTIFY KNOWN RISKS:

PM 3.1.3.1: PFPA meets regularly with its stakeholders to identify schedule risks and identify appropriate mitigation actions. PFPA continues to actively participate in the C-sUAS community of interest to leverage lessons learned and realize cost efficiencies. Travel restrictions, stay-at-home orders, quarantine

requirements etc. caused by the COVID-19 pandemic are contributing to schedule delays as SMEs required to conduct operationalization activities are located out of state.

PM 3.1.3.2: JSP informed FPTD that they are expecting to receive ATO approval for the PSIM2 RMF process in early 2021. FPTD is working to expedite the process by requesting IATT prior to the ATO process.

Identified that the CNL application is unable to meet a requirement where the application must measure the time it takes to open a CCTV camera video feed as a performance metrics. It was discovered that the camera manufacturer's (Bosch) integration interface (Application Programming Interface (API)) did not provide the information required to measure the time when the camera feed is displayed on CNL application's viewing window. The contractor has engaged CNL and Bosch to develop and incorporate the capability in the CNL-Bosch integration.

Although the integration between CNL and AMAG v9/M4000 panel currently exists, the contractor was only able to test CNL to AMAG v9 server communication and was unable to test the M4000 panel integration due to an ongoing issue with the panel. AMAG has been working to provide a firmware updates to the panel but they have not yet provided a fully functional update.

PM 3.1.3.3:
- Further delay of Pre-Final DoD-GC review of Administrative Instruction could cause re-staffing and that would erase thousands of hours of work across the DoD Components and OSD Staff to re-adjudicate the publication of AI 00AM, "OSD Insider Threat Program (ITP)"
- Missed engagement opportunities to institutionalize InT throughout OSD could create gaps in service.

PM 3.1.3.3: The Antiterrorism AT exercises present a certain amount of risk in terms of misinterpretation by the public or other law enforcement when pre-exercise information is not widely disseminated alerting the public of the exercise. Exercise personnel carry blue weapons and marked simulated/mock explosive devices, which if misidentified as real, could sparks panic. The key is effective pre-coordinated communications.

MITIGATION EFFORTS:

PM 3.1.3.1: PFPA collaborates with its stakeholders to identify appropriate mitigation actions. PFPA and CMO leadership are notified of schedule slips. PFPA requested its system integrator and interagency partners grant their personnel travel waivers to allow them to travel to the Pentagon to support operationalization activities.

PM 3.1.3.2: Continuous engagement with FPTD to ensure that the RMF process is progressing without any additional delays. Deploy the 40 workstations without the PSIM2 client in preparation for the PSIM2 backend system deployment in production. Begin training PNT POC trainers, MC SOC trainers, and administrators in the lab environment.

Continuous engagement with the contractor to ensure that the Bosch provides an updated API and that CNL updates their Bosch driver using the updated API.

Continue to work with EPSD/ACIDS team to ensure that AMAG delivers updated firmware for the M4000 panel. Upon firmware update, test and verify CNL-AMAG v9 and M4000 integration.

PM 3.1.3.3:

- Continuous engagement with OSD, PFPA, and WHS senior leadership for DoD GC to complete the OSD InT pending policy review, so it can be published to enhance the program and reduce litigation risk because of gap in operational policy.

- Identify policy gaps and collaborate with partners where InT equity exists

- Onboard remaining authorized billets

PM 3.1.3.6: Due to schedules, weather, holidays and potential for increased personnel sickness due to flu/COVID 19 the ATFP team conducted training and exercises via VTC to broaden participation and minimize the risk of sickness. ATFP also coordinated with internal/external first responders, the Facility Security Committee, WHS Building Manager, and Pentagon Operations Center to mitigate the risk involved with exercises and major incidents affecting DoD occupied facilities tenants and their supporting jurisdictions real-world operations.

NEXT STEPS:

PM 3.1.3.1: PFPA plans to tune equipment, test and configure the C-sUAS system, and conduct system familiarization and CONOPS training for system operators; procure the C-sUAS cameras; and utilize some other cameras procured through the program to potentially meet the Initial Operational Capability (IOC) requirements. PFPA is conducting pre-installation activities for FOC sensor systems to include conduct site analysis to identify sensor sighting and collaboration with ASMO on authorization for spectrum use. Per 130i stipulations, PFPA will continue to collaborate with OUSD(P) and the FAA on software and hardware system modifications to optimize system performance. PFPA will continue to update system CONOPS and operator checklists to reflect new DoD sUAS and C-sUAS guidance.

PM 3.1.3.2: Contractor to address all comments and feedback received from the PITCO and from the end users. Begin replacing PSIM1 workstations (hardware only) at the Pentagon, Mark Center, JCS Military Security Force, and RRMC. Continue to work with Pentagon and Mark Center Security Operations Center operators to test and acquire feedback. Begin training the trainers in the lab environment. Receive IATT approval from JSP and begin PSIM2 deployment.

PM 3.1.3.3:

- Capitalize on virtual environment engagement options for staff and partners, and include in-person engagement options when safe and applicable
- Complete hiring actions for two GS 14 and remaining GS 12/13 billets

PM 3.1.3.4: The impact of the Corona Virus on FLETC training has caused delays in recruit training and throughput. PFPA added an additional 6 new recruits in Q3. Efforts in Q4 focused recruiting to fill FLETC classes in FY 2021 and to meet established PFPA goals.

PM 3.1.3.5: PFPA coordinated with OPM HRS to develop assessment questions using a Subject Matter. Expert panel provided input for the Corporal Promotion panel that occurred Q4 FY 2020.

PM 3.1.3.6: PFPA Antiterrorism Officers (ATOs) will continue to coordinate with Facility ATOs/Designated Officials to schedule/complete quarterly exercise. PFPA will continue use of the Virtual Table Top Exercise (VTTX) format allowing greater participation of DoD tenants, buildings, and their supporting jurisdictional emergency first responders. PFPA will continue to welcome and encourage non-delegated facilities and other Government organizations participation in our VTTXs. PFPA ATOs improvement efforts will focus on improving DoD tenants and first responders knowledge of AT Plans; internal/external coordination and notification of FPCON actions, tenants drafting Quick Reaction Checklist for used by the FSC, and integrating first responders into planning activities prior to an undesirable event.

PERFORMANCE INFORMATION GAPS: N/A

CHANGED PERFORMANCE GOALS / MEASURES: N/A

FY 2020 PERFORMANCE GOAL OVERVIEW - _WHS (PM 3.1.3.8 – 3.1.3.21)_

Oversee Defense Agency and Field Activity regarding management of Business Mission Area objectives, requirements, priorities and Information Technology investments. Review business processes, establishing firm shared services strategy, increase effectiveness, efficiency, and reliability.

FY 2020 PERFORMANCE PROGRESS UPDATE:

To measure performance and the customer experience, the CMO implemented over 60 digital Balanced Scorecards in FY 2020 specifically tailored to each customer. These scorecards are updated monthly and measure customer-focused performance goals and customer feedback for shared services delivered by Washington Headquarters Services (WHS), the designated service provider. Providing this common operating picture allows the DoD Customer Experience Office to transparently communicate with each customer and improve services in a way that best compliments their unique and critical missions. The percentage of customer-focused goals and metrics achieved in the holistic FY 2020 Balanced Scorecard for quarters one through four was 80%, meeting the desired performance level. Mitigation services in support of the COVID-19 pandemic took precedence over routine services, impacting the number of goals and metrics achieved in quarters three and four. This resultantly lowered the FY 2020 overall performance level.

The percentage of customer satisfaction ratings of satisfactory or above for WHS functions and services did not meet the target in FY 2020. WHS is conducting in-depth interviews with customer groups to identify specific pain points and will work with service providers to improve overall customer satisfaction.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 3.1.3.8: The annual *Best Places to Work in the Federal Government*® rankings, produced by the nonprofit, nonpartisan Partnership for Public Service and Boston Consulting Group, measure employee engagement government-wide as well as at individual departments, agencies and subcomponents. The rankings provide a measure of the health of our organization. In addition, research shows that increased employee engagement leads to better performance and outcomes which is directly related to delivering performance-driven shared services. Creating a good customer experience (CX) for our customers starts with the employees.

PM 3.1.3.9: Data for this metric are gathered from the Empowered Category of the FEVS Inclusion Index, specifically the index includes the following FEVS questions:

- Q2. I have enough information to do my job well.

- Q3. I feel encouraged to come up with new and better ways of doing things.

- Q11. My talents are used well in the workplace.

- Q30. Employees have a feeling of personal empowerment with respect to work processes.

PM 3.1.3.10: The Employee Engagement Index (EEI) on the FEVS is a measure of an agency's work environment — the conditions that lead to engagement. The index is made up of three sub factors: Leaders Lead, Supervisors, and Intrinsic Work Experience. Employee engagement is inextricably tied to the level of performance of an organization; the higher the engagement, the better the performance. Employee engagement drives customer satisfaction. Engaged employees can be described as being fully immersed in and enthusiastic about their work. Engaged employees usually have an emotional attachment to their work and will go above and beyond what is expected of them on the job.

PM 3.1.3.11: Develop a WHS Shared Services Catalogue to organize and maintain service inventory and service-level standards. The 2020 Catalogue reflects WHS' commitment to continuously improve its service delivery – to shorten response times, improve quality, and lower costs to satisfy the requirements of our valued customers.

PM 3.1.3.12: Through the use of Balanced Scorecards (BSC) for each Principal Staff Assistant (PSA) and non-PSA customer serviced by WHS, progress is measured by increased, decreased, or steady state levels of the services WHS provides to each customer, and will be used in determining whether specific or systemic issues are the cause of variances. The overall objective was to reach an 80% initial level of performance in Q3 FY 2020, with 5% increases each year through FY 2022. Initiatives that support accomplishing the service performance goals are the WHS Customer Experience Office's quarterly

customer reviews of customer-specific BSCs, the WHS Performance Improvement Council review of metrics at risk and their corrective actions, and service provider training, process, and automation initiatives.

PM 3.1.3.13: The WHS Customer Experience (CX) Office will improve customer satisfaction ratings for WHS-provided services and activities by reducing communication and coordination issues between WHS customers and WHS service providers, while also providing customers an opportunity for feedback on a quarterly basis. The CX Office will sustain a more integrated customer advocate relationship. The overall objective is to reach an 80% initial level of satisfaction for FY 2021, with an 85% level of satisfaction in FY 2022.

PM 3.1.3.14: Achieve a 98% payment on time and without error rate. Percentage of all payments processed on time and without error in an effort to avoid interest payments and incurred costs to correct and pay again.

PM 3.1.3.15: Achieve a 99.4% payroll certification rate by the end of Q4 FY 2020. WHS's Performance Measure to achieve a 99.4% time and attendance (payroll) certification rate before the respective payroll cut-off date for Q4 FY 2020 is critical to ensuring that payroll is up to date and civilian employees are paid for their hours worked. Successfully achieving this target facilitates a positive customer experience and a positive employee experience.

PM 3.1.3.16: The Time to Hire (TTH) performance measure is a crucial component of the hiring process and enables us to manage and improve the hiring process by revealing exactly how efficient our Human Resources (HR) team is in filling positions, as needed. The benefits of the TTH performance measure include greater oversight into every phase of the hiring process, increased productivity in accomplishing program mission; reduction in re-work; reduction in hiring time; and enhanced quality of candidates with the usage of subject matter experts and in the development and utilization of better job analysis criteria and assessment questions.

PM 3.1.3.17: This metric is measuring time-to-hire (TTH) for the appointment of Senior Executive Service (SES) members in the Fourth Estate from the date the position description is classified/certified to the effective date of the appointment. It includes competitive as well as non-competitive appointments.

PM 3.1.3.18: The established performance measure enables effective monitoring and gauging the efficiencies of established processes/procedures and internal controls used to carry out timely processing of personnel actions as specified by OPM Guide for Processing Personnel Actions (GPPA). The goal of this performance measure is to ensure that all received requests for personnel actions are processed before the respective cutoff date. The data aggregated for this measure enables the following:

- Monitor process effectively and identify trends to maintain or mitigate
- Make decisions based on solid evidence
- Monitor process changes to ensure improvements are sustained over time

- Recognize improved performance

Additionally, key internal controls are establish through the usage of subject matter experts who provide oversight over the process and training to minimize reduction in re-work which increases productivity in accomplishing program mission.

PM 3.1.3.19: WHS's Federal Facilities Division (FFD) and Leased Facilities Division (LFD) performs service calls and building system repairs; in addition, FFD and LFD plans, directs, coordinates, and administers programs for the centralized management and operations of the Pentagon and Mark Center. Services include operations, maintenance, and customer support. Performance is measured by timeliness which encompasses the percentage of repair/maintenance requests resolved or escalated within suspense, and volume which consists of repair and maintenance requests received. Suspense is defined as percentage of repair/maintenance requests resolved or escalated within suspense.

PM 3.1.3.20: This Performance Measure is derived by calculating the percentage of all contracts awarded within suspense using Work in Progress SharePoint data and Procurement Desktop Defense (PD2) Contract Writing System data. First, the difference between the Estimated Award Date (Customer Need by Date) versus Actual Award Date for all contract actions will be calculated. Then, the total number of contract actions meeting the suspense will be divided by the total number of contract actions completed, to calculate the percentage of all contract actions awarded within suspense.

PM 3.1.3.21: WHS executes federally mandated regulatory programs and executive services to include Freedom of Information Act, Security Review, and DoD Issuances on behalf of the Secretary within the DoD and externally to agencies and the general public. WHS provides comprehensive enterprise-wide information and administrative management regarding information access, use, storage, retention, and transparency.

Key initiatives include:

Develop mature statistics, reports, and a knowledge management website in support of the goal to reduce the backlog of initial FOIA requests.

Modernization of the Security Review Tracker to improve prepublication security requests containing official DoD information to determine compliance with existing law, DoD policy, and Congressional and Presidential direction, and to recommend to the submitting components any appropriate actions as necessary to permit public release of that information.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 3.1.3.8 - PM 3.1.3.10: Office of Personnel Management (OPM) has not release the data for FY 2020. Date of data release is TBD.

PM 3.1.3.11: WHS Shared Services Catalogue 100% complete. Catalogue submitted to WHS leadership for approval & implementation. Implementation goal of catalogue deferred pending Defense Wide Review recommendations implementation.

PM 3.1.3.12: The desired performance level was met for quarter four of FY 2020. A WHS Performance Improvement Council with the WHS Director was held on September 3, 2020 to review metric performance during the novel corona virus pandemic. Emphasis was placed on keeping customer experience first in mind, as well as remaining agile and focused during the current fluid environment.

PM 3.1.3.13: The desired performance level was not met for the annually reported rating period of FY 2020 (quarter four). WHS CX will continue to capture and monitor this metric quarterly and meet with WHS customers and WHS Service Providers regarding key pain points and improvement areas identified by customers. Any key pain points the CX Office identifies as trends across the customer base and deemed as most impactful to overall customer experience are being prioritized and targeted for improvement. CX's goal is to make a measureable increase to the overall Customer Satisfaction score by the next annual reporting period.

PM 3.1.3.14: WHS Financial Management Directorate (FMD) achieved the desired performance level/target, ensuring payments were processed in an accurate and timely fashion.

PM 3.1.3.15: For the quarter, WHS's FMD met the performance measure, ensuring civilian personnel payroll was processed in an accurate and timely fashion.

PM 3.1.3.16: In June, TTH average was 68 days, dropping below the 70-day mark for only the fourth time in the past two years. For actions where the customer followed suggested best practices (the 70-day model), the TTH dropped to 59 days and when a Direct-Hire Authority (DHA) was used the average TTH was 51 days. Several factors contributed to the TTH in June. First, the relatively few Delegated Examining Unit (DEU) actions dropped 20 days, on average. Second, DHA and non-compete hires dominated in number roughly 2:1 versus traditional, full process actions. Our policy initiative is to ask/force customers to consider a DHA when available. The numbers are too compelling not to.

In August 2020, new leadership in the Personnel Services Division (PSD) communicated clear expectations and business rules to staff and instituted a program of regular feedback. Included was a critical analysis of delivery standards for each step of the TTH process under the control of PSD and reduction of time to complete standards for some steps. After a TTH spike in July (89 days), TTH reduced in August (71 days) and September (65 days), maintaining the quarterly average TTH at 79 days. Contributing the TTH in August and September are early results of the Rapid Action Pilot, using a team approach and prescriptive analytics, lead to great TTH reduction (39 days). It is too early to assess the sustainability of the RAC processes. HRD instituted an after action review of the previous month's TTH results and actions and/or situation that contributed to the results.

PM 3.1.3.18: At this time, current established processes and procedures appear to be effective in enabling the team to meet and exceed performance targets. We will continue to maintain current practices and identify and implement opportunities for improvements.

PM 3.1.3.19: FFD achieved 84% success for service calls during the fourth quarter; missing the target by 6%, but still achieving the performance standard tolerance. There were a total of 3,650 requests received

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and 3,066 responded to and resolved or escalated within the established timeframe. There were service call documentation issues identified within the Urgent Service Call response process. COVID-19 cleaning requests were coded as urgent, but must be coordinated with the tenants for execution; moreover, they are tenant driven and not time driven therefore skewing the metric response and resolution results. LFD Emergency Service Call metrics remain at 100% (45 responses/45 resolutions) and LFD Routine Service Calls metrics were tracked at 96.5% (140/145 responses) and 99.3% (144/145 resolutions).

PM 3.1.3.20: Historically, the total number of contract actions steadily increase through the fiscal year with the most actions occurring in the August and September time frame. The quantity of contract actions per servicing individual increases the possibility of not meeting the required suspense. In addition, not receiving a complete requirements package or the funding document from the customer in a timely manner can directly impact and even prevent WHS's Acquisition Directorate (AD) from meeting the suspense date.

PM 3.1.3.21: This is a new metric continually assessed for accurateness. The Freedom of Information Act, Security Review, and DoD Issuances programs:

- Prioritize actions for review.

- Track the processing of actions.

- Monitor suspense dates, and report compliance to leadership.

- Prepare monthly reports and bi-yearly memorandums to components.

- Communicate regularly with the component appointed action officers.

- Prepare formal and ad hoc reports for senior leaders on progress.

- Continuously analyze the process and recommend efficiencies to leadership.

- Publish policies and processes on WHS Executive Services Directorate web pages for transparency.

IDENTIFY KNOWN RISKS:

PM 3.1.3.8 - PM 3.1.3.10: OPM has not released the data for FY 2020. Date of data release is TBD.

PM 3.1.3.12: Through the WHS Performance Improvement Council, metrics at risk are identified and assessed, culminating in corrective actions that are presented to the WHS Director and Council for discussion and direction. The WHS Dashboard and Balanced Scorecards are both updated monthly, providing monthly overall performance of each service and quarterly service performance by customer. Service performance is also addressed in the WHS submission to the President's Budget, Section 4 of OP-5, Performance Criteria and Evaluation Summary, to quantify spending and prioritize resources towards higher risk services.

PM 3.1.3.13: Data collection Method – Data collection is currently conducted via e-mail of a survey link to WHS's current customer Point-of-Contact (POC) e-mail lists. These lists rely on WHS Customer POCs forwarding the survey e-mail link to other WHS customers who may not be listed as the WHS POCs, but who receive WHS services. One POC could represent over 100 diverse WHS customers and reaching them directly could provide more accurate metrics. As such, WHS is in the process of establishing a portal that streamlines and makes service delivery more transparent and enables data collection (feedback) from all customers (not just POCs) and does not rely on an e-mail forwarding chain to reach the wider WHS customer base. This may not be in effect until FY 2022.

PM 3.1.3.14: None for this reporting period. The COVID-19 pandemic had minimal adverse impact on the percentage of all payments processed on time and without error.

PM 3.1.3.15: None for this reporting period. The COVID-19 pandemic had minimal adverse impact on the certification of time and attendance (payroll) before the respective payroll cut-off date.

PM 3.1.3.16: The COVID-19 pandemic resulted in a change in work environment along with IT infrastructure that may continue to pose a challenge on how work is performed. Some of our virtual practices are only available as a policy exception. If following the pandemic, the need to continue with virtual processes continues then OPM and DHS need to make their current policies permanent. Customer preference for hiring approaches lead to longer TTH.

PM 3.1.3.18: DCHRMS (Defense Civilian Human Resources Management System) is due to deploy in FY 2021. Current review of processing practices indicate increased workload of processing efforts as well as overall functionality change in handling of request for personnel actions and related transactional activities.

PM 3.1.3.19: FFD's greatest known risks are associated with Urgent and Routine Service Calls due to individuals not being properly trained to appropriately identify, document, and close out service calls in the Maximo database.

PM 3.1.3.20: Prioritize and spread-out workload so one (1) servicing individual or team is not overworked during the period. The COVID-19 pandemic had minimal adverse impact on contracts awarded within suspense.

PM 3.1.3.21: None for this reporting period. The COVID-19 pandemic had minimal adverse impact on the delivery of issuance reviews, WHS-specific Freedom of Information Act (FOIA) requests, and security classification case reviews.

MITIGATION EFFORTS:

PM 3.1.3.8 - PM 3.1.3.10: OPM has not released the data for FY 2020. Date of data release is TBD.

PM 3.1.3.12: Although the desired performance level was met for quarter four of FY 2020, the following customer-focused goals and metrics that encompass the PM 3.1.3.12 Balanced Scorecard performance measure were identified as areas for improvement this quarter:

- 31% of minor security projects were completed within 15% of the project duration agreed to with the customer, missing the target of 90%. WHS's Space Portfolio Management Division (SPMD) is working with the Pentagon Force Protection Agency and the WHS Acquisition Directorate to streamline the process and reduce the time to award and complete all projects. The focus remains on accelerating the process from time of acceptance, being funded, being awarded to a contractor, and the actual project start/completion date. SPMD's goal is to have a 90% completion rate by six months after implementation of the work control system which records and tracks scheduled performance periods versus elapsed time. Impacts to the performance of this metric have occurred due to the COVID-19 situation. Health Protection Conditions (HPCON) and COVID-19 operational restrictions have halted construction and alterations projects for over 115 days. Recovery from the work stoppage has been slowed by increased lead time to accommodate tenant availability and rescheduling due to access and labor issues. These factors impacted performance times on work completion during Quarters 2-4 FY 2020.

- 84% of WHS's Federal Facilities Division facility repair and maintenance requests were resolved or escalated within suspense, missing the target of 90%. There were a total of 3,650 requests received and 3,066 responded to and resolved or escalated within the established timeframe. There were service call documentation issues identified within the Urgent Service Call response process. COVID-19 cleaning requests were coded as urgent, but must be coordinated with the tenants for execution; moreover, they are tenant driven and not time driven therefore skewing the metric response and resolution results. Meetings are being held with the Building Operations Center (BOCC) and Shop supervisors to resolve issues; as a result, SOPs are being updated to ensure processes and procedures are followed in a timely manner. COVID-19 service calls are being parsed from the Urgent and Routine service call population.

- 88% of Security Review cases were completed within the customer agreed upon suspense, marginally missing the target of 90%. This is mostly resultant the relatively large number of private sector author requests (i.e., book manuscripts as one example). The majority of reviews require coordination outside of WHS, with organizations that have limited resources to do reviews and have heavy deployment schedules. When they have specific information equities in our cases we are obligated to have them weigh in on the reviews. WHS cannot dictate to external organizations how to use their resources and we do place emphasis in having excellent relations with them, knowing they do their best to support us.

- 99.2% of payroll was certified before the due date in the quarter, marginally missing the WHS internal target of 99.9%. The established goal is intentionally high, as this is an immensely important and worthy metric to strive for and achieve. Timely processing of time and attendance touches all employees and directly impacts whether each will receive their paycheck in a timely manner as is required. Consequently, the WHS Financial Management Directorate Civilian Pay Team will continue its conscientious efforts towards working with all organization Customer

Service Representatives and Supervisors to ensure time-sheets are appropriately filled out, submitted by employees, approved by Supervisors, and processed expeditiously to implement established guidelines. The Civilian Pay Team will continue to provide multiple reminders and follow-ups to all individuals, supervisors, timecard approvers, and organizations who are non-compliant with established deadlines to facilitate timecard certification. Special attention to those that are habitually missing deadlines has begun, and will continue until such time as their timecards are included in the certified group in a timely manner. These actions will include follow-ups and reminders by phone and email with individuals, supervisors, timekeepers, and organizational leads to ensure timeliness, accuracy, and certification happens to meet payroll deadlines and metrics.

- 55.3% of total eligible acquisition dollars were competed, marginally missing the quarter four target of 57%. Awards to Federally Funded Research and Development Centers contributed to marginally missing the target. The WHS Acquisition Directorate strives to compete requirements based on the acquisition strategy developed with the Office of Small Business Programs and the customers to fulfill the customers' need. For FY20, 59.5% of total eligible acquisition dollars were competed.

PM 3.1.3.13: Per the FY 2020 risks identified in FY 2019, a way to consistently capture customer feedback needs to be developed. The WHS CX Office has developed the CX survey to capture metrics contributing to the performance ratings in key areas. The survey was launched in Q3 of FY 2020. WHS is conducting in-depth interviews with customer groups to get specific pain points to target with WHS service providers for improvement. The WHS CX Office will work with WHS service providers to quarterly measure those key areas to improve overall customer satisfaction scores. The WHS CX Office will also leverage the quarterly Balanced Scorecard to analyze trends and commonalities for each customer.

PM 3.1.3.14 - PM 3.1.3.15: Not Applicable; Levels of Performance achieved per established goals.

PM 3.1.3.16: WHS Human Resources Directorate (HRD) implemented an Action Plan focused on customer behavior and process. From the customer perspective, HRD is using data to inform customer choices on hiring approaches, strongly encouraging the use of DHAs where appropriate. We are also looking at the processes used within HRD during all phases of hiring, to identify and address avoidable delays in processing. HRD is taking an in-depth look at the hiring process in preparation to transition to a Shared Service Delivery business model. A pilot will run from Jan-Mar 2021 to assess a new approach to hiring.

PM 3.1.3.17: Senior Executive Management Office will continue to be actively involved in actions that are not meeting hiring milestones.

PM 3.1.3.18: Mitigation efforts for known impending risk include extensive training of workforce and HR practitioners, workflow and process improvement reviews, and new technology implementation.

PM 3.1.3.19: FFD's performance levels were achieved to the prescribed tolerance, but is still striving for improvements. Meetings are being held with the Building Operations Center (BOCC) and Shop

supervisors to resolve issues; as a result, SOPs are being updated to ensure processes and procedures are followed in a timely manner. COVID-19 service calls are being parsed from the Urgent and Routine service call population.

PM 3.1.3.20 - PM 3.1.3.21: Not Applicable; Levels of Performance achieved per established goals.

NEXT STEPS:

PM 3.1.3.8 - PM 3.1.3.10: OPM has not released the data for FY 2020. Date of data release is TBD.

PM 3.1.3.11: Implementation goal deferred; Pending Defense Wide Review recommendations implementation.

PM 3.1.3.12: WHS will continue to post its customer-focused goals and performance metrics each month on the web-based customer-specific Balanced Scorecards. The WHS Customer Experience Office will discuss quarterly performance of delivered services for each primary customer to address areas needing improvement and to resolve customer concerns. The WHS Performance Improvement Council dashboard will also be updated monthly and corrective actions for metrics at risk will be presented and discussed during each council meeting.

PM 3.1.3.13: The CX Office is conducting quarterly customer surveys and leveraging customer feedback to support improvements to this annually reported measure.

PM 3.1.3.14 - PM 3.1.3.15: Continue processing payments at target level.

PM 3.1.3.16: The TTH Action Plan was implemented by August 15, 2020. As such, we anticipate that we will see the impact of changes by Q1 FY 2021. HRD is in the midst of an end-to-end hiring pilot called the Rapid Action Cell that will inform systemic process changes that will apply to all hiring.

PM 3.1.3.17: Continue with mitigation efforts and make adjustments as necessary.

PM 3.1.3.18: Maintain current practices, identify and implement opportunities for improvements.

PM 3.1.3.19: FFD plans to continue providing training in Maximo to properly document and close out Urgent and Routine Service calls. FFD will continue to hold monthly Data Owner's meetings between the BOCC and the Shop Supervisors to ensure all service call issues are resolved within the month identified.

PM 3.1.3.20: Continue to promote knowledge and visibility through electronic distribution of the information as well as online training to ensure all personnel understand the importance of the data being captured, how important the Estimated Award Date (Customer Need by Date) is within SharePoint, and how the data is being used.

PM 3.1.3.21: Metric continually assessed as it is an aggregate of three separate programs.

PERFORMANCE INFORMATION GAPS:

PM 3.1.3.11: Continuous communications between WHS' customers, WHS service providers, and WHS Customer Experience Office (CXO) representatives are key to eliminating information gaps. Through proactive management, the WHS CXO worked with our valued customers to: identify process

improvement opportunities for implementation; ensure the customer feedback loop is active and effective; identify and mandate issue resolution; and, to ensure data capture and timely customer responsiveness.

PM 3.1.3.16: The processing of hiring actions requires the use of both the Defense Civilian Personnel Data System (DCPDS) and the interconnection with the USA Staffing (USAS) tool. DCPDS is the primary data source for extraction of consolidated USAS/DCPDS task stamps. Over the past 18 months the interface is broken. The implementation of the Defense Civilian Human Resources Management System (DCHRMS) will restore the interface. Our work-around to gather data is labor intensive and doesn't afford the opportunity to provide near real time reporting as we have in the past. Our reporting and therefore our analysis of the data is now accomplished monthly. The Office of Personnel Management (OPM), Defense Manpower Data Center (DMDC), and Defense Civilian Personnel Advisory Service (DCPAS) have been advised of the data limitations for mitigation.

CHANGED PERFORMANCE GOALS / MEASURES:

PM 3.1.3.11: The 2020 WHS Shared Services Catalogue implementation goal for Q3 was deferred pending the implementation of Defense Wide Review recommendations. A new implementation goal will be established in conjunction with the Defense Wide Review implementation schedule. The 2020 WHS Shared Services Catalogue is a living document and will be updated at regular intervals to reflect needed improvements for services and delivery standards and to further expand or decrease the service listing.

PM 3.1.3.13: FY 2021 changed from 85% to 80% and FY 2022 changed from 90% to 85% to align with current data and initiatives.

PM 3.1.3.14: Performance goals and measures remain unchanged, however, calculation method was updated to improve accuracy. Previously, WHS's FMD used a Defense Agencies Initiative (DAI) report that counted total days within the Accounts Payable (AP) process. Per the Defense Logistics Agency DAI Program Management Office, there was no way to configure a report that captured only FMD's part of that process, which meant FMD was reporting all delays regardless of "fault." As an example, if a contractor submits an invoice with error and the Contracting Officer's Representative (COR) rejects it, and then the contractor resubmits the same bill with the error fixed and then the COR approves it, allowing the invoice to move to payment, the AP count started at the original date of submission despite error by the contractor. This count erroneously attributed tardy payments to WHS's FMD.

The new methodology counts invoices paid late, due to the government's fault which resultantly requires interest payments, and is compared to all monthly payments. This measures tardiness and its financial impact. This still attributes some tardiness to WHS's FMD that is not directly caused by FMD, but is the closest measure of timeliness and its impact that WHS's FMD can affect.

FY 2020 Summary of Results

PG 3.1.4: Decrease overlap and duplication to increase mission-focused funding.		PG Leader: OCMO, Defense Wide Program Office					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.1.4.1: Complete Budget Report, Certifications, Improvement Plans & Legislative Requirements	Target		Jan 1, 2020					
	Actual		X					
PM 3.1.4.2: Complete Business Operations Review and Recommendation Report to Congress	Target		Mar 31, 2020					
	Actual		X					
PM 3.1.4.3: Conduct periodic performance reviews for efficiency & effectiveness of enterprise business operations	Target				X			
	Actual				X			
PM 3.1.4.4: Publish CMO's budget guidance to DAFAs (coordinated with DoD internal planning timelines and guidance	Target		X					
	Actual		X					
PM 3.1.4.5: Conduct DAFA budget reviews (beginning FY 2020)	Target				X			
	Actual				X			
PM 3.1.4.6: Review and propose recommendations to address duplication in civilian HR service delivery; execute approved plan	Target				X			
	Actual				X			

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020

Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

Fulfill responsibility to oversee Defense Agency and DoD Field Activity spending, budgets, effectiveness and efficiencies, and determine duplication, overlap, and termination recommendations, on a recurring basis. Optimize the business operational stewardship of integral service and supply organizations and functions.

FY 2020 PERFORMANCE PROGRESS UPDATE:

Defense-Wide Program Office (DWPO) hit its milestone for the development on guidance and conducting periodic performance reviews of select Defense Agencies and DoD Field Activities. DWPO met or exceeded the overall FY 2020 performance goal that could be accomplished within the FY. This activity is new to DoD and as such, is culture changing and will take several years to be inculcated.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

The Defense-Wide Program Office is in a period of transition. Telework, due to the COVID-19 environment, was implemented part way through the program and budget formulation process, causing the process to adjust. Adjustments will continue through the fiscal year as the Defense-Wide community becomes more familiar with DWPO and interactions become more routine.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 3.1.4.2 - The CMO, on behalf of the Secretary of Defense, successfully completed the statutory requirements defined in 10 USC 132a, which were codified via the FY 2019 National Defense Authorization Act.

IDENTIFY KNOWN RISKS:

The immediate risk of COVID-19 forced the majority of personnel to telework. Prior to COVID-19, the Department conducted the majority of its program and budget formulation process in the SECRET environment, but successfully adapted to the unclassified environment by conducting teleconferences. DWPO adopted to the COVID-19 environment and will continue to adjust as required by leadership and conditions.

Congress is currently deliberating the FY 2021 National Defense Authorization Act, which will determine the future of the CMO.

MITIGATION EFFORTS:

Using teleconference, the program and budget formulation process occurred almost seamlessly in an unclassified environment.

NEXT STEPS: Continue to adjust with the COVID-19 environment and close the fiscal year.

PERFORMANCE INFORMATION GAPS: N/A

CHANGED PERFORMANCE GOALS / MEASURES: N/A

FY 2020 Summary of Results

PG 3.1.5: Preserve a service benefit through reduced appropriated fund cost and liabilities of retail operations with logistics, supply and workforce optimization.		PG Leaders: CMO, Community Services Reform Task Force Director					
Performance Measures		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**

Performance Measures		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.1.5.1: Reduce cost to operate by leveraging DoD-wide enterprise purchasing	Target					****$17M - NAF $12M - APF**	****$50M - NAF $36M - APF**	NEW
	Actual	Planning						
PM 3.1.5.2: Minimize impact to customer; baseline, set targets and monitor customer satisfaction rates	Target					Set Baseline from Existing Customer	No Customer Satisfaction Decline	NEW
	Actual	Planning						
PM 3.1.5.3: Complete transformation plan IAW CMO 1 Mar, 2019 Memo	Target	1	2	2	3			NEW
	Actual	1	2	2	1			
PM 3.1.5.4: Consolidate indirect acquisition and purchasing operation support for array of resale items	Target					****$13M - NAF $0 - APF**	****$39M - NAF $8M - APF**	NEW
	Actual	Planning						
PM 3.1.5.5: Optimize total resale workforce w/ industry benchmarks	Target					****$0 - NAF $0 - APF**	****$15M - NAF $0 - APF**	NEW
	Actual	Planning						

**TABLE NOTE: Does not account for one-time cost for consolidation effort. One-time cost across PM 3.1.5.1; PM 3.1.5.4 and PM 3.1.5.5 is estimated at $73M for FY 2021 and $147M for F 20Y22.

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

This performance goal heavily depends on collaborative and cooperative efforts between OCMO, OUSD(P&R), the MilDeps and defense resale entities. OCMO CSRT was directed to continue planning for the consolidation of the defense resale entities until a final decision is made by the Secretary of

Defense. As such, the CSRT has been developing a series of playbooks that could be used by senior leadership for consideration when evaluating the efficacy of consolidation various functions within defense resale (e.g. financial management).

FY 2020 PERFORMANCE PROGRESS UPDATE:

The Defense Executive Resale Board governance charter has been with OUSD(P&R) since July – still waiting for signature. In coordination with OUSD(P&R), the CSRT completed 1 playbook: Financial Management. The CSRT attempted to complete the IT playbook as well but experienced delays in coordinating with OUSD(P&R) who cited challenges with the availability of subject matter experts due to the current pandemic. The BCG contract to support CSRT efforts was extended to Dec 31, 2020 to complete the IT and Supply Chain playbooks.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 3.1.5.1 – PM 3.1.5.5: The CSRT continues to collaborate with OUSD(P&R), the Military Departments and the Defense Resale entities on the development of playbooks per DSD's direction to conduct integrated planning for the consolidation of the defense resale enterprise. The playbooks are expected to be completed NLT 1QTR FY21. Meanwhile, the Defense Resale entities continue to struggle with reducing operating costs and liabilities of retail operations with logistics, supply and workforce optimization, especially during the pandemic. Additionally, they have not been able to minimize/mitigate the impact on customer satisfaction. In fact, since a peak in 2012, total exchange sales have declined 20% to $10B in 2019. Likewise, since 2012 customer satisfaction is down 15% and are below industry averages. DeCA reported a slight increase in FY20 annual sales compared to FY19; however, that is directly attributed to "panic buying" in March at the onset of the pandemic. DeCA Sales steadily declined from April to the end of the fiscal year. Similarly, the Navy Exchange's FY20 financial report reflected a net loss of (20,563 in thousands).

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

The CSRT only completed 1/3 playbooks targeted for the 4th quarter. CSRT efforts were largely hampered by the current and on-going pandemic, as well as other coordination challenges with OUSD(P&R).

PM 3.1.5.1: Before realizing any cost savings or impact on customer satisfaction rates, the Department needs Congressional approval to move forward with the consolidation of Defense resale. Legislative Proposal #367 submitted to Congress.

PM 3.1.5.2: To establish a baseline understanding of customer satisfaction for the Defense resale entities, we should first examine historical trends from the American Customer Satisfaction Index (ACSI). ACSI historical data indicates customer satisfaction rates in both the exchanges and commissaries have decreased ~20 percent over the last 8 years. The FY 2018 overall customer satisfaction score for DeCA was 66 compared to an industry average of 78. Customer Satisfaction rate for Exchanges as compared to industry average. Due to technical changes, the ACSI survey was not conducted in FY 2019 and FY 2020

and the process has been changed to have the ACSI questions included in the Status of Forces (SOF) survey and the raw data responses will be provided to ACSI for analysis and comparison to industry results.

Additionally, COVID-19 has had a significant impact on DeCA, the exchanges, lodging, and potentially to the MWR dividend for FY 2020. It was reported that the exchanges, DeCA, MWR and Lodging received ~$308 million from the CARES Act to primarily pay for personnel costs for two months. A recent report (10/1/20) indicates the MilDeps may receive another $1.4B for the Exchanges and other MWR programs to pay for NAF personnel costs.

PM 3.1.5.3: Complete transformation plan IAW CMO 1 Mar, 2019 Memo. This performance measure focuses on the development of a governance structure and seven (7) "Playbooks" for the Chief, Transformation Officer's consideration for establishing a consolidated Defense Resale Enterprise. Contract support is key in the development of the "Playbooks" and an appropriate contract/contract funding is essential.

PM 3.1.5.4 – PM 3.1.5.5: Before any transformation, consolidation or optimization efforts can occur, the Department needs Congressional approval to move forward with the consolidation of Defense resale. Legislative Proposal #367 was submitted to Congress in FY 2020.

IDENTIFY KNOWN RISKS:

Congressional approval of legislative proposal #367 is at risk. The GAO report (GAO-20-418); concluded that DoD and Congress need more reliable information on expected savings and costs of consolidating the Defense resale organizations. Furthermore, DRAFT FY 2021 language identifies a requirement to complete an "updated BCA" with "new baseline" data. The requirement for an "updated BCA" is out of scope of the current contract, so an additional contract and money will be needed to proceed.

MITIGATION EFFORTS:

The CSRT continues to move forward with integrated planning efforts as directed by DSD and to address issues raised by the GAO in their report (GAO-20-418).

NEXT STEPS:

Collaborate with OUSD(P&R), the MilDeps and defense resale entities to address recommendation 2 of the GAO report 20-418. Obtain approval for the new governance structure for the Defense Executive Resale Board. Develop 2 more playbooks: 1) IT, and 2) Supply Chain. Develop an MOU between OCMO and P&R that moves us from tollgate 1 (Planning and Solution Development) to tollgate 2 (Transition and Implementation).

PERFORMANCE INFORMATION GAPS: N/A

CHANGED PERFORMANCE GOALS / MEASURES: N/A

FY 2020 Summary of Results

PG 3.1.6: Enterprise Management of Community Services Reform		**Priority Goal Leader:** CMO, Community Services Reform Task Force Director					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.1.6.1: All DoD Official Lodging to convert to Non-Appropriated Fund operations NLT 1 Oct 2019 IAW P&R DTM.	Target	95%	95%	95%	100%	100%	100%	NEW
	Actual	93%	93%	93%	100%			
PM 3.1.6.2: Provide adequate lodging rooms/facilities to established DoD Lodging Adequacy Standards.	Target	90%	90%	90%	90%	90%	90%	NEW
	Actual	*79%	*79%	*79%	*79%			
PM 3.1.6.3: Increase occupancy rate/utilization of DoD direct-run lodging for TDY and PCS travel	Target	60%	60%	60%	60%	60%	60%	NEW
	Actual	60%	60%	20%	35%			
PM 3.1.6.4: Monitor and evaluate Facility Condition Index	Target	28%	28%	28%	26%	26%	25%	NEW
	Actual	28%	28%	28%	28%			
PM 3.1.6.4: Customer Satisfaction Rating (annual average, 5.0 scale)	Target	5	5	5	5	5	5	NEW
	Actual	*4.57	*4.57	*4.57%	*4.57%			

The score represents an average of the average based on annual data submission

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020

Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

Improve and strengthen business operations through a move to DoD-enterprise or shared services; reduce administrative and regulatory burden (CMO); and enable lethality by supporting mission requirements, providing a desirable customer experience and minimizing official travel costs. DoD is now in the implementation phase. In this phase, to implement Task Force recommendations, DoD has a goal of promulgating 50 regulations a year, and to reduce its existing regulations by 35 percent, which is 10% above the original DoD goal of a 25% reduction.

FY 2020 PERFORMANCE PROGRESS UPDATE:

DoD Lodging has been severely impacted by COVID-19. COVID-19 has significantly reduced occupancy to an average low of approximately 20% and driven an increase in operating costs to include personal protective equipment and upgraded sanitation procedures to ensure traveler and staff safety.

The DoD Lodging program spends more, on average, than commercial lodging programs for construction and renovation.* Utilizing the Unified Facilities Criteria (UFC), UFCs provide the planning, design, construction, sustainment, restoration, and modernization criteria for Lodging facilities. UFC review completed last quarter for lodging addressing the disparity in construction and renovation costs between DoD Lodging and comparable commercial projects, Military Service non-appropriated fund (NAF) construction managers, Lodging program managers, and OSD(P-R) are assessing applicable UFCs with the intent to submit proposed changes to OUSD(A&S) for relief from identified UFC requirements.

Lodging continues to participate in Data Optimization efforts to develop a single multi-Department enterprise system for effective data management and data-driven decision making capabilities critical to supporting the strategic direction of the organization along a continuum of integrated services provided for military personnel and their families.

The Marine Corps became the last Service to become compliant with Directive-Type Memorandum (DTM) 18-007 "Conversion of DoD Temporary Duty and Permanent Change of Station Lodging to Fully Non-appropriated Fund Operations, Maintenance, and Construction" on 1 Oct 20. All the other Services are in full compliance. OUSD(P&R) has submitted a request to extend the DTM 18-007 for 1-year, pending the completion of the DoDI re-write and publishing.

Draft revised DoD Instruction (DoDI) 1015.11, Lodging Policy completed internal P&R coordination and second round informal review with Secretariats and Lodging Program Managers. The draft DoDI is undergoing another round of edits and review since it will be published in DoD's new format. The revised DoDI combines DoDI 1015.11 and 1015.12 and incorporates DTM 18-007 and other policies to improve the customer experience while promoting efficiencies to save the Department money by way of reducing travel costs. The draft updated consolidated DoDI is complete in the old issuance format and has been informally coordinated with the Services' lodging programs managers and is now being converted to the new issuance format. Once completed the DoDI will go back out for formal coordination.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

OSD(P&R) continues to take appropriate action to implement policy, evaluate facility conditions and review/update standards to improve the customer experience. The "stop movement" policy directed by SD has had a significant impact on operations (e.g. lower occupancy rates). Receipt of the Services' Annual Lodging Report in March 21 will allow OUSD(P&R) to more accurately assess the impact of COVID-19 on DoD Lodging.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

With the advent of COVID-19 and the implementation of the new business model, 100 percent NAF Lodging operations, it is difficult to assess Lodging metrics in the current business environment. For example, Occupancy rates across DoD have remained relatively stagnant for the last 5 fiscal years (self-reported by the Military Services to OUSD(P&R) on an annual basis). COVID-19 has significantly driven occupancy down to ~20 percent. OUSD(P&R) continues to work with the Secretariats and Military Service Lodging program managers to analyze available data and provide policy for DoD Lodging operations to effectively and efficiently operate in the very fluid COVID-19 situation. Revised adequacy standards are drafted and will begin formal coordination in November 2020, alongside the revised DoD Instruction 1015.11, Lodging Policy.

PM 3.1.6.1: All DoD Official Lodging to convert to Non-Appropriated Fund operations NLT 1 Oct 2019 IAW P&R DTM. This performance measure is focused on the amount of DoD direct-run lodging inventory that is in compliance with DTM 18-007.

PM 3.1.6.2: Provide adequate lodging rooms/facilities to meet established DoD Lodging Adequacy Standards. This performance measure evaluates how many rooms within the DoD inventory are in 100% compliance with the Integrated Lodging Pilot Program (ILPP) Adequacy Standards. This performance measure is currently self-reported by the Military Services to OUSD(P&R) on an annual basis.

PM 3.1.6.3: Increase utilization of DoD direct-run lodging for TDY and PCS travel. This performance measure evaluates how many rooms sold compared to the number of rooms available (i.e. occupancy rate). This performance measure is currently self-reported by the Military Services to OUSD(P&R) on an annual basis.

PM 3.1.6.4: Monitor and evaluate Facility Condition Index. This performance measure evaluates how many rooms within the DoD inventory score a Facility Condition Index of less than 80. This performance measure is currently self-reported by the Military Services to OUSD(P&R) on an annual basis.

PM 3.1.6.5: Customer Satisfaction Rating (annual average, 5.0 scale). This performance measure reflects the average of average ratings (across 6 lodging programs) based on self-reported data by the Military Services to OUSD(P&R) on an annual basis.

IDENTIFY KNOWN RISKS:

COVID-19 has had a significant impact on DoD lodging occupancy. With the stop movement order halting PCS/TDY travel, official travel has come to a near standstill with occupancy dropping to ~20 percent.

DoD Lodging received money from the CARES ACT. However, amount received varied by Military Service. Since DoD Lodging Operations are decentralized and each program operated by their Military Service, the total amount of money received from the CARES Act will be known when the Services submit their Annual Lodging Report.

The Department of the Navy reached a decision not to pursue privatization of Navy lodging programs at this time. Air Force continues to assess their options of in-house direct run lodging and the potential for the privatization of Air Force lodging.

Identifying all operational costs for DoD direct-run lodging continues to be a challenge due to a lack of organizational capacity and internal process. For example, the majority of lodging facilities are not metered and therefore it is unclear how much funding is required for utilities.

Using various methodologies, the Services raised lodging rates in an attempt to cover all operational costs. However, the cost of lodging has increased significantly and in-turn may effect DoD traveler expectations and behaviors.

Section 914 of the Carl Levin and Howard P. "Buck" McKeon National Defense Authorization Act for Fiscal Year 2015 provided the DoD with the authority to direct military and civilian employees to occupy quarters on a rental basis while performing official travel. This authority expires on December 31, 2020. The JTR, by policy, allows DoD travelers to choose other lodging options and will reimburse travelers at the DoD Lodging rate when DoD Lodging was available and they decided not to utilize it. This "loop hole", among others, appears to be a core challenge to increasing occupancy rates.

The authoritative source for facility information (e.g. BUILDER) has some inherent risks as the system, by policy, is required to be updated once every five years. While the Lodging Cross Functional Team did their best to identify facility requirements, even that assessment was a rough order of magnitude for a 15-year period.

OSD is replacing the legacy web booking tool, Defense Travel Management (DTS) over the next 5-7 years. Currently, DoD Lodging programs do not have the capability to list rooms in the replacement system, Defense Travel Modernization (DTM).

MITIGATION EFFORTS:

DTMO continues to educate travel professionals about policies contained within the JTR; however, it is incumbent upon authorizing and approving officials to ensure travelers are abiding by policy appropriately.

The Military Services should continue to conduct site surveys and facility assessments to ensure they know and understand the strategic levels of capital investment required for their respective portfolios.

DoD Lodging is assessing courses of action and participation costs for listing their rooms in DTM.

NEXT STEPS:

Continue to monitor and evaluate. Additionally, a standard format for OUSD(P&R), OUSD(A&S), DTMO and the Military Departments submit their performance measures on a quarterly basis is required.

PERFORMANCE INFORMATION GAPS:

Need a single system for collecting and analyzing data. OSD P&R-led Data Optimization efforts may be the solution to being able to make data based decisions using a common/single platform. Their efforts should be introduced to the business analytics team for possible inclusion in Advana.

CHANGED PERFORMANCE GOALS / MEASURES: N/A

FY 2020 Summary of Results

<table>
<tr><td colspan="2">DoD Priority Goal 3.1.7: Reduce Regulatory Burden by Eliminating Unnecessary Federal Rules through Continued Implementation of Executive Order 13771</td><td colspan="7">PG Leader: OCMO, Oversight & Compliance Directorate</td></tr>
<tr><td colspan="2">Performance Measure</td><td>Q1 2020</td><td>Q2 2020</td><td>Q3 2020</td><td>Q4 2020</td><td>FY 2021</td><td>FY 2022</td><td>Prior Year Results</td></tr>
<tr><td rowspan="2">PM 3.1.7.1: Implement 50 or more regulatory actions that address recommendations by the Regulatory Reform Task Force</td><td>Target</td><td>12 regs</td><td>13 regs</td><td>12 regs</td><td>13 regs</td><td rowspan="2">50 regs</td><td rowspan="2">50 regs</td><td rowspan="2">FY19: 76 regs</td></tr>
<tr><td>Actual</td><td>14 regs</td><td>10 regs</td><td>6 regs</td><td>20 regs</td></tr>
<tr><td rowspan="2">PM 3.1.7.2: Offset EO 13771 Regulatory Costs</td><td>Target</td><td>≤ $0</td><td>≤ $0</td><td>≤ $0</td><td>≤ $0</td><td rowspan="2">≤ $0</td><td rowspan="2">≤ $0</td><td rowspan="2">FY19: 6%</td></tr>
<tr><td>Actual</td><td>-$16M</td><td>$0M</td><td>$0M</td><td>-$114.5M</td></tr>
<tr><td rowspan="2">PM 3.1.7.3: Actions completed to reduce unnecessary regulation</td><td>Target</td><td>5</td><td>5</td><td>5</td><td>5</td><td rowspan="2">20</td><td rowspan="2">20</td><td rowspan="2">FY19: 7%</td></tr>
<tr><td>Actual</td><td>10</td><td>4</td><td>5</td><td>16</td></tr>
<tr><td rowspan="2">PM 3.1.7.4: Issue updated regulatory guidance that streamlines process and promotes accountability</td><td>Target</td><td>Draft Guidance</td><td>Coordinate Draft Guidance</td><td>Adjudicate Comments received</td><td>Obtain PSA Approval on draft Guidance</td><td>Maintain Guidance</td><td>Maintain Guidance</td><td></td></tr>
<tr><td>Actual</td><td>Guidance Drafted</td><td>Guidance drafted 90% Completed Coord in Q3</td><td>Guidance drafted 90% Completed Coord in Q4</td><td>Guidance drafted 90% Complete Coord in Q1 FY21</td><td></td><td></td><td></td></tr>
</table>

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

Reduce Regulatory Burden by eliminating unnecessary Federal Rules (E.O. 13771) by September 30, 2024. The DoD Regulatory Reform Task Force evaluated 716 existing, codified DoD regulations and made recommendations to the Secretary of Defense regarding their repeal, replacement, modification, or retention consistent with applicable law. DoD set a goal to reduce its existing regulations by 25 percent. DoD is now in the implementation phase. In this phase, DoD has a goal of promulgating 50 regulations a year to implement Task Force recommendations, and to reduce its existing regulations by 35%. A goal of a 10% increase above the initial 25% reduction goal.

FY 2020 PERFORMANCE PROGRESS UPDATE:

In FY 2020, through Q4, the Department implemented 50 recommendations that resulted in repealing 30, replacing 2, modifying 12, and retaining 6 regulations. While DoD met its regulatory reform goals for FY 2020, the COVID-19 pandemic presented several challenges that impacted DoD's regulatory performance. Some high visibility, priority regulations were not finalized as anticipated this fiscal year.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 3.1.7.1: In order to accomplish the timely implementation of all DoD Regulatory Reform Task Force recommendations, the Department's goal is to complete 50 recommendations each fiscal year. For retentions, this entails certifying that the associated regulation is current and necessary. For all other recommendations, this entails publishing a final, effective rule that makes the recommended changes to the Code of Federal Regulations.

PM 3.1.7.2: In accordance with EO 13771, the Department must offset any regulatory costs with deregulatory savings in order to reach a net public impact of $0 or less.

PM 3.1.7.3: The Department aims to issue 20 regulatory actions each fiscal year which eliminate unnecessary regulation by either removing language from the Code of Federal Regulations or making regulatory changes that reduce burden on the public. In order to accomplish the annual goal of 20 completed regulatory reductions, the Department must complete an average of 5 such actions per quarter.

PM 3.1.7.4: Currently, policies are covered in Administrative Instruction (AI) 102, "Office of the Secretary of Defense Federal Register System" dated November 6, 2006. AI 102 will be replaced by a new DoD Instruction 5025.xx, "DoD Regulatory Program" that will provide more process details and policy updates.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE

PM 3.1.7.1: To accomplish the annual goal of 50 completed recommendations, the Department must complete an average of 12/13 recommendations per quarter. In FY 2020, through Q4, the Department implemented 50 recommendations that resulted in repealing 30, replacing 2, modifying 12, and retaining 6.

In accordance with EO 13771, no regulatory action may publish in the Federal Register unless it is included in the most recent edition of the Unified Agenda of Regulatory and Deregulatory Actions. On June 30, 2020, the Department announced through the Unified Agenda 197 regulatory actions in progress, many of which are associated with Task Force implementation. The fall 2020 Unified Agenda of Regulatory and Deregulatory Actions is currently under OMB review.

PM 3.1.7.2: During FY 2020, the Department achieved $130.5 million in public savings. Other potential savings have been identified and are under review by OMB.

PM 3.1.7.3: In FY 2020, the Department exceeded this target and completed 35 reduction actions.

PM 3.1.7.4: The new Instruction was drafted and poised for formal coordination. Coordination paused to include guidance document processing procedures in the new Instruction.

IDENTIFY KNOWN RISKS:

PM 3.1.7.1 & PM 3.1.7.3: Some regulations may require a change in legislation or interagency coordination before they can be replaced, modified, or repealed. This may delay implementation.

Each rule must be reviewed by the Office of Management and Budget (OMB) prior to publication in the Federal Register. In anticipation of the November presidential election, OMB will stop accepting significant regulations for review in July (Q4). A regulatory freeze may be implemented and extend into the second or third quarter of FY 2021 if the election results in a change in Administration.

PM 3.1.7.2: In response to an imminent need (national security threat, public health crisis, etc.), the Department may need to issue a regulation with unexpected regulatory costs.

PM 3.1.7.4: The emergence of new requirements for the Federal Register System has caused and may continue to cause delays in the promulgation of this policy document. For instance, on October 9, 2019, Executive Order 13891, "Promoting the Rule of Law through Improved Agency Guidance Documents," established new requirements for the development, approval, and publication of guidance documents. This required the addition of content to the draft issuance.

MITIGATION EFFORTS:

PM 3.1.7.1 & PM 3.1.7.3: The DoD regulatory proponents continue to advance legislative proposals and engage in interagency discussions required for the implementation of Task Force recommendations.

The DoD Regulatory Program has communicated the milestones surrounding the impending regulatory freeze to regulatory proponents. Efforts are underway to expedite regulations in progress for OMB review. DoD will continue to publish regulations cleared by OMB.

PM 3.1.7.2: The Department has already achieved significant public savings for FY 2020 and identified potential future savings. In the event that regulatory costs must be imposed, the Department is well-positioned to have offsets for those costs and achieve the annual goal of a net $0 impact.

PM 3.1.7.4: The DoD Regulatory Program will continue to address emerging issues while advancing the DoD Instruction.

NEXT STEPS:

PM 3.1.7.1 & PM 3.1.7.3: The DoD Regulatory Program will continue to process regulations for publication in the Federal Register.

PM 3.1.7.2: The Department will continue to conduct regulatory cost-benefit analyses in the development of its regulations and will strive to achieve a net public savings.

PM 3.1.7.4: The Instruction will be distributed for formal coordination throughout the Department.

PERFORMANCE INFORMATION GAPS:

N/A

CHANGED PERFORMANCE GOALS / MEASURES:

PM 3.1.7.2: This performance goal shifted from measuring DoD's success in offsetting the number of significant regulatory actions issued ("Offset EO 13771 significant regulatory actions issued after January 20, 2017") to measuring the Department's success in offsetting regulatory costs. Accordingly, the metric for this performance goal changed from a percentage of regulations issued to real costs in order to more clearly and accurately demonstrate DoD's compliance with the requirements of EO 13771.

PM 3.1.7.3: This performance goal shifted from measuring the frequency of the Department's deregulatory activity ("Increase number EO 13771 deregulatory actions issued after January 20, 2017") to a focus on the number of actions achieved to reduce unnecessary regulation. The metric for this performance goal changed from a percentage of regulatory actions issued to the number of completed reductions in order to more clearly and accurately demonstrate DoD's progress toward the achievement of this goal.

FY 2020 Summary of Results

PG 3.1.8: Identify opportunities for efficiency by maturing the defense business operations portfolio management competency and by conducting Business Capability Reviews to better manage resources.		PG Leader: OCMO, Defense Business Systems Director					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.1.8.1: Publish annual Investment Management Guidance that includes business capability review instructions and Fiscal Year schedule	Target		X					NEW
	Actual		X					
PM 3.1.8.2: Publish inaugural Defense Business Operations Management Strategic Plan that addresses investment management, portfolio management, business architecture, and information technology modernization strategies; review & update as needed	Target		X	X	X			NEW
	Actual		Partially met	Not Met	Not Met			
PM: 3.1.8.3: In FY20, identify 4 business capability efficiency/offset opportunities to the defense business council.	Target		X					NEW
	Actual			X				

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FY 2020 PERFORMANCE GOAL OVERVIEW:

Strategic Plan - In order to align with the National Defense Business Operations Plan (NDBOP), the primary mission of Defense Enterprise Business Operations is to improve performance, reform business operations, provide a strong foundation to rebuild readiness, and work with partners in support of the Department of Defense (DoD) priorities. The intent of publishing the Defense Business Systems Enterprise Operations Strategic Plan is to communicate how to govern, measure and achieve improved and strengthened business operations through the movement to DoD-enterprise or shared services; reducing administrative and regulatory burden.

Defense Business Operations Portfolio Management - The DoD will mature its defense business operations portfolio management competency and institutionalize a systematic approach for Business Capability Reviews to meet efficiency goals and objectives and to enable data-driven decisions related to the

allocation of DoD business resources. This will be accomplished by bringing together analysts with business capability expertise to critically analyze and assess all resources utilized to deliver DoD business capabilities and propose data-driven funding recommendations and budgetary offsets, based on current management tools and authoritative data, enable the Department to better resource higher priority functions and activities.

Portfolio management analysis will focus on:

1. Accounting for all business capabilities including projects (programs); resources, and investment costs within the defense business operations (DBO) portfolio. Each business capability will have mature cost models, and benchmark costs;

2. Understanding the various risks associated with projects (programs), resources, and investments of each business capability within the DBO portfolio; and

3. Monitoring the progress of the various performance goals and measures associated with projects (programs), resources, and investments of each business capability with the DBO portfolio.

The Business Capability Reviews will be an evidence-based review of business capabilities within a business portfolio that includes authoritative data on projects (programs), resources, and investments; potential duplications, identified risks, and progress of known strategic and performance goals. The review will conclude with actionable next steps (pursue / execute offset, shared service opportunities, etc.) and clear corrective actions for activities that do not appear to be well aligned to missions or business functions goals/objectives, or meet expected levels of performance.

Executing Business Capability Reviews will allow for project/program level assessment of defense business operations and inform a more detailed review of DOD Component's budgets and execution activities.

Additionally, this approach will allow for a more targeted investment board review associated with DOD's investment certification process.

FY 2020 PERFORMANCE PROGRESS UPDATE:

The performance goal is being implemented with investment management guidance being published timely and with analyses focusing on business capabilities.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

The performance measure is applicable to the Components with investments in the Defense Business Systems. A key external element that supports this guidance is the Title 10 section 2222 and a key internal element is the DoD Instruction 5000.75, Business Systems Requirements and Acquisition.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 3.1.8.1: The OCMO memo, Defense Enterprise Business Operations (DEBO) FY 2021 Investment Management (IM) Cycle, was issued on December 11, 2019, and provides the guidance for the

Components in executing their Title 10 Section 2222 responsibilities for FY 2021. Additionally, the FY 2021 IM schedule and timelines were briefed on February 20, 2020, at the Defense Enterprise Business Operations Senior Steering Group (DEBO SSG). The business capability reviews were briefed at the DEBO SSG during the last quarter FY 2019 and first quarter FY 2020.

PM 3.1.8.2: Due to the change of leadership since the establishment of this measure, the strategy will not be a published. Future communications will be provided that detail how to govern, measure and achieve improved and strengthened business operations through the movement to DoD-enterprise or shared services; reducing administrative and regulatory burden.

PM 3.1.8.3: In addition, four efficiency opportunities were identified and presented to the DEBO SSG on April 30, 2020. A challenge occurred in completing within the 2nd quarter as resources were diverted to focus on different priority.

IDENTIFY KNOWN RISKS:

PM 3.1.8.1: The Defense Business Systems (DBS) and Enterprise Operations Directorate uses the general timeline in the DBS Investment Management guidance and internal meetings to outline the annual timelines to ensure that guidance is published timely.

PM 3.1.8.3: DBS and Enterprise Operations Directorate uses internal meetings and reviews to assess data and establish milestones for meeting the target.

MITIGATION EFFORTS:

N/A

NEXT STEPS:

PM 3.1.8.1 and PM 3.1.8.3 are met and closed.

PM 3.1.8.2: due to the change in leadership, this performance measure is discontinued.

PERFORMANCE INFORMATION GAPS:

N/A

CHANGED PERFORMANCE GOALS / MEASURES:

Due to the change of leadership since the establishment of this measure, the strategy will not be a published. Future communications will be provided that detail how to govern, measure and achieve improved and strengthened business operations through the movement to DoD-enterprise or shared services; reducing administrative and regulatory burden.

FY 2020 Summary of Results

PG 3.1.9: Migrate to the Defense Civilian Human Resource		PG Leader: OCMO, Defense Business Systems & Enterprise Operations Reform Director					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.1.9.1: Increased interoperability of HR Capability by reducing interfaces (number of interfaces)	Target				36	36	35	FY18= 42 FY19= 42
	Actual				36			
PM 3.1.9.2: Increased Accuracy in Pay Calculation	Target					<1% systematic errors	<1% systematic errors	
	Actual							
PM: 3.1.9.3: Reduced # of records for employees; 1.08M by 2024	Target					1.08M (33% decrease)	1.08M	FY18 = 2.9M records FY19 = 3.0M records
	Actual							

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FY 2020 PERFORMANCE GOAL OVERVIEW:

Continue to migrate to the Defense Civilian Human Resource Management System. The Defense Human Resources Activity is leading the migration of core Civilian HR functionality from the Defense Civilian Personnel Data System (DCPDS) to an Oracle cloud-based Software as a Service (SaaS) solution known as DCHRMS based on a May 2018 Reform Management Group decision. The cross-Component DCHRMS core team has reengineered thousands of business processes and rules, reduced system roles by 30 percent, and decreased the number of data fields by 45 percent. The current strategy has changed to a phased approach to implementation, with the Defense Finance and Accounting Service (DFAS) as the candidate for an initial operating capability (IOC). When fully deployed, DCHRMS will support over 900K civilian employees for core HR.

FY 2020 PERFORMANCE PROGRESS UPDATE:

During this reporting period, DCHRMS configuration has been in full swing. The change in strategy to deliver in a phased approach, required some changes to the existing task orders to properly align capabilities required for DFAS. A plan for a co-location, collaborative rapid application development had to be replaced with virtual collaboration. The teams have engaged in daily scrum activities and have

identified the content necessary for the identified Conference Room Pilots (CRPs). A strategic decision to move from a One-to-Many data attribute relationship to a One-to-One design occurred during this quarter. Scope has been adjusted in existing task orders to include this change. User stories have been developed, Oracle Ideas are being incorporated. Design has completed on a number of foundational Position/Job/Assignment-related capabilities.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

The goal is to reduce the total number of interfaces from the current number (42) to 36 by merging the appropriate data and improving the cadence of the information exchange between systems. Today, the civilian population enjoys <1% system errors in DCPDS. In DCHRMS, the expectation is that the system error rate stays the same or improves. Currently, the Services and the Fourth Estate are in six separate databases, creating non-standard processes and duplicate records. With DCHRMS, employee records will be in a single database standardizing HR processes, business rules, and data across DoD. When DCHRMS is fully deployed, an employee transferring between DoD Components will have a seamless transition due to a single employee record. Redundancy will be eliminated.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

Will not be able to measure until the system has been operational for at least 6 months.

IDENTIFY KNOWN RISKS:

Oracle critical gap deliverables remain the biggest risk to scheduled implementation and performance.

MITIGATION EFFORTS:

DHRA, DMDC and DCPAS meet monthly with Oracle senior executives to ensure the highest level of focus is on the required capability

NEXT STEPS:

Socialize potential work-around required for DFAS for go-live in CY21. Continue to address critical gaps with Oracle for inclusion in upcoming releases. Finalize DCHRMS deployment plan and strategy including the need HR transaction blackout period. Deliver options for closing known gaps.

PERFORMANCE INFORMATION GAPS:

This reform team is relooking current performance measures based on the recent change in direction for this reform initiative. As a result, new measures for the beginning of FY 2021 are forthcoming to ensure validity and utility in moving the reform effort forward.

CHANGED PERFORMANCE GOALS / MEASURES:

N/A

FY 2020 Summary of Results

PG 3.1.10: Rationalize Business Systems – Task Management Systems						PG Leader: OCMO, Defense Business Systems & Enterprise Operations Reform Director		
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 202**	**FY 2022**	**Prior Year Results**
PM 3.1.10.1: Decrease Late Taskers average days by FY23	Target				19	25%	27%	NEW
	Actual				19			
PM 3.10.2: Decrease average time to complete taskers by FY23	Target				20	26%	28%	NEW
	Actual				20			
PM: 3.1.10.3: Establish total number of users by end of FY20	Target	32,952	37,003	61,000	*110,000	67,000	136,387	NEW
	Actual	33,893	37,003	37,003	49,008			

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
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FY 2020 PERFORMANCE GOAL OVERVIEW:

The projected FY 2020 measures did not meet the Q2 and Q3 projected targets due to Air Force implementation delays. HQ ACC required program manager was on-boarded September 2020. AF CIO, AF CMO, HQ ACC, and DoD CMO are currently working collaboratively in accordance with the Air Force TMT Implementation Plan to migrate all ~54K Air Force users to TMT by FY 2022.

FY 2020 PERFORMANCE PROGRESS UPDATE:

The Army PEO office initiated the migration of AFMC and reported 49008 TMT users for Q4 FY 2020.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 3.1.10.1: Decrease Late Taskers average days,

PM 3.1.10.2: Decrease average time to complete taskers by FY 2023, and

PM 3.1.10.3: Establish total number of users by end of FY 2020 reported satisfactorily for Q4 FY 2020.

As additional organizations and users are on-boarded in accordance with the AF implementation plan, the expectations are PM numbers will improve towards projections (based upon adjustment for the Air Force delay).

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

FY 2020 progress was limited to 3 migrations due to AF delay in starting implementations.

IDENTIFY KNOWN RISKS:

Future MilDep and/or 4th Estate implementation delays.

MITIGATION EFFORTS:

AF ACC assigned Program Mgr. and regular meetings action officer level meetings between AF CIO, AF CMO, HQ ACC, and DoD CMO working collaboratively in accordance with the Air Force TMT Implementation Plan to migrate all ~54K Air Force users to TMT by FY 2022. Senior Executive meetings are scheduled quarterly for updates and directions to address problems.

NEXT STEPS:

TBD

PERFORMANCE INFORMATION GAPS:

Continued collaborations to ensure timely execution of Air Force implementation plan.

CHANGED PERFORMANCE GOALS / MEASURES:

N/A

FY 2020 Summary of Results

PG 3.1.11: Rationalize Business Systems – EDLM		PG Leader: OCMO, Defense Business Systems & Enterprise Operations Reform Director					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 202**	**FY 2022**	**Prior Year Results**

Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 202**	**FY 2022**	**Prior Year Results**
PM 3.1.11.1: Increase the training and education spending under management through USA Learning 50% by 2024	Target	$35M	$70M	$105M	$115M	$200M	$347M	FY18: $66M FY19: $110M
	Actual	$5M	$20M	$34M	Unavailable			
PM 3.11.2: Decrease the number of LMS in 4th Estate by 40% by 2024; current baseline 24 to 14 by Sept 2024.	Target	18	17	17	17	16	15	FY18: 24 FY19: 19
	Actual	18	17	17	17			
PM: 3.1.11.3: Reduce the average training and education acquisition cycle time; number by October 1, 2024 (metrics show acquisition cycle time under USALearning)	Target	274	274	274	60 days	45 days	45 days	FY18: 365 days (status quo)
	Actual	45	45	60	45			

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FY 2020 PERFORMANCE GOAL OVERVIEW:

The Enterprise Digital Learning Modernization effort will increase DoD-wide Training & Education interoperability, overall effectiveness, and readiness for both mission needs and for transition to and from the military and civilian sector through three lines of effort: LOE 1 – USALearning assisted acquisition establishes Category Management for Digital Learning capabilities. LOE 2 -Establishes an enterprise course catalog where all DoD digital training and education courses will be accessible, allowing determination of duplicate courses and enabling service members to select the best course for their purposes. Finally, LOE 3 - Enterprise Learner Record Repository, enables the sharing of local and global learner data across DoD including conferred credentials, attributes, preferences, and privacy settings through a federated data strategy that integrates learner-related data from authoritative sources.

FY 2020 PERFORMANCE PROGRESS UPDATE:

During this period the reform team continued to make progress with implementing LOE 1 Through managing digital learning spending under LOE 1 the department is able to take a holistic approach that leverages existing digital learning. During fourth quarter the reform team worked with key stakeholders to

clearly define roles, responsibilities, resources, and functional ownership of the DoD EDLM program. DoD continued to mature and institute the EDLM reform effort through Total Learning Architecture, collaboration with the DoD Chief Data Office (CDO), and Chief Information Officer. For LOE2, the team successfully executed a 90-day development sprint resulting in a proof-of-concept prototype of an Enterprise Course Catalog. For LOE3, the team prepared the Performance Work Statement and Functional Requirements for the Enterprise Learner Record Repository, and is considering executing a development sprint similar to that done for LOE2. The team is collaborating with personnel from the Naval Education and Training Command to partner on development of the ELRR. This direct participation of operational stakeholders is seen as a significant step ahead for this capability.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

The Spending under Management (PM 3.1.11.1) measure demonstrates implementation progress for this Category Management effort. By increasing USALearning assisted acquisition spending the Department is able to increase buying power through economies of scale; identify shared service opportunities; and improve acquisition through a streamlined and centralized acquisition process. The increase in shared Learning Management Systems (LMS) (PM3.1.11.2) for Defense wide agencies is measured by the reduction of independent LMS. By increasing shared LMS services the department is able to reduce costs associated with maintaining and purchasing independent systems. In addition, reducing the number of independent LMS provides the opportunity to improve data governance and improve the user experience by reducing the number of sources they must access. Reducing the acquisition cycle time (PM3.1.11.3) and reducing the resources required to acquire training and education products and services will improve readiness and reduce the total cost to do business. Though the LOE2 and LOE3 formal development efforts are now getting underway, the ECC Prototype demonstrated integration of 52,000 courses from three different local course catalogs (NETC, DAU and AETC). However, due to the proof-of-concept nature of the prototype there was some manual processing, where the actual performance measure will be against automated systems, so direct comparison against the targets are not appropriate (though promising).

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

Progress in meeting performance measures declined in the third quarter for Spending under Management (PM 3.1.11.1) and Assisted Acquisition Cycle time (PM 3.1.11.3), as described below.

PM 3.1.11.1: The spending under USALearning was below the 3rd quarter target of $70 million. While 4th quarter spending is typically the largest spending, the pending for 4th quarter was projected to be $67 million making the total FY 2021 spending projection at $101million, approximately 13.8% below the $115 million target. Spending under USALearning was impacted by the contract integrator's expiring performance period and award of the bridge contract as well as delays in receiving timely funding submissions from customers.

PM 3.1.11.2: DoD continues progress in reducing the number of LMS for defense-wide agencies. The total number of independent learning management systems for defense agencies remained at 17 in the FY 2020 third quarter, however, several existing LMS were targeted for retirement in the near future.

PM 3.1.11.3: The assisted acquisition cycle time was slightly higher this quarter, but still within the 60 day target. Increased acquisition cycle time was also impacted by the constraints of the expiring contract performance period delays in receiving funding.

IDENTIFY KNOWN RISKS:

Need to enhance communication strategy and efforts. The CMO memo directs DoD components to engage with USALearning prior to acquiring training and education products and services.

MITIGATION EFFORTS:

The reform team continued to work with key stakeholders to enhance communication and engagements for the EDLM effort and target acquisition policy organizations as well as clarify and communicate policy exemptions and requirements to ensure full implementation of USALearning assisted acquisition in the most efficient manner possible.

NEXT STEPS:

Key activities and milestones for FY 2021 will include increased EDLM communication engagements, publishing implementation guidance, designated functional ownership of the Enterprise Digital Learning Program Management Office, and continued efforts to acquire authority to operate for a DoD enterprise IL 4 cyber accredited environment for LMS and LRS capability.

PERFORMANCE INFORMATION GAPS:

The cost savings resulting from increased shared services

CHANGED PERFORMANCE GOALS / MEASURES:

N/A

FY 2020 Summary of Results

PG 3.1.12: Modernize Defense Travel						**PG Leader:** OCMO, Defense Business Systems & Enterprise Operations Reform Director		
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.1.12.1: Optimal Fare Usage	Target	60%	60%	60%	60%	65%	70%	59%
	Actual	63%	63%	63%	63%			
PM 3.12.2: Increase Automation: touchless travel fulfillment	Target	90%	90%	90%	90%	90%	95%	83%
	Actual	75%	75%	75%	75%			
PM: 3.12.3: Reduce user workflow events (events per document)	Target	1.8	1.8	1.8	1.8	1.8	1.8	2.6
	Actual	2.8	2.9	2.9%	2.9%			
PM: 3.1.12.4: Reduce improper payment rate	Target	1%	1%	1%	1%	1%	1%	Legacy DTS = 5.3%
	Actual	0.85%	0.85%	0.85%	0.85%			
PM: 3.1.12.5: Improve customer satisfaction: rated acceptable or better	Target	50%	50%	50%	50%	50%	75%	56%
	Actual	49%	50%	50%	50%			

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FY 2020 PERFORMANCE GOAL OVERVIEW:

The Department is implementing a modernized "Travel-as-a-Service" capability to improve processes, reduce number of human touchpoints needed, automate travel management, and improve financial controls.

FY 2020 PERFORMANCE PROGRESS UPDATE:

Prototype system rolled out to DHRA, WHS, and DCMA headquarters personnel. There are 2,000+ current users and over 800 trips have been completed in the system. Further deployment is delayed until the transition from SAP Concurs commercial cloud environment to the Concur Cloud Public Sector CCPS is complete, and the travel ban resulting from the Department's response to COVID-19 is lifted. CCPS will enable deployment to additional users; current Acceptance of Risk (AOR) limits to 5,000 users. However, the SAP Concur delivery date for CCPS slipped from August to December 2019, delaying government acceptance testing. Testing is complete and operations will resume once coordination of the updated AOR is finalized (expected mid-May) and the COVID-19 stop movement order is lifted. The first phase of financial integration with the Army's General Fund Enterprise Business System (GFEBS) is scheduled for completion in Q1 FY 2021. This will allow the first Army civilian travelers to travel using the prototype.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

The Optimal Fare Usage provides an assessment of how often a traveler selects the lowest logical air fare for travel. Related initiatives include the GSA's City Pair Program and the Defense Travel Management Office's initiative to increase the use of non-refundable restricted air fares.

Touchless Travel Fulfillment provides an assessment of how often a traveler must request assistance from the travel Management Company (TMC) with airline reservations. Touchless transactions reduce costs and save travelers time as they plan and book their travel reservations.

The Events Per Document performance measure provides an assessment of how well the prototype is meeting the objective to reduce process workflow. It measures the number of workflow events per approval on a travel document that require DoD user interaction with the system, e.g. Traveler prepares and submits (or corrects and re-submits) a document or an Approver reviews and approves (or rejects) a document.

The Improper Payment Rate provides an assessment of how well the prototype is reducing the number of improper payments identified during DFAS Post-Payment Reviews (PPR).

The Customer Satisfaction performance measure provides an assessment of user satisfaction for overall experience with the prototype, asking the question, "How would you rate your overall user experience with the Defense Travel Modernization Prototype (Excellent, Good, Acceptable, Fair, or Poor)?" The performance score is the percent of users who rate their experience with the solution as Acceptable or better.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 3.1.12.1: This performance measure is tracking positively; actual results in FY 2019 were 59%.

PM 3.1.12.2: This performance measure is tracking as expected; actual results in FY 2019 were slightly higher at 83%.

PM 3.1.12.3: While this performance measure is yet to hit its performance target, the results exceed the legacy system benchmark. Workflow events per document in the legacy Defense Travel System are 5.1 events per document.

PM 3.1.12.4: To date, DFAS has conducted one Post-Payment Review of the prototype expense reports exceeding the performance target. As a comparison the improper payment rate in the legacy Defense Travel System is 5.3%.

PM 3.1.12.5: Improving customer satisfaction with the Department's travel system is a primary objective of Defense Travel Modernization. The baseline measure of satisfaction for the legacy Defense Travel System is 53%. During this prototype phase of modernization, user satisfaction is hovering around 50 percent. The implementation team believes this performance measure will begin to track more positively as feedback is incorporated with continuous, iterative improvements to the system configuration. In the long term, this measure will assess DTM's overall success; in the short term this feedback channel, and other methods used to capture feedback, is critical to achieving a viable prototype to move to production.

IDENTIFY KNOWN RISKS:

The Customer Satisfaction performance measure is tracked monthly; the prototype is an agile implementation with constant user feedback used to improve the user experience as well as compliance with travel policy and programs. While the response rate to the user feedback questionnaire is relatively high (27%) the overall sample size is currently insufficient to fully measure user satisfaction. Users with a less than satisfactory experience are more likely to take the time to complete and submit a feedback questionnaire. The implementation team does not expect any additional reduction in process workflows (Events Per Document) until they are able to take advantage of the auto-approval functionality available in the SaaS travel application. Changes to policy and/or financial processes will be necessary to implement them. The implementation team must continuously monitor this metric as configuration changes are made and more functionality is added to the prototype.

MITIGATION EFFORTS:

The product owner and implementation team review and analyze each customer satisfaction questionnaire. In addition, the team meets with travel managers weekly from the fielded organizations to gather additional feedback to incorporate into the backlog of user stories for future implementation. The team continues to work 60 findings identified in this feedback that once mitigated through configuration changes will improve the overall user experience. Once operations resume the team expects the result of these changes will be increased customer satisfaction rates. The team will continue working leadership and stakeholders to make the necessary changes to policy and processes to implement auto-approval features and further reduce process workflow. The team is also working to incorporate feedback from results of a 100 percent review of expense reports processed in the prototype conducted by the Defense Travel Management Office Travel Policy Compliance team.

NEXT STEPS:

Continue to track all performance measures and incorporate user feedback. The implementation team is configuring an AI driven capability called "Detect" that will assist Authorizing Officials in identifying potential improper payments before they occur. The team will continue to monitor user feedback and aggressively address validated issues/concerns with usability. In Q3 FY 20, the team implemented an improved User Interface (UI) and Travel Allowance Service to address much of the user feedback to date.

PERFORMANCE INFORMATION GAPS:

The current sample size to assess customer satisfaction is insufficient. This will improve as operations resume and the prototype is deployed to more travelers. The Events Per Document performance measure used to assess the reduction in workflow may not be useful going forward. This measure assumes a reduction of workflow decreases the amount of time users must spend in the system. One of the major criticisms of the legacy Defense Travel System is that it takes too long to process travel documents. The team will work with the vendor to look for alternate ways to assess the prototype's performance as it relates to time in the system.

CHANGED PERFORMANCE GOALS / MEASURES:

N/A

FY 2020 Summary of Results

<table>
<tr><td colspan="6">PG 3.1.13: Implement Category Management Best Practices in the DoD</td><td colspan="3">PG Leader: OCMO, Contract Management Reform Lead</td></tr>
<tr><td colspan="2">Performance Measure</td><td>Q1 2020</td><td>Q2 2020</td><td>Q3 2020</td><td>Q4 2020</td><td>FY 202</td><td>FY 2022</td><td>Prior Year Results</td></tr>
<tr><td rowspan="2">PM 3.1.13.1: DoD A&S Consultants review $20B in Contract Spend per sprint/FY quarter</td><td>Target</td><td>$20B</td><td>$20B</td><td>$20B</td><td>$20B</td><td rowspan="2">$80B</td><td rowspan="2">$80B</td><td rowspan="2">NEW</td></tr>
<tr><td>Actual</td><td>$20B</td><td>$14B</td><td>$28.5</td><td>$2.8B</td></tr>
<tr><td rowspan="2">PM 3.13.2: By FY 2024, review all 19 categories and GSA defined subcategories to identify unmanaged spend</td><td>Target</td><td>1 Sub-category</td><td>1 Sub-category</td><td>1 Sub-category</td><td>1 Sub-category</td><td rowspan="2">4 Sub-categories</td><td rowspan="2">4 Sub-categories</td><td rowspan="2">NEW</td></tr>
<tr><td>Actual</td><td>1 Sub-category</td><td>1 Sub-category</td><td>2 Sub-categories</td><td>2 Sub-categories</td></tr>
<tr><td colspan="9" align="center">*After FY 2021 APP publication, PM 3.13.3 -3.13.7 were canceled per management direction.</td></tr>
</table>

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FY 2020 PERFORMANCE GOAL OVERVIEW:

This goal includes incremental steps to assess DoD spend by category or subcategory and align spend to strategies supporting Federal and DoD objectives for Spend Under Management. DoD Category Management analysis is currently conducted in 90 day sprints to develop strategies for more efficient execution of limited DoD resource. Significant internal coordination is required within the Department of Defense as establishing enterprise strategies for spend in such a large organization require extensive coordination and a robust governance process.

FY 2020 PERFORMANCE PROGRESS UPDATE:

This performance goal has two quarterly targets: First, assess $20B in spend with consultant teams, and second, assess a sub category of spend to identify unmanaged spend. This fourth quarter the team assessed $2.8B in DoD spend following the conclusion of Sprint 6 which did not meet the goal for the quarter and left us $14.7B short for the year. During this quarter the effort did evaluate two other enterprise wide categories for unmanaged spend and made significant improvements leading to DoD meeting OMB goals for spend under management for Fiscal year 2019. Final numbers are still being calculated for the fiscal year as there is a reporting time lag from the close of the fiscal year to data being available but the team exceeded the goal for the quarter and the year for this metric.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

1. Measure uses planned 90 day sprints to assess DoD spend in categories to develop opportunities for more efficient spend strategies.

2. Measure is to assess one Federal Category or Subcategory of spend to analyze how much is considered Spend Under Management and evaluate if that portion which is not under management should be assessed during a category management sprint.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

Progress below expectations. Following sprint 6 the department could not centrally fund the final quarter of the year sprint activity to analyze a full $20B in spend. This activity was not formally in the CMO budget annually and resources to conduct the sprints had to be obtained from other DoD accounts in the year of execution. As was mentioned in the previous quarterly update the COVID 19 pandemic increased during the spring and summer, DoD resources were prioritized to battle the pandemic and the result was scarce resources for efforts such as centrally funded category management sprint activity. Therefore a full sprint could not be conducted in the final quarter. However, it should be noted that the value of category management was so compelling that some organizations did "self-fund" projects in the 4th quarter which resulted in the $2.8B of spend analyzed. Additionally, lessons learned from prior 6 sprints recognized that the 90 sprint model may be too constraining and some activity may need to occur beyond the 90 day (or quarterly) window. This metric may need to be updated in the future to account to lack of central budget and extended analysis needs during sprints. Progress achieved. DoD Spend Category 4.1 was assessed and initiative is in out-brief status to stakeholders. Recommendations in work.

IDENTIFY KNOWN RISKS:

Lack of central funding.

MITIGATION EFFORTS:

The CMO conducted a rapid improvement event to assess lessons learned from prior sprint processes and design an improved category management model for the future. The design will improve category management outcomes by emphasizing implementation of category management practices after analysis and leveraging organizational funding rather than centralized funding of analysis activity. COVID 19 and budget impacts could not be foreseen or mitigated prior to impact on category management activity, however, sprint managers will continue to maintain a "long list" of potential projects to insure a "pipeline" is available to sustain execution levels as funding becomes available.

NEXT STEPS:

1. Performance Measure will be assessed for future plan as lessons learned analysis drives implementation of a refined approach to DoD category management. Funding constraints and availability will likely make this metric unachievable as stated and revision will be necessary.

2. Performance Measure expected to achieve goal in next quarter with a new enterprise initiative already underway.

PERFORMANCE INFORMATION GAPS: None

CHANGED PERFORMANCE GOALS / MEASURES: Under Review

FY 2020 Summary of Results

PG 3.1.14: Validate service contract requirements for continued need, redundancy, and effectiveness of contracts, structures and conditions							PG Leader: OCMO, Contract Management Reform Lead	

Performance Measure		Q1 2020	Q2 2020	Q3 202	Q4 2020	FY 2021	FY 2022	Prior Year Results
PM 3.1.14.1: By end of FY 2022, validate financial savings achieved/demonstrated for all DoD Components (OSD, DAFAs, JCS, COCOMS, & MILDEPS) IAW Services Requirements Review Boards, Senior Review Panels and programmed/budgeted amounts	Target	Measured Annually			$441M Financial Savings Achieved	$441M Financial Savings Achieved	$445M Financial Savings Achieved	NEW
	Actual				$441M in Financial Savings Achieved			
PM 3.14.2: Annually review and ensure Bridge contracts awarded in 4th estate entities are for proper purposes and do not exceed 125 annually	Target	Measured Annually			<125 Bridge contracts across 4E	<125 Bridge contracts across 4E	<125 Bridge contracts across 4E	NEW
	Actual				Achieved			

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FY 2020 PERFORMANCE GOAL OVERVIEW:

This performance Goal ensures the DoD remains committed to appropriate oversight of Services contracts. Service Requirements Review Boards (SRRBs) were implemented in in response to DoD awareness and Congressional Concern regarding the amount of money obligated on services each year versus commodities or weapons systems. Contracting obligations on Services have frequently exceeded 50% of DoD obligations for many years. Congress requires Agencies to actively manage services contracts via 10 U.S.C. 2330a. Procurement of services) and has placed additional provisions in annual NDAAs dating back to FY 2011 Section 863. DoD has implemented DoD Instruction 5000.74: Acquisition of Services which requires SRRBs; describes parameters and requires active management of services contracts. Military Departments implemented services reviews in different ways, and GAO issued a report critical of some of the requirements review processes. In July 2015 the Deputy Secretary of Defense issued a memo Implementation of Institutional Reform Opportunities and tasked DCMO & USD(AT&L)/DPAP to execute SRRB process across 4th Estate. Guidance Memos are issued each year by CMO with instructions for upcoming SRRB reviews. SRPs are chaired by OSD OCMO and USD(A&S). The SRP process is managed by the SRP Engagement Team (CMO SRRB Team), responsible for coordinating the SRP with the organizations and the panel members.

FY 2020 PERFORMANCE PROGRESS UPDATE:

This year's Senior Review Panel operated virtually due to COVID-19 disruption rather than holding in-person physical meetings. Briefings were received from each 4th estate organization and panel members reviewed inputs via staff packages. Panel members ask follow up questions if needed, and/or request a teleconference if discussion about any organization's submission is warranted. Although impacted by COVID, the reviews demonstrated current processes have successfully reviewed 4th estate service requirements, and bringing proper attention and oversight at a very senior level. The annual review cycle validated $441M in savings from reviews of 60+ organizations. Additionally, the attention and priority given to bridge contracts has shown significant reduction in bridge contracts in the DoD Services arena. Organizations have active plans for reductions and are implementing them successfully. Year over year numbers are declining. The annual summary is being drafted to highlight best practices noted from the panel's work.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

This performance measure coincides with the conclusion of the DoD annual Services Requirements Review Board process. During this annual process, each organization conducts its own internal Review Boards and reports results via briefings to the DoD Senior Review Panel co-Chaired by the DoD Chief Management Officer and the Under Secretary for Acquisition and Sustainment. SRP reviews are normally conducted from February to June each year but were extended through September due to COVID 19 issues. The Senior Panel members validate the savings achieved in each organization.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

The quarterly and annual metrics were achieved for both savings and bridge contracts. Organizations completed internal SRRBs and submitted documentation for the Senior Review Panel. Staff packages assessed the inputs and provided panel members the opportunity to drill down on any submission. It is positive that all organizations have adopted the annual battle rhythm and are conducting assessments successfully to ensure their requirements are valid and prioritized internally prior to executing contracts. DoD is sharing practices with the Veterans Administration and OMB led forums to provide lessons learned to other federal agencies.

IDENTIFY KNOWN RISKS:

Covid-19 impacted Senior Review Panels which increased the time needed for reviews this year.

MITIGATION EFFORTS: The Panel moved to virtual meetings as needed and used staff packages for reviews.

NEXT STEPS: Issue new guidance and begin annual cycle again for next year.

PERFORMANCE INFORMATION GAPS: None

CHANGED PERFORMANCE GOALS / MEASURES: None

FY 2020 Summary of Results

PG 3.1.15: Fundamentally transform how the Department delivers a secure, stable, and resilient Information Technology (IT) infrastructure		PG Leader: IT Reform Lead					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.1.15.1: IT – Network & Service Optimization – Complete Fourth Estate DoDNET Assessment; Initiate Migration Plans and Phase I migration	Target				2	2	3	NEW
	Actual				2			
PM 3.1.15.2: IT– Network & Service Optimization. Initiate transition 14 Defense Agencies and Field Activities (DAFA) organizations to a Global	Target				12	-		NEW
	Actual				12			
PM 3.1.15.3: Cloud & Data Center Optimization – Migrate Defense Agencies and Field Activities (DAFA) applications / systems to optimal hosting environments (affects 14 DAFAs, 962 apps/systems, and 70 data centers).	Target	409 of 962 (43%)	535 of 962 (56%)	535 of 962 (56%)	654 of 940 (68%)	904 of 940 (96%)	936 of 940 (99%)	NEW
	Actual	409 of 962 (43%)	481 of 962 (50%)	521 of 962 (55%)	580 of 940 (62%)			
PM 3.1.15.4: Enterprise Collaboration – Migrate NIPR – CONUS users email to commercial cloud	Target			703K	918K	2.87M	2.87M	NEW
	Actual			735K	900K			
PM 3.1.15.5: License Consolidation – Core Enterprise Technology Agreements - Award Blanket Purchasing Agreements (BPA), Enterprise License Agreements (ELAs) and/or Joint Enterprise License Agreement (JELAs) to DoD top seven vendors	Target	2	1	-	1	1	1	5
	Actual	2	1	-	0			

FY 2020 PERFORMANCE GOAL OVERVIEW:

The current Defense Agencies / Field Activities (DAFA) environment consists of independently designed and managed network architecture in a resource constrained time that operates without a Department-wide strategic vision affecting substantial inefficiencies in cost, manpower, and overhead, while impacting warfighting ability to defend and operate from a principal, integrated Command and Control platform.

In order to achieve a modern and an effective IT environment, DoD-wide IT reform activities have been established to consolidate and streamline capability delivery to support an evolving mission environment. IT Reform initiatives align with the goals of the 2018 National Defense Strategy and the Digital Modernization Strategy. Reform efforts are in progress, targeting an optimized and converged IT infrastructure, driving efficiencies across the Department, providing opportunities for reductions in acquisition overhead, increasing combined purchasing power, and improving the effective utilization of shared expertise across the DoD environment. Additionally, reform activities are accelerating a transition within the Department to a cloud-enabled future, while standardizing IT commodity applications through commercial industry capabilities to deliver modernized services. IT Reform activities are proceeding along three lines of effort:

Network and Services Optimization – Convergence of 4th Estate networks, service desks, and operation centers into an optimized, secure, and effective environment capable of addressing current and future mission objectives.

Cloud and Data Center Optimization – Migration of all severable workloads resident in DAFA data centers to enterprise / cloud hosting environments with the outcome of reducing the Department's data center footprint and streamlining cybersecurity infrastructure.

Enterprise Collaboration and IT Tools – Establishment of a cloud based enterprise environment for collaboration services for Non-classified IP Router Network (NIPRNet) and Secret IP Router Network (SIPRNet). Migration to Defense Enterprise Office Solutions will enable the sunset of legacy stovepipe email capabilities across the DoD.

Key challenges to IT Reform include insufficient investment to execute migrations / optimization activities, expedited migration / optimization without breaking mission, and establishing a validated and accurate IT baseline.

FY 2020 PERFORMANCE PROGRESS UPDATE:

In order to achieve digital modernization objectives, DoD-wide IT reform activities are being established to consolidate and streamline capability delivery to support an evolving mission environment. Reform efforts are in progress, targeting an optimized and converged IT infrastructure, driving efficiencies across the Department, providing opportunities for reductions in acquisition overhead, increasing combined purchasing power, and improving the effective utilization of shared expertise across the DoD environment. The Network and Services Optimization reform is converging DAFA networks, service desks, and operation centers into an optimized, secure, and effective environment capable of addressing current and

future mission objectives. Additionally, reform activities are accelerating a transition within the Department to a cloud-enabled future, while standardizing IT commodity applications through commercial industry capabilities to deliver modernized services.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 3.1.15.1: This metric will assess the migration initiation of 13 DAFAs into a single network service provider. These migrations will enable the DoD to reduce the number of DAFA networks from 26 to 2.

PM 3.1.15.2: Initiate consolidation of DAFA service desks into a single unified IT Service Desk environment.

PM 3.1.15.3: In support of the Resource Management Group decision, the goal of the Cloud and Data Center Optimization initiative is to migrate all severable workloads resident in the 14 affected DAFA data centers to cloud hosting environments or enterprise data centers with the outcome of reducing the Department's data center footprint and streamlining cybersecurity infrastructure. DoD CIO issued a memorandum in May 2018 to initiate the Fourth Estate Cloud and Data Center Optimization Initiative and plans to conclude the initiative by Q4 FY 2021. DoD CIO issued the Fourth Estate Migration Plan memorandum in November 2018 to require DAFA organizations to develop migration and data center closure plans by January 2019 based on DOD CIO recommendations.

The Phase 1 fourteen DAFA agencies include DARPA, DCAA, DCMA, DFAS, DHA, DISA, DLA, DMA, DMEA, DMDC, DPAA, DTIC, DTRA and MDA.

PM 3.1.15.4: Scope of the performance measure is initially NIPRNet user migration to Teams/cloud based email aligning with a revised collaboration approach incorporating a federated approach and DoD component transition to cloud email. SIPRNET user transition will follow. Supporting initiatives include establishment of a common framework to enable collaboration, a central identify framework, and preliminary cybersecurity assessments.

PM 3.1.15.5: The performance measure is a direct measure of DoD IT Enterprise License Agreement progress for Core Enterprise Technology Agreements designated targets.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 3.1.15.1: Fourth Estate Network Optimization (4ENO) was constrained during Q4 FY 2020 by COVID-19 travel restrictions that limited site survey work and migrations to the Global Service Contract. Efforts were shifted to in-house DoDNet core infrastructure buildout as well as baselining the FY 2021 schedule to accelerate missed activities where possible.

PM 3.1.15.2: During Q4 FY 2020, 12 agencies initiated migration onto the automated call distribution system. Out of the 12 DAFAs, one DAFA completed the full migration to the Global Service Desk.

PM 3.1.15.3: The Fourth Estate Cloud and Data Center Optimization IT Reform Initiative is behind schedule to reach the Q4 FY 2021 completion date. Corrective Action Plans have been developed for five

of the fourteen DAFAs projected to complete migrations and closures after the Q4 FY 2021 target (four in Q4 FY 2022 and one in Q4 FY 2023). As of October 8, 2020, the initiative has closed 39 of 61 data centers, and completed 580 of 940 migrations and decommissions.

During Q4 FY 2020, DAFAs participated in monthly progress review meetings and weekly email updates to monitor migration progress. The main issues faced during Q4 FY 2020 were continued litigation delays with the Joint Enterprise Defense Infrastructure (JEDI) cloud and the Defense Enterprise Office Solution (DEOS).

Since Q2 FY 2020, COVID-19 primarily impacted the ability of DAFA data center staff to access data centers to conduct assessments and set conditions for system and application migrations. As a result, there were delays to some system/application migrations or decommissions. DAFAs have since been able to work around COVID-19 challenges and are working to meet their performance goals.

PM 3.1.15.4: During Q4 FY 2020, a revised acquisition approach to the DEOS contract was developed to reflect DEOS acquisition delays and incorporates ongoing DoD component movement into the Defense M365 Community Cloud; DEOS contract award is anticipated for Q1 FY 2021. Conducted test and validation of: 1) identity framework concept; 2) web access through government furnished equipment; and, 3) initial defensive cyber operations and strategy

PM 3.1.15.5: The CISCO blanket purchasing agreement is in protest and was not awarded in September 2020 as projected.

IDENTIFY KNOWN RISKS:

PM 3.1.15.1 & PM 3.1.15.2: Project Risk Management is performed across the activity, and executes seven processes: Plan Risk Management, Identify Risks, Perform Qualitative Risk Analysis, Perform Quantitative Risk Analysis, Plan Risk Responses, Implement Risk Responses, and Monitor Risks. The Reform approach of risk identification and management is aligned with the PMBOK.

PM 3.1.15.3: The principal risk to this reform is schedule; meeting the Q4 FY 2021 deadline for system migrations and DC closures. Weekly status updates to the Integrated Master Schedule (IMS) identify migration schedule slippages and indicate to the DoD CIO when additional engagement is required. Additionally, the IMS provides organizations with opportunity to discuss risks and identify issues related to migration activities. The availability of cloud contracts like JEDI and SIPR cloud instances poses a longer term risk to schedule.

PM 3.1.15.4: Risk impacting the initial migration of users include acceptance of the proposed federated approach by DoD components. Initial deployment of capability will establish a common framework that will enable collaboration and an appropriate defensive cybersecurity position. With initial effort focused on NIPRNet, identified gaps included denied-disconnected intermittent limited communications and SIPRNet. Continued acquisition delays will require the department to pivot to smaller, more targeted contracts.

PM 3.1.15.5: N/A

MITIGATION EFFORTS:

PM 3.1.15.3: DoD CIO and DoD CMO will work with DAFA leadership, action officers, and service providers (e.g., DISA, JEDI Program Office) to resolve issues affecting schedule. DoD CIO and the DoD Chief Management Officer (CMO) also issued a joint memorandum directing the DAFAs to present their migration and data center optimization effort status to the IT Reform Senior Working Group (SWG). DAFAs at risk of not meeting the Q4 FY 2021 deadline were required to complete corrective action plans. DoD CIO and the DoD CMO may recommend alternate courses of action that may differ from original performance goals in order to meet the larger objective of the reform effort.

PM 3.1.15.4: Mitigate issues with cross-tenant collaboration and cyber operations. Mitigation efforts include testing of a central identity framework, conducting preliminary cybersecurity assessments, developing a test plan and reaching out to components for pre-migration data to support government and vendor design work. Other mitigations included establishing business-to-business collaboration with Microsoft to securely share applications/services and test/iterative builds to mitigate cross-collaboration issues.

NEXT STEPS:

3.1.15.1: Pending a reduction on travel restrictions, reform activities that migrate the Fourth Estate network environments will continue. During FY 2021, travel across the 4ENO program will resume with a focus on site surveys, re-IP efforts, and core infrastructure installations for DoDNET.

3.1.15.2: Continue reform activities that provide coverage and consolidate the DAFA IT helpdesk/service desks. For FY 2021, DAFAs will continue onboarding discussions to coordinate and schedule migration dates.

3.1.15.3: Fourth Estate organizations have been instructed to migrate all systems and optimize their data centers by Q4 FY 2021 unless given specific permission to remain in place. Agencies will provide weekly status updates on system migrations to ensure migrations remain on track and issues are resolved quickly. As a result of the DAFA data center status briefs to the IT Reform SWG, DoD CIO identified eight DAFAs whose current schedule will meet the deadline and five DAFAs that are at risk of missing the deadline. The DAFAs projected to miss the deadline provided a corrective action plan and will continue to work with the DoD CIO to execute that plan over the next several months.

PM 3.1.15.4: In Q1 FY 2021, DISA and MILDEPs will begin migration of users to M365 tenants with a target completion date of June 15, 2021. Tenants will be established with adherence to established cybersecurity standards and adoption of the DoD Global Directory solution. Tenant structure and implementation will adhere to the September 25, 2020 memorandum "Federated Implementation of Office Collaboration Capabilities for the Department of Defense."

PM 3.1.15.5: Since the CISCO BPA contract is in protest, during Q1 FY 2021, we will continue to support contract reconciliation and work towards contract award during Q1 FY 2021.

PERFORMANCE INFORMATION GAPS: None

CHANGED PERFORMANCE GOALS / MEASURES: None

FY 2020 Summary of Results

PG 3.1.16: Medical Force Structure			PG Leader: Healthcare Management Reform Director					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.1.16.1: Savings Generated	Target	$0	$18M	$0M	$36M	>$36M	TBD	NEW
	Actual	$19M	Paused COVID	Paused	Paused			
PM 3.16.2: Maintain Readiness	Target	>84%	>84%	>84%	>84%	>86%	TBD	NEW
	Actual	USAF: 86.2% USA:86.7% USN: 88.9%	USAF: 86.3% USA:86.3% USN: 90.5%	USAF: 86.0% USA:83.2% USN: 83.9%	USAF: 84.1% USA:82.7% USN: 83.5%			
PM 3.16.3: Expeditionary Knowledge, Skills, and Abilities	Target				General Surgery 25% Orthopedic Surgery 80%	General Surgery 50% Orthopedic Surgery 90%	TBD	NEW
	Actual	General Surgery – 19.1% Orthopedic Surgery – 65.5%	General Surgery – 29.0% Orthopedic Surgery – 81%	General Surgery – 12% Orthopedic Surgery – 64%	General Surgery –10% Orthopedic Surgery – 63%			
PM 3.16.4: Customer Service (PC Future Appointments)	Target	<7 Days	<7 Days	<7 Days	<7 Days	<7 Days	TBD	NEW
	Actual	6.76 Days	6.66 Days	6.83 Days	4.29 Days			

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request.

FY 2020 PERFORMANCE GOAL OVERVIEW:

End-state success factors include military end strength transfer to the Military Departments (MILDEPs); develop and validate analytic models for operational and generating force requirements; maintain readiness of the force >90%, and; enhance provider readiness and productivity by FY 2024 (i.e. improve General Surgery clinical readiness from 17% to 85%). Due to the fundamental changes in the governance and organization of the Military Health System (MHS), in FY 2020 the metric targets were intended to ensure no degradation on care and readiness. Due to these continued impacts the FY 2021 and out goals and targets are being re-baselined to be updated for FY 2022 budget and FY 2023 program review.

FY 2020 PERFORMANCE PROGRESS UPDATE:

The Military Health System continues to pause its reform initiatives in light of the COVID-19 response. Department medical leadership is planning to restart reform efforts in the summer of CY2021. COVID-19 affects remain fluid as the pandemic continues to wax and wane. Fourth Quarter KPIs show impacts of the COVID-19 pandemic on care in the Military Health system mirroring the slowdown in care produced by social distancing and is similar to that experienced in the civilian sector. As healthcare delivery returns to more normal levels and reform is restarted, these KPIs will return to normal levels.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

The Savings Generated performance measure assesses the number of military staff repurposed to enhance lethality. This metric rationalizes the medical force structure by identifying excess uniformed personnel within the health delivery system and by capturing efficiency opportunities within HQ organizations as the DHA assumes administrative and managerial responsibility over all military treatment facilities (MTFs). The Maintain Readiness performance measure is defined as the individual military member readiness metric that measures force medical readiness. It supports the operational readiness of the Joint Forces by ensuring they are medically ready to deploy and increase opportunities for medical professional to improve their readiness skills by maintaining the FYDP medical force readiness structure at a 90% capacity or greater and enhancing provider readiness and productivity. The Expeditionary Knowledge, Skills, and Abilities (KSAs) performance measure assesses the clinical readiness of key provider staff. The Customer Service for Primary Care (PC) future appointments performance measure estimates the availability of primary care appointments as a leading indicator for access.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

As outlined in the DSD Healthcare Management Reform Update and per DHA J8 personnel, the Department achieved the following:

- Generated $19M in savings in Q1 of FY 2020 (prior to COVID-19), which exceeds the target of $18M in savings by Q2 of FY 2020. However, this number may not account for the additional costs related to implementing this measure (e.g., leakage).

- Drafted an implementation plan for PB FY 2020 reductions of uniformed personnel.

- Identified >10% reduction in HQ overhead starting in FY 2022.

- Worked NDAA FY 2020 reporting requirements prior to executing reductions.

- Linked future additional savings to timeline for medical department HQ consolidation.

The Department achieved the following in the Q2 (prior to COVID-19) Individual Medical Readiness Q3 data becomes available in Q4 due to data lag:

- Maintained AF readiness at 86.3%.

- Maintained Army readiness at 86.3%.

- Maintained Navy readiness at 90.5%.

- Finalized operational requirements based on OPLAN; continuing to refine.

- Generated Force framework modeling tool to understand Joint and Service requirements across MILDEP models; will inform future manpower requirements.

As outlined in the DSD Healthcare Management Reform Update, the Department achieved the following:

- Achieved 29% for expeditionary KSAs for General Surgery in Q2 FY 2020.

- Achieved 81% for expeditionary KSAs for Orthopedic Surgery in Q2 FY 2020.

- Generated Force framework modeling tool to understand Joint and Service requirements across MILDEP models; will inform future manpower requirements.

- COVID-19 has affected the surgical readiness measures for Q3 FY 2020.

The Department achieved the following:

- Fulfilled performance measure goals of <7.0 with 6.76 days in Q1 of FY 2020.

- Fulfilled performance measure goals of <7.0 with 6.66 days in Q2 of FY 2020.

- Fulfilled performance measure goals of <7.0 with 6.83 days in Q3 of FY 2020 that shows the impacts of COVID-19

IDENTIFY KNOWN RISKS: The following risks may impact the Savings performance measure:

- Addressing the COVID response medical and distancing requirements will delay the savings generated by the repurposing of military personnel by an unknown amount.

- Requirements not completed in time for proposed end-strength reductions by the MILDEPs and the OSD may adversely impact timelines, mission capacity, and savings.

- Inability to evaluate and validate sizing of the Joint Force to avoid cuts that prevent the medical organizations from fully meeting operational requirements, may continue to persist due to the lack

of synchronization and standardization across the DHA and Services in their modelling and assumptions.

- Insufficient transfer fee ($1.7B for program review in August) will generate execution year costs and affect access to care.

- Ability to maintain flexible and adapt to changes in attrition of personnel during the Future Years Defense Program (FYDP) will cause costs to increase.

- Lack medical HQ personnel reductions to the end state number through transition of MTFs and medical HQs will result in the failure to realize personnel savings.

- Savings calculations should consider the following metrics:

  1. Approximate savings from unformed personnel reductions;

  2. Additional costs from the transfer/replacement of MILPERs; and

  3. Additional estimated costs due to leakage.

The following risks may impact the Maintain Readiness performance measure:

- Projected savings need to meet target goals; failure to do so may adversely impact the ability to adequately fulfill readiness requirements.

- Readiness target capacity needs to meet the 90% target, as failure to do so may negatively influence efforts to fulfill and maintain a medically ready force and ready medical force.

- COVID response has affected Maintain Readiness measure.

The following risks may impact Expeditionary KSAs:

- Lack of expeditionary KSAs may negatively impact quality healthcare delivery for AD members and their beneficiaries, limiting the capacity to sustain a medically ready force and medically ready force.

- Inability to maintain targeted KSAs for General Surgery and Orthopedic Surgery may adversely impact the ability to maintain adequate readiness requirements.

- KSAs have decreased due to the COVID-19 response reducing the caseload for general and orthopedic surgeons.

The following risks may impact Customer Service (PC Future Appointments):

- Quality customer service for PC future appointments must be provided in a timely, effective, and efficient manner or the ability to maintain a medically ready force and ready medical force may be negatively impacted.

- Inability to maintain flexibility and adapt to changes in attrition of personnel during the FYDP will yield decreased access to care.
- Measure has decreased substantially in 3rd quarter indicating that supply of appointments exceeds patient demand.

MITIGATION EFFORTS:

Mitigation efforts led by the Health Reform Leader should include coordinating models and assumptions made by the DHA and Services in assessing their force structures.

NEXT STEPS:

As outlined in the DSD Healthcare Management Reform Update, the following actions should be taken as next steps in FY 2021:

- Finalize plans for defining and restarting healthcare delivery reforms with a target of summer 2021.
- Revalidate savings and transfer price estimates in FY 2022 budget review.
- Identify additional costs resulting from these efforts to address short- and long-term risks.

As outlined in the DSD Healthcare Management Reform Update, the following actions should be taken as next steps in FY 2021.

PERFORMANCE INFORMATION GAPS:

None

CHANGED PERFORMANCE GOALS / MEASURES:

Implementation of manpower reductions have been paused pending a review of the lesson learned from the COVID-19 response. This will delay the repurposing of ~5,000 encumbered authorizations in FY 2020 and 2021. Performance measures demonstrate COVID-19 impacts.

FY 2020 Summary of Results

PG 3.1.18: Increase shared service delivery of medical benefits between DoD and Department of Veterans Affairs		PG Leader: Assistant Secretary of Defense (Health Affairs)					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.1.18.1: Increase VA patient referrals to DoD	Target	X	X	X	X	X	5%	NEW
	Actual	30.35K	29.15K	20.05K	24.12K			

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request.

FY 2020 PERFORMANCE GOAL OVERVIEW:

With readiness as DoD's top priority, the Department seeks to increase the volume and complexity of Department of Veterans Affairs (VA) patients seen in the system to support clinical competency and readiness for DoD providers. Concurrently, the services that DoD provides could improve VA's access to timely, quality care. Expansion of key resource sharing initiatives may lead to significant cost savings and retention of providers and warfighters. The Office of the Secretary of Defense collaborates with VA to identify potential opportunities between VA and DoD that promote and facilitate the efficient use of limited federal health care resources. This may also result in reducing reliance on private sector, fee-based care. This is currently a Joint Executive Committee (JEC) priority; however, the JEC releases new priorities each fiscal year so this goal may need to be adjusted based on next fiscal year's JEC guidance.

Internal Factor(s): The Assistant Secretary of Defense for Health Affairs works collaboratively with the Defense Health Agency as it has full operational control over all Military Treatment Facility operations in accordance with governing law, regulations, policies, and procedures.

External Factor(s): VA is the partner in these initiatives and will have an equal responsibility and contribution to the success of the performance goals.

FY 2020 PERFORMANCE PROGRESS UPDATE:

The DoD/VA Health Executive Committee (HEC) continues to review the progress of DoD/VA health care resource sharing collaboration opportunities in the areas of clinical care and operations, financial operations, business operations, health informatics, professional development, care coordination, and research. The HEC Co-chairs met in Quarter 3 to discuss resource sharing during pandemic.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

The JEC established as a FY 2019/2020 priority that DoD and VA will establish a process to increase VA patient referrals to military treatment facilities with excess capacity to support Graduate Medical Education

and wartime skills maintenance. This performance measure will show an increase number of VA patients referred to Military Departments on an annual basis. The baseline metric is the actual number of K-61 clinical encounters seen by quarter. This is a direct measure of the intended outcome of the program.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

On target. Progress reported out at HEC and JEC meetings, as requested. The team continues to develop, refine, and align the select data elements from the Military Health System Data Repository and Corporate Data Warehouse, for placement into a working pivot table tool. This tool will be used to identify DoD available unused clinical service capacity, and identify VA unmet in-house care demand for services that can potentially be re-routed to the DoD resource sharing facility partner to receive the care.

Challenges that may impede reaching planned target:

1. There is no well-defined mechanism or requirement for DoD and VA to leverage each other as the "first choice" for providing health care.

2. Differing Uniform Business Office/Patient Administration functions (e.g., billing and reimbursement processes) between Departments historically has been an impediment to care reciprocity

3. Joint Medical Record implementation timelines do not match, and although sharing of DoD and VA health information has improved dramatically in recent years, there will be some information exchange issues.

IDENTIFY KNOWN RISKS:

- The success of this initiative is dependent on the HECs approval in FY 2021 of the data tool and the recommended way forward.

- The success of this initiative is dependent on the VA fully implementing the established process and referring the right complexity of cases to the DoD.

MITIGATION EFFORTS: No mitigation efforts necessary at this time.

NEXT STEPS: Continue refining, mapping, and validating the VA and DoD data element collection workbooks that will populate the Demand-Capacity pivot table report tool. At the end of Q2 FY 2021, provide utility status of the report tool and provide recommendations on future tool use and implementation.

PERFORMANCE INFORMATION GAPS: N/A

CHANGED PERFORMANCE GOALS / MEASURES: N/A

Strategic Objective (SO) 3.2: Leverage Data as a Strategic Asset by expanding our data analytics capability and cultivate data-driven solutions

SO Leaders: CMO

STRATEGIC OBJECTIVE OVERVIEW:

The business of the Department of Defense (DoD) is protecting and defending the United States through the creation of operational military effects. To build a more lethal fighting force, strengthen our alliances, and reform performance, improving data management is essential. Improved data management will enhance our ability to fight and win wars in an era of great power competition, and it will enable operators and military decision makers to harness data to capitalize on strategic and tactical opportunities currently unavailable. We have a responsibility to gain full value from defense spending, thereby earning the trust of the operational warfighter, Congress and the American people. Delivering increased operational and business performance means we must shed outdated data management practices while profiting from insights from commercial sector business innovation. The Department is adopting a new wave of technologies—from automation to artificial intelligence to the Internet of Things—but our success depends on our ability to safeguard our information and manage the quality of our data. This becomes increasingly important as weapons platforms, connected devices, and sensors combine to cause exponential growth in data – and a commensurate growth in opportunity to exploit the data. When our competitors gain more insights from data than we do, they leverage insights that we do not. Treating data as an asset, implementing protective measures, and managing data to maintain the highest quality can lead to insights fostering competitive advantage. Positioning the Department to safeguard and manage data appropriately is critical to sustaining information superiority.

DoD data is not yet widely available or accessible in a real-time, useable, secure, and linked manner. Further, the quality of the data and its value as a record of DoD operations is not easily known or, in some cases, not known at all. This limits data-driven insights and hampers swift, relevant, decisive action. Both revisionist powers and rogue regimes are competing across all dimensions of power. Near-peer and lesser military adversaries, as well as economic competitors, continue to have advantages over the United States by exploiting our data for strategic, operational, and tactical purposes. This creates significant risk to National Security through latent and less-informed decision-making, loss of economic advantage, uncertain data security, and potentially wasteful usage of scarce resources.

This strategic objective has one purpose, which is to support the National Defense Strategy by providing accurate, real-time data to decision makers. DoD leadership—members of the Office of the Secretary of Defense (OSD), Office of the Chairman of the Joint Chiefs of Staff (CJCS), Military Departments,

Combatant Commands, Defense Agencies and DoD Field Activities (DAFAs), and all other DoD components—require data-driven insights to provide a fair and accurate Department-wide representation of DoD operations and management. Readily available, high quality, trusted data that is complete, correct, and current enables the DoD to manage mission performance and accountability, as well as to prioritize and ensure the best use of resources.

STRATEGIC OBJECTIVE PROGRESS UPDATE:

Constitute a Diverse Data Governance Body - Under Sec 903 of the FY 2020 NDAA, the Office of the CIO (OCIO) became responsible for the Performance Goal - constituting a diverse governance data body. OCIO has acknowledged this responsibility, and has declined to provide a progress update.

Assess Data and Related Infrastructure Maturity – The Business Analytics and Insights Directorate within the OCMO is responsible for this Performance Goal, assessing data and related infrastructure maturity. In each quarter of the performance period, the Data Management and Analytics Steering Committee (DMASC) reviewed data maturity and other data quality measures for Common Enterprise Data in Advana as routine agenda content. Meeting minutes document the review, and the achievement of target data maturity and other data quality measures for Common Enterprise Data in Advana.

STRATEGIC OBJECTIVE NEXT STEPS:

Constitute a Diverse Data Governance Body – OCIO has declined to provide a progress update.

Assess Data and Related Infrastructure Maturity – The Business Analytics and Insights Directorate within the OCMO will continue the current protocol of presenting the Data Management and Analytics Steering Committee (DMASC) with data maturity and other data quality measures for Common Enterprise Data in Advana as routine agenda content.

FY 2020 Summary of Results

PG 3.2.1: Constitute a diverse data governance body		PG Leaders: Office of the Chief Data Officer					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.2.1.1: Hire or assign a Chief Data Officer as a senior level official within the agency in accordance with Evidence Act requirements and forthcoming OMB guidance	Target	Measured Annually			X			
	Actual				X			

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

Per HR 4174, The Foundations for Evidence-Based Policymaking Act (Evidence Act), DoD was instructed to hire a Chief Data Officer (CDO). The CDO will be responsible for data governance and lifecycle data management and meet certain additional requirements of the law.

FY 2020 PERFORMANCE PROGRESS UPDATE:

The Department of Defense hired its first Chief Data Officer in May 2020.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

Hire or assign a Chief Data Officer as a senior level official within the agency in accordance with Evidence Act requirements and forthcoming OMB guidance.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

FY20 NDAA Section 903 directs that CDO report directly to the CIO. The expectation is that CIO would appoint a CDO. The DoD hired its first CDO in May 2020.

IDENTIFY KNOWN RISKS:

CDO role is key in implementing the Foundations For Evidence-Based Policy Act.

MITIGATION EFFORTS: N /A

NEXT STEPS: N /A

PERFORMANCE INFORMATION GAPS: N/A

CHANGED PERFORMANCE GOALS / MEASURES: N /A

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FY 2020 Summary of Results

PG 3.2.2: Assess data and related infrastructure maturity		**PG Leaders:** CMO, Data Insight Directorate					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.2.2.1: DMASC Review of data maturity and quality measures	Target	X	X	X	X	X	X	
	Actual	X	X	X	X			

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

Data quality assessment for Common Enterprise Data in Advana. Data maturity and quality are automatically tracked by data engineering/curation tools including Trifacta, Impala and StreamSets. Results are loaded into the Data Status Tracker. Logs are maintained under retention schedules. Performance is reviewed by the DMASC on a quarterly basis.

FY 2020 PERFORMANCE PROGRESS UPDATE:

All quarterly reviews were conducted with satisfactory results.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

Comprises an operational activity of the Advana support team.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

All targets were met. No challenges were encountered.

IDENTIFY KNOWN RISKS: N /A

MITIGATION EFFORTS: N /A

NEXT STEPS: The plan remains the same.

PERFORMANCE INFORMATION GAPS: N /A

CHANGED PERFORMANCE GOALS / MEASURES: N /A

PERFORMANCE GOALS / MEASURES: N /A

Strategic Objective (SO) 3.3: Improve the quality of budgetary and financial information that is most valuable in managing the DoD

SO Leaders: USD(C)/CFO

STRATEGIC OBJECTIVE OVERVIEW:

The Department will continue to improve financial processes, controls, and information to ensure the highest quality content, analysis, advice, and oversight on all DoD budgetary and financial matters in support of the National Defense Strategy. Auditor findings and recommendations help DoD leaders prioritize improvements, drive efficiencies, identify issues with systems, measure progress, and inform business reform efforts. The outcomes of the audit remediation efforts will include greater financial data integrity, better support for the warfighter, and increased transparency for Congress and the American people.

Implementation Strategy

Two reform efforts are underway to improve the quality of financial and budgetary information. The first reform effort uses findings from the annual financial statement audits to improve financial management and drive better decisions across various lines of business. Auditors identify and report data shortcomings through notices of findings and recommendations (NFRs). The Office of the Under Secretary of Defense Comptroller (OUSD(C)) manages and tracks NFRs. Progress is measured by the closing of audit findings and the downgrading of DoD material weaknesses to significant deficiencies.

The second reform effort, cost management, aims to improve the quality of budget execution data to enable both strategic- and tactical-level business decisions. The cost management team primarily relies on general ledger (GL) data. Where GL data is inaccessible or not well suited to pare costs at required level of granularity, alternative sources are used. The expected outcomes of the cost management effort are:

- Transparency into how current funds are deployed;

- A common source of information and common definitions for capturing costs across the enterprise; and

- An improved ability to articulate and justify investments to support the warfighter.

Both audit feedback and cost management data provide DoD leadership and Components with information to improve business process management. For example, audit NFRs and line of business data generated by the cost management initiative were made available for use by cross-functional teams in FY 2018 to support planning, development, and implementation of reform initiatives that support the broader DoD reform agenda. Both activities have governance processes that ultimately report progress and status to the Deputy Secretary.

STRATEGIC OBJECTIVE PROGRESS UPDATE:

The COVID-19 pandemic forced the Department to reexamine how it conducts business in a new environment. It tested business systems in a way that could not have been done under normal circumstances. The Chief Management Officer (CMO) and Comptroller's partnership behind Advana illustrated the critical role that common sources of advanced data analytics across DoD have in accomplishing the mission.

Realizing the National Defense Strategy goals of reforming the Department for greater performance depends not only on evidence-based decision-making and policy formulation decision-making, but also on solid financial management and the strengthening of internal controls. The Financial Improvement and Audit Remediation (FIAR) strategy and the annual financial statement audit regimen are fundamental components of the strategic approach to reform.

The Comptroller is capturing Notices of Findings and Recommendations (NFR) across the Department to facilitate the review and improvement of the Department's data sources. As a result, the Department has access to real-time information to support not only audit reviews, but also reliable information to support greater reform initiatives across business mission areas. For example, by leveraging the FIAR's NFRs, the CMO and Comptroller are working with their functional partners to address identified areas of improvement in both reporting and recording of inventory. Additionally, the NFRs assist in identifying systematic issues/anomalies to inform reform at a root-cause level. These actions will enable the Department to better manage its inventory needs, while also validating the cost material in transit and in warehouses.

STRATEGIC OBJECTIVE NEXT STEPS:

In FY 2021, the Department continues to develop and complete corrective actions using material weaknesses to prioritize corrective actions.

During FY 2020, the Department expanded its audit priority areas from the four areas focused on in FY 2019 to include four additional priorities. The Department's strategy for addressing these priorities remains on implementing corrective actions that will result in operational improvements that provide the greatest value to the warfighter in the near-term. Although some issues related to these business areas may require long-term solutions (such as retiring legacy systems), the FY 2020 audit priorities contained various opportunities that were immediately actionable at multiple levels throughout the Department.

The FY 2020 audit priorities were:

- Real Property (Existence and Completeness)
- Inventory, and Operating Materials and Supplies (OM&S)
- Government Property in the Possession of Contractors
- Access Controls for IT Systems

- Fund Balance with Treasury

- Financial Reporting Internal Controls

- Joint Strike Fighter Program

- Supporting Audit Progress for DoD Components with Disclaimers of Opinion

FY 2020 Summary of Results

DoD Priority Goal 3.3.1: Complete yearly audits, gain actionable feedback, and remediate findings toward achieving a clean audit opinion for the DoD		**PG Leader:** USD(C)/CFO					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.3.1.1: Percentage of notices of findings and recommendations closed in support of a clean audit opinion for the Department.	Target	Measured Annually			20%	20%	20%	FY 2019: 20%
	Actual				20%			
PM 3.3.1.2: Percentage of established opening balances for the Department's Inventory and Related Property (I&RP) and General Property, Plant and Equipment (GPP&E)	Target	25%	25%	30%	30%	40%	50%	NEW
	Actual	28%	28%	32%	32%			
PM 3.3.1.3: Percentage of universes of transactions (UOT) provided the auditors using the Advana tool for the Fourth Estate	Target	Measured Annually			100%	100%	100%	FY19: 83% FY18: 98%
	Actual				100%			
PM 3.3.1.4: Percentage of reconciliations completed at the transaction level between general ledger and feeder systems for the Fourth Estate.	Target	Measured Annually			80%	TBD	TBD	FY19: 28% FY18: 40%
	Actual				32%			
PM 3.1.1.5: Percentage of service provider audit reports with an unmodified (clean) opinion	Target	Measured Annually			75%	75%	75%	FY19: 48% FY18: 70%
	Actual				48%			
PM 3.1.1.6: Percentage reduction of unsupported Journal Vouchers (over FY 2017) recorded in the Defense Departmental Reporting System	Target	Measured Annually			90%	95%	95%	FY19: 94%
	Actual				95%			

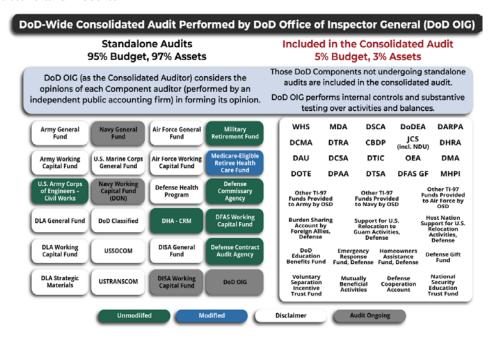| PM 3.1.1.7: Provide report to Congress on Audit results status to include Audit findings and remediation statistics (Recurring in Q1 and Q3) of each fiscal year	Target	X		X			X	X	FY19: Q1 & Q3 FY18: Q1 & Q3
	Actual	X		X					

FY 2020 PERFORMANCE GOAL OVERVIEW:

The financial statement annual audit regimen is foundational to reforming the Department's business practices and consistent with the National Defense Strategy. Data from the audits is driving the Department's strategy, goals, and priorities and enabling leaders to focus on areas that yield the most value to the warfighter. The audits are already proving invaluable and have the potential to support long-term, sustainable reform that could lead to efficiencies, better buying power, and increased public confidence in DoD's stewardship of funds.

FY 2020 PERFORMANCE PROGRESS UPDATE:

Auditors conducted 24 standalone audits of DoD reporting entities and the DoD OIG performed the overarching consolidated audit. The Navy GF and WCF and the DISA WCF audits are still pending. We anticipate the DISA WCF to receive its first unmodified opinion; thus, the Six reporting entities received unmodified opinions, one received a qualified opinion, and four audits are ongoing (see below chart).

FY 2020 Audit Structure and Results

All other DoD reporting entities received a disclaimer of opinion. A disclaimer of opinion means the auditor was unable to obtain sufficient audit evidence on which to base an opinion on the financial statements.

In June 2020, the Financial Improvement and Audit Remediation Report was provided to Congress. A briefing to Congress on Audit and Corrective Action Plan status was conducted the month of July 2020. The Department provided regular communication on the status of the FY 2020 audit and related remediation efforts.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

The January 2018 National Defense Strategy calls for a transformation of how the DoD conducts business. Reforming the Department for greater performance and affordability is one of three lines of effort and an essential part of DoD's approach to achieving its defense objectives.

The annual audit regimen is the cornerstone for future business reform. It forces better business discipline as auditors question the Department's ability to capture, record, and report financial activity and long-standing business practices. It is about more than compliance and financial management. The audit is helping galvanize change that advances cybersecurity, property management, inventory control, and readiness. Most importantly, it results in better data that supports management, decision-making, and the warfighter. The sustained nature of these audits makes sustainable solutions—and sustainable change—more likely.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

The Department uses the number of auditor findings closed and material weaknesses downgraded to a significant deficiency or resolved from year to year as independent benchmarks for measuring progress toward achieving an unmodified opinion. During FY 2020, the Department succeeded in closing over 20% of the NFRs issued during the FY 2019 audit. However, many of the corrective actions the Department has implemented have not been in place long enough for the auditors to validate their effectiveness in addressing the issues identified in the NFRs. As such, the Department anticipates NFRs closing at increased rates over time as the audit and related remediation efforts mature. As the closings of these NFRs grow, the related material weaknesses are expected to be downgraded to significant deficiencies and resolved as the effect of implemented corrective actions continue to manifest themselves for validation by auditors."

IDENTIFY KNOWN RISKS:

The COVID-19 pandemic altered the timing and scope of the FY 2020 financial statement audits and the government-wide financial reporting timeline but not the Department's commitment to the audits or its mission. Throughout the audit, senior DoD leaders in OUSD(C), the Military Departments, and other DoD Components collaborated with the DoD OIG and other auditors to identify alternative procedures to allow audit work to continue while prioritizing the health and well-being of DoD personnel. However, travel

restrictions, mandatory quarantines, and the government-wide policy to maximize the use of telework across the Federal workforce negatively impacted numerous aspects of the audit. For example:

- Audit testing of sensitive activities and areas that must be completed on site were delayed;

- Inventory, OM&S, and General PP&E, areas that required physical access to assets and documentation were heavily affected; and

- Site visits were postponed or canceled.

Despite these challenges and audit impacts, all of the standalone audits completed to date that received unmodified opinions in FY 2019 successfully sustained an unmodified opinion in FY 2020

MITIGATION EFFORTS:

The Department's first priority during the pandemic, the health and safety of its workforce, is being balanced against audit and financial reporting requirements as well as corrective actions. DoD financial managers have worked hard to find creative solutions that kept corrective actions and the FY 2020 audits on track as much as possible. Until there is more information on adjustments to travel restrictions, telework, and personnel returning to work locations, the true effect of the COVID-19 cannot be known. A recent survey sought to better understand how DoD Component FY 2020 audits and plans to correct findings from prior years' audits are being affected by the COVID-19 pandemic.
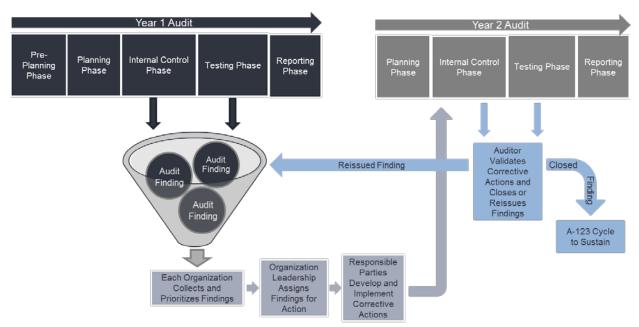
NEXT STEPS:

Audit results and insights into DoD operations are reshaping how Department leaders establish priorities, apply solutions, and track and manage progress across the Department for greater business reform. The FY 2019 priority areas (Inventory, Real Property, IT Access Controls, and Government Furnished Property) were expanded to include Fund Balance with Treasury; Financial Reporting Internal Controls; the Joint Strike Fighter Program; and advancing Components from a disclaimer of opinion, to a modified or unmodified opinion.

In FY 2019, the first real remediation year, the Department focused heavily on tracking corrective action plans and NFR closure progress. As the audits expand and evolve, so, too, does the Department's ability to prioritize findings, forecast timeframes and closure rates, and track dependencies. In FY 2020, the Department began using material weaknesses to prioritize corrective actions and strategically move the Department closer to an unmodified opinion.

The chart below provides a visual of how the annual audit feedback cycle works.

DoD's Audit Feedback Cycle

Leadership has been actively engaged in overseeing the progress of CAPs. The Department established functional councils that meet regularly to share best practices and collaborate on solution development for NFRs that are DoD-wide issues. The Deputy Secretary of Defense meets periodically with Military Department Under Secretaries and management to review audit NFR and CAP metrics using the Advana NFR database. The NFR database uses near real-time data, providing leadership with visibility into the current status of all NFRs and CAPs across the Department.

PERFORMANCE INFORMATION GAPS:

The number of auditor findings closed and material weaknesses downgraded from year to year is the independent benchmark for measuring progress toward achieving an unmodified audit opinion. During FY 2020, the Department estimated closure of over 20% of the NFRs issued during the FY 2019 audit. However, many of the corrective actions implemented were not in effect long enough for the auditors to validate their effectiveness in addressing the issues identified in the NFRs. As such, the Department anticipates actual NFRs closure rate for NFRs issued during the FY 2019 audit will not be available until March 2021.

CHANGE PERFORMACE GOALS / MEASURES: N/A

FY 2020 Summary of Results

PG 3.3.2: Sustain DoD enterprise cost management decision frameworks to support the Department in finding more cost effective ways of managing the various lines of business							PG Leader: USD(C)/CFO		
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.3.2.1: Sustain lines of business (LOB) cost framework data relevance.	Target	75%	100%			Qtrly updates for 100% of financial data	Qtrly updates for 75% of Non-financial data	Automated update from database to visualizations for 50% of data sources.
	Actual	92%	100%					

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

To implement and sustain the enterprise cost management decision (ECM) frameworks to support the Department in better predicting expenditures, executing budgets, and maximizing resources. Cost management is the management of information used for budgeting, estimating, forecasting, and monitoring costs. In today's resource-competitive environment, the ability to reduce and manage costs strategically is critical. Cost management directly supports reforming DoD for greater performance and affordability, the third line of effort in the National Defense Strategy.

FY 2020 PERFORMANCE PROGRESS UPDATE:

Standardization of data ingestion to support ECM model refresh for all lines of business is adhering to schedule. Data collection efforts are beating target goals and initial automation efforts were able to begin ahead of schedule.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

Performance targets were met in second quarter FY 2020 and completes the performance metric for this fiscal year.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

In second quarter of FY 2020, the Department collected 26 of 26 data sources, meeting the target of 100 percent collection. This enabled initial development of logic to address year-end goals of increasing update frequency and drive automation.

IDENTIFY KNOWN RISKS: N/A

MITIGATION EFFORTS: N/A

NEXT STEPS:

Collect remaining two data sources (DEPARC & MHS MDR) and continue logic development to support update frequency and automation.

PERFORMANCE INFORMATION GAPS: N/A

CHANGED PERFORMANCE GOALS / MEASURES: N/A

FY 2020 Summary of Results

PG 3.3.3: Sustain a Professional Certified Financial Management Workforce		PG Leaders: USD(C)/CFO					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.3.3.1: % of Financial Management Workforce Members in Good Standing	Target	Measured Annually			95%	95%	95%	NEW
	Actual				98%			

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

The Department needs a well-trained financial workforce, with the requisite knowledge, skills, and abilities to provide decision support and analysis; both are crucial in supporting the Department's efforts to achieve auditable financial statements. The goal of the financial management (FM) workforce portfolio is to improve DoD's FM capabilities through training and development programs and initiatives that are focused on DoD FM competencies, to include decision support and analysis competencies. The Office of the Secretary of Defense Functional Community Manager (OFCM) for FM supports the Department's efforts to educate, train, and retain a qualified FM workforce.

OUSD(C)/CFO, in consultation with the Office of the Under Secretary of Defense for Personnel and Readiness (OUSD(P&R)) and the DoD Components, developed a mandatory FM training and development program, the DoD FM Certification Program (DFMCP), to effectively educate, train, and certify FM personnel (civilian and military). The DFMCP includes key FM and leadership competencies as its foundational framework and consists of three levels of certification. The DFMCP ensures the FM workforce receives course-based training in competencies applicable to FM mission requirements. To

better assist commanders and managers in using information to make decisions, the DFMCP also provides a mechanism to ensure the FM workforce is meeting critical training requirements in areas such as auditable financial statements, fiscal law, and decision support.

The DoD FM workforce is comprised of approximately 55K civilian and military personnel of various FM disciplines. Attainment of FM certification is a requirement for all FM workforce members. The DFMCP continues to be the mechanism to ensure the FM workforce receives required FM and leadership focused training and development.

The Department has many FM workforce programs, projects, and initiatives to further develop and sustain a well-trained FM workforce that can effectively meet the Department's strategic FM objectives, captured in the FY 2019-2023 FM Strategic Workforce Plan (SWP). The FM workforce also provides critical enabling support to the Department's FY 2018 National Defense Strategy. The FY 2019-2023 FM SWP aligns to both the first line of effort (to rebuild military readiness as we build a more lethal Joint Force) and the third line of effort (reform the Department's business practices for greater performance and affordability). The FM workforce supports the first line of effort through strategies and initiatives in the OUSD (P&R) Human Capital Operating Plan. Additionally, the FM workforce supports the Department's strategic objective 3.3 (Improve the quality of the budgetary and financial information that is most valuable in managing the DoD). Key initiatives in the FM workforce portfolio align with the guidance in the President's Management Agenda and the DoD Agency Reform Plan.

FY 2020 PERFORMANCE PROGRESS UPDATE:

Reported annually per the table above.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

The FY 2020 performance measure represents the percentage of FM workforce members in good standing, which is the percent compliant in both initial certification and continuing education training. Attainment of FM Certification is a requirement for all FM workforce members.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

The Department was able to sustain a professional, certified FM workforce through senior leadership, Component, and Department-wide workforce engagement. Progress for the DFMCP in FY 2020 resulted in the sustainment of 98% of the FM workforce in good standing, with over 39K FM members certified at the end of the fiscal year. The FM workforce is defined as civilian occupations with position descriptions designating DFMCP as a condition of employment (primarily 05XX series) and designated military FM positions. The Department's FM workforce continued to utilize various methods to obtain initial certification and to meet continuing education training requirements. One of the methods is the utilization of the 81 web-based course (WBC) curriculum developed by OUSD(C). All WBCs continue to be available for Department-wide use and at no cost to Components. WBC completion rates continued to increase, with over 149,000 instances of completed courses in FY 2020, a 19% increase over FY 2019. Additionally, there was a 52% increase in the monthly average WBC completion rate during the first 3 months of the

COVID-19 telework environment (March through May). To further expand professional training opportunities, in FY 2019, OUSD(C) implemented an instructor-led, Virtual Training (VT) Program that offers a curriculum of FM and leadership courses at no cost to FM workforce members in the DFMCP. In FY 2020, FM workforce members completed over 12,500 hours of VT courses. Overall, the DFMCP metric has not been impacted by COVID-19. All DFMCP related actions, access to and completion of courses in the 81 WBC curriculum, and courses in the VT program can be completed online by the members of the FM workforce and are conducive to a telework environment.

OUSD(C) is developing a tool that will replace the FM Learning Management System and will improve the tracking and reporting of DFMCP certification. This tool, the Certification Tracking and Reporting Tool, will revolutionize user experiences by reducing the amount of user actions required to record certification achievements.

In FY 2020, the FM workforce governing bodies met as follows: DoD Senior FM Leadership Group met once; the FM Component Functional Community Manager (CFCM) Advisory Board met seven times; the FM CFCM Working Group met three times. The USD(C) chaired the Senior FM Leadership Group and the OFCM chaired each of the latter two meetings and provided guidance and assistance to the various CFCMs on sustainment of progress and momentum of the DFMCP and other FM workforce initiatives.

In FY 2020, the DoD FM workforce continued to execute programs, projects, and initiatives related to the goals and objectives in the DoD FY 2019-2023 FM SWP. These programs, projects, and initiatives are all designed to build and maintain the technical and leadership competence of individual FM members in support of DoD's strategic objectives, and include new efforts in talent development, succession planning, career broadening, and leadership development opportunities. The FM workforce's data analytics and audit capabilities were improved by leveraging new tools, technological innovations, and training. Communications and stakeholder outreach were improved through engagement in Federal and Department-wide FM workforce initiatives and information sharing forums. Finally, existing hiring vehicles were used to attract highly qualified candidates into the workforce.

In FY 2020, OUSD(C) continued to execute its cross-Component developmental assignment program, FM STARs, and respond to the challenges presented by COVID-19. The FM STARs Program is designed to foster a strong, trained, agile and ready (STAR) workforce, which is in alignment with the FM SWP and in support of the DFMCP. The purpose of the program is to provide opportunities for members of the FM civilian workforce to advance their breadth of knowledge and experience through three-to-six month developmental assignments in other Components. FM STARs is also an FM workforce retention tool. Since approval of the pilot in FY 2019, FM STARs experienced a 35% increase in approved participants. Despite COVID-19 restrictions, 76% of the participants were able to complete at least a 90-175 day developmental assignment.

OUSD(C) partnered with the Naval Postgraduate School (NPS) to offer a new educational opportunity to the FM workforce, the DoD FM Graduate Certificate Program (DFMGCP). The first cohort of the DFMGCP will commence in FY 2021. This program is a virtual, synchronous, 15-month, graduate-level

certificate program with tracks in audit and data analytics. The goals of the DFMGCP are to further career growth and professional development of high-potential FM workforce members.

IDENTIFY KNOWN RISKS: N/A

MITIGATION EFFORTS: N/A

NEXT STEPS: N/A

PERFORMANCE INFORMATION GAPS: N/A

CHANGE PERFORMACE GOALS / MEASURES: N/A

STRATEGIC OBJECTIVE OVERVIEW:

As described in the Strategic Objective Overview, USD (A&S) continues to lead the development of the re-designed and re-written policies that together will guide the operation of the defense acquisition system. The initiative is making steady progress. The principal objectives were satisfied by the end of the 4th quarter 2020.

STRATEGIC OBJECTIVE PROGRESS UPDATE:

During FY 2020, USD(A&S) completed development of the principal DoD policy directive that guides the operation of the defense acquisition system, and the seven supporting DoD Instructions that detail the adaptive acquisition framework and individual pathway procedures. In addition, fourteen supporting functional instructions in key areas such as testing, engineering, cost estimating and security either have been completed or are nearing completion. COVID-19 did not result in any significant delays in development or publication of the principal DoD policy directives.

Support of accelerated acquisition by Joint Rapid Acquisition Cell (JRAC) continued under the Joint Urgent Operational Need (JUON) and Joint Emergent Operational Need processes continued to fulfill JS-validated Combatant Command requirements. In response to COVID-19 related activity JRAC absorbed the emergent Defense Assisted Acquisition Cell, the single point of entry into DoD for providing acquisition capabilities to the Interagency.

STRATEGIC OBJECTIVE NEXT STEPS:

Complete development of remaining functional instructions necessary to fully enable the operation of the defense acquisition system.

Perform the USD(A&S) JRAC tasks associated with the Adaptive Acquisition Framework, against measurable objectives going forward.

FY 2020 Summary of Results

PG 3.4.1: Implement Acquisition Reform by simplifying, delivering faster and becoming more data driven		PG Leader: USD (A&S)						
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.4.1.1: Re Write DoD 5000managers FY 2019 Qtr2	Target	X	X	X	X			
	Actual	X	X	X	X			
PM 3.4.1.2: Create Security as a Requirement	Target		X	X				
	Actual		X	X				
PM 3.4.1.3: Develop Modern SW Including Agile	Target		X					
	Actual		X					

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

USD (A&S) continues to lead the development of the re-designed and re-written policies that together will guide the operation of the defense acquisition system. The initiative is making steady progress. The principal objectives were satisfied by the end of the 4th quarter 2020.

FY 2020 PERFORMANCE PROGRESS UPDATE:

DoDI 5000.85, Major Capability Acquisition, was signed and issued, as were the supporting instructions: DoDI 5000.84, Analysis of Alternatives; DoDI 5000.83, Technology and Program Protection to Maintain Technological Advantage; and DoDI 5000.86, Acquisition Intelligence.

On 28 September 2020, USD(A&S) approved the DoD Instruction for the Operation of the Software Acquisition Pathway (DoDI 5000.87). This culminated an intense period of OSD and Component collaboration and drew from the lessons learned from the Agile Pilot Program (2018 NDAA Sec 873 and 874). This milestone was accomplished 90 days earlier than promised and a full year earlier than Congressional expectation in the law. A&S assisted programs with advice and guidance to enable pathway adoption and increase the probability of successful program capability execution and delivery. Delivered

outreach and training consisting of conference speeches, webinars, industry roundtables, community of interest website resources, and material for integration into DAU training courses, as well as guest lecturing in DAU senior software courses.

NEXT STEPS:

The next steps to continue implementing acquisition reform include evolving and enhancing the AAF based on feedback from the acquisition workforce and industry; tailoring policy for unique acquisitions such as space and ships; and incorporating the Adaptive Acquisition Policy Framework in Defense Acquisition University curriculum and service acquisition   policy; and maintaining an active and aggressive outreach campaign with the workforce and industry. AE will also continue to implement reform by quantifying and assessing outcomes and improving existing policies, along with documenting and publishing best practices.

By the end of the first quarter FY 2021, there will be substantive updates to companion guidance for DoDI 5000.87 (Operation of the Software Pathway) available on the AAF website to include FAQs and insights learned from early program adoption/transition. By the end of the second quarter FY 2021, the FY 2020 NDAA Section 800 Report to Congress on Software Pathway implementation, will complete coordination, be approved by USD(A&S), and be submitted to the Congressional Defense Committees.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 3.4.1.1: DoDI 5000.85, Major Capability Acquisition, was published 6-Aug-20.

PM 3.4.1.2: DoDI 5000.83, Technology and Program Protection to Maintain Technological Advantage, was published 20-Jul-20. Completed all preparatory actions for issuance of DoDI 5200.39, Critical Program Information (CPI) Identification and Protection within Research, Development, Test, and Evaluation (RDT&E), Change 3. Change 3 was published 1-Oct-20.

PM 3.4.1.3: Completed all preparatory actions for issuance of DoDI 5000.87, Operation of the Software Acquisition Pathway. Document published 2-Oct-20.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 3.4.1.1: DoDI 5000.85, Major Capability Acquisition, was published 6-Aug-20.

PM 3.4.1.2: DoDI 5000.83, Technology and Program Protection to Maintain Technological Advantage, was published 20-Jul-20. Completed all preparatory actions for issuance of DoDI 5200.39, Critical Program Information (CPI) Identification and Protection within Research, Development, Test, and Evaluation (RDT&E), Change 3. Change 3 was published 1-Oct-20.

PM 3.4.1.3: Completed all preparatory actions for issuance of DoDI 5000.87, Operation of the Software Acquisition Pathway. Document published 2-Oct-20. Final SW instruction issued 2 Oct 20.

Delivery of the DoDI 5000.87 early has allowed more programs to actively explore transitioning to this more modern approach that streamlines iterative delivery of more secure software capabilities, in less time.

Direct user involvement in annual Value Assessments will keep programs accountable to persevere or pivot.

IDENTIFY KNOWN RISKS:

COVID-19 did not result in any significant delays in development or publication of the principal DoD policy directives.

MITIGATION EFFORTS:

Continued direct management attention by the USD(A&S).

NEXT STEPS:

DoDI 5000.UG, Major Capability Acquisition; DoDI 5000.cs, Cybersecurity; DoDI 5000.UL, Technology and Program Protection; and DoDI 5000.UD, Acquisition Intelligence, proceeded through the final steps in the issuance development process and published by the end of 2020.

DoDI 5000.UM, Analysis of Alternatives (AoA); DoDI 5000.UQ, Product Support Management; and DoDI 5240.25, Counterintelligence Support to Research, Development and Acquisition issued by the end of FY2020.

DoDI 5200.39, Critical Program Information (CPI) Identification and Protection within Research, Development, Test, and Evaluation (RDT&E); and DoDI 5200.XX, Acquisition Security are expected to be issued by the end of this calendar year.

PERFORMANCE INFORMATION GAPS:

The following performance goals proceeded through the final steps in the issuance development process and published by the end of October 2020:

DoDI 5000.UQ, Product Support Management expected to be issued by the end of Q1 FY 2021.

DoDI 5200.XX, Acquisition Security is expected to be issued by the end of this calendar year.

CHANGED PERFORMANCE GOALS / MEASURES:

Completed all preparatory actions for issuance of DoDI 5000.87, Operation of the Software Acquisition Pathway. Document published 2 Oct 20. Final SW instruction issued 2 Oct 20. Anticipated publication was FY 2021.

FY 2020 Summary of Results

PG 3.4.2: Develop Analytical Framework to Support Data Driven Decisions		PG Leader: USD (A&S)						
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.4.2.1: Develop Analytics Framework	Target		X					
	Actual		X					

FY 2020 PERFORMANCE GOAL OVERVIEW:

Improving acquisition results (cost, schedule, performance) by gathering and distributing data, best practices and lessons learned across the Services

FY 2020 PERFORMANCE PROGRESS UPDATE:

OUSD(A&S) has successfully established the Analytics Framework by meeting milestones by the target date to improve acquisition outcomes via gathering and distributing acquisition data, best practices and lessons learned across the Services. Challenges to this performance goal will continue to be gaps in data, specifically, data that has not available to answer the organization's strategic questions. Publishing the Performance of the Defense Acquisition System (PDAS) Excerpts, creation of Acquisition Analytics Apps independently and in collaboration with the Advana tem in the Advana analytics environment to support the USD(A&S) and Secretary of Defense to answer OUSD(A&S) and the Department's acquisition strategic questions.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

Establishment of the Analytics Framework allows for OUSD(A&S) departments to be able to gather, synthesize, analyze, and visualize acquisition data to ultimately support the USD(A&S) in answering strategic questions internal and external to the organization. The Analytic Framework also provide analytic training to its personnel to make its workforce more data and analytics literate. Finally, the Analytic Framework ensures that OUSD(A&S) is aligned with the Secretary of Defense's initiative to centralize analytics in the common Advana environment where DoD personnel can access all of the Departments analytic resources.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

In the past quarter OUSD(A&S) developed an Analytic Framework to support data driven decisions centered around the Principal Deputy Assistant Secretary of Defense, Acquisition enablers PDASD(AE). The organization's strategic questions were gathered. Additional strategic questions continue to be gathered, refined, and triaged for answerability. Data gaps to answer strategic questions are continually addressed. Reproducible data analytics products were created and continue to be created from answerable strategic questions using industry standard analytic tools in the Defense Acquisition Visibility Environment (DAVE) and the Advana environment. An Acquisition Analytics Board was established to convene semiannually as part of the Acquisition Visibility Steering Group as a venue for OUSD(A&S), OSD, and the services to discuss and make decisions regarding acquisition analytics. The Acquisition Analytics Board convened April 2020 and featured how the services can collaborate more in the Advana environment to support the SAE as well as the Deputy Secretary of Defense analytic initiatives. OUSD(A&S) also sponsors a quarterly Acquisition Analytics Forum where action officers from OSD, the Services, and FFRDC's discuss acquisition related analytics in the Department. OUSD(A&S) continues to create an analytics and data literate acquisition workforce by providing data science and analytic coursework via DAU's partnership with Coursera. Fifteen percent of the OUSD(A&S) civilian and military workforce is currently enrolled in Coursera online data science courses. An analytics guide will be created instead of a rigid analytic policy document to inform the acquisition workforce of analytic best practices to improve acquisition outcomes. Finally, OUSD(A&S) has partnered with the OUSD(C) Advana team to automate some parts of OUSD(A&S) deliverables to the Defense Management Advisory Group (DMAG) as per the Deputy Secretary of Defense.

Significant challenges to establishing the Analytics Framework were mitigating data gaps to answer strategic questions and gathering follow on strategic questions from DASD's. OUSD(A&S)/ASD(A)/AE/AAP published the 2017 and 2018 PDAS Excerpts to the AAP website. This effort provides an outwardly facing acquisition health metrics document regarding cost and schedule that can be accessed by entities internal and external to the DoD.

IDENTIFY KNOWN RISKS:

The Analytics Board, AVSG, Data and Analytics Strategy Update meeting, and Acquisition Forum are venues where risks to the Analytic Framework was assessed and mitigated. These venues have ensured that the Analytic Framework was successfully established in Q2 FY 2020.

MITIGATION EFFORTS:

Although successfully established by the Q2 target, the Analytics Framework will be continually improved upon. Constant communication via the venues discussed above will ensure that the Analytic Framework will successfully answer the organizations strategic questions, train the workforce analytically, and provide a common environment to conduct acquisition analytics.

NEXT STEPS:

The performance milestones and target date were successfully met in Q2 FY 2020, however, OUSD(A&S) will continue to strive to improve the Analytic Framework through constant communication among stakeholders internal and external to OUSD(A&S) in upcoming FYs.

PERFORMANCE INFORMATION GAPS:

Current information gaps that may affect performance of the Analytic Framework include unidentified data that exists in some Adaptive Acquisition Pathways (such as Defense Business Systems and Software) that AE is working diligently with pathway owners and the services at the AVSG and through data governance initiatives to mitigate.

CHANGED PERFORMANCE GOALS / MEASURES:

The original goal to develop an analytic framework was successfully accomplished by the Q2 2020 suspense. As such the performance goal has been revised to "Deploy the Analytic Framework" and the metric to measure success of this goal is the number of acquisition analytic applications that are developed per quarter beginning first quarter FY 2021 and extending into 4th quarter 2022. This metric identifies how well the deployment of the analytic framework produces actionable decision making tools in the Advana environment to answer the organization's strategic questions at all levels.

FY 2020 Summary of Results

PG 3.4.3: Translate Statute into Streamlined Acquisition Policy with Business Processes that Keep Pace with Technology		PG Leader: USD (A&S)						
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.4.2.1: Enhance currency and efficiency of contracting regulations	Target	X	X	X	X			
	Actual	X	X	X	X			
PM 3.4.2.2: Access emerging technologies through Other Transactions	Target	X	X	X	X			
	Actual	X	X	X	X			

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

Partner with Congress on legislative initiatives, increase currency of contracting regulations, reduce burden of contracting regulations and establish effective partner engagements.

FY 2020 PERFORMANCE PROGRESS UPDATE:

During FY 2020, OUSD(A&S) directed its focus to the Coronavirus (COVID-19) pandemic response through proactive, immediate actions by implementing Congressional direction, empowering the contracting workforce, and ensuring a healthy defense industrial base through continued guidance and direction. In addition, A&S took measures to ensure the widest dissemination of COVID-19 related guidance to the contracting community. Despite this shift in priorities, A&S continued to update and streamline contracting regulations (PM 3.4.3.1) and promote Other Transactions (PM 3.4.3.2).

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 3.4.3.1: A&S is enhancing the currency of contracting regulations in order to enable simplified and efficient contracting by identifying DFARS regulations for repeal and implementing new regulations.

PM 3.4.3.2: A&S is promoting the use of OT authority through the development of guidance and advocacy for their use, while conducting outreach through the events such as the OT Roundtable and the OT Community of Practice.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 3.4.3.1:

During Q4 FY 2020, along with supplemental policy guidance, A&S issued the following class deviations to the DFARS in response to COVID-19:

- "Guidance for Assessment of Other COVID-19 Related Impacts and Costs" on July 2, 2020, which provides guidance to contracting community in assessing costs brought on by COVID-19.

- Class Deviation 2020-O0013 Revision 1, "CARES Act Section 3610 Implementation" (issued on April 8, 2020 and subsequently rescinded and superseded by Revision 1 on August 17, 2020). This deviation provides a framework for implementing the requirements of section 3610 of the CARES Act within existing acquisition procedures. The revision provides contracting officers with timely clarification on the allowable amount available for reimbursements under Section 3610; and, in response to Office of Federal Procurement Policy guidance, updates the time period in which paid leave must be taken in order to be reimbursable under Section 3610.

- Class Deviation 2020-O0021, "Section 3610 Reimbursement Requests" (issued on August 17, 2020). This deviation provides a consolidated and comprehensive resource on DoD-wide policy and guidance for contracting officers to utilize when reviewing and processing contractor requests for reimbursement under Section 3610.

In addition, actions taken in response to COVID-19, A&S issued or published the following class deviations or amendments to the DFARS in order to update and streamline contracting regulations that enhance the utility and responsiveness of the workforce:

- Class Deviation 2020-O0019, "United States-Canada-Mexico Agreement" (issued on July 1, 2020 and subsequently rescinded and superseded by Revision 1 on August 14, 2020). This deviation updates acquisition procedures to conform to chapter 13 of the United States-Mexico-Canada Agreement (USMCA), as enacted by Congress in the United States-Mexico-Canada Agreement Implementation Act (Pub. L. 116-113). The USMCA supersedes the North American Free Trade Agreement requirements in Federal procurement rules and regulations.

- Deviation 2020-O0022, "Prohibition of Providing Funds to the Enemy and Authorization of Additional Access to Records" (issued on August 28, 2020). This deviation implements section 841 of the NDAA for FY 2015, as amended by section 822 of the NDAA for FY 2020, and section 842 of the NDAA for FY 2015. This deviation updates acquisition procedures to expeditiously respond to current events by: authorizing contracting officials to terminate contracts and restrict future awards to any person/entity that is actively opposing U.S. or coalition forces involved in a contingency operation in which members of the Armed Forces are actively engaged in hostilities; and granting DoD additional access to contractor/subcontractor records to ensure that funds available under covered contracts are not provided directly or indirectly to any such person or entity.

- DFARS Case 2019-D041, "Assessing Contractor Compliance with Cybersecurity Requirements" (published on September 29, 2020 – Effective November 30, 2020). This rule updates acquisition policies and procedures in response to critical DoD cybersecurity needs by: implementing an assessment of a contractor's implementation of cybersecurity requirements, and enhancing the protection of unclassified information within the DoD supply chain, through the use of the National Institute of Standards and Technology, Special Publication 800-171-DoD Assessment Methodology and the DoD Cybersecurity Maturity Model Certification framework.

- DFARS Case 2020-D007, Restriction on the Acquisition of Tantalum (published on September 29, 2020). This rule updates acquisition procedures to expeditiously respond to current events by implementing section 849 of the NDAA for FY 2020. Section 849 adds tantalum to the definition of "covered materials" in 10 U.S.C. 2533c, which, with some exceptions, prohibits the acquisition of any covered material (e.g., samarium-cobalt magnets, neodymium-iron-boron magnets, tungsten metal powder, and tungsten heavy alloy) melted or produced in North Korea, China, Russia, or Iran, or any end item, manufactured in those countries, that contains a covered material.

A&S published, in conjunction with GSA, NASA, and OFPP, two FAR cases to implement Sections 889(a)(1)(A) and (a)(1)(B) of the NDAA for FY 2019. These rules update acquisition procedures to

expeditiously respond to Federal cybersecurity needs by establishing prohibitions related to specific equipment and services from certain Chinese entities.

As of Q4, A&S reduced DFARS regulations by 11% with 40 DFARS clauses repealed. Five additional clauses are on track for repeal by Q1 FY 2021, and, 9 additional clause repeals are contingent on actions by other agencies and DoD legislative proposal process.

PM 3.4.3.2:

A&S issued guidance memoranda in response to key focus areas such as COVID-19 and Section 889(a)(1)(B):

- "Implementation Guidance for Section 3610 Reimbursement Requests on Other Transactions for Prototype Projects" on August 17, 2020, which provides updated guidance on reimbursement requests for Other Transaction for Prototype Project agreements as related to the implementation of Section 3610 of the CARES Act and the related Class Deviation 2020-O0013.

- "Implementation Guidance for Section 889(a)(1)(B) Prohibition on Contracting with Entities Using Certain Telecommunications and Video Surveillance Services or Equipment on Other Transactions for Prototype Projects" on August 14, 2020.

A&S continues to review the use of Other Transactions and based on the data available and analyzed in FPDS for FY 2018 through FY 2020, the usage of OTs has significantly increased from $3.9B in FY 2018 to $7.4B in FY 2019. This increased level of usage continued in FY 2020, with $16 B obligated through Q4 ($7.6 B of which was obligated in response to COVID-19).

IDENTIFY KNOWN RISKS:

COVID-19:

- A&S has devoted significant energy into responding to the COVID-19 pandemic by setting up task forces to support the overall DoD response, developing policies to support the acquisition workforce and defense industrial base, and working to implement Congressional direction. As this pandemic continues to affect the nation, its impacts on the Department moving forward largely remain unknown.

PM 3.4.3.1:

- Volume of changes in the NDAA impact work in progress.

- FAR rules are developed in conjunction with GSA, NASA, and OFPP while requiring clearance from OMB.

PM 3.4.3.2:

- Currently relying on incomplete data captured in the Federal Procurement Data System–Next Generation (FPDS-NG) to assess use of OTs.

- DAU Simulations and Workshops POC is vacant creating risk for continued workshops.

MITIGATION EFFORTS:

PM 3.4.3.1:

A&S maintains continuous engagement with internal and external stakeholders to promote partnership through participation in periodic FAR Council meetings, weekly DAR Council meetings, quarterly Chief Acquisition Officer Council meetings, public meetings, and industry association meetings. Additionally, A&S actively participates in monthly Congressional engagement meetings to address ongoing focus areas.

PM 3.4.3.2:

- A&S is working with Components to establish a standard reporting format to fill gaps in FPDS-NG data that will be consolidated for transmission in the quarterly and annual reports to Congress. The longer term mitigation strategy is to update FPDS-NG to provide a more comprehensive data collection processes for the quarterly and annual reporting requirements.

- A&S is working to fill gap created by vacancy of DAU Simulations and Workshops POC.

NEXT STEPS:

PM 3.4.3.1:

When an FY 2021 NDAA is enacted, develop and publish implementing FAR and DFARS regulations. Continue to support COVID-19 recovery efforts, implement timely revisions to the FAR and DFARS while continuing to implement NDAA provisions, Executive Orders, DoD and other Agency contracting policies, and continue the process to repeal five DFARS clauses by Q1 FY 2021.

PM 3.4.3.2:

- A&S continues to work on revision of 32 CFR 3, Transactions Other Than Contracts, Grants, or Cooperative Agreements for Prototype Projects, to reflect current statutes that have not been updated in 16 years. No new requirements are added but the revision will make the CFR consistent with the current law in 10 USC 2371b.

- A&S is reviewing and updating the OT guide with the goal of improving utility through changes that promote operational use and reduce barriers to execution.

- A&S continues to work with the components to establish standard reporting formats to improve future collection of OT data in support of the congressional reporting requirements. The planned reporting format will improve transparency and accountability on the use of OTs for prototype projects. These changes will help increase visibility and tracking of all prototype OT actions, including those issued under consortia arrangements.

- Going forward, the Department plans to submit the annual reporting requirement for DoD's Use of OTs in FY 2020 under section 873 of the FY 2019 NDAA; the second, third, and fourth quarterly

reporting requirements under the JES Appropriations Act, 2019; and any Use of OTs subject to section 13006 of the Coronavirus Aid, Relief, and Economic Security Act, by the end of December 2020.

PERFORMANCE INFORMATION GAPS:

No information gaps exist for implementation of contracting regulations (PM 3.4.2.1). As of Q4, A&S reduced DFARS regulations by 11% with 40 DFARS clauses repealed. Five additional clauses are on track for repeal by Q1 FY 2021, and, 9 additional clause repeals are contingent on actions by other agencies and DoD legislative proposal process.

A&S continues to review the use of OTs based on the data available and analyzed in FPDS-NG. Due to the incomplete nature of OT data available in FPDS-NG, A&S is working with Components to establish a standard reporting format to fill gaps. For FY 2018 through FY 2020, the usage of OTs has significantly increased from $3.9B in FY 2018 to $7.4B in FY 2019. This increased level of usage continued in FY 2020, with $16B obligated through Q4 ($7.6 B of which was obligated in response to COVID-19).

CHANGED PERFORMANCE GOALS / MEASURES:

There are no performance goal changes to PG 3.4.3 since the publication of the Annual Performance Plan.

FY 2020 Summary of Results

PG 3.4.4: Develop Analytical Framework to Support Data Driven Decisions		PG Leader: USD (A&S)						
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.4.4.1: Efficient contracting for major program acquisition	Target	X	X	X	X			
	Actual	X	X	X	X			
PM 3.4.4.1: Efficient contracting for all contracting lanes	Target	X	X	X	X			
	Actual	X	X	X	X			

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

In order to enable contracting at the speed of relevance, OUSD(A&S) intends to reduce Procurement Administrative Lead Time (PALT) on major program acquisitions. Furthermore, OUSD(A&S) will maximize efficiency within each contracting "lane" for buys ranging from major program acquisitions to micro-purchases. Coordinate rapid capability delivery with solution sponsors and Combatant Commands in response to validated urgent operational needs. Ensure the DA2 Cell can provide effective support to interagency partners in preparations for and in the event of a crisis within the Homeland.

FY 2020 PERFORMANCE PROGRESS UPDATE:

During FY 2020, OUSD(A&S) directed its focus to the Coronavirus (COVID-19) pandemic response through proactive, immediate actions by implementing Congressional direction, empowering the contracting workforce, and ensuring a healthy defense industrial base through continued guidance and direction. In addition, A&S took measures to ensure the widest dissemination of COVID-19 related guidance to the contracting community. Despite this shift in priorities, A&S made unabated strides in the reduction of PALT on buys from major program acquisitions to micro-purchases by maximizing efficiency within each contracting "lane." In Q4, A&S shifted its analysis from spending for FY 2019 (deep dive), to analysis and monitoring of contract awards in response to COVID-19. A&S also conducted numerous peer reviews to uncover best practices such as use of options, and promoted automated contract closeout to champion streamlined processes utilized by our workforce. Efforts are also underway to review current pilot program value to continue offering the most efficient strategies to the workforce.

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FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 3.4.4.1 and PM 3.4.4.2:

eBusiness Initiatives

- Procure-to-Pay Requirements for Data Exchanges ("Handshakes 1-9")

    o OUSD(A&S) and OUSD(Comptroller) are jointly developing standard procedures to address how the requirements, procurement, accounting, and entitling communities should conduct business across nine critical data exchanges (or "handshakes") when executing Procure to Pay (P2P) transactions. Procure to Pay is a term used to describe one End to End set of procedures in the DoD business enterprise architecture. Standard Operating Procedures and metrics have already been published for seven of the nine handshakes.

Spend Analysis (PALT)

- As the data fields required for tracking PALT, solicitation date and award date, are available in FPDS as of July 2018, two full Fiscal Years of PALT data (FY 2019 and FY 2020) are now available for analysis to include trends. Analysis of spend data is ongoing as the data fields enabling PALT tracking were implemented in FPDS as of July 2018. A&S was analyzing top-level PALT data to determine lanes for granular analysis, until Q2 when its focus shifted to analysis and monitoring contract awards in response to COVID-19.

Pilot Programs

- Pilot programs authorized through the NDAA, allow the workforce to save resources by speeding up the acquisition process. Input regarding pilot program effectiveness is vital to determine future utilization. Feedback includes resources saved such as time and money, as well as overall impact on the Command.

Peer Reviews

- A&S reviews procurements in excess of $500 M that require the submission of cost and pricing data to not only share best practices, but also conduct analyses of the information obtained. One such measure is tracking the use of options to determine potential savings on PALT.

Assigned solution sponsors to resolve all validated urgent operational needs and Defense Assisted Acquisition efforts.

Ensured rapid delivery of material solutions to Combatant Commands to fulfill validated urgent operational needs and Defense Assisted Acquisition efforts.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 3.4.4.1 and PM 3.4.4.2:

Procure-to-Pay Requirements for Data Exchanges ("Handshakes 1-9")

- Issued "Standard Operating Procedures (SOP) for Distributing Receipt Acceptance and Electronic Receipt and Processing of Requests for Payment."

- Implemented expanding routing of pre-award funds validations.

Spend Analysis (PALT)

- During Q4, A&S conducted 23 COVID-19 contract award analyses for delivery to the Hill via the A&S COVID-19 Update Weekly Hill Information Package. Areas analyzed and monitored include:

  o Total DoD COVID-19 Awards: $17.1B

    ▪ analyzed by: contracting agency, Product-Service Code, place of performance, business size, and funding agency

  o Total Dollars Obligated: $8.1B

    ▪ analyzed by: contracting agency, Product-Service Code, place of performance, business size, and funding agency

  o Awards by Non-DoD Funding Agency: $715.5M

    ▪ CARES Act Section 3610 Vendor Reimbursements: $38M Other Transactions via DPA

    ▪ Other Transactions (Excluding DPA Title III): $7.6B

    ▪ DPA Title III Investments for Medical Items: $209.2M

    ▪ DPA Title III Investments for Industrial Relief: $671.8M

    ▪ Financial Assistance (Excluding DPA Title III): $797M

    ▪ DPA Title III CARES Act Loan funding to the DFC: $100M ($0 executed)

    ▪ PALT – COVID-19 new awards compared to DoD FY 2019 new awards

    ▪ Data as of September 28, 2020 (latest update prior to close of FY 2020).

Pilot Programs

- Issued Class Deviation 2020-O0020, "Section 890 Pilot Program to Accelerate Contracting and Pricing Processes" (issued on August 14, 2020). This deviation implements the pilot program authority provided by section 890 of the NDAA for FY 2019, as amended by section 825 of the

NDAA for FY 2020. Under the pilot program, this deviation streamlines acquisition procedures by permitting contracting officers to strategically establish the extent, structure, and level of detail of the historical actual cost data the contractor will be required to submit with a proposal, in lieu of providing complete certified cost and pricing data.

Peer Reviews

- The FY 2020 data available for 12 Peer Reviews conducted through during Q4 has revealed the use of 27 options to include multiyear procurements, potentially saving over 42 years in PALT. The procurements reviewed by A&S were proposed at $42 B with negotiated results of $22.6 B for a net savings of $14.4 B.

IDENTIFY KNOWN RISKS:

PM 3.4.4.1 and PM 3.4.4.2 (Q4):

COVID-19:

- A&S has devoted significant energy into responding to the COVID-19 pandemic by setting up task forces to support the overall DoD response, developing policies to support the acquisition workforce and defense industrial base, and working to implement Congressional direction. As this pandemic continues to affect the nation, its impacts on the Department moving forward largely remain unknown. COVID-19 created some minor delays in staffing urgent operational needs, but no significant issues were reported for material solution deliveries for the warfighters.

Competing priorities:

- How do you go faster, reduce bureaucracy, take smart risk, adhere to government policy, ensure the taxpayer is protected, reach a fair and reasonable price, ensure the health of the industrial base, support small business and other socioeconomic goals, document everything, be innovative, and buy everything from hamburger buns to aircraft carriers?

- eBusiness Initiatives:

  o Funding continues to be a risk factor with implementing eBusiness initiatives.

- Spend Analysis (PALT)

  o PALT data is only available for FY 2019 and FY 2020, thus analysis over extended periods of time beyond two years to determine trends is not possible until several Fiscal Years of data are reported to FPDS.

  o PALT data is not required to be reported below the SAT, thus 99% of actions do not report PALT data.

- Pilot Programs:

  o Information collected on PALT and cost savings are based on estimates of "anticipated" time and savings. Additionally, the data calculations are conducted manually based on information collected from the pilot participants. Data is limited to contract actions above $50 M, a prerequisite for pilot participation.

- Peer Reviews:

  o The information collected on PALT and cost savings are based on estimates of "anticipated" time and savings

MITIGATION EFFORTS:

PM 3.4.4.1 and PM 3.4.4.2: N/A

NEXT STEPS:

Conducting granular analyses based on available data collected.

- eBusiness Initiatives

  o Continuing to partner with OUSD(Comptroller) to develop and track implementation of Handshakes seven and eight of the Procure-to-Pay Requirements for Data Exchanges.

  o Reviewing expansion of pre-award validations to include requiring systems and payment systems.

- Spend Analysis (PALT)

  o Conducting initial PALT trend analyses as PALT data is now available in FPDS for two full Fiscal Years of PALT data (FY 2019 and FY 2020).

  o PALT data is required to be reported for procurements above the Simplified Acquisition Threshold (SAT). To determine the scope of data available below SAT, additional data pulls are being conducted enabling further analysis.

  o Conducting additional analyses of procurement procedures utilized to identify "what is being purchased" and "why," as well as efficiency of those procedures.

- Pilot Programs

  o Data from current and expired projects are being gathered to determine opportunities in the future. Formalizing future reporting process within A&S to allow continued analysis of data for expedited feedback and decision-making.

- Peer Reviews
    - As of Q4, 17 Phase I Peer Reviews (reviews conducted before negotiations) were awaiting negotiation settlement (Phase II) with a potential of 19 full options that will result in further PALT savings in future quarters. The referenced Phase I Peer Reviews were proposed at $32 B. The PALT and dollar savings will be uncovered once negotiations are complete.

PERFORMANCE INFORMATION GAPS:

PM 3.4.4.1 and PM 3.4.4.2 are measured qualitatively and quantitatively. Through spend analysis, eBusiness initiatives results, as well as peer review and pilot programs results, A&S collects and disseminates best practices to ensure efficient contracting.

Information gaps exist in several areas of focus to include PALT data which is only available for FY 2019 and FY 2020, inhibiting analysis beyond two years. Additionally, PALT data is not required to be reported below the SAT, thus 99% of actions do not report PALT data.

Information collected via the Peer Review or TINA Light Pilot programs on PALT and cost savings are based on estimates of "anticipated" time and savings. Additionally, the data calculations are conducted manually based on information collected from the pilot participants. Data is limited to contract actions above $50M, a prerequisite for pilot participation.

CHANGED PERFORMANCE GOALS / MEASURES:

There are no performance goal changes to PG 3.4.4 since the publication of the Annual Performance Plan.

Strategic Objective (SO) 3.5: Build a Safe, Secure, and Resilient Defense Industrial Base (Commercial and Organic)

SO Leaders: USD (A&S)

STRATEGIC OBJECTIVE OVERVIEW:

America's manufacturing and defense industrial base ("the industrial base") supports economic prosperity and global competitiveness, and arms the military with capabilities to defend the. Currently, the industrial base faces an unprecedented set of challenges: sequestration and uncertainty of government spending; the decline of critical markets and suppliers; unintended consequences of U.S. Government acquisition behavior; aggressive industrial policies of competitor nations; and the loss of vital skills in the domestic workforce. Combined, these challenges-or macro forces-erode the capabilities of the manufacturing and defense industrial base and threaten the Department of Defense's (DoD) ability to be ready for the "fight tonight," and to retool for great power competition.

STRATEGIC OBJECTIVE PROGRESS UPDATE:

Identifying industrial base risk and leveraging tools to mitigate risks is an enduring mission of OUSD(A&S). The COVID-19 pandemic further illustrated the fragile nature of some U.S. supply chains and that public-private collaboration to build a safe, secure, and resilient industrial base is essential. FY 2020 activity under this SO focused on DoD's response to COVID-19: understanding plant closures, supply chain disruptions, and financial difficulties in the industrial base. A full breadth of efforts was conducted to reach and support the industrial base, with a specific emphasis on small businesses. Prior to this effort in FY 2020, several objectives (e.g., FIRRMA implementation) were met as scheduled.

STRATEGIC OBJECTIVE NEXT STEPS:

While the effects of COVID-19 on the industrial base are still being felt, efforts in FY 2021 are more focused on returning to core missions within the SO. The Workforce Skills Challenge will be re-launched in a semi-virtual environment. Small business utilization goals will be set for FY 2021 and beyond. CFIUS operations will continue to work under the authority of FIRRMA; new interagency rule-making and processes are already under way.

FY 2020 Summary of Results

PG 3.5.1: Leverage Unique OSD Authorities and Regulations		PG Leader: OUSD (A&S)					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.5.1.1: Workforce Skills Challenge	Target	X						
	Actual	X						
PM 3.5.1.2: Mitigate 13806 Funding Rolled Alum	Target	X						
	Actual	X						
PM 3.5.1.3: Small Business 1. Release Small Bus. Strategy 2. Set Small Bus Strategy Goals 3. Access	Target	X						
	Actual	X						
PM 3.5.1.4: DPAS Title I Process to revise l. Develop Service//DAU 2. Convene Strategic Materials Review Board 3. Convene the Industrial Base Council	Target	X	X	X		X		
	Actual	X	X	X				
PM 3.5.1.5: CFIUS/FIRRMA Implementation & Contract Role	Target		X					
	Actual		X					
PM 3.5.1.6: NTIB Quarterly NTIB Mtgs 1. Co-fund study w/ Australia & Canada 2. Co-develop hypersonics approach with NTIB	Target		X	X	X	X		
	Actual		X	X	X			

FY 2020 PERFORMANCE GOAL OVERVIEW:

USD(A&S) possess a number of unique authorities that can directly influence policy making and the promotion of defense industrial base (DIB)-related issues.

FY 2020 PERFORMANCE PROGRESS UPDATE:

Many unique authorities were exercised and utilized in response to COVID-19 and the ensuing impacts to the DIB. The Defense Production Act (DPA) was used to make crucial investments to industrial sectors most affected. The EO 13806 Report provided a common language and methodology for understanding industrial base risks. Commercial and new DoD tools were employed to see, understand, and sometimes vet DIB supply chains.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 3.5.1.l: The Workforce Skills Challenge program is conducted in conjunction with state governments and universities across the U.S. Due to site closures, the Workforce Skills Challenge program launched is delayed.

PM 3.5.1.2: A tool in industrial base risk mitigation is leveraging authorities to make investments into key technology areas. A risk identified in EO 13806 is rolled aluminum, which requires investment funding. Risk mitigation in progress. Next step: Continue to monitor program progress toward goals.

PM 3 .5.1.3: With the advent of FIRRMA implementation in Q2, the Office of Industrial Policy increased the scope and size of the personnel support contract.

PM 3.5.1.4: The DPA Title 1/DPAS program in Q4 has continued engagement with the interagency and DoD on utilizing this authority in response to COVID-19. The Industrial Base Council met twice per month in Q4 to understand the impacts of COVID-19 on key industrial sectors and vendors and to prepare for potential additional stimulus funding.

PM 3.5.1.5: FIRRMA was implemented in Feb. 2020. Increased caseload due and increased jurisdiction are expected through FY 2020 and FY 2021.

PM 3.5.1.6: Q4 efforts with NTIB partners focused on shifting toward a virtual and unclassified model, as well as navigating the tension between enhanced "Buy American" provisions in the FY 2021 NDAA and building integration between industrial bases.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 3.5.1.1: Due to extended restrictions, modified efforts previously intended to commence in Q4 are currently planned to re-commence in Q1 2021.

PM 3.5.1.2: The Workforces Skills Challenge launched in Q2 2020.

PM 3.5.1.3: SB Strategy was released in Nov 2019; SBA Goals were confirmed in Dec. 2019.

PM 3.5.1.4: The DPA Title 1/DPAS program in Q4 has continued engagement with the interagency and DoD on utilizing this authority in response to COVID-19. The Industrial Base Council met twice per month in Q4 to understand the impacts of COVID-19 on key industrial sectors and vendors and to prepare for potential additional stimulus funding.

PM 3.5.1.5: FIRRMA was implemented in Feb. 2020. Increased caseload due and increased jurisdiction are expected through FY 2020 and FY 2021. While this trajectory is expected to remain, CFIUS has also focused much of its attention in Q2 to foreign investments in response to COVID-19. Engagement and work with CFIUS stakeholders on both FIRRMA and COVID-19 has occurred.

PM 3.5.1.6: Q4 efforts with NTIB partners focused on shifting toward a virtual and unclassified model, as well as navigating the tension between enhanced "Buy American" provisions in the FY 2021 NDAA and building integration between industrial bases.

IDENTIFY KNOWN RISKS:

The primary focus in Q4 has been to execute core Industrial Policy authorities and missions in ways that incorporate lessons learned from peak COVID-19 response. Workload and increased mission now appear to remain higher than original levels.

MITIGATION EFFORTS:

For those missions affected by COVID-19, new solutions or partial solutions have emerged. For example, the part of the Workforce Skills Challenge was delayed. But some engagement has continued virtually.

NEXT STEPS:

PM 3.5.1.1: Workforce Skills Challenge will launch virtually in August-Sept, currently planned.

PM 3.5.1.2: Rolled aluminum industry risk mitigation effort launched in Q1.

PM 3.5.1.3: The Small Business Strategy was delivered in Nov FY 2019 and business performance goals were confirmed in Dec FY 2019. There will be no updates during the Q1 FY 2021 annual update.

PM 3.5.1.4: DPAS Title I Process is being utilized both by DoD and in the interagency, focused on response efforts to COVID-19. HHS is assuming the leadership role in the DPA Title I response to COVID-19. The DoD Title I team is on stand-by and is ready to support our interagency partners with emerging needs that may arise.

PM 3.5.1.5: CFIUS/FIRRMA - FIRRMA Implementation began on 13 Feb. 2020. Caseload is expected to increase in Q4 due expanded jurisdictions and other rules.

PM 3.5.1.6: NTIB Quarterly Principals' Meeting occurred on 23 July, with a follow-up planned for mid-November

PERFORMANCE INFORMATION GAPS: Not applicable

CHANGED PERFORMANCE GOALS / MEASURES: Not Applicable

FY 2020 Summary of Results

PG 3.5.2: Identify and Reduce Vulnerabilities in DID and Supply Chain		**PG Leader:** OUSD (A&S)					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.5.2.1: Leverage global industrial base (allies & partners) to address vulnerabilities (NTIB, SoSAs, RDPs, etc.)	Target	X	X	X	X	X		
	Actual	X	X	X	X			
PM 3.5.2.2: Increase supply chain visibility (use existing authorities, get new authorities if needed to gather data)	Target	X	X	X	X			
	Actual	X	X	X	X			
PM 3.5.2.3: Identify/Build tool/system to enable illumination and relationship mapping (across the services)	Target	X						
	Actual	X						
PM 3.5.2.4: Better leverage service authorities and resources to address industrial base risk	Target	X		X	X	X		
	Actual	X		X	X			
PM 3.5.2.5: Implement CMMC as one subset of SCRM	Target		X	X				
	Actual		X	X				
PM 3.5.2.6: Reconvene the IBC to coordinate DoD & Industry risk mitigation activities through working groups & integrated product team	Target	X	X	X	X	X		
	Actual	X	X	X	X			
PM 3.5.2.7: Build & maintain relationships with industry through ongoing & new engagement	Target	X	X	X	X	X		
	Actual	X	X	X	X			

FY 2020 PERFORMANCE GOAL OVERVIEW:

Executive Order (EO) 13806 on Assessing and Strengthening the Manufacturing and Defense Industrial Base and Supply Chain Resiliency of the United States provided DoD and its interagency partners a unique opportunity to assess the manufacturing and defense industrial base-one of the most critical assets to our national security. The work conducted by the over 300 members of the DoD-led Interagency Task Force lays the groundwork for important actions, mitigations, and ongoing monitoring that will result in America's ability to continue supporting a secure, robust, resilient, and ready industrial base.

FY 2020 PERFORMANCE PROGRESS UPDATE:

The work to address industrial base and supply chain risks turned to focus on risks exposed by or exacerbated by COVID-1 9. The risk framework and lexicon established by EO 13806 have been utilized to address emergent needs in the industrial base.

Fourth quarter saw a hybrid approach to returning to core mission requirements established by EO 13806 while incorporating lessons learned and tools developed in response to COVID-19.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 3.5.2.1: The focus of international engagement in Q3 was to address shared or U.S.-reliant defense industrial base issues related to supply shortages or shutdowns during COVID-19.

PM 3.5.2.2: To better understand risks in the defense industrial base as a result of COVID-19, OUSD (A&S) made great strides in obtaining tools and subscriptions that provide supply chain data required.

PM 3.5.2.3: Building or acquiring a supply chain illumination tool requires market research on current tools in place within DoD, available commercial options, and understanding what organic capabilities exist.

PM 3.5.2.4: In addition to the unique authorities at the OSD level, the Services utilize a number of tools and efforts to better understand risks to their industrial bases. Understanding the authorities available to all and selecting the most appropriate for the DIB risk is a key goal in FY 2020.

PM 3.5.2.5: CMMC is a tiered approach to ensuring that all tiers of the DIB supply chain commit to and maintain cyber hygiene and security standards. An important element of CMMC is that standards are graduated based on company size, with an emphasis on ensuring the small businesses are not discouraged from working with DoD due to overly burdensome cybersecurity standards.

PM 3.5.2.6: The original goal for convening the IBC was every 6-8 weeks. However, this Council now meets once a week to address COVID-19 issues.

PM 3.5.2.7: Industrial Policy continues to engage with industry through several fora. The weekly calls with Industry Associations, which were very popular during FY 2020, have moved to bi-weekly.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 3.5.2.1: While some international engagement fora have been delayed through FY 2020, much outreach and communication has continued apace virtually.

PM 3.5.2.2: To better understand risks in the defense industrial base as a result of COVID-19, OUSD (A&S) made great strides in obtaining tools and subscriptions that provide supply chain data required.

PM 3.5.2.3: Enterprise architecture approach was launched with initial capability established to support the Joint Acquisition Task Force (JATF) and theme.

PM 3.5.2.4: The Industrial Base Council (IBC) convened on a weekly basis in Q3. Due to high-level participation by the Services, the IBC made good progress in understanding single and shared DIB challenges and the tools available to mitigate them.

PM 3.5.2.5: A&S issued the CMMC interim rule in the federal register. The rule now enters a public comment period and expected to have a final rule by end of November within the DFARS. A&S is also sending out guidance to include a CMMC clause in all ID/IQ awards. This effort will allow for CMMC requirements in future Delivery Orders and Task Orders during the five-year CMMC implementation period.

PM 3.5.2.6: The IBC currently convenes twice monthly to address new and enduring risks to the DIB across DoD.

PM 3.5.2.7: The Quarterly Tri-Association meeting is planned for 28 October.

The Industry Association teleconferences have been moved to twice-monthly as of Q4 2020, with the goal of focusing on specific topic areas (e.g., CMMC, IBC) to ensure the calls remain impactful and relevant.

Industrial Policy's Office of Small Business Director will travel to Seward and Anchorage, Alaska in order to meet a Congressional request for engagement with small businesses; the Office of Industrial Policy will also support USD Lord's attendance of the Reagan National Defense Forum on 4-5 December.

IDENTIFY KNOWN RISKS:

Q4 saw a hybrid approach to returning to core mission requirements established by EO 13806 while incorporating lessons learned and tools developed in response to COVID-19.

PM 3.5.2.5: Inability to institutionalize CMMC in the DFARS due to excessive public and industry pushback during public comment period. Continued difficulties in the CMMC-Accreditation Body.

MITIGATION EFFORTS:

FY 2020 fourth quarter saw a hybrid approach to returning to core mission requirements while incorporating lessons learned and tools developed in response to COVID-19. For example, much coordination and outreach to industry was conducted virtually.

PM 3.5.2.5: Continue the public speaking engagements to mitigate public misconceptions about CMMC implementation. Also establish a closer relationship to prevent surprise announcements that place the CMMC-AB in a difficult ethical position.

NEXT STEPS:

PM 3.5.2.1: NTIB Principals' Meeting to be held in mid-November, virtually.

PM 3.5.2.4: The team will convene bi-weekly in Q4 to continue to discuss mitigation efforts for risks to the DIB.

PM 3.5.2.5: Identify the initial tranche of contracts that will have CMMC requirements as a stipulation of award. Continue the training of assessors.

PM 3.5.2.7: Engagement with industry in Q4 will focus on virtual group engagements. The next Tri-Association meeting will be on 28 October 2020. The next SD virtual engagement is on the topic of digital engineering and planned for early November 2020.

PERFORMANCE INFORMATION GAPS: N/A

CHANGED PERFORMANCE GOALS / MEASURES: N/A

FY 2020 Summary of Results

PG 3.5.3: Identify and Reduce Vulnerabilities in DIB and Supply Chain		PG Leader: OUSD (A&S)					
Performance Measure		**Q1 2020**	**Q2 2020**	**Q3 2020**	**Q4 2020**	**FY 2021**	**FY 2022**	**Prior Year Results**
PM 3.5.3.1: Reorganize to accommodate FIRRMA changes	Target	X						
	Actual		X					
PM 3.5.3.2: Engage with international partners to impact FDI review processes	Target	X						
	Actual		X	X	X			

Department of Defense's Data Completeness and Reliability Statement–Fiscal Year 2020
Each Goal Owner has attested the performance results and narrative information included in this report is complete, accurate, and reliable; and that data validation and verification procedures are documented and available upon request

FY 2020 PERFORMANCE GOAL OVERVIEW:

Nefarious foreign investment into the DIB poses several risks to national security: intellectual property (IP) theft and capability offshoring are key examples. The mission of the Committee on Foreign Investment in the U.S. (CFIUS) is understanding potential investments into the DIB and acting to block or mitigate them. CFIUS operations extend informally to international partners as a way to understand mutual threats and threat mitigations.

FY 2020 PERFORMANCE PROGRESS UPDATE:

New authorities governing CFIUS were enacted in FY 2020 with the implementation of the 2018 Foreign Investment Risk Review and Modernization Act (FIRRMA). To best implement FIRRM, USD(A&S) organized and strengthened its CFIUS operations at the OSD and Service levels. It also continued to engage with foreign partners through dialogues and table-top exercises to better communicate the requirements of FIRRMA and how to best collaborate on similar principles and shared risks to the DIB.

FY 2020 PERFORMANCE MEASURE OVERVIEW:

PM 3.5.3.1: USD(A&S) required new and additional capabilities to accommodate the workload and increased scope of FIRRMA. DoD-wide engagement was required to ensure that OSD and the Services understood FIRRMA implementation requirements and how to best raise and allocate resources.

PM 3.5.3.2: Engagement with international partners on FDI review remains a crucial outreach mission under CFIUS operations. Shared understanding of risk and risk mitigation methodology is an ongoing dialogue between governments.

FY 2020 PERFORMANCE MEASURE PROGRESS UPDATE:

PM 3.5.3.1: Increases to both program funding and personnel were authorized in order for USD(A&S) to accommodate FIRRMA changes. Additional capabilities such as geospatial mapping were added to implement new authorities in FIRRMA. Expert support contractors were hired at the OSD and Service levels to execute the increased workload.

PM 3.5.3.2: Engagement with international partners on FDI review processes continued in FY 2020 with an emphasis on closest U.S. allies and partners.

IDENTIFY KNOWN RISKS: N/A

MITIGATION EFFORTS: N/A

NEXT STEPS: N/A

PERFORMANCE INFORMATION GAPS: N/A

CHANGED PERFORMANCE GOALS / MEASURES: N/A