

Inspections and Evaluations Directorate

Combined Forces Command-Afghanistan Management Decision Model

Kabul-Afghanistan

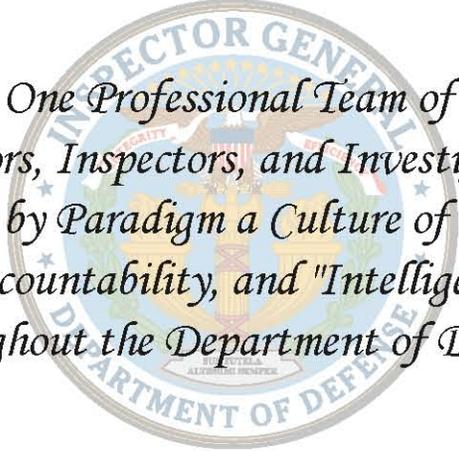
June 7 - July 7, 2005



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DEPARTMENT OF DEFENSE
OFFICE OF INSPECTOR GENERAL

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I have endeavored to represent Freedom triumphant— in Peace and War ... In her left hand she holds the olive branch while the right hand rests on a sword which sustains the Shield of the United States. These emblems are such as the mass of our people will easily understand ... I have introduced a base surrounded by wreaths indicative of the rewards Freedom is ready to bestow...

Allen, William C., *The Dome of the United States Capitol: An Architectural History*. Prepared under the Direction of George M. White, FAIA, Architect of the Capitol, U.S. Government Printing Office Washington: 1992

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Executive Summary

Purpose of the Project: CFC-A Request for Assistance

On June 12, 2005, the Commanding General (CG), Combined Forces Command-Afghanistan (CFC-A), requested the Department of Defense Inspector General's (DoD IG) assistance to create a top-down management decision model (MDM) (see Appendix F) that can be used to conduct periodic assessments of the capability and readiness of the Afghanistan Ministry of Defense (MOD) and the Afghanistan National Army (ANA). The request included requirements that the model be expandable, reusable, and scalable.

Results: Management Decision Model

Considering the request for assistance and the proposed application of the MDM, the DoD IG Team created a "universal" model that can be used to assess the capability and capacity of any organization founded on democratic principles and the "Rule of Law." For the purposes of this model, the definition of "organization" includes the full spectrum of organizational structures—from a nation-state to any type of government-, military-, or business-related entity. Consequently, the DoD IG Team built the attached model and identified the high-level elements common to most organizations that should be considered to establish a viable, stable, and self-sustaining institution. This document, therefore, includes the Management Decision Model, instructions on how to use the model, and a comprehensive description of the various elements embedded in the model's architecture.

Background: Supporting the CFC-A MOD/ANA Study Team

On June 11, 2005, the CFC-A Deputy Commanding General established the MOD/ANA Study Team (see Appendix C) to conduct a joint CFC-A and MOD "health check" of the ANA, and as a result of that study, to review the Office of Military Cooperation-Afghanistan (OMC-A) and its subordinate commands. Consistent with the CG request for assistance, the DoD IG Team conducted "teach and train" sessions with the Study Team and assisted them in developing their Phase 1 and Phase 2 assessment plans. Phase 1 is a "Bottom-Up" review of the ANA organization from the field to the Corps level. Phase 2 is a "Top-Down" review of the Ministry of Defense from the headquarters level down to the Corps level. The MDM was designed to support Phase 2. The IG Team and the Study Team mutually agreed to use the "DOTMLPF"¹ analysis technique (see Appendix D) to ensure that the assessment processes of Phases 1 and 2 are consistent and compatible.

Methodology: Applying Decision Making Principles

The DoD IG Team developed a set of criteria to design the MDM architecture and guide the development of the various sections and selection of the subordinate elements. The criteria included four considerations: (1) Define Strategic Context; (2) Delineate Roles; (3) Establish Processes, Systems, and Procedures; and (4) Integrate Management Actions and Controls. Using these decision making perspectives in combination with the DOTMLPF analysis technique, the DoD IG Team completed the MDM with over 660 vital high-level elements that should be considered to establish a viable, stable, and self-sustaining institution.

Benefits of the MDM:

- Promotes cooperation and collaboration among functional managers, process owners, and decision makers;
- Encourages establishment and maintenance of a system of metrics;
- Identifies gaps and risks;
- Provides a mechanism to identify resource requirements and to articulate short-term and long-term budget priorities; and
- Presents scenarios to prioritize management and leadership actions.



The Management Decision
Model Assistance Visit
www.dodig.osd.mil

VISION

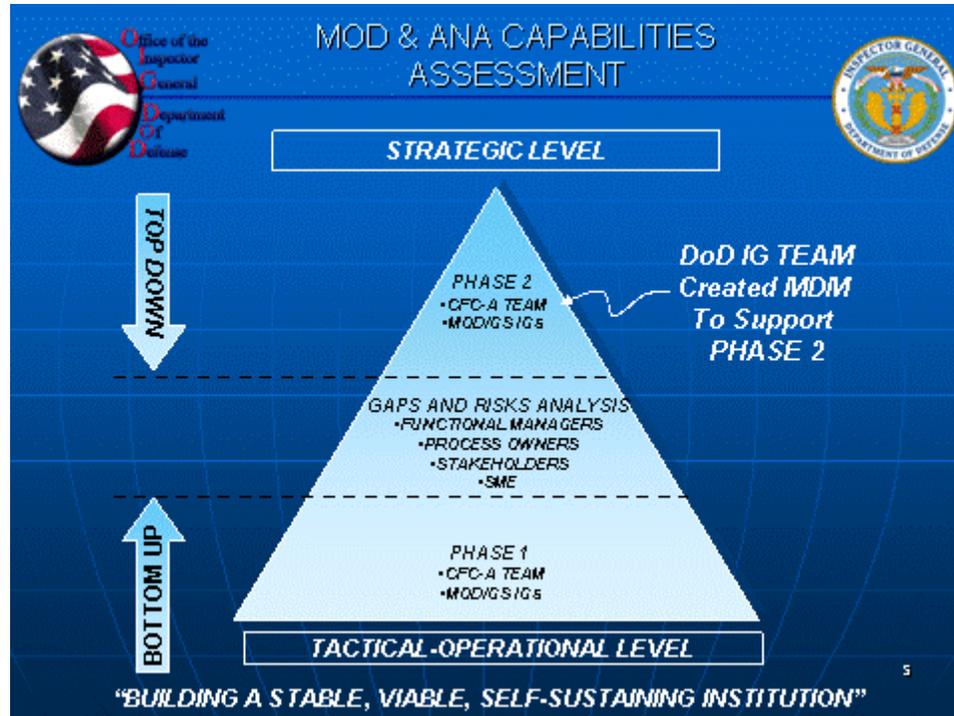
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MISSION

The Directorate of Inspections and Evaluations conducts objective and independent customer-focused management and program inspections addressing areas of interest to Congress and the Department of Defense, and provides timely findings and recommendations leading to positive changes in programs.

¹ Doctrine, Organization Structure, Training, Material, Leadership, Personnel, Facilities.

Figure 1. MOD & ANA Capabilities Assessment Overview



GENERAL INFORMATION

Forward questions or comments concerning the Management Decision Model, Kabul, Afghanistan Assistance Visit and other activities conducted by the Inspections & Evaluations Directorate to:

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“So what is a well-made decision? It is timely, clear, made at the lowest possible level, supported, implemented, evaluated appropriately, and made utilizing lessons from previous decisions.” –The Outlook Quarterly Newsletter, October 2003

Purpose of the Project: CFC-A Request for Assistance

On June 12, 2005, the Commanding General (CG), Combined Forces Command-Afghanistan (CFC-A), asked the visiting in-country Department of Defense Inspector General (DoD IG) team (the Team) to assist his staff in their internal assessment of the Afghanistan Ministry of Defense and the Afghanistan National Army. He further codified his request in a June 26, 2005, memo (see Appendix A) and is summarized below:

- Create a “Management Decision Model (MDM) for a ‘Health Check’ of Afghanistan Ministry of Defense (MOD) and the Afghan National Army (ANA).”
- Develop “a systemic approach to monitoring and managing critical activities ... required to achieve desired levels of organizational effectiveness and readiness in the MOD and the ANA.”

As further described in the CG memo, the Management Decision Model should:

- Establish a baseline architecture that is expandable, reusable, and scalable;
- Develop a top-down map of high-level elements; and
- Be adaptable to existing software applications, for example, Microsoft Word and Excel.

Ensuing discussions with the CFC-A Deputy CG and Chief of Staff clarified the Team’s capabilities and further defined the scope of the request and the deliverable product.

DoD IG Inspections and Evaluations Directorate—Team’s Capabilities

“The Directorate of Inspections and Evaluations conducts objective and independent customer-focused management and program inspections addressing areas of interest to Congress and the Department of Defense, and provides timely findings and recommendations leading to positive changes in programs.”

DoD IG I&E Strategic Plan, 2004

The six people on the Team (see Appendix B) are members of the Inspections and Evaluations (I&E) Directorate. The I&E Directorate specializes in business consulting

services and provides clients the benefits of an independent and objective perspective for systemic problem solving and process improvements. In accordance with the Inspector General Act of 1978, as amended (see <http://www.ignet.gov/>), the DoD IG conducts a transparent process to foster public confidence in the management of the Department of Defense organizations.

Deliverable Product

This document includes the requested Management Decision Model and the accompanying documentation that describes the model and its application. The Team created the Management Decision Model while in Kabul, Afghanistan, from June 7 through July 7, 2005. Although CFC-A intends to use this model to facilitate its “health check” of the MOD and ANA, the model was designed to provide managers and decision makers a management technique to conduct assessments and track progress of any type of organization. The Team identified the high-level elements common to most organizations that should be considered to establish a stable, viable, and self-sustaining institution. The model incorporates basic organizational theory and management decision principles.

Background

As stated in CFC-A June 11, 2005, “Terms of Reference” document (see Appendix C), the CFC-A Deputy Commanding General is conducting an assessment of the Ministry of Defense and the Afghanistan National Army.

The US Government has made a substantial investment into the training of the Afghan National Army (ANA) over the past 3 years and there has been much progress made. The Commanding General Combined Forces Command-Afghanistan (CG CFC-A) has discussed with the Minister of Defense (MOD) the desirability of conducting a joint ‘health check’ of the ANA, and as a result of that study, to review the Office of Military Cooperation-Afghanistan (OMC-A) and its subordinate commands. . . .

The study scope is to examine all levels of command of the ANA, from the MOD down to Kandak [ANA Battalion] level to ascertain the ‘ground truth’ on the state of training, morale, administration, procurement, logistics, and leadership of the Army at each level of command, and to make recommendations based on the findings. Armed with those indicators the study team will then examine the role, manning, leadership, planning, training, and logistic support delivered by OMC-A and its subordinate commands, and again make recommendations. . . .

—**CFC-A Study Team Plan.** To accomplish this task, the CFC-A Study Team organized its assessment approach into two phases:

Phase 1: Conduct a bottom-up review of the ANA organization from the field to the Corps level. This review will render a tactical perspective suggesting a set of recommendations that will affect field operations.

Phase 2: Conduct a top-down review of the MOD from the headquarters to the Corps level. This review will render a strategic perspective on the health of MOD as it transforms and progresses toward a stable, viable, and self-sustaining institution.

—**Role of the DoD IG Team.** The Team assisted the CFC-A Study Team in several ways:

- **Teach and Train.** The Team provided a consulting and mentoring service to assist the Study Team in its development of an assessment design plan. The Team engaged in several “teach and train” sessions with the CFC-A Study Team and provided guidance on developing its game plans and assessment procedures.
- **Establish an Assessment Framework.** To provide a common assessment framework to ensure Phases 1 and 2 of the study are consistent and compatible, the Team recommended the DOTMLPF rubric. For the purposes of this effort, the Team modified the definitions of DOTMLPF. See Appendix D for definitions.
 - **D—Doctrine**
 - **O—Organization/Structure**
 - **T—Training**
 - **M—Material**
 - **L—Leadership**
 - **P—Personnel**
 - **F—Facilities**
- **Create the Management Decision Model.** As requested, the Team designed a model that can be applied as an assessment template for Phase 2.

Methodology

Research. The Team first conducted research to become familiar with the environment and information bearing on the project. With cooperation from the CFC-A and MOD staffs, research activities included:

- GAO Draft Report (GAO-05-575), “Afghanistan Security—Efforts to Establish Army and Police Have Made Progress but Future Plans Need to be Better Defined,” May 2005 and the OCM-A Draft Management Comments,
- Conferences and interviews with CFC-A and MOD leaders and staff members,
- CFC-A staff documents,
- MOD Inspector General Reports, and
- Various Web sites and Internet sources.

Adaptation of DOTMLPF. As previously discussed, the Team selected the DOTMLPF technique (see Appendix D) to provide a common framework for examining processes and systems. Although originally designed for the acquisition process, the Team determined that the technique could be used to examine organizational structure. However, using the DOTMLPF technique presented a number of limitations. For example, the most significant

limitation is the technique does not include all functional activities that are generally practiced in a typical organization. Because of this limitation, the Team coined the DOTMLPF “Plus” technique, which allows additional elements, functions, and activities to be added to the model’s map. For the purposes of the MDM, the Team added several “Plus” elements as examples of how the user can expand the model. Other limitations are the definitions of the DOTMLPF terms. Consequently, the Team modified the definitions to suit the purposes of this project and to establish common frames of reference.

Application of Decision Making Principles. In addition to adapting the DOTMLPF technique for designing the model’s architecture, the Team developed a set of steps to guide our thinking and discussions to ensure we maintained a decision maker’s perspective. The graphic and narratives below describe the underlying philosophies and principles that were used to build the MDM.

"The best executives don't make very many decisions. They concentrate on what's important and delegate the rest." Winning Decisions: Getting it Right the First Time by J. Edward Russo and Paul Shoemaker



Step 1: Define Strategic Context. Without clear organizational goals, strategies, priorities, and risk profiles, decision making below the top leadership levels of the organization cannot be consistent and cannot be effectively distributed at the lower levels. Strategic context provides a compass for decision makers throughout the organization and enables decisions to be made based on consistent criteria, regardless of who is making the decisions. Strategic context includes strategy, objectives, accountability, key stakeholders, priorities, constraints, and evaluation criteria. The MDM architecture includes these elements.

The best leaders focus on creating strategy, developing the “decision making system,” and making only the critical decisions or resolving exceptions. Micromanagement by executives is often driven by fear, not superior ability. The consequences of senior leaders too involved in decision making include delayed decisions, lost productivity, underutilization of middle management resources, employee frustration, and inadequate leadership focus on their most critical responsibilities. The MDM delineates how to delegate decisions.

Step 2: Delineate Roles. The most critical person in the decision making process is the “executive owner” who is accountable for building the decision making system, measuring its success, and improving it over time. Presumably, in this instance, the Commanding General, CFC-A and the Minister of Defense are the “coexecutive owners” of the MDM. Applying the model will require the various process owners, functional managers, leaders, and supervisors of both organizations to extract the appropriate sections of the model and further expand the top-down mapping of the elements, as required.

Step 3: Establish Processes, Systems, and Procedures. The most commonly neglected, but important, steps in the decision making process are the activities at the very beginning and the very end. The MDM attempts to reflect the CFC-A Phase 1 and Phase 2 construct, and provides the Phase 2 critical steps to map out a process that is actionable, reusable, and sustainable. Finally, if communication requirements are not explicit at every stage, input will be sought inappropriately or inconsistently, critical personnel will be informed sporadically or incompletely, and, as a result, decisions will later be revisited or overturned causing needless delays in progressing to the end state.

Step 4: Integrate Management Actions and Controls. Inherent in any enterprise is the need for efficient and effective management practices. The leadership sets the strategic context. Managers, however, get the work done by prioritizing and allocating resources—time, money, equipment, and people. The model, therefore, emphasizes primary management functions—planning, programming, and budgeting. Moreover, management needs internal control procedures to measure performance and track trends.

Management Decision Model

Assumptions. To frame the development process of the model and to ensure a unified philosophy for “group think” discussions, the Team listed three assumptions.

- The model should be applied to democratic institutions that practice the “Rule of Law.”
- The model should be easy to use without relying on computer systems. (Note: The Team is aware of commercial off-the-shelf computer applications that would efficiently manage the model and facilitate modifications and refinements, that is, drill down excursions.)
- Functional managers, process owners, and subject matter experts will expand the model to lower levels of detail.

Results. The MDM consists of 660 elements and is tabulated at Appendix F. Chapters 1 through 12 describe each primary, or Level 1 element. In each chapter, italicized words are used to indicate a reference to one of the established elements of the MDM. Capitalized italicized words indicate reference to Level 1 elements. The instructions for applying the model are at Appendix G.

Benefits of the MDM:

- Promotes cooperation and collaboration among functional managers, process owners, and decision makers;
- Encourages establishment and maintenance of a system of metrics;
- Identifies gaps and risks;
- Provides a mechanism to identify resource requirements and to articulate short-term and long-term budget priorities; and
- Presents scenarios to prioritize management and leadership actions.

Chapter 1—Doctrine

Purpose: To map out the key high-level *Doctrine* elements that should be considered in establishing a stable, viable, and self-sustaining *Doctrine* capability for a typical organization.

Assumptions: This model draws several assumptions from the U.S. Army Doctrine. Specifically, we assumed the main elements are *authority*, *statutory oversight*, *strategic plan*, and *policy*.

- As the subject matter experts drill down into the model, certain aspects of *Doctrine* may not apply to all organizations due to peculiar or unique circumstances.
- All modifications to the model should be coordinated with and approved by the Office of Primary Responsibility so that appropriate adjustments can be made to accommodate aggregation and roll-up calculations.

Definitions: *Doctrine* is the fundamental principle that guides the operations and functions of the organization toward common goals and objectives. *Doctrine* includes documents that formalize the organization’s strategy, policy, and procedures to codify authority and roles and responsibilities—it’s a library of documents that shapes the work environment and organizational culture. *Doctrine* provides the strategic context and linkage between the top levels of the organization and the tactics, techniques, and procedures required at the operational levels. It provides a shared way of thinking about organization problems, but does not direct how the organization will solve problems.

Organizations may share *Doctrine* among nations and other organizations. In addition, nations may share *Doctrine* among several nations.

In general, doctrinal documents state:

- an organization’s objectives,
- the general objectives of the organization (“who we are”),
- general concepts of how this organization performs its mission (“what we do”),
- concerns and cautions in carrying out this mission (“how we should do it”), and
- historical examples (“how we did it in the past”).

See Appendix E for definitions of common terms. Listed below are the definitions of terms unique to this section of the model:

- *Executive Authority:* Authority assigned to an entity, person, group, or function, as prescribed and legitimized by higher authority. Authority exercised by top-level executives of an organization. Executive authority gives that entity the authority to issue legally binding decrees known as executive orders.
- *Legislative Authority:* Authority derived from laws and statutes as promulgated by a representative body such as a congressional or parliamentary body.

- *Judicial Authority*: Laws, regulations, policies, and procedures established by a legal system to govern organizational activities within the limitations of the “Rule of Law.”
- *International Treaties*: Provides the organization a basis for entering into international agreements with other nation-states.
- *Inter/Intra Agency Authority*: Provides the organization the basis for decision making which affects multiple agencies or departments in and out of the organization.
- *Internal Control*: Procedures or systems designed to promote efficiency and ensure the implementation of policy while safeguarding assets and avoiding fraud, mismanagement, and errors.
- *Inspector General System*: An agency or collection of agencies mandated by law to prevent fraud, waste, abuse, and mismanagement. A system based on the U.S. Government model to assist leaders and managers identify problems and improve efficiency and effectiveness.
- *Anticorruption Process*: Network of law enforcement legislation that will promote a transparent and accountable organization.

Description: The development of *Doctrine* is a process that continues throughout the growth of an organization. As new polices and circumstances develop, so will the need for appropriate doctrine. The goal of the doctrine section of the model is to develop foundations for creating effective *authority, statutory oversight, strategic plans, and policy.*

The first element of the MDM is *authority*. *Authority* includes basic items that an organization should consider when under development, such as *executive, legislative, and judicial authorities; international treaties; and inter/intra agency authority.*

Executive authority gives the head of state/organization the authority to make executive decisions. *Legislative authority* provides the organization authority to exist and perform duties within stated laws and statues. *Judicial authority* provides the laws and regulations that an organization must follow while performing its duties.

The second element in the model under doctrine is *statutory oversight*. *Statutory oversight* establishes the requirement for systems such as an *Inspector General system* and *anticorruption process.*

The third element in the model under doctrine is *strategic plan*. The strategic plan is a long-term blue print or road map that incorporates the organization’s *vision, mission, core values, objectives, goals, performance metrics, assumptions, and constraints.*

Policy Doctrine creates a strategy for issues including, but not limited to, *education, training, social services, environmental, and legal issues.*

Summary: A comprehensive *Doctrine* program is critical to the success of any organization. *Doctrine* provides the boundaries of an organization’s behavior and establishes a means of achieving the organization’s goals and objectives. Specifically, the doctrine system prescribes the strategic context, authorities, roles and responsibilities, rules of law, and limitations to govern how the organization accomplishes its core business and mission.

Chapter 2—Organization/Structure

Purpose: To map out the key high-level *Organizational/Structure* elements that should be considered in establishing a stable, viable, and self-sustaining *Organization/Structure* capability for a typical organization.

Assumptions: The *Organization/Structure* section of the Management Decision Model draws information from *Organizational Theory: Determinants of Structure* by Stephen P. Borgatti,² and *Organizational Design and Faculty of Information Studies*, University of Toronto.³

- As subject matter experts drill down into the model, certain aspects of *Organization/Structure* may not apply due to peculiar or unique circumstances.
- All modifications to the model should be coordinated with and approved by the Office of Primary Responsibility so that appropriate adjustments can be made to accommodate aggregation and roll-up calculations.

Definitions: *Organization/Structure* includes the division of *authority, roles, and responsibilities* and defines the functionality of subordinate elements within the organization. See Appendix E for definitions of common terms. Listed below are definitions of terms unique to this section of the model:

- *Authority:* A public agency or corporation with administrative powers in a specified field. Legal and rational authority depends on formal rules, usually written down and often complex. The term legitimacy is used when describing a system of government, whereas authority refers to a specific position in government.
- *Organizational Culture:* Refers to the values, beliefs, and customs of an organization.

Description: The model starts with the *authority* element. Legitimate *authority* for a formal organization is through *executive, legislative, or constitutional* law.

The *roles* and *responsibilities* of an organization should be evaluated by the presence of clearly defined guidelines for *span of control, chain of command/authority, or accountability*.

The *composition* of an organization should consist of a proportionate representation of all *ranks*. An organization should not be overly staffed by senior managers without a proportionate representation of the work force. Additionally, organizational composition should be *diverse* in order to reflect a proportionate representation of gender and ethnic composition of the population.

The *functionality* of an organization is broken down by evaluating the *organizational culture, mission accomplishment, and measures of performance*. Organizational culture should be *appropriate, adaptable, and flexible* to changes in society and culture. *Mission accomplishment* should be *effective, efficient, and completed in a timely manner*. *Performance measures* must have established *standards, methods of assessment, recording, and proper reporting*.

²*Organizational Theory: Determinants of Structure* <http://www.analytictech.com/mb021/orgtheory.htm>.

³*Organizational Design*, <http://choo.fis.utoronto.ca/FIS/Courses/LIS1230/LIS1230sharma/od1.htm>.

External support for an organization is divided into *foreign* and *domestic*. An assessment of organizational support will require evaluating *reliability*, *criticality*, and *mission impact* of supplies or funding provided by foreign or domestic sources.

Summary: Clearly delineated *Organization/Structure* is critical to the institution's success. How the organization is structured is directly linked to how an organization accomplishes its strategic vision and mission. Organizational structure facilitates the development of a stable, viable, and self-sustaining institution.

Chapter 3—Training

Purpose: To map out the key high-level *Training* elements that should be considered in establishing a stable, viable, and self-sustaining *Training* capability for a typical organization.

Assumptions: The *Training* section of the Management Decision Model draws from the U.S. Army training goal to “develop a combat-ready force that is physically and psychologically prepared to mobilize, deploy, fight, and win wars and conduct peacekeeping operations anywhere in the world as part of a joint, combined, or interagency force” and to “ensure its units, organizations, soldiers, and leaders are trained to accomplish their missions and supporting tasks.”⁴ Numerous nonmilitary examples substantiate the need for a quality organizational training program.

- As the subject matter expert drills down into the model, certain aspects of *Training* may not apply to all organizations due to peculiar or unique circumstances.
- All modifications to the model should be coordinated with and approved by the Office of Primary Responsibility so that appropriate adjustments can be made to accommodate aggregation and roll-up calculations.

Definitions: *Training* is a vital organizational function to ensure individuals and groups within the organization are properly indoctrinated into the culture of the organization and qualified to accomplish assigned tasks. Consequently, the model describes the elements for entry-level programs through continuous *career development* programs. See Appendix E for definitions of common terms. Listed below are the definitions of terms unique to this section of the model:

- *Indoctrination:* Physical and social in-processing into an organization—vision, mission, strategic objectives, performance measurements, administrative, and personnel procedures, etc.
- *Conditioning:* Physical and mental preparation ensuring cohesive, team-oriented results.
- *Socialization:* Exposing employees to organizational culture, expected patterns of behavior, ethical standards, etc.
- *Succession Plan:* A training process that prepares employees to assume higher levels of responsibility and prepares the organization for continuity of operations as leaders move up or out.

Description: The model starts at the *accession* element. *Accession* breaks down to include the basic items that should be considered when bringing new employees into the organization. Training is a continuous function that starts when a new hire enters the organization and progressively continues throughout an individual’s career. The goal is to provide a full spectrum of training policies and programs to provide specialized technical training and leadership development.⁵

⁴ AR 350-1, Apr 9, 2003, para 1-6.a.b.

⁵ AR 350-1, Apr 9, 2003, para 1-11.

How individuals manage their careers within an organization and how organizations structure career progress is an important aspect of a training program. Opportunities for *education, leadership, mentoring, and self-improvement* are vital to the health of the organization.

Training programs must be established based on measurable training *requirements*, and subsequent *evaluations* administered to determine the ability of the program to fulfill overall mission needs. These *requirements* are as important for measuring individuals, as well as for unit training.

Finally, training programs require complete and accurate *policies, requirements, and procedures* necessary to determine *effectiveness* and *analysis* for future requirements. Accurate *planning* and *programming* are required to establish training *budget* requirements for *personnel, equipment, and operations*, and should link to published *guidance, allocation, and execution plans*.

Summary: A comprehensive training program is critical to the success of any organization. *Training* is directly linked to how an organization accomplishes its strategic vision and mission. Adequate support structures sustaining the training needs of both the individual and unit will facilitate building a stable, viable, and self-sustaining institution.

Chapter 4—Material

Purpose: To map out the key high-level elements of a *Material* function that should be considered in establishing a stable, viable, and self-sustaining *Material* capability for a typical organization.

Assumptions: The organization requires *Material* to achieve established goals, objectives, production rates, and readiness.

- As the subject matter expert drills down into the model, certain aspects of *Material* may not apply to all organizations due to peculiar or unique circumstances.
- All modifications to the model must be coordinated with and approved by the Office of Primary Responsibility so that appropriate adjustments can be made to accommodate aggregation and roll-up calculations.

Definitions: *Material* refers to acquiring, maintaining, and sustaining all items necessary to equip, operate, maintain, and support all organizational activities. *Material* excludes land, buildings and facilities, and utilities, which are discussed in the *Facilities* section of this model. Consequently, the model describes the elements for the introduction of material items to the organization through final disposition. See Appendix E for definitions of common terms. Listed below are the definitions of terms unique to this section of the model:

- *Taxonomy:* Describes the system of who maintains which items at what interval.
- *Customer Requirements:* Encourage user input, or push fielding from the central acquisition authority.
- *Production Location:* Efforts to encourage local procurement.
- *Support Infrastructure:* Things that allow for procured item maintenance and sustainment for the entire life cycle.

Description: The model details elements covering the entire life cycle of materials. Organizations *acquire* or *procure* material necessary to accomplish stated objectives and perform basic functions. Organization procurement officials should have an *acquisition strategy* to ensure effective coordination of purchases. Adequate *procurement procedures* encourage accountability, competition, and oversight. Also, a well-run organization will only purchase items that the *support infrastructure*, both internal and external, can adequately maintain and sustain.

Once acquired, the organization needs systems to *maintain*, *repair*, and *sustain* material. Maintaining material requires the purchase and storage of *spares* and *repair parts*. The organization also needs to adopt or develop a system outlining roles and responsibilities of mechanics and technicians and a viable system of scheduled maintenance. In some cases, complex systems will require *contractual agreements* with entities outside the organization in order to properly maintain the system.

Sustainment of nonconsumable materials such as machines and other equipment requires an *accounting* system for all material—equipment, spares, parts, etc. Accountability implies a functioning *supply system* that addresses supply, resupply, and consumption rates. Finally,

proper accountability also requires a viable *disposal* process that gets rid of material no longer needed and ensures replacement.

Summary: Efficient use, accurate accountability, and effective maintenance and sustainment of *Material* are essential to the proper functioning of all organizations. Sufficient quantities of material are critical to accomplishing objectives, while proper use increases efficiency, saves money, and reduces waste.

Chapter 5—Leadership

Purpose: To map out the key high-level *Leadership* elements that should be considered in establishing a stable, viable, and self-sustaining *Leadership* capability for a typical organization.

Assumptions: The *Leadership* section of the Management Decision Model includes information derived from numerous sources, to include:

- Air War College, Center for Strategic Leadership Studies;⁶
- Office of Personnel Management Appendix A, “Leadership Competency Definitions;”⁷ and
- U.S. Army Technical Report 1148, “Competency Based Future Leadership Requirements.”⁸

Numerous nonmilitary examples substantiate the need for a quality leadership program.

- As subject matter experts drill down into the model, certain aspects of *Leadership* development may not apply to all organizations due to peculiar or unique circumstances.
- All modifications to the model should be coordinated with and approved by the Office of Primary Responsibility so that appropriate adjustments can be made to accommodate aggregation and roll-up calculations.

Definitions: The *Leadership* of an organization is vital to the institution’s success. Proper selection, development, and support of leadership will contribute to the overall achievement of an organization. Consequently, the model describes the elements for leadership *selection*, *professional development*, and *support infrastructure*. See Appendix E for definitions of common terms. Listed below are the definitions of terms unique to this section of the model:

- *Metrics:* A system of parameters or ways of quantitative assessment of a process that is to be measured, along with the processes to carry out such measurement. Metrics define what is to be measured. Metrics are usually specialized by the subject area, in which case they are valid only within that certain domain and cannot be directly benchmarked or interpreted outside it. Generic metrics, however, can be aggregated across subject areas or business units of an enterprise.
- *Values Criteria:* A set of distinctive spiritual, material, intellectual, and emotional features of society or a social group. Culture encompasses art and literature, lifestyles, ways of living together, value systems, traditions, and beliefs.

Description: The model starts at the *selection* element. *Selection* breaks down to consider leadership candidates qualification standards that include education, experience, communication skills, political/social allegiance, and core values. Once selected for a

⁶ <http://leadership.au.af.mil/index.htm>.

⁷ <http://www.leadership.opm.gov/cel.cfm>.

⁸ <http://www.au.af.mil/au/awc/awcgate/army/tr1148.pdf>.

leadership position, leaders should go through a centralized, decentralized, or external confirmation process.

Leadership should continue to develop and mature through *professional development* programs that teach *leadership roles and responsibilities*. Roles and responsibilities consist of *job description, assignment procedures, accountability standards, succession policy, resource management training, and anticorruption training*. Leadership programs should also have an *appraisal system* that addresses *policies, procedures, and metrics* by which they will be rated.

Leadership *support infrastructure* includes *administration* and *communications*. Administration supports leadership through *policies, procedures, and publications*. Leadership communication throughout an organization is projected through wide dissemination of leadership *philosophy* and *principles* utilizing *media options*.

Summary: Key *Leadership* characteristics are evaluated in either a qualitative or quantitative matrix to provide a visual depiction of the overall health of how leaders perform and how they are developed. The listed characteristics are not the only items that may be evaluated, and some characteristics may not be applicable for the leadership being evaluated. The user may tailor the model by adding or removing characteristics or qualifications to fit the leadership position being evaluated.

Chapter 6—Personnel

Purpose: To map out the key high-level *Personnel* (human capital) elements that should be considered in establishing a stable, viable, and self-sustaining *Personnel* management capability for a typical organization.

Assumptions: The *Personnel* section of the Management Decision Model applies to the management of personnel at all levels within the organization, including those in leadership positions.

- As subject matter experts drill down into the model, certain aspects of *Personnel* may not apply to all organizations due to peculiar or unique circumstances.
- All modifications to the model will be coordinated with and approved by the Office of Primary Responsibility so that appropriate adjustments can be made to accommodate aggregation and roll-up calculations.

Definitions: See Appendix E for definitions of common terms. Listed below are the definitions of terms unique to this section of the Model:

- *Vetting:* The actual term means “to subject to thorough examination or evaluation.”⁹ In this section, it encompasses all forms of evaluation of prospective candidates beyond the standard resume and interview process.
- *Intra-Agency Media:* All forms of communications within the organization to disseminate information about topics of interest down to the lowest levels. Examples: monthly newsletters, intranet bulletin boards, e-mails, meetings, and brown bag lunches.
- *Compensation Program:* Program established to pay employees equitably and fairly and, at the same time, spend employment funds economically. It involves consideration of local conditions that affect recruiting and retaining qualified employees, equitable treatment of employees, effect of pay actions on other employees, and the employee’s qualifications and service history for the position being filled.¹⁰ Typically, compensation program includes salary, bonuses, stock options, awards, and special pay.¹¹
- *Employment Equity:* Programs that address issues, such as diversity, counseling, complaints, affirmative employment, civil rights, and disabilities, to facilitate antidiscrimination in the hiring, development, and advancement of employees within the organization.¹²

Description: Key to any *Personnel* system within an organization is the ability to develop and implement strategies to identify, recruit, and retain a high-performance workforce. Human capital strategy should be aligned with mission, goals, and organizational objectives and integrated into strategic plans, performance plans, and budgets. Another standard of

⁹ <http://dictionary.reference.com/search?q=vetting>.

¹⁰ <http://www.doi.gov/hrm/pmanager/er8f.html>.

¹¹ <http://www.jnj.com/careers/compprog.html>.

¹² <http://www.doi.gov/hrm/pmanager/eo.html>.

success is a results-oriented performance culture in which the organization has a diverse, results-oriented workforce. Moreover, the organization should have a performance management system that effectively differentiates between high and low performance, and it should have a system that links individual, team, and unit performance to organizational goals and desired results.¹³

This section covers the personnel management of an organization and is divided into three key areas. *Accession* covers the initial *hiring* and management of new employees in the organization. *Retention* addresses the organizational programs and systems designed to retain quality employees. *Manpower management* covers the specific *policies, planning, programming, budgeting, and reporting* during the life cycle of the employee.

Summary: A highly efficient *Personnel* system includes all aspects of managing employees from the time they are hired until they leave the organization. Sufficient strategies, programs, systems, and procedures are essential to develop a technical, professional, and retainable workforce.

¹³ <http://apps.opm.gov/HumanCapital/standards/index.cfm>.

Chapter 7—Facilities

Purpose: To map out the key high-level *Facilities* program elements that should be considered in establishing a stable, viable, and self-sustaining *Facilities* management capability in a typical organization.

Assumptions: A key assumption is that the organization either already owns or can acquire (through purchase or lease) the necessary real estate to support an efficient organization.

- As subject matter experts drill down into the model, certain aspects of *Facilities* management may not apply to all organizations due to peculiar or unique circumstances.
- All modifications to the model will be coordinated with and approved by the Office of Primary Responsibility so that appropriate adjustments can be made to accommodate aggregation and roll-up calculations.

Definitions: See Appendix E for definitions of common terms. Listed below are the definitions of terms unique to this section of the Model:

- *Facilities:* All real property belonging to an organization.
- *Real Estate:* Real property owned or under the control of the organization. It includes the *land*, right, title, and interest therein and improvements thereon (that is, *buildings* and *utilities/networks*). The *land* includes minerals in their natural state and standing timber; when removed from the land, these become personal property. Rights and interest include leaseholds, easements, rights-of-way, water rights, and air rights. Installed building equipment is considered real estate until removed. Equipment in place is considered personal property.¹⁴
- *Standards:* Specific design criteria for each type of *building*, based on function and purpose.

Description: All organizations (public or private) require facilities to perform their mission. From standard office work to production facilities or proving grounds required for testing equipment or training personnel, the need for facilities exists. Every local, city, State, and Federal Government organization conducts facilities management through a public works function; therefore, this model draws from the U.S. Army Facilities Engineering Regulations and provides basic policies and responsibilities for managing installation-level public works activities. The MDM accounts for facilities engineering, housing, and environmental support. The model emphasizes the need to establish policies for facilities maintenance and repair standards. It also includes elements for designing, planning, and executing facilities projects.¹⁵

Facilities management has two key elements. *Availability/adequacy* covers the initial assessment of the available real estate. Included in this assessment are the three aspects of real property—*land*, *buildings*, and *utilities/networks*. *Management* covers the specific areas

¹⁴ Army Regulation 405–90, Real Estate, Disposal of Real Estate, 10 May 1985, Glossary, Section II, Terms.

¹⁵ Army Regulation 420–10, Facilities Engineering, Management of Installation Directorates of Public Works, Apr 15, 1997, para 1-1.

of *operations, planning, programming, budgeting, and engineering* as it applies to the *acquisition, maintenance, repair and construction* of facilities.

Summary: An efficient organization must have sufficient *Facilities* (real property) in order to produce quality results. Once these facilities are acquired, they must be constantly surveyed and maintained for adequacy based on changes internal or external to the organization.

Chapter 8—Resource Management

Purpose: To map out the key high-level *Resource Management* elements that should be considered in establishing a stable, viable, and self-sustaining *Resource Management* capability for a typical organization.

Assumptions: The organization being evaluated uses monetary funds, property, and other assets to achieve established goals, objectives, production rates, or readiness. These monetary funds require a coordinated, documented system to help minimize misuse, waste, and corruption.

- As the subject matter expert drills down into the model, certain aspects of *Resource Management* may not apply to all organizations due to peculiar or unique circumstances.
- All modifications to the model must be coordinated with and approved by the Office of Primary Responsibility so that appropriate adjustments can be made to accommodate aggregation and roll-up calculations.

Definitions: *Resource Management* is the effective control over and accountability for all funds, property, and other assets to ensure they are safeguarded and used efficiently to fulfill authorized purposes. *Resource Management* includes activities such as budgeting, costing, managing revenues, managing property, procuring, and fiscal auditing. Consequently, the model describes those elements necessary for the development of budgets and tracking of money throughout the organization. See Appendix E for definitions of common terms. Listed below are the definitions of terms unique to this section of the model:

- *Revenues:* All monetary instruments entering the organization, including profits, cash from sales and services, and budget authority in the case of Government organizations.
- *Internal:* All controls designed by the organization and those applied by the organization internally.
- *External:* All controls applied to the organization by external authorities, including limitations on the authority of management.

Description: The model details essential elements required for the management of funds. Healthy organizations *budget* into the future for necessary monetary resources, accurately *account* for money provided or gained from all sources, and establish *fiscal controls* to prevent unauthorized use or misuse of funds.

Adequate budgets include *planning* and *programming*. An organization's budget planning captures the assumptions and requirements necessary to achieve program objectives.

Accounting involves the accurate recording and reporting of *expenditures* and *revenues*. A *tracking system* including standards for documenting transactions and maintaining accountability is also integral to an adequate accounting system. A sufficient accounting system ensures accurate documentation of transactions for auditing an organization's obligations.

Fiscal controls are those policies and procedures that ensure management provides reasonable assurance that operations are effective and efficient, and that financial reporting is reliable. *External* controls provide limitations on management authority and verification of financial reports. Effective *internal* control also helps in managing change to cope with shifting environments and evolving demands and priorities.

Summary: Accurate budgeting and accounting for monetary assets ensures effective use of money either generated by or provided to the organization. Sufficient fiscal controls are necessary to minimize opportunities for waste, fraud, and abuse, and to ensure reliable financial reporting.

Chapter 9—Intelligence

Purpose: To map out the key high-level *Intelligence* elements that should be considered in establishing a stable, viable, and self-sustaining *Intelligence* capability for a typical organization.

Assumptions: A robust *Intelligence* program is an aspect of organizational structure that doesn't fit neatly into the DOTMLPF model; thereby, it requires special consideration.

- As subject matter experts drill down into the model, certain aspects of *Intelligence* may not apply to all organizations due to peculiar or unique circumstances.
- All modifications to the model will be coordinated with and approved by the Office of Primary Responsibility so that appropriate adjustments can be made to accommodate aggregation and roll-up calculations.

Definitions: *Intelligence* results from the *collection, processing, integration, analysis, evaluation, and interpretation* of available information concerning *external and internal threats* to the organization. Information and knowledge may be obtained through overt or covert observation, *investigation, analysis, or assimilation*. See Appendix E for definitions of common terms. Listed below are the definitions of terms unique to this section of the model:

- *Tactical:* Immediate operational information using existing resources.
- *Strategic:* Tactics and types of resources to counter anticipated or actual new threats.
- *Counterintelligence:* Information gathered and activities conducted to protect sensitive data or persons against espionage, other intelligence activities, sabotage, or assassinations conducted for or on behalf of foreign powers, insurgent organizations, persons, or international terrorist activities.¹⁶

Description: Intelligence can be divided into five broad categories: *requirements, collection, threats, analysis, and dissemination*. Methods of collection can take many forms, but can be categorized as *technical, surveillance, imagery, human, or open source* (readily available).¹⁷

Interpretations of data allow for *integration*, and ultimately, *recommendations*. Equally important are *release authority* and *safeguarding* procedures, which establish control of intelligence information. Intelligence information can be productively used to the advantage of the organization through *exploitation* to allow policy makers to make informed decisions.

Summary: The primary mission of an intelligence program “is to collect, evaluate, and disseminate [internal and external] intelligence to assist. . . in making decisions relating to national security.”¹⁸ A well-structured intelligence program provides vital and actionable information to thwart threats and to confront risks posed by overt and covert actions against the organization.

¹⁶ AR 381-10, 1 July 1984, Appendix A.

¹⁷ The United States Intelligence Community (In a Nutshell), http://www.intelligence.gov/ic_in_a_nutshell/index.htm.

¹⁸ Central Intelligence Agency, Frequently Asked Questions, http://www.cia.gov/cia/public_affairs/faq.html#1.

Chapter 10—Medical

Purpose: To map out the key high-level *Medical* elements that should be considered in establishing a stable, viable, and self-sustaining *Medical* system capability for a typical organization.

Assumptions: A *Medical* program doesn't fit neatly into the DOTMLPF model; thereby, it requires special consideration. An effective and efficient medical system is applicable to any institution or organization, as one of many programs that signifies the organization's concern for the health and welfare of its employees.

- As subject matter experts drill down into the model, certain aspects of the *Medical* program may not apply to all organizations due to peculiar or unique circumstances.
- All modifications to the model will be coordinated and approved by the Office of Primary Responsibility so that appropriate adjustments can be made to accommodate aggregation and roll-up calculations.

Definitions: See Appendix E for definitions of common terms. Listed below are the definitions of terms unique to this section of the Model:

- *Health sciences:* Those medical sciences not addressed in the first two areas of *patient care* and *preventive medicine*, for example, veterinary, entomology, occupational health, etc.
- *Patient care:* Staffing, equipment and supplies of hospitals and clinics.
- *Preventive medicine:* Social services and immunizations.
- *Other medical programs:* Addresses the health sciences and research functions.

Description: The MDM depicts the elements that should be considered to establish and maintain a viable medical capability to enhance mission accomplishment and performance of an organization. The medical department should provide medical services and support under all conditions and conserve the organization's efficiency and productivity.¹⁹

Accomplishing the medical mission requires the following:

- Developing and executing coordinated *plans* and *programs* to provide the best possible health service during normal operations and in times of natural disaster to eligible personnel, within available resources;
- Establishing health *standards*;
- Selecting medically fit personnel and disposition of the medically unfit;
- Applying effective means of preventive and curative health services;
- Executing the approved medical research, development, test, and evaluation program;
- Applying effective means of health education and management.²⁰

¹⁹ Army Regulation 40–1, Medical Services, Composition, Mission, and Functions of the Army Medical Department, para 1-5.

²⁰ Ibid.

Summary: Organizations require an effective and efficient *Medical* program. The overall health and well-being of the workforce in an organization is crucial to the performance of duties and the success of the organization.

Chapter 11—Education

Purpose: To map out the key high level *Education* elements that should be considered in establishing a stable, viable, and self-sustaining *Education* capability for a typical organization.

Assumptions: An *Education* program is an aspect of organizational structure that doesn't fit neatly into the DOTMLPF model; thereby, it requires special consideration.

- As subject matter experts drill down into the model, certain aspects of *Education* may not apply to all organizations due to peculiar or unique circumstances.
- All modifications to the model will be coordinated with and approved by the Office of Primary Responsibility so that appropriate adjustments can be made to accommodate aggregation and roll-up calculations.

Definitions: See Appendix E for definitions of common terms. Listed below are the definitions of terms unique to this section of the Model:

- *Education:* Encompasses programs associated with teaching and learning general and specific skills, knowledge, good judgment, and wisdom to support the organization. A fundamental goal of an education program is to foster the organizational culture and to sustain that culture from generation to generation. Career development training is not included in education.

Description: The MDM identifies the key elements of a self-sustaining *Education* program. Every organization needs to establish and maintain a quality education program to ensure members of the institution have basic literacy and communication skills. Without an executable education policy, the organization can not sustain an effective and efficient training program. The model, therefore, draws a distinction between *Education* and *Training*.

An education program requires *structure, policies, programs, and management* to function effectively. To facilitate administration of an education program, an organization must have significant *vision* to carry out *goals and objectives*, typically under numerous *constraints* and limitations. To clearly support a population, *programs* designed to support *elementary, secondary, and university* level education require significant consideration. *Planning, programming, and budgeting* are integral for overall management and to establish a comprehensive education program. The development of governing regulations and guidance naturally follows.²¹

Summary: The philosophy behind an education process recognizes that a self-sustaining enterprise requires an educated society. Delivering education should be a baseline policy for all ages. The model maps the high-level elements that should be considered to establish a credible education program.

²¹ U.S. Department of Education, Overview, http://www.ed.gov/about/overview/focus/what_pg4.html#whatdoes.

Chapter 12—Transportation

Purpose: To map out the key high-level *Transportation* elements that should be considered in establishing a stable, viable, and self-sustaining *Transportation* capability for a typical organization.

Assumptions: A *Transportation* program is an aspect of organizational structure that doesn't fit neatly into the DOTMLPF model; thereby, it requires special consideration. *Transportation* systems are typically identified with nation-states due to the complexity and costs of the programs and resources. However, all organizations should consider the *Transportation* function for applicability.

- As subject matter experts drill down into the model, certain aspects of *Transportation* may not apply to all organizations due to peculiar or unique circumstances.
- All modifications to the model should be coordinated with and approved by the Office of Primary Responsibility so that appropriate adjustments can be made to accommodate aggregation and roll-up calculations.

Definitions: See Appendix E for definitions of common terms. Listed below are the definitions of terms unique to this section of the Model:

- *Transportation*: as all land, water, and air systems and transportation assets necessary for and used in the movement of people and things across the range of operations.

Description: “A transportation program provides fast, safe, secure, efficient, accessible, and convenient transportation systems that meet ... vital national interests and enhances the quality of life ... today and into the future.”²² Establishment and sustainment of a comprehensive transportation program requires a national *policy, regulations, and instructions*.

Typically, a *commission* or transportation *board* manages a transportation system and establishes *objectives* and *goals* based on stated *requirements* and *strategies*. *Safety and security policies* and *procedures* ensure reliable, dependable operations within the system.

System infrastructure requirements in any transportation system are dependent upon available resources and capabilities, but generally include *highways, rail, aviation, and maritime* modes of transport.

Summary: A reliable, safe, secure, and efficient *Transportation* system is a vital requirement for any organization responsible for the movement of people, products, and supplies. In addition to satisfying mobility requirements, a transportation system provides lines of communication to facilitate national or organizational unity and cohesion.

²² U.S. Department of Transportation Mission Statement, <http://www.dot.gov/mission.htm>.

Appendix A—CFC-A Commanding General Request Letter



DEPARTMENT OF DEFENSE
COMBINED FORCES COMMAND – AFGHANISTAN
OPERATION ENDURING FREEDOM
KABUL, AFGHANISTAN
APO AE 09356

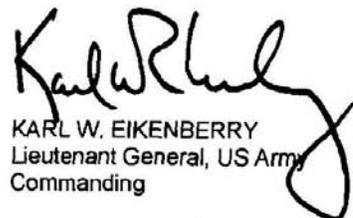
CFC-A CG

26 June 2005

MEMORANDUM FOR Inspector General Department of Defense (Attn: Wm Brem Morrison, III, DoD IG Assistant Inspector General, Inspections and Evaluations)

SUBJECT: Management Decision Model for "Health Check" of Afghanistan Ministry of Defense (MOD) and the Afghan National Army (ANA)

1. The U.S. Government has made a substantial investment and significant progress over the past three years to establish the Ministry of Defense (MoD) and reconstitute the Afghanistan National Army (ANA).
2. During my discussions on 12 June 2005 with the Afghanistan Minister of Defense, we mutually agreed on the desirability of a means to conduct a capabilities assessment of the MoD and ANA. Without a well-conceived approach to measuring and analyzing capability, it is difficult to measure progress and identify areas that require emphasis.
3. I request that your in-country team assist in creating a tool that my headquarters and the Afghan MoD can later use to evaluate Afghan MoD and ANA capability and measure progress over time. I do not expect and do not want you to be concerned with evaluation of current capability or assessment of the effectiveness of the systems currently in place. Your report should focus on producing a management decision model and a systemic approach to monitoring and managing critical activities, not on evaluation of government or Combined Forces Command performance. The main effort should be on those activities required to achieve desired levels of organizational effectiveness and readiness in the MoD and the ANA. Your model should be a universal top-down mapping of high level elements. The model should also:
 - be reusable and scalable
 - have an expandable architecture
 - be adaptable to existing software applications, e.g., word and excel
4. Your support of this request will provide the Command and MoD a value-added management decision system. Your expertise in analyzing organizations and conducting independent, objective studies will help us develop a methodology for an enterprise-wide assessment process. I appreciate your help in this area, and look forward to reviewing the results of your work. My point of contact for this request is COL Jim Moentmann, Chief of Staff.


KARL W. EIKENBERRY
Lieutenant General, US Army
Commanding

Appendix B—DoD IG Team-Afghanistan

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Appendix C—CFC-A Deputy Commanding General Terms of Reference

TERMS OF REFERENCE STUDY INTO THE ANA

BACKGROUND

1. The US Government has made a substantial investment into the training of the Afghan National Army (ANA) over the past 3 years and there has been much progress made. The Commanding General Combined Forces Command Afghanistan (CG CFC-A) has discussed with the Minister of Defense (MOD) the desirability of conducting a joint ‘health check’ of the ANA, and as a result of that study, to review the Office of Military Cooperation Afghanistan (OMC-A) and its subordinate commands. The timescale for developing a report with recommendations was established with the suspense being, if possible, the end of June 2005. The study leader will be Major General P Gilchrist, Deputy Commanding General CFC-A.

SCOPE

2. The study scope is to examine all levels of command of the ANA, from the MOD down to Kandak level to ascertain the ‘ground truth’ on the state of training, morale, administration, procurement, logistics and leadership of the Army at each level of command, and to make recommendations based on the findings. Armed with those indicators the study team will then examine the role, manning, leadership, planning, training and logistic support delivered by OMC-A and its subordinate commands, and again make recommendations.

CONSTRAINTS

3. The methodology used will have to be relatively simple due to the timescale, but should deliver the results required in order to enable any modification to process or organization to be recommended. It is not intended to challenge the size or doctrinal approach and posture of the Army or to consider defense policy in this study, except where the conclusions recommend adjustments.

METHODOLOGY

4. A team will be created from CFC-A, OMC-A, CJTF-76 and use will employ a visiting DoD IG Team. The team will examine G1 to G9 staff issues at all levels of command, including PAO, Effects and acquisition. The study team will visit each Corps Headquarters, a Brigade Headquarters and 2 Kandaks in each Corps area. Particular attention will be paid to command and control procedures between levels of command and the flow of Policy, Standards and Procedures.

FOCUS AREAS

5. The study will focus on the following areas:

G1 - Personnel.

- Personnel policies, procedures and record keeping
- Pay procedures
- Desertion/absence rates
- Leave procedures
- Ethnic balance
- Manning levels and structures
- Posting and promotion policy and procedures
- Recruiting and retention
- Death benefits and compensation schemes
- Spiritual care and guidance

G2 – Intelligence and Security

- Following the DIA report
- Examine security, vetting and counter intelligence posture
- Intelligence systems and needs
- Security procedures at all levels including arms and ammunition

G3 - Command and Control

- Communications procedures and staffing
- Planning, conduct and control of operations
- Operational and routine reporting
- Leader quality
- Liaison

Training

- Training Programs
- Quality and relevance of entry level training
- Specialist training
- Quality of career development training
- Training and qualification records

G4 - Sustainability

- Logistic systems and procedures
- Accountability
- Equipment care
- Recruiting system
- Structures
- Construction

G5

- Operational planning
- Organization

G6

- Communications
- Command and control

G8

- Financial Processes
- Probity checks, balances and delegations

Acquisition

- Competition policy, approvals and contract award procedures

PAO

- Agility, Information Operations and policy.

DELIVERABLES

6. Taking into account planned changes:
 - Assessment of Readiness State of the ANA
 - Equipment
 - Training
 - Personnel
 - Command and Control
 - Validation of Defense Sector and ANA Structures
 - Identify Required Force Structure Changes
 - Identify areas of potential synergy across GoA Ministries
 - Assessment of OMC-A/TF Phoenix Delivery Systems
 - Roles
 - Organization
 - Staffing
 - Trainer Requirements/opportunities
 - Assess Gaps and Suggest Improvements as Appropriate

KEY BENEFITS

Reports over the last few months have underlined the need for a holistic assessment of the ANA. Through this study we will gain greater clarity on the following key areas;

- a. The level of desertions.
- b. The need to gain an independent view of the state of training and operational capabilities at all levels, and determining the force effectiveness and ability to conduct independent operations.
- c. Gauging leadership quality and training. Review quality of officers and their training. Review NCO quality and training.
- d. Reviewing the administration of the ANA, in particular discipline, food contracts, personnel functions and records.
- e. Assessing the ethnic balance, posting policy and promotion policy. Ensure that they are open and fair, without favor.
- f. Determining the agility of the C3 system, the passage of information and orders and the LO posture.
- g. Reviewing the equipment holdings, logistic support and equipment care.
- h. Reviewing procurement procedures, competition policy, contract award procedures and checks and balances.
- i. The review of financial procedures and probity.
- j. The review of pay procedures, planned enhancements, and how the families of deployed troops receive pay; and including a review of the deployment pay policy.
- k. Reviewing the robustness of the planning process.
- l. The review of staffing levels, capability, and the quality of staff training.
- m. The review of construction progress against the delivery of trained troops.
- n. The review of ANA and ANP recruiting policies and processes, also considering retention and re-enlistment statistics.
- o. The review of the procedures for recruits entering the army, from approach to the recruiting station to the KMTC via the Kabul Military Entrance Processing Station (MEPS).
- p. Reviewing the manning at OMC-A and its subordinate commands to determine whether the manning balance is appropriate now and for known future plans such as Police training, MOI reorganization and logistic support to the police.
- q. The review of Embedded Training Team manning requirements.
- r. The review of MOD manning levels, ethnic balance, quality, standards, structure, coordination and communications.
- s. The review of the CN posture of the ANA.
- t. The review of CSS and CS enablers for the ANA, and of requirements for other operational enablers.
- u. The review of Air Element requirement and staffing. Take initial view on the feasibility of a Joint helicopter Command.
- v. The review of Intelligence requirement and capability, drawing heavily on the DIA report.

Appendix D—DOTMLPF ‘Plus’ Definitions

For the purpose of this model, we defined the DOTMLPF+ elements as shown below. The basis for our definitions is Appendix H of the Chairman of the Joint Chiefs Manual 3170.01B, 11 May 2005, and the Department of Defense Dictionary of Military and Associated Terms, Joint Publication 1-02. We added several elements to DOTMLPF to expand the applicability of our model to a wider spectrum of organizations.

(1) Doctrine. Doctrine is the collection of fundamental principles that guides the operations and functions of the organization toward common goals and objectives. Doctrine helps the leadership establish structure, strategy, policy, and procedures to describe what the organization desires to accomplish and how it intends to achieve its mission or function.

(2) Organization/Structure. Organization describes how the evaluated entity is structured. It includes the division of authority, roles, and responsibilities, and defines the functionality of subordinate elements within the organization.

(3) Training. Training is the education and preparation of individuals or groups within the organization to ensure they have the expertise to accomplish assigned tasks. It includes training upon entry into the organization. It also includes continuing education and skills development during an individual’s assignment in the organization.

(4) Material. Material refers to acquiring, maintaining, and sustaining all items necessary to equip, operate, maintain, and support all organizational activities. Material excludes land, buildings and facilities, and utilities.

(5) Leadership. Leadership encompasses the selection, development, performance, and assessment of those individuals exercising authority in the organization. Ethics and communication are included as critical elements of effective leadership.

(6) Personnel. Personnel is defined as those human resource programs used within the organization to bring qualified people in, keep them in, and manage them while they are assigned to the organization. It includes all documentation associated with personnel actions.

(7) Facilities. Facilities are real property consisting of one or more of the following: a building, a structure, a utility system, pavement, and underlying land. Key facilities are selected assets of primary importance to the accomplishment of strategic objectives.

(8) Resource Management. Resource Management is the effective control over and accountability for all funds, property, and other assets to ensure they are safeguarded and used efficiently to fulfill authorized purposes. Resource Management includes activities such as budgeting, costing, managing revenues, managing property, procuring, and fiscal auditing.

(9) Intelligence. Intelligence results from the collection, processing, integration, analysis, evaluation, and interpretation of available information concerning external and internal threats to the organization. Information and knowledge may be obtained through overt or covert observation, investigation, analysis, or understanding.

(10) Medical. Medical refers to all services performed, provided, or arranged by the organization to promote, improve, conserve, or restore the mental or physical well-being of personnel. These services include, but are not limited to, patient care, medical supply, equipment, dental, veterinary, laboratory, and optometric services.

(11) Education. Education encompasses programs associated with teaching and learning general and specific skills, knowledge, good judgment, and wisdom to support the organization. One of the fundamental goals of education is to convey the culture from generation to generation. Career development training is not included in education. Education will be a subset of training for many organizations.

(12) Transportation. Transportation is defined as all the land, water, and air routes and transportation assets necessary for and used in the movement of organization supplies and products across the range of operations.

Appendix E—Common Terms

Accountability: Responsibility to someone or for some activities.

Analysis: An examination of the component parts of a whole and their relations with a goal of making an interpretation.

Assessment: (Either summative or formative) can be objective or subjective. Objective assessment is a form of questioning which has a single correct answer. Subjective assessment is a form of questioning which may have more than one current answer (or more than one way of expressing the correct answer).

Assumptions: A proposition that is assumed, that is, treated within the context of a discussion as if it were known.

Authority: One that is invested with the power, especially a government or body of government officials, to enforce laws, exact obedience, command, determine, or judge.

Benefits: A payment made or an entitlement available either of monetary or nonmonetary value.

Budgeting: A systematic plan for the expenditure of a usually fixed resource during a given period.

Management: The act, manner, or practice of managing; handling; supervision; or control.

Metrics: The application of statistics and mathematical analysis to a specified field of study.

MOU/MOA: Memorandum of Understanding/Memorandum of Agreement.

Planning: An act of formulating a program for a definite course of action.

Programming: The designing, scheduling, or planning of a program.

Requirements: Definition of what potential users want a system to do and the features necessary to fulfill a need.

Socialization: The process of learning interpersonal and interactional skills that are in conformity with the values of one's organization.

Standard: An acknowledged measure of comparison for quantitative or qualitative value; a criterion.

Strategy: A long-term plan of action designed to achieve a particular goal.

Validation: The act of confirming; finding or testing the truth of something.

Value: Beliefs of a person or social group in which they have an emotional investment; A principle, standard, or quality considered worthwhile or desirable.

Vision: The manner in which one sees or conceives of something.

EXAMPLE SUMMARY SHEET FOR THE MDM

OVERALL ORGANIZATION RATING		71% INTERIM RATING		> 84.5% + (Good) 2 50.0% - 84.5% (Satisfactory) 1 < 50% (Needs Improvement) 0	
62%		71%		2	
62%		71%		1	
62%		71%		0	

Level I Element	Weight	Level II Element	Weight	Level I Element	Weight	Level II Element	Weight
Doctrine	1	Authority	2	Facilities	1	Availability/Adequacy	1
		Statutory Oversight	1			Management	1
		Strategic Plan	1			Resource Management	1
		Policy	1				
Organization / Structure	1	Authority	1	Accounting	1	Fiscal Controls	1
		Roles and Responsibilities	1	Intelligence	1	Requirements	1
		Composition	1			Threats	1
		Functionality	1			Collection	1
		External Support	1			Analysis	1
Training	4	Accession	1			Dissemination	1
		Career Development	1	Patient Care	1		
		Records Management System	1	Preventive Medicine	1		
		Budget	1	Other Medical Programs	1		
Material	1	Acquisition/Procurement	1	Education	1	Structure	1
		Maintenance/Repair	1			Policy	1
		Sustainment	1			Programs	1
Leadership	1	Selection	1	Management Education	1	Transportation	1
		Professional Development	1	Structure	1		
		Support Infrastructure	1	Policy	1		
Personnel	3	Accession	1	Programs	1	Management Education	1
		Retention	1	Structure	1		
		Manpower Management	1	Policy	1		
				Programs	1		

EXAMPLE SHEET—DOCTRINE

DOCTRINE

■	= 2	> 84.5% +	(Good)
■	= 1	50.0% - 84.5%	(Satisfactory)
■	= 0	< 50%	(Needs Improvement)

Level I Element	Weight	Level II Element	Weight	Level III Element	Weight	Level IV Element																									
Doctrine	1	Authority	2	62%	Executive Authority	4	67%	Source(s) of Authority	1																						
								Definition/Purpose	1																						
								Limitations	2																						
								Reporting Requirements	2																						
					Legislative Authority	2	67%	Source(s) of Authority	2																						
								Definition/Purpose	1																						
								Limitations	1																						
					Judicial Authority	5	50%	Source(s) of Authority	1																						
								Definition/Purpose	1																						
					International Treaties	0.5	50%	Limitations	1																						
		Reporting Requirements	1																												
		Source(s) of Authority	1																												
		Inter / Intra Agency Authority	1	100%	Definition/Purpose	1																									
					Limitations	1																									
					Reporting Requirements	1																									
					Source(s) of Authority	2																									
		Statutory Oversight	1	49%	Internal Control	1	29%	Authority	0																						
								Organization	2																						
								Policies	1																						
								Procedures	1																						
					IG System	1	43%	Training	1																						
								Standards (Rules of Law)	0																						
								Assessment/Reporting Process	0																						
Anti Corruption Process	1				75%	Resources/Funding	0																								
						Authority	2																								
						Organization	0																								
Strategic Plan	1	71%	Vision	1	2	Authority	2																								
						Organization	0																								
						Policies	1																								
						Procedures	0																								
						Training	1																								
						Standards (Rules of Law)	0																								
						Assessment/Reporting Process	0																								
						Resources/Funding	2																								
						Policy	1	57%	Personnel / Manpower	1	2	Authority	1																		
												Organization/Components	1																		
Policies	1																														
Procedures	2																														
Training	2																														
Standards (Rules of Law)	2																														
Assessment/Reporting Process	2																														
Policy	1	57%	Operations	1	1							Yes / Pending / No																			
												Logistics	1	1	Yes / Pending / No																
															Organizational Structure	1	1	Yes / Pending / No													
						Medical / Health Affairs	1	1	Yes / Pending / No																						
									Facilities Construction	1	0							Yes / Pending / No													
																		Acquisition	1	1	Yes / Pending / No										
																					Communications	1	2	Yes / Pending / No							
																								Security	1	2	Yes / Pending / No				
																											Resource Mgmt	1	1	Yes / Pending / No	
																														Education / Training	1
Legal	1	1	Yes / Pending / No																												
			Administrative	1	1							Yes / Pending / No																			
												Social	1	1	Yes / Pending / No																
						Intelligence	1	1							Yes / Pending / No																
									Environmental	1	1				Yes / Pending / No																

EXAMPLE SHEET—ORGANIZATION/STRUCTURE

ORGANIZATION / STRUCTURE

	= 2	> 84.5% +	(Good)
	= 1	50.0% - 84.5%	(Satisfactory)
	= 0	< 50%	(Needs Improvement)

Level I Element	Weight	Level II Element	Weight	Level III Element	Weight	Level IV Element	
Organization / Structure	1		77%				
		Authority	1	100%	Executive Authority	1	100%
					Legislative	1	100%
		Roles and Responsibilities	1	83%	Span of Control	1	2
					Chain of Command / Authority	1	1
					Accountability	1	2
		Composition	1	58%	Rank	1	50%
					Diversity	1	67%
		Functionality	1	67%	Organizational Culture	1	50%
					Mission Accomplishment	1	100%
					Performance / Metrics	1	50%
		External Support	1	75%	Foreign	1	100%
					Domestic	1	50%
					Source(s) of Authority		2
					Definition/Purpose		2
					Limitations		2
					Reporting Requirements		2
					Source(s) of Authority		2
					Definition/Purpose		2
					Limitations		2
					Reporting Requirements		2
					Yes / Partial / No		
					Yes / Partial / No		
					Yes / Partial / No		
					System		1
					Proper Distribution		1
					Gender		2
					Ethnicity		0
					Proportionality		2
					Appropriateness		1
					Adaptable		1
					Flexible		
					Effectiveness		2
					Efficiency		2
					Timeliness		
					Standards		1
					Assessment		1
					Recording		1
					Reporting		
					Reliability		2
					Criticality		2
					Mission Impact		2
					Reliability		0
					Criticality		2
					Mission Impact		1

EXAMPLE SHEET—TRAINING

TRAINING

	= 2	> 84.5% +	(Good)
	= 1	50.0% - 84.5%	(Satisfactory)
	= 0	< 50%	(Needs Improvement)

Level I Element	Weight	Level II Element	Weight	Level III Element	Weight	Level IV Element	
Training	4	71%					
		Accession	1	66%			
				Goals and Standards	1	75%	End State Requirement Progress Assessment Process
				Entry Level Training	5	67%	Indoctrination Conditioning Basic Skills
				Leadership Training	1	50%	Vision Values Formal Program
				Socialization	1	67%	Values Statements Behavior Standards Cultural Factors
		Career Development	1	51%			
				Continuing Education	1	50%	Performance Improvement Skills Enhancement
				Leadership Program	1	50%	Skills Development Succession Plan
				Specialized/Technical Training	1	25%	Identify Requirements Vocational Need
				Instructors	1	50%	Qualifications Selection Process Evaluation
				Formal Mentoring	1	50%	Qualifications Selection Process Evaluation
				Self Improvement	1	75%	Availability of Resources Incentive
				Training Assessment System	1	30%	Requirements Standards Capability Reporting
				Recurring Training Programs	1	50%	Requirements Evaluation
				External Evaluations	1	75%	Standards Capabilities Report
		Records Management System	1	75%			
				Management System	1	75%	Effectiveness Criteria Implementation Procedures
				Data Analysis	1	75%	Validation Disposition
		Budget	1	92%			
				Planning	1	83%	Personnel Costs Equipment Costs Operations and Maintenance Costs
				Programming	1	100%	Guidance Allocation Plan Execution Plan

EXAMPLE SHEET—MATERIAL

MATERIAL

	= 2	> 84.5% +	(Good)
	= 1	50.0% - 84.5%	(Satisfactory)
	= 0	< 50%	(Needs Improvement)

Level I Element	Weight	Level II Element	Weight	Level III Element	Weight	Level IV Element	
Material	1	73%					
		Acquisition/Procurement	1	86%			
				Capability Requirements Analysis	1	75%	Customer Requirements Methodology (DOTML-PF) 2 1
				Acquisition Strategy	1	100%	Statements of Work 2 Life Cycle Costs estimate 2 Market Research 2 Performance / Functionality 2 Production Location 2
				Procurement Procedures	1	83%	Purchase Authority 2 Source Selection 1 Contract Administration 2
				Support Infrastructure	1	87%	Material Aspects 2 Training Base 1 Technical / Education Base 2 Infrastructure Networks 2
		Maintenance/Repair	1	77%			
				Spares	1	75%	Stockage Level 1 Location 2
				Repair Parts	1	67%	Ordering 2 Storing 1 Returning 1
				Contractual Agreements	1	100%	Source selection 2 Oversight 2
				Maintenance Organization/System	1	67%	Taxonomy 1 Technicians 1 Manuals / Instructions 2
		Sustainment	1	54%			
				Accountability System	1	75%	Inventories 2 Responsibility Assignments 2 Durable Item Management 1 Consumables Management 1
				Supply System	1	87%	Item Classification System 2 Consumption Rate Analysis 1 Initial Issue 2 Resupply 2
				Disposal Process	1	0%	Obsolescence / Expiration 0 Replacement 0 Discard 0

EXAMPLE SHEET—LEADERSHIP

LEADERSHIP

	= 2	> 84.5% +	(Good)
	= 1	50.0% - 84.5%	(Satisfactory)
	= 0	< 50%	(Needs Improvement)

Level I Element	Weight	Level II Element	Weight	Level III Element	Weight	Level IV Element	
Leadership	1						
		Selection	1				
				Qualifications	1		
						Education Requirements	2
						Experience Prerequisites	1
						Communication Skills	2
						Political / Social Allegiance	2
						Values Criteria	1
				Confirmation	1		
						Centralized Process	2
						Decentralized Process	2
						External Procedures	1
		Professional Development	1				
				Roles and Responsibilities	1		
						Job Description	0
						Assignment Procedures	0
						Accountability Standards	0
						Succession Policy	1
						Resource Management Training	1
						Anti-Corruption Training	1
				Appraisal System	1		
						Policies	2
						Procedures	1
						Metrics	2
		Support Infrastructure	1				
				Administration	1		
						Policies	2
						Procedures	1
						Publications	2
				Communications	1		
						Philosophy	2
						Principles	2
						Media Options	1

EXAMPLE SHEET—PERSONNEL

PERSONNEL

	= 2	> 84.5% +	(Good)
	= 1	50.0% - 84.5%	(Satisfactory)
	= 0	< 50%	(Needs Improvement)

Level I Element	Weight	Level II Element	Weight	Level III Element	Weight	Level IV Element	
Personnel	3	86%					
		Accession	1	90%			
				Hiring Process	1	100%	
						Job Analysis/Description	2
						Qualification Requirements	2
						Recruiting	1
						Interview	1
						Vetting	2
						Selection	2
				Program Management	1	80%	
						Policies	2
						Laws and Regulations	1
						Metrics	1
						Tracking	2
						Reporting	2
		Retention	1	81%			
				Employee Communications	1	75%	
						Orientation Program	1
						Performance Appraisal System	1
						Mentoring/Coaching	1
						Rewards & Recognition Program	2
				Benefits/Incentives	1	87%	
						Training & Development Program	2
						Compensation Program	2
						Morale/Welfare Programs	2
						Retirement / Pension System	1
		Manpower Management	1	86%			
				Policies	1	79%	
						Employment Equity	2
						Classification	2
						Assignment	2
						Payroll	2
						Documentation	0
						Conflict Resolution	1
						Mobilization	2
				Planning	1	87%	
						Assumptions	1
						Requirements	2
						Strategy	2
						Approval Process	2
				Programming	1	100%	
						Guidance	2
						Analysis	2
						Program Proposals	2
						Resource Allocation	2
				Budget	1	100%	
						Formulation	2
						Justification	2
						Execution Plan	2
				Program Performance Reports	1	67%	
						Office of Primary Responsibility	2
						Document Management	1
						Metrics	1

EXAMPLE SHEET—FACILITIES

FACILITIES

= 2	> 84.5% +	(Good)
= 1	50.0% - 84.5%	(Satisfactory)
= 0	< 50%	(Needs Improvement)

Level I Element	Weight	Level II Element	Weight	Level III Element	Weight	Level IV Element	
Facilities	1	50%					
		Availability/Adequacy	1	35%			
				Land	1	33%	
						Quantity	1
						Quality	1
						Location	0
				Buildings	1	38%	
						Quantity	1
						Quality	1
						Location	0
						Standards	1
				Utilities/Networks	1	33%	
						Quantity	1
						Quality	1
						Source	0
		Management	1	64%			
				Operations	1	50%	
						Waste Management Program	0
						Fire and Emergency Services	0
						Maintenance	2
						Repair	2
						Renovation	1
						Construction	1
				Planning	1	100%	
						Assumptions	2
						Requirements	2
						Strategy	2
						Approval Process	2
						Standards	2
						Space Management	2
						Master Planning	2
				Programming	1	60%	
						Future Years Development Program	1
						Guidance	1
						Analysis	1
						Program Proposals	2
						Resource Allocation	1
				Budgeting	1	83%	
						Formulation	2
						Justification	2
						Execution Plan	1
				Engineering	1	29%	
						Studies	1
						Env, Natural, Cultural Resource Mgmt.	0
						Design	0
						Architecture	0
						Contract Administration	1
						Construction Management	1
						Plans and Specifications	1

EXAMPLE SHEET—RESOURCE MANAGEMENT

RESOURCE MANAGEMENT

	= 2	> 84.5% +	(Good)
	= 1	50.0% - 84.5%	(Satisfactory)
	= 0	< 50%	(Needs Improvement)

Level I Element	Weight	Level II Element	Weight	Level III Element	Weight	Level IV Element	
Resource Management	1	87%					
		Budget	3	92%			
				Planning	1	83%	
						Assumptions	2
						Requirements	1
						Strategy	2
						Approval Process	2
				Programming	1	100%	
						Guidance	2
						Analysis	2
						Program Proposals	2
						Resource Allocation	2
		Accounting	1	83%			
				Expenditures	1	75%	
				Revenues	1	100%	
				Tracking Systems	1	75%	
						Recording	2
						Reporting	1
						Recording	2
						Reporting	2
						Standards	2
						Accountability	1
		Fiscal Controls	1	75%			
				Internal	1	100%	
						Record-keeping	2
						Asset Management	2
						Transaction Process	2
				External	1	50%	
						Assessment	2
						Limitation of Authority	0

EXAMPLE SHEET—INTELLIGENCE

INTELLIGENCE

= 2	> 84.5% +	(Good)
= 1	50.0% - 84.5%	(Satisfactory)
= 0	< 50%	(Needs Improvement)

Level I Element	Weight	Level II Element	Weight	Level III Element	Weight	Level IV Element	
Intelligence	1		49%				
		Requirements	1		13%		
				Procedures	1	25%	Tactical Strategic
				Counter Intelligence	1	0%	Monitoring Dis-information Detention Process
		Threats	1		87%		
				Domestic	3	100%	Economic Military Political
				Foreign	1	50%	Economic Military Political
		Collection	1		47%		
				Authority	1	100%	Executive Judicial Legislative
				Methods	1	47%	Signals Technical Surveillance Imagery Human Open Source
				Planning	1	25%	Assumptions Requirements Strategy Approval Process
		Analysis	1		42%		
				Interpretation	1	50%	Facts Related Information Supporting Information
				Integration	1	33%	Scenario Development Validation Recommendation
		Dissemination	1		55%		
				Release Authority	1	50%	Internal External
				Safeguarding	1	50%	Physical Electronic Investigation/Response
				Exploitation Actions	1	67%	Dis-information Deception Disruption

EXAMPLE SHEET—MEDICAL

MEDICAL

	= 2	> 84.5% +	(Good)
	= 1	50.0% - 84.5%	(Satisfactory)
	= 0	< 50%	(Needs Improvement)

Level I Element	Weight	Level II Element	Weight	Level III Element	Weight	Level IV Element		
Medical	1		0%					
		Patient Care	1		0%			
				Staff	1	0%	Training	
							Quantity	
				Hospitals / Clinics	1	0%	Experience	
							Distribution	
				Supplies / Equipment	1	0%	Capabilities	
							Capacity	
							Ordering	
							Storing	
							Tracking	
		Preventive Medicine	1		0%			
				Social Services	1	0%	Counseling	
							Risk Communication	
							Availability	
							Strategic Plan	
							Public Education	
				Immunization	1	0%	Identification	
							Research / Development	
							Distribution Plan	
		Other Medical Programs	1		0%			
				Health Sciences	1	0%	Availability	
							Qualifications	
							Standards	
							Staff	
				Research	1	0%	Funding	
							Facilities	
							Long Term Plan	

EXAMPLE SHEET—EDUCATION

EDUCATION

	= 2	> 84.5% +	(Good)
	= 1	50.0% - 84.5%	(Satisfactory)
	= 0	< 50%	(Needs Improvement)

Level I Element	Weight	Level II Element	Weight	Level III Element	Weight	Level IV Element				
Education	1		0%							
		Structure	1	0%						
				Roles and Responsibilities	1	0%	Functions/Purpose Qualifications	<table border="1" style="width: 40px; height: 20px;"><tr><td></td><td></td></tr></table>		
				Composition	1	0%	Boards/Commissions Functions/Purpose Qualifications/Appointments Procedures	<table border="1" style="width: 40px; height: 20px;"><tr><td></td><td></td></tr></table>		
		Policy	1	0%						
				Authority	1	0%	Legislation Limitations	<table border="1" style="width: 40px; height: 20px;"><tr><td></td><td></td></tr></table>		
				Regulations/Publications	1	0%	Office of Primary Responsibility Coordination Process Content	<table border="1" style="width: 40px; height: 20px;"><tr><td></td><td></td></tr></table>		
				Guidance	1	0%	MOUs/MOAs Instructions	<table border="1" style="width: 40px; height: 20px;"><tr><td></td><td></td></tr></table>		
				Financial Assistance/Aid	1	0%	Policies Procedures Records Management Program Measurements	<table border="1" style="width: 40px; height: 20px;"><tr><td></td><td></td></tr></table>		
		Programs	1	0%						
				Elementary	1	0%	Strategic Plan Policies Procedures Records Management Program Measurements	<table border="1" style="width: 40px; height: 20px;"><tr><td></td><td></td></tr></table>		
				Secondary	1	0%	Strategic Plan Policies Procedures Records Management Program Measurements	<table border="1" style="width: 40px; height: 20px;"><tr><td></td><td></td></tr></table>		
				University	1	0%	Strategic Plan Policies Procedures Records Management Program Measurements	<table border="1" style="width: 40px; height: 20px;"><tr><td></td><td></td></tr></table>		
		Management Education	1	0%						
				Strategic Plan	1	0%	Vision Mission Core values Objectives Goals Performance Metrics Assumptions and Constraints	<table border="1" style="width: 40px; height: 20px;"><tr><td></td><td></td></tr></table>		
				Planning	1	0%	Assumptions Strategy Requirements Approval Process	<table border="1" style="width: 40px; height: 20px;"><tr><td></td><td></td></tr></table>		
				Programming	1	0%	Guidance Analysis Program Proposals Resource Allocation	<table border="1" style="width: 40px; height: 20px;"><tr><td></td><td></td></tr></table>		
				Budget	1	0%	Formulation Justification Execution Plan	<table border="1" style="width: 40px; height: 20px;"><tr><td></td><td></td></tr></table>		
				Program Performance Reports	1	0%	Office of Primary Responsibility Document Management Metrics	<table border="1" style="width: 40px; height: 20px;"><tr><td></td><td></td></tr></table>		

EXAMPLE SHEET—TRANSPORTATION

TRANSPORTATION

= 2	> 84.5% +	(Good)
= 1	50.0% - 84.5%	(Satisfactory)
= 0	< 50%	(Needs Improvement)

Level I Element	Weight	Level II Element	Weight	Level III Element	Weight	Level IV Element	
Transportation	1	53%					
		Structure	1	81%			
				Roles and Responsibilities	1	75%	Functions/Purpose Qualifications
							1 2
				Composition	1	87%	Boards/Commissions Functions/Purpose Qualifications/Appointments Procedures
							1 2 2 2
		Policy	1	44%			
				Legislation	1	67%	Source of Authority Limitations Reporting Requirements
							1 1 2
				Regulations/Publications	1	50%	Office of Primary Responsibility Coordination Process Content
							1 1 1
				Guidance	1	50%	MOUs/MOAs Instructions
							1 1
		Programs	1	45%			
				Transportation System Infrastructure	1	33%	Strategic Plan Highway/Roads Rail Aviation Maritime
							1 0 1 1 1
				Safety Standards	1	25%	Policies Administration Procedures Metrics
							1 1 0 0
				Security Standards	1	75%	Policies Administration Procedures Metrics
							2 1 2 1
		Management Education	1	41%			
				Strategic Plan	1	57%	Vision Mission Core values Objectives Goals Performance Metrics Assumptions and Constraints
							1 1 1 2 2 0 1
				Planning	1	100%	Assumptions Strategy Requirements Approval Process
							2 1 1 1
				Programming	1	0%	Guidance Analysis Program Proposals Resource Allocation
							1 1 1 1
				Budget	1	0%	Formulation Justification Execution Plan
							1 1 1 1
				Program Performance Reports	1	50%	Office of Primary Responsibility Document Management Metrics
							1 1 1

Instructions on Using the Management Decision Model

Step 1. Starting the Management Decision Model.

Note: When you start the Excel ® program, you must first set the macro security level to medium (See figures 1 and 2)

Figure 1.

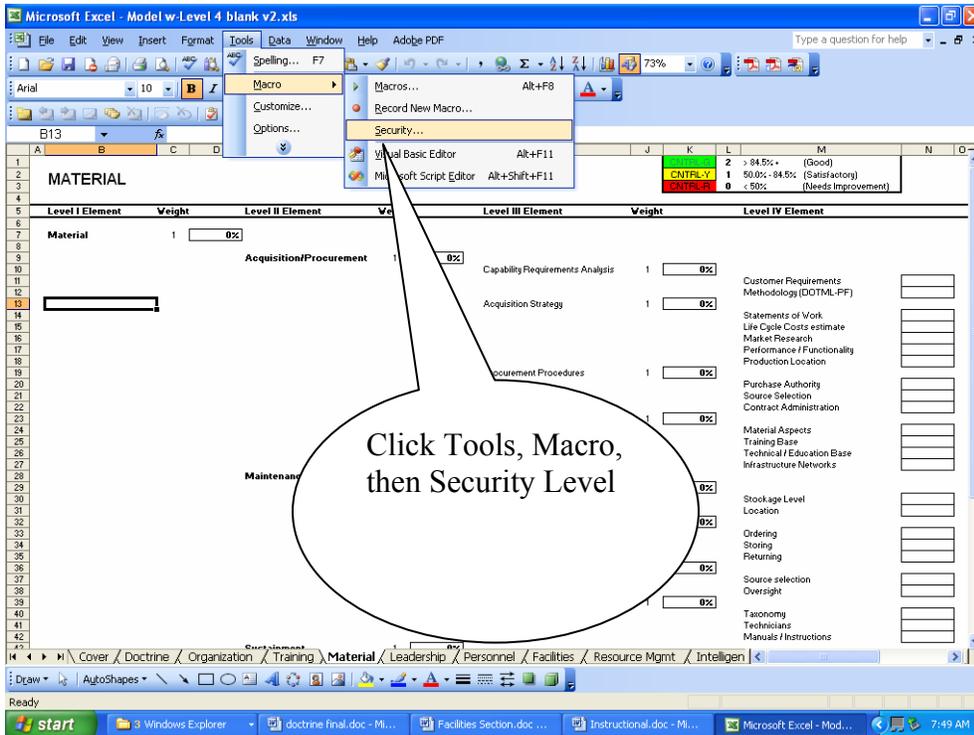
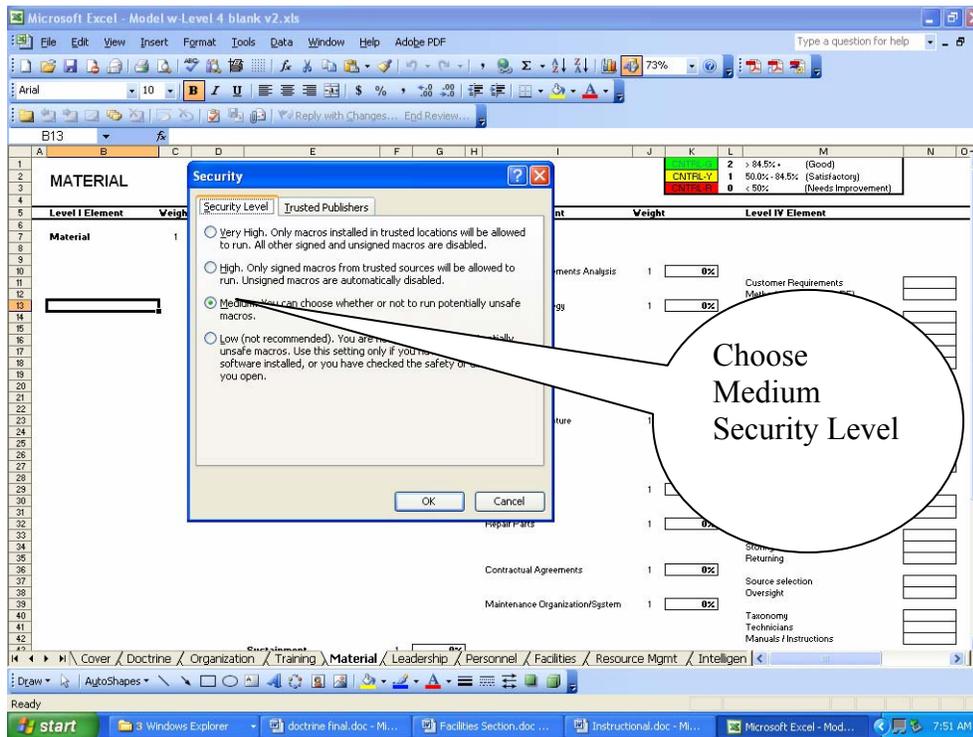


Figure 2.



Open the file. To start the Management Decision Model, open Excel ® file labeled “Mgmt. Decision Model.xls.” Open the file by clicking on the tool bar {File} then {Open}. Then use the scroll bar to locate “Mgmt Decision Model.xls.” Figures 3 through 6 illustrate the steps in opening the Excel file called “Mgmt Decision Model.”

Figure 3.

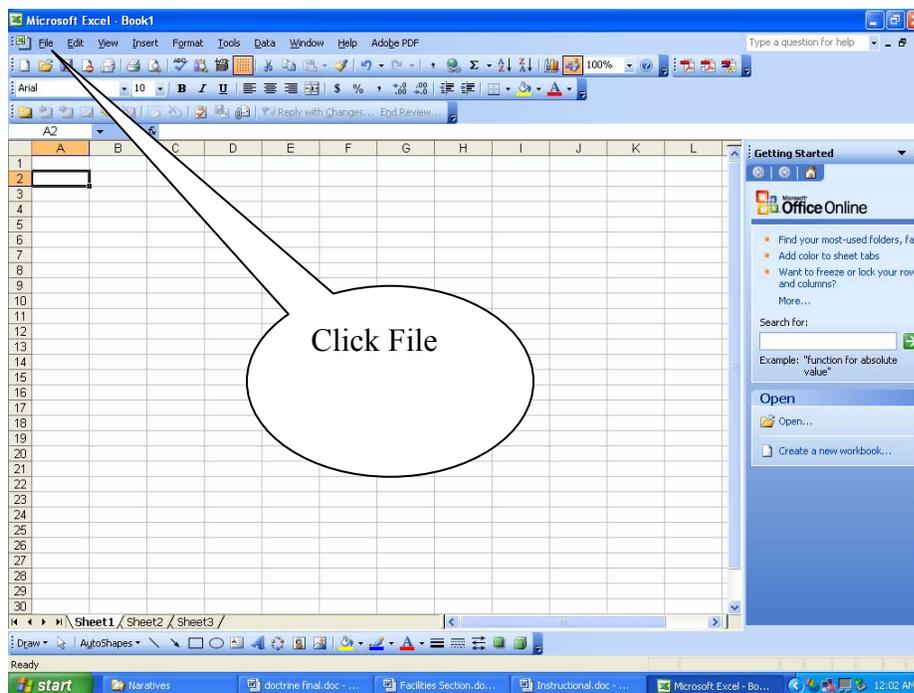


Figure 4.

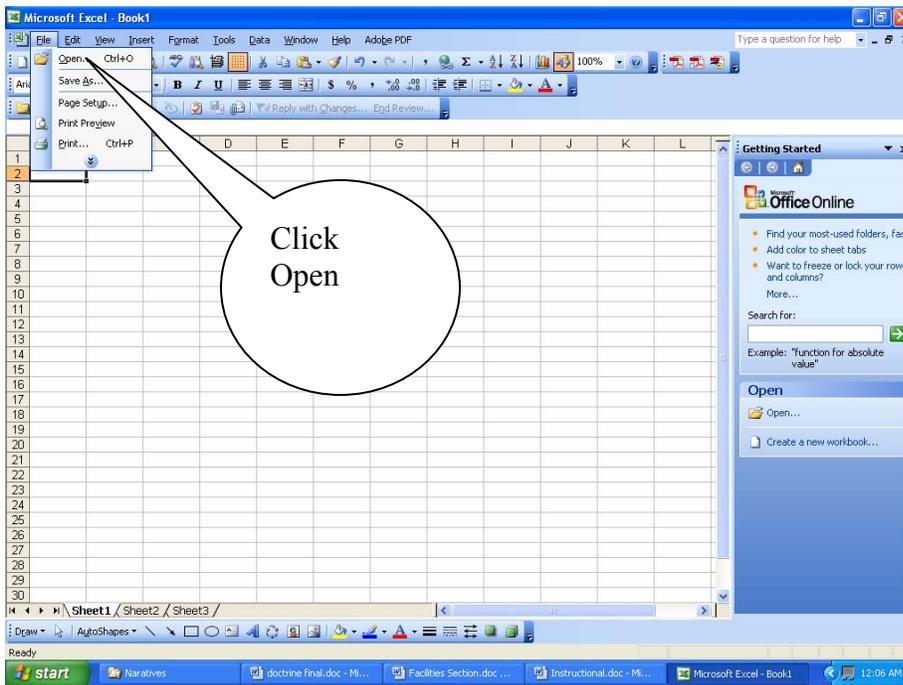


Figure 5.

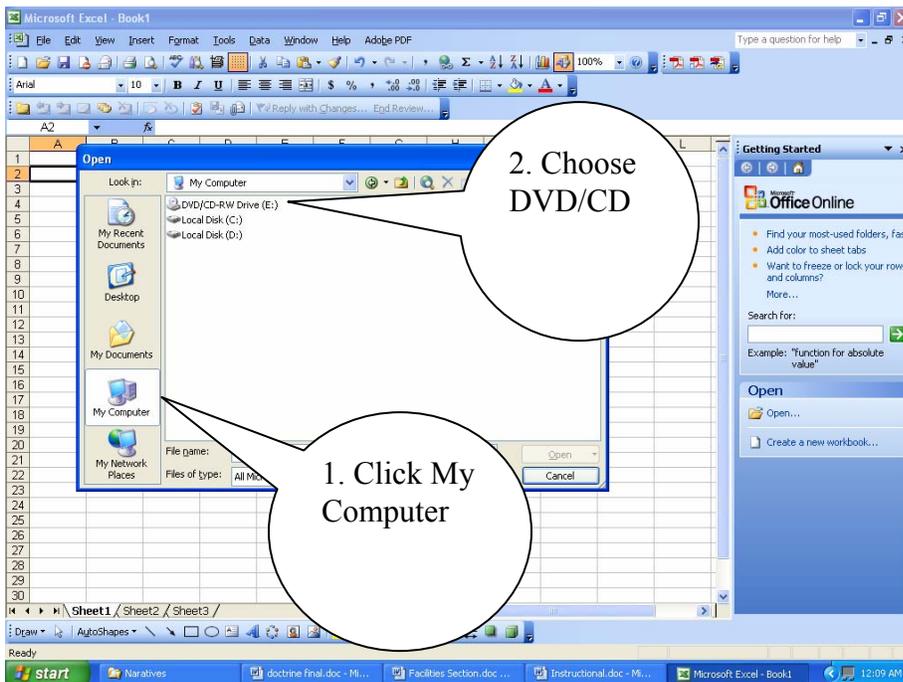
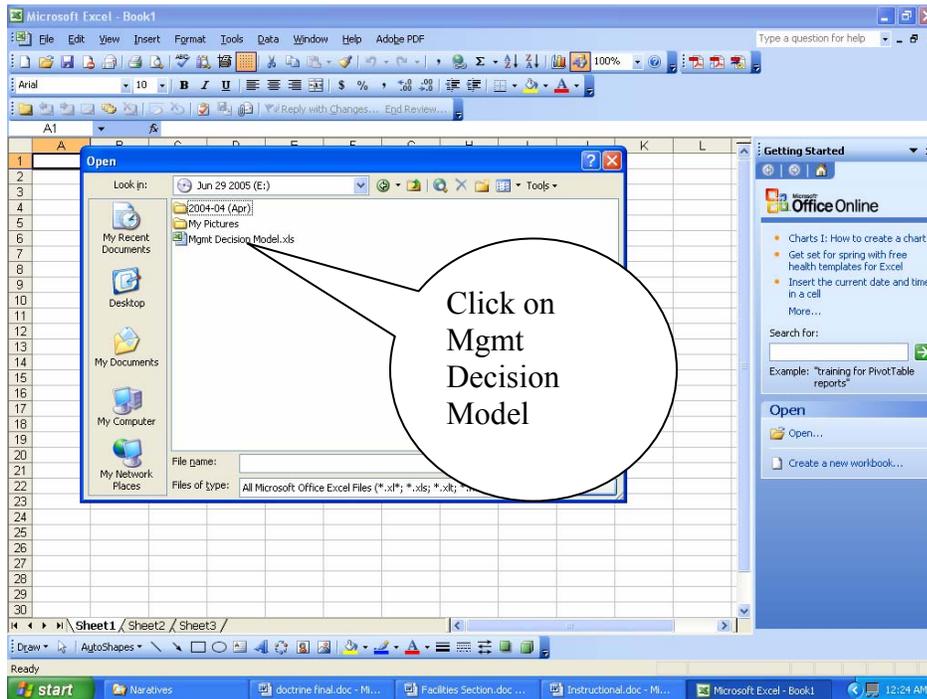


Figure 6.



Note: When prompted whether to enable macros enter {enable macros}

Step 2. Navigating around the Management Decision Model.

Components of the Management Decision Model. Now that you have opened the “Mgmt Decision Model” you can now navigate around the model. The management decision model consists of 12 different workbooks. The first workbook is a summary sheet labeled “Summary.” The following 11 workbooks evaluate each of the main elements, which include:

1. Doctrine
2. Organizational Structure
3. Training
4. Material
5. Leadership
6. Personnel
7. Facilities
8. Resource Management
9. Intelligence
10. Medical
11. Education

The users will only be able to enter data in the source cell. All other cells are protected and cannot have data entered. The workbooks that require data entry in source cells are as follows: Doctrine, Organizational Structure, Training, Material, Leadership, Personnel, Facilities, Resource Management, Intelligence, Medical, and Education.

Weighting the Elements. The users can adjust the weight of the elements by editing the weight of 1 (the default weight) to a different number. The weight will automatically calculate in the “Summary Sheet.” Figure 8 illustrates the use of the weights.

Figure 8.

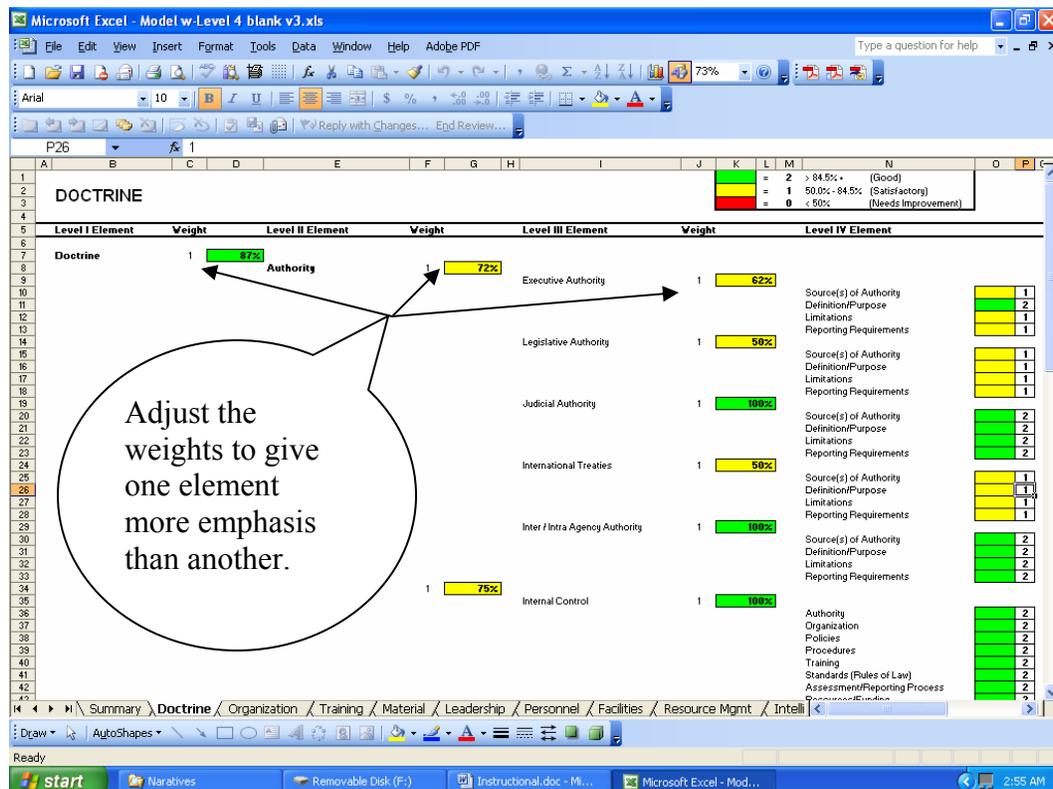
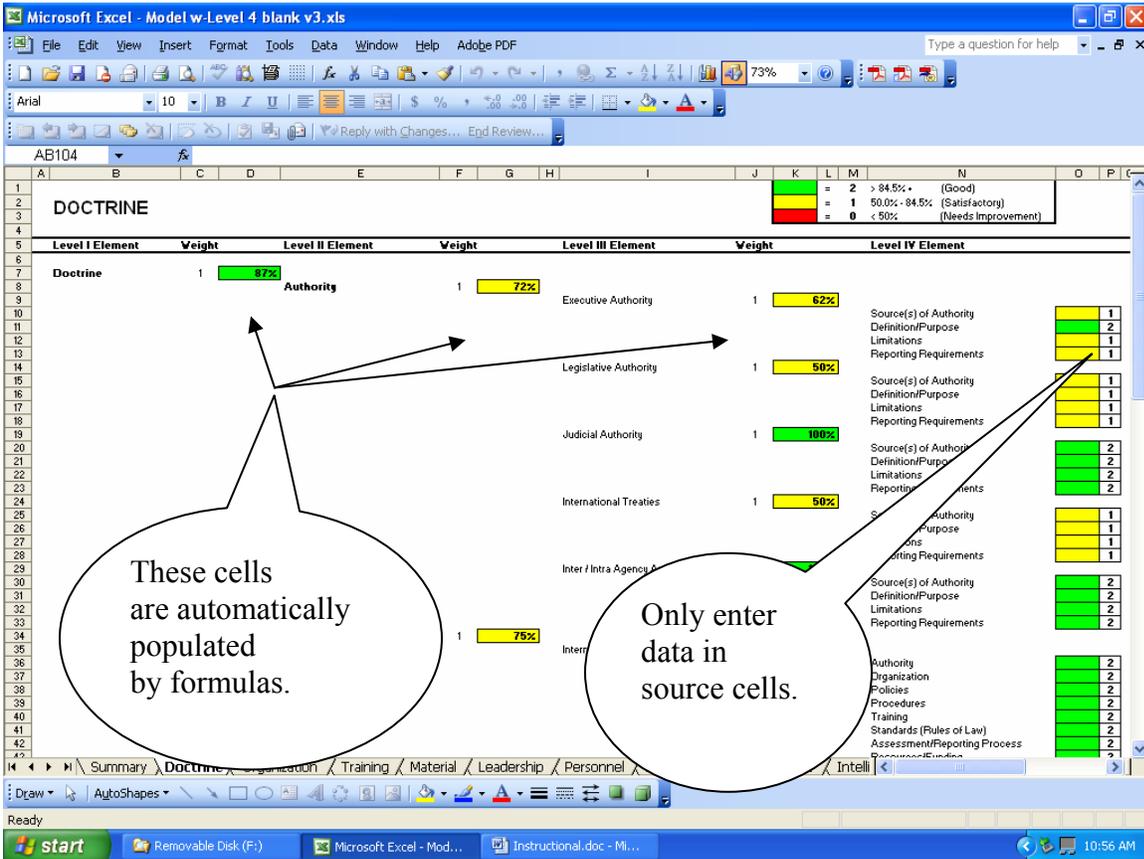


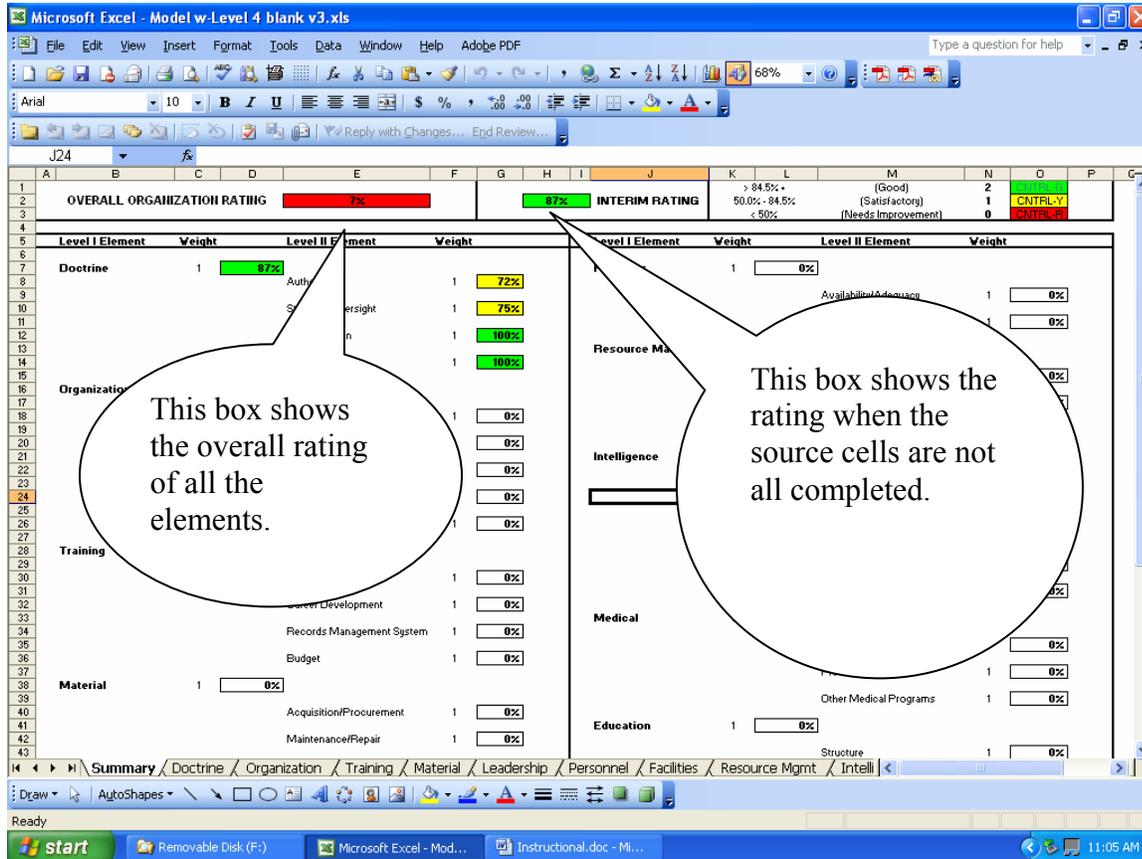
Figure 9 shows where the formula cells and source cells are located.

Figure 9.



To see how the data flowed to the “Summary,” click to the “Summary” workbook. Figure 10 shows the “Summary” workbook after the user entered data the in the Doctrine workbook.

Figure 10.



Step 4. Understanding the Parameters of the Management Decision Model.

We have designed the management control model to give an overall rating. As you enter data in the source cells, you will see the percentages change in the formula cells and the colors will change from red to yellow to green as the percentages become higher. For example:

- when formula cells show a percentage of 0 to 49, the cell will be filled red, which indicates the element still needs improvement;
- when the formula in the cell shows a percentage of 50 to 84.5, the cell will be filled yellow, which means the element is satisfactory; and
- when the formula in the cell shows a percentage of above 84.5, the cell will be filled green, which indicates the element is in good condition.

Logic of the Management Decision Model.

- Users enter source data in the data entry fields on right-hand side of the spreadsheet.
- Data are entered in terms of “0,” “1,” or “2.” The spreadsheet reads each number as “alphanumeric” and uses an “if then” statement to convert the number to an actual number.
- The formulas located at the first, second, and third level use a formula that calculates the average to arrive at an overall score for each category.
- The spreadsheet pulls all first and second level scores into a Summary Schedule labeled “Summary.”
- The Summary Schedule shows an overall score which measures how the organization has done based on each category, whether complete or not. The “Interim Rating” shows how the organization has done based on only categories completed.
- In order to protect the integrity of the Management Decision Model, each formula field or text field is protected so the users can only enter information into the appropriate fields.

Appendix H—Management Decision Model Briefing



Management Decision Model

for
Capabilities Assessment of the Afghanistan
Ministry of Defense and
National Army

3 JULY 2005

1



DOD IG Process

- Business consulting approach
- Independent and objective perspective
- Promote efficiency and effectiveness
- Recommend process improvements
- Foster public confidence—transparency
- Prevent fraud, waste, abuse and mismanagement
- Report to SecDef and Congress

2

Appendix H—Management Decision Model Briefing



CFC-A CG and MoD Agreement

- 12 June 2005: CG and Afghanistan Minister of Defense mutually agreed to conduct a capabilities assessment of the MoD and ANA
- Need a well conceived approach to measure and analyze progress and capability

3



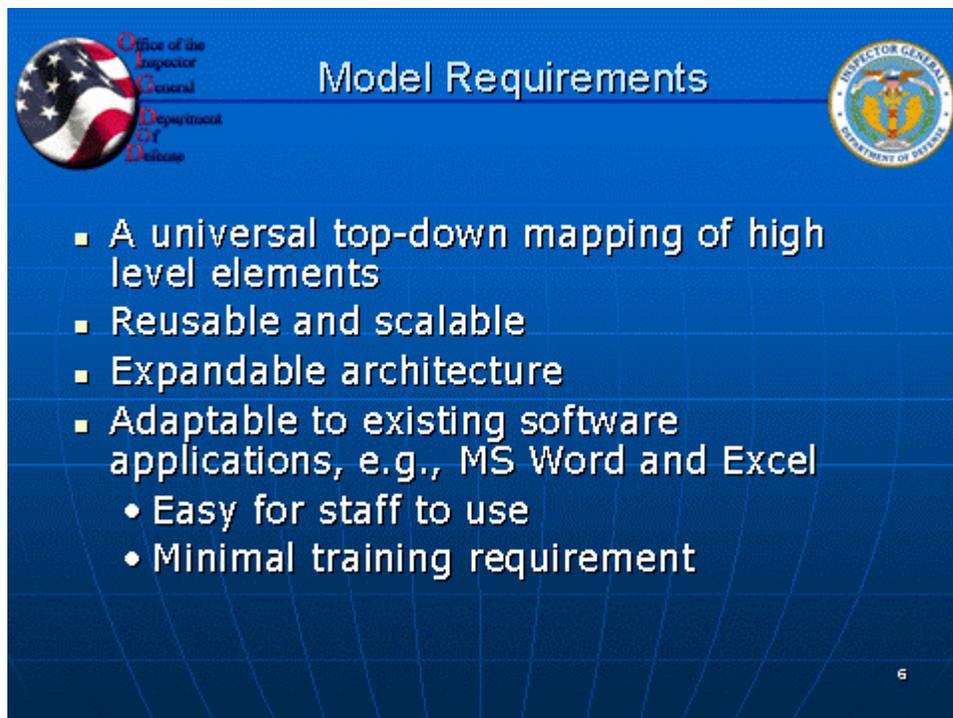
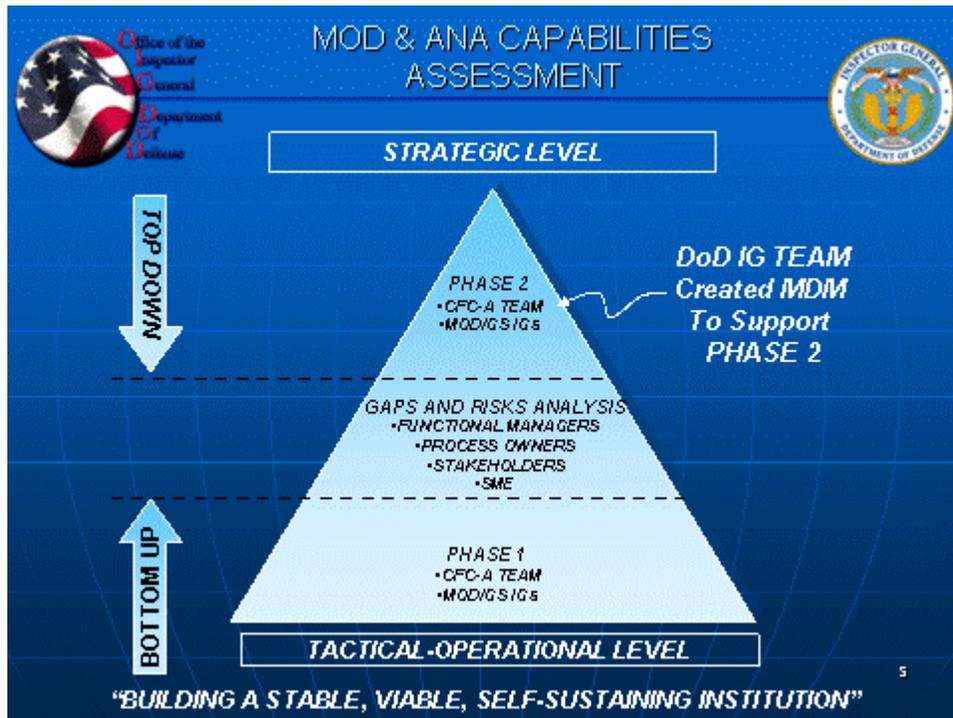
Request for Assistance

- Create a Management Decision Model for 'Health Check' of Afghanistan Ministry of Defense (MOD) and the Afghan National Army (ANA)
- Develop a systemic approach to monitoring and managing the critical activities required. . .to achieve desired levels of organizational and readiness capacity of the MOD and ANA

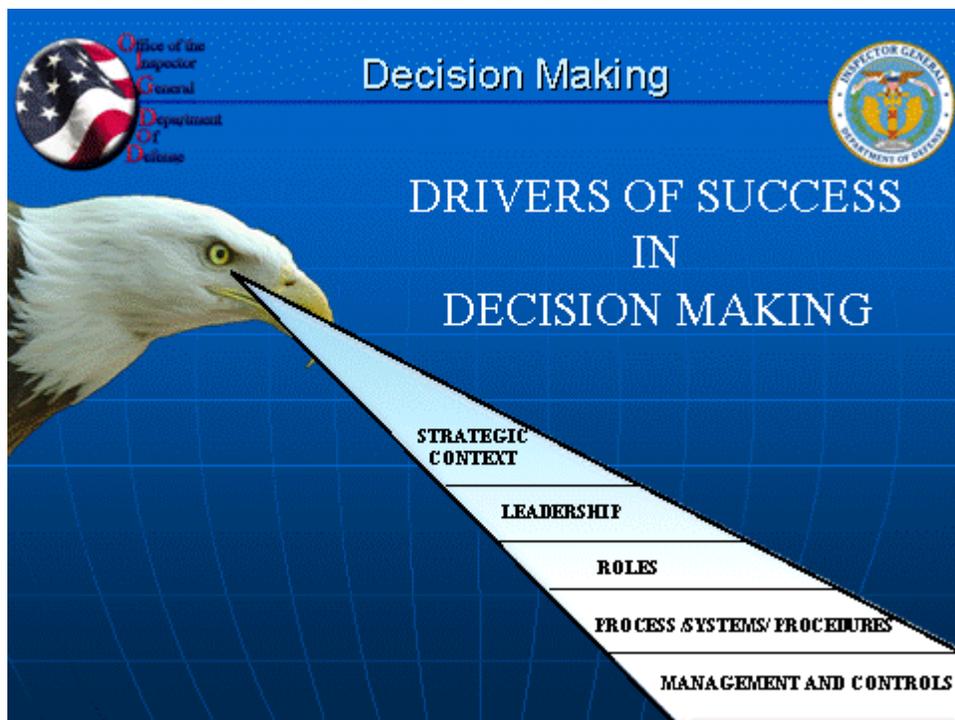
CG, CFC-A MEMO, 26 JUNE 2005

4

Appendix H—Management Decision Model Briefing



Appendix H—Management Decision Model Briefing



-
- The diagram is titled "Model Architecture". It features a bald eagle on the left, with a white triangle pointing from its beak towards the right. Inside the triangle, five levels are listed from top to bottom: STRATEGIC CONTEXT, LEADERSHIP, ROLES, PROCESS / SYSTEMS / PROCEDURES, and MANAGEMENT AND CONTROLS. The background is blue with a grid pattern. Logos for the Office of the Inspector General, Department of Defense and the Inspector General, Department of Energy are in the top corners.
- Employs DOTMLPF “plus” technique
 - Maps “vital” high-level elements required to establish a viable, self-sustaining institution
 - Identifies management indicators and decision milestones to establish priorities and facilitate achievement of the “end state”
 - Incorporates the “continuum” perspective to measure capabilities, capacity, and readiness
- 8

Appendix H—Management Decision Model Briefing




Model Benefits

- Provides a “global” view of challenges
- Requires cooperation and collaboration among functional managers and decision makers
- Advocates establishment and sharing of metrics
- Facilitates “gap and risk” analyses
- Identifies resource requirements

9



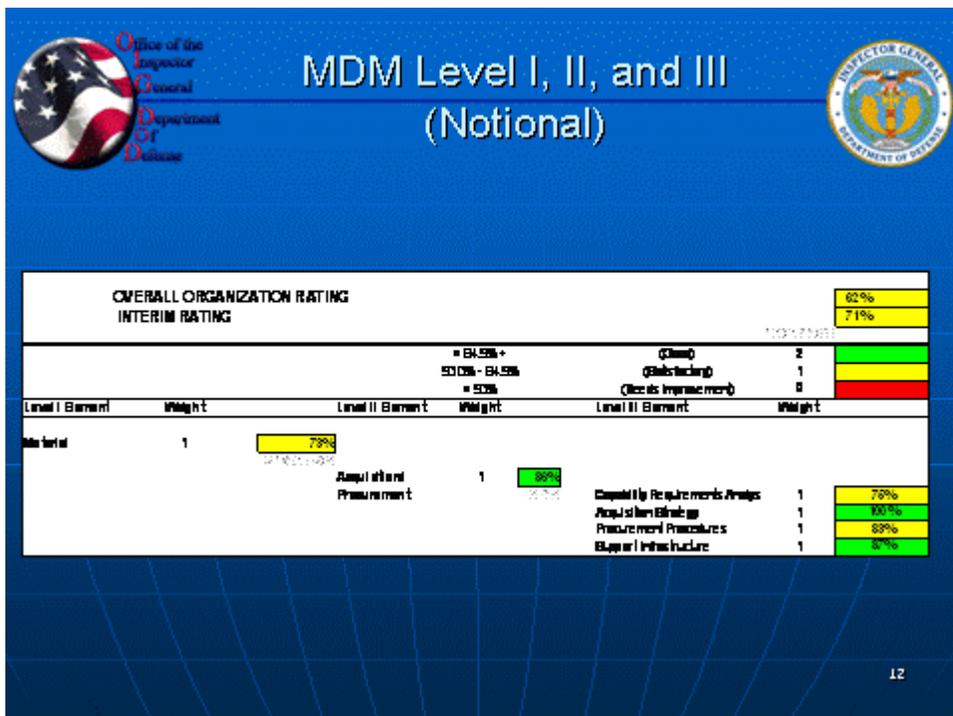
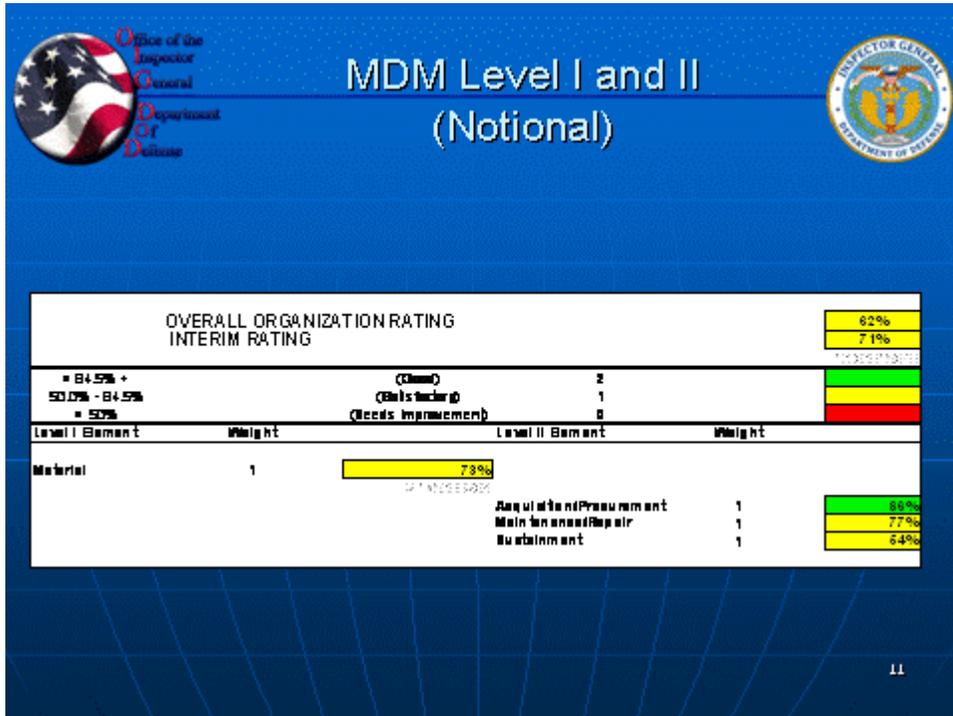

MDM Roll-up View (Notional)

Overall Criminalization Initiatives		82%
Interim Ratings		75%
> 84.0%	(Good)	2
80.0% - 84.0%	(Fair selection)	4
< 80%	(No selection)	0

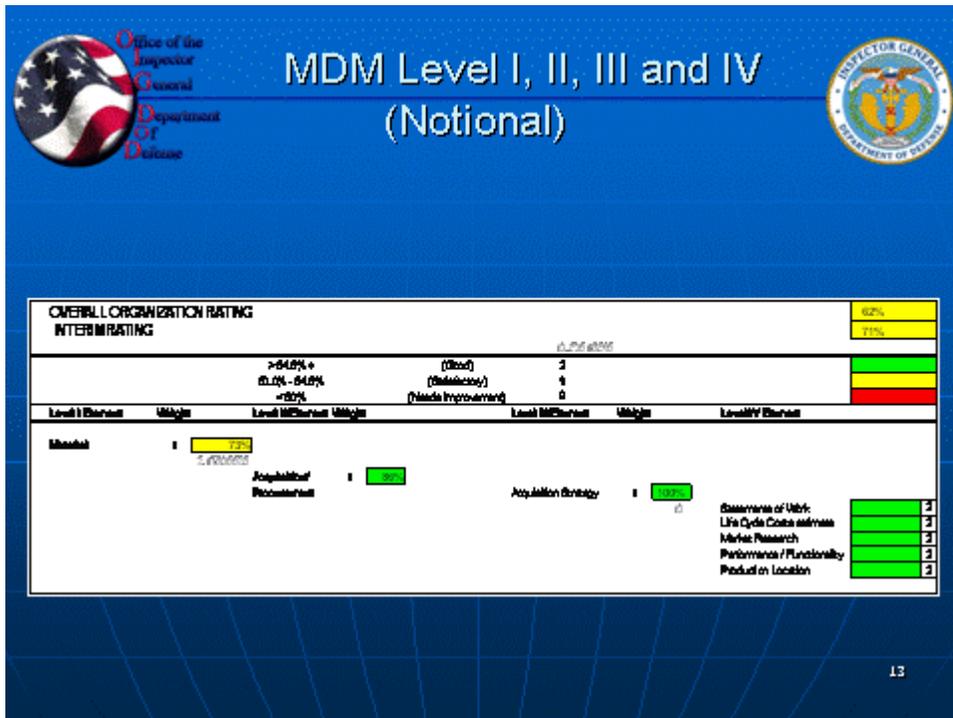
Level 1 Element	Weight	Score
Decision	1	82%
Organization / Structure	1	75%
Technology	4	75%
Methods	1	75%
Leadership	1	75%
Resources	3	82%
Processes	1	75%
Resource Management	1	82%
Intelligence	1	82%
Medical	1	0%
Finance	1	0%
Information	1	82%

10

Appendix H—Management Decision Model Briefing



Appendix H—Management Decision Model Briefing



-
- Demonstration and Summary**
- Easy to use
 - Drill down architecture
 - Variable weighting function
 - Aggregate snap shots
 - Deliverable
 - Model
 - Documentation
 - Follow-up Service/Continued Support
 - Discussion and Feedback
- 14

Appendix I—Stakeholders

Doctrine: Staff Judge Advocate/All

Organization: J3/J1/J5

Training: J3/J5/All

Material: J4/J7

Leadership: J3/Deputy Commanding General

Personnel: J1/ Staff Judge Advocate

Facilities: J7/Chief of Staff

Resource Management: J8

Intelligence: J2/J3/J5

Medical: Surgeon/J1

Education: N/A

Transportation: J7/J4

J1: Personnel

J2: Intelligence

J3: Operations and Planning

J4: Logistics

J5: Plans and Policy

J6: Communications

J7: Engineer

J8: Programs/Comptroller

J9: Civil Affairs

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- “Provide leadership ... to promote economy, efficiency and effectiveness;”
- Prevent and detect “fraud, waste, and abuse;”
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- “Provide a means for keeping the Secretary of Defense and the Congress fully and currently informed about problems and deficiencies;” and
- “Give particular regard to the activities of the internal audit, inspection, and investigative units of the military departments with a view toward avoiding duplication and ensuring effective coordination and cooperation.”

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Inspector General Department of Defense



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AND A REGULAR STATEMENT AND ACCOUNT OF THE RECEIPTS AND EXPENDITURES OF ALL PUBLIC MONEY SHALL BE
PUBLISHED FROM TIME TO TIME. U.S. CONSTITUTION - ARTICLE 1, SECTION 9.