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CM(PA)/01/01

26 Nov 04

UOR Stakeholders

URGENT OPERATIONAL/SUSTAINABILITY REQUIREMENTS - STANDING INSTRUCTION (VERSION 1)

References:

- A. PJHQ SOP 3450 – Urgent Statements Of User Requirements (USURs) and Urgent Operational Requirements (UORs) dated 1 Jul 04. **(PJHQ-DPPC-SO1(B))**.
- B. Smart Approvals (Part 2 Annex B) Edition 8.2 dated August 2004. **(Held on AMS - DCRS-3c)**.
- C. Detailed UOR/USR guidance being developed by DLO **(ACDS (LOGOPS) SO1 Ops SP)**.
- D. JSP 336 (3rd Edition) Volume 10, Part 1, Version 1.0 dated 1 Feb 03. **(DG Log (SC)/SO1 Conversion Policy)**.

INTRODUCTION

1. Lessons identified during Operation TELIC emphasised the need to manage the Urgent Operational Requirements (UOR) End-to-End (E2E) process more effectively. In particular, the requirements for monitoring front-end delivery including: tracking, embodiment, training and integration of equipment with end-users – Customer 2 – were highlighted. Although UOR Acquisition, In-service Management and Review processes are defined at References A-C¹, the inter-relationship between these documents needs to be better detailed to fully support an E2E process. As a consequence, CM(PA), as the Senior Responsible Owner (SRO) for UORs, commissioned the publication of this UOR Standing Instruction (SI) for use as the high-level reference document.
2. The SI provides high level guidance, primarily covering UOR action but also refers to Urgent Sustainability Requirements (USR) where necessary, on the processes involved including: Smart Acquisition, Integration, Finance, Delivery, Review and Disposal. The intent is to add cohesion to the overall process and to manage what is in essence a number of separately owned processes, with stakeholder organisational plans² and SOPs providing more in-depth information.

AIM

3. The aim of this SI is to draw together the various strands of activity by highlighting the roles and responsibilities of all stakeholders within the UOR process.

¹ Throughout this document, any reference which cannot be hyperlinked through this website has a designated POC (in **Bold**) from whom the latest version can be obtained.

² Lead Agents are to develop appropriate level 2 plans to ensure that key linkages between all stakeholder are fully explored.

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DEFINITIONS

4. To support a current or imminent military operation:
 - a. UOR. A UOR seeks to address a capability gap by rapidly procuring new or additional equipment or the enhancement of, or essential modification to, existing equipment. This may involve bringing forward the planned procurement of equipment from the future Equipment Programme (EP).
 - b. USR. A USR seeks to address a sustainability gap by rapidly acquiring additional in-service support.

UOR PROCESS

5. The UOR process of Approvals, In-service Management and Review is underpinned by the procedures at References A-C. To enable rapid delivery of capability at every stage of the process, it is essential that clear lines of communication are maintained and that visibility of UOR equipment progression remains transparent to all stakeholders. The Directorate of Equipment Plans (DEP) sponsored UOR spreadsheets and DEP UOR Working Group (WG) meetings provide the primary vehicles for this activity. A graphical representation of the E2E UOR process is shown at Annex A and can be broken down into 6 distinct phases: Identification of Requirement, Procurement, Delivery, Integration, Capability Reporting and Review. Within each phase of the process, there will be one 'Lead Agent', as shown at Annex A, who will be supported by various Key Stakeholders.

IDENTIFYING THE REQUIREMENT

6. Strategic Planning will identify likely Courses-of-Action (COA) and force levels, highlighting potential capability and sustainability gaps which could potentially be fulfilled through UOR/USR action. Front Line Commands (FLC) also conduct contingency planning exercises, approximately every two years, during which likely or potential Urgent Statement of User Requirement (USURs) are identified and held on the appropriate Equipment Capability Shortfall Register.

7. Once operations have commenced any subsequent shortfalls will usually be identified by in-theatre forces. Regardless of the phase of the operation, any capability shortfall is articulated through a Statement of Requirement (SOR). The SOR is reviewed by PJHQ/FLC/Jt Cmnd Staffs who will then either close the gap through re-brigading of current assets or by raising an USUR. The USUR is then staffed by PJHQ and actioned in accordance with Reference A. If endorsed, the USUR is passed to the appropriate Directorate of Equipment Capability (DEC) for staffing and will be designated as either an UOR or USR. The DEC should consult with DJtCap where necessary to ensure that the staffing and endorsement of USURs received by PJHQ does not conflict with higher priority operational requirements.

PROCUREMENT

8. Smart Approvals. The UOR Smart Approvals procedure at Reference B is to be used for the rapid acquisition of unforeseen, new or additional equipment and for the enhancement of, or modification to, existing equipment to meet a defined capability

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shortfall in support of either a current or imminent operation. The key activities, which in the interests of expediency, are often conducted in parallel are:

- a. DsEC/DDEC Chair a Capability Working Group (CWG) to consider a USUR and, if required, raise the Business Case (BC) to meet the requirement.
- b. DsEC are the Single Point of Accountability (SPA) for managing the delivery of urgent enhancements to military capability (through UORs) with accountability across all lines of development. As such, the respective DEC is to produce a BC, in close liaison with all key stakeholders, to identify to the approving authorities: the costs associated with meeting the capability shortfall; Key User Requirements (KURs); key risks and mitigation; integration and training requirements; equipment ISD and any other essential information which requires approval. In order to qualify as a UOR/USR, it must be deemed possible to introduce the equipment in time to make a contribution to the operation.
- c. DPA/DLO Integrated Project Teams (IPT) and D Techs provide the DEC with key assistance in building the BC, particularly identifying associated costs and ISDs, and are responsible for placing contracts for the UOR with Industry.
- d. Directorate of Capability, Resources and Scrutiny (DCRS) raises a UOR alpha/numeric on receipt of a USUR to identify and track the requirement. It subsequently scrutinises the UOR BC and endorses funding from the Reserve once satisfied of the validity of the BC. An approved BC provides the authority for commitment of funds to realise the UOR.
- e. DEP co-ordinate DEC UOR activity and convenes the DEP UOR WG meetings to review progress. The periodicity of these meetings will be dependant upon the requirements of the extant operational tempo.

DELIVERY

9. Management of UORs. In-service Management of UORs is detailed at Reference D, the Defence Supply Chain Manual, Volume 10, Part 1. In particular, this contains the Defence Supply Chain Temporary Memoranda which covers procedures for the Management of Equipment procured under UOR arrangements. The key points are:

- a. IPTs are required to inform the Defence Supply Chain (SC) when a UOR contract has been raised, if the UOR is required to be stored by the SC and whether it is to be transported by the SC or moved to Theatre via the PJHQ Coupling-Bridge.
- b. DG Log (SC) has ownership of the following key enablers in support of UOR delivery where it impinges on the operational supply chain:
 - (1). The DLOC is responsible for providing the overall coordinating function for UOR delivery.
 - (2). The Supply Chain Operations Centre (SCOC) is responsible for accounting for the UORs

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(3). The Defence Storage & Distribution Agency (DSDA) provides storage and transportation facilities

(4). DTMA is responsible for arranging air and sea transportation, via the Coupling- Bridge, on behalf of PJHQ.

INTEGRATION

10. Integration Process. Oversight for the UOR Integration process is vested in the SRO. Key responsibilities are as follows:

- a. Scrutiny of BC Integration Plans.
- b. Training and Support (Maintenance and Supply) Policy.
- c. Coordination of modification and embodiment activity.
- d. Acceptance and Quality Assurance.
- e. Declaration of Capability.

Routinely, this activity is coordinated on behalf of the SRO through the DEP chaired UOR WG, with DsEC acting as the SPA for the management of delivery through the UOR Process. Where more than one UOR is being embodied simultaneously on a single platform, the DEC that has ownership of the platform is responsibility coordinating the overall equipment embodiment plan.

11. Integration Responsibilities. Further guidance, detailing the responsibilities and actions to be taken by stakeholders in the support of UOR activity and the delivery of capability to the frontline, is provided at Annex B.

CAPABILITY REPORTING

12. Validation Process. A robust validation process is essential to the internal management of UORs and for ensuring that the MOD is able to justify its actions against scrutiny from public accountability bodies such as the National Audit Office, the House of Commons Defence Committee and the Public Accounts Committee. Although DsEC are ultimately responsible for the validation process, this is a 2-way street and stakeholders are to ensure that they follow the validation processes mandated by the BC and inform the appropriate DEC accordingly.

13. As part of the UOR BC, DsEC are to identify the validation requirements for individual equipments procured and state the timeframe to be adhered to for reporting equipment effectiveness. Where necessary, these reporting requirements should reflect likely implications on the end users Operational Tempo. It is the responsibility of the DsEC, working through the appropriate FLC/PJHQ, to ensure that validation reports are received within the stated timeframe; this requirement is not to directly impact on operations.

14. In addition to the above audit processes, UOR table-top reviews are carried out by UOR stakeholders at:

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- a. DEP UOR WG Meeting.
- b. DLOC UOR Coordination Meeting.

These table-top reviews enable scrutiny of ongoing UOR activity, highlighting where deficiencies exist and informing the decision process.

REVIEW

15. The UOR Review process forms part of the standard EP/STP planning round and guidance on bringing UORs into core will be provided by DCRS/DEP at an appropriate time in the EP/STP planning cycle. Key points of the review process are:

- a. Ongoing UOR reviews are to be conducted in accordance with the individual BC and the Smart Approvals guidance at Reference A.
- b. DEP Chairs the UOR Working Group which co-ordinates DEC Reviews.
- c. DEC reviews are conducted by a DEC CWG which assesses whether a UOR should be brought into core, extended on operations or disposed of. Final recommendations on which UORs to retain in service are made jointly by D Def RP and DEP staff for consideration in the STP/EP process. If the UOR is to be retained, the DEC is responsible for producing a comprehensive BC/Review Note (RN) that fully captures all the issues, particularly any through-life sustainability issues.
- d. PJHQ in conjunction with the DEC advises when a UOR is no longer required on an operation. The DEC is responsible for informing the IPT of this decision so that the SC can initiate recovery action.
- e. The IPT is responsible for issuing instructions for SC recovery and, if necessary, UOR disposal.
- f. DEP Chairs the UOR WG which co-ordinates DEC Reviews.
- g. DEP/DCRS is developing a Unitary UOR Register, to replace the current DEP managed spreadsheets, to capture progress across all lines of development and enable improved through life visibility of UORs. Current IT limitation will prevent full access at the present time; however, this situation should improve with the roll-out of DII.

STAKEHOLDERS

16. Responsibility for the UOR process lies with the UOR SRO. UOR key Stakeholders' Roles and Responsibilities are shown at Annex C.

USR PROCESS

17. The DLO operates a parallel process to UORs to deliver urgently required stocks and spares to meet operational sustainability requirements – the USR process. Although

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their requirement setting and approvals process have similarities, USRs are not formally UORs and are not funded from the Reserve set against any UOR allocation; they are instead treated as any other net additional costs of operations in accordance with standard financial instructions for operations issued by DGFM's staff. A USR is raised when current holdings and scaling, delivery profiles or contractual arrangements would result in non-availability of stock to meet the needs of a planned or ongoing operation. The key points are:

- a. USRs follow a similar staffing process as UORs. However, the BC is raised by the IPT and endorsement of funding from the Reserve is provided by RP (Centre).
- b. DLO procures, tracks delivery and accounts for USR expenditure.
- c. There is no formal review as DEC, IPT and Industry support is already in place for the required equipment.
- d. Post operations, stock levels are to be realigned with STP funding iaw RAB procedures.

Detailed guidance on USR activity is being developed by the DLO and will be issued as part of the more-detailed DLO guidance on UORs/USRs at Reference C.

<Signed on DII>

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Annexes:

- A. UOR E2E Process Graphic..
- B. Integration, Training and Embodiment of UORs.
- C. UOR Key Stakeholder Roles and Responsibilities.
- D. Glossary.

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ANNEX B TO
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INTEGRATION, TRAINING AND EMBODIMENT OF UORs

1. This Annex provides additional guidance on the E2E process requirements for the training integration and embodiment of UORs into theatre. It sets out the responsibilities and actions required by all those engaged in defining, processing, delivering, integrating and supporting new or enhanced capabilities.
2. As part of the established UOR process DEC's are responsible for overall definition of the requirement, including: integration, training and embodiment of UORs and any whole-life implications. This can only be achieved through close liaison with all relevant stakeholders, which include, but is not limited to, the DPA, DLO, PJHQ, FLCs and Subject Matter Experts (SMEs). Detailed specifications are to be identified in the BC drafted by the DEC; they should set out the additional training that will be required, and how it is planned to be achieved. Each UOR BC will contain an integration checklist setting what is required and who is responsible for its delivery.
3. Where capability can be delivered prior to forces deploying to theatre, IPTs will be responsible for delivering that capability, through the DLO, to FLCs who will in turn take responsibility for meeting force embodiment, training and integration issues prior to units deploying. In the event that delivery cannot be achieved prior to deployment, IPTs will make the equipment available to the PJHQ who will then arrange for its deployment, through the DLOC, to the national support unit³ in theatre for onward movement to in-theatre forces. In this event, responsibility for meeting the implementation requirements of the UOR, such as training, will fall to CJO albeit assisted where necessary by training staffs or other SMEs. The form and tasks of this requirement may require the formation of an 'in-theatre integration team' until asset visibility within the supply chain matures. The team composition will need to be defined by the DEC, in consultation with key stakeholders, but the personnel (SMEs) will need to be identified and prepared by FLCs and deployed to theatre under control of PJHQ to cover the critical deployment period. Co-ordination of the process in theatre will primarily be the responsibility of the NCC HQ; however, there may be a requirement to deploy additional personnel⁴ to assist in the detailed management of the UOR process in-theatre and contribute to providing an accurate picture of the UOR flow. Size and composition of any team deployed will remain flexible to align with the UOR delivery timelines.
4. Once equipment is in theatre, PJHQ are responsible for providing the means to report progress on integration and operational effectiveness through established reporting procedures, modified where required to ensure effective distribution of information.

³ JFLOGC/NSC/NSE.

⁴ Personnel assisting with the coordination of UOR delivery within theatre will need to have a broad understanding across the scope of the UORs.

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UOR KEY STAKEHOLDER ROLE AND RESPONSIBILITIES

The UOR key Stakeholders' Role and Responsibilities are reflected in Table 1:

STAKEHOLDERS	ROLE/RESPONSIBILITIES
Force Elements	<ul style="list-style-type: none"> • Statement of Requirement (SOR). • Training and Integration – supported by FLC/A&SD/DPA/DLO/Industry staff.
FLCs	<ul style="list-style-type: none"> • Conducts routine audits to identify potential USURs as part of the Equipment Capability Shortfall Register. • USUR originator. • Representation on the DEP Defence UOR Working Group Meeting. • Staffing of SORs and USURs raised by units. • Agrees solutions to capability gaps proposed by DEC. • Training and Support – Fitting modifications and training of personnel. • Contributes to Integration Plan - implements plan for FLC activity • Providing input to the Unitary UOR Register as required.
PJHQ	<ul style="list-style-type: none"> • Reviews / Endorses USURs and submits to DEC. • Agrees solutions to capability gaps proposed by DEC. • Representation on the DEP Defence UOR Working Group Meeting. • Owns Coupling-Bridge and therefore prioritises flow into theatre. • Responsible for Theatre Integration iaw DEC Integration Plan and operational priorities. • Providing input to the Unitary UOR Register as required.
DEC	<ul style="list-style-type: none"> • Responsible for managing the delivery of urgent enhancements to military capability with accountability across all lines of development. • Representation on the DEP Defence UOR Working Group Meeting. • Review of USURs endorsed by PJHQ/FLCs/DSF. • Production of UOR Business Cases (BCs) - includes Delivery, Integration Plan and timings and intent for Review. • Act as one of the delegated "approving" authorities for UOR BC. • Responsible for reporting progress against the BC - E2E process requires close liaison with IPTs. • Responsible for Integration Plan – agreed by PJHQ

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	<ul style="list-style-type: none"> and FLCs. • Responsible for UOR Review – retention / disposal. • Directs IPTs – acquisition, retention and disposal. • Providing input to the Unitary UOR Register as required.
DPA/DLO D Tech Staff	<ul style="list-style-type: none"> • Act as one of the delegated "approving" authorities for UOR BC. • Provide technical support to DEC – Acquisition and Review process and provide confirmation of support assurance against the Support Solutions Envelope (SSE). • Providing input to the Unitary UOR Register as required.
DJtCap	<ul style="list-style-type: none"> • Representation on the DEP Defence UOR Working Group Meeting. • Act as one of the delegated "approving" authorities for UOR BC. • Provide advice to the DEC on production of BC. • Represents JC2(CL). • Endorses BC - Concept of Operations. • Arbitrates between conflicting priorities. • Conducts UOR Contingency Planning. • Providing input to the Unitary UOR Register as required.
DEP	<ul style="list-style-type: none"> • Chairs DEP Defence UOR Working Group Meeting. • Communicates and co-ordinates UOR activity across DEC. • Management of the Unitary UOR Register.
DCRS	<ul style="list-style-type: none"> • Financial/requirement scrutiny and approval. • Representation on the DEP Defence UOR Working Group Meeting. • Issues unique UOR reference number. • Providing input to the Unitary UOR Register as required.
D RP (Centre)	<ul style="list-style-type: none"> • Financial and scrutiny issues for DLO procured UORs.
DLO F&BP	<ul style="list-style-type: none"> • Cost capture and subsequent actions. • Providing input to the Unitary UOR Register as required.
ACDS (Log Ops)/Ops Branch	<ul style="list-style-type: none"> • Providing oversight of DLO activity in support of UORs/USRs.
DPA/DLO IPTs	<ul style="list-style-type: none"> • Representation on the DEP Defence UOR Working Group Meeting. • Engagement with industry. • Identify equipment solutions to fulfil the USUR and define delivery times and costs. • Development of the UOR procurement strategy. • Support DEC in the production of UOR BC and Integration Plan. • Act as one of the delegated "approving" authorities for

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	<p>UOR BC. Note. Depending on category of UOR.</p> <ul style="list-style-type: none"> • Procure UOR equipment and the associated spares/sustainability requirements including packaging requirements for movement. • Contract for any necessary training and integration support. • Provision of timely data into the supply chain, ECC, PJHQ and FLCs on delivery issues including: • Timing – industry output. • Weights & Dimensions. • Packaging/Handling. • Delivery arrangements and locations. • Hazards • DLO consultation on support issues for UORs procured by DPA. • Necessary codification for management of UOR assets in the supply chain. • Providing input to the Unitary UOR Register as required.
DG Log (Supply Chain)	<ul style="list-style-type: none"> • Receipt, Accounting, Storage, Delivery and Disposal • Agreement of the Asset Tracking Plan, including the reverse supply chain. • Providing input to the Unitary UOR Register as required.
DLOC	<ul style="list-style-type: none"> • Co-ordination of Log SC effort - support of UOR implementation. • First POC for IPTs – arrangements for delivery. • Oversee the receipt, accounting, storage, delivery and disposal of the UOR. • Agreement of the Asset Tracking Plan, including the reverse supply chain. • Track progress of UOR equipment into theatre. • Providing input to the Unitary UOR Register as required.
SCOC	<ul style="list-style-type: none"> • Warning / Alerting DSDA of UOR requirement. • Accounting for UOR equipment. • Allocation of (pseudo) NSNs. • Instructions for the Recovery of UORs. • Facilitates the Sale and Disposal of UORs. • Providing input to the Unitary UOR Register as required.
DSDA	<ul style="list-style-type: none"> • Receipt, storage, packaging, issuing and Distribution of UOR equipment. • Raise Air/Sea Movement Documentation. • Invoke Consignment/Asset Tracking of UORs. • Providing input to the Unitary UOR Register as required.
DTMA	<ul style="list-style-type: none"> • Management of SC Transportation & Movements. • Management of PJHQ Coupling-Bridge.

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	<ul style="list-style-type: none">• Arrangement of movement by Air/Sea charter.• Providing input to the Unitary UOR Register as required.
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GLOSSARY

A list of acronyms and abbreviations in common use with respect to UORs and USRs

ACDS	Assistant Chief of the Defence Staff.
BC	Business Case.
CM(PA)	Capability Manager (Precision Attack).
DCRS	Directorate of Capability, Resources and Scrutiny.
DEC	Directorate of Equipment Capability.
DEP	Directorate of Equipment Plans.
DJC	Directorate of Joint Commitments.
DJtCap	Directorate of Joint Capability.
DLOC	Defence Logistics Operations Centre .
DMB	Defence Management Board.
DPA	Defence Procurement Agency.
DSDA	Defence Storage & Distribution Agency.
DTMA	Defence Transport & Movements Agency.
ECC	Equipment Capability Customer.
E2E	End-to-End.
FLC	Front Line Command.
GCPP	Global Conflict Prevention Pool (Funding).
JSP	Joint Service Publication.
IPT	Integrated Planning Team.
NAO	National Audit Office.
NSN	NATO Stock Number.
PJHQ	Permanent Joint Headquarters.
POD	Port of Disembarkation.
POE	Port of Embarkation.
PPSG	Policy & Plans Steering Group.
SCOC	Supply Chain Operations Centre.
SI	Standing Instruction.
SOR	Statement of Requirement.
SRO	Senior Responsible Owner.
UOR	Urgent Operational Requirement.
USR	Urgent Sustainability Requirement.
USUR	Urgent Statement of User Requirement.