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ROLE OF THE DEFENSE RESOURCES BOARD IN THE PLANNING
PHASE OF THE PLANNING, PROGRAMMING, AND BUDGETING SYSTEM

BY

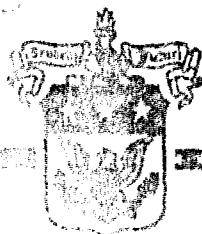
LIEUTENANT COLONEL JERRY Y. DRAPER, INF

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USAWC MILITARY STUDIES PROGRAM PAPER

ROLE OF THE DEFENSE RESOURCES BOARD IN THE PLANNING
PHASE OF THE PLANNING, PROGRAMMING, AND BUDGETING SYSTEM

AN INDIVIDUAL STUDY PROJECT

by

Lieutenant Colonel Jerry Y. Draper, INF

Colonel Ted V. Cooper, FC
Project Adviser

US Army War College
Carlisle Barracks, Pennsylvania 17013
4 April 1985

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ABSTRACT

AUTHOR(S): Jerry Y. Draper, LTC, INF

TITLE: Role of the Defense Resources Board in the Planning Phase of the Planning, Programming and Budgeting System

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The Defense Resources Board (DRB) was established to be the Secretary of Defense's focal point for the Department of Defense's Planning, Programming, and Budgeting System (PPBS). The DRB initially participated only in the programming and budgeting phases of PPBS. It did not concern itself with the planning phase until 1981. Several memorandums were initiated by the Deputy Secretary of Defense (DEPSECDEF) in the Spring of 1981 which directed the DRB to become more involved in the planning phase of PPBS. In the years prior to 1981, the near-term and long-range plans were not resource constrained. The programs and budgets developed to execute the plan were resource constrained and they more than likely did not support the plan. The DEPSECDEF's Memorandums directed the DRB to get involved in the early stages of the planning process. The involvement of the DRB in the planning process would ensure that near-term and long-range plans were resource constrained. The end result would be a budget developed from programs that supported the plan. Even though the DRB has been involved in the planning phase of PPBS since 1981; there still exists a lack of information on how the DRB influences the planning phase of PPBS. In explaining the DRB's role, this study provides information on the Defense Guidance (DG) and several other planning documents. The study points out the DRB's mission and how it is organized to accomplish its tasks.

PREFACE

This Individual Study Project was prompted by a study proposal submitted by the Department of Command, Leadership, and Management. The author's interest and prior involvement in the programming and budgeting phases of the Planning, Programming, and Budgeting System served as motivation to conduct the study. The study revealed that the Defense Resources Board (DRB) does have a charter. It also revealed that the DRB does play a role in the planning phase of PPBS. Gratitude is extended to the Study Project Adviser and to those Headquarters, Department of the Army; and Office, Secretary of Defense individuals who provided information in support of the study.

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INTRODUCTION

The purpose of this study is to provide information on the Defense Resources Board (DRB) and how the DRB operates during the planning phase of the Planning, Programming, and Budgeting System (PPBS). It is emphasized that the study only addresses the DRB's role in the planning phase even though the DRB is the focal point for the Department of Defense's entire PPBS.

The DRB was established in 1979. Initially, the DRB only addressed the programming and budgeting phases of the Defense Department's PPBS.

Much has been written about the DRB's role in the programming and budgeting phases of PPBS, however, there is very little information on the DRB's role in the planning phase of PPBS. Because of this lack of information, it is not clear as to how the DRB operates during the planning phase.

In order to understand how the DRB operates during the planning phase, one must be familiar with the Joint Strategic Planning Document (JSPD) and the Defense Guidance (DG). This study provides a brief description of each document.

The study is organized in the following manner:

- a. A section on the DRB organization and how it has progressed from its beginning to its present status.
- b. A section highlighting the planning process.
- c. A section on how the DRB operates.
- d. A section presenting the conclusion of the study.

In preparing the study, research material was gathered from Department of Defense (DOD) Directives and Instructions, military publications, and by interviews with individuals on the DOD staff, and the Army staff.

DEFENSE RESOURCES BOARD

The Defense Resources Board (DRB) was established by Secretary of Defense Harold Brown in his Memorandum dated 7 April 1979.¹ Secretary Brown established the DRB based upon a recommendation made in a study headed by Donald B. Rice of the Rand Corporation. The study, titled Defense Resource Management Study (DRMS), was commissioned by Secretary Brown in November 1977 in response to a request by the President dated 20 September 1977.²

The purpose of the DRMS was to conduct an organizational review of the Department of Defense (DOD) resource management process. The DRMS recommended the establishment of a DRB, chaired by the Deputy Secretary of Defense (DEPSECDEF), to manage the combined program/budget review.³

There were several shortcomings to the DRMS. First, the DRMS failed to include planning in the role of the DRB. Second, the membership of the DRB was limited. Initially, the DRB was comprised of the DEPSECDEF, as Chairman, and six members. Five of the six members were civilians. The sixth member was the Chairman, Joint Chiefs of Staff (CJCS).

Secretary Brown, by agreeing with the recommendation of the DRMS, intended for the DRB to ensure a better match between Service Program Objective Memorandum (POM) and budget submission by resolving as many issues as possible on a mutually satisfactory basis without SECDEF intervention.⁴

Recognizing more improvements were needed in the DOD PPBS, Deputy Secretary of Defense Carlucci, on 13 February 1981, directed a 30-day assessment of the PPBS.⁵ The report was delivered to him on 13 March 1981, and after discussing the report with the CJCS, Service Secretaries, Under Secretaries, and selected Assistant Secretaries, he prepared his Memorandum of 27 March 1981. In his Memorandum he directed the DRB to become involved in the planning process and

also increased membership of the DRB from 7 to 16.⁶ Figure 1 illustrates the current membership of the DRB.⁷

Political civilian appointees comprise the complete DRB except for the CJCS. The Office, Secretary of Defense (OSD) corners the quorum market with 11 of 16 members. No other participating organization has more than one member.

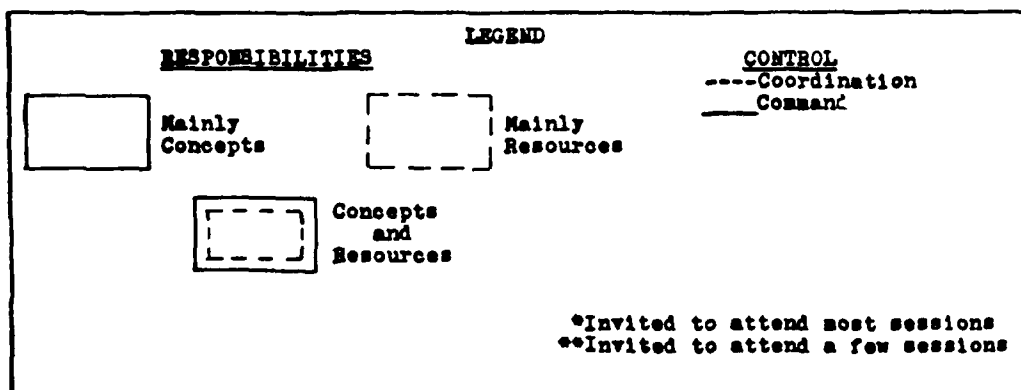
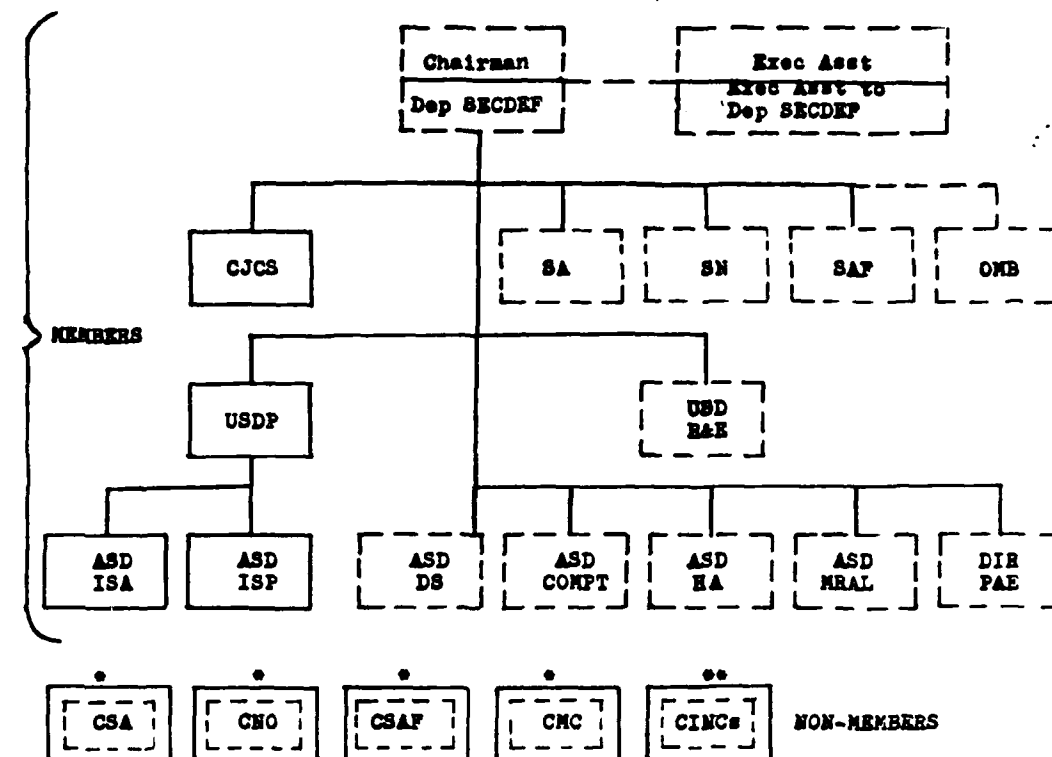
Half of the members are strictly resource managers with "tunnel vision" in terms of a particular Service (Army, Navy, Air Force, Marine Corps) or a specific function (money, material, manpower). The DEPSECDEF, as Chairman of the DRB, and the Director, Program Analysis and Evaluation (DPAE) both have broader responsibilities, but their primary focus remains fixed on programs, rather than concept formulation. The same can be said about the Associate Director of National Security and International Affairs, who speaks for the Office Management and Budget (OMB).

The Under Secretary of Defense, Policy (USD (P)) is tasked to pull the whole DRB process together. He takes the lead in developing defense guidance that deals with threats, opportunities, objectives, policies, strategic options, and associated force planning.⁸

Even though the CJCS is the sole military member to the DRB, Service Chiefs attend most DRB sessions and provide valuable insights and professional military leavening not usually available from civilian members.

Deputy Secretary of Defense Carlucci, in his Memorandum dated 27 March 1981, and his Memorandum dated 12 June 1981, provided the DRB with its mission. In the March Memorandum, the primary role of the DRB was stated as follows: "To help the SECDEF manage the entire planning, programming and budgeting system."⁹ The June Memorandum stated: "The DRB will have oversight responsibilities for the planning process."¹⁰ Supporting the DEPSECDEF Memorandums is the Department of Defense Instruction 7045.7 which clearly assigns

Figure 1
DEFENSE RESOURCES BOARD



ACRONYMS

ASD	Assistant Secretary of Defense	ISA	International Security Affairs
CINCS	Commanders-in-Chief	ISP	International Security Policy
CMC	Commander, Marine Corps	MRAL	Manpower, Reserve Affairs and Logistics
CNO	Chief of Naval Operations	OMB	Office of Management and Budget
COMPT	Comptroller	PAE	Program Analysis and Evaluation
CSA	Chief of Staff, Army	R&E	Research and Engineering
CSAF	Chief of Staff, Air Force	SA	Secretary of Army
Dep		SN	Secretary of Navy
SECDEF	Deputy Secretary of Defense	USDP	Under Secretary of Defense, Policy
DS	Development and Support		
Exec Asst	Executive Assistant		
HA	Health Affairs		
SAP	Secretary of Air Force		
USD	Under Secretary of Defense		

responsibilities to members of the DRB. Those instructions to the various members of the DRB are provided in the following paragraphs because it is important that one understands the responsibilities of DRB members when the DRB working process is presented later in this study.

First, the SECDEF and DEPSECDEF exercise centralized control of executive policy direction by concentrating on major policy decisions, defining planning goals, and allocating resources to support the objectives, to include joint, DOD-wide, cross-service, and cross-command programs.

Second, the Chairman, DRB, and board members shall be responsible for:

- a. Management and oversight of all aspects of the entire DOD PPBS.
- b. Managing the planning process which develops the DOD Defense Guidance (DG) with the USD (P) in the lead.

Third, the Executive Secretary to the DRB shall:

- a. Consolidate DRB management of the entire PPBS process in support of the Board and the Chairman.
- b. Manage the DRB agenda and meeting process.
- c. Manage the DG preparation process.
- d. Manage the POM program review process.
- e. Oversee the annual budget process.
- f. Chair the Program Review Group to support management of the DRB program review process.
- g. Record major decisions of DEPSECDEF, taken on advice of DRB.
- h. Prepare annual PPBS calendar of key events; assisted by the Office, Assistant Secretary of Defense (Comptroller) (OASD (C)) and with input from USD (P) and DPAA.
- i. Prepare appropriate PPBS DOD Directives and Instructions; assisted by OASD (C), in coordination with USD (P) and DPAA.

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ACRONYMS

ASD	Assistant Secretary of Defense
ASD (C)	Assistant Secretary of Defense (Comptroller)
ASD (MRA&L)	Assistant Secretary of Defense (Manpower, Reserve Affairs and Logistics)
ASD (PA&E)	Assistant Secretary of Defense (Program Analysis and Evaluation)
CINC	Commander-in-Chief
CJCS	Chairman, Joint Chiefs of Staff
CMC	Commander, Marine Corps
CNO	Chief of Naval Operations
COMPT	Comptroller
CSA	Chief of Staff, Army
CSAF	Chief of Staff, Air Force
DEPSECDEF	Deputy Secretary of Defense
DG	Defense Guidance
DGSG	Defense Guidance Steering Group
DOD	Department of Defense
DPAE	Director, Program Analysis and Evaluation
DRB	Defense Resources Board
DRMS	Defense Resource Management Study
DS	Development and Support
DUSD (P)	Deputy Under Secretary of Defense (Policy)
EXEC ASST	Executive Assistant
HA	Health Affairs
ISA	International Security Affairs
ISP	International Security Policy
JCS	Joint Chiefs of Staff
JMSNS	Justification for Major Systems New Starts
JSPD	Joint Strategic Planning Document
MRAL	Manpower, Reserve Affairs, and Logistics
NSC	National Security Council
OASD	Office, Assistant Secretary of Defense
OMB	Office of Management and Budget
OSD	Office, Secretary of Defense
PAE	Program Analysis and Evaluation
POM	Program Objective Memorandum
PPBS	Planning, Programming, and Budgeting System
R&E	Research and Evaluation
SA	Secretary of the Army
SAF	Secretary of the Air Force
SECDEF	Secretary of Defense
SN	Secretary of the Navy
USD	Under Secretary of Defense
USD (P)	Under Secretary of Defense, Policy
USD (R&E)	Under Secretary of Defense, Research and Evaluation

the DRB. This evolution and maturation of the DRB planning process has been a major milestone in the history of the DRB. Planning in terms of the DRB, is for the first time, an equal partner with programming and budgeting.²⁴

This study has clearly shown that the DRB does play a significant role in the planning phase of the PPBS. The study has also shown that over the past years the DRB's role in planning has increased.

The DRB's mission is to have management responsibility for the entire defense planning, programming, and budgeting process, including strategy, force posture, resource allocation, and related risks.²⁵ This mission statement is contained in DOD Directives and Instructions which are the result of the Carlucci Memorandums of 1981.

assembly of the DG, while other phases of PPBS are dominated by other members of the DRB. While all members of the DRB vote on issues, the DEPSECDEF can override any vote and only the SECDEF can override his Deputy.²³

Based upon the Carlucci Memorandums, the DRB has played an increasing role in the planning phase of PPBS. Certain members are responsible for drafting various sections of the DG, while all members review and advise approval of the policy and strategy guidance contained in the DG for future program and budget decisions.

Even though the DRB does not meet as often today as it did in the early stages (1981-82), that does not mean that the DRB is not participating in the planning process. Staffs of the members of the DRB are better informed today and have worked the planning process for a couple of years; therefore, staffs are more inclined to work out minor issues among themselves and not burden the DGSG or the DRB with marginal matters of the DG. The DGSG has also proven to be effective and can reach agreement on issues which previously couldn't be settled by the worker level staff. Today, only a few issues, and those are major ones, reach the DRB for final resolution. In fact, the threat of carrying an issue before the DRB has caused many of the major issues to be settled by the DGSG.

The DRB represents the DOD management philosophy of participatory management, centralized policy direction, and decentralized execution. The Service Chiefs and CINCs represent participatory management by presenting their advice and views to the DRB. They represent decentralized execution by carrying out the policy and strategy decisions. The DRB members represent participatory management and centralized policy direction by providing advice and recommending approval of the DG to the DEPSECDEF.

The planning phase of PPBS has been invigorated by the establishment of a carefully structured and participatory planning process under the guidance of

raised an issue which, by the way, caught other members off guard about a topic which was totally unrelated to the reason for which the meeting had been called.

There are no formal minutes prepared on the deliberations of the DRB during the planning phase. The reason for this is the DEPSECDEF wants frank and open discussions when the DRB is working with matters of national security. Even though there are no minutes of the meeting during the planning phase, the DRB does publish decisions made during the programming and budgeting phases. There are several ways to find out what decisions the DRB made during their deliberations on the draft DG. First, the Service Secretaries or Service Chiefs brief their staffs on the meeting. Second, staffs can check the final DG against the draft DG and determine what changes were made to the draft.

The PFBS process is dynamic and while planning for two years out is going on, marking up the budget for the coming year is also occurring. The program phase will also overlap the other two phases at various times. The DGSG plays an important role here in that it eases part of the burden during the planning phase for the DRB members.

In summary, some improvements have been made in the DRB resolution process of issues. The DRB, during the planning phase, has made extensive use of the DGSG to settle minor issues. Every DRB meeting has an agenda and it is staffed by the DGSG. Though the operation of the DRB appears to be confusing, it is really an orderly process with full participation of the members of the DRB in the planning process from the very outset.

CONCLUSION

The DRB is the SECDEF's focal point for the entire PFBS. Within the DRB, individuals play roles of increasing or decreasing importance depending on the phase of the PFBS process. Early on for instance, the USD (P) dominates

period, each CINC is given 20 minutes to present his case to the DRB. The CJCS has each CINC brief him and the JCS prior to his presentation to the DRB. Even though the CINCs brief the CJCS before going to the DRB meeting, they are not muzzled by the CJCS. The CINCs present their case and their views even if they do not agree with the views of the CJCS and the Service Secretaries. The establishment of this dialogue between the CINCs and the DRB has been an especially significant step forward because the CINCs are responsible for the conduct of military operations and need to have a voice in the development of the forces with which they will fight.

The SECDEF, though not required, attends many of the meetings held by the DRB. The SECDEF makes every effort to attend the DRB meeting in which the CINCs brief. The SECDEF has stated that he has found the CINCs' presentations to the DRB to be among the most valuable sessions that he attends.²²

In the early days of the DRB, only the principals could attend the meeting. If the principal was unavailable, his seat would remain empty. Under the current guidelines, principals can have another person represent them at a meeting. This person must be very knowledgeable on the issue being addressed and also must be a very senior member on the principal's staff. For example, the acting CJCS could represent the CJCS if the CJCS had been out of the country for a long period and was not familiar with the issue being addressed by the DRB.

Based on the information provided so far, it appears that the DRB will address only those issues which are indicated on the agenda for a given meeting. This is not true. Any member can raise any issue at any time. One must keep in mind that the members of the DRB are free wielding because of their very high positions in the DOD. Sometimes the members do exercise their right to bring up other things during the meeting as one member did when he

b. The national security policy of the present administration has remained stable over the past four years and it appears that it will remain the same for the next four years.

The Executive Secretary to the DRB has the responsibility for arranging meetings, signing memorandums, and keeping the DRB process moving along. During the Carlucci period, the Executive Secretary was one individual for the entire PPBS process. Under the current DEPSECDEF, the Executive Secretary rotates from USD (P) during the planning phase to the DPAE during the programming phase to the ASD (C) during the budgeting phase of the PPBS. The Executive Secretary has a point of contact who is not a member of the DRB. This individual does administrative work for the various individuals who will perform duties of the Executive Secretary. During meetings of the DRB, the point of contact provides administrative support to those individuals making presentations before the DRB.

When meetings are scheduled during the planning phase, the DUSD (P) prepares the agenda for the meeting and insures that issue papers are made available to DRB principals in time for their review before the actual meeting. During the draft DG meeting, the DUSD (P) will highlight those issues that the DGSB has resolved. Then, the various proponents of an issue are given the opportunity to expound further on the issue if it is necessary because of questions raised by other principals on the DRB. If there is no need for further information, the DEPSECDEF, as Chairman of the DRB, will make the decision for the DRB during the meeting or reserve his decision until he has had the chance to discuss the issue with the SECDEF. The DEPSECDEF does make the decision for the DRB and only the SECDEF can override his decision.

During the draft DG meeting, the CINCs are invited to appear before the DRB to advise the members of their needs and problems; they also make written comments and recommendations on the strategic plan.²¹ During the planning

phase. The reason for the numerous meetings was that the staffs of the members of the DRB were not familiar with their new mission. The staffers felt that every issue had to be addressed by the DRB. Many of these issues were of a very minor nature and should have been handled at the working level, rather than being forwarded to the DRB. Because of the number of issues being brought before the DRB for resolution, none of them, especially the ones of major importance, received the attention that they needed. The members of the DRB were burdened with the numerous issues and because of the length of the meeting, members of the DRB had about one minute to spend on each issue.

As time passed, the DRB principals recognized that they had to do something which would improve the planning process. They decided that a Defense Guidance Steering Group (DGSG) should be organized. The mission for this group is to resolve the minor issues at the lowest level and only bring issues of major importance to the DRB for resolution.

The DGSG is comprised of senior representatives of all the DRB members. The DGSG is chaired by the Deputy Under Secretary of Defense for Policy (DUSD (P)), and has representatives at the Deputy Assistant Secretary and Two-Star General Officer level.²⁰ The DGSG meets regularly throughout the year and at least weekly during the planning cycle. The DUSD (P), in performing his duty of assembling the DG, works very closely with the DGSG. Minor issues are normally resolved at the worker level before they get to the DGSG. The DGSG resolves many of the major issues and today only a few major issues make it to the DRB.

The reasons for fewer issues getting to the DRB are:

- a. Staff members of DRB principals are more accustomed to their role in the planning process.

before the DRB and present their views on the draft DG and highlight their concerns with the document. Preparing the DG consists of three phases. First, the identification of capabilities to achieve United States objectives. Second, probable resource constraints are established. Third, the application of constrained resources in such a way as to maximize capabilities and minimize the risk.¹⁸ The final DG, published in January, contains the collective work of the SECDEF, JCS, and Services as well as the President's blessing.¹⁹ The DG is designed to provide to the Services, integrated DOD guidance upon which the Services prepare their requests of resources and to facilitate Presidential involvement early in the DOD PPBS.

In order to protect certain DOD programs, the DG may direct Services to program funds against certain projects. This technique will eliminate the Services from trading off a project that DOD wants to support in order to support a Service peculiar project.

In summary, the DOD planning process is initiated with the receipt of the JSPD, an unconstrained document, by the SECDEF in September. The DOD starts preparing the draft DG (responsibility for preparing various sections of the DG belong to members of the DRB) which is commented on by JCS, Service Chiefs, CINCs and the President. The CINCs testify before the DRB and the final DG is prepared. Upon publication of the DG, a resource constrained document, in January, the planning phase ends and the programming phase of the PPBS begins.

DEFENSE RESOURCES BOARD PROCESS

During the Carter administration, the DRB did not play in the planning phase of the PPBS. In 1981, as a result of the Carlucci Memorandums, the DRB began involvement in the planning process.

The DRB meets as often as it is necessary to accomplish its tasks. During the first couple of years, the DRB met very often during the planning

The JCS views on the attainability of the planning force levels consider national fiscal responsibility, manpower resources, material availability, technology, and industrial capacity. The primary purpose of the JSPD is to provide to the SECDEF the JCS's views on force issues.¹⁴

The planning force, found in the JSPD, is not fiscally constrained; therefore, it may be significantly greater than the force level supported by the President and SECDEF. However, the planning force does provide a baseline against which the capabilities and associated risks of the programmed forces are assessed. Additionally, the planning force levels represent a goal toward which programmed force levels should be directed.¹⁵ Another important point about the planning force levels in the JSPD is that they are developed in consideration of the requirements and recommendations of the Commanders-in-Chief (CINCs) of the Unified and Specified Commands and the Service Chiefs.

The beginning of the DOD planning cycle is when the JCS issues the JSPD to the SECDEF.¹⁶ The SECDEF considers the JSPD and other inputs and issues in the development of the DG (the document which ends the planning phase of PPBS).

The DG is organized into the following sections:

- a. Threat Assessment and Opportunities, Section I.
- b. Policy and Strategy Guidance, Sections II and III.
- c. Force Planning Guidance, Section IV.
- d. Resource Planning Guidance, Section V.
- e. Fiscal Guidance, Section VI.
- f. Major Issues, Section VII.¹⁷

The DG is mission oriented and developed annually. It relies heavily on policy decisions that occur throughout the year. The DG begins as a draft in October from the SECDEF. The Services, CINCs, JCS, and President comment on the draft DG. It is then sent before the DRB for approval. The CINCs come

b. In conjunction with the ASD (C), develop fiscal guidance for the annual DG.¹¹

In summary, the DRB, since its establishment, has grown in size from 7 to 16 members. The addition of the Service Secretaries and allowing the Service Chiefs to attend DRB meetings have improved the DRB's role in the entire PPBS. It is especially important that since 1981, the DRB has included planning in its role of being the DOD focal point for the entire PPBS.

Finally, there are DOD Instructions and Directives which assign responsibilities in the various phases of PPBS to several members of the DRB, thereby forcing the DRB to enter into the planning process with as much effort as they expend on the programming and budgeting phases of PPBS.

PLANNING

Planning begins in early September for the fiscal year to begin two years hence. For example, in September 1984, the planning portion of the PPBS began for the Fiscal Year 1987.

The planning documents of the PPBS are the Joint Strategic Planning Document (JSPD) (prepared by the JCS) and the Defense Guidance (prepared by the SECDEF). The JSPD contains JCS advice to the President, National Security Council (NSC), and the SECDEF on what military strategy and force structure is required to attain US national security objectives. It is not a fiscally constrained document.¹²

The JSPD is organized into the following major categories of information:

- a. The military appraisal of the threat to the United States.
- b. The recommended military objectives.
- c. The recommended military strategy.
- d. The summary of planning force levels.
- e. Views on the attainability of the planning force levels.¹³

Fourth, the USD (P) shall:

- a. Take lead in development of overall policy, strategy, force and resource planning guidance.
- b. Take lead in developing and coordinating, with the DRB, the publication of the DG.

Fifth, the Under Secretary of Defense for Research and Engineering (USD (R&E)) shall:

- a. Coordinate with OASD (C), Assistant Secretary of Defense for Manpower, Reserve Affairs, and Logistics (ASD (MR&L)), and DPAE the interface of the acquisition process with the PPBS
- b. Coordinates review of the Justification for Major System New Starts (JMSNS) provided by DOD components in the POM to determine whether major systems new starts should be included in the Program Decision Memorandum (PDM).

Sixth, the USD (R&E) and the ASD (MR&L) shall be responsible for assisting in the development of resource planning goals, programming objectives, and related guidance.

Seventh, ASD (C) shall:

- a. Coordinate annual budget review in support of DRB.
- b. In conjunction with DPAE, develop annual fiscal guidance for annual DG.
- c. Assist the Executive Secretary to the DRB in the preparation of the annual PPBS calendar of key events, with input from USD (P) and DPAE.
- d. Assist the Executive Secretary to DRB in the preparation of PPBS Directives and Instructions in coordination with USD (P) and DPAE.

Eighth, the DPAE shall:

- a. Coordinate the annual program review and the Issue Book (IB) development in support of the Executive Secretary to DRB.

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