

Navy Aegis Ballistic Missile Defense (BMD) Program: Background and Issues for Congress

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Summary

The Aegis ballistic missile defense (BMD) program, which is carried out by the Missile Defense Agency (MDA) and the Navy, gives Navy Aegis cruisers and destroyers a capability for conducting BMD operations. Under the FY2018 budget submission, the number of BMD-capable Aegis ships is scheduled to be 36 at the end of FY2018 and 51 at the end of FY2022.

Two Japan-homeported Navy BMD-capable Aegis destroyers included in the above figures—the *Fitzgerald* (DDG-62) and the *John S McCain* (DDG-56)—were seriously damaged in collisions with merchant ships in waters off the coasts of Japan and Singapore in June 2017 and August 2017, respectively, and will likely be nonoperational for a period of at least several months, and perhaps a year or more, until repairs on the ships are completed. The temporary loss of these two BMD-capable ships reinforced, at the margin, concerns among some observers about required numbers of BMD-capable Aegis ships versus available numbers of BMD-capable Aegis ships, particularly for performing BMD operations in the Western Pacific.

Under the European Phased Adaptive Approach (EPAA) for European BMD operations, BMD-capable Aegis ships are operating in European waters to defend Europe from potential ballistic missile attacks from countries such as Iran. BMD-capable Aegis ships also operate in the Western Pacific and the Persian Gulf to provide regional defense against potential ballistic missile attacks from countries such as North Korea and Iran.

The Aegis BMD program is funded mostly through MDA's budget. The Navy's budget provides additional funding for BMD-related efforts. MDA's proposed FY2018 budget, as amended on November 6, 2017, requests a total of \$2,173.5 million in procurement and research and development funding for Aegis BMD efforts, including funding for two Aegis Ashore sites in Poland and Romania that are to be part of the EPAA. MDA's budget also includes operations and maintenance (O&M) and military construction (MilCon) funding for the Aegis BMD program.

Issues for Congress regarding the Aegis BMD program include the following:

- required numbers of BMD-capable Aegis ships versus available numbers of BMD-capable Aegis ships;
- a proposed reduction in planned procurement quantities of SM-3 Block IB and IIA missiles under the FY2018 budget submission, compared to planned quantities under the FY2017 budget submission;
- whether the Aegis test facility in Hawaii should be converted into an operational Aegis Ashore site to provide additional BMD capability for defending Hawaii and the U.S. West Coast;
- burden sharing—how European naval contributions to European BMD capabilities and operations compare to U.S. naval contributions to European BMD capabilities and operations;
- the potential for ship-based lasers, electromagnetic railguns (EMRGs), and hypervelocity projectiles (HVPs) to contribute in coming years to Navy terminal-phase BMD operations and the impact this might eventually have on required numbers of ship-based BMD interceptor missiles;
- technical risk and test and evaluation issues in the Aegis BMD program; and
- the lack of a target for simulating the endo-atmospheric (i.e., final) phase of flight of China's DF-21 anti-ship ballistic missile.

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Introduction

This report provides background information and issues for Congress on the Aegis ballistic missile defense (BMD) program, which is carried out by the Missile Defense Agency (MDA) and the Navy, and gives Navy Aegis cruisers and destroyers a capability for conducting BMD operations. The issue for Congress is whether to approve, reject, or modify Department of Defense (DOD) acquisition strategies and proposed funding levels for the Aegis BMD program. Congress's decisions on the Aegis BMD program could significantly affect U.S. BMD capabilities and funding requirements, and the BMD-related industrial base.

For an overview of the strategic and budgetary context in which the Aegis BMD program may be considered, see CRS Report RL32665, *Navy Force Structure and Shipbuilding Plans: Background and Issues for Congress*, by (name redacted) .

Background

Aegis Ships

The Navy's cruisers and destroyers are called Aegis ships because they are equipped with the Aegis ship combat system—an integrated collection of sensors, computers, software, displays, weapon launchers, and weapons named for the mythological shield that defended Zeus. The Aegis system was originally developed in the 1970s for defending ships against aircraft, anti-ship cruise missiles (ASCMs), surface threats, and subsurface threats. The system was first deployed by the Navy in 1983, and it has been updated many times since. The Navy's Aegis ships include Ticonderoga (CG-47) class cruisers and Arleigh Burke (DDG-51) class destroyers.

Ticonderoga (CG-47) Class Aegis Cruisers

Overview

A total of 27 CG-47s (CGs 47 through 73) were procured for the Navy between FY1978 and FY1988; the ships entered service between 1983 and 1994. The first five ships in the class (CGs 47 through 51), which were built to an earlier technical standard in certain respects, were judged by the Navy to be too expensive to modernize and were removed from service in 2004-2005, leaving 22 ships in operation (CGs 52 through 73).

"2-4-6" Program for Modernizing 11 Existing Aegis Cruisers

Congress has directed the Navy to implement the so-called "2-4-6" program for modernizing the 11 youngest Aegis cruisers. Under the 2-4-6 program, no more than two of the cruisers are to enter the modernization program each year, none of the cruisers is to remain in reduced status for modernization for more than four years, and no more than six of the cruisers are to be in the program at any given time. Among the 11 Aegis cruisers that are to be modernized under this program are four that are BMD-capable—CG-67 (*Shiloh*), CG-70 (*Lake Erie*), CG-72 (*Vella Gulf*), and CG-73 (*Port Royal*).

Arleigh Burke (DDG-51) Class Aegis Destroyers¹

Flight I/II and Flight IIA DDG-51s Procured in FY1985-FY2005

A total of 62 DDG-51s were procured for the Navy between FY1985 and FY2005; the first entered service in 1991 and the 62nd entered service in FY2012. The first 28 ships, known as Flight I/II DDG-51s, are scheduled to remain in service until age 35. The next 34 ships, known as Flight IIA DDG-51s, incorporate some design changes and are scheduled to remain in service until age 40.

No DDG-51s Procured in FY2006-FY2009

No DDG-51s were procured in FY2006-FY2009. The Navy during this period instead procured three Zumwalt (DDG-1000) class destroyers. The Navy does not plan to procure any additional DDG-1000s. The DDG-1000 design does not use the Aegis system and does not include a capability for conducting BMD operations. Navy plans do not call for modifying the three DDG-1000s to make them BMD-capable.

Procurement of DDG-51s Resumed in FY2010

Procurement of DDG-51s resumed in FY2010, following procurement of the three DDG-1000s. A total of 15 DDG-51s were procured in FY2010-FY2017.²

Transition to Flight III DDG-51 Design in FY2016 or FY2017

Beginning with a DDG-51 procured in FY2016 or FY2017, the Navy will shift DDG-51 procurement to a new version of the DDG-51 design called the Flight III version. The Flight III version is to be equipped with a new radar, called the Air and Missile Defense Radar (AMDR) or the SPY-6 radar, that is more capable than the SPY-1 radar installed on all previous Aegis cruisers and destroyers.

Aegis Ships in Allied Navies

Sales of the Aegis system to allied countries began in the late 1980s. Allied countries that now operate, are building, or are planning to build Aegis-equipped ships include Japan, South Korea, Australia, Spain, and Norway.³

Aegis BMD System⁴

Aegis ships are given a capability for conducting BMD operations by incorporating changes to the Aegis system's computers and software, and by arming the ships with BMD interceptor

¹ For more on the DDG-51 program, see CRS Report RL32109, *Navy DDG-51 and DDG-1000 Destroyer Programs: Background and Issues for Congress*, by (name redacted) .

² The 15 DDG-51s procured in FY2010-FY2017 include one in FY2010, two in FY2011, one in FY2012, three in FY2013, one in FY2014, two in FY2015, three in FY2016, and two in FY2017.

³ The Norwegian ships are somewhat smaller than the other Aegis ships, and consequently carry a reduced-size version of the Aegis system that includes a smaller, less-powerful version of the SPY-1 radar.

⁴ Unless stated otherwise, information in this section is taken from MDA briefings on the Aegis BMD program given to CRS and CBO analysts on the MDA's FY2016 and prior-year budget submissions.

missiles. In-service Aegis ships can be modified to become BMD-capable ships, and DDG-51s procured in FY2010 and subsequent years are to be built from the start with a BMD capability.

Versions of Aegis BMD System

The Aegis BMD system exists in several variants. Listed in order of increasing capability, these are the 3.6.X variant, the 4.X variant, the 5.0 CU (Capability Upgrade) variant (also known as the Baseline [BL] 9.C1 variant), and the 5.1 variant (also known as the BL9.C2 variant).

Figure 1 summarizes the capabilities of these variants and correlates them with the phases of the European Phased Adaptive Approach (or EPAA; see below) for European BMD operations.

Aegis BMD Interceptor Missiles

The BMD interceptor missiles used by Aegis ships are the Standard Missile-3 (SM-3), the SM-2 Block IV, and the SM-6.

SM-3 Midcourse Interceptor

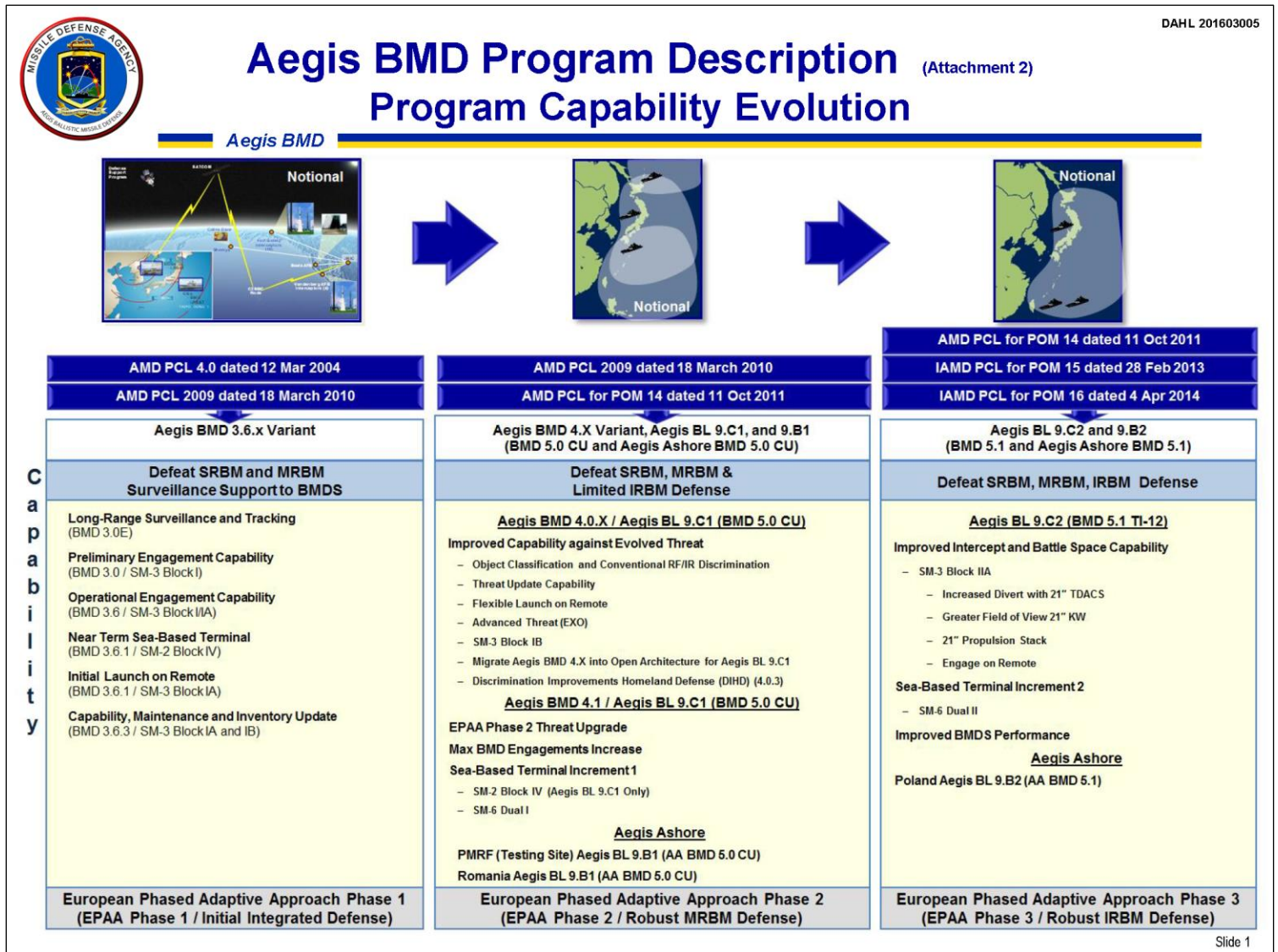
The SM-3 is designed to intercept ballistic missiles above the atmosphere (i.e., exo-atmospheric intercept), in the midcourse phase of an enemy ballistic missile's flight. It is equipped with a "hit-to-kill" warhead, called a kinetic vehicle, that is designed to destroy a ballistic missile's warhead by colliding with it. MDA and Navy plans call for fielding increasingly capable versions of the SM-3 in coming years. The current versions, called the SM-3 Block IA and SM-3 Block IB, are to be supplemented in coming years by SM-3 Block IIA.

Compared to the Block IA version, the Block IB version has an improved (two-color) target seeker, an advanced signal processor, and an improved divert/attitude control system for adjusting its course. Compared to the Block IA and IB versions, which have a 21-inch-diameter booster stage at the bottom but are 13.5 inches in diameter along the remainder of their lengths, the Block IIA version has a 21-inch diameter along its entire length. The increase in diameter to a uniform 21 inches provides more room for rocket fuel, permitting the Block IIA version to have a burnout velocity (a maximum velocity, reached at the time the propulsion stack burns out) that is greater than that of the Block IA and IB versions,⁵ as well as a larger-diameter kinetic warhead. The United States and Japan have cooperated in developing certain technologies for the Block IIA version, with Japan funding a significant share of the effort.⁶

⁵ Some press reports and journal articles, all of which are now more than a decade old, report unconfirmed figures on the burnout velocities of various SM-3 missile configurations (some of which were proposed but ultimately not pursued). See, for example, J. D. Williams, *The Future Of Aegis Ballistic Missile Defense*, point paper dated October 15, 2004, accessed online at <http://marshall.org/wp-content/uploads/2013/08/Williams-The-Future-of-Aegis-Ballistic-Missile-Defense.pdf>; "STANDARD Missile-3 Destroys a Ballistic Missile Target in Test of Sea-based Missile Defense System," Raytheon news release circa January 26, 2002; Gopal Ratnam, "U.S. Navy To Play Larger Role In Missile Defense," *Defense News*, January 21-27, 2002: 10; Hans Mark, "A White Paper on the Defense Against Ballistic Missiles," *The Bridge*, Summer 2001, pp. 17-26, accessed online at <https://www.nae.edu/File.aspx?id=7315>; Michael C. Sirak, "White House Decision May Move Sea-Based NMD Into Spotlight," *Inside Missile Defense*, September 6, 2000: 1; Henry F. Cooper and J.D. Williams, "The Earliest Deployment Option—Sea-Based Defenses," *Inside Missile Defense*, September 6, 2000 (guest perspective; including graphic on page 21); Robert Holzer, "DoD Weighs Navy Interceptor Options," *Defense News*, July 24, 2000: 1, 60 (graphic on page 1); and Robert Holzer, "U.S. Navy Gathers Strength, Allies in NMD Showdown," *Defense News*, March 15, 1999: 1, 42 (graphic on page 1).

⁶ The cooperative research effort has been carried out under a U.S.-Japan memorandum of agreement signed in 1999. The effort has focused on risk reduction for four parts of the missile: the sensor, an advanced kinetic warhead, the second-stage propulsion, and a lightweight nose cone. The Block IIA development effort includes the development of a (continued...)

Figure I. Aegis BMD System Variants
(Summary of capabilities)



Source: MDA briefing slide provided to CRS on March 25, 2016.

MDA and Navy plans at one point called for the SM-3 Block IIA to be succeeded by a still-more-capable interceptor called the SM-3 Block IIB. The effort to develop that missile, however, was ended, and MDA reportedly is not pursuing any follow-on capabilities to the SM-3 Block IIA.⁷

(...continued)

missile, called the Block II, as a stepping stone to the Block IIA. As a result, the Block IIA development effort has sometimes been called the Block II/IIA development effort. The Block II missile is not planned as a fielded capability.

⁷ See, for example, Justin Doubleday, "Missile Defense Agency Not Pursuing Follow-On to SM-3 Block IIA Interceptor," *Inside the Navy*, October 24, 2016.

SM-2 and SM-6 Terminal Interceptors

The SM-2 Block IV is designed to intercept ballistic missiles inside the atmosphere (i.e., endo-atmospheric intercept), during the terminal phase of an enemy ballistic missile's flight. It is equipped with a blast fragmentation warhead. The existing inventory of SM-2 Block IVs—72 as of February 2012—was created by modifying SM-2s that were originally built to intercept aircraft and ASCMs. A total of 75 SM-2 Block IVs were modified, and 3 were used in BMD flight tests.

MDA and the Navy are now procuring a more capable terminal-phase (endo-atmospheric intercept) BMD interceptor based on the SM-6 air defense missile (the successor to the SM-2 air defense missile). The SM-6 is a dual-capability missile that can be used for either air defense (i.e., countering aircraft and anti-ship cruise missiles) or ballistic missile defense.

European Phased Adaptive Approach (EPAA) for European BMD

On September 17, 2009, the Obama Administration announced a new approach for regional BMD operations called the Phased Adaptive Approach (PAA). The first application of the approach is in Europe, and is called the European PAA (EPAA). EPAA calls for using BMD-capable Aegis ships, a land-based radar in Europe, and two Aegis Ashore sites in Romania and Poland to defend Europe against ballistic missile threats from countries such as Iran.

Phase I of EPAA involved deploying Aegis BMD ships and a land-based radar in Europe by the end of 2011. Phase II involved establishing the Aegis Ashore site in Romania with SM-3 IB interceptors in 2016.⁸ Phase 3 involves establishing the Aegis Ashore site in Poland with SM-3 IIA interceptors by FY2019. Each Aegis Ashore site in the EPAA is to include a structure housing an Aegis system similar to the deckhouse on an Aegis ship and 24 SM-3 missiles launched from a re-locatable Vertical Launch System (VLS) based on the VLS that is installed in Navy Aegis ships.⁹

Although BMD-capable Aegis ships were deployed to European waters before 2011, the first BMD-capable Aegis ship officially deployed to European waters as part of the EPAA departed its home port of Norfolk, VA, on March 7, 2011, for a deployment to the Mediterranean that lasted several months.¹⁰

Planned Numbers of BMD-Capable Aegis Ships and SM-3 Interceptors

Table 1 shows planned numbers of BMD-capable Aegis ships and SM-3 interceptors under DOD's FY2018 budget submission. Two Japan-homeported BMD-capable Aegis destroyers

⁸ The Aegis Ashore site in Romania was operationally certified on May 12, 2016. (See "Aegis Ashore Missile Defense System-Romania Operationally Certified, *Navy News Service*, May 12, 2016; Sam LaGrone, "Aegis Ashore Site in Romania Declared Operational," *USNI News*, May 12, 2016.)

⁹ For additional discussion of the Aegis Ashore sites, see Edward Lundquist, "Aegis Ashore Adapts Sea-Based Missile Defense System to Protect Europe," *National Defense*, September 2016.

¹⁰ Karen Parrish, "Milestone nears for European Missile Defense Plan," *American Forces Press Service*, March 2, 2011 (<http://archive.defense.gov/news/newsarticle.aspx?id=62997>); Untitled "Eye On The Fleet" news item, *Navy News Service*, March 7, 2011 (accessed online at http://www.navy.mil/view_single.asp?id=98184); "Warship With Radar Going To Mediterranean," *Washington Post*, March 2, 2011; Brock Vergakis, "US Warship Deploys to Mediterranean to Protect Europe From Ballistic Missiles," *Canadian Press*, March 7, 2011.

included in the figures shown in **Table 1**—the *Fitzgerald* (DDG-62) and the *John S McCain* (DDG-56)—were seriously damaged in collisions with merchant ships in waters off the coasts of Japan and Singapore in June 2017 and August 2017, respectively, and will likely be nonoperational for a period of at least several months, and perhaps a year or more, until repairs on the ships are completed.

Table 1. Numbers of BMD-Capable Aegis Ships and SM-3 Missiles Under FY2017 Budget Submission

| | FY16 | FY17 | FY18 (req.) | FY19 (proj.) | FY20 (proj.) | FY21 (proj.) | FY22 (proj.) |
|--|----------------|----------------|----------------|-----------------|-----------------|-----------------|-----------------|
| BMD-capable Aegis ships | | | | | | | |
| 3.6 version | 20 | 17 | 14 | 12 | 6 | 5 | 4 |
| 4.X version | 9 | 10 | 12 | 14 | 20 | 21 | 21 |
| 5.0 CU (BL9.C1) version | 4 | 6 | 9 | 7 | 4 | 2 | 0 |
| 5.1 (BL9.C2) version | 0 | 0 | 1 | 6 | 13 | 20 | 26 |
| Total | 33 | 33 | 36 | 39 | 43 | 48 | 51 |
| Aegis Ashore sites | 1 | 1 | 1 | 2 | 2 | 2 | 2 |
| SM-3 missile cumulative purchased / delivered (including RDT&E purchases) | | | | | | | |
| Block I/IA | 150/150 | 150/150 | 150/150 | 150/150 | 150/150 | 150/150 | 150/150 |
| Block IB | 218/92 | 253/146 | 287/182 | 324/218 | 350/253 | 376/287 | 382/324 |
| Block IIA | 17/0 | 17/0 | 23/4 | 29/15 | 38/17 | 50/19 | 70/26 |
| Total | 385/242 | 420/296 | 460/336 | 503/383 | 538/420 | 576/456 | 602/500 |

Source: FY2018 MDA budget submission.

Homeporting of BMD-Capable DDG-51s in Spain

On October 5, 2011, the United States, Spain, and NATO jointly announced that, as part of the EPAA, four BMD-capable Aegis ships were to be forward-homeported (i.e., based) at the naval base at Rota, Spain.¹¹ The four ships are the destroyers *Ross* (DDG-71) and *Donald Cook* (DDG-75), which moved to Rota in FY2014, and the destroyers *Carney* (DDG-64) and *Porter* (DDG-78), which moved to Rota in FY2015. The moves involved an estimated 1,239 military billets (including 1,204 crew members for the four ships and 35 shore-based support personnel),¹² and about 2,100 family members.¹³ The Navy estimated the up-front costs of transferring the four ships at \$92 million in FY2013, and the recurring costs of basing the four ships in Spain rather than in the United States at roughly \$100 million per year.¹⁴

¹¹ “Announcement on missile defence cooperation by NATO Secretary General Anders Fogh Rasmussen, the Prime Minister of Spain, Jose Luis Rodriguez Zapatero and US Defense Secretary Leon Panetta,” October 5, 2011, accessed October 6, 2011, at http://www.nato.int/cps/en/SID-107ADE55-FF83A6B8/natolive/opinions_78838.htm. See also “SECDEF Announces Stationing of Aegis Ships at Rota, Spain,” accessed October 6, 2011, at http://www.navy.mil/search/display.asp?story_id=63109.

¹² Source: Navy information paper dated March 8, 2012, provided by Navy Office of Legislative Affairs to CRS on March 9, 2012.

¹³ Source: Navy briefing slides dated February 27, 2012, provided by the Navy to CRS on March 9, 2012.

¹⁴ Source: Navy briefing slides dated February 27, 2012, provided by the Navy to CRS on March 9, 2012. The briefing (continued...)

Rota is on the southwestern Atlantic coast of Spain, a few miles northwest of Cadiz, and about 65 miles northwest of the Strait of Gibraltar leading into the Mediterranean. U.S. Navy ships have been homeported at Rota at various points in the past, most recently (prior to the current arrangement) in 1979.¹⁵ For additional background information on the Navy's plan to homeport four BMD-capable Aegis destroyers at Rota, Spain, see **Appendix B**.

Aegis BMD Flight Tests

DOD states that since January 2002, the Aegis BMD system has achieved 30 successful exo-atmospheric intercepts in 38 attempts using the SM-3 missile (including 3 successful intercepts in 4 attempts by Japanese Aegis ships, and one successful intercept in one attempt using the Aegis Ashore system), and 7 successful endo-atmospheric intercepts in 7 attempts using the SM-2 Block IV and SM-6 missiles, making for a combined total of 37 successful intercepts in 45 attempts.

In addition, on February 20, 2008, a BMD-capable Aegis cruiser operating northwest of Hawaii used a modified version of the Aegis BMD system with the SM-3 missile to shoot down an inoperable U.S. surveillance satellite that was in a deteriorating orbit.¹⁶ Including this intercept in the count increases the totals to 31 successful exo-atmospheric intercepts in 39 attempts using the SM-3 missile, and 38 successful exo- and endo-atmospheric intercepts in 46 attempts using SM-3, SM-2 Block IV, and SM-6 missiles.

(...continued)

slides state that the estimated up-front cost of \$92 million includes \$13.5 million for constructing a new weapon magazine, \$0.8 million for constructing a pier laydown area, \$3.4 million for constructing a warehouse, \$5.0 million for repairing an existing facility that is to be used as an administrative/operations space, and \$69.3 million for conducting maintenance work on the four ships in the United States prior to moving them to Rota. The briefing states that the estimated recurring cost of \$100 million per year includes costs for base operating support, annual PCS (personnel change of station) costs, a pay and allowances delta, annual mobile training team costs, ship maintenance work, the operation of a Ship Support Activity, and higher fuel costs associated with a higher operating tempo that is maintained by ships that are homeported in foreign countries.

¹⁵ Source: Sam Fellman, "U.S. To Base Anti-Missile Ships in Spain," *Defense News*, October 10, 2011: 76.

¹⁶ The modifications to the ship's Aegis BMD midcourse system reportedly involved primarily making changes to software. DOD stated that the modifications were of a temporary, one-time nature. Three SM-3 missiles reportedly were modified for the operation. The first modified SM-3 fired by the cruiser successfully intercepted the satellite at an altitude of about 133 nautical miles (some sources provide differing altitudes). The other two modified SM-3s (one carried by the cruiser, another carried by an engage-capable Aegis destroyer) were not fired, and the Navy stated it would reverse the modifications to these two missiles. (For additional information, see the MDA discussion available online at http://www.mda.mil/system/aegis_one_time_mission.html, and also Peter Spiegel, "Navy Missile Hits Falling Spy Satellite," *Los Angeles Times*, February 21, 2008; Marc Kaufman and Josh White, "Navy Missile Hits Satellite, Pentagon Says," *Washington Post*, February 21, 2008; Thom Shanker, "Missile Strikes A Spy Satellite Falling From Its Orbit," *New York Times*, February 21, 2008; Bryan Bender, "US Missile Hits Crippled Satellite," *Boston Globe*, February 21, 2008; Zachary M. Peterson, "Navy Hits Wayward Satellite On First Attempt," *NavyTimes.com*, February 21, 2008; Dan Nakaso, "Satellite Smasher Back At Pearl," *Honolulu Advertiser*, February 23, 2008; Zachary M. Peterson, "Lake Erie CO Describes Anti-Satellite Shot," *NavyTimes.com*, February 25, 2008; Anne Mulrine, "The Satellite Shootdown: Behind the Scenes," *U.S. News & World Report*, February 25, 2008; Nick Brown, "US Modified Aegis and SM-3 to Carry Out Satellite Interception Shot," *Jane's International Defence Review*, April 2008: 35.)

MDA states that the incremental cost of the shoot-down operation was \$112.4 million when all costs are included. MDA states that this cost is to be paid by MDA and the Pacific Command (PACOM), and that if MDA is directed to absorb the entire cost, "some realignment or reprogramming from other MDA [program] Elements may be necessary to lessen significant adverse impact on [the] AEGIS [BMD program's] cost and schedule." (MDA information paper dated March 7, 2008, provided to CRS on June 6, 2008. See also Jason Sherman, "Total Cost for Shoot-Down of Failed NRO Satellite Climbs Higher," *InsideDefense.com*, May 12, 2008.)

The Aegis BMD development effort, including Aegis BMD flight tests, is often described as following a development philosophy long held within the Aegis program office of “build a little, test a little, learn a lot,” meaning that development is done in manageable steps, then tested and validated before moving on to the next step.¹⁷

For further background information on Aegis BMD flight tests, see **Appendix A**.

Allied Participation and Interest in Aegis BMD Program

Japan¹⁸

Overview

Japan’s interest in BMD, and in cooperating with the United States on BMD matters, was first heightened in August 1998, when North Korea test-fired a Taepo Dong-1 ballistic missile that flew over Japan before falling into the Pacific.¹⁹ Japan’s interest has been periodically reinforced since then by subsequent North Korean ballistic missile test flights.

BMD-Capable Aegis Destroyers

Japan is modifying all six of its Aegis destroyers to include the Aegis BMD capability. As of August 2017, four of the six ships reportedly had been modified, and Japan planned to modify a fifth by March 2018, or perhaps sooner than that.²⁰ In November 2013, Japan announced plans to procure two additional Aegis destroyers and equip them as well with the Aegis BMD capability, which will produce an eventual Japanese force of eight BMD-capable Aegis destroyers. As of 2016, the two additional ships were expected to enter service in 2020 and 2021. Japanese BMD-capable Aegis ships have participated in some of the flight tests of the Aegis BMD system using the SM-3 interceptor (see **Table A-1** in **Appendix A**).

Cooperative Development of SM-3 Block IIA Missile

Japan has cooperated with the United States on development the SM-3 Block IIA missile. Japan developed certain technologies for the missile, and paid for the development of those technologies, reducing the missile’s development costs for the United States.

¹⁷ See, for example, “Aegis BMD: “Build a Little, Test a Little, Learn a Lot,”” USNI blog, March 15, 2010, accessed September 11, 2013, at <http://blog.usni.org/2010/03/15/aegis-bmd-build-a-little-test-a-little-learn-a-lot>, and “Aegis Ballistic Missile Defense, Aegis Ballistic Missile Defense Overview for the George C. Marshall Institute, RADM Alan B. Hicks, USN, Aegis BMD Program Director, August 3, 2009, slide 16 of 20, entitled “Some of our Philosophies In a Nutshell (1 of 2),” accessed September 11, 2011, at <http://www.marshall.org/pdf/materials/743.pdf>.

¹⁸ For a research paper providing additional background information U.S.-Japan cooperation in ballistic missile defense, see Rachel Hoff, “U.S.-Japan Missile Defense Cooperation: Increasing Security and Cutting Costs,” American Action Forum, December 2, 2015.

¹⁹ For a discussion, see CRS Report RL31337, *Japan-U.S. Cooperation on Ballistic Missile Defense: Issues and Prospects*, by (name redacted) . This archived report was last updated on March 19, 2002. See also CRS Report RL33436, *Japan-U.S. Relations: Issues for Congress*, coordinated by (name redacted) .

²⁰ Richard Abott, “Japan Plans To Expand Missile Defense Systems, Includes Aegis Ashore,” *Defense Daily*, August 21, 2017: 7-9.

Interest in Purchasing Aegis Ashore Sites

In May 2017, it was reported that Japan was considering purchasing an Aegis Ashore capability to further bolster Japan's BMD capabilities for defending against North Korean ballistic missiles.²¹

In August 2017, it was reported that the Japanese government plans to deploy an Aegis Ashore system and will seek funding in the budget for Japan's next fiscal year to cover Aegis Ashore system design costs.²² It was also reported in August 2017 that Japan wants this Aegis Ashore system to be equipped with the radar to be used by the U.S. Navy's Flight III DDG-51 Aegis destroyers (i.e., the Air and Missile Defense Radar [AMDR], also known as the SPY-6 radar) rather than the older SPY-1 radar used by earlier Aegis ships and the Aegis Ashore sites in Europe.²³

In October 2017, it was reported that Japan is interested in purchasing SM-6 interceptors for its desired Aegis Ashore sites, so that the sites would employ both SM-3 midcourse-interceptors and SM-6 terminal-phase interceptors.²⁴

In November 2017, it was reported that the United States is providing Japan initial pricing and technical data for both the existing Aegis Ashore system and a version equipped with the AMDR. The report stated that Japan is interested in purchasing two Aegis Ashore systems, and that the systems, if purchased, would go into operation by 2023.²⁵ It was also reported in November 2017 that the two Aegis Ashore systems may be located at Ground Self-Defense Force (GSDF) facilities in Akita Prefecture in eastern Japan and Yamaguchi Prefecture in western Japan, and would be operated mainly by the GSDF (i.e., Japan's army).²⁶

Other Countries

Other countries that MDA views as potential naval BMD operators (using either the Aegis BMD system or some other system of their own design) include the United Kingdom, the Netherlands, Spain, Germany, Denmark, South Korea, and Australia. Spain, South Korea, and Australia either operate, are building, or are planning to build Aegis ships. The other countries operate destroyers and frigates with different combat systems that may have potential for contributing to BMD operations.

For additional background information on allied participation and interest in the Aegis BMD program for countries other than Japan, see **Appendix C**.

²¹ Sam LaGrone, "Defense Minister: Japan Considering Purchasing Aegis Ashore Following North Korean ICBM Test," *USNI News*, May 16, 2017.

²² Richard Abott, "Japan Plans To Expand Missile Defense Systems, Includes Aegis Ashore," *Defense Daily*, August 21, 2017: 7-9.

²³ Tim Kelly and Nobuhiro Kubo, "Exclusive: Japan Seeks New U.S. Missile Radar as North Korea Threat Grows—Sources," *Reuters*, August 30, 2017. See also Mike Yeo, "Japan Evaluating Sites for Aegis Ashore Missile Defense System," *Defense News*, September 26, 2017.

²⁴ Richard Tomkins, "Report: Japan Eyeing SM-6 Missiles for Defense Program," *United Press International*, October 20, 2017.

²⁵ Anthony Capaccio, "Japan in Talks With U.S. on Buying Aegis Missile Defense," *Bloomberg*, November 7, 2017.

²⁶ Yomiuri Shimbun, "Akita, Yamaguchi to Get Aegis Ashore/GSDF Involvement Expected to Strengthen Missile Defense," *The Japan News*, November 11, 2017. See also Kyodo, "Japan Mulling New Missile Interceptor Deployment to Guard Against North Korea," *South China Morning Post*, November 11, 2017.

FY2018 MDA Funding Request

The Aegis BMD program is funded mostly through MDA's budget. The Navy's budget provides additional funding for BMD-related efforts. **Table 2** shows MDA procurement and research and development funding for the Aegis BMD program. *The figures shown in Table 2 reflect DOD's November 6, 2017, amendment to its FY2018 budget submission.*

As shown in **Table 2**, which shows MDA funding only, MDA's proposed FY2018 budget, as amended on November 6, 2017, requests a total of \$2,173.5 million in procurement and research and development funding for Aegis BMD efforts, including funding for the two Aegis Ashore sites that are part of the EPAA, which are referred to in the table as funding for the land-based SM-3. MDA's budget also includes additional funding not shown in the table for operations and maintenance (O&M) and military construction (MilCon) for the Aegis BMD program.

Table 2. MDA Funding for Aegis BMD Efforts, FY2018-FY2022

(In millions of dollars, rounded to nearest tenth; totals may not add due to rounding)

| | FY18 (req.) | FY19 (proj.) | FY20 (proj.) | FY21 (proj.) | FY22 (proj.) |
|---|----------------|-----------------|-----------------|-----------------|-----------------|
| Procurement | | | | | |
| Aegis BMD (line 31) | 876.0 | 604.0 | 581.2 | 647.4 | 634.0 |
| Aegis BMD Advance Procurement (line 32) | 38.7 | 28.3 | 28.2 | 0 | 0 |
| Aegis Ashore Phase III (line 37) | 59.7 | 0 | 0 | 0 | 0 |
| Aegis BMD hardware and software (line 39) | 160.3 | 98.0 | 120.9 | 58.2 | 90.3 |
| SUBTOTAL Procurement | 1,134.7 | 730.3 | 730.3 | 705.6 | 724.3 |
| Research and development | | | | | |
| Aegis BMD (PE 0603892C) (line 80) | 860.8 | 805.1 | 789.2 | 656.2 | 695.3 |
| Aegis BMD Test (PE 0604878C) (line 108) | 137.8 | 73.1 | 82.6 | 113.9 | 97.7 |
| Land-based SM-3 (PE 0604880C) (line 110) | 30.5 | 31.8 | 33.0 | 31.7 | 30.9 |
| Aegis SM-3 IIA (PE 0604881C) (line 111) | 9.7 | 0 | 0 | 0 | 0 |
| SUBTOTAL RDT&E | 1,038.8 | 910.0 | 904.8 | 801.8 | 823.9 |
| TOTAL | 2,173.5 | 1,640.3 | 1,635.1 | 1,507.4 | 1,548.2 |

Source: Table prepared by CRS based on DOD's November 6, 2017, amendment to its FY2018 MDA budget submission.

Issues for Congress

Required vs. Available Numbers of BMD-Capable Aegis Ships

Overview

One potential issue for Congress concerns required numbers of BMD-capable Aegis ships versus available numbers of BMD-capable Aegis ships. Some observers are concerned about the potential operational implications of a shortfall in the available number of BMD-capable relative to the required number.

A March 13, 2015, Navy information paper states the following:

The 2014 update to the 2012 [Navy] Force Structure Assessment sets the requirement at 40 advanced capable BMD (Baseline 9+) ships [i.e., ships equipped with the Baseline 9 version of the Aegis system, or later versions, and a BMD capability], as part of the 88 large surface combatant requirement [i.e., the Navy's requirement for the fleet to have a total of 88 cruisers and destroyers of all types], to meet Navy unique requirements to support defense of the sea base and limited expeditionary land base sites.

The basic and intermediate capable BMD ships remaining in inventory will continue to contribute to the sourcing of Combatant Commander (CCDR) requests independent of the Navy unique requirement. This CCDR demand has increased from 44 in FY12-14 to 77 in FY16. Navy continues to be challenged to meet all CCDR demand for BMD ships, but will meet 100% of Secretary of Defense adjudicated requirements in FY16. To better meet CCDR demand and the Navy unique requirement, Navy is building advanced BMD capability in new construction ships and modernizing existing destroyers with advanced BMD capability....

The minimum requirement for 40 advanced capable BMD ships is based on the Navy unique requirement as follows. It accepts risk in the sourcing of CCDR requests for defense of land.

- 27 to meet CVN escort demand for rotational deployment of the carrier strike groups
- 9 in FDNF Japan to meet operational timelines in PACOM
- 4 in FDNF Europe for rotational deployment in EUCOM²⁷

The issue of required numbers of BMD-capable Aegis ships versus available numbers of BMD-capable Aegis ships was discussed at some length at a June 17, 2015, hearing on U.S. Navy surface combatant capacity before the Seapower and Projection Forces subcommittee of the House Armed Services Committee. At this hearing, the Navy witnesses stated in their prepared testimony that

The 2014 update to the 2012 FSA resulted in a total requirement of 308 ships [of all types].... Of particular note, the combination of employment cycle changes, home porting of additional LSCs forward, shifting of the Ballistic Missile Defense (BMD) of land mission to ashore assets, and independent deployment of DDG 1000s results in no change to the LSC objective of 88 ships. However, the 2014 FSA update did provide the additional detail that 40 LSCs require advanced BMD capabilities to meet Navy-unique requirements to provide defense of the sea base and expeditionary land base sites, and 11 LSCs require the ability to support an embarked Air Defense Commander....

Navy BMD continues to be in high demand, as COCOM demand has increased from 44 in FY 2012-2014 to 77 in FY 2016. As mentioned previously, the 2014 update to the 2012 Force Structure Assessment sets the requirement at 40 advanced capable BMD ships, as part of the 88 LSC requirement, to meet Navy unique requirements to support defense of the sea base and limited expeditionary land base sites. To better meet COCOM demand and the Navy unique requirement, Navy is building advanced BMD capability in new construction destroyers and modernizing existing destroyers with advanced BMD capability. The basic and intermediate capable BMD ships remaining in inventory will continue to contribute to the sourcing of COCOM requests independent of the Navy

²⁷ Navy information paper dated March 13, 2015, entitled "BMD Capable Ships Requirement," posted April 14, 2015, at InsideDefense.com (subscription required). See also Lara Seligman, "Memo To Congress: Navy 'Challenged' To Meet Soaring Demand For Missile Defense," *InsideDefense.com Defense Alert*, April 14, 2015.

unique requirement. Navy continues to meet 100% of Secretary of Defense adjudicated requirements.²⁸

During the discussion portion of the hearing, one of the Navy witnesses—Rear Admiral Peter Fanta, Deputy Chief of Naval Operations, Director, Surface Warfare Division—when asked about the situation, stated the following:

My requirement at this point is 40 advanced capability ships that have the capability of both knocking down an incoming ballistic missile while simultaneously looking for and firing upon an incoming cruise missile that's at the surface of the ocean. So that is a minimum of 40 advanced capability ballistic missile ships.

I have approximately 33 ballistic missile capable ships. That is not to say they are advanced to that level. And we will reach that in a current build rate of that 40 ships in approximately the mid-2020s at this point, of those advanced capability ships, sir.²⁹

In a subsequent exchange, Fanta stated that

the advanced capability ships are primarily used to defend Navy assets in a high-end fight at sea against a near-peer competitor with advanced capabilities. BMD ships that I spoke of earlier that we have in the low 30s right now and continue to build more, are primarily for COCOM requests to defend other assets such as defended asset lists in various parts of the world.

So they are perfectly capable of handling advanced threats, but just in that one BMD capability. What we don't want to do is mix the peacetime presence requirement of those—I won't call them lesser capable, but baseline capability ballistic missile ships with the advanced ones. I need to beat a high-end competitor at sea in the middle of a fight in the middle of the ocean.³⁰

BMD-Capable Destroyers *Fitzgerald* and *John S McCain* Seriously Damaged

As noted earlier, two Japan-homeported Navy BMD-capable Aegis destroyers—*Fitzgerald* (DDG-62) and *John S McCain* (DDG-56)—were seriously damaged in collisions with merchant ships in waters off the coasts of Japan and Singapore in June 2017 and August 2017, respectively. Reportedly, *Fitzgerald* will remain nonoperational for more than a year, and *John S McCain* for at least several months, while repairs on the two ships are completed.³¹ The temporary loss of these two BMD-capable ships reinforced, at the margin, concerns among some observers about

²⁸ Statement of Rear Admiral Victorino Mercado, Deputy Chief of Naval Operations, Director, Assessment Division, and Rear Admiral Peter Fanta, Deputy Chief of Naval Operations, Director, Surface Warfare Division, Before the Subcommittee on Seapower and Projection Forces of the House Armed Services Committee on Capacity of the U.S. Navy to Project Power With large Surface Combatants, June 17, 2015, pp. 2, 3.

²⁹ Spoken testimony of Rear Admiral Fanta, as reflected in transcript of hearing. See also Lara Seligman, "Surface Warfare Chief: Navy Won't Meet BMD Ship Requirement Until 2026," *Inside the Navy*, June 22, 2015.

³⁰ Spoken testimony of Rear Admiral Fanta, as reflected in transcript of hearing. See also Lance M. Bacon, "Missile Defense Ships Face Arms Race, High Op Tempo," *Navy Times*, January 31, 2015; Megan Eckstein, "Stackley: Fleet Needs More BMD Ships to Meet Demand," *USNI News*, March 4, 2015; Megan Eckstein, "Navy Officials: Current BMD Strategy 'Unsustainable'; Greenert Asked Hagel for Review," *USNI News*, March 19, 2015; Lance M. Bacon, "BMD Mission Demands Outstrip Fleet's Capabilities," *Defense News*, April 13, 2015; Lara Seligman, "Navy Tells Congress It's Struggling To Meet Soaring Need For BMD Ships," *Inside the Navy*, April 17, 2015; Sydney J. Freedberg, Jr., "Aegis Ambivalence: Navy, Hill Grapple Over Missile Defense Mission," *Breaking Defense*, June 30, 2015; Sydney J. Freedberg, "Aegis Ashore: Navy Needs Relief From Land," *Breaking Defense*, July 2, 2015.

³¹ Sam LaGrone, "USS *Fitzgerald* Repair Will Take More Than a Year; USS *John S. McCain* Fix Could Be Shorter," *USNI News*, September 2017.

required numbers of BMD-capable Aegis ships versus available numbers of BMD-capable Aegis ships, particularly for performing BMD operations in the Western Pacific.³²

An October 12, 2017, press report states the following:

The Navy is surging a guided-missile destroyer and altering the deployment of a guided-missile destroyer to cover gaps left by two ballistic missile defense-capable destroyers that were damaged in collisions with merchant ships, USNI News has learned.

The Norfolk-based cruiser USS Monterey (CG-61) and Pearl Harbor-based destroyer USS O’Kane (DDG-77) will be deployed to assist in BMD missions, two Navy officials confirmed to USNI News....

O’Kane was scheduled for an independent patrol to an unspecified location before it was tasked to U.S. 7th Fleet for BMD operations in the Western Pacific, a Navy official confirmed to USNI News.

Monterey will conduct an independent BMD deployment in the U.S. 6th and 5th Fleet areas of operation in Europe and the Middle East to ease to overall BMD burden for the service, a Navy official told USNI News.

Both deployments will last about six months.

Monterey’s surge deployment follows a seven-month Middle East deployment as part of the Eisenhower Carrier Strike Group, which ended in late December.

Both ships will share the U.S. BMD burden left after collisions with merchant ships sidelined guided-missile destroyers USS Fitzgerald (DDG-62) and USS John S. McCain (DDG-56).³³

Proposed Reduction in Planned SM-3 Block IB and IIA Procurement Quantities

Another potential issue for Congress concerns a proposed reduction in planned procurement quantities of SM-3 Block IB and IIA missiles under the FY2018 budget submission, compared to planned quantities under the FY2017 budget submission (see **Table 3**). MDA states that cumulative totals of 361 Block IB missiles and 47 Block IIA missiles would be procured through FY2022 under the FY2018 submission, compared to cumulative totals of 394 Block IB missiles and 71 Block IIA missiles through FY2021 under the FY2017 budget submission. MDA states that the savings from the proposed reductions in SM-3 missile procurement quantities under the FY2018 budget submission are to help fund certain MDA research and development initiatives.

Potential Aegis Ashore Site in Hawaii

Another potential issue for Congress is whether the Aegis test facility in Hawaii should be converted into an operational Aegis Ashore site to provide additional BMD capability for

³² See, for example, Chandan Prasad, “USS John McCain: Destroyer Collision Opens Gap In Missile Defense Against North Korea,” *International Business Times*, August 21, 2017; Kristen Doerer, “Do U.S. Navy Collisions Weaken Our Defense Against A North Korean Missile Attack?” *PBS NewsHour*, August 22, 2017; Aaron Barruga, “The USS McCain Tragedy Has A Dire Impact On US Missile Defenses,” *Task and Purpose*, August 24, 2017; Saadia M. Pekkanen, “To Contend With North Korea, Can Japan Rely On The U.S.?” *Forbes*, August 29, 2017; Mike Fabey “North Korean Missiles Are Testing A Stressed U.S. Defense Net,” *Space News*, August 31, 2017.

³³ Sam LaGrone, “Navy to Surge USS Monterey, Deploy USS O’Kane for BMD Operations to Cover Ships Sidelined in Collisions,” *USNI News*, October 12, 2017. See also Mark D. Faram, “Navy to Send Destroyer to Far East to Boost Ballistic Missile Defense,” *Navy Times*, October 12, 2017.

defending Hawaii and the U.S. West Coast. Some DOD officials, including Admiral Harry Harris, commander of Pacific Command (PACOM), have expressed interest in this option.³⁴

Table 3. SM-3 Block IB and IIA Missile Procurement Quantities

Annual quantities under FY2017 and FY2018 budget submissions

| | FY17 | FY18 | FY19 | FY20 | FY21 | FY22 |
|-----------------------|------|------|------|------|------|------|
| SM-3 Block IB | | | | | | |
| FY17 budget | 35 | 39 | 33 | 35 | 52 | n/a |
| FY18 budget | 35 | 34 | 37 | 26 | 26 | 6 |
| Difference | 0 | -5 | +4 | -9 | -26 | n/a |
| SM-3 Block IIA | | | | | | |
| FY17 budget | 0 | 7 | 18 | 23 | 23 | n/a |
| FY18 budget | 0 | 0 | 6 | 9 | 12 | 20 |
| Difference | 0 | -7 | -12 | -14 | -11 | n/a |

Source: FY2018 MDA budget submission.

Burden Sharing: U.S. vs. European Naval Contributions to European BMD

Another potential oversight issue for Congress concerns burden sharing—how European naval contributions to European BMD capabilities and operations compare to U.S. naval contributions to European BMD capabilities and operations, particularly in light of constraints on U.S. defense spending, worldwide operational demands for U.S. Navy Aegis ships, and calls by some U.S. and European observers for increased defense efforts by NATO countries in Europe. Potential oversight issues for Congress include the following:

- How does the total value of European naval contributions to European BMD capabilities and operations compare to the total value of the U.S. naval contributions (including the Aegis Ashore sites) to European BMD capabilities and operations?
- Given constraints on U.S. defense spending, worldwide operational demands for U.S. Navy Aegis ships,³⁵ and calls by some U.S. and European observers for increased defense efforts by NATO countries in Europe—as well as the potential for European countries to purchase or build BMD-capable Aegis ships, upgrade existing ships with BMD capabilities, or purchase Aegis ashore systems—should the United States seek increased investment by European countries in their regional BMD capabilities so as to reduce the need for assigning BMD-capable U.S. Navy Aegis ships to the EPAA? Why should European countries not pay a

³⁴ See, for example, Andrea Shalal, “Exclusive: U.S. Weighs Making Hawaii Missile Test Site Operational—Sources,” Reuters, January 22, 2016; Wyatt Olson, “PACOM Commander Harris Supports Study of Aegis Missile Defense for Hawaii,” *Stars and Stripes*, January 28, 2016; Michael Fabey, “Pacom Chief Eyes More Missile Defense In Asia-Pacific,” *Aerospace Daily & Defense Report*, January 28, 2016, p. 3. See also Ariel Cohen, “How to Protect Hawaii from a North Korean Missile Attack,” *Huffington Post*, March 10, 2017.

³⁵ See, for example, Lance M. Bacon, “Missile Defense Ships Face Arms Race, High Op Tempo,” *Navy Times*, January 31, 2015.

greater share of the cost of the EPAA, since the primary purpose of the EPAA is to defend Europe against theater-range missiles?

Potential Future BMD Contribution from Lasers, Railguns, and Hypervelocity Projectiles

Another potential issue for Congress concerns the potential for ship-based lasers, electromagnetic railguns (EMRGs), and hypervelocity projectiles (HVPs) to contribute in coming years to Navy terminal-phase BMD operations and the impact this might eventually have on required numbers of ship-based BMD interceptor missiles. Another CRS report discusses the potential value of ship-lasers, EMRGs, and HVPs for performing various missions, including, potentially, terminal-phase BMD operations.³⁶

Technical Risk and Test and Evaluation Issues

Another potential oversight issue for Congress is technical risk and test and evaluation issues in the Aegis BMD program.

December 2016 DOT&E Report

A December 2016 report from DOD's Director, Operational Test and Evaluation (DOT&E)—DOT&E's annual report for FY2016—stated the following in its section on the Aegis BMD program:

Assessment

- The Aegis BMD 4.0 system, which is the latest, widely deployed version of Aegis BMD and the primary sea-based firing asset for EPAA Phase 2, participated in HWIL [hardware in the loop] and distributed ground test events in FY16 primarily to demonstrate LRS&T [long-range search and track] improvements in support of Ground-based Midcourse Defense (GMD) with the Aegis BMD 4.0.3 update.
- Prior IOT&E [initial operational test and evaluation] flight testing and supporting M&S [modeling and simulation] demonstrated that Aegis BMD 4.0 has the capability to engage and intercept non-separating, simple-separating, and complex-separating ballistic missiles in the midcourse phase with SM-3 Block IB guided missiles. However, flight testing and M&S are not yet sufficient to assess the full range of expected threat types, ground ranges, and raid sizes. Details on Aegis BMD 4.0 performance can be found in the classified December 2014 Aegis BMD 4.0 IOT&E Report.
- In FY16, Aegis Baseline 9.B1 and Baseline 9.C1 underwent operational flight testing of those systems' remote engagement capabilities with SM-3 Block IB TU [threat update] guided missiles using data from an AN/TPY-2 (FBM) radar (during FTO-02 Events 2a and 1a). The successful intercept in FTO-02 Event 1a by the Aegis Ashore Missile Defense Test Complex at PMRF demonstrated an MRBM defense capability relevant to EPAA Phase 2. During FTO-02 Event 2a, the SM-3 failed in flight; however, this event contributed tracking and engagement processing data relevant to an assessment of Aegis BMD's remote engagement capabilities. Similar to previous tests with remote engagements (FTM-15 in FY11 and FTM-20 in FY13), the system did not use remote AN/TPY-2 (FBM) radar data throughout the engagement. Instead, the firing assets

³⁶ See CRS Report R44175, *Navy Lasers, Railgun, and Hypervelocity Projectile: Background and Issues for Congress*, by (name redacted) .

consummated the engagement using local AN/SPY-1 radar data. Although Aegis BMD HWIL, distributed ground testing, and unaccredited high-fidelity M&S have demonstrated all remote engagement modes, the lack of a flight test demonstration of a fully remote engagement reduces certainty in that capability. High-fidelity digital M&S run results using accredited models in support of Aegis Baseline 9.B1 will be available 1QFY17 to support future assessments.

- In FTO-02 Event 2a, the SM-3 Block IB TU guided missile failed early in flight due to a faulty G-switch in the guidance section of the missile. The malfunctioning G-switch precluded the separation of the missile's second stage from the first stage. A failure review board (FRB) determined that the G-switch malfunctioned due to mechanical failure caused by abnormally high sticking in the component's lubricant. The program implemented improved testing and screening of the G-switch before acceptance for installation to address the problem. The MDA implemented the new process changes prior to the successful SM CTV-01a and -02 flight tests.

- The MDA demonstrated the efficacy of the SM-3 Block IB TU re-designed TSRM [third stage rocket motor] aft nozzle area, to improve missile reliability following the FTM-16 Event 2 (FY11) and FTM-21 (FY13) failures during two flight tests (SM CTV-01a and -02) and six design verification and qualification ground test firings.

- Additional SM-3 Block IB component anomalies have occurred in recent flight and lot acceptance testing, one resulting in a failed SM-3 launch.

- Low TSRM Attitude Control System cold gas regulator (CGR) pressures were observed in FTM-25 (FY15) and during lot acceptance testing. The CGR anomaly in FTM-25 did not preclude the target from being intercepted; however, the cold gas pressure observed was much lower than that commanded. If the regulated pressure from the CGR is too low, the Attitude Control System may not function properly. The Prime Contractor (Raytheon Missile Systems) established an FRB, which determined that now-defunct tooling procedures caused the FTM-25 CGR anomaly. The FRB determined that changes to the CGR C-seal's spring dimensions, additional inspections, and an enhanced acceptance test process addressed the low pressure anomalies from the lot acceptance tests.

- A second anomaly was observed during SM CTV-01 when an SM-3 Block IB TU failed to launch due to the missile failing a pre-launch booster nozzle response built-in test designed to ensure safe missile egress from the firing ship. An FRB determined that random minor voltage glitches in guidance section components caused short-duration (tens of milliseconds) corrupted commands to be sent to the booster nozzle, which resulted in a failure of the built-in test. To address the problem, the program developed software that mitigates the possibility of failure by introducing logic to re-send commands up to two additional times. The new software was successfully flown in SM CTV-01a and -02, and will be installed on new production rounds.

- Third, lot acceptance testing revealed a number of SM-3 Block IB TU kinetic warhead guidance units that were unresponsive at power up. An FRB established the root cause to be related to memory management during boot up. The MDA has implemented a minor change to the kinetic warhead's guidance unit software to correct the anomaly. These two software changes will be loaded on all Block IB TU missiles at their 4-year recertification periods.

- The successful simulated engagement in the Pacific Dragon Fleet exercise demonstrated the organic engagement capabilities of the Baseline 9.C2 system.

- The FTX-21 flight mission demonstrated the endo-atmospheric tracking capabilities of the Aegis Baseline 9.C1 system, which are relevant for the SBT engagement mission; however, no SBT engagements were attempted in FY16. To date, intercept testing of the Baseline 9.C1's SBT capabilities consists of the first two multi-mission warfare events in

FY15. These events demonstrated that SM-6 Dual I and SM-2 Block IV missiles can be used to conduct SBT engagements against non-separating SRBMs, but high-fidelity M&S analyses conducted using models accredited by the BMDS OTA [operational test agency] have not yet occurred, so SBT [sea-based terminal] engagement performance cannot be quantitatively evaluated. Completion of a subset of the SBT M&S analyses is expected in 1QFY17.

- The MDA demonstrated Aegis Baseline 9.C1 system's IAMD capabilities to a limited degree in FTO-02 Event 2a, when the firing ship performed a remote ballistic missile engagement with the system operating in IAMD [integrated air and missile defense] radar priority mode while conducting an anti-air warfare engagement against a single cruise missile surrogate. The demonstration of IAMD capabilities in FTO-02 Event 2a was not stressing, even less so than during FTM-25 (FY15), where a raid of two cruise missiles and a single ballistic missile target were simultaneously engaged in an organic engagement.

- Reliability, maintainability, availability, and supportability (RMA&S) data collected during Aegis Baseline 9.1 BMD-related testing through FY15 show that the system has lower than desired software stability. Also, the data show that the system does not currently meet its requirements for availability and mean time to repair hardware, mostly due to a series of early Aegis Display System failures and an AN/SPY-1 radar coolant leak that downed the system for an extended period of time. The majority of the Aegis Display System problems have since been addressed with the installation of new console graphics cards. DOT&E will reassess RMA&S once the MDA completes FTM-27 planned for December 2016.

- ASD-15 demonstrated Aegis BMD 3.6.3 retention of Aegis BMD 3.6.1 midcourse engagement capabilities against non-separating SRBMs, when an Aegis BMD 3.6.3 ship detected, tracked, and intercepted an SRBM using an SM-3 Block IA guided missile. ASD-15 also demonstrated that Aegis BMD can interoperate with NATO defenses and exchange air and ballistic missile message information across operational communication architectures during cruise missile and ballistic missile engagements. The MDA further demonstrated Aegis BMD 3.6.3 capabilities in FY16 during SM CTV-01a and -02, when an Aegis BMD 3.6.3 destroyer fired SM-3 Block IB TU missiles for the first time. Aegis BMD 3.6.3 is the only variant of the Aegis BMD 3.6 system that can fire SM-3 Block IB missiles.

- The MDA continues to utilize Aegis BMD assets and HWIL representations in ground test events and warfighter simulation exercises during operational flight test campaigns (e.g. FTO-02), which has helped to refine tactics, techniques, and procedures (TTPs) and overall interoperability of the system with the BMDS. However, the test events routinely demonstrated that inter-element coordination and interoperability need improvement. The tests highlighted multiple classified suitability and effectiveness shortfalls.

- The MDA continues to participate in tests of opportunity like the Pacific Dragon exercise, which provide a venue to explore interoperability between Aegis BMD assets and foreign ballistic missile defense assets. In Pacific Dragon, Aegis BMD successfully exchanged data with Allied units from Japan and the Republic of Korea.

- Following the integration testing failure of an SM-3 Block IIA flight test round, the MDA initiated a Failure Investigation Team process and developed a fault tree. The flight test round will be disassembled and will undergo further analysis to determine the root cause of the failure.

- Cybersecurity testing results from the Adversarial Assessment of the Aegis Ashore Missile Defense Facility in Romania will be included in DOT&E's classified 2016 BMDS Annual Report to Congress.

- Testing has uncovered a number of classified survivability problems, which will be discussed in DOT&E's classified 2016 BMDS Annual Report to Congress.

Recommendations

- Status of Previous Recommendations. The program:

1. Addressed the first recommendation from FY13 to conduct flight testing of the Aegis BMD 4.0 remote engagement authorized capability against an MRBM or IRBM target using SM-3 Block IB guided missiles, when it conducted FTO-02 Events 1a and 2a using Aegis Baseline 9.1 (BMD 5.0 Capability Upgrade) firing assets.
2. Partially addressed the second recommendation from FY13, to conduct operationally realistic testing that exercises Aegis BMD 4.0's improved engagement coordination with THAAD and Patriot, when it conducted FTO-02 Event 2a using an Aegis Baseline 9.C1 destroyer and THAAD firing assets. This flight test did not include Patriot.
3. Addressed the second recommendation from FY14, to determine the appropriate LRS&T TTPs for the transmission and receipt of Aegis BMD 4.0 track data for GMD use. GTI-06 Part 3 (FY15), GTI-06 Part 2, and GTD-06 Part 2 demonstrated that GMD can use data provided by Aegis BMD 4.0.3.
4. Partially addressed the third recommendation from FY14, to ensure that sufficient flight testing of the Aegis Baseline 9.C1 system is conducted to allow for verification, validation, and accreditation (VV&A) of the M&S suite to cover the full design to Aegis BMD battlespace. Flight testing conducted in FY15 and early FY16 provided additional VV&A data, but the BMDS OTA has not yet accredited the high fidelity M&S suite.
5. Addressed the fourth recommendation from FY14, to conduct sufficient ground and flight testing of the redesigned insulation components in the SM-3 Block IB TSRM nozzle to prove the new design works under the most stressing operational flight conditions. This occurred when the program completed a series of six design verification and qualification ground test firings and the SM CTV-01a and CTV-02 flight tests.
6. Addressed the first recommendation from FY15, to use an industry-led FRB process to identify the root cause of low cold gas pressure anomalies observed in lot acceptance testing of the SM-3 Block IB CGR, and determine the appropriate corrective actions needed to ensure proper functioning. The FRB process determined that changes to the CGR C-seal's spring dimensions, additional inspections, and an enhanced acceptance test process were required and a follow-on study is underway to investigate the possibility of re-designing the CGR seal.
7. Has not addressed the second recommendation from FY15, to conduct stressing simultaneous air and ballistic missile defense engagements with the Aegis Baseline 9.C1 system operating in IAMD radar priority mode, with multiple ballistic missiles and anti-ship cruise missile threats being simultaneously engaged.
8. Has not addressed the third recommendation from FY15, to perform high-fidelity M&S analysis over the expected Aegis Ashore engagement battlespace for EPAA Phase 2 to allow for a broad quantitative evaluation of engagement capability. The MDA plans to complete the high-fidelity M&S analysis in FY18.

- FY16 Recommendations. The MDA should:

1. Conduct high-fidelity M&S runs-for-the-record for the Aegis Baseline 9.2 system (Aegis BMD 5.1) to assess performance across the expected engagement battlespace in all Combatant Commands' Areas of Responsibility and develop an appropriate M&S VV&A plan to support that effort.
2. Conduct a live-flight test demonstration of a fully remote engagement.

3. Include BMDS OTA RMA&S data collectors in all flight test missions to improve the accuracy and statistical confidence of future suitability assessments.³⁷

Regarding the SM-6 missile, the December 2016 DOT&E report also stated the following:

Assessment

- In FY16, the Navy completed FOT&E [follow-on test and evaluation] live fire testing. These tests provided validation data for the modeling and simulation runs for the record phase of the FOT&E. The Navy will conduct this phase of test during FY17, which will complete the SM-6 BLK I FOT&E.
- During FY16 flight tests, there were no occurrences of the uplink/downlink antenna shroud reliability deficiency. DOT&E considers the uplink/downlink antenna shroud reliability deficiency to be resolved. To date, the Navy has fired 34 SM-6s with full production antennas with no observations of anomalies. At the 80 percent confidence level, the reliability of the antennas is at least 95.4 percent.
- The March 2015 SM-6 BLK I mission D1G misfire remains under investigation by the Navy with no root cause determination to date.
- In the May 2013 SM-6 IOT&E report, DOT&E assessed SM-6 BLK I as suitable. This assessment considered combined data from the IOT&E and developmental/operational flight tests. During FY16 testing, DOT&E collected additional reliability data and assessed that the SM-6 BLK I continues to remain suitable. DOT&E will continue to collect suitability and effectiveness data throughout SM-6 BLK IA FOT&E testing in FY17, as well as during all SM-6 flight testing in support of NIFC-CA [Naval Integrated Fire Control—Counter Air] FTS [from the sea], Missile Defense Agency, and Aegis software baseline development.
- The performance deficiency discovered during IOT&E and outlined in the classified IOT&E report remains unresolved and continues to affect DOT&E's final assessment of effectiveness. The Navy is assessing several options for a solution, each with varying degrees of complexity. A primary concern is to ensure the solution causes no degradation to the existing SM-6 performance envelope. The corrective actions will be incorporated into production of the SM-6 BLK I and BLK IA configurations and tested during FOT&E in FY17.
- In FY16, the Navy successfully demonstrated the maximum range KPP during SM-6 FOT&E and the maximum cross-range Key System Attribute.
- DOT&E assesses the launch availability KPP to be resolved. The Navy stored seven missiles aboard an operational ship for at least 8 months prior to firing during FOT&E with no launch availability problems noted. This yields a launch availability of 1.0 with an 80 percent confidence lower bound of 0.81, against a requirement of 0.98.
- Upon completion of the SM-6 FOT&E in FY17, the Navy will have conducted sufficient testing to allow an assessment of the SM-6 Capability Production Document performance requirement for interoperability.
- The failure during the Aegis Agile Prism test remains under investigation by the Navy.
- The Navy's NIFC-CA FTS Increment I test events conducted to date were sufficient to demonstrate basic capability; however, these demonstrations were not conducted under operationally realistic conditions or against aerial targets representative of modern threats. Additionally, the scenarios conducted were not sufficiently challenging to

³⁷ Department of Defense, Director, Operational Test & Evaluation, *FY2016 Annual Report*, December 2016, pp. 417-419.

demonstrate the NIFC-CA FTS requirements defined in the Navy's September 2012 NIFC-CA FTS Testing Capability Definition Letter. Nevertheless, since NIFC-CA FTS Increment I has been fully integrated as a tactical option in fleet air defense, DOT&E removed the NIFC-CA FTS, as a distinct program, from test and evaluation oversight. DOT&E will assess and report NIFC-CA FTS (Increment II) performance as part of the FY18-23 ACB 16 and ACB 20 Aegis Modernization operational testing and SM-6 FOT&E.

- In September 2016, at White Sands Missile Range, the Navy and Marine Corps successfully conducted a NIFC-CA FTS Increment I demonstration event using an F-35 Lightning II as a targeting source to allow the ACS (partial) installed at the Desert Ship test facility to engage an aerial target with the SM-6. The configuration of the F-35 and the Desert Ship was not operationally representative and not all the required communications links were present. This demonstration was part of developmental testing and did not represent a fleet operational configuration of the ACS. The demonstration used a non-tactical engineering computer software build in the Aegis Desert Ship test site – itself not fully representative of the ACS – interfaced to a datalink gateway that could receive the F-35 MADL and port track data from the aircraft sensor to the AWS. Using these track data, an SM-6 successfully engaged an MQM-107 unmanned target drone. This demonstration was conducted as a proof of concept to show that the NIFC-CA FTS Increment I capability could utilize additional airborne sensors to provide fire control quality data to the AWS. In the context of the event, this objective was met; however, this demonstration should not be construed as an operational capability.

- In September 2016, at the Pacific Missile Test Center, the Navy successfully conducted an at-sea flight demonstration of the NIFC-CA FTS Increment I. This test resulted in the longest-range SM-6 interception to-date.

Recommendations

- Status of Previous Recommendations. The Navy is addressing the previous recommendations from FY14 to complete corrective actions of the classified performance deficiency discovered during IOT&E and develop a flight test program to test those corrective actions. The Navy plans to conduct verification flight tests in FY17. The Navy has not addressed the FY15 recommendation; however, this recommendation is rescinded as NIFC-CA FTS Increment I has been fully integrated as a tactical option in fleet air defense, DOT&E removed the NIFC-CA FTS, as a distinct program, from test and evaluation oversight and will be tested as a normal tactic in future Aegis/SM-6 testing.

- FY16 Recommendations. None.³⁸

April 2016 GAO Report

An April 28, 2016, Government Accountability Office (GAO) report on BMD testing stated the following:

MDA continued to make progress towards achieving its individual elements' asset delivery goals in fiscal year 2015. For instance, Aegis BMD delivered Aegis Ashore in Romania and most planned SM-3 Block IB interceptors. GMD delivered all planned CE-II interceptors. THAAD, however, experienced setbacks in delivering interceptors, only delivering 3 out of 44, due to delays to address memory and shelf-life issues. Once corrections were made and testing was completed, deliveries resumed.

³⁸ Department of Defense, Director, Operational Test & Evaluation, FY2016 Annual Report, December 2016, pp. 326-327.

MDA took actions to mitigate some acquisition risks in fiscal year 2015. Specifically, MDA delayed the production decision for the Aegis BMD SM-3 Block IB interceptor in order to conduct testing for a redesigned component. Further, it delayed the full-rate production decision until after these tests. MDA took these actions in response to our recommendation, which we made to strengthen and improve its Aegis BMD SM-3 acquisitions and outcomes. In addition, MDA successfully conducted an intercept flight test prior to restarting production of the GMD CE-II interceptors. Delaying production of the interceptors until after a successful test was a positive step, because it minimized the risk of having to recall interceptors to fix any issues identified during testing.

However, MDA continues to use acquisition practices that put BMDS elements at risk for cost growth and performance shortfalls. In the past we have found that MDA has used some high risk acquisition approaches that do not build knowledge before program commitments and test before production is initiated. As an example, MDA awarded a production contract for the Aegis BMD SM-3 Block IB interceptors prior to finalizing the costs for a redesigned component and testing software and hardware upgrades. Consequently, costs could increase if additional design changes are needed after flight testing this component in fiscal year 2016.³⁹

Target for Simulating Endo-Atmospheric Flight of DF-21 ASBM

Another potential oversight issue for Congress concerns the lack of a target for simulating the endo-atmospheric (i.e., final) phase of flight of China's DF-21 anti-ship ballistic missile. DOD's Director, Operational Test and Evaluation (DOT&E), in a December 2011 report (DOT&E's annual report for FY2011), stated the following:

Anti-Ship Ballistic Missile Target

A threat representative Anti-Ship Ballistic Missile (ASBM) target for operational open-air testing has become an immediate test resource need. China is fielding the DF-21D ASBM, which threatens U.S. and allied surface warships in the Western Pacific. While the Missile Defense Agency has exo-atmospheric targets in development, no program currently exists for an endo-atmospheric target. The endo-atmospheric ASBM target is the Navy's responsibility, but it is not currently budgeted. The Missile Defense Agency estimates the non-recurring expense to develop the exo-atmospheric target was \$30 million with each target costing an additional \$30 million; the endo-atmospheric target will be more expensive to produce according to missile defense analysts. Numerous Navy acquisition programs will require an ASBM surrogate in the coming years, although a limited number of targets (3-5) may be sufficient to validate analytical models.⁴⁰

A February 28, 2012, press report stated the following:

"Numerous programs will require" a test missile to stand in for the Chinese DF-21D, "including self-defense systems used on our carriers and larger amphibious ships to counter anti-ship ballistic missiles," [Michael Gilmore, the Pentagon's director of operational test and evaluation] said in an e-mailed statement....

"No Navy target program exists that adequately represents an anti-ship ballistic missile's trajectory," Gilmore said in the e-mail. The Navy "has not budgeted for any study, development, acquisition or production" of a DF-21D target, he said.

³⁹ Government Accountability Office, *Missile Defense: Ballistic Missile Defense System Testing Delays Affect Delivery of Capabilities*, GAO-16-339R, April 28, 2016, pp. 5-6.

⁴⁰ Department of Defense, Director, Operational Test and Evaluation, *FY 2011 Annual Report*, December 2011, p. 294.

Lieutenant Alana Garas, a Navy spokeswoman, said in an e-mail that the service “acknowledges this is a valid concern and is assessing options to address it. We are unable to provide additional details.”...

Gilmore, the testing chief, said his office first warned the Navy and Pentagon officials in 2008 about the lack of an adequate target. The warnings continued through this year, when the testing office for the first time singled out the DF-21D in its annual public report....

The Navy “can test some, but not necessarily all, potential means of negating anti-ship ballistic missiles,” without a test target, Gilmore said.⁴¹

The December 2012 report from DOT&E (i.e., DOT&E’s annual report for FY2012) did not further discuss this issue; a January 21, 2013, press report stated that this is because the details of the issue are classified.⁴²

A December 16, 2016, press report states (emphasis added):

The Missile Defense Agency (MDA) said its new Sea Based Terminal (SBT) system achieved its second ballistic missile intercept during a Dec. 14 test over the Pacific Ocean.

During the test, the USS John Paul Jones (DDG-53)... fired a salvo of two Raytheon [RTN] Standard Missile-6 (SM-6) interceptors in immediate succession against a medium-range ballistic missile target launched from the Pacific Missile Range Facility on Kauai, Hawaii. The first interceptor was not armed and was designed to collect test data, MDA said. The second interceptor, which carried an explosive warhead, intercepted the Lockheed Martin-built target....

MDA called the target “complex” but declined to elaborate. However, according to the Missile Defense Advocacy Alliance, the target emulated China’s Dong-Feng 21 (DF-21), a ballistic missile equipped with a maneuverable re-entry vehicle and designed to destroy U.S., aircraft carriers.

The event, designated Flight Test Standard Missile-27 (FTM-27), was SBT’s first salvo test and its second intercept in as many tries.⁴³

Legislative Activity for FY2018

Summary of Action on FY2018 MDA Funding Request

Table 4 summarizes congressional action on the FY2018 request for MDA procurement and research and development funding for the Aegis BMD program.

⁴¹ Tony Capaccio, “Navy Lacks Targets To Test U.S. Defenses Against China Missile,” *Bloomberg Government* (*bgov.com*), February 28, 2012.

⁴² Christopher J. Castelli, “DOD Testing Chief Drops Public Discussion Of ASBM Target Shortfall,” *Inside the Navy*, January 21, 2013.

⁴³ Marc Selinger, “Missile Defense Agency Scores Second Intercept With Sea Based Terminal System,” *Defense Daily*, December 16, 2016: 3-4.

Table 4. Summary of Congressional Action on FY2018 Request for MDA Procurement and RDT&E Funding for Aegis BMD Program

(In millions of dollars, rounded to nearest tenth; totals may not add due to rounding)

| (Line numbers are for original request of May 2017/amended request of November 6, 2017) | Original request of May 2017 | Amended request of November 7, 2017 | Authorization | | | Appropriation | | |
|---|------------------------------|-------------------------------------|---------------|---------|---------|---------------|---------|-------|
| | | | HASC | SASC | Conf. | HAC | SAC | Conf. |
| Procurement | | | | | | | | |
| Aegis BMD (line 28/31) | 425.0 | 876.0 | 583.0 | 425.0 | 876.0 | 512.6 | 987.3 | |
| Aegis BMD Advance Procurement (line 29/32) | 38.7 | 38.7 | 38.7 | 38.7 | 38.7 | 38.7 | 38.7 | |
| Aegis Ashore Phase III (line 33/37) | 59.7 | 59.7 | 59.7 | 59.7 | 59.7 | 59.7 | 59.7 | |
| Aegis BMD hardware and software (line 35/39) | 160.3 | 160.3 | 160.3 | 160.3 | 160.3 | 157.1 | 160.3 | |
| Subtotal Procurement | 683.7 | 1,134.7 | 841.7 | 683.7 | 1,134.7 | 768.1 | 1,246.0 | |
| Research, development, test, and evaluation (RDT&E) | | | | | | | | |
| Aegis BMD (PE 0603892C) (line 80/80) | 852.1 | 860.8 | 852.1 | 852.1 | 860.8 | 779.3 | 757.7 | |
| Funding for SM-3 Block IIA test within BMD Test (PE 0603914C) (line 89/89) | | | | | | | 0.9 | |
| Funding for SM-3 Block IIA test within BMD targets (PE 0603915C) (line 90/90) | | | | | | | 33.7 | |
| Aegis BMD Test (PE 0604878C) (line 108/108) | 134.5 | 137.7 | 160.8 | 160.8 | 160.8 | 129.5 | 137.8 | |
| Funding for SM-3 Block IIA test within BMD sensor test (PE 0604879C) (line 109) | | | | | | | 17.6 | |
| Land-based SM-3 (PE 0604880C) (line 110/110) | 30.5 | 30.5 | 97.8 | 97.8 | 97.8 | 30.5 | 30.5 | |
| Aegis SM-3 IIA (PE 0604881C) (line 111/111) | 9.7 | 9.7 | 9.7 | 9.7 | 9.7 | 9.7 | 9.7 | |
| Subtotal RDT&E | 1,026.8 | 1,038.8 | 1,120.4 | 1,120.4 | 1,129.1 | 949.0 | 987.9 | |
| TOTAL | 1,710.5 | 2,173.5 | 1,962.1 | 1,804.1 | 2,263.8 | 1,717.1 | 2,233.9 | |

Source: Table prepared by CRS based on DOD's original FY2018 budget submission, DOD's amended FY2018 budget submission of November 6, 2017, committee and conference reports, and explanatory statements on FY2018 National Defense Authorization Act and FY2018 DOD Appropriations Act.

Notes: **HASC** is House Armed Services Committee; **SASC** is Senate Armed Services Committee; **HAC** is House Appropriations Committee; **SAC** is Senate Appropriations Committee; **Conf.** is conference agreement.

FY2018 National Defense Authorization Act (H.R. 2810/S. 1519)

House Committee Report

[NOTE: The discussion in this section uses the line numbers and requested funding levels from DOD's original FY2018 budget submission of May 2017.]

The House Armed Services Committee, in its report (H.Rept. 115-200 of July 6, 2017) on H.R. 2810, recommended the funding levels for the Aegis BMD program shown in the HASC column of **Table 4**. The recommended increase of \$158 million for Aegis BMD (line 28 in the Procurement, Defense Wide account) is for procuring 11 additional SM-3 Block IB interceptors (page 398). The recommended increase of \$26.351 million (relative to the amount originally requested in May 2017) for Aegis BMD Test (line 108 in the defense-wide research and development account) and the recommended increase of \$67.275 million for the land-based SM-3

(line 110 in the defense-wide research and development account) are to “provide AAW [anti-air warfare—that is, air-defense—capability] at Aegis Ashore sites, consistent w/ [with the] FY[20]16 and FY[20]17 NDAA [National Defense Authorization Acts].” (Page 453)

Section 1685 of H.R. 2810 as reported states the following:

SEC. 1685. Defense of Hawaii from North Korean ballistic missile attack.

(a) Findings; sense of Congress.—

(1) FINDINGS.—Congress finds the following:

(A) The North Korean ballistic missile threat to the United States, including Hawaii, is growing rapidly.

(B) Since Kim Jong-un took power in 2012, North Korea has conducted 78 ballistic missile tests, of which 61 are considered to have been successful.

(C) The existing ballistic missile defense protection for Hawaii, including the ground-based midcourse defense system in Alaska, and the sea-based x-band radar, provide limited ballistic missile defense capabilities today.

(D) Through use of existing ballistic missile defense assets, including AN/TPY-2 radars and the Aegis Ashore Site located on the Pacific Missile Range Facility, the ballistic missile defense of Hawaii could benefit from a near-term improvement by adding a layer of defense.

(E) The proposed program of record for a medium range discriminating radar to be fully mission capable after 2023 would leave the defense of Hawaii dependent only on the ground-based midcourse defense system in Alaska, and the sea-based x-band radar until that time, while the threat to the United States, including Hawaii, from North Korean ballistic missiles continues to grow.

(F) The National Defense Authorization Act for Fiscal Year 2017 (Public Law 114–328) required that the Missile Defense Agency plan to provide additional ballistic missile defense sensor coverage for the defense of Hawaii and “field such radar or equivalent sensor by not later than December 31, 2021”.

(G) When asked at a hearing of the Committee on Armed Services of the House of Representatives on April 26, 2017, about the threat to Hawaii from North Korean ballistic missiles, the Commander of the United States Pacific Command, Admiral Harry Harris, testified that “Kim Jong-un is clearly in a position to threaten Hawaii today...I believe that our ballistic missile (defense) architecture is sufficient to protect Hawaii today. But it can be overwhelmed” and “I think that we would be better served, my personal opinion, is that we would be better served with a defensive Hawaii radar and interceptors in Hawaii. I know that is being discussed”.

(2) SENSE OF CONGRESS.—It is the sense of Congress that Congress supports assessing the feasibility of improving the missile defense of Hawaii from the evolving ballistic missile threat, including from North Korea, through a permanent missile defense sensor capability and the possible introduction of interim missile defense coverage.

(b) Sequenced approach.—The Secretary of Defense shall protect the test and training operations of the Pacific Missile Range Facility, and assess the siting and functionality of a discrimination radar for homeland defense throughout the Hawaiian Islands before assessing the feasibility of improving the missile defense of Hawaii by using existing missile defense assets that could materially improve the defense of Hawaii.

(c) Test.—The Director of the Missile Defense Agency shall—

(1) not later than 270 days after the date of the enactment of this Act, conduct a test to evaluate and demonstrate, if technologically feasible, the capability to defeat a simple

intercontinental ballistic missile threat using the standard missile 3 block IIA missile interceptor; and

(2) as part of the integrated master test plan for the ballistic missile defense system, develop a plan to demonstrate a capability to defeat a complex intercontinental ballistic missile threat, including a complex threat posed by the intercontinental ballistic missiles of North Korea.

(d) Report.—Not later than 120 days after the date of the enactment of this Act, the Secretary of Defense shall submit to the congressional defense committees a report—

(1) that indicates whether demonstrating an intercontinental ballistic missile defense capability against North Korean ballistic missiles by the standard missile 3 block IIA missile interceptor poses any risks to strategic stability; and

(2) if the Secretary determines under paragraph (1) that such demonstration poses such risks to strategic stability, a description of any plan developed and implemented by the Secretary to address and mitigate such risks, as determined appropriate by the Secretary.

Section 1686 of H.R. 2810 as reported states the following:

SEC. 1686. Aegis Ashore anti-air warfare capability.

(a) Authorization.—Using funds authorized to be appropriated by sections 101 and 201 of this Act or otherwise made available for fiscal year 2018 for procurement and research, development, test, and evaluation, as specified in the funding tables in division D, the Secretary of Defense shall continue the development, procurement, and deployment of anti-air warfare capabilities at each Aegis Ashore site in Romania and Poland. The Secretary shall ensure the deployment of such capabilities—

(1) at such sites in Romania by not later than one year after the date of the enactment of this Act; and

(2) at such sites in Poland by not later than one year after the declaration of operational status for such sites.

(b) Reprogramming and transfers.—Any reprogramming or transfer made to carry out subsection (a) shall be carried out in accordance with established procedures for reprogramming or transfers.

House Floor Action

On July 14, 2017, as part of its consideration of H.R. 2810, the House agreed to by voice vote H.Amdt. 195, an en bloc amendment that included, inter alia, amendment 107 as printed in H.Rept. 115-217 of July 13 (legislative day, July 12), 2017, on H.Res. 440, providing for the further consideration of H.R. 2810. Amendment 107, as summarized in H.Rept. 115-217, “Amends the bill for construction of the previously authorized AEGIS Ashore Missile Defense Complex at RedziKowo Base, Poland, the Secretary of the Navy may construct a 6,180 square meter multipurpose facility, for the purposes of providing additional berthing space on board the installation.”

Senate Committee Report

[NOTE: The discussion in this section uses the line numbers and requested funding levels from DOD’s original FY2018 budget submission of May 2017.]

The Senate Armed Services Committee, in its report (S.Rept. 115-125 of July 10, 2017) on S. 1519, recommended the funding levels for the Aegis BMD program shown in the SASC column of **Table 4**. The recommended increase of \$26.351 million for Aegis BMD Test (line 108 in the

defense-wide research and development account) and the recommended increase of \$67.275 million for the land-based SM-3 (line 110 in the defense-wide research and development account) are for an unfunded requirement for anti-air warfare (i.e., air defense). (Pages 474-475)

Senate Floor Action

On September 18, 2017, as part of its consideration of H.R. 2810, the Senate agreed by unanimous consent to S.Amdt. 1073, which struck Section 1653 of H.R. 2810, relating to ground-based BMD interceptor capability, capacity, and reliability, and inserted a new Section 1653.

Within the newly inserted Section 1653, subsection (d) requires a report on “options to increase the capability, capacity, and reliability of the ground-based midcourse defense element of the ballistic missile defense system and the infrastructure requirements for increasing the number of ground-based interceptors in currently feasible locations across the United States.” As stated in subsection (d)(2)(L), the report is to include, among other things, a discussion of “[t]he benefit of supplementing ground-based midcourse defense elements with other, more distributed, elements, including both Aegis ships and Aegis Ashore installations with Standard Missile-3 Block IIA and other interceptors in Hawaii and at other locations for homeland missile defense.”

Conference

[NOTE: The discussion in this section uses the line numbers and requested funding levels from DOD’s amended FY2018 budget submission of November 7, 2017.]

The conference report (H.Rept. 115-404 of November 9, 2017) on H.R. 2810 recommended the funding levels for the Aegis BMD program shown in the authorization conference column of **Table 4**. The recommended increase of \$23.036 million for Aegis BMD Test (line 108 in the defense-wide research and development account) is “to provide AAW [anti-air warfare—i.e., air defense] at Aegis Ashore sites, consistent w/ [with the] FY[20]16 and FY[20]17 NDAs.” (Page 1209)

Section 1682 of the conference version of H.R. 2810 states the following:

SEC. 1682. Aegis Ashore anti-air warfare capability.

(a) Authorization.—Subject to the availability of funds authorized to be appropriated by sections 101 and 201 of this Act or otherwise made available for fiscal year 2018 for procurement and research, development, test, and evaluation, as specified in the funding tables in division D, the Secretary of Defense shall continue the development, procurement, and deployment of anti-air warfare capabilities at each Aegis Ashore site in Romania and Poland. The Secretary shall ensure the deployment of such capabilities—

(1) at such sites in Romania by not later than one year after the date of the enactment of this Act; and

(2) at such sites in Poland by not later than one year after the declaration of operational status for such sites.

(b) Reprogramming and transfers.—Any reprogramming or transfer made to carry out subsection (a) shall be carried out in accordance with established procedures for reprogramming or transfers.

FY2018 DOD Appropriations Act (Division A of H.R. 3219/S. XXXX)

House

[NOTE: The discussion in this section uses the line numbers and requested funding levels from DOD's original FY2018 budget submission of May 2017.]

H.R. 3219 as reported by the House Appropriations Committee (H.Rept. 115-219 of July 13, 2017) was the FY2018 DOD Appropriations Act. H.R. 3219 as passed by the House is called the Make America Secure Appropriations Act, 2018. H.R. 3219 as passed by the House includes the FY2018 DOD Appropriations Act as Division A and four other appropriations acts as Divisions B through E. The discussion below relates to Division A.

The House Appropriations Committee, in its report (H.Rept. 115-219 of July 13, 2017) on H.R. 3219, recommended the funding levels for the Aegis BMD program shown in the HAC column of **Table 4**.

The recommended net increase of \$87.544 million for Aegis BMD (line 28 in the Procurement, Defense Wide account) includes an increase of \$107.75 million for “Program increase—ten interceptors and associated canisters,” a reduction of \$5 million for “Insufficient budget justification,” a reduction of \$3.546 million for “Tools and test equipment unjustified request,” and a reduction of \$11.66 million for “Systems engineering and integration unjustified request.” (Page 207)

The recommended reduction of \$72.725 million for Aegis BMD (line 80 in the defense-wide research and development account) includes a reduction of \$31.451 million for “Aegis ballistic missile defense 6.x development excess growth” and a reduction of \$41.274 million for “SM-3 IIA all up rounds.” (Page 270) The recommended reduction of \$5 million for Aegis BMD Test (line 108 in the defense-wide research and development account) is for “Flight test delays carryover.” (Page 270)

Senate

[NOTE: The discussion in this section uses the line numbers from DOD's original FY2018 budget submission of May 2017 and the requested funding levels from DOD's amended FY2018 budget submission of November 7, 2017.]

On November 21, 2017, the Senate Appropriations Committee released a chairman's recommendation and explanatory statement for the FY2018 DOD Appropriations Act, referred to here as S. XXXX. The explanatory statement recommended the funding levels shown in the SAC column of **Table 4**.

In the explanatory statement, procurement funding is divided between tables on pages 145 and 264, and research and development funding is divided between tables on 191 and 265-266.

The recommended increase of \$111.2 million in procurement funding for Aegis BMD (line 28) includes an increase of \$41.2 million for “Transfer: SM-3 IIA interceptors-transfer from RDDW [research and development, defense-wide account] for AUR [all-up round] full funding” and an increase of \$70 million for “Program increase: Fully fund 4 SM-3 Block IIA AUR [all-up rounds].” (Page 147)

The recommended net decrease of \$103.0 million in research and development funding for Aegis BMD (PE 0603892C) (line 80) includes an increase of \$2.7 million for “Program increase: THAAD/Patriot JEON Phase I–III,” a reduction of \$41.2 million for “SM-3 Block IIA All Up

Rounds—transfer to Procurement, Defense-wide for All Up Round interceptor procurement,” and a reduction of \$64.5 million for “Aegis ballistic missile defense 6.x development unjustified growth.” (Page 195)

The \$0.9 million in research and development funding for an SM-3 Block IIA test within BMD Test (PE 0603914C) (line 89), the \$33.7 million in research and development funding for an SM-3 Block IIA test within BMD targets (PE 0603915C) (line 90), and the \$17.6 million in research and development funding for an SM-3 Block IIA test within BMD sensor test (PE 0604879C) (line 109) are shown on page 266 of the explanatory statement.

The explanatory statement also shows a recommended reduction of \$10 million in research and development funding for “Aegis Ashore unjustified program growth” within BMD Enabling Programs (PE 0603890C) (line 78). (Page 195) Line 78 is not shown in **Table 4**.

The explanatory statement states the following:

Standard Missile Program Inventory and Acquisition Objectives.—In fiscal year 2017, in Senate Report 114–263 and in House Report 114–577, the Director, Missile Defense Agency, in coordination with the Assistant Secretary of the Navy (Research, Development and Acquisition), was directed to provide to the congressional defense committees an acquisition objective for the SM–3 Block IB and Block IIA missile programs. The Committee has reviewed the report and finds it unnecessarily vague and not helpful in determining overall program requirements and acquisition strategies, managing the industrial base or controlling costs.

The Committee understands that the Department of Defense is considering a multiyear procurement proposal for certain variants of the Standard Missile family, and believes that understanding inventory and acquisition objectives for all Standard Missile variants should be part of any such consideration. Therefore, the Committee directs the Director, Missile Defense Agency, in coordination with the Deputy Chief of Naval Operations for Warfare Systems, to provide with the fiscal year 2019 President’s budget submission an unclassified report with a classified annex detailing inventory and acquisition objectives for all elements of the Standard Missile portfolio by variant. Further, the Under Secretary of Defense (Comptroller), in coordination with the Missile Defense Agency Director for Operations and the Assistant Secretary of the Navy (Financial Management and Comptroller), is directed to certify in writing to the congressional defense committees that the fiscal year 2019 President’s budget program submission fully funds Standard Missile requirements in support of inventory and acquisition objectives identified in the aforementioned report. (Page 66)

The explanatory statement also states the following:

Surface Combatant Combat Systems Engineering.—The fiscal year 2018 President’s budget request includes \$390,238,000, an increase of \$114,474,000 over amounts enacted in fiscal year 2017, for further development and integration of modifications to the AEGIS Weapon System. The Committee notes the significant capabilities the AEGIS combat system provides to the warfighter, to include countering current and expected future air, ballistic missile, surface and sub-surface threats. However, the Committee is concerned by the repeated annual programmatic, fiscal, and schedule perturbations in the Navy’s program. Further, the Committee is concerned by the apparent disconnect between the Navy and the Missile Defense Agency regarding Aegis baselines with Integrated Air and Missile Defense Capability, to include nomenclature, schedules, as well as joint and unique funding requirements. The Committee encourages the Navy and Missile Defense Agency to improve joint program efforts regarding the Aegis Integrated Air and Missile Defense Capability. (Page 173)

Appendix A. Aegis BMD Flight Tests

This appendix presents additional background information on Aegis BMD flight tests.

Summary of Test Flights

Table A-1 presents a DOD summary of Aegis BMD flight tests since January 2002. As shown in the table, DOD states that since January 2002, the Aegis BMD system has achieved 30 successful exo-atmospheric intercepts in 38 attempts using the SM-3 missile (including 3 successful intercepts in 4 attempts by Japanese Aegis ships, and one successful intercept in one attempt using the Aegis Ashore system), and 7 successful endo-atmospheric intercepts in 7 attempts using the SM-2 Block IV and SM-6 missiles, making for a combined total of 37 successful intercepts in 45 attempts.

In addition, on February 20, 2008, a BMD-capable Aegis cruiser operating northwest of Hawaii used a modified version of the Aegis BMD system with the SM-3 missile to shoot down an inoperable U.S. surveillance satellite that was in a deteriorating orbit.⁴⁴ Including this intercept in the count increases the totals to 31 successful exo-atmospheric intercepts in 39 attempts using the SM-3 missile, and 38 successful exo- and endo-atmospheric intercepts in 46 attempts using SM-3, SM-2 Block IV, and SM-6 missiles.

⁴⁴ The modifications to the ship's Aegis BMD midcourse system reportedly involved primarily making changes to software. DOD stated that the modifications were of a temporary, one-time nature. Three SM-3 missiles reportedly were modified for the operation. The first modified SM-3 fired by the cruiser successfully intercepted the satellite at an altitude of about 133 nautical miles (some sources provide differing altitudes). The other two modified SM-3s (one carried by the cruiser, another carried by an engage-capable Aegis destroyer) were not fired, and the Navy stated it would reverse the modifications to these two missiles. (For additional information, see the MDA discussion available online at http://www.mda.mil/system/aegis_one_time_mission.html, and also Peter Spiegel, "Navy Missile Hits Falling Spy Satellite," *Los Angeles Times*, February 21, 2008; Marc Kaufman and Josh White, "Navy Missile Hits Satellite, Pentagon Says," *Washington Post*, February 21, 2008; Thom Shanker, "Missile Strikes A Spy Satellite Falling From Its Orbit," *New York Times*, February 21, 2008; Bryan Bender, "US Missile Hits Crippled Satellite," *Boston Globe*, February 21, 2008; Zachary M. Peterson, "Navy Hits Wayward Satellite On First Attempt," *NavyTimes.com*, February 21, 2008; Dan Nakaso, "Satellite Smasher Back At Pearl," *Honolulu Advertiser*, February 23, 2008; Zachary M. Peterson, "Lake Erie CO Describes Anti-Satellite Shot," *NavyTimes.com*, February 25, 2008; Anne Mulrine, "The Satellite Shootdown: Behind the Scenes," *U.S. News & World Report*, February 25, 2008; Nick Brown, "US Modified Aegis and SM-3 to Carry Out Satellite Interception Shot," *Jane's International Defence Review*, April 2008: 35.)

MDA states that the incremental cost of the shoot-down operation was \$112.4 million when all costs are included. MDA states that this cost is to be paid by MDA and the Pacific Command (PACOM), and that if MDA is directed to absorb the entire cost, "some realignment or reprogramming from other MDA [program] Elements may be necessary to lessen significant adverse impact on [the] AEGIS [BMD program's] cost and schedule." (MDA information paper dated March 7, 2008, provided to CRS on June 6, 2008. See also Jason Sherman, "Total Cost for Shoot-Down of Failed NRO Satellite Climbs Higher," *InsideDefense.com*, May 12, 2008.)

Table A-1. Aegis BMD Flight Tests From January 2002 to the Present

| Date | Country | Name of flight test of exercise | Ballistic Missile Target | Successful? | Cumulative successes | Cumulative attempts |
|---|-------------------|---------------------------------|--|------------------|----------------------|---------------------|
| Exo-atmospheric (using SM-3 missile) | | | | | | |
| 1/25/02 | US | FM-2 | Unitary short-range (TTV) | Yes | 1 | 1 |
| 6/13/02 | US | FM-3 | Unitary short-range (TTV) | Yes | 2 | 2 |
| 11/21/02 | US | FM-4 | Unitary short-range (TTV) | Yes | 3 | 3 |
| 6/18/03 | US | FM-5 | Unitary short-range (TTV) | No | 3 | 4 |
| 12/11/03 | US | FM-6 | Unitary short-range (TTV) | Yes | 4 | 5 |
| 2/24/05 | US | FTM 04-1 (FM-7) | Unitary short-range (TTV) | Yes | 5 | 6 |
| 11/17/05 | US | FTM 04-2 (FM-8) | Separating short-range (MRT) | Yes | 6 | 7 |
| 6/22/06 | US | FTM 10 | Separating short-range (TTV) | Yes | 7 | 8 |
| 12/7/06 | US | FTM 11 | Unitary short-range (TTV) | No | 7 | 9 |
| 4/26/07 | US | FTM 11 Event 4 | Unitary short-range (ARAV-A) | Yes | 8 | 10 |
| 6/22/07 | US | FTM 12 | Separating short-range (MRT) | Yes | 9 | 11 |
| 8/31/07 | US | FTM-11a | Classified | Yes | 10 | 12 |
| 11/6/07 | US | FTM 13 | Unitary short-range (ARAV-A) | Yes | 11 | 13 |
| | | | Unitary short-range (ARAV-A) | Yes | 12 | 14 |
| 12/17/07 | Japan | JFTM-1 | Separating short-range (MRT) | Yes | 13 | 15 |
| 11/1/08 | US | Pacific Blitz | Unitary short-range (ARAV-A) | Yes | 14 | 16 |
| | | | Unitary short-range (ARAV-A) | No | 14 | 17 |
| 11/19/08 | Japan | JFTM-2 | Separating short-range (MRT) | No | 14 | 18 |
| 7/30/09 | US | FTM-17 | Unitary short-range (ARAV-A) | Yes | 15 | 19 |
| 10/27/09 | Japan | JFTM-3 | Separating short-range (MRT) | Yes | 16 | 20 |
| 10/28/10 | Japan | JFTM-4 | Separating short-range (MRT) | Yes | 17 | 21 |
| 4/14/11 | US | FTM-15 | Separating intermediate range (LV-2) | Yes | 18 | 22 |
| 9/1/11 | US | FTM-16 E2 | Separating short-range (ARAV-B) | No | 18 | 23 |
| 5/9/12 | US | FTM-16 E2a | Unitary short-range (ARAV-A) | Yes | 19 | 24 |
| 6/26/12 | US | FTM-18 | Separating short-range (MRT) | Yes | 20 | 25 |
| 10/25/12 | US | FTI-01 | Separating short-range (ARAV-B) | No | 20 | 26 |
| 2/12/13 | US | FTM-20 | Separating medium-range (MRBM-T3) | Yes | 21 | 27 |
| 5/15/13 | US | FTM-19 | Separating short-range (ARAV-C) | Yes | 22 | 28 |
| 9/10/13 | US | FTO-01 | Separating medium-range (eMRBM-T1) | Yes | 23 | 29 |
| 9/18/13 | US | FTM-21 | Separating short-range (ARAV-C++) | Yes | 24 | 30 |
| 10/3/13 | US | FTM-22 | Separating medium-range (ARAV-TTO-E) | Yes | 25 | 31 |
| 11/6/14 | US | FTM-25 | Separating short-range (ARAV-B) | Yes | 26 | 32 |
| 6/25/15 | US | FTO-02 E1 | Separating medium-range (IRBM T1) | n/a ^a | 26 | 32 |
| 10/4/15 | US | FTO-02 E2 | Separating medium-range (eMRBM) | n/a ^b | 26 | 32 |
| 10/20/15 | US | ASD-15 E2 | Separating short-range (Terrier Orion) | Yes | 27 | 33 |
| 11/1/15 | US | FTO-02 E2a | Separating medium-range (eMRBM) | No | 27 | 34 |
| 12/10/15 | US (Aegis Ashore) | FTO02 E1a | Separating medium-range (IRBM T1) | Yes | 28 | 35 |
| 2/3/17 | US-Japan | SFTM-01 | Separating medium-range (MRT) | Yes | 29 | 36 |
| 6/21/17 | US-Japan | SFTM-02 | Medium-range | No | 29 | 37 |
| 10/15/17 | US | FS17 | Medium-range target | Yes | 30 | 38 |
| Endo-atmospheric (using SM-2 missile Block IV missile and [for MMW Event 1] SM-6 Dual I missile) | | | | | | |
| 5/24/06 | US | Pacific Phoenix | Unitary short-range target (Lance) | Yes | 1 | 1 |

| Date | Country | Name of flight test of exercise | Ballistic Missile Target | Successful? | Cumulative successes | Cumulative attempts |
|---|---------|---------------------------------|------------------------------------|-------------|----------------------|---------------------|
| 6/5/08 | US | FTM-I4 | Unitary short-range target (FMA) | Yes | 2 | 2 |
| 3/26/09 | US | Stellar Daggers | Unitary short-range target (Lance) | Yes | 3 | 3 |
| 7/28/15 | US | MMW E1 | Unitary short-range target (Lance) | Yes | 4 | 4 |
| 7/29/15 | US | MMW E2 | Unitary short-range target (Lance) | Yes | 5 | 5 |
| 12/14/16 | US | FTM-27 | Unitary short-range target (Lance) | Yes | 6 | 6 |
| 8/29/17 | US | FTM-27 E2 | Medium-range target (MRBM) | Yes | 7 | 7 |
| Combined total for exo- and endo-atmospheric above tests | | | | | 37 | 45 |

Sources: Table presented in MDA fact sheet, “Aegis Ballistic Missile Defense Testing,” February 2017, accessed on October 16, 2017, at https://www.mda.mil/global/documents/pdf/aegis_tests.pdf, and (for flight tests subsequent to February 2017) MDA news releases.

Notes: **TTV** is target test vehicle; **ARAV** is Aegis Readiness Assessment Vehicle. In addition to the flight tests shown above, there was a successful use of an SM-3 on February 20, 2008, to intercept an inoperative U.S. satellite—an operation called Burnt Frost. Including this intercept in the count increases the totals to 31 successful exo-atmospheric intercepts in 39 attempts using the SM-3 missile, and 38 successful exo- and endo-atmospheric intercepts in 46 attempts using SM-3, SM-2 Block IV, and SM-6 missiles.

- a. MDA’s table shows this as a test that did not result in the launch of an SM-3. MDA as of August 3, 2015, had not issued a news release discussing this event. MDA’s count of 31 successful intercepts in 37 launches through July 29, 2015, does not appear to include this test, suggesting that this was considered a “no test” event—a test in which there was a failure that was not related to the Aegis BMD system or the SM-3 interceptor. News reports state that the test was aborted due to a failure of the target missile. (Andrea Shalal, “U.S. Skips Aegis Ashore Missile Test After Target Malfunction,” *Reuters*, June 26, 2015.) MDA’s table similarly shows the test of December 7, 2006, as a test that did not result in the launch of an SM-3. MDA issued a news release on this test, which stated that an SM-3 was not launched “due to an incorrect system setting aboard the Aegis-class cruiser USS *Lake Erie* prior to the launch of two interceptor missiles from the ship. The incorrect configuration prevented the fire control system aboard the ship from launching the first of the two [SM-3] interceptor missiles. Since a primary test objective was a near-simultaneous launch of two missiles against two different targets, the second interceptor missile was intentionally not launched.” MDA counts the test of December 7, 2006, as an unsuccessful intercept in its count of 31 successful intercepts in 37 launches through July 29, 2015.
- b. MDA’s table shows this as a test that did not result in the launch of an SM-3. MDA as of November 10, 2015, had not issued a news release discussing this event. MDA’s count of 32 successful intercepts in 39 launches through November 1, 2015, does not appear to include this test, suggesting that this was considered a “no test” event—a test in which there was a failure that was not related to the Aegis BMD system or the SM-3 interceptor.

May 2010 Criticism of Claimed Successes in Flight Tests

In a May 2010 magazine article and supplementary white paper, two professors with scientific backgrounds—George Lewis and Theodore Postol—criticized DOD claims of successes in Aegis (and other DOD) BMD flight tests, arguing that

the Defense Department’s own test data show that, in combat, the vast majority of “successful” SM-3 experiments would have failed to destroy attacking warheads. The data also show potential adversaries how to defeat both the SM-3 and the GMD [ground-based missile defense] systems, which share the same serious flaws that can be readily exploited by adversaries.⁴⁵

⁴⁵ George N. Lewis and Theodore A. Postol, “A Flawed and Dangerous U.S. Missile Defense Plan,” *Arms Control Today*, May 2010: 24-32. The quoted passage appears on p. 26. The associated white paper is George N. Lewis and Theodore A. Postol, *A Technically Detailed Description of Flaws in the SM-3 and GMD Missile Defense Systems Revealed by the Defense Department’s Ballistic Missile Test Data*, May 3, 2010, 13 pp.

The criticisms made by Lewis and Postol were reported in a May 18, 2010, *New York Times* article.⁴⁶ In response to the criticisms and the *New York Times* article, MDA issued a press release and other information defending the flight tests and arguing that the criticisms are based on inaccurate or incomplete information.⁴⁷

Details on Selected Exo-Atmospheric (SM-3) Flight Tests Since June 2006

June 22, 2006, Test. This was the first test to use the 3.6 version of the Aegis BMD system.⁴⁸

December 7, 2006, Test. This was the first unsuccessful flight test since June 2003. MDA stated that the ninth test

was not completed due to an incorrect system setting aboard the Aegis-class cruiser USS Lake Erie prior to the launch of two interceptor missiles from the ship. The incorrect configuration prevented the fire control system aboard the ship from launching the first of the two interceptor missiles. Since a primary test objective was a near-simultaneous launch of two missiles against two different targets, the second interceptor missile was intentionally not launched.

The planned test was to involve the launch of a Standard Missile 3 against a ballistic missile target and a Standard Missile 2 against a surrogate aircraft target. The ballistic missile target was launched from the Pacific Missile Range Facility, Kauai, Hawaii and the aircraft target was launched from a Navy aircraft. The USS Lake Erie (CG 70), USS Hopper (DDG 70) and the Royal Netherlands Navy frigate TROMP were all successful in detecting and tracking their respective targets. Both targets fell into the ocean as planned.

After a thorough review, the Missile Defense Agency and the U.S. Navy will determine a new test date.⁴⁹

A news article about the ninth test stated the following:

“You can say it’s seven of nine, rather than eight of nine,” Missile Defense Agency spokesman Chris Taylor said of the second failure in tests of the system by the agency and the Navy....

The drill was planned to demonstrate the Navy’s ability to knock down two incoming missiles at once from the same ship.

“In a real world situation it is possible, maybe even probable, that in addition to engaging a ballistic missile threat that was launched, you may be engaging a surface action,” said

⁴⁶ William J. Broad and David E. Sanger, “Review Cites Flaws In U.S. Antimissile Program,” *New York Times*, May 18, 2010: 1.

⁴⁷ Missile Defense Agency, “Missile Defense Agency Responds to New York Times Article,” May 18, 2010 (10-NEWS-0005); Missile Defense Agency, *Missile Defense Agency Response to Request for Information, Standard Missile – 3 Interceptor Testing*, May 18, 2010, 2 pp.; Missile Defense Agency, *Missile Defense Agency Response to Request for Information, Response to New York Times May 18, 2010, Article Regarding SM-3 Testing*, May 18, 2010, 3 pp.; Richard Lehner, “Missile Defense Agency Responds to New York Times Article,” *DOD Live* (<http://www.dodlive.mil>), May 18, 2010; Transcript of Department of Defense Bloggers Roundtable With Richard Lehner, Spokesman, Missile Defense Agency (MDA), Subject: Standard Missile 3 Test Program, May 18, 2010.

⁴⁸ Missile Defense Agency, “Missile Defense Test Results in Successful ‘Hit To Kill’ Intercept,” June 22, 2006 (06-NEWS-0018).

⁴⁹ Untitled Missile Defense Agency “For Your Information” statement dated December 7, 2006 (06-FYI-0090).

Joe Rappisi before the test. He is director for the Aegis Ballistic Missile Defense system at Lockheed Martin, the primary contractor for the program.

The test would have marked the first time a ship has shot down one target in space and another target in the air at the same time.

The test presented a greater challenge to the ship's crew and the ballistic missile defense system than previous tests, Rappisi said. The multiple target scenario is also closer to what sailors might actually face in battle.

The U.S. Pacific Fleet has been gradually installing missile surveillance and tracking technology on many of its destroyers and cruisers amid concerns about North Korea's long-range missile program.

It is also installing interceptor missiles on many of its ships, even as the technology to track and shoot down incoming missiles is being developed and perfected.

The Royal Netherlands Navy joined the tracking and monitoring off Kauai to see how its equipment works. The Dutch presence marked the first time a European ally has sent one of its vessels to participate in a U.S. ballistic missile defense test.⁵⁰

A subsequent news article stated the following:

the test abort of the Aegis Ballistic Missile Defense system Dec. 7 resulted from human error, [MDA Director USAF Lt. Gen. Henry] Obering says.... Both the ballistic missile and aircraft targets launched as planned, but the first interceptor failed to fire because an operator had selected an incorrect setting for the test. Officials then aborted before the second could boost.

Aegis missile defense system tests are at a standstill until officials are able to identify an appropriate ballistic missile target. The one used Dec. 7 was the last of its kind, Obering says, leaving them empty handed in the near future.⁵¹

Another article stated the following:

Philip Coyle, a former head of the Pentagon's testing directorate, gives the Navy credit for "discipline and successes so far" in its sea-based ballistic missile defense testing program. Coyle is now a senior adviser at the Center for Defense Information.

"The U.S. Navy has an enviable track record of successful flight intercept tests, and is making the most of its current, limited Aegis missile defense capabilities in these tests," Coyle told [*Inside the Navy*] Dec. 7.

"Difficulties such as those that delayed the latest flight intercept attempt illustrate the complexity of the system, and how everything must be carefully orchestrated to achieve success," Coyle added. "Nevertheless, this particular setback won't take the Navy long to correct."⁵²

April 26, 2007, Test. MDA states that this test:

involved the simultaneous engagements of a ballistic missile "unitary" target (meaning that the target warhead and booster remain attached) and a surrogate hostile air target....

⁵⁰ David Briscoe, "Test Interceptor Missile Fails To Launch," *NavyTimes.com*, December 8, 2006.

⁵¹ Amy Butler, "GMD Trial Delayed Until Spring; Aegis Failure Human Error," *Aerospace Daily & Defense Report*, December 19, 2006.

⁵² Zachary M. Peterson, "Sea-Based Missile Defense Test Fails Due To 'Incorrect Configuration,'" *Inside the Navy*, December 11, 2006.

The test demonstrated the [Aegis ship's] ability to engage a ballistic missile threat and defend itself from attack at the same time. The test also demonstrated the effectiveness of engineering, manufacturing, and mission assurance changes in the solid divert and attitude control system (SDACS) in the kinetic kill weapon. This was the first flight test of all the SM-3 Block IA's upgrades, previously demonstrated in ground tests.⁵³

A press report on the test stated that the hostile air target was an anti-ship cruise missile. The article stated that the scenario for the test

called for the [Aegis ship] to come under attack from a cruise missile fired by an enemy plane.... A Navy plane fired the cruise missile target used in the test.⁵⁴

June 22, 2007, Test. MDA states that this test

was the third intercept involving a separating target and the first time an Aegis BMD-equipped destroyer was used to launch the interceptor missile. The USS Decatur (DDG 73), using the operationally-certified Aegis Ballistic Missile Defense Weapon System (BMD 3.6) and the Standard Missile-3 (SM-3) Block IA missile successfully intercepted the target during its midcourse phase of flight....

An Aegis cruiser, USS Port Royal (CG 73), a Spanish frigate, MÉNDEZ NÚÑEZ (F-104), and MDA's Terminal High Altitude Area Defense (THAAD) mobile ground-based radar also participated in the flight test. USS Port Royal used the flight test to support development of the new Aegis BMD SPY-1B radar signal processor, collecting performance data on its increased target detection and discrimination capabilities. MÉNDEZ NÚÑEZ, stationed off Kauai, performed long-range surveillance and track operations as a training event to assess the future capabilities of the F-100 Class. The THAAD radar tracked the target and exchanged tracking data with the Aegis BMD cruiser.

This event marked the third time that an allied military unit participated in a U.S. Aegis BMD test, with warships from Japan and the Netherlands participating in earlier tests.⁵⁵

August 31, 2007, Test. MDA has publicly noted the occurrence of this test and the fact that it resulted in a successful intercept,⁵⁶ but states that the details about the test are classified.⁵⁷ MDA does not appear to have issued a news release about this flight test following the completion of the test, as it has for other Aegis BMD flight tests.⁵⁸

November 6, 2007, Test. MDA states that this test involved:

⁵³ Missile Defense Agency, "Successful Sea-Based Missile Defense 'Hit to Kill' Intercept," April 26, 2007 (07-NEWS-0032).

⁵⁴ Audrey McAvoy, "Aegis Missile Test Successful," *NavyTimes.com*, April 27, 2007.

⁵⁵ Missile Defense Agency, "Sea-Based Missile Defense 'Hit to Kill' Intercept Achieved," June 22, 2007 (07-NEWS-0037).

⁵⁶ See for example, slide 8 in the 20-slide briefing entitled "Ballistic Missile Defense Program Overview For The Congressional Breakfast Seminar Series," dated June 20, 2008, presented by Lieutenant General Trey Obering, USAF, Director, Missile Defense Agency. Source for briefing: *InsideDefense.com* (subscription required). Each slide in the briefing includes a note indicating that it was approved by MDA for public release on June 13, 2008. Slide 8 lists Aegis BMD midcourse flight tests conducted since September 2005, including a test on August 31, 2007. The slide indicates with a check mark that the flight test was successful. A success in this test is also needed to for the total number of successful intercepts to match the reported figure.

⁵⁷ An email from MDA to CRS dated June 30, 2008, states that the flight test "was a hit to kill intercept test but details about the test are classified."

⁵⁸ MDA's website, when accessed on June 30, 2008, did not show a news release issued on or soon after August 31, 2007, that discusses this test.

a multiple simultaneous engagement involving two ballistic missile targets.... For the first time, the operationally realistic test involved two unitary “non-separating” targets, meaning that the target’s warheads did not separate from their booster rockets....

At approximately 6:12 p.m. Hawaii Standard Time (11:12 p.m. EST), a target was launched from the Pacific Missile Range Facility (PMRF), Barking Sands, Kauai, Hawaii. Moments later, a second, identical target was launched from the PMRF. The USS Lake Erie’s Aegis BMD Weapon System detected and tracked the targets and developed fire control solutions.

Approximately two minutes later, the USS Lake Erie’s crew fired two SM-3 missiles, and two minutes later they successfully intercepted the targets outside the earth’s atmosphere more than 100 miles above the Pacific Ocean and 250 miles northwest of Kauai....

A Japanese destroyer also participated in the flight test. Stationed off Kauai and equipped with the certified 3.6 Aegis BMD weapon system, the guided missile destroyer JS Kongo performed long-range surveillance and tracking exercises. The Kongo used the test as a training exercise in preparation for the first ballistic missile intercept test by a Japanese ship planned for later this year. This event marked the fourth time an allied military unit participated in a U.S. Aegis BMDS test.⁵⁹

December 17, 2007, Test. In this flight test, a BMD-capable Japanese Aegis destroyer used an SM-3 Block IA missile to successfully intercept a ballistic missile target in a flight test off the coast of Hawaii. It was the first time that a non-U.S. ship had intercepted a ballistic missile using the Aegis BMD system.⁶⁰

November 1, 2008, Test. This flight test was reportedly the first U.S. Navy Aegis BMD flight test conducted by the Navy, without oversight by MDA. The test involved two Aegis ships, each attempting to intercept a ballistic missile. The SM-3 fired by the first Aegis ship successfully intercepted its target, but the SM-3 fired by the second Aegis ship did not intercept its target. A press release from the U.S. Third Fleet (the Navy’s fleet for the Eastern Pacific) states that

Vice Adm. Samuel J. Locklear, Commander, U.S. Third Fleet announced today the successful Navy intercept of a ballistic missile target over the Pacific Ocean during Fleet Exercise Pacific Blitz. This was the first Fleet operational firing to employ the Standard Missile-3 (SM-3) against a ballistic missile target. Command and control of this mission resided with Commander, U.S. Third Fleet, based in San Diego, Calif.

Pearl Harbor-based Aegis destroyers, USS Paul Hamilton (DDG 60) and USS Hopper (DDG 70), which have been upgraded to engage ballistic missiles, fired SM-3 missiles at separate targets. During this event, a short-range ballistic missile target was launched from the Pacific Missile Range Facility (PMRF), Barking Sands, Kauai, Hawaii. Upon detecting and tracking the target, USS Paul Hamilton, launched a SM-3 missile, resulting in a direct-hit intercept. Following USS Paul Hamilton’s engagement, PMRF launched another target. USS Hopper successfully detected, tracked and engaged the target. The SM-3 followed a nominal trajectory, however intercept was not achieved. Extensive analysis of the flight mission will be used to improve the deployed Aegis BMD system.⁶¹

⁵⁹ Missile Defense Agency, “Sea-Based Missile Defense “Hit to Kill” Intercept Achieved,” November 6, 2007 (07-NEWS-0051).

⁶⁰ John Liang, “Japanese Destroyer Shoots Down Ballistic Missile Test Target,” *Inside Missile Defense*, December 19, 2007; “Japanese Aegis Destroyer Wins Test By Killing Target Missile With SM-3 Interceptor,” *Defense Daily*, December 18, 2007; Reuters, “Japanese Ship Downs Missile In Pacific Test,” *New York Times*, December 18, 2007: 8; Audrey McAvoy, “Japan Intercepts Missile In Test Off Hawaii,” *NavyTimes.com*, December 17, 2007.

⁶¹ Commander, U.S. Third Fleet, Public Affairs Office, press release 23-08, dated November 1, 2008, entitled “Navy Intercepts Ballistic Missile Target in Fleet Exercise Pacific Blitz.” See also Dave Ahearn, “One of Two Missiles Hit In (continued...)”

November 19, 2008, Test. This was the second Japanese flight test, and involved a single ballistic missile target. The test did not result in a successful intercept. MDA states that

Rear Admiral Tomohisa Takei, Director General of Operations and Plans, for the Japanese Maritime Staff Office (MSO), Japan Maritime Self Defense Force (JMSDF), and Lt. General Henry “Trey” Obering, United States Missile Defense Agency director, announced the completion today of a cooperative sea-based Aegis Ballistic Missile Defense intercept flight test off the coast of Kauai in Hawaii. The event, designated Japan Flight Test Mission 2 (JFTM-2), marked the second attempt by an Allied naval ship to intercept a ballistic missile target with the sea-based midcourse engagement capability provided by Aegis Ballistic Missile Defense. Target performance, interceptor missile launch and flyout, and operation of the Aegis Weapon System by the crew were successful, but an intercept was not achieved.

The JFTM-2 was a test of the newest engagement capability of the Aegis Ballistic Missile Defense configuration of the recently upgraded Japanese destroyer, JS CHOKAI (DDG-176). At approximately 4:21 pm (HST), 11:21 am (Tokyo time) a ballistic missile target was launched from the Pacific Missile Range Facility, Barking Sands, Kauai, Hawaii. JS CHOKAI crew members detected and tracked the target using an advanced on-board radar. The Aegis Weapon System then developed a fire control solution, and at approximately 4:24 pm (HST), 11:24 am (Tokyo time) on Nov 20, a single Standard Missile -3 (SM-3) Block IA was launched. Approximately two minutes later, the SM-3 failed to intercept the target. There is no immediate explanation for the failed intercept attempt. More information will be available after a thorough investigation. The JS CHOKAI crew performance was excellent in executing the mission. JFTM-2 was the second time that a Japanese ship was designated to launch the interceptor missile, a major milestone in the growing cooperation between Japan and the U.S.⁶²

A November 21, 2008, press report states that

An Aegis ballistic missile defense (BMD) test by the Japanese destroyer Chokai (DDG-176) ended in failure when the Standard Missile-3 Block 1A interceptor lost track of the target missile in the final seconds before a planned hit-to-kill.

The Chokai and its crew performed well throughout the test, and the SM-3 also performed flawlessly through its first three stages, according to Rear Adm. Brad Hicks, the U.S. Navy Aegis ballistic missile defense program director. He spoke with several reporters in a teleconference around midnight ET Wednesday-Thursday, after the test in the area of the Pacific Missile Range Facility, Barking Sands, Kauai, Hawaii.

This was the second Aegis BMD test failure in less than a month.

These latest two failures come as some Democrats in Congress are poised to cut spending on missile defense programs when they convene next year to consider the Missile Defense Agency budget for the fiscal year ending Sept. 30, 2010....

Still, in the coming money debates next year, missile defense advocates will be able to point out that even including the Hopper and Chokai failures, the record for the Aegis tests is an overwhelming 16 successful hits demolishing target missiles out of 20 attempts.

(...continued)

Aegis Test; Navy For First Time Runs Test Instead of MDA,” *Defense Daily*, November 4, 2008: 1-2.

⁶² Missile Defense Agency, “Japan/U.S. Missile Defense Flight Test Completed,” November 19, 2008 (08-NEWS-0087).

Those successes included the first Japanese attempt. The Japanese destroyer Kongo (DDG-173) successfully used its SM-3 interceptor to kill a target missile. The difference in tests is that the Kongo crew was advised beforehand when the target missile would be launched, while the Chokai crew wasn't....

[Hicks] said a board will be convened to examine why the latest test failed. Hicks declined to speculate on why the SM-3 interceptor missed the target. "I'm confident we'll find out the root cause" of the Chokai interceptor failure to score a hit, he said.

However, he was asked by *Space & Missile Defense Report* whether the prior SM-3 successes make it unlikely the Chokai failure stems from some basic design flaw in all SM-3s, and whether it is more likely that the Chokai SM-3 failed because of some flaw or glitch in just that one interceptor.

Hicks said that is likely.

"Obviously, we believe this is hopefully related to this one interceptor," and doesn't reflect any basic design flaw in the SM-3 interceptors, he said.

The Chokai test failure cost Japan a \$55 million loss, he said, adding, "It wasn't cheap."...

In the Chokai test, the target missile was launched from Barking Sands, and about three minutes later the Chokai crew had spotted the target, the Aegis system had developed a tracking and hit solution, and the SM-3 interceptor was launched.

The first, second and third stages of the interceptor performed nominally, without problems, but then came the fourth stage. The nosecone components opened to expose the kill vehicle area, and somehow the program to track the target missile failed.

"It lost track," Hicks said, only seconds before the hit would have been achieved.

If the kill had occurred, it would have been about 100 nautical miles (roughly 115 statute miles) above Earth, and some 250 miles away from Barking Sands, Hicks said.

It took the interceptor about two minutes flight time to reach the near miss with the target missile.

Meanwhile, the Hamilton was nearby watching the test. The Hamilton Aegis system successfully spotted and tracked the target, and developed a simulated solution and simulated interceptor launch that, if it had been real, would have resulted in a successful hit on the target, Hicks said. The Hamilton didn't cue the Chokai, however. "It was strictly Chokai's engagement," Hicks said.⁶³

July 30, 2009, Test. MDA states that

In conjunction with the Missile Defense Agency (MDA), U.S. Pacific Fleet ships and crews successfully conducted the latest Aegis Ballistic Missile Defense (BMD) at-sea firing event on July 30. During this event, entitled Stellar Avenger, the Aegis BMD-equipped ship, USS Hopper (DDG 70), detected, tracked, fired and guided a Standard Missile -3 (SM-3) Block (Blk) IA to intercept a sub-scale short range ballistic missile. The target was launched from the Kauai Test Facility, co-located on the Pacific Missile Range Facility (PMRF), Barking Sands, Kauai. It was the 19th successful intercept in 23 at-sea firings, for the Aegis BMD Program, including the February 2008 destruction of the malfunctioning satellite above the earth's atmosphere. Stellar Avenger was part of the continual evaluation of the certified and fielded Aegis BMD system at-sea today.

⁶³ Dave Ahearn, "Japanese Aegis Missile Defense Test Fails, But Aegis Record Is 16 Hits In 20 Tries," Defense Daily, November 21, 2008: 5-6.

At approximately 5:40 pm (HST), 11:40 pm (EDT), a target was launched from PMRF. Three U.S. Navy Aegis BMD-equipped ships, the cruiser, USS Lake Erie (CG 70) and destroyers USS Hopper (DDG 70) and USS O'Kane (DDG 77) detected and tracked the target with their SPY radars. Each developed fire control solutions. At 5:42 pm (HST), 11:42 pm (EDT) the crew of USS Hopper fired one SM-3 Blk IA missile. The USS Hopper's Aegis BMD Weapon System successfully guided the SM-3 to a direct body to body hit, approximately two minutes after leaving the ship. The intercept occurred about 100 miles above the Pacific Ocean. USS O'Kane conducted a simulated engagement of the target. USS Lake Erie, with its recently installed upgraded Aegis BMD 4.0.1 Weapons System, detected and tracked the same target.⁶⁴

A July 31, 2009, press report states the following:

The test was the first Aegis BMD exercise to feature two versions of the software in a single event, according to Lisa Callahan, Lockheed's vice president for ballistic missile defense programs.

A goal of the exercises was to test the Aegis system's ability to discern all the different parts and pieces of a ballistic missile, Nick Bucci, Lockheed's director for Aegis BMD development programs, told reporters July 29 during a pre-exercise conference call.

Three more flight tests this fall will further test the system's discrimination capabilities, Bucci added, with each test becoming more complex. The last test will "be against a pretty darn complex target," he said.

The July 30 tests also validated fixes put in place after a BMD test last November involving a missile launched from the Aegis BMD Japanese destroyer Chokai failed to intercept its target, according to MDA spokesman Chris Taylor. The improvements—which were successful in the most recent test—involved fixes to the Solid Divert Attitude Control System.

The Chokai is the second of four Japanese Aegis ships being upgraded with BMD capability. A third ship, the Myoko, is scheduled to carry out a BMD test this fall.⁶⁵

An August 3, 2009, press report states the following:

This test was added to the schedule to evaluate changes made after last year's failed attempt to intercept a target with an SM-3 Block IA launched by a Japanese Aegis-equipped ship After the Nov. 19 test, MDA officials said, "Target performance, interceptor missile launch and flyout, and operation of the Aegis Weapon System by the crew were successful, but an intercept was not achieved."

A root cause has not been identified, and an MDA spokesman did not say whether fixes have been made to hardware or operational procedures resulting from the failure review. It is also unclear why a subscale target was used in the July 30 trial.⁶⁶

An August 4, 2009, press report states the following:

[Rear Admiral Alan "Brad" Hicks, Aegis/SM-3 program manager for MDA], said that a November [2008] failure of an SM-3 Block IA... during a flight-test was attributable to poor adherence to processes on Raytheon's assembly line in Tucson, Ariz.

This was isolated to that missile, and it was the result of perturbations to the build process encountered when shifting from development to production operations.

⁶⁴ Missile Defense Agency, "Aegis Ballistic Missile Defense Test Successful," July 31, 2009 (09-News-0015).

⁶⁵ Christopher P. Cavas, "Aegis BMD Test Successful," *DefenseNews.com*, July 31, 2009.

⁶⁶ Amy Butler, "SM-3 Scores Hit After Fixes Implemented," *Aerospace Daily & Defense Report*, August 3, 2009: 5.

During the November test, a Japanese Aegis-equipped ship fired the interceptor and it flew “perfectly,” Hicks said. In the endgame, a failure of the divert and attitude control system on the unitary kill vehicle led to a miss.

The July 30 demonstration using a U.S. ship “restored confidence” for the Japanese that the miss last fall was an isolated incident, he says.⁶⁷

October 27, 2009, Test. This was the third Japanese flight test, and it involved a single ballistic missile target. MDA states that

The Japan Maritime Self-Defense Force (JMSDF) and the United States Missile Defense Agency (MDA) announced the successful completion of an Aegis Ballistic Missile Defense (BMD) intercept flight test, in cooperation with the U.S. Navy, off the coast of Kauai in Hawaii. The event, designated Japan Flight Test Mission 3 (JFTM-3), marked the third time that a JMSDF ship has successfully engaged a ballistic missile target, including two successful intercepts, with the sea-based midcourse engagement capability provided by Aegis BMD.

The JFTM-3 test event verified the newest engagement capability of the Japan Aegis BMD configuration of the recently upgraded Japanese destroyer, JS MYOKO (DDG-175). At approximately 6:00pm (HST), 1:00 pm Tokyo time on Oct 28, a separating, medium-range ballistic missile target was launched from the Pacific Missile Range Facility, Barking Sands, Kauai, Hawaii. JS MYOKO crew members detected and tracked the target. The Aegis Weapon System then developed a fire control solution and, at approximately 6:04pm (HST), 1:04 pm Tokyo time a Standard Missile-3 (SM-3) Block IA interceptor missile was launched. Approximately 3 minutes later, the SM-3 successfully intercepted the target approximately 100 miles above the Pacific Ocean. JFTM-3 is a significant milestone in the growing cooperation between Japan and the U.S. in the area of missile defense.

Also participating in the test, were the Pearl Harbor-based USS Lake Erie (CG 70) and USS Paul Hamilton (DDG 60) which detected and tracked the target and conducted a simulated engagement.⁶⁸

October 28, 2010, Test. This was the fourth Japanese flight test, and it involved a single ballistic missile target. MDA states that

The Japan Maritime Self-Defense Force (JMSDF) and the United States Missile Defense Agency (MDA) announced the successful completion of an Aegis Ballistic Missile Defense (BMD) intercept flight test, in cooperation with the U.S. Navy, off the coast of Kauai in Hawaii.

The event marked the fourth time that a JMSDF ship has engaged a ballistic missile target, including three successful intercepts, with the sea-based midcourse engagement capability provided by Aegis BMD.

The JFTM-4 test event verified the newest engagement capability of the Japan Aegis BMD configuration of the recently upgraded Japanese destroyer, JS KIRISHIMA. At approximately 5:06 p.m. (HST), 12:06 p.m. Tokyo time on Oct. 29, 2010, a separating

⁶⁷ Amy Butler, “SM-3 Upgrade Program Cost Increases,” *Aerospace Daily & Defense Report*, August 4, 2009: 1-2. See also Dan Taylor, “Navy Conducts Aegis BMD Test, New Baseline System Participates,” *Inside the Navy*, August 3, 2009; Daniel Wasserbly, “US Aegis BMD System Achieves Trial Success,” *Jane’s Defence Weekly*, August 5, 2009: 8.

⁶⁸ Missile Defense Agency, “Japan/U.S. Missile Defense Flight Test Successful,” October 28, 2009 (09-News-0021). See also Christopher P. Cavas, “Japanese Destroyer Conducts Successful BMD Test,” *NavyTimes.com*, October 28, 2009; and Amy Butler and Michael Bruno, “SM-3 Scores Hit In Japanese Test,” *Aerospace Daily & Defense Report*, October 29, 2009: 3.

1,000 km class ballistic missile target was launched from the Pacific Missile Range Facility at Barking Sands, Kauai, Hawaii.

JS KIRISHIMA crew members detected and tracked the target. The Aegis Weapon System then developed a fire control solution and launched a Standard Missile -3 (SM-3) Block IA missile. Approximately three minutes later, the SM-3 successfully intercepted the target approximately 100 miles above the Pacific Ocean. JFTM-4 is a significant milestone in the growing cooperation between Japan and the U.S. in the area of missile defense.

Also participating in the test was USS LAKE ERIE and USS RUSSELL, Aegis ships which cooperated to detect, track and conduct a simulated intercept engagement against the same target.⁶⁹

April 15, 2011, Test. MDA states that this flight test “was the most challenging test to date, as it was the first Aegis BMD version 3.6.1 intercept against an intermediate-range target (range 1,864 to 3,418 [statute] miles) and the first Aegis BMD 3.6.1 engagement relying on remote tracking data.” MDA states that

The Missile Defense Agency (MDA), U.S. Navy sailors aboard the Aegis destroyer USS O’KANE (DDG 77), and Soldiers from the 94th Army Air and Missile Defense Command operating from the 613th Air and Space Operations Center at Hickam Air Force Base, Hawaii, successfully conducted a flight test of the Aegis Ballistic Missile Defense (BMD) element of the nation’s Ballistic Missile Defense System, resulting in the intercept of a separating ballistic missile target over the Pacific Ocean. This successful test demonstrated the capability of the first phase of the European Phased Adaptive Approach (EPAA) announced by the President in September, 2009.

At 2:52 a.m. EDT (6:52 p.m. April 15 Marshall Island Time), an intermediate-range ballistic missile target was launched from the Reagan Test Site, located on Kwajalein Atoll in the Republic of the Marshall Islands, approximately 2,300 miles southwest of Hawaii. The target flew in a northeasterly direction towards a broad ocean area in the Pacific Ocean. Following target launch, a forward-based AN/TPY-2 X-band transportable radar, located on Wake Island, detected and tracked the threat missile. The radar sent trajectory information to the Command, Control, Battle Management, and Communications (C2BMC) system, which processed and transmitted remote target data to the USS O’KANE. The destroyer, located to the west of Hawaii, used the data to develop a fire control solution and launch the SM-3 Block IA missile approximately 11 minutes after the target was launched.

As the IRBM target continued along its trajectory, the firing ship’s AN/SPY-1 radar detected and acquired the ballistic missile target. The firing ship’s Aegis BMD weapon system uplinked target track information to the SM-3 Block IA missile. The SM-3 maneuvered to a point in space as designated by the fire control solution and released its kinetic warhead. The kinetic warhead acquired the target, diverted into its path, and, using only force of a direct impact, destroyed the threat in a “hit-to-kill” intercept.

During the test the C2BMC system, operated by Soldiers from the 94th Army Air and Missile Defense Command, received data from all assets and provided situational awareness of the engagement to U.S. Pacific Command, U.S. Northern Command and U.S. Strategic Command.

⁶⁹ Missile Defense Agency, “Joint Japan-U.S. Missile Defense Flight Test Successful,” October 29, 2010 (10-News-0016). See also Marina Malenic, “Japanese Aegis Destroyer Successfully Completes Missile-Intercept Test,” *Defense Daily*, November 1, 2010: 6.

The two demonstration Space Tracking and Surveillance Satellites (STSS), launched by MDA in 2009, successfully acquired the target missile, providing stereo “birth to death” tracking of the target.

Today’s event, designated Flight Test Standard Missile-15 (FTM-15), was the most challenging test to date, as it was the first Aegis BMD version 3.6.1 intercept against an intermediate-range target (range 1,864 to 3,418 [statute] miles) and the first Aegis BMD 3.6.1 engagement relying on remote tracking data. The ability to use remote radar data to engage a threat ballistic missile greatly increases the battle space and defended area of the SM-3 missile.

Initial indications are that all components performed as designed. Program officials will spend the next several months conducting an extensive assessment and evaluation of system performance based upon telemetry and other data obtained during the test.⁷⁰

September 1, 2011, Test. This flight test, which did not result in an intercept, was the first flight test of the SM-3 Block IB interceptor. MDA states that it

was unable to achieve the planned intercept of a ballistic missile target during a test over the Pacific Ocean exercising the sea-based element of the Ballistic Missile Defense System (BMDS).

At approximately 3:53 a.m. Hawaii Standard Time (9:53 a.m. EDT) a short-range ballistic missile target was launched from the U.S. Navy’s Pacific Missile Range Facility on Kauai, Hawaii. Approximately 90 seconds later, a Standard Missile 3 (SM-3) Block 1B interceptor missile was launched from the cruiser USS LAKE ERIE (CG-70) but an intercept of the target was not achieved.

This was the first flight test of the advanced SM-3 Block 1B interceptor missile. Program officials will conduct an extensive investigation to determine the cause of the failure to intercept.⁷¹

May 9, 2012, Test. MDA states that this flight test “was the first successful live fire intercept test of the SM-3 Block IB interceptor and the second-generation Aegis BMD 4.0.1 weapon system.” MDA states that

The Missile Defense Agency (MDA) and U.S. Navy sailors aboard the USS LAKE ERIE (CG 70) successfully conducted a flight test of the Aegis Ballistic Missile Defense (BMD) system, resulting in the first intercept of a short-range ballistic missile target over the Pacific Ocean by the Navy’s newest Missile Defense interceptor, the Standard Missile – 3 (SM-3) Block IB.

At 8:18 p.m. Hawaiian Standard Time (2:18 a.m. EDT May 10) the target missile was launched from the Pacific Missile Range Facility, located on Kauai, Hawaii. The target flew on a northwesterly trajectory towards a broad ocean area of the Pacific Ocean. Following target launch, the USS LAKE ERIE detected and tracked the missile with its onboard AN/SPY-1 radar. The ship, equipped with the second-generation Aegis BMD 4.0.1 weapon system, developed a fire control solution and launched the Standard Missile-3 (SM-3) Block IB interceptor.

⁷⁰ Missile Defense Agency, “Sea-based Missile Defense Flight Test Results in Successful Intercept,” April 15, 2011 (11-News-0007).

⁷¹ Missile Defense Agency, “Sea-Based Missile Defense Test Conducted,” September 1, 2011 (11-News-0016). See also Amy Butler, “Upgraded Ballistic Missile Killer Fizzles In First Flight Test,” *Aerospace Daily & Defense Report*, September 2, 2011: 3; and Mike McCarthy, “Sea-Based Missile Defense Test Fails,” *Defense Daily*, September 2, 2011: 2-3.

The USS LAKE ERIE continued to track the target and sent trajectory information to the SM-3 Block IB interceptor in-flight. The SM-3 maneuvered to a point in space, as designated by the fire control solution, and released its kinetic warhead. The kinetic warhead acquired the target, diverted into its path, and, using only the force of a direct impact, engaged and destroyed the threat in a hit-to-kill intercept.

Today's event, designated Flight Test Standard Missile-16 (FTM-16) Event 2a, was the first successful live fire intercept test of the SM-3 Block IB interceptor and the second-generation Aegis BMD 4.0.1 weapon system. Previous successful intercepts were conducted with the Aegis BMD 3.6.1 weapon system and the SM-3 Block IA interceptor, which are currently operational on U.S. Navy ships deployed across the globe....

Initial indications are that all components performed as designed. Program officials will conduct an extensive assessment and evaluation of system performance based upon telemetry and other data obtained during the test.⁷²

June 26, 2012, Test. MDA states that this flight test “was the second consecutive successful intercept test of the SM-3 Block IB missile and the second-generation Aegis BMD 4.0.1 weapon system.” MDA states that

The Missile Defense Agency (MDA) and U.S. Navy sailors in the USS LAKE ERIE (CG 70) successfully conducted a flight test of the Aegis Ballistic Missile Defense (BMD) system, resulting in the intercept of a separating ballistic missile target over the Pacific Ocean by the Navy's newest missile defense interceptor missile, the Standard Missile-3 (SM-3) Block IB.

At 11:15 pm Hawaii Standard Time, June 26 (5:15 am EDT June 27), the target missile was launched from the Pacific Missile Range Facility, located on Kauai, Hawaii. The target flew on a northwesterly trajectory towards a broad ocean area of the Pacific Ocean. Following target launch, the USS LAKE ERIE detected and tracked the missile with its onboard AN/SPY-1 radar. The ship, equipped with the second-generation Aegis BMD 4.0.1 weapon system, developed a fire control solution and launched the SM-3 Block IB missile.

The USS LAKE ERIE continued to track the target and sent trajectory information to the SM-3 Block IB missile in-flight. The SM-3 maneuvered to a point in space, as designated by the fire control solution, and released its kinetic warhead. The kinetic warhead acquired the target, diverted into its path, and, using only the force of a direct impact, engaged and destroyed the threat in a hit-to-kill intercept.

Today's test event was the second consecutive successful intercept test of the SM-3 Block IB missile and the second-generation Aegis BMD 4.0.1 weapon system. The first successful SM-3 Block IB intercept occurred on May 9, 2012. Today's intercept is a critical accomplishment for the second phase of the President's European Phased Adaptive Approach consisting of the SM-3 Block IB interceptor employed in an Aegis Ashore system in Romania in 2015.

Initial indications are that all components performed as designed resulting in a very accurate intercept.⁷³

October 25, 2012, Test. MDA states that in this flight test,

⁷² Missile Defense Agency, “Second-Generation Aegis Ballistic Missile Defense System Completes Successful Intercept Flight Test,” May 9, 2012 (12-News-0007).

⁷³ Missile Defense Agency, “Second-Generation Aegis Ballistic Missile Defense System Completes Second Successful Intercept Flight Test,” June 27, 2012 (12-News-0008).

The Missile Defense Agency (MDA), U.S. Army soldiers from the 94th and 32nd Army Air and Missile Defense Command (AAMDC); U.S. Navy sailors aboard the USS FITZGERALD (DDG 62); and airmen from the 613th Air and Space Operations Center successfully conducted the largest, most complex missile defense flight test ever attempted resulting in the simultaneous engagement of five ballistic missile and cruise missile targets. An integrated air and ballistic missile defense architecture used multiple sensors and missile defense systems to engage multiple targets at the same time....

The USS FITZGERALD successfully engaged a low flying cruise missile over water. The Aegis system also tracked and launched an SM-3 Block 1A interceptor against a Short-Range Ballistic Missile. However, despite indication of a nominal flight of the SM-3 Block 1A interceptor, there was no indication of an intercept of the SRBM.⁷⁴

February 12, 2013, Test. MDA states that in this flight test,

The Missile Defense Agency (MDA) and U.S. Navy sailors aboard the USS LAKE ERIE (CG 70) successfully conducted a flight test of the Aegis Ballistic Missile Defense (BMD) system, resulting in the intercept of a medium-range ballistic missile target over the Pacific Ocean by a Standard Missile-3 (SM-3) Block 1A guided missile.

At 11:10 p.m. HST (4:10 a.m. EST) a unitary medium-range ballistic missile target was launched from the Pacific Missile Range Facility, on Kauai, Hawaii. The target flew northwest towards a broad ocean area of the Pacific Ocean.

The in-orbit Space Tracking and Surveillance System-Demonstrators (STSS-D) detected and tracked the target, and forwarded track data to the USS LAKE ERIE. The ship, equipped with the second-generation Aegis BMD weapon system, used Launch on Remote doctrine to engage the target.

The ship developed a fire control solution from the STSS-D track and launched the SM-3 Block 1A guided missile approximately five minutes after target launch. The SM-3 maneuvered to a point in space and released its kinetic warhead. The kinetic warhead acquired the target reentry vehicle, diverted into its path, and, using only the force of a direct impact, engaged and destroyed the target.

Initial indications are that all components performed as designed. Program officials will assess and evaluate system performance based upon telemetry and other data obtained during the test.

Today's event, designated Flight Test Standard Missile-20 (FTM-20), was a demonstration of the ability of space-based assets to provide mid-course fire control quality data to an Aegis BMD ship, extending the battlespace, providing the ability for longer range intercepts and defense of larger areas.⁷⁵

May 16, 2013, Test. MDA states that in this flight test,

The Missile Defense Agency (MDA) and U.S. Navy sailors aboard the USS LAKE ERIE (CG-70) successfully conducted a flight test today of the Aegis Ballistic Missile Defense (BMD) system, resulting in the intercept of a separating ballistic missile target over the Pacific Ocean by the Aegis BMD 4.0 Weapon System and a Standard Missile-3 (SM-3) Block 1B missile.

⁷⁴ Missile Defense Agency, "Ballistic Missile Defense System Engages Five Targets Simultaneously During Largest Missile Defense Flight Test in History," October 25, 2012 (12-News-0011).

⁷⁵ Missile Defense Agency, "Aegis Ballistic Missile Defense Intercepts Target Using Space Tracking and Surveillance System-Demonstrators (STSS-D) Data," February 13, 2013 (13-News-0002). See also Troy Clarke, "Space-Based Sensors Star in 'Stellar Eyes' Missile Defense Test," *Navy News Service*, February 13, 2013.

At 5:25 p.m. (Hawaii Time, 11:25 p.m. EDT), May 15, a separating short-range ballistic missile target was launched from the Pacific Missile Range Facility, on Kauai, Hawaii. The target flew northwest towards a broad ocean area of the Pacific Ocean. Following target launch, the USS LAKE ERIE (CG-70) detected and tracked the missile with its onboard AN/SPY-1 radar. The ship, equipped with the second-generation Aegis BMD weapon system, developed a fire control solution and launched the SM-3 Block IB missile. The SM-3 maneuvered to a point in space based on guidance from Aegis BMD Weapons Systems and released its kinetic warhead. The kinetic warhead acquired the target reentry vehicle, diverted into its path, and, using only the force of a direct impact, engaged and destroyed the target.

Initial indications are that all components performed as designed. Program officials will assess and evaluate system performance based upon telemetry and other data obtained during the test.

This test exercised the latest version of the second-generation Aegis BMD Weapon System and Standard Missile, providing capability for engagement of longer-range and more sophisticated ballistic missiles.

Last night's event, designated Flight Test Standard Missile-19 (FTM-19), was the third consecutive successful intercept test of the Aegis BMD 4.0 Weapon System and the SM-3 Block IB guided missile. Previous successful ABMD 4.0 SM-3 Block IB intercepts occurred on May 9, 2012 and June 26, 2012. Other Aegis BMD intercepts have employed the ABMD 3.6 and 4.0 with the SM-3 Block IA missile, which is currently operational on U.S. Navy ships deployed across the globe.⁷⁶

September 10, 2013, Test. MDA states that in this flight test,

The Missile Defense Agency (MDA), Ballistic Missile Defense System (BMDS) Operational Test Agency, Joint Functional Component Command for Integrated Missile Defense, and U.S. Pacific Command, in conjunction with U.S. Army soldiers from the Alpha Battery, 2nd Air Defense Artillery Regiment, U.S. Navy sailors aboard the guided missile destroyer USS Decatur (DDG-73), and U.S. Air Force airmen from the 613th Air and Operations Center successfully conducted a complex missile defense flight test, resulting in the intercept of two medium-range ballistic missile targets. The flight test was planned more than a year ago, and is not in any way connected to events in the Middle East.

The test was conducted in the vicinity of the U.S. Army Kwajalein Atoll/Reagan Test Site and surrounding areas in the western Pacific. The test stressed the ability of the Aegis Ballistic Missile Defense (BMD) and Terminal High Altitude Area Defense (THAAD) weapon systems to function in a layered defense architecture and defeat a raid of two near-simultaneous ballistic missile targets.

The two medium-range ballistic missile targets were launched on operationally realistic trajectories towards a defended area near Kwajalein. Along with overhead space assets providing launch alerts, an Army-Navy/Transportable Radar Surveillance and Control (AN/TPY-2) radar in Forward Based Mode detected the targets and relayed track information to the Command, Control, Battle Management, and Communications (C2BMC) system for further transmission to defending BMDS assets.

The USS Decatur with its Aegis Weapon System detected and tracked the first target with its onboard AN/SPY-1 radar. The Aegis BMD weapon system developed a fire control

⁷⁶ Missile Defense Agency, "Aegis Ballistic Missile Defense System Completes Successful Intercept Flight Test," May 16, 2013 (13-News-0005). See also Mike McCarthy, "Aegis Missile Intercept Successful," *Defense Daily*, May 17, 2013: 7-8; and Amy Butler, "MDA Conducts Two Successful Flight Tests," *Aerospace Daily & Defense Report*, May 17, 2013: 3.

solution, launched a Standard Missile-3 (SM-3) Block IA missile, and successfully intercepted the target.

In a demonstration of BMDS layered defense capabilities, a second AN/TPY-2 radar in Terminal Mode, located with the THAAD weapon system, acquired and tracked the target missiles. THAAD developed a fire control solution, launched a THAAD interceptor missile, and successfully intercepted the second medium-range ballistic missile target. THAAD was operated by soldiers from the Alpha Battery, 2nd Air Defense Artillery Regiment. As a planned demonstration of THAAD's layered defense capabilities, a second THAAD interceptor was launched at the target destroyed by Aegis as a contingency in the event the SM-3 did not achieve an intercept.

Initial indications are that all components performed as designed. MDA officials will extensively assess and evaluate system performance based upon telemetry and other data obtained during the test.

The event, a designated Flight Test Operational-01 (FTO-01), demonstrated integrated, layered, regional missile defense capabilities to defeat a raid of two threat-representative medium-range ballistic missiles in a combined live-fire operational test. Soldiers, sailors, and airmen from multiple combatant commands operated the systems, and were provided a unique opportunity to refine operational doctrine and tactics while increasing confidence in the execution of integrated air and missile defense plans.⁷⁷

September 18, 2013, Test. MDA states that in this flight test,

The Missile Defense Agency (MDA), U.S. Pacific Command, and U.S. Navy sailors aboard the USS Lake Erie (CG 70) successfully conducted a flight test today of the Aegis Ballistic Missile Defense (BMD) system, resulting in the intercept of a complex separating short-range ballistic missile target over the Pacific Ocean by the Aegis BMD 4.0 Weapon System and a Standard Missile-3 (SM-3) Block IB guided missile.

At approximately 2:30 p.m. Hawaii Standard Time (8:30 p.m. EDT), a complex separating short-range ballistic missile target was launched from the Pacific Missile Range Facility on Kauai, Hawaii. The target flew northwest towards a broad ocean area of the Pacific Ocean. Following target launch, the USS Lake Erie detected and tracked the missile with its onboard AN/SPY-1 radar. The ship, equipped with the second-generation Aegis BMD weapon system, developed a fire control solution and launched two SM-3 Block IB guided missiles to engage the target. The first SM-3 that was launched successfully intercepted the target warhead. This was the first salvo mission of two SM-3 Block IB guided missiles launched against a single separating target.

Program officials will assess and evaluate system performance based upon telemetry and other data obtained during the test.

This test exercised the latest version of the second-generation Aegis BMD Weapon System, capable of engaging longer range and more sophisticated ballistic missiles. This was an operationally realistic test, in which the target's launch time and bearing are not known in advance, and the target complex was the most difficult target engaged to date.⁷⁸

⁷⁷ Missile Defense Agency, "Successful Missile Defense Test Against Multiple Targets," September 10, 2013 (13-News-0007). See also Megan Eckstein, "Aegis BMDS, THAAD Successful In Complex MDA Flight Test," *Defense Daily*, September 11, 2013: 1; and Amy Butler, "MDA Goes Two For Two In Operational Test," *Aerospace Daily & Defense Report*, September 11, 2013: 4.

⁷⁸ Missile Defense Agency, "Aegis Ballistic Missile Defense System Completes Successful Intercept Flight Test," September 18, 2013 (13-News-0008). See also Mike McCarthy, "Pentagon Succeeds At Sea-Based Missile Defense Test," *Defense Daily*, September 20, 2013: 1; Amy Butler, "Aegis Intercepts In First-Ever Salvo Test," *Aerospace Daily & Defense Report*, September 20, 2013: 3; and Jason Sherman and John Liang, "Missile Defense Agency's SM-3 Block IB Intercepts Target In Salvo Fire," *Inside the Navy*, September 23, 2013.

October 3, 2013, Test. MDA states that in this flight test,

The Missile Defense Agency (MDA), U.S. Pacific Command, and U.S. Navy sailors aboard the USS Lake Erie (CG 70) successfully conducted an operational flight test of the Aegis Ballistic Missile Defense (BMD) system, resulting in the intercept of a medium-range ballistic missile target over the Pacific Ocean by the Aegis BMD 4.0 Weapon System and a Standard Missile-3 (SM-3) Block IB guided missile.

At approximately 7:33 p.m. Hawaii Standard Time, Oct. 3 (1:33 a.m. EDT, Oct. 4), a medium-range ballistic missile target was launched from the Pacific Missile Range Facility on Kauai, Hawaii. The target flew northwest towards a broad ocean area of the Pacific Ocean. Following target launch, the USS Lake Erie detected and tracked the missile with its onboard AN/SPY-1 radar. The ship, equipped with the second-generation Aegis BMD weapon system, developed a fire control solution and launched the SM-3 Block IB guided missile to engage the target. The SM-3 maneuvered to a point in space and released its kinetic warhead. The kinetic warhead acquired the target reentry vehicle, diverted into its path, and, using only the force of a direct impact, engaged and destroyed the target.

Program officials will assess and evaluate system performance based upon telemetry and other data obtained during the test.

This test exercised the latest version of the second-generation Aegis BMD Weapon System, capable of engaging longer range and more sophisticated ballistic missiles.⁷⁹

November 6, 2014, Test. MDA states that in this flight test,

The Missile Defense Agency, U.S. Pacific Command, and U.S. Navy Sailors aboard the USS John Paul Jones (DDG 53) successfully conducted a flight test today of the Aegis Ballistic Missile Defense (BMD) system, resulting in three successful near-simultaneous target engagements over the Pacific Ocean by the Aegis Baseline (BL) 9.C1 (BMD 5.0 Capability Upgrade) Weapon System configured ship. One short-range ballistic missile target was intercepted by a Standard Missile-3 (SM-3) Block IB guided missile, while two low-flying cruise missile targets were engaged by Standard Missile-2 (SM-2) Block IIIA guided missiles near-simultaneously.

At approximately 12:03 p.m. (Hawaii Standard Time, 5:03 p.m. Eastern Standard Time) one short-range ballistic missile target and two cruise missile targets were launched from the Pacific Missile Range Facility (PMRF) on Kauai, Hawaii. Following the target launches, the USS John Paul Jones, in Integrated Air and Missile Defense (IAMD) Radar Priority Mode, detected and tracked the missiles with its onboard AN/SPY-1 radar.

The ship, equipped with the Aegis BMD weapon system, developed a fire control solution and launched one SM-3 Block IB guided missile to engage the ballistic missile target. The SM-3 missile maneuvered to a point in space and released its kinetic warhead. The kinetic warhead acquired the target's reentry vehicle, diverted into its path, and destroyed the target with the sheer energy and force of direct impact. The ship also launched two SM-2 Block IIIA guided missiles to successfully engage the cruise missile targets.

Program officials will evaluate system performance based upon telemetry and other data obtained during the test.

⁷⁹ Missile Defense Agency, "Aegis Ballistic Missile Defense System Completes Successful Intercept Flight Test," October 4, 2013 (13-News-0009). See also Michael Fabey, "Aegis Completes Another Intercept Test," *Aerospace Daily & Defense Report*, October 7, 2013: 2; Jason Sherman, "SM-3 Block IB Completes IOT&E With A Bang, Full-Rate Production Review," *Inside the Navy*, October 7, 2013; Mike McCarthy, "Aegis Missile Defense Test Scores Hit," *Defense Daily*, October 7, 2013: 4.

This test, designated Flight Test Standard Missile-25 (FTM-25), was the first live-fire event of the Aegis Weapon System in IAMD Radar Priority Mode, engaging a ballistic missile target and a raid of cruise missile targets.⁸⁰

June 25, 2015, Test. MDA's summary table of Aegis BMD flight tests⁸¹ shows this as a test that did not result in the launch of an SM-3. MDA as of August 3, 2015, had not issued a news release discussing this event. MDA's count of 31 successful intercepts in 37 launches through July 29, 2015, does not appear to include this test, suggesting that this was considered a "no test" event—a test in which there was a failure that was not related to the Aegis BMD system or the SM-3 interceptor. A June 26, 2015, news report states the following:

The U.S. Missile Defense Agency on Friday said a target malfunction caused it to abort a key intercept test of the Aegis Ashore missile defense system, built by Lockheed Martin Corp, that is due to be installed in Romania this year.

"Due to a target malfunction, the test wasn't conducted and an interceptor wasn't launched," said Rick Lehner, a spokesman for the U.S. Defense Department agency....

It was not immediately clear what caused the target to malfunction, or when the test would be rescheduled.⁸²

October 4, 2015, Test. MDA as of November 10, 2015, had not issued a news release discussing this event. MDA's count of 32 successful intercepts in 39 launches through November 1, 2015, does not appear to include this test, suggesting that this was considered a "no test" event—a test in which there was a failure that was not related to the Aegis BMD system or the SM-3 interceptor.

October 20, 2015, Test. Regarding this test, the Navy states the following:

USS Ross (DDG 71) successfully intercepted a ballistic missile in the North Atlantic Ocean during the Maritime Theater Missile Defense (MTMD) Forum's At Sea Demonstration (ASD) Oct. 20, 2015.

This is first time a Standard Missile-3 (SM-3) Block IA guided interceptor was fired on a non-U.S. range and the first intercept of a ballistic missile threat in the European theater.

For the scenario, a short-range Terrier Orion ballistic missile target was launched from Hebrides Range and was inflight simultaneously with two anti-ship cruise missiles fired at the coalition task group. Ross fired a SM-3 and successfully engaged the ballistic missile target in space. In its air defense role, USS The Sullivans (DDG 68) fired a SM-2, which is the first time a SM-2 was fired on the Hebrides Range....

"ASD-15 shows that with communication, collaboration and commitment nations can come together and flawlessly defend against a complex threat scenario." [said] Vice Adm. James Foggo, Commander, U.S. 6th Fleet....

ASD-15 is a U.K.-hosted, U.S.-facilitated, multi-national demonstration of coalition Integrated Air and Missile Defense capability....

⁸⁰ Missile Defense Agency, "Aegis Ballistic Missile Defense System Completes Successful Intercept Flight Test," November 6, 2014 (14-News-0012). See also Andrea Shalal, "U.S. Aegis System Zaps Cruise, Ballistic Missile Targets in Test," *Reuters* (www.reuters.com), November 6, 2014; Mike McCarthy, "Aegis BMD Hits Three Targets In Simultaneous Test," *Defense Daily*, November 10, 2014.

⁸¹ "Aegis Ballistic Missile Defense Test Firing Record," accessed August 3, 2015, at http://www.mda.mil/global/documents/pdf/aegis_tests.pdf. [The URL now begins with <https://>.]

⁸² Andrea Shalal, "U.S. Skips Aegis Ashore Missile Test After Target Malfunction," *Reuters*, June 26, 2015. See also "First Aegis Ashore Intercept Test Aborted. Does this Raise Issues for Planned 2015 Deployment Date for the Romanian Aegis Ashore Site?" *Mostly Missile Defense*, June 27, 2015.

There are a number of firsts associated with this event including:

- First intercept of a ballistic missile target in the European theater
- First SM-3 fired on a non-U.S. range
- The first firing of an SM-2 and SM-3 on the Hebrides Range, United Kingdom
- First use of multi-national beyond line of sight link architecture for IAMD purposes in the European theater
- First international ship (Netherlands and Spain) transmissions of BMD cues to a U.S. BMD guided missile destroyer
- First time coalition IAMD used in a scenario with simultaneous attack from anti-ship cruise and ballistic missiles.

This test demonstrates the commitment of the United States to the defense of Europe through our four Aegis ships forward deployed to Rota, Spain, and shore station in Romania.

The 10 MTMD Forum member nations are: Australia, Canada, France, Germany, Italy, The Netherlands, Norway, Spain, United Kingdom, and the United States.

Eight nations provided ships and aircraft for ASD-15 including Canada, France, Italy, The Netherlands, Norway, Spain, United Kingdom, and the United States with Germany providing personnel to augment the Forum's multi-national Combined Task Group staff.

The tactical data link used in ASD-15 covers over 5.7 million square miles.

USS Mount Whitney (LCC-20), flag ship for U.S. 6th Fleet, served as the viewing platform for officials representing participating coalition nations during ASD-15; delegates from seven MTMD Forum nations, Denmark, and Japan watched the missile intercept on a live video feed aboard the ship.

The Maritime Theater Missile Defense forum was established in 1999 as a co-operative body for participating navies to develop improved cooperation and promote interoperability in sea-based missile defense.⁸³

November 1, 2015, Test. Regarding this test, MDA states the following:

The U.S. Missile Defense Agency (MDA), Ballistic Missile Defense System (BMDS) Operational Test Agency, Joint Functional Component Command for Integrated Missile Defense, U.S. European Command, and U.S. Pacific Command conducted a complex operational flight test of the BMDS demonstrating a layered defense architecture.

The test, designated Flight Test Operational-02 Event 2a, was conducted in the vicinity of Wake Island and surrounding areas of the western Pacific Ocean. The test stressed the ability of Aegis Ballistic Missile Defense (BMD) and Terminal High Altitude Area Defense (THAAD) weapon systems to negate two ballistic missile threats while Aegis BMD simultaneously conducted an anti-air warfare operation.

This was a highly complex operational test of the BMDS which required all elements to work together in an integrated layered defense design to detect, track, discriminate, engage, and negate the ballistic missile threats.

BMDS assets included: a THAAD battery consisting of a THAAD Fire Control and Communications (TFCC) unit, THAAD launcher, and an Army Navy/Transportable Radar Surveillance and Control Model 2 (AN/TPY-2) radar in terminal mode; a second

⁸³ U.S. Naval Forces Europe-Africa/U.S. 6th Fleet Public Affairs, "USS Ross Successfully Intercepts Ballistic Missile Target During Coalition Test," *Navy News*, October 20, 2015.

AN/TPY-2 radar in forward-based mode; Command, Control, Battle Management and Communications (C2BMC); and the USS JOHN PAUL JONES (DDG-53) Aegis BMD-configured ship with its onboard AN/SPY-1 radar.

At approximately 11:05 pm EDT (October 31), a Short Range Air Launch Target (SRALT) was launched by a U.S. Air Force C-17 aircraft southeast of Wake Island. The THAAD AN/TPY-2 radar in terminal mode detected the target and relayed track information to the TFCC to develop a fire control solution and provide track information for use by other defending BMDS assets. The THAAD weapon system developed a fire control solution, launched a THAAD interceptor missile, and successfully intercepted the SRALT target.

While THAAD was engaging the SRALT, an extended Medium Range Ballistic Missile (eMRBM) was air-launched by another Air Force C-17. The eMRBM target was detected and tracked by multiple BMDS assets including the AN/TPY-2 in forward-based mode, and the USS JOHN PAUL JONES with its AN/SPY-1 radar. Shortly after eMRBM launch, a BQM-74E air-breathing target was also launched and tracked by the USS JOHN PAUL JONES.

As a demonstration of layered defense capabilities, both Aegis BMD and THAAD launched interceptors to engage the eMRBM. The USS JOHN PAUL JONES successfully launched a Standard Missile-3 (SM-3) Block IB Threat Upgrade guided missile, but an anomaly early in its flight prevented a midcourse intercept. However, the THAAD interceptor, in its terminal defense role, acquired and successfully intercepted the target. Concurrently, Aegis BMD successfully engaged the BQM-74E air-breathing target with a Standard Missile-2 Block IIIA guided missile. A failure review is currently underway to investigate the SM-3 anomaly.

Several other missile defense assets observed the launches and gathered data for future analysis. Participants included the Command, Control, Battle Management, and Communications (C2BMC) Experimental Lab (X-Lab), C2BMC Enterprise Sensors Laboratory (ESL), and the Space Tracking and Surveillance System-Demonstrators (STSS-D).

The MDA will use test results to improve and enhance the BMDS.⁸⁴

December 10, 2015, Test. Regarding this test, MDA states the following:

The Missile Defense Agency (MDA) and the Ballistic Missile Defense System (BMDS) Operational Test Agency, in conjunction with U.S. Pacific Command, U.S. European Command, and Joint Functional Component Command for Integrated Missile Defense, successfully conducted the first intercept flight test today (December 9, Hawaii Standard Time) of a land-based Aegis Ballistic Missile Defense (BMD) weapon system and Standard Missile (SM)-3 Block IB Threat Upgrade guided missile, launched from the Aegis Ashore Missile Defense Test Complex at the Pacific Missile Range Facility (PMRF), Kauai, Hawaii.

During the test, a target representing a medium-range ballistic missile was air-launched from a U.S. Air Force C-17 aircraft over the broad ocean area southwest of Hawaii. An AN/TPY-2 radar in Forward Based Mode, located at PMRF, detected the target and relayed target track information to the Command, Control, Battle Management, and Communication (C2BMC) system. The Aegis Weapon System at the Aegis Ashore site received track data from C2BMC and used its component AN/SPY-1 radar to acquire, track, and develop a fire control solution to engage the target. The Aegis Weapon System

⁸⁴ Missile Defense Agency, “Ballistic Missile Defense System Demonstrates Layered Defense While Conducting Multiple Engagements in Operational Test,” November 1, 2015 (15-NEWS-0008).

then launched the SM-3 Block IB Threat Upgrade guided missile from its Vertical Launch System. The SM-3's kinetic warhead acquired the target reentry vehicle, diverted into its path, and destroyed the target using the kinetic force of a direct impact.

The primary purpose of the test, designated Flight Test Operational-02 Event 1a, was to assess the operational effectiveness of the Aegis Ashore capability as part of a larger BMDS architecture. Aegis Ashore uses a nearly identical configuration of the Vertical Launch System, fire control system, and SPY-1 radar currently in use aboard Aegis BMD cruisers and destroyers deployed at sea around the world.

Vice Admiral James D. Syring, MDA Director, said, "Today's test demonstrated that the same Aegis Ballistic Missile Defense capability that has been fielded at sea and operational for years, will soon be operational ashore as part of the European Phased Adaptive Approach (EPAA) Phase 2 capability in Romania. I am very proud of the tremendous effort by the entire government/industry team in executing this vitally important mission for our Nation and our allies."⁸⁵

February 3, 2017, Test. Regarding the intercept of February 3, 2017, MDA states the following:

The U.S. Missile Defense Agency (MDA), the Japan Ministry of Defense (MoD), and U.S. Navy sailors aboard USS John Paul Jones (DDG 53) successfully conducted a flight test Feb. 3 (Hawaii Standard Time), resulting in the first intercept of a ballistic missile target using the Standard Missile-3 (SM-3) Block IIA off the west coast of Hawaii....

At approximately 10:30 p.m., Hawaii Standard Time, Feb. 3 (3:30 a.m. Eastern Daylight Time, Feb. 4) a medium-range ballistic missile target was launched from the Pacific Missile Range Facility at Kauai, Hawaii. John Paul Jones detected and tracked the target missile with its onboard AN/SPY-1D(V) radar using the Aegis Baseline 9.C2 weapon system. Upon acquiring and tracking the target, the ship launched an SM-3 Block IIA guided missile which intercepted the target.

"Today's test demonstrates a critical milestone in the cooperative development of the SM-3 Block IIA missile," said MDA Director Vice Adm. Jim Syring. "The missile, developed jointly by a Japanese and U.S. government and industry team, is vitally important to both our nations and will ultimately improve our ability to defend against increasing ballistic missile threats around the world."

Based on preliminary data the test met its primary objective. Program officials will continue to evaluate system performance based upon telemetry and other data obtained during the test.

The flight test, designated SM-3 Block IIA Cooperative Development (SCD) Project Flight Test, Standard Missile (SFTM)-01, was the third flight test of the SM-3 Block IIA guided missile, and the first intercept test. This test also marks the first time an SM-3 IIA was launched from an Aegis ship and the first intercept engagement using the Aegis Baseline 9.C2 (BMD 5.1) weapon system.⁸⁶

June 21, 2017, Test. Regarding the intercept test of June 21, 2017, MDA states the following:

The U.S. Missile Defense Agency and the Japan Ministry of Defense conducted a development flight test today of a new Standard Missile-3 (SM-3) Block IIA missile off the coast of Hawaii.

A planned intercept was not achieved....

⁸⁵ Missile Defense Agency, "Standard Missile Completes First Intercept Test from Aegis Ashore Test Site," December 10, 2015 (15-NEWS-0011).

⁸⁶ Missile Defense Agency, "U.S., Japan Successfully Conduct First SM-3 Block IIA Intercept Test," February 3, 2017 (17-NEWS-0002).

At approximately 7:20 p.m., Hawaii Standard Time, June 21 (1:20 am Eastern Daylight Time, June 22), a medium-range ballistic target missile was launched from the Pacific Missile Range Facility at Kauai, Hawaii. The USS John Paul Jones (DDG 53) detected and tracked the target missile with its onboard AN/SPY-1 radar using the Aegis Baseline 9.C2 weapon system. Upon acquiring and tracking the target, the ship launched an SM-3 Block IIA guided missile, but the missile did not intercept the target.

Program officials will conduct an extensive analysis of the test data. Until that review is complete, no additional details will be available.⁸⁷

A July 24, 2017, press report stated the following:

A U.S. Missile Defense Agency review of a failed ballistic missile intercept test showed that a mistaken input into the combat system by a sailor on the destroyer John Paul Jones caused the missile to self-destruct before reaching the target.

A tactical datalink controller, in charge of maintaining encrypted data exchanges between ships and aircraft, accidentally identified the incoming ballistic missile target as a friendly in the system, causing the SM-3 missile to self-destruct in flight, according to a source familiar with the test.

The head of MDA did not comment on the sailor error, but said in a statement that the ongoing review confirmed it wasn't an issue with the SM-3 Block IIA missile or the Navy's Aegis combat system.

"Though the review is still in process, the SM-3 IIA interceptor and Aegis Combat System have been eliminated as the potential root cause," of the failure, said Air Force Lt. Gen. Sam Greaves, the director of MDA.

"We are conducting an extensive review as part of our standard engineering and test processes, and it would be inappropriate to comment further until we complete the investigation."⁸⁸

October 15, 2017, Test. Regarding the intercept test of October 15, 2017, MDA states the following:

Ships from Canada, France, Germany, Italy, the Netherlands, Spain, the United Kingdom, and the United States participated in a live-fire integrated air and missile defense (IAMD) scenario, defending against a ballistic missile target as well as three anti-ship cruise missiles Oct. 15 as part of exercise Formidable Shield 2017 (FS17). Naval Striking and Support Forces NATO (STRIKFORNATO) is conducting Formidable Shield on behalf of the U.S. 6th Fleet. The U.S. Missile Defense Agency is also a major participant in this exercise.

During the collective self-defense scenario, the Arleigh Burke-class guided-missile destroyer USS Donald Cook (DDG 75) successfully detected, tracked and intercepted a medium-range ballistic missile target with a Standard Missile-3 Block IB guided missile. Simultaneously, the Spanish frigate SPS Alvaro de Bazan (F101) fired an Evolved SeaSparrow Missile (ESSM) against an incoming anti-ship cruise missile while the Netherlands frigate HNLMS Tromp (F803) fired ESSMs against a pair of incoming anti-ship cruise missiles. This was the first time NATO's smart defense concept was demonstrated with ships serving as air defense units protecting naval ballistic missile defense units.

⁸⁷ Missile Defense Agency, "Aegis Missile Defense Test Conducted," June 21, 2017 (17-NEWS-0006).

⁸⁸ David B. Larter, "Sailor Error Led to Failed US Navy Ballistic Missile Intercept Test," *Defense News*, July 24, 2017.

Following that event, the U.S. Missile Defense Agency and U.S. Navy sailors aboard USS McFaul (DDG 74) successfully test fired a Standard Missile-6 (SM-6). That flight test, designated Standard Missile Controlled Test Vehicle (SM CTV)-03, demonstrated the successful performance of an SM-6 launched from an Aegis Ballistic Missile Defense capable DDG and was conducted as part of the system's flight certification process. The SM-6 test was not part of the Formidable Shield exercise, but was conducted in coordination with that event to leverage the available range assets....

Formidable Shield is designed to improve allied interoperability in an IAMD environment, using NATO command-and-control reporting structures and datalink architecture. FS17 is the inaugural iteration of this exercise....

More than 14 ships, 10 aircraft, and approximately 3,300 personnel from Belgium, Canada, Denmark, France, Germany, Italy, the Netherlands, Spain, the U.K., and the U.S., are participating in FS17 on the U.K. Ministry of Defense's Hebrides Range located on the Western Isles of Scotland....

U.S. ships participating in Formidable Shield include the Arleigh Burke-class guided-missile destroyers Donald Cook, USS Mitscher (DDG 57), USS Winston S. Churchill (DDG 81), and the Louis and Clark-class dry cargo ship USNS Medger Evers (T-AKE 13).

Formidable Shield 2017 began Sept. 24, and is scheduled to conclude Oct. 18, 2017. This exercise is planned to be a recurring, biennial event, and is designed to assure allies, deter adversaries, and demonstrate our commitment to collective defense of the NATO alliance. Formidable Shield and exercise Joint Warrior 17-2, a U.K.-led, multinational exercise in a maritime training environment for allies to improve interoperability and prepare forces for combined operations, are occurring concurrently.⁸⁹

Details on Selected Endo-Atmospheric (SM-2 Block IV and SM-6) Flight Tests Since July 2015

May 24, 2006, Test. Regarding the intercept of May 24, 2006, MDA states the following:

The U.S. Navy, in cooperation with the Missile Defense Agency, today successfully conducted a ballistic missile defense demonstration involving the intercept of a target missile in the terminal phase (the last few seconds) of flight. The test involved an Aegis cruiser modified to detect, control and engage a ballistic missile target with a modified Standard Missile - 2 (SM-2) Block IV. The Pearl Harbor-based Aegis cruiser USS Lake Erie (CG 70) conducted the mission against a short-range target missile launched from the Pacific Missile Range Facility, Barking Sands, Kauai, Hawaii. It was the first sea-based intercept of a ballistic missile in its terminal phase.

The modified Aegis Weapon System and the modified SM-2 Block IV provided the firing ship the capability to guide the missile to achieve either; 1) a direct body to body hit between the interceptor and the threat or, 2) a near-direct hit where the high pressure, heat and fragments are placed on the threat by a blast fragmentation warhead. This warhead is similar in concept to that used in the deployed Israeli Arrow system. In today's test, the threat missile was completely destroyed by the combined effects of these two mechanisms.

⁸⁹ Missile Defense Agency, "Formidable Shield 2017: Ship Engages BMD Target During NATO Exercise, MDA and Navy Conduct SM-6 Test Launch," October 15, 2017 (17-NEWS-0010).

“This is another example of the ongoing cooperative spirit between the Navy and the Missile Defense Agency,” said Rear Admiral Barry McCullough, Director, Surface Warfare, on the staff of the Chief of Naval Operations.

“We believe it is an important step towards the desired end-state of a robust sea-based terminal ballistic missile defense capability,” McCullough added, “and it begins to meet an immediate near-term concern of our Combatant Commanders.” “The only terminal phase program we currently have that is operational is the Patriot Advanced Capability 3 (PAC-3),” he added, “and considerations to put those aboard ships are still under review.”

There is currently no sea-based terminal ballistic missile defense capability. The Navy Area Theater Ballistic Missile Defense (TBMD) Program, had been under development, but was terminated in December 2001. In ballistic missile defense, the modified Aegis Weapon System, with a modified SM-2 Block IV missile provides a near term, limited emergency capability against a very specific segment of the ballistic missile threat. The Navy and MDA consider it vital to develop a more robust capability for terminal ballistic missile defense of the joint sea base and friendly force embarkation points ashore.

“There is a significant number of SM-2 Block IV missiles available, which may be modified and deployed on Navy ships modified to perform a BMD mission,” said Air Force Lieutenant General Henry “Trey” Obering, Missile Defense Agency director. “While talking with the Navy and the Combatant Commanders, on how and when, we might be able to make that happen,” Lieutenant General Obering added, “MDA will continue to improve its development of the midcourse Aegis sea-based ballistic missile defense capability, which utilizes the Standard Missile – 3 (SM-3), and has successfully achieved 6 intercepts in 7 flight tests.”⁹⁰

June 5, 2008, Test. Regarding the intercept of June 5, 2008, MDA states the following:

Air Force Lieutenant General Henry “Trey” Obering III, Missile Defense Agency (MDA) director, announced the successful completion of the latest flight test of the sea-based Aegis Ballistic Missile Defense (BMD) element, conducted jointly with the U.S. Navy off the coast of Kauai, Hawaii. The event, designated as Flight Test Maritime-14 (FTM-14), marked the fourteenth overall successful intercept, in sixteen attempts, for the Aegis BMD program and the second successful intercept of a terminal phase (last few seconds of flight) target by a modified Standard Missile - 2 Block IV (SM-2 Blk IV) interceptor. The mission was completed by the cruiser USS Lake Erie (CG 70), using the tactically - certified Aegis BMD shipboard weapon system, modified for a terminal capability, and the modified SM-2 Blk IV. This is the 35th successful terminal and midcourse defense intercept in 43 tests since 2001.

Aegis BMD is the sea-based mid-course component of the MDA’s Ballistic Missile Defense System (BMDS) and is designed to intercept and destroy short to intermediate-range ballistic missile threats. In 2006, the program’s role was expanded to include a sea-based terminal defense effort, using a modified version of the SM-2 Blk IV. Unlike other missile defense technologies now deployed or in development, the SM-2 Blk IV does not use “hit to kill” technology (directly colliding with the target) to destroy the target missile. Rather, it uses a blast fragmentation device that explodes in direct proximity to the target to complete the intercept and destroy the target.

⁹⁰ Missile Defense Agency, “First at-Sea Demonstration of Sea-Based Terminal Capability Successfully Completed,” May 24, 2006 (06-FYI-0079). See also Gregg K. Kakesako, “Missile Defense System Makes History,” *Honolulu Star-Bulletin*, May 25, 2006; Audrey McAvoy, “Ship Shoots Down Test Missile For The First Time,” *NavyTimes.com*, May 25, 2006; “Navy, MDA Announce First Terminal Sea-Based Intercept,” *Aerospace Daily & Defense Report*, May 26, 2006; Zachary M. Peterson, “Navy Conducts First Sea-Based Terminal Phase Missile Defense Test,” *Inside the Navy*, May 29, 2006; and Jeremy Singer, “Sea-Based Terminal May Boost U.S. Missile Defense Capability,” *Space News*, June 12, 2006.

At 8:13 a.m. Hawaii Standard Time (2:13 p.m. Eastern Daylight Time) a short range target was launched from a mobile launch platform 300 miles west of the Pacific Missile Range Facility (PMRF), Barking Sands, Kauai, Hawaii. Moments later, the USS Lake Erie's Aegis BMD Weapon System detected and tracked the target and developed fire control solutions.

Approximately four minutes later, the USS Lake Erie's crew fired two SM-2 Blk IV missiles, and two minutes later they successfully intercepted the target inside the earth's atmosphere, about 12 miles above the Pacific Ocean and about 100 miles west-northwest of Kauai.

FTM-14 test objectives included evaluation of: the BMDS ability to intercept and kill a short range ballistic missile target with the Aegis BMD, modified with the terminal mission capability; the modified SM-2 Blk IV missile using SPY-1 cue; and system-level integration of the BMDS.⁹¹

March 26, 2009, Test. Regarding the intercept of March 26, 2009, the Navy states the following:

Commander, U.S. 3rd Fleet, Vice Adm. Samuel J. Locklear announced the completion of the fleet operational exercise, Stellar Daggers, March 26.

The scheduled event took place March 24 and 26. Command and control of the participants in Stellar Daggers resided with U.S. 3rd Fleet based in San Diego.

San Diego-based Aegis destroyer, USS Benfold (DDG 65) engaged multiple targets during this multi-event exercise with Standard Missile-2 (SM-2) Block IIIA and modified SM-2 BLK IV missiles. The overall objective of

Stellar Daggers was to test the Aegis system's sea-based ability to simultaneously detect, track, engage and destroy multiple incoming air and ballistic missile threats during terminal or final phase of flight.

During the event, Benfold's Aegis Weapons System successfully detected and intercepted a cruise missile target with a SM-2 BLK IIIA, while simultaneously detecting and intercepting an incoming short range ballistic missile (SRBM) target with a modified SM-2 BLK IV. This is the first time the fleet has successfully tested the Aegis system's ability to intercept both an SRBM in terminal phase and a low-altitude cruise missile target at the same time.⁹²

July 28-29, 2015, Test. Regarding the intercepts of July 28 and 29, 2015, MDA states the following:

The Missile Defense Agency (MDA), U.S. Pacific Command, and U.S. Navy Sailors aboard the USS John Paul Jones (DDG 53) successfully conducted a series of four flight test events exercising the Aegis Ballistic Missile Defense (BMD) element of the nation's Ballistic Missile Defense System (BMDS). The flight test, designated Multi-Mission Warfare (MMW) Events 1 through 4, demonstrated successful intercepts of short-range ballistic missile and cruise missile targets by the USS John Paul Jones, configured with Aegis Baseline 9.C1 (BMD 5.0 Capability Upgrade) and using Standard Missile (SM)-6 Dual I and SM-2 Block IV missiles. All flight test events were conducted at the Pacific Missile Range Facility (PMRF), Kauai, Hawaii.

MDA Director Vice Adm. James D. Syring said, "This important test campaign not only demonstrated an additional terminal defense layer of the BMDS, it also proved the

⁹¹ Missile Defense Agency, "Successful Sea-Based Missile Defense Intercept," June 5, 2008 (08-NEWS-0068). See also Dave Ahearn, "Aegis, SM-2 Interceptors Kill Target Missile In Terminal-Phase Success," *Defense Daily*, June 6, 2008.

⁹² "Navy Completes Air and Ballistic Missile Exercise," *Navy News Service*, March 26, 2009.

robustness of the multi-use SM-6 missile on-board a Navy destroyer, further reinforcing the dynamic capability of the Aegis Baseline 9 weapon system.”

Event 1

On July 28, at approximately 10:30 p.m. Hawaii Standard Time (July 29, 4:30 a.m. Eastern Daylight Time), a short-range ballistic missile (SRBM) target was launched from PMRF in a northwesterly trajectory. The USS John Paul Jones, positioned west of Hawaii, detected, tracked, and launched a SM-6 Dual I missile, resulting in a successful target intercept.

Event 2

On July 29, at approximately 8:15 p.m. Hawaii Standard Time (July 30, 2:15 a.m. Eastern Daylight Time), a short-range ballistic missile (SRBM) target was launched from PMRF in a northwesterly trajectory. The USS John Paul Jones detected, tracked, and launched a SM-2 Block IV missile, resulting in a successful target intercept.

Event 3

On July 31, at approximately 2:30 p.m. Hawaii Standard Time, (8:30 p.m. Eastern Daylight Time) an AQM-37C cruise missile target was air-launched to replicate an air-warfare threat. The USS John Paul Jones detected, tracked, and successfully engaged the target using an SM-6 Dual I missile.

Event 4

On August 1, at approximately 3:45 p.m. Hawaii Standard Time, (9:45 p.m. Eastern Standard Time), a BQM-74E cruise missile target was launched from PMRF. The USS John Paul Jones detected, tracked, and successfully engaged the target using an SM-6 Dual I missile. The SM-6’s proximity-fuze warhead was programmed not to detonate after reaching the lethal distance from the target, thus providing the ability to recover and reuse the BQM-74E target....

MMW Event 1 was the first live fire event of the SM-6 Dual I missile.

MMW Events 1 and 2 were the 30th and 31st successful ballistic missile defense intercepts in 37 flight test attempts for the Aegis BMD program since flight testing began in 2002.⁹³

December 14, 2016, Test. Regarding the intercept of December 14, 2016, MDA states the following:

The Missile Defense Agency and sailors aboard USS John Paul Jones (DDG 53), an Aegis baseline 9.C1 equipped destroyer, today successfully fired a salvo of two SM-6 Dual I missiles against a complex medium-range ballistic missile target, demonstrating the Sea Based Terminal endo-atmospheric defensive capability and meeting the test’s primary objective.

The test was conducted off the coast of Hawaii just after midnight on Dec. 14.

“This test demonstrated the capabilities MDA and the Navy are delivering to our fleet commanders,” said MDA Director Vice Adm. Jim Syring. “The SM-6 missile and the Aegis Weapon System continue to prove that they are critical components of our nation’s multilayered, robust ballistic missile defense system.”...

Program officials will continue evaluating system performance based upon telemetry and other data obtained during the test.⁹⁴

⁹³ Missile Defense Agency, “Aegis Ballistic Missile Defense System Completes Successful Series of Intercept Flight Test Events,” August 3, 2015 (15-NEWS-0007).

A December 16, 2016, press report states the following:

The Missile Defense Agency (MDA) said its new Sea Based Terminal (SBT) system achieved its second ballistic missile intercept during a Dec. 14 test over the Pacific Ocean.

During the test, the USS John Paul Jones (DDG-53)... fired a salvo of two Raytheon [RTN] Standard Missile-6 (SM-6) interceptors in immediate succession against a medium-range ballistic missile target launched from the Pacific Missile Range Facility on Kauai, Hawaii. The first interceptor was not armed and was designed to collect test data, MDA said. The second interceptor, which carried an explosive warhead, intercepted the Lockheed Martin-built target....

MDA called the target “complex” but declined to elaborate. However, according to the Missile Defense Advocacy Alliance, the target emulated China’s Dong-Feng 21 (DF-21), a ballistic missile equipped with a maneuverable re-entry vehicle and designed to destroy U.S., aircraft carriers.

The event, designated Flight Test Standard Missile-27 (FTM-27), was SBT’s first salvo test and its second intercept in as many tries.⁹⁵

A March 15, 2017, press report quoted Mike Campisi, Raytheon’s SM-6 senior director, as stating the following: “We had two missiles in the air and we wanted to make sure that we were in fact pulling in on the target and looking at target versus looking at the other missile that’s in the air. Simulations all said the missile would never look at the other missile in the air however, but it’s nice to prove that.”⁹⁶

August 29, 2017, Test. Regarding the intercept of August 29, 2017, MDA states the following:

The Missile Defense Agency and U.S. Navy sailors aboard the USS John Paul Jones (DDG 53) successfully conducted a complex missile defense flight test, resulting in the intercept of a medium-range ballistic missile (MRBM) target using Standard Missile-6 (SM-6) guided missiles during a test off the coast of Hawaii today [August 29].

John Paul Jones detected and tracked a target missile launched from the Pacific Missile Range Facility on Kauai, Hawaii with its onboard AN/SPY-1 radar, and onboard SM-6 missiles executed the intercept.

“We are working closely with the fleet to develop this important new capability, and this was a key milestone in giving our Aegis BMD ships an enhanced capability to defeat ballistic missiles in their terminal phase,” said MDA Director Lt. Gen. Sam Greaves. “We will continue developing ballistic missile defense technologies to stay ahead of the threat as it evolves.”

This test, designated Flight Test Standard Missile-27 Event 2 (FTM-27 E2), marks the second time that an SM-6 missile has successfully intercepted a medium-range ballistic missile target.⁹⁷

(...continued)

⁹⁴ Missile Defense Agency, “MDA Conducts SM-6 MRBM Intercept Test,” December 14, 2016 (16-NEWS-0012).

⁹⁵ Marc Selinger, “Missile Defense Agency Scores Second Intercept With Sea Based Terminal System,” *Defense Daily*, December 16, 2016: 3-4.

⁹⁶ Kris Osborn, “Breakthrough - Missile Defense Agency Fires 2 SM-6 Interceptors at Once - Testing New Seeker Technology,” *Scout Military*, March 15, 2017.

⁹⁷ Missile Defense Agency, “Aegis BMD System Intercepts Target Missile,” August 29, 2017 (17-NEWS-0009).

Appendix B. Homeporting of U.S. Navy Aegis BMD Ships at Rota, Spain

This appendix presents additional background information on the homeporting of four BMD-capable Aegis destroyers at Rota, Spain.

As part of the October 5, 2011, U.S.-Spain joint announcement of the plan, the Prime Minister of Spain, Jose Luis Rodriguez Zapatero, stated in part:

This meeting marks a step forward on the path that we set for ourselves less than a year ago at the Lisbon Summit, aiming to make NATO an Alliance that is “more effective, engaged and efficient than ever before”, in the words of [NATO] Secretary-General Rasmussen.

At that historic Summit, decisions of enormous importance for the future of the Alliance were taken, such as the New Strategic Concept to face the new challenges of the 21st century, and the establishment of a new command structure that is leaner and more flexible, and improved.

Besides these two important innovations, and as a consequence of them, the allies decided to develop an Anti-Missile Defence System....

As you will recall, as a consequence of this new structure launched in Lisbon, Spain obtained an installation of great importance within NATO’s Command and Control Structure: the Combined Air Operations Centre (CAOC) in Torrejón de Ardoz, Spain.

This Centre, together with the Centre in Uedem, Germany, will form part of the air command and control system which is to include the anti-missile defence that the Alliance is going to implement.

Together with this land-based component of the new air defence system, I can inform you that Spain is also going to support, starting in 2013, an important part of the system’s naval element.

In recent months, the different options have been studied, and finally, it was decided that Spain should be the site for this component of the system, due to its geostrategic location and its position as gateway to the Mediterranean.

Specifically, the United States is going to deploy, as its contribution to NATO’s Anti-Missile Defence System, a total of four vessels equipped with the AEGIS system, to be based in Rota.

This means that Rota is going to become a support centre for vessel deployment, enabling them to join multinational forces or carry out NATO missions in international waters, particularly in the Mediterranean....

Moreover, this initiative will have a positive impact, in socio-economic terms, on our country, and most especially on the Bay of Cadiz.

Permanently basing four vessels in Rota will require investing in the Base’s infrastructure, and contracts with service providers, thus generating approximately a thousand new jobs, both directly and indirectly.

For the shipyards, and for Spain’s defence industry, the foreseeable impact will also be highly positive, as the USA is considering conducting the vessels’ maintenance and

upkeep at the nearby San Fernando shipyards, in the province of Cadiz. In addition, there will be significant transfer of state-of-the-art technology, from which Spain can benefit.⁹⁸

As part of the same joint announcement, Secretary of Defense Leon Panetta stated in part:

With four Aegis ships at Rota, the alliance is significantly boosting combined naval capabilities in the Mediterranean, and enhancing our ability to ensure the security of this vital region. This relocation of assets takes place as part of the United States' ongoing effort to better position forces and defensive capabilities in coordination with our European allies and partners.

This announcement should send a very strong signal that the United States is continuing to invest in this alliance, and that we are committed to our defense relationship with Europe even as we face growing budget constraints at home....

Alongside important agreements that were recently concluded with Romania, Poland, and Turkey, Spain's decision represents a critical step in implementing the European Phased Adaptive Approach, as our leaders agreed to in Lisbon....

Beyond missile defense, the Aegis destroyers will perform a variety of other important missions, including participating in the Standing NATO Maritime Groups, as well as joining in naval exercises, port visits, and maritime security cooperation activities....

The agreement also enables the United States to provide rapid and responsive support to the U.S. Africa and U.S. Central Commands, as needed.⁹⁹

An October 5, 2011, press report stated the following:

A senior U.S. defense official said making the [ships'] base at Rota, on Spain's southwestern Atlantic coast near Cadiz, would reduce the numbers of [BMD-capable Aegis] ships needed for the [EPAA] system.

"You [would] probably need 10 of these ships if they were based in the eastern U.S. to be able to ... transit across the ocean back and forth to [keep the same number on] patrol in the Med," he said.

The U.S. official said the United States was committed to having at least one ship on station at all times in the eastern Mediterranean, where their anti-missile missiles would be most effective. Having them based in Rota would enable more than one to be in the eastern Mediterranean as needed.

The ships also would be part of the pool of vessels available to participate in standing NATO maritime groups, which are used to counter piracy and for other missions, he said.¹⁰⁰

An October 10, 2011, press report stated the following:

"Our plan is to have the first couple [of ships] there in 2014 and the next two in about 2015," said Cmdr. Marc Boyd, spokesman for [U.S. Navy] 6th Fleet. Boyd added: "It's

⁹⁸ "Announcement on missile defence cooperation by NATO Secretary General Anders Fogh Rasmussen, the Prime Minister of Spain, Jose Luis Rodriguez Zapatero and US Defense Secretary Leon Panetta," October 5, 2011, accessed October 6, 2011, at http://www.nato.int/cps/en/SID-107ADE55-FF83A6B8/natolive/opinions_78838.htm.

⁹⁹ "Announcement on missile defence cooperation by NATO Secretary General Anders Fogh Rasmussen, the Prime Minister of Spain, Jose Luis Rodriguez Zapatero and US Defense Secretary Leon Panetta," October 5, 2011, accessed October 6, 2011, at http://www.nato.int/cps/en/SID-107ADE55-FF83A6B8/natolive/opinions_78838.htm. See also "SECDEF Announces Stationing of Aegis Ships at Rota, Spain," accessed October 6, 2011, at http://www.navy.mil/search/display.asp?story_id=63109.

¹⁰⁰ David Brunnstrom and David Alexander, "Spain To Host U.S. Missile Defense Ships," *Reuters*, October 5, 2011. Ellipsis as in original.

really early in the process and we haven't selected any of the ships yet." Boyd said the shift will bring an estimated 1,300 sailors and Navy civilians and 2,100 dependents to Naval Station Rota, which would double the base's ranks. Naval Station Rota spokesman Lt. j.g. Jason Fischer said the base now has 1,067 sailors....

The three piers at the base primarily support Navy ships passing through on port calls.

Boyd said 6th Fleet is considering plans to add base infrastructure and maintenance facilities to support the ships, as well as additional housing for crews, "but the base is pretty suited as it is now."¹⁰¹

¹⁰¹ Sam Fellman, "U.S. To Base Anti-Missile Ships in Spain," *Defense News*, October 10, 2011: 76.

Appendix C. Allied Participation and Interest in Aegis BMD Program

This appendix presents additional background information on the homeporting of four BMD-capable Aegis destroyers at Rota, Spain.

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This Centre, together with the Centre in Uedem, Germany, will form part of the air command and control system which is to include the anti-missile defence that the Alliance is going to implement.

Together with this land-based component of the new air defence system, I can inform you that Spain is also going to support, starting in 2013, an important part of the system’s naval element.

In recent months, the different options have been studied, and finally, it was decided that Spain should be the site for this component of the system, due to its geostrategic location and its position as gateway to the Mediterranean.

Specifically, the United States is going to deploy, as its contribution to NATO’s Anti-Missile Defence System, a total of four vessels equipped with the AEGIS system, to be based in Rota.

This means that Rota is going to become a support centre for vessel deployment, enabling them to join multinational forces or carry out NATO missions in international waters, particularly in the Mediterranean....

Moreover, this initiative will have a positive impact, in socio-economic terms, on our country, and most especially on the Bay of Cadiz.

Permanently basing four vessels in Rota will require investing in the Base’s infrastructure, and contracts with service providers, thus generating approximately a thousand new jobs, both directly and indirectly.

For the shipyards, and for Spain’s defence industry, the foreseeable impact will also be highly positive, as the USA is considering conducting the vessels’ maintenance and upkeep at the nearby San Fernando shipyards, in the province of Cadiz. In addition, there

will be significant transfer of state-of-the-art technology, from which Spain can benefit.¹⁰²

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¹⁰⁵ Sam Fellman, "U.S. To Base Anti-Missile Ships in Spain," *Defense News*, October 10, 2011: 76.

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