



DEPARTMENT OF THE NAVY  
OFFICE OF THE CHIEF OF NAVAL OPERATIONS  
2000 NAVY PENTAGON  
WASHINGTON, DC 20350-2000

IN REPLY REFER TO

OPNAVINST 3721.5K  
N885F  
11 Feb 00

OPNAV INSTRUCTION 3721.5K

From: Chief of Naval Operations

Subj: NAVAL AIR TRAFFIC CONTROL, AIR NAVIGATION AIDS AND LANDING  
SYSTEMS (NAALS) PROGRAM

Ref: (a) NAVAIR 00-80T-114 (NOTAL)  
(b) OPNAVINST 1000.16J  
(c) OPNAVINST 3722.35  
(d) OPNAVINST 4790.4C (NOTAL)  
(e) OPNAVINST 4441.13 (NOTAL)  
(f) OPNAVINST 11000.16A (NOTAL)  
(g) NWP 1-03.1 (NOTAL)

Encl: (1) Air Traffic Control (ATC) Operational Advisory Group (OAG) Charter  
(2) NAALS Operational Capability Improvement Request (OCIR) Format

1. Purpose. To establish policy and provide guidance for planning, programming, budgeting, and management of naval air traffic control, air navigation aids and landing systems' assets. This document has been revised extensively and should be read in its entirety.

2. Cancellation. OPNAVINST 3721.5J.

3. Scope. The concepts, responsibilities, and procedures cited in this instruction are used to ensure fiscal resources are strategically apportioned to support the provision of safe, orderly, and expeditious ATC and related services and to allow for cradle to grave equipment maintenance and replacement. Day- to-day, routine management of these assets is accomplished through an air traffic control facility (ATCF). A classification scheme for these facilities and baseline planning criteria are defined in references (a) and (b). This instruction is designed to cover all classes of Navy and Marine Corps ATCF's.

4. Background

a. The Federal Aviation Act of 1958 and Department of Transportation (DOT) Act of 1966, referred to as the Acts, authorize the Federal Aviation Administration (FAA) Administrator to provide for and to operate a common system of ATC and air navigation for civil and military aircraft within the

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U.S., its possessions and territories. Under the Acts, military agencies are responsible for developing systems, procedures, and facilities peculiar to air warfare and primarily of military concern. The Acts also authorize the Secretary of Transportation to delegate certain responsibilities to other federal departments or agencies, with their consent. Further, the Acts direct timely exchange of programmatic, policy and requirements information between DOT, Department of Defense (DoD) and the National Aeronautics and Space Administration (NASA). Additionally, as signatory to the Convention of International Civil Aviation, U.S. non-tactical military equipment used for air navigation and ATC must be compatible with International Civil Aviation Organization (ICAO) standards and recommended practices as well as Federal Aviation Regulations and U.S. naval aviation standards.

b. Per the Acts and national defense policy, the U.S. Navy is responsible for ATC services to aircraft operating from ships at sea and, under local status of forces agreements, for aircraft operating at foreign airfields covered by these agreements. By memoranda of agreement between the FAA and the military services, the Department of the Navy assumed responsibility for providing ATC services at certain Navy and Marine Corps airfields within the contiguous/continental U.S., its territories and possessions.

c. With the responsibility to provide ATC services is the obligation to provide essential elements and resources: a management organization, staff, equipment, and a physical plant. To this end, shore naval ATC advancements in these four areas have closely paralleled developments in the civil arena. Naval ATC has been an active participant, both as a developer and as a partner with FAA and industry.

d. ATC afloat has similarly evolved. Changes in operating doctrine and aviation platforms, including vertical take-off and landing aircraft, such as the AV-8 and MV-22, have mandated increased ATC monetary investments in L-class ships.

e. Increasingly costly and complex technologies, used to satisfy operational requirements, compete for dollars in austere budget climates. The Office of the Secretary of Defense (OSD), recognizing the economic benefits of a common air traffic control system, stipulated a FAA/joint acquisition strategy among air traffic control service providers, consistent with mission requirements. These realities drive a need for a structured ATC management process.

5. Policy. Defense Planning Guidance requires DoD to support aircraft operations and recoveries essential to the principles of forward presence and crisis response. Naval ATC, ashore and afloat, fundamentally supports these critical-to-war fighting principles, while providing safe, orderly, and expeditious service in support of naval air warfare objectives. An interactive systems approach is required to ensure the high integrity of the NAALS Program. To this end, it is Chief of Naval Operations (CNO) policy that:

a. Funding for NAALS programs and acquisitions will be determined by mission needs, operational requirements, equipment obsolescence, and the necessity to modernize non-tactical systems to maintain compatibility and interoperability with the National Airspace System.

b. A centralized NAALS program management organization has been established at Space and Naval Warfare Systems Center (SPAWARSYSCEN) Charleston, with responsibility to support and coordinate matters pertaining to NAALS.

c. Standards for evaluating the performance of NAALS have been established at SPAWARSYSCEN to provide the necessary measurement tools to support effective management decisions. Manning requirements shall be developed per reference (c). Evaluation standards are defined in reference (a).

d. A comprehensive database will be maintained by SPAWARSYSCEN for NAALS manpower, equipment, physical plant, and airspace ashore to serve as the baseline for management decisions. This database can be accessed at <http://3m.spawar.navy.mil>. To the extent practical, data should be derived from in-place Navy systems. Reference (d) provides policies and procedures for implementation of the Ships' Maintenance and Material Management (3M) System. Reference (e) provides policy guidance for Coordinated Shore based Allowance Lists (COSBALS).

## 6. Responsibilities

a. Chief of Naval Operations (CNO)(N885F) is the Office of the Chief of Naval Operations (OPNAV) sponsor for research, development, testing and evaluation (RDT&E) and Other Procurement, Navy (OP,N) funds for the ATC program and, as such, has managerial and sponsorship oversight for the NAALS program. In this capacity, CNO (N885F) shall:

(1) Set policy, validate operational requirements, and provide direction to other related offices.

(2) Coordinate with other resource sponsors and organizations concerning ATC issues, e.g., Program Executive Officer for Aircraft Carriers and Expeditionary Warfare (PEO Carriers, PEO EXW), and manpower, personnel and training offices. For joint service or joint service interest programs, coordinate with the participating services and the DoD Policy Board on Federal Aviation.

(3) Provide the Air Traffic Control and Landing Systems Program Manager (PMA213), on the staff of the Commander, Naval Air Systems Command (COMNAVAIRSYSCOM), with validated operational requirements to establish baselines and planning objectives for the NAALS Program. These, in turn, document the CNO's input to the planning, programming, and budgeting system for the NAALS program, and form the basis for approving or disapproving claimants' request for facilities or equipment changes.

(4) Sponsor and chair an ATC Operational Advisory Group (ATC OAG) per enclosure (1).

b. Commandant of the Marine Corps (APC-5) is the Marine Corps requirements officer for the air traffic control program. In this capacity, APC-5 shall:

(1) Validate operational requirements and provide direction in Marine Corps ATC matters to other related offices.

(2) Coordinate with CNO (N885F) and other organizations concerning ATC resources, issues, manpower, and training requirements. For joint service programs and interest, coordinate with the participating services and the DoD Policy Board on Federal Aviation.

(3) Provide PMA-213 with validated operational requirements.

c. COMNAVAIRSYSCOM (PMA213) The authority and responsibility for executing the NAALS Program is assigned to PMA213. PMA213 shall:

(1) Within the policy guidance provided and requirements established by CNO (N885F), coordinate and direct the planning, development, procurement, installation, training and support of NAALS equipment and its associated physical plant.

(2) Within the policy guidance provided and requirements established by CNO (N885F), establish memoranda of agreement or other appropriate mechanisms with other Navy, DoD, and non-DoD agencies to ensure the continued dedicated technical support to naval ATC facilities.

(3) Effect liaison with other government agencies to ensure programs are mutually supporting and are not duplicated.

(4) Establish a configuration and inventory management plan for installed NAALS assets and their associated physical plant.

(5) Establish a program to periodically review the condition of NAALS equipment installed at naval ATC facilities.

(6) Perform overall management of Operational Capability Improvement Requests (OCIRs), per enclosure (2).

(7) Provide administrative support to the ATC OAG and other support as directed by CNO (N885F) to include announcing and hosting the OAG, recording minutes, and reviewing and tracking OAG recommendations. Within 10 days following receipt of the ATC OAG priority list, release a naval message to CNO, announcing ATC priorities.

(8) Maintain an ATC troubled systems report (TSR) and/or ATC supply degraders using Casualty Reports (CASREPs) taking action as appropriate.

(9) Issue such instructions and establish detailed reporting procedures, configuration validation aids, reporting assistance, and contact information as necessary, to accomplish actions described above.

(10) Coordinate with PMA205 on training requirements for new and installed equipment.

d. Major Claimants. Major claimants shall:

(1) Process OCIRs per enclosure (2).

(2) Support NAALS requirements in the Program Objective Memorandum (POM) process, as required.

e. ATC Type Commanders. Type commanders shall:

(1) Submit prioritized NAALS equipment requirements for inclusion in the future years defense plan (FYDP).

(2) Conduct on-site ATC Naval Air Training and Operating Procedures Standardization Program (NATOPS) quality assurance evaluations, per reference (a), to evaluate operational readiness, system adequacies, operator and technician staffing and training, and general status of ATC facilities and associated ground electronic maintenance offices. These ATC NATOPS evaluations serve to pinpoint safety and service deficiencies and can form the basis for OCIRs.

(3) Evaluate and endorse valid OCIRs, per enclosure (2).

(4) Monitor air station compliance with the reporting requirements established by reference (d) and PMA-213.

(5) Review Base Electronics System Engineering Plans (BESEP) for proposed equipment installations.

(6) Monitor the NAALS Database at for ATCF compliance.

(7) Review Ground Electronics Maintenance Division compliance with configuration, system performance, and ownership cost reporting requirements in support of ATC.

(8) Provide a voting member and other representation, as required, to the ATC OAG.

(9) Review ATC OAG priority list issued by COMNAVAIRSYSCOM (PMA213).

(10) Issue such instructions and establish reporting procedures necessary to accomplish actions described above.

(11) Designate a staff member with the primary task of guiding and coordinating NAALS maintenance with installations' ground electronics maintenance officer.

f. Commanding Officers. Commanding officers with assigned ATCFs and Commanding Officers of Fleet Area Control and Surveillance Facilities (FACSFAC's) are the primary source of data for NAALS effectiveness. Therefore, commanding officers shall continuously review the operational capabilities of installed NAALS assets. Commanding officers shall:

(1) Forward new requirements, generated as a result of periodic reviews, to COMNAVAIRSYSCOM, via the chain of command, using OCIR submission procedures described in enclosure (2).

(2) Request from COMNAVAIRSYSCOM, via the chain of command, disposition instructions for assets in excess of mission requirements.

(3) Ensure ATC and ground electronics are included as members of the Activity Master Planning Board, per reference (f).

(4) Review BESEPs.

(5) Maintain and review configuration, new processes, and ownership cost reporting procedures. Ground electronics maintenance officers, in concert with air traffic control facility officers, shall include NAALS reporting procedures in their facility directives.

(6) Transmit CASREP's for NAALS equipment per reference (g).

(7) Ensure Internet access capability exists for ATC/GE to allow for present and anticipated Internet based communication and coordination requirements.

g. ATC Operational Advisory Group The ATC OAG shall meet annually for the purpose of prioritizing requirements for inclusion in the POM process.

h. OIC, ATC Schools

(1) Provide voting member to ATC OAG.

(2) Ensure Internet access capability exists for ATC/GE to allow for present and anticipated Internet based communication and coordination requirements.

7. Reports. Symbol OPNAV 3721-11 is assigned to the requirements contained in this instruction and is approved for 3 years only from the date of this directive.

// Signed //  
J. B. NATHMAN  
By direction

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## AIR TRAFFIC CONTROL OPERATIONAL ADVISORY GROUP CHARTER (ATC OAG)

1. Purpose. The ATC OAG shall meet annually for the purpose of recommending program priorities for inclusion in the POM process. The work of this group is a major source of input to the Office of the Chief of Naval Operations (OPNAV) program sponsor (N885F), COMNAVAIRSYSCOM (PMA213), and claimants towards the development of unified goals, and the prioritization of requirements for the POM process. The ATC OAG is a forum for direct fleet interface with the requirements officer, program manager and technical field activities. The ATC OAG is characterized by a focus that is broad in scope and specific in its recommendations and will be the principal source of program priority assignment. The ATC OAG will make recommendations regarding ATC doctrine, roles, missions, and procedures, to include a broad spectrum of community concerns and problem areas, including organizational and logistical, as well as personnel and training issues. One of the goals of the ATC OAG is to provide more efficient tracking and response to NAALS requirements and alternatives, while reducing the burden on the OPNAV staff, by thoroughly exploring considerations such as desirability or capability versus affordability and providing more timely and responsive interface with the fleet.

2. Organization. The ATC OAG is divided into two principal groups: Executive Steering Committee and Working Committees. Their functions are as follows:

a. Executive Steering Committee (ESC).

(1) CNO (N885F) shall chair the ESC. The ESC is responsible for categorizing and prioritizing working committees' recommendations. Using the enclosed format, the ESC will review the priority listings from the OAG working committees for consideration towards incorporation into the ESC priority list.

(2) Voting members of the Executive Steering Committee (ESC) are:

- (a) CMC(APC-5)
- (b) COMNAVAIRPAC (N32)
- (c) COMNAVAIRLANT (N37)
- (d) COMNAVAIRSYSCOM (PMA213)
- (e) CNATRA (N334)
- (f) CNAVRES (N46)

(g) COMCABEAST (SAOE)

(h) COMCABWEST (G6)

(i) MARFORPAC (G6)

(j) COMTACGRU ONE (N32)

(k) COMPHIBGRU TWO (N85)

(l) CO, NATTC (30)

b. Working Committees (WC). Chairs are assigned by the ESC. WC focus their attention on specific issues as assigned by the ESC. WC generate OAG action chits, using the enclosed format, and present them to the OAG for disposition.

(1) WC will propose a priority listing for consideration by the ESC in the following Health of Naval Aviation (HONA) areas:

Category A - Service life extension/Safety of flight

Category B - Maintainability/Reliability issues

Category C - Operational capability improvements

(2) A relative evaluation scale will be assigned to each category as follows:

Priority one. Absolutely necessary. Cost of doing business.

Priority two. Critical programs which must be protected and funded to preclude severe risk to air traffic control.

Priority three. Important programs which should be funded to preclude serious risk to air traffic control.

Priority four. Important programs of high value and can be lost with some risk.

Priority five. Programs which provide excess capability or a margin of risk which could be lost with little or no impact to air traffic control.

S—Designated safety related issues (e.g., A1S, C2S).

c. The ESC has the discretion to add or delete membership of the Advisory Group.

3. Action

a. ESC/WC meetings shall be held annually, at least 3 months prior to the established POM issue submission deadline. Meeting location and duration shall be at the discretion of the Chair.

b. Agenda. Calls for agenda items shall be issued by the Chair with sufficient lead time to allow for receipt, review, and preparation of a formal agenda distributed not later than 15 working days in advance of the meeting. At a minimum, the agenda shall cover the following:

- (1) Operational requirements and prioritization
- (2) POM issues and prioritization
- (3) Evaluation of current programs
- (4) Training issues

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ATC OAG ACTION CHIT

DATE:

SYSTEM:

HONA CATEGORY:

REL EVAL SCALE:

DESCRIPTION OF DEFICIENCY:

PROPOSED CORRECTION:

SUBMITTED BY:

ORGANIZATION:

OAG REVIEW DATE:

SEQUENCE NUMBER:

APPROVED/REJECTED/DEFERRED:

PRIORITY:

ACTION REQUIRED:

ASSIGNED RESPONSIBILITY:

STATUS:

ESC REVIEW DATE:

ESC COMMENTS:

## ATC OAG PRIORITY LIST

1. A priority list is a vehicle used to clearly communicate ATC requirements. The following format is provided as an example for use by the OAG.

Priority:

Issues: Brief statement for clarity

Category:

Total Program Cost:

Status (select one):

Funded

Not funded

Partially funded

NAALS OPERATIONAL CAPABILITY  
IMPROVEMENT REQUEST (OCIR) FORMAT

1. Purpose. The NAALS OCIR shall be used for the purpose of establishing a new NAALS requirement, to initiate action in satisfying existing unfulfilled requirements and to request replacement of on-board equipment. The OCIR process is only valid when used to request items related to air traffic control. Simply stated, the cognizance of CNO (N885) and COMNAVAIRSYSCOM (PMA-213) is restricted to those items procured with funds obtained by CNO (N885F) through the budget process. The equipment best described generically would include:

- (a) Shipboard Air Traffic Control
- (b) Precision Approach landing Systems (PALS)
- (c) Air Station Support
- (d) Landing Systems
- (e) Fleet Area Control and Surveillance Systems
- (f) National Airspace System

This equipment must directly support air traffic controllers and would include such items as air-ground radio communication used by controllers to communicate with pilots but would not include squadron radios. Relocating ATC equipment from its original location is not funded by CNO (N885F) unless the requirement for such a move is generated by CNO (N885F). Relocation as part of a Military Construction (MILCON) project should be included in the MILCON project submittal. Advanced planning with the Type Commander (TYCOM) will clarify any misunderstanding regarding these issues.

2. Background. The OCIR was introduced as a mechanism for operational elements to formally state their requirements as a function of their mission. The ATC facility is in the best position to reconcile their existing equipment and physical plant with their operational requirements and any projected change in these requirements. Local commanders should be particularly alert to the early identification of changing missions that require the provision of new or expanded ATC services. They should document their needs to ensure adequate lead time for programming and budgeting the resources to meet the new requirements. Procedures for evaluating and satisfying OCIRs have evolved and now constitute a major input to the POM process and COMNAVAIRSYSCOM (PMA-213) budget activities.

3. Submission Process. The following is a descriptive explanation of the OCIR process from initiation to disposition.

a. After an individual has determined that existing equipment is inadequate to support the mission at a Naval Air Station or onboard an air capable ship, the air traffic control facility officer (ATCFO) and/or ground electronics maintenance officer (GEMO), or appropriate shipboard counterpart, shall initiate an OCIR in accordance with this instruction.

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b. The correspondence is sent, with a commanding officer cover letter, in letter format to the Commander, Naval Air Systems Command, Attention: PMA213, via the chain of command, with an information copy to the Chief of Naval Operations (N885F) and the appropriate In Service Engineering Agent. Forward only one cover letter per OCIR.

c. Liaison with senior community representatives within the originating chain of command in advance of formal submission to facilitate the approval process of the OCIR. The subject of the original correspondences and associated endorsements should be descriptive of the ATC requirement to ensure expeditious handling.

d. Each echelon of the chain of command, by favorable endorsement, is committing their command for the resources (additional manpower requirements or other resources not normally provided or funded by COMNAVAIRSYSCOM (PMA-213)). Any addressee in the chain of command can return the request to the originator either because a valid requirement does not exist or because requisite/essential resources cannot be provided. This procedure will be followed even in those cases where implementation responsibilities may lie with another command or under the cognizance of another sponsor.

e. Upon receipt of the OCIR, Commander, Naval Air Systems Command (PMA-213) will determine if:

(1) The requested capability is under the cognizance of PMA-213.

(2) The requested capability is included in an ongoing program to acquire a system or systems which will satisfy the stated deficiency.

f. If the OCIR is under cognizance of PMA-213 and a current program exists to support it, the requesting command will be notified, with information copies to all interested parties, that the requested capability will be provided on a prioritized basis as determined by the TYCOM, COMNAVAIRSYSCOM (PMA-213), and CNO (N885F).

g. If the OCIR is under cognizance of COMNAVAIRSYSCOM (PMA-213) and a current program does not exist to support it, the OCIR is forwarded to CNO (N885F) for validation. If validation is granted, the validated capability is returned to the appropriate program manager for cost analysis and programming action. If the capability is not affordable within existing or planned resources it is placed on the next Planned Objectives Memorandum (POM) cycle. Funding of the request will be commensurate with its relative priority. If validation of the requirement is denied, the request is disapproved. Regardless of the final disposition, the chain of command involved in the submission is notified.

h. If the OCIR does not fall under the cognizance of COMNAVAIRSYSCOM (PMA-213), COMNAVAIRSYSCOM (PMA-213) will re-address the OCIR to the organization with cognizance

over the requested capability with copies to the chain of command associated with the OCIR submission.

4. Format. The following format shall be used:

NAALS OPERATIONAL CAPABILITY IMPROVEMENT REQUEST (OCIR)

Preparing Activity:

Subject:

I. DEFICIENCY

Describe the existing deficiency that limits or derogates the operational capability of the air traffic control facility (ATCF) to support the mission and tasks assigned the parent aviation activity. Justify the requirement in terms of facility mission and description of how mission is compromised by failure to meet the requirement. While manpower deficiencies may be included for information purposes, requests for manpower adjustments shall be submitted under the guidance contained in reference (c).

II. REQUIRED OPERATIONAL CAPABILITY

Describe the required operational capability in sufficient detail to clearly define the capability needed to alleviate the deficiency discussed in paragraph I.

III. SOLUTIONS

Describe known or proposed solutions to the operational problem stated in paragraphs I and II; however, do not request specific equipment when establishing a new requirement. Include solutions that require changes in operational procedures to satisfactorily resolve the deficiency presented in paragraph I. Include a statement of impact on manpower (quantity, skills, etc.) and a quantitative statement of impact on operations, safety or efficiency for each solution described.

IV. RELATIVE PRIORITY

Indicate the relative priority of this OCIR to others submitted previously but which remain unsatisfied.

5. Responsibilities

a. CNO (N885F). Ensure the viability of the OCIR process is maintained. As such, CNO (N885F) will:

(1) Validate OCIRs forwarded by COMNAVVAIRSYSCOM (PMA-213).

(2) Support NAALS requirements in the POM process using the OCIRs as a principal input vehicle, in addition to the ATC OAG Priority Listing.

b. Major Claimants, Type Commanders, and Immediate Senior in the Chain of Command (ISIC). Major claimants, type commanders, and ISIC's shall review OCIRs for appropriateness and impact upon their assigned missions and tasks. Specifically they should:

(1) Screen OCIRs to ensure that they reflect mission requirements.

(2) Return those OCIRs which are inappropriate.

(3) Research potential applicability of the OCIR to other ATC activities under their command and consolidate requirements in their endorsement.

(4) Forward and prioritize valid requirements.

c. COMNAVVAIRSYSCOM. COMNAVVAIRSYSCOM (PMA213) will perform overall management cognizance of the OCIRs. In exercising these responsibilities, they will:

(1) Review OCIRs for conformance with existing policy.

(2) Recommend approval for those OCIRs which conform to existing policy and for which assets/resources are available.

(3) In those cases when OCIR implementation is not within the purview of COMNAVVAIRSYSCOM, forward to the appropriate agency/command for disposition. Examples include requests for weather sensors, squadron radios, etc.

(4) Disapprove those OCIRs that are contrary to existing policy. Examples include relocation of existing equipment, cutting trees, etc.

(5) For those OCIRs that require policy review or for which assets/resources are unavailable, forward to CNO (N885) for validation along with appropriate comments.

(6) Plan and budget as necessary to satisfy approved OCIRs.

(7) Maintain an OCIR tracking system and provide working status on a web site.

(8) Number OCIRs utilizing a seven digit tracking number. OCIR's are to be numbered with a four digit prefix reflecting the calendar year (CY) followed by a three digit suffix assigned in the order received. (i.e. the first OCIR received in 2003 will be numbered 2003-001)

(9) Track OCIR status using the following terms:

(a) Pending – The OCIR has not been fully endorsed by the originator's chain of command and/or applicable requirements have not been validated by CNO.

(b) Canceled – The OCIR was not endorsed by the originator's chain of command, overcome by events and no longer needed by the originator and/or its associated requirement was not validated by CNO.

(c) Active – The OCIR has been endorsed and validated, plans and efforts to identify/obtain needed funding is being made by COMNAVAIRSYSCOM (PMA-213) to provide the requested capability.

(d) Closed – The capability is approved and planned for. Funds have been identified and allocated for the effort.

d. Systems Commands. As requested by COMNAVAIRSYSCOM, other systems command shall evaluate OCIRs and develop plans, schedules, and budgets for implementation.