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Appendix II**ASN(RD&A)/CNO/CMC^{1/} Coordination Procedures for:****Annex A -- Weapon System Programs**

- Section 1 -- Mission Need Statements
- Section 2 -- Analysis of Alternatives
- Section 3 -- Operational Requirements Documents
- Section 4 -- Acquisition Program Baselines (APBs)/APB
Deviations
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Content

Annex B -- Information Technology (IT) Programs

- Section 1 -- Mission Need Statements
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1/ Where indicated

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ANNEX A, WEAPON SYSTEM PROGRAMS
SECTION 1 - MISSION NEED STATEMENTS (MNSs)

- References:
- (a) Chairman of the Joint Chiefs of Staff Memorandum of Policy No. 77, "Requirements Generation System Policies and Procedures," 17 Sep 92 (NOTAL)
 - (b) DoD Directive 5000.1, "Defense Acquisition," 15 Mar 96 (NOTAL)
 - (c) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96 (NOTAL)
 - (d) Chairman of the Joint Chiefs of Staff Instruction 6212.01A, "Compatibility, Interoperability, and Integration of Command, Communications, Computers, and Intelligence Systems," 30 Jun 95 (NOTAL)

1.1 Procedures

1.1.1 Office of the Chief of Naval Operations (OPNAV) Preparation, Review, and Submission Procedures

- 1. OPNAV MNS processing procedures are provided on the following pages. Marine Corps MNSs, requiring potential Navy fiscal sponsorship, are processed in accordance with this enclosure (7), appendix II, annex A, section 1, paragraph 6, Step 6 Final Coordination.
- 2. The OPNAV MNS process flow diagram for all potential ACATs is shown in appendix II, annex A, section 1, prior to the OPNAV MNS signature cover page formats.
- 3. OPNAV MNS signature cover page formats are included on the pages following the OPNAV MNS process flow diagram.

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MISSION NEED STATEMENT (FORMAT)

MISSION NEED STATEMENT

FOR

TITLE OF OPERATIONAL CAPABILITY NEED

See reference (a), Chairman of the Joint Chiefs of Staff Memorandum of Policy No. 77, "Requirements Generation System Policies and Procedures," 17 Sep 92 (NOTAL), for mandatory mission need statement (MNS) format.

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OPNAV MISSION NEED STATEMENT (MNS) PROCEDURES

1. Step 1 MNS Preparation. The program sponsor shall:
 - a. Administer/track mission need proposal processing.
 - b. Determine if any non-materiel alternatives exist.
 - c. Prepare draft MNS. (Note 1, 2)
 - d. Assign sponsor's priority. (Note 3)
 - e. Coordinate with the Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RD&A)) staff to determine the potential ACAT.
 - f. Coordinate with Chief of Naval Operations (CNO) (N810) before routing to ensure appropriate OPNAV codes are identified and that the document meets basic compliance with references (a), (b), and (c). Use initial draft review signature page for routing (see appendix II, page II-11). (Note 4)

Step 1 NOTES:
(1) FLTCINCs shall send proposed MNS to CNO (N83), who shall forward it to CNO (N81) for identification of the appropriate OPNAV program sponsor. Program sponsor shall act as the FLTCINC's representative to staff the document through both OPNAV and JCS. Once the program sponsor accepts sponsorship of the document, it follows these OPNAV MNS procedures.
(2) Draft MNSs for applicable USMC programs (see paragraph 6, Step 6) are forwarded from MCCDC.
(3) Program sponsor priority ranking categories: <ol style="list-style-type: none"> (a) "1" Essential capability absolutely necessary for the success of (joint) operations. Includes programs which are mandated by regulations or necessary for the safe operation of (joint) forces (i.e., a cost of doing business). (b) "2" Critical program to ensure that (joint) combat effectiveness is not jeopardized. Loss of capability would result in a severe risk to (joint) forces in carrying out a mission. (c) "3" Important program to (joint) combat effectiveness. Precludes serious risk in one or more (joint) mission areas. Lost capability could result in increased losses or extended timeliness but would not jeopardize overall (joint) mission. (d) "4" Valid warfighting capability that provides marginal contribution to (joint) combat effectiveness. Loss may result in some risk to (joint) operations. May be duplicative with another service(s) capability. (e) "5" Excess capability. Could be replaced by another intra/inter-service program with minimum impact on (joint) combat effectiveness.
(4) A MNS requires a statement on "standardization or interoperability within the North Atlantic Treaty Organization (NATO) or with other allies or DoD Components" when it impacts satisfying the mission need. A statement addressing these issues shall be made. If interoperability is not a requirement in terms of satisfying a mission need or deficiency, so state.

2. Step 2 Initial Review
 - a. The program sponsor shall:
 - (1) Distribute draft MNS concurrently to CNO (N1, N2,

N3/5, N4, N6, N81, N83 (for Unified or Specified Commander in Chief (CINC)/Fleet Commander in Chief (FLTCINC) review), N091, and N096). [Note 1]

- (2) Forward copy of draft MNS to ASN(RD&A) and cognizant PEO/SYSCOM/DRPM for information.

b. CNO (N81) shall:

- (1) Enter the draft MNS into the requirements document library data base. [CNO (N810)]
- (2) Forward the MNS:
 - (a) For ACAT I programs, to the JROC Secretariat, CINCs, and the Joint Staff for an O-6 level detailed review, to other Services for an O-6 level review and joint potential designation (JPD) assessment, and, in the case of C4I systems, to JCS (J-6I) for interoperability certification. [Notes 2, 3 and 4]
 - (b) For all programs, to the other Services for JPD.
- (3) For ACAT I programs, receive O-6 level comments from Joint Staff (normally 60-day turn around); return to sponsor.
- (4) For ACAT II, III, and IV programs, receive JPD assessment comments from other Services (normally 30-day turn around); return to sponsor.

Step 2 NOTES:
(1) The program sponsor may have to repeat the initial review if the revisions are substantial.
(2) All MNSs, regardless of ACAT shall be routed to the Services for JPD determination, and in the case of C4I MNS for interoperability certification by JCS J-6. (See references (a) and (d) for details.) ACAT I MNSs shall be routed to JROC Secretariat for review and comment.
(3) CNO (N81) initial review shall be required before the MNS is forwarded to JROC Secretariat.
(4) CNO (N81) also staffs other Services' MNSs for JPD assessment and C4I review by the OPNAV staff. Appropriate codes shall include CNO (N51, N6, N83, N091), and others as topics relate.

3. Step 3 MNS Revision. The program sponsor shall:
 - a. Receive comments from OPNAV codes.
 - b. Receive other Service JPD comments and Joint Staff review comments.
 - c. Consolidate comments. For Navy programs, correct document as required. For USMC programs, forward OPNAV comments to MCCDC, as applicable.

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- d. For Navy ACAT I programs:
 - (1) Forward revised MNS to CNO (N81) for staffing and to JROC secretariat for O-7/8 review. Wait for response comments before proceeding, in order to incorporate recommended changes (normally 30-day turnaround).
 - (2) Consolidate and revise MNS as required.
- e. Prepare smooth MNS with final flag-level endorsement signature page for endorsement (see appendix II, page II-12).
- f. Coordinate with CNO (N801) for a Resources and Requirements Review Board (R3B), if required. [Note 1]
- g. For Navy ACAT I programs, coordinate with CNO (N810) for JROC schedule and briefing following O-7/8 review. [Note 2]
- h. Provide CNO (N810) with an advance copy of the smooth MNS prior to further staffing.
- i. Forward revised MNS to applicable OPNAV codes for flag level endorsement: CNO (N091, N096, N1, N2, N3/5, N4, N6 (Space & Electronic Warfare (SEW) and C4I only), and N83 (CINC/FLTCINC endorsement)).

Step 3 NOTES:

- (1) An R3B may be required before the MNS is endorsed and approved (see Note 2 under Step 7).
- (2) The program sponsor shall coordinate with CNO (N810) in preparing and scheduling the JROC brief. CNO (N810) is designated as the Navy point of contact to the JROC and assists the program sponsor with joint review of the MNS.

- 4. Step 4 Flag-level Endorsement. Applicable OPNAV Codes (CNO (N091, N096, N1, N2, N3/5, N4, N6 (SEW and C4I only), and N83 (CINC/FLTCINC endorsement)) shall:
 - a. Receive MNS from the program sponsor for endorsement.
 - b. Review/endorse MNS (flag-level) on attached signature page.
- 5. Step 5 Final Review Preparation. The program sponsor shall:
 - a. Collect final flag-level endorsements.
 - b. For ACAT I programs, prepare proposed JROC briefing.
 - c. Forward final MNS with original flag-level signature endorsements and proposed JROC briefing to CNO (N810) for final coordination and processing. Include an electronic

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file of the MNS in CNO standard word processing software.

6. Step 6 Final Coordination. CNO (N810) shall:
- a. Verify final document compliance and that all endorsements are received.
 - b. Forward ACAT II, III, and IV MNS to CNO (N8) for validation and approval (endorsement only of applicable USMC programs). Attach final approval signature page (see appendix II, page II-13). Proceed to Step 7.
 - c. Forward ACAT I MNS to, in order, CNO (N8), Vice Chief of Naval Operations (VCNO), CNO for endorsement (and, for USMC programs, Marine Corps Combat Development Command (MCCDC) for Assistant Commandant of the Marine Corps (ACMC) and Commandant of the Marine Corps (CMC) endorsement). Include JROC briefing with MNS. Proceed to Step 8.
7. Step 7 ACAT II, III, and IV Validation/Approval
- a. CNO (N8) shall:
 - (1) Validate the MNS (Navy programs only). [Note 1]
 - (2) Approve Navy program MNSs. Endorse applicable USMC program MNSs (ACMC approves). [Note 2]
 - (3) Prioritize the mission need relative to other warfighting programs (may be R3B forum review [Note 3]).
 - b. CNO (N810) shall:
 - (1) For Navy programs, proceed to Step 12.
 - (2) For applicable USMC programs, forward endorsed MNS to MCCDC for ACMC review and approval.

Step 7 NOTES:
(1) The validation of the MNS confirms that the need is valid and there are no non-materiel alternatives.
(2) Approval is the formal sanction of the requirement document and certifies that the documentation has been subject to the uniform process of references (a) and (b).
(3) R3B may meet to review validity of documents, evaluate degree of joint participation expected, review interoperability issues, and assess risk and review priority of the need.

8. Step 8 ACAT I Endorsement. CNO (N8) shall:
- a. Review and endorse MNS (Navy and USMC programs).
 - b. Forward MNSs to VCNO for review.

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- c. Review and comment as needed on proposed JROC briefing (Navy programs only).
9. Step 9 VCNO Endorsement. VCNO shall:
 - a. Review and endorse MNS (Navy and USMC programs).
 - b. Forward MNS to CNO for review.
 - c. Review and comment as needed on proposed JROC briefing (Navy programs only).
10. Step 10 CNO Endorsement
 - a. CNO shall:
 - (1) Review and approve MNS for Navy (endorse for USMC programs).
 - (2) Comment as needed on proposed JROC briefing (Navy programs only).
 - b. The program sponsor shall revise the JROC briefing as required (Navy programs only). Provide smooth version (five copies) to CNO (N810).
 - c. CNO (N810) shall:
 - (1) For Navy programs, forward approved MNS and proposed JROC briefing to JROC secretariat.
 - (2) For USMC programs, forward endorsed MNS to MCCDC, as applicable.
11. Step 11 JROC (Navy ACAT I programs only)
 - a. The program sponsor shall conduct formal pre-briefs with VCNO as scheduled by CNO (N810). Preliminary briefs with CNO (N8, N81) may also be required.
 - b. JROC validates and approves MNS.
12. Step 12 Issuance
 - a. CNO (N810) shall:
 - (1) Serialize MNS (M____ - [Sponsor N-code]-CY). Provide copy to the program/resource sponsor.
 - (2) Issue the MNS.
 - b. The program sponsor shall forward the MNS to ASN(RD&A) for ACAT I forwarding or ACAT II designation, or PEO/SYSCOM/DRPM for ACAT III or IV designation, and

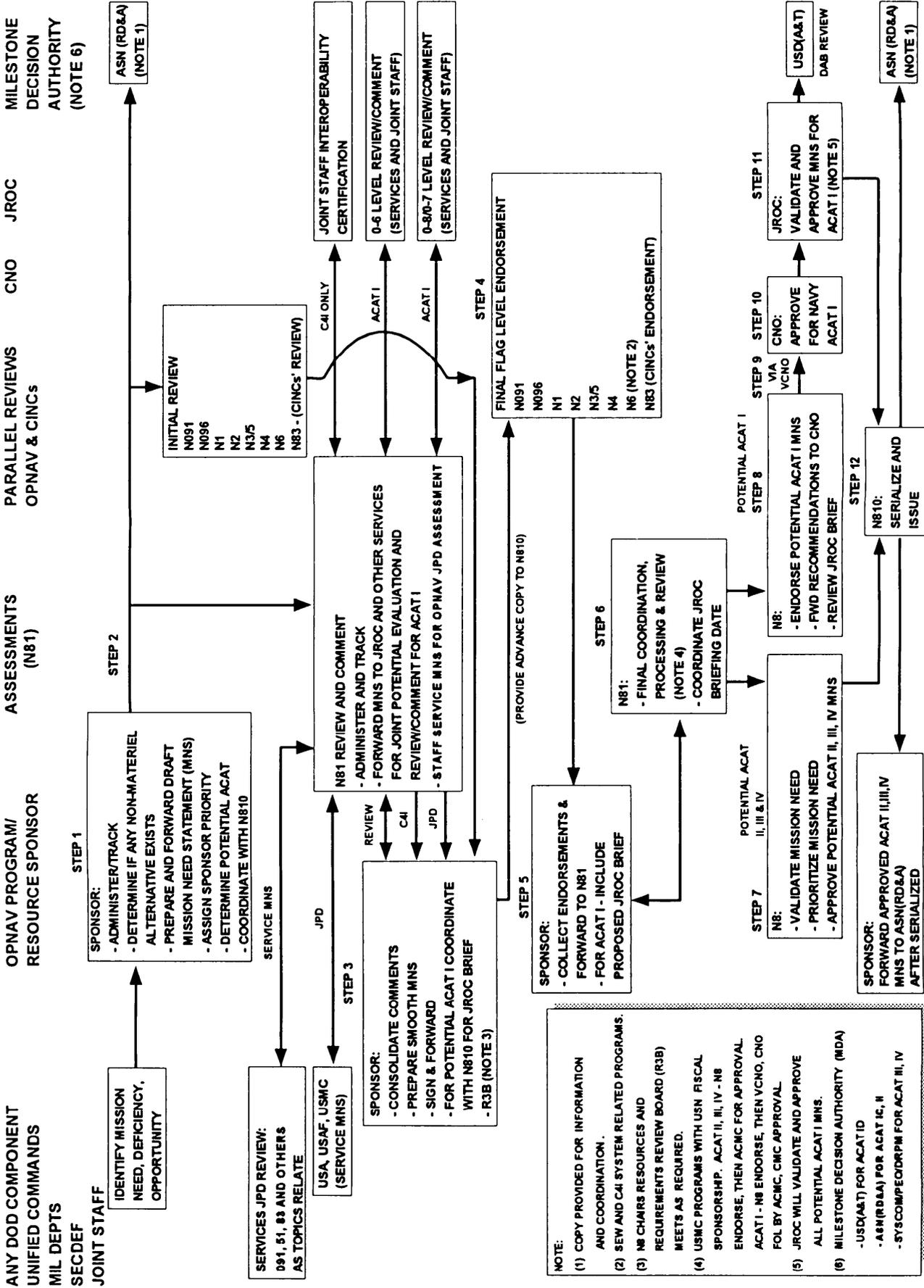
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initial milestone scheduling.

- c. ASN(RD&A) shall forward potential ACAT I MNSs to USD(A&T) for designation and initial milestone scheduling.

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MNS REVIEW, VALIDATION, AND APPROVAL PROCESS



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OPNAV MISSION NEED STATEMENT (MNS) COVER PAGES

(For Review)

MISSION NEED STATEMENT

FOR

[insert program long title]
(POTENTIAL ACAT ____)

SUBMITTED: _____ PRIORITIZATION (*): _____

(PROGRAM SPONSOR) _____ (DATE)

REVIEWED:

(N091) _____ (DATE)

(N096) _____ (DATE)

(N1) _____ (DATE)

(N2) _____ (DATE)

(N3/5) _____ (DATE)

(N4) _____ (DATE)

(N6) _____ (DATE)

(N83 - CINC/FLTCINC review) _____ (DATE)

(N81 - N8 review) _____ (DATE)

(*) Prioritization: 1 = Essential 2 = Critical 3 = Important
(see appendix II, page II-4) 4 = Valid 5 = Excess

[Note: Use for initial MNS draft review of Navy and applicable (see paragraph 6) USMC programs. Flag-level signatures required.]

[Note: Initial draft review should be accomplished within 30 days, and does not need to be sequential.]

(For Endorsement) MISSION NEED STATEMENT
FOR
[insert program long title]
(POTENTIAL ACAT ____)

SUBMITTED: _____ PRIORITIZATION (*): _____

(PROGRAM SPONSOR) _____ (DATE)

ENDORSED:

(N091) _____ (DATE)

(N096) _____ (DATE)

(N1) _____ (DATE)

(N2) _____ (DATE)

(N3/5) _____ (DATE)

(N4) _____ (DATE)

(N6 - SEW and C4I only) _____ (DATE)

(N83 - CINC/FLTCINC Endorsement) _____ (DATE)

FINAL COORDINATION, PROCESSING and FORWARDING:

(N81) _____ (DATE)

(*) Prioritization: 1 = Essential 2 = Critical 3 = Important
(see appendix II, page II-4) 4 = Valid 5 = Excess

[Note: Use for final principal flag-level MNS endorsement of Navy
and applicable (see paragraph 6) USMC programs]

[Note: Obtain all signatures before forwarding to CNO (N81) for
final coordination, processing and forwarding]

(For Approval)

**MISSION NEED STATEMENT
FOR**

[insert program long title]
(POTENTIAL ACAT ____)
Serial Number: (*) _____

[Note: For ACAT II, III, and IV only:]

VALIDATED and APPROVED:

(N8)

(DATE)

[Note: For ACAT I only:]

RECOMMENDED:

(N8)

(DATE)

REVIEWED:

(VCNO)

(DATE)

APPROVED FOR NAVY:

(CNO)

(DATE)

VALIDATED and APPROVED:

(JROC) (*)

(DATE)

[Note: Use for Final MNS Approval. CNO (N81) will attach this cover page.]

(*) - CNO (N810) will assign serial number once validated and approved. For ACAT I programs, CNO (N810) will insert JROC validation and approval date prior to issuance.

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ANNEX A, WEAPON SYSTEM PROGRAMS
SECTION 2 - ANALYSIS OF ALTERNATIVES
DEVELOPMENT PROCEDURES

1.1 Analysis of Alternatives Overview

While the use of analyses to support programmatic decisions is not new, the analysis of alternatives process brings formality to this support. The process provides a forum for involving the Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC) and the acquisition community in analysis of alternative trade-off discussions, and formulation and documentation of the analytical underpinning for program decisions.

1. CNO/CMC, who are responsible for representing the user, establishing performance requirements, and for the planning, programming, and budgeting system, benefit by:
 - a. Formally participating in alternative performance and cost trade-off discussions.
 - b. Gaining early insight into life-cycle costs.
2. Program managers benefit through:
 - a. Timely resolution of cost and performance trade-offs.
 - b. Early scoping of operational evaluation (OPEVAL) resource issues.
 - c. Analysis and discussions supporting establishment of OPEVAL thresholds and objectives.
3. Hence, an analysis of alternatives is more than a record of pertinent program related analyses; it is also a process that includes a forum for framing and discussing milestone decision authority (MDA)-level issues. This idea is expanded in the next paragraph.
4. Oversight of the analysis involving senior, experienced, and empowered individuals from both acquisition and CNO/CMC communities plays a central role in the analysis process. For example, the analysis of alternatives integrated product team (IPT) provides advice and counsel as alternative concepts, scenarios, and assumptions are being formulated. Reviews of in-progress analysis ensures the analysis addresses the key issues at hand and that associated

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assumptions and limitations are clearly stated. This process provides a forum for the acquisition and CNO/CMC communities to define and weigh trade-off opportunities - supported, as appropriate, by analyses. These discussions, as much as the analytic studies that take place, are a vital characteristic of the analysis of alternatives process.

5. The focus of an analysis of alternatives is a function of the program's milestone. Milestone I analysis of alternatives helps the MDA choose a preferred system concept and decide whether the cost and performance of the concept warrants initiating an acquisition program. Milestone I analysis of alternatives can also illuminate the concept's cost and performance drivers and key trade-off opportunities; and provides the basis for the establishment of operational performance threshold and objective values for use in the ORD, APB, and test and evaluation master plan (TEMP).
6. At Milestone II, the analysis refines the analysis of alternatives drivers and performance threshold and objective values.
7. Since cost and performance issues have typically been resolved prior to Milestone III, an analysis of alternatives is normally not required to support this milestone.

1.2 Analysis of Alternatives Focus and Scope

The intent of an analysis of alternatives is two-fold: to aid in the resolution of MDA-level issues and to provide analytical insight and basis for the establishment of operational performance characteristics. Candidate issues shall be listed in the analysis of alternatives scope of analysis (described below). The MDA and CNO/CMC, in conjunction with the analysis of alternatives IPT, shall control the focus and scope of the analysis of alternatives by adding to or deleting from issues listed in the scope of analysis.

1. The scope of analysis should correlate to the amount of resources affected by the decision, with ACAT III programs receiving less analytical attention than ACAT I and II programs. For example, campaign level analyses will rarely be needed to illuminate ACAT III-level issues.
2. If the preferred alternative has already been identified by previous analyses and the MDA and CNO/CMC formally agree that all issues have already been resolved or that further analysis is unlikely to aid in the resolution of outstanding issues, a new

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analysis effort shall not be initiated. (If these conditions were met, the analysis of alternatives shall simply present the rationale and any existing analyses applicable to program decisions already made.)

3. For ACAT IV programs, the analysis shall be tailored and shall be less rigorous than that of ACAT II or III programs. However, in the unique situation where the resolution of substantive issues would benefit from a more rigorous process, the MDA shall direct the conduct of a more in-depth analysis.
4. With few exceptions, technical studies are beyond the scope of an analysis of alternatives. These studies are conducted under the supervision of the program manager who shall then supply the results for incorporation in the analysis of alternatives.

1.3 Initiation of the Analysis of Alternatives Process

The program sponsor, in coordination with the analysis of alternatives IPT, shall be responsible for developing the scope of analysis. At a minimum, this scope of analysis shall identify the activity responsible for conducting the analysis, alternatives to be addressed, proposed completion date, operational constraints associated with the need, and specific issues to be addressed. These issues shall be well thought out to ensure the analysis is comprehensive and addresses the pertinent MDA-level issues to be resolved at the upcoming decision meeting.

1. The scope of the analysis shall be approved by the individuals shown in the following table:

	ACAT ID	ACAT IC/II/III	ACAT IV
Scope of Analysis Approval	ASN(RD&A), or designee, & CNO(N8) or DC/S(P&R)	MDA, or designee, & CNO(N8) or DC/S(P&R)	MDA & Program Sponsor (flag) or CG, MCCDC

2. CNO (N81)/CG, MCCDC shall be responsible for coordinating CNO (N8)/DC/C(P&R) final approval.

1.4 Oversight of the Analysis of Alternatives Process

An IPT shall oversee all DON analysis of alternatives and shall provide advice and counsel to the independent analysis director and recommendations to the MDA and CNO/CMC. MDAs shall ensure that an IPT is tailored in scope and size to each specific analysis of alternatives. The oversight provided by an IPT is intended to assess the validity and completeness of key program issues, alternatives, assumptions, measures of effectiveness (MOEs), scenarios, concept of operations and threat

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characteristics.

1. The analysis of alternatives IPT shall equally represent the acquisition and requirements communities. For Navy programs, in the rare occasion when the program sponsor is not the requirements community co-chair, CNO (N81) will be.
2. In the event consensus cannot be readily obtained at this oversight level, issues shall be framed and raised for MDA and CNO (N8)/DC/S(P&R), or designee, resolution.
3. For Marine Corps programs, the analysis of alternatives IPT is similarly composed with DC/S(P&R), Marine Corps Combat Development Command (MCCDC), Marine Corps Systems Command (MARCORSYSCOM), and MCOTEA substituting for their Navy counterparts.

1.5 Analysis Director Role in the Process

An analysis director shall be assigned to plan, lead, and coordinate funding for analysis efforts. Directors are independent of, but receive advice and counsel from an IPT.

1. Analysis directors shall:
 - a. Be independent of the PM.
 - b. Have a strong background in analysis.
 - c. Have technical and operational credibility.
2. Once the analysis of alternatives' scope of analysis has been approved, the analysis director shall draft the analysis plan. This plan shall contain details associated with:
 - a. Issues to be addressed in the analysis.
 - b. Alternatives to be analyzed.
 - c. Scenarios (including the threat laydown) to be used.
 - d. Mathematical models or simulations to be employed.
 - e. MOEs (and as appropriate, associated Measures of Performance (MOPs)) to be used.
 - f. Work plan including a listing of responsibilities (effort and schedule) for supporting organizations.

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g. Plan of action and milestones (POA&M) corresponding with milestones listed in the approved scope of analysis.

3. Along with their other duties, analysis directors shall:

- a. Act as spokesperson by presenting periodic analysis briefings (see paragraph 1.9 on briefings/reports below).

- b. Ensure that measures are taken to coordinate ACAT I program analysis efforts with all appropriate external agencies.

- c. Organize an analysis team to assist in planning, conducting, and evaluating the analysis. This analysis team shall include representatives from the organizations represented in the analysis of alternatives IPT, as necessary.

4. In the event that a contractor is employed as an analysis director, actions shall be taken to avoid both the appearance and existence of an organizational conflict of interest.

1.6 CNO Role in the Analysis of Alternatives Process

CNO (N8) shall be jointly responsible with the ASN(RD&A) for top-level oversight of the analysis of alternatives process. In this role, CNO (N8) shall facilitate the process of arriving at consolidated CNO positions on matters relating to alternatives analysis and is the final CNO approval authority for ACAT I, II, and III program analysis decisions. For ACAT IV programs, these tasks shall be performed by the program sponsor.

1. CNO program sponsors shall be responsible for providing active user representation on analysis of alternatives IPTs, proposing an analysis of alternatives scope of analysis, and planning and programming efforts as detailed in this instruction, enclosure (2), paragraph 2.4. (PEOs/SYSCOMs or DRPMS/PMs, as appropriate, in conjunction with the cognizant resource sponsors, are responsible for budgeting for and execution of this funding.)
2. The Director of Naval Intelligence shall validate the threat capability described in an analysis of alternatives.
3. Director, Test and Evaluation and Technology Requirements (CNO (N091)) shall provide advice and counsel with respect to MOEs and MOPs used in analysis of alternatives. The intent is to ensure that criteria used to justify acquisition decisions are

either directly testable through MOEs or are indirectly testable through MOPs. CNO (N091) shall forward MOEs and MOPs developed during the analysis of alternatives to COMOPTEVFOR for review with respect to their testability.

4. The Head, Requirements and Acquisition Support Branch (CNO (N810)) is the CNO (N8) point of contact for matters relating to analysis of alternatives. As the OPNAV tracker for processing analysis of alternatives, CNO (N81) shall be provided copies of all correspondence and documentation associated with all analysis of alternatives.
5. Deputy Chief of Naval Operations (Plans, Policy and Operations) (CNO (N3/5)) shall develop and accredit scenarios consistent with Defense Planning Guidance for use in analyses of alternatives.
6. Director, Space and Electronic Warfare (CNO (N6)) shall accredit all models used in analyses of alternatives.
7. Deputy Chief of Naval Operations (Manpower and Personnel) (CNO (N1)) is the point of contact for matters relating to manpower requirements analysis of requirements. The intent is to ensure IPTs fully explore manpower implications of new weapons systems and alternatives that favor reductions in manpower, personnel and training, and total life-cycle cost.

1.7 CMC Role in the Analysis of Alternatives Process

The DC/S(P&R) is jointly responsible with the ASN(RD&A) for overseeing Marine Corps analysis activities. In this role, DC/S(P&R) facilitates the process of arriving at consolidated CMC positions on analysis of alternatives matters and acts as the final CMC approval authority for analysis of alternatives directors, analysis plans, and formal reports for ACAT I, II, and III analyses. MCCDC (C44) and MARCORSSYSCOM jointly perform these functions for ACAT IV analyses of alternatives.

1. In support of analyses that require Marine Corps-unique operations, DC/S(P&R) shall develop and accredit scenarios consistent with Defense Planning Guidance.
2. MCCDC shall provide for active user representation to the analysis director, as well as planning, programming, and budgeting funding for analysis of alternatives activities conducted prior to program initiation.

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3. As the resource sponsor, DC/S(P&R) shall plan, program, and budget funding to support analysis of alternatives efforts following program initiation. In conjunction with PEOs/DRPMS/PMS, as appropriate, DC/S(P&R) shall budget for these analysis efforts.
4. The Director of the United States Marine Corps Intelligence Center (USMCIC) shall validate the threat capability described in Marine Corps analyses.
5. MCOTEA personnel shall provide advice and counsel with respect to MOEs and MOPs used in analyses. The intent is to ensure that criteria used to justify acquisition decisions are either directly testable through MOEs or are indirectly testable through MOPs. DC/S(P&R) shall forward MOEs and MOPs developed during the analysis of alternatives for Marine Corps programs to Director, MCOTEA for review with respect to their testability.
6. For ACAT III and IV programs, the Marine Corps analysis of alternatives Standing IPT provides advice and counsel to DC/S(P&R) (ACAT III)/CG, MCCDC(ACAT IV) and MARCORSYSCOM. They review and prioritize analyses considering urgency of need, to ensure maximum efficiency in cost, time, and level of effort. The Standing IPT also advises the MDA on tailoring analysis of alternatives. During the conduct of formal analyses of alternatives, the IPT shall provide guidance to the analysis director.

1.8 PM Role in the Analysis of Alternatives Process

As a member of the analysis of alternatives IPT, the PM shall provide analysis directors valuable advice and counsel, particularly regarding the executability of proposed alternatives. In conjunction with the resource sponsor, PMs shall provide and execute analysis funding in support of the analysis director's plan. PMs shall also be responsible for ensuring appropriate organizational conflict of interest clauses are included in contracts for analysis of alternatives-related services. As the sole person who is privy to related industry efforts, the PM shall be responsible for providing feedback so that analysis of alternatives efforts can be coordinated with ongoing industrial concept exploration studies. The intent is for both efforts to be comprehensive and complementary.

1.9 Briefings/Reports

1. Typically an analysis of alternatives proceeds in the following five phases:
 - a. Planning.
 - b. Determination of performance drivers.

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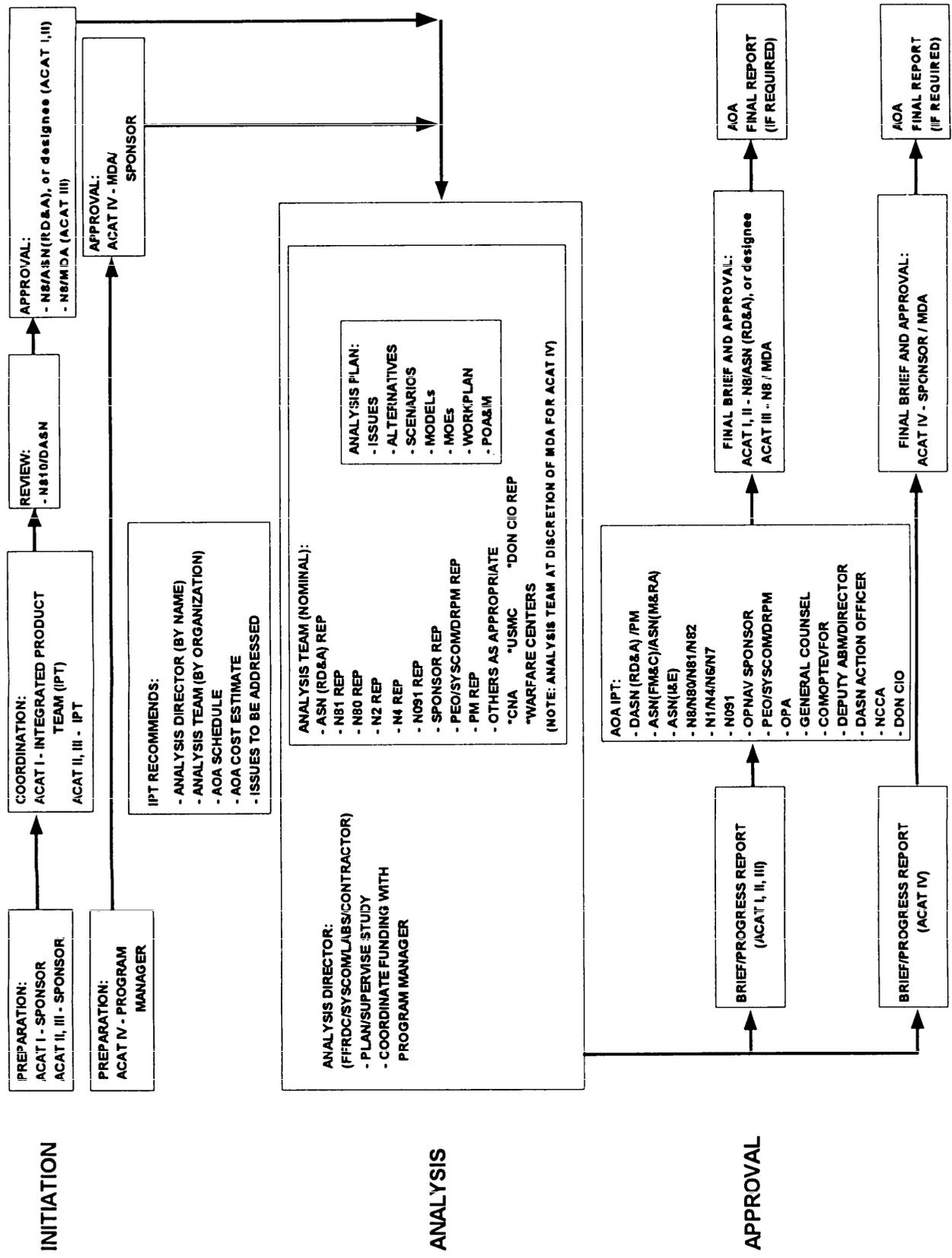
- c. Determination of cost drivers.
 - d. Resolution of cost/performance issues.
 - e. Preparing final briefing, and final report, if necessary.
2. To ensure an analysis of alternatives is progressing satisfactorily and will be completed in time to support an acquisition milestone, analysis directors shall provide status briefings to the analysis of alternatives IPT, when requested.
 3. At the end of the process, the analysis of alternatives IPT shall be presented a final briefing of analysis results. If required, the final report and the associated brief shall also be reviewed by the analysis of alternatives IPT. The intent is to ensure all issues have been addressed and that the brief accurately represents the analysis. The final report for an ACAT I or II program is approved by ASN(RD&A) and CNO (N8)/CMC (DC/S(P&R)), if required. The final report for an ACAT III program is approved by the MDA and CNO (N8)/CMC (DC/S(P&R)), if required. The final report for an ACAT IV program is approved by the MDA and program sponsor, if required. (See the Deskbook (DON Section) for sample final report approval signature pages.)
 4. In the case of ACAT ID programs, ASN(RD&A) and CNO (N8) or CMC (DC/S(P&R)), as appropriate, shall approve the analysis of alternatives performance parameters approximately 120 days prior to the Defense Acquisition Board (DAB) date. This shall support the Joint Requirements Oversight Council (JROC) review of the key performance parameter thresholds and objectives, as specified in the ORD and APB.
 5. A copy of all approved ACAT I, II, III, and IV analysis of alternatives final reports, if required, shall be provided to COMOPTEVFOR, or Director, MCOTEA, as appropriate. A copy shall also be provided to CNO (N810), as the OPNAV historian for analysis of alternatives.

1.10 Navy Analysis of Alternatives Process

The Navy analysis of alternatives process diagram is shown on the next page. A sample scope of analysis and final report signature approval pages are provided in the Deskbook (DON Section).

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ASN(RD&A)/OPNAV AOA INITIATION, ANALYSIS, AND APPROVAL PROCESS



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ANNEX A, WEAPON SYSTEM PROGRAMS
SECTION 3 - OPERATIONAL REQUIREMENTS DOCUMENTS

- References:
- (a) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96 (NOTAL)
 - (b) Chairman Joint Chiefs of Staff Memorandum of Policy No. 77, "Requirements Generation System Policies and Procedures," 17 Sep 92 (NOTAL)
 - (c) MCO 3900.4D, "Marine Corps Program Initiation and Operational Requirement Documents," 31 Jan 91 (NOTAL)

1.1 Procedures

1.1.1 Preparation and Submission

1. The analysis of alternatives normally leads the development of the ORD. The analysis of alternatives and ORD may be developed and updated in parallel. However, since the final ORD should be consistent with the analysis of alternatives, the analysis of alternatives results need to be available early in the ORD review cycle to allow for ORD independent validation efforts. Thus, the minimum acceptable operational requirements (i.e., thresholds) and objectives in the ORD shall consider and be consistent with the analysis of alternatives results for each milestone. References (a) and (b) provide the format and guidance for DON development of the ORD. Reference (c) also provides guidance for Marine Corps program ORD development.

1.1.2 Review Procedures

1. This section, following the "ORD Review, Validation, and Approval Process" graphic, contains the OPNAV ORD signature cover page formats.
2. This section describes the OPNAV ORD implementation procedures for preparation, review, endorsement, validation, and approval. Marine Corps ORDs, for programs that require Navy fiscal sponsorship, are processed in accordance with reference (c) and enclosure (7), appendix II, annex A, section 3, paragraph 6, Step 6 Final Coordination.

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OPERATIONAL REQUIREMENTS DOCUMENT (FORMAT)

OPERATIONAL REQUIREMENTS DOCUMENT

FOR

PROGRAM TITLE

(Paragraphs 4a and 4b in the ORD format in reference (a), appendix II, shall be implemented in DON as clarified in paragraphs 4a(1), 4b(1), 4b(2), and 4b(3) below:)

4. Capabilities Required. Identify....

a. System Performance. Describe....

- (1) Base all performance thresholds on an analysis of mission demands and comparable fleet and commercial system experience. Thresholds and objectives shall be stated in measurable terms.

b. Logistics and Readiness. Include....

- (1) Readiness thresholds shall account for all system downtime, including scheduled maintenance.
- (2) Diagnostics effectiveness thresholds shall be established for systems whose faults are to be detected by external support equipment or built-in test (BIT). Threshold parameters shall include percent correct fault detection, percent correct fault isolation to a specified ambiguity group, and percent false alarms.
- (3) The calculation of mean time between operational mission failure (MTBOMF), shall be used as the operational system reliability parameter during OT&E, including OPEVAL.

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OPNAV OPERATIONAL REQUIREMENTS DOCUMENT PROCEDURES

1. Step 1 ORD Initiation or Updating. This step applies to initiation of a new ORD or updating an existing ORD prior to a milestone. The program sponsor shall:
 - a. Administer/track operational requirements processing.
 - b. Verify that the exit criteria for the approaching milestone decision have been met.
 - c. Prepare a draft ORD based upon the emerging results of an analysis of alternatives. [Note 1]
 - d. Assign sponsor's priority. [Note 2]
 - e. Ensure that the performance parameters, specified in terms of thresholds and objectives, satisfy the mission need. Also ensure that key performance parameters in the ORD are identified in such a fashion that they may be extracted and included in the acquisition program baseline (APB).
 - f. Coordinate with the PEO/SYSCOM/DRPM/PM or the cognizant Deputy Assistant Secretary of the Navy (Research, Development and Acquisition) (DASN(RD&A)) to verify the potential ACAT.
 - g. Coordinate with CNO (N810) before routing to ensure appropriate OPNAV codes are identified and that the document complies with references (a) and (b) and this instruction. Use initial draft review signature page for routing (see this instruction, enclosure (7), appendix II, annex A, section 3, ORD "(For Final Review)" Cover Page). [Note 3]

Step 1 NOTES:

(1) Draft ORDs for applicable (see paragraph 6, Step 6) USMC programs shall be forwarded from MCCDC.

(2) Program sponsor priority ranking categories:

- (a) "1" **Essential** capability absolutely necessary for the success of (joint) operations. Includes programs which are mandated by regulations or necessary for the safe operation of (joint) forces (i.e., a cost of doing business).
- (b) "2" **Critical** program to ensure that (joint) combat effectiveness is not jeopardized. Loss of capability would result in a severe risk to (joint) forces in carrying out a mission.
- (c) "3" **Important** program to (joint) combat effectiveness. Precludes serious risk in one or more (joint) mission areas. Lost capability could result in increased losses or extended timeliness but would not jeopardize overall (joint) mission.
- (d) "4" **Valid** warfighting capability that provides marginal contribution to (joint) combat effectiveness. Loss may result in some risk to (joint) operations. May be duplicative with another service(s) capability.
- (e) "5" **Excess** capability. Could be replaced by another intra/inter-service program with minimum impact on (joint) combat effectiveness.

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(3) Reference (a), appendix II, paragraph 5h, requires identification of "procedural and technical interfaces, and communication, protocols, and standards required to be incorporated to ensure compatibility and interoperability with other Service, Joint Service, and Allied systems." A statement addressing the specific capabilities required for joint interoperability shall be made. If interoperability is not a requirement, so state.

2. Step 2 Initial review

a. The program sponsor shall:

- (1) Distribute the draft ORD concurrently to CNO (N091, N096, N1, N2, N3/5, N4, N6, N81, N83 (for CINC and FLTCINC)) for review and comment. [Notes 1 and 2]
- (2) Forward a copy of the draft ORD to ASN(RD&A) and the cognizant SYSCOM/PEO/DRPMs for information.

b. CNO (N81) shall:

- (1) Enter the draft ORD into the requirements document library data base. [CNO (N810)]
- (2) Review ORD and forward comments to sponsor. [CNO (N810/N815)]
- (3) Forward the following types of ORDs to the other Services for joint assessment
 - (a) ORDs which have been preceded by a MNS which was evaluated joint or joint interest.
 - (b) ORDs which, on an exception basis, have not been preceded by a MNS.
- (4) In addition to joint assessment, C4I related ORDs shall be forwarded to JCS(J-6I) for a C4I interoperability certification by JCS(J-6). [Notes 3 and 4]

Step 2 NOTES:

- (1) The program sponsor shall repeat the initial review if the revisions are substantial.
- (2) CNO (N091) shall forward ORD to COMOPTEVFOR for review. CNO(N091) shall provide consolidated comments.
- (3) CNO (N81) signature on the applicable review signature page (see appendix II, page II-32) shall be required before the ORD is forwarded to JROC secretariat.
- (4) CNO (N81) also staffs other Services' ORDs which have MNSs evaluated as joint or joint interest, or are not preceded by a MNS, to reassess JPD review by OPNAV staff. Appropriate OPNAV codes for review shall include CNO (N51, N6, N83, N091) and others as topics relate.

3. Step 3 ORD revision. The program sponsor shall:

- a. Consolidate comments and revise document as required. For USMC programs, forward OPNAV comments to MCCDC, as applicable.

- b. For Navy programs, prepare smooth ORD with final flag-level endorsement signature page (see at end of this section).
 - c. Coordinate with CNO (N801) for R3B, if required. A R3B may be convened before the ORD is validated and endorsed/approved (see Note 2 under Step 7). CNO (N801) schedules R3B.
 - d. For Navy ACAT ID programs, coordinate with CNO (N810) for JROC schedule and briefing. CNO (N810) assists the sponsor with the joint review of the key performance parameters extracted from the ORD and included in the APB.
 - e. Ensure CNO (N810) is provided an advance copy of the smooth ORD prior to starting final flag-level endorsement.
 - f. Forward the ORD concurrently to applicable OPNAV codes for final flag-level endorsement: CNO (N091, N096, N1, N2, N3/5, N4, N6 (Space and Electronic Warfare (SEW) and C4I Only), N83 (for CINC and FLTCINC endorsement)).
4. Step 4 Final Flag-level endorsement. Applicable OPNAV codes (CNO (N091, N096, N1, N2, N3/5, N4, N6 (SEW and C4I only), and N83 (for CINC and FLTCINC endorsement)) shall review and endorse ORD (flag-level) on attached signature page.
 5. Step 5 Final review preparation. The program sponsor shall:
 - a. For Navy ACAT ID programs, prepare proposed JROC briefing.
 - b. For ACAT I programs, obtain CNO (N80) endorsement of the draft APB.
 - c. Forward final ORD with original flag-level signature endorsements, draft APB, and approved analysis of alternatives results to CNO (N81) for final coordination and processing. For Navy ACAT ID programs, include the proposed JROC briefing, draft APB performance section, and an electronic file in CNO standard word processing software.
 6. Step 6 Final coordination. CNO (N810) shall:
 - a. Verify that the final document complies with references (a) and (b) and this instruction, and that all endorsements have been received.
 - b. Forward ACAT II, III, and IV ORDs to CNO (N8) for validation and approval (endorsement only for applicable USMC programs). Attach final approval signature page (see appendix II, page II-34). Proceed to Step 7.
 - c. Forward ACAT I ORDs to, in order, CNO (N8), VCNO, CNO for validation and endorsement/approval (and, for USMC programs, to MCCDC for ACMC endorsement and CMC approval). For Navy ACAT ID programs, include proposed JROC briefing, and draft

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APB performance section. Proceed to Step 8.

7. Step 7 ACAT II, III, and IV validation and approval

a. CNO (N8) shall:

- (1) Validate and approve Navy program ORDs. Endorse applicable USMC program ORDs (ACMC approves). [Notes 1 and 2]
- (2) Prioritize the need for the system relative to other warfighting programs (may be a R3B decision forum [Note 3]).

b. CNO (N810) shall:

- (1) For Navy programs, proceed to Step 12.
- (2) For applicable USMC programs, forward endorsed ORD to MCCDC for ACMC validation and approval.

Step 7 NOTES:

- (1) Validation of the ORD confirms that the capabilities provided by the objectives and thresholds of the performance parameters will fulfill the mission need, and that the key performance parameters are essential for mission need accomplishment.
- (2) Approval is the formal sanction of the requirements document and certifies that the documentation has been generated through the process required by references (a) and (b) and this instruction.
- (3) R3B may meet to review validity of documents and:
 - (a) Concur that the selected approach is the most operationally sound and cost effective.
 - (b) Evaluate whether the ORD and the key performance parameters of the APB meet the mission need.
 - (c) Evaluate degree of joint participation expected.
 - (d) Review interoperability issues.
 - (e) Assess risk and review priority of need.

8. Step 8 ACAT I endorsement. CNO (N8) shall:

- a. Review and endorse ORD (Navy and USMC programs).
- b. Forward ORD to VCNO.
- c. Review and comment as needed on proposed JROC briefing (Navy programs only).
- d. For Navy ACAT IC programs, validate the key performance parameters from the performance section of the draft APB (extracted from the ORD).

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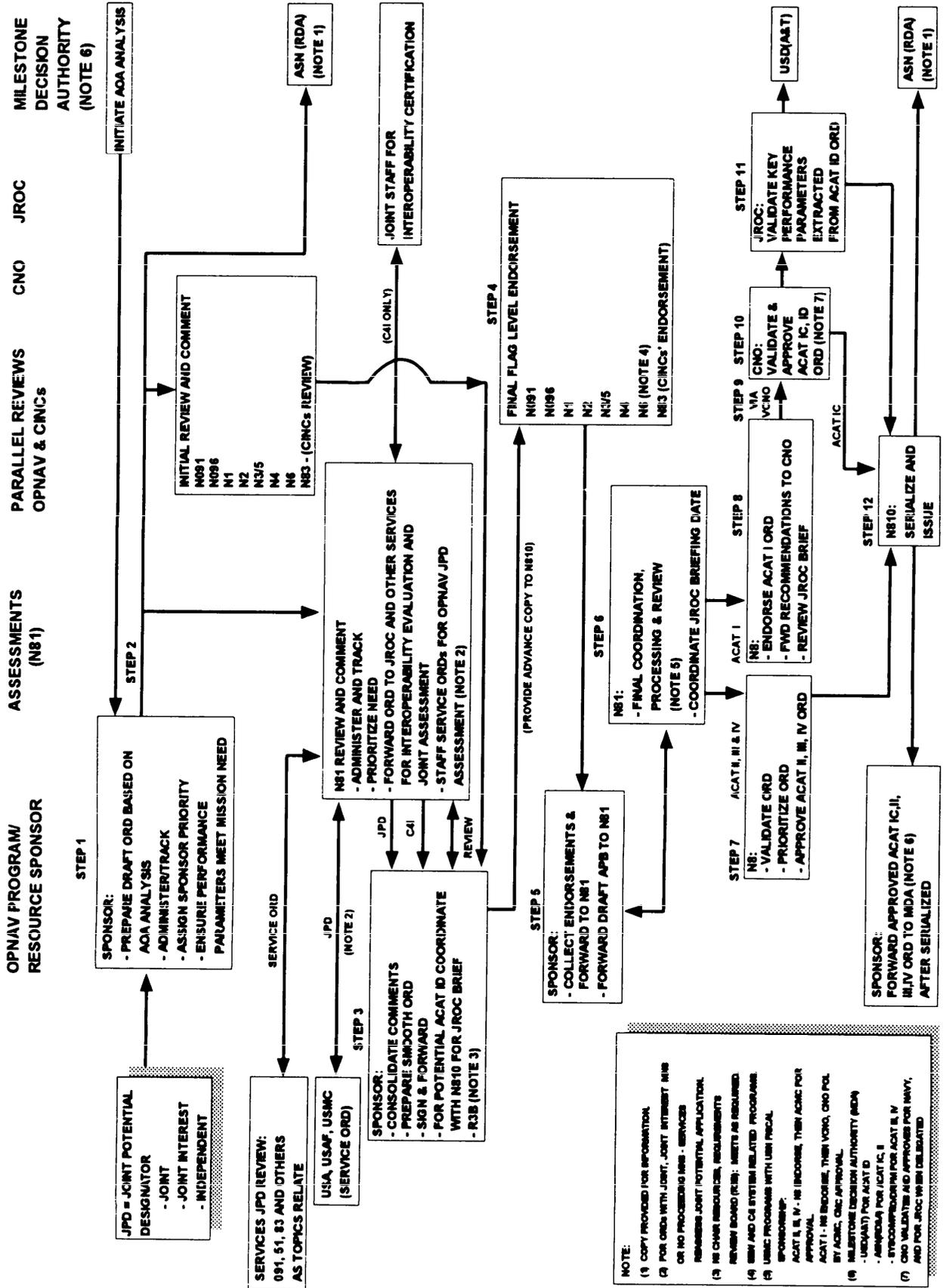
9. Step 9 VCNO endorsement. VCNO shall:
 - a. Review and endorse ORD (Navy and USMC programs).
 - b. Forward to CNO.
 - c. Review and comment as needed on proposed JROC briefing (Navy programs only).
10. Step 10 CNO validation and approval
 - a. CNO shall:
 - (1) For ACAT ID programs: endorse Navy program ORDs (validate and approve if JROC delegates authority), endorse ORDs for applicable USMC programs. Comment as needed on proposed JROC briefing (Navy programs only).
 - (2) For ACAT IC programs: validate and approve Navy ORDs, endorse ORDs for applicable USMC programs.
 - b. The program sponsor shall (for Navy ACAT ID programs) revise JROC briefing, as required, provide a smooth version (five copies) to CNO (N810).
 - c. CNO (N810) shall:
 - (1) For Navy ACAT ID programs, forward key performance parameters from the performance section of the draft APB (extracted from the ORD) and proposed JROC briefing to JROC secretariat.
 - (2) For Navy ACAT IC programs, proceed to Step 12.
 - (3) For all applicable USMC ACAT I programs, forward endorsed ORD to MCCDC.
11. Step 11 JROC (Navy ACAT I programs only)
 - a. The program sponsor shall conduct formal pre-briefs with VCNO as scheduled by CNO (N810). Preliminary briefs with CNO (N8 and N81) may also be required.
 - b. JROC validates and approves as follows:
 - (1) For ACAT ID programs: validates and approves ORD (except when authority delegated to CNO), validates the key performance parameters (extracted from the ORD). Vice CJCS forwards the key performance parameters to USD(A&T) for a Defense Acquisition Board (DAB) review.

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12. Step 12 Issuance

- a. CNO (N810) shall:
 - (1) Serialize (____ - [program sponsor N-code] -CY). Provide copy to the program/resource sponsor.
 - (2) Issue ORD.
- b. Following ORD approval, the program sponsor endorses the APB in accordance with this instruction, enclosure (7), appendix II, annex A, section 4, Acquisition Program Baseline Format Cover Sheet.
- c. The program sponsor shall forward the approved ORD to the MDA and PM.
- d. PEO/SYSCOM/DRPM shall schedule a milestone meeting.

ORD REVIEW, VALIDATION, AND APPROVAL PROCESS



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OPNAV OPERATIONAL REQUIREMENTS DOCUMENT COVER PAGES

OPERATIONAL REQUIREMENTS DOCUMENT

(For Review)

FOR

[insert program long title]
(POTENTIAL ACAT ____)

SUBMITTED: _____ PRIORITIZATION (*): _____

(PROGRAM SPONSOR) _____ (DATE)

REVIEWED :

(N091) _____ (DATE)

(N096) _____ (DATE)

(N1) _____ (DATE)

(N2) _____ (DATE)

(N3/5) _____ (DATE)

(N4) _____ (DATE)

(N6) _____ (DATE)

(N83 - CINC/FLTCINC review) _____ (DATE)

(N81 - N8 review) _____ (DATE)

(*) Prioritization: 1 = Essential 2 = Critical 3 = Important
(See appendix II, page II-25) 4 = Valid 5 = Excess

[Note: Use for initial ORD draft review of Navy and applicable (see paragraph 6) USMC programs. Flag-level signatures required.]

[Note: Initial draft review should be accomplished within 30 days, and does not need to be sequential.]

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OPERATIONAL REQUIREMENTS DOCUMENT

(For Endorsement)

FOR

[insert program long title]
(POTENTIAL ACAT ____)

SUBMITTED: _____ PRIORITIZATION (*): _____

(PROGRAM SPONSOR) _____ (DATE)

ENDORSED:

(N091) _____ (DATE)

(N096) _____ (DATE)

(N1) _____ (DATE)

(N2) _____ (DATE)

(N3/5) _____ (DATE)

(N4) _____ (DATE)

(N6 - SEW and C⁴I only) _____ (DATE)

(N83 - CINC/FLTCINC endorsement) _____ (DATE)

FINAL COORDINATION, PROCESSING and FORWARDING:

(N81) _____ (DATE)

(*) Prioritization: 1 = Essential 2 = Critical 3 = Important
(See appendix II, page II-25) 4 = Valid 5 = Excess

[Note: Use for final principal flag-level ORD endorsement of Navy and applicable (see paragraph 6) USMC programs]

[Note: Obtain all signatures before forwarding to N81 for final coordination, processing and forwarding]

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OPERATIONAL REQUIREMENTS DOCUMENT

(For Approval)

FOR

[insert program long title]

(POTENTIAL ACAT ____)

Serial Number (*) : _____

[Note: For ACAT II, III, and IV programs:]

VALIDATED and APPROVED:

(N8) (DATE)

[Note: For ACAT I programs:]

RECOMMENDED:

(N8) (DATE)

REVIEWED:

(VCNO) (DATE)

VALIDATED and APPROVED (**):

(CNO) (DATE)

VALIDATED and APPROVED:

(JROC) (*) (DATE)

[Note: Use for final ORD approval. N810 will attach this cover page]

(*) - CNO (N810) will assign serial number once validated and approved. For ACAT ID programs, CNO (N810) will insert JROC validation and approval date prior to issuance.

(**)- CNO validates and approves for Navy and for JROC when delegated.

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ANNEX A, WEAPON SYSTEM PROGRAMS
SECTION 4 - ACQUISITION PROGRAM BASELINES (APBs)/
APB DEVIATIONS

References: (a) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96 (NOTAL)

1.1 Procedures

1.1.1 Baseline Preparation

Acquisition program baselines (APBs) shall include an endorsement signature from CNO (resource sponsor (flag level))/CMC (CG, MCCDC) as shown in this instruction, enclosure (7), appendix II, annex A, section 4, Acquisition Program Baseline Format Cover Sheet. APBs for ACAT I and II programs shall be forwarded to ASN(RD&A) for DON approval after the required DON signatures have been obtained. For ACAT III and IV programs, the APB shall be forwarded to the appropriate MDA for DON approval. Additionally, the APB for ACAT I programs shall be provided to ASN(RD&A) on floppy disc in the Consolidated Acquisition Reporting System (CARS) format.

Changes to the APB shall be processed and approved in the form of an amended APB. OPNAV program deviation reporting processing procedures are provided in this section, paragraph 1.3.

1.1.2 OPNAV Processing Procedures

The diagram at the end of this section visually depicts the OPNAV APB review process. The focal point for OPNAV review of the APB is the requirements officer (RO) who shall work with the PM during APB preparation. To facilitate the RO's task, the PM shall supply copies of the APB for review. An expeditious OPNAV review is needed. The OPNAV codes that participate in the APB review are shown in the diagram at the end of this section. The RO shall provide OPNAV comments to the PM and shall attempt, with the PM, to resolve all OPNAV issues.

1.1.3 APB and ORD Coordination

For Navy programs, the PM shall provide a copy of the performance section of the draft APB to the resource sponsor to support the ORD validation and approval process.

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1.2 Responsibilities and Points of Contact

1.2.1 OPNAV Responsibilities

1. After preparation by the PM, the APB shall be forwarded to the resource sponsor for OPNAV review and validation. CNO (N4, N6, N8, and N091) shall review those parts of the APB under their cognizance.
2. Before signing the APB, the resource sponsor shall first obtain CNO (N80 and N81) endorsements on the draft APB performance, cost, and schedule parameters to ensure consistency with joint mission area assessments, the investment balance review (IBR), and affordability within the Planning Programming and Budgeting System (PPBS).
3. Following coordination with CNO (N80 and N81) and appropriate OPNAV offices, the resource sponsor (flag officer) shall sign the appropriate line of the cover sheet as an endorsement by the user representative and forward it to ASN(RD&A) for ACAT I and II programs and to the PEO/SYSCOM/DRPM for ACAT III and IV programs.
4. The resource sponsor (flag officer) shall endorse the APB prior to the milestone decision meeting for all ACAT programs.

1.2.2 OPNAV Points of Contact (POCs)

In addition to the program and resource sponsors, the following N-codes are POCs for the APB reviews visually depicted in enclosure (7), appendix II, Acquisition Program Baseline (APB) OPNAV Processing Procedure graphic: CNO (N43, N6E, N801X, N810, N912).

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ACQUISITION PROGRAM BASELINE FORMAT**CLASSIFICATION****ACQUISITION PROGRAM BASELINE
PROGRAM XXX**

With the objective of enhancing program stability and controlling cost growth, we, the undersigned, approve (unless otherwise indicated) this baseline document. Our intent is that the program be managed within the programmatic, schedule, and financial constraints identified. We agree to support, within the charter and authority of our respective official positions, the required funding in the Planning, Programming, and Budgeting System (PPBS).

This baseline document is a summary and does not provide detailed program requirements or content. It does, however, contain key performance, schedule, and cost parameters that are the basis for satisfying an identified mission need. As long as the program is being managed within the framework established by this baseline, in-phase reviews will not be held.

Program Manager (All ACAT programs)	Date	CNO (Resource Sponsor)/ CMC (CG, MCCDC) Endorsement (All ACAT programs)	Date
--	------	--	------

Program Executive Officer/SYSCOM/DRPM (All ACAT programs)	Date
--	------

DON Acquisition Executive (ACAT I & II programs)	Date
--	------

Under Secretary of Defense for Acquisition and Technology (ACAT ID programs)	Date
---	------

Derived from:
Declassify on:

CLASSIFICATION

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ACQUISITION PROGRAM BASELINE (APB) DEVIATIONS**1.3 Procedures****1.3.1 Program Deviation Criteria**

APB deviation criteria for ACATs II, III and IV programs are the same as for ACAT I programs as stated in reference (a), paragraph 3.2.1, i.e., unless otherwise specified, the threshold value for performance shall be the same as the objective value; the threshold value for schedule shall be the objective value plus 6 months for ACAT II, III, and IV weapons system programs; and the threshold value for cost shall be the objective value plus 10 percent.

1.3.2 Program Deviation Notification

Whenever the PM has determined that an APB breach has occurred or will occur, the PM shall immediately notify the milestone decision authority (MDA) through the chain of command. Within 30 days of the occurrence of an APB deviation for an ACAT program, the PM shall notify the MDA of the reason for the deviation and the actions that need to be taken to bring the program back within APB parameters (if this information was not included with the original APB deviation notification). See reference (a), paragraph 6.2.1.1, for further guidance.

1.3.3 Revised Baseline Approval

If a program cannot be brought back within the current APB, the PM shall prepare a revised draft APB, and obtain CNO (resource sponsor)/CMC (CG, MCCDC) endorsement prior to forwarding the revised draft APB to the Program Executive Officer (PEO)/SYSCOM/DRPM. CNO (resource sponsor)/CMC (CG, MCCDC) shall endorse an APB deviation notification (above the PEO/SYSCOM/DRPM signature line) such as, or similar to, the format shown in the Deskbook (DON Section).

1. For Navy ACAT I and II programs:

a. Resource sponsor shall review the APB deviation notification (via Ship Characteristics Improvement Program (SCIP)/Air Characteristics Improvement Program (ACIP)), if appropriate) and commit to continued funding, if appropriate, by signing an OPNAV coordination sheet for the APB deviation notification. CNO (N80 and N81) shall review the APB deviation notification and obtain CNO (N8) endorsement on it.

b. After CNO (N8) APB deviation notification endorsement, the resource sponsor shall endorse the revised draft APB.

c. See reference (a), paragraph 6.2.1.1, for further guidance for ACAT I programs.

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2. For Navy ACAT III and IV programs:

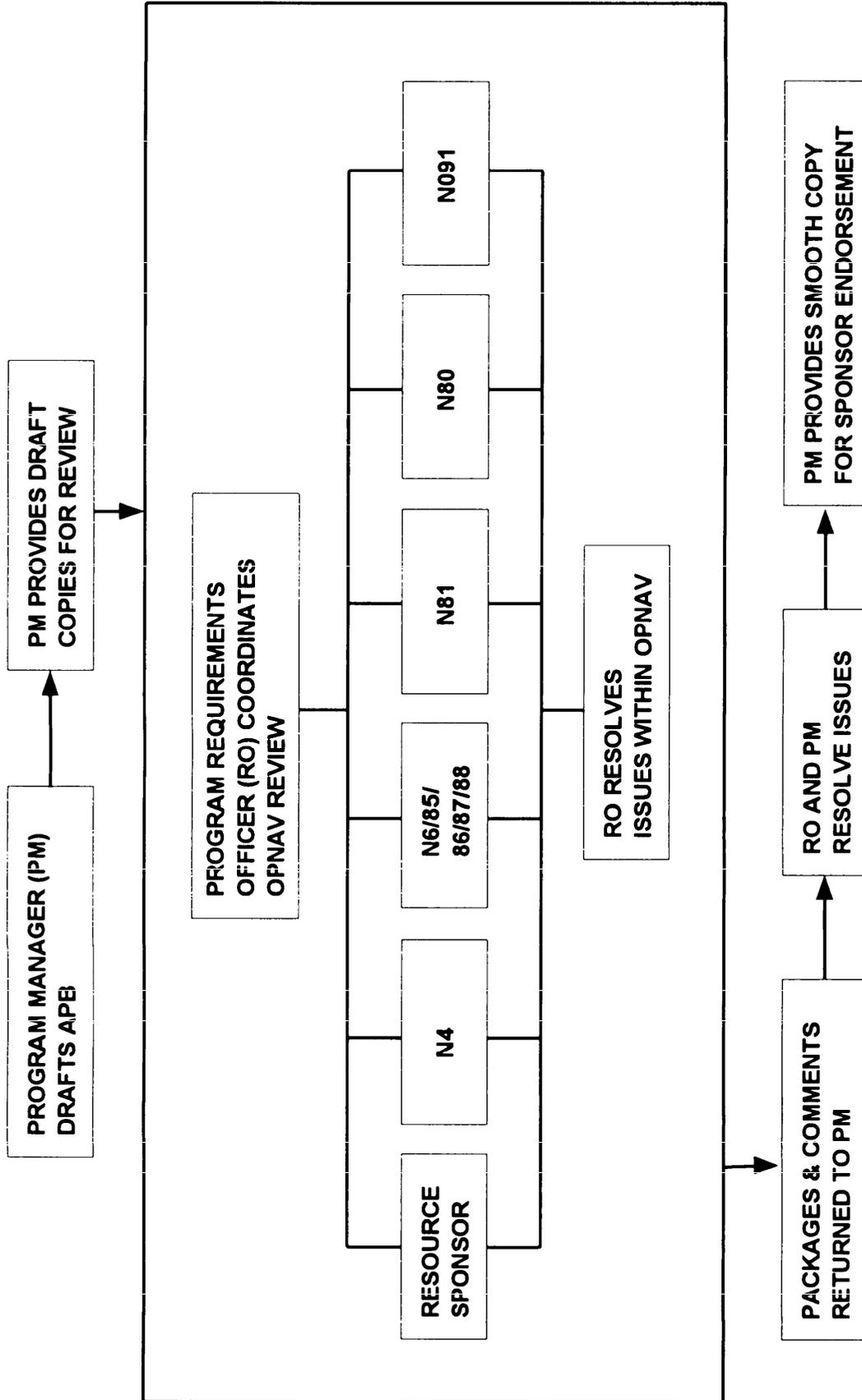
a. The resource sponsor shall review the APB deviation notification and the revised draft APB (via SCIP/ACIP, if appropriate), and commit to continued funding by signing the endorsement lines of the APB deviation notification and the revised draft APB.

CNO (resource sponsor)/CMC (CG, MCCDC) endorsement of the APB deviation notification and the revised APB shall be expeditiously forwarded to the MDA, the approval authority, via the appropriate chain of command.

Approved APB deviation notifications and APBs shall be maintained with the acquisition decision memorandum (ADM). The funding associated with the revised APB shall be considered the new program funding. The revised draft APB shall be approved prior to obligating funds.

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ACQUISITION PROGRAM BASELINE (APB) OPNAV PROCESSING PROCEDURES



ANNEX A, WEAPON SYSTEM PROGRAMS
SECTION 5 - JROC Interface

1.1 Background

The JROC shall review all Navy and Marine Corps ACAT I programs as discussed below (all days listed are calendar days).

1.2 Navy Procedures

A Pre-JROC brief shall precede every JROC review scheduled by the Navy. In preparation for briefing the JROC, the procedures below shall be followed:

1. The VCNO shall request all scheduling of JROC briefs. In preparation for the briefing, the program sponsor shall request the review via CNO (N81).
2. CNO (N810) shall coordinate the scheduling of the program brief with the JROC secretariat and notify the sponsor of the date assigned.
3. Twenty days before the Pre-JROC brief, the program sponsor's action officer (AO) shall pre-brief CNO (N81). If there are any contentious issues in the program, VCNO/CNO (N8) may require presentation and/or a talking paper to formalize a Navy position before the Pre-JROC brief.
4. Thirteen days before the scheduled JROC, the Sponsor's AO shall present a Pre-JROC briefing, chaired by Joint Chiefs of Staff (JCS) J-8. The Navy point of contact (NPOC) shall attend and assist the briefer.
5. When directed, the sponsor shall present two internal Navy pre-briefs for VCNO (and CNO (N3/5, N8, N81) on a case-by-case basis) between pre-JROC and JROC meetings: a detailed strategy brief at least 1 week in advance and a presentation brief the day before JROC meets. The purpose of the "week before" brief is to ensure that VCNO concurs with the presentation strategy and major decisions; the "day before" brief focuses on outstanding issues. Before these pre-briefs, the sponsor shall prepare a talking paper to outline the program and major issues and to recommend a Navy position.
6. JROC briefings scheduled for JROC by other Services shall be staffed internally within the Navy and briefed to the VCNO (and CNO (N8, N81) on a case-by-case basis) prior to the scheduled JROC brief.

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1.3 Navy Responsibilities and Points of Contact

1. Primary JROC coordination responsibility within OPNAV resides with CNO (N8).
 - a. All JROC issues being staffed for the VCNO will be submitted through CNO (N8).
 - b. CNO (N810) serves as the NPOC to the JROC Secretariat and is the single coordination point of contact within the OPNAV staff for JROC matters.
2. CNO (N3/5) shall support the JROC secretariat as requested by the NPOC.
3. OPNAV program sponsors shall appoint a subject matter expert (SME), normally the requirements officer (RO), to assist CNO (N810) in staffing joint issues.

1.4 Marine Corps Procedures

A pre-JROC brief shall precede every JROC review scheduled by the Marine Corps. In preparation for briefing the JROC, the procedures below shall be followed:

1. No later than 60 days before the desired review date, the sponsoring agency/office of the program requiring JROC review will request the JROC review via the Deputy Chief of Staff for Programs and Resources (D/CS(P&R)).
2. D/CS(P&R) shall coordinate the scheduling of the JROC brief with the JROC Secretariat (and OPNAV, when appropriate) and notify the sponsoring agency/office of the date assigned.
3. The sponsoring agency presents a pre-brief to D/CS(P&R) 21 days before the scheduled JROC.
4. Normally, 14 days before the JROC presentation, the sponsoring agency/office shall present the pre-JROC briefing to JCS(J-8). Three days before the pre-JROC, the briefer shall deliver copies of the brief to JCS (J-8) and discuss the brief with the USMC JROC point of contact, D/CS(P&R).
5. The sponsoring agency/office shall be prepared to present the JROC brief to the Assistant Commandant of the Marine Corps (ACMC) Committee after the Pre-JROC brief and no later than 7 days before the JROC presentation. USMC positions, decisions or strategies shall be determined at the ACMC Committee brief.
6. Once briefed to the ACMC Committee, any changes to the JROC brief shall be approved by ACMC before JROC

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presentation. Copies of the JROC brief shall be delivered to JCS (J-8) no later than 48 hours before the JROC brief.

7. On the day before the JROC brief, a final ACMC pre-brief shall occur. All required information and formats are available from the USMC POC.
8. JROC briefings scheduled by other Services or Agencies are also staffed internally within the Marine Corps and are pre-briefed to ACMC and others, as appropriate. These pre-briefs shall be conducted by CMC/MCCDC/MARCORSYSCOM SMEs on the day before the JROC. D/CS(P&R) shall coordinate the designation of SMEs and provide briefing material formats.

1.5 USMC Responsibilities and Points of Contacts

1. Primary JROC coordination responsibility with CMC/MCCDC/MARCORSYSCOM resides in D/CS(P&R).
 - a. All JROC issues to be staffed for the ACMC shall be submitted in accordance with the JROC charter through D/CS(P&R).
 - b. CMC (RPA-1) serves as USMC point of contact to the JROC Secretariat and is the single POC for JROC matters.
2. Sponsoring agencies/offices and other CMC/MCCDC/MARCORSYSCOM offices shall designate SMEs to assist RPA-1 in staffing JROC issues as required. When directed, these agencies/offices will provide assistance to D/CS, P&R in preparing ACMC for participation in other JROC matters.

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ANNEX A, WEAPON SYSTEM PROGRAMS
SECTION 6 - NON-ACQUISITION PROGRAM PROCEDURES

1.1 Management of Non-Acquisition Programs

Non-acquisition programs shall be managed as follows:

1. All non-acquisition programs will be assessed annually by CNO (N091)/CMC (MARCORSYSCOM), as supported by the Science and Technology Requirements Committee (STRC) and/or by the Science and Technology Working Group (STWG). This review verifies that programs are progressing as directed and/or identifies the need for non-acquisition program definition document (NAPDD) revision or cancellation. Reviews shall be conducted annually with results made available for subsequent program objective memorandum (POM) development. STRC/STWG membership is provided at the end of this section.
2. Technology base programs, basic research (6.1) and applied research (6.2), do not require preparation of NAPDDs, but shall continue using current documentation required to support the Planning, Programming and Budgeting System (PPBS).
3. A NAPDD shall be used to initiate and manage non-acquisition programs (6.3 - 6.7) such as those described in this instruction, enclosure (1), paragraph 1.8, costing more than \$200 thousand in any 1 year or more than \$1 million over the life of the effort (then-year dollars). All NAPDDs shall be submitted by CNO/CMC (resource sponsor/MARCORSYSCOM), endorsed by CNO (N8)/CMC (CG, MCCDC), and approved by CNO (N091)/CMC (MARCORSYSCOM). This CNO/CMC approval constitutes commitment to the effort.
4. Requests to initiate a non-acquisition program (6.3 - 6.7) shall be submitted to a CNO/CMC resource sponsor by PEOs, SYSCOMs, DRPMs, or any other appropriate DON activity. Marine Corps requests to initiate a non-acquisition program shall be submitted to MARCORSYSCOM (AWT). Detailed NAPDD submission format is contained in this section, after paragraph 1.2, and is titled "Non-Acquisition Program Definition Document (NAPDD) (FORMAT)". A NAPDD can be issued at any time; however, if a new start non-acquisition program (6.3 - 6.7) is to be included in the POM submission, the initiation guidance from CNO/CMC, or designee, shall be issued by the beginning of the fiscal year of the POM submission. NAPDDs for new start non-acquisition programs (6.3 - 6.7) shall be issued in time for a summer CNO (N091)/STRC/STWG assessment. Non-acquisition programs which do not meet this schedule could require funding by reprogramming.

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5. Deliverables from non-acquisition programs that transition into a related ACAT program shall be identified in an analysis of alternatives, an operational requirements document (ORD), and an acquisition program baseline (APB) for that ACAT program.
6. NAPDDs shall normally expire 3 years after approval. After 3 years, a revised or revalidated NAPDD is required to continue the program. The revised NAPDD shall include justification for continuance beyond the initial 3-year validity period. The NAPDD shall contain estimated resources required to complete the effort and the deliverables that are required.

1.2 Responsibilities and Points of Contact

The Marine Corps point of contact for non-acquisition programs and NAPDDs is MARCORSYSCOM (AWT).

Specific OPNAV NAPDD submission responsibilities include the following:

1. Originating command shall:
 - a. Submit request or rough draft of proposed NAPDD to the applicable program sponsor.
2. Program sponsor shall:
 - a. Ensure NAPDD is in proper format.
 - b. Route draft copies to the resource sponsor (when different), the applicable PEO/SYSCOM/DRPM (if not the originator), CNO (N8) via CNO (N81), and CNO (N091) for review and comment.
 - c. Consolidate and incorporate all comments received from the review, signs as the document preparer, and forwards to CNO (N8) via CNO (N81).
3. CNO (N8) shall:
 - a. Endorse and forward to CNO (N091).
4. CNO (N091) shall:
 - a. Review, assign a NAPDD number, and sign as final approval authority.
 - b. Establish STRC/STWG which shall conduct yearly assessments of non-acquisition programs (6.1 - 6.7) and NAPDDs, as applicable, to verify that the programs are progressing as directed and whether redirection or cancellation is required. Membership is shown at the end of this section.

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c. Forward approved NAPDD to the cognizant PEO/SYSCOM/DRPM. A copy shall be provided to ASN(RD&A) for information.

d. Maintain a database of all active NAPDDs and publish annually a consolidated list of current NAPDDs and their expiration dates. A copy of the consolidated list shall be provided to ASN(RD&A).

NON-ACQUISITION PROGRAM DEFINITION DOCUMENT (NAPDD)
(FORMAT)

FOR

[GENERIC NAME]

[Limit length to a maximum of 3 pages]

1. Purpose/Intent of Effort. Include necessary background information to discuss shortcomings of existing technologies/equipments. Describe previously examined systems or concepts, including an assessment of international technology, relevant to the program under consideration. Briefly discuss the mission area/application in which the results of the non-acquisition program might be employed and the anticipated degree of enhancement.
2. Scope of Effort. Describe the nature and scope of the envisioned effort (e.g., advanced technology demonstrations of existing technologies/systems, refinement of emerging advanced technologies or advanced technologies, development of theoretical concepts, or concept evaluations (e.g., nondevelopmental items)).
3. Resource Summary. Provide planned research, development, test and evaluation, Navy (RDT&E,N)/Marine Corps (RDT&E,MC) funding profile by year for each of the authorized years. While 3 years is normally the maximum period for a NAPDD, provide total out-year funding by fiscal year if additional effort is anticipated.
4. Deliverables. Describe the deliverables that are to be produced pursuant to authorized expenditure of funds (e.g., hardware or software demonstrations, concept evaluations, models, designs, reports, reviews, concept exploration and definition documentation, etc.). Specify delivery dates for each item by fiscal year and quarter.
5. Program Reviews. Require the submission of a plan of action and milestones (POA&M) which describes the strategy for execution and completion of the effort. Provide an anticipated schedule for the submission of the POA&M and a schedule for NAPDD reviews.
6. Transition. Outline the plan for transition to an ACAT program. Identify resources, program sponsor, program element, and project to which an advanced technology demonstration (ATD) would transition.

NON-ACQUISITION PROGRAM DEFINITION DOCUMENT (NAPDD)

FOR

[GENERIC NAME]

[NAPDD # _____ ASSIGNED BY CNO (N091)/MARCORSYSCOM, UPON APPROVAL]

PE _____

Program _____

SUBMITTED:

CNO (resource sponsor)/MARCORSYSCOM
Typed Name

Date

ENDORSED:

CNO (N8)/CG, MCCDC
Typed Name

Date

APPROVED:

CNO (N091)/MARCORSYSCOM
Typed Name

Date

Distribution:
Cognizant PEO/SYSCOM/DRPM

Copy to:
ASN(RD&A)

SCIENCE AND TECHNOLOGY REQUIREMENTS COMMITTEE (STRC) /
SCIENCE AND TECHNOLOGY WORKING GROUP (STWG)
MEMBERSHIP

STRC MEMBERS:

CNO (N091) (CHAIR)
CNO (N911) (EXEC SECY)
CNO (N1, N2, N3/N5, N4, N6, N7, N80, N81, N83, N85, N86, N87,
N88, N093, N096)
CMC (DC/C(I&L))
CMC (DC/S(P&R))
CNR
ASN(RD&A)

STWG MEMBERS:

CNO (N091) (CHAIR)
CNO (N911) (EXEC SECY)
CNO (N00K, N1, N2, N3/N5, N4, N6, N75, N8, N80, N81, N83, N85,
N86, N87, N88, N093, N096)
CMC (DC/S(I&L))
COMNAVAIRSYSCOM
COMNAVSEASYSYSCOM
COMNAVSUPSYSCOM
COMSPAWARSYSCOM
PEO/DRPM (as appropriate)
CNR (TECHNOLOGY DIRECTORATE)
MARCORSYSCOM (AWT)
DARPA
ASN(RD&A)

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ANNEX A, WEAPON SYSTEM PROGRAMS
SECTION 7 - ACAT DESIGNATION REQUEST (CONTENT)
OR
ACAT DESIGNATION CHANGE REQUEST (CONTENT)

The memorandum requesting an acquisition category (ACAT) designation or requesting a change in ACAT designation shall be sent to ASN(RD&A) for ACAT ID, IC, and II programs via PEO/SYSCOM/DRPM, or to PEO/SYSCOM/DRPM for weapon system ACAT III and ACAT IV programs, and shall contain the following information:

1. Acquisition program short and long title.
2. Prospective claimant/SYSCOM/PEO/DRPM/PM.
3. Prospective funding: (where known)
 - a. Appropriation (APPN): [repeat for each appropriation]
 - (1) [Repeat for each program element (PE)/Line Item (LI)/Sub-project (Sub)]
 - Program Element (No./Title):
 - Project Number/Line Item (No./Title):
 - Sub-project/Line Item (No./Title):
 - Budget: [FY-1996 constant dollars in millions]

Current FY	Budget FY	To Complete	Total						

4. Program description. (Provide a brief description of the program, including its mission)
5. List Mission Need Statement, Operational Requirements Document, and respective approval dates.
6. Milestone status. (list completed milestones and dates; list scheduled milestones and dates)
7. Recommended ACAT assignment, or change, and rationale.

Copy to: ASN(RD&A) [ACAT III and IV programs]
 DASN(RD&A) [cognizant DASN for all ACAT programs]
 CNO (N8/N091) [All Navy ACAT programs]
 CMC (MCCDC) [All Marine Corps ACAT programs]
 COMOPTEVFOR [All Navy ACAT programs]
 Dir, MCOTEA [All Marine Corps ACAT programs]