

SECTION 2: GENERAL POLICIES AND RESPONSIBILITIES

TABLE OF CONTENTS

SUBSECTION 2-1 GENERAL POLICIES	1
2-1.1 SCOPE.....	1
SUBSECTION 2-2 RESPONSIBILITIES	2
2-2.1 BACKGROUND	2
2-2.2 SCOPE.....	2
2-2.3 CHIEF OF NAVAL OPERATIONS (CNO)/RESOURCE SPONSOR RESPONSIBILITIES	3
2-2.4 PEO/SYSCOM RESPONSIBILITIES	3
2-2.5 TYPE COMMANDER (TYCOM) RESPONSIBILITIES	3
2-2.6 SHIP PROGRAM MANAGER (SPM) RESPONSIBILITIES	4
2-2.7 NAVSEA RESPONSIBILITIES	5
2-2.7.1 NAVSEA 08 Responsibilities.....	5
2-2.7.2 NAVSEA 04RP Responsibilities.....	5
2-2.8 NAVAL SUPERVISING ACTIVITY (NSA) RESPONSIBILITIES.....	6
2-2.9 LIFE CYCLE MANAGER (LCM)/ PARTICIPATING ACQUISITION RESOURCE MANAGER (PARM) RESPONSIBILITIES.....	8
2-2.10 COMMANDER, FLEET FORCES COMMAND (CFFC) N8 RESPONSIBILITIES:.....	9
2-2.11 FLEET COMMANDERS RESPONSIBILITIES	9
2-2.12 INITIATOR RESPONSIBILITIES	10
2-2.13 SCD SUBMITTER RESPONSIBILITIES	10
2-2.14 TECHNICAL ASSESSMENT TEAM (TAT) RESPONSIBILITIES.....	11
2-2.15 AFOM REVIEWER RESPONSIBILITIES	11
2-2.16 CBA REVIEWER RESPONSIBILITIES	11
2-2.17 DECISION STAKEHOLDERS.....	12
2-2.17.1 O-6 Decision Board.....	12

2-2.17.2	<i>1 & 2 Star Decision Board</i>	12
2-2.17.3	<i>3 Star Decision Board</i>	13
2-2.18	IMMEDIATE SUPERIOR IN COMMAND (ISIC), CLASS SQUADRON (CLASSRON) AND SHIPS FORCE RESPONSIBILITIES	13

References

- S2(a) OPNAVINST 4790.4 (Series), Ship's 3M System Manual
- S2(b) CINCLANTFLT/CINCPACFLTINST 4720.3, Series, Management of Afloat Combat Systems and C4I Installations and Improvements
- S2(c) NAVSEA SL720-AA-MAN-010/020 Revision 2, Fleet Modernization Program (FMP) Management and Operations Manual
- S2(d) Virtual SYSCOM Engineering and Technical Authority Policy, VS-JI-22
- S2(e) COMFLTFORCOMINST 4790.3 Joint Fleet Maintenance Manual (JFMM)
- S2(f) CNO Washington, D.C. 211344Z JUL 06

SUBSECTION 2-1 GENERAL POLICIES

2-1.1 Scope

This section of the Navy Modernization Process Management and Operations Manual (NMP-MOM) presents general system level policies for planning and execution of Ship Changes (SCs) through the Navy Modernization Process (NMP). Only those policies applying to more than one aspect of the program are documented in this section. Sections 3 through 9 provide detailed policies specific to the subjects of those sections. The governing principles of the NMP are:

- SCs are authorized only through the Navy Data Environment (NDE) - EP Module
- Changes to a Ship Change Document (SCD) Fielding Plan after the SC has passed Decision Point (DP) 3 may require approval of the O-6 Decision Board per paragraph 3-1.2.7.2
- First-time SCs will normally be programmed for accomplishment in the out-years to allow adequate time for the required design work and equipment procurement
- No funds shall be expended for ships scheduled for deactivation within five years without a Secretary of the Navy (SECNAV) Waiver or Memorandum For the Record (MFR) In Accordance With (IAW) Subsection 1-7 of this manual
- NDE is the official, authoritative repository for modernization planning, programming and material status information. Access to the NDE database shall be exercised using approved access methods or intersystem interfaces
- Integrated Logistic Support (ILS) products must be available to support the installation and checkout of systems and equipment. All ILS products, including Ship Selected Records (SSRs), must be updated/delivered IAW the Navy Modernization milestones of Appendix G in this manual for the availability in which the SC is installed. All ILS products must be available IAW Navy Modernization milestones (Appendix G) unless an impact assessment is approved

The Deputy Commander for Nuclear Propulsion, Naval Sea System Command (NAVSEA) 08, is responsible for all technical matters pertaining to nuclear propulsion of US Navy ships and craft, including all aspects of integration of the nuclear plant into the ship system. Nothing in this manual detracts in any way from these responsibilities. Accordingly, NAVSEA 08 will be consulted in all matters relating to or affecting the nuclear propulsion plant and associated nuclear support facilities. In addition, the procedures and requirements in this section are not applicable to alterations under the cognizance of NAVSEA 08. Strategic Systems Program Alterations (SPALTs) affecting the configuration and/or capabilities of systems and equipment are under the cognizance of the Director, Strategic Systems Programs (DIRSSP). The Submarine Force is exempt from the Entitled Process (EP) and related procedures outlined in this Section. Submarine Force modernization policies, responsibilities, processes and procedures are addressed in Section 9 Submarine Force Modernization.

SUBSECTION 2-2 RESPONSIBILITIES

2-2.1 Background

The Commander, Naval Sea Systems Command (COMNAVSEASYS COM) acts as executive agent for the Chief of Naval Operations (CNO) in the execution of Navy Modernization. In accordance with reference S2(d), the Systems Commands (SYSCOMs) execute Technical Authority (TA) within their areas of responsibility, technical integrity, and expertise.

Communication, coordination, and cooperation between the TA and Program Management communities are essential in enabling them to fulfill their respective modernization responsibilities.

Reference S2(e) is the authoritative Fleet reference for the execution of ship modernization. Any conflict between reference S2(e) and this manual shall be brought to the attention of NAVSEA 04RP for resolution.

Most changes are planned for installation throughout a ship class, or baseline/flight within a class, and are installed by the executing activity (a shipyard or an Alteration Installation Team (AIT)) during a CNO or scheduled availability. Timelines for milestones are provided in Appendix G and will be designated as days (months for Submarine Force) before start of the availability, for example A-360 meaning availability start date minus 360 days, days before the start of installation (I-), or days after completion (C+). The Participating Acquisition Resource Manager (PARM) and Ship Program Manager (SPM) have an opportunity to resolve SC scheduling issues on any proposed changes the SPM determines are ready for installation IAW Section 3 of this manual. As applicable, the Advance Planning Letters and Letters of Authorization (LOAs), along with the Hull Modernization Plan (HMP) should be updated to reflect these additions/deletions, to support accurate planning for the CNO availabilities.

When the changes are installed by an AIT, the PARM is responsible for funding the installation, logistics and any support services required. Integrating the AIT-installed SC into an availability is the responsibility of the Naval Supervising Activity (NSA).

2-2.2 Scope

General system level responsibilities of major participants in the NMP are presented in paragraphs 2-2.3 through 2-2.18. Responsibilities pertaining to specific functions (material management, ILS, etc.) may be found in other appropriate manual sections.

Note: The responsible command (CNO, Program Executive Office (PEO)/SYSCOM, Type Commander (TYCOM), SPM, Regional Maintenance Center (RMC), NAVSEA 04RP, NSA) may task selected functions to other government activities or private contractors, but this does not diminish their responsibility for the SC products.

2-2.3 Chief of Naval Operations (CNO)/Resource Sponsor Responsibilities

During all Phases – the Resource Sponsor selects Modernization Plan (MP) Yes/No checkboxes of the Recommended Change Package (RCP) associated with the SCD. Once all Resource Sponsors have checked the MP checkbox, the SCD is moved to the Decision Board review state.

- Considers NMP MP as an input into the Planning, Programming, Budgeting, and Execution (PPBE) process
- Defines all policy for programming and execution
- Updates the CNO Availability schedule in Navy Data Environment-Navy Modernization (NDE-NM)
- Serve as SCD voters for the NMP Boards

2-2.4 PEO/SYSCOM Responsibilities

- Plans and executes the NMP MP for Program type SCs, and Fleet type SCs in a Shipbuilding and Conversion, Navy (SCN) availability, as directed by reference S2(a)
- Maintains technical and logistics authority over assigned equipment throughout its life cycle
- Accomplish all equipment configuration changes and coordinate installations with appropriate SPM
- When necessary, submits fielding plan changes as described in paragraph 3-1.2.7.2 for Program SCs, and Fleet SCs in a SCN availability
- At completion of availability (or SC installation if outside a CNO or SCN availability), delivers all required ILS products for Program SCs and Fleet SCs in a SCN availability
- Generates tasking documents and amendment requests, including completion dates for all Design Services Allocation (DSA) development efforts for Program type SCDs and Fleet type SCDs in SCN availabilities
- All Phases – Receives email notification of status transitions and reviews SCDs

2-2.5 Type Commander (TYCOM) Responsibilities

Note: For post-new construction SCN availabilities (e.g. CVN Refueling Complex Overhaul (RCOH)), the SPM fulfills TYCOM roles and responsibilities. This applies throughout this document.

- Plans and executes Fleet type SCs, except in a SCN availability
- During all Phases – Receives email notification of status transitions and reviews SCDs
- Updates ship availability schedule in NDE
- Maintains accurate Fleet Type SC programming status in NDE-NM to ensure timely completion of design efforts
- Reviews and comments on all Fleet SC proposals regarding essentiality, level of accomplishment and likelihood of being funded
- Reviews material availability for Fleet type SCDs, excluding SCN availabilities, and authorizing material procurements through programming in NDE-NM
- Serve as voters for the NMP Boards

- Manage the Alteration Figure of Merit (AFOM) sub-process in coordination with other TYCOMs and SEA04RP. Establish strategic weightings for AFOM
- When necessary, submits fielding plan changes as described in subsection 3-1.2.7 for Fleet SCs, except in a SCN availability
- Platform TYCOMs serve as installation approval authority for fully mature SCs, emergent SCs, and risk assessments for SCs missing critical milestones with the following exceptions:
 - SCs assigned Strike Force Interoperability (SFI) Category (CAT) 1 or 2 are subject to additional criteria IAW Reference S2(b). For these SCs, Commander Naval Network Warfare Command (CNNWC) is the designated installation approval authority for Atlantic Fleet ships and Commander Pacific Fleet (CPF) is the installation approval authority for Pacific Fleet ships except for SCN availabilities

NOTE: All SCs are assigned a SFI CAT by the Submitter. This is validated during Technical Assessment Team (TAT) Review IAW Reference S2(b)

- Ensure Navy Modernization milestones are met IAW Appendix G
- Track SCs approved for installation with risk in assigned platforms and ensure timely completion of outstanding requirements
- Supports the CNO's direction to establish the Fleet Readiness Enterprise per reference S2(f)
- A "lead" TYCOM will be chosen on a rotating basis from Commander, Naval Surface Forces (CNSF), Commander, Naval Air Forces (CNAF) Commander, Submarine Forces (COMSUBFOR) (for Submarine Tenders) and NETWARCOM to periodically review and update the overall AFOM process, including software tools, assessment processes, model updates, and other AFOM specific functions. This cross-TYCOM team will be designated the AFOM Process Stakeholder Improvement Team
- Review individual SCDs based on platform type and assignment of standard rating scale index values to applicable capability and suitability AFOM attributes
- Enter supporting qualitative comments into NDE-NM based on internal staff and other Subject Matter Expert (SME) inputs
- Develop internal processes, reading lists and other applicable material to ensure adequate resources are available to the SMEs
- Electronically sign the SCD concurring with the Index values and comments in NDE-NM; including a recommendation for approval/disapproval

2-2.6 Ship Program Manager (SPM) Responsibilities

- Reviews and makes recommendation on all SCDs
- Provides final authorization of all SCs for installation via LOA. SPM authorization includes verification that (1) SC is part of the approved MP; (2) SCD is approved for installation; (3) SIDs approved; (4) ILS Certification approved; (5) Command, Control, Communication, Computers, Combat Systems and Intelligence Master Plan (C5IMP) Baseline authorized (if applicable)
- Conducts liaison with non-NAVSEA technical activities to obtain needed guidance and direction for execution of DSA tasks
- Develops projected SC drawing requirements (at the SC level), budget year Configuration Overhaul Planning (COP) requirements, logistics products and execution year SSR

- requirements (at the hull level) of DSA budget development and planning
- Maintains current SC Material List in NDE-NM after Phase II Non Permanent Change (NPC) approval or Phase II(a)/III (as applicable)
 - Identifies all previously developed or required documentation, technical data, and drawings maintained in-house when tasking design efforts
 - Monitors SC development tasks to ensure that they are executed, completed, and delivered, with acceptable quality, within specified timeframes and IAW guidelines delineated in tasking documents
 - Reviews all SC design efforts for conformance to material identification requirements as delineated in Section 5 of this manual
 - Reviews and approves Liaison Action Record (LAR) requests IAW Appendix F
 - Resource Financial Manager (RFM) for execution of modernization designated program changes under their cognizance
 - Ensures LOAs and HMP are initiated and updated
 - Reviews and approves ILS Certification
 - For SCN funded availabilities (CVN RCOHs), SPM assumes select TYCOM responsibilities

2-2.7 NAVSEA Responsibilities

- Chairs the NMP 3 Star Flag Decision Board
- Chairs the NMP 1&2 Star Flag Decision Board
- Chairs the NMP O-6 Decision Board

2-2.7.1 NAVSEA 08 Responsibilities

The Deputy Commander for Nuclear Propulsion, NAVSEA 08, is responsible for all technical matters pertaining to nuclear propulsion of U.S. Navy ships and craft, including all aspects of integration of the nuclear plant into the ship system. Nothing in this manual detracts in any way from these responsibilities. Accordingly, NAVSEA 08 will be consulted in all matters relating to or affecting the nuclear propulsion plant and associated nuclear support facilities. Specifically for CVN SCDs, PEO Carriers and NAVSEA 08 have established a clear policy for coordination on changes affecting the propulsion plant.

2-2.7.2 NAVSEA 04RP Responsibilities

The FMP Program Office, NAVSEA 04RP, is responsible for the operation and maintenance of the production NDE as documented in reference S2(c). Other responsibilities of the FMP Program Office include:

- Functioning as Program Manager for NDE
- Manage, design and control automated interfaces between NDE and other information systems
- Act as the NAVSEA point of contact for users requesting NDE products/services
- Executes delegated responsibilities to act as the principal NAVSEA agent for the Modernization process as defined in CNO and NAVSEA Directives

- Manages the official database for modernization, NDE
- Maintains current the FMP/Surface Ships and Carriers EP for Modernization Management and Operations Manuals and other modernization related directives
- Manages the list of authorized Submitters to include the individual's name, activity and germane contact information
- Schedules NMP Decision Board meetings, coordinates their agendas, and manages the Boards' list of active action items
- Enter Mission Capability Package (MCP) Composite Scores into the Process Stakeholder approved software analysis tools and generate the AFOM model weights
- Update resulting AFOM model weights in NDE-NM
- Request CFFC N8 distribution of the ICP to the TYCOM N8s on or about March of each year

2-2.8 Naval Supervising Activity (NSA) Responsibilities

The NSA is the single Naval activity responsible for the integration, oversight and verification of all work accomplished by all activities (i.e. Naval Shipyards (NSYs), RMCs, Supervisors of Shipyards (SUPSHIPS) contractors, Type Commander (TYCOM) sponsored contractors, Fleet Maintenance Activities (FMAs), AITs, and Ship's Force) working within the assigned availability, and acts as the single point of contact for this work. The NSA will provide the oversight required to ensure that all work in the assigned availability is authorized and completed in compliance with applicable technical requirements and maintenance/modernization policy, and that all work meets schedule, cost, quality, and environmental/safety requirements. In accordance with reference S2(e) chapter 43 (Guidance For Enhanced Modernization And Alteration Installation Team Integration During Availabilities) the NSA/ Lead Maintenance Activity (LMA) has overall responsibility for the availability, and possess the authority to organize, structure and coordinate all availability execution matters. All other participants shall support the NSA/LMA in this regard. Specific NSA strategies to accomplish this oversight will vary; however, an integrated planning process, work control process, and ship certification process are essential to the success of the availability. Depending on the complexity of the availability, the NSA responsibilities include the following:

- Participate in selected work definition and planning conferences, review conferences, design reviews, major progress conferences, and problem reviews
- Facilitate planning efforts. Ensure detailed planning and integration of the work package is accomplished to provide a schedule that incorporates the availability planning steps of all organizations involved in the planning process (for example an IPTT). The schedule shall address work definition, key financial events, shipchecks, job summary, material preparations, and strategy preparations. Identify milestones with sufficient detail to measure intermediate progress toward each key event. Ensure orientation briefings and training are conducted as necessary so that personnel understand applicable project processes and requirements. Identify their appropriate points of contact
- Ensure Memorandums of Agreement (MOA), Standard Work Practices, and/or NAVSEA Standard Items are in place prior to the start of availability work.
- Coordinate preparations by assigned activities for all key events (i.e. docking, undocking, hot

- operations, dock trials, fast cruise, sea trials, etc.) to include verification signature checklists of readiness to start
- Develop an Integrated Project Management Plan and Quality Plans to efficiently coordinate work strategies, apply lessons learned, and minimize conflicts. These plans integrate the individual strategies from all involved activities and address issues including, but not limited to:
 - Early start strategies
 - Sea trial agenda
 - Material/equipment requirements
 - Work Packaging
 - Temporary services
 - Crane service
 - Rigger service
 - Impacted areas and spaces, including required access to secure spaces
 - Hangar Bay, Flight Deck, dry-dock and pier side lay-down areas
 - Inspection requirements (gas free, SIGSEC, Telecommunications Electronics Material Protected from Emanating Spurious Transmissions (TEMPEST), weight tests, etc.)
 - Environmental/Safety requirements
 - SUBSAFE/Level I material
 - Hot work
 - Fire watches
 - Access cut requirements
 - Tank entry and closure
 - Work control
 - Impact of work on ship's crew habitability and Quality of Life
 - Co-location and communications plan (i.e. status reports, notification requirements, meetings, briefings, etc.)
 - Material condition assessment plan
 - Alteration installations
 - Total ship work certification process
 - Maintain a list of activities working on the ship and ensure each activity has the proper credentials
 - Coordinate preparations by assigned activities for all key events (e.g., docking, undocking, hot operations, dock trials, fast cruise, sea trials, etc.) to include verification signature checklists of readiness to start
 - Progress and coordinate production work within schedule constraints. Define, identify and provide resolution to coordination problems and work conflicts. Advise the appropriate organizations (e.g., NAVSEA, TYCOM, Planning Yards, Ship's Program Manager, etc.) of significant quality, cost, and schedule impacts and identified problems/deficiencies
 - Coordinate all safety programs (such as sail safety and sail closeout) efforts by assigned activities
 - Prior to fast cruise, sea trials and availability completion, certify all authorized work has been completed unless waived. For work performed by contractors ensure all provisions of the contract have been fully executed
 - Insert Section 6 text for NSA responsibilities for sight validation

- During work execution, review all changes to specifications and work items impacting propulsion plant or designated areas of nuclear powered ships to ensure requirements are met
- Participate in critiques and problem investigations (e.g. Trouble Reports) as necessary
- Monitor the effectiveness of AIT Managers execution of Quality Assurance (QA) oversight responsibilities. Monitor both the effectiveness and the quality of AIT Managers by assessing their execution of QA oversight responsibilities and by Quality Sampling. Request Qualification Records as needed in support of spot checks
- Perform inspections of installations, on a sampling basis, and use the sampling evidence to indicate conformance or nonconformance with NAVSEA requirements
- Attend AIT In/Out briefs and coordinate with the AIT Manager and Ship's Force to ensure satisfactory completion of alterations. Receive ILS products from the AIT and assure they are properly distributed
- Ensure completion reports are issued for any work not accomplished and assure a CSMP JCN is issued

2-2.9 Life Cycle Manager (LCM)/ Participating Acquisition Resource Manager (PARM) Responsibilities

- Program, budget, and procure all Headquarters Centrally Provided Material (HCPM) and corresponding installation and logistics product requirements
- Coordinate with SPMs and AIT/Program Support Managers to ensure matching of HCPM procurements with installations
- Maintain NDE-NM Material Dictionary (Material IDs) current, allowing for lead P-1 calculation for the budget
- Keep current the Procurement Lead Time (PLT) and material cost in the NDE-NM Material Dictionary
- Monitor material delivery and maintain current in NDE-NM the delivery status (Best Estimated Delivery Date (BEDD), Military Standard Requisitioning and Issue Procedures (MILSTRIPs), etc.)
- Notify SPM whenever substitution of NDE-NM material is being considered or accomplished
- Monitor SC development tasks to ensure that they are executed, completed, and delivered, with acceptable quality, within specified timeframes and in accordance with guidelines delineated in tasking documents
- Review and respond to LAR requests, and coordinate NSA, PY, and TA efforts in this area
- Conduct liaison with non-NAVSEA technical activities to obtain needed guidance and direction for execution of DSA tasks
- Generate tasking documents and amendment requests, including completion dates for all DSA development efforts
- Maintain current SC Material List in NDE-NM after Phase II NPC approval or Phase II(a)/III (as applicable)
- Deliver mature, fully developed, and element/combat system level tested equipment and computer programs to warfare system integration and interoperability test facilities to support the Test Bed Validation (TBV) and the related test event
- Review all SC design efforts for conformance to material identification requirements as

delineated in Section 5 of this manual

- Provide overall responsibility for execution of ILS requirements in support of SCs including ILS Certification IAW Navy Modernization milestone requirements listed in Appendix G
- Accountability to submit ILS documentation to support the certification of ILS IAW Navy Modernization milestone requirements as listed in Appendix G

2-2.10 Commander, Fleet Forces Command (CFFC) N8 Responsibilities:

- Assimilation, articulation, and dissemination of Integrated, Navy-Wide War Fighting Priorities for NMP Decision Board Members via the Merit Assignment Event and associated CNO-approved Integrated Capabilities Plan (ICP) that will be provided annually to the TYCOM N8s
- Perform periodic reviews of the requirements generation process and communicate CNO directed updates to the AFOM Process Stakeholder Improvement Team for subsequent revision or update
- Supports development and update of the Static 3 Star weights into the NDE-NM AFOM Benefit Structure (model) (reviewed annually) as follows:
 - The AFOM Benefit Structure (model) will mirror the CNO approved SP 21 Pillar and MCP Structures (also known as Functional Areas)
 - Process Stakeholder approved software tools will be used to generate the weights during the process; these tools will be a stand-alone and will not require an NDE interface at this time
 - CFFC N8 will articulate Navy-Wide requirements via the annual submission of the CNO-approved ICP to the TYCOM N8s
 - NAVSEA 04RP will calculate and enter the resultant MCP Composite Scores from the TYCOM N8s into the software tool(s) to calculate and distribute the resultant weights into the NDE-NM AFOM model
 - The weights will be visible only to the NAVSEA 04RP Process Administrator, the CFFC N8 and O-6, 1 & 2 Star and 3 Star Decision Board Members
- CFFC N8 will provide a representative to the AFOM process improvement stakeholder team to ensure connectivity and relevancy with the Naval Capabilities Development Process (NCDP)

2-2.11 Fleet Commanders Responsibilities

- Provide NCDP gap analysis for use with AFOM Merit Assessment Questionnaire (MAQ)
- Serve as installation approval authority for fully mature SCs, emergent SCs, and impact assessments for SCs missing critical milestones that are assigned SFI CAT 1 or 2. CNNWC is the delegated approval authority for Atlantic Fleet ships and CPF is the approval authority for Pacific Fleet ships
- NOTE: All SCs are assigned a SFI CAT by the Submitter. This is validated during TAT Review IAW reference S2(b)

2-2.12 Initiator Responsibilities

An Initiator can be any user with a NDE-EP account. This can include government employees, both military and civilian, as well as government contractors.

- Initiation of a SCD is neither part of the NMP, nor are any metrics collected on initiation. It is described here for informational purposes only. However, the SCD must be completed IAW Appendices A and D and Section 3 of this manual
- Create the SCD, fill-out the header, and all appropriate sections for the initiated phase of the SCD. The Initiator may delete the SCD if desired at any time prior to forwarding the SCD to the Submitter. Once the SCD has been completed, the Initiator forwards the SCD to the Submitter for submittal review
- Complete the mandatory sections of the SCD as thoroughly and accurately as possible. The only parts of the SCD not mandatory for the Initiator to complete are the Cost Benefit Analysis (CBA) and AFOM sections. However, it is still recommended that the Initiator complete the non-mandatory sections to the best of his/her ability. It should always be assumed by the Initiator that the SCD review activities may not initially have in-depth knowledge of the proposed change

2-2.13 SCD Submitter Responsibilities

Only a limited number of commands are designated as Submitting activities. Each of these activities has been assigned a specified number of “Authorized Submitters”. The list of authorized Submitters is maintained by NAVSEA 04RP based on numbers approved by the O-6 Decision Board. The Submitting activity is ultimately responsible for identification, training and performance of its assigned Submitters. Only civilian and military government employees may be assigned as Submitters.

The Submitting activity is the first approval authority for proposed modernization changes and is responsible for reviewing and ensuring that the SCD is complete, accurate, and “stands alone” as a valid document. Further instructions for the review process are located in Section 3 of this manual. The Submitting activity holds sole responsibility and accountability for the SCD throughout the SCD’s life cycle.

During all Phases, the SCD Submitter receives email notification of status transitions, reviews and edits all sections of SCD, and submits the SCD to TAT Review.

The Submitting activity also:

- Coordinates with the major stakeholders as required (i.e. Resource Sponsor/TYCOM Representative/Fleet) to ensure the SCD reflects a valid Modernization requirement. This coordination acts as the “First Filter” to assist in obtaining a successful Board recommendation for addition to the MP
- Receives automatic notifications of SCDs requiring review (all authorized Submitters within the submitting activity will be allowed to review the SCD, but only the Submitter selected on the SCD will be notified)
- Reviews and completes (if necessary) assigned SCDs. Submitters are permitted by the EP

software to electronically assign all or portions of the SCD to personnel for review and/or completion. The Submitter will consolidate all comments/changes for final review and action. This process is for both the initial review of the SCD and changes to the SCD required by subsequent reviews (i.e. TAT review, CBA review, AFOM review, Modernization Board rework, Maintaining current Post DP 3 SCD data, etc)

- Provides documentation (e.g., Technical Data Package (TDP), Installation Control Drawing (ICD), Topside/Electromagnetic Interference/Radar Cross Section studies, etc) to support technical assessments
- Retains the ability to assign an alternate. However, it is the responsibility of the Submitter to ensure that notifications are forwarded to the alternate and that the alternate accepts and understands their participation. Submitter must notify SEA 04RP to transfer the Submitter role

2-2.14 Technical Assessment Team (TAT) Responsibilities

- TAT Change Manager (TAT CM) assigns the Core TAT for each SCD
- The Core TAT identifies and notifies appropriate Virtual TAT members, including Technical Warrant Holders (TWHs) of SCD submission and approval progress
- Core TAT coordinates the technical review, collates, adjudicates, and submits consolidated comments, resolves differences, coordinates with the Initiator/Submitter to make required changes, validates the SFI CAT if provided, and provides a recommendation to the TAT CM
- TAT CM makes final recommendation to the SPM

2-2.15 AFOM Reviewer Responsibilities

The AFOM Reviewer is a subject matter expert in one or more warfare, engineering or technical discipline as related to shipboard equipment, systems or capabilities. AFOM Reviewers are selected by the cognizant TYCOM AFOM Change Manager to review SCDs for their warfighting and readiness benefits by providing recommended quantitative AFOM Rating Scale values and qualitative assessments via the AFOM and Comments Tabs of the SCD. AFOM Reviewers are, in most cases, military or civil service members of the TYCOM staffs and/or their supporting contractors; however, other Subject Matter Experts external to the TYCOMs, such as the Port Engineers or RMC personnel, may be contacted for their input as well. Final review, acceptance and SCD incorporation of all AFOM Reviewer inputs is the responsibility of the TYCOM AFOM Change Manager.

2-2.16 CBA Reviewer Responsibilities

The CBA Reviewer will review the Submitter's Cost Structure Worksheet (CSW) entries in parallel with the AFOM review. The reviewer will verify items such as completeness, validation of appropriation feasibility, Budget Line Item (BLI), Program Element (PE) number, and other items to ensure that the CSW has been completed in the manner set forth in the Technical Instruction Guide (Appendix "A" of the this manual). The CBA Reviewer's role does not include verifying that the cost estimates are accurate to each specific change. It is the Submitters' role to have the correct costs entered. Upon completion of the CBA review, the

CBA Reviewer will either mark the CBA analysis complete, or recommend rework and provide subsequent comments on the current errors uncovered in the CSW. Once the AFOM and CBA reviews have been completed, the last party to perform their review will submit, and the SCD will move forward in the process to the Resource Sponsor review step.

During all Phases – the CBA Change Manager groups and notifies the CBA team, enters CBA comments and checks the CBA-complete checkbox, and submits the SCD to the Decision Board Review state. The CBA members will enter CBA comments.

2-2.17 Decision Stakeholders

The Fleet, Office of Chief of Naval Operations (OPNAV), TYCOMs, SYSCOMs and PEOs are involved in the decision-making process utilizing three Boards of stakeholders at the 3 Star Level, 1 & 2 Star Level, and O-6 Level. The three hierarchal Decision Boards are responsible for adjudicating all SCDs and management and oversight of the NMP. SCD voting is determined by the EP software. SCD voters represent appropriate Fleet and OPNAV organizations. SYSCOM and PEO representatives are included to validate the readiness of the change to proceed to the next step.

2-2.17.1 O-6 Decision Board

The O-6 Decision Board fulfills functions involving planning, process oversight and continuous improvement to the NMP plus:

- Approves SCs (Legacy or SCD, new item or change to an existing item) where the total cost of the SC is less than \$50 million, except in cases where the scope and complexity dictate referral to a higher level Board. The O-6 Decision Board provides recommendations to the 1&2 Star Decision Board for any SC that is above \$50 million

Note: Appendix D (Tasks 60, 140, and 220) provides specific actions required by the O-6 Board.

- If the O-6 Decision Board disapproves of a SC (Legacy or SCD, new item or change to an existing item) where the total cost of the SC is less than \$50 million, except in cases where the scope and complexity dictate referral to a higher level Board, and the SC has been through a DP the SC will be taken to inactive
- If the SC has been through a previous DP and the O-6 Decision Board disapproves of the SC, the O-6 Decision Board will provide that recommendation to the 1&2 Star Decision Board for approval to inactivate the SC
- Supports the Fleet's prioritized modernization requirements, and bases its decisions and recommendations on those requirements
- Coordinates the development of the annual prioritized MP during each PPBE cycle

2-2.17.2 1 & 2 Star Decision Board

SCD voting is determined by the NDE-EP software and is generally conducted virtually. The 1&2 Star Decision Board fulfills functions involving planning, process oversight and continuous improvement to the NMP in addition to its SCD decision authority, plus:

- Provides oversight for O-6 Board decisions
- Approves process changes recommended by the O-6 Decision Board
- Sets process resource levels and ensures PPBE timelines are met
- Supports the Fleet's prioritized modernization requirements, and base its decisions and recommendations on those requirements
- Oversees development of the annual prioritized MP, reviews the MP proposed by the O-6 Decision Board, and forwards the MP for approval by the 3 Star Decision Board during each PPBE cycle
- Validates the O-6 Board decisions and provides Fleet/OPNAV/ Claimant recommendations to Acquisition Category (ACAT) III and ACAT IV and below program milestone decision authorities
- Reviews SC's where the total cost is above the \$50M threshold, but below the \$200M threshold (Legacy or SCD, new item or change to an existing item) and SC's that are beyond the O-6 Decision Boards approval authority

Note: Appendix D (Tasks 60, 140, and 220) provides specific actions required by the 1&2 Star Decision Board.

- Provides an endorsement and recommendations to the 3 Star Decision Board for SC's where the total cost is above the \$200M threshold

2-2.17.3 3 Star Decision Board

The 3 Star Decision Board fulfills functions involving planning, process oversight and continuous improvement to the EP in addition to its SCD decision authority plus:

- Provides strategic direction to the NMP across all Warfare Enterprises and provides high level process oversight, ensures compliance with strategic plans, advocates annual priorities related to readiness/sustainment, and approves the annual prioritized MP
- Validates lower Board decisions and also approves SCs with a total cost above \$200 million and SC's that are beyond the 1&2 Star Decision Boards approval authority
- Reviews any SC above the \$200M threshold that are recommended for approval by the 1&2 Star Decision Boards

Note: Appendix D (Tasks 60, 140, and 220) provides specific actions required by the 3 Star Decision Board

- 3 Star Decision Board approval of SC's above the \$200M threshold is required to add any SC to the MP (Legacy or SCD, new item or change to an existing item)
- Items above \$200M that have been recommended for removal from the MP by the 1&2 Star Decision Board will be presented to the 3 Star Decision Board for their concurrence

2-2.18 Immediate Superior In Command (ISIC), Class Squadron (CLASSRON) and Ships Force Responsibilities

Support the Modernization process as defined in CNO, NAVSEA and Fleet Directives in the following areas:

- Shipcheck
- Pre-Installation Check Out (PICO)
- Frontline Quality Assurance
- ILS Support
- On Board Repair Parts (OB RPs) provisioning verification
- System Operation Verification Test and system operational testing
- Installation Acceptance