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Concept of Operations

Management and Oversight of the Navy Modernization Process

November 1, 2007

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FOREWORD

The Entitled Process (EP) for Navy Modernization was promulgated by the Commander, Naval Sea Systems Command in 2006 as a common, disciplined process to deliver operational and technical modifications to the fleet in an effective and cost efficient fashion. The authoritative document is the Surface Ships and Carriers Entitled Process for Modernization (SSCEPM) Operations and Management Manual (SL720-AA-MAN-030) commonly referred to as the "*One Book*". Upon adoption, the EP became known as the Navy Modernization Process (NMP) to recognize its broad application and permanence. The terms EP and NMP are synonymous in that they both refer to the process that grew from the Navy's SHIPMAIN initiative which began work to reengineer modernization processes in 2003. A key tenet of the NMP is a permanent structure comprised of process stakeholders who provide strategic oversight and operational management.

At present the NMP applies to surface ships and aircraft carriers. It is not applicable to modernization programs for submarines, ships of the Military Sealift Command, small craft, or U.S. Coast Guard vessels. Measures to include all Navy ship modernization in the NMP are underway.

The current version of the *"One Book"* and its letter of promulgation are maintained on the FMP web page (www.fmp.navy.mil) by NAVSEA 04RP.

This Concept of Operations (CONOPS):

1. Implements the policy published in the "*One Book*".
2. Identifies roles and responsibilities of major process participants and describes the high-level interactions that must occur among them in order for the NMP to operate in an effective and cost efficient manner.
3. Focuses on the interface between the Warfare Enterprises (WFEs), the hierarchical Boards and the NMP Administrator. Specific process requirements for effecting ship changes are detailed in the *"One Book"*.

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TABLE OF CONTENTS

Purpose 4
Background 4
Organization and Interactions 4
Roles & Responsibilities 7
Enterprises 7
Boards 8
NMP Administrator 8
Navy Modernization Process Team (NMPT) 9
Functional Support 9
PARM and PEO Organizations 9
CONOPS Continuous Improvement 10

Appendices

1. Enterprise Roles & Responsibilities 11
2. 3 Star Board Charter and Roles & Responsibilities 13
3. 1 & 2 Star Board Charter and Roles & Responsibilities 16
4. O-6 Board Charter and Roles & Responsibilities 19
5. NMPT Charter 23
6. Functional Support 27

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1. **Purpose:** The NMP has reached a maturity level with clearly defined processes and business rules, including the appropriate structures and governance, to allow specific functions and responsibilities to be transferred from the Cross Functional Team (CFT4) that developed the NMP to permanent ownership. This document outlines the NMP Concept of Operations (CONOPS) for governance and operations required to plan and execute modernization concepts, and provides for the continuous improvement of the NMP from the submission of the Ship Change Document (SCD) to installation execution and closeout. It also provides for: (1) the development of modernization policy and procedures that were left unresolved by CFT 4, and (2) the operations of the Navy Modernization Process Team (NMPT) as the designated working group for the NMP Decision Boards.

The primary process stakeholders who will assume high-level ownership and oversight roles are the Warfare Enterprises (WFEs), the hierarchical Decision Boards and the NMP Administrator (NAVSEA 04RP).

2. **Background:** The Fleet Modernization Program (FMP) provides the structure for the orderly identification, approval, design, installation, life cycle support and configuration control of military, technical, and survivability improvements to all ships of the active and reserve fleets. The Fleet Modernization Program (FMP) also provides an input to the OPNAV planning, programming, and budgeting process.

The FMP was re-engineered by the SHIPMAIN process to require Fleet and Program Ship Changes to be submitted in a Ship Change Document (SCD) for Surface Ships and Carriers. SCDs are subject to a well-defined review process and are voted upon by decision stakeholders based upon the capability provided, technical merit, and cost effectiveness. The voting results are reflected in the NMP Modernization Plan and tracked within Navy Data Environment (NDE). The Modernization Plan reflects all approved and funded legacy ship alterations and Ship Changes.

The NMP supports the Enterprise construct approved by Navy leadership. The primary objective of the NMP is to effectively and efficiently sustain the Enterprise goal of "Warships Ready for Tasking" with a process compatible with the desire to transition the Navy from a ***"consumption based model"*** to an ***"output-based model"*** by allocating resources to requirements that meet specific readiness objectives.

The governance structure and process ownership was constructed to support the broad requirements of the NMP and was approved by the SHIPMAIN Process Improvement Team (PIT) and the O-6, 1&2 Star and the 3 Star Boards. Modernization policy and strategic direction of the NMP is the responsibility of the 3-Star Board, as directed by Navy leadership. As outlined in this document, the O-6 and 1&2 Star Boards also assumed responsibilities for directing and managing the NMP.

3. **Organization and Interactions:** As shown in Figure 1, there are four main organizational components of the NMP: the Enterprises, the Decision Boards (3 Star, 1&2 Star and O-6 Boards), the NMP Administrator, and the NMPT. The focus of each organizational component is:

a. The Enterprises focus on policy, guidance, and process execution to meet enterprise-centric readiness requirements.

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b. The Decision Boards focus on Navy-wide strategic definition, process governance and requirements definition, while providing process oversight.
c. The NMP Administrator, supported by the NMP Functional Support, focuses on working issues, providing support for the process, and developing continuous improvement concepts.
d. The NMPT continues to work issues left unresolved by CFT4 and also serves as a functional work group for the NMP Decision Boards, NMP Administrator, and Warfare Enterprises. Activities of the NMPT are coordinated with the NMP Administrator and its Functional Support.

NMP Structure and Relationships

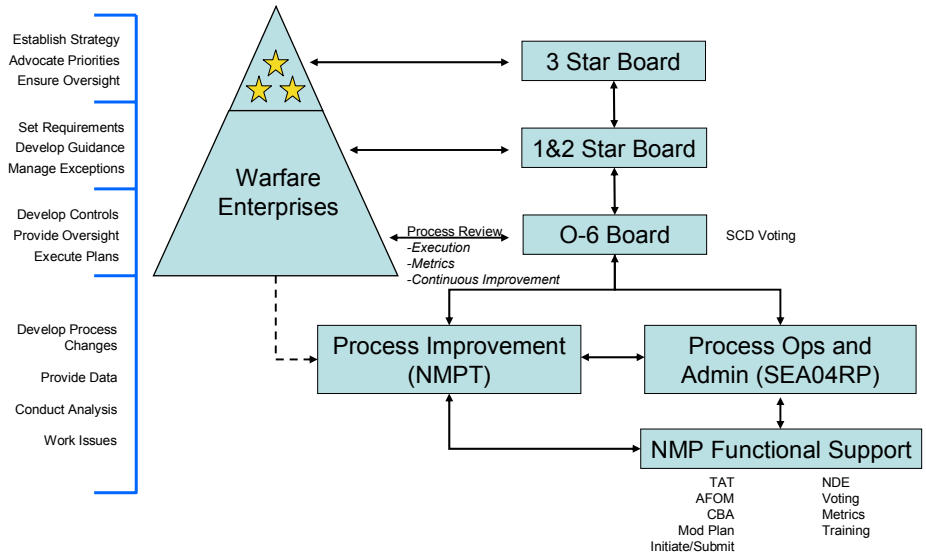

Figure 1

The NMPT reviews and adjudicates process change issues. These issues may be developed internally by the NMPT or they may be identified within a Warfare Enterprise or Decision Board. Tasking can occur directly from the Enterprises, Boards, or the Process Administrator. The NMPT leverages the work of the NMP Functional Support, who are process experts in their respective areas, and coordinates efforts with the Process Administrator.

The NMP Process Administrator manages the process and resolves administrative issues such as software support, documentation and training.

The major flow of information and requirements through the NMP Board structure and support organizations is highlighted below in Figure 2. In general, Strategic Requirements, Vision and Direction flow down from the 3 Star Board through the hierarchical Decision Boards to the NMPT and to the Functional Support. Execution and performance information flows up through the hierarchical Decision Boards for information and / or adjudication.

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NMP Information Flows

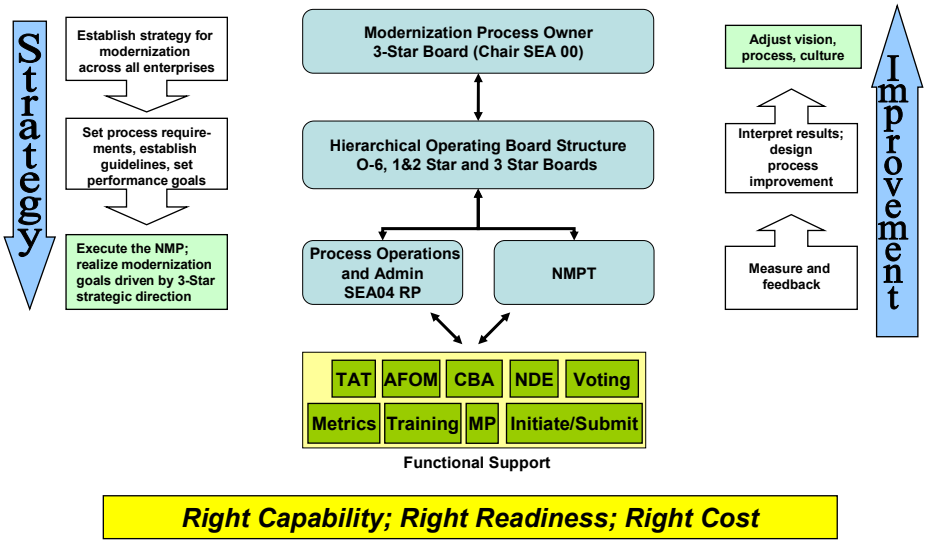

Figure 2

Each WFE has significant roles in developing and implementing a Modernization Plan responsive to the strategic requirements of their Enterprise, as well as across all Enterprises in support of Navy-wide requirements as outlined below in Figure 3.

Modernization management at the intersection of the NMP with the Enterprises is critical to ensure the process delivers the appropriate Ship Change (SC) at the right time and at the right cost. Process synergy occurs at the intersections allowing NMP capabilities to be leveraged by applying common resources and solutions across all Enterprises. The organizational structure illustrated in Figure 3 ensures the mission, strategy; execution, policy and metrics of the NMP are aligned with resources (financial, human capital and technical).

The role of the Decision Boards is to ensure consistent application of the NMP across all the WFE stakeholders, incorporating the priorities of the Enterprise leaders and the senior leadership of the Navy. By design, the membership of the Decision Boards includes the leadership of each Enterprise's internal team structure. For example, the leader of the Surface Warfare Enterprise (SWE) Modernization Team is also a member of the O-6 Board. The Chief Executive Officer of the SWE is a member of the 3-Star Board. This design enables unfiltered delivery of Enterprise execution issues, metrics, and process improvement work to the respective Board for discussion and resolution. General system level responsibilities of major participants in the NMP are outlined in Section 2 of the *"One Book"*. Responsibilities pertaining to specific functions at the interface of the WFEs to the NMP Decision Boards and the Functional Support are covered by this document.

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Modernization Enterprise Organization

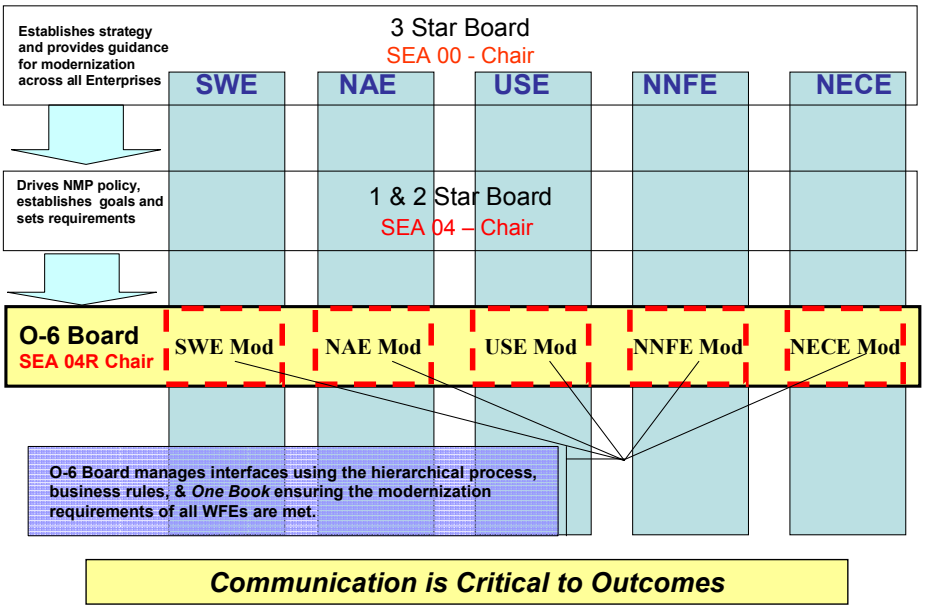

Figure 3

4. **Roles & Responsibilities:** Governance of the NMP is provided by the Enterprises, hierarchical Decision Boards, Process Administrator, and the NMPT. Communication, coordination and cooperation among the organizational components are essential to achieve informed decision making and process management. This structure enables Navy-wide solutions by ensuring all stakeholders have visibility of cross-Enterprise modernization activities.

   a. **Enterprises:** As illustrated in Figure 4, the Warfare Enterprises (WFE) are responsible for executing the NMP within their Enterprise and providing policy and process consistency for Modernization. Additionally, active Enterprise participation on the NMP Decision Boards is critical to establish and provide constant governance for the process, and to work with the NMPT and/or the Process Administrator to identify issues, improve the process, and support process governance. Detailed responsibilities of the Enterprises in management of the NMP within and across enterprises are provided in Appendix 1 of this document.

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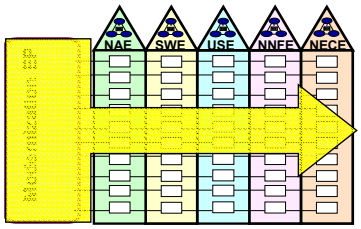
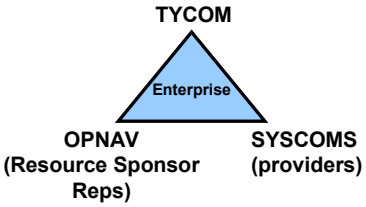
NMP Intersections with WFEs

- **NMP will accommodate each WFE's unique modernization requirements**
- **NMP supports unified capabilities enhancement**
  - Linking requirements to form a strategically coherent whole
  - Linking funding to obtain the greatest return
  - Providing rapid and flexible responsiveness
- **Roles and responsibilities are shared among stakeholders**



Warfare Enterprises



1. **Alignment in mission, strategy, metrics, policy and communication**
2. **Synergy among WFEs**
3. **Optimized resource allocation**

Figure 4

b. **<u>Boards</u>:** The Decision Boards exercise NMP process ownership and oversight, and SCD voting as established in Section 2 of the *"One Book"*. Specific roles and responsibilities are outlined in the charters for each Board. (See Appendices 2-4 of this document.

c. **<u>NMP Administrator (NAVSEA 04RP)</u>:** In addition to the general system level responsibilities outlined in Section 2 of the *"One Book"*, the NMP Administrator shall provide policy and process consistency for the development, approval and installation of modernization, including the management of specific interface functions involving the WFEs, the NMP Decision Boards, the NMPT and the Functional Support. These interface functions include:

(1) Establishing and maintaining NMP functional support resources, as required.
(2) Providing management oversight to the NMP functional support resources.
(3) Coordinating task assignment and process improvement activities with the NMPT
(4) Providing data to drive the hierarchical Decision Boards.
(5) Providing support materials for the Decision Boards including coordination of agendas, minutes, briefing material, and task lists.
(6) Measuring process effectiveness and provide process improvements through 'Root Cause' analysis and analysis of performance and process metrics.
(7) Capturing completion data and lessons learned, including process improvement recommendations that originate from post-availability reviews (e.g. the Surface Warfare Enterprise's Navy Modernization Analysis Team).
(8) Defining specific support requirements, including resources, and articulate these requirements to the Enterprises via the O-6 Board.

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d. **Navy Modernization Process Team (NMPT):** The NMPT exists as a process improvement resource for the WFEs and the NMP Decision Boards. NMPT activities are coordinated with the Process Administrator as it reviews and resolves process issues identified by any of the process owners. The NMPT also supports and guides Enterprises in NMP implementation as they increase their participation in the NMP. Specific NMPT responsibilities are outlined in Appendix 5 of this document.

e. **Functional Support:** There are numerous Functional Support areas within the NMP (see Appendix 6 of this document) which tie together modernization requirements and activities. These resources conduct the day-to-day operations of the specific NMP activities outlined in Section 3 of the *"One Book"*. They also assess O-6 Board feedback regarding the effectiveness and utility of their functional area and propose process changes via the NMP Administrator. General roles and responsibilities include:

(1) **Functional Leads:** Collecting and collating comments, feedback and data from functional members to support process changes, internal model changes, and "lessons learned" synopsis; providing results to the NMP Administrator for adjudication and consideration by the appropriate Board.

(2) **Functional Members:** Providing comments, feedback and data collected through 'root cause' analysis, completion data capture, and process reviews to the Functional Leads.

Enterprises are expected to sustain NMP Functional Support areas by providing representation, as required.

f. **PARM and PEO Organizations:** The Program Acquisition Resource Managers (PARMs) participate in process development and are responsible to monitor the Modernization Plan, track NMP actions and ensure NMP Modernization milestones are achieved. PEO organizations collaborate with appropriate Systems Commands (SYSCOMs) and PEOs in the development, scheduling and conduct of modernization concepts within their scope of responsibility. In addition to roles outlined in Section 2 of the *"One Book",* the principle duties are:

(1) Provide cost estimates.

(2) Deliver modernization products within cost, schedule and performance as defined in the Ship Change Document (SCD).

(3) Conduct oversight of installation contracts, delivery orders, statement of work and funding.

(4) Coordinate installation production schedules with installing activities.

(5) Manage the Change Order Process for afloat installations.

(6) Coordinate installations with the Regional Modernization Maintenance Control Office (RMMCO).

(7) Report installation cost, schedule and performance actual, as required.

5. **Continuous Improvement:** Every process degrades over time unless concerted effort is applied to refresh and improve it. The NMP relies on process stakeholders to maintain a culture of continuous improvement wherein measures of process drivers and process results are analyzed and acted upon. Continuous improvement is a core responsibility of each Enterprise and each Decision Board. Meeting agendas are constructed to give ample time for process performance review, analysis and improvement. Figure 5 graphically illustrates the steps of a continuous improvement program. All of the NMP Boards must maintain a focus on the "speed

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to capability" provided by the NMP to ensure all processes are synchronized to meet the readiness requirements of the Enterprises.

NMP Continuous Improvement Program Steps

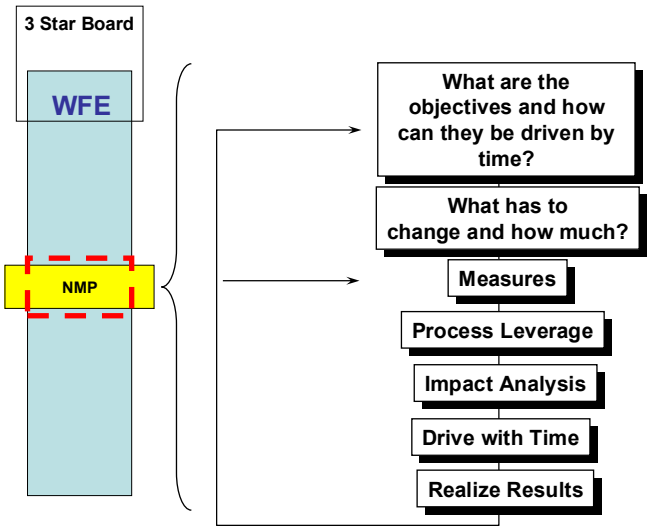

Figure 5

Suggestions for process improvement can be made by any individual through the Warfare Enterprises, the Decision Boards, the Process Administrator, or the NMPT. The aforementioned have the responsibility for introducing the suggested improvement(s) for consideration.

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Appendix 1

Enterprise Roles and Responsibilities

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Enterprise Roles and Responsibilities

Planning	• **Align modernization with WFE long range planning** ✓ *Establish and validate requirements* ✓ *Establish and validate class / hull applicability* ✓ *Coordinate with Resource Sponsors* ✓ *Coordinate with OPNAV for availability planning* • **Develop Modernization Plan (MP)** ✓ *Prioritize & align requirement with budget within individual Resource Sponsors* ✓ *Prioritize & align requirements across applicable 2-digit Resource Sponsors within a WFE* ✓ *Periodic review and validation of MP content* • **AFOM (per MOU)** ✓ *Support the annual SEA Power 21 health assessment* ✓ *Provide update to strategic weights* • **Liaise with PEOs and SYSCOMs** ✓ *Participate in cross-SYSCOM and cross-WFE long range planning (e.g. NCMC, APC, MRA)* ✓ *Coordinate with various PEOs for SCD fielding plan development*
Execution	• **Actively participate in Decision Boards and represent their WFE perspective** ✓ *SCD voting* ✓ *Process oversight and control* • **Manage and track expectations** ✓ *Emergent changes* ✓ *Non-permanent changes* ✓ *Late-adds* ✓ *Risk assessment* • **Manage WFE performance** ✓ *Shepherd Enterprise-owned SCDs through NMP* ✓ *Support NMP metrics collection and perform analysis at the WFE level* ✓ *Ensure metrics performance targets are met* • **Coordinate with the RMCs**
Continuous Improvement	• **Review and analyze metrics** • **Perform root-cause analysis / identify process requirements to Boards** • **Support barrier removal activities** • **Active participation on Boards, Functional Support, and ad-hoc working groups**

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Appendix 2

Navy Modernization Process
3-Star Decision Board

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Board Name: Navy Modernization 3-Star Decision Board

Board Chair: COMNAVSEA (SEA 00)

Frequency: Semi-annual **Day/Time:** As scheduled by SEA04RP

Membership	
COMNAVSEA	**COMNAVNETWARCOM**
COMNAVAIR	**COMNECC**
ASN RDA	**OPNAV N4**
COMNAVAIRFOR	**OPNAV N6**
COMNAVSURFOR	**OPNAV N8**
COMSUBFOR	**COMSPAWAR**

MISSION

The Navy Modernization 3-Star Decision Board exercises process ownership and oversight over the Navy Modernization Process (NMP) as established in the Surface Ships and Carrier Entitled Process for Modernization (SSCEPN) Operations and Management Manual (SL720-AA-MAN-030). The Board's responsibilities are to:

- Establish strategy for modernization across all Warfare Enterprises (WFEs).
- Ensure oversight and compliance with strategic modernization plans.
- Advocate annual modernization priorities.
- Approve the annual Modernization Plan (MP).
- Measure progress of the NMP and ensure continuous improvement.
- Adjudicate/approve Ship Change Documents (SCDs) forwarded for Board action by the NMP 1&2 Star Decision Board.

DELIVERABLES

The Board will provide:

- Strategic direction for the NMP based on Department of the Navy strategy, goals and objectives.
- Input to OPNAV Resource Sponsors for a fiscally balanced and prioritized Modernization Plan for each POM/PR cycle.
- Direction to the 1&2 Star Decision Board and the O-6 Decision Board that ensure the NMP operates efficiently and effectively, and that a culture of continuous improvement based on process measurements is in place.
- Decisions for those SCDs which are forwarded to the Board by the 1&2 Star Decision Board for action based on either value threshold or non-concurrence at the lower Board.

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Roles and Responsibilities

Owner	Role/Responsibility	Subtasks
3-Star Board	**Establish Strategy for Modernization across all Enterprises**	**✓Establish annual strategic plan for Modernization based on policy guidance from CNO** **✓Insure that priorities for Modernization investments are established within each Enterprise and are delivered from an operational perspective** **✓Link capability requirements to resource availability** ✓Provide overall direction and resource requirements to OPNAV ✓Ensure that funding and priorities are synchronized **✓Provide strategic guidance for the NMP**
	Ensure oversight and compliance with strategic/modernization plans	**✓Continuously monitor Modernization Process to ensure strategic objectives are being achieved** ✓Review and approve O-6/1-2Star Boards ✓Operate NMP within budgetary limitations ✓Provide accountability for operational compliance with all NMP plans, schedules, certifications, and logistics requirements
	Approve Annual Modernization Plan (MP)	**✓Assure senior level visibility and engagement in Modernization investment decisions** **✓Create, promulgate, and implement annual Modernization Plan in accordance with hull specific installation requirements at the waterfront** ✓Ensure execution in accordance with plan
	Measure progress of NMP and ensure Continuous Improvement (CI)	**✓Using Hierarchical Board structure:** ✓Provide adequate procedures to encourage continuous process review and improvement ✓Ensure that adequate procedures to capture install activity are in place and followed
	Adjudicate/approve all SCDs proposed at lower level Boards	**✓Deliberate SCD merits and provide recommendations to Milestone Decision Authority, as required** **✓Determine value and priorities**

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Appendix 3

Navy Modernization Process
1&2-Star Decision Board

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Board Name: Navy Modernization 1&2-Star Decision Board

Board Chair: SEA 04

Frequency: Quarterly **Day/Time:** As scheduled by SEA04RP

Membership	
NAVSEA 04	**NAVAIR 1.0**
CNAL	**SPAWAR 04**
CNSL	**SPAWAR 05**
COMSUBPAC	**USFFC representative**
Deputy CNNWC	**PEO Ships**
COMNECC representative	**PEO Carriers**
DASN C4I and Space	**PEO Subs**
DASN Ships	**PEO C4I & Space**
DASN IWS	**PEO LMW**
OPNAV N43B	**PEO IWS**
OPNAV N6F	**NAVSEA 05**
OPNAV N85	**NAVSEA 07**
OPNAV N86	**NAVSEA 21**
OPNAV N87	**Marine Corps representative**
OPNAV N880	**NAVSEA 04R***

*Non-voting position

MISSION

The Navy Modernization 1&2 Star Board manages and provides oversight of the Navy Modernization Process (NMP) as established in the Surface Ships and Carrier Entitled Process for Modernization (SSCEPM) Operations and Management Manual (SL720-AA-MAN-030) focusing on planning, execution and continuous improvement. Process oversight and management is a responsibility of all Board members; SCD voting is assigned to members in accordance with the "*One Book*". The Board's responsibilities are to:

- Set process requirements, develop guidance for NMP stakeholders, and approve process changes recommended by the O-6 Board.
- Set process resource levels needed to support/maintain NMP performance objectives. Systematically assess process effectiveness and remove process barriers to promote a culture of continuous improvement.
- Provide oversight of the "exception" processes (Emergent Changes and Non-Permanent Changes) to ensure these paths are not overused/abused.
- Adjudicate/approve SCDs proposed by the O-6 Board. Serve as SCD decision authority for SCDs or recommend approval to the 3-Star Board in accordance with the *"One Book"*.

Provide oversight in development of the annual Modernization Plan (MP) and ensure that modernization investment priorities are aligned with strategic readiness and capability requirements and are reconciled with financial resources.

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DELIVERABLES

The Board will provide:

- Decisions for process changes recommended by the O-6 Board to ensure the NMP operate efficiently and effectively.
- Direction to the O-6 Board.
- An annual, reconciled and prioritized Modernization Plan for each POM/PR cycle to the 3 Star Board for approval to serve as an input to OPNAV Resource Sponsors in concert with PPBE timelines.
- Decisions for those SCDs which are forwarded to the Board for action.
- Resource requirements to support the NMP.
- The 3 Star Board agenda.

Roles and Responsibilities

Owner	Role/Responsibility	Subtasks
1-2 Star Board	**Adjudicate/approve O-6 proposed SCDs**	**✓Deliberate SCD merits and provide recommendations to the 3-Star Board and Milestone Decision Authority, as required** **✓Determine value and priorities**
	Review Ship Changes (SCs) within threshold; and approve or recommend to higher board for approval	**✓Ensure that broad fleet operations needs are met** **✓Ensure that conjunctivity is applied** **✓Monitor SCD content for congruence with requirements, both adequacy and economy**
	Set Process Requirements / Develop Guidelines and Process Performance Requirements	**✓Audit hull level Modernization Plans (HMPs)** •Establish process through RMCs **✓Review process performance based on metrics evaluation and update process as required** **✓Develop and revise Business Rules as needed**
	Set Process Resource Levels	**✓Monitor and establish resource requirements to support/maintain NMP performance objectives** **✓Using NMP metrics, systematically remove process barriers to maintain NMP performance criteria**
	Manage exception process (Emergent / NPC)	**✓Evaluate Emergent/NPC SCDs** **✓Balance resources**
	Compare Budget with requirements to ensure compliance	**✓Adjudicate SCDs against POM and requirements**
	Provide MP Oversight	**✓Advocate Modernization investment priorities are being achieved with respect to readiness and capabilities** **✓Establish a spot review process to ensure delivery of HMP objectives as approved** **✓Establish regional inspection programs**

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Appendix 4

Navy Modernization Process
O-6 Decision Board

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Board Name: Navy Modernization O-6 Decision Board

Board Chair: SEA 04R

Frequency: Quarterly or as required **Day/Time:** As scheduled by SEA04RP

Membership	
NAVSEA 04R	**Team Ships (SPM)**
CNSF/SWE	**PEO Carriers (SPM)**
CNAF/NAE	**Team Subs (SPM)**
CSF/USE	**PEO IWS**
NNWC/NNFE	**PEO LMW**
NECC/NECE (future)	**PEO C4I & Space**
OPNAV N41	**SPAWAR**
OPNAV N43	**NAVSUP (NAVICP)**
OPNAV N6F	**NAVAIR**
OPNAV N85	**NAVSEA 05**
OPNAV N86	**DASN Ships representative**
OPNAV N87	
OPNAV N88	
Non-voting Members	
NMPT Action Officer	
NAVSEA 04RP (Process administrator)	

The Board membership listed above represents NMP stakeholders with voting rights for process changes within the Board's purview.

SCD voting occurs electronically. Voting authority is dictated by the EP Business Rules and the "*One Book*".

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MISSION

The Navy Modernization O-6 Board manages the Navy Modernization Process (NMP) as established in the Surface Ships and Carrier Entitled Process for Modernization (SSCEPM) Operations and Management Manual (SL720-AA-MAN-030) focusing on planning, execution and continuous improvement. Process oversight and management is a responsibility of all Board members; SCD voting is assigned to members in accordance with the *"One Book"*. The Board's responsibilities are to:

- Develop process controls for management of the NMP and provide oversight to achieve modernization objectives.
  - Establish/maintain process metrics; and as appropriate, identify root cause barriers and develop action plans for their removal,
  - Actively manage the process, identifying process shortfalls and continuous improvement opportunities, and tasking working groups as appropriate,
  - Review and approve all changes to the NMP and, when required, forward recommended changes to the 1&2 Star Decision Board for concurrence,
  - Manage the "exception" processes (Emergent Changes and Non-Permanent Changes) to ensure these paths are not overused/abused,
  - Ensure that a robust training program is in place and available to meet all stakeholder requirements,
  - Ensure all appropriate documentation to support the NMP is current.
- Support the Fleets' prioritized requirements.
  - Ensure that Alteration Figure of Merit (AFOM), Cost Benefit Analysis (CBA), Technical Assessment Team (TAT), and cost estimation processes are supportive of the decision making process,
  - Ensure NMP capabilities and systems are sustainable and maintained,
  - Avoid unique or tailored infrastructures to support singular requirements.
- Vote electronically on all Ship Changes (SCs) in accordance with the *"One Book"*.
- Balance resources against requirements to develop a prioritized annual Modernization Plan.
  - Ensure that allocated funds are used and that Budget Line Items (BLIs) are appropriately applied.
- Manage execution of the approved Modernization Plan.
  - Manage the process to ensure well-coordinated development and delivery of mature SCs.
  - Take measures needed to prepare plans for following FYs.

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SCOPE

The Board shall manage all internal and external influences to the NMP so that process output is optimized, barriers are identified and removed, and the NMP is well integrated with other Navy/DoD programs.

DELIVERABLES

The Board will provide:

- Process oversight in support of the Warfare Enterprises and other NMP Stakeholders, ensuring consistent, effective and efficient operation of the NMP.
- Process controls by tasking SEA04RP, the NMPT, process owners, and other chartered teams for program reviews, metrics drill-downs, root-cause analysis, and continuous improvement requirements as required to assess the NMP's operations.
- Decisions for routine process changes which do not significantly alter the NMP or associated business rules, and recommendations for significant changes, which in the Board's opinion, require Flag Board concurrence.
- The 1&2 Star Board agenda that includes recommendations for process changes.
- Decisions for those SCDs which are forwarded to the Board for action.
- Provides input for an annual, reconciled and prioritized Modernization Plan in each POM/PR cycle for review by the 1&2 Star Board in concert with PPBE timelines.

Roles and Responsibilities

Owner	Role/Responsibility	Subtasks
O-6 Board	Develop Process Controls and provide oversight to achieve Modernization objectives across the Enterprises	✓Establish/maintain process metrics; and as appropriate, identify root cause barriers and develop action plans for their removal ✓Actively manage the process, tasking working groups as appropriate ✓Ensure that a robust training program is in place and available to meet all stakeholder requirements ✓Maintain all appropriate documentation to support the NMP
	Support Fleet's prioritized requirements	✓Ensure that AFOM, CBA, TAT, and cost estimation processes are supportive of the decision making process ✓Ensure that all SCDs needed to meet requirements are applied ✓NMP capabilities and systems are sustainable and maintained in place ✓Avoid unique or tailored infrastructures to support singular requirements
	Review Ship Changes (SCs) against requirements; approves or recommends to higher board for approval	✓Ensure that broad fleet operations needs are met ✓Ensure that conjunctivity is applied ✓Monitor SCD content for congruence with requirements, both adequacy and economy
	Provide input to OPNAV Resource Sponsors to balance resources against requirements	✓Ensure that allocated funds are used and that BLIs are appropriately applied
	Execute Plan	✓Manage the process to ensure well-coordinated development and delivery of mature Ship Changes ✓Eliminate unplanned late delivery of Ship Changes ✓Take measures needed to prepare plans for following FYs

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Appendix 5

Navy Modernization Process Team (NMPT)

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REVISED DRAFT

TEAM NAME: Navy Modernization Process Team (NMPT) **Formation Date:** 19 Jun 2007

TEAM LEADER: Mr. Paul Murphy/SEA 10 **Phone #** 202-781-3173

Frequency: Monthly **Day:** 3rd Tuesday **Time:** 1230-1430 **Location:** VTC

Executive Leaders	Position	Command	Telephone #	E-mail
RDML Kevin McCoy	Flag Advisor	NAVSEA 05	202-781-1710	kevin.m.mccoy@navy.mil
TBD	Chair O6 Board / Advisor	NAVSEA 04R		
Core Members	**Position**	**Command**	**Telephone #**	**E-mail**
Mr. Paul Murphy	Action Officer	SEA21-F1	202-781-3173	paul.r.murphy@navy.mil
Dr. John Eghtessad	NMP Process Admin / Asst Action Officer	NAVSEA 04RP	202-781-2024	john.eghtessad@navy.mil
Mr. Bob Stout	Software & Process Administration	NAVSEA 04RPL	202-781-0888	robert.l.stout@navy.mil
CAPT(s) Jordan	SEA21	SEA21-F1	202-781-2718	pernell.jordan@navy.mil
CDR John Christensen	Metrics Officer	SEA21-PMS470R	202-781-3068	john.a.christensen@navy.mil
CDR Leon Stone	CNSF/SWE Rep	CNSF	619-437-2383	leon.stone@navy.mil
Mr. Marvin Meade	CNAF/NAE Rep	CNAF	757-444-0324	marvin.meade@navy.mil
Ms. Patti Philipps	CSF/USE Rep	CSF	757-836-1280	patti.philipps@navy.mil
Mr. Scott Gordon	NNWC/NNFE Rep	NNWC	757-417-7925	scott.gordon@navy.mil
Mr. Seth Riggins	OPNAV Rep	OPNAV N86	703-604-7625	seth.riggins@navy.mil
Mr. Dale Davis	Surface Ship SPM	SEA21-400F	202-781-1839	robert.d.davis4@navy.mil
Mr. Darryl Sheedlo	Carrier SPM	PEO Carriers	202-781-0848	darryl.sheedlo@navy.mil
Mr. Scott Hetkey	PEO C4I & Space	PEO C4I & Space	858-537-6811	scott.hetkey@navy.mil
Ms. Penny Matter	PEO IWS	PEO IWS	202-781-2140	penny.matter@navy.mil
TBD	PEO LMW	PEO LMW		
Mr. Bill Rose	NAVAIR Rep	NAVAIR 1.2	301-342-9194	william.s.rose@navy.mil
Mr. Rich Santomauro	SPAWAR Rep	SPAWAR 04	619-524-7644	rich.santomauro@navy.mil
Mr. Paul Horacek	NAVSEA 05 (HM&E)	NAVSEA 05	202-781-0649	franklin.horacek@navy.mil
Mr. Billy Douglas	NAVSEA 05 (WSE)	NAVSEA 05W	202-781-3542	billy.douglas@navy.mil
Ms. Patricia Schwarz	Code 8341 - H	NAVICP	717 605-1444	patricia.schwarz@navy.mil
Mr. Doug Olivieri	Submarine SPM	NAVSEA 07	202-781-1521	douglas.olivieri@navy.mil
Ms. Yvonne Sullivan	Process Expert	Alion Science	202-777-1339	ysullivan@alionscience.com
Facilitators	**Position**	**Command**	**Telephone #**	**E-mail**
Mr. Jared Bennici	Scribe/PEO Ships Ktr	Alion Science	202-777-1482	jbennici@alionscience.com
Mr. Dean Rock	Facilitator/SEA 05 Ktr	Thomas Group	202-781-2755	drock@thomasgroup.com
Mr. Steve Nimitz	Facilitator/SEA 05 Ktr	Thomas Group	202-781-1822	snimitz@thomasgroup.com

Supporting Members	
NAVSEA 05H	CPA
CFFC	SUBMEPP
CPF	ISEAs/Warfare Ctrs
Planning Yards	CMWC

Functional Support	
CBA	Voting
AFOM	Software
TAT	Metrics
Training	Modernization Plan
Initiate/Submit	

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REVISED DRAFT

MISSION

The Navy Modernization Process Team (NMPT) mission is to:

1) Serve as a standing working group for the NMP Decision Boards with responsibility for institutionalizing the NMP. It will support the operations of the NMP in the following areas:

a. Carry forward the unfinished work of SHIPMAIN CFT 4, including new/revised documentation, on an agreed list of deferred NMP issues (the "big rocks") and continue efforts to ensure Critical Success factors have been satisfactorily addressed;

b. Support and guide implementation of the entitled Navy Modernization Process in each of the applicable Warfare Enterprises (NAE, SWE, USE, and NNFE) and transition NMPT roles and responsibilities to permanent owners within those Enterprises;

c. Align directives and other supporting documentation to provide unambiguous guidance to all modernization stakeholders;

d. Provide for continuous improvement by focusing on the process and enhancement of the process tools.

2) Work with representatives of the Warfare Enterprises to designate the NMP as the operative modernization process in all Enterprises.

3) NMPT relationship with functional support areas is accomplished through each area lead being a member of the NMPT.

SCOPE

Start: 19 June 2007 **Stop:** The NMPT is a standing Team and will be tasked by the NMP Decision Boards accordingly.

BOUNDARIES

1) The following issues are within NMPT purview:

a. Tools for process execution and oversight (metrics, training, software, documentation) as listed among the "big rock" issues;

b. Work necessary to transition process ownership and oversight to the permanent organizations approved by the 3-Star Decision Board;

c. Proposed maintenance and updates to the *"One Book"* as pertain to the work items within the NMPT's purview;

d. Additional issues assigned by the NMP Decision Boards.

2) The NMPT receives tasking from the NMP Decision Boards and develops additional work items from its review of process operations.

DELIVERABLES

1) Resolutions to issues assigned to the NMPT by the NMP Decision Boards.

a. Solutions to the accepted list of "big rock" issues that form the NMPT's work list. This will include recommended revisions to the *"One Book"*, business rules, and software changes needed to implement the solutions.

b. Documentation to support the NMP to include process maps, business rules, and the *"One Book"*. This includes development and completion of verbiage for advance changes and

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revisions to the *"One Book"* in cooperation with SEA04RP.

2) An initial CONOPS (updated as required) that addresses the working relationships among the NMPT, modernization Decision Boards, Functional and Cross-Functional Teams, Working Groups, and SMEs across the Enterprises and supporting Domains.

3) Annual NMPT charter review with changes submitted to the O-6 Board for approval.

4) Each team member is responsible for identification of their replacement prior to their departure.

WHEN IS THE TEAM DONE?

1) The NMPT stands at the discretion of the 3-Star Decision Board and has no definitive end date or completion criteria.

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Appendix 6

Functional Support

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NMP Functional Support*

TAT	Mr. Paul Horacek
CBA	Ms. Yvonne Sullivan
AFOM	CDR Leon Stone (CNSF)
Training	LT Rollie Chance
Metrics	CDR John Christensen
Submit / Initiate	Mr. Bob Stout
Software/Documentation	Dr. John Eghtessad
Modernization Plan	Mr. Seth Riggins
Voting	Mr. Bob Stout

* The persons identified in this Appendix are the NMP Functional Support Area Leads. Each Enterprise is expected to sustain NMP Functional Support areas by providing representation/expertise, as required. As Enterprises identify their own Functional Support Leads, names and contact information will be maintained on the FMP web site, www.fmp.navy.mil.