

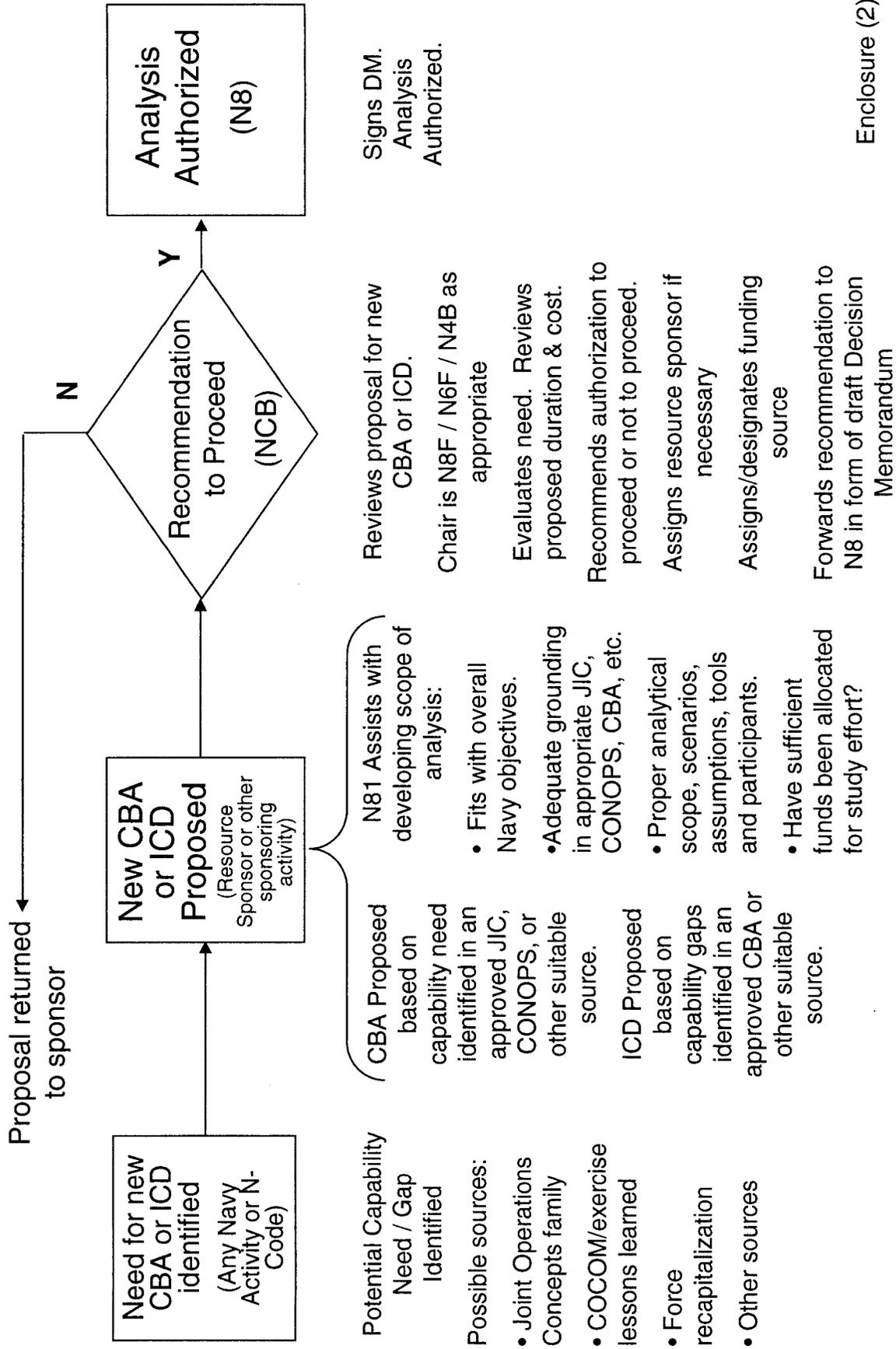
# Decision Making Authorities

## Guiding Thresholds

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	Program Reviews	Cost / Schedule / Performance Review
<ul style="list-style-type: none"><li>• <b>R3B</b><ul style="list-style-type: none"><li>- ACAT I and JROC interest</li><li>- Non ACAT programs &gt;\$1.5B over FYDP</li><li>- Multi-year major MILCON initiatives that exceed \$500M across the FYDP</li></ul></li></ul>		<ul style="list-style-type: none"><li>• <b>Review required when</b><ul style="list-style-type: none"><li>- Cost growth &gt;3% within one year or over FYDP, or</li><li>- Schedule change &gt;6 months, or</li><li>- Capability decrease below threshold or previously dictated levels</li></ul></li></ul>
<ul style="list-style-type: none"><li>• <b>NCB</b><ul style="list-style-type: none"><li>- Non JROC Interest ACAT II programs</li><li>- Non ACAT \$500M - \$1.5B over the FYDP</li></ul></li></ul>		<ul style="list-style-type: none"><li>• <b>Reviewed at same level as Periodic</b><ul style="list-style-type: none"><li>- May be elevated to R3B depending on severity of change</li></ul></li></ul>
<ul style="list-style-type: none"><li>• <b>Resource Sponsor</b><ul style="list-style-type: none"><li>- Non JROC Interest ACAT III-IV and report to NCB/R3B</li></ul></li></ul>		<ul style="list-style-type: none"><li>• <b>Nunn McCurdy breaches</b><ul style="list-style-type: none"><li>- R3B</li></ul></li></ul>

# Capability Document Initiation Review Process



NAVAL CAPABILITIES BOARD

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NCB

# Administrative Guide

8 July 2008

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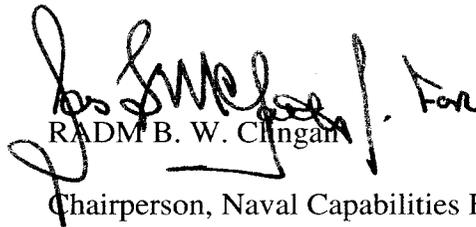
**Enclosure (3)**

# NAVAL CAPABILITIES BOARD

## ADMINISTRATIVE GUIDE

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This Administrative Guide has been prepared to aid in the staffing actions of the NCB process and in the preparation and presentation of topics before the NCB.

  
RADM B. W. Clingan  
Chairperson, Naval Capabilities Board (NCB)

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\* The most current versions of electronic templates for Appendices B through I are located on the R3B website: <https://quickplace.hq.navy.mil/r3b> under the NCB tab.

## NCB ADMINISTRATIVE GUIDE

### 1. PURPOSE

- a. To describe the NCB process and clarify the procedures used to perform tasks described in the NCB Charter.
- b. To provide guidance on the administrative staffing and briefing procedures for the NCB process, including an Electronic NCB (E-NCB).
- c. To provide examples of NCB briefing formats.

### 2. NCB MISSION. The NCB is the Navy's two-star decision forum for reviewing and making decisions on Navy requirement and resource issues.

### 3. NCB ADMINISTRATIVE ROLES AND RESPONSIBILITIES. The NCB is supported by the NCB Director. The NCB works closely with the R3B Secretariat to provide a consistent direction and approach.

#### a. NCB Director Responsibilities:

(1) Support the chairperson as necessary in executing NCB responsibilities.

(2) Coordinate with the R3B Secretariat and the JCIDs Gatekeeper on processing of JCIDs documents in accordance with agreed to thresholds.

(3) Work with Requirements Sponsors and DASN to develop issues for consideration by the NCB.

(4) Based on Sponsor recommendations propose conduct of E-NCB for non-controversial issues.

(5) Propose an NCB agenda.

(6) Coordinate NCB meeting scheduling and execution.

(7) Prepare/Coordinate Decision Memorandum documenting NCB findings and recommendations

#### b. NCB Members (voting, permanent non-voting, ad-hoc non-voting) Responsibilities:

(1) Assign an NCB Point of Contact.

- i. Serve as the liaison between their principals and NCB Director;
- ii. Inform requirements officers within their organizations of the procedures outlined in this administrative guide;
- iii. Schedule a pre-brief with the NCB Chairperson, as necessary;
- iv. Provide their principals with copies of the briefs and supporting documentation for all NCB actions.

d. Lead Organization for the NCB presentation has the following responsibilities:

- (1) Coordinate information sources,
- (2) Validate assumptions and data prior to NCB,
- (3) Address stakeholder concerns as part of the presentation, and
- (4) Pre-brief NCB Chairperson as required.

4. **TYPES OF NCBs.** There are two mediums used to facilitate the NCB process: formal NCB meetings, and Electronic NCBs (E-NCB).

a. NCB meetings are the formal gatherings of the Members to receive a brief and discuss an issue, which due to its urgency or importance requires interactive discussion and subsequent decision.

b. An E-NCB will be used for non-contentious topics requiring decisions, particularly JCIDS documents. Conduct of an E-NCB will be at the recommendation of the Sponsor and NCB Director as approved by the NCB Chairperson.

5. **PROCESS PROCEDURES:** Appendix A is the process flow. The most current versions of electronic templates for abstracts and briefs (Appendices B through I) are located on the R3B website: <https://quickplace.ahf.nmci.navy.mil/r3b> under the NCB tab.

a. JCIDS Document Review. The NCB will review JCIDS documents prior to forwarding for Joint Review. If there are no significant changes to cost, schedule, or baseline capability (as determined by the NCB Chairperson) during

Joint Review, then the document will be forwarded to OPNAV N8 for approval with no further NCB review.

b. Issue Referral. The CNO or VCNO may direct issues to the NCB for consideration. Alternatively, issues may be recommended via one of the following:

- (1) JCIDS Process
- (2) R3B/other flag-level forum
- (3) NCB member or other OPNAV organization
- (4) Other Navy organizations, e.g., Fleet, Secretariat
- (5) USMC Forum (MROC, NMCB).

c. Issue Recommendation:

- (1) The lead organization develops an Issue Abstract using the format in Appendix B and a Draft Presentation using the applicable format from Appendices C through I. The lead organization submits both for consideration.
- (2) The Director will schedule an NCB or E-NCB.

d. Presentation Procedure:

- (1) The Lead Organization will submit a read-ahead via e-mail no less than five working days prior to the scheduled meeting for distribution of the read-ahead to Board members.
- (2) The Director will record the meeting minutes and draft the Decision Memorandum in coordination with the Lead Organization. Based on the results of the meeting, NCB members may submit dissenting opinions to be included in the Decision Memorandum. The dissenting opinion shall not exceed 250 words in length and shall be submitted within two (2) working days of the adjournment of the meeting.
- (3) Within one week of the meeting, the Decision Memorandum will be submitted for the Chairperson's signature; the signed memorandum will be forwarded to NCB members via email.
- (4) The Members designated for a specific action are responsible for ensuring copies are provided to other appropriate agencies.

e. Electronic NCB Procedure. The initial determination is made by the Director of the NCB based upon recommendations of the Resource Sponsor and the N810 staffs. Based on the input above the Director recommends to N8F via action memo a way ahead. A copy of the brief is provided. Upon N8F concurrence the E-NCB process is started.

- (1) The Director will provide N81 the abstract, briefing, and associated documents to be posted on the SIPR Quickplace website ([http://quickplace.cno.navy.smil.mil/quickplace/navy\\_jcids\\_2007/main.nsf](http://quickplace.cno.navy.smil.mil/quickplace/navy_jcids_2007/main.nsf)) for review.
- (2) The Director will notify the NCB members via e-mail that an E-NCB is being conducted, summarize the decision desired, and the location of the document for review. The announcement will provide a completion date for the review.
- (3) Any board member may request conduct of a live meeting if an issue can not be resolved.
- (4) All members are requested to approve the proposed decision with or without comments. Non-votes are considered concurrence with the proposed decision. In the event of a dissenting opinion, the issue may be referred to a formal Board.
- (5) The Director will summarize all responses and comments and prepare the Decision Memorandum and present to N8F for signature. Voting NCB members may submit dissenting opinions to be included in the Decision Memorandum.
- (6) The NCB member designated for a specific action is responsible for ensuring copies are provided to other appropriate agencies.
- (7) Within one week of the E-NCB closing, the Decision Memorandum will be submitted for the Chairperson's signature; the signed memorandum will be forwarded to NCB members via email.

## 6. BRIEFING REQUIREMENTS/FORMAT

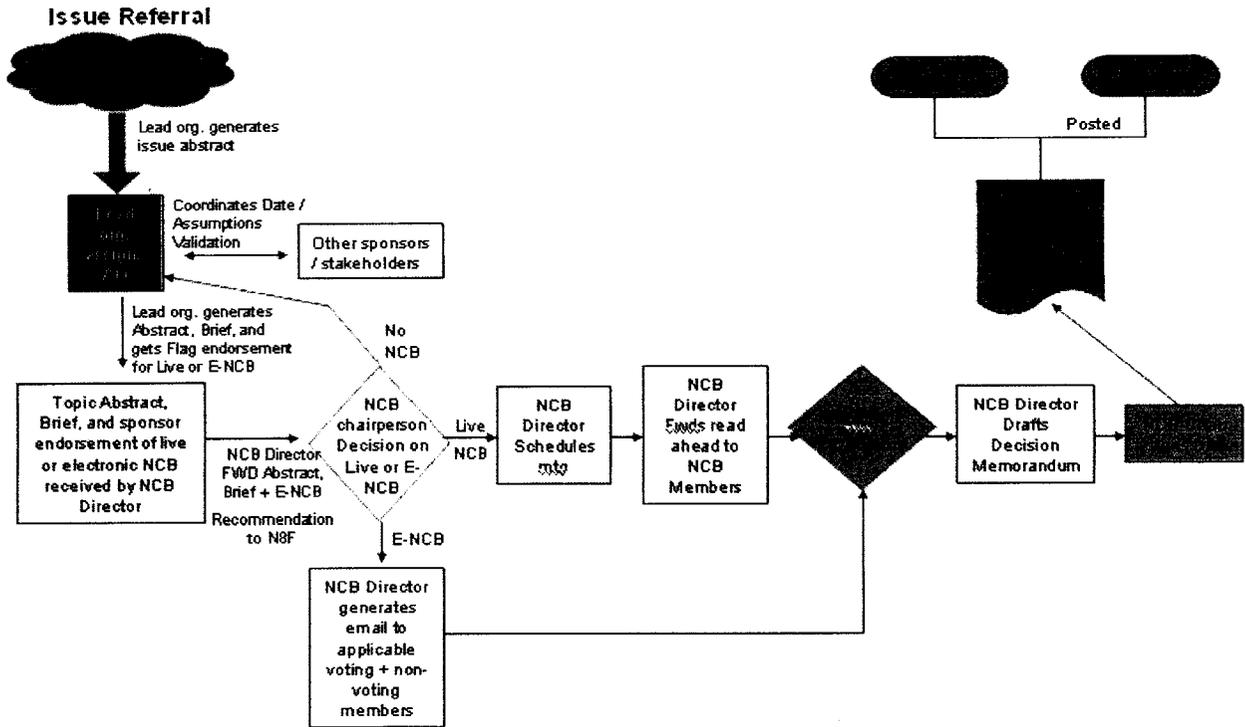
a. Briefings will normally take place in the Bug Roach (5C469) located in the Pentagon. This conference room is a classified space (Secret). Higher classified briefings will be held in an appropriate location with an appropriate audience.

b. Briefing Presentations:

- (1) Electronic briefing material must be provided and loaded prior to the conduct of the meeting. The lead organization is required to provide personnel to assist in slide presentations and recording decisions and tasking during the briefing.
- (2) Appendices C through I contain the required format for a Major Capabilities Program Review (MCPR) or JCIDS document presentations. The specific template will be driven by the type of document or review.
- (3) All slides must be numbered and dated.
- (4) Avoid use of acronyms as they may not be known to the audience.
- (5) The Lead Organization shall provide at least twenty(20) color copies and 20 black and white copies of the presentation for the briefing at live NCB's.

# Appendix A

## Process Flow



## ISSUE ABSTRACT TEMPLATE

Issues proposed for consideration will be submitted in abstract format. The abstract will not exceed 250-words in length and identify the following:

### Decision Required:

### Summary/Background:

- a. Organization proposing the issue.
- b. Clearly defined issue topic/subject and decision required.
- c. Recommended ACAT -
- d. Recommended Joint Potential Designator - (JROC Interest, Joint Integration, Joint Information, or Independent)
- e. Sponsors/stakeholders/enterprises affected by the issue.
- f. Potential Congressional interest
- g. Risks associated with a disapproved/nonconcurrency Decision (include a sponsor's comprehensive risk statement, such as, "The sponsor has identified the overall risk as low/moderate/high, but manageable." If moderate or high risk it would be good to add another statement, such as, "A comprehensive risk management plan is in place.")
- h. Budget data - (cut & paste of EXCEL spreadsheet)
  - Total program funding (previous years, FYDP, cost to complete)
  - Navy funding shortfalls or potential bills

Supported Organization: (lead for Presentation)

Supporting Organization: (organizations to participate in development of brief and/or provide supporting information).

Recommended additional NCB membership: (beyond permanent members stated in NCB Charter)

Recommended timeframe/date: (to ensure timely decision)

Point of contact for issue:

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## Appendix C

### Navy CBA Initiation Brief Template

<b>Study Title</b>	
<b>Navy CBA Initiation Request Brief</b>	
	
<small>Brief to the MCB Date: _____ Officer Name: _____</small>	
DATE	CLASSIFICATION UNCLASS

 <b>Decision Required</b>	
<small>Warfare Integration      Balancing Capability, Capacity, and Affordability</small>	
<ul style="list-style-type: none"><li>• Approve initiation of new CBA</li><li>• Assign OPNAV sponsor (if necessary)</li><li>• Assign authority to approve CBA results</li></ul>	
DATE	CLASSIFICATION UNCLASS

 <b>Bottom Line Up Front</b>	
<small>Warfare Integration      Balancing Capability, Capacity, and Affordability</small>	
<ul style="list-style-type: none"><li>• Purpose of this CBA: Answer the question, "Why conduct this CBA?"</li><li>• Anticipated outcome(s) / result(s) of the study:<ul style="list-style-type: none"><li>– Material solution/ICD, DOTMLPF change, ???</li></ul></li><li>• Summary of N81 Technical Assessment results:</li><li>• Way ahead<ul style="list-style-type: none"><li>– Complete (FAA, FNA, FSA) and initiate (ICD, DCR, JCD, program, etc....)</li></ul></li></ul>	
DATE	CLASSIFICATION UNCLASS

 <b>Purpose and Background</b>	
<small>Warfare Integration      Balancing Capability, Capacity, and Affordability</small>	
<ul style="list-style-type: none"><li>• This contains a brief description of the purpose and contents of the study plan.</li><li>• Describe the type of CBA you have:<ul style="list-style-type: none"><li>– CBAs based on operational shortcomings we have already experienced;</li><li>– CBAs based on perceived future needs;</li><li>– CBAs to provide a unified look at a mission area;</li><li>– CBAs to provide joint examination of an operational concept proposed by a particular community;</li><li>– CBAs to provide a broad examination of a functional area, or</li><li>– CBAs to provide answers on extremely compressed timelines.</li></ul></li></ul>	
DATE	CLASSIFICATION UNCLASS

 <b>Objectives &amp; Expected Results</b>	
<small>Warfare Integration      Balancing Capability, Capacity, and Affordability</small>	
<ul style="list-style-type: none"><li>• What products are expected from this Study? (FAA, FNA, FSA, DCR, JCD, ...).</li><li>• Based on a CBA Quicklook, and/or other relevant efforts already performed, what results do you expect from this CBA?</li></ul>	
<small>Guidance on content/intent of a CBA Quicklook can be found in JCS J-8/Force Application Assessment Division White Paper, "Conducting a Capabilities-Based Assessment (CBA) Under the Joint Capabilities Integration and Development System (JCIDS)" dated January 2006</small>	
DATE	CLASSIFICATION UNCLASS

 <b>Guidance and Related Studies</b>	
<small>Warfare Integration      Balancing Capability, Capacity, and Affordability</small>	
<ul style="list-style-type: none"><li>• List any Navy and/or DOD guidance relevant to your CBA.</li><li>• List any Navy and/or DOD analyses and documents that directly affect your CBA, plus applicable joint concept and scenario documents.</li></ul>	
DATE	CLASSIFICATION UNCLASS



# APPENDIX D

## Navy ICD Initiation Request Brief Template

### Navy ICD Initiation Request Brief



RADM XXXXXXXXXXXX  
Director, Your organization  
Briefer: XXXXXXXX  
DATE

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### Decision Required

Warfare Integration Balancing Capability, Capacity, and Affordability

- Validate sufficiency of CBA effort/results
- Authorize initiation of new ICD
- Assign OPNAV resource sponsor (if Necessary)
- Assign/Designate funding source for ICD effort (if required)

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### Bottom Line Up Front

Warfare Integration Balancing Capability, Capacity, and Affordability

- Overarching requirements environment
- Outcome(s) / result(s) of the CBA
- Summary of N81 Technical Assessment results
- Major Risks
  - Cost / Schedule / Performance / Technical / Political
- Identify expected Joint potential designator and potential ACAT (if known)

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### Background

Warfare Integration Balancing Capability, Capacity, and Affordability

- Briefly summarize the overall effort (or program), why these studies are being done, and what the goals for future work are.
- Identify documents (Joint Integrating Concept (JIC) / Joint Operating Concept (JOC) / Joint Planning Guidance (JPG) / Strategic Planning Guidance (SPG) / Campaign Analysis) which state the need for the capability which this program provides
- Other key decisions or events relative to developing the ICD

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### Products

Warfare Integration Balancing Capability, Capacity, and Affordability

- What further analysis will be part of the ICD effort?
- What products were completed during the CBA process? (FAA, FNA, FSA,...)
- What products will be developed? (DCR, JCD,...)

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### Notional Materiel Solution Timeline

Warfare Integration Balancing Capability, Capacity, and Affordability

- Provide a notional materiel solution schedule showing CBA, ICD, CDD, etc. estimated Milestones (A, B, C) and other high level program events.

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**CBA Overview: Organization and Governance**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Which external organizations did you work with?
- Team composition and oversight
  - Flag Support
  - Team Lead
  - Study Lead
  - Working Groups

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**CBA Overview: Study Environment**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Discuss any known interest in this study from other services or agencies.
- List any Navy and/or DOD analyses and documents that directly affected your CBA, plus applicable joint concept and scenario documents.
- List issues and / or obstacles experienced while conducting the CBA (Navy and Joint), and mitigating actions you took.

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**CBA Overview: Scope**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Discuss the six elements of scoping as they applied to your CBA, and refer back to the relevant Navy and DOD guidance to support your scope. Be sure to provide evidence to prove that your scope is correct. Make it clear what the CBA did not address. Use multiple slides if necessary.
  - **Capabilities desired.** A separate analysis was required to address an intent in a master agreement. CBAs cannot cover the full range of capabilities and the full range of intent. Some capabilities are addressed in the master agreement and others are not.
  - **Scenarios considered.** We cannot capture the entire range of scenarios. We used a representative set of scenarios to address the intent. The intent of the scenarios and capabilities is to address the intent, not to address the full range of scenarios.
  - **Functions considered.** It is difficult to find a program operation that does not address a capability. All functions of the program are considered. Some functions are not addressed. For example, the intent of the program is to address the intent, not to address the full range of functions.
  - **Type of solutions considered.** We considered the type of solutions that are currently in use. We did not consider the type of solutions that are not currently in use. For example, we did not consider the type of solutions that are not currently in use.
  - **Resource limits.** While we considered the intent of the program, we did not consider the full range of resources. For example, we did not consider the full range of resources.
  - **Planning horizon.** The intent of the program is to address the intent, not to address the full range of planning horizons.

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**FAA Summary**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Summarize Functional Area Analysis (FAA)

**Classification**

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**FNA Summary**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Summarize Functional Needs Analysis (FNA)

**Classification**

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**FSA Summary**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Summarize Functional Solutions Analysis (FSA)
  - Analysis of Material Alternatives (AMA)
  - Doctrine, Organization, Training, Materiel, Leadership and Education, Personnel and Facilities (DOTMLPF) Analysis

**Classification**

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## Threat Analysis

Warfare Integration      Balancing Capability, Capacity, and Affordability

- System Threat Analysis Report (STAR) status and Defense Intelligence Agency (DIA) threat validation dates

**Classification**

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## ICD Projected Schedule and Cost

Warfare Integration      Balancing Capability, Capacity, and Affordability

- A high-level ICD development and review schedule, limited to major staff actions and milestones (Navy Review, Joint Review, Boards) that you already know about.
- Cost
  - Total Cost
  - Cost per FY (if applicable)
  - Breakdown if more than one funding source
- Team composition
  - Team Lead
  - Study Lead (if any)

**Classification**

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## Resource Sponsor Alternatives

Warfare Integration      Balancing Capability, Capacity, and Affordability

- Make recommendations for a program resource sponsor if a program is developed, and identify pros and cons of each.

**Classification**

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## ICD Issues

Warfare Integration      Balancing Capability, Capacity, and Affordability

- List any other issues and / or obstacles you anticipate while developing the ICD (Navy and Joint), and mitigating actions you plan to take.
- List any differences/additions to scope, assumptions and scenarios from the CBA.

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## Decision Required

Warfare Integration      Balancing Capability, Capacity, and Affordability

NCB will:

- Validate sufficiency of CBA results
- Authorize initiation of new ICD
- Assign OPNAV resource sponsor (if necessary)
- Assign / Designate funding source for ICD effort (if required)

**Classification**

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## Appendix E

### ICD NCB Brief Template

<p style="text-align: center;"><b>TITLE OF ICD BRIEF</b> <b>Proposed Acquisition Category</b></p>  <p><i>(program sponsor)</i> <i>(date of presentation)</i> <i>(toneloc)</i></p> <p style="text-align: right;"><small>Classified by: Reason: Date:</small></p> <p style="text-align: center;">UNCLASS</p>
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 <p style="text-align: right;"><b>Purpose</b></p> <hr/> <p style="text-align: center;"><small>Warfare Integration</small>      <small>Balancing Capability, Capacity, and Affordability</small></p> <ul style="list-style-type: none"><li>• <b>Decision(s) Desired</b> <span style="float: right;"><u>Concur</u></span> <b>Actions</b><ul style="list-style-type: none"><li>– Obtain NCB<ul style="list-style-type: none"><li>○ approval for ICD entry into Joint staffing, and/or</li><li>○ endorsement of the ICD enroute to CNO for signature</li></ul></li></ul></li></ul> <p><small>20 September 2017 DPAW/T</small> <span style="float: right;"><small>UNCLASS</small></span></p>
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 <p style="text-align: center;"><b>BLUF (Bottom Line Up Front)</b></p> <hr/> <p style="text-align: center;"><small>Warfare Integration</small>      <small>Balancing Capability, Capacity, and Affordability</small></p> <ul style="list-style-type: none"><li>• Overall Assessment</li><li>• Major Risks<ul style="list-style-type: none"><li>– Cost / Schedule / Performance / Technical / External</li></ul></li><li>• Way Ahead</li></ul> <p><small>20 September 2017 DPAW/T</small> <span style="float: right;"><small>UNCLASS</small></span></p>
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 <p style="text-align: center;"><b>Background</b></p> <hr/> <p style="text-align: center;"><small>Warfare Integration</small>      <small>Balancing Capability, Capacity, and Affordability</small></p> <ul style="list-style-type: none"><li>• Define, in broad terms, one bullet, no more than 3 lines, what is the capability to be delivered.</li><li>• Identify documents (National Military Strategy, Strategic Planning Guidance (SPG), Joint Integrating Concept JOC), Joint Planning Guidance (JPG), Campaign Analysis) which state the need for the capability which this program provides</li><li>• Identify applicable Functional Area Analysis (FAA), Functional Needs Analysis, Functional Solutions Analysis (FSA)</li><li>• Include previous <i>major</i> milestones and JROC involvement/decisions, including JROCMs</li><li>• Other key decisions or events</li></ul> <p><small>20 September 2017 DPAW/T</small> <span style="float: right;"><small>UNCLASS</small></span></p>
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 <p style="text-align: center;"><b>Joint Functional Area</b></p> <hr/> <p style="text-align: center;"><small>Warfare Integration</small>      <small>Balancing Capability, Capacity, and Affordability</small></p> <ul style="list-style-type: none"><li>• Tier 1 &amp; 2 JCAs applicable to capabilities identified in this document</li><li>• Show where filling gaps contributes to applicable functional area, Service concepts, Joint Functional, Operating and Integrating Concepts</li><li>• The timeframe for when this operational capability is needed</li><li>• Interdependencies</li></ul> <p><small>20 September 2017 DPAW/T</small> <span style="float: right;"><small>UNCLASS</small></span></p>
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 <p style="text-align: center;"><b>Threat/Operational Environment (U)</b></p> <hr/> <p style="text-align: center;"><small>Warfare Integration</small>      <small>Balancing Capability, Capacity, and Affordability</small></p> <ul style="list-style-type: none"><li>• Describe the expected operational environment in which the capability must be exercised</li><li>• Summarize Threat Capabilities (Lethal and Non-lethal)</li><li>• Identify validated threat references and status/date (use System Threat Analysis Report (STAR) status and Defense Intelligence Agency (DIA) threat validation dates if used)</li></ul> <p><small>20 September 2017 DPAW/T</small> <span style="float: right;"><small>UNCLASS</small></span></p>
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## Capabilities Required

Warfare Integration      Balancing Capability, Capacity, and Affordability

- Describe the particular aspects of the Joint Functional and Integrating Concepts the ICD addresses
- Explain why the capabilities are essential to the Naval Force in support of the Joint Commander to achieve military objectives and attributes of capabilities

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## Concept Of Operations Summary

Warfare Integration      Balancing Capability, Capacity, and Affordability

- Joint Potential Designator
- Mission Area
- Joint Capability Area
- Desired operational outcome
- Effects produced to achieve outcome
- How capability complements Naval and joint forces
- Enabling capabilities required to achieve desired operational outcomes

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## Operational View – OV-1

Warfare Integration      Balancing Capability, Capacity, and Affordability

- Describe how the capability will be employed
- Command and Control
- Describe interdependencies in terms of FoS for synchronization

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## Specific Capability Gap (U)

Warfare Integration      Balancing Capability, Capacity, and Affordability

- Describe or illustrate, in broad operational terms war fighting scenario (Red Team/Wargame), the capability gap which cannot be performed or is unacceptably limited (i.e. Wargame/Red Team should conclude/arrive that a capability gap exists)
- Provide linkage between required capabilities and Joint Operating, Functional and Integrating Concepts be filled by this program
- Capture the results of the Interoperability Review, Functional Area Analysis and the Functional Needs Analysis

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## Risk & Assumptions

Warfare Integration      Balancing Capability, Capacity, and Affordability

- Include all boundary conditions set as framework for current decisions
- Include strategic and tactical considerations
- Report any and all assumptions that will have significant impact if incorrect
  - Explain assumption and possible impact
  - Include tie-ins with other programs
- Risks associated with proceeding and not proceeding with solutions to each gap identified
- Prioritized capability gaps based on the risk assessment, including areas where additional risks can be accepted

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## Functional Solutions Analysis (FSA) - DOTMLPF (U)

Warfare Integration      Balancing Capability, Capacity, and Affordability

- Summarize results of DOTMLPF analysis
  - What was considered?
  - Why was it considered inadequate?
- Have backup slides providing detail on the analysis of each alternative

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**FSA: Analysis Of Materiel Approaches and Recommendations**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Summarize how well approaches address the capability gaps considering JROC approved attributes and measures of effectiveness for each approach. Identify:
- Known threats that mitigate materiel approaches
- Describe or illustrate best materiel and non-materiel approaches based upon: cost, efficacy, performance, technology maturity, & risk
- If banded approaches were considered, explain rationale for banding and differences between approaches
- Include "no cost" approach
- Prioritized list of materiel approaches

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**Issues**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Results of Navy review/comments completed [date]
  - Successfully adjudicated [#] critical comment[s]
  - Summarize unresolved critical comments
  - Successfully adjudicated (#) substantive comments
- Any other unresolved issues
- Identify collateral DoD/National Security issues
- Identify key boundary conditions and constraints
- Identify how building towards AoA

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**Cost**

Warfare Integration Balancing Capability, Capacity, and Affordability

- What capabilities are funded in the FYDP

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**Recommendation(s)**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Endorse/Approve ICD
  - for entry into Joint staffing and/or
  - enroute to OPNAV N8 for signature

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**BACKUPS**

Warfare Integration Balancing Capability, Capacity, and Affordability

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**Threat/Operational Environment**

Warfare Integration Balancing Capability, Capacity, and Affordability

**Threat Operational Environment (T<sub>0</sub>)**

<p><b>Integrative</b></p> <ul style="list-style-type: none"> <li>(U) Potential CBRN threats to US forces globally engaged, executing missions across the spectrum operations</li> <li>(U) Examples: WMD employment by terrorist, insurgents, guerrilla and rogue states</li> </ul>	<p><b>Catastrophic</b></p> <ul style="list-style-type: none"> <li>(U) Acquisition, possession, or employment of WMD or WMD like threats against high profile targets by terrorists or rogue states</li> <li>(U) Examples: WMD attacks against symbolic, critical or other high value targets with little or no warning</li> </ul>
<p><b>Traditional</b></p> <ul style="list-style-type: none"> <li>(U) Potential CBRN threats to US forces engaged in major combat operations</li> <li>(U) Examples: WMD employed by state actors via conventional delivery systems – artillery, rocket, missile, bombs, aircraft</li> </ul>	<p><b>Disruptive</b></p> <ul style="list-style-type: none"> <li>(U) Potential state competitors developing possessing breakthrough capabilities intended to supplant U.S. advantages</li> </ul>

Initial Threat Warning Assessment validated by DIA, 14 Jul 08

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# Appendix F

## CDD NCB Brief Template

**TITLE OF CDD BRIEF**  
**Proposed Acquisition Category**



Program sponsor:  
Date of presentation:  
Cycle:

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Classified by:  
Reason:  
Date on:

**Purpose**

Warfare Integration Balancing Capability, Capacity, and Affordability

- **Decisions Desired**
  - Approve CDD for entry into Joint staffing, or
  - Endorse the CDD for routing to OPNAV N8 for signature
  - Approve/Endorse Key Performance Parameters
- **Review cost/schedule for program.**

\_\_\_\_\_ provides the Navy/Joint Force with a \_\_\_\_\_  
capability to counter \_\_\_\_\_ (threat)

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**BLUF (Bottom Line Up Front)**

Warfare Integration Balancing Capability, Capacity, and Affordability

- **Overall Assessment**
  - 1-3 bullets assessing program health, lined up with capabilities and fiscal / acquisition status
- **Major risks**
  - What are the major risk drivers in terms of Cost / Schedule / Performance / Technical / External
- **Way ahead / PPBE action**
  - What, if anything, needs to occur this / next cycle

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**Capability Discussion**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Cite applicable ICD
- Status of the Interoperability Certification
- Provide overview of capability gap
  - Mission area
  - ROMO
  - Timeframe
- Describe capability delivered by program
  - How it relates to JOC, JFC, JIC, integrated architectures
- Describe how current increment contributes to required capability
- System's operating environment
- If part of SoS or FoS, identify source ICD and related CDDs, CPDs, integrating DOTMLPF changes and required synchronization
- Cite previously approved pertinent JCIDS documents

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**Analysis Summary**

Warfare Integration Balancing Capability, Capacity, and Affordability

- **Summarize AoA**
  - Alternatives
  - Objective
  - Criteria
  - Assumptions
  - Recommendation
  - Conclusion
- **Inter-dependencies**
- **Payoff for this capability**
- **Output in terms of JCA's**

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**Threat Summary**

Warfare Integration Balancing Capability, Capacity, and Affordability

- **Summarize projected threat environment and specific threat**
- **capabilities to be countered**
  - Nature of the threat
  - Threat tactics
  - Projected lethal and non-lethal threat capabilities over time
- **Identify validated threat references and status/date (use System Threat Analysis Report (STAR) status and Defense Intelligence Agency (DIA) threat validation dates if used)**

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### Concept of Operations Summary

Warfare Integration Balancing Capability, Capacity, and Affordability

- What mission area(s) does this program contribute to
- What operational outcomes does it provide
- What effects must it produce to achieve these outcomes
- How does it complement the integrated joint warfighting force
- What enabling capabilities are required to achieve outcomes

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### Operational View – OV-1

Warfare Integration Balancing Capability, Capacity, and Affordability

- Describe how the capability will be employed
- Command and Control
- Describe interdependencies in terms of FoS for synchronization

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### Program Summary

Warfare Integration Balancing Capability, Capacity, and Affordability

- Overall program strategy for reaching full capability
- Relationship between this CDD's increment and other increments of program, addressing:
  - Technologies to be developed
  - Other systems in FoS or SoS
  - Inactivation of legacy systems
- For follow-on increments, discuss:
  - Program strategy updates from lessons learned
  - Changes in JOCs, JFCs, JICs, integrated architectures
  - Update on acquisition status of previous increments

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### System Capabilities

Warfare Integration Balancing Capability, Capacity, and Affordability

- Briefly describe each KPP in a separate paragraph
  - Include supporting rationale and analytic references
  - Include unique operating environments, if applicable
  - Develop NR-KPP from integrated architecture
  - Applicability of the Force Protection and Survivability KPP
  - Applicability of Systems Training KPP and/or Energy Efficiency KPP
  - Applicability of Material Availability KPP and its 2 KSAs
  - How have KPPs changed over time
  - Why this standard is important to the warfighter
  - Present in output-oriented, measurable, and testable terms, using threshold and objective values, using the following types of tables

Key Performance Parameter	Development Threshold	Development Objective	Rationale/Analytic Linkage
KPP 1	value	value	
KPP 2	value	value	
KPP 3	value	value	

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### CBRN Survivability

Warfare Integration Balancing Capability, Capacity, and Affordability

- Electromagnetic Pulse Survivability – If the system is part of the Nuclear Command and Control System
  - For systems that are part of the mission critical subset defined by the NCS, EMP Survivability must be a KPP
  - For other systems determine if EMP survivability should be a system attribute or not applicable
- Chemical, Biological, Radiological, Nuclear Survivability – based on the threat
  - Assess the applicability of CBRN survivability
  - Designate as a KPP, non-KPP or not applicable

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### Top Cost Drivers (SDD)

1. Cost Driver #1	xx%
2. Cost Driver #2	yy%
3. Cost Driver #3	zz%

### Performance (KPPs & select KSAs)

N – no capability T – Threshold O – Objective

### Technology Readiness Assessment

Critical Technologies	Current Assessment	Est @ MS B
	100%	100%
	75%	100%
	50%	100%
	25%	100%
	0%	100%

### Acquisition Program Baseline (APB)

Cost: xx M (TYS), xx M (TYS)

Schedule: Aug 2078, Aug 2079

Assessment / Comment: © Lockheed Martin UNCLASS



## Risk and Assumptions

Warfare Integration      Balancing Capability, Capacity, and Affordability

- Include all boundary conditions set as framework for current decisions
- Include strategic and tactical considerations
- Report any and all assumptions that will have significant impact if incorrect
- Explain assumption and possible impact
- Include tie-ins with other programs
- Risks of both proceeding and not proceeding with program
- Use likelihood vs consequence matrix to generate "risk" measure and color code

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## Risk Overview

Warfare Integration      Balancing Capability, Capacity, and Affordability

Date of Review: mm yy

Program Acronym: ACAT XX  
DoD Acq Phase

One year prior      Current quarter

Likelihood      Likelihood

Consequence      Consequence

High Risk

Categorize risks only using the 5 categories below in the order presented

**Risk #1: (Cost)**

- Brief description of issue and rationale for its rating.
- Approach to remedy/mitigation.

Risk mitigation funding:

**Risk #2: (Schedule)**

- Brief description of issue and rationale for its rating.
- Approach to remedy/mitigation.

Risk mitigation funding:

**Risk #3: (Performance)**

- Brief description of issue and rationale for its rating.
- Approach to remedy/mitigation.

Risk mitigation funding:

**Risk #4: (Technical)**

- Brief description of issue and rationale for its rating.
- Approach to remedy/mitigation.

Risk mitigation funding:

**Risk #5: (External)**

- Brief description of issue and explanation of how Risk 5 was rated.
- Approach to remedy/mitigation.

Risk mitigation funding:

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## Cost Risk and Mitigation

Warfare Integration      Balancing Capability, Capacity, and Affordability

- This slide will use NAVSEA/NAVAIR S-curve for cost risk showing current info and if possible where the PM expects to be in 1 year and why (mitigation plan).
  - Include where cost risk was last year
  - Include PM and all independent cost estimates

Probability	Cost
5%	\$ 2,139
10%	\$ 2,155
15%	\$ 2,167
20%	\$ 2,177
25%	\$ 2,187
30%	\$ 2,194
35%	\$ 2,200
40%	\$ 2,211
45%	\$ 2,219
50%	\$ 2,226
55%	\$ 2,232
60%	\$ 2,244
65%	\$ 2,254
70%	\$ 2,264
75%	\$ 2,275
80%	\$ 2,284
85%	\$ 2,294
90%	\$ 2,305
95%	\$ 2,319

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## Schedule Risk and Mitigation Plan

For Official Use Only      ARIAL BOLD 14 PT

Name: IWSXXX      Date of Review: mm yy

Program Acronym: ACAT XX  
DoD Acq Phase

Risk Owner: GOVT POC, IWSXXX (ARIAL BOLD 14 PT)      Category: High 4.4 (ARIAL BOLD 14 PT)

**Description:** (ARIAL, BOLD, 14 PT)

- Propose technology X is failing to mature in a timely manner. (ARIAL, BOLD, 14 PT)

**Sample Mitigation Steps:** (Give status and date, e.g. on-going or completed, 7/15/03) (ARIAL, BOLD, 14 PT)

1. Completed w/ existing X technology and evaluated alternatives. (ARIAL, BOLD, 14 PT)
2. Additional developmental testing Y.
3. Event success would result in risk reduction to green risk area; or event failure would continue at yellow risk (THIS SLIDE REQUIRED ONLY IF SPECIFIC HIGH RISK ITEMS EXIST FOR THE PROGRAM)
4. Technology Y meets objective(s).

Risk Mitigation Steps are completed on a timeline.  
 Red and yellow risk items only.  
 Refer to Change Risk matrix to identify to green risk.  
 For completed steps use the

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## Program Performance Metrics

Warfare Integration      Balancing Capability, Capacity, and Affordability

Date of Review: mm yy

Program Acronym: ACAT XX  
DoD Acq Phase

• Discussion of performance, corrective actions, expected time to return to objective (if off)

- CPI
- SPI
- Management Reserve
  - Identify "baseline" level of management reserve used for underlying program
  - Indicate Management Reserve as a Percent of program value in the period displayed

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## Technical Risk and Mitigation Plan

For Official Use Only      ARIAL BOLD 14 PT

Name: IWSXXX      Date of Review: mm yy

Program Acronym: ACAT XX  
DoD Acq Phase

Risk Owner: GOVT POC, IWSXXX (ARIAL BOLD 14 PT)      Category: High 4.4 (ARIAL BOLD 14 PT)

**Description:** (ARIAL, BOLD, 14 PT)

- Propose technology X is failing to mature in a timely manner. (ARIAL, BOLD, 14 PT)

**Sample Mitigation Steps:** (Give status and date, e.g. on-going or completed, 7/15/03) (ARIAL, BOLD, 14 PT)

1. Completed w/ existing X technology and evaluated alternatives. (ARIAL, BOLD, 14 PT)
2. Additional developmental testing Y.
3. Event success would result in risk reduction to green risk area; or event failure would continue at yellow risk (THIS SLIDE REQUIRED ONLY IF SPECIFIC HIGH RISK ITEMS EXIST FOR THE PROGRAM)
4. Technology Y meets objective(s).

Risk Mitigation Steps are completed on a timeline.  
 Red and yellow risk items only.  
 Refer to Change Risk matrix to identify to green risk.  
 For completed steps use the

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## External Risk and Mitigation

Warfare Integration      Balancing Capability, Capacity, and Affordability

- Political
  - Include legislative marks, language or QFRs (can characterize QFRs) that impact the program
  - Who made the mark or inserted language and why
  - What is the impact (current and future if trend not reversed) and mitigation plan to include Congressional engagement strategy
- Other
  - International agreements
  - Outside agencies – Missile Defense Agency, FAA, etc.

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## Issues

Warfare Integration      Balancing Capability, Capacity, and Affordability

- Navy review completed [date]
- Address in depth all resolved/unresolved critical comments
- Identify collateral DoD/National Security issues
- Identify key boundary conditions and constraints

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## Recommendations

Warfare Integration      Balancing Capability, Capacity, and Affordability

- Endorse/Approve CDD
  - for entry into Joint staffing, or
  - enroute to OPNAV N8 for signature
- Validate KPPs as briefed

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BACKUPS

Warfare Integration      Balancing Capability, Capacity, and Affordability

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## Threat/Operational Environment

Warfare Integration      Balancing Capability, Capacity, and Affordability

**Threat Operational Environment (T)**

**Insidious**

- (U) Potential CDRM threats to US force, globally engaged, executing missions across the spectrum operations
- (U) Examples: WMD employment by terrorist, insurgents, guerrilla and rogue states

**Catastrophic**

- (U) Question: Possess oil, oil equipment or WMD or WED like effects against high profile targets by terror, etc. or rogue states
- (U) Examples: WMD attack against symbolic, critical, or other high value targets with time of no warning

**Traditional**

- (U) Potential CDRM threats to US force as engaged in major combat operations
- (U) Examples: WMD employed by state actors via conventional delivery systems – artillery, rocket, cruise, bombs, aircraft

**Disruptive**

- (U) Potential state competitors developing possessing breakthrough capabilities intended to supplant U.S. advantages

Info: Threat Warning Assessment validated by CIA, 14 Jul 04

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# Appendix G

## CPD NCB Brief Template

**TITLE OF CPD BRIEF**  
**Proposed Acquisition Category**



[program sponsor]  
[date of presentation]  
[cycle]

Classified by:  
Reason:  
Date: [ ]

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**Purpose**

Warfare Integration Balancing Capability, Capacity, and Affordability

- **Decisions Desired**
  - Approve CPD for entry into Joint staffing, or
  - Endorse the CPD for routing to OPNAV N8 for signature
  - Approve/Endorse Key Performance Parameters
- **Review cost/schedule for program.**

\_\_\_\_\_ provides the Navy/Joint Force with a \_\_\_\_\_ capability to counter \_\_\_\_\_ (threat)

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**BLUF (Bottom Line Up Front)**

Warfare Integration Balancing Capability, Capacity, and Affordability

- **Overall Assessment**
  - 1-3 bullets assessing program health, lined up with capabilities and fiscal / acquisition status
- **Major risks**
  - What are the major risk drivers in terms of Cost / Schedule / Performance / Technical / External
- **Way ahead / PPBE action**
  - What, if anything, needs to occur this / next cycle

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**Capability Discussion**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Cite applicable ICD/CDD
- Status of the Interoperability Certification
- Provide overview of capability gap
  - Mission area
  - ROMO
  - Timeframe
- Describe capability delivered by program
  - How it relates to JOC, JFC, JIC, integrated architectures
- Describe how current increment contributes to required capability
- System's operating environment
- If part of SoS or FoS, identify source ICD and related CDDs, CPDs, integrating DOTMLPF changes and required synchronization
- Cite previously approved pertinent JCIDS documents

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**Concept of Operations Summary**

Warfare Integration Balancing Capability, Capacity, and Affordability

- What JCAs (Tier 1 & 2) does this program contribute to
- What mission area(s) does this program contribute to
- What operational outcomes does it provide
- What effects must it produce to achieve these outcomes
- How does it complement the integrated joint warfighting force
- What enabling capabilities are required to achieve outcomes

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**Threat Summary**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Summarize projected threat environment and specific threat
- capabilities to be countered
  - Nature of the threat
  - Threat tactics
  - Projected lethal and non-lethal threat capabilities over time
- Identify validated threat references and status/date (use System Threat Analysis Report (STAR) status and Defense Intelligence Agency (DIA) threat validation dates if used)

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## Operational View – OV-1

Warfare Integration
Balancing Capability, Capacity, and Affordability

- Describe how the capability will be employed
- Command and Control
- Describe interdependencies in terms of FoS for synchronization

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## Program Summary

Warfare Integration
Balancing Capability, Capacity, and Affordability

- Overall program strategy for reaching full capability
- Relationship between this CPD's increment and other increments of program, addressing:
  - Technologies to be developed
  - Other systems in FoS or SoS
  - Inactivation of legacy systems
- For follow-on increments, discuss:
  - Program strategy updates from lessons learned
  - Changes in JOCs, JFCs, JICs, integrated architectures
  - Update on acquisition status of previous increments

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## System Capabilities (U)

Warfare Integration
Balancing Capability, Capacity, and Affordability

- Briefly describe each KPP in a separate paragraph
  - Include supporting rationale and analytic references
  - Include unique operating environments, if applicable
  - Develop NR-KPP from integrated architecture
  - Applicability of the Force Protection and Survivability KPP
  - Applicability of Systems Training KPP and/or Energy Efficiency KPP
  - Applicability of Material Availability KPP and its 2 KSAs
  - How have KPPs changed over time
  - Why this standard is important to the warfighter
  - Present in output-oriented, measurable, and testable terms, using threshold and objective values, using the following types of tables

Key Performance Parameter	Development Threshold	Development Objective	Rationale/Analytic Usage
KPP 1	value	value	
KPP 2	value	value	
KPP 3	value	value	

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## CBRN Survivability

Warfare Integration
Balancing Capability, Capacity, and Affordability

- Electromagnetic Pulse Survivability -- If the system is part of the Nuclear Command and Control System
  - For systems that are part of the mission critical subset defined by the NCS, EMP Survivability must be a KPP
  - For other systems determine if EMP survivability should be a system attribute or not applicable
- Chemical, Biological, Radiological, Nuclear Survivability – based on the threat
  - Assess the applicability of CBRN survivability
  - Designate as a KPP, non-KPP or not applicable

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Warfare Integration
Balancing Capability, Capacity, and Affordability

### Top Cost Drivers (SDD)

1. Cost Driver #1	XX%
2. Cost Driver #2	YY%
3. Cost Driver #3	ZZ%

### Performance (KPPs & select KSAs)

### Technology Readiness Assessment

Critical Technologies	Current Assessment	Est @ MS B
	100%	100%
	75%	75%
	50%	50%
	25%	25%
	0%	0%

### Acquisition Program Baseline (APB)

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## Interrelationships, Dependencies and Synchronization with Complementary Systems

Warfare Integration
Balancing Capability, Capacity, and Affordability

**Aviation:** CH-46, CH-53, SH-60, UH-1A/H-1 (Upgrades), MV-22, JF-17, MH-60S, JALS

**Sea Basing:** MPP(F), JHSV

**Combat Logistics Force:** T-AKE

**Ordnance:** AIM-9X, AGM-88, JSOW Baseline, JASSM, SDB

**LHA(R)**

**DDG(X)**

**LPD(X)**

**SSN(X)**

**C4:** GCCS-M, JTRS Cluster 1, JTRS Waveform, DCGS-N

**Weapons:** CEC, SSDS Mk 2, SSDS P31

..... Solid denotes current system  
- - - - - Dash denotes future system

→ Arrow to LHA(R) denotes supports LHA(R)  
← Arrow from LHA(R) denotes LHA(R) supports

□ No known platform or system issues  
■ Monitoring potential interoperability issues

PM DAES Rating: I C S P Not Rated Fielded

■ = Integration  
Number denotes degree of dependency:  
1 = Critical, 2 = Significant, 3 = Enabler

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## Supportability

*Warfare Integration      Balancing Capability, Capacity, and Affordability*

- Information Technology and National Security Systems
- Identify the bandwidth required by the system
  - Terrestrial (fixed base, GIG backbone)
  - Line-of-sight digital comms
  - Beyond-line-of-sight digital comms (requires non-SATCOM relay)
  - SATCOM by band (EHF, SHF, UHF, Ka, Ku, C, etc)
- Intelligence
- Electromagnetic Environmental Effects and Spectrum
- Describe only the support elements which would need to be developed for this program, not those that already exist

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## IOC/FOC Schedule & Definitions

*Warfare Integration      Balancing Capability, Capacity, and Affordability*

- Describe types and initial quantities of assets required to attain IOC, including initial spares, training, and support equipment)
- Identify operational units (including other services and/or agencies) that will employ this capability
- Define what actions, when complete, will constitute attainment of IOC and FOC of the current increment
- Specify target date for IOC attainment

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## Schedule

*Warfare Integration      Balancing Capability, Capacity, and Affordability*

**Must include:**

- IOC/FOC and definition to include quantities of assets, spares training and S/E
- Operational units that will employ capability
- Timeline of at least the FYDP
- Spiral upgrades (if any)
- Sundown of system/platform being replaced (potential 2<sup>nd</sup> slide)
- Milestones
- Planned test and evaluations (include early evaluations)

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## Other DOTMLPF Considerations

*Warfare Integration      Balancing Capability, Capacity, and Affordability*

- Discuss any additional DOTMLPF implications associated with fielding system not already addressed
  - Highlight status (timing and funding) of the other DOTMLPF considerations
  - Describe logistics criteria (system reliability, maintainability, transportability, and supportability that will help minimize footprint, enhance mobility, and reduce TOC)
  - Detail basing needs (hwd and main operating bases, institutional training bases, depot requirements)
  - Specify facility, shelter, supporting infrastructure, environmental quality compliance, safety and occupational health requirements and associated costs and availability
  - milestone schedule that support the capability
  - Describe how system will be moved either to or within the theater
  - Identify lift constraints
  - Identify the manpower (government and contractor) required to operate and sustain the system throughout the lifecycle

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## Program Affordability

*Warfare Integration      Balancing Capability, Capacity, and Affordability*

U.S. Cost Effort/Asst. Step	FY00	FY01	FY02	FY03	FY04	FY05	FY06	FY07	FY08	FY09	FY10	FY11	FY12	FY13	FY14	FY15	FY16	FY17	FY18	FY19	FY20	FY21	FY22	FY23	FY24	FY25	FY26	FY27	FY28	FY29	FY30	Program Name Funding Profile	
																																Cost (\$)	Asst. (\$)
<p>• Lifecycle cost or, if available, TOC, including all associated DOTMLPF costs</p> <p>• Compare to previous lifecycle cost estimates including CDD</p> <p>• Articulate sponsor funding level estimates for developing, producing and sustaining desired capability</p> <p>• Stated in terms of threshold and objective (not necessarily a KPP; if KPP, include in appropriate table)</p> <p>• Cite applicable cost studies conducted to date</p>																																	

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## Risk and Assumptions

*Warfare Integration      Balancing Capability, Capacity, and Affordability*

- Include all boundary conditions set as framework for current decisions
- Include strategic and tactical considerations
- Report any and all assumptions that will have significant impact if incorrect
- Explain assumption and possible impact
- Include tie-ins with other programs
- Risks of both proceeding and not proceeding with program
- Use likelihood vs consequence matrix to generate "risk" measure and color code

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## Program Risk Overview

Date of Review: mm yy

**Warfare Integration**

One year prior

**Balancing Capability, Capacity, and Affordability**

Current quarter

Categorize risks only using the 5 categories below in the order presented

**Risk #1: (Cost)**

- Brief description of issue and rationale for its rating.
- Approach to remedy/mitigation.
- Risk mitigation funding.

**Risk #2: (Schedule)**

- Brief description of issue and rationale for its rating.
- Approach to remedy/mitigation.
- Risk mitigation funding.

**Risk #3: (Performance)**

- Brief description of issue and rationale for its rating.
- Approach to remedy/mitigation.
- Risk mitigation funding.

**Risk #4: (Technical)**

- Brief description of issue and rationale for its rating.
- Approach to remedy/mitigation.
- Risk mitigation funding.

**Risk #5: (External)**

- Brief description of issue and explanation of how Risk 5 was retired.
- Approach to remedy/mitigation.
- Risk mitigation funding.

Program Acronym: ACAT XX DoD Acq Phase

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## Cost Risk and Mitigation

Date of Review: mm yy

**Warfare Integration**

This slide will use NAVSEA/NAVAIR S-curve for cost risk showing current info and if possible where the PM expects to be in 1 year and why (mitigation plan).

- Include where cost risk was last year
- Include PM and all independent cost estimates

**Balancing Capability, Capacity, and Affordability**

Probability	Cost
5%	\$ 2,188
10%	\$ 2,153
15%	\$ 2,267
20%	\$ 2,177
25%	\$ 2,187
30%	\$ 2,184
35%	\$ 2,203
40%	\$ 2,211
45%	\$ 2,210
50%	\$ 2,228
55%	\$ 2,244
60%	\$ 2,254
65%	\$ 2,264
70%	\$ 2,276
75%	\$ 2,276
80%	\$ 2,290
85%	\$ 2,284
90%	\$ 2,284
95%	\$ 2,358

Program Acronym: ACAT XX DoD Acq Phase

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## Schedule Risk and Mitigation Plan

Date of Review: mm yy

Name: IWSXXX

Risk Owner: GOVT POC, IWSXXX

Category: High 4-4

**Description:** (ARIAL, BOLD, 14 PT)

- Propose technology X is failing to mature in a timely manner. (ARIAL, BOLD, 14 PT)

**Sample Mitigation Steps:** (Give status and date, (e.g. on-going, or completed, 7/15/03) (ARIAL, BOLD, 14 PT)

- Completed w/ existing X technology and evaluated alternatives. (ARIAL, BOLD, 14 PT)
- Additional developmental testing Y.
- Event success would result in risk reduction to green risk area; or event failure would continue at yellow risk **(THIS SLIDE REQUIRED ONLY IF SPECIFIC HIGH RISK ITEMS EXIST FOR THE PROGRAM)**
- Technology Y meets objective(s).

Risk Mitigation Steps are depicted in a timeline.

- Red and yellow risk are on-going.
- Yellow and green risk are completed.
- For completion step, use the [ ] icon.
- For completion date, use the [ ] icon.

Program Acronym: ACAT XX DoD Acq Phase

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## Program Performance Metrics

Date of Review: mm yy

**Warfare Integration**

Discussion of performance, corrective actions, expected time to return to objective (if off)

- OPR
- SFI
- Management Reserve
  - Identify 'baseline' level of management reserve used for indexing program
  - Indicate Management Reserve as a Percent of program value in the period displayed

**Balancing Capability, Capacity, and Affordability**

Program Acronym: ACAT XX DoD Acq Phase

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## Technical Risk and Mitigation Plan

Date of Review: mm yy

Name: IWSXXX

Risk Owner: GOVT POC, IWSXXX

Category: High 4-4

**Description:** (ARIAL, BOLD, 14 PT)

- Propose technology X is failing to mature in a timely manner. (ARIAL, BOLD, 14 PT)

**Sample Mitigation Steps:** (Give status and date, (e.g. on-going, or completed, 7/15/03) (ARIAL, BOLD, 14 PT)

- Completed w/ existing X technology and evaluated alternatives. (ARIAL, BOLD, 14 PT)
- Additional developmental testing Y.
- Event success would result in risk reduction to green risk area; or event failure would continue at yellow risk **(THIS SLIDE REQUIRED ONLY IF SPECIFIC HIGH RISK ITEMS EXIST FOR THE PROGRAM)**
- Technology Y meets objective(s).

Risk Mitigation Steps are depicted in a timeline.

- Red and yellow risk are on-going.
- Yellow and green risk are completed.
- For completion step, use the [ ] icon.
- For completion date, use the [ ] icon.

Program Acronym: ACAT XX DoD Acq Phase

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## External Risk and Mitigation

Date of Review: mm yy

**Warfare Integration**

- Political**
  - Include legislative marks, language or QFRs (can characterize QFRs) that impact the program
  - Who made the mark or inserted language and why
  - What is the impact (current and future if trend not reversed) and mitigation plan to include Congressional engagement strategy
- Other**
  - International agreements
  - Outside agencies – Missile Defense Agency, FAA, etc.

**Balancing Capability, Capacity, and Affordability**

Program Acronym: ACAT XX DoD Acq Phase

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**Test and Evaluation**

Warfare Integration Balancing Capability, Capacity, and Affordability

- What is DOT&E's position, is there any anticipated issues (only for programs with DOT&E oversight)
- Are there any infrastructure or Enterprise related issues with testing?
- What are the results of any early testing or evaluations? Are the results where the program expected them to be?
- If joint, what is the joint strategy and are the other services providing expected resources?
- Does the program account for Joint environment requirements?

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**Issues**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Navy review completed [date]
- Address in depth all resolved/unresolved critical comments
- Identify collateral DoD/National Security issues
- Identify key boundary conditions and constraints

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**Recommendations**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Endorse/Approve CPD
  - for entry into Joint staffing, or
  - enroute to OPNAV N8 for signature
- Validate KPPs as briefed

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**BACKUPS**

Warfare Integration Balancing Capability, Capacity, and Affordability

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**Threat/Operational Environment**

Warfare Integration Balancing Capability, Capacity, and Affordability

**Threat/Operational Environment (U)**

<p><b>Irregular</b></p> <ul style="list-style-type: none"> <li>• (U) Potential CBRN threats to US forces globally engaged, executing missions across the spectrum operations</li> <li>• (U) Examples: WMD employment by terrorist, insurgents, guerilla and rogue states</li> </ul>	<p><b>Catastrophic</b></p> <ul style="list-style-type: none"> <li>• (U) Acquisition, possession, or employment of WMD (or WMD like effects) against high profile targets by terrorists or rogue states</li> <li>• (U) Examples: WMD attack against symbolic, critical, or other high-value targets with little or no warning</li> </ul>
<p><b>Traditional</b></p> <ul style="list-style-type: none"> <li>• (U) Potential CBRN threats to US forces engaged in major combat operations</li> <li>• (U) Examples: WMD employed by state actors via conventional delivery systems -- artillery, rocket, missile, bombs, aircraft</li> </ul>	<p><b>Disruptive</b></p> <ul style="list-style-type: none"> <li>• (U) Potential state competitors developing possessing breakthrough capabilities intended to supplant U.S. advantages</li> </ul>

Initial Threat Warning Assessment validated by DIA, 14 Jul 04

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# Appendix H

## Major Program Capability Review Brief Template

**Program Capability Review**  
**[Title of CDD/CPD/Program]**  
**ACAT and Program Sponsor**



Date  
Briefing Name, N-Code  
Briefing Name, RO

Briefing Name, PEO(XXX)  
Briefing Name, Program Manager

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**Decision(s) Desired**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Endorse/approve issue as appropriate
- Concur Actions

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**Brief Outline**

Warfare Integration Balancing Capability, Capacity, and Affordability

- BLUF
  - Resource Sponsor and PEO Flags

Resource Sponsor and PEO Flag

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**Bottom Line Up Front**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Overall Assessment
  - 1-3 bullets assessing program health, lined up with capabilities and fiscal / acquisition status
- Major risks
  - What are the major risk drivers in terms of Cost / Schedule / Performance / Technical / External
- Way ahead / PPBE action
  - What if anything needs to occur this / next cycle

Resource Sponsor and PEO Flag

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**Brief Outline**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Capabilities Development
  - Requirements Officer
  - Section intended to succinctly lay out documented capability gaps and proposed material solution

RO

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**Threat Summary**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Describe projected threat environment
  - This includes both the threat to the platform and the threat to the force that will be countered
- Identify validated threat references and status/date (use System Threat Analysis Report (STAR) status and Defense Intelligence Agency (DIA) threat validation dates if used)

RO

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**Capability Discussion**

Warfare Integration Balancing Capability, Capacity, and Affordability

- (for CDD) Cite applicable ICD(s)
  - What capability gap is filled by this increment (applicable ICDs)
- (For CPD) Cite applicable CDD and what has changed
- Timeframe and range of military operations
- If part of SoS /FOS, identify source ICD and related CDDs, CPDs, and integrating DOTMLPF changes
- Cite previously approved pertinent JCIDS documents

RO  
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**CONOPS**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Agency developing and approving CONOPS
- Describe CONOPS (to include)
  - Mission areas program contributes to
  - Operational outcomes it provides
  - Effects produced
  - Joint interdependencies and integration
  - Manning
  - Basing
  - Transition plan for replacing old capability
  - *Can be multiple slides*

Picture, example of how modeled/employed OV slides etc...

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**Brief Outline**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Resources
  - Requirements Officer coordinated with N80 and N82

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**Execution History**

Warfare Integration Balancing Capability, Capacity, and Affordability

(TVSM)	PY	FY06	FY07	FY08	FY09	FY10	FY11	FY12	FY13	FY08-13	CTC
RDFAE	1.0	1.0	3.0	3.0	3.0						
SCNAPN	0.0		1.0	1.0	4.0	1.0	1.0	1.0			1,278.3
O&MN	0.0										1,283.4
<b>TOTAL</b>	<b>1.0</b>	<b>1.0</b>	<b>4.0</b>	<b>4.0</b>	<b>7.0</b>	<b>1.0</b>	<b>1.0</b>	<b>1.0</b>	<b>0.0</b>	<b>0.0</b>	<b>2,561.7</b>

QTY	FY05	FY06	FY07	FY08	FY09	FY10	FY11	FY12	FY13	FY08-13	QTC
PCR/PB07	0	0	0	0	0	0	5				5
Revised Qst	0	0	0	0	0	0	4				4

- Use text to explain
  - Overall assessment of programmatic and budgetary health
  - N80 and N82 assessment of plan
  - What year funding is displayed
  - Issues w/ procurement numbers, changes..
  - Prior year spending
- Include previous funding cycle to show trend (e.g. PB-07)
- Include associated costs not directly linked to procurement like MILCON, manpower, training, OPN, etc

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**Brief Outline**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Acquisition Status
  - Program Manager

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**Program Summary**

Warfare Integration Balancing Capability, Capacity, and Affordability

- Changes to KPPs/KCAs since review / document
- Strategy for reaching FOC including any changes
- Relationship between this increment and other increments, addressing:
  - Technologies to be developed
  - Other systems in SoS and Fos
  - Inactivation of legacy platforms and systems
- For follow on increments, discuss:
  - Program strategy updates from lessons learned
  - Updates on acquisition status of previous increments

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## Schedule

Warfare Integration      Balancing Capability, Capacity, and Affordability

**Must include:**

- IOC/FOC and definition to include quantities of assets, spares training and S/E
- Operational units that will employ capability
- Timeline of at least the FYDP
- Spiral upgrades (if any)
- Sundown of system/platform being replaced (potential 2<sup>nd</sup> slide)
- Milestones
- Planned test and evaluations (include early evaluations)

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## Concurrency

Warfare Integration      Balancing Capability, Capacity, and Affordability

- Graphically display the appropriate developmental timelines and how they overlap
- Discuss areas of risk, factors and mitigation strategies
  - Show on schedule slide and address in Schedule risk section if appropriate
- Discuss changes since program inception – more concurrent, less...

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## Complexity

Warfare Integration      Balancing Capability, Capacity, and Affordability

- Not a slide that says this is hard to do, complexity in terms of interactions with other outside agencies, other systems, etc.
- Include issues such as
  - Number of Program Managers
  - Interaction with other programs
  - Joint/International links – other stakeholders
  - Technical issues – software, # of weapon systems, # of sensor suites
- Link issues to risk in maintaining cost, schedule and performance
  - Identify external areas where Navy has no control and could result in changes

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## Technology Assessment

Warfare Integration      Balancing Capability, Capacity, and Affordability

### Technology Readiness Assessment

Technology Item	Last Review (FY)	Topic	Next Review/ Milestone Event Date	M/S C Date	Cost	Associated KPP/SA

- Identify capability, system and/or component subjected to TRL Assessment
- Identify TRL:
  - Today
  - Projected at next major event
  - Cost to achieve Milestone C

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## Cost Drivers (TYSM)

Warfare Integration      Balancing Capability, Capacity, and Affordability

**KPP Specific**

Sunk & To Go Lead Ship TY\$

RCS

VLS Cells

Manning

Interoperability

Lead platform Total Cost

Life Cycle cost

# EXAMPLE

Cost drivers and KPPs need to be covered on following slides

Survivability (COLE Like Attack, Air PRA, Fast Attack Craft)

Force Protection (OPS & Decon, Ballistic Protect)

Major Cost Categories	
COST CATEGORY	SCN
Integration & Engineering	XXX
Command & Surveillance	XXX
Electric	XXX
Armament	XXX
Hull	XXX
Ship Assembly & Support	XXX
Auxiliary Systems	XXX
Propulsion	XXX
Outfitting	XXX

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## KPPs

Warfare Integration      Balancing Capability, Capacity, and Affordability

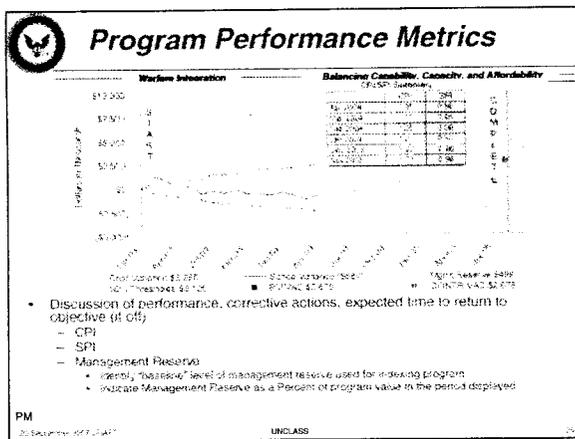
### Key Performance Parameters (KPP):

KPP	Current Cost	Current %	Change (Threshold)
KPP 1	\$25M	(25%)	(\$10M)
KPP 2	\$5M	(25%)	(\$0.5M)
KPP 3	\$24M	(25%)	(\$0.5M)
KPP 4	\$24M	(25%)	(\$0.5M)

- Present threshold and objectives, use diamond to show expected level of performance (today and IOC/FOC if different)
- Cost capability trade-offs:
  - Which capabilities could be reduced to threshold
  - Which should not be reduced, and why
  - Potential savings with performance reductions
- Link to gaps in front end to quantify risks from N81/AoA

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### Technical Risk and Mitigation Plan

For Official Use Only | ARIAL: BOLD 14 PT | Program Assign ACAT: X2 DoD Acq Phase

Name: IWSXXX | Date of Review: mm yy

Risk Owner: GOVT POC, IWSXXX (ARIAL: BOLD 14 PT) | Category: High 4-4 (ARIAL: BOLD 14 PT)

**Description:** (ARIAL: BOLD 14 PT)  
 Propose technology x is failing to mature in a timely manner. (ARIAL: BOLD 14 PT)

**Sample Mitigation Steps:** (Give status and date, i.e. g. on-going, or, completed, 7/15/03) (ARIAL: BOLD 14 PT)

- Completed w/ existing X technology and evaluated alternatives. (ARIAL: BOLD 14 PT)
- Additional developmental testing Y
- Event success would result in risk reduction to green risk area; or event failure would continue at yellow risk **(THIS SLIDE REQUIRED ONLY IF SPECIFIC HIGH RISK ITEMS EXIST FOR THE PROGRAM)**
- Technology Y meets objective(s).

ARIAL: BOLD 14 PT | ARIAL: BOLD 14 PT | ARIAL: BOLD 14 PT | ARIAL: BOLD 14 PT

PM | 20 September 2017 15:00 | UNCLASS | 27

- ### External Risk and Mitigation
- Warfare Integration | Balancing Capability, Capacity, and Affordability
- Political
    - Include legislative marks, language or QFRs (can characterize QFRs) that impact the program
    - Who made the mark or inserted language and why
    - What is the impact (current and future if trend not reversed) and mitigation plan to include Congressional engagement strategy
  - Other
    - International agreements
    - Outside agencies – Missile Defense Agency, FAA, etc
- PM | 20 September 2017 15:00 | UNCLASS | 28

- ### Summary
- Warfare Integration | Balancing Capability, Capacity, and Affordability
- Recap of major issues and risks (1-2 slides)
  - Organized as follows
    - Capabilities
    - Resources
    - Acquisition
- Resource Sponsor and PEO Flag
- PM | 20 September 2017 15:00 | UNCLASS | 29

### Decision Desired

Warfare Integration | Balancing Capability, Capacity, and Affordability

- Endorse/approve issue as appropriate | Concur Actions

PM | 20 September 2017 15:00 | UNCLASS | 30

### BACKUPS

All slides are required to be completed. Backup slides may be brought forward depending on issues.

PM | 20 September 2017 15:00 | UNCLASS | 31

## AOA Summary

*Warfare Integration      Balancing Capability, Capacity, and Affordability*

- Assumptions
- Objective
- Criteria
- Alternatives
- Recommendation
- Conclusion

**Required slide for CDDs, move to front section for CDD approvals**  
Delete this slide for programs that have approved CDD

20 September 2014 (REV 1)      UNCLASS      30

## N81 Analysis

*Warfare Integration      Balancing Capability, Capacity, and Affordability*

- Show how this system played in N81 analysis. Show where capability in analysis differs from threshold values or uses capability not identified in JCIDS document and why.

20 September 2014 (REV 1)      UNCLASS      31

## Additional Attributes

*Warfare Integration      Balancing Capability, Capacity, and Affordability*

**Additional Attributes:**

	Threshold	Objective	Cost contribution (current)	Cost change (Threshold)
KSA 1	xx	xx	\$25M (25%)	(\$10M)
KSA 2	xx	xx	\$5M (25%)	--
KSA 3	xx	xx	\$24M (25%)	(\$0.5M)
KSA 4	xxx	xxx	\$24M (25%)	--

• Present threshold and objectives, use diamond to show expected level of performance (today and IOC/FOC if different)

- Focus on cost drivers, high interest items and/or items above / below threshold and objective

• Cost capability trade-offs

- Which capabilities must be reduced to threshold
- Which should not be reduced, and why
- Potential savings with performance reductions

• Link to gaps in front end to quantify risks from \* to 1.0A

20 September 2014 (REV 1)      UNCLASS      32

## Other DOTMLPF Considerations

*Warfare Integration      Balancing Capability, Capacity, and Affordability*

- Additional DOTMLPF implications:
  - Status of considerations
  - Logistics criteria
  - Detail basing needs
  - Infrastructure, environmental compliance, safety and occupational health requirements and costs and acquisition milestones
  - How system will be moved in and out of theatre
  - Lift requirements and constraints

20 September 2014 (REV 1)      UNCLASS      33

## Supportability

*Warfare Integration      Balancing Capability, Capacity, and Affordability*

- FORCE Net Compliance
  - Do FORCE Net interfaces and modes (Lightning Bolts) exist.
  - If not when will they, who is developing, and how much will it cost
- Intelligence
- MPN
- MILCON

•Describe only the support elements which would need to be developed for this program, not those that already exist

20 September 2014 (REV 1)      UNCLASS      34

## Program Changes

*Warfare Integration      Balancing Capability, Capacity, and Affordability*

**Acquisition Program Baseline (APB)**

Slide required if APB approved

20 September 2014 (REV 1)      UNCLASS      35



## PM Recommended Changes

*Warfare Integration* *Balancing Capability, Capacity, and Affordability*

- Are there changes the PM would make to improve cost, schedule or performance
  - Cost to make the change
  - Net savings
  - Supporting analysts
- Changes that reduce performance from objective to threshold KPP and non-KPP
  - Cost to make the change
  - Net savings
- KPP which could be violated to save significant Program resources
  - Include Broad Ahead for JCIDS engagement

**Optional – only include if changes recommended**

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## Sponsor Assessment

*Warfare Integration* *Balancing Capability, Capacity, and Affordability*

- Assessment of proposed PM changes
- Should include Sponsor assessment of risk imposed by recommendation made by PM (with alternatives to PM recommendation if available).

**Can combine with PM slide**

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## Test and Evaluation

*Warfare Integration* *Balancing Capability, Capacity, and Affordability*

- What is DOT&E's position, is there any anticipated issues (only for programs with DOT&E oversight)
- Are there any infrastructure or Enterprise related issues with testing?
- What are the results of any early testing or evaluations? Are the results where the program expected them to be?
- If joint, what is the joint strategy and are the other services providing expected resources?
- Does the program account for Joint environment requirements?

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# Appendix I

## JCIDS Post Joint Routing NCB Brief Template

<p>PROGRAM NAME DOCUMENT TYPE</p>  <p>DATE</p> <p>CLASSIFICATION UNCLASS</p> <p><small>Replaces Old: 10077 0-1 12/02</small></p>	<p> <b>Status</b></p> <p><small>Warfare Integration</small> <small>Balancing Capability, Capacity, and Affordability</small></p> <ul style="list-style-type: none"><li>• NAME OF PROGRAM NCB of DTD endorsed approval of the NAME OF PROGRAM AND DOCUMENT (CDD/CPD) for entry into the Joint review process</li><li>• # comments (# critical) resulted from the Joint staffing process<ul style="list-style-type: none"><li>- All # critical comments have been adjudicated</li><li>- No changes to cost, schedule or baseline capability<ul style="list-style-type: none"><li>• Added Total Ownership Cost KSA (no change to program cost estimate briefed at NCB)</li></ul></li></ul></li><li>• Decision Desired<ul style="list-style-type: none"><li>- Endorse PROGRAM AND DOCUMENT NAME for routing to OPNAV N8 for signature</li></ul></li></ul> <p>No change to program baseline approved by NCB</p> <p><small>Replaces Old: 10077 0-1 12/02</small> UNCLASS</p>
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