



DEPARTMENT OF THE NAVY
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OPNAVINST 5420.113
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16 Jul 2012

OPNAV INSTRUCTION 5420.113

From: Chief of Naval Operations

Subj: SURFACE WARFARE TACTICAL REQUIREMENTS GROUP

Ref: (a) SECNAVINST 5000.2E
(b) OPNAVINST 1500.57B
(c) PEOIWSINST 4215.1 (NOTAL)

Encl: (1) Surface Warfare Tactical Requirement Group Membership

1. Purpose. To issue the process by which the Surface Warfare Tactical Requirements Group (SWTRG) provides guidance, governance, and definition for Surface Navy Combat System incremental modernization to be provided through the Advanced Capability Build (ACB) process. This instruction establishes a structure to validate, prioritize, align, and resource requirements for surface warfare weapons, sensors, and combat systems with ACB deliveries.

2. Cancellation. Surface Warfare Tactical Requirements Group Charter, 29 July 2009 (NOTAL).

3. Background. Historically, the integration of programs of record (PORs) was not always aligned with the combat system development process which resulted in additional expenses and inefficiencies. Surface Navy must pursue an integrated, holistic approach to correct this deficiency. The combat system ACB development approach allows surface Navy combat systems to incrementally incorporate common components within a combat system family (Aegis and Ship Self Defense System (SSDS)) meeting warfighting requirements. Where appropriate, this could also include components that are common across combat system families. The combat system ACB development approach establishes a periodic cycle for fielding new capabilities, correction of testing deficiencies, addressing obsolescence issues, and computer program maintenance improvements. To execute this approach successfully, the resource sponsors must coordinate with one another to ensure that their requirements,

intended deliverables, and funding are aligned and prioritized. The SWTRG's goal is to align and prioritize requirements across the Office of the Chief of Naval Operations (OPNAV), maximize resources and increase the efficiency with which the surface Navy delivers and incrementally modernizes integrated combat system capabilities.

4. Scope. Per reference (a), this instruction provides the process and governance structure to achieve the alignment of programs, technologies, and requirements. The SWTRG is the decision-making body for aligning existing PORs, new technologies, and new requirements to a given ACB. The SWTRG provides the forum to review courses of action to resolve cross-enterprise or cross-sponsor issues. This process and structure will inject fleet warfighting requirements more dynamically into the acquisition process with a fleet feedback mechanism to assist resource sponsors and program managers in satisfying the most pressing Fleet requirements. Per reference (b), combat system training requirements will be adjudicated by the Surface Warfare Training Committee (SWTC). For a given ACB, the SWTC will provide consolidated training requirements and supporting program objective memorandum (POM) documentation to the SWTRG.

5. Vision. The SWTRG, with inputs from the Program Executive Offices (PEOs), will provide coordination and collaboration across resource sponsors, program offices, and the fleet to provide integrated surface warfare capability requirements to the acquisition community. This instruction directs an approach with the following characteristics:

a. It accounts for evolving warfare requirements and the modernization of surface combat systems.

b. It establishes an oversight and execution body of resource sponsors aligned to budgetary and acquisition processes.

c. It accounts for the constrained fiscal environment by responsibly allocating resources to well-defined capability requirements.

d. It will utilize a common plan to list the capabilities under development for fielding in an ACB and register those requirements that are awaiting resourcing for future ACBs.

e. It will follow the steps of the two-pass/six-gate process as modified, and have SWTRG-endorsed decisions reviewed by the Navy and validated and approved by a Resources and Requirements Review Board (R3B)-forum gate review.

6. Guiding Principles. The SWTRG shall be comprised of an approval level, a management oversight level, and a working group level. They shall be titled SWTRG Executive Steering Group (ESG), SWTRG Board of Directors (BOD), and SWTRG Working Group, respectively.

a. The working group, comprised principally of OPNAV action officers, will expedite the requirements definition process by identifying and prioritizing warfighting requirements derived from existing fleet requirement needs. These requirements and priorities across the surface Navy will establish the target timeline for incremental fielding of functionality and capability improvements. This process is depicted in figure 1.

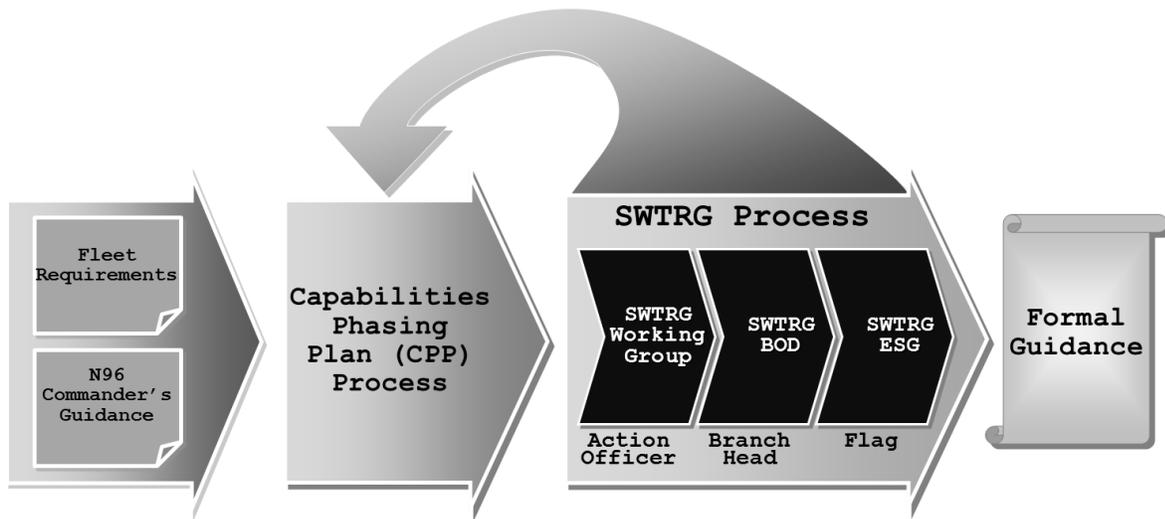


Figure 1. SWTRG ACB Content Definition Process

(1) OPNAV Surface Warfare Division (OPNAV (N96)) will provide PEO Integrated Warfare Systems (IWS) with overall development guidance for future ACBs. This guidance will be used in conjunction with fleet requirement recommendations as appropriate for consideration.

(2) Per reference (c), the PEO IWS Capabilities Phasing Plan (CPP) coordination group shall provide PEO IWS and OPNAV (N96) a coordinated strategy for selection and integration of selected capabilities. To meet the OPNAV (N96) development guidance, PEO IWS will consider POR in developing the strategy for iterative combat system capability integration through a series of ACBs.

(3) The SWTRG Working Group will use the analyses developed by the CPP to determine if selected capabilities support current and future surface operations across all mission areas. The CPP analyses will include a definition, scope, and justification for all listed capabilities. Emphasis will be placed on applications and or components which may solely, or partially, solve warfighter capability gaps. The working group will evaluate this strategy against known budgetary and or requirement constraints. If necessary, the working group will provide feedback and request a revised program approach from PEO IWS. The working group will provide the BOD a complete assessment of each new capability and options for phasing.

b. The SWTRG BOD is comprised of OPNAV branch heads (O-6 level) and representatives from Commander, Operational Test and Evaluation Force (COMOPTEVFOR), Deputy Assistant Secretary of the Navy (DASN) Ships, and the fleet. They will review the working group proposals and adjudicate any unresolved ACB content issues. The BOD will forward their recommendations to the ESG for approval or to PEO IWS for alignment and prioritization.

c. The SWTRG ESG is comprised of OPNAV, COMOPTEVFOR, fleet, and DASN Ships flag officer and Senior Executive Service representatives. The ESG will review the BOD recommendation and provide validation of the next and future ACB content. ESG formal guidance will be documented and submitted for Navy review, and approved and endorsed by an R3B-forum gate review.

d. Through a collaborative effort, the acquisition community, with PEO IWS as the action office, will develop a detailed technical approach, including cost, scope and schedule, to meet surface force ACB requirements within fiscal constraints. PEO IWS will provide information on available technological and cost alternatives to support effective decision making by the ESG, including total ownership costs.

7. Assumptions. Evolving missions and threats, technological change, and fiscal realities lead to assumptions in the following areas:

a. Fleet Requirements. Fleet commanders will provide a prioritized requirements list. An adjudication of these lists will be part of the Surface Warfare Enterprise efforts and used as guidance for prioritizing ACB content or pursuing new capabilities.

b. Resources. Warfighting capabilities compete with other surface warfare requirements in an environment of limited resources. Per POM guidelines, ACBs must be fully integrated into the acquisition processes, be properly funded, and include sustainment costs.

8. Roles and Actions. The following actions are required for proper execution of the SWTRG:

a. The SWTRG Working Group depicted in enclosure (1) shall:

(1) Be chaired by OPNAV (N96) Combat Systems Integration Branch Head (N96F3).

(2) Meet twice annually, and as required, to support the POM development.

(3) Provide supporting documentation for recommended ACB content to the BOD that includes:

(a) A list of aligned and prioritized combat system capabilities for inclusion in a given ACB; and

(b) A list of options for capabilities that have a cost, schedule, and or technical maturity impact to the ACB delivery.

b. The SWTRG Working Group chair shall:

(1) Solicit meeting agenda topics from each member of the working group and publish the agenda.

(2) Publish meeting minutes for all working group members and applicable branch heads.

(3) Consolidate inputs and publish working group proposal to the BOD.

c. The SWTRG Working Group membership shall:

(1) Provide POR schedules and funding profiles.

(2) Participate in developing options for aligning PORs which are out of phase with ACB deliveries.

(3) Assess capabilities emerging from science and technology venues for alignment with PORs supporting ACB deliveries.

(4) Provide input to the working group proposal and supporting documentation.

d. The SWTRG BOD depicted in enclosure (1) shall:

(1) Be co-chaired by OPNAV Deputy for Ballistic Missile Defense (BMD) and Aegis (N96F) and OPNAV Deputy for Weapons and Sensors (N96C).

(2) Meet a minimum of twice annually to review the working group proposal for ACB content.

(3) Review working group proposals, validate CPP prioritizations, adjudicate unresolved content issues and provide a recommendation for next and future ACB content to the ESG.

e. The SWTRG ESG depicted in enclosure (1) shall:

(1) Be chaired by OPNAV (N96).

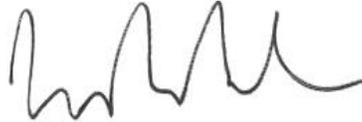
(2) Meet a minimum of twice annually to review and approve next and future ACB content.

(3) Provide validation of ACB content to an R3B for approval and formally document the decision.

9. Review Responsibilities and Policy. OPNAV (N96) is responsible for the annual review and update of this instruction.

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10. Records Management. Records created as a result of this instruction, regardless of media and format, shall be managed per Secretary of the Navy Manual 5210.1 of January 2012.



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SURFACE WARFARE TACTICAL REQUIREMENT GROUP MEMBERSHIP

1. The SWTRG Working Group, depicted in figure 1 of this enclosure, shall:
 - a. Be chaired by OPNAV (N96F3).
 - b. Include membership as requested from:
 - (1) OPNAV (N96) action officers;
 - (2) Warfare Integration Division (OPNAV (N2/N6F)) action officers;
 - (3) Oceanography, Space and Maritime Domain Awareness Division (OPNAV (N2/N6E)) action officers;
 - (4) Total Force Requirements Division (OPNAV (N12)) action officers;
 - (5) Total Force Training and Education Division (OPNAV (N15)) action officers;
 - (6) Logistics Programs and Corporate Operations Division (OPNAV (N41)) action officers;
 - (7) Fleet Readiness Division (OPNAV (N43)) action officers;
 - (8) Programming Division (OPNAV (N80)) action officers;
 - (9) Expeditionary Warfare Division (OPNAV (N95)) action officers;
 - (10) Air Warfare Division (OPNAV (N98)) action officers;
 - (11) Special Programs Division (OPNAV (N89)) action officers;
 - (12) Test and Evaluation Technology Requirements (OPNAV (N091)) action officers;
 - (13) Systems commands, PEOs, program offices, including Aegis Ballistic Missile Defense Program Office (PD-452);

(14) DASN Ships action officers;

(15) Fleet [United States Fleet Forces Command (USFLTFORCCOM) and Commander, Pacific Fleet (COMPACFLT)] and type commander (TYCOM) [Commander, Naval Surface Force, Atlantic (COMNAVSURFLANT) and Commander, Naval Surface Force, Pacific (COMNAVSURFPAC) Fleet Maintenance (N43), Command, Control, Communications, Computers and Intelligence (C4I) (N6), and Warfare Requirements (N8)] action officers;

(16) Navy Cyber Forces Command Fleet Command, Control, Communications, Computers, Combat Systems and Intelligence (C5I) Modernization (N43);

(17) COMOPTEVFOR; and

(18) Additional members as required.

2. The SWTRG BOD, depicted in figure 1, shall:

a. Be co-chaired by OPNAV (N96F) and OPNAV (N96C).

b. Include membership as necessary from:

(1) Fleet (USFLTFORCOM and COMPACFLT) and TYCOM (COMNAVSURFLANT and COMNAVSURFPAC) (N43/N6/N8))

(2) OPNAV Maritime Weapons (N96C1)

(3) OPNAV Maritime Sensors, Anti Submarine Warfare, Aviation, and Directed Energy (N96C2)

(4) OPNAV Ship Self-Defense System and Navigation (N96C3)

(5) OPNAV Anti-Terrorism/Force Protection/Chemical, Biological, Radiological, and Nuclear (CBRN) (N96C4)

(6) OPNAV Destroyer and Future Large Combatants (N96E1)

(7) OPNAV Cruiser and Destroyer Modernization (N96F1)

(8) OPNAV Ballistic Missile Defense (N96F2)

- (9) OPNAV Combat Systems Integration (N96F3)
- (10) Branch head representatives from OPNAV Information Dominance (N2/N6)
- (11) Branch head representatives from OPNAV (N80)
- (12) Branch head representatives from OPNAV Warfare Integration (N9I)
- (13) PD-452
- (14) OPNAV Intelligence Collections and Analysis Branch (N2/N6C21)
- (15) Branch head representatives from OPNAV (N95)
- (16) Branch head representatives from OPNAV (N98)
- (17) Branch head representatives from OPNAV (N89)
- (18) Branch head representatives from OPNAV (N41)
- (19) Branch head representatives from OPNAV (N43)
- (20) Branch head representatives from OPNAV (N12)
- (21) Branch head representatives from OPNAV (N15)
- (22) Branch head representatives from OPNAV Director, Innovation, Test and Evaluation and Technology Requirements (N84)
- (23) DASN Ships
- (24) COMOPTEVFOR
- (25) Additional members as required

- 3. The SWTRG ESG, depicted in figure 1, shall:
 - a. Be chaired by OPNAV (N96).

b. Include membership as necessary from:

(1) Fleet (USFLTFORCCM and COMPACFLT) and TYCOM
(COMNAVSURFLANT and COMNAVSURFPAC) (N43/N6/N8)

(2) OPNAV (N2/N6F)

(3) PD-452

(4) OPNAV (N80)

(5) OPNAV (N9I)

(6) OPNAV (N95)

(7) OPNAV (N98)

(8) OPNAV (N89)

(9) OPNAV (N41)

(10) OPNAV (N43)

(11) OPNAV (N12)

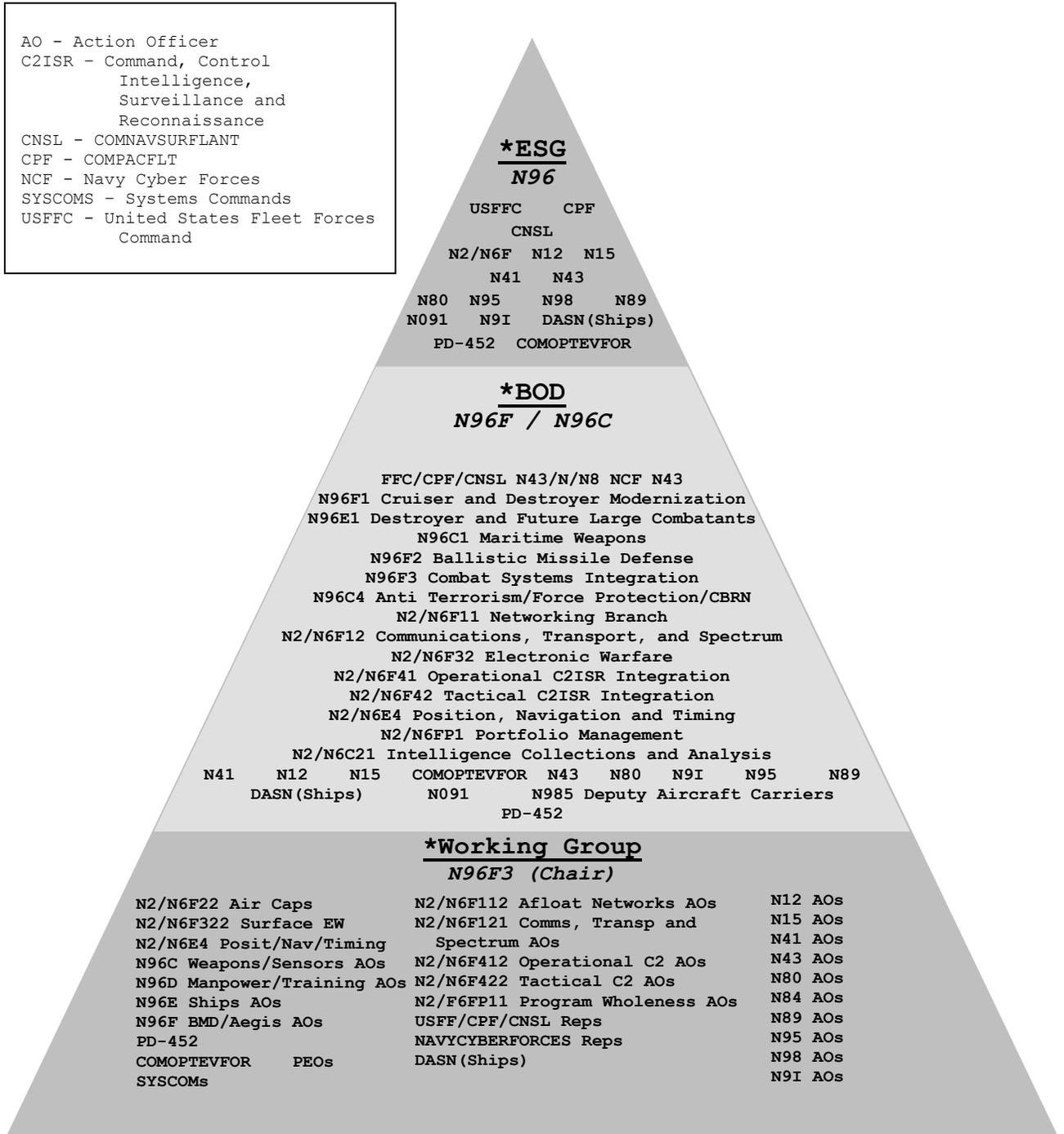
(12) OPNAV (N15)

(13) OPNAV (N84)

(14) DASN Ships

(15) COMOPTEVFOR

(16) Additional members as required



* Attendance required as necessary.

Figure 1. SWTRG ACB Content Definition Process Membership