



DEPARTMENT OF THE NAVY  
OFFICE OF THE SECRETARY  
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WASHINGTON DC 20350-1000

SECNAVINST 5420.199  
DUSN (M)  
12 Jan 17

SECNAV INSTRUCTION 5420.199

From: Secretary of the Navy

Subj: NAVAL INNOVATION ADVISORY COUNCIL

Ref: (a) Secretary of the Navy Memorandum of 21 April 2015  
(b) ALNAV 012/16 of 9 March 2016  
(c) 10 U.S.C. §5013  
(d) 10 U.S.C. §2013  
(e) 18 U.S.C. §§201-209  
(f) 5 CFR Part 2635  
(g) DoD 5500.07-R, Joint Ethics Regulation, November 2011  
(h) DoD Directive 1344.10 of 19 February 2008

Encl: (1) Naval Innovation Advisory Council Responsibilities  
(2) Naval Innovation Advisory Council Procedures

1. Purpose. To establish policy and assign responsibilities for the Naval Innovation Advisory Council (NIAC) per references (a) through (c).

2. Background. The NIAC was established per reference (b) and is a key functional component supporting the implementation of the Department of the Navy (DON) Innovation Vision - the Department's agenda designed to foster a culture of innovation and unleash the ingenuity intrinsic in its people. The NIAC is comprised of a small cadre of Navy, Marine Corps and DON civilian personnel selected annually to serve as Secretary of the Navy (SECNAV) Innovation Advisors.

3. Applicability. This instruction applies to all officers and enlisted members in the Active Component of the Navy and Marine Corps, and all full time civilian employees of the DON.

4. Policy. It is DON policy that:

a. The NIAC shall consider, develop and accelerate innovative concepts for presentation to the SECNAV and other DON senior leaders, and shall provide recommendations to synchronize senior leadership, facilitate the flow of resources, streamline policy, and/or remove roadblocks that hinder innovation.

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b. The NIAC shall build and maintain an effective network of military, government, academic, and private sector experts and assess the future operational and technological environments to identify areas of opportunity for the DON.

c. The Navy, Marine Corps, and the Secretariat Offices shall support the NIAC in its efforts to identify and accelerate innovation throughout the department.

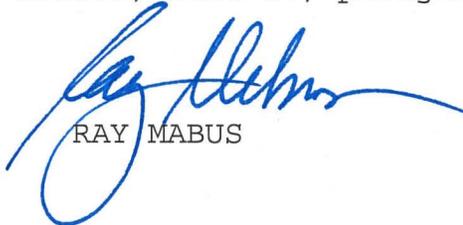
d. SECNAV Innovation Advisors shall adhere to the policies and regulations outlined in references (d) through (h).

e. Enclosure (1) defines NIAC responsibilities and enclosure (2) defines NIAC procedures.

5. Responsibilities. See enclosure (1).

6. Records Management. Records created as a result of this instruction, regardless of media and format, shall be managed per SECNAV Manual 5210.1 of January 2012.

7. Reports. The reporting requirements contained within enclosure (2), paragraphs 1a, 4d, 5c, and 7 are exempt from reports control per SECNAV M-5214.1, Part IV, paragraph 7k.



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**NAVAL INNOVATION ADVISORY COUNCIL  
RESPONSIBILITIES**

1. Deputy Under Secretary of the Navy (Management) (DUSN(M)) shall:

a. Communicate innovation guidance and priorities from the SECNAV, Under Secretary of the Navy (UNSECNAV), Assistant Secretary of the Navy (Research, Development and Acquisition), Chief of Naval Operations (CNO), and the Commandant of the Marine Corps (CMC) to the NIAC for research and other actions, as appropriate.

b. Review NIAC activities for synergies with other DON innovation programs, and facilitate the communication of promising innovation ideas, concepts, and initiatives to the SECNAV and UNSECNAV.

c. Provide guidance and advice, including legal support, to NIAC members, and serve as the functional proponent across the DON for NIAC sponsored activities.

d. Establish agreements with supporting organizations, as required.

2. The Department of the Navy/Assistant for Administration (DON/AA) shall:

a. Facilitate funding for the daily operations and sustainment of the NIAC and its members, to include temporary duty, travel, and training while assigned. Such support does not include pay, allowances, and costs associated with permanent change of station or relocation.

b. DON/AA Human Resources Office shall advise and assist the DUSN(M) Office of Strategy and Innovation with establishing and implementing the competitive announcement and selection process consistent with Merit System Principles that will be used to solicit the most qualified civilian candidates for the position of SECNAV Innovation Advisor.

3. The Chief of Strategy and Innovation shall:

a. Integrate and coordinate NIAC efforts, proposals, projects, and tasks with the policies, goals, and objectives of DON senior leadership and the DON Innovation Vision.

b. Recommend bold actions on promising NIAC initiatives to build a cohesive and sustainable innovation agenda.

c. Provide program management, oversight, administrative and logistical support for the NIAC.

d. Coordinate specialized education and training for SECNAV Innovation Advisors, as required.

4. CNO and CMC shall:

a. Facilitate the exchange of information and identify innovation topics of interest to the NIAC.

b. Provide the NIAC with qualified military candidates from their respective services and ensure that NIAC service is considered a positive factor in promotion, retention, and assignment decisions, consistent with applicable service regulations.

5. The Chief of Naval Research shall identify subject matter experts and topics of interest within the naval science and technology community and facilitate the exchange of information with the NIAC through the Office of Strategy and Innovation.

6. Presidents, Naval Post Graduate School, Naval War College, and Marine Corps University will provide administrative, academic research support and specialized education/training when requested by DUSN (M).

7. All DON commands and activities will support the NIAC mission. Collaboration among leaders, subject matter experts, and SECNAV Innovation Advisors is essential and will occur to the greatest extent possible.

**NAVAL INNOVATION ADVISORY COUNCIL  
PROCEDURES**

1. Program Overview

a. SECNAV Innovation Advisors are assigned either to a location in the National Capital Region or, on the west coast, at the Naval Postgraduate School. The NIAC will report to the Office of Strategy and Innovation within the Office of the DUSN(M). NIAC activities will be coordinated by the Office of Strategy and Innovation's NIAC Program Manager.

b. The NIAC will accelerate innovation within the DON. This will be accomplished by enhanced communication between DON activities and senior DON leadership, enabling flexible research options that identify innovation opportunities or barriers, championing specific projects to a level of maturity sufficient for transition, or participating in action learning environments directly supporting the SECNAV innovation objectives. The NIAC will deliver well-developed, actionable, and unfiltered recommendations into the SECNAV's decision-making cycle.

c. Annual guidance will be issued in the first quarter of each fiscal year via All Navy message (ALNAV) to solicit candidates and facilitate each year's NIAC program. The annual ALNAV will include guidance on selection procedures, deadlines, manning levels, innovation focus areas, and other requirements.

d. Selection as a SECNAV Innovation Advisor shall require Letters of Agreement and non-disclosure agreements prior to assignment to the NIAC or participation on particular projects.

2. SECNAV Innovation Advisor Assignment Duration. SECNAV Innovation Advisor tours will be 12 months for military personnel and up to 12 months for DON civilians. DON civilian tours may be shorter to allow assignment flexibility.

3. SECNAV Innovation Advisor Selection Criteria

a. Candidates for the position of SECNAV Innovation Advisor should possess the ability to independently conduct research and analysis and develop options for senior leadership's consideration. Candidates should be able to demonstrate past success in implementing new, unconventional, and original ideas,

and the ability to create and sustain effective personal networks. Candidates must be able to accomplish objectives with limited supervision and interact positively with academic and private sector experts. Possession of a baccalaureate (i.e., bachelors) or equivalent degree is desired, but not required. At a minimum, SECNAV Innovation Advisors shall possess or be able to obtain and maintain an active SECRET clearance and access eligibility. For research projects conducted at a higher than SECRET level, Advisors will be required to possess the appropriate level of clearance and access eligibility.

b. Candidates should have a passion for innovation and making meaningful change in the DON. Candidates should have a proven ability to create an innovative environment, push boundaries, achieve growth, and provide DON organizations with the tools and resources to challenge the status quo. In addition to possessing excellent communication skills, a level of expertise in one or more of the following fields is advantageous: data analytics, statistics, human-centered design, emerging technological fields, economics, or ethics.

c. Candidates shall propose an innovation area of personal interest or general innovation topic area that they would like to pursue as an individual project if selected as a SECNAV Innovation Advisor. The proposed innovation area of interest will factor into the selection process.

#### 4. SECNAV Innovation Advisor Responsibilities

a. SECNAV Innovation Advisors will be assigned a primary and secondary innovation project during their time on the NIAC. Projects will be determined by input from DON senior leadership and/or per established DON innovation priorities. The NIAC Program Manager will facilitate the project assignments.

b. In addition to assigned projects, SECNAV Innovation Advisors shall propose an individual research project. Advisors will work with the Office of Strategy and Innovation/NIAC Program Manager to refine this project to ensure alignment with DON innovation priorities, goals and objectives.

c. SECNAV Innovation Advisors will be provided opportunity for independent research and exploration, leveraging their access to leading-edge, innovation companies.

d. SECNAV Innovation Advisors shall submit a monthly status report to the Office of Strategy and Innovation on their activity. The status report shall detail the activities performed, objectives accomplished, areas of concern that may impact research, and any relevant personal observations relevant to DON innovation.

e. SECNAV Innovation Advisors shall provide a written report and/or formal brief on the results of their assigned innovation projects.

f. Within 30 days of completion of the NIAC tour, SECNAV Innovation Advisors shall submit a research paper and/or formal brief on their individual projects. Due to the differing nature of the research projects, SECNAV Innovation Advisors shall work with the NIAC Program Manager on the optimal way to organize the research paper prior to the submission.

g. In some cases, a group research project may be required as a means to consolidate related projects or to focus on a field of inquiry requiring a wider scope of effort.

#### 5. SECNAV Associate Innovation Advisors

a. DON commands and activities may request a designation of SECNAV Associate Innovation Advisor to align their respective personnel and innovative research interests with NIAC innovation activities. Such a designation is conferred by appointment letter from the Office of Strategy and Innovation. Associate Advisors' research must have application beyond their immediate command or office, potentially relating to functions found across the DON.

b. SECNAV Associate Innovation Advisors will have the opportunity to brief senior DON leaders on their research, and obtain senior leader guidance on ways to develop their work, or advocacy for more mature research.

c. SECNAV Associate Innovation Advisors must agree to serve as contributing members of the NIAC, provide the NIAC Program Manager with monthly updates, offer expertise on matters when called upon, and share relevant research with the NIAC.

d. Activities of SECNAV Associate Innovation Advisors are funded by their organizations, including pay, travel, and related costs.

e. SECNAV Associate Innovation Advisors can originate from any command or activity, and may include those serving as activated reservists.

6. Training. Military and civilian personnel selected for the NIAC, including SECNAV Associate Innovation Advisors, will receive training and orientation. This training shall be coordinated by the NIAC Program Manager and will include Ethics and Information Security briefs, NIAC project objectives and deliverables, and administrative matters.

7. Feedback of NIAC Experience. In addition to submitting regular reports, selected SECNAV Innovation Advisors may be called upon to brief their work and experiences to senior DON leaders, which may include the SECNAV and the UNSECNAV.