



DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
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SECNAVINST 5200.41
ASN (RD&A)
April 14, 2014

SECNAV INSTRUCTION 5200.41

From: Secretary of the Navy

Subj: DEPARTMENT OF THE NAVY EXECUTIVE STUDIES

Ref: (a) SECDEF memo, Track Four Efficiency Initiatives
Decisions of 14 Mar 2011
(b) SECDEF memo, Consideration of Costs in DoD Decision
Making of 27 Dec 2010
(c) DON/AA memo, Consideration of Costs in the Department
Of the Navy Decision Making of 14 Feb 2011

1. Purpose. To establish accountability and reporting policy for Department of the Navy (DON) executive studies that meet the definition of studies in paragraph (4); and assign roles and responsibilities.

2. Applicability. This instruction applies to the Office of the Secretary of the Navy (SECNAV), the Chief of Naval Operations (CNO), the Commandant of the Marine Corps (CMC), and all U. S. Navy, U. S. Marine Corps installations, commands, activities, field offices, and all other organizational entities within the DON.

3. Background. Results and insights from executive studies are key inputs in making investment decisions and in guiding the strategic direction of the DON. Reference (a) requires the military services to reduce studies funding by 25 percent below FY 10 levels. It is important to ensure that studies are aligned with the priorities of the SECNAV, CNO, and CMC; are affordable; and do not duplicate any approved or completed study.

4. Definition. An executive study includes studies, analyses, and evaluations that provide organized analytical assessments in support of policy development, decision-making, management, or administration. It includes studies in support of information technology. Additionally, it includes models, methodologies,

and related software supporting studies, analyses, or evaluations.

5. Policy

a. Planning

(1) A single office shall be established in each of the following organizations to provide oversight over executive studies: The offices of the SECNAV, CNO, and CMC.

(2) The Office of the Secretary of Defense, Cost Assessment and Program Evaluation costing model (<https://www.cape.osd.mil/costguidance>), described in references (b) and (c), will be used to calculate the approximate costs associated with preparing and publishing a study that will be:

(a) sent to Congress;

(b) provided to the Secretary of Defense or Deputy Secretary of Defense;

(c) included in the Defense Technical Information Center holdings;

(d) executed by Federally Funded Research and Development Centers; or

(e) executed by a Department of Defense Board or Commission.

b. Management. SECNAV, CNO, and CMC will each establish an executive studies review panel led by a 3 Star or Civilian Senior Executive equivalent. This is to eliminate duplication, and ensure that the studies are aligned with the priorities of the SECNAV, CNO, and CMC. All requests for an executive study must be approved by a Flag Officer, General Officer, or Civilian Senior Executive prior to submission to a SECNAV, CNO, or CMC executive studies review panel. Studies should be affordable and result in faster, fact-based decisions.

c. Reporting. SECNAV, CNO, and CMC will each maintain a study repository. Study titles and information will be exchanged to help avoid study duplication. On an annual basis

the SECNAV's executive studies review panel chair will review all approved DON executive studies and provide an annual report to the SECNAV.

6. Responsibilities

a. The Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RD&A)) on behalf of SECNAV, shall:

(1) Establish a Navy Secretariat executive studies review panel;

(2) Oversee the management of executive studies for the entire Navy Secretariat; and

(3) Review on an annual, fiscal year basis all approved DON executive studies and provide a written summary to SECNAV.

(4) Review and update, as required, Department of the Navy executive studies policies to reflect current guidance on executive studies.

b. CNO shall:

(1) Establish a 3 Star level executive studies review panel;

(2) Provide direction on planning, acquiring, managing, evaluating, and reporting contractual services for executive studies through an OPNAV Instruction; and

(3) Provide an annual, fiscal year report of all approved Navy executive studies to the Navy Secretariat executive studies review panel chair.

c. CMC shall:

(1) Establish a 3 Star level executive studies review panel;

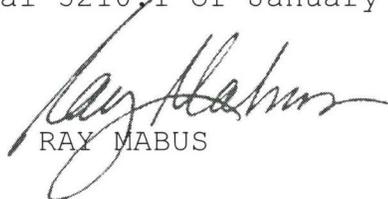
(2) Provide direction on planning, acquiring, managing, evaluating, and reporting contractual services for executive studies through a Marine Corps Order; and

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(3) Provide an annual, fiscal year report of all approved Marine Corps executive studies to the Navy Secretariat executive studies review panel chair.

d. The Department of the Navy/Assistant for Administration will provide administrative support, as required, to the ASN (RD&A) to implement and execute a Navy Secretariat executive studies review panel.

7. 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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