

August 26, 2015

NPS NAVAL RESEARCH PROGRAM CHARTER

References

- a. SECNAVINST 1524.2C of 21 Oct 2014
- b. USMC Thesis Research Working Group (TRWG) Charter dtd Nov 2012

1. Overview. This charter establishes the Naval Postgraduate School (NPS), Naval (US Navy and US Marine Corps) Research Program (NRP) in order to promote NPS engagement in the research necessary to meet the needs of the students, faculty, and the DON. The term NRP is used herein to include the budgetary Program of Record (POR) that supports it, which is officially titled "NPS Faculty and Student Research, Studies, and Analysis program." Reference (a) states, an active academic research program is vital to the quality of education provided to students, the attraction and retention of exceptional faculty members, and the provision of real-time, directly relevant deliverables to government sponsors. The NPS NRP is intended to provide a repeatable, objective, and transparent government process to leverage NPS Faculty and Students for proposed naval-relevant research at NPS. The NPS NRP is a process executed aboard NPS that is complementary to Broad Area Announcements sent out by ONR, the (N81) OPNAV Analytical Agenda, and Marine Corps Formal Studies System with a focus on establishing relationships and maintaining a collaborative generation of new knowledge through research at the school.

a. Mission. The NPS NRP will convene the Naval Research Working Group aboard NPS to facilitate the continuum of Navy and Marine Corps research projects for the purpose of addressing current and future Naval research requirements, integrating NPS faculty into the total Naval R&D capability, and disseminating the knowledge gained from these research projects to stakeholders.

b. Organization. The organization consists of the NPS Naval Research Program Office (NPS NRP Office), two Review Boards, one Working Group, and their participants.

(1) NPS Naval Research Program Office (NPS NRP Office). The NPS NRP Office manages, organizes, and executes the NPS NRP process including hosting the Naval Research Working Group (NRWG), coordinating the Topics Review Board, monitoring research execution efforts, and other NPS NRP processes and events under the direction of the Dean of Research (DOR), NPS. NPS NRPO will consist of at a minimum - a Program Manager (PM), a Deputy PM, a Research Manager, and an Administrative Assistant.

(2) Topics Review Board (TRB)/Executive Review Board (ERB). The TRB is a US Navy entity for prioritization and approval of research requirements. The TRB consists of at least one representative from N1, N2/N6, N3/N5, N8, N9, SSP, NAVSEA, NAVAIR, Fleet Force(s) and ASN (RDA), etc. Chief of Naval Research or their designee will chair the TRB. As codified in reference (b), the ERB is the Marine Corps entity for prioritization and approval of research requirements. The ERB consists of at least one representative from DC CD&I, DC Aviation, DC PP&O, DC MR&A, DC I&L, DC P&R, CG TECOM, Director of Intelligence, Director C4, MCSC, ONR (Code: 30), MCWL, E20, and Senior Marine Representative (SMR) NPS. The ERB will be chaired by CG, EDCOM. These organizations will represent or comprise the majority of Navy/Marine Corps analysis or Topic Sponsors for projects undertaken within the NPS NRP. They

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will review, validate, prioritize, and recommend assignment of NPS NRP resources to research projects in order to address specific Navy/Marine Corps research requirements. The TRB/ERB will designate NPS NRP research projects with a status of **Requirement** (of immediate need to the research sponsors), **Tabled** (requires more project definition), or **Cancelled** (project being funded by another Naval entity or of no value).

(3) Naval Research Working Group (NRWG). The Topic Sponsors highlighted above will each send representatives to participate in the semi-annual NRWG. This is where most of the NPS NRP organizational processes are executed and when research topics, theses, and CAPSTONE projects are initially coordinated. The NRWG serves the identical purpose to the Marine Corps' Thesis Research Working Group (TRWG). This Charter compliments the TRWG Charter in the reference. The use of the NRWG reference from this point forward will be considered as synonymous with the TRWG. There are four recurring NRWG events, which are described below.

(a) NPS NRWG Plenary Sessions (Plenary). During the plenary session, the Topic Sponsors will brief current research challenges and potential thesis topics to NPS faculty and students in a prescribed format. The plenary serves to create a general understanding of naval research challenges across the broadest possible audience of topic sponsors, Faculty and students.

(b) Topic Sponsor Breakout Sessions (Breakout). These are the detailed discussions and research refinement activities accomplished during the semi-annual NRWG meeting. The breakouts are comprised of personnel from Research Sponsor organizations, NPS faculty and students. This is when the Research Sponsor's challenges will be fully scoped into research topics, theses, or CAPSTONE projects.

(c) Topic Sponsor Revolving Panels (Panels). These are small group discussions and general information briefs, which are held simultaneously with the breakouts. The panels are intended for personnel from Topic Sponsor organizations, NPS Faculty and Students. This is when Research Sponsor's specific research requirement challenges may be presented in detail.

(d) Topic Sponsor Out Brief (Out Brief). There will be an out brief to the NPS DOR regarding the outputs from the working group on the last day of the event.

c. Other Participants.

(1) Research Team. Research Teams consist of teams designated, through a collaborative effort between the Topic Sponsor and NPS faculty and students and reviewed by the TRB/ERB, to research or analyze a board area. Research Teams will generally produce multiple theses and may require greater NPS faculty and sponsor involvement. A Research Team is more enduring than a Thesis Team.

(2) Thesis Team. Thesis Teams consist of teams designated, through a collaborative effort between the Topic Sponsor and NPS students and faculty and reviewed by the TRB/ERB, to research or analyze a single, discreet, well-scoped topic. A Thesis Team produces a single thesis.

(3) Topic Sponsor. Topic sponsors consist of, but are not limited to, representatives from ASN (RDA), N1, N2/N6, N3/N5, N8, N9, SSP, NAVSEA, NAVAIR, Fleet Force(s) DC CD&I, DC Aviation, DC PP&O, DC MR&A, DC I&L, DC

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P&R, MEF(s), CG TECOM, Director of Intelligence, Director C4, MCSC, ONR, MCWL, E2O, etc.

(4) Topic Sponsor Lead. Topic Sponsor Leads are single points of contact within each of the participating topic sponsor organizations charged with coordinating the submission of individual topics, and the review of matched topics, from within their organization.

(5) Topic Sponsor Representative. Topic Sponsor Representatives are the participants in the NRWG designated to represent one or more submitted topics.

(6) Research Sponsors. Research sponsors consist of members of the Naval research enterprise that share goals with the NPS NRP. Research sponsors may choose to participate in the NPS NRP to take advantage of the exchanges facilitated between Topic Sponsors and NPS faculty and students. They may also choose to augment the NPS NRP by provided external funding for one or more of the projects that have been deemed to be a requirement by the TRB/ERB process.

2. Execution.

a. Intent. **Purpose:** NPS NRP provides a process to accomplish the following objectives:

(1) Become an integrated partner for Naval R&D organizations to seek out in response to properly framed research requirements.

(2) Develop faculty research expertise to address Naval research requirements.

(3) Provide venues for NPS students to have the opportunity to conduct thesis research and CAPSTONE projects in areas directly relevant to naval challenges and research needs and to bring to bear their recent fleet experiences.

(4) Continue to promote excellence in education through execution of forward-leaning research to meet naval requirements.

(5) Invest in the intellectual capital of the NPS students and faculty and ultimately the US Naval Forces.

(6) Reinforce curriculum content and Educational Skill Requirements (ESRs).

End State: Upon completing of the NPS NRP process US Navy and Marine Corps leadership will be informed of those research topics, theses, or CAPSTONE projects that will be executed by NPS faculty and students on behalf of naval topic sponsors and/or stakeholders under the NPS NRP.

b. Tasks.

(1) CHIEF OF NAVAL RESEARCH or their designee will chair the TRB.

(2) CG, MARINE CORPS EDUCATION COMMAND will chair the ERB.

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(3) NPS DEAN OF RESEARCH (DOR) will:

(a) Maintain oversight and management of NPS NRP resourcing and program execution.

(b) Establish the NPS NRP Office and provide program management and resourcing as necessary for ongoing operations. NPS NRP Office, under the cognizance of the DOR will:

- 1 Maintain a listing of all the Topic Sponsor Leads annually.
- 2 Coordinate drafting release of NRWG and TRB/ERB NAVADMIN / MARADMINs announcing execution dates and times NLT 90 days prior to convening meeting dates.
- 3 Provide formatted templates for Topic Sponsor submissions of research challenges to the Topic Sponsor NLT 60 days prior to the NRWG.
- 4 Develop a formatted IREF template to provide to each Topic Sponsor the means to capture the Research Subject, Abstract, Metrics, Points of Contact and initial budget estimate for the Thesis or Research Teams established during the breakouts.
- 5 Coordinate meeting locations aboard NPS for NRWG and all Topic Sponsors.
- 6 Ensure all appropriate NPS faculty, naval, sister-service, and foreign students are invited.
- 7 Ensure all NPS students are informed of their responsibility to attend and participate in the NRWG and incumbent breakouts.
- 8 Plan, coordinate, and execute all NRWG related events (i.e. TRB, ERB, NRWG, and associated breakouts).
- 9 Execute TRB/ERB NLT 60 days after the closing of the NRWG meeting.
- 10 Execute resource allocation to the NPS projects designated as naval research requirements by the TRB/ERB from resourcing provided to NPS by the NPS Faculty and Student Research, Studies, and Analysis Budgetary Program of Record (i.e. NPS NRP) under the supervision of the NPS Comptroller and NPS Dean of Research.
- 11 Develop MOEs for the NPS NRWG process and submit to the TRB/ERB for approval.
- 12 Lead, manage, and coordinate the execution of the NRWG process under direction of NPS Dean of Research.
- 13 Review the comprehensive, formatted list of analysis or research challenges research topics, theses, and CAPSTONE projects provided by each Topic Sponsor 15 days prior to the execution of the plenary session.
- 14 Provide guidance to the Topic Sponsor Breakouts, as necessary.

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15 Oversee, review, and forward IREFs from the Topic Sponsor Breakouts, once refined, back to the topic sponsors for review and then submit to the TRB/ERB.

16 Generate draft IREFs to be briefed to the NPS Dean of Research at the completion of the NRWG, to gain overall understanding and socialization of the proposed research to be conducted.

17 Coordinate formal quality review by the NPS Research Board of all submitted IREFs.

(4) TOPIC SPONSOR LEADS, from organizations who choose to participate (ASN (RDA), N1, N2/N6, N3/N5, N8, N9, SSP, Fleet Force(s) DC CD&I, DC Aviation, DC PP&O, DC MR&A, DC I&L, DC P&R, MEF(s), CG TECOM, Director of Intelligence, Director C4, MCSC, ONR (Code 30), MCWL, E20, and other research and analysis agencies), will:

(a) Verify topic sponsor lead (annually) prior to execution of the NRWG/TRWG through appropriate correspondence with the NPS NRP.

(b) Provide a compiled formatted list of research challenges to the NPS NRP NLT 15 days prior to the NPS NRWG meeting; the designated Topic Sponsor Lead will perform this function.

(c) Identify and inform the NPS NRWG NLT 15 days prior the appropriate sponsor representatives to participate in the NRWG.

(d) Provide the appropriate topic sponsor representatives from their respective organizations who can adequately articulate the research Sponsor's research challenges in panels, make decisions for the Sponsor, and lead breakout discussions.

(e) Insure that topic sponsor representatives in their organizations provide briefing materials for their research challenges to be employed during the NRWG plenary session; Topic sponsor representatives should also be prepared to discuss the topics they are representing in detail during breakout sessions.

(f) Provide the necessary travel funding for their topic sponsor representative(s) to participate in NRWG.

(g) When requested, provide briefs of their particular research challenges to the NRWG plenary, breakout, and panel sessions.

(h) Provide after action input to the NPS NRP to improve the NRWG process.

(i) Nominate (preferably) a Flag/SES (or equivalent) or a 0-6 (or equivalent) to be their TRB or ERB representative by coordinating with the NPS NRP Office. The TRB/ERB Representatives should be a senior member of the organization and be briefed on the NPS NRP process but he or she does not necessarily need to have been present at the NRWG.

(j) Provide TRB/ERB results to the appropriate topic sponsor as necessary.

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(k) Manage your organizations research, thesis, or CAPSTONE projects that result from the NRWG process.

(l) Track the measure the effectiveness of particular research projects or research/thesis teams.

(m) Provide board recommendations and the content of the semi-annual TRB/ERB report to their respective topic sponsor(s).

(n) Use the compiled list of research topics from the given Topic Sponsor organization as a point of departure for scoping of the recommended research during breakout or panel discussions.

(o) Ensure that topic sponsors within their organization utilize Doctrine, Organization, Training, Material, Leadership, Personnel, Facilities, and Cost (DOTMLPF-C) construct when scoping research, thesis, or CAPSTONE projects.

(5) Research Teams will:

(a) Ensure that topic sponsors within their organization utilize the formatted templates provided by the NPS NRP to properly scope and define each IREF for Research Subject, Abstract, Points of Contact, and initial budget estimate for the Thesis or Research Teams established during the breakouts.

(b) Utilize CNO's Planning Guidance, CMC's Planning Guidance, Navy / Marine Corps Science and Technology Objectives, Chairman Joint Chief of Staff Planning Guidance, Department of Defense, Strategic Guidance, or the ONR Science and Technology Campaign Plan or other framing documents in order to scope the proposed research, theses, or CAPSTONE projects.

(6) N84 is designated at the Resources Sponsor. In addition, N84 will:

(a) Coordinate the release of NRWG and TRB NAVADMINs announcing execution dates and times NLT 90 days prior to the convening dates, with the appropriate OPNAV Deputy CNO code.

(b) Coordinate TRB meeting location within the NCR.

(c) Coordinate routing for the TRB report to the OPNAV R3B, as necessary.

(7) BUREAU OF PERSONNEL (BUPERS) (PERS-70) is designated as the Budget Submission Office (BSO), in support of FMB-2 and NPS NRP.

(a) Execute duties as the Budget Submission Office (BSO) executing NPS Faculty and Student Research, Studies, and Analysis Program, in support of N84 and NPS NRP.

(b) Ensure any proposed marks are coordinated with N84, NPS NRP Office, and NPS Comptroller.

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(8) MARINE CORPS EDUCATION COMMAND will:

(a) Execute the duties of Executive Agent for Marine Corps topics throughout the NPS NRP process, as per the reference (b).

(b) Release NRWG and ERB MARADMINs announcing execution dates, times NLT 90 days prior to the convening dates.

(c) Provide a venue for the ERB meetings.

(d) Coordinate routing for the ERB report to the Marine Corps Resource Oversight Counsel (MROC).

(9) TOPICS RESEARCH BOARD / EXECUTIVE RESEARCH BOARD will:

(a) Convene to review, validate, prioritize, and recommend support of the proposed research projects, theses, or CAPSTONE projects, NLT 60 days after the closing date of the NRWG meeting.

(b) Convene either formally, by video teleconference, or through electronic staffing. This decision will be made by the Chairman of the TRB/ERB on the advice of the NPS NRP Office.

(c) Verify that proposed research is relevant, not duplicative, tied to Chief of Naval Operations, Chief of Naval Research, Commandant's Planning Guidance, Marine Corps Science and Technology Objectives, Chairman Joint Chief of Staff Planning Guidance, Department of Defense (DOD), Strategic Guidance, other strategic documents or initiatives such as Research Sponsor vision statements.

(d) Ensure all NPS NRP research topics, theses, or CAPSTONE projects will be reviewed, validated, and recommended for resourcing, if necessary.

(e) Prioritize remaining research topics beyond the level currently funded, to provide a list for execution of resources should additional funding become available.

(f) Forward the TRB/ERB annual report to Navy Resource Requirements Review Board (R3B) or the Marine Corps Resource Oversight Counsel (MROC), respectively.

d. Coordinating Instructions.

(1) The NRWG and TRB/ERB meetings will be announced via NAVADMIN and MARADMIN.

(2) NAVADMIN / MARADMIN will provide reference for the format of NRWG products.

(3) IREF submissions to the NPS NRP will close 30 days prior to the first day of the TRB and ERB meeting.

(4) Research or Thesis Teams are responsible for IREF submissions to the NPS NRP.

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(5) The standing NPS Research Board, chaired by the NPS Dean of Research, will provide peer reviews of IREFs prior to release of the IREF packages for topic sponsor organizational review, per INSTRUCTION.

(6) Other research oversight organizations, should they exist, will not duplicate the efforts of the TRB/ERB.

(7) Each member of the TRB/ERB will have one equal vote on all matters brought before it, with the Chairman having the final decision authority.

(8) The NPS NRP Office will notify topic Sponsors and NPS Faculty of their approved projects after the closure of the TRB/ERB.

(9) In certain cases, projects or results may be formally forwarded to the OPNAV R3B / MROC by the President of NPS.

4. Administration and Logistics.

a. Research reviewed, validated, prioritized, and recommended through the NRP process will be funded and/or resourced, to the level available. TRB / ERB recommendations assure the Topic Sponsor that the proposed research is a naval requirement. Research topics/projects will be funded based on the decisions of the TRB/ERB.

b. Any budget marks will be coordinated between NPS Comptroller and PERS-70 for appropriate actions and reclama.

c. NPS NRP will be funded through the NPS Faculty and Student Research, Studies, and Analysis program.

d. Research Sponsors may assume responsibly for research funding, as their budget allows.

e. Travel and other expenses associated with attending NRWG meetings will be funded by the sponsor organization.

5. Command and Control.

a. Command.

(1) The Chief of Naval Research / N84 is designated as the Executive Agent, responsible for NPS NRP resource sponsorship.

(2) The President of NPS is designated as the Lead Agent for the establishment of all NPS NRP processes, management, and execution.

(3) The ERB/TRB will also serve in an advisory capacity to the NPS President.

(4) BUPERS (PERS-70) is designated as the NRP Budget Submission Office (BSO).

(5) Topic Sponsors are responsible for coordinating with faculty principal investigators and for execution of their individual research projects.

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(6) NPS NRP Office is responsible for program and budget execution related to or governed by all NRWG processes under the oversight of the NPS Dean of Research.

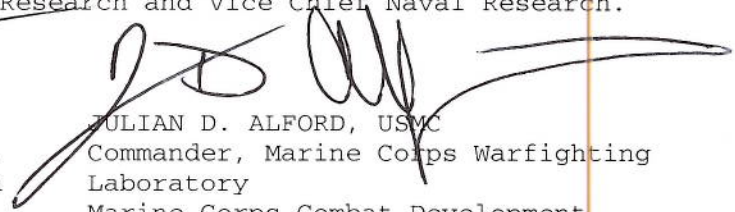
b. Control.

(1) Topic Sponsors are responsible for all oversight related to research projects undertaken under the NPS NRP process.

(2) NPS NRP Office is responsible for monitoring and approving quarterly budget execution under the supervision of the NPS Comptroller.

(3) Changes to this charter can be proposed by the TRB/ERB and are subject to the approval of President of the Naval Postgraduate School with the advice and counsel Chief Naval Research and Vice Chief Naval Research.


MATHIAS W. WINTER, USN
Chief of Naval Research,
Office of Naval Research


JULIAN D. ALFORD, USMC
Commander, Marine Corps Warfighting
Laboratory
Marine Corps Combat Development
Command

Distribution:

VCNO
N1
N1B
NPS
N2
N2B
N3
N3B
N4
N4B
N5
N5B
N6
N6B
N8
N8B
N9
N9B
CFFC
PACFLT
ASN(RDA)
C7F
C5F
C3F
C10F
C2F
C6F
NAVSEA
NAVAIR
SSP
CNR