



THE SECRETARY OF THE NAVY
WASHINGTON, D. C. 20350-1000

SECNAVINST 5200.38A
N6M
28 FEBRUARY 2002

SECNAV INSTRUCTION 5200.38A

From: Secretary of the Navy

Subj: DEPARTMENT OF THE NAVY MODELING AND SIMULATION MANAGEMENT

- Ref: (a) DoD Directive 5000.59 of 4 Jan 94; Subj: DoD Modeling and Simulation (M&S) Management (NOTAL)
(b) DoD Instruction 5000.61 of 29 Apr 96; Subj: DoD Modeling and Simulation (M&S) Verification, Validation, and Accreditation (VV&A) (NOTAL)
(c) SECNAV Instruction 5200.40 of 19 Apr 99; Subj: Verification, Validation, and Accreditation (VV&A) of Models and Simulations
(d) U. S. Navy Regulations 1990

1. Purpose

- a. To comply with the requirements and implement the provisions addressed in reference (a).
- b. To provide guidance for the management of Department of Navy Modeling and Simulation (DON M&S).
- c. To publish the Department of Navy (DON) vision for modeling and simulation and associated objectives.
- d. To define the organizational structure for management of DON M&S.
- e. To assign responsibilities and prescribe policy and guidance.
- f. This instruction has been substantially revised and should be reviewed in its entirety.

2. Cancellation. SECNAV Instruction 5200.38.

3. Applicability and Scope. This instruction applies to:

- a. Organizations. All organizations within the Department of Navy involved with modeling and simulation activities with

the exception of the Naval Sea Systems Command Nuclear Propulsion Directorate (SEA-08). However, the principles of this instruction and references (a), (b), and (c) are considered to be valid for those M&S activities so exempted.

b. Models and Simulations. All models and simulations used or developed by the DON activities after the effective date of this instruction. Models include any physical, mathematical, or otherwise logical representation of a system, entity, phenomenon or process. Simulations include a method of implementing a model over time. Models and simulations are both described in reference (a).

c. Exceptions. Requests for exceptions to DON M&S management policies will be submitted through the appropriate chain of command. Exceptions will be recommended by the respective service M&S Executive Agent (EA) and approved for the DON as described later in this instruction.

4. Modeling and Simulation Vision. Models and simulations will provide a pervasive set of tools for operational units and also to support analysis, training, and acquisition throughout the DON. To attain this vision, the following objectives will be vigorously pursued:

a. Modeling and simulation and associated information technology will be applied consistently across each of the four pillars of naval M&S. These pillars are: operations and experimentation; training; acquisition; and analysis and assessment.

b. Modeling and simulation technology shall be readily available to the naval warfighter.

c. Modeling and simulation, and its underlying data, will be consistently applied across the Navy-Marine Corps team afloat or ashore, at home or deployed.

d. Investment in modeling and simulation technology will be cost effective, have measurable benefits, and build on the Department of Defense (DoD) and commercial capabilities and standards.

e. The DON Science and Technology (S&T) efforts will ensure the development of technologies to meet the modeling and simulation needs of the Sailor, the Marine, and the DON.

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5. Policy

a. General

(1) DON M&S activities encompass a wide range of functional disciplines including research and development, test and evaluation, education and training, operations, logistics, acquisition, assessment, doctrine development, and experimentation. The M&S guidance contained herein amplifies other existing regulations that govern the design, development, application and disposition of software, including the application of models and simulations.

(2) This instruction requires the Navy and Marine Corps to coordinate, in conjunction with the Secretariat, their M&S efforts. Each service will establish its own M&S organizational structure, and service instructions as necessary to accomplish the detailed management of service specific M&S activities. Where feasible, one service may be assigned the lead to develop and/or maintain an M&S capability that provides general support at the DON, DoD or Joint level, such as web based document catalogs, simulation trainers, or technical support groups. Specifically, until otherwise requested by the Marine Corps, the Navy shall operate the DON M&S Resource Catalog of reference (a) with the Marine Corp maintaining its specific information in the catalog.

b. Interoperability. All M&S applications designated for DON, joint, and combined uses shall meet DoD, joint and combined service interoperability standards.

c. Verification, Validation, and Accreditation (VVA). The credibility of M&S is based on conscientious application of the process of Verification and Validation (V&V). A formal process of accreditation shall be employed to establish official approval of M&S as adequate for use in a particular application. The entire process is known as VV&A. References (b) and (c) establish the policy and procedures that shall be followed for the VV&A of all M&S and their associated input data within the Department of Navy.

d. Representations of non-DON Systems or Functions. Developers of M&S, which involve representations of the functions of other services or government agencies, shall coordinate those representations with each respective service or agency involved to the extent practicable, as determined by the responsible DoD component.

e. Life Cycle Management. This instruction governs the life cycle management of M&S within the DON, the Navy and the Marine Corps. Reuse of models, simulations, or elements thereof requires these be documented, maintained or archived in useful form by the developer as part of its life cycle management plan. When use is required beyond the developer's needs, the continuing users assume this responsibility during their period of use.

6. DON M&S Organizational Structure

a. The Under Secretary of the Navy shall act as the senior official in the DON dealing with M&S.

b. The Under Secretary of the Navy delegates to the Assistant Secretary of the Navy (Research, Development and Acquisition (RD&A)), who in turn delegates to the Deputy Assistant Secretary of the Navy for Command, Control, Communications, Computers, Intelligence, Electronic Warfare and Space (DASN (C4I/EW/Space)) the responsibilities for M&S coordination and issue resolution for the DON, per reference (d), article 0326, and the service component M&S offices.

c. Oversight of DON service specific M&S activities is delegated to the Chief of Naval Operations (CNO) and the Commandant of Marine Corps (CMC). They will designate service M&S Executive Agents as appropriate, and will provide for the establishment of service component M&S offices to serve as the Navy and Marine Corps focal points.

d. A DON M&S Senior Steering Group, comprised of senior representatives from DASN (C4I/EW/Space), CNO and CMC, may be established to assist in advising the Under Secretary of the Navy on matters pertaining to M&S.

7. Responsibilities

a. Under Secretary of the Navy shall:

(1) Establish and provide guidance as necessary for the management of DON M&S.

(2) Promote the effective use of M&S in the Department of Navy.

(3) Resolve issues between the Navy and Marine Corps.

- (4) Establish DON-wide M&S vision and objectives.
- (5) Establish VV&A policies, procedures, and guidelines for M&S applications, standards, and data managed by DON.

b. Assistant Secretary of the Navy (Research, Development and Acquisition) shall:

- (1) Ensure DoD component responsibilities assigned by reference (a) are carried out.

- (2) Review M&S correspondence and issues for appropriate disposition.

c. Deputy Assistant Secretary of the Navy for Command, Control, Communications, Computers, Intelligence, Electronic Warfare and Space shall:

- (1) Coordinate and resolve issues on DON M&S policies, procedures and guidelines for M&S applications, standards and data among the Navy, Marine Corps, and Secretariat staff.

- (2) Forward all appropriate M&S correspondence and issues to Assistant Secretary of the Navy (Research, Development and Acquisition) for review and appropriate disposition.

d. Chief of Naval Operations and Commandant of the Marine Corps shall:

- (1) Ensure that the service responsibilities assigned by reference (a) are carried out.

- (2) Jointly review, coordinate, and approve the DoD M&S plans, programs, policies, procedures, and publications and approve the DON positions, as appropriate.

- (3) Jointly approve DON M&S plans, programs, policies, procedures, and publications, as required.

- (4) Assign responsibilities for the management of M&S activities and prescribe policy and procedures for the management of M&S within their service.

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(5) Forward, to DASN (C4I/EW/Space), disposition recommendations on requests for service exceptions to the Department of Navy M&S management policies submitted in accordance with procedures outlined in paragraph 3c.

(6) Define the organizational structure for the management of M&S within their service.

(7) Establish service M&S management offices to serve as their service's single point of contact on all M&S matters, and for coordination with the other service and DoD M&S organizations such as the DoD Executive Council for Modeling and Simulations (EXCIMS) and the Defense Modeling and Simulation Office (DMSO). Functions of the service M&S management offices will include:

(a) Coordinate M&S issues within their respective service organization.

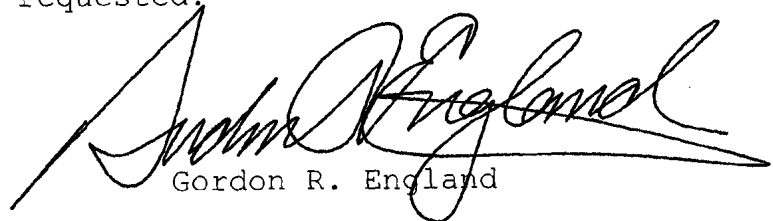
(b) Provide representatives to M&S working groups as requested by the service Executive Agents, DASN (C4I/EW/Space), chairman of the EXCIMS, Director DMSO, or other authorities as appropriate.

(c) Maintain close coordination between Navy and Marine Corps M&S plans, programs, policies, and procedures to ensure an effective and efficient approach to the development and use of M&S.

e. Developers and users of modeling and simulation applications shall:

(1) Follow the M&S directives and policies promulgated in the execution of this instruction.

(2) Update the DON M&S Catalog with complete information about all M&S in use. This update shall be performed at least annually, or more often as requested.



Gordon R. England

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