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IN REPLY REFER TO

NAVFACINST 11010.45
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NAVFAC Instruction 11010.45

From: Commander, Naval Facilities Engineering Command

Subj: COMPREHENSIVE REGIONAL PLANNING INSTRUCTION

Ref: (a) OPNAVINST 11000.16A, Change 1, Command
Responsibility for Shore Land and Facilities Planning

Encl: (1) Comprehensive Regional Planning Instruction,
Overview and Policy Topic #1

1. Purpose. The Comprehensive Regional Planning Instruction (CRPI) is a new planning policy that provides an organizing framework for all NAVFACENGCOM planning instructions, guidance and advice for the Navy shore establishment. It is an extension of reference (a) which mandates regional planning for the Navy shore establishment. The CRPI summarizes the policy goals of OPNAVINST 11000.16A into policy objectives and an instruction framework for regional planning. This Instruction is organized into individual Policy Topics that provide instruction, guidance and advice for elements of regional planning. Each Policy Topic represents a component of Navy planning and is designated a Policy Topic as a way to organize planning policy and guidance and classify regional planning information. Enclosure (1) provides an Overview of Navy shore planning and the first Policy Topic, the Regional Shore Infrastructure Planning (RSIP) Process. Future Policy Topics will be published as they are completed.

2. Application. This instruction is applicable to all Navy Regions and Stand Alone Activities.

3. Background. Reference (a) directed the Navy shore establishment to develop comprehensive infrastructure plans on a regional basis. Regional planning broadens the base of infrastructure decision-making beyond the shore activity

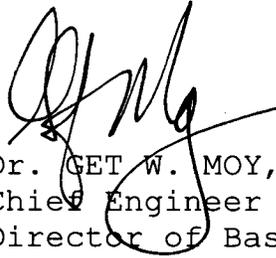
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by delegating decision-making to individual regions in the new regional shore establishment. This can best be described as a change from shore activity planning to regional planning. In the past, Navy planning focused on developing individual activity master plans. These activity master plans typically provided Navy asset solutions to mission demands within activity fence lines. Regional planning recognizes the need to emphasize comprehensive planning at a regional level. It optimizes resources and opportunities across an entire region and reduces costs, increases capabilities and improves efficiencies in all shore infrastructures. A comprehensive regional approach to planning broadens the field of opportunities beyond those available on an individual activity to include the geographic and functional context of the region.

4. Action. The policy and guidance contained in this Instruction will be used in the planning of the Navy's shore establishment.

A handwritten signature in black ink, appearing to read 'GET W. MOY', is written over the typed name and title.

Dr. GET W. MOY, P.E.
Chief Engineer and
Director of Base Development



**COMPREHENSIVE REGIONAL PLANNING
INSTRUCTION
OVERVIEW**

September 2000

Table of Contents

| | | |
|-----|--|----|
| 1.0 | Purpose | 1 |
| 2.0 | Background..... | 2 |
| 3.0 | CRPI Framework..... | 6 |
| 4.0 | Regionalization and Installation Claimant Consolidation..... | 12 |
| 5.0 | Regional Planning | 18 |
| 6.0 | Evolving and New Paradigms | 20 |
| 7.0 | Regional Shore Infrastructure Planning | 23 |
| 8.0 | Roles & Responsibilities | 28 |

1.0 PURPOSE

This document is intended to:

- Provide a summary of the Comprehensive Regional Planning Instruction (CRPI)
- Explain how and why the CRPI came into being
- Describe how the CRPI relates to current Navy planning

2.0 BACKGROUND

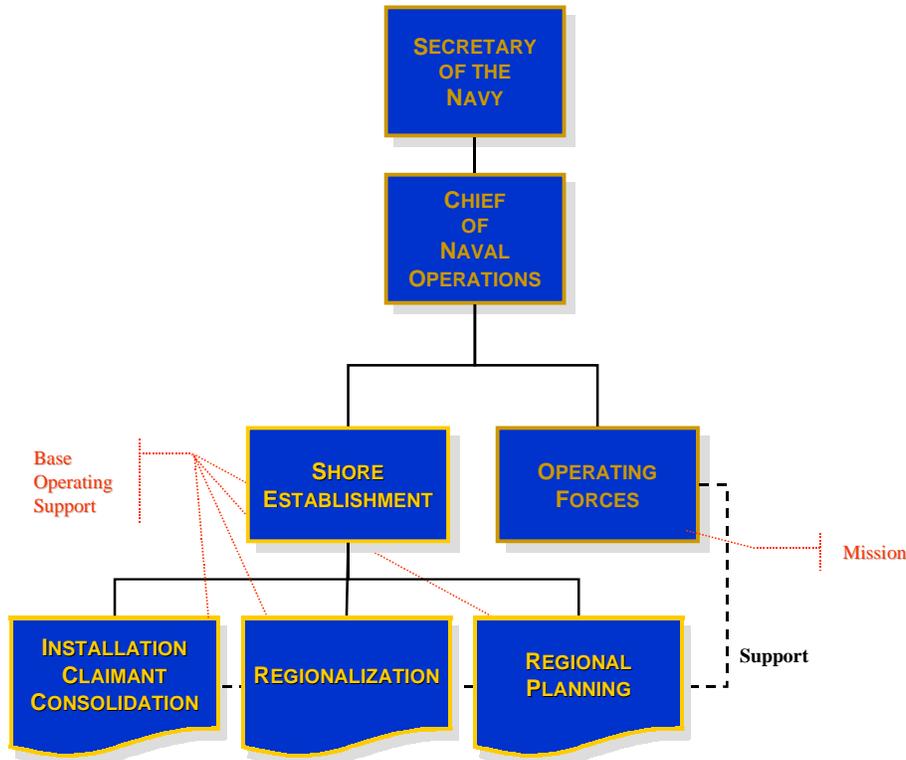
2.1 The Shore Establishment in the 21st Century

The mission of the Department of Defense is to provide the military forces that are needed to deter war and protect the security of the United States. The mission of the Navy is to maintain, train, and equip combat-ready Naval forces capable of winning wars, deterring aggression, and maintaining freedom of the seas. The operating forces of the Navy and the shore establishment report to the Chief of Naval Operations. The shore establishment provides support to the fleet missions, most notably, through the provision of shore infrastructure: land, buildings, structures, and utilities within ports and air bases; repair and communication centers; storage and training areas; medical and dental facilities; and communities and community support centers.

New global, national, and geopolitical challenges face the Department of Defense and the Navy as the 21st Century approaches. Dramatic reductions in fleet size and Navy budgets have resulted in Regionalization, Installation Claimant Consolidation (ICC), and Regional Planning initiatives within the shore establishment. Through these initiatives and in general practice, the shore establishment is responding to the reduction in fleet size and Navy budgets through appropriate reductions in the size and costs of infrastructure. As shore infrastructure evolves, it will require new perspectives and new processes to ensure that efficient and appropriate support is retained and maintained.

Figure 1a

Shore Establishment Initiatives



2.2 The Comprehensive Regional Planning Instruction

The Comprehensive Regional Planning Instruction (CRPI) is a new planning policy that provides an organizing framework for all planning instructions, guidance and advice for the Navy shore establishment. The CRPI provides the overall structure for Navy comprehensive regional planning. It is an extension of the *Command Responsibility for Shore Land and Facilities Planning* (OPNAVINST 11000.16A Change 1), which establishes regional planning for the Navy shore establishment. The CRPI is the NAVFACENGCOM comprehensive instruction for regional planning. It summarizes the policy goals of OPNAVINST 11000.16A into policy objectives and an instruction framework for regional planning that defines, organizes and disseminates all policy and guidance for Navy shore planning. The CRPI introduces the Regional Shore Infrastructure Planning (RSIP) process and individual Policy Topics that provide instruction, guidance and advice for elements of regional planning. The new RSIP process can be effectively used by commanders, managers, and staff to help make informed and logical regional planning and shore infrastructure decisions. The RSIP policy instruction is available as a separate document, while the Policy Topics will continue to be developed as time and resources allow.

Regional planning is influenced by two additional shore establishment programs—Regionalization and ICC. Both of these programs approach the shore establishment from an organizational, operational and business perspective and are helping to define regional boundaries, installation management claimant and regional command responsibilities, and appropriate base operating support functions. These programs have direct bearing on regional planning and the physical manifestation of the Navy mission in the built and natural environments. The CRPI describes the connection between Regionalization and regional planning. In simple terms, Regionalization focuses on the shore establishment while regional planning focuses on the shore infrastructure.

The CRPI offers a number of new paradigms that will support regional planning. These include how to look at data, how to define the planning requirement, how to approach the built environment, how to plan solutions to mission needs, how to approach the planning process itself, and how to look at the shore infrastructure and develop shore infrastructure plans. The CRPI describes and explains these new paradigms and the general roles and responsibilities for managing the shore establishment through regional planning and the RSIP process.

2.3 OPNAVINST 11000.16A Change 1

The CRPI derives its authority from the Chief of Naval Operations (CNO) through the policy instruction: *Command Responsibility for Shore Land and Facilities Planning* (OPNAVINST 11000.16A Change 1):

“230. Responsibilities. d. COMNAVFACENGCOM. (3) Provide implementation policy and guidance for the comprehensive regional land and facilities planning program.”

The CRPI supports the CNO policy goals for regional planning (see section 210. *Policy and Goals*, in OPNAVINST 11000.16A Change 1) with three key policy objectives:

- Reduce Footprints and Costs
- Increase Existing Capabilities and Sustainability
- Maximize Efficiencies

2.3.1 Reductions and Efficiencies

The OPNAVINST 11000.16A Change 1 draws an association between the business improvements pursued by Regionalization, the organizational management of ICC, and the infrastructure focus of regional planning. It challenges the shore establishment to keep pace with the dynamic changes of the Navy's operating forces. The OPNAVINST 11000.16A Change 1 identifies reductions and efficiencies as key goals for regional planning:

“200. Background. a. A main tenet of [the infrastructure] evolution is to ensure shore infrastructure is lean and efficient, and in proper balance with force structure. It directs our efforts to create a leaner, more effective infrastructure.

200. Background. b. To meet [the challenge of appropriately reducing infrastructure size and cost], the Navy has reengineered its land and facilities planning process to emphasize land and facilities consolidation, demolition of aging facilities, and disposal of property.

210. Policy and Goals. a. As the Navy's force structure has reduced in size and become more efficient, the shore infrastructure must also reduce its footprint and maximize efficiencies.”

— OPNAVINST 11000.16A Change 1

2.3.2 Sustainability

Regional planning can provide a balance between reductions and efficiency goals in a dynamic decision-making process. The regional planning process ensures that decision-makers have adequate information about the benefits, impacts, and costs of their shore infrastructure decisions. Active and collaborative participation by regional commanders, commanding officers, and claimants can identify total cost savings needed to support the Navy's force structure. These savings can only be achieved through regionally focused analysis. Analyzing the shore establishment in a regional context can help decision-makers understand how the Navy can interrelate to others in systems that are operationally, ecologically, socially, and economically sustainable. Decisions made within this larger, regional context are more likely to be successful over time. They will also help to maintain the Navy's strategic direction and ensure the sustainability of the shore establishment:

“230. Responsibilities. a. CNO. (1) Ensure the planning process maintains the Navy's strategic direction and sustainability of the shore establishment.”

— OPNAVINST 11000.16A Change 1

2.4 Global Ashore Planning

In order to support national security interests and execute the U.S. Navy's mission requirements forecasts and strategic planning of the number, type, and mix of planes, ships, sailors to support operational force of the future is made. As the sizing of the force structure moves towards supporting the requirements, its ashore infrastructure must also be shaped to ensure that all operational needs (peacetime, wartime, surge and contingency) are met while achieving resource efficiency. The Navy's basing strategy for the next decade and beyond must fully integrate emerging plans for ships, planes, Sailors, and bases. The global strategy ashore must remain agile to respond to geo-political realities and the ever changing demands the world will place upon U.S. Naval operations. The Global Ashore Planning provides broad ashore planning precepts, overarching guidance on basing strategies and a process to synchronize regional planning from a global perspective.

Global Ashore Planning is forward-looking and operationally driven. It uses innovative scenario planning techniques in conjunction with global planning matrices and a basing model to examine a broad range of future possibilities ashore. Scenario planning is recognized as a fundamental tool for thinking strategically about the future. Global Ashore Planning considers multiple alternative futures that represent the range of possibilities that could reasonably occur to support operational requirements. The Global Ashore Planning for the 21st Century (GAP 21) initiative implemented this innovative planning methodology to establish visions of the future. The process was data driven and was intended to stretch the vision of the Navy leadership to provide the guidance and direction of the future Navy ashore. Operational input was critical to the development and validation of the precepts.

Global Ashore Planning is an integral, long-range guidance tool in providing for the Navy ashore. The process provides a forum for senior Navy leadership to monitor and refresh global planning matrices and precepts to be used by Regional Commanders in developing shore infrastructure plans. Future operational loading and planning precepts, derived from a robust scenario planning process and underscored by senior leadership input, must drive regional footprints ashore. Global Ashore Planning provides overarching global ashore planning guidance to assist Regional Commanders in planning investment strategies that will optimize regional capability and integrate ashore planning with strategic plans for ships, planes, and Sailors. Global Ashore Planning for the 21st Century takes this guidance to the global level by articulating global loading requirements on operational precepts that are translated into optimum, as well as realistic, facilities investment strategies.

2.5 Activity Planning Becomes Regional Planning

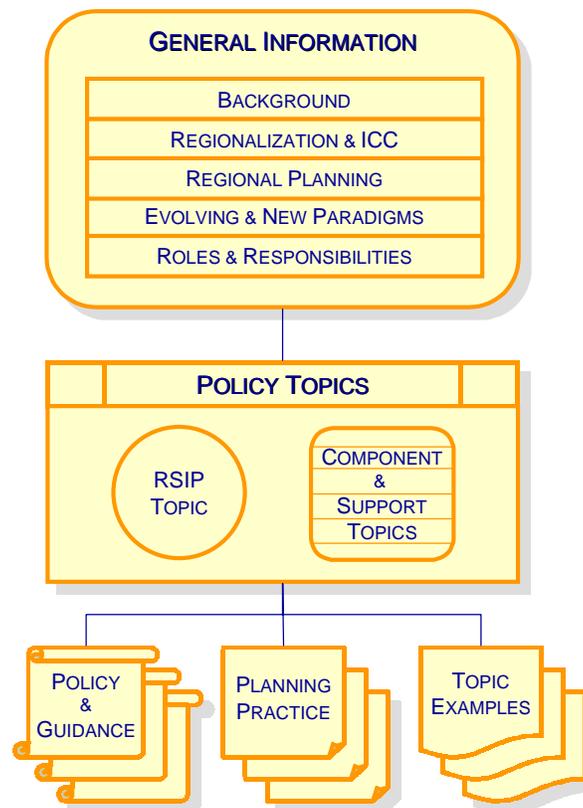
Regional planning broadens the base of infrastructure decision-making beyond the activity by delegating decision-making to individual regions in the new regional shore establishment. This can best be described as a change from activity planning to regional planning. In the past, Navy planning focused on developing individual activity master plans. These activity master plans typically provided Navy asset solutions to mission demands within activity fence lines. Regional planning recognizes the need to emphasize comprehensive planning at a regional level. It optimizes resources and opportunities across an entire region and reduces costs, increases capabilities and improves efficiencies in all shore infrastructures. A comprehensive regional approach to planning broadens the field of opportunities beyond those available on an individual activity to include the geographic and functional context of the region.

3.0 CRPI FRAMEWORK

The Navy Facilities Engineering Command recognizes the need to reorder and reenergize its planning policy and guidance around the new regional perspectives of the Navy shore establishment. The CRPI answers that need and will be the NAVFACENGCOM policy framework for regional planning in the Navy. The CRPI will be organized as a resource and knowledge center and is to be a starting point for all those involved in Navy regional planning. It will provide general planning information and access to regional planning policy and guidance, advice on planning practice, and product and best-practice examples. The framework for the CRPI is represented in Figure 3a.

Figure 3a

The CRPI Framework



The general planning information provided in the CRPI is reflected in the content found in this Overview document; including:

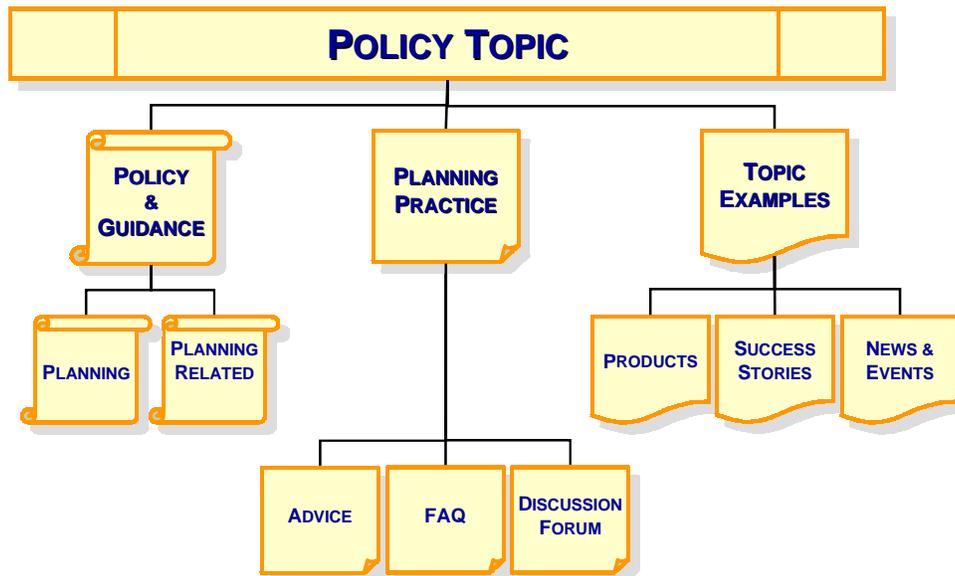
- “Background” information in Chapter 2
- “Regionalization and ICC” information in Chapter 4
- “Regional Planning” information in Chapter 5
- “Evolving and New Paradigms” in Chapter 6
- “Roles and Responsibilities” in Chapter 8

The remainder of the CRPI is organized into planning Policy Topics that will be developed over time by NAVFACENGCOM. The Policy Topics will become the single, comprehensive statement of regional planning policy for the Navy. The CRPI will incorporate existing NAVFACENGCOM planning policy and guidance, as well as provide new and enhanced regional planning policy and guidance. It will incorporate the best features and content from the current CD-ROM version of the *Installation Planning, Design and Management Guide* (E-1, 11th Edition, April 1998), but will improve the organization, access, and maintenance of that information with the state-of-the-art use of web-based database and document management technologies. The functional requirements for the new web-based CRPI include:

- Facilitate systematic and organized access to regional planning policy, advice, and examples.
- Incorporate suitable web-based database and document management technologies.
- Enhance the responsiveness of NAVFACENGCOM policy and guidance.
- View, maintain and integrate existing and multiple, Navy document formats.
- Eliminate or reduce content duplication and enhance appropriate content and user relationships.
- Facilitate user-interactivity through feedback and discussion.
- Comply with Navy security and access guidelines and regulations.

The Policy and Guidance component of each Policy Topic will be developed as a priority. However, the new CRPI framework also provides for a broader context for each Policy Topic by including planning practice information and access to planning product examples. These Policy Topic components will be developed as time and technologies allow. The content details of each CRPI Policy Topic are shown in Figure 3b and described in more detail below.

Figure 3b
CRPI Policy Topic Content



3.1 Policy Topics

There are over twenty-five Policy Topics within the framework of the CRPI (see Tables 3c and 3d). Each Policy Topic represents a component subject of Navy planning and is designated a Policy Topic as a way to organize planning policy and guidance and classify regional planning information. The primary Policy Topic in the CRPI is the “Regional Shore Infrastructure Planning” Topic and contains the new RSIP Instruction policy and guidance document prepared in conjunction with this Overview. The CRPI also includes Policy Topics long recognized as important components of Navy planning and a number of new Policy Topics, like Sustainable Planning. A total of twenty-two Component Topics are included in the CRPI (see Table 3c). The component topics address planning and planning-related practices and are organized in the CRPI to support Navy regional planning and the primary RSIP Policy Topic.

Table 3d shows a third type of Policy Topic in the CRPI, classified to address larger supporting issues used to assist both the RSIP planning process and individual component processes. These Support Topics will contain policy and guidance, practice information, and product examples for Electronic Planning Tools, Maps and Plans, and Metrication.

To date, only the “Regional Shore Infrastructure Planning” Policy Topic has been implemented in the new CRPI. Existing policy and guidance for all other Policy Topics are subject to change and revision as they are incorporated into the CRPI.

Table 3c

CRPI Component Topics

| |
|---|
| Acquisition |
| Base Operating Support |
| Disposal |
| Electronic Planning Tools |
| Energy |
| Environmental Compliance |
| Environmental Conservation |
| Environmental Pollution Prevention |
| Environmental Restoration |
| Facility Programming and Design |
| Integrated Logistics Support |
| Inventory |
| Land Use |
| Lease Management |
| Maps and Plans |
| Metrication |
| Project Documentation |
| Regional Shore Infrastructure Planning |
| Safety |
| Site Design |
| Space Management |
| Sustainable Planning |
| Transportation and Circulation Planning |
| Transportation Engineering |
| Utilities Management and Design |

Table 3d

CRPI Support Topics

| |
|---------------------------|
| Electronic Planning Tools |
| Maps and Plans |
| Metrication |

3.2 Policy & Guidance

The Policy and Guidance component contains both planning and planning-related policy for the Policy Topic. In general, policy in the CRPI provides official instruction and guidance for both the process and practice of individual Policy Topics.

The **Planning** component incorporates official planning policy instructions into the Policy Topic, including Executive Orders, federal regulations, DoD directives and instructions, as well as SECNAV, OPNAV, and NAVFAC instructions. It consolidates planning-specific NAVFAC instructions into a single source for each Policy Topic. For example, the *Inventory* Policy Topic would include policy and guidance that is planning-specific, describing how inventory tools like the NFADB and others are used in planning. All other planning instructions (Executive Orders to OPNAV instructions) for the *Inventory* Policy Topic would be associated with the CRPI as a link reference only.

The **Planning-Related** component draws on the same sources as planning policy (Executive Orders to NAVFAC instructions) but describe processes and practices that are not fully part of planning. This policy and guidance is included in the CRPI as a link reference. For Example, the existing policy and guidance for managing the NFADB, the NAVFAC Manual P-78, is a planning-related policy document that would be included in the CRPI only by link reference under the *Inventory* Policy Topic. The actual administration of the NAVFAC P-78 would remain outside of planning.

3.3 Planning Practice

The Planning Practice component contains professional planning advice that is not official policy and guidance but that helps promote an effective understanding of the Policy Topic. It provides a dynamic, professional dialog of the planning processes and practices of the Policy Topic through frequently asked questions (FAQ), advice, and a discussion forum.

Frequently Asked Questions (FAQ), particularly when supported by a web-based publishing format, provide a quick reference to important Policy Topic issues and key elements. The FAQ can be used to identify the Policy Topic content (one question can always be, “What is contained in this Policy Topic?”) and context (one question can always be, “What type of planning does this Policy Topic support?”).

The **Advice** component includes suggestions on how to translate official planning policy and guidance into practical planning practice. Policy Topic Advice provides how-to suggestions on day-to-day planning procedures.

The **Discussion Forum** is the most dynamic component of Planning Practice. It requires an interactive dialog between NAVFACENCOM and the planners and decision-makers that are actively involved in the Policy Topic. The Discussion Forum can provide planning advice by answering questions asked about the Policy Topic. It can also provide a forum for Policy Topic feedback, collecting planning policy issues and problems that can be used to update the planning policy more regularly.

3.4 Topic Examples

The Topic Examples component provides a forum for the sharing of real-life examples within the Policy Topic. Topic Examples take the form of products, success stories, and news and events.

The **Products** component provides a clearinghouse within the Policy Topic for the products of the planning process. The products are provided electronically as part of a product library for each Policy Topic.

Success Stories are successful case studies and best practices that exemplify the best planning within the Policy Topic. The Success Stories component offers an opportunity to share stories and learn from the best within and outside the Navy.

The **News and Events** component provides a quick reference to important issues and events influencing the Policy Topic across the Navy. Examples that might be included under this component are Plans of Actions and Milestones (POA&Ms) for individual RSIPs and information on the CNO Shared Funding Program.

4.0 REGIONALIZATION AND INSTALLATION CLAIMANT CONSOLIDATION

The Navy has completed upon aggressive Regionalization and Installation Claimant Consolidation (ICC) programs to re-invent its shore establishment and identify infrastructure-related cost savings for improved readiness and modernization. Regionalization and ICC are linked to form the geographical, organizational, and functional baseline for regional planning. Together, they address how the shore establishment is organized. Regionalization continues to look for ways to improve Base Operating Support (BOS) and address how the shore establishment does business.

The shore establishment is optimized when BOS functions are consolidated under fewer claimant commands, and united under regional commanders with broader regional perspectives and a number of concentrated mission or functional areas. ICC has assigned BOS responsibilities to eight Installation Management Claimants (IMCs) and has established geographic and functional limits for regions, Navy Concentration Areas (NCAs), and stand-alone activities.

4.1 Regionalization (the way we do business)

Regionalization is the “business” filter for decisions made by and about the shore establishment. It seeks cost reductions for BOS through the elimination of unnecessary management layers, duplicative overhead, and redundant functions. Navy installations within a region will no longer be operated as separate and independent entities, but rather as a regional matrix of organizations adopting the best business practices of the military and private sectors. Regionalization promotes the development of standardized processes and interrelated systems. It improves the ability of Navy activities to communicate and work together.

Using Streamlined Business Case Analyses (SBCAs), Regionalization is the foundation for initiatives to improve business practices and evaluate outsourcing opportunities. Regionalization also provides benefits in regional planning and fosters regional dialogue on environmental issues, security concerns, community interface issues, and installation management. A concept to regionalize common installation management functions helps activities take a broad view of installation management. Regional commands can consolidate, standardize where appropriate, and eliminate unnecessary overhead costs. Consistent service levels can be provided throughout a region. Sailors should get the same level of service regardless of where they are stationed.

4.1.1 Guiding Principles of Regionalization

The guiding principles of Regionalization provide a way for the shore establishment to reduce the number of host commands and tenants providing services and to maximize efficiencies within the shore infrastructure. There are three guiding principles of Regionalization:

- No tenant should do what a host command can do more cost effectively.
- No host command should do what a regional complex can do more cost effectively.
- No regional complex should do what the surrounding community can do more cost effectively.

4.1.2 Goals and Objectives of Regionalization

The ultimate goal of Regionalization is to create robust, consolidated organizations that are capable of using state-of-the-art business practices and technologies to improve installation planning and management and increase the efficiency of the shore establishment.

Regionalization pursues the following goals:

- *Regionalize or consolidate BOS functions.*

Eliminate redundant or surplus resources from activities that perform similar functions.

- *Continue to reduce operating costs by streamlining operations.*

Reduce the cost of operating the Navy shore establishment. Review installation and tenant functions to identify opportunities to consolidate, realign, or eliminate functions available within the community or that are no longer required. Perform functional analyses to ascertain which are inherently governmental versus non-governmental functions.

- *Find more cost-effective ways to provide perceived entitlements, benefits, and other Quality of Life (QOL) services.*

Allow Navy activities in the region to work together to reduce costs, improve services, and eliminate duplicate functions.

- *Develop mutual partnerships with civilian communities.*

Privatize, outsource, or civilian-substitute where cost effective. Encourage a single, consolidated Navy "voice" to the local community and other government agencies.

4.2 Installation Claimant Consolidation (the way we are organized)

Installation Claimant Consolidation has reduced the number of claimants with BOS responsibility from eighteen to eight. Base operating support is an operational classification for all real property and installation management functions, including Regionalization and regional planning. Under ICC, all BOS resources and responsibilities have been transferred to eight Installation Management Claimants (IMCs) as seen in Table 4a. This allows the remaining ten major claimants to concentrate on their primary operational missions independent of concerns regarding base operations, the owning of facilities, host responsibilities, and the provision of support to their tenants.

Table 4a

Installation Management Claimants

| INSTALLATION MANAGEMENT CLAIMANTS |
|--|
| Chief of Naval Operations (Field Support Activity) |
| Commander in Chief, U. S. Atlantic Fleet (CINCLANTFLT) |
| Commander in Chief, U. S. Pacific Fleet (CINCPACFLT) |
| Chief of Naval Education and Training (CNET) |
| Commander in Chief, U. S. Naval Forces Europe (CINCUSNAVEUR) |
| Commander, Naval Air Systems Command (COMNAVAIRSYSCOM) |
| Commander, Naval Sea Systems Command (COMNAVSEASYSKOM) |
| Commander, Naval Reserve Forces (COMNAVRESFOR) |

Installation Claimant Consolidation and Regionalization has organized the shore establishment into twelve regions as mapped in Figure 4b and listed in Table 4c.

Figure 4b

Map of Navy Regions



Table 4c
Navy Regions

| REGIONS |
|---------------------------|
| Naval District Washington |
| Europe |
| Great Lakes |
| Guam |
| Hawaii |
| Japan |
| Korea |
| Mid-Atlantic |
| Northeast |
| Northwest |
| South Central |
| Southeast |
| Southwest |

Installation Claimant Consolidation and Regionalization has also placed each Navy activity into a Navy Concentration Area (NCA) or designated it as a Stand-alone Activity. Figure 4d shows a map of NCAs within each region and Table 4e lists the NCAs by IMC. Stand-alone activities are not part of designated NCAs but do fall within designated Navy regions and regional commands. To date, the Deputy Chief of Naval Operations for Logistics has not generated a list of stand-alone activities. This list will be added to the CRPI in the future. Regional planning is to be accomplished at one or all of the regional, NCA, or stand-alone activity levels.

Figure 4d

Map of Navy Concentration Areas within Regions



Table 4e

Navy Concentration Areas by IMC

| NAVY CONCENTRATION AREAS BY IMC | |
|---------------------------------|--|
| IMC | NCA |
| FSA | Persian Gulf Washington, DC |
| CINCLANTFLT | Charleston Hampton Roads Jacksonville New London |
| CINCPACFLT | Guam Japan Korea Oahu Port Hueneme Puget Sound San Diego |
| CNET | Great Lakes Pensacola South Texas |
| CINCUSNAVEUR | Europe |
| COMNAVRESFOR | New Orleans |

The Deputy Chief of Naval Operations for Logistics (N4) is working with the new IMCs to develop the future role of regional commanders, functional area managers, Assistant Chiefs of Staff (ACOSs), and activity commanders. This dialogue will define the regional command structure, specify the functional area responsibilities of regional commanders, and establish geographic boundaries for regional commands, NCAs and stand-alone activities. Currently, Table 4f reflects a list of functional areas included in each regional command.

Table 4f**Possible Functional Areas in Each Regional Command**

| FUNCTIONAL AREAS * |
|---|
| Air Operations |
| Base Services and Infrastructure |
| Community Support and Morale, Welfare, and Recreation (MWR) |
| Energy |
| Housing |
| Information Technology (IT) and Communications |
| Logistics/Supply/Fuels |
| Maintenance |
| Medical/Dental |
| Ordnance/Weapons |
| Port Operations (Waterfronts) |
| Public Safety |
| Research, Development, Testing and Evaluation (RDT&E) |
| Training and Readiness |

* Functional area titles may vary from region to region.

The CRPI reflects in its Tables and Figures 4a-4f the most current lists and maps of IMCs, regions, NCAs, stand-alone activities, and functional areas, although it is expected that they will continue to evolve. For further information and updates, check the N4 web site on the World Wide Web at <http://www.n4.hq.navy.mil/n4/>.

5.0 REGIONAL PLANNING

Regional planning is the process that develops comprehensive, long-range, and strategic plans for specific geographic areas. The regional plan guides regional commander and IMC decisions by identifying infrastructure alternatives and recommendations that optimize resources and opportunities across an entire region, leveraging assets and reducing redundant functions. Regional planning helps to support operational readiness, effectiveness, and responsiveness for all regions. The regional plan provides the framework for decisions and the continuous planning and management of shore infrastructure.

With the CRPI, all planning by regional commands, NCAs, and stand-alone activities will have regional perspectives. Although a regional perspective may be easier to apply to a region or NCA, stand-alone activities that are part of a region but not in an NCA will also develop comprehensive regional plans using the same planning methodology. For example, a functional port operations plan for the Portsmouth Naval Ship Yard should look for solutions beyond Navy-controlled assets and the activity fenceline, including opportunities with other military services, federal and state agencies, local port authorities, or the private sector.

Regional planning ties directly to the business case analyses found in Regionalization. In fact, regional planning relies on Regionalization efforts to identify those requirements that are essential to the success of the mission and tries to meet those requirements through infrastructure options that result in the best value for the Navy, while meeting the requirements of the National Environmental Policy Act (NEPA).

5.1 Why Do Regional Planning?

Regional planning provides methods and tools for resolving issues in ways that minimize conflicts and promotes mutually beneficial solutions—solutions that articulate how mission performance and infrastructure support can be part of a strategy that ensures natural and man-made resources are used wisely and available for future generations.

- *Regional planning provides a decision rationale that is both logical and traceable.*

Responsibilities in military spending require that planning provide maximum value for minimum expenditure and priority.

- *Regional planning offers broader stakeholder involvement with an opportunity for everyone that is affected by or can affect the outcome of a plan.*

Addressing new perspectives and more dynamic environments makes regional planning more innovative and collaborative.

- *Regional planning provides political, fiscal, operational, social, cultural, and ecological accountability.*

Regional commands must be accountable for planning results and decisions, as well as for new planning products that document accountability.

- *Regional planning provides an analysis that addresses broader operational, natural, cultural, and socioeconomic impacts and costs.*

A regional planning environment makes planning more efficient. It makes it more focused on actions and results. A regional planning environment that is looking for cost and size reductions and increased efficiency is more closely linked to management.

The success of regional planning in the shore establishment will depend on the ability of decision-makers to continuously process new information and use it creatively, often in partnership with others, to resolve complex and changing issues.

5.2 Goals and Objectives of Regional Planning

- *Regionalize shore infrastructure for the best value.*

Site new systems and specialized or unique support infrastructure based on the demands for common equipment instead of service-specific considerations. Default to a lead service in the case of a joint weapon system.

- *Incorporate strategic IMC and regional command visions along with operational efficiencies determined through Regionalization.*
- *Maintain an optimal infrastructure footprint.*

Demolish unneeded, aging facilities that cannot be retrofitted cost-effectively. Divest the Navy of excess infrastructure and property. Outlease any underutilized real property.

- *Reduce redundant facilities within regions and NCAs, and between stand-alone activities.*

Consolidate the workforce into fewer facilities. Emphasize multi-purpose or multi-customer facilities.

- *Reduce the cost of infrastructure.*

Realize savings in the operations and maintenance of facilities. One way to do this is to outsource or “civilian-substitute” heartland, stand-alone installations, thereby eliminating the need for QOL services required by a military presence (e.g., galleys, housing, morale, welfare and recreation, etc.). In NCAs and stand-alone activities, incorporate full and true cost accounting when deciding on future acquisitions and facility construction.

- *Identify alternatives for optimizing the use of shore infrastructure.*

Coordinate with Regionalization efforts to identify the potential for functional consolidation within existing infrastructure. Consider the privatization or joint use of existing facilities with other military services; federal, state and local agencies; or the private sector (e.g. utility infrastructure).

6.0 EVOLVING AND NEW PARADIGMS

A paradigm is a model or typical example that frames a school of thought or discipline. Planning establishes paradigms based on its process and practice. As the process and practice of planning changes into regional planning, old planning paradigms evolve and new paradigms are established. The CRPI incorporates these evolving and new planning paradigms into new policy and guidance and a comprehensive regional planning process for the Navy shore establishment.

6.1 A Regional Perspective

The old shore facilities and land use planning systems focused on individual shore installations or Navy activities. These processes typically took the assigned missions, workload, and tasks of the activity and translated them into the infrastructure (buildings, structures, and utilities) or facilities that were required. Once the facility requirement was identified, an evaluation of existing Navy assets determined the quantity and type of facilities available. Requirements were then compared to available assets; facility deficiencies and surpluses were quantified (in terms of square feet, square yards, gallons, etc.) and functionally qualified (administrative offices, piers, hangars, etc.). Where deficiencies were identified, a plan would be developed to satisfy shortfalls, oftentimes through Military Construction. All of this analysis was focused on the specific shore activity. Shore facilities and land use planning were then integrated into an activity master plan. The master plan evaluated a series of facility and land use issues focused on the individual activity. All recommendations were predicated on solutions that fell within the confines of the activity fenceline.

As the Navy moves into the 21st century, its leadership is making significant changes in how it views shore infrastructure. These changes have focused on creating a leaner, more efficient and effective infrastructure that is in proper balance with force structure. As the Navy's force structure is reduced in size and made more efficient, the shore infrastructure must also reduce its footprint and maximize efficiencies. The Navy shore establishment can respond by changing focus on individual shore activities to a broader regional perspective and more comprehensive concept of regional planning.

Regional planning helps to optimize resources and opportunities across an entire region by seeking solutions to facility issues across a region. In collaboration with Regionalization, it develops a broader means of satisfying infrastructure requirements, including outsourcing, privatization, and leasing. While regional planning requires a shift from activity-focused planning to comprehensive planning for all activities within a region, it also signals a more far-reaching approach to Navy planning. Regional planning means identifying potential partnerships for joint or shared facility use with Navy, other DoD services, federal agencies, state and local governments, community alliances, and the private sector.

6.2 A Single, Comprehensive Planning Process

Navy planning has historically been divided into the Shore Facilities Planning System (SFPS) and a separate land use or master planning process. These divisions typically reflected the organizational structure of NAVFACENGCOM at the time, including separate facility and master planning groups. The SFPS process and master planning were oftentimes accomplished separately, sometimes in conflict with one another, and only occasionally merged into a comprehensive planning solution.

Regional planning establishes a new paradigm. It requires a multi-disciplinary and intra-organizational approach; developing a single comprehensive, long-range and strategic plan with realistic implementation strategies. It is supported by input from planning experts in each of the planning component areas, including land use and facilities, transportation and circulation, utilities, the environment, and natural and cultural resources. By fusing a more multi-disciplinary approach, regional planning can ensure that a range of issues is considered in time to develop a more dynamic and responsive plan. Regional planning integrates the concepts of facility and land use planning into one seamless process.

6.3 Military Construction, An Alternative of Last Resort

Military planning has historically centered on project planning that, until recently, resulted in new development and growth. A well-funded military construction program supported this practice. Planning analysis used an inventory of facility assets to analyze requirements based on a quantified need. It supported current and future missions by translating requirements into specific projects. Decisions were focused on facility siting and project planning. As a result, planning did not fully consider solutions that were possible within the context of the existing built environment.

A basic tenet of the Navy's evolution toward a leaner, more efficient and effective infrastructure is to evaluate the broader range of alternatives available to satisfy the planning requirement. Regional planning views military construction as part of a larger solution to support the needs of the military mission. Regional planning strives to support the mission while maximizing the efficient use of existing infrastructure, minimizing the need for new development, and ensuring that, when new development is necessary, it is balanced within the context of the region. The goal of regional planning is to influence decisions on development that focus on long-term sustainability, rather than long-term development.

Military Construction should now be considered the alternative of last resort. Indeed, recent changes to the Military Construction process now require extensive project justification to demonstrate a more thorough analysis of non-development alternatives.

6.4 Cradle-to-Cradle Lifecycles

The current facility life-cycle paradigm of "cradle-to-grave" treats facilities as disposable. It manages facilities from construction through occupancy and maintenance to disposal, resulting, along the way, in significant waste of physical and financial resources.

The new "cradle-to-cradle" paradigm reflects the need to include sustainable planning and design concepts in the development process. It requires that buildings be designed to last beyond a single lifecycle and that they be designed with flexibility to support current mission needs as well as future unknown missions. It requires that planning promote adaptive reuse of existing facilities instead of new construction and that it manages a facility from one "cradle" to another resulting in a sustainable "cradle-to-cradle" lifecycle.

6.5 A Broader Planning Requirement

At the activity level, the planning requirement has typically been focused on facility requirements determined by examining the mission and then applying established space criteria. This approach was generally formulaic and led to a *quantification* of need (i.e. square footage, square yards, number of persons, etc.).

In regional planning, the shore establishment is becoming more complex, making a formulaic approach more difficult. The planning requirement should include mission needs that are both *quantified* and *qualified* to measure physical space as well as contextual and functional criteria. This encourages solutions within the existing built environment that previously were not considered. It also ensures that the planning requirement is not predefined for a particular solution or self-fulfilling. For example, the requirement should not be for a new building, which presupposes a conclusion; rather, it should be for the efficient accomplishment of a stated mission objective, relying on quantified and qualified parameters but not presupposing a solution.

Regional planning will define a broader planning requirement through visioning in the RSIP process and will incorporate facility requirements along with other contextual and functional requirements as a part of the planning analysis.

6.6 Availability of Data

The preparation and maintenance of planning data has historically been a planning responsibility. Preparing and maintaining asset inventories in the Navy Facility Assets Data Base (NFADB) and developing maps and plans were considered part of the planning process.

The availability of accurate and timely data is essential to planning; however, regional planning requires that accurate and timely data be available *before* the planning process begins. Data preparation and maintenance is the responsibility of individual regional commanders but is not a part of the planning process. On the other hand, data collection and assessment is a part of regional planning. Data collection and assessment turns available data into useful information and planning knowledge as an integral part of the planning process.

7.0 REGIONAL SHORE INFRASTRUCTURE PLANNING

Regional Shore Infrastructure Planning (RSIP) is the fundamental process for regional planning. It is a disciplined, decision-support process that shapes and guides infrastructure improvements to the Navy's shore establishment by addressing all physical-planning issues and influencing infrastructure support to the BOS mission and operating forces. The comprehensive RSIP process addresses land, facilities, transportation and circulation, utilities, the environment, and natural and cultural resource planning elements.

Navy regions can realize regional planning goals through the RSIP process by:

- Minimizing requirements and optimizing the use of existing land, facilities, and infrastructure.
- Optimizing the use, economy, and investment strategies of BOS infrastructure.
- Identifying efficient utility systems and infrastructure to achieve energy conservation goals.
- Analyzing and recommending mutual land, facilities, transportation and utility uses with other services, federal, state and local agencies, the private sector, and other IMCs as appropriate.
- Recommending a variety of facility management methods that are beneficial to the Navy, such as joint use, outsourcing, privatization, and leasing.
- Adopting a policy of "cradle-to-cradle" lifecycles for facilities through more flexible design and adaptive reuse.
- Recognizing the environmental association of all planning recommendations and providing ecologically sustainable solutions that support and enhance the regional shore establishment.

The RSIP process takes a long-range view of the shore establishment. It looks into the future at socioeconomic, political, environmental, and mission issues that impact the development, use, and management of the shore infrastructure. It recognizes the many possible internal and external environments that shape the future. It addresses the impact of Navy situations as well as non-Navy population growth, the ability of the local work force to support the mission, and the capability of community infrastructure to support Navy operations. The RSIP process acknowledges current trends but assumes an unpredictable future with new trends, discontinuities, and a variety of surprises. It identifies a range of possible futures or scenarios that embody qualitative and quantitative shifts in direction. The RSIP process defines a single, most likely vision for the regional shore establishment. It then develops strategies and actions to improve the shore infrastructure.

The RSIP process approaches regional planning strategically. The RSIP process focuses and commits to a plan of action. The new logic is not only why (the vision) but what (the results) and how (the actions). It is not prescriptive; however, it does provide a structured process for managing change that can support shore establishment, BOS and infrastructure decision-making. Each regional component—region, NCA, and stand-alone activity—can use the RSIP process to generate infrastructure solutions that are unique to their regional condition and that respond to the demands of their community, economy, politics, environment, and mission.

The RSIP process is dynamic. It should not be performed on a planning cycle that is put in motion only when larger planning issues arise or every three to five years. Instead, the RSIP process should be incorporated into the day-to-day actions of decision-makers and managers. It should review and update the RSIP products continuously and should be used to make regional infrastructure decisions on a daily basis.

7.1 The RSIP Products

The RSIP process is used to generate two types of regional plans—the Overview Plan and the Functional

Plan. Both plans take a regional perspective for the entire region, an NCA, or a stand-alone activity. The Overview Plan focuses on all of the functional areas and how they relate to one another. The Functional Plan, as its name implies, focuses on a specific functional area and develops distinct functional solutions (a list of possible functional areas can be seen in Table 4.6 in section 4.2 *Installation Claimant Consolidation (the way we are organized)*).

7.1.1 The Overview Plan

The Overview Plan addresses the relationships between functional areas and their integration into a comprehensive infrastructure plan. The Overview Plan breaks down traditional geographic and organizational boundaries more easily because of the relationships between functional areas. It also promotes greater opportunities for regional economies of scale. The depth of analysis for the Overview Plan is limited to regional issues between functional areas. The scope of the Overview Plan is broad, including functional relationship issues and larger infrastructure strategies across functional areas.

7.1.2 The Functional Plan

The Functional Plan focuses on an individual functional area within the region. It addresses the functional area in relationship to traditional geographic and organizational boundaries within a regional context. It provides a more in-depth analysis of functional issues within the region and integrates them into a comprehensive infrastructure plan. The Functional Plan promotes economies of scales within the functional area. Its scope is deep, addressing specific functional issues and identifying more detailed infrastructure solutions and strategies for the functional area.

7.1.3 The RSIP-Link

Information technology will be used in the development and distribution of the Overview Plan, the Functional Plan, and the products of the RSIP process. Specifically, the RSIP process will incorporate the regional and global sharing of information using commercial-off-the-shelf software and web-based tools as fundamental elements. The RSIP products will be presented and distributed by using the electronic, secure, web-based *RSIP-Link*. The *RSIP-Link* is used to document and publish the information, analysis, recommendations, conclusions, and action plans for the RSIP process. An existing description of the *RSIP-Link* can be found on the NAVFACENGCOM Intranet (NAV-Facilitator). A more complete description and official policy and guidance for the *RSIP-Link* will be included in a future Policy Topic, "Electronic Tools."

7.2 The RSIP Process Model

The RSIP process is made-up of three levels that lead the regional plan from its inception to its completion and on to its implementation. The three levels include:

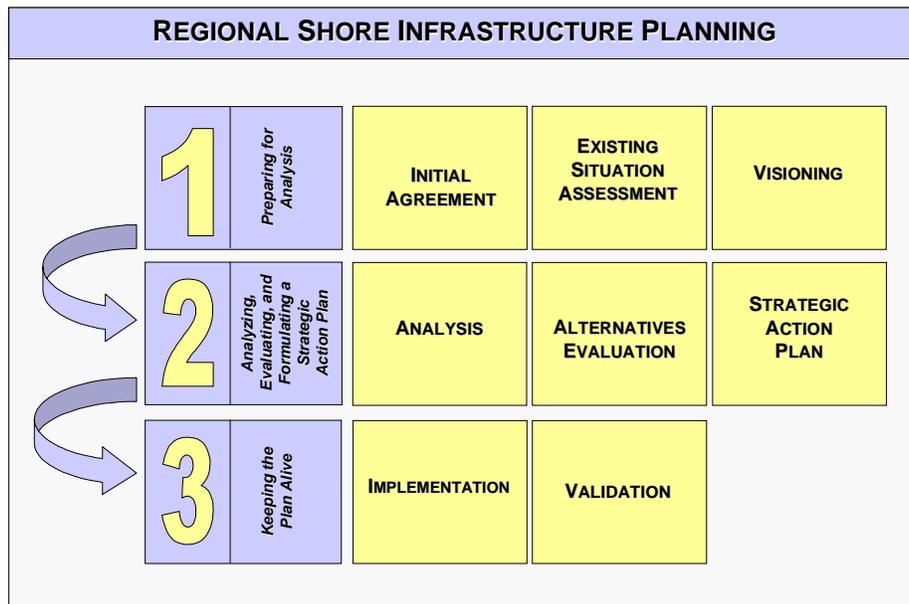
- Level 1: Preparing for Analysis
- Level 2: Traditional Planning, Strategically
- Level 3: Keeping the Plan Alive

Organized within each of these levels are eight iterative and relational tasks. The RSIP Process Model (see Figure 6a) provides a methodology that is flexible enough for each region while suggesting a practical order to the planning process through each level and task. Within each task are a number of suggested methods and pointers that will help the region proceed through the RSIP process. It is up to each regional command to accomplish the planning process in accordance with this model while judging the scope of each task in accordance with the demands of the region.

It is recommended that all of the aspects of the model be followed sequentially from one level to the next, although the order of each task within a single level is flexible and the suggested methods within those tasks can be accomplished in any order deemed appropriate as long as the basic integrity of the process model is maintained.

Figure 6a

RSIP Process Model



7.2.1 Level 1: Preparing for Analysis

Level 1, Preparing for Analysis, contains three tasks that initiate the RSIP process, define the regional context, and establish the planning requirement.

The ***Initial Agreement*** task is a concerted effort to organize and define a general framework and act as the foundation for the RSIP process. The task generates an agreement between stakeholders that defines the scope of the plan, its boundaries, participants, and a process work plan.

The ***Existing Situation Assessment*** task generates a set of comprehensive regional profiles that captures the unique character, issues, and concerns for the RSIP process and promotes a basic understanding of the region.

The ***Visioning*** task defines the regional goals and planning requirement for the RSIP process. It is a strategic planning methodology that recognizes the changing environments of an uncertain future and defines a number of distinct and plausible future scenarios. It prioritizes these future scenarios into a single, most-likely or preferred scenario that becomes the blueprint for the planning requirement and guides future strategic infrastructure decisions in the region.

7.2.2 Level 2: Analyzing, Evaluating, and Formulating a Strategic Action Plan

Level 2, Analyzing, Evaluating, and Formulating a Strategic Action Plan, contains three tasks that draw on traditional planning techniques for developing and evaluating alternatives and includes the development of a strategic action plan.

The ***Analysis*** task presents clear and viable alternatives for a wide range of infrastructure options. It addresses components of the built and natural environments organized around the functional and physical components of the shore establishment. It integrates the regional profiles of the Existing Situation Assessment and the regional goals, preferred scenario, and planning requirement of Visioning into a number of concept alternatives.

The ***Alternatives Evaluation*** task evaluates and prioritizes each concept alternative and develops planning recommendations that are used to select a preferred alternative.

The ***Strategic Action Plan*** task sets the overall strategy for accomplishing the preferred alternative. It is a series of smaller action steps or tactics that can be achieved by the implementation team.

7.2.3 Level 3: Keeping the Plan Alive

Level 3, Keeping the Plan Alive, contains two tasks that acknowledge the continuous and iterative nature of the RSIP process. These tasks keep the plan and the RSIP process alive on a daily basis.

The ***Implementation*** task brings the regional plan into physical reality through day-to-day actions. It contains the concerted efforts of the implementation team to realize the strategic action plan.

The ***Validation*** task provides a checks-and-balance system for the RSIP process and ensures that changes in the region are integrated into the plan. It includes monitoring various elements of the RSIP process and triggering appropriate task updates.

8.0 ROLES & RESPONSIBILITIES

All command echelons, particularly those retaining primary responsibility for land and facilities management, will actively participate in the comprehensive regional planning process.

8.1 Chief of Naval Operations

The CNO provides the vision and goals for regional planning and the RSIP process in OPNAVINST 11000.16A Change 1. In addition, the CNO has the responsibility to:

- Ensure that the planning process maintains the Navy's strategic direction and sustainability of the shore establishment.
- Ensure coordinated development of regional plans with other broader planning and operational initiatives.
- Establish and maintain a CNO Shared Funding Program to partner with the IMCs in funding selected regional studies. This program will identify regional studies with the highest potential for long-term payback to the Navy and share the cost of the studies with the IMC.

8.2 Installation Management Claimants

The IMCs support the CNO's vision and goals for the Navy's shore infrastructure and will commission and support comprehensive regional planning. In addition, the IMC has the responsibility to:

- Develop regional operational strategies, priorities, goals, objectives, and guidelines for regional commanders.
- Develop regional planning strategies, priorities, goals, objectives, and guidelines for regional commanders.
- Provide the financial resources necessary to perform regional studies, including the use of the web-based RSIP-Link, for each RSIP Overview and Functional Plan prepared.
- Provide regional planning study nominations for the CNO Shared Funding Program.
- Submit an annual report showing the status of all regional plans, including the funds expended to date and the cost savings achieved or avoided.
- Provide the financial resources necessary to prepare and maintain data and data systems that provide baseline information for regional planning. This includes the preparation and maintenance of data in the Navy Facility Assets Data Base Management System (NFADB-MS).
- Establish and fund electronic applications that support regional planning and the RSIP process.

8.3 Regional Commanders

Regional commanders actively support regional planning and have the responsibility to:

- Coordinate the development of RSIP Overview and Functional Plans and associated regional studies.
- Approve all Overview and Functional Plans and regional studies.
- Coordinate all shore infrastructure management actions, particularly Regionalization actions, with regional planning.
- Coordinate with Navy and non-Navy stakeholders during regional planning and the RSIP process. Specifically, the regional commander should liaison with other Navy, DoD and other military services, federal, state, and local community officials, and other IMCs during any regional planning effort.
- Maintain the currency and accuracy of data and data systems used by or in support of regional planning. This data includes but is not limited to real property data in the NFADB-MS, and electronic base mapping and building floor plan data.

8.4 Naval Facilities Engineering Command

NAVFACENCOM has the responsibility to:

- Provide comprehensive regional planning policy and guidance.
- Provide regional planning and RSIP process advice to the CNO, IMCs, regional commanders, and commanding officers of stand-alone activities.
- Serve as a regional planning and RSIP process consultant to the CNO, IMCs, regional commanders, and commanding officers of stand-alone activities.
- Manage the CNO Shared Funding Program. Review IMC requests for regional planning funds and studies and provide recommendations to the CNO on overall funding strategy and priorities. Summarize the IMC annual reports and provide the CNO with an assessment detailing the overall state of the shore infrastructure establishment and the status of major regional planning issues and trends affecting the Navy's mission.
- Provide the regions, NCAs and stand-alone activities with planning services—in-house or by contract—for regional shore infrastructure plans and associated regional studies. Maintain a core competency in planning so that technical assistance may be obtained through NAVFAC field divisions and activities.

NAVFACINST 11010.45

**COMPREHENSIVE REGIONAL PLANNING
INSTRUCTION**

**REGIONAL SHORE
INFRASTRUCTURE PLANNING**

September 2000

Table of Contents

| | | |
|-------|---|----|
| 1.0 | Introduction | 1 |
| 1.1 | Purpose | 1 |
| 1.2 | Authority..... | 1 |
| 1.3 | General Principles..... | 1 |
| 1.4 | The RSIP Process Model..... | 3 |
| 1.5 | Major Elements of the RSIP Process Tasks..... | 3 |
| 2.0 | Task 1: Initial Agreement..... | 7 |
| 2.1 | Overview..... | 9 |
| 2.2 | Identify the Stakeholders..... | 10 |
| 2.2.1 | Suggested Methods and Tools..... | 10 |
| 2.2.2 | Pointers..... | 12 |
| 2.3 | Define the RSIP Boundaries | 13 |
| 2.3.1 | Suggested Methods and Tools..... | 13 |
| 2.3.2 | Pointers..... | 14 |
| 2.4 | Develop a Regional Planning Summary | 15 |
| 2.4.1 | Suggested Methods and Tools..... | 15 |
| 2.4.2 | Pointers..... | 17 |
| 2.5 | Generate a Statement of Purpose | 18 |
| 2.5.1 | Suggested Methods and Tools..... | 18 |
| 2.5.2 | Pointers..... | 18 |
| 2.6 | Define the Planning and Implementation Teams..... | 19 |
| 2.6.1 | Suggested Methods and Tools..... | 19 |
| 2.7 | Identify and Assign Process Roles..... | 21 |
| 2.7.1 | Suggested Methods and Tools..... | 21 |
| 2.7.2 | Pointers..... | 22 |
| 2.8 | Prepare a Work Plan | 23 |
| 2.8.1 | Suggested Methods and Tools..... | 23 |
| 2.9 | Initial Agreement Products..... | 24 |
| 3.0 | Task 2: Existing Situation Assessment | 25 |
| 3.1 | Overview..... | 26 |
| 3.2 | Data Collection | 27 |
| 3.2.1 | Suggested Methods and Tools..... | 27 |
| 3.2.2 | Pointers..... | 28 |
| 3.3 | Regional Profiles..... | 29 |
| 3.3.1 | Suggested Methods and Tools..... | 29 |
| 3.3.2 | Pointers..... | 33 |

| | | |
|-------|--|----|
| 3.4 | Information Assessment | 34 |
| 3.4.1 | Suggested Methods and Tools | 34 |
| 3.4.2 | Pointers..... | 34 |
| 3.5 | Existing Situation Assessment Products | 35 |
| 4.0 | Task 3. Visioning..... | 36 |
| 4.1 | Overview..... | 37 |
| 4.2 | Suggested Methods and Tools | 38 |
| 4.3 | Pointers..... | 42 |
| 4.4 | Visioning Products..... | 44 |
| 5.0 | Task 4. Analysis | 45 |
| 5.1 | Overview..... | 46 |
| 5.2 | Suggested Methods and Tools | 47 |
| 5.3 | Pointers..... | 48 |
| 5.4 | Analysis Products | 49 |
| 6.0 | Task 5. Alternatives Evaluation..... | 50 |
| 6.1 | Overview..... | 51 |
| 6.2 | Evaluation and Recommendations..... | 52 |
| 6.2.1 | Suggested Methods and Tools..... | 52 |
| 6.2.2 | Pointers..... | 54 |
| 6.3 | Preferred Alternative Selection..... | 55 |
| 6.3.1 | Suggested Methods..... | 55 |
| 6.3.2 | Pointers..... | 56 |
| 6.4 | Alternatives Evaluation Products..... | 56 |
| 7.0 | Task 6: Strategic Action Plan..... | 57 |
| 7.1 | Overview..... | 58 |
| 7.2 | Suggested Methods and Tools | 59 |
| 7.3 | Pointers..... | 60 |
| 7.4 | Strategic Action Plan Products..... | 61 |
| 8.0 | Task 7: Implementation..... | 62 |
| 8.1 | Overview..... | 63 |
| 8.2 | Suggested Methods and Tools | 64 |
| 8.3 | Implementation Products..... | 66 |

9.0 Task 8: Validation67

 9.1 Overview.....68

 9.2 Suggested Methods and Tools69

 9.3 Validation Products.....72

1.0 INTRODUCTION

1.1 Purpose

This instruction describes the Regional Shore Infrastructure Planning (RSIP) process that results in the Overview and Functional Plans of the shore establishment regions, Navy concentration areas (NCA), and stand-alone activities.

The RSIP process is the key policy instruction in the new Comprehensive Regional Planning Instruction (CRPI). This instruction will be closely coordinated with the development of the CRPI and updated and revised on a regular basis to ensure that direction for regional planning remains consistent with planning efforts across the Navy.

1.2 Authority

The Chief of Naval Operations has delegated the authority to establish program standards for regional planning to the Naval Facilities Engineering Command in *Command Responsibility for Shore Land and Facilities Planning* (OPNAVINST 11000.16A Change 1). This instruction provides the process model, suggested methods, tools, and pointers needed to produce the plans and products that meet the standards directed by OPNAVINST 11000.16A Change 1.

1.3 General Principles

The Navy is taking a comprehensive regional approach to planning for how resources, facilities, and infrastructure are managed to carry out the mission of the Navy and each individual region, NCAs, and stand-alone activities. The Navy has three policy objectives for regional planning:

- Reduce Footprints and Costs
- Increase Existing Capabilities and Sustainability
- Maximize Efficiencies

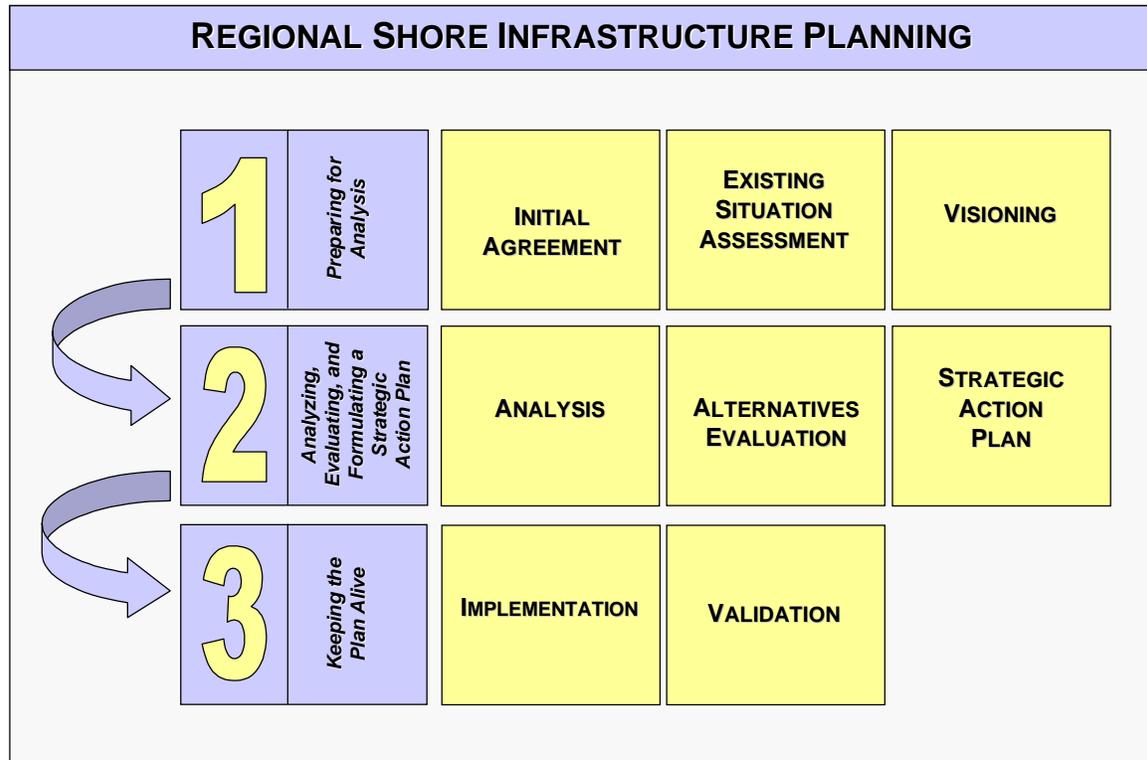
The RSIP process helps define what types of resource conditions, infrastructure uses, and management actions will best achieve those objectives. Navy regions can realize regional planning goals and objectives through the RSIP process by:

- Minimizing requirements and optimizing the existing uses.
- Optimizing the use, economy, and investment strategies of infrastructure.
- Identifying efficient utility systems and infrastructure to achieve energy conservation goals.
- Analyzing and recommending mutually beneficial uses with other services, federal, state and local agencies, and the private sector.
- Recommending a variety of facility management methods.
- Adopting a policy of “cradle-to-cradle” lifecycles for facilities through more flexible design and adaptive reuse.
- Recognizing the environmental association of all planning recommendations and providing ecologically sustainable solutions that support and enhance the regional shore establishment.

The Navy will use the RSIP process to bring logic, analysis, a regional perspective, and accountability into the decision-making process.

- *Logic* – Regional planning and decision-making will be conducted as a continuous, dynamic process that extends from broad visions shared with the regional command organization and essential stakeholders to individual, strategic work assignments and action steps. Each region will be able to demonstrate to command, decision-makers, staff, and the surrounding communities how decisions relate to one another in terms of a logical, traceable rationale.
- *Regional Perspective* – The RSIP process will ensure that the Navy fully understands and considers the regional interests of the military missions as part of their national heritage, cultural traditions, and community surroundings. To the maximum extent possible, the Navy will actively seek out and consult with existing and potential neighbors, other military services, government agencies, and community and private sector partners. The Navy will work to improve the condition of the shore establishment, and to integrate them into sustainable ecological, cultural, and socioeconomic systems.
- *Accountability* – Regional command organizations and planners will be held accountable for identifying and accomplishing short- and long-term planning strategies as incremental and measurable steps resulting in improved shore establishment support to the Navy mission. Regional Shore Infrastructure Planning is a critical and essential part of the Navy regionalization system, designed to improve the overall performance and capabilities of Navy regions.

1.4 The RSIP Process Model



1.5 Major Elements of the RSIP Process Tasks

Each task in the RSIP model contains suggested methods, tools, pointers, and products intended to assist Navy regions through the RSIP process. Each task is broken down into six sections entitled:

- RSIP Process Model (highlighting focused task)
- Task Suggested Methods Table
- Overview
- Suggested Methods and Tools
- Pointers
- Task Products

It should be noted that initially as this Instruction is distributed, there may not be a “Pointers” section for each task. As more RSIPs are undertaken and specific “pointers” are developed, they will be included in this Instruction.

None of the suggested methods found in the tasks is mandatory. Regional command organizations and Planning Teams may tailor their methods based on specific needs, so long as each task is addressed and the general model is followed, and the resulting plan meets the policy standards outlined in OPNAVINST 11000.16A Change 1 and this instruction. However,

following the suggested methods for each task will result in a more dependable plan consistent with the objectives for Navy regional planning.

This instruction reflects new regional planning methods tried and tested in the field so far. As additional plans are produced, the suggested methods, tools, pointers, and products in the RSIP process will be expanded to capture the additional experience and expertise. Also, as part of RSIP policy and guidance but separate from this instruction, examples will be collected and included in the RSIP Policy Topic of the CRPI.

A summary of each of the eight RSIP process tasks long with key elements for each can be found in Table 1a.

Table 1a

RSIP Process Tasks and Key Elements

| RSIP PROCESS TASK ELEMENTS | |
|--|--|
| Task 1: Initial Agreement | <p><i>Provides a foundation and focus for the RSIP Process by identifying how the RSIP process should proceed, who will participate, and what the expectations and limits are.</i></p> <ul style="list-style-type: none"> • Stakeholders List – Identifying essential decision-makers and key participants in the RSIP process, as well as those individuals or groups affected by the RSIP plan. • RSIP Boundaries – Establishing the functional, geographic, and organizational boundaries for the RSIP plan. • Regional Planning Summary – Recognizing the command responsibility for the RSIP process and developing a funding plan. • Statement of Purpose – Defining overall goals and objectives for the RSIP process, its tasks, and the plan. • Teams – Defining the Planning Team, Implementation Team, and Working Groups for the RSIP process. • Work Plan – Assigning task responsibilities and preparing a Plan of Action and Milestones and scope of work for the RSIP process. |
| Task 2: Existing Situation Assessment | <p><i>Promotes a comprehensive understanding of the region by capturing the unique character, issues, and concerns of the shore establishment and shore infrastructure.</i></p> <ul style="list-style-type: none"> • Data Collection – Providing the means of gathering existing regional data from Navy and non-Navy sources. • Regional Profiles – Summarizing regional data into useful characterizations and planning information. • Information Assessment – Identifying the region’s strengths, weaknesses, opportunities, and constraints through a careful examination, evaluation and appraisal of the regional data. |

RSIP PROCESS TASK ELEMENTS

Task 3: Visioning

A new strategic planning methodology within the RSIP process for generating a collective vision of the future and defining the planning requirement.

- **Visioning Framework** – Establishing the ground-rules for testing the plausibility of the future through Visioning. Includes the planning timeframe, key issues, critical uncertainties, current trends, and predetermined future elements.
- **Driving Forces** – Defining the societal forces that will characterize the regional vision of the future.
- **Strawman Scenarios** – Providing optional scenario visions and testing the Visioning Framework and selected Driving Forces prior to the Vision Session.
- **Vision Session** – Developing the Future and Preferred Scenarios in a collaborative group exercise that is the central component of Visioning.
- **Future Scenarios** – Establishing distinct and plausible scenario visions of the future.
- **Preferred Scenario** – Selecting the most likely Future Scenario.
- **Planning Requirement** – Translating the Preferred Scenario vision into infrastructure-focused future RSIP requirements.
- **Vision Metrics** – Identifying the means to measure alternatives against the Preferred Scenario and Planning Requirement.

Task 4: Analysis

Prepares a number of options that answer all infrastructure questions raised by the Preferred Scenario, satisfy the Planning Requirement, and address regional planning goals to reduce footprints and costs, increase existing capabilities, and maximize efficiencies.

- **Alternatives** – Generating distinct and viable infrastructure Alternatives for transitioning from existing to preferred situations in the region. Includes individual proposals and courses of action for the components of shore infrastructure.

Task 5: Alternatives Evaluation

Critically evaluates the Alternatives developed during Analysis and prepares recommendations that lead to the selection of a Preferred Alternative.

- **Evaluation Recommendations** – Comparing how well the Alternatives support the regional vision of the future and satisfy the regional requirements for infrastructure. Includes an evaluation of the advantages, disadvantages, and potential conflicts, and an appraisal against the Vision Metrics for each Alternative.
- **Preferred Alternative** – Selecting an Alternative that is preferred by Stakeholders, achieves a balance among varying interests, measures up well against the Vision Metrics, and has built-in flexibility.
- **Strategic Issues** – Identifying and prioritize resource and condition issues that will impact the development of strategic actions needed to implement the Preferred Alternative.

RSIP PROCESS TASK ELEMENTS

Task 6: Strategic Action Plan

Translates the long-term planning proposals of the RSIP plan into assigned and consequential implementation actions.

- **Action Steps** – Designating small achievable steps for each proposal in the RSIP plan and assigning them to individuals or organizations that will be held accountable during Implementation.
- **Timeline** – Defining the chronology of individual and related Action Steps and major milestones based on priorities, relationships, dependencies, and resources.
- **Resources** – Itemizing funding, policy and guidance, equipment, technology, information, people, and other resources needed for each Action Step.
- **Performance Metrics** – Establishing acceptable limits and consequences for implementing each Action Step.

Task 7: Implementation

Represents the day-to-day execution of the Strategic Action Plan and the physical and procedural realization of the RSIP plan.

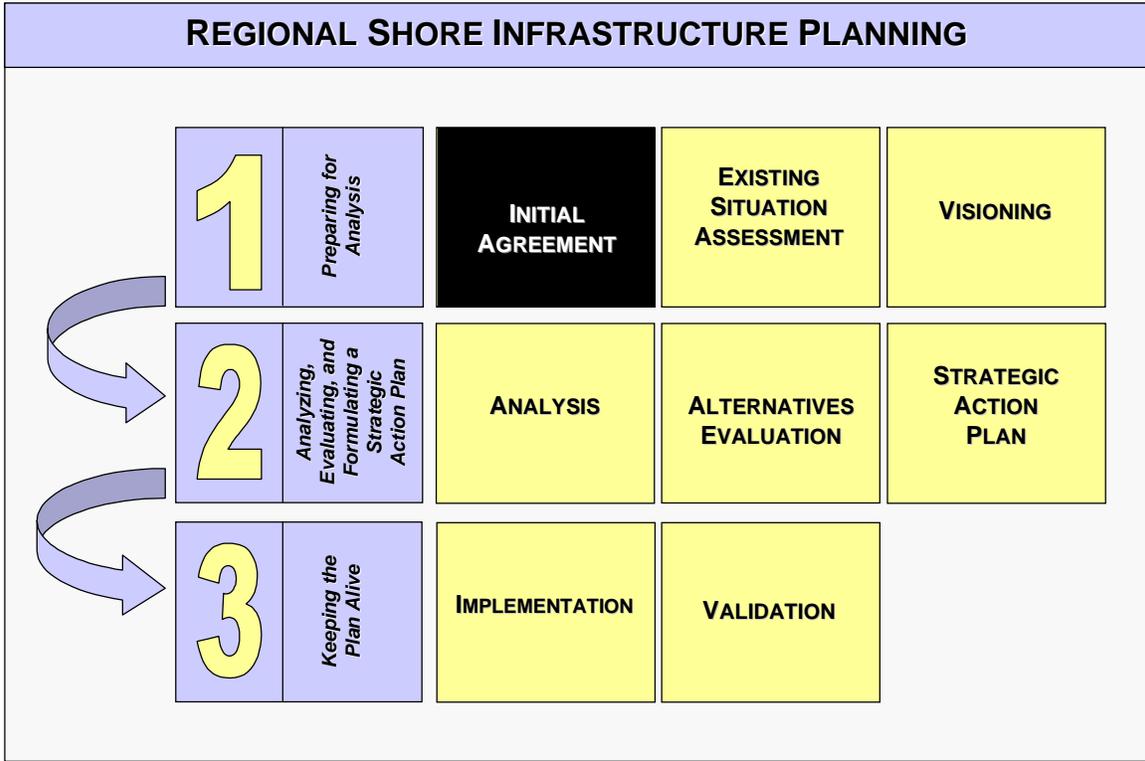
- **Implementation Oversight Committee** – Providing responsible supervision of Implementation by the regional command organization and planners. Includes the review, monitoring, and administration of the Strategic Action Plan.
- **CRPI Policy Topics** – Initiating planning and planning-related processes to assist in the realization of the RSIP plan.

Task 8: Validation

Enables the RSIP plan to remain current and relevant by continuously monitoring the changing dynamics of the region and recommending revisions, updates, and new RSIP processes.

- **Validation Schedule** – Developing a reporting schedule for regional changes affecting the RSIP plan as part of the Implementation Oversight Committee.
- **Task Elements Review** – Monitoring the elements of Tasks 1, 2, 3, and 6 for dramatic shifts in regional condition.

2.0 TASK 1: INITIAL AGREEMENT



| INITIAL AGREEMENT |
|--|
| Identify Stakeholders <ul style="list-style-type: none"> • Compile a list of Stakeholders for the RSIP process. • Classify each Stakeholder by typology as either a possible key participant, an essential decision-maker, or a Stakeholder merely influenced by the outcome of the RSIP process. |
| Define the RSIP Boundaries <ul style="list-style-type: none"> • Define the Functional Boundaries for the RSIP. • Define the Geographic Boundaries for the RSIP. • Define the Organizational Boundaries for the RSIP. |
| Develop a Regional Planning Summary <ul style="list-style-type: none"> • Identify the responsibilities of the regional command organization for the RSIP process. • Define primary and secondary IMC responsibilities for the RSIP process. • Develop a funding plan for the RSIP process. |

| INITIAL AGREEMENT |
|---|
| Generate a Statement of Purpose |
| <ul style="list-style-type: none"> • <i>Develop three or more Purpose Statements that clearly and specifically state the purpose, significance, and mission goals for the RSIP process.</i> • <i>Define specific Task Objectives for each of the subsequent tasks of the RSIP process.</i> |
| Define the Planning and Implementation Teams |
| <ul style="list-style-type: none"> • <i>Define the participants of the Planning Team.</i> • <i>Define the participants of the Working Groups.</i> • <i>Define the participants of the Implementation Team.</i> |
| Identify and Assign Process Roles |
| <ul style="list-style-type: none"> • <i>Assign planning roles to the Planning Team members for each of the RSIP process tasks.</i> • <i>Assign planning roles to the Working Group members for each of the RSIP process tasks.</i> • <i>Assign planning roles and tentative implementation roles to the Implementation Team members.</i> |
| Prepare a Work Plan |
| <ul style="list-style-type: none"> • <i>Prepare a POA&M for the RSIP process.</i> • <i>Define the proposed products for the RSIP plan and each RSIP process task.</i> • <i>Prepare a Statement of Services or Scope of Work for the RSIP process.</i> |

2.1 Overview

The Initial Agreement represents the foundation of the Regional Shore Infrastructure Planning Process. It provides the framework for how the RSIP will be developed, who the players are and what their roles and responsibilities will be. It also provides the focus of the plan and sets its boundaries. Finally, it identifies the Stakeholders, Planning and Implementation Teams who will participate in the RSIP process, and establishes the funding, projected deliverables and schedule for the RSIP process. Time spent clearly defining the framework of the RSIP in this task will help alleviate problems as the RSIP process unfolds.

The Initial Agreement Task is comprised of seven key steps:

- Identify the Stakeholders
- Define the RSIP Boundaries
- Develop a Regional Planning Summary
- Generate a Statement of Purpose
- Define the Planning and Implementation Teams.
- Identify and Assign Process Roles.
- Prepare a Work Plan.

2.2 Identify the Stakeholders

Stakeholders are those persons and groups that will either directly or indirectly influence or be influenced by the RSIP process. Stakeholders come from the military community and the surrounding civilian communities. They are all critical to the RSIP process whether they participate directly in the process or are just impacted by its outcome.

In addition to those impacted by the RSIP process, the Stakeholders can also be thought of as a resource pool of essential and key participants in the RSIP process. Key Stakeholders can provide information on the region and functional areas, they can help define the future vision of the region, they can help craft the strategies and actions of the plan, and, most importantly, they can take responsibility for implementing the plan when the process is complete. Essential Stakeholders can provide direction and control of the process and establish the goals and objectives of future visioning. They can evaluate and select alternatives, approve the strategic action plan, and provide essential decisions along the way.

This step includes compiling a list of Stakeholders and classifying each of them for their potential roles in the RSIP process.

2.2.1 Suggested Methods and Tools

Compile a list of Stakeholders for the RSIP process.

Stakeholders should be drawn from a diverse organizational, discipline, and expertise background. The Stakeholder list will be used later in the Initial Agreement task as a source for identifying the participants of the planning team, its working groups, and the essential decision-makers of the RSIP process. It should also be used throughout the RSIP process as a reference source of who in the region is involved in and impacted by the regional plan. Possible Stakeholders include:

IMC representatives – A Stakeholder who brings a regional perspective on Base Operating Support services. The IMC should be considered for participation in certain RSIP tasks, particularly Visioning. If multiple IMCs have interest within the region, all should be included.

Regional Commander – The key participant in the development of the RSIP Overview or Functional Plan. Establishes the regional perspective of the plan and ensures Regionalization efforts are integrated into regional planning. The regional commander maintains the property records, current base maps, and data sets that will be used in the RSIP process.

Functional Area Managers (Assistant Chief of Staff (ACOS) and Program Managers) – These participants provide the most direct link between Regionalization initiatives and the RSIP process.

Commanding Officers – Many of these may be included as functional area managers because of their role as program manager or ACOS. They may also include COs of stand-alone activities, activities within an NCA, or as COs of major tenant commands or fleet operating units.

Executive Steering Committee – Participates in the RSIP process as a group. May be made up of other Stakeholders.

Regional Advisory Board – Participates in the RSIP process as a group. May be made up of other Stakeholders.

Fleet Operating Unit representatives – Provides an operating force, mission perspective on the RSIP process. Fleet operating units such as carrier groups and destroyer squadrons have a significant impact on and special interest in shore issues, including MWR, housing, port operations, and ship maintenance.

Integrated Logistics Support (ILS) representatives – The Program Executive Office (PEO) or Systems Command (SYSCOM) are included as Stakeholders when decisions on home-porting for new weapons systems are made, such as when a new class of ships is under design and projected for a region. ILS representatives can provide key information on the infrastructure requirements of the new weapons systems and help explain decisions that will affect shore infrastructure.

Public Works Centers (PWCs) – To include those who work directly with the shore infrastructure of a region and know what is required to implement planning actions or that have BOS responsibilities within the region.

NAVFACENGCOCOM Engineering Field Division or Activity (EFD/A) – The EFD/A could provide several different Stakeholders for the RSIP process. They could lead or participate on the planning team or they could facilitate contracting with an outside consultant. They can also provide “subject matter experts” in the areas of environmental, cultural resources, natural resources, AICUZ/RAICUZ, utilities, etc. The EFD organization is structured to provide Liaison Officers (LnO) who have specific interface responsibilities between the EFD and NAVFAC clients. The LnO is the single point of accountability for all business lines for the client. (See the NAVFAC intranet for specific organizational elements designed to interface with the NAVFAC clients).

DoD Service representatives – To include representatives from the Army, Air Force, Marine Corps, and Reserves if they are included within the boundaries of the region.

Federal Agency representatives – To include representatives from the Coast Guard, General Services Administration (GSA), Fish and Wildlife Service, National Park Service, Federal Aviation Administration, or others.

State and Local Officials – These may include planning, transportation, environmental, and economic development agencies, port authorities, or others.

Community or Civic Groups – These may include environmental groups, groups with recreational marine interests, civic organizations with interests bordering on Navy property, or others.

Business Groups – These may include private shipyards, commercial pier owners, or others.

Classify each Stakeholder by typology as either a possible key participant, an essential decision-maker, or a Stakeholder merely influenced by the outcome of the RSIP process.

Not every Stakeholder has an equal role in the RSIP process. While every Stakeholder is important, there are different roles and different settings for Stakeholders to present their unique perspectives.

The designation as “essential decision-maker” should be given to Stakeholders that are needed to move the RSIP process forward. The regional commander should be an essential decision-maker but other representatives from regional command organizations and command leadership may vary.

The designation as “key participant” should be given to Stakeholders who have the expertise and the time to actively participate in the RSIP process. These Stakeholders should be those who will participate in every task of the process and those who will provide limited but key insight into one or more tasks. Key participants should be drawn on to be on the planning team and in its working groups.

The designation as a Stakeholder “influenced by the outcome of the RSIP process” should be given to those regional players that may not have a direct relationship with the infrastructure of a region but that rely heavily on that infrastructure as a part of the regional community. These Stakeholders should be those who provide secondary, but no less important, perspectives on the RSIP process. They should be given a voice in the RSIP process but expected to participate in fewer tasks than Stakeholders designated as “key participants.”

2.2.2 Pointers

A preliminary list of Stakeholders may be developed and presented to the regional commander for approval. This list should be as broad and inclusive as possible. It will help the regional commander and final signatories of the Initial Agreement identify and classify all persons and groups with interest in the RSIP process and its outcome.

To better understand the essential decision-making structure of the region, develop a decision matrix showing how decisions are made. A decision matrix will not only help in understanding how the completed RSIP plan might be implemented, but will also help the Planning Team facilitate the RSIP process to include essential decision-making Stakeholders throughout.

2.3 Define the RSIP Boundaries

The boundary definitions for RSIP are functional, geographic, and organizational, and work together at setting clear limits for the RSIP process. These three classifications are aimed at laying out the physical and more practical margins of both the process and the plan prior to getting started. The regional commander is the key participant in defining boundaries for the proposed RSIP process and should be assisted by the IMC.

2.3.1 Suggested Methods and Tools

Define the Functional Boundaries for the RSIP process.

The Functional Boundaries define the proposed RSIP process as producing either an Overview Plan or a Functional Plan. Either of these plans should be distinguished as follows:

The Overview Plan addresses the relationships between functional areas and their integration into a comprehensive infrastructure plan within the context of the region, an NCA, or a stand-alone activity. The scope of the Overview Plan is broad, including functional relationship issues and larger infrastructure strategies that cut across all existing and proposed functional areas.

The Functional Plan focuses on an individual functional area within the context of the region, an NCA, or a stand-alone activity. It addresses the functional area in relation to traditional geographic and organizational boundaries within a regional context. It provides an in-depth, focused analysis of functional area and its issues within the region and integrates them into a comprehensive infrastructure plan.

Define the Geographic Boundaries for the RSIP process.

The Geographic Boundaries of the RSIP represent the geographic extent of the plan. They may be defined as an entire region or as a single Navy Concentration Area (NCA) within a region, such as the San Diego Area within the Southwest Region, or a number of stand-alone activities. Stand-alone activities, as defined by OPNAVINST 11000.16A, are those activities within a specific Navy region that are not within an NCA. Examples of stand-alone activities include Naval Air Station Lemoore and Naval Air Facility El Centro in the Southwest Region. They are part of the region but are not part of the San Diego NCA.

In some cases, a specific geographic area may be excluded from an RSIP because of funding or specific planning issues. Designating a geographic area as beyond the scope of the RSIP should only be done with careful thought. The intent of regional planning is to broaden the perspective in which planning takes place; if installations are excluded from regional plans or planned without considering the entire regional context, the RSIP process is undermined.

Define the Organizational Boundaries for the RSIP process.

Organizational Boundaries refer to the organizational elements, both Navy and non-Navy, to be included in the RSIP process. These may include:

- Navy shore commands
- Secondary IMCs
- DoD Services (Army, Air Force, Marine Corps, or Reserves)
- Federal governmental agencies (Coast Guard, GSA, etc.)
- State and local government agencies (the local city government, local port authority, etc.)
- Non-profit organizations and institutions (environmental groups, colleges, and universities)
- Business groups and private-sector companies (private shipyards, banks, bowling alleys, etc.)

2.3.2 Pointers

It may be helpful to develop a RSIP Boundaries “strawman” that can be submitted to the regional commander for discussion and eventual approval. Potential boundaries should be identified as best as possible and, if necessary, discussed further with the regional command organization and Stakeholders.

Establish fair and reasonable boundaries for the RSIP process. Once this is done, stick to them when developing the Overview or Functional Plan. It may be practical to set the RSIP Boundaries on a single NCA for an initial RSIP process, leaving a number of stand-alone activities out. To minimize confusion, keep the initial RSIP process focused on the NCA, record the opportunities and dead-ends reached in relation to the stand-alone activities, and use Task 8: Validation to come back and adjust the RSIP Boundaries for their inclusion in a second and/or third RSIP process.

2.4 Develop a Regional Planning Summary

The purpose of the Regional Planning Summary is to clearly determine the responsibilities of the regional command organization and IMC(s) for the RSIP process to be undertaken. In simple terms, the Regional Planning Summary establishes who is in charge. It also establishes who will pay for it through the development of a funding plan that will ensure the success of the proposed RSIP process.

2.4.1 Suggested Methods and Tools

Identify the responsibilities of the regional command organization for the RSIP process.

The regional commander has primary responsibility for RSIP; but in most regions, the regional commander will establish a form of regional command organization that is responsible for managing regional planning, the RSIP process, and overall Regionalization initiatives.

Regional command organizations will vary but are generally comprised of the regional commander and Assistant Chiefs of Staff (ACOS), program managers, and/or functional area managers, etc. For purposes of clarity in this instruction, ACOSs, program managers, and functional area managers will be referred to collectively in the latter title—Functional Area Manager. The areas represented by the functional area managers in any one regional command organization may vary from region to region but should include various functions such as:

- Air Operations
- Base Services and Infrastructure
- Community Support and Morale, Welfare, and Recreation (MWR)
- Energy
- Housing
- Information Technology (IT) and Communications
- Logistics, Supply, and Fuels
- Maintenance
- Medical and Dental
- Ordinance and Weapons
- Port or Waterfront Operations
- Public Safety
- Research, Development, Testing, and Evaluation (RDT&E)
- Training, Readiness, and Ranges

Define primary and secondary IMC responsibilities for the RSIP process.

The success of any regional plan is dependent on the cooperation of the organizations involved. In regions where there are shore activities under the command of two or more IMCs, it is important to define the primary and secondary roles for the RSIP process. For example, a region might have both naval air stations and naval stations under a fleet IMC and a naval shipyard under Naval Sea Systems Command (NAVSEA). In this case, the regional commander should make initial contact with both the fleet IMC and NAVSEA and coordinate the participation of each. The regional commander should obtain an agreement from each IMC that defines specific roles and responsibilities and documents joint funding, if appropriate, for the RSIP process.

Develop a funding plan for the RSIP process.

The funding plan establishes the “order of magnitude” cost and the funding sources for the RSIP process to be undertaken. It takes into account the functional, geographic, and organizational boundaries defined under the RSIP Boundaries (see Section 2.2). It is also affected by the definition of the planning team (see Section 2.6) and whether the RSIP process is to be accomplished in-house, or by a NAVFACENGCOCOM Engineering Field Division or Activity (EFD/A), or by contractor or other means.

RSIP funding is, generally, the responsibility of the lead IMC within the region. In regions where there are two or more IMCs represented, other IMCs might share the funding responsibility. Other shared-funding sources may also be appropriate depending on the boundaries established for the RSIP. For example, if other DoD components or federal agencies, such as the Coast Guard, are included within the boundaries of the RSIP, it may be appropriate to seek financial resources from them.

OPNAVINST 11000.16A outlines the CNO Shared-Funding Program that provides a process for IMCs to nominate regional studies, including RSIP Overview and Functional Plans for CNO shared-funding. This program has a specific schedule for nominations; so it is important to anticipate the time required for submitting the proposed RSIP process.

The regional commander should take the lead in seeking both IMC and CNO funds for RSIP development.

2.4.2 Pointers

Regions may establish an executive steering committee or a regional advisory board that is comprised of functional area managers, IMC representatives, and commanding officers of major tenant commands and fleet operating units. These groups should be considered for their participation in the RSIP process.

Existing regional command organizations formed to support Regionalization may also help guide the development of the RSIP process.

If no regional command organization exists that, in its present form, could support the RSIP process, an organization “strawman” should be proposed to the regional commander to begin the Regional Planning Summary step.

2.5 Generate a Statement of Purpose

The Statement of Purpose gives direction to the RSIP process by establishing overall goals and objectives for both the process and the plan. It identifies the primary implications of both the RSIP process and its plan on the region. The Statement of Purpose starts with the Navy goals and CRPI policy objectives for regional planning, but focuses in specific regional terms on the intentions for the RSIP process. The Statement of Purpose should contain clear and specific purpose statements for the overall process and task objectives for each process task.

2.5.1 Suggested Methods and Tools

Develop three or more Purpose Statements that clearly and specifically state the purpose, significance, and mission goals for the RSIP process.

Integrate regional planning, Regionalization, and mission goals and objectives for both the Navy and the region into the Purpose Statements. Start by translating the three key CRPI policy objectives from OPNAVINST 11000.16A Change 1—to reduce footprints and costs, increase existing capabilities and sustainability, and maximize efficiencies—into region-specific rationale for the RSIP process. Region-specific planning goals from the IMC or regional commander should also be integrated into the Purpose Statements. Specific Regionalization and mission goals can also be integrated as significant implications and expectations for the RSIP process.

Define specific Task Objectives for each of the subsequent tasks of the RSIP process.

The Task Objectives can be used as a framework for each subsequent process task in the RSIP process. Use the overall Purpose Statements generated above to further delineate these objectives. A reference to the RSIP Boundaries may also be helpful. Ask yourself and answer, “what is the objective of the Existing Situation Assessment,” “...of Visioning,” “...of Analysis,” etc.

2.5.2 Pointers

Avoid writing Purpose Statements or Task Objectives that are too general or that don’t apply to the specific region and RSIP process.

Avoid quoting any vague language that is open to differing interpretations.

2.6 Define the Planning and Implementation Teams

There is both a Planning Team and an Implementation Team required for the RSIP process. Working Groups are also needed to support both teams throughout the process. This Initial Agreement step should be used to identify who will participate on each team and in each group.

The Planning Team helps guide and facilitate the RSIP process by organizing meetings, assessing and analyzing information, managing participation and decisions, and producing final products. It may be led “in-house” by planning members from within the regional command organization or a NAVFACENGCOM EFD/A. It may also include “subject matter experts” such as environmental planners, cultural and natural resource specialists, real estate specialists, and others drawn from a number of organizational sources. A contracted planning consultant may also lead the Planning Team. In this case, EFD/A representatives would manage the contract and government “subject matter experts” might review findings along the way. The Planning Team must act as manager, teacher, facilitator, researcher, analyst, and detailed planner; and should incorporate and encourage participation by Stakeholders to ensure the RSIP process remains holistic and comprehensive.

The Implementation Team will primarily be responsible for initiating, organizing, and overseeing implementation actions as outlined in Task 7: Implementation. They should also be actively involved in the development of the Strategic Action Plan in Task 6. At least some members of the Implementation Team should have experience in developing strategic business plans. Members of the Implementation Team should also be considered for participation in earlier tasks of the RSIP process to ensure that more realistic and practical solutions are proposed and carried forward. Although most of the members of this team can be drawn directly from the list of Stakeholders, some should also come from the Planning Team.

The Working Groups provide technical expertise in specific functional areas and as part of distinct professional disciplines related to planning and implementation. The Working Groups should be “subject matter experts” able to support the Planning and Implementation Teams with detailed, focused assignments throughout the RSIP process. The functional area experts may be drawn from the regional command organization or NAVFACENGCOM EFD/As or from other sources. They may be assigned a specific task or step within a task or be placed “on-call” for issues that might arise later in the process.

2.6.1 Suggested Methods and Tools

Define the participants of the Planning Team.

There should be a clear distinction in the Planning Team between active participants—essentially, the core Planning Team—and those that participate by providing regional leadership and decision-making. A professional planner should lead the core Planning Team. Regional leaders, like the regional commander and others, should be encouraged to participate in the RSIP process as much as possible, even to become part of the core Planning Team. However, at a minimum, the Planning Team should have a designated component that will make essential decisions along the way.

Define the participants of the Working Groups.

Clearly identify the professional disciplines and “subject matter experts” that are available to support the RSIP process by using an internal audit of regional personnel and organizations. This is also an opportunity to include Stakeholders affected by the RSIP process that might otherwise not have an opportunity to be a part of the process. This might be a number of community groups from the surrounding region that could be assigned Working Groups supporting the efforts in the Existing Situation Assessment or Visioning tasks.

Define the participants of the Implementation Team.

This is a perfect opportunity to include organizations and individuals in the RSIP process that would otherwise react to planning decisions during implementation. These might include environmental organizations and National Environmental Policy Act (NEPA) specialists or facility management organizations developing construction project documentation and managing design, build, and maintenance efforts.

2.7 Identify and Assign Process Roles

Once the Planning and Implementation Teams are established, it is important to align the teams with specific tasks in the RSIP process. The goals of the Initial Agreement are not only to define the Planning and Implementation Teams early in the process and to include as many Stakeholders as possible, but also to assign participation in each task fairly and appropriately. Not every team or group member will participate in every planning task. Stakeholders with unique expertise may participate in one task or more and not another. It is important to review the tasks in the RSIP process and clearly define who will participate in each and then define specific roles and responsibilities. Once the roles and responsibilities are designated, they should be communicated to all team and group members.

2.7.1 Suggested Methods and Tools

Assign planning roles to the Planning Team members for each of the RSIP process tasks.

Include assignments for both core members and the regional leadership and decision-making members of the Planning Team. There should at least be a team leader and an associate team leader assignment within the core members of the Planning Team. Assignments should then also be given for remaining core members for each RSIP process task.

The regional leadership and decision-making members may be assigned to each task, but should at least be assigned to:

- Task 1: Initial Agreement (if it is organized into separate steps)
- Task 2: Existing Situation Assessment (where they are responsible for data sources)
- Task 3: Visioning (where the future vision of the region is established)
- Task 4: Analysis (when alternatives are developed to satisfy regional planning goals)
- Task 5: Alternatives Evaluation (where decisions are made on infrastructure proposals)
- Task 6: Strategic Action Plan (to provide final approval of the RSIP solutions).

Assign planning roles to the Working Group members for each of the RSIP process tasks.

Assure that each Working Group member is aware of the expertise they are expected to bring to the RSIP process.

Assign planning roles and tentative implementation roles to the Implementation Team members.

Clearly define the roles and responsibilities for these members in Task 6: Strategic Action Plan and Task 7: Implementation. Other tasks can be assigned as appropriate.

2.7.2 Pointers

Many of the RSIP process tasks rely on the interaction of one or more of the Planning or Implementation Teams or Working Groups in concert with one another. The Visioning task for example, requires both a managing group and at least one participation group. The managing group can best perform preparation due-diligence and follow the task with appropriate summation and documentation. The participation group(s) should come from a broader group of decision-makers and technical experts. For this task example and all RSIP process tasks, make sure the assignments and group relationships are clearly defined and communicated.

Be sure not to lose control of the RSIP process by decentralizing too many tasks and over-assigning roles and responsibilities. A successful RSIP process is one that understands who is running the show, who is in charge, who has final say, and where the show is going. Assign roles accordingly and rely on the Planning Team to maintain control.

2.8 Prepare a Work Plan

The RSIP process requires a Work Plan that outlines products, schedules, and milestones as a clear definition of expectations. The Work Plan contains a general project Plan of Action and Milestones (POA&M), a list of products for both the overall plan and each RSIP process task, and if necessary, a Statement of Services (SOS) or Scope of Work (SOW) for contracted planning services. Intermediate and final products are to be identified and the RSIP process is to be aligned with a calendar schedule. The POA&M identifies various RSIP milestones; including beginning, ending, and product delivery dates; dates for presentations and meetings between teams, groups, and the regional command organization; and expected decision points in the process. The SOS or SOW should clearly define products and delivery schedules. The entire Work Plan needs to be distributed to the entire Planning Team and all participating Stakeholders.

2.8.1 Suggested Methods and Tools

Prepare a POA&M for the RSIP process.

Begin by setting each of the RSIP process tasks as one or more action items. Expand each of these tasks as appropriate and organize them in relationship to one another. Milestones can be set based on a progression of submissions through the tasks and their products (Initial Agreement, Existing Situation Assessment, etc.) or they can be grouped and the milestones set by the calendar through versions (draft, prefinal, final) or percent complete (35%, 65%, 95%, etc.).

Define the proposed products for the RSIP plan and each RSIP process task.

Each of the task products in this RSIP Instruction should be reviewed and adjusted for the specific region and RSIP process to be addressed. This instruction contains a list of products for each task; however, this instruction also recognizes that Overview Plans and Functional Plans in general may be very different and that they each may vary individually from region to region. This regional product flexibility, as far as it goes, is built into the RSIP process. Any one plan might be better suited as a land use plan and map set or as a business management plan. Interpreting individual products to fit the region should be done in this step.

Prepare a Statement of Services (SOS) or Scope of Work (SOW) for the RSIP process.

A Navy contracting official from the regional command organization or the NAVFACENCOM EFD/A should develop a SOS or SOW if a planning contractor is to be used. A SOS or SOW is also highly recommended when the RSIP is being done with in-house forces. This provides a definitive description for all concerned (customer, IMC, planning team, etc.) to know what will be done. The SOS or SOW should be thoroughly reviewed by the regional commander and the regional command organization and the planning contractor prior to its approval, and should be a clear representation of the RSIP process and regional expectations.

2.9 Initial Agreement Products

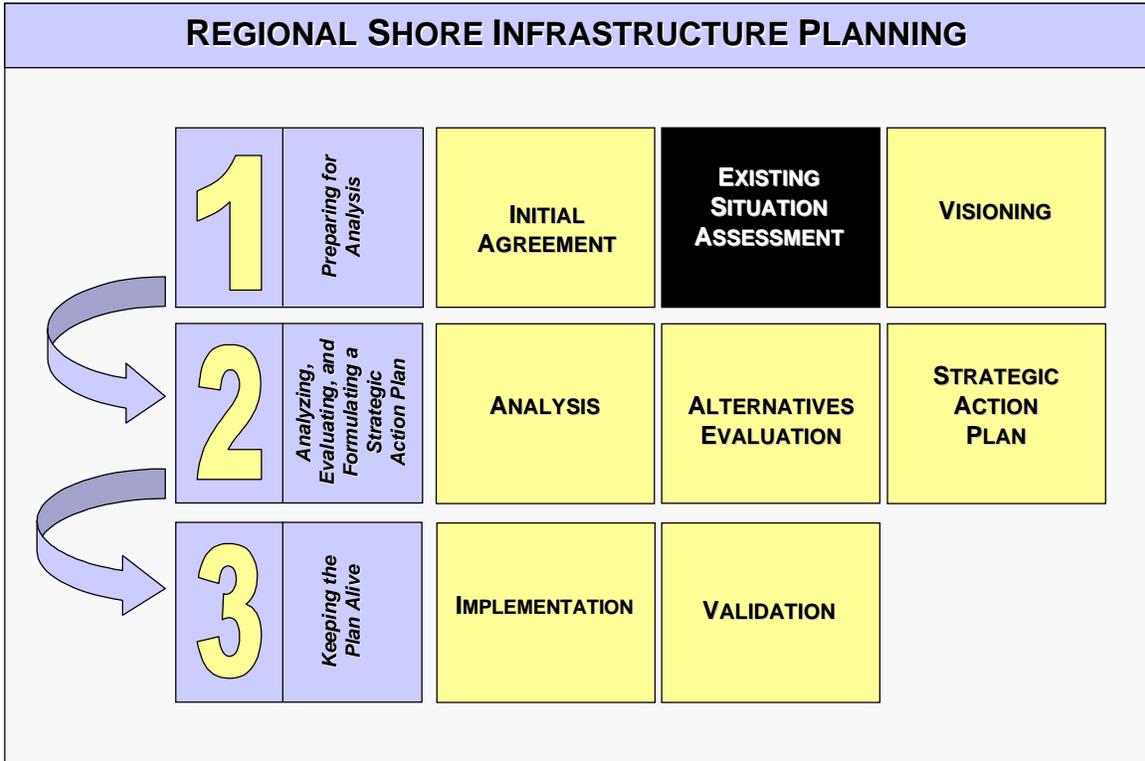
Memorandum and map set to include:

1. A full list of Stakeholders and their classifications.
2. The RSIP Boundaries (functional, geographic, organizational, etc.).
3. A Regional Planning Summary describing the responsibilities of the regional command organization and IMC for the RSIP process, along with an RSIP process funding strategy.
4. The Statement of Purpose for the RSIP process, including the overall purpose and significance, regional mission goals, and individual task objectives.
5. A list of Planning and Implementation Team and Working Group members and their assigned roles and responsibilities.
6. A Work Plan for the RSIP process with POA&M actions and milestones, product list, schedule, and regional expectations.

Statement of Services or Scope of Work, as necessary.

RSIP-Link “Initial Agreement” Chapter summarizing the information in the memorandum and map set, particularly including the RSIP Boundaries, Statement of Purpose, the Planning and Implementation Team and Working Group members and their RSIP process assignments, and the Work Plan POA&M.

3.0 TASK 2: EXISTING SITUATION ASSESSMENT



| EXISTING SITUATION ASSESSMENT |
|--|
| Data Collection <ul style="list-style-type: none"> • Define the regional profile and data needs for the RSIP process. • Collect all pertinent policy and guidance. • Collect all existing and prior planning and infrastructure management documents. • Inventory existing Navy and non-Navy automated data sources. • Perform interviews. • Perform site visits. |
| Regional Profiles <ul style="list-style-type: none"> • Organize data and information into five or more regional profile categories. • Develop a Community Profile. • Develop a Mission Profile. • Develop an Environments Profile. • Develop an Economic Profile. • Develop a Political Profile. |

| EXISTING SITUATION ASSESSMENT | |
|--------------------------------------|--|
| Information Assessment | |
| | <ul style="list-style-type: none">• <i>Evaluate profile data and information using a SWOT (strengths, weaknesses, opportunities, and threats) analysis.</i>• <i>Define the Needs of the region and identify Issues based on historic trends and future projections.</i>• <i>Characterize the regional Opportunities and Constraints.</i> |

3.1 Overview

The Existing Situation Assessment provides for the collection, ordering, and assessment of regional data that is needed for the RSIP plan. It creates a set of comprehensive regional profiles that capture the unique character, issues and concerns of the RSIP plan and that promote a basic understanding of the region. The Existing Situation Assessment turns the collection of regional data into useful information and planning related knowledge. It establishes the region's unique strengths and weaknesses, and constraints and opportunities by taking into account both Navy and non-Navy resources and conditions.

The Existing Situation Assessment includes a careful examination, evaluation and appraisal of regional data. It looks at historic trends, current conditions and future projections where appropriate. It addresses all aspects of the shore establishment and shore infrastructure that will impact the RSIP plan.

The Existing Situation Assessment task is comprised of the following three steps:

- Data Collection
- Regional Profiles
- Information Assessment

3.2 Data Collection

3.2.1 Suggested Methods and Tools

Define the regional profile and data needs for the RSIP process.

Before an inventory is begun, define the appropriate amount of data and information needed to prepare the regional profiles and support subsequent RSIP process tasks. Set reasonable limits on the data collection process so that the highest quality information is gathered in the most efficient and effective manner.

Collect all pertinent policy and guidance.

Collect all pertinent Executive Orders, federal regulations, DoD directives, and SECNAV, OPNAV and NAVFAC instructions. Focus on both planning and environmental policy and guidance. At a minimum, a copy of OPNAVINST 11000.16A Change 1, OPNAVINST 5090.1B, and this Instruction should be available to the participating team and group members.

Collect all existing and prior planning and infrastructure management documents.

Collect and review all Master Plans, Base Exterior Architecture Plans (BEAPs), Air Installation Compatible Use Zone (AICUZ) and Range Installation Compatible Use Zone (RAICUZ) plans, and special studies, along with Natural and Cultural Resource Management Plans (NRMPs and CRMPs). Also collect and review surrounding community General Plans, Comprehensive Plans, Zoning Ordinances, and Design Guides.

Inventory existing Navy and non-Navy data sources.

Prepare an inventory by gathering and displaying electronic data prior to preparing the regional profiles and evaluating regional information. Use technology—the World Wide Web, CADD and GIS, and electronic files—whenever possible. The Navy Facilities Asset Data Base (NFADB), existing Activity Land and Facilities Assets (ALFA) and Activity Planning and Management Models (APMM), as well as Navy internet and intranet websites should be polled for supporting infrastructure data in electronic format. State, county and local government, planning department, and economic development websites should also be polled as part of the automated data inventory.

Draw on regional data that is maintained by the regional command organization and non-Navy sources like other military services, and state, county and local governments. Include real property records, base loading and mission statements, base and environmental map and GIS sets, building floor plans, and community economic and demographic forecasts for counties, metropolitan areas, regions and states. Since the maintenance of this data is not a part of the RSIP process but is the responsibility of the regional commander, focus this step instead on collecting and interpreting the data.

Perform interviews.

Personal interviews, either by telephone, e-mail, the World Wide Web, or face-to-face, can help in the collection of data, and as a way to identify day-to-day factors affecting regional operations and Base Operating Support (BOS). Interviews provide direct clarification of both current situations and future expectations.

Perform site visits.

Site visits can be used to verify existing conditions and acclimate the Planning Team to the physical realities of the region. Scheduled in conjunction with interviews and other inventory and collection efforts, the site visit can provide the most immediate and effective approach to data collection.

3.2.2 Pointers

Check available in-house data before approaching outside sources.

When using outside sources for data collection, be sure to get the most out of each visit or telephone call. To save time for the data collector as well as the source, determine ahead of time all the information you may need.

If you don't have complete data with which to proceed, do the best you can with what you have. Generating regional profiles with the best available information is better than not generating profiles at all. Consult experts and substitute unofficial information if official information is unavailable.

If the regional commander cannot provide adequate data to support planning in the region, the Initial Agreement should be revisited and, either data preparation or maintenance should be added to the scope of the RSIP process or the RSIP process should be deferred.

The interview process is one of the best ways to collect data and identify the "real" or "true" past, present and future situation. They are also a good way to get information from key persons who are close to critical components of the plan, and an excellent source of information for validating assumptions and projections regarding plan components.

Identify and collect policy and guidance that will affect decisions and recommendations in the RSIP process.

Aerial photography and digital orthophotography can be excellent tools for visualizing regional and base conditions, especially where mapping is out of date. They can also enhance existing CADD maps and can be used as a baseline for GIS spatial analysis tools.

3.3 Regional Profiles

Regional profiles provide a comprehensive picture of the regional community, its economics, built and natural environments, mission, and political character; and provide a context for planning in the region. The regional profiles accommodate all aspects of the Navy and its surroundings, including existing conditions and current issues, as well as important historic and future trends. They also include traditional planning components such as facilities, land use, transportation and circulation, utilities, environmental and cultural constraints, and natural resources. The level of detail provided within the profiles depends on whether the RSIP process supports an Overview or Functional Plan, and is based on expectations established in the Initial Agreement.

3.3.1 Suggested Methods and Tools

Organize data and information into five or more regional profile categories.

The regional profiles are organized into five core profile categories, including:

- Community Profile
- Economic Profile
- Environments Profile
- Mission Profile
- Political Profile

In some cases, it may be necessary to add other profile categories. This can be done as long as the data in each regional profile reflects the past, present and future, is both qualitative and quantitative, and can be used later in the process as an existing baseline to develop alternative solutions.

Develop a Community Profile.

The *Community Profile* is comprised of those institutions, systems, activities, and relationships that affect and characterize the day-to-day lives of members of the community. This profile documents the resources available to the military and civilian community within the region and its quality of life. It addresses topics such as:

- Social Interaction
- Archaeology
- Historic Resources
- Population (demographics)
- Quality of Life
- Morale, Welfare, and Recreation
- Education
- Support Services

Develop a Mission Profile.

The *Mission Profile* summarizes the operational and BOS missions of the region. It is comprised of activities, organizations, personnel, equipment and their actions and intentions. The Mission Profile looks at current and projected missions and includes such things as:

- Mission Statements
- Force Structure and Base Loading
- Equipment Lists
- Projections
- Mission Readiness

Develop an Environments Profile.

The *Environments Profile* includes the physical image, character, and condition of both the natural and built environments of the region. Sustainability goals for regional planning suggest that the RSIP process consider both the natural and built environments as a single, holistic system, balancing one with the other. This approach will encourage a comprehensive assessment, leading to more sustainable infrastructure alternatives later in the RSIP process. In support, it is useful here to evaluate and assess the natural and built environments separately. The Environments Profile should be developed in two components: the Natural Environment and the Built Environment. The profile should be concluded with a section relating the two.

Natural Environment

The natural environment is comprised of air, water, land, flora, and fauna and can be seen as resources for life within the natural ecosystem of the region. The natural environment can be conceived in three overlapping elements:

Environmentally Sensitive Areas – Natural areas designated for protection, conservation, and restoration, including Installation Restoration Program (IRP) sites, endangered species areas, wetlands, and mitigation sites.

Natural Elements and Systems – Encompassing topography, habitat, hydrographic, soils, and geological elements and systems that are typically mapped and inventoried using geographic information systems.

Natural Context – Drawn from analyses of natural systems and their relationship to other environments (i.e. built, cultural, community, etc.), and can include profiles of predominant wind patterns, ecosystems, and viewsheds.

By conceptualizing the natural environment through these elements, the RSIP process recognizes the regional and global nature of the natural environment and its impact on the infrastructure (built environment) of the region. The following natural components should be included as appropriate:

- Topography
- Geology
- Soils
- Hydrology
- Water Quality
- Air Quality
- Climate
- Vegetation
- Wildlife (habitat and endangered species)
- Visual Resources
- Compliance (NEPA, coastal zone management, etc.)
- Conservation
- Restoration

Built Environment

The built environment includes buildings, facilities, transportation, circulation and parking systems, utilities, and other elements that have been constructed or acquired to support the military mission and well-being of the community at-large.

The following man-made components should be included as appropriate:

- Land Use and Class 1 Property
- Facilities and Class 2 Property
- Transportation, Circulation and Parking
- Utilities
- Energy
- Noise
- Safety (ESQD, AICUZ, RAICUZ), Electromagnetic (HERP, HERF, HERO)
- Zoning
- Archaeology
- Historic Resources
- Compliance (NHPA, etc.)
- Solid Waste Disposal
- Recycling

Develop an Economic Profile.

The *Economic Profile* of a region includes historic, current, and projected funding levels, cost savings measures, and privatization and outsourcing functions for the shore establishment and the management of infrastructure. It also defines the economic profile of the surrounding community, including the business climate, economic development trends, and workforce figures. The Economic Profile should include topics such as:

- Funding Programs
- Annual Budgets and Funding Levels
- Fiscal Management
- Capital Expenditures
- Privatization and Public-Private Partnerships
- Joint Service Agreements
- Economic Development

Develop a Political Profile.

The *Political Profile* is comprised of the political climate of the country, the organizational and political decision-making structure of the Navy region, the political influences of the local community, and the partnerships that exist or could exist with other military services or private interests in the region. It addresses topics such as:

- National Political Trends
- Local Political Trends
- Organizational Structure
- Decision-making Structure
- Partnerships
- Regulations and Policies

3.3.2 Pointers

Know your audience and formulate the regional profiles to match their needs. Review the Initial Agreement prior to developing the regional profiles to understand the overall needs of the RSIP process. Do not include more information than you have to.

Use geo-spatial information from automated GIS when mapping natural and built environments, where available.

When mapping and analyzing land use, do not use “open space” as a functional classification of land use. Instead, recognize that naturalized open space is a physical element of all functional land uses. Use only functional classifications of land, such as conservation area, buffer, outgrant, safety zone, contingency area, future development area, etc. even when the physical description of the land would otherwise be open space.

One or more sustainability or sustainable development theories should be used to develop the Environments Profile. A number of these theories, including sustainable design, sustainable planning, human ecology, green building, regional design, etc., can be helpful in understanding the relationships between natural and built environments in a region.

When developing the Built Environment component of the Environments Profile, be sure to include an evaluation of the general condition, capacity and capabilities of existing assets in addition to the quantification of space by category code available in the NFADB. Start to use designations like “brownfield” and “greenfield” for facilities and land so that new facilities can be proposed on sites that have had previous development (brownfield) and not on new sites that have never been developed (greenfields).

Document both national and local political trends to understand how policies may affect the future. For instance, since the end of the Cold War, international focus has changed from the threat of nuclear war between the twin superpowers to regional conflicts located in or between less developed countries. This trend has changed the focus of international policies and, subsequently, has influenced military missions.

Outline the organizational structure of the region in the Political Profile to understand how functional groups within the military relate to one another.

3.4 Information Assessment

3.4.1 Suggested Methods and Tools

Evaluate profile data and information using a SWOT analysis.

A SWOT analysis defines the strengths, weaknesses, opportunities and threats of a region. Strengths, weaknesses, opportunities, and threats are determined by the ability of the region to reduce its footprint and infrastructure costs, increase capabilities and the sustainability of its infrastructure, and maximize efficiencies. The SWOT analysis offers a broader evaluation of possibilities.

Use the SWOT analysis to characterize broad regional opportunities and constraints and not just those for development.

Define the Needs of the region and identify Issues based on historic trends and future projections.

Review the data and information for an understanding of the regions past and its expectations for the future. Look for historic trends and future projections. Identify the Needs of the region by characterizing the regions environmental and mission requirements, economic wishes, community desires, and political will. Note both quantitative and qualitative aspects and when needs are currently unmet.

The region “needs” the following...

The region has the following “issues” with meeting their needs and the goals of regional planning.

Characterize the region’s Opportunities and Constraints.

Mapping opportunities and constraints can also be included in the evaluation process. Analyze the opportunities and constraints for meeting the regional goals and objectives with those available from the regional infrastructure. Opportunities can include community, economic, environmental, mission and political conditions that support or affect regional planning goals. Constraints are conditions that limit potential actions for achieving regional planning goals. This analysis is typically more specific than the SWOT analysis described above and often proposed from a physical basis using regional or activity maps.

3.4.2 Pointers

Provide enough background data and analysis to lend credibility to the driving forces that are to be identified in Visioning. The assessment of regional profile information should help in characterizing the condition of each driving force.

Try to maintain the broadest possible interpretation of opportunities and constraints when using the opportunities and constraints mapping and evaluation process. Do not limit the definition to only opportunities for and constraints to development.

3.5 Existing Situation Assessment Products

Community Profile

Economic Profile

Environments Profile

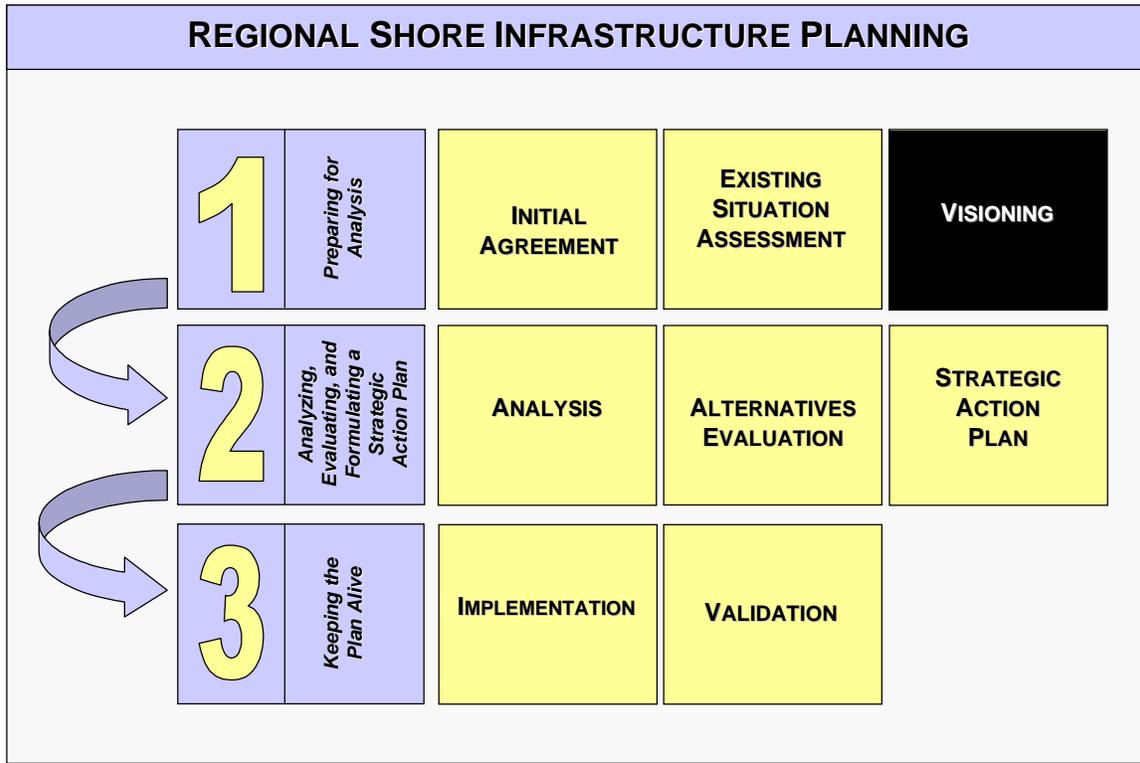
Mission Profile

Political Profile

Information Assessment Report

RSIP-Link “Existing Situation Assessment” Chapter summarizing each of the five Regional Profiles along with an evaluation and assessment of the profile data and existing regional situation.

4.0 TASK 3. VISIONING



| VISIONING |
|--|
| <ul style="list-style-type: none"> • <i>Develop the Visioning Framework by identifying the timeframe, key issues, critical uncertainties, current trends, and predetermined elements that will frame the future.</i> • <i>Define the Driving Forces that can best characterize the variable future of the region.</i> • <i>Define three to five Strawman Scenarios by pre-characterizing possible conditions for each driving force.</i> • <i>Perform the Vision Session as a collaborative group exercise to envision the future.</i> • <i>Develop and prioritize three to five distinct and plausible Future Scenarios, and select a Preferred Scenario.</i> • <i>Translate the Preferred Scenario into an infrastructure-focused Planning Requirement.</i> • <i>Develop a set of Vision Metrics for evaluating alternatives against the Preferred Scenario and Planning Requirement later in the RSIP process.</i> |

4.1 Overview

Visioning is a new methodology in Navy regional planning and a critical step in the RSIP process for anticipating and planning for the future. It provides a unique way of looking at the future and determining what the planning requirements are for the region. The process is, in academic terms, a strategic planning methodology that facilitates strategic thinking and identifies strategic infrastructure decisions that will shape the future. Visioning is important to the RSIP process for a number of reasons. First, it establishes a collective vision of the future as well as preparing for the inevitability of change and the acknowledgment of uncertainties. It provides a forum for Stakeholder consensus on regional issues and concerns, and provides a framework for understanding and discussing the future. It establishes a comprehensive planning requirement and a measure of the future that can be used to evaluate planning alternatives and recommendations later in the RSIP process.

A collaborative Vision Session is central to the Visioning task and is primarily focused on generating a limited number of distinct and plausible Future Scenarios and providing decision-makers and regional stakeholders an opportunity to confer on a single most-likely or Preferred Scenario. The Vision Session is supported by the development of a Visioning Framework, Driving Forces, and Strawman Scenarios and leads to the development of a Planning Requirement and Vision Metrics.

Each of these steps is organized into various “suggested methods” below; however, it is quite possible that all or some of these may be accomplished collectively in a single Vision Session. Likewise, the development of the Future and Preferred Scenarios might be accomplished in not one but a number of Vision Sessions. The order and intensity of each step is up to the region as long as each suggested method is considered. In general, the Visioning task includes, but is not limited to, the following:

- Visioning Framework
- Driving Forces
- Strawman Scenarios
- Vision Session
- Future Scenarios
- Preferred Scenario
- Planning Requirement
- Vision Metrics

4.2 Suggested Methods and Tools

Develop the Visioning Framework by identifying the timeframe, key issues, critical uncertainties, current trends, and predetermined elements that will frame the future.

The Visioning Framework structures the Visioning task and establishes the ground-rules for testing the plausibility of the future and the regional vision.

The first step in developing a Visioning Framework is establishing an appropriate timeframe for Visioning. The timeframe defines necessary planning horizons for the RSIP process. An appropriate timeframe should be defined for the region based on factors of change that will influence the region over time. Typically, the RSIP process looks ten to twenty years into the future.

The second component of the Visioning Framework is a set of *key issues* that should be addressed during the Visioning process. Visioning uses scenarios to tell stories of how various elements might interact under certain conditions in the future. Key community, economic, political, environmental, and mission issues will help focus Visioning on conditions that are relevant to the region.

The Visioning Framework also balances things we believe we know with those that we consider uncertain or unknowable. *Current trends* are current conditions that are expected to extend into the future. One easy way to define current trends is to look into the past over the same timeframe set for the future and think about what you know now that you might have done better to know then. With that same perspective, project yourself into the future and look back at today for trends that look like they will continue. *Critical uncertainties* are events whose outcomes are uncertain but are thought will significantly affect future issues. *Predetermined elements* are aspects that are expected to remain constant and that the region is confident about.

Define the Driving Forces that can best characterize the variable future of the region.

The Vision Session and the development of the Future and Preferred Scenarios are organized around Driving Forces. Driving Forces are societal forces that allow change to occur, and can be thought of as clusters of trends or shifts within society so great that they cause other significant shifts. In the RSIP process, the Driving Forces should influence the region's organization and function, and its environments and infrastructure.

Define the Driving Forces by first reviewing the regional profile information in the Existing Situation Assessment for significant trends and forces. Use the community, mission, environments, economic, and political profile categories to group and classify the Driving Forces. When trying to decide on an individual Driving Force, consider its possible condition. *Operations Tempo* may be an appropriate mission Driving Force because of the way ships' time in-port and time deployed affects the shore establishment. *Increasing the time in-port* for more computer simulations, for example, will dramatically change the need for training infrastructure. Thinking about the *increased time in-port* (possible condition) for

operations tempo (a Mission Driving Force) validates that it is, or isn't, appropriate for the region.

Driving Forces should be unique to the region and the RSIP process being undertaken. However, Table 4a provides "Sample Driving Forces" that might be helpful in defining unique regional Driving Forces.

Table 4a

Sample Driving Forces

| SAMPLE DRIVING FORCES | |
|---|---|
| Community | Economic |
| <ul style="list-style-type: none"> • <i>Commute and Parking</i> • <i>Housing</i> • <i>Medical Services</i> • <i>Quality of Life</i> • <i>Support Facilities</i> | <ul style="list-style-type: none"> • <i>Capital Budget</i> • <i>Privatization</i> • <i>Sharing Resources</i> • <i>Cost of Living</i> • <i>Employment</i> • <i>Education of Workforce</i> |
| Mission | Environments |
| <ul style="list-style-type: none"> • <i>Communication</i> • <i>Fleet Deployment Practices</i> • <i>Maintenance</i> • <i>Operations Tempo</i> • <i>Ordnance</i> • <i>Security</i> • <i>Ship Maintenance</i> • <i>Ships</i> • <i>Supply and Storage</i> • <i>Technology</i> • <i>Training</i> | <ul style="list-style-type: none"> • <i>Capacity Issues</i> • <i>Environmental</i> • <i>Facilities</i> • <i>Infrastructure</i> • <i>Infrastructure Investments</i> • <i>Ship Design</i> • <i>Utilities</i> |
| Political | |
| <ul style="list-style-type: none"> • <i>Financing by DoD and Congress</i> • <i>Future BRAC Actions</i> • <i>Global Political Environment</i> • <i>Management Systems and Procurement Practices</i> • <i>Mobilization</i> • <i>Navy Policy and Guidance</i> • <i>Regulations and Legislation</i> • <i>U.S. Political Environment</i> | |
| * Sample Driving Forces drawn from the Puget Sound and Hampton Roads RSIP plans. | |

Define three to five Strawman Scenarios by pre-characterizing possible conditions for each driving force.

The Strawman Scenarios are developed in direct support of, but prior to the Vision Session. They are sample or possible future scenarios that can be used to test the Visioning Framework and Driving Forces, and may be used as a baseline for developing Future Scenarios. They are extreme test cases that can verify that the key issues, current trends, critical uncertainties, and predetermined elements are adequately defined; and that the Driving Forces will support the development of a future vision.

Strawman Scenarios can be defined in a number of ways. One of the easiest ways is to create a condition continuum for each driving force, placing the extreme positive and negative condition on either end of the continuum. A “housing” driving force, for example, might place “Navy-owned” and “community-provided” on either ends of its continuum. This method then views the condition continuum for each driving force and summarizes the “positive” driving force conditions in one Strawman Scenario, the “negative” driving force conditions in another, and the “middle-ground” conditions in a third.

Perform the Vision Session as a collaborative group exercise to envision the future.

The Vision Session is a creative process that establishes the future vision of the region by defining a number of Future and Preferred Scenarios. Its goal is to challenge the prevailing mind-set through collaboration; attempting to capture the richness and range of possibilities for the region by stimulating participants to consider changes in the future they would otherwise ignore.

The Planning Team plays a key role in organizing and facilitating the Vision Session, which can be accomplished a number of different ways. No one method is best; some draw on scientific schemes while others expand procedures that have been tried and tested in the business community. At a minimum, the Vision Session uses a trained facilitator to guide participants through discussions and exercises without giving opinions or influencing their decisions.

The Vision Session should be allotted a minimum of one full day, although more than one Vision Session may be appropriate. It should be held in a neutral and comfortable location large enough for participants to work collectively and in small groups. It is important for the participants to be able to forget their day-to-day tasks and concerns while defining distinct and plausible Future Scenarios.

Develop and prioritize three to five distinct and plausible Future Scenarios, and select a Preferred Scenario.

The Future Scenarios and the Preferred Scenario are developed and selected during the Vision Session. Use variations in the conditions of each driving force, guided by the Visioning Framework and an overall regional vision, to construct distinct and believable Future Scenarios. Be sure to describe generically different futures rather than variations on one theme. Define three to five plausible conditions for each driving force and then group the

various conditions into three to five distinct Future Scenarios. The same condition continuum described for the Strawman Scenarios can be used here for each driving force; but rather than grouping similar extreme conditions together into one scenario (all “positive” conditions, for example), organize various conditions in more practical combinations. Remember that one of the Future Scenarios will be developed into the Preferred Scenario and the others serve as backup if the conditions of the Preferred Scenario change dramatically.

The next step is to evaluate each of the Future Scenarios and select a Preferred Scenario that most likely anticipates the future or connects directly with stakeholder concerns in the region. Ideally, it should describe a state in which the region might exist for some time, as opposed to one that might be more highly transient. It should represent an imaginable and coherent future, while also challenging traditional thinking and assumptions. It must effectively satisfy the Visioning Framework, be comprehensive and inclusive, and be strategic about regional issues.

Further refine the Preferred Scenario by prioritizing each of the driving forces and refining how they will affect the future in the designated time period. Organize the Preferred Scenario on a timeline with near-term, long-term, and end-state issues. Identify the most significant strategic opportunities and rank them in order of importance. Also review and prioritize the key issues surrounding the Preferred Scenario.

Translate the Preferred Scenario into an infrastructure-focused Planning Requirement.

It is inevitable that the creative and holistic process of the Vision Session will generate a regional vision that not only includes regional planning and shore infrastructure issues, but also a wide range of operational, command, and mission-related issues. Some of these may need to be addressed in other processes like Regionalization or taken up directly by fleet command or other organizations outside of the RSIP process. This step should include the separation of these issues and a focus on the policy objectives of regional planning. The RSIP process is invariably about the built environment and all issues need to be focused on the regional shore infrastructure.

Develop the Planning Requirement by refining the Preferred Scenario further and translating and highlighting the regional planning and shore infrastructure issues and opportunities separately. Use the community, mission, environments, economic, and political profile categories to group and classify the Planning Requirement. Also specify requirements for land and facilities, transportation and circulation, natural and cultural resources, environmental considerations, utilities, and quality of life. The Planning Requirement should include new considerations for the region, areas to focus on, and problems to solve.

Summarize and rank each of these in order of importance. Also define a set of requirement goals and objectives that will not only establish the pathway for the regional vision, but can also be used to test whether the alternatives and solutions developed later will address shore establishment and infrastructure needs and issues for the region. Any non-infrastructure issues that are separated and given to appropriate stakeholders and decision-makers that may have direct bearing on the regional infrastructure and the RSIP plan should be tracked and their conclusions reinserted into the RSIP process later during Analysis.

Develop a set of Vision Metrics for evaluating alternatives against the Preferred Scenario and Planning Requirement later in the RSIP process.

The Vision Metrics should be developed during the Vision Session or afterward by the Planning Team as tools to evaluate and measure the satisfaction of the Planning Requirement and Preferred Scenario in each alternative and recommendation proposed later in the RSIP process. Visioning is not complete without their development because they provide verification that planning solutions will satisfy the regional requirements for infrastructure and support the regional vision of the future. Two types of Vision Metrics are needed.

The first provide a measure of the Preferred Scenario by the mathematical distance along the condition continuum any one planning alternative is from the desired condition for any one driving force. The Preferred Scenario might state that *fifty-percent* (desired condition) *of family housing* (a community driving force) *should be provided in the surrounding community*. Planning Alternative A might be able to satisfy the full fifty-percent, while Alternative B may only be able to satisfy forty-percent in the surrounding community. Alternative A would be rated higher than Alternative B for this driving force because it is mathematically closer, actually right-on, the desired condition. This method relies heavily on the priorities given to each driving force in the steps above for a complete evaluation of the planning recommendations. To support this methodology, clearly identify the acceptable ranges of variation for each driving force in the Preferred Scenario. Define how close any one alternative has to get to the conditions of each driving force and the limits to being “over” or “under” the preferred condition.

The second provide a measure of the Planning Requirement based on a characterization of its considerations, areas of focus, problems to be solved, goals, and objectives. *Improving the quality of life in the region* might be a high-priority Planning Requirement. In order to measure the ability of any one planning alternative to *improve the quality of life in the region*, a number of measurable characterizations of *quality of life* are needed. One characterization might be to *increase recreational opportunities*, and a way to make that measurable might be to suggest the *availability of 10 additional playing fields*. It would then be possible to measure the ability of each planning recommendation to increase the availability of ten playing fields either by yes or no or mathematically based on an acceptable variance. To support this methodology, define measurable characterizations for each of the components of the Planning Requirement, and also define the variations, if any, that might be acceptable.

4.3 Pointers

The Planning Team should attempt to establish the Visioning Framework and define the Driving Forces prior to the Vision Session. This will minimize the difficulties encountered by the participants of the Vision Session and ensure that it proceeds with the highly creative process of developing the Future and Preferred Scenarios. The Planning Team should be prepared to reconfirm or augment the Visioning Framework and Driving Forces in the initial stages of the Vision Session.

The Visioning Framework should be provided ahead of time to the participants of the Vision Session to introduce them to the larger planning issues for the region. This can be provided in a memorandum along with a cover letter letting them know why they are coming and what is expected of them.

It is best to keep the Visioning Framework at a high order of magnitude rather than analyzing the details of any one facility or function. Too many details can distract the visioning process from the broader issues and concepts that lead to a vision of the future.

Every participant in the Vision Session requires a different level of information to understand the region and the visioning process. The Planning Team should be prepared to answer specific questions while directing the discussion at a conceptual level. The Planning Team should anticipate the right balance of detail and concepts based on the makeup of the Vision Session participants. A Working Group might be helpful in organizing necessary background data from the Existing Situation Assessment prior to the Vision Session.

A trained facilitator or facilitation team can support the Planning Team during the Vision Session and will go a long way in making it a success.

Defining a single collective vision of the future through visualization early in the Vision Session is important. Visualization will enable the participants to leave their current “environment” and be a part of the future. Not only will they have an opportunity to relax and have fun, they can also be released from the trappings of the real world and more easily enter the uncertainties of the future. By establishing the general vision first, it is less likely that the details of the driving forces, scenarios, planning requirement and vision metrics discussed later will distract the participants from the overall regional concepts.

The Vision Session should focus on getting the participants to confer on a shared vision of the future of the region, and on developing the basic ideas of the Future and Preferred Scenarios. The Planning Team can fill in the gaps and develop a written summary after the session.

The Planning Requirement goals and objectives should not be confused with the goals and objectives for the RSIP process established in the Initial Agreement. Although both are drawn from regional planning policy objectives established in OPNAVINST 11000.16A Change 1 and the CRPI, the Planning Requirement goals and objectives should establish the infrastructure needs of the overall region. The Initial Agreement goals and objectives only established the expectations for the RSIP process.

Economic measures are one set of Vision Metrics that should be developed regardless of the number of economic Driving Forces used in the Future and Preferred Scenarios or the priority placed on those conditions. The economic Vision Metrics should establish an economic evaluation model that will allow for a comparison of the costs of each infrastructure Alternative, while addressing the uniquely different economic alternatives for military construction, recapitalization, operations and management, repair and maintenance, privatization, outsourcing, and the like.

4.4 Visioning Products

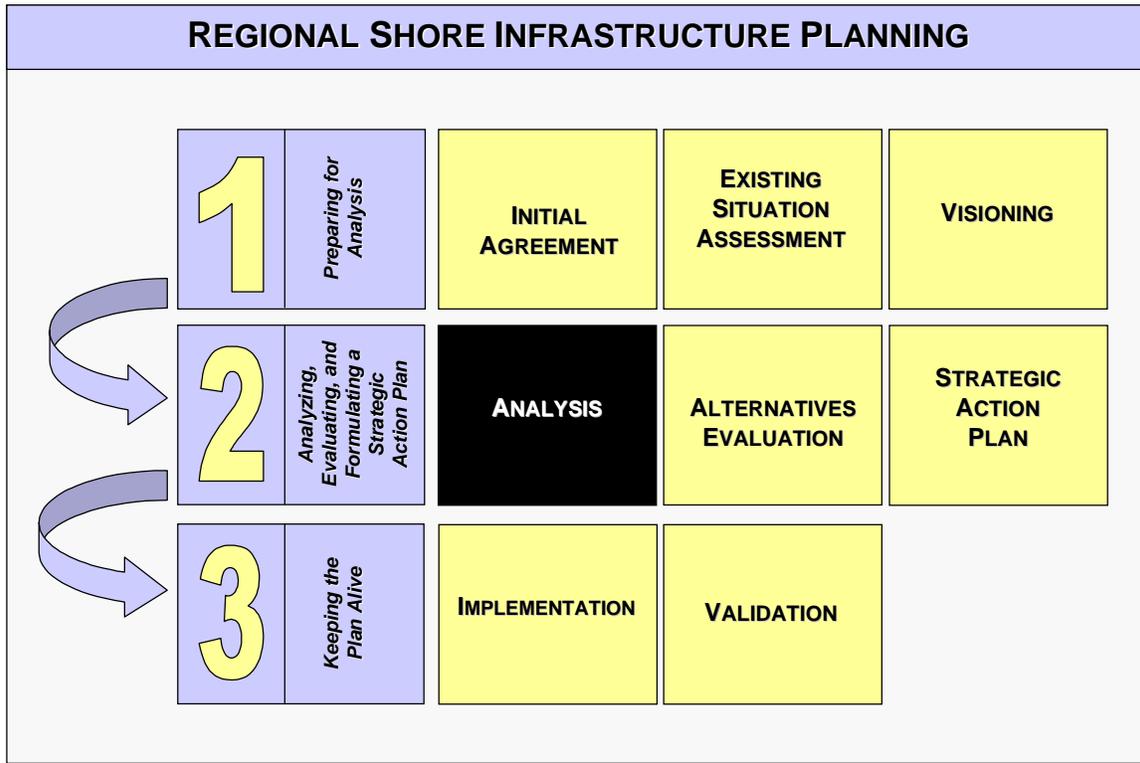
Pre-Vision Session memorandum summarizing the Visioning Framework, the Driving Forces, and the Strawman Scenarios.

Vision Session Report, including a summary of the visioning process, a narrative describing the Vision Session(s), and the detail of each Future Scenario and the Preferred Scenario.

Post-Vision Session memorandum outlining the Planning Requirement and the Vision Metrics.

RSIP-Link “Visioning” Chapter summarizing the Pre- and Post-Vision Session memorandum and the Vision Session Report. Particularly including the Visioning Framework, a list of Driving Forces, each of the Future Scenarios, the Preferred Scenario, the infrastructure-focused Planning Requirement, a detailed list of the Vision Metrics, and a summary of the overall visioning process.

5.0 TASK 4. ANALYSIS



| ANALYSIS |
|---|
| <ul style="list-style-type: none"> • Review the Planning Requirement to understand what needs to be addressed when developing the planning Alternatives. • Review the Existing Situation Assessment to ground the development of Alternatives in existing regional conditions. • Reinsert the conclusions of operational, command, and mission issues addressed separately after Visioning. • Develop two or more distinct and viable Alternatives. |

5.1 Overview

The Analysis task uses examination, programming, and modeling to develop distinct and viable infrastructure Alternatives that present clear and viable choices for a wide range of infrastructure options. It is an instrument of change management that proposes transitions from existing to preferred situations. It addresses functional and physical components of the shore establishment and develops Alternatives to satisfy regional planning goals.

At its heart is *examination*—a formal interrogation and close inspection, a testing of conditions, a careful inquiry and rigorous examination, and a valuation of significance and worth. This is accomplished in a review of both the Planning Requirement and the Existing Situation Assessment prior to developing Alternatives. The Alternatives are developed using *Programming*, which involves the organization of component parts and the listing of instructions, directions, and stated courses of action for each of the Alternatives. The Analysis task then concludes with a *Modeling* system of mathematical or graphic representation used to document and display the Alternatives.

5.2 Suggested Methods and Tools

Review the Planning Requirement to understand what needs to be addressed when developing the planning Alternatives.

This involves a close inspection and rigorous examination of the Planning Requirement to understand how the Alternatives need to be developed to solve regional issues and opportunities. Test the organization of new considerations, areas of focus, and problems into categories (community, mission, environments, etc.) and components (land and facilities, transportation and circulation, etc.) and inquire how certain conditions might affect one or more possible solutions. This review can also help define how to format the Alternatives to address the needs of the region.

Review the Existing Situation Assessment to ground the development of planning Alternatives in existing regional conditions.

This involves careful inquiry into the strengths, weaknesses, opportunities, and threats in the region to ensure that the Alternatives will respond to actual regional conditions and resources. Test the past, present, and future perspectives; needs and issues; and opportunities and constraints of the region to see how their interplay might affect one or more possible solutions. Review the regional profiles to help define how the Alternatives can be formatted to respond to existing regional conditions.

Reinsert the conclusions of operational, command, and mission issues addressed separately after Visioning has been completed.

Use this step to check and recheck the operational, command, and mission decisions being made while this task is underway. The Planning Team should track the operational, command, and mission issues separated from the RSIP process during Visioning to see if they are brought to conclusion. If they are and their actions and decisions have direct bearing on shore infrastructure, make adjustments to how the Planning Requirement or Existing Situation Assessment influences the Alternatives or their format, or make changes to individual Alternatives as related conclusions are reached.

Develop two or more distinct and viable Alternatives.

Use a combination of programming and modeling techniques, tools, and processes that suit the circumstances of the region and the capabilities of the Planning Team. These might include the use of mapping, spatial analysis, GIS, tables, matrices, graphics, and narrative. The Alternatives should be distinct expressions of the Planning Requirement with minimal overlap. The intent is not to see how many alternatives can be developed, but to present clear, viable choices. The Alternatives should provide answers to all infrastructure questions raised by the Preferred Scenario, and satisfy regional planning goals to reduce footprints and costs, increase existing capabilities, and maximize efficiencies.

Have component experts within the Planning Team organize and develop Alternative proposals and courses of action for each of the components of the shore infrastructure, including a description of changes, improvements, and interrelationships. Include community, economic, environments, mission, political; as well as land use, facilities, transportation and circulation, utilities, environmental, and natural and cultural resource components as appropriate in each Alternative.

5.3 Pointers

An “Ideal Functional Relationships Diagram” is an excellent examination and programming tool that can be used when reviewing the Planning Requirement. It can serve a number of useful purposes when associated with physical planning. Not only does it stimulate creative thinking at the beginning of Analysis; it also provides a logical progression from general ideas about safety, compatibility, and connectivity to actual proposals. Be sure to thoroughly explore all options within the functional, organizational, and geographic boundaries of the RSIP plan.

Use the same components in each Alternative to ensure an equitable evaluation in Task 5: Alternatives Evaluation. If an Alternative legitimately does not contain detail for one or more components, at least document the reasons why. This will facilitate a quicker review and verification process during the Alternatives Evaluation task that follows.

Review how the Vision Metrics have been organized in Task 3: Visioning to see what components (community, economic, environments, etc.) will be evaluated in Task 5: Alternatives Evaluation. Remember that the Alternatives need to have sufficient detail for each of these components to be effectively evaluated.

When initially developing Alternatives, be adventurous. Go beyond what is expected. More radical solutions may not ultimately be adopted, but they will stimulate a flow of ideas and creativity in terms of what is acceptable. These early Alternatives can be done rapidly using simple markers on trace paper. There is no need for excessive concern with style or graphic quality at this stage. In fact, it is better to keep graphic imagery loose to avoid the impression that solutions are final.

Use the “Principles of Sustainable Development and Planning” to guide the Analysis of regional conditions and the development of Alternatives. Sustainable development alternatives will be more viable and longer lasting, and more easily supported by the NEPA process required on all strategic actions. [Sustainable development and sustainable planning principles can be found in a DoD report entitled: *Sustainable Planning, A Multi-Service Assessment 1999* and will be included in a new CRPI policy and guidance instruction under the “Sustainable Planning” Policy Topic.]

Not all RSIP plans will result in physical development solutions. In fact, some Alternatives may best be described in business management terms and not in physical terms. While the RSIP process will always retain some connection to the spatial, which is best described through maps and plans, other less costly and time consuming formats may be more

appropriate. Spatial analysis using GIS is an excellent if more expensive form of modeling that may not lend itself to the less physical planning solutions. Determine the complete modeling needs early. Choose an appropriate balance between mapping and spatial analysis and tabular and narrative forms.

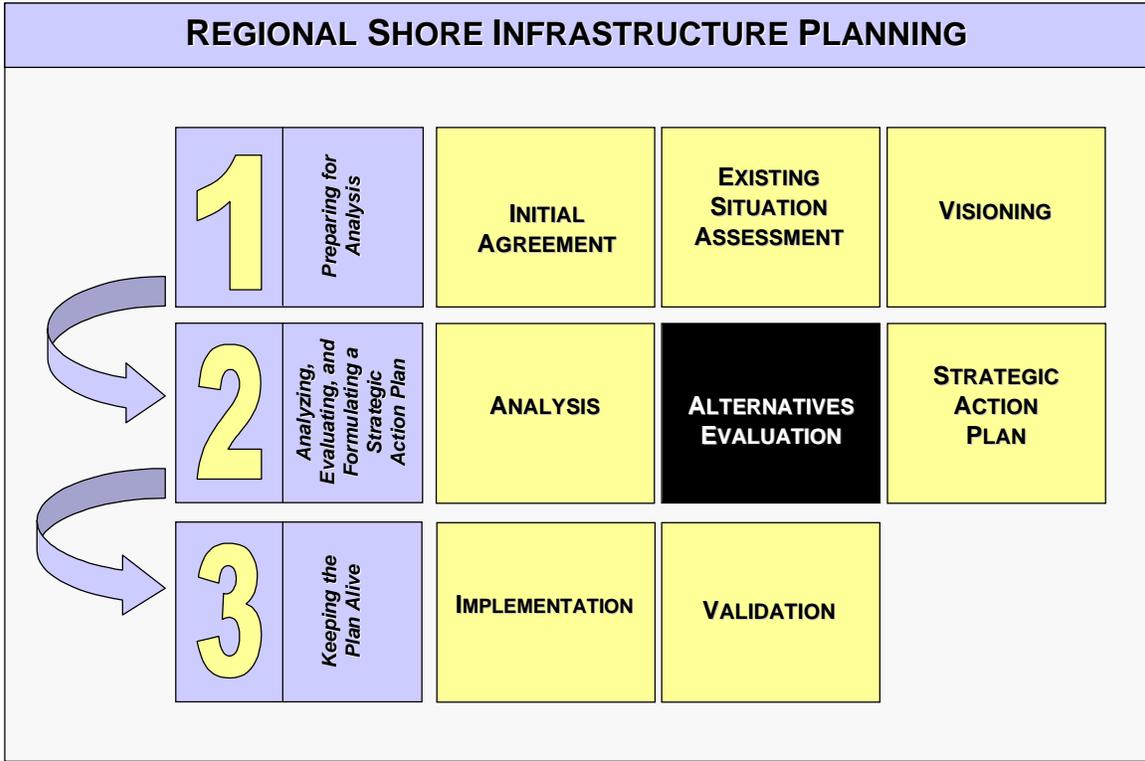
5.4 Analysis Products

Alternatives. Presented in graphic and narrative form predicated on the solutions being proposed and the demands for evaluation that will follow. Maps, tables, diagrams, matrices, pictures, lists, and text should be used at the discretion of the Planning Team to effectively describe the components of each Alternative.

Analysis Report, including a description of the Analysis process, a summary of each Alternative, and an explanation of the similarities and differences, justification, and rationale for each of the proposals in the planning Alternatives.

RSIP-Link “Analysis” Chapter describing the Analysis process and summarizing each Alternative, including their components, proposals, courses of action, interrelationships, and proposals for changes and improvements.

6.0 TASK 5. ALTERNATIVES EVALUATION



| ALTERNATIVES EVALUATION |
|--|
| Evaluation and Recommendations |
| <ul style="list-style-type: none"> Review and verify the components of each Alternative and establish a consistent baseline for evaluation. Assess the advantages, disadvantages and potential conflicts of each Alternative. Evaluate the Alternatives using the Vision Metrics. Compare the Alternatives and prepare a set of Evaluation Recommendations based upon the assessment and evaluation of each Alternative. |
| Preferred Alternative Selection |
| <ul style="list-style-type: none"> Present the Alternatives and Evaluation Recommendations to essential stakeholders and decision-makers. Review the Evaluation Recommendations and select a Preferred Alternative. Identify and prioritize the Strategic Issues for the Preferred Alternative. |

6.1 Overview

The Alternatives Evaluation task provides an opportunity to critically evaluate the Alternatives developed during Analysis, and to recommend and then select a Preferred Alternative. It is based on the premise that an Alternative is preferable if it satisfies the regional requirements for infrastructure and supports the regional vision of the future. The evaluation is very much a comparison of Alternatives and their component parts to determine which more fully satisfies the Planning Requirement and Preferred Scenario. It draws heavily on the conclusions of the Visioning Task 3 and its Vision Metrics to evaluate and measure each Alternative.

Critical evaluation leads to the development of recommendations that form the baseline for informed decision-making and the selection of a Preferred Alternative. The recommendations identify and separate those Alternatives and their component parts that do not perform well against the Vision Metrics and emphasize those that do. A consensus-building process is then used to selection a Preferred Alternative and prioritize Strategic Issues that together will be carried forward and developed into a Strategic Action Plan in Task 6.

The Alternatives Evaluation task is organized into two distinct steps that include the review of Alternatives by component; the assessment of their advantages, disadvantages, and conflicts; an evaluation, preparation, and presentation of Alternatives Recommendations; a consensus selection of a Preferred Alternative, and the prioritization of Strategic Issues. The two steps are:

- Evaluation and Recommendation
- Preferred Alternative Selection

6.2 Evaluation and Recommendations

6.2.1 Suggested Methods and Tools

Review and verify the components of each Alternative and establish a consistent baseline for evaluation.

Review the components of each Alternative and determine which components are used consistently. Alternatives A, B, and C may all have a *community* component or they each may propose *transportation and circulation* improvements. In many cases the components themselves can provide the consistent baseline needed for a standard and fair evaluation. Review each Alternative and verify which components are used consistently. Regardless of which actual components are used, some pattern of consistency needs to be verified to ensure the Alternatives can be evaluated and compared on equal terms.

The review of components also provides an opportunity to verify that each Alternative was appropriately defined during Task 4: Analysis. If the components are not sufficiently defined, the Alternative(s) should be sent back to the Analysis task for more work.

Assess the advantages, disadvantages and potential conflicts of each Alternative.

Clearly identify and define the quantitative and qualitative impact of each Alternative in the form of advantages, disadvantages and potential conflicts. There are a number of ways to do this. One way is to perform a SWOT analysis, identifying and then translating the strengths, weaknesses, opportunities, and threats of each component in each Alternative into strategic capabilities. The SWOT analysis was also helpful in assessing the regional profiles in Task 2: Existing Situation Assessment.

A simple list of advantages, disadvantages, and potential conflicts can also be prepared, particularly if Alternative components are not consistent between Alternatives. This approach is less dependent on an assessment of the components and more focused on the strategic capabilities of the entire Alternative. A comparative matrix or a scorecard may also be helpful in assessing the impacts of each Alternative. The matrix and scorecard establish the advantages, disadvantages, and potential conflicts within a framework that can be used for further evaluation and comparison. Preparing an Economic Analysis of each Alternative may also be useful to compare the Alternatives from a costs/benefits perspective.

Evaluate the Alternatives using the Vision Metrics.

This step leads to an appraisal and valuation of each Alternative using the Vision Metrics to measure how well each Alternative achieves the regional vision. With a component understanding of each Alternative and a summary of their qualitative aspects, use the Vision Metrics established during Visioning to measure the Alternatives against the Preferred Scenario and Planning Requirement.

The first evaluation and measure of Alternatives against the **Preferred Scenario** requires an alignment of each of the components of an Alternative with the condition continuum of each Driving Force in the Preferred Scenario. A comparison is then made between the location of the Alternative component on the condition continuum and the desired condition of the Preferred Scenario. An Alternative might propose *twenty-five percent* (proposed condition) of *family housing* (a community component and driving force) in the surrounding community, while the Preferred Scenario identified *fifty-percent* (desired condition). A measured variance is calculated (twenty-five percent in this example) and the Vision Metrics used to evaluate the acceptability of the variation.

The second evaluation and measure of Alternatives against the **Planning Requirement** requires an alignment of each of the components of an Alternative with the components of the Planning Requirement where “measurable characterizations” were established during Visioning and the development of Vision Metrics. In this case, one Alternative might propose the construction of *ten new ball fields* to improve the *quality of life* (a community component) of the region. The Planning Requirement might have established an *increase in recreational opportunities* as a measurable characterization of quality of life and defined *ten new playing fields* as the acceptable Vision Metric. This Alternative would appraise well for this component and measurable characterization.

Compare the Alternatives and prepare a set of Evaluation Recommendations based upon the assessment and evaluation of each Alternative.

Prioritize the conclusions of the evaluation and rank the Alternatives in order of preference. Prioritizing the Vision Metrics and the component parts of the Alternatives can emphasize those that are key to achieving the regional vision and help illustrate the important differences between Alternatives. One Alternative may measure well against one set of Vision Metrics, while another may measure well against another set of Vision Metrics. Not until priorities are given to all of the Vision Metrics can a fair comparison be made and Evaluation Recommendations prepared.

A comparative matrix or a scorecard with numerical scoring and weighting can be used to compare Alternatives. First, apply a weighting factor to each Vision Metric in relation to their priority. The most important Vision Metrics receive a high numeric weight of five, while the average to least important would receive medium and low weights of three and one, respectively. Second, score the results of the evaluation of each of the components in each Alternative. If the component condition matches the Vision Metric, it is given a score of five. The component farthest from the Vision Metric scores a one. Now, multiply the numeric weighting to the numeric scoring and tally the results for each Alternative.

6.2.2 Pointers

It is important to note that if a comparative matrix or a scorecard are used with numerical scoring, a detailed discussion and documentation of that scoring is needed. Effectively document the rationale for the evaluation and comparison. Take notes and write down the decisions that are made as you go along in order to defend your rationale. Without this background information, numerical scoring can actually muddle the distinctions between Alternatives.

A comparative matrix or a scorecard with numerical scoring should not be used to select an Alternative at this stage. This method of evaluation and recommendation does not fully account for of the regional factors that are needed to select a Preferred Alternative. The highest Alternative tally may not necessarily define the best overall solution for the region. A full consensus by decision-makers in the next Preferred Alternative Selection step in this task should be relied upon to address all factors and choose a Preferred Alternative.

6.3 Preferred Alternative Selection

6.3.1 Suggested Methods

Present the Alternatives and Evaluation Recommendations to essential stakeholders and decision-makers.

The Planning Team should not only present the Alternatives but also share how they were developed. They should present the Evaluation Recommendations along with an explanation of how the Alternatives were evaluated and compared to the Vision Metrics established during Visioning. It may be helpful to give details about the processes of Tasks 3 and 4 to help in the rationale behind the Alternatives and the results of the evaluation.

Review the Evaluation Recommendations and select a Preferred Alternative.

The Planning Team should facilitate a review and selection session that can probably occur along with the presentation of Alternatives and the Evaluation Recommendations to essential stakeholders and decision-makers. The session should be geared towards discussing the issues surrounding the recommendations and reaching consensus on the Alternative that best satisfies the Planning Requirement and Preferred Scenario of the regional vision. The Evaluation Recommendations serve as a framework to guide this discussion and highlight major issues.

It is imperative that a Preferred Alternative is selected; however, the Preferred Alternative does not have to be one of the Alternatives presented. It is quite possible to combine several components from each of the Alternatives to generate a new Preferred Alternative. Most likely, the Preferred Alternative will be the one that has the widest acceptability, measures up well against the Vision Metrics, achieves a balance among varying interests, and has built-in flexibility. Buy-in from the essential stakeholders and decision-makers ensures their support and cooperation during the development of the Strategic Action Plan (Task 6) and during Implementation (Task 7).

Identify and prioritize the Strategic Issues for the Preferred Alternative.

Once the Preferred Alternative is selected, the essential stakeholders and decision-makers should identify and prioritize a number of Strategic Issues that will impact the development of specific strategic actions needed to implement the Preferred Alternative. The Strategic Issues should be based on an assessment of the available resources within the region, including manpower, and should help the Planning Team translate the Preferred Alternative into a Strategic Action Plan in Task 6.

6.3.2 Pointers

A trained facilitator would be helpful leading a single Preferred Alternative Selection workshop where Alternatives and Evaluation Recommendations are presented by the Planning Team and essential stakeholders and decision-makers select a Preferred Alternative and define a number of Strategic Issues. A facilitator can lead the discussions and help reach consensus without bias.

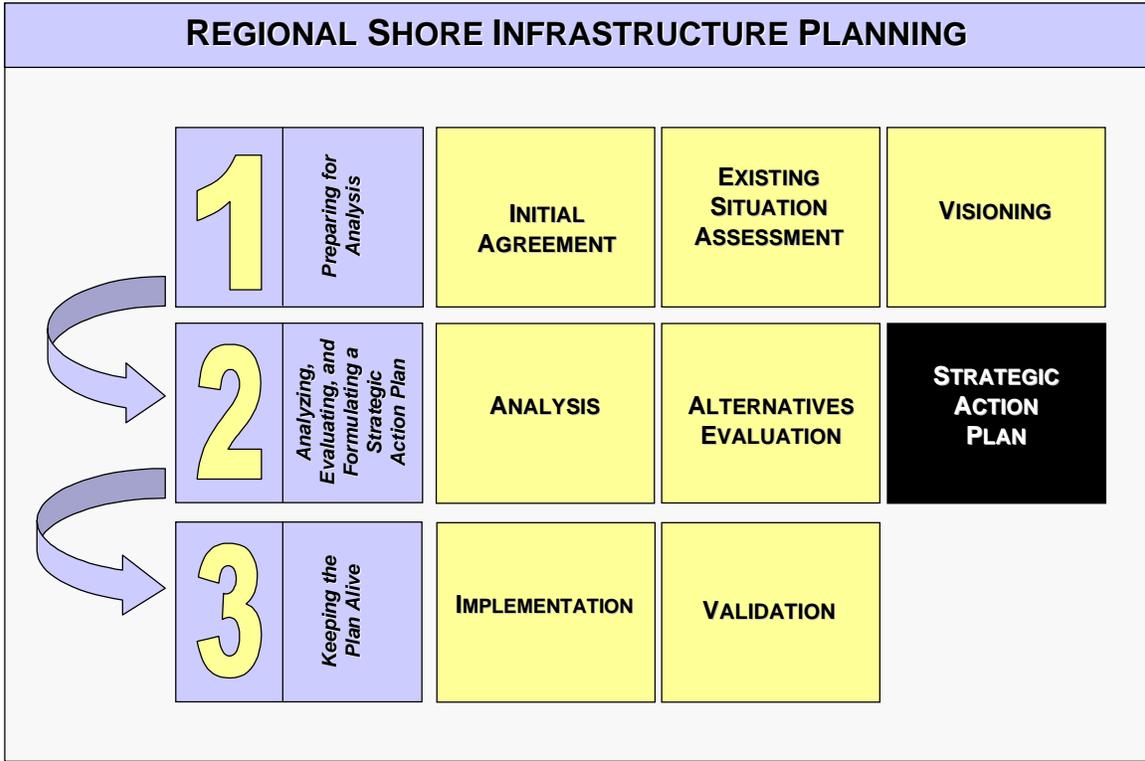
6.4 Alternatives Evaluation Products

Recommendations Report, including a description of the evaluation and comparison process; a summary of the advantages, disadvantages, and potential conflicts of each Alternative; the results of the evaluation with measures of each Alternative; and a summary of the Evaluation Recommendations.

Preferred Alternative Report, describing the decision-making process and presenting the components, proposals, courses of action, interrelationships, and proposals for change and improvements in the Preferred Alternative. This report should also describe the Strategic Issues and their implications for developing the Strategic Action Plan in Task 6.

RSIP-Link “Alternatives Evaluation” Chapter describing the evaluation process and resultant Evaluation Recommendations. This Chapter should also present the Preferred Alternative, including its components, proposals, courses of action, interrelationships, and proposals for changes and improvements, a summary of the decision-making process, and the Strategic Issues.

7.0 TASK 6: STRATEGIC ACTION PLAN



| STRATEGIC ACTION PLAN |
|---|
| <ul style="list-style-type: none"> • Review the Preferred Alternative and Strategic Issues and establish baseline objectives for the Strategic Action Plan. • Define individual Action Steps for implementing the Preferred Alternative. • Assign responsible organizations and individuals to each Action Step. • Develop a Timeline and set major milestones for each Action Step. • Define the regional and Navy resources needed to accomplish the Strategic Action Plan. • Establish Performance Metrics for measuring the successful implementation of the Strategic Action Plan. |

7.1 Overview

The Strategic Action Plan breaks down the Preferred Alternative into specific Action Steps that will map an effective strategy for implementation. Its goal is to push the RSIP plan beyond a set of proposals and into strategies and tactics that can be used to accomplish the plan. The Planning Team, Implementation Team, and essential stakeholders should develop the Strategic Action Plan with realistic regional objectives, detailed Action Steps, assigned responsibilities, an achievable Timeline with major milestones, supporting resources, and Performance Metrics that can be used to monitor implementation. In this way, the Strategic Action Plan breathes day-to-day life into the long-term proposals of the RSIP plan. Distinct components of the Strategic Action Plan include but are not limited to:

- Action Steps (and their assignments)
- Timeline (with major milestones)
- Performance Metrics

7.2 Suggested Methods and Tools

Review the Preferred Alternative and Strategic Issues and establish baseline objectives for the Strategic Action Plan.

The Planning and Implementation Teams should review the Preferred Alternative to make sure that it is achievable. If it is not clearly described or if it is too general and subject to interpretation, send the Preferred Alternative back to Task 5: Alternatives Evaluation for more work.

Establish and prioritize the baseline objectives for the Strategic Action Plan as a way to define general regional expectations and to establish a framework for the Action Steps, responsibilities, Timeline, milestones, resources, and Performance Metrics that follow. By example, this may set community or mission actions above political actions, or focus the Strategic Action Plan on economic actions first. A review of the Strategic Issues will help in establishing these objectives.

Define individual Action Steps for implementing the Preferred Alternative.

The Action Steps set the overall strategy for accomplishing all of the proposals in the Preferred Alternative by breaking them down into small steps that can be achieved by single organizations or individuals and that will, collectively, result in infrastructure improvements on the ground. Clearly define each Action Step to include the deed or work assignment, its expected outcome or forecast, and its relationship to and dependency on the original proposal and other Action Steps. By example, a Preferred Alternative with a new asset proposal might include separate project documentation, environmental compliance, disposal, design, and management Action Steps as part of its Strategic Action Plan.

Assign responsible organizations and individuals to each Action Step.

This is essential to having a successful Strategic Action Plan and subsequent timely implementation. Assign the Action Steps to individual people and organizations that will be held responsible for their implementation. Many of these assignments should fall to members of the Implementation Team, while specific work assignments can be further delegated and assigned to Working Group or even Planning Team members under the coordination of the Implementation Team.

Develop a Timeline and set major milestones for each Action Step.

A Timeline with start and completion dates for every Action Step will help relate one to another and order them as part of a single Strategic Action Plan. Spread related Action Steps out chronologically using priorities, relationships, and dependencies. Do not stop at listing the Action Steps by fiscal year. This will help integrate each Action Step into the daily business of the region. It will also assist the Implementation Team in allocating resources in a logical order. Reasonable fiscal year, short-, and long-term milestones should be set for individual or groups of Action Steps to assist in monitoring the Strategic Action Plan.

Define the regional and Navy resources needed to accomplish the Strategic Action Plan.

Itemize funding, policy and guidance, equipment, technology, information, and any other existing or proposed resources needed for each Action Step. Be realistic about existing resources and their availability; only propose new resources when there is a good chance they will become available to the Implementation Team. After itemizing the resources, be sure to identify a commitment to allocate and establish guidelines for the Implementation Team and decision-makers to respond to shifts in availability. The definition of resources should be realistic and practical, while acknowledging that future resources can be volatile and unforeseen situations may require changes in how Action Steps can be accomplished.

Establish Performance Metrics for measuring the successful implementation of the Strategic Action Plan.

Performance Metrics should establish acceptable limits and consequences to the implementation of each Action Step. They can then be used to monitor the Strategic Action Plan during Step 7: Implementation. Establish a set of standards defining how resources are to be used (and what the consequences are for not using them correctly), what happens when a milestone is not reached, and what happens when the Implementation Team and responsible personnel and organizations change.

7.3 Pointers

The Strategic Action Plan can be seen as a project management document for the Implementation Team. In essence, the Strategic Action Plan is a detailed POA&M or *plan of action and milestones* defining detailed actions, roles, responsibilities, schedules, budgets, and the like.

A Work Breakdown Structure (WBS) system can be used to develop the Strategic Action Plan, particularly the Timetable. The WBS serves as a project management control system with a hierarchical framework that creates a high level view of a plan. It includes numbered tasks and subtasks indicating their relationship to each other and a roll-up by date, cost, or other organizing element.

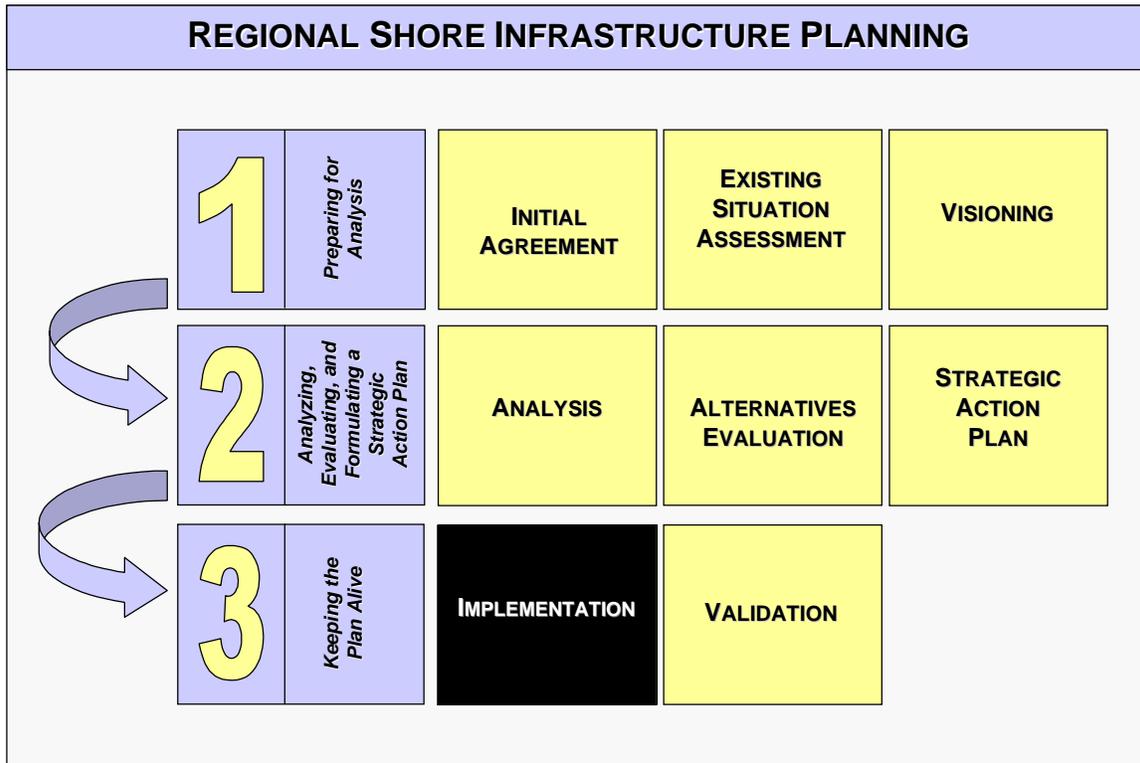
When defining specific Action Steps, consider additional CRPI planning processes that might be needed to support the implementation of a proposal in the Preferred Alternative. Recapitalization, military construction, even privatization proposals might need additional project documentation, environmental compliance, lease management, or other planning processes to support their implementation. Designate appropriate CRPI planning processes as Action Steps wherever possible (refer to the list of additional CRPI Policy Topics below under the *Suggested Methods and Tools* of Task 7: Implementation, or the entire list of CRPI Policy Topics in the **CRPI Overview**).

7.4 Strategic Action Plan Products

Strategic Action Plan Report, documenting the management information needed to implement the Preferred Alternative. The report should include the baseline objectives for the Strategic Action Plan, along with detailed strategies, procedures, and projected outcomes for each Action Step. It should outline the duties and responsibilities of the Implementation Team and others, and provide Performance Metrics that will help monitor Implementation. It should include a Timeline with major milestones, start, and completion dates, and identify regional and Navy resources and expenditures needed to achieve the Strategic Action Plan.

RSIP-Link “Strategic Action Plan” Chapter, with all information required to successfully manage the implementation of the RSIP plan. The Chapter should detail each Action Step and summarize the roles and responsibilities of the Implementation Team and others. It should include a Timeline with major milestones, individual assignments and responsibilities, resource allocations, and Performance Metrics that can be used to ensure the plan is a success.

8.0 TASK 7: IMPLEMENTATION



| IMPLEMENTATION |
|--|
| <ul style="list-style-type: none"> • Establish an Implementation Oversight Committee. • Convene the Implementation Oversight Committee on a regular basis to review and monitor the Strategic Action Plan. • Administer each Action Step of the Strategic Action Plan on a daily basis. • Initiate additional CRPI planning processes associated with the Strategic Action Plan. |

8.1 Overview

The Implementation task represents the day-to-day execution of the Strategic Action Plan and is the physical and procedural realization of the RSIP plan. It is an integral part of the RSIP process.

Traditionally, implementation has been treated as a process that follows planning, focusing primarily on the design and construction of physical improvements on the ground. The transition always muddling the last stages of planning somewhere between long-range plans, project documentation, and facility and site design. The RSIP process eliminates any of this confusion and squarely places Implementation as part of the regional planning process. It does this by placing responsibility for the execution of individual Action Steps in the Strategic Action Plan on the regional command organization and planners through the designation of an Implementation Oversight Committee. This committee, along with the Planning and Implementation Teams, carries out the Implementation task by reviewing, monitoring, and administering the Strategic Action Plan. Implementation also includes the initiation of other planning and planning-related processes that will help to bring the RSIP plan to fruition.

8.2 Suggested Methods and Tools

Establish an Implementation Oversight Committee.

The Implementation Oversight Committee should be under the direction of the regional commander and other essential stakeholders, and include members of the Planning and Implementation Teams. This committee should include regional planning decision-makers and those responsible for the daily progress of Implementation, and should be used to monitor and review the implementation of the Strategic Action Plan and validate the overall RSIP plan (also see Task 8: Validation for additional responsibilities of the Implementation Oversight Committee).

Convene the Implementation Oversight Committee on a regular basis to review and monitor the Strategic Action Plan.

The Implementation Oversight Committee should meet as soon as the Strategic Action Plan is complete to review the plan and clarify expectations. As Implementation progresses, they should continue to meet regularly to review accomplishments, and share resources and ideas. At each meeting, the members of the Implementation Team should brief the Implementation Oversight Committee on the progress of individual Action Steps in the Strategic Action Plan, review its Timeline and the status of resource allocations, and summarize the performance of the Strategic Action Plan using established Performance Metrics.

At their first meeting, the Implementation Oversight Committee should also confirm the allocation commitment for funding, policy and guidance, equipment, technology, information, and personnel resources as they were established in Task 6. They should also confirm the major milestones set by the Timeline of the Strategic Action Plan and integrate them into their monitoring schedule. In the long-term, they need to make critical decisions when performance standards for the Strategic Action Plan are not met or regional conditions change. In response, they should reprioritize the Timeline of the Strategic Action Plan and assist in the reallocation of resources as Implementation progresses.

Administer each Action Step of the Strategic Action Plan on a daily basis.

The daily administration of the Action Steps is the responsibility of the Implementation Team. Each team member should initiate, organize, and oversee individual Action Steps as they were assigned during Task 6; including coordinating meetings, answering questions, and consolidating resources necessary for Implementation. They are responsible for achieving their goals by a designated time.

Initiate additional CRPI planning processes associated with the Strategic Action Plan.

The Implementation Team and the Planning Team should coordinate this requirement together. Some CRPI planning processes will already be included as Action Steps, while other Action Steps will trigger the need for planning and planning-related processes. The following list includes some of the CRPI Policy Topics* that might be initiated:

Acquisition – minor acquisition, donation, public land withdrawal, transfers, permits, condemnation proceedings.

Base Operating Support – shore base readiness report, energy (*see separate topic*), operations and maintenance, utilities management (*see separate topic*), transportation equipment management.

Disposal – domestic, foreign, RAMP.

Energy – energy management, training, DUERS, MICRO-EAR, PRESS, EPSS, UCAR, UPA, renewable energy, ESPC, DSM, energy conservation investment program.

Environmental Compliance – NEPA, environmental compliance evaluation, coastal zone management, NHPA, endangered species, wetlands.

Environmental Conservation – fish and wildlife, endangered species, outdoor recreation, noise control, historic preservation, natural resources (INRMPs), cultural resources (ICRMPs), coastal zone management plan, stewardship, agriculture, wetlands, forest management, special natural areas.

Environmental Pollution Prevention – P2, oil and hazardous substance contingency plan.

Environmental Restoration – environmental restoration program, IRP.

Facility Design – CCB, CES, SPECSINTACT, OMSI instruction, industrial ventilation guide, automated hazard analysis system, MCON program execution guidance, sustainable (green building) design.

Integrated Logistics Support – weapons system acquisition, supporting logistics assessment, certification.

Inventory – real property, NFADB, property records.

Lease Management – agricultural out-leasing, general out-lease, easements, out-granting, use agreements, license, annexation by local municipalities, banks and credit unions.

Project Documentation – BFRs, FPDs, EEs, MILCON, minor construction, major repair and maintenance, special projects, MCNR, PHL, RAC, PHA, PPBS, DD 1391 Plus, program and resource sponsors, submission, medical facilities, NAF.

Safety – ESQD, AICUZ, RAICUZ, and **Electromagnetic** (HERP, HERF, HERO).

Site Design – siting analysis matrix, area development plans, parking and parking lot design, plant materials, landscape architecture, BEAP.

Space Management – annual real property utilization review report, electronic facility information management systems, data dictionaries.

Transportation Engineering – road design.

Utilities Design – centralized vs. decentralized heating systems, conservation design.

Utilities Management – utilities engineering programs, utilities vulnerability, PPV energy contracts, purchased energy, utilities system operation, utilities inspection and maintenance, utilities infrastructure modernization plan, USA, CAUSE, shore-to-ship power, fuel sources, co-generation, coal, utilities allocation, utilities cost, source and distribution.

- * *Note that the list of Policy Topics here does not contain three Component Topics—Land Use, Sustainable Planning, Transportation and Circulation Planning—that are thought to be integral to the RSIP process. It also does not include three Support Topics—Electronic Tools, Maps and Plans, and Metrication—that may be referenced in support of any Policy Topic. These six Policy Topics are not to be initiated separately by the RSIP process (see the **CRPI Overview** for a full list of Policy Topics).*

8.3 Implementation Products

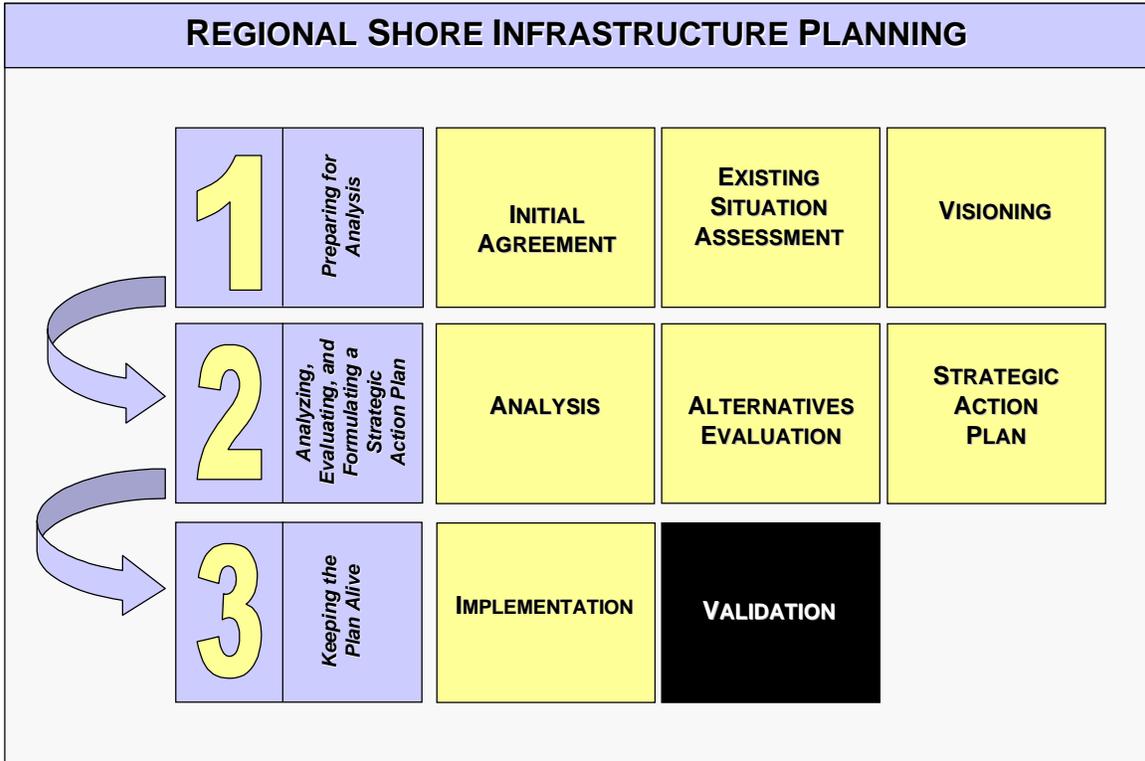
Action Step Administration Log used by individual Implementation Team members, including a record of individual assignments, meetings, questions, answers, resources used, and goals accomplished.

Action Steps Progress Report, including a summary of how each Action Step is performing against the Performance Metrics established by the Strategic Action Plan.

Implementation Oversight Committee Memorandum of Meeting, summarizing the actions and decisions of these regular meetings, including accomplishments and milestones reached, resources committed, critical decisions made, and adjustments to the Strategic Action Plan Timeline and resource allocations.

RSIP-Link “Implementation” Chapter providing links to individual Action Step Administration Logs and Progress Reports as well as the Implementation Oversight Committee Memorandum of Meeting.

9.0 TASK 8: VALIDATION



| VALIDATION |
|--|
| <ul style="list-style-type: none"> • Establish a regular schedule for Validation as part of the responsibilities of the Implementation Oversight Committee. • Review and validate the elements of Task 1: Initial Agreement. • Review and validate the elements of Task 2: Existing Situation Assessment. • Review and validate the elements of Task 3: Visioning. • Review and validate the elements of Task 6: Strategic Action Plan. |

9.1 Overview

Validation is the simple yet essential task for reviewing changes within the region and determining the continued currency and relevancy of the RSIP plan. It enables the Implementation Oversight Committee to continuously monitor key elements of four RSIP process tasks and to decide whether to leave the RSIP plan as-is, update a single task within the RSIP process, update and revise several tasks, or start the entire RSIP process over again.

There is no mandate to regularly update the RSIP plan once it is complete. However, the RSIP process is designed to be flexible enough for each region to use it continuously in support of shore establishment goals to reduce footprints and costs, increase infrastructure capabilities and sustainability, and maximize efficiencies. The Validation task provides the methods for keeping the RSIP plan current and enabling it to keep pace with changing regional dynamics. It includes a regular schedule for Validation as part of the responsibilities of the Implementation Oversight Committee and individual reviews and validation of the elements of Tasks 1, 2, 3, and 6.

9.2 Suggested Methods and Tools

Establish a regular schedule for Validation as part of the responsibilities of the Implementation Oversight Committee.

Delegate responsibility for the review and validation of the elements of Tasks 1, 2, 3, and 6 to members of the Implementation Oversight Committee. Responsibility is more likely to fall to members of the Planning Team within the committee, although members of the regional command organization could also provide review and validation. It should be a continuous process once the RSIP plan has been completed once, including a reporting schedule tied to the meeting schedule of the Implementation Oversight Committee.

Review and validate the elements of Task 1: Initial Agreement.

The elements of Task 1 that should be validated include the:

- List of Stakeholders
- RSIP Boundaries
- Funding Plan
- Mission goals

List of Stakeholders

The introduction of new essential Stakeholders or a major change in the regional command organization may impact or alter the future vision of the region. This may require an update to the Stakeholder list in Task 1 and a revision of one or more of the following tasks where essential decision-makers are crucial to the success of the plan:

- Task 3: Visioning
- Task 4: Analysis (only if the Planning Requirement is dramatically altered in Task 3)
- Task 5: Alternatives Evaluation
- Task 6: Strategic Action Plan.

RSIP Boundaries

A dramatic change to the functional, geographic, or organizational boundaries of the region may dramatically change the RSIP plan. An entirely new RSIP process may be required to prepare a Functional Plan after an Overview Plan has been completed, or a second Functional Plan is requested after the completion of the first, or an Overview Plan is expanded to encompass additional Navy Concentration Areas or Stand-alone Activities. A relatively small geographic boundary change to encompass an additional surrounding county may only

require an adjustment to the Regional Profiles or the Preferred Alternative. RSIP Boundary changes may require an update to Task 1 and a revision of one or more of the following tasks:

- Task 2: Existing Situation Assessment
- Task 5: Alternatives Evaluation
- Tasks 1-8 (only if the changes are dramatic)

Funding Plan

Regional planning is dependent on funding and changes in availability can reduce or expand RSIP activity in a region. Additional money for regional planning could initiate additional RSIP processes.

Mission Goals

A review of the Statement of Purpose in the Initial Agreement may show that the mission goals in the region have dramatically changed. This could simply mean that the Mission Profile should be updated, or it could mean that the entire Visioning Framework has changed and the RSIP process needs to be re-initiated starting at Task 3. Changes in the region's mission goals may require an update to Task 1 and a revision of one or more of the following tasks:

- Task 2: Existing Situation Assessment (Mission Profile)
- Tasks 3-8

Review and validate the elements of Task 2: Existing Situation Assessment.

New data sets with more detailed information may enhance the general understanding of the region, and ostensibly require continuous updates to the Regional Profiles in this task. This is particularly true with automated data sources that improve and expand so rapidly. In some cases, this information will enhance the due-diligence preparation that is possible for Visioning. In other cases, new information may have a dramatic impact on Analysis and the development of Alternatives, and their continuation through Alternatives Evaluation and the Strategic Action Plan. A close review of policy and guidance is also recommended. Changes in federal regulations (like environmental regulations) and DoD directives (affecting operational procedures) may have dramatic impact on the evaluation of Alternatives and the development of the Strategic Action Plan.

Changes in regional data sets may require an update to the Regional Profiles in Task 2 and a revision of one or more of the following tasks:

- Task 3: Visioning (possibly continuing through Task 8)
- Tasks 4-6
- Task 5-6

Review and validate the elements of Task 3: Visioning.

The elements of Task 3 that should be validated include the:

- Driving Forces
- Future Scenarios
- Vision Metrics

Driving Forces

Driving Forces in a region may evolve over time. If new Driving Forces arise, it may be necessary to rethink all of the Future Scenarios or expand the Preferred Scenario and carry it through the RSIP process with new Alternatives, a new Alternatives Evaluation, and a new Strategic Action Plan. This could lead to an update of Task 3 and a revision of Tasks 4-6.

Future Scenarios

Reviewing the regional conditions for each Driving Force may suggest that the preferred conditions have changed and one of the unselected Future Scenarios should now replace the selected Preferred Scenario. This may lead to revisions throughout Tasks 4-6 with the development of Alternatives, their evaluation and selection of a Preferred Alternative, and the development of a new Strategic Action Plan.

Vision Metrics

A review of the Vision Metrics may find dramatic new measures requiring a new Alternatives Evaluation. Changes may be required to the acceptable condition variations used to measure the Alternatives against the Preferred Scenario. Dramatic changes may also be required in the quantifiable and qualitative measures of the Planning Requirement. An entirely new set of Vision Metrics may also be identified. Changes in Vision Metrics may require an update to Task 3 and a revision of Task 5: Alternatives Evaluation and then Task 6: Strategic Action Plan.

Review and validate the elements of Task 6: Strategic Action Plan.

The elements of Task 6 that should be validated include the:

- Timeline
- Regional resources
- Performance Metrics

Timeline

The Timeline may change dramatically based on world, regional, and local events. Start and completion dates for specific Action Steps, priorities, relationships between Action Steps, and dependencies can all dramatically change over time and may require an update to Task 6 and a revision to Task 7: Implementation.

Regional resources

Regional resources are constantly changing, again, based on world, regional, and local events. In some cases, more resources may be available, making it easier to Implement the RSIP plan. In other cases, fewer resources may be available, making it very difficult to implement the RSIP plan according to the Strategic Action Plan. When regional resources change dramatically, the Strategic Action Plan should be updated. In the best case for regional resources, administration activities should then be escalated in Task 7: Implementation. In the worst case, the pace of Implementation should be diminished.

Performance Metrics

The Performance Metrics set standards for monitoring and measuring the successful Implementation of individual Action Steps, and individual and group performance. If Implementation efforts continually fail to meet these standards, new or different Performance Metrics may be required. This should lead to an update of the Strategic Action Plan.

9.3 Validation Products

Validation Summary Report made to the Implementation Oversight Committee and used to identify regional changes and proposals for updates and revisions to the RSIP plan, or entirely new RSIP processes.

Addendum to the Implementation Oversight Committee Memorandum of Meeting, summarizing the Validation findings and proposals when presented to the Implementation Oversight Committee.