



DEPARTMENT OF THE NAVY  
VICE CHIEF OF NAVAL OPERATIONS  
2000 NAVY PENTAGON  
WASHINGTON DC 20350-2000

OPNAVINST 5420.119  
N9I  
17 Aug 2021

OPNAV INSTRUCTION 5420.119

From: Chief of Naval Operations

Subj: TOP-LEVEL REQUIREMENTS DEVELOPMENT AND APPROVAL

Ref: (a) DoD Instruction 5000.02 of 23 January 2020  
(b) DoD Directive 5000.01 of 9 September 2020  
(c) DoD Instruction 5000.80 of 30 December 2019  
(d) ASN (RD&A) memo of 24 April 2018 (NOTAL)  
(e) CJCS Instruction 5123.01H of 31 August 2018  
(f) SECNAVINST 5000.2F  
(g) SECNAVINST 5000.42  
(h) OPNAVINST 5420.117A  
(i) OPNAVINST 5420.118  
(j) OPNAVINST 5000.53A  
(k) OPNAV Staff Instruction 5000.54 of 6 May 2019

Encl: (1) Navy Procedures for the Development and Approval of Top-Level Requirements  
(2) Top-Level Requirements Document Sample Parameters and Attributes

1. Purpose. To define the process for the development and approval of Top-Level Requirements (TLR) while ensuring compliance with the Defense Acquisition System, Joint Capabilities Integration and Development System (JCIDS) guidance, Middle Tier Acquisition (MTA) Program guidance and Navy decision board guidance as detailed in references (a) through (k). By communicating TLRs in a consistently swift, clear and concise method, Navy programs can provide sharply focused and effective warfighting capabilities to the Fleet and the Joint Warfighter.

2. Cancellation. CNO N9 Memo 5000 Ser N9/21U144031 of 7 Jul 2021.

3. Scope and Applicability. This instruction applies to U.S. Navy organizations that generate, develop, support or approve capability requirements.

4. Background. In the initial phase of program development, resource sponsors need a consistent method for providing guidance to industry via the acquisition community on the direction of a program. TLRs set initial estimated parameters and emphasize key attributes for the required capability. A TLR document allows the acquisition process to start while the requirements officer gathers the information necessary to complete full requirements definition. TLRs also support rapid acquisition authorities and rapid concept definition to address urgent

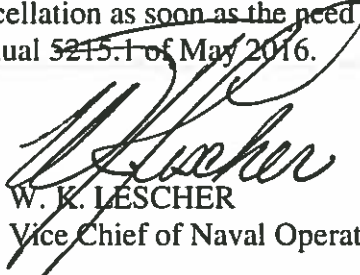
needs. Navy procedures for the development and approval of TLRs are detailed in enclosure (1). A TLR document template, which includes parameters and attributes to be described therein, is provided in enclosure (2).

#### 5. Records Management

a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned per the records disposition schedules located on the Department of the Navy (DON) Assistant for Administration, Directives and Records Management Division portal page at <https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Records-and-Information-Management/Approved%20Record%20Schedules/Forms/AllItems.aspx>.

b. For questions concerning the management of records related to this instruction or the records disposition schedules, please contact the local records manager or the OPNAV Records Management Program (DNS-16).

6. Review and Effective Date. Per OPNAVINST 5215.17A, Director, Warfare Integration (OPNAV N9I) will review this instruction annually around the anniversary of its issuance date to ensure applicability, currency and consistency with Federal, Department of Defense (DoD), Secretary of the Navy and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction. This instruction will be in effect for 10 years, unless revised or cancelled in the interim and will be reissued by the 10-year anniversary date if it is still required, unless it meets one of the exceptions in OPNAVINST 5215.17A, paragraph 9. Otherwise, if the instruction is no longer required, it will be processed for cancellation as soon as the need for cancellation is known following the guidance in OPNAV Manual 5215.1 of May 2016.



W. K. LESCHER  
Vice Chief of Naval Operations

#### Releasability and distribution:

This instruction is cleared for public release and is available electronically only via DON issuances Web site, <https://www.secnav.navy.mil/doni/default.aspx>.

**NAVY PROCEDURES FOR THE DEVELOPMENT AND APPROVAL OF TOP-LEVEL REQUIREMENTS**

1. **Purpose.** TLRs can be used in the situations identified in subparagraphs 1a through 1b:

a. To provide MTA programs a baseline of documented requirements:

(1) Navy approved TLRs will meet the requirements document guidance of references (c) and (d), which state that MTA programs will not be subject to the guidance specified in JCIDS and the Defense Acquisition System and that each DoD Component will develop a streamlined process that results in a succinct requirement document to promote rapid action.

(2) For rapid prototyping or rapid fielding programs, this requirement document can be in the form of a Navy approved TLR document; a Joint Urgent Operational Need, a Joint Emergent Operational Need, a Navy Urgent Operational Need; or a Capability Development Document (CDD). The requirement document should be approved within six months of program initiation.

(3) At a minimum, TLR documentation for an MTA program will establish the minimum viable capability acceptable to the operational force.

(4) For rapid fielding programs, TLRs will include the production quantity required to meet the warfighting need within the first five years of service.

b. To help guide JCIDS programs prior to CDD development:

(1) TLR documents are an optional step in the development and fielding of a program. Navy leadership may use TLR documents to engage industry in developing and refining requirements for programs and identifying the development of proposed materiel solutions.

(2) TLR documents should define a broad decision space to facilitate an iterative process with stakeholders and industry to identify a wide range of potential materiel solutions given a set of constraints.

(3) TLR documents must be based on a foundation of sound analysis. The resource sponsor will determine if sufficient information is currently available to make an informed decision. Once done, the resource sponsor will recommend a course of action, including an initial set of TLRs.

(4) The TLRs defined in a TLR document, once they are refined, can serve as the basis for a CDD.

(5) A TLR is not a substitute for an Initial Capabilities Document when one is required.

2. TLR Tiers

a. Tier 1

(1) Tier 1 TLRs are the highest level, foundational requirements which define the core aspects of a program. They are firmly established without compromise or capability trade-offs. If a program is developing a TLR document prior to a CDD, Tier 1 TLRs are those parameters that would likely become Key Performance Parameters.

(2) For programs anticipated to be ACAT II or above, Deputy Chief of Naval Operations, Warfighting Requirements and Capabilities (DCNO N9), in coordination with the requirements sponsor Deputy Chief of Naval Operations (DCNO), approves Tier 1 TLRs and any subsequent deletion of or changes to the values of Tier 1 TLRs. Requirements Sponsor Directors retain initial TLR approval and change authority for programs anticipated to be ACAT III or below.

b. Tier 2

(1) Tier 2 TLRs have a higher degree of flexibility and a lower level of importance than Tier 1. If a program is developing a TLR document prior to a CDD, Tier 2 TLRs are those parameters that would likely become Key System Attributes.

(2) For programs anticipated to be ACAT II or above, DCNO N9, in coordination with the requirements sponsor DCNO, approves Tier 2 TLRs, but subsequent deletions of or changes to the values of Tier 2 TLRs can be approved at the Requirements Sponsor Director level to facilitate the ability to swiftly make capability trade-offs. Requirements Sponsor Directors retain initial TLR approval and change authority for programs anticipated to be ACAT III or below.

c. Tier 3

(1) Tier 3 TLRs have the highest level of flexibility and the lowest level of importance. If a program is developing a TLR document prior to a CDD, Tier 3 TLRs are those parameters that would likely become Additional Performance Attributes.

(2) For programs anticipated to be ACAT II or above, DCNO N9, in coordination with the requirements sponsor DCNO, approves Tier 3 TLRs, but subsequent deletions of or changes to the values of Tier 3 TLRs can be approved at the Requirements Sponsor Director level to facilitate the ability to swiftly make capability trade-offs. Requirements Sponsor Directors retain initial TLR approval and change authority for programs anticipated to be ACAT III or below.

3. Responsibilities

a. DCNO N9

(1) Except for ACAT III and below, for programs outside the N9 portfolio, approve all initial TLRs and all subsequent changes to Tier 1 TLR values, in coordination with the Requirements Sponsor DCNO.

(2) Except for ACAT III and below, approve all TLRs for programs in the N9 portfolio.

b. DCNOs (other than DCNO N9). In coordination with DCNO N9, approve all initial TLRs and all subsequent changes to Tier 1 TLR values, within their respective requirements portfolios.

c. OPNAV N9I

(1) Keep applicable TLR guidance up to date and ensure that TLR documents are consistent with applicable guidance.

(2) Coordinate with stakeholders on need and timelines for TLR documents.

(3) Coordinate staffing and approval of TLR documents with Requirements Sponsors.

(4) Track the initial approval of TLR documents, track subsequent additions and changes to TLR values and archive TLR approval documentation.

d. Requirements Sponsor Directors

(1) Develop TLR documents as required for MTA programs and as needed for JCIDS programs.

(2) Coordinate with stakeholders on need and timelines for TLR documents.

(3) Coordinate staffing of TLR documents, initial approval of TLR documents and subsequent changes to TLR values, with Director, Integrated Warfare.

(4) Coordinate initial TLRs and subsequent proposed changes to TLR values with all affected requirements sponsors, resource sponsors and stakeholders.

(5) Approve TLRs for programs anticipated to be ACAT III or below.

TOP-LEVEL REQUIREMENTS DOCUMENT SAMPLE PARAMETERS AND  
ATTRIBUTES

Note: This is a sample not to be interpreted as an all-inclusive list.

1. Overview

a. Objectives and scope. Explain if TLRs are being developed as part of a rapid fielding or rapid prototyping effort, as part of an MTA program or as a pre-cursor to a CDD for a JCIDS document.

b. Constraints.

c. Design guidance.

d. Summary of major characteristics.

2. Mission statement

a. Mission.

b. Primary tasks.

c. Secondary tasks.

3. Overall requirements and characteristics (as applicable). For each requirement, provide the Tier (1, 2 or 3), threshold values, objective values and rationale for those values.

a. Cost and affordability.

b. Warfare area capabilities.

c. Structure and dimensions.

d. Propulsion and energy.

e. Command, Control, Communications, Computers, Cyber, Intelligence, Surveillance, Reconnaissance and Targeting.

f. Armament and weapons.

g. Mission payload interfaces.

- h. Mission planning capabilities.
- i. Detectability and survivability.
- j. Mobility.
- k. Operating environment.
- l. Reliability and operational Availability.
- m. Sustainment.
- n. Logistics support.
- o. Security and cybersecurity.
- p. Manning, personnel and training.
- q. Autonomous operations.
- r. Size, Weight, Power and Cooling margins.
- s. Auxiliary systems.