



**DEPARTMENT OF THE NAVY**  
COMMANDER OPERATIONAL TEST AND EVALUATION FORCE  
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POLICY AND INFORMATION NOTICE (PIN) 11-01

Subj: ANALYSIS WORKING GROUP GUIDANCE AND PROCEDURES

Ref: (a) COMOPTEVFORINST 3980.1, Operational Test Director's Manual  
(b) COMOPTEVFOR PIN 10-01

Encl: (1) Analysis Working Group Construct and System Data Analysis Review Process

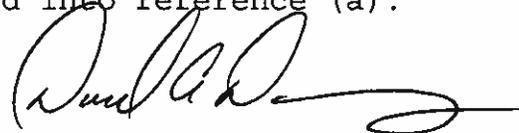
1. PURPOSE. This notice updates reference (a) to add guidance for processes and procedures for the conduct of Analysis Working Groups (AWG).

2. BACKGROUND. Reference (b) established the evaluative process to include the implementation of the System Evaluation Review Board (SERB). Although the SERB provides a robust and repeatable means to clearly and accurately report system risks and deficiencies used to determine Critical Operation Issue (COI) resolution, effectiveness and suitability, and Fleet introduction decisions, the SERB review is dependent on the accurate analysis and validation of supporting quantifiable Operational Test (OT) data. Best practices and lessons learned have shown the need for systematic OT data review and validation prior to conducting a SERB.

3. GUIDANCE. Methods and procedures outlined in enclosure (1) shall be used for all OT reports with the exception of Developmental Test (DT) assist letters.

4. IMPLEMENTATION. This policy is effective immediately.

5. This PIN will be incorporated into reference (a).

  
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Analysis Working Group Construct and  
System Data Analysis Review Process

1. Introduction. Commander, Operational Test and Evaluation Force (COMOPTEVFOR) Policy Information Notice (PIN) 10-01 established the evaluative process to include the establishment of the SERB. The SERB provides a robust and repeatable means to clearly and accurately report system risks, issues, and deficiencies used to determine system; COI resolution, effectiveness and suitability, and Fleet introduction decisions. Prior to conducting a SERB, the OT data (Attributes/Measures of Effectiveness (MOE)/Measures of Suitability (MOS)) called for in the Test Plan (TP) for COI resolution and the data supporting identified issues/deficiencies need to be formally evaluated by a COMOPTEVFOR analyst to better support the SERB's ability to determine the mission impact of these issues/deficiencies. COI analysis methodology steps are laid out in section 4.1 of the Initial Operational Test and Evaluation (IOT&E) TP template located on the Y: drive, and include: Analyze Attribute Data, Assess/Evaluate Subtask Performance, Assess/Evaluate COIs, and Convene a SERB. To support the Analysis of Attribute Data, and assist with the Assess/Evaluate Subtask Performance steps, this PIN establishes an AWG lead by the Test Analysis and Execution Division (01C). The AWG review process and divisional duties and responsibilities are described in the following paragraphs.

2. AWG

a. Overview. The AWG is a peer Operational Test and Evaluation Force (OPTEVFOR) analytical review of test data used for issue/deficiency identification. The AWG focus is on data identified as critical to subtask/COI performance per the associated TP and data used to support identified issues/deficiencies. This includes positive and negative results and is not limited to data-driven values that did not meet specified thresholds. The AWG provides a repeatable process for validation of OT data to ensure accuracy and consistency of data supporting the SERB evaluative process.

b. AWG Membership. The AWG membership is as follows:

- 01C (01C Lead Analyst and/or the Director Analysis and Test Execution (01C) - required
- Divisional Deputy Director - required
- Divisional Operational Test Coordinator (OTC) - required
- Divisional Operational Test Director (OTD) - required

- Division Analyst - required
- Visiting/guest Divisional Analyst - recommended
- 01B Mission-Based Test Design (MBTD) core team facilitator - required (if Integrated Evaluation Framework (IEF)-based TP)
- Divisional Contractor Support - optional.

c. Convening an AWG. The responsible OTC shall coordinate with the 01C Lead Analyst and schedule an AWG prior to the Command SERB. The AWG should be conducted as soon as the division is ready to support, but no later than 5 days prior to, the Command SERB to allow for formal reporting and resolution of data issues discovered during the AWG. Every effort shall be made to vary the visiting divisional analyst to ensure the effective spread of lessons learned across the command. The OTD shall provide read-ahead materials to all AWG members no later than 1 working day prior to the scheduled AWG, to include the filled out AWG spreadsheet (see examples in appendix A, templates posted to Y: drive), supporting data, and an electronic copy of the approved TP.

d. Conduct of the AWG

(1) The AWG focus is on data identified as critical to COI resolution per the associated TP and data used to support identified issues/deficiencies. AWG data analysis focus is as follows:

- Data that was used to build the issues/deficiencies being presented to the SERB.
- All data identified by the TP as critical for subtask/COI resolution. This includes Key Performance Parameters (KPP)/MOEs/MOSSs that will be included in the section 3, Major Quantitative Test Results tables of the test reports.
- Data behind quantitative results discussed in the specific section 3, COI results paragraphs of the report.
- Reliability growth curves, key response variables, and any other data that the division feels are pertinent to issue/deficiency development or COI resolution.

(2) Every AWG shall start with a brief overview/description of the System Under Test (SUT) and pertinent System of Systems (SoS) to aid reviewing analysts in understanding system operation and relevance of the test data to be reviewed. Use of the draft SERB system brief is encouraged.

(3) Following the completion of the SUT overview, the OTD/OTC will lead the AWG data review and data-driven issues identified during test using the prepared AWG spreadsheet. The approved TP will also be used to ensure all relevant test data for each COI has been reviewed.

(4) Again, the focus of the AWG is data-driven issue identification and evaluation of data-driven attributes binned by subtasks associated with COIs. COI resolution is a SERB function, which is supported from AWG input.

### 3. Roles and Responsibilities

#### a. 01C Lead Analyst:

- Coordinate with OTD/OTCs as appropriate and schedule AWGs.
- Conduct an initial meeting with the OTD/OTC prior to scheduling the AWG to determine the scope of data analysis and if any special analytical support is needed for the particular system (e.g., Design of Experiment expert).
- Determine the visiting/guest analyst.
- Conduct analytical reviews and validate data-driven results prior to the associated command SERB.
- Collect data review lessons learned and disseminate as best practices and OTD Manual changes as needed.
- Provide recommended templates for the presentation of data in formal reports.

#### b. OTD:

- With the OTC, make initial:
  - o Review of reduced test data supporting data-driven deficiencies and positive results.
  - o Review TP to validate collection of required test data and identification of any test data issues (e.g., missing data or data not qualified for OT).
- Coordinate with 01C Lead Analyst and schedule an AWG at least 5 working days prior to the command SERB (use telephone conference calls to include Air Test and Evaluation Squadrons and supporting organizations for these reviews).

- Fill out the AWG SERB spreadsheet and prepare a SUT/SoS overview brief and send as read ahead to AWG at least 1 day prior to the AWG.
- Lead the AWG through the data review discussion.

c. Division Analyst:

- Assist the OTD/OTC in above paragraph 3b responsibilities.
- Prepare supporting OT data spreadsheets as directed by OTD/OTC.
- Participate in AWGs.

d. OTC:

- Assist the OTD in above paragraph 3b responsibilities.
- Review the AWG SERB spreadsheet for accuracy prior to the AWG.
- Review test data for deficiencies or data anomalies that should be identified for AWG discussion and resolution.

e. Division Visiting/Guest Analyst:

- Review read-ahead materials prior to the AWG.
- Participate in AWGs.

f. 01B MBTD core team facilitator:

- Participation required for data collected per IEF-driven TPs.
- Review read-ahead materials prior to the AWG.
- Review associated approved IEF prior to the AWG.

g. Warfare Division Deputy Director: Oversee execution of divisional analytical reviews.

# Appendix A Spreadsheet Examples

CLASSIFICATION  
Program Name, TEIN and Date  
EOA/OA Analysis Working Group Data Review

FIELDS NOT REQUIRED FOR AWG ARE GRAYED OUT

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COI / Issue Short Name	Issue Description	ORD/CDD linkage or defined requirement source	Threshold	Result	SUT (indicated whether specified or derived)	If a WE issue list "WE"	Issue Consequence (1-5)	Issue Likelihood (1-5)	Issue Degree of risk (H/M/L/G)	Issue Risk at IOTE (High/Med/Low)	Discussion Consequence vs. Likelihood Rationale	Recommendation Category ("Prior to IOT&E" or "To achieve full mission capability")	A-Code	VX CO (as necessary)	Policy (Standardization)	Test Execution
COI #1 (COI Short Name)																
1st Level Subtask	TASK # 1 (NAME OF SUBTASK)															
Critical MOE/Attribute #1	MOE/Attribute short description	Page XX Para xx.x.x of CPD	Threshold value, if appropriate	Observed results.												
Enter Issue # 1 (Short Name)	State deficiency in sufficient detail for SERB deliberation	Page XX Para xx.x.x of CPD	List Threshold value, if appropriate	State observed results	Indicate if specified or defined	If a WE issue list "WE"	Enter issue consequence (e.g. 4)	Enter issue likelihood (e.g. 5)	Enter issue resulting mark and color code (e.g. 4/5)	Enter issue risk at IOTE (e.g. Moderate)	Discuss consequence and likelihood: E.g. Degrades SUT performance, but has work-around. Discuss risk at IOT&E: Technical Soln. Impact to cost and impact to Schedule. E.g. Technical soln know, No funding, 3-6 month delay to IOTE.	Enter recommendation using guidance from EOA-OA Report Template	Enter A-Code (e.g. Not recommended)	Enter VX CO (e.g. Not recommended)	Enter Policy (e.g. Not recommended)	Enter Test Execution (e.g. Not recommended)
1st Level Subtask	TASK # 2 (NAME OF SUBTASK)															
Critical MOE/Attribute #2	MOE/Attribute short description	Page XX Para xx.x.x of CPD	Threshold value, if appropriate	Observed results.												
Critical MOE/Attribute #3	MOE/Attribute short description	Page XX Para xx.x.x of CPD	Threshold value, if appropriate	Observed results.												
Critical MOE/Attribute #4	MOE/Attribute short description	Page XX Para xx.x.x of CPD	Threshold value, if appropriate	Observed results.												

Figure 1. EOA/OA AWG Spreadsheet

FIELDS NOT REQUIRED FOR AWG ARE GRAYED OUT

CLASSIFICATION  
Program Name, TEIM, Date  
NOTE/FOTE Analysis Working Group Data Review

FIELDS NOT REQUIRED FOR AWG ARE GRAYED OUT

COI / Issue Short Name / 1st level tasks/Supporting KPPs, MOEs and MOSs	Issue Description	ORD/CDD/CPD/CONOP linkage or derived requirement source	Threshold	Observed results.	SUT (indicated whether specified or derived)	If a WE Issue (1st "WE")	Severe, Major (1, 2 or 3), Minor	COI Resolution (use SUT only, SOs, then state resolution for both)	Rationale: Explain COI assessment/ resolution or issue severity level	Enter recommendation using guidance from IOTE-FOTE Report Template ("Prior to Deployment", "Prior to Fleet Introduction", "ASAP", "as soon as practicable".)	Division Director	VX COI (as necessary)	Policy	Test Analysis & Execution
E-1 (COI Shortname)								SUT-SAT SOS-UNSAT	Explain COI assessment/ resolution (E.g., Although not a SUT issue, SoS power loss on 3 occasions resulted in data corruption and mission aborts.)		During SERB/ESERB/ERB Enter (C=concur or N= nonconcur & recommendation for each COI and issue)	During SERB/ESERB/ERB Enter (C=concur or N= nonconcur & recommendation for each COI and issue)	During SERB/ESERB/ERB Enter (C=concur or N= nonconcur & recommendation for each COI and issue)	During SERB/ESERB/ERB Enter (C=concur or N= nonconcur & recommendation for each COI and issue)
TASK # 1 (NAME OF SUBTASK)														
1st Level Subtask														
Critical MOE/Attribute #1	MOE/Attribute short description	Page XX Para xxx.x of CPD	Threshold value, if appropriate	Observed results.										
Critical MOE/Attribute #2	MOE/Attribute short description	Page XX Para xxx.x of CPD	Threshold value, if appropriate	Observed results.										
Issue #1 (Short name)	Describe the issue	Page XX Para xxx.x of CPD	Threshold value, if appropriate	Observed results.	Specified		Minor		Rationale explain Severe, Major (1, 2 or 3); Minor	Enter recommendation using guidance from IOTE-FOTE Report Template	C	N-Major 3	C	N-Major 3
TASK # 2 (NAME OF SUBTASK)														
1st Level Subtask														
Critical MOE/Attribute #3	MOE/Attribute short description	Page XX Para xxx.x of CPD	Threshold value, if appropriate	Observed results.										
Critical MOE/Attribute #4	MOE/Attribute short description	Page XX Para xxx.x of CPD	Threshold value, if appropriate	Observed results.										
Issue #2 (Short name)	Describe the issue	CONOP	N/A		Derived									

Figure 2. IOTE/FOTE AWG Spreadsheet