



OCCAR Management Procedure

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Record of Changes

Date	Issue	Changes
01/99	OMP 1.01 – Issue 1	Creation of the document. OMP approved by the Board of Supervisors.
02/02	OMP 1.01 – Issue 2	Revision of the main document and of annexes. Document not entered into force.
03/03	OMP 1.01 – Issue 3	Revision of the main document and of annexes i.a.w. comments from the nations. Document not entered into force.
11/03	OMP 1.01 – Issue 4	Document issue further to the approval of OMP 1.01 issue4 draft1 dated 08/03 by the Board of Supervisors on 5/12/03.
24/05/05	OMP 1 – Issue 1	Revision: including "Programme Board" Document issue further to the approval of OMP 1 issue1 draft3 by the Board of Supervisors on 19/05/05.
01/07/06	2	Conversion to the OCCAR-EA graphical house style.
06/11/09	3	Updated to insert Annex OMP 1-D on cost analysis, audit and price investigation and to make reference within the OMP 1. Integration of OMP 1 Addendum 1 as Annex OMP 1-C.
15/12/10	4	Update to align with OMP 2, Issue 6. Addition of Annex OMP 1-E, issue 1 "Management of Technology Demonstrator Programmes". Implementation of changes as agreed at the 34 th FTPC meeting on 8-9/11/10.
10/06/14	5	Overall structure modification of Issue 4, introduction of OCCAR specific definitions to describe Programme / Programme activities.
08/12/16	6	Amendment of Annex OMP 1-A, paragraph 5.2, to raise Programme Board's awareness regarding its role in the OCCAR whistle blowing policy.
11/12/20	7	Document reviewed and updated to coincide with the review cycle. Opportunity taken to provide greater coherence with other OMPs and to consolidate information from annexes into the main body of the document.

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1. Purpose

The purpose of OMP 1 is to provide the Programme Management framework required to enable OCCAR-EA to deliver the requirements captured within the Programme Decisions. Instructions on how to implement the OMPs are contained within the OCCAR-EA Internal Procedures.

OMP 1 addresses the following aspects:

- The OCCAR Programme Management life cycle;
- The management concept and principles to be applied to an OCCAR Programme;
- The management structure, roles and responsibilities for an OCCAR Programme.

2. Scope

OMP 1 applies to OCCAR stakeholders involved in the management of OCCAR Programmes during all phases of the Programme Life Cycle, as defined in Chapter 5. Regarding non-OCCAR stakeholders and considering their involvement in the Programme, OCCAR-EA will ensure that relevant elements of OMP 1 are followed.

This document provides the procedures for the application of Programme Management within OCCAR programmes.

3. Applicable Documents

- OCCAR Convention;
- OCCAR Security Agreement;
- Global Balance Policy Paper;
- Board of Supervisors Decisions;
- OMP 2 – Programme Integration;
- OMP 3 – Corporate Management;
- OMP 4 – Legal Issues;
- OMP 5 – Contract Placement Procedure;
- OMP 6 – Contract Terms & Conditions;
- OMP 7 – Government Quality Assurance;
- OMP 8 – Personnel Regulations;
- OMP 9 – Recruitment;
- OMP 10 – Financial Rules;
- OMP 11 – Security Regulations;
- OMP 12 – Handling of Unclassified Sensitive Information;
- OMP 13 – Airworthiness;
- OMP 14 – Programme Qualification Management.

4. Programme Principles

OCCAR implements a comprehensive business management framework, as detailed in OMP 3. This framework details the OCCAR management structure, the main committees and meetings, the OCCAR Strategy and the routes for planning, reporting and auditing.

In addition to the principles detailed in OMP 3, Programme Divisions are required to apply the following Programme Management principles:

4.1 General Governance

OCCAR implements a comprehensive business management framework, comprising strategic management integrated at the level of concepts, procedures and tools into the OCCAR-EA integrated business management framework.

The OCCAR-EA management framework is based on the following interrelated components of the OCCAR-EA Internal Control Process:

- Control environment, which is the basis for all other components of the management framework;
- Objectives setting, which consists in the translation of the OCCAR mission into specific, measurable, achievable, realistic and time-related objectives;
- Risk Management, which identifies, analyses and responds to uncertain events that could affect the achievement of the objectives of a Programme;
- Control activities needed to ensure that directives are followed, decisions are implemented and risk response actions are properly applied;
- Information management as well as internal and external communication, which are essential for effective and efficient Programme Management;
- Continuous monitoring of the OCCAR-EA Internal Control Process with a regular review and evaluation of the information available in order to ensure that the potential risks are properly identified and assessed, and the necessary control mechanisms are effectively implemented to mitigate effects; and
- Use of the information available to take appropriate action, especially when the achievement of objectives is at risk.

The OCCAR-EA Internal Control Process provides all Stakeholders with assurance that OCCAR-EA is meeting its objectives in the most efficient and effective manner.

4.2 Programme High Level Objectives

The Participating States are required to define High Level Objectives for each Programme Stage. High Level Objectives are created using performance, time or cost drivers and provide specific, measurable high-level programme objectives to be achieved by OCCAR. OCCAR-EA regularly reports progress against these High Level Objectives, giving the Participating States the ability to assess the progress of each Programme Stage.

4.3 Accountability of the OCCAR-EA Director

The OCCAR-EA Director is personally and directly accountable to the Board of Supervisors for the effective and efficient overall management of all OCCAR Programmes. The OCCAR-EA Director is also personally and directly accountable to the relevant Programme Board for the effective and efficient management of the individual OCCAR Programmes.

4.4 Accountability of the Programme Manager

The OCCAR-EA Director delegates the authority and responsibility of managing the programme to the nominated Programme Manager. Therefore, the Programme Manager is personally and directly accountable to the OCCAR-EA Director for the effective and efficient management of the Programme.

4.5 Autonomy of the Programme Manager

The delegation from the OCCAR-EA Director provides the Programme Manager with the autonomy to manage the Programme and its corresponding High Level Objectives.

The responsibilities of the Programme Manager are detailed in paragraph 8.2 and where appropriate, further elaborated in the relevant Programme Decision.

4.6 Global Balance

According to the OCCAR Convention, OCCAR Member States have renounced the application of the analytical calculation of industrial "juste retour" on a programme-by-programme basis, and replaced it by the pursuit of an overall multi-programme/multi-year balance, also known as Global Balance.

OCCAR-EA is responsible for recording Global Balance information. Central Office and the Programme Divisions perform these activities in close coordination. Central Office provides the Programmes with the relevant instructions for the collection of the annual Global Balance data. It is the responsibility of the Board of Supervisors to consider the actions to be taken to rectify an imbalance, should one occur.

5. OCCAR Programme Life Cycle

5.1 Life Cycle Phases

OCCAR Programmes are organised into six distinct phases. These phases are described below.

5.1.1 Preparation Phase

The Preparation Phase will agree the scope, duration and cost of the Programme. The expected outputs will be a harmonised set of user requirements detailed in a User Requirements Document / Common Staff Requirement.

The concept of how the Programme will be supported and utilised during the in-service phase are required to be established. It is also essential that the stakeholders ensure that appropriate strategies and specialist resource requirements are well defined.

5.1.2 Definition Phase

The Definition Phase will produce the System Requirements Document, which defines what the system must achieve to meet user needs as stated in the User Requirements. The System Requirements Document will establish links with the User Requirements and these will be maintained throughout the phase. The System Requirements Document will be developed, trading time, cost and performance to identify the possible technical solutions. The procurement solution will also be identified, ensuring coherency with Through Life Management principles.

5.1.3 Development Phase

During the Development Phase, the system (including its support solution) is designed, developed, tested, qualified and certified. Development risk is eliminated progressively and performance targets for production are set, ensuring there is consistency between the final design solution and the User/System Requirements Documents.

The industrial production resources are defined and normally put in place. In principle, the Development Phase is completed when the System is qualified and certified.

5.1.4 Production Phase

The Production Phase consists of all activities required to produce and deliver the System to Programme Participating State(s). The Production Phase ends when all the individual systems have been delivered and accepted.

5.1.5 In-Service Phase

The In-Service Phase confirms and ensures the defence capability provided by the system is available for operational use, to the extent defined within the Programme Decision and the User Requirements. In addition, it provides support to the front line and maintains levels of performance, whilst driving down the annual cost of ownership.

If required, this phase will also undertake any agreed upgrades or improvements, refits or acquisition increments.

5.1.6 Disposal Phase

The purpose of the Disposal Phase is to generate, plan and manage the efficient, effective and safe disposal of the equipment.

5.2 Learning From Experience

OCCAR-EA captures learning from experience information from all Programme life cycle phases. This enables OCCAR-EA to constantly evolve and improve internal processes, which is a key element that underpins the ISO 9001 certification.

All Programme Management Internal Procedures are reviewed on a regular basis, ensuring best practice from the Programme Divisions is captured. This ensures that policy, process and guidance are up-to-date and reflect best practice.

6. OCCAR Programme Management

6.1 General

An OCCAR Programme is initiated with the signature of the first Programme Decision, covering the first Programme Stage and ends with the closure of the last Programme Stage. OCCAR-EA involvement with a Programme is required to begin prior to the signature of the first Programme Decision and these activities are addressed within OMP 2.

6.2 Programme Stages

An OCCAR Programme Stage is defined as the Programme Management activities covered under a specific Programme Decision. Programme Stages are not necessarily aligned to the OCCAR programme life cycle phases, indeed it is common to have more than one life cycle phase covered by a single Programme Decision.

6.3 Programme Integration

The procedures for integrating new Programmes or Programme Stages into OCCAR are detailed within OMP 2.

6.4 Programme Division

An OCCAR Programme Division is structured to manage one or more Programmes with the aim of optimising the management cost or for synergy among the Programmes. The Programme Manager will define, implement and lead all the necessary functions. Programme support and corporate support will be provided by OCCAR-EA Central Office and by Detached National Experts. The diagram below illustrates the relationships between the Programme Division and the Programme Stakeholders.

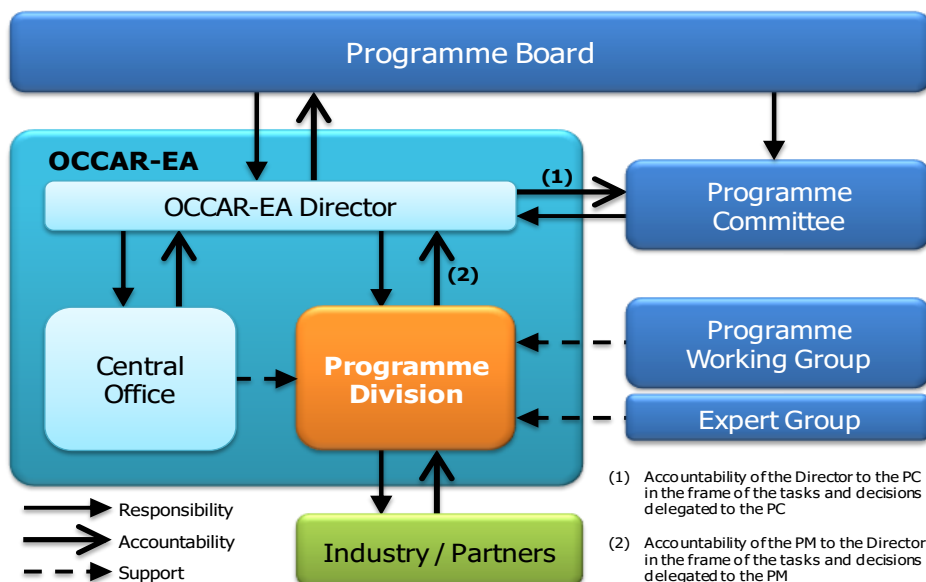


Figure 1: OCCAR-EA PD relationships with Stakeholders

6.5 Programme Records

Programmes are managed on the principle of delegating authority to the Programme Managers. To ensure full accountability and a clear audit trail, the Programme

records are to be carefully maintained to meet the requirements of all Programme Stakeholders. Programme records will be collated and stored in compliance with OMP 11 and 12.

When legally required, authenticated paper copies of key documents are to be maintained in order to speed the transfer process from OCCAR-EA to other external authorities.

6.6 National Support to Programmes

The Programme Management structures within OCCAR-EA (including Programme Integration Team) will require support from Participating States in areas including Government Furnished Equipment, Expert Working Groups, Programme Working Groups, audits (e.g. quality, price, security). This support will be formally requested by the Programme Manager (or the Head of the Programme Integration Team), who will be responsible for leading the groups and assigning tasks. The level of support may vary during the life of the Programme and include the provision of Detached National Experts.

6.7 Stakeholder and Relationship Management

Identification of Stakeholders involved in a Programme requires identifying the individuals or organisations that have an active involvement in the Programme or that may exert any influence over the Programme's objectives and outcomes.

The identification of Stakeholders and analysis of their influence and level of interest will be conducted throughout the Programme and during transition of the Programme from one Stage to another. The result of the Stakeholder analysis will contribute to the development of an effective communications strategy and plan, and support Risk Management.

7. Programme Transition

Programme Transition within OCCAR is defined as the management activities related to the progression of an OCCAR Programme to the next programme stage. Generally, this encompasses the closure of the current stage and the follow-on activities required to initiate the next stage, but it also includes the transition of an OCCAR programme to a third party.

Programme transitions can be managed jointly between the Programme Management Support Division within Central Office and the Programme Division with a lead appointed by the OCCAR-EA Director. The procedures for managing transitions can be found within OMP 2.

8. Roles & Responsibilities: OCCAR-EA

8.1 OCCAR-EA Director

The role of the OCCAR-EA Director is defined in Annex OMP 3-F.

8.2 OCCAR-EA Programme Manager

It is the responsibility of the OCCAR-EA Director to appoint a Programme Manager to head the Programme Division. The relevant Programme Board must approve the nominated candidate prior to their official selection.

The OCCAR-EA Director delegates the following responsibilities to the Programme Manager:

- Achievement of the Programme and management objectives within the framework of the Programme Decision and within the OCCAR rules;
- The application and compliance with all OCCAR-EA Internal Procedures. Any deviations from OCCAR-EA Internal Procedures must be formally captured as a waiver and agreed with the OCCAR-EA Director;
- Taking the decisions relating to the Programme needed on a daily basis;
- Managing all aspects of procurement and contracting, ensuring compliance with OMP 5 and the terms of their delegation from the OCCAR-EA Director;
- Overseeing and co-ordinating the provision of any nationally or OCCAR provided equipment, facilities, services, information or personnel necessary for the contractor to execute the contract;
- Managing all activities required by the Participating States for the preparation of follow-on Programme Stages;
- Approving the job descriptions for all posts of the Programme Division (except the Programme Managers post);
- Coordinating all necessary activities for the finalisation and implementation of all international arrangements and related amendments required for the Programme with Central Office;
- Supporting Central Office in the identification of the Programme Management best practices and tailoring them to the Programme needs;
- Implementing security within the Programme Division premises;
- The management of transition between Programme stages as assigned by the OCCAR-EA Director.

The Programme Manager is required to ensure that clear delegations of responsibility and sufficient autonomy to manage the Programme are provided. This will ensure that tasks and risks are delegated to those who are in the best position to manage them.

The Programme Manager will ensure that the roles of the Programme Division are clearly defined and will ensure that the relationship(s) with industry, promotes excellent communication without diminishing the contractor's responsibilities.

The Programme Manager will co-ordinate the general concept for Government Quality Assurance performance in the Programme with the National Quality Assurance Authorities/Quality Assurance Representative of the Participating States, prior to the issue of the initial request to the Government Quality Assurance.

The Programme Manager will report on a regular basis to the OCCAR-EA Director and provide the draft OCCAR-EA Director's reports for the Programme Board and Programme Committee. The Programme Manager is required to report any threat to the execution of the Programme with respect to timescales, costs and performance to the OCCAR-EA Director.

The Programme Manager may establish, manage and control Expert Working Groups on specific topics, approaching competent national authorities through the National Programme Coordinator. In principle, Expert Working Group meetings are held in the Programme Division and should be disbanded as soon as they have completed their task.

Should the Participating States be unable to provide suitable experts for the aforementioned groups, OCCAR-EA may contract for such expertise. The costs will be covered within the Operational Budget allocated to the Programme Stage. All actions in this area are subject to Programme Committee approval.

If requested by the Participating States, the Programme Manager will provide information required to fulfil national obligations relative to the management of the Programme. Any information provided to the Participating States should comply with OCCAR rules and regulations. Any difficulties in providing a formal response to the Participating States request should be reported to the Programme Committee.

8.3 OCCAR-EA Central Office

The role of Central Office is to support the OCCAR-EA Director and the Programme Divisions in the execution of Programmes within OCCAR. Central Office endeavours to embed continuous improvement within the Programme Divisions by providing support in the following key areas:

- Maintaining a close relationship with the Programme Divisions in all Programme Management disciplines and other corporate areas, such as infrastructure, site and Information Communication Technology services;
- The provision, maintenance and improvement of an integrated set of OCCAR procedures, which provide the processes and activities associated with Programme Management and Systems Engineering within OCCAR;
- The monitoring of management performance and procedures application (in order to identify areas for improvement and/or innovation), and the definition and monitoring of related actions;
- The secondment of staff from Central Office to Programme Divisions in special circumstances, including the provision of expertise during transition between Programme Stages;
- The management of transition between Programme Stages as assigned by the OCCAR-EA Director.

9. Roles & Responsibilities: Participating States

The main responsibilities of the Participating states are described below. These responsibilities include the provision of resources for the management of the Programme, the supervision/monitoring of the Programme, the provision of directions/decisions on the Programme and the attendance of empowered representatives to the relevant OCCAR meetings.

9.1 Programme Management

In order to facilitate the integration of a Programme into OCCAR, the Participating States are required to provide OCCAR with the following key Programme Management information, which must include:

- High Level Objectives in accordance with paragraph 4.2;
- A consolidated set of user requirements, which are prioritised. These can be in the form of a User Requirements Document or a Common Staff Requirement;
- Individual or Common Programme expected benefits, other than the achievement of operational capabilities;
- A clearly defined date that the system will enter service for each Participating State;
- Any risks, assumptions and dependencies that have been captured;
- Any Programme constraints that OCCAR must observe.

9.2 Board of Supervisors

The role of the Board of Supervisors is defined in Annex OMP 3-B.

9.3 Programme Board

The Programme Board is formed by the Board of Supervisors representative(s) of the Member State(s) participating in the Programme and, where appropriate, the representative(s) of the non-Member Participating State(s) at an equivalent level¹.

Where this role has been delegated, each delegation shall be issued by the Minister of Defence or his / her duly authorised representative in writing and provided to the other representatives and to OCCAR-EA. OCCAR-EA will act as the depository of such delegations.

The Programme Board is responsible for making the high-level decisions related to the Programme. If there are several Programme Decisions within a Programme, Participating States representation at Programme Board will be determined by the interested parties of each Programme Decision.

The terms of reference for the Programme Board can be found at Annex OMP 1-A.

9.4 Programme Committee

A Programme Committee will be established to oversee the management of the Programme, especially in respect of achievement of the High Level Objectives.

The Programme Board representative of each Participating State shall appoint their Programme Committee representative. Such appointments shall be issued in writing and provided to the other representatives and to OCCAR-EA. OCCAR-EA will act as the depository of such appointments.

The Programme Committee representative may be accompanied by a national delegation. These national delegations will be composed of personnel from national organisations and may include technical experts invited by the Participating State.

The terms of reference for the Programme Committee can be found at Annex OMP 1-B.

¹ The BoS representatives of the Member States are the Ministers of Defence or their Delegates.

9.5 National Programme Coordinator

The Participating States will nominate national Programme Coordinators. They should be the national counterparts of the Programme Manager and their main responsibilities are as follows:

- To represent the Participating State as permanent members in the Programme Working Group;
- To provide the interface between the Programme and national organisations, including military users;
- To be responsible for the management or coordination of any programme related national task not delegated to OCCAR and for arranging the provision of national specialists and procurement services, goods and infrastructure as defined in the Programme Decision;
- To ensure that all national contributions and decisions are provided in a timely manner, to allow the Programme to progress within the planned objectives;
- To coordinate the harmonisation of the national Government Quality Assurance procedures and activities in each of the Participating States as far as possible.

9.6 Programme Working Group

The Programme Working Group is an advisory/consultative body that may be set up to support the Programme Manager. The Programme Manager chairs the Programme Working Group and the National Programme Coordinators are permanent members. The Programme Working Group may also include national experts and representatives of industry.

The purpose of the Programme Working Group is to provide a forum to ensure that information is exchanged and to discuss issues related to the Programme, in particular national approvals, risk, Government Furnished Equipment, operational and acceptance aspects in order to achieve the High Level Objectives.

The Programme Committee will approve the terms of reference for the Programme Working Group. Terms of Reference must conform to OCCAR Rules and any deviations must be submitted to the Board of Supervisors for approval.

Issues, which could have an impact on the achievement of the High Level Objectives and/or cannot be achieved within the delegation and autonomy of the Programme Manager, must be referred to the OCCAR-EA Director immediately.

The Programme Working Group meetings will be convened as required by the Programme Manager or at the request of one of the National Programme Coordinators. The Programme Division normally hosts the Programme Working Group meetings.

10. Collaboration with other International Organisations

In managing collaborative defence Programmes, OCCAR may work together with other international organisations within the European Defence framework and NATO. The primary aim of any collaboration with other organisations will be to provide cost-effective Programme Management services to OCCAR customers and to support implementation of Through Life Management principles.

OCCAR will maintain overall responsibility of Programme Management on behalf of the Participating States.

11. AcrAnnexes

Annex OMP 1-A	Programme Board Terms of Reference
Annex OMP 1-B	Programme Committee Terms of Reference
Annex OMP 1-C	Acronyms & Definitions