



THE UNDER SECRETARY OF THE NAVY
WASHINGTON DC 20350-1000

APR 04 2019

MEMORANDUM FOR DISTRIBUTION

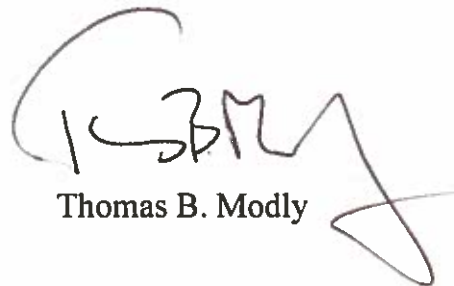
SUBJECT: Secretary of the Navy Directives Review

By my memorandum of 29 October 2018, all organizations were to complete the “in process” review of their instructions by 31 March 2019. Additionally, the Assistant Secretaries of the Navy (ASNs) were delegated the authority through 31 March 2019 to sign directives assigned to their organization if they met the stated criteria. Considerable progress has been made through streamlined processes and emphasis by organizations to meet the aforementioned deadline. Approximately 50 percent of the instructions requiring updates have been signed; however, there are still slightly over 100 instructions requiring completion.

This memorandum provides the following:

- Effective 1 April 2019, the authority for ASNs to sign directives assigned to their organization is extended to 28 June 2019.
- Coordinating/reviewing organizations must complete their review within 30 days. Instructions without a response, after 30 days, will be considered a concurrence.
- All other previously promulgated guidance by Department of the Navy/Assistant for Administration is in effect (e.g. General Counsel office must provide concurrence prior to signature of the instruction).

I will continue to sign directives assigned to staff assistant organizations. Questions regarding processes may be submitted to Mrs. Helena Gilbert at 703-693-9932 or Helena.Gilbert@navy.mil.

A handwritten signature in black ink, appearing to read "T. Modly", is written over the printed name of Thomas B. Modly.

Thomas B. Modly

Distribution (see next page)

SUBJECT: Secretary of the Navy Directives Review

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THE UNDER SECRETARY OF THE NAVY
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29 OCT 2018

MEMORANDUM FOR DISTRIBUTION

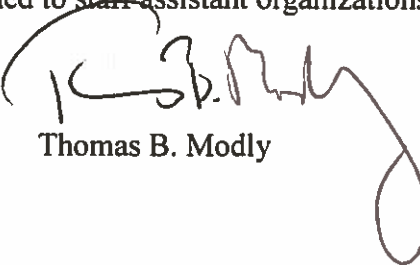
SUBJECT: Secretary of the Navy Directives Review

By previous correspondence the Secretary of the Navy (SECNAV) directed a review of directives to include cancelling those not needed and modifying those that are still required. The modification process was to be completed by the end of March 2018. To date 17 directives have been cancelled with 9 additional in the final review process for cancellation. The March 2018 goal of completing all modifications and reissuing the directives to be retained was not met. As of 10 October 2018 only 46 directives have been signed, with 206 directives "in process." Although all directives greater than 2 years old are now in coordination, or "in process," we must quickly move these to a completion stage. Updating our policies is not only a SECNAV priority but now is an interest area of the Secretary of Defense for the entire Department of Defense (DoD). Information on our status is provided to DoD on a monthly basis.

Per the original direction the Department of the Navy/Assistant for Administration (DON/AA) and the General Counsel developed a process which was promulgated. The process was intended to streamline actions culminating in my signature. To ensure proper emphasis and help expedite the process, I am directing the following:

- Organizations with 30 or less directives "in process" will ensure that 50% are completed by 31 December 2018 and the other 50% by 31 March 2019.
- Organizations with 31 or more directives "in process" will ensure that 30% are completed by 31 December 2018 and the other 70% by 31 March 2019.
- Only through 31 March 2019, Assistant Secretaries (ASNs) are delegated the authority to sign directives assigned to their organization if:
 - The General Counsel has chopped on the final revision, and
 - Comments from stakeholders have been properly adjudicated and the stakeholder has been notified of that adjudication, and
 - The ASNs follow a revised process that DON/AA will promulgate.

I will continue to sign directives assigned to staff assistant organizations.



Thomas B. Modly

Distribution: (see next page)

SUBJECT: Secretary of the Navy Directives Review

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DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
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SECNAVINST 5215.1E CH-2
DON/AA (DRMD)
27 Jul 18

SECNAV INSTRUCTION 5215.1E CHANGE TRANSMITTAL 2

From: Secretary of the Navy

Subj: SECRETARY OF THE NAVY DIRECTIVES POLICY

Encl: (1) Revised pages 3 and 4

1. Purpose. This change is issued to delegate signature authority to the Under Secretary of the Navy for Department of Defense (DoD) issuances and Secretary of the Navy (SECNAV) directives. This change transmittal also adds language in paragraphs 5 and 6 on pages 3 and 4 of the basic instruction.

2. Actions. Remove pages 3 and 4 of the basic instruction and replace them with pages 3 and 4 from enclosure (1) of this change transmittal.

A handwritten signature in blue ink, appearing to read "R. Spencer", is positioned above the name of the signatory.

RICHARD V. SPENCER

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

SECNAVINST 5215.1E CH-1
DUSN (M)
15 Sep 17

SECNAV INSTRUCTION 5215.1E CHANGE TRANSMITTAL 1

From: Secretary of the Navy

Subj: SECRETARY OF THE NAVY DIRECTIVES POLICY

Encl: (1) Revised pages 2 and 3

1. Purpose. This change is issued to clarify language in paragraphs 4(b) through 4(e) on pages 2 and 3 of the basic instruction. The updated language clarifies the types of covered directives and removes the self-canceling provision for a directive beyond its 7-year anniversary. The self-canceling provision in paragraph 4(e) was an administrative mechanism to maintain the currency of written directives, but did not affect established Department of the Navy policy, practices and procedures. Minor formatting changes were made throughout the basic instruction.

2. Actions. Remove pages 2 and 3 of the basic instruction and replace them with pages 2 and 3 from Enclosure (1) of this change transmittal.

3. Directives that were subject to the prior, administrative self-canceling provision of SECNAV 5215.1E are effective unless separately superseded, cancelled, or changed by amendment or cancellation notice. No SECNAV Instruction or SECNAV Manual may be cancelled unless a cancellation notice is properly entered into the official file of that instruction or manual.

4. Records Management. Records created as a result of this change transmittal, regardless of media and format, shall be managed per SECNAV M-5210.1.

A handwritten signature in black ink, appearing to read "R. Spencer", is located below the text of the instruction.

RICHARD V. SPENCER

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DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
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SECNAVINST 5215.1E
DUSN (M)
October 28, 2014

SECNAV INSTRUCTION 5215.1E

From: Secretary of the Navy

Subj: SECRETARY OF THE NAVY DIRECTIVES POLICY

Ref: (a) 32 C.F.R. Part 700, United States Navy Regulations and Official Records
(b) 41 C.F.R. Part 102-193, Creation, Maintenance, and Use of Records
(c) 44 U.S.C. §3501 et seq., Paperwork Reduction Act

Encl: (1) Directives Management Requirements and Standards
(2) Directives Authority

1. Purpose. This instruction sets forth policy and responsibilities for developing and maintaining directives from the Secretary of the Navy (SECNAV). Implementation of this instruction is provided in SECNAV Manual 5215.1. Directives management requirements and standards can be found in enclosure (1) and directives authority can be found in enclosure (2).

2. Cancellation. SECNAVINST 5215.1D

3. Applicability and Scope. This instruction applies to the Department of the Navy (DON). The Chief of Naval Operations and the Commandant of the Marine Corps shall provide separate guidance for issuing internal service policy.

4. Policy. Policy is a governance tool through which the intent of the SECNAV is published. It is DON policy that:

a. The DON shall maintain a SECNAV policy program to develop, coordinate, approve, publish, and review SECNAV directives per applicable laws and regulations. The purpose of SECNAV directives is to establish SECNAV policy, resource advocacy, and oversight in the performance of the mission and functions of the DON, per reference (a).

b. DON governing documents, or directives, shall consist of SECNAV instructions (SECNAVINST), SECNAV notices (SECNAVNOTE),

SECNAV Manuals, and SECNAV change transmittals, and All Navy Messages (ALNAVs) that issue SECNAV policy. Memos and letters shall not be used to establish SECNAV policy.

c. Issuance of a SECNAV directive is appropriate only when one or more of the following criteria apply. The directive, in five pages or less:

(1) establishes SECNAV policy or emphasis in a complex area or an area of strategic importance to the SECNAV.

(2) delegates authority, clarifies a delegation of authority, and/or assigns responsibility.

(3) ensures consistency in a specific matter or area of responsibility between the Secretariat, the Navy, and/or the Marine Corps.

(4) is required by law, regulation, or policy; or necessary to implement or provide guidance on law, regulation, or policy.

d. DON policy shall only be established in SECNAVINSTs, SECNAVNOTES, ALNAVs or SECNAV change transmittals. Enclosures shall carry the same authority as the instruction letter. These documents shall provide SECNAV objectives and limited clarifying guidance in summary form. SECNAV manuals shall only provide procedures and guidance to implement DON policy.

(1) To enable adoption of improved processes and technologies, SECNAV manuals shall be published and updated by the staff principal with cognizance over the policy area (the sponsor). Updates to SECNAV manuals shall be approved by SECNAV. SECNAV manuals shall be tied to a governing directive.

(2) The staff principal with cognizance over a policy area shall be explicitly identified in SECNAV directives. Staff principals are listed on the Navy Secretariat Organizational Chart

(<http://www.secnav.navy.mil/donaa/Pages/SECNAVOrganizationalChart.aspx>).

e. All SECNAVINSTs and SECNAV manuals shall be reviewed beginning on the second anniversary of the document's effective

date and every two years thereafter to ensure necessity, currency, and consistency with Department of Defense (DoD) policy, existing law, and statutory authorities. Directives reaching a six-year anniversary without reissuance may be certified as current for an additional year. After six years, the directive shall be revised. Extensions beyond the six-year anniversary date must be requested through the Department of the Navy/Assistant for Administration (DON/AA) and approved by SECNAV.

f. SECNAVNOTEs are self-canceling on the one-year anniversary date. Notices can be in effect anywhere between one month and 12 months, but no more than 12 months. If the originator of the notice knows when a notice is to be canceled, then the "CANC" date at the top of the first page shall indicate the month and year of cancellation. If the originator is unsure of the cancellation date and the notice cannot be canceled until an action occurs, then the "CANC for record purposes (frp)" date is usually up to one year. If the action occurs prior to 12 months, then the notice can be canceled at the date of action completion and prior to that frp date.

g. All Navy Messages (ALNAVs) issued to set or change policy shall be issued only for time-sensitive actions and only when time constraints prevent publishing a new directive or a change to an existing directive. ALNAVs shall normally be effective for no more than 180 days from the date signed, unless an extension is approved by the SECNAV. The 180-day window shall be used to incorporate information into a new or an existing SECNAVINST, SECNAVNOTE, or SECNAV manual. Contact the SECNAV Administrative staff for procedural guidance on the administration of ALNAVs.

5. Responsibilities

a. DON organizations shall comply with applicable laws, regulations, Executive Orders, and DoD issuances, whether or not expressly incorporated in reference (a) or other SECNAV directives. The SECNAV is the principal approval authority for all SECNAV directives, including policy. The Under Secretary of the Navy (UNSECNAV) shall ensure the implementation of the provisions of this instruction, grant any exceptions needed, and oversee improvements and other appropriate changes. The

UNSECNAV shall also direct reviews as needed to ensure the following:

(1) The organization's requirements and standards are being met; and

(2) All SECNAV directives are periodically reviewed (see paragraph 4e) with a view toward canceling, updating, revising, or consolidating, as appropriate.

b. Sponsors for all SECNAV directives shall follow SECNAV Manual 5215.1 for writing and clearing directives for signature. Directives shall be staffed for approval using procedures delineated by DON/AA.

c. The UNSECNAV is delegated signature authority to sign for the SECNAV, as follows:

(1) DON Directives; and

(2) DoD Issuances submitted for DON coordination.

6. Records Management

a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned according to the records disposition schedules found on the Directives and Records Management Division (DRMD) portal page:

<https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/SitePages/Home.aspx>.

b. For questions concerning the management of records related to this instruction, please contact your local Records Manager or the DRMD program office.



RICHARD V. SPENCER

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DIRECTIVES MANAGEMENT REQUIREMENTS AND STANDARDS

1. Sponsors shall ensure that all directives conform to the office's functions, internal controls and review processes, to include:
 - a. Current senior leader guidance, goals and objectives for their organization;
 - b. Managers' Internal Control Program (SECNAVINST 5200.35F); and
 - c. Governing instructions which may originate outside the office and/or functions but may impact the ability of this instruction to be implemented.
2. Sponsors shall ensure that delegations of authority and responsibility are reviewed for currency. Delegations of authority and responsibility which are not required for the mission and function of the organization because they have been transferred or modified before the appointment of that authority, shall be taken back by the original authority.
3. Sponsors shall anticipate the probable outcome and/or effect of this instruction on:
 - a. Its intended audience, to include different echelons and commands;
 - b. Key internal controls; and,
 - c. Cost.
4. Sponsors shall use plain language in all issuances, under Public Law 111-274, "Plain Writing Act of 2010," October 13, 2010.
5. Sponsors shall include measureable outcomes (metrics) in the instruction. Metrics shall relate to significant objectives to achieve the goal or purpose of the instruction and be reported to the office responsible for oversight.
6. Records created as a result of this instruction, regardless of media and format, shall be managed per SECNAV Manual 5210.1.

SECNAVINST 5215.1E
28 OCT 2014

7. Forms and reports associated with a directive shall be referenced therein, registered with the DON/AA Directives and Records Management Division Forms and Reports Manager, and be the most current available.

8. All SECNAV directives at variance with this instruction shall be in compliance by the completion of the next scheduled revision.

DIRECTIVES AUTHORITY

1. Reference (a) authorizes the SECNAV to prescribe regulations to carry out his or her functions, powers, and duties.
2. Reference (b) requires Federal entities to strive to:
 - a. Maintain effective directives management.
 - b. Establish standards for correspondence to use in official agency communications, determine necessary copies required, and their distribution and purpose.
 - c. Establish standard stationery formats and styles.
 - d. Create forms and reports that collect the necessary information efficiently.
 - e. Review all existing forms and reports periodically to determine if they can be improved or canceled.
3. Reference (c) requires Federal entities to limit the burden placed on the public by the collection of information and to increase efficiency in the government by the reduction of paper usage and collection of information.