



DEPARTMENT OF THE NAVY  
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OPNAV INSTRUCTION 4700.8K

From: Chief of Naval Operations

Subj: TRIALS, ACCEPTANCE, COMMISSIONING, FITTING OUT,  
SHAKEDOWN, AND POST SHAKEDOWN AVAILABILITY OF U.S. NAVAL  
SHIPS UNDERGOING CONSTRUCTION OR CONVERSION

Ref: (a) OPNAVINST N9080.3G  
(b) SECNAVINST 5031.1C  
(c) NAVSO P-1000  
(d) OPNAVINST 4730.5R  
(e) OPNAVINST 4730.7F  
(f) Joint Fleet Maintenance Manual  
(g) SECNAVINST 5030.8B

Encl: (1) Terms and Definitions  
(2) Notional Major Milestones during Construction/  
Conversion

1. Purpose. To delineate policies, procedures, and responsibilities for trials, acceptance, commissioning, fitting out, shakedown, and post shakedown availability (PSA) of U.S. naval ships undergoing construction or conversion. This instruction has been revised substantially and should be reviewed in its entirety. This revision:

a. Defines the role of Commander, Naval Sea Systems Command (COMNAVSEASYS COM) in formally requesting waivers for all trials and delivery acceptance to the Chief of Naval Operations (CNO);

b. Clarifies that the officer designated by the CNO to accept a vessel for the Navy is normally the cognizant program executive office (PEO); and

c. Amplifies the definition of acceptance and accepting authority for the purposes of this instruction.

2. Cancellation. OPNAVINST 4700.8J.

3. Background. It is essential that the Navy's shipbuilding and modernization programs deliver to the Commander, U.S. Fleet Forces Command (COMUSFLTFORCOM) and Commander, U.S. Pacific Fleet (COMUSPACFLT) complete ships, free from both contractor and government responsible deficiencies. The ships should be capable of supporting the Navy's mission from the first day of active service.

4. Scope and Applicability. This instruction applies to trials, acceptance, commissioning, fitting out, shakedown, and PSA of U.S. naval ships undergoing construction or conversion of non-nuclear ships. Additionally, this instruction will apply to reactivation of units of the inactive inventory whenever reactivation involves modernization and or conversion. In its application to nuclear-powered ships, it is augmented by reference (a).

5. Policy

a. Ships and submarines will be fully mission capable, in the sense that all contractual responsibilities shall be resolved, prior to delivery, except for crew certification, outfitting, or special Navy range requirements which cannot be met until after delivery.

b. Programs to which this instruction applies will follow pre-established standard event and milestone sequence and duration from individual period to fleet introduction as described in enclosure (1).

6. Responsibilities

a. The CNO will make the final determination of readiness for active status. Upon CNO decision to accept delivery, the cognizant Deputy CNO will direct the platform sponsor to release a message authorizing the delivery of the vessel on his or her behalf.

b. COMNAVSEASYS COM shall:

(1) Act as the accepting authority for conversions or programs without a cognizant PEO.

(2) Submit request to CNO to proceed to acceptance trials (AT) with significant items incomplete via naval message or memorandum.

(3) Provide formal recommendation to CNO for all ship deliveries.

(4) Recommend a date to the CNO for decommissioning a ship undergoing extensive conversion. When ready, place such ship "out of commission, special" as directed by the CNO and immediately deliver such ship to the naval supervising authority (NSA) for appropriate custody.

(5) Maintain liaison with cognizant TYCOM through design, construction, and acceptance process to ensure COMUSFLTFORCOM and COMUSPACFLT input and feedback is provided and actions taken as required.

(6) Assume responsibility for the construction, testing, and trials of nuclear-powered plants in nuclear-powered ships as assigned to COMNAVSEASYSYSCOM per reference (a).

c. PEO shall:

(1) Act as the accepting authority for U.S. naval vessels undergoing new construction or conversion.

(2) Make acceptance and waiver recommendations to the CNO via COMNAVSEASYSYSCOM for programs under its cognizance.

(3) Certify the ship ready for sea (RFS) trials. Notify type commander (TYCOM), copy to CNO, COMUSFLTFORCOM, COMUSPACFLT, COMNAVSEASYSYSCOM, and President, Board of Inspection and Survey (PRESINSURV) (OPNAV N09P) (as appropriate) that the ship is certified ready for trials.

(4) Recommend a date to the CNO via COMNAVSEASYSYSCOM for placing nuclear-powered ships "in service" prior to builder's trials (BT). Reference (a) applies.

(5) Forward prospective commanding officer's (PCO) recommended date for commissioning to the Secretary of the Navy (SECNAV) with a copy to CNO per reference (b).

(6) Keep COMUSFLTFORCOM, COMUSPACFLT, and the TYCOM informed of ship completion status prior to ship delivery.

(7) Validate that all aspects of the contract have been completed or waived by CNO prior to AT.

d. Navy shipbuilding program manager shall:

(1) Make acceptance and waiver recommendations to COMNAVSEASYSKOM via cognizant PEO.

(2) Ensure that provisions of this instruction relating to the delivery of ships are incorporated into the specifications and contracts and or relevant administrative procedures and instructions.

(3) Coordinate AT dates with the Board of Inspection and Survey (INSURV) in concert with the applicable NSA so that they may properly utilize their limited resources, keeping the board advised of any necessary changes.

(4) Ensure that ships are delivered following the requirements of this instruction.

(5) Comply with the prescribed procedures for trials, inspections, waivers, and acceptance as described here.

(6) Ensure that complete fitting out of the ship is accomplished.

(7) Issue instructions to those field activities which have responsibilities in fitting out of ships to ensure that such ships receive a complete allowance of material.

(8) When directed by the CNO, assume responsibilities as the Navy Department representative in making arrangements for the construction, conversion, or modernization of ships through the Maritime Administration.

(9) For commissioned ships, plan for and authorize the accomplishment of industrial work during PSA. For Military Sealift Command (MSC) ships, the PSA is planned by MSC.

(10) Report to the CNO via naval message the date of delivery of naval ships constructed or converted in a private or naval shipyard.

(11) Recommend a waiver from the CNO via cognizant PEO and COMNAVSEASYS COM of INSURV starred deficiencies to support delivery.

(12) Report by message to CNO and COMNAVSEASYS COM the status of all starred cards and certification requirements at the completion of PSA. Continue to report status of open items every 90 days until all items are cleared. Provide courtesy copy of message to the Headquarters Marine Corps, Deputy Commandant, Combat Development and Integration (CD&I), when reporting on amphibious ships.

(13) Ensure obligation of shipbuilding and construction, Navy (funding) (SCN) occurs prior to the obligation work limiting date (OWLD) for each ship per reference (c).

(14) Act as the presenting authority for final contract trials (FCT) and special trials (ST). The cognizant program office will notify the TYCOM by message with a copy to CNO; COMNAVSEASYS COM; cognizant supervisor of shipbuilding, conversion, and repair (SUPSHIP); and COMNAVSEASYS COM that the ship is certified and ready for trials.

e. COMUSFLTFORCOM and COMUSPACFLT shall:

(1) Provide services for trials as requested by responsible commands so that the ship undergoing trials may adequately demonstrate operation of installed equipment and systems.

(2) Make recommendations to the CNO by message on any request to deliver a ship or to place a ship into an active status after receiving TYCOM input.

(3) For nuclear-powered ships, conduct crew inspection and certify crew readiness for fast cruise and sea trials per reference (a).

f. TYCOM shall:

(1) Monitor the construction and acceptance process to ensure COMUSFLTFORCOM and COMUSPACFLT input is provided as required.

(2) Maintain liaison with the NSA.

(3) Conduct the pre-commissioning habitability inspection when requested by NSA.

(4) Make recommendations as appropriate to either COMUSFLTFORCOM or COMUSPACFLT on any request to deliver a ship into Navy custody or to place a ship into an active status via naval message.

(5) Certify to the program manager that the crew is ready to conduct FCT.

g. PRESINSURV shall:

(1) Perform independent verification of readiness of ships and submarines for preliminary acceptance and provide recommendation for fleet introduction.

(2) Conduct trials or inspections and submit reports per reference (d).

(3) Acting as the Navy's designated representative, recommend acceptance of a ship under Navy contract at private shipyards.

h. NSA shall:

(1) Notify the cognizant Navy shipbuilding program manager, copy to the CNO; COMUSFLTFORCOM; COMUSPACFLT; TYCOM; Deputy Commandant, CD&I (for amphibious ships); and PRESINSURV, as appropriate, that the ship is ready to commence AT.

(2) Coordinate the scheduling of all services for BT, AT, integrated trials (IT), or combined trials (CT) and any other underway trials prior to delivery.

(3) Provide recommended dates for all trials to Navy shipbuilding program manager.

(4) As requested by INSURV, provide copies of applicable test memoranda or procedures which will be used for planned BT, AT, IT, and CT demonstrations.

(5) Keep the accepting authority informed, prior to delivery of newly constructed or converted ships under their cognizance, as to the completion status of all PRESINSURV starred items resulting from AT, IT, or CT.

(6) Assume custody of the ship, as directed by the accepting authority, and assume responsibilities for its material condition from the time of acceptance until the ship is placed "in service" or "in commission."

(7) Report to the CNO delivery of naval ships constructed or converted in a private or naval shipyard.

(8) Prior to the ship being placed "in commission" or "in service" (active or special), request through the accepting authority that the appropriate TYCOM conduct a pre-commissioning habitability inspection, as required by references (d) and (e).

(9) Accept custody, as directed by the accepting authority, of the ship when it is decommissioned prior to undergoing an extended conversion at naval shipyards. Accept custody of and deliver the ship to the private contractor complying with the terms of the contract when the work is to be done in a private shipyard.

(10) Assume additional responsibilities, as necessary, with respect to receipt, transfer, and custody of fissionable material and in other areas specifically connected with the construction of nuclear powered ships per reference (a).

i. Commissioning officers shall:

(1) Be flag officers or selected flag officers and act as the direct representative of the CNO at the commissioning ceremony.

(2) Affect the ceremonial turnover of the ship from the accepting authority to the PCO during the commissioning ceremony.

Note: The CNO has designated the cognizant Deputy CNO to appoint or act as commissioning officer.

j. PCO, commanding officer, or officer in charge (OIC) shall:

(1) Assume the same responsibilities for the safety of the ship as the commanding officer of a commissioned ship when designated as the OIC of the ship. This will be appropriate for all situations where the ship is not "in commission, active," as in government or naval custody and partially manned by government employees or members of the ship's force. This includes nuclear powered ships and ships in naval shipyards which are scheduled for trials.

(2) Per reference (a), the PCO of a nuclear ship undergoing construction, conversion, or modernization, be assigned additional responsibilities associated with operation of the nuclear propulsion plant.

(3) Assume responsibilities as the OIC of the pre-commissioning unit (PCU), a separate and detached command, when designated by the accepting authority, or when designated by the Navy shipbuilding program manager.

(4) Submit progress and readiness reports under references (d) and (e).

(5) Submit requests for change orders to the Navy shipbuilding program manager and to the NSA when appropriate. Requests should be limited to those changes which are:

(a) Essential to safety of personnel.

(b) Essential for carrying out the ship's mission.

(c) Required for operability, habitability, or maintainability.

(6) Report utilization of the nucleus crew as specified in the progress report required by reference (f). The PCO is encouraged to comment on the needs, composition, and recommended increases or decreases in PCU manning.

(7) Ensure that requisitions are submitted per applicable instructions for articles to outfit the ship which are not otherwise being provided; i.e., those items of consumable supplies which are not listed on applicable allowance lists.

## 7. Procedures

a. Trials Requirement. Every ship, regardless of the manner acquired, shall undergo trials as described in this section, following the general provisions of reference (f) or as modified by the ship's acquisition approach. Trials for nuclear powered ships shall follow reference (a) and this instruction. Enclosure (2) is a notional chart that illustrates the chronological relationship between the major milestones in the construction and conversion process.

b. Required Services. When services for any of the required trials are to be requested from the cognizant TYCOM, the request shall provide, at a minimum, the following:

(1) A preliminary request for services shall be forwarded in sufficient time (at least 1 month prior to the quarter during which services are expected to be required) to permit incorporation into operational schedules. Request should include as much information as possible but, at a minimum, shall include the expected date, type of services required, and the probable operating area.

(2) The final request for services shall be forwarded no later than 2 weeks prior to the week services are required and shall include, but not be limited to, the following information:

(a) The dates and times on station.

(b) Operating area or position of the ship.

(c) Voice call of the ship.

(d) All necessary frequencies.

(e) A description of services required in sufficient detail to identify the configuration required of the servicing ship or aircraft and the desired maneuvers including any features peculiar to the trials.

c. Fast Cruise. The fast cruise will be unhampered by construction, conversion, or modernization work and no trials, tests, inspections, or examinations of work should be scheduled by the builder, NSA, or forces afloat during the fast cruise. Reference (a) provides details and procedures for fast cruise on nuclear powered ships.

d. BT. Scheduling of BT shall allow sufficient time during the shipyard work period for the correction of deficiencies prior to AT, IT, or CT. In support of this, the conduct and content of BT should, at a minimum, be the same as that intended for AT, IT, CT or as required by the ship's acquisition contract.

e. AT. These trials shall be conducted when all work including the correction of significant known deficiencies has been completed. If, in special cases, it is desired to conduct AT with significant items incomplete, the approval of the CNO shall be obtained by the Navy shipbuilding program manager via COMNAVSEASYS COM prior to presenting the ship to the PRESINSURV. Requests for this type of waiver will be considered on a case-by-case basis.

(1) AT shall be conducted as required by the ship's acquisition contract.

(2) The following are prerequisites to AT:

(a) Successful completion of BT, to include status of builder's specifications completion, as determined by the NSA, and the correction of significant construction deficiencies identified thereby.

(b) All contractually required control equipment, auxiliaries, fittings, electronic equipment, combat systems equipment, armament, missile and weapons handling gear, as well as basic hull, machinery, and minesweeping gear, must have been

installed, adjusted, aligned, and tested; must be operable as individual units of equipment and as systems; and must be capable of meeting performance specifications. Exceptions shall be brought to the attention of PRESINSURV by the program manager before the start of the trial.

(c) Installation of decking, bulkhead coverings, pipe coverings, labeling, cleaning, and painting of all spaces must be completed. Exceptions shall be brought to the attention of PRESINSURV by the program manager, before the start of the trial.

(d) Completion of surveys for electronic interference, lighting, radiated noise, airborne noise, heat stress, vibration, and self-noise. Exceptions can be made for surveys which require transit to specific ranges away from the building area.

(e) All required installation and checkout measurements and tests must be completed. Exceptions shall be brought to the attention of PRESINSURV by the program manager before the start of the trial.

(f) Certification of sonar, other acoustic processors, combat control systems, helicopter facilities, and navigational lights, as applicable, is required. Compliance with Navy certification requirements with respect to design and equipment installation is required where applicable (sewage, dry air, potable water, diver air, etc.). When crew certification, outfitting or special Navy range requirements exist which cannot be achieved until after delivery, full certification is not required. All other elements of certification will be accomplished and certified prior to AT.

(g) Required test memoranda, reports, and certificates reflecting the above conditions must be available for inspection by PRESINSURV.

f. IT. The decision to conduct IT rather than BT and AT will be made on a ship-by-ship basis and requires concurrence by the cognizant PEO and PRESINSURV. The Navy shipbuilding program manager can recommend conducting IT and shall take into account the following:

(1) The performance at trials of recent ships of the class.

(2) Any significant equipment changes from the previous ship of the class; and the readiness of the particular ship being considered for IT.

g. CT. Nuclear submarines shall conduct a CT. In all other cases, PRESINSURV will request prior approval from the CNO. All provisions for AT shall apply.

h. Delivery

(1) As related to new construction in private shipyards, this is the assumption of custody by the Navy at preliminary acceptance.

(2) As related to conversion or modernization in private shipyards, this is the return of ships to naval custody complying with the terms of the contract upon completion of conversion or modernization.

(3) As related to new construction, conversion or modernization in naval shipyards, this occurs at completion of fitting out (CFO) period and prior to fleet introduction. In the conversion or modernization of certain type ships reporting to the fleet for duty, delivery may be governed by separate instructions.

i. AT, IT, CT Correction Periods. The following periods, between successful AT, IT, CT and delivery, will be assigned for the ship classes and types which are identified per reference (g):

(1) Three weeks for guided-missile submarine (nuclear propulsion) (SSGN), attack submarines (nuclear propulsion) (SSN), and ballistic-missile submarine (nuclear propulsion) (SSBN) classes.

(2) Four weeks for auxiliary, amphibious transport dock (LPD), dock landing ship (LSD), littoral combat ship (LCS), joint high-speed vessel (JHSV), submarine tender (AS), salvage ships (ARS), mobile landing platform (MLP), and afloat forward staging base (AFSB) classes.

(3) Five weeks for guided-missile frigate (FFG) and guided-missile destroyer (DDG) classes.

(4) Six weeks for multi-purpose aircraft carrier, nuclear (CVN), amphibious assault ship (general purpose) (LHA), and amphibious assault ship (multipurpose) (LHD) types.

(5) Upon recommendation of the program manager, the above periods may be lengthened or shortened by COMNAVSEASYSKOM with TYCOM concurrence.

j. AT, IT, CT Retrials. Subsequent to an unsuccessful trial, complete or partial retrials may be required as recommended by PRESINSURV and approved by the CNO. Retrials will be limited to situations where deficiencies exist which preclude the PRESINSURV from providing an independent assessment of compliance with contractual requirements.

k. Availabilities After Delivery. In many cases it will be prudent to accomplish some work after delivery, for financial reasons or reasons having to do with the workload of the building shipyard. These availabilities may be accomplished in the building yard, the homeport or at another location. The timing of these availabilities, and their effect on habitability, the "in service" or "in commission" status of the ship, and the duration of the fitting out period, will vary with the acquisition strategy and maturity of the program.

l. Fitting Out Period

(1) The length of the fitting out period shall be determined by the Navy shipbuilding program manager.

(2) The fitting out period normally will be between 10 and 90 calendar days, depending on complexity of the ship. For surface ships, it starts with the day after the date of delivery. For submarines, it normally occurs prior to delivery. If special conditions render fitting out impracticable during this period, CNO will consider requests for extension.

(3) Industrial work during the fitting out period shall be limited to those items generated by PRESINSURV which affect safety or operational readiness and those items specifically designated by the Navy shipbuilding program manager.

(4) The following shall be completed prior to the end of fitting out (except for those items deferred to PSA):

(a) All machinery, equipment, and armament shall be installed, tested, and in an operable condition capable of meeting performance specifications.

(b) All systems performance checkouts shall be completed.

(c) All operational and test equipment shall be on board, calibrated, and compensated.

(d) All initial outfitting shall be completed and on board.

(e) All repair parts as defined in the ship's published allowance lists shall be on board.

(f) All technical manuals shall be on board.

(g) All instructions, data, and test equipment required for training personnel in operation and maintenance of all installed equipment shall be on board.

(h) The ship shall be provisioned and fueled.

(i) Sufficient personnel trained to maintain and operate the ship safely and effectively for independent operations at sea, shall be on board.

(j) The planned maintenance system, engineering operational sequencing system, and combat system operational sequencing system shall be installed.

(k) All certification requirements, except those requiring services not available until the post-delivery trials period, shall be completed.

m. RFA Period. This optional period commences immediately on CFO period and is assigned by the TYCOM. It varies from 1 to 3 weeks according to the requirements of each type ship. The purpose of an RFS period is to provide an opportunity for a commanding officer to prepare the command for a shakedown

period. This period should be dedicated for the specific purpose of ensuring that tests, alignments, calibrations, and other similar ship evolutions are completed and that the ship is, in all respects, RFS.

n. Post Delivery Test and Trials Period

(1) This is a special period, usually 8 to 16 weeks, immediately following the RFS period. It is a variable-duration period assigned by the TYCOM for the conduct of selected trials and tests peculiar to the anti-air warfare, strike warfare, amphibious warfare, anti-surface warfare and antisubmarine warfare (ASW) systems. A special assistance team may be embarked upon CFO to assist the commanding officer in the supervision of any ST, tests, and demonstrations during this period. Typical trials and tests that may be conducted as applicable during this period are:

- (a) Operational propulsion plant examination.
- (b) Combat system ship qualification trials.
- (c) Acoustic trials.
- (d) ASW and weapon systems accuracy trials.
- (e) Shipboard electromagnetic compatibility improvement program tests and evaluations.
- (f) Ship electronic system evaluation facility test and evaluations.

(2) These trials and tests will be interrupted, if necessary, to permit conduct of the FCT within the ship guarantee period. It should be kept in mind that these tests and trials do not extend the guarantee period following delivery of the ship.

o. Shakedown Period. This is a period assigned by the TYCOM for each type ship and extends from the CFO period to commencement of PSA. It is intended to complete the following as required:

(1) Desired trials and tests not previously conducted; for example, tactical trials, standardization trials, and structural test firing.

(2) Calibration of equipment and alignment of weapon systems.

(3) Degaussing, ranging, and deperming.

(4) Organization of the ship and training of the crew to the maximum attainable level of combat readiness.

(5) Loading of aviation units.

(6) Post-delivery test and trials period.

(7) FCT.

p. PSA

(1) PSA is a shipyard availability that commences after delivery and should be completed prior to the expiration of SCN OWLD. This date normally occurs at the end of the 11th month after the month in which the fitting out completes. PSA duration will be based on the amount of work that needs to be accomplished.

(2) Conducting the PSA at or near the ship's homeport is desirable to minimize impact on crew training and quality of life. However, other factors such as shipyard workload and technical capability to perform the planned work must also be considered in determining the PSA location. The purpose of the PSA is to accomplish:

(a) Correction of new construction deficiencies found during the shakedown period which are authorized;

(b) Correction of other contractor and government responsible deficiencies previously authorized; and

(c) Accomplishment of other improvements or class items as authorized.

q. FCT. These trials or inspections shall be scheduled and conducted as follows:

(1) The dates for trials or inspections shall be recommended by the cognizant TYCOM to PRESINSURV and COMNAVSEASYSYSCOM at least 60 days in advance of the event along with a status of starred cards and part 1 safety deficiencies.

(2) Provide status to PRESINSURV of starred cards and part 1 safeties 15 days prior to commencement of FCT.

(3) FCT will be conducted at sea and is generally held before PSA. It shall include operations at full power and be of sufficient thoroughness to determine whether defects have developed since AT or IT. The FCT will operationally demonstrate ship systems and satisfy material readiness conditions, as required by PRESINSURV.

(4) CFO date becomes the basis for establishing the OWLD, which is 11 months following the CFO of the ship per reference (c).

(5) Subsequent to an unsuccessful FCT, complete or partial retrials may be required as recommended by PRESINSURV and approved by the CNO. Retrials will be limited to that which is necessary to ensure proper identification of construction, conversion or modernization-related deficiencies (government or contractor responsible) which should be corrected during PSA. Scheduling of the retrial date shall be coordinated by the Navy shipbuilding program manager and TYCOM or equivalent.

r. ST. Approved by the CNO who will provide a separate precept tailored to the situation. The TYCOM or equivalent will schedule the ST coordinating with PRESINSURV, and the Navy shipbuilding program manager.

s. Trial Reports, Acceptance Request, and Recommendations

(1) Upon completion of AT, IT, or CT of a new construction ship, PRESINSURV shall submit, by naval message, a report to the CNO including a recommendation on whether to accept the ship and a description of any single starred or

double starred deficiencies. The TYCOM, CD&I, COMUSPACFLT and COMUSFLTFORCOM, accepting authority, and all other concerned commands, shall be addressees on this report.

(2) Upon receipt of the PRESINSURV report, the accepting authority shall request from the CNO via COMNAVSEASYSCOM, by naval message, permission to accept delivery of the ship. This message shall include the planned date of placing the ship "in service, special" (if applicable) and "in commission." If any waivers for delivery are required they shall be requested in this message. All addressees on the PRESINSURV report message shall be addressees on this message.

(3) Upon receipt of the accepting authority's message, the TYCOM shall make a recommendation, by naval message, to COMUSPACFLT and COMUSFLTFORCOM on acceptance of the ship. All addressed on the PRESINSURV report message shall be addressees on this message.

(4) Upon receipt of TYCOM's message, COMUSPACFLT and COMUSFLTFORCOM shall make a recommendation, by naval message, to the CNO via COMNAVSEASYSCOM on acceptance of the ship. All addressed on the PRESINSURV report message shall be addressees on this message.

(5) Upon receipt of the recommendations listed in subparagraphs 7s(1) through 7s(4), COMNAVSEASYSCOM shall make a recommendation by memorandum to CNO on acceptance of the ship. When satisfied that the ship is ready for delivery, the CNO shall grant permission to accept delivery of the ship to the accepting authority, via naval message. If waivers of any starred deficiencies are required, they shall be granted in this message.

8. Ships at Private Yards Under Contract Through Maritime Administration. In some cases, the Department of the Navy arranges for the construction, conversion, or modernization of ships through the Maritime Administration which acts as an agent for the Department in issuing a prime contract. In these cases, a Department of the Navy representative shall act in the capacity of the NSA and the Maritime Administration will act in the capacity of builder under the provisions of this instruction. All other procedures shall remain the same.

9. Waivers. Waiver requests are to be minimized; however, in those extraordinary circumstances where it is considered in the best interest of the Navy to deviate from established requirements, waiver requests will be considered by the CNO. Waiver requests should be submitted as follows:

a. Waiver for Conduct of Trials with Significant Construction Deficiencies

(1) The accepting authority shall submit requests for waivers for conduct of trials with significant construction deficiencies to the CNO, via COMNAVSEASYS COM and copy to PRESINSURV, to arrive no later than 14 working days prior to the trial. Distribution shall include the appropriate TYCOMs and either COMUSFLTFORCOM or COMUSPACFLT.

(2) Request for waivers shall:

(a) Identify the item to be waived.

(b) Specify the reason for non-completion of the prerequisite or non-correction of deficiency, including estimated completion date if the waiver is granted. If material delivery is involved, provide best estimated delivery date.

(c) State the alternatives available, and include, if appropriate, the consequences of not granting the waiver.

(d) State the operational impact and risks associated with the waiver.

b. Waiver for Delivery with Uncorrected Starred Deficiencies

(1) Waivers will be requested from the CNO via COMNAVSEASYS COM and will be included in the request to accept delivery message.

(2) Request for waivers should be submitted no later than 14 working days prior to the date of action and shall:

(a) Identify the item to be waived.

(b) Specify the reason for non-correction of the deficiency or trial item, including estimated correction date if the waiver is granted. If material delivery is involved, provide best estimated delivery date.

(c) State the alternatives available, and include, if appropriate, the consequences of not granting the waiver.

(d) Specify the operational impact and risk associated with the waiver.

(e) Include recommendations from COMUSFLTFORCOM, COMUSPACFLT, and COMNAVSEASYSCOM.

c. PRESINSURV Recommendations on Waivers. PRESINSURV recommendation shall be considered on all requests for waiver. Rationale for non-concurrence will be submitted directly to the CNO, copy to COMNAVSEASYSCOM, cognizant PEO, and Navy shipbuilding program manager.

d. Comments on Waivers by Other Commands. Comments and recommendations by cognizant naval authorities on waiver requests are invited when safety of personnel is involved or the ship's mission capability is affected. These shall reach the CNO, copy to COMNAVSEASYSCOM, no later than 3 days prior to the date action is required.

e. COMNAVSEASYSCOM Recommendations on Waivers. COMNAVSEASYSCOM Shall provide CNO a recommendation on all waivers submitted for conduct of trials with significant construction deficiencies, and for waivers submitted for ship delivery with uncorrected starred deficiencies. Operational impact and associated risk should accompany all comments and recommendations regarding safety and mission capability.

## 10. Commissioning

a. Non-Nuclear Ships. These ships shall be placed in an "in service, special" status upon delivery. Ships undergoing some types of availability after delivery will be placed "in service, special" when the ship is habitable and the crew moves aboard. This status remains unchanged until the CFO period at which time the ship will be placed "in commission."

b. Nuclear-Powered Ships. These ships shall be assigned an active status of "in service" about 2 weeks prior to commencement of the first sea trial. At this time, responsibility for, and custody of, fissionable material will be transferred from the NSA to the OIC of the ship. The PCO, who is also commanding officer of the PCU, becomes OIC of the ship at this time and continues until becoming the commanding officer at commissioning. At time of delivery the status will not change. The ship will be placed "in commission" as soon as practicable after delivery.

c. All Ships. The status of naval ships intended for the active fleet shall be changed to "in commission" prior to the ships joining the active fleet. With respect to crew entitlements, sea duty commencement date, and commanding officer's non-judicial punishment, no differentiation should be made between ships in an active or a special status.

(1) After a ship is placed "in commission," all changes of status will be reflected per NWP 1-03.1 (formerly NWP 10-1-10), Naval Warfare Publication, Operational Reports, November 1987.

(2) A required prerequisite to placing the ship "in service, active or special" or "in commission, special" is habitability. In the above cases, there still remains industrial and fitting out work prior to the ship completion and readiness for reporting to either COMUSFLTFORCOM or COMUSPACFLT. The accepting authority must take the above into consideration when scheduling the habitability inspection prior to the crew moving on board. The purpose of this inspection is to ascertain whether or not the spaces within which the crew will live, primarily berthing and messing, are clean, safe, and ready to receive the crew.

(3) Placing the ship "in commission" will depend in each case upon the determination that the ship is ready in all respects to accomplish the requirements of the shakedown period including post-delivery test and trials period, the commissioning date will be directed by SECNAV, per reference (b). The ship at this time will be in the following condition:

- (a) Habitable for berthing and messing.
- (b) Necessary firefighting, damage control, and navigational equipment on board in operating condition.
- (c) Command and control spaces and combat systems available to ship's company for drill and emergencies.
- (d) Storerooms, magazines, and magazine sprinkling systems, as required, ready for use.
- (e) Propulsion and maneuvering equipment ready for use.

d. Status of Ships During Conversion

(1) Upon arrival at a shipyard to commence conversion, the commanding officer of a non-nuclear powered ship shall file a change of status to "in commission, special." The status of nuclear powered ships shall remain "in commission" throughout this shipyard period.

(2) When determined by the CNO that the status of a ship will be "out of commission, special" during the period of conversion or modernization, the following procedures shall apply:

(a) A period of 10 to 60 days between the time of arrival at the shipyard and the commencement of conversion shall be scheduled for the removal of all portable equipment, repair parts, initial stock lists, consumables, and other appropriate materials.

(b) During the off-loading period, the crew will be phased down at a rate commensurate with the amount of preparation to be accomplished by ship's force.

(c) Based upon the progress of preparation, the appropriate TYCOM shall recommend a date for decommissioning the ship to the CNO.

(d) On the date approved for decommissioning, the TYCOM or designated representative shall place the ship "out of commission, special." In the case of a naval shipyard, custody

will be transferred to the shipyard commander. In the case of a private shipyard, custody of the ship will be transferred to the NSA for delivery to the private contractor following the terms of the contract.

11. Records Management. Records created as a result of this instruction, regardless of media and format, shall be managed per SECNAV Manual 5210.1 of January 2012.

12. Reports Control

a. Reporting requirements contained in subparagraph 6d(12) are assigned OPNAV RCS 4700-5.

b. Reporting requirements contained in subparagraph 6h(7) are assigned OPNAV RCS 4700-5A.

c. Reporting requirements contained in subparagraph 7s(1) are assigned OPNAV RCS 4700-5B.

d. Reporting requirements contained in subparagraph 7s(2) are assigned OPNAV RCS 4700-5C.



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TERMS AND DEFINITIONS

1. Acceptance. The act of taking custody of a new construction ship by the Navy upon delivery of the ship by a private builder. For purposes of this instruction, "acceptance" does not mean contractual acceptance of the ship or any other supplies or services pursuant to the requirements, terms, and conditions of the shipbuilding contract.
2. Acceptance Trials (AT). Trials conducted underway by INSURV for ships constructed in a private industrial activity to determine suitability for acceptance of a ship by the Navy.
3. Accepting Authority. The officer designated by the CNO to accept a vessel for the Navy, normally the cognizant PEO. Within this instruction, the accepting authority's responsibility to "accept delivery" of the ship does not include the contractual acceptance of the ship or any other supplies or services pursuant to the requirements, terms, and conditions of the shipbuilding contract, nor does this responsibility include any acquisition function.
4. Active Status. Ships which are currently assigned for duty in the active fleet are in an active status.
5. Builder's Trials (BT). Evaluation trials and inspections conducted underway by the builder to assure the builder and the Navy that the ship is, or will be, ready for AT. These trials should be a comprehensive test of all ship's equipment and be similar in scope to AT. For nuclear powered surface ships, this is the AT for the nuclear propulsion plant.
6. Combined Trials (CT). CT is a combination of an AT with an FCT. INSURV normally conducts CT for nuclear powered submarines.
7. Deficiencies. For purposes of consistency in reporting to the CNO, they are defined here and associated with the appropriate trial or event.
  - a. Significant Construction Deficiencies. Those deficiencies which must be waived by the CNO if AT is to take place prior to deficiency correction. These deficiencies (contractor or government responsible) include:

(1) Represent systems, subsystems, or equipment which should have been, but were not, satisfactorily demonstrated during BT.

(2) Prerequisite events which are not complete

(3) Specified characteristic and top level requirements which are not satisfied.

b. Single Starred Deficiencies. Deficiencies identified by INSURV, which significantly degrade a ship's ability to perform an assigned primary or secondary required operational capability, or which represent general safety, navigational safety, security, firefighting, habitability, or maintainability deficiencies which would prevent the crew from living on board safely, and or operating and maintaining ship systems for which the Navy has assumed responsibility. Single starred deficiencies must be corrected or waived prior to delivery.

c. Double Starred Deficiencies. Double starred deficiencies are applicable only to those ships constructed, converted, or modernized with a separate fitting-out period assigned away from the building site. Such designation represents general safety concerns and includes navigational safety, security, fire-fighting, habitability, or maintainability deficiencies identified by INSURV. These deficiencies would prevent the crew from living on board safely and or operating and maintaining ship systems for which the Navy has assumed responsibility. Incompleteness or inoperability of equipment or systems, even though significantly affecting the ship's ability to perform her assigned mission, is not, of itself, justification for double stars. Double starred deficiencies must be corrected or waived before the ship is moved from the building site.

8. Delivery. The date the Navy accepts the ship from the shipbuilder. This requires a recommendation from INSURV to accept and deliver the ship. Delivery of the ship is based on AT and satisfactory correction or resolution of deficiencies.

9. Fast Cruise. A period during which ship's force operates the ship for dockside training. Fast cruise shall, as far as is practical, simulate at-sea operating conditions.

10. Final Contract Trials (FCT). Trials that are conducted prior to the end of the guarantee period to determine if there are any defects, failures, or deterioration other than that due to normal wear and tear.
11. Fitting Out. The operation of placing the material specific to its allowance list on board a ship.
12. Fleet Introduction. The time following construction, conversion, requisite trials, delivery, acceptance and commissioning when the ship is turned over to COMUSFLTFORCOM or COMUSPACFLT for operational training and tasking.
13. Guarantee Period. The time specified in the contract during which the public or private shipbuilder retains responsibility for correction of defects in any supply or service under which the ship or materiel was constructed.
14. In Commission. Naval ships employed in active fleet assignments. When used alone, this term shall be identified with "active status" only.
15. In Service. Nuclear powered ships are assigned an active status of "in service" approximately 2 to 4 weeks (2 to 4 months for nuclear powered aircraft carriers) prior to the commencement of sea trials and maintain this status until commissioning.
16. Integrated Trials (IT). A combination of BT with AT. These trials are conducted upon agreement between the cognizant program office and INSURV.
17. Naval Supervising Authority (NSA). The NSA is an echelon 3 command (e.g., SUPSHIP, regional maintenance center, or naval shipyard) having inherent COMNAVSEASYS COM technical and contracting warrants. The NSA is the single naval activity responsible for the contract administration, project management, technical authority, and quality assurance of work accomplished by activities working within the assigned CNO availability. The NSA will provide the oversight required to ensure that work in the assigned availability is authorized, controlled, executed, and verified to be in compliance with applicable technical requirements and policies.

18. Obligation Work Limiting Date (OWLD). Established as 11 months following CFO of the ship. Obligations for efforts associated with construction, conversion, outfitting and post-delivery must occur prior to OWLD for each ship.

19. Out of Commission. Naval ships not employed in active fleet assignments. This term must be suffixed by the terms "in reserve" or "special," thereby identifying the status as "inactive" or "special," respectively.

20. Out of Commission, Special. A status applied to ships undergoing extensive modernization conversion when so designated by the CNO.

21. Pre-commissioning Unit (PCU). The nucleus crew of the ship's forces which reports at the building yard.

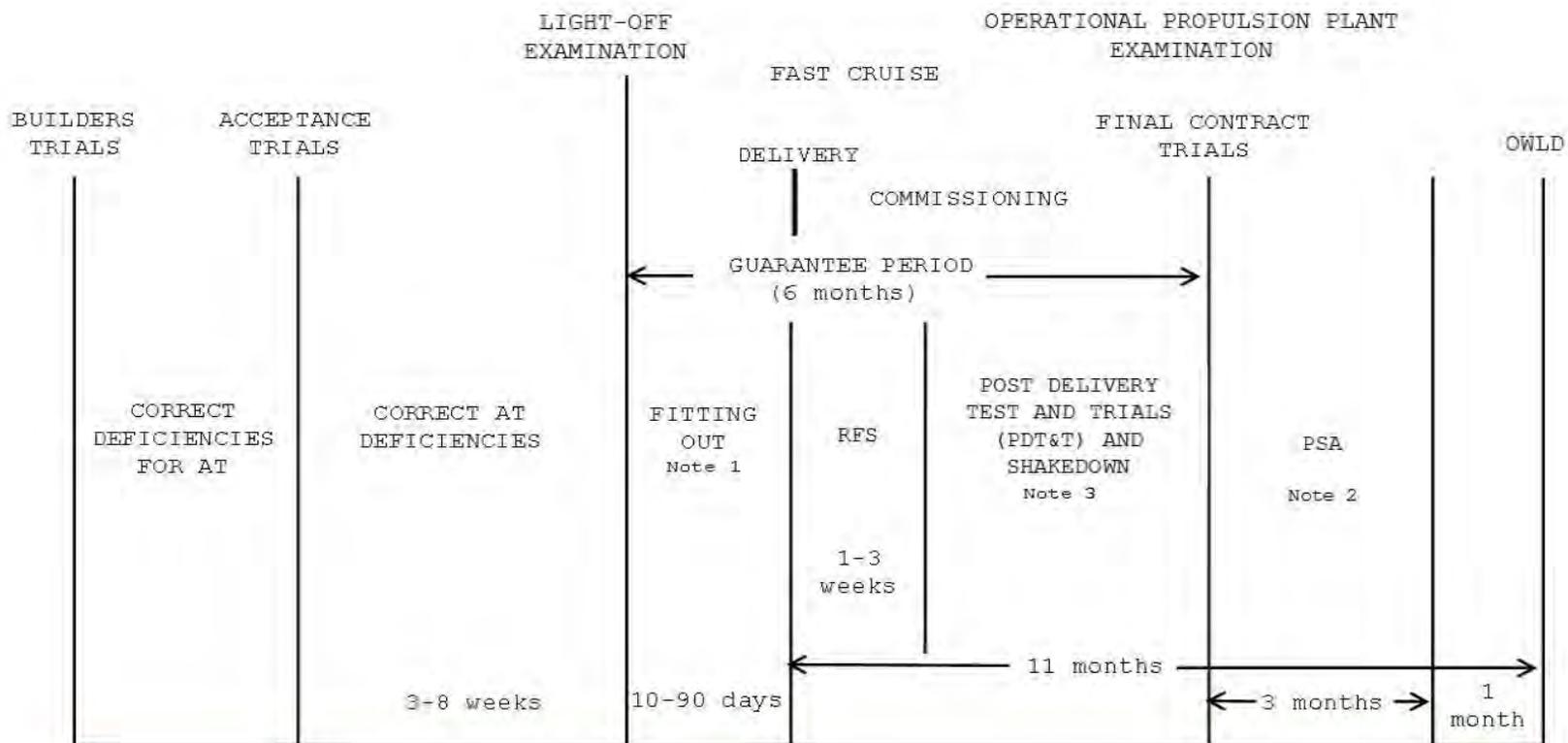
22. Preliminary Acceptance. As related to new construction in private shipyards, this is the assumption of custody by the Navy.

23. Presenting Authority. The officer designated to present the ship to the trial board certifying that it is ready for trials. For AT, CT and IT, this is the SUPSHIP. For the FCT, this is the program manager.

24. Special Status. Ships for which the Navy is charged with certain responsibilities by reason of custody or title, and which are neither in an active status nor inactive status. Ships in special status are "in commission, special" or "in service, special" or "out of commission, special" or "out of service, special." Ships in a special status are not assigned to an active fleet. The responsibilities of the OIC (PCO) and crew of a vessel in special status are substantially similar to those associated with active, commissioned ships. Crew entitlements on a special category ship, as well as the exception to the right to refuse punishment under article 15 of the Uniform Code of Military Justice, as they are associated with an active category, apply. A vessel placed in a special status, as defined here, will be equipped with berthing and messing facilities; and, upon moving on board, the crew will be assigned duties and responsibilities in connection with readying that vessel for active fleet service. When required, vessels in a special status may operate underway at sea.

25. Special Trials (ST). Occasionally, new construction, conversion, or modernization efforts result in significant ship systems and capabilities remaining incomplete until the end of PSA. Rather than wait for the first regularly scheduled underway materiel inspection (3 or more years), the CNO, either unilaterally, or as requested by PRESINSURV, the Navy shipbuilding program manager, COMUSFLTFORCOM, COMUSPACFLT, or TYCOM, may direct an ST. The purpose of such a trial will be to allow INSURV an opportunity to conduct an independent and timely assessment of the finished new construction baseline. In this manner, any corrective action found necessary can be initiated promptly following ships undergoing construction, as well as retrofitted in ships already delivered. For each ST, the CNO will provide a separate precept tailored to the situation. The TYCOM or equivalent will schedule the ST coordinating with PRESINSURV, and the Navy shipbuilding program manager.

**NOTIONAL MAJOR MILESTONES DURING CONSTRUCTION/CONVERSION**



O&MN  
OPN  
WPN  
Note 4

Notes

1. For submarines outfitting is complete prior to delivery. Hence, the SCN obligation work limiting date is at the end of the 11th month after the month in which delivery occurs.
2. PSA is normally scheduled to complete 1 month prior to the obligation work limiting date.
3. Total period of PDT&T and shakedown shall be a minimum of 6 months. A waiver may be granted for a period greater than 8 months; a request to extend SCN obligation work limiting date may be required.
4. Operations and maintenance, Navy (O&MN), other procurement, Navy (OPN), weapons procurement, Navy (WPN).