



DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
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WASHINGTON DC 20350-1000

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 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 to implement, interpret, combine or provide guidance on law, regulation, or policy.

d. DON policy shall only be established in SECNAVINSTs, SECNAVNOTEs, SECNAV change transmittals or ALNAVs. 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 2 years thereafter to ensure necessity, currency, and consistency with Department of Defense (DoD) policy, existing law, and statutory authorities. Directives reaching a 6-year anniversary without reissuance may be certified as current for an additional year. After 6 years, the directive shall be revised. Extensions beyond the 6-year anniversary date must be requested through the Department of the Navy/Assistant for Administration (DON/AA) and approved by SECNAV. Directives reaching the 7-year anniversary that are not in the revision process are self-canceling on that date and continued use requires a full revision to the next available point number.

f. SECNAVNOTEs are self-canceling on the 1-year anniversary date. Notices can be in effect anywhere between 1 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 1 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. 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 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.

5. Responsibilities

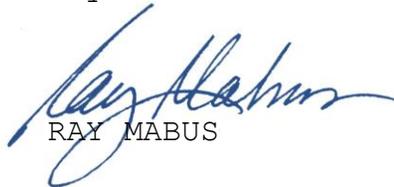
a. DON organizations shall comply with applicable laws, Executive Orders, and DoD issuances, whether or not expressly incorporated in reference (a) or other SECNAV directives. The SECNAV is the principal approval authority for all SECNAV directives, including policy. The SECNAV shall ensure the implementation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

6. 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.



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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.

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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.