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OFFICE OF THE CHIEF OF NAVAL OPERATIONS
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OPNAVINST 9000.6
N96
18 May 2015

OPNAV INSTRUCTION 9000.6

From: Chief of Naval Operations

Subj: TICONDEROGA CLASS CRUISER AND DOCK LANDING SHIP
MODERNIZATION PROGRAM GUIDANCE

Ref: (a) COMNAVSURFLANTINST/COMNAVSURFPACINST 3502.3
(b) OPNAVINST 4730.5R
(c) INSURVINST 4730.1H
(d) OPNAVINST 4770.5H
(e) NSTM S9086-BS-STM-010, Chapter 050, Readiness and
Care of Inactive Ships, 1 May 2005 (NOTAL)
(f) OPNAVINST F3300.53B (NOTAL)
(g) USFF AT OPOD 3300.13, 1 Jan 2013
(h) NAVSO P-1000
(i) OPNAVINST 3120.32D
(j) U.S. Navy Regulations, 1990
(k) Tagout Users Manual (S0400-AD-URM-010) Rev 07 (NOTAL)
(l) NAVSEAINST 4441.7C
(m) NAVSUPINST 4441.29A
(n) NAVSEAINST 5450.36B
(o) OPNAVINST 5400.44A
(p) OPNAVINST 4700.8K

Encl: (1) Definitions and Acronyms
(2) Modernization Execution
(3) Roles and Responsibilities
(4) Reporting Requirements

1. Purpose. To define scope of responsibilities and provide a program overview to support the Ticonderoga class guided missile cruiser (CG) and Whidbey Island class dock landing ship (LSD) modernization program.

2. Definitions. See enclosure (1).

3. Background. The CG 47 class ships are the Navy's only purpose built air defense platform for the air defense commander. The intent of this program is to provide the fleet with modernized, air defense platforms into the late 2030s. The

modernization program ensures CGs capable of countering current and future threats, extends the service life of each CG modernized to 40 years, and delays the need for a replacement air defense commander platform. The LSD 41 class ships are flexible, multi-mission warships with capabilities that span a broad range of military operations. The LSD 41 class ship mid-life program provides increased operational availability through addition of reliable and sustainable control systems and equipment enabling an extended expected service life of up to 45 years. Additionally, command, control, communications, computers, collaboration and intelligence (C5I) modernization accomplished as part of this program is intended to ensure the ships remain operationally relevant throughout their extended expected service life.

4. Scope and Applicability. The CG 47 and LSD 41 modernization program applies to CG 47 class ships with hull numbers CG 63, CG 64, CG 65, CG 66, CG 67, CG 68, CG 69, CG 70, CG 71, CG 72, and CG 73; and LSD 41 class ships with hull numbers LSD 41, LSD 42, and LSD 46. As part of this modernization program, ships must remain in commission with a reduced crew size that matches modernization phasing and be placed in a sustainment condition where only essential maintenance, preservation, and limited hull, mechanical, and electrical (HM&E) modernization is accomplished while awaiting a depot level availability. The additional provisions in subparagraphs 4a through 4e apply to this program.

- a. No more than two CGs per year are authorized to be inducted.
- b. No CG is authorized to remain in a modernization status, from induction to completion of sea trials, for more than 4 years.
- c. No more than six CGs are allowed to be in the modernization program at any time.
- d. Billets authorized for each CG or LSD in modernization are to be maintained as listed in subparagraphs 4d(1) and 4d(2) and as depicted in figure 1 of enclosure (2) to support ongoing industrial work.

(1) For phase I of modernization, notional billets authorized is 45.

(2) For phase II of modernization, crewing levels in subparagraphs 4d(2)(a) through 4d(2)(d) apply.

(a) Phase 1 re-crewing: Notional billets authorized is: CG - 60; LSD - 55.

(b) Phase 2 re-crewing: Notional billets authorized is: CG -170; LSD - 160.

(c) Phase 3 re-crewing: Notional billets authorized is: CG - 275; LSD - 260.

(d) Phase 4 re-crewing: Notional billets authorized is: CG - 345; LSD - 325.

e. Inspection requirements, per reference (a), are not applicable for ship's inducted into this program. Inspections, per reference (b), that would normally fall during the period of modernization will be delayed until completion of the modernization process but must occur prior to the ship's re-introduction to the fleet.

5. Action. All stakeholders listed in enclosure (3) are responsible for implementing and administering policies and guidance contained in enclosures (2) through (4). Commander, U.S. Fleet Forces Command (COMUSFLTFORCOM) is the Navy's executive agent in matters pertaining to the CG and LSD modernization program and may issue additional procedures and guidance as necessary to ensure uniform compliance with the policies of this instruction. References (a) through (p) pertain.

6. Records Management. Records created as a result of this instruction, regardless of media and format, must be managed per Secretary of the Navy (SECNAV) Manual 5210.1 of January 2012.

7. Reports Control

a. The reporting requirements contained in enclosure (3), subparagraphs 2a(3) and 2b(3), are exempt from reports control per SECNAV Manual 5214.1 of December 2005, part IV, subparagraph 7h.

b. The reporting requirements contained in enclosure (3), subparagraphs 3h, 4g, 5j, and enclosure (4), paragraphs 2 and 3, have been assigned OPNAV report control symbol (RCS) 9000-1 for CG and LSD Quarterly Report and OPNAV RCS 9000-2 for CG and LSD Yearly Report. Both RCSs have an expiration date of 30 May 2018.



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DEFINITIONS AND ACRONYMS

1. Active Status. Active status ships or service craft are assigned to the active fleets and to their supporting activities or are ships of Military Sealift Command (MSC), which are titled in the United States or are operated under long-term bareboat charter. Ships and service craft in active status are "in commission" or "in service."

2. Battleforce Ships. Includes aircraft carriers, surface combatants, submarines, amphibious warfare ships, and mine warfare ships in an active status. Combat logistics ships, both active and those under MSC (Naval Fleet Auxiliary Force), are also included.

3. Cannibalization. Equipment or parts removal for reutilization in response to a request to satisfy Navy casualty report when such parts are not available for drawdown from the wholesale supply system. The act of removing serviceable parts from one item of equipment in order to install them on another item of equipment.

4. Chief of Naval Operations (CNO) Ship Resource Sponsor. Organization within the Office of the Chief of Naval Operations (OPNAV) responsible for specific ship types in fulfillment of assigned warfare requirements and programs.

5. Equipage. An item that requires management control afloat due to high unit cost, vulnerability to pilferage, and/or being essential to the ship's mission. It does not encompass installed mechanical, electrical, ordnance, or electronic components or systems. The allowed quantity of equipage items can be and is determined on an individual ship basis. Examples include lines, firearms, anchor chain, gas masks, copy machines, etc.

6. Equipment. Any functional unit of hull, mechanical, electrical, ordnance, or electronic type material that is identified by a component identification number, numerical control code, allowance parts list, or similar designation, or is operated as a component of a system or subsystem. Examples include pumps, radars, guns, ovens, etc.

7. Equipment Removal. Removal from a ship, incident to its inactivation or its disposal, of installed equipment, onboard allowances of spares, repair parts, consumable material, technical manuals, etc., for which there is a requirement.
8. Expected Service Life. The number of years a naval ship is projected to be in active service.
9. Fleet Commander. COMUSFLTFORCOM and Commander, U.S. Pacific Fleet (COMUSPACFLT) are the Navy's fleet commanders. They are the echelon 2, Naval Service component commanders responsible for executing Title 10 responsibilities for manning, training, maintaining, and equipping naval forces to support combatant commander and naval component commander requirements.
10. Induction Date (I-Date). Date on which a ship is inducted into modernization.
11. Induction Continuous Maintenance Availability (I-CMAV). Maintenance availability period required prior to transitioning ship into modernization.
12. Material Inspection. A periodic inspection conducted to ascertain and report on the material condition and performance capabilities or limitations of Navy ships as defined by Board of Inspection and Survey in reference (c).
13. Naval Activity. A unit of the Department of the Navy, of distinct identity, and established under an officer in command or in charge.
14. Naval Station. A naval activity on shore, having a commanding officer (CO), and located in an area having fixed boundaries, within which all persons are subject to naval jurisdiction and immediate authority of the CO.
15. Operational Commander. Organizational authority and responsibility for effectively using available resources and for planning the employment of organizing, directing, coordinating and controlling military forces for the accomplishment of assigned missions.
16. OPNAV. Abbreviation used to describe the CNO staff.

17. OPNAV Ship Resource or Platform Sponsor. See CNO ship resource sponsor (paragraph 4).
18. CG and LSD Modernization. Modernization is a three phase process. The phases are:
 - a. Phase I: Maintenance, preservation, and advance planning in support of industrial availability upgrades. Targeted HM&E modernization and topside maintenance. Commences upon completion of I-CMAV or as designated by the Commander, Naval Sea Systems Command (COMNAVSEASYS COM) and type commander (TYCOM) memorandum of agreement (MOA).
 - b. Phase II: Industrial availability for installation of HM&E, combat systems and C5I upgrades.
 - c. Phase III: Post-industrial availability testing, validation and acceptance trials.
19. Survey. Any inspection conducted to document the material condition of a ship prior to modernization.
20. Type Commander (TYCOM). An echelon 3 headquarters command with Title 10 responsibility to man, train, maintain, and equip forces (ships, submarines, aircraft, combat support units).

MODERNIZATION EXECUTION

1. General. This enclosure identifies general timelines and the phases of CG and LSD modernization in order to allow for planning and conduct of the modernization availability, de-crewing, re-crewing, trials, and testing. Modernization consists of a three-phased process (see figures 1 and 2 for modernization notional timelines).

2. Actions Required to Induct a Ship Into Modernization

a. The ships will commence phase I located in a fleet concentration area: Norfolk, VA, or San Diego, CA. In order to ensure ships are in a safe condition for phase I, they must complete an I-CMAV prior to entering phase I. The I-CMAV should notionally be completed in the fleet concentration area but may be accomplished in ship's homeport if agreed by COMUSFLTFORCOM-COMUSPACFLT, COMNAVSEASYSYSCOM, and TYCOM.

b. Following organization change request approval and approximately 6 months prior to induction into phase I modernization, the TYCOM will normally convene a manning conference to develop the ship's crew reduction plan.

c. Approximately 6 months prior to induction into phase I, the ship should begin making preparations by conducting ammunition off-load, defueling, and other operations as required.

d. Three months prior to induction into phase I, the ship will conduct a nominal 90-day I-CMAV to conduct ship checks, material assessments, equipment lay-up, supply support offload, equipment offload, and installation of a safety and security monitoring package. During this period, the ship may begin de-crewing, but it is expected that the majority of the crew should remain onboard for the duration of the I-CMAV. The length of the I-CMAV may be extended beyond 90 days should emergent repairs be required to ensure the safety of the ship during phases I and II.

e. Ships undergoing an I-CMAV in preparation for phase I of modernization must be governed by reference (d) and conducted per reference (e) and as directed by COMNAVSEASYSYSCOM and TYCOM.

Following the I-CMAV and after all conditions are met as defined by MOA noted in enclosure (3), the ship enters into phase I of modernization.

f. During phase I, the ship remains in commission is located in a fleet concentration area, but crew size is reduced to match modernization phasing. Notionally, each phase I crew is to consist of a permanently assigned CO and additional personnel, permanent and temporary, as deemed necessary by COMNAVSEASYS COM to ensure proper execution of this program. COMNAVSEASYS COM exercises administrative control (ADCON) over the CO and crew of ships inducted. When the ship is not in an industrial availability, ship's personnel will not routinely have access to the ship. Permanently assigned ship's personnel may be assigned temporary duty as necessary to ensure their professional and personal development.

(1) Targeted HM&E modernization, maintenance, preservation, and advanced planning in support of industrial availability upgrades commence.

(2) Responsibilities normally assigned to ship's force are transferred to COMNAVSEASYS COM per subparagraph 8a of enclosure (3) and as delineated in the implementing MOA.

g. After completion of phase I, each ship begins phase II modernization.

(1) Phase II consists of the industrial availability for installation of combat systems and C5I upgrades and remaining HM&E upgrades. Phase II is expected to last approximately 86 weeks and ends with completion of sea trials. The phase II notional schedule is depicted in figure 2.

(2) During phase II, responsibilities normally assigned to ship's CO and Commander, Naval Surface Force (COMNAVSURFOR) (including ship ADCON) will have transferred to COMNAVSEASYS COM upon entry into phase I per paragraph 8 of enclosure (3) and as delineated in an implementing MOA. These responsibilities revert back to the ship's CO and COMNAVSURFOR respectively at a time determined by COMNAVSEASYS COM and COMNAVSURFOR per paragraph 8 of enclosure (3) and the corresponding MOA.

(3) Re-crewing commences upon the ship entering phase II and incrementally increases to a full crew based on an approved crew sequencing and phasing plan that achieves crew readiness in support of light off assessment and sea trials.

h. Following phase II, the ship enters a period of post-industrial availability testing, validation and acceptance trials (phase III). Actions during this phase are modeled after standard testing and acceptance trials used during new construction.

Notional Integrated Timeline

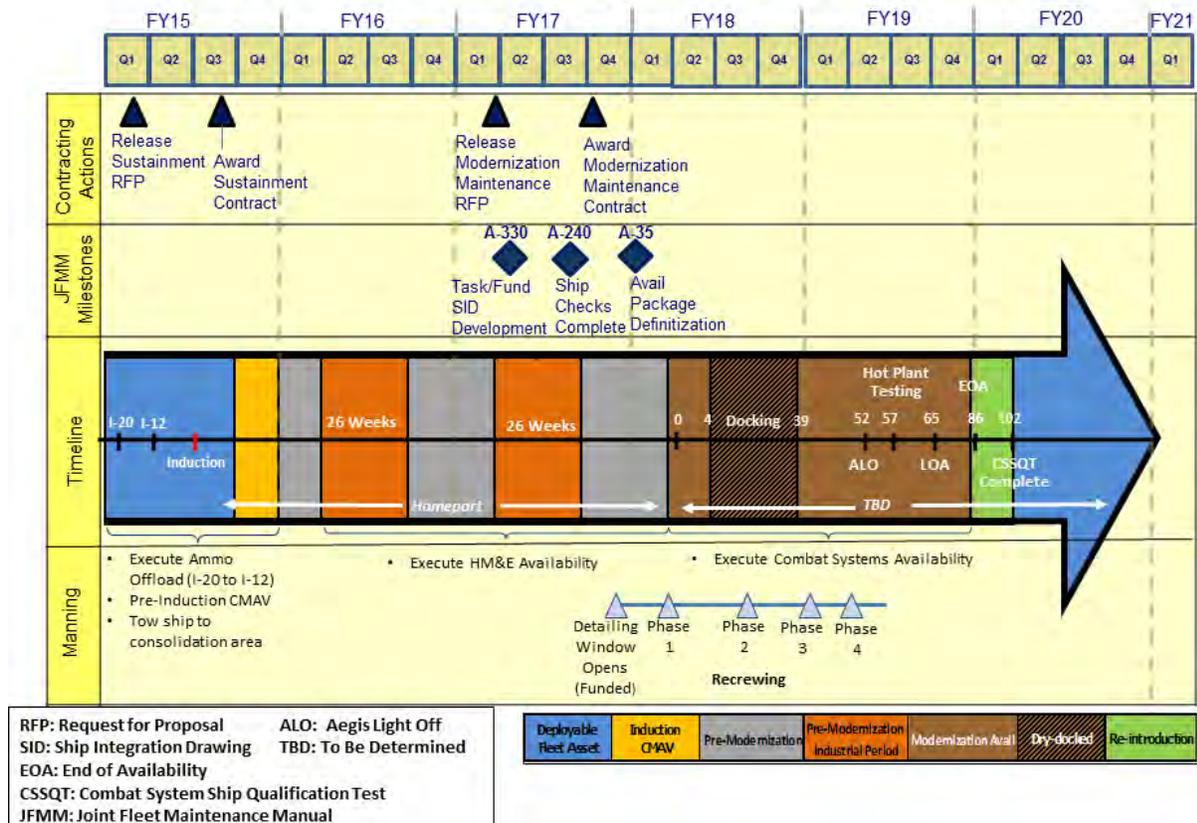


Figure 1: Notional Modernization Timeline

Notional Timeline for Industrial Availability

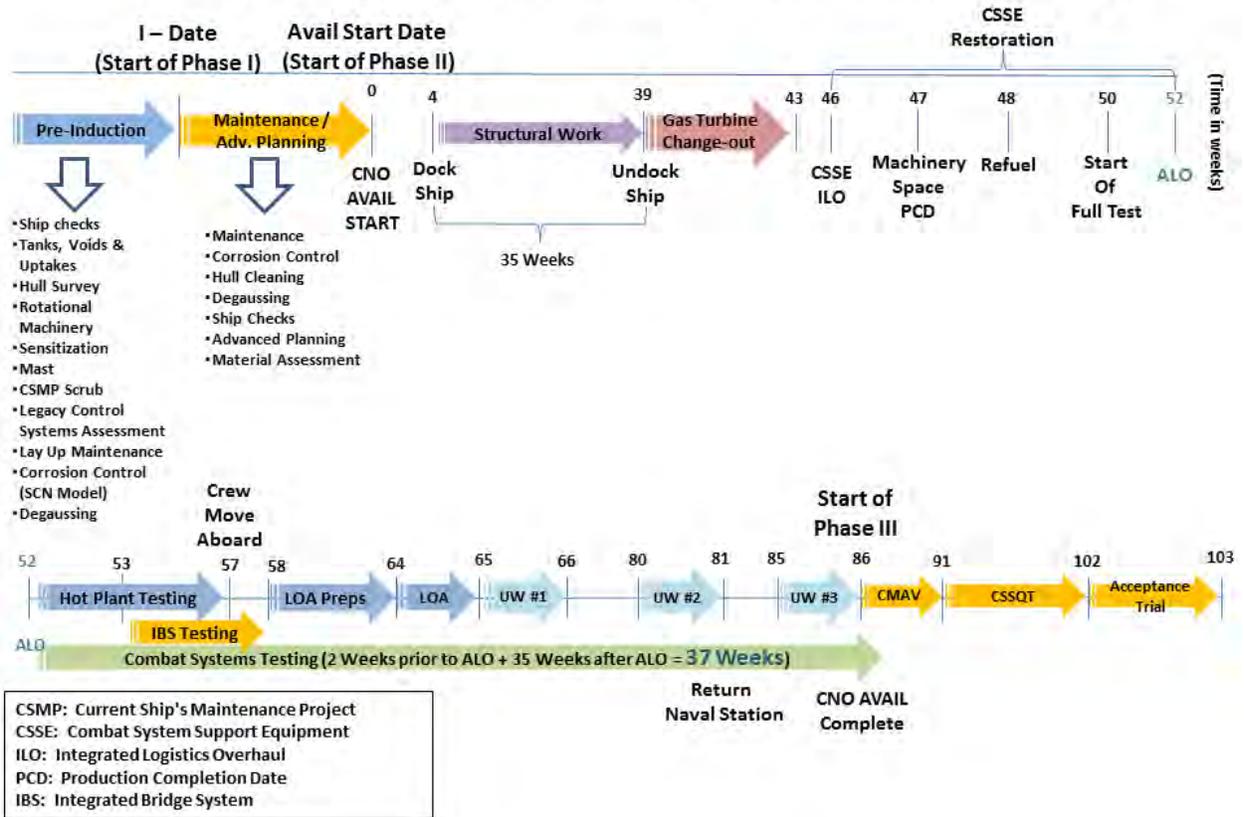


Figure 2: Notional Timeline for Industrial Availability

ROLES AND RESPONSIBILITIES

1. General. This enclosure identifies the roles and responsibilities of the major stakeholders involved with requirement resourcing, planning, and execution of the CG and LSD modernization program.

2. CNO

a. OPNAV Director, Surface Warfare (N96)

(1) Serve as the requirements and resource sponsor for the maintenance and modernization of CGs undergoing modernization. Maintain oversight of CG modernization throughout the Planning, Programming, Budgeting, and Execution (PPBE) process.

(2) Provide CG modernization program policy guidance and ensure compliance with Congressional direction.

(3) Conduct regular reviews of the CG modernization program progress requirements and be responsible for changes to this instruction as required.

b. OPNAV Director, Expeditionary Warfare (N95)

(1) Serve as the requirements and resource sponsor for the maintenance and modernization of LSDs undergoing modernization. Maintain oversight of LSD modernization throughout the PPBE process.

(2) Provide LSD modernization program policy guidance and ensure compliance with Congressional direction.

(3) Conduct regular reviews of LSD modernization program progress requirements and provide input to OPNAV N96 for changes to this instruction as required.

3. COMUSFLTFORCOM. As the CNO's executive agent for the CG and LSD modernization program, responsible for overall execution of the program.

- a. Coordinate with COMUSPACFLT and COMNAVSEASYSKOM to provide consolidated ship modernization, maintenance, repair, and other policy guidance to ensure uniform execution.
- b. Provide authority and direction via Commander, Naval Forces, Atlantic, to COs of ships undergoing CG and LSD modernization as required.
- c. Responsible for allocation and disbursement of CNO funds for the conduct of operations and maintenance planning, procurement, and execution for ships outside of the induction period (i.e., prior to I-CMAV and after reintroduction).
- d. Provide program and budget requirements for operations and maintenance to OPNAV for ships in the CG and LSD modernization program but outside the induction period.
- e. In connection with the changes in CO and TYCOM responsibilities delineated in paragraph 8, coordinate with COMUSPACFLT and COMNAVSEASYSKOM to develop a MOA containing relevant implementing criteria.
- f. As the CNO's executive agent for force protection (reference (f)), COMUSFLTFORCOM determines and issues, via executive order, tactical control for force protection and command and control responsibilities for units affected by this instruction.
- g. During phase III, responsible for the reintroduction of ships into the Optimized Fleet Response Plan to include, but not limited to, monitoring crew training tracks, oversee and assist ships with services reactivation, ship financials, and coordinating system testing and sea trials.
- h. Submit quarterly and annual reports to OPNAV N95 and OPNAV N96 containing the elements specified in enclosure (4). Quarterly reports must be submitted on 15 February, 15 May, and 15 August of each year. A combined quarterly and annual report must be submitted no later than 15 November each year unless otherwise specified by OPNAV.

4. COMUSPACFLT. Responsible for overall execution of the modernization program conduct within COMUSPACFLT area of responsibility acting to coordinate any actions with the COMUSFLTFORCOM as CNO executive agent.

a. Coordinate with COMUSFLTFORCOM and COMNAVSEASYSCOM to provide consolidated ship modernization, maintenance, repair, and other policy guidance to ensure uniform execution.

b. Provide authority and direction via Commander, Naval Forces Pacific Command to COs of ships undergoing CG and LSD modernization program as required.

c. Responsible for allocation and disbursement of CNO funds for the conduct of operations and maintenance planning, procurement, and execution for ships outside of the induction period (i.e., prior to I-CMAV and after reintroduction).

d. Provide program and budget requirements for operations and maintenance to OPNAV for ships in the CG and LSD modernization program but outside of the induction period.

e. In connection with the changes in CO and TYCOM responsibilities delineated in paragraph 8, coordinate with COMUSFLTFORCOM and COMNAVSEASYSCOM to develop a MOA containing relevant implementing criteria.

f. In connection with the changes in CO and TYCOM responsibilities delineated in paragraph 8, COMUSPACFLT is to provide force protection mitigations and any associated waivers.

g. Submit quarterly and annual reports to OPNAV N95 and OPNAV N96 containing the elements specified in enclosure (4). Quarterly reports must be submitted on 15 February, 15 May, and 15 August of each year. A combined quarterly and annual report must be submitted no later than 15 November each year unless otherwise specified by OPNAV.

5. COMNAVSEASYSCOM. Responsible for overall technical, acquisition, program management, and execution authority of the CG and LSD modernization program.

a. Responsible for contracting, allocation, and disbursement of CNO funds for the conduct of operations,

maintenance, and modernization planning, procurement, and execution for ships in the induction period (i.e., start of the I-CMAV until reintroduction).

b. Provide program and budget requirements to OPNAV N95 and OPNAV N96 for ships in the CG and LSD modernization program in the induction period. Provide OPNAV N95 and OPNAV N96 with funding profiles and execution status reports of vessels undergoing modernization as requested.

c. Provide ship modernization, maintenance, repair, quality assurance, and other policy execution guidance.

d. Oversee regional maintenance centers and COMNAVSEASYSKOM maintenance teams as required for ships undergoing modernization.

e. Coordinate requests for removal of any equipment from ships in modernization to support other operational ships (cannibalization) with OPNAV N95 and OPNAV N96. Per the Fiscal Year 2015 National Defense Authorization Act, cannibalization of any ship listed in this instruction requires authorization from the Secretary of Defense.

f. Responsible for all aspects of ship safety, security, and maintenance of CG and LSD ships during the period of time outlined in enclosure (2).

g. Responsible for coordinating and resourcing force protection during modernization period, per reference (g).

h. Serve as the waterfront technical authority responsible for providing government direction and coordination in the resolution of technical issues.

i. In connection with the changes in CO and TYCOM responsibilities delineated in paragraph 8, coordinate with COMUSFLTFORCOM and COMUSPACFLT to develop a MOA containing relevant implementing criteria.

j. Submit inputs to the quarterly and annual report that fall under COMNAVSEASYSKOM oversight to OPNAV N95 and OPNAV N96 for consolidation.

k. Responsible for COMNAVSEASYSKOM fleet introduction team and manpower, personnel, and training for ships undergoing modernization.

6. Commander, Naval Supply System Command. Responsible for coordination of the CG and LSD modernization supply line of operation with Director, Logistics Programs and Business Operations (OPNAV N41), COMUSFLTFORCOM, COMUSPACFLT, TYCOM, and Naval Sea Logistics Center.

a. Provide supply support policy and execution guidance.

b. Support the appropriate fleet and TYCOM for shutdown of ship's services to include food service, disbursing, parts support and hazardous material operations as required.

c. Support the appropriate fleet and TYCOM on the offload of storeroom items prior to commencement of the I-CMAV to include maintenance assistance modules, repair parts, damage control equipment, and consumables.

d. Provide integrated logistics support via global logistics support.

e. Support the appropriate fleet and TYCOM with reconstitution of the CG and LSD supply department.

7. Commander, Navy Installations Command. Responsible for overall port services and other operations support while providing all shore installation management support to all Navy forces afloat in Navy ports per reference (h).

a. Responsible for all base operating and support functions.

b. Ensure the location of ships undergoing modernization at a consolidated port and single pier on each coast.

c. Responsible for providing required ashore security throughout phases I and II modernization until the ship is transferred back to the operational crew and be required to respond to fire, flooding, personnel, security, and other emergencies with little or no support from ships undergoing phase I modernization.

8. COs of Ships Undergoing CG and LSD Modernization Program

a. The CO of a ship undergoing modernization is responsible as delineated in reference (i) until the ship is inducted into modernization and a formal turnover is conducted to the phase I CO. Except as otherwise provided in this instruction, at a point defined by the MOA noted in paragraphs 3 through 5 and following completion of the I-CMAV, the following must occur: Ship CO and COMNAVSURFOR organizational responsibility for all aspects of affected CG and LSD ship operations, to include safety, security, and maintenance, including the tag-out program per reference (h), section 1.3.1, will respectively transfer from the phase I CO and COMNAVSURFOR to COMNAVSEASYSKOM. In particular, the phase I CO must be relieved of the responsibilities noted in subparagraphs 8a(1) through 8a(4) once transfer of responsibility for the ship to COMNAVSEASYSKOM has occurred. Reversion of all responsibilities referenced in this paragraph must be as set forth in subparagraph 8b.

(1) Presence of an officer eligible for command per reference (j), article 0803.

(2) Relationship with executive officer per reference (j), article 0806.

(3) Requirement to exercise the crew per reference (j), article 0807(1)(b).

(4) The requirement to increase general professional knowledge of personnel under his or her command by the frequent conduct of drills, classes and instruction required by reference (j), article 0821.

b. Unless otherwise provided in this instruction, all responsibilities referenced in subparagraph 8a as relieved or transferred must revert to the ship's CO and COMNAVSURFOR respectively when sufficient ship's force has been assigned to the ship to resume these responsibilities sometime during phase II of modernization, prior to sea trials (as depicted in figure 1 of enclosure (2)) and as agreed to by the MOA between COMNAVSEASYSKOM and COMNAVSURFOR.

c. The ship's maintenance and material management program is to be suspended during phases I and II until custody transfer back to the operational crew.

d. The ship's CO retains responsibility for personnel assigned to the ship's unit identification code (to include administrative and disciplinary authorities) at all times while in command.

REPORTING REQUIREMENTS

1. General. This enclosure identifies the report elements required to be submitted to OPNAV N96.
2. Quarterly Reporting Requirements. For each of the 14 ships (CG 63-73, LSD-41, LSD-42, and LSD-46), provide details per subparagraphs 2a through 2f for each of the preceding 3 full months.
 - a. Operations status in terms of number of days underway by hull.
 - b. Manning status in terms of current onboard totals by hull.
 - c. Maintenance status in terms of completed and in progress depot level availabilities, including CMAVs and CNO, with start date, end date and port location.
 - d. Readiness level in terms of the Department of Defense Readiness Reporting System - Navy (DRRS-N) C ratings.
 - e. Ships employment by month categorized by training, maintenance, upkeep, and deployed.
 - f. Planning efforts for modernization.
3. Annual Reporting Requirements. Provide details per subparagraphs 3a through 3f for the 11 CGs and 3 LSDs, as applicable.
 - a. Include all quarterly reporting elements as listed in paragraph 2.
 - b. Modernization availability schedules.
 - c. Equipment procurement schedules and accomplishments.
 - d. Current material condition assessment for each ship inducted and/or undergoing modernization.

e. A list of system-level equipment removed from each ship inducted and/or undergoing modernization, excluding rotatable pool equipment and components incidental to performing maintenance. The list must include a justification for the removal, disposition of the equipment, and plan for restoration.

f. Specific to CGs only, provide a list of rotatable pool equipment that is identified across the whole class to support operations on a continuing basis.