



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

SECNAVINST 5000.40A  
OPA  
7 January 2010

SECNAVINST 5000.40A

From: Secretary of the Navy

Subj: DEPARTMENT OF THE NAVY SENIOR GOVERNANCE COUNCILS

1. Purpose. To implement senior governance councils that will integrate the senior civilian-military governance and decision making of the Department of the Navy (DON) to ensure that the Secretary of the Navy (SECNAV), the Chief of Naval Operations (CNO), and the Commandant of the Marine Corps (CMC) can more effectively fulfill their Title 10 responsibilities.
2. Cancellation. SECNAVINST 5000.40.
3. Background. These councils explicitly replace the former Secretary's Management Review, known as the "SMR." As a high-level venue to consider strategic issues affecting the entire DON, these governance councils are intended to provide senior leadership guidance, bottom-up identification of issues to senior leadership for decision, and advanced communication of positions on strategic issues. These councils will meet to manage the strategic performance of the DON, but do not replace informational meetings, meetings involving limited stakeholders, or other decision-making bodies with powers strictly reserved by other charters, instructions, regulations, or law. These governance councils do serve, however, to ensure that matters affecting the DON enterprise are considered with adequate time and information so that senior leadership can collaborate to develop comprehensive and consolidated solutions that also manage the risks associated with those decisions.
4. Applicability. This directive applies to the Offices of the SECNAV, the CNO, and the CMC.
5. Responsibilities
  - a. The DON Small Group (SG) shall meet at the discretion of the SECNAV to address DON issues and priorities of the highest

level. The SG shall provide advice and assistance to the SECNAV on the strategic direction of the Department.

b. The DON Large Group (LG) shall meet monthly or at the discretion of the Under Secretary of the Navy (UNSECNAV). The LG shall provide advice and assistance to the UNSECNAV on matters pertaining to strategic level coordination and integration of planning, programming, budgeting, execution, and other activities and policies of the Department.

c. Director, Office of Program Appraisal (OPA) shall serve as the executive secretary for the governance councils and shall:

(1) Coordinate with Deputy Under Secretary of the Navy (DUSN) for Plans, Policy, Oversight and Integration (PPOI) and DUSN Business Operations and Transformation (BOaT) to prepare meeting agendas for approval by the chair, blending policy, programmatic, and business concerns.

(2) Provide administrative support for meetings, including distribution of briefings to members, meeting room access control, and audio-visual system support.

(3) Use electronic tasker system to monitor the status of tasks issued and provide status of tasks to the applicable chair.

(4) Maintain an archive of briefs, memoranda, and task completion history.

(5) Advise SECNAV and UNSECNAV on change recommendations to improve efficiency and effectiveness of governance councils.

d. The applicable chairs' schedulers are responsible for determining the meeting dates based on the chairs' and the preponderance of the members' availability.

## 6. Membership

a. SG: SECNAV (chair), CNO, CMC, UNSECNAV, and others approved by the SECNAV to support discussion.

b. The LG is composed of core and adjunct members. LG core members are responsible for providing input to review issues that are time sensitive (on the horizon in the next 2 to 3 months) and require collaboration at a senior level to assist in shaping decisions, guidance, or strategic communications. Members will provide the perspective necessary to guide future decisions. Core members are: UNSECNAV (chair); Vice Chief of Naval Operations; Assistant Commandant of the Marine Corps; Assistant Secretaries of the Navy; General Counsel; DUSN (BOaT); DUSN (PPOI); Director, OPA. Adjunct members are responsible for providing information in their area of expertise relevant to the discussion. Adjunct members are: Director, Navy Staff; Director, Marine Corps Staff; DON Chief Information Officer; Deputy CNO for Integration of Capabilities and Resources (N8); Deputy Commandant for Programs and Resources; Administrative Assistant to the UNSECNAV; Chief of Legislative Affairs; Legislative Assistant to the Commandant; and U.S. Navy Chief of Information. Others approved by the UNSECNAV will be invited to support discussion.

## 7. Procedures

### a. Setting Dates for Meetings

(1) DON SG shall meet at the discretion of the SECNAV.

(2) DON LG shall meet at the discretion of the SECNAV/UNSECNAV.

(3) The meeting chair's scheduler will determine date based on the chair's and the majority of the members' availability. If a member is not available, a substitute must be identified. The chair must approve the substitute.

(4) The chair's scheduler will announce dates for meetings via electronic mail (email) to the participants.

### b. Agenda

(1) Topics will include: predetermined issues in support of SECNAV program objective memorandum guidance and development timeline, issues directed by SECNAV or UNSECNAV, and issues recommended by members.

(2) Timeline for developing and setting the agenda:

(a) After meeting date is announced, OPA, DUSN (PPOI), and DUSN (BOaT) representatives will meet to begin building the agenda and determine what topics are required by the chair, and review, clarify, and prioritize all issues.

(b) SG agenda will include those issues the LG has reviewed and determined appropriate for forwarding.

(c) Fifteen business days prior to meeting, executive secretary will solicit topics from other members via email and Office of the Chief of Naval Operations (OPNAV) Tasker System. Agenda topics/issues should be:

1. At a high level requiring SECNAV or UNSECNAV attention.

2. Require collaboration at senior level to assist in shaping decisions, guidance or strategic communications.

3. Agenda topics/issues may be, but are not mandated to be, time sensitive (on the horizon in the next 2 to 3 months).

(d) Ten business days prior to meeting, proposed topics with brief description of issue are due to executive secretary and DUSNs to allow adequate time for review and get clarification of topics if needed.

(e) Eight business days prior to meeting, OPA and DUSNs agree upon and forward proposed agenda and brief description of topics to chair.

(f) Seven business days prior to the meeting, executive secretary and DUSNs will meet with the chair for decision on agenda. Executive secretary will immediately communicate decision to all participants.

(g) At 0800, 2 business days prior to meeting, presentations for topics are due to executive secretary. Electronic copies only are required. Executive secretary will

immediately distribute electronically to allow all members as much time as possible for review prior to meeting. Executive secretary will provide hard copies to the chairs only. Presentations need to include the following:

1. Statement of the relevance of the issue at this forum, indicating whether a decision needs to be made and within what timeframe or if this is an informational brief.

2. Assessment of the decision options available (including non-action) that consider, at a minimum, the warfighting, organizational, financial, and manpower risks associated with each option.

3. The impact of each decision across the DON and across the Department of Defense (DoD).

(h) One business day prior to meeting, executive secretary and DUSNs will provide chair a pre-brief for the meeting and brief any outstanding actions from previous meetings.

c. Meeting Conduct

(1) Meetings will be conducted in a transparent and collaborative manner to promote:

(a) Unity of effort.

(b) Effective support to the warfighter.

(c) Full understanding of civilian and military perspectives.

(d) Development, coordination, and implementation of DoD and DON priorities, policies, and programs.

(e) Timely sharing of information on matters of mutual interest.

(f) An enterprise perspective in issues affecting all components of human capital.

(2) Only the principals, or their previously approved substitute, will be allowed to attend.

(3) The executive secretary will:

(a) Control access to the meetings.

(b) Provide audio-visual system support.

(c) Record all decisions, guidance, and directed actions.

d. Minutes and Directed Actions

(1) All meetings will be conducted in a non-attribution environment. Only decisions, guidance, and tasks will be recorded.

(2) The executive secretary will draft a feedback memorandum for the chair's signature that records decisions, guidance, and any directed tasks resulting from the meeting.

(3) Feedback memo will be distributed via email and the OPNAV Tasker System.

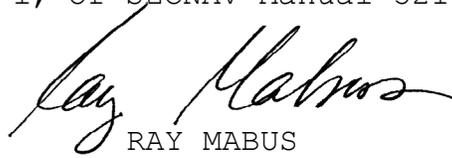
(4) The executive secretary will track completion of directed tasks.

e. Archives. The executive secretary will archive all briefs and feedback memorandums and make available online to all members and their staff.

8. Records Management. Records created as a result of this instruction, regardless of media and format, shall be managed in accordance with SECNAV Manual 5210.1. Many of these records are scheduled as SECNAV primary program files, which are to be transferred to the Federal Record Centers as permanent records. Questions regarding SECNAV and CNO records, contact Director of Navy Staff (DNS-5); for the CMC records, contact Headquarters Marine Corps Records, Reports, and Directives Management Section (ARDB).

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9. Reports. The reporting requirements contained in this instruction are exempt from licensing in accordance to part IV, paragraph 7, subparagraph 1, of SECNAV Manual 5214.1.



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