



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

SECNAVINST 5430.7R  
DUSN (M)  
January 3, 2017

SECNAV INSTRUCTION 5430.7R

From: Secretary of the Navy

Subj: ASSIGNMENT OF RESPONSIBILITIES AND AUTHORITIES IN  
THE OFFICE OF THE SECRETARY OF THE NAVY

Ref: (a) 10 U.S.C.  
(b) U.S. Navy Regulations 1990  
(c) SECNAVINST 5215.1E  
(d) DoD Directive 5100.01 of December 2010  
(e) 14 U.S.C.  
(f) E.O. 12879  
(g) National Defense Authorization Act for FY 2008,  
Public Law No. 110-181  
(h) DoD Instruction 7600.02 CH-1 of 15 March 2016  
(i) DoD Instruction 4205.01 of 8 June 2016

Encl: (1) Responsibilities

1. Purpose. To publish responsibilities and authorities for the administration of the Department of the Navy (DON). This instruction has been substantially revised and should be reviewed in its entirety.
2. Cancellation. SECNAVINST 5430.7Q
3. Applicability. This instruction applies to the DON.
4. Policy. Per reference (a), as implemented by reference (b), the DON is organized under the Secretary of the Navy (SECNAV) and is composed of:
  - a. The Office of the SECNAV, which includes the Under Secretary of the Navy (UNSECNAV), civilian executive assistants, staff assistants, and such other offices and officials as may be established by law or as SECNAV may establish or designate.
    - (1) The civilian executive assistants are:
      - (a) The Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN (RD&A));

3 Jan 17

(b) The General Counsel (GC) of the Navy;

(c) The Assistant Secretary of the Navy (Financial Management and Comptroller) (ASN (FM&C));

(d) The Assistant Secretary of the Navy (Energy, Installations and Environment) (ASN (EI&E)); and,

(e) The Assistant Secretary of the Navy (Manpower and Reserve Affairs) (ASN (M&RA)).

(2) The staff assistants are:

(a) The Deputy Under Secretary of the Navy (Management) (DUSN (M));

(b) The Deputy Under Secretary of the Navy (Policy) (DUSN (P));

(c) The Chief of Information (CHINFO);

(d) The Chief of Legislative Affairs (CLA);

(e) The Chief of Naval Research (CNR);

(f) The Chief Information Officer (CIO) (for those matters on which the CIO reports directly to SECNAV);

(g) The Judge Advocate General (JAG);

(h) The Naval Inspector General (Naval IG);

(i) The Auditor General (AUDGEN) of the Navy;

(j) The Director, DON Sexual Assault Prevention and Response Office (DON-SAPRO);

(k) The Director, Office of Small Business Programs (OSBP);

(l) The Director, Naval Criminal Investigative Service (NCIS) (for those matters on which the Director reports directly to SECNAV); and,

(m) The Director, DON Special Access Program Central Office (DON SAPCO).

3 Jan 17

- b. The Office of the Chief of Naval Operations (OPNAV).
  - c. The Headquarters, United States Marine Corps (HQMC).
  - d. The entire operating forces.
  - e. All field activities.
  - f. U.S. Coast Guard Headquarters when the U.S. Coast Guard is operating as a Service in the Navy.
5. Responsibilities. See enclosure (1).
6. Scope. Within the area of responsibility assigned in paragraphs 3 and 4 of enclosure (1), each civilian executive assistant is the principal civilian advisor and assistant to the SECNAV and UNSECNAV on the administration of the affairs of the DON. Each staff assistant is the principal advisor and assistant to the SECNAV and UNSECNAV, for their assigned duties, per paragraphs 3 and 5 of enclosure (1). In carrying out these duties, the civilian executive assistants and staff assistants also support the Chief of Naval Operations (CNO) and the Commandant of the Marine Corps (CMC), as prescribed in references (a) and (b) in the execution of their responsibilities.
- a. CNO. The CNO is the principal Navy advisor and Navy executive to the SECNAV on the conduct of Navy activities in the DON. The CNO performs duties under the authority, direction, and control of the SECNAV and is directly responsible to the SECNAV except as otherwise prescribed by law.
  - b. CMC. The CMC is the principal Marine Corps advisor and Marine Corps executive to the SECNAV on the conduct of Marine Corps activities in the DON. The CMC performs duties under the authority, direction, and control of the SECNAV and is directly responsible to the SECNAV except as otherwise prescribed by law.
  - c. Commandant of the Coast Guard (COMDT COGARD). When the U.S. Coast Guard is operating as a Service in the Navy upon the declaration of war or when directed by the President, the COMDT COGARD performs duties under the authority, direction, and control of the SECNAV and is directly responsible to the SECNAV except as otherwise prescribed by law.
7. Governance. SECNAV assigns responsibilities and authorities for areas essential to the efficient administration of the DON

3 Jan 17

to and among the civilian executive assistants and staff assistants. The SECNAV retains control of these and related policy matters, including the establishment of fundamental policies and the issuance of such orders and directives as are deemed necessary, per reference (c).

8. Delegation of Authority. The SECNAV is frequently assigned additional authorities and responsibilities. Many are provided formally through United States Code or public law, Department of Defense (DoD) directives and instructions, or through written memoranda; others are presented less formally. Regardless of origin, the details of each assignment should be captured in writing. Further delegations by the SECNAV, if any, of these additional authorities and responsibilities to the appropriate level in the DON shall also be in writing.

a. The publication of a SECNAV directive as described in reference (c) may be necessary to execute these delegations of authority. SECNAV directives often include a delegation of authority or assignment of responsibility. Directives as described in reference (c) may continue to provide written guidance on selected authorities and responsibilities.

b. Additional delegations shall be made in writing signed by the SECNAV, UNSECNAV, CNO, CMC, or cognizant civilian executive assistant or staff assistant, and a copy of the written delegation shall be forwarded to the Department of the Navy Assistant for Administration (DON/AA), Directives and Records Management Division for retention.

c. In accordance with reference (c), directive issuance authority is granted per this instruction for the civilian executive assistants and staff assistants for areas in which they have been delegated an authority in this document or by other written delegation, after coordination with all civilian executive assistants and staff assistants who have a mutual interest in the matter as determined by the UNSECNAV.

d. Other kinds of issuances may be published by civilian executive assistants and certain staff assistants to describe the procedures and techniques of implementation of delegated authorities. Compliance with the provisions of these issuances is mandatory to the extent specified in the issuance.

9. 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.

3 Jan 17

10. Reports. The reporting requirements contained in enclosure (1), paragraphs 4c(8)(c), 5e(5), 5h(9), and 5j(7) have been assigned to SECNAV report control symbol 5430-1.



RAY MABUS

Distribution:

Electronic only, via Department of the Navy Issuances Web site  
<http://doni.documentservices.dla.mil/>

3 Jan 17

**RESPONSIBILITIES**

1. SECNAV. References (a) and (d) outline the responsibilities of the SECNAV to the Secretary of Defense (SECDEF) and those responsibilities within the DON for its functioning and efficiency. References (a) and (e) outline the responsibilities of the SECNAV to the SECDEF when the U.S. Coast Guard is operating as a Service in the Navy. Reference (a), as well as other applicable laws and regulations, identifies specific assignments of authority and responsibility. In the event of the death, permanent disability, or resignation of the SECNAV, section 5017 of reference (a) and reference (f), augmented by applicable SECNAV instruction, determine succession.

2. UNSECNAV. The UNSECNAV is designated as the deputy and principal assistant to the SECNAV, and acts with full authority of the SECNAV in managing the DON. The UNSECNAV serves as the Chief Operating Officer of the Department. The UNSECNAV shall promptly and fully inform the SECNAV regarding any action which the UNSECNAV has taken involving or affecting the DON, as well as significant matters involving or affecting the DON. Per section 904(b) of reference (g), the UNSECNAV is also the Department's Chief Management Officer. Additionally, the UNSECNAV oversees intelligence activities, intelligence-related activities, special access programs, DON critical infrastructure and sensitive activities within the DON. The UNSECNAV will be supported by two staff assistants: the DUSN (M), who will serve as the principal deputy, and the DUSN (P).

3. Civilian Executive Assistants and Staff Assistants: General Responsibilities. Civilian executive assistants and staff assistants are authorized and directed to act for the SECNAV and the UNSECNAV within their assigned areas of responsibility and to supervise all functions and activities internal to their offices and assigned field activities, if any. They are ultimately responsible to the SECNAV and the UNSECNAV for the use of resources and the functioning and efficiency of all activities under their supervision or control. This instruction delegates to the civilian executive assistants and the staff assistants only those duties and authorities which by law the SECNAV can properly delegate. Under the direction, authority, and control of the SECNAV and the UNSECNAV, each civilian executive assistant and staff assistant, within their assigned area of responsibility, shall:

- a. Perform the functions required or authorized by law.

Enclosure (1)

3 Jan 17

b. Establish management policies, strategic direction, systems, procedures, standards, and make decisions that are necessary for effective administration in their respective areas of responsibility.

c. Review and evaluate actions regarding program development and execution.

d. Issue directives concerning matters over which they exercise control or supervision after coordination with other civilian executive assistants and staff assistants.

e. Recommend fundamental policies, orders, or directives for issuance by the SECNAV, in executing the responsibilities described in paragraphs 1 and 2 of enclosure (1), which are considered necessary for the effective administration of the DON and beyond the scope of their individual responsibilities.

f. Organize and supervise the offices and organizations as assigned by the SECNAV and the UNSECNAV.

g. Act as approving authority on behalf of the SECNAV in the DoD issuances coordination (SD-106) process.

h. Perform other duties as assigned by the SECNAV and the UNSECNAV.

#### 4. Civilian Executive Assistants

a. ASN (RD&A). The ASN (RD&A) has overall responsibility within the Office of the SECNAV, OPNAV, and HQMC for the acquisition function, except for the determination of military requirements and the operational test and evaluation of military capabilities. The ASN (RD&A) will be assisted in the execution of duties by two principal deputies, one military and one civilian. The ASN (RD&A) shall:

(1) Act as liaison with the Under Secretary of Defense (Acquisition, Technology, and Logistics) (USD (AT&L)) and with Assistant Secretaries of Defense, as appropriate and relevant, in matters of mutual concern.

(2) Serve as the Navy acquisition executive with responsibility for the management of the defense acquisition system within the DON and representing the DON with USD (AT&L) and Congress on all matters related to acquisition policy and programs.

3 Jan 17

(3) Serve as the DON senior procurement executive and perform the functions of that position as established by law, executive order, and regulation.

(4) Establish policy and procedures and be responsible for all research, development, and acquisition.

(5) Ensure that CNO or CMC, as appropriate, concurs with the cost, schedule, technical feasibility, and performance trade-offs made with regard to a major defense acquisition program consistent with reference (a).

(6) Recommend milestone decisions on Acquisition Category (ACAT) ID and IAM programs and serve as the program decision authority for ACAT IC, IAC, II, and III programs.

(7) Establish policy, procedures, and oversight concerning competition, product integrity, the viability of the defense industrial base, and, in coordination with the GC of the Navy, procurement integrity and accountability.

(8) Establish and appoint membership of the Navy Contract Adjustment Board.

(9) Provide oversight of the DON's international research, development, and acquisition efforts including:

(a) Security assistance programs;

(b) International cooperation acquisition programs;

(c) Technology transfer; and

(d) Arms control agreement implementation and compliance.

(10) Approve Key Leadership Position designations and assignments for program executive officers, major program managers, and direct reporting program managers after coordinating with the CNO or the CMC and the USD (AT&L), as appropriate.

(11) Provide policy and oversight of those management and technical activities needed to ensure that integrated logistics support is established to support new systems and system upgrades to required levels of operational effectiveness and safety.

3 Jan 17

(12) Provide oversight for DON Research, Development, Test, and Evaluation (RDT&E) investments and for conducting portfolio affordability analyses for acquisition programs.

(13) Establish policy and provide oversight for acquisition workforce management and career development.

(14) Co-chair the Technology Transfer and Security Assistance Review Board and serve as the DON implementation and compliance manager for arms control agreements.

(15) Supervise the CNR and provide oversight for Naval research conducted to develop military capabilities.

(16) Supervise the Director, Navy International Programs Office.

(17) Supervise the program executive officers and direct reporting program managers.

(18) Supervise the commanders of all systems commands for acquisition matters.

(19) Grant approvals and make determinations regarding leases, sales, donations, transfers, or disposals of ships or other personal property, except for personal property at a base closed or realigned under base closure procedures.

(20) Grant approvals and make determinations regarding sales of government goods and services to private parties (for example, DON performing work for private parties or generating partnering agreements with private parties).

(21) Ensure adequate policies are in place and provide oversight for property accountability and management within the DON for Inventory, Operating Materials & Supplies, General Equipment and Government Furnished Property.

b. GC of the Navy. The GC of the Navy is the chief legal officer of the Navy and heads the Office of the General Counsel (OGC). The GC maintains a close working relationship with the JAG and the Staff Judge Advocate to the CMC (SJA to CMC) on all matters of common interest. The legal opinions issued by the GC are the controlling legal opinions within the DON. The responsibilities assigned to the GC by this instruction do not affect determinations required by law to be made by the JAG or

3 Jan 17

the SJA to the CMC. The GC will be assisted in the execution of duties by a principal deputy. The GC shall:

(1) Provide or supervise the provision of legal advice and services to the SECNAV, the UNSECNAV, the civilian executive assistants, and the staff assistants on all matters affecting the DON.

(2) Provide or supervise the provision of legal services in subordinate commands, organizations, and activities in the following areas: acquisition law, including international transactions; business and commercial law; real and personal property law; civilian personnel and labor law; fiscal law; environmental law; intellectual property law; intelligence and national security law; law pertaining to cyberspace; ethics and standards of conduct; and Freedom of Information Act (FOIA) and Privacy Act law. In coordination with the JAG and the SJA to the CMC, provide such other legal services as may be required to support the mission of the Navy and the Marine Corps, or the discharge of the GC's responsibilities as described in this instruction.

(3) Conduct litigation involving the areas enumerated above and oversee all litigation affecting the DON.

(4) Supervise attorneys within the OGC, including the authority to appoint, assign, promote, evaluate the performance of, and remove attorneys in the OGC.

(5) Exercise position management authority.

(6) Serve as the Designated Agency Ethics Official of the DON.

(7) Act as liaison with the Department of Defense General Counsel in matters of mutual concern.

(8) Coordinate with the Department of Justice as appropriate.

(9) Oversee the DON Acquisition Integrity Program.

(10) Manage the DON Alternative Dispute Resolution Program.

(11) In coordination with the JAG, provide or supervise legal advice and services with respect to legislation.

3 Jan 17

(12) Advise and assist the UNSECNAV regarding the oversight of NCIS.

(13) In coordination with the JAG and SJA to CMC, provide legal advice regarding intelligence activities, intelligence-related activities, special access programs, and sensitive activities within the DON to help ensure that they are conducted in a legal manner.

(14) Advise the UNSECNAV regarding the oversight of all DON intelligence activities (including foreign intelligence and counterintelligence), intelligence-related activities, special access programs, sensitive activities, and alternative compensatory control measures.

(15) Advise and assist the UNSECNAV in the oversight of all DON law enforcement and related investigative activities, including criminal and administrative investigations.

c. ASN (FM&C). The ASN (FM&C) is the SECNAV's principal financial advisor and is responsible for all matters relating to financial management and comptrollership within the DON. The ASN (FM&C) has sole responsibility for comptrollership within the Office of the SECNAV, OPNAV, and HQMC. No other office or entity may be established or designated therein to perform these responsibilities. The ASN (FM&C) will be assisted in the execution of duties by a principal deputy. The ASN (FM&C) shall:

(1) Act as liaison with the Under Secretary of Defense (Comptroller) and with Assistant Secretaries of Defense, as appropriate and relevant, in matters of mutual concern.

(2) Act as liaison with the Government Accountability Office (GAO), the Office of Management and Budget (OMB), and the Inspector General of the Department of Defense (DoD IG) on financial matters.

(3) Act as liaison with the Defense Finance and Accounting Service and other organizations, as necessary, on matters relating to financial accounting, disbursing (finance), and related automated system support.

(4) Act as liaison with the Congressional appropriations committees on all matters and with the Office of Legislative Affairs, the Congressional liaison offices of the SECDEF, and the other Military Departments for all appropriations matters.

3 Jan 17

(5) Oversee the Planning, Programming, Budgeting, and Execution System, including the process of preparing the DON program objective memorandum.

(6) Establish principles, policies, and procedures to supervise and direct the preparation of budget estimates.

(7) Approve and supervise financial management and asset management systems throughout the DON for appropriated, non-appropriated and special funds.

(8) Carry out the responsibilities delegated to the DON by the Under Secretary of Defense (Comptroller) in establishing and supervising the execution of principles, policies, and procedures to be followed in connection with organizational and administrative matters relating to:

- (a) The preparation and execution of budgets;
- (b) Fiscal, cost, operating, and capital property accounting;
- (c) Progress and statistical reporting; and
- (d) Financial Management Workforce.

(9) Provide policy oversight for cost analysis, providing an independent capability to estimate life cycle costs of major weapons systems and automated information systems and maintain tools for such purposes.

(10) Guide, direct, and coordinate the education, training, and career development of DON financial management personnel.

(11) Prepare and submit Departmental financial statements.

(12) Prepare Departmental statement of assurance for SECNAV/UNSECNAV submission to SECDEF.

(13) Lead DON efforts toward preparation for and execution of financial statement audits; work with accountable DON executives to ensure that audit deficiencies are corrected using sustainable solutions.

3 Jan 17

d. ASN (EI&E). The ASN (EI&E) is responsible for formulating Department-wide policies and procedures on, providing advocacy and strategic planning for, and overseeing all DON functions and programs relating to energy, installations, safety and occupational health, environment, strategic sourcing (including implementation of OMB Circular A-76), and the oversight of installation management systems, such as MAXIMO, Builder SMS, MILCON project development, and space management systems, within the DON. The ASN (EI&E) will be assisted in the execution of duties by a principal deputy. The ASN (EI&E) shall:

(1) Act as liaison with the Occupational Safety and Health Administration, the Assistant Secretary of Defense (Energy, Installations and Environment) and other Assistant Secretaries of Defense as appropriate and relevant, in matters of mutual concern.

(2) Coordinate with the Deputy Commandant for Installations and Logistics; Deputy Chief of Naval Operations for Fleet Readiness and Logistics; Commander, Naval Safety Center; Commander, Navy Installations Command; Commander, Naval Facilities Engineering Command; Director, HQMC Safety Division; and Surgeon General of the Navy, as appropriate and relevant, in matters of mutual concern.

(3) Act as liaison with Federal and State agencies, Tribal governments, and non-governmental organizations for the purpose of communicating DON positions and negotiating agreements related to the ASN (EI&E) functions and programs.

(4) Establish and oversee execution of Departmental principles, policies, and procedures in matters relating to:

(a) Energy, which includes increasing energy efficiency and the use of alternative energy to enhance mission effectiveness, improve operational flexibility, and mitigate energy-related risks both ashore and afloat.

(b) Environmental protection, including environmental planning, installation restoration, munitions response, pollution prevention, compliance, marine resources protection, ocean policy, and natural and cultural resources conservation. Act as Natural Resources Trustee under the Oil Pollution Act of 1990 and the Comprehensive Environmental Response, Compensation, and Liability Act.

3 Jan 17

(c) Acquisition (including all real estate contract actions), use, planning, and disposal of real property, housing, and other facilities, which includes utilities systems, roads, buildings, and other infrastructure.

(d) Construction, operation, management, maintenance, and repair of housing and other facilities, including utilities systems, roads, buildings, and other infrastructure.

(e) Establishment and disestablishment of DON shore (field) activities and permanent homeport/station assignments except those temporary changes incident to the start or completion of maintenance availabilities of less than 18 months duration.

(f) Closures and realignments of installations under applicable base closure laws, including disposition of personal property associated with such closures and realignments.

(5) Serve as the DON Designated Agency Safety and Health Official in the management and administration of the DON safety and occupational health (SOH) program. This safety program shall not include naval nuclear reactor and associated nuclear propulsion plant safety or DON contractor operations where the contractor is directly responsible for complying with Federal and State safety and health standards. Oversee and direct a comprehensive DON SOH program. The DON's SOH program shall include policy and program oversight for acquisition safety, operational safety and civilian safety, traffic and off-duty recreational safety, and all occupational health matters.

(6) Ensure adequate policies are in place and provide full oversight for property accountability and management within the DON for Real Property, Stewardship Land, and Heritage Assets classified as Real Property.

(7) Oversee and direct the Renewable Energy Program Office (REPO). REPO shall, in close coordination with Deputy Assistant Secretary of the Navy (Energy) (DASN Energy), leverage technical and business expertise to execute cost-effective large-scale renewable energy projects and energy-related pilots that increase installation energy resiliency.

e. ASN (M&RA). The ASN (M&RA) is responsible for the overall supervision and oversight of manpower and reserve

3 Jan 17

component affairs of the DON, including the development of programs and policy related to military personnel (active, reserve, and retired), their family members, and the civilian workforce; the tracking of the contractor workforce; and, the oversight of Human Resources systems with the DON. The ASN (M&RA) will be assisted in the execution of duties by a principal deputy. The ASN (M&RA) shall:

(1) Act as liaison with the Under Secretary of Defense (Personnel and Readiness), the Assistant Secretaries of Defense for Manpower and Reserve Affairs, Health Affairs, Readiness, and the Executive Director for Force Resiliency, other Under and Assistant Secretaries of Defense, as appropriate and relevant, in matters of mutual concern.

(2) Coordinate with the Deputy Commandant for Manpower and Reserve Affairs; the Deputy Commandant Installations and Logistics; the Deputy Commandant for Combat Development and Integration; the Deputy Chief of Naval Operations for Fleet Readiness and Logistics; the Deputy Chief of Naval Operations (Manpower, Personnel, Training and Education)/Chief of Naval Personnel; Chief of Chaplains; the Navy Surgeon General; Chief of Navy Reserve; and Marine Corps Forces Reserve, as appropriate and relevant, in matters of mutual concern.

(3) Assist the UNSECNAV in managing human resource aspects of all DON civilian career senior executive programs, including, but not limited to, Senior Executive Service, scientific, highly qualified experts, intelligence and national security senior executives.

(4) Develop, administer, and evaluate all civilian personnel management and equal employment opportunity programs.

(5) Provide oversight and direction on DON policies regarding the accession, development, and retention of active and reserve component personnel.

(6) Develop and oversee policies and programs designed to enhance personal and family readiness.

(7) Develop and oversee policies and programs designed to enhance the quality of life of DON military personnel and family members, to include Non-Appropriated Fund (NAF) programs involving Morale, Welfare and Recreation, Military Resale, NAF procurement and construction; Dependent Education; Navy/Marine

3 Jan 17

Corps Relief Society; Child and Youth Programs; and the Exceptional Family Member Program.

(8) Supervise and coordinate with the Surgeon General of the Navy the execution of DON medical and health programs including health productivity management and development of human science research.

(9) Supervise DON's drug testing and demand reduction programs.

(10) Oversee policies and programs relating to Casualty Support Programs; Mortuary Affairs matters; and Prisoner of War (POW) and Missing in Action (MIA). Liaise with Service Casualty offices, Defense POW/MIA Accounting Agency, and other organizations, as necessary for execution of associated policies.

(11) Develop and monitor execution of the DON's human capital and Diversity and Inclusion strategies.

(12) Analyze the Total Force structure as related to workforce requirements, utilization, readiness, and support. Administer and implement controls over military and civilian personnel strengths and compositions for the DON. Establish and issue guidance to be used by DON for determining the most appropriate and cost efficient mix of military, civilian, and contractor personnel to perform the mission of the DON.

(13) Chair the Total Force Integration Board.

(14) Conduct DON manpower policy and program analyses and research.

(15) Oversee the:

(a) SECNAV Council of Review Boards (Naval Discharge Review Board, Naval Clemency and Parole Board, Naval Physical Evaluation Board, Combat-Related Special Compensation Board, Traumatic Service Members Group Life Insurance Appeals Navy Department, Board of Decorations and Medals, and Personnel Security Appeals Board);

(b) Board for Correction of Naval Records;

(c) National Navy Reserve Policy Board;

3 Jan 17

- (d) Marine Corps Reserve Policy Board;
- (e) Secretary of the Navy Retiree Council; and
- (f) Fisher House Program Board of Directors.

(16) Develop and implement programs for leadership, equal opportunity, gender integration, diversity, and related issues.

(17) Conduct secretarial review of the general court-martial authority's action on "complaints of wrong" against commanding officers or other superiors, under article 138 of the Uniform Code of Military Justice, or reference (b).

(18) Serve as the Chief Diversity Officer for the DON.

5. Staff Assistants. The staff assistants assist the SECNAV, the UNSECNAV, the civilian executive assistants, OPNAV, and HQMC. They perform specific duties and responsibilities as the SECNAV and UNSECNAV assign or as required by law.

a. DUSN (M). The DUSN (M) serves as the Principal Deputy to the UNSECNAV and Deputy Chief Management Officer; and is the principal senior advisor on business systems, information technology (IT), information management (IM), administrative services, innovation initiatives, and management processes. The responsibilities assigned to the DUSN (M) by this instruction do not affect determinations required by law to be made by the DON CIO, or affect the ability of DON CIO to communicate directly with SECNAV on such matters. In this capacity, DUSN (M) shall:

(1) Formulate department-wide strategic plans, program objectives, policies and standards in support of business systems, IT, IM, administrative services, innovation initiatives, and management processes;

(2) Advise and assist SECNAV and UNSECNAV in the execution of their statutory management and information responsibilities;

(3) Advise and assist SECNAV and UNSECNAV on key business, management, and information systems;

(4) Support the SECNAV's Business Transformation Council;

3 Jan 17

(5) Oversee the Secretariat administration and management enterprise, including the Offices of the DON/AA, Business Operations, Strategy and Innovation, and DON CIO except for such matters that require direct reporting to the SECNAV pursuant to law, regulation, and policy; and,

(6) Ensure adequate policies are in place and provide full oversight for property accountability and management within the DON for Internal Use Software and Heritage Assets (Non-Real Property).

b. DUSN (P). DUSN (P) is the principal civilian advisor on defense and foreign policy; intelligence; defense sensitive support, signature reduction, sensitive activities, and intelligence-related support activities; policy implications of emerging naval capabilities and concepts; military readiness; Special Operations and Irregular Warfare; and as the DON Security Executive/Senior Agency Official, leads the DON Security Enterprise. In this capacity, DUSN (P) shall:

(1) Formulate department-wide strategic plans, policies, standards, and program guidance in support of national security and foreign policy objectives;

(2) Serve as the lead agent within the DON for the prioritization, integration, and oversight of defense and foreign policies and strategic plans;

(3) Advise and assist the SECNAV and UNSECNAV in the execution of their statutory intelligence responsibilities;

(4) Advise the SECNAV and UNSECNAV on the execution and oversight of defense sensitive support, signature reduction, sensitive activities, and intelligence-related support activities;

(5) Advise the SECNAV and UNSECNAV on the policy implications of key emerging naval capabilities and concepts;

(6) Advise and assist the SECNAV and UNSECNAV on security policy and oversight matters and serve as the DON Security Executive/Senior Agency Official; and

(7) Advise and assist the SECNAV in providing direction to the Secretary of the Navy's Advisory Panel and provide administrative support to the panel.

3 Jan 17

c. CHINFO. CHINFO is the direct representative of the SECNAV in all internal and external communications matters. The CHINFO has sole responsibility for public affairs (PA) within the Office of the SECNAV and OPNAV, and has a deputy for Marine Corps matters. No other office or entity may be established or designated therein to perform this responsibility. The CHINFO shall:

- (1) Act as principal spokesperson for the DON through interactions with the media and the public.
- (2) Ensure sufficient policies exist for the effective conduct of internal and external communication activities in the DON.
- (3) Develop and execute internal and external communication programs.
- (4) Provide or supervise the provision of all internal and external communication counsel to commanders and other heads of activities, communication processes, capabilities, systems, and other aspects related to communication throughout the DON. The CNO and the CMC will conduct their respective Services' internal and external communications programs, and implement the SECNAV's PA policy and directives, per CHINFO guidance.
- (5) Support performance of the PA function for the Marine Corps through the Deputy CHINFO for Marine Corps Matters.
- (6) Report as an additional duty to the CNO for support of the CNO responsibilities outlined above, and provide such staff support as the CNO considers necessary to perform those duties and responsibilities.
- (7) Coordinate those Navy and Marine Corps activities of mutual interest.
- (8) Determine staffing requirements for the Office of Information, ensuring that the SECNAV, CNO, and CMC are provided support necessary to perform PA related duties and responsibilities.
- (9) Serve as the DON PA workforce community leader and develop PA workforce policies, plans and guidance, in coordination with the ASN (M&RA), to ensure the DON has sufficiently trained personnel in PA competencies.

3 Jan 17

(10) Exercise management and control over all CHINFO field activities and subordinate commands including Navy Offices of Information East and West, Navy Office of Community Outreach, and Navy Public Affairs Support Element.

(11) Act as command assist official for the U.S. Navy Band.

(12) Maintain continuous and direct liaison with DoD, and other governmental agencies, in connection with the above matters.

d. CLA. The CLA is responsible for the Office of Legislative Affairs. The CLA has sole responsibility for legislative affairs within the Office of the SECNAV, OPNAV, and HQMC (except as it relates to appropriations committees). No other office or entity may be established or designated therein to perform this responsibility. The CLA shall:

(1) Develop, coordinate, and process DON actions relating to proposed legislation, Executive Orders and Presidential proclamations sponsored by or officially referred to the DON.

(2) Develop, coordinate, and process DON actions relating to congressional investigations and other pertinent matters affecting relations between Congress and the DON.

(3) Provide Members and Committees of Congress with information concerning the actions, plans, and programs of the DON, where appropriate.

(4) Monitor and evaluate congressional proceedings and other congressional actions affecting the DON and provide pertinent information to appropriate DoD officials and offices.

(5) Coordinate and make arrangements for the presentation of all DON matters before Congress.

(6) Process correspondence from Members of Congress in matters of personal interest involving their constituents.

(7) Coordinate delivery of classified and other sensitive information to Congress per prescribed policies.

(8) Supervise travel arrangements for congressional travel undertaken as an official responsibility of the DON.

3 Jan 17

(9) Maintain continuous and direct liaison with Congress, DoD, and other governmental agencies in connection with the above matters.

e. CNR. The CNR shall command the Office of Naval Research (ONR) and assigned shore activities. The CNR is the DON's Science and Technology (S&T) Executive, and a Deputy Assistant Secretary of the Navy-level official responsible for S&T management, policy, and oversight for the SECNAV. The CNR shall:

(1) Pursuant to reference (a), encourage, promote, plan, initiate, and coordinate Naval research, including programs for which funds are provided in the basic research, applied research, and advanced technology budget activities of the DON RDT&E budget.

(2) Conduct Naval research in augmentation of and in conjunction with the research and development conducted by other agencies and offices of the DON.

(3) Supervise, administer, and control activities within or for the DON relating to patents, inventions, trademarks, copyrights and royalty payments, and matters connected therewith.

(4) Manage and execute programs for which funds are provided in the basic research, applied research, and advanced technology budget activities of the DON RDT&E budget, in such a manner that will foster the transition of S&T to higher levels of RDT&E.

(5) Serve as the responsible office for the S&T budget activities within the Navy RDT&E (RDT&E,N) appropriation on behalf of the ASN (RD&A). This responsibility entails semi-annual certification of DON budget execution reports on behalf of all Budget Submitting Offices, across all RDT&E,N budget activities.

(6) Execute and administer contracts, grants, cooperative agreements, and other transactions for services and materials to conduct research or make or secure reports, tests, models, or apparatus.

(7) Represent the DON on the Defense Science Board and administer and coordinate the efforts of the Naval Research Advisory Committee.

3 Jan 17

(8) Provide policy direction and oversight to the Naval Research Laboratory.

(9) In coordination with the OSBP, manage the DON Small Business Innovative Research Program and Small Business Technology Transfer (STTR) Program.

(10) Direct, as technical manager, the Naval S&T Reserve Program.

(11) Manage the DON Domestic Technology Transfer Program. Cultivate collaboration between DON S&T communities and industry to promote collaborative efforts resulting in the transfer of military technology to the commercial sector.

(12) Manage and execute the DON Manufacturing Technology Program, collaborating with industry to improve manufacturing techniques and procedures tied to key components of naval systems, fostering improved quality and cost reduction.

(13) Manage the DON international S&T strategy by fostering cooperation in areas of mutual interest through ONR Global Offices and be responsible for S&T policy as it relates to Independent Research and Development within the DON.

(14) Manage the Naval Science, Technology, Engineering and Mathematics (STEM) Coordination Office and align service-wide STEM education and outreach efforts as the Naval STEM Executive.

(15) Manage the DON Historically Black Colleges and Universities/Minority Institutions Program.

(16) Manage and coordinate the DON ocean S&T program.

f. DON CIO. The DON CIO is aligned within the Office of DUSN (M) and is the DON's senior IM, IT (including national security systems), and Information Resources Management (IRM) official. As such, the DON CIO is the DON's senior official for matters involving Cybersecurity, Electromagnetic Spectrum, Records Management, Privacy, the FOIA, and Civil Liberties. The DON CIO reports directly to SECNAV and has a direct line of communication with SECNAV on those matters required by law, regulation, and policy. This position is responsible for IM, IT, and IRM-related principles, policies, and procedures within the DON. The DON CIO has oversight for the IM function within the Office of the SECNAV, OPNAV, and HQMC. The DON CIO will

3 Jan 17

work closely with UNSECNAV and DUSN (M) in support of UNSECNAV directed business operations. The DON CIO shall:

(1) Provide oversight of strategic planning for all information and IT management functions.

(2) Provide oversight for IT capital planning and investment management.

(3) Review budget requests for all IT and national security systems.

(4) Provide oversight of compliance for protecting information and systems.

(5) Develop and maintain information security policies, procedures, and control techniques to include training and oversight of personnel with significant responsibilities for information security.

(6) Provide oversight of the process of developing and maintaining the DON enterprise architecture and assess compliance with DoD and Federal interoperability standards.

(7) Ensure adequate policies are in place and provide full oversight for property accountability and management within the DON for Internal Use Software.

g. JAG. The JAG commands the Office of the JAG and is the Chief of the Judge Advocate General's Corps. The JAG maintains a close working relationship with the GC and SJA to the CMC on all matters of common interest. The responsibilities assigned to the JAG by this instruction do not affect determinations required by law to be made by the GC or SJA to CMC. The JAG is the DoD representative for ocean policy affairs. The JAG shall:

(1) Exercise the responsibilities and perform the duties and functions required or authorized by law.

(2) Provide legal and policy advice to the SECNAV on military justice, administrative law, claims, investigations, operational and international law, legal assistance, civil law, environmental law, intelligence, and litigation involving matters under JAG practice areas.

(3) In coordination with the GC, provide or supervise legal advice concerning legislation.

3 Jan 17

(4) In coordination with the GC and SJA to CMC, provide legal advice regarding the execution and oversight of compartmented programs and sensitive activities within DON to help ensure that they are conducted in a legal manner.

(5) Act on other matters as directed by the SECNAV.

h. The Naval IG. The Naval IG is the senior investigative official in the DON and the principal advisor to the SECNAV, UNSECNAV, CNO, and CMC on all matters concerning IG functions, including but not limited to inspections, investigations, and audit follow-up. No other office or entity within the Office of the SECNAV, OPNAV, or HQMC may be established or designated to perform IG functions. To accomplish these functions, Office of the Naval Inspector General (NAVINSGEN) personnel shall have unrestricted access, by any means, to any information maintained by any DON activity, that the Naval IG deems necessary, unless specifically restricted by the SECNAV. All DON personnel shall respond to any request or inquiry by the Naval IG as if made by the SECNAV. The Naval IG shall:

(1) Issue DON policy and procedures for the conduct of inspections, investigations, and inquiries under the Naval IG's authority and ensure compliance therewith. The Naval IG shall provide the SECNAV, UNSECNAV, CNO, and CMC information independent of the normal subordinate lines of authority and command.

(2) Inspect, investigate, or inquire into any and all matters of importance to the DON.

(3) Exercise broad supervision, general guidance, and coordination for all DON inspection, evaluation, and appraisal organizations to minimize duplication of efforts and the number of necessary inspections.

(4) Conduct a thorough analysis of information obtained through investigations, assessments, and inspections to identify areas of strengths and weaknesses in the DON that include (but are not limited to) matters of discipline, integrity, efficiency, safety, health and readiness, and provide appropriate recommendations for improvement.

(5) Serve as the DoD/DON Hotline Program and Military Whistleblower Protection Act manager, excluding acquisition-related fraud falling under the cognizance of the GC.

3 Jan 17

(6) Cooperate with the DoD IG.

(7) Provide oversight of intelligence activities, intelligence-related activities, special access programs, and other sensitive activities within the DON.

(8) Exercise overall authority over those specific inquiries within the purview of the Naval IG in which the NCIS and/or the Naval Audit Service (NAVAUDSVC) may have an interest.

(9) Collaborate with the AUDGEN, the Deputy Naval IG for Marine Corps Matters (DNIGMC), and the Director, NCIS in preparing an annual DON Risk and Opportunity Assessment.

(10) Support NAVAUDSVC in the development of the annual DON Oversight Plan.

(11) Support performance of the IG function for the Marine Corps through the DNIGMC, a Marine Corps general officer within the NAVINSGEN. The DNIGMC is the senior investigative official within the Marine Corps and the principal Marine Corps advisor to the CMC on all matters concerning inspections and investigations. The DNIGMC shall issue guidance and direct performance of the NAVINSGEN mission and functions as they apply to the Marine Corps. The DNIGMC may communicate directly with the SECNAV concerning Marine Corps matters.

(12) Relationship with NCIS. NCIS is primarily responsible for investigating actual, suspected, or alleged crimes within the DON. In addition, NCIS has primary jurisdiction in the investigation of fraud offenses within the DON, save for procurement fraud investigations that are the responsibility of the DoD IG. As a general rule, the NAVINSGEN shall not conduct investigations that focus on individual criminal activity. Similarly, NCIS shall refrain from conducting investigations concerning the effectiveness of command procedures for good order and discipline or the effectiveness with which command personnel have carried out their duties. In the event that the Director, NCIS, and the Naval IG disagree about which of the two agencies shall handle a particular investigation, the matter shall be referred to the SECNAV for decision.

i. AUDGEN. The AUDGEN is the senior audit official in the DON, the principal advisor to the SECNAV, the UNSECNAV, the CNO, and the CMC on all audit-related matters, and serves as Director of the NAVAUDSVC. The AUDGEN has sole responsibility for

3 Jan 17

auditing within the Office of the SECNAV, OPNAV, and HQMC. No other office or entity may be established or designated therein to perform this responsibility. Per reference (a), certain positions in the NAVAUDSVC may not be held by a member of the Armed Forces on active duty. To accomplish the audit function, the AUDGEN shall carry out his/her duties in accordance with reference (h). The AUDGEN shall:

(1) Develop and implement DON internal audit policies, programs, and procedures within the framework of generally accepted government auditing standards policy established by the GAO as implemented by the DoD IG.

(2) Conduct internal audits within the DON.

(3) Participate in DoD-wide and Government-wide audit policy groups and DoD joint audit planning groups.

(4) Develop an annual DON audit plan.

(5) Participate in the audit resolution program.

(6) Serve as the focal point for internal audit policy related to the DON Management Internal Control Program.

(7) Oversee audits conducted by NAF organization auditors and DON local audit organizations.

(8) Monitor audit services provided under DON contracts to ensure contracted auditors comply with contract requirements, generally accepted government auditing standards, and DoD audit guidance.

(9) Provide audit assistance to NAVINSGEN, NCIS, and the Acquisition Integrity Office within the OGC.

(10) Support the Naval IG in executing the DON Audit Follow-up Program.

(11) Support Naval IG in executing the annual DON Risk and Opportunity Assessment.

(12) Collaborate with the Naval IG, DNIGMC, and the Director, NCIS in developing an annual DON Oversight Plan.

(13) Coordinate and cooperate about audit matters with DON officials, military service audit organizations (including

3 Jan 17

performance of peer reviews), the DoD IG, the GAO, and officials of other federal agencies or other government officials having audit-related responsibilities.

j. The Director, DON-SAPRO. The Director, DON-SAPRO, will serve as the Secretary's direct source of subject matter expertise, primary advisor and representative for matters throughout the DON related to sexual assault prevention and response (SAPR). In this capacity, the Director, DON-SAPRO, shall:

(1) Advise and assist the SECNAV and UNSECNAV on SAPR requirements, programs and related activities within the DON, Navy and Marine Corps.

(2) Formulate department-wide strategic plans, program objectives, policies and standards to reduce the incidence of sexual assaults involving Sailors and Marines, to provide coordinated and compassionate support for victims of sexual assault, and to hold perpetrators of sexual assault appropriately accountable.

(3) Act as DON liaison and primary point of contact for SAPR matters with the Office of the Secretary of Defense (OSD), the Military Services and Departments, Congressional committees, Federal agencies and offices, and other entities, as appropriate and relevant, in matters of mutual concern.

(4) Conduct research and other inquiries to identify best practices and state-of-the-art approaches to combating sexual assault within the Department.

(5) Conduct pilot projects and assessments to improve training and other objectives related to reducing the incidence of sexual assaults involving Sailors and Marines, providing compassionate support for victims of sexual assault.

(6) Conduct statistical assessments of available information about the nature of sexual assaults involving Sailors and Marines, the victims, the offenders, and the outcome of any legal proceedings in connection with the assault.

(7) Serve as the primary DON point of contact for OSD in requests for summary information and statistical data on sexual assault incidents involving Sailors and Marines, and serve as the central conduit for forwarding any such information or data outside the DON.

3 Jan 17

(8) Coordinate periodic meetings of the DON Sexual Assault Advisory Council, along with other Departmental forums in support of SAPR response efforts.

(9) Advocate for resources required to efficiently and effectively implement DON-related policy across the DON enterprise per DoD policies.

k. The Director, OSBP. The Director, OSBP is the principal advisor to the SECNAV and UNSECNAV for small business programs. In this capacity, the Director, OSBP shall:

(1) Advise and assist the SECNAV and UNSECNAV on small business requirements, programs and related activities within the DON, Navy and Marine Corps.

(2) Perform the duties and responsibilities as delegated in accordance with reference (i).

(3) Collaborate with the Small Business Innovation Research/STTR Program director to provide singleness of purpose to the public in support of the OSBP mission.

(4) Advocate for resources required to efficiently and effectively implement DON-related policy across the DON enterprise per DoD policies.

l. The Director, NCIS. The Director, NCIS is the senior official for criminal investigations and counterintelligence within the DON. Furthermore, the Director, NCIS is the senior official within the DON for terrorism investigations and related operations designed to identify, detect, neutralize, or prevent terrorist planning and activities, and provides antiterrorism expertise and services to DON components. NCIS initiates, conducts, and directs criminal, counterintelligence, terrorism and related investigations and operations as deemed appropriate, regardless of command authorization. The Director, NCIS shall advise the SECNAV, UNSECNAV, CNO, and CMC on these matters in a timely manner.

m. The Director, DON SAPCO. The Director, DON SAPCO is the senior official designated by the SECNAV responsible for the execution, management, oversight, administration, security, information assurance, and records management for all DON SAPs under the cognizance of the SECNAV. The Director, DON SAPCO is the official point of contact within the DoD for DON SAPs, and also serves as the official point of contact for DON coordination involving non-DON SAPs,

3 Jan 17

with exceptions only as directed by the SECNAV. In the performance of these duties, the Director, DON SAPCO supports the SECNAV and UNSECNAV.