

# CHAPTER 4

## MANAGEMENT INFORMATION

### LEARNING OBJECTIVES

Upon completion of this chapter, you should be able to do the following:

1. Explain the procedure for preparing and submitting a budget request.
2. Recognize the steps involved in effective goal setting.
3. Identify the supervisory responsibilities for maintenance and material management.
4. Explain the procedure used in counseling personnel.
5. Recognize the procedures for staffing and evaluating personnel.
6. Describe how to prepare and present a brief.
7. Describe how to review naval correspondence and messages.
8. Identify the steps used to review and submit corrections to the command *Standard Organization and Regulations Manual (SORM)*.

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This chapter begins with a description of the budget process. You will then be shown how you can influence the local budget process through preparation of a divisional budget. The divisional budget will then be discussed as a control device to reach divisional goals and objectives.

Supply is an important part of your job as a chief. You are responsible for the procurement, care, preservation, stowage, inventory, and disposal of stores, equipment, and repair parts. Along with supply responsibilities, you are also responsible for supervising the maintenance and material management (3-M) systems in your division. Both of these areas are interrelated and will be discussed.

Counseling personnel is an important supervisory role the chief becomes involved in. You will be expected to counsel personnel in professional, personal, and performance matters. You will perform the staff function of management by interviewing, assigning, and evaluating division personnel.

You will become more involved in the communication process as your responsibilities increase. You should be familiar with how to

prepare and present a military brief. You should also have a working knowledge of naval correspondence and messages.

The last topic discussed in this chapter is your role in reviewing and submitting changes to the command's *Standard Organization and Regulations Manual (SORM)*.

### PREPARING AND SUBMITTING A BUDGET REQUEST

Preparing and submitting a budget request is a form of long-range planning. The Navy budget year runs from 01 October through 30 September. You should plan your divisional budget for the same period of time. This 1-year plan will allow you to schedule important events your division will be involved in such as overhauls, intermediate maintenance availabilities, and special projects. You can also determine your budget using the plan of action and milestones, program evaluation and review technique (PERT), or Gantt charts as discussed in chapter 3. This section of the chapter will examine the budget process, preparation of

the divisional budget, divisional goals and objectives, and different types of budgeting.

### THE BUDGET PROCESS

The budget process starts when the President submits his budget to Congress in mid-January. Congress can accept the budget as is, or make changes to the budget through a series of Congressional committees. Congress develops a budget resolution or an outline of the budget with spending targets set. Next, Congress passes an authorization bill which gives authorization to the various programs in the budget. Still, no money has been allocated. Money is allocated by the appropriations bill. The appropriations bill gives money to the various programs authorized under the authorizations bill. Once given both authorization and appropriations, the Navy can begin to spend money. Sometimes Congress will authorize a program but not provide appropriations. Congress can also provide appropriations but not

authorize the program. The Navy's A-6F Intruder is an example of a program that was appropriated but not authorized.

The next step in the budget process is called execution. Execution is when the Navy can actually spend money. During execution, apportionment takes place. Apportionment is when the Office of Management and Budget (OMB) places the Congressionally appropriated funds into the Navy's account. See figure 4-1 for the fund flow of the operation and maintenance account.

The cost center or operating target (OPTAR) holder at the bottom of figure 4-1 is your ship, squadron, or unit. Your commanding officer is responsible for ensuring the OPTAR is met. He also must make periodic reports to the type commander showing the status of the ship or unit funds.

The Navy recognizes that commanding officers need help in administering their budget. Comptrollers or budget administrators, depending on the size of the command, are assigned to assist

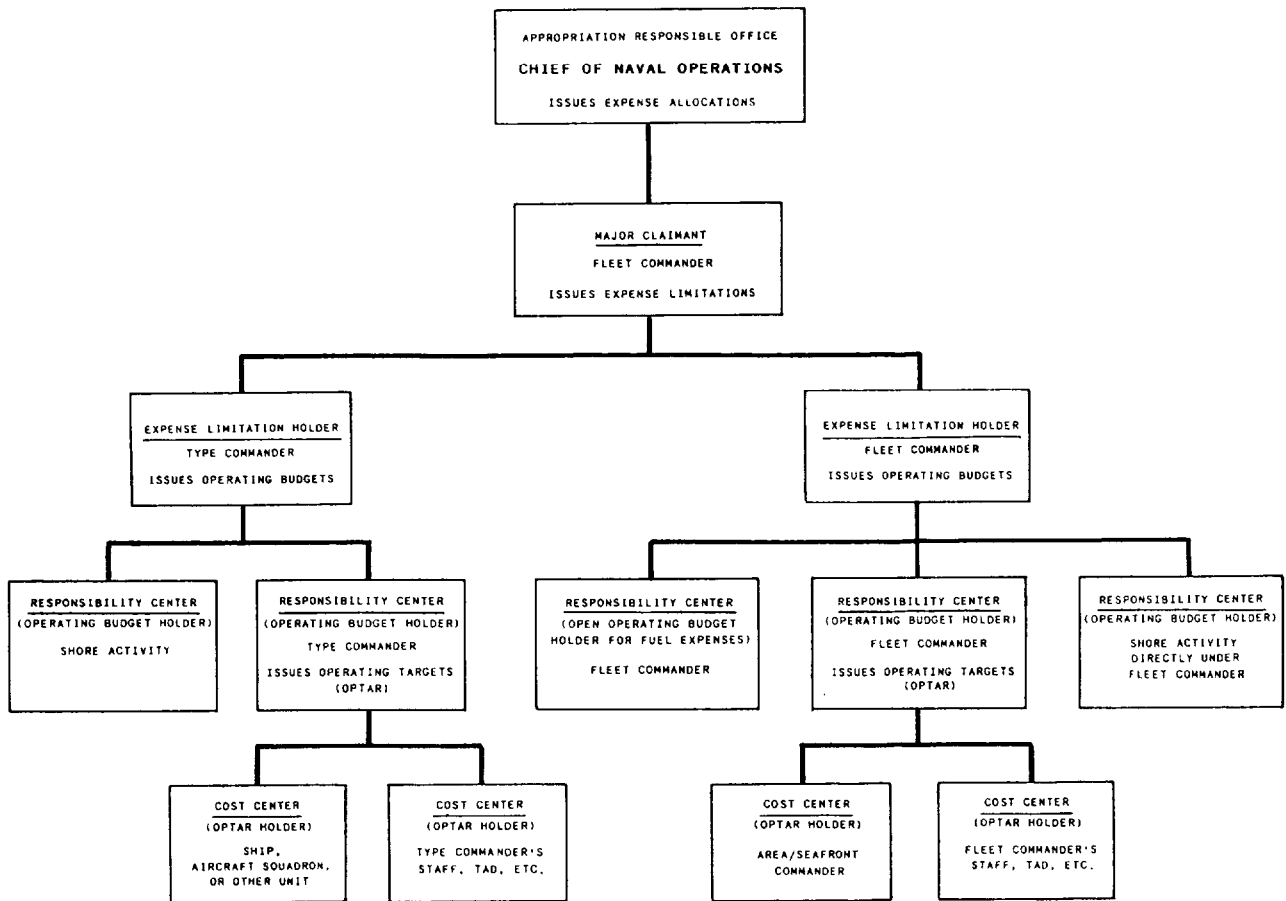


Figure 4-1.-Fund flow for operation and maintenance.

the commanding officer in the accounting and reporting of expenditures. Commanding officers usually delegate the authority to approve expenditures to the department head.

We have now arrived at the point in the budget process where you become involved. Department heads, like commanding officers, need help in identifying budget priorities. Division officers and leading chief petty officers need to determine both the long- and short-term needs of their division. Some of the factors you should consider when planning a budget are as follows:

- The number of personnel assigned, planned losses, leave schedules, and school assignments.
- Unit operating schedule, scheduled regular overhaul, maintenance availability, and scheduled inspections.
- Can your division do the work or be trained to do the work? Should you have an intermediate maintenance activity, shipyard, or contractor do the work?
- Availability of OPTAR funding, or the availability of special funding provided by type commander (TYCOM) or higher authority.

## **PREPARATION OF THE DIVISIONAL BUDGET**

In preparing the divisional budget, you must have an idea of the command and departmental goals and objectives. A good place to start is the command's five-year plan. The period 01 October through 30 September in the coming year should indicate upcoming events with a fair degree of certainty. The events indicated are the upcoming goals that the command must meet. Budget these items first. Remember that the budget is a control device used to measure performance and includes manpower, material, time, and cost.

Next, budget the command objectives. The objectives could be receiving the Golden Anchor Award, the Meritorious Unit Citation, or passing all inspections with no major discrepancies. Talk with the division officer, department head, and command master chief to find out what the objectives are and what you need to do to meet them.

You should have a feel for what type of repairs will be necessary in your division in the coming

year. Things like replacing bunk curtains, mattress covers, lagging, and tile or painting are routine tasks that should be budgeted to make sure funding is available. Other types of periodic repairs include time-based maintenance. Engines, pumps, and life critical systems are examples of items to be replaced on a recurring basis. Certain operating equipment has a life cycle. Items such as typewriters, computers, and printers need to be replaced every 3 to 5 years.

The last items to budget are non-essential items. These are things you would like to have if the money is available, but could live without. Examples include replacing worn but serviceable furniture or purchasing servmart items in excess of absolutely essential quantities.

The remainder of this section will be devoted to divisional goals and types of budgeting. An understanding of these two topics will assist you in the preparation of your budget.

## **Divisional Goals**

Knowing the divisional goals is essential to effective supervision of your division. Many of the goals will be imposed by the department head, commanding officer, or higher authority. Again, look to the five-year plan, yearly plan, and quarterly plan to define goals of the command. Your goals should be the same as those for the command.

Examples of concurrent goals include passing a supply department inspection even though you are in engineering department. How? you might ask. You could assist supply by making sure your pre-expended bins have the required number parts, your ready service spares are accounted for, and you have turned in all required repairable items that you are accountable for. Another example is helping the medical department pass their inspection. Have all of your subordinates had their shot records updated? Have all medical records been returned? You get the idea. Your division plays a role in assisting other divisions and departments meet their goals.

**DEVELOPING.** —Why should you develop divisional goals if the Navy and the command have already established them for you? The Navy and command goals discussed in this chapter and chapter 3 have been part of "the big picture." That is to say, they are broad and general in nature. To help the Navy and command reach their goals, you should focus on the specific steps you need to take within your division.

Periodically, you and your division officer should discuss the division's progress toward the division's goals. And every year before submitting your budget, you should decide on where to focus your energies in the coming year. Do the strengths, weaknesses, opportunities, and threats analyses for your division. This is the first step in preparing your budget.

**ESTABLISHING.** —You and the division officer have now identified the areas of your division that require attention. Now you should prioritize your goals. Obviously, high-priority items will need the greatest resources and attention. This is where you and the division officer need to make some sound decisions.

If at all possible, have your subordinates contribute to the planning during this stage. Present what you and the division officer perceive as problems and let the subordinates present solutions. Subordinates are closer to the work and may identify additional problems and alternatives that you and the division officer may have overlooked. This process lets the subordinates become involved and personalizes the goals.

You and the division officer should evaluate the problems and proposed solutions. Select the best solution for each problem and re-prioritize the goals if required. Place your goals in writing and post them where your subordinates can see them. Communication of goals and priorities is extremely important to your success.

At this point you know what you want to do, how you want to do it, and the priority you have set. You should now budget time, materials, people, and costs to meet your goals. This is the second step in preparing the divisional budget.

The third step in preparing your budget is to examine recurring cost. You should be able to produce a fair estimate for the cost of necessary supplies, repair costs, and so forth, that have occurred over the last 3 years. The supply officer can supply the information required.

The fourth step in preparing your budget is to combine the cost of reaching your goals with your recurring costs. You are now ready to submit your budget request to the department head. Goals, objectives, recurring costs, and priorities should be outlined to provide the department head with the ammunition required to achieve the desired level of funding for the coming year.

You and the division officer should reevaluate your goals after the command has decided on funding. Unfunded goals and objectives may require initiative and resourcefulness on your part

if they are to be achieved. The importance of establishing your divisional goals has been achieved. You now have set a course of action and a method to measure your progress.

**MONITORING.** —The final step of the budget process is to use the budget to monitor divisional progress throughout the year. Monitoring is important because it lets you know when to shift resources. Monitoring can be done by any number of control types or methods, such as feed-forward, concurrent, feedback, inventory control, or quality control.

### **Types of Budgeting**

Two types of budgeting are in use in the Navy. You will find it useful to use both types in estimating your annual budget.

**INCREMENTAL.** —Incremental budgeting is the primary budget used by the Navy. You have a certain amount of money as a beginning budget and then increase the amount of money received in later years. A good way to visualize this type of budget is to think of the budget as increasing by the amount of inflation each year. The incremental factor could be tied to growth, operating schedule, increase in personnel, or any number of factors that may increase (or decrease) the amount of funds budgeted.

In your budget, the incremental method of budgeting would apply to your recurring cost. As the cost of inflation drives up the cost of consumable and repair parts, your budget would increase to match inflation.

**ZERO-BASED.** —The Navy uses zero-based budgeting when figuring the cost of major material purchases, such as a ship or airplane. Congress authorizes and appropriates the money in the first year, and then the Navy is able to make a draw against the account to pay for work being done. This type of budget eliminates worry that an authorized purchase will not have appropriated money in follow-on years.

In general, zero-based budgeting is starting from zero every year and figuring out the cost of doing business in the coming year. The disadvantage of this type of budget is the great deal of time and accuracy required to perform economic forecasting analysis so that all expenses can be predicted.

You should use this type of budgeting for one time expenses. The divisional goals and objectives

that are not of the recurring type would fall into this category.

### **SUPERVISING RESPONSIBILITIES FOR STORES, EQUIPMENT, AND REPAIR PARTS**

As you already know, all petty officers need some knowledge of supply procedures to help them function effectively with the supply department. As a chief petty officer, you will find yourself with greater supply-related responsibilities; therefore, you will need additional knowledge of the supply organization and procedures.

In the past, you needed to know how to identify material and how to complete a requisition form. You also needed a knowledge of the ship's Coordinated Shipboard Allowance List (COSAL) to determine what materials were required to complete a job. You may have been responsible for the stowage and custody of various materials in your department. In the future, you will be working closer with supply department personnel in estimating supply needs and providing the input data needed for procurement.

You have probably participated in departmental preparation for a shipyard overhaul, including validation of installed equipment. As a CPO, you could become a member of an integrated logistics overhaul (ILO) team during a period of shipyard availability. If so, you will contribute to the process that the supply department uses to ensure your ship's material readiness when it goes to sea after overhaul.

This section does not attempt to make you an expert in supply—we will leave that detail to the Storekeeper. It does, however, provide information to expand your knowledge of the supply organization ashore and afloat. This section also outlines the procedures and steps of the various operations that you are expected to follow when dealing with supply department personnel.

### **SUPPLY DEPARTMENTS**

Supply departments ashore and afloat are responsible for the supply support of the activity or ship. The supply department procures material; maintains storerooms and warehouses; and issues, accounts for, and collects analytical data for all the material under its cognizance. The supply department is responsible for establishing the local requisitioning channels and procedures.

Ashore, standardizing supply procedures is difficult because of the physical layout of a station and the variety of missions assigned to a station. Therefore, a good deal of freedom is given each command to choose the supply procedures that best meet its needs. Aboard ship, procedures are becoming more standardized because of the adoption of the Ships' Maintenance and Material Management (3-M) program; however, some variations between ships still exist.

You must become thoroughly familiar with local instructions that detail the various procedures for supply support. An understanding of these instructions will answer most questions about the relationship and responsibility between the supply department and the customer.

### **Supply Departments Ashore**

A supply department, like all other departments ashore, is organizationally composed of several divisions, branches, and sections. Only the organizational components that are of primary interest to you (the customer) are discussed here. The components of the supply department you will have the most contact with are the control division, material division, and retail issue organization. The retail issue organization (usually a component of the material division) is treated separately here because it is the most frequent point-of-contact between you and the supply department.

**RETAIL ISSUE ORGANIZATION.** —Most shore activities have supply support responsibilities for multiple departments and units, and frequently have off-station support responsibilities. To meet the requirements of on-station customers, the Navy has established a retail-issue organization. This organization may be found ashore in the form of a shop store, a self-service store, a rapid communication and delivery system, or a combination of these services. The objective is a ready supply of materials and simplified issue procedures that will provide quick delivery of material requirements to the customer.

**Shop Stores.** —Shop stores are usually established to support some type of specialized operation, such as public works activities and ground electronics shops. The shop store is a storeroom located close to the user activities. Shops that are widely dispersed may have several shop stores. These stores are stocked with items normally used by the shops being supported.

Most shop stores use simplified issue procedures that require a minimum of paperwork by the customer. Typically, the customer tells the Storekeeper in the shop store what item is needed. The Storekeeper issues the material and prepares the requisition. The customer receives the material and returns to work. The remainder of the paperwork is completed by the shop store supply personnel.

**Self-Service Stores.** —Self-service stores are commonly referred to as servmarts. They are normally established to furnish nontechnical types of materials, such as office supplies, tools, and janitorial supplies. These stores are operated on a self-service basis that permits the customer to select material from shelf stock. The customer presents a requisition in payment at a checkout counter for the materials selected. The customers can shop at their own convenience, selecting substitute items for those items that are temporarily out of stock.

**Rapid Communication and Delivery Systems.** —Rapid communication and delivery systems are established on several shore stations. Customers use the telephone or some other rapid communication system to request needed material. The material is then delivered to the work area. This type of system is commonly established to support the aviation maintenance program at naval air stations.

**MATERIAL DIVISION.** —The material division is concerned with the physical handling of the supply department's stock of materials. This division maintains warehouses and storerooms and receives, stores, and issues material. The labor and equipment branch of the material division is responsible for all material-handling equipment, such as forklifts, trucks, and trailers.

When a retail issue organization is not established, all material is issued from warehouses or storerooms operated by the material division. The customers should become familiar with the types of materials that are stored in each warehouse or storeroom.

**CONTROL DIVISION.** —The major component of a control division is the stock control branch. If a retail issue organization cannot provide the requested material, the stock control branch will forward your requisition to the main supply department for procurement action. In the

supply department, the issue control branch maintains records of each requisition received and the action taken. This allows you to trace a requisition for material that has not been received.

The stock control branch is responsible for maintaining stock records and assuring adequate stock levels to support station operations. Any information that would alter the material requirements for future support should be brought to the attention of this branch.

The receipt control branch monitors and expedites material from outside sources. The method used to receive or transmit information to these various supply internal components is usually found in a local instruction.

## Shipboard Supply Departments

Supply departments afloat are generally organized into five divisions: S-1 through S-5. The S-1 division (stores division) is the only division discussed here; the other divisions are concerned with food service, disbursing, ship's store, and the wardroom. Depending on the ship's size, it could have additional supply divisions. For example, on a large ship such as an aircraft carrier, S-6 provides aviation stores, and S-7 is the data processing division.

**STORES DIVISION.** —The stores division orders, receives, stows, and issues general stores and repair parts and maintains related records. Under the Ships' Maintenance and Material Management (3-M) program, a supply support center may be established within the stores division as a single point of contact between supply and maintenance personnel. The specific duties of a supply support center are detailed in the *Ships' Maintenance and Material Management (3-M) Manual*, OPNAVINST 4790.4B. Generally, the supply support center receives requests and provides material identification and status information.

In ships without a supply support center, these duties are normally performed by storeroom personnel and the supply office. The supply office further processes requisitions for "not carried" and "not in stock" items and furnishes status information to the customer.

**MATERIAL CATEGORIES.** —Let us briefly review the categories of material for which the supply department afloat is responsible.

*Equipment* includes any functional unit of hull, mechanical, electrical, electronic, or ordnance types of materials that are operated independently or as a component of a system or subsystem; it is identified by an Allowance Parts List (APL) number. Examples of equipment are the ship's sonar and radar, the anchor windlasses, and the main reduction gears.

*Equipage* is a general term that includes items of a durable nature listed in the Equipage Category Numbered Allowance Parts List, Allowance Equipment Lists, or other authorized listings issued by appropriate authority. Equipage does not encompass installed electronic, electrical, mechanical, or ordnance equipment, components, or systems. These items are considered to be equipment. Equipage consists of items such as fire hoses, nozzles, applicators, anchors, anchor chains, chain stoppers, and bulkhead fans.

Some selected items are termed *Controlled Equipage* and require increased management control because they are expensive, vulnerable to pilferage, or essential to the ship's mission. A list of these designated items can be found in *Afloat Supply Procedures*, NAVSUP P-485.

*Repair parts* are any items, including modules and consumable material, that have an equipment application and appear in an Allowance Parts List, an Allowance Appendix Page, a Stock Number Sequence List (SNSL), an Integrated Stock List (ISL), or a manufacturer's handbook.

*Consumables* are administrative and housekeeping items, such as general-purpose hardware, common tools, or any other items not specifically defined as equipment, equipage, or repair parts.

Some *services* are also procured by the supply department for the ship. They include such requirements as commercial telephone service, pilotage, tug hire, repairs of office equipment, and the rental of certain types of equipment.

Some material is NOT controlled by the supply department. Certain material categories afloat are not under the control of the supply department. They include the following items:

1. Ammunition and ammunition containers are the responsibility of the ship's weapons officer.
2. Nuclear weapons obtained through operational channels are the responsibility of the weapons officer.

3. Medical stores, including drugs and pharmaceutical supplies, surgical instruments, and other professional medical equipment are the responsibility of the senior medical representative. The supply department procures medical supplies and equipage, but has no responsibility over inventory control.
4. Marine Corps stores (when a Marine Corps detachment is aboard) is the responsibility of the officer in charge of the detachment,

## **DETERMINATION OF REQUIREMENTS**

The supply officer is responsible for maintaining stocks of general stores, subsistence items, ship's store, and clothing store stocks. These stocks should be maintained at levels sufficient to meet probable demands and within limits established by operations plans. Therefore, the supply officer, with other supply personnel, should be able to accurately determine the requirements for these items.

The supply officer is jointly responsible with each department head for maintaining a full allowance of equipage on board. Because of maintaining the equipage records, the supply officer exercises control over the overall ship's equipage allowance; however, the supply officer should be advised by the heads of departments of known or anticipated requirements and replacements.

Most repair parts are in the custody of the supply officer. The supply officer is responsible for submitting replenishment requisitions to replace material that has been issued. Department heads are responsible for submitting a NAVSUP Form 1250-1 requisition to the supply officer each time a repair part is needed. Department heads expect your cooperation in maintaining records and anticipating requirements.

### **Factors in Determining Requirements**

Before the types and quantities of items carried can be determined, a desired endurance should be established for general categories of material. *Endurance* is the period of time required for a ship to use a definite quantity of supplies. Endurance is based on the amount of available storeroom space and the allocation of that space among the types of stores. The space is then converted to the number of days that the ship can be maintained by capacity loading. The supply

officer normally tries to equalize the endurance of the various types of stores.

The storerooms are not necessarily loaded to maximum capacity, since endurance limitations are set by various commands. These limitations are expressed as the actual number of days of endurance and are applied to individual items rather than to types of stores. For example, if the supply officer wants to stock the storerooms at a 90-day endurance level, one requisition for a 90-day supply of general stores cannot be submitted. Each item must be reviewed to determine a sufficient quantity to last the ship for 90 days.

Another factor supply personnel must consider is the total weight limitation of stores that may be brought aboard. Each ship is allowed a specific weight limitation so that it can maintain proper stability and buoyancy.

When the desired number of days of endurance has been reached for a type of store, then that endurance is converted into quantities of individual items.

**AVAILABLE SPACE.** —The amount of storage space available for an item is an obvious limiting factor. You cannot stow 100 cubic feet of material in a 50-cubic-foot space. For this reason, some extremely bulky items may have to be carried in a quantity less than the desired level and reordered frequently. On the other hand, items of low cost and low bulk may be carried at a high level to reduce the time spent in ordering and stowing.

**PERISHABILITY.** —Highly perishable items may also be stocked at a lower level than otherwise desired so that deterioration is kept to a minimum.

**SHIP'S EXPERIENCE.** —The most accurate guide in the determination of requirements is past stock records. You adjust the figures obtained from past usage to cover a specified period in the future. For example, a 3-month endurance rate is computed as follows:

Fast-moving items—multiply the past month's usage by 3.

Slow-moving items—divide the past 6 months' usage by 2.

**ALLOWANCE LISTS, INITIAL OUTFITTING LISTS, AND USAGE DATA TABLES.** —

Allowance lists, initial outfitting lists, and usage data tables are prepared to help supply officers of new or recommissioned ships determine quantities of supplies to stock. Since these ships have no prior usage to rely on, these lists and tables help you and the supply department determine requirements for consumable supplies, subsistence, and ship's store stock. These lists provide restrictive controls on the types and quantities of equipage allowed and serve as guides for types and quantities of supplies required. Allowance lists as used here do not include the COSAL Stock Number Sequence List—Storeroom Item (SNSL—SRI) for repair parts.

**SHIP'S OPERATIONS.** —Operating factors may require the review of stock records and the reevaluation of the requirements for some or all items stocked. These factors are the expected length of a cruise, type of operation (combat or training), expected climate during the operation, and available supply support.

If the length of a cruise is less than the normal endurance load, no major adjustment is necessary. However, if the operation is expected to last longer, the ship's stock of fast-moving and essential items is reviewed to determine if an increase is needed.

A ship rescheduled from a hot or temperate climate to an arctic climate should review materials needed for cold-weather operations.

An important factor to consider when the ship is preparing for deployment is the availability of supply support during the cruise. Will your ship be operating independently? Will it be in the company of similar ships? Can your ship obtain materials from mobile logistic support ships or ashore activities? All of these questions must be answered before you can determine the division or department requirements. You will usually find this information in the operations orders.

**ADVICE OF DEPARTMENTS.** —Your department may require special material or an item in a greater quantity than is usually stocked in the storeroom. For example, electrical fittings are replaced periodically for general station or ship's maintenance. Average usage of these fittings may be 16 per month. By using the formula described,



the supply officer can easily calculate the number of fittings to maintain in stock. If, however, all of these fittings are being replaced by new and more reliable fittings, you should inform supply of this requirement before the need arises. The new fittings can then be stocked before a work delay results because of a lack of parts.

To carry this one step further, assume that these new fittings are significantly more reliable and that the replacement requirement is expected to be only one per month. The supply department can then reduce the number of fittings needed for endurance. On receiving this information, the supply department will purge its stock of the old type of fitting and establish a realistic stock of the new item.

### **Routine Requirements**

Most material procurement falls under the heading "routine requirements." The factors discussed above apply chiefly to new ships and to special circumstances. The requirements for an item are initially established when a ship is commissioned or when the item is first stocked. Requirements are reestablished each time your ship undergoes supply overhaul.

**OPERATING SPACE ITEMS.** —Generally, each department is not required to estimate future requirements for repair parts and consumables. Normally the supply department replenishes stocks either on the basis of authorized allowances or on past demand history. An exception is the replenishment of operating space items. These are items (for example, hand-tools and test kits) that are required to maintain installed hull, mechanical, electrical, and ordnance equipment. These items support the mission of the ship. Department heads are responsible for requesting these items for known requirements, but they are not authorized to maintain storeroom stocks that duplicate those of the supply department. Part IIIB of the COSAL is a consolidated list of operating space items.

**MAINTENANCE ASSISTANCE MODULES (MAMs).** —Maintenance assistance modules are in the custody of the cognizant department head and located in the appropriate operating and maintenance spaces under the subcustody of the operating or maintenance personnel. MAMs are

used in the troubleshooting of electronic equipment and are not intended to be used as a repair part.

**READY SERVICE SPARES (RSS).** —Ready service spares are repair parts in the custody of the cognizant department head and will be located in the appropriate operating and maintenance spaces under the subcustody of the operating or maintenance personnel.

**SHIPS WITHOUT SUPPLY CORPS OFFICERS.** —Most ships have one or more Supply Corps officers assigned. Certain small ships, such as minesweepers, have no Supply Corps officer assigned. In this case a line officer heads the supply department. The line officer usually has other duties as well as supply duties, and general storerooms are usually small in ships of this type; therefore, more material is turned over to the cognizant department upon receipt for storage and custody. On ships without a Supply Corps officer, department heads are responsible for determining the ship's requirements for general stores. Each department head must submit a NAVSUP Form 1250-1 or DD Form 1348 to the supply officer for preparation of a DTO (direct turnover) requisition. Each department head is also responsible for maintaining current allowance lists of repair parts pertaining to equipment used by the department. The department head is responsible for maintaining an adequate stock of repair parts to support the equipment of the department. Each time a repair part is used, a NAVSUP Form 1250-1, DD Form 1348, or NAVSUP Form 1250-2 should be submitted to the supply officer so that a replacement can be requisitioned. Figure 4-2 shows both the Single Line Item Consumption/Requisition Document (Manual), NAVSUP Form 1250-1, and the DOD Single Line Item Requisition System Document (Manual), DD Form 1348. Figure 4-3 shows the Non-NSN Requisition, NAVSUP Form 1250-2. This form consolidates, on one form, information previously submitted on two forms (NAVSUP Form 1250-1 and DD Form 1348-6) for non-NSN requirements. You will play an important role in the reordering of these materials and parts.

**SHIPBOARD MATERIAL REQUEST PROCEDURES.** —As the division chief you will be responsible for ensuring that the equipment under your cognizance is maintained and repaired in a timely manner. To accomplish this goal, you will need to obtain material from the supply

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SINGLE LINE ITEM CONSUMPTION/REQUISITION DOCUMENT (MANUAL)  
NAVSUP FORM 1250-1 (7 PT) (REV. 12/76) S/N D108-LF-501-2508

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DD FORM 1348 (4-PT) 1 MAR 74

DOD SINGLE LINE ITEM REQUISITION SYSTEM DOCUMENT (MANUAL)

EDITION OF 1 AUG. 61 MAY BE USED UNTIL EXHAUSTED

Figure 4-2.-Single Line Item Consumption/Requisition Document (Manual), NAVSUP Form 1250-1, and DOD Single Line Item Requisition System Document (Manual), DD Form 1348.

NON-NSN REQUISITION (4491)																																																																																																																																																																																																																																																																							
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Figure 4-3.-Non-NSN Requisition, NAVSUP Form 1250-2.

**Table 4-1.-Table for Determining a Priority Designator**

TABLE RELATING F/AD AND UND TO PRIORITY DESIGNATORS					
	F/AD				
	I	II	III	IV	V
URGENCY OF NEED DESIGNATOR (UND)	PRIORITY DESIGNATOR				
A (UNABLE TO PERFORM)	01	02	03	07	08
B (PERFORMANCE IMPAIRED)	04	05	06	09	10
C (ROUTINE)	11	12	13	14	15

department. Although each ship will vary slightly in procedure, standard forms and data requirements are the same throughout the Navy. In this section we will address only those standard items that are required by the supply system.

When you request material from a shipboard supply department, the standard method is to use either a NAVSUP 1250-1 (Single Line Item Consumption/Requisition Document) or a DD Form 1348 (Single Line Item Requisition System Document). The specific requirements for, and the use of, each document vary between ship types; however, each type has basic similarities (fig. 4-2).

When requesting standard stock material to perform a maintenance action, you will find numerous data requirements are necessary for all ship types. These requirements include a valid job control number, a national stock number (NSN), unit of issue, quantity, unit price, and approval for procurement. Once this information has been entered, either manually or through an automated system, locally defined supply channels should be followed. To clarify procedures, you need careful liaison with the leading Storekeeper. Many times in your dealings with supply, you have a requirement for nonstandard (non-NSN) material. Several different methods are used by the supply department to procure your material, but the best and most cost effective is through pier-side

procurement. Pier-side procurement has been established at most major naval stations and is a quick and easy method of obtaining material. Highly trained and responsive personnel with the necessary experience and resources are available to expedite shipboard requirements. As a work center supervisor, you will need to define your requirements very carefully to assist procurement personnel. Poorly written and/or vague requests can slow down the process and lead to delays, cost increases, or procurement of the wrong material. The NAVSUP Form 1250-2 (Non-NSN Requisition) is used for obtaining materials that do not have an NSN (fig. 4-3). When preparing the identification data section of this form, you cannot be too specific or provide too much information. A Form 1250-2 that is properly filled out is your best tool to ensure speedy, accurate, and cost-efficient procurement. A DD Form 1348-6 can be used instead of a 1250-2.

**MATERIAL OBLIGATION VALIDATION (MOV).** —A material obligation validation (MOV) is a procedure used by the supply department on a monthly basis to ensure that their outstanding requisitions are valid. As a work center supervisor, you will have a good deal of input into this process. The overall purpose of this procedure is to ensure that each outstanding requisition is still needed so that unnecessary requisitions can be

cancelled and the money reclaimed. The supply department allows you to review their material outstanding file to compare it with your known valid requirements. You should advise supply personnel of those items required, those received, and those to be cancelled. After that, supply personnel will reconcile their records and take steps as necessary to cancel, complete, or follow-up on your requisitions.

Your role as a CPO is critical, for you know the requirements of the work center and can best determine requisition validity. Close cooperation with supply department personnel is necessary to ensure the accuracy of the MOV procedure. Your leading Storekeeper is best qualified to advise you of time schedules and local procedures.

## **PRIORITIES**

You should already know how to identify materials, fill out requisition forms, and submit them to the supply department. The department head is responsible for the assignment of priority designators to these requisitions. Priority designators are assigned according to the Uniform Material Movement and Issue Priority System (UMMIPS), which carefully defines the determining factors. The system places the responsibility directly on the commanding officer of the requesting activity for the integrity of the priorities assigned; however, the commanding officer usually delegates this authority to the supply officer. This system should make the assignment of inflated priorities rare and ensure a feasible priority system.

Two factors determine which of the 15 available priorities will be assigned to each requisition—the military importance of the activity and the urgency of the requirement. Each ship or activity is assigned a force/activity designator (F/AD), which indicates its military importance relative to other ships and activities. This assignment is made by higher authority (type commander, fleet commander, and so on). The department head is responsible for assigning the correct urgency of need designator (UND) to each material request. By using the F/AD and the UND, the supply department is able to assign the proper priority designator.

Table 4-1 lists the F/ADs (shown in Roman numerals) across the column heads and the alphabetical UNDS in the first column. The Roman numerals represent categories of activities in descending order of military importance,

ranging from the combat forces under I to the miscellaneous activities under V.

The letters in the first column of table 4-1 represent different degrees of urgency in descending order of need, from an unable to perform status (A) to routine stock replenishment (C). The urgency category is selected by the requesting activity. It indicates relative urgency of need for a requirement by a force or an activity.

Categories of each alphabetical designator are defined in the following paragraphs. Only general categories are covered. A complete listing may be found in *Uniform Material Movement and Issue Priority System (UMMIPS)*, OPNAVINST 4614.1F. In each case, the alphabetical designator preceding the category refers to the applicable UND column heading shown in table 4-1.

<u>UND</u>	<u>CATEGORIES</u>
A	The activity or unit is unable to perform its mission. The equipment or part is needed immediately.
B	Repair parts or equipment is required immediately. Ship operation is impaired without it.
	Stock replenishment requirements of mission-essential material in fleet ballistic missile (FBM) submarine tenders are below the safety level and are expected to reach a zero balance before receipt of the material.
	COSAL-allowed reactor components, equipment, tools, and other materials are required to support reactor plant systems.
C	Stock replenishment and normal supply requirements are routine. Material is required to meet scheduled deployment.

NOTE: Additional urgency of need designators (UND) may be found in *Afloat Supply Procedures*, NAVSUP P-485.

## **RECEIVING AND INSPECTING**

Before accepting material purchased from commercial sources, naval activities inspect the material to ensure that it conforms to the specifications included in the purchase documents. The receiving supply officer inspects the material for quality and quantity before payment is made.

Shore activities usually have a material inspection section within the material division, established to perform or coordinate such inspections. When technical material is received, the material inspection section will often request that a qualified representative from a using department perform the quality inspection. You will be called on frequently to perform this service.

Most material received aboard ships comes from naval activities ashore that have already performed a quality inspection. You should inspect the item for any obvious deterioration or breakage that may have occurred since the previous quality inspection.

Technical materials or materials ordered for direct turnover are inspected by the cognizant department head or authorized representative. You, as a senior petty officer, may be assigned this duty. Except in emergencies, when the commanding officer may waive minor defects, no purchased material should be accepted unless it conforms to the specifications included in the purchase document.

After the purchased material has been turned over to you, the supply department presents a copy of the purchase document or the dealer's invoice stamped "Received, inspected, and accepted." This certification is then signed by the department head and the document returned to the supply department.

## STOWAGE AND CUSTODY

When repair parts and consumables are stowed in spaces other than supply spaces, the head of the department having actual custody is responsible for the proper stowage, inventory, and use of the material. (Figure 4-4 illustrates the functions involved and the usual flow of responsibilities.) The supply officer has technical custody and maintains stock records and requisitions replenishment stock. The supply officer also provides written instructions to the custodian, who is usually a senior petty officer. A custodian is appointed by the responsible department head and designated in writing to the supply officer.

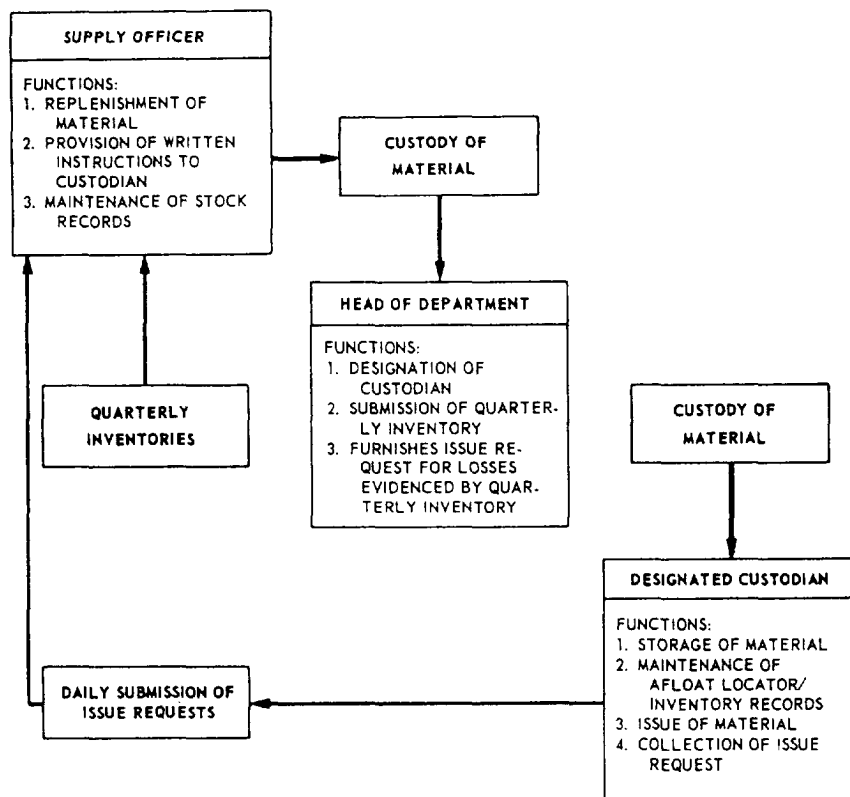


Figure 4-4.-Flow of responsibility relating to materials stored in other than supply spaces.

AFLOAT LOCATOR/INVENTORY RECORD NAVSUP FORM 1075 (REV 2/70)	COG	STOCK NUMBER AND DESCRIPTION		U/I	ITEM LOCATIONS				
	SPECIAL MATERIAL CATEGORY			INVENTORY					
	(CHECK APPLICABLE BLOCKS)			DATE	QUANTITY	GAIN	LOSS	U/P	EXT
	<input type="checkbox"/> HIVAC								
	<input type="checkbox"/> CRITICAL								
	<input type="checkbox"/> REPAIRABLE - EXCH REQD								
	<input type="checkbox"/> CLASSIFIED								
	<input type="checkbox"/> HAZARDOUS								
	<input type="checkbox"/> PILFERABLE								
	<input type="checkbox"/> SHELF-LIFE								
<input type="checkbox"/>									
<input type="checkbox"/>									

Figure 4-5.-Afloat Locator/Inventory Record (NAVSUP Form 1075).

### Responsibilities of Custodians

The departmental custodian maintains Afloat Locator/Inventory Records (NAVSUP Forms 1075) on which receipts, expenditures, and inventories are recorded (fig. 4-5). The custodian is responsible for stowing and issuing the materials and for collecting issue documents. Issues are made using the NAVSUP Form 1250-1 or DD Form 1348, as appropriate. The departmental custodian is not required to maintain records other than the locator records; however, the custodian is responsible for promptly submitting the completed transaction documents to the supply department for the update of applicable stock records.

### Stowage Principles

Specific written instructions from the supply officer provide guidance to departmental custodians in performing their duties; however, every senior petty officer should know certain basic stowage principles that involve safety, security, orderly arrangement, and easy access. These principles are discussed in the following paragraphs.

**SAFETY.** —Basic stowage safety principles may be summarized as follows:

1. Material should never be stowed or left in passageways or where it may block damage control apparatus.

2. All materials should be properly secured to avoid equipment damage or injury to personnel.
3. Items that are subject to spontaneous combustion should be stowed in a cool, well-ventilated space, away from heat and flammable material.
4. Bulk acids (except medical) should be stowed in the acid locker in the custody of the supply department; paint should be stowed in the paint locker.

**STOWAGE PRECAUTIONS.** —Humidity, sweating bulkheads, and leaky pipes can cause severe damage to material in stowage spaces. Dunnage, such as lumber, may be used under material to keep it from direct contact with the dampness of the deck. Bulkheads and pipes in stowage spaces should be inspected frequently for sweating and leaks. Moisture caused by sweating can sometimes be eliminated by adequate ventilation. The use of a drying agent, such as bags of silica gel, may be necessary to help absorb moisture in stowage spaces.

Some items stowed for long periods may require special care to preserve them. For example, tools and other items made of unprotected metal should be protected from rust. Such items may be protected by a coat of grease, petroleum jelly, or a thin-film of preservative compound. These items may require several coatings during their stowage period.

**HANDLING AND STOWAGE OF HAZARDOUS MATERIALS.** —A hazardous material is any substance or mixture of substances that could result in the injury or death of a person. These substances are divided into toxic, irritating, flammable, pressurized, or sensitizing agents. The hazardous material could also result in damage to equipment or personnel through corrosion, oxidation, pressurization, or heat-generation.

As you were climbing the advancement ladder, your major concern about safety was your own well-being. As a senior petty officer, you should be concerned not only about your own safety but also the safety of others. You should make sure all personnel observe the following general precautions when handling and stowing hazardous materials:

- Keep stowage compartments clean and dry.
- Provide adequate ventilation in the storage area.
- Provide separate storage areas for materials that would become dangerous if mixed or combined.
- Avoid stowing materials in direct sunlight if the sun rays could cause a harmful or an unstable effect to the material.
- DO NOT allow unauthorized personnel in the stowage area.
- Make sure the precautionary label remains intact after each use or when transferring the material to another container.
- Inventory the containers quarterly.
- Inspect the containers for tightness of cover seal, corrosion, leakage, improper or inadequate labeling, and shelf life expiration date.
- NEVER allow open flames in the stowage or handling area.
- Monitor the stowage area for oxygen depletion or toxic gas buildup (this check must be accomplished by a gas-free engineer).
- ALWAYS use electrical equipment that is authorized for use in an explosive atmosphere.

**SECURITY.** —Designated departmental supply custodians are responsible for safeguarding the material under their control; therefore, security is always an important consideration. Storerooms must be kept locked when not in use. The number of people having direct access to a storeroom should be kept to a minimum; otherwise, material could disappear and the custodian would have no record of its issuance. Control and responsibility should be clear-cut; that is, clear-cut decisions on the following questions should be made and enforced within the responsible department:

1. Who is primarily responsible for keeping the keys to each storeroom?
2. To whom are the keys given when the custodian goes ashore?
3. Where may personnel on watch find the keys (or duplicate keys) if a storeroom has to be entered in case of emergency?
4. Who else, if anyone, should have direct access to the storeroom?

**PHYSICAL ARRANGEMENT.** —The physical arrangement of storerooms depends on the construction of the portions of the ship in which the storerooms are located. Each stowage area presents particular problems and should be considered separately to ensure that the available stowage space is used to full capacity.

Material should be segregated into arrangements best suited for purposes of issue and inventory, with special attention to placement of fast-moving items for convenience of issue. When repair parts are stowed in boxes, consideration should be given to the department's planned maintenance program. In most cases, material should not be stowed in stock number sequence, since national stock numbers assigned are not necessarily related to item characteristics. For maximum stowage life, stowage should be planned so that the oldest material is issued first.

Small ships do not usually have suitable stowage space. Material has to be stowed in small spaces that are irregular in shape and size. Orderliness may have to be sacrificed to put materials in the spaces that best fit them. For example, bulky items may have to be stowed in inconvenient, out-of-the-way spaces because the size of hatches and passageways prevents their stowage with related items. However, do not overload the bins at the expense of safety and accessibility.



The custodian should develop an effective locator system so that specific items of stock may be located without delay. Storeroom areas, units of shelving, bins, or other easily identified and defined sectors should be assigned numerical or alphabetical designators indicating the fore-and-aft and athwartship location of sectors within the storeroom. The location of each item or box of repair parts should be recorded on the applicable Afloat Locator/Inventory Record.

Material needed in a hurry (even if not needed frequently) should always be immediately accessible. In actual emergencies, accessibility of vital material has enabled a ship to regain full capability almost immediately. Common items that are frequently used should be kept near at hand. The once-a-month item, usually not needed in a hurry, should not clutter up bins near the door of a stowage space.

Sufficient passageways should be provided in stowage areas so that even the most infrequently used items can be removed with little or no shifting of other material. Stowage spaces should be kept orderly, clean, and in good condition.

You should consult the supply officer if special stowage problems arise aboard your ship.

## **CONTROLLED EQUIPAGE**

Controlled equipage are specific items that require special management control because their use is essential for the protection of life; for example, lifeboats, first-aid boxes, firearms, binoculars, or items that are pilferable and easily converted to personal use.

A list of items designated as controlled equipage is contained in various supply procedural publications. Items designated as controlled equipage are carried on board in allowance quantity only. They are generally under the custodial responsibility of the department head.

When you are a work center supervisor, controlled equipage may be subcustodied by your department head to you. You will then be responsible for maintaining that piece of equipage, accounting for it, and inventorying it as necessary.

### **Designation of Items to be Managed as Controlled Equipage**

The Controlled Equipage Item List (CEIL) is an item listing that fleet commanders developed jointly for special inventory control; that is, a list of items that are essential for the protection of

life or that are relatively valuable and easily convertible to personal use.

Excluded from the CEIL are those equipage items adequately managed through other ship-board programs. The items managed as controlled equipage are categorized and listed as "signature-required items" and "non-signature-required items" in appendix 11 of NAVSUP P-485.

Signature-required items require the signature of the responsible department head in the original custody records maintained by the supply department. These items also require the signature of the actual custodian in the department head's duplicate custody records. Signature-required items annotated with the # symbol in appendix 11 of NAVSUP P-485 also require that the serial number of each unit be listed in the original and duplicate custody records.

### **Items Designated by the Commanding Officer or Type Commander**

When commanding officers or type commanders do not consider the CEIL in appendix 11 to be sufficiently inclusive, they may designate additional items as controlled equipage (either as signature-required or non-signature-required). They may also change non-signature-required items listed in appendix 11 to signature-required items when additional control is necessary.

A list of items designated and changed by a commanding officer is prepared by the supply officer and approved by the commanding officer. The original of the list is retained by the supply officer, and a copy is provided to each department head concerned. When items are designated by the type commander, the supply officer retains a copy of the type commander's directive and provides a copy to each department head concerned.

### **Department Head Records**

Your department's basic custody record for controlled equipage is the duplicate of the NAVSUP Form 306 furnished by the supply officer. Receipts, expenditures, and inventories are posted to the duplicate records as they occur. The supply officer and the custodial department head are jointly responsible for ensuring that the original and duplicate custody records are in agreement. A comparison of the original and duplicate copies is required incident to inventories; however, a comparison of the original and duplicate of an individual record should be made each time a receipt or expenditure entry is posted.

## **RECORDS OF EXPENDING AND RECOVERING ACCOUNTABLE MATERIAL**

Accounting for the expending and recovering of supply materials is an important supply function. Two areas of expenditures, issue and transfer, have already been covered in this chapter. We will now discuss the turn-in of items; the precious-metal recovery program; the missing, lost, stolen, or recovered government property program; and material survey.

### **Turn-In Items**

Material in excess of allowance or department needs should be returned promptly to the supply department. You should make every attempt to return material in a ready-for-issue condition. If the preservation has been destroyed or is marginal, re-preservation should be accomplished before turn-in. Material returned to the supply department is documented on a NAVSUP Form 1250-1 (for manual afloat activities) or a DD Form 1348-1 (for automated afloat and ashore activities).

### **Precious-Metals Recovery**

Many times in your day-to-day work, you will be working with equipment that contains precious metals. This is especially true in the Dental Technician, Hospital Corpsman, Photographer's Mate, electronic and electrical, and some engineering ratings. Precious metals and metal-bearing scraps should be separated by generic category; for example, gold, silver, and platinum. They should then be turned in to the nearest DOD property disposal facility. Further guidance on the reuse of precious metals and the recovery of precious metals can be found in *Recovery and Utilization of Precious Metals*, NAVSUPINST 4570.23.

### **Missing, Lost, Stolen, or Recovered Government Property Program**

The Department of the Navy has long recognized the importance of maintaining statistics on where, when, and how government property was lost, stolen, or found missing and how it was recovered.

To provide a medium for recording this information, the government began the Missing, Lost, Stolen or Recovered (M-L-S-R) Program in 1973. The ultimate goal of this program is to

improve the Navy's physical security program and to provide a method for entering serialized material into a computer. The M-L-S-R program also establishes an official interface with the FBI's National Crime Information Center (NCIC). Further guidance, including a detailed list of items to be reported and how to report these items, is contained in *Reporting of Missing, Lost, Stolen, or Recovered (M-L-S-R) Government Property*, SECNAVINST 5500.4E.

## **SURVEY PROCEDURES**

When circumstances warrant, such as when criminal action or gross negligence is indicated, the commanding officer's designated representative may appoint a surveying officer or a survey board. Persons who are accountable or responsible for the material being surveyed should not be appointed as surveying officers.

Research action is not required when, in the opinion of the commanding officer or designated representative, negligence is not indicated in the loss, damage, or destruction of government property. It is not required if, for reasons known to the commanding officer, negligence or responsibility cannot be determined. It is also not required if research under those conditions would be an unnecessary administrative burden. Research action is not usually required when a person accepts responsibility for the loss, damage, or destruction of government property and volunteers to reimburse the government. At the discretion of the commanding officer or the designated representative, investigative reports required by other appropriate DOD component regulations may be used in lieu of the research under the following circumstances:

- No death or injury is involved.
- No possible claim against the government exists. Items are determined to be scrap by an inventory manager.
- Material is cannibalized or otherwise unaccounted for in the repair department.
- Residue of material cannibalized in the repair department is considered to have scrap value only.
- Samples of petroleum products are sent to a laboratory for examination and testing. These samples are not normally returned.

- Medical material has been determined to be defective by the Bureau of Medicine and Surgery.
- Material quantity discrepancies (provided that the value of the loss or shortage is less than \$50 per line item and it does not involve sensitive items) transferred to disposal are discovered.
- Material is lost in transit because of enemy action.

The criteria for performing further research on unresolved discrepancies are as follows:

- Further research is required on drugs or precious metals when any discrepancy occurs, regardless of dollar value.
- All items are classified, regardless of dollar value.
- Discrepancy of \$500 or more concerning pilferable items is reported.
- An indication or suspicion of fraud, theft, or negligence exists about any discrepancy.
- A discrepancy concerns arms and ammunition, including all personal arms, whether or not pecuniary liability is admitted.
- Repetitive losses and the dollar value of the adjustment equals or exceeds projected costs of the report of investigation.
- Bulk petroleum losses exceed the stated allowance.
- Items are mandatory turn-in repairable, including items that have been invoiced and shipped but not received.
- Discrepancies are over \$50,000 (all items).
- Further research is requested by the accountable officer.

### **Responsibility for Survey**

The commanding officer of a ship or unit has command responsibility for the security of all U.S. government property within the command,

whether in use or in storage. Such command responsibility requires a thorough observation of the activities of subordinate units. It also requires the enforcement of security, safety, and accounting requirements by appropriate administrative or disciplinary measures.

As the supervisor, you are responsible for the loss, damage, or destruction of material by subordinates under your supervision when the action or lack of action can be directly connected to the loss, damage, or destruction of government property.

You are also responsible for supply stocks that are stored and used within your division spaces. Government property may not be converted to personal use without specific permission or proper authority.

### **Report of Survey**

As a CPO, you may encounter a time when you will need to expend accountable material from your records because of loss, destruction, or absorption. In most cases you will be required to initiate a Report of Survey (DD Form 200) to document the expenditure. The Report of Survey is an official report explaining the situation. Depending upon the circumstances, it may also provide the results of an investigation into the matter (figs. 4-6A and 4-6B).

NAVSUP P-485 (paragraphs 5125-5128) provides specific guidance concerning the preparation and responsibility for the submission of the Report of Survey. Your responsibility as a CPO is to document losses or destruction in your work center as follows:

1. Inform your chain of command immediately.
2. Begin researching the cause and circumstances leading to the situation.
3. Try to reconstruct the situation to determine whether further investigation is necessary.
4. Initiate a Report of Survey (DD Form 200) to document loss or destruction of government property.

Remember, if you are the custodian of loss or destroyed material, you are responsible and accountable. Make sure all your research is thorough.

<b>REPORT OF SURVEY</b>														
<p style="text-align: center; margin: 0;"><b>PRIVACY ACT STATEMENT</b></p> <p style="margin: 0;"><i>Personal information from the individual is solicited. As required by the Privacy Act of 1974, we advise:</i></p> <p style="margin: 0;"><b>AUTHORITY:</b> 16 U.S.C. 136, 10 U.S.C. 1071; DoD Instruction 7200.10</p> <p style="margin: 0;"><b>PRINCIPAL PURPOSE:</b> To officially report the facts and circumstances supporting the assessment of pecuniary charges for the loss, damage, or destruction of DoD-controlled property</p> <p style="margin: 0;"><b>ROUTINE USES:</b> To initiate investigations of losses/gains of DoD-controlled property and record the findings and actions taken.</p> <p style="margin: 0;"><b>DISCLOSURE IS VOLUNTARY:</b> Refusal to explain the circumstances under which the property was lost, damaged, or destroyed may be considered with other factors in determining if an individual will be held pecuniarily liable.</p>			<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2" style="padding: 2px;">1. TYPE REPORT (X one)</td> </tr> <tr> <td style="padding: 2px;">a. REPORT OF SURVEY</td> <td style="padding: 2px;"><input checked="" type="checkbox"/></td> </tr> <tr> <td style="padding: 2px;">b. GOVERNMENT PROPERTY LOSS/DESTROYED</td> <td style="padding: 2px;"><input type="checkbox"/></td> </tr> <tr> <td colspan="2" style="padding: 2px;">2. SURVEY NUMBER</td> </tr> <tr> <td colspan="2" style="padding: 2px;">3. DATE LOSS/GAIN DISCOVERED (YYMMDD)</td> </tr> </table>		1. TYPE REPORT (X one)		a. REPORT OF SURVEY	<input checked="" type="checkbox"/>	b. GOVERNMENT PROPERTY LOSS/DESTROYED	<input type="checkbox"/>	2. SURVEY NUMBER		3. DATE LOSS/GAIN DISCOVERED (YYMMDD)	
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3. DATE LOSS/GAIN DISCOVERED (YYMMDD)														
4. NATIONAL STOCK NO.	5. ITEM DESCRIPTION	6. QUANTITY	7. UNIT COST	8. TOTAL COST										
9. CIRCUMSTANCES UNDER WHICH PROPERTY WAS (X one) <input type="checkbox"/> LOST <input type="checkbox"/> GAINED <input type="checkbox"/> DAMAGED <input type="checkbox"/> DESTROYED <i>(Attach additional pages, as necessary)</i>														
10. ACTIONS TAKEN TO CORRECT CIRCUMSTANCES REPORTED IN BLOCK 9 AND PREVENT FUTURE OCCURRENCES <i>(Attach additional pages, as necessary)</i>														
11. INDIVIDUAL COMPLETING BLOCKS 9 AND 10 <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <tr> <td style="width: 30%; padding: 2px;">a. TYPED NAME (Last, First, Middle Initial)</td> <td style="width: 30%; padding: 2px;">b. SIGNATURE</td> <td style="width: 15%; padding: 2px;">c. DATE SIGNED</td> <td style="width: 25%; padding: 2px;">d. AUTOVON NUMBER</td> </tr> </table>					a. TYPED NAME (Last, First, Middle Initial)	b. SIGNATURE	c. DATE SIGNED	d. AUTOVON NUMBER						
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12. RESPONSIBLE OFFICER <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <tr> <td style="width: 40%; padding: 2px;">a. ORGANIZATIONAL ADDRESS (Unit Designation, Office Symbol, Base, State, Zip Code)</td> <td style="width: 30%; padding: 2px;">b. TYPED NAME (Last, First, Middle Initial)</td> <td style="width: 30%; padding: 2px;">c. AUTOVON NUMBER</td> </tr> <tr> <td></td> <td style="padding: 2px;">d. SIGNATURE</td> <td style="padding: 2px;">e. DATE SIGNED</td> </tr> </table>					a. ORGANIZATIONAL ADDRESS (Unit Designation, Office Symbol, Base, State, Zip Code)	b. TYPED NAME (Last, First, Middle Initial)	c. AUTOVON NUMBER		d. SIGNATURE	e. DATE SIGNED				
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	d. SIGNATURE	e. DATE SIGNED												
13. ACCOUNTABLE OFFICER <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <tr> <td colspan="3" style="padding: 2px;">a. NUMBER OF DOCUMENTS USED TO ADJUST PROPERTY RECORD</td> </tr> <tr> <td style="width: 40%; padding: 2px;">b. ORGANIZATIONAL ADDRESS (Unit Designation, Office Symbol, Base, State, Zip Code)</td> <td style="width: 30%; padding: 2px;">c. TYPED NAME (Last, First, Middle Initial)</td> <td style="width: 30%; padding: 2px;">d. AUTOVON NUMBER</td> </tr> <tr> <td></td> <td style="padding: 2px;">e. SIGNATURE</td> <td style="padding: 2px;">f. DATE SIGNED</td> </tr> </table>					a. NUMBER OF DOCUMENTS USED TO ADJUST PROPERTY RECORD			b. ORGANIZATIONAL ADDRESS (Unit Designation, Office Symbol, Base, State, Zip Code)	c. TYPED NAME (Last, First, Middle Initial)	d. AUTOVON NUMBER		e. SIGNATURE	f. DATE SIGNED	
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	e. SIGNATURE	f. DATE SIGNED												

DD Form 200, OCT 84  
S/N 0102-LF-000-2001

Replaces DD Form 200, 83 MAY; AF Form 198, JAN 83;  
DD Form 2090, SEP 77 and DA Form 4697, SEP 81, which are obsolete

**Figure 4-6A.-Report of Survey, DD Form 200 (Front).**

<b>14 FINDINGS AND RECOMMENDATION OF SURVEY OFFICER</b>			
a FINDINGS AND RECOMMENDATIONS (Attach additional pages, as necessary)			
b DOLLAR AMOUNT OF LOSS / GAIN		c RECOMMENDED PECUNIARY CHARGE	d LOSS / GAIN TO GOVERNMENT
<b>15 SURVEY OFFICER</b>			
a ORGANIZATIONAL ADDRESS (Unit Designation, Office Symbol, Base, State, Zip Code)		b TYPED NAME (Last, First, Middle Initial)	c AUTOVON NUMBER
		d DATE REPORT SUBMITTED TO APPOINTING OFFICIAL	e DATE APPOINTED
		f SIGNATURE	g DATE SIGNED
<b>16 INDIVIDUAL CHARGED</b>			
a I HAVE EXAMINED THE FINDINGS AND RECOMMENDATIONS OF THE SURVEY OFFICER AND (X one)		b I AM AWARE OF MY RIGHT TO (1) LEGAL ADVICE AND (2) APPEAL IF PECUNIARY CHARGES ARE ASSESSED. ENLISTED PERSONNEL HAVE THE RIGHT TO REQUEST REMISSION OF INDEBTEDNESS	
(1) SUBMIT THE ATTACHED STATEMENT OF OBJECTION			
(2) DO NOT INTEND TO MAKE SUCH A STATEMENT			
c TYPED NAME (Last, First, Middle Initial)		d SIGNATURE	e DATE SIGNED
f AUTOVON NUMBER			
<b>17 APPOINTING OFFICIAL</b>			
a RECOMMENDATION (X one)		b COMMENTS	
(1) APPROVE			
(2) DISAPPROVE			
c ORGANIZATIONAL ADDRESS (Unit Designation, Office Symbol, Base, State, Zip Code)		d TYPED NAME (Last, First, Middle Initial)	e AUTOVON NUMBER
		f SIGNATURE	g DATE SIGNED
<b>18 APPROVING OFFICIAL</b>			
a ACTION (X one)		b COMMENTS	
(1) APPROVED			
(2) DISAPPROVED			
c ORGANIZATIONAL ADDRESS (Unit Designation, Office Symbol, Base, State, Zip Code)		d TYPED NAME (Last, First, Middle Initial)	e AUTOVON NUMBER
		f SIGNATURE	g DATE SIGNED

DD Form 200 Reverse, OCT 84

Figure 4-6B.-Report of Survey, DD Form 200 (Reverse).

## **Distribution of the Report of Survey Form After Final Action**

The original report with all attachments is retained at the activity if copies are not required by higher authority.

A duplicate is returned to the appropriate property officer to replace the quadruplicate copy, which may then be destroyed if not required by higher authority.

The triplicate copy is destroyed if pecuniary liability is not assessed. If pecuniary liability is assessed, send a copy to the disbursing officer.

## **INVENTORIES**

Inventories should be conducted at regular intervals, following prescribed procedures.

### **Controlled Equipage Inventory**

All items of controlled equipage are inventoried on an annual basis during the period 15 February to 15 March.

At least 1 month before 15 February, the supply officer prepares an official notice advising all department heads of procedural details to be followed when conducting their annual inventories of controlled equipage. The notice is signed by the commanding officer or by an officer with delegated authority.

Heads of departments are responsible for conducting the inventory of items for which they have custody. The file of duplicate NAVSUP Forms 306, as well as subcustody records, can be used as a basis for conducting and recording physical inventories of controlled equipage.

All items are sighted and inspected for serviceability by the officer conducting the inventory. Binoculars, small arms, and other equipment identified by serial numbers are checked by those numbers during the inventory. As each item is inventoried, the inventorying officer enters the date and quantity and signs the reverse side of the department copy of the custody card.

As the inventory progresses or immediately after completion, the inventory record is transcribed to the original card held by the supply officer. When the inventoried quantity of an item differs from the verified custody record balance, a recount or an investigative research or both is required.

After the above procedures have been accomplished, the following additional actions are required:

1. Shortages and unserviceable items discovered incident to inventory are promptly surveyed.
2. Inventory adjustments are posted to the custody card.
3. Issue requests are prepared and submitted to the supply officer for procurement of any replacement items required.
4. A report of inventory completion is submitted to the commanding officer.

Upon completion of a controlled equipage inventory, each department head submits a letter report to the commanding officer, with a copy to the supply officer. When controlled equipage is inventoried incident to a change of department head, the letter report is signed by both the relieved and relieving department heads. Letter reports should include a list of excess controlled equipage items. This list should include justification or authority for any excess items you want to retain. Letter reports should include

1. completion of the controlled equipage inventory,
2. submission of shortages and unserviceable items,
3. replenishment of shortages and unserviceable items, and
4. justification or authority for any excess items to be retained.

### **Other Inventories**

Physical inventories of stores in the technical custody of the supply department but in the physical custody of other departments are taken at the end of each quarter or when prescribed by the supply officer. The inventory is checked against the stock record cards, signed by the custodian department head, and submitted to the supply officer. The following are examples of how you should prepare the space for inventory:

1. Ensure the stowage is orderly and follows a prearranged stowage plan.
2. Ensure unopened boxes and other containers are stowed with labels and other identifying information facing outward.
3. Ensure loose items are repackaged in standard bulk lots when practical.

4. Ensure all stock is labeled or otherwise clearly identified.

Shortages identified by the inventory are covered by receipted issue documents. The supply officer charges shortages against the budget of the department concerned.

### **Selected Item Management (SIM)/Non-SIM Procedures**

Analysis of shipboard usage data has shown that a small percentage of the total number of repair parts is in frequent demand. However, all items require the same degree of management attention: annual inventory, stock record review, and updating. Under the SIM concept, only those items designated SIM receive this attention on a regular basis; non-SIM items are inventoried, reviewed, and updated only when transactions occur. A stock item is designated SIM after it has had two demands (regardless of quantity issued) within a 6-month period; it loses that designation when no demands have been recorded for 6 months consecutively.

You should remember that the designation of a stock item as either SIM or non-SIM is not permanent. When a non-SIM item experiences its second demand within 6 months, it should be redesignated as SIM. An item may be designated as SIM if it has a predictable demand of two or more based on expected seasonal or deployed usage.

SIM items are inventoried at 6-month intervals. The inventory should be completed and posted within 2 weeks after it is started. The inventory should be conducted before deployment.

### **INTEGRATED LOGISTICS OVERHAUL (ILO)**

The ILO improves readiness by providing a ship with logistics support that accurately reflects the ship's true equipment and operating needs. The term *logistics support* refers to the repair parts, Planned Maintenance System (PMS), technical manuals, and personnel training necessary to operate and sustain the ship. As you can see, an ILO includes much more than just repair parts and involves more than just supply functions. An ILO is a shipboard evolution that involves every department and is important for a ship's overhaul. A properly executed ILO can greatly benefit the future operations of the ship, but a poorly executed ILO can be disastrous. The

ILO process begins months before the shipyard period and continues at a reduced level until the next ILO.

The Ship Equipment Configuration Accounting System (SECAS) validation is one of the first steps in an ILO. This validation is performed by TYCOM personnel. The TYCOM personnel board your ship and site-validate all electronic and ordnance material and certain hull, mechanical, and electrical equipment (HM&E).

Personnel assignments to the ILO generally include people from several different technical ratings, as well as Storekeepers. Each person has a specific assignment related to the configuration analysis within his or her area of specialty. The team should work together to ensure that the "integrated" portion of ILO brings all parts together as a whole. The assignment of people to the ILO team is a critical factor in the final outcome. You should assign the most conscientious people from the work center to the ILO team.

Several of the major evolutions involved in an ILO are outlined below:

- Develop a plan of action and milestones (POA&M).
- Train all personnel involved in the ILO process.
- Off-load all repair parts, technical manuals, and PMS documentation at the ILO site.
- Compare the SECAS validation to the current COSAL and inventory and catalog repair parts at the same time.
- Analyze the applicability of repair parts, technical manuals, and PMS to update the configuration.
- Coordinate the reorder of repair parts, technical manuals, and PMS programs.
- On-load updated products.
- Follow-up adjust. and validate the entire ILO process This step continues during the entire operating cycle.

The result of an ILO will never be perfect, but this process does eliminate most of the support problems encountered during the previous operating cycle. Because an ILO is a self-help

project, the product will only be as good as the input from you and your personnel. You, as a CPO, will have a great deal of influence over this procedure.

### **THE 3-M SYSTEMS**

The average work center aboard ship is involved in the 3-M Systems through the Planned Maintenance System (PMS) and the Maintenance Data System (MDS). Your position in the work center or division will require you to have a good working knowledge of the 3-M Systems. Basic 3-M responsibilities of the chief include the following:

- Training the division officer and subordinates
- Supervising preventive maintenance administrative procedures
- Supervising corrective maintenance administrative procedures
- Submitting equipment configuration changes to update the weapons system file
- Managing the division or work center maintenance through use of the current ship's maintenance project (CSMP)

An in-depth explanation of the 3-M Systems is beyond the scope of this chapter. Exact procedures for administering the 3-M Systems vary depending upon TYCOM instructions, type of command, or special programs such as nuclear weapons or nuclear power.

This section will cover the general responsibilities of the positions you should be familiar with as a chief. These positions are the departmental 3-M Systems assistant, division officer, group supervisor, and work center supervisor.

A more detailed description of the 3-M Systems can be found in the *Ships' Maintenance and Material Management (3-M) Systems Manual*, OPNAVINST 4790.4B, and your TYCOM 3-M Systems instruction.

### **DEPARTMENTAL 3-M SYSTEMS ASSISTANT**

The department head will assign an officer or a petty officer as a 3-M Systems assistant. The

assistant must be trained in and knowledgeable of the 3-M Systems. The assistant will provide assistance and supervision in all administrative facets of the department's 3-M Systems program.

### **DIVISION OFFICER**

The division officer is responsible to the department head and must be trained in the 3-M Systems. The division officer assists in managing the maintenance required for the equipment within the division. The division officer's responsibilities include the following:

- Ensuring division MDS documents are complete, accurate, and promptly prepared and submitted
- Ensuring qualified senior personnel review PMS maintenance requirement documents such as maintenance index pages (MIPs) or maintenance requirement cards (MRCs) for completeness, applicability, and accuracy
- Supervising preparation, reviewing, and signing of the divisions's weekly PMS schedules
- Conducting weekly spot-checks to make sure maintenance requirements are performed as indicated on the maintenance requirement card (MRC)
- Ensuring the department quarterly schedule is properly updated each week
- Including 3-M Systems training in divisional training plan
- Working in association with the ship's 3-M coordinator
- Meeting the work center supervisors each week and then informing the department head of 3-M Systems status within the division
- Ensuring division 3-M Systems files, publications, MRC decks, tag guide list (TGL), and equipment guide list (EGL) are complete and current

### **GROUP SUPERVISOR**

Sometimes the leading chief is responsible for the proper operation of two or more work centers.



When this occurs the leading chief is referred to as the group supervisor. The group supervisor is responsible for the proper performance of the 3-M Systems in the work centers under their control.

### **WORK CENTER SUPERVISOR**

The senior chief petty officer (or senior petty officer if no chief is assigned) within the work center is the work center supervisor. The work center supervisor is responsible for the effective operation of the 3-M Systems in his or her work center. The responsibility can not be delegated to subordinate maintenance personnel. The work center supervisor will receive 3-M Systems training and is responsible for the following:

- Scheduling and supervising accomplishment of weekly work center maintenance tasks.
  - Ensuring preventive maintenance status is shown correctly on work center PMS schedules.
  - Informing the division officer or group supervisor of MDS or PMS actions within the work center.
  - Maintaining an adequate supply of 3-M Systems materials for the work center.
  - Ensuring prompt documentation of all noted material deficiencies in the work center work list/job sequence number (JSN) log and on OPNAV 4790/CK Form if required.
  - Documenting completed maintenance actions promptly using OPNAV 4790/2K or OPNAV 4790/CK forms when required.
  - Reviewing all 3-M documentation leaving the work center to make sure it is correct, legible, and prepared and submitted promptly. Persons discovering deficiencies are responsible for completing required documentation.
  - Ensuring maximum use of PMS as a maintenance training aid for work center personnel.
  - Maintaining control and accountability of work center job sequence numbers (JSNs).
  - Verifying that the work center CSMP is current and complete.
- Reviewing maintenance requirement cards and submitting a PMS feedback report when maintenance requirements are not fully understood; errors are believed to exist; maintenance requirements are believed to be inadequate or excessive or when performance would cause a hazardous condition to exist; or replacement documents are required.
  - Maintaining an accurate and current list of effective pages (LOEP) by comparing PMS documentation to actual work center equipment configuration.
  - Ensuring periodic maintenance requirements (PMR) scheduled for the work center are completed and reported as stated on the PMS, MRC, or PMR.
  - Ensuring proper tests and inspections prior to acceptance of work done by outside activities.
  - Ensuring delivery of test, measurement, or other portable equipments to testing and calibration work centers as indicated on scheduling reports.

### **SHIPBOARD NONTACTICAL AUTOMATED DATA PROCESSING (ADP) PROGRAM: SYSTEMS (SNAP I AND SNAP II)**

The Shipboard Nontactical ADP Program (SNAP) concept takes the power of computers with their ability to process information and puts that power in the hands of the work center personnel. The SNAP computer systems are highly useful systems. The Navy uses two different SNAP computer systems to accomplish the same basic functions. SNAP I systems are installed at Shore Intermediate Maintenance Activities (SIMAs) and on board larger vessels such as aircraft carriers, tenders, amphibious command ships, and amphibious assault ships. SNAP II systems are installed only on smaller vessels such as frigates, destroyers, and cruisers.

The main objectives of SNAP I and SNAP II systems are to accomplish the following:

- Reduce the current shipboard administrative workload associated with equipment maintenance, supply and financial management, and personnel administration

- Provide supervisors with a responsive and flexible on-line management tool for maintenance, supply, and manpower functions
- Improve the accuracy and timeliness of existing off-ship data reports without increasing user workload

## **COUNSELING PERSONNEL**

One of the most important aspects of the chief petty officer's job is providing advice and counseling to subordinates. CPOs who make themselves accessible to subordinates will find they are in great demand to provide information and to help in finding solutions to problems.

The purpose of this section of the chapter is to present an overview of the basic principles and techniques of counseling. This section is not intended to be a course in problem solving, nor is it intended to provide a catalog of answers to all questions. This section will, however, give you an overview of general counseling procedures, some guidelines to use in the counseling process, and a listing of resources available as references.

A point to remember is that counseling should not be meddling, and the extreme of playing psychiatrist, should be avoided. But neither should counseling be reserved only for a subordinate that is having problems; you should also counsel subordinates for their achievements and outstanding performance. Counseling of a subordinate who is doing a good job reinforces this type of job performance and ensures continued good work. Counseling of this type also provides an opening for you to point out ways that a subordinate might improve an already good job performance.

Counseling the subordinate who is doing a good job is relatively easy, but a different type of counseling is required for a subordinate whose performance does not meet set standards. This section teaches you how to counsel the subordinate whose performance does not meet established job standards.

In general, this section can be used as a guide to counseling personnel on professional, personal, and performance matters. Also, the basics presented here apply to counseling subordinates on their enlisted evaluations.

## **PRINCIPLES OF COUNSELING**

Counselors should set aside their own value system in order to empathize with the person

during counseling. The things the counselor may view as unimportant may be of paramount importance to the counselee. We tend to view the world through our own values, and this can present problems when we are confronted with values that are at odds with our own. If persons in your unit think something is causing them a problem, then it is a problem to them, regardless of how insignificant you might believe the problem to be.

The objective of counseling is to give your personnel support in dealing with problems so that they will regain the ability to work effectively in the organization. Counseling effectiveness is achieved through performance of one or more of the following counseling objectives: advice, reassurance, release of emotional tension, clarified thinking, and reorientation.

### **Advice**

Many persons think of counseling as primarily an advice-giving activity, but in reality it is but one of several functions that counselors perform. The giving of advice requires that a counselor make judgments about a counselee's problems and lay out a course of action. Herein lies the difficulty, because understanding another person's complicated emotions is almost impossible.

Advice-giving may breed a relationship in which the counselee feels inferior and emotionally dependent on the counselor. In spite of its ills, advice-giving occurs in routine counseling sessions because members expect it and counselors tend to provide it.

### **Reassurance**

Counseling can provide members with reassurance, which is a way of giving them courage to face a problem or confidence that they are pursuing a suitable course of action. Reassurance can be a valuable, though sometimes temporary, cure for a member's emotional upsets. Sometimes just the act of talking with someone about a problem can bring about a sense of relief that will allow the member to function normally again.

### **Release of Emotional Tension**

People tend to get emotional release from their frustrations and other problems whenever they have an opportunity to tell someone about them. Counseling history consistently shows that as persons begin to explain their problems to a

sympathetic listener, their tensions begin to subside. They become more relaxed and tend to become more coherent and rational. The release of tensions does not necessarily mean that the solution to the problem has been found, but it does help remove mental blocks in the way of a solution.

### **Clarified Thinking**

Clarified thinking tends to be a normal result of emotional release. The fact is that not all clarified thinking takes place while the counselor and counselee are talking. All or part of it may take place later as a result of developments during the counseling relationship. The net result of clarified thinking is that a person is encouraged to accept responsibility for problems and to be more realistic in solving them.

### **Reorientation**

Reorientation is more than mere emotional release or clear thinking about a problem. It involves a change in the member's emotional self through a change in basic goals and aspirations. Very often it requires a revision of the member's level of aspiration to bring it more in line with actual attainment. It causes people to recognize and accept their own limitations. The counselor's job is to recognize those in need of reorientation before their need becomes severe, so that they can be referred to professional help. Reorientation is the kind of function needed to help alcoholics return to normalcy or to treat those with mental disorders.

## **TYPES OF COUNSELING**

Counseling should be looked upon in terms of the amount of direction that the counselor gives the counselee. This direction ranges from full direction (directive counseling) to no direction (nondirective counseling).

### **Directive Counseling**

Directive counseling is the process of listening to a member's problem, deciding with the member what should be done, and then encouraging and motivating the person to do it. This type of counseling accomplishes the function of advice; but it may also reassure; give emotional release; and, to a minor extent, clarify thinking. Most everyone likes to give advice, counselors included,

and it is easy to do. But is it effective? Does the counselor really understand the member's problem? Does the counselor have the technical knowledge of human behavior and the judgment to make the "right" decision? If the decision is right, will the member follow it? The answer to these questions is often no, and that is why advice-giving is sometimes an unwise act in counseling. Although advice-giving is of questionable value, some of the other functions achieved by directive counseling are worthwhile. If the counselor is a good listener, then the member should experience some emotional release. As the result of the emotional release, plus ideas that the counselor imparts, the member may also clarify thinking. Both advice and reassurance may be worthwhile if they give the member more courage to take a workable course of action that the member supports.

### **Nondirective Counseling**

Nondirective, or client-centered, counseling is the process of skillfully listening to a counselee, encouraging the person to explain bothersome problems, and helping him or her to understand those problems and determine courses of action. This type of counseling focuses on the member, rather than on the counselor as a judge and advisor; hence, it is "client-centered." This type of counseling is used by professional counselors, but nonprofessionals may use its techniques to work more effectively with service members. The unique advantage of nondirective counseling is its ability to cause the member's reorientation. It stresses changing the *person*, instead of dealing only with the immediate *problem* in the usual manner of directive counseling. The counselor attempts to ask discerning questions, restate ideas, clarify feelings, and attempts to understand why these feelings exist. Professional counselors treat each counselee as a social and organizational equal. They primarily listen and try to help their client discover and follow improved courses of action. They especially "listen between the lines" to learn the full meaning of their client's feelings. They look for assumptions underlying the counselee's statements and for the events the counselee may, at first, have avoided talking about. A person's feelings can be likened to an iceberg. The counselor will usually only see the revealed feelings and emotions. Underlying these surface indications is the true problem that the member is almost always initially reluctant to reveal.

**PERSONAL COUNSELING**

All personal problems should not be referred to a specialist. Your first duty as a chief is to recognize whether the problem is beyond your ability to help or not. Many times you can solve personal problems with a telephone call. If the problem is beyond your ability to solve, then give the division officer a chance to solve the problem. Stay informed of the progress made toward solving the problem. If the problem requires assistance from outside the command, you can smooth the process by making appointments and ensuring the counselee gets help. Keep informed of progress and follow-up!

As a CPO, you may encounter situations in which persons being counseled must be referred to other sources for assistance. There will be times when a person will have special problems that will require special help. These problems should be handled by such specialists as the chaplain, legal

officer, and medical officer. The effective CPO should be able to recognize situations in which referral is necessary and to assist the counselee in obtaining maximum benefit from these referrals. Examples of situations in which referral would be appropriate include drug and alcohol abuse, psychological problems or behavioral disorders, medical problems, personal limitations, such as a personality conflict with the counselor and the inability of the counselor to relate to or comprehend a counselee's problem.

In each instance, the key to successful referral lies not in the ability to diagnose a problem but rather in the ability to recognize those signs or symptoms that indicate referral to appropriate sources.

To assist CPOs in fulfilling their advising and counseling responsibilities with regard to referral, the Navy has developed an impressive array of helping resources. A listing of these helping resources is provided for reference.

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<u>Helping Resource</u>	<u>Capability</u>
Alcohol Rehabilitation Centers/Alcohol Rehabilitation Departments (ARCs and ARDs)	Alcohol abuse and related physical disorders
Counseling and Assistance Centers (CAACs)	Drug abuse, alcohol abuse, and psychological disorders
Drug and Alcohol Program Advisor (DAPA)	Primary command point of contact for drug and alcohol abuse problems
Navy Alcohol and Drug Safety Action Program (NADSAP)	Education program for those with drug/alcohol abuse problems
Navy Relief	Financial counseling
Chaplain Corps	Personal problem and religious counseling
Command Ombudsman	Community orientation and family orientation to the command and Navy life
Family Service Centers (FSC)	Comprehensive family-related information, programs, and services for Navy families and single service members
Federal Credit Unions	Financial assistance, to include savings and loan advice as well as family financial planning
Educational Services	Educational assistance, to include degree-granting programs, correspondence courses, and in-service educational benefits

## Helping Resource

Navy Relief Society

Naval Legal Service Offices

American Red Cross

Naval Hospitals

Veterans Administration (VA)

Civilian Health and Medical Program of the  
Uniformed Services (CHAMPUS)

Command Career Counselor

## Capability

Loans and outright grants to alleviate financial emergencies; also family budget counseling

Legal advice, to include wills, powers of attorney, and notarizing services

Emergency assistance of all types, to include emergency leave verification and travel assistance

Physical and psychological problems and disorders diagnosed and treated

Veterans benefits and survivors benefits advice

Health care benefits and eligibility advice

Career information, to include Navy rights and benefits

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### **PROFESSIONAL, PERFORMANCE, AND ENLISTED EVALUATION COUNSELING**

Professional, performance, and enlisted evaluation counseling all have several things in common. Standards should be set; standards should be clear and understood by the counselee; targets should be set for each individual; and both good and poor performance of subordinates should be documented and the subordinates counseled. Professional and performance counseling takes place throughout the year. Enlisted evaluation counseling should take place once a quarter to allow personnel a chance to improve before receiving the formal evaluation.

A good place to start is at the end of the formal evaluation period. You can outline the minimum required performance you expect from each paygrade and rating within the work center or division. This is setting a clear standard of performance. Professional and performance counseling will be based on these standards. Ensure each subordinate understands the required level of performance you expect from him or her.

Set performance targets for each individual. People are different and have different capabilities. By setting performance targets above the required minimum, you will be able to maximize subordinate output. Setting a standard target of performance could discourage less capable

performers or cause more capable performers to become bored. Remember to individualize the target performance. An example would be giving your star performer 1 week to complete a specific personnel qualification standard (PQS). The 1-week target may be too difficult for your least capable performer, so you might allow him or her 1 month to complete the PQS. All other personnel would fall somewhere within this range, depending upon their capabilities.

As your personnel progress, you will need to adjust the targets to keep them challenging but realistic. Counsel your personnel on their good and poor performance. Document the counseling sessions for at least 3 months.

You have been documenting the professional and performance counseling for the last 3 months. Now it is time to conduct an enlisted evaluation counseling session. Write a rough evaluation on each subordinate, using their counseling sheets and other documentation taken from personal observation over the last 3 months. Do not refer to the last formal evaluation (or rough evaluation for latter sessions).

These quarterly counseling sessions will allow you to provide positive reinforcement for correct behavior and corrective action for substandard behavior. You will also be able to document items that are sometimes forgotten at the yearly evaluation. Schools attended, courses completed, and assistance provided are sometimes overlooked

or forgotten if the supervisor or subordinate fails to document them.

At the end of the formal evaluation period, you should have enough documentation to write an objective evaluation on each subordinate.

### **INTERVIEWING, ASSIGNING, AND EVALUATING PERSONNEL**

As a chief petty officer, your administrative duties will include interviewing personnel, assigning them to jobs, and evaluating their performance. The purpose of interviewing is to obtain information that will help you make the most effective use of the skills and abilities of naval personnel. The best way you can do this is to assign people to work they do well and enjoy; people who enjoy their work usually put forth their best efforts in doing the job. The end result of proper interviewing and assignment is a positive evaluation for the subordinate.

#### **INTERVIEWING**

The interview has three major objectives: to establish your position of leadership and responsibility in the sailor's mind, to discover special characteristics or aptitudes about the member that may not be included in the records, and to show that you have a personal interest in the person. The interview should be friendly, not too formal, but thorough.

#### **Beginning the Interview**

To obtain all the necessary information from a member during an interview, you must put the member at ease and in the mood to talk. This is accomplished by using a pleasant, easy manner and by making it clear that you are interested in, and responsible for, finding the member a suitable job assignment.

Before beginning, you should have had a chance to read whatever information is available on the member. From this, facts can be found to open the interview, such as the location of the member's home.

The interview is not only for the purpose of giving you information, but also to help members understand themselves. You and the member should work as a team to find the most satisfactory assignment possible within the Navy's needs.

#### **Information to be Obtained**

During the interview, the interviewer obtains all the information possible about the member's education, personal interests, and occupational experience.

**EDUCATIONAL INFORMATION.** –Educational information includes the kind and extent of formal education; where and when it was acquired; subjects liked and disliked and why, and the amount of time spent studying each; any occupation followed during the period of education; and an explanation of unusual features of education.

Educational attainment indicates to a certain degree the member's ability to absorb training. Success in technical or special subjects in high school usually indicates aptitude for continued training in related subjects in Navy schools. Trade schools, business schools, and correspondence courses are important, especially if they are related to a Navy rating.

Do not assume, however, because a person has been trained in a certain field, that the occupation is necessarily suitable or desirable for that person. The person may have been urged to enter a field by parents or teachers without particularly desiring it. Or the person may have chosen a field without sufficient knowledge of the work involved. It is also possible that after actually working in a job, the person did not like it or was not suited for it.

Here are some questions to help you obtain a more accurate picture of a member's educational and training background.

- Why did the person choose this particular field of study?
- What progress was made? What grades were received?
- Would the member choose this field today?
- Did the person obtain, or attempt to obtain, employment related to this particular study field?
- If given the opportunity, would the person choose a vocation that would make use of this study field?

**PERSONAL INTERESTS.** –You should ask questions to find out the personal interests of the member. This could include questions about leisure time activities, sports in which the member has participated, the level of achievement in each sport, any talents for public entertainment, and positions of leadership held. The latter usually refers to office or committee jobs in organizations to which the person has belonged. These activities, being largely voluntary, sometimes present a truer picture of the person's interests than the education or work experience. In any case, they add to a complete picture of the person.

**OCCUPATIONAL INFORMATION.** –You should obtain a brief record of the person's experience on jobs held since entering the Navy and before entering the Navy, length of time held, interests in each job, and success in each job. Care must be exercised both in recording work experience and interpreting it. With experience, as with education, you should not assume that an occupation is suitable for a member merely because some background in it has been shown. The member's interest and success in an occupation must be considered before you decide whether to assign similar work to the person.

**GIVE THE PERSON HONEST ANSWERS.** –Remember that it is your responsibility to guide and assist the person as much as possible. At times you may be tempted to evade or give indefinite answers because you expect the person to react unfavorably to what you have to say. Keep in mind, however, that even though working out a solution to a member's problems means a lot of hard work, it is your job.

Look at the situation from the member's point of view. Few situations are more discouraging than attempting to get information and receiving evasive answers or no help from the person who should be helping you. In other words, if you are supposed to be a counselor, tackle the problem and try to do something to help. Tell the person when you do not know the answers, but try to help find them.

**EMPHASIZE THE PERSON'S ABILITY.** –You will be most effective as a counselor and an interviewer if you take a positive approach, putting emphasis on the abilities of personnel and the kinds of jobs in which they can best be put to use. The more you learn about the various types of Navy duty, the greater respect you are likely to acquire for all the various jobs. They differ

as to kinds of ability, but they all require a considerable amount of ability.

Do not close the door to training on the member because the cutting scores required for a school have not been achieved. If a member is genuinely interested in a type of work, the member will probably be able to get on-the-job training. This process, which is quite likely to be available to a member as a striker aboard ship, may be within the member's capabilities even though the member could not keep up the speed required in a school.

**CLOSING THE INTERVIEW.** –Before closing the interview, you should summarize the member's qualifications and inform the member of his or her assignment. Show the member all the advantages that can be gained from the assignment. It is part of your duty to help the member see all the ways in which the assignment can be used in furthering long-range ambitions. You should make certain that the member understands all the duties and responsibilities of the assignment and that the person has been given helpful information. You should help the member develop a positive attitude toward the new assignment; this will promote the person's effectiveness in the immediate job and his or her own best interest in the future.

### **Some Final Thoughts for the Interviewer**

As a brief review, here are some recommendations to keep in mind for successful interviewing:

— Get a mental picture of the **WHOLE** person, not just one side.

— Be alert for the possibility that the person may be suffering from some physical or mental illness. Navy people are generally fine physical specimens and well adjusted mentally, but your job may put you in contact with exceptional cases. These belong to the professional specialist—the medical officer.

— Be more concerned with the causes than with surface symptoms. Do not assume that all members **OUGHT TO BEHAVE** in a certain way, and do not condemn the nonconformists. Try to find out what makes a member behave in a certain way.

— Keep the emphasis on the positive aspects of the person's abilities and character. Show that you appreciate the member's good qualities and show the person how to take advantage of these qualities.

— In your efforts to be friendly and understanding, do not give the impression that you are an easy mark or that friendly talk is all you have to offer. Do what you can, definitely and positively. Expect members to do their part.

— Remember that it is your duty to help the Navy make the best use of its personnel.

— Above all, remember that you are dealing with HUMAN BEINGS. An interview that is just one event in a day's work to you may be the turning point of a member's life.

## ASSIGNING

Assigning personnel is a staffing function as discussed in chapter 3. Your primary objective is to match the correct person to the job to receive maximum efficiency and effectiveness. However, you will also need to account for using on-the-job training (OJT) to cross-train personnel. You will lose some efficiency in the short term through use of OJT, but the long term result is higher divisional or work center efficiency and effectiveness.

There are no firm rules for assigning personnel. Best results occur when personnel are happy in their job. Try to match the personal interest of the subordinate to the job requirements when possible. At other times you will need to employ a skillful use of influence to achieve the desired outcome.

## EVALUATING

Evaluating personnel was discussed in the topic on performance counseling. You should be counseling your personnel on a regular basis to let them know how they are doing and where they need to improve. This section focuses on your responsibilities in preparing enlisted performance evaluations.

### Preparing Enlisted Performance Evaluations

Enlisted performance evaluations will have a long-term impact on the career of the person you

are evaluating. You should pay careful attention to detail and treat each evaluation as if it were going in your service record.

Military standards indicate that the evaluation writing process should begin at the petty officer second class level. Delegate the initial preparation of evaluations to the petty officer second class or one level above the person being evaluated. Have the next level in the chain of command review the evaluation.

You should use your counseling file to double check the evaluation. Make sure the marks given are realistic. Some discrete checking in your command will reveal the appropriate marking range for personnel. Do not be afraid to give 4.0 marks if they are called for and can be justified. Your job is to give an objective evaluation based on facts. Bullets for blocks 54, 55, and 56 of the evaluation should come from your counseling file, the subordinate's service record, and the division officer's record.

Providing evaluation comments for block 56 is a problem for most people. Give a brief description of the person and his or her job. The purpose of block 56 is to amplify information in blocks 27 through 43, 54, and 55. Use **bold**, underline, and CAPITALIZATION to make key words and phrases stand out. Refer to *The Navy Enlisted Performance Evaluation System*, NAV-MILPERSCOMINST 1616.1A, and the *Enlisted Evaluation Manual*, BUPERSINST 1616.9, for additional information.

### Reviewing Enlisted Evaluations

The leading petty officer (LPO) should submit to you the rough evaluation and a copy of the enlisted evaluation report-individual input form (NAVPERS 1616/21), or "brag sheet" as it is known. You should now prepare the evaluation.

Your role in the evaluation process is to compile the inputs and assure completion, correctness, and consistency among your different work centers. Use service records, your notes, counseling files, and brag sheets to ensure completion and accuracy of the evaluations.

Observe how each work center tends to mark the evaluations. Some evaluations may tend to be skewed higher or lower than the normal standard. Make corrections as appropriate.

You should now make sure that written remarks on the evaluation are in the proper format and void of grammatical errors. When you are happy with the way the evaluations read, then pass the rough evaluations to the division officer.



Any changes that are made to the evaluation by the chain of command above you should be discussed with the division officer. As always, stay informed!

## COMMUNICATION

The chief petty officer is often called upon to provide briefings, write messages, and prepare naval correspondence. You may at some point be asked to perform these functions also. This section should provide you with a knowledge base from which you can build your communication skills.

### THE MILITARY BRIEFING

An additional administrative duty you may have as a CPO is to prepare a briefing. The primary purpose of a briefing is to inform, but it also may have other purposes: first, to ensure the listener's understanding of a particular mission, operation, or concept; second, to enable the listener to perform a specific procedure; and third, to provide the listener with information on which to base decisions.

Often several people participate in a briefing. In a briefing for an operational plan, for instance, one group may cover the administrative, tactical, logistical, and operational phases; and another group may explain the mission. To enable the listeners to grasp all this information as a unit, each briefer must give only the essential information in as few words and as few minutes as completeness and clarity will permit.

In preparing to brief others, you must analyze a mass of data, choose the really significant facts, and organize them carefully. Your explanation should be simple, precise, and factual. Jokes and anecdotes rarely have a place in a briefing. The listeners are ready for a serious talk. They want to hear the vital information on a specific subject presented as clearly as possible. If you are able, however, you may occasionally use humor to help you make a point or clarify a problem. When you give a briefing, you are likely to face a captive audience. Analyze the rank and experience of the people you are to brief, and try to determine what your best approach will be. You cannot always say what your listeners want to hear, but you can try to speak in the manner they will most easily understand.

Another thing to consider, which is almost as important as the content, is the technical aspects of the presentation itself. Your visual aids should be as good as you can make them and, above all, they should be correct. Slides containing errors in spelling, grammar, and computations distract your audience and undermine your credibility. Speak clearly and distinctly to your audience. If you do all these things and have your briefing well organized, you will be successful.

### Organization of a Briefing

The special requirements of a briefing impose certain limitations upon the speaker. The traditional plan of organization, with an introduction, a body, and a conclusion, is adaptable to the clarity, accuracy, and brevity necessary in a good briefing.

**INTRODUCTION.** —Since your listeners need and want to know about your subject, you will not need time-consuming, attention-getting devices. If another speaker introduces you and your subject, you need only give a quick overview of the subject and proceed immediately to the main points. If you are not introduced, you might simply say, "Good morning. I'm Chief Petty Officer Jones; I'll be briefing you on \_\_\_\_\_."

**BODY.** —The information for the body of your briefing requires careful consideration from the standpoint of content as well as delivery. If possible, present only the facts. Your facts should be provable, and you should have the proof with you in case your listeners ask for it. Because you must be brief, you may have to omit many details from your talk. This can cause you to oversimplify a difficult subject. One way to avoid oversimplification is to prepare a folder of "documentation" for your listeners to refer to after you finish the briefing. In your opening remarks, tell them it is available. You gain in several ways from letting your listeners know at the outset that they will have access to complete information on your subject. First, your listeners are more apt to accept the validity of your information because they know they can check your evidence. Second, they are less likely to ask needless questions or to interrupt for other reasons. And third, they will go along with very simple visual aids because they know they can get more detailed information if they need it. Another way is to prepare "backup" slides that present detailed information on specific

issues. If questions are asked, you will be ready and will increase the confidence your audience has in you.

If certain facts are not available and you must make an assumption, identify the assumption, say that it is necessary, and continue. If your listeners wish to challenge the assumption, they can do so during the question-and-answer period, at which time you should be able to explain your rationale. Normally, you do not interpret the information in your briefing. Present the facts and let your listeners draw the conclusions. Such phrases as "In my opinion," "I think," and "I take this to mean" are generally signs that the briefer is going beyond the mere presentation of information and is interpreting the meaning of the information.

Emotional appeals have no place in a briefing. Your listeners will be justified in doubting your objectivity if your presentation is charged with emotion. This does not mean that your delivery should be dry and lifeless—rather, quite the contrary. Because you must present pertinent information and nothing more, you should strive for an animated and interesting delivery. Visual aids can help you show quickly and clearly many things that you would have trouble putting into words. One glance at a map would show your listeners more about air bases in Communist China than 15 minutes of words alone. Practice the briefing with your visual aids until you can use them smoothly. They should be an integral part of your presentation. If you do not practice your briefing, such simple acts as uncovering or recovering a chart can cause awkward breaks in a briefing.

**CONCLUSION.** —This part of a briefing should be short but positive. Summarize your main points if you feel it is necessary. Since a question-and-answer period usually follows a briefing, a good concluding sentence might be "Ladies and gentlemen, are there any questions?" If a question period is not to follow, you might simply say, "Ladies and gentlemen, this concludes my briefing."

Clear, logical organization of your material will help your listeners understand it. In organizing the introduction, body, and conclusion of the briefing, keep the purpose in mind. It can be to give your listeners an understanding of a certain mission, operation, or concept. Or it can be to enable them to perform a specific procedure. In

either case, organize your material to inform as you would for a speech. On the other hand, if the purpose is to provide your listeners with information on which to base decisions, a problem-solving plan to organization can be most effective.

When you prepare and deliver briefings, remember their basic function is to convey information more rapidly and effectively than would be possible by any other means. It takes practice to become an excellent briefer. Experience in other types of public speaking and in writing also helps. As a member of the Navy, you need to be adept at stating your ideas accurately, briefly, and clearly.

### **Procedures for Presenting a Briefing**

When you are giving a prepared briefing, your briefing needs to support four basic areas:

1. You should state the point clearly and concisely at the beginning of your briefing so that your audience knows what they are listening to and what they can expect from the rest of your briefing.

2. You must amplify the point you are trying to make or the area you are trying to cover.

3. You should support that point. You must bring the audience enough information to inform them or to help them make a decision, whatever the purpose of your presentation happens to be.

4. You must end your briefing appropriately. The conclusion should bring the briefing together in a concise manner, reviewing the topic but keeping it short.

### **REVIEWING NAVAL MESSAGES AND CORRESPONDENCE**

An ability to communicate in the written form will serve you well throughout your naval career. As you progress more and more people expect you to be able to communicate clearly and concisely. This section of the chapter will discuss some of the basic procedures to review messages and correspondence prepared by your subordinates.

Basically you will be reviewing for content, spelling, and punctuation. If your command is equipped with personal computers, your job will be much easier. Unclassified documents can be written and edited on the computer. You may use programs such as WordPerfect or Wordstar to write, edit, spell check, or substitute words using the thesaurus. Sentence structure can be checked using a program such as Rightwriter.

If your message or correspondence is classified, you should check the document manually. A good desk reference set is a must. As a minimum you should have:

- A standard desk dictionary and thesaurus
- *Hedge's Harbrace College Handbook or Chicago Style Manual*
- *Telecommunications Users Manual*, NTP 3(H)
- *U.S. Navy Plain Language Dictionary*, NTP 3, SUPP-1(K)
- *Department of the Navy Correspondence Manual*, SECNAV Instruction 5216.5C
- *Naval Terms Dictionary*

Ensure the message or correspondence is brief, simple, and clearly written. Elements of well-written messages or correspondence include the following:

- Introduction—state the purpose.
- Body—discuss the subject.
- Closing—present your conclusions or recommendations.
- Appendix or enclosures—include pertinent details (not always required).

Begin your review by making sure the document is in the correct format. Read the document for content. If you have questions about the accuracy of the information, ask the petty officer who wrote the document to clarify your questions. Check the document for mechanical defects. You do this by making sure each sentence starts with a capital letter, each sentence ends with the appropriate punctuation, and the appropriate words begin with capital letters. Make sure spelling is correct and redundant words or sentences are deleted.

### **SHIP'S ORGANIZATION AND REGULATIONS MANUAL (SORM)**

Your command's *Standard Organization and Regulations Manual (SORM)* is a command-specific version of the *Standard Organization and*

*Regulations of the U.S. Navy (SORN)*. The *SORM* should be arranged in the same manner as the *SORN* and contain detailed bills as they apply to your command. This section covers your responsibility to keep the *SORM* current and up-to-date.

### **PURPOSE**

The purpose for updating the *SORM* is to make sure you are operating your work center or division using the most up-to-date information and procedures available. The *SORM* should be updated at least annually to remain current. Reasons for the annual update include the following:

- Instructions have been issued, deleted, changed, or revised
- Equipment has been added, deleted, or changed

### **REVIEWING THE SORM**

You should review the *SORM* every time an event occurs that effects the normal operation of your work center or division. Review the section of the *SORM* relevant to the event to see if a change in the *SORM* is warranted. You are in the best position to determine if and how much changes in instructions or equipment affect the *SORM*. Do not rely on the commanding officer, executive officer, department head, or division officer to notice if the *SORM* needs to be updated. They do not have the time or the detailed knowledge that you do.

### **PREPARING AND SUBMITTING CHANGES TO THE SORM**

You have been doing your job and have not had an event that changes the normal operation of your work center during the last year. Do you need to review the *SORM*? Of course you do!

Review the areas of the *SORM* that affect your work center or division. Compare the listed references in each section to the latest copy of the command's master directives and issuance list. Your administrative office should have a 5215 master list that contains all instructions applicable to your ship.

Out-of-date references indicate a need to update the effected ship's bill or regulation. Read and compare the old ship's bill or regulation to the updated references and note the changes. Changes to equipment that affect ship's bills also need to be incorporated into the *SORM*.

Incorporate the changes into the ship's bill or regulation and update the references listed. You should now send the rough update and new references through the chain of command for approval.

### SUMMARY

This chapter began with a look at the budget process, preparation of the divisional budget, and types of budgeting. The budget process begins with the President and continues down the chain of command. Although the commanding officer is responsible for the ship's budget, you should play a major role in determining your division's requirements and submitting the requirements up the chain of command.

At the CPO level of management, you will find a need for a better understanding of the supply organization and its procedures. You may be assigned as a member of an ILO team or as a department custodian. In these positions, you must understand budget and quantity requirements, ordering procedures, stowage requirements, and custody records. You will also assist in the assignment of priorities used by your command. You will have to become familiar with the information contained in the OPTAR, COSAL, SNSL, ISL, CEIL, and casualty reports (CASREPs). Other procedures you will become familiar with may include inventory, investigation, and the survey of equipment. Your duties may include everything from initial budget requests to equipment handling or the final disposal of materials required to keep your ship at its top mission capability.

With the ever-increasing use of automatic data processing (ADP), the Navy has adapted many of its tedious and time-consuming tasks to automation. The two main systems you will most likely encounter are the Shipboard Nontactical ADP Program (SNAP I) and the Shipboard Nontactical ADP Program (SNAP II).

Counseling personnel is one of the most important jobs of the chief petty officer. You will counsel subordinate personnel on profession, personal, and performance matters. In addition, you will also provide guidance and review enlisted evaluations. You will also counsel your subordinates on their enlisted evaluations.

The ability to draft different types of official letters, messages, and reports is one of the many tasks demanded of a CPO. Each type of correspondence has its own set of standards. These standards are necessary in preparing correspondence that includes all of the information necessary to make it complete and understandable. These standards also assist the writer, as well as the reader, in ensuring that correspondence gets where it is intended to go. The standards also help the writer in preparing information that will be clearly understood. Proper format, identification, routing, and filing are all necessary elements of this system.

You should review your command *Standard Organization and Regulations Manual (SORM)* on a periodic basis to make sure it is current as it applies to your division. Anytime an event occurs that affects the operation of your division; an instruction changes; or equipment is added, removed, or changed, you should check the *SORM* to ensure it is still current.

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