



DEPARTMENT OF THE NAVY

NAVAL SEA SYSTEMS COMMAND
1333 ISAAC HULL AVE SE
WASHINGTON NAVY YARD DC 20376-0001

IN REPLY TO
NAVSEAINST 4700.17 CH-1
Ser 04X/151

2 AUG 04

NAVSEA INSTRUCTION 4700.17 CHANGE TRANSMITTAL 1

From: Commander, Naval Sea Systems Command

Subj: PREPARATION AND REVIEW OF TROUBLE REPORTS

Ref: (a) NAVSEA ltr 4700 Ser 04XQ/170 of 25 Nov 2002
(b) NAVSEA memo 4700 Ser 04X/067 of 11 Mar 2002

1. Purpose. To promulgate a change to the basic instruction, which incorporates Submarine Safety (SUBSAFE) Audit recommendations.

2. Action.

a. The following additions are provided to improve the distribution of both initial and final Trouble Reports. Add the following:

(1) To the end of the references in the instruction, reference (a) as reference (f), and reference (b) as reference (g).

(2) To the end of paragraph 4.b, "Reference (f) clarifies distribution for 24 hour initial notifications. Also notify the ship, fleet, and other involved activities. The Trouble Report global address lists contain standard distributions for Engineering Field Representatives, Waterfront Engineers, Quality Assurance Offices at Naval Shipyards and Supervisors of Shipbuilding, and Fleet Regional Maintenance Center Contract Administration Offices. The submarine Trouble Report global address list contains standard distribution for field and HQ SUBSAFE personnel. Additional distribution requests may be submitted to 04XQNavalMessagesNSSC@NAVSEA.NAVY.MIL."

(3) To the end of paragraph 4.f, "Reference (f) clarifies distribution for final reports. Also notify the applicable Fleet, Type Commander, and other involved activities. Reference (g) directs NAVSEA headquarters (HQ) and Program

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Executive Offices (PEOs) to determine if the identified problem(s) would be likely to occur elsewhere, and whether other potentially affected activities have been notified. Further notification shall be made by the HQ or PEO organization, which primarily funds, manages, and/or tasks the affected activity."

b. To the beginning of paragraph 5 of the instruction's enclosure (1), "Trouble Reports should not be initiated for issues that are formally documented and tracked by other NAVSEA HQ formal methods (e.g., NAVSEA SUBSAFE audits)."



S.M. BONWICH

Distribution:

Supervisors of Shipbuilding

Naval Shipyards

NAVSEA 03, 05, 06, 07

SNDL C84 COMNAVSEASYSKOM Shore Based Detachments

FKP COMNAVSEASYSKOM Shore Activities

Copy to:

NAVSEA Shipyard Representatives Office

NAVSEA Engineering Field Representatives

Naval Reactors Representatives Office

NAVSEA Special List Y2

SNDL AIJ ASN (RDA) and PDASN (RDA)

AIJIL PEO IWS

AIJ1M PEO LMW

AIJIN PEO SUB

AIJIP PEO SHIPS

AIJIQ PEO CARRIERS

A3 CNO (CNO, N4, N43, N7, N8)

21A Fleet Commanders in Chief

24A Naval Air Force Commanders

24D Naval Surface Force Commanders

24G Naval Submarine Force Commanders

FKA1 Naval System Commands (less FKA1G)

FT88 EDOSCOL

Copy to: (cont'd)

COMNAVAIRSYSCOM Shore Activities

COMNAVAIRSYSCOM Shore Based Detachments

COMSPAWARSYSCOM Shore Activities

COMSPAWARSYSCOM Shore Based Detachments

Defense Supply Center Philadelphia

SEA 10, 04B, 04X, 04XQ, 07, 08



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1333 ISAAC HULL AVE SE
WASHINGTON NAVY YARD DC 20376-0001

IN REPLY TO

NAVSEAINST 4700.17
Ser 04X/019
11 Mar 2002

NAVSEA INSTRUCTION 4700.17

From: Commander, Naval Sea Systems Command

Subj: PREPARATION AND REVIEW OF TROUBLE REPORTS

- Ref: (a) NAVSEA TL855-AA-STD-010, Naval Shipyard Quality Program Manual
(b) NAVSEA 0905-485-6010, Manual For The Control of Testing and Ship Conditions
(c) NAVSEA 0924-062-0010, SUBSAFE Program Requirements Manual
(d) NAVSEA ltr SEA 04XQ/00-018 dated 28 Feb 2001
(e) NAVSEAINST 9210.4, Changes, Repair & Maintenance to Nuclear Powered Ships

Encl: (1) Trouble Report Guidelines

1. Purpose. To provide consolidated requirements for the preparation and review of trouble reports that identify significant problems encountered in the construction, repair, and maintenance of Naval ships.

2. Scope. This instruction applies to work performed by shipyards and repair activities, excluding naval nuclear work. This instruction also applies to NAVSEA Shipyard Representatives, NAVSEA Engineering Field Representatives, and to Supervisors of Shipbuilding (SUPSHIPS).

3. Background. The Trouble Report is the vehicle for reporting significant problems to NAVSEA and other activities involved in the construction, repair and maintenance of Naval ships for use in training and improving the weaknesses identified as a result of the problems. Reference (a) requires naval shipyards to maintain a system to identify and correct discrepancies and to prepare and submit trouble reports documenting significant problems. References (b) and (c) require all shipyards to prepare trouble reports identifying significant problems affecting submarine safety and requires NAVSEA evaluate these reports to determine SUBSAFE program improvements. Reference (d) requested SUPSHIPS to report significant safety or quality issues

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for private sector ship construction and repair using the Trouble Report process outlined in reference (a).

4. Policy.

a. Trouble Reports. Trouble reports shall be prepared by naval shipyards and SUPSHIPS. Private shipyards shall prepare trouble reports when required by contract. Trouble reports shall be prepared for all significant problems encountered in the construction, repair, and maintenance of Naval ships. Significant problems are those that affect ship safety, cause significant damage to the ship or its equipment, delay ship deployment or incur substantial cost increase, or involve severe personnel injury. Systemic problems and issues that constitute significant lessons learned for other activities should also be identified by trouble reports. Detailed examples of significant problems requiring preparation of trouble reports are contained in references (a), (b), (c) and enclosure (1).

b. Initial Notification. Initial notification of significant problems should be made to NAVSEA 04, the NAVSEA organization(s) cognizant of the problem(s) and the local NAVSEA field representatives (i.e., NAVSEA Engineering Field Representative, SUPSHIP, or NAVSEA Shipyard Representative) within 24 hours of occurrence or identification. Electronic submission is preferred for unclassified reports. When submitting electronically, addressees shall ensure that the electronic means utilized is commensurate with the classification level and the required disclosure controls (e.g., NOFORN, FOUO) of the report.

c. Problem Description and Evaluation. Trouble reports shall clearly describe what happened, evaluate the problem, identify the root cause(s) and indicate the corrective action(s) taken. Specific requirements concerning the content for trouble reports are contained in enclosure (1).

d. Approval and Signature. Naval shipyard trouble reports shall be reviewed and signed by the Shipyard Commander, senior operations manager, or Chief Engineer. Trouble reports prepared by private shipyards shall be reviewed and signed by the senior operations manager or senior engineering manager. Reports prepared by the SUPSHIP shall be signed by the Supervisor or his designated representative.

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e. NAVSEA Field Representative Review. SUPSHIPS, NAVSEA Shipyard Representatives (NSRO), and NAVSEA Engineering Field Representatives should attend critiques of significant problems and review shipyard prepared trouble reports.

f. Distribution. Naval shipyard trouble reports shall be submitted within 10 working days of identification. Contractor and SUSPSHIP prepared trouble reports shall be submitted within 30 days of identification. Trouble reports shall be distributed to naval shipyards and SUPSHIPS and to the cognizant NAVSEA Shipyard Representative (NSRO), or NAVSEA Engineering Field Representative. Copies of trouble reports involving nuclear propulsion plant systems as defined in reference (e) shall also be provided to the local Naval Reactors Representative for their information or action, as appropriate. A copy of the trouble report should be provided to the ship involved.

g. Implementing Instructions. Activities shall prepare an instruction or other local document describing the procedure and responsibilities for preparing, handling and evaluating trouble reports. This procedure should include a definition of significant problems requiring trouble report preparation in accordance with paragraph 5.1 of enclosure (1), methods for obtaining pertinent facts and performing critiques, responsibilities for identification of root causes and corrective actions, and means to track all required actions.

5. Implementation.

a. Addressees shall incorporate the requirements of this instruction into the activities' process for investigating and correcting problems.

b. SUPSHIP should report significant problems with private sector ship construction and repair work as outlined in this instruction. If a contractor is currently required to prepare trouble reports, the SUPSHIP should forward such reports with appropriate comments.

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- c. NAVSEA will maintain a process for reviewing trouble reports, and ensuring proper follow-up actions are identified and completed.



G. P. NANOS, JR

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Naval Shipyards
NAVSEA 05, 91, 92
SNDL C84 COMNAVSEASYSKOM Shore Based Detachments
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SNDL AIJ ASN (RDA) and PDASN (RDA)
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AIJIL PEO TSC
AIJIN PEO MUW
AIJIN PEO SUB
AIJIP PEO EXW
AIJIQ PEO CARRIERS
A3 CNO (CNO, N4, N43, N7, N8, AND N09B only)
21A Fleet Commanders in Chief
24A Naval Air Force Commanders
24D Naval Surface Force Commanders
24G Naval Submarine Force Commanders
FKA1 Naval System Commands (less FKA1G)
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Trouble Report Guidelines:

1. Trouble Reports (TRs) provide detailed information on causes of significant and/or systemic problems encountered during ship construction, repair and maintenance. In addition, TRs serve as a vehicle to:

- a. Establish a record of significant problems and the corrective and preventive action taken.
- b. Inform activities of failure of equipment or procedures.
- c. Inform naval activities and NAVSEA so that necessary action may be taken to prevent recurrence of problems.

2. TRs shall clearly describe what happened, identify and evaluate each problem, and indicate root cause(s) and short and long term corrective actions taken. TRs shall be written in sufficient detail that persons not familiar with the problem can read and understand the report. TRs shall identify who is responsible for accomplishing corrective actions (e.g., Shop, Code, Activity, etc.) and corrective action completion dates. Where a root cause requires action by NAVSEA, such as deficient equipment or system designs, or inadequate specifications, standards or procedures, the need for NAVSEA action shall be made clear in the TR. Where appropriate, actions to follow-up and determine the effectiveness of corrective actions should also be noted. Where one of the causes of the problem is traceable to improper action by an individual(s), the individual should be referred to by job title, not by name. The specifics of corrective actions regarding disciplinary actions should not be included in TRs. The trouble report should identify similar problems or problem trends that occurred at the activity. The trouble report should also identify what other activities could potentially have similar problems and are being notified of such by receipt of a copy of the trouble report.

3. Figure 1 provides the format for preparation of TRs. All TRs shall contain all information as it is shown in Figure 1 at a minimum.

4. Activities shall have a procedure for preparing TRs for local problems, and for handling TRs for problems that have occurred elsewhere. The procedure shall include the requirements of this section and a follow-up system to ensure that:

Enclosure (1)

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- a. Each local TR is promptly processed and corrective action is completed.
 - b. Each TR from another activity is reviewed for local applicability and corrective action taken when considered necessary.
 - c. Local TRs and those from other activities that cause major process change or warrant special training are addressed in local implementing instructions and the training program where necessary.
 - d. Corrective actions are evaluated for effectiveness.
5. TRs shall be initiated when the following conditions occur:
- a. Significant situations that affect the safety of ships. Problems involving severe personnel injury or significant damage to ship equipment or systems or shipyard facilities. NAVSEA 0905-485-6010 provides additional, more specific criteria for generating TRs for submarines.
 - b. Non-compliant work or technical direction resulting in incorrect material installed in SUBSAFE, Level I, Steam and Electric Plant, and propulsion plant boundary. Work not completed but certified complete.
 - c. Conduct of work within SUBSAFE boundary without required authorization or Re-entry Control.
 - d. Failure to accomplish mandatory SUBSAFE, Level I, Steam and Electric Plant, propulsion plant work or inspections.
 - e. Failure to accomplish mandatory technical review (e.g. SUBSAFE Design Review), or to obtain proper approval/authorization for a configuration change within SUBSAFE, Level I, Steam and Electric Plant, and propulsion plant boundaries.
 - f. Significant fastener problems (e.g., loose fasteners installed in SUBSAFE, Level I, Steam and Electric Plant and propulsion plant joints).
 - g. Systemic material control problems.
 - h. Any significant or systemic problems as determined by senior management that warrant an investigation via TR.

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- i. As directed by SUPSHIP, NAVSEA Shipyard Representative, NAVSEA Engineering Field Representative or NAVSEA headquarters.

6. Within 10 working days (30 days for Contractor or SUPSHIPS prepared reports) after the significant problem is discovered, a trouble report should be prepared addressing all the information shown in Figure 1.

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TROUBLE REPORT

NAME OF SHIPYARD _____ DATE OF ISSUE _____
REPORT NO _____ DATE OF EVENT _____
SHIP (NAME AND HULL NO.) _____ TIME OF EVENT _____

SUBSAFE _____ (if applicable) NNPP _____ (if applicable)

1. SUMMARY OF EVENT:

(Provide a brief summary of the event.)

2. DESCRIPTION OF PROBLEM(S), GENERAL DESIGNATION AND DISCUSSION OF APPARENT/ROOT CAUSE(S):

DESIGN _____ MATERIAL _____ PERSONNEL _____ PROCEDURE _____

A. DESCRIPTION OF EACH PROBLEM:

(Provide a description of each problem in sufficient detail that persons not familiar with the actual problem can read this report and understand what happened and its significance.)

B. DISCUSSION OF APPARENT/ROOT CAUSE(S):

(Provide detailed information that resulted from the investigation as to the apparent/root cause(s) of each problem.)

3. CONDITION OF SHIP AND SYSTEM/COMPONENT AT TIME OF EVENT:

A. CONDITION OF SHIP:

(e.g., Dry Docked or Waterborne, etc.)

B. CONDITION OF SYSTEM/COMPONENT:

(e.g., Tagged-out, Under Test, Operational, Energized)

4. IMMEDIATE CORRECTIVE ACTION(S) TAKEN AND RESULTS:

(Self Explanatory.)

5. PREVENTIVE CORRECTIVE ACTION(S):

(Self Explanatory.)

Figure 1 Sample Trouble Report Format

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6. AREAS OF, AND RESPONSIBILITY FOR, FURTHER EVALUATION:
(Self Explanatory.)
7. SIMILAR TROUBLE REPORTS (BY REPORT NO.):
(Self Explanatory.)
8. ORIGINATED BY:
Self Explanatory.)
9. CONCURRENCES:
(Cognizant Shipyard Activities or Ship's Force, where applicable; Chief Engineer and Quality Assurance Director.)
10. APPROVED BY:
(Naval shipyard trouble reports shall be reviewed and signed by the Shipyard Commander, senior operations manager, or Chief Engineer. Trouble reports prepared by private shipyards shall be reviewed and signed by the senior operations manager or senior engineering manager. Reports prepared by the Supervisor of Shipbuilding shall be signed by the Supervisor or his designated representative.)