



# DEPARTMENT OF THE NAVY

NAVAL SEA SYSTEMS COMMAND

WASHINGTON, D.C. 20362

IN REPLY REFER TO

NAVSEAINST 4121.3

55Z/VRB

Ser 22

1 April 1983

## NAVSEA INSTRUCTION 4121.3

From: Commander, Naval Sea Systems Command  
To: All Offices Reporting Directly to COMNAVSEA

Subj: Functions, organization and operating procedures for  
the NAVSEA Specifications Control Board

Encl: (1) NAVSEA Specifications Control Board - Functions and  
Organization  
(2) NAVSEA Specifications Control Board - Operating  
Procedures

### 1. Purpose

- a. To promulgate NAVSEA policy for issuing specifications.
- b. To describe the need for the NAVSEA Specifications Control Board to assure compliance with Specification issue policy.
- c. To describe the functions and organization of the Board.
- d. To promulgate operating procedures for the Board.

2. Scope The NAVSEA Specifications Control Board is responsible for reviewing specifications issued or invoked by NAVSEA headquarters. The term "specifications" as used herein applies to the initial issue and every change to documents such as: federal and military specifications, standards, and handbooks; DOD acceptance notices for industry documents; Commercial Item Descriptions; NAVSEA standard and type drawings; General Specifications for Ships of the U.S. Navy; Naval Ships' Technical Manual (major revisions only), and NAVSEA Design Data Sheets. (See enclosure (1) for a more comprehensive listing and for a separate listing of certain documents not normally reviewed by the board.)

### 3. Background

a. The original NAVSHIPS Specifications Control Board was established by NAVSHIPSINST 4121.8 of 17 July 1969 to assure compliance with specification control procedures and policy affecting specifications. In April 1979, the scope of the Board was extended to cover specifications related to ordnance and weapons, as well as ship related specifications.

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b. Advances in technology, increased effectiveness, and many other factors have been advanced as reasons for changing existing specifications or for issuing new ones. Frequently, in attempting to satisfy the needs of an immediate problem with a specification change, an objective assessment of the impact of the change on all phases of current and future acquisitions, or training facilities has not been made. Often the specification change has been issued with little or no implementation guidance. The Specifications Control Board functions to make certain that proper assessment of new or changed specifications is made and that implementation guidance is provided when needed.

4. Action

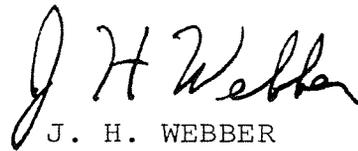
a. Specifications shall be submitted to the Specifications Control Board for a final review prior to issue. The policies and procedures in enclosures (1) and (2) shall be followed for each submittal.

b. Completed Specifications Control Board forms shall be forwarded, with each document, to SEA 55Z for processing. This will provide reviewers with a clear understanding of the changes made and the justification for each change.

5. Exception This instruction does not apply to specifications prepared under the cognizance of the Deputy Commander for Nuclear Propulsion, or to other specifications specifically identified in enclosure (1).

6. Forms Forms NAVSEA 4121/11A and 4121/11B may be obtained from the NAVSEA Self Service Storeroom (Forms), NC-3, Room 3E42 or SEA 55Z, NC-4, Room 430.

Copy to: (2 copies each unless shown)  
SNDL C37F3 (NAVMATDATASYSGRU)  
FF8 (PRESINSURV)  
FKA1 COMNAVSYSKOM (less FKA1G)  
FKP7 (NAVSHIPYD)  
FKP8 (SUPSHIP)  
FT88 EDOSCOL

  
J. H. WEBBER  
Vice Commander

NAVSEA Special List Y4  
SEA 55Z (25)  
SEA 09B354 (300)  
SEA 09B342 (2)

NAVSEA Specifications Control Board - Functions and Organization

1. Policy. Every specification will be issued (or changed) only on the basis of a thorough engineering analysis which considers the total impact. The supporting analysis will be reviewed and evaluated by the Board, whose members collectively are competent to appraise its validity. The Board will review each document from an engineering management standpoint. Particular emphasis will be placed upon the following:

a. Cost effectiveness. Each new or changed specification shall result in an equipment or system that performs the required functions at the lowest practicable cost. Life cycle cost shall be considered in each case. Savings from reduced manpower and logistic support requirements, greater reliability and performance, and similar aspects shall be considered, as well as the impact on safety.

b. Extent of applicability. Each proposal for a new specification or for a change to a specification shall be examined critically as to applicability; for example: all ships, future ships, ships being constructed or converted, overhauls, items in the supply system, and the like.

c. Superseding of specifications. A required item or process shall not be superseded or otherwise allowed to disappear simply because of a new specification issue, but only because the newer item or process is more cost effective or reliable, or when the superseded item has become obsolete.

d. Specification tree. References in any particular specification to other documents shall be minimized. A reference shall be cited only after consideration of its specific applicability, which shall be stated. The whole of a reference document shall not be made applicable by reference, unless all of its provisions are required. Industry standards which meet Navy requirements shall be used, in lieu of Military or Federal Specifications.

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e. Standardization. Standardization and the impact on the supply system and fleet training shall be considered during the development of new specifications and changes to existing specifications.

f. Impact. The impact of changes on other specifications must be resolved and necessary changes initiated.

g. Maintenance. The impact on maintenance and maintenance philosophy shall be identified and resolved.

## 2. Requirements

a. The Board shall review the NAVSEA headquarters-issued or headquarters-invoked technical requirements documents listed below. The term "specifications" as used herein refers to the initial issue and every subsequent change thereto (regardless of whether designated as a change, a revision, an amendment, a cancellation or any other type of terminal action, a modification, or similar term) of all such documents, including but not necessarily limited to the following:

(1) DOD standardization documents (such as DOD acceptance notices for industry documents, Commercial Item Descriptions and Federal and Military specifications, standards, and handbooks).

(2) Headquarters specifications similar to DOD standardization documents; such as one-time-procurement contract (SHIPS) specifications and Naval Ship Systems Engineering Station Detachment (NAVSSSES DET) (PESO) specifications for shipboard industrial equipment.

(3) NAVSEA documents such as: NAVSEA/NAVSHIPS standard and type drawings, NAVSEA/NAVORD drawings which are referenced in military specifications, the Naval Ships' Technical Manual (except Advanced Change Notices), and Design Data Sheets,

(4) Generic documents which form the basis for ship specifications, circulars of requirements, and similar documents used for whole-ship acquisitions, conversions, and modernizations (such as the General Specifications for Ships).

(5) Directives issued to implement any of the above documents, or issued in lieu of such documents.

b. The Board shall not normally review any of the following:

(1) Specifications prepared under the cognizance of the Deputy Commander for Nuclear Propulsion.

(2) Combat system specifications, ship system specifications (i.e., top level requirements), ship specifications, and similar whole-ship documents, General Overhaul Specifications for Deep Diving Submarines, General Specifications for Overhaul of Surface Ships, SHIPALTs, MACHALTs, ORDALTs, and changes to such documents that are concerned only with a single type of ship, equipment, or combat system unless specifically referred to the Board by the cognizant SHAPM/SLD or program manager.

(3) Specifications developed or used by NAVSSES DET. PESO for acquisition of industrial equipment solely for shore activities.

(4) Ship construction drawings, vendors' drawings, purchase statements, system or equipment technical manuals, and similar documents prepared in response to a headquarters-issued technical requirements document.

(5) Development work statements or purchase descriptions issued for the procurement of feasibility demonstration hardware (i.e., not intended for permanent installation aboard ships).

(6) Headquarters-issued letters and similar one-time correspondence relating to a specific item or acquisition..

(7) Repair standards and similar work statement prepared or issued by naval shipyards, PERA's, and similar local activities.

c. The Board shall consist of the following:

(1) Full members:

(a) Chairperson, Director, Specifications and Standards Sub-group (SEA 55Z).

(b) One representative and an alternate from each of the following NAVSEA areas, appointed by the appropriate Director: SEA 05M, 55, 55X2 (Safety), 56, 61, 62, 63, 91 and 92. The SEA 55 member is designated Vice Chairperson and shall act as Chairperson in the absence of the Chairperson.

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(2) On-call members:

(a) One representative available on call, from each of the following NAVSEA areas, appointed by the appropriate Executive Director or equivalent: SEA 00L, 02, 55Z3, 07, 08, 90. Each Directorate shall designate one or more alternates.

(b) Attendance by on-call members is mandatory when the agenda lists cases in their area of cognizance or the Chairperson requests that they be present. Attendance at all other meetings by on-call members is optional.

d. The organizational element responsible for the technical content of each specification shall assure that the specification is submitted to the Board for review except as specified below. Before submittal the specification shall be examined to assure that the specification is necessary; is technically adequate and accurate; has been properly coordinated; and has considered all areas of impact, especially as indicated in the foregoing policy statements.

(1) Minor modifications of DOD standardization documents for which NAVSEA is preparing activity and which do not have a broad impact will not be referred to the Board if recommended by SEA 55Z3 or by NAVORDSTA, Indian Head (NOS, I.H. Code 524), and by the cognizant Board member.

(2) DOD Standardization documents for which NAVSEA is not the preparing activity, but has an interest in the document, shall be referred to the Board when recommended by SEA 55Z3, NOS, I.H., or the cognizant technical organizational element.

(3) Information relative to the above documents, which is reviewed and recommended for approval in lieu of formal Board action, shall be furnished to the Board by SEA 55Z3 or NOS, I.H., as applicable.

e. The Board shall review each proposed specification submittal to assure that, from an engineering management viewpoint, it should be issued; and to assure that appropriate information is made available to support its implementation.

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f. The Board shall assure identification of the specification issuances which may significantly change costs of specific ship construction, combat systems acquisitions, and SHIPALT, MACALT or ORDALT projects and will advise the cognizant SHAPM/SLD.

g. The Board shall provide information on its activities by:

(1) The internal NAVSEA distribution of a summary after each meeting.

(2) The wide dissemination of a quarterly summary of items recommended for issue.

(3) Such Special summaries and studies as required by management.

h. The operating procedures of the Board shall be as specified in enclosure (2).

NAVSEA Specifications Control Board - Operating Procedures

1. General Procedures

a. The Board shall meet weekly each Wednesday morning. Should the case load require additional meetings, they will be scheduled as necessary. In the event of holidays or lack of cases, the weekly meeting may be cancelled by the Chairperson.

b. An agenda for each meeting will be distributed to all members in sufficient time to allow adequate review. Generally, the agenda of cases to be discussed at the next Board meeting, together with supporting documentation, will be distributed by SEA 55Z eight working days before the meeting.

c. In an emergency, action may be taken by the Chairperson (or the Vice Chairperson in the absence of the Chairperson) calling upon other members or persons as considered necessary. The action shall subsequently be presented to the Board for ratification.

d. In the event that higher authority directs the issuance of a specification before approval by the Board, the specification shall be submitted to the Board as soon as possible thereafter, and a change or amendment prepared if required.

2. Submittal of Items

a. All items submitted to the Board for review shall be accompanied by completed submittal forms NAVSEA 4121/11A and B. For documents affecting nuclear propulsion plants, the supplemental page to form 4121/11A shall also be submitted. Special emphasis shall be given to filling in the items related to brief description, justification for initiation, and other items included in the policy statements of enclosure (1), in order to permit ready identification and evaluation of each change. In case of resubmittals, the forms shall be updated as necessary. Paragraph 4 includes a description of submittal forms.

b. When changes to an existing document are numerous, a list of technical changes, together with justifications shall be submitted with the document. For new documents the basis for preparing the document shall be stated. If the basis was a document being superseded, the differences from that document with justifications shall be stated.

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c. For revised documents, changes shall be highlighted in the document, unless the document is a complete rewrite. These indications may be removed after the review cycle if they are so extensive as to be confusing or misleading.

d. Each item shall be channeled through the cognizant Board member for preliminary screening. Where there is no cognizant member, the item shall be submitted directly to the Chairperson. The Chairperson may assign important items to an independent engineer (or group of engineers) for an impartial appraisal of the item and its potential impact.

e. In general, agenda cases shall be examined by each Board member to determine: interface effects; items of general applicability (e.g., trans-SHAPM or trans-SLD applicability); items of special interest (e.g., submarines or aircraft carriers); and, items which do not have sufficient technical documentation or have not had proper distribution for review and comment. If an item has not undergone sufficient coordination, Board members may request that such cases be withdrawn from the agenda pending resolution of the designated problem areas.

f. A Board member, at his discretion, may forward the agenda, a management abstract prepared by the member, and a complete copy of all supporting technical documentation to interested or affected organizations with a request that they provide comments on those cases which impact their programs. The primary purpose of such action is to alert cognizant organizations of potential changes and to invite their review and comment.

g. In general, the discussion on an item shall be led by the Board member representing the area having technical cognizance; however, such member may invite additional personnel support at his or her discretion.

h. For items expected to have an extensive technical or financial impact, the originating organizational element shall prepare a NAVSEA notice advising appropriate activities of the availability of the issuance and providing direction or guidance for its implementation.

3. Board Action

a. Recommended. Where a majority of the Board members present vote acceptance, the item shall be recommended for issue.

b. Recommended, subject to change. Where an item is recommended, subject to specified changes, the changes shall be cleared with the cognizant Board member after completion of the actions.

c. Not recommended. Where a majority of the Board members present does not vote acceptance, the item shall be considered as "not recommended for issue." Unless there is an obvious, significant impact on current or future acquisitions, non-recommendation of any particular item shall not be made contingent on peripheral items which are not part of the item under consideration. Valid peripheral items shall be processed separately by the Board member cognizant in that area. The originating office may appeal a "not recommended" decision by the submittal of revised or additional information to the Board; if again not accepted, the originator may appeal to SEA 05.

d. Deferred. The Board may defer consideration of a submittal due to the need for additional information before a decision can be made. For example, a Platform Directorate member, acting on behalf of a SHAPM or SLD, may request deferred consideration of a submittal for a period of 30 days as necessary to obtain appropriate estimates of the cost of implementation.

4. Submittal Forms

a. To assure responsiveness to stated policy, submittals to the Board shall be accompanied by the following properly completed and signed forms:

NAVSEA 4121/11A - NAVSEA Specifications Control Board  
Submittal

NAVSEA 4121/11B - NAVSEA Specifications Control Board  
Submittal Safety Information Form

b. When a document affects nuclear propulsion plants, form NAVSEA 4121/11A Supplemental sheet titled "For Documents Affecting Nuclear Propulsion Plants", shall be completed.

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5. Submittal Procedures

a. After coordination with all interested areas and resolution of comments, specifications, accompanied by signed submittal forms and drafts of implementing notice and any other affected documents, shall be forwarded to the cognizant Board member by and in the form shown below for submittal to the Board. After Board review, the items, together with Board recommendations, will be returned as indicated for final processing:

<u>Item</u>	<u>Submitted by</u>	<u>Form</u>	<u>Board will return to</u>	<u>Remarks</u>
DOD Stdzn. Documents	SEA 55Z3 or NOS I.H. 524 as applicable	Final Draft	SEA 55Z3	Item submitted by NOS/I.H. will be returned to that activity by SEA 55Z3 for necessary action.
NAVSEA/ NAVSHIPS Standard and Type Drawings; similar NAVSEA/ NAVORD drawings	Originator	Original of new drawings or marked-up print of proposed draw- ing revision	Originator	Originator will advise cognizant Board member relative to resolution of Board recommendations and final action.
Naval Ships' Technical Manual; Technical Directives	Originator	Final Draft	Originator	Same as above for S/T drawings
Gen. Specs. for Ships; Design Data Sheets	55Z1	Final Draft	SEA 55Z1	SEA 55Z1 will return to originator for further action, if required.

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<u>Item</u>	<u>Submitted by</u>	<u>Form</u>	<u>Board will return to</u>	<u>Remarks</u>
Whole-ship documents, SHIPALT/MACHALTS ORDALTS, and changes to such documents referred to Board by cognizant SHAPM/SLD on case basis	Originator	Final Draft	Originator	Same as above for S/T drawings

b. Items not recommended or withdrawn, will be returned as stated above, except that upon completion of corrective action, they shall be resubmitted to the cognizant Board member for resubmittal to the Board for review.