



DEPARTMENT OF THE NAVY

NAVAL SEA SYSTEMS COMMAND
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WASHINGTON NAVY YARD DC 20376-0001

IN REPLY TO

NAVSEAINST 5400.57D
Ser 05BX/002
3 FEB 2003

NAVSEA INSTRUCTION 5400.57D

From: Commander, Naval Sea Systems Command

Subj: ENGINEERING AGENT SELECTION, ASSIGNMENT, RESPONSIBILITY,
TASKING AND APPRAISAL

Ref: (a) NAVSEAINST 5400.97A, Engineering and Technical
Authority Policy, of 3 Feb 2003

Encl: (1) Typical Engineering Agent Assigning Documents

1. Purpose. To establish policy for the selection, assignment, responsibility, tasking and appraisal of engineering agents that supports technical and programmatic authorities in providing best value engineering and technical products to the Fleet. This instruction is a major revision and should be read in its entirety.

2. Cancellation. NAVSEAINST 5400.57C of 1 May 2002.

3. Scope and Applicability. This instruction applies to engineering, technical work and responsibilities performed by engineering agents within the scope and applicability of reference (a), and to the NAVSEA organizational elements that assign those functions.

4. Definitions

a. Engineering Agent Selection. Engineering agent selection is the process of identifying the best activity to assume technical responsibilities and perform required services in a specific technical area.

b. Engineering Agent Assignment. Engineering agent assignment is the formal definition of specific organizations, functions, technical requirements, applicable specifications and standards, responsibilities, and accountability, through an assigning document.

c. Engineering Agent Tasking. Engineering agent tasking is the process used by Program Managers (PMs), the Fleet and other customers to define specific work elements and transfer necessary funding for accomplishment.

5. Discussion. An engineering agent is an organization with responsibilities delegated by an assigning document and tasking statements for expressed functions within their assigned technical area, system or mission. Engineering agents provide technical services to Technical Warrant Holders and the PM and Fleet customers being supported. As the Navy's experts in that technical area, the Technical Warrant Holder and associated engineering agents apply their expertise to such services as analysis, development of technical alternatives, end to end and total system performance assessment, consultation, investigation, research, development, test and evaluation, risk assessment and mitigation, planning, design and certification of systems or equipment, construction, production or integration, and in-service support. Engineering agents sustain NAVSEA technical core equities in their respective technical areas.

6. Policy

a. Selection. Engineering agents shall be selected with consideration of both current program requirements (e.g. capability, affordability and performance) and Navy-wide engineering requirements with particular regard to sustaining NAVSEA technical core equities. Application of a broad perspective in engineering agent selection will facilitate large-scale subsystem integration capability across multiple platforms and systems through the entire life cycle. Engineering agent selection should facilitate maintaining long term technical competence and provide for continued capability within the Navy to perform independent technical assessment and certification of engineering and technical products. Selection should also facilitate long-term support of essential specialized experimental and analytical facilities, reducing the costs of these facilities to all Navy users.

b. Assignment. Engineering agent assignment shall result from agreement in the assigning document among the primary PEO and PMs supported, appropriate Technical Warrant Holders, the engineering agent's operational/administrative Chain of Command and other stakeholders as needed. Engineering agent assignment shall recognize roles, responsibilities, charters, missions, and the statutory limitations imposed on appropriated funding and working capital fund operations. The Technical Authority Board

will maintain a document that describes the titles, roles and functions of typical types of engineering agents.

c. Technical Responsibilities and the Assigning Document. Assignment of responsibilities to engineering agents shall be documented via MOA, contract statement of work, or other suitable means. Assigning documents can be developed using the format contained in enclosure (1) along with additional details as required to support the specific engineering agent assignment.

d. Tasking. Engineering agent tasking shall be in accordance with current program requirements, organizational relationships, and established funding processes. Navy activities tasked as engineering agents which work directly with or for commercial contractors (as on integrated product teams), shall ensure that the Navy maintains an independent assessment capability to certify that the contractor's work meets technical requirements.

e. Appraisal. Formal appraisals of engineering agent performance shall be conducted by the signatories to the assigning document, as necessary. The purpose is to ensure compliance with applicable policy and standards and to identify opportunities for product and process improvement. Findings and recommendations shall be documented and tracked through completion of required follow-up actions.

7. Action. Within 6 months of the date of this instruction, all engineering agent assigning documents shall be reviewed, revised as necessary, or established, to be consistent with this instruction. Copies of assigning documents shall be provided to SEA 05. SEA 00I and SEA 05 will ensure they are available to the NAVSEA and Fleet community on a web page or equivalent.


P. M. Balisle

NAVSEAINST 5400.57D

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TYPICAL ENGINEERING AGENT ASSIGNING DOCUMENTS

1. Purpose. Briefly identify the following:
 - a. The engineering agent role (or roles) being assigned (e.g. Life Cycle Engineering Manager (LCEM), In-Service Engineering Agent (ISEA), Planning Yard).
 - b. The specific technical area (e.g. ship, system, subsystem, or equipment) that is applicable to the assignment.
 - c. The activity, organizational code, and engineering manager within the activity responsible for the engineering agent.
2. Background. Provide justification for the selection of the engineering agent. Reference their charter, defined core equities or other existing MOAs, and their current engineering agent reporting relationship to the assigning activity(ies) as necessary.
3. Scope. Define the scope of the engineering agent.
 - a. State the engineering agent functional responsibilities that are being assigned.
 - b. Identify the boundaries of the ship, system, subsystem, and equipment for which technical duties and responsibilities are delegated to prevent conflicts with the responsibilities of other activities.
 - c. Define any relevant exclusions or limitations such as nuclear propulsion plant systems under the cognizance of SEA 08 or strategic weapons systems under the cognizance of the Strategic Systems Program Office (SSP). Specifically note any cases where portions of LCEM authority are being delegated to an engineering agent without including the authority to approve or modify design configurations of the systems or components involved.
 - d. Identify any relevant special interest programs. (e.g. SUBSAFE, Weapons Systems Explosive Safety Review Board (WSESRB))
4. Agreement. Identify the terms to be followed by parties to the agreement. Major issues that should be addressed are as follows:

a. Duties and Responsibilities. Identify the typical tasks that will be performed. These may be placed in an enclosure if the list is extensive.

b. Core Documentation. Identify the applicable core technical documentation and program documentation to be used in the performance of the engineering agent's assigned functions. The level of detail shall be adequate to support performance of the assigned duties and responsibilities.

c. Extent of Technical Responsibilities. Identify the extent and limits of technical responsibilities being delegated. The following items should be considered:

(1) Responsibility to apply the core technical and program documentation specified in the performance of assigned functions.

(2) Technical limits that may not be exceeded when applying core technical and program documentation for the performance of assigned functions (such as that inherent in the functions listed in the MOA).

(3) Define any sensitive elements of technical content or critical aspects or thresholds associated with selected engineering issues that are reserved for disposition directly or solely by the Technical Warrant Holder.

(4) Core technical documentation change approval authority and notification requirements.

(5) Restrictions on further delegation of technical responsibilities.

(6) Correspondence or technical product release restrictions imposed by this MOA or applicable per other NAVSEA or PEO instructions and agreements.

d. Technical Authority. Define the engineering agent's line of technical authority, as delegated by the cognizant Deputy Commander(s) to the Technical Warrant Holder(s). Identify the engineering manager responsible for leading the engineering agent function.

e. Interfacing Organizations. Where necessary, identify interfacing organizational relationships and responsibilities in the performance of the engineering agent's assigned tasks. Include requirements for obtaining approvals or concurrence from interfacing organizations when applicable.

f. Reports. Identify data, information, or reports, including format and schedule, to be provided by the engineering agent. This should include business and technical data to keep the assigning activity(ies) aware of current trends and problems.

g. Records. Identify record keeping requirements (e.g. format, retention period and disposal method) for work performed by the engineering agent.

h. Funding. Describe typical processes for requesting and providing funding to the engineering agent for performing the functions assigned.

i. Review and Update. Include the following statement to assure assigning documents remain current and relevant, "This document will be reviewed and updated as required to correct findings and invoke process improvements." Include additional procedures for changes and the process to resolve disagreements as required.

5. Action. This section shall contain specific action statements required for each signing organization to implement the assigning document.

6. Concurrence. List all parties that concur with this assigning document. Technical Warrant Holder concurrence with a PM selection of an engineering agent shall be obtained. PM concurrence with engineering agent assignment by the cognizant Technical Warrant Holder shall be obtained where the engineering agent will provide substantial, unique or critical support to a specific program (e.g. submarine battery ISEA). Concurrence from activities with critical interfaces (e.g., SUBSAFE, nuclear propulsion plant and organizations responsible for integrating the engineering agent's technical work into the next higher level system) shall also be obtained.