



DEPARTMENT OF THE NAVY  
OFFICE OF THE SECRETARY  
1000 NAVY PENTAGON  
WASHINGTON, D.C. 20350-1000

OPNAVINST 5200.33

N4  
30 August 1999

OPNAV INSTRUCTION 5200.33

From: Chief of Naval Operations  
To: All Ships and Stations (less Marine Corps field addressees not having Navy personnel attached)

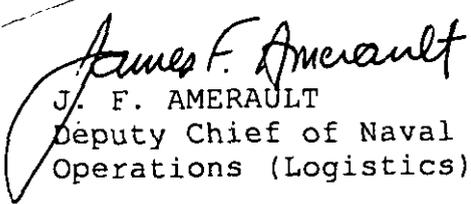
Subj: NATIONAL PARTNERSHIP FOR REINVENTING GOVERNMENT PROGRAMS

Ref: (a) Secretary of the Navy Memorandum of 15 Sep 94 (NOTAL)  
(b) Secretary of the Navy Memorandum of 19 Apr 95 (NOTAL)  
(c) CNO memorandum of 17 Mar 95 (NOTAL)  
(d) Secretary of Defense Memorandum of 14 Nov 98 (NOTAL)  
(e) Office of the Under Secretary of Defense Memorandum of 23 Sep 98 (NOTAL)

Encl: (1) Reinvention Laboratory Program  
(2) Waiver Procedures  
(3) Vice President Gore's Hammer Award Nomination Process

1. Purpose. To issue guidance, policy, and procedures for designation as a Reinvention Laboratory, waiver procedures, and the Hammer Award nomination process.

2. Background. Under the National Partnership for Reinventing Government (NPR) initiative, President Clinton and Vice President Gore challenged the Government to make significant strides in reforming how the Department of Defense (DoD) does business. The Navy remains committed to NPR goals and principles: reinvent Government to work more efficiently, cost less, and produce results Americans care about. Navy reinvention program policy specified in NAVADMIN 241826Z Oct 94 (199/94) is superceded by this instruction. References (a) through (e) set forth DoD guidance for the NPR programs. In support of NPR programs, enclosures (1) through (3) issue the Navy's criteria.

  
J. F. AMERAULT  
Deputy Chief of Naval  
Operations (Logistics)

Distribution:  
SNDL Parts 1 and 2

REINVENTION LABORATORY PROGRAM

1. Reinvention Laboratory. A Reinvention Laboratory is a Federal Government organization or activity that has volunteered to review a possible major change or multiple changes to Government business processing. A Navy Reinvention Laboratory should address DoD and Navy-wide system changes that affect a large population. Reference (a) designated the Navy's first Reinvention Laboratories.

2. Purpose. The purpose of a Reinvention Laboratory is to experiment with new ways to conduct business that will benefit the Navy. Designation as a Navy Reinvention Laboratory signals a dedicated effort to integrate the NPR's five basic principles:

- a. Put customers first
- b. Empower employees
- c. Cut red tape
- d. Cut back to basics
- e. Achieve results Americans care about

3. Responsibility. The responsibility of being a designated Reinvention Laboratory is challenging. Designation as a Navy Reinvention Laboratory is a unique opportunity to bring to the attention of leaders those restrictions and impediments that prevent personnel from doing business in the most effective manner. If a lab identifies policy and procedures that hinder business, it is encouraged to waive them as outlined in enclosure (2).

These designated labs can make positive changes throughout the Navy and the DoD. To ensure that all labs present initiatives in accordance with NPR principles, the labs report the results to Chief of Naval Operations (CNO (N46)). CNO (N46) requires labs that no longer desire to participate in the NPR effort or have completed their stated objectives to contact CNO (N46) with a plan to either terminate "Reinvention Laboratory" designation or request to be put in an inactive lab status.

4. Criteria. The following are the minimal criteria to implement Reinvention Labs successfully. Use criteria as the basis for establishing all new Reinvention Labs.

a. **Voluntary Participation:** The activity should volunteer for designation, and its leadership should be enthusiastically committed to supporting the laboratory's vision. The activity head must endorse designation as a Reinvention Lab. Activity components will not be considered stand-alone labs.

b. **Description of Current Program:** Labs must identify the

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problems and the old way of doing business and show what they have done to date to correct them.

c. **Requirements for Change:** Labs must describe the need for and indicate the essentials that mandate change.

d. **Vision:** Labs must describe specifics to reengineer its business practices by radically changing its routine work procedures, streamlining its activity, empowering its employees, and focusing on better ways to conduct business.

e. **General Action Plan:** Labs must explain what they will accomplish as Reinvention Labs. They must also indicate what performance improvements will occur and what possible benefits can be exported to the Navy.

f. **Performance Metrics:** Reinvention Labs must articulate methods to determine successful completion of performance improvements and discuss the metrics measurement.

g. **Lessons Learned Report:** Reinvention Labs are responsible to the DoD to report both performance successes and failures. The period for submitting initial lessons-learned reports is 2 years on waivers that the Reinvention Lab has implemented. These reports will help the Navy determine if an innovation can be implemented throughout the Navy or discontinued.

4. Designation Process. Commands or activities requesting designation as a Reinvention Laboratory must submit a nomination request to the Secretary of the Navy (SECNAV) via the chain of command (COC) and CNO (N46). (Refer to the sample format at enclosure (1) appendix A).

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## COMMAND LETTER HEAD

SSIC:

Ser:

Date:

From: Requesting Activity  
To: Secretary of the Navy (OPA)  
Via: (1) Chain of Command  
(2) Chief of Navy Operations (N461C)

Subj: REQUEST FOR DESIGNATION AS A REINVENTION LABORATORY

Ref: (a) OPNAVINST 5200.33

Encl: (1) Reinvention Laboratory Nomination

1. Per the reference, request (Name of Activity) be designated as a Reinvention Laboratory. The enclosure is forwarded for review and decision.

2. Provide a brief synopsis of how your lab initiatives will enhance excellence throughout the Navy.

3. My point of contact is (person's name). He/she can be reached at (commercial/DSN phone # and email address).

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**REINVENTION LABORATORY NOMINATION**

1. **Name of Activity:**
2. **Location:**
3. **Point of Contact:**
4. **Description of Current Program:** Identify the problems and the old way of doing business. Show what has been done to date to correct any problems.
5. **Requirements for Change:** Describe the need for change and indicate the essentials that mandate change.
6. **Vision:** Describe specifics for reengineering the laboratory's business practices by radically changing routine work procedures, streamlining activities, empowering employees, and focusing on better ways to conduct business.
7. **General Action Plan:** Explain what is going to be accomplished as a Reinvention Laboratory. Indicate what performance improvements will be made and what possible benefits can be exported to the Navy.
8. **Performance Metrics:** Articulate methods to determine performance improvement's success. Discuss the metrics measurement.

## WAIVER PROCEDURES

1. Waiver. Waivers are delegations of authority to deviate from existing internal agency policies and procedures that impede good business practices.

2. Purpose. Waiver proposals identify and streamline requirements that hinder the workplace. Should Reinvention Laboratories encounter procedures that hinder their improvement efforts, they have the authority to waive requirements contained in SECNAV and OPNAV instructions. Waivers will not be used to waive any regulations that are based in law, nor derived from regulation(s) external to the Department of the Navy. The following procedures provide guidance to prepare waiver proposals:

a. SECNAV and OPNAV WAIVER PROCEDURES: Reference (b) gives CNO the authority to waive SECNAV instructions, without prior approval of SECNAV. Reference (c) gives Reinvention Laboratories the authority to waive OPNAV instructions.

(1) Originator will submit a waiver package identifying the regulation and policies or procedures that require a waiver. Refer to appendix (a) to enclosure (2) for a sample waiver package. Note: All waivers require a legal counsel's review to ensure the waiver does not waive any legislative regulations.

(2) Reinvention Laboratories have the authority to implement SECNAV instruction and OPNAV instruction waivers effective immediately. However, if CNO (N46) and/or the functional office determine that the waiver violates legal or legislative restrictions, these offices will notify the laboratory in writing to discontinue the waiver.

(3) Laboratories must provide that portion of the document being waived, such as an instruction or directive, as an enclosure.

(4) Waivers may be authorized for an indefinite period; however, a lessons-learned report must be submitted to CNO (N46) upon the two-year anniversary. If CNO (N46) does not receive the report on the two-year anniversary, following a review by the functional office and/or CNO (N46), the waiver may be discontinued. Activities will be notified in writing.

b. WAIVER FOR OTHER NAVY DIRECTIVES: CNO (N46) will forward waivers to messages, memorandums, letters and other correspondence to the functional office for review and validity.

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c. DEPARTMENT OF DEFENSE (DoD) WAIVER PROCEDURES:

Reference(d) provides detailed guidance to process DoD waiver procedures and special waivers pertaining to Acquisition and civilian personnel. Additionally, the DoD waiver procedures are available on the DoD NPR Home Page:

(<http://www.dtic.mil/npr/index.html>).

d. MISCELLANEOUS: Submit all waivers via the COC to your respective Reinvention Laboratory; however, if there is no laboratory within the COC, submit the waiver request directly to CNO (N46). (Refer to appendix A, enclosure (2) when applying for a waiver.)

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Enclosure (2)

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## SAMPLE COVER LETTER FOR WAIVERS

SSIC:

Ser:

Date:

From: Reinvention Laboratory Authority  
To: Chief of Naval Operations (N461C)

Subj: WAIVER OF SECNAV/OPNAV INST (instruction #)

Ref: (a) SECNAV memo of (designation letter)  
(b) SECNAV/OPNAV Instruction  
(c) OPNAVINST 5200.33

Encl: (1) Waiver Package

1. Per reference (a), I have waived reference (b). This waiver is effective immediately for (time period).
2. Per reference (c), enclosure (1) is submitted for information and review. Enclosure (1) details the reason for the waiver, documents the legal counsel's review, and includes the portion of the waived instruction.
3. My point of contact is (person's name). He/she can be reached at (commercial/DSN phone # and email address).

I. M. INNOVATIVE  
CAPTAIN USN

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REQUESTING ACTIVITY'S COVER LETTER

SSIC:  
Ser:  
Date:

From: Requesting Activity  
To: Reinvention Laboratory Authority  
Via: (1) Chain of Command

Subj: WAIVER REQUEST OF SECNAV/OPNAVINST (instruction #)

Ref: (a) OPNAVINST 5200.33

Encl: (1) Waiver Fact Sheet # \_\_\_\_\_  
(2) Legal Counsel Review  
(3) Portion(s) of Instruction to be waived

1. Per reference (a), request to waive SECNAV/OPNAV Instruction \_\_\_\_\_ . Enclosure (1) details the reasons for the waiver; enclosure (2) documents the legal counsel's review, and enclosure (3) is the portion of the Instruction to be waived.

2. Granting a waiver to (brief synopsis of waiver) will benefit (brief synopsis of what would be benefited from the waiver).

3. My point of contact is (person's name). He/she can be reached at (commercial/DSN phone # and email address).

R. U. FORUS  
LCDR USN  
Port Services Officer in Charge

Appendix A to Enclosure (2)

**WAIVER FACT SHEET**

DATE

1. Waiver Number: 99-xxx (year and 3-digit #)
2. Waiver Title: Subject or name used to refer to a specific waiver request.
3. Instruction/Directive: Identify SECNAV/OPNAV issuance by name and number. Explain the reason the waiver is being requested.
4. Describe the expected benefits:
  - a. Cost savings/avoidance
  - b. Personnel impact
  - c. Resource impact
  - d. Improved timeliness, etc.
5. Method to measure results
6. Duration of waiver
7. Describe action, if any, already taken to resolve the impediment(s).

Appendix A to Enclosure (2).

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LEGAL COUNSEL'S REVIEW

SSIC:  
Ser:  
Date:

From: Legal Office  
To: Reinvention Lab Authority  
Via (1) Requesting Activity

Subj: WAIVER REQUEST OF SECNAV/OPNAVINST (instruction #)

Ref: (a) Waiver #99-xxx

1. Reference (a) requests a waiver of (brief description of waiver requested). An examination of the United States Code, the Code of Federal Regulations, and case law did not indicate any requirement for (reiterate waiver request).
2. Recommend approving the reference. Implementing this waiver does not violate existing statute or regulatory requirements.
3. My point of contact is (person's name). If further assistance is required, he/she can be reached at (phone # and email).

I.M. LEGAL  
LT USN

Appendix A to Enclosure (2)

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**HAMMER AWARD NOMINATION PROCESS**

1. Vice President Gore established the Hammer Award to recognize Federal employee teams and their partners whose work resulted in a Government that works better and costs less. Reference (e) establishes guidance and sets forth criteria to submit Hammer Award nominations. Nominations must be written in narrative form and meet the following criteria, format, and administrative procedures:

a. **Criteria**

- (1) Nominations must recognize teams only.
- (2) Teams must belong to or work with a Federal agency, such as Government contractors.
- (3) Nominations must reflect real accomplishments.
- (4) Nominations are required to show innovation in at least one of the following areas:
  - (a) Put customers first
  - (b) Empower employees
  - (c) Cut red tape
  - (d) Cut to basics
  - (e) Achieve results Americans care about
- (5) Nominations may include one or all of the following:
  - (a) Estimated/actual savings or cost avoidance
  - (b) Other resource impact (personnel reductions, improved timeliness, increased productivity)
  - (c) Strong partnership (interagency, intergovernmental, private sector, nonprofit organizations)

b. **Format**. Nomination packets should not exceed five pages and should be endorsed by the chain of command. (Refer to enclosure (3), appendix A for a sample nomination packet.)

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(1) Cover Page

(a) Indicate in the top left-hand corner whether the award is a new or resubmitted award. If the award is a resubmission, provide a copy of the previous submission.

(b) Name of lead Government department/agency, such as the Navy, and partnering organizations, if applicable.

(c) Team name as it would appear on the award.

(d) Team leader's name, organization, email address, telephone, and fax numbers.

(e) In the lower right-hand corner, date the Team completed the nomination.

(2) Body of Nomination. The body of the nomination should include the following:

(a) The process, product, or service that has been accomplished.

(b) The real innovation in at least one of the areas outlined in the criteria. Describe the innovation comprehensively and provide a detailed explanation. If more than one area applies, explain each applicable area.

(c) If the award contains actual savings or cost avoidance, the following statement must be included and signed by the responsible official: "The actual savings or cost avoidance in this nomination are accurate to the best of my knowledge."

(3) Attachments. Include the following two attachments with the nomination:

(a) Attachment (1) is a one-page, plain-language narrative explaining why the reinvention was successful. Clearly define acronyms and avoid jargon.

(b) Attachment (2) is a complete list of team member names and telephone numbers.

c. Administrative Procedures

(1) Where to submit: Chief of Naval Operations (N461), 2000 Navy Pentagon, Washington, DC 20350-2000. This

Enclosure (3)

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office conducts an initial screening before forwarding the nomination to the DoD Review Committee. The DoD committee forwards approved nominations to the National Partnership for Reinventing Government (NPR) office for final review. The respective reviewing committee provides feedback on non-selected nominations.

(2) When to submit: Hammer Award nominations may be submitted at anytime; however, NPR reviews submissions at the end of each quarterly cycle (31 January, 30 April, 31 July, and 31 October). Since a DoD review is required prior to a NPR review, nominations should reach CNO (N46) prior to but not later than the first business day of January, April, July and October.

(3) The NPR will provide written award results to the DoD Hammer Award focal point within 60 days after the last day of each quarterly cycle. DoD will notify activities in writing of award results and inform the Navy NPR point of contact.

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Enclosure (3)

**SAMPLE HAMMER AWARD NOMINATION**

**NEW SUBMISSION or RESUBMISSION**

**LEAD AGENCY: U.S. NAVY**

**PARTNER ORGANIZATION:** If applicable, include POC and  
phone #.

**TEAM NAME:** As it would appear on the award

**TOTAL NUMBER OF TEAM MEMBERS:** Names by organization submitted as  
Attachment 2

**TEAM LEADER: U. R. EMPOWERED**

**Office of Innovations**

**urempow@meca.navy.mil**

**Commercial: (555) 142-6999**

**DSN: 123-6999**

**FAX: (555) 142-8844**

**Completed: 29DEC98**

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**BODY OF HAMMER NOMINATION**

1. Indicate what process, product or service has been reinvented.
2. Identify the real innovation in at least one of the following areas. Write only about the area(s) that supports the nomination. Listing all areas and checking only one or two areas focuses attention on the areas that were not checked.
  - a. Put customers first
  - b. Empower employees
  - c. Cut red tape
  - d. Cut back to basics
  - e. Achieve results Americans care about

3. The following areas strengthen the award, but are not required:

- a. Actual savings or cost avoidance
- b. Other resource impact (personnel reductions, improved timeliness, increased productivity).
- c. Strong partnership (interagency, intergovernmental, private sector, non-profit organizations).

Again, write only about the area(s) that supports the nomination. If the award contains actual savings or cost avoidance, this statement must be included and signed by the responsible official: "The actual savings or cost avoidance in this nomination are accurate to the best of my knowledge."

Signed: \_\_\_\_\_  
I. M. RESPONSIBLE

Date: \_\_\_\_\_

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**HAMMER NOMINATION ATTACHMENTS**

Nominations should include the following two attachments:

**Attachment 1:** One page, plain-language narrative that explains why the reinvention was a success. Clearly define acronyms and avoid jargon.

Attachment 1

Appendix A to Enclosure (3)

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**Attachment 2:** Complete list of team members by organization.

Attachment 2

Appendix A to Enclosure (3)

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**SAMPLE COMMAND ENDORSEMENT FOR  
HAMMER NOMINATION**

SSIC:  
Ser:  
Date:

From: \_\_\_\_\_  
To: Chief of Naval Operations (Attn: N461C)  
Via: (1) Chain of Command  
  
Subj: VICE PRESIDENT GORE'S HAMMER AWARD NOMINATION  
  
Ref: (a) OPNAVINST 5200.33  
  
Encl: (1) Hammer Award Nomination with attachments

1. Per the reference, the enclosure is forwarded for consideration.

2. The (name of activity) takes pleasure in nominating the (team name) for Vice President Gore's Hammer Award. We honor this dedicated team for its sustained superior accomplishments for the U.S. Navy. The enclosure highlights the exceptional impact of this team's creativity, empowerment, and leadership in accordance with the National Partnership for Reinventing Government (NPR) initiatives.

3. My point of contact is (person's name). He/she can be reached at (commercial/DSN phone # and email).

I. M. INNOVATIVE

Appendix A to Enclosure (3)