



DEPARTMENT OF THE NAVY  
OFFICE OF THE CHIEF OF NAVAL OPERATIONS  
2000 NAVY PENTAGON  
WASHINGTON, D.C. 20350-2000

IN REPLY REFER TO

OPNAVINST 5305.9  
N43  
25 Jun 98

OPNAV INSTRUCTION 5305.9

From: Chief of Naval Operations

Subj: SECRETARY OF DEFENSE MAINTENANCE AWARDS PROGRAM

Encl: (1) DOD Directive 1348.30 of 7 March 97

1. Purpose. To implement enclosure (1) within the Navy, and to establish policy and assign responsibilities for the implementation of the Secretary of Defense Phoenix Award and the DOD Maintenance Awards Program.

2. Background. Enclosure (1) establishes the Secretary of Defense Phoenix Award and the DOD Maintenance Awards Program. This program recognizes military units for outstanding and sustained maintenance achievements at the organizational and intermediate levels.

3. Policy

a. The procedures, actions and responsibilities outlined in enclosure (1) and this instruction shall apply to the organizational and intermediate level maintenance within the Navy and their reserve components.

b. This awards program will be used to enhance maintenance awareness and encourage maintenance excellence by formally recognizing below depot level military units responsible for outstanding achievements in maintenance management and production.

4. Responsibilities

a. The Deputy Chief of Naval Operations for Logistics (DCNO(L)):

(1) Approve Navy nominations for the Chief of Naval Operations (CNO).

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(2) Submit up to two approved DoD Maintenance Award nominations per category directly to Deputy Under Secretary of Defense for Logistics (DUSD(L)) by the prescribed date following the end of the competitive period. The competitive period covers the 12-month period that begins 1 October and ends 30 September following the last award period.

(3) Inform the Secretary of the Navy, CNO, and all ships and stations of the Navy nominees.

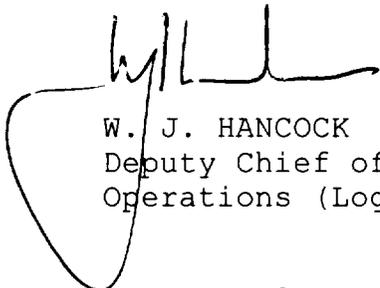
(4) Be the Navy liaison to DUSD(L) for award recipient notification and presentation arrangements.

b. Second Echelon Commanders:

(1) Review and screen nominations for their respective commands.

(2) Submit up to two DoD Maintenance Award nominations per category to DCNO(L) by the prescribed date following the end of the competitive period.

5. Reports. The reporting requirements contained in paragraph 4 are exempt from reports controlled by SECNAVINST 5214.2B.



W. J. HANCOCK  
Deputy Chief of Naval  
Operations (Logistics)

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Department of Defense  
**INSTRUCTION**

OPNAVINST 5305.9  
25 JUN 1998

March 7, 1997  
NUMBER 1348.30

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USD(A&T)

SUBJECT: Secretary of Defense Maintenance Awards Program

References: (a) DoD Directive 1348.30, subject as above, April 16, 1985 (canceled)  
(b) Section 1125 of title 10, United States Code  
(c) Joint Pub. 1-02, "Department of Defense Dictionary of Military and Associated Terms," March 23, 1994, authorized by DoD Directive 5025.12, August 23, 1989

A. REISSUANCE AND PURPOSE

This Instruction reissues reference (a) to implement policy update responsibilities, and prescribe procedures under the authority of reference (b), for the Secretary of Defense Phoenix Award and the DoD Maintenance Awards Program.

B. APPLICABILITY

This Instruction applies to the Office of the Secretary of Defense (OSD), the Military Departments, and the Special Operations Command (hereafter referred to collectively as "the DoD Components").

C. DEFINITIONS

1. Maintenance (weapon systems, end items, and related components and equipment - hereinafter referred to as weapon systems and equipment). All actions taken to retain weapon systems and equipment in a serviceable condition or to restore serviceability or operability. Maintenance includes functions such as inspection, testing, classification as to serviceability, repair, rebuilding, overhaul, servicing, modification, and reclamation. It also includes support of software necessary to operate and maintain weapon systems and equipment.

2. Unit. Any military element whose structure is prescribed by competent authority such as a table of organization; specifically, part of an organization (reference (c)). Elements established by a table of distribution and allowances are considered units.

Enclosure (1)

## D. POLICY

It is DoD policy to enhance maintenance awareness and to encourage maintenance excellence by providing awards to military units responsible for outstanding achievements in maintenance management and production. Accordingly, as per title 10 United States Code section 1125 (reference (b)) "The Secretary of Defense may award medals, trophies, badges, and similar devices to members units, or agencies of an armed force under his jurisdiction for excellence in accomplishments or competitions related to that armed force."

## E. RESPONSIBILITIES

### 1. The Under Secretary of Defense for Acquisition and Technology shall:

a. Provide overall guidance for the Secretary of Defense Phoenix Award and the DoD Maintenance Awards Program.

b. Designate the Deputy Under Secretary of Defense for Logistics (DUSD(L)) to provide overall management of the program and convene the awards selection board.

c. Be the approval authority for the final selection of the Secretary of Defense Phoenix Award winner and DoD Maintenance Awards Program winners.

### 2. The Heads of the DoD Components shall comply with this Instruction.

## F. PROCEDURES

1. General Information. The Secretary of Defense Phoenix Award and the DoD Maintenance Awards shall be bestowed each year to recognize outstanding military maintenance units based on the criteria outlined herein. The Secretary of Defense Phoenix Award is named in recognition of the mythological Phoenix, a bird that lived five centuries, died, and was reborn from its own ashes. The Phoenix Award and DoD Maintenance Awards are granted in recognition of the long life given equipment by sustained quality maintenance and the rejuvenation of equipment through maintenance programs.

2. Sponsor and Description of Awards. The Secretary of Defense Phoenix Trophy and the DoD Maintenance Awards have been made available to the Department of Defense by The American Defense Preparedness Association (ADPA). The DoD Maintenance Awards will be limited in number to seven awards (two awards presented to units in each of three categories: small, medium, and large size units) and the Secretary of Defense Phoenix Trophy awarded to the "best" of these six winners.

Winning units will receive plaques depicting the Phoenix Trophy and a Certificate of Achievement signed by the Secretary of Defense. The overall DoD winner will be awarded a replica of the Phoenix Trophy, which may be retained by the unit for a one-year period. The Phoenix Trophy is a unique trophy, engraved with its name, the name of each unit that received the award, the year it was awarded, and acknowledgment to the ADPA. The Phoenix Trophy is retained in the Pentagon in the office of the Assistant Deputy Under Secretary of Defense for Maintenance Policy, Programs, and Resources (ADUSD(MPP&R)).

3. Purpose of Award. The Secretary of Defense Phoenix Trophy and the DoD Maintenance Awards are intended to:

- a. Improve materiel readiness throughout the Department of Defense by providing a positive incentive for extraordinary maintenance efforts.
- b. Improve efficiency and reduce waste by encouraging innovative management and use of resources.
- c. Provide recognition of below depot-level maintenance programs and operations at the unit level.
- d. Aid development of competitive programs within the DoD Components by providing a higher level of competition with commensurate recognition.
- e. Enhance maintenance awareness throughout the Department of Defense.

4. Eligibility for Award. All Active and Reserve units within the Military Services whose primary mission is to perform below depot-level maintenance are eligible to compete. Those units that have reserve associate units assigned shall recognize the associate units, and their contributions, in the award submission.

5. Categories of Competition. The categories of competition shall be based on the size of the unit as determined by the total number of authorized personnel. Each DoD Component shall submit no more than two nominees for each competitive category. The nominated units will be representative of the different types of units within the DoD Components that maintain equipment, software, or weapon systems. The units will have operated under a specific competition category for at least one half of the competitive period to be eligible for competition. Unit competition categories are as follows:

- a. Small -- 25 to 300 authorized personnel.
- b. Medium -- 301 to 999 authorized personnel.

c. Large -- 1000 or more authorized personnel.

#### 6. Submitting Nominations

a. Each DoD Component participating in the competition shall designate a representative to the DoD Maintenance Awards Program and identify the representative to the ADUSD (MPP&R) no later than January 1 of the year following the award period. The DoD Component representative shall:

(1) Act as the DoD Component's liaison to the ADUSD(MPP&R).

(2) Provide assistance in the conduct of the DoD Maintenance Awards Program and ceremony as it relates to involvement by that representative's Component.

(3) Provide the selection board a general overview of that Component's award nominees.

(4) Provide selection board members additional information on that Component's nominees, and Component-unique maintenance systems and procedures.

b. The competitive period covers the 12-month period that begins October 1 and ends September 30 following the last award period.

c. The DoD Components shall submit nominations through command channels by letter, with the subject: nominations for (year) DoD Maintenance Award (name of Major Command and unit)."

#### 7. Contents of Nomination Packages

a. The prescribed format for the submission of the award nomination packages shall comprise three sections.

(1) Section 1: Shall address the basic information provided in the format at enclosure 1.

(2) Section 2: Shall include a concise Summary of Action for those areas noted in subparagraphs F 7.c.(1)-(4) below.

(3) Section 3: Shall include a concise, double-spaced, unclassified proposed citation highlighting specific achievements that will be suitable for use in the awards presentation ceremony.

b. Endorsements from all of the nominated units' higher headquarters shall be included as part of the nomination packets.

c. The following factors shall be used to evaluate the nominated units during the selection process: (Evaluation factors shall be weighted during the consideration process as indicated below. Nomination packages should reflect that each of these factors have been clearly addressed.)

(1) Mission Accomplishments (Weight Factor = 4). A narrative description of the competing unit's mission accomplishments for the competition period. Accomplishments should stress maintenance efforts and the impacts of those efforts on the unit's, or supported unit's, operational capability and mission accomplishment. Items to be included are:

- (a) Accomplishment of unit mission requirements.
- (b) Weapon system or equipment operational readiness status.
- (c) Operational deployment participations and successes.
- (d) Local or higher headquarters exercise participations and successes.
- (e) Special programs such as time compliance and technical order accomplishment.

(2) Effective Use of Maintenance Resources (Weight Factor = 3). A narrative description of the competing unit's accomplishments that illustrate good stewardship of maintenance resources.

(3) Innovative Management Accomplishments (Weight Factor = 2). A narrative description of maintenance management actions taken within the competing unit to improve the unit's mission capability. Some areas that may be included are:

- (a) Equipment improvement recommendations that resulted in an improved readiness posture.
- (b) Resource management innovations and improvements.
- (c) Safety programs.
- (d) Training programs.
- (e) Production control innovations and improvements.

(4) Personnel Quality of Life Programs (Weight Factor = 1). A narrative description of programs or actions aimed at improving motivation or morale of maintenance personnel. Some areas that may be included are:

- (a) Self-help programs.
- (b) Personnel recognition programs.

- (c) Community projects.
- (d) Communications programs.
- (e) Humanitarian projects and programs.

d. Video tapes, 35mm slides, and films shall not be accepted. Unit and personnel data shall be cleared for public release to military and civilian news services. No classified information may be submitted.

8. Selection Procedures. The DUSD(L) will convene a selection board, under the management of the ADUSD(MPP&R), to evaluate nominations and recommend the award finalists to the Under Secretary of Defense (A&T) for approval. This board shall be composed of 5-6 full time officers and employees of the Department of Defense who have knowledge, experience, and background in maintenance management and production. All evaluations shall be based on a review of the statistical and narrative information provided in the nomination packages. Selection Board members shall be provided an initial introductory brief to be given by ADUSD(MPP&R) and DoD Component representatives.

9. Notification of Winners. The DUSD(L) shall notify the ADPA and the Secretaries of the Military Departments of the winning nominees selected for the DoD Maintenance Awards (excluding the Secretary of Defense Phoenix Trophy). Notification shall be forwarded via a memorandum to the Secretaries of the Military Departments and their respective awards program representatives. The winner of the Secretary of Defense Phoenix Trophy shall not be announced until its presentation at the formal awards ceremony.

10. Presentation Ceremony. Trophy and awards shall be presented to the winners in a ceremony that will be held in Washington, DC. The presentation ceremony will be coordinated by DUSD(L), with USD(A&T) approval.

11. Possession and Display of the Secretary of Defense Phoenix Trophy and the Secretary of Defense Maintenance Awards.

a. The Secretary of Defense Phoenix Trophy shall remain in place permanently in the Pentagon, Washington, DC. The trophy shall be displayed so that it is accorded suitable public viewing access. The current holder of the trophy shall be annotated on the trophy along with all previous winners.

b. A replica of the Secretary of Defense Phoenix Trophy shall be presented to the winning unit each year. This replica is a perpetual trophy that shall be presented each year to the new winning unit. It shall be retained for display by the winning unit for 10 months. It shall then be returned, via certified mail to the Secretary of Defense, two months before the following year's ceremony. This will provide adequate time to

perform any necessary maintenance and upkeep before the next presentation. The Secretary of Defense Phoenix Trophy winner shall also receive a plaque and certificate of achievement that will be kept by the winning unit permanently. The winning unit is responsible for mailing the Secretary of Defense Phoenix Trophy replica to the ADUSD(MPP&R) using the following address:

Office of the Secretary of Defense  
Assistant Deputy Under Secretary of Defense  
(Maintenance Policy, Programs and Resources)  
3500 Defense Pentagon, Room 3B915  
Washington DC 20301-3500.

c. Winners of the Secretary of Defense Maintenance Awards shall be presented plaques and certificates of achievement that shall be kept by the winning units permanently.

d. When a recipient unit is inactivated, the Military Service involved will determine the disposition of any awards.

G. EFFECTIVE DATE

This Instruction is effective immediately.



Under Secretary of Defense  
for Acquisition and Technology

Enclosure  
Nomination Package (Section 1)

SECTION 1

1. Service:(i.e., United States Air Force)
2. Specific unit designation of nominated unit: (e.g., First Maintenance Battalion, First Service Support Group, Fleet Marine Force Pacific)
3. Category/Unit Size of nominated unit: (e.g., Large/401 personnel).
4. Point of contact (POC) at Nominated Units: If the unit is deployed, provide a telephone number for access to the nominee POC.)

<u>Primary</u>	<u>Alternate</u>
Name: _____	Name: _____
Phone (com'l) _____	Phone (com'l) _____
DSN _____	DSN _____

5. Military Department points of contact:

<u>Primary</u>	<u>Alternate</u>
Name: _____	Name: _____
Phone (com'l) _____	Phone (com'l) _____
DSN _____	DSN _____
Facsimile _____	Facsimile _____

6. Complete mailing addresses of the nominated units and the nominated unit's higher headquarters (to include appropriate office symbol with attention POC).
7. Complete message addresses (Standard Subject Identification Code) of the nominated units and the nominated unit's higher headquarters:
8. Background Information for Nominated Unit:

Unit Size: Officers \_\_, Enlisted \_\_\_\_.

Unit Location:

9. Unit Mission Statement (approximately five lines or less).
10. Operational chronology (during award period Oct. 1- Sept. 30) of significant operational events, deployments and major training exercises.

<u>Operation</u>	<u>Location</u>	<u>Dates</u>
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