

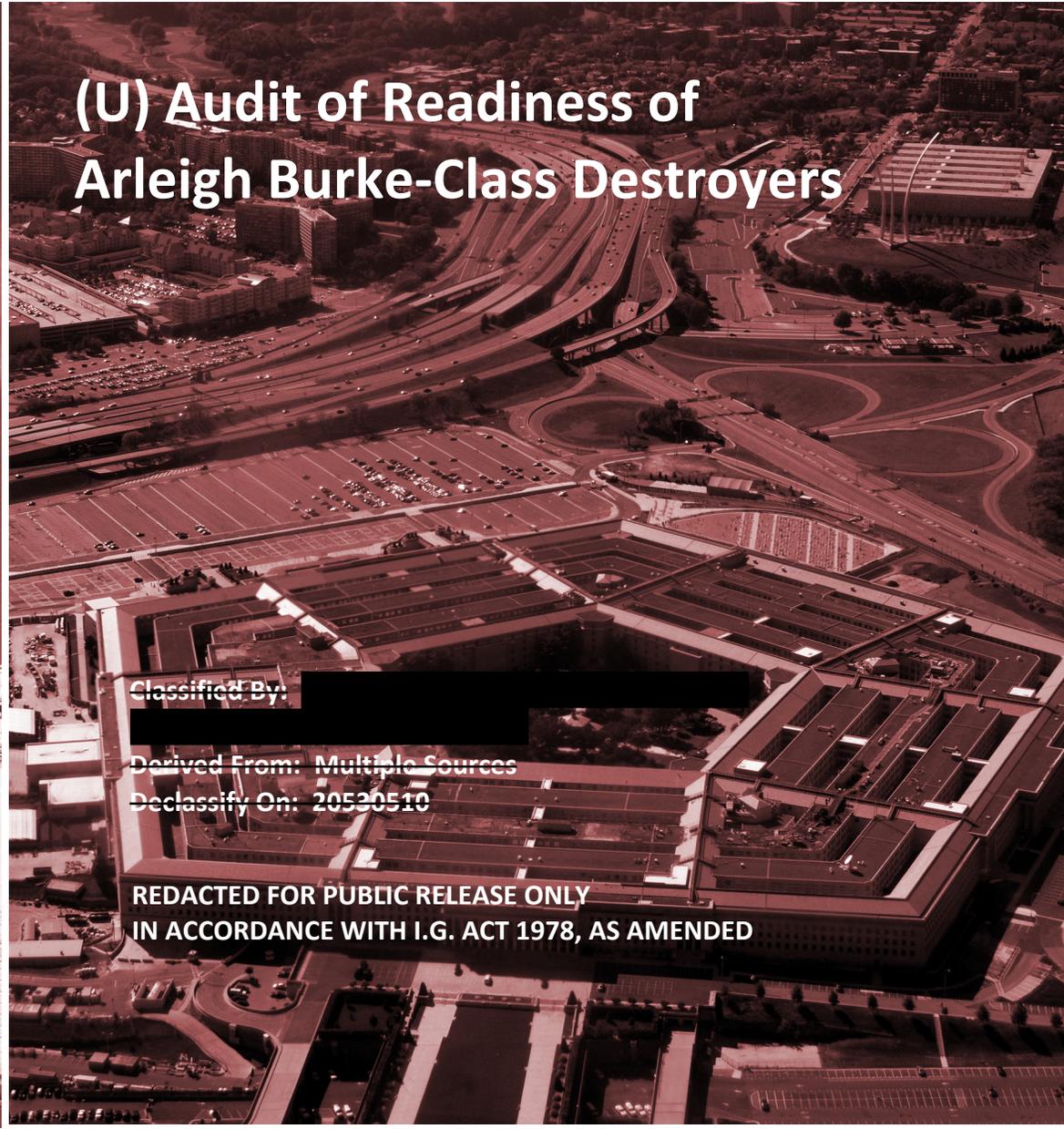
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# INSPECTOR GENERAL

*U.S. Department of Defense*

JANUARY 31, 2020



## (U) Audit of Readiness of Arleigh Burke-Class Destroyers

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# (U) Results in Brief

## (U) Audit of Readiness of Arleigh Burke-Class Destroyers

January 31, 2020

### (U) Objective

(U) The objective of this audit was to determine whether the Navy identified and addressed readiness challenges of the *Arleigh Burke*-class destroyers. Although we assessed all five readiness areas (personnel, equipment, supply, training, and ordnance), we focused this report on whether the Navy identified and addressed training deficiencies between 2013 and 2018 for the *Arleigh Burke*-class destroyers.

### (U) Background

(U) As of August 16, 2019, the Navy had a battle force of 290 ships, including Surface Force ships, homeported in the United States or forward-deployed to foreign nations. There are different types of Surface Force ships, such as guided-missile cruisers, guided-missile destroyers, and littoral combat ships. Within each ship type, there are one or more classes. One of the classes within the guided-missile destroyer type is the *Arleigh Burke*-class. *Arleigh Burke*-class destroyers are multi-mission, surface combatant ships capable of conducting anti-air warfare, anti-submarine warfare, and anti-surface warfare.

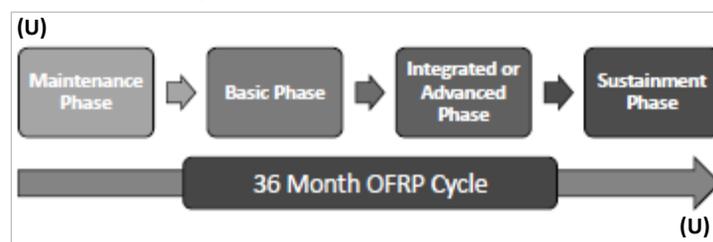
(U) According to a Navy instruction, ship incidents include fires, flooding, explosions, collisions, allisions, and groundings. Between May 2012 and November 2017, there were at least 10 incidents involving Surface Force ships. Of these 10 incidents, 4 involved an *Arleigh Burke*-class destroyer and resulted in the deaths of 17 U.S. sailors, multiple injuries to individuals aboard the ships, and damage to the ships and their equipment. After the incidents, the Navy released the “Comprehensive Review of Recent Surface Force Incidents” and the “Strategic Readiness Review.” The Navy also established the Readiness Reform and Oversight Council in January 2018 to oversee and ensure the implementation of the 117 recommendations from the Strategic Readiness

### (U) Background (cont'd)

(U) Review, the Comprehensive Review of Recent Surface Force Incidents, and other reviews, such as those performed by the Government Accountability Office.

(U) In November 2014, the Navy issued the Optimized Fleet Response Plan (OFRP) as a framework to improve fleet readiness. The OFRP cycle consists of the following phases, which are accomplished in a series: maintenance phase, basic phase, integrated or advanced phase, and sustainment phase, as shown in Figure 1.

(U) Figure 1. Optimized Fleet Response Plan For Cruisers/Destroyers



(U) Source: The DoD OIG.

(U) The Navy’s Surface Force Readiness Manual (SFRM) is the Navy’s plan for ships, staffs, and units to execute the OFRP. The SFRM requires each ship to achieve prescribed readiness standards and demonstrate proficiency before advancing through the OFRP to maximize effectiveness.

(U) The Defense Readiness Reporting System–Navy (DRRS-N) is the Navy’s authoritative system for readiness reporting. DRRS-N collects and displays the status and availability of resources for the following areas, by unit, to accomplish assigned missions: personnel, equipment, supply, training, and ordnance.

### (U) Finding

(U) Navy fleet commanders, type commanders, and unit commanding officers identified training deficiencies during the *Arleigh Burke*-class destroyers’ OFRP cycles,

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# (U) Results in Brief

## (U) Audit of Readiness of Arleigh Burke-Class Destroyers

### (U) Finding (cont'd)

(U) but did not address the identified deficiencies. We analyzed Navy readiness assessments, as well as each ship's waivers from readiness requirements between August 2013 and April 2018 for the most recently completed OFRP cycles of 12 of 64 *Arleigh Burke*-class destroyers, and identified the following training deficiencies.

- (S) Commanding officers reported training deficiencies, such as the inability to be certified or maintain proficiency in mission areas in DRRS-N for 9 of the 12 ships we reviewed. For example,

[Redacted]

- (S) Fleet commanders reported on Deployment Certifications that 5 of the 12 ships we reviewed had training deficiencies such as training that was either incomplete, or not completed under established conditions or standards. For example,

[Redacted]

(U) Training deficiencies persisted because the Navy did not always complete training requirements in accordance with the SFRM. For example:

- (U) the USS *Howard* did not complete all Strike Warfare mission area exercises, such as those for Naval Surface Fire Support before deployment; therefore, the ship will not be able to conduct gunnery support, such as identifying where the ship is shooting; and

- (S) [Redacted]

(S) [Redacted]

### (U) Recommendations

(U) We recommend that the Commander of U.S. Fleet Forces Command, in collaboration with the Commander of Naval Surface Force Atlantic, and the Commander of U.S. Pacific Fleet, in collaboration with the Commander of Naval Surface Force, U.S. Pacific Fleet, determine whether *Arleigh Burke*-class destroyers currently deployed or in the sustainment phase of the OFRP have outstanding training deficiencies; and direct *Arleigh Burke*-class destroyers to complete any outstanding training requirements immediately or as soon as the mission allows.

### (U) Management Comments and Our Response

(U) The Deputy Commander, U.S. Pacific Fleet, responding for the Commander, U.S. Pacific Fleet, provided a consolidated response, and the Commander, U.S. Fleet Forces Command, concurred with U.S. Pacific Fleet's response to the recommendations. The Deputy Commander, neither agreed nor disagreed with the recommendations.



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# (U) Results in Brief

## *(U) Audit of Readiness of Arleigh Burke-Class Destroyers*

### ***(U) Management Comments and Our Response (cont'd)***

(U) The Deputy Commander stated that all *Arleigh Burke*-class destroyers currently deployed or in the sustainment phase are fully certified. The Deputy Commander stated that the update to the SFRM, the Surface Force Training and Readiness Manual, November 2018, contains checkpoints to ensure ships are Basic Phase certified before deployment. The Deputy Commander also stated that ships undergo two Readiness Assessments when returning from deployment and entering the sustainment phase to ensure training certifications are maintained throughout the sustainment period, and to determine areas where focused training might be required. The Deputy Commander further stated that there are no outstanding training requirements because the destroyers currently deployed or in the sustainment phase are fully certified.

(U) Although the Deputy Commander neither agreed nor disagreed with the recommendations, the comments addressed all specifics of the recommendations; therefore, the recommendations are resolved but will remain open. We will close these recommendations after the Deputy Commander provides the methodology and supporting documentation used, including ships assessed and applicable certifications, to conclude that all *Arleigh Burke*-class destroyers currently deployed or in the sustainment phase are fully certified.

(U) Please see the Recommendations Table on the next page for the status of recommendations.

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***(U) Recommendations Table***

<b>(U) Management</b>	<b>(U) Recommendations Unresolved</b>	<b>(U) Recommendations Resolved</b>	<b>(U) Recommendations Closed</b>
(U) Commander, U.S. Fleet Forces Command	None	(U) 1.a, 1.b	None
(U) Commander, U.S. Pacific Fleet	None	(U) 2.a, 2.b	None

(U) Note: The following categories are used to describe agency management’s comments to individual recommendations:

- **(U) Unresolved** – Management has not agreed to implement the recommendation or has not proposed actions that will address the recommendation.
- **(U) Resolved** – Management agreed to implement the recommendation or has proposed actions that will address the underlying finding that generated the recommendation.
- **(U) Closed** – OIG verified that the agreed upon corrective actions were implemented.

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INSPECTOR GENERAL  
DEPARTMENT OF DEFENSE  
4800 MARK CENTER DRIVE  
ALEXANDRIA, VIRGINIA 22350-1500

January 31, 2020

(U) MEMORANDUM FOR COMMANDER, U.S. FLEET FORCES COMMAND  
COMMANDER, U.S. PACIFIC FLEET  
COMMANDER, NAVAL SURFACE FORCE ATLANTIC  
COMMANDER, NAVAL SURFACE FORCE, U.S. PACIFIC FLEET  
AUDITOR GENERAL, DEPARTMENT OF THE NAVY

(U) SUBJECT: Audit of Readiness of *Arleigh Burke*-Class Destroyers  
(Report No. DODIG-2020-056 )

(U) This final report provides the results of the DoD Office of Inspector General's audit. We previously provided copies of the draft report and requested written comments on the recommendations. We considered management's comments on the draft report when preparing the final report. These comments are included in the report.

(U) The Deputy Commander, U.S. Pacific Fleet, responding for the Commander, U.S. Pacific Fleet, provided a consolidated response, and the Commander, U.S. Fleet Forces Command, concurred with U.S. Pacific Fleet's response to the recommendations. The Deputy Commander neither agreed nor disagreed with the recommendations. The Deputy Commander's comments addressed all specifics of the recommendations; therefore, the recommendations are resolved but will remain open. As described in the Recommendations, Management Comments, and Our Response section of this report, the recommendations may be closed when the Deputy Commander provides the methodology and supporting documentation used, including ships assessed and applicable certifications, to conclude that all *Arleigh Burke*-class destroyers currently deployed or in the sustainment phase are fully certified.

(U) Please provide us within 90 days your response concerning actions taken to close the recommendations. Your response should be sent to either [followup@dodig.mil](mailto:followup@dodig.mil) if unclassified or [rfunet@dodig.smil.mil](mailto:rfunet@dodig.smil.mil) if classified SECRET.

(U) If you have any questions please contact me at [REDACTED]  
We appreciate the cooperation and assistance received during the audit.

A handwritten signature in black ink, reading "Richard B. Vasquez".

Richard B. Vasquez  
Assistant Inspector General for Audit  
Readiness and Global Operations

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## (U) Introduction

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### (U) Objective

(U) The objective of this audit was to determine whether the Navy identified and addressed readiness challenges for the *Arleigh Burke*-class destroyers. See Appendix A for our scope and methodology and prior coverage related to the audit.

### (U) Background

#### (U) Navy Organization

(U) According to the Office of the Chief of Naval Operations (OPNAV) Instruction 5450.352A, OPNAV establishes policies, provides sufficient resources, and ensures combat-ready naval forces to enhance maritime capabilities.<sup>1</sup> OPNAV ensures readiness of naval forces by working with subordinate commands under the administrative control of the Chief of Naval Operations.<sup>2</sup> For this report, we focused on operations of the Commander of U.S. Fleet Forces Command (COMUSFLTFORCOM), the Commander of U.S. Pacific Fleet (COMPACFLT), and the Commander of U.S. Naval Forces Europe/U.S. Naval Forces Africa. COMUSFLTFORCOM collaborates with COMPACFLT to develop fleet manpower, personnel, training (e.g. individual and unit) and education policies, requirements, and programs affecting active duty, reserve, and civilian personnel in support of operational readiness.

(U) Type commanders (TYCOMs) primarily supervise personnel, training, logistics, maintenance, and other support to ships.<sup>3</sup> Additionally, TYCOMs certify ships in assigned mission areas upon completion of required pre-deployment training and successful completion of various assessments. The Commander of Naval Surface Force Atlantic (COMNAVSURFLANT) is the Surface Force ship TYCOM who reports to COMUSFLTFORCOM.<sup>4</sup> The Commander of Naval Surface Force, U.S. Pacific Fleet (COMNAVSURFPAC) is the Surface Force ship TYCOM who reports to COMPACFLT.

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<sup>1</sup> (U) OPNAV Instruction 5450.352A, "Mission, Functions, and Tasks of the Office of the Chief of Naval Operations," April 23, 2018. Additionally, the Navy issued OPNAV Instruction 3000.16, "Navy Integrated Readiness," February 15, 2019, which specifies Navy policy, process, and responsibilities for generating combat-ready naval forces.

<sup>2</sup> (U) According to the "DoD Dictionary of Military and Associated Terms," July 2019, administrative control is authority over subordinate or other organizations with respect to administration and support.

<sup>3</sup> (U) Ships are categorized by type, and TYCOMs are responsible for specific types, such as Surface Force ships and Submarines. For example, the Commander of Naval Surface Force, U.S. Pacific Fleet, is the TYCOM over Surface Force ships in the Pacific.

<sup>4</sup> (U) In accordance with "Memorandum of Agreement Regarding Operational and Training Certification Plan of Rota-Based Forward Deployed Naval Forces-Europe Ships," September 19, 2014, COMUSFLTFORCOM certifies ships forward-deployed to Rota, Spain, across all required operational capabilities and projected operational environment mission areas.

## **(U) Surface Force Ships**

(U) As of August 16, 2019, the Navy had a battle force of 290 ships that are homeported in the United States or forward-deployed to foreign nations.<sup>5</sup> Forward-deployed naval forces are positioned around the globe to execute military diplomacy, reduce the risk of conflict, and promote a shared maritime environment. Of the Navy's 290 ships, approximately 174 are Surface Force ships. There are different types of Surface Force ships, such as guided-missile cruisers, guided-missile destroyers, and littoral combat ships. Within each ship type, there are one or more classes. One of the classes within the guided-missile destroyer type is the *Arleigh Burke*-class. At the time of our audit sample selection, the Navy's fleet of *Arleigh Burke*-class destroyers consisted of 64 ships. Since then, the Navy commissioned three additional *Arleigh Burke*-class destroyers, increasing the fleet of *Arleigh Burke*-class destroyers to 67 ships as of August 2019.

### **(U) *Arleigh Burke*-Class Destroyer**

(U) *Arleigh Burke*-class destroyers are multi-mission surface combatants capable of conducting anti-air warfare, anti-submarine warfare, and anti-surface warfare. The Navy commissioned the first *Arleigh Burke*-class destroyer on July 4, 1991. Since then, the Navy redesigned the *Arleigh Burke*-class destroyer, incorporating updated weapons systems. The estimated cost of an *Arleigh Burke*-class destroyer in FY 2019 is \$1.9 billion.<sup>6</sup> Figure 2 shows an example of an *Arleigh Burke*-class destroyer.

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<sup>5</sup> (U) According to SECNAV Instruction 5030.8C, "General Guidance for the Classification of Naval Vessels and Battle Force Ship Counting Procedures," June 14, 2016, battle force ships are commissioned warships capable of contributing to combat operations, or a ship that contributes directly to Navy warfighting or support missions.

<sup>6</sup> (U) According to the Office of the Under Secretary of Defense (Comptroller)/Chief Financial Officer's "Program Acquisition Cost By Weapon System, United States Department of Defense Fiscal Year 2019 Budget Request," the DoD budgeted approximately \$5.9 billion for three *Arleigh Burke*-class destroyers.

(U) Figure 2. Arleigh Burke-Class Destroyer (USS Oscar Austin)



(U) Source: The U.S. Navy.

### **(U) Incidents Involving Surface Force Ships**

(U) Between May 2012 and November 2017, there were at least 10 incidents involving Surface Force ships.<sup>7</sup> Of these 10 incidents, 4 involved an *Arleigh Burke*-class destroyer and resulted in injuries to individuals aboard the ships, and damage to ships and equipment. Additionally, of the 4 incidents involving an *Arleigh Burke*-class destroyer, 2 resulted in the death of 17 U.S. sailors. For example, on August 21, 2017, the *Arleigh Burke*-class destroyer USS *John S. McCain* and the commercial tanker Alnic MC collided outside the Straits of Malacca (Singapore). As a result of the collision, 10 sailors died, 48 sailors were injured, and the USS *John S. McCain* sustained significant hull damage. According to the Navy's investigation, the cause of the collision was the combined result of the crew's lack of knowledge on steering control, seamanship and navigation failures, and poor leadership and culture.<sup>8</sup> The Navy's investigation did not explain why the problems and deficiencies, including poor leadership and culture, were not addressed before the collision. Instead, the investigation stated that the collisions, along with

<sup>7</sup> (FOUO) [REDACTED]

<sup>8</sup> (U) U.S. Navy, "Report on the Collision between USS *John S. McCain* (DDG 56) and Motor Vessel Alnic MC," October 23, 2017.

(U) other incidents, indicated a need for the Navy to perform a review with a wider scope to determine systemic causes. In response to this recommendation the Navy issued the “Comprehensive Review of Recent Surface Force Incidents” on October 26, 2017.<sup>9</sup> The comprehensive review found that:

- (U) commanders, staff, and crew were pressured to meet rising operational demand over time;
- (U) evidence of skill proficiency and readiness problems were missed and became the norm so more time could be spent on missions; and
- (U) individuals did not recognize that the processes to identify, communicate, and assess readiness were no longer working.

(U) Additionally, the comprehensive review stated, “. . . up to the point of the mishaps, the ships had been performing operationally with good outcomes, which ultimately reinforced the rightness of trusting past decisions. This rationalized the continued deviation from the sound training and maintenance practices that set the conditions for safe operations.”

(U) The comprehensive review focused on surface fleet operations and incidents at sea that occurred from 2007 to 2017, with emphasis on the Navy’s 7th Fleet, and addressed weaknesses in:

- (U) fundamentals, such as basic skills and proficiency;
- (U) teamwork, including building and sustaining teams;
- (U) operational safety, including the process and tools for getting ships ready;
- (U) assessment, such as self-assessments and generating and sharing lessons learned; and
- (U) culture, including values and goals of the surface force.

(U) The Navy issued a second review in response to the Surface Force ship incidents, the “Strategic Readiness Review,” on December 3, 2017, to identify trends and contributing factors that have compromised performance and readiness of the fleet.

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<sup>9</sup> (U) U.S. Navy, “Comprehensive Review of Recent Surface Force Incidents,” October 26, 2017.

(U) The strategic review resulted in recommendations covering four broad areas, including recommendations that the Navy:

- (U) re-establish readiness as a priority by allowing sufficient time for training crews and maintaining ships;
- (U) match supply and demand of ready ships and sailors;
- (U) establish clear command and control relationships; and
- (U) become a true learning organization.<sup>10</sup>

(U) The Navy established the Readiness Reform and Oversight Council (RROC) in January 2018 to oversee and ensure the implementation of 117 recommendations from the Strategic Readiness Review, the Comprehensive Review of Recent Surface Force Incidents, and other reviews such as those performed by the Government Accountability Office.<sup>11</sup> According to a February 2019 report, of the 117 original recommendations, the Navy removed 6 recommendations because they were redundant with other efforts, leaving 111 recommendations.<sup>12</sup> In May 2019, the RROC officials provided us a status of the recommendations. See Appendix B for the Navy's status of plans to implement recommendations from the Strategic Readiness Review, the Comprehensive Review of Recent Surface Force Incidents, and other reviews such as those performed by the Government Accountability Office, as of May 22, 2019.

### ***(U) Optimized Fleet Response Plan***

(U) OPNAV Instruction 3000.15A, "Optimized Fleet Response Plan," (OFRP) provides a framework to improve fleet readiness and maximize ship employability in support of the Global Force Management Allocation Plan.<sup>13</sup> In addition, the OFRP establishes a predictable cycle that aligns personnel, maintenance and modernization, logistics,

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<sup>10</sup> (U) U.S. Navy, "Strategic Readiness Review," December 3, 2017.

<sup>11</sup> (U) The 117 recommendations consist of 58 in the Comprehensive Review report, 37 in the Strategic Review report, 11 in internal Navy reports and other sources, and 11 in Government Accountability Office reports.

<sup>12</sup> (U) Department of the Navy, "RROC: One Year Later," February 25, 2019.

<sup>13</sup> (U) OPNAV Instruction 3000.15A, "Optimized Fleet Response Plan," November 10, 2014. According to Chairman of the Joint Chiefs of Staff Manual 3130.06B, "Global Force Management Allocation Policies and Procedures," October 12, 2016, the Global Force Management Allocation Plan is a deployment order that the Secretary of Defense approves to direct the transfer of forces from force providers to the combatant commanders.

(U) inspections and evaluations, and training. According to the OFRP instruction, the cycle for ships homeported in the United States involves a building block approach consisting of four major phases, which are accomplished in a series. These phases are the:

- (U) maintenance phase (major shipyard repairs, upgrades and platform modernization, individual and team training, and inspections);
- (U) basic phase (core capability and skills achieved by individual ships to TYCOM standards);
- (U) integrated or advanced phase (advanced capability and skills so individual ships and staffs can operate as coordinated carrier strike groups); and
- (U) sustainment phase (deployment and training events to sustain and enhance warfighting readiness, including operating in joint and coalition environments).<sup>14</sup>

### ***(U) Surface Force Readiness Manual***

(U) COMNAVSURFPAC/COMNAVSURFLANT Instruction 3502.3A, “Surface Force Readiness Manual,” (SFRM) defines the education, training, and assessments required to produce readiness, and is the Navy’s plan for ships, staffs, and units to execute the OFRP.<sup>15</sup> The SFRM states that the goal of the readiness process is for sailors to deploy with their ship at the highest readiness level, to be properly prepared to overcome challenges during deployment, and to have been given training to sustain a high level of readiness throughout deployment. However, the SFRM does not provide a definition for “highest readiness level.” We used Navy Tactical Reference Publication 1-03.5, “Defense Readiness Reporting System-Navy Reporting Manual,” to define “highest readiness level” as possessing the required resources and training to undertake the full wartime missions for which a ship is organized or designed.<sup>16</sup>

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<sup>14</sup> (U) A carrier strike group is the largest operational unit of the Navy and is formed on an as-need basis to gain and maintain sea control. A typical carrier strike group may include an aircraft carrier, a guided missile cruiser, two guided missile destroyers, an attack submarine, and a supply ship.

<sup>15</sup> (U) COMNAVSURFPAC/COMNAVSURFLANT Instruction 3502.3A, “Surface Force Readiness Manual,” November 8, 2016. On November 1, 2018, the Navy issued COMNAVSURFPAC/COMNAVSURFLANT Instruction 3502.7, “Surface Force Training and Readiness Manual,” November 1, 2018, and canceled the SFRM. We determined that the update did not include any significant changes that would affect our finding and conclusions because Navy officials stated that the first *Arleigh Burke*-class destroyers to fully implement the new guidance will not deploy until November 2019.

<sup>16</sup> (U) Our definition of “highest readiness level” is based on Navy Tactical Reference Publication 1-03.5, “Defense Readiness Reporting System-Navy Reporting Manual,” February 2016.

(U) According to the SFRM, two fundamental milestones are required for ships to progress through the OFRP.

1. (U) Basic Phase Completion Report – certified by the TYCOM when all ship mission area certifications have been awarded or waivers have been granted. A mission area certification is awarded after the ship completes training requirements in particular mission areas such as Electronic Warfare and Undersea Warfare.
2. (U) Deployment Certification – granted by fleet commanders when a ship successfully completes the integrated phase, which certifies that the ship is ready to deploy. A Deployment Certification reports the readiness and certification level of all deploying Navy forces. Navy forces must complete training and attain satisfactory levels of performance in all required mission areas, among other requirements, to attain deployment certification.<sup>17</sup>

(U) The SFRM states that each ship must achieve prescribed standards in readiness and demonstrated proficiency before advancing through the OFRP in order to maximize effectiveness; however, the SFRM also allows ships to request waivers when they have not accomplished required tasks.<sup>18</sup> A waiver includes a description of a ship's inability to accomplish a task, corrective actions, and the expected date of completion. A waiver does not excuse a ship from accomplishing a task and should be cleared before deployment; however, the SFRM does not address what happens if a ship does not clear a waiver before deployment. Furthermore, circumstances such as forward deployment and a shortened basic phase require variations from the OFRP cycle.

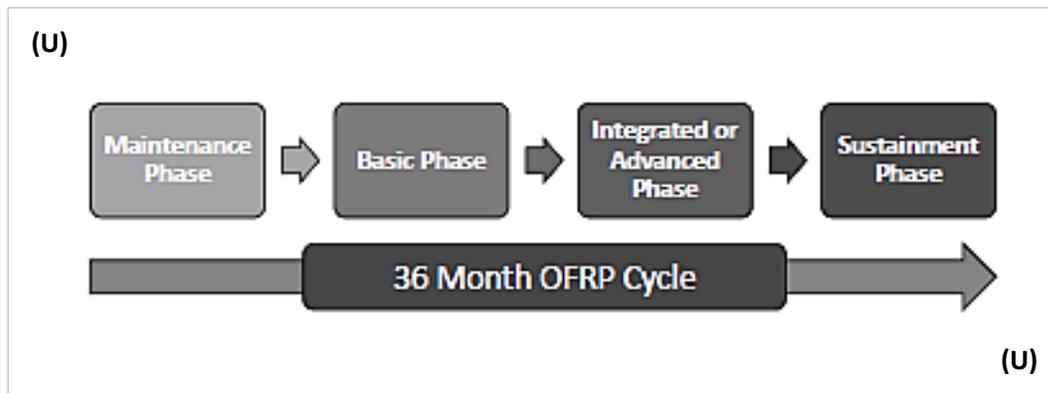
(U) OFRP cycles for ships homeported in the United States differ from those that are forward-deployed. *Arleigh Burke*-class destroyers homeported in the United States follow a 36 month OFRP cycle, as shown in Figure 3. All ship certifications expire at the beginning of the ship's maintenance phase, requiring a re-certification within each 36 month cycle.

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<sup>17</sup> (U) COMUSFLTFORCOM/COMPACFLT Instruction 3501.3D, Change 1, "Fleet Training Continuum Instruction," October 1, 2012.

<sup>18</sup> (U) According to the SFRM, the ship, not an individual, is responsible for submitting waiver requests.

(U) Figure 3. Optimized Fleet Response Plan for Cruisers/Destroyers



(U) Source: The DoD OIG.

(U) Forward-deployed *Arleigh Burke*-class destroyers follow a variation of the OFRP. For example, Forward-Deployed Naval Forces-Europe ships are required to have mission area re-certifications every 32 months. According to the SFRM, forward-deployed naval forces ships must be continuously prepared to execute complex operations due to frequent tasking.

### **(U) Defense Readiness Reporting System-Navy**

(U) According to OPNAV Instruction 3501.360A, “Defense Readiness Reporting System-Navy,” Defense Readiness Reporting System-Navy (DRRS-N) is the Navy’s authoritative system for readiness reporting.<sup>19</sup> The Instruction states that DRRS-N collects and displays the status and availability of resources for the following areas, by unit, to accomplished assigned missions.

- (U) Personnel (P pillar) – unit personnel readiness
- (U) Equipment (E pillar) – unit equipment readiness
- (U) Supply (S pillar) – unit supply readiness
- (U) Training (T pillar) – unit training readiness
- (U) Ordnance (O pillar) – unit ordnance readiness

<sup>19</sup> (U) OPNAV Instruction 3501.360A, “Defense Readiness Reporting System-Navy,” October 17, 2014.

(U) The DRRS-N Instruction requires ships to report updated assessments within 30 days of the last assessment or within 24 hours of a significant change in readiness.<sup>20</sup> According to the DRRS-N Manual, DRRS-N also includes a unit commanding officer's subjective comments concerning the unit's ability to perform its mission-essential tasks.<sup>21</sup> The commanding officer considers resource availability, observed performance, military experience, and judgments when evaluating a unit's ability to perform its mission-essential tasks.

## (U) *Arleigh Burke*-Class Destroyers Reviewed for Readiness

(U) We reviewed the readiness of *Arleigh Burke*-class destroyers because of their important role in naval operations and the fact that 4 of the 10 incidents between May 2012 and November 2017 involved an *Arleigh Burke*-class destroyer.<sup>22</sup> We nonstatistically selected 12 of 64 *Arleigh Burke*-class destroyers that reported readiness assessments in DRRS-N and assessed the personnel, equipment, supply, training, and ordnance readiness areas. To identify readiness challenges of *Arleigh Burke*-class destroyers and determine whether the Navy addressed them, we reviewed and analyzed readiness assessments for the ships' most recently completed OFRP cycle from 2013 to 2018: DRRS-N commanding officers' assessments, Basic Phase Completion Reports, Deployment Certifications, and ships' waivers from readiness requirements.

(U) The 12 ships we nonstatistically selected for our sample completed the sustainment phase of the OFRP by 2018. Table 1 shows ships selected for our sample that were homeported on the Atlantic and the Pacific coasts, and forward-deployed to Naval Forces-Europe. We excluded ships forward-deployed to Naval Forces-Japan from our sample due to ongoing Navy reviews regarding those ships. We also did not include *Arleigh Burke*-class destroyers under construction or not yet commissioned.

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<sup>20</sup> (U) According to OPNAV Instruction 3501.360A, "Defense Readiness Reporting System-Navy," October 17, 2014, a significant change in readiness means a change in value for either an individual task or the mission as a whole.

<sup>21</sup> (U) Navy Tactical Reference Publication 1-03.5, "Defense Readiness Reporting System-Navy Reporting Manual," February 2016. OPNAV Instruction 3501.360A, "Defense Readiness Reporting System-Navy," October 17, 2014, defines a mission-essential task as a task with associated conditions and standards, which is critical to the success of a mission.

<sup>22</sup> (U) According to the Navy, four *Arleigh Burke*-class destroyers were involved in incidents between 2012 and 2017. In August 2012, the USS *Porter* collided with a tanker near the Strait of Hormuz. In June 2017, the USS *Fitzgerald* collided with the ACX *Crystal* off the coast of Japan. In August 2017, the USS *John S. McCain* collided with the *Alnic MC* in the Straits of Singapore. In November 2017, a Japanese tugboat lost propulsion and drifted into the USS *Benfold*.

(U) Table 1. Arleigh Burke-Class Destroyers Selected for Review

(U) Ship	Homeport	Fleet: U.S. Atlantic Fleet (Atlantic) or U.S. Pacific Fleet (Pacific)	Forward- Deployed Naval Force	OFRP Cycle Reviewed
USS Carney	Rota, Spain	Atlantic	X	9/1/15 - 4/17/18
USS Donald Cook	Rota, Spain	Atlantic	X	2/1/14 - 4/17/18
USS James E. Williams	Norfolk, VA	Atlantic		10/19/15 - 2/18/18
USS Mahan	Norfolk, VA	Atlantic		3/16/15 - 2/18/18
USS Oscar Austin	Norfolk, VA	Atlantic		10/12/15 - 2/18/18
USS Porter	Rota, Spain	Atlantic	X	5/1/15 - 4/17/18
USS Ross	Rota, Spain	Atlantic	X	6/1/14 - 4/17/18
USS Stout	Norfolk, VA	Atlantic		5/12/14 - 11/12/17
USS Howard	San Diego, CA	Pacific		9/16/14 - 2/25/18
USS Kidd	Everett, WA	Pacific		7/9/15 - 3/18/18
USS Chafee	Pearl Harbor, HI	Pacific		8/5/13 - 2/25/18
USS Pinckney	San Diego, CA	Pacific		12/15/14 - 2/11/18

(U) Source: The DoD OIG.

(U) For each ship, we also performed an analysis of the five readiness areas to identify common readiness challenges. Specifically, we analyzed personnel, equipment, supply, training, and ordnance readiness areas that impacted a ship’s ability to complete mission area certifications prior to deployment. For example, without the appropriate number of qualified personnel or operational equipment, a ship cannot complete unit-level training to achieve certifications and maintain proficiency on assigned tasks. Therefore, this report focuses on training deficiencies that were the result of one or more challenges to the readiness areas we reviewed. The SFRM states that training should be provided in order to overcome any challenges and maintain high readiness levels through deployment.

**(U) Without the appropriate number of qualified personnel or operational equipment, a ship cannot complete unit-level training to achieve certifications and maintain proficiency.**

### (U) Review of Internal Controls

(U) DoD Instruction 5010.40 requires DoD organizations to implement a comprehensive system of internal controls that provides reasonable assurance that programs are operating as intended and to evaluate the effectiveness of the controls.<sup>23</sup>

<sup>23</sup> (U) DoD Instruction 5010.40, “Managers’ Internal Control Program Procedures,” May 30, 2013.

(U) We identified internal control weaknesses within the Department of the Navy's SFRM. The SFRM prescribes a plan for ships, staffs, and units to execute the OFRP and obtain highest readiness levels at and throughout deployment. However, the Navy did not always complete training requirements in accordance with the SFRM. For example, some ships did not maintain mission area certifications and complete training exercises, as required by the SFRM. We will provide a copy of the report to the senior officials responsible for internal controls in the Department of the Navy.

## (U) Finding

### (U) The Navy Did Not Address Readiness Challenges With Training for *Arleigh Burke*-Class Destroyers

(U) Navy fleet commanders, TYCOMs, and unit commanding officers identified training deficiencies during the *Arleigh Burke*-class destroyers' OFRP cycles, but did not address the identified deficiencies. We analyzed Navy readiness assessments, as well as the ships' waivers from readiness requirements issued between August 2013 and April 2018 for the most recently completed OFRP cycles of 12 of 64 *Arleigh Burke*-class destroyers, and identified the following training deficiencies.<sup>24</sup>

- (S) Commanding officers reported training deficiencies in DRRS-N for 9 of the 12 ships we reviewed. These reports detail a ship's inability to be certified or maintain proficiency in mission areas such as Electronic Warfare or Undersea Warfare. For example, [REDACTED]  
[REDACTED]  
[REDACTED].<sup>25</sup>
- (S) Fleet commanders reported on Deployment Certifications that 5 of 12 the ships we reviewed had deficiencies that were the result of training that was either incomplete, or not completed under established conditions or standards. For example, [REDACTED]  
[REDACTED]  
[REDACTED].

(U) Training deficiencies persisted because the Navy did not always complete training requirements in accordance with the SFRM. For example:

- (U) the USS *Howard* did not complete all Strike Warfare mission area exercises, such as those for Naval Surface Fire Support, before deployment; therefore, the ship will have not be able to conduct gunnery support, such as identifying where the ship is shooting; and

<sup>24</sup> (U) Readiness assessments reviewed include DRRS-N Reports and Deployment Certifications.

<sup>25</sup> (U) Repetitive exercises are exercises conducted by ships following mission area certification in order to maintain proficiency in each mission area.

- (S) [REDACTED]

(S) If the [REDACTED]  
 [REDACTED]  
 [REDACTED]  
 [REDACTED]  
 [REDACTED]  
 [REDACTED]

### **(U) Readiness Challenges in Training of *Arleigh Burke*-Class Destroyers Persist**

(U) The Navy identified but did not address training readiness challenges of the *Arleigh Burke*-class destroyers. For the 12 ships in our sample, Navy officials identified training deficiencies in DRRS-N and on Deployment Certifications.

#### **(U) Training Deficiencies Reported in DRRS-N**

(U) The Navy identified training deficiencies affecting the readiness of *Arleigh Burke*-class destroyers in DRRS-N. The OFRP Instruction states, “Training processes within the OFRP provide required levels of training readiness at the appropriate time in the OFRP cycle.”<sup>26</sup> For example, mission area certifications are awarded early in the OFRP cycle before deployment. After achieving mission area certifications, ships are required to conduct repetitive exercises to maintain proficiency in each mission area.

(U) According to the SFRM, commanding officers report ship readiness, including a ship’s training status and degradations to mission areas, in DRRS-N. We determined that commanding officers reported training deficiencies, such as incomplete training or not achieving a required mission area certification, in DRRS-N readiness assessments throughout ships’ OFRP cycles. For example, commanding officers for 9 of 12 *Arleigh Burke*-class destroyers in our sample reported training deficiencies, such as the inability to be certified in mission

**(U) Commanding officers for 9 of 12 *Arleigh Burke*-class destroyers in our sample reported training deficiencies, such as the inability to be certified in mission areas.**

<sup>26</sup> (U) OPNAV Instruction 3000.15A, “Optimized Fleet Response Plan,” November 10, 2014.



### **(U) Training Deficiencies Reported on Deployment Certifications**

(U) The Navy identified training deficiencies for *Arleigh Burke*-class destroyers on ships' Deployment Certifications. Fleet commanders grant Deployment Certifications before deployment to report the readiness and certification levels of all deploying Navy forces. According to Navy guidance, the goal of the readiness process is for sailors to deploy with their ship at the highest readiness levels.<sup>27</sup> Deploying at the "highest readiness levels" includes being trained to undertake the full wartime missions for which a ship is organized or designed.

(S) [Redacted text block]

(U) Table 3. Training Deficiencies Reported on Deployment Certifications

(S) [Redacted]	[Redacted]
[Redacted]	
[Redacted]	1
[Redacted]	1
[Redacted]	
[Redacted]	
[Redacted]	1
[Redacted]	
[Redacted]	1
[Redacted]	
[Redacted]	1
[Redacted]	1
[Redacted]	
[Redacted]	

\*(U) The USS *Chafee* was the only ship in our sample that had two Deployment Certifications; each of the other ships in our sample had only one Deployment Certification between 2013 and 2018.  
(U) Source: The DoD OIG.

<sup>27</sup> (U) COMNAVSURFPAC/COMNAVSURFLANT Instruction 3502.3A, Surface Force Readiness Manual," November 8, 2016.

(S) For example, [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

### (U) The Navy Did Not Always Complete SFRM Training Requirements

(U) Training deficiencies persisted because the Navy did not always complete training requirements in accordance with the SFRM. The SFRM defines the training that is required to produce ships that are ready to deploy and states that each ship must achieve the prescribed readiness standards and demonstrate proficiency before advancing through the OFRP. Some ships did not maintain mission area certifications and complete training exercises, as required by the SFRM.

**(U) Training deficiencies persisted because the Navy did not always complete training requirements in accordance with the SFRM.**

(U) For example, the USS *Howard* submitted a waiver request stating that the ship was unable to execute all Strike Warfare mission area training exercises, such as those for Naval Surface Fire Support, before deployment because the timing of training events coincided with the ship's deployment date.<sup>28</sup> However, the SFRM requires ships to complete mission area training exercises before deployment. The inability to complete the mission area exercises affect the proficiency of the teams and the ability of the ship to contribute to the joint fight ashore.

(S) [REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

<sup>28</sup> (S) [REDACTED]  
[REDACTED]

(S) [Redacted]

(U) Training readiness challenges will continue if the Navy does not complete required training. Based on DRRS-N data, as of June 1, 2019, we identified 26 *Arleigh Burke*-class destroyers either in deployed status or in the sustainment phase of the OFRP that Navy officials stated were following the SFRM; therefore, these ships may have readiness challenges similar to the *Arleigh Burke*-class destroyers in our sample. Therefore, we recommend that the Commander of U.S. Fleet Forces Command, in collaboration with the Commander of Naval Surface Force Atlantic, and the Commander of U.S. Pacific Fleet, in collaboration with the Commander of Naval Surface Force, U.S. Pacific Fleet, determine whether *Arleigh Burke*-class destroyers currently deployed or in the sustainment phase of the OFRP have outstanding training deficiencies; and direct *Arleigh Burke*-class destroyers to complete any outstanding training requirements immediately or as soon as the mission allows.

**(U) Training readiness challenges will continue if the Navy does not complete required training.**

### (U) Conclusion

(S) [Redacted]

(U) During our audit, the Navy made efforts to address deficiencies identified in the Comprehensive Review of Recent Surface Force Incidents and the Strategic Readiness Review reports. For example, the Navy established the RROC to oversee and ensure the implementation of the recommendations from the Strategic Readiness Review, the Comprehensive Review of Recent Surface Force Incidents, and other reviews, such as those performed by the Government Accountability Office. Also, the Navy updated the SFRM to the Surface Force Training and Readiness Manual. However, the update did not include any significant changes that would affect our finding, conclusions, and recommendations.

## **(U) Recommendations, Management Comments, and Our Response**

### **(U) Recommendation 1**

**(U) We recommend that the Commander of U.S. Fleet Forces Command, in collaboration with the Commander of Naval Surface Force Atlantic:**

- a. **(U) Determine whether *Arleigh Burke*-class destroyers currently deployed or in the sustainment phase of the Optimized Fleet Response Plan have outstanding training deficiencies.**
- b. **(U) Direct *Arleigh Burke*-class destroyers identified under Recommendation 1.a, to complete any outstanding training requirements immediately or as soon as the mission allows.**

### **(U) Recommendation 2**

**(U) We recommend that the Commander of U.S. Pacific Fleet, in collaboration with the Commander of Naval Surface Force, U.S. Pacific Fleet:**

- a. **(U) Determine whether *Arleigh Burke*-class destroyers currently deployed or in the sustainment phase of the Optimized Fleet Response Plan have outstanding training deficiencies.**
- b. **(U) Direct *Arleigh Burke*-class destroyers identified under Recommendation 2.a, to complete any outstanding training requirements immediately or as soon as the mission allows.**

### ***(U) Commander of U.S. Fleet Forces Command and Commander of U.S. Pacific Fleet Consolidated Comments***

(U) The Deputy Commander, U.S. Pacific Fleet, responding for the Commander, U.S. Pacific Fleet, provided a consolidated response, and the Commander, U.S. Fleet Forces Command, concurred with U.S. Pacific Fleet's response to the recommendations. The Deputy Commander, neither agreed nor disagreed with the recommendations. The Deputy Commander stated that all *Arleigh Burke*-class destroyers currently deployed or in the sustainment phase are fully certified. The Deputy Commander stated that the update to the SFRM, the Surface Force Training and Readiness Manual, November 2018, contains checkpoints to ensure ships are Basic Phase certified before deployment. The Deputy Commander also stated that ships undergo two Readiness Assessments when returning from deployment and entering the sustainment phase to ensure training certifications are maintained throughout the sustainment period,

(U) and to determine areas where focused training might be required. The Deputy Commander further stated that there are no outstanding training requirements because the destroyers currently deployed or in the sustainment phase are fully certified.

*(U) Our Response*

(U) Although the Deputy Commander neither agreed nor disagreed with the recommendations, the comments addressed all specifics of the recommendations; therefore, the recommendations are resolved but will remain open. We will close these recommendations after the Deputy Commander provides the methodology and supporting documentation used, including ships assessed and applicable certifications, to conclude that all *Arleigh Burke*-class destroyers currently deployed or in the sustainment phase are fully certified.

## **(U) Appendix A**

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### **(U) Scope and Methodology**

(U) We conducted this performance audit from February 2018 through November 2019 in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

### **(U) Navy Readiness Guidance**

(U) To determine whether the Navy identified and addressed the readiness challenges of *Arleigh Burke*-class destroyers, we reviewed the following DoD and Navy regulations and guidance.

- (U) DoD Directive 7730.65, "Department of Defense Readiness Reporting System (DRRS)," May 11, 2015
- (U) DoD Instruction 7730.66, "Guidance for the Defense Readiness Reporting System (DRRS)," July 8, 2011
- (U) OPNAV Instruction 3000.15A, "Optimized Fleet Response Plan," November 10, 2014
- (U) OPNAV Instruction 3000.16, "Navy Integrated Readiness," February 15, 2019
- (U) OPNAV Instruction 3501.360A, "Defense Readiness Reporting System-Navy," October 17, 2014
- (U) OPNAV Instruction 3501.383, "Fleet Readiness Reporting Guidance," October 20, 2010
- (U) Navy Tactical Reference Publication 1-03.5, "Defense Readiness Reporting System-Navy Reporting Manual," February 2016
- (U) COMUSFLTFORCOM/COMPACFLT Instruction 3501.3D, Change 1, "Fleet Training Continuum Instruction," October 1, 2012
- (U) COMNAVSURFPAC/COMNAVSURFLANT Instruction 3502.3A, "Surface Force Readiness Manual," November 8, 2016
- (U) COMNAVSURFPAC/COMNAVSURFLANT Instruction 3502.7, "Surface Force Training and Readiness Manual," November 1, 2018

(U) We nonstatistically selected 12 of 64 *Arleigh Burke*-class destroyers that reported readiness assessments in DRRS-N. We focused our review on the readiness of *Arleigh Burke*-class destroyers because of their important role in naval operations and 4 of the 10 incidents between May 2012 and November 2017 involved an *Arleigh Burke*-class destroyer. We captured training readiness assessment data for the ships' most recently completed OFRP cycle by using commanding officers' assessments recorded in DRRS-N, fleet commanders' Deployment Certifications, and ships' waivers from readiness requirements. The 12 ships we selected for our sample completed the sustainment phase, the final phase of the OFRP cycle, by 2018. We selected ships homeported on the Atlantic coast, the Pacific coast, and forward-deployed to Naval Forces-Europe for our sample. We excluded ships forward-deployed to Naval Forces-Japan from our sample due to numerous ongoing reviews regarding those ships. Lastly, we did not include *Arleigh Burke*-class destroyers under construction or not commissioned.

(U) To identify readiness challenges of *Arleigh Burke*-class destroyers, we reviewed and analyzed the following readiness assessments.

- (U) DRRS-N commanding officers' assessments
- (U) Basic Phase Completion Reports
- (U) Deployment Certifications
- (U) Ships' waivers from readiness requirements

(U) Additionally, we performed a trend analysis to identify common readiness challenges across the five readiness areas (personnel, equipment, supply, training, and ordnance) for the most recently completed OFRP cycle.

(U) For each ship within our sample, we also performed an analysis of the five readiness areas to identify common readiness challenges. Specifically, we analyzed personnel, equipment, supply, training, and ordnance readiness areas that impacted a ship's ability to complete mission area certifications prior to deployment. For example, without appropriate number of qualified personnel or operational equipment, a ship cannot complete unit-level training to achieve certifications and maintain proficiency on assigned tasks. Therefore, this report focuses on training deficiencies that were the result of one or more challenges to the readiness areas we reviewed. The SFRM states that training should be provided in order to overcome any challenges and maintain high readiness levels through deployment. Furthermore, to determine how the Navy was addressing current reported readiness challenges, the audit team interviewed COMUSFLTFORCOM and COMNAVSURFLANT officials.

(U) We visited or contacted the following Navy components to discuss processes for identifying and addressing readiness challenges for *Arleigh Burke*-class destroyers.

- (U) Office of the Chief of Naval Operations
- (U) U.S. Fleet Forces Command
- (U) Commander, Naval Surface Force Atlantic
- (U) Commander, Naval Surface Force, U.S. Pacific Fleet

(U) We also met with Navy officials at the RROC, where we obtained and analyzed documentation on the Navy's efforts to implement recommendations from the Strategic Readiness Review and the Comprehensive Review of Recent Surface Force Incidents to determine the status of implementation efforts.

## **(U) Use of Computer-Processed Data**

(U) We obtained and used computer-processed data to perform this audit. Specifically, we used assessments from DRRS-N to determine readiness challenges reported by the Navy commanders. We confirmed these challenges with information reported in supporting documents, including Deployment Certifications and ships' waivers, and through interviews with COMUSFLTFORCOM and COMNAVSURFLANT officials. The data were sufficiently reliable for the purpose of this audit.

## **(U) Prior Coverage**

(U) During the last 5 years, the Government Accountability Office (GAO) and the Department of the Navy issued six reports discussing Navy fleet readiness. Unrestricted GAO reports can be accessed at <http://www.gao.gov>. Unrestricted Department of the Navy reports can be accessed from <https://www.navy.mil>.

## **(U) GAO**

(U) Report No. GAO-17-413, "Navy Force Structure: Actions Needed to Ensure Proper Size and Composition of Ship Crews," May 18, 2017

(U) The GAO reviewed the Navy's reduced personnel initiatives in the surface fleet. In 2001, the Navy began reducing crew sizes on surface ships through an initiative called optimal manning, which was intended to achieve workload efficiencies and reduce personnel costs. The GAO reported that total ship operating and support costs, and maintenance backlogs increased during the optimal manning period, from 2003 to 2012, and continued to increase for most ship classes since the

(U) initiative ended. The GAO recommended that the Navy reassess the standard workweek; require examination of in-port workload; require reassessment of the factors used to develop manpower requirements; and identify the personnel costs needed to man a larger fleet.

(U) Report No. GAO-16-841, "Military Readiness: DoD's Readiness Efforts May Be at Risk without a Comprehensive Plan," September 7, 2016

(U) The GAO reviewed the DoD's efforts to rebuild military readiness. The GAO found that the military services did not define comprehensive strategies, nor did they fully assess the effect of external factors such as maintenance and training on readiness rebuilding goals. Furthermore, the GAO reported military services did not fully establish metrics to oversee readiness rebuilding efforts and evaluate progress towards achieving identified goals. The GAO recommended that the DoD and the Military Services establish comprehensive readiness goals and strategies, as well as associated metrics that can be used to evaluate whether readiness recovery efforts are achieving intended outcomes.

(U) Report No. GAO-16-466R, "Military Readiness: Progress and Challenges in Implementing the Navy's Optimized Fleet Response Plan," May 2, 2016

(U) The GAO reviewed matters related to the Navy's OFRP. Specifically, the GAO reviewed the extent of maintenance overruns and their impact on the Navy; the Navy's goals and progress in implementing the OFRP; and challenges faced by public and private shipyards supporting the implementation of the OFRP. The GAO found that the public and private shipyards involved in Navy ship maintenance face a number of challenges in completing maintenance on time, including unanticipated work requirements, workforce inexperience, and workload fluctuations. Furthermore, the GAO found that the Navy struggled to accurately define ship maintenance requirements, a step that is key to completing maintenance on time.

(U) Report No. GAO-15-329, "Navy Force Structure: Sustainable Plan and Comprehensive Assessment Needed to Mitigate Long-Term Risks to Ships Assigned to Overseas Homeports," May 29, 2015

(U) The GAO analyzed the Navy's decision-making process for determining when to homeport ships overseas and identified the relative costs and benefits of various approaches, including the operational benefits, costs, and readiness effects associated with assigning ships to U.S. or overseas homeports; and the extent to which the Navy has identified and mitigated risks from homeporting ships overseas. The GAO found that some ships homeported overseas have had consistently

(U) deferred maintenance resulting in long-term degraded material condition and increased maintenance costs, and could shorten a ship's service life. The GAO recommended that the Navy develop and implement a sustainable operational schedule for all ships homeported overseas and conduct a comprehensive assessment of the risks associated with overseas homeporting.

### **(U) Navy**

(U) Department of the Navy, "Strategic Readiness Review," December 3, 2017

(U) The Secretary of the Navy directed a review of the Navy after the incidents involving Seventh Fleet ships that resulted in significant loss of life and injury in 2017. A team of senior civilian executives and former senior military officers examined issues of governance, accountability, operations, organizational structure, and personnel and training over the past three decades to identify trends and contributing factors that compromised performance and readiness of the fleet. The review team issued recommendations, including four broad strategic recommendations that the Navy re-establish readiness as a priority; match supply and demand regarding ships and sailors; establish clear command and control relationships; and become a true learning organization.

(U) Department of the Navy, "Comprehensive Review of Recent Surface Force Incidents," October 26, 2017

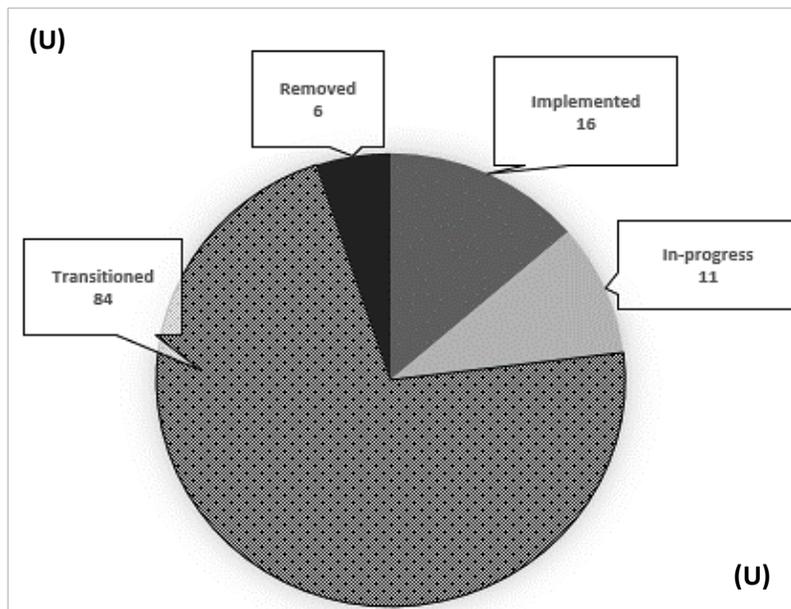
(U) The Commander of U.S. Fleet Forces Command assembled a team to review surface fleet operations and incidents at sea that occurred over the past decade with emphasis on the Seventh Fleet to inform improvements Navy-wide. The review team addressed individual training and professional development, unit-level training and operational performance, development and certification of deployed operational and mission standards, deployed operational employment and risk management, readiness of electronic systems, and current navigation equipment and combat systems. The review team issued recommendations intended to make the surface force safer and more effective in areas such as fundamentals, teamwork, operational safety, assessment, and culture.

## (U) Appendix B

### (U) Status of Recommendations from the Strategic Readiness Review and the Comprehensive Review of Recent Surface Force Incidents

(U) The Navy originally planned to implement 117 recommendations from the Strategic Readiness Review, the Comprehensive Review of Recent Surface Force incidents, and other reviews such as those performed by the Government Accountability Office. The RROC officials reduced the 117 recommendations to 111 recommendations (removed 6 recommendations due to redundancy). As of May 22, 2019, RROC officials provided us an updated status of plans to implement the 111 recommendations described as either in-progress, implemented, or transitioned, shown in Figure 4.

(U) Figure 4. RROC Status of Recommendations From Reviews as of May 2019



(U) Source: The DoD OIG

- (U) Eleven recommendations were in-progress (actions to address recommendations have begun but not all plans or policies are in place).
- (U) Sixteen recommendations were implemented (corrective actions, plans, or policies are in place or may need more time to take full effect).
- (U) Eighty-four recommendations were transitioned from the RROC to Navy stakeholder (corrective actions, plans, or policies were approved by the RROC).

## (U) Management Comments

### (U) Commander of U.S. Fleet Forces Command

(U)



DEPARTMENT OF THE NAVY  
UNITED STATES FLEET FORCES COMMAND  
1562 MITSCHER AVENUE SUITE 250  
NORFOLK VA 23551-2487

7510  
Ser N00/013  
17 Jan 20

From: Commander, U.S. Fleet Forces Command  
To: Department of Defense Inspector General

Subj: RESPONSE TO DEPARTMENT OF DEFENSE INSPECTOR GENERAL AUDIT OF  
READINESS OF ARLEIGH BURKE-CLASS DESTROYERS DRAFT REPORT

Ref: (a) COMPACFLT Itr 7510 Ser N01/1493 of 13 Dec 19

Encl: (1) Commander, U.S. Pacific Fleet response to Audit of Readiness of Arleigh Burke-  
Class Destroyers Draft Report

1. After review of reference (a) and enclosure (1), I concur with U.S. Pacific Fleet's (USPACFLT) response as written. USPACFLT's response is the consolidated U.S. Fleet Forces Command (USFLTFORCOM) and USPACFLT response to this report.

2. All questions regarding this matter should be directed to [REDACTED]

at [REDACTED].

C. W. GRADY

(U)

**(U) Commander of U.S. Fleet Forces Command (cont'd)**

(U)

Commander, U.S. Pacific Fleet

Response to:

**AUDIT OF READINESS OF ARLEIGH BURKE-CLASS DESTROYERS DRAFT REPORT**

(DoDIG Draft Audit Report Project No. D2018-D000RM-0101.000)

**DoDIG Draft Audit Report Recommendation 2.**

We recommend that the Commander of U.S. Pacific Fleet, in collaboration with the Commander of Naval Surface Force, U.S. Pacific Fleet:

- a. Determine whether Arleigh Burke-class destroyers currently deployed or in the sustainment phase of the Optimized Fleet Response Plan (OFRP) and under the Surface Force Readiness Manual (SFRM) have outstanding training deficiencies.
- b. Direct Arleigh Burke-class destroyers identified under Recommendation 2a, to complete any outstanding training requirements immediately or as soon as the mission allows.

**USPACFLT Response to Recommendation 2a.**

All Arleigh Burke-class destroyers currently deployed or in the sustainment phase are fully certified. The update to the SFRM, the Surface Force Training and Readiness Manual (SFTRM), signed in November 2018, contains checkpoints to ensure ships are Basic Phase certified prior to deployment. Additionally, as ships return from deployment and enter the sustainment phase, they undergo two Readiness Assessments (READ-Es) to ensure their training certifications are maintained throughout the sustainment period. As defined in the SFTRM, those are the READ-E 1 (ship self-look) and the READ-E 3 (TYCOM led assessment). The READ-E 1 and 3 are designed to ensure ships are able to maintain training certifications throughout sustainment as well as determine areas in which focused training might be required.

**USPACFLT Response to Recommendation 2b.**

Not applicable, there are no outstanding training requirements.

**Additional USPACFLT Comments.**

- 1. Given the period of analysis supporting the report findings, the shortfalls addressed within the report have been corrected, and solid methodologies are in place to continue forging readiness and effective risk management, while preventing regression.
  - a. The USS FITZGERALD (DDG 62) and USS JOHN S. MCCAIN (DDG 56) collisions of 2017 spawned the Comprehensive Review (CR) and Strategic Readiness Review (SRR), which were released in October 2017 and December 2017, respectively. The Navy's Readiness &

Enclosure (1)

(U)

**(U) Commander of U.S. Fleet Forces Command (cont'd)**

(U)

Subj: COMMANDER, U.S. PACIFIC FLEET RESPONSE TO AUDIT OF READINESS OF ARLEIGH BURKE-CLASS DESTROYERS DRAFT REPORT

Reform Oversight Council was established in January 2018 as the means of managing Navy implementation of CR/SRR findings and eliminating the barriers thereto (to include funding reprogramming, as required). The 12 DDGs reviewed by this report were examined during OFRP cycles ranging from August 2013 – April 2018, before the vast majority of corrective actions resultant from CR/SRR findings could gain a foothold.

b. Navy/Surface Warfare embarked upon a 3-tier approach to implementing CR/SRR recommendations that: validated safety to operate across the Surface Force, spawned more effective operations under enhanced risk management calculus across all OPCON/ADCON echelons, and drives toward a culture of excellence.

c. As part of 2018 “Safe to Operate” validations/actions, Risk Assessment & Mitigation Plans (RAMPS) were eliminated. RAMPS were originally created as the means addressing warfare/mission areas in which ships had not yet completed all certification requirements, and included the path to complete all remaining certification requirements within that warfare area. Over time, “normalization of deviation” occurred, by which RAMPS were employed too frequently and their contents not completed – thus resulting in delinquent certifications amidst ongoing operations. As the result of RAMP elimination, certifications are binary, and ships not certified in all warfare areas are not deemed “Basic Phase complete,” by the Type Commander (who owns such designation). If not “Basic Phase complete” ships are subject to deliberate scheduling under which the Type Commander and Numbered Fleet Commander must agree on any tasking assigned to that ship. If such agreement is not reached, a four-star level Fleet Commander decision regarding operational employment of that ship is required.

d. Also as part of 2018 “Safe to Operate” validations, Ready for Sea Assessments were created as the means of assessing ship’s preparedness for operations (starting with FDNF-J units) given CR/SRR findings. As these assessments were conducted, ships requiring time complete certifications and/or enhance proficiency in key areas were limited in operations pending completion of such.

e. The SFRM/SFEM have been superseded by the SFTRM which codifies a more rigorous Basic Phase certification process.

(U)

**(U) Commander of U.S. Pacific Fleet**

(U)



DEPARTMENT OF THE NAVY  
COMMANDER  
UNITED STATES PACIFIC FLEET  
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PEARL HARBOR HI 96860-3131

IN REPLY REFER  
7510  
Ser N01/1493  
13 Dec 19

From: Commander, U.S. Pacific Fleet  
To: Department of Defense Inspector General

Subj: RESPONSE TO DOD INSPECTOR GENERAL AUDIT OF READINESS OF  
ARLEIGH BURKE-CLASS DESTROYERS DRAFT REPORT

Ref: (a) (U) DoDIG Project No. D2018-D000RM-0101.000, Audit of Readiness of Arleigh  
Burke-Class Destroyers of November 8, 2019 (S)

Encl: (1) (U) Commander, U.S. Pacific Fleet Response to Audit of Readiness of Arleigh  
Burke Class Destroyers Draft Report

1. U.S. Pacific Fleet (USPACFLT) comments to reference (a) are provided in enclosure (1).

2. Please direct any questions to the [REDACTED] at [REDACTED], [REDACTED].

A handwritten signature in black ink, appearing to read "K. R. WhiteSELL", is positioned above the typed name.

K. R. WHITESELL  
Deputy Commander

(U)

## (U) Commander of U.S. Pacific Fleet (cont'd)

(U)

Commander, U.S. Pacific Fleet

Response to:

AUDIT OF READINESS OF ARLEIGH BURKE-CLASS DESTROYERS DRAFT REPORT

(DoDIG Draft Audit Report Project No. D2018-D000RM-0101.000)

### **DoDIG Draft Audit Report Recommendation 2.**

We recommend that the Commander of U.S. Pacific Fleet, in collaboration with the Commander of Naval Surface Force, U.S. Pacific Fleet:

- a. Determine whether Arleigh Burke-class destroyers currently deployed or in the sustainment phase of the Optimized Fleet Response Plan (OFRP) and under the Surface Force Readiness Manual (SFRM) have outstanding training deficiencies.
- b. Direct Arleigh Burke-class destroyers identified under Recommendation 2a, to complete any outstanding training requirements immediately or as soon as the mission allows.

### **USPACFLT Response to Recommendation 2a.**

All Arleigh Burke-class destroyers currently deployed or in the sustainment phase are fully certified. The update to the SFRM, the Surface Force Training and Readiness Manual (SFTRM), signed in November 2018, contains checkpoints to ensure ships are Basic Phase certified prior to deployment. Additionally, as ships return from deployment and enter the sustainment phase, they undergo two Readiness Assessments (READ-Es) to ensure their training certifications are maintained throughout the sustainment period. As defined in the SFTRM, those are the READ-E 1 (ship self-look) and the READ-E 3 (TYCOM led assessment). The READ-E 1 and 3 are designed to ensure ships are able to maintain training certifications throughout sustainment as well as determine areas in which focused training might be required.

### **USPACFLT Response to Recommendation 2b.**

Not applicable, there are no outstanding training requirements.

### **Additional USPACFLT Comments.**

1. Given the period of analysis supporting the report findings, the shortfalls addressed within the report have been corrected, and solid methodologies are in place to continue forging readiness and effective risk management, while preventing regression.
  - a. The USS FITZGERALD (DDG 62) and USS JOHN S. MCCAIN (DDG 56) collisions of 2017 spawned the Comprehensive Review (CR) and Strategic Readiness Review (SRR), which were released in October 2017 and December 2017, respectively. The Navy's Readiness &

Enclosure (1)

(U)

## (U) Commander of U.S. Pacific Fleet (cont'd)

(U)

Subj: COMMANDER, U.S. PACIFIC FLEET RESPONSE TO AUDIT OF READINESS OF ARLEIGH BURKE-CLASS DESTROYERS DRAFT REPORT

Reform Oversight Council was established in January 2018 as the means of managing Navy implementation of CR/SRR findings and eliminating the barriers thereto (to include funding reprogramming, as required). The 12 DDGs reviewed by this report were examined during OFRP cycles ranging from August 2013 – April 2018, before the vast majority of corrective actions resultant from CR/SRR findings could gain a foothold.

b. Navy/Surface Warfare embarked upon a 3-tier approach to implementing CR/SRR recommendations that: validated safety to operate across the Surface Force, spawned more effective operations under enhanced risk management calculus across all OPCON/ADCON echelons, and drives toward a culture of excellence.

c. As part of 2018 “Safe to Operate” validations/actions, Risk Assessment & Mitigation Plans (RAMPS) were eliminated. RAMPS were originally created as the means addressing warfare/mission areas in which ships had not yet completed all certification requirements, and included the path to complete all remaining certification requirements within that warfare area. Over time, “normalization of deviation” occurred, by which RAMPS were employed too frequently and their contents not completed – thus resulting in delinquent certifications amidst ongoing operations. As the result of RAMP elimination, certifications are binary, and ships not certified in all warfare areas are not deemed “Basic Phase complete,” by the Type Commander (who owns such designation). If not “Basic Phase complete” ships are subject to deliberate scheduling under which the Type Commander and Numbered Fleet Commander must agree on any tasking assigned to that ship. If such agreement is not reached, a four-star level Fleet Commander decision regarding operational employment of that ship is required.

d. Also as part of 2018 “Safe to Operate” validations, Ready for Sea Assessments were created as the means of assessing ship’s preparedness for operations (starting with FDNF-J units) given CR/SRR findings. As these assessments were conducted, ships requiring time complete certifications and/or enhance proficiency in key areas were limited in operations pending completion of such.

e. The SFRM/SFEM have been superseded by the SFTRM which codifies a more rigorous Basic Phase certification process.

(U)

## (U) Classified Information Used in the Preparation of This Report for Record

- (U) SOURCE 1: DRRS-N UNIT ASSESSMENTS (DOCUMENTS CLASSIFIED SECRET)  
DECLASSIFY ON: 20530510  
DATE OF SOURCE: 05 AUGUST 2013 – 13 APRIL 2018  
DERIVED FROM: DEFENSE READINESS REPORTING SYSTEM NAVY (DRRS-N)
- (U) SOURCE 2: 2015 COMMANDER OF THIRD FLEET'S DEPLOYMENT CERTIFICATION FOR THE USS *CHAFEE* (DOCUMENT CLASSIFIED SECRET)  
DECLASSIFY ON: 20400521  
DATE OF SOURCE: 21 MAY 2015  
DERIVED FROM: COMMANDER OF THIRD FLEET
- (U) SOURCE 3: 2014 U.S. FLEET FORCES COMMAND'S DEPLOYMENT CERTIFICATION FOR THE USS *ROSS* (DOCUMENT CLASSIFIED SECRET)  
DECLASSIFY ON: 20240630  
DATE OF SOURCE: 05 JUNE 2014  
DERIVED FROM: COMMANDER OF U.S. FLEET FORCES COMMAND
- (U) SOURCE 4: 2017 COMMANDER OF THIRD FLEET'S *NIMITZ* CARRIER STRIKE GROUP CERTIFICATION TO DEPLOY (DOCUMENT CLASSIFIED SECRET)  
DECLASSIFY ON: 20420607  
DATE OF SOURCE: 06 JUNE 2017  
DERIVED FROM: COMMANDER OF THIRD FLEET
- (U) SOURCE 5: 2017 U.S. FLEET FORCES COMMAND'S DEPLOYMENT CERTIFICATION MESSAGE FOR THE USS *JAMES E. WILLIAMS* (DOCUMENT CLASSIFIED SECRET)  
DECLASSIFY ON: 20420531  
DATE OF SOURCE: 23 MAY 2017  
DERIVED FROM: COMMANDER OF U.S. FLEET FORCES COMMAND
- (U) SOURCE 6: 2017 U.S. FLEET FORCES COMMAND'S DEPLOYMENT CERTIFICATION MESSAGE FOR THE USS *OSCAR AUSTIN* (DOCUMENT CLASSIFIED SECRET)  
DECLASSIFY ON: 20420430  
DATE OF SOURCE: 20 APRIL 2017  
DERIVED FROM: COMMANDER OF U.S. FLEET FORCES COMMAND
- (U) SOURCE 7: 2015 U.S. FLEET FORCES COMMAND'S DEPLOYMENT CERTIFICATION MESSAGE FOR THE USS *PORTER* (DOCUMENT CLASSIFIED SECRET)  
DECLASSIFY ON: 20250430  
DATE OF SOURCE: 16 APRIL 2015  
DERIVED FROM: COMMANDER OF U.S. FLEET FORCES COMMAND

## **(U) Acronyms and Abbreviations**

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<b>COMNAVSURFLANT</b>	Commander of Naval Surface Force Atlantic
<b>COMNAVSURFPAC</b>	Commander of Naval Surface Force, U.S. Pacific Fleet
<b>COMPACFLT</b>	Commander of U.S. Pacific Fleet
<b>COMUSFLTFORCOM</b>	Commander of U.S. Fleet Forces Command
<b>DRRS-N</b>	Defense Readiness Reporting System-Navy
<b>OFRP</b>	Optimized Fleet Response Plan
<b>OPNAV</b>	Office of the Chief of Naval Operations
<b>RROC</b>	Readiness Reform and Oversight Council
<b>SFRM</b>	Surface Force Readiness Manual
<b>TYCOM</b>	Type Commander

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