



**DEPARTMENT OF THE NAVY**  
COMMANDER, NAVY INSTALLATIONS COMMAND  
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WASHINGTON NAVY YARD, DC 20374-5140

CNICINST 5216.3  
N00  
19 Nov 15

CNIC INSTRUCTION 5216.3

From: Commander, Navy Installations Command

Subj: DELEGATION OF "BY DIRECTION" AUTHORITY AND EXECUTIVE STANDARDS FOR COMMANDER, NAVY INSTALLATIONS COMMAND

Ref: (a) SECNAV M-5216.5, Department of the Navy  
Correspondence Manual  
(b) JAGINST 5800.7F  
(c) SECNAV M-5210.2, Department of the Navy SSIC Manual  
(d) SECNAV M-5210.1, Department of the Navy Records Management Manual

Encl: (1) Example of "By Direction" designation letter  
(2) Formatting CNIC Signature Blocks  
(3) Secretary of The Navy "By direction" Example with Notes

1. Purpose. To provide delegation of "By direction" authority on official correspondence for Commander, Navy Installations Command (CNIC) and guidance on proper use of identification symbols and serial numbers, and formatting of signature blocks.

2. Cancellation

- a. CNIC Instruction 5216.2, dated 16 May 2012
- b. CNIC Notice 5000, dated 2 March 2015
- c. CNIC Notice 5210, dated 29 December 2014
- d. CNIC Notice 5216, dated 3 August 2015

3. Policy

a. Delegation of "By Direction" Authority

(1) In accordance with reference (a), the below listed CNIC personnel are delegated "By direction" signature authority, to include naval message release:

- (a) Deputy Commander (DCOM)
  - (b) Chief of Staff (COS)
  - (c) Office of the General Counsel (OGC)
  - (d) Force Judge Advocate (FJA)
  - (e) Inspector General (IG)
  - (f) Director, Total Force Manpower (N1)
  - (g) Director, Operations (N3)
  - (h) Director, Facilities and Environment (N4)
  - (i) Director, Strategy and Future Shore Integrated Requirements (N5)
  - (j) Command Information Officer (CIO) (N6)
  - (k) Comptroller (N8)
  - (l) Director, Fleet and Family Readiness (N9)
- (2) DCOM and COS are authorized to sign documents that:
- (a) Address congressional inquiries.
  - (b) Are required by law or regulation.
  - (c) Are replies of non-concurrence on audits.

(3) All "By direction" authorities listed above must, in addition to the listing in this instruction, be delegated, by name, via letter, in accordance with reference (a) and enclosure (1). Each delegate's "By direction" letter will expire upon transfer, separation, change of command, or if otherwise revoked. Specific signature block preferences for the Commander and principal subordinates are delineated in enclosure (2). Enclosure (2) shall be updated via change transmittal as personnel in these positions rotate.

(4) The Director, Navy Wounded Warrior-Safe Harbor is authorized to sign "By direction" on all Wounded Warrior-Safe Harbor enrollment and disenrollment letters.

(5) In accordance with reference (b), when CNIC is temporarily absent, the COS may be authorized to sign documents that address Military Justice matters. All matters requiring the signature of a General Court-Martial Convening Authority must be signed by CNIC, or by the COS in CNIC's absence. Always consult with the Force Judge Advocate in these cases.

(6) "By direction" correspondence is reserved for administrative correspondence of a routine nature, e.g., form letters that carry out well-established policies, decisions, or instructions of the Commander. As a general rule of thumb, each signature delegate will sign material relevant to their title unless otherwise noted. Further delegation of "By direction" authority within the programs is not authorized without approval, in writing, from the Commander.

(a) Requests for further delegation should be forwarded to CNIC for consideration via a proposed "By direction" designation letter, in accordance with enclosure (1).

(7) All correspondence signed "By direction" requires a serial number. Copies of serialized "By direction" correspondence are to be maintained on file by the originator at all times.

b. Originator Symbols, Dates, and Serial Numbers

(1) Originator codes, dates and serial numbers make every piece of correspondence unique and traceable, and assist the Commander in maintaining positive control of products released under CNIC's name.

(a) Originator's Code. The originator's code is the office symbol of the drafter. It shows where the correspondence and serial number originated within CNIC Headquarters (HQ).

(b) Serial Number. The sequential code which identifies each individual piece of correspondence. This is an annually recurring series of numbers. CNIC maintains a decentralized system and each Special Assistant/N-Code maintains their own serial log which, when used with the originator's office code and date, provides that product's unique fingerprint.

(c) Date. The date is entered directly below the serial number on the date that the correspondence is signed. The date on the correspondence must match the date in the serial log.

c. Formatting of CNIC Signature Blocks

(1) Formatting of signature blocks for principal members of CNIC leadership (i.e. The Chief of Staff (COS) or the Deputy Commander (DCOM)) shall follow their individual wishes, in accordance with enclosure (2), and official titles. "By direction" authority, for principal designees, are implied by their titles and allows them to sign on letterhead without "By direction" written out.

(2) In accordance with reference (a), the term "By direction" will be placed under the name of a subordinate formally authorized to sign official correspondence, but not by their title.

EXAMPLE:

I. M. SAILOR  
By direction

(3) For the specific signature block preferences of N-Codes, internal guidance will be established within each code and not this instruction, and will be applicable so long as it does not interfere with the policy promulgated by this instruction.

(4) N-Codes are required to use "By direction" following their name in the signature block of anything on Command letterhead without their titles (unless the matter affects pay).

(5) When, and only when, matters affect personnel pay or allowances (such as letters authorizing special career pay, basic pay, or other allowances), documents signed "By direction" must include the delegate's official title in the signature block followed by the phrase "By direction of the Commander," as such:

EXAMPLE:

I. M. SAILOR  
COMPTROLLER  
By direction of the  
Commander

4. Action

a. Delegation of "By direction" authority

(1) Those CNIC personnel delegated "By direction" authority in paragraph 3(a) of this instruction shall:

(a) Maintain a file of all correspondence signed "By direction". All items must be retained electronically, available upon request of the Commander at any time, and visible to the front office staff for daily auditing purposes.

(b) If using letterhead, use "Commander, Navy Installations Command" in the "From:" line (without the N-Code in parenthesis). The "From:" line must mirror the title within the letterhead, which itself must be found in the Standard Naval Distribution List (SNDL), and be in accordance with the formatting in enclosure (3), Secretary of the Navy (SECNAV) standard. Adding the code in parenthesis to the "From:" line indicates that the correspondence is no longer from the Commander (by direction), but from the N-Code signature authority alone, and is neither sanctioned nor in accordance with SECNAV guidance.

(2) In accordance with reference (a), N-Codes may not produce their own letterhead when signing under their own title. Letterhead must reflect official titles listed in the SNDL. Additionally, N-Codes may not sign "By direction" unless letterhead is used, since this authority officially places a document under the Commander's title.

(3) The Flag Secretary will consolidate and forward all correspondence signed "By Direction" to the Commander for review no later than the first day of the following month, each month.

b. Serial Numbers and File Retention

(1) Formatting Serial Numbers. All correspondence signed on Command letterhead or "By direction" must have a serial number, per HQ policy, to maintain positive control of all items leaving the organization under the Commander's title. Place the double digit numerals representing the calendar year after the forward slash, then enter the classification (U for Unclassified, C for Confidential, S for Secret, T for Top Secret); and, lastly, enter the next sequential unused serial

number within the N-Code's/Special Assistant's (SA) calendar year serial log.

EXAMPLE:           11000                           5216  
                  Ser N1/15U001               Ser N00/15C001

(2) Assigning Serial Numbers. The assignment of serial numbers within CNIC is decentralized. Each N-Code will maintain their own serial log, where the last three numerals, following the year and classification, are assigned in consecutive order, i.e. with "001" beginning each calendar year. A new serial log will begin on 1 January with each subsequent year in the same manner.

(a) Do NOT serialize an item until it is signed, on the same day that it is signed. Doing so before it is signed will throw the file copy out of sync with the serial log, which is an inspectable item.

(3) Retention of Electronic Copies. Electronic files of serialized correspondence are to be maintained in Total Records Information Management (TRIM) system. Records uploaded and stored in TRIM, as well as files on Gateway 2.0, the shared "L" drive, and HQWeb Taskers, should be maintained in accordance with reference (d). The naming convention for official command records is as follows:

(a) Use the "SSIC - Serial Number - Concise Subject Line - YYYYMMDD" format. For example, "5240 - 15U001 - Industrial Methods - 20150130." If the document is a vital record, the records should be named by "V - SSIC - Serial Number - Concise Subject Line- YYYYMMDD."

(b) For all items signed "By direction," within each code, each Executive Assistant will "copy to" the Front Office in the following folder, under their directorate's subfolder. This folder will be read/write accessible to Executive Assistants and Front Office staff only:

L:\CNIC2\N00 HQ\N00\_Public\HQ Serial Retains

1. Please note: Each serial number must be in sequential order with no gaps in continuity. If continuity is not met, all efforts should be made to locate the missing documents, otherwise missing items must be justified.

2. If an item (such as a Memorandum of Understanding) is signed and serialized, but requires concurrence in the form of a second signature, from an internal or external entity, the record shall maintain the serialized internal copy until the second entity has signed their portion of the document. Once all parties have signed the document, the file copy will reflect both parties' signatures.



D. R. SMITH  
Vice Admiral, U.S. Navy

Distribution:

Electronic only, via CNIC Gateway 2.0

<https://g2.cnic.navy.mil/CNICHQ/Pages/Default.aspx>

CNICINST 5216.3  
19 Nov 15

5216  
Ser N00/

From: Commander, Navy Installations Command  
To: YN1(SW/AW) Johnny R. Flynn, USN

Subj: DELEGATION OF "BY DIRECTION" AUTHORITY

Ref: (a) SECNAV M-5216.5, Department of the Navy Correspondence Manual  
(b) CNICINST 5216.3

1. In accordance with references (a) and (b), you are hereby delegated "By direction" authority for Commander, Navy Installations Command (CNIC).
2. In accordance with reference (b), you will be limited to subject matter related to: (describe briefly the scope of the delegation authority, the programs or directorates to which it specifically applies, or any and all amplifying information).
3. This delegation will remain in effect until transfer, separation, change of command, or unless otherwise revoked.

D. R. SMITH

Copy to:  
(N-Code, if not the "To:" line)

Enclosure (1)

FORMATTING CNIC SIGNATURE BLOCKS

1. CNIC. The Commander's signature block preference will be as follows:

a. Award Citations

EXAMPLE: D. R. SMITH  
Vice Admiral, United States Navy

b. Award Certificates

EXAMPLE: D. R. SMITH  
Vice Admiral, United States Navy  
Commander, Navy Installations  
Command

c. Directives, or Correspondence without a "From:" line

EXAMPLE: D. R. SMITH  
Vice Admiral, U.S. Navy

d. Correspondence with a "From:" line

EXAMPLE: D. R. SMITH

2. DCOM. DCOM's signature block preference will be as follows:

a. When signing "Acting" in the Commander's stead

EXAMPLE: J. D. LUDOVICI  
Acting

b. Directives, Correspondence without a "From:" line, or Correspondence with a "From:" line

EXAMPLE: J. D. LUDOVICI  
Deputy Commander

3. COS. The COS's signature block preference will be as follows:

- a. Directives, or Correspondence without a "From:" line

EXAMPLE:

C. W. ROCK  
Captain, U.S. Navy  
Chief of Staff

- b. Correspondence with a "From:" line

EXAMPLE:

C. W. ROCK  
Chief of Staff



DEPARTMENT OF THE NAVY  
NAVY PERSONNEL COMMAND  
5720 INTEGRITY DRIVE  
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*This is the SECNAV example of how a "By direction" letter should look.*

*"From Line" must match The Commander's authority*

5216  
Ser N09L/729  
26 Jan 15

*The OPNAV practice (our guidance up until now) of placing the N-Code in parenthesis within the "From:" line is out of sync with SECNAV guidance.*

%  
From: Commander, Navy Personnel Command  
To: Commander, U.S. Naval Forces, Europe  
%  
Subj: (FOUO) FOR OFFICIAL USE ONLY MARKINGS  
%

*Rather than in the "From:" line, the N-Code should be indicated here alone, corresponding with the "By direction" delegate who signs below.*

1. (FOUO) This illustrates a letter that has "For Official Use Only" (FOUO) information, which is a category of Controlled Unclassified Information (CUI). Documents shall be marked "For Official Use Only" at the bottom of the outside of the front cover (if there is one), the title page, and the outside of the back cover (if there is one). Internal pages of the document that contain FOUO information shall be marked "FOR OFFICIAL USE ONLY" at the bottom. Optionally, for consistency with classified systems, the document may be marked "UNCLASSIFIED//FOR OFFICIAL USE ONLY" or "UNCLASSIFIED//FOUO."  
%  
2. Subjects, titles, and each section, part, paragraph, and similar portion of an FOUO document shall be marked to show that they contain information requiring protection. Use the parenthetical notation "(FOUO)" (or optionally "(U//FOUO)") to identify information as FOUO for this purpose. Place this notation immediately before the text. Transmittal documents that do not contain FOUO, but have FOUO enclosures or attachments shall be marked with the following statement or similar one, "FOR OFFICIAL USE ONLY ATTACHMENT" at the bottom center of the first page of the document.  
%  
3. For more information on designating and marking material FOUO or marking requirements for other categories of CUI, refer to DoDM 5200.01, Volume 4.  
%  
%  
%

S. M. JONES  
By direction

· - Space  
% - Hard Return

FOR OFFICIAL USE ONLY  
(UNCLASSIFIED-MARKINGS FOR ILLUSTRATION PURPOSE)