



DEPARTMENT OF THE NAVY
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OPNAV INSTRUCTION 3380.5A

From: Chief of Naval Operations

Subj: HIGH-VALUE UNIT TRANSIT PROTECTION OPERATIONS

Ref: (a) 33 CFR 623
(b) DoD Instruction 2000.12 of 1 March 2012
(c) OPNAVINST F3300.53C (NOTAL)
(d) OPNAVINST 5530.14E
(e) DoD 5200.08-R, Physical Security Program, April 2007
(f) DoD Instruction 2000.16 of 2 October 2006
(g) NTP 3-20.6.31M of Nov 2011 (NOTAL)
(h) DoD S-5210.41-M-V1 Nuclear Weapon Security Manual, July 2009 (NOTAL)
(i) SECNAVINST S8126.1A (NOTAL)
(j) OPNAVINST N4740.4B (NOTAL)
(k) OPNAVINST N4740.5A (NOTAL)

1. Purpose. To establish Navy policy and responsibilities for managing and executing the protection of high-value units (HVU) during restricted-waters transit. Major changes in this instruction include restricting the definition of HVU to nuclear powered warships and delegating the decision to protect other (non-nuclear powered) ship types to fleet commanders (FLTCDR). This instruction is a complete revision and should be reviewed in its entirety.

2. Cancellation. OPNAVINST 3380.5.

3. Policy. FLTCDRs are responsible for providing protection of and or otherwise mitigating risk to HVU during restricted waters transits. Protection and risk mitigation efforts will be focused on deterring, detecting, preventing and defending against attacks on HVUs while in restricted waters or areas that significantly restrict the maneuverability of the HVU, or when warranted by maritime threat levels.

4. Applicability. This instruction outlines the Navy's HVU transit protection operations policy and supplements guidance

contained in references (a) through (f). Transit protection system operations for ballistic missile submarines fall outside the scope of this instruction and are discussed per references (g) through (i). Protection for unmanned, defueled nuclear powered ships and reactor compartment disposal packages shall be conducted per reference (j). Protection for moored training ships shall be conducted per reference (k).

5. Definitions

a. HVU. An HVU is a United States Navy asset whose loss or removal from service would have significant consequences on the United States Navy's ability to meet its warfighting requirements. All nuclear powered vessels are designated as HVUs.

b. Transit. Transit includes entering or exiting port, canal passage, and passage through areas that significantly restrict the HVU's maneuverability for self-defense.

c. Restricted Waters. Restricted waters are those waters that require HVUs to use designated channels or fairways to enter and or exit a port facility.

d. Maritime Homeland Security-Operational Planning System (MHS-OPS). MHS-OPS is the Web-based approved scheduling system for all HVU transit escorts in the continental United States (INCONUS). FLTCDRs shall use MHS-OPS to schedule, manage, and capture information related to HVU escorts.

6. Mission. FLTCDRs shall provide armed escorts to HVUs to deter, detect, prevent, and defend against attacks during transit. FLTCDRs shall conduct a local risk assessment that incorporates the local threat assessment, the vulnerability of individual units or commands in the local operating environment, and unit or command criticality based upon individual mission or higher headquarters guidance. If local threat indications and warnings are absent, ambiguous, or unavailable, incorporate most likely and most dangerous threat scenarios into local risk assessment calculus. Additionally, escorts provided by harbor protection units shall be fully reimbursable unless employed within their normal patrol authorities. FLTCDRs may designate additional vessels as HVUs based on the results of area of

responsibility (AOR) specific risk assessments that have considered threat, vulnerability and criticality, and apply appropriate protection measures as deemed necessary.

a. For HVUs, an escort requires at least two armed escort vessels, or one armed vessel and one appropriately armed aircraft. Within the United States and its territories, HVU transit protection operations can be supported by other U.S. Navy, Department of Defense assets, or other Government agency landside and or waterside assets. These assets may support mitigation strategies required by FLTCDRs in support of HVU transit protection operations.

b. The U.S. Coast Guard has overall responsibility for the safety and security of U.S. ports under its ports, waterways, and coastal security mission. The U.S. Coast Guard mitigates terrorism risks (e.g., potential waterborne improvised explosive device attack) throughout the U.S. Maritime Domain by projecting credible deterrence and interdiction capability. The U.S. Coast Guard has implemented substantial measures since 2001 to improve the overall security of the Nation's domestic ports through layered security, improved domain awareness, and cooperative partnerships. The U.S. Coast Guard's port risk mitigation activities may be accounted for in FLTCDR risk assessments when determining the required protective measures for HVU transits in restricted waters.

c. When U.S. Coast Guard assets are employed, the U.S. Coast Guard will utilize their Service-specific tactics, techniques, and procedures when conducting this mission. Requests for U.S. Coast Guard HVU escorts shall be submitted via the MHS-OPS collaboration tool, and per local business rules. The use of the MHS-OPS program captures necessary data to facilitate future resourcing and budgeting needs.

d. In the United States and its territories, the U.S. Navy is authorized to stop and detain vessels that violate the naval vessel protection zone (NVPZ). However, outside the United States and its territories, the NVPZ does not apply. Therefore, FLTCDRs must assess each country's laws and capabilities, as well as host nation's permissible authorities, when constructing HVU protection requirements. When execution by host nation's

forces is not available or inadequate, FLTCDRs shall ensure HVUs are protected by a properly manned, trained, and equipped force that is commensurate with current risk levels.

e. Specific HVU transit protection waiver or exception requests shall be submitted to the cognizant Navy component commander (NCC) for review. NCCs may delegate waiver or exception approval authority as appropriate.

7. Responsibilities

a. Deputy Chief of Naval Operations, Operations, Plans and Strategy (CNO N3/N5) shall review HVU transit protection operations guidance on an annual basis and serve as the primary liaison with U.S. Coast Guard for policies pertaining to the HVU protection mission.

b. Deputy Chief of Naval Operations for Warfare Systems (CNO N9) shall serve as the resource sponsor for HVU transit protection operations.

c. Commander, United States Fleet Forces Command (COMUSFLTFORCOM) shall:

(1) In coordination with FLTCDRs, articulate integrated authoritative fleet HVU transit protection warfighting, readiness, and personnel capability requirements to the CNO; and review and comment on HVU joint capabilities integration and development system documents, as applicable.

(2) In coordination with FLTCDRs, develop HVU transit protection operations doctrine; concept of operations; and tactics, techniques, and procedures.

(3) In coordination with FLTCDRs, establish HVU transit protection training and education requirements.

(4) In coordination with FLTCDRs, establish HVU transit protection waiver or exception process.

d. FLTCDRs have the responsibility and authority to enforce appropriate security measures to ensure the protection of U.S. Navy elements and personnel under their control. FLTCDRs are supported commanders for all operational matters related to HVU

transit protection operations throughout their AOR. This command authority applies to all afloat Navy forces within their operational area, to include units not otherwise in the FLTCDR chain of command. FLTCDRs shall:

(1) Conduct mission analysis and operational planning for the execution of HVU transit protection operations. Ensure execution by properly manned, trained, and equipped forces.

(2) Execute HVU transit protection operations within their AOR.

(3) Establish command and control relationships and command responsibilities for HVU transit protection operations. These procedures shall establish command and control relationships with the local U.S. Coast Guard Captain of the Port INCONUS or host nation outside the continental United States, to ensure coordination of each HVU transit protection operation.

(4) Coordinate with COMUSFLTFORCOM to identify fleet HVU transit protection operations requirements.

(5) Coordinate with COMUSFLTFORCOM during development of HVU transit protection operations doctrine; concept of operations; and tactics, techniques, and procedures as directed.

(6) Establish and conduct liaison with the appropriate geographic combatant commander to ensure theater requirements are satisfied by FLTCDR HVU transit protection operations guidance.

(7) Maintain HVU transit protection records for a minimum of 5 years to properly capture HVU protection data.

8. Records Management. Records created as a result of this instruction, regardless of media and format, shall be managed by Secretary of the Navy Manual 5210.1 of January 2012.



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