



DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
1000 NAVY PENTAGON
WASHINGTON DC 20350-1000

SECNAVINST 5440.5A
DUSN (PPOI)
20 June 2013

SECNAV INSTRUCTION 5440.5A

From: Secretary of the Navy

Subj: DEPARTMENT OF THE NAVY OVERSEAS FORCE STRUCTURE CHANGE
AND HOST-NATION NOTIFICATION PROCEDURES

Ref: (a) 10 U.S.C. §5013
(b) CJCSI 2300.02G

1. Purpose

a. Pursuant to Secretary of the Navy (SECNAV) responsibilities stated in reference (a), and to ensure oversight of recommendations to modify Department of the Navy (DON) overseas posture, this instruction provides policy direction for the proposed Overseas Force Structure Changes (OFSC) and Host-Nation Notification (HNN).

b. Revisions to this instruction direct Service Headquarters to submit OFSC/HNN proposed changes on matters that the Office of the Under Secretary of Defense for Policy (OUSDP) has deemed to have national-level policy significance. These revisions shall clarify the role of the Deputy Under Secretary of the Navy for Plans, Policies, Oversight, and Integration (DUSN (PPOI)) in the OFSC/HNN process within the DON.

2. Cancellation. SECNAVINST 5440.5.

3. Applicability

a. This instruction applies to the introduction, change, or removal of any overseas force and other changes with national policy significance as determined by OUSDP. In all cases, the Secretary of Defense (SECDEF) must approve each OFSC. An overseas force is one that is outside the continental United States, Alaska, Hawaii, and U.S. territories, and consists of an aggregation of military personnel, weapon systems, equipment, and necessary support, or combination thereof. Other changes that do not affect force assignment will normally be addressed in the unit deployment process or deployment order process.

b. Navy and Marine Corps Service Headquarters shall submit OFSC proposals for SECDEF approval after obtaining SECNAV concurrence with the proposed action.

(1) Service Headquarters and Service Component Commands shall not conduct any action that meets the threshold for an OFSC without ensuring an OFSC proposal was initiated and the HNN process was completed.

(2) OFSC proposals will be submitted for changes to:

(a) Overseas organizations listed in the SECDEF "Forces for Unified Commands" memorandum published annually in the Global Force Management Implementation Guidance.

(b) Overseas organizations commanded by an officer in the grade of O-4 or higher.

(c) Broad Department of Defense (DoD) responsibilities, international agreements, and treaties.

c. Service Headquarters shall also submit OFSC proposals/HNN requests for changes that do not meet the above criteria but are deemed by OUSDP to have national-level policy significance as defined in reference (b).

d. SECDEF approval of an OFSC proposal must be clearly demonstrated before the Under Secretary of Defense for Policy (USDP) executes the HNN. The HNN request process shall also be used to provide a Host Nation notice of an impending action that could impact U.S.-Host Nation relations.

e. This instruction does not apply to:

(1) Unit Deployment Program. The information in this instruction does not apply to changes in overseas force structure accomplished via the existing Chairman, Joint Chiefs of Staff-managed unit deployment program or deployment order process.

(2) Pre-positioned Equipment. This instruction does not apply to pre-positioned equipment, supplies, munitions, or shipping.

(3) Realignment of Overseas Sites. The information in this instruction does not apply to the realignment of overseas sites such as real estate or facility changes that do not result in a force structure change or have not been deemed as by OUSDP to have national-level policy significance.

4. Action

a. Navy or Marine Corps Service Headquarters initiating an OFSC will inform SECNAV on proposed changes, to include a description of the proposed change, an anticipated timeline, the strategic rationale for the proposed action(s), and a funding statement which identifies cost estimates by year including construction requirements.

b. Per reference (b), OFSC and HNN proposals are closely related to international agreements and the realignment of DoD overseas sites. As such, all Navy or Marine Corps Service Headquarters OFSC proposals and HNN requests shall be submitted to DUSN (PPOI) as the SECNAV's lead proponent in these matters. Each of these OFSC proposals, HNN requests and related actions will be coordinated within the Secretariat with the Assistant Secretary of the Navy for Manpower and Reserve Affairs; the Assistant Secretary of the Navy for Financial Management and Comptroller; the Assistant Secretary of the Navy for Energy, Installations and Environment; and General Counsel.

c. As identified in reference (b), the originating Service Headquarters shall classify pending OFSC events CONFIDENTIAL or higher as appropriate. Except during high-level political-military talks where information release to selected foreign government representatives is properly coordinated to support HN consultations, release of OFSC information to foreign nationals, HN, or the public is prohibited. CONFIDENTIAL and SECRET documents, unless specifically marked with "REL TO," are not releasable to foreign governments by definition. The use of NOFORN security marking should be limited to special cases as outlined in separate classification guidance. Overseas commanders' requests to share OFSC/HNN proposals with appropriately cleared foreign national employees in advance of SECDEF approval shall be submitted to their Service Headquarters for consideration and consultation with the Joint Staff and USDP.

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d. Upon obtaining SECNAV concurrence with the proposed OFSC, the applicable Service Headquarters will then initiate OFSC proposal procedures as outlined in reference (b) and Service specific directives.

5. Records Management. Records created as a result of this instruction, regardless of media and format, shall be managed per SECNAV Manual 5210.1 of January 2012.



ROBERT C. MARTINAGE
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