



DEPARTMENT OF THE NAVY
VICE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON DC 20350-2000

IN REPLY REFER TO:

OPNAVINST 3380.5
N314
15 Jun 10

OPNAV INSTRUCTION 3380.5

From: Chief of Naval Operations

Subj: HIGH VALUE UNIT TRANSIT ESCORT OPERATIONS

Ref: (a) DoD Instruction 2000.16 of 2 Oct 2006
(b) DoD O-2000.12-H of 1 Feb 2004
(c) OPNAVINST F3300.53C
(d) OPNAVINST 5530.14E
(e) DoD 5200.08-R of 9 Apr 2007
(f) DoD S5210.41-M of 13 Jul 2009 (NOTAL)
(g) SECNAVINST S8126.1 (NOTAL)
(h) COMDT COGARD WASHINGTON DC 0111736Z AUG 06 (OPORD),
Operation NEPTUNE SHIELD (NOTAL)

1. Purpose. To provide Navy strategic policy and codify the requirement for the consistent protection of high value units (HVUs) during transits.

2. Cancellation. OPNAVINST 3100.9A.

3. Policy. Navy component commanders (NCCs) and fleet commanders (FLTCDRs) shall provide armed escorts for the protection of HVUs during transits. The proactive effort will be focused on deterring, detecting, preventing, and defending against attacks on HVUs, while in areas that significantly restrict the maneuverability of the unit or when the threat warrants.

4. Applicability. This instruction is the primary document for the Navy's HVU transit escort policy, supplemented by guidance in references (a) through (e), and applicable Code of Federal Regulations (CFR). Ballistic missile submarine (SSBN) armed escort protection and the Transit Protection System shall be conducted per references (f) and (g).

5. Definitions

a. HVU. U.S. Navy (USN) and U.S. Coast Guard (USCG) policies designate and prioritize the following vessels as HVUs:

- (1) SSBNs;
- (2) USN/North Atlantic Treaty Organization aircraft carriers;
- (3) Guided missile submarines (SSGNs);
- (4) Attack submarines (SSNs);
- (5) Amphibious assault ships (LHAs/LHDs); and
- (6) Military Sealift Command sealift/pre-positioned vessels carrying munitions, unit movements, or military essential materiel in support of actual combat operations.

b. Escorts. Armed vessels or armed aircraft equipped with light, medium, or heavy machine guns, as appropriate, to provide overall protection to HVUs.

c. Transit. Transit includes entering or exiting port, canal passage, and passage through areas that significantly restricts the HVU's maneuverability.

6. Mission. NCCs, FLTCDRs, or United States Fleet Forces Command (USFLTFORCOM) shall provide escorts to HVUs to deter, detect, prevent, and defend against attacks during transits.

a. In the United States and its territories, the transit escort mission is best executed by the USCG. The USCG's extensive law enforcement authorities allow it to enforce a moving naval vessel protection zone (NVPZ) as defined in the CFR. However, resource constraints and other USCG missions preclude the use of USCG assets for all transit escorts.

b. The USN is authorized to stop and detain vessels that violate an NVPZ pending arrival of USCG assets authorized to affect an arrest/seizure. Part 165, subpart G of title 33, CFR, provides greater detail on the role of both the USCG and the senior naval officer present in command.

15 JUN 10

c. Requests for USCG HVU escort support shall be submitted using jointly developed agreements and business rules, through an approved scheduling system (e.g., the Maritime Homeland Security Operational Planning System (MHS-OPS) collaboration tool). Requests for USCG HVU escort support shall be submitted early enough to ensure alternative methods are identified if USCG escort is unavailable. Historical data from an approved scheduling system will facilitate any future budget submissions in support of HVU transit escorts.

d. USCG escort support shall be in accordance with USCG policy. The USN recognizes current and future USCG policy and resource constraints may preclude the USCG from escorting every HVU. As a matter of USCG policy, the USCG will not generally escort LHAs or LHDs. However, using risk-informed decision making as it applies to the overall security of the port and other USCG missions, USCG sector commander may decide to escort LHAs and LHDs on a case-by-case basis. For those times when USCG declines an HVU escort, the NCC, FLTCDR, or USFLTFORCOM shall identify alternative methods to provide HVU escort or mitigate HVU transit risk including: Navy-only HVU escort operations, or other options that ensure escort by a properly manned, trained, and equipped force or that mitigate the risk associate with HVU transits. On those occasions, when possible, NCC, FLTCDR, or USFLTFORCOM should notify the USCG sector commander for his or her awareness. Nothing in this instruction should be construed to imply that HVU escort by the USCG is obligatory.

e. USFLTFORCOM will create HVU escort guidance which shall align with reference (h). As per reference (h), an escort within the continental United States requires at least two armed escort vessels, or one armed vessel and one armed aircraft. Other law enforcement agency vessels may be employed in escort operations when crewed, equipped, armed, and trained in a manner similar to USCG standards; and when their participation is coordinated by the appropriate USCG sector commander. In some instances, non-USCG vessels may not have law enforcement authorities.

f. Outside the United States and its territories, where the NVPZ does not apply, NCCs/FLTCDRs must assess each country's laws, capabilities, and host nations' (HNs) permissible authorities when constructing HVU escort requirements. When

15 JUN 10

execution by HN forces is not available or inadequate, the NCC/FLTCDR shall ensure HVUs are escorted by a properly manned, trained and equipped force.

7. Responsibilities

a. Deputy Chief of Naval Operations for Manpower, Personnel, Education, and Training (CNO (N1)) shall direct training and personnel actions of forces designated for HVU transit escort operations.

b. Deputy Chief of Naval Operations for Operations, Plans, and Strategy (CNO (N3/N5)) shall review HVU escort guidance on an annual basis.

c. Deputy Chief of Naval Operations for Fleet Readiness and Logistics (CNO (N4)) shall serve as the operations maintenance Navy resource sponsor. CNO (N4) shall program for these HVU escort requirements during the normal budget cycle.

d. Deputy Chief of Naval Operations for Integration of Capabilities and Resources (CNO (N8)) shall serve as the resource sponsor for research, development, and procurement. Review HVU transit escort operations financial and manpower decisions and evaluate their impact on Navy policy. Recommend resource adjustments to program sponsors in order to restore or maintain a balance between HVU transit operations and antiterrorism (AT) requirements listed in reference (c).

e. USFLTFORCOM, acting as the Chief of Naval Operations (CNO) executive agent for the Commander, United States Northern Command area of responsibility (AOR) as defined in reference (c), shall:

(1) In coordination with other NCCs, FLTCDRs, and Office of the Chief of Naval Operations resource sponsors, articulate integrated authoritative fleet HVU transit escort warfighting, readiness, and personnel capability requirements to the CNO. Review and comment on pertinent HVU Joint Capabilities Integration Development System documents.

(2) In concert with other NCCs, FLTCDRs, and the USCG, develop HVU transit escort doctrine; concept of operations; and tactics, techniques, and procedures.

15 JUN 10

(3) In concert with other NCCs, FLTCDRs, and the USCG, establish HVU transit escort training and education requirements.

f. NCCs and FLTCDRs have the responsibility and authority to enforce appropriate security measures to ensure the protection of Navy elements and personnel under their control. NCCs and FLTCDRs are supported commanders for all operational matters related to HVU transit escort operations throughout their AOR. This command authority applies over all afloat Navy forces within their operational area, to include units not otherwise in the NCC or FLTCDR chain of command.

(1) Conduct mission analysis and operational planning for the execution of HVU transit escort operations. Ensure execution by properly manned, trained, and equipped forces. This mission may be delegated by the NCC to the appropriate numbered FLTCDR for operations executed in their respective AOR.

(2) Execute HVU transit escort operations within their AOR. Respective FLTCDRs shall set HVU priority and provide minimum HVU transit escort requirements via separate guidance. To ensure consistency of escort operations, Navy minimum escort requirements shall be aligned with HN/USCG requirements.

(3) Establish command and control relationships and command responsibilities for HVU transit escort operations.

(4) Coordinate with USFLTFORCOM to identify fleet AT requirements.

(5) Coordinate with USFLTFORCOM during development of AT doctrine; concept of operations; and tactics, techniques, procedures as directed.

(6) Establish and conduct liaison with the appropriate Geographic Combatant Commanders to ensure theater requirements are satisfied by NCC/FLTCDR HVU transit escort operations guidance.

g. In order to properly capture HVU escort data, numbered FLTCDRs shall maintain HVU records for a minimum of 5 years; to include HVU ship class, location, date, escorts assigned by USCG or USN, and waivers granted.

OPNAVINST 3380.5
15 JUN 10

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 November 2007.



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