OPNAV INSTRUCTION 5511.35N

From: Chief of Naval Operations

Subj: SAFEGUARDING NUCLEAR COMMAND AND CONTROL EXTREMELY SENSITIVE INFORMATION

Ref: (a) CJCSI 3231.01 
     (b) SECNAVINST 5510.36B 
     (c) SECNAVINST 5510.30C

Encl: (1) Safeguarding Nuclear Command and Control Extremely Sensitive Information 
      (2) Procedures for Safeguarding NC2-ESI within the Office of the Chief of Naval Operations 
      (3) Sample Request for Access to NC2-ESI Memo

1. Purpose. To implement reference (a), the Joint Chiefs of Staff (JCS) policy for safeguarding nuclear command and control (NC2) extremely sensitive information (ESI). This instruction is a complete revision and must be reviewed in its entirety. Major changes to this revision include:

   a. minor policy changes, while verifying compliance and applicability with current references.

   b. direction for the process for submitting the annual NC2-ESI report to the Joint Staff Deputy Director, Nuclear and Homeland Defense Operations (Joint Staff J-36/DDNHDO).

   c. establishment of Commanding Officer, Take Charge and Move Out Weapons School as an access granting authority.

2. Cancellation. OPNAVINST 5511.35M.

3. Applicability

   a. This instruction applies to all U.S. Navy personnel holders, users, and processors of NC2-ESI, and material previously classified as Single Integrated Operational Plan-Extremely Sensitive Information (SIOP-ESI).
b. Reference (a) provides complete instructions from the Chairman of the Joint Chiefs of Staff (CJCS) for NC2-ESI. References (b) and (c) provide complete instructions for the Department of the Navy (DON) Personnel Security and Information Security Programs, respectively. They prescribe measures for accreditation, visitors, classification, reproduction, destruction, accountability, safekeeping, storage, transfer, transportation, dissemination, and transmission of official information, and include within their scope the documents that constitute NC2-ESI. This instruction is supplemental to references (a) through (c). It provides additional guidance to Navy commands where necessary and applies specifically to NC2-ESI.

c. Enclosures (1) and (2) contain the policy and procedures for the DON with regard to the security of NC2-ESI. This instruction applies to all holders, users, and processors of NC2-ESI and material previously classified SIOP-ESI. Enclosure (3) is a sample memo template and must contain all information indicated at a minimum.

4. **Background.** Information regarding command and control of nuclear weapons is a high-level intelligence collection target. Disclosure of this information to unauthorized persons could result in serious degradation of the Nation’s effectiveness and survivability in a nuclear exchange; disclosure would cause extremely grave damage to national security and therefore information regarding command and control of nuclear weapons should be designated NC2-ESI. The distribution of and access to NC2-ESI must be strictly limited; based on rigorously justified operational requirements and “need-to-know”; and must be protected under the provisions set forth in reference (a), this instruction, and enclosures (1) through (3).

5. **Action**

   a. All Navy commands and activities that have access to NC2-ESI materials and material previously classified as SIOP-ESI must comply with this instruction. Commands must safeguard these materials per references (a) through (c) in addition to implementing directives of appropriate commanders.

   b. All Navy commands and activities that have access to NC2-ESI materials must designate, in writing, an NC2-ESI Access Granting Authority Program Manager or local organization program manager as directed by reference (a).

   c. Changes to this instruction may be recommended to Deputy Chief of Naval Operations for Operations, Plans and Strategy (CNO N3N5), Strategic Deterrence Policy Branch (OPNAV N54) at (commercial) (703) 693-2775, or (DSN) 223-2775.
6. Records Management

   a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned per the records disposition schedules located on the Department of the Navy Assistant for Administration, Directives and Records Management Division portal page at https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Records-and-Information-Management/Approved%20Record%20Schedules/Forms/AllItems.aspx.

   b. For questions concerning the management of records related to this instruction [notice, change transmittal] or the records disposition schedules, please contact the local records manager or the OPNAV Records Management Program (DNS-16).

7. Review and Effective Date. Per OPNAVINST 5215.17A, CNO N3N5 will review this instruction annually around the anniversary of its issuance date to ensure applicability, currency, and consistency with Federal, Department of Defense, Secretary of the Navy (SECNAV), and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction. This instruction will be in effect for 10 years, unless revised or cancelled in the interim, and will be reissued by the 10-year anniversary date if it is still required, unless it meets one of the exceptions in OPNAVINST 5215.17A, paragraph 9. Otherwise, if the instruction is no longer required, it will be processed for cancellation as soon as the need for cancellation is known following the guidance in OPNAV Manual 5215.1 of May 2016.

   [Signature]

P. G. Sawyer
Deputy Chief of Naval Operations for Operations, Plans and Strategy

Releasability and distribution:
This instruction is cleared for public release and is available electronically only via Department of the Navy Issuances Web site, https://www.secnav.navy.mil/doni/default.aspx.
SAFEGUARDING NUCLEAR COMMAND AND CONTROL EXTREMELY SENSITIVE INFORMATION

1. **General.** This instruction provides Navy guidance for implementing reference (a).

2. **Categories of NC2-ESI.** The categories of NC2-ESI are specified in reference (a). It is emphasized that access to NC2-ESI materials must be highly restricted and granted on a selective and discriminating basis to individuals requiring access to perform their official duties, and having unescorted duty privileges is not authorization to have access to other NC2-ESI documents.

3. **Access Control**
   a. Requests for access to NC2-ESI materials will follow the instructions in reference (a) and follow the sample in enclosure (3).
   b. All contractor requests, per reference (a), must be submitted to the appropriate office via Office of Chief of Naval Operations Director, Plans, Policy and Integration (OPNAV N5). Allow a minimum of 20 working days to process contractor access requests. Per reference (a), waivers are not authorized for contractors.
   c. Requests not covered in subparagraphs 4a through 4g will be submitted to OPNAV N5 for approval.

4. **Delegation of NC2-ESI Access Granting Authority Responsibilities.** NC2-ESI access granting authority responsibilities may be delegated as described in subparagraphs 4a through 4g. The DON directorates and commands in subparagraphs 4a through 4g may delegate authority within their commands to establish billets and grant access to NC2-ESI material, but these responsibilities must not be delegated lower than operational unit commanding officers.
   a. OPNAV N5 for all military and Department of Defense (DoD) civilian personnel within the Office of the Chief of Naval Operations (OPNAV) staff; for military and DoD civilian personnel assigned to the offices of the SECNAV; and for all personnel not covered by paragraphs 4b through 4g.
   b. Director, Strategic Systems Programs for all DoD civilians and military personnel supporting his or her command.
c. Commander, Submarine Force Atlantic (COMSUBLANT) and Commander, Submarine Force, U.S. Pacific Fleet (COMSUBPAC) for military and DoD civilian members of his or her staffs, and subordinate group and squadron commanders requiring NC2-ESI access. Personnel conducting command and control inspections on ballistic missile submarine, nuclear-powered (SSBN) will not normally require access due to the use of training materials vice actual NC2 documents during inspections.

d. Group and squadron commanders for military and DoD civilian members of their staffs requiring NC2-ESI access, and all subordinate SSBN commanding officers. Limit personnel access to NC2-ESI Category C to those requiring unescorted access as defined in ref (a).

e. SSBN commanding officers for subordinate military crewmembers requiring NC2-ESI access. Limit access to NC2-ESI Category C to the executive officer, operations officer, officers functioning as emergency action team members, and radio room watch standers who require unescorted access to EAP-STRAT Volume 2.

f. Commander, Strategic Communications Wing ONE (COMSTRATCOMMWING ONE) for military and DoD civilian members of his or her staff requiring NC2-ESI access.

g. COMSTRATCOMMWING ONE squadron commanding officers and TACAMO Weapons School commanding officer for subordinate military personnel requiring NC2-ESI access. The minimum personnel that require NC2-ESI Category B access are all naval flight officers, including combat systems officers; combat systems officer trainees; and airborne communications officers who require unescorted access to view Category B material. Other E-6B aircrew positions and ground communications, intelligence, and operations positions require Category E access due to incidental exposure to NC2-ESI materials and information in the performance of their duties.

5. NC2-ESI Program Establishment and Management Requirements

a. Each command with access to NC2-ESI materials will establish an NC2-ESI Program as described in reference (a).

b. Each command with access to NC2-ESI will conduct an internal audit of their NC2-ESI program to verify compliance with this instruction and reference (a) on an annual basis. Internal audits will be retained for 3 years.

c. Each organization with access to NC2-ESI will submit an annual report to the Joint Staff /J-36 Deputy Director, Nuclear and Homeland Defense Operations (Joint Staff J-36/DDNHDO) point of contact as directed in reference (a) as described in subparagraphs 5.a.(1) and (2).
(1) COMSUBLANT, COMSUBPAC, and COMSTRATCOMMWING ONE will submit to Joint Staff J-36/DDNHDO a consolidated report for themselves and their subordinate commands. All other commands will submit their reports directly to Joint Staff J-36/DDNHDO.

(2) All reports submitted to Joint Staff J-36/DDNHDO will contain the required information described in reference (a), enclosure A subparagraph 6e, with a transmittal memo. A copy of each report will be provided to OPNAV N54, U.S. Naval Forces Strategic Commander, Director for Communications and Information Systems (NAVSTRAT N6), and either Commander, U.S. Fleet Forces, Director for Communications and Information Systems (COMUSFLTFORCOM N6) or Commander U.S. Pacific Fleet, Director for Communications and Information Systems (COMPACFLT N6), as appropriate.

6. Distribution and Reproduction of NC2-ESI Material and Extracts

a. The distribution and reproduction of NC2-ESI material and derivative information must be per reference (a).

b. The Chief of Naval Operations (CNO) will advise the CJCS, prior to the Chairman’s recommendation to the Secretary of Defense, to approve or disapprove Congressional requests for NC2-ESI documents.

c. The CNO will endorse any Navy-originated request to release NC2-ESI material to foreign nationals before the request is submitted to Commander, U.S. Strategic Command (CDRUSSTRATCOM). The CNO will advise the CJCS regarding release of NC2-ESI material to foreign nationals prior to the Chairman’s recommendation to the Secretary of Defense. When approved, reproduction and attendant accountability must be per reference (a).

d. All request for extracting or reproducing NC2-ESI documents to Joint Staff J-36/DDNHDO or USSTRATCOM Deputy Director for Nuclear Operations (USTRATCOM/J-3N) will be routed through their respective commands in paragraph 4 of this enclosure.

e. Recipients of NC2-ESI must comply with reference (a) when processing receipt. Commands unable to comply within 72 hours due to communications difficulties, electronic silence procedures, or other impediments unique to ships at sea must inform their immediate superior in command and report receipt of documents as soon as possible.

7. Transportation and Storage of NC2-ESI Material and Extracts. If unit personnel require air transport of NC2-ESI materials, requests for air transport must be endorsed by OPNAV N54 prior to submission to JS J-36/DDNHDO or USSTRATCOM/J-3N.
8. **Destruction of NC2-ESI Material or Extracts.** Per reference (a), NC2-ESI materials must be destroyed within 30 days of supersession. When DON originated exceptions to this requirement are unable to be met, they must be endorsed by the Deputy Chief of Naval Operations for Operations, Plans and Strategy (CNO (N3/N5)) prior to submission to Joint Staff Deputy Director for Global Operations for the Executive Branch, or USSTRATCOM J3, Director for Global Operations.

9. **Actions Following Possible or Actual Compromise.** Perform the actions required in references (a) and (b). Inform CNO (N3/N5) by the most expeditious means available.
PROCEDURES FOR SAFEGUARDING NC2-ESI WITHIN THE OFFICE OF THE CHIEF OF NAVAL OPERATIONS

1. **Purpose.** To establish supplemental procedures for the processing and safeguarding of NC2-ESI within the SECNAV and OPNAV staff.

2. **General.** The responsibility for developing and issuing CNO policy for safeguarding NC2-ESI and maintaining access to NC2-ESI materials resides with OPNAV (N5). An OPNAV NC2-ESI Access Granting Authority Program Manager from OPNAV (N5) must be assigned the responsibility for maintaining the SECNAV and OPNAV NC2-ESI access list, per reference (a).

3. **Information Control Procedures**

   a. All NC2-ESI materials and messages must be received, distributed, and maintained by the OPNAV NC2-ESI Access Granting Authority Program Manager. NC2-ESI documents must be returned to the OPNAV NC2-ESI Access Granting Authority Program Manager when no longer required.

   b. All NC2-ESI materials must be controlled from receipt to destruction using the procedures in reference (b).

4. **Personnel Access Control**

   a. Categories of NC2-ESI are described in reference (a). Access to these categories must be strictly limited to those requiring the materials and information because it is essential to the performance of their duties.

   b. The OPNAV NC2-ESI Access Granting Authority Program Manager must maintain a list of billets requiring permanent access. The list must be reviewed and validated annually for accuracy.

   c. Requests for NC2-ESI access must be forwarded to the OPNAV NC2-ESI Access Granting Authority Program Manager for processing. Temporary access will normally be granted up to 1 year.

   d. This enclosure must be used to ensure all personnel granted access meet the access criteria of reference (a). A briefing certificate must then be executed per reference (a).

   e. The OPNAV NC2-ESI Access Granting Authority Program Manager must retain the original access requests for 2 years after debriefing of personnel, as well as an access roster for all SECNAV and OPNAV personnel that are authorized access to NC2-ESI.
f. When staff members are detached or otherwise transferred, they must contact the OPNAV NC2-ESI Access Granting Authority Program Manager who will execute the debriefing statement.
SAMPLE REQUEST FOR ACCESS TO NC2-ESI MEMO

From: LCDR D. O. Good, OPNAV NC2-ESI Access Granting Authority Program Manager

To: APPROVING OFFICIAL

Subj: REQUEST FOR ACCESS TO NC2-ESI

Ref: (a) OPNAVINST 5511.35N

1. It is requested that the following individual, certified to have a “need to know” per reference (a), be granted access to NC2-ESI for the categories listed below:

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<th>Billet</th>
<th><em>Cat</em></th>
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<td>Date of Birth:</td>
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<td>Place of Birth:</td>
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FIRST ENDORSEMENT

From: Command Security Manager

To: Approving Official

1. The above-named applicant is certified to possess a FINAL TOP SECRET clearance. A Tier 5 personnel security investigation (T5) or periodic reinvestigation (T5R) has been initiated and completed as indicated below:

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<th>T5/T5R initiated on:</th>
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<td>T5/T5R completed on:</td>
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<td>T5/T5R completed by:</td>
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SECOND ENDORSEMENT

From: Approving Official

1. Access to NC2-ESI information is granted.

_________________________  ________________________
Signature                  Date

FOR OFFICIAL USE ONLY – PRIVACY ACT SENSITIVE: Any misuse or unauthorized
disclosure of this information may result in both criminal and civil penalties. AUTHORITY: 5
U.S.C. 9101; 10 U.S.C. 137; DoD Directive 1145.02E; DoD 5200.2R; DoD 5105.21; DoD
Instruction (DoDI) 1304.26; DoDI 5200.02; DoDD 5220.6; DoDI 5220.22; Homeland Security
Presidential Directive (HSPD) 12; and E.O. 9397 (SSN), as amended; DMDC 12 DoD
http://dpcld.defense.gov/Privacy/SORNsIndex/DODwideSORNArticleView/tabid/6797/Article/5
70567/dmdc-12-dod.aspx. Additional authorities: OPNAVINST 5511.35N Safeguarding
Nuclear Command and Control Extremely Sensitive Information (NC2-ESI) PURPOSE: To
verify the security clearance classification of the personnel that is requesting access to NC2-ESI.
ROUTINE USES: Data is used by OPNAV NC2-ESI Control Officer, who has a need to know
in order to process requests for access.
DISCLOSURE: Voluntary; however, failure to provide the requested information may result in
a delay or inability to process requests.