



DEPARTMENT OF THE NAVY  
OFFICE OF THE CHIEF OF NAVAL OPERATIONS  
2000 NAVY PENTAGON  
WASHINGTON, D.C. 20350-2000

IN REPLY REFER TO

OPNAVINST 3400.12  
N3AT  
29 Oct 08

OPNAV INSTRUCTION 3400.12

From: Chief of Naval Operations

Subj: REQUIRED OPERATIONAL CAPABILITY LEVELS FOR NAVY  
INSTALLATIONS AND ACTIVITIES

Ref: (a) OPNAVINST 5530.14D  
(b) DoD Instruction 2000.16, 2 October 2006  
(c) Joint Publication 1-02, 12 April 2001  
(d) SECNAVINST 3400.4  
(e) DoD Interim Concept of Operations for Chemical, Biological, Radiological, Nuclear, and High Yield Explosive (CBRNE) Defense Supporting U.S. Military Installation and Facility Preparedness, 2005 (NOTAL)  
(f) SECNAVINST S8126.1 (NOTAL)  
(g) CJCSI 3170.01F  
(h) OPNAVINST 3300.53B (NOTAL)  
(i) SECNAVINST 3300.2B  
(j) NAVADMIN 186/08 "Antiterrorism Strategic Policy and Re-sourcing Realignment"  
(k) SECNAV M-5210.1

Encl: (1) Required Operational Capability Levels for Navy Installations and Activities Modification Letter

1. Purpose. This instruction establishes policy and guidance, per references (a) through (i), for the delineation of Required Operational Capability (ROC) levels applicable to Antiterrorism (AT) and Emergency Management (EM) capabilities and associated responsibilities for the protection of Navy installations and activities. This instruction does not apply to the law enforcement capabilities contained in reference (a). This instruction defines the Deputy Chief of Naval Operations for Operations, Plans, and Strategy (CNO (N3/N5)) approach to providing strategic oversight of the Navy's AT policy ashore, as well as setting and shaping the overall security environment, as outlined in reference (j).

## 2. Policy

a. This instruction applies to all Navy installations, activities, and organizations and defines the roles and responsibilities of the Office of the Chief of Naval Operations (OPNAV) staff, fleet commanders, and Budget Submitting Offices (BSOs) in protecting shore installations and facilities consistent with organization mission criticality.

b. Combatant Commander AT policies take precedence over this instruction per reference (b).

c. For the purpose of this instruction, all Navy installations and activities and each area of government-owned, Navy-managed property that have an independent and non-contiguous fence line, except contractor operated Naval weapons industrial reserve plants that are government-owned, will be identified and evaluated separately.

d. OPNAV and BSO authorized resourcing levels for AT program requirements at the installation, activity, and organization level (to include manpower) will be aligned directly with the ROC designation identified in the annually published ROC notice. This alignment will result in the application of 100 percent of the AT capability requirements contained in reference (a) for the ROC level assigned.

3. Definitions. The following definitions can be found in reference (c) or have been developed to meet the unique requirements of this instruction.

a. Antiterrorism. AT comprises defensive measures used to reduce the vulnerability of individuals and property to terrorist acts, to include limited response and containment by local military forces.

b. Emergency Management. EM consists of those measures taken in advance of an emergency to reduce the loss of life and property from all types of hazards through a comprehensive EM program of preparedness, mitigation, response, and recovery.

c. Enclave. A distinctly bounded area located within a larger Navy installation/activity that requires a different level of AT capability to ensure that minimum AT and EM requirements are met.

d. Required Operational Capabilities. The AT and EM capabilities, consisting of doctrine, organization, training, material, leadership and education, personnel, and facilities, must be provided by the BSO to Navy installations/activities to ensure adequate protection of fleet assets in support of war-fighter mission readiness.

e. ROC Levels. The classification from ROC 1 to 5 for each installation/activity based on the criticality of assets assigned and functions performed and supported. These levels are derived from references (a), (d), (e) and (f).

(1) ROC Level 1: Strategic Installations/Activities. Installations/activities that provide protection for limited areas and restricted areas in direct support of strategic missions addressed in reference (f).

(2) ROC Level 2: Fleet Concentration or Critical Capabilities Installations/Activities.

(a) Installations/activities that serve as an operational power projection location or critical weapons on-load/off-load facility for combatant vessels and tactical aircraft.

(b) Installations that serve as key forward operating locations and critical seaports/airports of embarkation and debarkation associated with operational missions and tasks.

(c) Critical warfighting command, control, communications, computers, intelligence, surveillance, and reconnaissance installations/facilities.

(d) Nuclear-vessel capable shipyards.

(e) May include enclave areas associated with a ROC Level 1.

(3) ROC Level 3: Sustainment Installations/Activities

(a) Installations/facilities with non-combatant vessels, non-tactical aircraft, hospitals, weapons facilities, logistics sites, shipyards, maintenance facilities, and related functions.

(b) Operational headquarters and non-critical communication sites.

(c) May include enclave areas associated with higher ROC levels.

(4) ROC Level 4: Administrative or Training Support Installations/Activities.

(a) Research and development centers, training sites, and administrative facilities/complexes.

(b) May include enclave areas associated with higher ROC levels.

(5) ROC Level 5: Non-Installation/Off-Base Organizations/Activities, Off-Base Housing, and all other Navy Organizations/Activities

(a) Recreational areas; morale, welfare, and recreation facilities; and Navy Exchanges and Defense Commissary Agency facilities that may not require external entry control points or perimeter control.

(b) Any Navy organization operating in commercially owned/Government-leased facilities not located on a Department of Defense installation.

(c) Other "off-base" activities where active duty Navy, Navy Reserve, Department of the Navy civilian, contractor, and other closely affiliated personnel are located (to include Navy Reserve Centers and Navy Recruiting Stations), that may not require dedicated force protection or AT and EM/CM capabilities.

4. Procedure

a. ROC level assignments are contained in the annually published ROC notice and are classified SECRET.

b. Recommendations for changes to current ROC level assignments can be made by the installation, region or fleet commander by utilizing the format in enclosure (1).

(1) Routine requests for changes should be submitted on an annual basis and shall be submitted by the installation commanding officer via the region commander, BSO and fleet commander to the Antiterrorism/Force Protection Branch (OPNAV (N3AT)) annually by 15 April.

(2) Emergent Requests

(a) Situations may arise that require a change in installation or enclave AT/EM posture commensurate with a ROC level higher or lower than currently assigned. Examples include installation mission changes and movement of critical assets. However, any decision to increase a ROC designation may incur a resourcing requirement that cannot be immediately met. To ensure that sufficient resources are available to support increased installation and enclave AT requirements, it is imperative that each BSO, regional commander, and installation commanding officer participate in the planning and programming process for mission changes and/or movement of critical assets affecting their Area of Responsibility (AOR).

(b) While long-term changes in ROC designation will be adjudicated using the annual process and funded using established programming processes, nothing in this instruction precludes regional commanders from adjusting resources or forces within their AOR to respond to emergent ROC designation changes. Regional commanders have the authority to implement emergent ROC level changes and are directed to fully document all emergent changes to an approved ROC designation, using the format provided in enclosure (1) within 30 days of the emergent requirement being identified. All emergent changes shall be forwarded to the appropriate Navy Component Commander and CNO (N3/N5) for concurrence. All approved emergent requests will be included in the annual ROC review process for final approval.

5. Action

a. OPNAV N3/N5 (AT) shall:

(1) Coordinate the annual review and approval of ROC list with fleet commanders and BSOs.

(2) Coordinate annual ROC level adjudication meeting in May of each year.

(3) Facilitate annual review of ROC list in order to adjudicate all ROC level modification requests in coordination with fleet commanders by 1 June annually, or first working day afterwards.

(4) Chair the annual ROC list adjudication review.

(5) Approve and publish annual list of ROC level assignments to CNO (N3/N5) by 15 June annually.

(6) Coordinate with the OPNAV ashore AT resource Sponsor (Director, Material, Readiness, and Logistics (CNO (N4))) to allocate ashore resources as determined by approved ROC levels.

b. Director of Shore Readiness (OPNAV N46). Participate as a voting member in the annual ROC list adjudication meeting.

c. United States Fleet Forces Command. Participate as a voting member in the annual ROC list adjudication meeting.

d. Navy Component Commanders. Participate as a voting member in the annual ROC list adjudication meeting.

e. Fleet Commanders (Echelon 2) shall:

(1) Receive region commander's inputs, review, and make changes to recommendations, as necessary.

(2) Submit annual change recommendations to OPNAV (N3AT) by 15 April.

(3) Ensure ROC policies established in this instruction are integrated into all appropriate fleet commander policy and guidance.

(4) Submit all requests for emergent changes to approved ROC levels to OPNAV N3/N5 (AT) for approval.

f. BSOs shall:

(1) Execute AT resourcing controls as provided by OPNAV.

(2) Ensure ROC policies established in the instruction are integrated into all appropriate BSO policy and guidance.

(3) Implement and resource approved ROC level assignments.

g. Regional Commander shall:

(1) Conduct an annual ROC level review for each installation/activity under their purview.

(2) Submit all requests for changes to the approved ROC levels annually to the fleet commander for review no later than 15 March by utilizing the format in enclosure (1).

(3) Submit all requests for emergent changes to the approved ROC levels to the appropriate fleet commander for review by utilizing the format in enclosure (1).

h. Installation Commander shall:

(1) This instruction assesses your installation and determines recommended ROC level assignment.

(2) Submit annual recommendations for ROC level modification to the regional commander by 15 February, or first working day afterwards, utilizing the format in enclosure (1).

(3) If a situation emerges during the year that warrants a change to an installation's ROC level assignment, submit change request as a "Special Circumstance Request" to the regional commander utilizing the format enclosure (1).

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6. Records Management. Records created as a result of this instruction, regardless of media and format, shall be managed in accordance with reference (k).



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DEPARTMENT OF THE NAVY  
Appropriate Letterhead

3400  
SER 00/  
Date

From: Originating Entity (Installation, Region, Fleet, or OPNAV N3AT)

To: Next Level of Chain of Command (Region, Fleet, or OPNAV N3AT)

Subj: REQUIRED OPERATIONAL CAPABILITY LEVELS FOR NAVY INSTALLATIONS AND ACTIVITIES

Ref: (a) OPNAV Instruction 3400.12

NOTE: Memo is classified CONFIDENTIAL once information is provided.

1. Current ROC Level Designation of Installation/Activity:
2. Proposed ROC Level Designation of Installation/Activity:
3. Request for Change is Routine (requested on annual cycle):

Immediate (Based on emergent situation)

4. Justification for Change:

a. Narrative format.

b. Include applicable sections from reference (a), as well as any special circumstances outside of the reference that apply to the specific situation and should be considered by the next commander in your chain of command. Form can be initiated at any level to include OPNAV N46 to N4. Installation for which modification is being considered should be informed of the request if not the actual originator of the modification request. For example, if the regional commander submits modification form to the fleet commander, the region should inform the installation under review about the modification request, including the reason for the request initiation.

5. POC: \_\_\_\_\_

Signature Block

Enclosure (1)