



DEPARTMENT OF THE NAVY  
OFFICE OF THE CHIEF OF NAVAL OPERATIONS  
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OPNAVINST 5040.6J  
N9  
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OPNAV INSTRUCTION 5040.6J

From: Chief of Naval Operations

Subj: DEPARTMENT OF THE NAVY NUCLEAR WEAPONS TECHNICAL  
INSPECTIONS AND NUCLEAR WEAPONS READINESS CERTIFICATION

Ref: (a) SECNAVINST 8120.1B  
(b) OPNAVINST 8120.1  
(c) CJCSI 3263.05B (NOTAL)  
(d) SWOP 4-1 (NOTAL)  
(e) SWOP 4-1A (NOTAL)  
(f) SWOP 25-2 (NOTAL)  
(g) SSP OD 68907 (NOTAL)  
(h) OPNAVINST 8110.18D  
(i) Emergency Action Procedures, U. S. Strategic Command  
(EAP-STRAT), Vol III (NOTAL)  
(j) CJCSI 3260.01D (Afloat only)  
(k) DoD Manual 3150.08, Nuclear Weapon Accident Response  
Procedures, 22 August 2013  
(l) OPNAVINST 3440.15C  
(m) SSP OD 69206, Nuclear Weapons Radiological Controls  
Program (NOTAL)  
(n) NAVMED P-5055

Encl: (1) Acronyms  
(2) Scope for Nuclear Weapons Technical Inspections

1. Purpose. To issue policy for the Department of the Navy nuclear weapons technical inspection (NWTI) and for nuclear weapons readiness certification and decertification of Navy nuclear weapons capable units; and to conform with references (a) and (b). This revision incorporates changes from reference (c); defines the Navy's two types of nuclear weapons capable units; establishes Navy guidance for inspection periodicity, to include no-notice and minimal-notice inspections; and incorporates significant changes to inspection major graded areas (MGA). This instruction has been substantially revised to incorporate guidance in references (a) through (n) and should be reviewed in its entirety.

2. Cancellation. OPNAVINST 5040.6H.

3. Definitions and Acronyms. References (d) and (e) contain definitions and acronyms applicable to this instruction. Acronyms used in this instruction are provided in enclosure (1).

4. Scope. This instruction applies to all nuclear weapons capable commands, activities, units, or forces, and to all commands, activities, units, or forces involved in the NWTI process.

5. Background. Due to the unique political and military importance of nuclear weapons and nuclear weapons systems, their destructive power, and the potential consequences of a nuclear weapons incident, the Navy maintains a rigorous NWTI program per reference (c) to ensure their safety, security, and reliability.

6. Policy

a. NWTIs verify nuclear weapons and nuclear weapons system safety, security, and reliability by certifying that units are ready to perform their nuclear weapons capabilities as assigned by reference (f). NWTI results also provide data that organizations can leverage to identify process; policy; and technical failures or deficiencies, their root causes, and corrective measures for continuous improvement in nuclear weapons and nuclear weapons systems safety, security, and reliability.

b. For NWTIs, Navy nuclear certified units are defined as a strategic weapons facility (SWF) or a nuclear ballistic-missile submarine (SSBN).

c. The desired end state for NWTI chief inspector assignment is an experienced submarine ordnance limited duty officer (LDO) captain. Until the Department of the Navy achieves a sufficient, experienced submarine ordnance LDO captain inventory, the certifying authorities are authorized to assign experienced submarine ordnance LDO commanders as chief inspectors. Exceptions to this policy are only authorized in emergent situations where a designated Director, Strategic Systems Programs (DIRSSP) NWTI chief inspector is unable to

support an SWF inspection. In such cases, DIRSSP may appoint an NWTI chief inspector providing all of the guidelines in subparagraphs 6c(1) through 6c(3) are met.

(1) Minimum military grade O-6 or government civilian equivalent.

(2) Have the nuclear weapons experience necessary to meet the position's responsibilities.

(3) Have the required written notification submitted to Deputy Chief of Naval Operations, Warfare Systems (CNO (N9)).

## 7. Responsibilities

a. CNO (N9). In addition to responsibilities and authorities identified per reference (b), CNO (N9) must:

(1) Serve as the echelon 1 supported flag officer and point of contact for NWTI policy.

(2) Review certifying authority NWTI schedules to ensure compliance with reference (c).

(3) Annually, prior to 1 July, forward the Navy consolidated inspection schedule for the next fiscal year to the Joint Staff.

(4) Provide oversight of selected NWTIs to ensure nuclear weapons safety and security policy is relevant, thorough, and executable in compliance with applicable directives. At a minimum, a CNO (N9) representative will monitor all defense nuclear surety inspection oversights, all ashore NWTI, all nuclear weapon acceptance inspections (Nwai), and 10 percent of remaining fleet NWTIs annually.

(5) Review NWTI and corrective action reports.

b. Commander, United States Fleet Forces Command (COMUSFLTFORCOM) and Commander, U.S. Pacific Fleet (COMPACFLT). In addition to responsibilities and authorities identified per reference (b), the fleet commanders must:

(1) Provide CNO (N9), DIRSSP, and Defense Threat Reduction Agency (DTRA) the NWTI schedules for assigned SSBNs annually prior to 1 June. Provide updates to NWTI schedules as changes are made.

(2) When the certification status of a unit under its authority changes, notify Assistant Secretary of Defense for Nuclear, Chemical, and Biological Defense Programs (ASD(NCB)); Joint Staff Deputy Director for Nuclear, Homeland Defense, and Current Operations (J33); DTRA; U.S. Strategic Command (USSTRATCOM); CNO (N9); and DIRSSP.

(3) Ensure that no uncertified or decertified unit handles war reserve weapons. Additionally, ensure personnel are assigned to monitor or perform functions as appropriate to provide a safe and secure environment, pending recertification of a decertified unit.

(4) Forward final NWTI results for assigned SSBNs within 30 days of completion of the inspection, per reference (g).

(5) Monitor units under their cognizance regarding progress made to correct all deficiencies noted during an NWTI.

(6) Ensure NWTI reports and corrective action reports for assigned SSBNs are forwarded to DIRSSP for trend analysis and historical review.

(7) When requested, coordinate with DIRSSP to provide appropriately qualified inspectors for the conduct of SWF NWTIs.

c. DIRSSP. In addition to responsibilities and authorities identified per references (a) and (b), DIRSSP is:

(1) The echelon 2 supporting flag officer and technical authority supporting CNO (N9) for NWTI program policy development and execution. DIRSSP must:

(a) Develop and submit NWTI program policy changes to CNO (N9) for approval.

(b) By 15 January of each year, verify in writing to the Joint Staff (J33) via CNO (N9) that the Navy NWTI inspector training program is current, adequate, and formally approved.

(c) Establish and maintain a method to collect and archive NWTI findings (afloat and ashore) for use in assessing program health and conducting trend analysis.

(d) Provide a presentation to the Navy Nuclear Deterrent Mission Oversight Council (NNDMOC) regarding Navy NWTI program health and trend analyses, annually or as needed.

(e) Conduct an assessment of the NWTI process to determine effectiveness of inspection criteria, scope, and inspector certification. Assessment will be conducted annually and include both ashore and afloat inspection observations.

(f) Sponsor the annual Navy NWTI symposium. This symposium may, at the discretion of CNO (N9), be combined with the annual nuclear weapon safety and schedule review directed by reference (h).

1. DIRSSP is responsible for all administrative matters, including invitation of appropriate personnel.

2. DIRSSP will host all symposia held in the Washington, D.C. area or at DIRSSP facilities.

(g) Endorse the implementation of special interest items (SII). As the technical authority and Navy nuclear deterrence mission regulatory lead, DIRSSP is authorized to incorporate Navy SII as required. DIRSSP will inform CNO (N9) when a Navy SII is implemented and rescinded. The additional organizations in subparagraphs 7c(1)(g)1 through 7c(1)(g)3 are authorized to submit Navy SII recommendations to DIRSSP.

1. CNO (N9)

2. COMUSFLTFORCOM

3. COMPACFLT

(h) Brief the NNDMOC annually on significant findings related to each major graded area and the status of inspection SIIs.

(2) The nuclear weapons certifying authority for all ashore NWTIs, and will:

(a) Coordinate with U.S. Marine Corps, as needed, for security force inspection.

(b) Provide CNO (N9) and DTRA the NWTI schedules for SWFs annually prior to 1 June. Provide updates to NWTI schedules as changes are made.

(c) When the certification status of a unit under its authority changes, notify ASD(NCB), Joint Staff (J33), CNO (N9), DTRA and USSTRATCOM.

(d) Ensure that no uncertified or decertified unit handles war reserve weapons. Additionally, ensure personnel are assigned to monitor or perform functions as appropriate to provide a safe and secure environment, pending recertification of a decertified unit.

(e) Forward final NWTI results for SWFs within 30 days of completion of the inspection, per reference (g).

(f) Monitor units under its cognizance regarding progress made to correct all deficiencies noted during an NWTI.

(g) Ensure NWTI reports, corrective action reports, and deficiency data for SWFs are collected and archived for trend analysis and historical review.

(h) Provide process oversight of selected afloat NWTIs to ensure nuclear weapons safety and security policy is relevant, thorough, and executable in compliance with applicable directives.

d. NWTI Chief Inspectors. NWTI chief inspectors are responsible for conducting the inspection as set forth in this instruction and references (b), (c), (f), (g), and (h). Additionally, NWTI chief inspectors will:

(1) Assign an overall rating for each inspected unit per reference (c), and recommend nuclear weapons readiness certification, recertification or decertification to the certifying authority.

(2) Submit an NWTI report to the certifying authority, per reference (c). Sample NWTI reports are contained in reference (g).

e. NWTI Teams. NWTI teams conduct the inspection under the direction of the NWTI chief inspector. Personnel assigned to NWTI teams must demonstrate superior performance and possess extensive experience in the area in which they are inspecting. NWTI teams will be comprised of a senior inspector and nuclear weapons inspectors who are qualified or designated per reference (g). Chief inspectors will determine inspection team composition per reference (g).

8. NWTI Types. The types of NWTIs are discussed in reference (c). The two types of Navy NWTIs are provided in subparagraphs 8a and 8b.

a. NWAI

(1) An NWAI is conducted to certify a unit to perform nuclear weapons operations safely, securely, and reliably. An NWAI is conducted on a prospective nuclear capable unit, or a previously decertified nuclear unit.

(2) A limited nuclear weapons acceptance inspection (LNWAI) is conducted before assignment of a new or additional nuclear weapons capability or use of new or modified nuclear weapons systems or facilities. An LNWAI may be conducted concurrent with a Navy technical proficiency inspection (NTPI).

b. NTPI

(1) NTPIs are conducted following a satisfactory NWAI, scheduled at 18 (plus or minus 6) month periodicity. Certifying authorities will notify CNO (N9) and DIRSSP, using the scheduling message, prior to exceeding 21 months between inspections of certified units.

(2) No-notice and minimal-notice NTPIs may be conducted per reference (c).

9. Scope for NWTIs. Reference (c) establishes the Department of Defense NWTI standard and scope. Inspections will include all applicable areas specified in reference (c) as well as the designated areas: nuclear weapons incident response, nuclear

weapons radiological controls program, and nuclear weapons radiation health program. Enclosure (2) assigns the scope and provides guidance and methodology for the conduct of Department of the Navy NWTIs, including those areas specified by reference (c).

#### 10. Rating System

a. The NWTI chief inspector's report will indicate an overall rating for each inspected unit per reference (c), and recommend nuclear weapons readiness certification, recertification or decertification to the certifying authority. In determining the overall rating for the inspected unit, the chief inspector will pay particular attention to the unit's ability to self-assess. The chief inspector will evaluate the unit leadership's ability to identify and correct underlying causes to systemic issues as well as the ability to implement and sustain continuous improvement. The rating ultimately reflects the chief inspector's judgment, informed by his or her experience and by recommendations of the inspection team, regarding the unit's capability to conduct safe, secure, and reliable operations per reference (f).

b. Based on the NWTI chief inspector's assessment of the nature, severity, and number of deficiencies and the impact to the unit's nuclear surety, the instances in subparagraphs 10b(1) and 10b(2) may also result in an "UNSATISFACTORY" rating.

(1) A number of deficiencies or a manner of performance which indicates a lack of competence or disregard for prescribed procedures.

(2) Shortages in personnel, equipment, or authorized repair parts which would prevent accomplishment of the assigned nuclear weapons technical functions.

c. Repeat deficiencies of a systemic nature may be judged as a significant deficiency and reported in the area of inspection most appropriate to the situation. In all cases, repeat deficiencies of a systemic nature will be identified as such in the final report.

d. There is no specific "statute of limitations" for a deficiency noted during an NWTI. The relevance will be based on the impact of the deficiencies to the current mission. In situations where a unit has identified a deficiency and implemented sufficient measures to reasonably preclude recurrence, the chief inspector may elect not to assess a deficiency against the unit.

e. The assigned rating and associated recommendation by the chief inspector will guide the certifying authority in determining whether the inspected unit will be certified, recertified, decertified, or have a portion of its nuclear weapons capability withheld pending re-inspection.

11. NWTI Certification, Recertification, and Decertification. The certifying authority will certify, recertify, or decertify nuclear weapons capable units to safely, securely, and reliably carry out nuclear weapons capabilities.

a. Upon completion of a satisfactory NWTI, the certifying authority will certify that the inspected unit's nuclear weapons and nuclear weapons system(s) comply with published safety, security, and reliability criteria.

b. The certifying authority will provide notification to the Office of the ASD(NCB), Joint Staff (J33), DTRA, CNO (N9), DIRSSP, USSTRATCOM and the unit's chain of command by naval message when a unit has been decertified as a result of any of the actions or conditions listed in subparagraphs 11b(1) through 11b(5).

(1) The unit is rated "UNSATISFACTORY" during an NWTI per reference (c), or based upon NWTI chief inspector's assessment, as described in subparagraph 10b.

(2) Conflicts are found in policy guidance which could adversely affect the safety, security, or reliability of the nuclear weapons system.

(3) The commanding officer of a nuclear weapons certified unit requests decertification as a result of his or her determination that the unit is incapable of performing its assigned functions due to personnel loss, material failure, inadequate support, or other substantial issues.

(4) A unit is scheduled for overhaul or conversion and all nuclear weapons have been offloaded.

(5) The certification interval is exceeded without prior ASD(NCB) authorization.

c. As described in reference (c), the certifying authority may decide to withhold recertification. Recertification will be granted upon completion of directed corrective actions within the specified timeframe designated by the certifying authority. Certain operations may be restricted by the certifying authority during this timeframe.

## 12. Reports

### a. NWTI Reports

(1) The NWTI chief inspector's report will be formatted per reference (c) and as amplified per reference (g). The certifying authority will endorse and forward the final report to the inspected unit for resolution of deficiencies within 30 days of the completion of the inspection.

(2) NWTI support deficiencies where the corrective action is outside the certifying authority's area of responsibility will be addressed separately in the report. When requested, CNO (N9) will forward the support deficiencies to the appropriate echelon 2 commanders for corrective action. Responsible echelon 2 commanders must provide CNO (N9) with the root cause and corrective action taken or planned to resolve critical and significant deficiencies within 2 months of notification of deficiencies.

(3) In the event of an "UNSATISFACTORY" rating followed by an immediate "SATISFACTORY" re-inspection per reference (c), the inspection report will include: "Evaluation: A rating of "UNSATISFACTORY" is assigned for the inspection. An on the spot re-inspection was conducted and the deficiency which caused the "UNSATISFACTORY" rating did not recur and a rating of "SATISFACTORY" for the re-inspection is assigned. Based upon this re-inspection, [name of the unit] is recommended for [certification, in the case of an Nwai, or recertification, in the case of an NTPI] for [name of the weapon(s) or weapon(s) system designation]."

(4) To ensure uniform statistics are used among certifying authorities, only the initial rating assigned to the inspected unit will be reported. Ratings identified as "UNSATISFACTORY," "UNSATISFACTORY (support unsatisfactory)," or "SATISFACTORY, re-inspection after an UNSATISFACTORY" constitute an "UNSATISFACTORY" rating. "SATISFACTORY" re-inspections described in reference (c), no matter if immediately conducted on the spot or several days later, must not be counted as "SATISFACTORY" for statistical purposes.

b. Corrective Action Report (CAR). Inspected units that receive deficiencies during an NWTI will certify correction of all deficiencies, and identify the root cause and corrective action taken or planned to resolve critical and significant deficiencies.

(1) Corrective actions for minor deficiencies will be documented and retained by the inspected unit until reviewed during the next NWTI. Corrective actions for minor deficiencies are NOT required to be forwarded through the chain of command for endorsement.

(2) For NWTIs that identify a critical or a significant deficiency, CARs must be forwarded through the chain of command for endorsement and received by the certifying authority within 75 days from the date the certifying authority has endorsed the inspection report. Distribution of CARs and endorsements must follow reference (c).

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

14. Information Management Control. The collections contained within this instruction are exempt from reports control by Secretary of the Navy Manual 5214.1 of December 2005, part IV, subparagraph 7j.



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ACRONYMS

ASD(NCB)	Assistant Secretary of Defense for Nuclear, Chemical, and Biological Defense Programs
CAR	corrective action report
COMPACFLT	Commander, U.S. Pacific Fleet
COMUSFLTFORCOM	Commander, U.S. Fleet Forces Command
DIRSSP	Director, Strategic Systems Programs
DTRA	Defense Threat Reduction Agency
LDO	limited duty officer
LNWAI	limited nuclear weapons acceptance inspection
MGA	major graded areas
NNDMOC	Navy Nuclear Deterrent Mission Oversight Counsel
NTPI	Navy technical proficiency inspection
NWAI	nuclear weapons acceptance inspection
NWTI	nuclear weapons technical inspection
SII	special interest items
SSBN	nuclear ballistic-missile submarine
SWF	strategic weapons facility
USSTRATCOM	U.S. Strategic Command
WSR	weapon status report

SCOPE FOR NUCLEAR WEAPONS TECHNICAL INSPECTIONS

1. Reference (c) and this instruction contain the primary guidance and methodology for the conduct of NWTIs. During NWTIs, the MGAs in subparagraphs 1a(1) through 1a(4) will be inspected as applicable to the unit's assigned nuclear weapons capability.

a. Management and Administration. As specified in reference (c), to include:

(1) A review of the unit's personnel allowance and manning in support of nuclear weapons operations.

(2) Nuclear weapons surety level-of-knowledge testing, consisting of both written examinations and oral interviews, will be administered to a representative sample of the unit's personnel. Record results within applicable MGA.

(3) A routine audit of the unit's stock record account will be conducted during NTPIs and NWAIs, as applicable. The term "audited" denotes a quantitative formal audit of a specific account for the verification of its records. Reference (c) discusses accountability and custodial procedures. Routine audits will be accomplished concurrent with NWTIs by personnel designated by the chief inspector. A listing of any irregularities found during a routine audit will be reported in the NWTI report. The items in subparagraphs 1a(3)(a) through 1a(3)(c) will be included in the routine audit.

(a) Examination of:

1. Stock records (SWF only).
2. Shipping documents (vouchers) (SWF only).
3. Courier receipt files (SWF only).
4. Custody receipt files (if applicable).
5. Accountable officer (SWF only) and custodian designation letters.

6. Weapon status report (WSR) rejection, error rates, and cause factors. The examination must include a review of a dummy WSR prepared for transmission (not actually transmitted) per the procedures in Special Weapons Ordnance Publication 100-3150 (NOTAL) (SWF only).

(b) Inventory of nuclear weapons, weapon components, and limited life components, as applicable.

(c) Comparison of inventory and all related records and accountable files, to verify accuracy, as applicable.

(4) A review of inventory control methods (i.e., receipts, destruction records as applicable), and proper personnel training and assignment records per references (i) and (j).

b. Technical Operations. Demonstrated, as specified in reference (c).

c. Tools, Test, Tie-Down, and Handling Equipment. As specified in reference (c). Equipment provided by shore activities per an approved procedure is not required to be identified in the NWTI report as 'on loan' equipment per reference (c).

d. Condition of the Active or Inactive Stockpile and Retired Weapons (SWF only). As specified in reference (c).

e. Storage and Maintenance Facilities. For SWFs, as specified in reference (c). For SSBNs, the chief inspector will conduct a walk-through with a representative of the inspected unit to assess the stowage, preservation, cleanliness, and material condition of strategic weapons system related equipment and spaces.

f. Security. As specified in reference (c), to include a review of the Nuclear Weapons Security Officer Program, nuclear weapons security deviations, and compliance with compensatory measures, as applicable.

g. Safety. As specified in reference (c), the unit's records will be reviewed to determine compliance with the nuclear weapons safety program, including records pertaining to:

- (1) The nuclear weapons safety officer.
- (2) The nuclear weapons safety council.
- (3) Nuclear weapons safety training.

h. Supply Support (SWF only). As specified in reference (c).

i. Personnel Reliability Program. As specified in reference (c). In support of a balanced inspection approach the certifying authorities may direct NWTI chief inspectors to review additional records (as applicable) to ascertain overall program effectiveness.

j. Logistic Movement (SWF only). As specified in reference (c).

k. Nuclear Weapons Incident Response Capability. Will include:

- (1) Review of the unit's incident bill and response plan.
- (2) Review of availability and change status of directives related to incidents.
- (3) Inspection of radiation monitoring equipment, personnel protective clothing, and decontamination stations and hotline equipment which directly support the unit's ability to respond to a nuclear weapons incident.
- (4) Observation of a nuclear weapons incident drill to evaluate the unit's casualty control and response capability to a credible nuclear weapons incident, and exercise the requirements of references (k) and (l).

l. Nuclear Weapons Radiological Controls Program. The areas of the unit's nuclear weapons radiological controls program, listed in subparagraphs 11(1) through 11(5), will be reviewed per reference (m).

NOTE: Items in subparagraphs 11(1) and 11(2) for afloat inspections will be documented in management and administration MGA. Items in subparagraphs 11(3) through 11(5) are not applicable for afloat inspections.

(1) Management and oversight of the nuclear weapons radiological controls program to include a review of the nuclear weapons radiological control officer audit and surveillance program.

(2) Nuclear weapons radiological controls training.

(3) Personnel radiation exposure management, including use and processing of dosimetry.

(4) Contamination control at intermediate and depot level maintenance activities.

(5) Low level radioactive waste management at intermediate and depot level maintenance activities.

m. Radiation Health Program (SWF only). The areas of the unit's (or its supporting activities - including government, military, and support contractors that are participating in the command's radiation health program) radiation health program listed in subparagraphs 1m(1) through 1m(4) will be reviewed, per reference (n).

(1) Performance and documentation of radiation medical examinations.

(2) Administration of the personnel dosimetry program.

(3) Preparation and submission of required radiation health reports.

(4) Training of medical personnel administering the radiation health program.

n. SIIs. As specified in reference (c).