



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

IN REPLY REFER TO  
OPNAVINST 5040.6H  
N4  
01 Jun 2010

OPNAV INSTRUCTION 5040.6H

From: Chief of Naval Operations

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

Ref: (a) SECNAVINST 8120.1  
(b) SWOP 4-1 of 31 May 2005 (NOTAL)  
(c) SWOP 4-1A (Secret) of 15 Jun 2005 (NOTAL)  
(d) SWOP 25-1 of 1 Apr 2008 (NOTAL)  
(e) Memorandum of Agreement between Defense Threat  
Reduction Agency (DTRA) and the United States Navy  
Regarding Defense Nuclear Surety Inspections (DNSIs)  
and DTRA Surveillance Inspections (SIs), of 16 Jan  
2009 (NOTAL)  
(f) Memorandum of Understanding between the U.S. Nuclear  
Command and Control System (NCCS) Support Staff (NSS)  
and the Chief of Naval Operations for Conduct of NSS  
Observations of Nuclear Weapons Technical Inspections,  
of 14 Mar 2008 (NOTAL)  
(g) SWOP 25-2 (Confidential) of 25 Feb 2010 (NOTAL)  
(h) SECNAVINST 5510.35A

Encl: (1) Acronyms  
(2) NWTI Report Format  
(3) Scope for DON NWTIs  
(4) Details of NWTI Report

1. Purpose. To promulgate policy for the Department of the Navy (DON) Nuclear Weapons Technical Inspection (NWTI) and for nuclear weapons (NW) readiness certification, decertification, and audits of Navy NW capable units; and to conform with reference (a). This instruction has been substantially revised and should be reviewed in its entirety.

2. Cancellation. OPNAVINST F5040.6G.

3. Definitions and Acronyms. References (b) and (c) 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 Navy NW capable commands, activities, units, or forces, and to all commands, activities, units, or forces involved in the NWTI process, including: the Office of the Chief of Naval Operations (OPNAV) staff; Commander, United States Fleet Forces Command (USFLTFORCOM); Commander, Pacific Fleet (COMPACFLT); Director, Strategic Systems Programs (DIRSSP); and Program Executive Officer, Unmanned Aviation and Strike Weapons (PEO (U&W)).

5. Background. Because the potential consequences of an NW accident or an inadvertent or unauthorized act could be severe, the Navy maintains a rigorous NWTI program to ensure NW and NW systems safety, security, and reliability.

6. Policy. NWTIs verify NW and NW system safety, security, and reliability by certifying that units are ready to execute NW capabilities. NWTI results also provide data that organizations referred to in paragraph 4 in this instruction will leverage to conduct trend analyses to identify process, policy, and technical failures or deficiencies, their root causes, and corrective measures for continuous improvement in NW and NW systems safety, security, and reliability.

7. Responsibilities

a. Director, Navy Staff (DNS). DNS is the single OPNAV flag officer (FO) responsible for coordinating all OPNAV responsibilities for NW activities, as outlined in reference (a). DNS will chair and be supported in these responsibilities by the OPNAV Nuclear Weapons Council (ONWC) and Senior Leaders Oversight Council (SLOC), per reference (a). Specific to the NWTI program, the ONWC and SLOC will direct action to resolve NW and NW system policy and oversight issues identified by internal and external NWTIs.

b. Deputy Chief of Naval Operations (Fleet Readiness and Logistics) (CNO N4). CNO N4 is the echelon 1 supported FO for DON NW and NWTIs and will:

(1) Approve and promulgate Navy NWTI and certification policy;

(2) Serve as the DON point of contact for NWTI policy;

(3) Review certifying authorities' NWTI schedules to ensure compliance with reference (d);

(4) Monitor selected NWTIs to ensure DON NW safety and security policy is relevant, thorough, and executable in compliance with applicable directives;

(5) Review certifying authorities' NWTI reports of results;

(6) Review USFLTFORCOM's, COMPACFLT's, and DIRSSP's trend analyses, annual assessments, corrective actions of NWTI results, and program health assessments for presentation to the ONWC and SLOC; and

(7) Coordinate resolution of inspection issues with Defense Threat Reduction Agency (DTRA), USFLTFORCOM, and COMPACFLT for DTRA-conducted NWTIs.

c. USFLTFORCOM and COMPACFLT. USFLTFORCOM is the NW certifying authority for all ashore and Atlantic Fleet afloat NWTIs. COMPACFLT is the NW certifying authority for all Pacific Fleet afloat NWTIs. The NW certifying authority will:

(1) Designate qualified NWTI chief inspectors from their respective areas, per references (a) and (d). The desired end state for chief inspector assignment is an experienced limited duty officer (LDO) ordnance captain chief inspector. Until the DON achieves a sufficient, experienced captain LDO ordnance inventory, the fleet is authorized to assign qualified/experienced commander LDO ordnance chief inspectors.

(2) Assign a chief inspector for each NWTI under its cognizance;

(3) Assign qualified technical and security inspectors for all DON NWTIs and assessments under its cognizance;

(4) Schedule and execute all NWTI types under their cognizance, per reference (d), and Navy directives.

(5) USFLTFORCOM will coordinate with DIRSSP to ensure support for Strategic Weapons Facility (SWF) NWTIs is available;

(6) Provide CNO N4, DIRSSP, and DTRA the DON NWTI inspection schedules annually, with quarterly updates and whenever changes are made;

(7) Notify CNO N4, DIRSSP, and DTRA when a scheduled NWTI is not conducted;

(8) Certify or decertify DON NW capable units to execute NW capabilities safely, securely, and reliably upon recommendation of the NWTI chief inspector, per reference (d);

(9) Notify CNO N4, DIRSSP, and DTRA when the certification status of a unit under its authority changes;

(10) Ensure that no decertified unit handles war reserve weapons, and assign qualified personnel to monitor/perform functions (as appropriate) to provide a safe and secure environment, pending recertification of a decertified unit;

(11) Forward NWTI results within 10 working days of the completion of the inspection to the addressees listed in enclosure (2);

(12) Monitor units under its cognizance regarding progress made to correct all deficiencies noted during an NWTI; and

(13) Advise CNO N4 and DIRSSP annually on recognized trends or other significant findings based on results of NWTIs.

d. DIRSSP. DIRSSP is the echelon 2 supporting FO and technical authority supporting CNO N4 for NWTI program policy development and execution and to the certifying authorities for NWTI program execution. DIRSSP will:

(1) Develop and submit NWTI program policy changes to CNO N4 for approval;

(2) Develop and set criteria and standards by which NWTI program policy is executed;

(3) Provide technical assistance in operation and inspection of DON NW capable units to fleet commanders. This assistance pertains to all matters relating to safe, secure, and

reliable operation and maintenance of NW and NW systems. Assistance will also be available across both fleets to prepare for NWTIs, as well as to correct deficiencies noted during inspections;

(4) Establish Strategic Systems Programs field offices to report day-to-day monitor results on a bi-weekly basis to DIRSSP, copy to the monitored NW capable units' chain of command and the certifying authority. Deficiencies deemed critical or significant, per reference (d), shall be reported immediately to the NW capable unit's chain of command, and the certifying authority;

(5) Set DON NWTI inspector training, qualification, and certification standards and train, qualify, and certify DON NWTI inspectors to those standards;

(6) Nominate a DON chief inspector to USFLTFORCOM for NWTIs to be conducted at an SWF;

(7) Review SWF NWTI results and conduct analysis of trends, root cause analysis, and initiate long-term corrective action based on root cause analysis;

(8) Annually, by 30 September, provide CNO N4 with trend analyses and program health assessment for presentation to the ONWC and SLOC;

(9) Monitor SWFs regarding progress made to correct all deficiencies noted during NWTIs;

(10) Ensure that no decertified SWF handles NWs. When necessary, assign qualified personnel to monitor/perform functions (as appropriate) to provide a safe and secure environment pending recertification of a decertified SWF; and

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

e. DON NWTI Teams. The DON NWTI chief inspector, assisted by a senior inspector, technical inspectors, and security inspectors, is responsible for conducting the inspection as set

forth in this instruction and references (a), (d), (e), and (f), as well as amplifying instructions that DIRSSP and or the relevant certifying authority issue.

8. NWTI Types. NWTIs are inspections of nuclear-capable units conducted to examine NW technical assembly, maintenance, storage functions, logistics movement, handling, safety, and security functions. The types of NWTIs are discussed in reference (d) and further defined for the Navy in the following paragraphs.

a. DON NWTIs

(1) Nuclear Weapons Acceptance Inspection (Nwai)

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

(b) A limited Nwai is conducted before assignment of a new or additional NW capability or use of new or modified NW systems or facilities. A limited Nwai may be conducted concurrent with a Nuclear Technical Proficiency Inspection (NTPI).

(2) NTPI

(a) NTPIs are conducted to recertify a unit's readiness to perform its assigned NW capabilities per reference (g). NTPIs are conducted only following a satisfactory Nwai. They will be conducted at 15-month intervals (plus or minus 3 months). The Navy, if the chief inspector accepts the DTRA's Defense Nuclear Surety Inspection (DNSI) as fulfilling the NW technical portion of the NTPI, will conduct an augmenting NTPI to meet additional NTPI requirements. Reference (d) outlines the scope of an augmenting NTPI.

(b) No notice NTPIs, which are NTPIs conducted with no more than 3 working days advanced notice, measure a command's day-to-day NW readiness.

Note: Activities having a personnel reliability program (PRP) that support the DON NW mission and are non-NW capable will have their PRP inspected per reference (h).

b. DTRA NWTIs

(1) DNSI. A DNSI is a DTRA inspection on certified NW capable units. The inspection provides an independent assessment to the Office of the Secretary of Defense (OSD) and the Joint Chiefs of Staff of the safety, security, and reliability of NW in the custody of DON certified units. DNSIs also help to ensure a standardized Department of Defense (DoD)-wide NWTI program.

(2) DTRA Surveillance Inspection (DTRA SI). A DTRA SI is not an NWTI but is an inspection conducted during a DON NTPI whereby DTRA officials assess the performance of Navy inspectors conducting a DON NTPI. DTRA officials will conduct the DTRA SI on a not-to-interfere basis.

9. Scope for DON NWTIs. Reference (d) establishes the DoD NWTI standard and scope. It delineates policy, assigns responsibilities, and prescribes standard procedures to conduct and rate NWTIs of all DoD NW capable commands. DON inspections shall include all applicable areas specified in reference (d), as well as the following designated areas: command and control, NW incident response, NW radiological controls program, and radiation health program. Enclosure (3) assigns the scope and provides guidance and methodology for the conduct of DON NWTIs, including those areas specified by reference (d).

10. Rating System

a. The chief inspector will assign an overall rating for each inspected unit per reference (d), and will recommend NW readiness certification or decertification to the certifying authority. In determining the overall rating for the inspected unit, the chief inspector will pay particular attention to the inspected unit's self-assessment capability and process. The chief inspector will assess the inspected unit leadership's ability to identify and correct the underlying causes to systemic issues as well as their ability to implement and sustain processes to achieve 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 capacity to:

(1) Demonstrate reliability by executing technical procedures necessary to assure NWS function as intended or designed;

(2) Provide for a safe environment that guards against: physical damage to the weapon, explosion, radiological contamination, or unintentional operation of all or part of the weapon arming or firing system; and

(3) Provide for a secure environment that prevents unauthorized access to NWS, meets the Nuclear Weapon Security Standard, and provides protection per applicable security directives.

b. In evaluating a unit, the chief inspector will assess the nature, severity, and number of deficiencies that may indicate: lack of competence; disregard for prescribed procedures; personnel deficiencies; equipment deficiencies; or maintenance deficiencies. Repeat deficiencies of a systemic nature may be judged significant deficiencies 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.

c. When other attributes within the scope of inspection, such as security, technical operations, etc., show evidence of repeat deficiencies and there is limited evidence of unit leadership correcting the root cause of the aforementioned deficiencies, the chief inspector shall consider the nature and severity of the situation when determining the overall rating for the area of management and administration.

d. Inspection ratings shall be assigned per reference (d).

e. The assigned rating and associated recommendation by the chief inspector will guide the certifying authority's determination as to whether the inspected unit will be certified, recertified, have a portion of its NW capability withheld pending re-inspection, or be decertified.

11. DON NWTI Certification, Decertification, and Re-Certification. The DON certification authority shall certify or de-certify readiness of NW capable units to safely, securely, and reliably carry out NW capabilities.



a. Upon completion of a satisfactory NWTI, the certification authority will certify that the inspected unit complies with published arms, ammunition, explosives, and NW safety, security, and reliability criteria for the NW system(s) capability inspected.

b. The certification authority shall provide notification to Deputy Assistant to the Secretary of Defense for Nuclear Matters, Joint Staff/J-3, DTRA, Chief of Naval Operations (CNO), DIRSSP, and the unit's chain of command, by Naval message, when a unit has been decertified as a result of any of the following actions or conditions:

(1) The unit is found UNSATISFACTORY during an NWTI as a result of a critical deficiency, or based on the chief inspector's assessment that the number of significant deficiencies results in an unsafe or insecure environment or an unreliable weapon;

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

(3) The commanding officer of an NW 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 NWs have been offloaded (message notification is not required);

(5) The certification interval is exceeded without prior CNO authorization; or

(6) When the certification of a regenerated Tomahawk land attack missile-nuclear capable unit is no longer required (message notification is not required).

c. As described in reference (d), the chief inspector may decide to withhold re-certification. Re-certification 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 chief inspector's NWTI report will be formatted per reference (d), as amplified by enclosures (2) and (4) of this instruction. The NWTI report shall include the DTRA inspection team's comments when a DNSI is conducted. The certifying authority will endorse and forward the final report to the inspected unit for resolution of deficiencies within 10 working days of the completion of the inspection.

(2) NWTI support deficiencies, including DNSI support deficiencies, where the corrective action is outside the inspecting authority's responsibility or authority shall be addressed separately in the report. CNO N4 will forward the support deficiencies to the appropriate echelon 2 commanders for immediate corrective action.

(3) In the event of an UNSATISFACTORY rating followed by an immediate satisfactory re-inspection per reference (d), the following will be included in the inspection report:  
"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 [certified, in the case of an NWA, or is recertified, 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 shall 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 (d), no matter if immediately conducted on the spot or several days later, shall not be counted as SATISFACTORY for statistical purposes.

b. Corrective Action and Follow-up Reports

(1) Within 10 working days of receiving the final NWTI report, the inspected unit shall forward to the certifying authority, via its chain of command, a statement of action taken to correct the deficiencies.

(2) Commanders that are addressees for endorsement shall forward the endorsed NWTI report, concurring with corrective action, within 10 working days of receipt.

(3) Reports of corrective action and follow-up reports on NWTIs covered by this instruction will be made per reference (d). The root cause and corrective actions taken or planned shall be specifically reported for all critical and significant deficiencies identified in the NWTI report.

13. Observation of NWTIs. NWTIs may be observed by representatives of the U.S. Nuclear Command and Control System Support Staff as established by reference (f). U.S. Strategic Command (USSTRATCOM) and OPNAV representatives may also be present. Observers access to inspections areas, if physical space is limited, may be facilitated by the chief inspector.

14. Records Management. Records created as a result of this instruction, regardless of media and format, shall be managed per Secretary of the Navy (SECNAV) Manual (M-)5210.1 of November 2007.

15. Reports Control. The reporting requirements contained within this instruction are exempt from reports control by SECNAV M-5214.1 of December 2005.



W. R. BURKE  
Vice Admiral, U.S. Navy  
Deputy Chief of Naval Operations  
(Fleet Readiness and Logistics)

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### Acronyms

The NW related acronyms used in this instruction are as follows:

CJCS	Chairman of the Joint Chiefs of Staff
CNO	Chief of Naval Operations
COMPACFLT	Commander, Pacific Fleet
COMSUBLANT	Commander, Submarine Forces Atlantic
COMSUBPAC	Commander, Submarine Forces Pacific
USFLTFORCOM	United States Fleet Forces Command
DIRSSP	Director, Strategic Systems Programs
DNS	Director, Navy Staff
DNSI	Defense Nuclear Surety Inspection
DoD	Department of Defense
DON	Department of the Navy
DTRA	Defense Threat Reduction Agency
DTRA SI	DTRA Surveillance Inspection
FO	flag officer
NCCS	U.S. Nuclear Command and Control System
NOTAL	not to, nor required by, all addressees
NTPI	Navy Technical Proficiency Inspection
NW	nuclear weapons
NWAI	Nuclear Weapons Acceptance Inspection
NWTI	Nuclear Weapons Technical Inspection
ONWC	OPNAV Nuclear Weapons Council
OPNAV	Office of the Chief of Naval Operations
OSD	Office of the Secretary of Defense
PEO (U&W)	Program Executive Officer, Unmanned Aviation and Strike Weapons
PRP	personnel reliability program
SLOC	Senior Leaders Oversight Council
SWF	strategic weapons facility
SWOP	Special Weapons Ordnance Publication
TYCOM	type commander, specifically COMSUBLANT and COMSUBPAC
USSTRATCOM	U.S. Strategic Command
WSR	weapon status report

NWTI Report Format

1. The following report format will be used:

{OVERALL CLASSIFICATION - place on header/footer for each page}

REPORT OF NUCLEAR WEAPONS ACCEPTANCE INSPECTION (Nwai) or  
REPORT OF NAVY TECHNICAL PROFICIENCY INSPECTION (NTPI)

{OVERALL CLASSIFICATION}

5040  
Ser  
Date

From: Chief Inspector  
To: Certifying Authority

Subj: REPORT OF NUCLEAR WEAPONS ACCEPTANCE INSPECTION (Nwai) OF  
\_\_\_\_\_ DATED \_\_\_\_\_ ( )  
or

Subj: REPORT OF NAVY TECHNICAL PROFICIENCY INSPECTION (NTPI) OF  
\_\_\_\_\_ DATED \_\_\_\_\_ ( )

Ref: (a) SWOP 25-1  
(b) OPNAVINST 5040.6H  
(c) TYCOM Nuclear Weapons Manual  
(d) SWOP 25-2

Encl: (1) Details of Nwai/NTPI Report  
(2) Minor deficiencies  
(3) Support deficiencies (deficiencies not attributed to  
the inspected unit)

1. ( ) Per references (a) through (c), and in compliance with  
reference (d), an inspection board under the direction of a  
chief inspector and composed of technical, security, and  
administration inspectors designated by the inspecting authority  
conducted an Nwai/NTPI during the period (\_\_\_\_\_) and assigned an  
overall rating of (SATISFACTORY/UNSATISFACTORY). Inspection  
deficiencies which require remedial action and specific comments  
and recommendations are contained in enclosure (1).

2. ( ) The inspection team evaluated the ability of the unit to perform its assigned NW mission, as listed in reference (d). Any training weapons used during this inspection were simulated to be war reserve quality and adherence to CNO promulgated safety rules was stressed throughout the inspection.

3. ( ) Major areas inspected with adjectival ratings and a brief summary of results for each area:

- a. Management and Administration:
- b. Technical Operations:
- c. Tools, Test, Tie-Down, and Handling Equipment:
- d. Storage and Maintenance Facilities:
- e. Security:
- f. Safety:
- g. Supply Support:
- h. NW Personnel Reliability Program:
- i. Logistic Movement:
- j. Command and Control:
- k. NW Incident Response Capability:
- l. NW Radiological Controls Program:
- m. Radiation Health Program:
- n. Condition of Stockpile:
- o. Special Interest Items:

4. ( ) Deficiencies noted were brought to the attention of supervisory personnel concerned as soon as practicable. The team found minor deficiencies (enclosure (2)), and provided the list to the unit/facility (draft copy). This list, annotated with the corrective action(s) taken, shall be retained for

review during the next Nuclear Weapons Technical Inspection (NWTI). An out-brief was conducted at the conclusion of the inspection.

or

4. ( ) The inspection team found no reportable deficiencies. The team found minor deficiencies (enclosure (2)), and provided the list to the unit/facility (draft copy). This list, annotated with the corrective action(s) taken, shall be retained for review during the next Nuclear Weapons Technical Inspection (NWTI). An out-brief was conducted at the conclusion of the inspection.

5. ( ) Per references (a) and (b), the commanding officer will report, by endorsement, the action(s) taken to correct the deficiency(ies) listed in enclosure (1). The commanding officer, {unit responsible for Support Unsatisfactory} is directed to report by endorsement, the action(s) taken to correct the deficiency(ies) listed in enclosure (3) (if applicable).

6. ( ) Evaluation: A rating of SATISFACTORY is assigned for the inspection.

or

6. ( ) Evaluation: A rating of SATISFACTORY (Support Unsatisfactory) is assigned for the inspection.

or

6. ( ) Evaluation: A rating of UNSATISFACTORY (Support Unsatisfactory) is assigned for the inspection.

or

6. ( ) Evaluation: A rating of UNSATISFACTORY is assigned for the inspection.

or

6. ( ) Evaluation: An initial rating of UNSATISFACTORY/SATISFACTORY (Support Unsatisfactory)/UNSATISFACTORY (Support

Unsatisfactory) was assigned. After correction of major deficiency(ies), an immediate re-inspection of the previously UNACCEPTABLE area(s) was conducted and a final rating of SATISFACTORY is assigned.

7. ( ) Based on the results of the inspection and associated grades assigned, certification/recertification/decertification is recommended for (unit/facility).

8. ( ) Derived from: Multiple Sources.  
Declassify on: (What ever is most restrictive date).

/s/ Chief Inspector

Copy to: CJCS (J3, DDGO/SSTOD)  
USSTRATCOM (J005, J87)  
DTRA Kirtland AFB NM (CNSI)  
CNO (N09N2, N1, N3/N5, N4, N8)  
USFLTFORCOM (N41)  
DIRSSP (SP11, SP205)  
COMPACFLT (N30)  
COMSUBLANT (N9, N97)  
COMSUBPAC (N9, N97)  
NAVSURFWARREN IHD DET McAlester OK (E5)

1. {Formerly Restricted Data Statement}  
FORMERLY RESTRICTED DATA  
Unauthorized disclosure subject to administrative and criminal sanctions. Handle as RESTRICTED DATA in foreign dissemination. Section 144.b, Atomic Energy Act of 1954.



**SCOPE FOR DON NWTIs**

1. Reference (d) and this instruction contain the primary guidance and methodology for the conduct of NWTIs. During NWTIs, the following subjects will be inspected as applicable to the unit's assigned NW capability:

a. Management and Administration. Will include:

(1) A review will be made of the unit's personnel allowance and manning in support of NW operations;

(2) 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 (d) 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 following will be included in the routine audit:

(a) Examination of:

1. Stock records;
2. Shipping documents (vouchers);
3. Courier receipt files;
4. Custody receipt files (if applicable);
5. Accountable officer and custodian designation letters; and
6. Weapon status report (WSR) rejection/error rates and cause factors. The examination shall include a review of a dummy WSR prepared for transmission (not actually transmitted) per the procedures in Special Weapons Ordnance Publication (SWOP) 100-3150 of 22 Oct 2007 (NOTAL).

(b) Inventory of NWS, weapon components, and limited life components, as applicable; and

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

(3) Units that are decertified due to loss of capability, deactivation, or overhaul for an anticipated period of time that would preclude a routine audit of its account within a 15-month (plus or minus 3-month period), shall request a special closeout audit after all assets have been transferred. This audit can be conducted by the unit's administrative type commander (TYCOM), with copies to Supply, Ordnance, and Logistics Operations Division (OPNAV (N41)), the appropriate certifying authority and DTRA.

(4) Review of those areas specified in reference (d).

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

c. Tools, Test, Tie-Down, and Handling Equipment. As specified in reference (d).

d. Storage and Maintenance Facilities. As specified in reference (d).

e. Security. As specified in reference (d).

f. Safety. The unit's records will be reviewed to determine compliance with the DON NW safety program, including records pertaining to:

(1) The NW safety officer;

(2) The NW safety council;

(3) NW safety training; and

(4) Those areas specified in reference (d).

g. Supply Support. As specified in reference (d).

h. NW PRP. As specified in reference (h).

i. Logistic Movement. As specified in reference (d).

j. Command and Control. Onboard submarines, the implementation of the Sealed Authentication System will be inspected to ensure proper control, storage, inventory, and personnel assignment, per Emergency Action Procedures Strategy, volume III, and Chairman of the Joint Chiefs of Staff (CJCS) Instruction 3260.01B (NOTAL).

k. NW Incident Response Capability. Shall include:

(1) Review of the unit's incident bill;

(2) Review of availability and change status of directives related to incidents;

(3) Inspection of radiation monitoring equipment, personnel protective clothing, and decontamination stations/hotline equipment which directly support the unit's ability to respond to an NW incident; and

(4) Observation of an NW incident drill to evaluate the unit's response to an NW credible incident to exercise the requirements of OPNAVINST 3440.15A.

l. NW Radiological Controls Program. The following areas of the unit's NW radiological controls program, per Naval Sea Systems Command TW120-AA-PRO-010, Nuclear Weapons Radiological Controls Program, of 1 May 2005 (NOTAL), will be reviewed:

(1) Management and oversight of the NW Radiological Controls Program;

(2) NW radiological controls training;

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

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

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

m. Radiation Health Program. The following areas of the unit's (or its supporting activities) radiation health program will be reviewed, per Bureau of Medical and Surgery's NAVMED P-5055:

(1) Performance and documentation of radiation medical examinations;

(2) Administration of the personnel dosimetry program;

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

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

n. Condition of the Stockpile. Applicable only to the SWFs, as specified in reference (d).

o. Special Interest Items. Those other items specified by OSD, DTRA, CNO, DIRSSP, and or the certifying authorities.

{CLASSIFICATION}

**Details of NWTI REPORT**

(As Applicable)  
COMMENTS

1. ( ) The deficiency listed in paragraph \_\_\_\_\_ of {enclosure (\_\_\_)} met the unsatisfactory criteria of reference (d) paragraph \_\_\_\_\_ for {explanatory remarks}. Accordingly, {**An UNSATISFACTORY** or **A SATISFACTORY/Support Unsatisfactory**} rating was assigned.

2. ( ) Management and Administration:

a. (deficiency noted) Include inspector's specific comment, if deficiency warrants.

Ref: (deficiency reference)

**{Include the following comments in all reports}**

b. Comment: The control of top secret material was evaluated and was {strictly following governing directives, or other findings as appropriate.}

c. Comment: A formal audit of accountable records was conducted by (insert applicable fleet/SWF inspectors).

d. Comment: A review of the activity's personnel allowance and manning was conducted.

3. ( ) Security:

**{Include the following comment in all reports: A review of deviations was conducted}**

4. ( ) Other NWTI subject areas from enclosure (3) of this instruction, as applicable.

5. ( ) Derived from: OPNAVINST 5513.9C  
Declassify on: 15 October 2020

{CLASSIFICATION}

{Enclosure (1) {to Basic Letter Format}}