



DEPARTMENT OF THE NAVY

NAVAL SERVICE TRAINING COMMAND
2601A PAUL JONES STREET
GREAT LAKES, ILLINOIS 60088-2845

NSTCINST 5214.1A

N02

9 Aug 2022

NSTC INSTRUCTION 5214.1A

From: Commander, Naval Service Training Command

Subj: COMMANDER'S CRITICAL INFORMATION REQUIREMENTS

Ref: (a) OPNAVINST F3100.6K
(b) OPNAV M-5100.23 of 5 June 2020
(c) OPNAVINST 5102.1E
(d) NETCINST 5214.1B

Encl: (1) NSTC CCIR Reporting Matrix
(2) NSTC CCIR E-mail Format
(3) NSTC CCIR Reference Terms

1. Purpose. To prescribe policy, responsibility, and guidance for Commander's Critical Information Requirements (CCIR) reporting to Naval Service Training Command (NSTC) domain on events requiring notification to Commander, Naval Service Training Command (CNSTC) and Headquarters (HQ) staff leadership. This will ensure clarity in reporting and that commands are supported up echelon. The reporting requirements herein are not all-inclusive; if something is not captured, and a subordinate command thinks CNSTC should know, make the report.

2. Background.

a. Reference (a), establishes the requirement to operate a Navy event notification system, and references (b) and (c), delineate specific safety-related event reporting requirements, and reference (d), is Naval Education and Training Command's CCIR instruction.

b. NSTC is required to provide situational awareness reporting to Echelon (ECH) II leadership regarding events within the NSTC domain. This requires timely and comprehensive notification by ECH IV commands. For the purposes of critical reporting, ECH IV includes: Recruit Training Command (RTC), Officer Training Command (OTC), Naval Reserve Officers' Training Corps (NROTC) Units, Departments of Naval Science at Maritime Academies, and Navy Junior Reserve Officers' Training Corps (NJROTC) Units.

c. Commanding Officers (CO), Officers-in-Charge (OIC), Senior Naval Science Instructors (SNSI), and NSTC Department Directors/Special Assistants (DD/SA) will comply with NSTC CCIR guidance. If circumstances require a report to other organizations, then NSTC should receive the same report via courtesy copy email, as an INFO addressee on a Naval Message, etc.

d. This instruction clarifies what meets the reporting criteria. COs and OICs will carefully delineate NSTC CCIRs within their own CCIR instruction as appropriate. COs, OICs, NSTC DD/SAs, and Command Duty Officers (CDO) at every echelon will familiarize themselves with these reporting requirements to ensure the right information is appropriately disseminated.

e. Enclosures (1) through (3), provide a listing of NSTC CCIRs, the CCIR report format, and CCIR descriptions, respectively.

f. Where doubt exists as to whether an incident meets reporting definitions and criteria, as outlined in enclosure (3), the event will be reported to the chain of command. When doubt exists as to the appropriate categorization of an event, report the event as the higher priority category (CAT).

g. The submission of an OPREP-3 message does not negate the requirement for submission of a CCIR. The OPREP-3 message is seen by numerous commands outside of CNETC, so it is typically kept very general in nature. The CCIR, however, is internal to NSTC and should precede the OPREP-3 and provide additional information and fidelity in order to facilitate follow-on reporting to higher authority. Bottom-line, you can never provide too much information in a CCIR. When providing information, ensure the legal status of all persons reported on is understood and privacy act requirements and personally identifiable information handling requirements are strictly followed.

3. Responsibilities.

a. COs, OICs, NSTC DD/SAs, and leaders at all levels will track and report NSTC CCIRs.

b. NSTC Chief of Staff (COS) and Director of Operations (Ops) will:

(1) Conduct an annual review and update of this instruction, as required.

(2) Ensure COs are properly trained in the reporting guidance specified in this instruction, and in the use of all available reporting tools.

c. COs, OICs, and NSTC DD/SAs will:

(1) Report all CCIR categories listed in enclosure (1).

(2) Monitor National and local news for situational awareness and to ensure commands are not negatively impacted.

4. Exceptions.

a. There are a variety of types of students associated with NROTC Units. The type of student influences whether CCIR reporting is required, and if required, what level of detail is appropriate.

(1) Scholarship Midshipmen (MIDN) are postsecondary students who have been selected, offered, and activated a Navy, Marine, or Navy Nurse scholarship. These students enlist in the Navy or Marine Corps Reserve at the time of scholarship activation, but generally remain inactivated except for periods of advanced (summer cruise) training.

(2) College Program MIDN are postsecondary students who wish to serve as commissioned officers, but have not been awarded any form of an NROTC scholarship. There are two types of College Program MIDN.

a. College Program Basic MIDN are postsecondary students with more than two years of college coursework remaining. They are not enlisted in the Naval Reserve by virtue of being College Program participants – they have the status of civilians unless they came to the college program having already enlisted in the Naval Reserve.

b. College Program Advanced Standing MIDN are postsecondary students in their final two years of college coursework who have been selected for Advanced Standing by NSTC or Marine Corps Recruiting Command (MCRC) and have signed the Advanced Standing Agreement. These students enlist in the Navy or Marine Corps Reserve at the time they begin Advance Standing, but generally remain inactivated except for periods of advanced (summer cruise) training.

(3) Naval Science Students are civilian postsecondary students enrolled through the postsecondary institution's course registration process in Naval Science courses, but not enrolled in NROTC.

(4) Seamen to Admiral (STA-21) Officer Candidates (OCs) are active duty enlisted Sailors participating in the STA-21 enlisted commissioning program assigned to NROTC Units. All CCIR reporting requirements that regularly apply to active duty Sailors apply to STA-21 OCs.

(5) Marine Corps Enlisted Commissioning Education Program (MECEP) participants are active duty enlisted Marines participating in the MECEP assigned to NROTC Units. All CCIR reporting requirements that regularly apply to active duty Marines apply to MECEP participants.

(6) Strategic Sealift Midshipmen Program (SSMP) MIDN are postsecondary students at the U.S. Merchant Marine Academy (USMMA) and six state maritime academies participating in an education and training program leading to a U.S. Navy Reserve Officer commission as a Strategic Sealift Officer (SSO). Some SSMP MIDN will have enlisted in the U.S. Navy Reserve (those attending USMMA and those receiving Student Incentive Payments from the Maritime Administration) and some will not have.

(7) Duty Under Instruction Students (DUINS). Navy active duty Sailors enrolled as graduate students in local institutions of higher learning, administratively assigned to NROTC Units, but not participating in the NROTC program.

(8) NROTC Preparatory Program (NPP) students are enrolled in a preparatory program leading to future selection for an NROTC four-year scholarship at select institutions. NPP students have the status of civilians while participating in the program.

(9) Broadened Opportunity for Officer Selection and Training (BOOST) 2.0 students are enrolled in a preparatory year at the Naval Academy Preparatory School (NAPS) leading to activation of an NROTC four-year scholarship and are enlisted in the Navy during their BOOST 2.0 year.

b. In all cases, when students associated with NROTC are on active duty and/or participating in Navy or Marine Corps summer training, CCIR reporting for all personnel incidents is required.

c. CCIR reporting for SSMP MIDN enlisted in the U.S. Navy Reserve, Scholarship MIDN, and College Program Advanced Standing MIDN (all MIDN who are legally enlisted in the Navy Reserve) is required for the following personnel incidents at all times regardless of whether the MIDN is on active duty or not:

(1) Any death or critical injury.

(2) Any sexual misconduct when both the victim and alleged offender are affiliated with the NROTC Unit or Department of Naval Science.

d. CCIR reporting for College Program Basic MIDN, Naval Science Students, and NPP Students is only required for incidents of death or critical injuries occurring during the course of NROTC training events, NROTC functions, and/or Naval Science courses.

e. NJROTC Senior Naval Science Instructors (SNSI) and Naval Science Instructors (NSI) are employees of the school districts they work for. The only CCIR reporting required for SNSIs and NSIs is as follows:

(1) Death or critical injury while performing NJROTC activities or events.

Fraternization/sexual misconduct involving a Cadet where the school provides information to the Navy.

(2) Other misconduct where the school informs the Navy and there is known media interest that could generate significant embarrassment to the Navy.

e. NJROTC Cadets are high school students and not members of the Navy. The only CCIR reporting required for Cadets is as follows:

(1) Death or critical injuries that occur during the course of NJROTC training events and functions or while the Cadet is in uniform.

(2) Other misconduct where the school informs the Navy and there is known media interest that could generate significant embarrassment to the Navy.

5. 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 or the records disposition schedules, please contact the local records manager.

6. Review and Effective Date. Per OPNAVINST 5215.17A, NSTC 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, 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.



JENNIFER S. COUTURE

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.netc.navy.mil/Commands/Naval-Service-Training-Command/NSTC-Directive/>.

NSTC CCIR REPORTING MATRIX

CCIR #	Criteria	CNETC 24/7 Voice (Note 1)	COS 24/7 Voice (Note 1/2)	E-mail Distro (Note 3)
CAT I				
I-1	Attack/Active Shooter	X		X
I-2	Force/Health Protection Condition Change		X	X
I-3	Use of Deadly Force	X		X
I-4	CBRNE Event	X		X
I-5	Major Disaster/Incident	X		X
I-6	High Interest Overseas Incident		X	
I-7	Death or Critical Injuries Requiring Personnel Casualty Report	X		X
I-8	Time-critical Congressional Inquiry (<24 hours)		X	X
CAT II				
II-1	Media Interest		X	X
II-2	Network Intrusion/Cyber Incident		X	X
II-3	Breach of Personally Identifiable Information		X	X
II-4	High-Interest Recruit, Midshipman, Officer Candidate, Cadet, or Student Issue/ Significant Medical Event during Training		X	X
II-5	Fraternization/Sexual Misconduct between: (a) RDC/Instructor/Staff & Recruit (b) RDC/DI/Staff & Officer Candidate (c) Instructor/Staff & MIDN (d) SNSI/NSI & Cadet		X	X
II-6	Khaki Misconduct (E7 and Above) Misconduct not Covered in II-5 or III-5		X	X
II-7	Incidents requiring execution of Continuity of Operations Planning (COOP)		X	X
CAT III				
III-1	Critical Interruptions (>8 hours)/Incidents that disrupt training and/or supply chain ops (>24 hours). These can include facility, personnel, and/or environmental factors			X

CCIR #	Criteria	CNETC 24/7 Voice (Note 1)	COS 24/7 Voice (Note 1/2)	E-mail Distro (Note 3)
III-2	Planned or unplanned outage (>4 hours) of a NETC, Command, or Relevant DoD/DON Controlled System (e.g., CANTRAC, etc.)			X
III-3	Any Negative Situation Associated with a Selection Board (e.g. STA-21, OCS, NROTC, NJROTC)			X
III-4	Arrest/confinement/suicide attempt/non-critical hospitalization >24 hours			X
III-5	Fraternization/Sexual Misconduct not Covered in II-5			X

Note (1): Voice reports to CNSTC/COS will be made by COs, OICs, and NSTC DD/SAs. Initial call shall be made as soon as the incident becomes known. Follow-up phone calls can be made as new information becomes available. If unable to contact CNSTC/COS, the Director of Operations (Ops) and Deputy Commander for NROTC are the back-ups.

Note (2): COS will determine if CNSTC should be notified and make appropriate call.

Note (3): E-mail to NSTC CCIR distro: NSTC_GRLK_CCIR@us.navy.mil, which includes COS, Ops, Deputy Commander for NROTC, Staff Judge Advocate, Deputy Staff Judge Advocate, and Public Affairs Officer. Please include the NSTC Safety Officer for any Class A or Class B safety mishaps to ensure appropriate reporting to Naval Safety Command.

NSTC CCIR EMAIL FORMAT

1. **Subject:** *[CCIR CAT (I, II, or III), Command, Type of Incident – Outlook email subject line should match]*
 2. **Incident:** *[Specifics on type of incident]*
 3. **Notification:** *[Who has been notified/means of notification, e.g., phone call, text, or email]*
 4. **Date/Time Reported and Date/Time of Incident:** *[Differentiate between when command was notified and when incident occurred]*
 5. **Narrative Details:** *[Provide as much detail as possible (who, what, when, where, why) – include information that isn't provided in the OPREP-3]*
 6. **Actions Being Taken:** *[Describe what actions the command is currently taking]*
 7. **Estimated time of repair (if applicable):** *[For critical infrastructure interruptions, training/supply disruptions or outages, include the ETR, if known]*
 8. **Mission Impact:** *[Typically N/A unless the incident involves critical infrastructure interruptions, training/supply disruptions, or outages]*
 9. **Who Has Already Been Notified:** *[Include reports released or parallel HQ reporting to CNIC, Region Commanders, NAVFAC, etc. Commanders, SSP, NAVFAC, etc.]*
 10. **Media Interest.** *[Yes or No. If yes, provide details.]*
-

EXAMPLE 1:

1. Subject: CCIR CAT III-5, RTC, Sexual Misconduct.
2. Incident: Sexual misconduct not covered in II-5. Female recruit alleged sexual assault by an unknown offender.
3. Notification: NSTC CCIR distro (email).
4. Date/Time Reported and Date/Time of Incident: Reported to RTC CO on 6 May 22 at 1100 CT. Incident occurred on 5 May 22 at approximately 0700 CT.
5. Narrative Details: Unrestricted SAPR report made to SAPR hotline. E-1 female recruit alleged sexual assault (penetration offense, non-penetration offense, or allegation did not specify if penetration or non-penetration offense) by an unknown offender in the USS Arizona. Victim is on 1-5 Day of Training. No safety concerns.
6. Actions Being Taken: SAPR services initiated.
7. ETR: N/A.
8. Mission Impact: None.
9. Who Has Already Been Notified: NCIS, RTC Legal, CNIC voice report 061700MAY22. Pending release of OPREP-3/XXX.
10. Media Interest: Not anticipated.

EXAMPLE 2:

1. Subject: CCIR CAT III-1, OTC, Incident that Disrupts Training.
2. Incident: Impairment to instruction due to roof damage.
3. Notification: NSTC CCIR distro (email).
4. Date/Time Reported and Date/Time of Incident: Reported to OTC CO on 3 May 22 at 0800 ET. Incident occurred on 2 May 22 at approximately 2200 ET.
5. Narrative Details: NS Newport experienced severe winds and rainfall on 2 May 22 resulting in serious roof damage, water intrusion, and falling debris affecting 7 of 8 classrooms on the third deck of Callaghan Hall (bldg. 370). OTC Safety Officer, N4, and XO inspected all rooms and deemed them unsafe, and not conducive for training.
6. Actions Being Taken: NAVFAC contacted and emergency temporary repairs were initiated. A comprehensive roof repair or replacement project is needed to permanently fix the issue. All classrooms will require thorough cleaning prior to resumption of training and remain closed until further notice.
7. ETR: Unknown.
8. Mission Impact: OTC leadership is coordinating with other commands on base to utilize classrooms.
9. Who Has Already Been Notified: NAVFAC at NS Newport and NSTC N4. Pending release of Impaired Training and Education Report (ITER).
10. Media Interest: Not anticipated.

EXAMPLE 3:

1. Subject: CCIR CAT I-7, NROTC Unit Springfield University, Critical Injury.
2. Incident: Critical injuries as a result of a gun shot.
3. Notification: CNSTC (call), NSTC COS (call), Deputy Commander for NROTC (call), NSTC CCIR distro (email).
4. Date/Time Reported and Date/Time of Incident: Reported to NROTC Unit CO on 8 May 22 at 0900 ET. Incident occurred on 8 May 22 at approximately 0100 ET.
5. Narrative Details: A male Scholarship Midshipmen (MIDN) was accidentally shot in the chest by a non-NROTC affiliated student while attending a party at an off campus residence at approximately 0100 on 8 May. The student that fired the weapon thought it was unloaded while pointing the weapon at the MIDN. Other students at the party immediately called 911 and emergency response arrived within 10 minutes and transported member to the Springfield University hospital where he is currently in critical condition.
6. Actions Being Taken: The next of kin was notified by the university and they are currently en route from their home on the west coast. The NROTC Unit leadership is standing by to support the family once they arrive.
7. ETR: N/A.
8. Mission Impact: None.
9. Who Has Already Been Notified: No additional reporting will occur based on MIDN's legal status in the Individual Ready Reserve.
10. Media Interest: Yes, reported on local news stations.

NSTC CCIR REFERENCE TERMS

CAT I

CAT I CCIRs require immediate voice and e-mail notifications. Per enclosure (2), COs, OICs, Senior Naval Science Instructors, and NSTC DD/SAs will immediately report, regardless of the hour, all CAT I CCIRs. Initial voice reports will be followed by a CCIR e-mail with minimal delay.

CAT I-1: Attack/Active Shooter. Confirmed or unconfirmed attack/active shooter against or onboard any NSTC domain facility or NROTC or NJROTC personnel.

CAT I-2: Force/Health Protection Condition (F/HPCON) Change. Any increase/decrease in F/HPCON or Defense Readiness Condition that impacts any NSTC facility. This includes temporary condition increases made in immediate response to an incident, such as “lock-down” or “shelter-in-place” or wide spread health concern (i.e., COVID). Both ordered and attainment reports are required.

CAT I-3: Use of Deadly Force. Any use of deadly force within the confines of the NSTC domain, including incidents on Navy installations near NSTC domain facilities.

CAT I-4: Chemical, Biological, Radiological, Nuclear, and high yield Explosives (CBRNE). CBRNE events refer to the uncontrolled release of chemicals, biological agents, or radioactive contamination into the environment or explosions that cause widespread damage. CBRNE events can be caused by accident or by terrorist acts. Any incident involving nuclear weapons, nuclear reactors, components, or devices on any NSTC domain facility will be reported. Any event involving conventional ordnance, ammunition, explosives, explosive systems, and devices resulting in an unintentional detonation, firing, deflagration, burning, or launching of ordnance material.

CAT I-5: Major Disaster/Incident. A major natural or man-made disaster or incident on or immediately threatening any NSTC domain facility which results in, or could result in, major property damage, significant mission degradation, or requires immediate reaction by NSTC domain personnel. Examples include hurricane, earthquake, tsunami, fire, flooding, hazardous material release, sortie of assets, or emergency evacuation.

CAT I-6: Overseas Incident or Incident Involving Exchange or Foreign Military. All serious events or incidents in foreign countries involving U.S. military personnel and their dependents; or events or incidents involving host nation personnel that could generate media or political interest or potentially bring discredit to the Navy and the Nation. Also, any incident or misconduct, excessive disciplinary issues during training, and any report from foreign student that claims discrimination, unfair treatment, etc.

CAT I-7: Death or Critical Injuries Requiring Personnel Casualty Report. Any occurrence resulting in critical (life threatening or loss of limb) injuries or loss of life to persons assigned to the NSTC domain (to include military dependents, NSTC civilians, and contract personnel).

CAT I-8: Time-critical Congressional Inquiry. Any request that involves a timely congressional or legislative response (<24 hours).

CAT II

COs, OICs, Senior Naval Science Instructors, and NSTC DD/SAs will immediately report all CAT II CCIRs via voice report and/or e-mail per enclosures (1) and (2).

CAT II-1: Media Interest. Incidents that have, or are, anticipated to generate negative media coverage, could cause significant embarrassment to the Navy, or will generate Chief of Naval Personnel or higher level Navy interest.

CAT II-2: Network Intrusion/Cyber Incident. Detection or discovery of an intrusion or attempted intrusion (e.g., Unauthorized Access, Denial of Service, Malicious Code, or Scan/Probe/Attempted Access) into a classified or unclassified network that supports NSTC equipment/systems.

CAT II-3: Breach of Personally Identifiable Information (PII). COs, OICs, NSTC DD/SAs, and leaders at all levels will notify the COS and NSTC N6/CIO within one hour of the discovery of loss or suspected loss of PII except in the following:

- a. The loss or compromise of an individual's DoD ID number, by itself, when associated with the individual's name, or as part of their digital signature.
- b. The loss/compromise of an individual's own PII.
- c. The release, loss, or compromise of PII that is normally releasable without a clearly unwarranted invasion of privacy, including an individual's office information (e.g., full name, office e-mail address, office phone number, office address, pay grade/rank, DoD ID number).
- d. An unencrypted e-mail containing PII, in the body of the e-mail or as an attachment, remains within the .mil network and all recipients have an official need to know.
- e. In the case of the loss or theft of removable storage media, including laptops, mobile devices and tablets, which are confirmed by the organization's Information System Security Manager to be enabled with DoD approved data-at-rest software.

CAT II-4: High Interest Recruit, Midshipman, Officer Candidate, Cadet, or Student Issue. Any issues with Recruits, Midshipmen, Officer Candidates, Cadets, or Students where there is possible high-level interest.

CAT II-5: Fraternization/Sexual Misconduct (SA/SH). All fraternization and/or sexual misconduct incidents involving the following:

- a. Recruit Division Commander (RDC)/Instructor/Staff and Recruit
- b. RDC/Drill Instructor (DI)/Staff and Officer Candidate
- c. Instructor/Staff and Midshipmen/Students
- d. Senior Naval Science Instructor (SNSI)/Naval Science Instructor (NSI) and Cadet

Enclosure (3)

CNSTC is the first Flag in chain of command for reporting Sexual Assault Prevention and Response (SAPR) reports for the NSTC domain.

CAT II-6: Khaki Misconduct (E7 and Above) Not Covered in II-5 or III-5. Conduct that would bring discredit to the command and Navy that is not specified in CAT II-5 or III-5.

CAT II-7: Incidents Requiring Execution of COOP. Any incident requiring the actual execution of a COOP. This does not include postsecondary institution holiday facility closures commonly requiring execution of COOP and telework plans. Voice and written report should indicate the incident causing plan execution. OPREP-3 Navy Blue reporting requirements should be used for follow-on reporting.

CAT III

CAT III-1: Critical Interruptions (>8 hours)/Incidents that Disrupt Training and/or Supply Chain Operations (>24 hours). These can include facility, personnel, and/or environmental factors that create a stoppage or degradation to operations, inspections/certifications, training, and/or the supply chain (e.g., power, water, use of facilities, etc.). OPREP-3 Navy Blue Protocol execution may be required.

CAT III-2: Planned or unplanned outage (>4 hours) of a Naval Education and Training Command (NETC), NSTC, Command, or Relevant DoD/DON Controlled System (e.g., TRANET, CTARS, CANTRAC, etc.). Any system experiencing an outage that would potentially impact NSTC customer support services or customer relations management.

CAT III-3: Any Negative Situation Associated with a Selection Board (e.g. STA-21, OCS, NROTC, NJROTC). Any situation that could call the integrity of the board process into question.

CAT III-4: Arrest/Confinement/Suicide Attempt/Non-critical Hospitalization >24 hours. Any arrest, confinement, suicide attempt, and non-critical hospitalization of a Sailor within the NSTC domain.

CAT III-5: Fraternization/Sexual Misconduct Not Covered in II-5 (e.g. Recruit to Recruit, Officer Candidate to Officer Candidate, MIDN to MIDN, or prior to service). Any sexual misconduct that does not involve:

- a. RDC/Instructor/Staff and Recruit
- b. RDC/DI/Staff and Officer Candidate
- c. Instructor/Staff and MIDN

All fraternization and/or sexual misconduct incidents involving personnel within the NSTC chain of command will be reported as required by reference (a). Follow-on reports are typically not required unless the incident has unusually high media or leadership interest or updates are requested by leadership. CNSTC is the first Flag in the chain of command for reporting SAPR reports.