



DEPARTMENT OF THE NAVY  
COMMANDER NAVY RESERVE FORCES COMMAND  
1915 FORRESTAL DRIVE  
NORFOLK VA 23551-4615

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COMNAVRESFORCOMNOTE 5214  
N5  
12 June 2020

COMNAVRESFORCOM NOTICE 5214

From: Commander, Navy Reserve Forces Command

Subj: COMMANDER'S CRITICAL INFORMATION REQUIREMENTS AND  
SIGNIFICANT EVENT REPORTING

Ref: (a) OPNAVINST F3100.6J  
(b) OPNAVINST 5100.23G  
(c) OPNAVINST 5102.1D  
(d) OPNAVINST 1752.1C  
(e) Manual for Courts-Martial, 2019  
(f) OPNAVINST 5354.1G

Encl: (1) Sample Incident Data Report

1. Purpose. To provide guidance to subordinate commands and staff, under the cognizance of Commander, Navy Reserve Forces Command (COMNAVRESFORCOM), on specific events requiring notification to COMNAVRESFORCOM.

2. Background.

a. Reference (a) establishes the requirement to operate a Navy event notification system. References (b) and (c) delineate specific safety-related event reporting requirements.

b. COMNAVRESFORCOM carries out programs as directed by Commander, Navy Reserve Force (COMNAVRESFOR), supports readiness in the event of a mobilization and ensures that Navy Operational Support Centers generate trained and capable members of the Navy Reserve for integration into the active component of the naval service. This notice does not supersede any operational reporting requirements outlined in reference (a).

c. To fulfill mission requirements, COMNAVRESFORCOM must provide timely situational awareness reporting to COMNAVRESFOR, regarding events involving military operations directly or indirectly. Subordinate commands and staff comprise an integral part of that process, as critical incidents and events routinely occur throughout the geographic area of COMNAVRESFORCOM, which could impact readiness and mission capability.

d. Reporting requirements are broken down into three categories (CAT):

(1) CAT I: Immediate voice report to Command Duty Officer (CDO) with follow on email to commander (CDR), Chief of Staff (COS), Executive Director (ED), and CDO.

(2) CAT II: Immediate email to CDR, COS, ED, Command Master Chief, and CDO.

(3) CAT III: Email by end of day to COS and CDO.

(4) E-mail reports should be timely and provide a complete and situational picture as possible under the prevailing circumstances. Reports should include who, what, when, where and why in the standard format that is in enclosure (1). The need for complete information, however, must be balanced with the timeliness of the report.

(5) Amplifying information must also include ongoing action and the impact to mission, if any.

e. CAT I and II incidents are considered “Commander’s Critical Information Requirements” (CCIRs) and CAT III incidents are considered “Significant Event Reports” (SERs).

f. Determination on whether a situation requires reporting will always be based upon the judgment of the NAVREG RCC Commander or NAVOPSPTCEN CO submitting the report. Where doubt exists as to whether an incident meets reporting definitions and criteria, the event must be reported to the chain of command. Similarly, if an incident triggers multiple CCIRs, report the incident based upon the highest category CCIR.

g. Voice reports will be in addition to any operation report message required in reference (a).

### 3. Categories.

#### a. CAT I Incidents:.

(1) Critical Injuries or Death to Subordinate Command Personnel. Any occurrence resulting in critical (life threatening or loss of limb) injuries, life-changing impact, hospitalization or loss of life to persons assigned to COMNAVRESFORCOM subordinate commands, including Department of Defense (DoD) and Department of the Navy (DON) civilians, contract personnel and reservists that are not in a duty status.

(2) Attack or Active Shooter at Subordinate Command. Confirmed or unconfirmed attack or an active shooter against or onboard any subordinate command of COMNAVRESFORCOM.

(3) Condition Increase. Any increase in Force Protection Condition (FPCON) and, or Defense Readiness Condition (DEFCON) that impacts a subordinate command of COMNAVRESFORCOM. Increases resulting from exercises or training are excluded.

(4) Chemical, Biological, Radiological, Nuclear, and Explosive (CBRNE) Event. Any chemical, biological, radiological, nuclear or high-yield explosive accident, incident or event in the immediate vicinity or local area of a subordinate command.

(5) Major Disaster or Incident. A major natural or man-made disaster or incident, on or immediately threatening a subordinate command, which results in, or could result in, major property damage (> \$100,000.00), significant mission degradation or requires immediate reaction by additional support resources. Examples include earthquake, tornado, hurricane, fire, flooding, hazardous material release or emergency evacuation.

(6) Security Breaches, Reported Threats and Compromise of Classified Materials. Intruders at subordinate commands, unauthorized access to equipment, facilities, material and documents, terrorist or bomb threats, loss of government property in excess of \$5,000.00 and compromise or potential compromise of classified material or designated spaces.

(7) Incidents Involving Deadly Force, Weapons and or Firearms. The use of deadly force, weapons discharge (whether intentional or accidental), loss and or accountability concerning any weapons/firearms/ammunition/projectiles.

(8) Civil Unrest or Related Disturbances. Actual, planned or anticipated protests, riots and civil disturbances involving the U.S. Federal Government, State Governments or local authorities occurring in geographical proximity to subordinate commands which may impact the ability to operate or may degrade, reduce readiness, and, or threaten facilities, equipment, material or personnel.

(9) Class A/Class B Mishap. Any Class A/Class B Mishap involving DoD/DON property [e.g. watercraft, small boat, aircraft, government motor vehicles, etc.] or injury and or occupational illness of personnel meeting the criteria per in reference (c).

(10) Continuity of Operations Plan (COOP) Execution. The necessary execution of the subordinate command's COOP.

b. CAT II Incidents:

(1) Media Interest. Incidents involving a subordinate command and or its personnel (whether staff members or Selected Reservists (SELRES)) that have or are anticipated to spark negative media coverage, could cause significant discredit to the Navy or will generate COMNAVRESFOR, Chief of Naval Operations or higher level interest.

(2) Structural Fire. A fire involving the structural components of a subordinate command's facilities. A structural fire indicates a fire that extends beyond one room and its contents or if more than one room is impacted after the fire has been extinguished (e.g., sprinkler damage or extended utility damage).

(3) Suicide-Related Behavior. Suicide-related behavior, including suicide attempts and suicide gestures and or, ideation, of subordinate command staff and SELRES members assigned to units affiliated with those subordinate commands.

(4) Sexual Assaults. All sexual assault incidents, whether or not onboard a DON facility, involving personnel, including, but not limited to, military members, DoD/DON civilians and immediate family members, within the cognizance of the COMNAVRESFORCOM administrative chain of command, consistent with references (a) and (d).

(5) Serious Misconduct and or Negative Involvement with Civilian Authorities. Military members, both subordinate command staff and SELRES, involved in criminal misconduct resulting in the arrest, detainment or issuance of warrants against a staff member or SELRES and/or misconduct which could result in a punitive discharge for military members under reference (e), potential loss of eligibility for a security clearance and, or adverse administrative action. All chief petty officers and above misconduct (including allegations), require a report.

(6) Victims of Criminal Misconduct. Military members, both subordinate command staff and SELRES, and DoD/DON civilian staff who are the victims of serious criminal misconduct (e.g., armed robbery, aggravated assault, burglary, sexual assault).

(7) Network Intrusion. Detection or discovery of an intrusion into a classified or unclassified computer network at subordinate commands and facilities. This includes, but is not limited to, compromise, breach or theft of PII.

(8) Service Interruption. Any incident or condition which causes or could likely cause a service interruption or disruption to normal subordinate command activity that would severely affect a drill weekend. (e.g., power, water, water sterility, bottled water directive, use of building utilities and services, network and software outages, including the Navy Marine Corps Internet (NMCI) and One NET services, in excess of one hour).

(9) Diminished Antiterrorism Force Protection (ATFP) Capabilities. The inability to execute any ATFP plan, including degradation of readiness and or a reduction in capabilities to arm watch standers for any reason, malfunctioning or damaged subordinate command force protection equipment (e.g., barriers and automatic access gates) and, or any inability to safeguard personnel, facilities, sensitive materials or equipment.

(10) Hazardous Material or Waste Release. Any release of hazardous material or waste by subordinate commands or impacting those subordinate commands which meet environmental reporting requirements of the local, state or federal governments

(11) Filing of Equal Opportunity Complaints and or Complaints under Article 138 or Article 1150. Submission of a formal or informal report per reference (f) or initiation of a request for redress of grievances under Article 138 of the Uniform Code of Military Justice or under Article 1150 of U.S. Navy Regulations.

(12) Significant Weather. Initial and updated weather reports in which conditions threaten the subordinate command facilities or assigned personnel as well as initial and updated reports of tropical weather once such system becomes a named storm to include hurricanes and winter storms. Significant weather which forces closure and/or ceasing of normal operations of subordinate commands will also be reported.

(13) Suspicious Activity. Unsubstantiated surveillance threats against Navy personnel property, telephonic threats or suspicious packages. Any other observed suspicious activity in close proximity to subordinate command facilities must also be reported.

(14) Class C Mishap/Class D Mishap. Any Class C/Class D Mishap involving DoD/DON property [e.g. watercraft, small boat, aircraft, government motor vehicles, etc.] or injury or occupational illness of personnel meeting the criteria per reference (c).

(15) Missed Funeral Honors Service. The late arrival or proper execution of a funeral honors service. Public Law 106-65 requires that every eligible Veteran receive a military funeral honors ceremony, to include folding and presenting the United States burial flag and the playing of Taps. The law defines a military funeral honors detail as consisting of two or more uniformed military members, with at least one being a member of the Veteran's parent service of the armed forces.

c. CAT III Incidents:

(1) Physical Security Lapses. Breaches of standard physical security processes and procedures (e.g., facilities were inadvertently left unsecured) which do not result in loss or damage.

(2) Certain Incidents with Government Vehicles. Minor incidents regarding the use of Government vehicles which do not qualify as Class A, B, C or D mishaps [e.g., fender-bender with injuries or traffic citation issued to member operating the government vehicle].

(3) Significant Pay or Personnel Problem. Any matter involving challenges concerning the pay, administration or conduct of military members or DoD/DON civilians which does not come within the purview of CAT I or CAT II reporting requirements but which may require the involvement and, or assistance of COMNAVRESFORCOM or has the potential to garner interest and visibility outside the COC.

(4) Scheduled Loss of Utilities or Resources. Any scheduled loss of utilities, including electricity, water, sewer, heat, air conditioning, telephone, NMCI connectivity, etc., which could reasonably impact operations or readiness.

(5) Urgent Tasks with COMNAVRESFORCOM Involvement. The progress made in preparing and in responding to taskers from senior authorities in the COC.

(6) Flag Officer/General Officer/Senior Executive Service Anticipated Visits or Communications. Any communications from Flag Officer/General Officer/Senior Executive Service staff or members, including, but not limited to, any requests to visit subordinate command facilities or to call upon assigned personnel.

(7) Loss of Personnel and Readiness. Any loss of personnel through manning shortfalls or gaps in assigned billets which could reasonably impact operations or the ability of subordinate commands to fulfill mission requirements.

#### 4. Responsibilities.

a. Deputy COS for Plans and Policy (N5). Overall ownership of the COMNAVRESFORCOM CCIR process, annual administrative review, and applicable updates to this notice.

b. To facilitate awareness of specific events, subordinate commands and staff must provide timely and appropriate notification to COMNAVRESFORCOM and, or other assigned and, or identified COMNAVRESFORCOM staff.

c. CCIRs must be provided directly by either the commander, CO or COS, Executive Officer of subordinate commands to COMNAVRESFORCOM. CCIRs may be provided by a designated member of the subordinate command to appropriate subject-matter and identified COMNAVRESFORCOM staff.

d. In addition to the notification, via the CCIR or SER, provided by the commander, CO or the COS, Executive Officer of subordinate commands, continuing communications should be facilitated and coordinated between assigned duty personnel at both the subordinate command and COMNAVRESFORCOM.

e. Where doubt exists as to whether an incident meets reporting definitions and criteria, the event must be reported to the COC. When doubt exists as to the appropriate categorization of an event, report the event as the higher priority CAT.

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f. Nothing in this notice must prevent a CO or executive officer at a subordinate command from exercising best judgment and discretion in immediately and directly contacting the COMNAVRESFORCOM or COS regarding any event deemed necessary for notification, guidance or clarification.

g. CCIRs and SERs do not replace reporting requirements specifically called for in reference (a) or other directives, instructions or issuances.

h. Updates must be provided to CCIRs and SERs under the following conditions:

(1) Change in Circumstances. When a situation changes or the status of the matter changes to the degree that decision-making and readiness could be impacted (e.g., repair/completion, discrepancy resolved, final adjudication or action resolved, additional assistance requested, increased media involvement, increase/decrease of progress/trends).

(2) Modification or Revision Necessary. When initially reported, facts were limited or unknown and the authority submitting the original CCIR or SER reasonably concludes that a modification or correction to the original CCIR or SER is necessary and warranted.

(3) Reported Condition Remains Unchanged for Extended Period. If an event or reportable situation, which justified the issuance of an CCIR or SER, remains unresolved and unchanged for greater than seven calendar days, CO, executive officers or designated members of subordinate commands, as appropriate, must inform COS COMNAVRESFORCOM via e-mail and must detail the unchanged status, any plan to resolve or to mitigate the situation and the anticipated time for resolution of the matter.

(4) COC Direction. Updates concerning an event or reportable situation will be provided as desired and or directed by the COC.

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

6. Cancellation. This notice will remain in effect until superseded by another notice of the same subject.



J. A. SCHOMMER

Releasability and distribution:

This notice is cleared for public release and is available electronically only via COMNAVRESFORCOM Web site, <http://www.public.navy.mil/nrh/Pages/instructions.aspx>

SAMPLE INCIDENT DATA REPORT

Use this template to gather information germane to incident. To be used in preparing the voice and email report to ISSC.

COMMAND:

DATE AND LOCAL TIME OF INCIDENT:

LOCATION OF INCIDENT:

NATURE OF INCIDENT:

NUMBER OF PERSONS INVOLVED: MILITARY:  
CIVILIAN:

BRANCH/DUTY STATUS/GENDER/RACE:

SEVERITY OF INJURIES:

PROPERTY DAMAGE:

HAS THE NEXT OF KIN BEEN NOTIFIED AND WHEN:

BRIEF NARRATIVE OF MISHAP:

- Who is/was involved?
- What happened?
- Where did it happen?
- When did it happen?
- Why did it happen?
- Is media attention anticipated?
- Was NCIS notified?

COMMAND'S ACTIONS:

- What future action is contemplated? Is assistance required?
- What is the impact on the command's mission capability?