



DEPARTMENT OF THE NAVY
COMMANDER, NAVY INSTALLATIONS COMMAND
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CNICINST 5200.1A
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CNIC INSTRUCTION 5200.1A

From: Commander, Navy Installations Command

Subj: COMMAND EVALUATION PROGRAM

Ref: (a) OPNAVINST 5000.52B
(b) SECNAVINST 5200.35E
(c) CNICINST 5430.1
(d) Quality Standards for Inspections of Jan 2005,
President's Council on Integrity and Efficiency and
Executive Council on Integrity and Efficiency
(e) SECNAV M-5210.1

1. Purpose. To publish the Commander, Navy Installations Command (CNIC) policy, assign responsibilities, and outline procedures for the conduct of the CE functions within the CNIC Inspector General (IG) Oversight Program and to issue the Manual for Conducting Internal Evaluations and Reviews.

2. Cancellation. CNICINST 5200.1 dated 12 Dec 2011.

3. Background

a. The CNIC Oversight Program consists of Inspections, External Oversight Liaison (EOL), and CEs. Within the Oversight Program, the Command Evaluation Program (CEP) provides an independent internal evaluation capability for assessment of the integrity of command functions at the CNIC Headquarters (HQ), Region, and Installation levels.

b. In accordance with reference (a), the CEP includes various types of compliance reviews for both appropriated and non-appropriated fund activities to ascertain if effective management controls are in place. CE reviews serve as an effective measure of prevention and deterrence for fraud, waste, and mismanagement. They are effective in identifying the root cause for non-compliance and other areas in need of corrective action. CE reviews may also serve as alternate management control reviews in support of the Managers' Internal Control Program mandated by reference (b). While many CE reviews focus primarily on an individual activity unique to a specific installation, review findings at a single activity often have enterprise-wide, programmatic applications.

c. This instruction provides guidance for managing a centralized CEP at the Echelon III Regional Command level. It is designed to facilitate standardization and enhance the

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efficiency and effectiveness of the CEP across the CNIC enterprise. This instruction complies with the intent of reference (a) by supporting an independent and impartial CE capability to installation Commanding Officers (COs) while allowing for flexibilities, efficiencies, and community management of forward deployed assets enterprise-wide.

4. Policy

a. In accordance with reference (c), the CEP is a sub-function of the CNIC IG Oversight Program. All program analysts, oversight specialists, command evaluators, and hotline investigators resourced and funded by the CNIC IG program who perform CEs report directly to Regional Inspectors General (RIGs). This reporting arrangement maximizes effectiveness and efficiencies in a resource constrained environment. Office of Inspector General (OIG) personnel will conduct reviews at the direction of the CNIC IG or RIGs and as coordinated with installation COs. RIGs may also request subject matter experts (SMEs) from other programs to participate in CEs.

b. In accordance with reference (a), an installation CO desiring additional CE support above that resourced by the IG program may assign qualified personnel from their command on a permanent or additional duty basis. Such personnel will continue to report directly to the installation CO or the installation CO's designated representative.

c. All personnel conducting CEs at the direction of the CNIC IG or RIGs, including SMEs participating in specific CEs, are authorized immediate and unrestricted access to all Department of the Navy (DON) persons, unclassified information, and spaces, with or without prior notification during the performance of the official evaluations.

d. In order to facilitate scheduling flexibility and to preserve review integrity for certain types of CEs (e.g., surprise cash verification reviews), CE schedules may not include specifics related to the timing of the evaluation.

e. CE review findings and recommendations that require immediate senior management attention because of possible fraud, gross mismanagement, circumstances that if made public would reflect poorly on the Navy, or other urgent concerns, will be designated as a "significant" finding.

f. A finding that has been documented on a previous CE report will be designated as a "repeat" finding.

g. Installation COs may request RIGs include additional CEs not incorporated in the annual CE plan. RIGs are to work closely with COs to weigh these requests against other HQ and region priorities in an effort to meet the installation CO's needs within available resources.

h. Specific to joint basing, and consistent with Department of Defense joint basing implementation guidance and established service agreements, the supporting component will provide IG services in support of installation management functions and in accordance with the supporting component's regulatory rules, program policies, and procedural requirements. The supported component is required to retain IG functions in support of its non-installation management mission functions and should execute these responsibilities in accordance with the supported components' respective service regulations, program policies, and procedures.

5. Responsibilities

a. CNIC IG is responsible for:

(1) Providing policy, training, and oversight of the CEP.

(2) Publishing and maintaining the Manual for Conducting Internal Evaluations and Reviews that provides standardized evaluation processes, procedures, and report templates. This Manual is available on the Gateway 2.0 CNIC IG team site at: <https://g2.cnic.navy.mil/TSCNICHQ/IG/Document%20Library/Forms/Documents.aspx>.

(3) Maintaining a master list of all CE requirements mandated by regulation or instruction. This master list shall identify applicable references, mandated frequency of evaluations, identification of respective product line and related review responsibilities and other pertinent information important to the understanding and management of the evaluation.

(4) Maintaining, updating, and publishing standardized review checklists for each directed CE on the master list.

(5) Publishing a comprehensive annual report of consolidated sanitized findings to the CNIC, Region Commanders (REGCOMs), RIGs, and CNIC N-codes/Special Assistants (SAs).

(6) Maintaining CE reports provided by RIGs.

b. REGCOMs are responsible for supporting the CEP by providing IG personnel, including SMEs participating in specific CEs, and immediate and unrestricted access to all pertinent DON persons, unclassified information, and spaces, with or without prior notification during the performance of official CEs.

c. RIGs are responsible for:

(1) Administering the CEP in accordance with governing instructions and CNIC IG direction and serving as the principal point of contact for the REGCOM.

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(2) Conducting CEs in accordance with reference (d), and preparing and distributing reports in accordance with approved CE review plans.

(3) Maintaining CE reports and supporting documentation for six years as required by reference (e).

(4) Ensuring regional CE programs are conducted in accordance with CNIC direction.

(5) Taking management comments and corrective action measures into consideration and documenting them in the final CE report.

d. Installation COs are responsible for:

(1) Providing IG personnel, including SMEs participating in specific CEs, immediate and unrestricted access to all pertinent DON persons, unclassified information, and spaces, with or without prior notification during the performance of official evaluations.

(2) Ensuring management officials provide the RIG with periodic updates on review findings until all corrective actions are completed.

6. Action

a. REGCOMs/Installation COs/N-codes and SAs shall:

(1) Review initial draft CE reports conducted at the Region level and provide concurrence or non-concurrence with findings within 15 working days of receipt.

(2) Provide an explanation for any non-concurrence with CE report findings and/or recommendations.

b. RIGs shall:

(1) Prepare an annual CE Plan for submission to their respective REGCOM for approval. The plan shall incorporate evaluation areas directed by CNIC and focus on high risk areas susceptible to fraud, waste, and mismanagement. The annual CE plan should be developed through coordination with installation COs, region program managers, and other appropriate personnel to ensure they have the opportunity to provide input and comment prior to the plan being finalized and approved by the REGCOM.

(2) Submit the CE plan to CNIC IG no less than 30 days prior to the commencement of each fiscal year.

(3) Forward individual draft CE review reports electronically to the appropriate management official and allow the organizational entities a minimum of 15 working days to concur or not concur with each finding and recommendation.

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(4) Provide the CNIC IG with copies of final CE reports by the fifth working day of the following month.

(5) Conduct follow-up activities to ensure any necessary corrective actions are properly completed.

c. Installation COs shall:

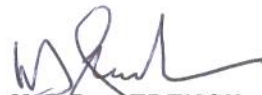
(1) Provide management's comments, including concur or not concur, for each CE review finding and recommendation directed to them.

(2) Include a Plan of Action and Milestones for compliance, if necessary, within 15 working days of completion of the CE. RIGs may grant extensions.

d. Oversight specialists, command evaluators, and other personnel resourced and funded by the CNIC IG program who perform CEs shall:

(1) Conduct reviews at the direction of the CNIC IG or RIG.

(2) Prepare CE reports using the template in Section 902 of the Manual.



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Distribution:

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