



DEPARTMENT OF THE NAVY
COMMANDER, NAVY INSTALLATIONS COMMAND
2713 MITSCHER ROAD, SW
ANACOSTIA ANNEX, DC 20373-5802

CNICINST 5430.1
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CNIC INSTRUCTION 5430.1

From: Commander, Navy Installations Command

Subj: MISSION AND FUNCTIONS OF THE COMMANDER, NAVY INSTALLATIONS
COMMAND OFFICE OF THE INSPECTOR GENERAL

Ref: (a) SECNAVINST 5200.34E
(b) SECNAVINST 5430.57G
(c) SECNAVINST 5040.3A
(d) SECNAVINST 5800.12B
(e) OPNAVINST 5000.52B
(f) OPNAVINST 5354.1E
(g) CNICINST 5512.1
(h) CNICINST 5370.1
(i) CNICINST 7500.1
(j) Quality Standards for Inspections, January 2005,
President's Council on Integrity and Efficiency and
Executive Council on Integrity and Efficiency
(k) Guide for Conducting Qualitative Assessment Reviews for
Investigative Operations of Inspectors General, 2004

1. Purpose. To identify the authority, mission, and functions of the Commander, Navy Installations Command (CNIC) Office of the Inspector General (OIG) per references (a) through (k).

2. Scope. This instruction applies to all Echelon 3 and 4 activities organizationally aligned to CNIC.

3. Background

a. Per reference (b), CNIC OIG is established as an independent and objective unit to provide CNIC with the capability to evaluate the economy, efficiency, effectiveness, and integrity of the operations and functions of all shore installations assigned to the U.S. Navy. The CNIC Inspector General (IG) conducts and supervises investigations, inquiries, inspections, evaluations, and assessments designed to prevent and detect fraud, waste, and mismanagement throughout Navy shore installations and CNIC's shore installation programs, functions, and operations, as well as to promote economy, efficiency, and effectiveness within them.

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b. The CNIC IG serves as the principal advisor to CNIC for all IG-related matters and provides candid and objective internal analysis, assistance, and advice, as well as oversight for CNIC's shore installation Hotline Program, Managers' Internal Control (MIC) Program, External Oversight/Audit Liaison Program, and Internal Oversight (IO) Program. In addition, the CNIC IG keeps CNIC apprised of problems, deficiencies, and status of corrective actions related to the administration of shore installation programs, functions, and operations. Pursuant to reference (b), CNIC IG is assigned additional duties (ADDU) to the Naval Inspector General (NAVINSGEN).

4. Mission. The mission of the CNIC IG is to provide an independent voice to CNIC and other leaders, in combating fraud, waste, and mismanagement and in improving the efficiency, effectiveness, and economy of CNIC operations. OIG staff has authority to investigate, inquire, inspect, review, and assess all matters of importance to the Department of Navy and CNIC.

5. Vision. The CNIC IG serves as "the conscience" for CNIC and Navy installation commands and provides value-added support while making a difference through assistance, advice, and advocacy of process and program improvements for CNIC's support to the Navy's Fleet, Fighter, and Family.

6. Authorities and Responsibilities

a. CNIC. As required by reference (b), CNIC shall appoint and credential, with the concurrence of NAVINSGEN, a full-time, dedicated IG with that title. The appointee shall be a civilian in the pay grade of GS-15 or higher. The CNIC IG will manage the OIG and will provide oversight of the Regional IGs (RIG) to ensure adherence to OIG quality and timeliness standards. Pursuant to reference (b), neither Counsel nor Staff Judge Advocate can serve as the CNIC IG.

b. CNIC Regional Commanders (REGCOMs). Subject to approval of NAVINSGEN and CNIC, REGCOMs for Europe, Hawaii, Japan, Marianas, Mid-Atlantic, Midwest, Naval District Washington, Northwest, Southeast, Southwest, and Southwest Asia shall appoint a full-time IG in accordance with reference (b). RIGs shall be a civilian in the pay grade of GS-14 and shall be credentialed by CNIC IG. Pursuant to reference (b), neither Counsel nor Staff Judge Advocate can serve as a RIG. In addition, REGCOMs will appoint a full-time civilian Deputy RIG in the pay grade of GS-13 and shall be approved by CNIC IG. REGCOMs shall request input from the CNIC IG for RIGs' yearly performance appraisals.

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c. Reporting. Regardless of grade, CNIC IG shall report directly to CNIC, and RIGs shall report to and have direct and unrestricted access to REGCOMs. CNIC and REGCOMs may assign IGs to other non-IG duties; however, this must be on an exception only basis, and REGCOMs shall notify the CNIC IG of such assignments.

d. Waivers/Permission to Hire. Requests for waivers to grade requirements must be submitted to NAVINSGEN, via CNIC IG, for approval. In addition, reference (b) requires NAVINSGEN approval for an IG appointment. Therefore, REGCOMs shall submit requests for concurrence to NAVINSGEN, via the CNIC IG, and must obtain concurrence before making an offer of employment.

e. Designated Individual Support. CNIC and REGCOMs may task military and civilian personnel for temporary OIG assignments when necessary to carry out specific OIG functions. OIG staff will request such temporary support through their appropriate chain of command and may make a name and/or level of expertise request.

f. CNIC Employees. All CNIC employees shall respond to any and all IG requests, inquiries, reviews, evaluations, inspections, and/or investigations as if they were made by CNIC. The foregoing list is illustrative only and shall not be construed as a limitation of the IG in this regard.

7. Functions. The CNIC OIG is responsible for three fundamental functions: Investigations, External Oversight/Audit Liaison, and Internal Oversight (IO).

a. Investigations

(1) The CNIC IG administers the CNIC Hotline Program and maintains oversight responsibility for all OIG investigations conducted at CNIC regional shore installations per references (g) and (h). CNIC IG will take prompt, responsive, and impartial action to investigate and resolve substantive allegations of fraud, waste, mismanagement, or regulatory/statutory violations within required timelines. RIGs shall perform similar administration and oversight for their respective region's Hotline Program and responsibility for all regional OIG investigations.

(2) All CNIC employees, including supervisory and management personnel, shall:

(a) routinely publicize Hotline Program information throughout their areas of responsibility,

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(b) maintain and demonstrate a supportive attitude toward the Hotline Program, and

(c) assist and cooperate with all OIG investigations.

(3) Where allegations of wrongdoing are substantiated, responsible authorities shall take prompt, responsive, and/or corrective action as appropriate and shall report such action in a timely manner to the CNIC IG. CNIC IG will provide Hotline Program reports to CNIC and/or NAVINSGEN, as necessary and appropriate.

b. External Oversight/Audit Liaison. The CNIC IG serves as the single point of contact for audits, area visits, reviews, studies, assessments, and evaluations conducted throughout CNIC by external agencies, including, but not limited to, the General Accountability Office (GAO), Naval Audit Service (NAVAUDSVC), NAVINSGEN, and Department of Defense IG. CNIC OIG staff shall serve as the liaison between these agencies and CNIC staff. RIGs shall perform similar internal oversight/audit liaison functions for their regions.

(1) CNIC OIG staff shall respond appropriately and timely to external agencies per reference (i) guidance.

(2) CNIC IG and/or RIG shall respond to specific external reporting requirements as they develop, such as reference (f), which requires Echelon 2 IGs to provide "...command climate results of all command inspections."

c. Internal Oversight. Per reference (c), the CNIC IG will assess the overall efficiency and integrity of CNIC programs, functions, and operations using three IO functions: Inspections, MIC Program, and Command Evaluation (CE). The IO Program shall focus on risks as related to readiness, program effectiveness, fraud, waste, mismanagement, and areas of regulatory/statutory non-compliance, as well as opportunities for increased efficiencies or more effective governance. CNIC and RIGs shall conduct IO work in accordance with reference (j), as well as specific CNIC guidance issued for each IO function.

(1) Inspections. Reference (c) directs CNIC to develop and implement an inspections program that evaluates programs, functions, and operations for compliance and process improvement. CNIC IG will administer and coordinate the CNIC Inspections Program and will issue additional guidance for targeted and comprehensive inspections; and, OIG staff will perform inspections in accordance with reference (j). RIGs shall perform similar inspection functions for their regions.

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(a) CNIC and regional inspection schedules will be influenced by requests and emerging areas of interest as identified by CNIC, REGCOMs, N-codes, SAs, Installation Commanding Officers (CO), and staffs at the headquarters, regional, and installation levels.

(b) The CNIC IG and RIGs shall map areas of inspections interest to CNIC strategic goals, external oversight findings, MIC internal control assessable units testing, and CE findings.

(2) MIC. The CNIC IG shall administer and coordinate the MIC Program in accordance with reference (a). The purpose of the MIC Program is to ensure government resources are used efficiently and effectively, and that programs and operations are discharged with integrity and in compliance with applicable laws and regulations.

(a) The CNIC IG provides central coordination and oversight of the MIC Program throughout commands reporting to CNIC and ensures cognizant regions and managers appoint MIC Coordinators and alternates in writing. RIGs shall perform similar coordination and oversight for their respective regions and installations and shall ensure all managers receive training in management control concepts applicable to their functional areas. In addition, RIGs shall establish/maintain an adequate system of management controls that meets the objectives of reference (a).

(b) CNIC N-codes and SAs shall appoint a MIC Coordinator and alternate for their respective areas of responsibility. RIGs shall serve as their regional point of contact and shall provide oversight for the respective regional MIC Program.

(3) CE. Per reference (e), an independent local assessment capability will be available to each CO to assist in improving mission accomplishment, integrity of command, and economical use of resources. Although references (a) through (e) do not identify CE as an IG function, CNIC IG and RIGs will manage and exercise oversight of all CE programs for their respective area of responsibility.

(a) REGCOMs, as well as COs, are responsible for ensuring the independent local assessment capability is available to COs. The CE function may be full- or part-time, depending upon size of the command, complexity of operations, and types of reviews. RIGs shall be responsible for program management and

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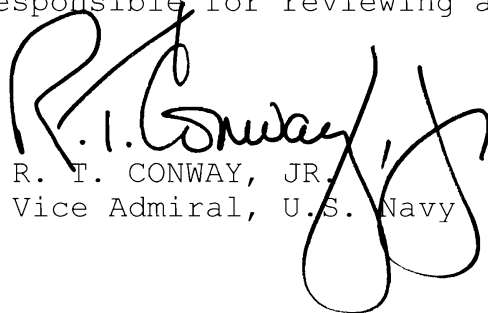
administration of the CE program. When specifically performing CE tasks, personnel shall report directly to the CO and shall maintain an ADDU relationship with their RIG when those personnel are performing CE tasks involving an Echelon 4 command.

(b) RIG staff may perform Echelon 4 CE tasks as investigations, inspections, and other OIG related-work assignments permit and/or as directed by a REGCOM. In accordance with reference (e), RIGs shall provide CNIC IG, as the higher authority, with electronic copies of CE reports that they determine to have a high probability of cross-cutting trends or possible command-wide inspection interest.

8. Standards. The CNIC IG staff, as well as RIG staffs, shall adhere to the standards contained in references (a) through (k). The OIG staff must be free in fact and appearance from personal, external, and organizational impairments to independence, and, if not, CNIC/regional OIG staff members shall disqualify themselves and notify the appropriate CNIC official of the impairment to independence.

9. Effective Date. This instruction is effective upon receipt.

10. Responsibility. CNIC IG is responsible for reviewing and revising this directive.



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Vice Admiral, U.S. Navy

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