



**DEPARTMENT OF THE NAVY**  
NAVAL INSPECTOR GENERAL  
1254 9TH STREET SE  
WASHINGTON NAVY YARD DC 20374-5006

IN REPLY REFER TO:  
5040  
Ser N3/0574  
25 May 16

From: Naval Inspector General

Subj: FISCAL YEAR 2017-2019 ECHELON II COMMAND INSPECTION AND  
REGIONAL AREA VISIT SCHEDULES

Ref: (a) SECNAVINST 5430.57G  
(b) SECNAVINST 5040.3A

Encl: (1) Naval Inspector General Fiscal Year 2017 Command Inspection and Regional Area  
Visit Schedule  
(2) Naval Inspector General Tentative Fiscal Year 2018 Command Inspection and  
Regional Area Visit Schedule  
(3) Naval Inspector General Tentative Fiscal Year 2019 Command Inspection and  
Regional Area Visit Schedule  
(4) Command Inspection Staff Inputs  
(5) Regional Area Visit Staff Inputs  
(6) Command Inspection Areas of Review  
(7) Area Visit Areas of Review

1. The Office of the Naval Inspector General (NAVINSGEN) conducts Command Inspections and Area Visits in accordance with references (a) and (b). The objective of Command Inspections is to provide the Secretary of the Navy and the Chief of Naval Operations with an independent, firsthand assessment of mission execution and risks to execution. We also assess command climate and compliance with Navy programs. The objective of Area Visits is to assess mission execution and risks to execution at an installation or in a fleet concentration area. During Area Visits, we also assess command climate and compliance with Navy programs on mission readiness and quality of life for Navy personnel and their families. These areas include mission support, service support, personnel and family readiness, facilities management, housing, safety, and environmental programs.

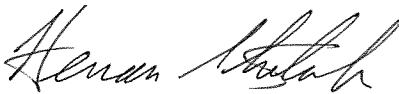
2. NAVINSGEN is a highly experienced, trained and certified team. We abide by integrity in our work and strive to be unbiased and transparent. The team is dedicated and accountable to our Shipmates, Marines, Civilians and Family; we are advocates for Quality of Life; and promoting efficiency, effectiveness and readiness to maintain our Maritime Superiority.

3. Enclosures (1) through (3) are the Fiscal Year 2017 Command Inspection and Regional Area Visit Schedules and Tentative Fiscal Years 2018 and 2019 Command Inspection and Regional Area Visit Schedules. We generally finalize and disseminate the schedule one fiscal year in advance.

Subj: FISCAL YEAR 2017-2019 ECHELON II COMMAND INSPECTION AND REGIONAL AREA VISIT SCHEDULES

4. Command Inspections and Area Visits begin with the inspected command forwarding specific documents and products, as detailed in enclosures (4) and (5), and in our Command Inspection or Area Visit announcement letters that we send to commands prior to the visit. These inputs serve to further our understanding of the command's overall mission, top readiness and resource challenges, command climate, subordinate command (echelon III) oversight process, and any additional issues/risks the Commander desires to forward for consideration. Prior to arrival, NAVINSGEN will conduct an online survey of the command's military and civilian personnel to capture their views on "quality of life," particularly relating to staff leadership, organizational communication, resource availability, equal opportunity, and command climate. NAVINSGEN will also conduct onsite focus groups during Command Inspections and Area Visits. For Area Visits, there will be separate surveys for spouses of active duty and reserve military personnel. Once onsite, the inspection team will review and assess the areas as outlined in enclosures (6) or (7), as applicable. It is important that key personnel and points of contact from your command be identified early enough to coordinate with our team leaders to prepare for the inspection or area visit.

5. Questions or correspondence concerning this schedule may be addressed to CAPT Ian Hall, Director of Inspections. CAPT Hall may be reached at commercial (202) 433-7942, DSN 288-7942, or e-mail at [ian.m.hall@navy.mil](mailto:ian.m.hall@navy.mil).

  
HERMAN A. SHELANSKI

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Subj: FISCAL YEAR 2017-2019 ECHELON II COMMAND INSPECTION AND  
REGIONAL AREA VISIT SCHEDULES

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**NAVINGEN FISCAL YEAR 2017 COMMAND INSPECTION AND  
REGIONAL AREA VISIT SCHEDULE**

**COMMAND INSPECTIONS**

<u>COMMAND</u>	<u>ON SITE VISIT DATES</u>	<u>INPUTS DUE-(ENCL (4))</u>
<b>Naval Legal Service Command</b>	1 – 9 Dec 16	17 Oct 16
<b>Naval History and Heritage Command</b>	20 – 24 Mar 17	3 Feb 17
<b>Naval Air Systems Command*</b>	6 – 14 Jul 17	22 May 17
<b>Space and Naval Warfare Systems Command*</b>	10 – 18 Aug 17	26 Jun 17
<b>Chief of Naval Personnel, BUPERS</b>	21 – 29 Sep 17	7 Aug 17

**AREA VISITS**

<u>GEOGRAPHIC AREA INSTALLATIONS</u>	<u>ON SITE VISIT DATES</u>	<u>INPUTS DUE-(ENCL (5))</u>
<b>CNR Japan/CNR Korea</b> (CFA Okinawa, CFA Yokosuka, CFA Sasebo, NAF Atsugi, NAF Misawa, CFA Chinhae)	23 Jan – 17 Feb 17	9 Dec 16
<b>Navy Region Mid-Atlantic</b> (SUBASE New London, NSA Crane, NAVSTA Newport, NSY BOS Portsmouth, NAVSTA Great Lakes, NSA Saratoga Springs, WPNSTA Earle Colts Neck)	24 Apr – 26 May 17	10 Mar 17

\*Command will also receive an Intelligence Oversight Review.

**NAVINGEN FISCAL YEAR 2018 COMMAND INSPECTION AND  
REGIONAL AREA VISIT SCHEDULE**

**COMMAND INSPECTIONS**

<u>COMMAND</u>	<u>ON SITE VISIT DATES</u>	<u>INPUTS DUE-(ENCL (4))</u>
<b>OPNAV</b>	30 Nov – 8 Dec 17	16 Oct 17
<b>U.S. Fleet Cyber Command*</b>	21 - 29 Jun 18	7 May 18
<b>Naval Facilities Engineering Command*</b>	2 – 10 Aug 18	18 Jun 18
<b>Operational Test and Evaluation Force*</b>	13 – 21 Sep 18	30 Jul 18

**AREA VISITS**

<u>GEOGRAPHIC AREA INSTALLATIONS</u>	<u>ON SITE VISIT DATES</u>	<u>INPUTS DUE-(ENCL (5))</u>
<b>Navy Region Center Singapore/Joint Region Marianas/Naval Region Europe, Africa, Southwest Asia</b> (Singapore Area Coordinator, NSA Anderson, NAVBASE Guam, NSF Diego Garcia, Camp Lemonnier Djibouti)	22 Jan – 16 Feb 18	8 Dec 17
<b>Navy Region Southeast</b> (NAS/JRB New Orleans, CBC Gulfport, NSA Mid South, NAS Key West, NSF Beaufort, NAS Meridian)	16 Apr – 11 May 18	2 Mar 18

\*Command will also receive an Intelligence Oversight Review.

**NAVINGEN FISCAL YEAR 2019 COMMAND INSPECTION AND  
REGIONAL AREA VISIT SCHEDULE**

**COMMAND INSPECTIONS**

<u>COMMAND</u>	<u>ON SITE VISIT DATES</u>	<u>INPUTS DUE-(ENCL (4))</u>
<b>Secretary of the Navy</b>	29 Nov – 7 Dec 18	15 Oct 18
<b>Naval Postgraduate School*</b>	31 Jan – 8 Feb 19	17 Dec 18
<b>Naval War College*</b>	30 May – 7 Jun 19	15 Apr 19
<b>U.S. Naval Academy*</b>	19 – 27 Sep 19	5 Aug 19

**AREA VISITS**

<u>GEOGRAPHIC AREA INSTALLATIONS</u>	<u>ON SITE VISIT DATES</u>	<u>INPUTS DUE-(ENCL (5))</u>
<b>Navy Region Southwest</b> (NAS Lemoore, NAS Fallon, NAVBASE Ventura County Pt. Mugu, NAF El Centro)	11 – 29 Mar 19	25 Jan 19
<b>Navy Region Mid-Atlantic</b> (NSS Norfolk Naval Shipyard, NSA Hampton Roads, NAS Oceana, NAVSTA Norfolk, JEB Little Creek-Fort Story, WPNSTA Yorktown	8 Jul – 9 Aug 19	24 May 19

\*Command will also receive an Intelligence Oversight Review.

# Command Inspection Staff Inputs

## Command Inspection Staff Inputs

1. Alpha roster by UIC, ORG, PP-SER-GR (indicating number of staff active/reserve within the command) - including government civilians, active duty, reservists on active duty, students-military, students-civilian (as applicable), including rank and/or civilian equivalent.
2. Command 101 Brief (with speaker's notes if available). At minimum should include:
  - a. Command mission, self-assessment of mission performance, performance metrics, mission challenges;
  - b. Analysis of governing Mission, Functions, and Tasks (MFT) instruction (Is it accurate? Are any functions/tasks no longer performed? Are any new required functions/tasks not listed?);
  - c. Unique challenges; other important items for situational awareness.
3. Command In-Brief w/ speaker notes.
4. Command Organizational Chart.
5. List of all Active Duty and Reserve Echelon II UICs for the command.
6. Command's top concerns in three areas:
  - a. Concerns specific to his/her Echelon II command;
  - b. Enterprise/domain concerns (i.e., What the Commander thinks his/her subordinate commands think/worry about?);
  - c. Perception of workforce concerns (i.e., What the Commander thinks his/her employees think/worry about?).
7. Summary of most recent self-assessment or self-inspection results.
8. Summaries of inspections of subordinate commands (Echelon 3 & 4). Include significant findings and oversight challenges.
9. Command's governing Mission, Function and Task (MFT) instruction.

## Focus Group Accommodations

1. Facilities map labelled with the proposed three focus group rooms (with availability for evenings for two of the rooms) and one Executive Round Table room.
2. Diagram of focus group rooms and Executive Round Table room.
3. Photos of focus group rooms and Executive Round Table room.

## CIAC/PDHRA (Military Only)

1. Appointment letters.
2. Certificates of training.
3. Command CIAC/PDHRA directives.

4. List of command members who have deployed (IA or GSA) in the last two years.
5. NAVPERS 1300/21 and 1300/22 for past two years.
6. Quarterly reports submitted per NAVADMIN 099/09.
7. Command collateral duty list.

### **Command Headquarters Security**

1. Command Security Manager (CSM) appointment letter.
2. Assistant Command Security Manager (ASCM) appointment letter(s) (if applicable).
3. Top Secret Control Officer (TSCO) appointment letter (if applicable).
4. Special Security Officer (SSO) appointment letter (if applicable).
5. Senior Intelligence Officer (SIO) appointment letter (if applicable).
6. Special Security Representatives (SSR) appointment letter(s) (if applicable).
7. Roster of all Navy Yeoman (YN) at the command possessing the 9190 NEC, to include where they work (if applicable).
8. Most recently completed annual and reported Personnel Security Self-Inspection (SECNAV M5510.30, Appendix D).
9. Most recently completed annual and reported Information/Industrial Security Self-Inspection (SECNAV M5510.36, Exhibit 2C).
10. Command's security directive (required by SECNAV M5510.30, Appendix C and M5510.36, Exhibit 2A).
11. Command's OPSEC directive (required by OPNAVINST 3432.1A).
12. Command's OPSEC Critical Information List (CIL).
13. Last years' worth of Preliminary Inquiries stemming from security incidents (SECNAV M5510.36).
14. Unclassified summary of all classified contracts (to include SCI) executed by the command (see SECNAV M5510.36, Section 11-1, paragraph 1 for applicability - call NAVINSGEN N31 if there are questions or if the number of contracts is very large (> 50)).
15. Initial and annual security refresher training attendance records.
16. Initial and annual Counterintelligence awareness training attendance records (see DoDD 5204.06, Enclosure 3 for records requirements).
17. Security indoctrination training (usually a PowerPoint product).
18. Installation Mission Profile Validation - Protection (MPV-P) data, to include billets authorized, billets resourced, and list of NSF physically unable to perform duties.
19. Echelon 3 command security inspection schedule (Information/Personnel/Physical/Industrial Security).

Enclosure (4)



## **Continuity of Operations (COOP)**

1. Command COOP Plan.
2. Date the COOP was last exercised.
3. Lessons Learned/After Action Report (AAR) of the COOP exercise.

## **Facilities and Safety**

1. Provide a spreadsheet list of facilities for which the command is assigned as the preponderant user in iNFADS. Include the following data fields:
  - a. Facility number;
  - b. Facility name;
  - c. Facility size;
  - d. Primary facility category code;
  - e. Year built;
  - f. Condition rating;
  - g. Configuration rating;
  - h. Installation Figure of Merit (IFOM);
  - i. Mission Dependency Index (MDI);
2. A list of Military Construction (MILCON) projects recently completed (2012 or later), ongoing, planned, and programmed relevant to the command. Include all projects nominated for the Region Mission Integration Group (RMIG) and the Shore Mission Integration Group (SMIG). Include project number, title, estimated/final cost, and date of award, estimated completion date, and actual completion date (as applicable).
3. A list of the command's top Installation projects with command ranking, Installation Ranking, and Region ranking (IPL/RIPL ranking). Timeframe should cover FY 15-19 and also include sustainment (ST) and recapitalization and modernization (RM), and demolition (DE) projects developed, but not funded.
4. A copy of the latest facility brief to the CO as applicable. Include the top 5 facilities issues covering the issue/problem, background, way ahead, estimated cost (as appropriate), and impact of each.
5. An overview and self-evaluation of energy management program efforts, including status of metering, energy intensity reduction, alternative/renewable energy sourcing, petroleum consumption reduction, behavior change initiatives, and any success stories regarding energy conservation. Include information regarding Energy Savings Performance Contracts (ESPCs) or other similar agreements as applicable. Provide a copy of the appointment letters for Building Manager(s) or Building Energy Monitor(s), and a copy of the relevant installation Energy Management Instruction.

Enclosure (4)

6. A copy of the latest environmental brief. Include an overview and self-assessment of program organization, effectiveness, and challenges that cover the full spectrum of command-relevant environmental compliance, conservation, pollution prevention, and remediation issues.

7. Provide the most recent Safety Self-Assessment, Hazard Correction Plan, and an overview of Safety and Occupational Health programs, including organization/staffing and status of the following major focus areas:

- a. Mishap Investigation and Reporting.
- b. Mishap Prevention.
- c. Training.
- d. Safety and Occ. Health Management Evaluations (SOHMEs).
- e. Occupational Health.
- f. Operational Risk Management.
- g. Fall Protection.
- h. Confined Space Entry.
- i. Energy Control.
- j. Weight Handling Safety.
- k. Acquisition Safety.
- l. Traffic Safety.
- m. Ergonomics.
- n. Federal Employee Compensation Act (FECA).

#### **Government Commercial Purchase Card**

1. Letters of appointment for APC.
2. Contracting/purchasing authorization.
3. Standard purchase request form.
4. Breakdown of number of cards (with limits) and number of AOs assigned.
5. Date and results of last PPMAP/results.
6. Latest delinquency report.

#### **Government Travel Charge Card**

1. Letters of appointment for APC.
2. Number of AOs.
3. Command's 60-day delinquency report (if applicable).
4. Write-off Report (if applicable).
5. MCC Exception Report (if applicable).

Enclosure (4)

## **Human Resources**

1. Human Capital Strategic Plan.
2. HR department's organization chart.
3. Current command staffing levels.
4. Civilian manning shortfalls – positions and length of vacancies.
5. Explanation of hiring challenges.

### **RECRUITMENT/STAFFING**

6. HR Link Report PER-174: Metrics and Scorecard (by UIC).
7. Hiring Plan for the current FY.
8. DoD Priority Placement Program Commander's Statement of Support (DODI 1400.25 V 1800).

### **CLASSIFICATION**

9. List of Managers with Manage to Payroll (Delegation of Classification) Authority.
10. Manage to Payroll Delegation Letters (for MTP Commands).
11. DCHR, HRD, and DEEOO position descriptions.
12. Manage to Payroll Delegation Letters (for MTP Commands).

### **INSTRUCTIONS/POLICIES**

13. Telework Instruction.
14. Time and Attendance/Work Schedule Instruction.
15. Awards Instruction (i.e., Civilian of the Quarter/Year, Incentive awards, and Performance Awards).
16. Civilian Hiring/Merit Promotion Instruction.
17. Recruitment, Retention, Relocation Incentives Policy.
18. Training and Development Instruction.

### **AWARDS**

19. Spreadsheet containing all current and prior FY processed awards by UIC, ORG, PP-SER-GR (QSI, honorary, cash, and time-off) rating and non-rating based.
20. Note: NAVINSGEN will request random sample of the nomination packages/justifications during inspection or via separate correspondence.

Enclosure (4)

## **PERFORMANCE MANAGEMENT**

21. Note: NAVINSGEN will request a random sample of performance appraisals to include plan establishment, progress review and annual appraisal during inspection or via separate correspondence.

## **ADDITIONAL INFORMATION**

22. Issue papers of current manpower/staffing/EEO challenges to include echelon 3 and below.

23. List of Defense Acquisition positions.

24. List of Cyber Security positions.

25. List of Financial/Budget positions.

26. Work schedules available for Civilian Workforce.

27. Spreadsheet of total current and last FY Civilian Overtime & Comp Time Earned/Used by UIC, ORG, PP-SER-GR.

## **INFORMATION ON RANDOMLY-SELECTED EMPLOYEES**

28. Note: NAVINSGEN will request random employee position description (PD) to include OF-8 and copy of Position Designation Record from OPM Position Designation Tool ( See DODI 1400.25, Volume 731) during inspection or via separate correspondence.

29. Note: NAVINSGEN will request a random copy of employee's telework agreement and telework training completion certificate during inspection or via separate correspondence.

## **Manpower (Military and Civilian)**

1. Latest Shore Manpower Requirements Determination (SMRD) report.

2. Excel spreadsheet listing HQ UIC(s) total requirements, billet authorized (BA), FTE, PBIS, COB for military, civilian and full-time contractors. Break out of paygrades (military and civilians). List ADSW personnel and where they are assigned.

3. List of RUICs.

4. Reconciliation report of DCPDS and TFMMS.

5. Explanation of meaningful manpower shifts (i.e., increase, decrease, etc.).

6. Explanation of current manpower challenges? Explain (i.e., POM submission, MHA, etc.).

7. Any manpower challenges under the BSO (Echelon 3 and below).

8. Overall manning percentage for civilian workforce (i.e., "currently manned at 88% of authorized funded billets").

9. Overall Fit/Fill for all military funded billets.

Enclosure (4)

### **Manning (Military and Civilian)**

1. Copies of AMD of HQ UICs.
2. Spreadsheet of civilian hiring actions over the last fiscal year (FY).
3. Total number of civilian positions and total number of current vacancies.
4. List of vacancy positions titles by UIC, ORG, PP-SER-GR.
5. Roster of civilian supervisors (with paygrade and UIC) over military personnel.
6. Roster of military supervisors (with paygrade and UIC) over civilian employees.

### **Equal Employment Opportunity (EEO)**

1. OCHR EEO MD-715 assessment (Current FY and prior FY).
2. Commander's EEO Anti-harassment/discrimination statement.
3. EEO Counselor POC information to include locations it is posted within the Command.
4. Total compensatory damages (to include reasons) and number of findings of discrimination (to include type) for current and prior FY.
5. Percentage of timely counsellings (informal) and investigations (formal) for current and prior FY. Also need the percentage numbers (total timely/ total).
6. TWMS copy of EEO Training Percentages (EEO, No Fear, Sexual Harassment, ADR, Reasonable Accommodations). Report should list the training name, # of personnel completed, # COB, completion percentage.
7. 462 Report (Current FY and prior FY).
8. List of Active EEO and RA Case Files.
9. Issue papers of current manpower/staffing/EEO challenges to include ECH 3 and below.

### **Command Managed Equal Opportunity (CMEO)**

1. Results of the last three (staff) command climate assessments. Include POA&Ms, executive summaries, and verification that face-to-face ISIC debriefs occurred.
2. Copy of Self-assessment per OPNAVINST 5354.1F, Enclosure 3.
3. Results of subordinate command oversight, as applicable.

### **Training (Military and Civilian)**

1. Current Command Training Instruction, as applicable.
2. Command training plans (Long, Mid, and Short-Range), as applicable.
3. Planning Board for Training (PB4T) Membership and last two meeting minutes, if available.

Enclosure (4)

4. FLTMPS GMT Course Completion Report for current FY and total roll-up for prior 2 FYs (break out of Topic I and Topic II).

5. Spreadsheet for current FY and prior 2 FYs DCPDS/HR Link and/or TWMS documentation of mandatory civilian training completion and completion percentages for both FYs. Note: Use HR Link Report No. PER-161: Completed Training Counts (by UIC).

6. Report of supervisors, military and civilian, who have completed required "Supervising Civilians Training" for current FY and 2 previous FYs. Roster listing of personnel, COB, # of personnel completed and completion rate.

7. SAPR training report for current FY and previous 2 FYs (military (AC/RC), civilian, and full-time contractors). Roster listing of personnel, COB, # of personnel completed and completion rate.

8. SAPR training report of civilian supervisors of service members, civilians, and contractors for current FY and prior 2 FYs. Roster listing of personnel, COB, # of personnel completed and completion rate.

9. Suicide training report for current FY and prior 2 FYs (military (AC/RC), civilian, and full-time contractors). Roster listing of personnel, COB, # of personnel completed and completion rate.

### **IG Functions**

1. Inspection schedule.
2. Results of latest internal inspection.
3. Results of latest oversight inspection.
4. IG team roster (name, rank, role, etc.).

### **Individual Medical Readiness**

1. MRRS report for command and subordinates.
2. Appointment letters.

### **Information Technology and Information Assurance Programs**

1. All IT and IA command instructions.
2. Letters of designation for IAM and CIO.
3. IA Training Records for HQ and subordinate commands.
4. IAWF list personnel and certifications.
5. Last inspection and/or accreditation.
6. Incident Reports (Spillage).

Enclosure (4)

### **Managers' Internal Control Program**

1. Inventory of Assessable Units (AUs).
2. Prior year's Statement of Assurance (SoA).
3. Letters of designation for Coordinator and Deputy Coordinator (if assigned).
4. Training documentation for Coordinator and Deputy Coordinator.
5. Local/command instruction.

### **Personal Property Management (Asset Management System)**

1. Letters of appointment for Property Manager.
2. Results of last inventory conducted.
3. Local/command instruction.

### **Personally Identifiable Information (PII) Program**

1. Applicable letters of designation.
2. PII annual training records for Echelon II and subordinate commands.
3. Incident or breach reports in last 24 months (as applicable).
4. Spot check results for last 3 years.
5. Command's PII instruction.

### **Sexual Assault Prevention and Response**

1. Appointment letters for SAPR UVA and SAPR POC.
2. D-SAACP certificates for UVA and training certificate for POC.
3. Documentation of SAPR military, civilian and supervisors of military training completion for past two FY and current FY status.
4. MOU's (EX: SAFE Exams/services).
5. Command SAPR Instructions/policy statements.
6. Command collateral duty list.
7. Watchstander PQS/JQR.
8. Dates triad assumed positions, and date triad received SARC in-brief and MRE 514 brief.

### **Strategic Planning**

1. Current Strategic Plan.

## **Suicide Prevention**

1. Appointment letters for SPC and ASPC.
2. Training certificates for SPC and ASPC (Webinar training and DoDSER training/registration).
3. Documentation of military, civilian and full-time contractor training for past two FY and current FY status.
4. Suicide Prevention and Crisis Intervention Plan.
5. MOU's if any.
6. Safety plan for high risk Service members.
7. Command suicide prevention policy/instruction.
8. Watchstander PQS/JQR.

## **Voting Assistance (Military)**

1. Letters of designation for all Voting Assistance Officers.
2. Certificates of training for all Voting Assistance Officers.
3. Sample emails or command newsletter items regarding Voting.
4. Last 2 quarterly reports submitted to FVAP.

## **Records Management**

1. Completed DON/AA Records Management Checklist (navigate to DON/AA's website).
2. Signed designation letter specifying individual's role.
3. Applicable Position Descriptions specifying RM responsibilities/roles for office.
4. Completed/signed OPNAV 5210/76, OPNAV Organizational Records File Plan.

## **Transition GPS**

1. GPS Analytics report.
2. DD Forms 2648 and DD Forms 2958 for the last 2 years.

## **Navy Alcohol and Drug Abuse Prevention (NADAP)**

1. Complete program self-assessment.
2. Current copies of MOU/MOA if applicable.

Enclosure (4)



## **Military Overseas Suitability Screening/Civilian Overseas Processing Program**

1. List of personnel your office has processed for overseas screening for the past 24 months. Omit SS# and DOB.
2. Last 2 self-inspection checklists to ensure overseas military suitability is included as assessable unit in MIC.

## **Financial Management**

1. Provide a Comptroller 101 brief.
2. Letter of designation of the Comptroller.
3. Organization chart.

## **Contracting**

1. Provide COR nomination and appointment letters (if applicable).

## **Physical Readiness Program**

1. Letter of designation of CFL and ACFL.
2. Training records.
3. FEP members.

## **Defense Acquisition Workforce Improvement Act**

1. Provide eDACM Data Call for all UQ UIC(s) personnel (headers for excel columns as indicated) below:
  - a. Header: HOST UIC, ORG STRUC CD, FULL NAME, CAP TYPE, CRITICAL ACQ POS CD, SPECIAL ASSIGNMENT ABBREV, SPECIAL ASSIGNMENT CD, INTERN PROG?, INSOURCED?, HIGHEST CAREER LVL ACHVD, CERTIFIED TO LVL RQD?, CERTIFICATION STATUS, CERT GRACE REMAINING, DT CERT REQ DUE.
2. Provide following data call: "As of DD MMM 2015, HQ staff DAWIA coded billets (\_\_\_ UICs/\_\_\_ billets: \_\_\_military/\_\_\_ civilians/\_\_\_ COB) are \_\_\_ percent in DAWIA certification requirements per DoDI 5000.66."
3. Provide following Enterprise (non-HQ) DAWIA coded billets data call (\_\_\_ UICs/\_\_\_ billets: \_\_\_ military/\_\_\_civilian/\_\_\_ Current on Board: COB) are \_\_\_ percent current in DAWIA certification requirements per DoDI 5000.66. The \_\_\_ enterprise personnel that were observed as out of currency (i.e., not certified to billet level requirement or not within a requisite grace period (usually 24 months); are \_\_\_ military/\_\_\_ civilians. Have they been contacted and waiver submission submitted, if appropriate."

Enclosure (4)

4. Designation letters for designated HQ (NAME) and Enterprise (NAME) DAWIA Program Manager(s) that oversee DAWIA command compliance per the DON Defense Acquisition Workforce Improvement Act (DAWIA) Operating Guide of 24 Jun 14, paragraph 3.2.2.

5. Please provide assessment of Command's DAWIA best practices, DAWIA program management challenges, etc.

Enclosure (4)

## Area Visit Staff Inputs

### Installation Staff Inputs

1. Alpha roster by UIC, ORG, PP-SER-GR (indicating number of staff active/reserve within the command) - including government civilians, active duty, reservists on active duty, students-military, students-civilian (as applicable), foreign national employees, including rank and/or civilian equivalent, supervisor (yes/no), location, e-mail address, bargaining unit
2. Contact information (phone and email) for key staff members
3. Installation 101 Brief (with speaker's notes if available). At minimum should include:
  - a. Region/Installation mission, tenant command composition, self-assessment of BOS/tenant command support mission performance, performance metrics, mission challenges
  - b. Discussion of Mission, Functions, and Tasks (is it accurate? Are any functions/tasks no longer performed? Are any new required functions/tasks not listed?)
  - c. Unique command/installation/region challenges; other important items for situational awareness
  - d. Command's top concerns (specific to installation, workforce, and tenant)
4. Installation Organizational Chart
5. List of all Active Duty and Reserve UICs
6. Summary of most recent self-assessment results

### Installation Security

1. Command Security Manager (CSM) and Assistant Command Security Manager (ASCM) appointment letters
2. Top Secret Control Officer (TSCO) appointment letter (if applicable)
3. Special Security Officer (SSO) appointment letter (if applicable)
4. Senior Intelligence Officer (SIO) appointment letter (if applicable)
5. Special Security Representatives (SSR) appointment letter(s) (if applicable)
6. Most recently completed annual and reported Personnel Security Self-Inspection (SECNAV M5510.30, Appendix D)
7. Most recently completed annual and reported Information/Industrial Security Self-Inspection (SECNAV M5510.36, Exhibit 2C)
8. Command's security directive (required by SECNAV M5510.30, Appendix C and M5510.36, Exhibit 2A)
9. Command's OPSEC directive (required by OPNAVINST 3432.1A)
10. Command's Critical Information List (CIL)
11. List of last years' worth of Preliminary Inquiries stemming from security incidents (SECNAV M5510.36)
12. Unclassified summary of all classified contracts (to include SCI) executed by the command (see SECNAV M5510.36, Section 11-1, paragraph 1 for applicability - call NAVINSGEN N31 if there are questions or if the number of contracts is very large (> 50))

13. Initial and annual security refresher training attendance records
14. Initial and annual Counterintelligence awareness training attendance records (see DoDD 5204.06, Enclosure 3 for records requirements)
15. Security indoctrination training
16. Installation Mission Profile Validation - Protection (MPV-P) data, to include billets authorized, billets resourced, and list of NSF physically unable to perform duties

### **Facilities/Safety/Energy/Environmental**

1. Provide a spreadsheet list of facilities from iNFADS. Include the following data fields:
  - a. Facility number
  - b. Facility name
  - c. Facility size
  - d. Primary facility category code
  - e. Year built
  - f. Condition rating
  - g. Configuration rating
  - h. Installation Figure of Merit (IFOM)
  - i. Mission Dependency Index (MDI)
2. A list of Military Construction (MILCON) projects recently completed (2012 or later), ongoing, planned, and programmed. Include all projects nominated for the Region Mission Integration Group (RMIG) and the Shore Mission Integration Group (SMIG). Include project number, title, estimated/final cost, and date of award, estimated completion date, and actual completion date (as applicable)
3. A prioritized Integrated Project List (IPL) and Region Integrated Project List (RIPL). Timeframe should cover FY14-18 and include sustainment (ST) and recapitalization and modernization (RM), and demolition (DE) projects developed, but not funded
4. The latest facility brief to the installation CO. Include status of Base Operating Support (BOS) program performance and the top 5 facilities issues covering the issue/problem, background, estimated cost (as appropriate), and impact of each
5. The most recent Fire Protection Engineering Survey and data regarding fire protection system performance, including fire alarm panel faults, records of repairs, and fire suppression system certification and testing records
6. The latest External Environmental Audit and drinking water system Sanitary Survey. For overseas locations, provide a copy of the most current Final Governing Standards (FGS) and relevant Overseas Environmental Baseline Governing Document (OEBGD)
7. The current/most relevant Building Management Instruction and Energy Management Instruction
8. An overview and self-evaluation of energy management program efforts, including status of metering, energy intensity reduction, alternative/renewable energy sourcing, petroleum consumption reduction, behavior change initiatives, and any success stories regarding energy

Enclosure (5)

conservation. Include information regarding Energy Savings Performance Contracts (ESPCs) or other similar agreements as applicable

9. The latest environmental brief, include an overview and self-assessment of program organization, effectiveness, and challenges that cover the full spectrum of command-relevant environmental compliance, conservation, pollution prevention, and remediation. Ensure that Drinking Water programs are covered, with a status of Backflow Prevention program testing.

10. The most recent Safety Self-Assessment, Hazard Correction Plan, and an overview of Safety and Occupational Health programs, including organization/staffing and status of the following major focus areas:

- a. Mishap Investigation and Reporting
- b. Mishap Prevention
- c. Training
- d. Safety and Occ. Health Management Evaluations (SOHMEs)
- e. Occupational Health
- f. Operational Risk Management
- g. Fall Protection
- h. Confined Space Entry
- i. Energy Control
- j. Weight Handling Safety
- k. Acquisition Safety
- l. Traffic Safety
- m. Ergonomics
- n. Federal Employee Compensation Act (FECA)

11. The local or governing family housing instruction, including assignment policies (as applicable), most recent Housing Program Review (HPR) report, most recent DD1523 report, past 2 years and next year projections of monthly occupancy data, and latest housing brief to the installation CO that covers top 5 challenges; if applicable include PPV partner metrics on the following: waitlist management data (past 2 years and next year projected), maintenance plan for units

12. The local unaccompanied housing policy or instruction, including assignment policies (as applicable), most recent Housing Program Review (HPR) report, most recent R19 report, past 2 years and next year projections of monthly occupancy data (breakout by permanent party, student, and temporary), latest UPH program brief to the Installation CO that covers top 5 challenges, QO program financials past FY, this FY, next FY, and barracks maintenance plan

### **Manpower/Manning/Human Resources**

1. Civilian manning shortfalls - positions and length of vacancies. Explain impact the vacancy has on providing service to the base
2. Explanation of hiring challenges, if any
3. Spreadsheet of total current and last FY Civilian Overtime & Comp Time Earned/Used

Enclosure (5)

4. Activity Manning Document (AMD)
5. Latest Shore Manpower Requirements Determination (SMRD) report
6. Excel spreadsheet listing HQ UIC(s) total requirements, billet authorized (BA), FTE, PBIS, COB for military, civilian and full-time contractors. Break out of paygrades (military and civilians). List any ADSW/Reserve Recall personnel and where they are assigned
7. Explanation of manpower shifts (increase, decrease, etc.)
8. Overall Fit/Fill for military funded billets
9. Explanation of current manpower challenges? Explain (i.e., POM submission, MHA, etc.). Overall manning percentage for civilian workforce (i.e., "currently manned at 88% of authorized funded billets")

### **Equal Employment Opportunity (EEO)**

1. OCHR EEO MD-715 assessment (Current FY and prior FY)
2. Total compensatory damages (to include reasons) and number of findings of discrimination (to include type) for current and prior FY
3. Percentage of timely counselings (informal) and investigations (formal) for current and prior FY. Also need the percentage numbers (total timely/total)
4. TWMS copy of EEO Training Percentages (EEO, No Fear, Sexual Harassment, ADR, Reasonable Accommodations). Report should list the training name, # of personnel completed, # COB, completion percentage
5. 462 Report (Current FY and prior FY)
6. List of Active EEO and RA Case Files

### **Command Managed Equal Opportunity (CMEO)**

1. Results of the last three (staff) command climate assessments. Include POA&Ms, executive summaries, and verification that face-to-face ISIC debriefs occurred
2. Self-assessment per OPNAVINST 5354.1F, Enclosure 3

### **Sexual Assault Prevention and Response**

1. Contact information for Sexual Assault Response Coordinator.

### **Suicide Prevention**

1. Contact information for Sexual Assault Response Coordinator
2. Copy of Installation Suicide Prevention and Crisis Intervention Plan, if applicable
3. Copy of MOU's with tenant commands, if applicable

### **Voting Assistance (Military)**

1. Letters of designation for all Voting Assistance Officers
2. Certificates of training for all Voting Assistance Officers
3. Sample e-mails or command newsletter items regarding Voting

Enclosure (5)

4. Contact list for all tenant command VAOs attached to the installation
5. Last 2 quarterly reports submitted to FVAP

### **Casualty Assistance Calls Program**

1. The letter of designation of the CACO and his training records
2. A copy of existing MOUs if any
3. Copy of instruction(s) governing funeral honors for the region

### **Navy Alcohol and Drug Abuse Prevention (NADAP)**

1. Complete program self-assessment
2. Current copies of MOU/MOA if applicable

### **Personnel Support Detachment (if applicable)**

1. Top 5 PSD/CSD Concerns
2. PSD Manning (Military, Civilian, Contractor Personnel COB/Vacancies)
3. Serviced Command Demographics (# Commands Serviced, Active Duty Population, Reserve Component Population, Dependent Population, DON/DOD Civilian Population, Contractor Population, Student Population (as applicable, Estimated Retiree Population);
4. Timeliness metrics (##% timely for gains, losses, pay transactions)
5. Travel Claim completion time until paid (## days turn around once claim received from CPC)
6. Gains/Losses metrics (## personnel/students arrivals per month, ## personnel/student departures per month)
7. CPC training metrics (## CPCs attend monthly training sessions, new CPC indoctrination held quarterly, etc.)
8. Transportation metrics (## ticketed, ## passports issued, ## port calls arranged as applicable)

### **Fleet & Family Support Center (if applicable)**

1. Contact information for Director, FFSC
2. Calendar of events for life skills education, finance, transition assistance, etc.

### **Galley (if applicable)**

1. Cycle menu; feedback received on cycle menu
2. Meal sales for current month
3. Frequency of medical and sanitation inspections
4. Latest inspection report
5. List of galleys within the region

Enclosure (5)

**Medical & Dental Treatment Facility (if applicable)**

1. List of all medical and dental facilities in the area
2. List of leadership POCs for medical and dental facilities. List of personnel your office has processed for overseas screening for the past 24 months (Omit PII)
3. Last 2 self-inspection checklists to ensure overseas military suitability is included as assessable unit in MIC
4. List of personnel processed for overseas screening for the past 24 months. (Omit PII)

**Navy Exchange (if applicable)**

1. List of outlets of NEX in the region
2. Name and contact info of manager

**Commissary (if applicable)**

1. List of outlets of commissaries in the region
2. Name and contact info of manager

**Moral Welfare and Recreation**

1. Most recent CNIC Fiscal Oversight Review
2. Results from latest CNIC Accreditation Visit
3. Organizational Chart for MWR and contact info
4. Current YTD/comparison to Prior YTD Financial Performance
5. Customer usage for Current YTD/comparison to Prior YTD
6. List of Current and Future Construction/Renovation Projects

**Child and Youth Programs (if applicable)**

1. Most recent CNIC Inspection
2. Latest safety and sanitation inspection
3. Current wait list report
4. Organizational chart for CYP/CDC and contact info
5. List of Current and Future Construction/Renovation Projects

**Airfield and/or Port Facilities (if applicable)**

1. Current and prior year airfield/port usage rates
2. Number of aircraft/ships permanently assigned
3. Entities supported (USAF, USCG, etc.)
4. Air/Port Operations Challenges and Initiatives
5. Airfield and Port/Pier descriptions
6. Planned MILCON/SRM/improvement projects (as applicable)



## **Legal Support**

1. Name and Contact information for liaison at local Region Legal Service Office or detachment
2. Name and Contact information for liaison at local Defense Service Office or detachment

Enclosure (5)

# Command Inspection Areas of Review

## **Mission Performance**

- Civilian Manning and Manpower
- Command Relationships and Communications
- Continuity of Operations
- Intelligence Oversight
- Mission Readiness/Mission, Functions and Tasks
- Strategic Planning
- Total Force Management
- Training (Military & Civilian)

## **Facilities, Safety and Environmental**

- Energy
- Environmental
- Facility Management
- Safety/Occupational Health

## **Security**

- Counterintelligence Support
- Cybersecurity
- Industrial Security
- Insider Threat Program
- Operations Security
- Personnel/Information Security
- Physical Security/Antiterrorism and Force Protection
- Special Security Programs

## **Resource Management**

- Casualty Assistance Calls Program
- Command Individual Augmentee Coordinator
- Command Managed Equal Opportunity
- Deployment Health Assessments
- Financial Management/Comptroller
- Freedom of Information Act (FOIA)
- Government Commercial Purchase Card Program
- Government Travel Charge Card Program
- Hazing Compliance and Training
- Individual Medical Readiness
- Inspector General Functions
- Legal/Ethics
- Managers' Internal Control Program
- Navy Alcohol and Drug Abuse Prevention
- Overseas Screening
- Personal Property Management
- Physical Readiness Program
- Records Management

Sexual Assault Prevention and Response Program  
Suicide Prevention  
Transition GPS  
Victim and Witness Assistance Program  
Voting Assistance Program

**Sailor Programs**

Command Indoctrination Program  
CPO 365  
Sailor Career Management Program  
Sailor Recognition  
Sponsorship Program

**Analysis Tools**

Flag-level engagement  
Focus Groups  
SES-level engagement  
Survey

## Area Visit Areas of Review

### Mission Performance

- Airfield and/or Port Facilities
- Command Communications
- Command Relationships
- Equal Employment Opportunity
- IT Infrastructure/Communications Support
- Manning/Manpower (Military & Civilian)
- Personnel Support Detachment (PSD)

### Resource Management/Quality of Life/Community Support

- Casualty Assistance Calls Program
- Child and Youth Programs (CYP/CDC)
- Command Managed Equal Opportunity (CMEO)
- Commissaries
- Fleet and Family Support Center
- Galleys
- Legal Support
- Medical & Dental Treatment Facilities
- Morale, Welfare and Recreation
- Navy Alcohol and Drug Abuse Prevention (NADAP)
- Navy Exchanges
- Overseas Screening (Military & Civilian)
- Resourcing/Budgeting
- Sexual Assault Prevention and Response Program
- Suicide Prevention Program
- Transition Assistance Management Program
- Voting Assistance

### Facilities, Safety, Environmental

- Barracks
- Energy
- Environmental
- Facilities Management
- Family Housing
- Safety & Occupational Health

### Security

- ATFP/Law Enforcement Programs
- Emergency Management
- Industrial Security
- Information Assurance Programs
- Information Security
- Operations Security
- Personally Identifiable Information (PII)
- Personnel Security

**Sailor Programs**

CPO 365

Single Sailor Programs

**Analysis Tools**

Commanding Officers roundtable

Flag-level engagement

Focus Groups

Master Chief roundtable

SES-level engagement

Survey