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From: Naval Inspector General
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Subj: COMMAND INSPECTION OF NAVAL POSTGRADUATE SCHOOL

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

1. The Naval Inspector General (NAVINSGEN) conducts command inspections of echelon 2 commands to provide the Secretary of the Navy and the Chief of Naval Operations with a firsthand assessment of Departmental risks and major issues relevant to policy, management, and direction as directed by reference (a). Reference (b) tasks NAVINSGEN with conducting inspections and surveys, making appropriate evaluations and recommendations concerning operating forces afloat and ashore, Department of the Navy components and functions, and Navy programs that impact readiness or quality of life for military and civilian naval personnel.
2. NAVINSGEN conducted a Command Inspection of the Naval Postgraduate School (NPS) from 7 to 16 March 2016. This report documents our findings.
3. This report contains an Executive Summary, our observations and findings, and documented deficiencies noted during the inspection. A summary of survey and focus group data, as well as a complete listing of survey frequency data is included.
4. During our visit, we assessed NPS's overall mission readiness in the execution of its echelon 2 responsibilities; functions and tasks as assigned in or defined by OPNAVINST 5450.210D, Naval Postgraduate School Mission and Functions, of 30 March 2012; and other laws, policy, and regulations. We assessed administrative programs, facilities, safety and environmental compliance, security programs, and Sailor programs under the purview of senior enlisted leadership. Additionally, we conducted surveys and focus group discussions to assess the quality of work life and home life for Navy military and civilian personnel.
5. Our overall assessment is that NPS is executing its mission, and is well positioned to implement the Chief of Naval Operations Design for Maintaining Maritime Superiority. It was evident throughout the course of our inspection that NPS is exercising due diligence to follow governing Navy rules, regulations, and laws in the conduct of the majority of its programs. NPS has taken numerous corrective actions since 2012 to establish and sustain a culture of compliance in order to regain public trust and confidence.

Subj: COMMAND INSPECTION OF NAVAL POSTGRADUATE SCHOOL

6. Corrective actions

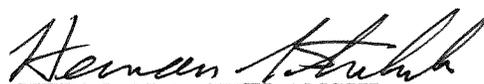
a. NAVINSGEN identified 68 deficiencies that require NPS's corrective action, relating to: Management of the Board of Advisors, Civilian Human Resources, Military and Civilian Training, Equal Employment Opportunity, Continuity of Operations Plan (COOP), Energy Conservation Program, Safety, Security, Antiterrorism, and Force Protection (ATFP), Personally Identifiable Information (PII), Cybersecurity Workforce, Information Technology Procurement, Sexual Assault Prevention and Response (SAPR), Suicide Prevention, Government Travel Charge Card, Personal Property Management, Records Management, Individual Medical Readiness, Physical Readiness, and Command Indoctrination.

b. Additionally, NAVINSGEN provided NPS with 42 separate recommendations for consideration, relating to Research, Work Acceptance Process, Academic Integrity, Civilian Institution Programs, Civilian Human Resources, Equal Employment Opportunity, COOP, Intelligence Support and Oversight, Safety Training, ATFP, PII, Cybersecurity Workforce, Gift Acceptance, Command Managed Equal Opportunity, Records Management, Individual Medical Readiness, Physical Readiness, SAPR, Suicide Prevention, Command Sponsorship, Command Indoctrination, and Career Development Program.

c. This report includes an issue paper that recommends action by NPS, OPNAV (N1), and ASN(FM&C). Appendix D: Issue Papers provides detailed guidance on how to report completion of recommendations identified in the issue paper.

d. Correction of each deficiency or adoption of recommendations, and a description of action(s) taken or rationale of why recommendations were not adopted, should be reported via Implementation Status Report (ISR), OPNAV 5040/2, no later than 8 August 2016. Deficiencies not corrected by this date or requiring longer-term solutions should be updated quarterly until completed.

7. My point of contact is (b) (7)(C)



HERMAN A. SHELANSKI

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**NAVAL INSPECTOR GENERAL COMMAND INSPECTION OF
Naval Postgraduate School
7-16 March 2016**

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Executive Summary

The Naval Inspector General (NAVINGEN) conducted a command inspection of the Naval Postgraduate School (NPS) from 7 to 16 March 2016. This was our first command inspection of NPS since June 2012, and for several areas, a follow-up from a Staff Assist Visit (SAV) conducted in August 2015.

NPS is a highly dedicated, professional team, executing a complex educational mission to provide relevant and unique advanced education and research programs to teach graduate level education with advanced research, increase the combat effectiveness of the naval service, and enhance the security of the United States. It serves an important role as a hub of naval innovation, coordinating with Naval Research Laboratory and other graduate level educational institutes, and staying at the forefront of technology.

We assessed overall mission performance per OPNAVINST 5450.210D, Naval Postgraduate School Missions and Functions, and SECNAVINST 1524.2C, Policies Concerning the Naval Postgraduate School, and other laws, policy, and regulations. We paid particular attention to formal actions and assessments taken after our 2012 command inspection. We assessed compliance with Navy administrative programs; facilities, safety and environmental compliance; security programs; Inspector General Functions; and Sailor Programs under the purview of senior enlisted leadership. Additionally, we conducted surveys and focus group discussions to assess the quality of work life (QOWL) and home life (QOHL) for Navy military and civilian personnel.

Established in 1909, NPS provides relevant and unique advanced education and research programs to increase the combat effectiveness of commissioned officers of the naval service to enhance the security of the United States. In support of this mission, and to sustain academic excellence, NPS and the Department of the Navy (DON) foster and encourage a program of relevant and meritorious research designed to meet the needs of the Navy and Department of Defense (DoD) while building the intellectual capital of the NPS faculty. NPS fulfills the graduate education needs of the DON, DoD, and U.S. Government through:

- In-residence and Distance Learning courses
- Master's, Ph.D., Engineering, Master of Business Administration (MBA), Executive MBA, and other graduate programs
- Subspecialty and professional education
- Professional certifications
- Joint Professional Military Education
- Civilian Institutions Programs

MISSION PERFORMANCE

The Mission Performance Team used survey and focus group responses, document review, and face-to-face interviews to assess the Naval Postgraduate School's (NPS) ability to accomplish its mission per OPNAVINST 5450.210D, Naval Postgraduate School Missions and Functions;

SECNAVINST 1524.2C, Policies Concerning the Naval Postgraduate School; and other laws, policy, and regulations.

NPS has an excellent reputation and provided significant contributions to combat effectiveness of the Navy and Marine Corps, other Departments and Agencies, and the country at-large through the adaptation of military technologies.

During our 2012 inspection, we observed an overarching problem where NPS failed to follow governing Navy rules, regulations, and laws in the conduct of a majority of its programs, because it would not reconcile its academic philosophies and ideals with the governing standards. Since 2012, a majority of NPS's programs are now in compliance with governing directives, and the school continues to take significant action to adhere to Navy rules, regulations, and laws. Tighter fiscal controls, particularly with respect to reimbursable work guidelines, have been implemented by ASN(FM&C) to assist NPS in achieving compliance and meeting auditability standards.

The following mission areas/programs were reviewed:

- Graduate-Level Education
- Graduate-Level Research
- Relevant Research in Support of Navy and DoD Missions
- Collaboration with other Academic and Corporate Institutions
- NATO Partnership for Peace
- Graduate Education - Distance Learning Programs
- Graduate Education - Civilian Institution Programs
- Joint Professional Military Education Phase 1 Opportunity
- Student Research
- Human Subject Research
- International Student Programs
- Compliance with Fiscal Controls and Guidance
- Information Technology Acquisition
- Continuity of Operations
- Total Force Manpower
- Office of Civilian Human Resources/Equal Opportunity Office
- Military and Civilian Training
- Intelligence-Related Activities

Graduate-Level Education

NPS is meeting its Graduate-Level Education mission. The education is of high quality at relatively low cost, and the faculty provides a necessary blend of academic expertise coupled with DoD, DON, and interagency experience. NPS meets its mission through the effective delivery of defense-based curricula supported by military-relevant graduate research, and adequate classroom and laboratory infrastructure.

Graduate-Level Research

NPS is meeting its Graduate-Level Research mission. Research at NPS is intended to inform and enrich the curricula and help sharpen the skills of students and faculty, as well as ensure the relevancy and currency of the faculty knowledge base. Ongoing research also exposes students to many of the latest processes, materials, and technologies.

The Relevance of NPS Research in support of DoD and DON Missions

NPS actively seeks and maintains robust engagement with the naval service and combatant commanders. NPS also leverages the newly developed Naval Research Program, funded directly by the Secretary of the Navy, which serves as a web-based method to match research demand signals across the Navy to NPS multidisciplinary faculty and student research capabilities. Additionally, multiple Navy type commanders now sponsor in-residence chairs to ensure real-time access to NPS's senior Navy leadership in each community, enabling NPS to align research with type commanders' prioritized needs.

Reimbursable Work Acceptance

NPS has made significant improvements in returning to sound financial management practices since 2012. Following the 2012 inspection, NPS took a series of positive actions to restore accountability in financial management, and ASN(FM&C) implemented iterative controls designed to improve NPS's overall business practices and support DON's auditability requirements. All levels of reimbursable work undergo financial, legal, and manpower assessments and have a properly documented MOA, or other formal support agreement before acceptance of funds. It is clear that NPS leadership, Comptroller, and associated academic schools and departments are working to comply with governing policy and sustain fiscal compliance in the area of reimbursable work.

Collaboration with other Academic and Corporate Institutions

NPS has developed enduring relationships with other colleges and universities, business and industry, federal and local government institutions, and the international community through formal and informal means. NPS facilitates and encourages relevant and meritorious research, which supports the needs of DoD and DON while enhancing the intellectual capital of the NPS faculty.

International Student Programs

NPS serves as an effective instrument of U.S. foreign policy by incorporating over 200 international students from 42 countries. U.S. and international students work closely together on class projects, research, and thesis completion, and benefit from shared experiences.

North Atlantic Treaty Organization Partnership for Peace

NPS is meeting its Peace Training Education Center mission through the development of long-term strategic, smart defense, and partnership capacity building programs that meet the objectives of key stakeholders (DoD and Department of State). NPS provides 15-20 courses per year, most in cybersecurity, energy security, border security, and terrorism.

FACILITIES, ENVIRONMENTAL, ENERGY CONSERVATION, AND SAFETY AND OCCUPATIONAL HEALTH

Facilities

The ability of NPS infrastructure to adequately support the education and research mission will be significantly strained in the intermediate and long-term future. Some of the critical needs are relatively small projects (less than \$5M) related to effectiveness of building enclosures (particularly roofing systems) that could be funded without Military Construction authority, but NPS and Navy-wide facility sustainment accounts are resourced at less than 75 percent of the Department of Defense Facility Sustainment Model. Spanagel, Watkins, and Glasgow Hall house research functions, but chronic roof leaks have impacted research and require mitigation.

Safety and Occupational Health

NPS Safety and Occupational Health (SOH) has notably improved since the 2012 Command Inspection of NPS. The program is well-managed and includes responsibilities for a majority of the elements detailed in the Navy Safety and Occupational Health Program Manual. Noteworthy higher risk programs include fall protection, ionizing and non-ionizing radiation, explosives, lithium batteries, hazardous energy control, weight handling, research and laboratory safety, and unmanned aircraft systems and aviation safety.

Environmental Readiness

NPS closely monitors hazardous materials and hazardous waste; both programs are well managed and well integrated inside NPS and with NSA Monterey. Other environmental program responsibilities are handled by NSA Monterey PWD Environmental Division.

Energy Conservation

NPS actively supports the NSA Monterey Installation Energy Manager, but roles and responsibilities are not codified in writing and the program deviates from the Regional Energy Management Program.

SECURITY PROGRAMS AND CYBERSECURITY/TECHNOLOGY

(b) (7)(e)

Information Security

Information Security (b) (7)(e) governing directives. NPS approved a new command security directive on 7 January 2016, but the directive is not fully implemented. We found several shredders at NPS that do not meet the minimum standards for the destruction of Personally Identifiable Information (PII).

Personnel Security

Personnel Security (b) (7)(e) governing directives.

Physical Security

NPS's Physical Security program (b) (7)(e) governing directives. (b) (7)(e)

Industrial Security

Industrial Security (b) (7)(e) governing directives. While we found improvements since the August 2015 SAV, NPS still needs to implement its industrial security policies and in some cases, enter into formal Security Servicing Agreements with other government agencies who contract companies to perform classified work at NPS.

Operations Security

Operations Security (b) (7)(e) governing directives. While NPS's OPSEC program has demonstrated marked improvement since the August 2015 SAV, the NPS Critical Information List is not effectively implemented by NPS personnel.

Special Security

Special Security Programs (b) (7)(e) governing directives. While NPS conducted a self-inspection of its Sensitive Compartmented Information Facility (SCIF) in 2015, a SCIF inspection is required by the Accrediting Official.

Personally Identifiable Information

PII (b) (7)(e) governing directives. Areas of concern are training, (b) (7)(e) and personal electronic devices that cannot digitally sign or encrypt email.

Cybersecurity

NPS Cybersecurity Program (b) (7)(e) a range of IT acquisition policies, rules, and regulations. In the absence of a written waiver, NPS corporate networks and IT assets are Navy property and are subject to the rules for Navy networks. (b) (7)(e)

RESOURCE MANAGEMENT/COMPLIANCE PROGRAMS

Since the 2012 IG report, NPS has taken significant efforts to achieve compliance and is positioned to fully restore public trust and confidence. The expanded and empowered Office of General Counsel, Inspector General, and Comptroller are critical to keep the momentum going forward as NPS works to clear the remaining backlog of financials. We observed a staff that wants to get it right while supporting the institution's educational and research missions.

Command Managed Equal Opportunity

The NPS Command Managed Equal Opportunity Program is not fully compliant with governing instructions. While we observed a program that meets most of the technical requirements of governing instructions (training, policies, monthly observances), the program is ineffective in

addressing underlying issues regarding command climate. Specifically, corrective action was not timely, and root cause issues still have not been addressed.

Sexual Assault Prevention and Response

The Sexual Assault Prevention and Response (SAPR) Program at NPS is not fully compliant with governing directives. SAPR training for military, civilians and civilians who supervise service members was not completed and specific watchstander and Duty Officer training was not conducted to ensure proper victim response.

Suicide Prevention

The NPS Suicide Prevention Program is not fully compliant with governing directives. Suicide Prevention training for military and civilians was not completed and response protocols for watchstanders were not in place after normal working hours.

Government Travel Credit Card

The NPS Government Travel Charge Card Program is not compliant with governing directives. The NPS travel instruction does not accurately specify the Agency Program Coordinator's (APC) responsibilities, nor does it incorporate changes to the travel program promulgated since 2012. There are no training records for the APC, the numbers of card holders and Approving Officials were not accurate, and required semiannual reports to President, NPS were not made.

Personal Property Management

The NPS Personal Property Management Program is not compliant with governing directives. Since 2012, there have been significant improvements in managing personal property, but reports of survey and associated investigations are not being processed in a timely fashion.

Records Management

The NPS Records Management Program is not compliant with governing directives. NPS has not created a file plan, and has not conducted an annual inventory or triannual self-assessment. There is no records check-in/checkout process for senior personnel and the command does not have a Vital Records Plan.

Individual Medical Readiness

The NPS Individual Medical Readiness (IMR) Program is not fully compliant with governing directives. There is no mechanism for reporting IMR to either the Chief of Staff or Dean of Students.

Physical Readiness Program

The NPS Physical Readiness Program is not fully compliant with governing directives. The Command Fitness Leader (CFL) is responsible for three unit identification codes in Monterey with over 700 service members and only seven Assistant CFLs (ACFL) to assist. This does not meet requirement of one ACFL per 25 service members.

SAILOR PROGRAMS

NPS's Sailor Programs are in compliance with Navy standards, with one exception. NPS does not have a local Command Indoctrination Program; rather, NPS utilizes a check-in sheet in lieu of Command Indoctrination. Recommendations for compliance are annotated in the full report.

SURVEY AND FOCUS GROUP FINDINGS

Survey and focus group data indicated the QOHL at NPS is higher than the historical echelon 2 command averages. QOWL is lower than the historical echelon 2 command averages. Manning/manpower, acquisition/procurement, communication, policies/processes, leadership, and command climate are perceived to most adversely impact the mission, job performance, and quality of life; NPS's mission has a positive impact on QOWL. Rated on a 10-point scale, the NPS QOWL and QOHL are 6.32 and 8.26, respectively; the corresponding echelon 2 command historical averages are 6.72 and 8.09. Specific comments from focus groups and surveys as well as detailed analysis are included in the appendices of this report.

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Areas/Programs Assessed

Mission Performance

- Mission, Functions, and Tasks
- Graduate-Level Education & Research
- Education Quality
- Student Feedback
- Human Research Protection
- Relevance of NPS Research in Support of DoD and DON Missions
- Reimbursable Work Acceptance
- NPS's Contribution to CNO Design for Maintaining Maritime Superiority
- Academic Integrity
- Collaboration with Other Academic and Corporate Institutions
- Feedback from Curriculum Sponsors
- Joint Professional Military Education
- Distance Learning Programs
- Civilian Institution Programs
- International Student Programs
- Defense Research Management Institute
- Management of the Board of Advisors
- Civilian Human Resources
- Training
- Equal Employment Opportunity
- Continuity of Operations Plan
- Intelligence-Related Activities

Facilities, Environmental, and Safety

- Facilities Management
- Safety and Occupational Health
- Environmental Readiness
- Energy Conservation Program

Security Programs and Information Assurance

- Information Security
- Personnel Security
- Physical Security
- Industrial Security
- Operations Security
- Special Security Programs
- Personally Identifiable Information
- Cybersecurity/Information Technology Acquisition and Network Management

Resource Management/Compliance Programs

- Financial Management
- Legal
- Inspector General Functions
- Managers Internal Control Program

- NPS Foundation
- NPS Gifts
- Command Managed Equal Opportunity
- Sexual Assault Prevention and Response
- Suicide Prevention
- Government Travel Charge Card
- Personal Property Management
- Records Management
- Individual Medical Readiness
- Individual Medical Readiness
- Physical Readiness

Sailor Programs

- Command Sponsorship
- Command Indoctrination
- Career Development Board
- Sailor Recognition Program
- CPO 365

Observations and Findings

The Naval Inspector General (NAVINGEN) conducted a command inspection of the Naval Postgraduate School (NPS) from 7 to 16 March 2016. This was our first command inspection of NPS since June 2012, and for several areas, a follow-up from a Staff Assist Visit (SAV) conducted in August 2015. The team was augmented with subject matter experts, including personnel from Assistant Secretary of the Navy (Financial Management and the Comptroller) (ASN(FM&C)); Naval Audit Service (NAVAUDSVC); Navy International Programs Office (NIPO); Office of the Chief of Naval Operations, Navy Total Force Manpower, Training, and Education (MPT&E) division (OPNAV N1B1); Naval War College (NWC); Deputy Assistant Secretary of the Navy for Safety (DASN(Safety)); Department of the Navy (DON) Office of General Counsel (OGC); Naval Criminal Investigative Service (NCIS); Naval Facilities Engineering Command (NAVFAC); Space and Naval Warfare Systems Command (SPAWAR); and Office of Civilian Human Resources (OCHR).

We assessed overall mission performance, paying particular attention to formal actions and assessments taken after our 2012 command inspection, and compliance with Navy administrative programs; facilities, safety and environmental compliance; security programs; Inspector General Functions; and Sailor Programs under the purview of senior enlisted leadership. Additionally, we conducted surveys and focus group discussions to assess the quality of work life (QOWL) and home life (QOHL) for Navy military and civilian personnel (Appendices A-C refer).

MISSION PERFORMANCE

The Mission Performance Team used survey and focus group responses, document review, and face-to-face interviews to assess the NPS's ability to accomplish its mission per OPNAVINST 5450.210D, Naval Postgraduate School Missions and Functions; SECNAVINST 1524.2C, Policies Concerning the Naval Postgraduate School; and other laws, policy, and regulations.

Our overall assessment is that NPS is executing its mission, and is well positioned to implement the Chief of Naval Operations (CNO) Design for Maintaining Maritime Superiority (referred to from this point forward as the "Design"). It was evident throughout the course of our inspection that NPS is exercising due diligence to follow governing Navy rules, regulations, and laws in the conduct of the majority of its programs. NPS has taken numerous corrective actions since 2012 to establish and sustain a culture of compliance in order to regain public trust and confidence. While we observed that the NPS workforce is guardedly optimistic, our pre-event surveys and focus group results suggest that a high degree of tension and uncertainty remains. NPS would benefit from more effective and meaningful communication regarding the Chief of Naval Operations (OPNAV) and the Assistant Secretary of the Navy (ASN), Financial Management & Comptroller (FM&C) process to determine the NPS workforce end strength reimbursable work approval processes.

NPS has an excellent academic and research reputation and provides significant contributions to combat effectiveness of the Navy and Marine Corps, other Departments and Agencies, and

the country at large through the adaptation of military technologies. Since 2001, NPS answered the nation's call and experienced a period of significant growth and expansion in student population and degrees conferred.

During our 2012 inspection, we observed an overarching problem where NPS chose to not follow governing Navy rules, regulations, and laws in the conduct of a majority of its programs, because it did not reconcile its academic philosophies and ideals with the governing standards. Since 2012, a majority of NPS's programs are now in compliance with governing instructions, and the school continues to take significant action to adhere to Navy rules, regulations, and laws. Tighter fiscal controls, particularly with respect to reimbursable work guidelines, have been implemented by ASN(FM&C) to assist NPS in achieving compliance and meeting auditability standards.

The following mission areas/programs are well executed:

- Graduate-Level Education
- Graduate-Level Research
- Relevant Research in Support of Navy and DoD Missions
- Collaboration with other Academic and Corporate Institutions
- NATO Partnership for Peace
- Graduate Education - Distance Learning Programs
- Graduate Education - Civilian Institution Programs
- Joint Professional Military Education Phase 1 Opportunity
- Student Research
- Human Subject Research
- International Student Programs
- Compliance with Fiscal Controls and Guidance
- Information Technology Acquisition
- Continuity of Operations
- Total Force Manpower
- Office of Civilian Human Resources/Equal Opportunity Office
- Military and Civilian Training
- Intelligence-Related Activities

Graduate-Level Education

NPS is meeting its Graduate-Level Education mission, as stated in 10 CFR 605 section 7041, as well as OPNAVINST 5450.210D. The evidence overwhelmingly supports our observation that NPS is meeting its primary mission of providing graduate education to naval officers. The education is of high quality at relatively low cost, and the faculty provides a necessary blend of academic expertise coupled with DoD, DON, and interagency experience. NPS's Graduate-Level Education is geared towards professional performance consistent with requirements of other individual services, DoD, and foreign governments, in addition to providing executive and continuing education programs that support innovation and career growth. NPS meets its

mission through the effective delivery of defense-based curricula supported by military-relevant graduate research, and adequate classroom and laboratory infrastructure. Additional support elements include a writing center, a pedagogical improvement center, a robust information technology (IT) and Communications Services Center that facilitates sensitive and classified research, and multi-service and multi-national connections that NPS students are afforded during their academic experience. For those students arriving at NPS without prerequisite skills or preparation, a robust, non-credit remedial program is provided.

Programs offered at NPS are delivered through the four principal graduate schools: the Graduate School of Operational and Information Sciences (GSOIS), the School of International Graduate Studies (SIGS), the Graduate School of Business and Public Policy (GSBPP), and the Graduate School of Engineering and Applied Sciences (GSEAS). The academic year is based on a quarterly system that supports a year-round student experience and provides time for faculty to focus on research efforts. While both master's and doctoral degrees are offered at NPS, the vast majority of degrees conferred each year are master's degrees; doctoral degrees represent less than 3 percent of degrees conferred annually. A total of 114 doctoral candidates are currently studying at NPS, with military students making up approximately half that population. NPS supports the Navy's Permanent Military Professor Program by educating a small number of those officers who have been selected for the program. Upon completion of their doctorate program, the officers commence their instruction duties either at the Naval War College, the U.S. Naval Academy, or at NPS.

Education Quality

NPS meticulously maintains its high academic quality through a variety of means to include the careful selection of accomplished faculty, rigorous accreditation processes, curriculum sponsor reviews, and external institution peer reviews. NPS actively recruits faculty personnel from other top tier academic institutions, and all tenured/tenure-track faculty members have doctoral degrees in their discipline.

Figure 1 shows student attendance and degrees awarded from 2001-2015, depicting a steadily increasing NPS student throughput over the past decade and a half. For example, in Academic Year 2014, NPS conferred 1,411 degrees with a greater than 90 percent graduation rate for in-residence students and a 79 percent graduation rate for Distance learning students. While the in-residence student population oscillated over the last 15 years, there is a steady rise in the number of Distance Learning students enrolled at NPS. Distance Learning is now a key component of the NPS business model in response to today's Navy education needs.

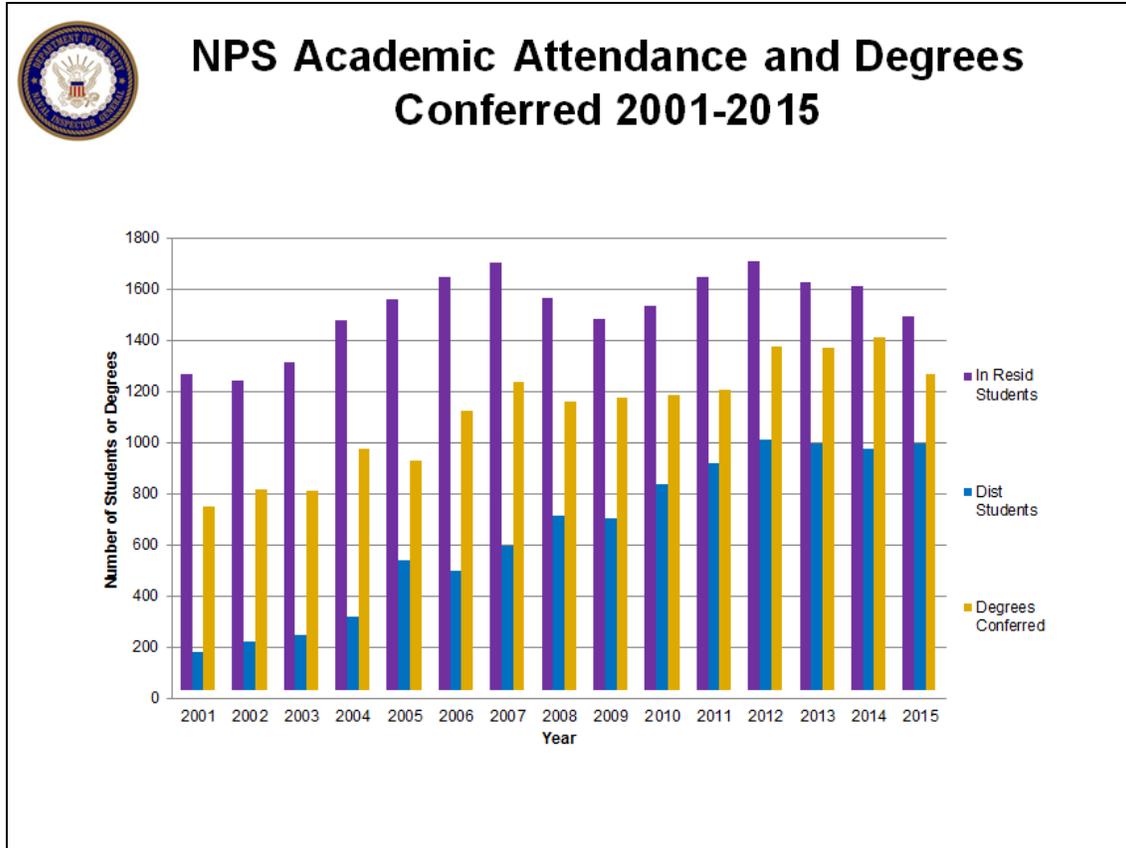


Figure 1. NPS Academic Attendance and Degrees Conferred, 2001-2015

NPS is an accredited university, examined by four distinguished academic entities:

- The Senior College Commission of the Western Association of Schools and Colleges (WASC) (Accreditation in 2011)
- The GSBPP is accredited by the Association to Advance Collegiate Schools of Business (AACSB) (Accreditation in 2015)
- The GSEAS Electrical, Systems, Mechanical, and Astronautical Engineering degree programs are accredited by the American Board of Engineering and Technology (ABET) (Accreditation in 2014)
- The Master of Business Administration (MBA) program and the Master of Science in Management program are accredited by the Network of Schools of Public Policy, Affairs, and Administration (NASPAA) (Accreditation in 2015)

NPS conducts biennial curriculum reviews with Major Area Sponsors (MAS) as the primary way to ensure both relevance and customer needs. Highlights of sponsor feedback are discussed later in this report. The curriculum review process includes revision or validation of Core Skills Requirements and Educational Skills Requirements to reflect current and future stakeholder and MAS graduate education requirements. This dynamic process includes NPS, MAS, subject matter experts, and stakeholder participation throughout the two-year period between formal

reviews. During this period, action items from previous reviews are completed and appropriate data, such as alumni surveys, accreditation documents, and other materials are collected.

In 2014, the National Academy of Sciences (NAS) gave NPS a positive review in their report titled "Review of Specialized Degree-Granting Graduate Programs of the Department of Defense in STEM and Management." In the NAS report, they concluded "...NPS is a quality educational institution with relevant and robust research enterprises that enhance its educational mission. It is an intellectual asset to its respective Service, DoD, and the nation. Its broader value proposition deserves the recognition by and full support of DoD."

Further, NPS instituted the following measures to sustain its academic quality:

- Program reviews by peer graduate institutions every five years
- A graduate exit interview process
- Continuous assessment of its student-to-faculty ratio

Student Feedback

Student feedback is one of the several ways NPS measures academic effectiveness. We reviewed NPS student feedback survey results for the previous nine years (2007-2015). Response rates are slightly higher for students in-residence (66.5 percent; n=3,340) than for Distance Learning students (61.5 percent; n=644). We included both groups in our analysis.

NPS survey results clearly indicate enduring positive faculty-student interaction in the areas of teaching, availability, advising, and contributing to student success. NPS student survey results and graduate exit surveys indicate that the compliance challenges documented in our 2012 report have not substantively impacted the education mission or student quality of life. This is a testament to an exceptional level of professionalism resident in the NPS faculty and staff.

NPS student survey results document the following predominant (90 percent or higher) student perceptions:

- NPS faculty is dedicated to teaching and ensuring student success (NPS core mission)
- NPS faculty involves students in active and participatory learning
- NPS faculty is well-qualified to teach defense relevant curriculum
- NPS instruction and research enhances U.S. and allied armed forces combat effectiveness
- NPS is committed to curricula and research that enhance combat effectiveness
- NPS maintains a unique defense oriented environment resulting in more relevant educational experience that would have been provided at a civilian institution
- NPS curriculum is related to national defense
- NPS education is relevant to future assignments and responsibilities
- Theses and capstone projects are useful contributors to combat effectiveness and/or other national security needs

We conclude that NPS is continuing to provide the Navy with high quality education programs based upon in-depth analysis of multiple measures and our inspection findings.

Graduate-Level Research

NPS is meeting its Graduate-Level Research mission as stated in OPNAVINST 5450.210D. Figure 2 shows NPS funding, research work, and faculty at NPS from 2001 through 2015.

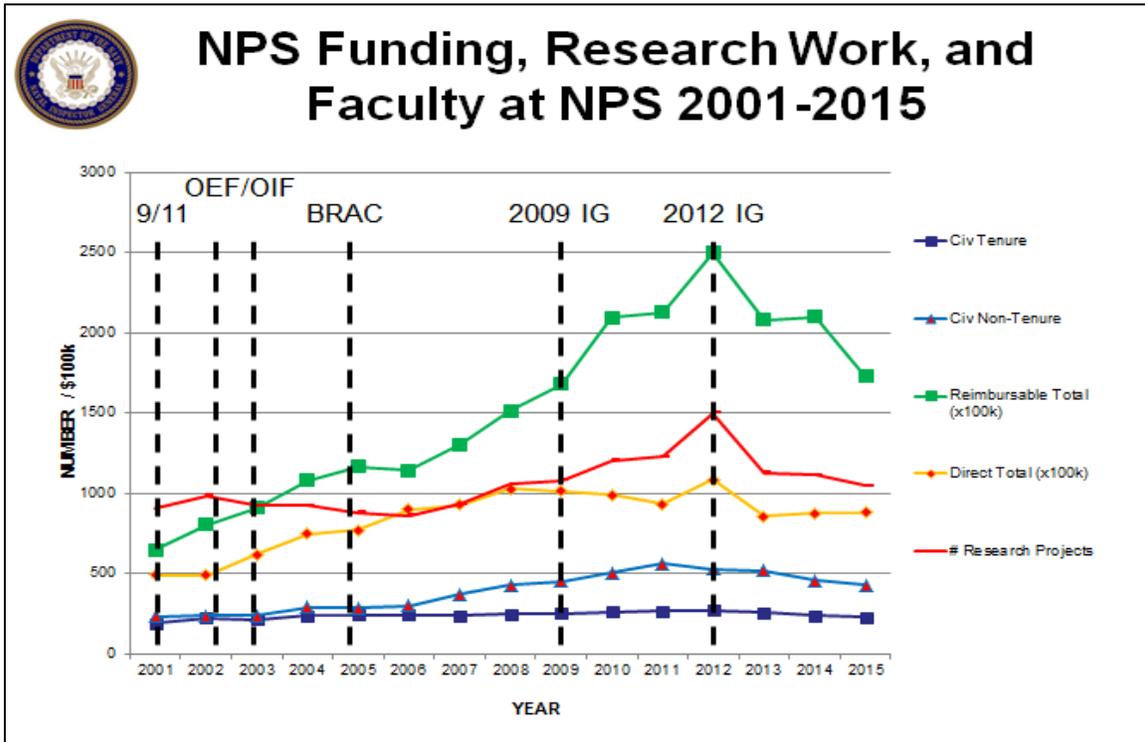


Figure 2. NPS Funding, Research Work, and Faculty at NPS, 2001-2015

Reimbursable work is the primary driver behind the uptick in NPS business over the past 15 years. The number of non-tenure track faculty and research projects at NPS tracks with reimbursable dollars displayed in Figure 2. In 2008, NPS published the Strategic Plan – 2008, Vision for a New Century. One of the strategic plan goals was to broaden research in national security; NPS achieved this goal based upon our research project portfolio review for 2008-2015.

During our interviews, the NPS faculty reported that the conduct of research at NPS is intended to inform and enrich the curricula and help sharpen the skills of students and faculty, as well as ensure the relevancy and currency of the faculty knowledge base. This faculty development piece is critical in maintaining a strong reputation and broad-based awareness of the institution. NPS faculty conducting research may subsequently present their research at scientific conferences, seminars, and symposia, in addition to publishing their work. Ongoing research also exposes students to many of the latest processes, materials, and technologies. A number of research projects yield technology transfers from sponsors to DoD/DON through a formalized technology transfer process via Cooperative Research and Development

Agreements (CRADA) and other vehicles, which allow partnering of federal and private organizations on research projects of mutual interest.

Civilian faculty members are typically compensated over a nine-month vice 12-month period, which is consistent with many civilian institutional models. The NPS policy regarding appointment, promotion, salary, and tenure of civilian faculty members stipulates that faculty members are retained in a non-pay status during the intercessional period each academic year; they are free to pursue study, research, other professional developments, or other occupations compatible with their status as NPS faculty members. This arrangement encourages civilian faculty members to compete for research dollars each year. Currently, over 120 individual sponsors provide funding for research being conducted by NPS. This research includes basic and applied research, fleet support, and CRADAs covering all level of classification. Research also includes a number of efforts at NPS's research institutes and centers, which apply interdisciplinary research to military challenges while also facilitating degree programs and delivering executive and continuing education. These research institutes and centers include the following:

- Cebrowski Institute, which focuses on information strategy and tactics
- Modeling, Virtual Environments and Simulation (MOVES) Institute, which includes three-dimensional visual simulation, human performance engineering, and combat modeling
- Center for Interdisciplinary Remotely Piloted Aircraft Studies (CIRPAS), which utilizes remotely-piloted aircraft and ground-based radars for research involving oceanography and meteorology
- Consortium for Robotics and Unmanned Systems Education and Research (CRUSER), which seeks innovative approaches to research and education collaboration
- Joint Interagency Field Experimentation Program to assess, develop, counter, and exploit emerging capabilities and examine dual capabilities

Going forward, DoD could benefit from more collaborative research efforts between NPS, the Air Force Institute of Technology (AFIT), and the Uniformed Services University of the Health Sciences, since defense-related research frequently overlaps. Each institution possesses unique facilities, faculty, and technical expertise that when employed together, can produce more innovative, effective, and efficient research for DoD and DON.

Human Research Protection

Human Research Protection at NPS is compliant with 32 CFR 219, Protection of Human Subjects; DoDI 3216.02; Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research; and SECNAVINST 3900.39D, Human Research Protection Program. Additionally, we found NPS's Scientific Review Process compliant with 32 CFR 219.111, Criteria for IRB (Institutional Review Board) Approval of Research.

NPS is appropriately educating faculty and students on human research protection requirements. We reviewed recent NPS assessments in this area to include the DON Human Research Protection Program (HRRP) inspection report dated 15 June 2012 and the subsequent

assist visit report dated 2 December 2015. At the time of our inspection, NPS had completed all corrective actions required by both reports.

NPS communicated that they receive outstanding support from and maintain a strong relationship with DON HRPP. We noted several NPS HRPP best practices during our inspection. Most notable is the HRPP administrative staff's strong customer centric service attitude. NPS faculty and students commented that the proactive assistance by the administrative staff offered significant time savings during the HRPP application process. Additionally, the NPS HRPP IRB Chair and staff develop detailed checklists for every phase of the HRPP process, commencing with pre-proposal stage and concluding with protocol continuance efforts. These checklists provide detailed step-by-step procedures, as well as specific reference material to include appropriate section and paragraph number for each step.

The Relevance of NPS Research in support of DoD and DON Missions

NPS actively seeks and maintains robust engagement with the naval service and combatant commanders (CCDRs) through multiple methods. NPS faculty attends CCDR-hosted annual Security Cooperation Education and Training Working Groups. These working groups solidify relationships with warfighters, maintain currency of information, and determine future research projects. For example, U.S. Pacific Command's China Strategic Initiative is one such example of collaborative work driven by the warfighter and embraced by NPS.

NPS also leverages the newly developed Naval Research Program, which serves as a web-based method to match research demand signals across the Navy to NPS multidisciplinary faculty and student research capabilities. It is funded directly by the Secretary of the Navy (SECNAV), and has steadily grown since its inception in 2013. (b) (7)(e)

[REDACTED]

[REDACTED]

[REDACTED]

Each of these research topics explore SECNAV and/or CNO priorities.

Multiple Navy type commanders now sponsor in-residence chairs to ensure real-time access to NPS's senior Navy leadership in each community. These close relationships enable NPS to tailor research in alignment with type commanders' prioritized needs.

Finally, we observed a lack of close coordination between NPS and the Naval Warfare Development Command (NWDC). This coordination existed in the past, and should be reinvigorated.

Recommendation 1. That NPS re-establish coordination with NWDC to promote increased research and collaboration on Navy-relevant topics of mutual interest.

Reimbursable Work Acceptance

NPS has made significant improvements in returning to sound financial management practices since the 2012 command inspection. We found no examples of deliberate non-compliance with

either policy or regulation. It is clear that NPS leadership, Comptroller, and the associated academic schools and departments are working to comply with governing policy and sustain fiscal compliance in the area of reimbursable work.

Full Time Equivalent Implementation

NPS exceeds the total full time equivalent (FTE) control number (as of our inspection, the outdated FTE control number is 883) for its direct and reimbursable civilian positions. Analysis efforts to determine a relevant, current FTE requirement are ongoing and NPS has not been directed to take active measures (i.e. reduction in force) to reduce workforce levels to within the current control. However, many positions are vacant due to attrition and personnel gaps exist in both the academic and administrative components of the organization. A recent increase in direct (mission-funded) FTEs authorized has allowed NPS to begin critical personnel actions, but it will be some time before new hires can be brought on board.

Between 2012 and 2016, NPS, the NPS End Strength Working Group, OPNAV, and Commander, Navy Installations Command (CNIC) conducted several studies to better assess the FTE required for NPS to execute its core mission and account for the current level of reimbursable work. The results of the studies range from 1,098 to 1,336 FTE.

A Vice Chief of Naval Operations (VCNO) Memorandum for the Record, dated 05 October 2015, The Way Ahead for the Naval Postgraduate School, establishes a VCNO, ASN(FM&C), OPNAV N1, OGC, acting Assistant Secretary of the Navy (Manpower and Reserve Affairs) (ASN(M&RA)), and Deputy Under Secretary of the Navy (Management) agreed upon a way ahead for NPS. Items of interest include:

- Starting in FY17, 594 FTE (497 direct and 97 reimbursable FTE) are approved to allow NPS to meet its core mission
- To the extent supportable and within the resource parameters provided by the Office of the Secretary of Defense (OSD) or others, NPS's mission should remain inherently joint, international, and interagency and include reimbursable work for the educational benefit of warfighters. The final requirement will be based on appropriately documented memorandums of agreement (MOAs) with reimbursable customers, as well as application of an approved work acceptance process for the MOAs
- NPS will continue to use FY15 overhead rates for FY16 since sufficient data was not available by 30 September 2015 from MOAs associated with FY16 reimbursable activities
- Policies, processes and procedures to implement management controls with requisite oversight will be implemented to ensure accountability and auditable results for the full range of mission and approved reimbursable responsibilities
- A working group, consisting of members from ASN(FM&C), OPNAV N1, and NPS will develop a work acceptance process for NPS. The work accepted by NPS must conform to DoDI 4000.19, Support Agreements, and OPNAVINST 4000.84C, Support Agreements, supported by approved business process, system documentation, program management, fiscal compliance, and echelon 1 oversight. This process will be codified

with a work acceptance memorandum to define the type and boundaries of reimbursable work that NPS will be allowed to accept

The plan identified in the VCNO memorandum is reasonable, balanced, and well communicated to NPS leadership. The way ahead takes into account the Navy’s need for NPS to innovate while ensuring the proper accountability required for auditability, public trust, and confidence. We assess that this balance is an important step going forward and provides both NPS and DON a framework to restore full control back to NPS in the future.

Work Acceptance Process

Our 2012 findings cited that the Comptroller did not work directly for the President, identified a culture of resistance with respect to ASN(FM&C) guidance, and a lack of desire to comply with governing regulations and policies. At the time, NPS was not using support agreements as an integral part of managing reimbursable work, nor did they have appropriate internal controls in place to balance financial management with work acceptance.

Following the 2012 inspection, NPS took a series of positive actions to restore accountability in financial management, and ASN(FM&C) implemented iterative controls designed to improve NPS’s overall business practices and support DON’s auditability requirements. Correspondingly, a working group consisting of members from ASN(FM&C), OPNAV N1, and NPS developed a work acceptance process for NPS. NPS is currently adhering to the work acceptance process depicted in Figure 3 and is transitioning to the controls outlined in Figure 4.

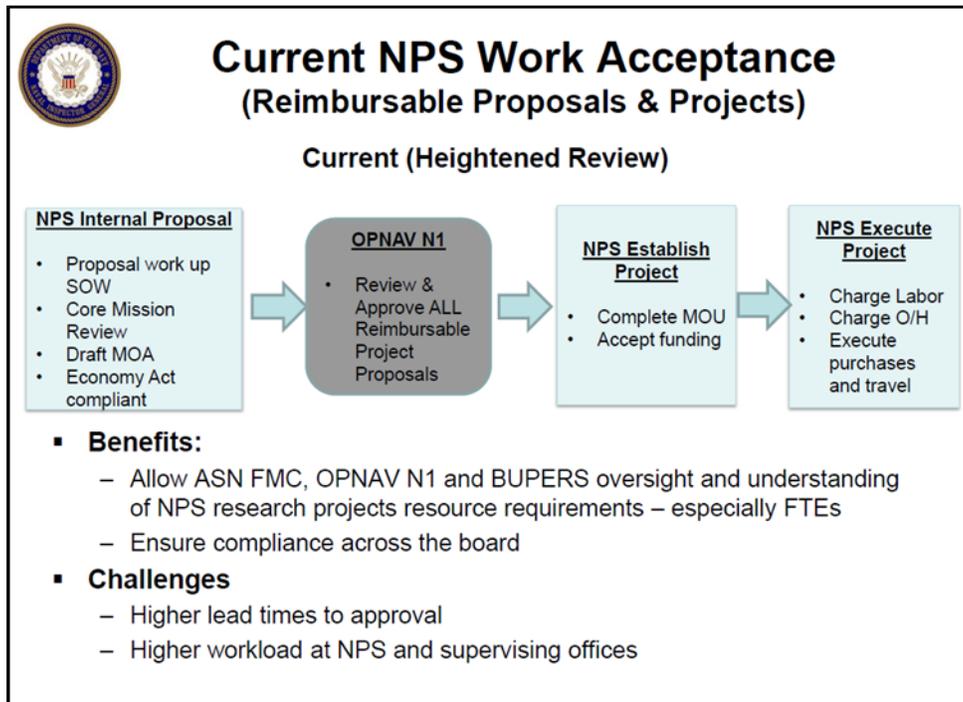


Figure 3. Current NPS Work Acceptance Process

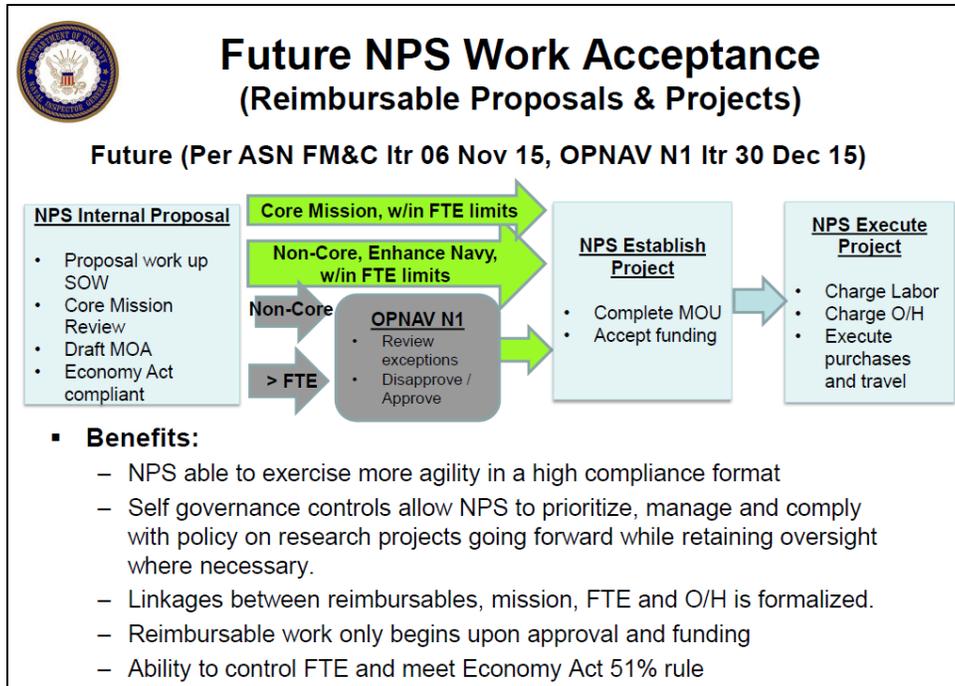


Figure 4. NPS Work Acceptance Process after FY16 FTE Determination

In this construct, all levels of reimbursable work will undergo financial, legal, and manpower assessments and will have a properly documented MOA, or other formal support agreement before acceptance of funds. There will be some challenges for NPS and its customers as the WAP matures, requiring coordinated efforts by OPNAV N1, ASN(FM&C), and NPS. Issue paper D-1 refers.

NPS's Contribution to the Design for Maintaining Maritime Superiority

In addition to exceeding quality and accreditation benchmarks, NPS's educational and research efforts leave it uniquely positioned to advance and support the four Lines of Effort (LOE) of the Design for Maintaining Maritime Superiority. Specifically:

Strengthen Naval Power at and From Sea

NPS provides the fleet with leaders and decision makers who utilize the knowledge gained through education and research. NPS creates specific curricula that focus on cutting edge Navy priorities like Information Warfare, Theater Ballistic Missile Defense, satellite technology, and unmanned vehicles. NPS's research program, Big Ideas Exchange (BIX), and simulation and war-gaming programs facilitate the growth of ideas into tactical development.

Achieve High Velocity Learning at Every Level

NPS's core mission is positioned to respond to the ever-changing operational landscape of its curriculum sponsors; this in turn gives both NPS and the Navy the agility to remain at the leading edge of innovation. NPS includes the Design in every aspect of its curricula, and provides a safe environment to cultivate innovation, adaptation, and critical assessment. NPS's wide array of courses (resident, distance learning, executive education, short courses, mobile

education teams, etc.) offer flexible and tailored learning experiences for a diverse, dispersed, and deployable student body.

Strengthen our Navy Team for the Future

With over 50,000 graduates, NPS's influence on the Navy of the future is unquestioned. The Navy and Marine Corps' future commanders and commanding officers are studying at NPS today. Additionally, the research being undertaken today will yield innovative solutions to tomorrow's problems, and lead to the development of new weapons and sensors. This, coupled with the NWC's Joint Professional Military Education (JPME) embedded on campus, provide a unique learning environment at considerable cost efficiency.

Expand and Strengthen our Network of Partners

Nearly one of every eight in-residence students at NPS is from the international community; many more attend short courses through the Center for Civil Military Relations and the Defense Resources Management Institute. However, as the CNO notes, the concept of "partners" extends far beyond the international military community. NPS's partnerships with leading scholars, research institutions and labs, industry partners, and the Joint force expands the Navy's influence and connections in ways no other institution can foster. In many ways, NPS serves as an effective instrument of foreign policy, forming relationships to be leveraged across the globe in the future.

Academic Integrity

Academic integrity is a fundamental expectation of all students at NPS and academic dishonesty is not tolerated. NPSINST 5370.4B, Academic Honor Code, articulates the academic honor code, explains honor procedures and the adjudication of honor code accusations, as well as discusses the honor code violation report. This instruction provides a common foundation upon which all students can understand and comply, and its contents are adequately communicated to both students and faculty upon arrival and throughout their time at NPS.

We examined summaries of substantiated academic integrity violations that occurred over the past two years and found the number of violations to be very small (0.5 percent of the student population). A vast majority of these substantiated cases were recommended for academic probation and often the respective students were required to re-write their theses or choose new topics altogether. In an effort to better aid in detecting plagiarism, NPS uses Turnitin (TII) software, an established industry standard software suite. Prior to the summer quarter of academic year 2015, TII was used infrequently and voluntarily, except by the Graduate Writing Center and Thesis Processing Office (TPO), who were regularly running draft papers, draft theses, and final theses through TII on a case-by-case basis. After NPS concluded a pilot study using TII on initial-draft and select final-draft theses during academic year 2015, NPS made use of TII mandatory for the review of NPS initial-draft theses that are publically releasable with no restrictions. Initial-draft theses are now reviewed within six weeks of graduation by the TPO with support from the Graduate Writing Center (GWC), using TII software to identify text copied verbatim from other sources and either not quoted or cited correctly or insufficiently paraphrased and not cited.

Each student, his or her advisors, and his or her department chair are required to sign a Thesis Approval and Release Form (TRAF) prior to their final-draft submission. The student affirms that the thesis, to the best of his or her knowledge, “complies with the NPS Academic Honor Code, including being the original work of the author(s).” The approving faculty members affirm that the thesis, to the best of their knowledge, “meets requirement for completion of degree,” which includes adhering to the Honor Code. NPS evaluators analyze TII reports and categorize by three criteria (no issues, minor issues, and major issues). According to information found on the GWC website, the results produced from the evaluation of student initial-draft theses using TII remain confidential (only known to the student, major advisors, and Department Chair) and are not to be used for punitive action against the student, even if major issues (i.e., 20 or more occurrences of improper attribution, such as sentences, paragraphs, or sections copied directly from works of others and not quoted or cited, or incompletely paraphrased, or paraphrased another person’s ideas without attribution or citation) are uncovered during the initial or near-final (pre-TRAF signature) TII evaluation. Theses found to have major issues regarding originality are required to be evaluated again using TII after the final draft and TRAF are submitted.

If a student’s thesis is again found to have major issues at final review, the student will not be permitted to graduate that quarter, and their thesis will not be finalized for publication by the TPO. Instead, the case is referred to the Deputy Dean of Students for adjudication by an Academic Honor Board.

During interviews, we learned anecdotally that the decision to proceed with using TII to help evaluate all publically releasable initial-draft theses and flagged final theses for originality was made at the Faculty and President’s Council levels. The reasons given for not initiating honor code violation procedures for those students with major issues in their initial-draft theses included the following:

- Initial-draft theses are working documents and have not yet been submitted as final drafts where the student and faculty members attest to the integrity of the completed document
- The faculty recognized that many students had been away from an academic setting for a long time
- Not all NPS departments have a thesis writing course
- The faculty believed that delivering TII results to the advisors would have the likely and necessary effect of promoting greater instruction and oversight for those students presenting problems with proper citation and acknowledgement.

Our interviews with personnel who review student theses indicated that the quality of work submitted to the TPO for the initial and final reviews has significantly improved since the incorporation of TII software review and advising. Available data of major issues supports those observations. Comparing the first mandatory period (summer 2015) to the last completed term (winter 2016), the initial-draft thesis review in summer 2015 resulted in 30 percent of drafts containing major issues as compared to 17 percent in winter 2016.

Recommendation 2. That NPS reevaluate disciplinary processes for students and faculty who violate the Academic Honor Code found in NPSINST 5370.4B.

Recommendation 3. That NPS mandate the use of Turnitin software for the review of all NPS initial-draft and final theses, not just those that are publically releasable with no restrictions.

Collaboration with other Academic and Corporate Institutions

NPS has developed enduring relationships with other colleges and universities, business and industry, federal and local government institutions, and the international community through formal and informal means. NPS facilitates and encourages relevant and meritorious research, which supports the needs of the Navy and DoD while enhancing the intellectual capital of the NPS faculty. NPS accomplishes this mission through the unique synergy created by bringing operationally experienced officer-students together with distinguished, internationally prominent defense-oriented faculty supported by DoD research sponsors. As a Navy-sponsored, defense-focused university, NPS provides agile academic resources and offers a broad mix of faculty capabilities in engineering and applied sciences, information and operational sciences, business and public policy, and national security to include regional affairs and intelligence. Because military operations are increasingly joint and international, NPS recognizes the need for faculty and students to understand, appreciate, and interact with one another and foreign counterparts with the professional sensitivity, intelligence, and expertise that can only come from sustained interaction. External faculty collaboration is encouraged and though challenged in recent years due to the DON approval process, conference attendance continues to occur.

Feedback from Curriculum Sponsors

Prior to our inspection, we asked the sponsors of the various curricula (subspecialty codes) offered at NPS about their thoughts on the impact NPS made to the various subspecialties, and to include any areas where improvements could be achieved. We also asked about the effectiveness of getting graduates into relevant “payback” tours following graduation.

Overall, we found a majority of curriculum sponsors were pleased with NPS’s preparation of officers for relevant tours of duty in the various subspecialty areas following graduation. For example, the Oceanographer and Navigator of the Navy remarked, “the [meteorology and oceanography] curricula are of the highest quality and I cannot understate how important and beneficial to the Navy.” Another sponsor commented, “...the operational aspect of the specific graduate education...is foundational to our operational success.” At least one sponsor indicated the need for their specific subspecialty code has diminished over the past two decades and intends to discuss the future of the program this year.

Sponsors were universally pleased with NPS’s responsiveness and agility in adapting curricula to meet the evolving educational demands, even outside of the normal review cycle. Problems reported were not directly related to NPS, but instead the length of programs versus the community’s graduate-level education requirements to meet a subspecialty code’s core skills.

Control of officer utilization following graduation is beyond NPS's scope of responsibility; however, sponsors generally indicated a high degree of effectiveness in getting the graduates of their programs into appropriate payback tours. We found utilization rates range from approximately 47 percent to 100 percent. However, some communities indicated an overpopulation of qualified officers, which resulted in the decision to not fill student quotas in certain years. Were this trend to continue, and seats were not filled by non-Navy students, some NPS programs could atrophy due to lack of utilization.

Joint Professional Military Education

In partnership with the NWC, NPS provides opportunities for students to complete JPME Phase I as part of their in-residence program. The JPME partnership between NWC and NPS commenced in 1999 and is codified by an MOA, the most recent version signed 30 April 2015. The program is well executed by NWC and is assessed as compliant per SECNAVINST 1524.2C.

Under the NWC-NPS MOA, NPS provides classroom and office spaces, schedules classes, and performs other general support functions while NWC manages the curriculum, ensures accreditation through the Joint Staff, and provides instructor and support staff (18 professors and two administrative assistants). The JPME Phase I program at NPS graduates approximately 75 to 100 students per quarter, with 98 percent of enrollees completing the course of instruction. Naval Support Activity (NSA) Monterey tenant command personnel and other non-NPS command personnel may participate in the program on a space available basis.

Distance Learning Programs

NPS provides numerous graduate education opportunities for officers and civilians whose career paths are not well suited for full time resident education. NPS offers 18 graduate degree programs across GSBPP, GSEAS, and GSOIS via distance learning. NPS distance learning options are compliant with SECNAVINST 1524.2C; OPNAVINST 1520.23C, Graduate Education; and NPS requirements outlined in the annual Fiscal Year Officer Advanced Education Quota memorandum released by OPNAV N12.

Civilian Institution Programs

NPS conducts program administration, management, and resource control for Navy-funded graduate education programs, advanced education, and law education for naval officers attending civilian universities through the Civilian Institutions (CIVINS) Programs Office. CIVINS program execution is compliant with SECNAVINST 1520.7F, Law Education Program, OPNAVINST 1520.23C, and NAVPGSCOLINST 1520.1J, Standard Procedures for Administration and Management of Navy Fully-funded Graduate Education Programs at Civilian Institutions and the Law Education Program. The CIVINS Programs Office funds approximately 140 new students each year, manages an average of 260 total students annually, and maintains Educational Service Agreements (ESA) with 103 U.S. colleges and universities. NPS ensures Navy Personnel Command assigns CIVINS students a Naval Reserve Officer Training Command (NROTC) unit, Navy Operational Support Center (NOSC), or other naval command closest to the respective civilian institution. These NROTC, NOSC, or other units are responsible for student administrative needs and ensuring physical fitness, drug testing, performance evaluations, and

other naval requirements are met. NPS conducts site visits when able and maintains regular contact with supporting units to identify potential gaps in military supervision and administrative support.

The new Fleet Scholars Education Program (FSEP) is expected to strain the minimally manned CIVINS Programs Office, which currently is manned by one Lieutenant, one program manager, and two education technicians. FSEP is a talent management initiative intended to provide graduate education opportunities for select junior to mid-career Unrestricted Line and Information Warfare Corps (IW) officers. Thirty FSEP selectees in 2016 will be able to attend an accredited graduate school of their choice in the continental United States, Alaska, or Hawaii. Warfare community allocations are as follows: Aviation-7; Surface-7; IW-6; Submarine-4; Special Warfare-3; Expeditionary Combat-3. Participants are not required to attend institutions that already have a relationship NPS, which has resulted in additional ESA development requirements. Further, warfare communities have yet to establish program officers and permanent points of contact for the nascent FSEP, resulting in additional CIVINS administrative and program coordination responsibilities.

Recommendation 4. That NPS consider contract employee assistance to assist with initial FSEP implementation to allow for program maturation.

International Student Programs

NPS serves as an effective instrument of U.S. foreign policy by incorporating over 200 international students from 42 countries. The International Graduate Programs Office (IGPO) is responsible for the cultural, social, and academic integration of the international students. The presence of international students at NPS is governed by the U.S. Joint Security Cooperation Education and Training Program. Funding for international students comes from three primary sources: Foreign Military Sales - 64 percent, International Military Education and Training - 28 percent, and Combatting Terrorism Fellowship Program - 8 percent.

International students are currently enrolled in 35 master's degree programs, concentrated primarily in two schools: GSEAS and GSOIS. U.S. and international students work closely together on class projects, research, and thesis completion, and benefit from shared experiences.

The Design aims to "prioritize key international partnerships" and NPS's international students form the foundation of lifelong networks that can be leveraged in the future. NPS International Student Programs reinforce NPS's mission to remain inherently Joint, International, and Interagency.

North Atlantic Treaty Organization Partnership for Peace

NPS is meeting its Peace Training Education Center (PTEC) mission as stated in OPNAVINST 5450.210D. NPS was designated by the Department of State (DoS), as the United States Partnership for Peace Training and Education Center (USPTC) on 26 October 2004. The USPTC Program Office was formally established in 2009 by the NPS Provost to represent the entire

campus and to further promote to U.S. and International stakeholders, the USPTC brand, and associated cross-campus capacity. The USPTC Program Office achieved this through the development of long-term strategic, smart defense, and partnership capacity building programs that meet the objectives of key stakeholders (DoD and DoS). Delivery of content is funded through Navy Education and Training Security Assistance Field Activity since NPS does not have the ability to accept funding from North Atlantic Treaty Organization (NATO).

There are 29 PTECs worldwide (two in the U.S.) that support NATO's policy on partnerships. Most requests for course content from NPS come from NATO desk officers, embassies, and CCDRs. Requests for content occur on a rolling basis, rather than a firm annual plan. NPS provides 15-20 courses per year, most in cybersecurity, energy security, border security and terrorism, with several taught more than once. Nearly all are via mobile teams from NPS, sourced from existing departments, based on content sought. The NATO school in Oberammergau, Germany, is the largest single recipient location, with many offerings spread across Partnership for Peace (PfP) countries. A nine-year support agreement is in place through 2022 that supports a full-time NPS (contractor) employee at the NATO school to coordinate and assist with content delivery. The existing contractor support agreement expires in 2017; consequently, a new contract will need to be competed and executed.

Since content delivery relies on sourcing primarily via existing faculty, there is some risk in the surge capacity available within the institution to maintain "bench strength" if FTEs decrease any further. Additionally, the newly instituted MOA review/approval requirements process and timing will present a challenge, but the NPS team is working on the best way to streamline while maintaining the ability to serve shorter notice requests.

Defense Resources Management Institute

NPS is meeting its mission of direction and supervision of the Defense Resources Management Institute (DRMI) in management education courses, as stated in OPNAVINST 5450.210D. DRMI is sponsored by the Secretary of Defense, and was established in 1965 as a tenant activity with NPS faculty. The DRMI mission is prescribed in DoDI 5010.35, Defense Resources Management Institute (DRMI) that directs a policy guidance council, chaired by the DoD Comptroller, who provides policy, curricula, research, and consultation guidance for DRMI operations, as well as annual course reviews. Most courses offered by DRMI are in-resident courses, and range from one to ten weeks. Roughly one-half of the course participants are international students, with an average enrollment of 800.

Management of the Board of Advisors

NPS is effectively managing the Board of Advisors (BOA) to the President, NPS and President, NWC as required by OPNAVINST 5450.210D. A BOA and two subcommittees operate under an approved charter at NPS in accordance with SECNAV 5420.60J, DON Federal Advisory Committee Management Program, and DoDI 5105.04, Department of Defense Federal Advisory Committee Management Program. OSD reviews and approves BOA membership and both subcommittees annually while the Charter is reviewed and approved on a two-year cycle. The BOA meets annually while NPS and NWC subcommittees meet twice a year. One

subcommittee meeting takes place in Monterey, CA or Newport, RI respectively while the other is concurrent with the annual BOA meeting in Washington, DC. Minutes are generated for all meetings and provided to SECNAV, via the CNO and NPS or NWC President respectively.

DoDI 5105.04 requires that the Designated Federal Official (DFO) that administers the BOA to attend the CMS Federal Advisory Committee Act Course after initial appointment and every 3 years thereafter. The NPS DFO last attended in resident training in June 2011. The DFO has completed online refresher training twice since 2011, and is scheduled to attend the in resident course in August 2016.

Deficiency 1. The BOA DFO has not attended CMS Federal Advisory Committee Act course within prescribed periodicity. Reference: DoDI 5105.4, Enclosure 3, paragraph E3.3.6.

Civilian Human Resource Services

NPS leadership reported that manpower is one of the school's top priorities. The FTE controls in place for NPS discussed in the Work Acceptance Process section of this report will define, and annually redefine, the FTE authorization for NPS. Of interest, NPS re-gained hiring authority for vacancies within the current established FTE limits in February 2016.

We reviewed staffing/recruitment, performance management and awards; civilian training; and the 3R Incentives Program (Recruitment, Relocation, Retention). We found the NPS 3R Program to be compliant with governing directives. At the time of our inspection, NPS had 970 employees, of which 625 were occupying Administratively Determined (AD) positions. Of the 625 AD positions, 225 were tenure-track faculty members and the remaining 400 were non-tenure track faculty members.

Overall, we found that the NPS Human Resources Office (HRO) is making steady progress and has improved in performance and compliance since the 2012 inspection. We found the HR Director is a strategic advisor and actively involved in FTE discussions, strategic planning, and leadership meetings (DCD, Presidential Council). The HR Director has unfettered access and weekly meetings with the President.

The Navy has changed NPS's servicing OCHR office three times in the past four years (from San-Diego to Philadelphia to Stennis); this resulted in HR disruptions during each of the transitions.

Staffing and Recruitment

The NPS HRO works with OCHR Stennis to accomplish various recruitment efforts. The HRO tracks Requests for Personnel Actions so hiring managers and the HRO staff are aware of the recruitment status. The HRO is now incorporated in the Administratively Determined (AD) recruitment process (from the initial request to onboarding of the faculty member), which was one of our 2012 recommendations.

OCHR Stennis Operations Center issues certificates of qualified applicants to NPS hiring managers within 41-48 days, which exceeds the DON's goal of less than or equal to 25 days. This lack of timeliness negatively impacts the selection process because by the time the

applicants are notified they may no longer be available or have accepted another offer of employment. NPS hiring managers are doing well and are making selections within 16-22 days, which is on point with the DON goal of 20 days or less.

In our 2012 report, we documented that many AD positions were misclassified. Based on our 2012 findings, ASN(M&RA) approved the temporary extension of those position appointments in a memorandum dated 21 December 2012, pending a review of their classification. OCHR completed the review in October 2013. As of our inspection, 34 AD positions were still either misclassified or still in contention. Of the 34, nearly all positions still have personnel assigned.

In 2012, we recommended that NPS update their policy regarding appointment, promotion, salary, and tenure of civilian Faculty members (Pink Book). NPS addressed this recommendation and the latest version of the Pink Book was signed on 15 January 2015. With regards to civilian faculty (AD) hiring, NPS does not have a system in place to gather veteran's information during the application process for faculty AD positions; however, while veteran's preference is briefly mentioned in the Pink Book, we found no effective measures in place to ensure veterans' preference is compliant for the AD hiring process.

Deficiency 2. NPS does not have an effective means to adjudicate veteran's preference in civilian faculty hiring. Reference: 5 CFR 302, Employment in the Excepted Service, Section 302.104; and NPS Policy Regarding Appointment, Promotion, Salary and Tenure of Office of the Civilian Members of the Faculty, paragraph 6.

Recommendation 5. That NPS resolve remaining misclassified AD positions as soon as possible.

Performance Management

NPS operates three separate performance management systems for its faculty and staff:

- Individual Performance Management System (IPMS) for GS employees
- Performance Feedback System (PFS) for GS in a bargaining unit
- Faculty Appraisal System (FAS)

The three performance management systems have different end (cycle) dates, which creates confusion. The FAS and PFS systems are manually tracked, increasing HRO staff workload.

A sample of 15 NPS FY15 civilian employee performance plans under IPMS indicated untimely execution within limits established by the IPMS DON Handbook. Of those sampled, 27 percent were untimely at the end of the performance cycle, 98 percent were untimely in the initiation of the performance plan, and 97 percent were untimely with respect to mid-cycle progress reviews.

We reviewed a sample of 15 NPS civilian employee performance plans under the PFS system for FY15. The PFS system does not have an instruction in place outlining required execution timelines of PFS requirements. Of 15 samples provided, 14 (93 percent) were completed and

signed by the employee and manager; however, the PFS performance management system cannot be measured for compliance without governing guidance.

Deficiency 3. NPS does not complete Annual Performance Plans and Annual Appraisals within prescribed timeframes. References: Interim Performance Management System DON Handbook, paragraphs 6b and 6c2b; and NAVPGSCOLINST 12430.2G (CH-1), Civilian Faculty Performance Appraisal System, paragraph 5.

Deficiency 4. NPS does not have written guidance or instruction dictating how the performance cycle and appraisal system should run under the PFS. Reference: 5 CFR 430.102, Performance Management.

Special Act Awards

A sampling of Special Act Awards was not compliant with DON guidance. NPS utilizes Special Act Awards to recognize group or individual efforts that go beyond expected job performance. Special Act Awards are used to recognize exceptional accomplishments, such as an outstanding achievement, and may be given at any time. We performed a spot check of 18-sample justifications for Special Act Awards. The appropriate award amount shall be determined based on the tangible and intangible benefits scales in the DON Civilian Human Resources Manual (CHRM). Of the 18 reviewed, none of the justifications or supporting documents demonstrated the methodology used to calculate the award amount.

Deficiency 5. NPS does not require justification documents for Special Act Awards with the method used to calculate the award amount. Reference: DON Civilian Human Resources Manual (CHRM), Section 451.1, paragraph 4h(3).

Merit Promotion Plan

Though a draft was in existence at the time of our inspection, NPS does not have an effective Merit Promotion Plan in place as required by 5 CFR 335.103, Agency Promotion Programs.

Deficiency 6. NPS does not have an effective Merit Promotion Plan in place. References: 5 CFR 335.103, paragraph (b); and SECNAVINST 12300.9A, Merit Staffing, Placement, and Employment, Enclosure (1), paragraph 6b.

Military and Civilian Training

NPS is not completing individual training requirements for military, civilian, and contractor staff.

Deficiency 7. NPS did not complete applicable mandatory training for the Civilian Workforce. Reference: SECNAVINST 12410.25, Civilian Employee Training and Career Development, paragraph 5h(3).

Deficiency 8. NPS Hiring Managers are not taking the required Merit Systems Principles Training within the required periodicity. Reference: ASN(M&RA) Memorandum for Echelon 1 and 2 Commands dated 26 December 2012, Subj: Merit Systems Principles Training for Hiring Managers.

General Military Training

General Military Training (GMT) is not completed by all military personnel as directed by OPNAVINST 1500.22H, General Military Training Program, and NAVADMINS 264/13 and 202/14,

General Military Training Schedule FY14 and FY15, respectively. NPS did not have the FY14 Fleet Training Management and Planning System report available. FY15 GMT completion rate was 78 percent (Category 1 topics) and 68 percent (Category 2 topics) vice the required 100 percent.

Deficiency 9. NPS did not complete mandatory GMT for FY14 and FY15. References: OPNAVINST 1500.22H, General Military Training Program, paragraph 6d; NAVADMIN 264/13, FY-14 General Military Training Schedule, paragraph 8; and NAVADMIN 202/14, FY-15 General Military Training Schedule, paragraph 5.

Individual Development Plans

Deficiency 10. NPS is not obtaining or tracking Individual Development Plans for its employees. Reference: DoDI 1400.25, Volume 410, DoD Civilian Personnel Management System: Training, Education, and Professional Development, Enclosure 2, paragraph 7h.

Equal Employment Opportunity

The Equal Employment Opportunity (EEO) Program is not fully compliant. NPS does not have a Special Emphasis Program (SEP). SEP is critical to NPS's Affirmative Employment Program as it assures oversight, planning, trigger identification, analysis and barrier eradication.

NPS's EEO official is not integrated into the agency's strategic mission. Not including EEO Program officials during command deliberations prior to deciding strategic workforce planning and recruitment, succession planning, etc. may negatively impact the opportunity toward attracting, developing, and retaining the most qualified individuals.

Deficiency 11. NPS lacks a SEP. Reference: Equal Employment Opportunity Commission (EEOC) Management Directive (MD) 110, Chapter 1, Section VII, Special Emphasis Program.

Deficiency 12. EEO Program officials are not present during command/activity deliberations prior to decisions regarding strategic workforce planning and recruitment, succession planning, selections for training/career development opportunities and other workforce changes. Reference: EEOC MD 715, Federal responsibilities under Section 717 of Title VII and Section 501 of the Rehabilitation Act, Part G (20) Essential Elements B: Integration of EEO into the Command/Activity's Strategic Mission.

Deficiency 13. EEO files are not properly maintained; specifically, files do not include Standard Subject Indicator Codes or disposition directives as required. Reference: SECNAV M-5210.1, Department of the Navy Records Management Program, SSIC 12713, Equal Employment Opportunity Records.

Deficiency 14. NPS does not have an Alternative Dispute Resolution (ADR) Program. References: SECNAVINST 5800.13A, Alternative Dispute Resolution (ADR) Policy and Mission of the DON ADR Program Office, paragraph 9a; and BUPERSINST 5800.1, Alternative Dispute Resolution (ADR) Program for Civilian Employees, paragraphs 4a-c.

Deficiency 15. EEO case files are not prepared, labeled, and tabbed correctly. Reference: EEOC MD 110, Chapter 6, Section VIII, paragraphs a-g.

Deficiency 16. NPS has not designated a Dispute Resolutions Specialist to implement the ADR Program. Reference: BUPERSINST 5800.1, Alternative Dispute Resolution (ADR) Program for Civilian Employees, paragraph 6d.

Recommendation 6. That the NPS Command Deputy EEO Officer be involved with and consulted on the management and deployment of human resources, becomes a regular participant in senior staff meetings, and is regularly consulted on human resource policies, workforce shaping initiatives, and programs.

Recommendation 7. That NPS create electronic files for all EEO and Reasonable Accommodations, in accordance with SECNAV M-5210.1, to promote efficiency.

Continuity of Operations Plan

NPS's Continuity of Operations (COOP) Plan is not fully compliant with OPNAVINST 3030.5B, Navy Continuity of Operations Program and Policy, and SECNAVINST 3030.4D, Department of the Navy Policy for Continuity of Operations Programs. While NPS does not have explicit Mission Essential Functions (MEF), NPS's mission does align with DON MEFs articulated in the SECNAV instruction.

While NPS may not be required to relocate during emergencies, protection of vital research information and associated files is vital to NPS's contribution to the Navy's MEF. NPSINST 3030.1, Naval Postgraduate School Continuity of Operations Plan, requires further procedures related to the protection of vital research information, and further details on the fiscal/resource requirements needed to successfully execute the NPS COOP.

Deficiency 17. NPS has not designated an Office of Primary Responsibility (OPR) and a Continuity Planning Officer (CPO) within the organization for COOP. Reference: OPNAVINST 3030.5, paragraph 7a(2).

Deficiency 18. NPS has not submitted an electronic copy of the Command's COOP and guidance to OPNAV N1 or Deputy Chief of Naval Operations for Information, Plans and Strategy (N3/N5). Reference: OPNAVINST 3030.5, paragraph 7a(1)(n)2a.

Deficiency 19. NPS has not estimated and documented the fiscal requirements to acquire, operate and maintain COOP-related capabilities and facilities. Reference: OPNAVINST 3030.5, paragraph 7a(1)(c).

Deficiency 20. NPS COOP does not address vital records management. Reference: OPNAVINST 3030.5, paragraphs 7a(1)(i).

Deficiency 21. NPS COOP does not consider Public Affairs or Operations Security (OPSEC) provisions and procedures. Reference: OPNAVINST 3030.5, paragraphs 7a(1)(n)5 and 7a(1)(n)7.

Recommendation 8. That NPS identify documents, files, and other material that are vital to the execution of the primary missions of the command and establish procedures to ensure the material remains protected during COOP execution.

Intelligence-Related Activities after the 2015 Staff Assist Visit

During this inspection, we focused efforts to validate corrective actions taken since the August 2015 Staff Assist Visit (SAV) in the area of Intelligence Oversight (IO) as it applies to research conducted at NPS. We reviewed several documents including instructions, research proposals, process and internal control forms, and training materials. The review also included face-to-face interviews with faculty and staff.

Since the August 2015 SAV, NPS implemented the majority of the SAV recommendations, resulting in substantial improvements regarding IO incorporation into NPS research practices, processes, and procedures. Additional positive findings include:

- NPS has included appropriate language in the research proposal routing form to address IO requirements
- NPS identified the IO Advisor (IOA) and Senior Intelligence Advisor (SIA)
- NPS defined roles within the NPS research vetting process
- IO training plans have been developed and pertinent personnel, including leadership, staff, and faculty, are trained and aware of the IO requirements at the appropriate levels
- NPS developed guidance to include IO quick reference material

Overall, NPS established 11 mechanisms that directly improve IO awareness and ensure IO requirements are integrated into the research approval process.

For the SAV recommendations not fully implemented, NPS developed other methods to mitigate our remaining recommendations. Specifically:

- NPS Counsel completed review of IO training materials provided and will attend an IO law course in Aug 2016. Additionally, the NPS legal team is fully aware of the network of lawyers that can be contacted for consultation on IO topics.
- We recommended that NPS include IO vetting verbiage in the NPS instruction 3900.4A, Human Research Protection Program. While the instruction is not yet updated, the overall proposal vetting process has improved and includes other mechanisms, which mitigate the lack of change to this instruction.

Recommendation 9. That NPS include IO vetting verbiage in NPSINST 3900.4A.

Recommendation 10. That NPS publish IO policy that codifies roles and responsibilities, IO decision chain of command, training requirements, IOA advice process checklists, Statement of Agreement for Research Information Security Requirements, and MIC Program flowcharts, and Risk Documents.

FACILITIES, ENVIRONMENTAL, ENERGY CONSERVATION, AND SAFETY AND OCCUPATIONAL HEALTH

Facilities Management

Educational and Research Infrastructure

The NPS Facility Manager is effectively capturing facility requirements and coordinating closely with the NSA Monterey Public Works Department (PWD). He also provides key contributions to the working group of IT, library, and laboratory directors to comprehensively assess current and future needs.

The ability of NPS infrastructure to adequately support the education and research mission will be significantly strained in the intermediate and long-term future. The scoring criteria used to select centrally funded Military Construction (MILCON) and Special Projects prioritizes operational requirements, normally related to direct support of new platforms (e.g. Joint Strike Fighter, Littoral Combat Ship, etc.). For NPS, this may result in a multi-year drought of centrally funded projects. Some of the critical needs are relatively small projects (less than \$5M) related to effectiveness of building enclosures (particularly roofing systems) that could be funded without MILCON authority. Spanagel, Watkins, and Glasgow Hall house research functions, but chronic roof leaks, like the one in a 5th floor electronics laboratory of Spanagel Hall pictured in Figure 5, have impacted research and required mitigations.



Figure 5. Catchment system to drain roof leaks in Spanagel Hall electronics lab spaces.

We recommend consideration of additional facility sustainment and restoration funding to help resolve these basic issues, which are discussed in further detail in the 2016 NSA Monterey Area Visit report.

Safety and Occupational Health

The NPS Safety and Occupational Health (SOH) Program is a well-managed program that includes responsibilities for a majority of the programs detailed in OPNAVINST 5100.23G CH-1, Navy Safety and Occupational Health Program Manual. Noteworthy high-risk programs include fall protection, ionizing and non-ionizing radiation, explosives, lithium batteries, hazardous energy control, weight handling, research and laboratory safety, and unmanned aircraft systems and aviation safety.

The inspection included a thorough review of program documents, including local policies and instructions, third-party program audit results, annual SOH Program self-assessment and correction plan, mishap and hazard logs, employee and student training records, hazardous equipment inventory logs, and laboratory equipment use logs; interviews with SOH program staff, designated program managers, students, and SOH staff from NSA Monterey and PWD Monterey; and site visits to several academic, administrative, and research facilities. While commendable improvements have been made since 2012, the program is not fully compliant due to existing deficiencies. Many of these ongoing deficiencies were self-identified by the NPS Safety Officer, and had not been resolved due in large part to staffing shortages.

Fall Hazards

NAVFAC PWD Monterey identified several fall hazards during a recent survey. The inventory of fall hazards, which requires NAVFAC finalization and communication to NPS for assessment and implementation of controls, was not completed at the time of inspection.

Deficiency 22. NPS has not documented fall hazards, hazard assessments, or recommended controls where NPS employees or students may be exposed to fall hazards or dangerous workplace conditions. References: OPNAVINST 5100.23G CH-1, Paragraphs 1307.a. through c.; NPSINST 5100.1, Paragraph 1205.a. (2).

Non-Ionizing Radiation

Results from a 2007 Radio Frequency (RF) survey include documentation of Hazards of Electromagnetic Radiation to Ordnance and Hazards of Electromagnetic Radiation to People (HERP). NPS had records available for recent HERP evaluations for on-campus RF emitters. While NPS was able to provide recent HERP evaluations, they were unable to provide survey records documenting all hazards of electromagnetic radiation, due in part to delays in receipt of external survey results.

Deficiency 23. NPS was unable to provide 2007 HERP and HERF evaluations and survey records documenting all hazards of electromagnetic radiation. References: OPNAVINST 5100.23 G CH-1 Paragraphs 2218; NAVPGSCOLINST 6055.11.

The RF Safety Officer demonstrated awareness and documentation of the NPS RF microwave emitter inventory, but self-identified an uncertainty of responsibility regarding remote or normally unattended equipment beyond the NPS campus and NSA Monterey (i.e. non-NPS activities, including other universities and off-site collaborative locations). He is working to clarify the responsibility on these items for safe distance separation, posting of warning signs, access control, and other equipment management issues.

Recommendation 11. That NPS, in preparation for the Ten-Year Resurvey Re-certification of NPS RF microwave emitters, identify the commands responsible for safe separation, signage, and physical security of RF microwave emitters at remote locations. References: OPNAVINST 5100.23 G CH-1 Paragraphs 2218 and 2219; NAVPGSCOLINST 6055.11, Paragraph 4.I.

Hazardous Energy Control

At the time of inspection, a draft NPS hazardous energy control instruction had been developed, but not approved or promulgated.

Deficiency 24. NPS does not have or reference a signed hazardous energy control program policy. References: OPNAVINST 5100.23G CH-1, Paragraph 2404.a. (1); 29 CFR 1910.147.

Safety Training

Individual development plans for each member of the NPS Safety team have been established and actively managed to resolve training deficiencies. Employees, faculty, and students receive general traffic safety training during indoctrination and new employee orientation. Records indicated low compliance with requirements for task or demographic specific traffic safety training (e.g. motorcycle safety, American Automobile Association-Driver Improvement Program, duty driver, Alive at 25, etc.). Records also highlighted inaccuracies with personnel currently on board NPS, as some students are subsequently assigned to afloat and operational units that do not use the shore-based Enterprise Safety Applications Management System (ESAMS). Periodic (e.g. quarterly) reviews of training requirements and communication through department safety liaisons should improve compliance and data quality.

Deficiency 25. NPS OSH professionals have not completed required safety training. Reference: OPNAVINST 5100.23G CH-1, Paragraph 0602.d.

Deficiency 26. NPS ESAMS training records reflect inadequate (<20 percent) compliance with traffic and motorcycle safety training. Reference: OPNAVINST 5100.12J.

Recommendation 12. That NPS include a step in their check-in and checkout process to ensure accuracy and currency of ESAMS records.

Environmental Readiness

NPS closely monitors hazardous materials and hazardous waste; both programs are well managed and well integrated inside NPS and with NSA Monterey. The Authorized User List is accurate and thorough, and ordering authority for all HAZMAT has been centralized to the NPS and NSA Monterey HAZMAT Managers, who conduct detailed and timely reviews. Other environmental program responsibilities are handled by NSA Monterey PWD Environmental Division.

Energy Conservation Program

The NPS Energy Conservation Program is not fully compliant. NPS actively supports the NSA Monterey Installation Energy Manager, but roles and responsibilities are not codified in writing and the program deviates from CNRSWINST 11010.1B, Regional Energy Management Program. Additionally, computer monitors in NPS academic buildings are not secured at night, as we observed blue glows around the campus after working hours during our inspection.

Deficiency 27. NPS does not meet tenant responsibilities outlined by instruction. Reference: CNRSWINST 11010.1B, Enclosure (2), paragraph 7.a.(3).

SECURITY PROGRAMS AND CYBERSECURITY/TECHNOLOGY

During the August 2015 SAV, we paid particular attention to Security and Intelligence Oversight.

(b) (7)(e)
[Redacted]
[Redacted]
[Redacted]
[Redacted]

Information Security

(b) (7)(e)
[Redacted]
[Redacted]

The NPS Information Security Program (b) (7)(e) SECNAV M5510.36, Department of the Navy Information Security Program. (b) (7)(e)
[Redacted]
[Redacted]

NAVPGSCOLINST 5510.2F, Naval Postgraduate School Information Security Manual, was signed into effect 7 January 2016 and has been implemented across the command. While the new instruction references use of crosscut shredders from the National Security Agency/Central Security Service (NSA/CSS) evaluated products list, we found a number of the shredders that were not on the list, still in operation, and not compliant with the minimum Personally Identifiable Information (PII) destruction standards, as delineated in SECNAVINST 5211.5E, Department of the Navy (DON) Privacy Program.

Personnel Security

(b) (7)(e)
[Redacted]
[Redacted]

The NPS Personnel Security Program (b) (7)(e) SECNAV M5510.30, Department of the Navy Personnel Security Program. NPS Security has worked closely with its Human Resources Office (HRO) to correct position sensitivity levels in position descriptions and in the Joint Personnel Adjudication System (JPAS) and is staying abreast of investigation requirements.

Physical Security and Antiterrorism Force Protection

(b) (7)(e)
[Redacted]
[Redacted] During our inspection, we found seven additional deficiencies.

NPS's Physical Security program (b) (7)(e) OPNAVINST 5530.14E (CH-2), Navy Physical Security and Law Enforcement Program. (b) (7)(e)
[Redacted]
[Redacted]

(b) (7)(e) found NPS did not have an Antiterrorism Force Protection (ATFP) Program. While NPS has made progress in establishing an ATFP program, NPS's ATFP program (b) (7)(e) compliant per OPNAVINST F3300.53C, Navy Antiterrorism Program.

Deficiency 28. NPS does not have an established physical security policy in place. Reference: OPNAVINST 5530.14E CH-2, Enclosure (1), Article 0102, paragraph a.

Deficiency 29. NPS does not have an ATO designated in writing. Reference: DoDI 2000.16 (CH-2), DoD Antiterrorism (AT) Standards, Enclosure 3, paragraph E3.9.1.

Deficiency 30. The NPS AT plan does not address all required program elements. Reference: DoDI 2000.16, DoD AT Standards, Enclosure 3, Standard 7 (AT Plan).

Deficiency 31. The NPS AT plan has not been fully exercised, making it incomplete. Reference: DoDI 2000.16, DoD AT Standards, Standard 7 (AT Plan) and Standard 23 (AT Training and Exercises).

Deficiency 32. (b) (7)(e)

Deficiency 33. Site-specific Force Protection Condition measures addressed in the NPS AT Plan are not aligned with DoD AT standards or United States Fleet Forces Command (USFF) guidelines. References: USFF Message DTG 211842ZAUG15, Subj: USFF Force Protection (FP) Directive Message 15-233, paragraph 1a; and DoDI 2000.16 (CH-2), DoD AT Standards, Enclosure 4, Standard 22.

Deficiency 34. (b) (7)(e)

Recommendation 13. That NPS install one-way peephole in the entrance door to the Open Secure Storage Secure Room in Glasgow Hall to allow visual confirmation of visitors.

Recommendation 14. That NPS install white noise generators at the Open Secure Storage Secure Room in the Dudley Knox Library.

Industrial Security

(b) (7)(e)

NPS's Industrial Security Program (b) (7)(e) SECNAV M5510.36. (b) (7)(e) NPS made changes to NAVPGSCOLINST 5510.2F and added a required chapter on Industrial Security. Although the new instruction is aimed at developing a formally codified working Industrial Security program, the program has not had time to mature including the working relationships between the Contracting Officer, the Contracting Officer's Representative, and Security Manager.

NPS continues to develop Security Servicing Agreements to formally codify what security functions will be performed by NPS to contractor personnel at NPS who are performing classified work. NPS continues to correct deficiencies and shortfalls in Contract Security Classification Specification Forms (DD Form 254).

Deficiency 35. NPS DD 254s do not include the requirement to include and support Counter Intelligence awareness reporting and training on all classified contracts. Reference: DoDD 5240.06, Counterintelligence Awareness and Reporting (CIAR), paragraph 2c.

Operations Security

(b) (7)(e) [Redacted]

OPSEC at NPS (b) (7)(e) [Redacted]

While NPS now has an OPSEC Program in writing, the program is not yet operationalized. For example, NPS developed a command OPSEC instruction to include a Critical Information Lists (CIL); however, we observed that the CIL was not known by faculty, staff, and students we interviewed.

Special Security Programs

(b) (7)(e) [Redacted]

NPS’s Special Security Program (b) (7)(e) [Redacted] DoD and Intelligence Community (IC) guidance.

NPS has one certified Sensitive Compartmented Information Facility (SCIF) (SCIF ID NV-01-056) that was renovated in January 2015, and has not had an external inspection by Special Security Office (SSO) Navy since June 2009. The Intelligence Community Directive/Intelligence Community Standard (ICD/ICS) 705 Technical Specifications requires external inspection by the Accrediting Official (in this case, SSO Navy) at least every five years. NPS conducted its most recent required annual SCIF self-inspection in 2015.

Recommendation 15. That NPS contact SSO San Diego to arrange an external SCIF inspection to meet ICD/ICS 705 Technical Specifications requirements.

Personally Identifiable Information

NPS’s PII Program (b) (7)(e) [Redacted] governing directives.

Deficiency 36. NPS does not track annual PII training for all employees to include contractors. Reference: ALNAV 070/07, Department of the Navy (DON) Personally Identifiable Information (PII) Annual Training Policy, paragraph 1a.

Deficiency 37. (b) (7)(e) [Redacted]

(b) (7)(e) [Redacted]
[Redacted]
[Redacted]
[Redacted]

Deficiency 38. Multiple shredders at NPS in unclassified spaces are inadequate to destroy PII.
Reference: SECNAVINST 5211.5E, paragraph 8b(1).

Deficiency 39. (b) (7)(e) [Redacted]
[Redacted]
[Redacted]
[Redacted]
[Redacted]
[Redacted]
[Redacted]
[Redacted]

Recommendation 16. That NPS remove non-compliant shredders and replace with shredders that are on the NSA/CSS Evaluated Products List for High Security Crosscut Paper Shredders.

Cybersecurity/Information Technology Acquisition and Network Management

The NPS Cybersecurity Program (b) (7)(e) [Redacted] a range of IT acquisition policies, rules, and regulations. In the absence of a written waiver, NPS corporate networks and IT assets are Navy property and are subject to the rules for Navy networks. (b) (7)(e) [Redacted]
[Redacted]

The following deficiency identified (b) (7)(e) [Redacted]

- (b) (7)(e) [Redacted]
[Redacted]
[Redacted]

The following deficiencies were found during this inspection and are of note:

- NPS is not properly documenting and tracking users with privileged access rights, to include contractor personnel
- NPS does not utilize Host Based Security Systems (HBSS) for its systems and lack approved written waivers to operate without HBSS
- (b) (7)(e) [Redacted]
[Redacted]

Deficiency 40. NPS has 14 individuals in their Cybersecurity Workforce Program who have lost or are seeking new qualifications/certifications required to hold their work positions.

References: DoD 8570-M, IA Workforce Improvement Program of 19 DEC 05, Chapter 4;

SECNAV M-5239 DON IA Workforce Management Manual of May 09, paragraph 2.9; and SECNAVINST 5239.3B, DON Information Assurance Policy of 17 Jun 09, paragraph 7.

(b) (7)(e)

Deficiency 42. Dudley Knox Library SIPRNET email lacks safeguards to ensure that printed emails/materials comply with DoD policy on proper marking of emails and coversheets. Reference: DoDM 5200.1, Volume 1, DoD Information Security Program: Marking of Classified Information, Enclosure 3, Paragraph 17a.

Deficiency 43. NPS does not properly provide adequate Information Assurance Vulnerability Management for all Information Systems under the cognizance of research departments and non-Information Technology and Communications Services (ITACS) systems. Reference: CTF 1010 message, DTG 201810ZJAN15, Subj: CTO 15-01, All Unclassified/Classified Navy Systems Registration in Vulnerability Remediation Asset Manager (VRAM) Requirements, paragraph 5.

Deficiency 44. NPS does not utilize Host Based Security Systems (HBSS) for its .edu network and does not have approved written waivers in place to operate without HBSS. Reference: CTF 1010 message, DTG 091600ZNOV12, Subj: CTF 1010 Communications Tasking Order (CTO) 12-17 Host Based Security System (HBSS) Deployment and Operations, paragraph 4.

Deficiency 45. NPS does not identify, document, track, or report to the DON Chief Information Officer (CIO) the certifications and certification status of all contractors performing Privileged User or Information Assurance Manager functions working in research departments or non-ITACS departments. References: SECNAVINST 5239.3B, Department of Navy Information Assurance Policy, paragraph 7a(7); and DoDD 8570.01, Information Assurance Training, Certification, and Workforce Management, Section 5.9.7.

Deficiency 46. NPS is operating PEDs without the ability to digitally sign or encrypt email. Reference: DON CIO Message DTG: 202041ZAUG07, Subj: DON Security Guidance for Personal Electronic Devices, paragraphs 1 and 3.

Recommendation 17. That NPS determine applicable portions of the command's Information Systems contingency and disaster recovery plan to be referenced in an NPS Command COOP Instruction. Reference: DTG 291600Z FEB 08, Department of the Navy (DON) Contingency Plans and Testing Guidance.

Recommendation 18. That NPS utilize the OPNAV form 5239/14, Automated System Authorization Access Request – Navy (SAAR-N) in lieu of its own Network Account Request (NAR) to capture information regarding user responsibilities and authorized users, as stated in DoDI 8500.01, Cybersecurity, Enclosure 3, paragraphs 19c and 20.

Procurement and Management of IT Resources

NPS (b) (7)(e) a variety of IT Acquisition policies, rules, and regulations. In the absence of a written waiver, NPS corporate networks and IT assets fall under the rules for Navy

networks and are subject to compliance with Clinger-Cohen Act requirements, National Defense Authorization Act (NDAA) of Fiscal Year 2012, Federal Acquisition Regulation, DoD and DON CIO policy requirements.

The NPS Beta Testing/Educational Software License Request process was noted as a best practice during our inspection. The IT and Communications Services Departments, along with the Contracting and Logistics Management Departments, sign the User License Request with the Academic Testing Department for the temporary use of software for testing purposes and ensures that all appropriate feedback is furnished to the original software company and is deleted from the Network upon completion of the testing period.

The following deficiencies were found (b) (7)(e)

- NPS is not following DON Information Technology Procurement Request processes. NPS does not have an approved waiver to deviate from the Navy requirement.
- NPS does not use the DON Application and Database Management System (DADMS) to register and track software. NPS does not have an approved waiver to deviate from the Navy requirement.
- NPS procured servers for their networks and systems without an NDAA server waiver from DoD CIO.

Deficiency 47. NPS maintains numerous single function printers, fax machines, and scanners in academic spaces. References: DON CIO Memorandum of January 25, 2013, Subj: Mandatory Guidance Regarding Management of Department of the Navy Copiers, Printers, Fax Machines, Scanners, and Multi-Functional Devices; DON CIO Memorandum of March 26, 2012, Subj: Policy on Acquisition of Multi-Function Devices (MFD); DoD CIO Memorandum of February 17, 2012, Subj: Optimizing Use of Employee Information Technology (IT) Devices and Other Information Technologies to Achieve Efficiencies.

Counterintelligence Training and Support

Counterintelligence training for NPS personnel (b) (7)(e) DoDD 5240.06, Counterintelligence Awareness and Reporting (CIAR). (b) (7)(e)

Foreign Disclosure

NPS Foreign Disclosure program (b) (7)(e) applicable directives. (b) (7)(e)

RESOURCE MANAGEMENT/COMPLIANCE PROGRAMS

The Resource Management/Compliance Programs Team assessed the following 21 programs and functions. Our findings reflect inputs from survey respondents, onsite focus group participants, document review, direct observation, and face-to-face personnel interviews.

Prevention and Response Compliance Programs

- Casualty Assistance Calls Program
- Command Managed Equal Opportunity
- Hazing Training and Compliance
- Sexual Assault Prevention and Response
- Suicide Prevention
- Voting Assistance Program
- Resource Management Programs
- Comptroller/Financial/Contract Management
- Government Commercial Purchase Card
- Government Travel Charge Card
- Managers' Internal Controls
- NPS Foundation
- NPS Gifts Program
- Overseas Screening
- Personal Property Management
- Records Management
- Command Oversight Functions
- Command Individual Augmentee Coordinator/Deployment Health Assessment
- Inspector General Functions
- Individual Medical Readiness
- Legal, Ethics, Freedom of Information Act
- Navy Alcohol and Drug Abuse Prevention
- Physical Readiness

Overall Resource Management

Since 2012, NPS has taken significant efforts to achieve compliance in a number of resource management programs. Much of this progress can be credited to expanded and empowered OGC, Inspector General, and Comptroller. Maintaining these gains will be critical to keep the momentum going forward as NPS works to clear the remaining backlog of financial and compliance issues from previous inspections. We observed a staff that wants to get it right while supporting the institution's educational and research missions.

Financial Management

NPS has made significant improvements in returning to sound financial management practices since the 2012 inspection. There were no examples of deliberate non-compliance with policy or regulation. While several areas require further improvement, it is clear that the NPS

leadership, Comptroller, and the associated academic schools and departments are demonstrating both a willingness to comply and dedication of available manpower and resources toward responsible financial management.

Legal

The 2012 IG report noted that, “NPS leadership has consistently kept the legal staff away from short and long term planning efforts, which may have contributed to some of the ethical lapses and improper procedures the inspection team noted.” During this inspection, we noted significant improvements. NPS leadership includes legal advisors in planning processes and receives sound legal advice to accomplish the NPS mission.

Inspector General Functions

In 2012, we noted that, “the temporary management of the NPS IG office since February 2010 is unsatisfactory, ineffective and detrimental to the NPS mission.” In 2016, the NPS IG is executing an effective program that assesses the command’s efficiency and compliance with guiding directives. In addition, the synchronization of the inspection program with the Manager’s Internal Control (MIC) Program provides the office greater insight into, and awareness of, program compliance and internal control issues.

Managers’ Internal Control

In 2012, the NPS MIC Program was described as “ineffective” due to little support from NPS leadership. Statements of assurance were found to be inaccurate and training was inadequate. In 2016, we found the MIC Program to be designed and managed to ensure accountability and responsibility at the appropriate level throughout the organization with excellent oversight.

NPS Foundation

A 2013 Naval Audit Service report noted numerous examples of noncompliance in this area, including the level of support and privileges provided to the Foundation by NPS. The OGC recommended that NPS properly memorialize the Foundation’s relationship with NPS, to include entering into an memorandum of understanding (MOU), as well as authorizing and documenting the Foundation’s continued presence on board NSA Monterey. Previous reports also noted numerous deficiencies with the real estate license then in place, as well as concerns with NPS’s provision of support to the Foundation. We found the MOU and the real estate license created since the 2012 inspection to be fully consistent with law and regulation. In addition, extensive and extremely detailed gift and financial records demonstrated a commitment to appropriately segregating the operations of NPS and the Foundation. While the Foundation continues to operate “on board” NSA Monterey, it does so as a completely independent and self-sustaining entity, and NPS’s ongoing relationship with the Foundation is in full compliance with all applicable laws, regulations, and departmental guidance.

Gifts

The 2012 IG report noted numerous examples of noncompliance with the NPS Gifts Program. The 2013 Naval Audit Service report noted noncompliance with gifts of travel specifically, acceptance, execution, and reporting. We found that NPS has established and implemented the necessary processes and internal controls over the management of all gifts. Specifically, NPS has updated all instructions to ensure compliance with SECNAV and OPNAV requirements.

NPS has also developed checklists for gift submissions and a checklist for the Staff Judge Advocate (SJA) to ensure that all requirements for gift acceptance, execution and reporting process are met. NPS has also identified gifts as an assessable unit within the MIC Program. The only area of concern is that NPS does not have a process in place to enable trouble-free acceptance and processing of gift checks (particularly for gifts of travel) drawn on foreign financial institutions and made out in foreign currency denominations.

Recommendation 19. That the NPS Comptroller engage with Navy Office of Financial Operations to confirm the appropriate procedures, if any, for crediting such payments, establish procedures for crediting such payments if none currently exist, and memorialize such procedures in the applicable NPS gift guidance.

The following programs were found to be either not compliant or not fully compliant. Specific discrepancies are discussed below:

Command Managed Equal Opportunity

The NPS Command Managed Equal Opportunity (CMEO) Program is not fully compliant with governing directives. While we observed a program that meets most of the technical requirements of governing instructions (training, policies, monthly observances), the program is ineffective in addressing underlying issues regarding command climate. Specifically, corrective action was not timely, and root cause issues still have not been addressed. NPS sought and received permission to not conduct the FY15 Defense Equal Opportunity Command Survey (DEOCS) in order to work through issues identified in the FY14 survey. The FY16 DEOCS has been administered and NPS is analyzing the results. However, analysis of DEOCS results is lagging and did not meet the 120-day requirement stipulated in OPNAVINST 5354.1F, Navy Equal Opportunity Policy. We do note that the CMEO Program Manager is proactive, sensitive to the culture of the organization and has identified areas to use civilian participation in the command assessment team and command training team.

Recommendation 20. That NPS complete the FY16 command climate assessment and implement corrective actions.

Recommendation 21. That NPS incorporate the Federal Employee View Survey in conjunction with the DEOCS to assess command climate in order to obtain a more holistic and accurate look of the organization's climate.

Sexual Assault Prevention and Response

The NPS Sexual Assault Prevention and Response (SAPR) Program is not fully compliant with governing directives. Our engagement with NPS confirmed that the command is committed to maintaining an environment free of sexual assault (SA) and victims would receive excellent care and support services. NPS effectively had no SAPR Program until the appointment of a new SAPR point of contact in January 2015. The point of contact self-identified many deficiencies and is executing a detailed plan of corrective actions.

There was no evidence of FY14 training completion. FY15 training compliance ranged from two percent for civilians and civilian supervisors of military to 57 percent for military staff and 86

percent for students. Bystander Intervention training compliance was 71 percent for staff and 83 percent for students. NPS is on target to complete both military and civilian training requirements in FY16.

Prior to our inspection, NPS conducted SAPR training for Command Duty Officers (CDO), but not for Officers of the Day (OOD). Response protocols are in place to aid watchstanders during the duty day. However, after normal working hours, there was no requirement for CDOs and OODs who maintain a phone watch from their residences, to have the protocols with them. During our visit, OODs received watchstander training from the Sexual Assault Response Coordinator (SARC).

The President, Chief of Staff, and Dean of Students were not briefed by the SARC within 30 days of assuming command and had not received the Military Rules of Evidence 514 brief from the SJA. This was remediated prior to the inspection.

NPS does not review the Official Military Personnel File (OMPF) of all permanently assigned and newly transferred personnel to determine if any service member has documented FC 91 entries. We do note that the POC created a business card style SAPR response algorithm to aid watchstanders, we consider this a best practice.

Deficiency 48. SAPR training required for military, civilians, and civilians who supervise service members has not been completed. References: OPNAVINST 1752.1C, Chapter 2, paragraphs 15ac.

Deficiency 49. NPS did not conduct formal watchstander training to ensure proper response protocols were in place to respond to reports of SA. References: SECNAVINST 1752.4B, Enclosure (3), paragraph 2c (1), Enclosure (5), paragraph 3a, and Enclosure (10), paragraph 2d.

Deficiency 50. NPS does not conduct a command review of all NAVPERS 1070/887 or FC 91 documents in OPMF for permanently assigned and newly transferred personnel. Reference: OPNAVINST 1752.1C, Chapter 2, paragraph 15ab, and Appendix 2B (page 2B-1).

Recommendation 22. That NPS CDOs and OODs ensure proper SAPR response protocols are available throughout their duty day.

Recommendation 23. That NPS incorporate SAPR in command orientation for all newly reporting personnel.

Recommendation 24. That NPS update NPSNOTE 1301 to reflect current SAPR Victim Advocate (VA) and point of contact responsibilities.

Recommendation 25. That NPS codify SAPR VA support for NSA Monterey in a Memorandum of Understanding.

Suicide Prevention

The Suicide Prevention Program is not fully compliant with governing directives. NPS effectively had no Suicide Prevention Program until the appointment of a Suicide Prevention Coordinator

(SPC) in April 2015. The SPC identified many deficiencies and is executing a detailed plan for corrective actions.

There was no evidence of Suicide Prevention training completion in FY14. FY15 training compliance ranged from 67 percent for military, 84 percent for students, and zero percent for civilian staff and full-time contractors. NPS is on target to complete both military and civilian training requirements in FY16. The NSA Monterey Chaplain provides a suicide prevention brief at student orientation.

NPS conducts training for CDOs and OODs. Response protocols are in place to aid watchstanders during the duty day. Similar to SAPR, after normal working hours there was no NPS requirement for CDOs and OODs to have these protocols with them. Additionally, a crisis intervention plan needs to be established in order to support those who seek help, and take appropriate safety measures for those at high risk.

The SPC implemented a robust suicide prevention webpage that offers suicide prevention training, life skills/health promotion resources and other suicide prevention support and resources. We consider this a best practice.

Deficiency 51. Required Suicide Prevention training for military, civilians, and full-time contractors has not been completed. References: OPNAVINST 1720.4A, paragraph 5a (1), 6h (3), Enclosure 3, paragraph 1.

Deficiency 52. There is no written Suicide Prevention and Crisis Intervention Plan that incorporates identification, referral, and access to treatment and follow-up procedures for personnel who indicate a heightened risk of suicide. References: OPNAVINST 1720.4A, paragraph 5b(1), and Enclosure (3), paragraphs 4, 6, 9, and 11.

Recommendation 26. That NPS incorporate Suicide Prevention training in command orientation for all newly reporting personnel.

Recommendation 27. That the SPC and Assistant SPC complete the Department of Defense Suicide Event Reporting (DoDSER) training.

Recommendation 28. That NPS add Suicide Prevention training to watchstander Personal Qualification Standards.

Government Travel Charge Card

The NPS Government Travel Charge Card (GTCC) Program is not compliant. Since the 2012 IG report, the NPS travel program has come a long way, but still has significant issues with travel card program management. The NPS travel instruction does not accurately specify the Agency Program Coordinator's (APC) responsibilities, nor does it incorporate changes to the travel program promulgated since 2012. There are no training records for the APC, the numbers of card holders and Approving Officials (AO) were not accurate, and required semiannual reports to the president of NPS have not been made. The APC was not aware of and not registered to receive NAVSUP automated travel card policy changes email distribution through the Consolidated Card Program Management Division (CCMPD). An alternate APC was designated

and trained during the inspection. Additionally, the acting travel officer has done a thorough self-assessment, identified areas for improvement, and is implementing significant changes to travel office business practices to bring them in compliance with governing policies.

Deficiency 53. The President, NPS has not completed the required Consolidated Card Program Management Division training or provided a certificate to the APC to be maintained on file. Reference: NAVSUPINST 4650.7 Enclosure (1), chapter 2, paragraph 8a.

Deficiency 54. The NPS APC has not maintained records of training for the President, APC, alternate APC, or all cardholders and does not have a process in place to prompt reminders for refresher training. Reference: NAVSUPINST 4650.7 Enclosure (1), chapter 2, paragraph 8a, and paragraph 9b(2).

Deficiency 55. NPS does not have a system in place to ensure that assigned APCs receive initial training on travel card policy, training on the use of the electronic access system provided by Citibank, and to prompt for refresher training every three years. Reference: NAVSUPINST 4650.7, Enclosure (1), chapter 2, paragraph 8c.

Deficiency 56. The NPS APC is not on the command's check-in and checkout processes. Reference: NAVSUPINST 4650.7, Enclosure (1), chapter 2, paragraph 8d.

Deficiency 57. The NPS APC does not run required command reports and take appropriate actions on their contents. Reference: NAVSUPINST 4650.7, Enclosure (1), chapter 2, paragraph 9d.

Deficiency 58. The NPS APC does not provide travel card program updates to the President at least semi-annually. Reference: NAVSUPINST 4650.7, Enclosure (1), chapter 2, paragraph 9k.

Deficiency 59. NPS cardholders do not notify the APC prior to transfer or termination of employment and ensure proper disposition of their GTCC. Reference: SECNAVINST 4650.21, paragraph 6f.

Deficiency 60. NAVPGSCOLINST 4650.4J requires revision and does not specify the APC's roles and responsibilities accurately, as reflected in the latest GTCC governing instructions. Reference: NAVSUPINST 4650.7, Enclosure (1), chapter 2, paragraph 2.

Personal Property Management

The NPS Personal Property Management Program is not compliant. Since 2012, there have been significant improvements in managing personal property. The Property Manager is executing inventory plans, processes are in place, and continuous improvement initiatives have been developed to capture property as it enters the command and to track custodian turnovers. However, reports of survey and associated investigations are not being processed in a timely fashion. Holding property receipt holders accountable and utilizing the survey, investigation, and approval process should gradually resolve the problem.

Deficiency 61. NPS did not submit initiating documents for DD200 Report of Survey or assign investigating officers for over 500 items of personal property missing since 2014. Reference: SECNAVINST 7320.10A Enclosure (1), paragraph 2d(2) and 7h(2).

Records Management

The NPS Records Management Program is not compliant. The NPS Records Manager's time is split among Deputy CIO duties, various duties within ITACS, and command records manager duties. As most of his time is devoted to IT duties, records management responsibilities are neglected. NPS has not created a file plan, and has not conducted an annual inventory or triannual self-assessment. There is no records check-in/checkout process for senior personnel and the command does not have a Vital Records Plan.

We recognize that Records Management at NPS presents challenges that vary significantly from other echelon 2 commands since NPS must meet both Navy and academic accreditation requirements. We note that there is misalignment with federal records policy requirements and national education accreditation standards as it pertains to the management of graduate and education mission records. NPS needs to develop a records management policy that adopts the most restrictive aspects of both standards.

Deficiency 62. NPS does not have a file plan, demonstrated organization of command records or conducted an annual inventory or triannual self-assessment. Reference: SECNAVINST 5210.8E, Enclosure (6), paragraph 5 and 6.

Deficiency 63. NPS does not have a records check-in/checkout process for senior personnel. Reference: SECNAVINST 5210.8E, paragraph 5u.

Deficiency 64. NPS did not establish safeguards against removal or loss of records. Reference: 44 U.S.C. Chapter 31 § 3105.

Deficiency 65. NPS does not have a Vital Records Plan. Reference: SECNAVINST 5210.8E, Enclosure (6), paragraph 6l.

Recommendation 29. That NPS develop policies to reconcile Navy and graduate education records.

Individual Medical Readiness

The NPS Individual Medical Readiness (IMR) Program is not fully compliant. Although maintaining health and fitness is the responsibility of each individual service member, DoDI 6025.19 states that unit commanders are responsible for monitoring their unit's medical readiness and are "briefed and kept updated on their unit's IMR status..." The local Navy Medical Administrative Unit is proactive in providing service to its supported unit identification codes (UICs) and overall IMR rates for both students and staff are good. However, there is no mechanism for reporting IMR to either the Chief of Staff or Dean of Students.

Deficiency 66. NPS is not meeting the requirement that unit commanders are briefed and kept updated on their units' IMR status to ensure required evaluations, assessments, and other medically related actions are accomplished to improve individual and overall unit readiness. Reference: DoDI 6025.19, Enclosure (2), paragraph 6a.

Physical Readiness

The NPS Physical Readiness Program (PRP) is not fully compliant. Almost all elements of an effective program are being implemented; records are updated in Physical Readiness Information Management System (PRIMS); the Command Fitness Leader (CFL) implemented recent changes to the program; members who fail the Physical Readiness Test (PRT) are enrolled into a Fitness Enhancement Program (FEP) in PRIMS, and the CFL works with the MWR team of personal trainers to conduct FEP sessions several times a week; and PRT results are accurately reflected on FITREPs and evaluations.

The CFL is responsible for three UICs in Monterey, including NPS staff, students, and Naval Support Activity Monterey. There are only seven Assistant CFLs (ACFL) assigned to assist the CFL with over 700 service members. This does not meet the requirement of one ACFL per 25 service members. The CFL is mitigating the effect of insufficient number of ACFLs by conducting the PFA by curriculum thereby limiting the number of people and meeting the intent of the 1:25 ratio.

Deficiency 67. NPS does not have the appropriate number of ACFLs designated for each 25-service members in the command. Reference: OPNAVINST 6110.1J Para 6.j.3

Recommendation 30. That NPS enter into an MOU with NSA Monterey to codify PRP support.

Recommendation 31. That NPS seek an appropriate exception to policy from OPNAV for the number of required ACFLs to support the PRP.

Recommendation 32. That NPS CFL runs the PRIMS PHA report prior to administering PFA.

SAILOR PROGRAMS

Command Sponsorship

The Command Sponsorship Program is in compliance with OPNAVINST 1740.3C, Command Sponsor and Indoctrination Programs. The administrative department properly tracks the orders of prospective gains, assigns the gain a sponsor, and sends Welcome Aboard packages to personnel reporting to the command.

Recommendation 33. That NPS update the Welcome Aboard package delivery mechanism by creating an electronic version of the package and a link on the command web page.

Command Indoctrination

NPS does not have a local Command Indoctrination Program; rather, they utilize a check-in sheet in lieu of Command Indoctrination.

Deficiency 68. NPS does not have an effective Command Indoctrination Program. Reference: OPNAVINST 1740.3C, Enclosure 2, Appendix 2.

Recommendation 34. That NPS update the new personnel check-in sheet to include required points of contact for the mandatory training topics listed in OPNAVINST 1740.3C.

Career Development Program

The NPS Career Development Board (CDB) Program is in compliance with OPNAVINST 1040.11D, Navy Enlisted Retention and Career Development Board. However, we have several recommendations to improve the program.

Recommendation 35. That NPS Sailors sign the CDB worksheet upon completion of the CDB.

Recommendation 36. That NPS publish the upcoming CDB requirements for planning purposes.

Recommendation 37. That NPS retain copies of the pre-CDB questionnaire for reference during follow-on CDBs.

Recommendation 38. That NPS provide monthly CDB status to leadership.

Recommendation 39. That NPS invite additional members to attend CDBs, including civilian supervisors if available.

Sailor Recognition Program

The Sailor Recognition Program is fully compliant with OPNAVINST 1700.10M, Sailor of the Year Program.

CPO 365

The NPS CPO 365 Program is in compliance with MCPON Guidance Memorandum (MGM) #2016 - 01, 2015-2016 CPO 365 Guidance. CPO leadership is fully engaged with the program, and First Class Petty Officers are fully participating.

Appendix A: Summary of Key Survey Results

PRE-EVENT SURVEY

In support of the NPS Command Inspection held from 7 to 16 March 2016, NAVINGEN conducted an anonymous online survey of active duty military and DON civilian personnel from 11 January to 18 February 2016. The survey produced 514 respondents (148 military, 366 civilian). According to reported demographics, the sample represented the NPS workforce with a 3.81 percent margin of error at the 99 percent confidence level. Selected topics are summarized in the sections below. A frequency report is provided in Appendix C.

Quality of Life

Quality of life was assessed using a scale from 1 to 10, where 1 is worst and 10 is best. The overall NPS average QOWL, 6.32, was significantly lower than the historical echelon 2 average, 6.72 (Figure A-1). The overall NPS average QOHL, 8.26, was significantly higher than historical echelon 2 average, 8.09 (Figure A-2).

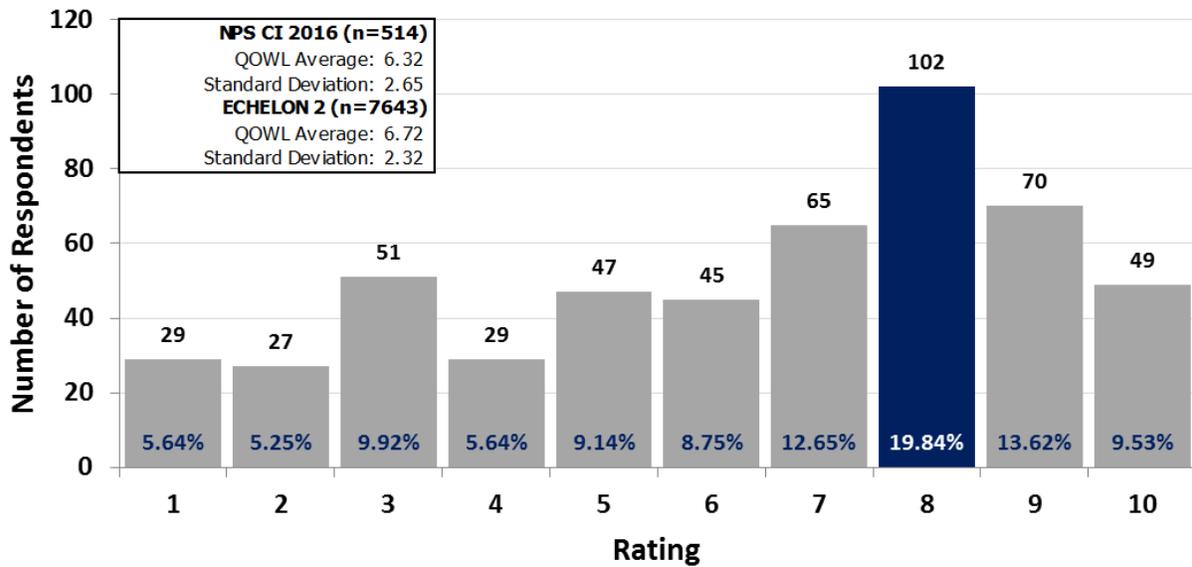


Figure A-1. Distribution of QOWL from the pre-event survey. The x-axis lists the rating scale and the y-axis represents the number of survey respondents. Response percentages for ratings are shown at the base of each bar. Counts for each rating are shown above each bar. The most frequent rating is shown in blue.

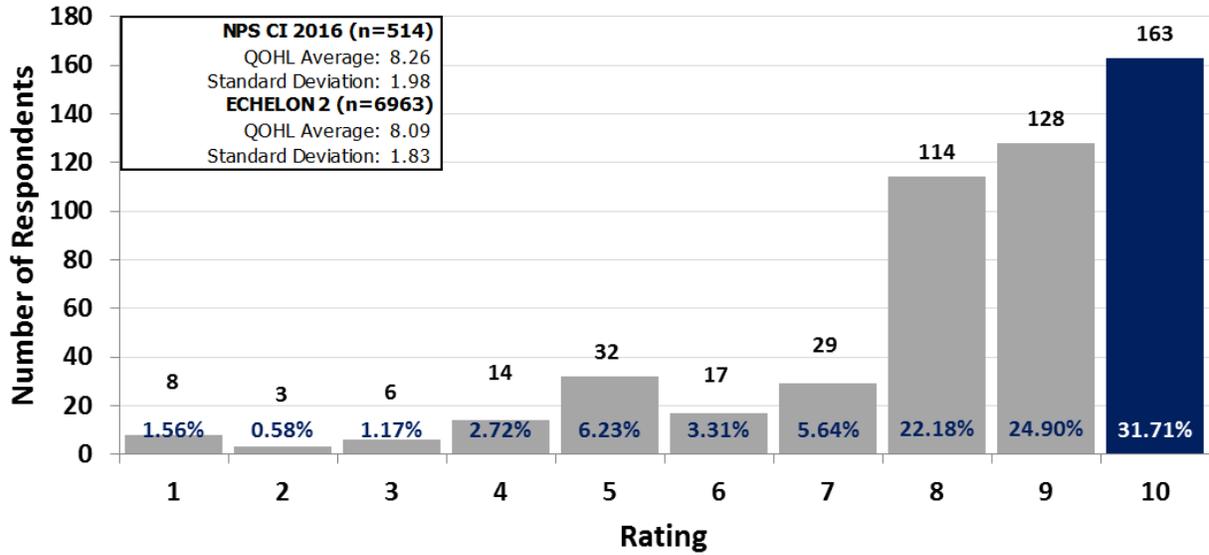


Figure A-2. Distribution of QOHL ratings from the pre-event survey. The x-axis lists the rating scale and the y-axis represents the number of survey respondents. Response percentages for ratings are shown at the base of each bar. Counts for each rating are shown above each bar. The most frequent rating is shown in blue.

The perceived impact of factors on the QOHL rating is summarized in Table A-1. Factors of potential concern were identified by distributional analyses, where 20 percent negative responses served as a baseline. Seven out of eleven factors listed in Table A-1 were significantly higher overall than this baseline. Civilian respondents more often identified these seven factors as negative impacts on QOHL than military respondents (see highlighted percentages in the “Military” and “Civilian” columns of Table A-1). Female respondents more often identified ten of the eleven factors as negative impacts on QOHL.

Table A-1. Negative Impacts on Quality of Work Life Rating

Factor	Overall	Military	Civilian	Male	Female
Job satisfaction	17%	9%	19%	14%	21%
Leadership support	31%	10%	39%	26%	42%
Leadership opportunities	29%	14%	35%	23%	42%
Workload	30%	24%	33%	26%	38%
Work hours/schedule	11%	14%	10%	10%	12%
Advancement opportunities	37%	22%	43%	31%	50%
Awards and recognition	30%	14%	36%	26%	39%
Training opportunities	21%	10%	26%	18%	28%
Command morale	48%	13%	62%	41%	61%
Command climate	43%	10%	57%	37%	55%
Quality of workplace facilities	19%	9%	24%	16%	26%

Notes. Perceived impact of assessed factors on QOWL rating based on negative versus aggregate positive and neutral response. Low percentages are "better." Overall values in bold are significantly different than a 20 percent baseline; higher values in bold indicate significant differences between subgroups.

A follow-on question asked those respondents who reported a negative to elaborate on their response. The dominant themes expressed were a general lack of support, communication up and down the chain of command (also indicated as a negative impact on QOWL in Table A-1), and the desire for leadership engagement and transparency. Examples of participant’s comments include:

“I am not clear what my job is.” “My leadership has no concept of what I do.” “Leadership needs to provide more support to its employees.” “I feel I do not have the support from management to enforce the rules that are in place.” “Better communication, development of strategic goals, more timely feedback on performance.” “It is not clear to me who is my supervisor.” “NPS is suffering from the worst leadership I have seen in [omitted] years of service here.” “There is little to no communication from the President, Provost, and senior management team.” “Leadership does not communicate down. Employees are kept in the dark regarding important decisions or situations.” “There should be a command structure that allows the students to engage on a regular basis with the leadership of the program to which assigned.” “Establishing personal interaction with each employee would help to boost confidence in the supervisor.” “Need a more transparent method of how decisions are made and being inclusive in decision making.”

The “Awards and Recognition” factor included a follow-up question for those who reported a negative impact. The main themes included favoritism and equity of awards. Comments from participants that best represent this factor were best summed by the following comments:

“The academic side of NPS has always had a lesser chance of awards.” “There is a long history of bonuses going only to the most senior members of the organization regardless of their lack

of significant contributions to the command above and beyond their job descriptions.” “There seems to be a bias toward rewarding GS staff while non-tenure track faculty such as research associates and lecturers are rarely recognized.” “I think the awards program is skewed.” “It is difficult to work hard when there is no reward.” “All employees are not held to the same standards.” “Favoritism and nepotism are rampant in my organization.” “No awards/acknowledgements unless you're part of overall old-boys network.” “It seems that GS staff below 11 are not recognized equally with GS11 and up.” “Student evaluations are gender biased, and nothing has been done to correct that.” “A lot of students doing a lot of good things for their fellow students and not much recognition.” “Systemic age discrimination. For example, performance awards are used largely as incentives to retain junior faculty members.” “There are favorites.” “I haven't had one single academic faculty appraisal in three years for my classroom instruction duties.”

The Command Managed Equal Opportunity (EO) Program had a follow-up question for those who reported a negative impact as well. There were participants that commented on discrimination, organizational bias, and the way people treat each other within the organization. Those that commented on discrimination are represented by the following comments. “...there is not a mechanism to deal with the very real problem of older women being hostile towards younger women.” “There is a good old boy network that continues to be in place that discriminates against minorities and females.” “This command has more men than women. And, women discriminate against women.”

A sample of comments concerning the perception of bias includes the following: “There is a lack of women being promoted into leadership roles.” “Minorities and females over 50 hiring in senior level positions is sadly lacking.” “Gender barriers exist and persist.”

A sample of comments concerning the way people treat others: “Instructors sometimes forget to be sensitive to cultural and national backgrounds of students - the international students.” “Some professors treat students differently because he or she is not a native here, in a bad way.” There were several comments from participants about perceived bullying, but their comments were omitted to protect potential identification of participant.

The last question on the survey asks participants to submit comments about other impacts on their QOL. Many participants commented on the perception of a hiring freeze and the impact of vacant positions on their QOWL. A sample of the comments: “Due to the [end] strength and hiring freeze it is almost impossible to go outside and get a qualified person.” “Due to the hiring freeze or limited hires all we are doing is hiring someone across campus to fill a position. But that leaves the other position empty.” “The inability to hire support staff is crippling the academic activities at the school, and continues to damage morale.” “Command is in dire need of hiring actions to satisfy mission requirements.” “We have a serious shortage of instructional and research personnel.”

Overall, participants had a positive response to all the QOHL factors. Participants (56 percent all participants; 61 percent military; 54 percent civilians) indicated that cost of living was a negative impact on QOHL.

Mission Tools & Resources

Table A-2 lists aggregate strongly disagree and disagree response percentages to survey questions probing the adequacy of tools and resources that support the mission. Items of potential concern were identified by distributional analyses, where 20 percent negative responses served as a baseline. The factor “people,” an indication of manpower needs, (45 percent of all participants) was significantly higher than the 20 percent baseline negatively impacting QOHL. Though the factor “training” was above the 20 percent baseline, it was not statistically significant.

Table A-2. Tools and Resources to Accomplish the Mission

Items	Inadequate	Other
People	45%	55%
Training	21%	79%
Workspace	16%	84%
Computer	7%	93%
Software	9%	91%
Internet	7%	93%
Intranet	7%	93%
Equipment	9%	91%
Materials & supplies	12%	88%

Notes. Aggregate strongly disagree and disagree (Inadequate) response percentages to perceptions on the adequacy of mission tools and resources. Smaller percentages are “better.” Inadequate percentages in bold are significantly different than a 20 percent baseline.

Job Importance and Workplace Behaviors

Table A-3 shows other items that respondents reported were impacts to QOWL. Most notable were a significant percentage of respondents that reported they work more hours than they report in a pay period because they cannot complete all assigned tasks during scheduled work hours (52 percent all participants). Each of these factors was also discussed in the comment sections of the survey, of which many are presented in the above discussion.

Table A-3. Other Items That Respondents Reported Negatively Impacts QOWL

Item	%	Responses
Work more hours than I report	52%	F+A
DON civ recruitment process is responsive	48%	SD+D
Adequate time to complete required training	41%	SD+D
Communication down the COC is effective	39%	SD+D
Communication up the COC is effective	36%	SD+D
Local HRO provides timely, accurate responses	36%	SD+D
HRSC provides timely, accurate responses	32%	SD+D
Command attempts to resolve climate issues	24%	SD+D

Notes: Response type: SD+D indicate the degree respondents Strongly Disagreed or Disagreed with a statement. F+A indicates the frequency “F” =frequently; “A” = always. Smaller percentages are “better.” All the above were significantly different from 20 percent baseline.

Appendix B: Summary of Focus Group Perceptions

On 7 and 8 March 2016, NAVINGEN conducted focus groups with various active duty military (64), military spouse (1), and civilian personnel (82) for a total of 147 participants. Each focus group was scheduled for 60 minutes and included one facilitator and two note takers. The facilitator followed a protocol script: (a) NAVINGEN personnel introductions, (b) brief introduction to the NAVINGEN mission, (c) privacy, non-attribution, and basic ground rules statements, (d) participant-derived list of topics having the most impact on the mission, job performance, or quality of life (QOL), and (e) subsequent discussion of participant-derived topics with an emphasis on refinement and understanding of perceived impact. Focus group participants were asked to characterize as major, moderate, or minor the impact on the mission, job performance, and/or quality of life for each topic using a standardized Impact Matrix (See Matrix B-1 below.). Note takers transcribed focus group proceedings, which were subsequently coded by the NAVINGEN staff to protect the confidentiality of participants.

Matrix B-1: Command Inspection Impact Matrix

IMPACT

	Major	Moderate	Minor
Negative	<ul style="list-style-type: none"> ▪ Severe negative impact on command climate or quality of life ▪ Unable to accomplish a mission or task ▪ Accepted substantial risk to accomplish an assigned mission or task ▪ Deferred key mission readiness tasks ▪ Clearly violates law or regulation (e.g., Title 10, U.S.C, 32 CFR) or Navy policy 	<ul style="list-style-type: none"> ▪ Negatively impacts the mission, job performance, or quality of life, but does not meet any of the Major impact requirements 	<ul style="list-style-type: none"> ▪ General distractor that does not meet the Moderate impact standard
Positive	<ul style="list-style-type: none"> ▪ Outstanding aspect of command climate or quality of life 	<ul style="list-style-type: none"> ▪ Positively impacts mission, job performance, or quality of life, but does not meet any of the Major impact requirements 	<ul style="list-style-type: none"> ▪ General positive effect that does not meet the Moderate impact standard

Table B-1 lists focus group topics that were expressed as a major impact on the mission, job performance, or QOL in at least three groups. The overall tone of the focus groups suggested low morale across NPS faculty and staff. Student comments overall suggest much higher morale.

Table B-1. Participant-Derived Focus Group Topics Expressed as a Major Impact on the mission, job performance, or quality of life.

Topic	Impact		
	Major	Moderate	Minor
Manning/Manpower	↓ ↓ ↓ ↓ ↓ ↓ ↓ ↓		
Communication	↓ ↓ ↓ ↓ ↓ ↓ ↓ ↓	↓	
Policies/Process	↓ ↓ ↓ ↓ ↓ ↓ ↓ ↓	↑ ↓	
Acquisition/Procurement	↓ ↓ ↓ ↓ ↓ ↓ ↓ ↓	↓	
Leadership	↓ ↓ ↓ ↓ ↓ ↓ ↓ ↓	↓ ↓ ↓	
Mission	↑ ↓ ↓ ↓ ↓ ↓ ↓ ↓	↓	
Command Climate	↓ ↓ ↓ ↓ ↓ ↓ ↓ ↓		

Notes. Descending order of the number of focus group/interview topics that were expressed as a major impact on the mission, job performance, and/or quality of life in at least three military or civilian groups; colored arrows indicate active duty military (↓) or civilian (↓). An arrow pointing up indicates a positive impact. An arrow pointing down is a negative impact.

Manning/Manpower

The most frequently mentioned topic in the focus groups centered on manning and manpower issues. Specifically, focus group participants indicated in their comments that manning/FTE reductions, heavy workload, hiring delays, and uncertainty of the final NPS FTE have negatively impacted the organization. This uncertainty of FTE and the perception of ever changing organizational processes seem to have influenced the focus group results. Below is a sample of comments made in the focus groups.

A sample of civilian participants: “Thousands of hours spent to solve the issue of the right staff size. Yet meanwhile workload has increased.” “There is an inability to communicate what big Navy wants NPS to be and what NPS needs to be manned at to meet requirement.” “FTE number causes staff to wonder about their position. I would not want to be in that position if I had a family, mortgage, car payment. We have lost talent because of this. We have lost two tenured professors to untenured positions elsewhere.” “The OPNAV N1 distracts time/effort from what we should be doing.” “No one can tell us what our FTE should be.” “We cannot hire someone new for over a year because we are waiting for the final FTE determination.” “Some key positions remain unfilled.” “Workload is high for the amount of people. Hiring freezes have caused positions to remain unfilled.” “Seems to be a disconnect between OPNAV and SECNAV on manning.” “Some AD positions should be converted to GS, but it affects the FTEs. There is a lack of follow-up by OPNAV with regard to this.”

A sample of the comments from military participants: “We are short on lab assistants due to hiring difficulties.” “Sailors are assigned jobs they don’t have required knowledge or skills as result of the manning shortfalls.” “Training is not provided for backfills or replacements because of the lack of manpower. When training is required, individuals are referred to

YouTube for training.” “When civilians depart, military fill the gaps. This is usually for an extended period of time. This creates tension because military are doing civilian jobs.” “Enlisted personnel feel they are being taken advantage to do tasks they are not qualified to do.” “There is a great deal of competing priorities, too much to do, and too many different jobs.” “NPS leadership is failing to address manpower/manning shortages. Their attitude is that military don’t matter because they are here for a short time and civilians will be here forever.”

Communication

Lack of effective, meaningful communications was a common theme across focus groups. Participants indicated that they wished for more information from NPS leadership about the main issues the organization is facing. Below are samples of the type of comments from participants.

Civilian comments: “Process changes are not communicated effectively and efficiently.” “Since the last IG there has been an improvement in communication. The President is communicating better. But it appears impersonal. His communication never reflects our concerns of the toxic work environment.” “No one in leadership [NPS senior leadership] is acknowledging that there are concerns. Communications are more fluffy surface stuff; they are not getting to the meat of the issues.” “There is no information comes from Presidents Council or Dean's meetings.” “Everyone on campus doesn’t always hear what is going on.”

Military comments: “Faculty and military are not communicating effectively. Up and down the chain of command there is a lack of communication. It is difficult to get the word out.” “If we had some more effective meetings with less people, we could make better decisions.” “I think the GS and faculty are not harmonized and the military serve as the reduction gear trying to harmonize them together.” “The biggest friction I have seen is academic freedom. Faculty need to be able to release their findings. This is a big deal to faculty.” “Communication problems can be attributed to school environment.”

Policy/Processes

It is not clear to NPS staff and faculty whether the constant scrutiny by senior echelon leadership and process changes are associated with the 2012 IG visit or changes being implemented Navy-wide. Constant process changes and controls in place to ensure compliance, and lack of meaningful communications degrades NPS’s ability to plan. The faculty and staff expressed that they are unable to plan ahead and are stuck in a reactionary mode due to the shifting demands placed on NPS by higher headquarters.

Civilian comments: “People writing the processes are not the ones performing them.” “Some processes come from Big Navy and people can’t do anything about them.” “Processes are hard to accomplish with lean staff and lack of management buy in.” “Processes change a lot. Processes change at critical points, like the end of the fiscal year.” “Processes seem to be an issue because of ‘some rule’.” “Processes are affected by external systems outside NPS.” “We are losing faculty because of constant changes in processes.” “Faculty is attempting to

minimize the impact of changing processes on students, but student see how constant process change is causing low morale.”

Military comments: “People don't know how to take on reimbursable and reconcile to funding timelines.” “Work acceptance analysis and nothing satisfies the upper echelon. We always have to revisit what is core research. It impacts civilian morale.” “Young guns have to publish to get tenure. Young guns are not going to risk having to deal with the roadblocks. So, they leave.” “We are not losing everybody, just the good faculty that can get jobs at other universities.” “We need to keep good faculty to help our students and the fleet.” “We are always getting ready for the next inspection.” “The 2012 IG inspection flipped the plates upside down.” “You would think that the Navy would send in help. When someone finally asked, the Navy sent in another inspection team rather than help.”

Acquisition/Procurement

Participants commented that the acquisition and procurement process was a negative impact on their QOWL.

Civilian comments: “Takes 2 months to buy something.” “Things over \$150K have to go to San Diego for processing, which takes too long.” “I developed contingency plans since contracting takes so long.” “Before coming to NPS, had unlimited approval authority.” “Don't know when an IDIQ [Indefinite Delivery Indefinite Quantity contract] from 2014 will be approved.” “Sponsors are pulling work and funds because process takes so long [See Mission Section of this report for a full discussion of this topic].”

Military comments: “The FLSC [Fleet Logistics Support Center, San Diego] does not understand our needs.” “Contracting office [local] puts up roadblocks. I have lost money as a result.” “I had to buy glue for my thesis project, it took several months.” “Statement of work goes to contracting [local] and nothing happens. There is no communication.” “It took 6 months for a standard contract to get through [local].” “If funds need to go out, sometimes they sit and we don't always know why.”

Leadership

The discussion of leadership by focus group participants included senior leaders to first line supervisors. These discussions indicated that leadership had a negative impact on QOWL.

Civilian comments: “Inconsistent message from different levels of leadership at NSP.” “Morale has been an issue for 5 years. What happened on top went downhill.” “The big question people are asking is ‘will I have a job tomorrow?’” “Leaders have made people keep answering the same type of questions over and over.” “There is a lack of trust in leadership [local].” “There is a lack of trust in OPNAV.” “Everyone is so micro-managed. It is a challenge to get anything done with this lack of trust.” “There is a lack of communication and they [higher echelon] are continuously changing the process.” “We see it as both a Navy and DoD problem.” “The good news is these issues are having minimal effect on students.” “Micro-managing by Big Navy is making it difficult to do anything but teach. Constantly changing processes with no logic as to

why it's changing. There are no stable processes. Constant change from Big Navy is destroying the organization. There is less trust. The school is paralyzed by the fear of doing the wrong thing."

Military enlisted comments: "Leadership [upper local] doesn't communicate well leading to strained relationships and lack of clarity about 'who is in charge.'" "NPS Leadership is creating group (Military vs. Civilian) factions leading to stress and lack of mutual support." "No formal organization chart is available or manning chart that depicts where Sailors should be assigned. Lack of charts has created a 'mish-mash' in job assignments." "Sailors are not being assigned to career enhancing jobs leading to Sailors separating from service." "There is a disconnect between direction, structure, and chain of command. NPS leadership is not addressing these disconnects and shortfalls." "Civilian leadership is forcing enlisted people to do jobs they have no understanding of or what needs to be done." "There has been favoritism reported. Leaders have been seen golfing with subordinates." "We can't trust supervisors or go to supervisors with issues/problems." "Chief petty officers are non-existent." "Civilian leadership discourages quarters and leadership [military] doesn't participate in quarters."

Mission

Comments from participants indicate that NPS faculty and staff have a deep rooted belief in the NPS mission and recognize the value added to the Naval service. Focus group participants indicated that the mission of NPS was a positive major impact on QOWL.

Civilian comments: "NPS is accomplishing a very unique mission." "We have a unique student population - Good quality students, smart and capable, both national and international students." "Amazing and important research because the things we do change sailors and marines' life. Research is the most important, relevant information students take with them." "The 2012 IG and Big Navy are affecting NPS operation and mission."

Military comments: "Faculty is highly engaged with students. They are great at leading their students to learn critical thinking skills. The faculty is very passionate." "I have not met one [faculty] that is not extremely knowledgeable and helpful." "Faculty in National Security Affairs is outstanding." "Quality of instruction and faculty attitude is a large span. The weak ones are not good at breaking information down to the operational level. One instructor, we just tuned him out." "Some of those [faculty] that are tenured, or are just here to do research are weak. Those that are good really engage with the students." "I had a one professor say whatever you put on my evaluation doesn't matter because I am tenured."

Command Climate

Civilian participants indicated in their focus groups that command climate had a major negative impact on QOWL. Below is a sample of comments made by civilian focus group participants. There are two distinct themes impacting command climate, external forces on NPS and internal forces within NPS.

External forces: "Big Navy needs to be less hostile towards NPS." "Navy Comptroller doesn't trust NPS since 2012 IG report. NPS leadership says we are better, but Big Navy says we are not." "All morale issues go back to the 2012 IG audit." "Morale has been low since the last IG (2012) and people feel they are being punished for the inspection."

Internal forces: "The Organization [NPS] cannot adapt to its unique mission." "People see NPS as a sinking ship, too risky to stay." "Part of the NPS culture is everyone trying to take care of everything." "[A senior leader] refers to NPS as a ship and will be treated that way, but in fact it is an academic environment with academic types of requirements. People are crying about the situation." "People say things are improving, but it is not publicly visible." "Morale level is different in every department." "Morale is dependent on supervisors." "People seem to be depressed. People leave and there are no replacements." "Professors have to do work not required at other academic institutions." "Professors and research professors are on short notice (6 month) renewal contracts [Non tenured track faculty]."

Appendix C: Survey Response Frequency Report

Numerical values in the following tables summarize survey responses to forced-choice questions as counts and/or percentages (%). Response codes are listed below in the order that they appear.

- SD Strongly Disagree
- D Disagree
- N Neither Agree nor Disagree...
- A Agree
- SA Strongly Agree

- Negative
- N Neutral
- + Positive

- N Never
- R Rarely
- S Sometimes
- F Frequently
- A Always

NAVINGEN COMMAND INSPECTION OF NAVAL POSTGRADUATE SCHOOL 7-16 MARCH 2016

Military		Civilian	
Male	Female	Male	Female
131	17	213	153
25%	3%	41%	30%

On a scale from 1 (worst) to 10 (best), please rate your Quality of Work Life (QOWL). QOWL is the degree to which you enjoy where you work and the availability of opportunities for professional growth.

	1	2	3	4	5	6	7	8	9	10
Count	29	27	51	29	47	45	65	102	70	49
%	5.64%	5.25%	9.92%	5.64%	9.14%	8.75%	12.65%	19.84%	13.62%	9.53%

For each of the factors below, please indicate whether they have a positive, neutral, or negative impact on your QOWL rating.

	+	N	-
Job satisfaction	62%	21%	17%
Leadership support	40%	29%	31%
Leadership opportunities	24%	47%	29%
Workload	36%	34%	30%
Work Hours/Schedule	64%	25%	11%
Advancement opportunities	21%	42%	37%
Awards and recognition	25%	45%	30%
Training opportunities	36%	43%	21%
Command morale	26%	26%	48%
Command climate	28%	29%	43%
Quality of workplace facilities	45%	36%	19%

On a scale from 1 (worst) to 10 (best), please rate your Quality of Home Life (QOHL). QOHL is the degree to which you enjoy where you live and the opportunities available for housing, recreation, etc.

	1	2	3	4	5	6	7	8	9	10
Count	8	3	6	14	32	17	29	114	128	163
%	1.56%	0.58%	1.17%	2.72%	6.23%	3.31%	5.64%	22.18%	24.90%	31.71%

For each of the factors below, please indicate whether they have a positive, neutral, or negative impact on your QOHL rating.

	+	N	-
Quality of home	73%	20%	7%
Quality of the school for dependent children	29%	62%	9%
Quality of the childcare available	21%	75%	4%
Shopping & dining opportunities	72%	23%	5%
Recreational opportunities	83%	13%	4%
Access to spouse employment	34%	53%	13%
Access to medical/dental care	58%	32%	10%
Cost of living	12%	32%	56%

My command gives me sufficient time during working hours to participate in a physical readiness exercise program.

SD	D	N	A	SA
4	12	8	56	67
3%	8%	5%	38%	46%

My current workweek affords enough time to complete mission tasks in a timely manner while maintaining an acceptable work-home life balance.

SD	D	N	A	SA
9	24	12	64	38
6%	16%	8%	44%	26%

My position description is current and accurately describes my functions, tasks, and responsibilities.

SD	D	N	A	SA
31	54	52	128	99
9%	15%	14%	35%	27%

I work more hours than I report in a pay period because I cannot complete all assigned tasks during scheduled work hours.

N	R	S	F	A
36	54	83	93	98
10%	15%	23%	26%	27%

The Human Resource Service Center provides timely, accurate responses to my queries.

SD	D	N	A	SA
48	69	193	39	15
13%	19%	53%	11%	4%

My (local) Human Resources Office provides timely, accurate responses to my queries.

SD	D	N	A	SA
55	75	142	63	29
15%	21%	39%	17%	8%

The DON civilian recruitment process is responsive to my command's civilian personnel requirements.

SD	D	N	A	SA
139	95	209	40	5
28%	19%	43%	8%	1%

During the last performance evaluation cycle, my supervisor provided me with feedback that enabled me to improve my performance before my formal performance appraisal/EVAL/FITREP.

SD	D	N	A	SA
25	41	91	135	78
7%	11%	25%	36%	21%

I am satisfied with the overall quality of my workplace facilities.

SD	D	N	A	SA
29	63	82	233	91
6%	13%	16%	47%	18%

My command is concerned about my safety.

SD	D	N	A	SA
9	22	73	225	169
2%	4%	15%	45%	34%

My command has a program in place to address potential safety issues.

SD	D	N	A	SA
1	13	78	244	162
0%	3%	16%	49%	33%

My job is important and makes a contribution to my command.

SD	D	N	A	SA
11	20	68	175	225
2%	4%	14%	35%	45%

_____ is occurring at my command.

	SD	D	N	A	SA
Fraternization	13%	21%	52%	8%	5%
Favoritism	12%	20%	37%	15%	15%
Gender/Sex Discrimination	24%	27%	37%	8%	4%
Sexual Harassment	29%	28%	38%	3%	1%
Race Discrimination	31%	27%	36%	5%	1%
Hazing	39%	25%	34%	2%	0%

The following tools and resources are adequate to accomplish the command's mission.

	SD	D	N	A	SA
People	112	113	54	128	97
Training	31	76	130	180	88
Workspace	27	54	87	220	116
Computer	6	27	52	211	209
Software	12	34	55	206	197
Internet	14	20	52	198	221
Intranet	14	23	66	217	185
Equipment	5	41	81	223	155
Materials & Supplies	14	47	85	215	143

I have adequate leadership guidance to perform my job successfully.

SD	D	N	A	SA
42	54	88	194	124
8%	11%	18%	39%	25%

Communication down the chain of command is effective.

SD	D	N	A	SA
77	116	93	157	54
15%	23%	19%	32%	11%

Communication up the chain of command is effective.

SD	D	N	A	SA
73	107	127	146	44
15%	22%	26%	29%	9%

My performance evaluations have been fair.

SD	D	N	A	SA
16	16	108	204	153
3%	3%	22%	41%	31%

The awards and recognition program is fair and equitable.

SD	D	N	A	SA
48	67	197	117	68
10%	13%	40%	24%	14%

Military and civilian personnel work well together at my command.

SD	D	N	A	SA
13	33	71	226	153
3%	7%	14%	46%	31%

My command's Equal Opportunity Program (EO - to include Equal Employment Opportunity & Command Managed Equal Opportunity) is effective.

SD	D	N	A	SA
19	24	210	147	96
4%	5%	42%	30%	19%

My command adequately protects my personal information.

SD	D	N	A	SA
34	35	160	165	102
7%	7%	32%	33%	21%

My superiors treat me with respect and consideration.

SD	D	N	A	SA
30	33	59	204	171
6%	7%	12%	41%	34%

My command attempts to resolve command climate issues.

SD	D	N	A	SA
55	64	172	152	53
11%	13%	35%	31%	11%

I have adequate time at work to complete required training.

SD	D	N	A	SA
69	132	77	174	37
14%	27%	16%	36%	8%

Do you supervise Department of the Navy (DON) civilians?

Yes	No
86	402
18%	82%

When did you receive civilian supervisory training?

<12mos	1-3 yrs	>3 yrs	Never
52	13	0	15
65%	16%	0%	19%

Appendix D: Issue Papers

SUMMARY OF ACTIONS

Issue Papers that follow require responses to recommendations in the form of Implementation Status Reports (ISRs). If you are an Action Officer for a staff listed in Table D-1, please submit ISRs as specified for each applicable recommendation, along with supporting documentation, such as plans of action and milestones and implementing directives.

- Submit initial ISRs using OPNAV Form 5040/2 no later than 15 August 2016. Each ISR should include an e-mail address for the action officer, where available. This report is distributed through Navy Taskers. ISRs should be submitted through the assigned document control number in Navy Taskers. An electronic version of OPNAV Form 5040/2 is added to the original Navy Tasker Package along with the inspection report, upon distribution.
- Submit quarterly ISRs, including "no change" reports until the recommendation is closed by NAVINGEN. When a long-term action is dependent upon prior completion of another action, the status report should indicate the governing action and its estimated completion date. Further status reports may be deferred, with NAVINGEN concurrence.
- When action addressees consider required action accomplished, the status report submitted should contain the statement "Action is considered complete" and should include documentation to substantiate that determination. However, NAVINGEN approval must be obtained before the designated action addressee is released from further reporting responsibilities on the recommendation.
- NAVINGEN point of contact for ISRs is (b) (7)(C)

Table D-1. Action Officer Listing for Implementation Status Reports

COMMAND	RECOMMENDATION NUMBER(S) XXX-16
ASN(FM&C)	006, 008
OPNAV	007
OPNAV N12	008
NPS	006, 007, 008

ISSUE PAPER D-1: WORK ACCEPTANCE PROCESS

- References: (a) ASN(FM&C) memorandum dated 6 November 2015, Financial Management of Reimbursable Orders at the Naval Postgraduate School
 (b) Deputy Chief of Naval Operations (Manpower, Personnel, Training & Education)(N1) memorandum dated 30 December 2015, Naval Postgraduate School Acceptance of Reimbursable Work

Background: Our 2012 command inspection findings cited that NPS's Comptroller did not work directly for the President, identified a culture of resistance with respect to ASN(FM&C) guidance, and a lack of desire to comply with governing regulations and policies. At the time, NPS was not using support agreements as an integral part of managing reimbursable work, nor did they have appropriate internal controls in place to balance financial management with work acceptance.

Following the 2012 inspection, NPS took a series of positive actions to restore accountability in financial management, and ASN(FM&C) implemented iterative controls designed to improve NPS's overall business practices and support DON's auditability requirements. Correspondingly, a working group consisting of members from ASN(FM&C), OPNAV N1, and NPS developed a work acceptance process for NPS. NPS is currently adhering to the work acceptance process and is transitioning to the controls implemented.

Discussion: References a and b provide the Navy and NPS a balance between acceptance of reimbursable work beyond that required for the core NPS mission, balanced against application of sound business processes and workload priorities of the DON. All levels of reimbursable work will undergo financial, legal, and manpower assessments and will have a properly documented MOA, or other formal support agreement before acceptance of funds. Work acceptance decisions are made depending on the category of workload. Reimbursable work falls into four categories:

- Core mission within FTE controls
- Non-Core Mission Education/Research which enhances naval officer education and within FTE controls provided by Bureau of Naval Personnel (BUPERS)
- Non-Core Mission Education/Research not within FTE controls/naval officer education, and
- Other sponsored activity not within FTE controls

NPS is working toward completion of its FY16 reimbursable work submissions; by June 2016, NPS is scheduled to provide OPNAV N12 its own assessment of the total number of FTEs required to execute its core mission and its reimbursable work. Following OPNAV N12's reviews of all reimbursable MOAs, NPS's compliance with the 51 percent rule (provisions in the Economy Act), and of NPS's FTE assessment, OPNAV N12 will promulgate a revised FTE total for NPS. OPNAV N10 will then work with NPS to establish FY16 reimbursable work overhead rates.

In parallel, NPS will continue to submit FY17 and FY18 reimbursable work MOAs to OPNAV N12, with a goal of 80 percent of FY17 MOAs by 01 October 2016 and 100 percent of FY17 MOAs by 1 January 2017. While not expressly stated in any documentation we reviewed, OPNAV N12 agreed that NPS has the flexibility to submit emergent MOAs for reimbursable work at any point during the Work Acceptance Process (WAP). Once FY16 reimbursable work and FTE numbers are established, the WAP process becomes a repeatable cycle.

Acceptance of non-naval work, outside the direct-funded core mission, must consider the creation of out-year liability for the DON so as not to compromise the acceptance of additional reimbursable naval work. The ASN(FM&C) memorandum reaffirmed their prior direction that prohibits NPS from accepting work where they perform less than 51 percent of the work with in-house labor (in-house is defined as government employees and does not include contractors). NPS receives an allocation of appropriated Research, Development, Test and Evaluation (RDT&E) funding, which is not impacted by the 51 percent rule as these funds are direct vice reimbursable.

There will be some challenges for NPS and its customers as the WAP matures:

- Sponsor buy-in: While Director, Navy Staff has offered to engage directly with any sponsors resistant to this requirement, this is a reactive response. Proactive engagement will better prepare sponsors to complete the MOA process in a timely manner and clarify other key issues regarding establishing reimbursable work with NPS, to include execution implications of strict enforcement of the 51 percent rule as applied to all reimbursable work.
- Efficiency: NPS is executing significant workload to establish all MOAs, which is increasing project lead times and consuming workforce capacity that is also required to manage and reconcile existing programs. This workload should decrease over time as

NPS and sponsors become more familiar with the process and as recurring projects repeat in the MOA cycle.

- Emergent technology research: We note the possibility that WAP could negatively impact the school's ability to conduct innovative and emergent technology research. However, we found no evidence to support this at the time of our inspection. We recommend that NPS objectively monitor the sponsor research landscape and provide direct feedback to OPNAV if they detect degradations in the school's ability to educate and conduct research because of the Work Acceptance Process requirements.

Recommendations: 006-16. That NPS and ASN(FM&C) develop amplifying guidance to all DON major commands and/or Budget Submitting Offices regarding NPS standard business processes.

007-16. That NPS and OPNAV identify project sponsors with significant and repeat reimbursable business and establish umbrella agreements where appropriate.

008-16. That NPS, ASN(FM&C), and OPNAV N12 develop a formal procedure for the calculation of reimbursable overhead rates and assessment.

NAVINGEN POC:

(b) (7)(C)