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Subj: COMMAND INSPECTION OF COMMANDER, U.S. NAVAL FORCES
EUROPE/COMMANDER, U.S. NAVAL FORCES AFRICA/COMMANDER, U.S.
SIXTH FLEET, 26 FEBRUARY - 9 MARCH 2015

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 which impact readiness or quality of life for military and civilian naval personnel.

2. NAVINSGEN conducted a Command Inspection of Commander, U.S. Naval Forces Europe (CNE)/Commander, U.S. Naval Forces Africa (CNA)/Commander, U.S. SIXTH Fleet (C6F) from 26 February to 9 March 2015. This report documents our findings.

3. This report contains an Executive Summary, our observations and findings, and documented deficiencies noted during the inspection. Issue papers are included that highlight significant concerns that either point to a potentially broader Navy issue or, in our opinion, require coordination among multiple commands to fully address. Finally, a summary of survey and focus group data, as well as a complete listing of survey frequency data, is included. In addition, a classified annex to this report identifies deficiencies and recommendations related to CNE-CNA-C6F's Security Programs.

4. During our visit we assessed overall mission readiness in execution of its echelon 2 responsibilities per OPNAVINST F5440.78, Mission, Functions, and Tasks of Commander, U.S. Naval Forces, Europe/Commander, U.S. SIXTH Fleet Naples, Italy (26 August 2009), the draft revision to that document that is in staffing at OPNAV, and other laws, policy, and regulations. 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.

5. Our overall assessment is that CNE-CNA-C6F is executing its challenging mission well. We found a great team, working very hard—producing meaningful results—in a vast, diverse, and

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dynamic area of responsibility (AOR) that has significant implications to U.S. national security. The staff is staying ahead of critical vulnerabilities and challenges, has a solid program for self-assessing its processes and outcomes, and puts warfighting first. Nevertheless, the staff is feeling the strain of its demanding workload supporting two geographic combatant commanders (GCC) in dynamic AORs. The AUSTERE CHALLENGE/JUDICIOUS RESPONSE exercises will stress the capacity of the staff through a full range of missions; lessons learned during these exercises will be very useful in informing a pending 2015 Shore Manpower Requirements Determination (SMRD).


6. In the course of our inspection, we identified deficiencies in military and civilian training, environmental planning staffing, Safety and Occupational Health, Command Security, Information Security, Industrial Security, Operations Security, Counterintelligence/Insider Threat, Cybersecurity, Personally Identifiable Information, Voting Assistance, and Inspector General functions.

7. Corrective actions

a. We identified 27 deficiencies during our inspection that require CNE-CNA-C6F's corrective action. Correction of each deficiency, and a description of action(s) taken, should be reported via Implementation Status Report (ISR), OPNAV 5040/2 by CNE-CNA-C6F no later than 31 October 2015. Deficiencies not corrected by this date or requiring longer-term solutions should be updated quarterly until completed. Additionally, NAVINSGEN provided CNE-CNA-C6F with 11 separate recommendations for consideration, relating to personnel training, environmental documentation, the Foreign Disclosure Officer function, industrial security, operations security, antiterrorism/force protection, and the career development board (CDB) program. Follow up reporting on these recommendations is not requested.

b. This report includes three issue papers that require actions by the Assistant Secretary of the Navy (Manpower and Reserve Affairs) (ASN(M&RA)), Deputy Assistant Secretary of the Navy (Civilian Human Resources) (DASN(CHR)), Department of the Navy Chief Information Officer (DON CIO), Office of the Chief of Naval Operations, Deputy Chief for Information Dominance (OPNAV N2/N6), and U.S. Fleet Cyber Command (FCC). Appendix A: Issue Papers (page 23 of this report) provides detailed guidance on how to report completion of recommendations identified in the issue papers.

8. My point of contact is b7c


HERMAN A. SHELANSKI

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**NAVAL INSPECTOR GENERAL COMMAND INSPECTION OF
COMMANDER, U.S. NAVAL FORCES EUROPE / COMMANDER, U.S. NAVAL
FORCES AFRICA / COMMANDER, U.S. SIXTH FLEET
26 FEBRUARY TO 9 MARCH 2015**

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Executive Summary

The Naval Inspector General (NAVINSGEN) conducted a command inspection of Commander, U.S. Naval Forces Europe (CNE)/Commander, U.S. Naval Forces Africa (CNA)/Commander, U.S. SIXTH Fleet (C6F) from 26 February to 9 March 2015. Our last inspection of CNE-CNA was in October 2009. The team was augmented with subject matter experts, including personnel from Office of the Assistance Secretary of the Navy, Financial Management & Comptroller (ASN FM&C); Office of the Chief of Naval Operations (OPNAV), Information, Plans and Strategy (N3/N5); U.S. Fleet Forces Command; Naval Facilities Engineering Command (NAVFAC); Naval Safety Center (NAVSAFECEN); Special Security Office (SSO), Naples; Naval Criminal Investigative Service (NCIS); and the Office of Civilian Human Resources, Stennis (OCHR Stennis).

During our visit we assessed overall mission readiness in execution of its echelon 2 responsibilities per OPNAVINST F5440.78, Mission, Functions, and Tasks of Commander, U.S. Naval Forces, Europe/Commander, U.S. SIXTH Fleet Naples, Italy (26 August 2009) and the draft revision to that document that is in staffing at OPNAV. We assessed 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.

MISSION READINESS

CNE-CNA-C6F is executing its challenging mission well. We found a great team, working very hard—producing meaningful results—in a vast, diverse, and dynamic area of responsibility (AOR) that has significant implications to U.S. national security. The staff is staying ahead of critical vulnerabilities and challenges, has a solid program for self-assessing its processes and outcomes, and puts warfighting first. Nevertheless, the staff is feeling the strain of its demanding workload supporting two geographic combatant commanders (GCC) in dynamic AORs. The AUSTERE CHALLENGE/JUDICIOUS RESPONSE exercises will stress the capacity of the staff through a full range of missions; lessons learned during these exercises will be very useful in informing a pending 2015 Shore Manpower Requirements Determination (SMRD).

Mission Performance

CNE-CNA-C6F has established an effective Maritime Operations Center (MOC) process and an effective battle rhythm that fully supports staffing and planning requirements. The staff is proactive in staying ahead of critical vulnerabilities and challenges, and continues to work to expand its planning horizon; all this in response to what is a relentless demand signal for naval forces and an impressive scope of responsibilities. We recommended that the staff leverage their N53 (Future Plans) capabilities to extend their planning horizon and their N35 (Future Operations) capabilities to ensure preparedness for events that might quickly transition from tactical to strategic interest. Importantly, the approach to current operations needs to be keenly tied to Commander's intent and needs to be balanced against the capacity of the Current Operations cell.

Interactions with Allies and Partners

We note the challenges of shaping the security environment and expanding the network of allies and partners in AORs with limited assigned operational forces. CNE-CNA-C6F makes every effort to maximize allied and partner interaction as forces transit the AORs, but these limits significantly impact opportunities to progress allied integration and expand partner capacity over the long-term. Given the variety of challenges and emerging threats in this theater, Navy cannot afford to lose sight of the need for and value of U.S. naval presence and engagement not only in Europe, but also in Africa. CNE-CNA-C6F does an excellent job of capitalizing on the assets they get, including some impressive efforts to pursue non-traditional opportunities. Even small, well-timed contributions from transit presence can add value; this necessitates close coordination and cooperation with OPNAV and Commander, U.S. Fleet Forces Command (USFF).

Manning/Manpower

Manning

CNE-CNA-C6F is an integrated echelon 2/3 staff where nearly all staff members execute both echelon 2 and 3 responsibilities daily. Staff manning across all echelon 2 and 3 headquarters (HQ) Unit Identification Codes (UIC) is 95% (541 of 567 billets filled). An additional 159 billets validated during a 2009 SMRD remain unfunded (6 billets are tentatively planned for buy back in Program Objective Memorandum (POM)-16). Civilian vacancy rates have generally improved; 2013, 2014 and 2015 rates are 20%, 11% and 12%, respectively.

Theater Anti-Submarine Warfare (TASW)

The April 2015 SMRD should carefully review C6F's requirements for dedicated TASW planning and execution, especially when compared with other theaters. Twenty-eight of the 159 unfunded but validated billets from the 2009 SMRD are for Submarine Operations, specifically to support TASW.

Civilian Hiring Timeline

It takes approximately 190 days, on average, to hire a civilian at CNE-CNA-C6F due to the many steps involved in the overseas hiring process from job announcement to onboarding (including official passport, visa, medical evaluation requirements, etc. which can be difficult for a new hire to navigate). This in turn makes it difficult for CNE-CNA-C6F to keep its vacancy rates low as civilians can depart from the staff with short notice, causing immediate gaps. Most significantly, a number of these gaps are in key positions requiring specialized expertise as addressed elsewhere (see Environmental Planning and Spill Coordination below). The Department of the Navy (DON) OCHR is conducting a Continuous Process Improvement (CPI) on overseas recruitment. Approximately two-thirds of the time it takes to hire a civilian for overseas assignment is consumed by obtaining passports, visas, preparing to move, etc. We recommend that Deputy Assistant Secretary of the Navy (Civilian Human Resources) (DASN(CHR)) ensure that this CPI includes an assessment of ways to improve the timeliness of these actions as well. Issue Paper A-1 addresses this issue in further detail.

Service Deployment System

Navy is the only service that has not implemented a service deployment system (service-wide, daily, personnel accountability system), a requirement distinct from disaster accountability (which is covered by Navy Family Accountability and Assessment System (NFAAS)). The other services have implemented systems that track each individual's status daily. These systems feed the Joint Staff system called Joint Personnel Accountability Reconciliation and Reporting (JPARR). Navy is the only service without a feed into JPARR, as required by the Joint Staff J1 and as discussed in JP 1-0, Chapter III, paragraph 9c(2). As the Service Component for two GCCs, CNE-CNA-C6F is required to know which Navy Personnel are in their extensive AOR, no matter their status or origin (permanently assigned, leave, temporary duty, etc.). Without this system, it is difficult to ascertain on a daily basis who is in their AOR. When there is an event requiring an understanding of who is in a specific country (for example, a recent terrorist attack in Paris, France), only a very time-consuming, manual process can inform the commander who is in country. Use of Defense Travel System (DTS), Aircraft and Personnel Automated Clearance System (APACS), Navy Standard Integrated Personnel System (NSIPS), and other individual feeds often provides an inaccurate and incomplete picture. Additionally, JPARR has the ability to automatically produce web-based, customized Joint Personnel Status (JPERSTAT) reports as required in CJCMS 3150.13C, Joint Reporting Structure-Personnel Manual, Enclosure A. CNE-CNA-C6F is still producing these reports manually due to lack of such a system. Issue Paper A-2 addresses this issue in further detail.

Intelligence Oversight

NAVINSGEN also conducted an Intelligence Oversight (IO) inspection in conjunction with the Command Inspection. CNE-CNA-C6F is compliant with Executive Order 12333, DoD 5240.1-R, USSID SP00018, and SECNAVINST 3820.3E, Oversight of Intelligence Activities Within the Department of Navy. They have a solid program; all required training and reporting has been conducted. Our report (to be provided SEPCOR) will provide more details and identify recommendations to implement procedures for proper marking, storage, dissemination, review and retention of U.S. persons information and to develop an Intelligence Oversight reporting and oversight plan for Forward Deployed Naval Force (FDNF) assets.

FACILITIES, ENVIRONMENTAL, ENERGY CONSERVATION, AND SAFETY AND OCCUPATIONAL HEALTH (SOH)

Engineer Staffing

CNE-CNA-C6F staff structure has limited civil engineer capacity to support Theater Security Cooperation, contingency planning, basing and infrastructure planning, and the development of force bed-down/posture requirements and coordination across the AOR. As a mitigation measure, Naval Facilities Engineering Command (NAVFAC) agreed to provide an O-6 and O-3 Civil Engineer Corps officers "out of hide" starting in FY13 while CNE-CNA-C6F sought funding for these billets. CNE-CNA-C6F has POM'd for the billets starting with POM-15 (and each POM cycle thereafter), but thus far has been unsuccessful in getting these billets funded. Funding for

these two positions is requested in POM-17. NAVFAC recently agreed to continue supporting these billets for another detailing cycle starting the summer of 2016.

Environmental Programs

The staff Environmental Planner position is vacant (but under active recruitment following three consecutive failed recruitments), limiting CNE-CNA-C6F's capacity to effectively conduct environmental planning to support at-sea training and exercises. In addition to filling this position, we recommend that CNE-CNA-C6F coordinate with OPNAV, Energy and Environmental Readiness Division (N45) to ensure they are fully aligned with Navy-wide strategy regarding development of environmental documentation (e.g., Marine Mammal Protection Act permits, Environmental Impact Statements) for at-sea training and exercises to ensure C6F environmental risks are appropriately considered and mitigated.

This same vacant billet is normally assigned C6F Navy On-Scene Coordinator functions. Until this billet is filled, Commander Navy Region Europe, Africa, Southwest Asia (CNREURAFSWA) N45 is covering the requirement to plan and execute spill management and comply with OPNAVINST 5090.1D, Environmental Readiness Program, and C6FINST 5090.2, Oil and Hazardous Substance (OHS) Spill Contingency Planning and Response, requirements.

Command Safety Program

CNE-CNA-C6F does not have a full-time safety professional serving as Safety Officer, as required by OPNAVINST 5100.23G CH-1, Section 0302. The collateral duty Safety Officer currently in place has completed only two of nine safety training courses. CNE-CNA-C6F is not providing the required safety oversight of their lower echelons, which includes shipboard, aviation, and industrial activity safety programs. For example, only one of their subordinate units has received a safety oversight evaluation.

SECURITY PROGRAMS

Information Security

The classified material emergency destruction plan at CNE-CNA-C6F does not include **b7e**

[REDACTED]

Special Security Programs

Access control and intrusion detection systems are antiquated **b7e**

[REDACTED]

The existing Electronic Security System (ESS) in the European theater is based on **b7e**

Previously identified unfunded requirements have limited Commander, Navy Installations Command (CNIC) and Commander, Naval Facilities

Command, (COMNAVFAC) in their ability to execute Federal and OPNAV directives to upgrade and replace access control and intrusion detection systems.

Industrial Security

CNE-CNA-C6F's Industrial Security instruction is incomplete and does not include all required policies and procedures to ensure that assigned contractors meet all applicable security requirements while working at CNE-CNA-C6F, per SECNAV M5510.36 and SECNAV M5510.30, Department of Navy Personnel Security Manual. The command's draft security instruction (CNE/CNA/C6FSTAFFINST 5510.36) does not establish the command's industrial security policy as required by SECNAV M5510.36.

b7e

Counterintelligence (CI) Support and Insider Threat

b7e

Cybersecurity/Information Technology (IT) Acquisition & Network Management

As we reviewed CNE-CNA-C6F's preparations for its upcoming Cybersecurity Inspection, we noted b7e

We recommend that DON Chief Information Officer (CIO), in coordination with Commander, U.S. Fleet Cyber Command (FCC) conduct a review of b7e

Two personnel filling Cyber Workforce positions do not meet certification requirements stipulated in DoD 8570.01-M, Information Assurance Workforce Improvement Program.

CNE-CNA-C6F does not identify, document, track, and report to DON CIO the certifications and certification status of all contractors performing Privileged User or Information Assurance manager functions, as required per SECNAVINST 5239.3B, Department of Navy Information Assurance Policy, and DoDD 8570.01, Information Assurance Training, Certification, and Workforce Management.

The CNE-CNA-C6F Cyber Security Instruction (CNE-CNA-C6F INST 8500.1, Information Assurance) does not include the following for IT systems added to the command since the Cyber Instruction was signed:

- [REDACTED]
- [REDACTED]
- [REDACTED]

References: SECNAV M5239.1, Department of the Navy Information Assurance Manual; SECNAVINST 5239.3B, Department of the Navy Information Assurance Policy.

Several CNE-CNA-C6F non-program of record IT systems have expired accreditations and certifications. Reference: SECNAV M5239.1. Issue Paper A-3 addresses this issue in further detail.

Personally Identifiable Information (PII)

CNE-CNA-C6F does not track annual PII training for civilian employees or contractors, as required by ALNAV 070/07, Department of the Navy (DON) Personally Identifiable Information (PII) Annual Training Policy. CNE-CNA-C6F does not maintain an auditable record of PII semi-annual spot checks, as required by ALNAV 070/07.

COMPLIANCE PROGRAMS

Overall CNE-CNA-C6F's programs were compliant with governing instructions and effective.

Voting Assistance Program

While effective, we found areas for improvement in the Voting Assistance Program (VAP). The Voting Assistance role is not included in the Voting Assistance Officer's performance objectives and performance evaluations as required by 10 U.S.C. 1566f and CNIC 2014-2015 Navy Voting Action Plan of April 2014. Documentation of annual training in voting matters such as absentee registration and voting procedures has not been maintained as required by DoDI 1000.04, Voting Assistance Program. CNE-CNA-C6F did not have the required email address for Voting Assistance Officer contact in place. During the inspection, a VAP organizational email address was established, as were training folders to track VA training.

Inspector General (IG) Functions

A Quality Assurance Review (QAR) of CNE-CNA-C6F IG Hotline performance found that it was not compliant with SECNAVINST 5370.5B, DON Hotline Program, in that there was no investigator in the required GS-1800 position series at the time of our inspection. Additionally, we recommend that at least the GS-15 IG billet and the reclassified 1800 series billet be realigned to the echelon 2 CNE-CNA UIC to reflect the requirement for a full-time, dedicated GS-15 or O-6 IG and a Hotline program at this echelon 2 command. At the time of the inspection, all of the CNE-CNA-C6F IG billets were aligned under the echelon 3 C6F UIC. This has since been corrected. The GS-15 IG billet was moved to the echelon 2 UIC. Additionally, the additional IG billet was reclassified to the 1800 series, and moved to the echelon 2 UIC.

Greater emphasis is required on oversight of lower echelons. CNE-CNA-C6F does not have an established track record of comprehensive and systematic oversight of subordinate command's

management functions. We view the IG as an appropriate lead for coordination of enhanced oversight.

SURVEY AND FOCUS GROUP FINDINGS

Our survey and focus group discussions found that QOWL and QOHL at CNE-CNA-C6F are lower than the historical echelon 2 command averages. The staff is highly talented and dedicated; however, manning/manpower, communication, training, and organizational structure are perceived to adversely impact the mission, job performance, and quality of life. Rated on a 10-point scale, the CNE-CNA-C6F QOWL and QOHL are 6.20 and 7.10, respectively. The corresponding echelon 2 command historical averages are 6.60 and 7.88. Specific comments from focus groups and surveys were passed to CNE-CNA-C6F leadership and are included in Appendices B and C.

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Areas/Programs Assessed

- **Mission Performance**
 - Mission Readiness
 - Strategic Planning
 - Command Relationships and Communications
 - Intelligence Oversight
 - Total Force Management
 - Civilian Human Resource Services
 - Personnel Training/Qualifications
 - Continuity of Operations Plan
- **Facilities, Environmental, and Safety**
 - Facilities Management
 - Shore Infrastructure Planning and Management
 - Environmental Readiness
 - Energy Conservation
 - Safety and Occupational Health
- **Security Programs and Information Assurance**
 - Command Security
 - Industrial Security
 - Physical Security and Antiterrorism Force Protection
 - Operations Security
 - Personnel Security
 - Insider Threat
 - Counterintelligence Support
 - Information Security
 - Information Assurance and Personally Protected Information
- **Resource Management/Compliance Programs**
 - Comptroller Functions
 - Managers' Internal Control
 - Personal Property Management
 - Government Travel Charge Card
 - Government Commercial Purchase Card
 - Command Individual Augmentee Coordinator
 - Post Deployment Health Reassessment
 - Individual Medical Readiness
 - Physical Readiness Program
 - Sexual Assault Prevention and Response
 - Command Managed Equal Opportunity
 - Suicide Prevention
 - Navy Alcohol and Drug Abuse Prevention
 - Hazing Policy Training and Compliance
 - Legal/Ethics
 - Victim and Witness Assistance Program

- Voting Assistance Program
- Inspector General Functions
- **Sailor Programs**
 - Command Sponsorship
 - Command Indoctrination
 - Career Development Program

Observations and Findings

MISSION PERFORMANCE

The Mission Performance Team utilized survey and focus group responses, document review, group discussions, and face-to-face interviews to gather information and assess the mission performance of Commander, U.S. Naval Forces Europe (CNE)/Commander, U.S. Naval Forces Africa (CNA)/Commander, U.S. SIXTH Fleet (C6F). These findings were applied to the functions and tasks as assigned in or defined by the following:

- OPNAVINST F5440.78, Mission, Functions, and Tasks of Commander, U.S. Naval Forces, Europe/Commander, U.S. SIXTH Fleet Naples, Italy (COMNAVEUR/COMSIXTHFLT), 26 Aug 2009
- DRAFT Mission, Functions, and Tasks of Commander, U.S. Naval Forces, Europe, Commander, U.S. Naval Forces, Africa, Commander, U.S. SIXTH Fleet, and Commander, Task Force SIX (awaiting Director, Navy Staff approval)

Our overall assessment is that the CNE-CNA-C6F combined staff is executing its challenging mission well. We found a great team, working very hard—producing meaningful results—in a vast, diverse, and dynamic area of responsibility (AOR) that has significant implications to U.S. national security. We reviewed the following areas:

- Theater Security Cooperation (TSC)/Cooperative Regional Maritime Partnerships
- Interagency, Non-Governmental Organizations (NGO), other Navy Cooperation
- Joint Force Maritime Component Commander (JFMCC)/Maritime Operations Center (MOC)
- Maritime Interdiction Operations (MIO)/Counter Extremism and Criminal Activity
- Operational Logistics
- Planning and Execution of Water/Airspace Control
- Joint Command Relations
- Naval Operations Planning and Execution
- Operational Intelligence
- Maintenance of Critical Warfare Skills
- Postal Advisor Program
- North Atlantic Treaty Organization (NATO) Security Investment Program (NSIP)
- Safeguard/Account for Personnel
- Maritime Domain Awareness
- Warfighting Capability Requirements
- Force Protection Measures
- Health Service Support
- Operational Assessment Program
- Manning/Manpower
- Strategic Messaging/Communications
- Strategic Planning/Continuity of Operations (COOP) Planning

- Military/Civilian Training
- Office of Civilian Human Resources (OCHR)/Equal Employment Opportunity (EEO)

The staff is unique as the only combined, fully integrated, echelon 2/3, forward-stationed Naval Component Commander (NCC)/Naval Fleet Commander (NFC) serving two Geographic Combatant Commanders (GCC). We identified some challenges, most of which CNE-CNA-C6F can correct themselves, but some of which will require outside assistance.

Strategic Planning

The CNE-CNA-C6F staff is conducting planning in the three event horizons of the Maritime Operations Center (MOC), defined as current operations, future operations and future plans. Future planning is effective out to six months, however, they are less adept in the 1-3 year range and beyond in determining strategic objectives involving cooperative engagement, exercises and resource requirements. Due to the steady increase in the dynamic nature of the European and African theaters of operations, we observed a staff emphasis on echelon 3 current operations at the expense of echelon 2 long range theater level planning. The staff appears to be most focused on operations and fulfilling GCC operational demands, often without formal tasking. Contingency plan (CONPLAN) and operation plan (OPLAN) development along with Commander's estimates for theater operations are effective.

Maritime Headquarters (MHQ)/Maritime Operations Center (MOC)

CNE-CNA-C6F has established an effective MOC process and battle rhythm that fully supports staffing and planning requirements. The staff is proactive in staying ahead of critical vulnerabilities and challenges and continues to expand its planning horizon. MOC processes have been in place since 2009. Over the last 16-18 months there has been a renewed focus on process refinement and execution. We observed a Crisis Manning Document which comprehensively identifies headquarters personnel needed to fulfill CNE-CNA-C6F roles as a Joint Task Force (JTF)/JFMCC. Personnel capability requirements are identified and fulfilled primarily by reserve personnel. Capability managers look across assigned reserve units to fill necessary billets in support of the identified mission. We observed the weekly battle rhythm that provides the executive level mechanism to support the Commander's decision cycle. Development of the Phase 0 and crisis battle rhythms provide cross functional team input to the Commander's decision cycle that is further refined in upcoming exercise events. Additionally, we observed the breakout between N7 (MOC Training) and N35 (Exercise) Directorates and assess this to be beneficial to the overall focus on MOC training. MOC training is supported by the N7 led MOC Training Working Group, individual Directorate Standard Operation Procedures (SOP) and CNE-CNA Annual Training Guidance for FY12-16.

Fleet Comparison

We recommend CNE-CNA-C6F consider a side-by-side comparison with other fleets to evaluate alternative staff and functional capability constructs. While there are a number of aspects to CNE-CNA-C6F that are unique (e.g., responsibility to two GCCs across two dynamic regions), a comparison may identify areas requiring additional resources. Examples may include:

- Theater Anti-Submarine Warfare (ASW) capacity (addressed briefly below)
- Warfighting and readiness assessment capability
- Intelligence officer distribution across Task Forces
- Adversary force tracking, laydown and analysis
- Submarine advisory groups

The below table illustrates some key characteristics of CNE-CNA-C6F as they compare to other Fleets. (refer to Appendix E for a list of acronyms)

	CNE/CNA/C6F	CPF	NAVSO/C4F	NAVCENT/C5F	C7F
Echelon	2 / 3	2	2 / 3	2 / 3	3
Roles	CNE/CNA C6F JFC (Staff)	CPF TJFMCC	NAVSO C4F	NAVCENT C5F CMF CFMCC JTF (contingency)	C7F JFMCC CFMCC JTF
Commander / Staff Structure	Multi COM Single Staff Options not orders	Single COM Single Staff Orders / OPTASK / DIMS	Single COM Single Staff Options not orders	Single COM Single Staff Orders / OPTASK / DIMS	Single COM Single Staff Orders / OPTASK / DIMS
Missions	Supporting CDR Fight through NATO MDA	MCO	TSC MDA HADR	Supported CDR MCO MNF MSO HADR	Supported CDR MCO TSC
Forces available	Transiting forces	Large # permanent / deployed forces	Small # deployed forces	Large # deployed forces Perm and rotational CTFs	Large # permanent / deployed forces Perm CTFs
Tempo of Operations	Low (Force) Very High (Political)	High (Force) High (Political)	Low (Force) Low (Political)	High (Force) High (Political)	Medium (Force)

Manning/Manpower

CNE-CNA-C6F is an integrated echelon 2/3 staff where nearly all staff members execute both echelon 2 and 3 responsibilities daily. The staff is feeling the strain of its demanding workload supporting two GCCs covering dynamic AORs. A Shore Manpower Requirements Determination (SMRD) was completed Feb 2009 by the Commander, U.S. Fleet Forces Command (USFF) Command Manpower Analysis Team (CMAT) based on valid, approved workload drivers including the approved MF&T instruction, OPNAVINST F5440.78. USFF CMAT validated Staff work requirements and justified the need for 159 additional billets. The CNE-CNA-C6F Program Objective Memorandum (POM)-16 submission was successful in gaining funding for 6 billets from the 2009 SMRD 159 unfunded billet list. The USFF CMAT is scheduled to conduct a new SMRD 4-15 May 2015 based on the revised Draft MF&T and current workload drivers:

- Theater Security Cooperation (TSC)
- Ballistic Missile Defense (BMD)
- Intelligence, Surveillance and Reconnaissance (ISR)
- Precision Strike
- Counter Terrorism (CT)

- Counter-Piracy
- Non-Combatant Evacuation Operations (NEO)
- Humanitarian Assistance & Disaster Relief (HADR)
- Counter Illicit Trafficking
- Partnership Building
- NAVEUR/Levant missions

If CNE-CNA-C6F is unable to secure funding for SMRD validated billets, considerations should be given to removing the requirements that generated the need for the unfunded billets.

The pending SMRD is an opportunity to shape the future in order to meet evolving mission sets and requirements. Additionally, USFF certification of the CNE-CNA-C6F Maritime Operations Center (MOC) is tentatively scheduled for 2017. During this certification, MOC manning requirements will be reviewed and assessed in accordance with OPNAVINST 3500.42, Maritime Operations Center Standardization. This certification should complement the 2015 SMRD. Exercises AUSTERE CHALLENGE/JUDICIOUS RESPONSE will stress the capacity of the staff through the transition from Phase 0 to Phase 3 operations. Lessons learned during these exercises will inform the May 2015 Shore Manpower Requirements Determination (SMRD).

(a) Military/Civilian Manning. CNE-CNA-C6F military manning is 95% (891 of 938 billets filled). An additional 159 billets validated during the 2009 SMRD remain unfunded (6 billets are tentatively planned for buy back in POM-16). Civilian vacancy rates for 2013, 2014 and 2015 are 20%, 11% and 12.4% respectively.

(b) Theater Anti-Submarine Warfare Commander (TASWC). Commander, Task Force SIXTY-NINE (CTF-69) manning is insufficient to effectively conduct dedicated TASW planning and execution. As a result, SIXTHFLT TASW is reactive and long term planning is challenging. CTF-69 has two officers assigned to support TASWC duties. By comparison, other fleet TASWCs have the following personnel assigned:

- CTF-74 / 13 personnel
- CTF-34 / 20 personnel
- CTF-84 / 19 personnel

Of the 159 unfunded billets mentioned above, 28 are for the CTF-69 TASW cell. The pending SMRD should carefully review this requirement.

(c) Commander, Task Force (CTF) Intelligence Officers. We observed that some CNE-CNA-C6F CTFs lack embedded Intelligence Officers (e.g., CTF-65, CTF-69). The lack of N2 personnel directly billeted to certain CTFs negatively impacts intelligence coordination, oversight, and support in the theater, affecting readiness, especially regarding the training and support of the Forward Deployed Naval Force (FDNF) assets and theater ASW.

CTFs 65 and 69 do not have intelligence billets assigned. CTF-65 and CTF-69 are collocated with CNE-CNA-C6F headquarters and utilize their intelligence resources. CNE-CNA-C6F has allowed two N2 billets to function as Liaison Naval Officers (LNO) to CTF-69. CNE-CNA-C6F plans to assign two LNO billets to CTF-65. However, these two billets will revert back to CNE-CNA-C6F when CTF-65 moves from Naples, Italy.

As the operational environment evolves into more complex problems, the demands on intelligence resources have significantly increased. Hence, the consolidation of previously distributed intelligence assets is no longer effective.

Civilian Hiring Timeline

It takes approximately 190 days, on average, to hire a civilian at CNE-CNA-C6F due to the many steps involved in the overseas hiring process from job announcement to onboarding (including official passport, visa, medical evaluation requirements, etc. which can be difficult for a new hire to navigate). This in turn makes it difficult for CNE-CNA-C6F to keep its vacancy rates low as civilians can depart from the staff with short notice, causing immediate gaps. Most significantly, a number of these gaps are in key positions requiring specialized expertise as addressed elsewhere (see Environmental Planning Spill Coordination below). DON OCHR is conducting a Continuous Process Improvement (CPI) on overseas recruitment. Approximately two-thirds of the time it takes to hire a civilian for overseas assignment is consumed by obtaining passports, visas, preparing for and coordinating the household goods move, etc. In addition, the complex process and roles and responsibilities of overseas hiring are not clearly understood by DON stakeholders enterprise-wide and consolidated and comprehensive guidance for managers does not exist.

OCHR Stennis, CNE-CNA-C6F's servicing OCHR, is taking longer than average to issue certificates due to heavy workload. The effects of sequestration, hiring freezes and government shutdown severely impacted hiring timelines as most recruitment actions were placed on hold for approximately 18 months. Operation Hiring Solution was implemented to try and remedy the large backlog of hiring actions with the combined efforts of individual commands, the Human Resources Office (HRO) and OCHR. In April 2012, HR Service Delivery was implemented CONUS with the intention of being reviewed for implementation overseas. DON OCHR, in partnership with Navy major commands, is conducting a CPI on overseas service delivery, scheduled to go into effect in FY16. A formalized list of services, roles, and responsibilities is under development.

Issue Paper A-1 addresses this issue in further detail.

Service Deployment System

Navy does not have the capability to quickly determine the status and whereabouts of all assigned or attached personnel (military, DOD civilian, and DOD contractor) upon the occurrence of a natural or manmade disaster as required by CJCSM 3150.13C, Joint Reporting Structure–Personnel Manual, Enclosure C, paragraph 1. Navy is the only Service that does not have a service deployment system that can provide this type of information directly into the

Joint Personnel Accountability Reconciliation and Reporting (JPARR) system. Consequently, CNE-CNA-C6F leaders are unable to quickly and accurately determine if any of their assigned personnel are in the vicinity of an overseas disaster/incident when it occurs and CNE-CNA-C6F is unable to feed into the Joint Personnel Status Report (JPERSTAT), a combatant command daily requirement. U.S. Army, U.S. Air Force and U.S. Marine Corps each have service-specific deployment systems that support JPARR and enable the JPERSTAT format; Navy does not. We recommend that the Assistant Secretary of the Navy, Manpower & Reserve Affairs (ASN(M&RA)) direct the development and/or adoption of the tools necessary to achieve deployment system capability.

Issue Paper A-2 addresses this issue in further detail.

Military/Civilian Training

General Military Training (GMT)

GMT is not completed by all military personnel as directed by OPNAVINST 1500.22G, General Military Training. We observed limited to no documentation of CNE-CNA-C6F headquarters staff FY13 and FY14 GMT completion. However, we did observe an FY15 GMT plan in place as well as CNE-CNA-C6F headquarters staff FY15 GMT training conducted up to the time of our inspection. GMT requires greater emphasis to ensure these requirements are met.

Deficiency 1. CNE-CNA-C6F headquarters staff FY13 and FY14 GMT requirements were not completed by all military personnel. References: OPNAVINST 1500.22G, paragraphs 4c and 6d(2); NAVADMIN 386/11; and NAVADMIN 264/13.

Recommendation 1. That CNE-CNA-C6F Training Department develop a CNE-CNA-C6F training instruction to codify CNE-CNA-C6F training requirements.

Civilian Training

Civilian training requirements are not completed as directed by SECNAVINST 12410.25, Civilian Employee Training and Career Development and DON Office of Civilian Human Resources. We observed limited to no documentation of CNE-CNA-C6F headquarters staff FY13 and FY14 civilian training completion. However, we did observe a FY15 civilian training plan in place with a schedule to meet CNE-CNA-C6F headquarters staff FY15 civilian training requirements. Civilian training requires greater emphasis to ensure these requirements are met.

Deficiency 2. CNE-CNA-C6F headquarters staff FY13 and FY14 civilian mandatory training requirements are not completed by all civilian personnel. References: SECNAVINST 12410.25, Civilian Employee Training and Career Development and DON Office of Civilian Human Resources, <https://www.portal.navy.mil/donhr/TrainingDevelopment/Pages/MandatoryTraining.aspx>.

Recommendation 2. That CNE-CNA-C6F closely review its civilian training requirements and ensure civilian personnel are afforded an appropriate opportunity to complete them.

Intelligence Oversight (IO)

Concurrent with the command inspection, NAVINSGEN N2 conducted an IO Inspection of CNE-CNA-C6F's IO Program and found it to be compliant with governing guidance; Executive Order 12333, United States Intelligence Activities, dated 4 Dec 1981; DOD 5240.1-R, Procedures Governing the Activities of DOD Intelligence Components that Affect United States Persons; United States Signal Intelligence Directive 18 (USSID 00018); and SECNAVINST 3820.3E, Oversight of Intelligence Activities within the Department of the Navy (DON). The IO Inspection results will be submitted in a separate report.

FACILITIES, ENVIRONMENTAL, ENERGY CONSERVATION, AND SAFETY AND OCCUPATIONAL HEALTH (SOH)

The Facilities, Environmental, Energy, and Safety Team assessed management, oversight, compliance, and execution of programs associated with each subject area via document reviews, data analysis, site visits, focus group and survey comments, and interviews with members of the CNE-CNA-C6F staff and Naval Support Activity (NSA) Naples Public Works Department (PWD) staff. CNE-CNA-C6F is executing shore related mission requirements well with respect to facilities, environmental, and energy conservation. SOH programs were found to meet some of the program elements required by applicable laws, regulations, and policies, but SOH staffing, qualifications, and oversight of subordinate echelon 3 commands was assessed as not effective.

Engineer Staffing

CNE-CNA-C6F does not have adequate funded engineering staff billets to support the workload associated with Theater Security Cooperation, contingency planning, basing and infrastructure planning, and the development of force bed-down/posture requirements and coordination across the U.S. European Command (EUCOM) and U.S. Africa Command (AFRICOM) areas of responsibility. When the staffs of CNE and C6F combined in 2004, eleven of seventeen staff engineer billets were removed, and CNE-CNA-C6F attempted to perform engineering functions through inconsistent coverage by O-3 and O-4 reservists. Given the increasing demands of two Combatant Commanders in dynamic operational environments, Naval Facilities Engineering Command (NAVFAC) has temporarily provided O-6 and O-3 Civil Engineer Corps officers out of bid to fill these roles, while CNE-CNA-C6F requested funding from their Budget Submitting Office (BSO), United States Fleet Forces Command (USFF) in FY 2015, 2016, and 2017 budget submissions. NAVFAC recently agreed to continue supporting those billets for another detailing cycle starting the summer of 2016. We recommend USFF strongly consider funding these two key positions in POM-17.

Infrastructure

NSA Naples PWD provides facility maintenance and operations, making effective use of limited Common Output Level (COL) 4 base operating support (BOS) and facility sustainment funding; however, requirements are clearly outpacing resources, as evidenced by exterior weathering and interior wear on buildings assigned to CNE-CNA-C6F. Overall, facilities needed to support the CNE-CNA-C6F missions, functions and tasks are adequate, but mission growth over the past ten years has consumed available capacity for performance of current missions. Additional growth will stress the space and utility capacity of available infrastructure, so NSA Naples PWD is conducting an Installation Development Plan this year to assess and prioritize current and future gaps between mission and infrastructure.

Environmental Programs

A review of operations at CNE-CNA-C6F was conducted considering environmental compliance and environmental planning documentation including:

- Hazardous material
- Hazardous waste
- Spill prevention
- Storm water
- Drinking water
- Waste water
- Air pollution
- Environmental impact statements
- Environmental assessments
- Categorical exclusions
- Natural and cultural resources requirements

CNE-CNA-C6F's environmental program is functional, but not fully compliant with governing instructions, policies, and statutes. The CNE-CNA-C6F Staff Environmental Planner position is vacant (but under active recruitment), limiting the command's capacity to effectively conduct environmental planning to support at-sea training and exercises. This same vacant billet is normally assigned C6F Navy On-Scene Coordinator functions. Until this billet is filled, Commander, Navy Region Europe, Africa, Southwest Asia (CNREURAFSWA) N45 is covering the requirement to plan and execute spill management and comply with OPNAVINST 5090.1D, Environmental Readiness Program, and C6FINST 5090.2, Oil and Hazardous Substance (OHS) Spill Contingency Planning and Response, requirements.

Deficiency 3. CNE-CNA-C6F is not properly staffed to perform environmental planning and Navy On-Scene Coordinator functions. Reference: OPNAV 5090.1D, paragraph 41-5.20

CNE-CNA-C6F should also follow-up on prior communication with OPNAV N45 to ensure they are aligned with the Navy-wide strategy regarding programmatic approaches to environmental documentation (Overseas Environmental Impact Statements, Marine Mammal Protection Act and Endangered Species Act permits) for at-sea training and exercises and to ensure C6F operational risks are appropriately considered.

Recommendation 3. That CNE-CNA-C6F clarify with OPNAV N45 on alignment with Navy-wide strategy regarding Executive Order 12114 environmental documentation. Reference: OPNAV 5090.1D, paragraph 10-1.3

Energy Conservation

CNE-CNA-C6F is compliant with SECNAVINST 4101.3, Department of the Navy Energy Program for Security and Independence Roles and Responsibilities, and OPNAVINST 4100.5E, Shore Energy Management.

Safety and Occupational Health

CNE-CNA-C6F SOH programs were assessed for compliance with 29 U.S.C. 651-678, Occupational Safety and Health Act of 1970; safety related rules, regulations, and standards

promulgated by the Occupational Safety and Health Administration; and policies outlined in OPNAVINST 5100.23G CH-1, Navy Safety and Occupational Health Program Manual.

During our inspection we reviewed the following aspects of SOH and found them to be compliant with governing directives:

- Command SOH policy
- Operational risk management
- Safety councils, committees, and working groups
- Safety trend analysis
- Safety self-assessment
- Acquisition safety
- Traffic safety (including motorcycle safety)
- Recreational/off-duty safety

The following areas were not in compliance:

- Headquarters SOH program
- Training and qualifications of safety professionals assigned to CNE-CNA-C6F
- SOH oversight of subordinate commands
- Safety database input

We note that CNE-CNA was cited for deficient safety staffing in the 2009 NAVINSGEN Command Inspection, and in 2012 hired a civilian Safety Professional who ran the program for 2 years before departing in the summer of 2014. CNE-CNA-C6F realigned the civilian vacancy and appointed an active duty O-4, who also serves as the Deputy Force Protection Officer, as their Safety Officer. The CNE-CNA-C6F Safety Officer is making good efforts to comply with program elements, but he has completed only two of the nine required courses required by instruction for Safety Officers. Additionally, only one safety oversight inspection of subordinate commands had been completed at the time of inspection. While the command is reporting mishaps in the Electronic Safety Administration and Management System (ESAMS), they were not completing the mishap reporting process in the Web-Enabled Safety System (WESS) at the time of inspection. CNE-CNA-C6F is currently working to correct this reporting issue.

Deficiency 4. CNE-CNA-C6F does not have a full time safety professional serving as Safety Officer. Reference: OPNAVINST 5100.23G CH-1, Section 0302.

Deficiency 5. The CNE-CNA-C6F Safety Officer has completed only two of nine required safety training courses. Reference: OPNAVINST 5100.23G CH-1, Section 0602.d(2).

Deficiency 6. CNE-CNA-C6F is not providing the required safety oversight of their lower echelons, which include shipboard, aviation, and industrial activity safety programs. Reference: OPNAVINST 5100.23G CH-1, Sections 0904 and 0905.

Deficiency 7. CNE-CNA-C6F was not completing safety mishap reports in the Web-Enabled Safety System (WESS) as required by instruction. Reference: OPNAVINST 5100.23G CH-1, Section 1401c.

SECURITY PROGRAMS AND CYBERSECURITY/TECHNOLOGY

The Security Programs and Cybersecurity and Technology Team used survey and focus group responses, document review, and face-to-face interviews to assess the following areas:

- Information Security
- Personnel Security
- Industrial Security
- Special Security Programs
- Operations Security (OPSEC)
- Counterintelligence (CI)/Insider Threat
- Physical Security
- Antiterrorism/Force Protection (ATFP) mission
- Cybersecurity
- Personally Identifiable Information

Command Security Overview

NAVINSGEN reviewed compliance with mandatory personnel, information, industrial, and operations security requirements. Additionally, NAVINSGEN reviewed special security programs, the command's ATFP mission, cybersecurity, and insider threat.

CNE-CNA-C6F has a small, well-run Security Office consisting of one Command Security Manager (CSM) and two Security Specialists responsible for Information Security, Personnel Security, and Physical Security for the command. The Security Office also has one Security Assistant who works **b7e**

b7e There is one vacant, funded billet in the security office (Assistant Security Manager). Due to an office manning shortage, the CSM also performs Industrial Security duties.

The CSM is also the command's primary **b7e**

CNE-CNA-C6F executes a Security Education program and demonstrates oversight of subordinate commands. The CSM is designated in writing and attended the required training for his assignment. The Acting Assistant CSM (also the Physical Security Specialist) is scheduled to attend the Naval Security Manager's course in May 2015.

CNE-CNA-C6F's signed security instruction is dated 23 Sep 2009 and was in revision at the time of the inspection. NAVINSGEN reviewed the draft revision, CNE/CNA/C6FSTAFFINST 5530.36,

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b7e Specifically, the draft instruction lacks the minimum required elements of a Command Security Instruction, as required by SECNAV M5510.36, Department of the Navy

Information Security Program, Exhibit 2A, and SECNAV M5510.30, Department of the Navy Personnel Security Manual, Appendix C.

Examples of missing elements include (but are not limited to): **b7e**

[REDACTED]

Deficiency 8. The draft CNE/CNA/C6FSTAFFINST 5530.36 does not meet the minimum required elements of a Command Security Instruction. References: SECNAV M 5510.36, Exhibit 2A; and SECNAV M5510.30, Appendix C.

Recommendation 4. That CNE-CNA-C6F evaluate **b7e**

[REDACTED]

Information Security

Deficiency 9. CNE-CNA-C6F's classified material emergency destruction plan **b7e**

[REDACTED]

Industrial Security

Industrial security at CNE-CNA-C6F is ineffective in practice and requires a comprehensive, formalized approach to ensure all security requirements are met for contractors. CNE-CNA-C6F hosts contractors on classified contracts managed by CONUS commands and is required to have an industrial security policy in place, as stipulated in SECNAV M5510.36, Section 11-1. CNE/CNASTAFFINST 4330.1, Classified Contractor Oversight, is effectively the command's industrial security policy.

We found several instances of CNE-CNA-C6F not following its own instruction, lack of CORs within the command to perform necessary industrial security functions, and lack of check-in and check-out procedures in CNE/CNASTAFFINST 4330.1, **b7e**

[REDACTED]

CNE/CNASTAFFINST 4330.1, paragraph 4 requires the command draft and approve a Visitor Group Security Agreement (VGSA) if a contract calls for a "long term (greater than 90 days)" onsite contract support. The VGSA is intended to provide formal security guidelines to a visiting contractor; we found at **b7e**

[REDACTED] At the time of the inspection, the CNE-CNA-C6F CSM did not have a list of CORs at the command who would normally work with him to meet industrial

security requirements; COR duties are delineated in SECNAV M5510.30, Section 2-7 and SECNAV M5510.36, Sections 2-6 and 11-5.

We reviewed the VGSA in detail and conclude that the agreement is too broadly worded, states incorrect references (for example, "SECNAV 5510.36"; this should read SECNAV M5510.36, Section 2-6 and Chapter 11), lacks command-specific procedures, and does not specifically designate command personnel who perform required security duties for the contractors at CNE-CNA-C6F. The VGSA also lacks procedures for contractor check-in and check-out; this is required per DoDI 1000.13, Identification (ID) Cards for Members of the Uniformed Services, Their Dependents, and Other Eligible Individuals, Enclosure 2, paragraph 8d.

Two notable examples illustrate our conclusion:

Example 1: b7e [Redacted]

Example 2: b7e [Redacted]

CNE-CNA-C6F is developing an updated Command Security Instruction. We recommend a complete revision to the command's industrial security policy be included in the CNE/CNA/C6FSTAFFINST 5530.36 and, after approval, cancellation of CNE/CNASTAFFINST 4330.1.

Deficiency 10. The Command Security Office does not have on file all DD254s (Contract Security Classification Specification) for classified contracts in execution at CNE-CNA-C6F. Reference: SECNAV M5510.36, Section 11-4, paragraph 4.

Deficiency 11. CNE/CNASTAFFINST 4330.1 lacks specificity b7e [Redacted]

References: SECNAV M5510.36, Exhibit 2A, paragraph 2k; and SECNAV M- 5510.30, Section 2-7.

Deficiency 12. The VGSA (Enclosure (1)) of CNE/CNASTAFFINST 4330.1 lacks contractor check-in and check-out procedures. Reference: DoDI 1000.13, Enclosure 2, paragraph 8d.

Deficiency 13. b7e

Recommendation 5. That CNE-CNA-C6F overhaul their industrial security instruction and incorporate the changes into the CNE/CNA/C6FSTAFFINST 5510.36 series.

Special Security Programs

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b7e

Operations Security (OPSEC)

CNE-CNA-C6F has an OPSEC program in place and has records of completion of OPSEC training for all personnel. The command's OPSEC Program Manager and OPSEC Officer are designated in writing. The command completed an annual review in December 2014 to validate its program and an update to the command OPSEC instruction was in routing at the time of the inspection. The OPSEC Officer is involved with the contractual process to insure OPSEC requirements are included in locally developed contracts.

The OPSEC Program Manager does not provide sufficient oversight of subordinate commands specific to field sites. While not an explicit requirement at the time of the inspection, this will be a requirement in the forthcoming SECNAVINST 3070.1, Operations Security.

Neither the OPSEC Officer nor the Security Officer is involved in the review process of information intended for public release as required by DoD 5205.02-M, DoD Operations Security (OPSEC) Program Manual, Enclosure 5, paragraph 1a.

The command has an approved critical information list (CIL) for OPSEC which is covered in orientation training. However, the CIL is not available or posted throughout the command to enhance command awareness, per DoDM 5205.02-M, Appendix 1 to Enclosure 3, paragraph 2a(5). The effectiveness of the CIL is reduced because the CIL is general in scope vice being tailored to the mission of CNE-CNA-C6F.

Deficiency 14. The OPSEC Officer and CSM are not involved in the review process of information intended for public release. Reference: DoD 5205.02-M, Enclosure 5, paragraph 1a.

Deficiency 15. CNE-CNA-C6F's CIL is not disseminated to the command so that organizational personnel know what information is critical and requires protection. Reference: DoDM 5205.02-M, Appendix 1 to Enclosure 3, paragraph 2a(5).

Recommendation 6. That CNE-CNA-C6F re-examine the CIL, using the OPSEC process in DoDM 5205.02-M, Appendix 1 to Enclosure 3, to ensure the command's critical information is captured at the necessary level of fidelity to meet its OPSEC requirements.

Recommendation 7. That CNE-CNA-C6F implement oversight and support to subordinate commands for the OPSEC program.

Recommendation 8. That CNE-CNA-C6F modify their public release review process to include the OPSEC Officer, the CSM, web administrators, PAO and other officials designated by the commander who also share responsibility for the release of information.

Counterintelligence Support/Insider Threat

CNE-CNA-C6F has a robust Counter Intelligence (CI) education program as provided by the onsite NCIS representatives. NCIS offers numerous opportunities for arriving command members to receive initial CI training upon arrival and actively supports annual refresher training.

b7e [REDACTED]

b7e [REDACTED]

Deficiency 16. b7e [REDACTED]

Deficiency 17. b7e [REDACTED]

Physical Security

CNE-CNA-C6F is in compliance with OPNAVINST 5530.14E CH-2, Navy Physical Security and Law Enforcement Program, and other relevant directives.

Antiterrorism/Force Protection Mission

CNE-CNA-C6F effectively executes the ATRP mission. The Force Protection (N334) staff has a formal, forward-looking process utilizing expertise from the command, Navy Region, and NCIS to plan, execute and assess port visits by C6F and transiting units in theater.

Recommendation 9. That CNE-CNA-C6F follow up with ATRP After Action Reports (AAR) from visiting ships who state in their AAR that they contacted the local NCIS field office.

Recommendation 10. That CNE-CNA-C6F revise the CNE-CNA-C6F draft OPORD 4000 to reflect current command relationships and responsibilities.

Cybersecurity

As we reviewed CNE-CNA-C6F's preparations for its upcoming Cybersecurity Inspection, we noted **b7e**

Issue Paper A-3 addresses this issue in further detail.

Deficiency 18. Two personnel filling Cyber Workforce positions do not meet certification requirements. Reference: DoD 8570.01-M, Information Assurance Workforce Improvement Program, Chapter 4, Section C4.2.3.

Deficiency 19. CNE-CNA-C6F does not identify, document, track, and report to the DON CIO the certifications and certification status of all contractors performing Privileged User or Information Assurance manager functions. References: SECNAVINST 5239.3B, Department of Navy Information Assurance Policy, paragraph 7a(7); DoDD 8570.01, Information Assurance Training, Certification, and Workforce Management, Section 5.9.7.

Deficiency 20. The CNE-CNA-C6F Cyber Security Instruction (CNE-CNA-C6F INST 8500.1, Information Assurance) does not **b7e**

Deficiency 21. Several CNE-CNA-C6F non-program of record IT systems have expired accreditations and certifications. Reference: SECNAV M 5239.1, Chapter 3, Section 3.4.1.1.

Personally Identifiable Information (PII)

Deficiency 22. CNE-CNA-C6F does not track annual PII training for civilian employees or contractors. Reference: ALNAV 070/07, Department of the Navy (DON) Personally Identifiable Information (PII) Annual Training Policy, paragraph 1a.

Deficiency 23. CNE-CNA-C6F does not maintain an auditable record of PII semi-annual spot checks. Reference: ALNAV 070/07, paragraph 1b.

RESOURCE MANAGEMENT/COMPLIANCE PROGRAMS

The Resource Management/Compliance Programs Team assessed 18 programs and functions. Our findings reflect inputs from survey respondents, onsite focus group participants, document review, direct observation, and face-to-face personnel interviews. While this report describes findings and deficiencies identified during the timeframe of our inspection, we note that CNE-CNA-C6F then promptly accomplished corrective actions related to deficiencies in the following programs: Voting Assistance, Inspector General functions.

The following programs and functions are considered to be well administered and in full compliance with applicable directives:

- Financial Management/Comptroller Functions
- Managers' Internal Control
- Government Travel Charge Card
- Government Commercial Purchase Card
- Personal Property Management
- Command Individual Augmentee Coordinator Program
- Deployment Health Assessment
- Individual Medical Readiness
- Physical Readiness Program
- Sexual Assault Prevention and Response (SAPR)
- Suicide Prevention
- Navy Alcohol and Drug Abuse Prevention
- Hazing Training and Compliance
- Command Managed Equal Opportunity
- Legal and Ethics
- Victim and Witness Assistance Program

The following program was found to be not fully compliant:

Voting Assistance Program (VAP)

CNE-CNA-C6F VAP is judged to be mostly effective with readily correctable administrative deficiencies. Shortcomings in the Voting Assistance program in relation to DoDI 1000.04, Voting Assistance Program and 10 U.S.C. 1566f include the following:

Deficiency 24. The Voting Assistance role is not included in the Voting Assistance Officer's performance objectives and performance evaluations. Reference: 10 U.S.C. 1566f; CNIC 2014-2015 Navy Voting Action Plan of April 2014.

Deficiency 25. Documentation of annual training in voting matters such as absentee registration and voting procedures has not been maintained as required. Reference: DODI 1000.04, Enclosure 4, paragraph 2s(3).

Deficiency 26. The required dedicated email address for Voting Assistance Officer contact is not in place. Reference: DODI 1000.04, Enclosure 4, paragraph 2r.

The following program was found to be noncompliant:

Inspector General (IG) Functions

A Quality Assurance Review (QAR) of CNE-CNA-C6F IG Hotline performance found that it was not compliant with SECNAVINST 5370.5B, DON Hotline Program, in that there was no investigator in the required GS-1800 position series at the time of our inspection. Additionally, we recommend that at least the GS-15 IG billet and the reclassified 1800 series billet be realigned to the echelon 2 CNE-CNA Unit Identification Code (UIC) to reflect the requirement for a full-time, dedicated GS-15 or O-6 IG and a Hotline program at this echelon 2 command (SECNAVINST 5370.5B, paragraph 8a). At the time of the inspection, all of the CNE-CNE-C6F IG billets were aligned under the echelon 3 C6F UIC. This has since been corrected. The GS-15 IG billet was moved to the echelon 2 UIC. Additionally, the additional IG billet was reclassified to the 1800 series, and moved to the echelon 2 UIC, resolving the below deficiency.

Greater emphasis is required on oversight of lower echelons. CNE-CNA-C6F does not have an established track record of comprehensive and systematic oversight of subordinate command's management functions. We view the IG as an appropriate lead for coordination of enhanced oversight.

Deficiency 27. There was no investigator in the required GS-1800 position series as required for the Hotline program at the time of our inspection. Reference: SECNAVINST 5370.5B, paragraph 8c.

SAILOR PROGRAMS

The NAVINSGEN Senior Enlisted Advisor engaged in various leadership groups, both junior and senior. Separate meetings were held with key program holders to get a sense of the career management programs throughout the command. In general, Sailor career management programs were established throughout the command and command leadership was engaged with the career development board process.

Our overall assessment is that foundational programs were established to support Sailors' career development. Sailors displayed sharp uniform appearance, outstanding military bearing and exhibited behavior consistent with good order and discipline. Command leaders were abreast of challenges presented by junior Sailors and were actively involved with necessary actions to resolve them to the extent possible.

Sailor Career Management Programs

Areas reviewed included the Command Sponsorship, Command Indoctrination, and Career Development Programs.

Command Sponsorship Program

This program is in compliance with OPNAVINST 1740.3C, Command Sponsor and Indoctrination Program.

Command Indoctrination Program (INDOC)

CNE-CNA-C6F's INDOC program is in compliance with OPNAVINST 1740.3C.

Career Development Program (CDP)

CNE-CNA-C6F's CDP is in compliance with OPNAVINST 1040.11D, Navy Enlisted Retention and Career Development Program.

Recommendation 11. That CNE-CNA-C6F ensure Career Development Boards are documented properly.

Appendix A: 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 A-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 31 October 2015. 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 NAVINSGEN. 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 NAVINSGEN concurrence.
- When action addressees consider required action accomplished, the status report submitted should contain the statement, "Action is considered complete." However, NAVINSGEN approval must be obtained before the designated action addressee is released from further reporting responsibilities on the recommendation.
- NAVINSGEN point of contact for ISRs is b7c [REDACTED]

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

COMMAND	RECOMMENDATION NUMBER(S) XXX-15
DASN(CHR)	006, 007
ASN(M&RA)	008
DON CIO	009, 010, 011
FCC	009, 010, 011
OPNAV N2/N6	010, 011

ISSUE PAPER A-1: CIVILIAN OVERSEAS RECRUITMENT CHALLENGES

References: (a) SECNAVINST 12300.9, Staffing, Placement and Employment, 1 Apr 11
(b) Civilian Human Resources Manual, Subchapter 330.1, Standard Recruitment Request for Personnel Action Procedures

Issue: Civilian recruitment for the overseas environment holds particular challenges.

Background: It takes approximately 190 days, on average, to hire a civilian at CNE-CNA-C6F due to the many steps involved in the overseas hiring process from the time a vacancy is submitted for recruitment until a person enters on duty. This in turn makes it difficult for CNE-CNA-C6F to keep its vacancy rates low.

Discussion: The effects of sequestration, hiring freezes and a government shutdown in Fiscal Year (FY) 2013 severely impacted hiring timelines as most recruitment actions were placed on hold for approximately 18 months. This affected recruitment efforts across the Navy and significantly contributed to long delays in CNE-CNA-C6F's ability to fill vacancies.

Recruitment timelines have also been extended as the Department of the Navy (DON) participates in Operation Hiring Solution, an effort to have all of Navy's major commands staffed up to FY15 controls so DON does not lose labor funding due to under-execution. This is causing a larger than normal number of recruitment actions being submitted to Office of Civilian Human Resources (OCHR) Operations Centers.

The Overseas Civilian Hiring process is substantially more complex than the CONUS hiring process, which has many stakeholders and can be very lengthy. The CNREURAFSWA Human Resources Office (HRO) lacked a clearly outlined overseas hiring/onboarding process for prospective hires to follow, including actions for them to take prior to leaving CONUS and actions for after reporting OCONUS.

In order for a prospective civilian employee to fully prepare for and efficiently assume an overseas position, that individual needs to know as early as possible the required documentation, process steps, points of contact, sequence of actions, and available benefits and allowances (e.g., transportation of household goods, foreign transfer allowance (FTA), post allowance, separate maintenance allowance (SMA), educational travel, advance of pay, temporary quarter subsistence allowance (TQSA), and living quarters allowance (LQA)). Further, they need access to a reliable

human resources professional to render assistance throughout the process.

While OCHR Stennis, CNE-CNA-C6F's servicing OCHR, is taking longer than average to issue certificates due to heavy workload, other stakeholders in the recruitment process have responsibilities that can cause delays if not managed aggressively. Factors that impact recruitment timeliness include delays on the front end by the command in submitting the Request for Personnel Action (RPA) to initiate the recruitment action, delays related to OCHR advice and guidance on recruitment practices, delays associated with developing an accurate announcement and assessment, delays in OCHR evaluation of applicant qualifications and production of a list of candidates, delays in manager selection, and delays associated with selectees completing required onboarding actions, such as passport and visa processing.

We found that the longest segment (approximately 2/3 of the recruitment timeline) in the overseas recruitment process is from the time the hiring manager makes a selection until entrance on duty. This delay results from the time required to obtain passports, visas, preparing for and coordinating the household goods move, etc.

The complex process and roles and responsibilities of overseas hiring are not clearly understood by DON stakeholders enterprise-wide and consolidated and comprehensive guidance for managers does not exist.

DON OCHR is conducting a Continuous Process Improvement (CPI) on overseas recruitment. This CPI will specifically identify the various overseas hiring processes currently being used and will attempt to refine those processes to produce more efficient and effective overseas recruitment. It will also attempt to refine those processes to make the accomplishment of such work more effective.

In addition to the CPI on overseas recruitment, DON OCHR will soon issue a decision on the overseas HR delivery service model. In April 2012, HR Service Delivery was implemented in CONUS with the intention of being reviewed for implementation overseas. DON OCHR, in partnership with Navy major commands, is conducting a CPI on overseas service delivery, scheduled to go into effect in FY16. A formalized list of services, roles, and responsibilities is under development.

Importantly, the solution to overseas recruitment challenges and lengthy hiring timeframes does not reside solely in the Human Resource Offices; leaders should view this entire process as a system from identification of

an upcoming vacancy, through advertising the position, to selection and onboarding. Teamwork with all stakeholders is critical to shortening the timeframes to bring new employees onboard.

Recommendation: 006-15. That Deputy Assistant Secretary of the Navy, Civilian Human Resources (DASN(CHR)) direct the publication of a Civilian Human Resources Manual or equivalent Manager's Guide for DON Overseas Civilian Hiring process. The guide should incorporate RPA requirements, timelines, metrics, process mapping, and decisions and process improvements from DON Overseas Human Resources Service Delivery and Overseas Recruitment Continuous Process Improvement Initiatives, scheduled for completion the end of FY15.

007-15. That DASN(CHR) direct the formal establishment of overseas "ombudsmen" at HROs to guide the prospective employee efficiently through the steps associated with hiring/onboarding to an overseas position to include benefits and entitlements.

NAVINGEN POC:

b7c [REDACTED]

ISSUE PAPER A-2: LACK OF A SERVICE DEPLOYMENT SYSTEM

References: (a) JP 1-0 Joint Personnel Support, 24 Oct 11
(b) CJCSM 3150.13C, Joint Reporting Structure—Personnel Manual, 10 Mar 10

Issue: Navy is the only service which has not implemented a service deployment system (service-wide, daily, personnel accountability system).

Background: Navy is the only service which has not implemented a service deployment system (service-wide, daily, personnel accountability system). This is different from Disaster Accountability (which is covered by Navy Family Accountability and Assessment System (NFAAS)). The other services have implemented systems that track each individual's status daily. The Air Force uses Deliberate Crisis Action Planning and Execution Segment (DCAPES), the Marine Corps uses Secure Personnel Accountability (SPA), and the Army uses Deployed Theater Accountability System (DTAS). All three of these systems feed the Joint Staff system called JPARR (Joint Personnel Accountability Reconciliation and Reporting). The Navy is the only service without a feed into JPARR as required by the Joint Staff J1 and reference (a), Chapter III, Joint Personnel Planning, paragraph 9c(2).

Discussion: As the Service Component for two Geographic Combatant Commanders, CNE-CNA-C6F is required to know which Navy personnel (servicemembers, government civilians, and contractors) are in their extensive area of responsibility (AOR), no matter their status, origin (permanently assigned, leave, temporary duty, etc.), or command and control relationship with CNE-CNA-C6F. Without a service deployment system, it is difficult to ascertain on a daily basis who is in the AOR. When there is an event requiring an understanding of who is in a specific country (for example, a recent terrorist attack in Paris, France), it requires an excessive amount of time and man-hours to determine who is in country, absent a full-scale Navy-wide NFAAS muster, which would take days to complete. CNE-CNA-C6F uses Defense Travel System (DTS), Aircraft and Personnel Automated Clearance System (APACS), Navy Standard Integrated Personnel System (NSIPS), and other individual feeds that still produce inaccurate and/or incomplete information on individuals' locations. JPARR has the ability to automatically produce web-based, real-time, customized Joint Personnel Status (JPERSTAT) reports as required by reference (b). JPERSTATs are being produced by hand at CNE-CNA-C6F, due to a lack of a service deployment system.

Recommendation: 008-15. That Assistant Secretary of the Navy, Manpower & Reserve

Affairs (ASN(M&RA)) direct development and/or adoption of tools necessary to achieve service deployment system capability.

NAVINGEN POC:


b7c



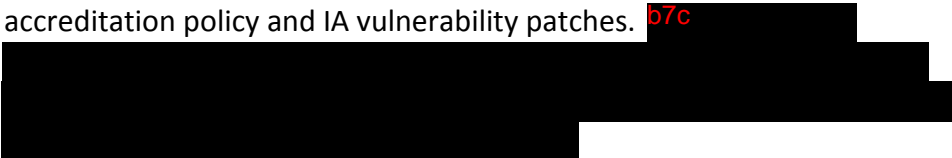
ISSUE PAPER A-3: CERTIFICATION, ACCREDITATION AND VULNERABILITY MANAGEMENT OF NAVY PROGRAM OF RECORD INFORMATION SYSTEMS (IS)

- References:
- (a) Subchapter III of Chapter 35 of title 44, United States Code, Federal Information Security Management Act (FISMA)
 - (b) DoDD 8500.01E, Information Assurance (IA)
 - (c) DoD Instruction 8510.01, Risk Management Framework (RMF) for DoD Information Technology (IT)
 - (d) DON IT Portfolio Repository (DITPR DON) Database Review
 - (e) Enterprise Mission Assurance Support Services (EMASSs) Database Review
 - (f) OPNAVINST 5239.1C, Navy Information Assurance (IA) Program
 - (g) NAVADMIN 307/11, Information System Certification and Accreditation (C&A) Compliance

Issue: Systems Commands (SYSCOM) are not in compliance with Department of Defense (DoD) and Department of Navy (DON) certification and accreditation policy and installation of security patches to information systems (IS). b7c



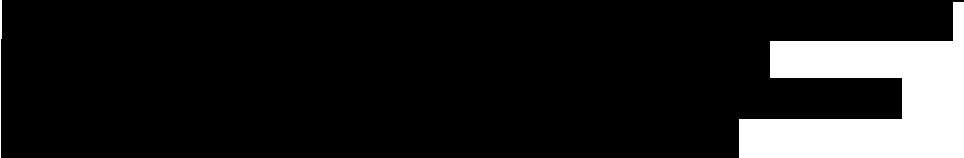
Background: References (a) through (g) establish U.S. Fleet Cyber Command's (FCC) responsibility for Navy's networks' compliance, accreditation, and certification. Reference (g) specifies DON Chief Information Officer (CIO) responsibility to enforce compliance with DoD and DON certification and accreditation policy and IA vulnerability patches. b7c



Discussion: FCC serves as the Navy Operational Designated Approval Authority (ODAA) and is the central authority for certification and accreditation of Navy ISs, per references (f) and (g). FCC is also charged to assess application of IA vulnerability patches during Cyber Security Inspections (CSI).

While FCC is responsible for accreditation and CSI, it is Resource Sponsors and SYSCOMs that are responsible for ensuring IS meet certification and accreditation standards and for updating and managing IA security vulnerabilities patches. Per reference (g), DON CIO, in collaboration with FCC/Commander, TENTH Fleet, will enforce policy compliance for all accreditations to reduce overall risk to the DoD Information Network

(DODIN) while ensuring limited impact to operational readiness. However, neither DON CIO nor FCC is enforcing policy compliance with the program owners (Program Managers (PM) and SYSCOMs). b7e



Recommendations: 009-15. That DON CIO, in collaboration with FCC, fully enforce accreditation policy compliance to reduce overall risk to the Global Information Grid (GIG), in accordance with reference (h).

010-15. That Commander, FCC, in coordination with OPNAV N2/N6 and DON CIO, coordinate with PMs and SYSCOMs to determine accreditation status of all Navy Information Systems, and a path to correct outstanding deficiencies.

011-15. That Commander, FCC, in coordination with OPNAV N2/N6 and DON CIO, coordinate with PMs and SYSCOMs to determine IA security patches status of all Navy Information Systems, and a path to correct outstanding deficiencies.

NAVINGEN POC:

b7c



APPENDIX B: Summary of Key Survey Results

PRE-EVENT SURVEY

In support of the Commander, U.S. Naval Forces Europe (CNE)/Commander, U.S. Naval Forces Africa (CNA)/Commander, U.S. SIXTH Fleet (C6F) Command Inspection held 26 February to 9 March 2015, the Naval Inspector General (NAVINSGEN) conducted an anonymous on-line survey of active duty military and Department of the Navy (DON) civilian personnel from 12 January 2015 to 13 February 2015. The survey produced 362 respondents (284 military, 78 civilian). According to reported demographics the sample slightly overrepresented the CNE-CNA-C6F civilian workforce with approximately 5.5% margin of error at the 95% confidence level. Selected topics are summarized in the sections below. A frequency report is provided in Appendix D.

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 CNE-CNA-C6F average quality of work life (QOWL), 6.20, was lower than the historical echelon 2 average, 6.62 (Figure B-1), driven by different average ratings between military (6.40) and civilian (5.46) respondents. The overall CNE-CNA-C6F average quality of home life (QOHL), 7.10, was lower than the historical area visit average, 7.88 (Figure B-2).

The perceived impact of factors on QOWL rating is summarized in Table B-1. Factors of potential concern were identified by distributional analysis, where 20% negative responses served as a baseline. Workload (30%) and Work Hours/Schedule (26%) were most frequently identified as negative impacts on QOWL; however, several differences in negative responses percentages between Civilian-Military and Male-Female were observed (compare bold subgroup values with their counterpart in Table B-1).

The perceived impact of factors on QOHL rating is summarized in Table B-2. Access to spouse employment (33%) was most frequently identified as a negative impact on QOHL.

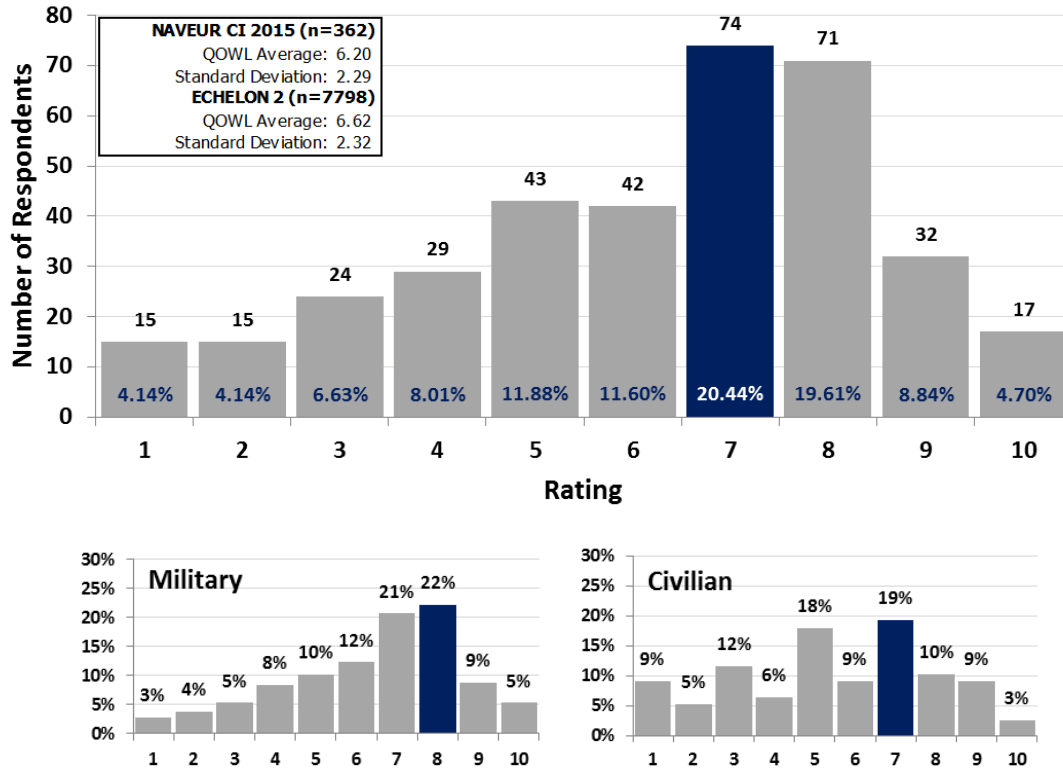


Figure B-1. Top: Distribution of quality of work life ratings from the pre-event survey. The x-axis lists the rating scale and the y-axis represents the number of survey respondents. Response percentages for ratings are shown at the base of each bar. Counts for each rating are shown above each bar. The most frequent rating is shown in blue. Bottom: Distribution of quality of work life ratings between military and civilian respondents.

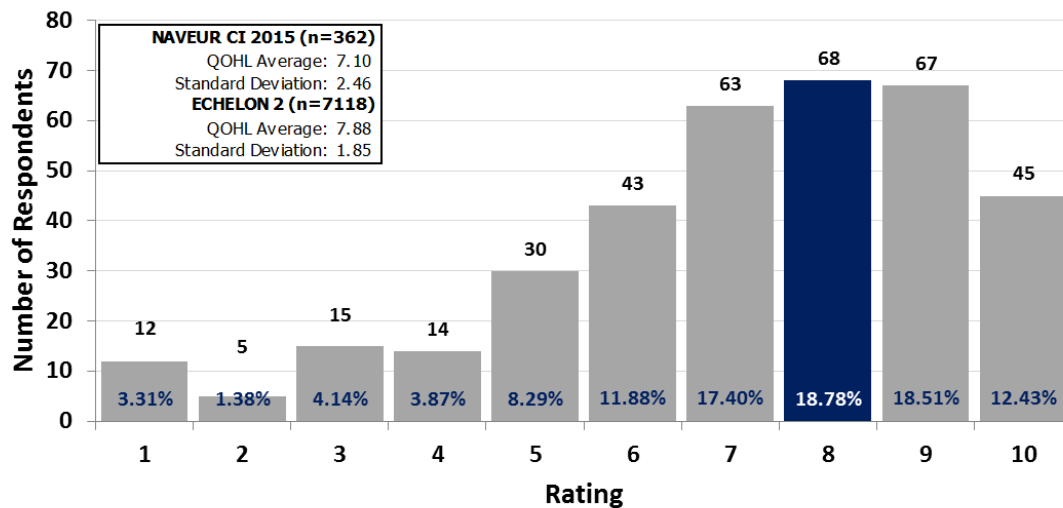


Figure B-2. Distribution of quality of home life ratings from the pre-event survey. The x-axis lists the rating scale and the y-axis represents the number of survey respondents. Response percentages for ratings are shown at the base of each bar. Counts for each rating are shown above each bar. The most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

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

Factor	Military	Civilian	Male	Female
Job satisfaction	17%	18%	15%	24%
Leadership support	17%	33%	19%	26%
Leadership opportunities	20%	42%	19%	45%
Workload	31%	29%	33%	22%
Work Hours/Schedule	28%	21%	27%	22%
Advancement opportunities	15%	47%	20%	29%
Awards and recognition	20%	38%	23%	27%
Training opportunities	21%	41%	25%	24%
Command morale	21%	38%	21%	41%
Command climate	17%	38%	19%	33%

Notes. Perceived impact of assessed factors on quality of work life rating based on negative (percentages shown) versus aggregate positive and neutral responses. Low percentages are "better." Factors in bold are significantly different from a 20% baseline; higher values in bold indicate significant differences between subgroups.

Table B-2. Negative Impacts on Quality of Home Life Rating

Factor	Negative	Other
Quality of home	19%	81%
Quality of the school for dependent children	7%	93%
Quality of the childcare available	7%	93%
Shopping & dining opportunities	17%	83%
Recreational opportunities	6%	94%
Access to spouse employment	33%	67%
Access to medical/dental care	13%	87%
Cost of living	22%	78%

Notes. Perceived impact of assessed factors on quality of home life rating based on negative versus aggregate positive and neutral (Other) responses. Low Negative percentages are "better." Negative percentages in bold are significantly different from a 20% baseline.

Job Importance and Workplace Behaviors

Table B-3 lists aggregate strongly agree and agree response percentages to survey questions addressing perceived job importance, and whether fraternization, favoritism, gender/sex discrimination, sexual harassment, or hazing occur at CNE-CNA-C6F. Overall echelon 2 percentages over a 5-year period are shown for comparison. Excepting job importance, lower values are “better.”

- Perceived job importance at CNE-CNA-C6F was comparable to the historical echelon 2 value.
- Perceived occurrence of sexual harassment and race discrimination at CNE-CNA-C6F were lower than historical echelon 2 values.

Table B-3. Perceived Job Importance and Occurrence of Workplace Behaviors

Question Topic	CNE-CNA-C6F	ECH 2
Job Importance	82%	79%
Fraternization	12%	14%
Favoritism	27%	30%
Gender/Sex Discrimination	9%	13%
Sexual Harassment	4%	8%
Race Discrimination	4%	10%
Hazing	3%	7%

Notes. Aggregate strongly agree and agree (SA+A) response percentages for selected command climate topics. Echelon 2 percentages are historical NAVINSGEN findings. Excepting Job Importance, lower percentages are “better.” Bold values indicate a significantly different distribution of SA+A responses than historical echelon 2 (ECH 2) values.

Mission Tools & Resources

Table B-4 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 analysis, where 20% negative responses served as a baseline. Internet (33%) was the most frequently cited tool/resource that was identified as inadequate to support the mission. What about favorable ratings (training, workspace, software, intranet)?

Table B-4. Tools and Resources to Accomplish the Mission

Items	Inadequate	Other
People	19%	81%
Training	7%	93%
Workspace	7%	93%
Computer	17%	83%
Software	6%	94%
Internet	33%	67%
Intranet	13%	87%
Equipment	22%	78%
Materials & Supplies	17%	83%

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

APPENDIX C: Summary of Focus Group Perceptions

FOCUS GROUPS

On 26-27 February 2015 the NAVINSGEN conducted focus groups at Capodichino, eight with various groupings of active duty military ranks, and five with various groupings of civilian grades (make-up sessions were offered to accommodate work schedules). There were a total of 57 CNE-CNA-C6F focus group participants; 45 military, 12 civilians. Each focus group was scheduled for approximately one hour and consisted of one facilitator and two note takers. The facilitator followed a protocol script: (a) focus group personnel introductions, (b) brief introduction to the NAVINSGEN 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, and (e) subsequent refinement and discussion of participant-derived topics with an emphasis on understanding the perceived impact. Note takers transcribed focus group proceedings, which were subsequently entered and coded in a spreadsheet database to determine the total number of focus groups in which the same or comparable topic and its perceived impact were discussed.

Table C-1 lists focus groups topics that were expressed as a major impact on the mission, job performance, or quality of life in at least two focus groups. Military and civilian focus groups at CNE-CNA-C6F mentioned Manning/Manpower most often as having a major negative impact on the mission, job performance, and/or quality of life.

Table C-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	●●●●●	●	●
Education/Training	●●●●		
Leadership	●●●	●●	
Organizational Structure	●●●	●	●
Human Resources	●●	●	●
Internet/Corporate Tools	●●	●	

Notes. Descending order of the number of focus groups topics that were expressed as a major impact on the mission, job performance, and/or quality of life in at least two groups. Colored circles indicate active duty military (●) and civilian (●) focus groups at CNE-CNA-C6F.

Manning/Manpower

Several focus group participants in seven focus groups reported manning/manpower shortfalls with various perceived adverse effects on, but not limited to, work-hours (12-14 hrs/day), work schedule (6 days/wk), watchstanding, ability to simultaneously execute multiple missions, and quality of life (work-life balance). CNE-CNA-C6F is “a small staff with a large scope of responsibilities.” One participant claimed that manning/manpower shortfalls at CNE-CNA-C6F were confirmed in 2009.

Communication

Participants in six focus groups expressed major/moderate impacts on the mission and job performance (unusable work efforts and last-minute redirects on products), and quality of work life (increased work-hours), as a function of suboptimal top-down communication (e.g., information filters, unclear or outdated guidance, information relay).

Education/Training

One focus group expressed a major *positive* impact on quality of work life as a function of convenient access to college courses. “Many [Sailors] start college here.” Several participants in three focus groups expressed negative impacts on the mission, job performance, and quality of work life as a result of (1) employees in civilian supervisory roles who have not completed the requisite training, (2) purportedly zero personnel with ballistic missile defense training, or (3) the periodicity and questionable value of general training requirements, recognized as a “Big Navy” issue.

Leadership

The leadership of Admirals Burke and Davidson (the latter of which had transferred at the time of our inspection) were reported as a *positive* impact on the mission, job performance and quality of life by “foster[ing] a much better environment.” However, nearly all participants in five focus groups strongly expressed a need for further improvements in CNE-CNA-C6F leadership by setting priorities through the establishment of long-range goals and objectives, reducing the tendency to assume reactive or risk-averse postures, optimizing talent within the workforce, and willingness to remove layers of bureaucracy that may impede decision-making processes.

Organizational Structure

Participants in four focus groups expressed negative impacts on the mission, job performance, and quality of life when referencing the organizational structure. The interaction of manning/manpower, communication, and leadership concerns were noted as especially problematic in an organization that was described as a hybrid of three commands. Several participants expressed frustration in determining responsibilities within the organization. Some participants perceived that the staff “lives at the collateral level.”

Human Resources

Three focus groups expressed major and moderate negative impacts on the mission related to human resources support and services. Participants reported inaccuracies in position

descriptions, overdue position description reviews, and little to no guidance on how to deal with complaints. In terms of support for overseas employees: “There is virtually no one in the [United States] that I've dealt with at the HR [Human Resources] HQ [headquarters] who has any idea about working overseas.”

Internet/Corporate Tools

Participants in three focus groups expressed major and moderate negative impacts on the mission and job performance associated with OneNet performance (unreliable connectivity, slow), access to SECRET phone lines, and lack of support for legacy systems.

Other Focus Groups Topics with Expressed Major Impact

Topics that were expressed in at least one focus group as a major impact on the mission, job performance, or quality of life are briefly described below.

Housing (1 Major, 2 Moderate). Participants in two military focus groups expressed dissatisfaction with Italian employees in the Housing Office who appear to be advocates for landlords rather than service members, and treat the member according to their rank (presumably for more profit) rather than as equal customers. Negative impacts on quality of life were noted such as inflated rent (reported/perceived to be less for Italians living in the same type dwelling) and not abiding by contractual requirements (e.g., bottled water delivery).

Facilities (1 Major, 1 Moderate). Participants in two military focus groups expressed negative impacts on quality of work life associated with “dirty” workspaces and that local nationals often do not provide cleaning services in accordance with the contract. One participant noted that enlisted military members assist to maintain cleanliness.

Gym (1 Major). One military focus group participant expressed a major *positive* impact on quality of life due to a “nice and clean” gym and availability of personal trainers.

Command Climate (1 Major). One focus group participant described Flag level engagement (or lack thereof) as a “toxic environment.”

Equal Employment Opportunity (1 Major). One focus group expressed concern that the opinions/work of males may be favored over females (see Table B-1 differences between male and female respondents). This perception was corroborated by male participants in the focus group.

Readiness (1 Major). One focus group reported that CNE-CNA-C6F performs “a lot of NATO work.”

Temporary Lodging Allowance (TLA) (1 Major). One military focus group expressed a major negative impact on quality of life as a function of delayed TLA payments (reported up to two months). Participants noted that junior Sailors often do not have the requisite savings to assume debt or accommodate payment delays. One participant reported an incident in which a

sailor who did not budget for TLA placed lodging costs on a credit card: the TLA payment did not include compensation for interest charges. Participants believed that the Army pays for their staff directly and questioned why the Navy does not follow suit.

Travel (1 Major). One focus group expressed a major negative impact on job performance (time consuming, duplication of effort) associated with the “Staff Action Package” that must be submitted in addition to Defense Travel System input. The routing time for all travel submissions was reported to often exceed airfare restrictions—only good for 72 hours, thus producing re-submissions.

Location (1 Major). One focus group expressed a major *positive* impact on quality of life living in the Naples area to enable travel in Europe while on liberty/leave.

Morale, Welfare & Recreation (MWR) (1 Major). One focus group praised the MWR office and United Service Organizations in that there is “always something going on.” The Liberty Center was called out as a positive environment to meet people, use the internet, and watch movies.

Medical (1 Major). One focus group expressed a potential major negative impact on the ability to take care of Sailors and families by “trying to close Navy healthcare in southern Europe.” There was concern that southern Europe would become like Bahrain.

APPENDIX D: 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

Military		Civilian	
Male	Female	Male	Female
233	51	52	26
64%	14%	14%	7%

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 available opportunities for professional growth.

	1	2	3	4	5	6	7	8	9	10
Count	15	15	24	29	43	42	74	71	32	17
%	4.14%	4.14%	6.63%	8.01%	11.88%	11.60%	20.44%	19.61%	8.84%	4.70%

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

	+	N	-
Job satisfaction	177	124	61
Leadership support	180	109	73
Leadership opportunities	134	138	90
Workload	102	150	110
Work Hours/Schedule	133	134	95
Advancement opportunities	98	184	80
Awards and recognition	106	170	86
Training opportunities	122	149	91
Command morale	136	135	91
Command climate	151	132	79
Quality of workplace facilities	131	139	92

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	12	5	15	14	30	43	63	68	67	45
%	3.31%	1.38%	4.14%	3.87%	8.29%	11.88%	17.40%	18.78%	18.51%	12.43%

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	218	77	67
Quality of the school for dependent children	113	223	26
Quality of the childcare available	58	277	27
Shopping & dining opportunities	207	92	63
Recreational opportunities	247	95	20
Access to spouse employment	54	187	121
Access to medical/dental care	229	86	47
Cost of living	133	150	79

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

SD	D	N	A	SA
23	32	52	103	71
8%	11%	19%	37%	25%

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

SD	D	N	A	SA
22	71	52	100	36
8%	25%	19%	36%	13%

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

SD	D	N	A	SA
9	13	8	29	19
12%	17%	10%	37%	24%

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
14	13	18	17	16
18%	17%	23%	22%	21%

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

SD	D	N	A	SA
21	18	25	12	1
27%	23%	32%	16%	1%

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

SD	D	N	A	SA
26	10	23	17	2
33%	13%	29%	22%	3%

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

SD	D	N	A	SA
37	54	209	40	6
11%	16%	60%	12%	2%

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
19	35	53	122	54
7%	12%	19%	43%	19%

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

SD	D	N	A	SA
25	76	51	162	35
7%	22%	15%	46%	10%

My command is concerned about my safety.

SD	D	N	A	SA
12	11	44	176	106
3%	3%	13%	50%	30%

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

SD	D	N	A	SA
8	21	61	187	72
2%	6%	17%	54%	21%

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

SD	D	N	A	SA
10	17	37	160	129
3%	5%	10%	45%	37%

_____ is occurring at my command.

	SD	D	N	A	SA
Fraternization	18%	32%	38%	8%	4%
Favoritism	12%	25%	36%	19%	9%
Gender/Sex Discrimination	25%	34%	32%	6%	3%
Sexual Harassment	30%	35%	31%	3%	1%
Race Discrimination	30%	35%	31%	3%	1%
Hazing	34%	35%	28%	2%	1%

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

	SD	D	N	A	SA
People	17%	27%	10%	31%	15%
Training	6%	23%	20%	40%	11%
Workspace	5%	12%	13%	53%	18%
Computer	7%	13%	9%	51%	20%
Software	6%	16%	11%	49%	18%
Internet	5%	11%	11%	52%	21%
Intranet	5%	7%	16%	55%	18%
Equipment	5%	14%	13%	54%	14%
Materials & Supplies	6%	11%	17%	51%	14%

I have adequate leadership guidance to perform my job successfully.

SD	D	N	A	SA
22	36	63	155	78
6%	10%	18%	44%	22%

Communication down the chain of command is effective.

SD	D	N	A	SA
31	80	76	133	28
9%	23%	22%	38%	8%

Communication up the chain of command is effective.

SD	D	N	A	SA
27	61	79	151	30
8%	18%	23%	43%	9%

My performance evaluations have been fair.

SD	D	N	A	SA
17	18	88	152	72
5%	5%	25%	44%	21%

The awards and recognition program is fair and equitable.

SD	D	N	A	SA
22	35	120	123	47
6%	10%	35%	35%	14%

Military and civilian personnel work well together at my command.

SD	D	N	A	SA
14	29	53	169	82
4%	8%	15%	49%	24%

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

SD	D	N	A	SA
11	7	112	147	70
3%	2%	32%	42%	20%

My command adequately protects my personal information.

SD	D	N	A	SA
12	17	86	158	74
3%	5%	25%	46%	21%

My superiors treat me with respect and consideration.

SD	D	N	A	SA
16	31	40	176	85
5%	9%	11%	51%	24%

My command attempts to resolve command climate issues.

SD	D	N	A	SA
19	26	98	135	69
5%	7%	28%	39%	20%

I have adequate time at work to complete required training.

SD	D	N	A	SA
23	86	63	142	32
7%	25%	18%	41%	9%

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

Yes	No
59	287
17%	83%

When did you receive civilian supervisory training?

>3 yrs	1-3 yrs	<12 mos	Never
3	8	41	10
5%	13%	66%	16%

APPENDIX E: Acronyms Used in Fleet Comparison Table

C4F	Commander, FOURTH Fleet
C5F	Commander, FIFTH Fleet
C6F	Commander, SIXTH Fleet
C7F	Commander, SEVENTH Fleet
CDR	Commander
CFMCC	Combined Force Maritime Component Commander
CMF	Combined Maritime Force
CNA	Commander, U.S. Naval Forces Africa
CNE	Commander, U.S. Naval Forces Europe
COM	Commander
CPF	Commander, U.S. Pacific Fleet
CTF	Commander, Task Force
DIMS	Daily Intention Messages
HADR	Humanitarian Assistance/Disaster Response
JFC	Joint Force Commander
JFMCC	Joint Force Maritime Component Commander
JTF	Joint Task Force
MCO	Major Combat Operations
MDA	Maritime Domain Awareness
MNF	Multinational Force
MSO	Maritime Security Operations
NATO	North Atlantic Treaty Organization
NAVCENT	Naval Forces, U.S. Central Command
NAVSO	Naval Forces, U.S. Southern Command
OPTASK	Operational Task
TJFMCC	Theater Joint Force Maritime Component Commander
TSC	Theater Security Cooperation