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7 Jul 14

From: Naval Inspector General
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Subj: COMMAND INSPECTION OF NAVAL WAR COLLEGE

Ref: (a) SECNAVINST 5040.3A
       (b) SECNAVINST 5430.57G
       (c) UNSECNAV ltr of 16 Apr 12

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 of military and civilian naval personnel.

2. NAVINSGEN conducted a Command Inspection of the Naval War College from 29 July to 16 August 2013. This report documents our findings and is consistent with our review of all Navy academic institutions as directed in reference (c).

3. Our overall assessment is that NWC is currently successfully executing its mission to "educate and develop leaders, support defining future Navy and associated roles and missions, support combat readiness and strengthen global maritime partnerships." However, there are indicators that the margin of excellence for this institution has narrowed, and this trend may continue in the future unless external and internal factors are addressed. An overview of our findings and observations can be found in the Executive Summary.

4. This report has three parts. Part 1 is the Executive Summary (Page 4). Part 2 forwards our overall observations and findings and documents discrepancies noted during the inspection (Page 8). Part 3 contains a summary of survey and focus group data, as well as a complete listing of survey frequency data (Page 63). Throughout our report, we made recommendations to assist Navy leadership and NWC in addressing our findings. A list of these recommendations is provided in Appendix A (Page 100).

5. My point of contact is b7c

ANDREA E. BROTHERTON

Subj: COMMAND INSPECTION OF NAVAL WAR COLLEGE

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NAVAL INSPECTOR GENERAL
COMMAND INSPECTION OF
NAVAL WAR COLLEGE
29 JULY TO 16 AUGUST 2013

PART 1

EXECUTIVE SUMMARY

EXECUTIVE SUMMARY

1. The Naval Inspector General (NAVINSGEN) conducted a command inspection of Naval War College (NWC) from 29 July to 16 August 2013[1]. The team was augmented with subject matter experts, including personnel from the United States Naval Academy (USNA); the Naval Postgraduate School (NPS); Naval Supply Systems Command (NAVSUP); and members of the Navy Reserve. To prepare for the on-site inspection, we reviewed several key documents. These included NWC command brief and issue papers; significant issues documented in previous NAVINSGEN inspection reports; Naval Audit Service (NAVAUDSVC) Report N2013-0022, Naval War College Gift and Other Related Funds of 11 April 2013; recent command climate assessments; and issues previously identified by Navy leadership.

2. NWC is an Echelon II command located onboard Naval Station (NAVSTA) Newport, Rhode Island. NWC conducts its education and leadership development roles through residential programs, distance learning programs and shorter duration on-site educational offerings. Students include active duty United States Navy, Marine Corps, Coast Guard, Army and Air Force officers of intermediate and senior grades, senior enlisted naval personnel and intermediate-grade international officers.

3. Specific focus areas during our visit included: mission performance; academic matters related to faculty and the student body; educational programs; compliance with Navy administrative programs; facilities, safety and security, resource management/quality of life/community support; and foundational programs under the purview of senior enlisted leadership. Additionally, NAVINSGEN conducted surveys and focus group discussions to assess command climate.

4. Our overall assessment is that NWC is currently successfully executing its mission to "educate and develop leaders, support defining future Navy and associated roles and missions, support combat readiness and strengthen global maritime partnerships." By our evaluation, NWC operates above minimum accreditation requirements for professional military and graduate education. However, there are indicators that the margin of excellence for this institution has narrowed, and this trend may continue in the future unless external and internal factors are addressed. External factors include the value senior Navy leadership places on maritime-centric professional military education, and the impact of sequestration, furloughs, faculty travel limitations, and increased tasking without commensurate resources. Internal factors include organizational structure and governance, poor communications, faculty perceptions of ineffective corporate representation, hiring practices that favor proximity and familiarity with retired naval officers that may lack prestigious academic credentials and diversity. In addition, there are various command support requirements and administrative programs that are not fully compliant with federal and Navy regulations. Major concerns identified during our visit are listed below:

   a. *Diversity*. The faculty at NWC does not reflect the diversity of the Navy officer corps it serves and does not reflect the Navy's vision on diversity. The faculty of NWC is disproportionately white and male. Further, the disparity in minority representation among the faculty lags far behind the demographics of the student body. Past efforts by NWC have produced marginal results.

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[1] NAVINSGEN expended $162,724.20 to conduct the NWC Command Inspection. This cost does not include the salaries of the team members.

b. *Faculty Matters*. NWC faculty has relatively weak academic credentials and variable academic qualifications among its members. Compensation policies for the faculty are not market-based, in that they are significantly higher than market rate. A policy of repeated term appointments coupled with the lack of an effective corporate faculty voice prevents effective shared governance.

c. *Currency and Curriculum*. NWC must adapt to the rapidly changing, non-traditional areas of warfare to provide current, relevant and rigorous professional military education (PME) specifically in irregular warfare, cyber conflict and unmanned systems. We observed deterioration in the quality of education and research at Newport. This is more invidious and consequential than it may seem on the surface because it carries generational consequences.

d. *Organizational Structure*. The current organizational structure was a factor in non-compliance of certain programs mentioned in this report. Some positions require direct reporting to NWC President, especially those with compliance responsibilities. Overall, Navy programs and offices that execute University Operations may be more effective if separated from Academic Affairs. The Director for University Operations should be a full-time commitment with direct interaction with NWC President and not a dual-hatted role of the Chief of Staff reporting through the Provost.

e. *Conference and Travel Restrictions*. Policies limiting conference attendance and travel significantly erode NWC's ability to execute its mission. Travel is essential to ensure faculty remain credible and engaged with counterparts throughout the world, learn of new developments within their area of expertise and interact with United States (U.S.) policymakers. The cumulative effect of the inability to travel to professional conferences has an increasing adverse impact on the currency of the faculty, the reputation of the school and the currency of the curriculum.

f. *Total Force Management*. The b7c ████████████████████ and staff are not appropriately included in key parts of the hiring process (from position establishment to candidate selection), especially for Administratively Determined (AD) positions. Specifically, the Director is neither a participant in the strategic planning for staffing nor consulted for alternative recruitment strategies to provide a more diverse candidate pool.

g. *Safety and Occupational Health*. NWC has not established a Safety and Occupational Health Program or designated a qualified full-time safety manager as a key advisor to the NWC President, which is necessary to establish a safe and healthy workplace.

h. *Legal and Ethics*. NWC is increasingly seeking legal advice and review prior to taking action in the areas of intellectual property, contracting, civilian personnel and procurement law, suggesting the need to add an Office of General Counsel (OGC) attorney to the existing NWC legal staff.

i. *Inspector General (IG)*. We observed that the IG is a collateral duty in addition to primary duty as a Military Faculty Professor, which creates not only a workload challenge but a potential conflict of interest. NWC IG failed to process Hotline complaints in the NAVINSGEN case management system in accordance with NAVINSGEN policies and procedures. In addition, NWC IG failed to properly investigate or refer appropriate complaints to the command for investigation, and was unable to confirm whether complaints referred to the command were properly addressed.

j. *Acceptance of Gifts.* We discovered numerous deficiencies in the oversight, management, processing, and execution of monetary gifts of travel and gifts in-kind. Documentation was insufficient to demonstrate offers of monetary and in-kind gifts were used in the manner the donor intended.

k. *Copyright Royalties, Research Publication and Professional Development.* NAVINSGEN noted concerns regarding faculty use of government position to receive personal benefit from copyright royalties. Proposed legislation that would clarify the distinction between personal and official work and copyright law is under review by Congress. As such, NWC is advised to ensure faculty members consult with their respective chairs, deans and the Staff Judge Advocate prior to beginning a research and writing project to understand the distinction between personal and official work, and to review the project for legal compliance.

5. Command Climate/Quality of Life (QOL): We found command climate to be generally good. Assessed on a 10-point scale, average Quality of Home Life (QOHL) of 8.11 was above the Echelon II command inspection average of 7.65. Average Quality of Work Life (QOWL) of 6.92 was marginally higher than the Echelon II average of 6.56. On-site, NAVINSGEN conducted a total of 16 focus groups (6 military, 10 civilian) with a total of 121 participants (36 military, 85 civilian) to assess overall QOL. We also found QOL for Sailors and Navy civilian personnel assigned to NWC to be good.

6. Relevant sections of the report delineate specific deficiencies noted during the inspection and associated recommendations for correction or mitigation.

PART 2

OBSERVATIONS AND FINDINGS

OBSERVATIONS AND FINDINGS

1.   NAVINSGEN conducted a command inspection of NWC from 29 July to 16 August 2013. To prepare for the on-site inspection, we reviewed several key documents. These included NWC command brief and issue papers, significant issues of previous NAVINSGEN inspection reports, NAVAUDSVC Report N2013-0022, Naval War College Gift and Other Related Funds of 11 April 2013, recent command climate assessments, and issues previously identified by Navy leadership. Specific areas of focus included: mission performance, academic requirements and performance, faculty matters, educational programs and student body, total force management, facilities, safety compliance, command security program, resource management/quality of life/community support and Brilliant on the Basics of Sailor development.

I. MISSION PERFORMANCE

1.   Overview. This section addresses mission performance, academic requirements and performance, faculty matters, educational programs and student body and total force management.

2.   Statutory Authority to Educate Students. Title 10 United States Code (U.S.C.) 38, 107 and 609 provides the statutory authority for educating joint qualified officers. Title 10 U.S.C. 7101 authorizes NWC to confer degrees. Additionally, Title 22 U.S.C. authorizes international student education and Department of Defense Instruction (DoDINST) 5410.17 sets policy for international military, Department of Defense (DoD) civilians and military sponsored visitors. Based on the findings of our assessment, NWC operates within its statutory authority.

3.   Mission Accomplishment. The mission of NWC is to: "*educate and develop leaders, support defining future Navy and associated roles and missions, support combat readiness and strengthen global maritime partnerships.*" (Faculty Handbook p. 1-2). These four mission areas are accomplished primarily through the various programs at NWC. Our evaluation indicates that NWC programs are currently in "good standing" with joint and civilian accrediting bodies. The minimum requirements of accrediting bodies are only a baseline measurement and should not be construed by Navy leadership as a measure of excellence. High quality educational institutions create a margin of excellence in academic programs by operating well above minimum accreditation requirements. NAVINSGEN notes that NWC operates above minimum accreditation requirements for professional military and graduate education. However, we observed with some concern that there are indicators the margin of excellence for this institution is narrowing and this trend may continue unless certain external and internal causal factors are addressed.

   a.   External factors include the value senior Navy leadership places on maritime-centric professional military education, and the impact of sequestration, furloughs, faculty travel limitations, and increased tasking without commensurate resources. Further, current budgetary constraints limit the resources available to engage in teaching and research in non-traditional areas of warfare and technology (e.g., irregular warfare, cyber and unmanned systems). Evidence uncovered during this command assessment paints a picture of growing concern, a signal that NWC is slipping in its ability to deliver its most important product: thinking, adaptive naval officers and research to help the Navy operate in a dynamic future. As noted in NWC Program Objective Memorandum (POM), POM-14 Summary, page 7, NWC will "*...absorb some POM-14 requirements...if future cuts go beyond internal offsets, NWC must cut core functions.*"

b.   Internal factors include organizational structure and governance, poor communications, faculty perceptions of ineffective corporate representation, hiring practices that favor proximity and familiarity with retired naval officers that may lack prestigious academic credentials and diversity. As part of mission accomplishment Navy commands must also be in compliance with key Navy programs and foster a healthful work environment necessary to ensure a good QOL within the command. NWC is not in compliance with some command programs and these items will be discussed in their respective sections of this report.

c.   Collectively, the combined effect of these factors are eroding NWC's margin of excellence and thus reducing its ability to assist the Navy in this time of transition and change. This might be considered a "silent failure," which occurs with minimal outcry but has great consequences, unlike traditional defense programs that have the support of lobbyists and advocates. The deteriorating situation at NWC is likely to be more consequential in the long run than what is currently taking place on the waterfront before the eyes of Navy leadership.

4.   <u>Strategic Plan</u>. The effects of sequestration along with past shortfalls in resources related to mission requirements are likely to be considered in upcoming self-studies related to accreditation. A strategic plan could be utilized as a method to indicate a process improvement plan has been developed for recognized shortfalls. NWC does not have an approved strategic plan. The draft 2013 Strategic Plan does not include measureable short-term, mid-term and long-term goals in support of NWC's vision. For example, the plan does not include a long-term facilities strategy or a comprehensive Information Technology plan. It is essential to involve key program managers in the development of NWC's Strategic Plan.

5.   <u>Organizational Structure</u>. In our evaluation, the current NWC organizational structure (Figure 2-1) does not facilitate direct interaction among the President, the Provost and key personnel that manage Navy programs that are currently non-compliant. All departments report through the Provost to the President with the exception of the Flag Office and a few special advisors to the President. Other business functions do not have effective processes for information flow up and down the organization. We found that the current organizational structure was a factor in non-compliant programs and inefficient business functions. Most academic organizational models separate what, in Figure 2-1, is termed Mission Support and supporting functions from the Provost responsibilities. There is no definitive format for academic organizations and different models can be effective. A review of multiple university organization charts shows that most academic institutions separate "University Operations" from "Academics Affairs." In these models, the Provost focuses on academic matters and there is a senior director that handles the operational aspects of the school. Also in these models, the Chief of Staff is not "dual-hatted" as the senior director of operational support. In our evaluation, the lack of separation of the Provost and the "dual-hatting" of the Chief of Staff are causative factors to non-compliant programs, inefficient business practices and a lack of direct interaction between key personnel managing Navy programs and the President.
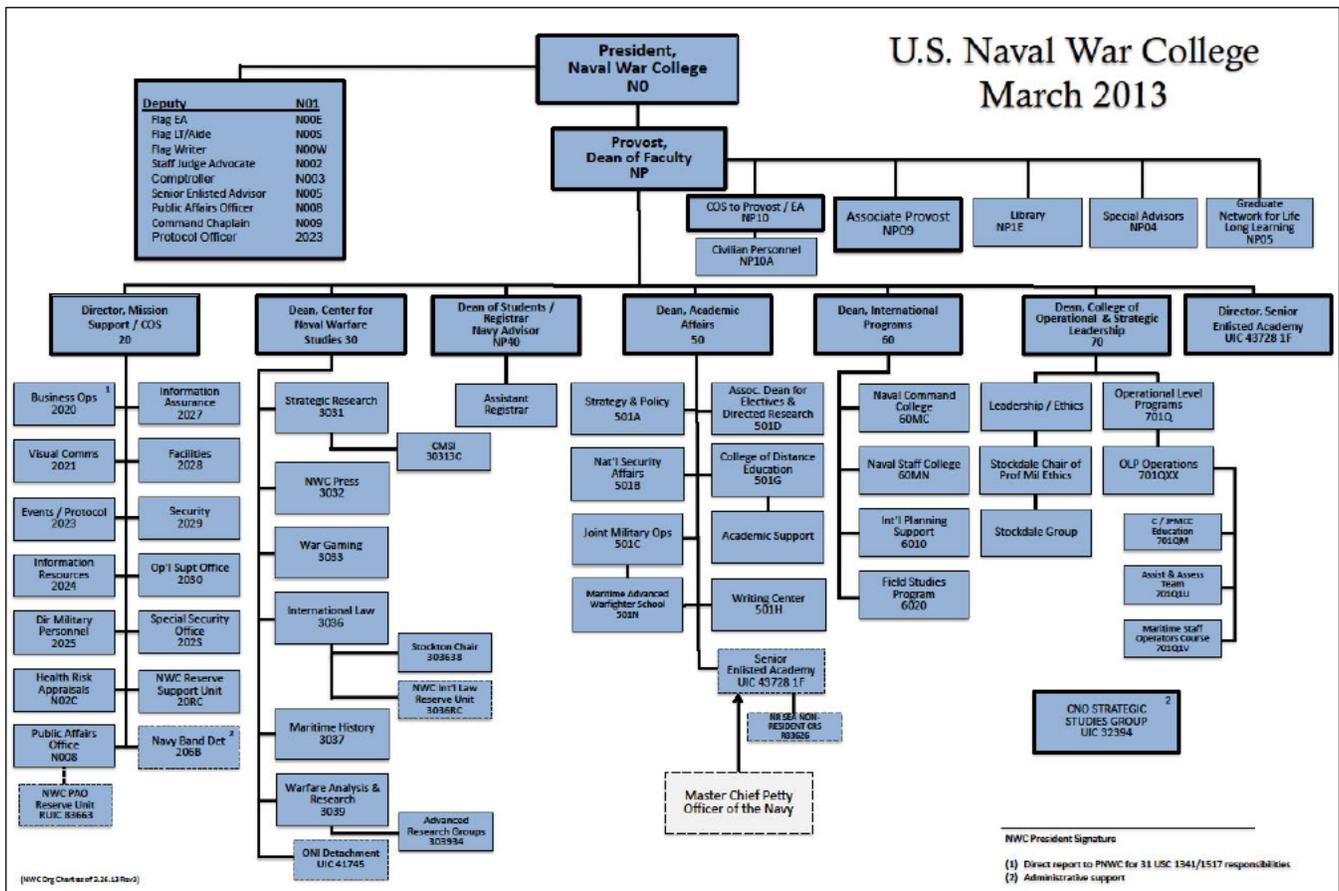
Figure 2-1. Naval War College Organization Chart.

RECOMMENDATION

073-13.   That NWC realign the organization to separate Academic and Mission Support lines of authority and ensure direct reporting for compliance-based programs to NWC President.

6. Internal Communications.

    a. Based on focus group comments, interviews and direct observations, internal communications at NWC require improvement. Some faculty members indicated the leadership in their chain of command does not adequately communicate on important faculty and academic processes, and there is little intra-departmental cooperation or collaboration. Faculty also indicated departments work independently without adequate cooperation. However, faculty in leadership positions did provide examples of faculty interaction and communication among departments. During weekly meetings attended by the Provost and the Deans, important information is shared. However, there is great variance in the nature of how this information is shared among and within different departments. For example, at least one of the departments did not disseminate any information from these meetings on a regular basis.

    b. In accordance with Office of the Chief of Naval Operations Instruction (OPNAVINST) 5450.207D, Mission, Function and Tasks of the Naval War College, Enclosure 1, Paragraphs 1.h. and 1.i., *"NWC is directed to be integrative in nature across all departments and functions."* However, in discussions with multiple faculty, emeritus faculty and administrators, the need for

more transparent integration of effort was raised as an important issue. Focus groups suggested an overly competitive or almost adversarial relationship among the three main academic departments: Strategy & Policy (S&P); National Security Affairs (NSA) and Joint Military Operations (JMO). These departments compete for resources, including staff, faculty, funding and student contact hours. Several faculty and staff stated that this competition undermines the quality of student experience and education. When asked to identify where cross-department integration occurred, most senior faculty referred to weekly meetings between the Provost and Department Chairs.

RECOMMENDATION

074-13.   That NWC analyze and improve command internal communications and effective collaboration among the various departments.

7. External Communications. NWC has wide-ranging stakeholders within the Navy and the DoD with whom it conducts regular and extensive communications. Additionally, NWC must maintain existing relationships and establish new ones with numerous academic institutions worldwide. NWC effectively uses a wide variety of communication media, including e-mail, written correspondence, websites, streamed video, and podcasts. Overall, NWC has an effective external communications plan. However, one area of improvement is external interaction with the Office of the Chief of Naval Operations (OPNAV) N15. NWC submits annual reports to the Joint Staff/J7 as outlined in Chairman of the Joint Chiefs of Staff Instruction (CJCSINST) 1800.01D CH-1, Officer Professional Military Education Policy. NWC personnel state they also send this information to OPNAV N15, but OPNAV N15 staff indicates they do not receive these required reports. OPNAVINST 1510.10C Corporate Enterprise Training and Activity Resource System, requires all Navy echelons to manage and report formal training data for all organizations that provide formal training to Navy personnel. There are indications that the relationship is not strong between these two organizations and could be fostered for the benefit of the Navy.

RECOMMENDATION

075-13.   That NWC submit annual and faculty reports to OPNAV N15 and the Joint Staff/J7 as required by Navy and DoD instructions.

II. ACADEMIC REQUIREMENTS AND PERFORMANCE

1. Overview. This section assesses academic requirements and performance including professional military education (PME) policy, governance, PME programs, non-traditional warfare areas and technology, international law and academic honor code.

2. Background. NWC is one of three educational institutions and a crucial component of the Navy's system that makes the naval profession a learning and adaptive experience. As technology and the international environment have changed, NWC has helped the Navy grapple with and conceptualize new insights and develop officers to solve critical military-diplomatic problems. NWC has been at the cutting edge of education, training and strategic leadership on four occasions of naval transformation involving the changing nature of war at sea. Beginning with its founding in the 1880s, NWC has provided solutions through its many and changing challenges from the Spanish American War to the Maritime Strategy of the 1980s. Currently, a number of factors may combine to reduce NWC's future contributions. Navy leadership along with NWC must once again consider how best to help future joint officers prepare for global conflict and asymmetrical warfare.

3. <u>Professional Military Education Policy</u>. CJCSINST 1800.01D CH-1 and CJCSINST 1805.01A CH-1, Enlisted Professional Military Education Policy, provide policy for Service PME and Joint Professional Military Education (JPME) for officer and enlisted personnel, respectively. CJCSINST 1800.01D CH-1 sets policy regarding Service War Colleges and National Defense University (NDU) JPME requirements, outplacement and student composition for intermediate and senior level courses. CJCSINST 1805.01A CH-1 details the Process for Accreditation of Joint Education (PAJE), lists approved JPME programs and establishes annual reporting requirements. OPNAVINST 5450.207D Mission, Function and Tasks of the Naval War College, delineates NWC command responsibilities. While NWC complies within joint matter policy, NAVINSGEN has two concerns: First, the Navy does not enforce the Chairman, Joint Chiefs of Staff (CJCS) requirement that all officer and enlisted personnel complete each PME sequence at appropriate career milestones, particularly at the primary level. Second, as previously mentioned, NWC submits annual reports directly to the Joint Staff/J7 without routing through appropriate OPNAV channels.

<u>RECOMMENDATION</u>

076-13.   That Chief of Naval Operations (CNO) enforce policy consistent with other Services directing PME completion as part of a leadership development framework. Completion shall be tracked and reported to the CNO. Implementing this recommendation will fulfill CJCS policy requirements to institutionalize PME.

4. <u>Governance</u>. NWC is an Echelon II command and NWC President reports directly to the CNO. NWC coordinates with other stakeholders such as U.S. Fleet Forces Command (USFF), U.S. Pacific Fleet (USPACFLT), NDU, combatant commands, numbered Fleets and OPNAV staff.

   a.   The combined NPS/NWC Board of Advisors meets biannually and provides independent guidance and advice to the Secretary of the Navy (SECNAV) and to the Presidents of NPS and NWC regarding education, doctrine and research. However, the NPS/NWC Board of Advisors' new member vetting and annual reappointment processes are lengthy and at times have precluded NWC's subcommittee from convening biannual meetings.

   b.   OPNAV oversees education policy and resource management through the Education Coordination Council (ECC) and Advanced Education Review Board (AERB). Issues are vetted at biannual ECC meetings, chaired by OPNAV N1B, and the ECC refers significant issues to the AERB, chaired by the Vice Chief of Naval Operations (VCNO). Routine Navy education policy and NWC POM/Operations and Maintenance, Navy account program reviews fall within the purview of OPNAV N1. OPNAV N4 oversees facility support and military construction POM reviews. Despite this collective oversight, NWC does not have a formal curricular review process that evaluates NWC academic programs that confer degrees and additional qualification designations. Such a process would improve OPNAV PME policy-making, stakeholder participation, appropriate benchmarking to civilian and Service programs and compliance with Navy Officer Occupational Classification System policy.

RECOMMENDATIONS

077-13.   That SECNAV ensure the Board of Advisors' new member and annual reappointment vetting processes do not adversely impact regular and effective meetings of the Board and its subcommittees.

078-13.   That NWC develop and implement a formal Navy curricular review process.

5. Professional Military Education Programs. NWC educational programs mirror other Service and Joint Programs. These programs are part of the Navy PME sequence designed to develop leaders over the course of a career. For officers, the PME sequence is pre-commissioning, primary (O-1 to O-3), intermediate (O-4), senior (O-5 to O-6) and executive Flag Officer (FO) and General Officer (GO). Enlisted PME progression is similar. NWC officer educational programs include primary through executive PME. Navy Education and Training Command, through subordinate commands, develops and administers pre-commissioning PME. PME programs, throughout their continuum, are well-administered and appropriately structured relative to educational demands and Service and Joint requirements.

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Fleet-wide, 103 billets at Fleet Maritime Operations Centers (MOC) have been coded to require Navy planners. In response to a USFF request, NWC College of Operational and Strategic Leadership developed a pilot Maritime Operational Planning Course for midgrade officers going to planning billets on MOC staffs. The course is designed to enable graduates to excel as Operational Planning Team (OPT) members leading routine OPTs, conducting crisis or deliberate planning across the range of military operations, writing Joint Force Maritime Component Commander supporting plans and operational orders, interacting across all levels of command and effectively representing the maritime perspective as a liaison officer to higher headquarters, adjacent components, subordinate commands, and multinational or interagency staffs.

b. There is a strong demand from the fleet to stand up the Maritime Operational Planning Course as a permanent course. Currently, the course is included in the POM-16 budget submission. However, no decision has been made to fund this course for Fiscal Year (FY)14/FY15 while awaiting budget approval through the Future Years Defense Program.

RECOMMENDATION

079-13.   That Commander, U.S. Fleet Forces and Commander, U.S. Pacific Fleet determine the appropriate means to fund student costs to attend the Maritime Operational Planning Course.

6. Non-Traditional Areas of Warfare and Technology. Following the combined events of the September 11, 2001, attacks and initiation of counterinsurgency campaigns in Afghanistan and Iraq, NWC moved quickly to establish the Center on Irregular Warfare (IW) and Armed Groups (CIWAG) as a center of excellence to study and teach in this field. The study of IW is a recognized requirement in CJCSINST 1801.01D CH-1, Officer Professional Military Education Policy, and the program at NWC fulfills the requirements of DoD Directive 3000.7, Irregular Warfare. Nevertheless, despite requests for support from senior NWC leadership, NAVINSGEN noted that the most recent budget reduced CIWAG funding significantly from an annual average

of approximately $900 thousand (K) over the past three years to $405K for the current FY. The CIWAG Director and senior staff are collateral duties, not the main focus of activity, teaching and scholarship for the staff. This collateral duty arrangement may explain the limited output of the center, which has produced a modest number of IW case studies designed for student use. For a field as dynamic as terrorism, insurgency and social movements, the current limitations on travel and conferences have further eroded the credibility of the center and significantly compromised faculty development. If this was a more static field (e.g., the study of history), the inability to travel and attend conferences might be less deleterious. NWC margin of excellence is at risk, and the educational rigor for high quality Army and Marine Officers who matriculate at NWC is in doubt.

RECOMMENDATION

080-13.   That OPNAV fund and staff the program to ensure CIWAG curriculum meets Navy and Joint command requirements and is at the level necessary for the dynamic nature and value of this emerging field.

    a. *Cyber Conflict in the Fleet and Ashore.* Anticipating the rise of cyber conflict, NWC moved quickly to hire a small number of highly qualified faculty and researchers in this field. The EMC Corporation endowed a chair which provides funding for the otherwise modestly supported center. However, even as this field of warfare continues to grow in importance and expand in scope, additional NWC personnel and financial resources devoted to this area of inquiry and education have been modest. Recognizing the increased interest from the Fleet, NWC noted in its POM-15 summary that internal offsets will be used to support increased demands for cyber integration into war games. The issue, however, appears larger than the emerging war game tasks. For example, the Center of Cyber Conflict Studies (C3S) has no dedicated spaces, no substantive support staff and minimal review authority to compel curricular changes to the main departments. Although the curricular changes that have occurred have been significant, they are voluntary, subject to change by respective department chairs, and not reviewed by the C3S leadership team, who are the acknowledged resident experts in this field. Furthermore, based on numerous interviews during our visit, the incorporation of cyber aspects in student war gaming could be more robust, but might require the hiring of additional, perhaps more technical, faculty and staff. Finally, the effects of pay freeze, hiring freeze, furlough and travel restrictions have had a significant impact on the efforts and reputation of C3S. As stated before in regard to CIWAG, in a field advancing as quickly as cyber warfare, the inability to attend conferences and other related cyber events undermines the reputation of NWC as a leading institution of military teaching, research and scholarship.

RECOMMENDATION

081-13.   That NWC conduct a review of the current state of cyber conflict studies in order to determine the appropriate curricula, level of expertise and integration required for NWC's program and explore ways to better integrate the Center of Cyber Conflict Studies with the cyber centers at NPS and USNA.

    b. *Responding to Unmanned Systems Revolution.* Unmanned systems may produce the proverbial revolution in military affairs in both the Navy and Marine Corps. Again, NWC was an early visionary on the importance of the emerging field of unmanned systems and developed

an elective course and faculty expertise. However, it appears the initial surge in this field has leveled out and expertise resides in a single faculty member who studies and teaches on this subject as a collateral duty and is supported with one part-time administrator who helps moderate discussions. Faculty and administrators acknowledged that this is an area of rapidly growing interest for incoming students. For example, in the Fall of 2013 Request for Electives, the single elective course in unmanned systems (FE-720) was oversubscribed by 100 percent. For a field of such interest, coverage at NWC tops out at a maximum of only 40 students per year of a student body of approximately 600 (approximately seven percent). The integration of the study of unmanned systems into the curriculum of the three academic departments appears to be on a voluntary and ad hoc basis. Additionally, at the Center for Naval Warfare Studies, the research arm of NWC, there appears to be no staff devoted to the overall study or research of unmanned systems. Most interest is apparently centered in the Gravely Research Group that voluntarily explores implications of unmanned systems primarily in the undersea arena. There may be benefit in establishing and resourcing a central organization devoted to the study and teaching of this emerging field that crosses all domains of warfare, land, sea and air.

RECOMMENDATION

082-13.   That NWC conduct a self-study on the impact of unmanned/robotic technologies and the potential for greater integration and support in NWC curriculum, course offerings and related research.

   c. *International Law Program.* These programs show signs of deteriorating quality. The disruptive forces arising out of global terrorism, drone strikes, emergence of unmanned vehicles and cyber have been met by a dynamic response in NWC International Law Department. A one of a kind organization, unique among the War Colleges, it carries an international reputation of the highest quality and its current director was the lead editor for the historic document, the Tallinn Manual. However, once again, the margin of excellence is eroding, and in interviews with the current leadership, there is the belief that the department is no longer meeting mission. Manning is down 20 percent. The field of law pertaining to drones and cyber is rapidly changing, but travel restrictions are impeding faculty development and credibility. For example, in a concerning precedent, the annual conference on International Law and Armed Conflict, held at NWC, was cancelled this past year.

RECOMMENDATION

083-13.   That SECNAV consider waiving travel restrictions that impede faculty development and credibility in the International Law Department, and preclude attendance at the International Law and Armed Conflict conference.

7. Academic Honor Code.

   a. *Policies and Procedures.* NWC's written instruction regarding its academic honor code is incorporated in the 2013 Faculty Handbook. The honor code instruction addresses plagiarism, cheating and misrepresentation. Regardless of the nature of an alleged academic honor code violation, the process as delineated in the Faculty Handbook calls for a uniform academic departmental procedure to be followed. In all cases, departmental investigations are required to determine whether there is substantial evidence of a violation. Once the departmental

investigation is complete, a disposition recommendation to settle the matter within the department or to refer the case to the Academic Integrity Review Committee (AIRC) is made to the Dean of Academic Affairs. The Dean of Academic Affairs considers this recommendation and forwards the recommended course of action to the Provost who approves the final action.

   b. *Institutional Awareness of the Honor Code Program.* Interviewed faculty acknowledged that rigorous standards are in place to detect and enforce academic honor code violations and that academic integrity was reinforced in the classroom and in faculty development. However, the academic honor code has been passively implemented. Most faculty could not fully articulate the details of the program and, as a result, do not follow consistent processes in the event of an alleged honor code violation. This general lack of awareness regarding the details of the process weakens the academic honor code program.

   (1) In accordance with the academic honor code, incoming students are briefed during orientation and the College's policy towards honor and integrity are discussed in multiple settings. However, students were not given hard copies of the instruction and there is no requirement that students formally acknowledge awareness of and compliance with the honor code.

   (2) Although there is a standardized process and method of record keeping for academic honor violation cases reviewed by the AIRC, there appears to be a lower standard for alleged academic honor violations perceived to be of a lesser severity. In particular, the process lacks standardization when, in the opinion of the professor and department chair, the violation was determined to be merely "sloppy scholarship." Such errors include citing, format, grammar or other infractions which are, in the opinion of the faculty, less egregious in nature. In some cases, remediation was and continues to be handled at the department level without inclusion of the Academic Dean. This contradicts the current policy that all alleged academic honor code infractions, regardless of severity, must be investigated and action approved by the Provost.

   (3) The method of communicating findings, recommendations and dispositions in alleged honor code violations is variable among departments. In cases where the Academic Dean is consulted, some departments choose verbal consultation and others provide written correspondence. In each of these cases, documentation was unavailable to show the final disposition by the approving authority. Although all cases involving suspected academic honor code violations are taken seriously by the various academic departments, much of the documentation lacks rigor and standardization. Standardizing the processes throughout departments will create a more consistent program, add more rigor and reliability to the process, improve credibility, remove ambiguity and promote appropriate and demonstrable process documentation.

   (4) Most faculty members only learn of the existence or outcome of academic honor code cases informally. Therefore, it is difficult to assess how much information is disseminated to the department chairs concerning past cases and how much information is passed on to the faculty. This lack of communication, coupled with the fact there is no departmental internal review process to discuss cases, leads to a program that is reactive to situations of academic honor code violations and does not lend itself to detecting trends or discussing continuous improvement opportunities.

RECOMMENDATIONS

084-13. That NWC ensure all faculty members are thoroughly familiar with the processes involved with academic honor code violations as set forth in the 2013 Faculty Handbook and require full compliance with those procedures.

085-13. That NWC students sign an academic honor code statement that acknowledges their understanding and compliance with these policies.

086-13. That NWC establish a panel responsible for periodic reviews of academic honor code processes throughout all academic departments.

087-13. That NWC establish a formal standardized record retention policy for all cases of academic honor violations regardless of their perceived level of severity.

088-13. That NWC establish a forum available to the faculty and students to share lessons learned from honor code violation cases.

   c. *Institutional Academic Integrity.* Leadership, faculty and students reportedly believe that honor code violations will be identified and acted upon appropriately. However, faculty is not diligent in detecting honor code violations by using tools such as plagiarism detection software. The ability to write effectively is a highly prized attribute of successful senior leaders and there are numerous writing requirements in NWC courses to nurture this important skill. Faculty members have various levels of training on correcting written compositions. Many officer-students recognize early that they need additional assistance to improve their writing skills. NWC provides a guide to writing style and has a writing center staffed by a highly qualified director.

       (1) *SafeAssign* and *Grammarly* are industry software packages to screen for plagiarism. Whereas *SafeAssign* is available to all NWC personnel, *Grammarly* is only available for use by students and department executive assistants. Interviews with faculty members revealed that most have never used either *Grammarly* or *SafeAssign* and some were not aware either of their existence within the institution or who had access to the software. Between one-third and one-half of NWC student population use *Grammarly* during their course of study. In contrast, the Senior Enlisted Academy at Newport requires all students to submit final draft papers through another commercially available plagiarism checking software program called *TurnItIn*. The mandatory use of this software by all senior enlisted students allows the facilitator to quickly gauge the percentage of quoted or cited material within the paper and detect if a student has recycled a previously submitted paper. Greater use of the software on the part of the faculty would lead to a more robust and active program for detecting plagiarism and misrepresentation. Increased use of the software by NWC students, particularly as they proceed through the draft writing process, would aid in the learning process and perhaps mitigate or eliminate the potential for an honor code violation in the final product.

       (2) The Writing Center is an excellent resource that can detect and deter inappropriate behaviors before they manifest as an honor code violation. The director estimates that during the course of a year, 35 to 40 percent of NWC students seek assistance from the center, which is higher than the national average of about 15 percent of students using campus writing centers.

International students receive services through the international programs office, including a formal class as necessary. The workload for the Writing Center Director appears excessive, with one professional to serve 600 students. In contrast, the Marine Corps University has three professionals in its writing center to handle 450 students. The Army War College has three personnel in its writing center for roughly 1,000 students. At NWC, the Writing Center Director is the only individual dedicated to coaching students on writing, and also teaches electives and acts as advisor for *Luce.nt,* the student journal.

RECOMMENDATIONS

089-13.   That NWC increase awareness of *Grammarly* and *SafeAssign* software throughout the academic departments placing greater emphasis on their benefits during faculty development meetings, student orientation sessions, classroom discussions and other like forums.

090-13.   That NWC implement random sampling of student papers for plagiarism.

091-13.   That NWC develop methods to allow greater access to and utilization of the Writing Center.

092-13.   That NWC review current staffing levels at the Writing Center to ensure it meets the demand for services.

III. FACULTY MATTERS

1. Overview. This section assesses NWC faculty quality and composition, faculty compensation, faculty development, diversity, term appointments, faculty organization voice, adjunct faculty, permanent military professor program and outcome attainment and assessment. NAVINSGEN concludes NWC's leadership faces numerous challenges with respect to its faculty. The most serious are a lack of diversity, relatively weak academic credentials and variable academic qualifications among faculty members. A policy of repeated term appointments coupled with the lack of an effective corporate voice prevents effective shared governance.

2. Background. Faculty at NWC, in conjunction with the faculties at Annapolis and Monterey, constitutes a pillar of the strategic intellectual reserve of the Navy. The Navy has invested significantly over the last 125 years to build this resource. Composed of traditional academics, retired military and government experts, and active duty military officers, NWC faculty has a rich and unique mixture of knowledge, experience and insights into the Navy, the Joint Forces and the context of their use. The unique mixture of knowledge and expertise of the faculty is the direct source of the strength of NWC education. It is in the strong interest of the Navy to ensure that the faculty draws from the best, brightest, and most diverse talent available, and is effectively supported to maximize the Navy's return on investment.

3. Faculty Quality and Composition. According to the most recent catalog, there are 401 faculty appointments at NWC. This includes a few duplicates where faculty members are appointed in more than one school, as well as the non-resident faculty. One hundred ninety-seven are listed on the command manning roster as resident civilians at NWC.

a.   One hundred twenty-one (approximately 30 percent) of the 401 faculty appointments hold Doctor of Philosophy (PhD) degrees. Another 10 hold the Doctor of Education (EdD); 14 hold the Doctor of Jurisprudence; 4 hold Master of Laws and 10 are doctoral candidates. Two hundred thirty-four hold Master's level degrees and, of those, 157 have a graduate degree from NWC. Ten do not have a graduate degree.

b.   Approximately 50 percent of the faculty of the NSA and S&P departments hold terminal degrees which is the highest academic degree in a given field of study. Most of those who do not have a terminal degree are military faculty. The S&P department civilian faculty members possess strong academic credentials. The NSA department has 29 civilian faculty members; 10 do not have terminal degrees. Of those who do have terminal degrees, only half come from prestigious universities. By contrast, less than 25 percent of the faculty affiliated with the College of Distance Education (CDE) and Fleet Seminar programs hold a terminal degree, with the exception of those at CDE-NPS, where over half hold terminal degrees. Of particular concern is the JMO faculty, which only has 11 PhDs, 5 doctoral candidates, and 2 EdDs among its 80 faculty members. Yet, the JMO portion of the curriculum accounts for more than a third of the credit hours for the graduate degree.

c.   The Association of American Universities (AAU) consists of 62 preeminent universities, public and private, in the United States and Canada. Approximately 51 of the 121 PhDs at NWC come from these universities (or their foreign equivalents, such as Oxford and Cambridge). The number of NWC faculty from AAU universities (42 percent) is lower than benchmarks for upper tier universities. The universities where NWC faculty earned terminal degrees include: Salve Regina (9), Florida State (8), Fletcher (6), Yale (5), Hawaii (4), Johns Hopkins (4), Massachusetts Institute of Technology (4), Columbia (3), Georgetown (3), George Washington (3), American (2), Kentucky (2), Oxford (2), Pittsburgh (2), Princeton (2), University of Southern California (2), Washington (2) and Virginia (2). There are 36 other universities where one NWC faculty member earned a doctorate, ranging from Cambridge to Walden.

d.   In sharp contrast, the best colleges and universities in America have faculty predominantly from the AAU member universities. For example, the history department at nearby Brown University has 35 faculty members. Every faculty member has a doctoral degree, and everyone who went to graduate school in the United States comes from an AAU member university. The doctoral degrees are from Harvard (6), University of California (6), Chicago (4), Columbia (3), Michigan (3), Stanford (2), Yale (2), Georgetown, Indiana, Northwestern, Texas, Wisconsin and Washington. Internationally educated faculty attended Cambridge, Oxford and Hebrew University. Notably, they do not hire their own graduates, and do not rely on graduates from any single university. This is accepted practice in academia.

e.   The history department at the Naval Academy has a similar set of faculty pedigrees. Of the 31 faculty, there are graduates from the University of California (4), Yale (3), Harvard (2), Columbia, University of Chicago and Johns Hopkins, and fifteen from other prestigious schools.

f.   In addition to a heavy reliance on its own graduates (157 faculty members have their highest degree from NWC), the College has many faculty members with highest degrees from lower tier schools, such as Salve Regina (22), Johnson and Wales (6) and for-profit online schools (e.g., Walden, Capella, American Military).

g. The academic faculty credentials are very weak for a program granting graduate degrees, and noticeably weaker than the other two Navy flagship schools, USNA and NPS. Were NWC primarily a training establishment, the impressive military experience of the faculty would counterbalance the weak academic credentials, but NWC is an institution of higher education. Review of academic rank appointments at NWC is informative and may reveal a contributing factor to how the relatively weak faculty qualifications evolved.

(1) The three assistant professors at NWC vary widely in their professional qualifications. According to NWC Faculty Handbook, *"Typically, an assistant professor is a new or recent holder of a terminal degree…"* Of the three assistant professors at NWC, one has a Bachelor of Business Administration from Payne University, one a Master of Arts (MA) from the University of Chicago, and the third a PhD from Yale. The qualifications of individuals that received their degrees from Payne University and the University of Chicago would be considered inadequate at most graduate schools for appointment as an assistant professor.

(2) There are eight research assistant professors on the command roster. One individual's name does not appear in NWC's catalog; only one of the remaining seven holds a terminal degree (a PhD from Syracuse). One research assistant professor is a doctoral candidate at Northeastern; one is an EdD candidate at Johnson and Wales; three individuals hold MAs from NWC; and one holds a Master of Science in Information Systems from Bryant. The academic qualifications of the six with master's degrees would be considered inadequate for faculty status as an assistant professor at almost every graduate school in the country.

(3) Analysis of the other ranks is more complex due to the sheer numbers. There are 278 faculty listed in the catalog as Professor, and only 121 have terminal degrees. These academic qualifications are suspect for a faculty awarding graduate degrees even at the Master's level. In contrast, at USNA, appointment as a member of the professoriate requires a doctoral degree. At NPS appointment as a member of the professoriate requires a doctoral degree; those without doctorates (and some with doctorates) are appointed to the non-tenure track ranks.

h. The use of the AD faculty system to employ researchers without traditional faculty qualifications as "faculty" at NWC is problematic, especially since there are comparable General Schedule positions available. We note that the Secretariat provides limited guidance to USNA, NWC and NPS on the use of the faculty schedule and the AD appointment authority, or on the expected qualifications for naval faculty.

4. <u>Faculty Compensation</u>. Of concern is the fact the Navy is paying salaries appropriate to faculty members with first tier credentials at first tier universities. The average salary by academic discipline for a nine-month appointment at a four-year college in 2010-2011, reported by the Chronicle of Higher Education, Table 2-1. A doctoral degree is required for all ranks except Instructor.

Field	Professor	Associate Professor	Assistant Professor	New Asst Professor	Instructor
History	$82,202	$63,228	$52,626	$52,470	$42,318
Social Sciences	$89,858	$69,064	$58,436	$58,946	$46,158
Liberal Arts and Sciences, General Studies, and Humanities	$83,573	$63,098	$52,394	$51,568	$42,912

Table 2-1. Average University Level 9-Month Salaries for Selected Fields of Study Local benchmarks as reported in the Chronicle include the mean of all disciplines, for a nine-month appointment, are presented in Table 2-2.

School	Professor	Associate Professor	Assistant Professor	Instructor	Student to Faculty Ratio
University of Rhode Island	$105,200	$78,900	$65,800	$58,600	16 to 1
Providence College	$104,800	$82,600	$70,700	$69,300	13 to 1
Salve Regina University	$91,600	$72,500	$60,200		14 to 1
Naval War College	$99,817	$83,922	$76,007		3.75 to 1

Table 2-2. Average Academic nine-month Salaries for Local Universities and NWC.

a. Salary tables and figures provided by NWC indicate the average salary for an assistant professor is Step 30.1, or about $101K per year. On a nine-month scale, that would be $76K per year, significantly above market rates.

b. In 2007, NWC conducted a faculty-led salary study. The study compared NWC with Carnegie I universities (those which award doctoral degrees) and concluded that the faculty was underpaid. As a college that only awards the Master's degree, and given the qualifications of the faculty discussed above which do not meet the standards of doctoral universities, a more appropriate comparison is with the Master's level medium public university. Against that benchmark, NWC faculty is very generously compensated.

c. USNA sets initial faculty salaries by using data from the Oklahoma State University Faculty Salary Survey. USNA identifies a set of 30 peers from the east coast public universities and averages salaries by discipline. These peers are used to set initial salary steps at USNA. For example, an English Department assistant professor starts at Step 17, because that is the average compensation for that discipline among the peers. NWC does not use such a process. At NWC, according to the Provost, salaries for faculty are set in one of two ways. Recent graduates without a work history have their salary set at the level currently used for similar employees at NWC. Employees with a work history have their salary set based on their previous compensation, plus a small (10 percent) increase. Over time, this process has tended to produce a compensation scheme that is disconnected from academic market forces. As a result, salaries are markedly higher for NWC faculty than at appropriate benchmarks.

d.   The average NWC faculty member equivalent salary is $120K, or about $90K for a nine-month appointment. This is higher than the doctoral program benchmarks listed above, and much higher when adjusted for academic credentials. NWC Faculty Handbook states "*Neither the SECNAV instruction nor the Naval Faculty Schedule provides any direct guidance concerning the nature of the responsibilities of the professors appointed or assigned to faculty positions.*" NPS also lacks a good process for setting initial faculty salaries as well with similar results. Only USNA has a disciplined process that uses market rates to set faculty compensation. At all three schools labor accounts for about 80 percent of the mission funded activities.

e.   NWC is not consistent regarding AD rank positions. For example, of the 20 faculty members currently holding AD-09 appointments, the command roster characterizes eight as non-supervisory. Some are former chairs of departments who should have reverted to AD-07.
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f.   In summary, SECNAV is authorized by U.S. Code (10 U.S.C. § 6952) to employ faculty at USNA, NPS and NWC, and to set a separate faculty schedule for them. The standards for naval faculty vary widely among the three Navy flagship schools for academic rank, salary setting and academic qualifications. Only at USNA are market rates explicitly considered when setting initial faculty compensation. NWC pays salaries adequate to compete for faculty with full academic qualifications, yet many faculty members do not hold these qualifications. The use of the AD system to employ researchers without traditional qualifications as "faculty" at NWC is problematic, especially since there are comparable General Schedule positions available. The Secretariat provides limited guidance to USNA, NWC, and NPS on the use of the faculty schedule and the AD appointment authority and or on the expected qualifications for naval faculty.

RECOMMENDATIONS

093-13.   That SECNAV develop guidance to implement consistent personnel policy for naval faculty at NWC, NPS and USNA. The guidance should address the positions that qualify as naval faculty, which positions must be competed, the qualifications of naval faculty, diversity, compensation policies, indefinite appointments and expectations for faculty participation in shared governance.

094-13.   That NWC create a specific academic rank (e.g., "Professor of the Practice" or "Fleet Professor") for faculty members with extensive professional experience but lacking standard academic credentials to qualify as a member of the professoriate.

095-13.   That NWC revise the Faculty Handbook to explicitly identify the academic qualifications required for appointment as faculty on the AD schedule within the excepted-service.

096-13.   That SECNAV direct NWC to develop a formal faculty compensation policy that includes salary benchmarks from appropriate peer and aspirational peer institutions. These peers should include the other PME institutions, the other Navy universities and regional Master's granting universities.

5. Faculty Development. CJCSINST 1800.01D CH-1 requires a program of professional development for faculty. Historically, NWC has had robust programs and funding for faculty development. Recent budget reductions have sharply reduced support for this program. In 2011, budget reductions curtailed funds and in FY13 budget reductions and associated travel restrictions reduced conference attendance.

   a. *Travel and conferences.*

   (1) Faculty attendance at professional conferences supports the mission of NWC in many ways. It disseminates the scholarly work of the faculty and allows faculty members to remain current on developments in their fields, which in turn keeps the curricula current. Faculty members also travel to provide support to operational commands, commensurate with NWC mission. Due to sequestration, this travel has been sharply curtailed.

   (2) Navy Budget Guidance Memorandum BG12-3A dated 14 January 2013 requires minimization of all non-mission essential travel and training and requires Flag Officer/General Officer/Senior Executive Service determination of mission essentiality. Additionally, any non-DoD conferences or symposia require attendance approval from SECNAV. This policy has significantly eroded NWC's ability to provide JPME and has the potential to jeopardize accreditation by the regional accrediting body and the CJCS. Such collaborative events are essential for ensuring faculty remain engaged with counterparts throughout the world, learn of new developments within their area of expertise and interact with U.S. policymakers to provide insights in developing effective U.S. strategies. Travel restrictions have prevented many faculty members from conducting mission essential face-to-face scientific/research exchanges and have significantly increased the workload on many support staff throughout NWC, such as Events and Protocol, Staff Judge Advocate and Comptroller personnel, diminishing their ability to address other issues in a timely manner.

   (3) Focus group feedback and individual interviews underscore that the inability to travel to professional conferences is having adverse effects on the currency of the faculty, the reputation of the school and the updating of the curriculum.

   b. *Currency and Curriculum.* The effects of furloughs further compounded the problem, delaying the updating and revision of the curriculum. As the strategic context for senior naval officers is not static, dated curricula undercuts the value of PME. Some effects of furloughs and sequestration are easy to see such as empty offices and ships tied to the pier, but the effects on education, scholarship and research by a leading Navy institution are less apparent. Based on multiple faculty focus groups and curriculum review, we find that budgetary threats are eroding the quality of education provided at NWC and in some cases, affect core functions. Administrators and faculty members reported that the 30-40 percent curriculum updating that normally occurs in the summer cycle is in many cases not happening. Consequently, the content of the curriculum will become progressively more outdated and of less value to the students.

   (1) In two illustrative cases, important electives on IW and unmanned systems were either dropped or not offered in sufficient quantity to meet student demand.

   (2) Faculty members in many departments are unable to maintain currency in their field due to travel restrictions. As a result, curriculum quality suffers. Moreover, top quality faculty members are leaving, due in part to the inability of NWC to provide the support needed to

maintain their professional currency. Their absence will affect the quality of learning and curriculum currency.

(3) There is a perception that weaker faculty members may be retained as a hedge against potential hiring freezes. The present trend is to renew their contracts, primarily in order to meet classroom loading requirements. Taken together, the combined effects of travel restrictions, hiring freezes, and furloughs reduce NWC ability to assist the Navy at this time of transition and change. This might be considered a "silent failure," because it lacks physical evidence and public outcry, but may result in great consequence. In our judgment, the quality of education and research Newport is deteriorating and this is far more consequential than it may seem on the surface. It carries long term consequences as lesser trained officers return to their parent services and the best faculty begin to depart.

RECOMMENDATIONS

097-13.   That SECNAV consider amending policy to waive the travel restrictions currently imposed on civilian and military faculty to ensure NWC faculty proficiency.

098-13.   That NWC ensure additional HR training is provided to all supervisory personnel on available mechanisms to maintain faculty quality in the setting of constrained resources and hiring freezes.

6. Diversity. NWC faculty is disproportionately white and male, does not reflect the diversity of the Navy officer corps it serves, nor does it achieve the Navy's vision of diversity. Seven of the 193 civilian faculty members are women (four percent). Two civilian faculty members, one male and one female, are African American (one percent). Only eight civilian faculty members are nonwhite (four percent). Conversely, according to the Navy Personnel Command (NAVPERS), as of April 2013 the Navy's officer corps was 17 percent female; 16 percent self-reported as officers of color. Further, minority representation among the faculty lags far behind the demographics of the student body. Minority students reported that the lack of faculty diversity is recognizable. Members of previous hiring committees that fill faculty positions stated during interviews that they "show no bias during the hiring process." There is little evidence demonstrating the effort to eliminate perceived cultural bias against women and minorities. We could not identify any reason for the lack of diversity.

a. Other universities successfully recruit women and minority scholars. For example, the History Department at Brown University counts 14 women (39 percent) among its 36 faculty; USNA counts 9 women (29 percent) among its 31 history faculty; and 11 of the 42 faculty members (26 percent) in the NPS National Security Affairs Department are women.

b. Twenty-six percent (11 of 42) faculty members in the NPS NSA Department are women and 18 percent of the tenure-track faculty are women. Twelve percent of the NPS faculty are of color, although only 10 are African American, and only one of those is on tenure-track.

c. At USNA, 30 percent of the civilian faculty are women. Four of the seven overall non-tenure track faculty member are women. More than 13 percent of the faculty self-report as nonwhite with three percent African American. Among the history faculty at USNA, 29 percent are women (9 of 31).

d.   NWC S&P Department is currently in the process of hiring for two positions. The process included advertising in various journals reviewed by women and minorities. The faculty within the department read all submitted resumes and select the top ten applicants for interviews. The S&P Department staff stated that the applicants were from a diverse pool.

e.   The lack of diversity among NWC faculty has persisted for decades, and may suggest a low priority for developing strategies to improve faculty diversity, including mentorship for minority and women faculty.

f.   Although members of previous hiring committees, who influence the choice of faculty candidates, stated during NAVINSGEN interviews that they "show no bias during the hiring process," there is little evidence of efforts to eliminate a perceived cultural bias against women and minorities.

RECOMMENDATIONS

099-13.   That NWC HR Director develop recruitment strategies targeting hiring practices to increase minorities and women's interest to increase faculty diversity in employment at NWC.

100-13.   That SECNAV consider targeted goals to increase the diversity of NWC faculty such as providing resources to NWC to sponsor graduate education in return for service agreements of under-represented faculty candidates.

7.   Term Appointments. According to data provided to NAVINSGEN, only 5 of the 197 civilian faculty are on indefinite term appointments. The rest are initially appointed for a two-year term and subsequently renewed every four years. Faculty members who have been at NWC for six years whose term appointments have not been renewed have a formal appeal process available, which is described in the Faculty Handbook. NWC administrators state that the school needs flexibility to shift and reshape the faculty in the event of major curricular changes. A review of NWC personnel records revealed that NWC has not exercised that flexibility in recent years to any great degree and the faculty is very stable. The Faculty Handbook describes a process for receiving an indefinite term appointment, but it appears to have been unevenly applied in recent years (We could not discern where and how these decisions are made). Conversely, the majority of USNA civilian faculty is on indefinite appointments.

a.   NWC competes for junior faculty with other institutions. Several faculty members expressed the view that the lack of tenure, coupled with the federal pay freezes and the furlough, will make hiring extremely difficult when the current hiring freeze ends. Of these three factors, only the tenure system is under the direct control of NWC. As discussed above, despite the federal pay freezes, NWC faculty are paid well above market rate.

b.   NPS has similar needs to periodically adjust and recalibrate faculty expertise to reflect the changing educational needs of the Navy. NPS budgets for a certain number of its faculty lines to be tenure/tenure track and retains flexibility by having a significant proportion of the faculty lines as non-tenure track.

c.   Faculty, especially women members, report that the lack of job security contributes to a climate where faculty who are not retired military feel at risk.

RECOMMENDATIONS

101-13.   That Assistant Secretary of the Navy for Manpower and Reserve Affairs (ASN M&RA) provide policy concerning the use of temporary appointments.

102-13.   That NWC review its policy on the use of indefinite term appointments to comply with Department policy.

103-13.   That NWC evaluate the benefits of increasing the number of tenured positions.

8. <u>Faculty Organization Voice</u>. There is no formal faculty voice at NWC. Criterion 3.12 of the Commission on Higher Education of New England Association of Schools and Colleges states, *"Faculty exercise an important role in assuring the academic integrity of the institution's educational programs. Faculty have a substantive voice in matters of educational programs, faculty personnel, and other aspects of institutional policy that relate to their areas of responsibility and expertise."*

    a. The lack of formal job security coupled with the lack of a faculty corporate voice to express its concerns on faculty issues is unusual in higher education. Focus group feedback and the 2013 Command Climate survey indicate that a small, but vocal minority of the faculty feel that they are not free to provide input into policy issues for fear of being terminated.

    b. Faculty focus groups reported that the flow of information to the faculty is uneven at best.

    c. Faculty recruiting practices are discussed elsewhere in this report, but one consequence of current practice is that retired military officers represent a strikingly high proportion of the faculty. While the Faculty Handbook states that a terminal degree is an expectation for appointment as an assistant professor, there is no such requirement for associate or full professors. The different colleges of NWC have different faculty compositions, but the academic credentials of the faculty are less than almost every other graduate-degree granting program in the country. The composition of the faculty raises the question as to whether training or education is seen as the principal activity of the faculty. Faculty comments raise this issue repeatedly. An additional consequence of drawing heavily from retired Navy line officers is the lack of diversity among the active duty pool which may contribute to a lack of diversity of the faculty on gender and racial/ethnic grounds.

    d. Command surveys and focus group input indicate there is a perception among a minority of the staff and faculty of cronyism in hiring which also contributes to the lack of diversity of the faculty.

    e. At NWC, faculty promotion is a function of the administration. This differs from USNA and NPS, where the faculty has a much stronger peer review role in faculty promotion. It is not clear that NWC's mission is so substantially different from USNA or NPS that faculty should have such a substantially different role.

f.   Unlike NWC, USNA and NPS have formal faculty organizations that provide an additional channel for top-down, bottom-up and lateral flow of information. Furthermore, NPS and USNA faculty actively participate in the Permanent Military Professor (PMP) program. NWC faculty participates at a much lower rate.

g.   The Navy does not have a formal instruction on naval faculty, although SECNAV has a separate salary schedule for this group. DoDINST 1402.06, Civilian Faculty Positions in DoD Post-Secondary Educational Institutions, is used as governing policy, but is interpreted differently across the Navy schools. As a consequence, each school has markedly different personnel policies.

RECOMMENDATION

104-13.   That NWC faculty establish a formal mechanism for faculty participation in shared governance, similar to USNA and NPS.

9.   Adjunct Faculty. Adjunct faculty primarily teach in the fleet seminar program. NWC has good processes to recruit and select these adjuncts. Adjuncts come to Newport for faculty development each year and then teach the 39-week session at the fleet site. Faculty from Newport visit the fleet sites and observe adjunct faculty in the classroom twice the first year, and at least once each year thereafter. Students provide feedback on the faculty, and that feedback is carefully considered. These are best practices. Adjuncts are compensated reasonably, and at most locations there is a competitive pool of applicants. Compensation is between $12K and $15K per 39-week session, depending on experience and qualifications.

10.   Permanent Military Professor Program. The PMP program described in OPNAVINST 1520.40A is a potential source of Fleet officers with terminal degrees. It is a high quality program that can bridge the gap that sometimes occurs between the fleet and the Navy's educational institutions. As reported by NWC, the PMP program at Newport was initiated approximately a decade ago, but received a minimal allotment of officer billets at that time. Further, over a ten-year period, NWC filled an average of no more than two of the three allotted billets. In the current fiscal year, NWC will select an additional PMP bringing the total to three. Currently, one PMP serves on the NSA staff and the second will join the S&P Department upon graduation from Columbia University in June 2014. In contrast to NWC, USNA has made wide use of the PMP program and carries almost four dozen officers. Though the USNA student body is considerably larger than NWC, on a per capita basis NWC has significant room for growth and development of the PMP program. Moreover, at the time of this report, NWC was unable to produce any governing documents or planning guidance for the future of the PMP program.

RECOMMENDATION

105-13.   That under the direction of ASN (M&RA), NWC conduct a study on the "right size" of the PMP program as a unique mechanism to provide former fleet officers with terminal degrees, publish the results of this study and produce a complementary action plan in the form of an NWC instruction and planning guidance.

11.   Outcome Attainment and Assessment. Both Intermediate and Senior courses have established outcomes and are regularly reviewed by the Commission on Institutions of Higher Education of the New England Association of Schools and Colleges (NEASC) and by the Joint Staff under the Process for the Accreditation of Joint Education.

   a.   NWC collects evidence of student achievement primarily by student and alumni surveys. NWC does not have an instruction on outcome assessment, but does publish an annual plan each year that schedules the major surveys.

   b.   Student surveys are indirect measures of student success. The national best practice is to use direct measures of student outcome assessment. NEASC lags the other regional accrediting bodies in its emphasis on direct measures. Although NWC is compliant with NEASC standards, outcomes assessments at NWC could be improved by incorporating direct measures of student achievement (e.g., scores on standardized tests, score gains from comparing entry and exit tests) and by collecting the data in such a manner as to allow disaggregation by key groups and factors. Such data would allow NWC to compare the value added by the various delivery means. It would also provide detailed feedback useful for curriculum improvement. Such direct measures are used by both USNA and NPS.

RECOMMENDATION

106-13.   That NWC establish direct measures of student achievement in its assessment processes, disaggregate these measures for analysis and use them for program improvement.

IV. EDUCATIONAL PROGRAMS AND STUDENT BODY

1. Overview. This section assesses NWC PME programs and student body composition. NAVINSGEN concludes NWC's educational programs meet Navy and joint policy for PME and JPME. Additionally, details are provided on officer and student assignment, coursework, designations and degrees offered through the various educational programs at NWC. NAVINSGEN notes the Navy does not enforce the CJCS requirement that all officer and enlisted personnel complete each PME sequence at appropriate career milestones, particularly at the primary level. No Navy Administrative Message or other OPNAV instruction requires Navy PME completion.

RECOMMENDATION

107-13.   That CNO promulgate policy consistent with other Services directing PME completion as part of a leadership development framework with completion tracked and reported to SECNAV.

   a.   NWC educational programs mirror other Service and Joint Programs. These programs are part of the Navy PME sequence designed to develop leaders over the course of a career. For officers, the PME sequence is pre-commissioning; primary (O-1 to O-3); intermediate (O-4); senior (O-5, O-6); and executive Flag Officer/General Officer (FO/GO). Enlisted PME progression is similar. NWC officer educational programs include primary through executive PME. Navy Education and Training Command, through subordinate commands, develops and administers pre-commissioning PME. Resident graduates of NWC intermediate level and senior

level courses and Maritime Advanced Warfighting School (MAWS) courses earn a Master of Arts degree in National Security and Strategic Studies, accredited by the New England Association of Schools and Colleges. Intermediate level course MAWS, and intermediate distance learning programs award JPME Phase I credit. According to NWC Course Catalog *"The Naval War College is also accredited to award the same Master of Arts degree to qualified non-resident students who complete the Electives Program requirements for the degree."* The senior level course is the only NWC program that awards JPME Phase II credit. Students earn Additional Qualification Designation by taking elective courses while in resident programs and may participate in research projects with faculty. The distance learning Graduate Degree Program provides a path for Reserve Component officers to earn a Master of Arts in National Security and Strategic Studies degree.

    b.   Navy assigns students to each Service War College to meet joint student composition requirements; likewise, other Services assign students to NWC. Additionally, Defense Department civilians, federal agency personnel, and international students may attend Service War Colleges. The Joint Staff encourages Defense Department civilian, federal agency, and international student participation. Selection to resident PME programs is competitive. Navy Personnel Command manages Navy officer selection, and eligibility centers on officers remaining on course for career progression. Each Service manages its selection and assignment to resident PME programs. Defense Department and federal agencies select prospective students; OPNAV N52 coordinates with State Department to select prospective international students in coordination with the Naval Education and Training Security Assistance Field Activity. Civilian prospective students require an academic review through an application process prior to admission; however, other prospective students do not require academic reviews. International prospective students must attain a minimum "Test of English as a Foreign Language" score of 80. Graduate Record Examinations testing is not required for any prospective students. Other Services attending NWC are not charged tuition since all Services assign officers to each other's War College. Defense Department civilians, agency civilians and international students are charged tuition on a reimbursable basis.

2. <u>Educational Programs</u>. NWC convocations are traditionally scheduled in August and the majority of students graduate the following June. However, two smaller classes of senior and intermediate-grade U.S. officers begin their academic years in either the winter or spring trimesters, which begin in November or February/March, respectively. The 10-month curriculum for resident students is divided into trimesters of three to four months. Additionally, three abbreviated 12-day core curriculum courses are offered annually for U.S. military reservists. Intermediate and senior level courses run concurrently, hence NWC's slogan of "two programs, one faculty."

    a.   The College of Naval Command and Staff is a multidisciplinary program for intermediate grade officers in the U.S. Navy, Coast Guard, Marine Corps, Army and Air Force, typically O-4. The college also welcomes senior members of federal civilian organizations. This intermediate college course provides an initial opportunity for professional military education wherein students prepare for increased responsibilities as commanders/lieutenant colonels and as junior captains/colonels. Maritime Advanced Warfighting School students take this program. NWC complies within joint policy with less than 60 percent of student body composition coming from host Service and with at least two other Services represented. Students are at the appropriate pay grades.

b. The Naval Staff College (NSC) is a program for intermediate grade international officers. The NSC course is a ten-month college program of Strategy and War, Theater Security Decision Making and Joint Maritime Operations. Students submit papers and participate in most academic exercises, but students are not required to take exams and don't receive grades. NSC students in the six-month course are required to enroll in one elective course during their residency. Students in both programs go on several Field Studies Program trips throughout their academic year. There were 81 students in Academic Year (AY) 2013, 75 in AY 2012 and 77 in AY 2011. NWC invests considerable effort to ensure international students make the transition to the United States smoothly. Additionally, NWC policy is to return students to their home country should unanticipated or emergency events arise.

    c. The College of Naval Warfare is a multidisciplinary program for senior officers in the U.S. Navy, Coast Guard, Marine Corps, Army and Air Force, typically in the pay grade of O-5 or O-6. The college also welcomes senior members of federal civilian organizations. This professional military education program provides students with executive-level preparation for higher responsibilities as senior captains/colonels and flag/general officers. NWC complies within joint policy with less than 60 percent of student body composition coming from host Service and with at least two other Services represented. Students are at the appropriate pay grades, including rank waivers, and direct entry waivers for JPME Phase I completion. However, NWC expressed concern about the quality of Navy officers attending senior level course (SLC). Senior officer career milestone assignments and the pool of eligible officers limit availability of officers most likely to serve in Fleet and joint senior strategic leadership assignments. Consideration should be given to establishing a Bureau of Naval Personnel (BUPERS) placement office for senior officers post commander command similar to other Service placement procedures. Establishing this office could benefit senior officer development, especially those without designator/community stovepipe placement and without being limited to the detailing window only during change of station periods. NWC's concern relates more to selecting and educating those officers that will eventually serve in senior leadership position rather than any academic shortcomings.

RECOMMENDATION

108-13.   That NAVPERS (PERS-4), in coordination with detailers and Bureau of Naval Personnel (BUPERS-31) community managers, consider establishing a BUPERS placement office for senior officers most likely to serve in strategic leadership positions.

    d. The Naval Command College (NCC) enrolls senior international officers, who attend the College of Naval Warfare core courses alongside their U.S. counterparts. Students submit papers and participate in most academic exercises, voluntarily take exams, but do not receive grades. The course work for these international officers is a blend of NWC curriculum and the Field Studies Program. This program exposes the students to American culture, economy, government and leaders through a series of scheduled trips throughout the country. Graduates receive an NWC diploma and transfer credit. NCC students totaled 46 in AY 2013, 45 in AY 2012 and 47 in AY 2011.

3. <u>Operational Level of War (OLW) Programs</u>. The Operational Level Programs Department of the College of Operational and Strategic Leadership provides education, training and assistance in maritime operations for current and future fleet commanders and their staffs in order to more effectively and efficiently employ naval, joint and combined forces at the operational level of war.

     a.   The Combined Force Maritime Component Commander course is a one-week, flag-level class that addresses the operational-level maritime security challenges faced by the nations of a specific region. It is comprised of flag-level officers from all U.S. services, as well as from invited nations that operate in the region. Two or three courses are held each year, hosted by regional U.S. Navy commanders (i.e., U.S. Pacific Fleet, U.S. Naval Forces Europe/U.S. Naval Forces Africa, U.S. Naval Forces Central Command and U.S. Naval Forces Southern Command).

     b.   The Joint Force Maritime Component Commander (JFMCC) course is a one-week, flag-level course conducted at NWC. It is designed to prepare future maritime component commanders to plan and execute complex maritime operations. The course is taught at the classified level and only U.S. Flag/General Officers are permitted to attend. Students from each of the military services are selected by their respective headquarters, with the majority being Navy officers.

     c.   The primary objective of the Maritime Staff Operators Course is to comprehend, analyze and apply Maritime Operations Center processes and procedures necessary to plan, prepare, execute and assess complex maritime operations in a dynamic environment. Its mission is to educate and prepare students to immediately and effectively serve on maritime operational-level staffs. This course began in 2007, and now enrolls about 400 students each year.

     d.   The Executive Level Operational Level of War Course is focused on senior leadership (O-6), and ensures students understand the intricacies of effectively participating in the decision making process and of managing a MOC and its resources.

     e.   Maritime Operations Planner Course is a pilot program designed to develop midgrade operational planners for Fleet staffs.

     f.   OLW courses supplement regular PME progression, but are not substitutes for intermediate level course (ILC) and SLC programs and do not award JPME or academic credit.

RECOMMENDATION

109-13. That NAVPERS (PERS-4), in coordination with detailers and BUPERS-31 community managers, ensure officer career progression accounts for both PME and OLW education at appropriate career milestones and sequenced appropriately.

4. <u>Distance Learning (DL) Programs</u>. NWC College of Distance Education (CDE) administers all DL programs. DL programs are not subject to the joint student resident requirements that are mandatory for JPME Phase I credit. NWC CDE staff report that the Fleet Seminar Program is the most academically rigorous of the DL courses followed by the NPS program, Web-enabled Program and Compact Disk - Read Only Memory (CD-ROM) Program, respectively. All DL programs are accredited by PAJE for JPME Phase I credit.

     a. *Fleet Seminar Program (FSP).* Three courses are needed to fulfill the requirements of the College of Naval Command and Staff Diploma. The normal academic year runs from September through April. Graduates may pursue a Master's degree through the Graduate Degree Program (GDP). NWC complies within joint policy and PAJE.

     b. *Graduate Degree Program.* Nonresident students in the GDP must successfully complete nine credit hours of elective work from NWC or a regionally-accredited college or university in an elective area of study to be eligible for the Masters of Art degree. These elective courses must receive approval of the director, CDE and the associate provost for electives and directed research prior to commencing work. NWC complies with accreditation standards to confer this degree.

     c. *Naval Postgraduate School Program.* The core NWC courses are taught in a seminar format in the classroom on the NPS quarterly schedule. On average, nearly 400 students a quarter enroll in NWC-at-NPS courses, and about the same number graduate each year, thus earning the CDE Command and Staff Intermediate-Level Service College diploma and JPME Phase I Credit.

     d. *Web-enabled Program.* Command & Staff (three courses): Strategy & War (four modules), National Security Decision Making (two modules) and Joint Maritime Operations (six modules). It takes approximately 18 months to complete all requirements for this diploma with JPME Phase I certification.

     e. *CD-ROM Program.* Command & Staff (three courses): There are three modules in the Strategy & War course, two modules in the National Security Decision Making course and six blocks in the Joint Maritime Operations course. It takes approximately 12 months to complete all requirements for this diploma with JPME Phase I certification.

5. <u>Senior Enlisted Academy</u>. The Navy Senior Enlisted Academy (SEA) provides an opportunity for Chief Petty Officers (CPO), Senior Chief Petty Officers (SCPO) and Master Chief Petty Officers (MCPO) to engage in studies that broaden their educational experience, and assist them in fulfilling today's increasing senior enlisted responsibilities. SEA classes convene seven times each year. Designed primarily for the SCPO, each class may also have a limited number of CPOs, MCPOs, international students and other U.S. service senior enlisted leaders. This course is leadership-centric and focuses on the organizational level of leadership. The six-week curriculum addresses the following areas: Communication Skills, Leadership, Organizational Behavior, National and International Studies and Chief Petty Officer Professionalism. SEA offers a blended curriculum consisting of DL and resident coursework that allows opportunity for those that cannot attend the resident program. SEA provides outstanding senior enlisted professional development consistent with CJCS enlisted PME and JPME policy. NWC provides funding for temporary duty travel ($712,000 in FY12) from

operational units to SEA; however, SEA does not have the administrative capacity to create orders within the Defense Travel System (DTS). Presently, NWC is assisting with creating DTS orders.

RECOMMENDATION

110-13.   That NWC and SEA leadership review staffing required to manage temporary duty orders within DTS.

V. TOTAL FORCE MANAGEMENT

1.   Overview. NAVINSGEN reviewed the management of civilian and military positions, the civilian hiring process for AD and general schedule (GS) positions, civilian and military staffing, and civilian salary compensation determination. This review included verification of NWC compliance with applicable HR programs as identified in Title 5 and Title 10 U.S.C. 7478 regulations, and NWC instructions and policies.

2.   Civilian Personnel Management.

   a.   NWC Human Resources Office (HRO) staff has only minimal involvement in the hiring process (from position establishment to candidate selection) for AD positions. HRO is not involved in decisions regarding staffing for these positions; specifically, HRO is neither a participant in the strategic planning for staffing NWC nor consulted for alternative recruitment strategies to provide a more diverse candidate pool. The Office of Civilian Human Resources (OCHR) published Civilian Human Resources Roles and Responsibilities, dated 25 April 2013, which outlines the roles and responsibilities of an HRO for providing services to Navy civilians and defines how the HRO should deliver services to customers.

   b.   Prior to 25 April 2013, NWC HRO functioned as a "shadow HR staff." This is a commonly used phrase to identify staff members who function as a quasi-HR staff in the absence of an on-site command HRO. This shadow staff came about due to a perceived lack of support from the Commander, Navy Region Mid-Atlantic HRO located in Groton, CT. Many functions normally part of HRO (e.g., Equal Employment Opportunity (EEO), labor relations, employee relations) were performed at the Groton office with some other functions such as position classification worked through the shadow HRO.

   c.   The limited ability of the shadow HRO to process personnel actions resulted in disjointed and inconsistent procedures for civilian HR functions. This shadow staff was assigned organizationally to the military HR (N1). There were communication problems between the N1 and the current HR officer, who is now the Director of NWC HRO. NAVINSGEN discussions with senior leadership about the lack of an HR strategy for NWC revealed a reluctance to engage the current HR officer beyond the administrative processing of new employees.

RECOMMENDATION

111-13.   That OPNAV HR Director ensure additional training for the current HR Director and periodic oversight of HR processes at NWC.

3. <u>Recruitment Strategy and Planning</u>. The Deans of each school at NWC determine position descriptions and create job announcements to fill vacancies. The department with the vacancy generates the advertisement and forwards to the Deputy Provost for review. The Deputy Provost shares it with the HRO and forwards it to the Provost for final review and approval.   When the candidate selection is made, the Provost prepares a Memorandum of Understanding (MOU) outlining the requirements for the position.

   a. Announcements are posted at five locations as identified in the NWC Statement of Academic Policy 90-01 and NWC Faculty Handbook (pages 35/36-Recruitment of Civilian Faculty). Duty statements in announcements are purposely generic in terms of requirements. The stated reasoning for this is the recruitment pool can be much larger and can include applicants who will qualify for Assistant Professor, Associate Professor or Professor depending on their experience and background, allowing a larger and less restricted candidate pool. Of note, neither the Faculty Handbook nor the draft instructions require job vacancies to be posted to USAJobs, a common source of posting for DoD and most federal agencies.

   b. NWC advertises the open position in educational journals specific to the relevant discipline. A search committee, comprised of members from various NWC departments, evaluates the applications, ranks the applicants, interviews candidates and organizes applicants' presentations. The committee recommends a selection to the Provost, who then approves or disapproves the choice. Once a selection is made, the Provost extends an offer for employment. HRO does not participate in panel interviews, rating or selection. NWC recruitment instruction for AD positions (and all Title 10 faculty), Naval War College Instruction (NAVWARCOLINST) 5400.28C (in draft at the time of our inspection but signed in the interim), specifies that all recruitments and appointments of faculty positions will comply with merit promotion and EEO principles and policies. However, without definite qualifications or major duties and requirements for the position stated up front, it is difficult to determine if the program is compliant with merit position and EEO principles. Proper job evaluation and analysis ensures a nexus exists between the required duties identified for a position and the qualifications and evaluation criteria used for rating and ranking qualified applicants.

   c. The draft revision NAVWARCOLINST 5400.28C is a step forward in establishing a consistent process for AD recruitment efforts, including giving NWC HRO necessary input into the hiring process. The servicing HRO has the technical acumen to assist in shaping the workforce and helping management navigate the federal hiring processes. For instance, mentioned in earlier section of this report, NWC lacks diversity specific to gender, race and age throughout the staff and faculty members. HRO involvement would improve the search committee's ability to broaden what is admittedly a narrow pool.

   d. Although the Deans of each school indicated that they review announcements and interview/evaluation criteria, it does not appear these consultations take place with any regularity. Moreover, upon review of sample AD recruitment packages, NAVINSGEN found evaluation criteria were frequently not clear. The search committee members review applications and develop a short list of candidates, but there is no record of how they reached their findings.

e.   Currently, AD recruitment packages stay within each Dean's area of control, and retention of this material is variable. One Dean maintains the files until it is determined the selection will not be challenged or questioned, and then the information is destroyed because it contains Personally Identifiable Information (PII). Another Dean keeps the files at least one year. Hiring committee records management is inadequate and does not involve competent HR staff in the process. This prevents appropriate review of hiring practices and fails to ensure compliance with merit systems principles and equal employment tenets. These practices increase the potential risk of a violation and grievance under the Merit Systems Protection Board, should any of the personnel actions be challenged and/or subject to review by external agencies.

RECOMMENDATIONS

112-13.   That NWC HRO establish and maintain case files of all AD recruitments that include: position description with specified job duties, qualifications, evaluation ratings and selection criteria and any other documentation related to the case.

113-13.   That NWC require the HR Director to provide recruitment oversight and strategies for the AD recruitment process to include the establishment of clear criteria for evaluating candidates.

114-13.   That NWC HRO review all Requests for Personnel Action to ensure compliance with merit promotion and equal opportunity principles.

4. Classification.

    a.   Focus group participants expressed concerns about classification for NWC positions and application of rules governing accretion of duties. NWC is a manage-to-payroll activity with the ability to set pay grades and step levels for each position. Though the civilian HR Director has experience classifying positions and in matters involving GS and Federal Wage System (FWS) position reviews, audits and classifications, the HR Director is not consulted on AD positions and duties associated with these positions. Secretary of the Navy Instruction (SECNAVINST) 12511.1, Position Classification and Position Management, Paragraph 3, includes these duties within the scope of the HR Director responsibilities.

    b.   In lieu of position descriptions for AD positions, NWC uses an attachment to the MOU to serve as the "final" defined duties. A sample MOU attachment identifies duties (a) through (l) which include conducting classes, supporting PME activities, developing curricula, conducting tutorials, attending official functions and keeping the Provost and Dean of Academic Affairs informed of initiatives, progress and issues. Paragraph 3 of the MOU is a caveat indicating that the list is not exhaustive of the duties of an associate professor. Additional requirements may include serving as escort, host, moderator or project officer while assisting in "certain of the College's special programs." All final duties and responsibilities are identified in the MOU signed by the employee and Provost.

    c.   Although we understand that grading standards in the OPM Classification Standards do not exist for AD positions, commands are still responsible for establishing accurate and consistent position descriptions. Moreover, positions should be established prior to recruitment. We observed that MOU statements are generally consistent between Schools and positions, and are similar enough to be used throughout NWC for the recruitment and classification processes.

RECOMMENDATIONS

115-13.   That NWC Provost receive training on appropriate position classification and position management as directed by SECNAVINST 12511.1, Classification of General Schedule and Federal Wage System Positions, for anyone exercising delegated classification authority.

116-13.   That NWC HRO create a "Position Description library" for use when recruiting for AD positions.

5. Compensation.

    a. *Determining pay for AD positions*. As previously discussed in Faculty Compensation, the Provost determines the pay offered and amount paid to newly hired ADs. Based on interviews with staff and faculty members, NAVINSGEN found that there is no pay setting guidance or checklist used to make these pay determinations. The Provost makes the determination based on the selectee's background, education and other comparative criteria, although a recommendation may be provided by the department chair or selecting official based on prior experience, pay at current college or university and other experience-based factors. The Provost makes the final determination.

    b. Although 5 Code of Federal Regulations (CFR) 575 governs incentives and retention allowances, an excerpt from 5 CFR 531.212 contains a good "rule of thumb" when determining an employee's pay. In discussion, the Provost indicated use of a similar rationale; however, it is not retained or documented for the record.

    c. NAVINSGEN observed several problems with the payment of retention bonuses among AD employees.

        (1) NAVWARCOLINST 12550 is the activity Recruitment, Relocation and Retention Incentives policy; DoDINST 1400.25, Volume 575 governs DoD incentives, bonuses and allowances; Title 5 CFR 575 governs Recruitment and Relocation incentives and Retention Allowances. In one NWC case, the supervisor promised money to an employee initially intended as a recruitment incentive. Because there was no conversation with the HR advisor as to the proper way to authorize either a recruitment bonus or retention allowance, the action was processed with a memorandum. This is a violation of 5 CFR 575 regulations. An agency may not offer or authorize a retention incentive for an individual prior to employment with the agency.

        (2) 5 CFR 575.310 states that, before paying a retention incentive, an agency must require an employee to sign a written service agreement to complete a specified period of employment with the agency. The exception to this mandate is paying the incentive in bi-weekly increments; in this case the written service agreement is not required. An authorized agency official must determine the length of a service period. According to the Provost and Chief of Staff, signed MOUs are considered service agreements for retention incentive purposes at NWC. However, the MOU is not the appropriate document to obligate the government for payment as it contains insufficient information to determine the method to process as well as the reasoning for the authorization.

(3) In order to avoid future confusion or misunderstanding on the amounts or payment intervals of a recruitment bonus, relocation incentive or retention allowance, employees should be required to sign a service agreement as indicated by NAVWARCOLINST 12550. The instruction states the employee must sign the service agreement; it does not allow for retention allowances to be documented in any other manner. Further, a copy of the service agreement should be maintained by either the employee's department or HRO.

RECOMMENDATIONS

117-13.   That NWC HRO update NAVWARCOLINST 12550, Recruitment, Relocation and Retention Incentives, detailing the requirements for recruitment bonuses, relocation incentives and retention allowances.

118-13.   That NWC management develop a process for all job position classifications (GS, AD or FWS) whereby a pay determination is documented in writing and identifies the rationale for the pay decision for audit and documentation purposes.

6.   Equal Employment Opportunity (EEO).

    a.   NWC contact information for EEO counseling and complaints is identified in a Policy Statement, signed by NWC President, that is posted on the NWC portal. In addition, EEO posters identify contact information and provide links to Prevention of Sexual Harassment Training, the Civilian Employee Assistance Program, and Sexual Harassment Advice Line. EEO counseling and EEO complaints are processed by SECNAV Director of Civilian Human Resources. At the time of this report, there are no active EEO complaints for NWC.

    b.   The NWC EEO Program Advisor is a GS-0201-09 position with proper scope described in the incumbent's position description. The advisor has completed the two-week Defense Equal Opportunity Management Institute course and the one-week Navy EEO course. She is SECNAV EEO liaison to NWC as well as the leader of the command civilian EEO committee.

    c.   The EEO program is not in compliance with the Department of the Navy Office of Civilian Human Resources (DON OCHR) Manual, Subchapter 1601, Equal Employment Opportunity Program Policy in that it is unclear whether the program is being appropriately tracked. NWC HR Director indicated that case files and records were being sent to SECNAV HRO; however, SECNAV HRO indicated they did not have any EEO files.

RECOMMENDATION

119-13.   That SECNAV HRO establish a process that tracks EEO complaints and defines the role for EEO liaison.

7.   Military Manning. NAVINSGEN reviewed military manning and found that current staffing for NWC is above the Navy average for shore command manning. Leadership as well as focus group discussions and review of the Area Manning Document confirmed there is an adequate number of Navy staff assigned to NWC, with the exception of the previously discussed PMP Program.

8. <u>Civilian and Military Training</u>. NWC does not have a Planning Board for Training as required in OPNAVINST 3120.32D, Standard Organization and Regulations of the U.S. Navy. As a result, there are no command training plans (long or short range) for civilian or military training. Although training calendars exist for professional and personal development opportunities, neither HRO nor the military training officer had an overarching training plan for the training and development of NWC personnel. For military specific training, documentation of General Military Training (GMT) Program in Fleet Training Management and Planning System (FLTMPS) reflects low participation throughout all of NWC unit identification codes (UIC).

   a. *Civilian Training*. In April 2013, NWC HRO assumed control of their own training from HRO Groton without transfer of information or resources. Civilian training at NWC is not centralized in HRO. NAVINSGEN found no single person or department plans, prioritizes, and monitors civilian training or personal development across NWC. This decentralization causes gaps in the completion of Navy mandatory training and prevents comprehensive long and short range training plans for NWC civilian employees.

       (1) Required annual training is not tracked by HRO; rather, training completion is tracked by the training provider. For example, according to NWC's HRO "*Counterintelligence training is arranged annually through NCIS and is conducted in person at an all-hands assembly. All attendees must sign in prior to or during the training. Make-up dates are arranged through NCIS when necessary. The roster of attendees is kept by security*." This decentralization results in training records being scattered throughout the command as well as poor HRO visibility on training, as a whole.

       (2) All Deans have budgets for academic development and manages training for faculty and GS employees. As such, there was no singular employee development plan to which the HRO could refer to ensure all NWC faculty and GS employees are afforded comparable training opportunities where appropriate.

   b. *Military Training*. The GMT Program is not being completed in accordance with OPNAVINST 1500.22G, General Military Training Program. NWC's FY12 GMT completion is recorded in FLTMPS as 26.8 percent, with no topics meeting the 100 percent training requirement. As of 8 August 2013, FY13 GMT was recorded in FLTMPS at 22.15 percent, with no topics meeting the 100 percent requirement. The military training officer stated that GMT is conducted monthly, with a make-up session for stragglers, but FLTMPS records do not confirm this statement in that five of the eight GMT topics reflect no more than six Sailors completing the training for NWC's main Unit Identification Code 00124.

RECOMMENDATIONS

120-13.   That NWC appoint a single point of contact for civilian training responsible for tracking completion of mandatory civilian training.

121-13.   That NWC develop both short and long range training plans that include all mandatory training and other topics as required. These plans should include military and civilian personnel.

122-13.   That NWC track completion of all required civilian and military training and ensure all personnel comply.

9. Continuity of Operations Plan. NWC does not have a signed Continuity of Operations Plan (COOP) as required by OPNAVINST 3030.5B, Navy Continuity of Operations Program and Policy. A draft plan was provided for review; however, it requires further development and remains to be finalized and implemented. Specifically, in a final COOP, NWC should define Mission Essential Functions (MEF) based on both a short term implementation (days to a week) and more lengthy implementation (weeks to months) and identify a suitable alternate worksite location.

RECOMMENDATION

123-13.   That NWC complete, issue and implement a Continuity of Operations Plan.

VI. FACILITIES

1. Overview. NAVINSGEN reviewed the following areas: management of recapitalization and contracts, physical security and anti-terrorism/force protection. NWC campus includes 16 buildings on Coaster's Harbor Island adjacent to NAVSTA Newport. NWC has an effective facility management staff to address concerns with Naval Facilities Engineering Command (NAVFAC) and Commander, Navy Installations Command (CNIC). The staff is more technically sophisticated than most Echelon II facilities staffs, and the in-house maintenance workforce must provide significant flexibility to address emergent requirements.

2. Capital Improvement and Recapitalization Management. NWC ownership of the buildings was transferred to CNIC in FY04. Of the 16 buildings, two are on the National Historic Registry, two are "on loan" from NAVSTA Newport providing classrooms and laboratories and two are scheduled for demolition (Sims Hall and the building adjacent to Schonland Hall). Sims Hall is a multi-use building supporting the CNO Strategic Studies Group; NWC Special Security Office (with associated sensitive compartmented information facilities [SCIF] and a secure classroom); Reserve Component functions and NWC Graphics offices. In 2008, CNO made a commitment to recapitalize NWC facilities to: repair building envelopes, upgrade interiors, repair utilities and address deficiencies associated with the Americans with Disabilities Act. The plan called for approximately $81.5M in major renovation projects in 11 buildings, of which $32.4M are complete. The first eight projects listed in Figure 2-2 are complete, but the remaining six projects are in danger of cancellation due to sequestration. Some of these projects are design complete and could be awarded quickly if funds become available.

    a. Additionally, NWC prepared Military Construction (MILCON) project P-103 (Figure 2-2) to address classroom and administrative space deficiencies first identified in a 2003 CJCS Accreditation Report on JPME and reiterated in subsequent CJCS reports, most recently in May 2013. If this project is not programmed prior to the next CJCS accreditation review, NWC leadership is concerned that continued accreditation will be in jeopardy as this deficiency was noted in the previous accreditation report. This concern could potentially be mitigated with the establishment of a central registrar's office to better manage available classroom capacity. Continued federal budget uncertainty is an ongoing challenge to long term project planning and programming efforts.

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              NAVAL WAR COLLEGE CAPITAL IMPROVEMENT PROGRAM

NWC Recapitalization Projects:
Luce Hall Renovation                                              $9.3M
Spruance Hall Auditorium Renovation                              $6.8M
Evans Hall                                                       $3.2M
McCarty Little Hall  Roof                                        $2.2M
Schonland Roof                                                   $0.7M
Pringle Hall Renovation                                          $5.1M
Colbert Plaza Repairs                                            $3.8M
Fiber Optic/Electrical Upgrade                                   $1.3M
Hewitt Hall Renovation (Phase 1 in process)                      $8.5M*
Founders Hall Renovation (partial in process)                    $4.1M*
Connolly Hall Renovation                                         $7.4M*
Luce Hall Basement Repairs                                       $2.3M*
Mahan Hall Renovation                                            $8.0M*
P-103 Hewitt Learning Commons                                    $12.4M*
TOTAL:                                                           $81.4M

Proposed MILCON:
P-479 NWC International Forum                                    $36M
Initial cost estimates, based on current project costs,
and include design, SIOH, and contingency estimates.


*Completion not likely in the current funding environment
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Figure 2-2. Naval War College Capital Improvement Program

b. *Contract Support.* NAVFAC provides NWC contract construction support. Historically, NAVFAC's support for larger recapitalization projects that are planned and programmed over longer periods is adequate. However, NWC has many short-fused, lower-cost, high visibility projects that challenge NAVFAC's ability to provide timely, effective contract support. Examples of short-fused, high visibility events include those involving senior Navy leadership and international military distinguished visitors. Often these events involve important invited guests where, in the words of the facilities staff, "failure is not an option." Over the years, NAVFAC has struggled to provide responsive contract vehicles to help prepare facilities for these events. NAVSTA Newport Public Works Department (PWD) recognizes that Indefinite Delivery/Indefinite Quantity (ID/IQ) contracts and Job Order Contracts (JOC) could provide more timely response to NWC's requirements. NWC would benefit from better access to ID/IQ contracts for tasks like painting, roofing, paving, asbestos removal and air conditioning repairs. JOCs would also permit NWC to package tasks for quick award. While a JOC is available, it is typically used for larger tasks and not for NWC's smaller, short-fused event-driven requirements.

c. NWC President requested by letter[2] Simplified Acquisition Procedures (SAP) authority for NWC to manage acquisitions under $100K with appropriate NAVFAC oversight. In a 22 October 2007 response, Commander, NAVFAC did not grant SAP authority and instead proposed use of the ID/IQ and JOC contract mechanisms noted earlier. However, since 2007 NAVFAC has not developed adequate ID/IQ and JOC capabilities to meet NWC's needs. Simultaneously, personnel turnover, hiring freezes and furloughs in the contracts office within NAVSTA Newport PWD forced the local contracts office to divest many of these actions to contract offices throughout the Mid-Atlantic region.

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[2]Naval War College letter to NAVFAC 11000 Ser 00/0431 of 24 Sep 07

d. NWC provided lists of projects under $25K that were modest in size and scope but, nonetheless, caused significant stress to NWC staff because of tight deadlines. To cope with situations where contract support is inadequate and quick turnaround is imperative, NWC has a 30 person in-house maintenance staff that provides a means to accelerate work necessary to meet event deadlines. This workforce is separate from NAVSTA Newport's PWD. As a result of the hiring freeze, five vacancies were not filled, reducing the staff to 25.

RECOMMENDATION

124-13. That NAVFAC evaluate the unique contracting needs of NWC, solicit input from NPS and USNA and develop acquisition capabilities with adequate contract tools and staff that is consistent with the unique project demands and schedules of the Navy's academic institutions.

3. Physical Security and Anti-Terrorism/Force Protection. While the programs are substantially compliant, one item of concern was watchstanding at the quarterdeck. Because of limited staffing, the Security Department watch bill at times lists only a single watchstander at the quarterdeck. The watchstander is required to monitor alarms at the quarterdeck and periodically patrol buildings. This may create potential gaps in response that would not conform to established criteria (Intelligence Community Directive #705, Chapter 3, Management of SCIFs).

VII. SAFETY COMPLIANCE

1. Overview. NAVINSGEN reviewed NWC compliance with applicable safety programs required by OPNAVINST 5100.23G CH-1, Navy Safety and Occupational Health (SOH) Program Manual; OPNAVINST 5102.1D, Navy and Marine Corps Mishap and Safety Investigation Reporting and Recordkeeping Manual; OPNAVINST 5100.12J, Navy Traffic Safety Program; and other federal regulations and Navy standards. NWC is not in compliance with a number of elements in organization, management and implementation of safety programs.

2. Safety Program Organization and Management. NWC is without a safety professional managing its SOH program and lacks a safety instruction to formalize its SOH program command-wide. Additionally, NWC organization chart neither depicts a safety manager nor provides a direct line of communication with the Commander (NWC President). Per OPNAVINST 5100.23G CH-1, shore activities not receiving Base Operating Support safety services from their Navy Region must have a safety organization, staffed and organized appropriate to the mission and functions of the command. An SOH professional must lead the safety office with the authority, responsibility and visibility to manage and effectively represent the activity's safety program. Furthermore, per OPNAVINST 5100.23G CH-1, Sections 0302 and 0303, execution of the safety program is considered a command staff level function; therefore, the safety manager must have the authority to report directly to the Commander.

a. The lack of a command safety instruction creates a void with respect to SOH responsibilities, requirements and guidance, and inhibits the integration of a safety culture throughout the institution. NWC's safety instruction was implemented prior to 2000 and is outdated. A revised NWC safety instruction is being vetted for approval and final signature.

b.   The knowledge necessary to implement and manage most SOH programs is gained by attending the nine core SOH professional development courses required by OPNAVINST 5100.23G CH-1 and through on-the-job training and other professional development training venues. Additionally, the authority to manage programs such as Mishap Investigation, Reporting and Recordkeeping, Confined Space Entry, Fall Protection and several others, require specific course completion.

c.   Since January 2012, three non-SOH professionals were appointed as interim NWC safety managers. While the occupational series of the interim safety manager (GS-0341) does not meet OPM standards to qualify as an SOH professional, he has an extensive background in the hazardous waste/environmental field, has held management positions in civilian and military careers and is a very capable individual. The interim safety manager completed two of the nine core training courses required by OPNAVINST 5100.23G CH-1 to be considered a journeyman safety professional, and while on active duty in the Navy held the position of ground safety officer for his squadron for three years, which provided practical SOH field experience.

d.   Although not technically an SOH professional, the interim safety manager is making concerted efforts to learn the requirements and responsibilities of this temporary position and improving NWC's safety status by developing a draft safety instruction, attending regional traffic safety committee meetings, engaging local SOH professionals for assistance and establishing a command safety council.

e.   The Facilities Department July 2013 organization chart places the safety manager subordinate to the facilities director and includes three duties: safety, space management and move support. This location in the organization inhibits direct and unimpeded access to NWC President. Placing the safety manager within the Facilities Department could create a conflict of interest when evaluating the safety practices of NWC's facilities support personnel and is not in accordance with OPNAVINST 5100.23G CH-1, Section 0302.

RECOMMENDATIONS

125-13.   That NWC President finalize and implement an SOH instruction to integrate a comprehensive safety policy, focused on providing a safe and healthful environment for faculty, staff and students.

126-13.   That NWC appoint an appropriately trained and experienced full-time SOH professional to manage the command's safety program.

127-13.   That NWC realign the safety manager billet from the Facilities Department and designate the position as a full-time administrative function under NWC President and Chief of Staff to ensure the safety manager has the authority to report directly to the President. NAVINSGEN recommends NWC create a safety department within the Mission Support Directorate.

3.   Safety Program Implementation. NWC did not comply with numerous SOH programs and responsibilities required by Navy instructions and federal regulations. Most of the programs in question are fundamental SOH responsibilities, such as: Councils and Committees; Mishap Investigation, Reporting and Recordkeeping; Inspections and Abatement; SOH Training; SOH

Self-Assessments; Employee Reports of Unsafe/Unhealthful Working Conditions; Ergonomics; Non-Ionizing Radiation; Energy Control (Lockout/Tagout); Confined Space Entry; Fall Protection; Hazardous Material Control and Management and Lead and Asbestos Training. Of significance, the interim safety manager was unable to locate records and documentation of the prior safety manager's program, making it difficult for NAVINSGEN to verify safety program compliance.

a. *Councils and Committees.* Per OPNAVINST 5100.23G CH-1, Chapter 4, activities that provide their own safety support must establish safety councils, chaired by the Commanding Officer, Executive Officer, or equivalent, to identify and assess SOH issues and recommend corrective measures. After more than two years' lapse, and due primarily to the efforts of the interim safety manager, NWC re-established a safety council via Naval War College Notice 5100/2025 of 18 June 2013 and held its first meeting on 23 July 2013. Unfortunately, neither the council's chair, NWC Chief of Staff nor several key members attended the meeting. Considering the effort put forth by the interim safety manager to re-establish the safety council and the number of times the initial meeting was postponed to accommodate individual schedules, the lack of leadership participation suggests a low priority on the SOH program that must be reversed.

RECOMMENDATION

128-13.   That NWC conduct safety council meetings with all required participants in attendance.

b. *Mishap Investigation, Reporting and Recordkeeping.* NWC does not have an individual adequately trained in accordance with OPNAVINST 5100.23G CH-1 and OPNAVINST 5102.1D, Navy & Marine Corps Mishap and Safety Investigation, Reporting, and Record Keeping Manual to conduct investigations of Class A, B and C mishaps. Furthermore, Commander, Naval Safety Center (COMNAVSAFECEN) did not receive occupational mishap reports from NWC for the past five years, even though NWC injury compensation records show at least six individuals missed one or more days of work during 2011-2013. This indicates NWC is not in compliance with reporting requirements of OPNAVINST 5102.1D Chapter 3.

RECOMMENDATIONS

129-13.   That NWC assign an adequately trained individual to conduct investigations of Class A, B and C mishaps and provide funding for attendance of "Mishap Investigation and Prevention (Ashore)," Course A-493-0078, or an equivalent course.

130-13.   That NWC establish guidelines delineating roles and responsibilities for reporting and investigating all classes of mishaps.

131-13.   That NWC report all eligible mishaps to COMNAVSAFECEN.

c. *Inspections and Abatement.* NWC is not implementing an inspection and abatement program according to OPNAVINST 5100.23G CH-1, Chapters 9 and 12. Although the NAVSTA Newport Safety Department conducted an inspection of NWC workspaces during FY13, required abatement elements such as determining risk assessment codes and posting of deficiency notices were not implemented. Furthermore, without a fully trained SOH professional, the command does not have an individual qualified to conduct inspections of workplaces and work practices.

RECOMMENDATIONS

132-13.   That NWC develop and implement an inspection and abatement program.

133-13.   That NWC ensure all workplaces are inspected at least annually by a fully qualified journeyman or above safety inspector.

   d.   *Employee Reports of Unsafe/Unhealthful Working Conditions.* NWC did not post blank copies of OPNAV Form 5100/11 or similar reporting forms at locations convenient to all workplaces and did not inform all faculty and staff of their right to report unsafe/unhealthful working conditions, as required by OPNAVINST 5100.23G CH-1 Chapter 10. However, since appointment, the interim safety manager informs students of their reporting responsibilities during orientation.

RECOMMENDATIONS

134-13.   That NWC post copies of OPNAV Form 5100/11 or a similar form in areas convenient to all workplaces (e.g., official bulletin boards, websites).

135-13.   That NWC inform all faculty, staff and students of their right to report unsafe/ unhealthful working conditions and reiterate NWC's procedures for submitting such reports.

   e.   *SOH Training.* NWC did not provide SOH training to faculty, staff and students in accordance with Occupational Safety and Health Administration (OSHA) regulations and Navy requirements. As a minimum, the training must meet the requirements of Title 29 CFR 1960, Basic Program Elements for Federal Employee Occupational Safety and Health Programs and Related Matters, Subpart H and must provide personnel, at all levels within the organization, with sufficient knowledge for their effective participation in the region's or activity's SOH program. Appendix 6-A of OPNAVINST 5100.23G CH-1, Chapter 6, provides minimum training for personnel assigned ashore.

RECOMMENDATION

136-13.   That NWC design, tailor and provide SOH training programs to the level of responsibility of all faculty, staff and students.

   f.   *SOH Self-Assessments.* NWC is not conducting annual self-assessments of its SOH program as required by OPNAVINST 5100.23G CH-1, Chapter 5. Activities are required to perform an annual self-assessment of their SOH program using guidance developed by their headquarters or the guidance provided by the Process Review and Measurement System Self-Assessment Model. Echelon II commands, such as NWC, must identify their top five areas of concern as well as the top five areas of program success and annually forward that information to the Navy Executive Safety Board, via the Executive Safety Committee.

RECOMMENDATION

137-13.   That NWC develop and implement an SOH self-assessment process following the procedures and requirements of the Process Review and Measurement System.

g. *Ergonomics.* NWC is not implementing an ergonomics program in accordance with OPNAVINST 5100.23G CH-1, Chapter 23. Specifically, NWC has not implemented a program that reviews injury and illness records annually to determine the need for ergonomic improvements and corrective actions; identifies ergonomic risk factors during workplace inspections; provides general ergonomics training to command personnel; and ensures SOH personnel responsible for implementing the program receive required training.

RECOMMENDATION

138-13.   That NWC develop and implement an ergonomics program.

h. *Non-Ionizing Radiation (Radio Frequency Radiation).* NWC did not implement a formal program to manage radio frequency (RF) hazards as required by OPNAVINST 5100.23G CH-1, Chapter 22. NWC security department utilizes a radio communications base station with corresponding whip antennae on the roof of Conolly Hall. NAVINSGEN observed a dish-shaped antenna on the roof of Conolly Hall as well, the specific use of which could not be determined. The Admiral's Barge is equipped with radar. Activities must obtain safety certifications and RF hazard surveys for existing RF emitters, new equipment and installations, or modifications to existing equipment to define RF exposure levels or determine personnel access restrictions. RF surveys must be conducted by technically competent personnel and all personnel must be appropriately trained concerning potential RF exposure hazards. NWC does not have the required certifications and surveys.

RECOMMENDATION

139-13.   That NWC develop and implement a formal program to manage RF hazards.

i. *Energy Control (Lockout/Tagout).* NWC facilities personnel conduct operations that require strict adherence to energy control procedures; however, the command did not implement an energy control program in accordance with OPNAVINST 5100.23G CH-1, Chapter 24, which establishes Navy policy and minimum procedures for locking out or tagging the sources of energy to equipment or systems under the requirements of Title 29 CFR 1910.147, The Control of Hazardous Energy (lockout/tagout); Title 29 CFR 1910.332, Electrical-Safety-Related Work Practices and American National Standards Institute Standard Z244.1-2003, American National Standard for Personal Protection Lockout/Tagout of Energy Sources-Minimum Safety Requirements.

RECOMMENDATION

140-13.   That NWC develop and implement an energy control program to prevent the unexpected energizing or movement of machinery/equipment or the release of energy during the maintenance or servicing of equipment/machinery.

j. *Confined Space Entry.* NWC did not develop and implement a confined space entry program in accordance with OPNAVINST 5100.23G CH-1, Chapter 27, nor appoint, in writing, a qualified Confined Space Program Manager, with proper training to include course number A-493-0030, Confined Space Safety, provided by the Naval Safety and Environmental Training Center. Confined spaces are enclosures with limited means of entry and exit and are not designed for continuous employee occupancy. NWC's draft safety instruction states that there

are seven "Non Permit Confined Spaces" and one "Permit Required Confined Space" compound. The Permit Required Confined Space compound is scheduled for demolition. Although there is no confined space entry program, NWC facilities personnel enter confined spaces throughout NWC compound to repair equipment.

RECOMMENDATIONS

141-13.   That NWC develop and implement a written confined space entry program and ensure compliance with its requirements.

142-13.   That NWC appoint, in writing, a qualified Confined Space Program Manager.

k. *Fall Protection.* NWC did not implement a complete fall protection program, in writing and approved by the activity's safety office, as required by OPNAVINST 5100.23G CH-1, Chapter 13. Further, the only documented fall protection training provided to employees was training on the safe operation of a boom lift and the use of an accompanying harness and lanyard provided by NAVFAC Mid-Atlantic to NWC Facilities personnel in September 2012.

RECOMMENDATION

143-13.   That NWC develop and implement a fall protection program or, as a Navy shore activity, state in writing that they are using the Department of the Navy-Fall Protection Guide for Ashore Facilities, as their fall protection program.

l. *Hazardous Material Control and Management (HMC&M).* As the host activity, NAVSTA Newport developed and implemented a base-wide HMC&M instruction establishing a central authority and facility to manage the approval, purchase and distribution of hazardous material (HM) for all tenants. NAVSTA Newport also assigned an HMC&M Program Manager and implemented a written Hazard Communication (HAZCOM) Plan. All tenants, including NWC, provided NAVSTA Newport an HM Authorized Use List (AUL). However, NWC's HMC&M instruction is over 15 years old and NWC is not abiding by NAVSTA Newport's HMC&M program requirements regarding the approval and purchase of all HM. Specifically, NWC purchases and utilizes HM not listed or previously approved for purchase by NAVSTA Newport on their AUL. During inspections of NWC work spaces, NAVINSGEN identified unapproved HM. Other deficiencies include: the lack of a written HAZCOM plan and lack of documentation of HAZCOM and reproductive health hazard training for faculty, staff and students that meets the requirements of Appendix 6-B of OPNAVINST 5100.23G CH-1.

RECOMMENDATIONS

144-13.   That NWC develop and implement a written HAZCOM plan.

145-13.   That NWC provide all faculty, staff and students HAZCOM and reproductive health hazard training.

146-13.   That NWC adhere to the policies and procedures outlined in the NAVSTA Newport HMC&M instruction.

m. *Asbestos and Lead Training.* NWC did not provide facilities personnel with appropriate asbestos and lead training in accordance with OPNAVINST 5100.23G CH-1, Chapters 17 and 21. NWC facilities personnel may conduct work that puts them in contact with asbestos and lead; however, they do not perform abatement or in-place management operations. With respect to asbestos, facilities personnel during the course of their work may disturb asbestos-containing material, presumed asbestos-containing material and thermal system insulation. Performing these operations classifies NWC facilities personnel as Class III and IV asbestos workers per Appendix 17-B of OPNAVINST 5100.23G CH-1. As such, these workers must be provided two-day operations and maintenance training and annual refresher training thereafter. Further, NWC facilities personnel that come into contact with lead may be exposed to airborne concentrations well above the OSHA action level. Under these circumstances, personnel must be made aware of the contents of appendices A and B of Title 29 CFR 1910.1025. This is not being done at NWC.

RECOMMENDATIONS

147-13.   That NWC provide training to all personnel classified as Class III and Class IV asbestos workers.

148-13.   That NWC ensure all facilities personnel that may come into contact with lead are familiar with Appendices A and B of Title 29 CFR 1910.1025.

4. Traffic Safety. NWC is not in compliance with OPNAVINST 5100.12J, Navy Traffic Safety Program.

a. NWC has not established a formal traffic safety program and has not appointed a Traffic Safety Coordinator (TSC) or a Motorcycle Safety Representative (MSR). The interim Safety Manager is acting as the TSC and MSR and attends NAVSTA Newport traffic safety council meetings. The interim Safety Manager obtained an Enterprise Safety Application Management System (ESAMS) account and is tracking NWC motorcycle riders and training, and completed the required MSR training provided in ESAMS.

b. Approximately 43 NWC personnel (e.g., faculty, staff and students) attended required motorcycle training, enabling them to ride personal motorcycles to and from the base and during off-duty hours. However, NWC has not established a motorcycle mentorship program or participated in another command's program as required by OPNAVINST 5100.12J.

RECOMMENDATIONS

149-13.   That NWC establish and implement a traffic safety program.

150-13.   That NWC appoint in writing a traffic safety coordinator and a motorcycle safety representative to enforce NWC traffic and motorcycle safety policy and ensure they participate in the NAVSTA Newport traffic safety council.

151-13.   That NWC establish a motorcycle mentorship program to promote rider education and training, or participate in another local command's mentorship program.

5. Industrial Hygiene and Occupational Health Support. The Naval Health Clinic New England (NHCNE) provides industrial hygiene and occupational health services to NWC in accordance with OPNAVINST 5100.23G CH-1, Chapter 8. Industrial hygiene and occupational health support is well organized and receives appropriate oversight from Bureau of Medicine and Surgery, via Navy Medicine East (NAVMEDEAST). NAVMEDEAST conducted NHCNE's most recent Safety and Occupational Health Management Evaluation in August 2012; their industrial hygiene and occupational audiology support were rated satisfactory and occupational medicine was rated commendable. Although industrial hygiene and occupational health personnel generally work effectively between NHCNE and NWC, it was reported that for the past two years, NWC has not provided NHCNE requests for required annual medical surveillance, in particular for forklift operators and security personnel who require periodic medical surveillance and certification.

RECOMMENDATION

152-13.   That NWC determine who requires periodic medical surveillance and ensure medical surveillance appointments with NHCNE are conducted.

VIII. COMMAND SECURITY

1. Overview. NAVINSGEN reviewed and verified compliance with mandatory personnel, information and operational security requirements.

2. Security Program Management. NWC Security Programs are substantially compliant with SECNAV M-5510.30 Department of the Navy Personnel Security Program and SECNAV M-5510.36 Department of the Navy Information Security Program manuals and applicable DoD requirements. The Command Security Program, including personnel, physical and industrial security, is executed by the 23 Security Department personnel. Information Security and Assurance programs are conducted by the Information Resource Department, consisting of 35 military, civilian and contractor personnel. Security of Protected Personal Information is administered by NWC Staff Judge Advocate. Security Department and Information Resource Department personnel, and the Special Security Officer in a separate office, are under the direction of the Director of Mission Support (i.e., the Chief of Staff [COS]). The security staff support approximately 1,300 personnel, including staff and students, which are housed within 16 buildings. The Security Officer has direct access to senior leadership and has the appropriate resources required to fulfill his responsibilities.

3. Documentation. Security personnel have the appropriate designation letters for their positions and have the requisite training to hold the positions; however, the designation letters were signed "By Direction" by the COS. While this is acceptable because the COS was granted certain authorities, it would be more appropriate for NWC President to sign future designation letters. NWC security instruction was recently published, also signed "By Direction" by the COS. The SCIF and secure areas/rooms have up-to-date accreditations and certifications. However, there is not a specific designation letter for the Operational Security (OPSEC) Officer/Program Manager as required by OPNAVINST 3432.1A, Operations Security enclosure (1), Paragraph 2. Further, OPSEC is not specifically addressed in NWC security instruction, the 2013 Faculty Handbook, or any NWC instruction which is inconsistent with policy described in OPNAVINST 3432.1A, Paragraph 5.

4. Training. NWC is conducting annual security refresher training, counterintelligence training and foreign travel briefs as required.

5. Operations Security (OPSEC). NAVINSGEN identified the following concerns:

    a. *Designation and Instruction*. The OPSEC Program at NWC is not in compliance with OPNAVINST 3432.1A. At the time of the inspection, NWC had not implemented an OPSEC Program in accordance with the instruction, nor did any of NWC instructions specifically mention an OPSEC program. Furthermore, the OPSEC officer was not designated in writing but was only referred to in the annual refresher training as the Security Manager. The 2013 Faculty Handbook only refers to not discussing classified information, but does not include critical information which is unclassified. It also mentions specifically for military members to *"refrain from speech that is...harmful to the interests of the United States."* (NWC Faculty Handbook, p. 33). Although NWC is not an operational command, students and faculty possess operational experience and expertise. Such unclassified, critical information could theoretically be brought into the academic environment and unintentionally shared with international students. The oversight mechanism to prevent sharing of such information is an expectation that students and faculty members understand their responsibility to refrain from discussing certain topics in the academic forum. During interviews with several of the faculty, staff and students, the consensus is that, despite the lack of a robust program, there is sufficient awareness to prevent OPSEC violations and classification spillage in classroom discussions and research papers. This is a positive observance of OPSEC as everyone's responsibility; however, it is inadequate in relation to OPNAVINST 3432.1A. After feedback from NAVINSGEN observations to the Security Department and Faculty Deans and Chairs, NWC will address OPSEC more regularly for the classroom environment and more in-depth during student indoctrination, new faculty/staff orientation and the annual security refresher training. NWC also has since designated an OPSEC officer, and is making progress on developing the program.

RECOMMENDATION

153-13.   That NWC develop and implement an OPSEC program in compliance with OPNAVINST 3432.1A.

    b. *Compliance for Public Release*. Through multiple interviews with faculty, staff and students, it was determined there is no formal process for review, nor guidance in place, for vetting products of academic work (e.g., presentations, lectures, papers, interviews) for content, classification or releasability. Per the Faculty Handbook, NWC faculty members are encouraged *"to write, make presentations, and give interviews in any forum,"* but *"shall not reveal classified information."* (NWC Faculty Handbook, p. 33). Additionally, there are stipulations specifically requiring notifications and coordination with the Public Affairs Officer for community relations engagements and the Dean of Academic Affairs for engagement with military units or academic institutions (NWC Faculty Handbook, p. 80). The Faculty Handbook also provides guidance for speeches that require a security and policy review in accordance with DoDINST 5230.29, Security and Policy Review of DoD Information for Public Release. Additionally, NWC security instruction states that the duties of the Security Department include *"conduct[ing] security classification reviews of documentation developed at NWC and CNO Strategic Studies Group with subject matter experts."*

RECOMMENDATION

154-13.   That NWC formalize a vetting process to comply with applicable Navy security instructions and DoDINST 5230.29.

IX. RESOURCE MANAGEMENT/QUALITY OF LIFE/COMMUNITY SUPPORT

1. Overview. NAVINSGEN assessed 22 programs and functions. Our findings reflect inputs from survey respondents, onsite focus group participants, document reviews, and face-to-face interviews.

2. Compliant Programs. The following programs and functions are well administered and comply with applicable directives: Government Commercial Purchase Card, Property Management, Individual Medical Readiness, Command Individual Augmentee Coordinator, Post Deployment Health Reassessment, Command Managed Equal Opportunity, Urinalysis, Legal/Ethics, Voting Assistance, Information Management and Physical Readiness.

3. Legal and Ethics.

    a. NWC's Staff Judge Advocate (SJA) provides effective and legally sound ethics advice and counsel. In particular, the SJA has done a superb job providing advice in legal areas in which he had not practiced before coming to NWC (such as civilian personnel and business law); he has established an excellent relationship with NWC leadership, faculty and staff at all levels, and with the Naval War College Foundation (NWCF).

    b. The SJA office effectively and efficiently administers NWC's financial disclosure program and plays an integral role in the review of gift offers from NWCF. Although not responsible for providing legal assistance services, which are the responsibility of the Region Legal Services Office, the SJA office provides limited legal assistance as a courtesy to military staff and students by drafting powers of attorney and performing notary functions. The temporary presence of an experienced legalman in the office has facilitated these efforts.

    c. For NWC legal matters involving intellectual property, contracting, civilian personnel and procurement law, the SJA coordinates and consults with Office of General Counsel (OGC) attorneys assigned to: USNA; NPS; the Assistant Secretary of the Navy (M&RA); the Assistant Secretary of the Navy (Financial Management and Comptroller); and the OGC Central Office (Assistant General Counsel, Ethics). NWC is increasingly seeking legal advice and review prior to taking action in these areas, suggesting that the addition of an OGC attorney to the existing NWC legal staff is merited.

    d. The need for additional legal support is illustrated by the growing demand for legal review and advice in the following areas:

        (1) New procurement requirements.

        (2) Participation in NWC, DoD, and non-DoD conferences; official foreign civilian and military travel requiring qualitative regulatory review; contracting; official representation Funds; gifts and management of gift funds; financial review of draft NWC correspondence; and frequent engagements with higher authority for which input from legal personnel is warranted.

        (3) Development of a new command instruction that addresses copyright issues.

(4) Review of an NWC legislative proposal addressing faculty publishing, which requires coordination with DON Office of Legislative Affairs, review of DON General Counsel, and submission to DoD. The proposal includes review of faculty engagement issues in light of new social media technologies which raise a number of legal issues involving security, endorsement, academic freedom, policy review, use of official position, copyright and outside employment.

(5) Increased review of NWCF activities in light of ethical lapses at other private institutions that support naval activities. For example, the SJA now reviews NWCF annual offer of gifts. Additionally, legal review of gift offers and acceptance processing has increased as a consequence of sequestration.

(6) Review of funding and purchasing transactions to support new regulatory requirements, such as Financial Improvement Audit Readiness (FIAR).

e. *Naval War College Foundation*. Review of NWCF included its structure, financial status, program of giving to NWC, authority to occupy space on NAVSTA Newport, membership solicitation practices, and the relationship with NWC with regard to the offer of gifts and contributions to NWC. NWCF and NWC are in compliance with governing statutes, laws and higher instructions, as well as their own bylaws and instructions, regarding the conduct of such entities and activities.

RECOMMENDATION

155-13.   That Director Navy Staff authorize a civilian attorney position and OGC assign a full-time OGC attorney to NWC with experience in contract law, personnel law, fiscal law and/or intellectual property law.

4. Non-compliant Programs or Issues Requiring Resolution.

a. *Flag Mess/Enlisted Aides*. The Flag Mess supporting NWC President was established per CNIC approval letter, Ser N9/66392, dated 4 June 2010, with three Culinary Specialists (CS) assigned. NAVINSGEN found that there is no established local policy under which the Flag Mess is organized or structured to operate, nor have annual financial statements (Form NAVPERS 1746) been submitted to CNIC. The requirement for annual NAVPERS 1746 submission originally laid out in Bureau of Naval Personnel Instruction 1710.11C, Operation of Morale, Welfare and Recreation Programs Article 2325, Paragraph c, as well as oversight authority of Flag Messes, was not formally re-established with the transfer of mess oversight from BUPERS to CNIC. As a result, there is inconsistency or absence of assistance, training, and oversight of the Flag Messes across the Navy, including at NWC.

(1) NAVINSGEN verified that assigned Flag Mess CSs augment Enlisted Aides at NWC President's Quarters during official and unofficial functions, contrary to OPNAVINST 1306.3B, Guidance for Use of Enlisted Aides, Paragraph 10.d. Per this OPNAVINST, Enlisted Aides are distinct from Flag Mess personnel and Flag Mess CSs may not be utilized in an Enlisted Aide capacity. NWC President is authorized two Enlisted Aide billets, assigned to public quarters: one CS Chief and one CS2. Prior to assignment to Enlisted Aide duty, CS personnel should attend a mandatory three-week Enlisted Aide course at Fort Lee, VA, and a highly recommended five-week Advanced Culinary (AC) course. NAVINSGEN verified the prospective CS Senior

Chief reporting on 17 August 2013 has not completed Enlisted Aide quarters training. NAVINSGEN verified the currently onboard CS1 attended the Enlisted Aide course, but not the recommended AC course.

(2) NWC did not provide documentation that the Flag Mess Galley had undergone regular sanitation inspections in accordance with NAVSUP P-486 and Manual of Naval Preventive Medicine P-5010, Chapter 1.

(3) NAVINSGEN observed the following spot-check discrepancies within the Flag Mess Galley: no trouble call log system in place for out-of-commission equipment, no thermometers to measure refrigerator/freezer temperatures and failure to maintain "heat stress" program/logs. In addition, the following unsatisfactory material conditions were observed: freezer out of commission with no estimated time of repair and gasket seals on refrigerators and freezers in need of replacement.

(4) NWC does not have a dining room for Flag Mess members. NAVINSGEN conducted training with Flag Mess personnel in food service policies and procedures.

RECOMMENDATIONS

156-13.   That Navy Supply Food Management Team Detachment Groton, CT, conduct an assist visit to NWC President Flag Mess.

157-13.   That CNIC establish an oversight program of Flag Mess management and operations at NWC and elsewhere in the Navy.

158-13.   That NAVSUP Public Quarters Assist Training Team conduct an assist visit of NWC's Enlisted Aide program.

159-13.   That NWC update Enclosure (2) of NAVWARCOLINST 1306.3 to include an additional requirement for higher approval for participation of Flag Mess CSs or other enlisted Sailors in official functions and incorporate VCNO's annual Standards of Conduct Guidance.

160-13.   That NWC direct Enlisted Aides to draft daily, weekly and monthly cleaning schedules, and update the six-year maintenance plan for Quarters in accordance with OPNAVINST 1306.3B.

161-13.   That the Culinary Specialist Special Programs Detailer ensure all Enlisted Aides attend the mandatory three-week Enlisted Aide course prior to permanent duty station assignment.

b. *Inspector General (IG).* NAVINSGEN conducted an IG Quality Assurance Review of NWC's Hotline Program. NWC's IG assumed duties 1 April 2013 and completed DoD IG certification on 3 May 2013. NAVINSGEN observed that the IG is a collateral duty in addition to primary duty as a military faculty professor. Approximately 80 percent of this staff member's workload is devoted to faculty duties leaving 20 percent for IG Hotline functions. During the Quality Assurance Review, NAVINSGEN identified the following deficiencies:

(1) NWC's IG office failed to process Hotline complaints in the Naval Inspector General Hotline Tracking System, in accordance with SECNAVINST 5370.5B, Department of the Navy Hotline Program, Paragraph 8.

(2) NWC's IG Office failed to properly refer investigations to the command and no documentation was available to confirm whether complaints that were referred to the command were properly addressed, in accordance with SECNAVINST 5370.5B, Paragraph 8.

(3) Of significant concern, the IG's primary duty as a faculty member could present, both in fact and appearance, a conflict of interest to the integrity of investigations of academic matters, in accordance with the President's Council on Integrity and Efficiency, Quality Standards for Investigations, General Standards, Paragraph B. Given the limited information available, NAVINSGEN could not fully evaluate NWC IG's effectiveness in managing IG functions or Hotline complaints.

RECOMMENDATIONS

162-13.   That NWC ensure an Inspector General program is in compliance with SECNAVINST 5370.5B.

163-13.   That NWC assign a full-time Inspector General.

c. *Managers' Internal Control (MIC).* NWC's MIC program is effectively structured to provide NWC President and Provost reasonable assurances that risk is identified and mitigated within the College. An inventory of Assessable Units (AU), internal control assessments and reports of material condition/weakness and corrective action were readily available. NAVINSGEN verified NWC's MIC program includes assurances from each designated AU. The coordinator and assistant coordinators are appointed in writing, have completed required training and have auditable records. The scope of AUs incorporated into NWC's plan provides integrated guidance on accounting for, and feedback on, all three components of Internal Controls (ICOFR, ICOFS and ICONO).[3]

(1) Although NAVINSGEN assessed the MIC program as in compliance with SECNAVINST 5200.35E, Managers' Internal Controls Program, the program has only been in place for a year and NAVINSGEN observed only a single previous NWC President Statement of Assurance on record and no documentation of a MIC program in prior years.

(2) Additionally, the Coordinator and Assistant Coordinator positions are assigned as collateral duties to their NWC primary positions and, coincidentally, the incumbents share the same Projected Rotation Date of September 2014. Given the short duration the MIC program has been in place, there is significant concern that the program may become non-compliant with the simultaneous rotation of the coordinator and assistant coordinator.

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[3]Internal Control Over Financial Reporting (ICOFR), Internal Control Over Financial Systems (ICOFS) and Internal Control Over Non-financial Operations (ICONO).

RECOMMENDATIONS

164-13.   That NWC assign a full-time MIC Coordinator with a collateral duty Assistant MIC Coordinator.

165-13.   That NWC review MIC Coordinator and Assistant Coordinator projected rotation dates and consider staggered personnel rotation dates to maintain program integrity.

   d. *Government Travel Charge Card (GTCC).* NAVINSGEN observed NWC GTCC Program in a state of significant transition surrounding the Agency Program Coordinator (APC) assignment. The GTCC and DTS programs require greater management attention and oversight. For example, the APC is delinquent in record maintenance and weekly audits. Additionally, NAVINSGEN verified that several employees have charge card payment delinquencies in excess of 60 days and a single cardholder has a payment delinquency greater than 120 days. Of particular significance, monthly audit reports are not submitted to the President in accordance with SECNAVINST 4650.21, Department of the Navy Government Travel Charge Card Program, Paragraphs 6.c. and 9.a.

RECOMMENDATION

166-13.   That NWC provide oversight and ensure compliance with SECNAVINST 4650.21.

   e. *Information Management (IM)/Information Assurance (IA)/Personally Identifiable Information (PII).*

      (1) NWC was not compliant with IA and PII training requirements. NAVINSGEN verified certifications and individual appointment letters for the Chief Information Officer (CIO) and Information Assurance Manager. Additionally, NWC's Privacy Program complies with SECNAVINST 5211.5E, Department of the Navy (DON) Privacy Program. NAVINSGEN verified the Privacy Officer is designated in writing, and has up-to-date biannual program spot check records and a properly trained Privacy Action Team ready to report and respond to privacy breaches.

      (2) The NAVINSGEN's 2003 Command Inspection of the Naval War College stated, "*The NWC made several significant changes to move to a centralized IT [Information Technology] management providing a more strategic enterprise approach to managing and using technology to support the college's evolving mission. Some of the most noteworthy changes include: establishing a Chief Information Officer; . . . and initiating an IT strategic plan to support the 2003 NWC Strategic Plan.*" Additionally, a NAVINSGEN issue paper recommended the establishment of "*a comprehensive IA training program to include metrics and compliance tracking.*"

      (3) NAVINSGEN identified the following areas of concern:

         (a) The CIO is not included in senior leadership strategic and academic planning meetings for the college.

         (b) NWC IT Strategic Plan entitled "Naval War College Information Resources Department Strategic Plan (2009-2012)" is outdated.

(c) NWC Information Assurance and Cyber Security Program (NAVWARCOLINST 5239.1), is drafted but unsigned.

(d) IA training and completion tracking did not comply with Navy Telecommunications Directive 02-13, FY-13 Annual Cyber Security (CS) Awareness, and Information System Security Awareness Training. Although 100 percent completion is required for military, government and contractor personnel no later than 30 August 2013, NWC failed to meet interim, mandatory Echelon II rates of 50 percent completion by 30 April 2013 and 75 percent completion by 31 May 2013. Although NAVINSGEN observed Cyber Security Awareness training for NWC students was 100 percent complete as of 12 August 2013, NWC Faculty and Staff was only 86 percent complete. Following the conclusion of our inspection visit, NWC Faculty and Staff training reported 97 percent completion as of 5 September 2013 and 100 percent completion as of 8 October 2013.

(e) In accordance with DON CIO Message DTG 181905Z DEC 08 (Department of the Navy (DON) Personally Identifiable Information (PII) Training Requirement), 100 percent completion of PII training for military, government and contractor personnel is required no later than 30 August 2013. As of 12 August 2013, NAVINSGEN observed PII training for NWC students was 100 percent complete. NWC Faculty and Staff was 75 percent complete. As of 6 September 2013, NAVINSGEN follow-up of NWC Faculty and Staff training revealed 94 percent completion. At that time, account access was removed for all delinquent personnel until required training was completed and by 8 October 2013, NWC Faculty and Staff training reported 100 percent completion

RECOMMENDATIONS

167-13.   That NWC include the Chief Information Officer in senior leadership strategic and academic planning meetings for the college.

168-13.   That NWC update the "Naval War College Information Resources Department Strategic Plan (2009-2012)."

169-13.   That NWC finalize and issue NAVWARCOLINST 5239.1, Information Assurance and Cyber Security Program, drafted 30 September 2012.

170-13.   That NWC provide oversight and ensure compliance of Information Management, Information Assurance and Personally Identifiable Information requirements in accordance with Navy guidance.

f.   *Suicide Prevention Program.* Annual training completion for NWC Active Component and Reserve Component Service members and for Navy civilian employees and full-time contractors does not meet OPNAVINST 1720.4A, Suicide Prevention Program Paragraph 5.a.(1) requirements. As of 13 August 2013, NWC suicide prevention training recorded in FLTMPS was 63 percent complete for military personnel and 48 percent complete for civilian and full-time contract staff personnel. Prior to April 2013, NWC had no formal suicide prevention program. However, NAVINSGEN verified that at the time of our inspection all elements of an effective suicide prevention program were in place. NWC's command home page displays both the required link to the National Suicide Prevention Lifeline Website and suicide prevention information.

RECOMMENDATION

171-13.   That NWC ensure compliance with suicide prevention training in accordance with OPNAVINST 1720.4A, Suicide Prevention Program.

g. *Alcohol and Drug Abuse Prevention*. NAVINSGEN noted NWC's Drug and Alcohol Program Advisors were designated in writing and trained prior to assuming their duties in accordance with OPNAVINST 5350.4D, Navy Alcohol and Drug Abuse Prevention and Control. NWC had no alcohol related incidents or driving under the influence incidents in FY13. However, NWC does not have a qualified Alcohol and Drug Control Officer assigned in accordance with OPNAVINST 5350.4D, Paragraph 8.m.(1).

RECOMMENDATION

172-13.   That NWC assign a command Alcohol and Drug Control Officer in accordance with OPNAVINST 5350.4D, Navy Alcohol and Drug Abuse Prevention and Control.

h. *Comptroller Functions*. NWC President retains Title 31 U.S.C. § 1517 authority and has delegated, in writing, the daily financial management role to the Comptroller. The Comptroller, a direct report to the President, provides advice on the execution of funds and financial matters. The Comptroller's office is structured to facilitate POM submissions, execution of appropriations, payroll accounting and processing, and travel funding and liquidation. The Comptroller strives to comply with Congressional and DoD mandated FIAR requirements and to meet full auditability.

i. *Monetary and In-Kind Gifts of Travel*. During our inspection, we identified several NWC faculty travel record packages involving "gifts of travel" and "gifts in-kind" that were incomplete because they did not fully document the gift acceptance process from original offer to final expenditure and, where appropriate, reimbursement to the faculty member. Our review indicates NWC does not always process gifts correctly or follow its gift acceptance instruction. In some cases, the documentation was insufficient to demonstrate offers of combined in-kind and monetary gifts were used in the manner the donor intended. As a result, travelers may have claimed and been reimbursed for expenses already covered by a donor's in-kind gift. A thorough audit of NWC DTS and GTCC records is required to confirm that NWC processes gifts in accordance with established policy and governing instructions. The audit should identify internal controls that may prevent processing errors. For example, NWC could require at least one office maintain a complete, consolidated travel file from receipt of initial offer to liquidation of final travel claim. It could designate a single official to ensure the file is complete, internally consistent, and clearly demonstrates that NWC effectively carried out the donor's original intent.

(1) Governing instructions and guidance.

(a) NAVWARCOLINST 4001.2, Gifts to the Naval War College, outlines the policy and authority for NWC gift acceptance. The President and Provost may accept gifts valued up to $12,000. Gifts of greater value must be forwarded to higher authority for action. No gift may be used until properly accepted. All requests to accept a gift of travel must be routed via the member's chain of command and the NWC SJA for Provost review and approval. Paragraph 2.c. states that gifts of money, labeled Trust Funds, are deposited into a special account of the U.S. Treasury. Paragraph 4.b.(1) states that funds donated for a specific purpose are Restricted Trust

Funds which the NWC Gift Funds Manager and the NWC Comptroller must ensure are expended as the donor intended. The traveler must complete NAVWARCOLINST 4001.2, Enclosure (2), Gifts of Travel Questionnaire and Enclosure (3), OPNAV 5050/11, Request and Approval for Attendance at Meetings, and include them in the gift acceptance request package going to the SJA. The SJA must review the package and forward it to the Provost, recommending approval or denial based on the information in the gift offer and the information provided on the questionnaire. The travel expenses gift acceptance letter states the traveler must file an after-travel gift report for each trip.

(b) Per 31 U.S.C. § 1353, Acceptance of travel and related expenses from non-federal sources, cash payments are credited to the appropriation applicable to such expenses. When there are payments in-kind, the employee's entitlement to reimbursement for expenses is reduced accordingly.

(c) NAVWARCOLINST 4001.2, Enclosure (2) states "In-kind payment means the non-federal entity provides you with the benefit not a payment for a benefit, e.g., a plane ticket, hotel is paid directly for your lodging, or the conference fee is waived."

(2) Findings by NAVINSGEN.

(a) Several gift acceptance packages were incomplete. In particular, the original gift offer was not always included, making it impossible to determine from the file whether NWC carried out the donor's intent and complied with the requirements of 31 U.S.C. § 1353 and NAVWARCOLINST 4001.2.

(b) The files suggest that some gift related travel execution differed from what the Provost originally accepted, particularly when gifts of money and gifts in-kind were combined in one trip. In particular, travel voucher documents indicated the traveler's reimbursement did not reflect what the Provost had accepted. It appears that lines of accounting were charged to fund an approved gift in-kind in violation of 31 U.S.C. § 1353 and NAVWARCOLINST 4001.2. In some cases, the file included acceptance letters that stated the donor intended a specific use for the gift but the travel execution documents indicate the traveler put the gift to a different use. For example, a gift acceptance letter stated that the gift would be used for travel to attend a specific function, on specific dates, at a specific location. The execution documents demonstrate the gift was used for a different function, on different dates, at a different location. There were no documents in the file reflecting that the donor had subsequently agreed to a different use, and because the original gift offer was not on file; we could not determine if the gift was used for the intended purpose.

(c) Some staff members identified in-kind gifts in NAVWARCOLINST 4001.2, Enclosure (2) but the NWC Staff Judge Advocate (SJA) recommendation letter and the Provost's acceptance letter identified the gifts as specific sums of money to fund travel expenses. In at least one instance, travel voucher documentation shows that lines of accounting were used to fund portions of a trip that was to be paid for by the gift. The original gift offer was not on file. Absent the original gift offer, we cannot determine whether NWC carried out the donor's intent in accordance with 31 U.S.C. § 1353 and NAVWARCOLINST 4001.2. Travel records indicate that at least one staff member received a gift in kind of travel and lodging but the travel voucher indicates he subsequently claimed, and was reimbursed, for travel and lodging expenses.

(d) We found no documents that show the NWC Gift Funds Manager and Comptroller are consulted to ensure Restricted Trust Funds expenditures are consistent with the donor's intent, as required by NAVWARCOLINST 4001.2, 4.b.(2).

RECOMMENDATIONS

173-13.   That NWC request NAVAUDSVC conduct an audit of monetary and in-kind gifts of travel records for the past two years to ensure proper gift practices, including accurate execution of travel and reimbursement of expenses, and compliance with the donor's intent. Upon completion, provide NAVINSGEN with the results of the audit.

174-13.   That NWC require at least one office maintain a complete, consolidated travel file from receipt of the initial offer to liquidation of the final travel claim.

175-13.   That NWC designate a single official to ensure consolidated travel files are complete, internally consistent, and clearly demonstrate that NWC effectively carried out the donor's original intent.

    j.   *Copyright Royalties*. NWC faculty use of government position to receive personal benefit of copyright royalties obtained from private sector publication of their work. During his initial presentation, the NWC SJA provided a copy of proposed legislation that would provide the faculty of service academies and DoD professional schools limited authority to secure copyrights for works they author that are published in a scholarly press or journal. The legislation would prohibit the receipt of royalties by the faculty member and exempt such work from the provisions of 44 U.S.C. 501, which requires that the Government Printing Office (GPO) publish work prepared on official time. The SJA explained that NWC professors have informed him they avoid the limitations imposed by current law and provisions of the Office of Government Ethics and DoD regulations that prohibit use of public office for personal gain by doing the work they published only on personal time. But, given the amount of time he believed faculty spend on these endeavors, the SJA expressed skepticism about their professed use of only personal time to research and prepare these works. During focus groups and individual interviews, other NWC personnel expressed concerns that some civilian faculty members are: (1) using official time, designated as directed research or professional development, to develop written work products; (2) copyrighting the work in violation of 17 U.S.C § 105; (3) publishing the work through a private publisher rather than the GPO; (4) designating the publication containing their work as required material for NWC classes and (5) receiving royalties from the NWC purchase of these publications in violation of 5 C.F.R. § 2635.101(b)(7), which prohibits federal personnel from using their public office for private gain. Receiving royalties for teaching, speaking or writing that is conducted as part of an employee's official duties would also potentially violate 18 U.S.C. § 209, which prohibits executive branch employees from receiving payment from any source other than the United States intended as compensation for the performance of the employee's official duties. The statute also makes it a criminal offense for an outside entity to make such a payment. 18 U.S.C. § 209(a). Government ethics regulations also prohibit employees from receiving compensation for any teaching, speaking or writing that relates to the employee's official duties. 5 C.F.R. § 2635.807. For the purpose of this restriction, "relates to the employee's official duties" includes, but is not limited to, any activity that is undertaken as part of the employee's official duties. 5 C.F.R. § 2635.807(a)(2)(i)(A).

(1) As stated in the U.S. Naval War College 2013 Faculty Handbook, Chapter II, 6.e. civilian faculty members may be authorized periods of paid time for professional development or research. Most are expected to publish some of the results of their research. Faculty members may research, write, and publish in their official or personal capacity. Whether their research is official or personal will depend on a combination of factors, to include the use of government time and resources, and whether the work is a result of a Naval War College tasking or intended to be part of curriculum development. Faculty members should consult with their respective chairs, directors, or deans and the Staff Judge Advocate prior to beginning a research and writing project, in order to obtain the necessary information to fully understand the distinction between personal and official work, and to review the project for legal compliance. Chapter II, 6.e.(2), states that a work will not be considered a personal work if it is prepared in support of any official tasker (including research or teaching directives), or if official time and resources (beyond any personal use of official resources permitted by the Joint Ethics Regulation and other guidance) are used to produce the work. Under 17 U.S.C § 101, such official work would be considered a product owned by the U.S. Government, which prohibits the acquisition of a personal copyright by the employee. In the case of an official work, and in accordance with the provision of 17 U.S.C. § 105, copyright protection is not available for such a work. Under this statutory provision, faculty members are not authorized to assign a copyright to a publisher in the course of trying to arrange for publication of an official work produced as part of their official teaching or research duties.

(2) Additional concerns related to directed research and professional development include:

(a) Incomplete or non-existent documentation on the routing, review, and approval of research and publication requests, to include the Staff Judge Advocate, to determine the nature of the work or to review the project for legal compliance.

(b) Incomplete or non-existent documentation on the classification of the paid time (i.e., Telework, TDY, other) and the certification of the faculty member's daily time and attendance when conducting professional development or research away from their permanent duty station.

(c) The 2013 Faculty Handbook states that it is policy to consider requests for paid periods of professional development subject to the availability of personnel to accomplish the College's mission, functions, and tasks. One documented request included an endorsement letter from the Department Chair requesting the Provost approve a professor's 12-month absence (6 months paid) for professional development and also approve the hiring of a replacement to fill the professor's billet during that time as the "number of vacancies endangers the Department's ability to carry out its core academic mission and endangers JPME accreditation." The response to the request is unknown.

(3) We confirmed, through the Office of Legislative Affairs, that the proposed legislation was approved by DoD and the Office of Management Budget, then submitted to Congress for inclusion in the Fiscal Year 2015 National Defense Authorization Act as Legislative Proposal (LegProp) Number 1043 (Limited Authority for United States to Secure Copyrights for Certain Scholarly Works Prepared by Faculty of Certain Department of Defense Professional Schools). However, an Armed Services Committee determined the request should be addressed by one of the Judiciary Committees, which is undertaking a review of copyright law. Consequently, OLA does not believe LegProp 1043 will become law in 2014.

(4) During the inspection, we did not undertake a detailed analysis of publications used in NWC courses to identify those authored by, or containing articles written by, NWC faculty. Likewise, we did not attempt to determine whether any particular faculty member used official time to research or write an article or book not published by the GPO, which subsequently was purchased by NWC for use in one of the faculty member's classes. While we understand that the practices described in this issue paper are common in the private sector, and we do recognize it may be appropriate to draw a distinction between publications that contain only one article written by NWC faculty and an entire book written by a NWC professor, we cannot help but observe that the mere existence of proposed legislation that would permit such practices in the federal executive branch demonstrates a recognition that they violate current law. Noting that the Office of Naval Research has questioned the need for the legislation, we do not believe it appropriate for the NWC to permit these practices to continue unless and until Congress enacts the proposed legislative fix. While we have decided not to investigate the informal complaints made during the inspection, which allege that some faculty members have violated 5 C.F.R. § 2635.101(b)(7) by receiving royalties for publications they produce on official time, we caution NWC and the other DON organizations that engage in these practices that an Inspector General investigation into such allegations may result from the receipt of a hotline complaint. With respect to the statutory requirement to use GPO, however, we note the Office of Legal Counsel of the Department of Justice has expressed the opinion that Congress may not direct the executive branch to make exclusive use of GPO to meet its publishing requirements.

RECOMMENDATIONS

176-13.   That, pending Congressional action on LegProp 1043, NWC use only the GPO to publish works prepared by NWC faculty on official time unless the General Counsel approves NWC requests to use a private publishing company on a case by case basis.

177-13.   That, pending Congressional action on LegProp 1043, NWC not designate or purchase private sector publications as required reading for NWC classes without first securing the agreement of any faculty member who has a contractual right to royalties to return them to the publishing house and, in all other instances, advise faculty members that an agreement for publication of their works prepared during official time may violate such provisions as 18 USC § 209, which prohibits augmentation of salaries.

178-13.   That NWC require at least one office maintain a complete, consolidated file that includes all pertinent documents pertaining to the routing, review, and approval of research and publication requests. The file should document SJA legal review and recommendations concerning approval of the request and clearly indicate whether, and the extent to which, the proposer will perform the effort on official or private time, or both.

179-13.   That NWC establish and enforce a mechanism that effectively documents, on a daily basis, how a faculty member's time is classified (i.e., Telework, TDY, leave, leave without pay, other) when the faculty member is not physically present at NWC or other permanent duty station, with particular emphasis on facilitating the recording of when the faculty member is engaged in professional development or research away from NDW.

180-13.   That NWC review its policy on requests for professional development and clarify the circumstances under which it may be appropriate to approve absences that require hiring another person to carry out the NWC mission, functions, or tasks during the requester's absence; rewrite the Faculty Handbook policy statement as appropriate.

X. BRILLIANT ON THE BASICS OF SAILOR DEVELOPMENT

1. <u>Overview</u>. The Brilliant on the Basics Programs were reviewed and behavior associated with good order and discipline was closely observed. Overall, command morale and perceptions of quality of life are above average. Enlisted Sailors displayed proper military bearing and maintained professional appearance.

2. <u>Sailor Career Management Program</u>. Areas reviewed include the Career Development Program, Command Sponsorship and Command Indoctrination Programs.

    a. *Career Development Program*. This program is in compliance with OPNAVINST 1040.11D, Navy Enlisted Retention and Career Development Program. A rated Navy Counselor is assigned and junior enlisted Sailors were receiving their required Career Development Boards. NAVINSGEN also observed an informal mentorship that ensures junior Sailors were connected with seniors for personal and professional guidance.

    b. *Sponsorship Program*. The Command Sponsorship program is effective and in compliance with OPNAVINST 1740.3C, Command Sponsor and Indoctrination Programs. The command has assigned a Sponsor Coordinator responsible to assign Sponsors to inbound military staff members. The Sponsor Coordinator has a system in place to ensure Sailors complete required Fleet and Family Support Center training before they are assigned Sponsorship duties.

    c. *Command Indoctrination (INDOC) Program*. The INDOC program is not fully compliant with OPNAVINST 1740.3C, Command Sponsor and Indoctrination Programs, specifically Paragraph 4.b. New gains are not completing INDOC within 30 days of reporting. Although Navy Pride and Professionalism training was being conducted for enlisted personnel, most officers did not attend this required training. Due to low personnel turnover the command utilizes a check-in sheet as a substitute for a formal command INDOC. The Command Managed Equal Opportunity Program Manager, Sexual Assault Prevention and Response Coordinator and Suicide Prevention Coordinator were not listed on the check-in sheet, although required for INDOC in accordance with OPNAVINST 1740.3C, Attachment (2) to Enclosure (2). Teaching and training was conducted to update the check-in sheet.

PART 3

REPORT ON SURVEY AND FOCUS GROUPS

SUMMARY OF SURVEY DATA ANALYSIS

1. Method. In support of NWC Command Inspection (CI) held from 29 July to 16 August 2013, the NAVINSGEN conducted an online survey of Navy active duty military and Navy civilian personnel from 29 May to 3 July 2013. The online survey produced 247 respondents from a reported population of 648. Survey questions probed both quality of home and work life, as well as topics such as working hours, resources, facilities, communication, travel, safety, training, command climate, and leadership. Active duty military members were asked questions regarding physical readiness and performance counseling. Civilians were asked questions regarding their position description, performance counseling, human resource service center, and human resource office. Civilian respondents who indicated that they are supervisors were asked additional questions regarding their supervisory training and responsibilities.

2. Quality of Life. Quality of life (QOL) was assessed using a scale from 1 to 10, where 1 is worst and 10 is best. NWC average quality of home life (QOHL), 8.11 (SD = 1.77)[4], was above the NAVINSGEN five-year command inspection (CI) average, 7.65. The distribution of NWC QOHL ratings is shown in Figure 3-1. NWC average quality of work life (QOWL), 6.92 (SD = 2.41), was marginally higher than the NAVINSGEN average, 6.56. The distribution of NWC QOWL ratings is shown in Figure 3-2.

(See Figures on following page.)
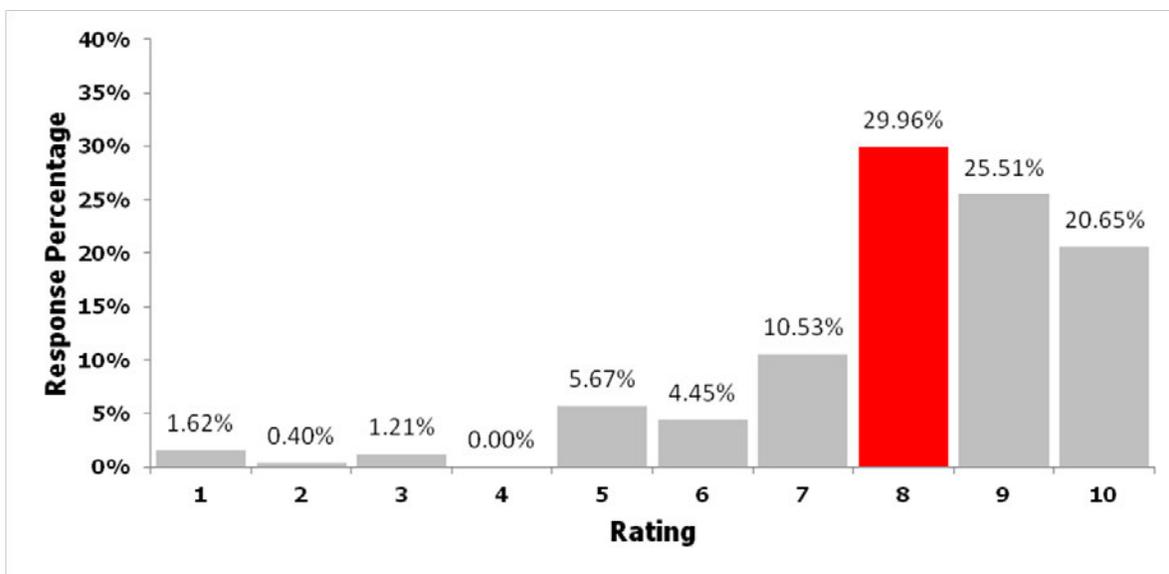
Figure 3-1. Distribution of pre-event survey quality of home life ratings. The x-axis represents the rating scale and the y-axis represents the response percentage (percentage for each rating is shown at the base of each bar). The most frequent rating is shown in red.

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[4]SD = standard deviation
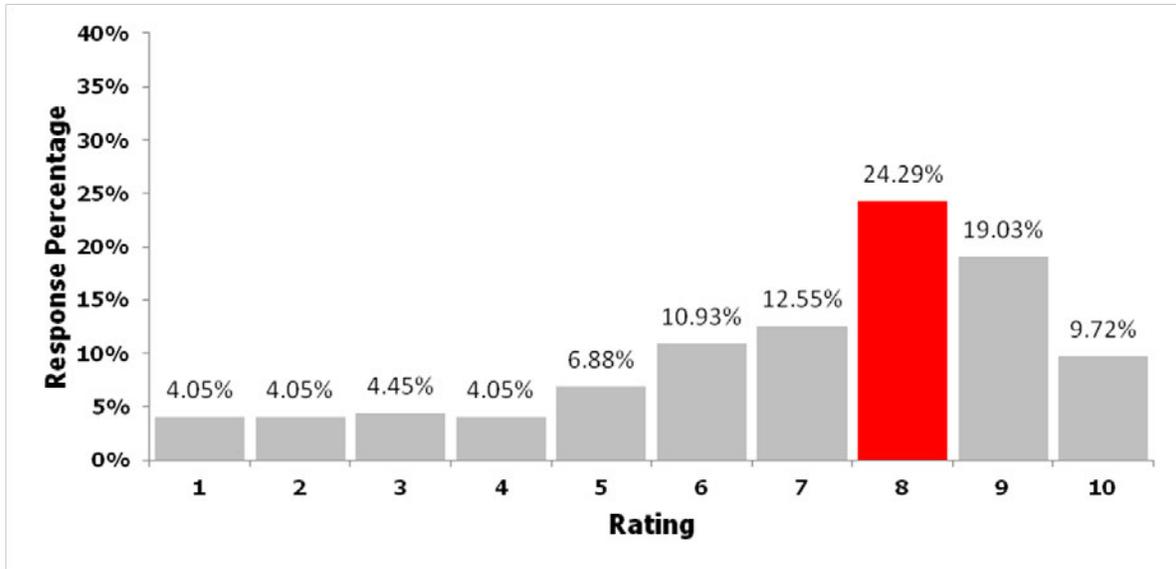
Figure 3-2. Distribution of pre-event survey quality of work life ratings. The x-axis represents the rating scale and the y-axis represents the response percentage (percentage for each rating is shown at the base of each bar). The most frequent rating is shown in red.

  a. *Positive QOWL Factors*. The top three factors having a positive impact on QOWL for NWC survey respondents were job satisfaction, length of workday, and leadership support. For descriptive comparisons, NAVINSGEN CI data over a five-year period is displayed in the smaller figure in the upper right corner of Figure 3-3. The top three factors are the same across NWC and NAVINSGEN response distributions.

  b. *Negative QOWL Factors*. The top three factors having a negative impact on QOWL for NWC survey respondents were advancement opportunities, leadership support, and facilities. For descriptive comparisons, NAVINSGEN CI data over a five-year period is displayed in the smaller figure in the upper right corner of Figure 3-4. The top three factors are the same across NWC and NAVINSGEN response distributions; however, command climate and leadership opportunities cannot be statistically discounted as one of the top three factors in NWC population, as the response percentages for these factors fell within the margin of sampling error.
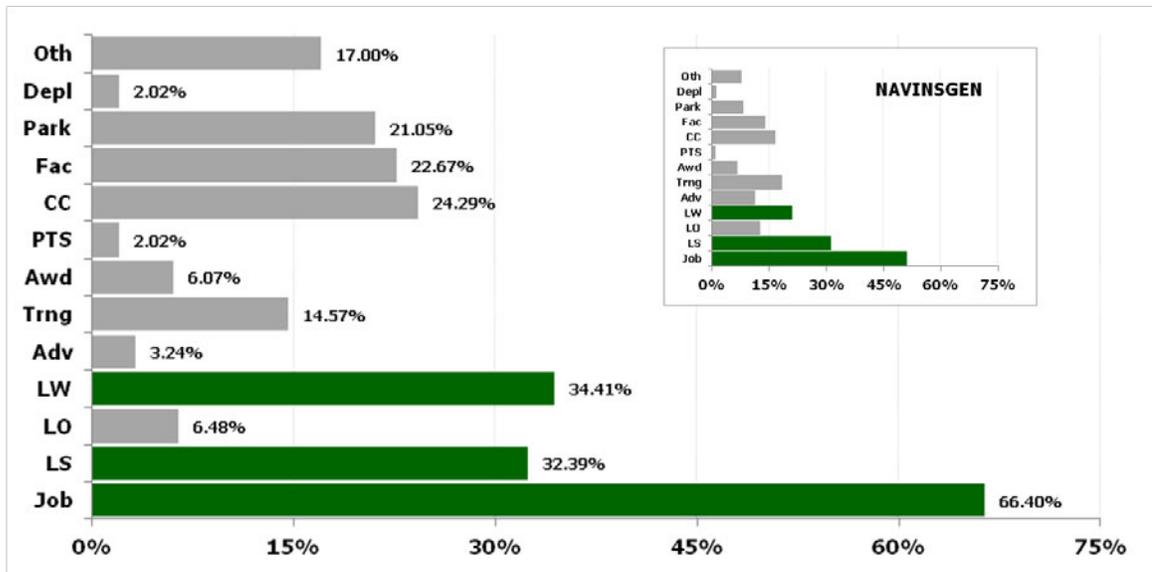
Figure 3-3. Positive impacts on quality of work life identified from the pre-event survey. The x-axis represents the percentage of respondents selecting each response and they-axis lists response options (Job = job satisfaction, LS = leadership opportunities, LO = leadership opportunities, LW = length of workday, Adv = advancement opportunities, Trng = training opportunities, Awd = awards and recognition, PTS = Perform to Serve, CC = command climate, Fac = quality of the workplace facilities, Park = parking, Depl = frequency of deployment/individual augmentations (e.g. Individual Augmentee Manpower Management [IAMM] or Global War on Terror Support Assignment [GSA]), Oth = other).
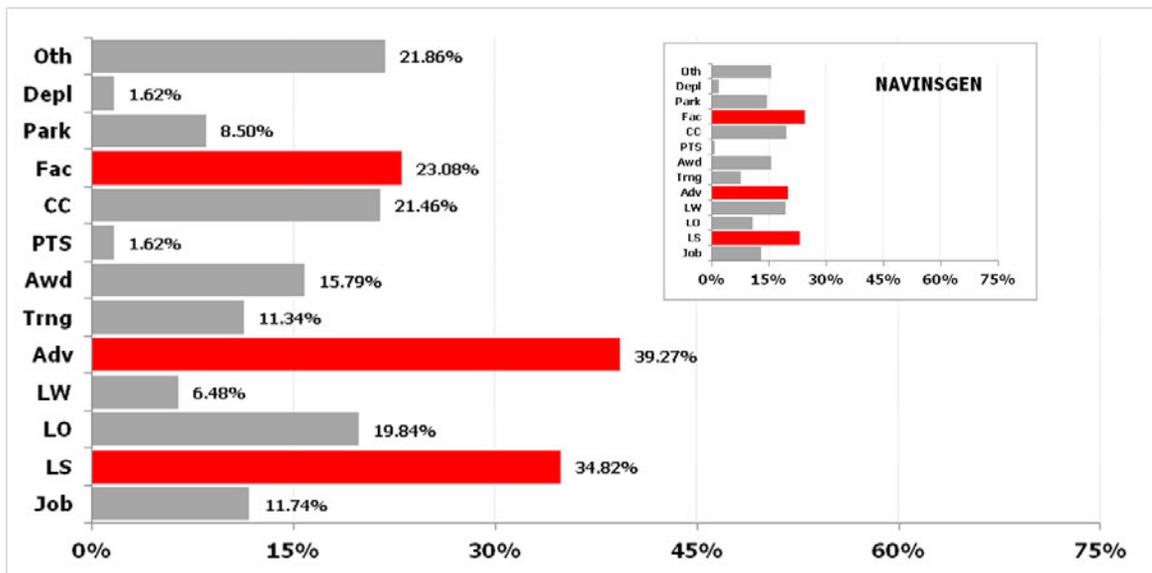
Figure 3-4. Positive impacts on quality of work life identified from the pre-event survey. The x-axis represents the percentage of respondents selecting each response and the y-axis lists response options (see Figure 3-3.)

SUMMARY OF FOCUS GROUPS

1. Method. From 29 to 31 July 2013 the NAVINSGEN conducted a total of 16 focus groups, 6 with various groupings of active duty military ranks, and 10 with various groupings of civilian rates. There were a total of 121 NWC participants; 36 Navy active duty military, 85 Navy civilian personnel. Each focus group was scheduled for one hour and consisted of one facilitator, two note takers and, in some cases, observers from the NAVINSGEN inspection team who were not permitted to interact with the group. The facilitator followed a protocol script that contained the following basic elements: (1) focus group personnel introductions, (2) brief introduction to the NAVINSGEN mission, (3) privacy, Whistleblower protection, and basic ground rules (4) numerical assessment of overall quality of life, (5) participant-derived QOL topics and subsequent discussion and (6) a focus group exit question. Note taker data sheets were transcribed into spreadsheet format and response codes were applied to determine the most frequent QOL topics. Responses to the exit question were not formally analyzed.

2. Overall Quality of Life (QOL). Overall QOL was verbally assessed in focus groups using a scale from 1 to 10, where 1 is worst and 10 is best. The distribution of QOL ratings from NWC focus groups is displayed in Figure 3-5. The average QOL rating from the focus groups and interview session, 7.26 (SD = 1.93)[5], was comparable to the NAVINSGEN average, 6.97 (SD = 1.62). Military focus groups participants reported a higher overall QOL than civilian participants (8.17 and 6.88, respectively; see Figure 3-5.).

3. Quality of Life Topics. The most frequent QOL topics discussed during the military and civilian focus groups are shown in Figure 3-6. Quality of life topics are listed along the y-axis. The gray portion of each bar represents the number of civilian focus groups in which the topic was discussed, and the navy blue portion of each bar represents the number of military focus groups in which the topic was discussed. For example, 10 (7 civilian, 3 military) out of the 16 groups indicated policies as a QOL issue. This was the overall most frequent QOL topic.

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[5]SD = standard deviation
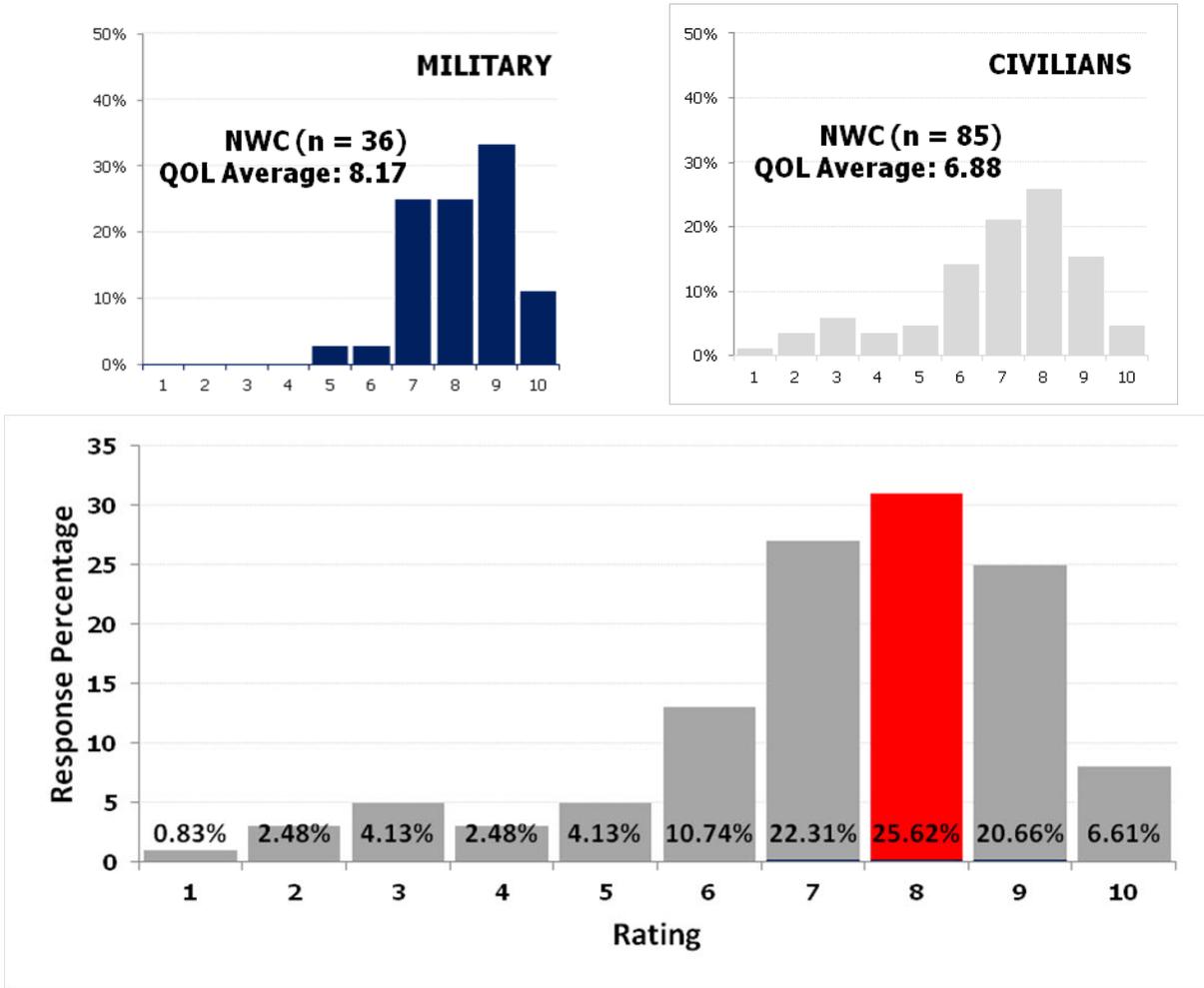
Figure 3-5. Bottom: Distribution of overall quality of life (QOL) ratings from on-site focus groups and one interview. The x-axis lists the rating scale and the y-axis represents the response percentage (percentage for each rating is shown at the base of each bar). The most frequent rating is shown in red. Top (Left): Distribution of Navy active-duty military QOL ratings. Top (Right): Distribution of Navy civilian QOL ratings.
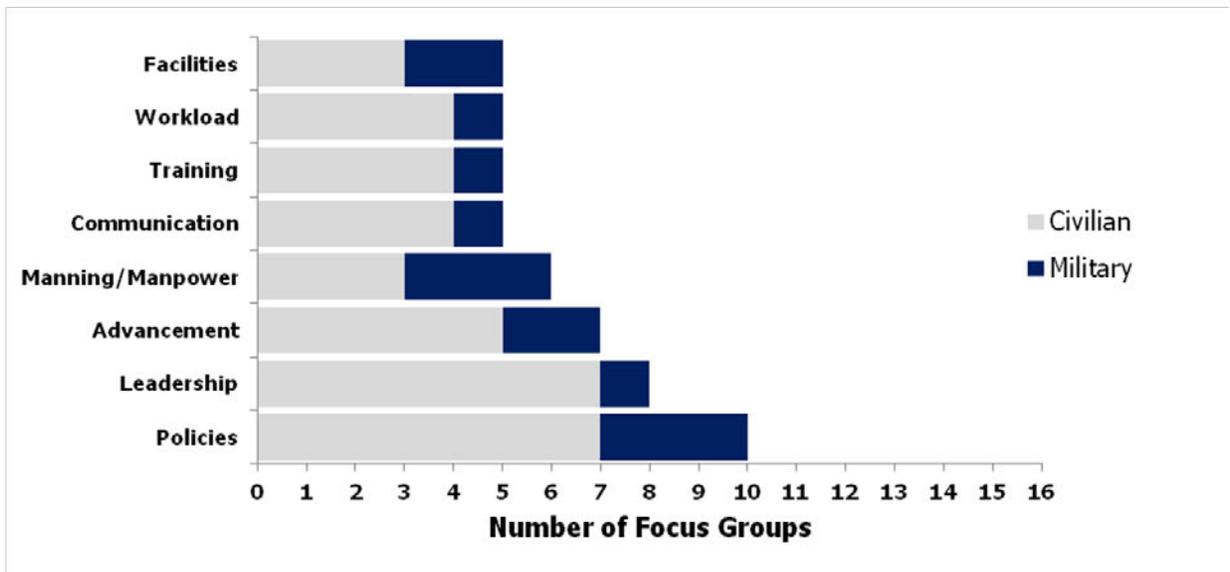
Figure 3-6. Most frequent quality of life topics discussed during Navy civilian and Navy active-duty military focus groups. The gray portion of each bar represents the number of civilian focus groups in which the topic listed on the y-axis was discussed, and the navy blue portion of each bar represents the number of military focus groups in which the topic was discussed.

a. *Policies*. The following paraphrases and quotes highlight focus groups discussion regarding policies. Themes were centered on the impact of the sequestration and furlough, the inability to travel to attend professional conferences or workshops (or organize and support these endeavors), tenure and civilian attire.

(1) Policies: Sequestration/Furlough. Focus group respondents generally thought that sequestration and the furlough threatened current and future mission capability. The furlough was essentially viewed as a pay reduction with the same workload, without prioritizing work to be performed. Some focus groups participants indicated that they were struggling to pay their bills. In addition, adherence to the furlough policy was questioned: "*We all know that we work on the other day.*" Some focus groups participants essentially viewed themselves as "*salary employees on an hourly schedule.*"

(2) Policies: Travel/Conferences. Many focus groups participants were concerned and frustrated that travel and attending conferences are being approved/disapproved at the SECNAV level, seemingly without regard for impact; professional development, course development, national security and strategy, international influence, costs associated with withdrawing a paper/attendance, and the ability to attract the best scholars/employees. "*These are not GSA conferences…*" To make matters worse, the approval process is slow, and some participants noted that the submission rules are constantly changing. Focus groups participants noted that: "*None of this is NWC's fault.*"

(3) Policies: Tenure. Focus groups participants claimed that tenure exists at the United States Naval Academy, Naval Postgraduate School, and other DoD institutions, but that tenure is not permitted at NWC. One participant described the command's policy as: "*Trust us. We'll renew your contracts.*"

(4) Policies: Civilian Attire. While the civilian attire policy may promote a collegial atmosphere parallel to civilian colleges, some focus groups participants expressed concern for its negative impact on good order and discipline, in particular, readily identifying senior military personnel and discriminating between requests and lawful orders.

b. *Leadership and Advancement*. The following paraphrases and quotes highlight focus group discussion regarding leadership and advancement.

(1) Leadership themes were centered on the perception of a stove-piped organizational structure and management. Many focus group participants thought that there is insufficient teamwork between academic departments and support staff. In general, the workforce feels underappreciated. One of the more interesting comments on executive leadership offered a historic perspective: *"The climate really changed after the 3-star era. For many years the President was a twilight tour; the focus of the office was on the college and people. But that focus changed from college and people to getting the 3rd star. Things have suffered as a result. Knowing there is a future, leadership tap dances around tough issues."*

(2) Focus groups comments related to advancement were specific to military and civilian experiences. There was some concern regarding working outside of one's rate and the ability to effectively return to the fleet upon detachment. Other military members expressed concern that serving in a "*non-operational billet makes it more difficult to get promoted.*" Civilian focus groups participants did not believe that the administration has a plan to provide for civilian staff upward mobility. Some civilian focus groups participants expressed the perception that essentially no advancement opportunities exist without getting an advanced degree or being part of "*the good old boys club*" or "*a retired male O-6.*"

c. *Manning/Manpower*. Focus groups comments regarding manning/manpower tended to identify manning shortfalls; two focus groups participants reported 40 percent and 77 percent manning percentages. There was disagreement with respect to front office staff. Some participants thought that as an Echelon II command, NWC manning is shortchanged, while others claimed that front office staff has grown three-fold over the last decade. More interesting perhaps, was the claim that "the number of academic (full time equivalents [FTE]) has risen, while support staff FTEs has fallen."

d. *Other Topics*. Five of the 16 focus groups mentioned Communication, Training, Workload, and Facilities as topics/issues that affect quality of life.

(1) Comments regarding communication suggested that there is inadequate coordination of information between the executive level, different departments, and outside organizations. There was also a strong perception that decision-making does not consider or receive all inputs and is concentrated at the Provost level.

(2) Comments regarding training described perceived shortfalls in military training, both for watchstanding and supervising civilians, and some focus groups participants questioned the value of what was perceived as excessive annual training requirements (e.g., information assurance, protection of personal information, suicide prevention) that seem to cover the exact same information each year.

(3) Focus groups comments regarding workload generally described difficulty completing all assignments within standard work periods (e.g., workday, workweek). Previously mentioned quality of life topics; furlough, manning/manpower, and perceived excessive IT communications (i.e., email), were posited as root causes.

(4) Comments regarding facilities were centered on concerns regarding aging buildings, general discontent with climate control, and the perceived inability to solve facilities issues in a timely manner.

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

Response	Chart	Frequency	Count
1		1.6%	4
2		0.4%	1
3		1.2%	3
4		0.0%	0
5		5.7%	14
6		4.5%	11
7		10.5%	26
8		**30.0%**	**74**
9		25.5%	63
10		20.6%	51
		Mean	8.105
		Standard Deviation	1.766
		Total Responses	**247**
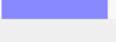
2. Please indicate up to three main factors that have a **positive** impact on your QOHL: (Choose three or less)
(Respondents were allowed to choose **multiple** responses)

Response	Chart	Frequency	Count
Quality of home		**69.6%**	**172**
Quality of the school for dependent children		30.0%	74
Quality of the childcare available		4.0%	10
Shopping & dining opportunities		36.8%	91
Recreational opportunities		52.2%	129
Access to spouse employment		16.2%	40
Access to medical/dental care		36.0%	89
Cost of living		13.8%	34
Other		12.6%	31
	Total Responses		**247**

3. Please indicate up to three main factors that have a **negative** impact on your QOHL:
(Choose three or less)
(Respondents were allowed to choose **multiple** responses)

Response	Chart	Frequency	Count
Quality of home		11.3%	28
Quality of the school for dependent children		16.2%	40
Quality of the childcare available		4.0%	10
Shopping & dining opportunities		8.1%	20
Recreational opportunities		7.7%	19
Access to spouse employment		22.3%	55
Access to medical/dental care		10.9%	27
Cost of living		**78.9%**	**195**
Other		22.7%	56
		Total Responses	**247**

4. 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.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
1		4.0%	10
2		4.0%	10
3		4.5%	11
4		4.0%	10
5		6.9%	17
6		10.9%	27
7		12.6%	31
8		**24.3%**	**60**
9		19.0%	47
10		9.7%	24
		Mean	6.923
		Standard Deviation	2.414
		Total Responses	**247**

5. Please indicate up to three main factors that have a **positive** impact on your QOWL: (Choose three or less)
(Respondents were allowed to choose **multiple** responses)

Response	Chart	Frequency	Count
Job satisfaction		**66.4%**	**164**
Leadership support		32.4%	80
Leadership opportunities		6.5%	16
Length of workday		34.4%	85
Advancement opportunities		3.2%	8
Training opportunities		14.6%	36
Awards and recognition		6.1%	15
Perform to Serve (PTS)		2.0%	5
Command climate		24.3%	60
Quality of the workplace facilities		22.7%	56
Parking		21.1%	52
Frequency of deployments/Individual Augmentations (e.g. IAMM or GSA)		2.0%	5
Other		17.0%	42
		Total Responses	**247**

6. Please indicate up to three main factors that have a **negative** impact on your QOWL: (Choose three or less)
(Respondents were allowed to choose **multiple** responses)

Response	Chart	Frequency	Count
Job satisfaction		11.7%	29
Leadership support		34.8%	86
Leadership opportunities		19.8%	49
Length of workday		6.5%	16
Advancement opportunities		**39.3%**	**97**
Training opportunities		11.3%	28
Awards and recognition		15.8%	39
Perform to Serve (PTS)		1.6%	4
Command climate		21.5%	53
Quality of the workplace facilities		23.1%	57
Parking		8.5%	21
Frequency of deployments/Individual Augmentations (e.g. IAMM or GSA)		1.6%	4
Other		21.9%	54
		Total Responses	**247**

7. Gender:
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Male		**74.1%**	**183**
Female		25.9%	64
		Total Responses	**247**

8. I am:
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Military		32.4%	80
Civilian		**67.6%**	**167**
Contractor		0.0%	0
	Total Responses		247

9. Rank:
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
E1 - E4		0.0%	0
E5 - E6		7.6%	6
E7 - E9		10.1%	8
CWO2 - CWO5		0.0%	0
O1 - O3		1.3%	1
O4 - O5		**57.0%**	**45**
O6 & Above		24.1%	19
	Total Responses		79

10. My command gives me sufficient time <u>during working hours</u> to participate in a physical readiness exercise program.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		**51.9%**	**41**
Agree		26.6%	21
Neither Agree nor Disagree		15.2%	12
Disagree		1.3%	1
Strongly Disagree		5.1%	4
	Total Responses		79

11. My supervisor conducts semiannual performance counseling with me.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		**72.2%**	**57**
No		27.8%	22
	Total Responses		79
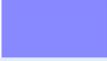
12. During my semiannual performance my supervisor provides me with feedback that enables me to improve my performance prior to my annual performance appraisal (EVAL/FITREP).
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		27.8%	22
Agree		**34.2%**	**27**
Neither Agree nor Disagree / Not Applicable		22.8%	18
Disagree		5.1%	4
Strongly Disagree		10.1%	8
	Total Responses		79

13. In general, how have you or those you supervise been affected by Perform to Serve (PTS)?
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Positively		5.1%	4
Neither positively nor Negatively / Not Applicable		**81.0%**	**64**
Negatively		13.9%	11
	Total Responses		79

14. I know who my command Voting Assistance Officer is.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		**54.4%**	**43**
No		45.6%	36
		Total Responses	**79**

15. I voted in the last election.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		**77.2%**	**61**
No		22.8%	18
		Total Responses	**79**

16. Why did you not vote in the last election?
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
I choose not to		**50.0%**	**9**
I didn't know how to		5.6%	1
Other		44.4%	8
Not Answered			1
		Valid Responses	**18**
		Total Responses	**19**
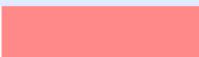
17. Grade:
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
GS 1 - 8		16.9%	28
GS 9 - 12		25.9%	43
GS 13 - 14		5.4%	9
GS 15		3.0%	5
ST		0.0%	0
SES		0.0%	0
WD/WG/WS/WL		3.0%	5
NAF		0.0%	0
Other		**45.8%**	**76**
		Total Responses	**166**

18. My position description is current and accurately describes my functions, tasks, and responsibilities.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		27.7%	46
Agree		**45.8%**	**76**
Neither Agree nor Disagree		6.0%	10
Disagree		10.8%	18
Strongly Disagree		9.0%	15
Don't Know		0.6%	1
		Total Responses	**166**

19. My supervisor establishes my critical elements and conducts at least one performance progress review during the annual performance rating cycle.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		**44.6%**	**74**
Agree		41.0%	68
Neither Agree nor Disagree		9.0%	15
Disagree		3.6%	6
Strongly Disagree		1.8%	3
		Total Responses	**166**

20. The Human Resource Service Center provides timely, accurate responses to my queries.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		19.3%	32
Agree		31.3%	52
Neither Agree nor Disagree		**37.3%**	**62**
Disagree		7.8%	13
Strongly Disagree		4.2%	7
		Total Responses	**166**

21. My (local) Human Resources Office provides timely, accurate responses to my queries.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		29.5%	49
Agree		**32.5%**	**54**
Neither Agree nor Disagree		24.7%	41
Disagree		6.6%	11
Strongly Disagree		6.6%	11
		Total Responses	**166**

22. I have the tools and resources needed to do my job properly.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		26.4%	64
Agree		**49.2%**	**119**
Neither Agree nor Disagree		6.2%	15
Disagree		15.3%	37
Strongly Disagree		2.9%	7
		Total Responses	242

23. I have adequate leadership guidance to perform my job successfully.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		24.4%	59
Agree		**47.5%**	**115**
Neither Agree nor Disagree		13.6%	33
Disagree		7.0%	17
Strongly Disagree		7.4%	18
		Total Responses	242

24. My current workday is __hours. (Actual time spent at work not including commute time.)
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
6-8		43.6%	105
9-10		**50.2%**	**121**
11-12		5.8%	14
13-14		0.4%	1
15+		0.0%	0
Not Answered			1
		Valid Responses	241
		Total Responses	242

25. My current work week is normally _days.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
4		2.5%	6
5		**90.5%**	**218**
6		5.8%	14
7		1.2%	3
Not Answered			1
		Valid Responses	**241**
		Total Responses	**242**

26. My job is important and makes a contribution to my command.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		**54.4%**	**131**
Agree		36.5%	88
Neither Agree nor Disagree		5.4%	13
Disagree		2.5%	6
Strongly Disagree		1.2%	3
Not Answered			1
		Valid Responses	**241**
		Total Responses	**242**

27. My command/organization is properly resourced (e.g., people, tools, training, supplies, etc.) to conduct its mission.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		**48.5%**	**117**
No		45.2%	109
Don't Know		6.2%	15
Not Answered			1
	Valid Responses		241
	Total Responses		242

28. You indicated that your command was not properly resourced, what resources are lacking? (Choose all that apply)
(Respondents were allowed to choose **multiple** responses)

Response	Chart	Frequency	Count
People		**83.5%**	**91**
Tools/Equipment		11.9%	13
Training		28.4%	31
IT Resources		18.3%	20
Spare Parts		1.8%	2
Supplies		8.3%	9
Other		35.8%	39
	Valid Responses		109
	Total Responses		110

29. Have you ever purchased mission-related work supplies, tools, parts or equipment with your own money?
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		37.8%	91
No		**62.2%**	**150**
	Total Responses		241

31. Approximately, how many miles per month do you use your personal vehicle for mission related travel? (Not including travel for TAD/TDY.)
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
0		**62.5%**	**150**
1-10		16.7%	40
11-20		8.3%	20
21-30		4.2%	10
more than 30		8.3%	20
		Total Responses	**240**

32. You indicated you use your vehicle for mission related travel; are you reimbursed for this travel?
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		20.0%	19
No		**80.0%**	**76**
Not Answered			23
		Valid Responses	**95**
		Total Responses	**118**

33. I am satisfied with the overall quality of my workplace facilities.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		15.5%	37
Agree		**46.4%**	**111**
Neither Agree Nor Disagree		17.2%	41
Disagree		15.9%	38
Strongly Disagree		5.0%	12
		Total Responses	**239**

35. My organization has an effective safety program.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		14.2%	34
Agree		**49.0%**	**117**
Neither Agree nor Disagree		28.5%	68
Disagree		5.9%	14
Strongly Disagree		2.5%	6
		Total Responses	239

36. I know how to report an unsafe or unhealthy work condition.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		26.8%	64
Agree		**59.0%**	**141**
Neither Agree nor Disagree		8.4%	20
Disagree		3.3%	8
Strongly Disagree		2.5%	6
		Total Responses	239

37. Reported unsafe or unhealthy work conditions are corrected promptly.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		18.8%	45
Agree		**43.5%**	**104**
Neither Agree nor Disagree		25.9%	62
Disagree		7.9%	19
Strongly Disagree		3.8%	9
		Total Responses	239

38. I know who to contact at my command regarding safety questions or concerns. (Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		**84.9%**	**203**
No		15.1%	36
	Total Responses		239

39. I know what Operational Risk Management (ORM) is? (Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		**37.2%**	**89**
Agree		34.7%	83
Neither Agree nor Disagree		12.6%	30
Disagree		11.7%	28
Strongly Disagree		3.8%	9
	Total Responses		239

40. I know when to apply the principles of Operational Risk Management (ORM). (Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		**36.0%**	**86**
Agree		33.5%	80
Neither Agree nor Disagree		15.1%	36
Disagree		10.5%	25
Strongly Disagree		5.0%	12
	Total Responses		239

41. My job affords me a reasonable amount of quality time with my family.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		34.0%	81
Agree		**52.5%**	**125**
Neither Agree nor Disagree		8.4%	20
Disagree		4.2%	10
Strongly Disagree		0.8%	2
		Total Responses	238

42. Morale at my command has a positive impact on my QOWL.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		21.4%	51
Agree		**36.1%**	**86**
Neither Agree nor Disagree		21.4%	51
Disagree		14.3%	34
Strongly Disagree		6.7%	16
		Total Responses	238

43. Communication down the chain of command is effective.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		8.0%	19
Agree		**38.2%**	**91**
Neither Agree nor Disagree		18.5%	44
Disagree		23.9%	57
Strongly Disagree		11.3%	27
		Valid Responses	238
		Total Responses	238

44. Communication up the chain of command is effective.
(Respondents could only choose a **single** response)
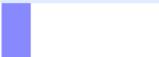
Response	Chart	Frequency	Count
Strongly Agree		6.3%	15
Agree		**39.9%**	**95**
Neither Agree nor Disagree		24.8%	59
Disagree		18.5%	44
Strongly Disagree		10.5%	25
		Total Responses	**238**

45. My superiors treat me with respect and consideration.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		32.8%	78
Agree		**43.3%**	**103**
Neither Agree nor Disagree		12.2%	29
Disagree		6.7%	16
Strongly Disagree		5.0%	12
		Total Responses	**238**

46. My performance evaluations have been fair.
(Respondents could only choose a **single** response)
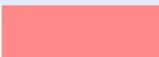
Response	Chart	Frequency	Count
Strongly Agree		**39.1%**	**93**
Agree		38.7%	92
Neither Agree nor Disagree		16.0%	38
Disagree		5.5%	13
Strongly Disagree		0.8%	2
		Total Responses	**238**
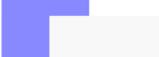
47. The awards and recognition program is fair and equitable.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		17.6%	42
Agree		**35.3%**	**84**
Neither Agree nor Disagree		26.5%	63
Disagree		11.3%	27
Strongly Disagree		9.2%	22
		Total Responses	**238**

48. Military and civilian personnel work well together at my command.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		30.7%	73
Agree		**47.9%**	**114**
Neither Agree nor Disagree		11.8%	28
Disagree		6.3%	15
Strongly Disagree		3.4%	8
		Total Responses	**238**

49. My command's Equal Opportunity Program (EO - to include Equal Employment Opportunity & Command Managed Equal Opportunity) is effective.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		22.3%	53
Agree		**39.9%**	**95**
Neither Agree nor Disagree		28.2%	67
Disagree		6.3%	15
Strongly Disagree		3.4%	8
		Total Responses	**238**

50. I know who to contact with an EEO/EO question or complaint.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		34.9%	83
Agree		**49.6%**	**118**
Neither Agree nor Disagree		9.7%	23
Disagree		5.0%	12
Strongly Disagree		0.8%	2
		Total Responses	238

51. I am aware of or know how to find my local IG Hotline number.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		31.9%	76
Agree		**50.4%**	**120**
Neither Agree nor Disagree		8.0%	19
Disagree		7.6%	18
Strongly Disagree		2.1%	5
		Total Responses	238

52. A grievance/complaint in my command will be handled in a fair, timely, and just manner.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		22.7%	54
Agree		**36.6%**	**87**
Neither Agree nor Disagree		28.2%	67
Disagree		7.6%	18
Strongly Disagree		5.0%	12
		Total Responses	238

53. My command adequately protects my Personally Identifiable Information (PII).
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		40.8%	97
Agree		**46.6%**	**111**
Neither Agree nor Disagree / Don't Know		10.1%	24
Disagree		2.1%	5
Strongly Disagree		0.4%	1
		Total Responses	**238**

54. My command conducted a command climate assessment within the past 2 years.
(Respondents could only choose a **single** response)
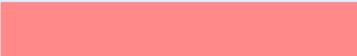
Response	Chart	Frequency	Count
Yes		**87.4%**	**208**
No		0.8%	2
Don't Know		11.8%	28
		Total Responses	**238**

55. My command's leadership provided feedback to command personnel on the results of our command climate assessment.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		**45.4%**	**108**
No		18.9%	45
Don't Know		35.7%	85
		Total Responses	**238**

56. My Command implemented an action plan to resolve command climate issues.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		24.4%	58
No		8.4%	20
Don't Know		**67.2%**	**160**
		Total Responses	238

57. Fraternization is occurring at my command/organization.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		2.5%	6
Agree		5.5%	13
Neither Agree nor Disagree / Don't Know		**55.5%**	**132**
Disagree		26.1%	62
Strongly Disagree		10.5%	25
		Total Responses	238

58. Favoritism is occurring at my command/organization.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		14.3%	34
Agree		22.3%	53
Neither Agree nor Disagree / Don't Know		**32.8%**	**78**
Disagree		21.4%	51
Strongly Disagree		9.2%	22
		Total Responses	238

59. Gender/sex discrimination is occurring at my command/organization. (Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		3.8%	9
Agree		8.0%	19
Neither Agree nor Disagree / Don't Know		32.8%	78
Disagree		**35.3%**	**84**
Strongly Disagree		20.2%	48
		Total Responses	238

60. Sexual harassment is occurring at my command/organization. (Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		0.8%	2
Agree		2.5%	6
Neither Agree nor Disagree / Don't Know		**36.1%**	**86**
Disagree		35.7%	85
Strongly Disagree		24.8%	59
		Total Responses	238

61. Race discrimination is occurring at my command/organization. (Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		0.8%	2
Agree		2.1%	5
Neither Agree nor Disagree / Don't Know		28.6%	68
Disagree		**37.4%**	**89**
Strongly Disagree		31.1%	74
		Total Responses	238

62. Hazing is occurring at my command/organization.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		0.0%	0
Agree		1.3%	3
Neither Agree nor Disagree / Don't Know		26.1%	62
Disagree		34.9%	83
Strongly Disagree		**37.8%**	**90**
	Total Responses		**238**

63. Do you supervise Department of the Navy (DON) civilians?
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		26.1%	62
No		**73.9%**	**176**
	Total Responses		**238**

64. How many Navy civilians do you supervise?
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Less than 5		**53.0%**	**35**
5 - 10 civilians		22.7%	15
11 - 20 civilians		15.2%	10
More than 21 civilians		9.1%	6
	Total Responses		**66**

65. When did you receive civilian supervisory training?
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Never		15.9%	10
Within the last 12 months		**58.7%**	**37**
Between 1 and 4 years		20.6%	13
More than 4 years ago		4.8%	3
Not Answered			3
		Valid Responses	**63**
		Total Responses	**66**

66. Have you been a selecting official for a Navy civilian vacancy?
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		21.4%	51
No		**78.6%**	**187**
		Total Responses	**238**

67. The Navy civilian recruitment process is responsive to my command's civilian personnel requirements.
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		7.1%	17
Agree		19.7%	47
Neither Agree nor Disagree / Don't Know		**50.8%**	**121**
Disagree		15.5%	37
Strongly Disagree		6.7%	16
		Total Responses	**238**

68. How would you rate your access to the Internet from work?
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Unlimited access to all required websites for information/work purposes		**85.2%**	**202**
Limited access to all required websites for information/work purposes (i.e., in port, only a few workstations, etc.)		13.9%	33
No access		0.8%	2
		Total Responses	237
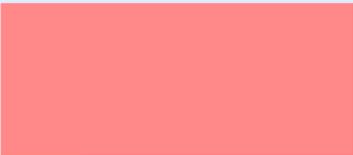
69. Does your command routinely conduct required training (e.g., anti-terrorism, DOD Information Assurance, personal financial management, personal occupational safety & health, etc.)?
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		**96.2%**	**228**
No		3.8%	9
		Total Responses	237

70. Do you have adequate time at work to complete required General Military Training via Navy Knowledge Online (NKO) training?
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		**92.4%**	**219**
No		7.6%	18
		Total Responses	237

71. Are you able to access NKO at work?
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		**98.3%**	**233**
No		1.7%	4
	Total Responses		**237**

72. How often do you use NKO?
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Daily		1.3%	3
Weekly		9.3%	22
Monthly		24.9%	59
Only when I can't find information elsewhere or only when absolutely necessary		**57.4%**	**136**
Never		7.2%	17
	Total Responses		**237**

73. How easy is it to find information you are looking for on NKO?
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Very easy		1.3%	3
Easy		19.4%	46
Neither easy or difficult		**40.9%**	**97**
Difficult		27.4%	65
Very Difficult		11.0%	26
	Total Responses		**237**

APPENDIX A

LIST OF RECOMMENDATIONS

073-13.   That NWC realign the organization to separate Academic and Mission Support lines of authority and ensure direct reporting for compliance-based programs to NWC President.

074-13.   That NWC analyze and improve command internal communications and effective collaboration among the various departments.

075-13.   That NWC submit annual and faculty reports to OPNAV N15 and the Joint Staff/J7 as required by Navy and DoD instructions.

076-13.   That Chief of Naval Operations (CNO) enforce policy consistent with other Services directing PME completion as part of a leadership development framework. Completion shall be tracked and reported to the CNO. Implementing this recommendation will fulfill CJCS policy requirements to institutionalize PME.

077-13.   That SECNAV ensure the Board of Advisors' new member and annual reappointment vetting processes do not adversely impact regular and effective meetings of the Board and its subcommittees.

078-13.   That NWC develop and implement a formal Navy curricular review process.

079-13.   That Commander, U.S. Fleet Forces and Commander, U.S. Pacific Fleet determine the appropriate means to fund student costs to attend the Maritime Operational Planning Course.

080-13.   That OPNAV fund and staff the program to ensure CIWAG curriculum meets Navy and Joint command requirements and is at the level necessary for the dynamic nature and value of this emerging field.

081-13.   That NWC conduct a review of the current state of cyber conflict studies in order to determine the appropriate curricula, level of expertise and integration required for NWC's program and explore ways to better integrate the Center of Cyber Conflict Studies with the cyber centers at NPS and USNA.

082-13.   That NWC conduct a self-study on the impact of unmanned/robotic technologies and the potential for greater integration and support in NWC curriculum, course offerings and related research.

083-13.   That SECNAV consider waiving travel restrictions that impede faculty development and credibility in the International Law Department, and preclude attendance at the International Law and Armed Conflict conference.

084-13. That NWC ensure all faculty members are thoroughly familiar with the processes involved with academic honor code violations as set forth in the 2013 Faculty Handbook and require full compliance with those procedures.

085-13.   That NWC students sign an academic honor code statement that acknowledges their understanding and compliance with these policies.

086-13.   That NWC establish a panel responsible for periodic reviews of academic honor code processes throughout all academic departments.

087-13.   That NWC establish a formal standardized record retention policy for all cases of academic honor violations regardless of their perceived level of severity.

088-13.   That NWC establish a forum available to the faculty and students to share lessons learned from honor code violation cases.

089-13.   That NWC increase awareness of *Grammarly* and *SafeAssign* software throughout the academic departments placing greater emphasis on their benefits during faculty development meetings, student orientation sessions, classroom discussions and other like forums.

090-13.   That NWC implement random sampling of student papers for plagiarism.

091-13.   That NWC develop methods to allow greater access to and utilization of the Writing Center.

092-13.   That NWC review current staffing levels at the Writing Center to ensure it meets the demand for services.

093-13.   That SECNAV develop guidance to implement consistent personnel policy for naval faculty at NWC, NPS and USNA. The guidance should address the positions that qualify as naval faculty, which positions must be competed, the qualifications of naval faculty, diversity, compensation policies, indefinite appointments and expectations for faculty participation in shared governance.

094-13.   That NWC create a specific academic rank (e.g., "Professor of the Practice" or "Fleet Professor") for faculty members with extensive professional experience but lacking standard academic credentials to qualify as a member of the professoriate.

095-13.   That NWC revise the Faculty Handbook to explicitly identify the academic qualifications required for appointment as faculty on the AD schedule within the excepted-service.

096-13.   That SECNAV direct NWC to develop a formal faculty compensation policy that includes salary benchmarks from appropriate peer and aspirational peer institutions. These peers should include the other PME institutions, the other Navy universities and regional Master's granting universities.

097-13.   That SECNAV consider amending policy to waive the travel restrictions currently imposed on civilian and military faculty to ensure NWC faculty proficiency.

098-13.   That NWC ensure additional HR training is provided to all supervisory personnel on available mechanisms to maintain faculty quality in the setting of constrained resources and hiring freezes.

099-13.   That NWC HR Director develop recruitment strategies targeting hiring practices to increase minorities and women's interest to increase faculty diversity in employment at NWC.

100-13.   That SECNAV consider targeted goals to increase the diversity of NWC faculty such as providing resources to NWC to sponsor graduate education in return for service agreements of under-represented faculty candidates.

101-13.   That Assistant Secretary of the Navy for Manpower and Reserve Affairs (ASN M&RA) provide policy concerning the use of temporary appointments.

102-13.   That NWC review its policy on the use of indefinite term appointments to comply with Department policy.

103-13.   That NWC evaluate the benefits of increasing the number of tenured positions.

104-13.   That NWC faculty establish a formal mechanism for faculty participation in shared governance, similar to USNA and NPS.

105-13.   That under the direction of ASN (M&RA), NWC conduct a study on the "right size" of the PMP program as a unique mechanism to provide former fleet officers with terminal degrees, publish the results of this study and produce a complementary action plan in the form of an NWC instruction and planning guidance.

106-13.   That NWC establish direct measures of student achievement in its assessment processes, disaggregate these measures for analysis and use them for program improvement.

107-13.   That CNO promulgate policy consistent with other Services directing PME completion as part of a leadership development framework with completion tracked and reported to SECNAV.

108-13.   That NAVPERS (PERS-4), in coordination with detailers and Bureau of Naval Personnel (BUPERS-31) community managers, consider establishing a BUPERS placement office for senior officers most likely to serve in strategic leadership positions.

109-13. That NAVPERS (PERS-4), in coordination with detailers and BUPERS-31 community managers, ensure officer career progression accounts for both PME and OLW education at appropriate career milestones and sequenced appropriately.

110-13.   That NWC and SEA leadership review staffing required to manage temporary duty orders within DTS.

111-13.   That OPNAV HR Director ensure additional training for the current HR Director and periodic oversight of HR processes at NWC.

112-13.   That NWC HRO establish and maintain case files of all AD recruitments that include: position description with specified job duties, qualifications, evaluation ratings and selection criteria and any other documentation related to the case.

113-13.   That NWC require the HR Director to provide recruitment oversight and strategies for the AD recruitment process to include the establishment of clear criteria for evaluating candidates.

114-13.   That NWC HRO review all Requests for Personnel Action to ensure compliance with merit promotion and equal opportunity principles.

115-13.   That NWC Provost receive training on appropriate position classification and position management as directed by SECNAVINST 12511.1, Classification of General Schedule and Federal Wage System Positions, for anyone exercising delegated classification authority.

116-13.   That NWC HRO create a "Position Description library" for use when recruiting for AD positions.

117-13.   That NWC HRO update NAVWARCOLINST 12550, Recruitment, Relocation and Retention Incentives, detailing the requirements for recruitment bonuses, relocation incentives and retention allowances.

118-13.   That NWC management develop a process for all job position classifications (GS, AD or FWS) whereby a pay determination is documented in writing and identifies the rationale for the pay decision for audit and documentation purposes.

119-13.   That SECNAV HRO establish a process that tracks EEO complaints and defines the role for EEO liaison.

120-13.   That NWC appoint a single point of contact for civilian training responsible for tracking completion of mandatory civilian training.

121-13.   That NWC develop both short and long range training plans that include all mandatory training and other topics as required. These plans should include military and civilian personnel.

122-13.   That NWC track completion of all required civilian and military training and ensure all personnel comply.

123-13.   That NWC complete, issue and implement a Continuity of Operations Plan.

124-13.   That NAVFAC evaluate the unique contracting needs of NWC, solicit input from NPS and USNA and develop acquisition capabilities with adequate contract tools and staff that is consistent with the unique project demands and schedules of the Navy's academic institutions.

125-13.   That NWC President finalize and implement an SOH instruction to integrate a comprehensive safety policy, focused on providing a safe and healthful environment for faculty, staff and students.

126-13.   That NWC appoint an appropriately trained and experienced full-time SOH professional to manage the command's safety program.

127-13.   That NWC realign the safety manager billet from the Facilities Department and designate the position as a full-time administrative function under NWC President and Chief of Staff to ensure the safety manager has the authority to report directly to the President. NAVINSGEN recommends NWC create a safety department within the Mission Support Directorate.

128-13.   That NWC conduct safety council meetings with all required participants in attendance.

129-13.   That NWC assign an adequately trained individual to conduct investigations of Class A, B and C mishaps and provide funding for attendance of "Mishap Investigation and Prevention (Ashore)," Course A-493-0078, or an equivalent course.

130-13.   That NWC establish guidelines delineating roles and responsibilities for reporting and investigating all classes of mishaps.

131-13.   That NWC report all eligible mishaps to COMNAVSAFECEN.

132-13.   That NWC develop and implement an inspection and abatement program.

133-13.   That NWC ensure all workplaces are inspected at least annually by a fully qualified journeyman or above safety inspector.

134-13.   That NWC post copies of OPNAV Form 5100/11 or a similar form in areas convenient to all workplaces (e.g., official bulletin boards, websites).

135-13.   That NWC inform all faculty, staff and students of their right to report unsafe/ unhealthful working conditions and reiterate NWC's procedures for submitting such reports.

136-13.   That NWC design, tailor and provide SOH training programs to the level of responsibility of all faculty, staff and students.

137-13.   That NWC develop and implement an SOH self-assessment process following the procedures and requirements of the Process Review and Measurement System.

138-13.   That NWC develop and implement an ergonomics program.

139-13.   That NWC develop and implement a formal program to manage RF hazards.

140-13.   That NWC develop and implement an energy control program to prevent the unexpected energizing or movement of machinery/equipment or the release of energy during the maintenance or servicing of equipment/machinery.

141-13.   That NWC develop and implement a written confined space entry program and ensure compliance with its requirements.

142-13.   That NWC appoint, in writing, a qualified Confined Space Program Manager.

143-13.   That NWC develop and implement a fall protection program or, as a Navy shore activity, state in writing that they are using the Department of the Navy-Fall Protection Guide for Ashore Facilities, as their fall protection program.

144-13.   That NWC develop and implement a written HAZCOM plan.

145-13.   That NWC provide all faculty, staff and students HAZCOM and reproductive health hazard training.

146-13.   That NWC adhere to the policies and procedures outlined in the NAVSTA Newport HMC&M instruction.

147-13.   That NWC provide training to all personnel classified as Class III and Class IV asbestos workers.

148-13.   That NWC ensure all facilities personnel that may come into contact with lead are familiar with Appendices A and B of Title 29 CFR 1910.1025.

149-13.   That NWC establish and implement a traffic safety program.

150-13.   That NWC appoint in writing a traffic safety coordinator and a motorcycle safety representative to enforce NWC traffic and motorcycle safety policy and ensure they participate in the NAVSTA Newport traffic safety council.

151-13.   That NWC establish a motorcycle mentorship program to promote rider education and training, or participate in another local command's mentorship program.

152-13.   That NWC determine who requires periodic medical surveillance and ensure medical surveillance appointments with NHCNE are conducted.

153-13.   That NWC develop and implement an OPSEC program in compliance with OPNAVINST 3432.1A.

154-13.   That NWC formalize a vetting process to comply with applicable Navy security instructions and DoDINST 5230.29.

155-13.   That Director Navy Staff authorize a civilian attorney position and OGC assign a full-time OGC attorney to NWC with experience in contract law, personnel law, fiscal law and/or intellectual property law.

156-13.   That Navy Supply Food Management Team Detachment Groton, CT, conduct an assist visit to NWC President Flag Mess.

157-13.   That CNIC establish an oversight program of Flag Mess management and operations at NWC and elsewhere in the Navy.

158-13.   That NAVSUP Public Quarters Assist Training Team conduct an assist visit of NWC's Enlisted Aide program.

159-13.   That NWC update Enclosure (2) of NAVWARCOLINST 1306.3 to include an additional requirement for higher approval for participation of Flag Mess CSs or other enlisted Sailors in official functions and incorporate VCNO's annual Standards of Conduct Guidance.

160-13.   That NWC direct Enlisted Aides to draft daily, weekly and monthly cleaning schedules, and update the six-year maintenance plan for Quarters in accordance with OPNAVINST 1306.3B.

161-13.   That the Culinary Specialist Special Programs Detailer ensure all Enlisted Aides attend the mandatory three-week Enlisted Aide course prior to permanent duty station assignment.

162-13.   That NWC ensure an Inspector General program is in compliance with SECNAVINST 5370.5B.

163-13.   That NWC assign a full-time Inspector General.

164-13.   That NWC assign a full-time MIC Coordinator with a collateral duty Assistant MIC Coordinator.

165-13.   That NWC review MIC Coordinator and Assistant Coordinator projected rotation dates and consider staggered personnel rotation dates to maintain program integrity.

166-13.   That NWC provide oversight and ensure compliance with SECNAVINST 4650.21.

167-13.   That NWC include the Chief Information Officer in senior leadership strategic and academic planning meetings for the college.

168-13.   That NWC update the "Naval War College Information Resources Department Strategic Plan (2009-2012)."

169-13.   That NWC finalize and issue NAVWARCOLINST 5239.1, Information Assurance and Cyber Security Program, drafted 30 September 2012.

170-13.   That NWC provide oversight and ensure compliance of Information Management, Information Assurance and Personally Identifiable Information requirements in accordance with Navy guidance.

171-13.   That NWC ensure compliance with suicide prevention training in accordance with OPNAVINST 1720.4A, Suicide Prevention Program.

172-13.   That NWC assign a command Alcohol and Drug Control Officer in accordance with OPNAVINST 5350.4D, Navy Alcohol and Drug Abuse Prevention and Control.

173-13.   That NWC request NAVAUDSVC conduct an audit of monetary and in-kind gifts of travel records for the past two years to ensure proper gift practices, including accurate execution of travel and reimbursement of expenses, and compliance with the donor's intent. Upon completion, provide NAVINSGEN with the results of the audit.

174-13.   That NWC require at least one office maintain a complete, consolidated travel file from receipt of the initial offer to liquidation of the final travel claim.

175-13.   That NWC designate a single official to ensure consolidated travel files are complete, internally consistent, and clearly demonstrate that NWC effectively carried out the donor's original intent.

176-13.   That, pending Congressional action on LegProp 1043, NWC use only the GPO to publish works prepared by NWC faculty on official time unless the General Counsel approves NWC requests to use a private publishing company on a case by case basis.

177-13.   That, pending Congressional action on LegProp 1043, NWC not designate or purchase private sector publications as required reading for NWC classes without first securing the agreement of any faculty member who has a contractual right to royalties to return them to the publishing house and, in all other instances, advise faculty members that an agreement for publication of their works prepared during official time may violate such provisions as 18 USC § 209, which prohibits augmentation of salaries.

178-13.   That NWC require at least one office maintain a complete, consolidated file that includes all pertinent documents pertaining to the routing, review, and approval of research and publication requests. The file should document SJA legal review and recommendations concerning approval of the request and clearly indicate whether, and the extent to which, the proposer will perform the effort on official or private time, or both.

179-13.   That NWC establish and enforce a mechanism that effectively documents, on a daily basis, how a faculty member's time is classified (i.e., Telework, TDY, leave, leave without pay, other) when the faculty member is not physically present at NWC or other permanent duty station, with particular emphasis on facilitating the recording of when the faculty member is engaged in professional development or research away from NDW.

180-13.   That NWC review its policy on requests for professional development and clarify the circumstances under which it may be appropriate to approve absences that require hiring another person to carry out the NWC mission, functions, or tasks during the requester's absence; rewrite the Faculty Handbook policy statement as appropriate.

AAU	American Association of Universities
AC	Advanced Culinary
AD	Administratively Determined
AERB	Advanced Education Review Board
AIRC	Academic Integrity Review Committee
APC	Agency Program Coordinator
ASN (M&RA)	Assistant Secretary of the Navy for Manpower and Reserve Affairs
AU	Assessable Unit
AUL	Authorized Use List
AY	Academic Year
BUPERS	Bureau of Naval Personnel
C3S	Center for Cyber Conflict Studies
CDE	College of Distance Education
CD-ROM	Compact Disk-Read Only Memory
CFR	Code of Federal Regulations
CH	Change
CI	Command Inspection
CIO	Chief Information Officer
CIWAG	Center on Irregular Warfare and Armed Groups
CJCS	Chairman of the Joint Chiefs of Staff
CJCSINST	Chairman of the Joint Chiefs of Staff Instruction
CNIC	Commander, Navy Installations Command
CNO	Chief of Naval Operations
COMNAVSAFECEN	Commander, Naval Safety Center
COOP	Continuity of Operations Plan
COS	Chief of Staff
CPO	Chief Petty Officer
CS	Culinary Specialist (also Cyber Security)
CT	Connecticut
CWO	Chief Warrant Officer
DL	Distance Learning
DoD	Department of Defense
DoDINST	Department of Defense Instruction
DON	Department of the Navy
DTG	Date Time Group
DTS	Defense Travel System
E-1 to E-9	Enlisted Ranks (Seaman Recruit to Master Chief Petty Officer)
ECC	Education Coordination Council
EdD	Doctor of Education
EEO	Equal Employment Opportunity
EO	Equal Opportunity
ESAMS	Enterprise Safety Application Management System

EVAL	Evaluation
FIAR	Financial Improvement and Audit Readiness
FITREP	Fitness Report
FLTMPS	Fleet Training Management and Planning System
FO	Flag Officer
FSP	Fleet Seminar Program
FTE	Full Time Equivalent
FWS	Federal Wage System
FY	Fiscal Year
GDP	Graduate Degree Program
GMT	General Military Training
GPO	Government Printing Office
GO	General Officer
GS	General Schedule
GSA	Global War on Terror Support Assignment and General Services Administration.
GTCC	Government Travel Charge Card
HAZCOM	Hazard Communication
HM	Hazardous Material
HMC&M	Hazardous Material Control and Management
HR	Human Resources
HRO	Human Resources Office
IA	Information Assurance
IAMM	Individual Augmentee Manpower Management
ICOFR	Internal Control Over Financial Reporting
ICOFS	Internal Control Over Financial Systems
ICONO	Internal Control Over Non-financial Operations
ID/IQ	Indefinite Delivery/Indefinite Quantity
IG	Inspector General
ILC	Intermediate Level Course
IM	Information Management
INDOC	Command Indoctrination
IT	Information Technology
IW	Irregular Warfare
JFMCC	Joint Force Maritime Component Commander
JMO	Joint Military Operations
JOC	Job Order Contract
JPME	Joint Professional Military Education
K	Thousand
M	Million
MA	Master of Arts
MAWS	Maritime Advanced Warfighting School
MCPO	Master Chief Petty Officer
MEF	Mission Essential Functions
MIC	Managers' Internal Control
MILCON	Military Construction
MOC	Maritime Operations Center

MOU	Memorandum of Understanding
MSR	Motorcycle Safety Representative
NAF	Non-Appropriated Fund
NAVAUDSVC	Naval Audit Service
NAVFAC	Naval Facilities Engineering Command
NAVINSGEN	Naval Inspector General
NAVMEDEAST	Navy Medicine East
NAVPERS	Navy Personnel Command
NAVSTA	Naval Station
NAVSUP	Naval Supply Systems Command
NAVWARCOLINST	Naval War College Instruction
NCC	Naval Command College
NCIS	Naval Criminal Investigative Service
NDU	National Defense University
NEASC	New England Association of Schools and Colleges
NHCNE	Naval Health Clinic New England
NKO	Navy Knowledge Online
NPS	Naval Postgraduate School
NSA	National Security Affairs
NSC	Naval Staff College
NWC	Naval War College
NWCF	Naval War College Foundation
O-1 to O-6	Officer Ranks (Ensign to Captain)
OCHR	Office of Civilian Human Resources
OGC	Office of General Counsel
OLW	Operational Level of War
OPM	Office of Personnel Management
OPNAV	Office of the Chief of Naval Operations
OPNAVINST	Office of the Chief of Naval Operations Instruction
OPSEC	Operational Security
OPT	Operational Planning Team
ORM	Operational Risk Management
PAJE	Process for the Accreditation of Joint Education
PhD	Doctor of Philosophy
PII	Personally Identifiable Information
PME	Professional Military Education
PMF	Presidential Management Fellows
PMP	Permanent Military Professor
POM	Program Objective Memorandum
PTS	Perform to Serve
PWD	Public Works Department
QOL	Quality of Life
QOHL	Quality of Home Life
QOWL	Quality of Work Life
RF	Radio Frequency
SAP	Simplified Acquisition Procedures
SCIF	Sensitive Compartmented Information Facility

SCPO	Senior Chief Petty Officer
SD	Standard Deviation
SEA	Senior Enlisted Academy
SES	Senior Executive Service
SECNAV	Secretary of the Navy
SECNAVINST	Secretary of the Navy Instruction
SIOH	Supervision Inspection and Overhead
SJA	Staff Judge Advocate
SLC	Senior Level Course
SOH	Safety and Occupational Health
S&P	Strategy and Policy
ST	Scientific or Professional Position
TAD/TDY	Temporary Assigned Duty/Temporary Duty
TSC	Traffic Safety Coordinator
U.S.	United States
USAJobs	Federal Government's Official Job Listing Website
U.S.C.	United States Code
USFF	United States Fleet Forces Command
USNA	United States Naval Academy
USPACFLT	United States Pacific Fleet
VCNO	Vice Chief of Naval Operations
WD/WG/WS/WL	Federal Wage Positions (Production, Non-Supervisor, Supervisor, Leader)
Z	Zulu Time