



## DEPARTMENT OF THE NAVY

NAVAL SERVICE TRAINING COMMAND  
2601A PAUL JONES STREET  
GREAT LAKES, ILLINOIS 60088-2845

Canc frp: Jan 25  
NSTCNOTE 5200  
IG  
10 Jan 24

### NSTC NOTICE 5200

From: Commander, Naval Service Training Command

Subj: NAVAL SERVICE TRAINING COMMAND MANAGERS' INTERNAL CONTROL PROGRAM

Ref: (a) SECNAVINST 5200.35G  
(b) Federal Manager's Financial Integrity Act of 1982  
(c) NETCINST 5200.1A

Encl: (1) Appointment Letter Template for Primary/Alternate Coordinator  
(2) 2024 NSTC Domain MICP Inventory of Assessable Units  
(3) Functional Categories  
(4) MICP Flowchart  
(5) Operational Risk Management Assessment  
(6) Internal Control System Test  
(7) Sample MIC Certification Statement  
(8) Significant Accomplishments  
(9) Material Weakness or Status of Corrective Actions  
(10) Criteria for Command Material Weakness and Status of Corrective Actions

1. Purpose. Naval Service Training Command (NSTC) Managers' Internal Control Program (MICP) notice promulgates instructions and responsibilities for all NSTC domain activities and reflects the requirements of references (a) through (c). This notice establishes reporting requirements and due dates for the period 1 October 2023 to 30 September 2024.

2. Background. The Secretary of the Navy (SECNAV) requires compliance with the Federal Managers' Financial Integrity Act (FMFIA) (Public Law 97-255). Reference (a), established mandatory MICP training for Primary and Alternate MIC Coordinators and all functional area managers or higher level.

### 3. Discussion

a. The Department of the Navy (DON) MICP over Operations is the Navy's method for demonstrating and documenting compliance with reference (b). The federally mandated program ensures operational, fiscal, program and administrative internal controls (ICs) provide a level of assurance towards operational and fiscal effectiveness and efficiency and minimize loss of life.

10 Jan 24

Implementation of a MICP increases an organization's understanding of internal controls, which result in better decision-making related to activities, objectives, operations and resources. SECNAV expects all managers to be actively involved in the MICP. During all audits and inspections, external agencies (Government Accountability Office, Department of Defense Inspector General, Naval Inspector General and Naval Audit Service) review command adherence with this program. The MICP continues to transition to the Integrated Risk Management (IRM) Program.

b. The MICP stresses using a variety of existing methods to gauge the effectiveness, efficiency and economy of work processes (WPs). A WP is defined as the manner in which resources are employed in generating a product, performing a responsibility or rendering a service in support of the Navy's mission. It consists of starting and ending points that are connected by a series of decision points, includes metrics/ICs and various work-related steps.

c. Key metrics quantify critical stages. Metrics measured earlier in the WP allows more accurate process performance. Metrics can be used to baseline, monitor, manage, improve and reward performance. Metrics improve results and specifically identify problems.

d. MICP documentation shall be retained in-house for three years for turnover and inspection purposes. These efforts establish a perpetual state of readiness for any type of inspection. It also provides the basis for performing process self-assessments.

4. Action. To demonstrate compliance with reference (a), commands shall complete the following:

a. Commanding Officers (CO) and Officers-in-Charge (OIC) shall:

(1) Appoint, in writing, a command Primary and Alternate MIC Coordinator for the administration and coordination of the MICP and its reporting requirements. Commands will use enclosure (1) as a template.

(2) Within 30 calendar days of appointment, ensure the MIC Coordinators complete the online DON MICP Training Course (OASN-MCPT-1.3 ) or DON MICP 102: Internal Control Over Operations Lifecycle (OASN-MICP102-1.0), take a refresher course every three years thereafter, and maintain electronic copies of the appointment letters and completed training for inspection purposes.

b. NSTC Domain COs, OICs, Executive Officers (XOs), Assistant OICs (AOICs), Directors, Program Managers and Process Owners shall:

(1) Complete the online DON MICP Training for Managers Course (OASN-MCPTM-1.3) or DON MICP 101: MICP Overview (OASN-MICP101-2.0) which is only required once.

10 Jan 24

(2) Provide an electronic copy of the completed training to the Primary/Alternate MIC Coordinator for inspection purposes.

c. Evaluate the Inventory of Assessable Units (IAU)

(1) The IAU shall reflect WPs that are actually performed within the command. Compare your IAU shown in enclosure (2) to the functional categories shown in enclosure (3). Ensure your IAU reflects mission critical, as well as financial compliance, administrative support and universal WPs. Each Naval Reserve Officers' Training Corps (NROTC) Unit and Maritime Academy will use page 10 of enclosure (2) as a template to annotate applicable information.

(2) When evaluating the pertinent WPs with the applicable governing directives, determine if the WP is susceptible to potential IC breakdowns in protecting Information Assurance (IA) and Personally Identifiable Information (PII). Due to high visibility, pay close attention to: audit readiness of operational processes requiring financial accountability, Contract Management, Government Purchase Card (GPC) Program, Government Travel Charge Card (GTCC) Program, Defense Travel System (DTS), Civilian Time and Attendance (T&A), General Equipment Accountability/Management, Urinalysis Program, Cyber Security, Privacy Act Program, Command Managed Equal Opportunity (CMEO) Program, Sexual Assault Prevention and Response (SAPR) Program, Emergency Action Planning (EAP), Anti-Terrorism Force Protection (ATFP), Operations/Physical and Personnel Security, Suicide Prevention Program, Voting Assistance Program, Strategic Planning and safety issues associated with a WP.

(3) Managers review and adjust previously developed flowcharts or create flowcharts for all WPs in the command's MICP inventory. A one-page linear flowchart is required to depict a process. Each flowchart will include the following:

- (a) Command name and title outlining the WP
- (b) Purpose to include the primary governing directive
- (c) Office code to include contact office telephone number and email address
- (d) Current date annotating reviewed or revised
- (e) Two or three key metrics for each WP
- (f) Description of acronyms used

(4) Enclosure (4) provides a sample method for developing a flowchart. NSTC Staff, electronically submit new or revised flowcharts to [judith.l.goldsmith.civ@us.navy.mil](mailto:judith.l.goldsmith.civ@us.navy.mil) not later than (NLT) 4 March 2024. OTC, RTC and NROTC Units/Maritime Academies shall not forward flowcharts, but shall retain the flowcharts in-house for turnover and inspection purposes.

10 Jan 24

d. Operational Risk Management (ORM) Assessment, NSTC Domain MICP Strategic Goals, Key Metrics and Internal Control System Test (ICST)

(1) Ensure an ORM Assessment has been performed for each assessable unit WP. Safety, as well as administrative hazards, risks and/or vulnerabilities for each WP are to be identified and assigned a Risk Assessment Code (RAC). Use enclosure (5), to document the assessment. NSTC Staff electronically submit the ORM Assessments to [judith.l.goldsmith.civ@us.navy.mil](mailto:judith.l.goldsmith.civ@us.navy.mil) NLT 11 March 2024. OTC, RTC and NROTC Units/Maritime Academies shall not forward ORM Assessments, but shall retain the ORM Assessments in-house for turnover and inspection purposes.

(2) Ensure an ICST is used to examine each WP for efficiency, effectiveness, and economy. Each WP shall be linked to one NSTC Domain MICP Strategic Goal documented on enclosure (6). Identify the two or three key metrics used on the flowchart to measure performance in block five. ICs shall be tested by performing a physical inspection or walk-through, interviewing cognizant personnel and/or evaluating data. NSTC Staff, electronically submit ICSTs to [judith.l.goldsmith.civ@us.navy.mil](mailto:judith.l.goldsmith.civ@us.navy.mil) NLT 11 March 2024. OTC, RTC and NROTC Units/ Maritime Academies shall not forward the ICSTs, but shall retain the ICSTs in-house for turnover and inspection purposes.

e. Annual MICP Certification Statement (Statement of Annual Assurance (SOA))

(1) To demonstrate the existence of a clear audit trail of accountability, each NSTC program manager and subordinate commands shall electronically submit a signed annual certification statement to Commander, NSTC (CNSTC) via the NSTC Inspector General (IG), NLT 18 March 2024. Enclosure (7) is a Sample MICP Certification Statement. NSTC IG will then forward a consolidated statement for CNSTC's signature to Commander, Naval Education and Training Command (CNETC) via NETC IG for compilation. CNSTC's statement will be forwarded electronically NLT 3 April 2024.

(2) When necessary, use enclosure (8) to document a Significant Accomplishment (SA) or enclosure (9) to document a Material Weakness (MW) or Status of Corrective Actions on a weakness not previously reported as closed.

(3) Enclosure (10) is the criteria to be used for selecting command MWs and Status of Corrective Actions for inclusion in the MICP SOA.

f. NSTC IG will conduct random spot checks of selected OTC, RTC and NROTC Units/ Maritime Academies MICP documentation. Under separate correspondence, the selected command will be notified of the dates to electronically submit the documentation to [judith.l.goldsmith.civ@us.navy.mil](mailto:judith.l.goldsmith.civ@us.navy.mil).

10 Jan 24

5. Forms. For NSTC/RTC/OTC personnel, electronic MICP forms are available via the NSTC shared drive under S:\GRLK\NSTC\MICP 2024\FORMS and/or the SharePoint site. For NROTC Units and Maritime Academies, electronic MICP forms are available via the NSTC website under Other Links/NSTC IG/MICP.

6. Point of Contact. If you have questions, please contact Ms. Judith Goldsmith, NSTC IG, who can be reached at COMM: (847) 688-2258, DSN: 792.

  
C. T. MATTINGLY

Releasability and distribution:

This instruction is cleared for public release and is available electronically only via the Naval Service Training Command issuance website,

<http://www.netc.nav.mil/nstc/NSTC Directives/instructions.html>



## DEPARTMENT OF THE NAVY

COMMAND NAME  
STREET ADDRESS  
CITY, STATE AND ZIP CODE

5200  
Ser /

From: Commanding Officer, Command Name  
To: Appointee Name

Subj: APPOINTMENT AS MANAGERS' INTERNAL CONTROL (MIC)  
PRIMARY/ALTERNATE COORDINATOR

Ref: (a) SECNAVINST 5200.35G

1. In accordance with reference (a), each DON Major Assessable Unit (MAU) and their immediate subordinates shall appoint an organizational MIC Coordinator and Alternate responsible for the administration and coordination of the MIC Program to align with the reporting requirements of the Federal Managers' Financial Integrity Act (FMFIA).
2. Effective immediately, you are appointed as the MIC Coordinator for Command Name. This responsibility includes oversight of MIC Program efforts throughout Command Name. You will be guided in the performance of your duties by the provisions of reference (a).
3. As Command Name MIC Primary/Alternate Coordinator, you are to facilitate the implementation of a comprehensive system of internal controls to establish and maintain compliance with noted policy and Command Name guidance. Your responsibilities will include:
  - a. Provide compliance oversight and guidance that adheres to applicable laws, regulations, and administrative policies.
  - b. Develop and sustain a comprehensive internal control environment that supports effective and efficient auditable business processes and procedures.
  - c. Ensure all MIC Program reporting and supporting documentation requirements are met in accordance with reference (a).
  - d. Prepare Command Name annual MIC Program Certification Statement for the FMFIA processes in accordance with references (a).
  - e. Maintain an effective tracking and monitoring system to ensure acceptable performance and prompt correction of identified control deficiencies.
  - f. Obtain MIC training within 30 calendar days of this appointment and a refresher course every three years thereafter.

Enclosure (1)

Subj: APPOINTMENT AS MANAGERS' INTERNAL CONTROL (MIC)  
PRIMARY/ALTERNATE COORDINATOR

g. Notify the organization of MIC training opportunities and ensure points of contact satisfy and maintain all training requirements.

4. This appointment is valid until rescinded.

C. O. NAME

Title

ACKNOWLEDGEMENT

By my signature, I acknowledge my appointment as **Command Name** MIC **Primary/Alternate** Coordinator. I have read and understand my responsibilities, accountability, and duties as described in paragraph 3, (a) through (g). I further understand and acknowledge that this appointment will remain in effect until revoked in writing by you or your successor or until I am transferred, separated for any reason, or retired from federal service.

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**APPOINTEE NAME**

## Naval Service Training Command (NSTC)

Code	Office Name	Process	Process Owner	POC & Office Telephone Numbers ONLY	2024 Flow Chart	2024 ICST/ORM	2024 Cert Stmt	Comments
	<b>Special Assistants</b>							
<b>UPC</b>		Urinalysis Program	ITCS Kalasy Lor	ITCS Lor, DSN 792-3422, X164				<a href="#">MOU W/NSGL</a>
<b>VAO</b>		Voting Assistance Program (VAP)	Ms. Courtney Gobble	Ms. Gobble, DSN 792-4510, X457				
<b>CMEO</b>		Command Managed Equal Opportunity (CMEO) Program	OS1 Jason W. Coleman	OS1 Coleman, DNS 792-7470, X246				
<b>JAG</b>		Command Investigations (JAGMAN)	LT Savannah Smidt, JAGC	LT Smidt, DSN 792-7600, X463				
		Military Justice	LT Savannah Smidt, JAGC,	LT Smidt				
<b>CFL</b>		Physical Readiness Program	LT Mark Mohammad	LT Mohammad, DSN 792-7600, X351				
<b>SAPR</b>		Sexual Assault Prevention and Response (SAPR) Program (5)	CDR Regina Kauffman	CDR Kauffman, (850) 490-0810				
<b>DAPA</b>		Drug and Alcohol Program	IT1 Carrie Mitchum	IT1 Mitchum, DSN 792-5895, X420				
<b>SPC</b>		Suicide Prevention Program	LT Kuran Bricker	LT Bricker, DSN 792-4725, X223				
<b>STU MNGT</b>		Student Management	LT Kuran Bricker	LT Bricker				
<b>EAP</b>		Emergency Action Planning (EAP) (2)	LT Marci Steinfels	LT Steinfels, DSN 792-2501, X160				
<b>ATP</b>		Anti-Terrorism Force Planning (ATFP) (3)	LT Marci Steinfels	LT Steinfels				
<b>OPSEC</b>		Operational Security (OPSEC)	Mr. Daniel Rose	Mr. Rose, DSN 792-4510, X247				
<b>STR-PLAN</b>		Strategic Planning	Mr. John Drake	Mr. Drake, DSN 792-4483, X212				
<b>N003</b>	<b>Protocol</b>	RTC Graduation Planning (Visitors)	Mr. Sean Ozolins	Mr. Ozolins, DSN 792-7853				
		VIP Tours	Mr. Sean Ozolins	Mr. Ozolins				
		Ceremonial Protocol Guidance	Mr. Sean Ozolins	Mr. Ozolins				
		Social Event Planning	Mr. Sean Ozolins	Mr. Ozolins				



Code	Office Name	Process	Process Owner	POC & Office Telephone Numbers ONLY	2024 Flow Chart	2024I ICST/ORM	2024 Cert Stmt	Comments
<b>N004</b>	<b>Security</b>	Personnel Security	Mr. Daniel Rose	Mr. Rose, DSN 792-4510, X247				
<b>N005</b>	<b>CNSTC Secretariat</b>	Correspondence	Ms. Courtney Gobble	Ms. Gobble, DSN 792-4510, X457				
		Congressional	Ms. Courtney Gobble	Ms. Gobble				
		Directives	Ms. Courtney Gobble	Ms. Gobble				
		Awards	Ms. Courtney Gobble	Ms. Gobble				
		Mail Distribution	Ms. Courtney Gobble	Ms. Gobble				
<b>N1</b>	<b>Manpower</b>	Civilian Recruitment Personnel Actions	Ms. Carrie Long	Ms. Lisbeth Mendoza DSN 792-2682, X205				
		Civilian Monetary Awards (2)	Ms. Carrie Long	Ms. Mendoza				
		Telework	Ms. Carrie Long	Ms. Mendoza				
<b>N4</b>	<b>Logistics</b>	Government Purchase Card (GPC) Program	Mr. Jerry Long	Mr. Sidney Coleman, DSN 792-4141, X357				
		Supply Management	Mr. Jerry Long	Mr. Will Barton, DSN 792-4141, X176				
		General Equipment	Mr. Jerry Long	Mr. John Bass, DSN 792-4141, X357				
		Support Agreement Program (SAP)	Mr. Jerry Long	Mr. Coleman				
<b>N6</b>	<b>Information Technology</b>	IA Cyber Security Work Force Training	Mr. Paul Van Zuyle	Mr. Rick Waupoose, (224) 639-3627				
		IA Violation/Gov Directed Action (GDA)	Mr. Paul Van Zuyle	Mr. Waupoose				
		IA Vulnerability Management	Mr. Paul Van Zuyle	Mr. Waupoose				
		IA Manage Legacy Access	Mr. Paul Van Zuyle	Mr. Waupoose				
<b>N7</b>	<b>Training</b>	Fleet Requirement Implementation	LT Maria Spencer	LT Spencer, DSN 792-7600, X123				
		Curriculum Management (2)	LT Spencer	LT Spencer				

Code	Office Name	Process	Process Owner	POC & Office Telephone Numbers ONLY			2024 Cert Stmt	Comments
<b>N8</b>	<b>Comptroller</b>	Accounting - Labor Processing	Mr. Tim Schultheis	Ms. Kimberly McCollum, DSN 792-6808, X414				
		Accounting – Transactions	Mr. Tim Schultheis	Ms. McCollum				
		Civilian Time and Attendance (T&A) Program	Mr. Tim Schultheis	Ms. McCollum				
		Budget Formulation (2)	Ms. Pam Madden	Ms. Pam Madden, DSN 792-6808, X416				
		Admin. Control of Travel (2)	Mr. Tim Schultheis	Ms. Marissa Cole, DSN 792-6808, X445				
		Government Travel Charge Card (GTCC) Program (4)	Mr. Tim Schultheis	Ms. Cole				
		Admin. Control of Premium Travel	Mr. Tim Schultheis	Ms. Cole				
<b>IG</b>	<b>Inspector General</b>	Hotline Program (HLP)	Ms. Judith Goldsmith	Mr. Kevin DuBose, DSN 792-2258				
		Managers' Internal Control Program (MICP)	Ms. Judith Goldsmith	Mr. DuBose				
		Command Evaluation (CE) Program	Ms. Judith Goldsmith	Mr. DuBose				
		Command Inspection Program (CIP)	Ms. Judith Goldsmith	Mr. DuBose				
<b>OGC</b>	<b>Office of General Counsel</b>	Ethics-OGE 450 Review	Ms. Laura Crifase	Mr. Kevin King, DSN 792-5614, X121				
		FOIA/Request for Privacy Act Information	Ms. Crifase	Mr. King				
		Privacy Act	Ms. Crifase	Mr. King				

Code	Office Name	Process	Process Owner	POC & Office Telephone Numbers ONLY	2024 Flow Chart	2024 ICST/ORM	2024 Cert Stmt	Comments
<b>PAO</b>	<b>Public Affairs Office</b>	Media Relations	LT Mack Jamieson	Mr. Michael Miller, DSN 792-2201, X262				
		Community Relations	LT Mack Jamieson	Mr. Miller				
		Internal Information	LT Mack Jamieson	Mr. Miller				
		Press Releases	LT Mack Jamieson	Mr. Miller				
		Maintain Website	LT Mack Jamieson	Mr. Miller				
<b>CD</b>	<b>Citizenship Development</b>	Curriculum Management	CDR Sheree Williams	Ms. Paula Sawdy-Bowes, DSN 792-5454, X174				
		Integrated Logistics Support	CDR Sheree Williams	Ms. Sawdy-Bowes				
		Personnel Management	CDR Sheree William	Ms. Sawdy-Bowes				
<b>N9</b>	<b>NROTC Operations</b>	Program Management	Mr. Mark Gough	Mr. Mark Gough, DSN 792-2501, X102				
		Nuclear Accessions (includes STA-21)	LT Mari Steinfels	LT Steinfels, DSN 792-2501, X160				
		Summer Cruise – Nuclear Option	LT Marci Steinfels	LT Steinfels				
		Selection & Placement Program Accessions and Candidate Guidance (2)	Mr. David Burmeister	Mr. Burmeister, DSN 792-2501, X119				
		Selection & Placement – STA 21 Program Accession	Mr. David Burmeister	Mr. Burmeister				
		Student Operations (Disenrollments & Unit Correspondence) (2)	Mr. Steve Bowes	Mr. Steve Bowes, DNS 792-2501, X186				
		Operational Data Support Request	Mr. Steve Bowes	Mr. Bowes				
		NROTC Summer Training	LT Julian Turner	LT Turner, DSN 792-2501, X237				
							<b>Total: 67 Work Processes (WPs)</b>	

## Officer Training Command (OTC)

Code	Office Name	Process	Process Owner	POC & Office Telephone Numbers ONLY	2024 Flow Chart	2024 ICST/ORM	2024 Cert Stmt	Comments
OTC		<b>Procurement</b>						
		GPC Program	LT Micaela Barter	LT Barter, DSN 841-1949				
		GTCC Program	Ms. Catherine Ramos	Ms. Ramos, DSN 841-6630				Awaiting relief
		<b>Property Management</b>						
		General Equipment (3)	Mr. Dan Podesta	Mr. Podesta, DSN 841-1197				
		<b>Information Management</b>						
		Network Security (2)	IT1 Adam Jordan	IT1 Jordan, DSN 841-3344				
		Information Assurance (2)	IT1 Adam Jordan	IT1 Jordan				
		<b>Personnel and/or Organization Management</b>						
		ATFP	FCC Daniel Thomas	FCC Thomas, DSN 841-2059				
		CMEO Program	FCC Daniel Thomas	FCC Thomas				
		Curriculum Development / Management / Control / Feedback (2)	Ms. Heather Yeles	Ms. Yeles, DSN 841-6996				
		Drug and Alcohol Program	QMC Miguel Galarza	QMC Galarza, DSN 841-2055,				
		Emergency Management	Mr. Dan Podesta	Mr. Podesta				
		Navy / General Military Training (GMT)	RP2 Andrea Domek	RP2 Domek, DSN 841-2330				
		Instructor Certification / Evaluation	Ms. Gloria Shafae-Moghadam	Ms. Shafae-Moghadam, DSN 841-1951				
		Master Training Specialist (MTS) Program	ITCS Gregory Johnson	ITCS Johnson, DSN 841-1717				

Enclosure (2)

Code	Office Name	Process	Process Owner	POC & Office Telephone Numbers ONLY	2024 Flow Chart	2024 ICST/ORM	2024 Cert Stmt	Comments
		Military Awards	CWO4 Rafael Azconasanchez	CWO4 Azconasanchez, DSN 841-3515				
		Quota Control / Management	Ms. Mary Grotta	Ms. Grotta, DSN 841-2170				
		Personnel Security	ITSC Christopher Cruse	ITSC Cruse, DSN 841-7958				
		SAPR Program	LT Katherine Pardew	LT Pardew, DSN 841-1949				
		Student Management (SCD)	LTJG Hassam Syed	LTJG Syed, DSN 841-6891				
		OPSEC Program	LT Scott Sansing	LT Sansing, DSN 841-7965				
		<b>Comptroller/Resource Management</b>						
		Budget Formulation	Ms. Catherine Ramos	Ms. Ramos, DSN 841-6630				
		Civilian T&A Program	Ms. Katherine Laing	Ms. Laing, DSN 841-4316				
		<b>Support Services</b>						
		CE Program	AECS Clifford Clemente	AECS Clemente, DSN 841-2059				
		Mail Processing	Mr. Dan Podesta	Mr. Podesta, DSN 841-1197				
		MICP	CWO4 Herman Fuentez	CWO4 Fuentez, DSN 841-1716				Awaiting relief
		Military Justice	LT Peter Fulton	LT Fulton, DSN 841-3812				
		Urinalysis Program	BMC Emeka Igwe	BMC Igwe, DSN 841-2451				
		Suicide Prevention Program	LCDR Mary Catherine Taylor	LCDR Taylor, DSN 841-3345				
								Total: 27 WPs

## Recruit Training Command (RTC)

Code	Office Name	Process	Process Owner	POC & Office Telephone Numbers ONLY	2024 Flow Chart	2024 ICST ORM	2024 Cert Stmt	Comments
<b>RTC</b>	<b>Admin</b>	Awards (ADMIN)	Mr. Johnathan Dingler	Mr. McClure, DSN 792-4949, X108				
	<b>Admin</b>	Military Leave Accounting (ADMIN)	Mr. Johnathan Dingler	Ms. Hicks, DSN 792-4949, X114				
	<b>Admin</b>	Civilian T&A Program	Ms. Heather Hutchins	Ms. Hutchins, DSN 792-4949, X111				
	<b>Admin</b>	Privacy Act / FOIA Program	Mr. Johnathan Dingler	Mr. Dingler, DSN 792-4949, X106				
	<b>MTD</b>	Curriculum Development (CISD/CIED) (2)	LCDR William Harber	LT Beverly, DSN 792-4949, X254				
	<b>MTD</b>	Test Change Implementation (CISD/CIED)	LCDR William Harber	LT Beverly, DSN 792-4949, X254				
	<b>MTD</b>	Of the Year Programs (MTD/CISD)	GMCS Abraham Plotsky	GMCS Plotsky, DSN 792-4949, X214				
	<b>Security</b>	EAP	GMC Michael Rogers	GMC Rogers, DSN 792-3235				
	<b>Security</b>	ATFP	GMC Michael Rogers	GMC Rogers				
	<b>Admin</b>	Personnel Security	LT Kyle Beverly	QMC Reppe, DSN 792-4949, X208				
	<b>Security</b>	Physical Security Checks-Bldg (Security)	GMC Michael Rogers	GMC Rogers				
	<b>MTD</b>	Ordnance & Weapons Management (Live Fire)	CWO3 Gregory Waite	CWO3 Waite, DSN 792-7301				
	<b>MTD</b>	Arms Control & Security (Live Fire)	CWO3 Gregory Waite	CWO3 Waite				
	<b>Executive</b>	Data Collection of Injury/Illness Report (Safety) 3	Mr. Vic Hernandez	Mr. Hernandez, DSN 792-4949, X219				
	<b>Executive</b>	VAP	Mr. Johnathan Dingler	Mr. Dingler				
	<b>Executive</b>	Admin Entitlements – SDAP	Ms. Heather Hutchins	Ms. Hutchins				
	<b>MTD</b>	Recruit Accountability	LT Seamus Markey	LT Markey, DSN 792-2872				

Enclosure (2)

Code	Office Name	Process	Process Owner	POC & Office Telephone Numbers ONLY	2024 Flow Chart	2024 ICST/ORM	2024 Cert Stmt	Comments
	<b>SCD</b>	Recruit ADMIN Separation (Legal)	OSCS Calvin Olsen	OSCS Olsen, DSN 792-4108, X1				
	<b>Supply</b>	Warehouse Ops (Supply Management)	Mr. Lamar Knudtson	Mr. Elzey, DSN 792-4980, X233				
	<b>Supply</b>	DTS/TAD/TDY Travel Management) (2)	Mr. Lamar Knudtson	Ms. Cotton, DSN 792-4980, X233				
	<b>Supply</b>	GPC Program	Mr. Lamar Knudtson	Mr. Bellomo, DSN 792-4980, X224				
	<b>Supply</b>	General Equipment (2)	Mr. Lamar Knudtson	Mr. Knudtson, DSN 792-4980, X248				
	<b>Supply</b>	GTCC Program	Mr. Lamar Knudtson	Mr. Bellomo				
	<b>Supply</b>	Budget Formulation	Mr. Lamar Knudtson	Mr. Knudtson				
	<b>Executive</b>	Service Request/Trouble Call Process (ADP)	Mr. William Peters	Mr. Peters, DSN 792-2997, X279				
	<b>SCD</b>	Student Management (3)	LCDR Megan Mittleider	ITCS Gianfagna, DSN 792-3337, X1				
	<b>Executive</b>	MTS Program	HTC Librado Najera	HTC Najera, DSN 792-4949, X254				
	<b>Supply</b>	Telephone Billing & Collection	Mr. Lamar Knudtson	Mr. Wayeshe, DSN 792-4980, X234				
	<b>Supply</b>	Telephone Service & Usage	Mr. Lamar Knudtson	Mr. Knudtson				
	<b>Executive</b>	Urinalysis Testing	LCDR Megan Mittleider	MAC White, DSN 792-3337, X7				
	<b>Executive</b>	GMT Mandatory Training Requirements	HMC Carl Hoeggren	HMC Hoeggren, DSN 792-2872				
	<b>Executive</b>	Suicide Prevention Program	LT Jason Yan	LT Yan, (201) 286-9669				
	<b>Executive</b>	CE Program	LT Leslie Liang	LT Liang, DSN 792-2997, X103				
	<b>MTD</b>	Foreign Language Screening / Testing	CTICS Jacob Spradin	CTICS Spradin, (847) 533-0439				<a href="#">PCS Feb 24, Relief CTICS Bourandas</a>
	<b>Executive</b>	CMEO / EO Program	MMCS Larry Abram	MMCS Abram, (847) 561-3514				
	<b>Executive</b>	SAPR Program	MMC Derrick Henry	MMC Henry, (847) 561-6517				

Code	Office Name	Process	Process Owner	POC & Office Telephone Numbers ONLY	2024 Flow Chart	2024 ICST/ORM	2024 Cert Stmt	Comments
	<b>Executive</b>	Drug and Alcohol Program	Mr. Edgar Tuliao	Mr. Tuliao, (847) 533-5449				
	<b>Executive</b>	MICP	LT Daniel Alcorn	LT Alcorn, DSN 792-4949, X26				
	<b>MTD</b>	Instructor Certification and Monitoring	LCDR William Harber	LT Beverly, DSN 792-4949, X254				
								Total: 39 WPs



## Naval Reserve Officers' Training Corps Units (NROTCU)/Maritime Academies

Code	Office Name	Process	Process Owner	POC & Office Telephone Numbers ONLY	2024 Flow Chart	2024 ICST/ORM	2024 Cert Stmt	Comments
		Performance Review Boards (PRBs)						
		CE Program						Maritime Academies waived
		MICP						
		SAPR Program						
		Physical Readiness Program						
		Drug & Alcohol Program						
		Urinalysis Program						
		CMEO Program						
		Privacy Act Program						
		GPC Program and Educational Service Agreement (ESA) Reporting						
		GTTC Program						
		Defense Travel System (DTS)						
		Civilian T&A Program						
								Total: 13 WPs

## **Functional Categories**

### **Functional Category 03: Procurement**

- Government Commercial Purchase Card (GCPC) Program
- Government Travel Charge Card (GTCC) Program

### **Functional Category 04: Contract Administration**

- Contract Management

### **Functional Category 05: Force Readiness**

- Anti-Terrorism Force Planning (ATFP)
- Emergency Action Planning (EAP)
- Strategic Planning

### **Functional Category 07: Supply Operations**

- Minor Property Management/Defense Property Accountability System (DPAS)
- Supply Management (including material requisitioning, issue, and receipt)
- Telecommunications

### **Functional Category 09: Communications, Security, and/or Intelligence**

- Personnel Security Program
- Mishap Investigation and Reporting
- Ordnance and Weapons Management
- Physical Security

### **Functional Category 10: Information Technology**

- Cyber Security (Network Security/Information Assurance)
- Information Technology (IT) Management
- Web-Site Management

### **Functional Category 11: Personnel and/or Organizational Management**

- Awards
- Civilian Performance Appraisal Process
- Civilian Position Management
- Command Managed Equal Opportunity (CMEO)/Sexual Harassment Program
- Curriculum Development
- Curriculum Management
- Drug/Alcohol Program

- Equal Employment Opportunity (EEO)/Sexual Harassment Program
- Formal Course Review
- General Military Training (GMT)
- Instructor Certification/Qualifications
- Instructor Evaluation
- Instructor of the Year Program
- Master Training Specialist Program
- Missions, Functions and Tasks
- Operational Security (OPSEC)
- Personnel Security (Security Clearance)
- Performance Review Boards
- Quota Control/Management
- Sexual Assault Prevention and Response (SAPR) Program
- Student Management
- Training Feedback
- Training Project Plan
- Telework Management

**Functional Category 12: Comptroller/Resource Management**

- Accounting (including Contingent Liabilities and Adjustments to Obligations)
- Budget Formulation
- Civilian Time and Attendance
- Official Representation Funds
- Defense Travel System (DTS)

**Functional Category 13: Support Services**

**- Subfunction A: Administrative Support**

- Freedom of Information Act (FOIA)
- Managers' Internal Control Program (MICP)
- Privacy Act Program
- Public Affairs Office (PAO)
- Records Management
- Voting Assistance Program

**- Subfunction B: IG/Audit**

- Audit Follow-up/Liaison
- Command Evaluation (CE) Program
- Command Inspection Program
- Hotline Investigation Program

- **Subfunction C: Facilities and/or Base Maintenance**

- Host/Tenant Relations

- **Subfunction D: Legal**

- Administrative Separations
- Article 138 and 1150 Complaint of Wrongs
- Command Inquiries/Investigations
- Courts Martial
- Joint Ethics
- Litigation (Civil case) Other Than Contract
- Nonjudicial Punishment (NJP)
- Urinalysis Program

- **Subfunction F: Morale, Welfare and Recreation**

Command Morale, Welfare and Recreation Program

- **Subfunction G: Religion**

Suicide Prevention Program

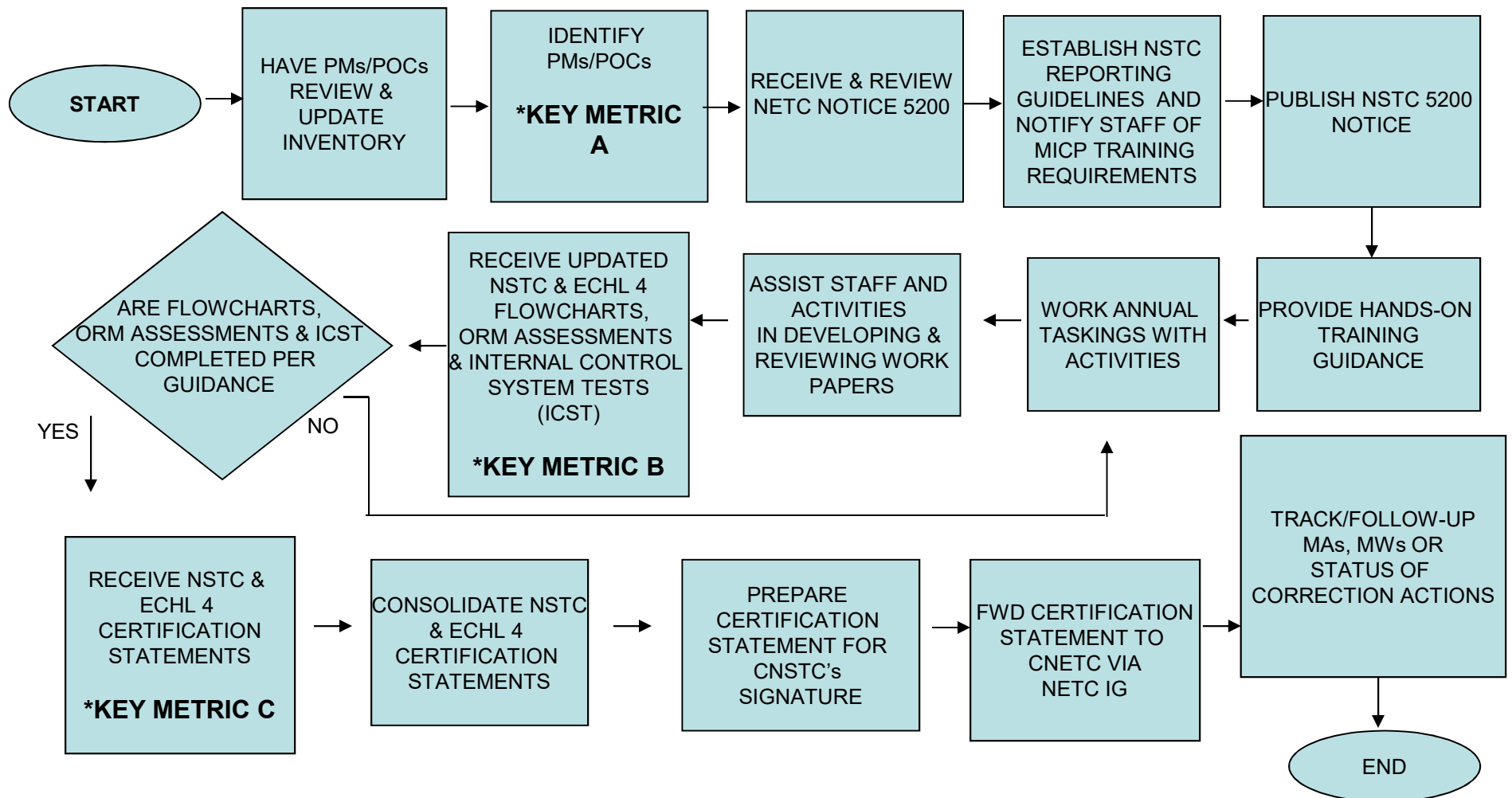
# Managers' Internal Control Program (MICP)

Purpose: Process by which NSTC documents compliance with Manager's Financial Integrity Act (FMFIA) / SECNAVINST 5200.35G and NETCINST 5200.1A

Process Owner Code: NSTC IG, Phone: (847) 688-2258 (DSN 792)

Revised: January 2024

**\*KEY METRIC**



**OPERATIONAL RISK MANAGEMENT (ORM) ASSESSMENT**  
(OPNAVINST 3500.39D FIVE-STEP PROCESS)

**Command/Department:**

**Work Process/Assessable Unit Title:**

<b>Step 1. Identify Hazards: (Hazard = Process Risks and/or Vulnerabilities)</b>	<b><u>Yes</u></b>	<b><u>No</u></b>	<b><u>N/A</u></b>
a. Has a flowchart been completed identifying major steps of the work process?	[ ]	[ ]	[ ]
b. Have applicable hazards of each step with possible causes for those hazards been documented? If yes, complete page 3. If no, comment on page 2.	[ ]	[ ]	[ ]
c. Are internal controls/safeguards in place for Personally Identifiable Information (PII)?	[ ]	[ ]	[ ]

**Step 2. Assess Hazards.** Each hazard identified in Step 1 will be assigned a “Hazard Severity Category,” “Mishap Probability Rating,” and a “Risk Assessment Code (RAC).” The below matrices are a guide for assessing hazards.

a. Has each hazard been assigned a Hazard Severity Category?	[ ]	[ ]	[ ]
b. Has each hazard been assigned a Mishap Probability Rating?	[ ]	[ ]	[ ]
c. Has each hazard been assigned a RAC?	[ ]	[ ]	[ ]

**Hazard Severity Category Matrix:**

- I Death, grave damage, inefficiencies, or loss (\$ 1M plus)
- II Severe injury, inefficiencies, or damage (\$200K to \$1M)
- III Minor injuries, inefficiencies, or damage (\$20K to \$200K)
- IV Minimal or no threat to personnel and property loss  
(Any loss valued at \$20K or less)

**Mishap Probability Sub-Category Matrix:**

- A Frequent to occur
- B Likely to occur immediately
- C Occasionally will occur in time.
- D Seldom may occur in time
- E Unlikely to occur

**Hazard**

**Severity**

**Mishap Probability Rating**

	A	B	C	D	E
I	1	1	2	2	3
II	1	2	2	3	4
III	2	3	<b>3</b>	4	4
IV	3	4	4	4	4

**Risk Assessment Code (RAC)**

- 1 = Catastrophic
- 2 = Critical
- 3 = Moderate**
- 4 = Negligible

(Calculation Example: III + C = RAC 3 = Moderate Assessment)

Note: Administrative processes can be assessed a RAC 1 if potential exists for loss of assets, PPI, or resources.  
Most processes with limited internal controls will be RAC 3 and RAC 4 with controls.

**Step 3. Risk Decisions:**

a. Have risks been prioritized and internal controls selected to reduce process risks?	[ ]	[ ]	[ ]
b. Do selected internal controls provide benefits that outweigh risks?	[ ]	[ ]	[ ]
c. If risk outweighs benefit, does the process warrant reporting to higher authority as a material weakness? Discuss issues on page 2.	[ ]	[ ]	[ ]

**OPERATIONAL RISK MANAGEMENT (ORM) ASSESSMENT**  
**(OPNAVINST 3500.39D FIVE-STEP PROCESS)**

**Step 4. Internal Control Implementation** (more than one type internal control may apply):      **Yes**    **No**    **N/A**

a. Have “Engineering Controls” been implemented that reduce risks by design, material selection, or substitution when technically or economically feasible?      [   ] [   ] [   ]

b. Have “administrative controls” been implemented that reduce risks through specific administrative actions, such as:

    (1) Providing suitable warnings, markings, placards, signs, and notices?      [   ] [   ] [   ]

    (2) Establishing written policies, programs, instructions, and standard operating procedures?      [   ] [   ] [   ]

    (3) Training personnel to recognize hazards and take appropriate precautionary measures?      [   ] [   ] [   ]

    (4) Limiting the exposure to a hazard (either by reducing the number of personnel/assets or the length of time they are exposed)?      [   ] [   ] [   ]

c. Is there use of “personal protective equipment” (serves as a barrier between personnel and a hazard and should be used when other controls do not reduce the hazard to an acceptable level)?      [   ] [   ] [   ]

**Step 5. Supervision.** Is there periodic supervisory oversight of internal controls for the work process?      [   ] [   ] [   ]

**ORM Assessment conducted by:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**ORM Assessment reviewed by:** \_\_\_\_\_ **Date:** \_\_\_\_\_

(Department Head)

**ORM Assessment conducted by:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**ORM Assessment reviewed by:** \_\_\_\_\_ **Date:** \_\_\_\_\_

(Department Head)

**ORM Assessment conducted by:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**ORM Assessment reviewed by:** \_\_\_\_\_ **Date:** \_\_\_\_\_

(Department Head)

(Additional signature blocks are provided to permit signatures in subsequent years.)

Issues/Comments

Actions (Include estimated completion dates.)

**OPERATIONAL RISK MANAGEMENT (ORM) ASSESSMENT  
WORK PROCESS HAZARDS**

**Command/Department:**

**Work Process/Assessable Unit Title:**

Document applicable risks and causes on the above work process. List hazards in order of severity. Refer to page 1 of ORM Assessment form for matrices to determine Hazard Severity Category, Mishap Probability Sub-Category, and Risk Assessment Code (RAC).

1. Hazard:

a. Cause:

b. Hazard Severity Category:

c. Mishap Probability Sub-Category:

d. RAC:

2. Hazard:

a. Cause:

b. Hazard Severity Category:

c. Mishap Probability Sub-Category:

d. RAC:

3. Hazard:

a. Cause:

b. Hazard Severity Category:

c. Mishap Probability Sub-Category:

d. RAC:



<b>INTERNAL CONTROL SYSTEM TEST</b>							
<b>1. Command/Department:</b>							
<b>2. Work Process/Assessable Unit Title:</b>							
<b>3. Process is linked to what NSTC domain strategic goal</b>	<p><b>Lines of Effort/Goal 1: <u>Build Basic Skills</u></b> Produce physically fit warfighters proficient at basic damage control, firefighting, watch standing, navigation, and seamanship.</p> <p><b>Lines of Effort/Goal 2: <u>Prepare for the Future</u></b> Understand current and emerging Fleet requirements to produce Sailors ready to deploy.</p> <p><b>Lines of Effort/Goal 3: <u>Instill Core Attributes</u></b> Build the foundation of our Sailors' professional identity by instilling integrity, accountability, initiative, and toughness.</p> <p><b>Lines of Effort/Goal 4: <u>Promote Citizenship</u></b> Instill values of citizenship, service to the nation, personal responsibility, and a Sense of accomplishment.</p> <p><b>Guiding Principles/Goal 5: <u>Ensure Effective Curricula</u></b> Ensure the effectiveness and relevance of accession training curricula. Continuously monitor internal activities/programs, eliminating, modifying, or shifting, as appropriate, to attain desired training outcomes.</p> <p><b>Guiding Principles/Goal 6: <u>Build a Standards Based Organization</u></b> Continuously employ standards for character and professional competencies. Students will demonstrate required standards before progressing to the next phase of training. Measure and strive to enhance Fleet readiness.</p> <p><b>Guiding Principles/Goal 7: <u>Improve Production Management</u></b> Utilize technology and process refinement to improve accessions training operations. Seek to improve data accuracy, increase data velocity, lessen duplication, and reduce administrative costs and waste.</p> <p><b>Guiding Principles/Goal 8: <u>Enhance Collaboration and Partnership</u></b> Engage internal and external partners to facilitate better knowledge transfer, integration of best practices, and improved use of resources.</p> <p><b>Guiding Principles/Goal 9: <u>Promote Stewardship</u></b> Actively manage, allocate, and monitor our resources to ensure that they are effectively and appropriately utilized to serve the Navy and our nation.</p>						
<b>4. Does the process include Privacy Act Information?</b>	<table style="width: 100%; border: none;"> <tr> <td style="width: 80%;"></td> <td style="text-align: center;"><b>Yes</b></td> <td style="text-align: center;"><b>No</b></td> </tr> <tr> <td colspan="3" style="padding-top: 5px;">If yes, the Operational Risk Management (ORM) Assessment, shall include Personal Identifiable Information (PII) as a process risk (hazard).</td> </tr> </table>		<b>Yes</b>	<b>No</b>	If yes, the Operational Risk Management (ORM) Assessment, shall include Personal Identifiable Information (PII) as a process risk (hazard).		
	<b>Yes</b>	<b>No</b>					
If yes, the Operational Risk Management (ORM) Assessment, shall include Personal Identifiable Information (PII) as a process risk (hazard).							
<b>5. Identify key metrics used to measure performance. Annotate the flowchart to show their location(s).</b>	<p>(Normally a work process will have two to three key metrics, internal controls, which show the level of progress towards achieving intended results.)</p>						

<b>INTERNAL CONTROL SYSTEM TEST</b>		
<b>6. Test the key metrics. Are they reliable indicators?</b>	<b>Yes</b>	<b>No</b>
(If no, explain remedies in Item 9 below.)		
<p><b>7. Way(s) internal controls tested:</b> (Perform and check one or more blocks.)</p> <p style="margin-left: 20px;">Performed a physical inspection or walk-through of the process.</p> <p style="margin-left: 20px;">Reviewed documents.</p> <p style="margin-left: 20px;">Interviewed cognizant managers.</p> <p style="margin-left: 20px;">Evaluated data.</p>		
<b>8. Test Results</b>	<b>Yes</b>	<b>No</b>
<p>a. Does the flowchart accurately reflect the process?</p> <p>b. Is the process producing intended results?</p> <p>c. Are protections against fraud, waste, abuse, and Mismanagement practices adequate?</p> <p>d. Are laws and regulations followed?</p> <p>e. Is the process effective, efficient, and economical?</p> <p>f. Has an Operational Risk Management (ORM) Assessment been performed for each assessable unit process?</p> <p style="margin-left: 20px;">(1) If "YES", attach a completed ORM assessment. If "NO", explain why in Item 9 below.</p> <p style="margin-left: 20px;">(2) For the ORM Assessment, what is the overall Risk Assessment Code (RAC)? (check one)</p> <p style="margin-left: 40px;">1 = Critical 2 = Serious 3 = Moderate 4 = Minor 5 = Negligible</p> <p>g. Are the internal controls acceptable for reducing risks?</p>		
<b>2</b>		

**INTERNAL CONTROL SYSTEM TEST**

9. For any "NO" response above, indicate below if any action is planned and expected completion date.

10. Does this process warrant reporting to higher authority as a material weakness? **Yes** **No**  
(If yes, briefly discuss why.)

**Attested to by:**

**Date:**

(Additional signature blocks are provided to permit signatures in subsequent years.)

**Sample Managers' Internal Control Certification Statement**

5200  
Code  
Date

From: Responsible Official  
To: Commander, Naval Service Training Command  
Via: Inspector General, Naval Service Training Command

Subj: MANAGERS' INTERNAL CONTROL CERTIFICATION STATEMENT AS OF  
30 SEPTEMBER 2024

Ref: (a) NETCINST 5200.1A  
(b) NSTCNOTE 5200

Encl: (1) Significant Accomplishments, **if applicable**  
(2) Material Weaknesses, **if applicable**

1. I have taken the necessary measures to ensure that the system of internal controls in effect during the period 1 October 2023 to 30 September 2024 has been evaluated per references (a) and (b).

2. **(Select one of the following assurance statements:)**

I am able to provide an unmodified certification statement that I have reasonable assurance management internal controls are in place and operating effectively. No material weaknesses or significant deficiencies are reported. The objectives of the Federal Managers' Financial Integrity Act were achieved. **(or)**

I am able to provide a modified certification statement that I have reasonable assurance management internal controls are in place and operating effectively, except for the material weaknesses/significant deficiencies discussed in enclosure (2). Overall, the objectives of the Federal Managers' Financial Integrity Act were achieved. **(or)**

I am providing a No Assurance certification statement that I do not have reasonable assurance management internal controls are in place and working effectively, as discussed in enclosure (1). However, remedial action is being taken to ensure compliance with the objectives of the Federal Managers' Financial Integrity Act.

3. Information to support the Certification Statement was derived from process analyses, audits, inspections, investigations, and other management information such as knowledge gained from daily operations of programs and functions. This Certification Statement captures information from 1 October 2023 to the signature date of this memorandum. An amendment to this

Enclosure (7)

Certification Statement will be submitted if information or events significant enough to impact the level of assurance stated in this memorandum is identified between this memorandum signature date and 30 September 2024 or an amendment after submission will be included in the following year's Certificate Statement.

Signed by Responsible Official  
No By direction

**SIGNIFICANT ACCOMPLISHMENTS****1. General Information**

a. Command/Activity:

UIC:

b. Department:

c. Functional Category:

d. Work Process/Assessable Unit:

e. Point of Contact:

**2. Significant Accomplishments**

Discuss major steps taken to promote a control-conscious environment within the activity, or measures to strengthen internal controls. Define the requirement, if applicable, with the accomplishment in quantifiable detail:

<b>MATERIAL WEAKNESS/SIGNIFICANT DEFICIENCY OR STATUS OF CORRECTIVE ACTIONS</b> ----- <b>COMPLETE ONLY APPLICABLE AREAS</b>	
<b>1. General Information</b>	
a. Command/Activity:	UIC:
b. Department:	
c. Functional Category:	
d. Work Process/Assessable Unit:	
e. Point of Contact:	
<b>2. Material Weakness/Significant Deficiency or Status of Corrective Actions</b>	
a. Title of material weakness/significant deficiency:	
b. Description of material weakness/significant deficiency and impact on operations:	
c. Source employed to identify material weakness/significant deficiency (process analysis, audit finding, inspection, investigation or management studies):	
(1) Source:	
(2) Date Identified:	
d. Corrective Actions: (Check applicable box, detail actions and milestones below.) <input type="checkbox"/> Completed (Date: _____)	
<input type="checkbox"/> Pending (Est. Completion Date: _____)	
<input type="checkbox"/> Not correctable at this level (Note who must correct and why.)	
e. Explain the methodology that will be (has been) employed to certify the effectiveness of the corrective actions:	
Estimated Date of Certification:	

## **THE CRITERIA USED FOR SELECTING SIGNIFICANT ACCOMPLISHMENTS AND MATERIAL WEAKNESSES FOR INCLUSION IN THE MICP SOA**

### **Significant Accomplishment – Criteria. (Use Form 5200/3)**

Include management process improvements that can be linked to an internal control improvement and have resulted in: (must be explained as measurable and quantifiable; how linked to internal controls)

- (1) Significant cost avoidance
- (2) Innovative methods of increasing throughput and/or productivity
- (3) Other innovative management practices that significantly improved a process.

### **Material Weakness - Criteria. (Use Form 5200/4)**

A material weakness exists when a condition results in a relatively high risk of loss, errors or irregularities in relation to the assets or resources being managed. Professional judgment, based on applied common sense, must be used when determining materiality. **“Material to the DON” is the final determination of whether a material weakness is to be included in the Annual DON SOA Report.**

The below factors shall be considered in determining the existence of a reportable material weakness:

- (1) Actual or potential loss of resources (e.g. property, inventory, personnel, etc.)
- (2) Actual or potential loss of sensitive resources (e.g. drugs, materials, munitions (weapons and ammunition), etc.)
- (3) Current or probable Congressional or media interest (adverse publicity)
- (4) Impaired fulfillment of mission
- (5) Unreliable information causing unsound management decisions
- (6) Violations of statutory requirements
- (7) Systemic deficiencies regardless of the magnitude of resources involved
- (8) Magnitude of funds, property, or other resources involved
- (9) Diminished credibility or reputation of management
- (10) Deprived the public of needed Government services