



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

Canc frp: Feb 17

NSTCNOTE 5200
N00
10 Feb 16

NSTC NOTICE 5200

From: Commander, Naval Service Training Command

Subj: NAVAL SERVICE TRAINING COMMAND MANAGERS' INTERNAL CONTROL PROGRAM

Ref: (a) SECNAVINST 5200.35F
(b) Federal Manager's Financial Integrity Act of 1982
(c) NETCINST 5200.1
(d) NETCINST 5040.1B
(e) NSTCINST 5040.1D
(f) NETCNOTE 5200

Encl: (1) [NSTC DOMAIN MICP Inventory of Assessable Units](#)
(2) [Functional Categories with Universal Processes](#)
(3) [Sample MICP Flowchart](#)
(4) [Sample Operational Risk Management Assessment](#)
(5) [NSTC 2015/6 Strategic Themes-Goals](#)
(6) [Sample Internal Control System Test](#)
(7) [Sample MIC Certification Statement](#)
(8) [Sample Major Accomplishments](#)
(9) [Sample Material Weaknesses or Status of Corrective Action](#)
(10) [Criteria for Major Accomplishments, Material Weaknesses, and Status of Corrective Actions](#)

1. Purpose. Naval Service Training Command (NSTC) Managers' Internal Control Program (MICP) notice reflects the requirements of references (a) through (f). This notice establishes reporting requirements and due dates for the period 1 July 2015 to 30 June 2016 for all NSTC domain activities.

2. Cancellation. NSTCNOTE 5200 of 17 Feb 15.

3. Background. SECNAV requires compliance with the Federal Managers' Financial Integrity Act (FMFIA) (Public Law 97-255).

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4. Discussion

a. The Department of the Navy (DON) MICP is the Navy's method for demonstrating and documenting compliance with reference (b). SECNAV expects all managers to be active participants. 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.

b. The MICP stresses using a variety of existing methods to gauge the effectiveness, efficiency, and economy of work processes. A process 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/controls and various work-related steps.

c. Key metrics are defined as those that quantify critical stages. Embedded safeguard metrics measure efficiency, effectiveness and economy. Metrics measured earlier in the process 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 audit/area visit/assist visit purposes. These efforts establish a perpetual state of readiness for any type of inspection. It also provides the basis for performing process self-assessments.

5. Requirements for the period 1 July 2015 to 30 June 2016. To demonstrate compliance with reference (b), commands must complete the following:

a. Evaluate the Assessable Unit Inventory/Work Process

(1) The inventory must reflect processes that are actually performed within the command. Compare the inventory shown in enclosure (1), to the functional categories shown in enclosure (2). Ensure the inventory reflects mission critical, as well as compliance, associated support and universal processes. Each Naval Reserve Officers Training Corps (NROTC) Unit will use pages 9 and 10 of enclosure (1) as a template to annotate its applicable information.

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(2) When evaluating processes, determine if the process is susceptible to potential internal control breakdowns in protecting Information Assurance and Personally Identifiable Information. Due to high visibility, pay close attention to: audit readiness of processes requiring financial accountability, contract management, Government Commercial Purchase Card (GCPC) Program, Government Travel Charge Card (GTCC) Program, Defense Travel System (DTS), civilian Time and Attendance (T&A), Network Security, Urinalysis Program, Privacy Act Program, Command Managed Equal Opportunity (CMEQ) Program, Sexual Assault Prevention and Response (SAPR) Program, Public Affairs Office (PAO) Programs, telework management, Emergency Action Planning (EAP), Anti-Terrorism Force Planning (ATFP), Operations/Physical and Personnel Security, Suicide Prevention Program, Voting Assistance Program, and safety issues associated with a process.

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

- (a) A title outlining the process.
- (b) A purpose to include the primary governing regulation.
- (c) A process office code to include contact telephone number.
- (d) A current date annotating reviewed or revised.
- (e) Two or three key metrics are required for each process.

(4) Enclosure (3) provides a sample method for developing a flowchart. Electronically submit new or revised flowcharts to judith.goldsmith1@navy.mil not later than (NLT) 7 April 2016. NROTC Units are not required to forward flowcharts, but they shall maintain them in-house.

b. Operational Risk Management (ORM) Assessment, NSTC 2015/6 Strategic Themes - Goals, Internal Control System Test (ICST), and Key Metrics

(1) Ensure an ORM Assessment has been performed for each process. Safety and administrative hazards or risks for each

process are to be identified and assigned a Risk Assessment Code (RAC). Use enclosure (4), to document the test and electronically submit it to judith.goldsmith1@navy.mil NLT 14 April 2016. NROTC Units are not required to forward the ORM Assessments, but they shall maintain them in-house.

(2) Ensure each process is examined for efficiency, effectiveness, and economy. Each process must be linked to one NSTC 2015/6 Strategic Theme - Goal. Enclosure (5), NSTC 2015/6 Strategic Themes - Goals, lists the four strategic themes - goals to be documented on enclosure (6), block 3. Additionally, identify the two or three key metrics used on the flowchart to measure performance in block five. Electronically submit ICSTs to judith.goldsmith1@navy.mil NLT 14 April 2016. NROTC Units are not required to forward the ICSTs, but they shall maintain them in-house.

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

(1) To demonstrate the existence of a clear audit trail of accountability at the NSTC domain level, each program manager and subordinate commands shall electronically submit a signed annual certification statement to Commander, NSTC (CNSTC) via the NSTC Inspector General (IG) Office, NLT 21 April 2016. Enclosure (7) is a Sample MICP Certification Statement. NSTC IG will then forward a consolidated statement for CNSTC's signature to Naval Education and Training Command (NETC) via NETC IG (Code N00G) for compilation. The statement will be forwarded electronically, NLT 29 April 2016.

(2) When necessary, enclosure (8) will be used to document Major Accomplishments or enclosure (9) to document a Material Weakness 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 Major Accomplishments, Material Weaknesses, and Status of Corrective Actions for inclusion in the MICP SOA to NETC.

6. Forms. For NSTC, RTC, and OTC electronic copies of all forms are available on the NSTC shared drive under S:/GRLK/NSTC/MICP 2016/FORMS.

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

A handwritten signature in black ink, appearing to read 'SCE' followed by a stylized flourish.

S. C. EVANS

Distribution: (NSTCINST 5216.1B)
List 3 & 4

FY-2016 NSTC DOMAIN MICP INVENTORY OF ASSESSABLE UNITS

Naval Service Training Command (NSTC)								
Code	Office Name	Process	Process Owner	POC & Phone	2016 Flow Chart	2016 ICST/ORM	2016 Cert Stmt	Comments
	Special Assistants							
UPC		Urinalysis Program	LT Daniel Golde	LT Golde, (847) 688-2685, X144				
VAO		Voting Assistance Program	LT Sean Brophy	LT Brophy (847) 688-2201, X139				
CMEO		Command Managed Equal Opportunity (CMEO)/EO	LSC DeShawn Wilson	LSC Wilson, (847) 688-3569, X246				
JAG		Command Investigations (JAGMAN)	LCDR Matt Wooten, JAGC	LCDR Wooten, (847) 688-7600, X463				
CFL		Military Physical Readiness Training	LT Tara Smallidge	LT Smallidge (847) 688-7600, X343				
SAPR		Sexual Assault Prevention and Response (SAPR) (5)	LT Tara Smallidge	LT Smallidge, (847) 688-7600, X343				
DAPA		Drug and Alcohol Program (DAPA)	CDR Scott Norton	CDR Norton, (847) 688-6488, X191				
CCC		General Military Training (GMT)	LT Daniel Golde	LT Golde (847) 688-2685, X144				
CHAP		Suicide Prevention Program	CDR Beth Stallinga	CDR Stallinga, (847) 688-2609				
EAP		Emergency Action Planning (EAP)	LT Will Medick	LT Medick, (847) 688-7600, X118				
ATP		Anti-Terrorism Force Planning (ATFP)	LT Will Medick	LT Medick, (847) 688-7600, X118				
N004	Flag Admin	Correspondence	Mr. Michael Prelich	Mr. Prelich, (847) 688-7828				
		Congressionals	Mr. Michael Prelich	Mr. Prelich				
		Instructions	Mr. Michael Prelich	Mr. Prelich				
		Awards	Mr. Michael Prelich	Mr. Prelich				
		Mail Distribution	Mr. Michael Prelich	Mr. Prelich				
	Security	Personnel Security	Mr. Michael Prelich	Mr. Prelich				

FY-2016 NSTC DOMAIN MICP INVENTORY OF ASSESSABLE UNITS

Code	Office Name	Process	Process Owner	POC & Phone	2016 Flow Chart	2016 ICST/ORM	2016 Cert Stmt	Comments
N003	Protocol	RTC Graduation Planning (Visitors)	Mr. Sean Ozolins	Mr. Ozolins, (847) 688-7853				
		VIP Tours	Mr. Sean Ozolins	Mr. Ozolins				
		Ceremonial Protocol Guidance	Mr. Sean Ozolins	Mr. Ozolins				
		Social Event Planning	Mr. Sean Ozolins	Mr. Ozolins				
N1	Manpower	Civilian Monetary Awards (2)	Ms. Carrie Long	Ms. LuAnn Whittington, (847) 688-2682, X199				
		Civilian Personnel Actions (2)	Ms. Carrie Long	Ms. Whittington				
N4	Logistics	Government Commercial Purchase Card (GCPC) Program/Supply Management	Mr. Jerry Long	Mr. Bruce Butler, (847) 688-4141, X2				
		Telecommunications	Mr. Jerry Long	Mr. Butler				
		Property Management	Mr. Jerry Long	Mr. Butler				
		Support Agreement Program (SAP)	Mr. Jerry Long	Ms. Kleinschmidt, (847) 688-5855, X1				
N5	Strategy and Analysis	Research Collaboration w/Non-govt Entities	Mr. John Drake	Mr. John Drake 847-688-4483, X1				
		Learning Intervention Evaluation	Mr. John Drake	Mr. Drake				
		Technology Implementation Plan	Mr. John Drake	Mr. Drake				
N6	Information Technology	Information Assurance (4)	Mr. David Coles	Mr. Waupoose, (847) 688-3456, X301				
N7	Training	Fleet Requirement Implementation	LCDR Michael Keppen	Mr. Don Gunter 847-688-7600, X163				
		Curriculum Management	LCDR Michael Keppen	Mr. Gunter				

FY-2016 NSTC DOMAIN MICP INVENTORY OF ASSESSABLE UNITS

Code	Office Name	Process	Process Owner	POC & Phone	2016 Flow Chart	2016 ICST/ORM	2016 Cert Stmt	Comments
N8	Comptroller	Accounting - Labor Processing	Ms. Anne Hemingway	Ms. Colleen Lopez, (847) 688-6808, X414				
		Accounting – Transactions	Ms. Anne Hemingway	Ms. Lopez				
		Civilian Timekeeping	Ms. Anne Hemingway	Ms. Lopez				
		Budget Formulation	Ms. Anne Hemingway	Ms. Pam Madden (847) 688-6808, X175				
		Budget Execution (3)	Ms. Anne Hemingway	Ms. Kimberly McCollum (847) 688-5409, X228				
		Admin. Control of Travel	Ms. Anne Hemingway	Ms. Lisa Rucker (847) 688-3373, X416				
		Government Travel Charge Card (GTCC) Program (4)	Ms. Anne Hemingway	Ms. Rucker				
		Admin. Control of Premium Travel	Ms. Anne Hemingway	Ms. Rucker				
IG	Inspector General	Hotline Complaints (HLC) Program	Ms. Judith Goldsmith	Mr. Kevin DuBose, (847) 688-2286				
		Managers' Internal Control Program (MICP)	Ms. Judith Goldsmith	Mr. DuBose				
		Command Evaluation (CE) Program	Ms. Judith Goldsmith	Mr. DuBose				
		Assist Visit Program (AVP)	Ms. Judith Goldsmith	Mr. DuBose				
OGC	Office of General Counsel	Ethics-OGE 450 Review	Mr. John Matuszak	Mr. Kevin King, (847) 688-5614				
		FOIA/Request for Privacy Act Information	Mr. John Matuszak	Mr. King				
		Privacy Act	Mr. John Matuszak	Mr. King				

FY-2016 NSTC DOMAIN MICP INVENTORY OF ASSESSABLE UNITS

Code	Office Name	Process	Process Owner	POC & Phone	2016 Flow Chart	2016 ICST/ORM	2016 Cert Stmt	Comments
PAO	Public Affairs Office	Media Relations	LT Sean Brophy	Mr. Michael Miller (847) 688-2201, X195				
		Community Relations	LT Sean Brophy	Mr. Miller				
		Internal Information	LT Sean Brophy	Mr. Miller				
		Press Releases	LT Sean Brophy	Mr. Miller				
		Maintain Web Site	LT Sean Brophy	Mr. Miller				
CD	Citizenship Development	Curriculum Management	Dr. J. D. Smith	Ms. Teresa Casey, (850) 452-9507				
		Integrated Logistics Support	Dr. J. D. Smith	Ms. Casey				
		Personnel Management	Dr. J. D. Smith	Ms. Casey				
OD	Officer Development	Program Management	CAPT Richard Wood	Mr. Mark Gough, (850) 452-4983				
		Operation Support	CDR Doug Johnson	Ms. Marjorie McIntyre, (850) 452-4973				
		Selection & Placement-Nuc Opt (incl STA-21)	CAPT Curtis Duncan	LT Mark Dress, (850) 452-7104				
		Nuclear Summer Cruise	CAPT Curtis Duncan	LT Amber Cowan, (850) 452-4050				
		NROTC Selection & Placement (2)	Ms. Cathy Kempf	Mr. Tom Glazer, (850) 452-2343				
		STA-21 Selection & Placement	Ms. Cathy Kempf	Mr. Glazer				
		Curriculum Management	CDR Douglas Adkisson	Ms. Michelle Rea (850) 452-9556				
		Summer Training	CDR Douglas Adkisson	LT Nathan Furr, (850) 452-9569				
		Student Operations	LCDR Brendon O'Brien	LCDR O'Brien (850) 452-4962				
		Unit Operations	CDR Doug Johnson	Ms. McIntyre, (850) 452-4973				
		Conferences	CDR Doug Johnson	Ms. McIntyre				
		Promotion of and Education on Naval Accessions	Ms. Cathy Kempf	Mr. Glazer				

FY-2016 NSTC DOMAIN MICP INVENTORY OF ASSESSABLE UNITS

Officer Training Command (OTC)								
Code	Office Name	Process	Process Owner	POC & Phone	2016 Flow Chart	2016 ICST/ ORM	2016 Cert Stmt	Comments
OTC		Procurement						
		Government Commercial Purchase Card (GCPC) Program	LT James Dickerson	LT Dickerson, (401) 841-7954				
		Government Travel Charge Card (GTCC) Program	Ms. Ann Christhlf	Ms. Christhlf, (401) 841-6630				
		Property Management						
		Minor Property	Mr. Dan Podesta	Mr. Podesta, (401) 841-1197				
		Communications/Security/Intelligence						
		Telephone / Cell Phone Services & Usage	Mr. Kenny Lee	Mr. Lee, (401) 841-2919				
		Information Management						
		Network Security	Mr. Tony Riley	Mr. Riley, (401) 841-7930				
		Information Assurance	Mr. Tony Riley	Mr. Riley, (401) 841-7930				
		Personnel and/or Organization Management						
		Anti-Terrorism Force Planning (ATFP)	LT Jeremy Ball	LT Ball, (401) 841-2017				
		Command Managed Equal Opportunity (CMEQ) Program	DCC Nathaniel Williams	DCC Williams, (401) 841-7404				
		Curriculum Development / Management / Control / Feedback	Ms. Nicole Gray	Ms. Gray, (401) 841-6996				
		Drug & Alcohol Programs (DAPA)	ETC Bryan Myers	ETC Myers, (401) 841-7955				
		Emergency Action Planning (EAP)	LT Santiago Abadam	LT Abadam, (401) 841-1849				
		Navy / General Military Training (GMT)	CWO4 Jim Chianese	CWO4 Chianese, (401) 841-3515				
		Instructor Certification / Evaluation	Ms. Gloria Shafae-Moghadam	Ms.Shafae-Moghadam, (401) 841-1951				
		Master Training Specialist (MTS) Program	LT Ryan Decker	LT Decker, (401) 841-6891				

FY-2016 NSTC DOMAIN MICP INVENTORY OF ASSESSABLE UNITS

Code	Office Name	Process	Process Owner	POC & Phone	2016 Flow Chart	2016 ICST/ORM	2016 Cert Stmt	Comments
		Military Awards	CWO4 James Chianesa	CWO4 Chianesa, (401) 841-3515				
		Quota Control / Management	Ms. Mary Grota	Ms. Grota, (401) 841-2170				
		Security Clearances	CWO4 Donald Lemcool	CWO4 Lemcool, (401) 841-1716				
		Sexual Assault Prevention & Response (SAPR) Program	ITC Rebecca Wisner	ITC Wisner, (401) 841-1849				
		Student Management (SCD)	LT Ryan Decker	LT Decker, (401) 841-6891				
		Comptroller/Resource Management						
		Budget Execution / Formulation	Mr. Kenny Lee	Mr. Lee, (401) 841-2919				
		Civilian Timekeeping	Ms. Barbara Haynes	Ms. Haynes, (401) 841-4316				
		Support Services						
		Command Evaluation (CE) Program	NCCS Ryan Marlatt	NCCS Marlatt, (401) 841-3902				
		Mail Processing	Mr. Dan Podesta	Mr. Podesta, (401) 841-1197				
		Managers' Internal Control Program (MICP)	LTJG Jacob Menchhofer	LTJG Menchhofer, (401) 841-2779				
		Military Justice	LT Todd Kniffen	LT Kniffen, (401) 841-2007				
		Urinalysis Program	GSCS Cesar Sierra	GSCS Sierra, (401) 841-7944				
		Suicide Prevention Program	LT Trenton Long	LT Long, (401) 841-1174				
								Total: 27 Processes

FY-2016 NSTC DOMAIN MICP INVENTORY OF ASSESSABLE UNITS

Recruit Training Command (RTC)								
Code	Office Name	Process	Process Owner	POC & Phone	2016 Flow Chart	2016 ICST/ORM	2016 Cert Stmt	Comments
RTC	RTC	Awards (ADMIN)	Mr. Glenn Mowder	LT Tim Woyma, (847) 688-7444				
		Military Leave Accounting (ADMIN)	Mr. Glenn Mowder	LT Woyma				
		PT Program (RDC School and Staff) (2)	LT Christopher Jackson	LT Woyma				
		Curriculum Development (CISD/CIED)	LT Rick Jarchow	LT Woyma				
		Test Change Implementation (CISD/CIED)	AECS Brian Rubottom	LT Woyma				
		Instructor of the Year Program (MTD/CISD)	CSCS Jessica Nettles	LT Woyma				
		Emergency Action Planning (EAP)	LT Taner Eren	LT Woyma				
		Anti-Terrorism Force Planning (ATFP)	LT Taner Eren	LT Woyma				
		Personnel Security	LT Taner Eren	LT Woyma				
		Physical Security Checks-Bldg (Security)	LT Taner Eren	LT Woyma				
		Key & Lock Control Prog. (Security)	LT Taner Eren	LT Woyma				
		Ordnance & Weapons Mngt (Live Fire)	CWO3 Gary Bruns	LT Woyma				
		Arms Control & Security (Live Fire)	CWO3 Gary Bruns	LT Woyma				
		Weapons Instructor Qualification (Live Fire)	CWO3 Gary Bruns	LT Woyma				
		Weapons JQR (Live Fire)	CWO3 Gary Bruns	LT Woyma				
		Data Collection of Injury/Illness Rpt. (Safety) 3	Mr. Vic Hernandez	LT Woyma				
		Recruit ADMIN Separation (Legal)	AWFC Robert Ziegler	LT Woyma				
		Warehouse Ops (Supply)	Mr. Justin Durant	LT Woyma				
		DTS/TAD/TDY Travel Mngt. (Supply) (2)	Mr. Justin Durant	LT Woyma				
		GCPC (Sup) (2)	Mr. Justin Durant	LT Woyma				
		Personnel (Minor) PPTY Mngt. (Supply) (2)	Mr. Justin Durant	LT Woyma				
		GTCC (Supply) (2)	Mr. Justin Durant	LT Woyma				
		Budget Formulation & Execution (Supply) (2)	Mr. Justin Durant	LT Woyma				
		Service Request/Trouble Call Process (ADP)	Mr. Jeff Morris	LT Woyma				
		Student Management (SCD) (4)	GSCM Thomas Li	LT Woyma				

FY-2016 NSTC DOMAIN MICP INVENTORY OF ASSESSABLE UNITS

Code	Office Name	Process	Process Owner	POC & Phone	2016 Flow Chart	2016 ICST/ORM	2016 Cert Stmt	Comments
		Master Training Specialist Program (MTS)	CSCS Jessica Nettles	LT Woyma				
		Telephone Billing & Collection	Mr. Justin Durant	LT Woyma				
		Telephone Service & Usage	Mr. Justin Durant	LT Woyma				
		Urinalysis Testing	MAC Damon Walthall	LT Woyma				
		GMT Mandatory Training Requirements	LT Rich Jarchow	LT Woyma				
		Suicide Prevention Program	CDR Beth Stallinga	LT Woyma				
		Command Evaluation (CE) Program	LT Timothy Woyma	LT Woyma				
		Foreign Language Screening / Testing	CTIC Susan Park	LT Woyma				
		Command Managed Equal Opportunity (CMEO)/EO	ADCS Dominick Wallace	LT Woyma				
		Sexual Assault Prevention & Response (SAPR)	YNCS James Jordan	LT Woyma				
		Drug & Alcohol Program Advisor (DAPA)	Mr. Peter Cianci	LT Woyma				
		Managers' Internal Control Program (MICP)	LT Timothy Woyma	LT Woyma				Total: 37 Processes

FY-2016 NSTC DOMAIN MICP INVENTORY OF ASSESSABLE UNITS

Naval Reserve Officers Training Corps Units (NROTCU)								
Code	Office Name	Process	Process Owner	POC & Phone	2016 Flow Chart	2016 ICST/ORM	2016 Cert Stmt	Comments
NROTCU	NROTCU							
		Performance Review Boards (PRB)						
		Command Evaluation (CE) Program						
		Managers' Internal Control Program (MICP)						
		Armory / Weapons / Small Arms Training						
		Sexual Assault Prevention and Response (SAPR)						
		Student Performance Files						
		Student Admin Files						
		Student Medical and Dental Records						
		Physical Readiness and Swim						
		Drug and Alcohol Program (DAPA)						
		Urinalysis Program						
		Instructor Requirements						
		New Student Orientation (NSO)						
		Website Management						
		Naval Science Course Materials						
		Non-Appropriated Funds - MWR						
		Cross-Enrollment Agreements						
		CMEO / EO						
		General Military Training (GMT)						

FY-2016 NSTC DOMAIN MICP INVENTORY OF ASSESSABLE UNITS

Code	Office Name	Process	Process Owner	POC & Phone	2016 Flow Chart	2016 ICST/ORM	2016 Cert Stmt	Comments
		Property Management Program						
		Privacy Act / PII						
		Budget Formulation & Execution (OMN)						
		Budget Formulation & Execution (MPN)						
		Government Commercial Purchase Card (GCPC) Program						
		Convenience Checks						
		Government Travel Charge Card (GTCC) Program						
		Defense Travel System (DTS)						
		Procurement, Receipt & Issuance						
		Civilian Time and Attendance (T&A)						
		Vehicle Management Program						
		Physical Security						
		Personnel Security Program						
		Student ID Cards						
								Total: 33 Processes

Functional Categories with Universal Processes (UP) Functional Category 03: Procurement

- (UP) Credit Cards: Government Commercial Purchase Card Program
- (UP) Credit Cards: Government Travel Charge Card Program

Functional Category 04: Contract Administration

- (UP) Monitoring Contractor's Performance and Inspection and Acceptance of Supplies and Services

Functional Category 05: Force Readiness

- Strategic Planning, Objectives and Metrics Management

Functional Category 06: Manufacturing, Maintenance and Repair

- Calibration Program
- Maintenance Management
- Training Devices

Functional Category 07: Supply Operations

- (UP) Inventory Management (including physical inventory)
- NROTC/NJROTC Training Material Inventory Management
- (UP) Supply Management (including material requisitioning, issue, and receipt)

Functional Category 08: Property Management

- Facilities Management

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

- Personnel Security Program
- Mishap Investigation and Reporting
- Ordnance and Weapons Management
- (UP) Telecommunications (including cell phones, pagers, blackberries, telephone billing and collections, and telephone services and usage)
- (UP) Physical Security
- Public Affairs Program

Functional Category 10: Information Technology

- ADP Equipment Inventory/Life Cycle Management
- (UP) Network Security/Information Assurance
- Information Technology (IT) Management
- Web-Site Management

Functional Category 11: Personnel and/or Organizational Management

- Academic Course Review (Formal Course Review)
- Academic Review Board
- (UP) Accreditation Program (including fiduciary process, liaison, policy, and management)
- Administrative Boards
- Alternative Dispute Resolution (ADR)
- Awards - Civilian/Military
- Civilian Performance Appraisal Process
- Civilian Position Management
- Telework Management
- (UP) Command Managed Equal Opportunity (CMEQ) - Military
- Curriculum Development, Maintenance Review, and Control
- Disaster Preparedness Program
- Emergency Action Planning (EAP)
- Anti-Terrorism Force Planning (ATFP)
- (UP) Curriculum Management (component commanders and Curriculum Control Authority)
- (UP) Drug/Alcohol Programs (DAPA) - Civilian & Military
- (UP) EEO/Sexual Harassment/SAPR
- Family Advocacy Program
- General Military Training (GMT)
- (UP) Instructor Certification / Evaluation / Utilization / Recognition
- (UP) Instructor of the Year Program
- Learning Strategies
- Manpower Control, Ceilings and Strength Rating (Officer, Enlisted and Civilians)
- (UP) Master Training Specialist Program
- Military EO Grievance Process
- (UP) Navy Military Training (NMT)
- (UP) Quota Control/Management
- Safety Inspections
- Security Clearance
- Sponsor Program
- Standards of Conduct - Civilian and Military
- (UP) Student Management (including attrition data and control, and planned versus actual student input)

- Training and Career Development
- (UP) Training Feedback/Liaison (Student Critiques)

Functional Category 12: Comptroller/Resource Management

- Accounting (including Contingent Liabilities and Adjustments to Obligations)
- (UP) Budget Execution
- (UP) Budget Formulation
- (UP) Civilian Time and Attendance
- Official Representation Funds
- Travel Process

Functional Category 13: Support Services

Subfunction A: Administrative Support

- Administrative Services (records management, filing, reports tracking, directives, mail, forms, etc.)
- (UP) Managers' Internal Control Program (MICP)
- (UP) Freedom of Information Act (FOIA)
- (UP) Privacy Act Program
- (UP) Voting Assistance Program
- Public Affairs Program (release, events, tours, visits, etc.)

Subfunction B: IG/Audit

- (UP) Audit Follow-up/Liaison
- (UP) Command Evaluation Program/Local Audit Function
- (UP) Command Inspection Program
- (UP) Investigations (i.e., Hotlines)

Subfunction C: Facilities and/or Base Maintenance

- Host/Tenant Relations

Subfunction D: Legal

- Administrative Separation
- Article 138, UCMJ/Article 1150 NAVREGS Complaints
- Courts Martial
- (UP) Urinalysis Program
- Financial Disclosure Reporting - civilian and military
- Judge Advocate General Manual (JAGMAN) Investigation
- Litigation (Civil case) Other Than Contract
- Nonjudicial Punishment (NJP)

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

Command Morale, Welfare and Recreation Program

- **Subfunction G: Religion**

Suicide Prevention Program

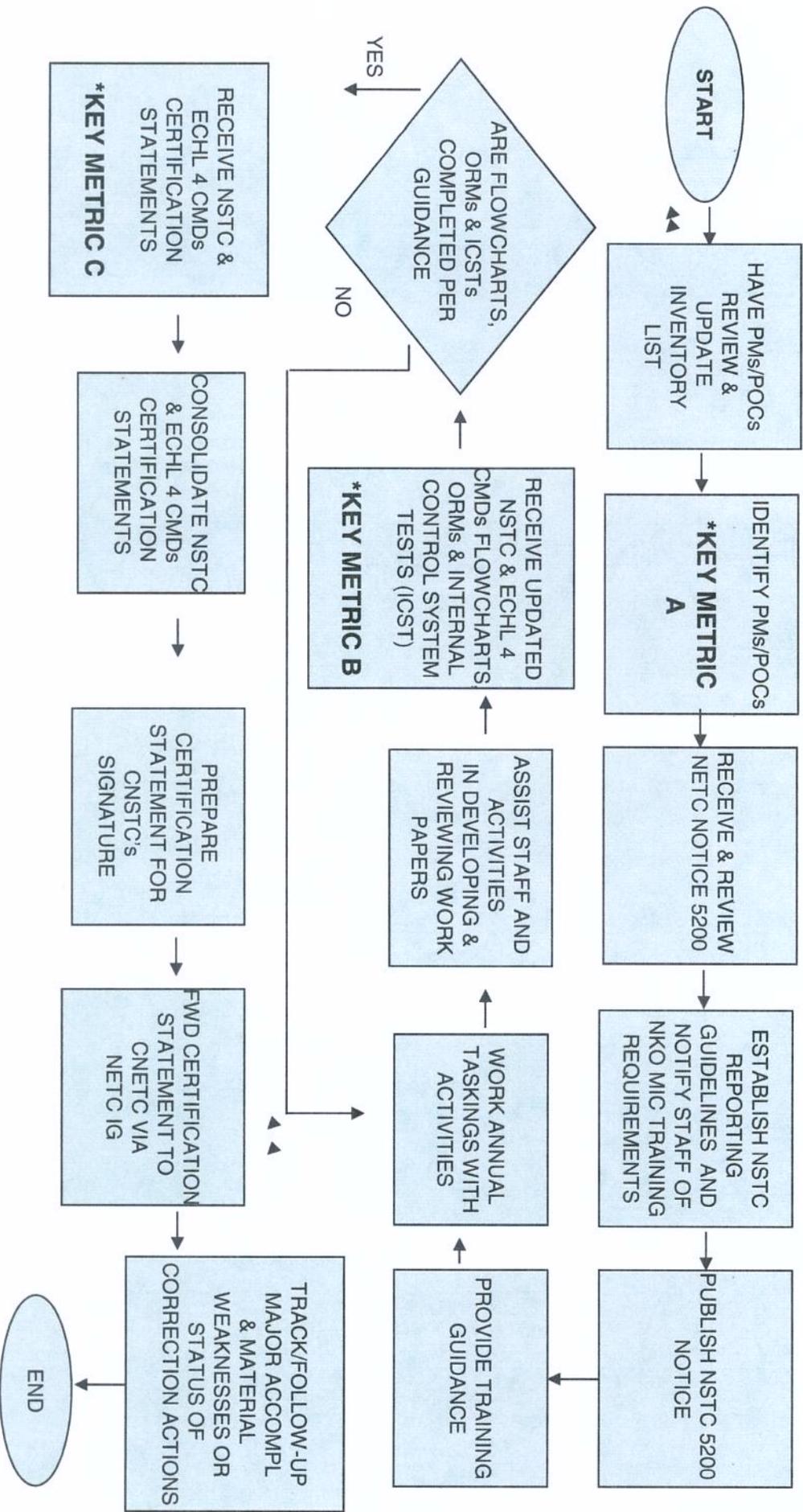
Managers' Internal Control Program (MICP)

Purpose: Process by which NSTC documents compliance with Manager's Financial Integrity Act (FMFIA) / NETCINST 5200.1
 Process Owner Code: NSTC IG, Phone: (847) 688-2258 (DSN 792)

Reviewed: February 2016

UNCLASSIFIED

*KEY METRIC



Enclosure (3)

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

Command/Department:

Work Process/Assessable Unit Title:

Step 1. Identify Hazards:	<u>Yes</u>	<u>No</u>	<u>N/A</u>
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, attach copy (format on page 3). If no, comment on page 2.	[]	[]	[]
c. <u>Are internal controls/safeguards in place for Personal Identifiable Information (PII)?</u>	[]	[]	[]

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, loss, or grave damage)
- II (severe injury, damage, or inefficiencies)
- III (minor injuries, damage, or inefficiencies)
- IV (minimal threat to personnel and property)

Mishap Probability Sub-Category Matrix:

- A (likely to occur immediately)
- B (probably will occur in time)
- C (may occur in time)
- D (unlikely to occur)

Hazard Severity

Mishap Probability Rating

	A	B	C	D
I	1	1	2	3
II	1	2	3	4
III	2	3	4	5
IV	3	4	5	5

Risk Assessment Code

- 1 = Critical
- 2 = Serious
- 3 = Moderate
- 4 = Minor
- 5 = Negligible

(Note: Hazard Severity + Mishap Probability Rating = Risk Assessment Code)

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 3500.39B FIVE-STEP PROCESS)

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

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NSTC 2015/6 Strategic Themes/Goals

Theme/Goal 1: Enable the Total Workforce

NSTC will develop a diverse workforce and will improve the capability of this workforce by promoting a culture that values the professional and personal development of its employees. NSTC will ensure its workforce possesses the skills and abilities needed to meet its current and future mission requirements while optimizing operational costs and efficiency.

Theme/Goal 2: Enhance Production Management

NSTC will enable linkages between all production partners, both internal and external, to drive sound decisions. Collecting and analyzing accurate, timely, and comprehensive information throughout the production cycle, NSTC will meet Officer and Enlisted production requirements, in quantity and quality.

Theme/Goal 3: Employ Innovative, Effective Learning Interventions

NSTC will identify the best learning strategies and training techniques to impart the desired Knowledge, Skills, and Abilities (KSAs). NSTC will consistently apply innovative, cost-effective learning concepts to stimulate Sailors, enhance Fleet readiness, and optimize operational performance.

Theme/Goal 4: Ensure Learning Verification

NSTC will identify and verify that all Sailors possess the right KSAs for assignment upon completion of accession training. NSTC will develop and capture metrics that allow us to quantitatively assess how well the organization is imparting desired KSAs to our Sailors. NSTC will combine these metrics with qualitative indicators from the Fleet and other downstream partners to understand the readiness levels of our Sailors. All feedback will be shared throughout NSTC and with our downstream partners to revise our training, as needed, and to maximize learning effectiveness throughout the pipeline.

INTERNAL CONTROL SYSTEM TEST

1. **Command/Department:**

2. **Work Process/Assessable Unit Title:**

3. **Process is linked to what command strategic goal or objective? Ensure to use NSTC 2015 Strategic Themes/Goals**

Theme/Goal 1: Enable the Total Workforce - NSTC will develop a diverse workforce and will improve the capability of this workforce by promoting a culture that values the professional and personal development of its employees. NSTC will ensure its workforce possesses the skills and abilities needed to meet its current and future mission requirements while optimizing operational costs and efficiency.

Theme/Goal 2: Enhance Production Management - NSTC will enable linkages between all production partners, both internal and external, to drive sound decisions. Collecting and analyzing accurate, timely, and comprehensive information throughout the production cycle, NSTC will meet Officer and Enlisted production requirements, in quantity and quality.

Theme/Goal 3: Employ Innovative, Effective Learning Interventions - NSTC will identify the best learning strategies and training techniques to impart the desired Knowledge, Skills, and Abilities (KSAs). NSTC will consistently apply innovative, cost-effective learning concepts to stimulate Sailors, enhance Fleet readiness, and optimize operational performance.

Theme/Goal 4: Ensure Learning Verification - NSTC will identify and verify that all Sailors possess the right KSAs for assignment upon completion of accession training. NSTC will develop and capture metrics that allow us to quantitatively assess how well the organization is imparting desired KSAs to our Sailors. NSTC will combine these metrics with qualitative indicators from the Fleet and other downstream partners to understand the readiness levels of our Sailors. All feedback will be shared throughout NSTC and with our downstream partners to revise our training, as needed, and to maximize learning effectiveness throughout the pipeline.

4. **Does the process include Privacy Act Information? Yes No.** If yes, the Operational Risk Management (ORM) Assessment, NETC 5200/2 Form, should include Protected Personal Information (PPI) as a process risk (hazard).

5. **Identify key metrics used to measure performance. Annotate the flowchart to show their location(s).** (Normally a work process will have two to three key metrics, internal controls, which show the level of progress towards achieving intended results.)

INTERNAL CONTROL SYSTEM TEST

(cont. of 5. Identify key metrics used to measure performance. Annotate the flowchart to show their location(s).)

6. Test the key metrics. Are they reliable indicators? (If no, explain remedies in paragraph 9 below.)

7. Way(s) internal controls tested: (Perform and check one or more blocks.)

- Performed a physical inspection or walk-through of the process.
- Reviewed documents.
- Interviewed cognizant managers.
- Evaluated data.

INTERNAL CONTROL SYSTEM TEST

8. Test Results	YES	NO
a. Does the flowchart accurately reflect the process?	[]	[]
b. Is the process producing intended results?	[]	[]
c. Are protections against fraud, waste, abuse, and mismanagement practices adequate?	[]	[]
d. Are laws and regulations followed?	[]	[]
e. Is the process effective, efficient, and economical?	[]	[]
f. Has an Operational Risk Management (ORM) Assessment been performed? (Refer to OPNAVINST 3500.39B, encl (1).)	[]	[]
(1) If YES, attach a completed NETC 5200/2. If NO, explain why in paragraph 9 below.		

8. Test Results (continued)	YES	NO
(2) For the ORM Assessment, what is the overall Risk Assessment Code (RAC)? (check one)		
1 = Critical	[]	
2 = Serious	[]	
3 = Moderate	[]	
4 = Minor	[]	
5 = Negligible	[]	
g. Are the internal controls acceptable for reducing risks?	[]	[]

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

INTERNAL CONTROL SYSTEM TEST

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

11. 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 JUNE 2016

Ref: (a) NETCINST 5200.1
(b) NETCNOTE 5200
(c) NSTCNOTE 5200

Encl: (1) Major 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 July 2015 to 30 June 2016 has been evaluated per references (a) through (c). **Major accomplishments are presented in enclosure (1). (Provide major accomplishments as applicable.)**

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

I have reasonable assurance that management controls are in place and operating effectively. The objectives of the Federal Managers' Financial Integrity Act were achieved. (or)

I have reasonable assurance that management controls are in place and operating effectively, except for the weaknesses discussed in enclosure (2). Overall, the objectives of the Federal Managers' Financial Integrity Act were achieved. (or)

I do not have reasonable assurance that controls are in place and working effectively, as discussed in enclosure (2). 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.

Signed by Responsible Official

Enclosure (7)

MAJOR ACCOMPLISHMENTS**1. General Information**

a. Command/Activity:

UIC:

b. Department:

c. Functional Category:

d. Work Process/Assessable Unit:

e. Point of Contact:

2. Major 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:

MATERIAL WEAKNESS OR STATUS OF CORRECTIVE ACTIONS ----- COMPLETE ONLY APPLICABLE AREAS	
1. General Information	
a. Command/Activity:	UIC:
b. Department:	
c. Functional Category:	
d. Work Process/Assessable Unit:	
e. Point of Contact:	
2. Material Weakness or Status of Corrective Actions	
a. Title of material weakness:	
b. Description of material weakness and impact on operations:	
c. Source employed to identify material weakness (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 CMD MAJOR ACCOMPLISHMENTS AND
MATERIAL WEAKNESSES FOR INCLUSION IN THE NETC MICP SOA
SUBMISSION TO CNO (DNS)**

**Major Accomplishment - Criteria. (Use Form 5200/3 & forward it
in a WORD document).**

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 & forward it in a WORD document).

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 should 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.