



DEPARTMENT OF THE NAVY
COMMANDER
NAVAL EDUCATION AND TRAINING COMMAND
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PENSACOLA, FLORIDA 32508-5220

NETCINST 5040.1C
N00G
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NETC INSTRUCTION 5040.1C

From: Commander, Naval Education and Training Command

Subj: NAVAL EDUCATION AND TRAINING COMMAND INSPECTION
PROGRAM

Ref: (a) SECNAVINST 5040.3B
(b) NETCINST 5200.1A

Encl: (1) NETC Echelon 3 Training Commands/Activities
(2) NETC Command Inspection (CI) Program Process
(3) Functional Categories
(4) Process Self-Assessment Worksheet

1. Purpose. To publish objectives and policies for administering the Naval Education and Training Command (NETC) Inspection Program, formerly known as the NETC Area Visit Program.

2. Cancellation. NETCINST 5040.1B.

3. Scope. This instruction applies to all echelon 3 commands/activities within the NETC domain. Command Inspections (CI) of selected commands/activities will be scheduled on a periodic basis per reference (a) and this instruction. Enclosure (1) lists the echelon 3 training commands/activities to be inspected.

4. Background

a. Per reference (a), the Secretary of the Navy published the objectives and policies, and assigned responsibilities for inspections conducted under the Department of the Navy Inspection Program (DONIP). The DONIP includes inspections, special visits, technical inspections, special one-time inspections, inspections required by law or for the exercise of command responsibilities, and inspections conducted by "technical commanders" (e.g., Chief, Bureau of Medicine and Surgery; Commanders of Navy Systems Commands; Judge Advocate General; Commander, Navy Facilities Engineering Command, etc.) in order to provide or obtain technical information or assistance.

b. The DONIP is a coordinated program of inspection that focuses on unit readiness and capability to execute assigned missions, current and projected. The purpose of which is to inform senior Navy leaders of DON's overall ability to accomplish its mission.

5. Program Objectives

a. The purpose of the CI Program (CIP) is to assist commanders, commanding officers (COs), and directors to attain strategic goals and objectives, and improve the performance, readiness, efficiency, effectiveness, and quality of life of the commands and activities for which they are responsible, ultimately to become "better, faster, and more effective" in all areas. The CIP provides commanders, COs, and directors with mission relevant evaluations and recommendations that are timely, accurate, candid, and objective.

b. The CIP fulfills the requirements of the DONIP, as identified in reference (a), and is based on the following principles:

- (1) Focus on mission critical (essential) processes.
- (2) Reinforcement of the importance of customer and NETC training command/activity relationships.
- (3) Application of quantitative and qualitative methods for assessment and improvement.
- (4) Application of proven methodology for process improvement.
- (5) Identification of processes based on the mission of the command/activity.

c. The Managers' Internal Control Program (MICP), as outlined in reference (b), is an effective tool available to a commander, CO, or director for monitoring performance of command/activity processes. The processes identified via MICP are functionally and procedurally complementary to the CIP. Enclosure (2) contains the process flowchart, which depicts the NETC CIP. The MICP requires all commands/activities within the NETC domain to review their processes annually for efficiency, effectiveness, and economy.

6. Policy

a. CIs are planned, coordinated, and conducted to ensure commands/activities are properly organized, trained, equipped, and supported to achieve required capabilities and execute assigned missions. CIs evaluate mission readiness, performance, and quality of life, and identify systemic problems.

b. Specifically, CIs will focus on education and training and not duplicate the CIs/area assessments conducted by the Naval Inspector General. Generally, NETC CIs are intended to be a snapshot of a command/activity. These assessments will allow for a review of the following:

- (1) Command Process
- (2) Command climate
- (3) Compliance with specific programs
- (4) Key metrics for measuring performance
- (5) Attainment of strategic goals and objectives
- (6) Risk assessments
- (7) Standardization

c. The NETC Inspection Team conducts inspections of echelon 3 commands that focus on evaluating specific programs and processes within the NETC domain against requirements outlined in governing directives and instructions. In addition, NETC assesses programs on compliance, effectiveness, and risk.

(1) NETC assesses compliance as "Compliant," "Partially Compliant," or "Not Compliant." A "Compliant" program has no serious deficiencies. A "Partially Compliant" program has some deficiencies, but functions as designed. A "Not Compliant" program is either not being performed or has serious deficiencies that preclude the program from functioning as designed.

(2) Similarly, NETC assesses effectiveness as "Effective," "Partially Effective," or "Not Effective." An "Effective" program achieves the goals of the mission or program. A "Partially Effective" program has some shortfalls in performance, but is generally accomplishing its objectives. A "Not Effective" program fails to achieve its performance goals.

(3) NETC assesses risk as "Low Risk," "Moderate Risk," and "High Risk." A "Low Risk" program is well managed with high potential for continued success. A "Moderate Risk" program has some negative elements that may impact future performance. A "High Risk" program has critical elements that, if not addressed, are likely to negatively impact future performance.

d. In addition, CIs will assess command support of the NETC training vision and mission of recruiting civilians off the street and delivering trained Sailors to the fleet, to include innovation, measuring and improving training effectiveness, creating an agile and adaptive Force Development organization, use of data-driven analytics, and organizational harmony/alignment. The current strategic imperatives will also be reviewed with command leadership to ensure understanding and assess status of implementation within the command.

7. Responsibilities of NETC CI Team Members and Command/Activity Participants

a. NETC Team Leader (TL). Provides overall leadership of the CI team. The NETC Inspector General (IG) or Deputy IG will serve as the TL.

(1) Directs all facets of the CI.

(2) Conducts general discussions and individual consultations.

b. NETC CI Manager (CIM). Coordinates directly with the CI Coordinator (CIC) and selected commands/activities to ensure all requirements for the CIP are met. The CIM is a staff member of the NETC IG Office.

(1) Assigns processes to Subject Matter Experts (SMEs)/ Process Advisors (PAs).

(2) Provides guidance in process improvement activity.

(3) Interacts with SMEs/PAs to ensure a clear understanding of the process.

(4) Provides briefing format to selected commands/ activities to assist top management in preparing PowerPoint presentations for the CI in-brief. The in-brief will include a

description of organization, mission, manning, initiatives, and constraints.

c. Command/Activity CIC. Works directly with the CIM. A Lead CIC may be designated to help coordinate the scheduling of inspections when multiple commands are involved. The NETC IG collaborates with the command/activity to be inspected to select an appropriate CIC or Lead CIC. Typically, the CIC is the MICP Manager or the Command Evaluation Officer.

(1) Coordinates/confirms CI logistics with CIM.

(2) Coordinates arrangements for focus groups with CIM.

(3) Coordinates CI in-brief logistics with selected commands/activities.

d. NETC SME/PA. Works closely with the command/activity Process Owner (PO).

(1) Evaluates a specific process with a PO through the use of self-assessments, process flowcharts, and interviews.

(2) Assesses program compliance against governing guidance.

e. Command/Activity PO. Manages and/or controls a process at a command/activity (must be military or a government civilian, not a contractor).

(1) Develops a process self-assessment worksheet, process flowchart, and interacts with the SMEs/PAs during the CI.

(2) Has authority to make process changes.

8. Notification and Preparation for CI

a. At 120 days prior to the CI: NETC will notify the commands to be visited to submit the following information within 2 weeks to the NETC IG CIM:

(1) The name of the CIC (or if applicable, a Lead CIC for multiple command/activity coordination) for NETG IG approval; to include name, title, code, address, commercial and DSN telephone numbers, FAX machine telephone number, and e-mail address.

(2) As appropriate, the name of the CO, Director, Executive Officer, Executive Director, Command Master Chief, or Senior Enlisted Leader assigned to each of the commands/activities.

b. At 90 days prior to the CI, NETC will:

(1) Send an announcement letter to commands/activities selected for a CI confirming the date of the visit.

(2) Provide additional information to assist in preparing for the CI.

c. At 75 days prior to the CI, each command/activity to be visited will:

(1) Provide directly to the NETC IG CIM their MICP work process inventory list that also includes universal work processes. See enclosure (3).

(2) Annotate on that list in priority order 10 processes for which a review is requested during the CI.

(3) Provide one copy of the telephone directory and organizational manual.

(4) Provide a breakdown of assigned staff (military and civil service) and student personnel as follows:

(a) Number of staff officers (grouped by rank).

(b) Number of staff enlisted personnel (grouped by pay grade).

(c) Number of civil service personnel (grouped by grade/pay band and further broken down by number of supervisors/non-supervisors).

(d) Number of student officers (grouped by rank).

(e) Number of student enlisted personnel (grouped by pay grade).

(5) Provide for review any process issues identified by external customers. Provide a list of primary external customers (those commands outside the NETC domain) and points of contact with telephone numbers.

(6) Provide an electronic copy of the most recent Defense Organizational Climate Survey.

d. At 60 days prior to the CI: NETC CIM will notify the command/activity CIC or Lead CIC of the processes selected for review during the CI. NETC will consider those processes prioritized by the command, and may direct the review of additional work processes of particular interest. The intent of the CI is to focus on processes that will achieve the greatest return on investment and provide the greatest command benefit.

e. At 30 days prior to the command inspection: Command/activity CICs will submit the following by e-mail to the NETC CIM, with a copy to the immediate superior in command and to the Lead CIC, if applicable:

(1) Flowcharts of those processes identified by the NETC CIM in paragraph 8d. Flowcharts should be depicted at the level to allow the SME/PA and PO to have a clear understanding of the process. The command name, process title, a concise description of the process, key metrics, and the name, code, and e-mail address and phone number of the PO, should also be annotated on each flowchart. Flowcharts should have been previously developed while completing the annual requirements for the MICP.

(2) A process self-assessment worksheet (See enclosure (4) for each process identified for review during the CI.

(3) Any process issues received from external customers.

9. Conduct of CI On-Site

a. An in-brief will be conducted consisting of presentations by the TL and by the commands/activities participating in the CI. The TL will provide an overview of the CIP, introduction of key participants, and an explanation of on-site activities.

b. In-brief presentations by commands/activities will include a brief description of their mission, organization, manning, initiatives, and constraints following the format provided by the CIM.

c. Process analyses will commence upon completion of the in-brief.

d. During the CI, those processes identified in paragraph 8d will be reviewed. An analysis of each process identified for review will be conducted using "flowchart walk-throughs" during which the PO will demonstrate the process to the SME/PA. The PO should be able to discuss their understanding of the process and provide documentation in relationship to the system it supports. The Process Self-Assessment Worksheet, enclosure (4), will be used to provide an analysis of each area reviewed with the process SME/PA.

e. The TL will conduct general discussions via focus groups with staff. These discussions are used as a means of talking with a wide range of personnel within the visited command/activity. Information gathered from these focus groups will assist in assessing various programs and issues affecting personnel attached to the commands/activities.

f. During the CI, the TL will be available for personal interviews with members of the visited commands/activities. Any employee, civilian or military, is free to discuss any matter of personal concern other than those involving ongoing grievances, legal issues, or Equal Employment Opportunity/Equal Opportunity complaints. Information disclosed during the course of these interviews will be kept confidential and will not be disclosed outside the IG staff, except where it is necessary in order to fully investigate and resolve or refer the issue. Individuals desiring to see the TL should complete an Individual Consultation Sheet (NETC 5040/1) and submit it to the CIM prior to or during the CI.

g. Upon completion of all process analyses, the SME/PA will provide the PO with a draft copy of the Process Issue Paper and debrief the results. The TL will debrief the command/activity leadership on the results of the CI.

10. Reporting Procedures

a. A formal report will be issued no later than 90 days after completion of the CI. The report will consist of an Executive Summary and Process Issue Papers.

b. Significant deficiencies uncovered during the CI will be reported immediately to the appropriate official via the chain of command and amplified in the formal report. Generally, these are weaknesses requiring immediate action and/or may be of particular interest to senior level officials in the chain of command.

c. CI reports will be marked "CONTROLLED UNCLASSIFIED INFORMATION." The cover sheet or front page of the report will also include the following statement: "The information contained herein relates to the internal practices of the Department of the Navy and is an internal communication within the Navy Department. This report is not releasable without the specific approval of NETC. Its contents may not be disclosed outside original distribution, nor may it be reproduced in whole or in part. All requests for this report, extracts there from, or correspondence related thereto will be referred to Inspector General, NETC."

d. Follow-Up Actions

(1) Immediately after completion of the CI, commands/activities should use the Process Issue Papers to identify issues requiring corrective action. One month following receipt of the formal report on the command inspection, commands will complete an Implementation Status Report (ISR) (OPNAV 5040/2) for each issue requiring corrective action. The ISRs will be forwarded electronically to the NETC IG. The NETC IG will track corrective actions until all are completed. ISRs indicating completed actions will be reported to the NETC IG as they occur. ISR use will be discussed during the debrief.

(2) After the first reporting, commands/activities shall submit ISRs by their estimated date of completion in the manner discussed above. Any changes to that completion date must be fully explained in the block entitled "Current Implementation Status." Once a command/activity completes all corrective actions, a closeout letter will be provided by NETC IG, and no further reporting will be required.

11. Action

a. NETC IG

- (1) Serve as principal advisor to NETC for the CIP.
- (2) Act as TL for CIs and exercise overall direction for the CIP.
- (3) Publish an annual CI schedule.
- (4) Conduct CIs and follow-up under the policies and procedures contained in reference (a) and this instruction.
- (5) Coordinate CIs with selected commands/activities.

(6) Maintain liaison with other activities, commands, bureaus, offices, and agencies for the exchange of information relative to the DONIP.

(7) Publish a CI report and distribute to commands/activities involved in the assessment. Monitor the completion of recommended corrective actions.

b. NETC Division Directors and Special Assistants

(1) Provide SMEs/PAs to augment the CI team, as appropriate.

(2) Provide the necessary support to the NETC IG in correcting process weaknesses identified during a CI.

c. NETC Echelon 3 Training Commands

(1) Determine functional categories and processes for subordinate commands/activities to complement enclosure (3). Refer to enclosure (3) of reference (b) for further guidance.

(2) Establish a CIP to conduct assessments of commands/activities per reference (a).

(3) Establish a CIP for subordinate activities under their purview which are not covered in the NETC CI Schedule.

(4) Provide SMEs/PAs to augment the CI team, as appropriate.

12. Records Management

a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned per the records disposition schedules located on the Department of the Navy Assistant for Administration, Directives and Records Management Division portal page at <https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Records-and-Information-Management/Approved%20Record%20Schedules/Forms/AllItems.aspx>.

b. For questions concerning the management of records related to this instruction or the records disposition schedules, please contact the local records manager or the OPNAV Records Management Program (DNS-16).

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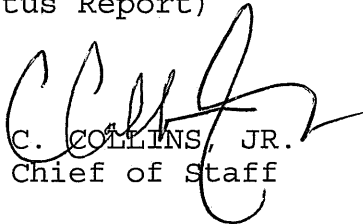
13. Review and Effective Date. Per OPNAVINST 5215.17A, NETC will review this instruction annually around the anniversary of its issuance date to ensure applicability, currency, and consistency with Federal, Department of Defense, Secretary of the Navy, and Navy policy and statutory authority using OPNAV 5215/40 (Review of Instruction). This instruction will be in effect for 10 years, unless revised or cancelled in the interim, and will be reissued by the 10-year anniversary date if it is still required, unless it meets one of the exceptions in OPNAVINST 5215.17A, paragraph 9. Otherwise, if the instruction is no longer required, it will be processed for cancellation as soon as the need for cancellation is known following the guidance in OPNAV Manual 5215.1 of May 2016.

14. Reports and Forms

a. The reporting requirements contained in this instruction are exempt from reports control by SECNAVINST 5213.16.

b. The following form is available on Content Manager or via email at netc_directives@navy.mil: NETC 5040/1 (Individual Consultation Sheet)

c. The following form is available for download online at Naval Forms Online (<https://forms.documentservices.dla.mil>): OPNAV 5040/2 (Implementation Status Report)


C. COLLINS, JR.
Chief of Staff

Releasability and distribution:

This instruction is cleared for public release and is available electronically via the NETC public web site, <https://www.netc.navy.mil>, or via Content Manager.

NETC ECHELON 3 TRAINING COMMANDS/ACTIVITIES

Center for Explosive Ordnance Disposal and Diving, Panama City, FL
Center for Information Warfare Training, Pensacola, FL
Center for Naval Aviation Technical Training, Pensacola, FL
Center for Sea, Air and Land and Special Warfare Combatant-craft Crewman, San Diego, CA
Center for Seabees and Facilities Engineering, Port Hueneme, CA
Center for Security Forces, Virginia Beach, VA
Center for Service Support, Newport, RI
Center for Surface Combat Systems, Dahlgren, VA
Engineering Duty Officer School, Port Hueneme, CA
Naval Aviation Schools Command, Pensacola, FL
Naval Chaplaincy School and Center, Newport, RI
Naval Education and Training Command Human Resources Office, Pensacola, FL
Naval Education and Training Professional Development Center, Pensacola, FL
Naval Education and Training Security Assistance Field Activity, Pensacola, FL
Naval Leadership and Ethics Center, Newport, RI
Naval Service Training Command, Great Lakes, IL
Navy Recruiting Command, Millington, TN
Submarine Learning Center, Groton, CT
Surface Warfare Schools Command, Newport, RI
Training Support Center, Great Lakes, IL
Training Support Center, Hampton Roads, VA
Training Support Center, San Diego, CA

NETC COMMAND INSPECTION (CI) PROGRAM PROCESS

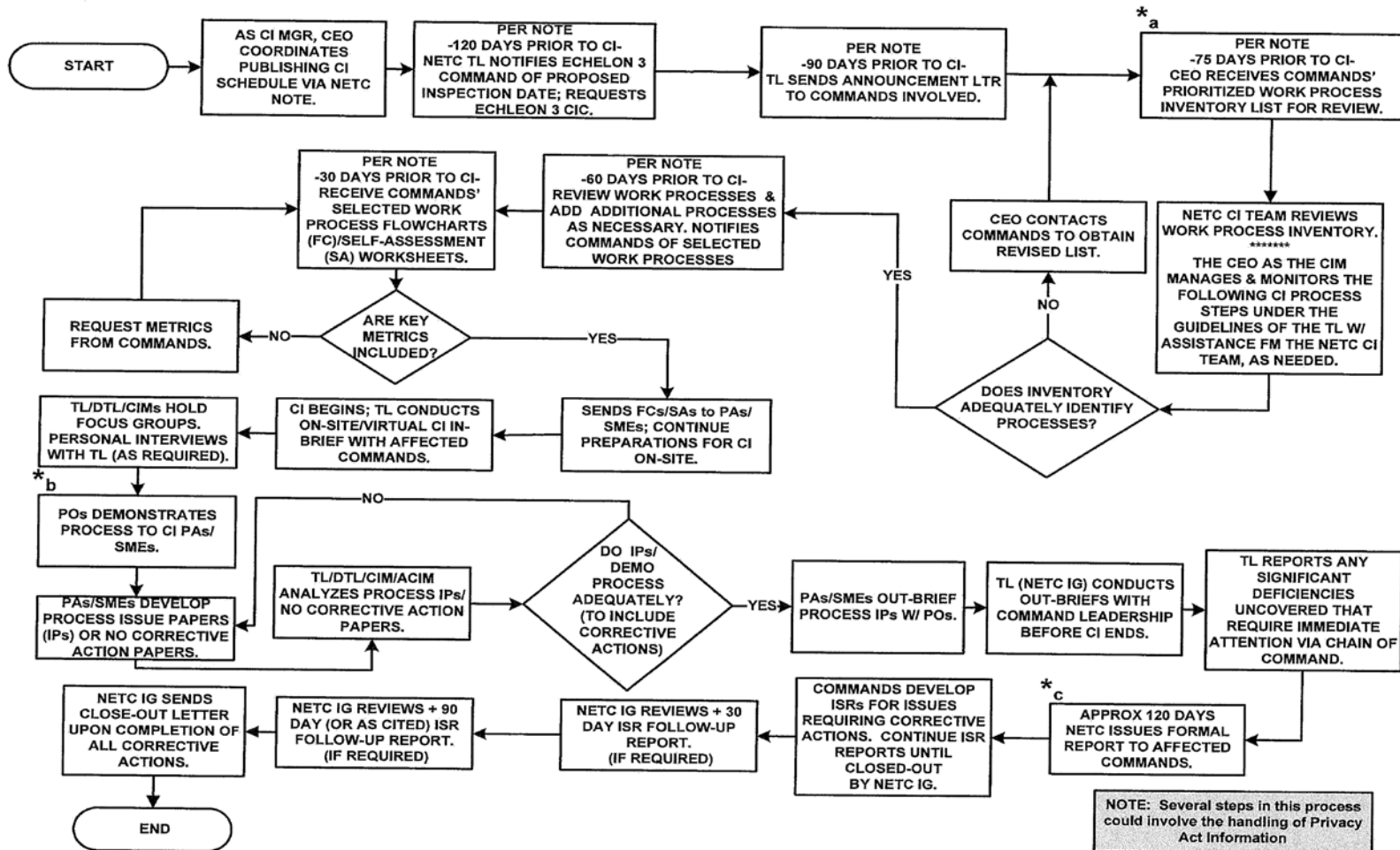
* Key Metric

PURPOSE: PROCESS BY WHICH NETC CONDUCTS COMMAND INSPECTIONS TO MEET SECNAVINST FOR COMMAND ASSESSMENTS

REFERENCE: NETCINST 5040.1C

PROCESS OWNER: NETC N00GR 850-452-4865 (DSN 459)

EMAIL:



FUNCTIONAL CATEGORIES

1. The Secretary of the Navy (SECNAV) has identified functional categories to be used in complying with the Managers' Internal Control Program (MICP). The Department of the Navy MICP requires all commands/activities to have a work process inventory segregated by these categories. This inventory should reflect mission critical and associated support processes. Each process should have a one-page, mid-level linear flowchart. These flowcharts will be used during command inspections (CIs) to evaluate work process performance as well as providing a roadmap for testing adherence to guidance. Commands should use the MICP process inventory to ensure all areas are reviewed for effectiveness, efficiency and economy, including those areas not assessed during the CI.

2. Listed below are the SECNAV categories relevant to Naval Education and Training Command (NETC). Under each category are work processes considered universal to all commands. Each command's MICP process inventory should include these processes, **where applicable**, unless unique circumstances dictate otherwise.

FUNCTIONAL CATEGORIES WITH UNIVERSAL WORK PROCESSES

Functional Category 03: Procurement

Credit Cards: Government Commercial Purchase Card (GCPC)
Program

Credit Cards: Government Travel Charge Card (GTCC) Program

Functional Category 04: Contract Administration

Monitoring Contractor's Performance and Inspection and
Acceptance of Supplies and Services

Functional Category 05: Force Readiness

Strategic Planning

Functional Category 07: Supply Operations

Inventory Management (including physical inventory) (DPAS)
Supply Management (including material requisitioning, issue,
receipt)

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

Antiterrorism Plan (AT)
Emergency Action Planning (EAP)
Operations Security (OPSEC)
Personnel Security
Physical Security

Functional Category 10: Information Technology

Cyber Security (includes Information Assurance and Network Security)

Functional Category 11: Personnel and/or Organization Management

Accreditation Program (including liaison, policy, and management)
Command Managed Equal Opportunity (CMEO)
Curriculum Development, Maintenance Review, and Control
Curriculum Management (functional commanders and Curriculum Control Authority)
Equal Employment Opportunity (EEO)
Formal Course Review (FCR)
Instructor Certification/Evaluation/Utilization/Recognition
Instructor of the Year Program
Master Training Specialist (MTS) Program
Missions, Functions, and Tasks (MFT)
Navy Military Training (NMT)
Quota Control/Management
Sexual Assault Prevention and Response (SAPR)
Student Management
Suicide Prevention
Telework
Training Feedback/Liaison (Student Critiques)
Training Project Plan (TPP)

Functional Category 12: Comptroller/Resource Management

Budget Execution (NETC)
Budget Formulation
Civilian Timekeeping (SLDCADA)

Functional Category 13: Support Services

Subfunction A: Administrative Support

Drug and Alcohol Program (DAPA)
Freedom of Information Act (FOIA)
Managers' Internal Control Program (MICP)
Privacy Act Program
Public Affairs Office
Records Management
Voting Assistance Program

Subfunction B: IG/Audit

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

Subfunction D: Legal

Administrative Separations (ADSEP)
Non-judicial Punishment (NJP)
Urinalysis Program

Subfunction F: Morale, Welfare and Recreation

Morale, Welfare and Recreation Program

PROCESS SELF-ASSESSMENT WORKSHEET

1. **PROCESS TITLE**: (Command or Activity and Name of Process)
2. **STRATEGIC GOAL/OBJECTIVE**: (Identify the command's strategic goal and/or objective the process supports.)
3. **RESPONSIBLE POINT OF CONTACT**: (Identify the Program Manager responsible for the oversight of this particular area, their name, title, code, phone number, and email.)
4. **BRIEF DESCRIPTION OF PROCESS**: (Briefly describe the scope of the process. Provide a brief description that answers the questions: What is the process? What is the purpose/output of the process?)
5. **BRIEF DESCRIPTION OF STRENGTHS AND INNOVATIONS**: (Briefly describe noteworthy process strengths and innovations as they relate to the command's overall mission and performance.)
6. **BRIEF DESCRIPTION OF WEAKNESSES AND OPPORTUNITIES FOR IMPROVEMENT**: (Briefly describe any noted process weaknesses or opportunities for improvement as well as any actions planned to correct identified program deficiencies.)
7. **PROCESS REQUIREMENTS**: (Briefly describe the overall program requirements established to implement an effective program at your command.)
8. **BRIEF DESCRIPTION OF METRICS**: (Briefly describe how well the process is working. How do you know? What metrics are used to determine the effectiveness of the process?)