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

NETCINST 5040.1E
N00G
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NETC INSTRUCTION 5040.1E

From: Commander, Naval Education and Training Command

Subj: NAVAL EDUCATION AND TRAINING COMMAND INSPECTION PROGRAM

Ref: (a) SECNAVINST 5040.3B
        (b) Naval Inspector General Enterprise Inspection Manual
            of 10 April 2023
        (c) NETCINST 5200.6A

Encl: (1) Naval Education and Training Command Echelon 4
            Training Commands and Activities
        (2) Naval Education and Training Command Inspection
            Program Process
        (3) Functional Categories
        (4) Process Self-Assessment Worksheet

1. <u>Purpose</u>. To publish objectives and policies for
administering the Naval Education and Training Command (NETC)
inspection program.

2. <u>Cancellation</u>. NETCINST 5040.1D.

3. <u>Scope</u>. This instruction applies to all echelon 4 commands
and activities within the NETC domain. Command inspections (CI)
of selected commands and activities will be scheduled on a
periodic basis per reference (a) and this instruction. Enclosure
(1) lists the echelon 4 training commands and activities to be
inspected.

4. <u>Background</u>

    a. Per reference (a), the Secretary of the Navy (SECNAV)
published the objectives, policies, and assigned responsibilities
for inspections conducted under the Department of the Navy (DON)
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., Naval Safety Command; 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. <u>Program Objectives</u>

a. The purpose of the CI Program (CIP) is to assist commanders, commanding officers (CO), and directors to achieve strategic goals and objectives, understand risk, 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 must incorporate the assessment methodologies of the Naval Inspector General, as described in reference (b), to establish objectives, policies, and responsibilities for inspection of commands and functions within the DON and the mission and functions of the Naval Inspector General (IG).

c. 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 and 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 and activity.

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d. The NETC Integrated Risk Management (IRM) program, as outlined in reference (c), can be an effective tool available to a commander, CO, or director for monitoring the risks and internal controls of command and activity processes. To ensure risks are documented and internal controls are evaluated, the current NETC IRM program requires commands to develop a work process/assessable unit inventory that reflects mission critical and associated support processes. The processes identified via the NETC IRM program are functionally and procedurally complementary to the CIP. Enclosure (2) contains the process flowchart (FC), which depicts the NETC CIP.

6. <u>Policy</u>

a. CIs are planned, coordinated, and conducted to ensure commands and 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, NETC CIs will focus on education and training and not duplicate the CIs and area assessments conducted by the Naval IG. Generally, NETC CIs are intended to be a snapshot of a command or activity. These assessments will allow for a review of the following:

     (1) Command processes.

     (2) Command climate.

     (3) Risk assessments.

     (4) Key metrics for measuring performance.

     (5) Attainment of strategic goals and objectives.

     (6) Compliance with specific programs.

     (7) Standardization.

c. The NETC inspection team conducts inspections of echelon 4 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" or "Not Compliant." A "Compliant" program has no serious deficiencies. A "Not Compliant" program is either not being performed or has serious deficiencies that preclude the program from functioning as designed. A "Partially Compliant" assessment may also be used to document a program that has some deficiencies but is functioning as designed.

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

(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, leveraging data to inform business decisions and increase organizational effectiveness, measuring and improving training effectiveness, use of data-driven analytics, and foster communication and collaboration. The current strategic imperatives will also be reviewed with command leadership to ensure understanding and assess the status of implementation within the command.

7. <u>Responsibilities of NETC CI Team Members and Command or Activity Participants</u>

a. NETC team leader (TL). Provides overall leadership of the CI team. The NETC IG or deputy IG will serve as the TL.

(1) Directs all facets of the CI.

(2) Conducts leadership discussions, focus groups, and individual consultations.

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    b. NETC CI manager (CIM). Coordinates directly with the CI coordinator (CIC) and selected commands and activities to ensure all requirements for the CIP are met. The CIM is the command evaluation officer (CEO) in the NETC IG office.

        (1) Assigns processes to subject matter experts (SME) and process advisors (PA).

        (2) Provides guidance in process improvement activity.

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

        (4) Provides briefing format to selected commands and activities to assist top management in preparing PowerPoint presentations for the CI in-brief. The in-brief will include a description of mission, organization, manning, initiatives, and constraints and challenges.

        (5) Monitors Implementation Status Reports (ISR) (OPNAV 5040/2) follow-up and closeout of CI recommendations.

    c. Command or 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 or activity to be inspected to select an appropriate CIC or lead CIC. Typically, the CIC is the CEO.

        (1) Coordinates and confirms all CI requirements with CIM.

        (2) Coordinates arrangements for focus groups with CIM.

        (3) Coordinates CI logistics with selected commands and activities and CIM.

    d. NETC SME and PA. Works closely with the command or activity process owner (PO).

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

        (2) Assesses program compliance against governing guidance.

(3) Drafts issue or no corrective action paper to document review.

(4) Conducts follow-up and close-out of CI recommendations.

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

(1) Develops a process SA worksheet, process FC, and interacts with the SMEs and PAs during the CI.

(2) Has authority to make process changes.

(3) Reports corrective action taken to resolve recommendations via ISRs.

8. Notification and Preparation for CI

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

(1) Confirm the name of the CIC (or if applicable, a lead CIC for multiple command and activity coordination) for NETG IG approval; to include name, title, code, address, commercial and defense switched network telephone numbers, and e-mail address.

(2) As appropriate, confirm the names of the CO, director, executive officer (XO), executive director (ED), command master chief (CMDCM), or senior enlisted leader assigned to each of the commands and activities.

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

(1) Send an announcement letter to commands and activities selected for a CI confirming the dates of the inspection and the name of the CIC.

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

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

(1) Provide directly to the NETC IG CIM their CIP 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 rank).

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

(5) Provide a list of primary external customers (those commands outside the NETC domain) and points of contact with telephone numbers. Prior to the CI, the inspected command will send a letter to their primary external customers to solicit any program or process issues. Any reported issues will be provided to the NETC CIM.

(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 or 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 CI: Command or activity CICs will submit the following to the NETC CIM:

(1) FCs of those processes identified by the NETC CIM in paragraph 8d. FCs 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, e-mail address, and phone number of the PO should also be annotated on each FC. FCs should have been previously developed while completing the annual requirements for the IRM (if required) or as directed as part of the CIP.

    (2) A process SA worksheet (see enclosure (4)) for each process identified for review during the CI.

    (3) Any process issues received from external customers as required per paragraph 8c(5).

9. Conduct of CI On-Site

    a. An in-brief will be conducted consisting of presentations by the TL and by the commands and 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 and activities will include a brief description of their mission, organization, manning, initiatives, and constraints and challenges 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 and 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 also be included in the process review. Checklists will also be used by NETC SMEs/PAs to assess program compliance, risk, and effectiveness.

    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 inspected command or activity. Information gathered from these focus groups will assist in assessing various programs and issues affecting personnel attached to the commands and activities.

f. The TL will conduct command leadership discussions with the CO, XO, ED, and CMDCM, as appropriate. An ethics brief and discussion conducted by NETC Office of the General Counsel may also be included. Information gathered from the leadership discussion will help to assess command programs and issues.

g. During the CI, the TL will be available for personal interviews with members of the inspected commands and 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 and 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.

h. Upon completion of each process review, the SME or PA will verbally debrief the results to the PO and provide the CIM and deputy TL with a draft copy of the process issue paper or "no corrective action" paper. The TL will debrief the command or activity leadership on the results of the CI at the conclusion of the CI.

10. Reporting Procedures

a. A formal (final) 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 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 therefrom, or correspondence related thereto will be referred to Inspector General, NETC."

11. Follow-Up Actions

   a. Immediately after completion of the CI, commands and activities should use the process issue papers to identify issues requiring corrective action. One month following receipt of the formal report on the CI, commands will complete an ISR for each issue requiring corrective action. The ISRs will be forwarded electronically to the NETC CIM. The NETC CIM will track corrective actions until all are completed. ISRs indicating completed actions will be reported to the NETC CIM as they occur. ISR use will be discussed during the debrief.

   b. After the first reporting, commands and activities must 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 or activity completes all corrective actions, a closeout letter will be provided by NETC IG, and no further reporting will be required.

12. 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 and 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 and activities involved in the assessment. Monitor the completion of recommended corrective actions.

b. NETC Division Directors and Special Assistants:

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

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

c. NETC Echelon 4 Training Commands:

(1) Determine functional categories and processes for subordinate commands and activities which may complement enclosure (3).

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

(3) Provide SMEs or PAs to augment the CI team, as appropriate.

13. <u>Records Management</u>

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 DON Assistant for Administration, Directives and Records Management Division portal page at <u>https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Records-and-Information-Management/Approved%20Record%20Schedules/Forms/AllItems.aspx</u>.

b. For questions concerning the management of records related to this instruction or the records disposition schedules, please contact the local records manager.

14. <u>Review and Effective Date</u>. 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, SECNAV, 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.

15. 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 for download from the NETC directives web site https://www.netc.navy.mil/Resources/NETC-Directives/: NETC 5040/1 (Individual Consultation Sheet).

G. C. HUFFMAN

Releasability and distribution:
This instruction is cleared for public release and is available electronically on the NETC public web site (www.netc.navy.mil) or by e-mail at netc-directives@us.navy.mil.

NAVAL EDUCATION AND TRAINING COMMAND ECHELON 4 TRAINING COMMANDS
AND ACTIVITIES

- Center for Explosive Ordnance Disposal and Diving, Panama City, Florida
- Center for Information Warfare Training, Pensacola, Florida
- Center for Naval Aviation Technical Training, Pensacola, Florida
- Center for Seabees and Facilities Engineering, Port Hueneme, California
- Center for Security Forces, Virginia Beach, Virginia
- Center for Service Support, Newport, Rhode Island
- Engineering Duty Officer School, Port Hueneme, California
- Naval Aviation Schools Command, Pensacola, Florida
- Naval Education and Training Command Human Resources Office, Pensacola, Florida
- Naval Education and Training Professional Development Center, Pensacola, Florida
- Naval Education and Training Security Assistance Field Activity, Pensacola, Florida
- Naval Leadership and Ethics Center, Newport, Rhode Island
- Naval Service Training Command, Great Lakes, Illinois
- Naval Special Warfare Leadership Education and Development Command, San Diego, California
- Navy Recruiting Command, Millington, Tennessee
- Submarine Learning Center, Groton, Connecticut
- Surface Combat Systems Training Command, Dahlgren, Virginia
- Surface Warfare Schools Command, Newport, Rhode Island

NAVAL EDUCATION AND TRAINING COMMAND INSPECTION PROGRAM PROCESS

PURPOSE: PROCESS BY WHICH NETC CONDUCTS CIs TO MEET SECNAVINST FOR COMMAND ASSESSMENTS
REFERENCE: NETCINST 5040.1E
PROCESS OWNER: NETC N00GR XXX-XXX-XXXX (DSN XXX) EMAIL: XXXX.XXXX.CIV@US.NAVY.MIL

*KEY METRIC

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START

AS CI MANAGER, CEO COORDINATES PUBLISHING CI SCHEDULE VIA NETC NOTE.

PER NOTE -120 DAYS PRIOR TO CI - NETC TL NOTIFIES ECHELON 4 COMMAND OF PROPOSED INSPECTION DATE; REQUESTS ECHELON 4 CIC.

PER NOTE -90 DAYS PRIOR TO CI - TL SENDS ANNOUNCEMENT LETTER TO COMMANDS INVOLVED.

PER NOTE -75 DAYS PRIOR TO CI - CIM RECEIVES COMMANDS' PRIORITIZED WORK PROCESS INVENTORY LIST FOR REVIEW.

PER NOTE -30 DAYS PRIOR TO CI - CIM RECEIVES COMMANDS' SELECTED WORK PROCESS FCs/ SAs.

PER NOTE -60 DAYS PRIOR TO CI - CIM REVIEWS WORK PROCESSES AND ADDS ADDITIONAL PROCESSES AS NECESSARY. NOTIFIES COMMANDS OF SELECTED WORK PROCESSES.

CIM CONTACTS COMMANDS TO OBTAIN REVISED LIST.

NETC CIM REVIEWS WORK PROCESS INVENTORY. ******* **THE CEO AS THE CIM MANAGES AND MONITORS THE FOLLOWING CI PROCESS STEPS UNDER THE GUIDELINES OF THE TL WITH ASSISTANCE FROM THE NETC CI TEAM, AS NEEDED.**

REQUEST METRICS FROM COMMANDS.

ARE KEY METRICS INCLUDED? — NO / YES

DOES INVENTORY ADEQUATELY IDENTIFY PROCESSES? — YES / NO

TL/DEPUTY TL/CIM HOLD FOCUS GROUPS. PERSONAL INTERVIEWS WITH TL (AS REQUIRED).

CI BEGINS; TL CONDUCTS ON-SITE/VIRTUAL CI IN-BRIEF WITH INSPECTED COMMANDS.

SENDS FCs/SAs to PAs/ SMEs; CONTINUE PREPARATIONS FOR CI ON-SITE.

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POs DEMONSTRATES PROCESS TO CI PAs/ SMEs.

TL/DTL/CIM/ REVIEWS PROCESS IPs/NCAs.

DO IPs/NCAs DEMONSTRATE PROCESS ADEQUATELY? (TO INCLUDE CORRECTIVE ACTIONS) — NO / YES

PAs/SMEs OUT-BRIEF PROCESS IPs/NCAs WITH POs.

TL (NETC IG) CONDUCTS LEADERSHIP DISCUSSION AND DEBRIEF MEETINGS WITH COMMAND LEADERSHIP BEFORE CI ENDS.

TL REPORTS ANY SIGNIFICANT DEFICIENCIES UNCOVERED THAT REQUIRE IMMEDIATE ATTENTION VIA CHAIN OF COMMAND.

PAs/SMEs DEVELOP PROCESS ISSUE PAPERS (IP) OR NO CORRECTIVE ACTION PAPERS (NCA).

NETC IG SENDS CLOSE-OUT LETTER UPON COMPLETION OF ALL CORRECTIVE ACTIONS.

COMMANDS DEVELOP AND SUBMIT ISRs FOR ISSUES REQUIRING CORRECTIVE ACTIONS WITHIN 30 DAYS OF FINAL REPORT. CONTINUE ISR REPORTS UNTIL CLOSED-OUT BY NETC IG.

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APPROX 90 DAYS NETC ISSUES FINAL REPORT TO INSPECTED COMMANDS.

TL CONDUCTS OUTBRIEF WITH INSPECTED COMMAND/CI ENDS.

END

NOTE: Several steps in this process could involve the handling of Privacy Act Information

FUNCTIONAL CATEGORIES

1. The NETC CIP requires all commands and activities to have a work process inventory. This inventory should reflect mission critical and associated support processes. Each process should have a one-page, mid-level linear FC. These FCs will be used during CIs to evaluate work process performance as well as providing a roadmap for testing adherence to guidance.

2. Listed below are the functional categories relevant to NETC. Under each category are work processes considered universal to all commands. Each command's IRM process inventory may also include these processes, where applicable, unless unique circumstances dictate otherwise. This list provides a snapshot (may not include every process/program) as work processes are constantly changing.

FUNCTIONAL CATEGORIES WITH UNIVERSAL WORK PROCESSES

Functional Category 03: Procurement

    Credit Cards: Government Commercial Purchase Card Program
    Credit Cards: Government Travel Charge Card Program
    Defense Travel System

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)- Defense
       Property Accountability System
    Supply Management (including material requisitioning, issue,
       receipt)
    Non-Combat Expenditure Allocation

Functional Category 09: Communications and Intelligence and
Security

    Anti-Terrorism Plan
    Emergency Action Planning
    Insider Threat
    Operations Security
    Personnel Security
    Physical Security

Functional Category 10: Information Technology

    Cyber Security (includes Information Assurance and Network
    Security)
    Electronic Classroom Reporting

Functional Category 11: Personnel and Organization Management

    Accreditation Program
    Command Managed Equal Opportunity
    Curriculum Development, Maintenance Review, and Control
      Curriculum Management (functional commanders and curriculum
      control authority)
    Equal Employment Opportunity
    Formal Course Review/Instructor Certification, Evaluation,
      Utilization, and Recognition
    Instructor of the Year Program
    International Military Student Field Studies Program
    Master Training Specialist Program
    Missions, Functions, and Tasks
    Navy Military Training
    Quota Control and Management
    Sexual Assault Prevention and Response
    Student Management
    Suicide Prevention
    Telework
    Training Effectiveness, Feedback, Liaison (student critiques)
    Training Project Plan (included in curriculum management)
    Warrior Toughness

Functional Category 12: Comptroller and Resource Management

    Budget Formulation
    Civilian Timekeeping
    Reimbursable Billing

Functional Category 13: Support Services

    Subfunction A: Administrative Support

    Directives
    Drug and Alcohol Program
    Freedom of Information Act
    IRM
    Privacy Act Program
    Public Affairs Office
    Records Management
    Voting Assistance Program

    Subfunction B: IG and Audit

    Audit Liaison and Follow-Up
    Command Evaluation Program
    CIP
    Investigations (e.g., hotlines)

    Subfunction D: Legal

    Administrative Separations
    Non-Judicial Punishment
    Urinalysis Program

    Subfunction F: Morale, Welfare and Recreation

    Morale, Welfare and Recreation Program

<u>PROCESS SELF-ASSESSMENT WORKSHEET</u>

1. **<u>PROCESS TITLE</u>**: (Command and Name of Process)

2. **<u>REFERENCE</u>**: (a) (Applicable instructions, notices, etc.)
(b) (Applicable instructions, notices, etc.)
(c) (Applicable instructions, notices, etc.)

3. **<u>STRATEGIC GOAL/OBJECTIVE</u>**: (Identify the command's strategic goal and/or objective the process supports.)

4. **<u>RESPONSIBLE PROCESS OWNER</u>**: (Identify the PO responsible for the management and oversight of this particular process. Provide PO's name, title, command code, building/room number location, phone numbers commercial/DSN and e-mail.)

5. **<u>BRIEF DESCRIPTION OF PROCESS</u>**: (Describe the scope of the process. Provide a brief description that answers the questions: What is the process? What is its purpose?)

6. **<u>BRIEF DISCUSSION OF HOW WELL THE PROCESS IS WORKING</u>**: (Describe how well the process is working. How do you know?)

7. **<u>PROCESS REQUIREMENTS</u>**: (Briefly describe the overall requirements established to implement an effective process within your command.)

8. **<u>BRIEF DISCUSSION OF PROCESS METRICS</u>**: (Describe the metrics used to determine the effectiveness of the process?)

9. **<u>BRIEF DESCRIPTION OF STRENGTHS AND INNOVATIONS</u>**: (Briefly describe noteworthy process strengths and innovations as they relate to the command's overall mission and performance.)

10. **<u>BRIEF DESCRIPTION OF ANY WEAKNESSES AND/OR OPPORTUNITIES FOR IMPROVEMENT</u>**: (Briefly describe any noted process weaknesses or opportunities for improvement as well as any actions planned to correct identified process deficiencies.)

11. **<u>KEY ACRONYMS</u>**: (Spell out the key acronyms used in working the process.)