**Revised: June 2025**

**NSTC COMMAND INSPECTION PROGRAM (CIP)**

**PREPARATION GUIDE FOR NROTCUs/MARITIME ACADEMIES**

**NOTE: The guide is a practical toolset to assist and not inclusive of all internal controls.**

* Ensure each selected work process (WP) has a folder/binder.
* Ensure each folder/binder contains the following:

* + WP Flowchart.
	+ WP Self-Assessment Worksheet
	+ Designation/Appointment Letters, if applicable, signed by the Commanding Officer (CO)
* Appointment/Termination Records (DD Form 577), if applicable
* Certificate of Appointment (SF 1402), if applicable
* Mandatory Training Certificates
* Current regulations for the selected WP
* Any WP stats/trends
* Any corrective actions from previous self-assessments, CE Reviews or Inspections
* Ensure the individual presenting the WP has a working knowledge of the WP and flowchart.
* Ensure all documents are signed and dated.
* GCPC/GTCC Agency Program Coordinators (APC) and Cardholders (CH), ensure all staff mandatory training documentation is ready for review.
* Ensure documents only contain the last four digits of the SSN.
* Ensure IG, Privacy Act/PII and CMEO posters are current and displayed throughout the command/activity.
* Ensure the CO and higher echelon Policy Statements are current and displayed throughout the command/activity. Policy Statements shall include Sexual Assault, Sexual Harassment, Alcohol and Drug Abuse, Hazing, and Safety.

**COMMON FINDINGS**

**GTCC Program and DTS:**

* Travel cards used while employees were not in travel status.
* Procedures were not effectively operating to monitor and detect travel card misuse.
* APC not part of the Command's In/Out-processing procedures.
* Missing instructions or standard operating procedures.
* Infrequent travelers not deactivated.
* Travel orders failed to indicate exemptions.
* Travel orders failed to state cash advance limitations.
* Inappropriate purchases made with the travel card.
* Government room rate not obtained, no justification or authorization.
* Rental car authorized when not needed.
* Government not reimbursed for convenience routing.
* Excessive airport parking charges.
* Double payment of registration fees.
* Duplicate lodging payments.
* Personnel transferred or retired, however, still on active accounts.
* Past due accounts not handled per governing regulations.
* APC not designated in writing.
* Designation letter not signed by the CO.
* Mandatory training not documented.
* Outstanding travel vouchers.
* Statements of Understanding not on file.
* Reimbursement for unauthorized expenses, i.e., ratification of unauthorized commitments.
* Cash advances in excess of authorization.
* Mandatory monthly travel reports not run.
* Staff and/or students not properly notified, via email, of the five-day travel voucher submission requirement.

**Educational Service Agreement (ESA) Reporting:**

* Contract Action Reporting (CAR) for all orders, via DD Form 1155s and SF 30s are not submitted within the Federal Procurement Data System–Next Generation (FPDS-NG) site within three-business days of the Ordering Officer’s signature.
* Ordering Officer has not uploaded ESA documentation into the Electronic Document Access (EDA) system.

**GPC and Convenience Checks (Conv Checks)**

* Failure to maintain the minimum separation of function.
* Outdated training records.
* Failure to obtain prior approval for procurement of computer hardware/software and telephone equipment/services (approved ITPR).
* Failure to document availability of funds.
* Failure to document screening of mandatory sources of supply.

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* Appearance of an unauthorized commitment, which has not been ratified.
* Missing file documentation, i.e., purchase request, invoices, receipt signatures etc.
* Failure to use an automated or manual log.
* Full SSNs on command files.
* Payment of sales tax
* Failure to comply with local and NAVSUP instructions for purchase of hazardous material.
* Purchase of food and beverage items without adequate documentation or approval.
* Appearance of personal purchases.
* Inappropriate use of the purchase card for vehicle repairs.
* Failure to notify the Personal Property Manager (PPM) of pilferable, sensitive, or high valued property obtained with the GCPC, in accordance with the activity established property accountability policy.
* Failure to follow authorized dispute procedures.
* Purchase of questionable items.
* Failure to obtain purchase approval.
* Failure to rotate business among suppliers.
* Purchase of prohibited items, i.e., entertainment.
* Approving Officials (AO) did not sign bank card statements.
* Split purchases.
* Receipt documentation did not always annotate the following five required elements: 1) the name, 2) signature, 3) date, 4) office designator or address and 5) telephone number of the individual verifying receipt.
* Wireless service not received through the required sources of supply (FLCSD multiple award contracts).
* Wireless service did not include an approved ITPR.
* Annual ConvCks Audit requirements not available for review.
* Annual ConvCks Reporting requirements to the Internal Review Service (1099) not available for review.

**Urinalysis Program:**

* The required number of random drug test not conducted.
* UPC/AUPC not appointed in writing.
* UPC/AUPC missing training requirements.
* UPC is also designated as the Command DAPA.
* XO designated as UPC, which creates a conflict of interest.
* UPC also acts as an observer when there are more than two individuals providing a sample.
* Observers not properly trained.
* Incomplete logs
* No chain of custody.
* DTPLite or WebDTP database not established.

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**CMEO Program:**

* XO designated, which creates a potential conflict of interest.
* The CMEO Manager must not create a conflict of interest with other duty assignments (i.e. member of the command TRIAD, legal officer, etc.).
* Designated process owner is a student (OC, MECEP and/or MIDN).
* Following orientation, students not completing critique sheets and properly forwarding the critiques through the chain of command.

Also see OPNAVINST 5354.1J, Appendix G, CMEO Program Checklist.

**DAPA and SAPR Collateral Duties:**

* XO designated, which creates a potential conflict of interest.
* DAPA does not have access to ADMITS or iFTDTL.
* Another command performs the DAPA or SAPR services; however, there is no written Memorandum of Understanding/Agreement (MOU/A) between the commands.
* Draft MOU/As not routed through NSTC N4 Support Agreement Manager (SAM), NSTC OGC and RLSO for legal review.
* Missing CO, XO and SEA/SEL’S **Annual** ADAMS for Leaders Training.
* Staff missing annual SAPR Training.
* One-on-One SAPR Brief from the SARC and the Commander’s Toolkit not completed within 30 days of the CO assuming command.
* CO missing the Military Rules of Evidence (MRE) 514, Victim’s Privilege Training from a RLSO JAG.
* Missing SAPR Pre-commissioning Video training for Senior MIDN 1/C.
* Missing SAPR-Leadership (L) for Junior MIDN 2/C.
* Missing SAPR Broken Trust for Sophomore MIDN 3/C.
* Missing SAPR Above Board for Freshman MIDN 4/C.

**Performance Review Boards (PRB)/Disenrollments:**

* PRB templates not current with the ROD requirements.
* Five-business days prior to the Boards, students not acknowledging receipt of all the PRB documents to be presented at the Board.
* Full SSNs on the Privacy Act Statements.
* For major offenses and any subsequent PRB chaired by an O-3 for a minor offense, the Senior Voting Member (SVMBR) not an O4 or above and there is no waiver of the requirement.
* Convening Orders improperly annotates more than two Non-Voting Members (NVMBRs).
* The NVMBR Recorder is not an officer or senior enlisted.
* Recorder discusses, in detail, and presents PRB documents to the Board Members prior to the Board convening.
* Senior Member not a voting member.

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* **Ratio votes of the Board’s findings and recommendations not annotated in the Report, to wit:**

**By a vote of \_ to \_, the Board finds . . . and**

**By a vote of \_ to \_, the Board recommends . . .**

* The PRB Report does not include all documents considered by the Board as an enclosure.
* Students not acknowledging receipt of the PRB Report five-business days after the Board and afforded five-business days to provide a written response to CO prior to the PNS signing the PRB Endorsement.
* PNS did not concur or noncur with the Board’s recommendation.
* Students not acknowledging receipt of the CO’s, PRB Endorsement and afforded five-business/working days to submit a rebuttal.
* Disenrollment recommendations not being forwarded to NSTC N9 within 30 days of the date of the PRB or the date that the student waived the right to the PRB; nor is there any justification for the delay.
* Recommended Disenrollments not containing a recommendation for repayment: AES or recoupment.
* Recommended Disenrollments not containing justification for “definitely not recommended”.
* Commands not properly maintaining complete files of official Disenrollments for two years and the current year per SECNAVINST 5210.8F.
* Some Disenrollments missing copies of the NSTC N9/CNSTC/MCRC Endorsements, as well as the final approval and/or disapproval of ASN (M&RA), CNSTC, NSTC N9 and/or Command Level CO/OIC

**Command Evaluation (CE) Program:**

* Program not established or dormant since last inspection.
* NETCINST 5000.1D guidance not adhered to.
* CE Officer not designated, in writing.
* CE Officer/Team not of the designated grade E7/GS-9 or above.
* Other Evaluators perform the reviews, however a CE Team not established nor designated, in writing.
* CE Members improperly conduct reviews on their own WPs/
* CE Guides/Checklists not established for each review.
* CE Reports not numbered and linked to working papers.
* CE Reports do not accurately address the conditions noted.
* Management responses to recommendations not signed and dated.
* Recommendations and follow-up actions not tracked.

**Physical Readiness Program (Physical Training (PT)/Swim, Command Fitness and Fitness Enhancement Program (FEP):**

* Semi-annual PFAs not being conducted.
* Unqualified swimmers.
* CFL/ACFL not qualified per OPNAVINST 6110.1K.

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* CFL does not have access to PRIMS 2 to properly manage PFA data; and within 30 days of the command’s PFA cycle, the CFL does not enter the PFA scores into PRIMS.
* No method in place to execute and track remedial swim training.
* PFA notification is not published at least ten weeks prior to the PFA.
* PHA and PARFQ are not properly completed prior to the PFA.
* The PRIMS Command Detail Screen is not properly updated.
* Staff and Student PRIMS documentation not available for review.
* Individual Members not reviewing and verifying accuracy of the PFA data in PRIMS within 60 days of the PFA cycle.
* CFL not maintaining, for five years, all original written documents (notes, worksheets, etc.) of official command PFAs.
* Staff not conducting mandatory PT three times a week.
* FEP not conducted per OPNAVINST 6100.1K guidance.

**Privacy Program (Personally Identifiable Information)**

* Semi-annual PA Spot Checks not being conducted.
* Annual Privacy Act Training not completed.
* Privacy Act Point of Contact (PA POC) not designated, in writing.
* PA/PII Breeches not recorded and forwarded to NSTC OGC.

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**Effective January 2023**

**RATING CRITERIA**

**Number of Recommendations** **Overall Score**

 0-2 Outstanding

 3-4 Excellent

 5-6 Good

 7-8 Satisfactory

 9+ Unsatisfactory\*

**\*Unsatisfactory scores may require a re-inspection within six months.**

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**NROTCU ASSESSABLE UNITS REQUIRING APPOINTMENT/DESIGNATION**

**Assessable Unit Type of Letter or Form**

PRB Appointment Letter for each Board and Collateral Duty

 Assignments/Boards

CE Program Appointment/Designation Letters and Collateral Duty

 Assignments/Boards

Physical Readiness Program Appointment/Designation Letters and Collateral Duty Assignments

Urinalysis Program Appointment/Designation Letters and Collateral Duty Assignments

DAPA Program Appointment/Designation Letters and Collateral Duty Assignments

SAPR Program Appointment/Designation Letters and Collateral Duty Assignments

CMEO Program Appointment/Designation Letters and Collateral Duty Assignments

General Property Appointment/Designation Letter

Privacy Act/PII Program Appointment/Designation Letters and Collateral Duty Assignments

GPC/CONVCKS/ESA Reporting Appointment/Designation Letters, DD Form 577, SF 1402 for

 Ordering Officer and Collateral Duty Assignments

GTCC Program Collateral Duty Assignments

DTS DD Form 577 and Collateral Duty Assignments

Civilian T&A Program Collateral Duty Assignments

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