



DEPARTMENT OF THE NAVY
NAVAL SERVICE TRAINING COMMAND
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GREAT LAKES, ILLINOIS 60088-2845

NSTCINST 5040.1G
IG
1 Feb 2021

NSTC INSTRUCTION 5040.1G

From: Commander, Naval Service Training Command

Subj: COMMAND INSPECTION PROGRAM

Ref: (a) SECNAVINST 5040.3A
(b) SECNAVINST 5200.35G
(c) NETCINST 5200.1A

Encl: (1) Command Inspection Schedule for OTC and RTC
(2) Command Inspection Schedule for NROTC Units and Maritime Academies
(3) Command Inspection Program Flowchart
(4) Process Self-Assessment Worksheet
(5) Implementation Status Report, OPNAV 5040/2

1. Purpose. To publish objectives and policies for administering the Command Inspection Program (CIP).
2. Cancellation. NSTCINST 5040.1F.
3. Scope. This instruction applies to NSTC Echelon 4 commands/activities (Officer Training Command (OTC), Recruit Training Command (RTC), Naval Reserve Officer Training Corps (NROTC) Units and Maritime Academies.) Command Inspections (CIs) will be scheduled on a periodic basis per reference (a) and this instruction. Enclosures (1) and (2) provides the CI Schedules.
4. Action
 - a. NSTC IG
 - (1) Serve as principal advisor to NSTC domain activities for the CIP.
 - (2) Act as TL for CIs and exercise overall direction for the CIP.
 - (3) Publish CI schedules.
 - (4) Conduct CIs and follow-up under the policies and procedures contained in references (a), (b) and this instruction.

(5) Coordinate CIs with selected 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 activities involved in the CI. Monitor the completion of recommended corrective actions.

b. NSTC Department Heads, Directors and Special Assistants

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

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

5. Background. 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 Inspection Program (DONIP). 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.

6. Objectives

a. The objective of the CIP is to provide the Commander and Commanding Officers (COs) with an independent assessment of mission execution, risks to execution, command culture and compliance with Navy programs. The CIP provides Commanders and COs 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, universal, financial and associated support processes.
- (2) Reinforcement of the importance of customer and NSTC domain 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 an activity.

c. The Managers' Internal Control Program (MICP) over Operations, as outlined in references (b) and (c), is an effective tool available to a Commander/CO for monitoring performance of command's processes. The processes identified via MICP are functionally and procedurally

complementary to the CIP. Enclosure (3) contains the process flowchart, which depicts the NSTC CIP. The MICP requires all commands within the Naval Education and Training Command (NETC) domain to ensure all their processes are reviewed annually for efficiency, effectiveness and economy.

7. Policy

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

b. NSTC CIs will focus on education and training and not duplicate the CIs conducted by Naval Inspector General (NAVINSGEN). NSTC CIs are intended to be a snapshot across the NSTC domain vice focusing on individual commands. This cross echelon assessment will allow for a review of the following:

- (1) Processes across commands/activities (vice internal processes of a single command)
- (2) Command climate
- (3) Compliance with specific programs
- (4) Key metrics for measuring performance
- (5) Attainment of strategic goals and objectives
- (6) Risk/opportunity assessments
- (7) Standardization

c. The NSTC Inspection Team conducts inspections of Echelon 4 commands/activities that focus on evaluating specific programs and processes within the NSTC domain against requirements outlined in governing directives and instructions. In addition, NSTC assess programs on compliance, effectiveness, and risk.

(1) NSTC assesses compliance as “Compliant,” “Not Fully Compliant,” or “Not Compliant.” A “Compliant” program has no serious deficiencies. A “Not Fully 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, NSTC assesses effectiveness as “Effective,” “Not Fully Effective,” or “Not Effective.” An “Effective” program achieves the goals of the mission or program. A “Not Fully

Effective” program has some shortfalls in performance, but is generally accomplishing its objectives. A “Not Effective” program fails to achieve its performance goals.

(3) NSTC 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 addresses, are likely to negatively impact future performance.

8. Responsibilities of NSTC CI Team Members and Command Participants

a. NSTC Team Leader (TL). Provides overall leadership of the CI Team. NSTC Inspector General (IG) will serve as the TL.

- (1) Directs all facets of the CI.
- (2) Conducts general discussions and individual IG consultations.

b. NSTC CI Manager (CIM). Coordinates directly with the CI Coordinator (CIC) and selected commands to ensure all requirements for the CIP are met. NSTC Deputy IG (DIG) will serve as the CIM.

- (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 to assist top management in

preparing a 10-20 minute PowerPoint presentation for the CI In-brief. The in-brief will include a description of the command’s leadership, mission, organizational structure, statistics, training initiatives, strengths and challenges.

c. Command CIC. Works directly with the CIM. NSTC IG/TL collaborates with the command being inspected to select an appropriate CIC. Typically, the CIC is the MICP Coordinator or the Command Evaluation Officer.

- (1) Coordinates/confirms CI logistics with CIM.
- (2) Coordinates the selected command’s 10-20 minute PowerPoint presentation for the CI In-Brief.

d. NSTC CI Team (CIT)/SME/PA. Interviews leadership, program managers and command personnel. The CIT/SME/PA reviews command policy, strategic planning processes, mission performance, resource management and facilities, Anti-terrorism and Physical Security, as well

as compliance and oversight of the subordinate commands. Works closely with the command's Process Owners (POs).

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

(2) Assesses program compliance against governing guidance.

e. Command POs. Manages and/or controls a process at a command.

(1) Develops a process SAW, process flowchart and interacts with the SMEs/PAs during the inspection.

(2) Has authority to make process changes.

9. Notification and Preparation for Inspection

a. 120 days prior to the CI: NSTC IG/TL will notify, via email, the command/activity to be inspected to submit the following information within two weeks to the CIM:

(1) The name of the Command/Activity CIC for NSTC IG/TL's approval; to include the CIC's full name, title, code, telephone number and email address.

(2) As appropriate, the name of the CO, Executive Officer (XO) and Command Master Chief (CMDCM) or Senior Enlisted Leader (SEL) assigned to each command/activity.

b. 90 days prior to the CI, NSTC IG/TL will:

(1) Send an announcement letter to the command/activity confirming the date of the CI and the selected processes for review during the inspection. The intent of the CI is to focus on processes that will achieve the greatest return on investment and provide the greatest command benefit across echelons.

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

c. 60 days prior to the CI, the command inspected will provide directly to the NSTC CIM:

(1) A copy of the CO's bio, command telephone directory and collateral duties list.

(2) A list of primary external customers and their telephone numbers. External customers are commands outside the NSTC domain, for example Military Treatment Facilities, Personnel Support Detachments, Navy College Offices, etc.

(3) A breakdown of assigned staff (military and civilian) and recruit/student personnel as follows:

- (a) Number of staff officers
- (b) Number of staff enlisted
- (c) Number of civil service personnel
- (d) Number of recruits, officer candidates and/or students

(4) An electronic copy of the most recent DEOMI Organizational Climate Survey DEOCS Report.

d. 30 days prior to the CI: Command CIC will submit the following, via email, to the NSTC CIM:

(1) Flowcharts of those selected processes identified by the NSTC IG/TL. Flowcharts shall be depicted at a level to allow the SME/PA and PO to have a clear understanding of the process; and the flowcharts should have been previously developed while completing the annual MICP requirements. Each flowchart shall include the following:

- (a) Command name and process title
- (b) Purpose and governing regulation(s)
- (c) Office code and contact telephone number and email address
- (d) Current date reviewed or revised
- (e) Two or three key metrics
- (f) Description of acronyms used
- (g) For Official Use Only (FOUO) Statement

(2) A process SAW shown in enclosure (4) for each selected process.

(3) The data call CI logistic requirements, per specified action dates.

(4) Any process issues received from external customers for review by the NSTC IG/TL prior to the CI.

(5) The applicable PO's information on the Selected Process Matrix.

(6) A copy of the command's 10-20 minute CI In-Brief presentation.

10. Conduct of CI On-Site

- a. An in-brief will be conducted consisting of presentations by the NSTC IG/TL and by the command participating in the CI. The NSTC IG/TL will provide an overview of the CIP and introduction of key participants.
- b. The command's in-brief presentation shall follow the format provided by the CIM.
- c. Process analyses will commence upon completion of the in-briefs.
- d. During the CI, an analysis of each selected process will be conducted using "flowchart walk-throughs" during which the PO will demonstrate the process to the SME/PA. The PO shall be able to discuss their understanding of the process in relationship to the system it supports. The process SAW, shown in enclosure (4), shall be used to provide an analysis of each area inspected with the process SME/PA.
- e. During the CI, the NSTC IG/TL will be available for personal interviews with members of the inspected command. Any employee, civilian or military, is free to discuss any matter of personal concern other than those involving on-going grievances or EEO/EO complaints. Information disclosed during the course of these interviews will be kept confidential and will not be disclosed outside the IG network, except where it is necessary in order to fully investigate and resolve the issue.
- f. Upon completion of all process analyses, the SME/PA will debrief the PO with a draft Process Issue Paper that outline the findings and recommendations. The NSTC IG/TL will debrief the command on the results of the CI.

11. Reporting Procedures

- a. A formal report will be issued not later than 30 days after completion of the CI. The report will consist of an Executive Summary, Processes Inspected, Recommendations, Process Issue Papers and a sample Implementation Status Report (ISR), OPNAV 5040/2.
- 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 "FOR OFFICIAL USE ONLY." The information contained in the report relates to the internal practices of the DON and is an internal communication within the Navy Department. The report is not releasable without the specific approval of CNSTC. Its contents may not be disclosed outside original distribution, nor may it be reproduced in whole or in part. All requests for the report, extracts there from, or correspondence related thereto will be referred to NSTC IG.

d. Follow-up Actions

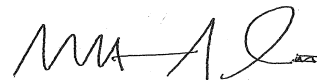
(1) Immediately after completion of the CI, activities shall use the draft Issue Papers to identify issues requiring corrective action. One month following receipt of the formal report, activities will complete an ISR for each issue requiring corrective action. Enclosure (5) provides a sample ISR. The ISRs will be forwarded electronically to the NSTC IG via the CO's review.

NSTC IG will track corrective actions until all are completed. ISRs indicating completed actions will be reported to NSTC IG as they occur.

(2) After the first month's reporting, activities shall submit ISRs by their designated estimated date of completion. Any changes to the completion date must be fully explained in the block entitled "Current Implementation Status." Once an activity completes all corrective actions, NSTC IG will provide a closeout letter and no further ISRs will be required.

12. Records Management. Records created as a result of this instruction, regardless of media and format, must be managed per Secretary of the Navy Manual 5210.1 of September 2019.

13. Review and Effective Date. Per OPNAVINST 5215.17A, IG will review this instruction annually on the anniversary of its effective date to ensure applicability, currency, and consistency with Federal, DoD, SECNAV, and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction. This instruction will automatically expire 5 years after effective date unless reissued or canceled prior to the 5-year anniversary date, or an extension has been granted.



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Releasability and distribution:

This instruction is cleared for public release and is available electronically only via Department of the Navy Issuances Web site, <https://www.netc.navy.mil/Commands/Naval-Service-Training-Command/NSTC-Directives/>

1 Feb 2021

NSTC CI SCHEDULE FOR OTC AND RTC

<u>Command</u>	<u>Date of Visit</u>
Recruit Training Command, Great Lakes, IL	August 2021
Officer Training Command, Newport, RI	August 2023
Recruit Training Command, Great Lakes, IL	August 2024
Officer Training Command, Newport, RI	August 2026
Recruit Training Command, Great Lakes, IL	August 2027
Officer Training Command, Newport, RI	August 2029

NOTE: Dates are tentative and provided for planning purposes. Specific dates will be coordinated with commands at least 120 days in advance. Requests for changes to the schedule shall be submitted to NSTC IG as far in advance of the scheduled date as possible.

1 Feb 2021

NSTC CI SCHEDULE FOR NROTC UNITS AND MARITIME ACADEMIES1. Year 2021

<u>Activity</u>	<u>Date of Visit</u>
NROTCU Cornell University	April 2021
NROTCU University of Rochester	April 2021
NROTCU Embry-Riddle Aeronautical University	May 2021
NROTCU University of South Florida	May 2021
NROTC Maryland Consortium (UMBC/UMCP)	June 2021
NROTC Atlanta Region Consortium (GIT/MH)	July 2021
NROTCU Southern University and A&M College	September 2021
NROTCU Tulane University	September 2021
DNS Texas A&M University, Galveston (Texas Maritime)	November 2021
NROTCU Vanderbilt University	November 2021
NROTC Auburn-Tuskegee Consortium (AU/TU)	December 2021

2. Year 2022

<u>Activity</u>	<u>Date of Visit</u>
NROTCU Virginia Military Institute	January 2022
NROTCU Virginia Polytechnic Institute and State University	January 2022
NROTCU Rutgers University	February 2022
NROTC Hampton Roads Consortium (ODU/NSU/HU)	March 2022
NROTC San Diego Consortium (USD/SDSU)	April 2022
NROTC Philadelphia Consortium (VILL/PENN)	May 2022
NROTC Boston Consortium (BU/MIT)	June 2022
NROTCU Oregon State University	July 2022
NROTCU University of Washington	July 2022
NROTCU George Washington University	August 2022
NROTCU Rensselaer Polytechnic Institute	August 2022
NROTCU Marquette University	September 2022
NROTCU University of Wisconsin	September 2022
NROTCU University of Nebraska	November 2022
NROTCU University of Kansas	November 2022
NROTCU University of Missouri	December 2022
NROTCU University of Oklahoma	December 2022

3. Year 2023

<u>Activity</u>	<u>Date of Visit</u>
NROTCU University of Utah	January 2023
NROTCU University of Idaho	January 2023
NROTC North Carolina Piedmont Region Consortium (DUKE/UNC/NCSU)	February 2023
NROTCU University of Virginia	February 2023

Enclosure (2)

1 Feb 2021

<u>Activity</u>	<u>Date of Visit</u>
NROTCU University of Arizona	March 2023
NROTCU Arizona State University	March 2023
NROTCU Miami University	April 2023
NROTCU Ohio State University	April 2023
NROTCU Carnegie Mellon University	May 2023
NROTCU Pennsylvania State University	May 2023
NROTC Chicago Consortium (NU/IIT)	June 2023
NROTCU University of Michigan	July 2023
NROTCU University of Notre Dame	July 2023
NROTCU Iowa State University	September 2023
NROTCU University of Minnesota	September 2023
NROTC Houston Consortium (RICE/PVAMU)	November 2023
NROTCU University of Texas	December 2023
NROTCU Texas A&M University	December 2023

4. Year 2024

<u>Activity</u>	<u>Date of Visit</u>
NROTCU Jacksonville University	January 2024
NROTCU Savannah State University	January 2024
NROTC Mid-South Region Consortium (MISS/MEMPHIS)	February 2024
NROTCU The Citadel	March 2024
NROTCU University of South Carolina	March 2024
NROTC Los Angeles Consortium (USC/UCLA)	April 2024
NROTCU University of California Berkeley	May 2024
DNS California Maritime Academy	May 2024
NROTCU University of Florida	June 2024
NROTCU Florida A&M University	June 2024
NROTCU Purdue University	July 2024
NROTCU University of Illinois	July 2024
NROTCU University of Colorado	September 2024
NROTCU University of New Mexico	September 2024
DNS Great Lakes Maritime Academy	November 2024
DNS Massachusetts Maritime Academy	November 2024
NROTCU College of the Holy Cross	December 2024
NROTCU Yale University	December 2024

5. Year 2025

<u>Activity</u>	<u>Date of Visit</u>
NROTCU State University of New York Maritime College	January 2025
DNS U.S. Merchant Marine Academy	January 2025
NROTCU Maine Maritime Academy	February 2025
NROTCU Norwich Academy	February 2025
NROTCU University of Hawaii	March 2025

Enclosure (2)

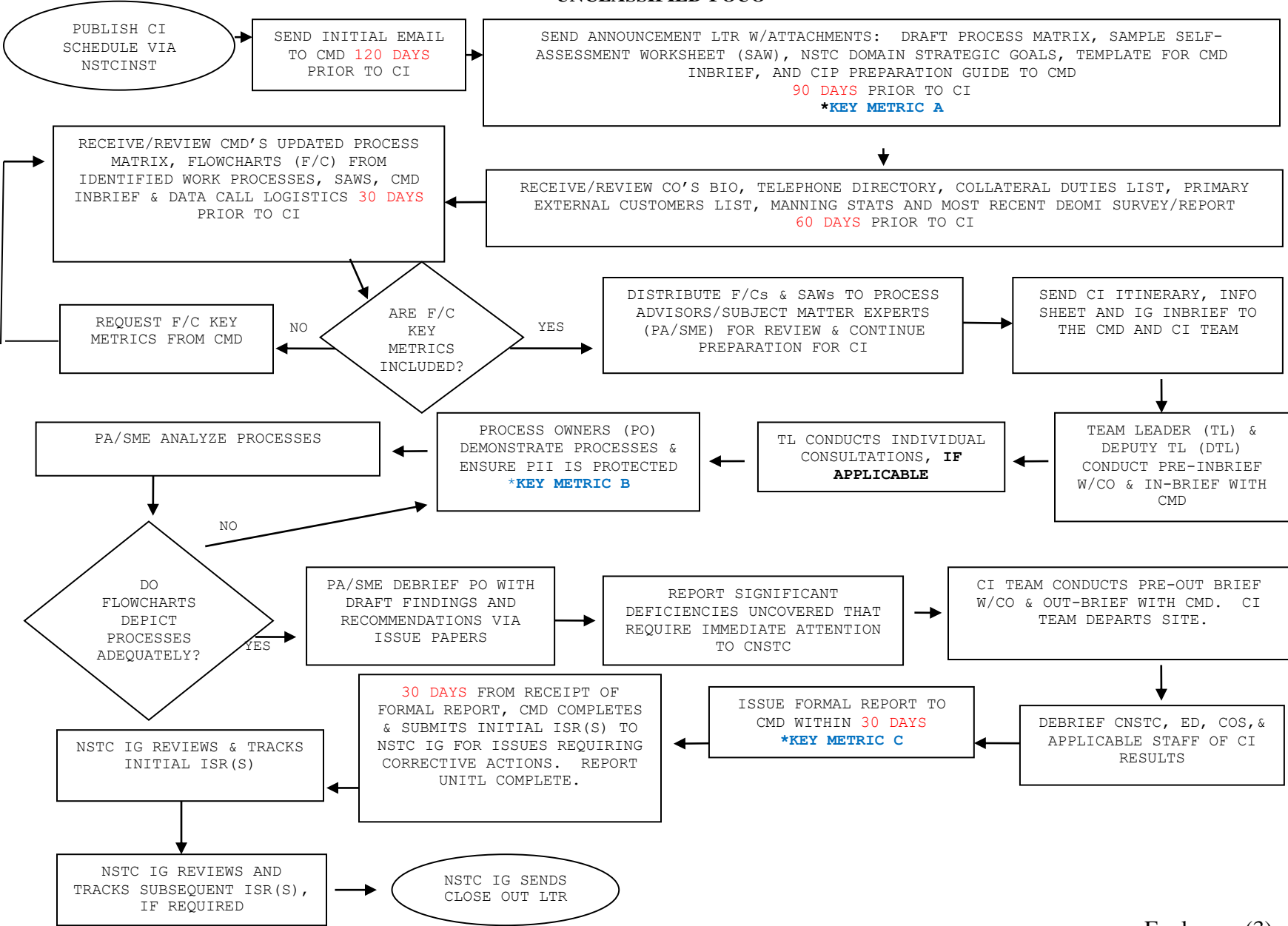
<u>Activity</u>	<u>Date of Visit</u>
NROTCU Cornell University	April 2025
NROTCU University of Rochester	April 2025
NROTCU Embry-Riddle Aeronautical University	May 2025
NROTCU University of South Florida	May 2025
NROTC Maryland Consortium (UMBC/UMCP)	June 2025
NROTC Atlanta Region Consortium (GIT/MH)	July 2025
NROTCU Southern University and A&M College	August 2025
NROTCU Tulane University	August 2025
DNS Texas A&M University, Galveston (Texas Maritime)	September 2025
NROTCU Vanderbilt University	September 2025
NROTC Auburn-Tuskegee Consortium (AU/TU)	November 2025
NROTCU Virginia Military Institute	December 2025
NROTCU Virginia Polytechnic Institute and State University	December 2025

NOTE: Dates are tentative and provided for planning purposes. Specific dates will be coordinated with activities at least 120 days in advance. Requests for changes to the schedule shall be submitted to NSTC IG as far in advance of the scheduled date as possible.

Command Inspection Program (CIP)
Purpose: Process by which NSTC CIP is administered. (NSTCINST 5040.1G)
Process Owner: NSTC IG (847) 688-2258 (DSN) 792

***KEY METRIC**

UNCLASSIFIED-FOUO



PROCESS SELF-ASSESSMENT WORKSHEET

1. **PROCESS TITLE:** (Activity and Name of Process)
2. **REFERENCE:**
3. **STRATEGIC GOAL:** (Identify a NSTC domain strategic goal the process supports.)
4. **RESPONSIBLE POINT OF CONTACT:** (Identify the Program Manager or Process Owner responsible for the oversight of this particular area, their full name, title, code, phone number, and email.)
5. **BRIEF DESCRIPTION OF PROCESS:**
6. **BRIEF DESCRIPTION OF HOW WELL THE PROCESS IS WORKING:**
7. **PROCESS REQUIREMENTS:** (Describe the overall program requirements established to implement an effective program at your command.)
8. **BRIEF DESCRIPTION OF PROCESS METRICS:** (Describe what process metrics are used to determine the effectiveness of the process?)
9. **BRIEF DESCRIPTION OF STRENGTHS AND INNOVATIONS:**
10. **BRIEF DESCRIPTION OF ANY WEAKNESSES AND/OR OPPORTUNITIES FOR IMPROVEMENT:**
11. **KEY ACRONYMS:**

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IMPLEMENTATION STATUS REPORT

NSTCINST 5040.1G

1 Feb 2021

STATUS AS OF (DATE)	REPORTED BY (ACTION COMMAND)
ACTION OFFICER (NAME AND EXTENSION)	COORDINATING ACTION (ACTION COMMAND)
IDENTIFICATION OF REPORT (NSTC ASSIST VISIT/INCLUDE SERIAL AND DATE.)	
IDENTIFICATION OF ACTION ITEM (RECOMMENDATION NUMBER/PARAGRAPH NUMBER)	
RECOMMENDATION:	
CURRENT IMPLEMENTATION STATUS (IF ACTION CONSIDERED COMPLETE, SO STATE.)	
NEXT STEP IN IMPLEMENTING THE REQUIRED ACTION (INCLUDE ESTIMATED DATE OF COMPLETED ACTION)	

OPNAV 5040/2 (NOV 1968)