

INTERNAL CONTROL SYSTEM TEST							
1. Command/Department:							
2. Work Process/Assessable Unit Title:							
3. Process is linked to what NSTC domain strategic goal	<p>Lines of Effort/Goal 1: <u>Build Basic Skills</u> Produce physically fit warfighters proficient at basic damage control, firefighting, watch standing, navigation, and seamanship.</p> <p>Lines of Effort/Goal 2: <u>Prepare for the Future</u> Understand current and emerging Fleet requirements to produce Sailors ready to deploy.</p> <p>Lines of Effort/Goal 3: <u>Instill Core Attributes</u> Build the foundation of our Sailors' professional identity by instilling integrity, accountability, initiative, and toughness.</p> <p>Lines of Effort/Goal 4: <u>Promote Citizenship</u> Instill values of citizenship, service to the nation, personal responsibility, and a Sense of accomplishment.</p> <p>Guiding Principles/Goal 5: <u>Ensure Effective Curricula</u> Ensure the effectiveness and relevance of accession training curricula. Continuously monitor internal activities/programs, eliminating, modifying, or shifting, as appropriate, to attain desired training outcomes.</p> <p>Guiding Principles/Goal 6: <u>Build a Standards Based Organization</u> Continuously employ standards for character and professional competencies. Students will demonstrate required standards before progressing to the next phase of training. Measure and strive to enhance Fleet readiness.</p> <p>Guiding Principles/Goal 7: <u>Improve Production Management</u> Utilize technology and process refinement to improve accessions training operations. Seek to improve data accuracy, increase data velocity, lessen duplication, and reduce administrative costs and waste.</p> <p>Guiding Principles/Goal 8: <u>Enhance Collaboration and Partnership</u> Engage internal and external partners to facilitate better knowledge transfer, integration of best practices, and improved use of resources.</p> <p>Guiding Principles/Goal 9: <u>Promote Stewardship</u> Actively manage, allocate, and monitor our resources to ensure that they are effectively and appropriately utilized to serve the Navy and our nation.</p>						
4. Does the process include Privacy Act Information?	<table style="width: 100%; border: none;"> <tr> <td style="width: 80%;"></td> <td style="text-align: center; width: 10%;">Yes</td> <td style="text-align: center; width: 10%;">No</td> </tr> <tr> <td colspan="3" style="padding-top: 5px;">If yes, the Operational Risk Management (ORM) Assessment, shall include Personal Identifiable Information (PII) as a process risk (hazard).</td> </tr> </table>		Yes	No	If yes, the Operational Risk Management (ORM) Assessment, shall include Personal Identifiable Information (PII) as a process risk (hazard).		
	Yes	No					
If yes, the Operational Risk Management (ORM) Assessment, shall include Personal Identifiable Information (PII) as a process risk (hazard).							
5. Identify key metrics used to measure performance. Annotate the flowchart to show their location(s).	<p>(Normally a work process will have two to three key metrics, internal controls, which show the level of progress towards achieving intended results.)</p>						

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6. Test the key metrics. Are they reliable indicators?	Yes	No
(If no, explain remedies in Item 9 below.)		
<p>7. Way(s) internal controls tested: (Perform and check one or more blocks.)</p> <p style="margin-left: 20px;">Performed a physical inspection or walk-through of the process.</p> <p style="margin-left: 20px;">Reviewed documents.</p> <p style="margin-left: 20px;">Interviewed cognizant managers.</p> <p style="margin-left: 20px;">Evaluated data.</p>		
8. Test Results	Yes	No
<p>a. Does the flowchart accurately reflect the process?</p> <p>b. Is the process producing intended results?</p> <p>c. Are protections against fraud, waste, abuse, and Mismanagement practices adequate?</p> <p>d. Are laws and regulations followed?</p> <p>e. Is the process effective, efficient, and economical?</p> <p>f. Has an Operational Risk Management (ORM) Assessment been performed for each assessable unit process?</p> <p style="margin-left: 20px;">(1) If "YES", attach a completed ORM assessment. If "NO", explain why in Item 9 below.</p> <p style="margin-left: 20px;">(2) For the ORM Assessment, what is the overall Risk Assessment Code (RAC)? (check one)</p> <p style="margin-left: 40px;">1 = Critical 2 = Serious 3 = Moderate 4 = Minor 5 = Negligible</p> <p>g. Are the internal controls acceptable for reducing risks?</p>		
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9. For any "NO" response above, indicate below if any action is planned and expected completion date.

10. Does this process warrant reporting to higher authority as a material weakness? (If yes, briefly discuss why.)	Yes	No
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Attested to by:

Date:

(Additional signature blocks are provided to permit signatures in subsequent years.)