



DEPARTMENT OF THE NAVY

NAVAL SERVICE TRAINING COMMAND
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NSTCINST 5040.2

N9

10 May 2019

NSTC INSTRUCTION 5040.2

From: Commander, Naval Service Training Command

Subj: NAVAL RESERVE OFFICERS TRAINING CORPS COMMAND ASSESSMENT
AND TRAINING TEAM (CATT) PROGRAM

Ref: (a) SECNAVINST 5040.3A
(b) NETCINST 5040.1B
(c) NSTCINST 5040.3
(d) NSTC M-1533.2C
(e) NETCINST 5200.1

Encl: (1) NROTC Three-Year Command Assessment Visit Schedule
(2) NROTC Executive Summary Report
(3) NROTC Program Summary (Stoplight Chart)

1. Purpose. To establish objectives, assign responsibilities, and prescribe procedures for conducting and reporting on Naval Reserve Officers Training Corps (NROTC) unit self-assessments and the command assessment and training team visits under the NROTC Command Assessment Training Team (CATT) Program. This program provides Commander Naval Service Training Command (CNSTC) viable metrics to measure a more comprehensive assessment of unit effectiveness, and satisfies the Managers Internal Control Program (MICP) and inspection requirements of the Immediate Superior In Command (ISIC).

2. Scope. This instruction applies to all NROTC units and Departments of Naval Science (DNS).

a. CATT reviews are conducted at each NROTC unit or DNS every 36 months. Time between CATT reviews shall not exceed 48 months.

b. CATT reviews shall be conducted at least once during the activity's Commanding Officer (CO) or Officer-In-Charge (OIC) tour.

c. Units shall conduct self-assessments once a year, to be completed NLT 30 September. The results should be debriefed at the same time as the annual DEOCS survey debrief with CNSTC.

3. Policy

a. This is a major revision and should be read in its entirety.

- b. The instruction reflects the area visit policies delineated in references (a) and (b).

4. Objectives

- a. Evaluate the readiness, effectiveness, and efficiency of the assessed unit/DNS to perform assigned mission, functions, and tasks.

- b. Assess the adequacy of resources available to the unit/DNS in the performance of assigned mission, functions, and tasks.

- c. Evaluate the effect of any deficiencies, either in administration or resources, on the ability of the unit to perform its assigned mission, functions, and tasks.

- d. Train, as required, to any deficiencies and non-standard practices to ensure compliance with governing policies and instructions.

- e. Evaluate management practices of the unit/DNS.

- f. Recommend, through the chain of command, appropriate action to correct deficiencies.

- g. Verify compliance with directives and requirements of higher authority.

5. Policy. NROTC unit COs and DNS OICs will conduct annual self-assessments. Naval Service Training Command (NSTC) CATT Program Manager (PM) will conduct triennial NROTC unit/DNS visits. CATT provides CO/DNS OICs a thorough review of all assessable programs and training in required areas to strive towards process standardization.

6. Action

- a. NROTC Unit/DNS

- (1) Utilize program checklists to annually review all assessable programs. The documentation must be thorough enough so anyone reading the self-assessment will understand exactly what was found during the review. In most cases, yes/no answers will not be explicit enough to document findings.

- (2) Discrepancies that can be corrected prior to preparing the formal NROTC self-assessment reports, shall be corrected. Report only on those assessable programs that are in need of corrective action. Indicate in the Executive Summary what action is being taken. Also, include those assessable programs where a significant major accomplishment was noted.

- (3) Retain all annual self-assessments, including all checklists utilized and Executive and Program Summaries produced during the assessment, for a minimum of five years.

- b. CATT Program Manager (PM)

(1) Deputy Commander for NROTC Operations will serve as CATT PM by managing the process, schedule and advise NSTC program status.

(2) Assemble a CATT to conduct triennial CATT visits.

(a) Assign a NROTC unit/DNS PNS as CATT PNS Team Lead for each visit.

(b) The CATT will consist of the CATT PNS Team Lead and personnel from NSTC.

(c) Upon review of unit self-assessments, determine areas the unit desires additional help with. Use this information to ensure the CATT is comprised of members with the proper expertise.

(3) Review data from CATT visits to identify program trends and share findings with appropriate NSTC N-codes for follow on action. Disseminate CATT findings to all PNS/Executive Officer (XO)/OIC to further aid NROTC units/DNS in standardization.

(4) Conduct unplanned onsite performance standards visits, as needed, if problems/inconsistencies are detected.

c. CATT PNS Team Lead

(1) Be appointed by CATT PM.

(2) Perform tasking associated with the successful completion of a CATT visit.

(3) Coordinate, facilitate, and execute approved CATT visit.

(4) Liaison with the NROTC unit/DNS PNS at least 45 days prior to the scheduled visit.

(5) Ensure all CATT members review applicable assessment checklists prior to the visit and understand their area of responsibilities.

(6) Provide list of assessable units to the NROTC unit/DNS PNS no later than 30 days prior to the visit.

(7) During visit, maintain situational awareness on progress and any identified critical issues, liaison between NROTC unit/DNS PNS and CATT members and develop an agenda for the following day, if required.

(8) Develop and provide out brief to NROTC unit/DNS PNS upon completion of visit.

(9) Provide an Executive Summary as outlined in enclosure (2). This format will ensure that all Executive Summaries are similar and not reinvented for each PNS assigned as a Team Lead. Complete a Program Summary, enclosure (3), using red, yellow and green shading, as appropriate, for each program. Additionally, compile electronic copies of all completed checklists

for the visit. Send the Executive Summary, Program Summary and complete checklists to NSTC CATT PM and the Unit CO/OIC/XO.

d. CATT members

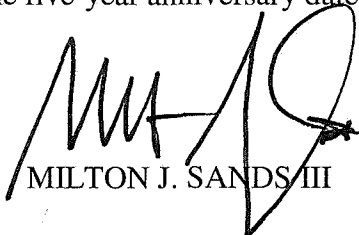
- (1) Assess each assigned program using current checklists.
- (2) Provide results and recommendations to CATT PNS Team Lead upon completion.
- (3) When appropriate, stop assessment and train for the noted deficiencies. If this training prevents completion of assessment, note in results.

e. Unit PNS/DNS will provide a summary of the visit to CNSTC via letter. The letter will be addressed directly to the Commander and there is no need to route the letter through the chain of command. The letter is not a Plan of Action or list of discrepancies with corrective action, but a thoughtful analysis of the deficiencies noted. The letter will address the key areas identified by the CATT with root causes and planned corrective action for those root causes.

7. Reports. The reporting requirements contained in this instruction are exempt from reports control by SECNAV M-5214.1.

8. 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 January 2012.

9. Review and Effective Date. Per OPNAVINST 5215.17A, NSTC 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 five years after effective date unless reissued or canceled prior to the five-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 the Naval Service Training Command issuance website, <http://www.netc.navy.mil/nstc/NSTC Directives/instructions.html>.

THREE-YEAR COMMAND ASSESSMENT VISIT SCHEDULE1. Year 2019

<u>Activity</u>	<u>Date of Visit</u>
NROTCU Embry-Riddle Aeronautical University	February
NROTCU University of South Florida	February
NROTC Maryland Consortium (UMBC/UMCP)	March
NROTCU Cornell University	April
NROTCU University of Rochester	April
NROTCU Oregon State University	April
NROTCU University of Washington	April
DNS Texas A&M University, Galveston (Texas Maritime)	May
NROTCU Vanderbilt University	May
NROTCU Rensselaer Polytechnic Institute	June
NROTCU Rutgers University	June
NROTCU George Washington University	July
NROTCU University of Virginia	July
NROTC Philadelphia Consortium (VILL/PENN)	August
NROTC Hampton Roads Consortium (ODU/NSU/HU)	August
NROTC Boston Consortium (BU/MIT)	September
NROTC Auburn-Tuskegee Consortium (AU/TU)	October
NROTCU Virginia Military Institute	November
NROTCU Virginia Polytechnic Institute and State University	November
NROTCU Southern University and A&M College	December
NROTCU Tulane University	December

2. Year 2020

<u>Activity</u>	<u>Date of Visit</u>
NROTCU University of Arizona	January
NROTCU Arizona State University	January
NROTC Atlanta Region Consortium (GIT/MH)	February
NROTC San Diego Consortium (USD/SDSU)	March
NROTCU Marquette University	April
NROTCU University of Wisconsin	April
NROTCU University of Missouri	April
NROTCU University of Oklahoma	April
NROTCU University of Nebraska	May
NROTCU University of Kansas	May
NROTCU University of Utah	June
NROTCU University of Idaho	June
NROTCU Miami University	July
NROTCU Ohio State University	July
NROTCU Carnegie Mellon University	August
NROTCU Pennsylvania State University	August
NROTC North Carolina Piedmont Region Consortium (DUKE/UNC/NCSU)	August

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NROTC Chicago Consortium (IIT/NU)	September
NROTCU University of Michigan	October
NROTCU University of Notre Dame	October
NROTCU Iowa State University	November
NROTCU University of Minnesota	November
NROTC Houston Consortium (RICE/PVAMU)	December

3. Year 2021

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

Command Assessment/Training Team Executive Summary
NROTCU University of Example
DD-DD Month YYYY

Assessment Summary:

A command assessment/training team (CATT) visit was conducted DD-DD Month YYYY. It was clear the University of Example NROTC Unit is meeting mission and are, based on requirement reviews, conducting operations and their programs effectively. Results of individual program reviews are provided in enclosure (1). The Unit's five-year summary of accessions, retention and production is provided in enclosure (2). The Unit's ability to self-assess is considered satisfactory/needs improvement/unsatisfactory.

Unit Statistics:

Current Average GPA by Class: 1/C – x.xx; 2/C – x.xx; 3/C – x.xx; 4/C – x.xx

Current % Academic Tier 1 & 2 by Class: 1/C – xx.x%; 2/C – xx.x%; 3/C - xxx%; 4/C - xxx%

NNPP Goal/Production: x of y for 2018 (1 year)

5 Year Average DOR/Year: xx.x%

5 Year Average Dis-enroll/Year: x.x%

5 Year Average Production: xx.x%

Pass % PRT/PFT: xx.x%

Areas of Concern:

Provide brief summary the number of areas assessed and the grade assigned. Provide a summary of those areas from the assessment that require improvement. The Assessable area followed by key deficiencies is sufficient. If training and recommended best practice solutions were provided state it here also. Examples of previous Executive Summaries are available from CATT PM to assist in writing this section:

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Others:

Use this section to share additional information with CNSTC. For example, areas that were very good, best practices that should be shared, conduct of the visit, etc. Any information that would help CNSTC and other PNS/OIC.

CATT Members: PNS Team Lead (NROTC University of Elsewhere), Rank Name (NSTC Code), Rank Name (NSTC Code), Mr./Mrs./Ms. Name (NSTC Code)

F MI LAST NAME (PNS Team Lead)

Enclosure (2)

NROTCU University of Example
 DD-DD Mon YYYY

Process	Status
Performance Review Boards (PRB)	
General Military Training (GMT)	
Educational Service Agreement (ESA) Reporting	
Command Managed Equal Opportunity (CMEO) Program	
New Student Orientation (NSO)	
Website Management	
Student Performance Files	
Student Administrative Files	
Physical Readiness Program	
Instructor Requirements	
Urinalysis Program	
Drug and Alcohol (DAPA) Program	
Sexual Assault Prevention & Response (SAPR) Program	
Privacy Act Program	
Student Medical and Dental Records	
Material Accountability (Uniforms, Sub Minor Property, Instructional Materials, MREs/TOTMs and Vehicles)	
Government Commercial Purchase Card (GCPC) Program	