



DEPARTMENT OF THE NAVY

UNITED STATES NAVAL ACADEMY  
121 BLAKE ROAD  
ANNAPOLIS, MARYLAND 21402-5000

USNAINST 5200.5A  
4/CEO

22 JUL 2004

USNA INSTRUCTION 5200.5A

From: Superintendent

Subj: COMMAND EVALUATION PROGRAM

Ref: (a) OPNAVINST 5000.52A  
(b) USNAINST 5370.5B  
(c) USNAINST 5200.4B

1. Purpose. To publish the policies, procedures, and guidelines forwarded by reference (a).
2. Cancellation. USNA Instruction 5200.5.
3. Information. No special markings appear in this instruction because changes are extensive.
4. Background. Reference (a) provides each commanding officer with the authority to set up an independent in-house assessment capability to conduct reviews, evaluations, studies, or analyses.
5. Policy. Naval Academy policy is to maintain a review function that will provide the independent ability to assess in-house the overall efficiency and integrity of all command functions with particular focus on high risk areas susceptible to waste, fraud, and abuse. The Command Evaluation function is maintained for the sole use of the Superintendent and has independence to ensure impartiality. The Command Evaluation Officer reports as a staff assistant directly to the Superintendent.
6. Discussion
  - a. The objective of the Command Evaluation Program is to provide the Superintendent with the means to ensure resources are used effectively, securely, economically, and within legal and administrative constraints. This includes assessing compliance with existing directives, proper expenditure and control of appropriated, nonappropriated and gift funds, review of Naval Inspector General and Chief of Naval Operations command high interest programs, audit liaison and audit coordination, audit follow-up, augmentation of higher authority inspection teams, and investigations of waste, fraud and abuse. The function is a management tool that can assist managers in evaluating the system of management controls in daily operations and follow-up on effective corrective action where necessary. Command Evaluation can be used in any operational or functional area where its services are of value and can cross organizational lines to evaluate the effect of deficiencies on various functional areas. The function focuses solely upon the programs of the Naval Academy and provides a responsive, readily available and independent in-house means to detect and prevent fraud, waste, abuse or mismanagement.
  - b. The Command Evaluation Office has the authority to examine, observe, review and evaluate policies, systems, procedures, records, reports and property at the Naval Academy, and to make contact with any level of management in relation to evaluations and reviews approved by the Superintendent. All levels of operations are subject to review for maximum effectiveness. The scope of a review can include:

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(1) A determination of Naval Academy compliance with existing directives.

(2) An evaluation of proper and prudent use of Naval Academy resources and identification of causes of inefficiencies and uneconomical practices.

(3) A determination as to whether operations best provide for accomplishment of the Naval Academy mission.

(4) A determination as to whether managers adequately execute management controls to safeguard funds, personnel, equipment, and other resources.

c. If a review discloses the possibility of criminal activity, the circumstances will be reported immediately to the Superintendent. Due professional care will be exercised to ensure continued review of the area/function does not jeopardize an ongoing investigation or assume investigative efforts best handled by a trained criminal investigator.

#### 7. Action

a. The Deputy/Chief of Staff is responsible for coordinating all functions and actions across the entire Naval Academy.

b. The Command Evaluation Officer is responsible for:

(1) Formulating and publishing an annual command evaluation schedule.

(2) Conducting financial, operational and compliance reviews, management control evaluations, special reviews and investigations of Naval Academy operations to detect deficiencies, improprieties, and inefficiencies.

(3) Establishing and maintaining an effective follow-up system to make sure corrective actions identified during evaluations and reviews are carried out.

(4) Providing advice and assistance to all levels of management in questions of compliance with existing directives, proper expenditure and control of appropriated, nonappropriated and gift funds, management controls, and external audits. Managers may also request special studies. Reports resulting from these studies will be addressed directly to the manager requesting the assistance.

(5) Acting as liaison with all external audit agencies such as the General Accounting Office, Defense Inspector General, Naval Inspector General, Naval Audit Service, and commercial audit firms. These responsibilities include providing assistance in coordinating dates, times, and locations for entrance and exit conferences; determining points of contacts within the activity to facilitate audit efforts; and assisting in obtaining timely management responses to audit recommendations.

(6) Monitoring the correction of deficiencies revealed by outside audit authorities.

(7) Monitoring the implementation of management controls by evaluating compliance with management control standards and reporting the results to the Superintendent.

(8) Monitoring the Hotline Program per the guidelines of reference (b).

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c. All managers are responsible for:

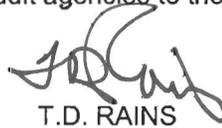
(1) Providing Command Evaluation personnel with unimpeded access to all personnel and information necessary for the successful completion of evaluations and reviews.

(2) Implementing management control systems per the guidelines of reference (c).

(3) Ensuring that corrective actions for deficiencies identified in command reviews, management control evaluations, and external audits are completed in a timely manner. The status of all approved recommendations will be forwarded to the Command Evaluation Officer every 30 days from the endorsement date until completed. Status reports will include the completion date or estimated completion date and specific actions taken to correct deficiencies.

(4) Reporting any suspected cases of fraud or improprieties to the Command Evaluation Officer.

(5) Reporting any contacts with external audit agencies to the Command Evaluation Officer.



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Distribution:  
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