



DEPARTMENT OF THE NAVY
UNITED STATES NAVAL ACADEMY
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30 Mar 15

From: Superintendent, United States Naval Academy
To: Navy Inspector General

Subj: COMMAND INSPECTION OF THE UNITED STATES NAVAL ACADEMY,
18 September - 1 October 2014

Ref: (a) NAVINSGEN ltr Ser N3/1431 of 22 Dec 14

1. Reference (a) identified 56 deficiencies during the USNA Command Inspection. The following delineates corrective action to date and status for each of the identified deficiencies.

Deficiency 1: EOSS is only in place for the YP 703 hull and has not been tailored for hulls 704 through 708 to account for variations within the YP 703 Class.

Action Taken: PEN/INKED EOSS procedures developed and in place for all YPs.

Status: COMPLETE

Deficiency 2: Maximum safe personnel occupancy limits listed in DIVPRODEVINST 3120.2B (USNA YP 703 Standard Operating Procedures (SOP)) for local operations is incorrect.

Action Taken: Change transmittal to local instruction signed out on 25 Mar 2015 to reflect maximum underway crew capacity for each type of class.

Status: COMPLETE

Deficiency 3: Semi-annual travel gift reports submitted by USNA to the Office of General Counsel (OGC) are not accurate because they are based on travel cost estimates vice actual expenditures.

Action Taken: USNA has implemented a new gift of travel form and process that require follow-up with actual expenditures back to the SJA and Comptroller.

Status: COMPLETE

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Deficiency 4: USNA is not fully compliant with conference approval rules when travel gifts do not cover all expenses associated with event. Conference travel with shared costs is not always approved by DON/AA prior to travel.

Action Taken: USNA has implemented a process change to ensure all conference travel that includes any appropriated funding is submitted to DoNAA for approval.

Status: COMPLETE

Deficiency 5: Performance Plans, Mid-year Progress Reviews, and Annual Appraisals were not consistently completed for non-bargaining unit GS employees as required by the DON Interim Performance Management System.

Action Taken: Performance management responsibilities have been reemphasized to all supervisors. USNA has detailed a part-time employee to assist with collecting and filing all appraisals in a centralized Performance File.

Status: ONGOING

Deficiency 6: Performance Standards, Mid-year Progress Reviews, and Annual Ratings of Record were not consistently completed for bargaining unit GS and WG employees.

Action Taken: Performance management responsibilities have been reemphasized to all supervisors. USNA has detailed a part-time employee to assist with collecting all appraisals in a centralized Performance File.

Status: ONGOING

Deficiency 7: Performance Standards, Mid-year Progress Reviews, and Annual Ratings were not consistently completed for Administratively Determined (AD) employees.

Action Taken: Performance management responsibilities has been reemphasized to all supervisors. USNA has detailed a part-time employee to assist with collecting and filing all appraisals in a centralized Performance File.

Status: ONGOING

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Deficiency 8: Individual Development Plans for NAF employees were not completed during the period 2012-2014.

Action Taken: Individual Development Plans were mandated for all NAF employees during the 2014 rating period and are now being completed regularly.

Status: COMPLETE

Deficiency 9: USNA is not following DON Information Technology Procurement Request and approval process guidance.

5 U.S.C. §552(b)(7)(e), 5 U.S.C. §552(b)(7)(f)
[REDACTED]

Status: ONGOING

Deficiency 10: USNA is not using DADMS to register software, check for Functional Area Manager (FAM) approval to run on its network, and track use of any software beyond the allowable version limit.

5 U.S.C. §552(b)(7)(e), 5 U.S.C. §552(b)(7)(f)
[REDACTED]

Status: ONGOING

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Deficiency 11: USNA is not making efforts to reduce the number of printers, fax machines, scanners and other multi-functional devices.

Action Taken: USNA has reduced the number of print devices through life cycle replacement of individual printers, copiers, fax machines, and copiers with shared multifunction devices. USNA continues to seek print management efficiencies without compromising mission effectiveness. Engagement of the DLA to meet USNA print needs has failed to produce solutions acceptable to USNA stakeholders. USNA will seek exemption from Navy policy to permit continued reliance on its existing print management approach as a better-fit and more efficient solution than available through DLA.

Status: ONGOING

Deficiency 12: USNA is not utilizing Navy Enterprise Licensing Agreements (ELA) for software purchases.

Action Taken: USNA has taken action to be fully compliant with Navy Enterprise Licensing Agreement utilization requirements.

Status: COMPLETE

Deficiency 13: The collateral duty USNA Staff Safety Officer and Brigade of Midshipmen Safety Officer have not completed the required Introduction to Navy Occupational Safety and Health (Ashore) course of instruction, CIN A-493-0050.

Action Taken: USNA Staff Safety Officer is scheduled to attend required course in May 2012. The Brigade of Midshipmen Safety Officer has completed required training.

Status: ONGOING

Deficiency 14: USNA does not have an organizational chart that includes safety as a staff function, with a Safety Officer reporting to the Superintendent.

Action Taken: USNA organizational chart updated to reflect the Safety Officer reporting to the Superintendent.

Status: COMPLETE

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Deficiency 15: USNA does not have a comprehensive self-assessment program to review the effectiveness of mission safety programs not supported by NSA Annapolis.

Action Taken: USNA is in the process of realigning an officer billet as a full-time safety officer who will provide self-assessment of USNA's safety program. In the interim, USNA coordinates with NSA Annapolis for assessment support.

Status: ONGOING

Deficiency 16: USNA does not have an HRT program.

Action Taken: USNA has coordinated a Naval Safety Center HRT Assist Visit in May 2015 to help establish a formal USNA HRT program in accordance with OPNAVINST 1500.75C.

Status: ONGOING

Deficiency 17: A Safety and Occupational Health Management Evaluation (SOHME) of the Naval Academy Preparatory School has not been conducted within required periodicity.

Action Taken: The Naval Academy Preparatory School is coordinating SOHME with Naval Station Newport Safety Office.

Status: ONGOING

Deficiency 18: Tagout audit procedures are not consistently conducted in accordance with approved procedures at the Waterfront Maintenance Activity.

Action Taken: Appropriate training conducted and tag-out audits are now conducted weekly.

Status: COMPLETE

Deficiency 19: At the time of the inspection, USNA had between 300-400 PSIs out of date.

Action Taken: Over 100 out of date PSIs initiated. Two Command Security Manager personnel have recently left their positions resulting in a work-force insufficient to steadily progress on remaining outstanding PSIs. Hiring actions in process.

Status: ONGOING

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Deficiency 20: A safe containing classified information was found open and unguarded during the inspection.

Action Taken: Investigation completed and safe combination changed; counseling and appropriate security training conducted.

Status: COMPLETE

Deficiency 21: Security Container Information forms (SF 700) Parts 2 and 2A were not stored in a General Services Administration (GSA) approved container.

Action Taken: SF 700 Parts 2 and 2A forms now stored in GSA approved container. Appropriate security training conducted.

Status: COMPLETE

Deficiency 22: Activity Security Checklists (SF 701) and Security Container Check Sheets (SF 702) were not consistently used.

Action Taken: Appropriate security training conducted. SF 701 and 702 forms are now in use with all safes which have the potential to store classified information.

Status: COMPLETE

Deficiency 23: USNA is not providing oversight of security programs at the Naval Academy Preparatory School.

Action Taken: USNA Command Security Manager has established process to provide oversight of NAPS security programs.

Status: COMPLETE

Deficiency 24: USNA is not maintaining records of annual security refresher training 5 U.S.C. §552(b)(7)(e), 5 U.S.C. §552(b)(7)(f)

Action Taken: USNA has established a more robust quarterly security training program, including centralized records of training completion. 5 U.S.C. §552(b)(7)(e), 5 U.S.C. §552(b)(7)(f) 5 U.S.C. §552(b)(7)(e), 5 U.S.C. §552(b)(7)(f)

Status: COMPLETE

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Deficiency 25: 5 U.S.C. §552(b)(7)(e), 5 U.S.C. §552(b)(7)(f)

Action Taken: 5 U.S.C. §552(b)(7)(e), 5 U.S.C. §552(b)(7)(f)

Status: ONGOING

Deficiency 26: USNA's Cyber Security Work Force Support Contract, signed 17 September 2014, does not specify the required clearance level for tier one access (administrator access). Contract must stipulate a Single Scope Background Investigation (SSBI) is required for tier one access.

Action Taken: The contract referenced expires in September. The new contract will include the correct wording and specifications.

Status: COMPLETE

Deficiency 27: 5 U.S.C. §552(b)(7)(e), 5 U.S.C. §552(b)(7)(f)

Action Taken: 5 U.S.C. §552(b)(7)(e), 5 U.S.C. §552(b)(7)(f)

Status: COMPLETE

Deficiency 28: USNA is not providing oversight of lower echelon OPSEC programs.

Action Taken: 5 U.S.C. §552(b)(7)(e), 5 U.S.C. §552(b)(7)(f) includes oversight requirement for Naval Academy Preparatory School.

Status: COMPLETE

Deficiency 29: 5 U.S.C. §552(b)(7)(e), 5 U.S.C. §552(b)(7)(f)

Action Taken: 5 U.S.C. §552(b)(7)(e), 5 U.S.C. §552(b)(7)(f)

Status: ONGOING

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Deficiency 30: 5 U.S.C. §552(b)(7)(e), 5 U.S.C. §552(b)(7)(f)

Action Taken: 5 U.S.C. §552(b)(7)(e), 5 U.S.C. §552(b)(7)(f)

Status: ONGOING

Deficiency 31: Administrator rights for individual computers that operate on the USNA AEEE are not controlled by the Information System Security Officer (ISSO).

Action Taken: USNA ITSD is identifying users who may have their administrator rights removed with minimal or no mission impact.

Status: ONGOING

Deficiency 32: 5 U.S.C. §552(b)(7)(e), 5 U.S.C. §552(b)(7)(f).

Action Taken: 5 U.S.C. §552(b)(7)(e), 5 U.S.C. §552(b)(7)(f)

Status: ONGOING

Deficiency 33: Emails containing PII are not routinely encrypted.

Action Taken: Appropriate training has been conducted Yard-wide to ensure emails containing PII are routinely encrypted.

Status: COMPLETE

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Deficiency 34: USNA does not provide oversight of the PII programs of Naval Academy Preparatory School.

Action Taken: 5 U.S.C. §552(b)(7)(e), 5 U.S.C. §552(b)(7)(f) providing PII oversight of the Naval Academy Preparatory School.

Status: ONGOING

Deficiency 35: The Privacy Impact Assessment (PIA) for AEEE, recently approved by DON CIO, is inaccurate. It lists a number of safeguards and technical controls that were not actually in place.

Action Taken: The AEEE is the USNA Academic Enterprise Education Enclave registered with Navy as USNA's IT system of record. A revised PIA was submitted to Navy 12 Sep 14.

Status: COMPLETE

Deficiency 36: USNA failed to adhere to requirements to maintain accountable records within a compliant personal property system prior to 2014.

Action Taken: USNA issue a new personal property instruction and inventoried/updated personal property records in 2014 prior to the IG inspection. USNA will continue to adhere to personal property system records in the future.

Status: COMPLETE

Deficiency 37: USNA has not regularly reported IMR to the Superintendent and senior Academy leadership.

Action Taken: USNA's Medical Readiness Coordinator now forwards the monthly Medical Readiness report which delineates current personnel deficiencies and the commands current medical readiness status to the COS. The COS briefs the Superintendent at regular scheduled office calls.

Status: COMPLETE

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Deficiency 38: USNA DAPA is a collateral duty rather than full-time position as required for a command of this size.

Action Taken: USNA has a full-time Alcohol and Drug Control Officer, a collateral duty DAPA, and a collateral duty Assistant DAPA. USNA is not resourced to support a full-time DAPA. Given the historic DAPA-related workload, USNA considers this manning sufficient to meet current and future DAPA requirements.

Status: COMPLETE

Deficiency 39: The USNA SAPR instructions, USNAINST 1752.2F and COMDTMIDNINST 1752.1G, are incorrect and do not reflect the requirements of the program as documented in DoD, SECNAV and OPNAV SAPR instructions.

Action Taken: Revisions to USNAINST 1752.2F in progress.

Status: ONGOING

Deficiency 40: Some personnel with SAPR roles at USNA (SACMG members, DCC, SAPR POC, and SAPR Liaison) have not received required training.

Action Taken: All personnel with SAPR roles recently received required training.

Status: COMPLETE

Deficiency 41: USNA does not conduct formal watch stander training for the "Main Office" watch standers, to include midshipmen and Company Officers/Senior Enlisted Leaders, to ensure that proper response protocols are in place to respond to reports of sexual assault (SA).

Action Taken: Formal watch stander training completed for all Officers of the Watch, Staff Duty Officers, and Midshipman Watch Standers.

Status: COMPLETE

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Deficiency 42: Chief of Staff, USNA and Commandant of Midshipmen inclusion in SA reporting is not in writing and has not been formally communicated to personnel.

Action Taken: Formal communication completed. COS and Commandant inclusion will be codified in next version of USNA SAPR instruction.

Status: ONGOING

Deficiency 43: Key SAPR program personnel (SAPR Liaison, SAPR POC, and DCC) are not formally designated by the Superintendent.

Action Taken: All key SAPR program personnel have recently been designated in writing by the Superintendent.

Status: COMPLETE

Deficiency 44: The reporting chain from victim to Superintendent includes numerous personnel without an official need-to-know and does not maximally preserve victim confidentiality and privacy.

Action Taken: USNA has determined that given the size of the Brigade (4500+), official need-to-know must extend beyond the Commandant of Midshipmen, and should extend to the Company Officer level (150+ personnel reporting). All personnel outside this reporting chain are excluded from need-to-know information.

Status: COMPLETE

Deficiency 45: The USNA SACMG is attended by individuals that are not directly involved with a specific SA case, do not have a "need to know" and are not required SACMG members.

Action Taken: USNA SACMG attendance streamlined to those individuals with a need to know.

Status: COMPLETE

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Deficiency 46: USNA does not have a formal process to handle and report expedited transfer requests of SA victims in accordance with requirements.

Action Taken: USNA follows MILPERSMAN 1300-1200 for expedited transfer requests. Inter-company changes for midshipmen victims are handled formally by the Commandant's staff.

Status: COMPLETE

Deficiency 47: DSAID data entry on SA cases is incomplete, with many fields missing required information.

Action Taken: DSAID entry updated and is now reconciled monthly with CNIC DSAID report.

Status: COMPLETE

Deficiency 48: Two UVAOs are insufficient to effectively execute the Voting Assistance Program.

Action Taken: Based on USNA's command composition, CNIC Voting Representative suggests UVAOs in each Company in the Brigade, increasing the number of UVAOs from 2 to 30. UVAOs are currently being identified and appointed.

Status: ONGOING

Deficiency 49: USNA does not conduct oversight for their lower echelon subordinate command (Naval Academy Preparatory School).

Action Taken: USNA UVAO is now providing oversight to NAPS, providing direction on required reporting and training.

Status: COMPLETE

Deficiency 50: USNA does not have absentee voter registration, ballot request and absentee ballot submission information, and deadlines in written format for those citizens who do not have access to online documents.

Action Taken: Absentee voter registration, ballot request and absentee ballot submission information, and deadlines are now available in written format from the USNA UVAO upon request.

Status: COMPLETE

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Deficiency 51: USNA does not have comprehensive command-wide voting awareness, assistance programs, and activities in support of the requirement to annually deliver SF 76s, "Federal Post Card Applications (FPCA)", by January 15.

Action Taken: Voting awareness notes are included in the USNA Plan of the Week and are distributed electronically to all USNA personnel from a dedicated "Voting Assistance" email address. Additionally, a USNA Voting Assistance website is maintained on the USNA intranet for all personnel, providing direct links to VFAP information, forms, and resources. The UVAO electronically distributed directions and PDF SF76s to all users in January 2015. Voting awareness activities and training within the Brigade of Midshipmen will be executed once additional Company-level UVAOs are designated.

Status: ONGOING

Deficiency 52: USNA does not conduct annual training for all uniformed service members (including activated and Reserve personnel) on absentee registration and voting procedures.

Action Taken: Once designated, Company-level UVAOs will conduct voting awareness training for the Brigade of Midshipmen (over 80% of uniformed members at command). Military faculty and staff will be directed to complete existing voting training during a low workload period in the future.

Status: ONGOING

Deficiency 53: USNA has not regularly published messages to provide suicide prevention guidance and information and has not incorporated suicide prevention as a part of life skills and health promotion training.

Action Taken: USNA has instituted a practice whereby suicide prevention guidance and information is periodically reiterated to our personnel.

Status: COMPLETE

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Deficiency 54: Watchstander and Duty Officer training was not being conducted to ensure proper crisis response to suicide-related behavior calls and reports.

Action Taken: Watchstander and Duty Officer training regarding suicide-related behavior calls and reports has been reinstated.

Status: COMPLETE

Deficiency 55: Suicide prevention training is not being conducted for civilian personnel and full-time contractors.

Action Taken: Suicide prevention training has been incorporated into USNA training requirements and will be executed during the course of FY15.

Status: ONGOING

Deficiency 56: Travel vouchers are not being liquidated within prescribed timelines.

Action Taken: A new DTS support contract has been awarded, providing additional support for timely travel voucher liquidation. Backlog is being expeditiously processed.

Status: ONGOING

2. Those deficiencies not corrected to date will be updated quarterly until completed.


W. E. CARTER, JR