



DEPARTMENT OF THE NAVY
UNITED STATES NAVAL ACADEMY
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USNAINST 5200.5C
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USNA INSTRUCTION 5200.5C

From: Superintendent, United States Naval Academy

Subj: COMMAND EVALUATION PROGRAM

Ref: (a) SECNAVINST 5200.35F
(b) USNAINST 5370.5D
(c) USNAINST 5200.4D

1. Purpose. To publish policies, procedures, and guidelines forwarded by reference (a).
2. Cancellation. USNA Instruction 5200.5B dated 16 Dec 2009.
3. Background. Per reference (a), Command Evaluation is a tool of the Managers' Internal Control Program to provide Commanding Officers (CO) an independent, in-house assessment designed to assist the CO in improving mission accomplishment, integrity of command, and economical use of resources. Command Evaluation conducts reviews, studies, analysis, and evaluations of command and activity operations. Command Evaluation is used to detect deficiencies, improprieties, or inefficiencies, and is intended to provide recommendations to correct conditions that adversely impact mission accomplishment. The Program is a staff function that reports directly to the CO, vice commander or executive officer.
4. Policy. United States Naval Academy (USNA) policy is to maintain a review function that supports the Managers' Internal Control Program and provides the independent, in-house ability to assess the overall efficiency and integrity of all command functions with particular focus on high risk areas susceptible to fraud, waste, and mismanagement. The function is maintained for the sole use of the Superintendent and has independence to ensure impartiality. The USNA Inspector General (Inspector General) oversees the Command Evaluation function and reports as a special assistant directly to the Superintendent.

5. Discussion

a. The objective of the Command Evaluation Program is to provide the Superintendent 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, audit coordination, and audit follow-up; augmentation of higher authority inspection teams; and investigations of fraud, waste, and mismanagement. The function is a management tool that can assist managers in evaluating internal 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 USNA programs and provides a responsive, readily available, and independent in-house means to detect and prevent fraud, waste, and mismanagement.

b. Command Evaluation has the authority to examine, observe, review, and evaluate policies, systems, procedures, records, reports, and property at USNA, 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:

(1) A determination of USNA compliance with existing directives.

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

(3) A determination as to whether operations best accomplish USNA's mission.

(4) A determination as to whether managers adequately execute internal 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 that a continued review of the area/function does not jeopardize an ongoing investigation or assume investigative efforts that would be best handled by a trained criminal investigator.

6. Action

a. The Inspector General is responsible to:

(1) Formulate and publish an annual command evaluation schedule.

(2) Conduct financial, operational, and compliance reviews; managers' internal control evaluations; special reviews; and investigations of USNA operations to detect deficiencies, improprieties, and inefficiencies.

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

(4) Provide advice and assistance to all levels of management on questions of compliance with existing directives; proper expenditure and control of appropriated, nonappropriated, and gift funds; managers' internal 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) Act as liaison with all external audit and review agencies such as the General Accounting Office, Defense Inspector General, Naval Inspector General, Naval Audit Service, Navy Installation Command Fiscal Oversight Team, and commercial audit firms. These responsibilities include providing assistance in coordinating dates, times, and locations for entrance and exit briefings; determining points of contacts within the activity to facilitate audit efforts; and assisting in obtaining timely management responses to audit recommendations.

(6) Monitor the correction of deficiencies revealed by outside audit activities.

(7) Monitor the implementation of managers' internal controls by evaluating compliance with internal control standards and report the results to the Superintendent.

(8) Manage the Hotline Program per reference (b).

(9) Manage the Manager's Internal Control Program per reference (c).

b. All managers are responsible to:

(1) Provide personnel conducting Command Evaluation functions with unimpeded access to all personnel and information necessary to successfully complete evaluations and reviews.

(2) Implement managers' internal controls per reference (c).

(3) Ensure that corrective actions for deficiencies identified in command reviews, managers' internal control evaluations, and external audits are completed in a timely manner. The status of all approved recommendations will be forwarded to the Inspector General as detailed in the report endorsement. Status reports will include the completion date or estimated completion date and specific actions taken to correct deficiencies.

(4) Report any suspected cases of fraud or improprieties to the Inspector General at 410-293-1632, DSN 281-1632, or usnahotline@usna.edu.

(5) Report any contacts with external audit agencies to the Inspector General.

7. Records Management. Records created as a result of this instruction, regardless of media and format, must be managed per SECNAV Manual 5210.1 of January 2012.


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