From: Naval Inspector General  
To: Distribution  


Ref: (a) SECNAVINST 5040.3A  
(b) SECNAVINST 5430.57G  

1. The Naval Inspector General (NAVINSGEN) conducts command inspections of echelon 2 commands to provide the Secretary of the Navy and the Chief of Naval Operations with a firsthand assessment of Departmental risks and major issues relevant to policy, management, and direction as directed by reference (a). Reference (b) tasks NAVINSGEN with conducting inspections and surveys, making appropriate evaluations and recommendations concerning operating forces afloat and ashore, Department of the Navy components and functions, and Navy programs which impact readiness or quality of life for military and civilian naval personnel.

2. NAVINSGEN conducted a Command Inspection of Commander, U.S. Naval Forces Southern Command (COMUSNAVSO)/Commander, U.S. Fourth Fleet (C4F) from 18-26 June 2015. This report documents our findings.

3. This report contains an Executive Summary, our observations and findings, and documented deficiencies noted during the inspection. A summary of survey and focus group data, as well as a complete listing of survey frequency data, is included.

4. During our visit we assessed overall mission readiness in execution of its echelon 2 responsibilities per OPNAVINST 5440.344, Mission, Functions, and Tasks of Commander, U.S. Naval Forces Southern Command/Commander, U.S. Fourth Fleet Mayport, Florida (8 September 2011), and other laws, policy, and regulations. We assessed compliance with Navy administrative programs; facilities, safety and environmental compliance; security programs, Inspector General functions, and Sailor programs under the purview of senior enlisted leadership. Additionally, we conducted surveys and focus group discussions to assess the quality of work life (QOWL) and home life (QOHL) for Navy military and civilian personnel.

5. Our overall assessment is that COMUSNAVSO/C4F is maturing as an organization. We found a highly motivated team, with an aggressive, can-do culture enabling the command to accomplish their assigned tasks and missions with limited resources. COMUSNAVSO/C4F is challenged to meet presence requirements because of lower priority Global Force Management sourcing based on higher Force Allocation Decision Model priorities, the decommissioning of Oliver Hazard Perry-class Frigates (FFGs) frequently assigned to SOUTHCOM AOR missions,
and the differing capabilities of platforms expected to replace FFGs. Additionally, we believe COMUSNAVSO/C4F needs to proactively accomplish three interrelated tasks: achieve Maritime Operations Center (MOC) standardization; update its Mission, Functions, and Tasks; and request a Shore Manpower Requirements Determination.

6. In the course of our inspection, we identified deficiencies in MOC standardization, civilian position descriptions and appraisals, military and civilian training, safety professionals training, Safety and Occupational Health oversight, environmental compliance, command security, information security, personnel security, industrial security, physical security, special security programs, operations security, cybersecurity, personally identifiable information, suicide prevention, Inspector General functions, manager’s internal controls, sexual assault prevention and response, and command indoctrination program.

7. Corrective actions

a. We identified 82 deficiencies during our inspection that require COMUSNAVSO/C4F corrective action. We also provided 38 separate recommendations for consideration, relating to manning, exercise participation, continuity of operations, contracting services support, civilian personnel appraisals, training, environmental planning, information security, industrial security, special security programs, operations security, foreign disclosure, suicide prevention, sexual assault prevention and response, and command indoctrination program.

b. Correction of each deficiency or adoption of recommendations, and a description of action(s) taken or rationale of why recommendations were not adopted, should be reported via Implementation Status Report (ISR), OPLAN 5040/2 no later than 1 January 2016. Deficiencies not corrected or recommendations not adopted by this date or requiring longer-term solutions should be updated quarterly until completed.

8. My point of contact is CAPT...

HERMAN A. SHELANSKI

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Executive Summary

The Naval Inspector General (NAVINSGEN) conducted a command inspection of Commander, U.S. Naval Forces Southern Command/Commander, U.S. Fourth Fleet (USNAVSO/C4F) from 18 - 26 June 2015. This was the command’s first inspection since USNAVSO was realigned from an echelon 3 to an echelon 2 command in 2008. We conducted a Command Health and Comfort Review in May, 2011, during which we determined USNAVSO to be well organized and compliant with Navy programs and directives. For the current inspection, the team was augmented with subject matter experts, including personnel from the Deputy Under Secretary of the Navy (Policy) (DUSN(P)), Assistant Secretary of the Navy (Financial Management and Comptroller) (ASN(FM&C)), Office of the Chief of Naval Operations for Information Dominance/Naval Intelligence (OPNAV N2/N6); Commander, U.S. Fleet Forces Command (USFF); Commander, Naval Air Force Atlantic (CNAL); Naval Facilities Engineering Command (NAVFAC); Naval Safety Center (NAVSAFECEN); Naval Criminal Investigative Service (NCIS) Security Training Assistance and Assessment Team (STAAT); and the Office of Civilian Human Resources (OCHR).

The USNAVSO/C4F, hereafter referred to as USNAVSO, mission statement is to employ maritime forces in cooperative maritime security operations in order to maintain access, enhance interoperability, and build enduring partnerships that foster regional security in the U.S. Southern Command (USSOUTHCOM) Area of Responsibility (AOR). USNAVSO has three lines of operation (Maritime Security Operations, Security Cooperation Activities, and Contingency Operations) and four lines of effort (Counter Illicit Trafficking (CIT), Southern Seas, Continuing Promise, and Southern Partnership Station).

During our visit we assessed overall mission readiness in execution of its echelon 2 responsibilities per OPNAVINST 5450.344, Missions, Functions and Tasks of Commander, U.S. Naval Forces Southern Command and Commander, U.S. Fourth Fleet, Mayport, Florida; United States Southern Commander Memorandum of July 16, 2015, Subj: Approval of the Revised Mission Essential Task List for USSOUTHCOM Component Commands and Joint Task Forces; and OPNAVINST 3501.360, Defense Readiness Reporting System-Navy; and other laws, policies, and regulations. We assessed administrative programs, facilities, safety and environmental compliance, security programs, and Sailor programs under the purview of senior enlisted leadership. Additionally, we conducted surveys and focus group discussions to assess the quality of work life (QOWL) and home life (QOHL) for Navy military and civilian personnel.

MISSION READINESS

Mission Performance
USNAVSO is executing its naval component commander duties for USSOUTHCOM with flat or declining resources. As a relatively new echelon 2 command, USNAVSO continues to mature as an organization. There is an established culture of mission accomplishment with an aggressive, “can do” attitude. USNAVSO is challenged to meet presence requirements with limited
assigned forces and minimal likelihood of relief through the Global Force Management (GFM) process given higher Force Allocation Decision Model priorities in other AORs. The GFM process has consistently been unable to meet Joint Interagency Task Force South surface presence requirements in support of the CIT mission. When available, the decommissioning Oliver Hazard Perry-class Frigate (FFG) has been the platform of choice to meet these requirements. We are concerned that the potential replacement platforms for the decommissioning FFGs, such as Patrol Coastal boats, Joint High Speed Vessels, and Littoral Combat Ships may not provide the same capabilities. We observed two primary USNAVSO methods for mitigating GFM gaps: the use of pre-commissioning units and units undergoing a homeport shift transiting through the USNAVSO AOR. Additionally, the pursuit of science and technology projects has established the USNAVSO AOR as a “Theater of Innovation.” Further, we observed effective integration with USOUTHCOM and interagency coordination and assessed USNAVSO use of the USOUTHCOM Theater Security Cooperation Management Information System (TSCMIS) to track, plan, and map engagements to desired effects as a best practice. Beyond TSCMIS, USNAVSO lacks a formal operational assessment program and has suboptimal knowledge retention.

**Maritime Operations Center (MOC)**
The USNAVSO MOC is operated in accordance with NTTP 3-32.1, Maritime Operations Center, but is not yet compliant with OPNAVINST 3500.42, Maritime Operations Center Standardization. The purpose of the MOC Standard is to (1) define the overarching mission, functions, and tasks of the MOC within the fleet headquarters construct to employ the total Navy force (Active component, Reserve component, and civilian component); (2) identify the expected workload, capability, and capacity of the Navy’s operational level headquarters warfighting element; (3) align operational level and tactical level headquarters organizations, people, materiel, procedures, and proficiency expectations; and (4) provide a basis for leadership to prioritize and resource the MOC in a more holistic fashion. Use of this instruction will assist USNAVSO to assess current MOC manning and clarify its ability to meet its mission.

**Missions, Functions, and Tasks (MFT)**
The USNAVSO MFTs are delineated in OPNAVINST 5450.344. The USNAVSO MFT, approved in September 2011, is out of date. Echelon 2 shore activity commanders are required to submit an updated MFT statement, as needed, and at least every three years.

**Shore Manpower Requirements Determination (SMRD)**
USNAVSO is not in compliance with OPNAVINST 1000.16K CH-1, Navy Total Force Manpower Policies and Procedures, and requires an SMRD. The last approved SMRD for USNAVSO occurred prior to the re-establishment of Fourth Fleet (and associated dual-hatting of COMUSNAVSO and C4F) in 2008, and MFT publication in 2011. An interim SMRD was conducted in 2009 and resulted in the addition of 42 unfunded billets to the Activity Manpower Document. A comprehensive SMRD is required to assess and validate the USNAVSO MFTs and to reduce reliance on non-USNAVSO personnel support currently performing key USNAVSO functions.
**Equal Employment Opportunity (EEO)**
The USNAVSO EEO Program is not fully compliant with the Department of the Navy (DON) Civilian Human Resources Manual (CHRM), Subchapter 1601, Equal Employment Opportunity Program Policy; Subchapter 1614.1, Civilian Discrimination Complaints Management Program; or the Genetic Information Nondiscrimination Act of 2008 (GINA) Public Law 110-233.

**Civilian Training**
Civilian training is not fully compliant with SECNAVINST 12410.25, Civilian Employee Training and Career Development, and the DON OCHR mandatory training requirements. No data was provided for FY13, and the FY14 civilian training completion rate was 77 percent. The command is on track to meet FY15 requirements.

**General Military Training (GMT)**
GMT is not fully compliant with OPNAVINST 1500.22G, General Military Training and NAVADMIN 386/11 and 264/13, FY13 and FY14 General Military Training Schedule, respectively. No data was provided for FY13, and the FY14 GMT completion rate was 61 percent. The command is on track to meet FY15 requirements.

**Reserve Component Integration**
USNAVSO relies on the Navy Reserve component to accomplish approximately 10-15 percent of its MFT. Future Reserve component support is at risk since 2 of 5 Reserve unit identification codes (UICs) assigned to support USNAVSO are being disestablished and replaced with smaller units resulting in a loss of 62 Navy Reserve billets. Ongoing Reserve Active Duty for Special Work (ADSW) support for Cooperative Security Location (CSL) Comalapa, El Salvador antiterrorism/force protection (ATFP) requirements is also a concern until Active Component ATFP personnel are funded in FY17. This year, 17 ADSW personnel are augmenting the CSL Comalapa ATFP requirements at a cost of approximately $1.7M per year; in FY16, CSL Comalapa is funded for thirteen ADSW and four Active Duty for Training reservists.

**FACILITIES, ENVIRONMENTAL, ENERGY CONSERVATION, AND SAFETY AND OCCUPATIONAL HEALTH (SOH)**

**Facilities and Infrastructure**
USNAVSO operates out of four permanent buildings and three temporary structures. Current facilities fall well below the calculated Basic Facility Requirements based on projected manning levels of 251 permanent personnel. While there is a proposed consolidated headquarters military construction project ready for funding, it has steadily declined in the Navy's priority queue over the last three years. USNAVSO is exploring a special project to improve conditions for personnel currently working in temporary structures.

**Safety and Occupational Health**
The USNAVSO Safety Program is not compliant with safety professional training and qualification requirements in OPNAVINST 5100.23G CH-1, Navy Safety and Occupational Health Program Manual, and oversight of subordinate commands is deemed noncompliant. A recently
appointed Safety Officer is developing a Safety Program that is expected to be in full compliance with OPNAVINST 5100.23G CH-1.

**Environmental Programs**
The USNAVSO Environmental Program is not compliant with governing instructions, policies, and statutes. Updates to the USNAVSO Afloat and At-Sea Training Operation Orders are needed to meet new requirements for spill response, Marine Species Awareness Training, Sonar Positional Reporting System, and Marine Mammals and Endangered Marine Species Programs.

**Energy Conservation**
USNAVSO Shore Energy Conservation Programs are effective, but not fully compliant with NAVSTAMYPTINST 4101.1, Naval Station Mayport Energy Instruction, which requires each tenant command to appoint an energy manager in writing. USNAVSO Operational Energy Programs are effective and compliant.

**SECURITY PROGRAMS**

**Information Security**
USNAVSO’s Information Security Program is not fully compliant. The command is not providing information security oversight to its two subordinate commands, as required by SECNAV M5510.36, DON Information Security Policy.

**Personnel Security**
USNAVSO’s Personnel Security Program is not fully compliant with SECNAV M5510.30, DON Personnel Security Program Instruction. Additionally, the command is not providing personnel security oversight to subordinate commands.

**Industrial Security**
USNAVSO is not compliant with SECNAVINST M5510.36 and does not have a codified Industrial Security Program in place. A comprehensive, formalized approach is required to ensure all security requirements are met for contracts, to include contract security classification specification and training processes. Additionally, USNAVSO is not providing industrial security oversight to subordinate commands.

**Physical Security**
The Physical Security Program at USNAVSO is not fully compliant with OPNAVINST 5530.14E CH-2, Navy Physical Security and Law Enforcement Program. USNAVSO’s physical security and defense-in-depth
**Special Security Programs**
USNAVSO is not fully compliant with DoDM 5105.21, Sensitive Compartmented Information (SCI) Administrative Manual and other related directives. USNAVSO has one Assistant Special Security Officer (ASSO) who oversees, provides administrative support to, and performs other support duties. Deficiencies related to SCIF inspections were sent via Operations Security.

**Operations Security**
The USNAVSO Operations Security Program is not fully compliant with DoD 5205.02-M, DoD Operations Security (OPSEC) Program Manual, OPNAVINST 3432.1A, Operations Security and as the naval component commander for USSOUTHCOM, and SECNAV M5510.36.

**Cybersecurity**
USNAVSO’s Cyber Security Program is not fully compliant.

**Personally Identifiable Information (PII)**
The USNAVSO PII Program is not fully compliant with SECNAVINST 5211.5E, Department of the Navy (DON) Privacy Program.

**COMPLIANCE PROGRAMS**
USNAVSO Compliance Programs are effective and executed in accordance with governing instructions, with the exception of four programs assessed as either not fully compliant or not compliant.

**Suicide Prevention**
USNAVSO’s Suicide Prevention Program has been reinvigorated with the appointment of a new Suicide Prevention Coordinator; however, the program is not fully compliant.

**DON Inspection Program**
USNAVSO’s Inspection Program is not fully compliant with SECNAVINST 5040.3A, Inspections within the Department of the Navy. USNAVSO was in the process of developing a position description and commencing hiring actions for an Inspector General at the time of our inspection.

**Managers’ Internal Controls (MIC)**
An effective MIC Program was not in place at the time of our inspection though a recently appointed MIC Coordinator has made noteworthy progress towards establishing a compliant command program.
Sexual Assault Prevention and Response (SAPR)
USNAVSO is clearly committed to maintaining an environment free of sexual assault and potential victims would undoubtedly receive excellent care and support services. However, there are SAPR Program responsibilities that are not being executed or have not been reassigned following the departure of previously assigned personnel. Therefore, the program is not fully compliant with governing directives.

SURVEY AND FOCUS GROUP FINDINGS
Our survey and focus group discussions found that both QOWL and QOHL at USNAVSO are higher than the historical echelon 2 command averages. Manning/manpower and communication (policies/processes, knowledge management) are perceived to most adversely impact the mission, job performance, and quality of life; conversely, executive level leadership is perceived as a positive impact. Rated on a 10-point scale, the USNAVSO QOWL and quality of QOHL are 7.24 and 8.66, respectively; the corresponding echelon 2 command historical averages are 6.64 and 7.92. Specific comments from focus groups and surveys were passed to USNAVSO leadership and are included in Appendices A and B.
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Areas/Programs Assessed

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  - Naval Operations Planning and Execution
  - Global Force Management Sourcing
  - Exercise Planning and Execution
  - Maritime Domain Awareness
  - Theater Security Cooperation/Enhance Regional Security
  - Interagency, Non-Governmental Organizations, other Navy Cooperation
  - Joint Force Maritime Component Commander
  - Maritime Operations Center
  - Operational Logistics
  - Command, Control, Communications, Computers, and Intelligence Operations
  - Oversight of Information Dominance
  - Command Communications/Relationships
  - Strategic Messaging/Communications
  - Strategic Planning
  - Continuity of Operations
  - Naval Station Guantanamo Bay Force Protection
  - Cooperative Security Location Comalapa Oversight
  - Panama Canal High Value Asset Transits
  - Medical Support
  - Personnel Policies
  - Manning/Manpower
  - Military/Civilian Training
  - Office of Civilian Human Resources
  - Equal Employment Opportunity
  - Financial Management
  - Future Requirements

- **Facilities, Environmental, and Safety**
  - Facilities Management
  - Shore Infrastructure Planning and Management
  - Environmental Readiness
  - Energy Conservation
  - Safety and Occupational Health

- **Security Programs and Information Assurance**
  - Command Security
  - Industrial Security
  - Physical Security and Antiterrorism/Force Protection
  - Operations Security
  - Personnel Security
  - Insider Threat
  - Counterintelligence Support
  - Information Security
Information Assurance and Personally Identifiable Information

- **Resource Management/Compliance Programs**
  - Comptroller Functions
  - Managers’ Internal Control
  - Personal Property Management
  - Government Travel Charge Card
  - Government Commercial Purchase Card
  - Command Individual Augmentee Coordinator
  - Post Deployment Health Reassessment
  - Individual Medical Readiness
  - Physical Readiness Program
  - Sexual Assault Prevention and Response
  - Command Managed Equal Opportunity
  - Suicide Prevention
  - Navy Alcohol and Drug Abuse Prevention
  - Hazing Policy Training and Compliance
  - Legal/Ethics
  - Victim and Witness Assistance Program
  - Voting Assistance Program
  - Inspector General Functions

- **Sailor Programs**
  - Command Sponsorship
  - Command Indoctrination
  - Career Development Program
  - Sailor Recognition Program
  - CPO 365
Observations and Findings

MISSION PERFORMANCE

The Mission Performance Team utilized survey and focus group responses, document review, group discussions, and face-to-face interviews to gather information and assess the mission performance of Commander, U.S. Naval Forces Southern Command/Commander, U.S. Fourth Fleet (USNAVSO/C4F). These findings were applied to the functions and tasks as assigned in or defined by the following:

- OPNAVINST 5450.344, Mission, Functions and Tasks of Commander, U.S. Naval Forces Southern Command/Commander, U.S. Fourth Fleet Mayport, Florida
- OPNAVINST 3501.360A, Defense Readiness Reporting System-Navy

The USNAVSO/C4F mission is to employ maritime forces in cooperative maritime security operations in order to maintain access, enhance interoperability, and build enduring partnerships that foster regional security in the USSOUTHCOM AOR. USNAVSO has three lines of operation (Maritime Security Operations, Security Cooperation Activities, and Contingency Operations) and four lines of effort (Counter Illicit Trafficking (CIT), Southern Seas, Continuing Promise, and Southern Partnership Station).

Our overall assessment is that the USNAVSO/C4F combined staff, hereafter referred to as USNAVSO, is maturing as an organization. We found a highly motivated team, with an aggressive, can-do culture enabling USNAVSO to accomplish their assigned tasks and missions with limited resources. We reviewed the following areas:

- Naval Operations Planning and Execution
- Global Force Management Sourcing
- Exercise Planning and Execution
- Maritime Domain Awareness
- Theater Security Cooperation/Enhance Regional Security
- Interagency, Non-Governmental Organizations, other Navy Cooperation
- Joint Force Maritime Component Commander
- Maritime Operations Center
- Operational Logistics
- Command, Control, Communications, Computers, and Intelligence Operations
- Oversight of Information Dominance
- Command Communications/Relationships
- Strategic Messaging/Communications
- Strategic Planning
- Continuity of Operations
- Naval Station Guantanamo Bay Force Protection
- Cooperative Security Location Comalapa Oversight
- Panama Canal High Value Asset Transits
- Medical Support
- Personnel Policies
- Manning/Manpower
- Military/Civilian Training
- Office of Civilian Human Resources
- Equal Employment Opportunity
- Financial Management
- Future Requirements

We observed that USNAVSO requires further development in order achieve relative parity with other operational echelon 2 commands. While the staff operates as a combined, fully integrated, echelon 2/3, naval component commander/naval fleet commander in support of USSOUTHCOM, they must overcome a variety of challenges discussed below while still meeting the critical milestones necessary to function at the operational level as a major Navy command and joint component commander.

USNAVSO is challenged to meet presence requirements because of lower priority Global Force Management (GFM) sourcing, the decommissioning of Oliver Hazard Perry-class Frigates (FFG), and differing capabilities of platforms expected to replace FFGs. There are no permanently assigned forces in AOR and the likelihood of relief through the GFM process is minimal given higher Force Allocation Decision Model priorities in other regions. The GFM process has consistently been unable to meet Joint Interagency Task Force South’s (JIATF-S) surface presence requirements in support of the CIT mission. Moreover, FFGs have been the platform of choice when available to meet JIATF-S surface presence requirements in recent years. We are concerned that potential replacement platforms for these decommissioning FFGs, such as Patrol Coastal boats, Joint High Speed Vessels, and Littoral Combat Ships (LCS) will not provide the same capabilities, degrading naval surface JIATF-S mission support. USNAVSO has mitigated GFM gaps in the past, primarily with pre-commissioning units and units undergoing homeport shifts that transit the AOR. Exercises and engagements requiring surface assets are also planned during known GFM availability periods. Additionally, USNAVSO has actively pursued opportunities to support science and technology projects, in effect creating a “Theater of Innovation” within its AOR.

As a relatively new echelon 2 command, we recommend that USNAVSO conduct a side-by-side comparison with other fleets to evaluate alternative staff and functional capability constructs. While there are a number of aspects to USNAVSO that are unique (e.g., support to Inter-American Naval Telecommunications Network) this comparison may identify areas requiring additional resources. Table 1 illustrates some key USNAVSO characteristics compared to other fleets (refer to Appendix D for a list of acronyms).
Table 1. Numbered Fleet Comparison

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<td>MCO, TSC</td>
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<td>Transiting</td>
<td>Large # Permanent / Deployed</td>
<td>Large # Permanent / Deployed</td>
<td>Large # Permanent / Deployed</td>
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<tr>
<td></td>
<td>Transiting, PCU</td>
<td>Transiting</td>
<td></td>
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<td>High (Force)</td>
<td>High (Force)</td>
<td>Medium (Force)</td>
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<tr>
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<td>Low (Political)</td>
<td>High (Political)</td>
<td>High (Political)</td>
<td>High (Political)</td>
</tr>
</tbody>
</table>

* Small to medium, maritime humanitarian assistance (HA), and foreign disaster relief (FDR) in USOUTHCOM AOR

At a minimum, USNAVSO should consider increasing assigned resources to public affairs, warfighting and readiness assessment, and intelligence/information operations capabilities and capacities. USNAVSO should engage in ongoing LCS Shore-Based Training Facility (LTF) requirements discussions. LTFs are intended to provide surface warfare training to include integrated bridge and combat systems tactical scenarios. USNAVSO LTF involvement is needed to ensure LCS crews will train to USOUTHCOM mission sets in addition to other AOR requirements. Additionally, USNAVSO needs to proactively accomplish three interrelated tasks: Maritime Operations Center (MOC) standardization; update its Mission, Functions, and Tasks (MFT); and request a Shore Manpower Requirements Determination (SMRD).

**Maritime Operations Center**

USNAVSO’s MOC is operated in accordance with NTTP 3-32.1, Maritime Operations Center, but is not yet compliant with OPNAVINST 3500.42, MOC Standardization, promulgated in December 2014. The purpose of the MOC Standard is to (1) define the overarching MFTs of the MOC within the fleet headquarters construct to employ the total Navy force (active component, reserve component, and civilian component); (2) identify the expected workload, capability, and capacity of the Navy’s operational level headquarters warfighting element; (3) align operational level and tactical level headquarters organizations, people, materiel, procedures, and proficiency expectations; and (4) provide a basis for leadership to prioritize and resource the MOC in a more holistic fashion. Though not yet in compliance with the MOC standard, the USNAVSO MOC is functioning at a level sufficient to execute today’s mission. The command has 26 qualified Battle Watch Captains (BWCs), maintains an effective battle rhythm, and has an effective training and certification processes in place. The MOC is equipped with 2 satellite nets, 17 CENTRIX drops, 15 SIPR drops, and has the ability to display a Common Operating Picture and Unmanned Aerial System feeds during exercises. Four civilian personnel perform BWC functions during the week while military personnel accomplish weekend and holiday BWC functions. Of note, USNAVSO Mission Essential Task List (METL) and Defense Readiness Reports System evaluations are based on a translation of USOUTHCOM Theater Campaign Plan tasks to Universal Joint Task List items.
Consequently, mission performance and resourcing is based on unique USSOUTHCOM AOR missions as opposed to universally recognized tasks that validate DoD-wide resource requirements. USNAVSO has embarked on a plan to revise their METLs and MFTs, and to conduct core MOC position requirements analysis.

**Deficiency 1.** USNAVSO MOC is not certified. Reference: OPNAVINST 3500.42, Maritime Operations Center Standardization, paragraph 5.

**Deficiency 2.** USNAVSO MOC has not implemented the MOC standard defined by OPNAVINST 3500.42. Reference: OPNAVINST 3500.42, Maritime Operations Center Standardization, paragraph 6e.

**Deficiency 3.** USNAVSO MOC has not coordinated with U.S. Fleet Forces Command (USFF) for validation of manning, training, and equipment requirements. Reference: OPNAVINST 3500.42, Maritime Operations Center Standardization, paragraph 6e.

**Deficiency 4.** USNAVSO MOC has not identified applicable MOC standard missions, mission essential tasks, and supporting tasks. Reference: OPNAVINST 3500.42, Maritime Operations Center Standardization, paragraph 6e.

**Missions, Functions, and Tasks (MFT)**

The USNAVSO MFTs are delineated in OPNAVINST 5450.344. The USNAVSO MFT statement, approved in September 2011, is out of date. Echelon 2 shore activity commanders are required to submit an updated MFT statement, as needed and at least every three years, for Office of the Chief of Naval Operations (OPNAV) sponsor approval. The OPNAV sponsor, in this case N2/N6, forwards the approved instruction update to the Director, Navy Staff for signature. MOC standardization will help clarify USNAVSO missions, functions, and tasks and thus should precede MFT update efforts.

**Deficiency 5.** USNAVSO MFT is out of date. Reference: OPNAVINST 5400.44A, Navy Organization Change Manual, Paragraph 131.c(2).

**Recommendation 1.** That USNAVSO update the MFT after completing MOC standardization.

**Manning/Manpower**

USNAVSO is an integrated echelon 2/3 staff where nearly all staff members execute both echelon 2 and 3 responsibilities on a daily basis. Overall manning is 88 percent of billets authorized, 94 percent for military personnel, and 77 percent for civilian personnel. However, manning numbers for USNAVSO are misleading since they are based on dated manpower documents.

**Shore Manpower Requirements Determination (SMRD)**

An SMRD provides a systematic means of determining and documenting manpower requirements based on MFTs and projected personnel workloads. The SMRD for USNAVSO occurred prior to the establishment of the Fourth Fleet in 2008, and prior to the command’s MFT publication in 2011. An SMRD is required per OPNAVINST 1000.16K, Navy Total Force Manpower Policies and Procedures, following a significant change in scope or purpose of a command’s mission. An
interim SMRD was conducted in 2009 by the USFF Command Manpower Assessment Team (CMAT). This interim SMRD resulted in the addition of 42 unfunded billets to the Activity Manpower Document (AMD). A current, comprehensive SMRD is needed to assess and validate USNAVSO’s required capabilities and MFTs to include component elements and supporting enablers. The SMRD is also needed to reduce the heavy reliance on non-USNAVSO UICs (e.g. Inter-American Naval Telecommunications Network, Fleet Intelligence Adaptive Force, and Active Duty for Training) personnel performing key USNAVSO functions. USNAVSO is scheduled for a CMAT visit in 2019, but USFF has indicated a willingness to adjust the SMRD schedule to an earlier date, if required.

Recommendation 2. That USNAVSO request a USFF CMAT visit, after completing MOC standardization and MFT update, in accordance with OPNAVINST 1000.16K, CH-1, Section 400, paragraph 5d and Section 402, paragraph 4b.

Reserve Component Integration
USNAVSO relies heavily on Reserve component personnel to accomplish key functions and tasks. The command currently has five Reserve UICs encompassing 282 personnel: USNAVSO/FOURTHFLT Headquarters, USNAVSO/FOURTHFLT Headquarters (Puerto Rico), Destroyer Squadron (COMDESRON) 40 Headquarters, COMDESRON 40 Detachment A (Pensacola), and COMDESRON 40 Detachment B (Houston). COMDESRON 40 Detachment A (Pensacola) and COMDESRON 40 Detachment B (Houston) Reserve UICs are being disestablished; Naval Security Force Navy Information Operations Command (NSF NIOC) Sugar Grove will be added and Naval Coordination and Guidance for Shipping (NCAGS) Houston (assigned to U.S. Fleet Forces) will be assigned additional duty to USNAVSO/FOURTHFLT. These actions result in an overall reduction of 62 (27 percent) of total Reserve component personnel, or 15 percent of total USNAVSO personnel with the addition of USNAVSO Active Component military and civilian headquarters personnel. We are also concerned that the disestablishment of two DESRON 40 Reserve UICs will result in decreased ability for the reserves to support MOC operations, major exercises, and large scale contingency operations. Moreover, at Cooperative Security Location (CSL) Comalapa, 17 of 26 Antiterrorism/Force Protection (ATFP) personnel are Reservists. Reservists will support ATFP requirements at CSL Comalapa until FY17 when they will be replaced by Active Component personnel. The 17 ADSW personnel cost approximately $1.7M annually; in FY16, CSL Comalapa is funded for thirteen ADSW and four Active Duty for Training reservists.

Theater Security Cooperation (TSC)
USNAVSO is meeting all USSOUTHCOM TSC requirements. We were impressed with USNAVSO’s use of the USSOUTHCOM Theater Security Cooperation Management Information System (TSCMIS). TSCMIS is used to track, plan, and map engagements to desired effect providing a “Return on Investment” snapshot for all Navy TSC engagements in the AOR. We assessed this as a best practice. USNAVSO recently hired a Knowledge Manager and we recommend the command continue its efforts to build an effective assessments division by leveraging the existing TSCMIS methodology. USNAVSO expressed concerns that specific USSOUTHCOM TSCMIS functionality may be lost when all combatant commanders are required to migrate to the Global Theater Security Cooperation Management Information System or G-TSCMIS. G-TSCMIS is
intended to standardize numerous, individual combatant command, service, and agency TSCMIS systems yielding significant IT infrastructure cost savings. We share USNAVSO’s concerns that the one-size fits all approach in this instance may adversely impact USSOUTHCOM TSC assessment capability.

**Recommendation 3.** That USNAVSO coordinate with USSOUTHCOM to ensure the Defense Security Cooperation Agency is aware of USSOUTHCOM specific G-TSCMIS functionality requirements.

**Exercise Support**
USNAVSO is responsible for planning and executing all maritime exercises within the USSOUTHCOM AOR to include PANAMAX, UNITAS PAC, UNITAS LANT, and UNITAS AMPHIB. UNITAS and PANAMAX are both Joint Staff mandated inter-operability exercises with UNITAS serving as the longest continuously running maritime exercise, 55 years ongoing to date. With limited assigned forces, USNAVSO has been resourceful in ensuring U.S. Navy exercise presence, leveraging relationships and selectively scheduling events, and adjusting event durations to coincide with theater surface and/or aviation asset availability. We are concerned, that inconsistent surface presence exercise support, compounded by FFG retirement, comes at a time of increased theater engagement by China, Russia, and Iran.

**Recommendation 4.** That USNAVSO work with USFF and Commander, U.S. Pacific Fleet to ensure pre-commissioning units and transiting ships have sufficient schedule flexibility to provide USNAVSO mission support for a minimum of 30 days to provide major exercise surface platform coverage.

**Interagency Support**
We observed robust integration with USSOUTHCOM and effective interagency coordination with the Department of Homeland Security, U.S. Coast Guard, U.S. Agency for International Development/Office of U.S. Foreign Disaster Assistance (USAID/OFDA), and others. USNAVSO maintains a well-trained contingency response team, consistently ready to deploy within 72 hours. Additionally, USNAVSO enrolls prospective contingency response team members in the USAID/OFDA Joint Humanitarian Operations Course.

**Strategic Planning**
USNAVSO maintains an effective strategic planning capability. Long range strategic planning is accomplished by the Director of Strategy, TSC, and Policy (STP) department. The STP department is unique to USNAVSO; we have not encountered it at other echelon 2 commands. We assessed STP efforts as highly effective and well aligned with the USSOUTHCOM Campaign Plan, and synchronized with other USNAVSO planning cells. Contingency plan (CONPLAN) and operation plan development processes along with commander’s estimates for theater operations are also assessed as effective. Consistent with similar findings in other areas; however, manpower, is a concern. Strategic planning function process owners are usually “one deep”, or accomplished by one person per respective department. Consequently, planning tasks are delayed when the responsible individual is on leave or temporarily assigned elsewhere.
Strategic Messaging/Communications

Strategic messaging and communications functions are well executed at USNAVSO. The STP, Strategic Communications, and Public Affairs Office (PAO) personnel are collocated, facilitating strategic communication message alignment. Weekly teleconferences are conducted with USSOUTHCOM. USNAVSO communicates with every ship or unit entering the AOR by Navy message providing current guidance, a regional update, and talking points for communications with partner nations. The messages are coordinated with USSOUTHCOM and applicable embassies prior to release. PAO manpower is a concern with one trained officer and one assigned enlisted member handling all echelon 2/3 public affairs responsibilities. USNAVSO is under-resourced in comparison to other fleet PAO elements as illustrated in Table-2.

Table 2. Numbered Fleet PAO Comparison

<table>
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<tr>
<th>Command</th>
<th>USNAVSO/C4F</th>
<th>CNE/CNA/C6F</th>
<th>C3F</th>
<th>NAVCENT/CSF</th>
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<td>2/3</td>
<td>3</td>
<td>2/3</td>
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<tr>
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<td>1 Officer (1 x CDR)</td>
<td>5 Officers (1 x CAPT, 1 x CDR, 1 x LCDR, 2 x LT)</td>
<td>2 Officers (1 x CDR, 1 x LCDR)</td>
<td>4 Officers (1 x CDR, 1 x LCDR, 2 x LT)</td>
<td>3 Officers (1 x CDR, 3 x LT)</td>
</tr>
<tr>
<td>Public Affairs Enlisted Personnel</td>
<td>1 Enlisted (E5)</td>
<td>5 Enlisted (E5-E6)</td>
<td>5 Enlisted (E5-E6)</td>
<td>10 Enlisted (E5-E7)</td>
<td>7 Enlisted (E4 – E7)</td>
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<tr>
<td>Public Affairs Civilian Personnel</td>
<td>None</td>
<td>3 Civilians</td>
<td>None</td>
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<td>None</td>
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<td>Total Personnel</td>
<td>2</td>
<td>13</td>
<td>7</td>
<td>14</td>
<td>10</td>
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</table>

The small USNAVSO PAO staff limits the command’s ability to provide the full spectrum of communication support for activities to include planning and execution of operations, exercises, and key leader engagements. Though coordination with U.S. Navy Chief of Information, USSOUTHCOM, Office of the Secretary of Defense (OSD), Security Cooperation organizations, and embassies is occurring, it could be done earlier and more effectively with additional public affairs personnel. USNAVSO has requested an additional billet to be filled by either a junior PAO officer, PAO qualified civilian, or a contractor with public affairs skillsets.

Continuity of Operations (COOP) Program

The USNAVSO COOP program is compliant with SECNAVINST 3030.4C, Department of the Navy Continuity of Operations Program. COMUSNAVSO/COMFOURTHFLT Instruction 3030.1B, Staff Continuity of Operations Program, dated 4 May 2015, delineates the command’s COOP plan and responsibilities. USNAVSO conducted its last COOP exercise on March 23, 2015. Of note, USFF is identified as a command that will potentially assume a portion of USNAVSO’s duties during a major COOP event, but this handoff has not been exercised. Additionally, we observed that critical USNAVSO records are available on multiple servers; however, the redundant servers are located in Mayport, Florida and Norfolk, Virginia. As a result, USNAVSO primary and backup servers are potentially vulnerable during a single, large east coast hurricane event. Future implementation of the Virtual Secure Enclave is expected to resolve this issue, but an implementation timeline has not been established.
Recommendation 5. That USNAVSO exercise its devolved responsibility contingency plan, which transfers specific USNAVSO functions to USSOUTHCOM and USFF, as required.

Operational Logistics
USNAVSO has a Fleet Maintenance Coordinator (FMC) and two parts expediters to support ship and aviation maintenance requirements that arise in the USSOUTHCOM AOR. The FMC monitors Operational Status and Casualty Reports discussed during the daily Commander's Update Brief. Though assigned as lead service agent for managing contract support for USSOUTHCOM CONPLAN 6120, USNAVSO does not have contracting authority. In accordance with NAVSUPINST 4200.81G, Naval Supply Systems Command Navy Field Contracting System Authority and Responsibility, Fleet Logistics Center (FLC) Jacksonville began providing contracting services support for USNAVSO in August 2014. Previously, the U.S. Army 410th Contracting Support Brigade provided contracting service support and remains available to provide assistance as needed. With respect to CONPLAN 6120 support, we are concerned that FLC Jacksonville may not be properly resourced to handle the potential significant increase in contracting support requirements should this CONPLAN be executed.

Recommendation 6. That USNAVSO codify its contracting services support arrangement with FLC Jacksonville in a formal agreement to include CONPLAN 6120 support provisions. USNAVSO should formalize an agreement with U.S. Army 410th to meet specific contingency support requirements beyond capability of FLC Jacksonville, as needed.

Antiterrorism/Force Protection (ATFP) Support Executive Agent
USNAVSO provides proper oversight, guidance, and support for Panama Canal U.S. Navy High Value Unit transits in accordance with OPNAVINST 5450.344, paragraph 4y. Similarly, USNAVSO ATFP support at Naval Station (NAVSTA) Guantanamo Bay is being accomplished in accordance with OPNAVINST 5450.344, paragraph 4c.

Cooperative Security Location (CSL) Comalapa, El Salvador
CSL Comalapa provides critical logistics and infrastructure support to forward deployed U.S. aviation units participating in CIT operations, USNAVSO directed Humanitarian Assistance/Disaster Relief missions, and Search and Rescue efforts. Established in 2004, CSL Comalapa is located at the San Salvador International Airport, with thirty-five percent of all JIATF-S airborne CIT missions originating from the facility. CSL Comalapa has approximately 40 full-time and 120-220 temporary duty status U.S. Navy, U.S. Coast Guard, and U.S. Customs and Border Patrol personnel. USNAVSO utilizes a Program Manager to oversee all man, train, and equip functions. OSD provides CSL Comalapa funding through the Counter Narcotics 9500N appropriation. Approximately $5.6M is allocated annually to cover base operating support (BOS) executed by the Army Corps of Engineers. CSL Comalapa does not receive oversight from Commander, Navy Installations Command and does not utilize Naval Facilities Engineering Command (NAVFAC) to execute BOS contracts. This arrangement is contrary to the intent of OPNAVINST 5450.339, Missions, Functions, and Tasks of Commander, Navy Installations Command and warrants further examination. NAVINSGEN conducted a separate, follow-on visit
to CSL Comalapa after our inspection to assess mission performance and adequacy of BOS functions. These observations will be reported separately.

**Civilian Position Descriptions (PDs)**
USNAVSO PDs were reviewed for completeness and compliance with applicable DAWIA, Financial Management Certification, and position sensitivity requirements. USNAVSO does not have any applicable DAWIA positions and the Financial Management Certification and position sensitivity requirements are not fully compliant. USNAVSO has six financial management positions with substandard PDs. USNAVSO position sensitivity was deficient for the Contracting Officer Representative (COR), Assistant Battle Watch Captain, Joint Exercise Training Readiness Specialist, and Supervisory Information Technology (IT) Specialist positions. It is incumbent upon the command and the Human Resources Specialist (Classification) to: (1) work with the Command Certification Component Administrator and other stakeholders to ensure PDs are recoded and personnel records contain proper certification information, as applicable; and (2) assess and revalidate the position requirements, including sensitivity levels, and work with supervisors to ensure completion of PD records for each classified position.

**Deficiency 6.** PDs for GS-0501 (Financial Management) positions have not been recoded, do not conform to the standard PD requirements, and lack certification statement. Reference: DON Implementation Guidance Memo for DoD Financial Management Certification Program.


**Deficiency 8.** Several PDs (GS-0343-11, GS-0301-11, Assistant Battle Watch Captain, GS-0301-13, Joint Exercise Training Readiness Specialist, GS-2210-13, and Supervisory IT Specialist) are missing Position Designation of National Security and Public Trust Position Records documenting appropriate position sensitivity levels. Reference: 5 CFR 732.201.

**Civilian Hiring Actions**
USNAVSO utilized the hiring/interview process twice in the last year for a total of three positions. The command currently has 26 civilians onboard with a full strength of 32. USNAVSO took an average of 141 calendar days for the three positions hired last year. The positions hired consisted of two Contracting Officer’s Technical Representative (COTR) GS-1101-12 positions (a Navy priority due to recent changes in the way Navy pays for husbandry services) and a Financial Management Analyst GS-0501-11 position. USNAVSO visited the USFF Human Resources Office (HRO) in February 2015 to discuss hiring process best practices. At that time, USNAVSO became aware of and intends to utilize specific HR hiring flexibilities, such as non-competitive authority, bundling, and Management Identification of Candidates (MiOC), designed to drive down hiring cycle timelines.
Civilian Interim Performance Management System
USNAVSO FY14 performance appraisals were reviewed for accuracy and completeness and found not fully compliant. Personnel performance plans are required to be established within 30 days of reporting to the command and within 30 days of the new fiscal year for existing employees. Twenty-one of 26 civilian employee performance appraisals were found to be complete while one performance plan was not due until 1 July for a recent arrival and thus not considered in the following assessment percentages. USNAVSO performance plans were established on time for 3 of 25 personnel (12 percent), progress reviews were completed on time for 18 of 25 personnel (72 percent), and annual appraisals were completed on time for 10 of 25 personnel (40 percent).

Deficiency 9. USNAVSO failed to establish performance plans, conduct progress reviews, and conduct annual appraisals within specified timelines for all civilian personnel. References: Department of the Navy, Interim Performance Management System for Positions Transitioning to the GS from NSPS; and DON CHRM Subchapter 430.1, DON Performance Management Programs.

Recommendation 7. That USNAVSO develop a tracking system to ensure that all performance management requirements are completed.

Civilian Awards Process
Since USNAVSO falls under BSO 60 (USFF), its Interim Performance Management System Recognition and Rewards process follows the USFF awards framework. We observed one instance where an employee was rated distinguished (highest rating) but the supervisor failed to state how their performance exceeded expectations and positively impacted the command.

Recommendation 8. That USNAVSO revise their awards board membership to enhance process effectiveness and increase transparency.

Equal Employment Opportunity (EEO)
USNAVSO’s Equal Employment Opportunity program is not fully compliant. The Commander’s EEO policy statement has already been amended since our inspection to include additional “protected classes” and is now posted throughout the command. Also at the time of our inspection, the Deputy N1 was listed as the EEO point of contact (POC) on the USNAVSO Plan of the Week (POW). However, an EEO counselor should be listed as the EEO POC, in accordance with DON CHRM Subchapter 1601, Equal Employment Opportunity Program Policy, in the event an employee desires to initiate an EEO complaint. The USNAVSO POW and command SharePoint portal have since been updated to ensure an EEO counselor is listed as the EEO POC.

Military/Civilian Training
General Military Training (GMT)
GMT is not completed by all military personnel as directed by OPNAVINST 1500.22G, General Military Training and NAVADMIN 386/11 and 264/13, FY13 and FY14 General Military Training Schedule, respectively. USNAVSO was unable to provide FY13 data and FY14 GMT completion
rate was 61 percent. USNAVSO FY15 GMT is on track and currently stands at 60 percent complete for Category One topics and 96 percent complete for Category Two topics.

**Deficiency 10.** USNAVSO Headquarters staff GMT Category One and Two topics are not completed by all military personnel. References: OPNAVINST 1500.22G, paragraph 4c and 6d(2) and NAVADMINs 386/11 and 264/13.

**Recommendation 9.** That USNAVSO draft a comprehensive training instruction applicable to both military and civilian personnel to establish and maintain an effective overall training program for the command.

**Civilian Training**

Civilian training requirements are not completed as directed by SECNAVINST 12410.25, Civilian Employee Training and Career Development, and the DON Office of Civilian Human Resources. USNAVSO was unable to provide FY13 data and FY14 civilian training completion rate was 77 percent. Of note, supervisors and employees that attended an April 2015 HR training session were given credit for the face-to-face training; however, it had not been uploaded into the Defense Civilian Personnel Data System (DCPDS) at the time of our inspection. The command is on track to meet FY15 civilian training requirements.

**Deficiency 11.** USNAVSO civilian mandatory training requirements are not completed by all civilian personnel. References: SECNAVINST 12410.25, Civilian Employee Training and Career Development; and the Office of Civilian Human Resources Mandatory Training Requirements.

**Recommendation 10.** That USNAVSO ensure training is included in statements of work for contractor personnel and ensure civilian personnel are afforded sufficient time to complete training requirements.

**Recommendation 11.** That USNAVSO coordinate with the USFF Human Resources Office to ensure all face-to-face training sessions are uploaded into DCPDS.

**Intelligence Activities**

USNAVSO is meeting mission requirements and providing effective oversight of naval information dominance activities in the AOR. However, manpower adjustments are recommended in order to optimize USNAVO Intelligence capability and capacity. USNAVSO has consistently coordinated with Navy Personnel Command to ensure an O6 is detailed to its N2 position, which is coded as an O5 billet on the AMD. This billet should be recoded to an O6 billet. Additional adjustments are needed to the MIoC Director and key O4 positions. Establishing a senior N2 civilian position is needed to provide strategic depth, ensure corporate knowledge retention, and drive operational intelligence production. This senior N2 civilian will enhance the relevant and timely decision-making support provided to the Commander. Inconsistent MIoC support from the headquarters Reserve UIC highlights the need for a separate MIoC-specific Reserve UIC. USNAVSO has one 1810 designated Information Warfare Officer to address all cryptologic resource; additional support is required. Finally, USNAVO needs to develop an Information Operations (N39)
capability to meet Navy Cyber Power 2020 objectives and achieve parity with other operational echelon 2 commands.

**Recommendation 12.** That USNAVSO clarify billet requirements for N2 and MIoC Director positions on the AMD.

**Recommendation 13.** That USNAVSO work with USFF N1 to establish a senior N2 civilian position.

**Recommendation 14.** That USNAVSO work with Navy Reserve Force to establish a dedicated MIoC Reserve UIC.

**Recommendation 15.** That USNAVSO work with USFF N1 to establish an additional Information Warfare Officer billet.

**Recommendation 16.** That USNAVSO establish an N39 Information Operations capability.
The Facilities, Environmental, Energy, and Safety Team assessed management, oversight, compliance, and execution of programs associated with each subject area via document reviews, data analysis, site visits, focus group and survey comments, and interviews with members of the USNAVSO staff and NAVSTA Mayport Public Works Department (PWD) staff. USNAVSO is executing shore related mission requirements well with respect to facilities, environmental, and energy conservation. SOH Programs were found to meet some of the program elements required by applicable laws, regulations, and policies, but SOH staffing, qualifications, and oversight of subordinate echelon 3 commands was assessed as not effective.

**Facilities and Infrastructure**

NAVSTA Mayport PWD provides facility maintenance and operations, making effective use of limited Common Output Level 4 BOS and facility sustainment funding; however, USNAVSO lacks sufficient permanent facility space required to accommodate current or projected manning levels. The staff is assigned to 7 facilities, 3 of which are doublewide trailers intended as temporary office space for a total of 28,000 square feet of space. These trailers were leased five years ago with the intent of divestiture upon completion of a new headquarters brick and mortar facility. Military Construction (MILCON) project P332 was developed in 2009 to construct a single 53,000 SF facility, which would provide adequate space for an expected increase in manning. This $27M project had initially competed as a top Navy Region Southeast (NRSE) priority in Program Objective Memorandum (POM) -12 and POM-13, but fell in priority in recent years given declining Navy MILCON funding and directed projects associated with new platforms such as the LCS and Joint Strike Fighter. The trailers were installed in 2010 through a cost-effective annual lease, and USNAVSO has received a waiver to the DoD and Navy three-year limit on trailers. However, we do not consider trailers as a viable intermediate or long-term solution and in the absence of MILCON funds, we recommend pursuing Special Project authority for a new facility within the $1M MILCON threshold to replace the office space currently provided by the trailers.

**Safety and Occupational Health (SOH)**

USNAVSO SOH Programs are not fully compliant, but are on track to achieve compliance in 2016 with 29 U.S.C. 651-678, Occupational Safety and Health Act of 1970; safety related rules, regulations, and standards promulgated by the Occupational Safety and Health Administration; and policies outlined in OPNAVINST 5100.23G CH-1, Navy Safety and Occupational Health Program Manual. A part-time Safety Officer was recently appointed, and reached out for support from the base safety office, Commander, Navy Installations Command, USFF, and the Naval Safety Center to establish a program that meets Navy requirements. While onsite, our team worked extensively with the Safety Officer to draft a detailed internal operating procedure, which could be used to develop a formal command safety instruction.

During our inspection, we reviewed the following aspects of SOH and found them to be compliant with governing directives:
• Command SOH Policy
• Operational Risk Management
• Safety Councils, Committees, and Working Groups
• Safety Trend Analysis
• Safety Self-Assessment
• Acquisition Safety
• Traffic Safety (Including Motorcycle Safety)
• Recreational/Off-duty Safety
• Safety Database Input
• Headquarters SOH Program

The following areas were not in compliance:

• Safety Professional Training and Qualifications
• SOH Oversight of Subordinate Commands

**Deficiency 12.** The USNAVSO Safety Officer has not completed required safety training courses. Reference: OPNAVINST 5100.23G CH-1, Section 0602.d(2).

**Deficiency 13.** USNAVSO is not providing required safety oversight of their lower echelon commands. Reference: OPNAVINST 5100.23G CH-1, Sections 0904 and 0905.

**Environmental Programs**

A review of USNAVSO operations was conducted considering environmental compliance and environmental planning documentation including:

• Hazardous Material
• Hazardous Waste
• Spill Prevention
• Storm Water
• Drinking Water
• Waste Water
• Air Pollution
• Environmental Impact Statements
• Environmental Assessments
• Categorical Exclusions
• Natural and Cultural Resources Requirements

USNAVSO’s Environmental Program is not compliant with governing instructions, policies, and statutes. This program is managed as a collateral duty; there is no resident or trained Environmental Program Manager, but the staff is working to correct program deficiencies by leveraging Naval Facilities Engineering Command (NAVFAC) Southeast (SE) resources for
assistance and support. We expect progress in the near term and anticipate approximately 12 months to correct deficiencies given funding requirements to complete.

CSL Comalapa Environmental Compliance Oversight requires annual internal assessments and triannual external environmental compliance assessments of Navy facilities. In October 2014, USSOUTHCOM conducted an internal assessment; however, this assessment did not include all required Environmental Programs needed to meet DODI 4715.05, Overseas Environmental Baseline Guidance Document, requirements. Additionally, a triannual external assessment has never been conducted. Prior to our inspection, USNAVSO initiated action to correct these deficiencies and funded NAVFAC SE to conduct an external environmental assessment in accordance with DoD and Navy standards. This assessment is scheduled for August 2015.

**Deficiency 14.** USNAVSO is not conducting required environmental compliance oversight at CSL Comalapa, El Salvador. Reference: DoDI 4715.05, Overseas Environmental Baseline Guidance Document, Enclosure (2), Section 4.d.

**Environmental Compliance Afloat**

As the Navy On-Scene Coordinator (NOSC) for the USSOUTHCOM AOR, USNAVSO is required to develop an area-wide fleet NOSC Plan. The current USNAVSO plan (OPORD 4000-07) is out of date and requires substantial changes to meet current OPNAV standards. Additionally, USNAVSO NOSC has not conducted required annual spill management team exercises.

**Deficiency 15.** USNAVSO has not developed an area-wide fleet NOSC Plan. Reference: OPNAV M-5090.1, Environmental Readiness Program Manual, Section 39-4.7.

**Deficiency 16.** USNAVSO has not conducted annual spill management team exercises. Reference: OPNAV M-5090.1, Environmental Readiness Program Manual, Section 39-3.4.c.(2).

**At-Sea Training, Mitigation and Reporting**

USNAVSO recently included At-Sea Training, Mitigation and Reporting in operation orders (e.g. OPORD 4000-15, Annex L) to meet the Environmental Afloat Compliance requirements outlined in OPNAV M-5090-1, Chapter 35. This will ensure units operating in the USSOUTHCOM AOR understand and adhere to Protective Measures Assessment Protocol, Marine Species Awareness Training, Sonar Positional Reporting System, and Marine Mammals and Endangered Marine Species Programs.

**Recommendation 17.** That USNAVSO OPORDs are reviewed and updated regularly to meet Environmental Afloat Compliance requirements. Reference: OPNAV M-5090.1, Environmental Readiness Program Manual, Chapter 35.

**Environmental Planning**

Environmental analyses for recent exercises were completed in accordance with Navy’s Environmental Planning under the National Environmental Policy Act and Executive Order 12114 requirements. However, USNAVSO personnel are not trained and lack the resident expertise to conduct the required analysis, and instead rely upon OPNAV, USFF, and NRSE Environmental
Counsel to complete this assessment. At the time of the inspection, USNAVSO did not have a written standard operating procedure (SOP) or a formal process to ensure required environmental planning is integrated into future planning processes.

**Recommendation 18.** That USNAVSO develop a SOP or formal process to ensure required environmental planning is integrated into future training, exercises, and operations. Reference: OPNAV M-5090.1, Environmental Readiness Program Manual, Chapter 10.

**Energy Conservation**

USNAVSO Shore Energy Conservation Programs are effective, but not fully compliant. A Building Energy Monitor appointment letter was in draft during this inspection. The program has achieved the desired downward trend in energy consumption; however, in part by leveraging the operations center watchstanders for night audits several times each week. USNAVSO Operational Energy Programs are effective and compliant.

**Deficiency 17.** USNAVSO has not appointed a Building Energy Monitor (BEM) in writing. Reference: NAVSTAMYPTINST 4101.1, Naval Station Mayport Energy Instruction, paragraph 5.e.(2).
The Security Programs and Cybersecurity/Technology Team used survey and focus group responses, document review, and face-to-face interviews to assess the following areas:

- Information Security
- Personnel Security
- Industrial Security
- Physical Security
- Special Security Programs
- Operations Security (OPSEC)
- Counterintelligence (CI) Training
- Cybersecurity
- Personally Identifiable Information (PII)
- Foreign Disclosure
- Insider Threat

**Command Security Overview**

USNAVSO does not have a dedicated Command Security Officer due to the small size of the headquarters staff; instead, USNAVSO relies on several personnel to execute security responsibilities as collateral duties. Additionally, USNAVSO has another commissioned officer (O4) is assigned as the

DoDM 5105.21, Sensitive Compartmented Information (SCI) Administrative Manual, Volume 1, Enclosure 2, paragraph 6 states, “The Component SSO will be functionally subordinate to the SIO and be a member of the SIO staff... The Component SSO shall...have direct access to the SIO.”

USNAVSO has issued several directives related to security functions. Two command directives in particular, form the core of the command’s security policies. Examples of missing elements...
Many command security processes are hard to locate or not codified by instruction making it difficult for USNAVSOS to enforce desired security behaviors. Some examples of processes which fall into these categories:

**Deficiency 18.** The command does not meet the minimum required elements of a command security instruction. References: SECNAV M5510.36, Exhibit 2A; and SECNAV M 5510.30, Appendix C.

**Deficiency 19.** Reference: DoDM 5105.21, Volume 1, Enclosure 2, paragraph 6.

**Recommendation 19.** That USNAVSOS structure the command organization so that the CSM is afforded direct access to the Commander per SECNAV M5510.36, Section 2.3, paragraph 2.

**Recommendation 20.** That USNAVSOS conduct an SMRD to determine additional security personnel to execute both command and subordinate command oversight duties per references SECNAV M5510.30 and SECNAV M5510.36.

**Information Security**

USNAVSOS Information Security Program is not fully compliant. Some of the command’s information security policies are cumbersome and therefore command personnel did not always comply with the requirements of these policies. For example, though preceding guidance in the same paragraph specifically refers to classified material, this statement seems to imply that Additionally, some information security measures provided training, assistance, and improved information security inspection checklists during the inspection.

**Deficiency 20.** USNAVSOS does not provide information security oversight to subordinate commands. Reference: SECNAV M5510.36, Section 2-11, paragraph 1.

**Deficiency 21.** On at least one occasion, a file was destroyed without the Reference:


Deficiency 24. USNAVSO designated a

Deficiency 25. USNAVSO does not ensure military and civilian personnel whose duties significantly involve the handling, creation, or management of classified information document this on performance evaluations. References: DoDM 5200.01, Volume 1, Enclosure 2, paragraph 7h; SECNAV M5510.30, Section 2-2, paragraph 2k; and SECNAV M5510.36, Section 2.1, paragraph 5h.


Deficiency 27. USNAVSO did not receive self-inspection results from all subordinate echelon 3 commands. Reference: SECNAV M5510.36, Section 2-11.

Deficiency 28. Several

Recommendation 21. That USNAVSO revise the classified material destruction procedures found in and remove practices which impose

Recommendation 22. That USNAVSO designate

Personnel Security
USNAVSO’s Personnel Security Program is not fully compliant with SECNAV M5510.30.

Deficiency 29. USNAVSO does not provide personnel security oversight to subordinate commands. References: SECNAV M5510.30, Section 2-2, paragraph 2j; and SECNAV M5510.30, Section 2-10, paragraphs 1 and 2.

Deficiency 30. USNAVSO IT position level designations are not annotated within the Joint Personnel Adjudication System. Reference: SECNAV M5510.30, Section 5-2, paragraph 6.
Deficiency 31. USNAVSO does not have an SSA with subordinate commands where USNAVSO provides security support. Reference: SECNAV M5510.30, Section 2-11, paragraph c.

Deficiency 32. On one occasion, a member of the command

Recommendation 23. That USNAVSO’s CSM and N1 review and update civilian PDs for clearance and sensitivity determinations to include sensitivity designation letters.

Industrial Security
USNAVSO does not have a formally codified Industrial Security Program. USNAVSO requires a comprehensive, formalized approach to ensure all security requirements are met for contracts, Contract Security Classification Specifications (DD Form 254), and training. USNAVSO is required to have an industrial security policy in place, as stipulated in SECNAV M5510.36, Section 11-1, which states “Commanding Officers shall establish an Industrial Security Program if their command engages in classified procurement with U.S. industry, educational institutions or other cleared U.S. entities...or when cleared DoD contractors operate within areas under their direct control. Command security procedures shall include appropriate guidance...to ensure that classified information released to industry is safeguarded.” Furthermore, USNAVSO does not provide industrial security oversight to subordinate commands.

Deficiency 33. USNAVSO does not have an industrial security policy in place. References: SECNAV M-5510.36, Section 11-1; and SECNAV M5510.36, Exhibit 2A, paragraph 2k.

Deficiency 34. USNAVSO does not exercise industrial security oversight to subordinate commands. Reference: SECNAV M5510.36, Section 2-11, paragraph 1.

Deficiency 35. USNAVSO does not have an SSA (or Memorandum of Understanding or Memorandum of Agreement) with other commands in support of either a cleared contractor or a long-term USNAVSO visitor group. Reference: SECNAV M5510.36, Section 2-10, paragraph 1f.

Deficiency 36. The COR responsible for has a PD which

Deficiency 37. One DD Form 254 for a support service contract requiring

Deficiency 38. One DD Form 254 for a support service contract requiring

Physical Security
The Physical Security Program at USNAVSO is not fully compliant with deficiencies noted below. requires revision to clarify command policies and
USNAVSO’s Physical Security and defense-in-depth relies heavily on the use of specific examples include: incorrect errors. Specific examples include:

A majority of the existing USNAVSO’s Key and Lock Control Program is ineffective. We provided training and Naval Criminal Investigative Service (NCIS) assistance to USNAVSO’s Physical Security Officer to improve the efficacy of the Key and Lock Control Program.

**Deficiency 39.** USNAVSO restricted area designation in incorrect physical security terminology. References:

**Deficiency 40.** USNAVSO

**Deficiency 41.** Required annual

**Deficiency 42.** USNAVSO does not have an effective Key and Lock Control Program in place. References: OPNAVINST 5530.14E (CH-2), Enclosure (1), Article 0209; and NTTP 3-07.2.3, Appendix P.

**Deficiency 43.** USNAVSO

**Deficiency 44.** USNAVSO does not use the Common Access Card as the means for regularly assigned military, civilian and contractor personnel to gain entry into spaces at USNAVSO. References: Homeland Security Presidential Directive (HSPD) 12, Policy for a Common

Special Security Programs
USNAVSO’s Special Security programs are not fully compliant. USNAVSO has an ASSO oversees the provides administrative support to, and performs other support duties. We conducted an administrative cross-check. Additionally, we conducted Deficiencies related to SCIF inspections were sent via Navy message. Deficiency 45. Not all SCI indoctrinated personnel are

Deficiency 46. The USNAVSO

Deficiency 47. USNAVSO SCI indoctrinations do not include requirements for

Deficiency 48. USNAVSO does not hold documentation in their

Deficiency 49. All

Deficiency 50. USNAVSO has not submitted the

Deficiency 51. The appointment letter for the Information System Security Manager

Deficiency 52. The USNAVSO
Deficiency 53. One

Deficiency 54. The Fixed Facility Checklist (FFC)

Deficiency 55. The FFC

Deficiency 56. The security in-depth section of the FFC

Deficiency 57. The

Deficiency 58. Semi-annual

Recommendation 24. That US NAVSO perform an inspection of all

Recommendation 25. That US NAVSO consider

Recommendation 26. That US NAVSO consolidate existing

Operations Security
US NAVSO’s Operations Security (OPSEC) program is not fully compliant. US NAVSO has a formal OPSEC program under the supervision of a properly trained and qualified OPSEC officer. US NAVSO conducts required OPSEC training to assigned personnel, but does not conduct specialized training for personnel involved in the public release of information. US NAVSO has a current OPSEC instruction and
While the current USNAVSO minimum, the USNAVSO does not review or provide oversight of subordinate command OPSEC programs.

USNAVSO is an echelon 2 command with regional responsibilities and services, but fails to meet the requirements of a Level III OPSEC program, as defined in DoD 5205.02-M, DoD Operations Security (OPSEC) Program Manual, Enclosure 3, paragraph 3c which states "A Level III program consists of a full-time managed and resourced OPSEC program. Due to the level of oversight it has for subordinate units and/or the sensitivity of the mission, this program requires substantial effort. A Level III program shall meet all the Level I and Level II requirements." The OPSEC program manager position requires sufficient flexibility to be able to dedicate more time when required to meet emergent operational requirements.

USNAVSO’s OPSEC Program requires better integration with USNAVSO should review CJCSI 3213.01D, and JP 3-13.3, Operations Security, to ensure the command’s OPSEC Program is operationalized and aligns with its USSOUTHCOM’s OPSEC Program. This integration is critical to meet the requirements outlined in OPSEC policies and practices permeate the operational provisions and requirements outlined in that document.

**Deficiency 59.** USNAVSO does not have an appropriately trained and certified OPSEC planner to accomplish component various support requirements for responsibilities outlined in DoDD 5205.02E, DoD Operations Security (OPSEC) Program. References: OPNAV M-3500.42, paragraphs 3e(3), 4b(6)(b); OPNAV M-3500.42, Tables 4F-1 and 6-1; and OPNAV M-3500.42, OP 5.6.1.

**Deficiency 60.** The USNAVSO OPSEC officer and Security Manager are not involved in the

**Deficiency 61.** USNAVSO does not conduct required specialized training for OPSEC Program managers/coordinators, Public Affairs personnel, contracting specialists, and personnel
responsible for the review and approval of information intended for public release.

References: DoDD 5205.02E, DoD Operations Security (OPSEC) Program, Enclosure 2, paragraph 11(l); and CJCSI 3213.01D, Joint Information Operations Security, Enclosure A, paragraph 6(i2).

**Deficiency 62.** The USNAVSO does not ensure that the OPSEC committee:

- Recommend policies and procedures for the OPSEC grievance process.
- Review OPSEC requirements as part of the annual training and familiarization process.
- Ensure that the OPSEC working group meeting minutes include sufficient level of detail to capture discussion points.

**Deficiency 63.** USNAVSO does not ensure that the N4 (for husbanding functions and contracting) and industrial security personnel into the command’s OPSEC collaboration processes.

**Recommendation 27.** That USNAVSO revise the OPSEC guidance and procedures to include:

- A clear statement of the OPSEC committee’s roles and responsibilities.
- Specific guidance on how to conduct OPSEC training for all personnel.
- A method for tracking and reporting OPSEC grievances.

**Recommendation 28.** That USNAVSO include the N4 (for husbanding functions and contracting) and industrial security personnel into the command’s OPSEC collaboration processes.

**Recommendation 29.** That USNAVSO collaborate with USFF to ensure Change in Operational Command procedures are instituted and executed for OPSEC purposes.

**Recommendation 30.** That USNAVSO amend existing guidance and address OPSEC requirements related to:

- Training and familiarization.
- OPSEC working group meeting minutes.

**Recommendation 31.** That USNAVSO OPSEC working group meeting minutes include sufficient level of detail to capture discussion points.

**Recommendation 32.** That USNAVSO expand OPSEC working group membership to include:

- Contracting personnel.
- Industrial security personnel.

**Recommendation 33.** That USNAVSO develop oversight plan to ensure OPSEC is:

- Conducted in a transparent and consistent manner.
- Compliant with DoDD 5205.02E and CJCSI 3213.01D.

**Counterintelligence (CI) Training**

CI training to USNAVSO personnel is compliant with DoDD 5240.06, Counterintelligence Awareness and Reporting (CIAR). CI training is performed by the NCIS Southeast regional office.

**Cyber Security**

USNAVSO’s Cyber Security Program is not fully compliant. USNAVSO has a dedicated IT staff performing the Cyber Security mission; however, the command does not provide consistent oversight to: 

- Ensure that all personnel are trained on Cyber Security policies and procedures.
- Track and report Cyber Security incidents.

USNAVSO should:

- Develop a Cyber Security training plan.
- Establish a Cyber Security incident reporting process.
- Ensure that all personnel are trained on Cyber Security policies and procedures.

USNAVSO should:

- Conduct periodic self-assessments to ensure compliance with Cyber Security policies and procedures.
- Ensure that all personnel are trained on Cyber Security policies and procedures.
- Track and report Cyber Security incidents.
We interviewed members of USNAVSO’s N6 staff and found that several members were unaware of the command’s Deficiency 64. Additionally, we provided training to the N6 staff on elements of Deficiency 65.

Deficiency 64. Routine

Deficiency 65. One USNAVSO subordinate command is not properly

Deficiency 66. One USNAVSO subordinate command is not

Deficiency 67. One USNAVSO subordinate command is not

Deficiency 68.

Recommendation 34. That USNAVSO determine applicable portions of the command’s

Personally Identifiable Information (PII)

USNAVSO’s PII Program is partially compliant. The PII coordinator is clearly dedicated but provides limited oversight of subordinate commands.

Deficiency 69. USNAVSO does not track annual PII training for contractors at CSL Comalapa. Reference: ALNAV 070/07, Department of the Navy (DON) Personally Identifiable Information (PII) Annual Training Policy, Paragraph 1a.

Deficiency 70. Emails containing PII are not routinely encrypted. Reference: DON CIO WASHINGTON DC Message DTG 031648ZOct11, Subj: Acceptable Use Policy.
**Deficiency 71.** USNAVSO does not provide comprehensive oversight of the PII program of CSL Comalapa PII Program. Reference: SECNAVINST 5211.5E, Department of the Navy (DON) Privacy Program, paragraph 7h.

**Foreign Disclosure**

USNAVSO’s Foreign Disclosure Program is compliant. USNAVSO has one full-time civilian Foreign Disclosure Officer (FDO) responsible for five disclosure categories; one commissioned officer (O5) responsible for one disclosure category; and one commissioned officer (O2) also responsible for one disclosure category. USNAVSO effectively maintains three foreign programs to include cooperative programs, foreign liaison programs and exchange personnel. USNAVSO has foreign disclosure and visit approval authority over one of its subordinate commands (CSL Comalapa). USNAVSO’s second subordinate command (DESRON 40) maintains its own FDO.

The FDO is adequately manned to meet USNAVSO foreign disclosure responsibilities. The FDO handles approximately b7e per year and has oversight on all b7e

USNAVSO submits and tracks b7e

**Recommendation 35.** That USNAVSO b7e

**Insider Threat**

Following a review of the command security programs reported in previous sections, we performed a horizontal examination of our findings to provide a snapshot of day-to-day security practices, which should be addressed to enhance overall USNAVSO command security program readiness.

USNAVSO personnel are generally aware of their surroundings and knowledgeable of general security requirements. On some occasions, b7e

In addition to previously identified findings, knowledge management requires improvement. b7e
RESOURCES MANAGEMENT/COMPLIANCE PROGRAMS

The Resource Management/Compliance Programs Team assessed 18 programs and functions. Our findings reflect inputs from survey respondents, onsite focus group participants, document review, direct observation, and face-to-face personnel interviews.

The following programs and functions are well administered and in full compliance with applicable directives:

- Financial Management/Comptroller Functions
- Government Travel Charge Card
- Government Commercial Purchase Card
- Personal Property Management
- Command Individual Augmentee Coordinator Program
- Deployment Health Assessment
- Individual Medical Readiness
- Physical Readiness Program
- Navy Alcohol and Drug Abuse Prevention
- Hazing Training and Compliance
- Command Managed Equal Opportunity
- Legal and Ethics
- Victim and Witness Assistance Program
- Voting Assistance Program

The following programs are not fully compliant:

**Suicide Prevention**

USNAVSO’s Suicide Prevention Program is not fully compliant. Program Management was reinvigorated with the appointment of a new Suicide Prevention Coordinator in FY14. Suicide Prevention training completion rates for FY14 were just 45 percent for military, 42 percent for civilian staff, and 4 percent for full-time contractors. FY15 percentages to date are in the mid-40s for civilians and mid-70s for military, although several months remained in the fiscal year at the time of inspection.

**Deficiency 72.** Required Suicide Prevention training for military, civilian, and full-time contractor personnel has not been conducted. Reference: OPNAVINST 1720.4A, Suicide Prevention, paragraphs 5a(1), 6h(3), and Enclosure 3, paragraph 1.

**Recommendation 36.** That a crisis response plan and a safety plan for high-risk individuals be developed and made readily accessible to assist watchstanders and supervisors.

**DON Inspection Program**

We found evidence of energetic leadership engagement and the use of a variety of command self-assessment approaches, as well as elements that partially address subordinate command oversight. Lower echelon oversight, however, is incomplete.
SECNAVINST 5040.3A, Inspections within the Department of the Navy, requires echelon 2 commands to develop and implement an inspection program. The DON Inspection Program instruction further states that outside authority inspections “are necessary and useful to verify objectively and independently mission capability and performance,” operational and materiel readiness, and the effectiveness and efficiency of subordinate commands. As the Immediate Superior in Command of DESRON 40 and CSL Comalapa, strong USNAVSO leadership engagement and individual staff level support needs to be formalized in a comprehensive command inspection program that includes the identification of an inspection program manager, establishment of an inspection plan, identification and implementation of standardized inspection processes, as well as, establishment of reporting requirements and methodology to track corrective actions to completion.

A cornerstone of an effective inspection program is the presence of a command Inspector General (IG) position. USNAVSO was in the process of developing a PD and commencing hiring actions for an Inspector General at the time of our inspection. Once hired, the USNAVSO IG can provide a critical role in establishing an inspection program that complies with SECNAVINST 5040.3A, and ensuring Hotline and audit liaison functions are in place to support command personnel, mission accomplishment, and subordinate command oversight.

Deficiency 73. USNAVSO does not have a formal, organized command inspection program as required by SECNAVINST 5040.3A, Inspections within the Department of the Navy, Paragraph 9f(1).

The following programs are not compliant:

Managers’ Internal Controls (MIC)
An effective MIC Program was not in place at the time of our inspection though a recently appointed MIC Coordinator has made noteworthy progress. A MIC plan is required to capture the command’s approach to implementing an effective and efficient internal controls program, ensure Assessable Units are inventoried, assess risks and controls, and develop corrective action plans that are tracked to completion.

Deficiency 74. USNAVSO lacks an effective MIC program. Reference: SECNAVINST 5200.35F, Department of the Navy Managers’ Internal Control Program, Enclosure 1, paragraph 9e(4)(a).

Deficiency 75. USNAVSO MIC Coordinator has not completed required MIC training. Reference: OPNAVINST 5200.25E, Managers’ Internal Control Program, paragraph 5a(2)(c).

Deficiency 76. MIC training for functional area managers has not been established. Reference: OPNAVINST 5200.25E, Managers’ Internal Control Program, paragraph 5a(2)(c).

Sexual Assault Prevention and Response (SAPR)
USNAVSO is committed to maintaining an environment free of sexual assault and a victim would undoubtedly receive excellent care and support services. Command SAPR Victim Advocates are knowledgeable and highly dedicated. However, there are SAPR Program responsibilities that are
either not in place or have not been reassigned when previously assigned personnel departed the command.

**Deficiency 77.** Key SAPR Program personnel (SAPR Command Liaison, SAPR POC, and Data Collection Coordinator) are not identified nor formally designated in writing by the Commander. Reference: OPNAVINST 1752.1B, Sexual Assault Victim Intervention (SAVI) Program, paragraphs 8b(6) and 9f(3)-(4).

**Deficiency 78.** Commander, USNAVSO did not receive the required Sexual Assault Response Coordinator briefing within 30 days of assuming command. References: DoDI 6495.02 CH-1, Sexual Assault Prevention and Response Program Procedures, Enclosure (5), paragraph 3b; and SECNAVINST 1752.4B, Sexual Assault Prevention and Response, Enclosure (5), paragraph 3b.

**Deficiency 79.** SAPR GMT and civilian supervisor of military training is not being conducted as required. References: DoDI 6495.02, CH-1, Enclosure (10), paragraph 2b; and SECNAVINST 1752.4B, Enclosure (10), paragraph 2b.

**Deficiency 80.** Watchstander and Duty Officer training is not conducted to the level required to ensure watchstanders properly respond to reports of sexual assault. References: SECNAVINST 1752.4B, Enclosure (3), paragraph 2c (1); Enclosure (5), paragraph 3a; and Enclosure (10), paragraph 2d.

**Deficiency 81.** The mandatory review of each service member’s personnel record for notation of sex-related offenses has not been conducted by Commander, USNAVSO, to ensure the disposition and annotation of certain sex-related offenses in the member’s official military personnel file. Reference: NAVADMIN 025/15 JAN15.

**Recommendation 37.** That training on sexual assault risk reduction strategies be added to the pre-deployment training program for USNAVSO personnel who deploy downrange in support of operations and/or exercises.
SAILOR PROGRAMS
The NAVINSGEN Command Master Chief engaged in various leadership groups, both junior and senior. Separate meetings were held with key program managers to get a sense of the career management programs throughout the command. Brilliant on the Basics Programs were reviewed and behavior associated with good order and discipline was closely observed. Overall, command morale and perceptions of quality of life were noted to be average. Enlisted Sailors displayed proper military bearing and maintained a professional appearance.

Sailor Career Management Programs
Areas reviewed included the Command Sponsorship, Command Indoctrination, and Career Development Programs.

Command Sponsorship Program
This program is in compliance with OPNAVINST 1740.3C, Command Sponsor and Indoctrination Programs. The command has a designated coordinator responsible for assigning sponsors to inbound military members. The sponsor coordinator has a system in place to ensure Sailors complete required Fleet and Family Support Center training before they are assigned sponsorship roles.

Command Indoctrination Program
USNAVSO does not have an established command indoctrination program and therefore is not in compliance with OPNAVINST 1740.3C. Due to the low volume of inbound Sailors, USNAVSO has forged a relationship with NAVSTA Mayport for newly reported personnel to attend base indoctrination. However, the base course does not include information specific to USNAVSO.

Deficiency 82. USNAVSO does not maintain a Command Indoctrination Program. Reference: OPNAVINST 1740.3C, paragraph 2.e(1).

Recommendation 38. That USNAVSO update the command check-in sheet to include USNAVSO program manager briefs on suicide awareness, sexual assault prevention response, antiterrorism/force protection, and other important command programs.

Career Development Board (CDB)
The USNAVSO CDB Program is in compliance with OPNAVINST 1040.11D, Navy Enlisted Retention and Career Development Board. A collateral duty career counselor is assigned and junior enlisted Sailors are receiving required CDBs and guidance from senior enlisted leaders.

Sailor Recognition Programs
This program is established in accordance with OPNAVINST 1700.10 (series), Sailor of the Year Program, and assessed to be satisfactory.
CPO 365
A significant number of USNAVSO Chief Petty Officers and First Class Petty Officers are participating in the base CPO 365 Program. Several USNAVSO Chief Petty Officers hold chairperson positions and the USNAVSO CPO Mess was selected to lead Phase II of CPO 365, the final step for First Class Petty Officers transitioning to Chief Petty Officer.
APPENDIX A: Summary of Key Survey Results

PRE-EVENT SURVEY
In support of the USNAVSO Command Inspection held 18 - 26 June 2015, NAVINSGEN conducted an anonymous online survey of active duty military and DON civilian personnel from 8 April to 15 May 2015. The survey produced 119 respondents (101 military, 18 civilian), which may have included some echelon 3 personnel. Selected topics are summarized in the sections below. A frequency report is provided in Appendix C.

Quality of Life
Quality of life was assessed using a scale from 1 to 10, where 1 is worst and 10 is best. The overall USNAVSO average QOWL, 7.24, was higher than the historical echelon 2 average, 6.64 (Figure A-1). The overall USNAVSO average QOHL, 8.66, was higher than historical echelon 2 average, 7.92 (Figure A-2).

Mission Tools & Resources
Table A-1 lists aggregate ‘strongly disagree’ and ‘disagree’ response percentages to survey questions probing the adequacy of tools and resources that support the mission. Items of potential concern were identified by distributional analyses, where 20% negative responses served as a baseline. People (37 percent) was most frequently identified as an inadequate resource.

Table A-1. Tools and Resources to Accomplish the Mission

<table>
<thead>
<tr>
<th>Items</th>
<th>Inadequate</th>
<th>Other</th>
</tr>
</thead>
<tbody>
<tr>
<td>People</td>
<td>37%</td>
<td>63%</td>
</tr>
<tr>
<td>Training</td>
<td>14%</td>
<td>86%</td>
</tr>
<tr>
<td>Workspace</td>
<td>21%</td>
<td>79%</td>
</tr>
<tr>
<td>Computer</td>
<td>10%</td>
<td>90%</td>
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<tr>
<td>Internet</td>
<td>15%</td>
<td>85%</td>
</tr>
<tr>
<td>Intranet</td>
<td>12%</td>
<td>88%</td>
</tr>
<tr>
<td>Equipment</td>
<td>9%</td>
<td>91%</td>
</tr>
<tr>
<td>Materials &amp; Supplies</td>
<td>6%</td>
<td>94%</td>
</tr>
</tbody>
</table>

Notes. Aggregate strongly disagree and disagree (Inadequate) response percentages to perceptions on the adequacy of mission tools and resources. Smaller percentages are “better.” Inadequate percentages in bold are significantly different than a 20 percent baseline.
**Figure A-1.** Top: Distribution of quality of work life ratings from the pre-event survey. The x-axis lists the rating scale and the y-axis represents the number of survey respondents. Response percentages for ratings are shown at the base of each bar. Counts for each rating are shown above each bar. The most frequent rating is shown in blue.

**Figure A-2.** Distribution of QOHL ratings from the pre-event survey. The x-axis lists the rating scale and the y-axis represents the number of survey respondents. Response percentages for ratings are shown at the base of each bar. Counts for each rating are shown above each bar. The most frequent rating is shown in blue.
APPENDIX B: Summary of Focus Group Perceptions

FOCUS GROUPS

On 17-18 June 2015, NAVINSGEN conducted focus groups and interviews with various groupings of active duty military ranks, and with various groupings of civilian grades. There were a total of 52 USNAVSOG focus group participants; 43 military and 9 civilians. Each focus group was scheduled for one-hour (interviews: 20 minutes) and included one facilitator and two note takers. The facilitator followed a protocol script: (a) focus group introductions, (b) brief introduction to the NAVINSGEN mission, (c) privacy, non-attribution, and basic ground rules statements, (d) participant-derived a list of topics having the most impact on the mission, job performance, or quality of life with (e) subsequent refinement and discussion of participant-derived topics with an emphasis on understanding the perceived impact. Note takers transcribed focus group proceedings, which were subsequently coded by three inspection team members (officer, enlisted, civilian) to determine the agreed upon total number of focus groups in which the same or comparable topic and its perceived impact were discussed.

Table B-1 lists focus groups topics that were expressed as a major impact on the mission, job performance, or quality of life in at least two focus groups. Military and civilian focus groups at USNAVSO mentioned Manning/Manpower most often as having major negative impacts on the mission, job performance, and/or quality of life.

**Table B-1.** Participant-Derived Focus Group Topics Expressed as a Major Impact on the Mission, Job Performance, or Quality of Life.

<table>
<thead>
<tr>
<th>Topic</th>
<th>Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manning/Manpower</td>
<td><img src="image" alt="Manning/Manpower" /></td>
</tr>
<tr>
<td>Leadership</td>
<td><img src="image" alt="Leadership" /></td>
</tr>
<tr>
<td>Communication</td>
<td><img src="image" alt="Communication" /></td>
</tr>
</tbody>
</table>

**Notes.** Descending order of the number of focus groups topics that were expressed as a major impact on the mission, job performance, and/or quality of life in at least two focus groups. Colored circles indicate active duty military (●) and civilian (●) focus groups at USNAVSO (sometimes groups expressed various impact levels for a topic).
**Manning/Manpower**
Consistent with survey findings and the USNAVSO event inbrief, manning/manpower was the most frequently discussed focus group topic, primarily expressed as having major/moderate negative impacts on mission execution. Participants expressing major negative impacts offered several comments; (a) gapped billets and the struggle to reduce the gap, (b) nearly every position is one-deep, thus making it more difficult to maintain day-to-day business operations when personnel are on travel or leave, (c) challenges associated with maintaining operations in El Salvador, (d) personnel qualifications, (e) supervisory personnel performing lower-level tasks, (f) reliance on temporary staff that may be lost in a given fiscal year, and (g) lost opportunities to train shipboard Navy personnel passing through the AOR. Major negative comments regarding manning/manpower were often combined with the expressed knowledge that USNAVSO is a “Theater of Economy,” at the “bottom of the food chain,” and/or expressed that shots are routinely being fired in the area of responsibility. Participants expressing a moderate negative impact generally noted that USNAVSO accomplishes its mission, but often are approaching or operating at the red line.

**Leadership**
Seven focus groups expressed major and moderate impacts on mission execution and quality of life as a function of leadership. Several aspects of leadership were discussed. The leadership style of the Commander (e.g., communication skills, seeking input at all levels, empowerment of personnel, access, promoting a culture of teamwork) was expressed as a major positive impact on mission execution and QOWL; however, some participants expressed moderate concern that the Commander may not be as influential as other Fleet commanders. Participants generally expressed a positive view of executive leadership (COM, CoS, CMC); however, certain N-code personnel were expressed as having various levels of negative impacts on mission execution (product delays, lack of teamwork, questionable subject matter expertise) and QOWL. (See also, Accountability)

**Communication**
Communication is a broad topic. The most frequent aspect of communication expressed in USNAVSO focus groups was unclear communications regarding roles and responsibilities, with various levels of perceived negative impacts on mission execution (product delays). Late communication of 96-hr liberty was expressed as major and minor negative impacts on quality of life (planning). Some participants noted that USNAVSO has SharePoint, but that it is not used for official correspondence. (See also, Knowledge Management and Policies/Process).

**Other Focus Group Topics with Expressed Major Impact**
Facilities (1 Major, 4 Moderate, 1 Minor). Several participants expressed moderate negative impacts (day-to-day operations, communication, lack of space to accommodate new people) as a function of 7 separate USNAVSO facilities (4 buildings, 3 trailers). One focus group expressed these impacts as major, which also included comments regarding inadequate facilities climate control in a structure that was not identified.
Mission (1 Major, 2 Moderate). Military and civilian participants expressed major and moderate negative impacts on the mission (e.g., regional security and mission readiness), centered on difficulties in planning and support for operations in the absence of Navy priority and assets control (see also, Funding).

Professional Knowledge & Development (1 Major, 2 Moderate). Military and civilian personnel expressed a lack of formal training and lack of professional development beyond repetitive, mandated training not directly applicable to USNAVSO mission.

Base Access (1 Major, 1 Moderate, 2 Minor). Participants in three groups expressed varying degrees of negative impacts on quality of life associated with base access delays.

Parking (1 Major, 1 Moderate, 2 Minor). Participants in four focus groups expressed varying degrees of negative impacts on quality of life associated with insufficient parking spaces and/or non-USNAVSO personnel parking in dedicated USNAVSO spaces.

Knowledge Management (1 Major, 1 Moderate, 1 Minor). Related to Communication in Table C-1, focus groups expressed varying degrees of negative impacts on the mission (product delays, degraded situational awareness) expressed as a function of poorly managed or disorganized files and overreliance on email.

Housing (1 Major, 1 Moderate, 1 Minor). Enlisted participants expressed varying degrees of negative impacts on quality of life (longer commute, cost of living) related to housing (non-availability of base housing after shipboard and civilian personnel assumed leases).

Physical Readiness (1 Major, 1 Moderate, 1 Minor). The physical readiness program at USNAVSO was generally expressed as a positive impact on both mission execution and quality of life, especially for junior officers and enlisted personnel.

Teamwork/Unit Cohesion (1 Major, 1 Moderate, 1 Minor). Junior officers generally expressed positive impacts on mission execution and quality of life as a function of teamwork and unit cohesion, but cautioned that personnel (unnamed) at the command who “don’t get along” can impede teamwork/unit cohesion.

Job Security (1 Major, 1 Moderate). Some participants expressed concern about the long-term future of USNAVSO and thus concern about their job security.

Policies/Process (1 Major, 1 Moderate). Related to Communication in Table C-1, some focus group participants expressed major and moderate negative impacts on mission execution (product delays, higher workload) related to unclear administrative processes and responsibilities.

Hiring Process (1 Major, 2 Minor). Enlisted and civilian participants expressed major and moderate negative impacts on mission execution (e.g., prospective personnel qualifications)
associated with billets and the civilian hiring process, and that billets/hiring decisions seem to be made in a vacuum.

Telework (1 Major, 1 Minor). Civilian participants expressed varying degrees of negative impacts on mission execution (productivity) and quality of life (commute) related to the inability to telework.

Accountability (1 Major). Related to Leadership in Table C-1, participants in one focus group unanimously expressed that accountability is a major negative impact on mission execution (product rework) and quality of life (workload). Participants expressed that senior officers and enlisted personnel are not always held accountable—“they can do no wrong.”

Funding (1 Major). Insufficient funding was expressed as having a negative impact on mission execution and results in an inordinate amount of work dedicated to issue papers and justification documents.
APPENDIX C: Survey Response Frequency Report

Numerical values in the following tables summarize survey responses to forced-choice questions as counts and/or percentages (%). Response codes are listed below in the order that they appear.

SD  Strongly Disagree
D   Disagree
N   Neither Agree nor Disagree...
A   Agree
SA  Strongly Agree

-   Negative
N   Neutral
+   Positive

N   Never
R   Rarely
S   Sometimes
F   Frequently
A   Always
Military

<table>
<thead>
<tr>
<th></th>
<th>Male</th>
<th>Female</th>
</tr>
</thead>
<tbody>
<tr>
<td>Count</td>
<td>75</td>
<td>26</td>
</tr>
<tr>
<td>%</td>
<td>63%</td>
<td>22%</td>
</tr>
</tbody>
</table>

Civilian

<table>
<thead>
<tr>
<th></th>
<th>Male</th>
<th>Female</th>
</tr>
</thead>
<tbody>
<tr>
<td>Count</td>
<td>14</td>
<td>4</td>
</tr>
<tr>
<td>%</td>
<td>12%</td>
<td>3%</td>
</tr>
</tbody>
</table>

63% 22% 12% 3%

On a scale from 1 (worst) to 10 (best), please rate your Quality of Work Life (QOWL). QOWL is the degree to which you enjoy where you work and available opportunities for professional growth.

<table>
<thead>
<tr>
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<th>1</th>
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<th>3</th>
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</tr>
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<tbody>
<tr>
<td>Count</td>
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<td>2</td>
<td>7</td>
<td>5</td>
<td>10</td>
<td>8</td>
<td>16</td>
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</tr>
<tr>
<td>%</td>
<td>2.52%</td>
<td>1.68%</td>
<td>5.88%</td>
<td>4.20%</td>
<td>8.40%</td>
<td>6.72%</td>
<td>13.45%</td>
<td>23.53%</td>
<td>16.81%</td>
<td>16.81%</td>
</tr>
</tbody>
</table>

For each of the factors below, please indicate whether they have a positive, neutral, or negative impact on your QOWL rating.

+  N  -

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<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
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<td>12</td>
</tr>
<tr>
<td>Leadership support</td>
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<td>17</td>
<td>17</td>
</tr>
<tr>
<td>Leadership opportunities</td>
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<td>49</td>
<td>10</td>
</tr>
<tr>
<td>Workload</td>
<td>59</td>
<td>46</td>
<td>14</td>
</tr>
<tr>
<td>Work Hours/ Schedule</td>
<td>74</td>
<td>34</td>
<td>11</td>
</tr>
<tr>
<td>Advancement opportunities</td>
<td>46</td>
<td>53</td>
<td>20</td>
</tr>
<tr>
<td>Awards and recognition</td>
<td>52</td>
<td>45</td>
<td>22</td>
</tr>
<tr>
<td>Training opportunities</td>
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<td>47</td>
<td>12</td>
</tr>
<tr>
<td>Command morale</td>
<td>66</td>
<td>37</td>
<td>16</td>
</tr>
<tr>
<td>Command climate</td>
<td>77</td>
<td>27</td>
<td>15</td>
</tr>
<tr>
<td>Quality of workplace facilities</td>
<td>54</td>
<td>38</td>
<td>27</td>
</tr>
</tbody>
</table>

On a scale from 1 (worst) to 10 (best), please rate your Quality of Home Life (QOHL). QOHL is the degree to which you enjoy where you live and the opportunities available for housing, recreation, etc.

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<th>10</th>
</tr>
</thead>
<tbody>
<tr>
<td>Count</td>
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<td>1</td>
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<td>0</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>31</td>
<td>26</td>
<td>46</td>
</tr>
<tr>
<td>%</td>
<td>0.84%</td>
<td>0.84%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>3.36%</td>
<td>3.36%</td>
<td>5.04%</td>
<td>26.05%</td>
<td>21.85%</td>
<td>38.66%</td>
</tr>
</tbody>
</table>

For each of the factors below, please indicate whether they have a positive, neutral, or negative impact on your QOHL rating.

+  N  -

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<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td>Quality of home</td>
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<td>14</td>
<td>1</td>
</tr>
<tr>
<td>Quality of the school for dependent children</td>
<td>56</td>
<td>54</td>
<td>9</td>
</tr>
<tr>
<td>Quality of the childcare available</td>
<td>35</td>
<td>81</td>
<td>3</td>
</tr>
<tr>
<td>Shopping &amp; dining opportunities</td>
<td>92</td>
<td>21</td>
<td>6</td>
</tr>
<tr>
<td>Recreational opportunities</td>
<td>100</td>
<td>17</td>
<td>2</td>
</tr>
<tr>
<td>Access to spouse employment</td>
<td>49</td>
<td>60</td>
<td>10</td>
</tr>
<tr>
<td>Access to medical/dental care</td>
<td>87</td>
<td>25</td>
<td>7</td>
</tr>
<tr>
<td>Cost of living</td>
<td>83</td>
<td>28</td>
<td>8</td>
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</tbody>
</table>
My command gives me sufficient time during working hours to participate in a physical readiness exercise program.

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<tbody>
<tr>
<td>1</td>
<td>1</td>
<td>7</td>
<td>36</td>
<td>55</td>
<td></td>
</tr>
<tr>
<td>1%</td>
<td>1%</td>
<td>7%</td>
<td>36%</td>
<td>55%</td>
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</table>

My current work week affords enough time to complete mission tasks in a timely manner while maintaining an acceptable work-home life balance.

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<tbody>
<tr>
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<td>5</td>
<td>16</td>
<td>49</td>
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<tr>
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<td>5%</td>
<td>16%</td>
<td>49%</td>
<td>29%</td>
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My position description is current and accurately describes my functions, tasks, and responsibilities.

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I work more hours than I report in a pay period because I cannot complete all assigned tasks during scheduled work hours.

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<td>2</td>
<td>6</td>
<td>6</td>
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<tr>
<td>11%</td>
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<td>22%</td>
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The Human Resource Service Center provides timely, accurate responses to my queries.

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<tr>
<td>17%</td>
<td>11%</td>
<td>44%</td>
<td>22%</td>
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My (local) Human Resources Office provides timely, accurate responses to my queries.

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<tr>
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<td>3</td>
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<tr>
<td>17%</td>
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<td>33%</td>
<td>22%</td>
<td>11%</td>
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</table>

The DON civilian recruitment process is responsive to my command’s civilian personnel requirements.

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<tbody>
<tr>
<td>3</td>
<td>17</td>
<td>68</td>
<td>20</td>
<td>7</td>
<td></td>
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<tr>
<td>3%</td>
<td>15%</td>
<td>59%</td>
<td>17%</td>
<td>6%</td>
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</table>

During the last performance evaluation cycle, my supervisor provided me with feedback that enabled me to improve my performance before my formal performance appraisal/EVAL/FITREP.

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<tbody>
<tr>
<td>5</td>
<td>4</td>
<td>6</td>
<td>51</td>
<td>34</td>
<td></td>
</tr>
<tr>
<td>5%</td>
<td>4%</td>
<td>6%</td>
<td>51%</td>
<td>34%</td>
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</table>
I am satisfied with the overall quality of my workplace facilities.

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<tbody>
<tr>
<td>10</td>
<td>18</td>
<td>21</td>
<td>50</td>
<td>18</td>
</tr>
<tr>
<td>9%</td>
<td>15%</td>
<td>18%</td>
<td>43%</td>
<td>15%</td>
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</table>

My command is concerned about my safety.

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<tbody>
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<td>0</td>
<td>1</td>
<td>7</td>
<td>61</td>
<td>48</td>
</tr>
<tr>
<td>0%</td>
<td>1%</td>
<td>6%</td>
<td>52%</td>
<td>41%</td>
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My command has a program in place to address potential safety issues.

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<th>SA</th>
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</thead>
<tbody>
<tr>
<td>0</td>
<td>2</td>
<td>21</td>
<td>57</td>
<td>37</td>
</tr>
<tr>
<td>0%</td>
<td>2%</td>
<td>18%</td>
<td>49%</td>
<td>32%</td>
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</tbody>
</table>

My job is important and makes a contribution to my command.

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<tr>
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<th>SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>3</td>
<td>11</td>
<td>44</td>
<td>56</td>
</tr>
<tr>
<td>3%</td>
<td>3%</td>
<td>9%</td>
<td>38%</td>
<td>48%</td>
</tr>
</tbody>
</table>

--------- is occurring at my command.

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<th>A</th>
<th>SA</th>
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</thead>
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<td>Fraternization</td>
<td>30%</td>
<td>37%</td>
<td>29%</td>
<td>3%</td>
<td>3%</td>
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<td>Favoritism</td>
<td>23%</td>
<td>23%</td>
<td>37%</td>
<td>12%</td>
<td>6%</td>
</tr>
<tr>
<td>Gender/Sex Discrimination</td>
<td>33%</td>
<td>37%</td>
<td>24%</td>
<td>3%</td>
<td>3%</td>
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<tr>
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<td>40%</td>
<td>33%</td>
<td>21%</td>
<td>4%</td>
<td>2%</td>
</tr>
<tr>
<td>Race Discrimination</td>
<td>39%</td>
<td>37%</td>
<td>21%</td>
<td>2%</td>
<td>2%</td>
</tr>
<tr>
<td>Hazing</td>
<td>47%</td>
<td>37%</td>
<td>12%</td>
<td>2%</td>
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</tr>
</tbody>
</table>

The following tools and resources are adequate to accomplish the command's mission.

<table>
<thead>
<tr>
<th></th>
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<th>A</th>
<th>SA</th>
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</thead>
<tbody>
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<td>People</td>
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<td>26%</td>
<td>10%</td>
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<td>23%</td>
</tr>
<tr>
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<tr>
<td>Workspace</td>
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<td>17%</td>
<td>38%</td>
<td>23%</td>
</tr>
<tr>
<td>Computer</td>
<td>3%</td>
<td>7%</td>
<td>13%</td>
<td>49%</td>
<td>28%</td>
</tr>
<tr>
<td>Software</td>
<td>4%</td>
<td>8%</td>
<td>19%</td>
<td>44%</td>
<td>26%</td>
</tr>
<tr>
<td>Internet</td>
<td>3%</td>
<td>12%</td>
<td>10%</td>
<td>50%</td>
<td>25%</td>
</tr>
<tr>
<td>Intranet</td>
<td>3%</td>
<td>9%</td>
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<td>47%</td>
<td>21%</td>
</tr>
<tr>
<td>Equipment</td>
<td>2%</td>
<td>8%</td>
<td>22%</td>
<td>51%</td>
<td>17%</td>
</tr>
<tr>
<td>Materials &amp; Supplies</td>
<td>2%</td>
<td>4%</td>
<td>9%</td>
<td>60%</td>
<td>25%</td>
</tr>
</tbody>
</table>
I have adequate leadership guidance to perform my job successfully.

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<td>3%</td>
<td>9%</td>
<td>49%</td>
</tr>
</tbody>
</table>

Communication down the chain of command is effective.

<table>
<thead>
<tr>
<th>SD</th>
<th>D</th>
<th>N</th>
<th>A</th>
<th>SA</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>3%</td>
<td>11%</td>
<td>17%</td>
<td>47%</td>
</tr>
</tbody>
</table>

Communication up the chain of command is effective.

<table>
<thead>
<tr>
<th>SD</th>
<th>D</th>
<th>N</th>
<th>A</th>
<th>SA</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2%</td>
<td>10%</td>
<td>14%</td>
<td>56%</td>
</tr>
</tbody>
</table>

My performance evaluations have been fair.

<table>
<thead>
<tr>
<th>SD</th>
<th>D</th>
<th>N</th>
<th>A</th>
<th>SA</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>3%</td>
<td>5%</td>
<td>19%</td>
<td>34%</td>
</tr>
</tbody>
</table>

The awards and recognition program is fair and equitable.

<table>
<thead>
<tr>
<th>SD</th>
<th>D</th>
<th>N</th>
<th>A</th>
<th>SA</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1%</td>
<td>5%</td>
<td>34%</td>
<td>36%</td>
</tr>
</tbody>
</table>

Military and civilian personnel work well together at my command.

<table>
<thead>
<tr>
<th>SD</th>
<th>D</th>
<th>N</th>
<th>A</th>
<th>SA</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2%</td>
<td>3%</td>
<td>12%</td>
<td>52%</td>
</tr>
</tbody>
</table>

My command’s Equal Opportunity Program (EO - to include Equal Employment Opportunity & Command Managed Equal Opportunity) is effective.

<table>
<thead>
<tr>
<th>SD</th>
<th>D</th>
<th>N</th>
<th>A</th>
<th>SA</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1%</td>
<td>3%</td>
<td>23%</td>
<td>47%</td>
</tr>
</tbody>
</table>

My command adequately protects my personal information.

<table>
<thead>
<tr>
<th>SD</th>
<th>D</th>
<th>N</th>
<th>A</th>
<th>SA</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2%</td>
<td>4%</td>
<td>17%</td>
<td>47%</td>
</tr>
</tbody>
</table>

My superiors treat me with respect and consideration.

<table>
<thead>
<tr>
<th>SD</th>
<th>D</th>
<th>N</th>
<th>A</th>
<th>SA</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2%</td>
<td>3%</td>
<td>12%</td>
<td>42%</td>
</tr>
</tbody>
</table>
My command attempts to resolve command climate issues.

<table>
<thead>
<tr>
<th>SD</th>
<th>D</th>
<th>N</th>
<th>A</th>
<th>SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>7</td>
<td>31</td>
<td>41</td>
<td>36</td>
</tr>
<tr>
<td>1%</td>
<td>6%</td>
<td>27%</td>
<td>35%</td>
<td>31%</td>
</tr>
</tbody>
</table>

I have adequate time at work to complete required training.

<table>
<thead>
<tr>
<th>SD</th>
<th>D</th>
<th>N</th>
<th>A</th>
<th>SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>11</td>
<td>17</td>
<td>61</td>
<td>25</td>
</tr>
<tr>
<td>1%</td>
<td>10%</td>
<td>15%</td>
<td>53%</td>
<td>22%</td>
</tr>
</tbody>
</table>

Do you supervise Department of the Navy (DON) civilians?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>14</td>
<td>101</td>
</tr>
<tr>
<td>12%</td>
<td>88%</td>
</tr>
</tbody>
</table>

When did you receive civilian supervisory training?

<table>
<thead>
<tr>
<th>&lt;12mos</th>
<th>1-3 yrs</th>
<th>&gt;3 yrs</th>
<th>Never</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>0</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td>86%</td>
<td>0%</td>
<td>0%</td>
<td>14%</td>
</tr>
</tbody>
</table>
# APPENDIX D: Acronyms Used in Fleet Comparison Table

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>C4F</td>
<td>Commander, FOURTH Fleet</td>
</tr>
<tr>
<td>C5F</td>
<td>Commander, FIFTH Fleet</td>
</tr>
<tr>
<td>C6F</td>
<td>Commander, SIXTH Fleet</td>
</tr>
<tr>
<td>C7F</td>
<td>Commander, SEVENTH Fleet</td>
</tr>
<tr>
<td>CFMCC</td>
<td>Combined Force Maritime Component Commander</td>
</tr>
<tr>
<td>CMF</td>
<td>Combined Maritime Force</td>
</tr>
<tr>
<td>CNA</td>
<td>Commander, U.S. Naval Forces Africa</td>
</tr>
<tr>
<td>CNE</td>
<td>Commander, U.S. Naval Forces Europe</td>
</tr>
<tr>
<td>CPF</td>
<td>Commander, U.S. Pacific Fleet</td>
</tr>
<tr>
<td>CTF</td>
<td>Commander, Task Force</td>
</tr>
<tr>
<td>HADR</td>
<td>Humanitarian Assistance/Disaster Response</td>
</tr>
<tr>
<td>JFC</td>
<td>Joint Force Commander</td>
</tr>
<tr>
<td>JFMCC</td>
<td>Joint Force Maritime Component Commander</td>
</tr>
<tr>
<td>JTF</td>
<td>Joint Task Force</td>
</tr>
<tr>
<td>MCO</td>
<td>Major Combat Operations</td>
</tr>
<tr>
<td>MDA</td>
<td>Maritime Domain Awareness</td>
</tr>
<tr>
<td>MNF</td>
<td>Multinational Force</td>
</tr>
<tr>
<td>MSO</td>
<td>Maritime Security Operations</td>
</tr>
<tr>
<td>NATO</td>
<td>North Atlantic Treaty Organization</td>
</tr>
<tr>
<td>NAVCENT</td>
<td>Naval Forces, U.S. Central Command</td>
</tr>
<tr>
<td>NAVSO</td>
<td>Naval Forces, U.S. Southern Command</td>
</tr>
<tr>
<td>TSC</td>
<td>Theater Security Cooperation</td>
</tr>
</tbody>
</table>