



DEPARTMENT OF THE NAVY
NAVAL SERVICE TRAINING COMMAND
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GREAT LAKES, ILLINOIS 60088-2845

NSTCINST 5040.1C
IG
12 Sep 12

NSTC INSTRUCTION 5040.1C

From: Commander, Naval Service Training Command

Subj: NAVAL SERVICE TRAINING COMMAND (NSTC) ASSIST VISIT
PROGRAM (AVP)

Ref: (a) SECNAVINST 5040.3A
(b) NETCINST 5040.1B
(c) NETCINST 5200.1

Encl: (1) Four-Year Assist Visit Schedule
(2) Assist Visit Process Flowchart
(3) Process Self-Assessment Worksheet
(4) Implementation Status Report, OPNAV 5040/2

1. Purpose. To publish objectives and policies for administering the AVP.

2. Cancellation. NSTCINST 5040.1B.

3. Scope. This instruction applies to all Naval Reserve Officers Training Corps Units (NROTCUs) and Departments of Naval Science (DNS) activities within the NSTC domain. Assist Visits (AVs) to selected NROTCU/DNS activities will be scheduled on a periodic basis per references (a), (b), and this instruction. Enclosure (1) provides the Four-year AV Schedule.

4. Background

a. Per reference (a), the Secretary of the Navy (SECNAV) published the objectives, policies, and assigned responsibilities for inspections conducted under the Department of the Navy Inspection Program (DONIP). The DONIP is a coordinated program of inspection that focuses on unit readiness and capability to execute assigned missions, current and projected. The purpose of which is to inform senior Navy leaders of DON's overall ability to accomplish its mission.

b. Per reference (b), Naval Education and Training Command (NETC) published the objectives and policies to all NETC domain commands/activities for administering the Area Visit Program (AVP).

5. Program Objectives

a. The purpose of the AVP is to assist commanders and commanding officers (COs) attain strategic goals and objectives, and improve the performance, readiness, efficiency, effectiveness, and quality of life of the commands and activities for which they are responsible. The AVP provides commanders and COs mission relevant evaluations and recommendations that are timely, accurate, candid, and objective.

b. The AVP fulfills the requirements of the DONIP, as identified in reference (a), and is based on the following principles:

- (1) Focus on mission critical (essential) processes.
- (2) Reinforcement of the importance of customer and NSTC domain relationships.
- (3) Application of quantitative and qualitative methods for assessment and improvement.
- (4) Application of proven methodology for process improvement.
- (5) Identification of processes based on the mission of an activity.

c. The Managers' Internal Control Program (MICP), as outlined in reference (c), is an effective tool available to a commander/CO for monitoring performance of command/activity processes. The processes identified via MICP are functionally and procedurally complementary to the AVP. Enclosure (2) contains the process flowchart, which depicts the NSTC AVP. The MICP requires all commands/activities within the NETC domain to ensure all their processes are reviewed annually for efficiency, effectiveness, and economy.

6. Policy

a. AVs are planned, coordinated, and conducted to ensure commands/activities are properly organized, trained, equipped, and supported to achieve required capabilities and execute assigned missions. AVs are designed to evaluate mission readiness, performance, quality of life, and identify systemic problems.

b. Specifically, AVs will focus on education and training and not duplicate the AVs conducted by the Naval Inspector General (IG). Generally, NSTC AVs are intended to be a snapshot

across the NROTCU/DNS domain vice focusing on an individual activity. This cross echelon assessment will allow for a review of the following:

- (1) Processes across NROTCU/DNS activities (vice internal processes of a single activity)
- (2) Command climate
- (3) Compliance with specific programs
- (4) Key metrics for measuring performance
- (5) Attainment of strategic goals and objectives
- (6) Risk/opportunity assessments
- (7) Standardization

7. Responsibilities of NSTC AV Team Members and Activity Participants

a. NSTC Team Leader (TL). Provides overall leadership of the AV team. The NSTC IG will serve as the TL.

- (1) Directs all facets of the AV.
- (2) Conducts general discussions and individual IG consultations.

b. NSTC Assist Visit Manager (AVM). Coordinates directly with the activity Assist Visit Coordinator (AVC) to ensure all requirements for the AVP are met. The NSTC Deputy IG will serve as the AVM.

- (1) Assigns processes to Subject Matter Experts (SMEs)/ Process Advisors (PAs).
- (2) Provides guidance in process improvement activity.
- (3) Interacts with SMEs/PAs to ensure a clear understanding of the process.
- (4) Provides briefing format to selected activities to assist top management in preparing 5-10 minute PowerPoint presentations for the AV in-brief. The in-brief will include a description of the command leadership, mission, organizational structure, statistics, training initiatives, strengths and challenges.

c. Activity AVC. Works directly with the AVM. The NSTC TL collaborates with the activity being visited to select an appropriate AVC. Typically, the AVC is the MICP Coordinator or the Command Evaluation Officer.

(1) Coordinates/confirms AV logistics with AVM.

(2) Coordinates the 5-10 minute PowerPoint presentation for the AV in-brief.

d. NSTC Subject Matter Expert (SME)/Process Advisor (PA). Works closely with the activity Process Owner (PO).

(1) Evaluates a specific process with a PO through the use of self-assessments, process flowcharts and interviews.

(2) Assesses program compliance against governing guidance.

e. Activity PO. Manages and/or controls a process at an activity.

(1) Develops a process self-assessment worksheet (SAW), process flowchart and interacts with the SMEs/PAs during the AV.

(2) Has authority to make process changes.

8. Notification and Preparation for AV

a. 120 days prior to the AV: NSTC TL will notify, via email, the activity to be visited to submit the following information within two weeks to the AVM:

(1) The name of the activity AVC for NSTC TL's approval; to include name, title, code, telephone and FAX numbers, and e-mail address.

(2) As appropriate, the name of the CO/Officer-in-Charge (OIC) and Executive Officer (XO) assigned to each of the activities.

b. 90 days prior to the AV, NSTC TL will:

(1) Send an announcement letter to activities confirming the date of the visit and the selected processes for review during the AV. The intent of the AV is to focus on processes that will achieve the greatest return on investment and provide the greatest command benefit across echelons.

(2) Provide additional information to assist in preparing for the AV.

c. 60 days prior to the AV, the activity to be visited will provide directly to the NSTC AVM:

(1) A copy of the CO's bio, command telephone directory and collateral duties list.

(2) A list of primary external customers and their telephone numbers. External customers are commands outside the NSTC domain, for example Military Treatment Facilities, Personnel Support Detachments, Universities and Marinas.

(3) Provide a breakdown of assigned staff (military and civilian) and student personnel as follows:

(a) Number of staff officers;

(b) Number of staff enlisted;

(c) Number of civil service and university personnel;
and

(d) Number of students.

(4) An electronic copy of the most recent Defense Equal Opportunity Management Institute (DEOMI) survey.

d. 30 days prior to the AV: Activity AVC will submit the following, via e-mail, to the NSTC AVM:

(1) Flowcharts of those selected processes identified by the NSTC TL. Flowcharts shall be depicted at the level to allow the SME/PA and PO to have a clear understanding of the process. The activity name, process title, a precise description of the process, 2-3 key metrics, activity code, and telephone number of the PO, shall also be annotated on each flowchart. Flowcharts should have been previously developed while completing the annual requirements for the MICP.

(2) A process SAW (See enclosure (3)) for each process identified for review during the AV.

(3) The data call AV logistic requirements, per action specified dates.

(4) Any process issues received from external customers for review by the NSTC TL prior to the AV.

(5) The applicable PO's information on the Selected Process Matrix.

(6) A copy of the command's in-brief presentation.

9. Conduct of AV On Site

a. An in-brief will be conducted consisting of presentations by the NSTC TL and by the activity participating in the AV. The TL will provide an overview of the AVP and introduction of key participants.

b. In-brief presentation by the activity will include a brief description of the command leadership, mission, organizational structure, statistics, training initiatives, strengths and challenges, following the format provided by the AVM.

c. Process analyses will commence upon completion of the in-brief.

d. During the AV, an analysis of each process identified for review will be conducted using "flowchart walk-throughs" during which the PO will demonstrate the process to the SME/PA. The PO shall be able to discuss their understanding of the process in relationship to the system it supports. The process SAW, enclosure (3), will be used to provide an analysis of each area reviewed with the process SME/PA.

e. During the AV, The NSTC TL will be available for personal interviews with members of the visited activities. Any employee, civilian or military, is free to discuss any matter of personal concern other than those involving on-going grievances or EEO/EO complaints. Information disclosed during the course of these interviews will be kept confidential and will not be disclosed outside the IG network, except where it is necessary in order to fully investigate and resolve the issue.

f. Upon completion of all process analyses, the SME/PA will debrief the PO with a draft Process Issue Paper which outlines the findings and recommendations. The NSTC TL will debrief the activity on the results of the AV.

10. Reporting Procedures

a. A formal report will be issued not later than 30 days after completion of the AV. The report will consist of an Executive Summary, Processes Reviewed, Recommendations, Issue Papers and a sample Implementation Status Report (ISR), OPNAV 5040/2.

b. Significant deficiencies uncovered during the AV will be reported immediately to the appropriate official via the chain of command and amplified in the formal report. Generally, these are weaknesses requiring immediate action and/or may be of particular interest to senior level officials in the chain of command.

c. AV reports will be marked "FOR OFFICIAL USE ONLY." The information contained in the report relates to the internal practices of the DON and is an internal communication within the Navy Department. The report is not releasable without the specific approval of NSTC. Its contents may not be disclosed outside original distribution, nor may it be reproduced in whole or in part. All requests for the report, extracts there from, or correspondence related thereto will be referred to NSTC IG.

d. Follow-Up Actions

(1) Immediately after completion of the AV, activities shall use the draft Issue Papers to identify issues requiring corrective action. One month following receipt of the formal report, activities will complete an ISR for each issue requiring corrective action. Enclosure (4) provides a sample ISR. The ISRs will be forwarded electronically to the NSTC IG via the CO's review. NSTC IG will track corrective actions until all are completed. ISRs indicating completed actions will be reported to NSTC IG as they occur.

(2) After the first month's reporting, activities shall submit ISRs by their designated estimated date of completion in the manner discussed above. Any changes to the completion date must be fully explained in the block entitled "Current Implementation Status." Once an activity completes all corrective actions, a closeout letter will be provided by NSTC IG, and no further ISRs will be required.

11. Action

a. NSTC IG

(1) Serve as principal advisor to NSTC domain activities for the AVP.

(2) Act as TL for AVs and exercise overall direction for the AVP.

(3) Publish a four-year AV schedule.

(4) Conduct AVs and follow-up under the policies and procedures contained in references (a), (b) and this instruction.

(5) Coordinate AVs with selected activities.

(6) Maintain liaison with other activities, commands, bureaus, offices, and agencies for the exchange of information relative to the DONIP.

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(7) Publish an AV report and distribute to activities involved in the visit. Monitor the completion of recommended corrective actions.

b. NSTC Department Heads, Directors and Special Assistants

(1) Provide SMEs/PAs to augment the AV team, as appropriate.

(2) Provide the necessary support to the NSTC IG in correcting process weaknesses identified during an AV.

c. NSTC OD. Determine functional categories and processes for NROTCU/DNS activities. Refer to reference (c) for further guidance.



DAVID F. STEINDL

Distribution (NSTCINST 5216.1B)
Lists 3 and 4

FOUR-YEAR ASSIST VISIT SCHEDULE

1. Year 2012

<u>Activity</u>	<u>Date of Visit</u>
NROTCU University of Arizona	November 2012
NROTCU Arizona State University	November 2012
NROTCU Iowa State University	December 2012
NROTCU University of Minnesota	December 2012

2. Year 2013

<u>Activity</u>	<u>Date of Visit</u>
NROTCU North Carolina Piedmont Region	February 2013
NROTCU Houston Consortium	March 2013
NROTCU University of Texas	April 2013
NROTCU Texas A&M University	April 2013
NROTCU Jacksonville University	May 2013
NROTCU Savannah State University	May 2013
NROTCU Maury Hall University of Virginia	June 2013
NROTCU Mid-South Region, University of Mississippi (Miss/Memphis)	August 2013
NROTCU Citadel	September 2013
NROTCU University of South Carolina	September 2013
NROTCU Los Angeles Consortium	November 2013
NROTCU Purdue University	December 2013
NROTCU University of Illinois	December 2013

3. Year 2014

<u>Activity</u>	<u>Date of Visit</u>
NROTCU University of Colorado	February 2014
NROTCU University of New Mexico	February 2014
DNS Great Lakes Maritime Academy	March 2014
NROTCU Holy Cross/Yale Consortium	April 2014
DNS Massachusetts Maritime Academy	April 2014
NROTCU State University of New York Maritime College	May 2014
DNS, U. S. Merchant Marine Academy	May 2014
NROTCU Maine Maritime Academy	June 2014
NROTCU Norwich University	June 2014
NROTCU University of California Berkeley	August 2014
DNS California Maritime Academy	August 2014
NROTCU Cornell University	September 2014
NROTCU University of Rochester	September 2014
NROTCU University of Florida	November 2014
NROTCU Florida A&M University	November 2014

NROTCU Embry-Riddle Aeronautical University December 2014
NROTCU University of South Florida December 2014

5. Year 2015

<u>Activity</u>	<u>Date of Visit</u>
DNS Texas A&M University, Galveston (Texas Maritime)	February 2015
NROTCU Atlanta Region (Georgia Tech/ Morehouse)	February 2015
NROTCU Southern University and A&M College	March 2015
NROTCU Tulane University	March 2015
NROTCU Rutgers University	April 2015
NROTCU Auburn University	May 2015
NROTCU Vanderbilt University	May 2015
NROTCU Virginia Military Institute	June 2015
NROTCU Virginia Polytechnic Institute and State University	June 2015
NROTCU Philadelphia Consortium	August 2015
NROTCU Boston University - MIT Consortium	September 2015
NROTCU Oregon State University	November 2015
NROTCU University of Washington	November 2015
NROTCU George Washington University	December 2015
NROTCU Rensselaer Polytechnic Institute	December 2015

6. Year 2016

<u>Activity</u>	<u>Date of Visit</u>
NROTCU Hampton Roads Consortium	February 2016
NROTCU University of San Diego/San Diego State University	March 2016
NROTCU Marquette University	April 2016
NROTCU University of Wisconsin	April 2016
NROTCU University of Nebraska	May 2016
NROTCU University of Kansas	May 2016
NROTCU University of Missouri	June 2016
NROTCU University of Oklahoma	June 2016
NROTCU University of Utah	August 2016
NROTCU University of Idaho	August 2016
NROTCU Miami University	September 2016
NROTCU Ohio State University	September 2016
NROTCU Carnegie Mellon University	November 2016
NROTCU Pennsylvania State University	November 2016
NROTCU Chicago Consortium (IIT/Northwestern)	December 2016

ASSIST VISIT PROGRAM (AVP)

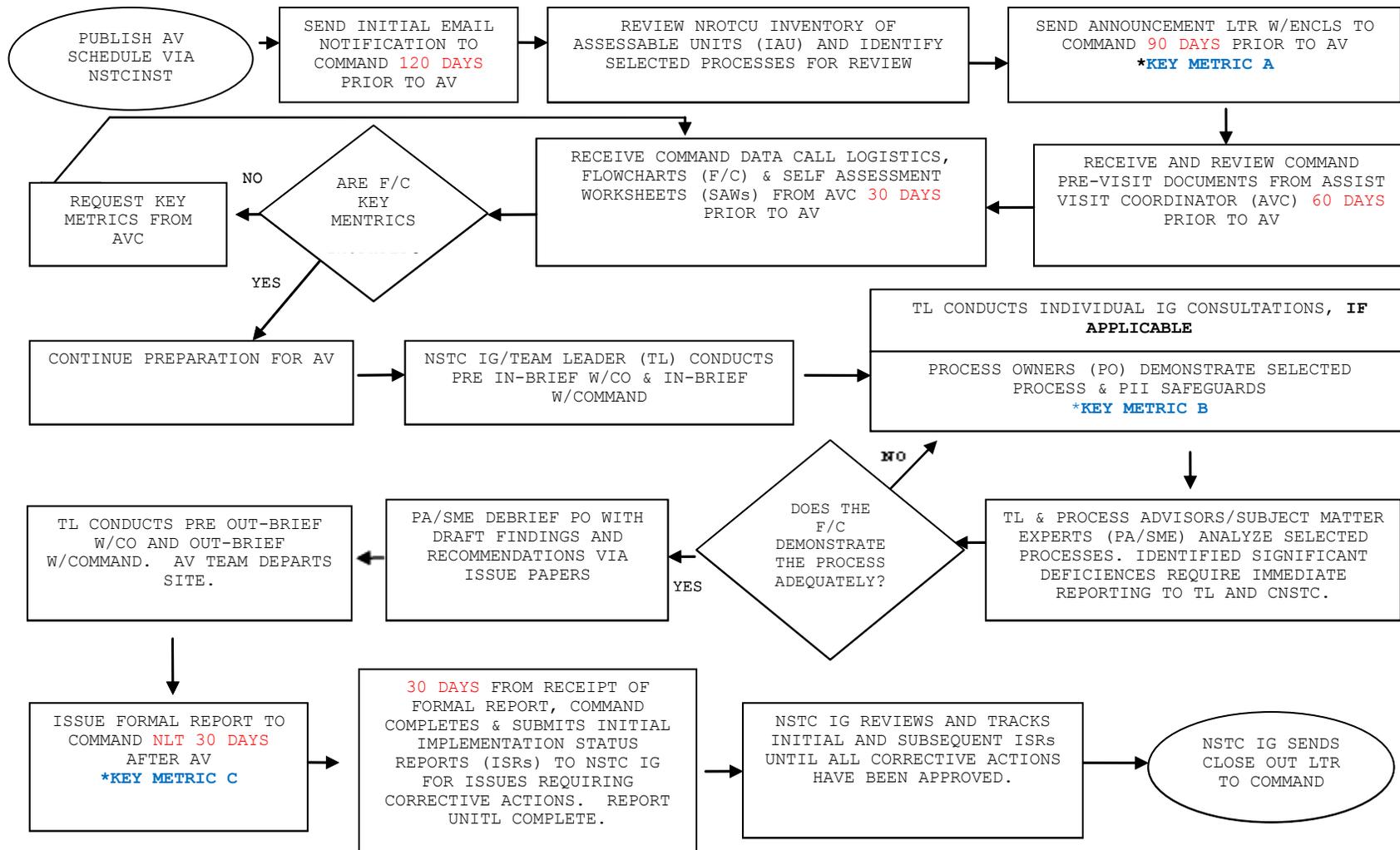
Purpose: Process by which NSTC AVP is administered. (NSTCINST 5040.1C)

Process Owner: NSTC IG (847) 688-2258 (DSN) 792

Revised: September 2012

***KEY METRIC**

UNCLASSIFIED-FOUO



PROCESS SELF-ASSESSMENT WORKSHEET

1. **PROCESS TITLE:** (Activity and Name of Process)
2. **STRATEGIC GOAL/OBJECTIVE:** (Identify a NSTC Domain strategic goal and/or objective the process supports.)
3. **RESPONSIBLE POINT OF CONTACT:** (Identify the Program Manager or Process Owner responsible for the oversight of this particular area, their name, title, code, phone number, and email.)
4. **BRIEF DESCRIPTION OF PROCESS:** (Briefly describe the scope of the process. Provide a brief description that answers the questions: What is the process? What is the purpose/output of the process?)
5. **BRIEF DESCRIPTION OF STRENGTHS AND INNOVATIONS:** (Briefly describe noteworthy process strengths and innovations as they relate to the command's overall mission and performance.)
6. **BRIEF DESCRIPTION OF WEAKNESSES AND OPPORTUNITIES FOR IMPROVEMENT:** (Briefly describe any noted process weaknesses or opportunities for improvement as well as any actions planned to correct identified program deficiencies.)
7. **PROCESS REQUIREMENTS:** (Briefly describe the overall program requirements established to implement an effective program at your command.)
8. **BRIEF DESCRIPTION OF METRICS:** (Briefly describe how well the process is working. How do you know? What metrics are used to determine the effectiveness of the process?)

IMPLEMENTATION STATUS REPORT

NSTCINST 5040.1C

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STATUS AS OF (DATE)	REPORTED BY (ACTION COMMAND)
ACTION OFFICER (NAME AND EXTENSION)	COORDINATING ACTION (ACTION COMMAND)
IDENTIFICATION OF REPORT (NSTC ASSIST VISIT/INCLUDE SERIAL AND DATE.)	
IDENTIFICATION OF ACTION ITEM (RECOMMENDATION NUMBER/PARAGRAPH NUMBER)	
RECOMMENDATION:	
CURRENT IMPLEMENTATION STATUS (IF ACTION CONSIDERED COMPLETE, SO STATE.)	
NEXT STEP IN IMPLEMENTING THE REQUIRED ACTION (INCLUDE ESTIMATED DATE OF COMPLETED ACTION)	

OPNAV 5040/2 (NOV 1968)