



DEPARTMENT OF THE NAVY

MANAGERS' INTERNAL CONTROL EVALUATION CHECKLIST

March 4, 2013

This Page Intentionally Blank

Table of Contents

1. Purpose	1
2. Instruction.....	1
3. Acquisition Workforce	2
4. Audit Follow-up	4
5. Base Communication Office	6
6. Contract Management	14
7. Equal Employment Opportunities	21
8. Executive Assistance Program – Exceptional Family Member Program	23
9. Executive Assistance Program – Mentorship	25
10. Executive Assistance Program – Sexual Assault Prevention and Response.....	27
11. Executive Assistance Program – Sponsor Program	30
12. Executive Assistance Program – Suicide Prevention	32
13. Facilities	34
14. General Administration.....	41
15. Government Purchase Charge Card	43
16. Government Travel Charge Card.....	47
17. Legal.....	50
18. Logistics Asset Management.....	60
19. Information Assurance / Information Technology	69
20. Managers’ Internal Control Program	80
21. Message Center and Defense Messaging System	85
22. Operational Security	97
23. Performance Management	100
24. Security Inspection - Personnel.....	102
25. Security Inspection – Physical.....	106
26. Security Inspection - Emergency Action Plan	110
27. Security Inspection – Industrial	112
28. Security Inspection – Information.....	114
29. Time and Attendance Reporting (Timekeeping)	116
30. Training	119

31. Travel Approval and Voucher Certification.....	130
32. Web Site Security/Administration – Classified.....	134
33. Web Site Security/Administration – Intranet.....	138
Appendix – Acronyms List	A-1

Department of Navy Internal Control Evaluation Checklist

1. Purpose

The Department of the Navy's (DON) Managers' Internal Control (MIC) Evaluation Checklist is a collection of core business functions that should be considered during your annual MIC Certification Statement. The culmination of self inspections, internal reviews, and audit findings are the suggested methods to support your MIC Certification Statements, which is the foundation of the DON's Statement of Assurance (SOA). The intent of the evaluation checklist is to provide Commands with core Departmental focused areas that can be independently assessed without sole reliance on independent audits and inspections. We highly encourage MIC Managers and applicable personnel to use this as a self-assessment evaluation checklist to analyze internal controls in their respective areas of responsibility. The self evaluation methodology should coincide with independent inspections/audits performed by an Inspector General or an external auditor. The shift of self identifying deficiencies will ensure the Department is assessing risks and controls proactively vice an ad-hoc culture environment. The evaluation checklist is a practical toolset to assist in the facilitation of non-financial internal control self-assessments. The checklist is not inclusive of all controls, so we advise managers to append additional controls that apply specifically to their assessable unit. Identified deficiencies are to be communicated to the responsible entity of the business function and leadership. Management identified systemic deficiencies should be reported to a senior accountable official for determination of materiality.

2. Instruction

Answers must be based upon the actual practice. Explanation is REQUIRED for all NEGATIVE responses. These internal controls must be evaluated on a periodic basis (i.e. daily, weekly, monthly, quarterly, or annually).

Department of Navy Internal Control Evaluation Checklist

3. Acquisition Workforce

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- Federal Acquisition Regulation (FAR)
- Office of Management and Budget (OMB) Circular A-11 (Preparation, Submission, and Execution of the Budget)
- Defense Acquisition Regulation (DFAR) Supplement
- Department of Defense (DoD) Directive 5000.01, The Defense Acquisition System
- DoD Instruction (DoDI) 5000.02, Operation of the Defense Acquisition System

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
1	Are members of the Acquisition Workforce are properly certified, or will be within 36 months of reporting?				
2	Have all personnel holding designated acquisition workforce billets have taken the necessary 80 hours of continuous learning?				
3	Have all personnel applied for Defense Acquisition Corps membership only after eligibility is determined and candidate meets all membership requirements?				
4	Does your organization establish life-cycle management structures to ensure effective implementation of the policies in DoDI 5000.02?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
5	Does your organization designate Decision Authority (DA) to review/approve acquisitions for services?				
6	Does your organization collaborate with other senior officials to determine key categories of services for the Department and dedicate full-time managers to coordinate procurement of services?				
7	Does your organization conduct periodic spend analyses?				
8	Does your organization conduct an annual review/assessment of organization's acquisition policies and progress toward achieving its purpose?				

Department of Navy Internal Control Evaluation Checklist

4. Audit Follow-up

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- OMB Circular A-50, Audit Follow-up

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
1	Has your organization reviewed and followed law and regulation such as OMB Circular A-50?				
2	Does your organization place a high priority on responding to Naval Audit Service (NAVAUDSVC), Department of Defense Inspector General (DoDIG), and Government Accountability Office (GAO) audit reports?				
3	Are there any NAVAUDSVC, DoDIG or GAO reports with recommendations over which you have oversight or action which have not received at least an initial response?				
4	Has your organization established a timetable for correcting deficiencies?				
5	Has your organization established procedures for reviewing all open recommendations and updating their status?				
6	Does your organization define individual responsibilities for audit follow-up?				
7	Does your organization allocate resources needed				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	to implement audit recommendations?				
8	Does your organization train personnel to practice professional proficiency during audit follow-up?				
9	Does your organization perform periodic analysis of audit recommendations and corrective action to determine trends and system-wide problems?				
10	Does your organization have certification that the corrective action correctly resolved the deficiency?				
11	Does your organization place a high priority on responding to Congressional inquiries?				
12	What is the process for the internal control of all Congressional inquiries and audit/reviews? Who is tracking coordinator for all actions within your organization?				

Department of Navy Internal Control Evaluation Checklist

5. Base Communication Office

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- Executive Order 12958, as amended Classified National Security Information March 25, 2003
- Public Law 107-314 (Bob Stump Act)
- Chairman of the Joint Chiefs of Staff Instruction (CJCSI) 6215.01C 9 November 2007 (Policy For DoD Voice Networks with Real Time Services)
- CJCSI 6211.02C of 9 July 2008 (Defense Information System Network (DISN), Policy and Responsibilities)
- DoD 8500.2 6 February 2003 (Information Assurance (IA) Implementation)
- DoD 8100.04 9 December 2010 (DoD Unified Capabilities)
- DoD 7000-14-R (DoD Financial Management Regulations (FMR))
- DoD Unified Capabilities Requirements
- DoD 8100.2 14 April 2004 (Use of Commercial Wireless Devices, Services, and Technologies in the DoD Global Information Grid)
- Defense Switched Network (DSN) Security Technical Implementation Guide (STIG) Version 2, Release 3 - 30 April 2006 and checklist V2 Release 3.5
- DoD 8560.01 9 Oct 07 (Communications Security (COMSEC) Monitoring and IA Readiness Testing)
- Military Handbooks (MIL-HDBK)411B VOLS I/II and 1012/1
- Navy Warfare Publications 1-03.2
- DON Chief Information Officer (CIO) Policy Memo 4 02-10 of 26 April 2010
- Office of the Chief of Naval Operations Instructions (OPNAVINST) 2100.2A 4 September 2008 (Navy Policy And Procedures on the Issuance, Use and Management of Government-Owned Cellular phones, Personal Digital Assistants and Calling Cards)

Department of Navy Internal Control Evaluation Checklist

- OPNAVINST 2201.3B 14 APR 09 (COMSEC Monitoring of Navy Telecommunications and Information Technology Systems)
- OPNAVINST 4000.84B of 13 November 1996 (Inter-Service and Intra-Governmental Support Program)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
A. List of Services Provided by Base Communication Office (BCO) (Example: Telephone, Cellular, and Mobile Devices)					
1	What contracts are used to procure services and equipment? (Please provide copies of contracts used)				
2	Does the BCO use any contracts that will expire within the next 12 months?				
3	Does BCO write Command Safety Assessment (CSA)'s for any services?				
4	How are CSAs tracked?				
5	Are CSAs centrally filed in sequential order?				
6	Describe how CSA modifications and cancellations are done.				
7	Does your organization have current Basic Agreements?				
8	Are there plans are in place to compete for services vs. using basic agreements?				
9	What services are outsourced via competitive contracts (e.g. switch maintenance)?				
B. Inventory of All Telephone Switches Owned or Leased - Central Exchange(CENTREX)					
10	Does the BCO maintain a validated inventory of leased and government equipment?				
11	How often is the inventory review and revalidation performed?				
12	Is the inventory broken down by activity cost center?				
13	Does the BCO review and update the Navy Voice Corporate Data Base (NVADB) inventory on a quarterly basis for telephone switches and CENTREX?				
C. Registration of Voice Switches					
14	Has the BCO registered all unclassified voice switches leased, owned, connected to, or scheduled to be connected to the DSN or Public Switched Telephone				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	Network in the Standard Network Access Protocol (SNAP) data base?				
15	Are all fields in SNAP updated and current?				
16	Does the BCO provide budgeting and funding guidance on base communications services and equipment to assist base tenants in planning and programming resources appropriately?				
D. Planning and Design Meetings					
17	Does the BCO participate in planning and design meetings of base communications services and equipment (i.e. Military Construction (MILCON) projects, new requirements, 3-5 year projects)?				
18	Does the BCO provide a liaison between customer activities and vendor services?				
19	Are customer activity Telephone Control Officers (TCOs) provided opportunity to participate in meetings with vendors regarding services and equipment?				
20	Is there a Base Communications Control Board (BCCB)? - How often does the BCCB meet? - Date of last meeting? - Have all customer activities designated a primary and alternate TCO in writing? - Is refresher training provided to activity TCOs to reemphasize fiscal and other responsibilities (for calling card and cellular validation of "need", long distance call verification and reporting, LCOS reviews and cost center inventory of BCO equipment and services)?				
21	Has the BCO, in conjunction with activity TCOs, conducted an internal review of cellular telephones and their usage over the last six months? - Has the BCO only issued mobile devices to a designated activity certifying authority responsible for determining need and certify bills for				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	<p>proper usage?</p> <ul style="list-style-type: none"> - Does the BCO promulgate guidelines for TCOs to conduct internal auditing of calls and validate official use and cost? - Does the BCO promulgate guidelines to TCOs to examine need, calling capability and the requirement for cell phones? - Does the BCO conduct TCO awareness training to ensure use of cellular/mobile telephone devices and services are for official use only and that users are accountable for safeguarding equipment and appropriate use? 				
22	<p>If calling cards are issued by the BCO; has the BCO conducted an internal review and inventory of all calling cards (1 user, 1 card)?</p> <ul style="list-style-type: none"> - Does BCO revalidate the need for all cardholders that issue calling cards? - Does the BCO verify and review internal procedures to regularly monitor use? - Are procedures reviewed to immediately cancel unused, unaccountable cards and otherwise unneeded cards? - Do your organization's TCOs provide written validation of calling card inventory to the servicing BCO? - Does the BCO periodically remind TCOs that cards are provided for official use only and that cards and pin numbers must be safeguarded and to report lost or stolen cards promptly to the command TCO? - Does the BCO educate TCOs to track calling cards to ensure discontinuance when personnel PCS? 				
23	<p>Are internal reviews of commercial local and long distance call usage conducted?</p> <ul style="list-style-type: none"> - Are procedures in place for internal auditing of calls to 				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	<p>verify official use?</p> <ul style="list-style-type: none"> - Does TCO identify and collect costs for unauthorized calls? - Does the BCO educate TCOs that disciplinary action, if appropriate, is to be initiated by the respective organization? - Does the TCO examine requirement for long distance access and cancel access to those phones that do not require long distance services? - Does the BCO enforce procedures for control and prompt certification of monthly billing to ensure charges applied are accurate and reflect the service provided? - Does the BCO remind organization's managers and TCOs that monthly verification of bill certification is required to be provided to the servicing BCO in writing? - On the average, how many separate vendor and service provider invoices are received on a monthly basis? - Has the BCO implemented any bill consolidation procedures? - Does the BCO have a flow chart of the bill verification process? Explain the process. - Describe procedures for billing customer activities and what billing information is available online for customer access/viewing. - Is trend analysis information available to customer activities? 				
24	<p>Explain trouble reporting procedures.</p> <ul style="list-style-type: none"> - Is the customer kept apprised of efforts to correct trouble and advised when trouble is corrected? - What is the normal clear time on trouble calls? - During a major outage, what provisions have been made to prioritize lines for restoral? 				
25	Does the BCO produce and maintain				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	a Base Telephone Directory? - How often is the Base Telephone Directory updated and published? - What is the process for updating the Base Telephone Directory? - Does the Base Telephone Directory provide dialing instructions for local and long distance/DSN? - How is the Base Telephone Directory distributed? - Is there a costs for the directory, if so, who pays the costs? - Is the standard DoD banner regarding consent to monitoring displayed on the cover of the directory?				
26	Does the BCO have a customer education program? - Are training sessions conducted on new equipment, service, or features and at the request of the customer activity? - What procedures are in place to ensure customer activities are in compliance with local policies and procedures? - How does the BCO keep customer activities informed of base communications policies, trends, service changes, etc.?				
27	Has the BCO managed and provided optimum base communications services and facilities which is evidenced by the number of customer complaints, system outages, total system down time, maintenance/service calls, and average clear time on trouble calls?				
28	Does the BCO verify compliance for interoperability requirements? - Has a DSN IA Officer (IAO) been assigned in writing? - Does the DSN IAO ensure that only Joint Interoperability Test Command systems/services are authorized? - Does the DSN IAO have Certification and Accreditation				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	<p>DSN Voice Networks documentation? (e.g., DoD IA Certification and Accreditation Process (DIACAP) package and Navy Designated Approving Authority (NDAA) letter)</p> <ul style="list-style-type: none"> - Does the DSN IAO have authority to connect documentation? (e.g., Defense Information Systems Agency (DISA) DSN Unclassified Connection Approval Office (UCAO) approval letter) - Has the DSN IAO been designated in writing as part of the IA workforce? - Has the DSN IAO been designated in writing as part of the IA workforce? - Are updates made to the SNAP database as changes occur? - Are switch configurations properly maintained and in compliance with the DSN STIG? 				
29	Are Video Teleconferencing (VTC) suites connected to the switch Designated Accrediting Authority (DAA) Platform Information Technology (PIT) approved?				
30	Are blueprints, as-built drawings, and Original Equipment Manufacturer (OEM) manuals maintained in the BCO?				
31	<p>Telephone Switch</p> <ul style="list-style-type: none"> - Is the DSN switch and peripheral systems installed in a controlled space? - How often are traffic studies performed? - How often are preventive maintenance inspections and routine maintenance performed on the switch? - Are procedures in place to ensure switch air condition air filters are cleaned in accordance with original equipment manufacturer? 				
32	<p>Where the telephone switch is part of the DSN, when was the last DISA Performance Evaluation (PE) conducted?</p> <p>Is a copy of the report available</p>				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	and have all discrepancies been corrected?				
33	Are BCO operations and maintenance personnel properly trained on major systems for which the BCO is responsible?				
34	<p>Are there at least two persons trained in detailed restoral procedures? Is there Standard Operating Procedures (SOP) to cover major system restoration?</p> <ul style="list-style-type: none"> - Does the switch Disaster Recovery Plan (DRP) support base emergency operations plans? - Is the DRP reviewed and tested at least annually? - Are system back-ups performed on a weekly basis to a removable storage device? - Are back-ups stored at an offsite location? 				
35	Is documentation available that describes and illustrates the switch timing?				

Department of Navy Internal Control Evaluation Checklist

6. Contract Management

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- FAR Part 6, 8, 10, 15, 16, 32, and 37
- United States Code Section 2306c of Title 10
- DFAR Supplement
- DoDI 5000.02 (Operation of the Defense Acquisition System)
- OPNAVINST 4860.7D (Navy Commercial Activities Program)
- Naval Supply Systems Command (NAVSUP) Instruction 4205.3C, Contracting Officer's Representative (COR)
- NAVSUP Instruction (NAVSUPINST) 4200.85D, Simplified Acquisition Procedures (SAP)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
A. Simplified Acquisition Procedures (SAP)					
1	Is the activities Contracting Officer (KO) appointed in accordance with FAR Part 1.603, on a Standard Form 1402, Certificate of Appointment? If yes, does the appointment state the limitations, scope and authority in which the officer may act on behalf of the government?				
2	If the KO is exercising SAP and/or /General Services Administration (GSA) authority, was it delegated by the Head of the Contracting Activity (HCA) in writing?				
3	Prior to ordering				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	supplies/services, did the KO ensure proper funding was obligated on a valid order form (i.e. NAVCOMPT form) and was endorsed by the Comptroller?				
4	Is the KO following the guidelines of FAR Part 8.404/8.405 when issuing GSA/Federal Supply Schedule (FSS) orders? Was the order placed within the Maximum Ordering Threshold (MOT) of the schedule?				
5	If the GSA/FSS order was for services over \$100K, did the KO ensure the Performance Work Statement (PWS) was attached to the Request for Procurement (RFQ), and sent to a minimum of three schedule holders via GSA? Was a Best Value award made in accordance with FAR 8.404/8.405?				
6	Does the KO ensure award documentation for SAP requirements is prepared and complies with guidance found in NAVSUPINST 4200.85C? FAR Part 13?				
7	Does the KO ensure: - Unilateral modifications are prepared in accordance with FAR 43.103(b), and signed by the KO? - Bilateral modifications are prepared in accordance with FAR 43.103(a), and signed by both the Contractor Representative and the KO?				
8	Did the KO ensure final Inspection/Acceptance for both SAP and GSA delivery orders was obtained prior to final payment?				
9	Is the KO appointed in accordance with FAR Part 1.603, on a Standard Form 1402, Certificate of Appointment?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
10	Does the Standard Form (SF) 1402 state the limitations of the Warrant, its scope and authority for which the KO may act on behalf of the government?				
11	Is the KO limiting Sole Source Requirements to the maximum extent practicable, adhering to competitive procedures as defined in FAR Part 6 and FAR Part 15?				
12	Were PWS developed for service requirements, with Quality Assurance Surveillance Plans (QASP) developed for monitoring and surveillance purposes?				
13	If over \$100K, were Management and Oversight Process for the Acquisition of Services (MOPAS 2) documents developed and endorsed according to the dollar thresholds as required?				
B. Contract Development					
14	Was market research conducted to promote full and open competition in accordance with FAR Part 10?				
15	Did your organization develop a PWS for service requirements in accordance with FAR Part 37?				
16	Did your organization develop a PWS for Advisory and Assistance Services used? If yes, were they justified and documented?				
17	Did your organization develop/assist the development of a QASP?				
18	Was a COR and (if required) a Alternate COR (ACOR) nominated and appointed by the KO for monitoring and surveillance purposes in				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	accordance with reference NAVSUPINST 4205.3C?				
19	Was a Contract Administration Plan developed to define administrative functions of the COR or was this information incorporated into the contract?				
20	Did your organization identify appropriate funding in accordance with FAR Part 32.7, and was a funding document issued in the full amount prior to issuance of the Request for Proposals (RFP) or award of contract?				
21	Did your organization assist the KO throughout the development of contract documentation and the contractor selection process (e.g., Independent Government Estimate (IGE), labor hours, categories, travel, MOPAS 2 Acquisition Strategy Source Selection Plan (SSP), etc.)?				
22	Does your organization have a copy of the technical proposal submitted by the contractor to the KO prior to award?				
C. COR, ACOR, and Technical Assistant (TA)					
23	Has a COR, ACOR, and TA been appointed and are appointment letters kept on file at your organization?				
24	Has the COR, ACOR, and TA taken the required Defense Acquisition University (DAU) online approved COR training and are their certificates of training kept on file at your organization?				
25	Does your organization maintain DoD and/or Assistant Secretary of the Navy (ASN) Research,				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	Development, and Acquisition (RD&A) contract management guidelines, instructions and/or directives as required?				
26	Does the designated COR/ACOR maintain a copy of: - The Contract document? - All modifications? - Quality Assurance Plan (as applicable) for monitoring and surveillance purposes? - Are copies Monthly Status Reports (MSRs) maintained on file?				
27	Does the KO for the contract(s) being monitored evaluate your organization's performance on a yearly basis using applicable portions of references?				
28	Does your organization or COR/ACOR have a copy of the contract's Department of Defense Contract Security Classification Specification (DD 254), if applicable?				
29	Does the COR/ACOR have a copy of the technical proposal submitted by the contractor prior to award, if applicable?				
D. Contract Documents					
30	Does the cognizant on-site government representative (i.e. COR, ACOR, etc.) keep a copy of the contract and its modifications, funding documents, and all applicable pertinent inspection and acceptance documentation for administration purposes?				
31	Does the cognizant on-site government representative (i.e. COR, ACOR, etc.) maintain a copy of all Government Furnished				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	Property (GFP) and/or Government Furnished Equipment (GFE) issued to the Contractor? Prior to issuance, was a joint "walk through" conducted by both parties, documenting discrepancies for post-award purposes?				
32	Does the cognizant on-site government representative (i.e. COR, ACOR, etc.) have on file a copy of the security clearances (if applicable) for contractor personnel?				
33	Does the cognizant on-site government representative (i.e. COR, ACOR, etc.) have a tool to validate the contractor's reimbursement of cost for repair parts (if applicable)?				
34	Does the on-site government representative maintain a copy of the MSR of the contractor's progress? Is it uploaded in Wide Area Workflow (WAWF) or provided to the KO as an evaluation tool for the COR?				
E. QASP and Contractor's Quality Control Plan					
35	Was the COR/ACOR/TA provided a copy of the Contractor's Quality Control Plan (if applicable)? If yes, is it on file?				
36	Does the government representative (e.g., COR/ACOR/TA) have a plan to conduct inspections and document/satisfactory contract performance?				
37	Does the on-site government representative (i.e., COR/ ACOR/TA etc.) notify the KO if unsatisfactory performance occurs? How is unsatisfactory performance documented and discussed				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	with the KO? With the contractor? Is it documented in the file?				
38	Are there unsatisfactory performance areas (e.g., performance or deliverables) that the TA/Technical Point of Contact (TPOC) reported to the COR? Do these areas remain unsatisfactory? What preventive measures are being taken by the COR/agency to improve service?				

Department of Navy Internal Control Evaluation Checklist

7. Equal Employment Opportunities

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- DON Civilian Human Resources Manual, Subchapter 1601, (Equal Employment Opportunity (EEO) Program Policy)
- OPNAVINST 12720.4B dated 11 July 1989 (EEO Program Management)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
A. Policies and Procedures					
1	Does your organization instruction reflect the current Commanding Officer (CO)'s policy regarding EEO and sexual harassment?				
2	Does Command policy clearly and strongly support EEO?				
3	Is there a Commanders' written policy on sexual harassment posted in work/common areas?				
4	Was the policy written or signature changed within 90 days of the CO accepting command?				
5	Does your organization submit the Management Directive (MD)-715 report to Headquarters (HQ) annually?				
6	Does your organization submit Alternative Dispute Resolution (ADR)/Complaint report as required?				
7	Are EEO policies and procedures for redress prominently displayed throughout the work/common areas?				
B. Compliant Procedures					
8	Are posters informing personnel how to process a complaint posted in work/common area? If yes, do the posters include the				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	name and telephone numbers of EEO officials, counselors, and liaisons?				
9	Are civilian personnel aware of appropriate complaint procedures?				
10	Have personnel been properly trained to resolve issues at the lowest level possible?				
11	Have personnel been trained on the use of ADR? <ul style="list-style-type: none"> - If yes, what type of ADR method is used? - Who is the ADR Specialist servicing this activity? - Provide name, telephone number, title and office. 				
12	Have any informal complaints or grievances been filed within the last calendar year?				
13	Have any formal complaints or grievances been filed within the last calendar year?				
14	Is EEO part of the personnel check-in requirement(s) and/or Indoctrination program?				
15	Do all civilian personnel know who the EEO official, counselor, or liaison is?				
16	Does your organization publicize the EEO program? <ul style="list-style-type: none"> - If yes, what methods are used? 				
17	Does the EEO liaison for your organization interact with the servicing Human Resource Office EEO? With the HQ EEO?				
C. Training, Surveys, Boards and Committees					
18	Have all employees been trained on: <ul style="list-style-type: none"> - Procedures to process discrimination complaint/ADR? - Sexual Harassment? - Diversity? - No Fear Act? 				
19	Are supervisors and managers provided annual EEO Training?				
20	Are civilian personnel aware of the Navy policy on and definition of Sexual Harassment?				
21	Are civilian personnel represented on boards and committees that impact civilian employees?				

Department of Navy Internal Control Evaluation Checklist

8. Executive Assistance Program – Exceptional Family Member Program

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- Secretary of Navy (SECNAV) Instruction 1754.5B (DON Exceptional Family Member Program)
- OPNAVINST 1754.2D (Exceptional Family Member Program)
- OPNAVINST 1740.4D (U.S. Navy Family Care Policy)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
A. Exceptional Family Member Program					
1	Has your organization disseminate the requirement for mandatory enrollment of Exceptional Family Members (EFMs)?				
2	Does your organization have an EFM point of contact?				
3	Are your organization's support personnel such as chaplains, Command Career Counselors, Family Service Centers (FSCs) and Ombudsmen aware of the EFM program goals and eligibility requirements?				
4	Does your organization provide counseling and dissemination of program guidance to eligible applicants?				
5	Does your organization ensure command personnel are aware of the identity of the local Medical Treatment Facility EFM program coordinator?				
6	Does the EFM coordinator ensure a renewed or updated				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	application for the EFM program is submitted when the family member's condition changes or upon completion of diagnostic evaluations?				
7	Does the EFM coordinator conduct an annual EFM survey to identify family members who should be enrolled in the EFM Program? <ul style="list-style-type: none"> - When was last survey completed? - What was survey completion rate? 				
B. Navy Family Care Policy					
8	Does your organization have a dependent care coordinator?				
9	Does your organization maintain files of required family care plan certificates? Do files contain: <ul style="list-style-type: none"> - NAVPERS 1740/6 (Family Care Plan Certificate) - NAVPERS 1740/7 (Family Care Plan Arrangements) 				
10	Does your organization use the local legal office for Power of Attorneys?				
11	Does your organization have a procedure in place to ensure all affected personnel are identified and counseled?				
12	Does your organization have procedures in place to ensure certificates are revised upon arrival, annually, and prior to detachments?				
13	Are all personnel informed of the requirements of OPNAVIST 1740.4? If yes, how?				

Department of Navy Internal Control Evaluation Checklist

9. Executive Assistance Program – Mentorship

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- Command Cyber Force Instruction (COMNAVCYBERFORINST) 1500.1 (Navy Cyber Forces Total Force Mentorship Program)
- Naval Personnel Command (NAVPERSCOM) Instruction 5300.1 (NAVPERSCOM Mentoring Program)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
1	Does your organization have a designated Mentorship Program Coordinator (MPC)? What is his/her position?				
2	Are mentors assigned in writing?				
3	Does the MPC maintain the signed mentor/protégé contracts?				
4	Does the MPC have an orientation and training program? If so, are records of attendance kept?				
5	Does the training program include a recommended training course?				
6	Does the MPC have a procedure in place for selecting mentors?				
7	Are all mentors at least one pay grade above their protégé?				
8	Does the MPC provide status reports of the program to the chain of command?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
9	Does each protégé have defined goals in writing for a minimum of one of the following categories: a. near-term b. mid-term c. long-term				
10	Are mentors assigned for at least six months?				
11	Are your organization's personnel who are serving as the sole member in particular rating given the choice of being assigned mentors from their specific rating within their immediate geographic region?				
12	Are involuntary mentors being assigned? If so, explain reason.				
13	Does the MPC have a procedure to conduct oversight of the mentorship program to ensure compliance with governing instructions?				

Department of Navy Internal Control Evaluation Checklist

10. Executive Assistance Program – Sexual Assault Prevention and Response

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- SECNAV Instruction (SECNAVINST) 1752.4A Sexual Assault Prevention and Response (SAPR)
- OPNAVINST F3100.6J CHAPTERS 4 AND 5 APPENDIX B (Operation Event/Incident Report (OPREP-3)/Situation Report (SITREP) Procedures)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
1	Does your organization have a SAPR Program Command Point of Contact (POC) designated in writing?				
2	Has the SAPR POC been to initial and annual training, as required?				
3	Does your organization have a SAPR Program Command Liaison (CL) designated in writing?				
4	Has the SAPR CL been to initial and annual training, as required?				
5	Does your organization have a designated Data Collection Coordinator (DCC)?				
6	Has the SAPR DCC been to initial and annual training, as required?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
7	Has a Volunteer Victim Advocate (VA) program been established? - If no, are services being provided by another agency? - Is there a Memorandum of Understanding between organizations?				
8	Does your organization ensure VAs meet the requirements as required by OPNAVINST 1752.1B enclosure 4?				
9	Have all SAPR VAs received both initial and annual refresher training, as required?				
10	Does your organization ensure all VAs are fully trained on their responsibility to provide victims information and clarification on the process of restricted and unrestricted reporting?				
11	Have the SAPR VA names and contact information been publicized throughout the command?				
12	Does your organization conduct annual General Military Training (GMT) on sexual assault awareness and prevention?				
13	Are your organization's personnel made aware of Navy and civilian resources available to assist victims of sexual assault?				
14	Does your organization have established procedures that delineate appropriate actions when Command personnel should take in responding to sexual assault incidents?				
15	Are Command Duty Officers made aware of their responsibilities in dealing with sexual assault incidents?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
16	Does your organization ensure incidents of sexual assault are reported as required via OPREP-3/SITREP within 24 hours of the reported assault?				
17	Does your organization ensure SITREPS are submitted on incidents involving civilians sexually assaulted on property under DON jurisdiction?				
18	Does your organization ensure follow up SITREPs include required information as per Navy Administration 272/12 (NAVADMIN 272/12)? (Name of /Judge Advocate General (JAG) consulted, Disposition category from NIC, Status of Military Police Order (MPO), Status of transfer or reassignment, Status of collateral misconduct of victim, etc.)				
19	Are continuation (status)/follow-on SITREPS submitted to Chief of Naval Operations (CNO) (N1), info Commander, NAVPERSCOM (COMNAVPERSCOM) (PERS-661) and (PERS-83) at least monthly until final, official resolution of the case?				
20	Is your organization omitting any sensitive or personally identifiable information from their reports?				
21	Does your organization know of their obligation to inform any alleged victim of their right to request expedited transfer within 72 hours of reporting an assault?				
22	Does your organization have a process in place to document that they provided this notice to the victim?				

Department of Navy Internal Control Evaluation Checklist

11. Executive Assistance Program – Sponsor Program

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- OPNAVINST 1740.3C (Command Sponsor & Indoctrination Program)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
1	Does your organization have an established and active program?				
2	Are your organization's members sponsorship duties assigned with consideration given to rank and marital status?				
3	Whenever possible are prospective service member enrolled in the EFM Program given sponsors who are also in the EFM program?				
4	Is a sponsor assigned promptly upon receipt of orders within your organization?				
5	Does your organization have a process of sending welcome aboard packages? - If yes, what is the process?				
6	Is there a monitoring system in place to ensure quality within the program? - If yes, how?				
7	Is sponsor training available for personnel who are assigned sponsorship duties?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
8	Does your organization use a questionnaire system to evaluate the effectiveness of the sponsor program?				
9	Is your organization maintaining an accurate, up-to-date recall roster?				
10	Are personnel aware they must update their address within 30 days of PCS transfer or change of address?				
11	Does your organization explain advantages of the sponsor program to detaching personnel and encourage them to communicate with their sponsor/new command. - If yes, who conducts the brief?				

Department of Navy Internal Control Evaluation Checklist

12. Executive Assistance Program – Suicide Prevention

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- Chief of Naval Operations Instruction (OPNAVINST) 1720.4A, Suicide Prevention Program
- OPNAVINST F3100.6J CHAPTERS 4 AND 5 APPENDIX B (OPREP-3/SITREP Procedures)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
1	Does your organization have a Suicide Prevention Coordinator (SPC) appointed in writing as required by OPNAVINST 1720.4A?				
2	Does your organization have a SPC assistant(s)? If yes, are they designated in writing?				
3	Has both primary and alternate SPCs completed SPC Module 1 since being designated as the unit SPC?				
4	Has the SPC completed COMNAVPERSCOM approved SPC training?				
5	Has your organization conducted annual (calendar year) Suicide Prevention training?				
6	Does your organization maintain documentation of annual training?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
7	Does the Suicide Prevention training include: <ul style="list-style-type: none"> - suicide risk and protective factors - appropriate actions and responses to suicidal persons - strategies for obtaining assistance from local support services? 				
8	Does the SPC distribute health and fitness materials in support of NAVPERSCOM health promotion initiatives?				
9	Does your organization have a suicide prevention and crisis intervention plan?				
10	Does the suicide prevention and crisis intervention plan include action plans for: <ul style="list-style-type: none"> - identification - referral - access to treatment and follow-up for personnel having problems that indicate a heightened risk of suicide? 				

Department of Navy Internal Control Evaluation Checklist

13. Facilities

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- SECNAVINST 11260.2A (Navy Weight Handling Program for Shore Activities)
- OPNAVINST 11010.20G (Facilities Project Manual)
- OPNAVINST 5100.23g (DON Safety and Occupational Health (SOH) Program Manual)
- Naval Facilities Engineering Command (NAVFAC) MO-200 - Facilities Engineering for Exterior Facilities
- NAVFAC MO-321 (Facilities Management)
- MIL-HDBK-411B (Power and the Environment for Sensitive Department of Defense Electronic Equipment)
- MIL-HDBK-419A (Grounding, Bonding & Shielding for Electronic Equipment)
- Code of Federal Regulation (CFR) Title 40, Environmental Protection Agency
- National Fire Protection Association (NFPA) 10 (Standard for Portable Fire Extinguishers Note: All NFPA publications are available to view online at: http://www.nfpa.org/aboutthecodes/list_of_codes_and_standards.asp)
- NFPA-70 (National Electrical Code (NEC))
- NFPA 70B (Recommended Practice for Electrical Equipment Maintenance)
- NFPA 70E (Standard for Electrical Safety in the Workplace)
- NFPA 110 (Standard for Emergency and Stand-By Power Systems)
- DISA Circular 350-195-2
- DISA Power, Environmental Control, and Electromagnetic Compatibility Performance Evaluation Checklist
- Unified Facilities Criteria (UFC) 3-600-02 (Inspection, Testing and Maintenance of Fire Protection Systems)

Department of Navy Internal Control Evaluation Checklist

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
1	<p>Does your organization own the following equipment? If "yes", complete the applicable portions of Questions 5 - 19 to satisfy this requirement.</p> <ul style="list-style-type: none"> - Uninterrupted Power Supply(UPS) and batteries - Generators - Bulk fuel storage tanks - Switchboards - Power panels - Heating, Ventilation and Air-Conditioning (HVAC) - Antennas - Fire suppression systems <p>* If the site is not supported by this equipment, indicate N/A in this section. * If your organization is supported by equipment owned by another command, indicate the responsible command, complete question 4 to satisfy this requirement.</p>				
2	<p>For Low Frequency (LF) sites, Very Low Frequency (VLF) sites, Navy Information Operations Command (NIOC) Sugar Grove, NIOC Hawaii, and other sites where your organization has maintenance Unit Identification Code (UIC) responsibilities as indicated in the Navy's authoritative database (iNFADs), are the facility drawings updated and maintained?</p>				
3	<p>Does your organization have special project files for all current and future special projects as required?</p>				
4	<p>For equipment indicated in Question 1 as owned by another command, are maintenance records available showing that all equipment is properly maintained?</p>				
5	<p>Are there accurate Standard Operating Procedures (SOPs) to support startup, shut down and other standard and emergency</p>				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	operating modes of generators, UPS systems, switchgear, chillers and other key critical facilities infrastructure equipment; and are these SOPs readily available near the equipment?				
6	Are applicable monthly, quarterly and annual system tests and exercises being accomplished on generator and UPS systems?				
7	Is there a preventative maintenance program for the emergency and critical power systems? <ul style="list-style-type: none"> - UPS and battery systems - Generator and associated fuel systems - Electrical switchgear and electrical distribution systems - Bulk fuel storage systems 				
8	Are preventative maintenance records maintained for the above equipment?				
9	Is preventative maintenance being accomplished by proficiently trained and qualified personnel?				
10	Is there remote indication of alarms in a normally manned space to monitor UPS alarms, including over-temperature and fire alarms?				
11	Are switchboards, power panels and all circuit breakers clearly labeled as to the equipment load served or other specific purpose or use, including spare breakers?				
12	Are peak critical (UPS) and essential (generator) loads regularly measured and recorded?				
13	Are all future electronic installations properly coordinated to ensure sufficient power and Air Condition (A/C) requirements?				
14	Are remote Emergency Power Off (EPO) switches located by the exits for all Information Technology (IT) areas and				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	configured to disconnect all electronic equipment in the data center (including UPS and UPS battery banks) and HVAC equipment dedicated to the space?				
15	Are single line drawings of the electrical, fuel piping, and mechanical systems readily available and posted in UPS, generator, switchgear and mechanical rooms supporting the critical mission; or an interconnected related space?				
16	Is the fence or enclosure preventing unauthorized access to substation components in good condition and properly grounded?				
17	Are warning signs posted on each side of the fence, gate and doors of the substation and are the signs observable from any point around the fence?				
18	Is the insulating oil coolant of oil filled transformers with capacity of 100KVA or more tested for its dielectric strength regularly (at least every five years)?				
19	Are the substation transformers provided with lightning surge arrestors, and are they operational?				
19	Are Transient Voltage Surge Suppressors (TVSS) installed in the electrical power distribution system and are the suppressor devices in good working condition?				
20	Are operational loads connected to the proper power distribution bus? - Critical technical load to critical technical (UPS) bus - Non-critical technical load to non-critical technical (generator) bus - Non-operational load to non-technical (utility) bus				
21	Do the UPS, generator, utility and electrical distribution systems have adequate capacities to support the				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	connected loads (no more than 80% of capacity at peak demand)?				
22	Review the maintenance logs of the generator sets and identify any units which have continuous problems. - For units with continuous operation problems, have any corrective actions been taken?				
23	Inspect the generator room ventilation system. Is it operating properly, and all grills and filters free of dust and debris?				
24	In the power distribution switchgear, are the phase ampere readings at the metering cubicle reasonably balanced?				
25	Are all bulk fuel storage tanks constructed with means of secondary containment and leak detection and regularly inspected?				
26	Are all electrical safety hazards clearly identified and are all necessary precautions taken to warn station personnel?				
27	Are breaker trip settings properly sized and coordinated?				
28	Where ground fault protection is provided for a switchboard, is ground fault protection installed and coordinated on all feeder circuits supplied from the switchboard?				
29	Are clean insulating rubber mats installed in operating areas in front and back of power lighting switchboards, test switchboards, control panels, and around electrical workbenches?				
30	Is all equipment properly grounded, with no indications of improper equipment grounding or lack of equipment grounding?				
31	Are instruments and indicating meters such as voltage, power, and current meters regularly checked for accuracy and calibrated as required (at				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	least every four years for switchboard revenue meters or other applications where precision is required) and properly labeled?				
32	Is there adequate space around the switchboard and switchgear (free from stores or other debris) for adequate ventilation or for the performance of maintenance?				
33	Do personnel know the available fault current and arc flash rating for serviceable power equipment, and Personal Protection Equipment (PPE) required for each? NFPA 70B 7.6; NAVFAC MO-200, Chapter 15 Section III				
34	If practical (if qualified personnel & PPE are available, and switchboard configuration allows it), inspect the switchboard/switchgear interior. Is the interior of the equipment clean, free of dust build-up, and no sign of overheating? NAVFAC MO-200, Chapter 8 Section IV				
35	Are fire extinguishers available by the exits in the generator room, UPS room, battery room and main power switchgear/ control room?				
36	Are the battery maintenance record logs maintained in accordance with the maintenance program?				
37	Is there adequate supply of distilled water on hand for the maintenance of wet cell lead acid batteries?				
38	All metallic tools for preventive maintenance of storage batteries insulated?				
39	Is there an emergency shower and eye deluge within 25' of the work area in all wet cell battery rooms?				
40	While servicing wet cell lead-acid batteries, do the personnel use proper safety tools while such as face shield/goggles, rubber apron				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	and gloves?				
41	Are the environmental conditions in the UPS room and battery room conditioned to the proper temperature (typically <77°F) and humidity range per manufacturer's specifications with automatic failover to backup system?				
42	Is the battery room ventilation system functioning properly?				
43	If utilizing lead acid batteries, is there adequate spill containment and is the battery room floor coated with acid resistant paint?				
44	Have all applicable DISA power, environmental control and electromagnetic compatibility performance evaluation checklist items been verified?				
45	Are fire suppression systems (sprinklers, Aqueous Film Forming Foam (AFFF), FM-200, etc) inspected, tested and maintained per UFC mandated schedule and manufacturer's recommendations?				
46	Are fire detection and alarm systems inspected and tested per UFC mandated schedule and manufacturer's recommendations?				
47	Are Navy Crane Center (NCC) Weight Handling Equipment audits being conducted as required?				
48	Are the results of the previous NCC audit available?				
49	Are there any uncorrected discrepancies from the previous NCC audit? - If so, what is the implementation status of corrective action? - Has the NCC been informed of the implementation status within the prescribed timeframe?				

Department of Navy Internal Control Evaluation Checklist

14. General Administration

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- OPNAVINST 5210.20 (Navy Records Management Program)
- SECNAVINST 5210.8D (DON Records Management Program)
- SECNAV M5214.1 (DON Information Requirements (Reports) Manual)
- SECNAV M-5213.1 (DON Forms Management Manual)
- OPNAVINST 1000.23B (Pay/Personnel Administrative Support System)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
A. Instructions/Directives					
1	Does your organization ensure your own instructions are reviewed at least annually?				
2	If yes, what is the process used to identify and track updates, changes, or cancellations to activity instructions?				
3	Are your organization's directives published and maintained in compliance with the DON Directives Issuance System?				
4	Does your organization have a current Standard Organization and Regulations Manual (SORM)?				
B. Administrative File					
5	Are files purged at the beginning of the new calendar year?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
6	Are files setups aligned with Standard Subject Identification Codes (SSICs)?				
7	Are files maintained for current year and two years back?				
8	Are files disposed of in accordance with SECNAV M5210.1?				
9	Does the command have a file plan as required by SECNAV M5210.2?				
10	Does the file plan include disposition date of each records file, type or group and a list of record categories held onboard?				
11	Are all records properly categorized using the DON information taxonomy, SSICs?				
12	Are copies of designation letters maintained in SSIC file?				

Department of Navy Internal Control Evaluation Checklist

15. Government Purchase Charge Card

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- FAR Part 8 (Required Sources of Supplies and Services)
- FAR Part 13 (SAP)
- OMB Circular A-123, Appendix B (Improving the Management of Government Charge Card Programs)
- DoD Government Charge Card Guidebook for Establishing and Managing Purchase, Travel, and Fuel Card Programs (21 December, 2011)
- DFAR Part 213 (SAP)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
1	Does the Approving Official (AO) have a letter of appointment, which designates him or her as AO?				
2	Has the AO received Government Purchase Card (GPC) and procurement ethics training? If so, when?				
3	Has an Alternate AO been formally designated?				
4	Has the Alternate AO completed GPC and procurement ethics training?				
5	Is the AO's supervisor also a cardholder?				
6	Does the AO review cardholder statements each month?				
7	Does the AO certify and process monthly billing statements within five business days of receipt?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
8	Does the AO promptly notify the Agency/Organization Program Coordinator (A/OPC) when a cardholder departs, retires or no longer needs a card?				
9	Has the AO notified the A/OPC of lost/stolen cards within five business days of discovery?				
10	When violations of cardholder procedures are discovered or improper purchases have been made, has the A/OPC been notified?				
11	Does the AO coordinate card dollar limits when accounts are established?				
12	Does AO maintain original supporting documentation for closed accounts in accordance with FAR 4.805?				
13	Has AO been formally appointed as a Certifying Officer?				
14	Does the AO ensure cardholders secure cards at work locations rather than keeping them on their person and/or taking them home?				
15	Are procedures in place to address the deployment of a cardholder?				
16	Does the cardholder have a letter delegating specified procurement authority?				
17	Has the cardholder received GPC and procurement ethics training? If so, when?				
18	Has the cardholder participated in refresher training sessions or received refresher training material? If so, when?				
19	Does the cardholder know and comply with his or her monthly spending limits?				
20	Do the monthly spending limits for each cardholder account adequately address supply requirements?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
21	Are spending limits higher than monthly buying activity?				
22	If the cardholder is required to use both appropriated and non-appropriated funds, does he or she have a separate card for each type of funds?				
23	Does AO ensure that all purchases are entered in the servicing bank's electronic purchase log?				
24	Does the cardholder obtain and retain written records of all required pre-purchase approvals and authorizations?				
25	Were any unauthorized purchases made by the cardholder?				
26	Was approval subsequently sought and obtained and was the cardholder disciplined?				
27	If the purchase was improper, how did the AO address the deficiency?				
28	Does the cardholder safeguard his or her card (for example, by not allowing others to use his or her card)?				
29	Does the cardholder reconcile all transactions and approve the billing statement within three business days of its receipt?				
30	Does the cardholder document all transactions that posted to the billing statement but were not received, and utilize a tracking system to verify their subsequent delivery?				
31	Does the cardholder maintain supporting documentation for purchases?				
32	Does the cardholder reconcile transactions throughout the billing cycle?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
33	Does the cardholder follow the appropriate procedures for disputing transactions?				
34	Does the cardholder comply with provisions of FAR Part 8 regarding mandatory sources of supply and services?				
35	Has the AO ever acted on behalf of the cardholder during the review period?				
36	Does your organization report to the OMB, Office of Federal Financial Management the required statistical and narrative reporting required by OMB Circular A-123?				
37	Are AO and cardholder resolving purchase card disputes within 30 days?				

Department of Navy Internal Control Evaluation Checklist

16. Government Travel Charge Card

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- OMB Circular A-123 Appendix B (Improving the Management of Government Charge Card Programs)
- DoD FMR 7000.14-R
- DON Government Travel Charge Card (GTCC) Program Desk Guide
- SECNAVINST 4650.21 (DON Travel Charge Card Program)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
1	Have all personnel have received training to assure the understanding that the misuse of the GTCC will not be tolerated?				
2	Are Commanders/supervisors verifying GTCCs are issued for official travel related expenses and only issued to candidates that have passed a credit check?				
3	If Component guidelines are not followed, are Commanders and supervisors administering disciplinary actions, when appropriate?				
4	Are DON Personnel, whom are trained or counseled, aware that it is required to split and disburse all undisputed charges against the GTCC?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
5	Are all trained supervisors, & AOs, aware that they are responsible for ensuring that split disbursement amounts are properly annotated and return any travel vouchers that do not comply for correction and resubmission?				
6	Are A/OPCs using the GTCC contractor provided data mining tool to gather and analyze travel card data and to identify incidents of suspected misuse?				
7	Are A/OPCs fully trained to perform their tasks, to include proficiency in the use of the Direct Electronic Access System (EAS) and its various reports, in order to effectively manage the program and monitor travel charge card use?				
8	Do the commanders/supervisors ensure that all eligible travelers are issued a travel charge card and are denied use of the Centrally-Billed Account (CBA) for travel expenses?				
9	Does the A/OPC ensure that the travel charge card applications are accurate and complete with appropriate blocks initialed rather than checked?				
10	Does the A/OPC ensure that the Statement of Understanding is accurate and complete, that it is initialed and signed by the cardholder and retained on file?				
11	Are cardholders provided initial training on proper use of the travel charge card at issuance and refresher training at least every three years thereafter?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
12	Are cardholders provided guidance on the proper use of card?				
13	Does the A/OPC adjust cash/credit limits to meet mission requirements and reduce them to normal limits when the requirement no longer exists?				
14	Does the A/OPC use the EAS exception reports to detect inappropriate/unauthor Automated Teller Machine (ATM) cash withdrawals and incidents of Non-Sufficient Funds (NSF) checks?				
15	Does the A/OPC notify the cardholder's supervisor, in a timely manner, of suspected inappropriate/unauthorized ATM cash withdrawals and NSF checks, and retain documentation of that notification?				
16	Are procedures in-place and used to ensure that cardholders in/out process with the losing/gaining A/OPC? Does the A/OPC ensure that accounts are canceled for individuals separating or terminating employment with the DoD?				
17	Is receipt of payment verified in EAS to ensure payments post in a timely manner?				

Department of Navy Internal Control Evaluation Checklist

17. Legal

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- SECNAV M-5210.1 (DON Records Management Program Manual)
- SECNAVINST 1640.9C (DON Corrections Manual)
- SECNAVINST 1920.6C (Administrative Separation of Officers)
- SECNAVINST 3300.1C (DON Law of War Program)
- SECNAVINST 4001.2J (Acceptance of Gifts)
- SECNAVINST 5720.42F (Freedom of Information Act)
- SECNAVINST 5820.8A (Release of Official Information for Litigation Purposes)
- SECNAVINST 5800.11B (Victim and Witness Assistance Program)
- SECNAVINST 5211.5E (DON Privacy Act Program)
- OPNAVINST 4001.1F, Acceptance of Gift
- OPNAVINST F-3100.6J (Change 2), Special Incident Reporting
- OPNAVINST 3300.52 (Law of Armed Conflict (Law of War) Program to Ensure Compliance by the U.S. Navy and Naval Reserve)
- OPNAVINST 5350.4D (Drug & Alcohol Abuse Prevention & Control)
- OPNAVINST 5800.7A, Victim Witness Assistance Program
- Manual for Courts-Martial (2012)
- JAG Instruction (JAGINST) 5800.7F (Manual of the Judge Advocate General (JAGMAN))
- JAGINST 5800.9C, Criminal Activity, Disciplinary Infractions and Court Martial Report
- JAGINST 5040.1A Command Evaluation, Article 6 Legal Assessments and Management Internal Controls
- Military Personnel Manual (MILPERSMAN) 1910-800 - 1910-812

Department of Navy Internal Control Evaluation Checklist

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
A. Administration					
1	Does your organization own or have easy access to the above references?				
2	Does the legal office properly perform legal assistance for command personnel when authorized to do so? - Power of Attorney (POA)? - Wills? - Advice on personal legal issues?				
3	Does the legal office have a process to identify conflicts with command duties when providing legal assistance?				
4	Does the legal office maintain a notary log for each individual performing notary function?				
5	Is a Victim and Witness Assistance Program (VWAP) Coordinator designated in writing?				
6	Has a copy of the designation letter been forwarded to the Victim Witness Liaison Officer (VWLO)?				
7	Does the VWAP Coordinator provide information to victims and witnesses identified by the program?				
8	Does the VWAP Coordinator document that victims and witnesses were provided appropriate forms by command investigative personnel?				
9	Is the annual VWAP report being sent to the region VWLO in January of each year?				
10	Does the legal office have a copy of, and follow, the Navy Records Disposition Manual concerning legal documents?				
11	Does the command know who is responsible for providing assistance in various legal matters, e.g., Non-judicial Punishment (NJP) appeals, administrative separation				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	boards, etc.? Does the command know who to forward various legal matters to for higher level review?				
12	Does the legal office have an established relationship with other Region Legal Service office (RLSO), Region Staff Judge Advocate (SJA), Naval Legal Service Office (NLSO), base/host installation security/police, and Naval Criminal Investigation Service (NCIS)?				
13	Does your organization correctly submit personnel incident reports when required under OPNAVINST 3100.6J? <ul style="list-style-type: none"> - Sexual assaults updated every 30 days? - Are Sexual Harassment (SH)/EEO complaints updated every 14 days? - Is required judge advocate consultation on sexual assault and SH/EEO cases included in the final OPREP-3 report (name, command, contact info of JAG)? 				
14	Does the legal office correctly prepare the Quarterly Legal Data Report?				
15	Have legal personnel completed a formal training course for their position?				
16	Is the legal office adequately staffed?				
17	For commands with assigned SJA, does the SJA conduct self-assessments using enclosure (3) of JAGINST 5040.1?				
B. JAGMAN Investigation					
18	Are preliminary inquiries and administrative investigations under the JAGMAN initiated when required?				
19	<ul style="list-style-type: none"> - Review JAGMAN process to ensure completed and endorsed in timely manner? - Are reports reviewed and properly endorsed in a timely manner? - Are investigation reports 				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	forwarded for higher authority review when required? - Are records of JAGMAN investigations properly maintained?				
20	Are all medical and personnel record entries required for line of duty determinations correctly made?				
21	Is there an effective process to ensure approved recommendations are executed?				
C. Unauthorized Absences/Desertion					
22	Has your organization reported unauthorized absences of those personnel who have failed to report to their duty station by the date specified on official orders? Was a DD 553 prepared and distributed?				
23	- For personnel who have been absent for 10 days, has a letter been sent to the next of kin? - Have personnel who have been absent a period in excess of 30 days been declared a deserter and dropped from the rolls of the reporting command? - If so, is the DD 553 prepared and distributed properly? - Does the command have an instruction or other standing order for personnel in unauthorized absence status for longer than 24 hours to provide a urinalysis sample?				
D. Non-judicial Punishment					
24	Is the NAVPERS 1626/7 form filled out correctly and completely for each NJP case?				
25	Is each case forwarded to Certified Petty Officer (CPO) Disciplinary Review Board (DRB) or Executive Officer (XO) prior to NJP?				
26	Are all Sailors advised of their rights in writing before DRB, XO, and NJP? Is documentation maintained?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
27	<p>Are all Sailors afforded the opportunity to:</p> <ul style="list-style-type: none"> - Make or submit a statement at NJP? - Request and have present at NJP witnesses who are reasonably available? - Examine and review all evidence being considered by the CO in determining their guilt at NJP? 				
28	<p>Review Unit Punishment Book (UPB) for completeness, level of offenses considered at NJP, and whether results of NJP properly recorded.</p> <ul style="list-style-type: none"> - Are records of NJP, including all allied papers, (such as NAVPERS 1626/7 and any appeal paperwork), filed alphabetically and retained for two years in a UPB or equivalent filing system? - Are only authorized punishments awarded at Captain's NJP? - Are appropriate minor offenses adjudicated at NJP? - Are appeals filed in the UPB? 				
29	<p>Examine process for NJP appeals.</p> <ul style="list-style-type: none"> - Are NJP appeals forwarded to the proper officer exercising general courts-martial convening authority (Region Commander)? - Are NJP appeals handled in a timely manner? - Are stays of restriction processed correctly? 				
30	<p>Examine process to submit NJP results to Bureau of Navy Personnel (BUPERS) for inclusion in member's permanent record.</p> <ul style="list-style-type: none"> - Is the effective date and execution of punishment imposed properly? - Are NJP results forwarded 				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	for inclusion in the member's permanent record? - Are the requirements for punitive letters of reprimand under JAGMAN 0114 followed?				
31	Are restriction orders filled out correctly and within established physical limits?				
32	Are results of NJP published correctly?				
33	- Are NJP appeals forwarded to the Region Commander within required time periods? - Is proper action taken on any requests to stay execution of restriction?				
E. Courts Martial					
34	- Examine how criminal allegations are reported and investigated. - Are major criminal offenses referred to NCIS for investigation? - Do command investigators coordinate their investigations with the command SJA or RLSO? - Does the command coordinate effectively with RLSO personnel regarding resolution of criminal incidents?				
35	- Have escort personnel undergone training as a prisoner escort and been certified? - If not, is there an existing agreement with other entities to provide escort services? - Are escorts maintaining a current Escort Identification Card? - Are escort recertification's conducted annually?				
36	- Has the command complied with R.C.M. 305, Manual for Courts Martial (2012) with regard to pretrial confinement requirements - Confinement order completed				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	<ul style="list-style-type: none"> - CO's memorandum with allied papers, if Applicable - IRO hearing conducted 				
37	Has the command provided health and comfort visits to confined command personnel as required?				
38	<ul style="list-style-type: none"> - Does the legal officer know how to prepare a convening order for a Special Court-Martial (SPCM)? - Can the legal office show proper method for CO's selection of SPCM members? - Are only officers selected for the panel on the convening order? 				
39	Does the legal officer know how to prepare an amending order to reflect changes in court-martial personnel?				
40	<ul style="list-style-type: none"> - Are SJA recommendations and SPCM Convening Authority actions correctly prepared in a timely manner? - Are cases requiring review under Article 64(a) forwarded to the appropriate office in a timely manner? - Are cases requiring review under Article 66 forwarded to the Navy-Marine Corps Appellate Review Activity in a timely manner? 				
F. Standard of Conduct (SOC)					
41	Are SOC/Ethics briefings conducted for all civilians upon initial assignment to your organization?				
42	Is annual ethics training completed for Office of Government Ethics (OGE) 450/278 filers?				
43	Are OGE form 450s properly filed in a timely manner for new entrants and annual reports?				
44	Are the OGE form 450s reviewed by the appropriate supervisor?				
45	Are initial entry and annual OGE 450s forwarded to Legal Office when required?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
46	Does the command forward notice of gifts to the Navy and gifts of travel to Legal Office for approval?				
47	Does the command SJA have an effective system for providing SOC/ethics advice and opinions?				
48	<ul style="list-style-type: none"> - Are private organizations being run according to command and Navy regulations with regards to command support, no misuse of government resources, use of command name, fundraising activities, etc.? - Does the legal officer know of host installation rules and restrictions on activities of non-Federal entities? 				
49	Do employees receive post-government employment information and know how to seek advice?				
G. Operational and International Law					
50	Do appropriate personnel receive rules of engagement training?				
51	Do appropriate personnel receive law of armed conflict training prior to deployment?				
52	Do command members receive appropriate training on any applicable Status of Forces Agreement or other international agreements applicable to command personnel?				
H. Freedom of Information Act (FOIA) and Privacy Act (PA)					
53	Has a FOIA/PA Coordinator been designated?				
54	Does the command know how to report a PII data breach and perform required actions?				
55	Does the command properly mark documents For Official Use Only (FOUO) and handle appropriately to prevent unauthorized release?				
56	Is FOIA/PA training completed?				
57	Are semi-annual PII spot checks conducted?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
I. Administrative Separations					
58	<p>Is the command using the proper procedure for the relevant separation basis or bases?</p> <ul style="list-style-type: none"> - Notification Procedure - least favorable characterization of service possible is general; member has a right to elect an administrative board only if member has 6 or more years of total service and/or reserve military service. - Administrative Board Procedure - least favorable characterization of service possible is under other than honorable; member has the right to elect an administrative board regardless of the number of years of active and/or Reserve military service. 				
59	Is the command processing for all known reasons?				
60	Is the service member allowed time specified in MILPERSMAN 1910-408 to respond to the notice?				
61	Are members given the opportunity to consult with a qualified counsel prior to electing any rights?				
62	Does the command retain a signed copy pending receipt of the member's response to notification?				
63	Does the command provide a signed copy of the completed/signed notification?				
64	Does the Commanding Officer of the command have SPCM Convening Authority (SPCMCA)?				
65	Are administrative board procedures used in accordance with MILPERSMAN 1910-502 through 1910-518?				
66	Does the command comply with MILPERSMAN 1910-702 to screen service member in an imminent danger pay area?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
67	Are all required documents included in transmittal to the Separation Authority?				
68	Is the letter of transmittal or naval message in the proper format in accordance with MILPERSMAN 1910-600?				
69	Does the command forward the completed case to Separation Authority per MILPERSMAN 1910-704?				
70	Does the command legal office retain the complete file on a separation for a minimum of 2 years?				
71	Does the command ensure the service member receives counseling if eligible and available before discharge?				
72	Does the command complete actions required by MILPERSMAN 1910-802 - 1910-812 prior to separation?				
73	Does the command transfer the service member to the appropriate Contiguous United States (CONUS) location for separation per MILPERSMAN 1910-812?				
74	Does the legal office maintain a copy of SECNAVINST 5820.8A?				
75	Does the legal office track requests for release of official information to be used in litigation?				
76	Does the legal office know who to contact if they have questions about how to respond to a request for information for litigation?				
77	Review files for requests for information for litigation.				

Department of Navy Internal Control Evaluation Checklist

18. Logistics Asset Management

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- DoD Manual 4160.21-M (Defense Material Disposition Manual)
- DoDI 4000.19 (Inter-service and Intra-governmental Support)
- SECNAVINST 7320.10 (DON Personal Property Policy and Procedures)
- OPNAVINST 5530.14 (Series) (Navy Physical Security and Law Enforcement Program)
- NWP 1-03.1 (Annex 3A Casualty Reporting)
- <http://WWW.HQ.NAVY.MIL/N3N5/NCC/CASREP.HTM>

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
A. Casualty Reporting (CASREP) Administration					
1	Have prior CASREP Command Inspection discrepancies been resolved and recommendations implemented?				
2	Does your organization have local instructions/directives governing CASREP procedures?				
3	Is the casualty identified properly as a CASREP?				
4	Was the CASREP submitted in a timely manner?				
5	Does the CASREP meet minimum activity internal distribution as required?				
6	Has a Job Control Number (JCN) been assigned?				
7	Have parts been placed on order?				
8	Is the message action and info addressing information correct?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
9	Is the CASREP serialization verified and correct?				
10	Does your organization CASREP log accurately reflect active CASREPS?				
11	Has the CASREP been electronically filed and saved?				
12	Has the CASREP been added to the weekly CASREP report and any additional locations?				
B. CASREP Initial					
13	Have action and info addressees for failed equipment/system been verified? Has the Allowance Parts List (APL) been identified? And is all information entered properly?				
14	Have the estimated date and time of repair been included?				
15	Has assistance, if required, been identified/requested?				
16	Has the APL been identified?				
17	Does the CASREP category properly reflect the urgency or priority of the casualty?				
18	Does the JCN properly reflect the UIC, Department Code, and Log Number?				
19	Have the technical publications used in conjunction with the identification of the equipment casualty been properly identified?				
20	Has all parts information been properly entered?				
21	Does the parts amplification reflect the reason the part is not onboard/not allowance?				
22	Does the Resource Management Knowledge System (RMKS) section identify the equipment/system and its status? - Has the action required to correct the casualty been identified? - Has the cause been identified? - Has the action taken and the process status been identified? - Has the command mission				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	impact statement been included? - Have the involved points of contact (including NAVFAC, SPAWAR, and contractors as appropriate) been included? - Have any existing Hazard Communication (HAZCON) condition(s) been included? - Is the information in the RMKS section clear/concise?				
C. CASREP Update					
13	Was the CASREP update sent at the required time interval?				
14	Has a new estimated date and time been provided as required?				
15	If required, has the CASREP category changed?				
16	If required, have additional parts been placed on order?				
17	If required, has the parts MILSTRIP information been revised?				
18	Does the RMKS section reflect the latest changes from the CASREP Initial message?				
D. CASREP Casualty Corrective Report (CASOR)					
19	- Was the CASREP CASCOR sent at the required time interval? - Was the delay in parts identified in the amplification section as required? - Were the total man-hours identified? - Was the total time to correct the failure identified? - Was the time since last failure identified? - Was the corrective action identified in the RMKS section? - Was the fundamental cause assessment and status of each failure identified?				
E. Administration					
20	Are all references cited above held by or available to the person(s) responsible for supply functions?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
21	Is a current and complete copy of NAVSUP Manual P485 Vol II instruction maintained in supply (including all changes)?				
22	Is a current Supply Department organizational chart, function statements, and manpower listing available?				
23	Is current personnel manning adequate?				
24	Is the training program effective for all Supply personnel?				
25	Are non-supply personnel who perform departmental/divisional supply duties included in general supply training?				
26	Have logistics procedures been established to satisfy emergency requirements after normal working hours?				
27	Is a current listing of all publications held/maintained?				
28	Are the publication requirements reviewed annually?				
29	Are outstanding requisition validation requests received from supply source accorded prompt and thorough handling?				
30	Is there a Command general training requirement in effect for the purpose and use of Uniform Materiel Movement and Issue Priority System (UMMIPS)?				
31	Are all personnel involved in assignment of priority designators attending this training?				
32	Is there a monthly UMMIPS performance report submitted to the Commanding Officer/Officer In Charge for review?				
33	Are the monthly UMMIPS reports being retained for 1 year for inspection purposes?				
34	After reviewing monthly UMMIPS reports, is there evidence of abuse in the assignment of priority designators?				
35	Are Reviews of previous GAO, Internal Audit, and inspection reports affecting your organization to identify				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	previous discrepancies found and corrective actions taken?				
F. General Supply					
36	Review all requisitions, ensure appropriated funds are not being used to purchase prohibited items.				
37	Are local procedures for the reporting of defective material obtained through the Supply System being adhered to in accordance with NAVSUP P-485 Vol.I?				
38	Is a complete list of all station Depot Level Repairable (DLR)'s available?				
39	Have DLR's held by maintenance or other Departments been signed for (sub-custody)?				
40	Are spare parts/equipment held within maintenance or operations spaces inventoried, tagged and properly protected/stored?				
41	Are all material turn-ins/disposals processed in accordance with the DoD Manual 4160.21-M?				
G. Defense Property Accountability System (DPAS) Instruction/Personal Property Policies Procedures					
42	Is your organization using DPAS as their property accountability system?				
43	Does the Personnel and Property Manager (PPM) have a letter of designation from the Commanding Officer?				
44	Does the PPM have a copy and are they familiar with the following instructions: - DoD Instruction 5000.64? - SECNAVINST 7320.10A? - Commander, Navy Cyber Force Instruction 7320.1 - Amplifying Navy/Marine Corps or local instructions/procedures?				
45	Do personnel who have left the organization still have passwords?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
46	Do the personnel who have valid passwords periodically sign onto the system?				
47	Are critical data fields populated with default data or not filled in at all? - Critical data includes; Price, Bar-code, Acquisition Date, Effective (receipt) Date, Depreciation Activation Date, Custodian Number, Location and Serial Number.				
48	Does the actual data in the critical data fields match what is on the documentation, on the asset, and otherwise accurate?				
49	Are there UICs of subordinate commands that have property in DPAS but no assigned DPAS personnel?				
H. DPAS Inventory and Accountability					
50	Does the PPM have a physical inventory management plan?				
51	Is there evidence that the PPM is managing to the physical inventory management plan?				
52	Are inventories scheduled and completed within the required periodicity?				
53	Is the property found in the PPM's area reported accurately in DPAS? (Floor to book accuracy)				
54	Can the property in DPAS be found on the floor? (Book to floor accuracy)				
55	Is there a copy of the last inventory completed on file?				
56	Is there a copy of the reconciliation report on file?				
57	Is there a copy of the research and actions implemented to correct problems?				
58	Is material properly identified with an Asset Id (Bar code) label using standard format within seven days of receipt?				
59	Is there a valid custodian number assigned to the material in DPAS?				
60	Is there a valid location				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	assigned to the material in DPAS?				
61	Are personal turnover procedures conducted properly? (e.g. are inventories, custody signatures, POC information updated in DPAS, etc.)				
62	Were relationships developed with and training provided to key personnel in receiving, contracting, shipping, accounting, etc., to ensure information important to accountability is relayed to the PPM in a timely fashion?				
63	Is there a local process to ensure the accurate recording of "Pushed" property?				
64	Are the following assets entered into DPAS and/or accounted for as appropriate? - Capital Assets > = \$100,000 - Minor Assets > = \$5,000 - Controlled Inventory Items (classified/sensitive) - Items meeting all of the following three criteria; pilferable, essential to command's mission, and hard to repair or replace - GFE (Government owned material furnished to a contractor to fulfill a contract)				
65	Is the custodian information correct? (e.g. name, email, phone, location)				
I. DPAS Documentation					
66	The PPM must have one of the following documentation available to support assets in DPAS: - A DD Form 1155 Order for Supplies or Services, which documents a purchase - A DD Form 250 Materials and Receiving Report, which documents receipt of a contracted item - A DD Form 1149 Requisition and Invoice/Shipping document which documents material transferred in from				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	another government activity - A lease agreement and associated documentation for valid capital and operating leases.				
67	Does a Fair Market Value (FMV) worksheet exist for assets where there is no documentation available to support the receipt?				
68	The PPM must have one of the following documentation available to support assets removed from DPAS over the past 36 months: - A DD Form 1348-1A Transfer/Turn-in to document a turn-in to DRMO or a transfer to another government activity - A DD Form 200 Financial Liability Investigation of Property Loss to document an item determined to be lost, missing, stolen, or damaged				
69	Is the price accurately recorded?				
70	Is the acquisition date, effective date (receipt date), and depreciation activation date all the same and in agreement with the receipt date on the documentation?				
71	Are capital assets activated for depreciation?				
72	Are non-capital assets not activated for depreciation?				
73	Do the assets recorded reflect the appropriate asset category?				
74	Are capital improvements and adjustments properly recorded?				
J. DPAS Training					
75	Have assigned DPAS personnel received/completed the appropriated training?				
76	Can assigned DPAS personnel provide copies of training certificates or show their progress in the DPAS Learning Management System (LMS) online?				
77	Are there current DPAS training manuals available?				
78	Do personnel know how to access				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	and are they familiar with the Navy PP&E web page?				
K. Material Storage					
79	Are housekeeping efforts in effect to ensure clean, orderly and safe storage?				
80	Has an adequate locator system been developed?				
81	Are all operators of materials handling equipment properly licensed?				
82	Are all spares/equipment properly tagged, separated, protected and inventoried?				
83	<p>Is there a check-off list for securing the supply storerooms? At a minimum, does it contain the following?</p> <ul style="list-style-type: none"> - Security cages/containers closed and locked - Key(s) turned in and secured - All unnecessary interior lights turned off - Exterior security lights turned on. (Replace burned out bulbs) - All trashcans emptied - All fire doors closed - All windows closed and secured - All doors closed and secured - All electrical appliances turned off - In the morning, all exterior lights are turned off? 				

Department of Navy Internal Control Evaluation Checklist

19. Information Assurance / Information Technology

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- DoD 8570.01-M (IA Workforce Improvement Program)
- DoD 5105.21-M-1 (Sensitive Compartment Information Administrative Security Manual)
- DoD 8510.01 (DIACAP)
- Joint DoDI Information Security (IS)/Cryptographic SCI Information Systems (IS) Security Standards
- DON IA 5239-26 (IA Remanence Security Publication)
- SECNAVINST 5510.36A (DON Information Security Program Instruction)
- SECNAV M-5510.36 (DON Information Security Program)
- SECNAV M-5510.30B (DON Personnel Security Program (PSP) Instruction)
- SECNAV M-5239.1 (DON IA Program Manual)
- National Security Agency (NSA)/Central Security Service (CSS) MAN 130-1 (Operational IS Security Manual)
- IGDINST 5200.1 (DoD IG Information Security Program)
- Federal Information Security Management Act (FISMA) Title III, Information Security
- Director of Central Intelligence Directive (DCID) 6/3, Protecting Sensitive Compartment Information within IS
- Chairman of the Joint Chiefs of Staff Manual (CJCSM) 6510.01, IA and Computer Network Defense
- Computer Tasking Order (CTO) 08-05 Ser A, Policy on Use of DoD IS | Standard Consent Banner and User Agreement
- Naval Security Group (NSG) Trusted Facilities Manual
- Sharing Peripherals Across the Network (SPAN) STIG V1 R1, SPAN
- Navy Telecommunications Directive (NTD) 07-07, File Transfer Between Security Domains

Department of Navy Internal Control Evaluation Checklist

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
A. IS Security Program Management					
1	Has an IS Security Program (ISSP)/ IA Program (IAP) been established and is it available to all command personnel?				
2	Has the ISSP been signed by the CO?				
3	Is the IS Security Manager (ISSM)/IA Manager (IAM) appointed in writing?				
4	Has the letter been forwarded to NSG Command (CNSG) ISSP Managers (ISSPM)?				
5	Is your organization ISSM a full-time/primary position?				
6	Does the ISSM/IAM have direct access to the CO to advise on issues relating to IA/Information Security (INFOSEC)?				
7	Have IS Security Officer (ISSO)/IAO been appointed in writing? (If NO or N/A, skip the next question.				
8	Are positions established for key IA/INFOSEC personnel and are they defined in the activities ISSP?				
9	Are signs posted throughout the organization with the names and phone numbers of the Security Officers and IA/INFOSEC personnel?				
10	Are supervisors and senior managers enforcing good security practices outlined by the activities ISSP/ISP?				
11	Have Activity ISSM/IAM and ISSO/IAO(s) completed appropriate training course(s): <ul style="list-style-type: none"> - National Cryptologic School ND-225 course, "Operational IS Security"? - Operational IA OIAC 2224 & 2225 (NSA)? - Navy Information Systems 				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	Security Manager (NEC-2779)? - Have IAM/IAT personnel been assigned to a level and been entered into the IAWF database? - Have IAM/IAT personnel completed a Certification Training Global Information Assurance Certification (GIAC) Security Leadership Certification (GSLC), Certified Information Systems Security Professional (CISSP), Certified Information Security Manager (CISM) - Have contract personnel fulfilling IA functions been entered into the Defense Eligibility Enrollment System (DEERS)?				
12	Have USERS completed Training: - (GENSER) Annual IA Awareness (DOD-IAA-V5.0/V6.0)? - (SCI) Annual Security Briefing? - (NSA) Introduction to Operational IA OIAC 1170				
13	Has an annual IA self-inspection been conducted and documented by the ISSM/IAM?				
14	Has the CO been provided results of the self-inspection?				
15	Have identified deficiencies been documented and corrected?				
16	Are new users briefed on activity IA policies, procedures and practices prior to account activation?				
17	Does the ISSM/IAM ensure user participation in Annual IA/INFOSEC awareness refresher training and documents results?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
18	Are procedures established for user account activation/creation?				
19	Are completed "User Acknowledgement" forms maintained?				
20	Are procedures established for privileged user account activation/ creation?				
21	Are completed "Privileged User Acknowledgement" forms maintained?				
22	Are procedures established for account deactivation and/or deletion?				
23	Are activity incident and violation reporting procedures established and briefed?				
24	Are the results of security incidents/violations investigated, reported In Accordance With (IAW) applicable regulations, and reviewed to determine whether changes to IS policy/procedures are required?				
25	Are personnel held accountable for IS incidents and violations?				
26	Is a functional Configuration Management Program in place?				
B. Accreditation and Certification					
27	Has a System Security Authorization Agreement (SSAA)/Systems Security Plan (SSP) been developed for all ISs?				
28	Does each operational system possess a current Approval to Operate (ATO), Interim ATO (IATO) or Interim Approval to Test (IATT)?				
29	Is/are the SSAA(s)/SSP(s) updated?				
30	Have all external connections to installed ISs been validated and approved by the DAA/DAA Rep/SCO through the ISSPM?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
C. IS and Network Security					
31	Is only authorized software being used (i.e., Navy Enlisted System approved baseline, IT21 Gold (for Navy Marine Corps Intranet (NMCI), etc.)?)				
32	Are the ISSM/IAM, ISSO/IAOs/SAs, and users knowledgeable of virus protection procedures?				
33	Is anti-virus software loaded on all ISSs?				
34	Are anti-virus signature file(s) up to date?				
35	Are all IA Vulnerability Alerts (IAVA)/ Bulletins (IAVB)/ Technical Advisory (IAV-TA) required actions (e.g., s/w patched, countermeasures) completed, verified and documented?				
36	Has a waiver been requested/granted for IAVA/IAVB/IAV TA non-compliance items?				
37	Is your organization following the auditing policy procedures prescribed in the NSG Trusted Facilities Manual? If not, does your organization have a published auditing policy?				
38	Is system auditing enabled IAW established policy?				
39	Are audit reviews limited to the ISSM/IAM, Alt ISSM, ISSO/IAO, or SA personnel?				
40	Are audits reviewed weekly, at a minimum?				
41	Are summary reports and SCI system audits being maintained for 5 years?				
42	Are the following events audited according to parameters outlined in the Joint DoDIIS: - Invalid logon attempts showing an abnormal number of aborted access attempts by the same user, or from the same terminal?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	<ul style="list-style-type: none"> - Access to the system during non-duty hours? - Attempts to use special privileges (e.g., SUPERUSER, administrator) for activities other than system restoration (e.g., changing users' accesses or privileges)? - Movement of data to information storage media? - Invalid file access attempts to include READ, WRITE, EXECUTE and DELETE? - Invalid access attempts to Audit Trail files? - Override attempts of computer generated output classification markings? 				
43	Is the Access Request and Verification Roster acknowledged and signed?				
44	Is it validated annually?				
45	Is it updated?				
46	Does your organization comply with the NSG Trusted Facility Manual password policy?				
47	Are passwords suppressed when entered?				
48	Are passwords changed when other conditions (e.g., a change in job status, TDY over 60 days, compromise) occur?				
49	Have all system default passwords been deleted/changed?				
50	Are password files protected from modification or unauthorized access?				
51	Are users required to log off all workstations at the end of each workday?				
52	Are workstations Cryptographic Log On (CLO) Enabled?				
53	Do workstations have Cherry Keyboards/ Common Access Card (CAC) readers?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
54	Are the ISSO/IAOs/SAs implementing the appropriate countermeasures to protect against vulnerabilities? (e.g., ACLs on routers, blocking .exe files at the exchange server, firewall in use, etc.)				
55	Are procedures in effect to ensure the proper classification markings of all computer-generated products? (i.e., printouts marked with document classification, files tagged based on classification)				
56	Are IS components (CPU, monitor, printer, scanner) marked with appropriate classification labels and monitoring labels (e.g. 700-series or equivalent)?				
57	Are automated warning banners displayed and acknowledged on all networked and stand alone DoD ISs (government and contractor) before each successful logon?				
58	Is formal documentation used (e.g., G6522 or equivalent form) to record all IS release actions?				
59	Are they completed by appropriate IS personnel?				
60	Are DD-254s reviewed periodically to validate contractor access to data on SCI ISs?				
61	Has an IS Contingency Plan been developed?				
62	Has it been successfully tested in the past year? If YES, answer the following: - Have lessons learned been documented? - Has a POA&M been developed to correct deficiencies? - Has it been periodically reviewed and updated?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
63	Does the Contingency Plan address specific actions required for: - Limited Loss of IS capabilities? - Interruption of IS operations? - A major destruction, disruption or damage to the IS facility and or ADP media, (i.e., natural disasters, fire, catastrophic loss of climate control systems or support equipment and hostile action)?				
64	Do three consecutive unsuccessful login attempts from a single access port or against a single user ID result in the terminal or user ID being disabled?				
65	Are file permissions managed to limit access to stored data?				
66	Are system privileges limited to those necessary to perform assigned tasks (e.g. SUPERUSER, System Programmers, etc.)?				
67	Is Screen Lock activated on Key Board/Video/Mouse (KVM)?				
68	Are unclassified ISs connected directly to the public telephone network? If YES, has approval been received from proper authority?				
69	Are only approved KVM/Key Board/Monitor/Mouse (KMM) switches used?				
70	Are KVM/KMM switches installed between IS connected to a network, or another IS, of a different classification level?				
71	Has the KVM/KMM switches use been approved by proper authority?				
72	Are appropriate procedures implemented, available to users, and followed in using KVM/KMM switches?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
73	Are KVM/KMM user agreements signed and on file?				
74	If an IS is connected to a Secure Terminal Equipment (STE) data port, has permission been received from the proper authority?				
75	Is the Auto Answering feature of all STEs configured in accordance with applicable policy?				
76	If Auto Answering is enabled, has the proper authority approved its use?				
77	Are all critical systems backed up by an Un-interrupted Power Supply (UPS) system?				
78	Is the Red/Black proximity and separation criteria being strictly enforced?				
D. IS Maintenance					
79	Has a maintenance policy and procedure been developed and implemented?				
80	Are maintenance personnel appropriately cleared?				
81	Are policy and procedures in place to address uncleared maintenance requirements?				
82	Are uncleared maintenance personnel U.S. citizens?				
83	Is approval on file for use of un-cleared non-U.S. citizens for maintenance?				
84	Are uncleared maintenance personnel escorted by fully cleared and technically qualified personnel?				
85	If classified components are being removed from the SCIF, are they purged/downgraded or sanitized/ declassified properly?				
86	Are these actions appropriately documented?				
87	Are storage media removed from ISs prior to being released for service or repair?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
88	Are areas sanitized prior to maintenance performed by unclear personnel?				
89	Are controls in place for diagnostic hardware or software?				
90	Are remote access maintenance diagnostics or services utilized? If YES, are keystroke monitoring procedures implemented and utilized?				
E. Declassification					
91	Are policy and procedures implemented for storage media degaussing, downgrading, declassification and/or destruction?				
92	Are procedures in effect to ensure the calibration requirements for degaussers are being followed and that they are operating effectively?				
93	Are only approved degaussers utilized for the declassification of magnetic media?				
94	Are toner cartridges properly cleared before disposal or recycling?				
F. Information Storage Media Control					
95	Have policy and procedures been implemented for the introduction and removal of storage media into and out of secure facilities IAW national policy?				
96	Has the co publicized/developed policy identifying the level of control and accountability of information storage media in the organization?				
97	Have procedures been developed for the control of information storage media IAW national-level policy?				
98	Are media marked and labeled with the correct classification and handling				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	instructions (i.e., Standard 700 series labels or equivalent, Privacy Act, Special Access Programs (SAP), etc.)?				
99	Does the ISSM ensure excess or obsolete commercial software is free of classified information prior to release or reuse?				
100	Does your organization utilize data transfer procedures?				
101	Are reused removable media used at the same or higher classification level?				

Department of Navy Internal Control Evaluation Checklist

20. Managers' Internal Control Program

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- SECNAVINST 5200.35E (DON MIC Program)
- SECNAV M-5200.35 (DON MIC Manual)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
1	Has the MIC Coordinator been designated in writing by your organization's leadership?				
2	Has the Alternate MIC Coordinator been designated in writing by your organization's leadership?				
3	Has the MIC Coordinator of your organization completed training for MIC Program Coordinators?				
4	Has the Alternate MIC Coordinator completed training for MIC Program Coordinators?				
5	Has your organization's leadership completed MIC Program Training for Managers?				
6	Were assessable units (AU) assessed within the MIC program reviewed from previous years to determine if all AU's are still required? Were new AU's added?				
7	Were checklists reviewed prior to self-assessments being conducted to determine if they align with governing directives (i.e. have any updates				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	superseded prior guidance or improvements required to be made to the checklist)?				
8	Were corrective actions or findings from external audits from prior years reviewed during the self-assessments?				
9	Does your organization have a MIC Plan?				
10	Was the MIC Plan signed by the responsible person of your organization?				
11	Has the current year's MIC program schedule been determined?				
12	Is the current year's MIC program schedule on track for completion of self-assessments?				
13	Has your organization designated assessable units (categories) to track within their MIC program?				
14	How many assessable units (categories) has your organization designated to track within their MIC program?				
15	How many self-assessments were performed in the last fiscal year?				
16	Does the MIC program assess all key command programs and functions?				
17	Has your organization identified owners for each of the assessable units (categories)?				
18	Has your organization established a tracking mechanism for completion of the self-assessments?				
19	Are assessable units assessed for level of risk?				
20	Are high risk assessable units self-assessed at least once a year?				
21	Have internal controls been identified for assessable units (categories) if applicable to ensure they are in line with governing directives?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
22	Are internal controls being monitored on a periodic basis for each of the assessable units (categories) if applicable to ensure continuity?				
23	Are improvements in tracking internal controls being planned?				
24	Is the person in charge briefed periodically on progress of the MIC Program and the corrective actions identified?				
25	Are the internal controls for your organization's focus areas being monitored?				
26	Are deficiencies (including risks and corrective actions) identified to determine whether they are Material Weaknesses, Reportable Conditions, or Items to be Revisited?				
27	Are adequate internal controls in place for risks identified? (or) Do risks identified without adequate internal controls have corrective actions in place to develop or improve internal controls?				
28	Are risks prioritized for risk assessment and mitigation planning?				
29	Does your organization track risks associated with each MIC category? (Note: All risks will not be identified as a result of the self-assessment checklists - such as future personnel turnover)				
30	Were deficiencies identified through outside/external assessments included in the corrective action tracking for the MIC program?				
31	Has your organization established a mechanism for tracking corrective actions identified through the MIC				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	self-assessment process?				
32	Is your organization actively tracking corrective actions? How many corrective actions were identified in the last 12 months? How many corrective actions were closed/completed in the last 12 months?				
33	Are completed corrective actions sustained?				
34	Did your organization submit a MIC Statement of Assurance within the past year?				
35	Was the Statement of Assurance submitted by the due date required by the receiving command?				
36	Were Material Weaknesses identified? - Were identified Material Weaknesses corrected? - Are uncorrected Material Weaknesses being tracked with the corrective actions? - Do Material Weaknesses have milestones assigned? Are milestones being met?				
37	Were Reportable Conditions identified? - Were identified Reportable Conditions corrected? - Are uncorrected Reportable Conditions being tracked with the corrective actions?				
38	Were Items to be Revisited identified? - Were corrective actions assigned which are associated with Items to be Revisited? - Were Items to be Revisited included in the next planned cycle of self assessments for the command?				
39	If your organization has subordinate commands, did				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	prior year's Statement of Assurance include subordinate command MIC review as part of the Statement of Assurance submitted?				

Department of Navy Internal Control Evaluation Checklist

21. Message Center and Defense Messaging System

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- SECNAVINST 5040.3 (Naval Command Inspection Program)
- SECNAVINST 5510.30B (DON PSP Instruction)
- SECNAVINST 5510.36A (DON Information Security Program Instruction)
- DISA Circulars and Interim Procedures
- Defense Communications Agency (DCA) Operation Plan (OPLAN) 1-84
- DON DMS Release (version 3.1.3)
- OPNAVINST 2300.42
- OPNAVINST 3120.32C
- OPNAVINST C5510.101D
- OPNAVINST 5605.19J
- Network Time Protocol (NTP)-3 SUPP-1(L) and 3(J)
- NTP-4 SUPP-2 (Draft) and 4(E)
- NTP 21 SUPP 1
- NTP 22
- Allied Communications Publications (ACP) 117, 128(A)
- System Design Architecture 3.1 Certificate Authority
- Type 2 Cryptographic Support Server (T2CSS) Implementation Guide
- Certificate Implementation Guide V3.0
- System Administrator/Information System Security Officer Procedural Handbook
- Career Management System (CMS) 9
- Electronic Key Management System (EKMS)-1 (B)

Department of Navy Internal Control Evaluation Checklist

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
A. Administration					
1	Are Watch Officer's designated in writing?				
2	Are there an adequate number of qualified personnel (75%) in all watch sections?				
3	Are access lists current and Superseded as appropriate?				
4	Does the CO sign access lists? If no, has this responsibility been designated out in writing?				
5	Are access lists posted conspicuously and in close proximity to the entrance of classified communications spaces?				
6	Are master lists of individuals having routine access to classified communication spaces identified with a minimum of name and rank of authorized personnel; level of clearance and access authorized; and specific function/ spaces?				
7	Are master lists updated as personnel changes occur?				
8	Are master lists destroyed immediately after supersession?				
9	Are Visitor register logs maintained?				
10	Do Visitor logs reflect the following information? - Date - Visitor's printed name - Rank/rate/civilian - Organization - Purpose of visit - Visitor's Signature - Person authorizing visit (signature) - Escort's name - Time in and Time out				
11	Are visitor register logs retained for a minimum of 2 years?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
12	Are safe combinations to security containers known to only those personnel who are properly cleared and authorized access?				
13	Are combinations to security containers changed at least bi-annually or sooner if the combination has been compromised or an individual holding the combination transfers from the command or no longer requires it?				
14	Are safe combinations to security containers sealed and stored elsewhere for emergency access?				
15	Are System Administrator and ROOT passwords sealed and stored for emergency access?				
16	Do SOPs exist for the operation of the message center and the DMS Service Provider (DSP)?				
17	Is there an ongoing program for periodic SOP review to ensure SOPs are current and applicable?				
18	Are all SOPs signed by the Appropriate authority?				
	Are SOPS organized by the following categories? - ALFA - Administration - ECHO - Emergency - INDIA - Information - OSCAR - Operational - ROMEO - Reports - Tango - Training				
19	Are the minimum SOPs maintained?				
20	Are joint SOPs available to provide guidance for major exercises and evolutions in which one or more divisions participate?				
21	Are procedures in place for processing, transmitting and stowing Top Secret, SPECAT and other special handling messages?				
22	Do Top Secret message control procedures exist?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
23	Are message pick-up/deliver authorization lists current and complete?				
24	Are logs and files maintained as required? - Message Center files (30 days)? - General Message files (when canceled or superseded)? - Master Station logs (12 months)? - Watch to Watch inventory (30 days)?				
25	What safeguards are in place to ensure message processing continuity? What are the checkpoints?				
26	Is there an effective and timely method of traffic checking?				
27	Are procedures in place for notifying commands of high precedence traffic?				
28	Are there contingency plans for circuit restoration when circuits/systems fail?				
29	Are operators familiar with stations designated as ALTRROUTE sites during system and/or circuit outages?				
30	Are proper tracer procedures being performed?				
31	Are services handled properly in a timely manner?				
32	Does the imposition of MINIMIZE get promulgated to subscribers in a timely manner? IF yes, how?				
33	Are general messages maintained?				
34	Does the general message clerk retain an accurate listing of what messages are available?(Online)				
35	What methods does the General Message File (GMF) clerk use to attempt to recoup lost GMF's?				
36	Do the files contain a copy of all effective general				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	messages which require retention based on the communication center's current guard list?				
37	Is the Master Station log maintained in a chronological order to record significant events?				
38	Are logs automated or manual? If manual, why?				
39	Does the shift supervisor sign on and off the log?				
40	Does the Master Station Log include the following types of information: - Power failures - Complete system outages - Major equipment outages - Major equipment impairments such as, HAZCONS and other events that impact on operations - Time verification - Shift/watch turn-over - Special tests				
41	For automated logs: Does the system use a password system which requires each supervisor to log "on" and "off" duty and at the end of each RADAY?				
42	For manual logs: Does the supervisor sign "in" and "out" of the log? - Are there erasures on the log? - When an error occurs - does the OPR line out the incorrect entry with a single line and initial beside the correction or in the right hand margin? For automated logs: Are all entries saved upon completion and non-editable?				
43	Are Master Station Logs identified with appropriate classification markings?				
44	Are watch-to-watch inventories (COMSEC and				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	Naval Warfare Publications Library (NWPL)) jointly conducted by the off going and oncoming watches?				
45	Does the relieving watch sign the watch-to-watch inventory?				
46	For centers utilizing COMSEC material: a. Review CMS Watch to Watch inventory b. Review Command EAP or EDP, as applicable				
47	Are "as occurring" SITREPs submitted to the JFTOC Watch Sup and forwarded to JFTOC in a timely manner, correct format and meet the required criteria?				
48	Are procedures in place for processing message traffic during backlog situations?				
49	Where PCMT capability exists, are messages being processed in accordance with NTP-3?				
50	If hard copies are given, is reproduction equipment marked with the highest level of classification authorized?				
B. Training					
51	Is a quarterly emergency destruction drill or an Emergency Action Plan (EAP) drill conducted and formally critiqued by each watch section?				
52	Have all personnel who handle COMSEC material completed CMS Personal Qualification Standards (PQS)?				
53	Are training schedules posted for all hands to review?				
54	Do PQS progress charts contain all watch stations applicable to the Message Center?				
55	Are all personnel listed by rank and alphabetical order?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
56	Does the TPO update the progress chart periodically?				
57	Are PQS qualifiers designated in writing and are the list visible to all personnel?				
58	Are reasonable goals set for personnel to meet their qualification dates?				
59	Is a long and short range training schedule posted?				
C. Defense Message System/Naval Regional Enterprise Message System					
60	Can operators prepare and transmit messages using Common Message Processor (CMP) and Naval Regional Enterprise Message System (NREMS)?				
61	Does the DSP take action, as needed, to alleviate or correct problems?				
62	Does the DSP monitor and evaluate the operational impact of actual or potential disruptions or degradations?				
63	Do all automated systems I use have adequate back-up capability?				
64	Are DSP personnel familiar with actions to be taken in the event of a contingency or significant communications failure?				
65	Does the DSP have systems diagrams depicting traffic flow through the facility available in the operation area of the TCF to aid restoration and troubleshooting efforts?				
66	Does the System Administrator have access to the Deployable Autonomous Distributed System (DADS) and DISA web site?				
67	Are NREMS Administrators identified, assigned, and available?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
68	Are NREMS Administrators trained on Trouble Ticket and Message Trace procedures?				
69	Are system backups being performed on a regular basis?				
70	Are messages being disseminated in a timely manner?				
D. Certificate Authority Workstation (CAW) MANAGER					
71	Are the CAW references on file and readily available?				
72	Are all CAW operators certified in writing by NSA?				
73	Are all CAW System Administrators certified in writing by NSA?				
74	Does the CAW Manager send notification messages to commands indicating upcoming expiration of certificates?				
75	Does the CAW Manager send notification messages to commands indicating upcoming expiration of certificates?				
76	Is there an access list for trained CAW users to log in to the CAW stations?				
77	Does the System Administrator for the CAW complete Audits in a timely manner?				
78	Does the CAW System Administrator perform backups as required?				
79	Does the CAW System Administrator maintain an inventory of all backup media?				
E. Navy Interface For Command Email (NICE)					
80	Can operators prepare and transmit messages using CMP and Command Email?				
81	Do the NICE Administrators take action, as needed, to alleviate or correct problems?				
82	Do the NICE Administrators monitor and evaluate the				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	operational impact of actual or potential disruptions or degradations?				
83	Do all automated systems in use have adequate back-up capability?				
84	Are watch personnel familiar with actions to be taken in the event of a contingency or significant communications failure?				
85	Are NICE Administrators identified, assigned, and available?				
86	Are NICE Administrators trained on Trouble Ticket and Message Trace procedures?				
87	Are system backups being performed on a regular basis?				
88	Are messages being disseminated in a timely manner?				
F. Naval Warfare Publications Library (NWPL)					
89	Does the message center or DSP maintain an NWPL library?				
90	Has the command allowance been verified against OPNAVINST 5605.19J?				
91	Has the NWPL Custodian been designated in writing?				
92	Does the NWPL Custodian hold a security clearance commensurate with the highest classification of publications in the NWPL?				
93	Has the NWPL Custodian been formally granted access to NATO Publications and briefed using OPNAVINST C5510.101 (series)?				
94	Is the Custody File maintained as an up-to-date record of the holders/users and the location of all publications maintained in the NWPL?				
95	Is there only one publication edition on each catalog card (OPNAV Form 5070/11)?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
96	Are superseded cards retained for a minimum of two years?				
97	Does the Administrative File contain copies of all correspondence, Naval Publications (NAVPUB) messages, Inventory Lists, Pending Change Files, Access List, and Publication Notices?				
98	Does the file contain designation /relief letters for the NWPL Custodian and Clerk?				
99	Does the file contain a Correspondence File which contains all correspondence relating to the NWPL and its publications, both internal and external, received or generated by the command?				
100	Does the Correspondence File contain a copy of the program related logistics?				
101	Does the Correspondence File contain an access list identifying those individuals who have been granted access to the NWPL?				
102	Does the file contain a complete inventory of the account including changes for each publication?				
103	Are inventories conducted at least annually?				
104	Has an inventory been conducted since the last change of command?				
105	Has an inventory been conducted since relief of the last NWPL Custodian?				
106	Does the watch conduct an inventory of the NWPL?				
107	Does the off-going and on-coming watch both verify all publications and items on the inventory are sighted and accounted for?				
108	Is NWPL Catalog Cards signed by personnel accepting responsibility for the publication and				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	accuracy of (no pending changes) its content?				
109	Is OPNAV Form 5070/12 signed by sub-custodian accepting responsibility for any changes received after initial issue?				
110	Are Change Entry Certification forms (OPNAV 5070/12) used to annotate "PENDING CHANGES?"				
111	Are Change Entry Certification forms (OPNAV 5070/12) used to annotate "COMPLETED CHANGES?"				
112	Are publication notice route slips or local memoranda used to notify Cognizant offices and other personnel of new publications or changes to publications?				
113	Are required destruction methods used?				
114	Is required destruction documentation completed?				
115	Does the Command's EAP contain viable procedures for the NWPL?				
116	Is a copy of the Command EAP in the "Administrative File"?				
117	Does it contain a GMF check off sheet used to record the status of all NAVPUB GMFs to ensure no corrections or directives are missed?				
118	Are personnel granted access to North Atlantic Treaty Organization (NATO) Publications briefed using Appendix B of OPNAVINST C5510.100?				
119	Is a list of personnel granted access to NATO Publications on file?				
120	Has an inspection of the NWPL been conducted?				
121	Is the Custodian an officer, senior petty officer, or DoD civilian?				
122	Does each NWPL Clerk hold a copy of NTPP 1-01?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
123	Are publications handled and stored as required?				
124	Are NATO publications and records maintained and stored separately from other publications?				
125	Is positive accountability of all classified and unclassified publications controlled through the use of signed receipts? (OPNAV Form 5070/11)				
126	Has the NWPL Custodian provided annual training to Clerks, Holders (sub-custodians) and users?				
127	Are NWP's readily available to all cleared personnel who require reference to their contents?				
G. Assistant Inspector General (AIG)/ Collective Address Designator (CAD)/Publications/PLA MANAGEMENT					
128	Are changes to ACP-117 submitted in adequate time for the weekly updates to become affective as required by ACP-117 SUP-1?				
129	Are changes processed to ensure National Organization of Veterans' Advocates (NOVA) Hubs are programmed for automatic CRI routing of receiver to participating units in accordance with ACP-117?				
130	Is documentation for all Navy, Coast Guard, Marine Corps, AUTODIN terminals programmed to receive CRIs maintained as required?				
131	Are updates, corrections, and deletions accomplished in a timely manner in accordance with NTP-3?				
132	Are members aware of POC at Master Update Authority in the event of an error or questionable change per NTP-4 SUPP-2?				
133	Are recapitulations and modifications maintained on all AIGS/CADS?				

Department of Navy Internal Control Evaluation Checklist

22. Operational Security

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- DoD Directive 5205.02, 6 March 2006 (DoD Operations Security Program)
- DoD Manual 5205.02-M, 3 November 2008 (DoD Operations Security Program Manual)
- OPNAVINST 3432.1A (Operations Security)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
1	Has your organization appointed in writing an Operations Security (OPSEC) program Manager, Coordinator or Officer at the appropriate level?				
2	Is the OPSEC Program Manager, Coordinator or Officer someone who is familiar with the operation aspects of your organization including the supporting intelligence, counterintelligence, and security countermeasures?				
3	Has the OPSEC Program Manager Coordinator or Officer completed the appropriate training?				
4	Does your organization have an OPSEC support capability providing for the program development, training, assessments, surveys and readiness training?				
5	Has the OPSEC Program Manager, Coordinator or Officer developed local OPSEC guidance (regulations				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	for operating procedures) for use in the OPSEC analytic process?				
6	Has the OPSEC Program Manager, Coordinator or Officer conducted an annual review and validation of your organization's OPSEC program?				
7	Does the OPSEC Program Manager, Coordinator or Officer ensure OPSEC assessments and surveys are conducted?				
8	Does the OPSEC Program Manager, Coordinator or Officer provide sufficient support for subordinate units he or she has oversight for?				
9	Is the OPSEC Program Manager, Coordinator or Officer involved in the review process of information intended for public release?				
10	Has your organization ensured critical information is identified and updated as missions change?				
11	Has the OPSEC Program Manager, Coordinator or Officer established, implemented, and maintained effective OPSEC education activities to include initial orientation and continuing and refresher training for assigned members?				
12	Does the OPSEC Program Manager, Coordinator or Officer activity ensure OPSEC is included in activities preparing, sustaining, or employing U.S. Armed Forces during war, crisis or peace, including research,, development, test and evaluation; special access programs; DoD contracting; treaty verification;				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	nonproliferation protocols; international agreements; force protection; and release of information to the public, when applicable?				
13	Does the OPSEC Program Manager, Coordinator or Officer work with Critical Infrastructure Program (CIP) planners to identify critical information related to CIP??				

Department of Navy Internal Control Evaluation Checklist

23. Performance Management

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- SECNAVINST 12430.4 (DON Performance Management Programs)
- OPNAVINT 12430.3 (Performance Management)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
1	Have clear performance objectives been established for all employees by their current supervisors?				
2	Are employees given regular feedback on their performance, and counseled when problems arise?				
3	Are employees given a timely annual performance rating?				
4	Do supervisors conduct and document, at a minimum, one progress review midway through the appraisal period?				
5	Does the central authority review ratings reviewed to assure standards are applied fairly and comparably across the organization?				
6	Are supervisors establishing and discussing performance objectives with their employees within 30 days after the beginning of each appraisal cycle?				
7	Are supervisors providing their employees with a copy of their performance plan within 30 days after the beginning of each appraisal				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	cycle?				
8	Are supervisors preparing closeout rating if either the employee or the supervisor leaves the position prior to the end of the cycle?				
9	Has an instruction been published describing policy for recommendation and approval of performance awards? If yes, what is the policy?				
10	Do amounts and distribution of performance awards fairly reflect the contributions of employees?				
11	Does your organization have a procedure or process to address poor performance? (Note: do not address disciplinary questions.)				
12	Is your organization notifying the Employee Relations Office or the Servicing Personnel Office for guidance on the procedural requirements when an employee's performance is determined to be unacceptable?				

Department of Navy Internal Control Evaluation Checklist

24. Security Inspection - Personnel

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- DoD 5105.21.M-1 (Sensitive Compartmented Information (SCI) Security Manual)
- DoD S-5105.21-M-1 (Navy Supplement)
- SECNAV M-5510.30 (Personnel Security Program)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
1	Do all personnel have the required investigation based on their position?				
2	Are periodic investigation submitted on time to meet the 5-year requirement for Single Scope Background Information-Periodic Reinvestigation (SSBI-PR) and the 10-year requirement for National Agency Check with Law and Credit Checks (NACLC)/Access National Agency Check with Inquiries (ANACI)?				
3	Do all personnel have the proper clearance/investigation waivers required before being assigned to a sensitive position?				
4	Do all personnel In/Out process through Security?				
5	Has a program been developed to ensure supervisory personnel are familiar with their special responsibilities in matters pertaining to personnel security?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
6	Does your organization conform to the Need-to-know principle & the Non-Disclosure Statement/Agreement?				
7	Does your organization ensure Foreign National (FN) Vetting (Local) of FN's employed by DoD organizations overseas are subject to the proper records checks?				
8	Are there written procedures whereby Foreign National System Access requests are documented and permitted only after a review by security?				
9	Is there a Foreign National contact officer appointed to control the activities of all foreign personnel?				
10	Is the Security Official conducting arrival interviews?				
11	Is there a record verifying SCI indoctrinated personnel have executed an SCI Navy Data System (NDS) (DD Form 1847-1)?				
12	Is a copy maintained in the individuals' local security file?				
13	Is the Security Official verifying eligibility utilizing Joint Personnel Adjudication System (JPAS)?				
14	Are all personnel designated with proper IT designators?				
15	Are all DoD military and civilian positions designated, and coded to reflect the clearance level/ sensitivity required?				
16	Is a copy of the civilian designators maintained in the security office?				
17	Is there a procedure in place where legal, personnel, medical, command financial counselor, family advocacy, and the DAPA know				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	when and how to notify the SSO about SCI cleared personnel in situations which may have security significance? (Not their decision; the SSO's)				
18	For Activities with separate Security Manager & SSO: Is there proper coordination between all Security Officials?				
19	Does the SSO and the Security Manager keep each other appraised regarding security clearances & SCI eligibility?				
20	Does the appropriate Security Official personally advise an individual if they have been granted a conditional clearance and what the conditions are?				
21	Are debriefs properly executed in accordance with 5510.30 and/or the NAVSUP publication?				
22	Is the Security Official aware if individuals whose access is suspended may not be transferred without prior approval?				
23	Is the Security Official familiar with the reporting requirements for those found employing the use of countermeasures during polygraph examinations?				
24	Is the Security Official forwarding an unabridged personnel security file to the gaining Activity?				
25	Are proper procedures followed in debriefing personnel departing on emergency leave?				
26	Does Security Manager demonstrate awareness of the requirement to report information of personnel security significance as outlined in Part I of the Security Access Eligibility Report (SAER) even though				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	it may have been deemed an isolated incident?				
27	Are proper procedures followed in debriefing personnel departing on emergency leave?				
28	Is the Security Official aware of the reporting responsibilities associated with the misuse of the government credit card?				
29	Is an adequate tickler system in place for open personnel security issues requiring command action?				
30	Are the Security Officials familiar with approval requirements for personnel nominated to participate in NCIS Cooperating Witness Program?				
31	Do Security personnel perform duties conflicting with or hindering completion of their security responsibilities?				

Department of Navy Internal Control Evaluation Checklist

25. Security Inspection – Physical

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- DoD 5105.21.M-1 (SCI Security Manual)
- DoD S-5105.21-M-1 (Navy Supplement)
- SECNAVINST 5500.29C (Use of Deadly Force)
- OPNAVINST 5530.14E (Physical Security and Law Enforcement)
- OPNAVINST 5530.13C (Physical Security for Arms, Ammunition, and Explosives (AA&E))
- Intelligence Community Directive (ICD) 705 (Physical Security Standards for SCI Facilities (SCIF))
- Naval Sea Systems Command Instruction (NAVSEAINST) 8370.2A

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
1	Is there a physical security program in place to provide guidance and the means to counter threats during peacetime, transition to war, and in wartime?				
2	Is the Intrusion Detection System (IDS) being monitored by U.S. citizens who have received a trustworthy determination?				
3	Is the Protected Distribution System (PDS) certified?				
4	Is the PDS being inspected as required?				
5	Is there a program to ensure safes/vaults/secure rooms are properly managed?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
6	Do vaults and secure rooms meet all DoD construction standards? - If not, has a waiver or exception been approved by CNO/N09N2?				
7	Do Controlled/Restricted Access Areas meet the construction requirements of IA Pub 5239-22? - If not, has a letter acknowledging the deviations been submitted to the ODAA requesting acceptance of the associated risks?				
8	Are non-GSA approved containers used for the storage of classified material? - If so, is one of the required supplemental controls in place?				
9	Have all restricted areas been designated in writing and provided to the base CO?				
10	Is a security in-depth approach used for facility security?				
11	Is there a visitor control program in place?				
12	Has a key control program been established?				
13	Are Contract Guards properly vetted?				
14	Have procedures for physical penetration testing been developed?				
15	Does your organization provide travel awareness briefings to personnel as required prior to foreign travel?				
16	Have all your organization's personnel completed Level I Antiterrorism training as required?				
17	Is a working relationship established with local Counter Intelligence agency to ensure information is shared and reported?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
18	Has policy been established and signage posted governing prohibited items in a classified processing/discussion area?				
19	Is the Special Security Officer appointed in writing?				
20	Is the Security Manager appointed in writing?				
21	Is the Key Control Officer appointed in writing?				
22	Is there a completed and up-to-date Fixed Facility Checklist (FFC) and TEMPEST Addendum on file?				
23	Have all Secure Rooms (SR), Controlled Access Areas (CAA), & Restricted Access Areas (RAA) been designated in writing?				
24	Are signs designating restricted areas posted?				
25	Are combinations to security containers, vaults and secure rooms changed as prescribed?				
26	Are combinations classified at the highest Level of the information being protected?				
27	Is the IDS tested semiannually? Are records maintained for tests conducted?				
28	Is the IDS supported by a backup power source, battery and/ or generator, that provides a minimum of 4-hours operating time?				
29	Is the response force tested at least semiannually? And is a record of this testing maintained?				
30	Is there a means for providing a Historical record of all events with regard to the IDS, either automatically or through use of a manual log?				
31	Do all Security Force personnel meet training, qualification and				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	proficiency requirements to include those whose duties require the carrying of a firearm?				
32	Have all Security Force personnel whose duties require the carrying of a firearm been authorized in writing by the CO or designated representative to carry a weapon?				
33	Are guard procedures provided in writing, located at each validated guard post, and reviewed semiannually?				
34	Are weapons stored per OPNAVINST 5530.13C?				
35	Is the armory constructed and alarmed per OPNAVINST 5530.13C?				
36	Is an updated access list maintained and signed by the CO or his designee?				
37	Are physical inventories conducted as required per OPNAVINST 5530.13C and NAVSEAINST 8370.2A?				
38	Is a key control register maintained to ensure accountability of keys?				
39	Is the Security Staff Appointed in Writing?				
40	Does your organization have written Security SOP's/Instructions?				
41	Has the security staff completed security Training?				
42	Is there a Personnel Security File on each person assigned, and does the file contain Indoctrination Oaths for current access(es) and a copy of the most recent SF-86/EQIP?				
43	Does each Personnel Security File contain a privacy act statement on the folder?				
44	Are the files stored in a limited access container?				

Department of Navy Internal Control Evaluation Checklist

26. Security Inspection - Emergency Action Plan

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- DoD 5105.21.M-1 (SCI Security Manual)
- DoD S-5105.21-M-1 (Navy Supplement)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
1	Does your organization have an EAP in accordance with SECNAV M-5510.36?				
2	Does your organization have a designated EAP Coordinator?				
3	Does your organization have an Emergency Destruction Plan? A designated Emergency Destruction Officer? (if applicable)				
4	Is the EAP reviewed annually?				
5	Is initial EAP training for newly assigned personnel being conducted?				
6	Is refresher training being conducted at least annually?				
7	Does your organization have written agreements with the joint command or host site for EAP support?				
8	Does your organization EAP include personnel recall procedures?				
9	Does your organization EAP include muster locations and procedures for accounting for all personnel during emergency scenarios requiring building evacuation?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
10	Does your organization conduct an annual EAP exercise?				
11	Does your organization have written EAP exercise scenarios for: - Fire - Bomb Threat - Natural Disaster - Loss of Utilities - Sabotage - Terrorist Threat/Attack - Civil Disturbances - Emergency Destruction (if applicable)				
12	Are roles and responsibilities assigned for each emergency scenario listed?				
13	Are provisions included in the EAP that deal with the evacuation of: - Personnel - Equipment - Classified Material				
14	Does your organization participate in joint site EAP exercises?				
15	Does the Emergency Destruct Plan (EDP) include task cards for identifying the destruction priority? (if applicable)				

Department of Navy Internal Control Evaluation Checklist

27. Security Inspection - Industrial

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- DoD 5105.21.M-1 (SCI Security Manual)
- DoD Instruction 5220.22 (National Industrial Security Program)
- DoD S-5105.21-M-1 (Navy Supplement)
- SECNAV M-5510.36 (IS)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
1	Is the Security Staff Appointed in Writing?				
2	Does your organization have written Security SOP's/Instructions?				
3	Has the security staff completed security Training?				
4	Is there a Personnel Security File on each person assigned, and does the file contain Indoctrination Oaths for current access(es) and a copy of the most recent SF-86/EQIP?				
5	Does each Personnel Security File contain a privacy act statement on the folder?				
6	Are the files stored in a limited access container?				
7	If your organization has contractors have they established an Industrial Security Program?				
8	Does each contractor Personnel Security File contain a current DD-254				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	reflecting the level of access?				
9	If activity is releasing intelligence to a cleared DoD contractor, has proper sanitation and approval taken place?				

Department of Navy Internal Control Evaluation Checklist

28. Security Inspection - Information

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- DoD FMR 7000.14-R
- SECNAVINST 7000.11C (Civilian Overtime and Compensatory Time Administration)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
A. Security Administration					
1	Is the Security Staff Appointed in Writing?				
2	Does the Activity have written Security SOP's/Instructions?				
3	Has the security staff completed security Training?				
4	Is there a Personnel Security File on each person assigned, and does the file contain INDOC Oaths for current access(es) and a copy of the most recent SF-86/EQIP?				
5	Does each Personnel Security File contain a privacy act statement on the folder?				
6	Are the files stored in a limited access container?				
B. Information Security					
7	Are only approved devices used for classified destruction?				
8	Do security officials conduct annual self-inspections of their security programs?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
9	Are procedures in place for reporting security Incidents/violations?				
10	Are classified computer monitors/displays positioned so that they are not easily viewed by unauthorized persons?				
11	Have SOP's been established for the following subjects: - Classified Meetings - Classified Markings/Handling - Classified Wrappings/Transmission				
12	Are there procedures established for classified reproduction and are all copiers marked with the appropriate classification levels?				
13	Are end-of-day checks conducted & documented on an SF-701 to ensure that all areas which process classified information are properly secured?				
14	Are SF-702s used to record that vaults, secure rooms, and security containers have been properly secured?				
15	Does the command have a valid courier card/letter program?				
16	Are the courier cards being collected after the member returns from travel?				

Department of Navy Internal Control Evaluation Checklist

29. Time and Attendance Reporting (Timekeeping)

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- DoD FMR 7000.14-R
- SECNAVINST 7000.11C (Civilian Overtime and Compensatory Time Administration)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
A. Timekeepers					
1	Are all approved exceptions to the employee's normal tour of duty timely and accurately reported?				
2	Have employees verified the accuracy of their current pay period's time and attendance and adjustments/corrections to prior pay periods occurring after the certification of the time and attendance?				
3	Are all entries for overtime and compensatory time earned approved and are total hours earned verified before certification?				
4	Is an employee's time and attendance data recorded by the close the current pay period?				
5	Do approved documents exist to support an employee's time and attendance data?				
6	Are the time and attendance files properly maintained?				
7	Does the timekeeper monitor and correct, as required, employees' time and attendance data by the end				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	of the each pay period and before certification?				
8	Has the timekeeper taken all reasonable measures to safeguard employee data and ensured that payroll records are not stored (even temporarily) on non-secure sites?				
B. Certifiers					
9	Is the record and approval of time and attendance performed timely and accurately as required by responsible individuals?				
10	Is all required supporting documentation available for audit purposes?				
11	Do individuals recording and approving time and attendance make every effort to correct errors in the pay period to which the changes apply?				
12	Does the supervisor maintain controls on employees' presence or absence daily, type of leave taken, overtime worked, etc., and personally observe that the time and attendance reports are properly posted?				
13	Is overtime/compensatory time authorized and approved by the proper authority in advance?				
14	Do the certifying official and alternate certifying official(s) verify that supporting documentation for leave usage, overtime/compensatory time worked, and other entries on the time and attendance report is valid prior to certification?				
15	Are the employees' time, attendance, labor, productivity, and differential pay entries for the each pay period validated as correct prior to certification by the				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	employees' certifying official or alternate certifying official(s) at the end of each pay period?				
16	Are amended time and attendance reports certified by the certifying official or alternate certifying official(s)?				
17	Are manually amended and certified time and attendance reports delivered to the local customer service representative (CSR) payroll office?				
18	Does the certifier and alternate certifier(s) have access to approved documents that support the employee's time and attendance records prior to certification of those records?				
19	Does the certifier and alternate certifier(s) review and certify the accuracy of employees' time and attendance records in sufficient time to meet payroll deadlines?				
20	Has the certifier and alternate certifier(s) taken all reasonable measures to safeguard employee data and ensured that payroll records are not stored (even temporarily) on non-secure sites?				

Department of Navy Internal Control Evaluation Checklist

30. Training

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- DoD 8570.01-M IA (Workforce Improvement Program)
- DoD Directive 7730.65 (Defense Readiness Reporting System (DRRS))
- SECNAVINST 5211.5E (DON Privacy Program)
- OPNAVINST 3120.32D (Standard Organization and Regulations of the U.S. Navy Chapter 8)
- OPNAVINST 3500.34F (Personnel Qualification Standards (PQS)Program)
- OPNAVINST 1500.22F (General Military Training)
- OPNAVINST 1740.3C (Command Sponsor and Indoctrination Program)
- OPNAVINST 1412.13 (Information Dominance Warfare Officer Qualification Program)
- NAVEDTRA 43100-1K (PQS Program Coordinator's Guide)
- BUPERS Instruction (BUPERSINST) 1430.16F (Advancement Manual)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
A. Command Responsibilities					
1	Is a Command Training Officer assigned in writing?				
2	Are Department Training Representatives assigned to each department?				
3	Are monthly or bimonthly meetings conducted with Department Training Representatives?				
4	Do persons in authority monitor and assess the Command Training Program?				
5	Does your organization authorize contractors to				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	attend/complete mandated training?				
6	What is the current compliance percentage of completion for all mandatory training?				
7	Does your organization have an Individual Training/Development Plan Program(s) for military and civilians?				
B. Personnel Qualification Standard (PQS) Program					
8	Is your organization PQS/Job Qualification Requirement (JQR) program managed per OPNAVINST 3500.34F/NAVEDTRA 43100-1K?				
9	Has the CO/OIC approved all local JQRs in writing?				
10	Does your organization have the PQS Command Coordinator's Guide/NAVEDTRA 43100-1K?				
11	Has the CO/OIC appointed a Command PQS/JQR Coordinator?				
12	Does the CO/OIC review and monitor operation of the PQS/JQR program to ensure compliance with NAVEDTRA 43100-1G guidelines?				
13	Do interim qualification procedures include the following elements: <ul style="list-style-type: none"> - Oral/written examinations to determine level of qualification? - Approval of interim qualification by final approval authority? - Interim qualification letters issued? 				
14	Does your organization PQS/JQR Coordinator maintain: <ul style="list-style-type: none"> - Current PQS/JQR instruction/directives? - Current approved PQS/JQR Qualifiers list? - Current electronic copies of applicable PQS/JQRs available and/or linked to command websites? 				
15	Are progress charts maintained and reviewed by Division Officers and Division/Leading Chief Petty Officers?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
16	Are designated Subject Matter Experts and Approved Qualifiers identified and known by the trainees?				
17	Do only Approved Qualifiers affirm PQS/JQRs?				
18	Are Navy personnel training records and/or databases updated to reflect qualification levels?				
19	Do local activity JQRs reflect current operations and associated systems/equipment?				
20	Are personnel completing assigned PQS/JQRs in the required timeframe?				
21	Does your organization effectively plan, coordinate, and execute PQS/JQR training as part of an overall training program?				
C. Planning Board for Training					
22	Does your organization have a Planning Board for Training (PB4T)?				
23	Is the PB4T chaired by the XO/AOIC?				
24	Does the PB4T meet at least once a month?				
25	Are minutes to the PB4T taken/published?				
26	Are minutes from the PB4T retained for a period of 1 year?				
27	Does your organization have both an updated Long-Range Training Plan and a Quarterly Training Plan?				
28	Does your organization have a process for documenting training listed in the established training plan?				
D. Documentation					
29	Does your organization have an effective and up-to-date training instruction?				
30	Does the instruction provide/address the following: <ul style="list-style-type: none"> - Command Indoctrination - Advancement-In-Rate - Seminar Training (Navy Pride & Professionalism, PREVENT, CPR, Drive For 				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	Life and Selectee Leadership Courses)				
31	Are training records (electronic (i.e., TRIM and/or hard copy) maintained for each individual assigned? - Who maintains them and where are they maintained?				
32	Has your organization established a School List which contains all onboard school requirements including initial and follow-on training required for new equipment and all Navy Enlisted Classifications (NEC) and Non-NEC generating training courses?				
33	Are all training events documented and up-to-date in training records?				
34	Does your organization have a civilian/ government contractor training program?				
35	Do all training records contain a hard copy (OPNAV 5211.5) disclosure accounting form or do electronic training records include an appropriate disclosure method?				
36	Has the Command designated a Command PQS/JQR coordinator?				
37	Have the Departments established procedures for monitoring personnel qualifications to ensure enroute training is provided for incoming personnel to cover projected losses?				
38	Have the Departments established qualification procedures for watchstations not covered by PQS/JQR? (i.e., newly installed systems)				
39	Do the Department Heads recommend approval or disapproval for all departmental personnel PQS/JQR qualifications?				
40	Do the Department Heads utilize an automated system to track all training? - If yes, are reports generated sufficient enough				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	to give a true picture of accomplished or delinquent training in the department?				
41	Do all personnel; especially watchstanders have access to training material?				
42	Does your organization offer future training opportunities (seminars, workshops, courses) and publish policy changes well in advance?				
43	Do Training Officers/Petty Officers have access to the automated system(s) utilized for Training/PQS tracking?				
44	Do the Division Officers review the Activity Manpower Document (AMD) and Enlisted Distribution and Verification Report (EDVR) at least quarterly to verify NEC requirements?				
E. General Military Training (GMT)					
45	Does your organization conduct GMT in a classroom?				
46	Are the core topics required being presented at GMT?				
47	Does your organization require all pay grades to attend GMT?				
48	Does your organization track GMT attendance?				
49	What process is in place to ensure make-up GMT's are documented and attendance records are reviewed periodically to ensure 100 per cent attendance prior to the end of the year?				
F. Command Indoctrination					
50	Does your organization conduct Command Indoctrination/Orientation for newly assigned personnel?				
51	Has your organization appointed a Command Indoctrination and or Sponsorship Program Coordinator?				
52	Is the Command Indoctrination/Orientation offered to newly assigned personnel within 30 days of reporting onboard?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
53	Does your organization provide a Command Indoctrination/Sponsor survey to ensure program effectiveness?				
54	Are Command Indoctrination/Sponsor surveys forwarded to the CO/OIC upon completion?				
55	Is the content of the Command Indoctrination tailored to fit the needs of the individual activity?				
G. Advancement in Rate (AIR) Training					
56	Is there a process to ensure both AIR and non-Advancement In Rate course completions are being recorded in: - Member's Electronic Service Record - Local Training Record - Member's Evaluation				
57	Are all testing materials (including advancement exams, correspondence course answer keys, JQR tests, etc...) properly handled and stowed by authorized personnel?				
58	Does your organization have an AIR training program?				
59	Is there an effective remedial training program to assist personnel deficient in rating performance skills?				
60	Are profile sheets reviewed by the Training Officer and CMC/Senior Enlisted Advisors prior to distribution to determine areas of concentration for future AIR training?				
61	Does the Command Training Officer monitor and update the training plan in Fleet Training Management and Planning System (FLTMPS) to ensure their NEC and training requirements are reflected adequately?				
62	Does the Command Training Officer monitor and update the training plan in Navy Training Management Planning System (NTMPS) or FLTMPS?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
63	Does the Command Training Officer provide a monthly training report to the Type Commander (TYCOM) via message or email? (if required by the TYCOM)				
64	Do the designated training, administrative and appropriate leadership personnel have access to the following systems: NTMPS, FLTMPs and DRRS-Navy (DRRS-N)?				
H. Miscellaneous					
65	Does your organization have a policy regarding Tuition Assistance?				
66	Do your organization members register for Tuition Assistance at the Navy College Program website via webTA?				
67	Does the command properly identify certifications of personnel under the Cyberspace Work Force (CSWF) program (DoD 8570.01-M)? - If so, is it managed by the IAM?				
I. Language Training and Readiness					
68	Does your organization have adequate resources available to support training for professional development and Advancement in Rate?				
69	Do Sailors have access to Navy Knowledge Online (NKO), electronic training jackets, and smart transcripts?				
70	Do Sailors have access to National Cryptologic School and VUPOINT?				
71	Is there a viable Information Warfare Officer Training Program in place in accordance with OPNAVINST 1412.13?				
72	Has your organization established a Command Language Program?				
73	Does your organization have a Command Language Council? - If yes, what is the frequency of meetings?				
74	Has your organization drafted individual training plans for				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	all assigned AC/RC CTIs? - If yes, are they updated quarterly or monthly?				
75	Does your organization have a monitored language enhancement training program for CTIs who do not meet the L2/R2 Defense Language Proficiency Test (DLPT) requirement IAW COMNAVCYBERFORINST 1550.1A? - If not, what actions are being taken to improve the linguistic skills of these CTIs?				
76	Have you identified global and cryptologic language training materials in all languages applicable to the command mission and all assigned linguists?				
77	Is the Command Language Program Manager (CLPM) designated in writing?				
78	Does the CLPM have direct access to the Commanding Officer/Executive Officer for language training issues?				
79	Are all AC/RC CTIs E1-E9 tested annually on the DLPT or Oral Proficiency Interview (OPI) for all foreign languages in which they hold the NEC or have been trained in?				
80	Are DLPT scores documented on Personnel Evaluation IAW COMNAVCYBERFORINST 1550.1A?				
81	Does your organization maintain a listing of linguist proficiency levels? If yes: - What percentages of linguists are below mandated standards? - What percentage of linguists meets mandated standards? - What percentage of linguists exceeded mandated standards?				
82	Are all AC/RC linguist's annual DLPT scores submitted to NPC/Navy Foreign Language Office via NETPDTC?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
83	Are all DPLT scores for all AC/RC CTIs entered into CHANDELIER?				
84	Are DLPT scores recorded locally and incorporated into ILTPs to address identified deficiencies?				
85	Have all eligible AC/RC linguists been recommended for Foreign Language Excellence Awards?				
86	Are all AC/RC CTIs enrolled in the Military Cryptologic Continuing Education Program (MCCEP)?				
87	Does your organization regularly provide feedback on the Apprentice Cryptologic Language Program (App.CLP) to the Center for Information Dominance?				
88	Does your organization actively promote and solicit nominations for the Military Language Analyst Program (MLAP)?				
89	Do Activity AC CTIs understand what the MLAP program is and what it is designed to do?				
90	Have all AC CTIs completed minimum TYCOM-mandated Significant Training Event (SLTE) requirements within the last year? Does CLPM coordinate with RC Unit Language Coordinators (ULC) to assist RC CTIs with potential annual SLTE opportunities?				
91	Does the CLPM quarterly report a list of CTIs who have not attended a SLTE to NCF N4 IAW COMNAVCYBERFORINST 1550.1A along with the reason why each CTI did not attend training?				
92	Are all E1-E8 linguists assigned to language intensive jobs?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
93	Are Technical Language Advisor (TLAs) being properly utilized? (i.e., for last phase of Apprentice CLP, for position qualifications, language mentorship of CTIs, progression toward 3/3) If not, how are they being employed?				
94	Are TLMs actively mentoring linguists? If not, how are they being employed?				
95	Do the linguists understand the career impact of failing to maintain minimum TYCOM-mandated Language Readiness Standards (L2/R2)?				
J. Information Dominance Warfare Officer (IDWO) Program					
96	Have initial accession and lateral transfer officers entering the Restricted Line Special Duty Officer IDWO community been assigned NAVEDTRA 43357-2?				
97	Have 644x designated Limited Duty Officers and 744X designated Chief Warrant Officers been assigned NAVEDTRA 43357-2?				
98	Have all active component 164X Officers attained IDWO qualification within 18 months of initial assignment?				
99	Have reserve component 184X Officers attained IWO qualification within 36 months of initial assignment or SCI access?				
100	Have reports of non-attainment been submitted to Chief of Naval Personnel (CHNAVPERS)?				
K. Enlisted Information Dominance Warfare (EIDWS) Program					
101	Have all enlisted personnel and selected reservists permanently assigned to one of the Information Dominance Corps (IDC) ratings (AG, CT, IS and IT) been given the opportunity to achieve the EIDWS required qualification, if eligible?				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
102	Have all Sailors completed the required six months accumulated duty prior to qualification?				
103	Does the command/unit conduct a written examination, hands-on demonstration of knowledge and a comprehensive oral examination by a Qualification Review Board?				
104	Does the command document failure to achieve the EIDWS qualification within the 18 month required time frame on a NAVPERS 1070/613 (Page 13) page entry?				
105	Do command/unit personnel who have failed the EIDWS qualification receive no mark higher than 3.0 in professional knowledge, and receive no promotion recommendation higher than "Must Promote" on their evaluation?				
106	Does the command/unit properly document EIDWS completion via a NAVPERS 1070/613 entry indicating service member has Qualified as an EIDWS?				

Department of Navy Internal Control Evaluation Checklist

31. Travel Approval and Voucher Certification

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- Public Law 104-106 (National Defense Authorization Act)
- White House Memorandum (Use of Government Aircraft for Official Business)
- OMB Circular A-126 (Improving the Management and Use of Government Aircraft)
- Joint Travel Regulation, Volume 2
- DoD Directive 4500.56 (DoD Policy on the Use of Government Aircraft and Air Travel)
- DoD FMR 7000.14-R

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
A. Temporary Duty (TDY) Approval					
1	Does the mission require the physical presence of individuals at itinerary locations?				
2	Have alternatives been considered (teleconference, correspondence, local training, etc.) before authorization of travel orders?				
3	Are the number of travelers consistent with related factors of technical complexity, performance milestones, or prescribed attendance?				
4	Does approximate number of days on TDY exceed elapsed time required to complete assignment and minimize unproductive TDY on weekends and holidays?				
5	Is a city TDY location				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	shown only when the duty will actually be performed in the commercial sector and it is known that military lodging is neither available nor appropriate for the traveler?				
6	Is travel performed by the most expeditious and economical mode of transportation?				
7	Is rental car authorization consistent with the need for local travel at the TDY location realities of public transportation, cost of taxi/airport limousine service, and number of travelers?				
8	If a rental car is required, is it authorized in the remarks section of the DD Form 1610?				
9	When POV is authorized, is local mileage in and around TDY point authorized in the remarks section?				
10	Are requests for TDY travel prepared, submitted for review, and approved at the earliest practical date to allow for the following: <ul style="list-style-type: none"> - Taking advantage of available discounts for early airline bookings? - Allowing the traveler to take advantage of on-post lodging? - Allowing time for traveler to obtain a travel advance, if necessary? - Combining visits within the same geographical area instead of separate trips? 				
11	Does Authorizing/Order-Issuing Official use the cost estimate on the Trip Record to determine if the travel budget can support the travel?				
12	Does Authorizing/Order-Issuing Official assure				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	traveler has access to a GTCC (the unit's or a Centrally Billed Account) if the traveler does not have a GTCC Individually Billed Account (IBA)?				
13	Does traveler complete and submit the Trip Record expense report portion within 5 working days after returning from the trip? The receipts (lodging, and individual expenses of \$75 or more) must be attached to the expense report.				
B. TDY Voucher Certification					
14	Is the claim presented on an original travel voucher, typed, or handwritten with an original signature and date or digital signature?				
15	Are the basic orders with amendments, if any, attached to the claim?				
16	Does the lodging receipt reflect actual occupancy?				
17	If meals were paid for or furnished by the Government at the TDY site, did the traveler indicate in the remarks section of the travel voucher which meals and the dates they were provided?				
18	When a registration fee is authorized and claimed, does a statement on the claim indicate whether or not the registration fee included charges for luncheons or banquets?				
19	Are claims reasonable, and are claims of \$75 and up supported by a receipt?				
20	If rental car expenses are claimed, was authorization shown on the DD Form 1610?				
21	Was the rental car size selection based on the most economical car available to meet the traveler's needs?				
22	Is the claim for local in-and-around mileage at TDY point accurate, based on				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	the location of lodging when Privately Owned Vehicle (POV) is authorized?				
23	Are original receipts for rental cars and lodging attached, regardless of amount?				
24	Has a copy of the ticket showing the carrier and cost of fare been attached to the claim?				
25	Has the claim been submitted to the travel reviewing official within 10 calendar days after the completion of travel?				
26	Is the claim reasonable and consistent with the mission and claims for reimbursement in sync with those authorized on DD Form 1610?				
27	Are flagged items on the travel documents adequately addressed by the traveler?				
28	Has a record been retained for future investigation with the submitted documentation for the TDY travel?				
29	Does your organization have procedures in place to follow-up on un-liquidated travel obligations/travel vouchers?				

Department of Navy Internal Control Evaluation Checklist

32. Web Site Security/Administration – Classified

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- Secretary of Defense (SECDEF) Memo (28 December 2001)(Removal of Personally Identifying Information of DoD Personnel from Unclassified Web Sites)
- Deputy Secretary of Defense (DEPSECDEF) Memo (7 December 1998) (Web Site Administration with attachment DoD Web Site Administration Policies and Procedures)
- NSA/CSS Standards for Web Page Publishers and Content Stewards
- NSA/CSS Policy Manual 1-52
- NSA Information Security Policy Web Page Markings
- NSA Office of General Counsel Ethics & Fiscal Law – Ethics Policy on NSA Web Use NOV2008
- CIO Executive Council Policy 003-99 NSA/CSS Web Server Policy
- NSA/CSS Policy Manual 6-31
- NSANET Procedure for Second Party Access
- SECNAVINST 5720.47B (DON Policy for Content of Publicly Accessible World Wide Web Sites)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
A. Authorized Classified Web Presence					
1	If your NSANET website contains information classified at a higher level than NSANET inherently allows, does it follow all web and security procedures outlined in Policy 6-31? (NSA/CSS Policy Manual 6-31 and NSANET Procedure for Second Party Access)				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
2	If your NSANET website requires second party access, have you followed the procedures outlined on the page "Go WCAO", specifically registering your web server / virtual server, web site, and the data published there? (NSA/CSS Policy Manual 6-31 and NSANET Procedure for Second Party Access)				
3	Is the web site for the command level or its equivalent? (SECNAVINST 5720.47B, enclosure 1: 1.e)				
4	If previous answer was "NO," has the command level or its equivalent authorized the web site? (SECNAVINST 5720.47B, enclosure 1: 1.e)				
B. Navy intranet/classified web sites Must:					
5	Contain the organizational name and Content Steward / Page Publisher contact information? (NSA/CSS Standards for Web Page Publishers and Content Stewards, section 1; SECNAVINST 5720.47B, enclosure 1: 2.b.1)				
6	Label the organization/entity who owns the data, if different from the organization? (NSA/CSS Standards for Web Page Publishers and Content Stewards, section 1)				
7	If a different organization owns the data, the data is only linked, not copied, or if copied, site has permission of data owner to host the copied data? (NSA/CSS Standards for Web Page Publishers and Content Stewards, section 1)				
8	Contain classification banners for every page, either on the top and bottom of the page, or a "floating" classification banner that is always				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	visible? (NSA/CSS Standards for Web Page Publishers and Content Stewards, section 3; NSA Information Security Policy Web Page Makings)				
9	Contain classification portion marks on text, if page is classified beyond UNCLASSIFIED? (NSA/CSS Standards for Web Page Publishers and Content Stewards, section 3; NSA/CSS Policy Manual 1-52 Annex B II.B; NSA Information Security Policy Web Page Makings)				
10	Contain declassification statement, if page is classified beyond UNCLASSIFIED//FOR OFFICIAL USE ONLY? (NSA/CSS Standards for Web Page Publishers and Content Stewards, section 3; NSA/CSS Policy Manual 1-52 2.C, Annex B II.C-E)				
11	Contain classification markings for all non-publicly releasable linked documents? (NSA/CSS Standards for Web Page Publishers and Content Stewards, section 3; NSA/CSS Policy Manual 1-52 Annex B IV.A; NSA Information Security Policy Web Page Makings)				
12	If information is dynamic, does the page contain the banner "DYNAMIC PAGE - HIGHEST POSSIBLE CLASSIFICATION IS" with the following banner listing the highest possible classification? (NSA/CSS Policy Manual 1-52, Annex B IV.C.2; NSA Information Security Policy Web Page Makings)				
13	Contain "Last Modified" and "Last Reviewed" dates? (NSA/CSS Standards for Web Page Publishers and Content Stewards, section 3)				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
C. Navy intranet/classified web sites must NOT contain					
14	Material classified at a higher level than what is permissible on the web site's network and what is labeled in the classification banners? (NSA/CSS Standards for Web Page Publishers and Content Stewards, section 3; NSA Office of General Counsel Ethics and Fiscal Law; CIO Executive Council Policy 003-99)				
15	Altered photos (other than standard photographic processes)? (SECNAVINST 5720.47B, enclosure 1: 3.b)				
16	Personal identifying content, i.e. material not work-related? (SECNAVINST 5720.47B, enclosure 1: 3.c.2, 1:3.d.2; DEPSECDEF Memo (7 Dec 1998), part V, 2.2; Ref E; Ref G], enclosure 1: 3.c.2, 1:3.d.2; Ref D, part V, 2.2; Ref E; Ref G]				
17	Proprietary or copyrighted content with no license for fair use? (SECNAVINST 5720.47B, enclosure 1:3.d.6; DEPSECDEF Memo (7 Dec 1998), part V, 2.3)				
18	Product endorsements, preferential treatment of any private organization or product? (SECNAVINST 5720.47B, enclosure 1: 3.d.3; DEPSECDEF Memo (7 December 1998), part II, 3.5.6, 8.1.2, 8.1.4)				
19	Content duplicated from other web resources, residing on the same network? (Ref SECNAVINST 5720.47B, enclosure 1: 3.d.13)				

Department of Navy Internal Control Evaluation Checklist

33. Web Site Security/Administration – Intranet

A. Office Performing Evaluation: _____

B. Individual Performing Evaluation: _____

C. Date Evaluated: _____

D. Signature: _____

E. References:

- SECDEF Memo (28 December 2001) (Removal of Personally Identifying Information of DoD Personnel from Unclassified Web Sites)
- DEPSECDEF Memo (7 December 1998) (Web Site Administration with attachment DoD Web Site Administration Policies and Procedures)
- NSA/CSS Standards for Web Page Publishers and Content Stewards
- NSA/CSS Policy Manual 1-52
- NSA Information Security Policy Web Page Markings
- NSA Office of General Counsel Ethics & Fiscal Law – Ethics Policy on NSA Web Use November 2008
- CIO Executive Council Policy 003-99 NSA/CSS Web Server Policy
- SECNAVINST 5720.47B (DON Policy for Content of Publicly Accessible World Wide Web Sites)

Evaluation Checklist:

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
D. Authorized Classified Web Presence					
1	Is the web site for the command level or its equivalent? (SECNAVINST 5720.47B, enclosure 1: 1.e)				
2	If previous answer was "NO," has the command level or its equivalent authorized the web site? (SECNAVINST 5720.47B, enclosure 1: 1.e)				
E. Navy intranet/classified web sites Must:					
3	Contain the Full command's organizational name and mailing address.				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
	(NSA/CSS Standards for Web Page Publishers and Content Stewards, section 1; SECNAVINST 5720.47B, enclosure 1: 2.b.1) The full command organizational name (with no abbreviations) must be prominently displayed on the web site home page.				
4	Contain the contact information for the party responsible for the web content? (NSA/CSS Standards for Web Page Publishers and Content Stewards, section 1; SECNAVINST 5720.47B, enclosure 1: 2.b.1)				
5	If a different organization owns the data, the data is only linked, not copied, or if copied, site has permission of data owner to host the copied data? (NSA/CSS Standards for Web Page Publishers and Content Stewards, section 1)				
6	Contain Unofficial (U)//FOUO markings for all non-publicly releasable linked documents? (NSA/CSS Standards for Web Page Publishers and Content Stewards, section 3; NSA/CSS Policy Manual 1-52 Annex B IV.A; NSA Information Security Policy Web Page Markings)				
C. Navy intranet/classified web sites must NOT contain:					
7	Material classified at a higher level than what is permissible on the web site's network? (NSA/CSS Standards for Web Page Publishers and Content Stewards, section 3; NSA Office of General Counsel Ethics and Fiscal Law; CIO Executive Council Policy 003-99 NSA/CSS Web Server Policy)				

Department of Navy Internal Control Evaluation Checklist

#	QUESTIONS	YES	NO	N/A	COMMENTS (If answer is "No", explanation is required)
8	Altered photos (other than standard photographic processes)? (SECNAVINST 5720.47B, enclosure 1: 3.b)				
9	Personal identifying content, i.e. material not work-related? (SECNAVINST 5720.47B, enclosure 1: 3.c.2, 1:3.d.2; DEPSECDEF Memo 28 December 2001, Part V, 2.2; SECDEF Memo 28 December 2001; NSA Office of General Counsel Ethics and Fiscal Law)				
10	Proprietary or copyrighted content with no license for fair use? (SECNAVINST 5720.47B, enclosure 1:3.d.6; DEPSECDEF Memo (7 Dec 1998), part V, 2.3)				
11	Product endorsements, preferential treatment of any private organization or product? (SECNAVINST 5720.47B, enclosure 1: 3.d.3; DEPSECDEF Memo (7 December 1998), part II, 3.5.6, 8.1.2, 8.1.4)				
12	Content duplicated from other web resources, residing on the same network? (Ref SECNAVINST 5720.47B, enclosure 1: 3.d.13)				

Department of Navy Internal Control Evaluation Checklist

Appendix – Acronyms List

Acronyms	Title
ACOR	Assistant Contracting Officer Representative
ACP	Allied Communications Publications
ADR	Alternative Dispute Resolution
AIG	Assistant Inspector General
AIR	Advancement in Rate
AMD	Activity Manpower Document
AMPL	Approved Materials and Parts List
ANACI	Access National Agency Check with Inquiries
AO	Approving Official
AOIC	Assistant Officer in Charge
A/OPC	Agency/Organization Program Coordinator
APL	Allowance Parts List
ASN	Assistant Secretary of the Navy
ASN (RD&A)	Assistant Secretary of the Navy Research, Development, and Acquisition
ATC	Authority to Connect
ATM	Automated Teller Machine
ATO	Approval to Operate
AUTODIN	Automatic Digital Network
BCCB	Base Communications Control Board
BCO	Base Communication Office
C&A	Certification and Accreditation
CAA	Controlled Access Area
CAC	Common Access Card
CAD	Collective Address Designator
CASOR	Casualty Corrective Report
CASREP	Casualty Report
CAW	Certificate Authority Workstation
CBA	Centrally-Billed Account
CENTREX	Central Exchange
CFR	Code of Federal Regulation
CHNAVPERS	Chief of Naval Personnel
CI	Counter Intelligence
CIO	Chief Information Officer
CIP	Critical Infrastructure Program
CISM	Certified Information Security Manager
CISSP	Certified Information Systems Security Professional
CJCSI	Chairman of the Joint Chiefs of Staff Instruction
CL	Command Liaison
CLO	Cryptographic Log On

Department of Navy Internal Control Evaluation Checklist

Acronyms	Title
CLPM	Command Language Program Manager
CMP	Common Message Processor
CMS	Career Management System
CNO	Chief of Naval Operations
CNSG	Naval Security Group Command
CO	Command Officer
COMNAVPERSCOM	Commander, Naval Personnel Command
COMSEC	Communication Security
COR	Contracting Officer's Representative
CPO	Chief Petty Officer
CPU	Central Processing Unit
CRI	Critical Review Item
CSA	Command Safety Assessment
CSR	Customer Service Representative
CSWF	Cyberspace Work Force
CTO	Computer Tasking Order
DA	Decision Authority
DAA	Designated Accrediting Authority
DADS	Deployable Autonomous Distributed System
DAU	Defense Acquisition University
DCA	Defense Communications Agency
DCC	Data Collection Coordinator
DEERS	Defense Eligibility Enrollment System
DEPSECDEF	Deputy Secretary of Defense
DFARS	Defense FAR Supplement
DIACAP	DoD Information Assurance Certification and Accreditation Process
DISA	Defense Information Systems Agency
DISN	Defense Information System Network
DISP	Defense Industrial Security Program
DLPT	Defense Language Proficiency Test
DLR	Depot Level Repairable
DoD	Department of Defense
DoDI	Department of Defense Instruction
DoDIG	Department of Defense Inspector General
DON	Department of the Navy
DPAS	Defense Property Accountability System
DRB	Disciplinary Review Board
DRRS-N	Defense Readiness Reporting System - Navy
DSN	Defense Switch Network
EAP	Emergency Action Plan
EAS	Electronic Access System
EDP	Emergency Destruct Plan
EEO	Equal Employment Opportunity

Department of Navy Internal Control Evaluation Checklist

Acronyms	Title
EFM	Exceptional Family Members
EIDWS	Enlisted Information Dominance Warfare
EKMS	Electronic Key Management System
EPO	Enlisted Programs Officer
FAR	Federal Acquisition Regulation
FFC	Fixed Facility Checklist
FLTMPs	Fleet Training Management and Planning System
FMV	Fair Market Value
FN	Foreign National
FOIA	Freedom of Information Act
FOUO	For Official Use Only
FSC	Family Service Centers
FSS	Federal Supply Schedule
GAO	Government Accountability Office
GFE	Government Furnished Equipment
GFP	Government Furnished Property
GIAC	Global Information Assurance Certification
GIG	Global Information Grid
GMF	General Message File
GMT	General Military Training
GPC	Government Purchase Card
GSA	General Services Administration
GSLC	GIAC Security Leadership Certification
GTCC	Government Travel Credit Card
HAZCON	Hazard Communication
HCA	Head of the Contracting Activity
HQ	Headquarters
IA	Information Assurance
IAO	Information Assurance Officer
IAM	Information Assurance Manager
IATO	Interim Approval to Operate
IATT	Interim Approval to Test
IAVA	Information Assurance Vulnerability Alerts
IAVB	Information Assurance Vulnerability Bulletins
IAV-TA	Information Assurance Vulnerability-Technical Advisory
IAW	In Accordance With
IBA	Individually Billed Account
IDC	Information Dominance Corps
IDS	Intrusion Detection System
IDWO	Information Dominance Warfare Officer
IGE	Independent Government Assessment
iNFADs	Navy's Authoritative Database
INFOSEC	Information Security

Department of Navy Internal Control Evaluation Checklist

Acronyms	Title
IS	Information System
ISSM	Information Systems Security Manager
ISSO	Information Systems Security Officer
ISSP	Information Systems Security Program
ISSPM	Information Systems Security Program Manager
JAG	Judge Advocate General
JAGMAN	JAG Manual
JAGINST	JAG Instruction
JCN	Job Control Number
JITC	Joint Interoperability Test Command
JPAS	Joint Personnel Adjudication System
JQR	Job Qualification Requirement
KMM	Keyboard/Monitor/Mouse
KO	Contracting Officer
KVM	Key Board/Video/Mouse
LF	Low Frequency
LMS	Learning Management System
MCCEP	Military Cryptologic Continuing Education Program
MIC	Managers' Internal Controls
MILCON	Military Construction
MIL-HDBK	Military Handbook
MILPERSMAN	Military Personnel Manual
MLAP	Military Language Analyst Program
MOPAS	Management and Oversight Process for the Acquisition of Services
MOT	Maximum Ordering Threshold
MPC	Mentorship Program Coordinator
MSR	Monthly Status Report
NACLC	National Agency Check with Law and Credit Checks
NATO	North Atlantic Treaty Organization
NAVADMIN	Navy Administration
NAVFAC	Naval Facilities Engineering Command
NAVPERS	Navy Personnel
NAVPERSCOM	Naval Personnel Command
NAVPUB	Naval Publications
NAVSUP	Naval Supply Systems Command
NAVSUPINST	Naval Supply Systems Command Instruction
NAVAUDSVC	Naval Audit Service
NCC	Navy Crane Center
NCIS	Naval Criminal Investigation Service
NDAA	Navy Designated Approving Authority
NDS	Navy Data System
NEC	Navy Enlisted Classifications

Department of Navy Internal Control Evaluation Checklist

Acronyms	Title
NFPA	National Fire Protection Association
NICE	Navy Interface For Command Email
NIOC	Navy Information Operations Command
NJP	Non-judicial Punishment
NKO	Navy Knowledge Online
NLSO	Naval Legal Service Office
NMCI	Navy Marine Corps Intranet
NOTAL	DISA Power, Environmental Control, and Electromagnetic Compatibility Performance Evaluation Checklist
NOVA	National Organization of Veterans' Advocates
NREMS	Navy Regional Enterprise Message System
NSF	Non-Sufficient Funds
NSG	Naval Security Group
NTD	Navy Telecommunications Directive
NTMPS	Navy Training Management Planning System
NTP	Network Time Protocol
NVCDB	Navy Voice Corporate Data Base
NWPL	Naval Warfare Publications Library
ODAA	Operational Designated Approving Authority
OEM	Original Equipment Manufacturer
OGE	Office of Government Ethics
OMB	Office of Management and Budget
OPI	Operational Performance Indicator
OPNAVINST	Office of the Chief of Naval Operations Instructions
OPREP-3	Operation Event/Incident Report
OPSEC	Operations Security
OTH	Other Than Honorable
PB4T	Planning Board for Training
PCMT	Personal Computer Message Terminal
PCS	Permanent Change of Station
PDS	Protected Distribution System
PE	Performance Evaluation
PIT	Platform Information Technology
PLA	Plain Language Address
POA	Power of Attorney
POC	Point of Contact
POV	Privately Owned Vehicle
PPM	Personnel and Property Manager
PQS	Personnel Qualification Standards
PWS	Performance Work Statement
QASP	Quality Assurance Surveillance Plans
RAA	Restricted Access Areas

Department of Navy Internal Control Evaluation Checklist

Acronyms	Title
RFP	Request for Proposal
RFQ	Request for Quote
RLSO	Region Legal Service office
RMKS	Resource Management Knowledge System
RTS	Real Time Services
SAER	Security Access Eligibility Report
SAP	Simplified Acquisition Procedures
SAPR	Sexual Assault Prevention and Response
SECNAV	Secretary of Navy
SECNAVINST	SECNAV Instruction
SH	Sexual Harassment
SITREP	Situation Report
SJA	Staff Judge Advocate
SLTE	Significant Training Event
SNAP	Standard Network Access Protocol
SOH	Safety and Occupational Health
SOP	Standard Operating Procedure
SORM	Standard Organization and Regulations Manual
SPAN	Sharing Peripherals Across the Network
SPC	Suicide Prevention Coordinator
SPCM	Special Court-Martial
SPCMCA	SPCM Convening Authority
SR	Secure Rooms
SSAA	System Security Authorization Agreement
SSBI-PR	Single Scope Background Information-Periodic Reinvestigation
SSIC	Standard Subject Identification Codes
SSP	System Security Plan
STIG	Security Technical Implementation Guide
TA	Technical Assistant
TCO	Telephone Control Officers
TDY	Temporary Duty Approval
TLA	Technical Language Advisor
TPOC	Technical Point of Contact
TRIM	Total Records and Information Management
TYCOM	Type Commander
SECNAV	Secretary of Navy
SECNAVINST	Secretary of Navy Instruction
UCAO	Unclassified Connection Approval Office
UFC	Unified Facilities Criteria
UIC	Unit Identification Code
ULC	Unit Language Coordinator
UMMIPS	Uniform Materiel Movement and Issue Priority System

Department of Navy Internal Control Evaluation Checklist

Acronyms	Title
UPB	Unit Punishment Book
UPS	Uninterrupted Power Supply
VA	Victim Advocate
VLF	Very Low Frequency
VTC	Video Teleconferencing
VWAP	Victim and Witness Assistance Program
VWLO	Victim Witness Liaison Officer
WAWF	Wide Area Workflow
XO	Executive Officer