DEPARTMENT OF THE NAVY
NAVAL AIR SYSTEMS COMMAND
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NAVAIRNOTE 5040
AIR-00G
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NAVAIR NOTICE 5040

From: Commander, Naval Air Systems Command

Subj: NAVAL AIR SYSTEMS COMMAND SPECIAL INTEREST ITEMS

Ref: (a) NAVAIRINST 5040.2G

Encl: (1) NAVAIR Special Interest Items
(2) List of References

1. Purpose. To publish items of special interest to the Naval Air Systems Command (NAVAIR) for review during command inspections of NAVAIR echelon 3 and 4 field activities.

2. Action. The Office of the Inspector General (AIR-00G) will conduct command inspections following the policies and procedures outlined in reference (a). Inspectors will ensure that items listed in enclosure (1) are covered during command inspections. Enclosure (2) cites governing regulations and instructions for the items contained in enclosure (1). Comments on conditions found in each of these areas will be made in the inspection report.

3. Cancellation contingency. This notice remains in effect until superseded or canceled.

C. A. Walker
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Inspector General

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NAVAIR SPECIAL INTEREST ITEMS

1. Human Resource (AIR-7.3)/Military Services Division (AIR-7.9.1), Command Climate. Determine to what extent the command ensures fair and equitable treatment of personnel.

a. Objectives:

(1) Evaluate the processes for assessing command climate, focusing on the effectiveness of the process for identifying and resolving command climate issues and problems.

(a) Evaluate the effectiveness of the command in implementing improvements, based on their assessments. Evaluate the degree to which these improvements are completed in a timely manner. Ascertain if a command climate assessment has been included in the commanding officer's turnover, and if a climate assessment has been conducted within 6 months prior to or after a change of command.

(b) Evaluate the implementation and effectiveness of the command's personnel programs and policies to ensure optimal integration of personnel within the workplace.

(2) Select random samples of the command's military and civilian personnel whose demographics are representative of the command as a whole. From this sample, evaluate the following using questionnaires, focus groups, and/or interviews:

(a) Degree to which the command is perceived as having a positive command climate, focused on professional behavior and free of sexual harassment or discrimination.

(b) Degree to which assignment of personnel is perceived as based on qualifications, performance, and potential; rather than criteria that reflects institutional biases, personal preferences, or cultural, racial, or gender stereotypes.

(c) Degree to which personnel perceive they are able to voice problems and bring grievances of any kind (sexual harassment, fraternization, equal opportunity, unfair practices, etc.) forward using the chain of command, including whether they feel their issue will be properly, fairly, and expeditiously handled without fear of reprisal.

(d) Perception of the effectiveness of internal communications within the command, including awareness of training and educational opportunities; advancement and retention policies; career planning, awareness and execution of the command's Equal Opportunity/Equal Employment Opportunity (EEO) policies including assignment of women, sexual harassment and fraternization prevention policies and procedures, and grievance procedures; command actions taken in response to grievances and results of those actions; and command disciplinary cases and resolution.

(e) Perception of the degree to which the command's daily practices align with Department of the Navy (DON) and NAVAIR personnel policies.

2. Public Safety Department (AIR-8.4), Lost Time Reduction Initiative,. Determine to what extent the command has focused on establishing, socializing, and integrating Operational Risk Management (ORM), hazard identification, and injury compensation management into the normal administrative and operational patterns and processes while reducing lost workdays and lost time injuries. The DON'S lost workday rate is one of the highest in Department of Defense (DoD) and the Secretary of the Navy (SECNAV) has set an aggressive goal to reduce this rate by Fiscal Year (FY)-2006. A strong and vigorous safety and injury compensation program is key to this effort.

a. Objectives

(1) verify that the lost workday data is being collected;

(2) ensure that all Occupational Safety and Health (OSH) Specialists have completed ORM training levels I and II offered by the ORM University;

(3) review the Unsafe or Unhealthful Reporting Program to determine its effectiveness;

(4) assess the degree to which the command's OSH Department and the Injury Compensation Administration is working together in verifying worker's injuries and in the remediation of the hazards that caused the injury;

(5) assess the command's Light Duty and Return to Work Program for its effectiveness in placing recovering workers who have been cleared by a physician for light duty, in suitable positions;

(6) verify there are procedures for prompt medical treatment of injured workers;

(7) assess the degree to which the leadership demonstrates its value of safety;

(8) evaluate the command's safety climate and adherence to standards by conducting personnel interviews and reviewing the Security Department (AIR-7.4) self-assessment; and

(9) determine if there are identified roadblocks to the efficient conduct of their mission and help devise a fix for that problem (i.e., changes required in governing instructions, etc.).

3. Aviation Safety Program Department (AIR-09F). Determine to what extent the command has focused on processes involved with implementing the Naval Aviation Safety Program within NAVAIR, BUs directly involved with flight activities.

a. Objectives

(1) determine to what extent the command's AIR-8.4 is properly aligned, staffed and funded, and if all members are trained and designated in writing as required;

(2) determine if the processes for the management of aircrew and Naval Aviation Training and Operating Procedures System (NATOPS) qualifications, and quality assurance personnel and aircrew training are effective;

(3) determine the adequacy of Aviation Safety Standard Operating Procedures and Pre-mishap Plans;

(4) assess the degree to which the AIR-09F is actively involved in flight schedule reviews and/or flight-test planning;

(5) assess the quality of aviation safety training, such as Aircraft Mishap Board, Concept of Privilege, Mishap response, ORM, and others;.

(6) determine if the command's AIR-09F is actively involved in the ORM Program and conducts its regular safety audits and surveys using that process;

(7) determine if regular Human Factors Boards/Councils are conducted;

(8) assess the command's aviation safety climate and adherence to standards by conducting personnel interviews; and

(9) determine if there are identified roadblocks to the efficient conduct of their mission and help devise a fix for that problem (i.e., changes required in governing instructions, etc.).

4. NAVAIR Government Purchase Card Program, Contracts Department (AIR-2.0)/ Program Business Analysis (AIR-7.8). Determine to what extent the command has implemented adequate management controls to ensure the NAVAIR Purchase Card Program meets Navy guidance.

a. Objectives

(1) Verify that the individuals involved with the Purchase Card Program are knowledgeable of polices and procedures:

(a) The Agency Program Coordinator (APC) has developed internal program guidance and procedures, and that Approving Officials (AOs) and cardholders receive proper training and monitoring for fraud and misuse;

(b) AOs know who to report fraudulent or improper use of the card;

(c) cardholders have an understanding of NAVAIRs purchase policies and procedures;

(2) Assess to what degree, cardholders follow purchase card policies and procedures related to prohibited and questionable transactions.

(3) Select a random sample of purchase card transactions for the current year. From this sample, evaluate each transaction to ensure that cardholders are or are not:

(a) splitting a requirement into two or more transactions to circumvent competition and single purchase limits as required by Navy guidance;

(b) obtaining applicable waivers before acquiring supplies from vendors who are not mandatory sources of supplies;

(c) acquiring recurring services without properly establishing a service contract;

(d) retaining complete supporting documentation for each transaction; and

(e) recording and accounting for pilfer-able assets such as laptop computers and hand-held computer (palm pilots, etc.)

(4) Assess to what degree, APC enforces the requirement for AO and cardholders to conduct monthly reconciliation of purchases to cardholder billing-statements.

(5) Assess to what degree, AOs are reviewing the cardholder's transactions to ensure that they are properly documented, comply with purchasing policies, and those purchases are necessary for accomplishing the mission of the command.

(6) Assess to what degree, APCs or the AO established a process for separation of purchase and receipt functions and have independent, documented evidence that items ordered were received.

(7) Assess to what degree, the command enforces the requirement that AOs, cardholders, requestors, and property custodians comply with the personal property policies and procedures related to time frames for completing and submitting property input forms, and for recording accountable assets in the property management system.

(8) Verify that cardholder's accounts are cancelled when cardholders repeatedly acquire recurring services without command contracting coordination and approval.

5. Program Management (AIR-1.0)/ Corporate Operation (AIR-7.0), Enterprise Resource Planning-Systems Application Program (ERP-SAP). Determine to what extent the command has transitioned to, and utilizes the Navy's ERP-SAP. ERP-SAP is a world-class integrated software package designed to support of contracts management, accounting, budget formulation, support infrastructure management, inventory management, systems modernization, weapon systems acquisition, human capital, information security, and real property (the last three are government wide in scope); with the common element being the generation or use of financial data to support NAVAIRs business operations.

a. Objectives

(1) Assess to what degree, the Enterprise Solutions Program Office has provided training and guidance on the proper use of ERP-SAP and that a majority of the command's workforce to include leadership have attended this training.

(2) Assess to what degree, the command has transitioned to ERP-SAP for processing business related transactions to include personnel, organization, financial and project management responsibilities. Identify the type or category of transactions that are not being processed through ERP-SAP.

(3) Assess to what degree, the command receives accurate managerial and financial reports from ERP-SAP.

(4) Assess to what degree, the ERP-SAP help desk is responsive to correcting, advising, answering questions or problems associated with ERP-SAP.

(5) Assess to what degree, the command has established a formal avenue to forward problems, issues, or concerns pertaining to ERP-SAP to the Enterprise Solutions Program Office for quick resolution and/or response. Identify all outstanding action items, which the command has forwarded to the Enterprise Solutions Program Office for quick resolution and / or response.

(6) Identify what policy concerns the command may have with regards to ERP-SAP utilization. Prepare a list of the command's policy concerns.

6. Information Management Department (AIR-7.2), Navy Marine Corps Intranet, (NMCI). The NMCI is a multi-year program to outsource the vast majority of Navy and Marine Corps desktop, server, infrastructure, and communications assets and service needs. Through the NMCI services contract, the Navy plans to replace thousands of independent networks, applications, and other hardware and software with one secure network for all Navy and Marine Corps civilian and military personnel, including deployed forces. The Navy expects significant benefits will accrue from NMCI over the life of the contract to include: an uninterrupted flow of information; improvements to interoperability, security, information assurance, knowledge sharing, productivity, and operational performance; and reduced costs. Determine to what extent the command has transitioned to NMCI.

a. Objectives

(1) Assess to what degree the National NMCI War Room has communicated to the command software pushes, add/move/change status, interim seat process, and any other outstanding issues or concerns the workforce has made note of.

(2) Assess to what degree, the command has identified relevant and material NMCI implementation issues which materially impacts:

(a) The command's ability to move information electronically. Explain the problem.

(b) Utilization of on-going business processes. Identify which business processes.

(c) Access to, and control of common databases. Identify which databases or programs.

(3) Assess to what degree, the command has prepared implementation plans that include strategies for resolving the issues addressed in 6.a.2, above.

(4) Assess to what degree, the command has reduced the number of legacy computers and software applications.

7. Tenant Infrastructure Support (AIR-7.0/ Strategic leadership Support Department (AIR-7.10)). As a result of the DON Installation Claimant Consolidation, NAVAIR transferred shore installation management functions and resources to Commander. Navy Installations (CNI). On 1 October 2003, CNI will assume responsibility for providing host installation common support. Additionally, some functions remain with NAVAIR. Determine to what extent the command (Tenant) receives fair and equitable support from the activity (Region).

a. Objectives

(1) Assess to what degree to which the Host Tenant agreements are in place and clearly identify the service level provided to NAVAIR BUs.

(2) Assess to what degree to which CNI resolves disagreements pertaining to the Host Tenant agreements.

(3) Assess to what degree to which CNI provides:

(a) infrastructure support (existing support) to the command;

(b) timeliness of responsiveness to trouble calls; and

(c) quality and timeliness of major and minor repairs to the command's infrastructure.

(4) Assess CNI's process for obtaining additional facilities for support of mission (i.e., reassignment, minor construction and Military construction).

(5) Assess to what degree, CNI's uses mission funds for infrastructure support (Class 1 & 2 property, utilities, janitorial, etc).

(6) Assess to what degree to which CNI incorporates tenant evaluations into Installation Reports and involvement of tenants into setting funding priorities.

LIST OF REFERENCES

1. AIR-7.3/AIR-7.9.1, Command Climate

a. Section 2301 of Title 5, United States Code;

b. DON Policy on Pregnancy (SECNAVINST 1000.10);

c. Assignment of Women Members in the DON (SECNAVINST 1300.12);

d. Sexual Assault Prevention and Response (SECNAVINST 1752.4);

e. DON Policy on Sexual Harassment (SECNAVINST 5300.26);

f. Investigations of Sexual Misconduct Within the Department of the Navy (SECNAVINST 5527.2);

g. Military Whistleblower Protection (SECNAVINST 5370.7);

h. DON Policy on Hazing (SECNAVINST 1610.2);

i. Total Force Policy (OPNAVINST 1001.21);

j. DON Abortion Policy (SECNAVINST 6300.4);

k. Assignment of Women in the DON (OPNAVINST 1300.17);

l. Sexual Assault Victim Intervention Program (OPNAVINST 1752.1);

m. DON Equal Opportunity Policy (OPNAVINST 5354.1);

n. DON Fraternization Policy (OPNAVINST 5370.2);

o. Management of Pregnant Service Women (OPNAVINST 6000.1);

p. Continuing Guidance Concerning Program Application of Department of Defense Homosexual Conduct Policy (NAVADMIN 291/99);

q. http://catwin.nurdc.navv.mil (Command Assessment Team Survey Systems website); and

r. http://www.huuers.navy.mil (Navy Personnel Command website).

2. AIR-8.4, Lost Time Reduction Initiative:

a. DON Occupational, Safety and Health Program (DODINST 6055.1);

b. DON Occupational, Safety and Health Program (OPNAVINST 5100.23F); and

c. Reducing Lost Time to Injuries (ALNAV 063/02 Message).

3. AIR-09F1Aviation Safety Program Processes:

a. Naval Aviation Training and Operating Procedures System (NATOPS), (OPNAVINST 3710.78);

b. Naval Aviation Safety Program (OPNAVINST 3750.69);

c. Operational Risk Management (OPNAVINST 3500.39A);

d. Aviation Safety Checklist (NAVSAFECEN 3750.P1);

e. Aviation Safety Program (NAVAIRINST 3750.5);

f. Naval Air Warfare Center Aviation Safety Program (NAWCADINAWCWDINST 3750.1); and

g. http://www2.cnap.navy.mil/warning.asp (Naval Air Forces ORM information).

4. AIR-2.0, NAVAIR Government Purchase Card Program:

a. DON Personal Property Policies And Procedures (SECNAVINST 7320.10);

b. DON Policies and Procedures For The Operations And Management Of The Government Commercial Purchase Card Program (DON EBUSOPSOFFINST 4200.1); and

c. Government Commercial Purchase Card Program (NAVAIRINST 4200.42).

5. AIR-1.0, ERP-SAP

a. Development And Implementation Of Financial Management Enterprise Architecture (Public Law 107-314);

b. Financial Management Systems (OMB Circular A-127);

c. DoD: Financial Management Regulations (DODDIR 7200.14R);

d. DoD Information Technology Certification and Accreditation Process (DODINST 5200.40);

e. Information Technology Security Certification and Accreditation Process Application Manual (DOD 8510.1-M DOD);

f. NMCI Information processing standards and human computer interface standards based on SAP GUI and HTML client interfaces;

g. DoD Joint Technical Architecture Guide and NAVAIR Technical Architecture Guide;

h. NAVAIR ERP Architecture standards documented in C4ISR format;

i. NAVAIR ERP architecture (SIGMA) and technical standards documented with the NAVAIR SIGMA Technical Architecture Guide;

j. NAVAIRs SIGMA ERP utilizes SAP Version 4.6C with Joint Financial Management Improvement Program certification and is Chief Financial Act Compliant; and

k. Clinger Cohen Act (registered in accordance with Section 8102 of fiscal year 2001 Appropriations Act: OSD BIN#6043).

6. AIR-7.2, NMCI

a. With regards to NMCI, the DON has published information technology policy guidance for information assurance, information and systems security, however there is no effectiveenforcement mechanism in place to ensure compliance.

7. AIR-7.0/ AIR-7.10 Tenant Infrastructure Support

a. CNO N46 (102028Z JUL 03) Implementation Guidance/Facilities Support-Serial 004;

b. CNO Washington DC (0817302 MAY 03) Implementation Guidance (HR)-Series 003 Effective 1 Oct 03;

c. CNO N4 (222051Z MAY 03) Implementation Guidance/Regional Assimilation Guidance – Serial 002;

d. Transition Teams (by IMAP 2003 Business Core Model) Final Version dated 22 May 2003;

e. 2003 Installation Claimant Consolidation: Guidance for Assimilating Divesting Claimant Activities into Regions, Final Version dated 8 May 2003;

f. CNO N4 (032303Z APR 03) Implementation Guidance-Serial 001 Issue Detailed Implementation Guidance, Promulgate key Plan of Action Milestone (POA&M) Events;

g. CNI Mission, Functions, and Tasks dated 11 April 2003;

h. NAVADMIN 072/03 (271955Z MAR 03) Stand up of CNI, Report to CNO Effective 1 Oct 03; and

i. Chief of Naval Operation (CNO) Message. Responsibility for Installation Management Will Be Transferred From Existing Installation Management Claimants To New Activity, CNI dated 27 Mar 02.