

# MASTER FILE



## DEPARTMENT OF THE NAVY

NAVAL AMPHIBIOUS BASE LITTLE CREEK

2600 TARAWA COURT SUITE 100

NORFOLK, VIRGINIA 23521-3297

IN REPLY REFER TO:

NAVPHIBASELCREEK/  
REGPUBSAFETYINST 7510.1R  
N02MS  
7 Jul 99

### NAVPHIBASELCREEK/REGPUBSAFETYINST 7510.1R

Subj: FUNCTION AND RESPONSIBILITIES OF COMMAND EVALUATION AT  
NAVAL AMPHIBIOUS BASE LITTLE CREEK

Ref: (a) OPNAVINST 5000.52  
(b) SECNAVISNT 7510.9  
(c) NAVCOMPT Manual Vol. 1  
(d) CINCLANTFLTINST 7540.3H

Encl: (1) Conducting and Reporting of Command Evaluation  
Reviews  
(2) Command Evaluation Follow-up and Liaison

1. Purpose. To define the basic functions and responsibilities of the Command Evaluation (CE) function and to promulgate the general procedure to be followed to meet the requirements pertaining to CE utilizing references (a) through (c). Changes to this instruction constitute a major revision; therefore, additions, deletions, or changes are not individually marked.

2. Cancellation. NAVPHIBASELCREEKINST 7510.1Q is hereby cancelled and superceded.

3. Policy. As stated in reference (a), it is Chief of Naval Operations (CNO) policy that CE functions be implemented in all Naval commands and activities. CE performs reviews specifically directed by the Commanding Officer/Program Manager and reports the results directly and exclusively to the Commanding Officer/Program Manager.

4. Definition. Command evaluation is the conduct of periodic reviews, studies, analyses, or evaluations of command/activity operations. This function provides an in-house means to detect deficiencies, improprieties and inefficiencies, and to provide recommendations in order to correct the conditions that adversely impact on financial management, mission accomplishment, or the integrity of command.

5. Functions and Responsibilities. CE functions as a management tool to assist the Commanding Officer/Program Manager in effectively carrying out mission assigned/related responsibilities. The function focuses solely upon the problems of the command/activity and provides a responsible, readily available, and independent in-house means to detect and prevent fraud, waste, and abuse. In addition, and where applicable, the CE function includes:

MASTER FILE

a. Review of timekeeping and civilian payrolls and numerous other appropriated fund areas, in addition to non-appropriated fund instrumentalities.

b. Maintaining liaison with, and providing assistance to, auditors of the Naval Audit Service assigned to perform continuous, periodic, or integrated audits; providing similar liaison and assistance where appropriate to other audit or inspector representatives such as the General Accounting Office (GAO), Inspector General (IG), etc.

c. Monitoring the correction of deficiencies which are revealed during internal/external audits and recommending procedures to prevent recurrence of previously reported deficiencies.

d. Monitoring and critiquing the design and installation of financial and accounting systems and procedures, with emphasis upon the identification and use of valid audit trails, and other management controls.

e. Reviewing safeguards or refinements to existing controls for material and financial accountability.

f. Conducting random reviews to ensure proper execution of various directed programs such as:

- (1) Cost Reduction.
- (2) Budget Execution.
- (3) Physical Inventory Accuracy.
- (4) Energy Conservation Practices.

g. Developing and conducting reviews in those areas which are considered unique or critical to the operation and functions of Naval Amphibious Base Little Creek (NAVPHIBASE LCREEK)/Regional Public Safety (REGPUBSAFETY) as determined by the Commanding Officer/Program Manager for the safeguarding of resources.

h. Participating in reviews of other problem areas as directed.

i. Submitting status reports in accordance with reference (d).

NAVPHIBASELCREEK/  
REGPUBSAFETYINST 7510.1R  
7 Jul 99

6. Action. CE will perform the functions stated in paragraph 5 above according to the annual CE schedule as authorized by the Commanding Officer/Program Manager. Enclosure (1) provides general procedures to be used in the conducting and reporting of command evaluation reviews. Enclosure (2) provides procedures for follow-up and liaison.



W. C. WRIGHT, Sr.

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Stocked by:

Commanding Officer  
Naval Amphibious Base, Little Creek  
2600 Tarawa Court, Suite 100  
Norfolk, VA 23521-3297

CONDUCTING AND REPORTING OF COMMAND EVALUATION  
(CE) REVIEWS

1. CE reviews should be conducted in a manner that will minimize disruption to normal operations. The review should be a comprehensive assessment and evaluation supported by appropriate documentation. Upon completion, an objective and complete reporting of all pertinent facts is essential. The following provides guidance for the general conduct and reporting of reviews:

a. An initial meeting with operating officials will be held prior to beginning the review to explain the purpose, scope, and estimated duration. Responsible supervisors and operating personnel will be kept fully informed as the review progresses and normally given the opportunity to comment on findings as they are developed.

b. The scope of the review normally includes a determination for compliance with established policies and procedures, the reliability of records and reports, the validity of supporting documentation as these matters affect known or suspected problems, and a determination of the effectiveness of the operations reviewed.

c. Detailed examination and analysis of transactions, records, systems, and procedures will normally encompass only a small portion of the total transactions or records subject to review. Statistical sampling techniques will be used where possible to improve the quality of reviews and to reduce the workload impact upon operating personnel.

d. An exit conference will be held with responsible operating officials to discuss findings and inform them of the report content. Comments submitted during the review and at the exit conference will be considered in preparing the report.

e. Documentation will include preparation of working papers which clearly indicate the subject area reviewed, purpose, scope, source of data, and conclusions.

f. Line management personnel will be given the opportunity to review the facts to be presented in the report for completeness and accuracy.

g. CE final reports will be addressed and submitted directly to the Commanding Officer/Program Manager, via the Executive Officer/Assistant Program Manager for appropriate action.

NAVPHIBASELCREEK/  
REGPUBSAFETYINST 7510.1R

h. CE draft reports will be sent to the appropriate management personnel with a copy to the Executive Officer/Assistant Program Manager.

i. All CE correspondence/reports will be signed by the Management Support Officer.

COMMAND EVALUATION FOLLOW-UP AND LIAISON

1. Follow-up on the implementation of CE recommendations is vital if CE is to be a viable tool of management. The following provides amplification of follow-up action:

a. CE will follow-up on each recommendation approved by the Commanding Officer/Program Manager and also on agreed recommendations resulting from outside audits.

b. The follow-up should determine the extent and effectiveness actions and be continued until all are recommended and completed. Records should be maintained to document follow-up action.

c. Departments/Regional staffs and storefronts will submit a status report to CE covering all recommendations approved by the Commanding Officer/Program Manager. Reports will be made monthly until approved recommendations have been implemented.

2. While the foregoing functions are essential, care should be exercised to ensure that the CE function does not become one where recordkeeping and monitoring subvert the primary purpose of reviewing command operations.

