NAVAL INSPECTOR GENERAL
COMMAND INSPECTION OF
NAVAL HISTORY AND HERITAGE COMMAND
15 TO 23 AUGUST 2011

DEPARTMENT OF THE NAVY
NAVAL INSPECTOR GENERAL
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Subj: COMMAND INSPECTION OF NAVAL HISTORY AND HERITAGE COMMAND

Ref: (a) SECNAVINST 5040.3A

1. In accordance with reference (a), the Naval Inspector General (NAVINSGEN) conducted a command inspection of Director, Naval History and Heritage Command (NAVHISTHERITAGECOM) from 15 to 23 August 2011. NAVHISTHERITAGECOM's mission is to collect, preserve, protect and make available the artifacts, documents, and art that best embodies our naval history and heritage for present and future generations; advance the knowledge of naval history and heritage through professional research, analysis, interpretation, products and services; make naval history and heritage "come alive" for our Sailors and Marines to enhance readiness and esprit de corps; and remind America of its need to maintain a strong Navy and Marine Corps to protect its citizens, their freedoms and the nation's maritime commerce.

2. Three core mission areas are at risk in the future because of facilities challenges, command practices and resource constraints. The first is the lack of proper environmental control and storage for archive materials including microfilm and digital media (CD-ROMs). The second is the disenfranchisement of the professional historian, curator, archivist and librarian workforce due to their marginalization in decision processes and lack of advancement opportunity. The third mission area at risk is the collection of Navy history in the form of written submissions, which over 60 percent of commands are delinquent in completing, and the oral history of current events for which there are too few historians to collect the information. Of note, NAVINSGEN pre-inspection surveys indicated leadership support, command climate and advancement opportunities as top issues at NAVHISTHERITAGECOM. The top three concerns of focus group participants were leadership, communication and facilities. Based on survey data, the perceived quality of work life at NAVHISTHERITAGECOM is the worst we have observed since NAVINSGEN began collecting such data in January 2006.

3. Navy leadership should consider, as a matter of priority, the appointment of a blue ribbon panel of eminent historians for the purpose of making independent recommendations to Navy leadership on a way ahead within 60 days. This panel could ideally resemble the Secretary of the Navy's Advisory Subcommittee on Naval History whose charter expired in 2010.

4. NAVINSGEN visited NAVHISTHERITAGECOM to conduct a health and comfort review from 13 to 14 April 2010. Although this was the first major inspection of NAVHISTHERITAGECOM since it was designated an Echelon II command in 2008, we found a lack of significant improvement on documented deficiencies since the health and comfort review.

5. This report has two parts. Part one forwards our overall observations and findings. Part two contains three issue papers presenting specific findings and recommendations for Navy leadership. Part two also contains a corrective action summary matrix (Page 23) and guidance for commands on submitting corrective actions via Implementation Status Reports (ISRs) (Page 24). Commands are tasked with submitting initial ISRs to NAVINSGEN not later than 29 February 2012. The summary of survey data analysis for active duty military and DON civilian personnel is included at Appendix A (Page 31). The summary of focus group data analysis for active duty military and DON civilian personnel is included at Appendix B (Page 63).

6. My point of contact is [(b)(7)(c)], Inspections Division Director. [(b)(7)(c)] can be reached at 202-433-[(b)(7)(c)], DSN 288-2268, or e-mail [(b)(7)(c)]@navy.mil.

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EXECUTIVE SUMMARY

1. Our assessment began with web-based personnel surveys conducted prior to our arrival. The surveys helped frame on-site focus groups and provided background for the team to determine areas which might require further inspection. A total of 59 active duty military and Department of Navy (DON) civilians responded to our on-line survey. We conducted ten focus groups, with a total of 41 military and civilian participants, to assess overall Quality of Life (QoL) at Naval History and Heritage Command (NAVHISTHERITAGECOM). On a scale of 1 to 10 (1 = 'worst' to 10 = 'best'), active duty military and DON civilian personnel survey respondents indicated their Quality of Work Life (QoWL) at 5.44 and their Quality of Home Life (QoHL) at 7.32. The QoWL scores are lower than our NAVINSGEN rolling average of 6.27. Of note, the QoWL scores are the lowest ever observed throughout the existing NAVINSGEN database, which spans five years. However, their QoHL scores are higher than our NAVINSGEN rolling average of 7.00. Active duty military and DON civilian personnel focus group participants rated their overall QoL at 5.31. Top concerns among the personnel at NAVHISTHERITAGECOM based on information gathered from focus groups were: leadership, facilities, communication, tasking, and military-civilian relationships. Pre-inspection surveys indicated leadership support, command climate and advancement opportunities as top issues.

2. Our inspection included a review of 39 programs binned under the functional categories of mission performance; facilities, environmental and safety; resource management and quality of life; and good order and discipline. In doing so, we inspected the effectiveness of NAVHISTHERITAGECOM's support to the lower echelon museums, the USS CONSTITUTION repair detachment and the historic ship NAUTILUS.

3. Of the 39 programs inspected, 11 programs were assessed as on track, nine programs need more attention to be on track and 19 programs were assessed as off track.

4. The following programs were on track (fully compliant):

    a. *Training*
    b. *Continuity of Operations (COOP) Plan*
    c. *Command Indoctrination*
    d. *Enlisted Retention Board*
    e. *Voting Assistance*
    f. *Suicide Prevention*
    g. *Physical Readiness*
    h. *Command Evaluation and Review (CER)*

i. *Government Travel Charge Card*
j. *Government Commercial Purchase Card*
k. *Sexual Assault Prevention and Response (SAPR)*

5. The following programs need more attention to be on track (not fully compliant):

a. *Strategic Planning*. NAVHISTHERITAGECOM organized a Strategic Planning Office that has engaged the Office of the Secretary of Defense (OSD), Office of Strategic Management and Performance and is working on programming and resource allocation as well as future project planning. Since their command inspection, they completed and promulgated a strategic plan in November 2011. Their challenge is they must overcome 30 years of organizational muscle memory and absolutely overwhelming backlog in both archive (68 years) and art/artifact (30 years) processing and preservation in an extremely constrained fiscal environment. NAVHISTHERITAGECOM quantifies this backlog to process as 476 man-years for archives and 168 man-years for art/artifacts, based on their projected manpower and manning increases.

b. *Command Relationships and Echelon III (Museum) Support*. Eight historical activities were visited including the USS CONSTITUTION, historic ship NAUTILUS and museums at Naval Air Station Patuxent River (NAS Pax River), United States Naval Academy (USNA), Naval War College and the National Museum of the U.S. Navy at Washington Navy Yard. Irregular funding exacerbated by poor communication has resulted in staff shortfalls and creates excessive budget uncertainty within lower echelons.

c. *Individual Medical Readiness (IMR)*. There is limited headquarters level management of the IMR program. However, despite this IMR was at 72 percent just three percent below the Secretary of Defense (SECDEF) minimum requirement. The coordinator is not assigned in writing and there is no oversight, monitoring or reporting on Echelon III organizations.

d. *Legal/Ethics*. The command functioned without a counsel until 6 June 2011. Since then, Counsel has been building an effective program. As Counsel continues to build the program, the command should re-evaluate requirements to determine if additional attorneys may be necessary. Counsel should ensure the command has an effective process to identify, notify, document and track required files of Forms 450 and 278 and ensure the command completes annual ethics training. The command should ensure Counsel has direct access to the Director

and continue their effort to fully establish and integrate the legal and ethics program into NAVHISTHERITAGECOM.

Counsel recognizes gift acceptance and relations with Non-Federal Entities (NFEs) as a very significant practice area given NAVHISTHERITAGECOM's mission and oversight responsibilities and the number of NFEs (museum and historical foundations) that support the command and its lower echelon organizations. Counsel is involved in updating the NAVHISTHERITAGECOM/Navy Historical Foundation memorandum of understanding (MOU) and recognizes the need to review lower echelon relationships with supporting foundations.

e. *The Drug and Alcohol Program Advisor (DAPA)*. The DAPA has not established a deglamorization program and required annual general military training (GMT) completion is not being documented in the Fleet Training Planning Management System (FLTMPS).

f. *Managers' Internal Control (MIC)*. The MIC Coordinator is appointed in writing and has received proper training. Required documentation was readily available and quarterly updates on previously identified weaknesses are provided and training documentation is being maintained centrally by the command inspector general. Each division and lower echelon command has at least one MIC coordinator assigned, who has also received training. However, the command inspector general's office has only one person assigned to manage the MIC program, conduct command evaluations and conduct investigations. It is understaffed to properly coordinate the MIC program from a claimancy perspective and perform other required inspector general functions.

g. *Financial Management (FM)*. The new comptroller and deputy comptroller have made great strides improving accountability at the command, but the staff is undermanned. Headquarters needs to provide greater Echelon III oversight in the command's planning, programming, budgeting and execution of responsibilities. An audit should take place in about one year (FY13) and assistance from the Naval Auditor General should be requested immediately.

h. *Information Technology/Information Management /Information Assurance*. The Command Information Officer (CIO) is not utilized in his capacity as the principal Information Technology advisor to the Director, in accordance with DON guidance. DON CIO Memorandum of 25 January 2008 defines roles, relationships and core competencies of Navy Command Information Officers. The majority of the CIO's time is spent answering IT

questions and responding to IT trouble calls. He does not appear to be fully integrated in decisions concerning IT procurement to support the museums and outreach programs. Although the CIO has made progress in building an effective program over the past year, more work is needed in the area of information assurance.

   i. *Environmental Oversight.* Echelon II commands typically exercise program oversight of their subordinate activities to ensure they comply with applicable Navy policies and plan, program and budget sufficient resources to meet environmental, natural resource and cultural resource requirements. OPNAVINST 5090.1C as of 30 October 2007 places this responsibility with Budget Submitting Offices (BSOs). Since Echelon II commands and BSOs are not always synonymous, these responsibilities are misaligned in some cases. Such is the case with NAVHISTHERITAGECOM. This issue was brought to the attention of the Chief of Naval Operations' (OPNAV) staff for correction in the soon to be released OPNAVINST 5090.1D, Environmental Readiness Program Manual.

6. The following programs were assessed as off track (non-compliant):

   a. *Mission Requirements/Resourcing.* Mission areas are not prioritized and the staff feels they are often forced to respond to reactive, disruptive, pop-up tasking, rather than long-term, well planned projects.

Recommend archive and artifact preservation be given due priority along with capturing historical records of more recent operations to safeguard and make available historical information, which may be valuable to planning or informing future operations.

   b. *Communications.* Significant frustration exists within NAVHISTHERITAGECOM because the rationale of assigning mission priorities is not clear to the staff. For example, a significant investment of time, effort and other resources is being focused on preparing for the War of 1812 bicentennial event; yet historical microfilm war records are being irrevocably lost due to their poor storage environment. The staff of professional historians is frustrated and believes their concerns are being ignored. NAVHISTHERITAGECOM published their strategic plan in November 2011, but at the time of our inspection, no prioritized plan for triage and recovery of archive preservation had been promulgated.

Communications must improve both internally and externally, to decrease uncertainty and increase transparency, efficiency and effectiveness throughout the command headquarters and with its subordinate activities.

   c.   *Manpower/Manning - Civilian Personnel Management.* NAVHISTHERITAGECOM has no viable Human Resources Staffing Plan. A staffing plan would help to organize command staffing, recruit new hires and project the command's future needs. This is significant considering up to 50 percent of their current workforce will be retirement eligible in the next five years. Additionally, a staffing plan would assist in identifying career ladder positions to grow a senior civilian workforce from within, providing promotion opportunities for employees. There are twenty professional historians at NAVHISTHERITAGECOM. Among their senior leadership, division director and above, only the Museums & Collections Division Director position is staffed by an experienced professional historian. Most notable is the lack of one or two eminent historians to advise the Director.

   d.   *Command Security.* A number of security program shortfalls were identified. The Security Manager does not have the required training or previous experience to hold a position of this magnitude and unique nature. Additionally, the designated Security Manager is not authorized to actually hold the position based on his current clearance and background investigation status. Recommend hiring a well experienced civilian security manager with security clearance that meets the requirements of the highest level of classified material held by NAVHISTHERITAGECOM. A civilian is recommended over a military officer holding this position because the complexities at the command require the continuity a civilian security manager would bring. Part I, Issue Papers 1 and 2, refer (Pages 25 and 27).

   e.   *Facilities.* With the exception of building 200, NAVHISTHERITAGECOM facilities and offices at the Washington Navy Yard are inadequate to support the command's mission of historic preservation and the administrative requirements of the staff. NAVHISTHERITAGECOM facilities do not meet temperature and humidity control requirements necessary to preserve the Navy's historical archives and artifacts. Long-range solutions are expensive and will have difficulty competing against the Navy's other mission requirements. Short-term plans are not comprehensive to NAVHISTHERITAGECOM facility inventory and only address heating, ventilation, and air conditioning (HVAC) and moisture concerns in a few key buildings. Additionally, the existing short-range plan is only partially funded, suboptimal and does not meet overall requirements. A coordinated NAVHISTHERITAGECOM facility plan between NAVHISTHERITAGECOM,

Commander, Naval Installation Command (CNIC) and Naval Facilities Engineering Command (NAVFAC) is under contract to incorporate both short and long-term planning to bring facilities up to minimum standards. Recommend action be taken, as a matter of priority, to move deteriorating archives to a facility with favorable temperature and humidity controls to stop archive decay and preserve this historical information. Whatever is done, in the end, <u>must include</u> provisions for making archives available on a continuous basis for research.

f. *Safety and Occupational Health.*

(1) *Safety-Command Support.* The NAVHISTHERITAGECOM Facilities Manager is also the collateral duty Safety Manager. However, a headquarters command requires a fully trained and qualified safety professional to lead the safety organization. Part II, Issue Paper 3, refers (Page 29).

(2) *Safety and Occupational Health (SOH) Management Evaluations.* NAVHISTHERITAGECOM has not conducted safety and occupational health management evaluations at subordinate activities within the required three year periodicity. A review of industrial hygiene surveys dating back to July 2010 and discussions with industrial hygiene, environmental and safety professionals assigned to Naval Air Station Pensacola, revealed poor work practices at the National Naval Aviation Museum, Pensacola that resulted in personnel exposures to toxic metal dust levels in excess of Occupational Safety and Health Administration standards. There was also contamination of the workplace and potential improper environmental releases of hazardous material. NAVHISTHERITAGECOM did not become aware of these issues until August 2011 due to lack of oversight. NAVHISTHERITAGECOM has initiated corrective action by implementing new training requirements and standard operating procedures.

(3) *Safety Self-Assessments.* NAVHISTHERITAGECOM has not reviewed the self-assessments conducted by subordinate commands. OPNAVINST 5100.23G, section 0505 discusses the requirements and responsibilities for the SOH self-assessment program. In addition, the October 2010 Chief of Naval Operations, NAVADMIN amplifies the level of involvement for Echelon II, III, and IV commands in the Navy's SOH self-assessment program.

g. *Command Individual Augmentation Coordinator (CIAC).* The coordinator is not assigned in writing, not trained and performs no headquarters or Echelon III oversight. Although, there are currently no command personnel on individual augmentee (IA) or GWOT support assignments (GSA), there has been no monitoring of

incoming personnel to check if they were previously serving as an IA or on GSA prior to checking into the command.

    h. *Post Deployment Health Reassessment (PDHRA)*. There is no active tracking to ensure completion of the Post Deployment Assessment (DD form 2796) or Reassessment (DD form 2900) programs.

    i. *Command Managed Equal Opportunity (CMEO)*. The recent Command Climate Assessment (CCA) was not completed in accordance with OPNAVINST 5354.1F. Navy Pride and Professionalism training is not being properly documented for military personnel in Fleet Training Management Planning System (FLTMPS).

    j. *Urinalysis Program Coordinator (UPC)*. Command UPC is a Petty Officer First Class (PO1). He has completed the recommended online UPC course and is designated in writing by the Commanding Officer. However, quarterly inspections have not been conducted by an officer or Chief Petty Officer (CPO), as required by OPNAVINST 5350.4D.

    k. *Information Assurance Workforce (IAWF)*. An IAWF program is not in place. However, a team has been established, it is aware of required program elements and working towards building a viable program.

    l. *Personally Identifiable Information (PII)*. The PII Coordinator has established a baseline program in the short time he has been designated as the PII coordinator. Although core elements are in place, the PII instruction has not been signed, there are no approved procedures for providing access to PII in the archives to prevent inadvertent disclosure, and there is no plan in place to limit access or redact PII in the library.

    m. *Personal Property Management*. NAVHISTHERITAGECOM's property management program is not in compliance with SECNAVINST 7320.1A, DoD Instruction 5000.64, and SECNAVINST 7320.10A. NAVHISTHERITAGECOM has not established a means to manage personal property within headquarters or provide effective personal property management oversight for their claimancy.

    n. *Heritage Asset Management*. The command is not incompliance with DoD, FMR Vol. 4, Proper Asset Management Practices. The shortfall has been identified and additional personnel are slated to be hired in FY13 to help alleviate the situation. Additionally, NAVHISTHERITAGECOM has no technical personnel aboard who can properly maintain the Department of the Navy Heritage Asset Management system (DONHAMS). There are

plans to move the system to Defense Information Systems Agency (DISA), but funding this initiative remains a challenge.

o. *Inspector General Structure*. NAVHISTHERITAGECOM is not in compliance with SECNAVINST 5430.57G. Their command inspector general does not report directly to the director and does not participate in leadership meetings. The location of their inspector general's office is not conducive to providing entry that would ensure anonymity of command members. Per SECNAV instruction, NAVHISTHERITAGECOM is not required to have an inspector general. But since they do, the command must operate in accordance with SECNAVINST 5430.57G. NAVINSGEN conducted a Hotline Quality Assurance Review (QAR) concurrently with this command inspection. NAVHISTHERITAGECOM received an unsatisfactory rating on this QAR, which will be addressed in detail via separate report.

p. *Dive Program*. NAVHISTHERITAGECOM's dive program to conduct underwater archeology, is not operating in accordance with OPNAVINST 3150.27. All diving operations should be suspended until the program is either brought into compliance or a waiver is approved by CNO (OPNAV N87).

q. *Sailor Career Management Programs*. Career management programs; to include conduct of Career Development Boards and Sailor preparation for retention under Perform-To-Serve, have not improved since our last visit. Assignment to NAVHISHERITAGECOM is not conducive to junior Sailor development. After a three to four year tour, a junior Sailor would have little to no in-rate experience, no warfare qualification and would not be competitive to stay Navy, given the force shaping programs currently in place. Recommend Sailors, E-4 and below, no longer be assigned to NAVHISTHERITAGECOM headquarters.

r. *Sponsorship Program*. Focus group feedback and sponsor critiques indicated enlisted Sailors are not being contacted and assigned appropriately trained sponsors prior to their arrival and check-in at NAVHISTHERITAGECOM.

s. *Perform to Serve (PTS)*. NAVHISTHERITAGECOM has ten enlisted personnel assigned. Since 2010, one Sailor has been separated as a result of PTS. That Sailor did not receive the required reviews by PTS because the command did not input the Sailor's data into the PTS system. Also, there are three Sailors currently being reviewed by PTS. NAVINSGEN's Command Master Chief provided guidance to the Command Career Counselor on how to enter PTS data into the system.

COMMAND INSPECTION OF
NAVAL HISTORY AND HERITAGE COMMAND

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PART 1

OBSERVATIONS AND FINDINGS

OBSERVATIONS AND FINDINGS

1. The Naval Inspector General (NAVINSGEN) conducted a Command Inspection of Director, Naval History and Heritage Command (NAVHISTHERITAGECOM) from 15 to 23 August 2011. To prepare for this inspection, we requested NAVHISTHERITAGECOM forward several key documents in advance of our visit. These included the NAVHISTHERITAGECOM command brief, significant issues of concern, recent NAVHISTHERITAGECOM command climate assessments, a summary of top issues, areas of greatest risk, and most significant accomplishments from the director's perspective. These were provided and served to focus our understanding of NAVHISTHERITAGECOM's mission, challenges and risks. The total temporary duty cost for this command inspection was $8,062.86.

2. NAVHISTHERITAGECOM's mission is to collect, preserve, protect and make available the artifacts, documents, and art that best embody our naval history and heritage for present and future generations; advance the knowledge of naval history and heritage through professional research, analysis, interpretation, products and services; make naval history and heritage "come alive" for our Sailors and Marines to enhance readiness and esprit de corps; remind America of its need to maintain a strong Navy and Marine Corps to protect its citizens, their freedoms and the nation's maritime commerce.

I. AREAS/PROGRAMS ASSESSED

NAVINSGEN Teams assessed the following areas and programs:

Mission Performance

    Mission Requirements/Resourcing (mission, functions, tasks)
    Strategic Planning
    Command Relationships and Echelon III (museum) Support
    Communications (Internal and External)
    Manpower/Manning
    Training
    Continuity of Operations (COOP) Plan
    Command Security

Facilities, Safety, and Security

    Facilities
    Environmental Oversight
    Safety and Occupational Health

Resource Management/Quality of Life

    Post Deployment Health Re-assessment (PDHRA)
    Suicide Prevention
    Individual Medical Readiness
    Command Individual Augmentation Coordinator
    Voting Assistance

Legal and Ethics
Command Managed Equal Opportunity
Sexual Assault Prevention and Response Program (SAPR)
Drug and Alcohol Advisor (DAPA)
Urinalysis Program Coordinator (UPC)
Information Technology/Information Management/Information Assurance
Information Assurance Workforce (IAWF)
Personal Identifiable Information (PII)
Physical Readiness
Command Evaluation and Review
Managers' Internal Control
Personal Property Management
Heritage Asset Management
Government Commercial Purchase Card Program
Government Travel Charge Card Program
Inspector General (INSGEN) Structure
Dive Program
Financial Management
Sailor Career Management Programs
Command Indoctrination
Sponsorship Program
Enlisted Retention Board (ERB)
Perform to Serve (PTS)

II. MISSION PERFORMANCE

1. <u>Introduction</u>. The Mission Performance Team assessed NAVHISTHERITAGECOM's mission definition and performance, strategic planning, command relationships, organizational communications, Total Force (Human Resources (HR)/military manpower and manning), command training, Continuity of Operations (COOP) Plan and command security programs. The Mission Team inspection included multiple interviews within the four major divisions and their associated branches (Operations, Museums and Collections, Histories and Archives, and Commemorations (see Chart A), as well as their Strategic Planning Office, the Cheatham Annex storage facility, the Large Cavitation Channel storage facility in Millington, six lower Echelon museums (National Museum of the U.S. Navy, U.S. Naval Academy Museum, Patuxent River Naval Air Museum, Naval War College Museum, USS CONSTITUTION[1] and the Submarine Force Museum), the USS CONSTITUTION repair detachment and the historic ship NAUTILUS.

2. <u>Mission</u>. NAVHISTHERITAGECOM's Mission, Functions and Tasks (MF&T) Statement was approved by the Director, Navy Staff (DNS) in July 2011. The development and approval of the MF&T reflects a solid staff effort since NAVHISTHERITAGECOM's Health and Comfort Review, conducted by NAVINSGEN in 2010. Some of the functions and responsibilities outlined in the MF&T are not being effectively accomplished due to limitations on both facilities (e.g. improper

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[1] USS CONSTITUTION remains a commissioned ship. It is an independent Echelon II command that reports to the Director, Navy Staff but is maintained by the Naval History and Heritage Command.

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storage environments) and resources (manpower and equipment). At the time of the inspection, there was a lack of detailed planning to resolve mission shortfalls through either manning, equipment or facilities upgrades given the current Navy operating environment and budget constraints.
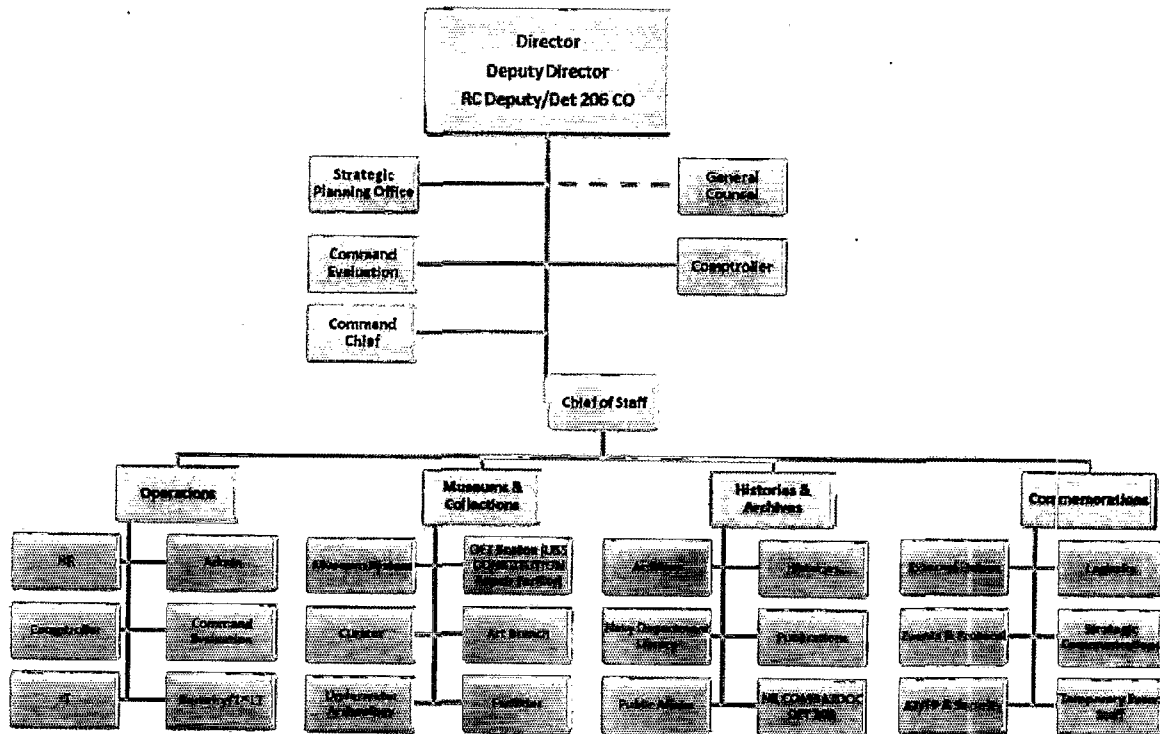

Chart A - NAVHISTHERITAGECOM Organizational Chart

NAVHISTHERITAGECOM reported the following deficiencies in their assigned mission areas:

a. Archives and Library (68 year backlog). The current archival backlog is 11.3K ft^3 of paper, 10,864 reels of microfilm, and 5.67 terabytes of e-data. Digitization is required and many storage facilities lack proper environmental control. Almost 170,000 of 200 million pages are in backlog and in danger of degradation or loss. Unprocessed or partially processed records result in lack of access by the Office of the Chief of Naval Operations (OPNAV) staff, fleet and other users. This prevents effective use of a range of permanent decisional, operational and programmatic records necessary for historical context, analysis, policy development and decision-making.

Archive collection processing, management, search and retrieval processes are limited by a lack of proper manning, access to technology and facilities. Pilot programs were funded to establish a methodology to eliminate the backlog; however, an integrated hardware and software acquisition and implementation plan to leverage the recently completed pilot programs has not been developed.

NAVINSGEN is particularly concerned with the lack of proper storage for archive materials including microfilm and digital media (CD-ROMs). One mitigating action was the purchase of a laboratory-grade industrial refrigerator to store the most at-risk microfilm; however, the refrigerator cannot operate properly in the high humidity environment of the archives.

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b. Artifacts and Art (30 year backlog). NAVHISTHERITAGECOM currently has an artifact backlog of over 60,000 assets; over 200,000 additional assets require full curation. Over 30,000 art assets are managed as well. Many storage facilities lack environmental control. Mold and other damage due to the poor environment were observed on several original paintings. There is inadequate inventory transparency and management of historic property. Full inventory migration from paper and old systems to a single system is awaiting system program stability. This initiative has not been planned with specific milestones or well defined metrics nor has the hardware and software system been developed, approved or acquired.

c. Recording History (lack of fleet historians). Currently NAVHISTHERITAGECOM provides one OPNAV historian but no fleet and operational historians on a full-time basis. NAVHISTHERITAGECOM is leveraging its reserve component historians in an attempt to establish policies for fleet historians. A significant number of commands (over 60 percent) are delinquent in submitting their Command Operations Reports and there is little effort to capture oral history on current operations.

NAVINSGEN recommends archive and artifact preservation be urgently worked as a matter of priority. Capturing historical records of more recent operations, to safeguard and make available historical information which may be valuable for planning or informing future operations is also needed.

d. Museums. There is no comprehensive plan for facilities and museum operations for the 11 museums, USS CONSTITUTION and historic ship NAUTILUS. Only four museums are American Association of Museums accredited. The challenges of access to the Washington Navy Yard adversely impact the number of visitors to the National Museum of the U.S. Navy. Additionally, the museum has difficulty meeting proper environmental controls in a facility that is over 100 years old. We understand the concept of moving the museum to a modern facility off-site has been generally approved. However, no significant planning or funding has been completed to create a museum that offers the quality of experience that is on par with the National Museum of the United States Marine Corps at Quantico or even the National Naval Aviation Museum in Pensacola.

e. Web Presence. Currently, NAVHISTHERITAGECOM is operating a legacy website and social media accounts with a part-time, collateral duty, ad hoc staff of four. This is a significant area of outreach as website and Facebook visitors numbered almost 50 million in 2010. Specific planning in this area is absent pending the hiring of additional personnel.

f. Commemorations. Since 2008, the command has realigned its own staff to support creation of the Commemorations Division. This division is staffed and resourced to support the War of 1812 Commemoration only. Long term staffing and resourcing is required to support upcoming commemorative events. The standup of this division was directed by senior Navy leadership and the NAVHISTHERITAGECOM MFTs were modified to require significant leadership in planning all commemorations. Although the War of 1812 Commemoration is advertised to be the NAVHISTHERITAGECOM "moon shot" that propels the image of the Navy and public perception out of its historic low (see Chart B), many staff historians feel senior NAVHISTHERITAGECOM leadership is focused on commemorations to the exclusion of other critical mission areas.

	"Which 'Service' is the most important to our national defense?"						
	Air Force	Army	Navy	Marines	Coast Guard	Same	No opinion
June 2011	17%	25%	11%	24%	3%	16%	3%
May 2004	23%	25%	9%	23%	4%	12%	4%
April 2002	36%	18%	17%	16%	1%	10%	2%
May 2001	42%	18%	15%	14%	—	9%	2%

Source: Nationwide Gallup polls 2001-2011

Chart B – Gallup polls 2001-2011

The generic solution for many of the mission shortfalls identified above was to secure additional funding that will allow hiring of personnel commencing in fiscal year (FY) 13. The human resources branch is not well prepared for the proposed task of hiring an additional 47 personnel with very unique skills and experience. A slow hiring process will result in further delays in correcting the deficiencies listed above.

Mission Requirements and Resourcing is assessed as off track.

3. <u>Strategic Planning</u>. The command has developed a Strategic Planning Office (SPO) that has engaged Office of the Secretary of Defense's (OSD) Office of Strategic Management and Performance and is working on programming and resource allocation as well as future project planning. In November 2011, NAVHISTHERITAGECOM promulgated a revised strategic plan. Their challenge is to overcome 30 years of organizational muscle memory and overwhelming backlog in both archive and artifact processing and preservation in an extremely constrained fiscal environment. The following represents NAVINSGEN observations during the command inspection.

a. The Strategic Planning Office is an experienced team, well qualified to complete strategic planning for NAVHISTHERITAGECOM. However, their efforts have not been translated to reach the core of the organization. The SPO has not developed effective metrics by which to evaluate progress on its prioritized mission areas.

b. The SPO only recently provided a tangible product (November 2011 release of the NAVHISTHERITAGECOM Strategic Plan) to the Branch Heads and Museum Directors. This group has been frustrated by the shrinking of their staffs, while the SPO staff expanded to include two NAVHISTHERITAGECOM civilian personnel, one NAVHISTHERITAGECOM contractor, three part time OSD civilians (senior executive service (SES), general schedule (GS-15), and GS-13), and two full time International Business Machines (IBM) Strategic Management consultants (one Master Black Belt and one Green Belt). There is a disenfranchisement of the NAVHISTHERITAGECOM professional historian, curator, archivist and librarian workforce and an underutilization of their core corporate knowledge due to their marginalization in the decision processes and a lack of chance to compete for limited advancement opportunities. The SPO has found it particularly challenging to convince the staff that the organization is improving.

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c. A strategic communications plan was developed and remains unused. The public affairs office does not contribute to the development and communication of the command's strategic plan. A dynamic link between strategic communications and strategic planning does not exist.

d. The charter for the Secretary of the Navy's Advisory Subcommittee on Naval History, which was originally established in 1956 and included eminent historians, expired in 2010. The function was transferred to the Department of the Navy Secretariat in January 2009. This group of eleven professionals was originally chartered to provide independent advice and recommendations on matters pertaining to preserving the heritage and legacy of the naval service and disseminating its rich history to the service and the American public. No meetings in this organization have occurred in the past three years.

Strategic Planning needs more attention.

4. <u>Command Relationships</u>. Eight historical activities and museums were visited. Irregular funding exacerbated by poor communication has resulted in staff shortfalls and created excessive budget uncertainty among lower echelons. Several museums expressed frustration at witnessing their already dwindling staff billets being centralized in NAVHISTHERITAGECOM headquarters with little warning or explanation.

Command Relationships and Echelon III support needs more attention.

5. <u>Communication</u>.

a. In response to comments received during the Health and Comfort review, NAVHISTHERITAGECOM introduced an enterprise-wide intranet, a weekly newsletter, and all hands e-mails are that are sent on a regular basis. However, a majority of the staff does not consider these to be effective means of communicating the command-level vision and priorities.

b. A newly promulgated strategic plan lists command priorities as of November 2011. At the time of the inspection, mission areas had not been prioritized by either the command leadership or the Strategic Planning Office. Of note, the staff felt they were forced to respond to reactive, disruptive, pop-up tasking surging from crisis to crisis, rather than execute long-term, well planned projects. Inspection results indicated that NAVHISTHERITAGECOM is mired in communication problems that have manifested into the worst Quality of Work Life score NAVINSGEN has observed in over five years.

c. Significant frustration exists within NAVHISTHERITAGECOM because the rationale of assigning mission priorities is not clear to the staff. For example, a significant investment of time, effort, and other resources is being focused on preparing for the War of 1812 bicentennial event; yet historical microfilm war records are being irrevocably lost due to their poor storage environment. The staff of professional historians is frustrated and believes their concerns are being ignored. Prior to NAVHISTHERITAGECOM publishing their strategic plan and during the time of this inspection, no prioritized plan for triage and recovery of archive preservation had been promulgated.

d. Communications both internally and externally must improve to decrease uncertainty and increase transparency, efficiency and effectiveness throughout the command headquarters and with its subordinate activities.

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Communication is assessed as off track.

6. Manpower/Manning.

a. Total Force Human Capital Management and manpower management underwent significant changes during the past two years. The Human Resource (HR) staff increased by five in the past year, two individuals came on board at the end of FY11. Civilian manning stands at 95 percent. Military manning is over 100 percent of billets authorized based on the presence of reserves filling active component billet gaps and the assignment of limited duty personnel. Contractors fill the skill gaps and act as special project program managers until full time equivalent (FTE) personnel are phased in over the Future Years Defense Program (FYDP).

b. The Human Capital Office responsibilities include workforce planning, recruitment and retention, position management, employee relations, performance management and employee development. Additionally, they function as the equal employment opportunity (EEO) oversight liaison with Human Resource Office (HRO), Naval District Washington and the intranet web portal manager.

c. Upon arrival in 2009, the Human Capital Officer performed an HR 'needs analysis' which focused on HR requirements as they correspond to goals in the NAVHISTHERITAGECOM Strategic Plan. This analysis provided a missing piece to the previous strategic plan which did not link the organization's requirements, compensation and skills needed for projected billet growth. A Position Management Board (PMB) was established based on this "needs analysis". The PMB adjudicates disputes, reviews vacancies and prioritizes fills based on organizational needs. The PMB can reach across the organization to place billets where needed and sets appropriate grade and compensation. For example, two positions from Hampton Roads museum and two positions from the Boston Detachment were moved to headquarters in 2009, as a result of a staffing decision from the PMB. However, this was done without effective communication or input from the museums and it is unclear whether these billets were in excess, which may have adversely impacted the field museums. There needs to be more transparency of the PMB's decisions to allow better communication and planning for the museums and their respective staffs.

d. The complexity of human resource processes and procedures is a source of frustration within NAVHISTHERITAGECOM. Moreover, consistent flux in the organization's planned end-state, the appearance of taking on new projects and missions without the necessary staff in place, and the external constraints placed on the supporting HRO, slows on-boarding progress and impacts NAVHISTHERITAGECOM's day-to-day mission execution. Specifically, the Naval District Washington HRO staff is undermanned with only five of seven positions filled. These five individuals service six Echelon II commands which represent over four thousand customers. Despite this external limitation, NAVHISTHERITAGECOM would benefit from creating an HR Staffing Plan to identify and organize the work needed within the command and focus on how to recruit new hires and project the command's future needs. This is significant considering up to 50 percent of their current workforce will be retirement eligible in the next five years (curators, historians and archivists). Additionally, a staffing plan would assist in identifying career ladder positions to grow a senior civilian workforce from within, providing potential promotion opportunities for employees. Furthermore, the Navy's change to USA Staffing has a cascading impact on the HRO and managers within NAVHISTHERITAGECOM when they are selecting candidates. Specifically, once a certification list of candidates is issued, managers only have 15 days to make a selection. This is a

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major change from the previous process. Informing leadership and division managers about these changes is essential to understanding the best and most expeditious way to fill HR needs of the organization. Managers also need the additional training on how to fill positions more effectively, provide timely responses to certification lists and write position descriptions.

   e. The role of the Human Capital Office within NAVHISTHERITAGECOM is growing. As personnel increase to meet current missions and take on new projects, an experienced civilian HR Director would maintain continuity in daily operations and execute HR from the strategic level. Since the larger shares of billets are civilian, a senior civilian in place of the currently activated Navy Reserve HR Officer could provide the consistency and expertise in growing personnel to meet mission requirements. A military deputy (Navy HR officer), would provide the expertise needed to manage the 140 military billets across the enterprise. This shift would assist the command in reaching its goals by providing continuity to organize the work – linking the preservation of artifacts and history directly to operational value for the Navy today and in the future – and get the right skills in the right place within the organization. There are twenty professional historians at NAVHISTHERITAGECOM. Among their senior leadership, division director and above, only the Museums & Collections Division Director position is staffed an experienced professional historian. Most notable is the lack of one or two eminent historians to advise the Director.

Manpower/Manning is assessed as off track.

7. <u>Training.</u> The review of the NAVHISTHERITAGECOM training program included civilian and military training. Both training officers indicated training is recorded in the Training Workforce Management System (TWMS) per SECNAV Instruction 5211.5E. The Plan of Action and Milestones (POAM) for training indicated 1 September 2011 as the date set to audit all training records for completion of FY11 mandatory requirements. Additionally, the training POAM addresses identifying online and local training sources as well as creating a command policy addressing civilian Individual Training Plan (ITP) development and monitoring. Monthly All Hands meetings provide the venue for mandatory Department of the Navy (DON) and DoD training for both groups. NAVHISTHERITAGECOM's HR office prioritizes emergent training requests as they are submitted and uses the Planning for Training Board to adjudicate conflicts. Of note, the Workforce Training Plan developed in 2010 did not encompass a budget for training. Previous command strategic plans used the Office of Personnel Management (OPM) standard of $435 per person for civilian training budget and did not include additional training dollars for either military or civilian requirements for the command's Program Objectives Memorandum (POM) submission in FY10. This omission was corrected in the FY11 POM increasing the amount to $1500 per person.

Training is assessed as on track.

8. <u>Continuity of Operations (COOP) Plan.</u> NAVHISTHERITAGECOM has a Continuity of Operations (COOP) Plan as directed by the Secretary of the Navy (SECNAV) instruction 3030.4C. The plan allows those identified as mission essential personnel to relocate and continue the mission essential functions. The COOP plan identifies the U.S. Naval Academy Museum at Preble Hall and the Norfolk Naval Station, building H9, as alternate locations and was briefed to the command in May 2011. The command intends to exercise the COOP Plan quarterly beginning first quarter FY12. Of note, only the Norfolk site was visited and validated the ability to support the COOP Plan. NAVINSGEN recommends the same validation process be exercised for the U.S. Naval Academy off-site location.

The COOP Plan is assessed as on track.

9. <u>Command Security</u>.

    a. NAVHISTHERITAGECOM has a current, well-written security manual.

    b. The command security assistant adds significant value to the program and has an extensive security background by virtue of his former enlisted rating (Cryptologic Technician-Administration); however, he is not formally designated and works security matters on an ad hoc basis. The security assistant was the driving force behind the rapid submission of the Security Manager's Single Scope Background Investigation (SSBI) package discussed below.

    c. The Top Secret Control Officer (TSCO) is designated in writing but an update is required. The TSCO maintains the Top Secret inventory and access control to secure spaces. NAVHISTHERITAGECOM has an inventory waiver dated from the mid-1980s. Per SECNAV Manual 5510.36, "As an exception, repositories, libraries, or activities that store large volumes of classified documents may limit their annual inventory to that which access has been given in the past 12 months, and ten percent of the remaining inventory." Therefore, NAVHISTHERITAGECOM no longer requires a waiver and may follow the aforementioned policy.

    d. The Security Manager is designated in writing and has completed the Joint Personnel Adjudication System course. The Security Manager supports and services nearly 500 personnel at 12 different locations. Annual refresher, counterintelligence training, and foreign travel briefs are being completed as required. The Security Manager is coordinating with the command training team to ensure all security applications are current and relevant to command personnel and mission requirements.

    e. The NAVHISTHERITAGECOM Security Manager is not authorized to hold his position since his current clearance level (Secret) and background investigation are not commensurate with duties assigned. SECNAV Manual 5510.30 states the Security Manager must have a favorably adjudicated SSBI completed within five years prior to assignment. Prior to reporting in June 2011, the Security Manager inquired about the security clearance requirements and was provided erroneous information by his predecessor. The Security Manager quickly identified this deficiency and submitted the appropriate SSBI paperwork on 29 June 2011. Until the Security Manager receives a favorably completed SSBI, the Chief of Staff, Top Secret Control Officer (TSCO) and a designated security assistant must provide "checks and balances" to ensure program integrity. Part 1, Issue Paper 1, refers (Page 25).

    f. In addition to the minimum clearance required, the Security Manager does not have the required training or previous experience to hold a position of this unique magnitude. Commands are required to obtain formal training for their security managers. The Naval Security Manager Course offered by the Naval Criminal Investigative Service (NCIS) Security, Training, Assistance and Assessment Team (STAAT), satisfies this requirement. NAVHISTHERITAGECOM should ensure the Security Manager attends the STAAT Course at the first opportunity. Part 1, Issue Paper 2, refers (Page 27).

    g. Numerous security program shortfalls were identified. NAVHISTHERITAGECOM's Top Secret access list was found to be invalid. The command has been providing Common Access

Cards (CACs) to new hires prior to initiating and obtaining a favorable background check. Additionally, there is no oversight of subordinate commands, no emergency destruction plan, no interaction with classified archive management and initiatives and no designated security assistants. The command is minimally resourced and capability limited to perform core security functions (addressed in Part 1, Issue Paper 1, refers (Page 25) and the command lacks security awareness. Part 1, Issue Paper 2, refers (Page 27).

Command Security is assessed as off track.

III. FACILITIES, ENVIRONMENTAL AND SAFETY

1. Introduction. The Facilities, Safety, and Security Team reviewed facility-related functions including, Facility Management, Energy, Environmental, Safety and Occupational Health Programs.

2. Facilities.

   a. The Navy History and Heritage Command (NAVHISTHERITAGECOM) occupies approximately 230,000 square feet (SF) of geographically and functionally dispersed facilities at the Washington Navy Yard (WNY). Additionally, NAVHISTHERITAGECOM is responsible for 12 museums spread across the United States. Some of these museums are on Navy bases; others are stand-alone facilities. With the exception of 19,136 SF in Building 200, their facilities and office spaces at the WNY are inadequate to support NAVHISTHERITAGECOM's historic preservation mission and administrative requirements of the staff.

   b. NAVHISTHERITAGECOM's storage and preservation activities require temperature and humidity controls that are uniquely demanding and almost entirely unmet. Consequently, the history and heritage of the United States Navy is in jeopardy. Some of the paintings, documents and artifacts are sensitive to fluctuations in humidity, temperature or both. The principal problem with fluctuations in heat and humidity is this combination provides the ideal environment for developing mold, which can irreparably damage sensitive artifacts and documents. With some material, such as acetate based film, the media itself is subject to breakdown as a direct result of uncontrolled temperature and humidity conditions.

   c. The heating, ventilation and air conditioning (HVAC) systems in most buildings are unable to meet the American Society of Heating, Refrigerating and Air-conditioning Engineers (ASHRAE) standard. The ASHRAE standard for museums, libraries and archives is 69 degrees Fahrenheit (F) plus or minus two degrees F, and 50 percent relative humidity plus or minus five percent. In instances where temperature control is adequate, there are no dehumidification capabilities in the systems. Many storage facilities have no air conditioning (A/C) or humidity controls. Many of the building envelopes are subject to moisture problems from roofing, gutters, wall penetrations, old masonry joints and lack of vapor barriers. As a consequence, water intrusion problems overwhelm the natural dehumidification provided by the A/C systems.

   d. Public Works Department (PWD) Washington and Naval Facilities Engineering Command (NAVFACENGCOM) Washington initiated studies and projects in FY2011 to address some of the facility deficiencies at WNY. A few projects are underway to address some of the most

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critical facility deficiencies but not all of the projects that resulted from the studies were funded. NAVFACENGCOM Atlantic is evaluating options for potential relocation of some of the museum facilities at WNY to updated off-base locations. The scope of the study includes options for renovations to existing spaces and coordination of plans and various options among NAVHISTHERITAGECOM, Commander, Naval Installations Command (CNIC) and NAVFACENGCOM HQ, to bring facilities up to the standards necessary to preserve these collections. The long range solution to correct all the facility issues will take significant time and funding and will be in funding competition with operational priorities.

Facilities are assessed as off track.

3. <u>Environmental Oversight</u>.

a. Echelon II commands typically exercise program oversight of their subordinate activities, to ensure they comply with applicable Navy policies, and plan program and budget sufficient resources to meet environmental, natural resource and cultural resource requirements. OPNAVINST 5090.1C as of 30 October 2007, put the planning programming and budgeting responsibility with Budget Submitting Offices (BSOs). Since Echelon II commands and BSOs are not always synonymous, these responsibilities are misaligned in some cases. Such is the case with NAVHISTHERITAGECOM. This issue was brought to the attention of Chief of Naval Operations' (OPNAV) staff for correction in the soon to be released OPNAVINST 5090.1D.

Environmental Oversight needs more attention.

4. <u>Safety and Occupational Health (SOH)</u>.

a. Safety Base Operating Support (BOS) Services. Naval District Washington (NDW) safety provides basic BOS services that include building inspections, abatement and mishap investigations. Respirator fit-tests and safety program self-assessments are provided upon request.

b. Traffic and Motorcycle Safety. NAVHISTHERITAGECOM personnel abide by the rules and regulations of the NDW Traffic Safety Program. No motorcycle operators report to NAVHISTHERITAGECOM, but four riders and two prospective riders are assigned to the Submarine Force Museum and Historic Ship Nautilus at Groton, Connecticut.

c. Industrial Hygiene (IH) and Occupational Health (OH) Support. IH and OH support services are provided in accordance with OPNAVINST 5100.23G requirements. IH surveys for NAVHISTHERITAGECOM are current, and the Washington Navy Yard Branch Health Clinic serves all employees with occupational health support (i.e., medical surveillance, diving examinations, etc).

d. Fall Protection. The use of fall protection equipment is limited to a self-propelled scissors lift. All assigned users are licensed and have successfully completed the operator training course on Self-Propelled Booms, Scissors and Aerial Lift Platforms in February 2010. The certificate was issued by McCall Handling Company of Baltimore, Maryland.

e. Explosive Safety. NAVHISTHERITAGECOM's Curator Branch effectively ensures the proper documentation, care, and preservation of an historic small arms collection. Explosives safety evaluations are coordinated among the NAVHISTHERITAGECOM curator, Naval District Washington (NDW) safety, and the NDW explosive safety officer. This type of evaluation is considered to be satisfactory for an historic small arms collection.

f. Mishap Investigation and Reporting. NAVHISTHERITAGECOM safety does not have any reported mishaps on file.

g. SOH Training. The Human Resources Office (HRO) is working with NAVHISTHERITAGECOM safety to provide a readily available training system for command personnel. Several warehouse personnel are enrolled in the Enterprise Safety Applications Management System (ESAMS) but the lack of manpower needed to employ ESAMS command-wide is a concern. If NAVHISTHERITAGECOM decides to use ESAMS as its tool to provide SOH training, supervisors need to be held responsible for ensuring the submitted information is accurate. Other safety training deliverables are an All-Hands Brief and a weekly newsletter that provides seasonal safety grams. OPNAVINST 5100.23G, Appendix 6-A provides the minimum SOH training requirements for personnel assigned ashore.

h. Seventy-Five Percent Mishap Reduction. NAVHISTHERITAGECOM does not have the FY02 baseline mishap data to calculate the DoD mandated 75 percent mishap reduction by FY12. The lack of available mishap data is compounded by the fact that the Navy museums did not begin reporting to NAVHISTHERITAGECOM until 2005-2007. In addition to monitoring progress toward mishap reduction goals, correction of identified deficiencies is crucial to the success of the program. Examples are provided below:

(1) The third floor of Building 57 at the WNY does not have a fully audible fire alarm. NAVHISTHERITAGECOM's safety manager provided NAVINSGEN with several e-mails addressing this issue. A review of e-mail dating back to August 2010 reveals that NAVFACENGCOM Washington Fire Protection Engineering (A/E) performed a walkthrough of the building in order to assess the requirements for providing a fire sprinkler system for the building. The A/E recommended a full life safety, fire suppression, and fire analysis that evaluates all existing conditions including costs associated with bringing the buildings (57, 44 and 108) into compliance with building code. Action on these recommendations is pending.

(2) OPNAVINST 5100.23G, Chapter 12 outlines the Hazard Abatement Program for the Navy. Specifically, section 1202 states for hazards that are facility-related, the owner of the facility manages hazard abatement; and section 1204 (2) provides direction on projects that normally do not qualify for central hazard abatement funding such as projects for protection. Thus, CNIC safety should be the point of contact for this fire alarm issue and act as a liaison for NAVHISTHERITAGECOM safety and NAVFACENGCOM.

i. Safety Command Support. NAVHISTHERITAGECOM's Facilities Manager (FM) is also the collateral duty Safety Manager. In June 2010, the FM attended the required course, Navy Occupational Safety and Health (Ashore), for civilian and military personnel who are assigned collateral duty responsibilities for safety management. A headquarters command requires a fully trained and qualified safety professional to lead the safety organization. Part 1, Issue Paper 3, refers (Page 29).

j. Self-Assessments Program. NAVHISTHERITAGECOM has not reviewed the self-assessments conducted by their subordinate commands. OPNAVINST 5100.23G, discusses these requirements and responsibilities for the SOH Self-Assessment Program, which were amplified in the October 2010 Chief of Naval Operations (CNO) NAVADMIN.

k. Safety and Occupational Health Management Evaluations (SOHME). SOHMEs are a triennial program management evaluation tool that headquarters commands use to determine the level of safety program effectiveness at their subordinate commands. NAVHISTHERITAGECOM has not conducted the required SOHMEs for their subordinate activities. A recent review of industrial hygiene surveys dating back to July 2010 and discussions with industrial hygiene, environmental, and safety professionals assigned to Naval Air Station Pensacola, revealed poor work practices at the National Naval Aviation Museum Pensacola. These poor work practices resulted in personnel exposures to toxic metal dust levels in excess of Occupational Safety and Health Administration standards, contamination of the workplace and potential improper environmental releases. NAVHISTHERITAGECOM did not become aware of these issues until August 2011 due to lack of oversight. NAVHISTHERITAGECOM has initiated corrective action by implementing new training requirements and standard operating procedures.

Safety and Occupational Health is assessed as off track.

4. Energy Control (EC), Confined Space Entry (CSE) and Gas Free Entry (GFE). NDW provides all EC, CSE and GFE services to NAVHISTHERITAGECOM. Therefore, these programs were not assessed during this inspection.

IV. RESOURCE MANAGEMENT/QUALITY OF LIFE

1. Introduction. The Resource Management/Quality of Life Team reviewed the following areas: Post Deployment Health Re-assessment (PDHRA), Suicide Prevention, Individual Medical Readiness (IMR), Command Individual Augmentee Coordinator (CIAC), the Voting Assistance Program, Legal/Ethics, Command Managed Equal Opportunity (CMEO), Sexual Assault Prevention and Response Program (SAPR), Command Drug and Alcohol Program (DAPA), Urinalysis Program (UPC), Information Technology/Information Management/Information Assurance (IT/IM/IA), Information Assurance Workforce (IAWF), Personally Identifiable Information (PII), Physical Readiness Program (PRP), Command Evaluation and Review (CER), Managers' Internal Control (MIC), Personal Property Management, Government Commercial Purchase Card (GCPC) Program, Government Travel Charge Card (GTCC) Program, Heritage Asset Management, Inspector General Structure, Dive Program and Financial Management. All observations and findings are as of the last day of the Inspection. We found the programs to be in compliance with governing directives with exceptions as noted. A NAVINSGEN Hotline Quality Assurance Review was conducted in conjunction with the Command Inspection and was found to be noncompliant. Details will be addressed in a separate report.

2. Post Deployment Health Reassessment (PDHRA). There is no active tracking to ensure Post Deployment Health Assessment (DD form 2796) or Reassessment (DD form 2900) forms are being completed.

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The PDHRA program is assessed as off track.

3. <u>Suicide Prevention.</u> The Suicide Prevention program meets OPNAVINST 1720.4A requirements. Training was completed and the program coordinator was actively engaged.

The Suicide Prevention program is assessed as on track.

4. <u>Individual Medical Readiness (IMR).</u> There is limited headquarters level management of this program. IMR was assessed at 72 percent, just three percent below the Secretary of Defense (SECDEF) minimum requirement. The coordinator is not assigned in writing, and there is no oversight-monitoring or reporting on Echelon III organizations.

Individual Medical Readiness needs more attention to be fully compliant.

5. <u>Command Individual Augmentation Coordinator (CIAC).</u> The coordinator is not assigned in writing, not trained and performs no headquarters or Echelon III oversight. Although, there is currently no command personnel on Individual Augmentee or GWOT Support Assignments (IA-GSAs), there has been no monitoring of incoming personnel to check if they were previously in an IA or GSA status.

The CIAC program is assessed as off track.

6. <u>Voting Assistance.</u> The Voting Assistance Officer (VAO) is engaged and provides oversight of lower echelon organizations.

The Voting Assistance program is assessed as on track.

7. <u>Legal and Ethics.</u>

a. Since June 2011 counsel is focused on establishing the counsel's office and defining and incorporating his role within the command structure. The NAVHISTHERITAGECOM mission gives rise to a unique legal practice including issues involving managing the art collection, archives and museum operations; as well as more typical command legal issues, such as personnel matters and contracting. Overseeing the command ethics program is recognized as an important part of counsel's practice. The counsel is a designated ethics counselor and is in compliance with certification requirements. The counsel's office is currently located in building 200 with the intention of moving to the headquarters building following space renovations. Locating counsel with the command element will maximize his involvement and effectiveness, especially given the newness of the position.

b. Forms 450, 278 and Annual Training: The NAVHISTHERITAGECOM Director is the command's sole Public Financial Disclosure Form filer and all prior 278 forms were timely, contained proper disclosures, and were accompanied by appropriate caution letters and documented training. NAVHISTHERITAGECOM has maintained confidential financial disclosure filings for the prior six years as required. Additionally, each filer has a training certificate and appropriate caution letter accompanying the disclosure form. However, there is no documentation on how required filers were identified and notified and the number of filers

fluctuates from year to year. There were seven filers in 2010 and zero files in 2009. Counsel needs to ensure the command has an effective process, or in the alternative institutes such a process, to identify, notify, document and track required filers and to ensure they complete annual ethics training.

c. Relations with Non-Federal Entities (NFEs). NAVHISTHERITAGECOM's Counsel recognizes gift acceptance and relations with NFEs as a very significant practice area given the command's mission and oversight responsibilities and the number of NFEs (museum and historical foundations) that support NAVHISTHERITAGECOM and its lower echelon organizations. The counsel is currently involved in updating the NAVHISTHERITAGECOM Navy Historical Foundation memorandum of understanding (MOU) and recognizes the need to review the lower echelons relationships with supporting foundations.

d. General Flag Ethics Matters. Headquarters leadership has been briefed on issues such as gift acceptance (OPNAVINST 4001.1F delegates Director, NAVHISTHERITAGECOM, gift acceptance authority for gifts of personal property having historical significance or artistic work of museum quality of a value of $5,000 or less (excluding money)), foreign gifts, gifts of travel expenses, travel regulations, endorsements, use of government resources, and conflicts of interest, specifically with respect to contractors. Vice Chief of Naval Operations' (VCNO) Legal Counsel provided command-wide ethics training on 18 Aug 2010.

e. The move of the counsel's office to the headquarters building should be expedited. As the counsel builds an effective program, the command needs to re-evaluate the requirements to determine if additional attorneys are needed. The command should ensure that counsel has direct access to the director.

The Legal and Ethics program needs more attention.

8. Command Managed Equal Opportunity (CMEO).

a. The recent Command Climate Assessment (CCA) was not completed in accordance with OPNAVINST 5354.1F. The CMEO program checklist, OPNAVINST 5354.1F enclosure (3), is not being used to evaluate the compliance of the command with Navy EO policy. Navy Pride and Professionalism training is not being properly documented in Fleet Training Management Planning System for military personnel.

b. To bring CCA into compliance with OPNAVINST 5354.1F, the following deficiencies need to be addressed:

(1) The triangulation method as defined in OPNAVINST 5354.1F was not used during the command climate assessment.

(2) Sexual Assault Prevention and Reporting (SAPR) questions as required by OPNAVINST 1752.1B Enclosure (4) were not included in the CCA survey.

(3) An executive summary was not produced for the CCA nor was a plan of action and milestones developed.

(4) The Deputy Director instead of the Director, has been addressing the results of the CCA to the command.

c. Recommend NAVHISTHERITAGECOM request an assist visit from the base installation equal employment opportunity (EEO) advisor to help bring the program into compliance.

The CMEO program is assessed as off track.

9. <u>Sexual Assault Prevention and Response (SAPR)</u>. Command SAPR personnel have been trained and are designated in writing. Command members participated in Naval District Washington Sexual Assault Awareness Month activities and SAPR posters are displayed throughout the command. The command personnel NAVINSGEN interviewed were very knowledgeable about the program. Currently, SAPR program duties are covered by one person even though the command program calls for two positions. An additional individual has been identified to attend SAPR training; however, the Sailor who is currently designated will be retiring next year, still leaving the program with a vacancy. Also, the SAPR point of contact needs to be listed on the command check in sheet.

The SAPR program is assessed as on track.

10. <u>Drug and Alcohol Program Advisor (DAPA)</u>. NAVHISTHERITAGECOM DAPA has not established a deglamorization program and required annual general military training (GMT) completion is not being documented in the Fleet Training Planning Management System (FLTMPS).

The DAPA program needs more attention.

11. <u>Urinalysis Program Coordinator (UPC)</u>. The command UPC is a Petty Officer First Class. He has completed the recommended online UPC course and is designated in writing by the director. However, quarterly inspections have not been conducted by an officer or Chief Petty Officer, as required by OPNAVINST 5350.4D. If the required quarterly inspection had been conducted the following discrepancies would have been noted and could have been corrected prior to the command inspection:

a. Command urinalysis does not meet minimum monthly random testing requirement of 15 percent . Documentation on file does not ensure 100 percent of command personnel are being tested annually.

b. Newly reporting personnel are not being tested within 72 hours of arrival.

c. NAVHISTHERITAGECOM and base installation UPC conduct urinalysis testing of their personnel without an approved memorandum of understanding (MOU).

d. UPC is currently assigned on the command collateral duties roster as assistant DAPA resulting in a conflict of interest. OPNAVINST 5350.4D states DAPAs shall not be assigned duties as UPCs.

The UPC program is assessed as off track.

12. <u>Information Technology/Information Management/Information Assurance (IT/IM/IA)</u>.

The Command Information Officer (CIO) is not utilized in his capacity as the principal Information Technology advisor to the Director, in accordance with DON guidance. DON CIO Memorandum of 25 January 2008 defines the roles, relationships and core competencies of Navy Command Information Officers. The majority of the CIO's time is spent answering IT questions and responding to trouble calls as the IT Director. He does not appear to be fully integrated in command decisions concerning IT procurement to support the museums and outreach programs. Although, the CIO has made progress in building an effective program over the past year, more work is needed in the area of information assurance. The following are specific program deficiencies:

a. The CIO is not designated in writing.

b. The IAM is designated in writing but is not certified and does not perform the duties of the IAM as outlined in her designation letter.

c. Twenty-six legacy computers identified in a recent command inventory need to be entered into the DoD Information Technology IT Portfolio Repository-Department of the Navy (DITPR-DON) and require certification and accreditation.

d. A complete IT inventory of the headquarters and claimancy needs to be conducted to determine if there are any additional IT assets that are not registered and a plan of action and milestones needs to be developed to determine appropriate disposition or retention of these legacy IT assets.

e. Greater oversight of IT procurement and use is required. For example, although two computers and supporting connectivity in the library are funded by the Historical Foundation, there are no measures in place to ensure these computers are not used inappropriately. Additionally, computers purchased for "displays" or "outreach" need to be vetted through the CIO to ensure compliance with existing DON guidance.

The IT/IM/IA program needs more attention.

13. <u>Information Assurance Workforce (IAWF)</u>. An IAWF program is not in place. However, a team has been established, the command is aware of required program elements and is working towards building a viable program. Also, the Human Resource (HR) Manager is designated as the IAWF Manager but has no knowledge of the IAWF program. Recommend the CIO or the IAM be designated as the IAWF manager.

The IAWF program is assessed as off track.

14. <u>Personally Identifiable Information (PII)</u>.

a. The PII Coordinator has established a baseline program in the one month he has been designated as the PII coordinator. Although, core elements are in place, it is too soon to

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determine if the command is knowledgeable of PII guidelines and understands the basic elements of protecting PII. Specific program deficiencies:

(1) The PII instruction has not been signed.

(2) There are no approved procedures for providing access to PII in the archives to prevent inadvertent disclosure.

(3) There is no plan in place to limit access or redact PII in the library.

b. Prior to finalizing the draft command PII instruction, PII procedures need to be incorporated into the instruction that provide for the protection of PII throughout the enterprise, including historical and archived documents.

The PII program is assessed as off track.

15. Physical Readiness. NAVHISTHERITAGECOM's Physical Readiness program (PRP) is well managed and is in compliance with OPNAVINST 6110.1J. The Command Fitness Leader (CFL) manages the program for 16 personnel. All required documents such as the CFL Course Certificate, designation letter and cardiopulmonary resuscitation qualification card is on file. The CFL has direct access to the chief of staff and NAVHISTHERITAGECOM leadership supports the PRP. NAVHISTHERITAGECOM has four members attending the Fitness Enhancement Program (FEP) via the Washington Navy Fitness Center. The fitness staff provides the necessary exercise and nutritional advice to FEP attendees. Only one FEP member failed the Physical Fitness Assessment (PFA) last cycle (Spring 2011). The other three members are close to maximum allowable Body Composition Assessment standards. NAVHISTHERITAGECOM's proactive approach in getting members to participate in a wellness program lessens their chances of potential PFA failures.

The Physical Readiness program is assessed as on track.

16. Command Evaluation and Review (CER). The CER program is in compliance with OPNAVINST 5000.2B. The command has assigned a permanent evaluator. The evaluator develops and executes an annual evaluation plan and provides independent objective reports to the Director.

CER is assessed as on track.

17. Managers' Internal Control (MIC). The MIC coordinator is appointed in writing, has received proper training and required documentation was readily available. Quarterly updates on previously identified weaknesses are provided and training documentation is being maintained centrally by the command inspector general. Furthermore, each division and lower echelon command has at least one MIC coordinator assigned, who has also received training. The NAVHISTHERITAGECOM INSGEN inspector general's office has one person assigned and is understaffed to properly coordinate the MIC Program among NAVHISTHERITAGECOM's claimancy. MIC requires follow up, risk analysis and an on-going objective assessment of the results, to provide for reasonable assurances of successful program oversight. Therefore, the program is not functioning effectively to identify claimancy-level risk and to provide adequate oversight. Recommend this program be provided more personnel to be properly managed by the command inspector general.

The MIC program needs more attention.

18. <u>Personal Property Management</u>.

a. NAVHISTHERITAGECOM's property management program is not compliant with SECNAVINST 7320.1A or DoD Instruction 5000.64. NAVHISTHERITAGECOM is not adequately performing its responsibilities in accordance with SECNAVINST 7320.10A to:

(1) establish a personal property management organization within headquarters that provides effective personal property management oversight for their claimancy;

(2) disseminate current personal property guidance and information throughout their claimancy including the latest policies, procedures, standards and mandates established by DoD, DoN, Federal regulation, and/or the laws that pertain to personal property accountability and financial requirements; and

(3) develop an effective tracking system to verify that activities within their claimancy are performing physical inventories as required. Presently, there is no property manager assigned, no auditable inventory for headquarters or any lower echelon command, and no linkage between procurement and establishment of newly procured property into property management records and tracking. NAVHISTHERITAGECOM's Personal Property and Defense Property Accountability System (DPAS) Instruction, NAVHISTHERITAGECOM Instruction 7320.1, is in draft format. DPAS records are not maintained, updated or available for review.

b. Recommend NAVHISTHERITAGECOM designate a new program manager, conduct and document an inventory and realign the property management function from operations to the Financial Management office. This should improve the program by enhancing visibility of contracting or purchase card procurements to the perspective property management function.

Personal Property Management is assessed as off track.

19. <u>Heritage Asset Management</u>. The command is not conducting this program in accordance with DoD FMR Vol. 4, and therefore is not compliant with proper Asset Management practices. A personnel shortfall has been identified and additional personnel are slated for hire in FY13 to alleviate the situation. Additionally, NAVHISTHERITAGECOM has no technical personnel aboard who can properly maintain the Department of the Navy Heritage Asset Management system (DONHAMS). There are plans to move the system to Defense Information Systems Agency (DISA), but funding this initiative remains a challenge.

Heritage Asset Management is assessed as off track.

20. <u>Government Commercial Purchase Card (GCPC) Program</u>. NAVHISTHERITAGECOM's GCPC program is in compliance with NAVSUPINST 4200.99. There is a clear separation of functions between the requester, cardholder and receiver of the material. At the very least, the receiver of the material is someone other than the cardholder or the Approving Official (AO). There are a total of 21 cardholders and a total of 13 AOs assigned. This limits the number of transactions that each AO oversees per cardholder, and has to review for regulations compliance and appropriate credit card use. All requests are made via Purchase Card Order Form 4200-1.

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Form 4200-1 provides for a structural purchase approval process that includes the cardholder, an approving official and a comptroller representative to authorize the purchase and the use of the purchase card. A training program has been established, training files are kept centrally by the APC, and AOs conduct monthly reviews of cardholder purchases. APC performs spot monthly audits of cardholder purchases with reconciliation of Citibank statements and provides the director a semi-annual audit report of the purchase card program.

The GCPC program is assessed as on track.

21. <u>Government Travel Charge Card (GTCC) Program</u>. Since the Health and Comfort review, NAVHISTHERITAGECOM has put some structure in place for their Government Travel Charge Card (GTCC) Program. The APC, is solely dedicated to the GTCC program, and currently has no other collateral duties assigned. NAVHISTHERITAGECOM has roughly 105 Travel Card holders enterprise-wide, and all cards are deactivated when the card holder is not actually in a travel status. As a result of the travel card deactivation policy, a traveler must notify the APC or the alternate five days prior to travel for card activation. All travel card transactions are reviewed monthly and a quarterly report is provided to the director, as per NAVSUPSYSCOM guidance. Delinquency rate is less than two percent, which is within standards.

The GTCC program is assessed as on track.

22. <u>Inspector General (INSGEN) Structure</u>.

NAVHISTHERITAGECOM is not in compliance with the SECNAV INS 5430.57G, Mission and Functions of the Naval Inspector General or SECNAVINST 5370.5B, DON Hotline Program. The INSGEN does not report directly to the director and does not participate in leadership meetings. The location of the INSGEN's office is not conducive to providing command members with a location that would ensure anonymity. It is understood that NAVHISTHERITAGECOM is not listed in SECNAVINST 5430.57G enclosure (1) or SECNAVINST 5370.5B enclosure (1) as one of the Echelon II commands that is required to have a dedicated IG or Hotline program. However, SECNAVINST 5370.5B Para 7.b states all Echelon II commands not listed in enclosure (1) may establish a program and shall adhere to the requirements of this instruction. The INSGEN Hotline Quality Assurance Review (QAR) conducted concurrently with this command inspection received an unsatisfactory rating and will be addressed in detail via separate report.

The Inspector General Structure is assessed as off track.

23. <u>Dive Program</u>. NAVHISTHERITAGECOM dive program to conduct underwater archeology, is not operating in accordance with the Navy's Dive program per OPNAVINST 3150.27. All diving operations should be suspended until the program is brought into compliance. In the past, the command has operated under approved waivers from program requirements due to their unique circumstances and should be able to do so again after receiving an updated waiver. Waiver requests should be submitted through NAVSEA 00C to OPNAV N87 for approval as defined in OPNAVINST 3150.27.

The Dive program is assessed as off track.

24. <u>Financial Management (FM)</u>. The new Comptroller and Deputy Comptroller have made great strides improving accountability at the command, but the staff is undermanned.

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Headquarters needs to provide greater Echelon III oversight in the command's planning, programming, budgeting and execution responsibilities. NAVHISTHERITAGECOM runs the risk of either over-executing or under-executing Budget Authority (BA) without proper managerial oversight and evaluation of its POM and its current budget year resources. The current FM leadership has provided new structure and expertise that had been lacking for a number of years. In previous years, funds were not fully executed due to staffing concerns (only one full-time employee had been in the comptroller shop). More management functions are moving to the cognizance of the FM staff; for example, the property management function for the entire enterprise. Property management will be resourced from the FM staff by a new hire. This should, in the long run, strengthen the program, but it will require an on-going commitment by the command to properly resource the FM section with personnel.

Financial Management (FM) needs more attention.

V. GOOD ORDER AND DISCIPLINE

1. Introduction. Sailor discipline and military bearing is assessed as above average. Sailors were found to be sincerely respectful and courteous, they displayed proper military bearing and rendered proper military courtesy. However, quality of life and morale of uniformed personnel at NAVHISTHERITAGECOM was observed to be below average.

2. Sailor Career Management Programs. Career management programs; to include conduct of Career Development Boards and Sailor preparation for retention under Perform-To-Serve, have not improved since NAVINSGEN's 2010 visit. Assignment to NAVHISTHERITAGECOM is not conducive to junior Sailor development. After a three to four year tour, a junior Sailor would have little to no in-rate experience, no warfare qualification and would not be competitive to stay Navy, given the force shaping programs that are currently in place. Recommend Sailors E-4 and below no longer be assigned to NAVHISTHERITAGECOM Headquarters.

Sailor Career Management programs are assessed as off track.

3. Sponsorship Program. Focus group feedback and sponsor critiques indicated enlisted Sailors are not being contacted and assigned appropriately trained sponsors prior to their arrival and check-in at NAVHISTHERITAGECOM.

Sponsorship program is assessed as off track.

4. Perform to Serve (PTS). NAVHISTHERITAGECOM has ten enlisted personnel assigned. Since 2010, one Sailor has been separated as a result of PTS. That Sailor did not receive a proper review by PTS because the command did not input the Sailor's data into the PTS system. Also, there are three Sailors currently being reviewed by PTS. NAVINSGEN's Command Master Chief provided guidance to the Command Career Counselor on how to enter PTS data into the system.

The PTS program is assessed as off track.

PART 2

ISSUE PAPERS

CORRECTIVE ACTION SUMMARY MATRIX
ACTION COMMAND
INITIAL RESPONSES DUE TO NAVINSGEN
29 FEBRUARY 2012

ISSUE PAPER	NAVHISTHERITAGECOM
1. COMMAND SECURITY MANAGEMGENT	X
2. SECURITY PROGRAM AWARENESS	X
3. ECHELON II SAFETY AND OCCUPATIONAL HEALTH PROGRAM RESPONSIBLITIES	X

SUBMITTING CORRECTIVE ACTIONS
VIA
IMPLEMENTATION STATUS REPORTS (ISRs)

Please submit Implementation Status Reports (ISRs) as specified for each applicable recommendation, along with supporting documentation, such as plans of action and milestones and implementing directives.

a. **Submit initial ISRs using OPNAV Form 5040/2 no later than <u>29 FEBRUARY 2012</u>.** Each ISR should include an e-mail address for the action officer, where available. Electronic ISR submission to <u>NAVIGInspections@navy.mil</u> is preferred. An electronic version of OPNAV Form 5040/2 may be downloaded from the NAVINSGEN Web-site at <u>www.ig.navy.mil</u> in the Downloads and Publications Folder, titled Forms Folder, Implementation Status Report.

b. **Submit quarterly ISRs, including "no change" reports until the recommendation is closed by NAVINSGEN.** When a long-term action is dependent upon prior completion of another action, the status report should indicate the governing action and its estimated completion date. Further status reports may be deferred, with NAVINSGEN concurrence.

c. When action addressees consider required action accomplished, the status report submitted should contain the statement, "Action is considered complete." However, **NAVINSGEN approval must be obtained before the designated action addressee is released** from further reporting responsibilities on the recommendation.

d. NAVINSGEN point of contact for ISRs is [(b)(7)(c)] telephone (202) 433-[(b)(7)(c)], DSN 288-[(b)(7)(c)], facsimile (202) 433-3277.

<u>COMMAND</u>   <u>RECOMMENDATION NUMBER(S) XXX-11</u>

NAVHISTHERITAGECOM   063, 064, 065, 066, 067, 068, 069, and 070

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<u>ISSUE PAPER 1</u>

<u>SUBJECT</u>: COMMAND SECURITY MANAGEMGENT

<u>REFERENCE</u>: (a) SECNAV M-5510.30
(b) SECNAV M-5510.36

<u>PROBLEM</u>: Naval History and Heritage Command (NAVHISTHERITAGECOM) leadership does not provide sufficient oversight and support to security management.

<u>BACKGROUND</u>: The Security Manager reported to the command without proper training, an insufficient security clearance level and background investigation. Per references (a) and (b), the Director is responsible for the day-to-day management of the Information and Personnel Security Program. The Director must ensure the Security Manager and other command security professionals are appropriately trained, all personnel receive required security education and the command has a robust security awareness program. Additionally, the Director ensures the Security Manager has a favorable background investigation within the last five years of assignment.

<u>DISCUSSION</u>:

1. The Security Manager reported to command in June 2011 without proper training and did not hold a security clearance level and background investigation commensurate with the duties he was assigned. The Security Manager received an abbreviated turnover with his predecessor. A face-to-face turnover should have been mandatory to ensure program continuity and integrity. The sheer volume of responsibilities the Security Manager inherited was beyond his current skill level. Moreover, the required clearance level and background investigation is a security fundamental and is essential to carrying out the necessary functions of his assignment. All training and personnel security investigation requirements should have been thoroughly checked and/or scheduled well in advance for the incoming Security Manager.

2. The Security Manager had no prior experience performing security manager duties. Considering NAVHISTHERITAGECOM has a vast and unique collection of classified material and an accession process that far exceeds the capacity of normal commands, a cadre of trained and seasoned security professionals would be appropriate.

<u>RECOMMENDATION</u>:

063-11. That NAVHISTHERITAGECOM provide required oversight of command security program.

064-11. That NAVHISTHERITAGECOM review the scope of work to ensure the Security Manager is properly resourced (funds, training and staff) commensurate with command mission, security duties and responsibilities.

065-11. That NAVHISTHERITAGECOM (for the long-term) hire additional security professionals to effectively manage the information, personnel, industrial and physical security programs per National, DoD and Navy policy.

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NAVINSGEN POINT OF CONTACT:

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(202) 433-(b)(7)(c); DSN 288-(b)(7)(c)
Email: (b)(7)(c) @navy.mil

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SUBJECT: SECURITY PROGRAM AWARENESS

REFERENCE: (a) SECNAV M-5510.30
(b) SECNAV M-5510.36

PROBLEM: Naval History and Heritage Command (NAVHISTHERITAGECOM) lacks command security awareness and is negligent in several aspects of security management.

BACKGROUND: The Security Manager reported to the command in June 2011 and in preparation for the NAVINSGEN Inspection, identified security negligence in the information security, personnel security and industrial security programs.

DISCUSSION:

1. The Security Manager is aggressively working to identify and correct problems in the information, personnel and industrial security programs. The following issues are actively being corrected.

   (a) Information/Personnel: The Top Secret access roster is invalid. Some individuals that have access to the Top Secret spaces and material do not have the requisite clearance level.

   (b) Information: All spaces requiring access rosters require review and update.

   (c) Information: All classified spaces and storage containers should be properly marked with open/closed forms SF 701 and SF 702, respectively.

   (d) Information: The Security Manager relies on an ad hoc security assistant but is now formalizing the position and designation.

   (e) Information: There is no emergency action plan for the destruction of classified material.

   (f) Information: Security Manager has no involvement in the classified archive management process. As the principal security advisor to command leadership, the Security Manager should be involved in any initiative or plan involving classified accession, storage, declassification and destruction.

   (g) Information/Personnel: No Echelon II security site visits or inspections are being conducted at subordinate commands.

   (h) Personnel: The command has been providing Common Access Cards (CACs) to new hires prior to initiating and obtaining a favorable background check. This violates National, DoD and Navy policies. Per reference (a), the Director must ensure that favorable and unfavorable personnel security eligibility determinations concerning assigned command members are properly coordinated among supervisors, human resource specialists and security professionals, as appropriate.

(i) Industrial/Personnel: There is no active processing or tracking of contractor personnel.

2. The Security Awareness program lacks educational substance. Specific examples include: personnel having access to spaces and material without the requisite clearance; material improperly marked Top Secret and being held in an "open storage" Secret space; and excluding the Security Manager from the classified archival process.

3. All the items above are required by policy. The Security Manager developed a priority list to efficiently address each security issue discussed and/or formally documented.

RECOMMENDATION:

066-11. That NAVHISTHERITAGECOM ensures all security infractions discussed and/or documented are expediently corrected.

067-11. That NAVHISTHERITAGECOM assign security assistants to help mitigate security problems and raise security awareness.

068-11. That NAVHISTHERITAGECOM revise security training to meet the command's needs and ensure all personnel are aware of their security responsibilities.

NAVINSGEN POINT OF CONTACT:

(b)(7)(c)

(202) 433-(b)(7)(c); DSN 288-(b)(7)(c)
Email: (b)(7)(c) @navy.mil

SUBJECT: ECHELON II SAFETY AND OCCUPATIONAL HEALTH PROGRAM
RESPONSIBLITIES

REFERENCE: (a) OPNAVINST 5100.23G

PROBLEM: Naval History and Heritage Command (NAVHISTHERITAGECOM) does not
have a trained safety professional or a safety and occupational health (SOH) organization
established within its headquarters to perform the required safety program responsibilities of an
Echelon II command.

BACKGROUND:

1. Tasked with the mission to conserve and preserve Navy history and heritage,
NAVHISTHERITAGECOM is a unique Echelon II command. To fulfill its mission,
NAVHISTHERITAGECOM has divisions within the headquarters organization and one tier
below, conducting high risk industrial operations that are normally found at aviation depots or
shipyards. These operations include forklift material handling, diving, woodworking, restoration
and maintenance of vintage weapons, ship systems and aircraft. At headquarters and
NAVHISTHERITAGECOM's Detachment Boston, these functions are performed by
government civilian staff members with the assistance of interns (when available). Subordinate
activities such as museums; utilize volunteers in addition to staff to perform restoration.

2. The NAVHISTHERITAGECOM Facility Manager (FM) is also the collateral duty Safety
Manager. In June 2010, the FM attended the Introduction to Navy Occupational Safety and
Health (Ashore) Course that is required for civilian and military personnel who are assigned
collateral duty responsibilities for safety management.

3. In August 2010, the Office of the Naval Inspector General (NAVINSGEN) conducted a
Health and Comfort review of NAVHISTHERITAGECOM. This brief assessment included
meeting with the NAVHISTHERITAGECOM Facility/Safety Manager and a review of the
implementation of the safety and occupational health program. A report with findings and
recommendations was provided. The report stated: "The Facility/Safety Manager spends most
of her time working on facility issues and has received no formal safety training";
"NAVHISTHERITAGECOM has not implemented the required safety and occupational health
programs per OPNAVINST 5100.23G" and "To provide for the proper safety support and
oversight of their subordinate activities, we recommended NAVHISTHERITAGECOM establish
a full-time Safety Manager." Additionally, NAVINSGEN recommended that
NAVHISTHERITAGECOM contact the Naval Safety Center to perform an assist visit.

DISCUSSION

1. The Naval Safety Center performed an assist visit at NAVHISTHERITAGECOM in July
2011. They determined that NAVHISTHERITAGECOM had not established a formal safety and
occupational health program nor had the command selected a fully qualified and trained safety
professional who is capable of providing guidance and oversight for its unique mission functions.
Per reference (a), a safety professional is required to head the safety organization at headquarters.

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Navy policy further recommends this individual be either a certified safety professional or a certified industrial hygienist and knowledgeable in DoD, Navy and federal regulations.

2. NAVHISTHERITAGECOM is unable to assess the effectiveness of safety programs across its enterprise per reference (a). They have not conducted the required Safety and Occupational Health Management Evaluations at subordinate activities. A recent review of industrial hygiene survey reports dating back to July 2010 for the National Naval Air Museum Pensacola (NNAMP) revealed NNAMP employed improper procedures and processes to restore vintage aircraft. This was verified during the command inspection through discussions with local industrial hygiene, environmental and safety professionals assigned to Naval Air Station Pensacola. These poor work practices resulted in personnel being exposed to toxic metal dust levels in excess of the Occupational Safety and Health Administration standards, contamination of the workplace and potentially improper environmental releases. NNAMP has shut down aircraft restoration activities to prevent adding to the hazard, and additional corrective measures are pending. Due to NAVHISTHERITAGECOM's lack of oversight of it subordinate activities, the command did not know of these issues until August 2011.

RECOMMENDATIONS:

069-11. That NAVHISTHERITAGECOM expeditiously develop and implement a Plan of Action and Milestones for establishing a headquarters command safety program that fully complies with reference (a).

070-11. That NAVHISTHERITAGECOM ensure the safety and environmental issues noted at NNAMP are corrected as soon as feasible in accordance with state and federal regulatory requirements and Navy policy. Discuss and coordinate corrective actions with installation safety, industrial hygiene and environmental offices.

NAVINSGEN POINT OF CONTACT:

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APPENDIX A

SUMMARY OF SURVEY DATA ANALYSIS

ACTIVE DUTY MILITARY

AND

DEPARTMENT OF THE NAVY

CIVILIAN PERSONNEL

SUMMARY OF SURVEY DATA ANALYSIS
ACTIVE DUTY MILITARY AND DEPARTMENT OF THE NAVY CIVILIAN
PERSONNEL

1. <u>Overall Observations and Methodology</u>. The Naval Inspector General (NAVINSGEN) conducted an on-line survey of active duty military and Department of the Navy (DON) civilian personnel from 27 June to 18 July 2011 in support of the Naval History and Heritage Command (NAVHISTHERITAGECOM) Command Inspection held from 15 to 23 August 2011. There were a total of 59 survey respondents, consisting of 47 Department of the Navy (DON) civilian personnel (79.7 percent) and 12 active duty military (20.3 percent). The survey respondents consisted of 33 (55.9 percent) males and 26 (44.1 percent) females.

2. <u>Quality of Life</u>. The active duty military and DON civilian personnel survey respondents rated their Quality of Work Life (QoWL) at 5.44 on a scale of 1 to 10 ('worst' to 'best') and Quality of Home Life (QoHL) at 7.32. The QoHL score is higher than the NAVINSGEN rolling average of 7.00. However, the QoWL score is lower than our NAVINSGEN rolling average of 6.27.

3. <u>Survey Topics</u>

    a. The survey included demographic questions such as gender, age and whether the respondent is military or civilian. As indicated above both military and civilians were asked to rate their quality of work life and quality of home life. For example, 57.6 percent of the survey respondents indicated job satisfaction as the main factor having a positive impact on their QoWL. Leadership support, advancement opportunities, and command climate were tied as the main factor having a negative impact on QoWL as indicated by 42.4 of the survey respondents. Additionally, the survey respondents indicated their QoHL was most positively impacted by the quality of their home at 74.6 percent. Shopping and dining opportunities were the second highest with 47.5 percent. Cost of living was the factor having the largest negative impact indicated by 67.8 percent.

    b. Military members were asked questions regarding physical readiness, performance counseling, and the voter assistance program.

    c. Civilians were asked questions regarding their position description, performance counseling, human resource service center, and human resource office.

    d. Both military and civilians were asked questions regarding topics such as working hours; resources; facilities; communication; and leadership.

    e. Those survey respondents indicating they are supervisors are asked additional questions regarding their supervisor training.

    f. In addition to multiple choice questions there were a few open ended questions regarding various topics such as: supplies purchased with personal money, facilities in need of repair, and any additional comments or concerns regarding quality of life. Answers to these questions were used to help guide the inspection team and to guide some of the focus group questions.

ACTIVE DUTY MILITARY AND DEPARTMENT OF THE NAVY CIVILIAN PERSONNEL

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

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
1		3.4%	2
2		1.7%	1
3		3.4%	2
4		1.7%	1
5		8.5%	5
6		3.4%	2
7		18.6%	11
8		**27.1%**	**16**
9		23.7%	14
10		8.5%	5
	Mean		7.322
	Standard Deviation		2.161
	Valid Responses		59
	Total Responses		59

2: Please indicate up to three main factors that have a **positive** impact on your QOHL: (Choose three or less)

(Respondents were allowed to choose **multiple** responses)

Response	Chart	Frequency	Count
Quality of home		**74.6%**	**44**
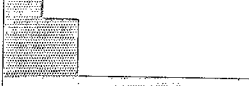
Response	Chart	Frequency	Count
Quality of the school for dependent children		18.6%	11
Quality of the childcare available		6.8%	4
Shopping & dining opportunities		47.5%	28
Recreational opportunities		33.9%	20
Access to spouse employment		18.6%	11
Access to medical/dental care		25.4%	15
Cost of living		23.7%	14
Other		18.6%	11
	Valid Responses		59
	Total Responses		59

3: Please indicate up to three main factors that have a **negative** impact on your QOHL: (Choose three or less)

(Respondents were allowed to choose **multiple** responses)

Response	Chart	Frequency	Count
Quality of home		18.6%	11
Quality of the school for dependent children		11.9%	7
Quality of the childcare available		8.5%	5
Shopping & dining opportunities		8.5%	5
Recreational opportunities		10.2%	6
Access to spouse employment		10.2%	6
Access to medical/dental care		20.3%	12
Cost of living		**67.8%**	**40**
Other		25.4%	15
	Valid Responses		59
	Total Responses		59

33
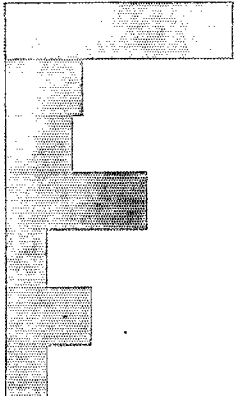
4: On a scale from 1 (worst) to 10 (best), please rate your Quality of Work Life (QOWL). QOWL is the degree to which you enjoy where you work and available opportunities for professional growth.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
1		6.8%	4
2		6.8%	4
3		10.2%	6
4		11.9%	7
5		**20.3%**	**12**
6		11.9%	7
7		6.8%	4
8		10.2%	6
9		8.5%	5
10		6.8%	4
	Mean	5.441	
	Standard Deviation	2.548	
	Valid Responses	**59**	
	Total Responses	**59**	

5: Please indicate up to three main factors that have a **positive** impact on your QOWL: (Choose three or less)
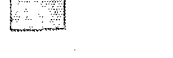
(Respondents were allowed to choose **multiple** responses)

Response	Chart	Frequency	Count
Job satisfaction		**57.6%**	**34**
Leadership support		16.9%	10
Leadership opportunities		13.6%	8
Length of workday		33.9%	20
Advancement opportunities		6.8%	4
Training opportunities		18.6%	11
Awards and recognition		6.8%	4

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	Chart	Frequency	Count
Perform to Serve (PTS)		3.4%	2
Command climate		13.6%	8
Quality of the workplace facilities		8.5%	5
Parking		15.3%	9
Frequency of deployments/Individual Augmentations (e.g. IAMM or GSA)		5.1%	3
Other		18.6%	11
	Valid Responses	59	
	Total Responses	59	

6: Please indicate up to three main factors that have a **negative** impact on your QOWL: (Choose three or less)

(Respondents were allowed to choose **multiple** responses)

Response	Chart	Frequency	Count
Job satisfaction		18.6%	11
Leadership support		**42.4%**	**25**
Leadership opportunities		10.2%	6
Length of workday		11.9%	7
Advancement opportunities		**42.4%**	**25**
Training opportunities		6.8%	4
Awards and recognition		13.6%	8
Perform to Serve (PTS)		1.7%	1
Command climate		**42.4%**	**25**
Quality of the workplace facilities		39.0%	23
Parking		18.6%	11
Frequency of deployments/Individual Augmentations (e.g. IAMM or GSA)		1.7%	1

Other		15.3%	9
		Valid Responses	59
		Total Responses	59

7: Gender:

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Male		**55.9%**	**33**
Female		44.1%	26
		Valid Responses	59
		Total Responses	59
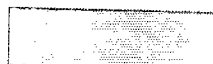
8: I am:

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Military		20.3%	12
Civilian		**79.7%**	**47**
Contractor		0.0%	0
		Valid Responses	59
		Total Responses	59

9: Rank:

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
E1 - E4		20.0%	2
E5 - E6		20.0%	2
E7 - E9		10.0%	1
W1 - O3		**30.0%**	**3**

36

O4 - O5		10.0%	1
O6 & Above		10.0%	1
		Valid Responses	10
		Total Responses	10

10: My command gives me sufficient time <u>during working hours</u> to participate in a physical readiness exercise program.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		**60.0%**	**6**
Agree		30.0%	3
Neither Agree nor Disagree		10.0%	1
Disagree		0.0%	0
Strongly Disagree		0.0%	0
		Valid Responses	10
		Total Responses	10
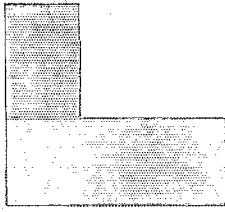
11: My supervisor conducts semiannual performance counseling with me.

(Respondents could only choose a **single** response) ·

Response	Chart	Frequency	Count
Yes		**90.0%**	**9**
No		10.0%	1
		Valid Responses	10
		Total Responses	10

37

12: During my semiannual performance my supervisor provides me with feedback that will enable me to improve my performance prior to my annual performance appraisal (EVAL/FITREP).

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		20.0%	2
Agree		20.0%	2
Neither Agree nor Disagree		**60.0%**	**6**
Disagree		0.0%	0
Strongly Disagree		0.0%	0
		Valid Responses	10
		Total Responses	10

13: In general, how have you or those you supervise been affected by Perform to Serve (PTS)?

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Positively		0.0%	0
Not applicable/neither positively or negatively		**50.0%**	**5**
Negatively		**50.0%**	**5**
		Valid Responses	10
		Total Responses	10

14: I know who my command Voting Assistance Officer is.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		**80.0%**	**8**
No		20.0%	2
		Valid Responses	10
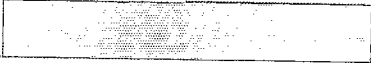
15: I voted in the last election.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		**80.0%**	**8**
No		20.0%	2
		Valid Responses	10
		Total Responses	10
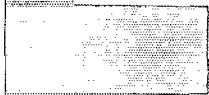
16: If you did not vote in the last election, why?

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
I choose not to		**100.0%**	**2**
I didn't know how to		0.0%	0
Other		0.0%	0
		Valid Responses	2
		Total Responses	2

17: Grade:
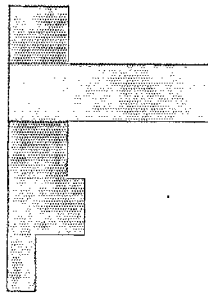
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
GS 1 - 8 or NSPS equivalent		14.9%	7
GS 9 - 12 or NSPS equivalent		**51.1%**	**24**
GS 13 - 14 or NSPS equivalent		29.8%	14
GS 15 or NSPS equivalent		4.3%	2

39

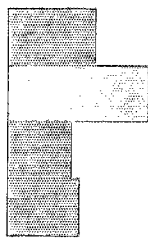|			
WG		0.0%	0
SES		0.0%	0
Other		0.0%	0
		Valid Responses	**47**
		Total Responses	**47**

18: My position description is current and accurately describes my functions, tasks, and responsibilities.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		12.8%	6
Agree		**51.1%**	**24**
Neither Agree nor Disagree		12.8%	6
Disagree		17.0%	8
Strongly Disagree		4.3%	2
Don't Know		2.1%	1
		Valid Responses	**47**
		Total Responses	**47**

19: My supervisor establishes my critical elements and conducts at least one performance progress review during the annual performance rating cycle.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		23.4%	11
Agree		**38.3%**	**18**
Neither Agree nor Disagree		17.0%	8
Disagree		19.1%	9
Strongly Disagree		2.1%	1
		Valid Responses	**47**

20: The Human Resource Service Center provides timely, accurate responses to my queries.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		2.1%	1
Agree		21.3%	10
Neither Agree nor Disagree		**53.2%**	**25**
Disagree		12.8%	6
Strongly Disagree		10.6%	5
		Valid Responses	47
		Total Responses	47

21: My (local) Human Resources Office provides timely, accurate responses to my queries.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		4.3%	2
Agree		21.3%	10
Neither Agree nor Disagree		**53.2%**	**25**
Disagree		6.4%	3
Strongly Disagree		14.9%	7
		Valid Responses	47
		Total Responses	47

22: I have the tools and resources needed to do my job properly.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		5.4%	3
Agree		**41.1%**	**23**
Neither Agree nor Disagree		8.9%	5
Disagree		33.9%	19
Strongly Disagree		10.7%	6
		Valid Responses	56
		Total Responses	56
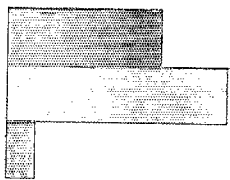
23: I have adequate leadership guidance to perform my job successfully.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		14.3%	8
Agree		**35.7%**	**20**
Neither Agree nor Disagree		14.3%	8
Disagree		26.8%	15
Strongly Disagree		8.9%	5
		Valid Responses	56
		Total Responses	56

24: My current workday is __hours. (Actual time spent at work not including commute time.)

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
6-8		37.5%	21
9-10		**55.4%**	**31**
11-12		3.6%	2
13-14		1.8%	1

42

15+   1.8%   1

Valid Responses   56

Total Responses   56

25: My current work week is normally _days.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
4		1.8%	1
5		98.2%	55
6		0.0%	0
7		0.0%	0
	Valid Responses		56
	Total Responses		56

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

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		**41.1%**	**23**
Agree		**41.1%**	**23**
Neither Agree nor Disagree		14.3%	8
Disagree		3.6%	2
Strongly Disagree		0.0%	0
	Valid Responses		56
	Total Responses		56

27: My command/organization is properly resourced (e.g., people, tools, training, supplies, etc.) to conduct its mission.
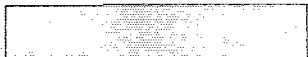
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count

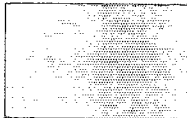| Yes | | 8.9% | 5 |
No		80.4%	45
Don't Know		10.7%	6
		Valid Responses	56
		Total Responses	56

28: If you indicated your command was not properly resourced, what resources are lacking? (Choose all that apply)

(Respondents were allowed to choose **multiple** responses)

Response	Chart	Frequency	Count
People		**82.2%**	**37**
Tools/Equipment		66.7%	30
Training		60.0%	27
IT Resources		55.6%	25
Spare Parts		20.0%	9
Supplies		55.6%	25
Other		24.4%	11
		Valid Responses	45
		Total Responses	45

29: Have you ever purchased mission-related work supplies, tools, parts or equipment with your own money?

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		**50.0%**	**28**
No		**50.0%**	**28**
		Valid Responses	**56**
		Total Responses	**56**

30. If you have purchased supplies or tools with your money, please provide a list of items, cost, and why (e.g., printer ink, $20, easier to go buy than going through the supply system).

_____
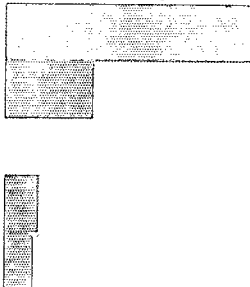
_____

_____

31: Approximately, how many miles per month do you use your personal vehicle for mission related travel? (Not including travel for TAD/TDY.)

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
0		**64.3%**	**36**
1-10		21.4%	12
11-20		1.8%	1
21-30		7.1%	4
more than 30		5.4%	3
		Valid Responses	**56**
		Total Responses	**56**

45

32: You indicated you use your vehicle for mission related travel; Are you reimbursed for this travel?

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		33.3%	7
No		**66.7%**	**14**
Not Answered			5
		Valid Responses	21
		Total Responses	26

33: I am satisfied with the overall quality of my workplace facilities.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		3.6%	2
Agree		12.5%	7
Neither Agree Nor Disagree		19.6%	11
Disagree		30.4%	17
Strongly Disagree		**33.9%**	**19**
		Valid Responses	56
		Total Responses	56

34. If you know of facilities that are in need of repair please provide information regarding base, building number, floor, room number, and nature of problem. (Example: Washington Navy Yard, building 172, 2nd floor, men's shower (room 201), no hot water.)

_____

_____

_____

46

35: My organization has an effective safety program.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		1.8%	1
Agree		30.4%	17
Neither Agree nor Disagree		**44.6%**	**25**
Disagree		16.1%	9
Strongly Disagree		7.1%	4
		Valid Responses	56
		Total Responses	56

36: I know how to report an unsafe or unhealthy work condition.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		10.7%	6
Agree		**62.5%**	**35**
Neither Agree nor Disagree		8.9%	5
Disagree		12.5%	7
Strongly Disagree		5.4%	3
		Valid Responses	56
		Total Responses	56

37: Reported unsafe or unhealthy work conditions are corrected promptly.
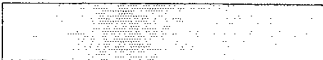
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		3.6%	2
Agree		25.0%	14
Neither Agree nor Disagree		**42.9%**	**24**

47

Disagree		21.4%	12
Strongly Disagree		7.1%	4
		Valid Responses	56
		Total Responses	56

38: I know who to contact at my command regarding safety questions or concerns.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		87.5%	49
No		12.5%	7
		Valid Responses	56
		Total Responses	56

39: I know what Operational Risk Management (ORM) is?

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		19.6%	11
Agree		26.8%	15
Neither Agree nor Disagree		12.5%	7
Disagree		33.9%	19
Strongly Disagree		7.1%	4
		Valid Responses	56
		Total Responses	56

40: I know when to apply the principles of Operational Risk Management (ORM).

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		16.1%	9
Agree		26.8%	15
Neither Agree nor Disagree		16.1%	9
Disagree		**33.9%**	**19**
Strongly Disagree		7.1%	4
		Valid Responses	56
		Total Responses	56

41: My job affords me a reasonable amount of quality time with my family.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		14.5%	8
Agree		**45.5%**	**25**
Neither Agree nor Disagree		25.5%	14
Disagree		10.9%	6
Strongly Disagree		3.6%	2
		Valid Responses	55
		Total Responses	55

42: Morale at my command has a positive impact on my QOWL.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		12.7%	7
Agree		**23.6%**	**13**
Neither Agree nor Disagree		20.0%	11
Disagree		21.8%	12

49

Strongly Disagree		21.8%	12
	Valid Responses		55
	Total Responses		55

43: Communication down the chain of command is effective.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		5.5%	3
Agree		23.6%	13
Neither Agree nor Disagree		16.4%	9
Disagree		**30.9%**	**17**
Strongly Disagree		23.6%	13
	Valid Responses		55
	Total Responses		55

44: Communication up the chain of command is effective.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		1.8%	1
Agree		23.6%	13
Neither Agree nor Disagree		16.4%	9
Disagree		27.3%	15
Strongly Disagree		**30.9%**	**17**
	Valid Responses		55
	Total Responses		55

50

45: My superiors treat me with respect and consideration.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		16.4%	9
Agree		**43.6%**	**24**
Neither Agree nor Disagree		18.2%	10
Disagree		16.4%	9
Strongly Disagree		5.5%	3
		Valid Responses	55
		Total Responses	55

46: My performance evaluations have been fair.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		16.4%	9
Agree		**47.3%**	**26**
Neither Agree nor Disagree		25.5%	14
Disagree		7.3%	4
Strongly Disagree		3.6%	2
		Valid Responses	55
		Total Responses	55

47: The awards and recognition program is fair and equitable.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		3.6%	2
Agree		21.8%	12
Neither Agree nor Disagree		**40.0%**	**22**

51

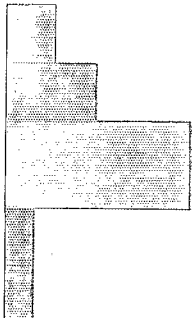| Disagree | | 18.2% | 10 |
Strongly Disagree		16.4%	9
		Valid Responses	55
		Total Responses	55

48: Military and civilian personnel work well together at my command.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		10.9%	6
Agree		**29.1%**	**16**
Neither Agree nor Disagree		**29.1%**	**16**
Disagree		18.2%	10
Strongly Disagree		12.7%	7
		Valid Responses	55
		Total Responses	55

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

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		12.7%	7
Agree		23.6%	13
Neither Agree nor Disagree		**49.1%**	**27**
Disagree		7.3%	4
Strongly Disagree		7.3%	4
		Valid Responses	55
		Total Responses	55

52

50: I know who to contact with an EEO/EO question or complaint.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		18.2%	10
Agree		**45.5%**	**25**
Neither Agree nor Disagree		16.4%	9
Disagree		16.4%	9
Strongly Disagree		3.6%	2
		Valid Responses	**55**
		Total Responses	**55**

51: I am aware of or know how to find my local IG Hotline number.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		14.5%	8
Agree		**40.0%**	**22**
Neither Agree nor Disagree		10.9%	6
Disagree		29.1%	16
Strongly Disagree		5.5%	3
		Valid Responses	**55**
		Total Responses	**55**

52: A grievance/complaint in my command will be handled in a fair, timely, and just manner.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		9.1%	5
Agree		12.7%	7
Neither Agree nor Disagree		**45.5%**	**25**
Disagree		18.2%	10
Strongly Disagree		14.5%	8
	Valid Responses		55
	Total Responses		55

53: My command adequately protects my Personally Identifiable Information (PII).

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		7.3%	4
Agree		**52.7%**	**29**
Neither Agree nor Disagree / Don't Know		30.9%	17
Disagree		5.5%	3
Strongly Disagree		3.6%	2
	Valid Responses		55
	Total Responses		55

54: My command has conducted a command climate assessment within the past 2 years.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		**85.5%**	**47**
No		3.6%	2
Don't Know		10.9%	6

54

55: My command's leadership provided feedback to command personnel on the results of our command climate assessment.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		**81.8%**	**45**
No		7.3%	4
Don't Know		10.9%	6
	Valid Responses		55
	Total Responses		55

56: My Command implemented an action plan to resolve command climate issues.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		30.9%	17
No		20.0%	11
Don't Know		**49.1%**	**27**
	Valid Responses		55
	Total Responses		55

57: Fraternization is occurring in my command/organization.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		3.6%	2
Agree		5.5%	3
Neither Agree nor Disagree / Don't Know		**60.0%**	**33**

55

Disagree		23.6%	13
Strongly Disagree		7.3%	4
		Valid Responses	55
		Total Responses	55

58: Favoritism is occurring at my command/organization.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		27.3%	15
Agree		25.5%	14
Neither Agree nor Disagree / Don't Know		**34.5%**	**19**
Disagree		10.9%	6
Strongly Disagree		1.8%	1
		Valid Responses	55
		Total Responses	55

59: Gender/sex discrimination is occurring at my command/organization.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		12.7%	7
Agree		12.7%	7
Neither Agree nor Disagree / Don't Know		**52.7%**	**29**
Disagree		12.7%	7
Strongly Disagree		9.1%	5
		Valid Responses	55
		Total Responses	55

60: Sexual harassment is occurring at my command/organization.

56

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		0.0%	0
Agree		3.6%	2
Neither Agree nor Disagree / Don't Know		**56.4%**	**31**
Disagree		29.1%	16
Strongly Disagree		10.9%	6
		Valid Responses	**55**
		Total Responses	**55**

61: Race discrimination is occurring at my command/organization.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		1.8%	1
Agree		7.3%	4
Neither Agree nor Disagree / Don't Know		**49.1%**	**27**
Disagree		25.5%	14
Strongly Disagree		16.4%	9
		Valid Responses	**55**
		Total Responses	**55**

57

62: Hazing is occurring at my command/organization.

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		0.0%	0
Agree		0.0%	0
Neither Agree nor Disagree / Don't Know		**38.2%**	**21**
Disagree		29.1%	16
Strongly Disagree		32.7%	18
	Valid Responses		55
	Total Responses		55

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

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		23.6%	13
No		**76.4%**	**42**
	Valid Responses		55
	Total Responses		55

64: How many DON civilians do you supervise?

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Less than 5		**46.2%**	**6**
5 - 10 civilians		23.1%	3
11 - 20 civilians		23.1%	3
More than 21 civilians		7.7%	1
	Valid Responses		13
	Total Responses		13

65: When did you receive civilian supervisory training?

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Never		15.4%	2
Within the last 12 months		7.7%	1
Between 1 and 4 years		**46.2%**	**6**
More than 4 years ago		30.8%	4
	Valid Responses		13
	Total Responses		13

66: Have you been a selecting official for a DON civilian vacancy?

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		18.2%	10
No		**81.8%**	**45**
	Valid Responses		55
	Total Responses		55

67: The DON civilian recruitment process is responsive to my command's civilian personnel requirements.
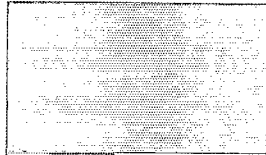
(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Strongly Agree		1.8%	1
Agree		12.7%	7
Neither Agree nor Disagree / Don't Know		**49.1%**	**27**
Disagree		23.6%	13
Strongly Disagree		12.7%	7

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		Valid Responses	55
		Total Responses	55

68: How would you rate your access to the Internet from work?

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Unlimited access to all required websites for information/work purposes		**70.9%**	**39**
Limited access to all required websites for information/work purposes (i.e., in port, only a few workstations, etc.)		29.1%	16
No access		0.0%	0
	Valid Responses	55	
	Total Responses	55	

69: Does your command routinely conduct required training (e.g., anti-terrorism, DOD Information Assurance, personal financial management, personal occupational safety & health, etc.)?

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		.94.5%	52
No		5.5%	3
	Valid Responses	55	
	Total Responses	55	

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70: Do you have adequate time at work to complete required General Military Training via Navy Knowledge Online (NKO) training?

(Respondents could only choose a **single** response)

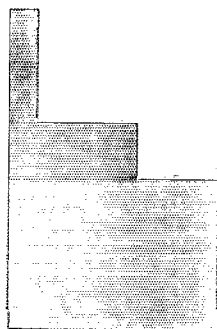| Response	Chart	Frequency	Count
Yes		**90.9%**	**50**
No		9.1%	5
		Valid Responses	55
		Total Responses	55

71: Are you able to access NKO at work?

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Yes		**98.2%**	**54**
No		1.8%	1
		Valid Responses	55
		Total Responses	55
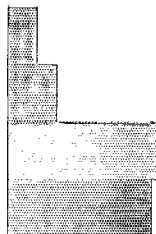
72: How often do you use NKO?

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Daily		5.5%	3
Weekly		5.5%	3
Monthly		32.7%	18
Only when I can't find information elsewhere or only when absolutely necessary		**54.5%**	**30**
Never		1.8%	1
		Valid Responses	55
		Total Responses	55

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73: How easy is it to find information you are looking for on NKO?

(Respondents could only choose a **single** response)

Response	Chart	Frequency	Count
Very easy		7.3%	4
Easy		12.7%	7
Neither easy or difficult		**40.0%**	**22**
Difficult		38.2%	21
Very Difficult		1.8%	1
		Valid Responses	**55**
		Total Responses	**55**

74. Please provide any comments or concerns impacting your quality of life/quality of work life.

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APPENDIX B

SUMMARY OF FOCUS GROUP DATA ANALYSIS
ACTIVE DUTY MILITARY AND DEPARTMENT OF
THE NAVY CIVILIAN PERSONNEL

SUMMARY OF FOCUS GROUP DATA ANALYSIS
ACTIVE DUTY MILITARY AND DEPARTMENT OF THE NAVY CIVILIAN
PERSONNEL

1. Overall Observations and Methodology. The Naval Inspector General (NAVINSGEN) Focus Group Team conducted ten active duty military and civilian focus groups, round tables, or personal interviews divided into E1-3, E5-6, O1-3, O5, O6, GS 1-8, GS 9-11, GS 12-13, GS 14-15 and SES. A total of 41 personnel, consisting of 13 active duty military (31.7 percent) and 28 civilians (68.3 percent) participated in these focus groups on a variety of quality of home life and quality of work life topics.

2. Quality of Life. The active duty military and Department of the Navy (DON) civilian personnel focus group participants rated their overall Quality of Life at 5.31, with military scoring 6.08 and civilians scoring 5.18. The distribution of scores can be seen in the chart below.
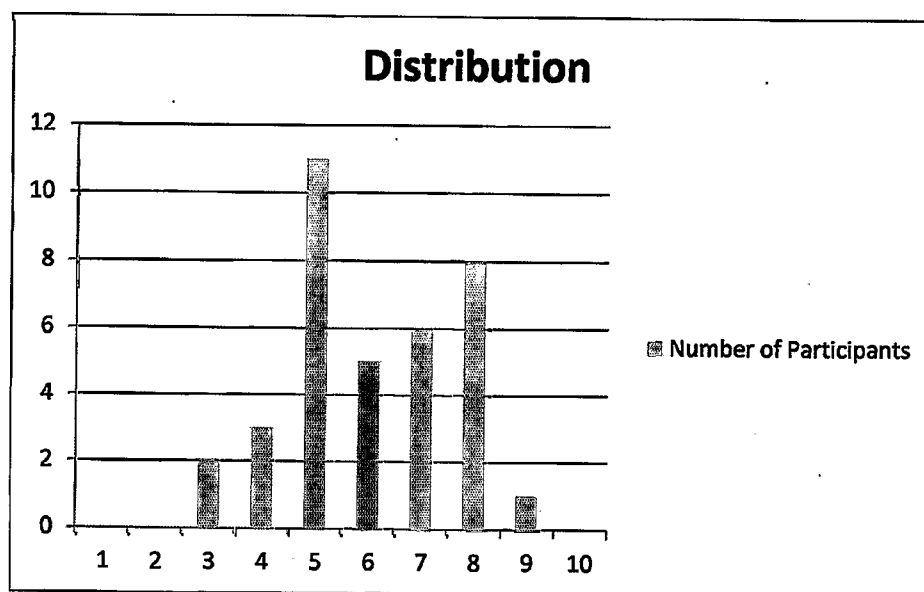
3. <u>Major Concerns</u>. Major concerns for active duty and DON personnel focus groups include: Leadership, facilities, communication, tasking, and military and civilian relationships. Other topics such as training, culture, manning, and advancement were also discussed.

   a. Leadership was identified as an issue in eight out of ten (five military and three civilian) focus groups. Participants stated that the staff is over extended on projects and that leadership has unrealistic expectations regarding timelines. The focus group participants felt that at times the leadership is dismissive. They also indicated that communication with the leadership is difficult. There appears to be a lot of resentment regarding high level positions being held by personnel with wrong skill sets. Participants indicated there is a lack of respect between the leadership and employees. Participants stated that command morale suffers from a lack of organization and lack of knowledge in certain areas.

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b. Facilities were discussed during eight of the focus groups. The main issues with the facilities had to with Historical artifacts being damaged by hot, cold, and humidity. Participants stated that temperatures fluctuate, walls are falling apart, ceiling leaks and there is active mold on paintings. Additional concerns were with palmetto bugs and the discovery of lead paint. Participants reported that it is so cold in the winter they have to wear coats, hats, and gloves. Participants indicated that personnel take leave to get out of the poor environment. Another problem was with disability access to the building, that is the ramp was located next to the dumpster and there is no handrail entering the building. Participants stated that NAVHISTHERITAGECOM has the largest collection of navy artifacts, but feel they are at the tail end of priorities.

c. Communication was discussed in seven of the focus groups. Focus group participants stated that information does not flow up, down, or across the organization. Participants also stated that decisions are being made, behind closed doors, which impact a division without input or consideration by division staff. Participants stated the staff is not fully aware of what is occurring in the command and that notes from meetings are miss-communicated to the staff

d. Tasking was discussed in five of the focus groups. The participants in the focus groups discussed tasking. They felt takings change daily and every task is a priority, which puts everyone into crisis management. Participants also feel that Leadership cannot say "NO" nor can they prioritize. They also believe the Leadership has no visibility of how much work personnel are already doing. They indicated they could do more to accomplish the mission, if additional funding and people were available.

e. Military and Civilian Relationships were discussed in five of the focus groups. Military members believe that civilians don not understand or respect the physical training requirements that the military must maintained. They also indicated the civilians have problems with junior officers. Military participants stated that civilians don not say hello or good bye or recognize military when walking by each other. Military participants stated that higher ranking civilians will often compare their pay grade to the military ranking system to get junior sailors to do a task. Often junior sailors are pulled for working parties at the last minute, regardless of their current assignments. The civilian focus groups participants simply indicated that there are military and civilian issues.

f. Additional, topics raised by focus group participants included training, culture, manning, and advancement.