



DEPARTMENT OF THE NAVY
COMMANDER NAVY RESERVE FORCE
1915 FORRESTAL DRIVE
NORFOLK VA 23551-4615

COMNAVRESFORINST 5040.1H
N002
22 Jul 2022

COMNAVRESFOR INSTRUCTION 5040.1H

From: Commander, Navy Reserve Force

Subj: COMMANDER, NAVY RESERVE FORCE COMMAND ASSESSMENT PROGRAM

Ref: (a) SECNAVINST 5040.3B
(b) SECNAVINST 5200.35G
(c) SECNAV M-5210.1
(d) SECNAVINST 5210.8F
(e) SECNAVINST 5210.16
(f) OPNAVINST 5450.347A
(g) OPNAVINST 5215.17A
(h) Chief of Naval Operations Charge of Command, 10 January 2022
(i) ALNAVRESFOR 020/22

Encl: (1) Navy Reserve Force Command Assessment Program Areas

1. Purpose. To publish procedures and guidance for executing the Navy Reserve Force Command Assessment (CA) Program.
2. Cancellation. COMNAVRESFORINST 5040.1G.
3. Scope. This instruction applies to all Commander, Navy Reserve Force (COMNAVRESFOR) commands and activities. COMNAVRESFOR commands and activities should read this instruction in its entirety with references (a) through (i). COMNAVRESFOR Inspector General (IG) will exercise authority and responsibility for the Commander, Navy Reserve Forces Command (COMNAVRESFORCOM), Commander, Naval Air Force Reserve (COMNAVAIRFORES), and Commander, Naval Information Force Reserve (COMNAVIFORES) echelon 3 CA Programs. COMNAVRESFOR IG will conduct CA events for COMNAVRESFORCOM and COMNAVAIRFORES echelon 4 commands. COMNAVIFORES will ensure CA Program compliance at their subordinate activities.
4. Background. Per reference (a), this instruction provides specific guidance concerning the implementation of the Department of the Navy Inspection Program (DONIP).
5. Discussion. The objective of the CA Program is to enable warfighting readiness by ensuring Federal, Department of Defense, Department of the Navy, and Navy Reserve program compliance, improving program effectiveness, identifying risks to the programs, and providing training and assistance to the Navy Reserve Force. To accomplish these objectives, the CA

Program must provide commanders and commanding officers with timely, accurate, objective, and mission-relevant evaluations and recommendations that set the conditions for a self-identifying, self-correcting, and learning culture in accordance with references (h) and (i).

6. Action. COMNAVRESFOR echelon 3, 4, and 5 commands and activities will be assessed on a triennial basis, as specified in reference (a). Specific responsibilities include the following:

a. COMNAVRESFOR IG (N002) must:

(1) Serve as principal advisor to COMNAVRESFOR and exercise overall direction for the CA Program.

(2) Act as Senior Evaluator for COMNAVRESFOR IG CA events.

(3) Coordinate COMNAVRESFOR IG CA events with echelon 3 and 4 commands.

(4) Publish and maintain the COMNAVRESFOR CA Schedule.

(5) Publish and maintain a COMNAVRESFOR CA Guide tailored to the distinct missions of COMNAVRESFORCOM, COMNAVIAIRFORES, and COMNAVIFORES to increase standardization and alignment in the execution, grading, and reporting of CA events.

(6) Conduct COMNAVRESFOR IG CA events, publish CA Reports, and ensure commands complete the corrective actions in accordance with reference (a) and this instruction.

(7) Designate echelon 2 and 3 assessors to act as subject matter experts (SME) during COMNAVRESFOR IG events.

(8) Distribute and brief the COMNAVRESFOR IG CA Reports to the responsible higher echelon commander.

(9) Report trends and provide recommendations to COMNAVRESFOR to improve the effectiveness and efficiency of the Navy Reserve Force.

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

b. COMNAVRESFOR IG Director of Assessments (N002C) must:

(1) Establish and maintain procedures to conduct CA events as in-person site visits, virtual events, and hybrid in-person and virtual events in order to remain flexible in execution based on the objectives of each CA event and the Force and Health Protection Conditions.

- (2) Coordinate logistics and local schedules for all COMNAVRESFOR IG CA events.
- (3) Act as Officer-in-Charge for all COMNAVRESFOR IG CA events.
- (4) Generate CA Reports at the conclusion of CA events for COMNAVRESFOR IG review and approval.
- (5) Ensure the timely completion of corrective actions for echelon 3 and 4 commands following the publication of CA Reports.
- (6) Maintain copies of CA Reports published by COMNAVRESFOR IG and COMNAVRESFOR echelon 3 and 4 commands for a minimum of 6 years per reference (c).
- (7) Track and report trends in compliance, effectiveness, and risk as published in CA Reports to COMNAVRESFOR IG.
- (8) Review this instruction annually and make recommendations to COMNAVRESFOR IG to incorporate changes and publish updates as required.

c. COMNAVRESFOR SME must:

- (1) Notify COMNAVRESFOR IG (N002C) when policy and instruction changes occur and make recommendations to update the CA Guide in their areas of expertise.
- (2) Participate in CA events as directed by COMNAVRESFOR IG.
- (3) Assess commands and report findings to COMNAVRESFOR IG (N002C) in accordance with governing policies and instructions.
- (4) Notify COMNAVRESFOR IG (N002C) when commands satisfactorily implement the corrective actions for all tracked deficiencies published in CA Reports.

d. COMNAVRESFOR echelon 3 and 4 commands must:

- (1) Designate a CA Program Manager to ensure CA Program compliance at the respective commands and subordinate commands and activities, and to make recommendations to COMNAVRESFOR IG (N002C) to maintain CA Program standardization and alignment.
- (2) Nominate echelon 3 SMEs for designation by COMNAVRESFOR IG to support echelon 3 and 4 CA events.

(3) Designate echelon 4 SMEs to conduct CA events at subordinate commands and activities.

(4) Conduct triennial assessments of subordinate commands and activities in accordance with this instruction.

(5) Submit CA Reports for subordinate commands and activities to COMNAVRESFOR IG (N002C).

(6) Take appropriate actions to address areas of concern, correct deficiencies identified during CA events, and share best practices and trend analysis across the Navy Reserve Force.

7. CA Events. COMNAVRESFOR IG and echelon 3 and 4 commands must conduct CA events in five phases:

a. Command Self-Assessment. The command who will receive the assessment must conduct a comprehensive self-assessment of all applicable programs in conjunction with a scheduled CA event. The Commanding Officer must provide a written report of the self-assessment results to the Senior Assessor prior to the commencement of the SME assessment.

b. Command Managed Equal Opportunity (CMEO) and Equal Employment Opportunity (EEO) Reviews. The Senior Assessor should conduct a CMEO and EEO review prior to the SME assessment. CMEO and EEO reviews should include but are not limited to a review of past Defense Equal Opportunity Climate Survey (DEOCS) Reports or in-person and virtual focus groups led by a Command Climate Specialist, CMEO, or EEO Representative. If conducted, the results of CMEO and EEO reviews should be briefed to the command triad and reporting senior.

c. SME Assessments. A Senior Assessor designated by COMNAVRESFOR IG or the echelon 3 or 4 commander must lead an SME assessment of programs selected by the Senior Assessor.

(1) COMNAVRESFOR IG and echelon 3 and 4 commanders must assess all programs and functional areas during CA events that directly enable warfighting readiness while assessing other areas that the Senior Assessor identifies as key enterprise initiatives, risks, or areas of concern following the command self-assessment results.

(2) The table in enclosure (1) identifies the programs and functional areas which must be included in all subordinate CA Instructions, CA Guides, and CA events. COMNAVRESFOR IG and echelon 3 and 4 commanders may omit areas that do not apply or assess additional areas as required during CA events to ensure warfighting readiness, maintain command and control of subordinate commands and activities, and respond to changes in policy.

(3) COMNAVRESFOR IG may select one or more subordinate commands or activities of the command receiving the CA event to assess, whether it is a full CA event or an assessment of only a select number of programs. This lower echelon assessment should serve as an indicator of the performance by the higher echelon in the duties of ensuring program management and execution at the subordinate commands and activities.

d. CA Reports. CA Reports must contain an executive summary and specific findings for the assessed areas to include grades in compliance, reports on program effectiveness, and reports on risks to the individual programs as observed by the Senior Assessor and SMEs. To improve effectiveness and efficiency, CA Reports must also include corrective actions for all serious deficiencies, observed root causes for the deficiencies, and any recommendations for areas of improvement. CA grading and reporting must be categorized as follows:

(1) Compliance. Compliance in program management enables a culture of excellence and the achievement of program objectives while reducing risk in program execution. Grades for program compliance grades must be assessed as:

(a) Compliant. Program meets or exceeds all requirements in accordance with governing instructions, policies, and laws having no serious deficiencies.

(b) Partially Compliant. Program meets most requirements in accordance with governing instructions, policies, and laws. Program functions as designed but has one or more serious deficiencies.

(c) Not Compliant. Program fails to meet sufficient requirements in accordance with governing instructions, policies, and laws.

(2) Effectiveness. Reports on program effectiveness serve as an indicator to command leadership whether a program manager is achieving the goals or objectives of the governing instructions, policies, and laws as observed by the SME. Reports on program effectiveness must be categorized as:

(a) Effective. Program is achieving the goals of the mission or program.

(b) Partially Effective. Program has shortfalls in performance but is generally accomplishing the objectives.

(c) Not Effective. Program fails to achieve its performance goals.

(3) Risk. Reports on risk to individual programs serve as an indicator to command leadership that the command and a program manager may be accepting risk in compliance or execution as observed by the SME. Reports on program risk must be categorized as:

(a) Low Risk. Program is well-managed with high potential for continued success.

(b) Moderate Risk. Program has some elements that have impacted or may negatively impact future performance.

(c) High Risk. Program has critical elements that, if not addressed, are likely to negatively impact future performance.

e. **Corrective Actions.** Commands must submit an implementation status report (ISR) to the Senior Assessor within 60 days following the receipt of the CA Report with corrective actions taken to address any deficiencies. Should correction of some deficiencies require additional time, the initial report must indicate an estimated date of completion. Commands must submit a quarterly ISR until the Senior Assessor determines that the command has satisfactorily implemented all corrective actions.

8. **Reports.** The reporting requirements contained within are exempt from reports control per reference (f).

9. **Records Management.** Records created as a result of this instruction, regardless of media or format, must be managed per reference (c).

10. **Review and Effective Date.** Per reference (g), COMNAVRESFOR IG shall review this instruction annually on the anniversary of its effective date to ensure applicability, currency, and consistency with Federal, Department of Defense, SECNAV, Navy policy, and statutory authority. This instruction will automatically expire 10 years after effective date unless reissued or cancelled prior to the 10-year anniversary date, or an extension has been granted.

A handwritten signature in blue ink, appearing to read 'J. B. Mustin', is positioned above the printed name.

J. B. MUSTIN

Releasability and distribution:

This instruction is cleared for public release and is available electronically via
COMNAVRESFOR Home Page: <https://www.navyreserve.navy.mil/Resources/Official-RESFOR-Guidance/Instructions/>

NAVY RESERVE FORCE COMMAND ASSESSMENT PROGRAM AREAS

Mission Support	Mission Readiness	Sailor and Civilian Support
<ul style="list-style-type: none"> -Accounting and Financial Integrity -Aviation Safety -Casualty Assistance Calls Officer -Civilian Budget, Payroll, and Timekeeping -Command Assessments -Continuity of Operations -Correspondence, Directives, and Forms Management -Electronic Key Management System -Financial Improvement and Audit Readiness -Freedom of Information Act and Privacy Act -Funeral Honors -Information Security -Information Technology Resources -Intelligence Oversight -Logistics Plans and Policies -Manpower/Reserve Personnel Services -Non-Combat Expenditure Allowance -Official Mail Control -Operations and Maintenance (Budget) -Personally Identifiable Information -Public Affairs -Purchasing/Purchase Card -Reserve Personnel Navy (Budget) -Safety -Special Security Administration -Telework 	<ul style="list-style-type: none"> -Command Pay and Personnel Administrator -Counter-Intelligence Training -Force Health -General Training -Government Travel Charge Card -Insider Threat Training -Mobilization Readiness and Execution -New Accession Training -Operational Security Training -Operations (includes Defense Travel System and Navy Reserve Order Writing System orders) -Pay Management -Personnel Security -Personnel Transactions -Physical Readiness -Schoolhouse Training -Specialized Training 	<ul style="list-style-type: none"> -Alcohol and Drug Control Officer -Awards and Recognition -Career Development -Civilian Personnel Management -Command Managed Equal Opportunity -Command Master Chief and Senior Enlisted Leader Programs -Culture of Excellence -Drug and Alcohol Program Advisor -Education Services Officer -Equal Employment Opportunity -Family Advocacy -Family Care -Federal Voting Assistance -Fitness Reports and Evaluations -Legal Matters -Morale, Welfare, and Recreation -Officer and Enlisted Bonus Management -Personal Financial Management -Prior Service Re-enlistment Eligibility-Reserve -Private Mess Administration -Sexual Assault Prevention and Response -Suicide Prevention -Urinalysis -Victim and Witness Assistance