COMNAVRESFORINST 5040.1J
N002
15 Oct 2025

COMNAVRESFOR INSTRUCTION 5040.1J

From: Commander, Navy Reserve Force

Subj: COMMANDER, NAVY RESERVE FORCE COMMAND ASSESSMENT PROGRAM

Ref: (a) SECNAVINST 5040.3B
      (b) SECNAV M-5210.1
      (c) SECNAVINST 5210.8F
      (d) SECNAVINST 5213.16
      (e) OPNAVINST 5450.347A
      (f) OPNAVINST 5215.17A
      (g) Chief of Naval Operations Charge of Command, 10 January 2022
      (h) ALNAVRESFOR 020/22

1. Purpose. To publish procedures and guidance for executing the Navy Reserve Force Command Assessment (CA) Program.

2. Cancellation. COMNAVRESFORINST 5040.1H.

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 (h). COMNAVRESFOR Inspector General (IG) will exercise authority and responsibility for the CA Program for Commander, Navy Reserve Forces Command (COMNAVRESFORCOM), Commander, Naval Air Force Reserve (COMNAVAIRFORES), and Commander, Naval Information Force Reserve (COMNAVIFORES) echelon III and IV commands. COMNAVRESFORCOM, COMNAVAIRFORES and COMNAVIFORES echelon IV commands will exercise authority and responsibility for the CA Program for subordinate commands and activities in alignment with this instruction.

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 War, Department of the Navy, and Navy Reserve programs compliance and effectiveness while providing training and assistance to the Navy Reserve Force. 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 learning culture which is able to self-identify and self-correct performance deficiencies per references (g) and (h).

The CA Program must seek opportunities to move away from the static, legacy processes in favor of more agile, responsive activities that enable a frequent evaluation of mission readiness and timely corrective actions to improve effectiveness in program execution.

6. Action. COMNAVRESFOR echelon 3, 4 and 5 commands 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 Assessor 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 Categorized Program List tailored to the distinct missions of COMNAVRESFORCOM, COMNAVAIRFORES, and COMNAVIFORES to increase standardization and alignment in the execution and reporting of CA events.

        (6) Conduct COMNAVRESFOR IG CA events, publish CA Reports, and ensure commands complete the corrective actions per 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 such 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 related to tracked discrepancies 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 six years per reference (c).

(7) Track and report trends 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.

(9) Manage the COMNAVRESFOR Command Assessment Tool (CA Tool) for CA Report tracking and trend analysis.

(10) Review programs and program check sheets periodically to ensure accuracy and applicability to the mission of the Navy Reserve Force.

(11) Review, decide and facilitate formal requests for Train and Assist events for echelon 3, 4, and 5 commands.

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 via the COMNAVRESFOR CA Tool to N002C per governing policies and instructions.

(4) Notify N002C when commands satisfactorily implement the corrective actions for all tracked discrepancies published in CA Reports.

(5) Assist N002C with creating and updating program check sheets periodically based on governing instructions, policies, and laws.

d. COMNAVRESFOR echelon 3 and 4 commands must:

(1) Designate a CA Program Manager to ensure CA Program compliance and effectiveness at the respective commands and subordinate commands and activities.

(2) Make recommendations to N002C to maintain CA Program standardization and alignment.

(3) Nominate echelon 3 SMEs for designation by COMNAVRESFOR IG to support echelon 4 CA events.

(3) Designate echelon IV 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 via the COMNAVRESFOR CA Tool for subordinate commands and activities.

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

(7) Assess subordinate commands on programs areas not defined.

7. COMNAVRESFOR Command Assessment Tool (CA Tool). COMNAVRESFOR IG and commands executing CAs shall meet all requirements within this instruction utilizing the Command Assessment Tool (CA Tool). The CA Tool provides information to leadership with analytics and trend analysis. The CA Tool can be found on the Navy Reserve Homeport at the following web address (CAC-Enabled):
https://locker.private.navyreserve.navy.mil/commandassessment/home.

8. CA Events. COMNAVRESFOR IG and echelon 3 and 4 commands shall conduct CA events in four phases within a three-year assessment cycle:

a. Command Self-Assessment. The command who will receive the assessment shall conduct a comprehensive self-assessment of all applicable programs in conjunction with a scheduled CA event. The assessed command must provide the results of their self-assessment within the CA Tool prior to the commencement of the assessment.

b. 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 applicable programs within the functional area of mission readiness during CA events while assessing a sufficient number of programs within the functional areas of mission support and Sailor and civilian support to validate the command self-assessment results and address other areas that the Senior Assessor identifies as key enterprise initiatives, risks or areas of concern. At the discretion of the commanders, the SME assessments may take place at one designated time during a three-year period, or it may occur as a series of shorter events that ensure all three

functional areas get assessed at least once over the course of the three-year period in order to facilitate a continuous evaluation of readiness.

(2) The table in enclosure (1) identifies the functional areas and programs which must be included in all subordinate CA Instructions, CA Guides, and CA events. COMNAVRESFOR IG and echelon III and IV 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.

c. CA Reports. CA Reports shall contain an executive summary and specific findings for the assessed areas to include an assessment of program compliance and effectiveness, root causes for deficient performance 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 tracked discrepancies and any recommendations for areas of improvement. CA reporting must be categorized as follows:

(1) Compliance. Reports on compliance serve as an indicator to command leadership that the program enables a culture of excellence and the achievement of program objectives while reducing risk in program execution. Program compliance must be assessed as:

(a) Compliant. Program meets the fundamental requirements of the governing instructions, policies, and laws having no serious discrepancies.

(b) Partially Compliant. Program meets most requirements and functions as designed in accordance with governing instructions, policies, and laws.

(c) Not Compliant. Program does not meet sufficient requirements which prevents it from functioning as designed in accordance with governing instructions, policies, and laws.

(2) Effectiveness. Reports on program effectiveness serve as an indicator to command leadership whether the command is achieving the performance objectives of the governing instructions, policies and laws. Reports on program effectiveness must be assessed as:

(a) Effective. Program achieves the performance objectives of the governing instructions, policies and laws.

(b) Partially Effective. Programs have shortfalls in performance but generally accomplishes the objectives of the governing instructions, policies and laws.

(c) Not Effective. Program does not achieve the objectives of the governing instructions, policies and laws.

(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.

d. Corrective Actions. Commands must submit a tracked discrepancy update to the Senior Assessor within 60 days following the receipt of the CA Report with corrective actions taken to address any tracked discrepancies. Should correction of some discrepancies require additional time, the initial report must indicate an estimated date of completion. Commands must submit a quarterly update until the Senior Assessor determines that the command has satisfactorily implemented all corrective actions for tracked discrepancies.

8. Continuous Evaluation. Continuous evaluation implements ongoing monitoring and data analysis, moving beyond static, point-in-time assessments to provide a dynamic view of program performance at any time. echelon 2, 3 and 4 commands and program managers shall accomplish continuous evaluation by leveraging existing data systems to track key performance indicators (KPIs), conducting regular internal reviews and self-assessments, soliciting feedback from applicable stakeholders (including Reservists, supported commands, and civilian employees), and analyzing trends in program participation and retention. Additionally, commands should utilize data visualization tools and dashboards to facilitate timely reporting and identify areas requiring further attention or intervention. Continuous Evaluation results can be used to validate program compliance, effectiveness and risk as part of a CA evolution.

9. Train and Assist Visits. A COMNAVRESFOR echelon 3 and 4 command may request a train and assist event from COMNAVRESFOR IG by contacting the COMNAVRESFOR IG Director of Assessments (N002C). Echelon 4 commands should request assistance from their Immediate Superior in Command (ISIC) prior to requesting a COMNAVRESFOR IG-lead train and assist event. A COMNAVRESFOR IG train and assist visit should only be considered after options for ISIC assistance have been exhausted.

a. N002C will review each train and assist request with the following considerations:

(1) The command requesting a train and assist event has conducted a recent and thorough self-assessment and identified a program(s) as not compliant with high risk.

(2) Endorsement from the requesting command's ISIC and ISIC's ability to provide training, assistance, and follow-on oversight responsibilities.

(3) Impact of the program(s) in question and the specific command in relation to the mission of the Navy Reserve.

b. If a COMNAVRESFOR IG train and assist visit is approved, the results of the visit will be documented on the requesting commands next Command Assessment Report.

10. Reports. The reporting requirements contained within are exempt from reports control per reference (b).

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

12. Review and Effective Date. Per reference (f), 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.

L. A. FROST
Deputy Commander

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/