



DEPARTMENT OF THE NAVY  
CHIEF OF NAVAL AIR TRAINING  
250 LEXINGTON BLVD SUITE 102  
CORPUS CHRISTI TX 78419-5041

Canc: May 17

CNATRANOTE 5200

N1

6 May 16

CNATRA NOTICE 5200

Subj: CNATRA MANAGER'S INTERNAL CONTROL PLAN

Ref: (a) CNATRAINST 5200.8

Encl: (1) Assessment Schedule  
(2) Assessable Units (CNATRA HQ)

1. Purpose. To publish the Chief of Naval Air Training (CNATRA) Manager's Internal Control (MIC) Plan for reporting period ending 30 June 2017. Reference (a) provides guidance for individual responsibilities.

2. Background

a. CNATRA is required to submit an annual MIC Certification Statement (CS) to Commander, Naval Air Force, Pacific (COMNAVAIRPAC) for the reporting period 1 July 2016 and ending 30 June 2017. The statement will be used as a feeder report for the Department of the Navy's 2017 Statement of Assurance as required by the Federal Managers' Integrity Act (FMFIA) and the DON'S MIC policy.

b. The CNATRA MIC Plan is submitted annually per reference (a).

c. The Chief of Staff (COS) shall sign the annual CS and submit to COMNAVAIRPAC.

d. The Administrative Officer is the CNATRA MIC Coordinator.

e. The Government Accountability Office (GAO) has established a set of standards for internal control that include: Control Environment, Risk Assessment, Control Activities, Information and Communication and Monitoring. The enclosures within this notice are the forms to be used in documenting the MIC program.

(1) Enclosure (1) is the Assessment Schedule for FY 2016 for the Naval Air Training Command (NATRACOM). This is a schedule of Risk Assessments, Command Evaluations and Command Assessments within CNATRA.

(2) Enclosure (2) is CNATRA HQ staff specific. The Assessable Unit List includes the assessable units and the sub-assessable units. This list should be reviewed by the assessable unit managers and changes should be reflected in the next year's annual MIC Plan.

### 3. Policy

a. It is DoN policy that commands establish MIC programs to evaluate and report on the effectiveness of Internal Controls (IC) throughout their organizations and make corrections when necessary. Commands shall use organizational assessments, evaluations, and other contributing information (performance metrics, external audits and inspections, etc.) as forms of monitoring ICs.

b. In addition to the DoN MIC program, the DoN Risk and Opportunity Assessment (ROA) is a SECNAV directed annual data call led by the Naval Inspector General (NAVINSGEN) in which Navy and Marine Corps activities identify high-level vulnerabilities that represent significant challenges to senior naval leadership. The purpose of the annual DoN ROA is to guide the development of the Annual Oversight Plan (AOP). Leadership can consider including risks identified through the ROA as part of their internally-identified MIC risk assessment. Risks from the ROA, and command or activity-identified risk, can then be assessed to aid in identifying control deficiencies. While the ROA and MIC program serve different purposes, they should be viewed as complementary processes that both involve risk identification and assessment.

### 4. Action

a. ACOS/Subordinate Commands: Assessable Unit Managers and designated points of contact who are assigned tasks within reference (a) shall follow the schedule that is set forth in enclosure (1) and utilize the data collection forms found in reference (a) to evaluate the assessable units.

CNATRANOTE 5200  
6 May 16

b. Throughout the year CNATRA HQ Assessable Unit Managers will evaluate their assessable units to determine whether they should remain listed on enclosure (2). They will also look at other processes within their purview to determine if they should be added to enclosure (2) the following year.

5. Point of Contact. For questions or information regarding the CNATRA MIC Program contact, Mr. Vince Ortiz, COMM, (361) 961-2186 or email, vince.ortiz@navy.mil.

D. M. EDGECOMB  
Chief of Staff

Distribution:  
CNATRA Website  
CNATRA SharePoint

**Assessment Schedule**  
**for**  
**MIC Period Ending 30 June 2016**

Phase and Task	Date Due
1. Introduction	1 Jul 16
Identify POC (update) for the N-code.	1 Jul 16
ACOS Brief if required	Aug 16
Quarterly update (Spot check)	9 Sep 16
2. Training	
ACOS Brief*	Sep 16
Note: Outlines ACOS and N-code responsibilities.*	
POC Brief**	Sep 16
Note: More in depth than ACOS brief and will require the POC to return a MIC NKO training certificate to the MIC Coordinator. **	TBD
Update Organizational Profile	3 Oct 16
Verify/Update AU List	3 Oct 16
Quarter Spot Check	9 Dec 16
3 . Deliverables	
Risk Assessments on all AUs	10 Feb 17
Quarterly spot check	3 Mar 17
Internal Control Assessment	10 Mar 17
MIC Questionnaire	10 Mar 17
4. Reporting	
ACOS/Subordinate Commander Statement of Assurance (SOA)	17 Mar 17
5. Reports due to COMNAVAIRPAC	
Certification Statement (CS) to CNAP	31 Mar 17
Quarterly Spot Check	9 Jun 17
2016 MIC Plan (CNATRANOTE 5200 to COS) Note: Due to the layered reporting requirement MIC representatives should be prepared to submit SOA's at any time during April 2016.	23 Jun 17

**CNATRA HQ**  
**ASSESSABLE UNITS**

**Legal (00D)**

Ethics - Confidential Financial Disclosure Report (OGE-450)  
Filing, Review and Training  
Processing Freedom of Information Act (FOIA) and Privacy Act  
(PA) Requests  
Licensing of Naval Aviation Trademarks  
Ethics - Acceptance of Gifts

**JAG (00J)**

JAGMAN Investigation Retention/Disposition  
JAGMAN Investigations - Litigation Reports  
Complaints of Wrong Under Article 138 and Article 1150  
NJP Appeal and Review

**Admin (N-1)**

Military Awards  
Travel System Management (Travel Order Process)  
Performance Management  
Civilian Position Management Process

**Operations (N-3)**

Annual Flight Hour Requirement for Contract/Budget  
Orientation Flight Request  
Integrated Production Plan (IPP)  
Aircraft Life Cycle Management

**Contracts (N-4)**

Contract Cost & Price Analysis  
Quality Assurance/Production Control  
Contract Property Administration  
Aircraft Readiness

**IT (N-6)**

Enterprise Operations (N61) - Daily Client Service Operations  
and Contracted Services.  
Enterprise IA (N62) - Oversees Information Assurance Programs,  
Configuration Management and Compliance Reporting  
Enterprise Systems and Data Management (N63) - Operations of  
Servers, Data Centers, Capacity Management and Software  
Engineering.

6 May 16

**Training (N-7)**

Annual Instructor/Student/Unit Awards

Curriculum Waiver Process

Fleet Readiness Squadrons (FRS) Feedback/Liaison

TIMS Maintenance and Configuration Management Process

CONGRINT/IG/Request Mast/Attrition Reviews

Courseware and Curriculum Change Process and Configuration Management

Pipeline Change Process

Program Change Process

**Finance (N-8)**

Accounting

Funds Management and Control

Personal Property Management

Purchase Card Process

Timekeeping Function

Travel Card Process

Enclosure (2)