UNITED STATES MARINE CORPS
MARINE CORPS INSTALLATIONS NATIONAL CAPITAL REGION
MARINE CORPS BASE QUANTICO
3250 CATLIN AVENUE
QUANTICO, VIRGINIA 22134-5001

IN REPLY REFFER TO:
MCINCR-MCBQO 5040.3A
B 051
14 Jul 16

MARINE CORPS INSTALLATIONS NATIONAL CAPITAL REGION-MARINE CORPS BASE QUANTICO ORDER 5040.3A

From: Commander
To: Distribution List

Subj: COMMAND INSPECTION PROGRAM

Ref: (a) MCO 5040.6H
(b) NAVMC DIR 5040.6H
(c) Terms of Reference between Commanding General, Marine Corps Combat Development Command and Commander, Marine Corps Installations Command dtd 12 Oct 2011 (NOTAL)

Encl: (l) Guidance for Preparation and Conduct of the Command Inspection Program Inspections
(2) Command Inspection Report Format
(3) Corrective Action Plan Format
(4) Status of Findings Report Format

1. Situation. Per references (a) through (c), this Order provides guidance and inspection procedures for the Commander, Marine Corps Installations National Capital Region-Marine Corps Base Quantico (MCINCR-MCBQ) Command Inspection Program (CIP).

2. Mission

a. Reference (a) establishes the Marine Corps inspection process and assigns inspection authority and responsibility to the Commander, MCINCR-MCBQ to create a program for this Command. The Commander, MCINCR-MCBQ is responsible for designing and administering short- or no-notice, biennial command inspections. The inspections reinforce combat readiness, evaluate areas essential for mission performance, and help commanders identify training deficiencies. The assumption is that tenant commands are ready and mission capable; the CIP validates that assumption.

b. The Inspector General of the Marine Corps (IGMC) triennially evaluates the effectiveness of command inspection programs by visits and analysis of command inspections.

3. Execution

a. Commander’s Intent and Concept of Operations

DISTRIBUTION STATEMENT A: Approved for public release: Distribution unlimited.

(1) Commander's Intent. The Command Inspector General (CIG), MCINCR-MCBQ shall plan and conduct a series of short- or no-notice inspections to biennially validate the mission readiness of Quantico-based commands to assist those commanders in identifying improvements to mission performance. The MCINCR-MCBQ CIG also serves as the CIG for the Commanding General (CG), Marine Corps Combat Development Command (MCCDC), per reference (c).

(2) Concept of Operations. The CIP will be administered to ensure that the inspection process requires the least number of inspections to meet the aforementioned goals. Redundancy in the inspection process is to be avoided whenever possible.

b. Subordinate Element Missions

(1) Commanders will:

(a) Immediately inform the CIG when external agencies schedule inspections, evaluations, audits, and staff visits to their respective Commands;

(b) Provide copies of any correspondence concerning such inspections, audits, and evaluations to the Commander, MCINCR-MCBQ (B 051);

(c) Identify to the CIG, upon request, qualified personnel as augment inspectors to conduct an inspection. Personnel are required to attend training and should be assigned, in writing, for a minimum of 6-months. If the assigned individual is unavailable, it is the command's responsibility to assign a qualified replacement to the CIG;

(d) Be prepared to be inspected in those areas listed in Appendix B of reference (b), as revised and published on the IGMC website or for any short notice inspection that may be directed, as applicable to your unit or activity mission;

(e) Use appropriate Marine Corps inspection checklists provided electronically on the IGMC websites to guide unit action, processes, and procedures;

(f) Respond as directed upon receipt of the Command Inspection Report; and,

(g) Respond with a Corrective Action Plan to correct any findings identified during an inspection within 30 days of the date of the command inspection report.

(h) Respond as directed until all findings have been closed.

(2) Assistant Chiefs of Staff (AC/S) and Division Directors will:

(a) Be prepared to be inspected in those areas listed in Appendix B of reference (b) and currently maintained on the IGMC website at https://www.hqmc.marines.mil/igmc/Resources/FunctionalAreaChecklists.aspx.

(b) Obtain copies electronically of appropriate Marine Corps inspection checklists from the IGMC website listed above;

(c) Identify to the CIG, upon request, qualified personnel as augment inspectors to conduct an inspection. Personnel are required to attend training and should be assigned, in writing, for a minimum of 6-months. If the assigned individual is unavailable, it is the command's responsibility to assign a qualified replacement to the CIG;

(d) Immediately inform the CIG when external agencies schedule inspections, evaluations, audits, and staff visits to this Command; and,

(e) Provide copies of any correspondence concerning such inspections to the CIG.

(3) CIG will:

(a) Inspect, investigate, or inquire into any and all matters of importance to the Commander, MCINCR-MCBQ with particular emphasis on readiness, including, but not limited to: effectiveness, efficiency, discipline, morale, economy, ethics and integrity; environmental protection; fiscal matters; safety and occupational health; medical and dental matters; physical security; information systems management; equal opportunity issues; personnel support services; troop information and other issues affecting quality of life; command relationships; and organizational structures;

(b) Assume an oversight role for the CIP and all external inspection/evaluation/audits;

(c) Serve as the principal advisor to the Commander, MCINCR-MCBQ on all inspection matters;

(d) Brief the Commander, MCINCR-MCBQ as necessary and/or when requested;

(e) Conduct, or cause to be conducted, all inspections, evaluations, and audits in order to fulfill the requirements of this Order;

(f) Ensure all augment inspectors receive training on the proper conduct of inspections and inspection procedures;

(g) Request appropriate assistance from higher headquarters staff agencies for those inspections, evaluations, and audits requiring special expertise not resident within this Command;

(h) Prepare a Command Inspection Report to the commander/head of the inspected activity within 10 working days of completing any inspection, evaluation, or audit;

(i) Document all inspections, evaluations, and audits;

(j) Maintain records of all such inspections, evaluations, and audits for a period of 6 years;

(k) Make records available to the IGMC during triennial inspections of this Command;

(l) Provide an independent command evaluation of the adequacy and effectiveness of internal control systems to deter and/or detect fraud, waste, abuse, discrimination, sexual harassment and other related improprieties;

(m) Provide recommendations to correct and/or strengthen internal control systems as appropriate, when weaknesses are detected;

(n) Establish policy and procedures for inquiries and supervise, guide, and coordinate all MCINCR-MCBQ inspections, evaluations, and audits;

(o) Analyze information obtained through investigations to identify areas of weakness that relate to discipline, integrity, efficiency and readiness, and provide appropriate recommendations for improvement;

(p) Receive allegations of inefficiency, misconduct, impropriety, mismanagement, or violations of law, and investigate or refer such matters for investigation as the Commander, MCINCR-MCBQ deems appropriate;

(q) Serve as principal point of contact to Department of Defense (DoD), Department of the Navy (DON), and Headquarters Marine Corps (HQMC) on all inspections, investigations, and related matters pertaining to MCINCR-MCBQ;

(r) Conduct for DoD, DON, and HQMC inspections and surveys and make appropriate evaluations, reports, and recommendations concerning:

1. Tenant commands of MCINCR-MCBQ; and,

2. Programs which impact readiness or mission performance;

(s) Conduct area visits and make appropriate evaluations, reports, and recommendations;

(t) Establish objectives, coordinate, and monitor inspection programs in conjunction with appropriate commanders or supervisory authorities;

(u) Coordinate the efforts of organizations engaged in the periodic evaluation of effectiveness, efficiency, integrity, and economy to minimize the duplication and quantity of inspections imposed on any unit or activity; and,

(v) Recommend to the Commander those Marines, Sailors and/or civilians deemed noteworthy in their respective functional areas for appropriate recognition.

(4) Tenant Activity Heads will:

(a) Participate in the CIP per existing host/tenant Memoranda of Agreement/Letters of Agreement/ISSAs, as required;

(b) Respond with a Corrective Action Plan to correct any findings identified during an inspection within 30 days of the date of receiving the Command Inspection Report; and,

(c) Respond as directed until all findings have been closed.

c. Coordinating Instructions

(1) The CIG will respond to requests from other Marine Corps organizations in the National Capital Region to provide support for inspection activities to the fullest extent possible. The augment inspectors assigned to the MCINCR-MCBQ CIP will be used, when requested and available.

(2) Activities under this program normally include, but are not limited to, Headquarters and Service Battalion; Security Battalion; Marine Corps Air Facility; and Marine Corps Embassy Security Group. Commanders of these activities and others, as determined by the Commander, MCINCR-MCBQ or higher headquarters, will provide qualified individuals to serve as augment inspectors for the functional areas identified by the CIG.

(3) Specific by-name assignments for augment inspectors are made via separate correspondence. Appointments will be in writing.

(4) Inspections or evaluations performed under the authority of reference (c) will be reported to the CG, MCCDC in the manner in which described in this order unless otherwise directed by the CG, MCCDC.

4. Administration and Logistics

a. Inspection Principles and Grading System. The inspection principles and grading system identified in Chapter 1 of reference (b) will be followed for the CIP.

b. Definitions. Definitions for the command inspection program are found in Chapter 2 of reference (b).

c. Inspection Checklists, Guidelines, Reports and Schedule. The detailed inspection checklists maintained by the IGMC are to be used by commanders, activity heads, and inspectors in preparing for and conducting inspections under the CIP. Detailed inspection checklists are intended to provide activities with the guidelines from applicable directives for day-to-day administration and operations. However, they are not intended to be all-encompassing in content. Thus, total reliance on such detailed inspections checklists, in lieu of proper reference to pertinent directives, should be avoided as they do not guarantee a mission-capable rating. Guidance to prepare for and conduct an inspection are provided in Chapter 3 of reference (b) and in enclosure (1) of this order.

d. Support. For those inspections or evaluations requiring special expertise not resident within this Command, the CIG will request appropriate assistance from HQMC, staff agencies or activities within the local travel area. The inspection of areas requiring special attention or scheduling will be conducted on an individual basis by the CIG and the responsible HQMC staff agency.

e. Reports

(1) Prepare a Command Inspection Report within 10 working days of completing each CIP inspection. The Command Inspection Report will provide a comprehensive appraisal of significant findings using the format in enclosure (2) and issued to the commander or activity head of the organization inspected.

(2) The commander or activity head of the inspected organization will respond with a Corrective Action Plan to the Commander, MCINCR-MCBQ (B 051) within 30 days of the date of the unit inspection report using the format in enclosure (3).

(3) The CIG will continue follow-up action until all findings are appropriately answered. The commander or activity head of the inspected organization will provide a Status of Findings report as requested by the CIG, normally every 90 days from receipt of the Corrective Action Plan. Status of Findings reports will continue until all findings have been closed. Enclosure (4) provides a sample format for the Status of Findings report.

f. Recommendations. Recommendations concerning the contents of

the CIP are invited. Forward recommendations to the Commander, MCINCR-MCBQ (B 051) via the appropriate chain of command.

5. Command and Signal

a. Command

(1) This order cancels MCBO 5040.3.

(2) The CIG is responsible for coordinating all inspections and ensuring all inspections are conducted under the guidance of the Commander, MCINCR-MCBQ.

b. Signal

(1) Guidance for the preparation and conduct of CIP inspections as described in references (a) and (b) and enclosure (1) of this order is not strictly limited.

(a) The absence of a detailed inspection checklist for an area does not mean that the area is not subject to inspection. It simply means that a specific detailed inspection checklist may not have been developed for that particular area.

(b) Notwithstanding the fact that detailed inspection checklists are updated by the respective HQMC functional area managers on a continuous basis, care must be exercised to ensure that the most current directives are used in preparing for the inspection.

(2) A copy of each completed detailed inspection checklist will also be provided to the commander or activity head of the inspected organization upon completion of the CIP inspection. Inspectors address deficiencies and provide recommendations and comments to assist the commander or activity head with correcting discrepancies and findings; these inputs form the basis for the Corrective Action Plan.

(3) This Order is effective the date signed.

X

A. D. BROUGHTON
Chief of Staff
Signed by: BROUGHTON.ALLEN.DALE.1168122922

DISTRIBUTION: A

GUIDANCE FOR PREPARATION/CONDUCT OF COMMANDER'S INSPECTION PROGRAM INSPECTIONS

1. Activity Participation

a. The activity shall strive for maximum availability of personnel for the inspection.

b. Personnel participation in troop events, officer/staff noncommissioned officer (SNCO) uniform inspection will be determined by the CIG using a current alpha roster.

c. The activity to be inspected ensures the readiness and availability of all personnel selected to participate in the troop events. Troop events may include the physical fitness test (PFT) or combat fitness test (CFT), as appropriate; personnel inspections and drill, and operational readiness events. No later than the first day of the scheduled inspection, the CIG issues the commander of the inspected unit a five paragraph order detailing the events and participation.

2. Officer and SNCO Uniform Inspection

a. The CIG designates the officers and SNCOs to participate in the uniform inspection, and the uniforms each are to wear.

b. Personnel to be inspected should be prepared to answer questions relating to the profession of arms, leadership, and quality of life.

c. The command provides appropriate private space for the officer and SNCO uniform inspections. Personnel report singularly using normal reporting procedures. A hand salute will be executed if the cover is directed to be worn.

d. Rosters will be made available to the inspecting officer prior to the inspection. The names should be listed in the order that the officers/SNCOs appear for the inspection. Adequate lighting for viewing the details of the uniform and an appropriate area for executing facing movements in the inspection area will be made available. Officers designated to appear for inspection with swords will be prepared to execute the sword manual upon request. A sword will be available in the SNCO room should the inspector request any movements.

e. As directed, a copy of the awards and marksmanship record will be made available for each person to be inspected; these records will be provided to the inspecting officer.

f. Personnel inspections should take approximately 5 minutes per

individual.

3. Personnel Inspection, Drill, and Color Guard

a. Marines participating in the personnel inspection will normally be inspected in the Service "A" uniform with ribbons and badges. Other uniforms may be prescribed at the discretion of the CIG. Marines will normally be formed in two or three ranks of equivalent numbers. Extremely large or small numbers should be coordinated with the lead inspector by the platoon sergeant prior to the personnel inspection.

b. When designated, Marines selected for drill are inspected with individual weapons (M-16s). Unless otherwise directed, cartridge belts, canteens, first-aid packets, bayonets, magazine pouches, magazines, pistols, and pistol holsters, will not be worn. The uniform is the seasonal MARPAT uniform.

(1) Platoon commanders will wear the cartridge belt.

(2) Platoon sergeants will wear the cartridge belt.

(3) Guides will carry guidons during this inspection.

(4) The platoon sergeant, normally a SNCO designated by the activity being inspected, may be a former drill instructor. Individual noncommissioned officers (NCO) will be selected by the inspector who will designate the drill movements to be performed. All drill movements per MCO P5060.20 are subject to being prescribed. Gloves will not be worn during the drill portion of the inspection.

c. When designated, the color guard will be inspected per MCO P5060.20. Unless otherwise prescribed the seasonal MARPAT uniform will be the designated uniform.

d. Recorders (NCOs) will be designated by the activity being inspected to accompany inspectors during these events. Assigned NCOs will be equipped with a clipboard and sufficient paper to record the comments of the inspector regarding each Marine inspected. Each squad inspected will be recorded on a separate page. The original copy of the notes taken with the total number of Marines inspected will be presented to the inspector following the inspection.

e. Each Marine participating in the personnel inspection or drill will have their current identification card and set of identification tags in their possession at the time of the inspection.

4. Physical Fitness Test (PFT) and Combat Fitness Test (CFT). The PFT or CFT will be conducted per MCO 6100.13. A random selection of approximately 20% of personnel will be selected to participate in the PFT or CFT.

5. Body Composition Program (BCP). The unit's BCP will be evaluated per MCO 6110.3. Per MARADMIN 157-11, a random selection of approximately 50% of personnel will be selected to weigh-in. Personnel selected to participate in the PFT or CFT may be included in this selection percentage at the discretion of the CIG.

6. Special Instructions

a. Command Briefing. The activity being inspected conducts a command briefing for the CIP inspection team prior to the commencement of the scheduled inspection. This briefing should not exceed 15 minutes and should include mission, tasks, and functions; organization; command relationships; and an identification or comment on any significant problem areas. The date and time of this briefing, as well as the location and attendance requirements, will be coordinated with the CIG by the activity to be inspected.

b. Critique. The critique will be a series of individual debriefs by the functional area lead inspector and the CIG. Debriefs are scheduled as each functional area inspection is completed. Command representatives may attend the critique at the discretion of the CIG.

c. Honors. There are to be no honors of any kind rendered by any Marine Corps Base activity for any CIP inspection, or triennial IGMC inspection.

COMMAND INSPECTION REPORT FORMAT

(Letterhead)

5040
B051
(Date)

From: Command Inspector General
To: Commanding Officer (Activity Head), (Unit/Activity Inspected)

Subj: COMMAND INSPECTION REPORT

Ref: (a) MCO 5040.6H
(b) NAVMC DIR 5040.6H
(c) MCINCR-MCBQO 5040.3A

Encl: (1) Functional Areas Found Mission Capable Without Findings
(2) Functional Areas Found Mission Capable With Findings
(3) Functional Areas Found Non-Mission Capable
(4) Individual Functional Area Reports

1. In accordance with the references, the Command Inspection Program (CIP) Inspection was conducted at *(unit/activity inspected)* during the period of *(inclusive dates of inspection*). This report is provided to the Commanding Officer *(or activity head)*, *(unit/activity inspected)* as a follow-up to the informal out-brief provided on *(date of out-brief)*. This report serves to inform the commanding officer of the overall state of readiness for the command.

2. (Paragraph 2 narrative as appropriate).

3. Enclosures (1) thru (3) identify the specific functional areas that were reviewed during the inspection and the final evaluation (grade) recorded. Enclosure (4) contains all of the individual, narrative reports relating to the functional area checklists (FAC).

4. Per reference (c), you will submit a formal written report to this office outlining those actions taken to correct the findings noted during the inspections of the functional areas listed in enclosure (2) no later than (*specific date).* Furthermore, you should expect a re-inspection of those areas listed in enclosure (3). You are required to maintain this report on file for six (6) years.

5. Throughout the inspection process, the professionalism and courtesies extended by members of your staff was outstanding *(or other comments as appropriate)*.

6. Please contact this office in case of any questions or to offer

Enclosure (2)

suggestions for improving the preparation and/or conduct of the CIP inspection. The primary point of contact on this matter is *(list point of contact), (and phone number)*.

SIGNATURE BLOCK

CORRECTIVE ACTION PLAN FORMAT

(Letterhead)

5040
(Code)
(Date)

From: Commanding Officer, *(Unit/Activity Inspected)*
To: Command Inspector General

Subj: CORRECTIVE ACTION PLAN

Ref: (a) COMMAND INSPECTION REPORT dated *(date of inspection report)*
(b) MCINCR-MCBQO 5040.3A

Encl: (1) Individual Functional Area Corrective Action Plan(s)

1. In response to reference (a), enclosure (1) is submitted as required by reference (b).

2. (Include any amplifying remarks as necessary.)

3. The command (or activity) point of contact is (include rank/name, daytime telephone and email address of point of contact).

SIGNATURE BLOCK

INDIVIDUAL FUNCTIONAL AREA CORRECTIVE ACTION PLAN(S)

Functional Area #/Title: _____

Date Inspected: _____

Inspector: _____

Unit Point of Contact: _____

CORRECTIVE ACTION PLAN

Finding: *Finding from the command inspection report. Include all information from the report.*

Recommendation: *Repeat the recommended action from the command inspection report.*

Corrective Action Plan: *State the intended corrective action to be taken, the current status of the corrective action, and the anticipated date of completion.*

Commander's Remarks: *This section allows the Commander to comment on any specific recommendation to include alternate courses of action or any other applicable remarks.*

(NOTE: Repeat for each finding until all findings have been addressed. Start a new heading page for each functional area with findings.)

INDIVIDUAL FUNCTIONAL AREA CORRECTIVE ACTION PLAN(S)
(SAMPLE)

Functional Area #/Title: 5239 Information Systems Management

Date Inspected: 1 June 2016

Inspector: MSgt J. J. Johnson

Unit Point of Contact: GySgt I. T. Code

CORRECTIVE ACTION PLAN

Finding: 5239 0506 - Are proper disposal requirements for PII implemented for physical and electronic formats through procedures and internal access controls that ensure the proper disposal procedures are being followed?

Reference: NIST SP 800-88, par 2.1; DoD 5400.11-R; SECNAV 5211.5E; ECSD 011; MARADMIN 162/10

PII was discovered in multiple folders on the unit's shared drive. Each section's folders were not properly managed with need to know access only. This allowed all users to have access to all folders on the shared drive.

Recommendation: The Command should scan each folder on the share drive to ensure all PII has been properly destroyed. The Command will need to ensure all users with a need to know are only granted access to folders needed to complete their tasks.

Corrective Action Plan: All folders within the shared have been scanned for PII and documents have been appropriately destroyed. The access lists for each portion of the shared drive are under review and access is being restricted to each folder. Access will be limited to those individuals with a need to know to perform their official duties. Estimated completion 10 August 2016.

Commander's Remarks: Access procedures have been updated and corrective action is ongoing. Personnel shortages are a contributing factor impacting the speed of the access review.

*(NOTE: Repeat for each finding until all findings have been addressed. Start a new heading page for each **functional area** with findings.)*

STATUS OF FINDINGS REPORT FORMAT

(Letterhead)

5040
(Code)
(Date)

From: Commanding Officer, *(Unit/Activity Inspected)*
To: Command Inspector General

Subj: STATUS OF FINDINGS

Ref: (a) Your ltr 5040 B051 dated *(date of letter from CIG)*

Encl: (1) Status of Findings Report

1. Enclosure (1) is submitted in response to the status of the remaining open findings identified in reference (a).

2. *(Include any amplifying remarks as necessary.)*

3. The command *(or activity)* point of contact is *(include rank/name, daytime telephone and email address of point of contact)*.

SIGNATURE BLOCK

Enclosure (4)

STATUS OF FINDINGS REPORT

Functional Area #/Title: _____

Date Inspected: _____

Inspector: _____

Unit Point of Contact: _____

STATUS OF FINDINGS

Finding #: *Only list OPEN Findings from the command inspection report. Include all information from the report.*

Recommendation: *Repeat the recommended action from the command inspection report*.

Corrective Action Plan: *Repeat the corrective action plan provided in the corrective action plan report.*

Corrective Action Plan Progress: *State the progress of the corrective action since the last update. Update the anticipated date of completion if necessary.*

Commander's Remarks: *Comment on delays, resource issues, or other impediments that is impacting the corrective action.*

(NOTE: Repeat for each OPEN finding until all findings have been addressed. Start a new heading page for each functional area with findings.)

STATUS OF FINDINGS REPORT
(SAMPLE)

Functional Area #/Title: 5239 Information Systems Management

Date Inspected: 1 June 2016

Inspector: MSgt J. J. Johnson

Unit Point of Contact: GySgt I. T. Code

STATUS OF FINDINGS

Finding #: 5239 0506 - Are proper disposal requirements for PII implemented for physical and electronic formats through procedures and internal access controls that ensure the proper disposal procedures are being followed?

Reference: NIST SP 800-88, par 2.1; DoD 5400.11-R; SECNAV 5211.5E; ECSD 011; MARADMIN 162/10

PII was discovered in multiple folders on the unit’s shared drive. Each section’s folders were not properly managed with need to know access only. This allowed all users to have access to all folders on the shared drive.

Recommendation: The Command should scan each folder on the share drive to ensure all PII has been properly destroyed. The Command will need to ensure all users with a need to know are only granted access to folders needed to complete their tasks.

Corrective Action Plan: All folders within the shared have been scanned for PII and documents have been appropriately destroyed. The access lists for each portion of the shared drive are under review and access is being restricted to each folder. Access will be limited to those individuals with a need to know to perform their official duties. Estimated completion 10 August 2016.

Corrective Action Plan Progress: All access reviews are complete. Access is now limited to those individuals with a need to know to perform their official duties.

Commander's Remarks: Concur. Recommend closure.

(NOTE: Repeat for each OPEN finding until all findings have been addressed. Start a new heading page for each functional area with findings.)