SECNAV INSTRUCTION 5040.3B

From: Secretary of the Navy

Subj: INSPECTIONS WITHIN THE DEPARTMENT OF THE NAVY

Ref: (a) SECNAVINST 5450.4G
(b) U.S. Navy Regulations, 1990
(c) 10 U.S.C. §8014
(d) SECNAVINST 5430.57G
(e) OPNAVINST 5430.48E
(f) 10 U.S.C. §8020
(g) SECNAVINST 5740.25D
(h) SECNAVINST 5740.26B
(i) CNO Memo 5000 Ser N00/10011818 Dec 13
(j) COMUSFLTFORCOM/COMPACFLTINST 3000.16
(k) 10 U.S.C. §8674
(l) OPNAVINST 5420.70G
(m) SECNAVINST 7510.7G CH-1
(n) Council of the Inspectors General on Integrity and Efficiency, Quality Standards for Inspection and Evaluation, January 2012
(o) SECNAV M-5214.1

Encl: (1) Definitions
       (2) Responsibilities
       (3) Action

1. Purpose. To establish objectives, policies, and responsibilities for inspection of organizations and functions within the Department of the Navy (DON); assign responsibility for the direction, control, and oversight of the DON Inspection Program (DONIP) to the appropriate inspection authority.

2. Cancellation. SECNAVINST 5040.3A.

3. Applicability. This instruction applies to the Offices of the Secretary of the Navy (SECNAV), the Chief of Naval Operations (CNO), the Commandant of the Marine Corps (CMC), and all U.S. Navy (Navy), U.S. Marine Corps (USMC) installations, commands, activities, field offices, and all other
organizational entities within the DON, including those naval forces assigned to Combatant Commands. It also includes all inspections as defined in enclosure (1), conducted on or by any organizational entity within the DON.

4. Policy

a. The DONIP is inclusive of all inspections conducted within the DON. It is a coordinated program of inspection that focuses on unit readiness and capability to execute assigned missions, current and projected, for the purpose of informing senior naval leaders of the DON’s overall ability to accomplish its mission. Inspections falling within the DONIP are subject to the general supervision, guidance, and coordination of the Naval Inspector General (NAVIG). All inspections conducted within the DON are subject to review by the Office of the Naval Inspector General (NAVINSGEN) for adherence to the objectives and policies contained in this instruction.

b. Inspection Objectives:

(1) Assess the operational and materiel readiness, effectiveness, and efficiency of Navy and USMC commands and units.

(2) Assist commanders in improving the performance, readiness, efficiency, effectiveness, and quality of life of the commands, units, and activities for which they are responsible. Inspections are to provide commanders mission-relevant evaluations and recommendations that are timely, accurate, candid, and objective.

(3) Help Sailors, Marines, and DON civilians improve the performance, readiness, efficiency, and effectiveness of their organizations, while constantly improving individual quality of life through evaluation, training, assistance, and mentoring.

(4) Recognize, commend, and disseminate best practices as widely as possible throughout the DON.

c. Inspections will be:
(1) Planned, coordinated, and conducted to ensure commands are properly organized, trained, equipped, and supported to achieve their required capabilities and execute their assigned missions. Inspections include a broad range of activities designed to evaluate mission readiness, performance, and quality of life; and identify systemic problems and compliance with applicable directives.

(2) Process-focused, using defined steps and established standards and criteria to objectively assess the specific missions, functions, and tasks being evaluated. No-notice or short-notice inspections may be employed whenever necessary. Preparations that are costly in time and effort, or thwart evaluation of actual readiness conditions, must be eliminated.

d. Commanders will actively and visibly participate in the Outside Authority (OA) inspections and self-assessments of their units. Commanders will provide self-assessment results to their Immediate Superior in Command (ISIC) and OA inspection authorities in advance of OA inspections. ISICs and OAs will evaluate the inspected command’s ability to self-assess as part of their inspections. On-site OA inspections must be as brief and minimally intrusive as possible.

e. Inspection results must be evaluated regularly to identify trends and problem areas affecting multiple commands, activities, or offices.

f. Inspection authorities will consolidate inspections whenever possible to avoid redundancy and reduce the impact of the inspection process to inspected commands.

5. Background

a. The DON will recruit, train, equip, and organize to deliver combat-ready naval forces to win conflicts and wars while maintaining security and deterrence through sustained forward presence.

b. Inspection is an inherent function of command, exercised at every level of command under references (a) and (b). Inspections are performed by authorities outside the inspected unit (OA Inspections) and by personnel within it (self-assessments). OAs use inspections to evaluate readiness, capability, and performance. Inspections may focus on
compliance with established standards or upon process improvement. Commanders, Commanding Officers (COs), Officers-In-Charge, and activity heads (collectively referred to as Commanders) must perform self-assessments to promote responsibility and accountability within the unit.

c. NAVINSGEN’s mission is defined in references (c) through (h). Specific functions include establishing objectives for and monitoring inspection programs afloat and ashore and coordinating efforts to eliminate duplicate and unnecessary inspections. Pursuant to references (c) and (d), the Deputy Naval Inspector General/Inspector General of the Marine Corps (DNIG/IGMC) performs inspector general functions for the USMC and CMC on behalf of the NAVIG.

d. Commander, U.S. Fleet Forces Command (COMUSFLTFORCOM) is the executive agent for fleet assessment, pursuant to references (i) and (j). Specific functions include overseeing recommended changes to doctrine, assessment criteria, and periodicity for all Inspection, Certification, Assessment, and Visit (ICAV) events that impact fleet units, specifically aircraft carriers, surface ships, and submarines.

e. The mission of the President of the Board of Inspection and Survey (PRESINSURV) is defined in references (e), (k), and (l). Specific functions include inspecting vessels periodically to determine their fitness for further service; identifying performance capabilities and materiel conditions that limit mission capability; compiling statistical information on maintenance deficiencies; and providing the SECNAV, CNO, and other higher authorities such information as they may require.

f. The DON Internal Audit Program, conducted by the Naval Audit Service (NAVAUDSVC) under the direction of the Auditor General (AUDGEN) of the Navy, is described in reference (m). NAVAUDSVC conducts internal audits to determine levels of program performance; the extent to which resources are used efficiently and effectively; the achievement of organizational or program objectives; and the extent of adherence to established policies, procedures, laws, and regulations.

g. The Council of the Inspectors General on Integrity and Efficiency published reference (n). Inspection authorities will familiarize themselves with this document and adhere to the
prescribed standards during the planning, execution, and reporting of inspections conducted as part of the DONIP.

6. **Responsibilities.** Responsibility for implementing the policy established in this instruction appears in enclosure (2).

7. **Action.** Action for implementing the policy established in this instruction appears in enclosure (3).

8. **Records Management**

   a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned according to the records disposition schedules found on the Directives and Records Management Division (DRMD) portal page: [https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/SitePages/Home.aspx](https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/SitePages/Home.aspx).

   b. For questions concerning the management of records related to this instruction or the records disposition schedules, please contact your local Records Manager or the DRMD program office.

9. **Reports.** The reporting requirements contained in enclosure (3), paragraph 4, is exempt from information collection control, per reference (o), Part IV, paragraph 7k.

   THOMAS B. MODLY  
   Under Secretary of the Navy

Distribution:  
Electronic only, via Department of the Navy Issuances website [https://www.secnav.navy.mil/doni/](https://www.secnav.navy.mil/doni/).
DEFINITIONS

1. Inspection

   a. An inspection is a process that evaluates, reviews, studies, and/or analyzes programs and activities or organizations for the purposes of evaluating compliance with governing directives, identifying risks to mission, evaluating effectiveness, and providing information for decision-making.

   b. Inspection results may also identify where action may be necessary, and make recommendations for improvements to programs, policies, or procedures.

2. For the purposes of this instruction, inspections include assessments, certifications, special visits, evaluations, technical inspections, special one-time inspections, and inspections required by law or for the exercise of command responsibilities. Inspections conducted by “Technical Commanders” (e.g., Chief, Bureau of Medicine and Surgery, commanders, Naval Systems Commands, Judge Advocate General) to obtain specific information or assistance also meet the definition of an inspection as prescribed above.
RESPONSIBILITIES

1. NAVIG has general and overall responsibility within the DON for ensuring that inspections accomplish the objectives and comply with the policies contained in this instruction. NAVIG is responsible for developing objectives, policy, and guidance for the Navy portion of the DONIP and maintaining oversight of that program. DNIG/IGMC is responsible for that portion of the DONIP applicable to the Marine Corps.

2. PRESINSURV is responsible, pursuant to references (e), (k), and (l), for: developing policy and procedures for trials of ships and service craft; conducting materiel inspections and surveys of ships and service craft; and conducting vessel inspections that accomplish the objectives and implement the policies contained in this instruction.

3. AUDGEN is responsible for planning, coordinating, and performing audits pursuant to reference (m).

4. COMUSFLTFORCOM is responsible, pursuant to references (i) and (j), for oversight and management of all ICAV affecting fleet units. Additionally, COMUSFLTFORCOM will establish and serve as the head of the senior advisory group to the CNO on ICAV matters.

5. All other inspection authorities within the DON are responsible for implementing the objectives and policies contained in this instruction for the inspections in their areas of responsibility.
ACTION

1. NAVIG and DNIG/IGMC will issue such instructions as they deem appropriate to implement the DONIP within their areas of responsibility.

2. NAVIG will:
   a. Implement the provisions of this instruction; conduct inspection functions assigned in references (c) through (f); and conduct such other inspections as the SECNAV or CNO direct.
   b. In consultation with the AUDGEN, coordinate the DONIP so as to make efficient and effective use of NAVAUDSVC resources and capabilities, eliminate duplication of effort, and minimize disruption within the inspected organizations.
   c. Ensure procedures are established to immediately refer criminal, fraud, and counterintelligence matters identified during inspection to Naval Criminal Investigative Service.

3. DNIG/IGMC will implement the provisions of this instruction as applicable to the Marine Corps; conduct, or direct the conduct of, Marine Corps inspections; carry out other inspections and functions applicable to the Marine Corps assigned in references (d) and (f) on behalf of NAVIG; and, conduct such other inspections as SECNAV, CMC, or NAVIG may direct.

4. PRESINSURV will implement the provisions of this instruction as applicable to the Board of Inspection and Survey; conduct, or direct the conduct of, inspections of naval vessels and other inspection functions for vessels assigned in references (d), (f), and (i); conduct such other inspections as SECNAV or CNO may direct; and, furnish SECNAV, CNO, and NAVINSGEN reports required by reference (f), and such other information concerning the performance, operational and materiel readiness, efficiency, and effectiveness of vessels as they may request, or that PRESINSURV deems appropriate to inform them of the conditions and materiel readiness of naval vessels.

5. AUDGEN will:
a. Coordinate with NAVINSGEN to avoid duplicative effort to the maximum extent possible.

b. Provide subject matter experts to other inspecting organizations when requested, to the maximum extent practicable.

6. **COMUSFLTFORCOM** will implement paragraph 4 of enclosure (2); and conduct such other inspections as SECNAV or CNO may direct. **COMUSFLTFORCOM** will:

   a. Oversee recommended changes to doctrine, assessment criteria, and periodicity for all ICAV events that affect fleet units.

   b. Develop and promulgate policy, guidance, and processes for combining, eliminating, and adding fleet ICAV events.

7. Navy Echelon 1 activities, Echelon 2 commanders, and their Marine Corps equivalents will:

   a. Develop and implement inspection programs under the DONIP in accordance with this instruction and such additional guidance as NAVIG, DNIG/IGMC, or PREINSURV may issue.

   b. As requested by NAVIG, provide:

      (1) Schedules of upcoming Fiscal Year Echelon 2 inspections such that NAVINSGEN and other activities can leverage upcoming inspections to reduce duplicative efforts.

      (2) Summaries of OA inspections for analysis to determine where efficiencies can be made by utilizing existing inspection results or identifying duplicative inspection processes, and identifying broad trends affecting the fleet.

   c. Provide civilian and military personnel with technical or administrative expertise to assist with inspections as requested by the Offices of the CNO (OPNAV) and CMC (HQMC), NAVINSGEN, DNIG/IGMC, PRESINSURV, COMUSFLTFORCOM, or Commander, U.S. Pacific Fleet (COMPACFLT).

8. Commanders, COs, and Activity Heads, will:

   a. Comply with the provisions of the DONIP.
b. Conduct regular self-assessments.

c. Provide self-assessment results to OA inspection authorities in advance of related OA inspections.

d. Notify NAVINSGEN of any activity or office outside the DON conducting or intending on conducting any inspection or audit of the Command, Office, or Activity.

e. Provide civilian and military personnel with technical or administrative expertise to assist with inspections as requested by CNO, CMC, NAVINSGEN, DNIG/IGMC, PRESINSURV, COMUSFLTFORCOM, or COMPACFLT.

f. Actively and visibly participate in the OA inspections and self-assessments of their units and provide self-assessment results to the OA inspection authorities in advance of OA inspections.

9. Inspection authorities will:

a. Comply with the provisions of the DONIP and this instruction.

b. Conduct on-site OA inspections in a manner that minimizes the time required on site and reduces the impact on the inspected command.

c. Consolidate inspections whenever possible to avoid redundancy and reduce the impact on the inspected command.

d. Evaluate the inspected command’s ability to self-assess as part of their inspections.

e. Regularly evaluate inspection results to identify trends and problem areas affecting multiple commands, activities, or offices.