



DEPARTMENT OF THE NAVY  
OFFICE OF THE SECRETARY  
1000 NAVY PENTAGON  
WASHINGTON, D.C. 20350-1000

SECNAVINST 5040.3A  
NAVINGEN  
13 July 2000

SECNAV INSTRUCTION 5040.3A

From: Secretary of the Navy  
To: All Ships and Stations

Subj: INSPECTIONS WITHIN THE DEPARTMENT OF THE NAVY

Ref: (a) SECNAVINST 5400.14A  
(b) U.S. Navy Regulations, 1990  
(c) SECNAVINST 5430.57F  
(d) OPNAVINST 5430.48D  
(e) 10 U.S.C. §5020  
(f) 10 U.S.C. §7304  
(g) OPNAVINST 5420.70E  
(h) SECNAVINST 7510.7E  
(i) OPNAVINST 3500.39  
(j) SECNAVINST 5740.26A  
(k) SECNAVINST 5740.25C

1. Purpose. To publish objectives and policies for inspection of organizations and functions within the Department of the Navy (DON) conducted by any inspection authority; to assign responsibility for the direction, conduct and oversight of the DON Inspection Program (DONIP). This is a complete revision and should be read in its entirety.

2. Cancellation. SECNAVINST 5040.3.

3. Applicability. This instruction applies to all inspections, as defined in paragraph 4, conducted on or by any organization within the DON including Echelon 1 activities; the operating forces of the Navy and the Marine Corps; afloat and shore-based commands, units, and activities, including those naval forces assigned to Combatant Commands.

4. Definitions

a. An inspection is any effort to evaluate an organization or function by any means or method, including audits. Inspections include special visits, technical inspections, special one-time inspections, inspections required by law or for the exercise of command responsibilities, and inspections conducted by "technical commanders" (e.g., Chief, Bureau of

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Medicine and Surgery, Commanders, Naval Systems Commands, Judge Advocate General, etc.) in order to provide or obtain technical information or assistance. Inspections are performed by authorities outside the inspected unit (Outside Authority (OA) Inspections) and by personnel within it (self-assessments). All inspections conducted within the DON are subject to review by the Naval Inspector General (NAVINSGEN) for adherence to the objectives and policies contained in this instruction.

b. The DONIP 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 DON's overall ability to accomplish its mission. Inspections falling within the DONIP are subject to the general supervision, guidance and coordination of NAVINSGEN.

## 5. Background

a. The DON mission is to organize, equip, train, maintain and operate combat-ready naval forces capable of implementing national defense policy by deterring aggression, preserving freedom of the seas and, when required, fighting and winning wars through the projection of naval power and influence in blue water, the littorals, and inward from the sea. When naval forces operate with Combatant Commands, interoperability is fundamental to accomplishment of the DON mission.

b. Inspection is an inherent function of command exercised at every level under references (a) and (b). Leaders use formal and informal inspections to evaluate readiness, capability and performance. Inspections may focus on compliance with established standards or upon process-improvement. OA Inspections are necessary and useful to verify objectively and independently mission capability and performance. Self-assessments promote responsibility and accountability within the unit and are the preferred form of inspection.

c. The NAVINSGEN mission is defined in references (c), (d), and (e). Specific functions include coordinating, monitoring and establishing objectives for inspection programs afloat and ashore through appropriate commanders; coordinating efforts to eliminate duplication and unnecessary inspections imposed on commands or units. Under reference (c), the Deputy Naval Inspector General for Marine Corps Matters/Inspector General of the Marine Corps (DNIGMC/IGMC) performs Inspector General functions for the Marine Corps and the Commandant of the Marine Corps (CMC).

d. The mission of the President of the Board of Inspection and Survey (PRESINSURV) is defined in references (d), (f) and

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(g). 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; providing the Chief of Naval Operations (CNO) and other higher authorities such information as they may require.

e. The DON internal audit program, conducted by the Naval Audit Service (NAVAUDSVC) under the direction of the Auditor General of the Navy (AUDGEN), is described in reference (h). 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; the extent of adherence to established policies, procedures, laws and regulations.

## 6. Inspection Objectives

a. To ensure the operational and materiel readiness, effectiveness and efficiency of Navy and Marine Corps commands and units.

b. To assist commanders and commanding officers 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 and commanding officers mission-relevant evaluations and recommendations that are timely, accurate, candid and objective.

c. To 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.

d. To recognize, commend, and disseminate good practices, spreading ideas that work as widely as possible throughout DON.

## 7. Policy for the Conduct of Inspections

a. Inspections are 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.

b. Process-focused inspections are used wherever feasible to develop leadership, strengthen the capability of units to assess

the risk or cost of mission failure otherwise would be unacceptably high or when necessary to ensure compliance with law, rule or regulation.

c. Unit commanders and commanding officers actively and visibly participate in the OA Inspections and self-assessments of their units. They provide self-assessment results to OA Inspection authorities to use in evaluating the status of the command and the effectiveness of the self-assessment. When required, on-site OA Inspections are as brief and minimally intrusive as possible. To the maximum extent practicable, they are limited to ascertaining effectiveness of the self-assessment or the particular condition of the command (e.g., equipment, achievement of technical standards, level of training, quality of life and use of measures of effectiveness).

d. Inspection authorities use risk management concepts and techniques, per reference (i), to determine whether a proposed inspection or program of inspection advances the objectives of this instruction and the DON and, if so, what must be evaluated, to what degree, by what means, and how often. No-notice or short-notice operational readiness inspections are employed whenever practicable. Tedious preparations that are costly in time and effort, or thwart accurate evaluation of actual readiness conditions, are eliminated.

e. Consolidate inspections to avoid redundancy. Eliminate inspections that are not mission-relevant; whose benefits do not outweigh their costs, per reference (i); which detract from mission performance or readiness; which waste time or stifle initiative.

## 8. Responsibility

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

b. PRESINSURV is responsible, per references (d), (f) and (g), for developing policy and procedures for trials of ships, service craft and aircraft; for materiel inspections and surveys of ships and service craft; and for conducting vessel and aircraft inspections that accomplish the objectives and implement the policies contained in this instruction.

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aircraft inspections that accomplish the objectives and implement the policies contained in this instruction.

c. NAVAUDGEN is responsible for planning, coordinating and performing audits, per reference (h), so as to implement the objectives and policies contained in this instruction.

d. 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.

#### 9. Action

a. CNO (N09G) and CMC (DNIGMC/IGMC) shall issue such instructions as they deem appropriate to implement the DONIP within their areas of responsibility.

b. NAVINSGEN shall:

(1) Implement paragraph 8a; conduct, or direct the conduct of, major command inspections and area visits (inspections that cut across command lines or functional areas in geographic regions); carry out other inspection functions assigned in references (c), (d), and (e); conduct such other inspections as the Secretary of the Navy (SECNAV) or CNO may request;

(2) 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 inspected organizations;

(3) Per references (j) and (k), and in coordination with the AUDGEN, act as the Senior DON Point of Contact for all evaluations (including audits and inquiries) conducted by outside entities (Inspector General, Department of Defense (DODIG), General Accounting Office (GAO) and others); coordinate, to the maximum extent practicable, the activities of those organizations among themselves and with DON organizations so as to allow the development of timely, accurate, and useful information with the least disruption.

c. DNIGMC/IGMC shall implement paragraph 8a within the Marine Corps; conduct, or direct the conduct of, Marine Corps inspections; carry out other inspection functions applicable to the Marine Corps assigned in references (c) and (e) on behalf of NAVINSGEN; conduct such other inspections as SECNAV, CMC, or NAVINSGEN may direct.

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d. PRESINSURV shall implement paragraph 8b; conduct or direct the conduct of inspections of naval vessels and other inspection functions for vessels assigned in references (d), (f) and (g); conduct such other inspections as SECNAV or CNO may direct; 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 material readiness of naval vessels.

e. AUDGEN shall:

(1) Implement paragraph 8(c); assist NAVINSGEN in the coordination of internal and external audits (by DoDIG, GAO and other entities) and similar evaluations within the NAVAUDSVC area of expertise so as to provide timely, accurate, and meaningful information with the least disruption to the operations of DON organizations;

(2) Consistent with reference (h), assist commanders and commanding officers to meet the objectives of this instruction; provide subject matter experts to other inspecting organizations when requested, to the maximum extent practicable.

f. Navy Echelon 1 activities, Echelon 2 commanders, and their Marine Corps equivalents shall:

(1) Develop and implement inspection programs under the DONIP per this instruction and such additional guidance as NAVINSGEN, DNIGMC/MC or PRESINSURV may issue;

(2) 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, DNIGMC/IGMC, PRESINSURV, Commander in Chief, U.S. Atlantic Fleet (CINCLANTFLT), or Commander in Chief, U.S. Pacific Fleet (CINCPACFLT). The requesting organization shall bear the travel and per diem costs of such personnel, with the exception of NAVINSGEN, where the providing organization shall bear costs per reference (c).

g. Commands, Offices and Activities, shall:

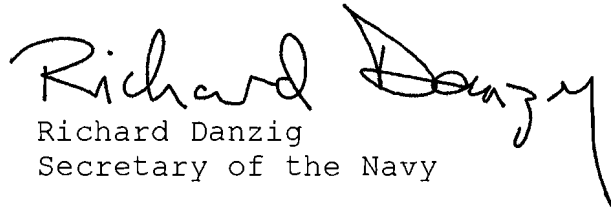
(1) Comply with provisions of the DONIP. Where both administrative and operational commanders are involved, the inspection responsibility ordinarily is that of the

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administrative Immediate Unit Commander (IUC) or Immediate Superior in Command (ISIC);

(2) Provide civilian and military personnel with technical or administrative expertise to assist with inspections as requested by CNO, CMC, NAVINSGEN, DNIGMC/IGMC, PRESINSURV, CINCLANTFLT or CINCPACFLT. The requesting organization shall bear the travel and per diem costs of such personnel, with the exception of NAVINSGEN, where the providing organization shall bear costs per reference (c).

h. All other inspection authorities within the DON shall implement paragraph 8d.

  
Richard Danzig  
Secretary of the Navy

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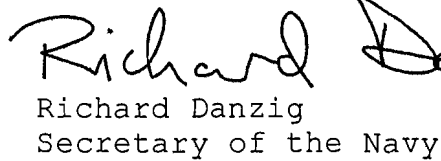
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