

SPAWARINST 5040.3A  
SPAWAR 00G  
9 Oct 02

SPAWAR INSTRUCTION 5040.3A

From: Commander, Space and Naval Warfare Systems Command

Subj: COMMAND INSPECTION PROGRAM

Ref: (a) SECNAVINST 5040.3A

1. Purpose. To implement the Naval Command Inspection Program as prescribed in reference (a), and to update implementing procedures for Space and Naval Warfare Systems Command Headquarters (SPAWAR HQ) Inspections.

2. Cancellation. SPAWARINST 5040.3.

3. Background. Reference (a) established the objectives of, assigned responsibility for, and prescribed procedures for conducting and reporting on the Command Inspection Program. This instruction further details the Command Inspection Program for SPAWAR and its Echelon 3 Commands and Activities.

4. Objectives. The objectives of a Command Inspection are to:

a. Evaluate the effectiveness of a command in the performance of assigned mission, functions and tasks.

b. Evaluate resource management and its effect on the command's operational and material readiness.

c. Recommend actions to correct deficiencies and improve efficiency and economy of operations.

5. General Policies

a. SPAWAR HQ will schedule Command Inspections as necessary to ensure the objectives of the Command Inspection Program are met and will promulgate annual inspection schedules.

b. Prior to their scheduled Command Inspection, Echelon 3 Commands and Activities will conduct self-assessments of all major functions and organizations in accordance with reference (a).

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c. Echelon 3 Commands and Activities' subordinate activities will be inspected by their parent command or activity prior to its inspection by SPAWAR HQ. Echelon 3 Commands and Activities will include a self-assessment by the subordinate activities in their inspection of their subordinate activities. Reports will be forwarded to the SPAWAR HQ Inspector General (SPAWAR 00G).

6. Inspection Team Composition

a. Chief Inspector. SPAWAR 00G will act as the SPAWAR HQ Chief Inspector unless otherwise directed.

b. Team Members. SPAWAR 00G will request team members with appropriate knowledge and expertise from within the SPAWAR HQ Staff Offices and Program Directorates. Personnel assistance from outside of SPAWAR will be requested if a satisfactory experienced team member is unavailable from within SPAWAR HQ.

7. Procedures. Procedures for conducting Command Inspections of Echelon 3 Commands and Activities are prescribed below:

a. Announcement Letter. Approximately 6 months before a scheduled Command Inspection, the Echelon 3 Command or Activity to be inspected shall be so advised.

b. Self-Assessment. Approximately 45 days before a scheduled Command Inspection the Echelon 3 Command or Activity to be inspected shall provide its self-assessment to SPAWAR 00G.

c. Headquarters Briefings. Approximately 45 days prior to a Command Inspection, SPAWAR 00G will advise Heads of Directorates, PMWs and Staff Offices of the name of the Echelon 3 Command or Activity to be inspected and request information concerning projects/problems into which inquiry should be made prior to the start of the inspection. Specific offices may also be requested to brief the inspection team in related areas of responsibility.

d. Team Composition Letter and Logistical Support. Approximately 30 days before a scheduled inspection, SPAWAR 00G shall advise the Echelon 3 Command or Activity to be inspected the name and security clearance of inspectors, assigned areas of inspection and other pertinent

administrative information. Shortly thereafter, the Echelon 3 Command or Activity needs to designate: an office/conference room for use by the inspection team and a point of contact for administrative/clerical assistance and activity counterparts for team members.

e. Arrival Conference. An arrival conference will be held on the first day of the inspection, attended by the inspection team members and key personnel of the Echelon 3 Command or Activity. The agenda for this meeting will include, as a minimum, the following:

(1) Activity. A review by the Commander/Commanding Officer/Director of the mission, functions, organization, concept of operations, local host-tenant agreements, facilities, workload, funding, personnel situation, and any problem areas along with recommended solutions.

(2) Inspection Team. The Chief Inspector shall: review the objectives of the Command Inspection, discuss inspection operating procedures and the Command or Activity's self-assessment, and introduce the team members.

f. Tour of Activity. The Commander/Commanding Officer/Director shall arrange a tour of activity spaces for the Chief Inspector and team members.

g. Chief Inspector/Deputy Chief Inspector Interviews. The Chief or Deputy Chief Inspector will be available to meet personally with members of the activity who may desire to discuss any matter of interest. Command/Activity permission is not required nor will any record be kept or questions asked of those who meet with the Chief or Deputy Inspector.

h. Focus Groups. Randomly selected focus groups covering a cross-section of military and civilian personnel will be held to assess command climate and quality of life.

i. Departure Conference. At the conclusion of the inspection, a departure conference will be held for the purpose of summarizing inspection findings and clarifying questionable areas. A preliminary report of major findings will be provided to the Commander/Commanding Officer/Director prior to the start of the departure conference.

j. Reports

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(1) "Quick Look" Report. A "Quick Look" report will be provided to the inspected Command or Activity within 15 days after the completion of the inspection. This report will contain a preliminary assessment of the inspected Command or Activity.

(2) Draft Inspection Report. The draft report of inspection shall be prepared within 60 days after the return of the Chief Inspector to Headquarters. The report will rate a command's overall performance as either "Satisfactory" (SAT) or "Unsatisfactory" (UNSAT). The report may contain Findings of deficiencies with corresponding Recommendations, and Meritorious Findings; all of which will be supported by factual data and concurrence/nonconcurrence obtained from the inspection team member's activity counterpart. The Chief Inspector shall submit the report of inspection to the inspected command. The inspected command will endorse the report within 15 working days after its receipt. All recommendations should be commented on and should indicate CONCUR, DO NOT CONCUR, or PARTIALLY CONCUR, with amplifying remarks and suggested changes as considered appropriate. Recommendations concurred in should be regarded as if they were FINAL DIRECTED ACTION and implementing action started immediately.

(3) Final Directed Action Report. After a review of the draft report and the inspected command or activity's comments, the Commander, SPAWAR will promulgate the final report in a Final Directed Action letter.

8. Follow-up Action. Implementing status reports on assigned actions shall be submitted quarterly to SPAWAR 00G until action is completed. OPNAV Form 5040/2 (11-68) will be used for this purpose.

9. Action

a. SPAWAR 00G will:

(1) Control the conduct of the inspection, select and designate team members, and request personnel assistance from outside of SPAWAR as may be required.

(2) Review the Command or Activity self-assessment prior to the scheduled inspection to aid in the determination of the scope of the inspection.

(3) Investigate and report on items of special interest to Commander, SPAWAR and to higher authority.

(4) Coordinate formal inspection and evaluation programs to eliminate overlap and redundancy in inspections.

(5) Conduct follow-up. Track systemic problems reported by Echelon 3 Commands and Activities to ensure appropriate action are taken.

(6) Annually prepare and promulgate SPAWARNOTE 5040, Command Inspection Schedule.

(7) Report findings to higher authority, e.g., the Naval Inspector General, as required.

b. SPAWAR HQ Staff Offices, Program Directorates, and Echelon 3 Commands and Activities will:

(1) Provide augmenting Command Inspection team members upon request.

(2) Recommend alternate members if requested individuals are unavailable.

c. Echelon 3 Commands and Activities. Inspected Commands and Activities shall cooperate fully with the Chief Inspector and the inspection team members and will:

(1) Furnish self-assessments, and other requested management and operating information to SPAWAR 00G.

(2) Provide manpower assistance upon request.

(3) Provide administrative, clerical and logistical support during the conduct of the inspection upon request.

(4) Establish a follow-up system as part of their inspection program to ensure responsible personnel carry out approved recommendations.

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(5) Submit implementation status on recommendations to SPAWAR 00G quarterly in the format of the Implementation Status Report, OPNAV 5040/2 (11-68).

(6) Provide SPAWAR HQ with copies of command inspection reports of their immediate subordinate activities.

/s/

K. D. SLAGHT

Distribution:  
SPAWAR List 4

SNDL Part II:  
FKA1B1 (SPAWAR SYSTEMS CENTER, FACILITY AND ACTIVITY)