**Inspectors General Checklist**

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| **5510.3 INFORMATION AND PERSONNEL SECURITY PROGRAM (IPSP)** |
| This checklist applies to all Commands. |
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| **Functional Area Sponsor**: SD, PP&O | ***Name of Command*** |
| **Subject Matter Expert**: Mr. W. T. Potts Jr.  | ***Date*** |
| (DSN) 225-7162 (COML) 703-695-7162 | ***Inspector*** |
| **Revised**: 23 February 2016 | ***Final Assessment*****Discrepancies:  *Findings:***  |
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| Subsection 1 – ADMINISTRATION |
| 0101 | Does the command hold the current editions of DODM 5200.01, Volumes 1-4, SECNAV M-5510.36, SECNAV M-5510.30 and MCO P5510.18A?Reference: SECNAV M-5510.36, Exhibit 2C |
| Result | Comments |
| 0102 | Has the Commanding Officer issued a command security instruction?Reference: DODM 5200.01, vol 1, encl 2, par 9(d); SECNAV M-5510.36, par 2-1(5)(a); SECNAV M-5510.30, par 2-2(2)(f) |
| Result | Comments |
| 0103 | Has the Commanding Officer designated, in writing, a command Security Manager?Reference: DODM 5200.01, vol 1, encl 2 & 3; SECNAV M-5510.36, par 2-2(1); SECNAV M-5510.30, par 2-2(2)(a) |
| Result | Comments |
| 0104 | Is the Command Security Manager a member of the commander’s Special Staff?Reference: MCWP 3-40.1; CMC White Letter 1-11 |
| Result | Comments |
| 0105 | Is the Command Security Manager a US Citizen and been the subject of a Favorably adjudicated Single Scope Background Investigation (SSBI) completed within the previous 5 years?Reference: SECNAV M-5510.30, par 2-3(3) |
| Result | Comments |
| 0106 | Is the Command Security Manager named and identified to command personnel on command organizational charts, telephone listings, rosters, or other media?Reference: SECNAV M-5510.36, par 2-2(3); SECNAV M-5510.30, par 2-3(4) |
| Result | Comments |
| 0107 | Does the Command Security Manager have access to the Commanding Officer in order to serve as the principal advisor in matters pertaining to the Command’s Security Program?Reference: DODM 5200.01, vol 1, encl. 2 & 3; SECNAV M-5510.36, par 2-2(1)(a), 2-2(3); SECNAV M-5510.30, par 2-3(2) |
| Result | Comments |
| 0108 | If applicable, has the Commanding Officer designated, in writing, additional security responsibilities as appropriate for the command? These may include:Top Secret Control OfficerNATO Control OfficerContracting Officer’s Representative for Security Security OfficerReference: DODM 5200.01, vol 1, encl 2 & 3; SECNAV M-5510.36, par 2-3, 2-4, and 2-5; SECNAV M-5510.30, par 2-5, 2-6 and 2-7 |
| Result | Comments |
| 0109 | Has the Commanding Officer established and maintained a self-inspection program for the command. This may include self-inspections, program reviews, and assist visits to evaluate the security posture of the command?Reference: DODM 5200.01, vol 1, encl 2 & 3; SECNAV M-5510.36, par 2-1(5)(c); SECNAV M-5510.30, par 2-2(2)(j) |
| Result | Comments |
| 0110 | Has the Commanding Officer scheduled annual evaluations of the security posture of their subordinate commands?Reference: DODM 5200.01, vol 1, encl. 2 & 3; SECNAV M-5510.36, par 2-11; SECNAV M-5510.30, par 2-10 |
| Result | Comments |
| 0111 | Has the Commanding Officer ensured that the Command Security Manager and other security personnel receive appropriate security education and training?Reference: DODM 5200.01, vol 1, encl 2 & 3; SECNAV M-5510.36, par 2-1(5)(f); SECNAV M-5510.30, Par 2-2(2)(H) and Par 2-3(5) |
| Result | Comments |
| 0112 | Has the Command Security Manager formulated, coordinated, and conducted a command security education program? This includes the following briefs: OCA Training Derivative Classifier Training Indoctrination Annual Refresher Orientation Counterintelligence/Insider Threat On-the-Job Training Command Debriefing Reference: DODM 5200.01, vol 1, encl 2 & 3; vol 3, encl 5; SECNAV M-5510.36, chap 3; SECNAV M-5510.30, par 4-4 thru 4-11; SECNAVINST 5510.37, par 5(a)(1), par 6(a) |
| Result | Comments |
| 0113 | Has the Command Security Manager ensured threats to security, and other Security violations are reported, recorded, and investigated, when necessary?Reference: DODM 5200.01, vol 1, encl 2 & 3; SECNAV M-5510.36, par 2-2, (1)(e), chap 12; SECNAV M-5510.30, chap 3 |
| Result | Comments |
| 0114 | Are Security Servicing Agreements (SSA) in place for all organizations not in your command to which security services are provided?Reference: SECNAV M-5510.36, par 2-10; SECNAV M-5510.30, par 2-11 |
| Result | Comments |
| Subsection 2 – ADMINISTRATION |
| 0201 | Are various types of Controlled Unclassified Information (CUI), to include; Foreign Government Information (FGI), NATO, NNPI, CUI, etc. properly created, stored, distributed and destroyed when no longer needed?Reference: DODM 5200.01, vol 4 |
| Result | Comments |
| 0202 | Is classified information created within the command, including information residing on classified networks, appropriately marked? (10% review of holdings)# docs reviewed \_\_\_\_\_\_\_\_ # docs improperly marked \_\_\_\_\_\_\_\_Reference: DODM 5200.01, vol 2 |
| Result | Comments |
| 0203 | Has the Commanding Officer approved an Emergency Plan for the protection and destruction of classified information?Reference: DODM 5200.01, vol 1, encl 2; vol 3, encl 2; SECNAV M-5510.36, par 2-1(5)(b); SECNAV M-5510.30, par 2-2(2)(i) and 2-13 |
| Result | Comments |
| 0204 | If applicable, has the Command Security Manager liaised with the servicing Public Affairs Officer to ensure that proposed press releases and information intended for the public are subjected to a security review? Reference: DODM 5200.01, vol 1, encl 2; SECNAV M-5510.36, par 2-2(1)(h) |
| Result | Comments |
| 0205 | Has the Command Security Manager implemented regulations concerning the disclosure of classified information to foreign nationals? Reference: SECNAV M-5510.36, par 8-1 |
| Result | Comments |
| 0206 | Has the Command Security Manager coordinated the preparation of Security Classification Guides if the commander has been designated an Original Classification Authority (OCA)?Reference: DODM 5200.01, vol 1, encl 4, 5, & 6; SECNAV M-5510.36, par 2-2(1)(g), chap 5 |
| Result | Comments |
| 0207 | If the command is an OCA, are there established procedures to:- Review Security Classification Guides every 5 years or as  changes occur?- Report classification changes to cognizant holders of classified information?Reference: DODM 5200.01, vol 1, encl 6; SECNAV M5510.36, par 4-25 and 5-4 |
| Result | Comments |
| 0208 | Has the OCA been trained, if applicable?Reference: DODM 5200.01, vol 1, encl 4; SECNAV M-5510.36, par 4-6 |
| Result | Comments |
| 0209 | Has the individual specifically designated to “Act” in the OCAs absence also been trained and forwarded a letter of such training to DUSN (P) Security, via HQMC (PS)?Reference: DODM 5200.01, vol 1, encl 4; SECNAV M5510.36, par 4-6 |
| Result | Comments |
| 0210 | Has the Commanding Officer implemented procedures for the control of Top Secret information, including working papers? Reference: DODM 5200.01, vol 3, encl 3; SECNAV M-5510.36, par 7-3 and 7-7 |
| Result | Comments |
| 0211 | Has the Commanding Officer established administrative procedures for the control of Secret and Confidential information, including working papers?Reference: DODM 5200.01, vol 3, encl 3; SECNAV M5510.36, par 7-4, 7-6 |
| Result | Comments |
| 0212 | Has the Commanding Officer established procedures for end of the day and after hours security checks, utilizing the SF 701, Activity Security Checklist, and the SF 702, Container Check Sheet, to ensure that all areas which process classified information are properly secured? Reference: DODM 5200.01, vol 3, encl 2; SECNAV M-5510.36, par 7-11 |
| Result | Comments |
| 0213 | Has the command security manager ensured that all classified information is stored in a GSA-approved security container, vault, modular vault, or secure room?Reference: DODM 5200.01, vol 3, encl 3; SECNAV M-5510.36, chap 10 |
| Result | Comments |
| 0214 | Have all combinations been changed and recorded according to the provisions of the reference? Reference: DODM 5200.01, vol 3, encl 3; SECNAV M5510.36, par 10-12 |
| Result | Comments |
| 0215 | Is a copy of a current SF 700, Security Container Information, affixed inside each security container, vault or secure room?Reference: SECNAV M5510.36, par 10-12(4) |
| Result | Comments |
| 0216 | Have Controlled Access Areas and Restricted Areas been so designated in writing by the Commanding Officer or Command Security Manager?Reference: SECNAV M-5510.36, chap 7-1(1) |
| Result | Comments |
| 0217 | If the command has designated restricted areas, controlled access areas or open storage areas within the command, have these areas been subjected to a Physical Security Survey conducted by the Command Security Manager or a school-trained, MOS 5814 Physical Security Specialist/civilian physical security specialist trained in accordance with the reference?Reference: MCO 5530.14, chap 3, par 3001 |
| Result | Comments |
| 0218 | Do the command’s Restricted Areas meet all established requirements for the appropriate Restricted Area designation? Reference: DODM 5200.01, vol 3, App to encl 3; SECNAV M-5510.36, chap 10, Exhibit 10A; CNO Ltr Ser N09N2/10U213104, dtd 16 MAR 2010 |
| Result | Comments |
| 0219 | If an IDS is utilized, is it installed, maintained and monitored as required? Reference: DODM 5200.01, vol 3, App to encl 3; SECNAV M-5510.36, Exhibit 10D, par 6 |
| Result | Comments |
| 0220 | If the command uses commercially provided Intrusion Detection Systems (IDS) as supplemental measures on secure spaces: - Do they annunciate at the Provost Marshall's Office? - Are they compatible with the Marine Corps Electronic Security  Systems (MCESS) suite?Reference: DODM 5200.01, vol 3, App to encl 3; CNO Ltr Ser N09N2/10U213104, dtd 16 MAR 2010; MCO 5530.14, chap 6 |
| Result | Comments |
| 0221 | Does the command have a Standard Operating Procedure in place to ensure proper storage and dissemination of USPS First Class, Certified and Registered Mail and commercial express deliveries that may contain sensitive and/or classified information?Reference: SECNAV M-5510.36, par 10-3(5) |
| Result | Comments |
| 0222 | Has the Commanding Officer established procedures for the dissemination of classified and controlled unclassified information originated or received by their command? Reference: DODM 5200.01, vol 1, encl 2 & 3; SECNAV M-5510.36, par 8-1 |
| Result | Comments |
| 0223 | Has the Commanding Officer ensured that only appropriately cleared personnel transmit, transport, escort, or hand carry classified information per specific requirements? Reference: DODM 5200.01, vol 3, encl 4; SECNAV M-5510.36, par 9-1 thru 9-5 |
| Result | Comments |
| 0224 | Has the Commanding Officer ensured that couriers are informed of security responsibilities when escorting or hand carrying classified information? Reference: DODM 5200.01, vol 3, encl 4; SECNAV M-5510.36, par 9-11 thru 9-14 |
| Result | Comments |
| 0225 | Has the Command Security Manager developed security measures and Procedures regarding visitors who require access to classified information? Is JPAS utilized for visit requests?Reference: DODM 5200.01, vol 3, encl 2; SECNAV M-5510.36, par 2-2(1)(J); SECNAV M-5510.30, chap 11 |
| Result | Comments |
| 0226 | Has the Commanding Officer established at least one day each year as a "clean-out" day, when specific attention and effort is focused on disposition of unneeded classified and controlled unclassified information as recommended by the reference? Reference: DODM 5200.01, vol 3, encl 3; SECNAV M-5510.36, par 10-17(2) |
| Result | Comments |
| Subsection 03 – PERSONNEL SECURITY |
| 0301 | Has the Command Security Manager ensured that all personnel who have access to classified information and spaces or will be assigned to sensitive duties are cleared through coordination with DONCAF and that requests for personnel security investigations are properly prepared, submitted and monitored? Reference: SECNAV M-5510.30, par 2-4(2)(F) |
| Result | Comments |
| 0302 | Has the Command Security Manager ensured that personnel security related information and accesses are properly recorded in JPAS and local records as appropriate?Reference: SECNAV M-5510.30, par 2-2(l), par 9-1(10), par 9-6, and App E |
| Result | Comments |
| 0303 | Has the command security manager ensured that all personnel who had access to classified information, who have separated or retired have completed a Security Termination Statement? Has the Security Termination Statement been forwarded to MMSR for retention?Reference: SECNAV M-5510.30, par 2-4(2)(l) and par 4-12 |
| Result | Comments |
| 0304 | Has the command security manager ensured that all personnel execute a Classified Information Nondisclosure Agreement (SF 312) before granting initial access to classified information? Has this data been entered into JPAS and forwarded to MMSR? Is the SF 312 Pamphlet available for review if requested by the individual?Reference: SECNAV M-5510.30, par 9-3 |
| Result | Comments |
| 0305 | Has the Command Security Manager ensured that all personnel who have access to classified information are also briefed on NATO?Reference: DODM 5200.01, vol 1, encl 3, par 11(c) |
| Result | Comments |
| 0306 | Are all SSBI/SBPR/PPR submissions based on approved requirements as outlined in the references? This includes matching BIC coding on Tables of Organization and Equipment prior to submission of the request for SSBI.Reference: ASN (M&RA) Ltr, dtd 29 MAR 2011; CMC Msg, 101326Z JUN 11, Personnel Security Investigations |
| Result | Comments |
| 0307 | Has the command security manager ensured that all personnel granted Top Secret access have completed the Personal Attestation Statement?Reference: SECNAV M-5510.30, par 4-8(5) |
| Result | Comments |
| 0308 | Has the command security manager ensured that Temporary Access (formerly Interim Clearance) authorizations are in compliance with current guidance?Reference: SECNAV M-5510.30, chap 9-4 |
| Result | Comments |
| 0309 | Has the Commanding officer established an administrative program for Continuous Evaluation?Reference: SECNAV M-5510.30, chap 10 |
| Result | Comments |
| 0310 | Are Marines who have access to classified information reported to the Naval Criminal Investigative Service (NCIS) if they are UA or in a deserter status and the command believes that their absence is contrary to national security?Reference: SECNAV M-5510.30, par 3-5 |
| Result | Comments |
| 0311 | Have all Commanding Officers, LtCol and above, in the unit been the subject of a favorably adjudicated Single Scope Background Investigation within the past 5 years?Reference: SECNAV M-5510.30, par 7-9(1) |
| Result | Comments |
| 0312 | Have all Marines in the command been the subject of a National Agency Check with Law and Credit Card Check or Tier 3 investigation (NACLC or T3) to determine enlistment or appointment suitability?Reference: SECNAV M-5510.30, chap 6-5 |
| Result | Comments |
| 0313 | Have all government civilian employees in the command been the subject of, at a minimum, a National Agency Check with Inquiries (NACI) to determine government employment suitability?Reference: SECNAV M-5510.30, chap 6-2(2)(b) |
| Result | Comments |
| 0314 | Do all instructors have a favorably adjudicated NACLC/ANACI/T3, or have a waiver approved by DUSN (PPOI) Security?Reference: SECNAV M-5510.30, chap 6-8(1)(d); MARADMIN 047/04 |
| Result | Comments |
| 0315 | Have all personnel employed in or assigned to duties in IT 1, 2, or 3 positions been the subject of the appropriate background investigation? Reference: SECNAV M-5510.30, par 5-3; par 6-8(1)(j) |
| Result | Comments |
| 0316 | Have all contractors working in command spaces or utilizing command IT systems been the subject of a favorably completed, command-sponsored NACI prior to issuance of a Common Access Card?Reference: DTM 08-003, Directive-Type Memorandum (DTM) 08-00, "Next Generation Common Access Card (CAC) Implementation Guidance"; CNO Ltr Ser N09N2/8U2232 dtd 29 Oct 2008; "Contractor Fitness Determination for Public Trust Position Policy”; MARADMIN 098/10 |
| Result | Comments |
| 0317 | Is the command utilizing the Joint Personnel Adjudication System (JPAS) as required, including: - Proper establishment of the Security Management Office (SMO)?- Proper establishment of the Personnel Security Management (PSM) Network?- Establishment of the Parent Relationship with higher headquarters?- Are the Security Manager and Assistant Security Manager assigned as JPAS Account Managers?- Are elements of the Continuous Evaluation Program reported  as incidents?Reference: SECNAV M-5510.30, App E; MARADMIN 077/04 |
| Result | Comments |
| 0318 | Are appeals of DOD CAF revocation/denial decisions regarding clearance eligibility being processed per the provisions of the reference? This includes: - Supporting the Marine as an advocate for the appeal? - Ensuring all timelines and CAF, DOHA or PSAB requests for information are met? - Ensuring PCS Orders are held in abeyance pending the final decision on the appeal?Reference: SECNAV M-5510.30, chap 8 |
| Result | Comments |
| Subsection 04 – INDUSTRIAL SECURITY |
| 0401 | Has the Commanding Officer established an industrial security program if the command engages in classified procurement or when cleared DoD contractors operate within areas under their direct control?Reference: SECNAV M-5510.36, chap 11 |
| Result | Comments |
| 0402 | Have organizational Contracting Officer Representatives for Security (COR) been appointed in writing for the purpose of preparing and signing the “Contract Security Classification Specification” (DD Form 254) and trained to perform their duties?Reference: SECNAV M-5510.30, par 2-7; SECNAV M-5510.36, par 2-6 |
| Result | Comments |
| 0403 | Does the COR accomplish all required responsibilities according to the reference?Reference: SECNAV M-5510.36, par 11-5 |
| Result | Comments |
| 0404 | Are DD254s, Visit Requests, and Statements of Work present and current to support access to classified information by contractors working within the command? Reference: SECNAV M-5510.36, par 11-4(2) and 11-4(3) |
| Result | Comments |
| 0405 | 04 05 Are contractors cleared for access at levels above the Facility Clearance Level (FCL) of their employing company?Reference: SECNAV M-5510.36, par 11-7 |
| Result | Comments |