Core Functional Area Trends "Gouge"

Link to Most Current Functional Area Checklists (FACs) for ALL Functional Areas

http://www.marines.mil/unit/hqmc/inspectorgeneral/Pages/FunctionAreaChecklists.aspx

_____

Core Functional Areas – Areas that will normally be inspected at EVERY unit as part of an IGMC CIP or UIP inspection. These are a subset of all functional areas; they are common to virtually all units possessing MCCs and/or RUCs around the Marine Corps. However, each command must examine its own functional area environment and apply good mission analysis to ensure proper focus on functional area readiness lanes applicable to their operational roles, functions, missions, and tasks.

_____

Core Functional Area FY-12 Key Trends and Recommendations (as of 26 July 12)

The below items reflect, by inspected functional area, the most common trends and deficiencies seen during IGMC CIP and UIP inspections at approximately 34 visited units across our Corps, both active and Reserve units, during FY-12. This list is NOT ALL INCLUSIVE, but addresses discrepancies or findings most frequently observed. Routine unit-level review of functional checklists comparing current FA readiness with previous inspection performances and assessment of deficiencies through internal inspection processes and periodic assist visits from adjacent and/or higher units are HIGHLY RECOMMENDED practices. Assigning a Unit Inspection Coordinator at battalions, squadrons, posts, stations, and detachments to oversee and provide a continuous focus on functional areas readiness is also HIGHLY RECOMMENDED to optimize unit home station, family, and expeditionary readiness.

Functional Area (FA) readiness equates to simply doing the right thing when no one is looking. If Functional Area readiness was an aircraft cockpit gauge, it would be analogous to a cockpit heading indicator or compass – FA readiness underpins all aspects of home-station, family, and expeditionary readiness. Properly applied and managed in a balanced fashion by unit leadership, it contributes to keeping our Corps collectively "compliant" and "on course." Most notably, solid FA readiness underpins taking care of our Marines and their families so they can remain tactically focused, operationally engaged, and more resilient to deployment-related stresses.

Just as tactical, equipment, logistics, and other forms of readiness require constant attention and focus, the FA readiness "cockpit gauge" requires vigilant "scanning" and committed stewardship by commanders, unit leaders, and FA managers.   Routine emphasis on a solid

functional area readiness posture helps avoid situations which may compromise organizational readiness, integrity, discipline, efficiency, effectiveness, or credibility. It also enables a commander to better monitor the health and climate of his command, and to prioritize his increasingly limited focus in areas requiring his specific attention. Functional area readiness need not monopolize anyone's time or effort; however, it is a key component of a strong and vibrant command.

Singular focus on any discrete readiness "gauge" to the detriment of others can result in "poor airwork" and eventually result in any number of potential readiness risks, leading to "mishaps." Excellent "flight leadership" and "crew coordination" across each unit's chain of command, to include active FA program oversight, management, and training, optimizes our Corps' ability to remain mission ready and to keep the faith with our Marines – our next generation of leaders.

FA 001 Command Inspection Program (Command IGs only)

- CGIP records lack 6 years of file retention per SECNAV instruction.
- Inspectors fail to clearly delineate or identify findings and discrepancies per established guidance; there is often a tendency to downgrade findings which could result in potential fraud, waste, or mismanagement or adversely impact the health and welfare of Marines and assess them as discrepancies.
- Lack of detailed annotations by inspectors on Functional Area checklists during inspections; avoid the urge to simply put Yes/No/N/A, as the comments you make provide continuity of understanding which minimizes readiness degradation and lack of understanding inherent in personnel turnover between inspections (latter comment assumes a turnover binder and inclusion of a copy of the most recent annotated checklist within it).

FA 020 Request Mast

- Proper documentation and retention of the NAVMC 11296 in Request Mast turnover binder
- Failure to retain Request Mast case records on file for up to 2 years after the date of the last action taken in each case
- Lack of knowledge regarding how to properly handle a "closed petition – CG's Eyes Only" Request Mast petition received at a subordinate unit
- Use of tracking sheets and supplemental sheets to ensure a thorough documentation and tracking of post-Request Mast actions
- Failure to conduct and document annual Request Mast Training for all Marines

FA 040 Career Planning

- Interviews, interviews, interviews!! Failure to anticipate, schedule, and track CO's interviews across the range of occasions which require them
- Career planner has more than one billet, and the requirements of at least one of these billets may pose the perception of a conflict of interest with the requisite trust and confidence which must be inherent in the career planning function (e.g. concurrent execution of Career Planner and SACO duties)
- Career Planner shares an office with Marines performing other functions -- Career Planner should have a separate office to ensure proper environment for counseling Marines

FA 061 Records Management

- Command identification of Vital Records – will vary slightly by type/function, roles, and missions of each command; must be identified and ALL personnel with stewardship of these records must know what they are
- Maintaining Vital Records on stand-alone computers with no back-up capability – having an organized electronic records system established on a shared drive with a backup server helps
- Ensuring that Vital Records management, recovery, and ease of movement or transfer to an alternate location during a Continuity of Operations (COOP) situation is planned for and periodically drilled
- Failure to use standard SSIC filing codes to maintain official and vital records
- Failure to conduct annual Records Management training

- At the below link are two courses provided as training aids. The first one is for Admin Officers, CDRMs, and Admin Clerks per the NAVMC. It has a segment on Vital Records. The second is a pre-deployment training course for all marines deploying into theater.

    http://www.marines.mil/unit/dmcs/ar/ard/Pages/ardb.aspx

    Under the training and tools tab at bottom of page you see:

    1. CDRM Records Management Training

    2. Armed Conflict Pre-Deployment Training

    These training modules are 16 and 17 minutes long.

FA 062 General Administration

- Instances of enlisted Marines approving PTAD, leave, special liberty, excessive periods of PTAD, or taking special liberty without approval – often seen at remote commands or detachments
- Check-in/check-out times on leave requests are not in accordance with the applicable MCO
- Failure to establish and/or follow established internal control procedures – need to conduct periodic S-1 training for admin as well as unit Marines.

FA 063 Performance Evaluation System

- Failure to access and use available MMSB tracking tools to identify potential Fitness Report Date Gaps and/or Late Reports
- Ensuring unit FITREP RS/RO policies and responsibilities are clearly published and understood through periodic training
- Ensure unit PES managers:
  - Provide oversight and manage the program
  - Establish and/or use tracking system to track individual reports through completion and MMSB processing
  - Obtain "Commander's Timeliness Report" from MMSB quarterly to assist in managing reporting officials
  - Use tools available on MMSB website
  - Ensure "FITREP Report Status" reviewed by RS as appropriate
  - Include requirement in training

FA 065 Privacy Act

- Failure to conduct annual privacy act training
- Failure to include privacy act disclaimers on official records requiring them

FA 066 Officer and Enlisted Promotions Process

- ZERO COMPOSITE SCORES – failure to properly run PFT scores, rifle/pistol scores, pro-con marks, and other related entries that influence and support the composite score process; often this can result from administrative process errors/lack of internal controls within the unit S-1 OR from inadequate or dysfunctional coordination between S-3 Training and the unit S-1 section
- Failure to track and make appropriate entries for PFT failures, assignments to BCP
- Failure to ensure page 11 entries are entered in SRB/OQR for appropriate promotions-related entries
- Failure to run WILL NOT PROMOTES (TTC 193 000)

- Timeliness of NON-REC reporting is deficient in many units
- Lack of familiarity with procedures for frocking an officer or delaying an officer's promotion

FA 070 Personnel Administration

- Proper and timely assignment of pro-con marks – e.g. one day prior to promotion
- Failure to notify spouse when member elects non-spouse beneficiary
- Commands did not have procedures in place to semi-annually review, audit, and correct entitlements for Marines married to another member of the Armed Forces.
- Commands do not have sufficient procedures to ensure Marines in receipt of special or hazardous duty pay does not exceed the number authorized by T/O.

FA 071 Military Awards

- Ensuring active unit approval, delegation, and rescinding of awards permissions in IAPS as personnel transfer into/out of units
- Ensuring all awards, to include impact awards for specific achievement, have a full detailed summary of action and a properly formatted citation
- Ensuring that Certificates of Commendation and Meritorious Masts awarded to Marines are sent to MMSB for inclusion in the recipient's Official Military Personnel File

FA 080 Marine Corps Total Forces System

- Failure to ensure counseling of unit Marines with over 18 years of service on the Survivor Benefit Plan
- Option 23 being extracted but not worked
- For separations, TTC 053 not being properly administered. ECC not being reported prior to drop
- No procedures in place for Admin Separations to notify Disbursing or Financial Officer, resulting in unwarranted overpayments, etc.
- S-3 unfamiliar with training cutoff dates or failure to properly report training completions for S-1 system entry

FA 090 Legal Administration

- Proper follow-through on command investigations; failure to ensure timely extensions and to track completions – excessive "in-process" times
- Failure to run pay reductions at the pay grade to which reduced vice the original pay grade

- Missing investigations at some units; lack of retention of file copies of investigations per MCO
- Thorough and timely follow-through on administrative separations at some units
- Improper documentation, tracking, and use of UPBs
- No evidence of a process in place for a command visitation program
- No process for handling a prisoner requiring escort or for handling a returning deserter

FA 100 Postal Affairs

- Official mail being delivered to and opened by an unauthorized agent
- Missing appointment letters which authorize a command representative to receipt for and open official mail
- Not adhering to the requirement to use, retain, and secure duplicate mailroom keys or combinations and key logs
- Not having two mail orderlies per section
- No/improper training of unit mail clerks and mail orderlies
- Mail being stored in the unit mailroom

FA 120 Casualty Affairs

- Failure to conduct annual CACO training and/or to ensure the unit has sufficient numbers of CACOs
- CACR ensuring the requirements governing maintenance/storage, inventory, and shipping of deceased Marine's personal effects are being properly met
- Appropriate preparation of supplemental reports on location/status of hospitalized Marines
- Failure to archive copies of PCRs on systems which are properly backed up (e.g. treating PCRs as vital records) and failure to retain them for six years per FOIA requirements
- Failure to distribute a Notice of Investigation to the Next of Kin (NOK) when investigations are conducted

FA 121 Separations and Retirements

- Failure to ensure counseling of unit Marines with over 18 years of service on the Survivor Benefit Plan
- No procedures in place to counsel spouses on SBP who are geographically separated from the command
- Commanding Officer not monitoring or periodically reviewing procedural execution of DD 214s/215s

- No procedures in place to utilize certified mail with receipt to send the DD 2656 and other correspondence to the spouse with the return receipt attached to the NAVMC 118(a)
- Unit does not have an adequate on-hand stock of CMC Display Stickers, Letters of Appreciation Signed by the CMC, or Certificates of Appreciation

FA 122 Transition Assistance and Management Program

- UTC is not tracking and ensuring attendance by transitioning Marines at key TAMP requirements.
- UTC does not have copies of DD form 2648 showing that Marines have completed TAMP & TAP.

FA 123 Limited Duty

- Failure to track Marines assigned to limited duty/light duty and to ensure proper follow-up upon change in status.
- Failure to recommend Marines for PEB upon determination of successive periods of limited duty per current directives.
- Assigning a LIMDU coordinator whose efforts are closely integrated with organization(s)/entities/personnel providing health service support to unit Marines.

FA 190 Equal Opportunity Program

- Lack of recognition for cultural and heritage events
- Failure to conduct command EO climate surveys per the MCO (e.g. 90-day requirement associated with changes of command, etc.)
- Missing one or more of the essential elements in CO's EO Policy Statement
- Majority of commands cannot account for annual EO training of all personnel; documentation of training is not being entered into either the unit training system or MCTFS
- Majority of commands are not adhering to the timelines for processing formal EO complaints – this is an accountability issue indicating that commanders are not ensuring appropriate oversight over their complaint process
- Majority of commands cannot validate they are conducting the new join briefs; this is an awareness/prevention gap which, if conducted properly, can enhance awareness of discrimination, how to recognize it, and what to do if unit personnel experience it

FA 200 Substance Abuse Program

- Failure to provide all unit Non-commissioned Officers the required drug and alcohol abuse prevention training, through an approved course, that they will in turn provide annually to their subordinates; the only current approved course for the NCO's is the B.A.S.I.C. (Building Alcohol Skills Intervention Curriculum). Units can accomplish this through either requesting personnel from the Prevention Training and Education section of the base SACC or via a local "train the trainer" course with follow-on internal unit instruction.
- Not instituting a policy on responsible drinking nor displaying that policy prominently. While many units have a substance abuse policy, many do not include specific language which addresses responsible drinking. Recommend the policy be prominently displayed throughout the work spaces and BEQ, as well as on command read board(s).
- Failure to establish an aftercare program that assigns, tracks, and monitors Marines who have completed a treatment program. The importance of the unit managed aftercare program is directly related to the ability of a marine to extend or reenlist who has a previous alcohol related incident that required treatment.
- Failure to ensure that unit personnel involved in the collection/shipment of urine specimens (SACOs and UPCs) are undergoing a monthly urinalysis test.

FA 270 Information and Personnel Security Program

- Incomplete command security instructions which lack appropriate guidance that has been "formatted" and focused to the needs, capabilities, and requirements of the individual unit
- Lack of a unit self-inspection program
- Command security training programs exist, but are limited in scope and are not adapted to address the range of command-specific security training areas: OCA Training, Derivative Classifier Training, Indoctrination/Annual Refresher Orientation, Counterintelligence, On-the-Job Training, and Command Debriefing
- Improper storage of classified material
- Physical Security Surveys are not completed as required on restricted areas
- Several individuals across inspected commands were found to have access to classified information without the appropriate eligibility or with investigations which were out of scope; ensure only those individuals with approved eligibility, based on current investigations, are allowed access and submit requests for investigation only through eQIP.
- Individuals within the inspected commands had been assigned Interim access without the required investigation to support such access

- Numerous Marines at inspected commands required a National Agency Check with Law and Credit (NACLC). In some cases, the command was not aware of the number of individuals who required this investigation and/or the security management team was unaware of the requirement for the NACLC for every Marine.

FA 280 Foreign Disclosure Program

- Failure to use the Foreign Visits System Confirmation Module to document all command foreign visits.
- Failure to ensure that a foreign disclosure review is completed by a Designated Disclosure Authority (DDA) for every command foreign visit that will share classified or sensitive unclassified information.

FA 316 Fraud Waste Mismanagement Oversight and Hotline (Command IGs only)

- Open a CMS case for every complaint received, irrespective of whether it's IG appropriate. If it is a matter that requires referral to a different agency, open the case, send an acknowledgement/closure (ACK_END) letter to the complainant, annotate any other action taken (i.e. conversations, e-mails, other correspondence) on the matter, and close the case. Having everything in CMS allows IGs to print a CMS report which demonstrates their workflow and can, in turn, provide clear justification for additional support staff clerk(s).
- CIG failure to follow up thoroughly with adjacent entities when tracking or managing cases. Open a CMS case prior to "hand off," track the case, as required, and obtain a copy of the investigative report prior to closure. Send appropriate notifications to the complainant (acknowledging the complaint stating what agency has "for action", and send closure letter upon resolution.)
- CIG complaint processing must include a thorough analysis prior to taking any action on the matter at hand. Identify whether the information is a systemic issue, an allegation of impropriety, a request for help (assistance), or a combination   of two or more of these elements. The sticking point here can often be to properly assess what the complainant is requesting even if the complaint does not specifically mention it. Upon intake of a complaint, identify all requests appropriately. Contact the complainant to clarify issues, allegations, or concerns. Consult SJA/legal often, particularly prior to tasking for investigation or to seek clarity on possible violations cited in the complaint. Teach and train the individual and direct appropriately if other avenues of redress are appropriate/available.

FA 340 Physical Fitness Program

- Lack of unit order that addresses Physical Fitness. Not an requirement, but without one the unit has to hold five, all hands, 30 minute training periods, among other requirements, to be in compliance with the MCO.

- Lack of coordination with Adjutant/S1 to ensure adverse FITREPs for PFT/CFT failures/RDNT; to ensure required Section I comments for medical waivers, deployment waivers, and superior performance (285 and above on PFT/CFT).
- Use of previous PFT/CFT results for Cpls and below for medical waivers or partial PFT/CFT in order to generate composite scores.

FA 350 Body Composition and Military Appearance Program

- Failure to appropriately assign Marines to BCP
    - Within 60 days of initial, out-of-standards height, weight, and percent body fat measurements
    - Signed by commanding officer with Special Court Martial Convening Authority
- Not properly counseling Marines during course of BCP assignment

FA 360 Combat Marksmanship Program

- Failure to qualify all Marines on rifle/pistol who are required to do so
- Failure by S-3 training to validate/reconcile scores with S-1 to ensure timely inclusion into composite score computations

FA 380 Unit Training Management

- Failure to build, maintain, and update a training plan on a long term (1 year), midterm (quarterly), and short term (monthly) basis
- Not conducting After-Action Reports
- Not assigning a Training Safety Officer in writing

FA 420 Color Guard

- Unit colors in unserviceable condition (minor smudges, nicks, etc.)
- Improper weapons handling at trail arms for different weapons types
- Weapons handling in general
- Execution of Eyes Right while Halted

FA 460 Historical Program

- Command Chronology not submitted in a timely manner – no evidence of receipt of recent submissions; ensure follow-up with HD to confirm receipt, letter or E-Mail confirmation suffices for submissions nearly coincident with the inspection
- Command Chronology does not include all appropriate sections per the MCO
- Command Chronology not signed by unit Commanding Officer
- Unit lineage and honors not displayed in a prominent location

- Unit lineage and/or honors are dated; do not reflect all honors or pertinent unit actions earned/accomplished

FA 470 Physical Security

- AA&E screenings not completed and/or reviewed
- Appointments letters not assigned for security officers, AA&E officers, and access control officers/custodians
- Physical Security Plans not completed and/or reviewed annually
- Restricted area designation letters not updated annually
- Restricted areas not posted properly
- Corrective action reports for physical security surveys not completed
- DOD demil certifications not on hand for display weapons in front of units, etc.
- Desktop procedures and turnover binders not present

FA 481 OPSEC

- Failure to conduct and document annual OPSEC training for all hands
- Failure to appoint an OPSEC coordinator or manager in writing
- Failure of coordinator or manager to complete required OPSEC training per the MCO
- Command has not published a Critical Information List and/or Marines are unfamiliar with command-specific information to be protected
- Failure to ensure OPSEC briefs are provided to unit spouses and family members at pre-deployment or other pertinent fora

FA 500 Health Service Support (Major Area Needing Focus at Most Inspected Units)

- Failure to make Medical Readiness a command/unit priority; command deck involvement and focus is key
- Failure to gain and maintain control of unit medical records
- Failure to interface effectively with supporting medical facility(ies) regarding unit medical readiness and individual medical readiness requirements (PHAs/immunizations); need to assign a dedicated, engaged, and competent medical liaison representative as a primary or collateral duty to actively engage supporting medical facility(ies) and track unit readiness through MERS

FA 510 Dental Readiness (Major Area Needing Focus at Most Inspected Units)

- See general trends and recommended actions above for Medical Readiness; apply similar actions through local/supporting dental clinic(s)

FA 753 Ground Supply

- No proper turnover of accounts – lack of CO Certificates of Relief and/or Supply Officer Certificates of Relief (no supply officer designated in writing)
- Designated Crane reporting official in writing is not the observed certifying official for periodic Crane report validations
- Poor control/lack of management and proper documentation of personal effects/personal effects locker – potential for theft, fraud, waste, etc.
- Timely reporting/processing of missing gear statements; no evidence of coordinated follow-through on supply-related investigations, particularly investigations that carry over across commanders

FA 755 Ground Ordnance Maintenance

- Failure to coordinate/conduct periodic MOS training for armory personnel
- Failure to conduct annual AA&E certifications for armory personnel
- Failure to conduct proper wall-to-wall inventories in the armory; lack of proper documentation of inventories maintained on file

FA 963 Sexual Assault Prevention and Response

- Ensuring the proper number of UVAs at each command (basic requirement is 2 per Bn-sized unit)
- No unit SAPR SOP
- Failure to properly document annual SAPR training
- Improper facilitation of annual SAPR training – training should be conducted by a UVA or SARC

FA 992 Government Travel Charge Card Program

- Failure of unit program manager to monitor and track activity on all 6 GTCC-related tracking reports – focus on delinquency report only does not facilitate PRECLUDING issues before they commence, to include card misuse
- Statements of Understanding are not completed/retained on hand for all command members
- Failure to conduct and document annual GTCC training for all unit members
- Failure to retain proper documentation for delinquency notifications
- Account activity listings not being worked properly – increased potential for undetected card misuse/unauthorized activity

FA 994 Suicide Prevention Program

- Failure to ensure 100% Never Leave a Marine Behind (NLMB) training
- Lack of suicide reaction checklists for duty standers (similar to Bomb Threat template)

FA 968 Marine Corps Personal and Family Readiness Program

- Documentation of attendance at events, meetings and trainings, documentation of required policies and implementation of Family Readiness Professional Military Education events bi-annually
- Identification of appointment of the FRO as a Special Staff Officer and appointment of billeted volunteers
- Commanding Officer not involved in the hiring of FRO and the interviewing process of billeted volunteers
- Ensure Commanding Officer receives brief about the state of Family Readiness within the unit and is made aware of installation, local and community based resources