IN REPLY REFER TO:
5510
ARS

0 7 APR 2016

Security Note 02-16

From: Director, Administration and Resource Management Division

Subj: HEADQUARTERS, U.S. MARINE CORPS (HQMC) INFORMATION AND PERSONNEL SECURITY ASSESSMENT PROGRAM

Ref: (a) DOD M-5200.01
(b) SECNAV M-5510.36
(c) SECNAV M-5510.30
(d) HQMC IPSP SOP

Encl: (1) Inspector General Checklist

1. The HQMC Information and Personnel Security Assessment Program is designed to ensure compliance with regulatory requirements, review procedures, inventory classified holdings, addresses all security related issues, and increase security awareness at the Staff Agency/Activity level.

2. For the purposes of this security note, the enclosure, and the HQMC annual assessments, the term "Commanding Officer" means "Deputy Commandant/Director"; "Command" means "Staff Agency/Activity"; and "Security Manager" means "Security Coordinator".

3. Staff Agency/Activity Security Assessments resulting in major discrepancies or findings will be re-evaluated in 30 days. Failure to correct/mitigate major discrepancies or findings may affect the Staff Agency's/Activity's authorization to continue to process, handle, and/or store classified material. Additionally, the Director, Marine Corps Staff could deliver a formal written notification.

4. Staff Agency/Activity Security Coordinators will be notified 48 hours prior to the assessment.

5. The HQMC Security Manager or Assistant Security Manager will conduct a Staff Agency/Activity Security Assessment out-brief with the Executive Assistant.

6. Questions regarding this Security Note should be directed to the HQMC Security Office via smb.hqmc.security@usmc.mil or (703) 614-3609.

7. This note supersedes Security Note 04-13.

J. R. NEWELL
By direction

Inspectors General Checklist

5510.3 INFORMATION AND PERSONNEL SECURITY PROGRAM (IPSP)

This checklist applies to all Commands.

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Revised: 23 February 2016

Name of Command
Date
Inspector
Final Assessment
Discrepancies: *Findings:*

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*

This checklist outlines the general elements needed for the day-to-day administration and operations of this function area. Additionally, this checklist provides guidelines for internal evaluations and standardized criteria for the conduct of inspections. Commands must also fully comply with all applicable references.

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 Officer
        NATO Control Officer
        Contracting Officer's Representative for Security
        Security Officer
Reference: 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)

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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*

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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

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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

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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*

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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(I), par 9-1(10), par 9-6, and App E

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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

This checklist outlines the general elements needed for the day-to-day administration and operations of this function area. Additionally, this checklist provides guidelines for internal evaluations and standardized criteria for the conduct of inspections. Commands must also fully comply with all applicable references.

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

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)

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

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)

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

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)

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

This checklist outlines the general elements needed for the day-to-day administration and operations of this function area. Additionally, this checklist provides guidelines for internal evaluations and standardized criteria for the conduct of inspections. Commands must also fully comply with all applicable references.

098/10

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*

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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*

Subsection 5 - HQMC IPSP ADDENDUM

05 001
Has the Deputy Commandant/Director ensured personnel have a critical element within their performance appraisal for evaluation of the creation, handling or management of classified information?
Reference: USD(I) Memo of 12 Jun 13 "Performance Appraisal Critical Element for the Protection of Classified Information"

05 002
Has the Security Coordinator/Assistant Security Coordinator attended at least 3 Security Coordinator Meetings?
Reference: HQMC IPSP SOP

05 003
Are Security Coordinators ensuring Top Secret information, classified Media created via the "write-to-media" function and classified Hard Disk Drives (HDDs) are entered and properly accounted for within the Classified Document Control Catalog (CDCC)?
HDDs verified _____
Reference: MARADMIN 226/11, HQMC IPSP SOP

05 004
Are procedures established that facilitate oversight and control of the Reproduction of classified information (e.g. paper copies, electronic files, and other materials)?
Reference: DOD M-5200.01 VOL 3 ENCL 2 PAR 15, HQMC IPSP SOP

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05 005   Are Security Coordinators ensuring personnel are properly checked out Via Electronic Security Services Request Portal (ESSRP) to include the following?

                          - HQMC Command Debriefing Form
                          - Alarm Zone Deletion Form
                          - NATO Debriefing Form (if applicable)
                          -CAC's turned into ARS (Contractors only)

Reference: HQMC IPSP SOP

05 006   Has the Security Coordinators provided combinations for secure office space exterior doors via SIRPNET to ARS?
Reference: SECURITY NOTE 03-13

05 007   Is the Staff Agency/Activity access roster posted on the interior wall of a designated space adjacent to the main entry point and is not be visible from the exterior?
Reference: MCO 5530.14A, HQMC IPSP SOP

05 008   Does the Staff Agency/Activity have a valid Accreditation Letter (AL) on file? If not, has the Security Coordinator routed a request for the AL through the Physical Security Specialist?
Reference: DOD M-5200.01, VOL 3 ENCL 3 PAR 3, MCO 5530.14A

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