

[The investigative interview was called to order at 1300,
15 April 2021.]

[WIT: Col (b)(3), (b)(6), (b)(7)(c)]

[IO: Col (b)(3), (b)(6), (b)(7)(c)]

[IO: CW05 (b)(3), (b)(6), (b)(7)(c)]

[CR: GySgt (b)(3), (b)(6), (b)(7)(c)]

IO (Col (b)(3), (b)(6), (b)(7)(c)): Good afternoon. My name is Colonel (b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c) , and I am a part of a team reviewing the facts and
circumstances surrounding the formation of the 15th MEU and the
actions and decisions associated with the material conditioning,
training, and personnel readiness thereof.

This investigation is associated with the assault
amphibious vehicle mishap that occurred off San Clemente Island on
30 July 2020. We are not conducting a second investigation of
the incident itself, but rather investigating from an
institutional perspective to determine any changes that may be
required or any actions that could or should have been implemented
prior to the accident.

The Assistant Commandant of the Marine Corps, General
Thomas, appointed Lieutenant General Mundy on 2 April 21, to
conduct this investigation, which includes, among other things,
interviewing personnel from different organizations with

information that may be relevant to the investigation.

Again, this is where I would show you the copy of the convening order.

The Staff Director of the Marine Corps, Major General Olson, appointed me to the investigating team on 8 April 21, and I am talking to you in my investigatory capacity as a representative of Lieutenant General Mundy and General Thomas.

We are required to provide General Thomas with a written report upon the completion of our investigation. And this is where I'd show you a designation letter as a member of the team.

I am talking with you because the investigating team believes that you might have information that may be relevant to the investigation. It is important for us to understand, so please inform us of anything you believe we should be considering during this review.

For the record, this is a phone interview with Colonel (b)(3), (b)(6), (b)(7)(c). This is an administrative investigation; however, due to the sensitive nature of the ongoing review, we are asking personnel we talk to as a part of the investigation not to share anything we discuss with any other person.

The topics that I would like to cover with you today may include formation and compositing of the 15th MEU, training

and material readiness surrounding the formation and the
compositing of the 15th MEU, and I MEF oversight for the 15th
MEU.

So before we start, do you have any questions about my
role or Chief Warrant Officer 5 ^{(b)(3), (b)(6),}
_{(b)(7)(c)} 's role in this
investigation?

WIT: No questions.

I0 (Col ^{(b)(3), (b)(6), (b)}
_{(7)(c)}): Okay. With that, we'll start. Can you
state your name, your rank, and your current billet -- or at the
time that you were here.

WIT: Okay. So first name is ^{(b)(3), (b)(6),}
_{(b)(7)(c)}, last name is ^{(b)(3), (b)(6), (b)(7)(c)},
Colonel, United States Marine Corps retired. I was last the MEF
Assistant Chief of Staff and G4 from 2018 until 2021.

I0 (Col ^{(b)(3), (b)(6), (b)}
_{(7)(c)}): Thank you. So as we start this
discussion, my first question is: Can you describe the material
readiness culture within I MEF during your tenure?

WIT: Yeah. I would tell you that the, you know, throughout
all my tours in I MEF and I've got quite a few of them material
readiness, you know, with the difference between professional and
amateur as far as we were concerned. And one of the things that
differentiated us from the other MEFs was, you know, from the
commanding general down there was a focus on material readiness

as it related to two things. One, what was the residual readiness and the ability for the MEF to source contingency crisis response or OPLAN responses. And the second piece was focused on, you know, clearly what we did our GFM responsibilities. That fell into two buckets, special purpose MAGTF generation and MEU generation. I would tell you that, you know, material readiness was something that was discussed in a general forum, general officer forum that was done at the material readiness board, which was conducted when I first came back to I MEF in 2017 it was conducted monthly. And then after about a year of being back at I MEF starting in 2018, it went to a quarterly board. And I would tell you again, during those boards there was topical discussions oriented on, again, several of the key performance indicators, problem TAM control items that we were struggling to maintain readiness against, and then any areas that we needed the commanding general to focus both his attention, his resources, or is the decision making process.

I'll tell you, from the time that I took over the as the MEF G-4 to the time that I left, you know, through the diligent efforts of all of the maintenance officers and all the commanding generals throughout the MEF, we were able to maintain your readiness, you know, at or above 90 percent for the entire

time.

The material readiness was high, it was the focus know we focused the money that we put against it. We made sure that if we had to assume risk in material readiness accounts, it was not in the accounts that directly led to force generation readiness. And again, the MEU was always the priority for MEF material readiness. The rationale behind that was pretty simple. If you follow the logic, a special purpose MAGTF Marines fell in on equipment prepositioned in theater. UDP Marines fell on III MEF equipment already in theater. And so generating MEUs was what we focused on because that was our equipment going out and it was, you know, us making sure that what we set out was the most ready, most capable.

So kind of a long answer. But I would say that material readiness was extremely important to not only myself, but both the deputy commanding general who ran the UDP -- or excuse me, the MEU generation program for the MEF CG. Was extremely important to all three of the MSC CGs, and it was very important, obviously, to them MEF CG himself.

I0 (Col ^{(b)(3), (b)(6), (b)(7)(c)}): Okay, thank you. As a follow up to that, you discussed the MRBs went from about once a month to quarterly, but then you said, you know, your readiness rate you maintain

that at about 90 percent or above. The indication would be that there was no negative impact of going from once a month to a quarterly MRB. Is that a true statement?

WIT: Right. So, again, just to clarify, the material readiness board was the general officer level conversation about material readiness. You know, all of the board, cells, work groups led by the mature readiness branch, each of those commodity managers, that when weekly and, you know, the man sitting next to you is responsible for his participation and, you know, the engineer readiness board, for example.

So the discussions never stopped. What did stop on a monthly basis was bringing the CG and his MSC CGs into a room to talk about, you know, mature readiness things. That's what stopped. There was no drop off in focus. There was no drop off in readiness going to a quarterly.

Clearly the quarterly decision was made based on a couple different factors. One, when General Osterman took command from General Kaparada in 2018, we were doing monthly MRBs. And quite honestly, every month it was a struggle for me to put information in front him that was not either redundant or was not actionable. And so the recommendation was, hey, boss, let's not sit here and rehash the same old stuff. There's only

so many times you can say division readiness is at, you know, 93 percent. And, you know, this is the areas where we're struggling. And so that was the reason we went to quarterly vice a monthly general officer discussion. But the material readiness branch and the G-4 and all the commodity managers still discussed maintenance on a weekly basis. And I would tell you that there was a full time job and it was something we took very seriously.

As a result of that, I MEF readiness was, you know, I, I can say this because I came to I MEF from III MEF. I MEF's readiness was significantly higher than III MEF's readiness. And I would say that II MEF model as they were paying people to produce their readiness through contract and maintenance. We were not doing that. We stayed focused on it and there was no quarterly drop off because we just stopped doing monthly CG level briefs.

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): Okay. Thank you.

IO (CW05 ^{(b)(3), (b)(6), (b)(7)(c)}): Sir. ^{(b)(3), (b)(6), (b)(7)(c)} here. I've got a follow up with that. Is it safe to assume that if you weren't in front of the General quarterly with concerns there were opportunities through the DRRS brief to, like, emergent material readiness problems to be addressed?

WIT: Yeah, absolutely, ^{(b)(3), (b)(6), (b)(7)(c)}. And I'm glad you asked that

question because, you know, my old brain is struggling to remember. That was the other thing, too. So, you know, the battle rhythm for the CG to discuss readiness -- now we're talking MEF readiness and again, the focus of General Kaparada and then General Osterman's was, you know, the MEF's the ability to meet its tasked. And its tasks were to generate forces in support of SPMAGTAF, MEU crisis contingency, and then training for residual. Part of the DRRS brief for scorecards. Each one of those scorecards adds information in there from a training, from a material, from fiscal, and from a personnel readiness perspective.

So when we were talking to the boss monthly via the DRRS forum what we discovered was that a lot of that information that was being discussed at the monthly MRB was becoming redundant. So again, part of the decision was, hey, boss, we're gonna talk to you monthly about these particular things. And this was the meat and potatoes where we brief General Osterman about individual unit readiness. So we went to the, you know, the individual unit up on steps to deploy next. And we briefed him on the readiness from a personnel from a fiscal, from a material, from a training perspective during the DRRS. And I would also tell you that during the O&I brief, we also discussed

readiness of those units as that directly tied into what he was reporting to the MARFORPAC O&I slides.

So the General Osterman was getting briefed when we made the recommendation to go to one MRB a quarter. He was getting briefed on the same readiness probably four times a month, same information over and over again. My perspective as the G-4 was redundancy is something that we should look to eliminate because, you know, as a three star general responsible of 55,000 Marines and sailors operating in all the combat commands on a couple different continents, the last thing we want to do is waste this time.

So, yes, ^{(b)(3), (b)(6), (b)(7)(c)}, thanks for asking that follow up question.

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): Thank you. My next question sort of dovetails off your first couple of questions and that -- I think you've kind of hit on it already, but maybe just a little bit more clarity. How would you describe the relationship from the MEF G-4 with the MSC G-4 and specifically the division G-4.

WIT: Well, so I don't think I'll get myself in trouble in saying this, but I will say it. I'm a 1st Marine Division Marine. I served in that Division at every rank except for one. So what that means is my relationship with those G-4s was

extremely strong. I had a vested interest, obviously, in all the MSCs being successful. But being a blue diamond guy that was the area that I was most comfortable, most knowledgeable. And I spoke frequently with the Division G-4 as much as I spoke to the MLG G-3 who was my counterpart. Because, again, it was a logistics operation.

So a very strong relationship with 1st Marine Division. Again, the year before I was the MEF G-4 I was the Division G-4, so I understood very well what the responsibilities are to generate formations for. I understood the challenges that organization, you know, was experiencing in terms of equipment that. I would say that the strain on readiness 1st Marine Division was not Echo TAM'S. It certainly was not the AAV battalion, nor was it the tank battalion before we stood it down.

You know, having been the guy who ran the LRE program for General Smith when he was the Division CG, Delta track up in 29 Palms and 3rd Amphibious Assault Battalion. We're doing tremendous things from a material readiness perspective to keep, you know, a very aged piece of equipment, you know, operationally ready.

Good and strong relationship with 1st Marine Division, a really good relationship with 1st MLG, and then there wasn't a bad relationship with 3d MAW. But the reality is that the 3d MAW

aviation readiness was not something that I dealt with. And then the ground readiness stuff, you know, there's such a small equipment set over there that, you know, again, the relationship is good. Now, I tell you that anyone and everyone MEF that was in a G-4 billet were folks that I have known for probably my entire career. So ^{(b)(3), (b)(6), (b)(7)(c)} was at the MLG and he and I were second lieutenants together, ^{(b)(3), (b)(6), (b)(7)(c)} and I was at Division and I replaced him. The guy that replaced me, ^{(b)(3), (b)(6), (b)(7)(c)}, him and I have known each other for the better part of a decade. And then ^{(b)(3), (b)(6), (b)(7)(c)}, who came in after ^{(b)(3), (b)(6), (b)(7)(c)}. I've known ^{(b)(3), (b)(6), (b)(7)(c)} since he was a captain and I was major.

So, you know, the logisticians at IMEF had a very unique relationship. We spoke weekly. We had quarterly logistics symposium where we would get together and talk about things. And I would tell you that I spoke to those guys all the time. Again, as the MEF 4 and as, at the time, the senior logistician in the MEF. Those guys came to me quite often for, again, advice, guidance, friendship, mentorship, you name it.

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): Okay, thank you. Next question I'm going to ask is kind of centered around FSMAO and if you could sort of describe to me in just general terms. As units went through FSMAO how that got reported up to the MEF and then what

your relationship was with the MSCs in sort of reconciling the units that may not have performed very well on FSMAO.

WIT: Yeah. So the good news is that during the three years that I finished in I MEF our FSMAO scores were all trending positive. That's the good news. It wasn't that way a couple of years ago. We did FSMAO exactly the way the Marine Corps says we're supposed to do FSMAO. So the unit would get notified that they were getting FSMAO'd. They would stand their FSMAO. And if they were, you know, in an area where they were high risk to medium risk, they had to generate a corrective action plan. That corrective action plan -- once the CG at the MSC level reviewed it and approved it, it came to my office.

I reviewed every single one of those and endorsed those for the CG to then send it to headquarters Marine Corps. I announce the kind of report of what we found and what we were doing to fix it. And we brief FSMAO scores to General Osterman at the material readiness board. We brief trends, we brief high points, low points, and we discussed at nauseum the things that units were struggling with. And then what we did was we would meet with the FSMAO west OIC and his team of experts. And if there were areas that were, you know, trends across the MEF, we would get together, form a work group and

understand what the causative factors might be, what we can do to improve or mitigate some of those things, and then we would reinvest that back into each of the MSC LRE program.

So it was a living, pretty dynamic approach. But we followed the terms of reporting and discussing less than acceptable performance, exactly the way headquarters Marine Corps told us we had to do it. Again, like I said, every one of those corrective action plans came to me. It was tracked via DON Tracker. So that's how we knew when one was due from headquarters Marine Corps, you know, from us to headquarters Marine Corps.

And again, we would track those on the weekly chief of staff maintaining. The MEF Chief of staff would make sure that we were, you know, meeting the timely requirements. And then as far as, you know, briefing results and corrective action, again, that was handled through us generating a FSMAO report for the CG and that would go to the CG and he would review those and they would be sent to headquarters Marine Corps INL to close out the reporting on those.

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): Okay, thank you. On that note, how would you describe accountability for those units that may not have performed well in FSMAO or may not have adhered to their

corrective action plan or didn't improve. And maybe there wasn't any units that fell into that category. But just kind of curious what was sort of the culture of accountability for FSMAO units that didn't perform well or didn't sort of adhere to their get well plan?

WIT: So I think that's not a question for MEF G-4. That's a question for commanding general. Those are the third units we just reported. The fact as they, hey, look, you were low risk, medium risk, high risk in these particular areas. These are the causative factors that led to those scores. These are the things you need to do to address those scores. These are the resources available to help remediate, mitigate, and then potentially re-inspect. But as far as the accountability piece that's a commander thing. That's not a MEF G-4 thing.

So you would have to ask Castellvi, you would have to ask Sklenka, you would have to ask Shea, you would have to ask, you know, the MAW CGs to find out what they did to hold their commanders accountable if they didn't do well. I can tell you what it was when I was a regimental commander. If you tubed your FSMAO, it went in your Fitrep, and I think that came from General Neller when he was commandant, that he was sick and tired of commanders, you know, leaving with nice little medals, having

tubed their FSMAOs.

So I know that a white letter went out at around, I think, 2016 saying, hey, if you dork up your FSMAO, that's going on your Fitrep, commander. Now, I know for a fact that General Smith did that when he was the Division CG and I was the Division G-4 because there were many conversation between he and I where he would say, "Nate, give me a read on this. Was this lack of care, lack of try, or other things?" as he was preparing his, you know, remarks. But once I transitioned out of the Division into the MEF G-4 job, I couldn't tell you what commanders were doing when they got poor FSMAO results.

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): Okay, thank you. That's fair. With respect to AAV, in general, did do you recall any sort of frequent or routine communication you had with LOGCOM or Marine Corps Systems Command about any specific AAV concerns?

WIT: No. Like I said, we did not -- there were not -- there wasn't any real AAV concerns in the three years that I was there. It was not highlighted as a, you know, a TAM that was struggling to maintain readiness. You know, again, I know that it took herculean efforts from folks down there at the track, not only school, but also the battalion to keep the, you know, the tuna boats working as well as they were.

You know, the issues that I spoke to headquarters Marine Corps about were not necessarily related to a AAV readiness.

Who is ready, you know, focused on AAV readiness enablers. Right. So facility issues, making sure that we, you know, we were able to get the proper power laid in to the track maintenance bay, to that the dynamiter was operational. It was about, you know, 8 AAV to transition and making sure that facility plans met the space and the, you know, the maintenance requirements. You know, even when I was at the Division for, you know, I cannot remember any issues where I needed to go to LOGCOM or headquarters Marine Corps to say, hey, we need assistance with this, this is troubling us. This is preventing us from being ready or as ready as we were supposed to. So no issues that I can recall.

I0 (Col ^{(b)(3), (b)(6), (b)(7)(c)}): Okay. Thank you. Did op tempo have any impact on -- I mean, obviously, your recollection is a steady state high rate of material readiness, but did you see op tempo of having any at least putting material readiness at risk in any way? Just out of curiosity again.

WIT: For armor. Right. I mean I think what once you moved away from OIF and OEF deployments, the steady state became force generation of MEUs, SPMAGTF, and then forces down on the border,

which didn't include any tracks. I don't think op tempo -- what was a challenge was maintenance. I think the MEF was doing a very good job balancing the requirements that were levied on us against the normal day to day requirements of maintaining readiness. I don't think there was a problem with the op tempo.

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): Okay. How about any budgetary constraints that you saw that may have had an impact on material readiness and certainly specifically AAVs during your tenure?

WIT: Yeah, again, so more of the same. Did we have all the money we needed? Absolutely not. Did anybody have all the money they needed in the Marine Corps? Absolutely not. Right. But again, we focused and we made sure we focused our resources on the main effort. And the new generation was the MEF's main effort. It was briefed that way from, you know -- 2017 when I joined I MEF from III MEF. So the day I left the MEU was the most important day that the MEF was doing.

Again, it was our Marines and sailors, it's our pleasure meeting with combatant commanders acquirable. So, you know, did we have all the money that we needed? Absolutely not. Did it impact our ability to generate ready formations for MEUs? I don't believe so. The money was allocated to make sure that the MEU was the most ready formation that the MEF was generating

at any given time. Because that was the CG's priority.

Yes, we did not have enough money. ^{(b)(3), (b)(6), (b)(7)(c)} might be able to get that for you. We have a great slide. ^{(b)(3), (b)(6), (b)(7)(c)}, I'm talking about the thermograph slide that shows those historically underfunded for material readiness so that we can do more with training readiness, and aviation readiness, and material readiness. You know, but the good news was every time I went to General Osterman question for additional resources it was the problem. He allocated the problem. I don't recall a frame of time where I go to him and say, hey, boss, I need more funding to keep AAVs at a higher state of readiness.

IO (CW05 ^{(b)(3), (b)(6), (b)(7)(c)}): Sir, you're breaking up a little bit. We got all that. But you're just a --

WIT: Can't hear you, ^{(b)(3), (b)(6), (b)(7)(c)}.

IO (CW05 ^{(b)(3), (b)(6), (b)(7)(c)}): You're breaking up a little.

WIT: I lost you, ^{(b)(3), (b)(6), (b)(7)(c)}. Say again after we got all that. And then I heard nothing.

IO (CW05 ^{(b)(3), (b)(6), (b)(7)(c)}): I was just saying. We got all that you're saying. You were breaking up a little bit. So if you could --

WIT: That's cause it's raining here in Texas.

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): We can hear you pretty good right at this moment so I think hopefully we'll be able to push through this here shortly.

So on that note of your MEUs being the priority, if you wouldn't mind for a second, just describing the process of forming and in compositing the 15th MEU or any MEU, what that process looked like from, you know, the unit level as it flowed up to the MEF in terms of, you know, material readiness, getting briefed up to you at your level. What did that process look like over the period of forming and compositing?

WIT: Yeah. So, you know, as I said, as it's always been the, you know, the MEU composite message goes out. It lists the plan of action, the milestones about a year out, all of the actions that have to happen across each of the warfighting functions. And again, just one point clarification, MEU readiness was not briefed to WOPCASH[sic]. MEU readiness was briefed to the deputy commanding general. He owned MEU generation. And so when we did MEU updates, they went to the deputy CG, not to me. Right. So that was his program. He ran it for the CG.

So, again, it's just this as it's always been, message goes out and says, these are the capabilities that need to be

generated across this timeline. It didn't look very dissimilar to when I was lieutenant. You know, we're talking about a BLT. You're talking about a composite Marine aviation unit. You're talking a CLB, you're talking a headquarters reinforced with some, you know, MIG stuff. And then within that BLT, you know, you've got your artillery, you've got your LAV's, you've got your tracks, you've got your engineers. And then the only discussion that ever took place during the few years that I was there was whether or not they were going to take tanks or not. And if not tanks, why? Then obviously, starting with Fred Fridriksson's MEU there was lots of discussions about, you know, should we be laying in HIMARS for these MEUs.

So, you know, to the question I think you want to get to, how is maintenance material readiness tracked for tracks. Right. So, again, at the E-270 mark and before, during my time, that was General Castellvi's or General Smith's responsibility. They had to, you know, again, make sure that the AAV det that they were sourcing to the next MEU was meeting all of its requirements, that the T&R events were being knocked out, material readiness, the Det was being identified, key leadership, you know, yada, yada, yada.

So that was owned pre chop to the MSC. So the Division

CG owned that process. Again, I can tell you my time as a Division G-4, what we simply did was we took the forming directive from the MEF. We understood with the key dates were. We backward engineered our plan of action on the MEU staff. And typically two weeks before it was due to be briefed on the MEF, we were briefing Division CG. We would go in, it was led by the chief of staff and the G-3 at the Division. We would go in, we would brief the CG. He would then, you know, come up with his approved brief to the MEF deputy CG. And then, like I said, typically two weeks after that, we would be in front of the MEF CG or the DCG saying here's data readiness for the next units up.

Again, that was discussed at the O&I brief. That was discussed during DRRS. That was discussed during the MEU forming briefs. And again, I don't have the exact dates that every time there was a brief, but I could say, you know, memory serves me correct. Probably every other month there was some kind of a formal brief where we were briefing the DCG on the next MEU's state of readiness. As far as the material readiness piece, you know, the G-4 oversight obviously came in heavy during the LTI process. And that's the truth teller, right.

So if you want to go back and look to see, you know, where those tracks for the 15th MEU were material readiness wise,

I would point you to those LTI that took place between the Division and the MEU. When that occurred, that was the true teller as to what was the true readiness for those tracks. I would tell you that the MEF G-4's responsibility was to make sure that there was additional subject matter experts from the MLG there to help facilitate that LTI. You know, the MEF was there to, you know, to referee, so to speak, because you and I both know that one person's, you know, condition Code A and the guy who's receiving a condition Code charlie. And there's always that argument. It's not as good as you say, so on, and so, forth.

So we were there to be the truth teller from that. But that was, you know, a key moment in the formation of the MEU. Again, I'm speaking directly to the track issue, and so, you know, we were responsible to make sure that the LTI were done. They were done the standard. They were done correctly. But more importantly, we were there to make sure that the equipment that went to the 15th MEU was the most capable, ready, capability available to that particular unit.

Once that MEU was actually formed, they chopped and they started training as MEU. Our responsibility was to make sure that if there were problems with either parts flow or

problems with particular individual items, that we would be tasked to get replacement items, you know, from the MSC. And that was for any TAM you name it. If they were having a problem with a particular item, it was our responsibility to go get them a better piece of equipment to replace the one that they were struggling with.

Again, that process is very well spelled out in the LOI and the MEF order on it. And again, we followed that to the letter. And again we briefed the deputy CG on that.

And once they chop then obviously, you know, our role became supervisory at that point in terms of just monitoring the readiness. We didn't -- it wasn't our challenge to keep them ready, but obviously we paid attention to them because we had a vested interest in their success. Obviously we spoke Marine better than the, you know, the ARG spoke Marine and with PHIBRON staff. So we continued to monitor and pay attention to what their readiness was.

Again, during the MEF O&I briefs, you always had an opportunity for MEU commanders to bring back the MEF CG as to where they were at and what they were up to. And then the next time we typically heard a brief about their material readiness was on their, you know, their return home. Typically, there was

a brief visit, the three star board. I forget what the MEF calls it. I think it's in the three star board, but the Navy three star and the MEF CG would get briefs from the, you know, the Navy captain and the Marine colonel as they were coming back about, again, this is what we did on our deployment, these are some of the operational highlights, these are some challenges, this was our material readiness, this is our training readiness as we're coming back, so on, and so, forth.

So that's kind of a very quick down and dirty of how we made sure that, you know, what we sent forward was supposed to be the most ready, capable unit that the MEF could generate.

IO (Co1 ^{(b)(3), (b)(6), (b)(7)(c)}): Okay. Thank you.

IO (CW05 ^{(b)(3), (b)(6), (b)(7)(c)}): Sir, ^{(b)(3), (b)(6), (b)(7)(c)} here. So during the timeframe of the chop -- the composite of 15th MEU, April 2020, units of 3rd Tracks had just returned from Native Fury. We had southwest border operations going on. There are a bunch of things happening and then COVID was really the main effort. Can you talk about concerns from logistics and the compositing informing of the MEU during that specific timeframe with all those things, especially COVID happening and ROM requirements happening and all that?

WIT: I mean, from a material readiness perspective, I'm not

sure that there was an impact, ^{(b)(3), (b)(6), (b)(7)(c)} . Right. Because if we weren't doing a whole lot of training and we were doing some turning of wrenches. I think the question is better asked to the operations side to find out, you know, was there any impact to the Marines ability to knock out their pre deployment training because of COVID and other things. Again, I'm -- nobody came to me and nor do I remember having a conversation with somebody saying, hey, we're in jeopardy of meeting our MEU generation requirements because of, again, COVID, southwest border or, you know, you name it, Native Fury. I'm not recalling any of those issues, ^{(b)(3), (b)(6), (b)(7)(c)} .

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): And so, my last question is simply you described the process for forming and compositing the MEU and the, you know, the activities that the MEF used to sort of monitor and provide oversight through that process. Is there anything that sticks out to you with respect to the 15th MEU specifically?

WIT: Again, the only thing that really sticks out and that made it a memorable, you know, MEU formation was, again, what I talked about before. I think the recorder went on and that was, you know, the desire to start to do proof of concept for, you know, EABO stuff. There was lots of discussions about what to

take, what not to take, to make room for additional capabilities there was discussions about, you know, spending MEF money to go after the latest and greatest communication capabilities, you know, to allow the MEU to compete in some of the other domains. And that's all I'll say about that, because this is an unclass conversation. You know, there was conversations about what did the makeup and composition of the training need to be to get after, you know, the Commandant's demand that we start to do some EABO and AMB stuff.

So that was the only thing that was really unique from my chair about the formation of this MEU. There was a lot of focus on, you know, the Marine Corps' next stuff, that long range fires piece, that persistent stare, that shortening of your kill chain capability, making the MEU, you know, start to adjust a little bit to traditional, you know, BLT capable of going and doing it. You know, it's typical MEU METS to, hey, do we need to maybe make an adjustment to some of our METS and start including some of these things that, you know, smell like EABO, AMB, you know, things like that. That was the only thing that I recall that was unique about this particular MEU formation. Training as it was being discussed and it was being executed, you know, at the MEU headquarters level seemed to be oriented on those

particular tasks.

From my perspective and again, you're going to have to talk with the Ops guys, the 37 guys, because, you know, again, they own this for the DCG. But from my perspective, as I watch the request for ammo, for chow, for fuel, for things like that, it looks like the battalion, the BLT was executing a typical MEU work up as they were executing all of those events that they needed to go through certification. Again, the folks that I would hope and I know you're going to talk to or the, you know, the G-7 guys, because they're the ones that orchestrated all of those MEU specific certification events. And, you know, actually could probably talk if there was any, you know, uniqueness with what the BLT was.

But, again, that's the only thing peculiar that I remember about that MEU generation was there was an awful lot of discussion not to be a distraction. I think it was all within the spirit and intent of where the Commandant wanted us to go with understanding, you know, what can the MEU do to start, you know, validating some of these headquarters Marine Corps level concepts.

So, you know, if you're asking me, did I think anything that they were doing took away from the normal work up and did

anything that they were doing distract them or overwhelm them or make them have to, you know, accept risk in another area. I can't speculate on that. And I wouldn't speculate on that. I could tell you that, you know, it was an exciting time in the MEF.

We were focused on a lot of things that were all, I think, important. But, you know, I would tell you that I've known a lot of CGs in my time. General Osterman was the most laser focused on being brilliant in the basics since a guy named Mattis.

I mean, that man was thinking two or three levels above all of us at all times. You know, he paid attention to, I think, what was most important. And I go back to where I started and that was making sure that the MEU was the most ready, had the best equipment it could have, the most resources, the most opportunities to train. And again, was focused on meeting its combatant command requirements. That, you know, that was that's the only thing I can tell you that I saw with the 15th MEU.

I'm sitting here trying to remember. And again, if I had access to my headquarters Marine Corps computer, I could tell you if there were topical issues that were of concern with the 15th MEU. I don't remember any of them being focused on, again, you know, track readiness, track concerns. Again, it was the typical thing that caused a MEU a challenge. No one can keep

their and MTRV record in a high state of readiness. I mean, that was an issue that we chased all the time. But, you know, again, nothing really jumped out in my mind on 15th MEU formation.

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): Okay. Thank you. That's my last question. I'll ask Chief Warrant Officer 5 ^{(b)(3), (b)(6), (b)(7)(c)} if he has any additional questions.

IO (CW05 ^{(b)(3), (b)(6), (b)(7)(c)}): Yes, sir. Just about the training. So that the next log seminars that were conducted, did the MEF G-4 kind of head those up, was that a MEF internal thing that was provided to all deploying units to include MEUs?

WIT: Yeah. So next log seminars, is something that was, you know, I would say the term we use is it was sponsored by the MEF G-4. And what we did was we went throughout the entire enterprise to get subject matter experts across as many topics that we could facilitate a discussion that they could be confronted with. So, you know, ^{(b)(3), (b)(6), (b)(7)(c)} came down we had the logistic support centers for the Navy type classes. You know, obviously we taught from classes on some particular things. We had best practices, conversations with former MEU staff members. It was a forum designed to, you know, help logisticians not only conceptualize but, you know, practically execute their roles and responsibilities and support of a MEU. You know, I've sat

through, I think, almost the day, full day of that particular seminar, because one of the things that Colonel Bronzi asked me to do was to talk to them about the Pacific theater, because it was the first time that the MEU was going into the Pacific and staying in the Pacific.

So again, what were some of the peculiarities with working with the logistics centers in the Pacific? What was it like working in an AO like that? Staying blue and haze gray and underway. You know, what it was like doing some of the exercises, things like that. What were some of the challenges?

Again, from a logistics perspective, you know, every time I poked my face in to see how it was going, you know, there was Chris Bronzi sitting there with his staff. So he was definitely focused on, you know, logistics. You know, he was paying attention. And I think we talked about the right things in those seminars. I don't think we were off, you know, too far into the theoretical in those, because at the end of the day, you know, we don't have the luxury of a lot of deep, you know, thinking. We are a results oriented, you know, commodity. And if we didn't meet the requirements per the initiating directive, you know, I was standing in front of a three star explaining why a particular capability or commodity was not ready for the MEU.

So, yeah, I mean, next log seminars were good. And it wasn't just, you know, it wasn't just the, you know, the Navy down at the Third Street participated as well. So again, pretty -- I thought to this seminar was actually a pretty good one. You might have a different perspective, ^{(b)(3), (b)(6), (b)(7)(c)}, but I thought that it was actually a pretty good one.

IO (CW05 ^{(b)(3), (b)(6), (b)(7)(c)}): Thank you, sir. That's all I got.

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): That's it. I'm going to turn the microphone off now real quick.

[The Investigative Interview recessed at 1349, 15 April 2021.]

I, Col ^{(b)(3), (b)(6), (b)(7)(c)}, attest that the preceding transcript is a true and accurate verbatim account of the interview of Col ^{(b)(3), (b)(6), (b)(7)(c)} held on 15 April 2021.

(b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c)

Col, USMC

Encl (106) 1st MARDIV DRRS-MC Reports, January-April 2020

The above-referenced enclosure is classified SECRET and is available by contacting Judge Advocate Division.

[The investigative interview commenced on 0812, 16 April 2021.]

[WIT: Col (b)(3), (b)(6), (b)(7)(c)]

[IO: Col (b)(3), (b)(6), (b)(7)(c)]

[CR: GySgt (b)(3), (b)(6), (b)(7)(c)]

IO (Col (b)(3), (b)(6), (b)(7)(c)): Good morning. My name is Colonel (b)(3), (b)(6), (b)(7)(c), and I'm a part of a team reviewing the facts and circumstances surrounding the formation of the 15th MEU and actions and decisions associated with material conditioning, training, and personnel readiness thereof.

This investigation is associated with the assault amphibious vehicle mishap that it occurred off San Clemente Island on 30 July 2020. We are not conducting a second investigation of the incident itself, but rather investigating from an institutional perspective to determine any changes that may be required or any actions that could or should have been implemented prior to the accident.

The Assistant Commandant of the Marine Corps, General Thomas, appointed Lieutenant General Mundy on 2 April '21, to conduct this investigation, which includes among other things, interviewing personnel from different organizations with information relevant to the investigation. And I have the convening document for my assignment to this investigation if

you'd care to review that, your discretion.

The Staff Director of the Marine Corps, Major General Olson, appointed me to the investigating team on 8 April '21, and I am talking to you in my investigatory capacity as a representative of Lieutenant General Mundy and General Thomas. We are required to provide General Thomas with a written report upon the completion of our investigation.

I am talking with you because the investigating team believes you might have information that may be relevant to this investigation. It is important for us to understand. So please inform us of anything you believe should be considered in this review. The topics I will cover with you may include the formation and compositing of the 15th MEU, training and material readiness surrounding the formation and compositing of the 15th MEU, and I MEF oversight of the 15th MEU.

This is an administrative investigation. However, due to the sensitive nature of the ongoing review, we are asking personnel we talk to as a part of this investigation not to share anything we discuss today with any other person.

So before we start, do you have any questions about my role in this investigation?

WIT: I do not, no.

IO (Col (b)(3), (b)(6), (b)(7)(c))): As we get started here, could you state your name, rank, and your current billet.

WIT: Colonel (b)(3), (b)(6), (b)(7)(c) . I'm the 1st Marine Division Assistant Chief of Staff, G-4.

IO (Col (b)(3), (b)(6), (b)(7)(c))): And what was your billet on 30 July 2020?

WIT: Same. 1st MarDiv, G-4.

IO (Col (b)(3), (b)(6), (b)(7)(c))): Okay. Thank you. So we'll start with a very broad question: Can you describe what the command environment was and what you were experiencing on or before the time of the mishap on 30 July 2020 and, specifically, what was the MEF command climate?

And I'm going to go down the road of material readiness with a focus on material readiness. But overall, what was the command climate in the MEF, as it related to the Division at the time on material readiness?

WIT: On material readiness, it was good. And I've got some of our Division material readiness briefs from January of '20 to June or July of '20 to reference. But our material readiness was good, specifically for AAVs. I looked back and they are in the high 70s, low 80s for material readiness during that timeframe. So no significant issues, no red flags or anything out of the ordinary. Material readiness for Delta TAMCN, Humvee's is

usually relatively low compared to the others, just because they are older vehicles and harder to get parts and everything.

But overall, material readiness, at least within Division, was good at the time. I'm not sure if I remember seeing any stats across the rest of the MEF with the other MSCs on how things were going, but within Division, pretty good material readiness.

IO (Col ^{(b)(3), (b)(6), (b)(7)}_(c)) : Okay. Thank you. What was the formal process or the process with respect to your relationship with the MEU G-4, in terms of routine reporting or at least routine interaction briefs, something of that manner?

WIT: Frankly, not much at all between the Division G-4 and the MEU S-4 for any of the MEUs. Now, I do know the 11th MEU S-4 -- just from previous interactions -- his wife served with me several years ago, so I know him through that. And so I've maintained comms with him.

But for 15th MEU or 13th MEU S-4 shops, at my level, at the G-4 as AC/S, I don't have a lot of interaction with them. Now, I know some of my folks do, whether it's supply or material readiness or the ordnance section within the G-4. But as far as myself with the MEU S-4s, there's not a lot of interaction because I know they do a lot more interaction with the MEF G-4

shop on a regular basis.

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): Okay.

WIT: So our interaction at the Division level is more with the regiments that would be sourcing the BLT and then with that BLT staff primarily, not so much with the MEU S-4 staff.

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): Okay. So that's a good, dovetailing question, which is: Describe what the Division's responsibility is in the forming and compositing portion of getting A MEU ready; what does that interaction look like as you're preparing to form the BLT and hand it over to the MEU?

WIT: So a lot of that is ensuring that the battalion, the core infantry battalion has done its SLTE, service level training exercise, and a MCCREE, making sure that they're tracking their material readiness, tracking their issues that they may have before chopping to the MEU, before even forming as a BLT.

I think there's always a concern for our battalions that will go out to 31st MEU to have a boat company. And so the boat training down at EWTG-PAC, the training is always a billeting concern down there. So that's always an issue. And I know with 1/4, for 15th MEU, finding billeting for them down in San Diego was an issue. And we found a new solution by being able to use MCRD San Diego and some of the empty squad bays in

the arcade area there to house them, as opposed being able house them on Coronado or on the ship. So that's been a point of issue everyone swallows. How do we house the boat company and those Marines down in San Diego for that portion. Again, making sure that the battalion's material readiness is solid, making sure they've got support from MLG with maintenance support teams, again, primarily for their Delta TAMCN, for their Humvees.

1/4 was our first infantry battalion to receive JLTVs, and so they were off-ramping their Humvees and fielding their JLTVs. So over time, their Delta TAMCN rate has actually picked up pretty well because they were getting rid of the old stuff and bringing the new stuff on. The javelins for the command launch units, there's not a good long-term depo-level maintenance solution for those, so making sure that our battalions have sufficient operational clues. So those are for the battalion itself. Those are some of our concerns.

And then relying on the sourcing units, whether it's 11th Marines, Recon Battalion, 3rd Tracks, 1st LAR to ensure that they've got, whether it's a battery or platoon or company of LAVs the company from recon. I won't say they're on their own, but from the Division 4 shop, there's not a lot of oversight or micromanagement of how is that platoon coming along or how is

that battery coming along. Because I think within those battalions within those entities, they can move assets around it to source a battery or source a platoon or source a company out with the MEU and everything.

And then I do remember we had a D-270 brief from Victor 1/4. That was 4 February and no issues raised. Now, that was pre-chop. And they actually formed as a BLT and chopped on 20 April '20, so it was the same day. So I know they had been doing some coordination and work with their attachments, but nothing had been formalized yet, like, composite 30 days prior to chopping to the MEU.

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): Do you think that would be beneficial?

WIT: I do. I remember seeing that on the East Coast. I did two MEU floats on the East Coast as a MEU 4 Alpha, then as a CLB CO. And I do remember 2nd Marine Division -- at least back when I was a MEU 4 Alpha -- I remember at E-210, so seven months prior to deployment, 2nd Marine Division compositing the BLT. And so they would have about 30 days to work together and build those relationships before then chopping to the MEU at E-180.

And then at the MEU level, that's when you do the SLAP, the Supply Logistics Analysis Program, you do all the JLTIs, the SLE inventories, everything across the entire MEU.

So I was looking back at dates. I don't think we did that for 1/4. I think we have for 1/1 who's out with 11th MEU right now doing their PTP. We had a chop-30 brief. So the battalion commander for 1/1 talked about their preparedness, their MCCREE plan, all that stuff. And then the sourcing unit COs or XOs were in the room there with the CG and the staff "we're providing this battery from 1/1. We're providing this company from the 1st LAR. We're this platoon from 1st CEB," and walking through their stats with manning, training and equipping. And so I don't remember doing that for 1/4. I think that would be beneficial, yes.

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): And it may have been challenging to do that with 1/4, given the op tempo at the time. What we're discovering is the role that those units played in Native Fury, the border mission, that they seem to be sort of disparate at times. It may have been difficult. I'm curious what your opinion would be.

WIT: That's good point. So a few things that I wrote down from yesterday, going back through old emails to try and jog my memory. So 1/4, they come off the border. They had done the Southwest Border Mission. Early on in COVID, they were tasked to provide a security platoon for the USNS Mercy. I mean, it's just

a platoon but still going through the machinations of making sure what's ROE. They're going to be out on the port there up in Los Angeles. They're not going to be on ship. They're not going to be doing COVID screening. It seemed like it was all COVID all the time back then from February through late April, early May at least.

And so 1/4 had been the ABTF, the alert battalion task force, from 1 January through 31 March. So right before they chopped, they'd been our alert battalion task force. So that's why they got the call to provide that security platoon up at USNS Mercy. Like you said, they had come off the border shortly prior to that I think. And then you just got the normal PTP cycle. When they did their D-270 brief, they were actually up at Karcsi doing their MCCREE. They were the ADFOR for that ITX, the adversary force for ITX 2-20. So that was their SLTE MCCREE event up there. So they were dialing in to us.

We had a LRE, a logistics readiness evaluation of the battalion from 6 to 10 April. We had, again, under the auspices of COVID, there had been a concern of doing something like that because with an LRE, much like a FASMO, you're going to be in close contact with Marines and inspecting records and doing inventories and things like that.

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): And that LRE was on 1/4.

WIT: Is on 1/4, right. Not on the attachments, just on 1/4. So it had been scheduled for a while. But with COVID, this is all during the time of stop-move, no travel, no PCS, no TAD, stuff like that. So a lot of things were being shut down. And so we were going to shift the entire LRE schedule to the right six weeks just to give us time to get out of COVID or figure this out, what's the best way forward.

And the first unit that was going to be affected by that was 1/4. And so we're communicating with the regiment and with the battalion and with the MEU. The MEU expressed its desire to get that LRE done prior to them chopping. Because if we had waited to do that LRE later, it would have been post-chop. They would have been in the PTP with the MEU. So we went ahead and knocked out their LRE 6 to 10 April and they had a LRE assist visit back in October. So that was six months later, so it was he's going back in to see if they corrected any deficiencies that the battalion had before, a lot of that stuff going on in the early April timeframe.

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): Okay. Thank you. How did COVID during that period impact the unit's ability to conduct maintenance or just its overall impact on material readiness?

WIT: I don't think COVID really impacted that too much. Now, across Division, I didn't see details of 1/4. But across Division, there was a slight pause in training, just, again, because we weren't sure what we were allowed to do, what we weren't allowed to do, that type of thing. So there was a slight pause in training, which gave units time to conduct maintenance, right. We would say, "if you're not training, you should be maintaining," so at least get some maintenance done on their assets and everything. And so units were doing a lot more of that than being able to get out the field.

As far as the impacts of COVID on that, I think that because they weren't able to train as much, they were able to get some maintenance done across Division. General impacts of COVID to the Division staff and across Division, during that timeframe, we've got the spring GFM rotation. So we had 2/7 coming back from special purpose MAGTF CENTCOM. We had 1/25, a reserve battalion, come back from UDP at Okinawa. We had 3/7 getting ready to go to MRF-D in Australia. And we had a unit rotation for 31st MEU. And so about three or four sizable GFM rotations at that time. And on top of that, we had Native Fury being executed and then redeploying as well.

Normally, no issue. But with COVID, we were under the

OSD policy or mandate to ROM, restriction of movement, everyone coming back from overseas. And there was a lot of frustration and consternation at the time because the way the policy was written was one service member per room. So, as you know, a lot of barracks here, that's not supportive, right.

And so we were tracking, almost daily, the barracks occupancy rates across Division. I know MCI-West was, across the entire base, of where there were some open barracks rooms, squad base, things like that and where we were going to put these Marines once they come back from deployment or Native Fury. And so that took on a life of its own, it seemed like at times, because there was daily COVID cubs. The MEF would have their COVID cub three times a week, Monday, Wednesday, Friday; then Division would have ours on Tuesdays and Thursday. So essentially there was a daily COVID cub that was driving a lot of stuff.

And so how that impacted maintenance down at the battalion level, which was probably transparent to them because that's all staffs right at the MEF level and Division and MSC level. But some of our big concern in the Division G-4 at the time was recovering those Marines who were deploying. And then there was a delay on when 3/7 can get out the door and go to

Australia because Australia was going to be pretty strict on their ROM requirements. And so a throughput of having enough barracks facilities for Marines to ROM in Australia really put a crimp on the force flow and everything. So that was our big concern in the G-4 at the time was recovering our deploying units and pushing our other deploying units out.

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): So is it safe to say that the impact of COVID had an impact on the staff's ability to focus on other activities, such as the forming of the BLT where, under normal conditions, the focus would have been on those major op tempo events, priorities many times given to the MEU. So it sounds to me like COVID may have had an impact on just how much bandwidth the staff had to --

WIT: It did. But I don't want to use COVID as an excuse, right. I mean, for the Division staff, for a point in time, we did port and starboard, so essentially split our shops in half. Half would telework for a week and the other half would be in the shop, and then swap that out for the next so week.

So we still had connectivity and everything, but there probably was a slight degradation in our bandwidth when you got half your folks teleworking, instead of being the office or being able to go out and inspect units and things like that. Again, we

were shifting our LRE inspections to the right by six weeks. And what we like to say in Division is: The LRE is the quiz to the FSMAO tests. We want to make the quiz harder than the test.

And that's one of our major touch points, checking on units with their material readiness, supply readiness, and how are they doing. And that gives the staff and the CG a good touch point with data of where our units are. So shifting that to the right by six weeks just delays who we can look at and how they're doing and potentially implement corrective actions if they're having issues.

IO (Col ^{(b)(3), (b)(6), (b)}_{(7)(c)}): So I'm going to dovetail on that for just a second. So when a unit doesn't perform well on a LRE, they obviously will generate a corrective action plan, right, and submit that to the Division.

WIT: Correct.

IO (Col ^{(b)(3), (b)(6), (b)}_{(7)(c)}): And then what's the follow up to that? I mean, what is the leadership role in maintaining awareness of the execution of that corrective action plan as you go into the FSMAO.

WIT: So what we'll do, from the G-4 perspective, is we'll continue to provide training and oversight that, kneecap-to-kneecap training Because our LRE inspectors are

anywhere from staff sergeants to master gunnys, so similar to FSMAO. We've got some pretty experienced folks to be able to sit down with those young PFCs, lance corporal, corporals in a supply shop or in a maintenance bay. And so we'll continue to provide oversight and continuing education when we can, because the LRE team is on the road quite a bit.

But there's weeks in their schedule that we can fit in if they're the 5th Marines or going back up to Twentynine Palms, the CLAR or one of the 7th Marines battalions to sit down and do some additional training. And that training doesn't require the whole team, right. If the battalion or the unit had a problem in COMMELECH maintenance, it's just the COMMELECH maintenance guys going. It's not of all the supply and maintenance management folks going.

So we'll do that at the staff NCO, junior officer level. And then our material readiness officer will maintain communication with the battalion XO primarily, "how's it going," or, "are you hitting your wicket's?" Because the XO should be driving that the internal inspection program and everything. So keeping up with the XO to make sure they're doing what they're supposed to be doing.

And then it depends on the timing of their next FSMAO.

If their next FASMO isn't always for a while, maybe about six months after that LRE where they may have had some problems, we'll go back in and do an LRE assist visit and just check those areas specifically that they had problems and see how their doing. A lot of them, for the infantry battalions, we time them. If they're not going to get a FSMAO before they deploy or before they turn their account over to another infantry battalion, we'll time an LRE sometime right before their deployments, so we have a good snapshot of the health of that account because it's not necessarily on that battalion because our infantry battalion accounts rotate around. So it's getting a snapshot of the health of that specific account before it gets turned over from one infantry battalion to another.

So that's what we do from the G-4, keeping up with where that battalion may have had some issues in their previous LRE. And there's times that we know certain areas are going to be a problem before going into FSMAO, and it's known. And sometimes it may have to be a personnel change with someone in the supply section or maintenance management, Motor T maintenance that type of thing. It may be something to where we've dug into it as much as we can, and it gets back to certain folks in the battalion in key positions supply chief billets, supply officer

billet, Motor T chief, Motor T officer, something like that.

IO (Col ^{(b)(3), (b)(6), (b)}_{(7)(c)}): So on that note, if a unit doesn't perform well in FSMAO, how would you describe the climate of accountability within the Division?

WIT: So we only had one unit in FY19 not do well in FSMAO, and then they didn't do well on their LRE in '20. So usually that's what it is: If you get FSMAO'd in one year, you'll get LRE'd the next year to offset, right. So they didn't do well on their FSMAO in '19 and then the same unit had problems with their LRE in '20. And that LRE was pretty close to the change of command timeframe. In fact, the LRE out brief for that unit with the CG was either the day of or the day before the Certificate of Relief brief between the outgoing commander and the incoming commander with the CG.

And so I couldn't tell you what was written on a Fitrep. I mean, that outgoing battalion commander wasn't relieved, but I can't tell you what was written on the Fitrep between his RS and RO. But I mean I was very pleasantly surprised when I checked in the summer of '19 and we had 13 FSMAOs in FY19 and, 12 of them, no issues. They had minor issues to correct and do a corrective action plan, which goes up to Headquarters Marine Corps I&L, but only one unit that did poorly

on their FSMAO in that FY. So we went 12 for 13; that's pretty good for Division I think, with op tempo and everything.

IO (Col (b)(3), (b)(6), (b)(7)(c)): So in the command investigation that was done on the sinking, there was strong indications that the material readiness of the AAVs that were being assigned to the MEU or the BLT were not satisfactory, would not come close meeting the expectations of the type of equipment we would turn over to a BLT. How aware was the Division or G-4 of any issues of the condition of those vehicles during that forming and compositing?

WIT: I wasn't aware of the material readiness of that platoon that chopped to 1/4. I went back and looked at our material readiness briefs from January through June of 2020. And so at the Division level, we're looking at the macro numbers, right, the entire tank battalion or the entire AA battalion or both LAR battalions. So looking at the macro numbers, the material readiness of the AAV P7s was in the mid to upper 70s to low 80s during that six month period, so across our entire fleet of AAVs.

And I haven't seen the JLTIs and we didn't supervise the JLTIs. That was done by a MEF and MEU team. And this goes back to the discussion earlier about the BLT forming at the same

time they're chopping to the MEU which, hindsight, that doesn't make sense. We probably should give the BLT some time to composite as a BLT, work through all their maintenance and SL3 issues, build those relationships, start some training before they chop to the MEU.

That would force the Division and the sourcing regiment of the infantry battalion to provide a level of oversight to look at the battery that's being chopped or the AA platoon that's being chopped or the LAR company that's being chopped to that infantry battalion. And so if there were any issues with that platoon that was chopping to the MEU, it wasn't raised to my level. And I'm not sure if it is raised at the division ordnance officer level. Our division ordnance shop is a LDO major. He's got a master gunny, he's got a chief warrant officer 4, he's got a couple of other staff NCOs in there that to do LRE inspections. I would have to ask them.

But I mean, since the mishap occurred, no one's come to me and said -- anecdotally or anything, there was never anything brought to our attention. So I think we would have to dig down in the ordnance community, maybe down to the battalion maintenance officer level, the BMO, level like, "What was going on with that platoon or what was the material readiness of that

platoon?" So no issues that were brought up. So units provided monthly SitReps to the CG, and I went back and looked at the SitRep right before the BLT formed, the SitRep from Colonel Kevin Clark who was the CO of 1st Marines at the time. And he summarized each battalion with what they're doing and what what not.

And this was the SitRep right before 1/4 chopped to the MEU and there was nothing in there, no concerns, no issues. Talking about 1/4 being ready to chop, they're going through their EWTG-PAC boat raid package. Talked about their security platoon up with the USS *Mercy* and it was going to RIP out with a platoon from 1/7. So nothing raised from the regimental commander that provided oversight to that infantry battalion that was chopping.

And then going back and looking at the last SitRep from the 3rd Tracks Battalion Commander, Keith Brenize, nothing in there. I remember it saying the platoon that's with H&S Company was getting ready to chop to 1/4 and 15th MEU. So nothing in those two SitReps right before the chop date of raising any concerns or issues or worries or something like that with regards to material readiness.

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): Did the Division staff or you have a

relationship with the MEU staff, the MEU S-4?

WIT: No. I didn't. I know some of my folks would, whether it's a supply officer or our EMO -- some basic touch points with them, but not any regular interaction. Because they're part of the MEF, they report to the MEF directly. And I mean, I've reached out over time just to ask them, "How is the BLT 4 doing? How is the BLT 4 shop doing," as they go through workups and things like that. Never any issues raised or anything like that or, "This person is doing horrible or something like that."

I know some folks on my staff have done some basic interaction with them, but not a lot of interaction that I can say from 4 shop. I'm not sure about the 3 shop or the 2 shop or 1 shop. I mean, there's always the interaction with manning, right. So from the G-1 and the S-1 and the Division G-1, I think working with them MEF G-1, making sure that the numbers and our manning levels are good before they chopped to the MEU things like that.

From the 3 shop side, the training, making sure that whatever training the MEU wants to do, whether it's the standard to EWTG, EOTG type stuff or any additional EAB-type mission sets that the BLT is prepared for that or may take that into account during their MCCREE and their SLTE. There's not a lot of formal

interaction between the Division G-4, myself, and the MEU S-4s. My interaction is more with the MEF G-4 and then our subordinate regiments and separate battalions.

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): Is there anything that you could share with me that you think would be relevant to the effort that we've been charged to undergo, that you think might be helpful or relevant?

WIT: I wrote down some stuff, just the atmospherics at the time across the MEF:

Again, daily COVID CUBs, whether it's at the MEF level or Division level;

We're recovering 125 from UDP and trying to figure out where to put them in ROM, and then send them back to their home training center, their HGC;

Recovering Native Fury forces and then where we're going to ROM them from the UAE, and that's kind of on the tail of the Soleimani strike in January and very high tensions between the U.S. and Iran.

I remember before 1st Marines and 1/1 went to the UAE, during their confirmation brief for Native Fury, it was like, "You may be our lead element as an O-6 level command and Division staff maybe falling in on you in a month or so here if things go

bad." We had dusted off the planning, the 1000 series plan for what's Division's role in that. And it mirrored the upcoming MEFEX closely. So that's in the back of our minds, prepping and planning for MEFEX, which ultimately got canceled, primarily due to COVID. But that was going on at the time.

Again, recovering 2/7 from special purpose MAGTF and CENTCOM. We had multiple account turnovers between our infantry battalions that we were supervising going between regiments. This is the timeframe when people are starting to get orders, yet there's a stop-move policy in place, so we were trying to work through nuanced ETPs, exception to the policy for key personnel to PCS that summer.

So all that was kind of going on. And again, I don't want to use COVID as an excuse for battalions not doing maintenance, and I don't think that was that. But that COVID stuff sucked up a lot of bandwidth, not the entire staff but certain elements of the staff within the Division headquarters.

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): Well, given that there's literally three CUB's a week and two Division CUBs, it appears that it took on the highest priority or at least right up there on how to manage that so. I don't want to put words in your mouth, but from what I think I'm hearing is, given the level of involvement in these

CUBs and the challenges that were associated with managing COVID, it seems like it was a priority, understandably, in many ways. That key staff certainly would have been engaged heavily in the management of COVID. Okay.

WIT: Yes. From our part in the G-4, we were tracking the movements of the units and then also our billeting capacity across all of Pendleton, across all the camps that we own from San Mateo down to Flores. And so figuring out where we're going to put Marines, and then also trying to work with the MEF and others to get some sort of exception to the very strict interpretation of the OSD policy at the time.

I mean, working through COAs of putting them in the PVEC, putting them on TAD orders. And our G-8 was looking at options of putting people out in town at the hotels, put these kids on DTS orders and put them out of town, putting them up at Camp Talega in the old facilities up there. We started talking about that, and someone brings up, "Well, that's going to be a COVID petri dish," because it's all open squad bays and stuff. So a lot of bandwidth on barracks occupancy and stuff like that.

IO (Col ^{(b)(3), (b)(6), (b)(7)(c)}): Okay. Well, that's the only questions I have. If you don't have anything for me, I'm going to read one final statement and we will close the interview.

WIT: I can't remember 1/4 chopped early due to Navy ROM requirements. And we look back now and the term bubble-to-bubble is kind of accepted, but at the time it was a new thing. And so this is pre-Teddy Roosevelt to Guam and everything, right. This is March, April timeframe. But I can't remember if the BLT chopped early to the MEU because there was an expectation that they would have to conduct pre-deployment ROM, either here on Pendleton or somewhere down on San Diego, before they got on their ships, even for their first at-sea period.

Because we had seen something similar with one of the squadrons over in the wing that was going to get on of the carriers and they had to ROM the entire squadron, CO on down in, on the government property for either 14 or 21 days before the Navy -- and I can't remember if or PAC fleet or Third Fleet -- before they're going to allow them to get on the ship. And so I think that was something stirring around, like, how are we going to get everything done for 1/4 for their PTP, ROM them properly before they get on the ship for their first at-sea period, PMINT and things like that.

So that was in the mix as well, how are we going to get all their training done and still give them time to ROM properly without busting a bubble or something like that with the Navy.

IO (Col (b)(3), (b)(6), (b)(7)(c)): Okay. All right. Well, you are directed not to discuss the interview or anything that was discussed during the interview with anyone other than the members of the investigation team. If you're asked about the investigation, do not answer any questions and immediately notify me, the investigating officer, or your commanding officer.

[The investigative interview closed at 0853, 16 April 2021.]

I, Colonel (b)(3), (b)(6), (b)(7)(c) , attest that the preceding transcript is a true and accurate verbatim account of the interview of Colonel (b)(3), (b)(6), (b)(7)(c) held on 16 April 2021.

(b)(3), (b)(6), (b)(7)(c)

Col, USMC

of Marines to support the Drivers Pool requirement for Native Fury.

Current AAV Readiness: P7 73.65%; C7 75.00%; R7 100.00%
Overall Bn Readiness 79.77%

Special Mission Kits:

NOTM C7 100% 4/4

POP 100% 2/2

Mk 154 MOD-1 100% 4 kits mounted in ADL, 4 kits in MCM and 4 kits in cans. (total of 12)

The largest negative contributors to our Vehicle Readiness (AAV):

5 - Vehicle Electrical Issues

6 - Engine issue

3 - UGWS Issues

1 - HSU

1 - UPS

1 - Transmission Issue

3 - Thermal Elbows

1 - Starter

Current 7800i intercom upgrade status:

- Total to be installed this year: 64

- Completed: 53 P7's / 2 R7's

ADL:

- 53 Vehicles inducted into the ADL Program.

Below is the current RCCA status:

Current RCCA Total: 49

P7 - 45, C7 - 3, R7 - 1

ADL : P7 - 6 , C7 - 1

H&S: P7 - 5, C7 - 1, R7 - 1

Co B: P7 - 14

Co C: P7 - 17

Co D: C7 - 1

11th MEU: P7 - 3

FY 20 Retention:

FTAP Pending: 2 STAP Pending: 6

FTAP Approved: 0 STAP Approved: 0

FTAP Executed: 49 STAP Executed: 27

FTAP Goal: 56 STAP Goal: 28

Executed: 87% Executed: 96%

Legal:

Co NJP: 0

Bn NJP: 1

CG NJP: 0

Courts Martial: 0

AdSep board: 0

Commander's Comments:

Company Operations:

- 1stLt (b)(3), (b)(6), (b)(7)(c) and H&S Company have been focused on maintenance of their organic equipment and vehicles, as well as preparing their Marines to support Native Fury.

- Capt (b)(3), (b)(6), (b)(7)(c) and Company A remain focused on Iron Fist 20. They supported an AAV Ramp tour for the JGSDF AAV Bn Commander and his staff on 22 January. The Company's reorganization efforts have continued and the AAV readiness numbers are expected to increase with personnel assignments.

- Capt (b)(3), (b)(6), (b)(7)(c) and Company B are deployed to Okinawa for UDP 20.1. A majority of the Company is in support of Northern Viper 20 in Hokkaido, Japan.

- Capt (b)(3), (b)(6), (b)(7)(c) and Company C are currently in 29 Palms in support of ITX and AFX 2-20. The Company's 31st MEU Platoon recently completed a V24 mechanized integration event, followed by the USS Comstock SWATT. The platoon's next major event is the EOTG Raid package coming up next week.

- Maj (b)(3), (b)(6), (b)(7)(c) and Company D have not only completed basic ACV driver's training, but have also conducted ACV RWS training on range 110 at MCAGCC, 29 Palms. The company is also supporting the MPF Offload for Native Fury.

Battalion Initiatives:

Personnel:

- 1stSgt (b)(3), (b)(6), (b)(7)(c) has checked in as the Company A 1stSgt. He comes from MCAS Miramar PMO. The Battalion is conducting a retirement ceremony for CWO4 (b)(3), (b)(6), (b)(7)(c) to take place tomorrow at the 21 Area Parade deck. Capt (b)(3), (b)(6), (b)(7)(c) will be deploying this weekend on an IA to the CJTF-OIR, in Kuwait. Finally Sir, Maj (b)(3), (b)(6), (b)(7)(c), the Battalion Operations Officer, checked out of the Battalion/Division last week and checked into I MEF to fill the billet of TF Anbar Commander.

Retention:

- Retention numbers are looking extremely well and we hope to continue to conduct interviews, advertise reenlistment incentives, and look at other reenlistment initiatives/opportunities.

ACV:

- No changes to the current ACV fielding plan to Company D in 29 Palms. D1 is currently built out to be the ACV platoon and continues to train with the 8 ACVs on their ramp. The first MCBUL 5400 POA&M update was sent to I MEF this week documenting the current status of the re-designation of AAV Company D, 3D AABN, to ACV Company D, 3D AABN. We remain on schedule to meet the re-designation date and IOC Date. Next week I will take some of the Company D Marines out to see AVTB conduct ship operations with the LRIP ACV. IOT&E is tentatively scheduled to begin in the 4th Qtr FY20.

Facilities:

- Preparations for P-1901, the new AAV and ACV Maintenance and Warehouse Facility, are under way. With the plans approved we expect to see demolition efforts begin the first week of February.

Previous 21 Days:

Battalion:

2 - 20 Dec - Steel Knight 20
19 Dec - Holiday Party
10 - 17 Jan - Back-In-The-Saddle Training

H&S Company:

2 - 20 Dec - Steel Knight 20

Company C:

2 - 20 Dec - Steel Knight 20
13 - 17 Jan - V24 Mech Integration
18 - 21 Jan - USS Comstock SWATT

Company D:

9 - 19 Dec - NETT ACV Familiarization and Driving training
17 Jan - HQ Plt 3 Mile Hike
21 - 23 Jan - ACV Gunnery R110

Significant Events <30 Days:

Battalion:

H&S Company:

16 Jan - NF20 PTP
30 Jan - 11th MEU Plt CHOP back to Battalion
12 - 16 Feb R222

Company A:

17 Jan - NF20 PTP
17 Jan - 13 Feb - Iron Fist 20

Company C:

15 Jan - 22 Feb - SLTE 2-20 / DFGT VI R109 (2d Plt, 3d Plt)
27 - 31 Jan - EOTG Mech Raid Package ISO V24 (1st Plt)

Company D:

17 Jan - NF20 PTP
1 - 15 Feb - R500 (ACV Plt)

Significant Events >30 Days

H&S Company:

3 Mar - 12 Apr - Native Fury 20 (15th MEU Plt)
11 - 13 Mar - R408 MCLC Shoot(MCMPlt)

Company A:

13 - 14 Feb - Platoon FEX (HQ/2d Plt)
9 - 21 Mar - DFGT VI at R222
25 Feb - 11May - SLTE 3-20

Company C:

16 Feb - 6 Mar - DFGT IX-XII at 29 Palms (All Platoons)

Company D:

23 March - R110 (D2ndPlt)

30 March - R110 (D3rdPlt)

Pending your questions and/or guidance General.

v/r,

LtCol Keith Brenize

Commanding Officer

3rd Assault Amphibian Battalion

1st Marine Division

Box 555574

Camp Pendleton, CA 92055-5547

Comm: (b)(3), (b)(6), (b)(7)(c)

BB: (b)(3), (b)(6), (b)(7)(c)

NIPR: (b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c) **Sgt**

From: Castellvi MajGen Robert F
Sent: Sunday, February 9, 2020 11:59 PM
To: Brenize LtCol Keith C
Cc: 1MARDIV_SSEC_PRINCIPAL_STAFF; 1MARDIV_SSEC_SPECIAL_STAFF; (b)(3), (b)(6), (b)(7)(c) SgtMaj
(b)(3), (b)(6), (b)(7)(c) Maj; (b)(3), (b)(6), (b)(7)(c) 1stSgt; (b)(3), (b)(6), (b)(7)(c) MSgt Paul L;
(b)(3), (b)(6), (b)(7)(c) Capt; (b)(3), (b)(6), (b)(7)(c) 1stSgt; (b)(3), (b)(6), (b)(7)(c) MSgt; (b)(3), (b)(6), (b)(7)(c) Capt
(b)(3), (b)(6), (b)(7)(c) MSgt; (b)(3), (b)(6), (b)(7)(c) Capt; (b)(3), (b)(6), (b)(7)(c) 1stSgt; (b)(3), (b)(6), (b)(7)(c) MSgt
(b)(3), (b)(6), (b)(7)(c) MSgt; (b)(3), (b)(6), (b)(7)(c) Capt; (b)(3), (b)(6), (b)(7)(c) 1stSgt; (b)(3), (b)(6), (b)(7)(c) MSgt
(b)(3), (b)(6), (b)(7)(c) MSgt; (b)(3), (b)(6), (b)(7)(c) 1stLt; (b)(3), (b)(6), (b)(7)(c) SSgt; (b)(3), (b)(6), (b)(7)(c) 1stLt
(b)(3), (b)(6), (b)(7)(c) MGySgt; (b)(3), (b)(6), (b)(7)(c) MSgt; (b)(3), (b)(6), (b)(7)(c) MSgt; (b)(3), (b)(6), (b)(7)(c) MSgt
(b)(3), (b)(6), (b)(7)(c) Maj; (b)(3), (b)(6), (b)(7)(c) MGySgt; (b)(3), (b)(6), (b)(7)(c) CWO3; (b)(3), (b)(6), (b)(7)(c) MGySgt
(b)(3), (b)(6), (b)(7)(c) Capt; (b)(3), (b)(6), (b)(7)(c) MSgt Roy; (b)(3), (b)(6), (b)(7)(c) Capt
Subject: RE: 3D AABN SITREP 24 JANUARY – 6 FEBRUARY 2020

Keith,
Excellent update across the battalion. No concerns. You are juggling support to ITX, Iron Fist, and Native Fury, while maintaining D Co's focus where it needs to be, on ACV transition, and credit goes to you and your staff for keeping the appropriate level of attention at the appropriate time. Good to have your platoon back from BLT 3/5. Glad we're foreseeing no obstacles with moving ahead on P-1901 and the new AAV and ACV Maintenance and Warehouse Facility.

VR, Cas

MajGen RF Castellvi, USMC
Commanding General 1st MarDiv
Wk: (b)(3), (b)(6), (b)(7)(c)
Cell: (b)(3), (b)(6), (b)(7)(c)

-----Original Message-----

From: Brenize LtCol Keith C
Sent: Thursday, February 6, 2020 5:21 PM
Subject: 3D AABN SITREP 24 JANUARY – 6 FEBRUARY 2020

Good evening General,

Operational Highlights:

- H&S Company is currently preparing the 15th MEU Platoon for Native Fury 20. The company is also sending a detachment of Marines to support OPP for Native Fury PTP requirements.
- Company A has a platoon executing Iron Fist 20 and will be sending a detachment to support AAOE requirements for Native Fury 20.
- Company C has two platoons in 29 Palms for SLTE 2-20 this week while it's 31st MEU plt has finished the EOTG Raids package and is preparing for a movement out to 29 Palms.
- Company D's primary focus continues to be ACV transition including ACV gunnery at Range 500 in 29 Palms. The company is also preparing a detachment of Marines to support the Drivers Pool requirement for Native Fury 20.

Current AAV Readiness: P7 84.25%; C7 75.00%; R7 100.00% Overall Bn Readiness 84.39%

Special Mission Kits:

NOTM C7 100% 4/4
POP 100% 2/2
Mk 154 MOD-1 100% 4 kits mounted in ADL, 4 kits in MCM and 4 kits in cans.
(total of 12)

The largest negative contributors to our Vehicle Readiness (AAV):

5- Vehicle Electrical Issues
2- Engine issue
3- UGWS Issues
1-UPS
4-Thermal Elbows
1-Starter

Current 7800i intercom upgrade status:

- Total to be installed this year: 64
- Completed: 53 P7's / 2 R7's

ADL:

- 53 Vehicles inducted into the ADL Program.

Below is the current RCCA status:

Current RCCA Total: 50

P7 - 43, C7 - 6, R7 - 1

ADL : P7 - 6 , C7 - 2

H&S: P7 - 3, C7 - 1, R7 - 1

Co B: P7 - 14, C7 - 1

Co C: P7 - 17

Co D: C7 - 1

11th MEU: P7 - 3, C7 - 1

FY 20 Retention:

FTAP Pending: 1	STAP Pending: 7
FTAP Approved: 0	STAP Approved: 0
FTAP Executed: 49	STAP Executed: 27
FTAP Goal: 56	STAP Goal: 28
Executed: 87%	Executed: 96%

Legal:

Co NJP: 0

Bn NJP: 1

CG NJP: 0

Courts Martial: 0

AdSep board: 0

Commander's Comments:

Sir, today we gave a brief and held a RAMP and maintenance facility tour for MG Idogawa, Deputy Director-General, Operations Department (J-3), JGSDF and his staff. We covered the main topics in the attached brief, as well as had

discussions on our RAMP layout, current vehicle, and Maintenance Bay capabilities. He was very appreciative of the information provided and happy with the tour. His team was interested in the ACV and the projected timeline for fielding. MG Idogawa and his staff went on to AVTB to see the ACV after his visit with us.

Company Operations:

- 1stLt^{(b)(3), (b)(6), (b)(7)(c)} and H&S Company have been focused on maintenance of their organic equipment and vehicles, as well as preparing their Marines to support Native Fury 20. The company is also supporting the NOTM upgrades this week.

- Capt^{(b)(3), (b)(6), (b)(7)(c)} and Company A remain focused on Iron Fist 20. They supported an AAV Ramp tour for the JGSDF today. The company's reorganization efforts have continued and they will receive 22 new marines tomorrow.

- Capt^{(b)(3), (b)(6), (b)(7)(c)} and Company B are deployed to Okinawa for UDP 20.1. A majority of the company is in support of Northern Viper 20 in Hokkaido, Japan.

- Capt^{(b)(3), (b)(6), (b)(7)(c)} and Company C are currently in 29 Palms in support of ITX and AFX 2-20. The Company's 31st MEU Platoon will deploy to 29 palms next week to help support the Company.

- Maj^{(b)(3), (b)(6), (b)(7)(c)} and Company D are conducting crew gunnery at Range 500 at MCAGCC, 29 Palms. The company is also supporting the MPF Offload for Native Fury 20.

Battalion Initiatives:

Personnel:

Capt^{(b)(3), (b)(6), (b)(7)(c)} and 2ndLt^{(b)(3), (b)(6), (b)(7)(c)} have checked into the Battalion this week. Capt^{(b)(3), (b)(6), (b)(7)(c)} will assist the S-3 Operations Officer until June, when he will assume Command of Company B. 2ndLt^{(b)(3), (b)(6), (b)(7)(c)} will assist the S-4 Logistics Officer and MMO until May, when he will take over as the Battalion Motor-T Platoon Commander. Capt^{(b)(3), (b)(6), (b)(7)(c)} returned today from a 6 month IA to the CJTF-OIR. CWO4^{(b)(3), (b)(6), (b)(7)(c)} retired from the Marine Corps on Friday, 24 January after 22 years of service.

Retention:

- Our retention has remained relatively static recently due to HQMC not approving STAP at this time. We will continue to conduct interviews, advertise reenlistment incentives, and look at other reenlistment initiatives/opportunities. I signed an additional three FTAP packages this afternoon and expect to receive a few more in the next week or two. Sgt^{(b)(3), (b)(6), (b)(7)(c)} is knocking it out of the park for us this year.

ACV:

- No changes to the current ACV fielding plan to Company D in 29 Palms. D1 is currently built out to be the ACV platoon and continues to train with the 8 ACVs on their ramp. The MCBUL 5400 POA&M update will be sent to I MEF once a month to document the current status of the re-designation of AAV Company D, 3D AABN, to ACV Company D, 3D AABN. We remain on schedule to meet the re-designation date and IOC Date. The LRIP ACV Ship Op conducted last week by AVTB was impressive and will be discussed at the Commanders Conference at the end of the month. IOT&E is tentatively scheduled to begin in the 4th Qtr FY20.

Facilities:

- Preparations for P-1901, the new AAV and ACV Maintenance and Warehouse Facility, are under way. The plans are approved we expect to see demolition efforts begin the last week of February due to continued sample testing.

Previous 30 Days:

Battalion:

10 - 17 Jan - Back-In-The-Saddle Training
H&S Company:
15 Jan - 6 Feb PTP for Native Fury
Company C:
13 - 17 Jan - V24 Mech Integration
18 - 21 Jan - USS Comstock SWATT
27 - 31 Jan - EOTG Mech Raid Package ISO V24 (1st Plt)
Company D:
17 Jan - HQ Plt 3 Mile Hike
21 - 23 Jan - ACV Gunnery R110

Significant Events <30 Days:

Battalion:

H&S Company:

16 Jan - NF20 15MEU Plt and OPP
8 Feb - 11th MEU Plt CHOP back to Battalion
12 - 16 Feb R222
13 Feb NOTM Upgrade Op Check

Company A:

17 Jan - NF20 AAOE
17 Jan - 13 Feb - Iron Fist 20

Company C:

15 Jan - 25 Feb - SLTE 2-20 (HQ, 2d Plt and 3d Plt)
25 Feb - 6 Mar - AAV Gunnery Emmerson Lake

Company D:

17 Jan - NF20 PTP
1 - 15 Feb - R500 (ACV Plt)
23 - 29 Feb - R500 (ACV Plt)

Significant Events >30 Days

H&S Company:

3 Mar - 12 Apr - Native Fury 20 (15thMEU Plt)
11 - 13 Mar - R408 MCLC Shoot(MCMPlt)
3 Apr - 8 May Support D1stPlt Amphib Training on CPen
9 - 19 May - RavenEx 5-20

Company A:

13 - 14 Feb - Platoon FEX (HQ/2d Plt)
9 - 21 Mar - DFGT VI at R222
25 Mar - 12 May - SLTE 3-20
20 - 24 Apr - USS Essex AMW Training
27 Apr - 1 May - USS Essex AMW Certification
July - RIMPAC20 Rehearsals NBSD
July - RIMPAC20 Rehearsals Execution

Company B:

October - BPT support USS Bohomme Richard AMW Training and
Certification
23 Sep - 10 Nov - BPT support ITX 1-21

Company C:

16 Feb - 6 Mar - DFGT IX-XII at 29 Palms (All Platoons)
14 Feb - D-90 Brief
12 - 13 Mar Co MCREE

Company D:

23 March - R110(D2ndPlt)
30 March - R110(D3rdPlt)
3 Apr - 8 May - ACV Aphib Training
18 May - 25 Sep - ACV IOT&E

Pending your questions and/or guidance General.

v/r,
LtCol Keith Brenize
Commanding Officer
3rd Assault Amphibian Battalion
1st Marine Division
Box 555574
Camp Pendleton, CA 92055-5547
Comm: (b)(3), (b)(6), (b)(7)(c)
BB: (b)(3), (b)(6), (b)(7)(c)
NIPR: (b)(3), (b)(6), (b)(7)(c)

Subject: RE: 3D AABN SITREP 21 FEBRUARY - 5 MARCH 20

VR, Cas

Commanding General 1st MarDiv

Cell: (b)(3), (b)(6), (b)(7)(c)

-----Original Message-----

Good Evening General,

Operational Highlights:

- H&S Company is conducting CBRN RS&D training and preparing to deploy the 15th MEU Plt for Native Fury.
- Company A is conducting Gunnery Skills Training and preparing for R222

gunnery qualifications. They are also supporting AAOE requirements for Native Fury.

- Company C is conducting AAV Gunnery (Tables VI-XII) 21 Feb - 12 Mar at MCAGCC, 29 Palms.

- ACV Company D is conducting ACV NET and CBRN Chamber training.

Current AAV Readiness: P7 89.88%; C7 91.67%; R7 100.00%

Overall Bn Readiness 90.32%

Special Mission Kits:

NOTM C7 100% 4/4

POP 100% 2/2

Mk 154 MOD-1 100% 4 kits mounted in ADL, 4 kits in MCM and 4 kits in cans. (total of 12)

The largest negative contributors to our Vehicle Readiness (AAV):

5 - Vehicle Electrical Issues

2 - Engine issue

3 - UGWS Issues

1 - UPS

1 - AMP

4 - Charlie Boxes

1 - Transmission

1 - Bilge Pump

1 - Hydraulic Manifold

Current 7800i intercom upgrade status:

- Total to be installed this year: 64

- Completed: 53 P7's / 2 R7's

ADL:

- 51 Vehicles inducted into the ADL Program.

Below is the current RCCA status:

Current RCCA Total: 50 (P7 - 43, C7 - 6, R7 - 1)

ADL : P7 - 6 , C7 - 2

H&S: P7 - 6, C7 - 2, R7 - 1

Co B: P7 - 14, C7 - 1

Co C: P7 - 17

Co D: C7 - 1

FY 20 Retention:

FTAP Pending: 0 STAP Pending: 3

FTAP Approved: 1 STAP Approved: 2

FTAP Executed: 51 STAP Executed: 28

FTAP Goal: 56 STAP Goal: 28

Executed: 91% Executed: 100%

Legal:

Co NJP: 1

Bn NJP: 3

CG NJP: 0

Courts Martial: 0

AdSep board: 0

Commander's Comments:

Company Operations:

- Capt ^{(b)(3), (b)(6)}_{(b)(7)(c)} and H&S Company have had the lead and oversight of the

Battalion Maintenance Stand-Down. The results of the process and procedure

focused stand-down is clearly visible in the increase in the overall

Battalion Readiness.

- Capt^{(b)(3), (b)(6), (b)(7)(c)} and Company A have been focused on the Battalion Maintenance

Stand-Down as well SLTE 3-20 and RIMPAC preparation.

- Capt^{(b)(3), (b)(6), (b)(7)(c)} and Company B remain deployed to Okinawa, Japan for UDP 20.1.

- Capt^{(b)(3), (b)(6), (b)(7)(c)} and Company C have completed SLTE 2-20 and AFX with 5th

Marines at MCAGCC, 29 Palms. They have turned to Gunnery Skills Training

which they will complete at the end of next week. The planned PDSS to Japan

mid-March is still a "go" based on the current risk assessment done by my

Battalion Staff.

- Maj^{(b)(3), (b)(6), (b)(7)(c)} and ACV Company D have been busy conducting annual training

requirements to include CBRN training, conditioning hikes, and AAV

maintenance and services. The Company is also completing the planning for

the ACV platoon and 2nd Platoon to conduct amphibious training here at Camp

Pendleton at the end of the month.

Battalion Initiatives:

Personnel:

- We are very proud of Cpl^{(b)(3), (b)(6), (b)(7)(c)} for being chosen as the Division NCO of the

Quarter. It was a pleasure to see him awarded this morning. He is one of

many of our great NCOs and represents the hard work that they all put into

this Battalion and the AAV.

- 2ndLt^{(b)(3), (b)(6), (b)(7)(c)} has checked into the Battalion as the new

S-2/Intelligence Officer replacing 1stLt^{(b)(3), (b)(6), (b)(7)(c)}, who deployed on

an IA in support of the CJTF-OIR.

- Maj^{(b)(3), (b)(6), (b)(7)(c)} deployed to Kuwait on an IA in support of the CJTF-OIR

on Saturday, 29 February. He will return to the Battalion in September.

- MSgt^{(b)(3), (b)(6), (b)(7)(c)} has checked into the Battalion as the new S-6 Communication Electronic Maintenance Chief, filling a 9 month gap in that billet.

Retention:

- Retention numbers are still slowly climbing as we approach 100%. Of note, we reviewed our historical retention numbers and have seen an increase in FTAP population submitting for reenlistment (27%) but also seen an increase in declines (12) which is almost double from last year. Interviews and advertisement of reenlistment incentives are on-going.

ACV:

- No changes to the current ACV fielding plan to ACV Company D in 29 Palms. The ACV Platoon is preparing to come down to camp Pendleton at the end of the month for amphibious training. MCBUL 5400 Re-designation actions are taking place and we have been in coordination with your staff to ensure we meet the 30 September 2020 deadline. IOT&E remains scheduled to begin in the 4th Qtr FY20.

Facilities:

- Preparation for P-1901, the new AAV and ACV Maintenance and Warehouse facility is under way. The construction staff trailers are on-deck and being set-up and we expect demolition to begin the first week of April now.

Previous 30 Days:

Battalion:

27 Mar - Blue Beach Clean-up

H&S Company:

15 Jan - 6 Feb - PTP for Native Fury

13 - 16 Feb - R222

13 Feb - NOTM Upgrade Op Check

Company A:

12 Jan - 19 Feb - IronFist20

Company C:

13 - 17 Jan - V24 Mech Integration

18 - 21 Jan - USS Comstock SWATT

27 - 31 Jan - EOTG Mech Raid Package ISO V24 (1st Plt)

8 Jan - 25 Feb - ITX 2-20

ACV Company D:

17 Jan - HQ Plt 3 Mile Hike

21 - 23 Jan - ACV Gunnery R110

1 - 15 Feb - R500 (ACV Plt)

Significant Events <30 Days:

Battalion:

H&S Company:

16 Jan - 10May - NF20 15MEU Plt and OPP

11 - 13 Mar - R408 MCLC Shoot(MCMPlt)

17 Mar - Support TF Oceania AAV det to embark

24 - 27 Mar - MCM Plt Amphib training

30 Mar - CMP Training

3 Apr - CBRN Chamber training

3 Apr - 8 May - Support D1stPlt ACV NET Amphib Training on CPen

Company A:

16 Jan - 10 May - NF20 AAOE

6 - 21 Mar - AAV Gunnery R222

25 Mar - 12 May - ITX 2-20

Company C:

21 Feb - 12 Mar - AAV Gunnery Emmerson Lake

12 - 13 Mar - MCREE

13 - 15 Mar - CBRN/CMP

14 - 20 Mar - PDSS

17 - 19 Mar - CIED

ACV Company D:

16 Jan - 10 May - NF20 PTP MDP

Jan - May - ACV NET

Significant Events >30 Days

H&S Company:

6 - 16 Apr - MKI SWATT(MCM Plt)

17 Apr - CBRN Chamber training

20 Apr - 15MEU Plt CHOP(post NativeFury20 re-deployment)

21 - 24 Apr - Bn Maint BDAR Training

9 - 19 May - RavenEx 5-20

27 May - 3 Jun - 1Tank Bn FEX 2xAAVC7 NOTM section support

1 - 13 Jun - Div Breach Ex(MCM Plt)

July - 1x MCM Team supports Company A RIMPAC20 Rehearsals NBSD

July - 1x MCM Team supports Company A RIMPAC20Execution

Aug - Form 11MEUPlt to T/O, Train AAV PTP

Nov - BPT CHOP 11MEUPlt

1 - 18 Dec - BPT support Steel Knight21

Company A:

9 - 21 Mar - DFGT VI at R222

25 Mar - 12 May - SLTE 3-20

Apr - USS Essex AMW Training

May - USS Essex AMW Certification

12 - 26 May - R500 AAV Gunnery

July - RIMPAC20 Rehearsals NBSD

July - RIMPAC20 Rehearsals Execution

10 - 14 Aug - 31 MEU EOTG Mech Raids

25 Aug - 9 Sep - BPT support ValiantMark20 / Co MCREE

Oct - ADVON Deploy

Nov - Main Body Deploy

Company B:

Oct - BPT support USS Bohomme Richard AMW Training and

Certification

21 - 25 Sep - AAV Gunnery(I-V1)

23 Sep - 10 Nov - BPT support ITX 1-21

1 - 18 Dec - BPT support SteelKnight21

Company C:

Apr - ADVON Deploy

9 Apr - D-30 Brief(request)

May - Main Body Deploy

ACV Company D:

9 - 24 Mar - AAV vehicle support to AASBn executing IOC PalmFEX 2-20

23 Mar - R109(D2ndPlt)

30 Mar - R110(D3rdPlt)

3 Apr - 8 May - ACV Amphib Training

27 May - 13 Jun - BPT Support H&S Co's 2xAAVC7 NOTM section supporting
1TankBnFEX

18 May - 25 Sep - ACV IOT&E

8 - 20 Jun - BPT support IOC PalmFEX 3-20

13 - 26 Jun - Plt Amphib Tng

5 - 28 Jul - Plt Amphib Tng

8 - 22 Sep - BPT support IOC PalmFEX 4-20

21 Jan - 6 Mar - BPT support AFX 2-21

Pending your questions and/or guidance.

v/r,

LtCol Keith Brenize

Commanding Officer

3rd Assault Amphibian Battalion

1st Marine Division

Box 555574

Camp Pendleton, CA 92055-5547

Comm: (b)(3), (b)(6), (b)(7)(c)

BB: (b)(3), (b)(6), (b)(7)(c)

NIPR: (b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c) **Sgt** (b)(3), (b)(6), (b)(7)(c)

From: Castellvi MajGen Robert F
Sent: Sunday, March 22, 2020 9:37 PM
To: Brenize LtCol Keith C
Cc: 1MARDIV_SSEC_PRINCIPAL_STAFF; 1MARDIV_SSEC_SPECIAL_STAFF;
1MARDIV_SSEC_STAFF_DEPUTIES; (b)(3), (b)(6), (b)(7)(c) SqtMaj (b)(3), (b)(6), (b)(7)(c) Maj (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) 1stSgt (b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c) Capt (b)(3), (b)(6), (b)(7)(c) 1stSgt
(b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c) Capt (b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c)
Capt (b)(3), (b)(6), (b)(7)(c) 1stSgt (b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c)
Capt (b)(3), (b)(6), (b)(7)(c) 1stSgt (b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c) 1stLt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) SSgt (b)(3), (b)(6), (b)(7)(c) 1stLt (b)(3), (b)(6), (b)(7)(c) MGySgt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c) Maj (b)(3), (b)(6), (b)(7)(c) MGySgt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c) Capt (b)(3), (b)(6), (b)(7)(c) 1stSgt
(b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c) LtCol (b)(3), (b)(6), (b)(7)(c)
Subject: RE: 3D AABN SITREP 6 MARCH -19 MARCH 20

Thanks Keith; excellent rundown across the battalion. Stay flexible on UDP turnover dates as well as support to ITX 3-20 or whatever we might eventually call it. Good to see you're close to getting over the goal line on retention; a very successful year for you.

VR, Cas

MajGen RF Castellvi, USMC
Commanding General 1st MarDiv
Wk: (b)(3), (b)(6), (b)(7)(c)
Cell: (b)(3), (b)(6), (b)(7)(c)

-----Original Message-----

From: Brenize LtCol Keith C
Sent: Thursday, March 19, 2020 4:41 PM

Subject: 3D AABN SITREP 6 MARCH -19 MARCH 20

Good Evening General,

Operational Highlights:

- H&S Company is providing, and supporting, the AAV Detachment embarked on the USS Comstock for TF Ellis and also supporting Native Fury 20 with an MPF Offload OPP. Lastly MCM Platoon is conducting AAV maintenance post-R408 MCLC training.
- Company A is conducting AAV maintenance post-R222 gunnery. The company is also supporting AAOE for Native Fury 20.
- Company B remains deployed and in support of UDP 20-1 in Okinawa, Japan.
- Company C is conducting post operations maintenance actions after the company MCCRE, CBRN and CMP training. C-IED training is being also conducted this week.
- Company D is conducting ACV NET and AAV gunnery gateway to live fire training in preparation for R110. They are also supporting the driver's pool

detachment for Native Fury 20.

Current AAV Readiness: P7 92.26%; C7 100.00%; R7 83.33%
Overall Bn Readiness 92.47%

Special Mission Kits:

NOTM C7 100% 4/4

POP 100% 2/2

Mk 154 MOD-1 100% 4 kits mounted in ADL, 4 kits in MCM and 4 kits in cans.
(total of 12)

The largest negative contributors to our Vehicle Readiness (AAV):

1 - Vehicle Electrical Issues

2 - Engine issue

3 - UGWS Issues

1 - UPS

3 - Thermal Sight Systems

2 - Transmission

1 - Bilge Pump

1 - Hydraulic Manifold

1 - Power Take Off

Current 7800i intercom upgrade status:

- Total to be installed this year: 64

- Completed: 53 P7's / 2 R7's

ADL:

- 46 Vehicles inducted into the ADL Program.

RCCA:

Current RCCA Total: 50 (P7 = 43, C7 = 6, R7 = 1)

FY 20 Retention:

FTAP Pending: 1 STAP Pending: 1

FTAP Approved: 0 STAP Approved: 2

FTAP Executed: 52 STAP Executed: 30

FTAP Goal: 56 STAP Goal: 28

Executed: 92% Executed: 107%

Legal:

Co NJP: 1

Bn NJP: 1

CG NJP: 0

Courts Martial: 0

AdSep board: 0

Commander's Comments:

Company Operations:

- Capt ^{(b)(3), (b)(6),}_{(b)(7)(c)} and H&S Company have been busy pushing elements out to support multiple missions including TF Ellis, Native Fury 20, and MK-154 MCLC training. Due to the low ceiling last week the MCLC training was suspended. The Company is preparing to conduct amphibious training next week as well as

continue to prepare for an LRE and other pre-change of command inspections.

- Capt^{(b)(3), (b)(6), (b)(7)(c)} and Company A completed Range 222 Gunnery Training in preparation for SLE/ITX and RipperEx support. The Company will deploy to MCAGCC 29 Palms next week.

- Capt^{(b)(3), (b)(6), (b)(7)(c)} and Company B remain deployed to Okinawa, Japan for UDP 20.1. We are keeping them and their families updated on the COVID-19 information as their redeployment window approaches.

- Capt^{(b)(3), (b)(6), (b)(7)(c)} and Company C have completed Range 222 Gunnery, C-IED, CBRN, and CMP training as well as their MCCRE. A SVTC was conducted with 4thMarReg on Wednesday, 18 March, in lieu of their PDSS, to discuss their deployment and the redeployment of Company B.

- Maj^{(b)(3), (b)(6), (b)(7)(c)} and ACV Company D have been busy preparing for ACV amphibious training at Camp Pendleton starting next week. The Company is also slated to support RipperEx with one AAV Platoon.

Battalion Initiatives:

Personnel:

- The Battalion has successfully employed the ADHOC Mass Notification System to relay up to date COVID-19 information to our Marines and Sailors via text.
- The Battalion DRC has begun sending out daily COVID-19 updates to all of our Family Contacts to keep them well informed.

Retention:

- Retention numbers for FTAP are still slowly climbing as we approach 100%. Of note, we reviewed our historical retention numbers and have seen an increase in our FTAP population submitting for reenlistment. Sgt^{(b)(3), (b)(6), (b)(7)(c)} is doing a fantastic job.

ACV:

- No changes to the current ACV fielding plan to ACV Company D in 29 Palms. The ACV Platoon is preparing to come down to camp Pendleton next week for amphibious training. Due to the lack of billeting in 21 Area, the ACV Platoon will have to reside in a separate area aboard Camp Pendleton and be transported daily. MCBUL 5400 Re-designation actions are taking place and we have been in coordination with the Div staff to ensure we meet the 30 September, 2020 deadline. IOT&E remains scheduled to begin in the 4th Qtr FY20.

Facilities:

- Preparation for P-1901, the new AAV and ACV Maintenance and Warehouse facility is under way. The Battalion S-4 is working with the area planner and I MEF MILCON Reps to add the mobile armory and FEMA trailers to the demolition portion of the contract. So far there has been no indication of delay due to COVID-19; however, I do anticipate a shift to the right.

Previous 30 Days:

Battalion:

6 Mar Electronic Warfare PME from G6

13 Mar COVID-19 staff training
 16 - 18 Mar CBRN refresher training
 H&S Company:
 6 Jan - Oct TF Ellis AAV det
 15 Jan - May Native Fury FTX Plt and MPF det
 11 - 13 Mar R408 MCLC Shoot(MCMPlt)
 17 Mar Support TF Ellis AAV det to embark COM
 Company A:
 12 Jan - 19 Feb IronFist20
 2 - 6 Mar AAV Gunnery Skills Training
 9 - 13 Mar AAV Gunnery R222
 Company C:
 21 Feb - 12 Mar AAV Gunnery(VI-X11) Emmerson Lake
 12 - 13 Mar Co MCREE
 13 - 15 Mar CBRN/CMP
 18 Mar UDP PDSS via SVTC
 Company D:
 9 - 13 Mar ACV Platoon Maneuvers
 9 - 24 Mar AAV vehicle support to AASBn executing IOC PalmFEX 2-20

Significant Events <30 Days:

Battalion:

H&S Company:

16 Jan - 10 May NF20 15MEU Plt and OPP
 6 Jan - Oct TF Ellis AAV det
 24 - 27 Mar MCM Plt Amphib training
 30 Mar CMP training
 3 Apr CBRN Chamber training
 3 Apr - 8 May BPT Support D1stPlt ACV NET Amphib training on CPen
 6 - 16 Apr MKI SWATT(MCM Plt)
 17 Apr CBRN Chamber training

Company A:

16 Jan - 10 May NF20 AAOE
 25 Mar -12 May PENDING confirmation, ITX 3-20/RipperEx
 20 - 24 Apr USS Essex AMW Training

Company C:

17 - 19 Mar CIED
 21 - 23 Mar R222 AAV and MG gunnery
 25 Mar - 6 Apr ADVON Leave Block
 14 Apr D-30 Brief(request)
 20 - 21 Apr Bn CO Equipment Inspection
 22 Apr - 3 May Main Body Leave Block

Company D:

16 Jan - 10 May NF20 PTP MDP
 3 Apr - 8 May ACV Amphib training
 30 Mar - 3 Apr R110 AAV gunnery
 16 Apr - 27 May PENDING TaskOrd, ITX 3-20/RipperEx (AFX AAV Plt)

Pending your questions and/or guidance.

v/r,
LtCol Keith Brenize
Commanding Officer
3rd Assault Amphibian Battalion
1st Marine Division
Box 555574
Camp Pendleton, CA 92055-5547
Comm: (b)(3), (b)(6), (b)(7)(c)
BB: (b)(3), (b)(6), (b)(7)(c)
NIPR: (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c)

From: Brenize LtCol Keith C <(b)(3), (b)(6), (b)(7)(c)>
Sent: Monday, April 6, 2020 4:08 PM
To: (b)(3), (b)(6), (b)(7)(c)
Subject: RE: 3D AABN SITREP 20 MARCH - 2 APRIL 2020

Good afternoon General,

We are tracking the readiness drop of from 92% to 80%.

The largest contributing factor to this is the recent return of Co C from SLTE 2-20 and their subsequent Gunnery Qualifications aboard MCAGCC. While at 29 Palms the company was issued ESD vehicles and weapons, leaving their own vics and weapons on the 3D AABn RAMP with minimal company personnel and Battalion Maintenance to maintain them. Upon their departure they were at 77% readiness for P7's. Once they returned and were able to get back on their own vehicles to operate them in a more significant way, additional discrepancies were identified. They are now at 70%. Additionally, while Co C was in 29 Palms, 12 P7's were transferred out of the ADL program and into Co C to bring them to T/E according to the Battalion Re-org. These 12 P7's were also identified with additional discrepancies that brought them to a deadline status. The majority of these discrepancies are minor and will be fixed relatively quickly.

Likewise, H&S Co received 7 P7's from the ADL program, also with minor discrepancies.

Company D dropped to 8 dead-lines P7s over the last two weeks due to operating. They are now back up to 5 dead-lines with additional vehicles coming off the deadline report relatively soon.

The battalion's current readiness (as of this morning) is

P7 81.21%

C7 100.00%

R7 80.00%

Overall Bn Readiness: 82.42%

We enjoyed a higher than average readiness rate because of the ADL program, with 50 P7's, 2 C7's, and 1 R7 inducted; all reported at 100% readiness (their readiness condition upon induction). As these vehicles sat with minimal attention and operation, they degraded. Every vehicle that has been removed from the program has been dead-lined for one reason or another (all minor and easily repaired as long as we have the parts). Our current ADL reporting is 31 P7's, 1 C7, and 1 R7 at 100%.

We should continue to see a small increase in readiness, but I expect our average readiness percentage to hover in the mid-80's over time.

Unfortunately, COVID-19 requirements will hamper our material readiness. We are working a plan to minimize the impact to our readiness for both material and personnel.

- H&S Co will execute an A Cmd and a B Cmd in order to maximize personnel

- Company A will continue to train and gain proficiency through their PTP cycle in order to maximize training and material readiness, while maintaining strict adherence to COVID-19 requirements.
- Company C will be PTP complete by the end of this week. They will move into a shelter-in-place status in their barracks to maintain their personnel readiness, while providing minimal operators and maintainers to keep material readiness up as much as possible. You will likely see similar results with readiness, mid- to low-80s for percentages. However, they will maximize their personnel health in order to deploy.
- Company D will also continue to train to proficiency on both the AAV and the ACV, while maintaining COVID-19 requirements.

This plan will minimize the amount of required personnel on the RAMP at any given time while maximizing our operational readiness to the largest extent possible.

v/r,
LtCol Keith Brenize
Commanding Officer
3rd Assault Amphibian Battalion
1st Marine Division
Box 555574
Camp Pendleton, CA 92055-5547
Comm: (b)(3), (b)(6), (b)(7)(c)
BB: (b)(3), (b)(6), (b)(7)(c)
NIPR: (b)(3), (b)(6), (b)(7)(c)

From: Castellvi MajGen Robert F
Sent: Sunday, April 5, 2020 7:46 AM
To: Brenize LtCol Keith C <(b)(3), (b)(6), (b)(7)(c)>
Cc: 1MARDIV_SSEC_PRINCIPAL_STAFF <1MARDIV_SSEC_PRINCIPAL_STAFF@usmc.mil>;
1MARDIV_SSEC_SPECIAL_STAFF <1MARDIV_SSEC_SPECIAL_STAFF@usmc.mil>;
1MARDIV_SSEC_STAFF_DEPUTIES <1MARDIV_SSEC_STAFF_DEPUTIES@usmc.mil>; (b)(3), (b)(6), (b)(7)(c)
SgtMaj (b)(3), (b)(6), (b)(3), (b)(6), (b)(7)(c) Maj (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c)
1stSgt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) Capt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) 1stSgt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) Capt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) 1stSgt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) Capt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) 1stLt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) SSgt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) 1stLt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) Maj (b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c)
MGySgt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c)
MSgt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c)

MGySgt (b)(3), (b)(6), (b)(7)(c)
CWO3 (b)(3), (b)(6), (b)(7)(c)

Capt (b)(3), (b)(6), (b)(7)(c)

LtCol (b)(3), (b)(6), (b)(7)(c)

Capt (b)(3), (b)(6), (b)(7)(c)

1stSgt (b)(3), (b)(6), (b)(7)(c)

Subject: RE: 3D AABN SITREP 20 MARCH - 2 APRIL 2020

Thanks Keith; excellent update and very thorough as usual. Tracking loss of ITX 3-20 and the impacts on Co A. Good you have the company adapting to max training with USS Essex and RIMPAC. You may get another ITX opportunity for them with what MAGTF-TC is pulling together in the summer, although it could conflict with RIMPAC.

Noticed a significant drop in P7 readiness since your last sitrep, contributing to a double-digit drop in overall battalion readiness. Any insight you can share? Let me know what Div can do to help.

Comfortable with your COVID mitigation and the work you're doing to strike the right balance.

I know the G-4 is working the HAZMAT issue; let me know if this doesn't progress in the right way this week.

Very pleased with your retention numbers; reflects the hard work you put in on the retention days and seminars early in the FY, and also I think with a growing excitement with the MOS and ACV transition, even with a reduction in structure in the Force Design way ahead.

VR, Cas

MajGen RF Castellvi, USMC
Commanding General 1st MarDiv
Wk: (b)(3), (b)(6), (b)(7)(c)
Cell: (b)(3), (b)(6), (b)(7)(c)

-----Original Message-----

From: Brenize LtCol Keith C

Sent: Thursday, April 2, 2020 6:33 PM

Subject: 3D AABN SITREP 20 MARCH - 2 APRIL 2020

Good evening General,

Operational Highlights:

- H&S Company has MCM Platoon preparing to support USS Makin Island ARG SWATT (5-16 Apr).
- Company A is preparing for amphibious operations for USS Essex AMW training. The company is also preparing for AAOE retrograde from Native Fury 20.
- Company B remains deployed and in support of UDP 20-1 in Okinawa, Japan.
- Company C is preparing to deploy on UDP 20.1 by completing PTP

requirements and preparing for CMR turnover.

- ACV Company D has one platoon conducting ACV NET on Camp Pendleton and one platoon conducting gunnery on Range 110 at MCAGCC, 29 Palms. Also, the company is preparing for Drivers Pool retrograde from Native Fury 20.

Current AAV Readiness: P7 - 79.39% / C7 - 100.00% / R7 80.00%

Overall Bn Readiness: 80.77%

Special Mission Kits:

NOTM C7100% 4/4

POP100% 2/2

Mk 154 MOD-1100% 2 kits mounted in ADL, 6 kits in MCM and 4 kits in cans. (total of 12)

The largest negative contributors to our Vehicle Readiness (AAV):

5 - Vehicle Electrical Issues

3 - Engine issue

2 - UGWS Issues

1 - UPS

3 - Thermal Sight Systems

1 - Transmission

2 - Bilge Pump

2 - Hydraulic Pumps

3 - Sliprings

ADL:

- 32 Vehicles inducted into the ADL Program.

Below is the current RCCA status:

Current RCCA Total: 51 (P7 - 44, C7 - 6, R7 - 1)

FY 20 Retention:

FTAP Pending: 1

STAP Pending: 1

FTAP Approved: 0

STAP Approved: 2

FTAP Executed: 53

STAP Executed: 30

FTAP Goal: 56

STAP Goal: 28

Executed: 95%

Executed: 107%

Legal:

Co NJP: 1

Bn NJP: 0

CG NJP: 0

Courts Martial: 0

AdSep board: 0

Commander's Comments:

3d AABn is executing your guidance and focusing our training efforts on those deemed essential to maintain our readiness. Amphibious operations, gunnery and maintenance are at the top of the list to maintain.

Additionally, we are moving forward with ACV NETT amphibious training in order to prepare the ACV Plt for IOT&E.

COVID-19 Issues affecting the Battalion:

TF Ellis - (1) AAV Section is currently attached to TF Ellis. Deployment delayed until further notice, with at least a 3 month delay in execution. Pending updated deployment and re-deployment schedule. Impacts H&S Co equipment (4x AAVs) and 13x Marines.

SLTE 3-20- Canceled. Impact is that Company A, while in their re-build phase, will not get this training opportunity to improve gunnery, offense/defense, and maneuver with embarked infantry. The company is adapting to maximize training with USS Essex and RIMPAC. Additionally, Co A is adjusting their training plan to make up the lost opportunity in order to prevent a loss in MOS proficiency and readiness. The largest negative effect that the loss of this training opportunity will have is on the Company staff; specifically, the planning and execution to deploy a Company, integrate with an infantry battalion, and facilitate the maintenance and support of mechanized forces.

Potential COVID-19 affects to the Battalion:

HAZMAT Disposal - The Battalion is at maximum capacity for storing hazardous waste on the RAMP. This is a similar situation with other units in the 21 Area. We have a pick-up request submitted for Monday, 6 April, but if this request is delayed or cancelled, services and maintenance will be severely limited and will negatively effect readiness. We are working closely with your staff to address this issue and look for alternative solutions.

Company Operations:

- Capt^{(b)(3), (b)(6), (b)(7)(c)} and H&S Company have received all elements of their 15th MEU Platoon retrograding from Native Fury 20. They will be receiving their OPP detachment next week. The 15th MEU AAV Platoon is currently conducting JLTIs with BLT 1/4 in preparation for their attachment and subsequent work-up and deployment. Lastly, the MCM platoon completed amphibious training this week in preparation for their ship-op with the USS Makin Island.

- Capt^{(b)(3), (b)(6), (b)(7)(c)} and Company A have been conducting maintenance on their vehicles as they plan to adjust their schedule due to the SLTE 3-20 cancellation. The Company has refocused on amphibious training preparation and reception of their Native Fury 20 AAOE Marines.

- Capt^{(b)(3), (b)(6), (b)(7)(c)} and Company B remain deployed to Okinawa, Japan for UDP 20.1. We are^(c) keeping them and their families updated on the COVID-19 information as the stop movement order has families and personnel concerned.

- Capt^{(b)(3), (b)(6), (b)(7)(c)} and Company C have completed a majority of their UDP 20-2 PTP. This week and next week focuses on vehicle maintenance and a final admin and medical stand-down. The Company is staying on track to deploy on-time in mid to late May, but is preparing contingency plans for a 60 day delay.

- Maj^{(b)(3), (b)(6), (b)(7)(c)} and ACV Company D have been busy conducting ACV amphibious training at Camp Pendleton with the NETT. The battalion, MCOTEA, and PM AAA view this training as mission critical for the on-schedule ACV IOT&E. The Company had its 2d Platoon conducting gunnery at Range 110 in MCAGCC, 29

Palms this past week as well. Finally, Co D is preparing to support RipperEx with one AAV Platoon and preparing for reception of their Native Fury 20 Driver's Pool Marines next week.

Battalion Initiatives:

Personnel:

- Maj^{(b)(3), (b)(6), (b)(7)(c)} has checked back into the battalion after a short tour in the MCAGCC, 29 Palms, Base G-4. He will assume the S-4/Logistics Officer billet.
- Capt^{(b)(3), (b)(6), (b)(7)(c)} has checked into the battalion and will assume command of Company A. He will start his turnover with Capt^{(b)(3), (b)(6), (b)(7)(c)} next week.
- The Battalion DRC has been sending out daily COVID-19 updates to all of our Family Contacts to keep them well informed. Additional correspondence has been sent to our deployed Marine's Families as well. We are working closely with Co B to maintain the connection between the Battalion and the Company's families as their pending redeployment approaches with potential delays. Justifiably, we are seeing a rise in concern and requests for answers.

Retention:

- Retention numbers for FTAP are almost at 100%. We feel confident that we can meet our mission in the next few months.

ACV:

- No changes to the current ACV fielding plan. The ACV Platoon is now at Camp Pendleton for amphibious and maintenance training. Due to the lack of billeting in 21 Area, the ACV Platoon is residing in the 33 Area and is being transported daily. ACV training remains mission essential for the Battalion and the AA community. MCBUL 5400 Re-designation actions/updates are taking place and we have been in coordination with your staff to ensure we meet the 30 September 2020 deadline. IOT&E remains scheduled to begin in the 4th Qtr FY20.

Significant Events <30 Days:

Battalion:

H&S Company:

- 16 Jan - 10 May -NF20 15MEU Plt and OPP
- 6 Jan - Oct -TF Ellis AAV det
- 30 Mar - 3 Apr -15MEU Plt JLTIs
- 3 Apr - 8 May -BPT Support D1stPlt ACV NET Amphib Training
- 5 - 16 Apr -MKI SWATT(MCM Plt)
- 17 Apr -CBRN Chamber training (TBD - pending COVID-19 requirements)
- 20 Apr -15 MEU Plt CHOP (post NativeFury20 re-deployment ROM)
- 21 - 24 Apr -Bn Maint BDAR Training

Company A:

- 16 Jan - 10 May -NF20 AAOE detachment
- 6 - 10 Apr -AAV Amphibious rehearsals
- 20 - 24 Apr -USS Essex AMW Training

Company C:

25 Mar - 6 Apr -ADVON Leave Block

14 Apr -D-30 Brief (planned)

20 - 21 Apr -Bn CO Equipment Inspection

22 Apr - 3 May -Main Body Leave Block

ACV Company D:

16 Jan - 10 May -NF20 MDP detachment

3 Apr - 8 May -ACV Amphib Training

16 Apr - 27 May -PENDING TaskOrd, RipperEx (AFX AAV Plt)

13 - 17 Apr -3rdPlt AAV Land Ops

22 - 24 Apr -2ndPlt AAV Land Ops

25 Mar - 12 May -PENDING confirmation, RipperEx

27 - 30 Apr -Company FEX (TBD - pending COVID-19 requirements)

Pending your questions and/or guidance.

v/r,

LtCol Keith Brenize

Commanding Officer

3rd Assault Amphibian Battalion

1st Marine Division

Box 555574

Camp Pendleton, CA 92055-5547

Comm: (b)(3), (b)(6), (b)(7)(c)

BB: (b)(3), (b)(6), (b)(7)(c)

NIPR: (b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c) **Sgt** (b)(3), (b)(6), (b)(7)(c)

From: Castellvi MajGen Robert F
Sent: Saturday, April 18, 2020 10:40 PM
To: Brenize LtCol Keith C
Cc: 1MARDIV_SSEC_PRINCIPAL_STAFF; 1MARDIV_SSEC_SPECIAL_STAFF;
1MARDIV_SSEC_STAFF_DEPUTIES; (b)(3), (b)(6), (b)(7)(c) SqtMaj (b)(3), (b)(6), (b)(7)(c) Maj (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) 1stSqt (b)(3), (b)(6), (b)(7)(c) MSqt (b)(3), (b)(6), (b)(7)(c) Capt (b)(3), (b)(6), (b)(7)(c) 1stSqt
(b)(3), (b)(6), (b)(7)(c) MSqt (b)(3), (b)(6), (b)(7)(c) Maj (b)(3), (b)(6), (b)(7)(c) MSqt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) Capt (b)(3), (b)(6), (b)(7)(c) 1stSqt (b)(3), (b)(6), (b)(7)(c) MSqt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) Capt (b)(3), (b)(6), (b)(7)(c) 1stSqt (b)(3), (b)(6), (b)(7)(c) MSqt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) SSqt (b)(3), (b)(6), (b)(7)(c) 1stLt (b)(3), (b)(6), (b)(7)(c) MGySqt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) MSqt (b)(3), (b)(6), (b)(7)(c) MSqt (b)(3), (b)(6), (b)(7)(c) Maj (b)(3), (b)(6), (b)(7)(c) MGySqt (b)(3), (b)(6), (b)(7)(c)
(b)(3), (b)(6), (b)(7)(c) CWO3 (b)(3), (b)(6), (b)(7)(c) MGySqt (b)(3), (b)(6), (b)(7)(c) 1stSqt (b)(3), (b)(6), (b)(7)(c) LtCol
(b)(3), (b)(6), (b)(7)(c) Capt (b)(3), (b)(6), (b)(7)(c) MSqt (b)(3), (b)(6), (b)(7)(c) 1stSqt (b)(3), (b)(6), (b)(7)(c) Capt (b)(3), (b)(6), (b)(7)(c)
Subject: RE: 3D AABN SITREP 3 APRIL – 16 APRIL 20

Thanks Keith; excellent rundown across the battalion. Hopefully we'll get some word soon on deployment dates for Co C and turnover with Co B. I don't anticipate the GFM freeze going beyond the end of May, but who knows. I saw you P7 and overall readiness numbers come up a bit; that's encouraging. I'm confident we'll get 5-20 SLTE to provide Co A an opportunity to deploy the company and get some good training in mech ops. Continue to keep a close eye on your potential stop-move issues, and make sure our G-1 is aware of the redlines, particularly when it comes to leader-to-led and high-demand low-density staffing.

VR, Cas

MajGen RF Castellvi, USMC
Commanding General 1st MarDiv
Wk: (b)(3), (b)(6), (b)(7)(c)
Cell: (b)(3), (b)(6), (b)(7)(c)

-----Original Message-----

From: Brenize LtCol Keith C
Sent: Thursday, April 16, 2020 3:51 PM
To: Castellvi MajGen Robert F <(b)(3), (b)(6), (b)(7)(c)>
Subject: 3D AABN SITREP 3 APRIL – 16 APRIL 20

Good Afternoon General,

Operational Highlights:

- H&S Company had its MCM Platoon embarked on the USS Makin Island ARG for a SWATT (6-16 Apr). The Platoon returned safely today after being at sea and conducting six amphibious landings. The company has also been conducting equipment JLTIs and preparations to attach the 15th MEU AAV Platoon to Co B, BLT 1/4.

- Company A is finishing up maintenance actions and preparing for amphibious operations with the USS Essex for their AMW training and certification.

- Company B is deployed in support of UDP 20.1.
- Company C is preparing to deploy in support of UDP 20.2. They will be finalizing their PTP requirements tomorrow.
- ACV Company D is currently conducting ACV NET in the Del Mar Boat Basin and preparing for AAV Platoon level training aboard MCAGCC.

Current AAV Readiness: P7 - 83.64%; C7 - 83.33%; R7 - 80.00%

Overall Bn Readiness 83.52%

Special Mission Kits:

NOTM C7 100% 4/4

POP 100% 2/2

Mk 154 MOD-1 100% 12/12 (6 kits in MCM, 2 kits mounted in ADL, and 4 kits stored in cans)

The largest negative contributors to our Vehicle Readiness (AAV):

3 - Vehicle Electrical Issues

2 - Engine issue

1 - UPS

4 - Weapons Control Boxes

2 - Thermal Sight Systems

4 - Transmissions

2 - Bilge Pumps

2 - Hydraulic Pumps

3 - Midship Bearings

ADL:

- 32 vehicles inducted (P7 = 31, C7 = 1)

FY 20 Retention:

FTAP Pending: 0	STAP Pending: 1
FTAP Approved: 1	STAP Approved: 0
FTAP Executed: 52	STAP Executed: 32
FTAP Goal: 56	STAP Goal: 28
Executed: 92%	Executed: 114%

- We are still heavily pursuing 100% FTAP for FY-20; however, to date, I am very proud of the hard work that Sgt ^{(b)(3), (b)(6), (b)(7)(c)} has put into the Marines of the battalion. He has exceeded my expectations.

Legal:

Co NJP: 2

Bn NJP: 1

CG NJP: 0

Courts Martial: 0

AdSep board: 0

Commander's Comments:

- 3d AABn continues to execute your guidance and has focused on training efforts deemed essential to maintain our readiness. We are looking forward to get the SLTE back on the TEEP and provide Company A an opportunity to deploy the company and train in mechanized operations.

Company Operations:

- Capt ^{(b)(3), (b)(6), (b)(7)(c)} and H&S Company have been conducting vehicle maintenance actions with their Motor-T Platoon and GS Platoon, while the 15th MEU Platoon is finalizing "pre-chop" actions and Native Fury-20 post Deployment ROM. The Company is also providing AAV Detachment support to TF Ellis.

- Maj ^{(b)(3), (b)(6), (b)(7)(c)} and Company A have continued maintenance actions in preparation for an amphibious operations training package later this month.

- Capt^{(b)(3), (b)(6), (b)(7)} and Company B remain deployed to Okinawa, Japan for UDP 20.1. Their families and loved ones have been kept informed of the COVID-19 Stop-Movement Order and are being supported and provided for by the Battalion DRC and URC as well as Battalion and Company Leadership.

- Capt^{(b)(3), (b)(6), (b)(7)(c)} and Company C have completed their PTP and only have a few requirements for stragglers.

- Maj^{(b)(3), (b)(6), (b)(7)(c)} and ACV Company D have been busy conducting ACV amphibious training, AAV maintenance, and planning for AAV Platoon and Company level sustainment training.

Battalion Initiatives:

Personnel:

- Maj^{(b)(3), (b)(6), (b)(7)(c)} was recently promoted to his current rank on Thursday 9 April. He will relinquish command of Company A to Capt^{(b)(3), (b)(6), (b)(7)(c)} tomorrow, 17 April at 1000.

COVID-19 Issues affecting the battalion:

- The Battalion staff, H&S Company, and ACV Co D are executing a "Command Team Alpha and Command Team Bravo" approach to preserving the force. We have not seen any degradation in work throughput. Company A will continue training and maintenance in order to build proficiency and cohesion subsequent to their recent rebuild, while Company C goes into a sequester prior to UDP 20.2

- TF Ellis - AAV Detachment MOA between 3d AABn and TF Ellis has been signed providing a support plan while the unit is on a COVID-19 deployment delay.

- We are projecting some summer PCS moves to be delayed, while all PCAs will be executed. We are planning for and managing the effects on manpower.

ACV:

- So far there have not been any changes to the IOT&E schedule. We are on track to support from May to September. Force Design 2030 impacts are being reviewed. I stood-up an OPT to more clearly identify the problems that the Battalion faces in the next two to three years. I still expect ACV Co D to receive the first 18 vehicle platoon to get the Company to IOC. After the first platoon is delivered, I expect the fielding schedule to change. We are working closely with PM AAA.

Facilities:

- P-1901, the new AAV and ACV Maintenance and Warehouse Facility has met a 5-week delay due to COVID-19.

Significant Events <30 Days:

H&S Company:

6 Jan – Oct - TF Ellis AAV Det

3 Apr – 8 May - BPT Support ACV NET Training

6 - 16 Apr - MKI SWATT

13 - 17 Apr - 15MEU Plt JLTIs

15 Apr - SVET Training

17 Apr - CBRN Chamber training

20 Apr - 15MEU Plt CHOP

21 - 22 Apr - GS Plt Jetty Ops

27 - 29 Apr - CEB Machete FEX

Company A:

22 Apr - 27 Apr- USS Essex AMW Training and Cert

12 - 26 May - R500 AAV Gunnery

TBD - BPT support SLTE 5-20

Company C:

15 Apr - SVET Training

20 - 21 Apr - Bn CO Equipment Inspection (pending)

22 Apr - RFD Notification Drill (G-3)

22 Apr - 3 May- Main Body Leave Block (pending)

14 May - D-30 Brief to COS (pending)

1 - 12 Jun - AAV Amphib Ops sustainment (pending)

Company D:

3 Apr - 8 May - ACV Amphib Training

22 - 24 Apr - 2ndPlt AAV Land Ops

27 - 30 Apr - 3rdPlt AAV Land Ops

May - Company FEX (pending)

Pending your questions and/or guidance.

v/r,

LtCol Keith Brenize

Commanding Officer

3D Assault Amphibian Battalion

1st Marine Division

NIPR - (b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c)
Sgt

From: Castellvi MajGen Robert F (b)(3), (b)(6), (b)(7)(c)
Sent: Saturday, May 23, 2020 4:38 PM
To: Brenize LtCol Keith C
Cc: 1MARDIV_SSEC_PRINCIPAL_STAFF; 1MARDIV_SSEC_SPECIAL_STAFF;
1MARDIV_SSEC_STAFF_DEPUTIES; 1MARDIV_SSEC_ALL_CO'S; (b)(3), (b)(6), (b)(7)(c)
Maj (b)(3), (b)(6), (b)(7)(c) 1stSgt (b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c) SgtMaj (b)(3), (b)(6), (b)(7)(c)
Capt (b)(3), (b)(6), (b)(7)(c) 1stSgt (b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c) Maj (b)(3), (b)(6), (b)(7)(c)
Capt (b)(3), (b)(6), (b)(7)(c) 1stSgt (b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c) Maj (b)(3), (b)(6), (b)(7)(c)
1stLt (b)(3), (b)(6), (b)(7)(c) SSgt (b)(3), (b)(6), (b)(7)(c) Maj (b)(3), (b)(6), (b)(7)(c) MGySgt (b)(3), (b)(6), (b)(7)(c)
CWO3 (b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c) 1stSgt (b)(3), (b)(6), (b)(7)(c) LtCol (b)(3), (b)(6), (b)(7)(c)
Capt (b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c) 1stSgt (b)(3), (b)(6), (b)(7)(c) Capt (b)(3), (b)(6), (b)(7)(c)
LT (b)(3), (b)(6), (b)(7)(c) GySgt (b)(3), (b)(6), (b)(7)(c) GySgt (b)(3), (b)(6), (b)(7)(c)
MSgt (b)(3), (b)(6), (b)(7)(c)
Subject: RE: 3D AABN SITREP 17 APRIL - 21 MAY 2020

Thanks Keith; excellent update. Noteworthy on you and your staff providing the leadership and oversight over a staggering number of near-simultaneous training and GFM-related activities. I know the term herculean is not hyperbole in the comeback you've achieved on your material readiness stats, especially in a COVID environment, and with everything else you have on your plate. Well done!

VR, Cas

MajGen RF Castellvi, USMC
Commanding General 1st MarDiv
Wk: (b)(3), (b)(6), (b)(7)(c)
Cell: (b)(3), (b)(6), (b)(7)(c)

----- Original message -----

From: Brenize LtCol Keith C (b)(3), (b)(6), (b)(7)(c)
Date: 5/21/20 5:23 PM (GMT-08:00)
To: Castellvi MajGen Robert F (b)(3), (b)(6), (b)(7)(c)
Cc: 1MARDIV_SSEC_PRINCIPAL_STAFF (b)(3), (b)(6), (b)(7)(c)
1MARDIV_SSEC_SPECIAL_STAFF (b)(3), (b)(6), (b)(7)(c)
1MARDIV_SSEC_STAFF_DEPUTIES (b)(3), (b)(6), (b)(7)(c)
1MARDIV_SSEC_ALL_CO'S <(b)(3), (b)(6), (b)(7)(c)>
Maj (b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c) 1stSgt (b)(3), (b)(6), (b)(7)(c) Maj (b)(3), (b)(6), (b)(7)(c)
1stSgt (b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c) Capt (b)(3), (b)(6), (b)(7)(c) 1stSgt (b)(3), (b)(6), (b)(7)(c)
Capt (b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c) SSgt (b)(3), (b)(6), (b)(7)(c) MGySgt (b)(3), (b)(6), (b)(7)(c) MGySgt (b)(3), (b)(6), (b)(7)(c)
1stLt (b)(3), (b)(6), (b)(7)(c) Maj (b)(3), (b)(6), (b)(7)(c) CWO3 (b)(3), (b)(6), (b)(7)(c)
SgtMaj (b)(3), (b)(6), (b)(7)(c) 1stSgt (b)(3), (b)(6), (b)(7)(c) Capt (b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c) Capt (b)(3), (b)(6), (b)(7)(c) MSgt (b)(3), (b)(6), (b)(7)(c) 1stSgt (b)(3), (b)(6), (b)(7)(c)

$\begin{array}{l} >, \begin{pmatrix} (b)(3), (b)(6), (b) \\ (7)(c) \end{pmatrix} \text{Capt} \begin{pmatrix} (b)(3), (b)(6), (b)(7)(c) \\ (b)(6), (b) \end{pmatrix} < \\ >, \begin{pmatrix} (b)(3), (b) \\ (6), (b)(7) \end{pmatrix} \text{1stSgt} \begin{pmatrix} (b)(3), (b)(6), (b) \\ (b)(7)(c) \end{pmatrix} < \\ >, \begin{pmatrix} (b)(3), (b)(6), \\ (b)(7)(c) \end{pmatrix} \text{Capt} \begin{pmatrix} (b)(3), (b)(6), \\ (b)(7)(c) \end{pmatrix} \text{A} < \\ >, \begin{pmatrix} (b)(3), (b)(6), (b) \\ (7)(c) \end{pmatrix} \text{Capt} \begin{pmatrix} (b)(3), (b) \\ (6), (b)(7) \end{pmatrix} < \\ >, \begin{pmatrix} (b)(3), (b)(6), (b) \\ (7)(c) \end{pmatrix} \text{GySgt} \begin{pmatrix} (b)(3), (b)(6), (b) \\ (7)(c) \end{pmatrix} \end{array}$

(b)(3), (b) ()
(b)(7)(c) b < (b)(3), (b)(6), (b)(7)(c)
()
Y 2020 ()
()
b
()
()
()

>, (b)(3), (b)(6), MSgt (b)(3), (b)
(b)(7)(c) (6), (b)(7)
(c)

6

$$\left(\frac{1}{\sqrt{\pi}} \int_0^x e^{-t^2} dt \right)^2 = \frac{1}{\pi} \int_0^x \int_0^x e^{-(t^2 + s^2)} dt ds$$

- TF Ellis and has attached
(
atoon has executed
)
MCM Platoon executed 1st
c)
phibious operations with
GCC, 29 Palms for AAV
FE 5-20.
e 25 Marine ADVON returned
support of UDP 20.2. They
as well as finalized
MR turnover next
in Camp Pendleton and
V platoons conducted platoon
n the Quakenbush training

- 00%
- y maintaining our AAV
ons. I am very
ffort, led by CWO3
Maint. Chief.

in MCM and 4 kits in

- ness (AAV):

1 - Steering issues

ADL:

- 32 Vehicles inducted into the ADL Program.
(P7 - 31, C7 - 1)

Below is the current RCCA status:

Current RCCA Total: 56

(P7 - 49, C7 - 6, R7 - 1)

FY 20 Retention:

FTAP Pending: 0	STAP Pending: 0
FTAP Approved: 1	STAP Approved: 0
FTAP Executed: 53	STAP Executed: 32
FTAP Goal: 56	STAP Goal: 28
Executed: 94%	Executed: 114%

- We are still heavily pursuing 100% FTAP for FY-20, and suspect our 94% will increase in the next 30 days. We are on top of all interviews and recertification's for all of our multiple units spread across southern California.

Legal:

Co NJP: 5

Bn NJP: 15

CG NJP: 0

Courts Martial: 1

AdSep board: 0

Commander's Comments:

- 3d AABn has multiple HHQ and internal inspections coming up over the next 3 weeks. A Bn CGIP kicks off next week followed by a Unit LRE. The Change of Command internal inspections and mandated material readiness inspections have been continuous as well.

Company Operations:

- Capt ^{(b)(3), (b)(6), (b)(7)(c)} and H&S Company have been extremely busy supporting multiple platoons within the Company. The Company "roll-out" conducted last week reinforced readiness requirements and validated the Company's above average readiness numbers. The Company will be focused on inspections the next few weeks followed by preparation to build out the 11th MEU AAV Platoon and the conduct of company level Logistical Support Area training.

- Capt ^{(b)(3), (b)(6), (b)(7)(c)} and Company A successfully deployed to MCAGCC, 29 Palms and trained all crews on section level gunnery. They are continuing their preparation to support 7th Marines for SLTE-5-20. We anticipate all three platoons will be able to complete their Table XII qualifications prior to SLTE-5-20.

- Capt ^{(b)(3), (b)(6), (b)(7)(c)} and Company B remain deployed to Okinawa, Japan for UDP 20.1. We expect the Company to redeploy to CONUS in the next 30 days followed by a 14-Day ROM period.

- Capt ^{(b)(3), (b)(6), (b)(7)(c)} and Company C have completed their PTP and are fully engaged in CMR turnover. Their 25 Marine ADVON has arrived in Okinawa and is

- Maj Deiters and ACV Company D have been busy conducting ACV amphibious training, AAV maintenance, and AAV Platoon and Company level sustainment training. The ACV IOT&E has officially commenced as the MCOTEA and PM AAA teams arrived at MCAGCC, 29 Palms to begin set up and preparation actions.

- Congratulations to six of our 1stLt's who have been selected to the rank of Capt; 1stLt's (b)(3), (b)(6), (b) (7)(c) (b)(3), (b)(6), (b)(7)(c) (b)(3), (b)(6), (b)(7)(c) (b)(3), (b)(6), (b)(7)(c) (b)(3), (b)(6), (b)(7)(c) and (b)(3), (b)(6), (b)(7)(c).

- Chaplain (b)(3), (b)(6), (b)(7)(c) has checked into the battalion and is already integrated into the daily battle rhythm and support of our Marines and Sailors. He will be a great fit with the team and we are excited to have him and his family aboard.

- The Battalion is no longer conducting "Command Team Alpha and Command Team Bravo" as we are focused on inspections and the deployment and re-deployment of Co's B and C. Physical distancing and cloth face covers have been and will continue to be used to aid with and maintain force preservation.
- Exceptions to Policy (ETP) for summer PCS moves have been coming in and are being executed. The Battalion Senior Enlisted Leaders have been working with the monitors to get much needed SSgts and GySgts realigned and provided summer orders to 3d AABn. We expect to have some SNCO deficiencies this summer and will be submitting ETPs once SNCO projections are solidified.

- P-1901, the new AAV and ACV Maintenance and Warehouse Facility has met another 2-6 month delay due to COVID-19 and adjustment to the blueprints/plans. The demolition of the existing buildings and structures is still on track and currently being executed.

11 - 25 May - DFGT

26 May - 30 Jun - SLTE 5-20
6 Jun - Aug - BPT support 4th AABn ILOC

Company B:

14 - 27 May - ADVON ROM
5 - 15 Jun - Main Body re-deployment window UDP20.1

Company C:

11 - 27 May - JLTIs and CMR turn-over
28 - 29 May - Bn CO Equipment Inspection
5 - 15 Jun - Main Body deployment window UDP 20.2

Company D:

18 May - 25 Sep - ACV IOT&E
8 - 20 Jun - IOC PalmFEX 3-20
12 - 26 Jun - AAV Plt Amphib Training in CPen

Standing by to answer any questions and/or receive guidance.

v/r,

LtCol Keith Brenize
Commanding Officer
3rd Assault Amphibian Battalion
1st Marine Division
Box 555574

Camp Pendleton, CA 92055-5547

Comm: (b)(3), (b)(6), (b)(7)(c)

BB: (b)(3), (b)(6), (b)(7)(c)

NIPR: (b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c)

Mk 154 100% 2 kits mounted in ADL, 6 kits in MCM and 4 kits in cans. (total of 12)

The largest negative contributors to our Vehicle Readiness (AAV):

- 2 - Hull plugs
- 2 - Engine issue
- 1 - UPS
- 3 - Comm
- 3 - Sight Head
- 1 - Hydraulic issues
- 1 - Crane

ADL:

- 32 Vehicles inducted into the ADL Program.
- P7 - 31, C7 - 1

Current RCCA Total: 56

P7 - 49, C7 - 6, R7 - 1

FY 20 Retention:

FTAP Pending: 2	STAP Pending: 0
FTAP Approved: 0	STAP Approved: 0
FTAP Executed: 55	STAP Executed: 32
FTAP Goal: 56	STAP Goal: 28
Executed: 98%	Executed: 114%

- We are still heavily pursuing 100% FTAP for FY-20 with two first term package still pending, and suspect our 98% will increase in the next 30 days. FY-21 packages are being prepared at this time. We are on top of all interviews and recertification for all of our multiple units spread across southern California and in Japan.

Legal:

- Co NJP: 4
- Bn NJP: 6
- CG NJP: 0
- Courts Martial: 0
- AdSep board: 0

Commander's Comments:

- 3d AABn has had multiple HHQ and internal inspections and is currently drafting plans and executing corrective actions.

Company Operations:

- Capt ^{(b)(3), (b)(6), (b)(7)(c)} and H&S Company have been extremely busy supporting multiple platoons within the Company. MCM platoon is specifically preparing for Island Fury 20.
- Capt ^{(b)(3), (b)(6), (b)(7)(c)} and Company A are supporting SLTE 5-20 and 7th Marines. The MAC for each platoon was a success and now the Company is preparing for MWX.
- Capt ^{(b)(3), (b)(6), (b)(7)(c)} and Company B have re-deployed from Okinawa, Japan completing UDP 20.1. Their 14-Day ROM period will end on Monday, 22 June, at which point they will return to the AAV RAMP and conduct vehicle PMCS. The Company's ADVON has been conducting in-depth planning for the Company's support requirements and PTP.
- Capt ^{(b)(3), (b)(6), (b)(7)(c)} and Company C have deployed to Okinawa, Japan for UDP 20.2. They will be on ROM for 5 more days.
- Maj ^{(b)(3), (b)(6), (b)(7)(c)} and ACV Company D have been busy conducting ACV gunnery evaluations, AAV platoon amphibious training, and AAV Maintenance. The ACV IOT&E on going at MCAGCC, 29 Palms. PM AAA's fielding team is on deck and preparing for the first ACV Platoon to come on line in September 2020.

Battalion Initiatives:

Personnel:

- The incoming Battalion Commander, LtCol (b)(3), (b)(6), (b)(7)(c) is on deck and has been conducting turnover. Change of Command will go on 19 June.
- SgtMaj (b)(3), (b)(6), (b)(7)(c) has checked into the Battalion this month and assumed the duties and responsibilities of the Battalion Sergeant Major.
- 2ndLt (b)(3), (b)(6), (b)(7)(c) has checked in as the new Battalion Adjutant, while 1stLt (b)(3), (b)(6), (b)(7)(c) prepares to move to HQBN.

ACV:

- So far there have not been any changes to the IOT&E schedule. The RWS Gunnery portion of the evaluation has been completed with feedback from the platoon stating it was very successful. We are on track to support the Desert Mission Profiles in the month of July in 29 Palms, and the Amphibious Mission Profiles in August aboard Camp Pendleton.

Facilities:

- P-1901, the new AAV and ACV Maintenance and Warehouse Facility has met another 2-6 month delay due to COVID-19 and adjustment to the blueprints/plans. The expected completion date is September of 2022. The demolition of the existing buildings and structures is currently being executed. The removal of the mobile armory and old FEMA Trailers is complete at this time.

Significant Events <30 Days:

Battalion:

- 19 June - Change of Command
- 26 Jun - 101 Days of Summer Safety Training

H&S Company:

- 18 Jun - RFD muster drill (MPF Enablers)

Company A:

- 11 May - 30 Jun - SLTE 5-20 and White Space Training
- 6 Jun - Aug - Support 4AABn ILOC training and maintenance
- 19 June - RFD muster drill (CRFP)
- 23 - 26 Jun - 1stPlatoon Amphib Training
- 11 - 17 Jul - ILOC R222
- 13 - 15 Jul - V34 EOTG Raid Planner Course

Company B:

- 7 - 22 Jun - Main Body COVID-19 ROM
- 22 Jun – Aug - Support 4AABn ILOC equipment

Company C:

- Jun – Nov 20 - Deployed UDP 20.2

Company D:

- 18 May - 25 Sep - ACV IOT&E
- 12 - 26 Jun - AAV Plt Amphib Training in CPen

Significant Events >30 Days

H&S Company:

- 20 - 28 Jul - MCM Section supports Company A for IslandFury20
- 24 Jul - 3mi Hike
- Aug - Form 11MEUPlt to T/O, Train AAV PTP

14 Aug - 6mi Hike
 Aug – Sep - ICS and EELS AAV Mods and NET
 27 - 31 Jul - BPT support V34 EOTG Raids Package *pending FOS
 10 - 14 Aug - BPT support V34 MCREE(10pax) *pending TaskOrd

Company A:
 20 - 28 Jul - Island Fury20
 27 - 31 Jul - BPT support V34 EOTG Raids Package *pending FOS
 Aug - Sep - ICS and EELS AAV Mods and NET
 10 - 14 Aug - Support V34 MCCRE

Company B:
 Aug - Sep - ICS and EELS AAV Mods and NET

Company C:
 Jun - Nov 20 - UDP 20.2 Deployed (TBD)
 Jan - Feb 21 - BPT support Iron Fist21
 21 Mar - 27 May - SLTE 3-21 (2x Platoons support ITX)

Company D:
 18 May - 25 Sep - ACV IOT&E
 6 - 20 Jul - Plt Amphib Tng in CPen
 27 - 31 Jul - C-IED training R800
 10 - 14 Aug - AAV Gunnery R110

Standing by to answer any questions and/or receive guidance.

v/r,
 LtCol Keith Brenize
 Commanding Officer
 3rd Assault Amphibian Battalion
 1st Marine Division
 Box 555574
 Camp Pendleton, CA 92055-5547
 Comm: (b)(3), (b)(6), (b)(7)(c)
 BB: (b)(3), (b)(6), (b)(7)(c)
 NIPR: (b)(3), (b)(6), (b)(7)(c)



3 May 2021

MEMORADUM FOR THE RECORD

**Subj: VALIDATION OF MARINE CORPS COMBAT READINESS EVALUATION (MCCRE) ICO
ASSAULT AMPHIBIAN PLATOONS ISO MARINE EXPEDITIONARY UNITS (MEU).**

Background: As a member of the command investigation investigating the forming and compositing of the 15th Marine Expeditionary Unit in 2020 I, MGySgt ^{(b)(3), (b)(6), (b)(7)(c)}, ^{(b)(3), (b)(6), (b)(7)(c)}, conducted research within the Unit Evaluation Module of the Marine Corps Training Information Management System (MCTIMS) to determine whether the completion of Marine Corps Combat Readiness Evaluations (MCCRE) were being reported. Specifically, my intent was to determine whether any AA Platoon assigned to a Marine Expeditionary Unit (MEU) were reported as complete in MCTIMS.

Outcome: There is no evidence that can be found in MCTIMS that 2d AABn or 3d AABn has conducted a MCCRE for any platoon supporting a MEU. Additionally, based on the research conducted 2d AABn is non-compliant with the Marine Corps Order directing the conduct of a MCCRE once every two years or prior to deployment. If the battalion is conducting these evaluations, they are not reporting them in MCTIMS as existing policy requires.

(b)(3), (b)(6), (b)(7)(c)



DEPARTMENT OF THE NAVY
HEADQUARTERS UNITED STATES MARINE CORPS
3000 MARINE CORPS PENTAGON
WASHINGTON, DC 20350-3000

MCO 4400.160
LPC
26 NOV 2013

MARINE CORPS ORDER 4400.160

From: Commandant of the Marine Corps
To: Distribution List

Subj: FIELD SUPPLY AND MAINTENANCE ANALYSIS OFFICE (FSMAO)
PROGRAM

Ref: (a) SECNAVINST 5740.26
(b) SECNAVINST 7510.7
(c) MCO 5040.6
(d) MCO 7510.3
(e) MCO P11240.106B
(f) SECNAV-M 5210.1
(g) CMC Message 261946Z May 11

Encl: (1) Sample Size Chart
(2) NAVMC 11901

1. Situation. This Order promulgates policy for the Field Supply and Maintenance Analysis Office Program.
2. Cancellation. MCO P4400.160B
3. Mission. FSMAO conducts comprehensive analyses of logistics functional areas in order to assess compliance with orders and directives and improve overall Marine Corps equipment accountability and readiness.
4. Execution
 - a. Commander's Intent and Concept of Operations
 - (1) Commander's Intent
 - (a) This Order applies to all commands/activities that account for and maintain General Property, Plant & Equipment (GPP&E) or Operating Materials and Supplies Inventory (OM&S) or perform distribution functions.

DISTRIBUTION STATEMENT A: Approved for public release;
distribution is unlimited.

(b) Analyses are scheduled and conducted with an emphasis on compliance, education, mentoring, and Continuous Process Improvement (CPI) within the areas of supply, maintenance, maintenance management, arms, ammunition, and explosives (AA&E) and distribution.

(c) The desired end state of a FSMAO analysis is enhanced unit readiness, increased operational availability of equipment, and a comprehensive review of equipment accountability, readiness and reporting, maintenance management, arms, ammunition, and explosives (AA&E), and distribution practices for the Commandant of the Marine Corps (CMC), the unit/activity analyzed and its chain of command.

(2) Concept of Operations

(a) The offices of FSMAO East, FSMAO West, and FSMAO WestPac provide direct field representation for the CMC and Deputy Commandant for Installation and Logistics (DC, I&L).

(b) A FSMAO analysis will include a 100% physical inventory of all Readiness Reportable Ground Equipment and Naval Surface Warfare Center (NSWC) Crane reportable assets, a random sample physical inventory of other GPP&E and OM&S items, a review of supply, maintenance, maintenance management, and AA&E procedures to gauge overall equipment accountability and readiness. FSMAO analyses encompass those commands, units, activities, or sites that perform retail, intermediate, wholesale, depot logistics functions, and or distribution functions, to gauge overall performance and responsiveness.

(c) FSMAO performs analysis of commands and activities within I Marine Expeditionary Force (MEF), II MEF, III MEF and Marine Corps Forces Special Operations Command (MARFORSOC) biennially. Marine Forces Reserve units will be analyzed both on a biennial and triennial basis as prescribed by coordinated schedule. All other commands and activities are analyzed triennially. DC I&L may direct and Commands may request analysis on a more frequent basis than biennially/triennially.

b. Roles and Responsibilities

(1) DC, I&L Logistics, Plans, Policies and Strategic Mobility Division (LP)

(a) Oversee the FSMAO Program.

(b) Publish semi-annual trend analysis results and determine required changes to policy, doctrine, training and organization.

(c) Annually review the FSMAO Program and make required corrective actions in order to enhance program effectiveness.

(d) Maintain standard metrics to determine findings.

(e) Task FSMAO coordinator with the following responsibilities and ensure proper oversight accordingly:

1. Publish the annual FSMAO analysis schedule no later than 1 July of each year.

2. Maintain a web based master schedule on DC I&L (LP) web site that lists all units, sites, and activities that require a FSMAO analysis, the frequency of analyses, the responsible FSMAO, the date of the last analysis, and the projections regarding the fiscal year of the next analysis.

3. Publish, via Naval message, approved schedule changes or provide the rationale for disapproving a schedule change request.

4. Publish revised checklists at least annually no later than 1 August for use in analyses beginning 1 October.

5. Coordinate staffing of policy clarification requests and publishing of approved policy clarifications. Review clarifications annually during January to determine validity.

6. Review LPC approved interim policy guidance and coordinate required updates to Marine Corps Orders or directives. Review interim policy guidance annually during January to determine validity and whether action has been taken to update affected orders and or directives.

7. Maintain a web based listing of approved clarifications and approved interim policy guidance on the DC I&L (LP), LPC, FSMAO web site.

8. Administer FSMAO program budgeting and execution.

9. Coordinate assignments of officer and enlisted subject matter expert personnel with M&RA and MOS monitors regarding assignments to FSMAOs.

10. Coordinate with LP sections to include the FSMAOs in policy/procedure reviews.

11. Provide a quarterly status report to identify commands/activities for which final report endorsements and plan of corrective actions have not been received at HQMC DC I&L (LP) within 60 days of the FSMAO Analysis Final Report date.

12. Provide semi-annual analysis report to occupational field sponsors for review and validation of T&R manual.

(2) DC, I&L (LX)

(a) Provide semi-annual enterprise trend analysis in March and September of each year to DC, I&L.

(b) Provide comparative data of FSMAO analyses by office location to DC I&L to include:

1. Trend analysis of FSMAO reports.
2. Top problem areas at the enterprise level.
3. Areas of concern.
4. Analysis of inventory posture pre- and post- FSMAO visits.
5. Recommendations and observations.

(3) DC, Manpower & Reserve Affairs (M&RA), Manpower Management Division, Officer Assignments (MMOA), Enlisted Assignments (MMEA). In support of the FSMAO mission, FSMAO personnel are provided significant training in the areas of expeditionary logistics initiatives, emerging logistics information technology systems, trend analysis, statistical analysis, and problem resolution. M&RA (MMOA/MMEA) will make every effort to capitalize on the capabilities gained by FSMAO

personnel by seeking to position them in a follow-on command where those capabilities can provide the greatest benefit.

(4) Commanding General, Marine Forces (MARFORs) and Supporting Establishments

(a) Make corrections to accountability records and readiness reporting inaccuracies identified during the FSMAO analysis within ten days of receiving the FSMAO analysis final report.

(b) Ensure unit commanders submit an endorsement to the FSMAO analysis final report via their chain of command and that it is received at DC, I&L (LP) within 90 days of receipt of the analysis final report. The endorsement will include a plan of corrective action for any area identified as a finding.

(c) All formal FSMAO analysis reports will be endorsed by the first General Officer in the chain of command. (signed by the Commanding General or Deputy Commanding General).

(d) Validate that unit commanders establish and sustain corrective measures.

(e) Coordinate and solidify the upcoming Fiscal Year unit analysis schedule with respective FSMAO Officer in Charge (OIC) by 15 June.

(f) Ensure units adhere to the published current Fiscal Year schedule.

(g) Validate unit Plan of Corrective Action to ensure discrepancies are corrected within the prescribed time line.

(h) Ensure units that did not perform within standards receive additional assistance to correct deficiencies.

(i) Review semi-annual trend report and implement procedures to improve compliances with Marine Corps policy and directives.

(5) OIC, FSMAO

(a) Task organize FSMAO teams and perform compliance based analyses independent of any organization or functional area boundaries.

(b) Provide commanders at least 30 days advance notice of an analysis.

(c) Perform analyses on published focus areas as directed by DC, I&L (LP).

(d) Coordinate scheduling with the MARFORs and Supporting Establishments.

(e) Provide the FSMAO analysis final report to unit commanders and DC, I&L (LP) no later than 14 working days after completion of an analysis.

(f) Provide trend analysis reports to MARFORs and Supporting Establishments at least annually.

(g) Provide trend analysis report to DC, I&L, TECOM LP, semi-annually during April and October.

(h) Submit OIC approved interim policy change requests to HQMC, I&L, LPC for approval.

(i) Review requests for clarification and forward to DC I&L (LP) for final resolution.

(j) Provide training support in the areas of materiel readiness, supply, maintenance, maintenance management, AA&E, and distribution during analyses and as requested.

(k) Collaborate to conduct annual program review to include checklist review and provide recommended changes to DC I&L (LP) no later than 1 June.

(l) Upon request and when supportable, provide tailored assistance visits. Refrain from conducting assistance visits six months prior to scheduled formal analysis.

(m) Support CPI. FSMAO teams will review all facets of materiel management encompassing best practices and make recommendations to improve processes and assist with implementing recommended efficiencies/effectiveness.

(n) Recognize best practices and ideas that merit sharing and make recommendations to update orders, directives, or technical manuals to DC I&L.

(o) Recognize superior performance of personnel during an analysis, for Marines whose contributions provide significant, positive impact to their functional area and to the unit.

(p) Assist in the implementation of expeditionary logistics initiatives as directed by DC, I&L (LP).

(q) Provide recommendations for improvements to capabilities and employment of logistics automated information systems to DC, I&L.

(r) Review Engineering Change Proposals (ECPs) recommended by the Marine Forces and Supporting Establishment for logistics automated information systems. Identify requirements that can be satisfied by policy improvement.

(s) IAW the Financial Improvement and Audit Readiness (FIAR) Existence and Completeness (E&C) construct ensures auditability, assess veracity of logistics systems information with assets on-hand, and validate equipment accountability internal controls.

5. Administration and Logistics. Records created as a result of this Order shall be managed according to National Archives and Records Administration approved dispositions per reference (f) to ensure proper maintenance, use, accessibility and preservation, regardless of format or medium.

a. Recommendations concerning the contents of this Order are encouraged and will be forwarded to DC, I&L (LP) via the appropriate chain of command.

b. Commanding Generals and Regimental/Group Commanding Officers are encouraged to attend FSMAO out briefs.

c. Consistent with their security clearance, and having a need to know to accomplish their announced audit objectives, the agencies of the U.S. General Accounting Office, Department of Defense Inspector General for Audit, and the Naval Audit Service (NAS) are authorized access to all FSMAO analysis final reports. FSMAO analysis final reports will be made available to the

base/command inspector who will identify any failure to implement recommended follow-up actions. Further information on the details of this subject is available in references (a), (b), (c) and (d).

d. FSMAO will be authorized access to all applicable files, records, and supporting documentation of materiel readiness activities to include physical access to conduct physical inventories. Team members will be afforded accompanied access to every facility operated or managed by the organization being visited.

e. To determine that the best interests of the Government are protected, FSMAO representatives have the authority to trace the receipt, maintenance, and disposition of supplies and equipment through any records.

f. Commanding/accountable officers and their staff will cooperate in all respects with the FSMAO OIC, and the FSMAO analysts, in all matters pertaining to the analysis of materiel readiness activities. When required, the unit being analyzed will provide administrative assistance.

g. Commanding officers of units that are being analyzed will make available all necessary personnel of their command.

h. Major commands are responsible for notifying subordinate units of upcoming FSMAO analyses. FSMAO analyses will be included on the Training Exercise Employment Plan (TEEP) to ensure appropriate levels of command awareness and participation.

i. Types of FSMAO Analyses

(1) Formal Analysis. Formal analyses are those analyses scheduled per this Order and any analyses directed by the DC, I&L (LP) for which a formal analysis final report is required.

(2) Assistance Visits. All analyses that do not fall into the category of a formal analysis shall be considered assistance visits. An assistance visit will be requested via the chain of command to the respective FSMAO. FSMAO OICs will determine the feasibility of support based on operational tempo and the budget. Requesting units will be tasked to provide adequate funding for the FSMAO team TAD (travel, per diem, and incidental expense) to perform an assistance visit. If TAD

funds are not available from the requesting unit, TAD funds from the OIC of the respective FSMAO may be used, if available. FSMAO OICs will refrain from conducting assistance visits six months prior to a scheduled formal analysis of that same unit. Analysis reports are not required to be submitted to the CMC or through the chain of command for assistance visits. However, adequate documentation must be provided to the unit visited, to include recommendations for corrective actions. Copies of the assistance report and any checklist(s) will only be distributed to the unit assisted, except when an assistance analysis is requested by higher headquarters. In such instances, a copy of the assistance visit report will be provided to the activity that originated the assistance request.

(3) Special Analysis. FSMAO OICs may conduct special analyses requested via the chain of command, or as directed by DC, I&L (LP). The FSMAO OIC will notify DC, I&L (LP) of all proposed special analyses.

j. Analyses will not normally be rescheduled or canceled. Only when unexpected circumstances occur, should units attempt to reschedule or cancel analyses and submit related requests to DC I&L (LP) via the chain of command using a Naval message. The respective FSMAO will be included as copy to addressee. The final decision authority for rescheduling requests rests with DC, I&L (LP). Changes requested within 60 days will not normally be approved.

k. A finding is an adverse determination based on the analysis data. Findings are appropriate when significant problem areas are identified and cited in the FSMAO final report. (Significant problem areas include those having the potential to degrade readiness; markedly decrease mission capabilities; contribute to waste, fraud, abuse, or safety concerns; and/or cause significant deviation from orders or directives.) Formal report findings will be supported by a recommendation(s) to resolve the cited conditions.

l. A repeat finding is a finding that was identified as a finding on the previous FSMAO analysis final report.

m. In order to determine compliance, data collection is an essential part of the FSMAO program. Sampling is used because time and personnel limitations preclude a line-by-line examination of each record or asset maintained by the unit, site or activity. Sampling from the total population is used to

allow the analyst to accurately assess performance without reviewing every record or asset. Enclosure (1) is the sample size chart for use during analyses.

n. The retention period for all types of analysis reports is as follows:

(1) Unit/Site/Activity: retain until next analysis.

(2) FSMAO and DC, I&L (LP): retain five years.

o. FSMAOs are attached to host commands for administrative control (ADCON) and are not an integral part of these commands.

(1) FSMAO East: Marine Corps Base, Camp Lejeune, NC

(2) FSMAO West: Marine Corps Base, Camp Pendleton, CA

(3) FSMAO Western Pacific (FSMAO-WestPac) Marine Corps Base, Camp Smedley D. Butler, JAPAN

p. Host commands will provide FSMAOs garrison/plant property and commercial vehicle support, and automated data processing /Information Technology equipment. Storage, maintenance, accountability, and operational expenses of the motor vehicles assigned to the FSMAO will be endured by their host commands. The FSMAO OIC is responsible for controlling the use of assigned vehicles and for submitting records and other required data to the appropriate authority. Refer to reference (e) for further guidance usage of government vehicles.

q. Travel and training costs for FSMAO personnel in the performance of their mission will be funded by DC, I&L (LP). Budgeting and allocations of funds is the responsibility of the FSMAO OIC. The FSMAO OIC will issue appropriate TAD travel orders. Budgeting and funding instructions will be issued by DC, I&L (LP), as required.

r. The OIC of FSMAO will ensure the conduct of individual training for the personnel assigned to their offices per current Marine Corps directives. Marines assigned to FSMAO are exempt from certain annual training per reference (g). FSMAO Marines are exempt from standing duty and being assigned to Courts Martial and Administrative Separation boards and as Investigating Officers by their host commands.

s. FSMAO OICs are encouraged to actively participate in Training and Readiness reviews, Course Content Review Boards, Operational Advisory Groups, and enterprise wide Military Occupational Specialty conferences.

t. All correspondence involving personnel matters will be addressed to the appropriate office/command via DC I&L (LPC) or the host command dependent upon the nature of the requests. This includes, but is not limited to Administrative Action (AA) forms, applications for appointment to commissioning programs (including Warrant Officer).

u. Due to the nature of the FSMAO mission, only the most highly qualified and capable Marines in their fields should be assigned to the FSMAO program. The FSMAO OICs will, on a continuing basis, identify and interview qualified Marines (Officer and Enlisted) for potential assignment to the FSMAO program. Interview work sheets [refer to Enclosure (2)] will be provided to the FSMAO coordinator. For enlisted billets, the FSMAO coordinator will make liaison with the appropriate enlisted assignments monitors to provide recommendations for personnel assignment to the FSMAO program. Enlisted assignments monitors are encouraged to make every effort to fill FSMAO vacancies with candidates recommended by the FSMAO office/coordinator. Civilian billet vacancies will be coordinated by the Director of LP and the FSMAO OIC.

v. The Director, Logistics Policy and Capabilities Branch (LPC), Installation and Logistics Department, Headquarters Marine Corps is the reporting senior of the OIC of the FSMAO. Within each FSMAO, the reporting senior will be the first officer, senior in grade, who is directly responsible for the primary tasking and supervision of that Marine. The reviewing officer is the second and next senior officer in grade to the Marine being evaluated; and the officer directly responsible for the primary tasking, supervision, and evaluation of the reporting senior.

w. All FSMAO personnel assigned to an analytical billet must be highly educated in logistics related fields and must be trained in methods of analyzing logistics information. To that end, the FSMAO OIC will ensure that newly assigned FSMAO analysts are nominated/assigned to attend logistics and analytical classes. All efforts will be made to provide training during the first year of assignment to the FSMAO office.

x. Awards

(1) The OIC of FSMAO may submit award recommendations to DC I&L (LP) per Marine Corps orders in the 1650 series. Award recommendations will be submitted by using the Improved Awards Processing System on the Headquarters Marine Corps, Manpower and Reserve Affairs website.

(2) Award recommendations will be submitted at least 90 days prior to an individual's rotation/retirement date to enable administrative processing to be accomplished. The goal is to ensure that the award can be presented to the Marine prior to departing FSMAO.

y. The OIC of FSMAO will administer leave and liberty for the personnel assigned to their offices per current Marine Corps directives and the policies of the local MCB Commander.

z. Promotions

(1) Regular promotions for enlisted Marines to the grades of Private First Class through Sergeant will be administered by the Commander of the host command/activity (i.e. Headquarters Battalion, MCB). FSMAO OICs will provide appropriate recommendations to the host Commander regarding the qualification and eligibility for promotion. Requests for remedial promotion consideration will be administered by the host Commander.

(2) The OIC of FSMAO may nominate exceptionally qualified Marines to be considered for meritorious promotion (including meritorious SNCO promotions). FSMAO personnel will compete for meritorious promotion allocations with their host command. Nominations will be submitted to the host Commander in accordance with the host command's published procedures.

6. Command and Signal

a. Command

(1) This Order is applicable to the Marine Corps Total Force.

(2) Operational control of the FSMAO program is maintained by DC, I&L (LP).

NOV 26 2013

(3) Technical direction of the FSMAO program is vested in the DC, I&L (LP). FSMAO OICs are directly responsible to the Commandant of the Marine Corps (CMC) for the technical and individual training of assigned personnel, efficient operation of their offices, and accomplishment of their mission. Correspondence concerning supply, maintenance, maintenance management, MAGTF distribution policy, and FSMAO procedures may be forwarded directly to the DC, I&L (LP).

(4) FSMAO OICs shall ensure that presentations on the goals and missions of the FSMAO program are provided as requested or required.

b. Signal.. This Order is effective the date signed.



W. M. FAULKNER
Deputy Commandant for
Installations and Logistics

DISTRIBUTION: PCN 10205248400

Sample Size Chart

(Using Statistical Yamane (1967) Sampling Formula)

<u>Population size</u>			<u>Sample size</u>
<10			All
10	To	14	9
15	To	19	13
20	To	24	17
25	To	29	20
30	To	34	23
35	To	39	26
40	To	44	29
45	To	49	31
50	To	54	33
55	To	59	35
60	To	64	38
65	To	69	39
70	To	74	41
75	To	79	43
80	To	84	44
85	To	89	46
90	To	94	47
95	To	99	49
100	To	124	50
125	To	149	56
150	To	174	60
175	To	199	64
200	To	224	67
225	To	249	69
250	To	274	71
275	To	299	73
300	To	349	75
350	To	399	78
400	To	449	80
450	To	499	82
500	To	749	83
750	To	999	88
1000	To	1499	91
1500	To	1999	94
2000	To	2999	95
3000	To	3999	97
4000	To	19999	98
>20000			100

Formula parameters:
95% confidence level
10% level of precision

$n = N / (1 + N * e)$
n = sample size
N = population size
e = level of precision squared

Yamane, Taro. 1967. *Statistics, An Introductory Analysis*, 2nd Ed., New York: Harper and Row

MCO 4400.160
NOV 26 2013

NAVMC 11901 (8-13) (EF)
FOUO - Privacy sensitive when filled in.

Print Form

PROSPECTIVE FSMAO - ANALYST WORK SHEET

FSMAO - region desired				
East Coast: _____		West Coast: _____		WestPac: _____
Administrative Information				
Last Name		First Name	Middle Initial	Rank <input type="text"/> DOR
MOS	Present Unit		Unit Phone	
DTCB		Current Billet		EAS / ECC
Re-enlist	When are you available		Possess Government Credit Card	Clearance Type
Married: <input type="checkbox"/> Yes <input type="checkbox"/> No		How Long		Children's Ages
Training Information				
Last Weapons qualified / score		Last PFT / CFT Date & Score		PNE status for grade
Computer Skills				
a. Software familiarity				
b. GCSS-MC / UUAM				
c. Network Administrator				
Education				
Military Schools attended and dates				
Civilian Education level		AMOS / special qualifications		GCSS-MC Experience
Any military appearance / weight control problems (previously / currently)				Date
Assignment Considerations				
Pending any legal/medical/dental action that would preclude worldwide deployable status				
If currently stationed overseas, are you willing to extend/IPCOT for 24 months				
Are you financially stable				
Any reason you might be denied a Government Credit Card (if you don't currently have one)				
Family concerns/special needs				

Reset Form

FOR OFFICIAL USE ONLY

Adobe LiveCycle Designer 9

26 NOV 2013

NAVMC 11901 (8-13) (EF)

FOUO - Privacy sensitive when filled in.

PROSPECTIVE FSMAO - ANALYST WORK SHEET

Past assignments held/experience (list in Chronological Order)
Billet
Internal FSMAO actions
FSMAO Analyst recommended by
Office interview team and results
AOIC/ Main/Supply recommendation
Admin section review/consult with monitor/occfid sponsor
OIC decision
<p>The public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Department of Defense, Washington Headquarters Services, Executive Services Directorate, Information Management Division, 4800 Mark Center Drive, East Tower, Suite 02G09, Alexandria, VA 22350-3100 (OMB Control Number 0703-XXXX). Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a current valid OMB control number.</p>
Comments

Reset Form

FOR OFFICIAL USE ONLY

Adobe LiveCycle Designer 9



UNITED STATES MARINE CORPS
I MARINE EXPEDITIONARY FORCE
BOX 555300
CAMP PENDLETON, CA 92055-5300


IN REPLY REFER TO
4400
G-4/SUP
FEB 09 2018

SECOND ENDORSEMENT on CO ltr 4400 CO dtd 1 Nov 17

From: Commanding General, I Marine Expeditionary Force (G-4)
To: Deputy Commandant, Installations and Logistics [(I&L)
Division, Headquarters Marine Corps, (ATTN: Logistics
Plans, Policies, and Strategic Mobility Division (LP)]
Via: Commanding General, Marine Forces Pacific (G-4)
Subj: CORRECTIVE ACTION FOR FIELD SUPPLY AND MAINTENANCE ANALYSIS
OFFICE-WEST FORMAL ANALYSIS RESULTS CONDUCTED 11 THROUGH 29
SEPTEMBER 2017

1. Forwarded.

2. Point of contact at this subject is LtCol (b)(3), (b)(6), (b)(7)(c),
Supply Officer, I Marine Expeditionary Force (G-4) at (b)(3), (b)(6), (b)(7)(c).

 D. R. PATTERSON
By direction



UNITED STATES MARINE CORPS
1ST MARINE DIVISION
BOX 555380
CAMP PENDLETON, CALIFORNIA 92055-5380

4400
CG

JAN 23 2018

FIRST ENDORSEMENT on CO ltr 4400 CO dtd 1 Nov 17

From: Commanding General, 1st Marine Division
To: Deputy Commandant, Installations and Logistics (I&L) Division,
Headquarters Marine Corps, (ATTN: Logistics Plans, Policies, and
Strategic Mobility Division (LP))
Via: (1) Commanding General, I Marine Expeditionary Force
(2) Commanding General, Marine Forces Pacific
Subj: CORRECTIVE ACTION PLAN FOR FIELD SUPPLY AND MAINTENANCE ANALYSIS
OFFICE-WEST FORMAL ANALYSIS RESULTS CONDUCTED 11 THROUGH 29 SEPTEMBER
2017

1. I concur with the plan of corrective action for 3d Assault Amphibian
Battalion, 1st Marine Division (M21820).

2. 1st Marine Division continues to take deliberate actions across all
commodities to improve the proficiency of our supply and maintenance
activities, which includes continuous liaison with and utilization of
FSMAO-W. 3d Assault Amphibian Battalion has an involved staff that has
emplaced a strong corrective action that will sustain through personnel
turnover.

3. The point of contact for this matter is the 1st Marine Division, AC/S G4,
Colonel (b)(3), (b)(6), (b)(7)(c), (b)(3), (b)(6), (b)(7)(c), at (b)(3), (b)(6), (b)(7)(c).

(b)(3), (b)(6), (b)(7)(c)

E. M. SMITH

Copy to:
1st Marine Division AC/S G4



UNITED STATES MARINE CORPS
3d ASSAULT AMPHIBIAN BATTALION
1ST MARINE DIVISION (REIN)
BOX 555574
CAMP PENDLETON, CALIFORNIA 92055-5574

IN REPLY REFER TO:
4400
CO
1 Nov 17

From: Commanding Officer, 3d Assault Amphibian Battalion
To: Deputy Commandant, Installations and Logistics (I&L)
Division, Headquarters Marine Corps, (ATTN: Logistics
Plans, Policies, and Strategic Mobility Division (LP))
Via: (1) Commanding General, 1st Marine Division
(2) Commanding General, I Marine Expeditionary Force
(3) Commanding General, Marine Forces Pacific

Subj: CORRECTIVE ACTION PLAN FOR FIELD SUPPLY AND MAINTENANCE ANALYSIS
OFFICE - WEST (FSMAO-W) FORMAL ANALYSIS CONDUCTED 11 THROUGH 29
SEPTEMBER 2017

Encl: (1) 3d Assault Amphibian Battalion, 1st Marine Division Corrective
Action Plan Certification
(2) 3d Assault Amphibian Battalion, 1st Marine Division Corrective
Action Plan

1. Concur with 3d Assault Amphibian Battalion enclosed plan of corrective
action. Forwarded as required.

2. The point of contact for this matter is Captain (b)(3), (b)(6), (b)(7)(c) at
(b)(3), (b)(6), (b)(7)(c) ., commercial (b)(3), (b)(6), (b)(7)(c)
(u)(1), (u)(10), (u)(11)(C)

Corrective Action Plan Certification

Date Of Analysis:
20170929

Unit/DoDAAC:
M21820

Office Conducting Analysis:
FSMAO West

List all conditions that led to a Finding or Area of Concern

Medium Risk: Maintenance Production

Condition 1: Corrective Maintenance (Quality Control Procedures)

Condition 2: Preventive Maintenance (Management)

Remarks

All required corrections have been identified and have been or are in the process of being implemented.

Commanding Officer/Accountable Officer Certification:

I certify that the attached corrective action plan has been reviewed and approved, and will be implemented to resolve the deficiencies noted above. I also certify that internal reviews are in place to monitor these implementation efforts. This certification statement, corrective action plan and any supporting documentation will be retained on file subject to audit/inspection until implementation of corrective actions has been verified.

Name and title

LtCol (b)(3), (b)(6), (b)(7)(c)

Commanding Officer

Signature

(b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c)

Date Certified

20171101

ENCLOSURE (1)



UNITED STATES MARINE CORPS
FIELD SUPPLY AND MAINTENANCE ANALYSIS OFFICE WEST
BOX 555031
CAMP PENDLETON, CALIFORNIA 92055-5031

IN REPLY REFER TO:
4400
FSMAO-W
13 Oct 17

From: Officer-in-Charge, Field Supply and Maintenance Analysis Office - West
To: Deputy Commandant, Installations and Logistics (I&L) Division,
Headquarters Marine Corps, (ATTN: Logistics Plans, Policies, and
Strategic Mobility Division (LP))

Subj: FSMAO FORMAL ANALYSIS OF 3D ASSAULT AMPHIBIAN BATTALION (AAC M21820)

Encl: (1) Analysis Results Summary
(2) Supply Checklist
(3) Maintenance Management Checklist
(4) Communications Maintenance Checklist
(5) Engineers Maintenance Checklist
(6) Motor Transport Maintenance Checklist
(7) Ordnance Maintenance Checklist
(8) Unit User Account Manager Checklist
(9) Container Management Checklist
(10) Armory Maintenance Checklist
(11) Analysis Out brief

1. 3d Assault Amphibian Battalion received an analysis of Consumer Level Supply Management and Field Level Ground Equipment Maintenance from 11 - 29 September 2017. A FSMAO team inventoried 100 percent of all Readiness Reportable Ground Equipment (RRGE), Crane reportable assets, International Standards Organization (ISO) configuration containers, and individual Principle End Items (PEI) valued at or above 100,000 dollars. Procedural compliance was assessed using statistical sampling of records and equipment. One hundred sixty three hours of training were provided targeting deficiencies identified during the analysis, to include better business practices. The analysis results by category are as follows:

Property Accountability	Low Risk Finding
Procurement	Low Risk Finding
Maintenance Program and Resource Management	Low Risk Finding
Maintenance Information and Reporting	Low Risk Finding
Maintenance Production	Medium Risk Finding
Internal Controls	Low Risk Finding
Miscellaneous Accounting	Noteworthy
Distribution Management	N/A

2. Enclosure (1) provides a summary of findings that require a corrective action plan. Enclosures (2) through (10) contain amplifying details regarding each discrepancy. Enclosure (11) was briefed to the unit commander.

3. Point of contact for this report is Mr. (b)(3), (b)(6), (b)(7)(c) at (b)(3), (b)(6), (b)(7)(c).
(b)(3), (b)(6), (b)(7)(c)

Subj: ANALYSIS RESULTS SUMMARY OF 3D ASSAULT AMPHIBIAN BATTALION (AAC M21820)

1. Medium Risk: Maintenance production is assessed as a Medium Risk based on two conditions identified during the analysis.

a. Condition 1: Corrective Maintenance (Quality Control Procedures)

(1) Criteria: Maintenance Checklist; Corrective Maintenance question five, page (137).

(2) Cause: Quality control procedures did not identify the use of expired gauges when Pre-fire Inspections were conducted.

(3) Recommendation: Implement quality control procedures that ensure calibrated items are within specification when conducting Pre-fire Inspections or other maintenance where qualitative and quantitative measurements are required.

b. Condition 2: Preventive Maintenance (Management)

(1) Criteria:

(a) Maintenance Checklist; Preventive Maintenance questions one, three, and four, pages (55), (73), (96), and (115).

(b) Maintenance Management Checklist; Preventive/corrective maintenance question one, page (6).

(2) Causes:

(a) Operator/Crew Preventive Maintenance Checks and Services (PMCS) not conducted. (Eng, Ord)

(b) Evidence of Field-level (PMCS) being properly scheduled, conducted, or documented was not resident within GCSS-MC, as well physical inspection of equipment failed to validate conduct of services. (Comm, Eng, MT, Ord and MMO)

(3) Recommendation: Conduct inventories to identify all undocumented/excess SL-3 and repair parts to ensure that items are associated with: ME, established DSI, appropriate sub-inventories, or reported for disposition guidance IAW MCO P4790.2c.

Enclosure (1)



DEPARTMENT OF THE NAVY
HEADQUARTERS UNITED STATES MARINE CORPS
3000 MARINE CORPS PENTAGON
WASHINGTON DC 20350-3000

IN REPLY REFER TO:

4000

LP

OCT 31 2017

FIRST ENDORSEMENT on OIC, FSMAO West ltr 4400 of 13 Oct 17

From: Assistant Deputy Commandant, Installations and Logistics (LP)
To: Commanding Officer, 3d Assault Amphibian Battalion, PO Box 555574, Camp Pendleton, CA 92055-5574
Via: (1) Commanding General, Marine Forces Pacific, Box 64118, Camp H M Smith, Bldg 600, Honolulu, HI 96861-4118
(2) Commanding General, I Marine Expeditionary Force, PO Box 55321, Camp Pendleton, CA 92055-5321
(3) Commanding General, 1st Marine Division, Box 555380, Camp Pendleton, CA 92055-5380

Subj: FSMAO FORMAL ANALYSIS REPORT OF 3D ASSAULT AMPHIBIAN BATTALION (DODAAC M21820)

Ref: (a) MCO 4400.160 (Field Supply and Maintenance Analysis Office (FSMAO) Program)
(b) CMC L LPC WASHINGTON DC MSG R 111934Z Dec 15 (Field Supply and Maintenance Analysis Office Program Way Ahead)

Encl: (1) Commendable Performance

1. Readdressed and forwarded.

2. 3d Assault Amphibian Battalion (DODAAC M21820) received a formal analysis from FSMAO-West during the period of 11 - 29 September 2017. The references (ref (a) is currently under revision) require a Corrective Action Plan (CAP) for the identified Medium Risk category. The CAP shall be endorsed by the chain of command and submitted to Headquarters Marine Corps (DC, I&L (LP)) via the organizational mailbox M HQMC EGEMS ICART@usmc.mil within 60 calendar days from receipt of this letter.

3. Point of contact for this report is the Compliance and Internal Controls Remediation Section, Enterprise Ground Equipment Manager (EGEM), MGySgt

(b)(3), (b)(6), (b)(3), (b)(6), (b)(7)(c) or email: (b)(3), (b)(6), (b)(7)(c)
(b)(7)(c) at (b)(3), (b)(6), (b)(7)(c)
(c)

Copy to:
IGMC

COMMENDABLE PERFORMANCE

The following Marines were identified for noteworthy performance by exhibiting a high level of proficiency during the formal FSMAO analysis 11 July - 29 September 2017:

Sgt (b)(3), (b)(6), (b)(7)(c)	Engineer Maintenance
Sgt (b)(3), (b)(6), (b)(7)(c)	D Co Motor T Maintenance Chief
Sgt (b)(3), (b)(6), (b)(7)(c)	Battalion Maintenance Tool Room
Sgt (b)(3), (b)(6), (b)(7)(c)	Armorer/DSI NCO
Sgt (b)(3), (b)(6), (b)(7)(c)	D Co Property NCO
Sgt (b)(3), (b)(6), (b)(7)(c)	Supply/Personal Effects
Cpl (b)(3), (b)(6), (b)(7)(c)	A Co Layettees
Cpl (b)(3), (b)(6), (b)(7)(c)	B Co Tool Room NCO
Cpl (b)(3), (b)(6), (b)(7)(c)	D Co Tool Room NCO
Cpl (b)(3), (b)(6), (b)(7)(c)	Engineer Maintenance
Cpl (b)(3), (b)(6), (b)(7)(c)	MT Maint/Floor Chief
Cpl (b)(3), (b)(6), (b)(7)(c)	D Co Layette/DSI NCO
Cpl (b)(3), (b)(6), (b)(7)(c)	B Co Publications NCO
LCpl (b)(3), (b)(6), (b)(7)(c)	Motor T Maintenance/DSI NCO
LCpl (b)(3), (b)(6), (b)(7)(c)	Armorer/Modifications NCO
LCpl (b)(3), (b)(6), (b)(7)(c)	D Co Supply/Personal Effects
LCpl (b)(3), (b)(6), (b)(7)(c)	Armorer/Calibrations NCO
LCpl (b)(3), (b)(6), (b)(7)(c)	B Co Maintenance Management Specialist
LCpl (b)(3), (b)(6), (b)(7)(c)	Battalion Maintenance DSI

Enclosure (1)



UNITED STATES MARINE CORPS
FIELD SUPPLY AND MAINTENANCE ANALYSIS OFFICE WEST
BOX 555031
CAMP PENDLETON, CALIFORNIA 92055-5031

IN REPLY REFER TO:
4000
FSMAO-W
11 Oct 19

From: Officer-in-Charge, Field Supply and Maintenance Analysis Office - West
To: Deputy Commandant, Installations and Logistics (I&L) Division,
Headquarters Marine Corps, (ATTN: Logistics Plans, Policies, and
Strategic Mobility Division (LP))

Subj: FSMAO FORMAL ANALYSIS OF 3D ASSAULT AMPHIBIAN BATTALION
(DODAAC M21820 FW2019051)

Encl: (1) FW2019051_M21820_Analysis_Results_Summary
(2) FW2019051_M21820_SUPPLY_Checklist
(3) FW2019051_M21820_MMO_Checklist
(4) FW2019051_M21820_UUAM_Checklist
(5) FW2019051_M21820_COMM_Checklist
(6) FW2019051_M21820_ENG_Checklist
(7) FW2019051_M21820_MT_Checklist
(8) FW2019051_M21820_ORD_Checklist
(9) FW2019051_M21820_ORD_ARM_Checklist
(10) FW2019051_M21820_CONT_Checklist
(11) FW2019051_M21820_Analysis Out-brief

1. 3D Assault Amphibian Battalion received an analysis of Consumer Level Supply Management and Field Level Ground Equipment Maintenance from Field Supply Maintenance Analysis Office - West (FSMAO-W) 9 - 27 September 2019. FSMAO inventoried 100 percent of all Marine Corps Readiness Reportable Ground Equipment (MCRRGE), Crane reportable assets, International Organization for Standardization (ISO) containers, and individual military equipment valued at or above 100,000 dollars. Procedural compliance was assessed using statistical sampling of records and equipment. FSMAO provided training targeting deficiencies that were identified during the analysis. The analysis results by category are as follows:

Property Accountability	Medium Risk Finding
Procurement	Medium Risk Finding
Maintenance Program and Resource Management	Low Risk Finding
Maintenance Information and Reporting	Low Risk Finding
Maintenance Production	Medium Risk Finding
Miscellaneous Accounting	Low Risk Finding

2. Enclosure (1) provides a summary of findings that require a corrective action plan. Enclosures (2) through (10) contain amplifying details regarding each discrepancy. Enclosure (11) was briefed to the unit commander.

3. Point of contact for this report is Mr. (b)(3), (b)(6), (b)(7)(c) at (b)(3), (b)(6), (b)(7)(c) .

(b)(3), (b)(6), (b)(7)(c)

1. Medium Risk. Property Accountability was assessed as a Medium Risk based on one condition.

a. Condition. Property Management (Equipment Transfers)

(1) Criteria: Supply Checklist; Property Management: Questions nine, (15), and (19) of enclosure (2). Control of Serialized Small Arms Checklist: Question two of enclosure (2), and General Supply Procedures Checklist: Question six of enclosure (2).

(2) Cause: The Supply Officer's and Supply Chief's lack of oversight and ineffective supply records management resulted in missing Key Supporting Documentation (KSDs) and authorizations (i.e. disposition instructions, and tasking AMHS messages) for the external transfer of 47 items of military equipment valued at over \$52M dollars. Through interaction with Supply personnel, the Supply Analyst deduced there was a lack of priority in property accountability and effective training to the Marines managing the unit's property.

(a) Ineffective procedures as well as limited access to the Crane Registry prevented compliance with the requirement to notify the Naval Surface Warfare Center (NSWC) within 48 hours of issues/receipts of Small Arms, submissions to the Crane Registry averaged 5 to 10.

(b) The Supply Officer failed to ensure adherence to policy for materiel transferred to the Defense Logistics Agency - Disposition Services (DLA-DS). Specifically, GCSS-MC tracked items were transferred using the Electronic Turn-In Documents (ETIDs), rather than in GCSS-MC as required. This was enhanced by the lack of personnel with access to the Electronic Document Management Suite (EDOCS) and prevented them from retrieving the DLA-DS processed KSDs.

(3) Recommendations:

(a) Retain KSDs for all internal and external property record adjustments IAW MCO 4400.201 Vol 3.

(b) Conduct Supply Clerk MOS sustainment training that supports property adjustment transactions per MCO 4400.201 Vol 3, and the procedures outlined in UM 4000-125.

(c) Conduct Supply Clerk MOS sustainment training that supports transfers to DLA-DS per MCO 4400.201 Vol 6

(d) Gain access to EDOC and train all involved personnel.

(e) Delegate an alternate approver in the Crane Registry to approve notifications for weapons transfers IAW CMC MSG 251855Z Feb 15.

2. Medium Risk. Procurement was assessed as a Medium Risk based on three conditions.

a. Condition 1. Fiscal (ULOs/UDOs)

(1) Criteria: Supply Checklist; Fiscal: Question two of enclosure (2).

Enclosure (1)

Subj: ANALYSIS RESULTS SUMMARY OF 3D ASSAULT AMPHIBIAN BATTALION
(DODAAC M21820 FW2019051)

(2) Causes: The Supply Officer's and Supply Chief's lack of supervision over the Fiscal Clerk led to the mismanagement of undelivered orders (UDO) and unliquidated obligations (ULO). Supply was only managing reports provided by the Division Comptrollers and not working all aged documents on the Active File. It was confirmed that the Supply Officer was not aware that the unit needed to post the expense of UDOS for on-line SERVMART referrals. This led to discrepancies over multiple fiscal years. Additionally, the Supply Officer provided e-mail correspondence with the Comptroller's Office to address UDOS via Memorandum for the Records (MFR) requesting an expense/receipt for over four fiscal years of discrepant records without any key supporting documents confirming receipt of goods. Furthermore, the trend continued to occur, months after the MFR without addressing the source of discrepancy and/or establishing a process for SERVMART referrals to mitigate future instances. Lastly, in discussions with the Supply Officer in regards to UDOS, confirmed that he was under the impression these transactions were a systemic system error and the only requirement was to report them to the Comptroller.

(3) Recommendations:

(a) Manage financial transactions through their financial cycle
IAW MCO 7300.21B

(b) Perform fiscal year closeout procedures IAW MCO 7300.21B.

b. Condition 2. Commercial Procurement (Approval and Receipt and Acceptance)

(1) Criteria: Supply Checklist; Commercial Procurement: Question four of enclosure (2).

(2) Causes: Due to a lack of oversight and internal controls, the Supply Officer and Supply Chief did not ensure that the Supply Marines were adhering to off-line requisition directives for fuel and open purchases. This resulted in the missing KSD(s) and failure to capture minimum requirements within the fuel logbook which contributed to the loss of accountability for 10 of the 12 fuel keys. Additionally, there was inaccurate information recorded on the Energy Sales Slip (DD-1898E) that did not match the Standard Document Number (SDN) of actual gallons and costs, which contributed to the inability to reconcile fuel purchases. Furthermore, there were no segregation of duties for GCPC purchase requests which exposed the command to potential fraud, waste, and abuse. Lastly, the Assistant Supply Officer was the only individual that analyst could determine was involved in the review and approval of GCPC/Fuel purchases with access to the fuel reports (Enterprise External Business Portal).

(3) Recommendations:

(a) Follow procedures for off-line requisitions IAW CMC Message 051307Z Apr 18, and MCO 4400.150.

(b) Route, review, and validate fuel requests IAW CMC Message 051307Z Apr 18, and MCO 4400.150.

Subj: ANALYSIS RESULTS SUMMARY OF 3D ASSAULT AMPHIBIAN BATTALION
(DODAAC M21820 FW2019051)

(c) Maintain and file all receipt and acceptance KSDs IAW
CMC Message 051307Z Apr 18, CMC 151438Z Feb 17, and MCO 4400.150.

(d) Segregate duties with off-line requisitions IAW MCO 4400.150.

c. Condition 3. Requisition Management

(1) Criteria: Supply Checklist; Requisition Management Question two of enclosure (2).

(2) Causes: The Supply Officer and Supply Chief failed to ensure aged material shipments were identified and processed within established timeframes. This led to the DASF clerks not initiating corrective action on the DASF discrepancies. Additionally, there was evidence the unit processed lost shipments for requisitions shipped in prior fiscal years (FY17 and FY18), without conducting causative research or requesting a credit for transactions valued at over \$150K. This contributed to the command's inability to recover funds for prior fiscal years and potentially the unnecessary expenditure of funds.

(3) Recommendations:

(a) Follow required tracer actions IAW MCO 4400.150.

(b) Submit Supply Discrepancy Reports IAW DLMS Manual
DoD 4000.25-M.

(c) Conduct causative research and reconcile with commodities.

(d) Follow procedures outlined in UM 4000-125.

3. Medium Risk. Maintenance Production was assessed as a Medium Risk based on one condition (PMCS).

a. Condition. Maintenance Production (PMCS)

(1) Criteria: Maintenance Checklist; Preventive Maintenance: Question two of enclosure (5), Question two of enclosure (6), Questions two and four of enclosure (7), and Maintenance Management Checklist; Preventive Maintenance: Question one of enclosure (3).

(2) Causes: Minimal internal inspections by the MMO and insufficient oversight by Responsible Officers and Commodity Managers attributed to mismanagement of the unit's PMCS program within the Communications/Electronics, Engineer equipment, and Motor Transport sections.

(a) ROs, Equipment Chiefs, and Maintenance Chiefs failed to ensure repair parts required to perform/complete required PMCS were requisitioned and debriefed on the appropriate Service Requests (SR) to substantiate the performance of PMCS.

(b) The PMCS schedule reflected equipment with inaccurate frequency type, overdue for PMCS, and equipment were missing from the PMCS schedule. Furthermore, operators lacked attention to detail and training when following the Technical Manuals while performing Op/Crew PMCS that

Subj: ANALYSIS RESULTS SUMMARY OF 3D ASSAULT AMPHIBIAN BATTALION
(DODAAC M21820 FW2019051)

contributed to discrepancies within the program. The aforementioned has the potential to increase equipment failures, add to the cost of repairs, and decrease operational readiness.

(3) Recommendations:

(a) Schedule, conduct, and document required PMCS per equipment technical manuals, MCO 4790.2, UM 4000-125 and applicable chapters of TM 4700-15/1H

(b) Incorporate a robust maintenance stand-down with emphasis on properly conducting PMCS

(c) Ensure appointed ROs understand and enforce the PMCS program

(d) Conduct detailed internal inspections with emphasis on PMCS requirements and stewardship of the equipment

(e) Enforce the use of technical manuals by all maintenance personnel

Commodity Area: Supply
Functional Area: Property Management
Analyzed By: MSgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Twelve

1. Are all authorized allowances accurately reflected on the unit's MAL, to include approved Type II Allowances, Special Allowances, Command Adjustment Allowances, and Training Allowances (T/A) for MARFORRES? (MCO 4400.201, Volume 3, Chapter 2, Paragraphs 0205 and Paragraph 0207; CMC Message 071902Z MAR 18). LOE: Property Accountability

No

The discrepancies were a result of the supply leadership's ineffective procedures for completing the annual Type II Allowance review. The supply section initiated this year's Type II allowance review; however, approval was not obtained from higher headquarters and TOECRs were not submitted to adjust required allowances. Additionally, there was no evidence a Type II Allowance review as conducted for the previous year.

62 records(s) that were reviewed and had allowance discrepancies.

The following listing represents those record(s) that failed the review process IAW current directives.

TAMCN	Nomenclature	CRANE	MCRGE	SAC	STA	RPT TFSMS-Alw	MAL-Alw	SplAlw	CmdAdj	OH	DUE
H00032E	TELEPHONE SET	False	False	1			0	0	0	17	
Comments: Type II allowances were not approved by the MSC/Major Command											
H00047G	INVERTER, POWER, STAT	False	False	1	IS	47	47	0	0	45	0
Comments: Type II allowances were not approved by the MSC/Major Command											
H00052G	DEPLOYMENT KIT, RADI	False	False	1	IS	3	3	0	0	0	0
Comments: Type II allowances were not approved by the MSC/Major Command											
H00162G	ADAPTER, POWER SUPPL	False	False	1	IS	10	10	0	0	10	0
Comments: Type II allowances were not approved by the MSC/Major Command											
H00237G	POWER SUPPLY	False	False	1	IS	26	26	0	0	24	0
Comments: Type II allowances were not approved by the MSC/Major Command											
H20442E	ANTENNA	False	False	1	IS	25	25	0	0	25	0
Comments: Type II allowances were not approved by the MSC/Major Command											
H20472G	ANTENNA ELEVATOR GR	False	False	1	IS	58	58	0	0	57	0
Comments: Type II allowances were not approved by the MSC/Major Command											

H20812B	False	N	2	0	2
CABLE ASSEMBLY AND	False	1 IS	2	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
H20832B	False	N	2	0	2
CABLE ASSEMBLY AND	False	1 IS	2	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
H20842B	False	N	9	0	9
CABLE ASSEMBLY AND	False	1 IS	9	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
H20862B	False	N	1	0	1
CABLE ASSEMBLY AND	False	1 IS	1	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
H20872B	False	N	2	0	2
CABLE ASSEMBLY, TELE	False	1 IS	2	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
H22072B	False	N	9	0	9
DISTRIBUTION BOX	False	1 IS	9	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
H22152E	False			0	66
FLAG, SIGNAL	False	1	0	0	0
Comments: Type II Allowance letter not endorsed by MSC. TOECR not submitted.					
H23792B	False	N	28	0	29
RADIO SET CONTROL G	False	1 IS	28	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
H23852B	False	N	2	0	2
REELING MACHINE, CAB	False	1 IS	2	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
H24432E	False	N	39	0	0
TELEPHONE SET	False	1 IS	39	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
H60022B	False	N	4	0	4
CHARGER, BATTERY	False	1 IS	4	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
H60137G	False		13	0	0
NOVATEL ANTI-JAM GPS ANTENNA	False	1 IS	13	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
H70122G	False			0	6
CHARGER, BATTERY, MULTIPLE STA	False	1	0	0	0
Comments: Type II Allowance letter not endorsed by MSC. TOECR not submitted.					
H70302B	False	N	91	0	108
MULTIMETER	False	1 IS	91	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					

H72552B	False	N	3	0	0
GROUNDING KIT	False	1 IS	3	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
H72992B	False	N	3	0	0
WORK STATION KIT,EL	False	1 IS	3	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
H77052G	False			0	5
POWER SUPPLY	False	1	0	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
H77062G	False	N	13	0	13
ADAPTER, POWER SUPPL	False	1 IS	13	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
H77102G	False			0	8
POWER SUPPLY	False	1	0	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
H77152G	False	N	13	0	13
MULTI RADIO POWER A	False	1 IS	13	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
H77202B	False			0	3
CHARGER, BATTERY, UNIVERSAL, P	False	1	0	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
H79142B	False	N	88	0	0
MULTI-TOOL, FOLDING,	False	1 IS	88	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
H79402E	False	N	2	0	2
MAINTENANCE KIT,ELE	False	1 IS	2	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
H84102B	False			0	2
PRINTER, LASER JET	False	1	0	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
J00052G	False			0	20
DETECTING SET, MINE	False	1	0	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
J33202E	False			0	2
TRUCK, LIFT, HAND	False	1	0	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K00012B	False	N	0	0	2
CHARGER, BATTERY	False	1 IS	0	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K00022B	False	N	12	0	8
ANALYZER-CHARGER, BA	False	1 IS	12	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					

K00082E	False	N	8	0	8
SCALE,WEIGHING	False	1 IS	8	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K00252B	False	N	4	0	4
CHARGER,BATTERY	False	1 IS	4	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K00272B	False	N	2	0	0
CHARGER,BATTERY	False	1 IS	2	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K00282B	False	N	3	0	0
CHARGER,BATTERY	False	1 IS	3	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K40162F	False			0	56
BELT,MILITARY POLIC	False	1	0	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K40322F	False			0	1
BELT,CEREMONIAL	False	1	0	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K40382E	False			0	6
BINOCULAR SYSTEM, 7X50	False	1	0	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K41282E	False	N	190	0	132
CAN,MILITARY	False	1 IS	190	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K41482E	False	N	45	0	0
CARRIER, SWORD SCABB	False	1 DP	45	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K41742E	False			0	6
KIT, CHAPLAIN, PROTESTANT, CMB	False	1	0	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K42222E	False	N	117	0	107
COMPASS,MAGNETIC,UN	False	1 IS	117	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K42362E	False	N	108	0	130
COT,FOLDING	False	1 IS	108	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K42502E	False			0	440
CAN,MILITARY	False	1	0	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K43212E	False	N	35	0	0
EXTINGUISHER,FIRE	False	1 DP	35	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					

K47332B	False	N	4	0	0
PUMP-FILTER UNIT	False	1 IS	4	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K48072T	False			0	1
SEALER, STEEL STRAPP	False	1	0	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K48952E	False			0	10
SPOUT, CAN, FLEXIBLE	False	1	0	0	1
Comments: Type II allowances were not approved by the MSC/Major Command					
K49012E	False			0	7
Comments: Type II allowances were not approved by the MSC/Major Command					
K49572E	False	N	46	0	37
SWORD AND SCABBARD	False	1 IS	46	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K49592E	False	N	131	0	131
TABLE, FOLDING LEGS	False	1 IS	131	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K50602T	False	N	4	0	4
WRENCH, IMPACT, PNEUM	False	1 IS	4	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K76002B	False			0	1
PRINTER, THREE-DIMEN	False	1	0	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K76012B	False			0	1
OPTICAL READER, DATA	False	1	0	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
K76022B	False			0	1
Comments: Type II allowances were not approved by the MSC/Major Command					
K79062B	False			0	1
Comments: Type II allowances were not approved by the MSC/Major Command					
M50302E	False	N	6	0	7
TOWBAR, MOTOR VEHICL	False	1 IS	6	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					
N60202E	False	N	3	0	3
FIXTURE, MEASURING, T	False	1 IS	3	0	0
Comments: Type II allowances were not approved by the MSC/Major Command					

2. Are allowance and serially managed items accurately recorded and updated in the Accountable Property System of Record (APSR)? (MCO 4400.201, Volume 3, Chapter 1, Paragraph 010502, Chapter 2, Paragraphs 0206, 0210, and 0218; MCO 4400.201, Volume 1, Chapter 2, Paragraphs 0205, 0208 and Chapter 4, Paragraphs 0401 & 0403; UM 4000-125, Part 3, Chapter 1, Paragraph 3).
LOE: Property Accountability

No

The discrepancies resulted from the combination of Responsible Officers' (RO) failure to report account discrepancies on as-occurring basis and Supply personnel's failure to make corrections from RO's discrepancy letters in a timely manner.

During this analysis, a complete Wall-To-Wall inventory of all MCRRGE/Crane assets was conducted. This inventory encompassed 70 different TAMCNs accounted for under 80 different NIINs representing a total of 2557 individual assets.

The following is a summary of the inventory results:

On Hand: 2207

Accounted For: 290

In-Transit Mgmt: 25

Missing/Lost: 0

Found: 0

Mis-Identified NIIN: 12

Mis-Identified SerNbr: 8

Asset on Incorrect CMR: 2

Responsible Party Errors: 0

Data Plate Errors: 13

Total Chargeable Errors: 35

Mis-Identified NIIN Assets

SUC	TAMCN	NIIN	Serial#	NOMENCLATURE
YBNMNT	C44332E	011994017	USMU0156131	Box, Shipping (QuadCon)
	Comments: Correct: 015561313			
YS6	A19577G	014318931	251	RADIO SET
	Comments: Item NIIN was changed as a result of a new fielded			
upgrade.	New NIIN/Serial number is already loaded to the property records.			
YHSC	C44332E	013540797	USMU0154308	Box, Shipping (QuadCon)
	Comments: Correct NIIN: 015561313			
YS6	A25557G	015729499	50071	ADVANCED FIELD ARTI
	Comments: Item NIIN was changed as a result of a new fielded			
upgrade.	New NIIN/Serial number is already loaded to the property records.			
YS6	A25557G	015729499	50076	ADVANCED FIELD ARTI
	Comments: Item NIIN was changed as a result of a new fielded			
upgrade.	New NIIN/Serial number is already loaded to the property records.			
YS6	A25557G	015729499	50085	ADVANCED FIELD ARTI
	Comments: Item NIIN was changed as a result of a new fielded			
upgrade.	New NIIN/Serial number is already loaded to the property records.			
YS6	A25557G	015729499	50098	ADVANCED FIELD ARTI
	Comments: Item NIIN was changed as a result of a new fielded			
upgrade.	New NIIN/Serial number is already loaded to the property records.			
YAC	C44332E	011994017	USMU0154289	Box, Shipping (QuadCon)
	Comments: Correct NIIN: 015561313			
YAC	C44332E	011994017	USMU0156065	Box, Shipping (QuadCon)

	Comments: Correct NIIN: 015561313		
YMEU15	C44332E 011994017	USMU015731-2	Box, Shipping (QuadCon)
	Comments: Correct NIIN: 015561313		
YS6	C44332E 013540797	USMU0155984	Box, Shipping (QuadCon)
	Comments: Correct NIIN: 011994017		
YS6	C44332E 013540797	USMU0158010	Box, Shipping (QuadCon)
	Comments: Correct NIIN: 015561313		

Mis-Identified Serial Numbers

SUC	TAMCN	NIIN	Serial#	NOMENCLATURE
YDC	A00617G	015678104	21820001	MAST SECTION
	Comments: Correct S/N: TV0065			
YS6	A04337G	016247677	0001	COMMAND AND CONTROL
	Comments: Correct S/N: 001			
YS6	A04357G	016247676	0001	NETWORK MANAGEMENT
	Comments: Correct S/N: 001			
YS6	A04357G	016247676	0002	NETWORK MANAGEMENT
	Comments: Correct S/N: 002			
YHSC	A04357G	016247676	0004	NETWORK MANAGEMENT
	Comments: Correct S/N: 004			
YS6	A00617G	015678104	090926656	MAST SECTION
	Comments: At the time of the analysis, the correct S/N for this asset is: TEAMS-0519. However there is a modification in the process of being applied that will result in another change to the serial number.			
YDC	B20857B	012404578	038259	FUEL TANK ASSEMBLY
	Comments: Correct S/N: MCA08675			
YMT	C79052B	015504312	061920080116	SHOP EQUIPMENT, GP N
	Comments: Correct S/N: 061820080116			

Assets Accounted For On Incorrect CMR

SUC	TAMCN	NIIN	Serial#	NOMENCLATURE
YMEU15	E09977M	013626513	5481	MACHINE GUN, 40MM GR
	Comments: Correct CMR is YHSC			
YMEU15	E09997M	013626237	M3012179	MACHINE GUN, CALIBER
	Comments: Correct CMR HSC			

Assets With Data Plate Errors

SUC	TAMCN	NIIN	Serial#	NOMENCLATURE
YADL	E08467K	014587410	523073	ASSAULT VEHICLE, FUL
	Comments: Missing Data Plate			
YMT	D08807K	011087367	533166	TRAILER, TANK
	Comments: Data plate reads 533166-190			
YMT	B20857B	012404578	ABE1500-845	FUEL TANK ASSEMBLY
	Comments: Missing data plate			
YMT	B15807B	012404579	197412	FUEL PUMP MODULE AY
	Comments: Missing data plate.			
YMT	D08807K	011087367	583658	TRAILER, TANK
	Comments: Data plate reads 583658--4220			
YMT	D00037K	015519433	638511	TRUCK, ARMORED, CARGO
	Comments: Data plate has incorrect TAMCN, correct TAMCN is D00037K.			
YMT	D00037K	015519433	632323	TRUCK, ARMORED, CARGO
	Comments: Data plate has incorrect TAMCN, correct TAMCN is D00037K.			
YMT	D00037K	015519433	638306	TRUCK, ARMORED, CARGO
	Comments: Data plate has incorrect TAMCN, correct TAMCN is D00037K.			
YMT	D00037K	015519433	632320	TRUCK, ARMORED, CARGO
	Comments: Data plate has incorrect TAMCN, correct TAMCN is D00037K.			

YMT D00547K 015939122 659382 TRUCK,WRECKER
 Comments: Data plate reads TAMCN D1214, need new data plate.

YMT D00527K 015927347 623628 TRUCK,CARGO
 Comments: Data plate has incorrect NIIN, replacement data plate is required.

YDC D00527K 015927347 623627 TRUCK,CARGO
 Comments: Correct NIIN: 01-542-7628 PQDR submitted.

YMT D08877K 015429941 659252 TRUCK,TRACTOR LVSR
 Comments: Data plate is missing NIIN

3. Is the unit managing on hand balances in perpetual inventory?
 (MCO 4400.201, Volume 4, Chapter 3, Paragraph 0309; UM 4000-125, Part 3, Chapter 1, Paragraph 4.f(1)c and Chapter 3, Paragraph 3.a).
 LOE: Property Accountability

Yes

9 records reviewed during the analysis were compliant with current directives.

4. Upon appointment of the RO, is the RO physically inventorying assets, signing, and dating the CMR, and endorsing the appointment letter within 15 calendar days? (MCO 4400.201, Volume 3, Chapter 1, Paragraph 010903; UM 4000-125, Part 3, Chapter 2, Paragraph 4.a). LOE: Property Accountability

No

The discrepancies listed were the result of a lack of oversight and follow-up actions from the Supply leadership. The lack of follow up action contributed to the initial CMR inventories completed late. The lack of oversight contributed to missing appointment letters, missing acceptance letters, missing CMRs and correspondence not dated.

5 of 21 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

2 record(s): Responsible Officers did not complete reconciliation within 15 days.

SUC	Appointment Date	Endorsement Date	Date of CMR	Days Late
YAC	16 Jul 18	16 Jul 18	27 Aug 18	27
YBC	10 Jan 19	10 Jan 19	15 Feb 19	21

2 record(s): RO Appointment/Endorsement missing or no CMR was on file.

SUC	Appointment Date	Endorsement Date	Date of CMR	Days Late
YS3	Apt Ltr Missing	Endo Missing	Missing	Unknown
YADL	22 Aug 19	Endo Missing	23 Aug 19	N/A

1 record(s): Responsible Officers did not sign/date last page.

SUC	Appointment Date	Endorsement Date	Date of CMR	Days Late
YS1	27 Apr 19	8 May 19	Not dated	Unknown

5. Are the ROs physically inventorying assets, signing, and dating the CMR quarterly (Semi-Annually if approved in writing by the CO/AO)? (MCO 4400.201, Volume 3, Chapter 2, Paragraph 020603.f, and Volume 4, Chapter 2, Paragraph 020510; UM 4000-125, Part 3, Chapter 2, Paragraph 4.a).
LOE: Property Accountability

Yes

21 records reviewed during the analysis were compliant with current directives.

6. Upon receipt of a Discrepancy Letter from an RO, is the Supply Officer taking corrective action within 5 working days? (MCO 4400.201, Volume 4, Chapter 4, Paragraph 0405). LOE: Property Accountability

No

The discrepancies resulted from ineffective filing procedures by the property section, a misunderstanding of endorsement requirements, and oversight by Supply leadership. The property section was not filing RO discrepancy letters within the quarter submitted, but rather the discrepancy letters were consolidated and filed per fiscal year which contributed to the missing letters and the lack of corrections initiated for approved adjustments. Additionally, pre-approvals were endorsed by the XO "by direction" rather than in an "acting" capacity.

6 of 14 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

1 record(s): Discrepancy letter was not submitted to CO/AO, via SupO, within 5 working/calendar days.

SUC	LOD Date	SupO Endo	Days Late	Remarks
YHSC	10 May 19	25 Jul 19	68	

1 record(s): Adjustments were not effected within 5 working days.

SUC	LOD Date	SupO Endo	Days Late	Remarks
YBC	16 Jan 19	23 Jan 19	N/A	Corrections were not initiated, same discrepancies listed on 3rd Qtr CMR reconciliation.

2 record(s): Supply Officer's endorsement was missing.

SUC	LOD Date	SupO Endo	Days Late	Remarks
YS6	26 Apr 19	Missing	N/A	
YMT	30 Jan 19	Missing	N/A	

2 record(s): Not endorsed by AO/CO.

SUC	LOD Date	SupO Endo	Days Late	Remarks
YS6	7 Mar 19	11 Mar 19	N/A	Endorsed by XO "by direction".
YCC	5 Mar 19	05 Mar 19	N/A	Endorsed by XO "by direction".

7. For known loss, damage, or destruction of government property, is a DD 200 Form (FLIPL Process) submitted to the approving/appointing authority within 15 days from the time of discovery? (MCO 4400.201, Volume 17).
LOE: Property Accountability

Yes

1 record reviewed during the analysis was compliant with current directives.

8. Upon receipt of a DD 200, has the approving/appointing authority directed appropriate actions within the required timeframe? (MCO 4400.201, Volume 17).
LOE: Property Accountability

No

The discrepancy resulted from the Supply section's misunderstanding of the FLIPL requirements with regards to appointment of the Financial Liability Officer (FLO) and the conduct of the Financial Liability Investigation. The DD 200 reflected, the Appointing Authority endorsed the DD 200 directing a command investigation on 1 Feb 2019 and appointed the FLO on 19 Mar 2019. At the time of the analysis, there was no evidence the liability investigation has yet to be completed.

1 record reviewed during the analysis was compliant with current directives.

FLIPL NO	TAMCN	Nomen	SupO	FLO Apt	Days Late
M218209015F001	C48802E	FOOD TRANSPORTER, IN	18 Jan 2018	19 Mar 19	55

9. Is the unit maintaining for each RO, all CMR key supporting documents (receipts, issues and adjustments) that affect the records with authorized signatures? (MCO 4400.201, Volume 1, Chapter 2, Paragraph 0212, Volume 3, Chapter 2, Paragraphs 020603.D and 021002, Volume 4, Chapter 3, Paragraph 0309; UM 4000-125, Part 3, Chapter 2, Paragraph 4.a).
LOE: Property Accountability

No

The Supply Property Control section failed to ensure that Key Supporting Documents (KSD)s supporting equipment transfers and changes to the CMR were properly documented and retained on file. The discrepancies resulted from ineffective filing procedures, a lack of attention to detail by the property section and supervisory oversight of CMR management by the Supply leadership. The property section was filing KSDs supporting changes on the last tab of the six part folder, which contained four quarters worth of changes. This system, made it impossible to readily locate KSD and contributed to the misplacement of KSDs.

15 of 32 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

15 record(s): Key supporting documentation was not maintained.

SUC	TAMCN/	Nomen	2nd QTR	3rd QTR	Diff
YAC	E09947M	MACHINE GUN, GRENADE	1	4	+3

YBC	D00357K	TRAILER, PALLETIZED	0	2	+2
YHSC	E09897M	MACHINE GUN, 7.62 MI	25	32	+7
YMT	B15807B	FUEL PUMP MODULE AY	8	7	-1
YMT	D00307K	TRUCK, UTILITY	2	1	-1
YMT	D00337K	TRUCK, UTILITY	2	1	-1
YMT	D00527K	TRUCK, CARGO	4	3	-1
YMT	D08807K	TRAILER, TANK	6	2	-4
YS6	D11587K	TRUCK, UTILITY	1	0	-1
YADL	E09897M	MACHINE GUN, 7.62 MI	8	10	+2
YBNMNT	B00087B	AIR CONDITIONER, 5 T	0	1	+1
YBNMNT	B00747B	AIR CONDITIONER	0	1	+1
YBNMNT	B09537B	GENERATOR SET, DIESE	0	1	+1
YBNMNT	D00227K	TRUCK, UTILITY	0	1	+1
YBNMNT	E08467K	ASSAULT VEHICLE, FUL	10	2	-8

10. Are key supporting documents for voucherable gain or loss transactions pre-approved by the CO/AO, processed within the required timeframe and filed in the voucher file? (MCO 4400.201 Volume 3, Chapter 2, Paragraph 021002, and Volume 4, Chapter 5, Paragraph 051203; UM 4000-125, Part 3, Chapter 3, Paragraph 3.f). LOE: Property Accountability

No

Discrepancies resulted from a lack of attention to detail, ineffective filing procedures, misunderstanding by the property section, and supervisory oversight by Supply leadership. The CO/AO endorsement for the preponderance of pre-approvals were not dated. Consequently, the analyst was not able to determine if transactions were processed within the required timeframe. Additional sampled pre-approvals were endorsed by the XO "by direction" rather than "acting" capacity. Lastly, administrative adjustments were erroneously processed without pre-approval for TAMCN assets turned into the Defense Logistics Agency-Disposition Services (DLA-DS).

26 records reviewed during the analysis were compliant with current directives.

38 Voucher(s) that were reviewed did not have the required supporting documentation on hand.

These vouchers represent a Grand Total of: \$1,552,805.33 of adjustments to the unit's property records.

Losses (D9_s) account for: (\$1,033,651.55) of the Grand Total
Gains (D8_s) account for: \$519,153.78 of the Grand Total

The following record(s) DID NOT PASS the review process IAW current directives.

DIC	QTY	CIC	Doc Number	NIIN	Nomenclature	
D9B	-1	A		015709746	VEHICULAR ADAPTOR U	
Transaction ID#: 797016562						
Processed by (b)(3), (b)(6), (b)(7)(c) on date 9/5/2018 8:02:45 PM						
Extended Dollar Value of this transaction: (\$11,034.57)						
Comments: Supporting voucher was missing/incomplete.						

D9B -1 A 011994017 BOX, SHIPPING
Transaction ID#: 801541115
Processed by (b)(3), (b)(6), (b)(7)(c) on date 10/17/2018 10:01:12 PM
Extended Dollar Value of this transaction: (\$4,826.00)
Comments: Supporting voucher was missing/incomplete.

D9B -18 A 013540797 BOX, SHIPPING
Transaction ID#: 801541116
Processed by (b)(3), (b)(6), (b)(7)(c) on date 10/17/2018 10:01:12 PM
Extended Dollar Value of this transaction: (\$45,840.96)
Comments: Supporting voucher was missing/incomplete.

D8B 1 A 015535870 HEAD ASSEMBLY, AAV
Transaction ID#: 809748361
Processed by (b)(3), (b)(6), (b)(7)(c) on date 12/20/2018 12:41:16 AM
Extended Dollar Value of this transaction: \$7,305.27
Comments: Pre-Approval not dated.

D9B -7 A 015448296 COMMUNICATIONS CENT
Transaction ID#: 812726238
Processed by (b)(3), (b)(6), (b)(7)(c) on date 1/18/2019 4:09:20 PM
Extended Dollar Value of this transaction: (\$280,560.00)
Comments: Pre-Approval not dated.

D8B 1 A 016106641 AMPLIFIER, RADIO FRE
Transaction ID#: 812792370
Processed by (b)(3), (b)(6), (b)(7)(c) on date 1/18/2019 10:43:34 PM
Extended Dollar Value of this transaction: \$18,792.00
Comments: Pre-Approval not dated.

D8B 1 A 011394925 CONTROL, INTERCOMMUN
Transaction ID#: 813596414
Processed by (b)(3), (b)(6), (b)(7)(c) on date 1/25/2019 10:26:32 PM
Extended Dollar Value of this transaction: \$4,664.24
Comments: Pre-Approval not dated.

D8B 1 A 011394925 CONTROL, INTERCOMMUN
Transaction ID#: 813596486
Processed by (b)(3), (b)(6), (b)(7)(c) on date 1/25/2019 10:30:22 PM
Extended Dollar Value of this transaction: \$4,664.24
Comments: Pre-Approval not dated.

D9B -1 A 015541735 THERMAL ELBOW ASSEM
Transaction ID#: 814375545
Processed by (b)(3), (b)(6), (b)(7)(c) on date 1/31/2019 4:40:42 PM
Extended Dollar Value of this transaction: (\$78,928.95)
Comments: Pre-Approval not dated.

D8B 1 A 015892117 COMPUTER SYSTEM, DIG
Transaction ID#: 815281058
Processed by (b)(3), (b)(6), (b)(7)(c) on date 2/7/2019 7:13:19 PM
Extended Dollar Value of this transaction: \$4,400.00
Comments: Pre-Approval not dated.

D8B 1 A 015892117 COMPUTER SYSTEM,DIG
Transaction ID#: 815281059
Processed by (b)(3), (b)(6), (b)(7)(c) on date 2/7/2019 7:13:19 PM
Extended Dollar Value of this transaction: \$4,400.00
Comments: Pre-Approval not dated.

D8B 1 A 015862327 RADIO SET
Transaction ID#: 815414250
Processed by (b)(3), (b)(6), (b)(7)(c) on date 2/8/2019 4:36:49 PM
Extended Dollar Value of this transaction: \$28,908.00
Comments: Pre-Approval not dated.

D8B 1 011954844 AMPLIFIER,RADIO FRE
Transaction ID#: 815418787
Processed by (b)(3), (b)(6), (b)(7)(c) on date 2/8/2019 5:18:42 PM
Extended Dollar Value of this transaction: \$2,146.00
Comments: Pre-Approval not dated.

D8B 1 A 011385073 AMPLIFIER,AUDIO FRE
Transaction ID#: 818254507
Processed by (b)(3), (b)(6), (b)(7)(c) on date 3/4/2019 10:15:47 PM
Extended Dollar Value of this transaction: \$1,260.08
Comments: Pre-Approval not dated.

D9B -49 A 016009733 COMPUTER SYSTEM,DIG
Transaction ID#: 819874757
Processed by (b)(3), (b)(6), (b)(7)(c) on date 3/13/2019 10:36:59 PM
Extended Dollar Value of this transaction: (\$112,945.00)
Comments: Pre-Approval not dated, XO signed "by direction"

D8B 49 A 016447863 COMPUTER SYSTEM,DIG
Transaction ID#: 819875122
Processed by (b)(3), (b)(6), (b)(7)(c) on date 3/13/2019 11:01:38 PM
Extended Dollar Value of this transaction: \$112,945.00
Comments: Pre-Approval not dated, XO signed "by direction"

D9Z -12 A 014429686 TRACK SHOE,VEHICULA
Transaction ID#: 820024193
Processed by (b)(3), (b)(6), (b)(7)(c) on date 3/14/2019 7:56:50 PM
Extended Dollar Value of this transaction: (\$2,388.00)
Comments: Pre-Approval not dated, XO signed "by direction"

D8B 9 A 016447863 COMPUTER SYSTEM,DIG
Transaction ID#: 820066018
Processed by (b)(3), (b)(6), (b)(7)(c) on date 3/15/2019 12:24:10 AM
Extended Dollar Value of this transaction: \$20,745.00
Comments: Pre-Approval not dated, XO signed "by direction"

D8B 11 A 016447863 COMPUTER SYSTEM,DIG
Transaction ID#: 820072404
Processed by (b)(3), (b)(6), (b)(7)(c) on date 3/15/2019 12:55:29 AM
Extended Dollar Value of this transaction: \$25,355.00
Comments: Pre-Approval not dated, XO signed "by direction"

D9B -5 A 016009733 COMPUTER SYSTEM,DIG
Transaction ID#: 820073640
Processed by (b)(3), (b)(6), (b)(7)(c) on date 3/15/2019 1:35:39 AM
Extended Dollar Value of this transaction: (\$11,525.00)
Comments: Pre-Approval not dated, XO signed "by direction"

D8B 5 A 016447863 COMPUTER SYSTEM,DIG
Transaction ID#: 820073717
Processed by (b)(3), (b)(6), (b)(7)(c) on date 3/15/2019 1:38:37 AM
Extended Dollar Value of this transaction: \$11,525.00
Comments: Pre-Approval not dated, XO signed "by direction"

D9B -4 A 016009733 COMPUTER SYSTEM,DIG
Transaction ID#: 820779827
Processed by (b)(3), (b)(6), (b)(7)(c) on date 3/20/2019 8:24:48 PM
Extended Dollar Value of this transaction: (\$9,220.00)
Comments: Pre-Approval not dated.

D8B 7 A 015448314 CREW ACCESS UNIT
Transaction ID#: 821753339
Processed by (b)(3), (b)(6), (b)(7)(c) on date 3/27/2019 5:13:30 PM
Extended Dollar Value of this transaction: \$43,603.00
Comments: Pre-Approval not dated.

D8B 1 A 014900312 ENGINE W CONTAINER
Transaction ID#: 823861637
Processed by (b)(3), (b)(6), (b)(7)(c) on date 4/10/2019 4:23:25 PM
Extended Dollar Value of this transaction: \$92,530.88
Comments: Pre-Approval not dated.

D8B 1 A 002253220 POWER TAKEOFF,ENGIN
Transaction ID#: 823861940
Processed by (b)(3), (b)(6), (b)(7)(c) on date 4/10/2019 4:35:06 PM
Extended Dollar Value of this transaction: \$17,364.02
Comments: Pre-Approval not dated.

D9B -1 A 015402007 TRUCK,UTILITY
Transaction ID#: 823875016
Processed by (b)(3), (b)(6), (b)(7)(c) on date 4/10/2019 5:22:57 PM
Extended Dollar Value of this transaction: (\$186,729.00)
Comments: Pre-Approval not dated.

D8B 1 A 015448314 CREW ACCESS UNIT
Transaction ID#: 825533977
Processed by (b)(3), (b)(6), (b)(7)(c) on date 4/22/2019 4:57:45 PM
Extended Dollar Value of this transaction: \$6,229.00
Comments: Pre-Approval not dated.

D8B 1 A 015264783 NAVIGATION SET,SATE
Transaction ID#: 826314979
Processed by (b)(3), (b)(6), (b)(7)(c) on date 4/26/2019 4:03:22 PM
Extended Dollar Value of this transaction: \$3,572.71
Comments: Pre-Approval not dated.

D9B -1 A 016447863 COMPUTER SYSTEM,DIG
Transaction ID#: 827340379
Processed by (b)(3), (b)(6), (b)(7)(c) on date 5/3/2019 6:27:21 PM
Extended Dollar Value of this transaction: (\$2,305.00)
Comments: Pre-Approval not dated.

D9B -1 A 015535870 HEAD ASSEMBLY,AAV
Transaction ID#: 827356824
Processed by (b)(3), (b)(6), (b)(7)(c) on date 5/3/2019 8:44:31 PM
Extended Dollar Value of this transaction: (\$7,305.27)
Comments: Pre-Approval not dated.

D9B -4 A 015892117 COMPUTER SYSTEM,DIG
Transaction ID#: 828345574
Processed by (b)(3), (b)(6), (b)(7)(c) on date 5/10/2019 3:06:57 PM
Extended Dollar Value of this transaction: (\$17,600.00)
Comments: Key punched four days late.

D9Z -234 A 014429686 TRACK SHOE,VEHICULA
Transaction ID#: 828780601
Processed by (b)(3), (b)(6), (b)(7)(c) on date 5/15/2019 1:10:47 AM
Extended Dollar Value of this transaction: (\$46,566.00)
Comments: Pre-Approval not dated.

D8B 4 A 016447863 COMPUTER SYSTEM,DIG
Transaction ID#: 830820907
Processed by (b)(3), (b)(6), (b)(7)(c) on date 6/1/2019 12:04:06 AM
Extended Dollar Value of this transaction: \$9,220.00
Comments: Supporting voucher was missing.

D8B 1 A 015138459 COMPUTER SET,DIGITA
Transaction ID#: 830899784
Processed by (b)(3), (b)(6), (b)(7)(c) on date 6/3/2019 4:11:11 PM
Extended Dollar Value of this transaction: \$15,850.00
Comments: Pre-Approval not dated.

D9B -2 015464267 ARMOR SET,SUPPLEMEN
Transaction ID#: 830911699
Processed by (b)(3), (b)(6), (b)(7)(c) on date 6/3/2019 5:28:32 PM
Extended Dollar Value of this transaction: (\$69,063.80)
Comments: Pre-Approval not dated.

D8B 2 015464267 ARMOR SET,SUPPLEMEN
Transaction ID#: 830911841
Processed by (b)(3), (b)(6), (b)(7)(c) on date 6/3/2019 5:31:00 PM
Extended Dollar Value of this transaction: \$69,063.80
Comments: Pre-Approval not dated.

D8B 2 A 015535870 HEAD ASSEMBLY,AAV
Transaction ID#: 840789680
Processed by (b)(3), (b)(6), (b)(7)(c) on date 8/14/2019 5:02:50 PM
Extended Dollar Value of this transaction: \$14,610.54
Comments: Pre-Approval not dated.

D9B -6 A 014628411 RADIO SET
Transaction ID#: 842486809
Processed by (b)(3), (b)(6), (b)(7)(c) on date 8/27/2019 3:13:12 PM
Extended Dollar Value of this transaction: (\$146,814.00)
Comments: Supporting voucher was missing.

11. Are Money Value Gain/Loss (MVGL) Notices certified by the CO/AO within the required timeframe and are they maintained on file? (MCO 4400.201, Volume 4, Chapter 5, Paragraph 051203, and Chapter 7, Paragraph 0704; UM 4000-125, Part 3, Chapter 2, Paragraph 3.g(4)(d)). LOE: Property Accountability

No

Discrepancies resulted from ineffective communication, filing procedures by the property Marines, and supervisory oversight by Supply leadership. Multiple Marines were involved with transacting on pre-approved adjustments and retrieving MVGL Notices. On various occasions, they failed to notify each other when gain/loss transactions were processed, and MVGL Notices were required to be retrieved and forwarded to the CO/AO for certification. Additionally the supply leadership did not provide adequate oversight to ensure MVGL Notices were certified within required timeframes.

25 of 64 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

3 record(s): Money Value Gain/Loss Notices were not certified by the CO/AO.
12 record(s): Money Value Gain/Loss Notices were not maintained on file.
10 record(s): Money Value Gain/Loss Notices were not certified within the required timeframe.

Txn	Qty	T/P	NIIN	Txn Date	Date Certified	Days Late
D9B	-1	-\$11,034.57	015709746	05-Sep-18	Missing	N/A
D8B	1	\$11,679.00	015596055	16-Nov-18	10-Jan-20	39
D8B	1	\$8,583.79	015924787	14-Dec-18	10-Jan-20	11
D8B	1	\$40,080.00	015448296	14-Dec-18	10-Jan-20	11
D8B	1	\$7,305.27	015535870	20-Dec-18	10-Jan-19	6
D9B	-7	-\$280,560.00	015448296	18-Jan-19	22-Feb-19	14
D8B	1	\$18,792.00	016106641	18-Jan-19	22-Feb-19	5
D8B	1	\$4,664.24	011394925	25-Jan-19	22-Feb-19	5
D8B	1	\$4,664.24	011394925	25-Jan-19	22-Feb-19	N/A
D9B	-1	-\$78,928.95	015541735	31-Jan-19	22-Feb-19	4
D8B	1	\$1,260.08	011385073	04-Mar-19	3-Apr-19	4
D9B	-49	-\$112,945.00	016009733	13-Mar-19	3-Apr-19	4
D8B	49	\$112,945.00	016447863	13-Mar-19	3-Apr-19	4
D9Z	-12	-\$2,388.00	014429686	14-Mar-19	Missing	N/A
D8B	9	\$20,745.00	016447863	15-Mar-19	3-Apr-19	4
D8B	11	\$25,355.00	016447863	15-Mar-19	3-Apr-19	4
D9B	-5	-\$11,525.00	016009733	15-Mar-19	3-Apr-19	4
D8B	5	\$11,525.00	016447863	15-Mar-19	3-Apr-19	4
D8B	7	\$43,603.00	015448314	27-Mar-19	18-Apr-19	6
D9Z	-234	-\$46,566.00	014429686	15-May-19	Missing	N/A
D8B	1	\$15,850.00	015138459	20-May-19	13-Jun-19	6

D9B	-1	-\$2,451.00	015265612	21-May-19	13-Jun-19	7
D8B	4	\$9,220.00	016447863	01-Jun-19	Missing	N/A
D8B	1	\$2,005.86	015596037	02-Aug-19	Not Dated	N/A
D9B	-6	-\$146,814.00	014628411	27-Aug-19	Missing	N/A

12. Are annual physical inventories conducted, approved by the CO/AO, and maintained on file? (MCO 4400.201, Volume 4, Chapter 2, Paragraph 020401 and Chapter 7, Paragraph 0703; UM 4000-125, Part 3, Chapter 3, Paragraph 4.b.).
LOE: Property Accountability

Yes

1 record reviewed during the analysis was compliant with current directives.

13. Did the annual physical inventory report contain the required elements? (MCO 4400.201, Volume 4, Chapter 7, Paragraph 0703 and Chapter 5, Paragraph 051204A). LOE: Property Accountability

No

The discrepancy was an oversight by the Supply Officer. He failed to ensure the template used for reporting annual inventory results listed the requirement below.

1 of 1 records reviewed during the analysis was discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record.

1 record(s): Did not state corrective action required or initiated to reduce future variances.

14. Were all required adjustments as a result of the annual inventory processed to affect the accountable balances and processed within the required timeframe? (MCO 4400.201 Volume 4, Chapter 5, Paragraph 051204 and Chapter 7, Paragraph 0703; UM 4000-125, Part 3, Chapter 2, Paragraph 3.c(2)).
LOE: Property Accountability

Yes

14 records reviewed during the analysis were compliant with current directives.

15. Are key supporting documents (Authorization and DD 1348-1) supporting equipment transfers affecting the accounting records filed in the voucher file? (MCO 4400.201, Volume 3, Chapter 2, Paragraphs 021002 and 0217, Volume 6, Chapter 7, Paragraph 070210; UM 4000-125, Part 3, Chapter 1, Paragraph 13.c, and Chapter 2, Paragraph 2.b). LOE: Property Accountability

No

The discrepancies resulted from the Property Control section's ineffective records retention procedures, lack of attention to detail, insufficient knowledge, and minimal supervisory oversight. It was extremely difficult for the property section to locate the Key Supporting Documents sampled, even with the extra time allotted for this question. Many of the KSDs provided

were incomplete and missing the proof of shipment or authorization (i.e., Disposition Instructions, AMHS). Furthermore, it was evident that the supply personnel were insufficiently trained and the desktop procedures did not capture the requirements for equipment transfers.

47 records(s) that were reviewed did not have the required/appropriate supporting documentation on hand.

The following listing represents those record(s) that failed the review process IAW current directives.

Document Number	TAMCN	NIIN	UP	Date	Nomenclature
M2182082620005	E07967K	014587318	\$2,000,000.00	9/19/2018	ASSAULT VEHICLE, FUL
Comments: KSD was not signed.					
M2182082750001	C79307B	015187339	\$285,000.00	10/2/2018	SHOP EQUIPMENT, GENE
Comments: Authorization missing.					
M2182082760007	C79042B	015219685	\$6,900.00	10/3/2018	SHOP EQUIPMENT, GENE
Comments: Authorization missing.					
M2182082760009	E09897M	014123129	\$7,927.00	10/3/2018	MACHINE GUN, 7.62 MI
Comments: Authorization missing.					
M2182082760018	E00297K	013706105	\$165,000.00	10/3/2018	ARMOR SET, SUPPLEMEN
Comments: Authorization missing.					
M2182082760028	E08467K	014587410	\$3,500,000.00	10/3/2018	ASSAULT VEHICLE, FUL
Comments: Authorization missing.					
M2182082760035	E07967K	014587318	\$2,000,000.00	10/3/2018	ASSAULT VEHICLE, FUL
Comments: Authorization missing.					
M2182082760043	E01347G	016192962	\$2,199.08	10/3/2018	SIGHT UNIT
Comments: Authorization missing.					
M2182082970036		015549530	\$6,000.00	10/24/2018	RECEIVER-TRANSMITTE
Comments: No supporting documentation present.					
M2182082980001	E01957M	012310973	\$641.35	10/25/2018	CARBINE, 5.56 MILLIM
Comments: KSD was not signed.					
M2182083020012	E00177M	015341114	\$865.00	10/29/2018	SIGHT, BORE, OPTICAL
Comments: KSD was not signed.					
M2182083040001		015596055	\$11,679.00	10/31/2018	VAU 50W HV-203
Comments: No supporting documentation present.					
M2182083040033	E08567K	014587550	\$2,000,000.00	10/31/2018	ASSAULT VEHICLE, FUL
Comments: No supporting documentation present.					
M2182083100009		011385787	\$4,125.97	11/6/2018	CONTROL, INTERCOMMUN
Comments: No supporting documentation present.					
M2182083300010	B13157B	016436075	\$150,000.00	11/26/2018	LAUNCHER, MINE CLEAR
Comments: No supporting documentation present.					

M2182090090213 E08467K 014587410 \$3,500,000.00 1/9/2019 ASSAULT VEHICLE, FUL
Comments: Authorization missing.

M2182090090218 E07967K 014587318 \$2,000,000.00 1/9/2019 ASSAULT VEHICLE, FUL
Comments: Authorization missing.

M2182090100001 E07967K 014587318 \$2,000,000.00 1/10/2019 ASSAULT VEHICLE, FUL
Comments: Supporting documentation was missing

M2182090100002 E08467K 014587410 \$3,500,000.00 1/10/2019 ASSAULT VEHICLE, FUL
Comments: No supporting documentation present.

M2182090300007 013343164 \$5,562.00 1/30/2019 AMPLIFIER, ADAPTER, V
Comments: No supporting documentation present.

M2182090360164 E07967K 014587318 \$2,000,000.00 2/5/2019 ASSAULT VEHICLE, FUL
Comments: No supporting documentation present.

M2182090360165 E08467K 014587410 \$3,500,000.00 2/5/2019 ASSAULT VEHICLE, FUL
Comments: No supporting documentation present.

M2182090360256 B25617B 016417505 \$99,245.04 2/5/2019 TRUCK, LIFT, FORK
Comments: No supporting documentation present.

M2182090420001 A04337G 016247677 \$876,164.38 2/11/2019 COMMAND AND CONTROL
Comments: No supporting documentation present.

M2182090420002 A04357G 016247676 \$264,357.51 2/11/2019 NETWORK MANAGEMENT
Comments: Authorization missing.

M2182090420003 E00177M 015341114 \$865.00 2/11/2019 SIGHT, BORE, OPTICAL
Comments: No supporting documentation present.

M2182090630003 011250461 \$134,782.74 3/4/2019 STEER UNIT, HYDRASTA
Comments: No supporting documentation present.

M2182090650009 014441219 \$8,832.00 3/6/2019 RECEIVER-TRANSMITTE
Comments: No supporting documentation present.

M2182090730022 E00177M 015341114 \$865.00 3/14/2019 SIGHT, BORE, OPTICAL
Comments: No supporting documentation present.

M2182090800001 E07967K 014587318 \$2,000,000.00 3/21/2019 ASSAULT VEHICLE, FUL
Comments: No supporting documentation present.

M2182090810001 D12147K 015430651 \$1,013,405.24 3/22/2019 TRUCK, WRECKER, LVSR
Comments: No supporting documentation present.

M2182090920001 011385073 \$1,260.08 4/2/2019 AMPLIFIER, AUDIO FRE
Comments: No supporting documentation present.

M2182090940040 E08467K 014587410 \$3,500,000.00 4/4/2019 ASSAULT VEHICLE, FUL
Comments: DD1149 not signed.

M2182091260013 D00547K 015939122 \$1,013,405.24 5/6/2019 TRUCK, WRECKER
Comments: DD1149 not signed.

M2182091440001 E08467K 014587410 \$3,500,000.00 5/24/2019 ASSAULT VEHICLE, FUL
Comments: No authorization on file.

M2182091640001 D08807K 011087367 \$22,000.00 6/13/2019 TRAILER, TANK
Comments: DD1149 not signed.

M2182091760005 B15807B 012404579 \$23,350.00 6/25/2019 FUEL PUMP MODULE AY
Comments: KSD not signed.

M2182091820010 E00297K 013706105 \$165,000.00 7/1/2019 ARMOR SET, SUPPLEMEN
Comments: Authorization missing, items sent to DRMO.

M2182091910007 015852735 \$35,629.00 7/10/2019 RECEIVER-TRANSMITTE
Comments: No supporting documentation present.

M2182092120001 E08467K 014587410 \$3,500,000.00 7/31/2019 ASSAULT VEHICLE, FUL
Comments: No supporting documentation present.

M2182092190001 E08467K 014587410 \$3,500,000.00 8/7/2019 ASSAULT VEHICLE, FUL
Comments: No supporting documentation present.

M2182092280016 E01237M 015111250 \$12,886.00 8/16/2019 MACHINE GUN, CALIBER
Comments: KSDs not signed.

M2182092380030 E07967K 014587318 \$2,000,000.00 8/26/2019 ASSAULT VEHICLE, FUL
Comments: KSDs not signed.

M2182092380031 E08467K 014587410 \$3,500,000.00 8/26/2019 ASSAULT VEHICLE, FUL
Comments: KSDs not signed.

M2182092380075 014726681 \$241,473.90 8/26/2019 TRANSMISSION AND CO
Comments: No supporting documentation present.

M2182092410011 015549530 \$6,000.00 8/29/2019 RECEIVER-TRANSMITTE
Comments: No supporting documentation present.

MMV22282780012 D02117K 015883373 \$140,511.00 10/5/2018 FLATRACK, REFUELER
Comments: No supporting documentation present.

16. Are NAVMC 10359s or local generated documents prepared for all temporary loans? (MCO 4400.201, Volume 3, Chapter 4, Paragraph 0408; UM 4000-125, Part 3, Chapter 2, Paragraph 5). LOE: Property Accountability

N/A - There were no Temp-Loans to analyze.

17. Does the IB instance reflect "Sub-Custody" party relationship and loaner status? (MCO 4400.201, Volume 3, Chapter 4, Paragraph 0408; UM 4000-125, Part 3, Chapter 2, Paragraph 5)). LOE: Property Accountability

N/A - There were no Temp-Loans to analyze.

18. Are all temporary loans current? (MCO 4400.201, Volume 3, Chapter 4, Paragraph 0408). LOE: Property Accountability

N/A - There were no Temp-Loans to analyze.

19. Do unit personnel have access to (DLA-DS Transportation Scheduler) for appointment scheduling of disposal turn-ins and DLA-DS Electronic Document Management Suite (EDOCS) to retrieve copies of the 1348-1A and/or Bill of Lading (If appropriate)? (MCO 4400.201, Volume 6, Chapter 7, Paragraphs 070207 and 070210). LOE: Property Accountability

No

The Supply leadership failed to familiarize themselves and train warehouse personnel with the prescribed DLA-DS process outlined in MCO 4400.201 Vol 6. Consequently, unit personnel did not have access to the Electronic Document Management Suite (EDOCS) and were not retrieving the DLA-DS processed Key Supporting Documentation. Additionally, GCSS-MC tracked items turned into DLA-DS were transferred using the Electronic Turn In Documents (ETID)s, rather than in GCSS-MC as required.

1 of 2 records reviewed during the analysis was discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record.

1 record(s): Unit personnel did not have access to EDOCS.

20. Are Missing, Lost, Stolen, and Recovered (MLSR) Reports (messages) submitted as required? (MCO 4400.201, Volume 4, Chapter 5, Paragraph 0515; MCO 5530.14A Paragraph 10001). LOE: Property Accountability

N/A - No MLSR are available for this analysis.

21. Are TAMCN SSRI (children) component items configured with their parent items? (MCO 4400.201, Volume 3, Chapter 2, Paragraphs 020603 and 021402; UM 4000-125, Part 4, Chapter 1, Paragraphs 1 and 2). LOE: Property Accountability

No

The discrepancy resulted from a lack of attention to detail by the Responsible Officer. During the initial parent/child configuration of the identified discrepancies, the child items were inaccurately reported to Supply for addition to the unit's property records. The Responsible Officer have submitted discrepancy letters to correct the serial number errors.

3 of 88 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

3 record(s): Serial number is not correct for the child.

SUC	Parent TAMCN	Parent S/N	Child TAMCN	Child S/N	Remarks
YBC	D00527K	653083	E00712B	MMSA02-3004	Correct S/N: GPK653083
YBC	D00527K	653089	E00712B	MMSA02-3013	Correct S/N: GPK653089
YDC	D00037K	638470	E00712B	MMSA02-3010	Correct S/N: GPK638470

Commodity Area: Supply
Functional Area: Control of Serialized Small Arms
Analyzed By: MSgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Three

1. Does the unit have appropriate personnel assigned to effect changes to the Marine Corps Serialized Small Arms/Light Weapons Registry? (CMC Message 061923Z MAY 13; CMC Message 251855Z FEB 15; MCO 8300.1D, paragraph 4.b(5)(j)). LOE: Property Accountability

Yes

13 records reviewed during the analysis were compliant with current directives.

2. Are signed copies of all receipts, issues, and documentation to support losses (to include combat losses) and gains for small arms submitted to NAVSURWARCENDIV, Crane (NSWC) via the Crane Small Arms Web Portal within 48 hours? (MCO 8300.1D, Paragraphs 4.b(5)(b) thru 4b.(5)(k), 5.a, 6, 8.b, 9.a, and 19.c; UM 4000-125, Part 3, Chapter 1, Paragraph 13.c and Chapter 2, Paragraph 3.h(2)(c)). LOE: Property Accountability

No

Discrepancies resulted from Supply personnel's ineffective procedures for notifying NSWC Crane of weapon transfers. The property section would perform the physical transfer, e-mail the key supporting documentation (KSD) substantiating the transfer to the Supply Officer. The Supply Officer was the only individual with approval rights within the Crane Registry and when he was out of the office for an extended period i.e.; TAD, leave or training, notification of weapon transfers were delayed.

10 of 27 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

10 record(s): Supporting documents were not submitted to Crane within 48 hours.

Document	From	To	NIIN	Qty	TxDate	Transfer Date	Days late
M9882291970132	MMSA52	M21820	013626513	16	8/20/2019	9-Aug-19	9
M2182092280016	M21820	MMSA51	015111250	1	8/19/2019	Missing	
M2182091990021	M21820	M20371	012310973	1	7/30/2019	18-Jul-19	10
M2182091820039	M21820	MMSA51	011182640	1	7/12/2019	Missing	
M1112090880026	M11120	M21820	013626513	13	4/8/2019	1-Apr-19	5
M1112090880040	M11120	M21820	013626237	13	4/8/2019	1-Apr-19	5
M1112090880032	M11120	M21820	014123129	2	4/8/2019	1-Apr-19	5
M1112090880030	M11120	M21820	011182640	7	4/8/2019	1-Apr-19	5
M1112090880012	M11120	M21820	014958511	4	4/8/2019	1-Apr-19	5
M1112090880018	M11120	M21820	012310973	55	4/8/2019	1-Apr-19	5

3. Are inventories of serialized small arms conducted monthly?
(MCO 4400.201, Volume 3, Chapter 2, Paragraph 020902 and Volume 4, Chapter 2, Paragraph 020508; MCO 5530.14A, Paragraph 8003.4.b(4); MCO 8300.1D, Paragraphs 4.b(5) (1)1, 4.b(5) (p), and 11.a). LOE: Property Accountability

No

These discrepancies resulted from a lack of attention to detail, and misunderstanding for properly documenting the completion of Monthly Serialized Inventories (MSI) by the Supply leadership. The Supply leadership was unaware that the Defense Property Accounting System (DPAS) Custodial Asset Report (CAR) was required to be verified during the conduct of the MSI. Additionally the CO endorsements were not dated, resulting in the analyst being unable to determine if the results were reviewed within the required timeframes and the inventory conducted within the month.

12 of 12 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

12 record(s): MSI was missing Review the DPAS CAR used in the inventory.

1 record(s): MSI was missing Proof of the use of the NWSC Serialized Weapons List.

12 record(s): MSI CO's endorsements were not dated.

Month	Year	Remarks
Oct	2018	CO's endorsement not dated and DPAS CAR was not used.
Nov	2018	CO's endorsement not dated and DPAS CAR was not used.
Dec	2018	CO's endorsement not dated and DPAS CAR was not used.
Jan	2019	CO's endorsement not dated and DPAS CAR was not used.
Feb	2019	CO's endorsement not dated and DPAS CAR was not used.
Mar	2019	CO's endorsement not dated, DPAS CAR was not used, and Inventory appointment letter not endorsed.
Apr	2019	CO's endorsement not dated and DPAS CAR was not used.
May	2019	CO's endorsement not dated and DPAS CAR was not used.
Jun	2019	CO's endorsement not dated, DPAS CAR was not used, and CRANE Extract not used.
Jul	2019	CO's endorsement not dated and DPAS CAR was not used.
Aug	2019	CO's endorsement not dated and DPAS CAR was not used.

4. Are discrepancies noted on monthly serialized inventories of small arms reconciled through to completion? (MCO 4400.201, Volume 3, Chapter 2, Paragraph 020902; MCO 5530.14A, Paragraph 8003.4.b(4); MCO 8300.1D, Enclosure (1), Paragraphs 4.b(5) (1)1, 4.b(5) (p), and 11.a).
LOE: Property Accountability

Yes

7 records reviewed during the analysis were compliant with current directives.

5. Is the unit completing the annual reconciliation and verification of small arms with NSWC, Crane, IN within the required timeframe? (MCO 8300.1D, Enclosure (1), Paragraphs 11.b, 11.c, and 19.d; MCO 4400.201, Volume 4, Chapter 2, Paragraphs 020508 and 0705). LOE: Property Accountability

Yes

1 record reviewed during the analysis was compliant with current directives.

Annual Crane due 17 June 2019, unit submitted on 31 May 2019.

6. Are Approval to Retain Letters or loan agreements from the National Museum of the Marine Corps (NMMC) at the unit for small arms/light weapons on hand that are designated as war trophies, historical property, or heritage assets? (MCO 4400.201, Volume 3, Chapter 4, Paragraph 040910; MCO 5750.1H, Chapter 3, Paragraphs 6.a and 6.b; MCO 8300.1D, Enclosure (1), Paragraph 12). LOE: Property Accountability

Yes

4 records reviewed during the analysis were compliant with current directives.

7. Are small arms/light weapons with Approval to Retain Letters or loan agreements from the National Museum of the Marine Corps (NMMC) properly stored/secured in accordance with the loan agreement requirements? (MCO 4400.201, Volume 3, Chapter 4, Paragraph 040910; MCO 8300.1D, Enclosure (1), Paragraph 13). LOE: Property Accountability

Yes

4 records reviewed during the analysis were compliant with current directives.

8. Are Demil certificates present for small arms/light weapons on hand that are designated as war trophies, historical property, or heritage assets? (MCO 4400.201, Volume 3, Chapter 4, Paragraph 040910; MCO 5530.14A, Enclosure (1), Paragraph 8018.5; MCO 8300.1D, Enclosure (1), Paragraphs 5.d(3)(c) and 12.a(6)). LOE: Property Accountability

Yes

4 records reviewed during the analysis were compliant with current directives.

9. Are Crane reportable weapon serial numbers being accounted for correctly on the unit's Serialized Small Arms Report? (DoD 4000.25-2-M, Chapter 7.2.5.1; MCO 4400.201, Volume 3, Chapter 2, Paragraph 020901; MCO 8300.1D, Enclosure (1), Paragraphs 3.c.(1) and Paragraph 5; UM 4000-125, Part 3, Chapter 1, Paragraph 2.e(2) and Chapter 2, Paragraph 3.h.2(a)). LOE: Property Accountability

Yes

During this analysis a complete reconciliation of the units CRANE Report to the unit IB/DPAS accounts was conducted. This reconciliation encompassed a total of 1748 CRANE Reportable assets and produced the following results.

CRANE assets properly accounted for in GCSS/DPAS and CRANE: 1726
CRANE assets currently being processed to be accounted for: 22

CRANE assets currently in GCSS/DPAS and not resident on CRANE: 0
CRANE assets currently resident on CRANE and not in GCSS/DPAS: 0
CRANE assets currently on hand and not in GCSS/DPAS nor CRANE: 0

10. Are Non-standard weapons correctly accounted for? (MCO 4400.201, Volume 3, Chapter 2, Paragraphs 020505, 020903, and 0409; MCO 8300.1D, Paragraph 5.d). LOE: Property Accountability

No

Discrepancies resulted from the Supply leadership's lack of familiarity with accountability requirements for their Non-Standard Weapons.

2 of 6 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

2 record(s): Non-Standard weapon(s) not reflected on unit's DPAS account.

TAMCN	NIIN	Qty	Nomen	SN	Remarks
N/A	002837695	1	RIFLE,7.62 MILLIMET	1487773	Ceremonial weapon accounted for on unit's GCSS-MC and CRANE.

N/A	002837695	1	RIFLE,7.62 MILLIMET	485002	Ceremonial weapon accounted for on unit's GCSS-MC and CRANE.
-----	-----------	---	---------------------	--------	--

Commodity Area: Supply
Functional Area: General Supply Procedures
Analyzed By: GySgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Four

1. Are Commanding Officer/Accountable Officer Certificate of Relief Letters retained in the supply files? (MCO 4400.201, Volume 3, Chapter 1, Paragraph 010901, Chapter 2, Paragraph 021002, and Appendix G).
LOE: Property Accountability

No

The CO's Certificate of Relief does not contain the minimum requirements. The Certificate of Relief does not address temploans or any pending investigations. The Supply Officer failed to familiarize himself with MCO 4400.201, Volume 3 which outlines the minimum requirements for the Certificate of Relief.

1 of 1 records reviewed during the analysis was discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record.

1 record(s): Missing minimum requirements.

CO COR from LtCol William E. O'Brien to LtCol Keith C. Brenize on 30 May 2018.

2. Are Supply Officers' Appointment Letters retained in the supply files? (MCO 4400.201, Volume 3, Chapter 1, Paragraph 010902, Chapter 2, Paragraph 021002, and Appendix A). LOE: Miscellaneous Accounting

Yes

1 record reviewed during the analysis was compliant with current directives.

3. Are Supply Officers' Certificate of Relief Letters and all endorsements retained in the supply files? (MCO 4400.201, Volume 3, Chapter 1, Paragraph 010902, Chapter 2, Paragraph 021002, and Appendix H). LOE: Property Accountability

No

The Supply Officer's Certificate of Relief does not contain the minimum requirements. The Certificate of Relief does not address garrison property, temploans, or any pending investigations. The Supply Officer failed to familiarize himself with MCO 4400.201, Volume 3 which outlines the minimum requirements for the Certificate of Relief.

1 of 1 records reviewed during the analysis was discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record.

1 record(s): Other Cause(s) Not Listed.

Supply Officer COR 1stLt (b)(3), (b)(6), (b)(7)(c) to Capt (b)(3), (b)(6), (b)(7)(c) on
11 Jan 2018.

4. Have Responsible Officers (ROs) been appointed in writing by the CO/AO, and has the appointment letter been endorsed (RO Acceptance) by the RO? (MCO 4400.201, Volume 3, Chapter 1, Paragraph 010903 and Appendix B). LOE: Miscellaneous Accounting

No

The Supply Officer failed to ensure all Responsible Officers endorsed their appointment letters. In one case, the Responsible Officer signed the CMR acknowledging acceptance.

1 of 21 records reviewed during the analysis was discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record.

1 record(s): No RO Endorsement.

YADL

(1) Missing RO endorsement.

5. Are roles assigned to manage the consumer-level supply inventory? (MCO 4400.201, Volume 1, Chapter 2, Paragraph 0208; MCO 4400.201, Volume 3, Appendix A; CMC Message 241744Z JAN 17). LOE: Miscellaneous Accounting

Yes

6 records reviewed during the analysis were compliant with current directives.

6. Has the Supply Officer conducted a semi-annual internal control review of the account? (MCO 4400.201, Volume 3, Chapter 1, Paragraph 0117; NAVMC 4000.5C, Paragraph 2.b). LOE: Property Accountability

No

The internal control checklist reviews were present and contain both corrective action plan and plan of action and milestones; however, have they have been proven ineffective. Both semi-annual periods contain almost the same information. Discrepancies identified on these self-assessments continue to recur based on current analysis.

2 of 2 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

2 record(s): Semi-annual review was not effective.

Period: Jul 2018 - Dec 2018 and Jan 2019 - Jun 2019 contained the exact same discrepancies.

7. Does the command maintain accountability of all commercial ServMart/fuel cards/keys by card/key number? (DoDM 4140-25-M, Volume 2; NAVSUPINST 4200.98B, Enclosure (1), Paragraph 7). LOE: Miscellaneous Accounting

N/A- This question is not analyzed at this time.

Commodity Area: Supply
Functional Area: Warehousing
Analyzed By: MSgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Zero

1. Is a stock locator file maintained in such a manner to permit accurate location and accountability of supplies? (MCO 4400.201, Volume 3, Chapter 3, Paragraphs 030506.D and 030306 and Volume 4, Chapter 3, Paragraph 0306).
LOE: Miscellaneous Accounting

Yes

38 records reviewed during the analysis were compliant with current directives.

2. Is property stored in a serviceable, ready for issue condition, and SL-3 complete? (MCO 4400.201, Volume 3, Chapter 2, Paragraph 021805.E and Chapter 3, Paragraph 030208). LOE: Miscellaneous Accounting

Yes

29 records reviewed during the analysis were compliant with current directives.

3. Are unit personnel signing for issued Individual Combat Clothing and Equipment (ICCE)? (MCO 4400.201, Volume 3, Chapter 2, Paragraph 020507 and Volume 13, Chapter 6, Paragraph 0603). LOE: Property Accountability

Yes

83 records reviewed during the analysis were compliant with current directives.

4. Is the unit recovering Individual Combat Clothing and Equipment (ICCE)? (MCO 4400.201, Volume 3, Chapter 1, Paragraphs 010703, 020601, and 020602 and Chapter 4, Paragraph 042202). LOE: Property Accountability

Yes

83 records reviewed during the analysis were compliant with current directives.

Commodity Area: Supply
Functional Area: Personal Effects
Analyzed By: MSgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: One

1. Have individual case files been established? (MCO 4400.201, Volume 13, Chapter 14, Paragraph 1406, and Chapter 15, Paragraphs 1509 and 1510).
LOE: Miscellaneous Accounting

No

The discrepancies resulted from ineffective communication between the unit's legal section and Supply. The PE Custodians were checking the Marine On Line (MOL) morning report; however, since the status for the Marines listed below was never updated in MOL, the PE Custodians were not aware case files were required to be established. Additional sampled PE Case files indicated the Personal Effects Custodians were familiar with requirements.

14 of 105 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

14 record(s): Inventories were not being conducted as required.

RANK	LNAME	FNAME	STATUS	DATE OF STATUS
PVT	(b)(3), (b)(6), (b)(7)(c)	(b)(3), (b)(6), (b)(7)(c)	BRIG	9/21/2018
PVT	(b)(3), (b)(6), (b)(7)(c)	(b)(3), (b)(6), (b)(7)(c)	IHCA	10/29/2018
LCPL	(b)(3), (b)(6), (b)(7)(c)	(b)(3), (b)(6), (b)(7)(c)	IHCA	7/2/2019
SSGT	(b)(3), (b)(6), (b)(7)(c)	(b)(3), (b)(6), (b)(7)(c)	IHCA	6/26/2019
PFC	(b)(3), (b)(6), (b)(7)(c)	(b)(3), (b)(6), (b)(7)(c)	OTH	8/20/2019
LCPL	(b)(3), (b)(6), (b)(7)(c)	(b)(3), (b)(6), (b)(7)(c)	OTH	6/19/2019
LCPL	(b)(3), (b)(6), (b)(7)(c)	(b)(3), (b)(6), (b)(7)(c)	OTH	6/3/2019
SGT	(b)(3), (b)(6), (b)(7)(c)	(b)(3), (b)(6), (b)(7)(c)	OTH	8/27/2019
PFC	(b)(3), (b)(6), (b)(7)(c)	(b)(3), (b)(6), (b)(7)(c)	OTH	4/5/2019
PFC	(b)(3), (b)(6), (b)(7)(c)	(b)(3), (b)(6), (b)(7)(c)	OTH	5/29/2019
SSGT	(b)(3), (b)(6), (b)(7)(c)	(b)(3), (b)(6), (b)(7)(c)	OTH	1/17/2019
PFC	(b)(3), (b)(6), (b)(7)(c)	(b)(3), (b)(6), (b)(7)(c)	OTH	10/26/2018
CPL	(b)(3), (b)(6), (b)(7)(c)	(b)(3), (b)(6), (b)(7)(c)	OTH	10/19/2018
SSGT	(b)(3), (b)(6), (b)(7)(c)	(b)(3), (b)(6), (b)(7)(c)	OTH	08/24/2018

2. Are personal effects inventories conducted within the required timeframe? (MCO 4400.201, Volume 13, Chapter 15, Paragraph 150703.F).
LOE: Miscellaneous Accounting

Yes

90 records reviewed during the analysis were compliant with current directives.

3. Has government property been inventoried and cited on the appropriate locally generated form/letter and retained with the personal effects? (MCO 4400.201, Volume 13, Chapter 15, Paragraph 150302). LOE: Miscellaneous Accounting

Yes

5 records reviewed during the analysis were compliant with current directives.

4. Are personal effects storage containers marked or tagged with the required information? (MCO 4400.201, Volume 13, Chapter 15, Paragraph 150702). LOE: Miscellaneous Accounting

Yes

5 records reviewed during the analysis were compliant with current directives.

5. Does the original or copy of the personal effects inventory form (NAVMC 10154) contain the required information? (MCO 4400.201, Volume 13, Chapter 15, Paragraphs 1503, 1504, and 1505). LOE: Miscellaneous Accounting

Yes

20 records reviewed during the analysis were compliant with current directives.

6. Are all personal effects inventories entered into the logbook to include all required information to record receipt/disposition of personal effects? (MCO 4400.201, Volume 13, Chapter 14, Paragraph 140601 and Chapter 15, Paragraph 150703). LOE: Miscellaneous Accounting

Yes

20 records reviewed during the analysis were compliant with current directives.

7. Is a secure location with controlled access designated for storage of personal effects? (MCO 4400.201, Volume 13, Chapter 14, Paragraph 1403, Chapter 15, Paragraph 1507, Chapter 18, Paragraph 1801, Chapter 19, Paragraphs 1901 and 190503; Chapter 20, Paragraphs 200301). LOE: Miscellaneous Accounting

Yes

1 record reviewed during the analysis was compliant with current directives.

8. When recovery inventories were conducted for personnel discharged for reasons of other than honorable conditions, and/or granted appellate leave, were the NAVMC 631/631A completed and, if shortages were noted, did the Commanding Officer sign the certificate statement? (MCO 4400.201, Volume 13, Chapter 15, Paragraph 1509). LOE: Miscellaneous Accounting

Yes

6 records reviewed during the analysis were compliant with current directives.

9. Whether supported by a Personal Effects Baggage Claim Center or not, has disposition of personal effects, to include government property, abandoned or unclaimed personal property, and/or personal effects not transferred to the proper recipient been accomplished as required? (MCO 4400.201, Volume 13, Chapter 15, Paragraph 1508, Chapter 16, Paragraph 1604, Chapter 17, Paragraph 1703, Chapter 18, Paragraphs 1802 and 1803, and Chapter 19, Paragraphs 1902, 190301, and 1906). LOE: Miscellaneous Accounting

Yes

12 records reviewed during the analysis were compliant with current directives.

Commodity Area: Supply
Functional Area: Requisition Management
Analyzed By: GySgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Six

1. Are requisitions managed for continuous supply support of unit operations? (DLMS Manual, Volume 2, Chapter 17; MCO 4400.150, Chapter 3, Paragraph 1.a, 6, and 7; MCO P4400.151B, Paragraphs 1009.4, 1009.5, and 5002.4.c; UM 4000-125, Part 3, Chapter 5, Paragraphs 4 and Paragraph 6).
LOE: Procurement

No

The requisition clerk at Battalion Supply and its outlying companies, failed to manage the DASF. Due to the geographical location of one of its companies has been granted approval authority under the purview of the Battalion Account Activity Address Code (AAC). Due to the lack of experience, supervision, defined responsibilities, and reconciliation by all clerks led to the mismanagement of requisitions.

25 of 80 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

25 record(s): Follow-ups were not being processed.

M2182082850062, M2182083530009, M2182090710058, M2182092380003,
M2182092380004, M2182092380006, M2182092380007, M2182092380008,
M2182092380013, M2182092380014, M2182092380015, M2182092380017,
M2182092380018, M2182092380019, M2182092380020, M2182092380021,
M2182092380023, M2182092380024, M2182092380025, M2182092380056,
M2182092380057, M2182092380058, M2182092380059, M2182092380060
M2182092380061

2. Are aged materiel shipments identified and processed within established timeframes when required? (CMC Message 071911Z May 13 (MRA Procedures); CMC Message 081417Z Apr 11; DLMS Manual DoD 4000.25-M, Volume 2, Chapter 17; MCO 4400.150, Chapter 3, Paragraph 7.b; MCO 4400.16H, Enclosure 1, Appendix A, Paragraph 9; UM 4000-125, Part 3, Chapter 5, Paragraphs 6 through 9).
LOE: Procurement

No

The DASF clerk failed to manage aged requisitions. The current DASF clerk does not have the knowledge, is not provided with supervision on how to address aged shipments, follow actions required to provide adequate and timely support for parts/equipment that has been identified as in transit/shipped. Supply Discrepancy Reports (SDRs) were submitted and receipts processed without a response from the source of supply (SOS).

3 of 80 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

3 record(s): The correct action was not taken on aged shipments.

Doc Number	T/P	Status Date	Comments
M9545082070011	\$14,924.70	17-Nov-2018	MRO tracker provided delivery information.
M2182090770021	\$44.90	13 Aug-2019	MRO tracker provided delivery information
M2182091770031	\$0.38	27-Jun-2019	MRO tracker provided delivery information

Analyst Note

While there were only three Standard Document Numbers resident on the DASF, there was evidence the unit processed lost shipment for an additional 21 aged shipments for previous Fiscal year requisitions in order to remove them DASF without further causative research. Additionally the action codes utilized by the DASF clerk were not reconciled for completeness, specifically the DASF clerk utilized code 1G "reshipment not required, item to be requisitioned" and yet these transactions are valued at over 150k with no credit issued which may have resulted in the loss of funds.

3. Does a bona-fide need still exist for MILSTRIP requisitions? (CMC Message 171157Z JUL 15; DoD FMR 7000.14-R Vol. 3, Chapter 8, Paragraphs 080201, 080303, 080401, and 080410). LOE: Procurement

No

The DASF clerk was conducting reconciliation with the Maintenance Management Office (MMO) and commodities but failed to identify errors during the reconciliation by utilizing the Maintenance Production Report (MPR) as a source of information and not validating all open requisitions on the DASF to an appropriate Service Request.

9 of 348 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

9 record(s): Open document on closed SR.

Doc Number	T/P	Status Date
M2182083470373	\$891.11	8/19/2019
M2182090350041	\$151.16	5/28/2019
M2182090350066	\$17.26	2/28/2019
M2182090370025	\$38.21	8/22/2019
M2182090440866	\$109.59	8/27/2019
M2182090770021	\$14.98	8/22/2019
M2182091020056	\$102.32	8/19/2019
M2182091890010	\$12.38	7/17/2019
M2182091900087	\$518.92	8/20/2019

4. Are GCSS-MC Proof of Delivery KSDs filed in the voucher file?
(CMC Message 241744Z JAN 17; MCO 4400.150, Chapter 3, Paragraphs 7.b(3), 7.b(11), and 7.e; MCO 4400.16H, Enclosure (1), Paragraph 9; MCO P4400.151B, Paragraphs 1009.5, 1009.6, and 3011; UM 4000-125, Part 3, Chapter 5, Paragraph 5).

LOE: Procurement

No

The Supply Officer and Supply Chief failed to establish an effective record retention process. Multiple Proof of delivery (POD) voucher files were identified and separated based on TAMCN's, SECREP's and repair parts which only compounded the issue. In some instances Supply was only able to produce an internal CMR transfer that occurred months later for the asset sampled but no key supporting document demonstrating receipt by the command.

16 of 92 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

16 record(s): Key supporting documentation was not filed in the voucher file.

M1111071440009, M1113090090016, M1113090100001, M2037182530037, M2182072090018, M218208114AH11, M2182082740003, M2182082820035, M2182092210110, M2182092260094, M2182092380080, M9737091160001 M9882283130004, M9882283330041, M9882290840125, M9882291050428

5. Does the supply section facilitate timely receipting? (MCO 4400.150, Chapter 3, Paragraph 7.b(3) and 7.b(11); MCO 4400.16H, Paragraph 9; UM 4000-125, Part 3, Paragraph 6.c(1)). LOE: Procurement

No

Supply failed to receipt within a timely manner due to operational requirements where all Supply staff was required to participate in a unit exercise with limited staff to operate as the remain behind element. During that timeframe is in which the majority of the discrepancies occurred can be attributed to personnel designated as the RBE not being trained and supervised by the Supply Officer and Supply Chief.

9 of 92 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

9 record(s): Receipts not processed in a timely manner.

Doc Number	Recvd Date	Date Processed	Total Days
M1112090880024	04-Apr-2019	08-Apr-2019	5
M1112090880039	01-Apr-2019	08-Apr-2019	8
M1113090360015	02-Feb-2019	12-Mar-2019	39
M1113090360016	02-Feb-2019	12-Mar-2019	39
M2182082850054	23-Oct-2018	29-Nov-2018	38
M2182092200002	7-Aug-2019	14-Aug-2019	8

M9882290070008	7-Feb-2019	06-Mar-2019	28
M9882290070010	7-Feb-2019	18-Mar-2019	40
M9882290290093	12-Feb-2019	12-Mar-2019	29

6. Are authorized commodity personnel signing for materiel? (MCO 4400.150, Chapter 3, Paragraph 7.f; UM 4000-125, Part 3, Chapter 5, Paragraph 5.b(4)(a)). LOE: Procurement

No

The Supply Officer and Supply Chief failed to establish an effective process in the issuing of equipment and capability to demonstrate chain of custody. Receipt and acceptance DD-1348 or Bill of lading were produced from Supply but no issuance from who takes physical custody. It was explained that when an asset is delivered it is inducted into the Battalion Maintenance section for Limited Technical Inspections (LTI) prior to delivery/issue to a respective commodity; however, this process was not documented.

15 of 76 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

15 record(s): No commodity signature, or has un-authorized personnel signature.

M1112090880039, M2182073520008, M2182082350018, M2182082500156, M2182082770004, M2182082780031, M2182082850054, M2182083130003, M2182083470032, M9882283470003, M9882290070008, M9882290070010, M9882290350091, M9882291010056, MMC24691710019

Commodity Area: Supply
Functional Area: Commercial Procurement
Analyzed By: GySgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Six

1. Can the PR Builder User Administrator demonstrate compliance with the requirement to upload and maintain system access requests (SAAR) and role appointments (DD 577, NAVMC 11869) for each PR Builder user within the command? (CMC Message 071458Z SEP 16; CMC Message 221456Z MAR 16; CMC Message 031431Z FEB 16). LOE: Procurement

Yes

1 record reviewed during the analysis was compliant with current directives.

2. Is the RO/delegated individual validating requests for services and supplies prior to being routed to the Supply Officer? (CMC Message 091512Z JUL 15 [MARADMIN 331-15]; CMC Message 051307Z Apr 18; MCO 4400.150, Chapter 3, Paragraph 6; MCO 4400.150, Chapter 3, Paragraph 10.d(2)). LOE: Procurement

No

The Supply Officer failed to ensure Responsible Officers or delegated individuals register a demand for supplies and services. All Government Commercial Purchase Card (GCPC) request did not contain a request from an RO/delegated individual via locally generated form, PR Builder or GCSS. The Fiscal clerk processed these requests based off conversation by creating both the local form and GCSS service request in behalf of the RO creating no separation of duties. Additionally, the supply section did not establish procedures for sections that did not possess a CMR.

30 of 94 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

30 record(s): Requests not initiated/reviewed by RO/Delegated Individual.

Doc Number	T/P
M218208285PDCU	\$23.32
M218209056PEIQ	\$362.31
M218209056PEIR	\$66.83
M218209059PEI2	\$56.64
M218209059PEI3	\$202.20
M218209059PEI4	\$118.61
M218209059PEI8	\$111.24
M218209059PEI9	\$77.40
M218209059PEIA	\$6.18
M218209059PEIB	\$170.48
M218209059PEIC	\$141.31
M218209059PEID	\$19.86
M218209059PEIE	\$12.06
M218209059PEIF	\$12.30
M218209059PEIG	\$51.57

M218209059PEII	\$12.47
M218209059PEIJ	\$103.14
M2182019CCVA6V7	\$2,331.91
M2182019CCVC1E3	\$1,024.00
M2182019CCV9XSV	\$90.00
M2182019CCVBED0	\$343.81
M2182019CCVBHBP	\$2,385.00
M2182019CCVC3G9	\$5,784.80
M2182019CCMMWW	\$5,365.68
M2182019CCV9UNU	\$1,495.00
M2182019CCVBOOR	\$1,003.13
M2182019CCD06CC	\$2,280.00
M2182019CCVAFYU	\$3,497.88
M2182019CCVC6XQ	\$8,502.50
M2182019CCVAD8V	\$2,236.00

3. Is the Supply Officer, Accountable Property Officer, or Personal Property Manager approving requests for services and supplies? (CMC Message 071458Z SEP 16; CMC Message 091512Z JUL 15 [MARADMIN 331-15]; MCO 4400.150, Chapter 3, Paragraphs 6 and 10.d(2)). LOE: Procurement

No

The discrepancies in approval from the Supply Officer/Fund holder approver are minimal since Supply is processing all requests to include those from the RO/delegated individuals. The discrepant samples belong to Delta Co. where no approval was present on the KSD.

3 of 95 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

3 record(s): Supply Officer did not approve the request.

Doc Number	T/P
M218208285PDCU	\$23.32
M218209060PDCD	\$20.09
M218209060PDCE	\$508.08

4. Are receipt and acceptance KSDs supporting commercial and off-line purchases (ServMart, Fuel, GCPC, Contracts) maintained on file? (CMC Message 071458Z SEP 16; CMC Message 241744Z JAN 17; CMC Message 211847Z AUG 15; CMC Message 151438Z FEB 17; CMC Message 051307Z Apr 18; MCO 4400.150, Chapter 3, Paragraph 7.e; MCO 7300.21B, Enclosure 2, Chapter 3, Paragraph 3013; UM 4000-125, Part 3, Chapter 5, Paragraph 5). LOE: Procurement

No

Supply did not have an effective fuel program. The fiscal clerk was aware of the requirement but failed to meet those minimum requirement within the logbook and DD-1898 Energy Sale Slip. MILSTRIP document numbers were not captured within the log book and the amounts listed on the DD-1898E did not match actual amounts spent, this can be attributed to the clerk capturing the amount of gallons pumped based on the commodity's input and manually multiplying against a gallon price list in the logbook. Additionally charges

associated to various keys could not be produced and physical location of keys was unknown. The fiscal clerk reported to have 2 active keys yet the EEBP report had charges for 12 keys throughout the FY.

The Supply Officer and Supply Chief failed to establish a process for ServMart referrals leading to the loss of key supporting documents and ability to confirm receipt and acceptance which created additional discrepancies within their financial records. Commodities had the ability to place referrals without supply's control therefore having items delivered to locations other than the Supply Warehouse leading to the loss of KSDs.

Government Commercial Purchase Card (GCPC) requests also possessed discrepancies, the fiscal clerk would file the receipt without validating the completeness and in most requests the GCPC cardholder would sign on behalf of the RO/delegated individual without confirming if actual supplies or services were ever rendered.

50 of 95 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

22 record(s): Key supporting documentation was not on file.

Doc Number	T/P
M218209052FF13	\$2.96
M218209053FF07	\$38.48
M218209051FF22	\$5.92
M218209051FF01	\$29.60
M218209053FF04	\$8.88
M218209051FF04	\$76.96
M218209051FF05	\$68.08
M218209051FF03	\$133.20
M218209051FF09	\$165.76
M218209051FF20	\$239.76
M218209051FF02	\$44.40
M218209051FF11	\$62.16
M218209051FF12	\$56.24
M218209051FF17	\$82.88
M218209053FF03	\$82.88
M218209051FF15	\$142.08
M218209051FF07	\$177.60
M218209051FF14	\$260.48
M218209051FF18	\$41.44
M218209056PEIQ	\$362.31
M218209056PEIR	\$66.83
M218209059PEIJ	\$103.14

28 record(s): No Receipt/Acceptor signature, or has un-authorized personnel signature.

M218208285PDCU	\$23.32
M218209059PEI2	\$56.64
M218209059PEI3	\$202.20
M218209059PEI4	\$118.61
M218209059PEI8	\$111.24

M218209059PEI9	\$77.40
M218209059PEIA	\$6.18
M218209059PEIB	\$170.48
M218209059PEIC	\$141.31
M218209059PEID	\$19.86
M218209059PEIE	\$12.06
M218209059PEIF	\$12.30
M218209059PEIG	\$51.57
M218209059PEII	\$12.47
M2182019CCVA6V7	\$2,331.91
M2182019CCVC1E3	\$1,024.00
M2182019CCV9XSV	\$90.00
M2182019CCVC5KF	\$62.81
M2182019CCVBED0	\$343.81
M2182019CCVBHBP	\$2,385.00
M2182019CCVC3G9	\$5,784.80
M2182019CCMMWW	\$5,365.68
M2182019CCV9UNU	\$1,495.00
M2182019CCVBOOR	\$1,003.13
M2182019CCD06CC	\$2,280.00
M2182019CCVAFYU	\$3,497.88
M2182019CCVC6XQ	\$8,502.50
M2182019CCVAD8V	\$2,236.00

5. Are procedures in place to ensure that any miscellaneous payments via iRAPT (WAWF) follow all of the same purchase request requirements? (MCO 4400.150, Chapter 3, Paragraph 12.n; MCO 7300.21B, Enclosure 2, Chapter 4, Paragraphs 4002, 4004, and 4013). LOE: Procurement

No

Supply failed to ensure that all purchase request requirements are followed for miscellaneous payments. The Supply Officer allowed the comptroller to initiate, certify and locally process 1 of the 2 MISC payments within Invoicing, Receipt, Acceptance and Property Transfer (iRapt) system and on the other there was no segregation of duties. The initiator and certifier must be a separate individual with the appointed authority but the same fiscal clerk conducted the process.

2 of 2 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

2 record(s): One or more phases of the procurement process was not processed correctly.

M2182019MD00003	\$2,250.00
M2182019MD00002	\$3,396.00

6. Does the supply activity ensure that pending invoices or receiving reports in iRAPT (WAWF) are reviewed and/or processed within the required timeframe? (MCO 4400.150, Chapter 3, Paragraphs 10.f and 10.g; MCO 7300.21B, Enclosure 2, Chapter 4, Paragraph 9002.3.c). LOE: Procurement

No

The Assistant Supply Officer was designated to accept invoices in iRAPT; however, he had limited knowledge in navigating within this system. He was not continuously checking to see if they had invoices pending review and acceptance.

22 of 37 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

22 record(s): RPR/Invoices were not processed within seven (7) days.

Doc Number	Total Days
M0068117D0003	20
M0068117D0003	16
M0068117D0003	8
M0068117D0003	8
M0068117D0003	67
M0068117D0003	62
M0068117D0003	54
M0068117D0003	48
M0068117D0003	27
M0068117D0003	22
M0068117D0003	15
M0068117D0003	8
M0068117D0003	10
M0068117D0003	9
M6739919D0002	8
SPE3SE19F2923	68
SPE5E919V4547	14
SPE7LX15D0162	23
SPE7LX15D0162	23
SPE7MX16D0046	10
SPE7MX16D0046	10
SPE7MX16D0046	10

7. Are procedures in place to ensure that any intra-governmental procurement requests (i.e., work requests and MIPRs) follow all of the same purchase request requirements? (MarAdmin 630-14, Paragraph 9; MCO 4400.150, Chapter 3, Paragraph 12). LOE: Procurement

No

Supply failed to ensure that all purchase request requirements were followed for intra-governmental procurement requests. The request was not initiated by the RO/delegated individual. The request was in support of Delta Co. but initiated by the Battalion S6 Chief by emailing a quote to Supply to initiate the procurement process. The purchase could not be further evaluated because

DLA document services had not yet accepted the SF-7600 (Funds) therefore services had not yet been rendered.

1 of 1 records reviewed during the analysis was discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record.

1 record(s): One or more phases of the procurement process was not processed correctly.

Doc Number	T/P
M2182019MPRNYTF	\$2,874.00

Commodity Area: Supply
Functional Area: Fiscal
Analyzed By: GySgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Two

1. Does the fiscal clerk maintain a pending file of every anticipated purchase request transaction to post in SABRS? (MCO 7300.21B, Enclosure 2, Chapter 3, Paragraph 3001; MCO 7300.21B, Enclosure 2, Chapter 10, Paragraph 1008.3.B). LOE: Procurement

No

Supply does not possess a pending file. The Supply Officer and assistant Supply Officer misinterpreted the requirement by maintaining a repository of Daily Transactions Report (DTR) and not a process in which they could identify pending fiscal requirements into the financial cycle. Additionally the fiscal clerks do not have access SMARTS to validate and reconcile financial transactions but depending on the comptroller office to issue them reports within SharePoint.

1 of 1 records reviewed during the analysis was discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record.

1 record(s): Pending file was not maintained.

2. Are Unliquidated Obligations (ULO), Unmatched Disbursements (UMD), NULO, Abnormal Payables, MCVISTA rejects, and Spending Errors properly managed by the supply section? (MCO 7300.21B, Enclosure (2), Chapter 3, Paragraph 3003, Chapter 10, Paragraphs 1001 thru 1007, and Chapter 11, Paragraphs 1101 thru 1103). LOE: Procurement

No

The discrepancies resulted from a lack of knowledge with managing Un-Delivered Orders (UDO) and Unliquidated Obligations (ULO) by the Supply Section. The Supply Section was only managing the reports provided by the Division Comptroller and were not working all aged documents on the active file. This led to four fiscal years of discrepancies due to lack of internal controls for Servmart referrals without an expense recorded in SABRS. The Supply Officer provided e-mail correspondence with the comptroller's office to address UDOS via Memorandum for the Records (MFR) requesting an expense/receipt for over four fiscal years of discrepant records without any key supporting documents confirming receipt of goods. Additionally, the trend continued to occur months after the MFR without addressing the source of discrepancy and/or establishing a process for Servmart referrals to mitigate future issues.

56 of 76 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

56 record(s): No corrective action initiated on discrepant document(s).

SDN	OBL AMT	ULO AMT
M2182090670020	\$99.64	\$81.62
M2182090670026	\$854.49	\$563.40
M2182090700011	\$19.08	\$12.72
M2182090710058	\$0.94	\$0.94
M2182090710043	\$92.47	\$92.47
M2182090570043	\$22.80	\$3.80
M2182090790080	\$2,691.78	\$1730.43
M2182090510005	\$1,052.00	\$210.40
M2182090670003	\$227.00	\$113.50
M2182090670005	\$195.00	\$97.50
M2182090770055	\$9.95	\$9.95
M2182091680101	\$1.12	\$1.12
M2182091140004	\$2,475.62	\$2475.62
M2182091930014	\$864.50	\$864.50
M2182091130008	\$2,475.62	\$2475.62
M218208284F901	\$1,128.75	\$0.00
M2182090770062	\$21.98	\$0.00
M2182090770004	\$20.24	\$0.00
M2182090780028	\$11.04	\$0.00
M2182090780013	\$503.42	\$0.00
M2182090880016	\$15.16	\$0.00
M2182090880014	\$131.21	\$0.00
M2182090920051	\$17.24	\$0.00
M2182090860065	\$3.20	\$0.00
M2182090860076	\$3.20	\$0.00
M2182091140067	\$3.08	\$0.00
M2182091140075	\$2.61	\$0.00
M2182091140026	\$28.90	\$0.00
M218209074PDCO	\$81.32	\$0.00
M218209074PEI5	\$267.52	\$267.52
M218209074PDCN	\$371.00	\$0.00
M218209077PEIN	\$501.92	\$0.00
M218209085PDCT	\$272.58	\$0.00
M218209085PDCS	\$272.26	\$0.00
M218209088PDCG	\$1,570.17	\$0.00
M218209088PDCJ	\$528.80	\$0.00
M218209088PDCE	\$1,420.77	\$0.00
M218209088PDCD	\$617.50	\$0.00
M218209088PDCI	\$660.90	\$0.00
M218209088PDCH	\$2,134.80	\$0.00
M218209088PDCK	\$162.76	\$0.00
M218209088PDD1	\$162.76	\$0.00
M218209087PDCV	\$38.48	\$0.00
M218209087PDCT	\$22.29	\$0.00
M218209087PDCR	\$25.42	\$0.00
M218209087PDCL	\$37.03	\$0.00
M218209087PDCO	\$9.56	\$0.00
M218209087PDCK	\$19.01	\$0.00
M218209087PDCN	\$27.41	\$0.00
M218209087PDCM	\$29.96	\$0.00

M218209087PDCQ	\$10.74	\$0.00
M218209087PDCI	\$222.01	\$0.00
M218209087PDCD	\$65.08	\$0.00
M218209087PDCS	\$19.64	\$0.00
M218209087PDCW	\$16.08	\$0.00
M218209087PDCH	\$233.61	\$0.00

Commodity Area: Maintenance Management
Functional Area: Maintenance Administration
Analyzed By: Mr. (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Four

1. Has the Commanding Officer assigned a Maintenance Management Officer (MMO) in writing when the billet is not identified by the T/O? (MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 1).
LOE: Maintenance Program and Resource Management

Yes

1 record reviewed during the analysis was compliant with current directives.

T/O: Maintenance Management Officer

BIC: M2182100405

Rank: 2110

MOS: CWO2

Name: (b)(3), (b)(6), (b)(7)(c), (b)(3), (b)(6), (b)(7)(c)
(b)(7)(c)

2. Has the command published Maintenance Management policy and are the contents in concert with higher-level directives? (MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 3.b, and Appendix A; MCO 4790.25, Paragraph 4.b(3)(c)(1)). LOE: Maintenance Program and Resource Management

No

DivO 4790.2 dated 10 June 2016, was used as the unit's MMSOP. This document was outdated and required an update due to the release USMC of policy changes. Additionally, the command published a series of MMPLs and cited incorrect/cancelled references.

1 of 9 records reviewed during the analysis was discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record.

1 record(s): The MMSOP contains conflicting guidance.

3. Has the Commanding Officer authorized in writing personnel to assign an Urgency of Need Designator (UND) A and UND B? (MCO 4400.16H, Enclosure (1), Paragraphs 4, 5, and 7). LOE: Maintenance Program and Resource Management

No

The commander has authorized personnel to assign UND A and B in writing; however, the MMO, RO's/commodity managers for YDCO and YBNMNT had unauthorized personnel upgrading and assigning UNDA A and B Service requests without the proper authorization. Additionally, RO's/commodity managers for YBNMNT did not ensure the names of personnel preauthorized for UND A and B were forwarded to the commander via the MMO for approval.

2 of 4 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

2 record(s): Unauthorized personnel were upgrading and assigning UND A and B.

Details can be found in the Communications/Electronics and Motor Transport section checklists.

4. Are desktop procedures/turnover folders current for each billet involving administrative and management functions within the Maintenance Management Office? (MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 3.a; Command Maintenance Management Policy). LOE: Maintenance Program and Resource Management

Yes

7 records reviewed during the analysis were compliant with current directives.

5. Does the MMO validate commodity level desktop procedures/turnover folders requirements? (MCO 4790.2, Enclosure (1), Chapter 1, Paragraphs 2.a(11) and 3.a). LOE: Maintenance Program and Resource Management

Yes

4 records reviewed during the analysis were compliant with current directives.

6. Does the MMO plan detailed maintenance related inspections/assessments of the unit's programs, processes, and procedures? (MCO 4790.2, Enclosure (1), Chapter 1, Paragraphs 2.a and 3.c, and Chapter 4; Command Maintenance Management Policy). LOE: Maintenance Program and Resource Management

Yes

1 record reviewed during the analysis was compliant with current directives.

7. Does the MMO coordinate and conduct detailed maintenance related inspections/assessments? (MCO 4790.2, Enclosure (1), Chapter 1, Paragraphs 2.a and 3.c, and Chapter 4; Command Maintenance Management Policy). LOE: Maintenance Program and Resource Management

No

The MMO conducted internal inspections; however, the completed checklists did not consistently provide the required details for questions answered with a "NO". Furthermore, the checklists did not contain sample sizes, SRs, SNs and TAMCNs when required.

1 of 1 records reviewed during the analysis was discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record.

1 record(s): Documentation was incomplete and/or not detailed.

8. Does the MMO create and follow-up on corrective action plans (CAP) with a focus on discrepant areas from the initial inspection/assessment?
(MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 3.c(1)(k); MMSOP).
LOE: Maintenance Program and Resource Management

No

Corrective action plans were created; however, the corrective action plans did not contain detailed information and specify what corrections would be made. This was caused by the lack of detailed information provided in the MMO's checklists.

4 of 4 records reviewed during the analysis was discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record.

4 record(s): Lacked detailed information.

Commodity Area: Maintenance Management
Functional Area: Maintenance Programs
Analyzed By: Mr. (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Zero

1. Does the command follow procedures when participating in Deferred Maintenance Programs? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 8; Command Maintenance Management Policy).

LOE: Maintenance Program and Resource Management

Yes

2 records reviewed during the analysis were compliant with current directives.

Battalion Administrative storage Policy Letter 8-19.
Division Administrative Storage Program.

2. Are equipment returns reported, processed, and monitored within GCSS-MC in support of the Enterprise Lifecycle Maintenance Program (ELMP)? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 9; MCO 4790.24; Command Maintenance Management Policy). LOE: Maintenance Program and Resource Management

Yes

1 record reviewed during the analysis was compliant with current directives.

N/A - The command participates in the Repair (RCCA) no issues were identified during the analysis.

3. Does the command follow procedures when participating in the Corrosion Prevention and Control (CPAC) Program? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 7; MCO 4790.18C; Command Maintenance Management Policy).

LOE: Maintenance Program and Resource Management

Yes

1 record reviewed during the analysis was compliant with current directives.

4. Does the command follow procedures for maintenance stand-down? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 9.a; Command Maintenance Management Policy). LOE: Maintenance Program and Resource Management

Yes

Note: The command conducted (1) Battalion maintenance stand-down after the Steel Night exercise that was executed IAW an aggressive LOI. The companies are also required to conduct frequent maintenance stand downs on their own however, there were no published procedures that specify dates, times, focus of effort and reporting.

1 record reviewed during the analysis was compliant with current directives.

Commodity Area: Maintenance Management
Functional Area: Preventive/Corrective Maintenance
Analyzed By: Mr. (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: One

1. Has the MMO coordinated with responsible officers, and maintenance commodity managers to ensure preventive maintenance requirements are managed in accordance with the associated technical manuals? (MCO 4790.2 Chapter 1, Paragraph 2.a(4); Command Maintenance Management Policy).
LOE: Maintenance Program and Resource Management

No

The MMO has established procedures; however, the MMO has not conducted detailed internal inspections and provided the necessary oversight. RO's/Commodity Managers do not ensure that preventive maintenance requirements are properly managed and supervised. As a result, 39 of 163 or 23.9% of the sample for PMCS requirements were discrepant. Additionally, the lack of oversight and supervision by the MMO and commodity managers led to additional discrepant records in the Communications, Engineer, Motor Transport and Ordnance sections. Specifically;

- Counters were not updated.
- Parts/materials not debriefed.
- Corrective maintenance requests were not initiated.
- PMCS were not properly scheduled, conducted, documented and updated.
- PMCS conducted with the incorrect frequency/type.
- PMCS were not conducted IAW technical manuals.
- MMCT procedures were not adhered to.

4 of 4 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

4 record(s): Lack of detailed inspections and supervision.

Details can be found in the Communications, Engineer, Motor Transport and Ordnance checklists.

2. Has the Commanding Officer assigned personnel to approve MMCT extensions? (CMC Message 191845Z JUN 18). LOE: Maintenance Program and Resource Management

Yes

1 record reviewed during the analysis was compliant with current directives.

3. Does the unit ensure commodity managers are following procedures for cannibalization and selective interchange? (MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 2.a(1) and Chapter 3, Paragraphs 8.a(1) thru (7) and 8.b(1) thru (2); MCO 4790.25, Paragraphs 4.b(6) (d) 2.a and b; UM 4000-125, Part 4, Chapter 11; Command Maintenance Management Policy).
LOE: Maintenance Production

Yes

7 records reviewed during the analysis were compliant with current directives.

Commodity Area: Maintenance Management

Functional Area: Training

Analyzed By: Mr. (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Zero

1. Does the Commanding Officer's policy on maintenance and maintenance management training include the minimum hourly training requirements for maintenance personnel, maintenance management clerks, and maintenance supervisors? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 2).
LOE: Maintenance Program and Resource Management

Yes

1 record reviewed during the analysis was compliant with current directives.

2. Does the MMO schedule, conduct, and document maintenance management clerk training? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 2; NAVMC 3500.27C; Command Maintenance Management Policy; Training Plan).
LOE: Maintenance Program and Resource Management

Yes

17 records reviewed during the analysis were compliant with current directives.

3. Does MMO schedule, conduct, and document maintenance management supervisor training? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 2; NAVMC 3500.27C; Command Maintenance Management Policy; Training Plan).
LOE: Maintenance Program and Resource Management

Yes

4 records reviewed during the analysis were compliant with current directives.

4. Has a regular training program on the Uniform Materiel Movement and Issue Priority System (UMMIPS) been established for all personnel who are authorized to assign UNDs? (MCO 4400.16H, Enclosure 1, Paragraph 7.b; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 2).
LOE: Maintenance Program and Resource Management

Yes

2 records reviewed during the analysis were compliant with current directives.

5. Does the MMO ensure operator/crew and technical MOS training is scheduled and documented? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 2; NAVMC 3500.XX; Command Maintenance Management Policy; Training Plan).
LOE: Maintenance Program and Resource Management

Yes

17 records reviewed during the analysis were compliant with current directives.

Commodity Area: Maintenance Management
Functional Area: Records and Reporting
Analyzed By: Mr. (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Four

1. Does the unit's data reflect that validations and reconciliations are conducted between MMO, maintenance commodities, and all supporting maintenance activity (SMA)? (MCO 4790.2, Enclosure (1), Chapter 1, Paragraphs 2 thru 4; MCO 4400.16H, Table 1-2).
LOE: Maintenance Information and Reporting

No

Reconciliations/Validations were conducted by the MMO and RO's/Commodity managers; however, due to a lack of supervision and attention to detail the Communications, Motor Transport and Ordnance sections service requests contained errors.

34 of 100 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

34 record(s): Effective reconciliations were not conducted.

- (1) SR 28925832, short parts with no parts on order.
- (1) SR 28925900, short parts with no parts on order.
- (1) SR 28925926, short parts with no parts on order.
- (1) SR 28795074, short parts with no parts on order.
- (1) SR 28795074, did not have an orderly flow of the maintenance cycle.
- (1) SR 28418098, Labor was not debriefed on Task 21717797.
- (1) SR 28949160, Task 22177543, debrief was not set to closed.
- (1) SR 28944078, Task 22197848, debrief was not set to closed.
- (2) SR 29017302, 28949160, no final inspection task created.
- (1) SR 28418098, Final inspection tasks were missing required comments.
- (1) SR 28210742, MMCT task was not created.
- (1) SR 27984640, MMCT task was created but the task had uploaded documentation for Selective Interchange.
- (2) SRs 29017302 and 28949160 no final inspection task created.
- (1) SR 28418098, Final inspection tasks were missing required comments.
- (1) SR 27449960, No Acceptance task.
- (1) SR 28710318, Acceptance inspection states no SL-3 accepted however, SL-3 Receiver Transmitter was accepted, floated, and is currently on backorder.
- (1) SR 28147352, lacked one part being debriefed prior to closure.
- (1) SR 27136934, lacked one part being debriefed prior to closure.
- (1) SR 28573308, lacked two parts being debriefed prior to closure.
- (1) SR 28562108, lacked three parts being debriefed prior to closure.
- (1) SR 28257550, lacked 12 parts being debriefed prior to closure.

The communications maintenance section did not have an open SR associated when required.

- (1) RT-1523E, in shop since Dec 2018 with no SR.
- (1) AN/PRC-153, in shop since Jul 2017 with no SR.

- (2) VRC-89, in shop since Jun 2019 with no SR.
- (1) PRC-148, in shop since Mar 2019 with no SR.
- (1) VRC-88, no SR, not tagged.
- (1) Laptop, in shop since Jun 2019 with no SR.
- (1) 20W Amplifier, no SR, not tagged.
- (1) DAGR, in shop since Jun 2019 with no SR.
- (2) SR's: 28080814 and 28080984, SR's 200 DIS without MMCT approval.

Details can be found in the Communications, Motor Transport and Ordnance checklists.

2. Does the MMO manage the unit's inventory control program? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 11; MCO 4400.201 Volume 3, Chapter 2, Paragraphs 021402 and 021805; Command Maintenance Management Policy).

LOE: Maintenance Program and Resource Management

No

The MMO has published procedures and conducted internal reviews. However, the internal reviews were not detailed and as a result, the Communications, Engineer, Motor Transport, and Ordnance sections records were discrepant. Specifically;

- UURI/AAL was not inventoried.
- UURI letter did not reflect UURI quantities to be held.
- Authorized AAL/UURI items were not identified.
- Required technical manual for MT operators were not placed on order.
- Inventories were not conducted and retained.
- Identified deficiencies were not requisitioned.
- Lack of detailed internal inspections.
- Inventories missing Header information.
- Inventories were missing required signatures and dates.

4 of 4 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

1 record(s): Lack of detailed MMII.

3 record(s): Commodity managers were not familiar with inventory control requirements.

Details can be found in the Communications, Engineer, Motor Transport, and Ordnance section checklists.

3. Does the MMO manage the unit's Modification Control program? (CMC Message 091558Z JAN 14; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4; UM 4000-125, Part 4, Chapter 6). LOE: Maintenance Information and Reporting

No

The MMO has provided procedures for managing modifications; however, a lack of detailed internal inspections and coordination with RO's/Commodity

managers resulted in discrepancies for the Engineer, Motor Transport, and Ordnance sections.

3 of 4 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

- Urgent modifications have not been applied.
- Normal modifications have not been applied.
- Modification statuses we not updated.

3 record(s): Lack of detailed MMII.

Details can be found in the Engineer, Motor Transport, and Ordnance section checklists.

4. Does the MMO manage the unit's Calibration Control program? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraphs 5, 5.d, and 5.e, and Appendix A, Paragraph 3.m; UM 4000-125, Part 4, Chapter 6, Paragraph 1).
LOE: Maintenance Information and Reporting

No

Procedures were established; however, the MMO did not conduct detailed internal inspections and oversight. As a result, the Communications, Engineer and Ordnance sections were discrepant. Specifically;

- Calibration program did not contain the required information.
- Normal modifications have not been applied.
- The appropriate statuses of required modifications were not recorded.
- Incorrect Last Cal dates/Next Cal dates.
- TMDE was on hand and past Next Cal dates.

3 of 4 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

3 record(s): Lack of MMII/assessments by the MMO and Commodity managers.

Details can be found in the Communications, Engineer and Ordnance checklists.

5. Does the MMO conduct and document an annual validation of the unit's Test Measurement and Diagnostic Equipment (TMDE)? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 5; UM 4000-125, Part 4, Chapter 6, Paragraph 2).
LOE: Maintenance Program and Resource Management

Yes

1 record reviewed during the analysis was compliant with current directives.

6. Are submitted PQDRs monitored for follow-ups or performance of corrective action? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 6.b.2.g.5, and Chapter 4, Paragraph 3; MCO 4855.10C).

LOE: Maintenance Program and Resource Management

Yes

15 records reviewed during the analysis were compliant with current directives.

Commodity Area: Maintenance Management
Functional Area: Publications Control
Analyzed By: Mr. (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Zero

1. Has the Command established a publication control program for maintenance and maintenance management publications? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 6; MCO 5600.31B, Paragraphs 4.a(2)(b) and 5).
LOE: Maintenance Program and Resource Management

Yes

1 record reviewed during the analysis was compliant with current directives.

2. Does the MMO coordinate with commodity managers to ensure all publication libraries are managed? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 6; MCO 5600.31B, Paragraphs 4.a(2)(b) and 5).
LOE: Maintenance Program and Resource Management

Yes

4 records reviewed during the analysis were compliant with current directives.

Commodity Area: Maintenance Management
Functional Area: Equipment Availability
Analyzed By: Mr. (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: One

1. Are the unit's authorized MRR/RRGE allowances accurately reported on the Equipment Status Report? (MCBul 3000; MCO 3000.11E, Enclosure (1), Paragraph 3.a; MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 5).
LOE: Maintenance Information and Reporting

Yes

50 records reviewed during the analysis were compliant with current directives.

2. Is the unit accurately reporting on-hand MRR/RRGE quantities on the Equipment Status Report (ESR) and Mechanized Allowance List (MAL)? (MCBul 3000; MCO 3000.11E, Enclosure (1), Paragraph 3.b; MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 5).
LOE: Maintenance Information and Reporting

Yes

50 records reviewed during the analysis were compliant with current directives.

3. Is the readiness status of all MRR/RRGE accurately reflected on the unit's Equipment Status Report? (MCBul 3000; MCO 3000.11E, Enclosure (1), Paragraph 3.b; MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 5).
LOE: Maintenance Information and Reporting

No

The MMO conducts reviews of ESR, MPR, and MMR reports to ensure they match with regards to deadlined equipment; however, a lack of operator crew PMCS and supervision by Motor Transport operations managers led to inaccurate readiness statuses of equipment on the ready line.

5 of 33 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

5 record(s): The readiness status of all MRR PEIs was not accurately reflected on ESR.

- (1) D0033: S/N, 629968
- (1) D1001: S/N, 604182
- (1) D0003: S/N, 638491 and 638276
- (1) D0022: S/N, 620959
- (1) D0880: S/N, 517544

Details can be found in the Motor Transport checklist.

Commodity Area: Maintenance Management

Functional Area: Supply Support

Analyzed By: Mr. (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Zero

1. Does the unit's requisition requirements reflect that validations and reconciliations are conducted between MMO, supply, and maintenance commodities? (MCO 4790.2, Enclosure (1), Chapter 1, Paragraphs 2 thru 4; MCO 4400.16H, Table 1-2). LOE: Maintenance Information and Reporting

Yes

4 records reviewed during the analysis were compliant with current directives.

2. Does the MMO ensure that Demand-Supported Items are approved annually, in writing, by the CO? (MCO 4400.201 Vol 3, Chapter 2, Paragraph 021303). LOE: Maintenance Program and Resource Management

Yes

1 record reviewed during the analysis was compliant with current directives.

3. Does the approved demand-supported items (DSIs) meet the required stockage criteria? (MCO 4400.201, Volume 3, Chapter 2, Paragraph 021303; MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 4.d). LOE: Maintenance Program and Resource Management

Yes

1 record reviewed during the analysis was compliant with current directives.

4. Does the unit complete new equipment fielding plans requirements? (MCO 4790.2, Chapter 1, Enclosure (1), Paragraphs 4.C(1) and (2)). LOE: Maintenance Program and Resource Management

N/A - The command does not currently have any newly fielded equipment.

Commodity Area: Unit User Account Manager
Functional Area: Unit User Account Management
Analyzed By: Mr. (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Zero

1. Has the Commanding Officer appointed a Primary and Alternate UUAM in writing? (CMC Message 281046Z AUG 15; UM 4000-125, Part 5, Chapter 2, Paragraphs 2.d(2) and 3.d, Chapter 3, Paragraph 1.a, and Appendix F).
LOE: Miscellaneous Accounting

Yes

4 records reviewed during the analysis were compliant with current directives.

Primary: SSgt (b)(3), (b)(6), (b)(7)(c) , (b)(3) .
Alternate(s): LT (b)(3), (b)(6), (b)(7)(c) , (b)(3) .
GySgt (b)(3), (b)(6), (b)(7)(c) , (b)(3), (b)(6), (b)(7)(c) .
GySgt (b)(3), (b)(6), (b)(7)(c) , (b)(3), (b)(6), (b)(7)(c) .

2. Are required documents maintained on file by the primary UUAM for the alternate UUAM, Users, and Financial Approvers? (CMC Message 241028Z JUN 16; CMC Message 241744Z JAN 17; CMC Message 281046Z AUG 15; CMC Message 191555Z JUN 15). LOE: Miscellaneous Accounting

Yes

64 records reviewed during the analysis were compliant with current directives.

3. Are UUAMs screening User SAARs and only assigning appropriate roles, resource groups, and sub inventories? (CMC Message 241028Z Jun 16; CMC Message 281046Z AUG 15; UM 4000-125, Part 5, Chapter 2, Paragraphs 2.b, 2.c and 3.a). LOE: Miscellaneous Accounting

Yes

64 records reviewed during the analysis were compliant with current directives.

4. Are GCSS-MC user account validations conducted semi-annually? (CMC Message 191555Z JUN 15). LOE: Miscellaneous Accounting

Yes

2 records reviewed during the analysis were compliant with current directives.

Commodity Area: CommElect
Functional Area: Maintenance Production
Analyzed By: GySgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Five

1. Are authorized personnel assigning proper Urgency of Need Designators (UND) on Service Requests? (MCO 4400.201, Volume 3, Paragraph 010702; MCO 4400.16H, Paragraph 4.b(9); MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 2.a(1)(d); UM 4000-125, Part 4, Chapter 3, Paragraph 3.h).
LOE: Maintenance Production

No

The Electronics Maintenance Section's UND letter that was on hand in the section and included the Marines that were authorizing UND A and B SR's however, due to an administrative error this section was excluded from the final draft that was endorsed by the Commanding Officer.

19 of 47 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

19 record(s): UND authorization letter was not on hand or was not signed by proper authority.

(19) SR's: 28801086, 28801804, 28801888, 28801928, 28801948, 28805160, 28852478, 28862230, 28869216, 28925958, 28763692, 28926996, 27449960, 28710318, 29022174, 29022466, 28648672, 28684234, 29026572

2. Are acceptance inspections properly conducted and documented when equipment is turned in to the supporting maintenance activity? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 2.a.(1) and Appendix C, Paragraph 3.c; UM 4000-125, Part 4, Chapter 3, Paragraphs 1.b(1) and 5.s(1)(a)).
LOE: Maintenance Production

No

Due to a lack of attention to detail by the Maintenance Chief, acceptance inspections were not completed properly in some cases.

2 of 47 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

1 record(s): Acceptance inspection tasks were not created in the SR.
1 record(s): Acceptance inspections notes did not contain all required information.

(1) SR: 27449960, No Acceptance task.
(1) SR: 28710318, Acceptance inspection states no SL-3 accepted however, SL-3 Receiver Transmitter was accepted, floated, and is currently on backorder.

3. Has the DRIS been established during the induction phase? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 4(a)(1)). LOE: Maintenance Production

Yes

47 records reviewed during the analysis were compliant with current directives.

4. Do the commodity personnel use a Service Request (SR) in all instances where required in the performance of maintenance? (MCO 4790.2, Appendix B, Paragraph 5.c and Appendix C, Paragraph 2.a; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b). LOE: Maintenance Information and Reporting

No

There were numerous defective items in the Bravo Company Electronics Maintenance section that were not inducted into the maintenance cycle. These items had 1018 tags stating that they were condition code "F" however, due to NIIN errors they were unable to open a SR. The RO did not take corrective actions to correct these discrepancies with supply.

9 of 29 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

9 record(s): The maintenance section did not have an open SR associated when required.

YBC

(1) RT-1523E:	In shop since Dec 2018 with no SR.
(1) AN/PRC-153:	In shop since Jul 2017 with no SR.
(2) VRC-89:	In shop since Jun 2019 with no SR.
(1) PRC-148:	In shop since Mar 2019 with no SR.
(1) VRC-88	No SR, not tagged.
(1) Laptop:	In shop since Jun 2019 with no SR.
(1) 20W Amplifier:	No SR, not tagged.
(1) DAGR:	In shop since Jun 2019 with no SR.

5. Is the operational status of "Deadlined" for Readiness Reportable Ground Equipment, including SL-3, accurately reported? (Pertains to both Using Unit/Organic and IMA accounts) (MCBul 3000; MCO 4790.2, Enclosure (1), Chapter 1, Paragraphs 2.c(3) and 5; UM 4000-125, Part 4, Chapter 3, Paragraph 3 (Page 513)). LOE: Maintenance Information and Reporting

Yes

7 records reviewed during the analysis were compliant with current directives.

6. Has a Task been created for each major defect? (MCO 4790.2 Enclosure 1, Appendix C, Paragraph 3(f); UM 4000-125 Chapter 3, Paragraph 5(s) (2) (a)).
LOE: Maintenance Production

Yes

47 records reviewed during the analysis were compliant with current directives.

7. Did the commodity submit a PQDR when required? (MCO 4855.10C; MCO 4105.2; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 10 and Chapter 3, Paragraph 6; Applicable Supply Instructions and Fielding Plans). LOE: Maintenance Production

N/A - Section did not have any instances where submission of PQDR was required.

8. Is the commodity following established warranty procedures? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 10; MCO 4105.2; MCO 4855.10C; Applicable Supply Instructions and Fielding Plans; MMSOP). LOE: Maintenance Production

N/A - The commodity had no equipment in the maintenance cycle that was covered under a warranty.

9. Are parts requirements associated to the appropriate task? (MCO 4400.16H, Enclosure (1), Paragraphs 5 and 7; UM 4000-125, Part 4, Chapter 3, Paragraphs 4.c and 4.g and Chapter 9, Paragraph 3.a).
LOE: Maintenance Information and Reporting

No

Due to a lack of familiarity with the references the section was creating required defect tasks but in some instances were also creating separate "requisition" tasks for parts requirements.

2 of 26 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

2 record(s): The commodity was unaware that the part should be requisitioned under a maintenance task.

YCC:

(2) SR's, 28859326, 289021882

10. Is the priority commensurate with the associated Maintenance Task? (MCO 4400.16H, Enclosure (1), Paragraphs 5 and 7; CMC Message 271253Z FEB 18). LOE: Maintenance Information and Reporting

Yes

26 records reviewed during the analysis were compliant with current directives.

11. Does the maintenance activity assign the appropriate Job Status Codes to reflect the transition through the maintenance production process?

(MCO 4790.2, Enclosure (1), Appendix C, Paragraph 3.e(2); UM 4000-125, Part 4, Chapter 3, Paragraphs 3.g and 4.b and Appendix E).

LOE: Maintenance Information and Reporting

Yes

47 records reviewed during the analysis were compliant with current directives.

12. Is the unit following procedures for extension of Maximum Maintenance Cycle Time (MMCT)? (MCO 4400.201, Vol 6, Paragraph 030303;

CMC Message 191845Z JUN 18). LOE: Maintenance Production

No

Due to an oversight, the Maintenance Chief did not obtain the required MMCT extension approval when required within the Communications section.

2 of 5 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

2 record(s): The commodity was not following MMCT procedures.

YBC:

(2) SR's: 28080814, 28080984, SR's 200 DIS without MMCT approval.

13. Is the commodity debriefing parts prior to the closure of the Service Request? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 6; UM 4000-125, Part 4, Chapter 3, Paragraphs 5 and 7.c). LOE: Maintenance Production

Yes

17 records reviewed during the analysis were compliant with current directives.

14. Is the maintenance activity properly debriefing labor prior to the closure of the service request? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 6.a(2); UM 4000-125, Part 4, Chapter 3, Paragraphs 5.a, 7.c, and 10.c). LOE: Maintenance Program and Resource Management

Yes

68 records reviewed during the analysis were compliant with current directives.

15. Upon completion of maintenance actions, are assigned quality control personnel documenting final inspections? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 2.c(4); UM 4000-125, Part 4, Chapter 3, Paragraph 3.s(3); Appropriate Commodity Chapters of TM 4700-15/1H).
LOE: Maintenance Production

Yes

20 records reviewed during the analysis were compliant with current directives.

Commodity Area: CommElect
Functional Area: Preventive Maintenance Checks and Services
Analyzed By: GySgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Four

1. Have equipment counters been updated? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4.b; UM 4000-125, Part 4, Chapter 3, Paragraph 6).

LOE: Maintenance Information and Reporting

No

The Responsible Officer was not aware of the monthly requirement to input counter readings for the Ground Renewable Expeditionary Energy Network System (Greens) children generators.

2 of 6 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

2 record(s): Equipment owner did not update counters.

(2) B0142, Generator, SNs: 00119, 00105

2. Has scheduled PMCS been performed? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4; TM 4700-15/1H, Paragraphs 2-2.d.38.c; UM 4000-125, Part 4, Chapter 4, Paragraphs 1.a, 1.b, and 1.e; Applicable Technical Publications).

LOE: Maintenance Production

No

Due to a lack of knowledge, the Responsible Officer was not aware of the difference in Op/Crew monthly/weekly PMCS and Scheduled PMCS resulting in a vast majority of scheduled PMCS becoming overdue. The Responsible officer also stated that the section took 2 HMMWVs to Motor-T for PMCS and was told that they could not be inducted because they did not have the required PM kits on hand.

7 of 8 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

5 record(s): PMCS were not properly conducted and documented.

YS6:

(1) A0061, TEAMS Antenna, SN: 090926656, Item has no date on PMCS schedule and has never had PMCS performed.

(1) D0016, Trailer, Cargo, SN: 0232, Item is child to TEAMS Antenna. Due for PMCS 20181231 but was not inducted into maintenance.

(1) D1158, Truck, Utility, SN: 590514, Overdue for PMCS since 20190831.

(1) D1158, Truck, Utility, SN: 603122, Overdue for PMCS since 20190531.

(1) D1158, Truck, Utility, SN: 606198, Overdue for PMCS since 20190530.

2 record(s): Scheduled PMCS not required.

(2) A0375, Ground Renewable Expeditionary Energy Network System, SNs 00099, 00100, scheduled for PMCS; however these items should not be on PMCS report.

3. Has required PMCS been scheduled? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4.a(2)(b); TM 4700-15/1H, Paragraphs 2-4.b thru 2-4.c; UM 4000-125, Part 4, Chapter 4, Paragraph 1; Applicable Technical Publications).

LOE: Maintenance Production

No

Due to a lack of knowledge, the Responsible Officer did not have the correct time based scheduling for some items.

5 of 9 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

3 record(s): PMCS were not scheduled.

YS6:

(2) B0142, Generator, SNs: 00119, 00105, Items were not on PMCS report.

YDC:

(1) A0061, TEAMS Antenna, SN: 21820001, Item was not on PMCS report.

2 record(s): Equipment was scheduled with the incorrect frequency/type of PMCS.

YS6

(1) D0016, Trailer, Cargo, SN: 0232, Item scheduled for Semi-Annual PMCS instead of annual.

(1) D1158, Truck, Utility, SN: 590514, Item scheduled for Semi-Annual PMCS instead of annual.

4. Has operator/crew PMCS been performed? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4; Applicable Technical Publications; MMSOP/MMPL). LOE: Maintenance Production

No

Due to a lack of attention to detail Operator/crew PMCS was not properly performed in all required cases.

10 of 94 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

10 record(s): Visual inspection of equipment revealed that PMCS was not being conducted IAW tech guidance.

YS6:

(1) A0336, AN/PRC-117G, SN: 21820204, incorrect handset type.

- (1) A0097, AN/VRC-110, SN: 20182054, missing grounding post on amplifier.
- (2) A0097, AN/VRC-110, SN: 201820054, 201820415, missing grounding wing nut on amplifier.
- (1) A0135, AN/VRC-112, SN: 2EF1-613-348, missing grounding wing nut on amplifier.
- (1) A0135, AN/VRC-112, SN: 2EF1-613-346, incorrect handset type.

YBC:

- (3) A1260, Navigation Set, 140260, 137164, 137150, Battery box missing gaskets.

YCO:

- (1) A2043, AN/PRC-148, SN: 21820041, Receiver Transmitter missing function knob.

5. Was an SR initiated for defects identified during operator/crew PMCS? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraphs 4.a(2)(b) and 5; Applicable Technical Publications; MMSOP/MMPL).

LOE: Maintenance Information and Reporting

N/A - There were no corrective maintenance requirements identified during operator crew PMCS.

6. Prior to closure of PMCS SR, were equipment records updated? (MCO 4790.2, Enclosure 1, Appendix C, Paragraph 6.d).

LOE: Maintenance Information and Reporting

N/A - Captured on MT checklist.

Commodity Area: CommElect
Functional Area: Parts Requirement
Analyzed By: GySgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Zero

1. Are validations/reconciliations conducted between the commodities (supply, MMO, maintenance activity, and supporting activities), and are corrective actions initiated by the commodity/IMA for requisitions? (MCO 4790.2, Chapter 1, Paragraph 4.b; UM 4000-125, Part 4, Chapter 3, Paragraph 5.s(5)(b), page 523; MMSOP/MMPL). LOE: Procurement

Yes

9 records reviewed during the analysis were compliant with current directives.

2. Does authorized DSI resident in GCSS-MC match physical on-hand quantities and location? (MCO 4400.201, Volume 3, Paragraphs 021302 and 021303; MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 4.d and Appendix B, Paragraph 4.b(2)(b)4.c; UM 4000-125, Part 4, Chapter 12, Paragraph 2.b and Chapter 13, Paragraph 2.a). LOE: Maintenance Program and Resource Management

N/A - Commodity does not maintain a DSI.

3. Are the commodity's stage sub-inventory and layette sub-inventory accurate? (MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 4.b.1(b)1; MCO 4790.2, Enclosure (1), Appendix A, Paragraph 3.q(5) and Appendix B, Paragraph 4.b(2)(b)4.e; UM 4000-125, Part 4, Chapter 12, Paragraph 2.b). LOE: Maintenance Program and Resource Management

Yes

3 records reviewed during the analysis were compliant with current directives.

4. Is all Materiel associated with established DSI, Layette, or Broken Unit of Issue (BUI) sub-inventories or reported to supply for disposition guidance? (MCO 4790.2, Enclosure (1), Appendix A, Paragraph 3.q(3); MCO 4400.201, Volume 3, Paragraph 0212; UM 4000-125. Part 4, Chapter 12, Paragraphs 2.b and 3; MMSOP and MMPL). LOE: Maintenance Program and Resource Management

N/A - There were no excess parts throughout the Commodity.

Commodity Area: CommElect
Functional Area: Calibration Control
Analyzed By: GySgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Two

1. Is all equipment requiring calibrations included in the Calibrations and Maintenance Program (CAMP)? (MCO 4733.1C, Paragraph 6.a; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 5.d; TI 4733-15-1A, Paragraph 5; TI 4733 15/11C; TI 4733-15/21A; UM 4000-125, Part 4, Chapter 6, Paragraph 1; MMSOP/MMPL). LOE: Maintenance Program and Resource Management

Yes

50 records reviewed during the analysis were compliant with current directives.

2. Does the information annotated on the calibration sticker or certificate for each calibrated item match the data on the calibration control form? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 5.b; TI 4733-15/1A; TI 4733-OD/10; UM 4000-125, Part 4, Chapter 6 and Appendix E; MMSOP/MMPL). LOE: Maintenance Program and Resource Management

No

Due to a lack of attention to detail by the Bravo Company Calibration NCO, some calibration dates were inputted into GCSS-MC incorrectly after receiving equipment back from the calibration lab.

6 of 50 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

6 record(s): Incorrect Last Cal dates/Next Cal dates.

YBC:

- (2) NIIN 015720247, Attenuator, Fixed, SNs: BY5188, BY5819.
- (4) NIIN 012922384, Attenuator, Fixed, SNs: NW035, NW756, PS797, 01743926.

3. Has Test Measurement and Diagnostics Equipment (TMDE) requiring calibration been submitted to the calibration facility? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 5; TI 4733-OD/1; TI 4733-OD/10; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b and Chapter 6; MMSOP/MMPL). LOE: Maintenance Program and Resource Management

No

Prior to Alpha Company deployment, the Responsible Officer ensured all equipment requiring calibration was sent to the Calibration Lab; however, there was no plan in place to calibrate equipment that became due for Calibration during the deployment. Due to a lack of attention to detail Calibration NCO for Bravo Company overlooked two items that were due for calibration.

10 of 50 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

10 record(s): TMDE was on hand and past Next Cal dates.

YAC:

- (4) NIIN 015720247, Attenuator, Fixed, SNs: BW8497, BX6463, BY2937, CE5332.
- (3) NIIN 012922384, Attenuator, Fixed, SNs: NU547, PJ308, PL767.
- (1) TAMCN H7012, Test Set, Radio Freq, SN: 0157.

YBC:

- (1) NIIN 015720247, Attenuator, Fixed, SN: BY5221.
- (1) NIIN 012922384, Attenuator, Fixed, SN: PS071.

4. Is TMDE designated as Calibration Not Required (CNR) or Inactive used within its calibration status? (MCO 4733.1C; TM 4700-15/1H, Paragraph 2-7.d; UM 4000-125, Appendix E (Calibration Status Codes)).

LOE: Maintenance Program and Resource Management

Yes

5 records reviewed during the analysis were compliant with current directives.

Commodity Area: CommElect
Functional Area: Modifications Control
Analyzed By: GySgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Zero

1. Are only authorized modifications applied to Marine Corps equipment? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4.c).
LOE: Maintenance Production

Yes

94 records reviewed during the analysis were compliant with current directives.

2. Does all equipment requiring urgent modifications indicate that modifications have been applied? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4.d(1); Applicable Modification Instructions).
LOE: Maintenance Production

Yes

9 records reviewed during the analysis were compliant with current directives.

3. Does all equipment requiring normal modifications indicate that modifications have been applied? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4; Applicable Modification Instructions).
LOE: Maintenance Production

Yes

31 records reviewed during the analysis were compliant with current directives.

4. When the application of a modification changes data elements of military equipment (i.e., TAMCN, ID or NIIN), are requests for applicable changes submitted by the RO and the property records adjusted? (MCO 4400.201, Volume 3, Chapter 2, Paragraph 020603; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4; Applicable Supply Instruction Modification Instruction and Automated Message Handling System).
LOE: Property Accountability

Yes

4 records reviewed during the analysis were compliant with current directives.

5. Have all modifications been recorded? (CMC Message 091558Z JAN 14 [Policy Procedures and Management Requirements for Centralized Modification Control Records Program]; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4; TM 4700-15/1H, Paragraph 2-5; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b; UM 4000-125, Part 4, Chapter 5).

LOE: Maintenance Information and Reporting

Yes

35 records reviewed during the analysis were compliant with current directives.

Commodity Area: CommElect
Functional Area: Inventory Control
Analyzed By: GySgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Three

1. Are inventory records for Sets, Kits, Outfits, and Tools (SKOT) and Military Equipment established? (MCO 4400.201, Volume 3, Paragraphs 021402 and 021805; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 11; TM 10209-10/1; TM 4700-15/1H, Paragraphs 2-6 and 15-7; MMSOP/MMPL).
LOE: Maintenance Program and Resource Management

Yes

94 records reviewed during the analysis were compliant with current directives.

2. Has the unit commander established allowances in writing, for Using Unit Responsibility Items (UURI) and Additional Authorization List (AAL) items? (MCO 4400.201, Volume 3, Paragraph 021402).
LOE: Maintenance Program and Resource Management

No

Due to a lack of knowledge, section Chiefs were not aware that items with specified UURI quantities must be on the UURI authorization letter with a quantity of zero when choosing to not maintain the item.

1 of 13 records reviewed during the analysis was discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record.

1 record(s): Quantities to be held have not been established.

YS6, YBC

(1) A8023, UURI items 8-12 states required quantity to be maintained. These items are not on hand and not listed on unit UURI authorization letter.

3. Are inventories conducted and documented for all SKOTS, SL-3, and TM components to end items? (CMC Message 091714Z JAN 19; MCO 4400.201, Volume 3, Chapter 2, Paragraph 0214; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 11; MMSOP/MMPL).
LOE: Maintenance Program and Resource Management

No

Due to a lack of supervision when conducting inventories, records were not completed correctly in some instances.

6 of 94 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

6 record(s): Inventories were not conducted and retained.

YBC:

(1) A7902, SN: 0518, 2nd quarter 2019 inventory not conducted. 3rd quarter 2019 inventory did not have supervisor signature.

(1) A7902, SN: 0513, 4th quarter 2018 did not have supervisor signature.

(4) A2043, SN: 21820123, 21820116, 21820118, 21820110, 3rd quarter 2018 not conducted.

4. Are required replacement items requisitioned or identified as an unfunded deficiency? (MCO 4400.201, Volume 3, Paragraph 0214; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b). LOE: Maintenance Program and Resource Management

No

Due to a lack of supervision when conducting inventories, missing items were not requisitioned when required. Additionally, the section has no tool control measures in place and could not distinguish which tools were signed out, in the field, or missing.

2 of 17 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

2 record(s): Identified deficiencies were not requisitioned.

YBC:

(1) A7902, SN: 0518, Items 10, 14, 17, 21, 22, 26, 80, 81, 85, 86, 107, 134, 137, 138, and 139 missing and not on order.

(1) A7902, SN: 0513, Items 15, 17, 36, 81, 88, 89, 92, 93, and 134 missing and not on order. Item 40 is incorrect tool and is improper fit for tool case.

Commodity Area: Engineers
Functional Area: Maintenance Production
Analyzed By: MSgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Zero

1. Are authorized personnel assigning proper Urgency of Need Designators (UND) on Service Requests? (MCO 4400.201, Volume 3, Paragraph 010702; MCO 4400.16H, Paragraph 4.b(9); MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 2.a(1)(d); UM 4000-125, Part 4, Chapter 3, Paragraph 3.h).
LOE: Maintenance Production

Yes

1 record reviewed during the analysis was compliant with current directives.

2. Are acceptance inspections properly conducted and documented when equipment is turned in to the supporting maintenance activity? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 2.a.(1) and Appendix C, Paragraph 3.c; UM 4000-125, Part 4, Chapter 3, Paragraphs 1.b(1) and 5.s(1)(a)).

LOE: Maintenance Production

Yes

1 record reviewed during the analysis was compliant with current directives.

3. Has the DRIS been established during the induction phase? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 4(a)(1)). LOE: Maintenance Production

Yes

1 record reviewed during the analysis was compliant with current directives.

4. Do the commodity personnel use a Service Request (SR) in all instances where required in the performance of maintenance? (MCO 4790.2, Appendix B, Paragraph 5.c and Appendix C, Paragraph 2.a; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b). LOE: Maintenance Information and Reporting

Yes

1 record reviewed during the analysis was compliant with current directives.

5. Is the operational status of "Deadlined" for Readiness Reportable Ground Equipment, including SL-3, accurately reported? (Pertains to both Using Unit/Organic and IMA accounts) (MCBul 3000; MCO 4790.2, Enclosure (1), Chapter 1, Paragraphs 2.c(3) and 5; UM 4000-125, Part 4, Chapter 3, Paragraph 3 (Page 513)). LOE: Maintenance Information and Reporting

N/A - there was no Readiness Reportable Ground Equipment (RRGE) reported as deadline.

6. Has a Task been created for each major defect? (MCO 4790.2 Enclosure 1, Appendix C, Paragraph 3(f); UM 4000-125 Chapter 3, Paragraph 5(s)(2)(a)).

LOE: Maintenance Production

Yes

1 record reviewed during the analysis was compliant with current directives.

Engineers: Maintenance Production - 1

Enclosure (6)

7. Did the commodity submit a PQDR when required? (MCO 4855.10C; MCO 4105.2; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 10 and Chapter 3, Paragraph 6; Applicable Supply Instructions and Fielding Plans).
LOE: Maintenance Production

N/A - There were no instances requiring a PQDR to be submitted.

8. Is the commodity following established warranty procedures? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 10; MCO 4105.2; MCO 4855.10C; Applicable Supply Instructions and Fielding Plans; MMSOP). LOE: Maintenance Production

N/A - The commodity had no equipment in the maintenance cycle that was covered under a warranty.

9. Are parts requirements associated to the appropriate task? (MCO 4400.16H, Enclosure (1), Paragraphs 5 and 7; UM 4000-125, Part 4, Chapter 3, Paragraphs 4.c and 4.g and Chapter 9, Paragraph 3.a).
LOE: Maintenance Information and Reporting

Yes

2 records reviewed during the analysis were compliant with current directives.

10. Is the priority commensurate with the associated Maintenance Task? (MCO 4400.16H, Enclosure (1), Paragraphs 5 and 7; CMC Message 271253Z FEB 18). LOE: Maintenance Information and Reporting

Yes

2 records reviewed during the analysis were compliant with current directives.

11. Does the maintenance activity assign the appropriate Job Status Codes to reflect the transition through the maintenance production process? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 3.e(2); UM 4000-125, Part 4, Chapter 3, Paragraphs 3.g and 4.b and Appendix E).
LOE: Maintenance Information and Reporting

Yes

1 record reviewed during the analysis was compliant with current directives.

12. Is the unit following procedures for extension of Maximum Maintenance Cycle Time (MMCT)? (MCO 4400.201, Vol 6, Paragraph 030303; CMC Message 191845Z JUN 18). LOE: Maintenance Production

N/A - The commodity had no maintenance service requests that exceeded MMCT.

13. Is the commodity debriefing parts prior to the closure of the Service Request? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 6; UM 4000-125, Part 4, Chapter 3, Paragraphs 5 and 7.c). LOE: Maintenance Production

Yes

21 records reviewed during the analysis were compliant with current directives.

14. Is the maintenance activity properly debriefing labor prior to the closure of the service request? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 6.a(2); UM 4000-125, Part 4, Chapter 3, Paragraphs 5.a, 7.c, and 10.c). LOE: Maintenance Program and Resource Management

Yes

66 records reviewed during the analysis were compliant with current directives.

15. Upon completion of maintenance actions, are assigned quality control personnel documenting final inspections? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 2.c(4); UM 4000-125, Part 4, Chapter 3, Paragraph 3.s(3); Appropriate Commodity Chapters of TM 4700-15/1H).

LOE: Maintenance Production

Yes

20 records reviewed during the analysis were compliant with current directives.

Commodity Area: Engineers
Functional Area: Preventive Maintenance Checks and Services
Analyzed By: MSgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Four

1. Have equipment counters been updated? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4.b; UM 4000-125, Part 4, Chapter 3, Paragraph 6).
LOE: Maintenance Information and Reporting

No

Responsible Officers failed to provide effective supervision and lacked involvement in the upkeep or management of engineer assets which resulted in a lack of consistency in equipment counter reading updates.

11 of 17 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

11 record(s): Equipment owner did not update counters.

YAC

(1) B2685: SN 669666

YBC

(1) B2685: SN 669667

YBNMNT

(1) B0063: SN 640292

(1) B0077: SN G130536249

(1) B0640: SN 071939

(2) B0891: SNs A140621820 & A140625244

(1) B0953: SN I130569984

(1) B1021: SN E130505892

(1) B2561: SN 687274

YCC

(1) B2685: SN MCT0032

2. Has scheduled PMCS been performed? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4; TM 4700-15/1H, Paragraphs 2-2.d.38.c; UM 4000-125, Part 4, Chapter 4, Paragraphs 1.a, 1.b, and 1.e; Applicable Technical Publications).
LOE: Maintenance Production

No

A lack of involvement from Responsible Officers and the lack of communication between them and the Engineer Chief regarding who was responsible for ordering PM parts for the engineer assets that are outside of the YBNMNT account led to eight of the discrepancies noted. In addition, the Engineer Chief and the Quality Control NCO for the YBNMNT account failed to ensure PM parts were ordered and debriefed on the Service Requests (SRs). Furthermore, the SRs notes were missing the performance steps to substantiate that the preventive maintenance was completed in accordance with technical manuals.

The Engineer Chief stated that the unit scrounged these parts but failed to annotate them on the Task Notes and properly debrief them.

13 of 41 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

1 record(s): PMCS were not properly conducted and documented.

YBNMNT

(1) B0063: SN 640292

3 record(s): A PMCS SR was not resident in GCSS-MC for equipment requiring PMCS.

YMT

(1) B2085: SN0015-961

YSUP

(2) B0036: SN 03RJ8-M00089 and 03RJ8-M00099

1 record(s): PMCS SR tasks did not contain appropriate performance steps IAW TM.

YBNMNT

(1) B0037: SN 03RJ8-S00076

8 record(s): Parts/materiel not debriefed to substantiate PMCS had been performed.

YAC

(1) B2685: SN 669666

YBC

(1) B2685: SN 669667

YBNMNT

(1) B0891: SN A140621820

(1) B0953: SN I130569984

(1) B1021: SN E130505892

YMT

(3) B1580: SN 197412, 197-291 & MCA08013

3. Has required PMCS been scheduled? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4.a(2)(b); TM 4700-15/1H, Paragraphs 2-4.b thru 2-4.c; UM 4000-125, Part 4, Chapter 4, Paragraph 1; Applicable Technical Publications).
LOE: Maintenance Production

Yes

41 records reviewed during the analysis were compliant with current directives.

4. Has operator/crew PMCS been performed? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4; Applicable Technical Publications; MMSOP/MMPL).
LOE: Maintenance Production

No

The engineer equipment managers failed to ensure effective Op/Crew PMCS practices were in place and that corrective actions were taken upon identifying a discrepancy. During a sensing session it was identified that neither the YBNMNT nor YMT manager felt knowledgeable regarding their respective discrepant ME. In addition, the maintainers lacked attention to detail and training when following the Technical Manual in the performance of Op/Crew PMCS which contributed to this discrepancy.

3 of 41 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

3 record(s): Visual inspection of equipment revealed that PMCS was not being conducted IAW tech guidance.

YBNMNT

(1) B0037: SN 03RJ8-S00076

YMT

(2) B1580: SN 197412 and MCA08013

5. Was an SR initiated for defects identified during operator/crew PMCS? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraphs 4.a(2)(b) and 5; Applicable Technical Publications; MMSOP/MMPL).
LOE: Maintenance Information and Reporting

No

A lack of involvement from the Responsible Officer and the lack of communication between him and the Engineer Chief regarding who was responsible for ordering CM parts for the engineer assets led to the discrepancies noted. During a sensing session, it was identified that the YMT personnel believed that the YBNMNT maintainers were responsible for requisitioning B TAMCN CM parts for the discrepant ME. However, the YBNMNT maintainers believed that they were only responsible for conducting the maintenance once the parts came in. This lack of internal procedures led to two B TAMCN assets sitting on a deadline status since they were identified in June without a CM SR.

2 of 2 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

2 record(s): Internal procedures between Maintenance/Commodities were not established.

YMT

(2) B1580: SN 197412 & MCA08013

6. Prior to closure of PMCS SR, were equipment records updated? (MCO 4790.2, Enclosure 1, Appendix C, Paragraph 6.d).

LOE: Maintenance Information and Reporting

Yes

20 records reviewed during the analysis were compliant with current directives.

Commodity Area: Engineers
Functional Area: Parts Requirement
Analyzed By: MSgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Zero

1. Are validations/reconciliations conducted between the commodities (supply, MMO, maintenance activity, and supporting activities), and are corrective actions initiated by the commodity/IMA for requisitions? (MCO 4790.2, Chapter 1, Paragraph 4.b; UM 4000-125, Part 4, Chapter 3, Paragraph 5.s(5)(b), page 523; MMSOP/MMPL). LOE: Procurement

N/A - The commodity had no outstanding requisitions at the time of this analysis.

2. Does authorized DSI resident in GCSS-MC match physical on-hand quantities and location? (MCO 4400.201, Volume 3, Paragraphs 021302 and 021303; MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 4.d and Appendix B, Paragraph 4.b(2)(b)4.c; UM 4000-125, Part 4, Chapter 12, Paragraph 2.b and Chapter 13, Paragraph 2.a). LOE: Maintenance Program and Resource Management

N/A - Commodity did not maintain a DSI.

3. Are the commodity's stage sub-inventory and layette sub-inventory accurate? (MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 4.b.1(b)1; MCO 4790.2, Enclosure (1), Appendix A, Paragraph 3.q(5) and Appendix B, Paragraph 4.b(2)(b)4.e; UM 4000-125, Part 4, Chapter 12, Paragraph 2.b). LOE: Maintenance Program and Resource Management

N/A- There were no layettes to validate.

4. Is all Materiel associated with established DSI, Layette, or Broken Unit of Issue (BUI) sub-inventories or reported to supply for disposition guidance? (MCO 4790.2, Enclosure (1), Appendix A, Paragraph 3.q(3); MCO 4400.201, Volume 3, Paragraph 0212; UM 4000-125. Part 4, Chapter 12, Paragraphs 2.b and 3; MMSOP and MMPL). LOE: Maintenance Program and Resource Management

N/A - No excess repair parts on hand. Commodity is debriefing directly from stage and applying to ME.

Commodity Area: Engineers
Functional Area: Calibration Control
Analyzed By: MSgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: One

1. Is all equipment requiring calibrations included in the Calibrations and Maintenance Program (CAMP)? (MCO 4733.1C, Paragraph 6.a; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 5.d; TI 4733-15-1A, Paragraph 5; TI 4733 15/11C; TI 4733-15/21A; UM 4000-125, Part 4, Chapter 6, Paragraph 1; MMSOP/MMPL). LOE: Maintenance Program and Resource Management

No

Responsible Officers lacked knowledge regarding their welding shops. As A result, all TMDE associated to their respective MCTWS was resident in the CAMP. All Three of the Regulating Acetylene Valves (NIIN 016257322) analyzed were discrepant.

3 of 3 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

3 record(s): All equipment requiring calibration was not included in the commodities CAMP.

YAC

(1) B2685: SN 669666

YBC

(1) B2685: SN 669667

YCC

(1) B2685: SN MCT0032

2. Does the information annotated on the calibration sticker or certificate for each calibrated item match the data on the calibration control form? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 5.b; TI 4733-15/1A; TI 4733-OD/10; UM 4000-125, Part 4, Chapter 6 and Appendix E; MMSOP/MMPL). LOE: Maintenance Program and Resource Management

N/A - See Ordnance checklist.

3. Has Test Measurement and Diagnostics Equipment (TMDE) requiring calibration been submitted to the calibration facility? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 5; TI 4733-OD/1; TI 4733-OD/10; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b and Chapter 6; MMSOP/MMPL). LOE: Maintenance Program and Resource Management

N/A - See Ordnance Checklist

4. Is TMDE designated as Calibration Not Required (CNR) or Inactive used within its calibration status? (MCO 4733.1C; TM 4700-15/1H, Paragraph 2-7.d; UM 4000-125, Appendix E (Calibration Status Codes)).
LOE: Maintenance Program and Resource Management

N/A - See Ordnance Checklist.

Commodity Area: Engineers
Functional Area: Modifications Control
Analyzed By: MSgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: One

1. Are only authorized modifications applied to Marine Corps equipment? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4.c). LOE: Maintenance Production

Yes

41 records reviewed during the analysis were compliant with current directives.

2. Does all equipment requiring urgent modifications indicate that modifications have been applied? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4.d(1); Applicable Modification Instructions).
LOE: Maintenance Production

N/A- There were no urgent modification requirements.

3. Does all equipment requiring normal modifications indicate that modifications have been applied? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4; Applicable Modification Instructions).
LOE: Maintenance Production

No

The Responsible Officer for YBNMNT failed to appoint a Modifications NCO for engineer equipment. In addition, the Engineer Chief failed to validate that all required modifications had been applied to the equipment or that corrective actions had been taken to be in compliance. Furthermore, both modifications were reported as "MI-Verified."

2 of 14 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

1 record(s): Normal modifications have not been applied.

YBNMNT

(1) MI 11120A-OI/3: TAMCN B0640; SN 071939.

1 record(s): Lack of internal inspections/follow-up by supervisory personnel.

YBNMNT

(1) MI 11412A-25/3A: TAMCN B0063; SN 640292 Step E was not completed IAW the MI.

4. When the application of a modification changes data elements of military equipment (i.e., TAMCN, ID or NIIN), are requests for applicable changes submitted by the RO and the property records adjusted? (MCO 4400.201, Volume 3, Chapter 2, Paragraph 020603; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4; Applicable Supply Instruction Modification Instruction and Automated Message Handling System). LOE: Property Accountability

N/A - There was no ME that met this requirement.

5. Have all modifications been recorded? (CMC Message 091558Z JAN 14 [Policy Procedures and Management Requirements for Centralized Modification Control Records Program]; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4; TM 4700-15/1H, Paragraph 2-5; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b; UM 4000-125, Part 4, Chapter 5). LOE: Maintenance Information and Reporting

Yes

9 records reviewed during the analysis were compliant with current directives.

Commodity Area: Engineers
Functional Area: Inventory Control
Analyzed By: MSgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: One

1. Are inventory records for Sets, Kits, Outfits, and Tools (SKOT) and Military Equipment established? (MCO 4400.201, Volume 3, Paragraphs 021402 and 021805; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 11; TM 10209-10/1; TM 4700-15/1H, Paragraphs 2-6 and 15-7; MMSOP/MMPL).
LOE: Maintenance Program and Resource Management

Yes

41 records reviewed during the analysis were compliant with current directives.

2. Has the unit commander established allowances in writing, for Using Unit Responsibility Items (UURI) and Additional Authorization List (AAL) items? (MCO 4400.201, Volume 3, Paragraph 021402).
LOE: Maintenance Program and Resource Management

Yes

17 records reviewed during the analysis were compliant with current directives.

3. Are inventories conducted and documented for all SKOTS, SL-3, and TM components to end items? (CMC Message 091714Z JAN 19; MCO 4400.201, Volume 3, Chapter 2, Paragraph 0214; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 11; MMSOP/MMPL). LOE: Maintenance Program and Resource Management

No

The Engineer Chief failed to ensure SL-3 inventories were completed systematically and verified by a supervisor. The previous Engineer Chief recently departed the unit and further causative research could not be conducted.

12 of 41 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

3 record(s): Inventories were not conducted and retained.

YBNMNT

(1) B0063: SN 640292 Last inventory was in April 2019.
(1) B2561: SN 687274 Last inventory was in January 2019.
(1) B0077: SN G130536249 Last inventory was in April 2019. Also, no Supervisor's Signature was recorded since January 2019 and the trailer's SN is not annotated in the remarks section.

9 record(s): Inventories were missing required signatures and dates.

YBNMNT

- (1) B0027: SN L1017365 No Supervisor's Signature since January 2019.
- (1) B0028: SN L0805116 No Supervisor's Signature since January 2019.
- (1) B0030: SN F1124302 No Supervisor's Signature since January 2019.
- (1) B0579: SN 252 No Supervisor's Signature since January 2019.
- (1) B0640: SN 071939 No Supervisor's Signature since January 2019.
- (2) B0891: SN A140621820 & A140625244 No Supervisor's Signature since January 2019.
- (1) B0953: SN I130569984 No Supervisor's Signature since April 2019.
- (1) B1021: SN E130505892 No Supervisor's Signature since April 2019.

4. Are required replacement items requisitioned or identified as an unfunded deficiency? (MCO 4400.201, Volume 3, Paragraph 0214; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b). LOE: Maintenance Program and Resource Management

N/A - There were no items requiring replacement.

Commodity Area: Motor Transport
Functional Area: Maintenance Production
Analyzed By: MSgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Five

1. Are authorized personnel assigning proper Urgency of Need Designators (UND) on Service Requests? (MCO 4400.201, Volume 3, Paragraph 010702; MCO 4400.16H, Paragraph 4.b(9); MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 2.a(1)(d); UM 4000-125, Part 4, Chapter 3, Paragraph 3.h).
LOE: Maintenance Production

No

The lack of supervision and attention to detail from the commodity led to this discrepancy. The section was approving the upgrade of priority to 03 without proper authorization from the commanding officer.

3 of 13 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

3 record(s): SR was not authorized by approved personnel when priority changed.

YDCo

- (1) SR 27972024, D0003, SN: 629969
- (1) SR 28595920, D0053, SN: 623612
- (1) SR 28811360, D0030, SN: 630257

2. Are acceptance inspections properly conducted and documented when equipment is turned in to the supporting maintenance activity? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 2.a.(1) and Appendix C, Paragraph 3.c; UM 4000-125, Part 4, Chapter 3, Paragraphs 1.b(1) and 5.s(1)(a)).
LOE: Maintenance Production

Yes

13 records reviewed during the analysis were compliant with current directives.

3. Has the DRIS been established during the induction phase? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 4(a)(1)). LOE: Maintenance Production

Yes

13 records reviewed during the analysis were compliant with current directives.

4. Do the commodity personnel use a Service Request (SR) in all instances where required in the performance of maintenance? (MCO 4790.2, Appendix B, Paragraph 5.c and Appendix C, Paragraph 2.a; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b). LOE: Maintenance Information and Reporting

Yes

17 records reviewed during the analysis were compliant with current directives.

5. Is the operational status of "Deadlined" for Readiness Reportable Ground Equipment, including SL-3, accurately reported? (Pertains to both Using Unit/Organic and IMA accounts) (MCBul 3000; MCO 4790.2, Enclosure (1), Chapter 1, Paragraphs 2.c(3) and 5; UM 4000-125, Part 4, Chapter 3, Paragraph 3 (Page 513)). LOE: Maintenance Information and Reporting

No

Readiness Reportable Ground Equipment was reported operational instead of degraded/deadlined. There was no evidence of procedures in place to ensure that all defects identified on ME were identified to the maintenance section. In addition, this discrepancy was attributed to a lack of attention to detail by the Marines operating the equipment and a lack of oversight from the immediate supervisor and equipment owner.

6 of 36 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

6 record(s): Operational statuses were not accurately reported on the MAIS.

YDCO

(1) D0033 SN: 629968, time delay module disconnected, and Air Condition inoperative.

(1) D1001 SN: 604182, time delay module disconnected, air compressor inoperative, inside door handle of ambulance missing, horn inoperative, brake fluid low.

(1) D0003 SN: 638491, constant air leaking from air dryer, and reverse light inoperative.

YMT

(1) D0003 SN: 638276, class II fuel/water separator, air condition inoperative, missing rain cap.

(1) D0022, SN: 620959, class II brake fluid, A/C inoperative, pintle hook seized, batteries terminals loose, fan shroud broken.

(1) D0880 SN: 517544, brake master cylinder completely empty (safety hazard), passenger-side air hose leaking (safety), and parking brake inoperative (safety hazard).

6. Has a Task been created for each major defect? (MCO 4790.2 Enclosure 1, Appendix C, Paragraph 3(f); UM 4000-125 Chapter 3, Paragraph 5(s) (2) (a)).
LOE: Maintenance Production

Yes

13 records reviewed during the analysis were compliant with current directives.

7. Did the commodity submit a PQDR when required? (MCO 4855.10C; MCO 4105.2; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 10 and Chapter 3, Paragraph 6; Applicable Supply Instructions and Fielding Plans).
LOE: Maintenance Production

N/A - There were no PQDRs to review.

8. Is the commodity following established warranty procedures? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 10; MCO 4105.2; MCO 4855.10C; Applicable Supply Instructions and Fielding Plans; MMSOP). LOE: Maintenance Production

N/A - The section did not have any equipment under warranty.

9. Are parts requirements associated to the appropriate task? (MCO 4400.16H, Enclosure (1), Paragraphs 5 and 7; UM 4000-125, Part 4, Chapter 3, Paragraphs 4.c and 4.g and Chapter 9, Paragraph 3.a).
LOE: Maintenance Information and Reporting

Yes

59 records reviewed during the analysis were compliant with current directives.

10. Is the priority commensurate with the associated Maintenance Task? (MCO 4400.16H, Enclosure (1), Paragraphs 5 and 7; CMC Message 271253Z FEB 18). LOE: Maintenance Information and Reporting

Yes

59 records reviewed during the analysis were compliant with current directives.

11. Does the maintenance activity assign the appropriate Job Status Codes to reflect the transition through the maintenance production process? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 3.e (2); UM 4000-125, Part 4, Chapter 3, Paragraphs 3.g and 4.b and Appendix E).
LOE: Maintenance Information and Reporting

No

The Shop Chief and supervisor failed to ensure all equipment had the correct status. In one instance one vehicle did not flow properly through the maintenance cycle. The lack of knowledge and experience at different levels was the cause of these discrepancies.

4 of 13 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

YMT

3 record(s): SR job status codes did not reflect the current status of the equipment.

(1) SR 28925832, D0035, SN: NW2PMT, run as short parts with no parts on order.

(1) SR 28925900, D0035, SN: 656088, run as short parts with no parts on order.

(1) SR 28925926, D0035, SN: 655976, run as short parts with no parts on order.

YMT

1 record(s): Did not follow an orderly flow through the maintenance cycle.

(1) SR 28795074, D0030 SN: 614793
01-AUG-2019 Repair in Progress,
06-AUG-2019 Waiting Approval,
08-AUG-2019 Shrt Parts,
13-AUG-2019 Shrt Tech,
15-AUG-2019 Change from 03 priority to 06,
15-AUG-2019 Shrt Parts,
19-AUG-2019 change from 06 priority to 03,
28-AUG-2019 back to Shrt Tech,
04-SEP-2019 back to waiting Approval, and
05-SEP-2019 Shrt Funds.

12. Is the unit following procedures for extension of Maximum Maintenance Cycle Time (MMCT)? (MCO 4400.201, Vol 6, Paragraph 030303; CMC Message 191845Z JUN 18). LOE: Maintenance Production

N/A - All SRs are under the MMCT.

13. Is the commodity debriefing parts prior to the closure of the Service Request? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 6; UM 4000-125, Part 4, Chapter 3, Paragraphs 5 and 7.c). LOE: Maintenance Production

Yes

21 records reviewed during the analysis were compliant with current directives.

14. Is the maintenance activity properly debriefing labor prior to the closure of the service request? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 6.a (2); UM 4000-125, Part 4, Chapter 3, Paragraphs 5.a, 7.c, and 10.c). LOE: Maintenance Program and Resource Management

No

The Maintenance Chief and supervisor failed to ensure every task is debrief and set to close. The lack of attention to detail and close supervision of every service request led to this discrepancy.

3 of 21 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

YDCo

1 record(s): Labor was not debriefed on every task.

(1) SR 28418098, Task 21717797

YMT

2 record(s): Debrief was not set to close.

(1) SR 28949160, Task 22177543

(1) SR 28944078, Task 22197848

15. Upon completion of maintenance actions, are assigned quality control personnel documenting final inspections? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 2.c (4); UM 4000-125, Part 4, Chapter 3, Paragraph 3.s (3); Appropriate Commodity Chapters of TM 4700-15/1H).

LOE: Maintenance Production

No

The Quality Control NCO failed to create a final QC task due to an oversight. In addition, the lack of supervision from the Maintenance Chief contributed to this discrepancy.

3 of 20 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

YMT

2 record(s): There was no final inspection task created.

(2) SR 29017302, 28949160

YDCo

1 record(s): Final inspection tasks were missing required comments.

(1) SR 28418098

Commodity Area: Motor Transport
Functional Area: Preventive Maintenance Checks and Services
Analyzed By: MSgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Five

1. Have equipment counters been updated? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4.b; UM 4000-125, Part 4, Chapter 3, Paragraph 6).
LOE: Maintenance Information and Reporting

No

Counters on the equipment were not updated monthly for Delta Company. The lack of supervision and attention to detail allowed gaps in readings. The commodity understood the requirement, however, an oversight from the Motor Transport Chief contributed to the discrepancy.

5 of 36 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

5 record(s): Equipment owner did not update counters.

YDCo

D1001 SN: 604182
D0033 SN: 629968, 629969
D0030 SN: 630257,
D0034 SN: 631004,
D0003 SN: 638470, 638491

2. Has scheduled PMCS been performed? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4; TM 4700-15/1H, Paragraphs 2-2.d.38.c; UM 4000-125, Part 4, Chapter 4, Paragraphs 1.a, 1.b, and 1.e; Applicable Technical Publications).
LOE: Maintenance Production

No

The maintenance section failed to familiarize themselves with the required maintenance procedures to properly conduct and record scheduled PMCS. As a result, required maintenance actions were not performed and mandatory replacement parts were not utilized. The maintainers lacked the resident knowledge of the equipment's preventive maintenance requirements. The commodity managers stated that they were not aware of some of the requirements, therefore, adequate sustainment training was not provided to the technicians specifically to the trailers. Additionally, causative research revealed that the commodity failed to validate the conduct of the last recorded PMCS. In most instances, mandatory replacement parts were not ordered or debriefed, and the equipment records did not contain any evidence to substantiate the performance of the PMCS. Furthermore, the majority of PM Service Requests did not list the performance steps per technical manuals. Lastly, the section did not have a complete set of special tools needed to replace the MK593 seals.

16 of 36 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

16 record(s): Parts/materiel not debriefed to substantiate PMCS had been performed.

YDC

- (1) D0016 SN: 618018, no PM kit order or debrief
- (1) D0035 SN: 722933, no history of PM parts replacement since the receipt of the equipment (2014)
- (1) D0880 SN: 533195, no PM kit order or debrief

YMT

- (1) D0003 SN: 598526, no PM kit order or debrief
- (1) D0015 SN: 595968, no PM kit order or debrief
- (1) D0016 SN: 614863, no PM kit order or debrief
- (2) D0030 SN: 617427, 617558, no PM kit order or debrief
- (1) D0034 SN: 642838, no PM kit order or debrief
- (1) D0035 SN: 655888, no history of PM parts replacement since the receipt of the equipment (2012)
- (2) D0080 SN: 562092, 517544 no PM kit order or debrief since 2016
- (1) D0198 SN: 594279, no PM kit order or debrief
- (1) D0235 SN: 632625, no history of PM parts replacement since 2012
- (1) D0211 SN: USMU041393-9, no history of PM parts replacement since 2018
- (1) D0862 SN: 652293, no history of PM parts replacement since 2017

3. Has required PMCS been scheduled? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4.a(2)(b); TM 4700-15/1H, Paragraphs 2-4.b thru 2-4.c; UM 4000-125, Part 4, Chapter 4, Paragraph 1; Applicable Technical Publications).

LOE: Maintenance Production

Yes

36 records reviewed during the analysis were compliant with current directives.

4. Has operator/crew PMCS been performed? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4; Applicable Technical Publications; MMSOP/MMPL).

LOE: Maintenance Production

No

The RO failed to ensure that the SNCOs were providing adequate supervision to the Marines conducting Op/Crew PMCS. This led to technical manuals not being followed and defects going unidentified during the conduct of op/crew PMCS. In addition, the Operators lacked attention to detail and training when following the Technical Manuals while performing Op/Crew PMCS which contributed to this discrepancy.

18 of 36 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

3 record(s): Lack of attention to detail during the conduct of operator/crew PMCS.

YDC

(1) D0030 SN: 629968, hood rod unsecure (safety), driver side splashguard unsecured, time delay module disconnected (possible engine overheating), rear tire low tread, Air Condition inoperative.

(1) D1001, SN: 604182, missing towing shackles, driver-side of hood missing safety cotter pin, time delay module disconnected, brake fluid low, windshield missing four bolts, driver-side splashguard unsecured, horn inoperative, batteries loose terminals, rear step missing support bracket, both inside door handles missing from the back compartment, air compressor inoperative.

(1) D0003, SN: 638491, one battery terminal loose, towing pintle hook seized (lack of grease), winch cable loose, air leaking from air dryer, reverse light inoperative.

15 record(s): Visual inspection of equipment revealed that PMCS was not being conducted IAW tech guidance.

YBC

(1) D0003 SN: 638330, battery hold-down bracket loose, towing pintle hook seized, grease points not greased, rear bumper bent, reverse light inoperative, evidence of rust on the winch cable.

YMT

(1) D0035 SN: 655900, driver-side towing safety chain link broken (safety hazard)

(2) D0003

-SN: 638276, air condition inoperative, rain cap missing.

-SN: 632323, exhaust pipe missing, one battery terminal loose, passenger-side axle# 2 tire low tread.

(1) D0022, SN: 620959, class II brake fluid, A/C inoperative, pintle hook seized, batteries terminals loose, fan shroud broken.

(3) D0030

-SN: 617987, 3 battery J-hook missing, towing pintle hook seized, passenger-side antenna mount loose, winch cable needs PMCS.

-SN: 617134, passenger-side blinker inoperative, thermal flasher unit loose.

-SN: 617427, brake fluid low, air compressor inoperative, all batteries terminals loose.

(1) D0034 SN: 642838, A/C thermostat control switch defective (Review Maintenance Advisory Message (MAM)), pintle hook missing, batteries terminal loose, washer fluid empty.

(1) D0054 SN: 659382, axle #3 fender bent, oxygen tank missing clamps to secure tank.

(1) D0198, SN: 592846, battery terminal loose, windshield wiper reservoir empty, power steering class II, driveline grease points not greased

(1) D0235 SN: 588317, driver-side lending leg missing cotter pin, rear clip lights broken, passenger-side lending leg missing safety pin to hold leg in place (road safety hazard).

(1) D0880 SN: 517544, brake master cylinder completely empty (safety hazard), passenger-side air hose leaking, and parking brake inoperative (safety hazard).

(2) D1158

-SN: 590430, two batteries terminals loose, washer fluid empty, both doors loose, passenger-side splashguard loose, hood missing safety pin

-SN: 610173, time delay module disconnected (engine possibly overheating), passenger-side marker light inoperative, windshield washer fluid empty

5. Was an SR initiated for defects identified during operator/crew PMCS? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraphs 4.a (2)(b) and 5; Applicable Technical Publications; MMSOP/MMPL).

LOE: Maintenance Information and Reporting

No

The commodity failed to initiate corrective maintenance actions after identifying discrepancies with the equipment during Op/Crew PMCS. The lack of follow-up actions and supervisory oversight led to the discrepancies identified which contributed to the lack of service request initiation.

2 of 36 records reviewed during the analysis was discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record.

2 record(s): Requests for corrective maintenance were not initiated.

(2) D0003

-SN: 638491, Reverse light inoperative.

-SN: 638276, class II fuel/water separator, Air condition inoperative, missing rain cap.

6. Prior to closure of PMCS SR, were equipment records updated? (MCO 4790.2, Enclosure 1, Appendix C, Paragraph 6.d).

LOE: Maintenance Information and Reporting

No

The equipment owner failed to reconcile and validate the information on the PMCS schedule which led to incorrect data annotations within the schedule. The lack of attention to detail and oversight of the PMCS program led to these discrepancies.

10 of 36 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

10 record(s): The PM schedule was not updated.

YDC

(1) D0030 SN: 630257, last SR number was not updated.

YMT

(1) D0003 SN: 598533, dates closed was not updated.

(1) D0022 SN: 620959, dates closed was not updated.

(1) D0034 SN: 642838, dates closed was not updated.

(1) D0035 SN: 655900, dates closed was not updated.

(1) D0052 SN: 653091, dates closed was not updated.

- (1) D0198 SN: 593326, dates closed was not updated.
- (1) D0211 SN: USMC041393-9, dates closed was not updated.
- (1) D0235 SN: 632625, dates closed was not updated.
- (1) D0880 SN: 517544, dates closed was not updated.

Commodity Area: Motor Transport
Functional Area: Parts Requirement
Analyzed By: MSgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Two

1. Are validations/reconciliations conducted between the commodities (supply, MMO, maintenance activity, and supporting activities), and are corrective actions initiated by the commodity/IMA for requisitions? (MCO 4790.2, Chapter 1, Paragraph 4.b; UM 4000-125, Part 4, Chapter 3, Paragraph 5.s (5) (b), page 523; MMSOP/MMPL). LOE: Procurement

No

The Maintenance Chief failed to initiate corrective action on the discrepant items due to lack of attention to detail and experience. Requisition received a 'CA' cancellation status, but the parts were not reordered. There were no 'Transaction-Status' tasks created by the maintenance section validating these items are still required. In addition, the Service Request is still running "SHT PART" with no parts on order.

3 of 3 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

3 record(s): Corrective actions were not initiated for any identified discrepancies.

(1) SR 28925832, Document # M2182092210113, Canc on 10 Aug, 2019 and no follow up.

(1) SR 28925900, Document # M2182092210111, Canc on 10 Aug, 2019 and no follow up.

(1) SR 28925926, Document # M2182092210115, Canc on 15 Aug, 2019 and no follow up.

2. Does authorized DSI resident in GCSS-MC match physical on-hand quantities and location? (MCO 4400.201, Volume 3, Paragraphs 021302 and 021303; MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 4.d and Appendix B, Paragraph 4.b(2)(b)4.c; UM 4000-125, Part 4, Chapter 12, Paragraph 2.b and Chapter 13, Paragraph 2.a). LOE: Maintenance Program and Resource Management

No

The DSI NCO failed to maintain accountability of all parts. The on hand quantities did not match the virtual quantities on the report. In addition, some of the items did not reflect as high usage parts. The lack of attention to detail from the DSI NCO contributed to this discrepancy.

2 of 41 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

2 record(s): The DSI were not stocked and maintained in accordance with the references.

(1) NIIN 013141190, 5 parts on hand, but report only had 1.

(1) NIIN 013141189, place on the wrong locator, Locator D050201BE instead of D050201BD.

3. Are the commodity's stage sub-inventory and layette sub-inventory accurate? (MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 4.b.1 (b)1; MCO 4790.2, Enclosure (1), Appendix A, Paragraph 3.q(5) and Appendix B, Paragraph 4.b(2)(b)4.e; UM 4000-125, Part 4, Chapter 12, Paragraph 2.b).
LOE: Maintenance Program and Resource Management

Yes

9 records reviewed during the analysis were compliant with current directives.

4. Is all Materiel associated with established DSI, Layette, or Broken Unit of Issue (BUI) sub-inventories or reported to supply for disposition guidance? (MCO 4790.2, Enclosure (1), Appendix A, Paragraph 3.q (3); MCO 4400.201, Volume 3, Paragraph 0212; UM 4000-125. Part 4, Chapter 12, Paragraphs 2.b and 3; MMSOP and MMPL).
LOE: Maintenance Program and Resource Management

N/A - There were no excess parts throughout the Commodity.

Commodity Area: Motor Transport
Functional Area: Calibration Control
Analyzed By: MSgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Two

1. Is all equipment requiring calibrations included in the Calibrations and Maintenance Program (CAMP)? (MCO 4733.1C, Paragraph 6.a; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 5.d; TI 4733-15-1A, Paragraph 5; TI 4733 15/11C; TI 4733-15/21A; UM 4000-125, Part 4, Chapter 6, Paragraph 1; MMSOP/MMPL). LOE: Maintenance Program and Resource Management

No

The Calibration NCO failed to include all calibration items in the Calibration and Maintenance Program. The lack of knowledge and supervision of the calibration program led to this discrepancy.

3 of 50 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

YMT

3 record(s): All equipment requiring calibration was not included in the commodities CAMP.

- (1) SN: 599685001, Valve Regulator.
- (1) SN: 599685002, Valve Regulator.
- (1) SN: 9010-202, Pressure Gage.

2. Does the information annotated on the calibration sticker or certificate for each calibrated item match the data on the calibration control form? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 5.b; TI 4733-15/1A; TI 4733-OD/10; UM 4000-125, Part 4, Chapter 6 and Appendix E; MMSOP/MMPL). LOE: Maintenance Program and Resource Management

No

An ineffective TMDE review on 26 April 2019, and the lack of in-depth RO and supervisor oversight on the program allowed for discrepancies to develop. In addition, the lack of knowledge of the Calibration NCO contributed to this discrepancy.

5 of 50 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

YMT

3 record(s): Incorrect Last Cal dates/Next Cal dates.

- (1) SN: 2EF7-911F7B, indicator, the schedule had incorrect last Cal date.
- (1) SN: 2EF7-911f7D, indicator, the schedule had incorrect last Cal date.
- (1) SN: 85300194, multimeter, the schedule had incorrect last Cal date .

YMT

2 record(s): CNR/Inactive status and dates were not listed in the remarks column.

(1) SN: 599685001, valve Regulator.

(1) SN: 599685002, valve Regulator.

3. Has Test Measurement and Diagnostics Equipment (TMDE) requiring calibration been submitted to the calibration facility? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 5; TI 4733-OD/1; TI 4733-OD/10; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b and Chapter 6; MMSOP/MMPL).
LOE: Maintenance Program and Resource Management

Yes

50 records reviewed during the analysis were compliant with current directives.

4. Is TMDE designated as Calibration Not Required (CNR) or Inactive used within its calibration status? (MCO 4733.1C; TM 4700-15/1H, Paragraph 2-7.d; UM 4000-125, Appendix E (Calibration Status Codes)).
LOE: Maintenance Program and Resource Management

Yes

3 records reviewed during the analysis were compliant with current directives.

Commodity Area: Motor Transport
Functional Area: Modifications Control
Analyzed By: MSgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Three

1. Are only authorized modifications applied to Marine Corps equipment?
(MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4.c).
LOE: Maintenance Production

Yes

46 records reviewed during the analysis were compliant with current directives.

2. Does all equipment requiring urgent modifications indicate that modifications have been applied? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4.d (1); Applicable Modification Instructions).
LOE: Maintenance Production

No

The Modification NCO and Equipment Owner failed to verify that required modifications were applied. In one instance one HMMWV had the incorrect brake clip installed. The lack of attention to detail when inspecting the equipment and supervision of the modification program contributed to this discrepancy.

2 of 28 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

YDCO

1 record(s): Urgent modifications have not been applied.
(1) MI 11480A-20/2, D0003, SNs: 638470, 638491, MCTAG E0071 was missing serial number.

YMT

1 record(s): Lack of internal inspections/follow-up by supervisory personnel.
(1) MI 2320-IN/1, D0031, SN: 641304, vehicle had one incorrect brake clip in the front brake caliper.

3. Does all equipment requiring normal modifications indicate that modifications have been applied? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4; Applicable Modification Instructions).
LOE: Maintenance Production

No

The Modification NCO and Equipment Owner failed to verify that the required modification was applied. One HMMWV was missing the roll-over warning plate from the dashboard. The lack of attention to detail when inspecting the equipment and supervision of the modification program contributed to this discrepancy.

1 of 70 records reviewed during the analysis was discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record.

1 record(s): Normal modifications have not been applied.

YMT

(1) MI2320-OR/1, D0030, SN: 630252, roll-over warning plate not installed

4. When the application of a modification changes data elements of military equipment (i.e., TAMCN, ID or NIIN), are requests for applicable changes submitted by the RO and the property records adjusted? (MCO 4400.201, Volume 3, Chapter 2, Paragraph 020603; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4; Applicable Supply Instruction Modification Instruction and Automated Message Handling System). LOE: Property Accountability

N/A - No modification changes data elements of military equipment (i.e., TAMCN, ID or NIIN).

5. Have all modifications been recorded? (CMC Message 091558Z JAN 14 [Policy Procedures and Management Requirements for Centralized Modification Control Records Program]; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4; TM 4700-15/1H, Paragraph 2-5; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b; UM 4000-125, Part 4, Chapter 5). LOE: Maintenance Information and Reporting

No

The Equipment Owner failed to validate the modification report and verify the correct statuses. The lack of supervisory oversight and validation of the modification report was the cause of this discrepancy. In addition, failure from the Modification NCO to verify the correct status the last time the equipment was in the maintenance cycle contributed to this discrepancy.

5 of 98 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

5 record(s): The appropriate statuses of required modifications were not recorded.

YDCO

(1) MI 2320-IN/1, reported as MI-Verified instead of Not Applicable for D0030 SNs: 630253, 630257, and D0034 SN: 631004.

YMT

(1) MI 11480A-20-2, reported as MI N/A instead of MI-Verified for D0003 SN: 638330.

(1) MI 2320-15/77, reported as MI N/A instead of MI-Verified for D0003 SN: 638330.

(1) MI 2320-IN/2, reported as MI Verified instead of MI-Deferred for D0003 SN: 638322.

(1) MI 2320-35/1, reported as MI-Completed instead of MI Not installed for D0033 SN: 629961.

Commodity Area: Motor Transport
Functional Area: Inventory Control
Analyzed By: MSgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Two

1. Are inventory records for Sets, Kits, Outfits, and Tools (SKOT) and Military Equipment established? (MCO 4400.201, Volume 3, Paragraphs 021402 and 021805; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 11; TM 10209-10/1; TM 4700-15/1H, Paragraphs 2-6 and 15-7; MMSOP/MMPL).
LOE: Maintenance Program and Resource Management

Yes

46 records reviewed during the analysis were compliant with current directives.

2. Has the unit commander established allowances in writing, for Using Unit Responsibility Items (UURI) and Additional Authorization List (AAL) items? (MCO 4400.201, Volume 3, Paragraph 021402).
LOE: Maintenance Program and Resource Management

Yes

9 records reviewed during the analysis were compliant with current directives.

3. Are inventories conducted and documented for all SKOTS, SL-3, and TM components to end items? (CMC Message 091714Z JAN 19; MCO 4400.201, Volume 3, Chapter 2, Paragraph 0214; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 11; MMSOP/MMPL). LOE: Maintenance Program and Resource Management

No

Inventory records did not reflect any of the AAL authorized items, the lack of knowledge from the Marines conducting the inventories on AAL requirements as well as a lack of supervision from the SNCOs within the section led to the identified discrepancies. In addition, the commodity was unaware of all the requirements of the SL-3 gear for the ECV HMMWVs. The section was not tracking AMHS DTG: 211652Z Jun 18, HIGH MOBILITY MULTIPURPOSE WHEELED VEHICLE JACK TECHNICAL DATA. This lack of knowledge from the Marines conducting the SL-3 inventories led to the failure to identify the items as missing, and initiate a requisition.

Analyst Note:

None of record jackets have the first aid safety kit's inventory sheets.

11 of 46 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

9 record(s): UURI/AAL was not inventoried.

YMT

(1) D0022 SN: 620959

(3) D0030 SN: 617427, 617134, 617987
(1) D0034 SN: 642838
(1) D0054 SN: 659382
(1) D0887 SN: 659264
(2) D1158 SN: 610173, 590430

2 record(s): Inventories were missing required signatures and dates.

YMT

(2) C7915 SN: 5791, and 6266, missing December, 2018 supervised by signature.

4. Are required replacement items requisitioned or identified as an unfunded deficiency? (MCO 4400.201, Volume 3, Paragraph 0214; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b). LOE: Maintenance Program and Resource Management

No

The commodity failed to place require items on order, this was due to a lack of knowledge on the part of the ROs, SNCOs, and the Marines conducting the inventories.

11 of 50 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

11 record(s): Identified deficiencies were not requisitioned.

YBC

(1) D0052 SN: 653083, technical manual missing, and not on order.

YMT

(3) D0003 SN: 632323, 638306, 638276, technical manual missing and not on order.

(1) D0022 SN: 620959, technical manual missing and not on order.

(2) D0030 SN: 617134, 617987, technical manual missing and not on order.

(1) D0198 SN: 592846, technical manual missing and not on order, chock block was the incorrect size.

(1) D0887 SN: 659264, technical manual, and item 3 missing and not on order

(2) C7915

-SN: 6493, items 35, 94, missing and not on order and item 143 was unserviceable with no replacement on order

-SN: 7815, item 67 was unserviceable with no replacement on order, item 179 marked as missing, but was on hand.

Commodity Area: Motor Transport
Functional Area: Tactical Ground Load Lifting Equipment
Analyzed By: MSgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Zero

1. Has the unit Commander assigned in writing a Certifying Official for certification of tactical ground load lifting equipment? (MCO 11262.2B W/ADMIN CH, Enclosure (1), Chapter 1, Paragraph 2.j).
LOE: Maintenance Information and Reporting

Yes

1 record reviewed during the analysis was compliant with current directives.

2. Has the load test Certifying Official designated, in writing, authorized test directors and inspection/test personnel? (MCO 11262.2B W/ADMIN CH, Enclosure (1), Chapter 1, Paragraph 2.j).
LOE: Maintenance Information and Reporting

Yes

1 record reviewed during the analysis was compliant with current directives.

3. Do equipment records indicate a load test has been performed and documented on tactical ground load lifting equipment? (MCO 11262.2B W/ADMIN CH, Enclosure (1), Chapter 1, Paragraphs 2.d and 2.e; UM 4000-125, Part 4, Chapter 2, Paragraph 2). LOE: Maintenance Information and Reporting

Yes

1 record reviewed during the analysis was compliant with current directives.

4. Is the hook throat spread base measurement properly conducted and recorded? (MCO 11262.2B W/ADMIN CH, Enclosure (1), Chapter 3, Paragraph 4; UM 4000-125, Part 4, Chapter 2, Paragraph 2).
LOE: Maintenance Information and Reporting

Yes

2 records reviewed during the analysis were compliant with current directives.

5. Do equipment records indicate a "passing" Non-Destructive Test (NDT) of tactical ground load lifting equipment has been completed in the last five years? (MCO 11262.2B W/ADMIN CH, Enclosure (1), Chapter 4, Paragraphs 2.b (1) and 2.c; UM 4000-125, Part 4, Chapter 2, Paragraph 2).
LOE: Maintenance Information and Reporting

Yes

2 records reviewed during the analysis were compliant with current directives.

6. Has an Annual Condition Inspection (ACI) been performed and documented for tactical ground load lifting equipment within the past 12 months? (MCO 11262.2B W/ADMIN CH, Enclosure (1), Chapter 3, Paragraph 8; UM 4000-125, Part 4, Chapter 2, Paragraph 2). LOE: Maintenance Information and Reporting

Yes

2 records reviewed during the analysis were compliant with current directives.

Commodity Area: Ordnance Vehicle
Functional Area: Maintenance Production
Analyzed By: Captain (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Two

1. Are authorized personnel assigning proper Urgency of Need Designators (UND) on Service Requests? (MCO 4400.201, Volume 3, Paragraph 010702; MCO 4400.16H, Paragraph 4.b(9); MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 2.a(1)(d); UM 4000-125, Part 4, Chapter 3, Paragraph 3.h).
LOE: Maintenance Production

Yes

33 records reviewed during the analysis were compliant with current directives.

2. Are acceptance inspections properly conducted and documented when equipment is turned in to the supporting maintenance activity? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 2.a.(1) and Appendix C, Paragraph 3.c; UM 4000-125, Part 4, Chapter 3, Paragraphs 1.b(1) and 5.s(1)(a)).
LOE: Maintenance Production

Yes

33 records reviewed during the analysis were compliant with current directives.

3. Has the DRIS been established during the induction phase? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 4(a)(1)). LOE: Maintenance Production

Yes

33 records reviewed during the analysis were compliant with current directives.

4. Do the commodity personnel use a Service Request (SR) in all instances where required in the performance of maintenance? (MCO 4790.2, Appendix B, Paragraph 5.c and Appendix C, Paragraph 2.a; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b). LOE: Maintenance Information and Reporting

Yes

33 records reviewed during the analysis were compliant with current directives.

5. Is the operational status of "Deadlined" for Readiness Reportable Ground Equipment, including SL-3, accurately reported? (Pertains to both Using Unit/Organic and IMA accounts) (MCBul 3000; MCO 4790.2, Enclosure (1), Chapter 1, Paragraphs 2.c(3) and 5; UM 4000-125, Part 4, Chapter 3, Paragraph 3 (Page 513)). LOE: Maintenance Information and Reporting

Yes

33 records reviewed during the analysis were compliant with current directives.

6. Has a Task been created for each major defect? (MCO 4790.2 Enclosure 1, Appendix C, Paragraph 3(f); UM 4000-125 Chapter 3, Paragraph 5(s) (2) (a)).
LOE: Maintenance Production

Yes

33 records reviewed during the analysis were compliant with current directives.

7. Did the commodity submit a PQDR when required? (MCO 4855.10C; MCO 4105.2; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 10 and Chapter 3, Paragraph 6; Applicable Supply Instructions and Fielding Plans).
LOE: Maintenance Production

N/A - Commodity did not have any PQDRs submitted during the time of analysis.

8. Is the commodity following established warranty procedures? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 10; MCO 4105.2; MCO 4855.10C; Applicable Supply Instructions and Fielding Plans; MMSOP). LOE: Maintenance Production

N/A - The commodity had no equipment in the maintenance cycle that was covered under a warranty.

9. Are parts requirements associated to the appropriate task? (MCO 4400.16H, Enclosure (1), Paragraphs 5 and 7; UM 4000-125, Part 4, Chapter 3, Paragraphs 4.c and 4.g and Chapter 9, Paragraph 3.a).
LOE: Maintenance Information and Reporting

Yes

33 records reviewed during the analysis were compliant with current directives.

10. Is the priority commensurate with the associated Maintenance Task? (MCO 4400.16H, Enclosure (1), Paragraphs 5 and 7; CMC Message 271253Z FEB 18). LOE: Maintenance Information and Reporting

Yes

33 records reviewed during the analysis were compliant with current directives.

11. Does the maintenance activity assign the appropriate Job Status Codes to reflect the transition through the maintenance production process? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 3.e(2); UM 4000-125, Part 4, Chapter 3, Paragraphs 3.g and 4.b and Appendix E).
LOE: Maintenance Information and Reporting

Yes

33 records reviewed during the analysis were compliant with current directives.

12. Is the unit following procedures for extension of Maximum Maintenance Cycle Time (MMCT)? (MCO 4400.201, Vol 6, Paragraph 030303; CMC Message 191845Z JUN 18). LOE: Maintenance Production

No

Due to a lack of oversight, MMCT procedures were not followed correctly.

2 of 5 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

2 record(s): The commodity was not following MMCT procedures.

(1) 28210742 - MMCT task was not created.

(1) 27984640 - MMCT task was created but the task had uploaded documentation for Selective Interchange.

13. Is the commodity debriefing parts prior to the closure of the Service Request? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 6; UM 4000-125, Part 4, Chapter 3, Paragraphs 5 and 7.c). LOE: Maintenance Production

No

Due to a lack of attention to detail, tasks were closed prior to all parts being debriefed. Although there were Final Inspection tasks created and closed, the QC failed to ensure all part were debriefed prior to the closure of the Service Request.

19 of 79 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

19 record(s): Materiel has not been debriefed on tasks as required.

SR: 28147352 lacked one part being debriefed prior to closure.

SR: 27136934 lacked one part being debriefed prior to closure.

SR: 28573308 lacked two parts being debriefed prior to closure.

SR: 28562108 lacked three parts being debriefed prior to closure.

SR: 28257550 lacked 12 parts being debriefed prior to closure.

14. Is the maintenance activity properly debriefing labor prior to the closure of the service request? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 6.a(2); UM 4000-125, Part 4, Chapter 3, Paragraphs 5.a, 7.c, and 10.c). LOE: Maintenance Program and Resource Management

Yes

50 records reviewed during the analysis were compliant with current directives.

15. Upon completion of maintenance actions, are assigned quality control personnel documenting final inspections? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 2.c(4); UM 4000-125, Part 4, Chapter 3, Paragraph 3.s(3); Appropriate Commodity Chapters of TM 4700-15/1H).
LOE: Maintenance Production

Yes

20 records reviewed during the analysis were compliant with current directives.

Commodity Area: Ordnance Vehicle
Functional Area: Preventive Maintenance Checks and Services
Analyzed By: Captain (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Two

1. Have equipment counters been updated? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4.b; UM 4000-125, Part 4, Chapter 3, Paragraph 6).
LOE: Maintenance Information and Reporting

No

Equipment counters have only been started for the last two month with updates within Install Base. Appointed equipment owners need to ensure compliance with monthly update requirements.

20 of 20 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

20 record(s): Equipment owner did not update counters.

YHS

(8) SNs: 522288, 522325, 522499, 522999, 522436, 523121, 523382, and 522365.

YBC

(5) SNs: 522717, 523114, 523262, 522428, and 523620.

YCC

(6) SNs: 522330, 522467, 522477, 522681, 522961, and 523166.

2. Has scheduled PMCS been performed? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4; TM 4700-15/1H, Paragraphs 2-2.d.38.c; UM 4000-125, Part 4, Chapter 4, Paragraphs 1.a, 1.b, and 1.e; Applicable Technical Publications).
LOE: Maintenance Production

No

Due to a lack of attention to detail, maintenance supervisors did not provide sufficient oversight to past scheduled/conducted preventative maintenance requirements while ensuring required comments and documentation was being uploaded to the Service Request within GCSS-MC.

3 of 78 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

3 record(s): PMCS were not properly conducted and documented.

YCC

(2) AAVP7, SNs: 523166 and 522477 had a SR closed for a past "Annual PMCS" but did not have any parts debriefed to substantiate the performance of PMCS. Nor, were there any documents uploaded to show the vehicles didn't meet the mandatory Mile/Hours for replacement of fluid filters through the use of a Vehicle Automated Diagnostic System (VADS).

YDC

(1) AAVP7, SN: 522589 had a SR closed for a past "Annual PMCS" but did not have any parts debriefed to substantiate the performance of PMCS. Nor, were there any documents uploaded to show the vehicle didn't meet the mandatory Mile/Hours for replacement of fluid filter through the use of a Vehicle Automated Diagnostic System (VADS).

3. Has required PMCS been scheduled? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4.a(2)(b); TM 4700-15/1H, Paragraphs 2-4.b thru 2-4.c; UM 4000-125, Part 4, Chapter 4, Paragraph 1; Applicable Technical Publications).
LOE: Maintenance Production

Yes

78 records reviewed during the analysis were compliant with current directives.

4. Has operator/crew PMCS been performed? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4; Applicable Technical Publications; MMSOP/MMPL).
LOE: Maintenance Production

Yes

64 records reviewed during the analysis were compliant with current directives.

5. Was an SR initiated for defects identified during operator/crew PMCS? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraphs 4.a(2)(b) and 5; Applicable Technical Publications; MMSOP/MMPL).
LOE: Maintenance Information and Reporting

Yes

64 records reviewed during the analysis were compliant with current directives.

6. Prior to closure of PMCS SR, were equipment records updated? (MCO 4790.2, Enclosure 1, Appendix C, Paragraph 6.d).
LOE: Maintenance Information and Reporting

N/A - On Armory Checklist.

Commodity Area: Ordnance Vehicle
Functional Area: Parts Requirement
Analyzed By: Captain (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Zero

1. Are validations/reconciliations conducted between the commodities (supply, MMO, maintenance activity, and supporting activities), and are corrective actions initiated by the commodity/IMA for requisitions? (MCO 4790.2, Chapter 1, Paragraph 4.b; UM 4000-125, Part 4, Chapter 3, Paragraph 5.s(5)(b), page 523; MMSOP/MMPL). LOE: Procurement

Yes

29 records reviewed during the analysis were compliant with current directives.

2. Does authorized DSI resident in GCSS-MC match physical on-hand quantities and location? (MCO 4400.201, Volume 3, Paragraphs 021302 and 021303; MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 4.d and Appendix B, Paragraph 4.b(2)(b)4.c; UM 4000-125, Part 4, Chapter 12, Paragraph 2.b and Chapter 13, Paragraph 2.a). LOE: Maintenance Program and Resource Management

Yes

Specifically for the 3rd Shop DSI within Battalion Maintenance, the section was lacking final approval from the Commanding Officer. Further analysis confirmed the Commanding Officer was aware. Virtual inventory with physical inventory was accurate within the NIIN's respective locations. Approved DSIs for D Co and Bn Maintenance were also accurate.

83 records reviewed during the analysis were compliant with current directives.

3. Are the commodity's stage sub-inventory and layette sub-inventory accurate? (MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 4.b.1(b)1; MCO 4790.2, Enclosure (1), Appendix A, Paragraph 3.q(5) and Appendix B, Paragraph 4.b(2)(b)4.e; UM 4000-125, Part 4, Chapter 12, Paragraph 2.b). LOE: Maintenance Program and Resource Management

Yes

38 records reviewed during the analysis were compliant with current directives.

4. Is all Materiel associated with established DSI, Layette, or Broken Unit of Issue (BUI) sub-inventories or reported to supply for disposition guidance? (MCO 4790.2, Enclosure (1), Appendix A, Paragraph 3.q(3); MCO 4400.201, Volume 3, Paragraph 0212; UM 4000-125. Part 4, Chapter 12, Paragraphs 2.b and 3; MMSOP and MMPL). LOE: Maintenance Program and Resource Management

N/A - There were no excess, unauthorized repair parts or sub-assemblies within the commodities.

Commodity Area: Ordnance Vehicle
Functional Area: Calibration Control
Analyzed By: Captain (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: One

1. Is all equipment requiring calibrations included in the Calibrations and Maintenance Program (CAMP)? (MCO 4733.1C, Paragraph 6.a; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 5.d; TI 4733-15-1A, Paragraph 5; TI 4733 15/11C; TI 4733-15/21A; UM 4000-125, Part 4, Chapter 6, Paragraph 1; MMSOP/MMPL). LOE: Maintenance Program and Resource Management

Yes

60 records reviewed during the analysis were compliant with current directives.

2. Does the information annotated on the calibration sticker or certificate for each calibrated item match the data on the calibration control form? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 5.b; TI 4733-15/1A; TI 4733-OD/10; UM 4000-125, Part 4, Chapter 6 and Appendix E; MMSOP/MMPL). LOE: Maintenance Program and Resource Management

No

Calibrations NCOs lack the attention to detail to ensure tools requiring calibrations had either a legible sticker or a certification on-hand.

2 of 60 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

2 record(s): The calibration program did not contain the required information.

YCC

Test Set, Radio, S/N 300101457, Cal sticker is illegible and certificate could not be provided.

YAC

Wrench, Torque, S/N 160695380, Cal sticker is illegible and certificate could not be provided.

3. Has Test Measurement and Diagnostics Equipment (TMDE) requiring calibration been submitted to the calibration facility? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 5; TI 4733-OD/1; TI 4733-OD/10; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b and Chapter 6; MMSOP/MMPL). LOE: Maintenance Program and Resource Management

Yes

60 records reviewed during the analysis were compliant with current directives.

4. Is TMDE designated as Calibration Not Required (CNR) or Inactive used within its calibration status? (MCO 4733.1C; TM 4700-15/1H, Paragraph 2-7.d; UM 4000-125, Appendix E (Calibration Status Codes)).

LOE: Maintenance Program and Resource Management

Yes

3 records reviewed during the analysis were compliant with current directives.

Commodity Area: Ordnance Vehicle
Functional Area: Modifications Control
Analyzed By: Captain (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Two

1. Are only authorized modifications applied to Marine Corps equipment?
(MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4.c).
LOE: Maintenance Production

Yes

64 records reviewed during the analysis were compliant with current directives.

2. Does all equipment requiring urgent modifications indicate that modifications have been applied? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4.d(1); Applicable Modification Instructions).
LOE: Maintenance Production

Yes

31 records reviewed during the analysis were compliant with current directives.

3. Does all equipment requiring normal modifications indicate that modifications have been applied? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4; Applicable Modification Instructions).
LOE: Maintenance Production

No

Due to a lack of attention to detail the Modifications NCO for C Company did not validate one modification for an AAVP7, Tow Pintle as being installed.

1 of 90 records reviewed during the analysis was discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record.

1 record(s): Normal modifications have not been applied.

(1) MI 07007C/07267C/07268C-50/2 was in "MI Verified" status but the modification has not been applied to vehicle S/N: 523433.

4. When the application of a modification changes data elements of military equipment (i.e., TAMCN, ID or NIIN), are requests for applicable changes submitted by the RO and the property records adjusted? (MCO 4400.201, Volume 3, Chapter 2, Paragraph 020603; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4; Applicable Supply Instruction Modification Instruction and Automated Message Handling System). LOE: Property Accountability

N/A- There were no MI's for TAMCN / NIIN changes.

5. Have all modifications been recorded? (CMC Message 091558Z JAN 14 [Policy Procedures and Management Requirements for Centralized Modification Control Records Program]; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4; TM 4700-15/1H, Paragraph 2-5; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b; UM 4000-125, Part 4, Chapter 5). LOE: Maintenance Information and Reporting

No

Due to a lack of attention to detail the Modifications NCO for C Company did not validate one modification for an AAVP7, Tow Pintle and ensure the correct status of "MI Not Installed" was on the modification records within GCSS-MC.

1 of 90 records reviewed during the analysis was discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record.

1 record(s): The appropriate statuses of required modifications were not recorded.

(1) MI 07007C/07267C/07268C-50/2 was in "MI Verified" status vice "MI Not Installed" for vehicle 523433.

Commodity Area: Ordnance Vehicle
Functional Area: Inventory Control
Analyzed By: Captain (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Two

1. Are inventory records for Sets, Kits, Outfits, and Tools (SKOT) and Military Equipment established? (MCO 4400.201, Volume 3, Paragraphs 021402 and 021805; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 11; TM 10209-10/1; TM 4700-15/1H, Paragraphs 2-6 and 15-7; MMSOP/MMPL).
LOE: Maintenance Program and Resource Management

No

The lack of attention to detail by ROs and responsible individuals contributed to the discrepancies noted. There were numerous disparities across the AAV platforms and many instances where MMPNL 7-19 was not followed. The basics of fully establishing an SL-3 extract per TM 4700-15/1H was also lacking. Sensing sessions showed there was a lack of training to individuals conducting inventories.

9 of 26 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

9 record(s): Missing Header information and conducted in pencil. Inventories did not follow procedures described within MMPL 7-19.

YBC

SNs: 523039, and 522717 missing header information and conducted in pencil.

YADL

SN: 522804 header information conducted in pencil.

YCC

SNs: 523546, 523040, and 523040 missing header information.

Y15MEU

SNs: 522548, 523320, and 523402 missing header information and conducted in pencil.

2. Has the unit commander established allowances in writing, for Using Unit Responsibility Items (UURI) and Additional Authorization List (AAL) items? (MCO 4400.201, Volume 3, Paragraph 021402).
LOE: Maintenance Program and Resource Management

Yes

26 records reviewed during the analysis were compliant with current directives.

3. Are inventories conducted and documented for all SKOTS, SL-3, and TM components to end items? (CMC Message 091714Z JAN 19; MCO 4400.201, Volume 3, Chapter 2, Paragraph 0214; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 11; MMSOP/MMPL). LOE: Maintenance Program and Resource Management

No

ROs failed to ensure there was adequate training provided to Crew Chiefs and supervisors to accurately conducted SL-3 inventories per directives. Through causative research it was conclusive that there was also a lack of Internal Inspection. Crew Chiefs showed a lack of understanding when conducting SL-3 inventories as inventories were not completed accurately. Inventories were not finalized with the components of "inventoried by" or "supervised by" with a date, and component serial numbers were not annotated within the remarks column. The lack of historical data, uniformity, and the aforementioned amplifies the lack of Internal Inspection and RO oversight.

16 of 20 records reviewed during the analysis were discrepant for one or more causes.

There was a lack of attention to detail

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

3 record(s): Inventories were missing required signatures and dates.

YBC

SN: 523717 missing "inventory by" and "supervised by" signatures with dates.

YCC

SN: 523546 missing "inventory by" and "Supervised by" signatures with dates.

SN: 523040 missing "inventory by" and "Supervised by" signatures with dates.

13 record(s): Inventories were missing component serial numbers in the remarks column.

YBC

SNs: 523717 and 523039 missing component serial numbers for RTs and DAGRs.

YBNMNT

SNs: 522365 and 522414 missing component serial numbers for TMDE assets.

Y15MEU

SNs: 522548, 523320, and 523402 missing component serial numbers for RTs and DAGRs.

YCC

SNs: 523546, 523044, and 523040 missing component serial numbers for RTs and DAGRs.

YHSC

SNs: 523359, 522499, and 523100 missing component serial numbers for RTs and DAGRs.

4. Are required replacement items requisitioned or identified as an unfunded deficiency? (MCO 4400.201, Volume 3, Paragraph 0214; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b). LOE: Maintenance Program and Resource Management

Yes

82 records reviewed during the analysis were compliant with current directives.

Commodity Area: Ordnance Vehicle
Functional Area: Tactical Ground Load Lifting Equipment
Analyzed By: Captain (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Zero

1. Has the unit Commander assigned in writing a Certifying Official for certification of tactical ground load lifting equipment? (MCO 11262.2B W/ADMIN CH, Enclosure (1), Chapter 1, Paragraph 2.j).
LOE: Maintenance Information and Reporting

Yes

1 record reviewed during the analysis was compliant with current directives.

2. Has the load test Certifying Official designated, in writing, authorized test directors and inspection/test personnel? (MCO 11262.2B W/ADMIN CH, Enclosure (1), Chapter 1, Paragraph 2.j).
LOE: Maintenance Information and Reporting

Yes

2 records reviewed during the analysis were compliant with current directives.

3. Do equipment records indicate a load test has been performed and documented on tactical ground load lifting equipment? (MCO 11262.2B W/ADMIN CH, Enclosure (1), Chapter 1, Paragraphs 2.d and 2.e; UM 4000-125, Part 4, Chapter 2, Paragraph 2). LOE: Maintenance Information and Reporting

Yes

6 records reviewed during the analysis were compliant with current directives.

4. Is the hook throat spread base measurement properly conducted and recorded? (MCO 11262.2B W/ADMIN CH, Enclosure (1), Chapter 3, Paragraph 4; UM 4000-125, Part 4, Chapter 2, Paragraph 2).
LOE: Maintenance Information and Reporting

Yes

6 records reviewed during the analysis were compliant with current directives.

5. Do equipment records indicate a "passing" Non-Destructive Test (NDT) of tactical ground load lifting equipment has been completed in the last five years? (MCO 11262.2B W/ADMIN CH, Enclosure (1), Chapter 4, Paragraphs 2.b(1) and 2.c; UM 4000-125, Part 4, Chapter 2, Paragraph 2).
LOE: Maintenance Information and Reporting

Yes

6 records reviewed during the analysis were compliant with current directives.

6. Has an Annual Condition Inspection (ACI) been performed and documented for tactical ground load lifting equipment within the past 12 months? (MCO 11262.2B W/ADMIN CH, Enclosure (1), Chapter 3, Paragraph 8; UM 4000-125, Part 4, Chapter 2, Paragraph 2). LOE: Maintenance Information and Reporting

Yes

6 records reviewed during the analysis were compliant with current directives.

Commodity Area: Ordnance
Functional Area: Maintenance Production
Analyzed By: Mr. (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Zero

1. Are authorized personnel assigning proper Urgency of Need Designators (UND) on Service Requests? (MCO 4400.201, Volume 3, Paragraph 010702; MCO 4400.16H, Paragraph 4.b(9); MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 2.a(1)(d); UM 4000-125, Part 4, Chapter 3, Paragraph 3.h).
LOE: Maintenance Production

Yes

26 records reviewed during the analysis were compliant with current directives.

2. Are acceptance inspections properly conducted and documented when equipment is turned in to the supporting maintenance activity? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 2.a.(1) and Appendix C, Paragraph 3.c; UM 4000-125, Part 4, Chapter 3, Paragraphs 1.b(1) and 5.s(1)(a)).
LOE: Maintenance Production

Yes

26 records reviewed during the analysis were compliant with current directives.

3. Has the DRIS been established during the induction phase? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 4(a)(1)). LOE: Maintenance Production

Yes

26 records reviewed during the analysis were compliant with current directives.

4. Do the commodity personnel use a Service Request (SR) in all instances where required in the performance of maintenance? (MCO 4790.2, Appendix B, Paragraph 5.c and Appendix C, Paragraph 2.a; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b). LOE: Maintenance Information and Reporting

Yes

26 records reviewed during the analysis were compliant with current directives.

5. Is the operational status of "Deadlined" for Readiness Reportable Ground Equipment, including SL-3, accurately reported? (Pertains to both Using Unit/Organic and IMA accounts) (MCBul 3000; MCO 4790.2, Enclosure (1), Chapter 1, Paragraphs 2.c(3) and 5; UM 4000-125, Part 4, Chapter 3, Paragraph 3 (Page 513)). LOE: Maintenance Information and Reporting

Yes

26 records reviewed during the analysis were compliant with current directives.

6. Has a Task been created for each major defect? (MCO 4790.2 Enclosure 1, Appendix C, Paragraph 3(f); UM 4000-125 Chapter 3, Paragraph 5(s) (2) (a)).
LOE: Maintenance Production

Yes

26 records reviewed during the analysis were compliant with current directives.

7. Did the commodity submit a PQDR when required? (MCO 4855.10C; MCO 4105.2; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 10 and Chapter 3, Paragraph 6; Applicable Supply Instructions and Fielding Plans).
LOE: Maintenance Production

N/A - The commodity did not have any PQDR requirements.

8. Is the commodity following established warranty procedures? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 10; MCO 4105.2; MCO 4855.10C; Applicable Supply Instructions and Fielding Plans; MMSOP). LOE: Maintenance Production

N/A - No warranty repairs conducted.

9. Are parts requirements associated to the appropriate task? (MCO 4400.16H, Enclosure (1), Paragraphs 5 and 7; UM 4000-125, Part 4, Chapter 3, Paragraphs 4.c and 4.g and Chapter 9, Paragraph 3.a).
LOE: Maintenance Information and Reporting

Yes

56 records reviewed during the analysis were compliant with current directives.

10. Is the priority commensurate with the associated Maintenance Task? (MCO 4400.16H, Enclosure (1), Paragraphs 5 and 7; CMC Message 271253Z FEB 18).
LOE: Maintenance Information and Reporting

Yes

56 records reviewed during the analysis were compliant with current directives.

11. Does the maintenance activity assign the appropriate Job Status Codes to reflect the transition through the maintenance production process? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 3.e(2); UM 4000-125, Part 4, Chapter 3, Paragraphs 3.g and 4.b and Appendix E).
LOE: Maintenance Information and Reporting

Yes

26 records reviewed during the analysis were compliant with current directives.

12. Is the unit following procedures for extension of Maximum Maintenance Cycle Time (MMCT)? (MCO 4400.201, Vol 6, Paragraph 030303; CMC Message 191845Z JUN 18). LOE: Maintenance Production

Yes

2 records reviewed during the analysis were compliant with current directives.

13. Is the commodity debriefing parts prior to the closure of the Service Request? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 6; UM 4000-125, Part 4, Chapter 3, Paragraphs 5 and 7.c). LOE: Maintenance Production

Yes

20 records reviewed during the analysis were compliant with current directives.

14. Is the maintenance activity properly debriefing labor prior to the closure of the service request? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 6.a(2); UM 4000-125, Part 4, Chapter 3, Paragraphs 5.a, 7.c, and 10.c). LOE: Maintenance Program and Resource Management

Yes

20 records reviewed during the analysis were compliant with current directives.

15. Upon completion of maintenance actions, are assigned quality control personnel documenting final inspections? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 2.c(4); UM 4000-125, Part 4, Chapter 3, Paragraph 3.s(3); Appropriate Commodity Chapters of TM 4700-15/1H). LOE: Maintenance Production

Yes

20 records reviewed during the analysis were compliant with current directives.

Commodity Area: Ordnance
Functional Area: Preventive Maintenance Checks and Services
Analyzed By: Mr. (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: One

1. Have equipment counters been updated? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4.b; UM 4000-125, Part 4, Chapter 3, Paragraph 6).
LOE: Maintenance Information and Reporting

N/A - Did not apply to small arms.

2. Has scheduled PMCS been performed? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4; TM 4700-15/1H, Paragraphs 2-2.d.38.c; UM 4000-125, Part 4, Chapter 4, Paragraphs 1.a, 1.b, and 1.e; Applicable Technical Publications).
LOE: Maintenance Production

No

The commodity thought they could order and debrief materiel under one service request due to lack of understanding. The BN uncovered this prior to FSMAO Analysis and the discrepancy has not occurred since April 2019.

4 of 41 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

4 record(s): Parts/materials not debriefed to substantiate PMCS had been performed.

The following TAMCN and SN did not have materiel debriefed on each service request:

(4) E0997s SNs 10031, 12409, 3177, and 3908.

3. Has required PMCS been scheduled? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4.a(2) (b); TM 4700-15/1H, Paragraphs 2-4.b thru 2-4.c; UM 4000-125, Part 4, Chapter 4, Paragraph 1; Applicable Technical Publications).
LOE: Maintenance Production

Yes

41 records reviewed during the analysis were compliant with current directives.

4. Has operator/crew PMCS been performed? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4; Applicable Technical Publications; MMSOP/MMPL).
LOE: Maintenance Production

Yes

64 records reviewed during the analysis were compliant with current directives.

5. Was an SR initiated for defects identified during operator/crew PMCS? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraphs 4.a(2)(b) and 5; Applicable Technical Publications; MMSOP/MMPL).

LOE: Maintenance Information and Reporting

Yes

64 records reviewed during the analysis were compliant with current directives.

6. Prior to closure of PMCS SR, were equipment records updated? (MCO 4790.2, Enclosure 1, Appendix C, Paragraph 6.d).

LOE: Maintenance Information and Reporting

Yes

41 records reviewed during the analysis were compliant with current directives.

Commodity Area: Ordnance
Functional Area: Parts Requirement
Analyzed By: Mr. (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Zero

1. Are validations/reconciliations conducted between the commodities (supply, MMO, maintenance activity, and supporting activities), and are corrective actions initiated by the commodity/IMA for requisitions? (MCO 4790.2, Chapter 1, Paragraph 4.b; UM 4000-125, Part 4, Chapter 3, Paragraph 5.s(5)(b), page 523; MMSOP/MMPL). LOE: Procurement

Yes

23 records reviewed during the analysis were compliant with current directives.

2. Does authorized DSI resident in GCSS-MC match physical on-hand quantities and location? (MCO 4400.201, Volume 3, Paragraphs 021302 and 021303; MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 4.d and Appendix B, Paragraph 4.b(2)(b)4.c; UM 4000-125, Part 4, Chapter 12, Paragraph 2.b and Chapter 13, Paragraph 2.a). LOE: Maintenance Program and Resource Management

Yes

40 records reviewed during the analysis were compliant with current directives.

3. Are the commodity's stage sub-inventory and layette sub-inventory accurate? (MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 4.b.1(b)1; MCO 4790.2, Enclosure (1), Appendix A, Paragraph 3.q(5) and Appendix B, Paragraph 4.b(2)(b)4.e; UM 4000-125, Part 4, Chapter 12, Paragraph 2.b). LOE: Maintenance Program and Resource Management

Yes

4 records reviewed during the analysis were compliant with current directives.

4. Is all Materiel associated with established DSI, Layette, or Broken Unit of Issue (BUI) sub-inventories or reported to supply for disposition guidance? (MCO 4790.2, Enclosure (1), Appendix A, Paragraph 3.q(3); MCO 4400.201, Volume 3, Paragraph 0212; UM 4000-125. Part 4, Chapter 12, Paragraphs 2.b and 3; MMSOP and MMPL). LOE: Maintenance Program and Resource Management

Yes

1 record reviewed during the analysis was compliant with current directives.

Commodity Area: Ordnance
Functional Area: Calibration Control
Analyzed By: Mr. (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: 0

1. Is all equipment requiring calibrations included in the Calibrations and Maintenance Program (CAMP)? (MCO 4733.1C, Paragraph 6.a; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 5.d; TI 4733-15-1A, Paragraph 5; TI 4733 15/11C; TI 4733-15/21A; UM 4000-125, Part 4, Chapter 6, Paragraph 1; MMSOP/MMPL). LOE: Maintenance Program and Resource Management

Yes

33 records reviewed during the analysis were compliant with current directives.

2. Does the information annotated on the calibration sticker or certificate for each calibrated item match the data on the calibration control form? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 5.b; TI 4733-15/1A; TI 4733-OD/10; UM 4000-125, Part 4, Chapter 6 and Appendix E; MMSOP/MMPL). LOE: Maintenance Program and Resource Management

Yes

23 records reviewed during the analysis were compliant with current directives.

3. Has Test Measurement and Diagnostics Equipment (TMDE) requiring calibration been submitted to the calibration facility? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 5; TI 4733-OD/1; TI 4733-OD/10; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b and Chapter 6; MMSOP/MMPL). LOE: Maintenance Program and Resource Management

Yes

23 records reviewed during the analysis were compliant with current directives.

4. Is TMDE designated as Calibration Not Required (CNR) or Inactive used within its calibration status? (MCO 4733.1C; TM 4700-15/1H, Paragraph 2-7.d; UM 4000-125, Appendix E (Calibration Status Codes)). LOE: Maintenance Program and Resource Management

N/A - Commodity had no CNR or Inactive TMDE.

Commodity Area: Ordnance
Functional Area: Modifications Control
Analyzed By: Mr. (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Zero

1. Are only authorized modifications applied to Marine Corps equipment? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4.c).

LOE: Maintenance Production

Yes

88 records reviewed during the analysis were compliant with current directives.

2. Does all equipment requiring urgent modifications indicate that modifications have been applied? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4.d(1); Applicable Modification Instructions).

LOE: Maintenance Production

N/A - On hand equipment does not require Urgent modifications.

3. Does all equipment requiring normal modifications indicate that modifications have been applied? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4; Applicable Modification Instructions).

LOE: Maintenance Production

Yes

88 records reviewed during the analysis were compliant with current directives.

4. When the application of a modification changes data elements of military equipment (i.e., TAMCN, ID or NIIN), are requests for applicable changes submitted by the RO and the property records adjusted? (MCO 4400.201, Volume 3, Chapter 2, Paragraph 020603; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4; Applicable Supply Instruction Modification Instruction and Automated Message Handling System). LOE: Property Accountability

N/A - Does not apply to commodity.

5. Have all modifications been recorded? (CMC Message 091558Z JAN 14 [Policy Procedures and Management Requirements for Centralized Modification Control Records Program]; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4; TM 4700-15/1H, Paragraph 2-5; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b; UM 4000-125, Part 4, Chapter 5). LOE: Maintenance Information and Reporting

Yes

88 records reviewed during the analysis were compliant with current directives.

Commodity Area: Ordnance
Functional Area: Inventory Control
Analyzed By: Mr. (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: 1

1. Are inventory records for Sets, Kits, Outfits, and Tools (SKOT) and Military Equipment established? (MCO 4400.201, Volume 3, Paragraphs 021402 and 021805; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 11; TM 10209-10/1; TM 4700-15/1H, Paragraphs 2-6 and 15-7; MMSOP/MMPL).
LOE: Maintenance Program and Resource Management

Yes

67 records reviewed during the analysis were compliant with current directives.

2. Has the unit commander established allowances in writing, for Using Unit Responsibility Items (UURI) and Additional Authorization List (AAL) items? (MCO 4400.201, Volume 3, Paragraph 021402).
LOE: Maintenance Program and Resource Management

Yes

16 records reviewed during the analysis were compliant with current directives.

3. Are inventories conducted and documented for all SKOTS, SL-3, and TM components to end items? (CMC Message 091714Z JAN 19; MCO 4400.201, Volume 3, Chapter 2, Paragraph 0214; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 11; MMSOP/MMPL). LOE: Maintenance Program and Resource Management

No

Due to lack of commodity oversight, the armory did not have historical documentation on SL-3 inventories. The Ordnance officer was aware of the oversight and has taken action to correct the discrepancy.

5 of 67 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

5 record(s): Tools/SL-3 records were not maintained nor created.
The following TAMCNs and S/Ns were missing history of inventories:

YORD

- (1) E1948 SN 0819.
- (1) E7900 SN 1885.
- (1) E1948 SN 0967.
- (1) H7030 SN 99031003.
- (1) H7030 SN 99561149.

4. Are required replacement items requisitioned or identified as an unfunded deficiency? (MCO 4400.201, Volume 3, Paragraph 0214; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b). LOE: Maintenance Program and Resource Management

Yes

29 records reviewed during the analysis were compliant with current directives.

Commodity Area: Container Management
Functional Area: Container Management
Analyzed By: MSgt (b)(3), (b)(6), (b)(7)(c)

Total Discrepancies: Three

1. Has a Container Control Officer (CCO) been appointed in writing? (DoD 4500.9-R, Definitions, Paragraph 166; MCO 4690.1A, Chapter 1, Paragraph 1 and Chapter 2 Paragraph 3.a.1-2). LOE: Miscellaneous Accounting

Yes

1 record reviewed during the analysis was compliant with current directives.

1stLt (b)(3), (b)(6), (b)(7)(c) was appointed as Container Control Officer by LtCol Keith C. Brenize on 6 Sept, 2019.

2. Are owner and location DODAAC's accurately reported in the DoD ISO container registry? (CDR USTransCom Message 081931Z MAY 17; DoD 4500.9-R, Chapter 603, Paragraph C.2 and Chapter 605, Paragraph G.5; MCO 4690.1A, Chapter 2, Paragraph 3.f.2). LOE: Miscellaneous Accounting

No

Container Management personnel were not aware of the Joint Container Management requirement pertaining to Common 10s and Common 12s.

8 of 92 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

8 record(s): Containers were not registered in the Joint Container Management system.

(2) C7904: SNs USMU0221480 and USMU0295369.

(6) C7907: SNs USMU0295517, USMU0306988, USMU037114, USMU0307285, USMU0307351 and USMU0307372.

3. Is the physical location accurately reported in the DoD ISO Registry? (DoD 4500.9-R, Chapter 605, Paragraph G.6; MCO 4690.1A, Chapter 2 Paragraph 3.f.2.c). LOE: Miscellaneous Accounting

No

A lack of communication between the Responsible Officers (ROs) and the Container Control Officer (CCO) resulted in discrepant records. While the containers were found in the unit's general areas, ROs were not actively notifying the CCO of their relocation. In addition, the CCO failed to report the physical location for 2 containers in the Joint Container Management system.

14 of 92 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

2 record(s): The CCO did not report a physical location.

YDC

(1) B4433: SN USMC5007791.

YS4

(1) B4433: SN USMC5022060.

12 record(s): The CCO did not report an accurate physical location.

YDC

(3) B4433: SNs USMC5054638, USMC5055505 and USMC5055737.

YAC

(3) B4433: SN USMC5050057, USMU0154289 and USMU0197850.

YBNMNT

(1) B4433: SN USMC5050587.

YS6

(2) B4433: SN USMU0155984 and USMU0157586.

YMU13

(1) B4433: SN USMU0157040.

YHS

(1) B4433: SN USMU0197697.

YS3

(1) B4433: SN USMU0258534.

4. Does the unit have personnel appointed to inspect or re-inspect International Organization for Standardization containers? (DoD 4500.9-R, Chapter 604, Paragraph C.1; MCO 4690.1A, Chapter 2, Paragraph 3.h.1).
LOE: Miscellaneous Accounting

Yes

5 records reviewed during the analysis were compliant with current directives.

5. Do the appointed personnel charged with inspecting containers possess the required training certification? (DoD 4500.9-R, Chapter 604, Paragraph B.2; MCO 4690.1A, Chapter 2, Paragraph 3.h.2.a; MIL-STD-3037, Paragraph 5.1.2).
LOE: Miscellaneous Accounting

Yes

5 records reviewed during the analysis were compliant with current directives.

6. Are containers examined for serviceability IAW MIL-STD-3037? (CDR USTransCom Message 081931Z MAY 17; DoD 4500.9-R, Chapter 604, Paragraph C.1; MCO 4690.1A, Chapter 2, Paragraph 3.h). LOE: Miscellaneous Accounting

No

Container Management personnel were not aware of the Joint Container Management requirement pertaining to Common 10s and Common 12s.

8 of 92 records reviewed during the analysis were discrepant for one or more causes.

The cause(s) is/are listed below and are followed by an explanation of the discrepant record(s).

8 record(s): Containers were not registered in the Joint Container Management system.

(2) C7904: SNs USMU0221480 and USMU0295369.

(6) C7907: SNs USMU0295517, USMU0306988, USMU037114, USMU0307285, USMU0307351, and USMU0307372.

7. Is the ISO container inspection documentation accurately completed IAW MIL-STD-3037? (DoD 4500.9-R, Chapter 604, Paragraph D.4.a; MCO 4690.1A, Chapter 2, Paragraph 1). LOE: Miscellaneous Accounting

Yes

56 records reviewed during the analysis were compliant with current directives.

8. Is the CCO reporting the condition of all containers in the DoD ISO registry? (DoD 4500.9-R, Chapter 604, Paragraph B.1; MCO 4690.1A, Chapter 2, Paragraphs 3.f.2 and 3.f.2.e). LOE: Miscellaneous Accounting

Yes

56 records reviewed during the analysis were compliant with current directives.

9. Is the container inspection documentation uploaded in the DoD ISO registry IAW MIL-STD-3037? (DoD 4500.9-R, Chapter 604, Paragraph C.1; MCO 4690.1A, Chapter 2, Paragraph 3.a.5; MIL-STD-3037, Paragraph 5.4.4). LOE: Miscellaneous Accounting

Yes

56 records reviewed during the analysis were compliant with current directives.

10. Is a current DD form 2282 affixed to the data plates of all reported serviceable containers? (DoD 4500.9-R, Chapter 604, Paragraphs D.2, D.4.b and c; MCO 4690.1A, Chapter 2, Paragraph 3.a.6; MIL-STD-3037, Paragraph 5.4.2 and Figure 87). LOE: Miscellaneous Accounting

Yes

56 records reviewed during the analysis were compliant with current directives.



FSMAO-W Formal Analysis Out-Brief
of
3D Assault Amphibian Battalion

27 Sep 2019



Agenda

- **RRGE/Crane Inventory Results**
- **Overall Risk Assessments**
- **Med Risks**
- **Low Risk Concerns**
- **Noteworthy Performance**
- **Reporting Requirements**
- **Points of Contact**
- **Resources**



Inventory Results

MCRERGE & Crane Inventory Results

M21820 3D Assault Amphibian Battalion

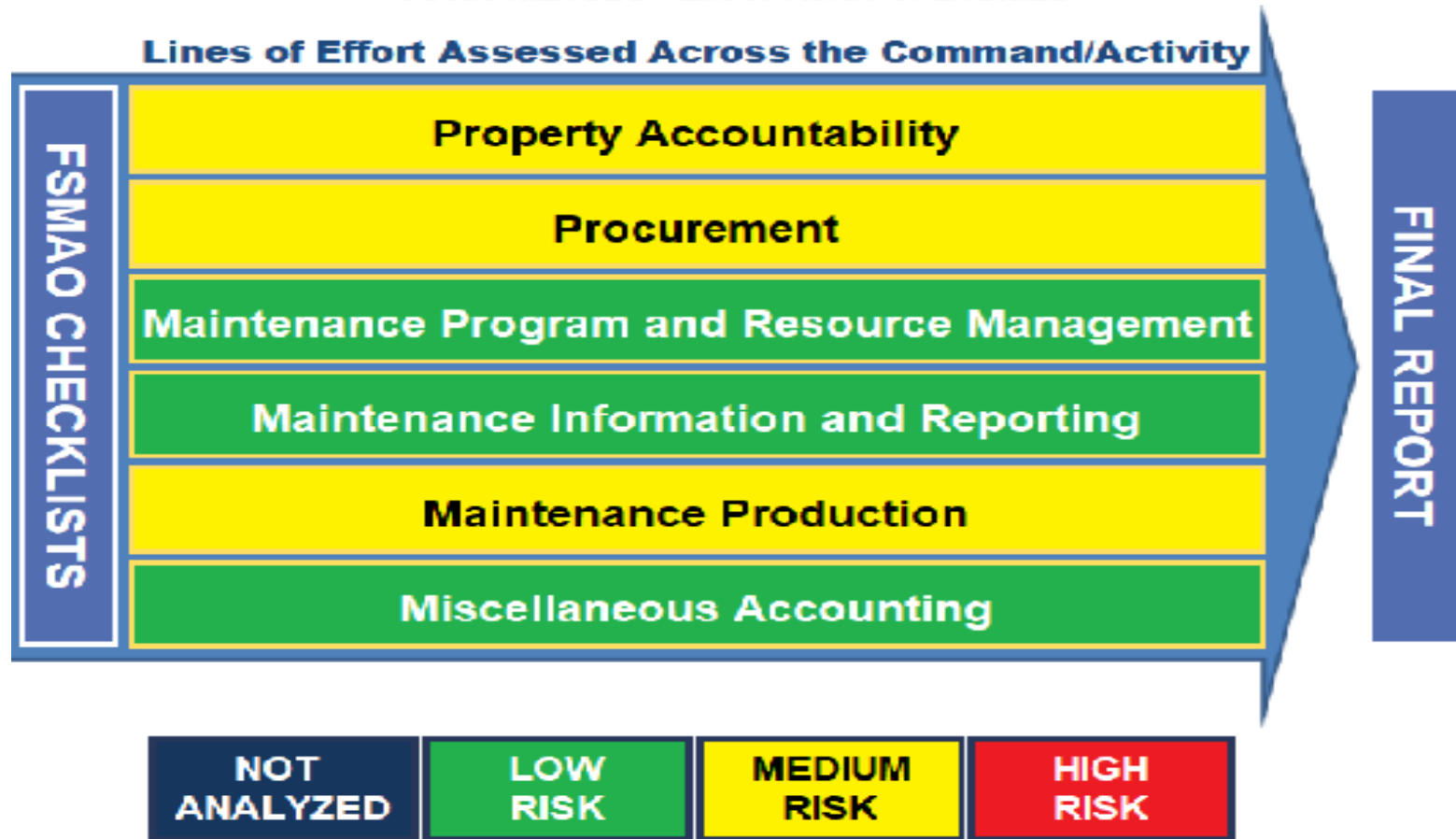
(2207) On Hand:	\$618,726,788
(290) Accounted For:	\$79,539,790
(0) Physical Gains:	\$0
(0) Physical Losses:	\$0
(12) NIIN Errors:	\$247,502
(8) SerNbr Errors:	\$2,104,185
(13) Data Plate Errors:	\$7,610,061
(2) Incorrect CMR Errors:	\$21,018
(0) IB W/O CMR:	\$0



Overall Risk Assessments

FSMAO West Analysis Results 3D Assault Amphibian Battalion

AAC: M21820 - LtCol Keith C. Brenize





Risk Assessment - Med

Property Accountability

Condition: Equipment Transfers (Key Supporting Documentation (KSD))

Cause: The lack of supervisory oversight by the Supply Officer, Supply Chief, and ineffective supply records management resulted in:

- Missing KSDs supporting proof of shipment /authorization external equipment transfers.
- Failed to ensure personnel had required access to Electronic Document Management System (eDocs) for disposal of equipment.
- Missing KSDs to support changes to CMRs.
- Missing KSDs for serialized small arms transfers and failed to notify Crane within 48 hours.

Impact: Ineffective management of the property records and untimely processing of electronic Crane updates may adversely affect accountability, supply readiness, and audit trails required to research inventory discrepancies.

Recommendations:

- Retain KSDs for all internal and external property record adjustments IAW MCO 4400.201 Vol 3.
- Conduct supply clerk MOS sustainment training that supports property adjustment per MCO 4400.201 Vol 3 and the procedures outlined in UM 4000-125.
- Conduct supply clerk MOS sustainment training that supports transfers to DLA-DS per MCO 4400.201 Vol 6.
- Gain access to eDocs and train all involved personnel.
- Delegate an alternate approver in the Crane Registry to approve notifications for weapons transfers IAW CMC Message 251855Z Feb 2015.



Risk Assessment - Med Procurement

Condition 1: Fiscal (Unliquidated Obligations/Undelivered Orders)

Causes: The Supply leadership's lack of supervision in managing the unit's financial records led to the failure to correct Unliquidated Obligations (ULO) / Undeliverable Orders (UDO) discrepancies within the prescribed timeframe. The UDO and ULO were not managed by the unit; Comptroller initiated corrective actions.

- UDOs in excess of \$90K for FY19. Completed SERVMART referrals were not provided to the Comptroller to expense.
- ULOs in excess of \$8K for FY19. Commitments, obligations, and expenses did not match the liquidation that resulted from price changes, unit pack changes, and cancellations.

Impacts:

- Potential loss of funds for supplies/items received and not received
- Missing key supporting documentation (KSD) led to a loss of mandated audit trail established to protect against fraud, waste, and abuse.

Recommendations:

- Manage Financial transactions through their financial cycle IAW MCO 7300.21B.
- Perform fiscal year closeout procedures IAW MCO 7300.21B.
- Reconcile the Active File and execute causative research.
- Conduct online reconciliation with GSA Advantage.
- Seek assistance and training from higher.



Risk Assessment - Med Procurement

Condition 2: Commercial Procurement

Causes: The Supply Officer and Supply Chief failed to provide adequate supervision for processing off-line requisitions for Fuel and Government Commercial Purchase Card requisitions resulting in:

- Missing and incomplete KSD(s) for all fuel requests and Government Commercial Purchase Card requisitions.
- Unaccountability of Fuel keys and associated charges.
- Energy Sales Slip (DD-1898E) did not contain accurate financial information.
- Fuel Logbook did not contain requirements preventing the ability to track charges.
- Supply Officer/Financial Approvers failed to reconcile fuel purchases.
- Requests for supplies or services were not initiated by the RO or his delegate. No segregation of duties amongst RO/Delegated individual and Supply personnel when placing open purchases.
- Missing receipts to validate supplies and services.

Impacts:

- Failure to review and validate fuel requests can lead to unauthorized purchases and expose the command to potential fraud, waste, and abuse.
- The lack of reconciliations and missing KSDs led to a loss of a mandated audit trail established to protect against fraud, waste, and abuse.



Risk Assessment - Med Procurement

Condition 2 (continued): Commercial Procurement

Recommendations:

- Adhere to established procedures for off line requisitions IAW MCO 4400.150.
- Route, review, and validate fuel requests IAW CMC Message 051307Z Apr 18, and MCO 4400.150.
- Maintain and file all fuel receipt and acceptance KSDs IAW CMC Message 051307Z Apr 18 and MCO 4400.150.



Risk Assessment - Med

Procurement

Condition 3: Requisition Management

Cause: The Supply Officer and Supply Chief did not supervise and train the Requisition Management section due to their unfamiliarity of DASF Management that resulted in the following discrepancies:

- Failed to establish reconciliation procedures.
- Failed to submit corrective actions for aged shipments.
- Failed to reconcile financial records for lost shipments and seek credit.

Impacts:

- Failure to manage requisitions may lead to an increase of maintenance cycle time, unnecessary expenditures of funds, reduce equipment availability, and inaccurate reporting.
- Failure to manage requisitions and conduct corrective action on aged shipments within the required timeframe resulted in a waste of unit resources and contributed to a loss of Class IX worth over \$150K.

Recommendations:

- Manage all requisitions IAW MCO 4400.150 and UM 4000.125.
- Execute effective reconciliations with Supply, MMO and all commodities.
- Establish an effective training program for all aspects of retail-level supply operations within the command.



Risk Assessment - Med

Maintenance Production

Condition: Preventive Maintenance Checks and Services

Cause: Inadequate supervision and training by Responsible Officers, Commodity Managers and Maintenance Managers resulted in numerous discrepancies within the PMCS program.

- Lack of detailed Internal Inspections. (MMO)
- Failed to ensure PM parts were ordered and debriefed. (Eng, MT)
- Lack of training by Maintenance Managers and senior Motor Transport personnel.
- PM frequency types inaccurately scheduled. (MT, COMM)
- Failed to conduct/schedule PM requirements. (COMM)

Impact: Failure to schedule, conduct, and document required PMCS may lead to decreased operational readiness, more frequent equipment failures, costly repairs, and the unnecessary expenditure of unit funds.

Recommendations:

- Schedule, conduct, and document required PMCS per equipment technical manuals, MCO 4790.2, UM 4000-125 and applicable chapters of TM 4700-15/1H.
- Incorporate a robust maintenance stand-down with emphasis on properly conducting PMCS.
- Ensure appointed ROs understand and enforce the PMCS program.
- Conduct detailed internal inspections with emphasis on PMCS requirements and stewardship of the equipment.
- Enforce the use of technical manuals by all maintenance personnel.



Low Risk Concerns

- **Personal Effects (Coordination with Supply, Legal, and S-1)**
- **Inventory Control (MT, ORD)**



Noteworthy Performance

The following personnel exhibited a high level of proficiency clearly evident during the analysis:

- Cpl (b)(3), (b)(6), (b)(7)(c), (b)(3), (b)(6), (b)(7)(c) - (DSI/LAY) D Co
- Cpl (b)(3), (b)(6), (b)(7)(c), (b)(3), (b)(6), (b)(7)(c) - (MODs) CEM
- Sgt (b)(3), (b)(6), (b)(7)(c), (b)(3), (b)(6), (b)(7)(c) - (Toolroom) Bn Maint
- Cpl (b)(3), (b)(6), (b)(7)(c), (b)(3), (b)(6), (b)(7)(c) - (PE) Sup
- Cpl (b)(3), (b)(6), (b)(7)(c), (b)(3), (b)(6), (b)(7)(c) - (PE) Sup
- Sgt (b)(3), (b)(6), (b)(7)(c), (b)(3), (b)(6), (b)(7)(c) - (DSI) Ord
- PFC (b)(3), (b)(6), (b)(7)(c), (b)(3), (b)(6), (b)(7)(c) - (Records) COMM



Reporting Requirements

D (-30)

D

D (+3)

D (+19)

D (+33)

D (+93)

PHASE 1

- 30 day Notification
- Data collection
- Data prep

PHASE 2

- In-brief
- Inventory
 - 100% RRGE
 - 100% CRANE
 - 100% over 100K

PHASE 3

- Analysis**
- Identify discrepancies
 - Identify opportunities to implement process improvement
 - Provide training
 - Progress report provided as required

PHASE 4

- Out-brief
 - Impacts
 - Causes
 - Recommendations

PHASE 5

Final report received by HQMC I&L (14 days from out-brief)

PHASE 6

Chain of command endorsed Corrective Action Plan received by HQMC I&L (as directed in DON TRACKER)

Active Analysis



FSMAO-West Points of Contact

OIC

LtCol

(b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c)

AOIC

Capt

(b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c)

SNCOIC

MGySgt

(b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c)

Team Officer

Capt

(b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c)

OpsO

Mr.

(b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c)

OpsChf

MSgt

(b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c)

Current Ops

Mr.

(b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c)



Resources

- **FSMAO-W Shared Drive and SharePoint**

- Checklists, References, Trends, Chief Seminar Briefs

FSMAO West Shared Drive

<\\Mcuspnldfs43\\c16\\MCB CAMPEL 16AA\\01 FSMAO Public>

FSMAO West SharePoint

<https://eis.usmc.mil/sites/fsmao-west/default.aspx>

- **Logistics Systems Coordination Office (LSCO)**

- Provides customer service related to GCSS-MC matters. Contact LSCO before the help desk, they may be able to assist.

- CWO2 Deceus, Berome S. LSCO/MRTC OIC 760-725-6999
- MSgt Kolano, Janusz J. LSCO Chief I MEF 760-725-6011

<https://eis.usmc.mil/sites/imef/G4/LSCO/SitePages/Home.aspx>

- **Materiel Readiness Training Center (MRTC)**

- Provide GCSS-MC training in a simulated environment as well as specially formulated scenarios designed for (S)MAGTFs/MEUs and other unique units.

- MGySgt Dettmer, Brian Co-Director I MEF MRTC 760-763-6972
- MSgt Pena, Oscar I. Co-Director I MEF MRTC 760-763-2607

<https://eis.usmc.mil/sites/imef/G4/mrtc/default.aspx>



UNITED STATES MARINE CORPS
1ST MARINE DIVISION, (REIN), FMF
BOX 555380
CAMP PENDLETON, CALIFORNIA 92055-5380

DivO 5041.3G
G-4
23 MAR 2015

1ST MARINE DIVISION ORDER 5041.3G

From: Commanding General
To: Distribution List

Subj: 1ST MARINE DIVISION LOGISTICS READINESS EVALUATION (LRE)

Ref: (a) MCO 4400.160, Field Supply and Maintenance Analysis Office
(FSMAO) Program, 26 Nov 2013
(b) MCO 5040.6, Marine Corps Readiness Inspections and Assessments,
18 Mar 2007
(c) NAVMC DIR 5040.6H, Marine Corps Readiness Inspections and
Assessments, 18 Mar 2007
(d) DivO 5041.21L, Commanding General's Inspection Program (CGIP), 18
Aug 2014

Encl: (1) Policy Guidance for LRE

1. Situation. The implementation of Global Combat Support System-Marine Corps (GCSS-MC) changed the day to day performance of logistics across the enterprise and resulted in a renewed focus on best business practices. The changes made to logistics programs and Marine Corps orders require an updated effort to assess unit capabilities. The purpose of this order is to set forth updated policy and procedures for the LRE program.

2. Cancellation. DivO 5041.3F

3. Mission. To publish instructions, policies, procedures, and technical information for the conduct of LREs within 1st Marine Division supported by the references.

4. Execution

a. Commander's Intent and Concept of Operations

(1) Commander's Intent

(a) To ensure a program is established to provide the Commanding General with key decision making information regarding the logistical readiness and compliance posture of Division units.

(b) Provide policy and procedural details regarding the conduct of the LRE.

(2) Concept of Operations. All 1st Marine Division commanders will be familiar with this order and the references in order to perform unit level assessments of their own capabilities.

23 MAR 2015

b. Subordinate Element Missions. Comply with the intent of the references and the content of this order.

c. Coordinating Instructions. Submit all recommendations concerning this order to the 1st Marine Division Supply Office via the appropriate chain of command.

5. Administration and Logistics. This publication can be obtained by requesting a copy from the Division Adjutant via the Supply Office.

6. Command and Signal

a. Command. This order is applicable to all units assigned or attached to 1st Marine Division.

b. Signal. This order is effective on the date signed.
(b)(3), (b)(6), (b)(7)(c)

Chief of Staff

DISTRIBUTION: Approved for public release; distribution is unlimited.

Copy to: CG, I MEF
CG, 3RD MAW
CG, 1ST MLG
OIC, FSMAO-WEST

RECORD OF CHANGES

Log completed change action as indicated.

Change Number	Date of Change	Date Entered	Signature of Person Incorporated Change

TABLE OF CONTENTS

<u>IDENTIFICATION</u>	<u>TITLE</u>	<u>PAGE</u>
Chapter 1	GENERAL INFORMATION	1-1
1.	Introduction.....	1-1
2.	Definitions.....	1-1
3.	Personnel.....	1-2
Chapter 2	OPERATIONS	2-1
1.	Operational Overview.....	2-1
2.	Relationship to CGI.....	2-1
3.	Schedule.....	2-1
4.	Trends.....	2-1
5.	SharePoint.....	2-1

CHAPTER 1

GENERAL INFORMATION

1. INTRODUCTION. The Logistics Readiness Evaluation (LRE) is responsible for assessing 1st Marine Division's compliance with established policy and improving materiel readiness procedures. The LRE balances the following two missions:

a. Assess the unit's policy compliance posture regarding logistical support of operations (accountability, readiness reporting, maintenance and sustainability).

b. Provide training, guidance, and assistance to the unit's logistics commodities.

2. DEFINITIONS

a. Logistics Readiness Evaluation. Those evaluations scheduled per this order and any evaluations specially directed by the Commanding General for which a formal final report is required.

b. Assistance Visit. All visits which do not fall into the category of LRE will be considered an assistance visit. An assistance visit will be requested via the chain of command to the LRE Officer in Charge (OIC). The LRE OIC will determine the feasibility of support based on operational tempo. Assistance visits will not require an executive summary however adequate documentation will be provided to the unit visited to allow for corrective action. Copies of the checklists used on assistance visits will only be distributed to the unit except when specifically requested by higher headquarters.

c. Commodity. A logistics section consisting of either Marines, specific equipment, or both. Each logistics commodity will have a corresponding LRE checklist.

d. Functional Area. A sub-section of a commodity corresponding to an area of responsibility. Commodity checklists will be broken into functional areas.

e. Compliant. A commodity or functional area grade demonstrating that the unit possess the requisite skills, equipment, personnel, and understanding to accomplish its assigned mission, tasks, and functions.

f. Non-compliant. A commodity or functional area grade demonstrating that the unit does not possess the requisite skills, equipment, personnel, and understanding to accomplish its assigned mission, tasks, and functions. Each non-compliant functional area will be supported by recommendations to resolve the cited conditions.

g. Finding. An adverse determination based on the analysis data. Findings are appropriate when significant problem areas are identified and cited in the executive summary. Significant problem areas include those having the potential to degrade readiness; markedly decrease mission capabilities, contribute to fraud, waste, and abuse or safety concerns, and cause significant deviation from orders or directives.

h. Executive Summary. The formal final report detailing overall unit results, to include any prevalent trends and a detailed summary of each non-compliant functional area with recommendations for resolution. Copies of all completed checklists will also be included in the executive summary.

i. Checklist. The written set of questions encompassing a specific commodity or functional area. Each question will list the pertinent reference(s) from which direction is derived. In order to ensure an exhaustive analysis, the LRE checklists will encompass all FSMAO-W and applicable Headquarters Marine Corps Automated Inspection Reports System questions, in addition to any Division Orders or Standard Operations Procedures (SOP).

3. PERSONNEL

a. Division Staff. Close cooperation between the Division Staff sections facilitates success and includes the following individuals. The Assistant Chief of Staff (AC/S), G-4 will assume overall responsibility for administering the LRE program within 1st Marine Division.

(1) AC/S, G-4

(a) Provide qualified subject matter experts in support of the LRE for G-4 commodities.

(b) Provide guidance and priorities to the LRE OIC.

(2) Officer in Charge, Logistics Readiness Evaluation

(a) Coordinate, manage, and conduct LRE scheduling, in-briefs, out-briefs, and all required reports.

(b) Conduct LREs as directed by the AC/S, G-4 in conjunction with the Commanding General's Inspection Program (CGIP).

(c) Conduct assistance visits directed by the AC/S, G-4 or requested by unit commanders as scheduling permits.

(d) Maintain the results of all inspections on file for seven years.

(e) Provide the executive summary to the unit commander via the AC/S, G-4.

(f) Update all LRE commodity checklists and functional areas as necessary, at least every fiscal year.

(g) Maintain the LRE SharePoint in an updated status to ensure widest dissemination of guidance and program updates.

(h) Maximize the number of simultaneous evaluations with the CGIP.

(3) AC/S, G-3. Ensure subordinate units plan appropriately in their training, exercise, and employment plan (TEEP) for LREs.

(4) AC/S, G-6. Provide qualified subject matter experts in support of the LRE.

b. Unit Commanders. The success of the LRE relies not only on the Division Staff but also on the unit being evaluated. Unit commanders will:

(1) Ensure the unit's logistics commodities cooperate with the conduct of all LREs. Allow LRE access to the unit's equipment, personnel and files.

(2) Ensure Marines are available for the LRE in order to receive the full benefits of the subject matter experts' training and guidance.

(3) Extend full cooperation to the LRE if personnel augmentation is needed to assist the conduct of an LRE on an adjacent unit. This will be a last resort, specifically for larger units and during times when LRE personnel strength is insufficient.

CHAPTER 2

OPERATIONS

1. OPERATIONAL OVERVIEW. The LRE is the strongest tool at the Commanding General's disposition for assessing the logistics capabilities of Division units. While the LRE benefits units by providing training and guidance, the ultimate purpose is to provide input for the Commanding General's decision-making.
2. RELATIONSHIP TO CGI. The CGI and LRE are two distinct programs with different methodologies. While both are Division level inspection programs operating on a similar rotation schedule, competing program interests prevent 100% schedule synchronization and assessment methodologies differ such that a full program merging is not possible. However, due to the administrative burden that inspections may cause, it is more efficient from the unit point of view to have both visits occur simultaneously. Additionally, joint visits provide manpower efficiencies at the Division Staff level and are thus encouraged.
3. SCHEDULE. At a minimum, all Division Activity Address Codes (AAC) will be inspected every other fiscal year. Due to AAC rotations, this may mean that a unit staff will not be assessed by the LRE every other fiscal year, and in some cases may mean that a unit staff is inspected with greater frequency than every other fiscal year. Such cases are infrequent but remain unavoidable as the Division rotates equipment sets to meet mission. Task organized or other units attached to 1st Marine Division may also be subject to an LRE.
4. TRENDS. Each quarter the LRE OIC will compile trend information based on recent unit results and will release the details via AMHS. The message will also contain any other information deemed beneficial to the units.
5. SHAREPOINT. A duty inherent to the billet of the LRE OIC is the frequent update of the LRE SharePoint page. The page will be used to communicate the LRE schedule, trend information, and checklist updates as well as pertinent information regarding FSMAO-W. Unit commanders and commodity OICs are encouraged to become familiar with it. The LRE SharePoint page may be found at:
<https://eis.usmc.mil/sites/1mardiv/g4/LRE/default.aspx>

Unit Analyzed: 3rd Assault Amphibian Battalion
 Battalion Commander: LtCol K. C. Brenzie
 Analysis Dates: 1-5 June 2020

Functional Area	Points Possible	Points Attained	Number of Discrepancies	Functional Area Percentage	Assigned Grade
Commodity Totals	273	178.9	51	65.53%	Non-Compliant
Property Management	82	45.3	16	55.24%	Non-Compliant
Control of Serialized Small Arms	33	21.2	6	64.24%	Non-Compliant
Internal Control Procedures	42	34.3	7	81.67%	Compliant
Warehousing	16	9.1	3	56.88%	Non-Compliant
Personal Effects	22	15.9	5	72.27%	Non-Compliant
Requisition Management	27	14.3	6	52.96%	Non-Compliant
Commercial Procurement	20	17	2	85.00%	Compliant
Fiscal	13	12.5	2	96.15%	Compliant
Training	18	9.3	4	51.67%	Non-Compliant

Functional Area Recap of Supply

Commodity Area: Supply
Functional Area: Property Management
Analyzed By: GySgt Madsen

Total Possible Points: 82
Total Points Received: 45.3

Total Discrepancies: 16
Functional Area %: 55.24%

1. Are all authorized allowances accurately reflected on the unit's MAL, to include approved Type II Allowances, Special Allowances, Command Adjustment Allowances, and Training Allowances (T/A) for MARFORRES? (MCO 4400.201 Volume 3, Chapter 2, Paragraphs 0205 and 0207; CMC MSG DTG 071902Z MAR 18)

NO Points Possible: 4 Points Attained: 0

- 9 items (-) command adjusted
- E07967K, E08467K, E08567K, E09897M, H70302B
- 1674 T/E deficiencies
- 2931 T/E excesses
- FY20 Type II Allowance letter had not been completed, it is in the process of being completed. FY19 Type II allowance letter was completed in July 2019.

2. Are allowance and serially managed items accurately recorded and updated in the Accountable Property System of Record (APSR)? (MCO 4400.201, Volume 3, Chapter 2, Paragraphs 0206, 0210, and 0218; MCO 4400.201, Volume 1, Chapter 2, Paragraphs 0205 and 0208, and Chapter 4, Paragraphs 0401 and 0403; UM 4000-125, Part 3, Chapter 1, Paragraph 3).

NO Points Possible: 5 Points Attained: 0

- 84 SUCs on IB, only 14 CMRs on account
- 20 items on NoSuc
- 8345009266001, 7240013375269, 7240000893827, 7240001776154, 2520014726681, 6150014111357
- 24 items no RO
- 8345009266001, 7240013375269, 7240000893827, 7240001776154, 2520014726681, 6150014111357, 4933008676607, 5220005351217, 4933016810740, 4933016810740
- 34 items no AO
- 322206372, 322206373, 322206374, 322206375, 322206376, 322206377, 322206378, 228693900, 228693901, 228693902, 312870544, 312904491, 322155258, 312870545, 312881673, 321594671, 321605104, 313611705, 313611716, 133839826, 240913868, 313611717, 321282363, 321674435, 321168907, 32601772, 321113709, 321151010
- 118 items incorrect P/C relationship or incorrect NIIN
- 321113709, 321151010, 313162028, 320738765, 321168907, 199911365, 199911366, 199911367, 199911368, 204359884, 204359885, 204359886, 321314552, 104030012, 1107634, 321568531, 321568535, 312664138, 290718867, 290718871, 290718875, 290719865, 293187864, 314233866, 290718870, 290718873, 290718874, 290718877, 301405864, 321680329, 321282363, 314121584, 314116324, 126337826, 322180341, 246856864,

313086749, 313086751, 186969831, 197616970, 226074861, 10857627, 197460111, 214301862, 249287461, 90018824, 217208863, 247633003, 140721109, 311325591, 140847193, 9837352, 80907807, 314116308, 314116316, 314116319, 314116322, 321674435, 290726903, 95631807, 320181012, 321288483, 32601772, 100442807, 314217045, 231721865

3. Is the unit managing Class IX on hand balances in perpetual inventory? (MCO 4400.201, Volume 4, Chapter 3, Paragraph 0309; UM 4000-125, Part 3, Chapter 1, Paragraph 4.f (1)c and Chapter 3, Paragraph 3.a)

NO Points Possible: 5 Points Attained: 0

- 18 TAMCNs in perpetual over 96 hours
- 140 of 203 items in perpetual over 96 hours

4. Upon assignment of RO, are the ROs physically inventorying assets, signing, and dating the CMR within 15 calendar days? (MCO 4400.201, Volume 3, Chapter 1, Paragraph 010903; UM 4000-125, Part 3, Chapter 2, Paragraph 4.a)

YES Points Possible: 5 Points Attained: 5

- 10 CMRs reviewed all were compliant

5. Are the ROs physically inventorying assets, signing, and dating the CMR quarterly (semi-annually if approved in writing by the CO/AO)? (MCO 4400.201, Volume 3, Chapter 2, Paragraph 020603.f; MCO 4400.201, Volume 4, Chapter 2, Paragraph 020510; UM 4000-125, Part 3, Chapter 2, Paragraph 4.a)

NO Points Possible: 3 Points Attained: 2.7

- 1 of 10 CMRs reviewed was discrepant
- YS6 1st quarter discrepancy letter not submitted till 2nd quarter.

6. Upon receipt of a discrepancy letter from an RO, is the Supply Officer taking corrective action within 5 working days? (MCO 4400.201, Volume 4, Chapter 4, Paragraph 0405)

NO Points Possible: 5 Points Attained: 4

- 2 of 10 CMRs reviewed were discrepant
- YADL 1st quarter not corrected until Jan 17
- YADL 2nd quarter CMR showed discrepancy letter submitted, but none was available to review

7. For known loss, damage or destruction of government property, is a DD 200 Form (FLIPL process) submitted to the approving/appointing authority within 15 days from the time of discovery? (MCO 4400.201, Volume 17, Chapter 2, Paragraph 020701.A)

NO Points Possible: 2 Points Attained: .8

- 31 D9As sampled, however, the unit is utilizing D9As for administrative in nature changes and D9Zs for physical losses. This incorrect process drastically changed the inspection process for this question.

- 4 of 7 DD200s reviewed, were outside the timeframes
- M218209240F001, M218200069F001, M218209254F001, M218200014F001
- DD200s were missing info on OCIE/lost, block 16 was blank on all, white out on 1 MVGL date, timeframes from CO requiring adjustment to supply completing it were non-compliant

8. Upon receipt of the DD 200, has the approving/appointing authority directed appropriate actions within the required timeframe? (MCO 4400.201, Volume 17, Chapter 2, paragraph 0207)

NO Points Possible: 5 Points Attained: 2.2

- 31 D9As sampled, however, the unit is utilizing D9As for administrative in nature changes and D9Zs for physical losses. This incorrect process drastically changed the inspection process for this question.

- 4 of 7 were not completed/outside the timeframes

- M21820926F001 not adjudicated, M218209240F001outside timeframes, M218209254F001outside timeframes, M218200014F001 not adjudicated

9. Is the unit maintaining for each RO the CMR key supporting documentation (receipts, issues and adjustments) that affect the records with authorized signatures? (MCO 4400.201 Volume 3, Chapter 2, Paragraphs 020603.D and 021002; MCO 4400.201 Volume 4, Chapter 3, Paragraph 0309; UM 4000-125, Part 3, Chapter 2, Paragraph 4.a)

NO Points Possible: 5 Points Attained: 4.5

- 10 CMRs reviewed, 1 was missing the discrepancy letter, SupO endorsement and CO endorsement.

10. Are key supporting documents for voucherable gain or loss transactions pre-approved by the Commanding/Accountable Officer, processed in required timeframe and filed in the voucher file? (MCO 4400.201 Volume 1, Chapter 2, Paragraph 0212; MCO 4400.201, Volume 3, Chapter 2, Paragraph 021002; MCO 4400.201, Volume 4, Chapter 5, Paragraph 051203 and 051204A; UM 4000-125, Part 3, Chapter 3, Paragraph 3.f)

NO Points Possible: 2 Points Attained: 1.5

- 337 D7As processed since Oct 1, 2019
- 18 D6As for lost shipments. D6A used to misc gain then D9Z to drop
- The unit was not able to explain what occurred or in what situations these types of transactions are acceptable.

- 4 of 17 discrepant for processing timeframe: 847220130, 847834102, 855712090, 867249695,

11. Are Money Value Gain/Loss (MVGL) Notices certified by the CO/AO within the required timeframe, and are they maintained on file? References: (MCO 4400.201, Volume 4, Chapter 5, Paragraph 051203, and Chapter 7, Paragraph 0704; UM 4000-125, Part 3, Chapter 2, Paragraph 3.g (4)(d))

NO Points Possible: 2 Points Attained: 1.8

- 337 D7As processed since Oct 1, 2019
- 18 D6As for lost shipments. D6A used to misc gain then D9Z to drop
- The unit was not able to explain what occurred or in what situations these types of transactions are acceptable.

- 2 of 17 MVGLs not certified in the required timeframe: 869042953, 869027236

12. Are annual physical inventories conducted and submitted to the Commanding/Accountable Officer (CO/AO) and maintained on file? (MCO 4400.201 Volume 4, Chapter 2, Paragraph 020401, and Chapter 7, Paragraph 0703, UM 4000-125, Part 3, Chapter 3, Paragraph 4.b.)

YES Points Possible: 5 Points Attained: 5

- March 31, 2020

13. Did the annual physical inventory contain the required elements? (MCO 4400.201, Volume 4, Chapter 7, Paragraph 0703; Chapter 5, Paragraph 051204A)

YES Points Possible: 2 Points Attained: 2

14. Were all required adjustments as a result of the annual inventory processed to affect the accountable balances and processed in the required timeframe (MCO 4400.201 Volume 4, Chapter 5, paragraph 051204 Chapter 7, Paragraph 0703; UM 4000-125, Part 3, Chapter 2, Paragraph 3.c.(2))

YES Points Possible: 2 Points Attained: 2

- C01882F was adjusted

15. Are key supporting documents (Authorization and DD Form 1348-1) supporting equipment transfers affecting the accounting records filed in the voucher file? (MCO 4400.201 Volume 3, Chapter 2, Paragraph 021002 and 0217; MCO 4400.201 Volume 6, Chapter 7, Paragraph 070210; UM 4000-125, Part 3, Chapter 1, Paragraph 13.c and Chapter 2, Paragraph 2.b)

NO Points Possible: 5 Points Attained: 3.3

- 15 total SOIs reviewed
- 3 of 15 were missing DD1348
- 6 of 15 were missing authorization

16. Are NAVMC 10359s or locally generated documents prepared for all temporary loans? (MCO 4400.201, Volume 3, Chapter 4, Paragraph 0408, UM 4000-125, Part 3, Chapter 2, Paragraph 5)

NO Points Possible: 3 Points Attained: 0

- 67 temp loans in GCSS in loaner status, but no documentation was provided.
- The unit was not aware of these and was not able to provide any documentation. They adjusted these during the inspection, but no physical inspection occurred to determine what the correct status of the equipment were.

17. Are Temp Loans authorized by the appropriate authority? (MCO 4400.201, Volume 3, Chapter 4, Paragraph 0408; UM 4000-125, Part 3, Chapter 2, Para 5)

NO Points Possible: 4 Points Attained: 0

- 67 temp loans in GCSS in loaner status, but no documentation was provided.

18. Are all temporary loans current? (MCO 4400.201, Volume 3, Chapter 4, Paragraph 0408)

NO Points Possible: 5 Points Attained: 0

- 67 temp loans in GCSS in loaner status without required date information.
- 1177769, 11515754, 11515960, 15280620, 18138195, 27725619, 27728619, 31548249, 32891153, 32947578, 33874444, 42520807, 50786807, 62172807, 64179908, 72191815, 104483882, 107639850, 116984840, 116984841, 126875826, 129331853, 137904903, 137904925, 151724841, 151749203, 151749211, 151749308, 151749309, 151749320, 151749321, 151749379, 155636022, 166227844, 170188936, 174117831, 177878831, 190804844, 192275905, 192663834, 195082914, 195180856, 197459954, 197460051, 199259987, 199907261, 199909882, 199909883, 199909884, 199909887, 211281868, 216929877, 224739863, 224741862, 224743861, 224745861, 236882369, 246851875, 246878867, 247505867, 257629865, 286862864, 290084875, 290084882, 290084905, 298692893, 300849873

19. Are Missing, Lost, Stolen, and Recovered (MLSR) reports (messages) submitted as required? (MCO 4400.201, Volume 4, Chapter 5, Paragraph 0515; MCO 5530.14A, Paragraph 10001)

N/A Points Possible: Points Attained:

20. Are TAMCN SSRI (children) component items configured with their parent items? (MCO 4400.201 Volume 3, Chapter 2, Paragraphs 020603 and 021402; UM 4000-125, Part 4, Chapter 1, Paragraphs 1 and 2)

NO Points Possible: 3 Points Attained: 2.5

- ~80%

21. Are transactions affecting the physical chain of custody of material reported within the required timeframe for receipts, issues, redistributions, and disposals? (MCO 4400.201, Volume 3, Chapter 3, Paragraph 030209)

YES Points Possible: 4 Points Attained: 4

22. Is a Responsible Officer assigned for the Garrison Property Custodian Asset Report and is it accurate? (MCO 4400.201, Volume 4, Chapter 2, Paragraph 020512 MCO 4400.201, Volume 15)

YES Points Possible: 4 Points Attained: 4

23. Does the IB instance reflect "Sub-Custody" party relationship and loaner status? (UM 4000-125, Part 3, Chapter 2, Paragraph 5)

NO Points Possible: 2 Points Attained: 0

- 67 temp loans in GCSS in loaner status without information in GCSS-MC.
- 1177769, 11515754, 11515960, 15280620, 18138195, 27725619, 27728619,
31548249, 32891153, 32947578,
33874444, 42520807, 50786807, 62172807, 64179908, 72191815, 104483882,
107639850, 116984840, 116984841, 126875826, 129331853, 137904903, 137904925,
151724841, 151749203, 151749211, 151749308,
151749309, 151749320, 151749321, 151749379, 155636022, 166227844, 170188936,
174117831, 177878831,
190804844, 192275905, 192663834, 195082914, 195180856, 197459954, 197460051,
199259987, 199907261,
199909882, 199909883, 199909884, 199909887, 211281868, 216929877, 224739863,
224741862, 224743861,
224745861, 236882369, 246851875, 246878867, 247505867, 257629865, 286862864,
290084875, 290084882,
290084905, 298692893, 300849873

Commodity Area: Supply
Functional Area: Control of Serialized Small Arms
Analyzed By: GySgt (b)(3), (b)(6),
(b)(7)(c)

Total Possible Points: 33
Total Points Received: 21.2

Total Discrepancies: 6
Functional Area %: 64.24%

1. Does the unit have appropriate personnel assigned to affect changes to the Marine Corps Serialized Small Arms/Light Weapons Registry? (CMC Message 061923 May 13; CMC Message 251855 Feb 15; MCO 8300.1D, Paragraph 4.b(5)(j))

YES Points Possible: 5 Points Attained: 5

2. Are signed copies of all receipts, issues, and documentation to support losses (to include combat losses) and gains for small arms submitted to NAVSURWARCENDIV, Crane (NSWC) via the Crane Small Arms Web Portal within 48 hours? (MCO 8300.1D, Paragraphs 4.b.(5)(b) thru 4.b.(5)(k), 5.a, 6, 8.b, 9.a, and 19.c; UM 4000-125, Part 3, Chapter 2, Paragraph 3.h.(2)(c))

NO Points Possible: 5 Points Attained: 5

- MFR from SupO dtd 6 Jan 2020 for non-compliant timeframes not signed.

3. Are Crane reportable weapon/serial numbers being accounted for correctly on the unit's serialized small arms report? (DoD 4000.25-2-M, Chapter 7.2.5.1; MCO 4400.201, Volume 3, Chapter 2, Paragraph 020901; MCO 8300.1D, Enclosure (1), Paragraphs 3.c.(1) and 5; UM 4000-125, Part 3, Chapter 1, Paragraph 2.e.(2) and Chapter 2, Paragraph 3.h.2(a))

NO Points Possible: 5 Points Attained: 0

- 6 of 7 months discrepant
- CAR used from Oct 1, 2019 in Oct - Apr

4. Are inventories of serialized small arms being conducted monthly? (MCO 5530.14A, Paragraph 8003.4.b(4); MCO 4400.201, Volume 3, Chapter 2, Paragraph 020902; MCO 4400.201, Volume 4, Chapter 2, Paragraph 020508; MCO 8300.1D, Paragraphs 4.b(5)(l)1, 4.b(5)(p), and 11.a)

NO Points Possible: 5 Points Attained: 0

- 6 of 7 months discrepant
- CAR used from Oct 1, 2019 in Oct - Apr
- Crane report did not have historical items on it.

5. Are discrepancies noted on monthly serialized inventories of small arms reconciled through to completion? (MCO 4400.201, Volume 3, Chapter 2, Paragraph 020902; MCO 5530.14A, Paragraph 8003.4.b(4); MCO 8300.1D, Enclosure (1), Paragraphs 4.b(5)(l)1, 4.b(5)(p), and 11.a)

YES Points Possible: 4 Points Attained: 4

- There were no reoccurring discrepancies

6. Is the unit completing the annual reconciliation and verification of small arms with NSWC, Crane, IN within the required timeframe? (MCO 8300.1D,

Enclosure (1), Paragraphs 11.b, 11.c, and 19.d, MCO 4400.201, Volume 4, Chapter 2, Paragraph 020508 and 0705)

YES Points Possible: 1 Points Attained: 1

- Unit submitted on 31 May 2019. Is completing FY20 this month

7. Are current conditional loan agreements from the National Museum of the Marine Corps (NMMC) at the unit for small arms/light weapons on hand at the unit that are designated as war trophies, historical property, or heritage assets? (MCO 4400.201, Volume 3, Chapter 4, Paragraph 040910; MCO 5750.1H, Chapter 3, Paragraphs 6.a and 6.b; MCO 8300.1D, Enclosure (1), Paragraph 12)

YES Points Possible: 3 Points Attained: 3

8. Are Non-standard weapons correctly accounted for? (MCO 4400.201, Volume 3, Chapter 2, Paragraphs 020505, 020903 and 0409; MCO 8300.1D, Paragraph 5.d)

NO Points Possible: 1 Points Attained: 0

- FSMAO (1 RIFLE, 7.62 MILLIMET 1487773 Ceremonial weapon accounted for on unit's GCSS-MC and CRANE.

1 RIFLE, 7.62 MILLIMET 485002 Ceremonial weapon accounted for on unit's GCSS-MC and CRANE.)

- both weapons were dropped D9A (physical loss) 5/28/2020 prior to being added to DPAS, this is the wrong transaction and the process was done incorrectly and not in a timely manner.

9. Are Demil certificates present for small arms/light weapons on hand that are designated as war trophies, historical property or heritage assets? (MCO 4400.201, Volume 3, Chapter 4, Paragraph 040910; MCO 5530.14A, Enclosure (1), Paragraph 8018.5; MCO 8300.1D, Enclosure (1), Paragraphs 5.d(3)(c) and 12.a(6))

NO Points Possible: 2 Points Attained: 1.6

- 4 of 5 demil certs present.

10. Are small arms/light weapons with approval to retain letters or loan agreements from the National Museum of the Marine Corps (NMMC) properly stored/secured in accordance with the loan agreement requirements? (MCO 4400.201, Volume 3, Chapter 4, Paragraph 040910; MCO 8300.1D, Enclosure (1), Paragraph 13)

NO Points Possible: 2 Points Attained: 1.6

- 4 of 5 letters to retain present.

Commodity Area: Supply
Functional Area: Internal Control Procedures
Analyzed By: GySgt (b)(3), (b)(6),
(b)(7)(c)

Total Possible Points: 42
Total Points Received: 34.3

Total Discrepancies: 7
Functional Area %: 81.67%

1. Are Commanding Officer/Accountable Officer letters of certification of relief retained in the supply files? (MCO 4400.201, Volume 3, Chapter 1, Paragraph 010901, Chapter 2, Paragraph 021002, and Appendix G)

NO Points Possible: 5 Points Attained: 5

- The CO's Certificate of Relief does not contain the minimum requirements. The Certificate of Relief does not address temploans or any pending investigations. (FSMAO noted this during their inspection)

2. Are Supply Officers' appointment letters retained in the supply files? (MCO 4400.201, Volume 3, Chapter 1, Paragraph 010902, 021002, and Appendix A)

YES Points Possible: 2 Points Attained: 2

- Capt (b)(3), (b)(6), (b)(7) appointment letter is on file.
- Lt (b)(3), (b)(6), (b)(7) 's appointment letter is on file (Apr 24) and compliant (c)

3. Are Supply Officers' certificate of relief and all endorsements retained in the supply files? (MCO 4400.201, Volume 3, Chapter 1, Paragraph 010902, 021002, and Appendix H)

NO Points Possible: 5 Points Attained: 5

- Certificate of relief for Capt (b)(3), (b)(6), (b)(7) is compliant
- The Supply Officer's Certificate of Relief (to Capt (b)(3), (b)(6), (b)(7) does not contain the minimum requirements. The Certificate of Relief does not address garrison property, temploans, or any pending investigations. (FSMAO noted this during their inspection) (c)

4. Have Responsible Officers (ROs) been appointed in writing by the Commanding Officer and has the appointment letter been endorsed (RO Acceptance) by the RO? (MCO 4400.201, Volume 3, Chapter 1, Paragraph 010903 and Appendix B)

NO Points Possible: 4 Points Attained: 3.6

- 10 reviewed, 1 discrepant Capt (b)(3), (b)(6), (b)(7) 's DD577 was not signed or dated. (7)(c)

5. Are roles assigned to manage the consumer-level supply inventory? (MCO 4400.201, Volume 1, Chapter 2, Paragraph 0208; MCO 4400.201, Volume 3, Appendix A; CMC Message 241744Z Jan 17)

NO Points Possible: 3 Points Attained: 1

- Lt (b)(3), (b)(6), (b)(7) DD577 was not dated (ASupO), current is correct
- DOA for AAO Lt (b)(3), (b)(6), (b)(7) not signed by Lt (b)(3), (b)(6), (b)(7) (ASupO), current is correct (c)
- SSgt (b)(3), (b)(6), (b)(7)(c) dates on DD577 invalid

- 8 Roles assignment letters were reviewed, the remainder were requested but not provided

6. Has the Supply Officer conducted a semi-annual internal control review of the account? (MCO 4400.201, Volume 3, Chapter 1, Paragraph 0117)

NO Points Possible: 3 Points Attained: 1.5

The internal control checklist reviews were present, but were not properly formatted. The items listed as 'no' did not each have a CAP. There was only 1 CAP for 23 discrepancies. The milestones did not address each discrepancy.

7. Do unit personnel have access to (DLA-DS Transportation Scheduler) for appointment scheduling of disposal turn-ins and DLA-DS Electronic Document Management Suite (EDOCS) to retrieve copies of the 1348-1A and/or bill of lading (If appropriate)? (MCO 4400.201, Volume 6, Chapter 7, Paragraphs 070207, 070210)

YES Points Possible: 5 Points Attained: 5

- Sgt (b)(3), (b)(6), (b)(7)(c) , Capt (b)(3), (b)(6), (b)(7)(c) , LT (b)(3), (b)(6), (b)(7)(c) have access

8. Does the command maintain accountability of all commercial servmart/fuel cards/fuel keys by card/key number? (DODM 4140-25-M, Volume 2; NAVSUPINST 4200.98B, Enclosure (1), Paragraph 7)

NO Points Possible: 3 Points Attained: 0

- The unit lost a fuel key in April... the key was not deactivated. Key 05259

9. Are desktop procedures/turnover folders current for each billet involving administrative and management functions? (MCO 4400.201, Volume 3, Chapter 1, Paragraph 0113)

NO Points Possible: 3 Points Attained: 2.2

- All desktop/turnover folders were missing 3 of the required elements (i, j, k)

10. Is UIF equipment returned and CMR closed no later than 60 days of deployment or exercise? (IMEFO 4400.4B Paragraph 4.b.1.j and Paragraph 4.b.1.0)

YES Points Possible: 2 Points Attained: 2

11. Is clothing for enlisted personnel obtained in accordance with current instructions and retained on file? (MCO 4400.201, Volume 13, Chapter 3; MCO 10120.28G Chapter 2, Paragraph 2008)

YES Points Possible: 5 Points Attained: 5

12. Did the Commander complete the Status of Command turnover and is it retained on file? (CMC White Letter 3-17)

YES Points Possible: 2 Points Attained: 2

Commodity Area: Supply
Functional Area: Warehousing
Analyzed By: GySgt (b)(3), (b)(6),
(b)(7)(c)

Total Possible Points: 16
Total Points Received: 9.1

Total Discrepancies: 3
Functional Area %: 56.88%

1. Is a stock locator file maintained in such a manner to permit accurate location and accountability of supplies? (MCO 4400.201, Volume 4, Chapter 3, Paragraph 030306)

NO Points Possible: 5 Points Attained: .7

- Location assignment letter was signed 'by direction Maj Hohl), should have been 'Acting'
- Physical did not match virtual, locator did not match CMR. (6 of 7 items reviewed)
- 8 B00377B on Locator, 2 B00367B on CMR & 2 B00337B on CMR, 3 of 4 physically at supply
- 0 E00177M on locator, 11 on CMR, 0 physically at supply
- 0 E11542B on locator, 11 on CMR, 0 physically at supply
- 0 E17987G on locator, 11 on CMR, 0 physically at supply
- 20 J00052G on locator, 20 on CMR, 20 physically at supply
- 8 K49572E on locator, 9 on CMR, 9 physically on CMR
- 0 Gage Firing Pin on locator, 1 on CMR, 0 physically at supply.
- Was corrected during the inspection and the locator/cmr was updated

2. Is property stored in a serviceable, ready for issue condition, and SL-3 complete? (MCO 4400.201, Volume 3, Chapter 2, Paragraph 021805.E and Chapter 3, Paragraph 030208)

NO Points Possible: 3 Points Attained: .5

- B003377B were not serviceable and were not marked as being deficient or DRMO.
- E00177M not physically at supply, unable to verify condition or serviceability.
- E11542B not physically at supply, unable to verify condition or serviceability.
- E17987G not physically at supply, unable to verify condition or serviceability.
- J00052G was on hand but no SL-3 inventories or Op checks had been completed
- K49572E were serviceable
- Gage Firing Pin not physically at supply, unable to verify condition or serviceability.
- There were DRMO items (C7915) located right next to the receiving and stages area without any way to identify that it was DRMO
- DRMO appt was made for the C7915 during the inspection.

3. Are unit personnel signing for issued Individual Combat Clothing and Equipment (ICCE)? (MCO 4400.201, Volume 3, Chapter 2, Paragraph 020507 and Volume 13, Chapter 6, Paragraph 0603)

YES Points Possible: 2 Points Attained: 2

Supply: Warehousing - 1

- 10 of 10 IMR gtg
- 9 of 9 ECR gtg

4. Is the unit recovering Individual Combat Clothing and Equipment (ICCE)? (MCO 4400.201, Volume 3, Chapter 1, Paragraphs 010703, 020601, and 020602 and Chapter 4, Paragraph 042202)

NO Points Possible: 2 Points Attained: 1.9

- 10 of 10 IMR gtg
- 8 of 9 ECR were gtg, 1 SSgt (b)(3), (b)(6), was issued 1/31/20 still has part of 2 of the 3 items. (b)(7)(c)

5. Do all forklift operators possess a valid operator's permit? (MCO 4450.14, Section VI, Chapter 4, Paragraph 4-41 A.1 (page 4-92))

YES Points Possible: 2 Points Attained: 2

6. Is all required Personal Protective Equipment (PPE) worn in the warehouse (NAVMC DIR 5100.8 para 13006)

YES Points Possible: 2 Points Attained: 2

Commodity Area: Supply
Functional Area: Personal Effects
Analyzed By: GySgt (b)(3), (b)(6),
(b)(7)(c)

Total Possible Points: 22
Total Points Received: 15.9

Total Discrepancies: 5
Functional Area %: 72.27%

1. Have individual case files been established? (MCO 4400.201, Volume 13, Chapter 14, Paragraph 1406 and Chapter 15, Paragraphs 1509 and 1510)

YES Points Possible: 3 Points Attained: 3

2. Are personal effects inventories conducted within the required timeframe? (MCO 4400.201, Volume 13, Chapter 15, Paragraph 150703.F)

NO Points Possible: 2 Points Attained: .8

- 3 of 5 were outside the timeframes (b)(3), (b)(6), , (b)(3), (b)(6), (b)(7) , (b)(3),
(b)(7)(c) (c) (b)(6),
(b)(7)(c)

3. Has Government property been inventoried and cited on the appropriate locally generated form/letter, and retained with the personal effects? (MCO 4400.201, Volume 13, Chapter 15, Paragraph 150302)

N/A Points Possible: Points Attained:

4. Are personal effects storage containers marked or tagged with the required information? (MCO 4400.201, Volume 13, Chapter 15, Paragraph 150702)

N/A Points Possible: Points Attained:

- There were no containers available to review.

5. Does the original or copy of the personal effects inventory form (NAVMC 10154) contain the required information? (MCO 4400.201, Volume 13, Chapter 15, Paragraphs 1503, 1504, and 1505)

NO Points Possible: 4 Points Attained: 3.5

- NAVMC 10154 header info (2 spots) were incorrectly labeled
- Dip pouches left in Pitman case, were not removed
- Sake set left in Santacruz case, were not removed

6. Are all personal effects inventories entered into the logbook to include all required information to record receipt/disposition of personal effects? (MCO 4400.201, Volume 13, Chapter 14, Paragraph 140601 and Chapter 15, Paragraph 150703)

NO Points Possible: 4 Points Attained: 3.6

- The 'date turned in for safekeeping' was incorrectly annotated as the disposition date.
- All other logbook required elements were accurate and complete.

7. Is a secure location with controlled access designated for storage of Personal Effect? (MCO 4400.201, Volume 13, Chapter 14, Paragraph 1403,

Chapter 15, Paragraph 1507, Chapter 18, Paragraph 1801, Chapter 19, Paragraphs 1901 and 190503, and Chapter 20, Paragraphs 2002 and 200301)

NO

Points Possible: 3

Points Attained: 0

- The location designated was Bldg 210631, Room 113. This was the WEX storage location. The correct room number was 121.
- The access roster was signed by Capt Kabilian, not the current SupO.
- 3 of 5 cases were retained in the barracks rooms of the Marines. There was no identifying information in the packages to identify where the cases were stored.

8. When recovery inventories were conducted for personnel discharged for reasons of other than honorable conditions, and/or granted appellate leave, were the NAVMC 631/631A completed and, if shortages were noted, did the Commanding Officer sign the certificate statement? (MCO 4400.201, Volume 13, Chapter 15, Paragraph 1509)

NO

Points Possible: 2

Points Attained: 1

- The NAVMC 631 had been altered through Adobe and was not the approved NAVMC 631 from HQMC.

9. Whether supported by a Personal Effects Baggage Claim Center or not, has disposition of personal effects, to include government property, abandoned or unclaimed personal property, and/or personal effects not transferred to the proper recipient been accomplished as required? (MCO 4400.201, Volume 13, Chapter 15, Paragraph 1508 and Chapter 16, Paragraph 1604 and Chapter 18, Paragraph 1802 and 1803 and Chapter 19, Paragraphs 1902, 190301 and 1906)

YES

Points Possible: 4

Points Attained: 4

Commodity Area: Supply
Functional Area: Requisition Management
Analyzed By: GySgt (b)(3), (b)(6),
(b)(7)(c)

Total Possible Points: 27
Total Points Received: 14.3

Total Discrepancies: 6
Functional Area %: 52.96%

1. Are requisitions managed for continuous supply support of unit operations? (DLMS Manual, Volume 2, Chapter 17; MCO 4400.150, Chapter 3, Paragraphs 1.a, 6, and 7; MCO P4400.151B, Paragraphs 1009.4, 1009.5, and 5002.4.c, and Appendix A; UM 4000-125, Part 3, Chapter 5, Paragraphs 4 and 6)

NO Points Possible: 5 Points Attained: 3.5

- 2 internal funds check errors
- M2182001490005, M2182001490006
- Approximately 30 days between follow-ups on 03 priority deadlining parts
- Items on order at priority 12 (FAD/UND)
- 159 requisitions past ESD without proper follow-up
- M2182001190141, M2182001420058, M2182001220020, M2182000300059, M2182001420140, M2182000140115, M2182001420119, M2182001420141, M2182001210096, M2182001420136, M2182001420147, M2182001420148, M2182001420151, M2182001420112, M2182001420131, M2182000910094, M2182001070067, M2182001070075, M2182001070098, M2182001070116, M2182001190070, M2182000800029, M2182000440003, M2182001420138, M2182001360010, M2182001390052, M2182001420049, M2182001420080, M2182001420091, M2182000920121, M2182000920122, M2182000970055, M2182000980253, M2182001220086, M2182001220193, M2182001220268, M2182001410004, M2182000980045, M2182000980226, M2182000990056, M2182001120070, M2182001220374, M2182001220449, M2182000920022, M2182000970069, M2182001070026, M2182001220227, M2182000920243, M2182000980141, M2182001340045, M2182000920076, M2182001070149, M2182001220032, M2182001220049, M2182001220063, M2182001220066, M2182001220141, M2182001220170, M2182001220173, M2182001220191, M2182001220219, M2182001220239, M2182093050074, M2182093050044, M2182001390041, M2182001190010, M2182001190021, M2182001190041, M2182001200024, M2182001200029, M2182001200045, M2182001200046, M2182001200052, M2182001210007, M2182001210008, M2182001210020, M2182001390034, M2182001360038, M2182001390001, M2182001220388, M2182001340076, M2182001070140, M2182001350003, M2182000980247, M2182000940138, M2182001340017, M2182001070042, M2182001220031, M2182001220073, M2182001220082, M2182001220143, M2182001220171, M2182001220225, M2182001220250, M2182001220261,

M2182001220263, M2182001220294, M2182001220325, M2182001220330,
M2182001220362,
M2182001220392, M2182001220405, M2182001220012, M2182001220064,
M2182001220187,
M2182001220309, M2182001220412, M2182001220441, M2182001250007,
M2182001340029,
M2182000980112, M2182000980123, M2182001010114, M2182001220299,
M2182001330302,
M2182001220336, M2182001220395, M2182001210067, M2182001210070,
M2182001210079,
M2182001210080, M2182001210091, M2182001210092, M2182001220180,
M2182001290029,
M2182001210101, M2182001200031, M2182001270003, M2182000920189,
M2182001120041,
M2182001120065, M2182001190143, M2182001010082, M2182000900087,
M2182001070072,
M2182001070093, M2182001070106, M2182001070109, M2182001070122,
M2182001070144,
M2182001140021, M2182001140023, M2182001140025, M2182001140026,
M2182001120001,
M2182001120003, M2182001120005, M2182001120007, M2182001120009,
M2182001120011,
M2182001120013, M2182000970103, M2182000980139, M2182000980250,
M2182000970006,
M2182000900044, M2182000900102, M2182000730004, M2182090810022

2. Are aged materiel shipments identified and processed within established timeframes when required? (CMC Message 071911Z May 13 (MRA Procedures); CMC Message 081417Z Apr 11; DLMS Manual DoD 4000.25-M, Volume 2, Chapter 17; MCO 4400.150, Chapter 3, Paragraph 7.b; MCO 4400.16H, Enclosure 1, Appendix A, Paragraph 9; UM 4000-125, Part 3, Chapter 5, Paragraphs 6 through 9)

NO	Points Possible: 4	Points Attained: 2.5
----	--------------------	----------------------

- 103 Aged ASIs of 310 total ASIs
- M2182093050044, M2182093050074, M2182001070041, M2182001070042,
M2182001070089,
M2182001220032, M2182001220049, M2182001220063, M2182001220066,
M2182001220141,
M2182001220170, M2182001220173, M2182001220191, M2182001220219,
M2182001220239,
M2182001070149, M2182000920076, M2182001340045, M2182000920243,
M2182000980141,
M2182000920022, M2182000970069, M2182001070026, M2182001220227,
M2182000980045,
M2182000980226, M2182000990056, M2182001120070, M2182001220374,
M2182001220449,
M2182001410004, M2182000970055, M2182000980253, M2182001220086,
M2182001220193,
M2182001220268, M2182001390006, M2182001360038, M2182001390034,
M2182001190010,
M2182001190021, M2182001190041, M2182001200024, M2182001200029,
M2182001200045,
M2182001200046, M2182001200052, M2182001210007, M2182001210008,
M2182001210020,
M2182000980247, M2182001390041, M2182001140010, M2182001140010,
M2182001340076,

M2182001220388, M2182001390001, M2182001350003, M2182001140010,
M2182001140010,
M2182001340069, M2182001340017, M2182001340029, M2182001220235,
M2182001330302,
M2182001220299, M2182001220336, M2182001220395, M2182001290029,
M2182001270003,
M2182000970103, M2182001200170, M2182001190143, M2182001190116,
M2182000900087,
M2182001010082, M2182001180003, M2182001150040, M2182001130020,
M2182001140026,
M2182001140025, M2182001140023, M2182001140021, M2182001130020,
M2182001050003,
M2182001120013, M2182001120011, M2182001120009, M2182001120007,
M2182001120005,
M2182001120003, M2182001120001, M2182001110054, M2182001110028,
M2182000900102,
M2182000730017, M2182000720004, M2182000620130, M2182000620136,
M2182000140112,
M2182000300059, M2182000140112, M2182000080046

- SDRs not processed according to the reference
- 45 SDRs overdue
- 24 lost shipments without SDRs
- 4 SDRs submitted with inaccuracies/discrepancies
- 6 SDRs rejected with no follow up from unit

3. Does a bona-fide need still exist for MILSTRIP requisitions? (CMC Message 171157Z JUL 15; DoD FMR 7000.14-R Vol. 3, Chapter 8, Paragraphs 080201, 080303, 080401, and 080410)

NO Points Possible: 5 Points Attained: 0

- 15 closed SR with open requisitions
- M2182080570198, M2182080710157, M2182090440079, M2182090440124,
M2182090440355, M2182090440423, M2182090440652, M2182090440918,
M2182090441104, M2182090450111
M2182090990114, M2182091000005, M2182091140070, M2182091140109,
M2182093440032

4. Are GCSS-MC Proof of Delivery KSDs, filed in the voucher file?

References: (CMC Message 152105ZSEP15; MCO 4400.150, Chapter 3, Paragraphs 7.b(3), 7.b(11), and 7.e; MCO 4400.16H, Enclosure (1), Paragraph 9; MCO P4400.151B, Paragraphs 1009.5, 1009.6, and 3011; UM 4000-125, Part 3, Chapter 3, Paragraph 13 and Chapter 5, Paragraph 5)

NO Points Possible: 3 Points Attained: 1.5

- 17 items reviewed
- 13 Supply receipt/acceptor discrepancies

5. Does the supply section facilitate timely receipting? References: (MCO 4400.150, Chapter 3, Paragraph 7.b(3) and 7.b(11); MCO 4400.16H, Paragraph 9; UM 4000-125, Part 3, Paragraph 6.c(1))

NO Points Possible: 4 Points Attained: 2.6

- 6 of 17 were discrepant on timeframes

6. Are authorized commodity personnel signing for materiel? References: (MCO 4400.150, Chapter 3, Paragraph 7.f; UM 4000-125, Part 3, Chapter 5, Paragraph 5.b(4)(a))

NO Points Possible: 4 Points Attained: 2.2

- 8 of 17 commodity DOA discrepancies

7. Is the RO/delegated individual reviewing the requirement to confirm the necessity prior to making a formal request to the Supply Officer? References: (MCO 4400.150, Chapter 3, Paragraph 6.a)

N/A Points Possible: Points Attained:

8. Is the Supply Officer (SupO), Accountable Property Officer (APO), or Personal Property Manager (PPM) approving parts requirements for GCSS-MC requisitions? References: (MCO 4400.150, Chapter 3, Paragraph 6.b)

N/A Points Possible: Points Attained:

9. Are all Document Identifier Codes (DICs) captured in the "Action" tab of Document Management in GCSS-MC properly worked? (UM4000-125 Ch.6, Paragraph d.1.b) CG Blue Diamond LTR 02-17 17APR2017

YES Points Possible: 2 Points Attained: 2

Commodity Area: Supply
Functional Area: Commercial Procurement
Analyzed By: GySgt (b)(3), (b)(6),
(b)(7)(c)

Total Possible Points: 20
Total Points Received: 17

Total Discrepancies: 2
Functional Area %: 85.00%

1. Can the PR Builder User Administrator demonstrate compliance with the requirement to upload and maintain System Authorization Access Requests (SAAR) and role appointments (DD 577, NAVMC 11869) for each PR Builder user within the command? (CMC Message 071458Z SEP 16; CMC Message 221456Z MAR 16; CMC Message 031431Z FEB 16)

YES Points Possible: 2 Points Attained: 2

2. Is the RO/delegated individual validating requests for services and supplies prior to being routed to the Supply Officer? (CMC Message 091512Z JUL 15 [MarAdmin 331-15]; MCO 4400.150, Chapter 3, Paragraphs 6 and 10.d(2))

NO Points Possible: 4 Points Attained: 3

- The unit was not utilizing GCSS-MC or PRBuilder to route requests for services and supplies.
- The unit was utilizing hard copy requests.

3. Is the Supply Officer, Accountable Property Officer (APO), or Personal Property Manager (PPM) approving requests for services and supplies? (CMC Message 071458Z SEP 16; CMC Message 091512Z JUL 15 [MarAdmin 331-15]; MCO 4400.150, Chapter 3, Paragraphs 6 and 10.d(2))

YES Points Possible: 4 Points Attained: 4

- The SupO is approving hard copy requests.

4. Are receipt and acceptance, KSDs supporting commercial and offline purchases (Servmart, Fuel, GCPC, Contracts) maintained on file? (CMC Message 071458Z SEP 16; CMC Message 152105Z SEP 15; CMC Message 211847Z AUG 15; CMC 151438Z Feb 17; MCO 4400.150, Chapter 3, Paragraph 7.e; MCO 7300.21B, Enclosure 2, Chapter 3, paragraph 3013)

NO Points Possible: 5 Points Attained: 3

- GCPC 3 of 8 were missing the RPR signature
- Servmart was missing the DTR
- Fuel was compliant
- Contracts were compliant

5. Are procedures in place to ensure that any miscellaneous payments via iRAPT (WAWF) follow all of the same purchase request requirements? References: (MCO 4400.150, Chapter 3, Paragraph 12.n; MCO 7300.21B, Enclosure 2, Chapter 4, Paragraphs 4002, 4004, and 4013)

N/A Points Possible: Points Attained:

- The unit did not have any MISC payments.

6. Does the supply activity ensure that pending invoices or receiving reports in iRAPT (WAWF) are reviewed and/or processed within the required timeframe? References: (MCO 4400.150, Chapter 3, Paragraphs 10.f and 10.g; MCO 7300.21B, Enclosure 2, Chapter 4, Paragraphs 9002.3.c)

YES

Points Possible: 3

Points Attained: 3

7. Are procedures in place to ensure that any inter-governmental procurement requests, i.e. work requests and MIPRs, follow all of the same purchase request requirements outlined in the reference?(MarAdmin 630-14, Paragraph 9; MCO 4400.150, Chapter 3, Paragraph 12)

YES

Points Possible: 2

Points Attained: 2

Commodity Area: Supply
Functional Area: Fiscal
Analyzed By: GySgt (b)(3), (b)(6),
(b)(7)(c)

Total Possible Points: 13
Total Points Received: 12.5

Total Discrepancies: 2
Functional Area %: 96.15%

1. Does the fiscal clerk maintain a pending file of every anticipated purchase request transaction to post in SABRS? (MCO 7300.21B, Enclosure 2, Chapter 3, Paragraph 3001 and Chapter 10, Paragraph 1008.3.B)

YES Points Possible: 5 Points Attained: 5

- Pending file was in compliance.

2. Are Unliquidated Obligations (ULO), Unmatched Disbursements (UMD), NULO, Abnormal Payables and Spending Errors properly managed by the supply section? References: (MCO 7300.21B, Enclosure (2), Chapter 3, Paragraph 3003, Chapter 10, Paragraphs 1001 thru 1007, and Chapter 11, Paragraphs 1101 thru 1103)

NO Points Possible: 4 Points Attained: 4

- Spending errors were being managed.
- ULOs: \$52,782.92 (+120 days)
- OTOs: \$19,746.09 (+120 days)
- NULOs: \$2,757.44 (FY20)

3. Does the Supply section have Standard Accounting, Budgeting, and Reporting System (SABRS), SABRS Management Retrieval Tools System (SMARTS), and Enterprise External Business Portal (EEBP) access to create reports and inquiries from data and information processed into the accounting system? (MCO 7300.21B, Enclosure 2, Chapter 3, Paragraph 1008.3.B, and 3001; CMC MSG 051307Z)

YES Points Possible: 2 Points Attained: 2

4. Is the unit using correct Financial Account Number (FAN) codes for individual clothing issues? (MCO 4400.201, Volume 13, chapter 3, Paragraph 031002; MCO 10120.28G Chapter 3, Figure 3-1)

NO Points Possible: 2 Points Attained: 1.5

- 1 of 4 were discrepant. Unit identified SIUUA(72047) as the correct FAN but utilized an initial issue 72042 fan.
(RP3 Wray)

Commodity Area: Supply
Functional Area: Training
Analyzed By: GySgt (b)(3), (b)(6),
(b)(7)(c)

Total Possible Points: 18
Total Points Received: 9.3

Total Discrepancies: 4
Functional Area %: 51.67%

1. Has the section established an MOS sustainment training program based on T&R events and unit METLs? (MCO P3500.72A Paragraph 4; NAVMC 3500.XX T&R MANUALS (MOS T&R Events); MCRP 3-0A Chapter 5; UM 4000-125 Part 3, Section 1, Paragraph 11.d; MarAdmin 085/16)

NO Points Possible: 5 Points Attained: 2.5

- The training is not effective due to the numerous errors within processes/procedures.
- FY19 training schedule not signed
- 7 training rosters reviewed for FY20 (1 oct, 1 nov, 1 dec, 1 jan, 1 feb, 2 may)
- No association with T&R or unit METLs

2. Does the commodity manager ensure that scheduled training is conducted for all personnel; based on the skills required of their rank, billet, and military occupational specialty? (MCRP 3-0B Appendix B; MCO P3500.72A Paragraph 4006; MarAdmin 477/13; MarAdmin 085/16)

NO Points Possible: 5 Points Attained: 2.5

- 7 training rosters reviewed for FY20 (1 oct, 1 nov, 1 dec, 1 jan, 1 feb, 2 may)
- 3043/3051 are both mastered regardless of T&R

3. Has the unit conducted Responsible Officer training? (MCO 4400.201, Volume 1, Chapter 2, Paragraph 020501; UM 4000-125, Section 10 Training)

NO Points Possible: 5 Points Attained: 2.8

- 6 of 14 RO's were not trained

4. Has the unit conducted Personal Effects Inventory Board Members Training? (MCO 4400.201, Volume 13, Chapter 15, Paragraph 1502)

NO Points Possible: 3 Points Attained: 1.5

- 1 training roster for GySgt Tosh was provided... none of the other Inventory officers were on a training roster.

Unit Analyzed: 3rd Assault Amphibian Battalion
 Battalion Commander: LtCol K. C. Brenzie
 Analysis Dates: 1-5 June 2020

Functional Area	Points Possible	Points Attained	Number of Discrepancies	Functional Area Percentage	Assigned Grade
Commodity Totals	147	107.13	28	72.88%	Non-Compliant
Maintenance Administration	30	23.85	7	79.50%	Compliant
Maintenance Programs	17	16	1	94.12%	Compliant
Preventive/Corrective Maintenance	11	9	2	81.82%	Compliant
Training	22	7.7	5	35.00%	Non-Compliant
Records and Reporting	26	18.3	6	70.38%	Non-Compliant
Publications Control	10	6.84	2	68.40%	Non-Compliant
Equipment Availability	15	14.9	1	99.33%	Compliant
Supply Support	16	10.54	4	65.88%	Non-Compliant

Commodity Area: Maintenance Management
Functional Area: Maintenance Administration
Analyzed By: GySgt (b)(3), (b)
(6), (b)(7)
(c)

Total Possible Points: 30

Total Points Received: 23.85

Total Discrepancies: 7

Functional Area %: 79.50%

1. Has the Commanding Officer assigned a Maintenance Management Officer (MMO) in writing when the billet is not identified by the T/O? (MCO 4790.2, Enclosure (1), Chapter 1 Paragraph 1; DivO 4790.2 Chapter 1 Paragraph 2.b)

YES

Points Possible: 1

Points Attained: 1

2. Has the command published Maintenance Management policy and are the contents in concert with higher-level directives? (MCO 4790.2 Enclosure (1), Chapter 1, Paragraph 3.b and Appendix A; MCO 4790.25 4.b (3) (c) 1; DivO 4790.2 Chapter 2 Paragraph 3)

NO

Points Possible: 5

Points Attained: 4.9

- MMPL 4-19 discussed inappropriate content within quarterly training bulletins.

3. Has the Commanding Officer authorized in writing personnel to assign an Urgency of Need Designator (UND) A and UND B? (MCO 4400.16H, Enclosure (1), Chapter 1, Paragraphs 4, 5 and 7)

YES

Points Possible: 1

Points Attained: 1

- Discussed Delegation of Authority and importance of specifying commodity of individuals.

4. Are desktop procedures/turnover folders current for each billet involving administrative and management functions within the Maintenance Management Office? (MCO 4790.2, Enclosure (1), Chapter 1 Paragraph 3.a; DivO 4790.2 Chapter 2 Paragraph 5.c)

NO

Points Possible: 3

Points Attained: 2.8

- Desktops lacked relevant points of contact.

5. Does the MMO validate commodity level desktop procedures/turnover folders requirements? (MCO 4790.2, Enclosure (1), Chapter 1 Paragraphs 2.a.(11) and 3.a; DivO 4790.2 Chapter 1 Paragraph 2.d.11)

NO

Points Possible: 5

Points Attained: 4.8

- Semi-annual reviews were not properly conducted for desktop/turnover binders within Rear Area Maintenance Park and Field Mess.
- Outdated references within desktops for Motor Transport.

See commodity checklists for details

6. Does the MMO plan detailed maintenance related inspections/assessments of the unit's programs, processes and procedures? (MCO 4790.2, Enclosure (1),

Chapter 1 paragraphs 2.a and paragraph 3.c and Chapter 4; DivO 4790.2 Chapter 1 Paragraph 2.d(2), DivO 4790.2 Chapter 3 Paragraph 3.e(1))

NO Points Possible: 4 Points Attained: 3.5

- Planning for internal inspections was very ambiguous with regard to dates, making it difficult to properly set timelines for follow up actions.

7. Does the MMO coordinate and conduct detailed maintenance related inspections/Assessments? (MCO 4790.2, Enclosure (1), Chapter 1 Paragraphs 2.a and par 3.c and Chapter 4; DivO 4790.2 Chapter 1 Paragraph 2.d(2)(3) & Chapter 2 Paragraph 4.a and 4.c , DivO 4000.1 Paragraph 3.a(b))

NO Points Possible: 5 Points Attained: 3.6

- Inspections not properly dated.
- FY 19 data not kept in all cases to properly document conduct of inspections (missing checklists, etc).

8. Does the MMO create and follow-up on correction action plans (CAP) with a focus on discrepant areas from the initial inspection/assessment? (MCO 4790.2, Enclosure (1), Chapter 1 Paragraph 3.c.(1).(k); DivO 4790.2 Chapter 2 Paragraph 4.c(2))

NO Points Possible: 5 Points Attained: 2.25

- Follow up actions were not conducted within required timelines.
- Re-inspections did not focus on all discrepant areas found during initial inspections.
Missing documentation regarding follow up actions (CAP/POCA, re-inspection data, etc).

9. Does the MMO coordinate equipment to manpower reviews? (MCO 4790.2, Enclosure (1), Chapter 1 Paragraph 2.a(1) & Chapter 2 Paragraph 3; MCO 5311.1E page 3-15; DivO 4790.2 Chapter 2 Paragraph 2)

NO Points Possible: 1 Points Attained: 0

- No documentation of a current review.
- LOI drafted for next review.

Commodity Area: Maintenance Management

Functional Area: Maintenance Programs

Analyzed By: GySgt (b)(3), (b)
(6), (b)(7)
(c)

Total Possible Points: 17

Total Discrepancies: 1

Total Points Received: 16

Functional Area %: 94.12%

1. Does the command follow procedures when participating in Deferred Maintenance Programs? (MCO 4790.2, Enclosure (1), Chapter 4 Paragraph 8; DivO 4790.2 Chapter 9 Paragraph 3)

YES

Points Possible: 5

Points Attained: 5

2. Are equipment returns reported, processed and monitored within GCSS-MC in support of the Enterprise Lifecycle Maintenance Program (ELMP)? (MCO 4790.2, Enclosure (1), Chapter 4 Paragraph 9; MCO 4790.24; DivO 4790.2 Chapter 9 Paragraph 5)

YES

Points Possible: 2

Points Attained: 2

3. Does the command follow procedures when participating in the Corrosion Prevention and Control (CPAC) Program? (MCO 4790.2, Enclosure (1), Chapter 4 Paragraph 7; MCO 4790.18C; DivO 4790.2 Chapter 9 Paragraph 6)

YES

Points Possible: 5

Points Attained: 5

- Unit had access to CPAC database and was knowledgeable of it's capabilities.

4. Does the command follow procedures for maintenance stand-down? (MCO 4790.2, Enclosure (1), Chapter 3 Paragraph 9.a; DivO 4790.2 Chapter 9 paragraph 2)

NO

Points Possible: 5

Points Attained: 4

- Data does not reflect that maintenance stand-downs are completed after major field exercises, instead there was one in place for the year.

Commodity Area: Maintenance Management
Functional Area: Preventive/Corrective Maintenance
Analyzed By: GySgt (b)(3), (b)
(6), (b)(7)
(c)

Total Possible Points: 11
Total Points Received: 9

Total Discrepancies: 2
Functional Area %: 81.82%

1. Has the MMO coordinated with responsible officers, and maintenance commodity managers to ensure preventive maintenance requirements are managed in accordance with associated technical manuals? (MCO 4790.2, Chapter 1 Paragraph 2.a(4); DivO 4790.2 Chapter 1 Paragraph 2.d(4) & Chapter 7 Paragraph 1 .b(1))

NO Points Possible: 5 Points Attained: 3.5

- Improperly conducted/documented operator/crew PMCS for Communications.
- Counters were not updated for Armory and Rear Area Maintenance Park.
- PMCS not scheduled properly for Communications and Engineers.
- Discrepancies identified during operator/crew PMCS were not inducted into maintenance for Armory.
- Task notes/material debriefed incorrectly for Motor Transport.

See commodity checklist for details

2. Has the Commanding Officer assigned personnel to approve MMCT extensions? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 3.C); DivO 4790.2 Chapter 6 paragraph 4.e; CMC Message 191845Z JUN 18)

YES Points Possible: 3 Points Attained: 3

3. Does the unit ensure commodity managers are following procedures for cannibalization and selective interchange? (MCO 4790.2, Enclosure (1), Chapter 1 Paragraph 2.a(1) & Chapter 3 Paragraph 3.8.2,b (1) (a) & (e); MCO 4790.25 Paragraph 4.b(6)(d)2.a and b; UM 4000-125 Part 4 Chapter 11; DivO 4790.2 Chapter 8 Paragraph 9)

NO Points Possible: 3 Points Attained: 2.5

- Selective interchange letters were not uploaded appropriately.

Commodity Area: Maintenance Management

Functional Area: Training

Analyzed By: GySgt (b)(3), (b)
(6), (b)(7)
(c)

Total Possible Points: 22
Total Points Received: 7.7

Total Discrepancies: 5
Functional Area %: 35.00%

1. Does the Commanding Officer's policy on maintenance and maintenance management training include the minimum hourly training requirements for maintenance personnel, maintenance management clerks, and maintenance supervisors? (MCO 4790.2, Enclosure (1), Chapter 4 Paragraph 2; DivO 4790.2 Chapter 3 Paragraph 3.a)

YES Points Possible: 1 Points Attained: 1

2. Does the MMO schedule, conduct, and document maintenance management clerk training? (MCO 4790.2 Chapter 4 par 2; NAVMC 3500.27C; DivO 4790.2 Chapter 3 Paragraph 2.b(1))

NO Points Possible: 5 Points Attained: .63

- (3) of (24) required classes were conducted and documented properly.
- Quarterly/monthly training schedules/bulletins were not in compliance with orders and directives.

3. Does the MMO schedule, conduct, and document maintenance management supervisor training? (MCO 4790.2, Enclosure (1), Chapter 4 Paragraph 2; NAVMC 3500.27C; DivO 4790.2 Chapter 3 Paragraph 2.b(3))

NO Points Possible: 5 Points Attained: 0

- (0) of (4) required classes were given.
- Quarterly/monthly training schedules/bulletins were not in compliance with orders and directives.

4. Has a regular training program on the Uniform Material Movement and Issue Priority System (UMMIPS) been established for all personnel who are authorized to assign UNDS? (MCO 4400.16H Enclosure (1) Paragraph 7.b; MCO 4790.2, Enclosure (1), Chapter 4 Paragraph 2; DivO 4790.2 Chapter 3 Paragraph 2.b(4))

NO Points Possible: 5 Points Attained: 4.47

- (127) of (142) Marines sampled were properly UMMIPS trained.

5. Does the MMO ensure operator/crew and technical MOS training is scheduled and documented? (MCO 4790.2, Enclosure (1), Chapter 4 Paragraph 2; NAVMC 3500.XX; DivO 4790.2 Chapter 3 Paragraph 2.b(3))

NO Points Possible: 3 Points Attained: 1.6

- Inappropriate mastery for Communications.
- Required classes not scheduled/documented properly for Communications and Armory.
- Historical data missing for Motor Transport.

See commodity checklist for details

6. Do the Individual Training Records (ITRs) document mastery of individual tasks based upon the METL/T&R events? (MCO 4790.2 Chapter 4 paragraph 2.d; MCO 1553.3B Enclosure 1 paragraph 3.e(4)(a)(1); MCO P3500.72A; NAVMC 3500.27C; DivO 4790.2 Chapter 3 Paragraph 5.b& (3))

NO Points Possible: 3 Points Attained: 0

- T&R mastery not documented for 0411 personnel.

7. Does the MMO ensure that individuals operating within GCSS-MC attend MRTC training? (DivO 4790.2 Chapter 3 Paragraph 4.a)

YES Points Possible: 0 Points Attained: 0

Commodity Area: Maintenance Management

Functional Area: Records and Reporting

Analyzed By: GySgt (b)(3), (b)
(6), (b)(7)
(c)

Total Possible Points: 26

Total Discrepancies: 6

Total Points Received: 18.3

Functional Area %: 70.38%

1. Does the unit's data reflect that validations and reconciliations are conducted between MMO, maintenance commodities, and all supporting maintenance activity (SMA)? (MCO 4790.2, Enclosure (1), Chapter 1 Paragraph 2 thru 4; MCO 4400.16H Table 1-2)

NO

Points Possible: 5

Points Attained: 4

- Priority and status of service request did not accurately reflect physical condition/status of equipment.
- Maximum Maintenance Cycle Time extensions were not properly documented.
- Service requests not debriefed/closed properly.

See commodity checklists for details

2. Does the MMO manage the unit's inventory control program? (MCO 4790.2, Enclosure (1), Chapter 4 par 11; MCO 4400.201 Volume 3 Chapter 2 Paragraphs 021402, 021805, and Appendix A; Update for Clarification 4-15 Calendar year 2015 for UURI; DivO 4790.2 Chapter 8 Paragraph 14.b and 14.c)

NO

Points Possible: 5

Points Attained: 2

- Record jackets were not created in all required instances for Communications.
- Items annotated as missing were actually complete and vice versa for Armory and Motor Transport.
- Items annotated as missing were not placed on order for Communications, Rear Area Maintenance Park, and Motor Transport.
- Required inventories not conducted/documented for Rear Area Maintenance Park.
- Using Unit Required Items held physically did not match authorized quantities for Motor Transport, Communications, and Armory.
- Outdated publications used for inventories by Motor Transport.

See commodity checklist for details.

3. Does the MMO manage the unit's Modifications Control program? (CMC Message 091558Z JAN 14; MCO 4790.2, Enclosure (1), Chapter 4 Paragraph 4; UM 4000-125 Part 4 Chapter 6)

NO

Points Possible: 5

Points Attained: 3.9

- Incorrect reporting of status of modifications for Communications.
- Urgent Modifications not installed for Communications.

4. Does the MMO manage the unit's Calibration Control program? (MCO 4790.2, Enclosure (1), Chapter 4 paragraph 5 and 5.d, 5.e and Appendix A Paragraph 3.m; UM 4000-125 Part 4 Chapter 6 Paragraph 1; DivO 4790.2 Chapter 4 Paragraph 4)

NO

Points Possible: 5

Points Attained: 3.9

- Items not included in unit calibrations program/scheduling for Engineers, Rear Area Maintenance Park, Armory, and Motor Transport.
- Dates on stickers did not match those tracked in unit calibrations program for Motor Transport.
- Stickers were found to be unreadable for Rear Area Maintenance Park.

See commodity checklist for details

5. Does the MMO conduct and document an annual validation of the unit's Test Measurement and Diagnostic Equipment (TMDE)? (MCO 4790.2, Enclosure (1), Chapter 4 Paragraph 5; UM 4000-125, Part 4, Chapter 6, Paragraph 2; DivO 4790.2 Chapter 4 Paragraph 4.e(2)(c))

NO

Points Possible: 3

Points Attained: 2.5

- Review was completed but was lacking data/items.

6. Are submitted PQDRs monitored for follow-ups or performance of corrective action? (MCO 4790.2, Enclosure (1), Chapter 3 Paragraph 6.b.2.g.5 and Chapter 4, Paragraph 3; MCO 4855.10C; DivO 4790.2 Paragraph 2)

NO

Points Possible: 3

Points Attained: 2

- MMO personnel were familiar with capabilities and proper usage of systems to submit/track PQDRs.
- Tracking method used for FY 19 was not kept up with in FY 20.

Commodity Area: Maintenance Management

Functional Area: Publications Control

Analyzed By: GySgt (b)(3), (b)
(6), (b)(7)
(c)

Total Possible Points: 10

Total Discrepancies: 2

Total Points Received: 6.84

Functional Area %: 68.40%

1. Has the Command established a publication control program for maintenance and maintenance management publications? (MCO 4790.2, Enclosure (1), Chapter 4 Paragraph 6; MCO 5600.31 Paragraph 4.C, (4)(5), Paragraph 5.B; DivO 4790.2 Chapter 5 Paragraph 2.b)

NO

Points Possible: 5

Points Attained: 3.44

- Unit had access to Marine Corps Publication Distribution System.
- (18) of (48) publication locations matched physical locations.

2. Does the MMO coordinate with commodity managers to ensure all publication libraries are managed? (MCO 4790.2, Enclosure (1), Chapter 4 Paragraph 6; MCO 5600.31A Paragraph 4.c(4) & Paragraph 5(b))

NO

Points Possible: 4

Points Attained: 2.4

- Virtual publication libraries were not properly tracked for Communications.
- Library was stored on unit shared drive for Armory.
- Outdated publications discovered within Motor Transport.

See commodity checklists for details

3. Are current 1stMarDiv orders and directives properly managed and maintained? (DivO 4790.2, Chapter 5, Paragraph 4.d)

YES

Points Possible: 1

Points Attained: 1

- Required division orders were properly tracked.

Commodity Area: Maintenance Management
Functional Area: Equipment Availability
Analyzed By: GySgt (b)(3), (b)(6), (b)(7)(c)

Total Possible Points: 15
Total Points Received: 14.9

Total Discrepancies: 1
Functional Area %: 99.33%

1. Are the unit's authorized MRR/RRGE allowances accurately reported on the Equipment Status Report? (McBul 3000; MCO 3000.11E Enclosure (1) Paragraph 3.a; MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 5; DivO 4790.2 Chapter 6, Paragraph 3.g (1))

YES Points Possible: 5 Points Attained: 5

2. Is the unit accurately reporting on-hand MRR/RRGE quantities on the Equipment Status Report (ESR) and Mechanized Allowance List (MAL)? (MCBUL 3000; MCO 3000.11E Enclosure (1) Paragraph 3.b; MCO 4790.2, Enclosure (1), Chapter 1 Paragraph 5; DivO 4790.2 Chapter 6 Paragraph 3.g (2))

YES Points Possible: 5 Points Attained: 5

3. Is the readiness status of all MRR/RRGE accurately reflected on the unit's Equipment Status Report? (McBul 3000; MCO 3000.11E Enclosure (1) Paragraph 3.b; MCO 4790.2, Enclosure (1), Chapter 1 Paragraph 5; DivO 4790.2 Chapter 6 Paragraph 3.g(3)(4))

NO Points Possible: 5 Points Attained: 4.9

Of the (49) items reviewed, the following discrepancy was found:
- E0846 ESR qty (18), MMR qty (15)

Commodity Area: Maintenance Management

Functional Area: Supply Support

Analyzed By: GYSgt (b)(3), (b)
(6), (b)(7)
(c)

Total Possible Points: 16

Total Discrepancies: 4

Total Points Received: 10.54

Functional Area %: 65.88%

1. Does the unit's requisition requirements reflect that validations and reconciliations are conducted between MMO, supply, and maintenance commodities? (MCO 4790.2 Enclosure (1) Chapter 1 paragraphs 2 thru 4; MCO 4400.16H Table 1-2)

NO

Points Possible: 5

Points Attained: 2.34

- Follow up actions to reconciliations were not occurring within acceptable timeframes.

2. Does the MMO ensure that Demand-Supported Items (DSI) are approved annually in writing by the CO? (MCO 4400.201 Vol 3 Chapter 2 Paragraph 021303; DivO 4790.2 Chapter 8 Paragraph 4.c)

NO

Points Possible: 3

Points Attained: 2.5

- Several items authorized did not meet usage criteria.

3. Does the approved demand-supported items (DSIs) meet the required stockage criteria? (MCO 4400.201 Vol 3 Chapter 2 paragraph 021303; MCO 4790.2, Enclosure (1), Chapter 1 Paragraph 4.d; DivO 4790.2 Chapter 8 Paragraph 4.c.d.g)

NO

Points Possible: 3

Points Attained: 2.6

- Physical quantities did not match virtual data for Rear Area Maintenance Park and Armory.

4. Does the unit complete new equipment fielding plans requirements? (MCO 4790.2 Chapter 1 Paragraph 4.c; Applicable fielding plan; MCO 4105.2 Paragraph 5.D.1; DivO 4790.2 Chapter 8 Paragraph 11)

YES

Points Possible: 1

Points Attained: 1

5. Does the MMO coordinate with commodity managers to ensure broken units of issue (BUI) are properly managed? (MCO 4400.201 Vol 3 Chapter 2 Paragraph 021306)

YES

Points Possible: 1

Points Attained: 1

6. Are the commodities reconciling/validating the sub-inventory layettes every two weeks against the service requests to ensure strict accountability of parts? (DivO 4790.2 Chapter 8 Paragraph 8.b(5))

NO

Points Possible: 3

Points Attained: 1.1

- Physical quantities in layettes did not match virtual data for Armory.
- (140) of the (203) items in commodity stages were over 96 hours.
See commodity checklist for details

Unit Analyzed: 3rd Assault Amphibian Battalion
 Battalion Commander: LtCol K. C. Brenzie
 Analysis Dates: 1-5 June 2020

Functional Area	Points Possible	Points Attained	Number of Discrepancies	Functional Area Percentage	Assigned Grade
Commodity Totals	222	178.5	25	80.41%	Compliant
Maintenance Production	43	29.5	8	68.60%	Non-Compliant
Preventive Maintenance	22	16.5	3	75.00%	Non-Compliant
Parts Requirement	19	17.5	1	92.11%	Compliant
Modification Control	11	10.8	1	98.18%	Compliant
Inventory Control	22	15.2	3	69.09%	Non-Compliant
Training	12	8.5	2	70.83%	Non-Compliant
Publication Control	10	7	1	70.00%	Non-Compliant
Internal Controls	13	11	1	84.62%	Compliant
Calibration Control	17	14	1	82.35%	Compliant
Load Lift	0	0	0	0.00%	Not Applicable
Physical Security	53	48.5	4	91.51%	Compliant

Functional Area Recap of Ordnance

Commodity Area: Ordnance
Functional Area: Maintenance Production
Analyzed By: SSgt (b)(3), (b)(6),
(b)(7)(c)

Total Possible Points: 43
Total Points Received: 29.5

Total Discrepancies: 8
Functional Area %: 68.60%

1. Are authorized personnel assigning proper Urgency of Need Designators (UND) on Service Requests? (MCO 4400.16H, Paragraph 4.b(9); MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 2.a(1)(d); UM 4000-125, Part 4, Chapter 3, Paragraph 3.; MCO 4400.201, Vol 3)

YES Points Possible: 3 Points Attained: 3

2. Are acceptance inspections properly conducted and documented when equipment is turned in to the supporting maintenance activity? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 2.a.(1) and Appendix C, Paragraph 3.c; UM 4000-125, Part 4, Chapter 3, Paragraphs 1.b(1) and 5.s(1)(a))

NO Points Possible: 3 Points Attained: 2.5

- SR# 28767170, 29081060, 29127068, 29733660, did not have appropriate acceptance inspection task

3. Has the DRIS been established during the induction phase? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 4(a)(1))

YES Points Possible: 3 Points Attained: 3

4. Do the commodity personnel use a Service Request (SR) in all instances where required in the performance of maintenance? (MCO 4790.2, Appendix B, Paragraph 5.c and Appendix C, Paragraph 2.a; UM 4000-125, Part 4, Chapter 3, Paragraph B)

NO Points Possible: 3 Points Attained: 2.5

- Pistol serial numbers 1131022, 1129241 cocks on safe
- PVS-14 7403547 had no service request open
-10 .50 cal's were tagged with no service requests open

5. Is the operational status of "Deadlined" for Readiness Reportable Ground Equipment, including SL-3, accurately reported? (Pertains to both Using Unit/Organic and IMA accounts) (MCBul 3000; MCO 4790.2, Enclosure (1), Chapter 1, Paragraphs 2.c(3) and 5; UM 4000-125, Part 4, Chapter 3, Paragraph 3 (Page 513))

NO Points Possible: 5 Points Attained: 3

- 28767170, 29127068, were closed in a deadline status

6. Has a Task been created for each major defect? (MCO 4790.2 Enclosure 1, Appendix C, Paragraph 3(f); UM 4000-125 Chapter 3, Paragraph 5(s)(2)(a))

NO Points Possible: 2 Points Attained: 1.5

- SR 29245856 did not have tasks for each defect

7. Did the commodity submit a PQDR when required? (MCO 4855.10C; MCO 4105.2; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 10 and Chapter 3, Paragraph 6; Applicable Supply Instructions and Fielding Plans)

N/A Points Possible: Points Attained:

8. Is the commodity following established warranty procedures? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 10; MCO 4105.2; MCO 4855.10C; Applicable Supply Instructions and Fielding Plans; MMSOP)

N/A Points Possible: Points Attained:

9. Are parts requisitions associated to the appropriate task? (MCO 4400.16H, Enclosure (1), Paragraphs 5 and 7; MCO 4790.2, Appendix C, Paragraph 4.a(2) Page C-3, UM 4000-125, Part 4, Chapter 3, Paragraphs 4.c and 4.g and Chapter 9, Paragraph 3.a)

YES Points Possible: 2 Points Attained: 2

10. Is the priority commensurate with the associated maintenance task? (MCO 4400.16H, Message DTG 271253Z FEB 18a)

NO Points Possible: 4 Points Attained: 2.5

-SR 28767170, 29081060, 29127068, 29245856, 29248840 did not have the proper priority to reflect the changed with SR

11. Does the maintenance activity assign the appropriate Job Status Codes to reflect the transition through the maintenance production process? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 3.e(2); UM 4000-125, Part 4, Chapter 3, Paragraphs 3.g and 4.b and Appendix E)

NO Points Possible: 3 Points Attained: 0

- SR 28767170, 29081060, 29127068, 29245856, 29248840 do not have the appropriate job status

12. Is the unit following procedures for extension of Maximum Maintenance Cycle Time (MMCT)? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 3; MCO 4400.201, Vol 6, Paragraph 030303; CMC 191845Z JUN 18)

NO Points Possible: 3 Points Attained: 0

- No MMCT task was created for service requests

13. Is the commodity debriefing parts prior to the closure of the Service Request? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 6; UM 4000-125, Part 4, Chapter 3, Paragraphs 5 and 7.c)

YES Points Possible: 5 Points Attained: 5

14. Is the maintenance activity properly debriefing labor prior to the closure of the service request? (MCO 4790.2, Enclosure (1), Appendix C, Paragraph 6.a(2); UM 4000-125, Part 4, Chapter 3, Paragraphs 5.a, 7.c, and 10.c)

YES

Points Possible: 3

Points Attained: 3

15. Upon completion of maintenance actions, are assigned quality control personnel documenting final inspections? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 2.c(4); UM 4000-125, Part 4, Chapter 3, Paragraph 3.s(3); Appropriate Commodity Chapters of TM 4700-15/1H)

NO

Points Possible: 4

Points Attained: 1.5

- Quality control personnel were not assigned or closing out QC task

16. Are Commodity Managers following procedures for cannibalization and selective interchange? (MCO 4790.2, Chapter 3, Paragraph 8; UM 4000-125, Chapter 11; DivO 4790.2, Chapter 8, Paragraph 9)

N/A

Points Possible:

Points Attained:

Commodity Area: Ordnance
Functional Area: Preventive Maintenance
Analyzed By: SSgt (b)(3), (b)(6),
(b)(7)(c)

Total Possible Points: 22
Total Points Received: 16.5

Total Discrepancies: 3
Functional Area %: 75.00%

1. Have equipment counters been updated? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4.b; UM 4000-125, Part 4, Chapter 3, Paragraph 6)

NO Points Possible: 4 Points Attained: 3.5

- Missing counters for Feb and May for 9 weapons

2. Has scheduled PMCS been performed? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4; TM 4700-15/1H, Paragraphs 2-2.d.38.c; UM 4000-125, Part 4, Chapter 4, Paragraphs 1.a, 1.b, and 1.e; Applicable Technical Publications)

YES Points Possible: 5 Points Attained: 5

3. Has required PMCS been scheduled? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4.a(2)(b); TM 4700-15/1H, Paragraphs 2-4.b thru 2-4.c; UM 4000-125, Part 4, Chapter 4, Paragraph 1; Applicable Technical Publications)

YES Points Possible: 3 Points Attained: 3

4. Has operator/crew PMCS been performed? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraph 4; Applicable Technical Publications; MMSOP/MMPL)

NO Points Possible: 5 Points Attained: 2.5

- Miss top rail cover screw for 90% of sample size
- 70% of sample size were found dirty weapons

5. Was an SR initiated for defects identified during operator/crew PMCS? (MCO 4790.2, Enclosure (1), Chapter 3, Paragraphs 4.a(2)(b) and 5; Applicable Technical Publications; MMSOP/MMPL)

NO Points Possible: 5 Points Attained: 2.5

- Broken weapons and optics were found broken with no 1018 tags or service request initiated

Commodity Area: Ordnance
Functional Area: Parts Requirement
Analyzed By: SSgt (b)(3), (b)(6),
(b)(7)(c)

Total Possible Points: 19
Total Points Received: 17.5

Total Discrepancies: 1
Functional Area %: 92.11%

1. Are validations/reconciliations conducted between the commodities (supply, MMO, maintenance activity, and supporting activities), and are corrective actions initiated by the commodity/IMA for requisitions? (MCO 4790.2, Chapter 1, Paragraph 4.b; UM 4000-125, Part 4, Chapter 3, Paragraph 5.s(5)(b))

YES Points Possible: 5 Points Attained: 5

2. Does authorized DSI resident in GCSS-MC match physical on-hand quantities and location? (MCO 4400.201, Volume 3, Paragraphs 021302 and 021303; MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 4.d and Appendix B, Paragraph 4.b(2)(b)4.c; UM 4000-125, Part 4, Chapter 12, Paragraph 2.b and Chapter 13, Paragraph 2.a)

YES Points Possible: 3 Points Attained: 3

3. Are the commodity's stage sub-inventory and layette sub-inventory accurate? (MCO 4790.2, Enclosure (1), Chapter 1, Paragraph 4.b.1(b)1; MCO 4790.2, Enclosure (1), Appendix A, Paragraph 3.q(5) and Appendix B, Paragraph 4.b(2)(b)4.e; UM 4000-125, Part 4, Chapter 12, Paragraph 2.b)

NO Points Possible: 3 Points Attained: 1.5

- Inventory did not match on hand quantity
- Missing items for 2 locators

4. Is all materiel held in maintenance facilities associated with established DSI, Layette, or Broken Unit of Issue (BUI) sub-inventories or reported to supply for disposition guidance? (MCO 4790.2, Enclosure (1), Appendix A, Paragraph 3.q(3); MCO 4400.201, Volume 3, Paragraph 0212; UM 4000-125. Part 4, Chapter 12, Paragraphs 2.b and 3; MMSOP and MMPL)

YES Points Possible: 5 Points Attained: 5

5. Are broken units of issue (BUI) properly identified, available in a common area to all maintenance personnel, and used until exhausted? (MCO 4400.201, Volume 3, Chapter 2, Paragraph 021306; MCO 4790.2; DivO 4790.2, Chapter 8 Paragraph 4.j)

YES Points Possible: 3 Points Attained: 3

Commodity Area: Ordnance
Functional Area: Modification Control
Analyzed By: SSgt (b)(3), (b)(6),
(b)(7)(c)

Total Possible Points: 11	Total Discrepancies: 1
Total Points Received: 10.8	Functional Area %: 98.18%

1. Are only authorized modifications applied to Marine Corps equipment? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4.c)

YES	Points Possible: 5	Points Attained: 5
-----	--------------------	--------------------

2. Does all equipment requiring urgent modifications indicate that modifications have been applied? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4.d(1); Applicable Modification Instructions)

N/A	Points Possible:	Points Attained:
-----	------------------	------------------

3. Does all equipment requiring normal modifications indicate that modifications have been applied? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4; Applicable Modification Instructions)

NO	Points Possible: 3	Points Attained: 2.8
----	--------------------	----------------------

- MOD reported as not verified but mods have been applied

4. Have all modifications been recorded? (CMC Message 091558Z JAN 14 [Policy Procedures and Management Requirements for Centralized Modification Control Records Program]; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4; TM 4700-15/1H, Paragraph 2-5; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b; UM 4000-125, Part 4, Chapter 5)

YES	Points Possible: 3	Points Attained: 3
-----	--------------------	--------------------

5. When the application of a modification changes data elements of military equipment (i.e., TAMCN, ID or NIIN), are requests for applicable changes submitted by the RO and the property records adjusted? (MCO 4400.201, Volume 3, Chapter 2, Paragraph 020603; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 4; Applicable Supply Instruction Modification Instruction and Automated Message Handling System)

N/A	Points Possible:	Points Attained:
-----	------------------	------------------

Commodity Area: Ordnance
Functional Area: Inventory Control
Analyzed By: SSgt (b)(3), (b)(6),
(b)(7)(c)

Total Possible Points: 22
Total Points Received: 15.2

Total Discrepancies: 3
Functional Area %: 69.09%

1. Are inventory records for Sets, Kits, Outfits, and Tools (SKOT) and Military Equipment established? (MCO 4400.201, Volume 3, Paragraphs 021402 and 021805; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 11; TM 10209-10/1; TM 4700-15/1H, Paragraphs 2-6 and 15-7; MMSOP/MMPL)

YES Points Possible: 5 Points Attained: 5

2. Has the unit commander established allowances in writing, for Using Unit Responsibility Items (UURI) and Additional Authorization List (AAL) items? (MCO 4400.201, Volume 3, Paragraph 021402)

YES Points Possible: 3 Points Attained: 3

3. Are inventories conducted and documented for all SKOTS, SL-3, and TM components to end items? (MCO 4400.201, Volume 3, Chapter 2, Paragraph 0214; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 11; TM 4700-15/1H Paragraph 2-6.c.(9); MMSOP/MMPL)

YES Points Possible: 5 Points Attained: 5

4. Are required replacement items requisitioned or identified as an unfunded deficiency? (MCO 4400.201, Volume 3, Paragraph 0214; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b)

NO Points Possible: 4 Points Attained: .5

- Missing items were not placed on order

5. Are garrison tool allowances and locally fabricated tools properly established and accounted for? (MCO 4400.201, Volume 3, Chapter 2, Paragraph 0216; MCO 4790.2, Appendix D, Paragraph 3.e)

NO Points Possible: 3 Points Attained: 1.7

- Garrison tools were not all identified
- Items were not placed on local CMR

6. Is the remarks column of the inventory sheet used to record service request numbers or other temporary remarks in pencil as required? (TM-4700-15/1H Paragraph. 2-6.c.(9))

NO Points Possible: 2 Points Attained: 0

- Remarks column was not utilized with service request numbers and serial numbers

Commodity Area: Ordnance
Functional Area: Training
Analyzed By: SSgt (b)(3), (b)(6),
(b)(7)(c)

Total Possible Points: 12
Total Points Received: 8.5

Total Discrepancies: 2
Functional Area %: 70.83%

1. Does the commodity have sufficient MCTIMS access, roles, and responsibilities to perform training functions (e.g. mastery/completion and scheduling)?

YES Points Possible: 0 Points Attained: 0

2. Does the quarterly and monthly training schedule include at a minimum one operator, one technical, and one shop/tool safety class for a combined total of two hours per month? (DivO 4790.2, Chapter 3 Paragraph 2.b.2)

NO Points Possible: 4 Points Attained: 3

- Quarterly and monthly training schedule did not include shop/tool safety class

3. Are detailed lesson plans, attendance rosters, and PECLs maintained for two years to ensure training was conducted for every scheduled class? (DivO 4790.2, Chapter 3, Paragraph 5.a.2; MCTP-8-10B, Page 5; MarAdmin 085/16)

NO Points Possible: 5 Points Attained: 2.5

- 2019 history was missing

4. Do all individuals within the commodity have an Individual Training Record/Electronic Training Jacket that documents mastery and/or sustainment of individual tasks based upon T&R events? (MCO P3500.72 Paragraph 7001; MCO 1553.3B; NAVMC 3500.XX T&R Manual; MCRP 3-0B Appendix B)

YES Points Possible: 3 Points Attained: 3

Commodity Area: Ordnance
Functional Area: Publication Control
Analyzed By: SSgt (b)(3), (b)(6),
(b)(7)(c)

Total Possible Points: 10
Total Points Received: 7

Total Discrepancies: 1
Functional Area %: 70.00%

1. Does the commodity manage a publications library using Publication Library Management System (PLMS) that facilitates identifying, locating, reporting, filing, and maintaining publications? (MCO P5215.17C, Paragraph 1002.6; MCO 5600.31A, Paragraph 4.c.(2), (4), 5.b; MCO 4790.2, Page 4-4, Enclosure 1, Appendix B; DivO 4790.2, Chapter 5, Paragraph 2.b; PLMS Users Guide Version 3)

YES Points Possible: 3 Points Attained: 3

2. Does the commodity have sufficient quantities of publications identified (using T/E, CMR, and any special allowances) as required (on the Internal Distribution Listing) to perform the assigned missions? (MCO 4790.2, Page 4-4 Enclosure 1, Appendix B; DivO 4790.2, Chapter 5, Paragraph 1.a)

NO Points Possible: 5 Points Attained: 2

- No external device was utilized for electronic publications
- On hand publications did not match PLMS

3. Does the commodity conduct monthly reconciliations of publications requisitioned with MMO/S-1 (DCP)? (DivO 4790.2, Chapter 4, Paragraph 6 and Chapter 5, Paragraph 8.a.2)

YES Points Possible: 2 Points Attained: 2

Commodity Area: Ordnance
Functional Area: Internal Controls
Analyzed By: SSgt (b)(3), (b)(6),
(b)(7)(c)

Total Possible Points: 13
Total Points Received: 11

Total Discrepancies: 1
Functional Area %: 84.62%

1. Are desktop procedures/turnover folders current for each billet involving administrative and management functions? (MCO 4790.2, Enclosure (1), Chapter 1, Paragraphs 2.a (11) and 3.a; DivO 4790.2, Chapter 2, Paragraph 5.c-d; MMSOP and MMPLs)

YES Points Possible: 5 Points Attained: 5

2. Is the maintenance activity performing corrective maintenance in accordance with applicable equipment technical publications and within the unit's capability? (MCO 4790.2, Appendix C, Paragraph 3.a and Paragraph 5; Unit's Table of Organization)

N/A Points Possible: Points Attained:

3. Have Inter-Shop Service Requests been properly created and related to the original Service Request? (UM 4000-125, Chapter 7, Paragraph 2.a. and 2.b.; DivO 4790.2, Chapter 7, Paragraph 4.c.(5))

YES Points Possible: 3 Points Attained: 3

4. Are non-system maintenance documents (e.g. LTI sheets, PMCS sheets, open purchase documents, quality control checklists, letters or forms) attached to Service Requests? (DivO 4790.2, Chapter 7, Paragraph 3; CMC 012004Z FEB 16; MarAdmin 331/15)

YES Points Possible: 1 Points Attained: 1

5. Is the unit following established procedures for equipment requiring disposition? (MCO P4400.82F, Chapter 5; MCO 4400.201, Volume 3, Chapter 2, Paragraph 0211; CMC 012004Z FEB 16, CMC 191845Z JUN 18)

YES Points Possible: 2 Points Attained: 2

6. Do parent/child configurations in the GCSS-MC Installed Base correspond with on hand items? (MCO 4400.201, Volume 3, Chapter 2, Paragraph 0206, Appendix B; UM 4000-125, Page 494)

YES Points Possible: 0 Points Attained: 0

7. Are NAVMC 1018 inspection/repair tags utilized and correctly prepared to identify equipment discrepancies, which require corrective maintenance/modification? (TM 4700-15/1_, Chapter 2)

NO Points Possible: 2 Points Attained: 0

- NAVMC 1018 tags were not utilized and filled out properly

8. If applicable, is the unit participating in the Enterprise Lifecycle Maintenance Program and is the program properly managed? (MCO P4400.82_,

Chapter 6; MCO 4790.24, Enclosure (1); TI-4710-14/1_; DivO 4790.2, Chapter 9, Paragraph 5)

N/A Points Possible: Points Attained:

9. Are Ordnance Vehicle Log forms NAVMC 10393, NAVMC 10393a, and NAVMC 10394 located in the Logbook and are the forms prepared, filed, recorded, or disposed in accordance with the reference? (TM 4700-15/1_, Page 5-4-1, Paragraph 5-4 d; Page 5-5-1, Paragraph 5-5 a)

N/A Points Possible: Points Attained:

10. Are Ordnance Vehicle Service Record forms NAVMC 10398 and 10398a located in the Logbook and if applicable, has the Maintenance Officer recorded any operational damage, salt-water immersion, and combat damage which requires major repair? (TM 4700-15/1_, Page 5-6-1, Paragraph 5-6 a)

N/A Points Possible: Points Attained:

11. Are copies of blank DD-518s, a blank SF-91, and two blank SF-94s carried in each vehicle? (TM 4700-15/1_, Paragraph 2-16 e, 2-17 d, and 2-17.1 d)

N/A Points Possible: Points Attained:

12. Does the commodity have a licensing program and does the program comply with current orders and directives? (MCO 11240.66_ and; MCO 8400.6)

N/A Points Possible: Points Attained:

Commodity Area: Ordnance
Functional Area: Calibration Control
Analyzed By: SSgt (b)(3), (b)(6),
(b)(7)(c)

Total Possible Points: 17
Total Points Received: 14

Total Discrepancies: 1
Functional Area %: 82.35%

1. Is all equipment requiring calibrations included in the Calibrations and Maintenance Program (CAMP)? (MCO 4733.1C, Paragraph 6.a; MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 5.d; TI 4733-15/1A, Paragraph 5; TI 4733-15/11C; TI 4733-15/21B; UM 4000-125, Part 4, Chapter 6, Paragraph 1; MMSOP/MMPL)

NO Points Possible: 5 Points Attained: 2

-13 gauges were not being tracked on the Calibrations report

2. Does the information annotated on the calibration sticker or certificate for each calibrated item match the data on the calibration control form? (MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 5.b; TI 4733-15/1A; TI 4733-OD/10; UM 4000-125, Part 4, Chapter 6 and Appendix E; MMSOP/MMPL)

YES Points Possible: 3 Points Attained: 3

3. Has Test Measurement and Diagnostics Equipment (TMDE) requiring calibration been submitted to the calibration facility? MCO 4790.2, Enclosure (1), Chapter 4, Paragraph 5; TI 4733-15/1A; TI 4733-OD/10; UM 4000-125, Part 4, Chapter 3, Paragraph 1.b and Chapter 6; MMSOP/MMPL)

YES Points Possible: 3 Points Attained: 3

4. Is TMDE designated as Calibration Not Required (CNR) or Inactive used within its calibration status? (MCO 4733.1C; TM 4700-15/1H, Paragraph 2-7.d; UM 4000-125, Appendix E (Calibration Status Codes))

YES Points Possible: 2 Points Attained: 2

5. Does the commodity perform and retain a copy of an annual calibration (TMDE) inventory? (MCO 4790.2; TM 4700-15/1H, Paragraph 2-7.c, e(1)(a)3; DivO 4790.2, Chapter 4, Paragraph 4.e.2.c; TM 10510-OD/1P; MMSOPs)

YES Points Possible: 2 Points Attained: 2

6. Is all equipment requiring calibrations scheduled to enable the unit to maintain sufficient instruments on hand to perform its day-to-day operations? (MCO 4733.1C, Paragraph 4.b.(7); MCO 4790.2; DivO 4790.2, Chapter 4, Paragraph 4.E.b; DivO 4790.2, Chapter 4, Paragraph 4.E.b; TI 4733-15/1A, Paragraph 5; TM 4700-15/1H, Paragraph 2-7; UM 4000-125 Part 4, Chapter 6, Paragraph 2)

YES Points Possible: 2 Points Attained: 2

Commodity Area: Ordnance
Functional Area: Load Lift
Analyzed By: SSgt (b)(3), (b)(6),
(b)(7)(c)

Total Possible Points:	Total Discrepancies: 0
Total Points Received:	Functional Area %: 0.00%

1. Has the unit Commander assigned in writing a Certifying Official for certification of tactical ground load lifting equipment? (MCO 11262.2B W/ADMIN CH, Enclosure (1), Chapter 1, Paragraph 2.j)

N/A	Points Possible:	Points Attained:
-----	------------------	------------------

2. Has the load test Certifying Official designated, in writing, authorized test directors and inspection/test personnel? (MCO 11262.2B W/ADMIN CH, Enclosure (1), Chapter 1, Paragraph 2.j)

N/A	Points Possible:	Points Attained:
-----	------------------	------------------

3. Do equipment records indicate a load test has been performed and documented on tactical ground load lifting equipment? (MCO 11262.2B W/ADMIN CH, Enclosure (1), Chapter 1, Paragraphs 2.d and 2.e; UM 4000-125, Part 4, Chapter 2, Paragraph 2)

N/A	Points Possible:	Points Attained:
-----	------------------	------------------

4. Is the hook throat spread base measurement properly conducted and recorded? (MCO 11262.2B W/ADMIN CH, Enclosure (1), Chapter 3, Paragraph 4; UM 4400-125, Part 4, Chapter 2, Paragraph 2)

N/A	Points Possible:	Points Attained:
-----	------------------	------------------

5. Do equipment records indicate a "passing" Non-Destructive Test (NDT) of tactical ground load lifting equipment has been completed in the last five years? (MCO 11262.2B W/ADMIN CH, Enclosure (1), Chapter 4, Paragraphs 2.b(1) and 2.c; UM 4000-125, Part 4, Chapter 2, Paragraph 2)

N/A	Points Possible:	Points Attained:
-----	------------------	------------------

6. Has an Annual Condition Inspection (ACI) been performed and documented for tactical ground load lifting equipment within the past 12 months? (MCO 11262.2B W/ADMIN CH, Enclosure (1), Chapter 3, Paragraph 8; UM 4000-125, Part 4, Chapter 2, Paragraph 2)

N/A	Points Possible:	Points Attained:
-----	------------------	------------------

Commodity Area: Ordnance
Functional Area: Physical Security
Analyzed By: SSgt (b)(3), (b)(6),
(b)(7)(c)

Total Possible Points: 53
Total Points Received: 48.5

Total Discrepancies: 4
Functional Area %: 91.51%

1. Was a Physical Security Survey of the AA&E facility(s) conducted within the last 365 days? (MCO 5530.14A, Chapter 3, Paragraph 3001.5.a(2))

YES Points Possible: 4 Points Attained: 4

2. Does the unit maintain records of the three most recent surveys? (MCO 5530.14A, Chapter 3, Paragraph 3001.12)

YES Points Possible: 3 Points Attained: 3

3. Have identified discrepancies been corrected? (MCO 5530.14A, Chapter 3, Paragraph 3001.13; CMC MSG 061528Z Apr 12, Paragraph 5.A.8)

NO Points Possible: 2 Points Attained: 1

- Key and lock program was identified in physical security survey and had not been corrected

4. Is the unit AA&E Officer appointed in writing? (MCO 5530.14A, Chapter 8, Paragraph 8002.2; MCO 8010.13, Volume 1, Chapter 2, Paragraph 5.b; CMC MSG 061528Z Apr 12, Paragraph 5.A.1)

YES Points Possible: 1 Points Attained: 1

5. Has the AA&E Officer completed the review of the account in accordance with the current references and reported any discrepancies to the Commanders? (MCO 8010.13, Volume 1, Chapter 2, Paragraph 5.d; CMC DC L LP MSG 301412Z Jan 14, Paragraph 3.A.1.A)

YES Points Possible: 2 Points Attained: 2

6. Is the unit conducting a quarterly inspection program to ensure compliance with applicable weapons accountability and physical security? (CMC MSG 061528Z Apr 12, Paragraph 5.A.2; CMC DC L LP MSG 301412Z Jan 14, Paragraph 3.A.1.B)

YES Points Possible: 2 Points Attained: 2

7. Has the AA&E Officer/SNCO completed quarterly reviews of the account and all AA&E records? Are the completed AA&E initial review and quarterly reviews (with Accountable Officer endorsement) maintained on file for six years and three months, as well as the previous AA&E Officer review? (CMC MSG DTG 301412Z Jan 14, Paragraph 4.B.3)

YES Points Possible: 3 Points Attained: 3

8. Has the Commanding Officer appointed the Arms, Ammunition, and Explosives screening officer in writing? (MCO 5530.14A, Chapter 8, Paragraph 8002.d.1)

YES Points Possible: 1 Points Attained: 1

9. Have personnel who are assigned custody, maintenance, disposal, distribution, or security responsibilities for AA&E been screened and found qualified for these duties? (MCO 5530.14A, Chapter 8, Paragraph 8002, 8002.1 and Appendix I; MCO 8010.13, Volume 1, Chapter 2, Paragraph 5.d(5))

NO Points Possible: 4 Points Attained: 3.5

- 2 of 7 AA&E packages were missing signatures

10. Has the proper unit diary code (AD - AA&E Screening / AA - Annual AA&E training / DK - Use of Deadly Force training) been entered into the Marine Corps Total Force System to identify that the individuals were screened and trained? (MCO 5530.14A, Chapter 8, Paragraph 8002.1.d(2) and 8002.3, DivO 8000.3, Appendix G)

YES Points Possible: 3 Points Attained: 3

11. Is an unaccompanied access list maintained within their required area? (MCO 5530.14A, Chapter 3, Paragraph 3005.13 and CMC MSG 061528Z Apr 12, Paragraph 5.A.5; DivO 8000.3, Chapter 2, Paragraph 2022.)

YES Points Possible: 1 Points Attained: 1

12. Does the unit maintain access control system records for the last three years? (MCO 5530.14A, Chapter 8, Paragraph 8008.2.a; DivO 8000.3, Appendix F, Paragraph 4)

N/A Points Possible: Points Attained:

13. Are physical sight counts conducted upon initial opening and final closing of an armory and are daily sight count records retained for 36 months? (MCO 5530.14A, Chapter 8, Paragraph 8003.4.b.(5) and (6); DivO 8000.3, Chapter 4, Paragraph 4002)

YES Points Possible: 4 Points Attained: 4

14. In facilities not continuously manned, are arms in an armory properly stored in banded crates, standard or locally made arms racks, or Class 5 GSA-approved containers? (MCO 5530.14A, Chapter 8, Paragraph 8005.1.i; TI-8005-34/18A; MCO 4400.201 Volume 14, Chapter 7)

N/A Points Possible: Points Attained:

15. Has the Commanding Officer given authorization for the storage of personal weapons and ammunition (stored separately) in writing to the unit armory personnel? (MCO 5530.14A, Chapter 8, Paragraph 8029)

YES Points Possible: 1 Points Attained: 1

16. Has the unit established a key control program? (MCO 5530.14A, Chapter 3, Paragraph 3005 and 3005.6, Appendix G)

NO Points Possible: 1 Points Attained: 0

- Key control program was not established

17. Is access to AA&E keys restricted via written authorization from the Commanding Officer to individuals whose official duties require access to the AA&E keys? (MCO 5530.14A, Chapter 8, Paragraph 8010)

YES Points Possible: 2 Points Attained: 2

18. Are all personnel requiring access to the armory properly authorized, escorted, and logged in? (MCO 5530.14A, Chapter 3, Paragraph 3003.3.b(2) and Chapter 8, Paragraph 8008.2.a; DivO 8000.3, Chapter 2, paragraph 2021)

YES Points Possible: 3 Points Attained: 3

19. Is a letter authorizing individuals to sign NAVMC 10520 (with sample signatures) authorized by the Commanding Officer resident in the armory? (TM 4700-15/1H, Chapter 7, Paragraph 7-4.b, DivO 8000.3, Chapter 2, Paragraph 2025.2)

YES Points Possible: 4 Points Attained: 4

20. Is there an authorization letter on file in the armory for the authorization to witness the issue/recovery of weapons? (TM 4700-15/1H, Chapter 7, Paragraph 7-3.b, DivO 8000.3, Chapter 2, 2025.1.b(1))

YES Points Possible: 2 Points Attained: 2

21. Is the issuance/recovery of weapons accomplished with proper forms and records (NAVMC form(s) 10520, 10576, 11186)? (TM 4700-15/1H, Chapter 7; DivO 8000.3, Chapter 2, paragraph 2025 and 2026)

NO Points Possible: 2 Points Attained: 0

- NAVMC forms were not being filled out properly
- Weapons were not being issued out properly for rifle range via 10520

22. Are approvals to retain letters or loan agreements from the National Museum of the Marine Corps (NMMC) at the unit for small arms/light weapons on hand at the unit that are designated as war trophies, historical property or heritage assets? (MCO 8300.1D, Chapter 1, Paragraph 12; MCO 5750.1H, Chapter 3, Paragraph 6.a and 6.b; MCO 4400.201, Volume 3, Chapter 4, para 0409)

YES Points Possible: 3 Points Attained: 3

23. Are Demil certificates present for small arms/light weapons on hand that are designated as war trophies, historical property or heritage assets? (MCO 5530.14A, Chapter 8, Paragraph 8018.5; MCO 8300.1D, Chapter 1, Paragraph 5.d(3)(c); MCO 4400.201, Volume 3, Chapter 4, paragraph 040910.C.3; CMC MSG 061528Z Apr 12, Paragraph 6.A.2)

YES Points Possible: 2 Points Attained: 2

24. Are small arms/light weapons on hand at the unit that are designated as war trophies, historical property or heritage assets afforded proper security? (MCO 5530.14A, Chapter 8, Paragraph 8022; MCO 4400.201, Volume 3, Chapter 4, paragraph 040903.C and 040910.C; CMC MSG 061528Z Apr 12, Paragraph 6)

YES

Points Possible: 3

Points Attained: 3



Logistics Readiness Evaluation Out-brief

3D Assault Amphibian Battalion – M21820

Briefer: LtCol Keith C. Brenize

15 May 2020

Overall Classification: **UNCLASS//FOUO**

Date/version: 20200611, v1

Author: Maj Hohl, M.W. /3d AABn XO

of slides: 13

Enclosure (117) Page 1 of 13

1



Logistics Readiness Evaluation

Unit Summary

Commodity	FY2018	FY2020
Ammunition	87%	97%
Embarkation	89%	91%
Container Management	100%	48%
Supply	82%	64%
Maintenance Management	86%	73%
Unit User Account Management	76%	60%
Motor Transport	90%	93%
Ordnance Armory	84%	80%
Ordnance Rear Area Maintenance Park	88%	88%
Communications	83%	80%
Field Mess	93%	91%
Engineers	95%	88%

-FY2019 FSMAO: Medium Risk for Property Accountability, Procurement and Maintenance Production. Low Risk in all other Lines of Effort



Logistics Readiness Evaluation



Container Management - 48%

Functional Area	Percentage	Remarks
Container Manangement	48%	



Container Management



- Factors that led to this commodity shortfall:
 - Container Movement on RAMP (containers and all assets):
 - 5/18/20-5/22/20
 - CGIP: 5/26/20-5/29/20
 - LRE: 6/1/20-6/5/20
 - Time to inspect all containers in Battalion is normally 30+ days



Logistics Readiness Evaluation



Supply - 64%

Functional Area	Percentage	Remarks
Property Management	55%	
Control of Serialized Small Arms	64%	
Internal Control Procedures	82%	Fuel Key
Warehousing	57%	
Personal Effects	72%	
Requisition Management	53%	
Commercial Procurement	85%	Servmart reconciliation
Fiscal	96%	
Training	52%	



Supply



• Factors that led to this commodity shortfall:

Area of Concern (Property Management):

- Items in a temp loan status (67) were not updated after expiration of temp loan agreement.
- Allowance management was not accurate as APSR tracked items were not reflecting accurate accountability.
- DD200 processing timeframes for adjustments were outside the two day timeframe.
- Equipment accuracy in APSR did not accurately reflect on-hand accountability.

Area of Concern (Control of Serialized Small Arms):

- Custodian Asset Report did not reflect with serialized assets in the APSR GCSS-MC.
- Historical weapons were not accurately accounted for in the DPAS account or APSR GCSS-MC with an updated DPAS CMR
- Non-standard weapons were not tracked in APSR for accountability.

Area of Concern (Warehousing):

- Virtual to physical inaccuracies with the stock locator counts being accounted for in the system.
- Equipment serviceability for items being disposed not accurately reflected as in disposition status on location.



Logistics Readiness Evaluation



Maintenance Management - 73%

Functional Area	Percentage	Remarks
Maintenance Administration	80%	Internal inspections
Maintenance Related Programs	94%	
Preventive/Corrective Maintenance	82%	Commodity level issues
Training	35%	
Records and Reporting	70%	
Publication Control	68%	
Equipment Availability	99%	
Supply Support	66%	



Maintenance Management



- Factors that led to this commodity shortfall:
 - Clerk/supervisor training not properly conducted/documented
 - T&R mastery not being documented for 0411 personnel
 - Ineffective reconciliation/lack of follow up actions
 - Section library not properly established
 - Demand Supported Items not handled properly
 - Parts in commodity stages outside authorized timeframes



Logistics Readiness Evaluation



Unit User Account Manager - 60%

Functional Area	Percentage	Remarks
Unit User Account Manager	60%	



UUAM



- Factors that led to this commodity shortfall:
 - UUAMs all authorized as primary
 - Discrepancies in user documentation
 - Virtual data did not match user documentation
 - Semi-annual reviews



Continuing Actions

- Focus on Maintenance and Supply Admin processes across the Battalion
- Ensure all training is planned, conducted, and captured in MCTIMS
- Quarterly internal inspections by the Bn XO and Bn Inspection Team.
 - Request Div TAVs quarterly as well



Commander's Comments





Logistics Readiness Evaluation



Closing Remarks

[The investigative interview commenced on 1253, 14 April 2021.]

[WIT: LTCol (b)(3), (b)(6), (b)(7)(c)]

[IO: CW05 (b)(3), (b)(6), (b)(7)(c)]

[IO: MGySgt (b)(3), (b)(6), (b)(7)(c)]

[CR: GySgt (b)(3), (b)(6), (b)(7)(c), (b)(3), (b)(6), (b)(7)(c)]

IO (CW05 (b)(3), (b)(6), (b)(7)(c)): Good afternoon, sir. My name is Chief Warrant Officer 5 John Walter. I am part of a team reviewing the facts and circumstances surrounding the formation of the 15th MEU and actions and decisions associated with the material conditioning, training, and personnel readiness thereof. This investigation is associated with the assault amphibious vehicle mishap that occurred off San Clemente Island on 30 July 2020.

We are not conducting a second investigation into the incident itself, but rather investigating from an institutional perspective to determine any changes that may be required or any actions that could or should have been implemented prior to the accident.

The Assistant Commandant of the Marine Corps, General Thomas, appointed Lieutenant General Mundy on 2 April 2021, to conduct this investigation, which includes, among other things, interviewing personnel from different organizations with information relevant to the investigation.

The Staff Director of the Marine Corps, Major General Olson, appointed me to the investigating team on 8 April 2021, and I am talking to you in my investigative -- investigatory capacity as a representative of Lieutenant General Mundy and General Thomas.

We are required to provide General Thomas with a written report upon completion of our investigation, and we have signed appointment letters and all that. If you'd like to see all that stuff, it's available for you.

I'm talking with you because the investigating team believes you might have information that may be relevant to the investigation. It is important for us to understand -- I don't know what that is -- important for us to understand, you know, the entirety of the situation. So please inform us of everything you believe should be considered in this review.

WIT: Okay.

IO (CW05 ^{(b)(3), (b)(6), (b)(7)(c)}): Topics that I'm going to cover today may include the forming and compositing of the 15th MEU, training and material readiness surrounding the formation and compositing of the 15th MEU, and I MEF oversight of the 15th MEU.

WIT: All right?

IO (CW05 ^{(b)(3), (b)(6), (b)(7)(c)}): This is an administrative investigation;

however, due to the sensitive nature of the ongoing review, we ask -- we are asking personnel we talked to as a part of the investigation not to share anything we discuss today with any other person.

So before we start, do you have any questions about my role or this investigation?

WIT: I do not.

IO (CWO5 (b)(3), (b)(6), (b)(7)(c))): Okay. Great. Some just some background questions: State your full name, rank, and current billet.

WIT: A full name is (b)(3), (b)(6), (b)(7)(c) (b)(3), (b)(6), (b)(7)(c) ; my full rank is lieutenant colonel, and my billet (b)(6), (b)(7)(c) is currently the material readiness officer for 1st Marine Division.

IO (CWO5 (b)(3), (b)(6), (b)(7)(c))): And what was your billet on 30 July 2020?

WIT: I was the 1st Marine Division, Material Readiness Officer.

IO (CWO5 (b)(3), (b)(6), (b)(7)(c))): Okay. So initial question: What was the command climate, the relationship, between 1st Marine Division and 1st Marines -- 1st Battalion, 4th Marines, 1/4?

WIT: I think it was very good. I had a very good relationship with them in the sense for -- if I can kind of shape it here. For the material readiness officer, who falls under me, are three particular officers. So I have the division supply

officer, division maintenance management officer, and then the division logistics readiness evaluation OIC. So that is similar to SMATS for most of us that are sitting in this room.

So the relationship there is -- was pretty good with Victor 1/4, the 1st Battalion, 4th Marines, just before they composited, it was really the during the uptick of the pandemic, the COVID pandemic. Victor 1/4 actually requested a logistics readiness evaluation. They were already scheduled for one, but there was concern for me and my staff due to the nature of COVID.

But ultimately, there was a desire to do one in order to provide the best view of the BLT for Colonel, then Colonel Bronzie, to ensure that the Lieutenant Colonel ^{(b)(3), (b)(6), (b)(7)(c)} was bringing him a battalion that was administratively prepared supply and maintenance wise.

So we ended up doing that inspection, turned out very well. They did very well in that that particular LRE, and there were no issues. We had no issues with them.

IO (CW05 ^{(b)(3), (b)(6), (b)(7)(c)}): That's good. And then, the relationship with 3rd Tracks, 3rd AAV Battalion and the division. The S-4 material readiness wise.

WIT: So material readiness aspect for -- now, when it comes to the 3rd Tracks, the right relationship was good. However, the

3rd Amphibious Assault Battalion, unfortunately, was that one unit where during that fiscal year we had a total of 13 FSMAOs schedule.

We successfully passed 12, and then my final FSMAO was 3rd Tracks, 3rd Amphibian Battalion, and they were our one failure. However, we provided them with, beginning back in 2018, we provided them what we call a LRE assist. And that is basically where the command will ask us to come out and look at a few of their commodity areas, be it maintenance, supply, or any of the others, but that's upon request.

So we'll come out with the team. We will conduct that inspection and that inspection is provided to the commander and his or her staff in order to provide them some of the areas that they probably need to look a little harder when it comes to maintenance and supply and/or in any other of the other areas; embarkation is one which isn't a FSMAO inspected area, but it's one of the things that division looks at. And of course, during that time, just like everyone else, doesn't do too well, but that's kind of right -- the right settled.

Usually about three to six months later, we'll conduct the LRE, and that is Division's LRE, and actually everything will be inspected.

Conducted that logistics readiness evaluation, and once again, they did poorly on that evaluation. And what we do at the division, we call that making the quiz harder than the test, the test being the FSMAO. So we try to make the LRE a little bit more difficult. We look at a little bit more deeper documentation in how the staff is working together, and then we try right set them.

After they received their score -- at that time, we were going by person percentages and which we still are actually, but FSMAO was doing it a little bit different than they were before. But for the LRE, they failed that, then they're required within 60 days to provide a back brief to the commanding general.

So that unit, then, provided the back breif to the -- brief to the commanding general. We call that the, basically, the LRE evaluation brief to the commanding general. He receives that, and with that, the commander and his staff, being 3rd Tracks, will present the results to the CG. The LRE team will be present, and they will provide any of the RFIs that the CG at the time, General Castellvi, would have. They provide a CAP, which is corrective action plan, to all the areas that were captured.

And from there, about six months later -- normally, it's about six months later, a FSMAO rolls in. So this is --

it's scheduled well into the year in order to provide that, you know, that prep, and then the LRE, and then there, bam, right there into FSMAO. So fast forward from the LRE --

Maybe I'm getting ahead of myself. I'll stop and I'll let you ask your question.

IO (CWO5 ^{(b)(3), (b)(6), (b)(7)(c)}): That is fantastic stuff. So December 2019 -- or sorry, October, they received a FSMAO. They did their corrective action plan in December of 2019, was published. There were three lines of effort that were identified as medium risk: PMs, internal inspections, training, inadequate supervision of training by responsible officers, kind of was the trend, so to speak.

In that, they said they were going to do a robust maintenance stand down within the next quarter. And if that's just a blanket statement, you know, in the corrective actions plan. It's great.

I need to put a request in for documentation to see if that maintenance stand down actually hit their TEEP, or if there was an LOI behind that. Unless -- I don't know how much oversight you have of that individual battalion conducting that kind of thing, but.

WIT: For that, it is more of a command driven event.

So when it comes to material readiness for the division, we make ourselves more than available, if required. There is always white space for the LRE team. But then thinking about the team that we have though, my team consists of the one captain, a 0411 from my MMO section, and then I have a 3043 gunnery sergeant, supply. That is actually the team. And what we will normally do is before we have an LRE, we will pull from the other commodity sections. So it's already designated. We already know who they are. It's kind of works out that way. If not, I just pull them underneath me, but most folks have an issue with that. So not an issue -- it's not a big problem for me because everyone plays ball when it is required.

So we will we -- as you know, the division is -- is pretty much dispersed from Camp Pendleton and then Camp Lejeune. So my team is -- is pretty well seasoned in how well they conduct the flow. You know, the checklists don't change. We coordinate the checklist with the FSMAO team. So it's -- there's no surprise.

Of course, units have always thrown out, Well, they're grading us harder. I was like, Yeah, they are grading you hard, because the quiz is harder than the test. It is exactly what General Castellvi wants.

So the harder grade them here, the less likely it is that they would fail and suffer failure for FSMAO.

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)): And you offer a LRE assist team similar to how the FSMAO does?

WIT: Definitely. That's exactly --

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)): That what I thought. I thought you were saying --

WIT: That's exactly what it is.

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)): Did 3rd Tracks asked for -- so they had the October 2019, the FSMAO, didn't do so hot. And then, the LRE -- well, I mean, let me back up. When the LRB conducted?

IO (CW05 (b)(3), (b)(6), (b)(7)(c))): So that's there was 1 June of 2020, six months later, they had an LRE.

WIT: They had another LRE after the FSMAO.

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)): Because they had this -- the LRE you're referring to was prior to the October 2019?

WIT: Correct.

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)): Okay. That's where I want to get some clarity on there.

IO (CW05 (b)(3), (b)(6), (b)(7)(c))): So in June of 2020, six months after the FSMAO, the overall score was non-compliant?

WIT: Correct. Again, correct.

IO (CWO5 (b)(3), (b)(6), (b)(7)(c)) : Pretty much for the same training, record keeping, supply support, publications, PMs?

WIT: Yes.

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)) : So this is, just bear with me for clarity, but we're looking at it like a year and a half. So roughly an 18-month timeframe?

WIT: Yes;

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)) : Is that -- or is it a 12-month timeframe?

WIT: It's well -- to try to put it all in perspective, we try to conduct an LRE. It is not try, we do conduct an LRE prior to a commander changing over and after a commander changes over. So the outgoing will get -- receive an LRE. And several months later, the receiving commander will also receive an LRE.

And then, at some point, we'll plan -- it is usually -- it is TEEP'd because we actually have -- we have the -- we release it on AMHS.

This year, of course, AMHS was down, so we weren't able to release it. We drafted it, and then pushed that out to all of the XOs and S-4s.

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)) : So 2019, they have a LRE, fail that. October 2019, they have a FSMAO, fail that. And then, June of

2020, they have another LRE, fail that. Was that the pre-change of command LRE.

WIT: Now, what I --

IO (MGySgt Robinson): Because they had to change of command in June of '20.

WIT: What I will prevent myself from doing is being date specific. I just don't have that in front of me.

IO (MGySgt Robinson): No worries. We can always get it afterwards.

IO (CWO5 ^{(b)(3), (b)(6), (b)(7)(c)}): The LRE of June 20, I think was executed before the change of command, I believe. Only because I think I saw lieutenant Colonel --

WIT: -- Burnise [ph]

IO (CWO5 ^{(b)(3), (b)(6), (b)(7)(c)}): Or his name on one of the LRE things. So my question behind that is, is kind of subjective -- that, you know, being around maintenance management for -- so over six months, it looked like they got a little worse from the FSMAO.

So between COVID, Native fury, the Southwest border, you know, operational tempo, or lack of training or command environment, you know, the things that led to that from a G-4 perspective?

WIT: My perspective and, you know, my career and time in is

always about planning. If you plan it, you can do it. However, I won't take away of being boots on the ground, in the trenches, from their perspective. The only thing that I can do that I fully understand, the only thing I am able to do is provide guidance and provide my recommendations.

Perhaps, I know that immediately following the FSMAO, of course, it wasn't a very good brief because there were so many areas where certain things weren't being done.

The commander, of course, was uneasy about it, but as we left, my LRE team and I left, because what we tend to do, we will sit in the FSMAO briefs. We have no speaking role, but we'll actually have we'll have a team there that's sitting in and listening so that we can focus on what their weakness -- weak areas were because we know they're going to end up asking for an assist shortly after, just trying to find out. But sitting around with the FSMAO team was the big one that you've already mentioned it.

And FSMAO team, they walked over to me and said, sir, it was just staff, ROs weren't where they needed to be during the inspection. There were few staff concerns that I had, after hearing it from the FSMAO team, they said, Sir, did you know that a supply officer was on leave?

And I looked at them and said, During FSMAO? He's like, Yeah, he was on leave. I said, well, this is a -- I think it's functional, yeah.

IO (CWO5 ^{(b)(3), (b)(6), (b)(7)(c)}): Yes.

WIT: I think we all know what FSMAO stands for. So I didn't understand why the FSMAO was on leave, but, you know, calming myself down. It was more of, it's not mine, it's not my command. So that that's something that has to be known by as the commander and or XO.

There were just some disconnects with the staff. That was a concern of mine, but as we've -- we've learned over the last several months, last couple years, when it comes to the amount of equipment that 3rd Tracks possesses, they're well over their current TE when it comes to the AMTRACs. There is a divestment -- there's a divestiture occurring as of right now, not something that, you know, headquarters Marine Corps weren't aware of, but there's a gradual divestment of the overages that they have right now.

IO (MGySgt ^{(b)(3), (b)(6), (b)(7)(c)}): When you say overages to their TE?

WIT: The tracks, there currently, if I'm correct --

IO (MGySgt ^{(b)(3), (b)(6), (b)(7)(c)}): And I mean, I know they're over FY21 by design because they are divesting. So like FY20, they're on

hand strength, those double AAVs was over TE?

IO (CW05 ^{(b)(3), (b)(6), (b)(7)(c)}): We could check that.

WIT: I believe they were sitting on somewhere 120, 13 AAVs, but I just don't wanna assume.

IO (MGySgt ^{(b)(3), (b)(6), (b)(7)(c)}): No, you are good, sir. It is just something we'll have to clarify.

WIT: But I do know right now. Right now, they are well over their - we're sitting at like 200 percent right now.

IO (MGySgt ^{(b)(3), (b)(6), (b)(7)(c)}): That I know because their -- the disposal plan, so. 1 October, a whole bunch of AAVs disappeared off the TE.

WIT: Right.

IO (MGySgt ^{(b)(3), (b)(6), (b)(7)(c)}): And they're in a process of disposing them.

IO (CW05 ^{(b)(3), (b)(6), (b)(7)(c)}): So training for your individual battalions, since you've been here, has there been any problems with the MRTC, getting seats in to the MEF readiness training cell and that center up there, whether the product, the classes of the periods of instruction are relevant or not? Are there any issues with you getting students or seats for those courses?

WIT: The first six months that I was here, I made attempts to find out what type of courses that they have and what type of

courses would support the division. Some of the courses I was asking about, there weren't really any. So when it came to like RO class, I was looking for an RO course to provide names to submit. MRTC did not have an RO course like II MEF has.

I just come from II MEF in August of 2018, reporting in here, after sitting down with the LRE OIC supply officer. I was gapped an MMO at the time, but wanting to know what courses were out there and none of those were there. DASf reconciliation courses, not really any there as well.

So after two or three RFIs trying to find out what MRTC had for me, sat with the master guns, my master guys at the time, and we came up with a plan to -- the way I feel about it, if something -- if MEF can't provide us, then it's up to us to provide it for ourselves.

So we initiated was what is called the "Material Readiness Supply Maintenance Reconciliation Workshop." I don't like conferences, I don't like symposiums, I don't like meetings, because you don't do anything in there, you just talk. So it is kind of like NATO. You just -- so we do workshops.

So that's when the Marines bring in computers, laptops, we actually pull up the stats, we will pool key performance indicators for supply, and then a lot of those for -- for the

maintenance management sections, and we would throw them up. We would have one day here, we would go on Tuesdays. We would have a workshop with all the supply officers. It initially started with all the supply also's and supply chiefs, and then we would have one separately for the MMOs.

So there's strategy that because we want to hear, Okay, supply officers, why is this working like this? Supply officer would say, well, the MMO isn't doing this. And so, we have another meeting with, Okay, MMOs, why aren't things working? You know, why aren't you, you know, your calls and your mods aren't -- those supply officers, if we're having supply officers during reconciliation, okay.

So after about -- that was one month with the supply officers. Also the next month was the MMOs, and then the third month, we did it with them together. And we said, Okay, why are your stats still like this? And now, no one wanted to say anything because everybody sit in a room.

So we started -- we work from there, kind of find out where we were in the -- at units with their reconciliation's, and we learned that there were supply officers and MMOs that didn't even know each other.

So we started -- that was our assessment, and then we

drove into -- we changed it from just a supply workshop, changed from a maintenance workshop to the supply and maintenance reconciliation workshop. So on Tuesdays, we would have that here on Camp Pendleton with supply chiefs, supply officers, maintenance management officers, also maintenance management chiefs.

And then, we would go that next day, provide the same level of training for 7th Marines, Delta Company, 3rd Tracks, tanks, and anyone else that was out at 29 Palms who wanted that level of training. So it worked pretty well for us.

IO (CW05 ^{(b)(3), (b)(6), (b)(7)(c)}): That's good. So training was available.

WIT: Yes.

IO (CW05 ^{(b)(3), (b)(6), (b)(7)(c)}): And the MRTC something that we're going to be talking to the MEF about, just the conduct of the POI there.

With regards to the joint LTI process of the 15th MEU, The AAVs specifically, the message gets released by the MEF. So initially, those tracks, half of them were identified as being deadline from the joint LTI process.

And then, they either were swapped out or they were repaired. Either way, they got -- they were chopped over to 1/4. I think it took a little long, I think, because they didn't want

to chop over deadline tractors over to 1/4. The increase of their FAD, when they chop over to 1/4, and the prioritization of their parts, did 3rd Tracks ever have problems getting parts because of priorities that you know of?

WIT: The only issues that I've ever dealt with at the division MRB is parts that weren't available. That's always been the issue. And I believe I reached out years ago, maybe my second -- maybe my first year in the seat, trying to fully understand the difference between the tracks, difference between LAVs and finding out who was where, as for the project manager and learning that one is sitting in Michigan.

You know, so I had to understand that piece of it all, but as for receiving parts, the only -- if there were parts out there on the shelves somewhere, we could get them. That was never a problem.

So with either with coordinating with the TPL, you know --

IO (MGySgt ^{(b)(3), (b)(6), (b)(7)}_(c)): PM.

WIT: PM. That wasn't there -- if they could get them for us, there was always somebody that someone else knew, someone on division staff, like, Yeah, I used to work with that guy or something like that. So that that was never a problem getting

that kind of information.

It was just the type of materials needed. If they weren't on the shelves, and we had to go to a source of supply, and SOS, that was always the problem. That was always the problem.

And then, there's, of course, the expensive parts. You know, you can't get away from that. Even if you have the part on the shelf, if you don't have the money to purchase them due to budget constraints, which we always deal with, then you're not to get the part.

FAD has never been an issue. There's not -- now every BLT, or basically every BLT that is in the order has the approval to increase their FAD. Of course, that was an issue in the beginning, but if it was in black and whites and if it's in the order then, yeah, any BLT, as soon as you cut over to be, in preparation for, to be a BLT on a MEU, then you have that authority. You can, you can increase your FAD.

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)): How far out before composite can they do that?

WIT: I believe it's 60 to 90 days, I believe it is.

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)): And does that -- so and my follow up to that would be, so 1/4 could have done that 69 days prior to

composite, but would -- the problem being because that applies to a RUC. So with 3rd Tracks, they're providing a platoon.

WIT: Correct.

IO (MGySgt ^{(b)(3), (b)(6), (b)(7)(c)}): You can't apply that FAD to that platoon, so they don't get that same -- not that it would've changed anything, but just for clarity. If it's not a battalion unit that is being composited, that same thing doesn't apply to --

WIT: -- a company.

IO (MGySgt ^{(b)(3), (b)(6), (b)(7)(c)}): -- to a company or a BLT. It's going to be provided to the BLT.

WIT: Only when they composite, would they be able to request?

IO (MGySgt ^{(b)(3), (b)(6), (b)(7)(c)}): Once it becomes BLT 1/4, then --

WIT: Infantry units who have that authority to do so just don't have that level of equipment.

IO (MGySgt ^{(b)(3), (b)(6), (b)(7)(c)}): They don't have anything to fix.

WIT: Right.

IO (CWO5 ^{(b)(3), (b)(6), (b)(7)(c)}): And the question behind that was, because they weren't able to -- they didn't increase their FAD, did it affect their requisitions? I think the answer is "no."

WIT: No.

IO (CWO5 ^{(b)(3), (b)(6), (b)(7)(c)}): If the part was available somewhere.

WIT: If the part was available somewhere, and there was -- yeah -- and there was funds to receive it. And that's usually never been a problem because, initially, that's something that the Division G-4 MRB, my section, started tapping into comptroller. And that was something I saw in the days in history past that I'm not confident that there was a lot of communication between a G-4 and the G-8.

However, upon getting on deck and working with the new G-8, he and I worked very well. So when it came to units needing funds, one of things the supply office just needed to do, was just ask for it. Most of them just weren't asking for it. They just reached their budget and stayed there.

But if there's parts that you need, funding that you required, then you just submitted it up. You don't have to wait for CYD. You need to just ask the question: This is how much I need? Can we have it? But never heard anything like that from, well, Victor 1/4, BLT 1/4, for tracks, you know.

IO (MGySgt ^{(b)(3), (b)(6), (b)(7)(c)}): As far as you're aware, during that timeframe, prior to composite at least, 3rd AA Battalion was not saying they were out of money? And so, there's no -- you don't have a context to that?

WIT: I don't -- I don't have anything in writing that states that they needed funds and they needed certain parts to get certain deadline vehicles up.

IO (CW05 ^{(b)(3), (b)(6),}_{(b)(7)(c)}): Admin deadlines, or the division admin storage program, is there an admin storage program in the division?

WIT: There was an admin -- correction. That was the MLG. The MLG had a CRSP [ph], but that was pulled. That was shut down. However, yes, the division does have an admin storage program and, particularly, tracks did actually utilize that. Yes.

IO (CW05 ^{(b)(3), (b)(6), (b)}_{(7)(c)}): So some of those tracks were taken out of admin deadline status to chop to that platoon to go composite with the MEU. So what's the policy, if you know, behind getting equipment out of the admin deadline process?

WIT: I can't tell you verbatim because that particular admin storage scenario took place probably about a year and a half, two years ago. But I do know that, and I don't want to get it mixed up with the old MLGs, MEF CRSP. But there is, when you induct it, you just have to -- the commander has to sign a letter identifying which items or which units he is placing in that admin storage so that we can account for that when it comes time

for an LRE assist or LRE to look at their records.

IO (CW05 (b)(3), (b)(6), (b)(7)(c)) : It wasn't a division run program, right?
The battalions ran their own?

WIT: The battalions ran their own.

IO (CW05 (b)(3), (b)(6), (b)(7)(c)) : Their own admin storage.

WIT: Division gave guidance on how they would conduct those, but then the battalions would run their own.

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)) : Is there a policy in writing.

WIT: Yes, there is.

IO (CW05 (b)(3), (b)(6), (b)(7)(c)) : Yeah. I think we'll put a request in to get a copy that. Just because in -- yeah, it just talks about them being in admin deadline.

WIT: Right.

IO (CW05 (b)(3), (b)(6), (b)(7)(c)) : Back up a little bit. So the commanding general at the time, he received FSMAO briefs for every battalion?

WIT: Yes.

IO (CW05 (b)(3), (b)(6), (b)(7)(c)) : LRE out briefs?

WIT: Yes, but not LRE assists.

IO (CW05 (b)(3), (b)(6), (b)(7)(c)) : Okay.

WIT: LRE assists are the battalion commanders requesting to be viewed, tell me how I look.

IO (CW05 (b)(3), (b)(6), (b)(7)(c)): Sure.

WIT: We'll show -- we'll tell them how they look. And it's not set up. It's just specifically for that commander and his staff. They are LREs are scheduled. So they are on our TEEP, and then the FSMAOs, of course, are scheduled.

IO (CW05 (b)(3), (b)(6), (b)(7)(c)): And the commanding general inspection program is another checklist. I'm not sure when 3rd AAV had one. They were required to have one every two years. So I'm assuming it fell somewhere between 2018 in 2020. Were you --

WIT: When you say their inspection program, are you're referring to their internal selection program?

IO (CW05 (b)(3), (b)(6), (b)(7)(c)): No, the CGIP -- I'll get a copy.

WIT: CGIP is separate of --

IO (CW05 (b)(3), (b)(6), (b)(7)(c)): -- LRE and FSMAO

WIT: -- LRE and FSMAO.

IO (CW05 (b)(3), (b)(6), (b)(7)(c)): It's another additional --

WIT: That's the G-7 runs that and we've actually -- they had supply checklists for the CGIP, but because we did LRE as well, it seemed like we were always double dipping, and we were running our gunny ragged. So it was agreed upon, that the G-7 and the G-4 and the chief of staff that we could separate those and just cover everything in our LRE, which we do.

If the CGIP, if there was ever a requirement to provide them with those checklists just to cover them because it's the same, we can provide them that LRE and that would cover them.

IO (MGySgt ^{(b)(3), (b)(6), (b)(7)(c)}): You said they didn't provide -- they didn't -- 3rd Tracks being they, did not request an LRE assist team. Are you aware of whether or not they requested a FSMAO assist team?

WIT: I'm sorry. You said -- they multiple times requested an LRE assist.

IO (MGySgt ^{(b)(3), (b)(6), (b)(7)(c)}): They did?

WIT: Yes.

IO (MGySgt ^{(b)(3), (b)(6), (b)(7)(c)}): Okay.

WIT: Yes. Yes. Commanders wanted to know why they weren't getting why they're team were failing.

IO (MGySgt ^{(b)(3), (b)(6), (b)(7)(c)}): So Colonel Bernise [ph] requested --

WIT: Yes.

IO (MGySgt ^{(b)(3), (b)(6), (b)(7)(c)}): -- the assist team.

WIT: And he had concern. He had concern as a commander, you know, the maintenance and supply stance of his staff and what it was. And one recommendation I made is that he had -- I recommended to him and his XO, I know his XO specifically, even in writing.

IO (MGySgt (b)(3), (b)(6), (b)(7)): Lieutenant Colonel (b)(3), (b)(6), (b)(7) ?

WIT: Yeah. He is a lieutenant colonel.

IO (MGySgt (b)(3), (b)(6), (b)(7)): Oh, I am sorry, Major (b)(3), (b)(6), (b)(7) .

WIT: Yes, he is a lieutenant colonel now. Supply chief, the supply chief, the way I look at it as a FSMAO, it is a very critical billet when it comes to FSMAO inspection and preparing for that was also the EO rep, which is a very critical billet when it comes to CGIP. So it was my recommendation that he break that gunnery sergeant from doing -- you can't break him from doing the supply chief, you know, your only one deep. But as that main EO rep, my recommendation, I highly recommended that they take him off of the EO rep and, you know, give that to someone else.

IO (MGySgt (b)(3), (b)(6), (b)(7)): A gunny supply chief?

WIT: Gunny supply Chief, Gunnery Sergeant Gear.

IO (MGySgt (b)(3), (b)(6), (b)(7)): They don' thave a master sergeant down there?

WIT: No. They rate a gunny at tracks.

IO (MGySgt (b)(3), (b)(6), (b)(7)): The warehouse chief --

WIT: The warehouse chief is the only master sergeant 3051 that we have in division. Weird, but --

IO (MGySgt (b)(3), (b)(6), (b)(7)): That's all right. I was just

confusing the two.

WIT: Okay. And that was my recommendation. Each -- that was the first LRE, each LRE after in the FSMAO, the gunny was still the EO rep. And I asked the question, Gents, why? Why did you keep him as the -- I mean, he can't, one, can't train his Marines because he's worried about any type of EO complaint, and that is his first and focus foremost, which was also a complaint of one of the FSMAO team inspectors. They said that gunny was never there because when we asked him a question, he'd say, Hey, ask my Marines, I have to go take care of this EO complaint. And he'd get up and leave.

So that ties into after FSMAO, the next LRE, I sat and I asked to speak with the, just out of the blue, G-7, OIC or SNCOIC. I want to have a talk with them. And he came down, we sat in my office. I said, Hey, how's, if you can share, I said, how is 3rd Tracks doing? How they're EO rep doing? He said, they failed EO. I said, Really? I said, my recommendation to them was to pull that gunny off of the EO. He says, sir, I made the exact same recommendation. He said, because he's loaded. He can't focus on supply stuff, getting parts, you know, running.

The key is their DASF. I think most of us know that DASF doing status file of parts that are on shipment status,

they're on order, there -- are they still needed? Are they still required? And throughout the division, DASF health was wasn't that great.

Again, MRTC, do they provide that kind of class? No, they don't. So that falls on us, the division, to provide that training, which we have done in the past year. We started our DASF reconciliation workshop. So everything at a workshop tied to it, and right now and for the past several months, the division has been number one in DASF reconciliations. Turned into a contest basically. And the Marines like to compete, but that was the issue.

The gunny was also the supply chief, a critical billet, and also the EO rep, which is a critical billet.

IO (CW05 ^{(b)(3), (b)(6), (b)(7)(c)}): Yeah, we'll definitely look into collateral duties.

Master guns, you got nothing else?

IO (MGySgt ^{(b)(3), (b)(6), (b)(7)(c)}): So having given the fact that 3rd AA Battalion had, obviously, significant issues over a lengthy period of time, when it comes to FSMAO, LRE type inspections, and it appears some of other things here, outside of your office providing guidance to them, what was the commander -- Division CG's -- you may not be able to speak to this, but like I am just

curious as to from a division perspective at the commander level, what was -- what were -- was there accountability for the fact that we weren't getting any better at that battalion?

WIT: Definitely. I truly believe that General Castellvi held the commander's responsible. The commander asked to speak with me, just have lunch with me just to sit down and talk about his staff after having spoken with CG. And he was really concerned, he was generally concerned. I have never sat in front of a commander, he just kind of looked to you for answers in the sense of what do I do. What is -- Why are my guys failing?

He said, I can tell they love what they do, they enjoy the work that they do, and the only thing that I could ask him is just, you know, just make sure that they're briefing you. They're telling you what actually what it actually looks like. Don't try to doctor it up or sugarcoat anything to you. You know, I just talked about his staff. Just make sure that the XO -- this is just me. I'm big on the executive officers because executive officers, you run the staff.

You know, there there's, no, you're commander, he commands the staff; executive officer, you drive the staff. The S-1, S-2, S-3, S-4, S-6, supply officer, MMO, that is your responsibility. So you probably should be the last one walking

out of your office at the end of the day.

IO (MGySgt ^{(b)(3), (b)(6), (b)(7)(c)}): How involved was Major ^{(b)(3), (b)(6), (b)(7)(c)}? Well, Major, at the time.

WIT: Well, I have to base my response on me giving him the recommendation to pull that gunny out of that EO billet and it not happening. That was my recommended. I think that would have helped with the training at the lower level. Those -- because it ties into the supply chief ties in to that DASF management. If you clerks aren't being trained on DASF management, you know, everyone graduates MOS school with an MOS, but it doesn't say that they're the subject matter experts. Problem is, is when they get on deck, you're the subject matter expert.

So if that gunny can't -- doesn't have time because he's dealing with an EO -- most EO complaints don't come one at a time, you know, they come, as, you know, kit and caboodle. So you have reps, but it it just always appeared as if he was the one that was doing it all, and then other training had to take place.

So that has always been my discussion with the commander, and even the new commander, I said, your staff. It's just that when it comes to an executive officer, and that was one thing that, you know, as a lieutenant colonel briefing the

commanding general, I had to direct what I thought was important enough in the conversation, in the MRB so that the more and more he hears it, the more and more is important to him, too.

So my drive was, sir, the executor officers need to drive the material readiness brief, not the -- it is great that CO is there, but everybody is gonna give the CO the pretty. This is what it's looked like and the CO has got his mind on everything else. But it needs to be that XO, who many of the other regiments caught on and did it exceptionally well, the XOs have to drive that meeting.

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)): Okay. So 3rd AA Battalion being, kind of, unique in the fact that they have a lot of ordnance vehicles and they've got ordnance officers and ordnance chiefs and stuff like that, was there the same type of issues on that side of the equation when it -- We spoke a lot -- there's a lot of issues with supply, those types of things.

So looking at --

WIT: Maintenance folks.

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)) : -- ordnance maintenance, you know, as far as these LREs and the FSMAO is concerned, was it the same type of environment?

WIT: I have to speak when it comes to the maintenance

officers, when it comes to tracks, and/or LAVs and/or tanks, again, these are foreign to me. So as the material readiness officer, I have to get on a treadmill and read publications just to understand. Now, you can ask me, you know, what does an MMO do? I'll say, have you read 4790.2, period. That's your Bible.

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)): Right.

WIT: So if it comes to tracks, I'll type in and Marine Corps order and AAV, or a T&R and AAV, and I'll find your MOS, you know, the tracks MOS. I'll read and that's my hourlong treadmill walk. That's how I get an understanding. But to get more in-depth and a clear understanding, I have to go to those maintenance officers and the folks that actually work on those vehicles.

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)): You have an ordnance and maintenance officer in the division staff?

WIT: We had the division staff, absolutely. And Joe **Sizes is -- he's a very good ordnance officer also, and he -- it took me a while to realize, Okay, stop going to the unit. Go to this guy who is on staff and he kept pretty much help me.

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)): Yeah. I just ask because I'm just curious to see what that relationship -- if there's all these issues here, are we having the same issues on the ordnance

maintenance side of the house, and is there a relationship problem that is playing into there?

WIT: I would say when it comes to the staff, the G staff and the units, I have never in the 32 months that I've been here heard or seen any disgruntled this between the division staff and the battalion staff. We've worked fairly well. Of course, in the LRE out briefs or the FSMAO out briefs, you know, you can see, you know, some collars steaming a bit, because, I mean, they're passionate about what it is that they do.

And again, I'm not in the trenches. So I don't know everything that they're dealing with on their TEEP. You know, pretty much most of, you know, outside of infantry battalions, most units, stand alone battalions are the busiest unit from their perspective in the division. You know, CLB will say the same thing. Tanks used to say the same thing and everyone has their spiel.

Now, looking at the numbers, I can see that tracks just because they're overages. It's like, Wow, how do UPMCS all of that? You know, how do you track all of that and make sure? Well, you have the admin storage program, maybe that can assist. But that's only a few vehicles. So there's a lot to consider there, and a lot to consider what they have on their plate.

And knowing that going to my ordnance officer and asking, why aren't the tracks, why aren't these -- Why do they have deadlines? And he's like, Well, sir, you know, part A and part B, are just parts that Marine Corps doesn't have access to anymore. You know, these folks don't make them anymore. So we're reaching out to PMIs, not PMIs, but PM, you know, AAV, to find out what their solutions are. But other than that, you know, the Marines, they are going turn wrenches, they are going turn wrenches. It is just having the stuff that they need to do it, and, plus, up-armored.

You know, these are AAVs were built to have a certain capability, but now we're adding more weight to them. We're adding more holes and challenging the integrity of the vehicle itself to conduct the mission that it was built to do.

IO (CWO5 ^{(b)(3), (b)(6), (b)(7)(c)}): Anybody you recommend that we talk to or policy that we look at to --

WIT: You mentioned a policy, I want to make sure I get that to you.

IO (CWO5 ^{(b)(3), (b)(6), (b)(7)(c)}): Oh, the ASP?

WIT: Yeah. Division admin storage program. I'll get that for you..

IO (CWO5 ^{(b)(3), (b)(6), (b)(7)(c)}): All right.

WIT: Okay. You can speak to our ordnance officer, Major
(b)(3), (b)(6), (b)(7)(c) ; (b)(3), (b)(6), (b)(7)(c) . He's a wealth of knowledge. He's
going to be like me here and is leaving this summer, so.

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)) : Is there a -- outside of, like, the
MEU LOI, is there any kind of division policy on conducting these
SLAP inspections?

WIT: We have an LRE policy, division policy, that's still
being signed. We have the old one, but we also have a new one
that's --

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)) : But nothing specific to a SLAP
inspection, pre chop --

WIT: When you say "SLAP"?

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)) : For the pre-chop, joint LTI, is that
what the policy is?

WIT: Well, the joint LTI was usually pushed out by the MEG.

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)) : Yeah.

WIT: The only concern I had with the MEF is they were only
inspecting the mission essential equipment, which the AAVs fall
in. And I was like, Well, what about the all the other stuff?
And it's like, Well, no, we don't do that.

So my policy or my drive push to XO was whatever the
MEF doesn't inspect, we will inspect.

IO (MGySgt (b)(3), (b)(6), (b)(7)(c)): That's interesting.

IO (CW05 (b)(3), (b)(6), (b)(7)(c))): So for that composite the joint LTI, they were only inspecting mission essential equipment?

WIT: The MEF only inspect -- now, the MEF could be, MEF says, Okay, now put a team together, Division, give us this person, MLG give us this person, but that equipment that wasn't inspected by the MEF team, everything was gonna get a JLTII.

Because the issue that we've had in the past is that you used that equipment during a deployment, and then you come back several months later, like, Oh, this stuff is broke. When did it break? It broke during the MEU. Yeah, during the MEU. Well, did you identify that? Well, no.

So it was like, no, we need stop doing this. So we're going to do JLTIs internally.

IO (CW05 (b)(3), (b)(6), (b)(7)(c))): Awesome. We'll reach out to (b)(3), (b)(6), (b)(7)(c), to Major (b)(3), (b)(6), (b)(7)(c), and I think that's it.

I really appreciate your time, sir.

WIT: No worries. No worries at all. Anytime. Anything you need.

[The investigative interview closed at 1342, 14 April 2021.]

I, CWO5 (b)(3), (b)(6), (b)(7)(c), attest that the preceding transcript is a true and accurate verbatim account of the interview of LtCol K. Sargent held on 14 April 2021.

(b)(3), (b)(6), (b)(7)(c)

(b)(3), (b)(6), (b)(7)(c)

CWO5, USMC