UNITED STATES ARMY INSPECTOR GENERAL SCHOOL

THE INSPECTIONS GUIDE

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The Inspections Guide
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Summary of Change

This version of The Inspections Guide supersedes the June 2010 guide. The major changes included in this version are as follows:

- Minor grammatical and other corrections throughout the guide.
- Changes to the footers to align the format with the requirements of AR 20-1.

Chapter 1

Overview

Section 1-1 - Introduction

Section 1-2 - A Change in Inspection Approach

Section 1-3 - Evolution of Modern Inspection Policy

Section 1-1

Introduction

1. **Purpose:** The purpose of this guide is to help inspectors at all levels within the Army prepare, conduct, and complete effective inspections. The U.S. Army Inspector General Agency's Inspector General School uses this guide to teach inspections -- and the inspections process -- to prospective Inspectors General. However, inspectors not assigned to Inspector General duties may use this guide to conduct inspections throughout the Army. This version of The Inspections Guide replaces the April 2006 version.

2. **Army Regulation 1-201, Army Inspection Policy:** This guide supports and reinforces Army inspection policy as found in the current version of Army Regulation 1-201.

3. **Proponent:** The Department of the Army Inspector General Training Division (SAIG-TR) is the proponent for this guide. If you have suggestions for improving or refining this guide, please send them to The Inspector General School (ATTN: SAIG-TR), 5500 21st Street, Suite 2305, Fort Belvoir, Virginia 22060-5935. You may also call the U.S. Army Inspector General Agency's Inspector General School at (703) 805-3900 or DSN 655-3900.

4. **Updates:** The U.S. Army Inspector General Agency's Inspector General School will update this guide periodically or as necessary. The school will send update notices to all Army Command (ACOM), Army Service Component Command (ASCC), and Direct-Reporting Unit (DRU) IG offices for further dissemination to all Army IG offices. Refer to the date in the upper right hand corner of each page of the guide to determine if you have the most current version.

5. **Format:** The first three chapters of this guide (Chapters 1 through 3) explore the evolution of modern Army inspection policy, key terms and policies, and the basic approach to all inspections. Chapter 4 explains in detail the IG Inspections Process and discusses how this process can apply to all inspections throughout the Army. Chapter 5 discusses how a battalion and a division can develop an Organizational Inspection Program. Chapters 6 and 7 offer some considerations for conducting inspections in the Reserve Components and in TDA organizations. Chapter 8 addresses Inspector General Inspections and guidance on how to conduct Compressed Inspector General Inspections. Appendices A and B cover Special-Interest Items (SIIs) and provide a sample format for a final inspection report. Appendix C discusses electronic document review considerations, Appendix D addresses the development of checklists for General Inspections, and Appendix E explains how to select and train temporary assistant Inspectors General.

6. **Format for Sample Memorandums:** This guide contains numerous sample memorandums that generally adhere to the format requirements outlined in Army Regulation 25-50, Preparing and Managing Correspondence. However, in an effort to save space and paper, some of the required font sizes and spacing have been compressed. Refer to Army Regulation 25-50 for the precise format specifications.

Section 1-2

A Change in Inspection Approach

1. **Purpose:** This section explains the establishment of the Inspector General task force and the changes to Army inspection policy that resulted from this effort.

2. **The Inspector General Task Force:** On 6 March 1991, The Inspector General (TIG) of the Army commissioned a task force to review, revise, and re-publish Army policy on inspections. Soon after creating this task force, TIG expanded the scope of the group's efforts to include a revision of Army Regulation 20-1, Inspector General Activities and Procedures, and the development of doctrine for the role of the IG in both peace and war. TIG directed that the task force "focus on an Army Inspector General System [that emphasized] the Army vectors: Reshaping, readiness, and contingency operations." TIG expressed the following concerns:

a. "The term 'inspection' has accumulated connotations unfavorable in the view of many Army officers and NCOs. A need exists to identify how inspections can be conducted in a manner free, or nearly free, of unfavorable connotations" [emphasis added].

b. "Definitely needing attention is the role of the staff."

c. "The command inspection process requires further institutionalization, particularly in reserve component units. It should be articulated in a manner adequately flexible to meet both active and reserve component commanders' needs. Also, what the command inspection should be as an expectation of commanders at brigade level and above should be reassessed."

d. "Inspector [G]eneral inspections require [an] explanation relative to inspections generally and to command inspections in particular."

e. "IGs can best support and assist their commander[s] by assessing training and its impact on readiness. Our IG system is especially well suited to support the command, Soldiers, and mission by orienting on assessments of training and readiness. Therefore, IGs will develop and implement policies which demonstrate a full commitment to these vital areas."

3. **The Result:** This guidance and the task force's efforts codified the shift in Army inspection policy that began with LTG Richard Trefry's tenure as TIG (1977-1983); this shift has allowed Army inspections to evolve into the methods and processes that we use today. The principal change that resulted from this task force was an approach to inspections that holds true today: Inspections should not be punitive in nature but should seek to help commanders find problem areas and make the necessary corrections. Inspections no longer became something to dread but instead became a mechanism that encouraged improvement and problem solving.

Section 1-3

Evolution of Modern Inspection Policy

1. **Purpose:** This section explains the evolution of Army inspection policy in recent history so that IGs and inspectors can understand how Army inspection policy came to exist in its present form.

2. **The Progression of Inspection Policy.** Inspections comprised a vital part of military procedures long before the fight for independence sparked the Revolutionary War in 1775. Before the 1980s, IG inspections focused on units and had become the single most important inspection that a unit would undergo. But in the early 1980s, The Inspector General, LTG Richard Trefry, identified several problems. First, IG inspections had become such a major event that many people believed that the IG's Annual General Inspection (AGI) sufficiently replaced the need for commanders to inspect. Second, no one was inspecting the systems and functions that permeated throughout all command echelons of the Army. Unit-oriented inspections continued to uncover deficiencies that were beyond the unit's ability to correct. These problems were systemic in nature. In an effort to correct these two major problems in the inspection system, LTG Trefry began to change inspection policy and doctrine.

a. **Command Inspection Program (CIP).** When Army Regulation 1-201 was first published in 1986, this document introduced the concept of "Command Inspections" and placed them within the context of a "Command Inspection Program." This program clearly established the fact that inspections were a commander's -- and not an IG's -- responsibility. The Army leadership believed that commanders had come to rely on the AGI as the primary method of assessing their unit's strengths and weaknesses. The Command Inspection Program (CIP) sought to remedy this problem. In effect, the CIP became the first generation of a structured inspection policy.

b. **Organizational Inspection Program (OIP).** The 1989 revision of Army Regulation 1-201 subsequently placed the Command Inspection within the context of a larger, more comprehensive program called the Organizational Inspection Program (OIP). The OIP had three major components: Command Inspections, Staff Inspections, and IG Inspections. However, few leaders within the Army understood this integrated concept of organizing all inspections within the realm of one overarching inspection program. By 1991, most units had written and implemented some form of CIP but had failed to modify that CIP to fit the new OIP policy -- the second generation.

c. **Organizational Assessment Program (OAP).** In 1988, the Army published FM 25-100, Training the Force. This manual reaffirmed the importance of effective training management. Leaders at all levels throughout the Army read the manual but failed to notice a new concept included in the publication. The manual encouraged commanders to develop an "Organizational Assessment Program." According to FM 25-100, the Organizational Assessment Program (OAP) consists of many information sources -- from personal observations to FTX after-action reviews to marksmanship scores. More importantly, the manual listed inspections of varying types as sources of evaluation data. The OAP did not replace the OIP but instead grouped the OIP with other potential sources of information a commander could use to assess unit

readiness. In October 2002, FM 25-100 was revised and re-published as FM 7-0; however, the requirement for commanders to have an OAP remained unchanged (see Chapter 6 of FM 7-0).

d. **IGs and Inspections.** The 1989 version of Army Regulation 1-201 encouraged IGs to stay away from General Inspections and to concentrate on Special Inspections. The 17 May 1993 version of the regulation eliminated that restriction and emphasized that commanders may tailor inspections to fit the mission and the resources available.

e. **The Inspections Process.** The process for selecting an inspection had been part of the Inspections Process. However, the inspection-selection process and the Inspections Process have become two separates processes. Likewise, the Inspections Process became a linear activity rather than a cyclic process.

3. **Inspections Today.** These changes in Army Inspection Policy over the past several years -- combined with the results of the IG Task Force of 1991 -- have shaped the approach and methodology to inspections that exist today. Inspections today focus on identifying and solving problem areas that affect readiness Army-wide; inspections do not focus on punitive measures against leaders at any level. The term "black hat" -- as applied to previous inspectors who focused on what was wrong with an eye on grading a commander or leader -- no longer exists in IG parlance.

Chapter 2

Policy and Terminology

Section 2-1 - Inspections Publications

Section 2-2 - Key Terms

Section 2-1

Inspections Publications

1. **Purpose:** The purpose of this section is to review all regulations and publications that apply to Army inspections.

2. **Three Key Inspections Publications:** The Army's inspection policy and doctrine exist in three principal documents. Two of these documents are regulations while the third, a user's guide, is only a reference tool and not a policy document. The three publications are as follows:

a. **Army Regulation 1-201, Army Inspection Policy.** This regulation is the principal document for Army inspection policy and complements the inspection guidelines outlined in Army Regulation 20-1. The regulation:

(1) Identifies five principles that apply to all Army inspections (Chapter 2, paragraph 2-2). These principles state that all inspections must be:

(a) Purposeful to accomplish a specific function. Inspections must be related to mission accomplishment and tailored to meet the commander's needs. All inspections begin with an evaluation against a recognized standard.

(b) Coordinated to avoid duplication and complement -- or make whole -- other inspection activities. Proper coordination minimizes the inspection burden on subordinate organizations.

(c) Focused on feedback by providing the commander with a written or verbal report of the inspection that identifies root causes, names strengths and weaknesses, implements corrective actions, and leads to the sharing of inspection results.

(d) Instructive to bridge gaps in knowledge and experience through teaching and training.

(e) Followed up to ensure that corrective actions have occurred that fixed the problem areas identified in the inspection report.

(2) Defines inspection terms and inspection concepts.

(3) Offers broad guidance for all echelons on how to plan and conduct inspections. *Remember: Inspections are a command responsibility!*

(4) Establishes requirements for the Organizational Inspection Program (OIP).

(5) Urges the integration of inspections to avoid needless duplication and to minimize the disruption of planned training. *This task requires more than simply monitoring an inspection schedule! Review the purpose and objectives of all proposed inspections as well!*

b. **Army Regulation 20-1, Inspector General Activities and Procedures.** This regulation applies to Inspectors General, but key portions of the regulation provide inspections guidance.

(1) Chapter 1 directs IGs to follow up inspections to evaluate the adequacy of the corrective action taken (paragraph 1-4 b (3)(c)), review Internal Control responsibilities in accordance with Army Regulation 11-2 (paragraph 1-4 b (8)), and perform Intelligence Oversight of intelligence activities in accordance with Army Regulation 381-10 (paragraph 1-4 b (3)(a)).

(2) Chapter 1 further charges The Inspector General with teaching "Army policy, procedures, systems, and processes to help inspected activities improve operations and efficiency and accomplish command objectives" (paragraph 1-4 a (6)(a)).

(3) Chapter 4 covers the Inspector General Teaching-and-Training Function.

(4) Chapter 5 covers the Inspector General Inspections Function and the Inspections Process.

c. **The Inspections Guide.** This guide represents IG Inspections doctrine and does not prescribe Army inspection policy. The guide is a training resource for Inspector General students attending The Inspector General School (otherwise known as TIGS) and those individuals who are not Inspectors General but who are conducting Army inspections. The guide contains:

(1) Guidance on how to establish an Organizational Inspection Program (OIP).

(2) A step-by-step process for conducting a Special Inspection using the IG Inspections Process. This process can apply to any type of inspection. However, the guide covers the Inspections Process from the IG's perspective.

Section 2-2

Key Terms

1. **Purpose:** The purpose of this section is to review the key terms that apply to Army inspections.

2. **Inspection:** Army Regulation 1-201 defines an inspection as follows: "An evaluation that measures performance against a standard and that should identify the cause of any deviation. All inspections start with compliance against a standard. Commanders tailor inspections to their needs" (Glossary, Section II).

3. **Organizational Inspection Program (OIP):** The OIP is a commander's and State Adjutant General's program that integrates and coordinates Command Inspections, Staff Inspections, and IG Inspections within the command or state. The three major purposes of the OIP are as follows:

a. Reduce the disruption of training and other important activities.

b. Reinforce established inspection standards.

c. Teach and train those individuals and units found to be deficient (Glossary, Section II).

The OIP should also coordinate and integrate internal and external audits, external inspections, and Staff-Assistance Visits (SAVs). The basic goal of the OIP is to minimize the duplication of inspections to spare training time while still allowing commanders at all echelons to benefit from the feedback produced by these inspections. All inspections should complement and build upon battalion-level OIPs since the battalion forms the basic building block of the OIP concept. The IG may serve as the commander's proponent for the OIP, but the commander should designate an overall OIP Coordinator such as the deputy commander, executive officer, or operations officer. Scheduled inspections should appear on both the short- and long-range training calendars.

4. **Inspection Categories:** Army inspection policy contains three primary inspection categories. These categories are as follows:

a. **Command Inspection:** The Command Inspection is the commander's primary inspection mechanism starting with the battalion and then up through all echelons of command. The commander conducts the inspection within his or her command and determines the inspection topic, the scope of the inspection, and the composition of the inspection team (Glossary, Section II). At a minimum, the commander must participate directly in the inspection through activities such as in-ranks inspections, barracks inspections, interviews, and so on. The commander must also be involved in the results and feedback process with the inspected unit or commander. The Command Inspection has two sub-categories as follows:

(1) **Initial Command Inspections:** Initial Command Inspections (ICIs) are inspections required for every new company-, troop-, battery-, or detachment-level

commander. The incoming commander must receive the ICI within 90 days of assuming command for active-duty units and 180 days for Army National Guard and Army Reserve units (AR 1-201, paragraph 3-3 c). The ICI ensures that the company commander understands the unit's strengths and weaknesses. The company commander's rater -- the commander who hosted the ICI -- should use the inspection results to help set goals for that new company commander. The senior commander cannot use the ICI results to evaluate the company commander or compare units. The new company commander is the only one who receives the results; however, the IG may request a copy of a generic, non-attributive set of the results to look for any patterns and trends.

(2) **Subsequent Command Inspections:** Subsequent Command Inspections (SCIs) occur after the Initial Command Inspection (ICI). The purpose of this inspection is to measure the progress of corrective actions taken since the ICI. Unlike the ICI, the senior commander may use the SCI results to evaluate the company, troop, battery, or detachment commander. Commanders will conduct SCIs following all initial command inspections and not later than one year after completion of the new commander's ICI. In the Army National Guard of the United States and the U.S. Army Reserve, subsequent command inspections will take place, but the timing will be at the discretion of the inspecting commander.

b. **Staff Inspections:** Unlike Command or IG Inspections, staff principals are the individuals who plan and execute Staff Inspections. Staff Inspections focus on functional areas, and the individual at the lowest echelon of that staff section who is technically qualified conducts the inspection. Staff Inspections must complement Command and IG Inspections and -- when possible -- should be combined with them. Staff Inspections are normally compliance-oriented inspections that seek to determine another unit or staff section's adherence to the standards established for that particular functional area. Like Staff-Assistance Visits (SAVs), Staff Inspections should try to focus on teaching and training as much as possible.

c. **Inspector General Inspections:** Detailed and Assistant Inspectors General can lead, plan, execute, and complete IG Inspections. IG inspections focus on systemic issues that affect many units as opposed to unit-oriented inspections, which tend to focus on the general health of one unit. IG Inspections seek out the root causes of problems and then assign responsibilities to those individuals or agencies that can fix the problems. Special Inspections lend themselves to this particular focus. The IG is not the tasking authority that charges agencies and individuals to fix problems; instead, the IG monitors the correction of problems to ensure final completion and rectification.

5. **Types of Inspections:** Three types of inspections exist that can apply to each of the three inspection categories (Command, Staff, and IG Inspections). These inspection types are as follows:

a. **General Inspection:** This type of inspection is broad in scope and normally focuses on units. General Inspections focus on all aspects of a unit or organization's activities and functions. This type of inspection tends to be compliance-oriented to determine if the unit or organization is adhering to current policies and regulations. The basic goal of a General Inspection is to assess the unit or organization's ability to accomplish its missions.

b. **Special Inspection:** This type of inspection focuses on a single topic such as a functional area, program, problem, or issue. Special Inspections facilitate the systemic approach and are the preferred types of inspections for IGs. The scope of the problem must be narrow, and the issue should affect several units or organizations. IGs use this type of inspection to follow leads (cross-walking) and to transfer problems and issues that are beyond the command's ability to fix to a higher headquarters for correction (hand-off).

c. **Follow-up Inspection:** The Follow-up Inspection may follow either a General or Special Inspection. Follow-up Inspections look at the effectiveness of corrective actions taken since the last inspection occurred. This type of inspection is also an Army inspection principle that many commanders often neglect. This type of inspection closes the inspection loop and ensures that the time and resources expended in an earlier inspection were put to good measure.

6. **Quick-Look Inspections:** Quick-Look inspections do not exist. Quick-Look Inspection is a term often used in the field to describe an inspection that must follow a compressed timeline or examine a narrowly defined topic. A Quick-Look Inspection is neither an inspection category nor an inspection type but is simply a term that surfaced years ago when IGs in the field attempted to describe -- or categorize -- a short-fused inspection that had to occur immediately. Some IGs have even described Quick-Look Inspection programs designed to look at some very narrow topics in a short period of time. In any case, Quick-Look Inspection is an unofficial term. A 'special' Inspections Process does not exist for Quick-Look Inspections. IGs still use the same Inspections Process outlined in this guide for compressed inspections; however, the IGs may have to skip parts of some steps -- or some steps entirely -- to facilitate the shortened timeline.

7. **Compressed Inspection:** A Compressed Inspection is an IG Inspection that takes into account resource and time constraints. The Commander may require the inspection results quickly in order to make an informed, timely decision about a pressing matter that may affect the readiness of a command or unit that is deployed and possibly engaged in an operation. The IG will still follow the IG Inspections Process but will carefully compress or tailor certain steps in each phase to expedite the inspection without putting the validity of findings and recommendations at risk.

8. **Compliance Inspection**: Compliance inspections in IG parlance are actually General Inspections (see paragraph 5 a of this section), but General Inspections are often best described as compliance-oriented. IGs don't normally use this term except to describe General Inspections. By definition, a compliance inspection is an inspection that focuses solely on a unit's or organization's compliance with a specified standard or series of standards. This inspection approach presumes that the established standards are correct but does not preclude the inspector from determining the root causes of non-compliance—even if those root causes are matters that exceed the unit's or organization's ability to correct at the local level. Command and staff inspections are generally compliance inspections by nature.

9. **Staff Assistance Visits (SAVs):** Staff Assistance Visits are not inspections but fall within the realm of Staff Inspections. Staff sections conduct Staff Assistance Visits to assist, teach, and train subordinate staff sections on how to meet the standards required to operate effectively within a particular functional area. SAVs can occur at the

discretion of the commander, or a staff principal at any level can request a SAV from the next higher staff echelon. Staff Assistance Visits can prepare staff sections for upcoming inspections or train staff sections on new concepts, technologies, or operating techniques. SAVs do not produce reports but instead provide feedback only to the staff section receiving the assistance.

10. **Cross-walking:** The purpose of cross-walking is to verify the accuracy of what you saw, read, or heard during an inspection. This process occurs during inspections or while analyzing inspection results. This pursuit of the truth may lead you vertically (up the chain of command) or horizontally (across command lines). Cross-walking may entail nothing more than a phone call or visit to a person or agency that can back up your inspection results. Be sensitive when crossing command lines and try to coordinate through the other command's IG office.

11. **Finding Statement**: A finding statement is a single, well-focused, well-structured sentence that captures the true essence of the finding. This sentence must be able to stand alone. You will base your finding statement (or statements) on the preponderance of information you gather about a particular Sub-Task.

12. **Hand-off:** Handoff is the transferring of a verified finding to an agency or command (generally of a higher level) that can correct the problem. Handoff may occur vertically up the chain or laterally across command lines. The finding must be beyond the current command's ability to correct (such as two Department of the Army-level regulations conflicting with each other). The hand-off may occur through command channels or IG technical channels using a transmittal letter signed by the commander or -- if authorized -- the IG. IG offices that receive hand-offs from subordinate commands should treat the hand-off as an assistance request and complete a DA Form 1559 (IGAR).

13**.** **In-Process Review (IPR):** The IPR is an inspection team's principal forum for sharing information, identifying patterns and trends, and developing feedback to provide to units. The IPR is an organized meeting of inspection team members led by the team leader, who follows an established agenda. The purpose of an IPR may vary in two ways. An inspection team that meets after all inspection visits have occurred may want to share information to identify patterns and trends for analysis. An inspection team that meets immediately after an inspection visit at a unit or organization may want to share information to develop immediate out-briefing feedback for the unit's leaders.

14. **Root Cause:** The root cause of a problem or issue is the reason why something was deficient. Finding the root cause of a problem is part of all Army inspections regardless of category or type. IGs traditionally conduct Special Inspections focused on systemic issues that have one or more root causes. IGs use the Root Cause Analysis Model to guide their efforts in determining why a problem exists. Once determined, the root cause forms the basis for an IG's recommendations. These recommendations fix responsibility and charge an individual or agency with correcting the problem. The Root Cause Analysis Model is equally effective for inspectors at all levels when seeking the root cause of a deficiency.

15. **Standard:** The way something should be as outlined in Army policies, regulations, doctrine, published orders, or standing operating procedures.

16. **Tasker:** Taskers are actual taskings by the command to the proponents -- those individuals, agencies, or units named to implement IG Inspection Report recommendations. Once the commander (or directing authority) approves an IG Inspection Report, all recommendations become taskers that the IG must now monitor but which are the command's responsibility to supervise. Operations staff sections (S-3, G-3, etc.) normally assign tracking numbers and suspense dates to taskers. See Section 4-4, Step 13, for a further explanation of the IG's role in taskers.

Chapter 3

Approaches to Inspections

Section 3-1 - Inspection Approaches

Section 3-2 - Basic Elements of an Inspection

Section 3-3 - Root Cause Analysis Model

Section 3-4 - The Inspection Selection Process

Section 3-1

Inspection Approaches

1. **Purpose:** The purpose of this section is to discuss the two basic approaches to inspecting that are available to all Army inspectors.

2. **Two Inspection Approaches:** An Army or IG inspector can choose to approach an inspection in two basic ways: as a structure or as a system. Both approaches are equally important, and one approach is no better than the other. However, one particular approach may be more appropriate in certain instances.

a. **Structural Approach:** A structure is comprised of elements and sub-elements like a battalion or the human body (see Figure 1). A structural approach to an inspection will help an inspector determine how these elements relate to each other, where their boundaries rest, and where their responsibilities overlap. A General Inspection is the most appropriate type of inspection when selecting the structural approach. Command Inspections are normally General Inspections that focus on the overall health of an organization.

Like a human body during a medical examination, the doctor checks the heart, lungs, stomach, and so on to assess the inter-related functions of each organ to ensure their smooth performance. This smooth performance ensures the overall health of the human body. If one organ is not well, then the entire body will suffer.

Likewise, an inspector looks at the overall health of an organization by examining all staff functions, which operate like organs in a human body. If one staff function (like the S-3 shop) is not working well, then the entire unit will suffer. If one part of the unit / body suffers, then the unit / body cannot accomplish its mission effectively. The inspector's focus is to ensure that the structure functions well by looking at all aspects in general.

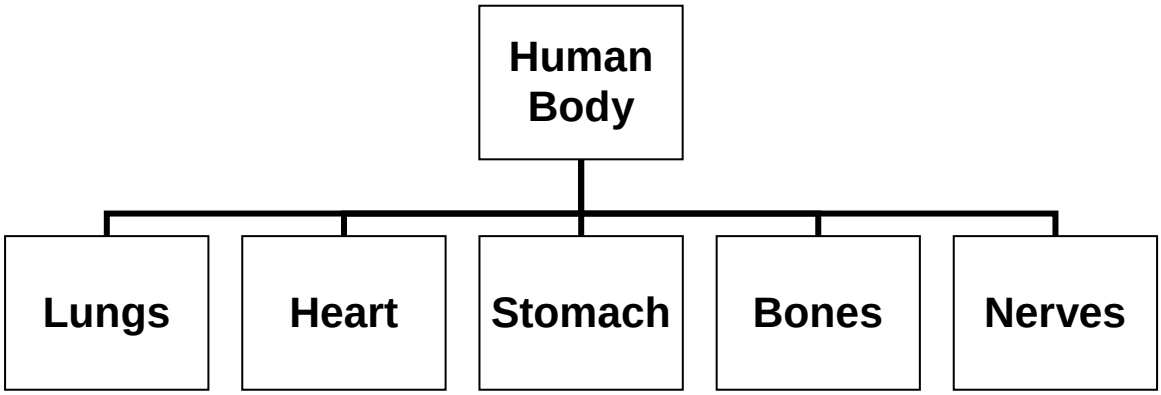


Figure 1

Structural Model

b. **Systems Approach:** A system is an activity that processes raw material (input) and transforms that material into something useful (output). That output may be goods or services -- or some other product. Systems tend to have self-correcting mechanisms (feedback) that help to adjust the input or process based upon changing conditions or standards (see Figure 2). The overall system is comprised of sub-systems that interact to create the output. In this sense, functional areas relate to systems. For example, a battalion (system) takes input (people and things), processes them through sub-systems (functional areas such as personnel, training, logistics, and maintenance) and produces an output (a combat-ready unit). The sub-system of personnel management has several sub-sub-systems such as in- and out-processing, awards, pay, and records management. Each of these areas is a function and could be inspected in a functional inspection.

Functional inspections based upon a systems approach tend to be Special IG or Staff Inspections that are narrow in focus and aimed at broader-based issues that affect more than one unit or structure -- or human body as mentioned in the previous example. IGs prefer this approach because the narrow scope allows them to take a systemic look at a topic, function, issue, or problem area and then determine the root causes of the deficiencies. Fixing the system -- or a particular system -- is the goal.

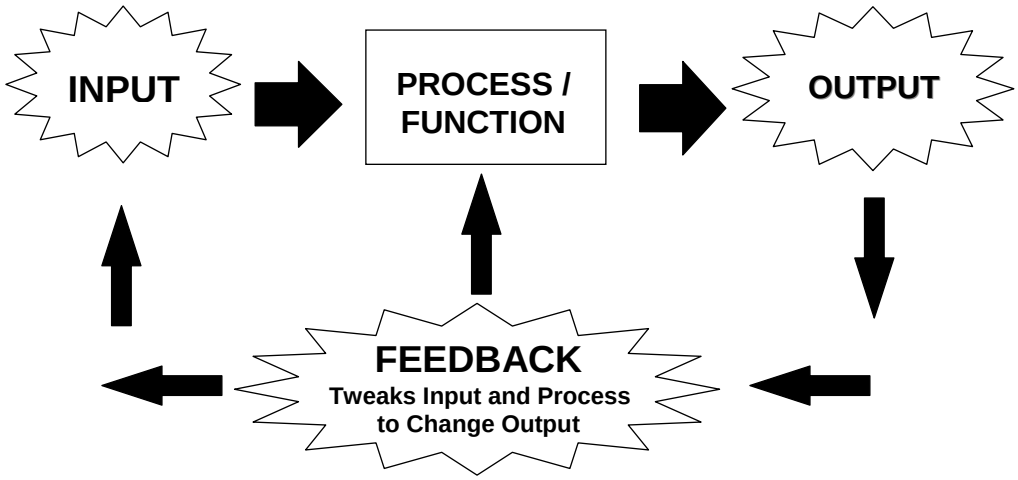


Figure 2

Systems Model

3. **Selecting an Approach:** An inspector can select one or both approaches to an inspection. Most inspections tend to follow one approach, but some inspections may compel an inspector to take both approaches. The Structural Approach means that the inspector must know everything about that unit before conducting the inspection. The inspector must understand lines of command and responsibility as well as how each part of the structure relates to the other. Likewise, the Systems Approach means that the inspector must not only understand how the system works but also what the correct output should be. Selecting the proper approach helps the inspector to understand the scope of the inspection effort and defines boundaries within which to conduct the inspection. As a general rule, IGs focus their inspection efforts on -- and are specifically trained to conduct -- inspections of systemic issues using the Systems Approach.

Section 3-2

Basic Elements of an Inspection

1. **Purpose:** This section discusses the five basic elements of an inspection.

2. **The Five Elements of an Inspection:** All inspections have one purpose: to provide feedback to commanders so that they can make decisions that will improve the Army. The focus must remain on measuring compliance against established standards to ensure that the Army -- as a whole -- can function effectively in its combat role. The notion of "black-hat" and "white-hat" inspections has no place in inspections parlance. In the past several years, leaders at all levels have oversimplified the notion that IGs conduct "white-hat" inspections that are not punitive in nature, thus solidifying the IG's reputation as the "good guy." This perception came at the expense of commanders, who felt that the "black-hat" -- or "bad guy" -- inspection role had been unfairly thrust upon them. This perception is incorrect. Instead, the focus shifted in the early 1990s from inspections that castigated leaders to inspections that focused on giving leaders useful feedback that helped them to improve their organizations. In a further effort to defuse this notion, Army Regulation 1-201 established 14 inspection principles (now reduced to five principles) that all Army inspections must follow. These principles support the <u>five basic elements</u> of an inspection. The five elements are as follows:

a. **Measure performance against a standard.** Inspectors should start by trying to determine compliance against a standard. The inspector should prepare ways to determine why the unit or organization failed to meet the standard. The best method is to ask open-ended questions of the individuals involved in an effort to get at the real meaning behind the non-compliance. <u>Avoid the strict use of checklists!</u> Reducing an inspection to a series of "yes" or "no" questions on a piece of paper is a trap that ensnares many inspectors -- even IGs! If you must use some form of checklist, ensure that you include follow-on questions that ask about the reasons behind the problem. A checklist will not help an inspector determine the root cause of a problem. See Appendix D for a further discussion of inspection checklists.

b. **Determine the magnitude of the problem.** Focus on the high-payoff issues that affect the unit or organization's readiness. Do not become mired in trivial issues such as poorly painted bumper numbers on tracked vehicles. Focus on the issues that count and that really affect the health and function of the organization. Wasting inspection resources such as time and manpower on trivial issues is not an effective inspections approach.

c. **Seek the Root Cause of the problem.** Use the Root Cause Analysis Model discussed in Section 3-3 to determine why the non-compliance exists. Seeking the root cause applies to all inspections and not simply Special Inspections conducted by IGs. A Battalion Commander should seek root causes as well when conducting an Initial Command Inspection (ICI) for a company.

d. **Determine a solution.** Examine the root causes that you discovered and use them to craft an effective and meaningful solution to the problem. Avoid short-term fixes. Instead, focus on achieving long-term and far-reaching solutions to the problems.

e. **Assign responsibility to the appropriate individuals or agencies.** The commander must receive a copy of the report with the inspector's findings and recommendations so that he or she may task the appropriate individuals or agencies with fixing the problems. The inspector must name those individuals or agencies in each recommendation. Be sure to name the correct person or agency; coordinate your findings and recommendations with these persons or agencies before giving your report to the commander. Your recommendations have meaning and effect only if the commander charges the right people with implementing them.

Section 3-3

Root Cause Analysis Model

1. **Purpose:** This section discusses and describes the Root Cause Analysis Model.

2. **Root Cause:** The root cause is the underlying reason why something happens or does not happen. An inspector can apply the Root Cause Analysis Model to any inspection category or type in an effort to determine why someone is complying -- or failing to comply -- with a particular standard. Inspectors should use the model not just to seek reasons for non-compliance but also to determine why something is going well. The inspector may find some good news that is worth spreading around.

3. **Two Forms of Root Causes:** An inspector will normally encounter two basics forms of root causes: Systemic Root Causes and Local Root Causes. Every problem has a root cause, but some root causes present a larger pattern while others are more localized.

a. **Systemic Root Causes:** When a problem is widespread and presents a pattern, the problem is likely to be systemic in nature. An inspector can often trace a systemic problem back to a regulation, policy, or standard that is confusing, overly ambitious, or in conflict with another standard. The proponents of these regulations, policies, or standards are the best ones to fix the problem. IGs normally seek systemic root causes when conducting Special Inspections.

b. **Local Root Causes:** When a problem is not widespread and does not present a pattern, the problem is likely to be local in nature. Local problems affect only one unit or a small group of individuals. The solution to the problem usually rests within that unit or group. Local root causes are often associated with a particular person's decisions, demeanor, or statements.

4. **The Root Cause Analysis Model:** The Root Cause Analysis Model represents an intellectual guide -- or framework -- that helps an inspector think through all of the reasons why something is happening or not happening. The model simply helps to structure the analytical process of determining what went right or wrong by posing a series of questions to the inspector in a particular form and sequence. The model appears below at Figure 1.

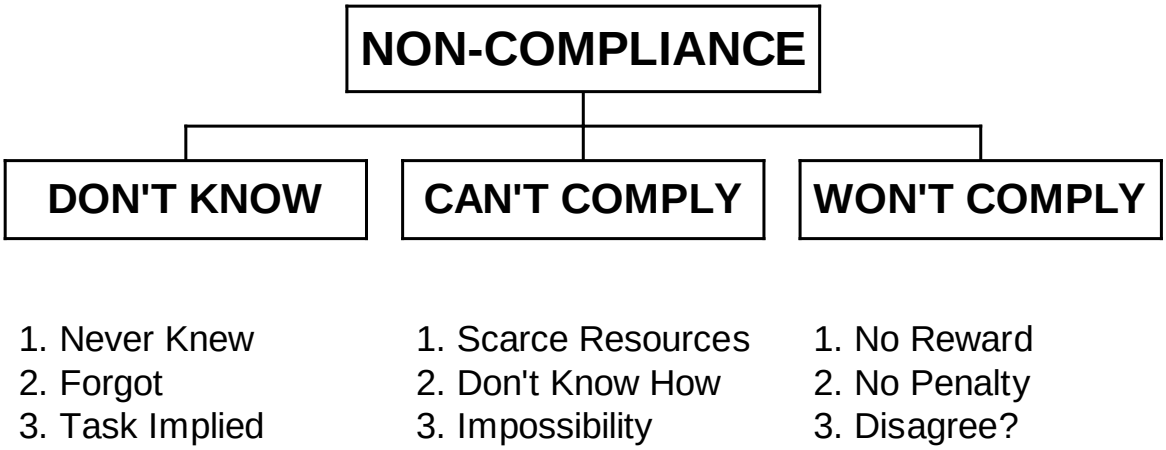


Figure 1

Root Cause Analysis Model

5. **Using the Model:** The Root Cause Analysis Model has three major headings: Don't Know, Can't Comply, and Won't Comply. Each heading includes three categories that the inspector can pose as questions. The inspector should start with the heading Don't Know and then ask questions one through three in sequence. For example, under the heading Don't Know, the inspector should ask, "Did the person or unit ever know about the requirement?" The information that the inspector gathered from interviews, sensing sessions, observation, and document reviews should lead him or her to a particular answer. The inspector should not stop upon finding an answer to a question. More than one reason may exist for compliance or non-compliance, so the inspector should follow the model all the way through.

a. **Don't Know**.

(1) **Never Knew:** Did the person or unit ever know about the requirement? A positive answer to this question usually means that some organization at some echelon failed to get the information down to the required level.

(2) **Forgot:** Did the person or unit forget about the requirement? A positive answer to this question usually suggests a local -- or personal -- problem and not a systemic problem.

(3) **Task Implied:** Was the task implied but the unit or person lacked the knowledge or experience to recognize the requirement? In organizations whose members are highly experienced, identifying and accomplishing implied tasks is second nature. But in organizations that suffer from rapid turnover and varying levels of experience, the leadership should compensate by providing more explicit guidance.

b. **Can't Comply**.

(1) **Scarce Resources:** Did the person or unit have the resources to accomplish the requirement? Many units often lack the resources to accomplish many of their assigned missions. The scarcest resources tend to be time and money. Part of the problem may be a conscious decision that a leader made concerning priorities. Before an inspector challenges a unit's priorities, the inspector must view and understand the bigger picture. The priorities the leader selected may be the right ones, but that fact does not mean that the inspector cannot question the decision.

(2) **Don't Know How:** Did the person or unit know how to meet the requirement? A negative response to this question might suggest a lack of training or experience. The resources may be available, but the unit or person simply lacked the knowledge to perform the task -- even if the unit or person knew about the requirement.

(3) **Impossibility:** Was the requirement impossible for the unit or person to perform? A positive response to this question suggests that training, resources, and knowledge of the requirement were there, but the unit or person found the task impossible to accomplish. A number of potential reasons may surface. Perhaps the task was overly ambitious and incredibly difficult to perform under any circumstances.

c. **Won't Comply**.

(1) **No reward:** Would the person or unit be rewarded for completing the requirement? Some people consciously decide not to comply with requirements that do not benefit them or their unit -- or are "dumb" in their estimation. Some people simply avoid difficult tasks. A disciplinary penalty may be involved in decisions of this nature.

(2) **No Penalty:** Would the person or unit suffer a penalty by failing to complete the requirement? Some units or individuals choose not to comply with what they deem to be "unsavory" tasks because no one will punish them for their non-compliance. Some people focus only on what keeps them out of trouble. Once again, a disciplinary penalty may be involved in a decision of this nature.

(3) **Disagree:** Did the person or unit disagree with the requirement? In some rare instances, individuals refuse to comply with a requirement that they think is "dumb" or "stupid." Sometimes they are correct, and sometimes they are not. Once again, a disciplinary penalty may be involved.

6. **Root Cause Analysis Model Flow Chart:** The flow chart shown below at Figure 2 offers a more visual representation of the root cause thought process.

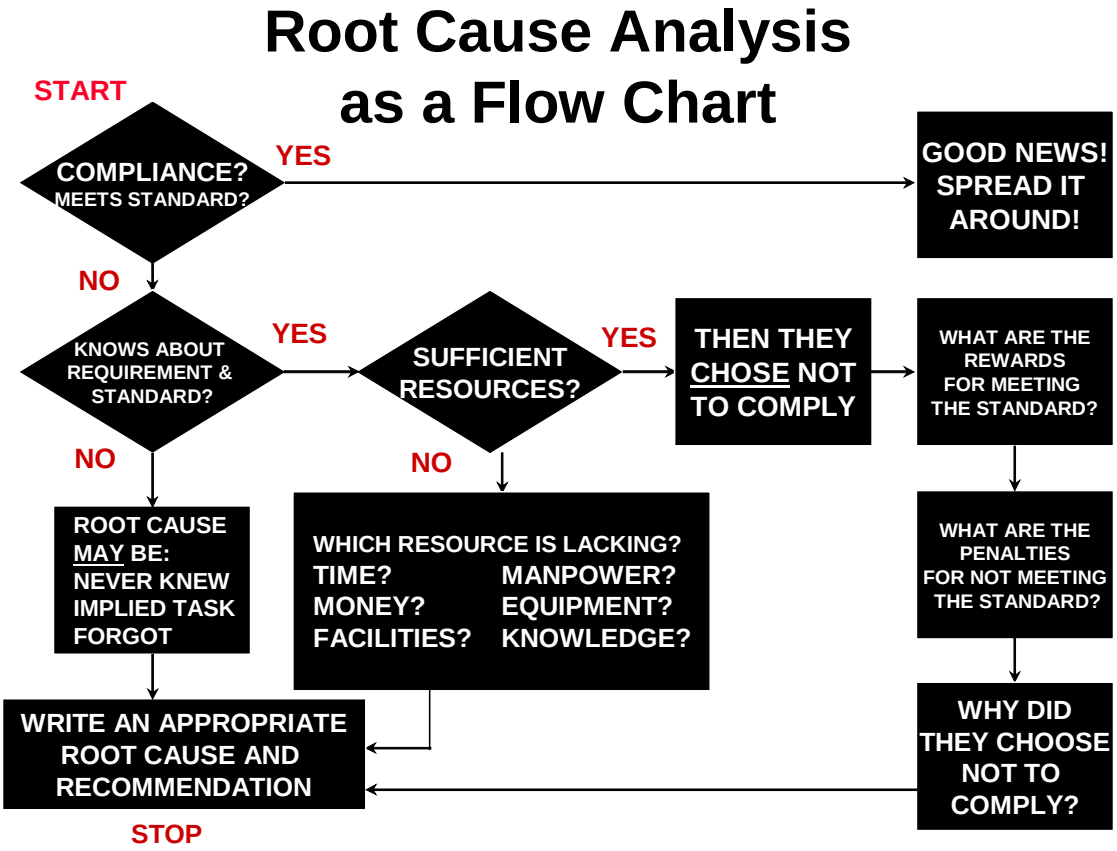


Figure 2

Root Cause Analysis Model Flow Chart

7. **Five-Why Analysis:** If IGs are making any assumptions while employing the Root Cause Analysis Model, further analysis or verification may be necessary to strengthen the model's conclusions. The *five-why analysis* is an extension – or subsequent stage – to our Root Cause Analysis Model. This technique allows the IG to dig deeper and confirm that one or more of the root-cause reasons of Don't Know, Can't Comply, or Won't Comply caused the problem by asking the question "Why?" five times. There is nothing magical about the number five because it is only a guide; sometimes the IG team will find the root cause by asking a question only two or three times, or it may take six, seven, or more iterations.

a. Three steps compose the five-why analysis process:

Step 1: Begin with a problem statement. The IG considers the problem in a simple and brief way without assigning blame or assuming the answer. If the issue is

complex, be sure to define the scope of the problem, i.e., what is included and what is not. A good problem statement may be "NBC equipment is overdue calibration".

Step 2: Ask "why?" until you find the answer. The IG begins by asking "why?" to the problem statement. Then, while staying focused on the original problem statement, the IG asks "why?" to each subsequent response (or cause). If there are multiple causes suggested by the inspected units, develop each branch and sequel until you identify the root cause.

Step 3: Identify the root-cause category. The IG labels the root cause(s) as one of the three corresponding categories under the Root Cause Analysis Model – Don't Know, Can't Comply, or Won't Comply. The IG should then compare the results of the five-why process to the original Root Cause Analysis Model results to ensure the identified root cause was not just a symptom of the problem. Using the mock problem listed in Step 1, the following diagram (Figure 3) illustrates a simple example of the five-why analysis:

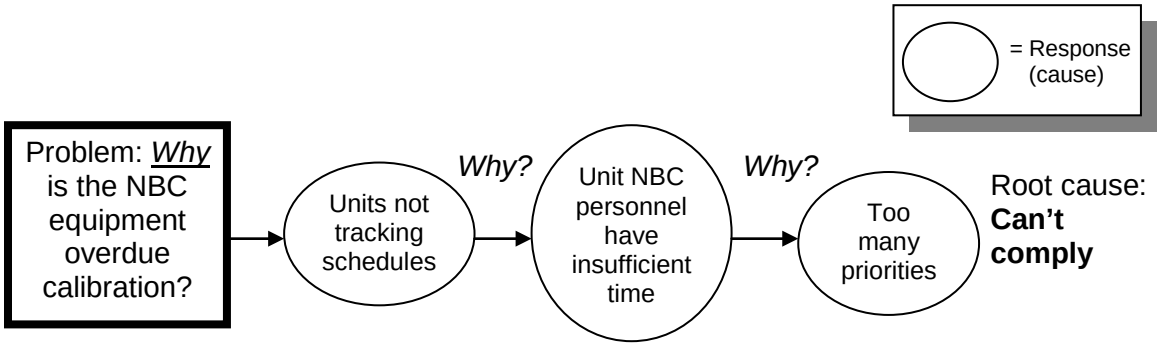


Figure 3

Simple Example of Five-Why Analysis

b. When the problem is more complex, the inspection information may lead to multiple streams of responses (branches). Under Step 2, the IG fully develops each branch and sequel of responses to the "why?" questions. Under Step 3, the IGs associate the final response to *each* branch with an appropriate root-cause category. The IG then takes the additional step of distinguishing which of the causes represents the *primary* root cause of the central problem statement and which causes represent possible *symptoms* of the problem. Figure 4 below depicts a more complex example of the five-why analysis with multiple branches and sequels to the central problem statement:

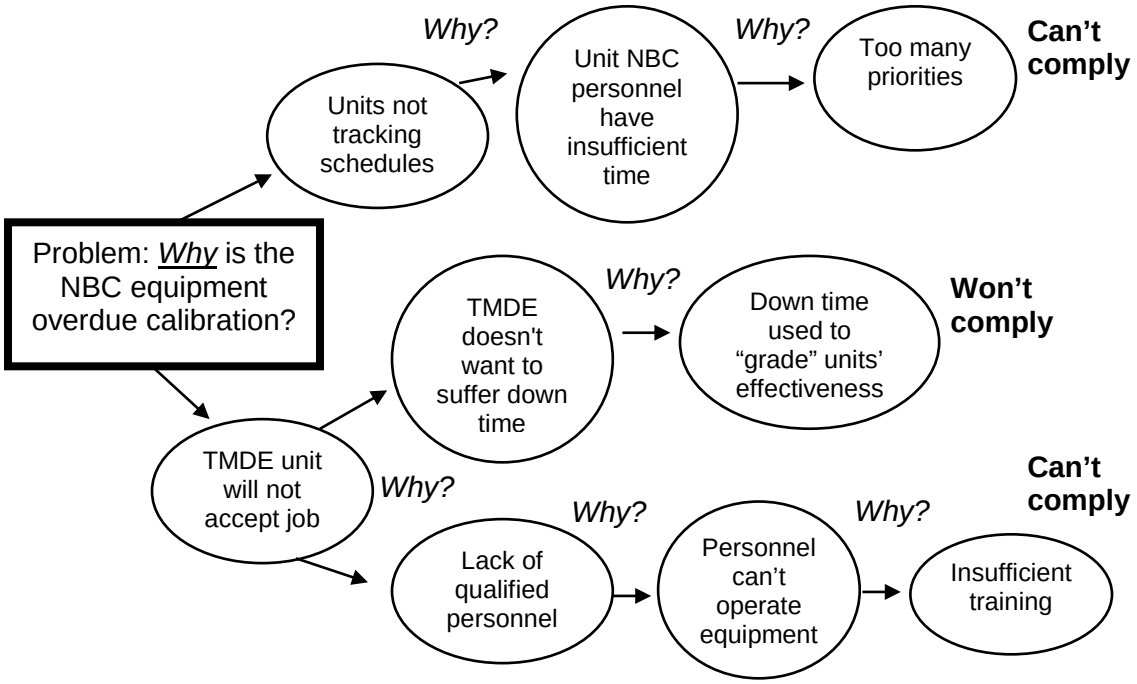


Figure 4

Complex Example of Five-Why Analysis

c. To aid in the identification of the primary root cause, ask the question, "If we fix this particular cause, will the other causes fall away?" In most cases, resolving a primary root cause eliminates or minimizes any of the other branches relating to the problem statement. Using the example in Figure 4, resolving the "insufficient training of personnel" at the Test, Measurement, and Diagnostic Equipment (TMDE) unit would likely cause the "Won't comply" problem to fall away. However, more than one root cause may be applicable to a particular problem statement. For example, the IGs determined that "too many priorities" placed on unit NBC personnel was a root-cause factor for overdue calibrations. However, resolving this "Can't Comply" root cause will not necessarily resolve the insufficient training at the TMDE unit. In such cases, the IGs may choose to identify more than one root cause for resolution in the IG inspection finding.

d. A team setting is the most effective way to conduct the five-why analysis. The best opportunities for applying this tool are during the *In-Process Reviews* and at the *Analyze the Results and Crosswalk* step of the IG Inspections Process. Maximum participation of the IG inspection team members and associated subject-matter experts is essential to this analysis. Some responses proposed by the team may require further verification, so allocate sufficient time for additional team meetings if necessary.

Section 3-4

The Inspection Selection Process

1. **Purpose:** The purpose of this section is to discuss and explain the Inspection Selection Process and the scheduling of IG Inspections.

2. **Selecting Inspections:** Inspection planners should always plan inspections by keeping the precepts of long-range planning -- as outlined in FM 7-0, Training the Force and FM 7-1, Battle Focused Training -- in mind. But inspection planning can also become a delicate balancing act between long-range planning and remaining flexible enough to respond to the commander's changing needs.

3. **Striking the Balance:** The benefits of long-range planning are obvious. A planned inspection keeps inspectors from disrupting a unit's training schedule needlessly. Most long-range inspection plans -- once published -- do not specify the units that the inspection team plans to visit. However, units within the command can anticipate the possibility of receiving a Notification Letter from the inspection team during the established time periods. Remember: These notifications should not cause units to alter their training plans since the IG team wants to see things exactly as they are happening. The IG team's visit should be no more than a footnote on the unit's training schedule for that day or days. Planned but unannounced inspections (where the units are not, and will not be, identified) are an acceptable way of planning inspections, but the best planning method is to announce all inspection topics in advance with some general guidance about the types of units or agencies that the inspection team may visit. The commander may alter the inspection plan with little notice if an important inspection need suddenly arises. The inspector must anticipate such an occurrence and prepare to adjust the long-range inspection plan accordingly. The inspector may have to recommend to the commander that an ongoing inspection stop temporarily (or permanently) or that the scheduled inspection topics on the prioritized inspection list slip to the right. The inspector must learn how to balance these long-range and short-notice aspects of inspection planning.

4. **Prerequisites for the IG:** For an IG to determine the best inspection topics for the unit or command, the IG must be an active and prominent member of the command. The IG must know the commander and the commander's philosophy and vision for the unit. The IG must stay abreast of current issues and trends within the command by attending key staff meetings and major training events. The bottom line is that the IG cannot remain behind a desk in the IG shop if he or she plans to develop a viable, responsive, and focused inspection plan for the command.

5. **Determining Inspection Topics:** An IG -- or any inspector -- can develop inspection topics using a number of sources. Some obvious sources are those inspections conducted at the commander's direction or inspections required by law or regulation. Some subordinate-unit commanders may suggest topics based upon problems that are occurring at the lower echelons. The IG should also review the Annual Training Guidance, local Command Policy and Goals, the Command Vision, and Unit Status Reports (now called Army Strategic Readiness System reports) for potential inspection

topics. The IG should look for trends in problems areas from these sources that may need some immediate -- or long-term -- attention. The IG should also query the IGARS database for local or Army-level trends. Likewise, a review of DAIG's inspection priority list and the next higher command's inspections topics can also help to guide the development of a long-term inspection plan. In essence, the topics that you select for an inspection must be focused on improving the command's readiness and warfighting capabilities. Always review your selected topics for their impact on unit readiness, value to the command, and priority to the commander.

6. **The Inspection Selection Process.** The Inspection Selection Process has six basic steps:

a. Step 1: **Determine the commander's priorities.** The information that an IG or inspector needs to accomplish this step is located in paragraph five. The inspector may need to initiate a face-to-face meeting with his or her commander if the commander's priorities are not perfectly clear. Ultimately, the commander's priorities drive the inspection topics that you select.

b. Step 2: **Analyze the information.** After reviewing the pertinent documents and information available within the command (see paragraph five again), critically examine the inspection topics that come to mind. Ensure that these topics focus on the unit or command's readiness and are in line with the commander's priorities.

c. Step 3: **Make a prioritized list.** Using the ideas and information developed during the first two steps, draft a list of broad-based inspection topics and prioritize them according to their importance to your commander. Naturally, your commander will make the final determination on their true priority, but you can make an informed decision based upon your understanding of the commander's priorities as outlined in Step 1. Do not worry about narrowing the topics too closely since you will refine the inspection focus as part of the overall Inspection Process. Here is an example of a prioritized list that selects one inspection topic per quarter:

(1) 1st Quarter, FY__: Organizational Inspection Program
(2) 2nd Quarter, FY__: Composite Risk Management (CRM)
(3) 3rd Quarter, FY__: Force Protection
(4) 4th Quarter, FY__: Property Accountability

d. Step 4: **Gain the commander's approval.** Schedule a meeting with your commander to discuss your prioritized list. You should offer your commander no fewer than four inspection topics (one for each quarter of the fiscal or calendar year). The commander may adjust the priorities or delete some topics and add others. Once the approved list is complete, the inspection team may begin planning for the first topic.

e. Step 5: **Schedule the inspections.** Coordinate with the G-3 or operations office responsible for maintaining the unit calendar to ensure that the inspection topics appear on the long-range calendar.

f. Step 6: **Notify the command.** Publish the inspection list and inspection schedule using a separate memorandum or simply include the inspection topics in the commander's Annual Training Guidance (usually published in May or June for the upcoming fiscal year). Another effective technique is to brief the inspection list and

schedule as part of the Quarterly Training Briefing (QTB) or Yearly Training Briefing (YTB). Be sure to mention the types of units that you intend to visit as part of each inspection so that commanders at all levels can plan accordingly. You do not have to select the units up front, however.

7. Inspection Selection Process flow chart. The following chart depicts the process graphically:

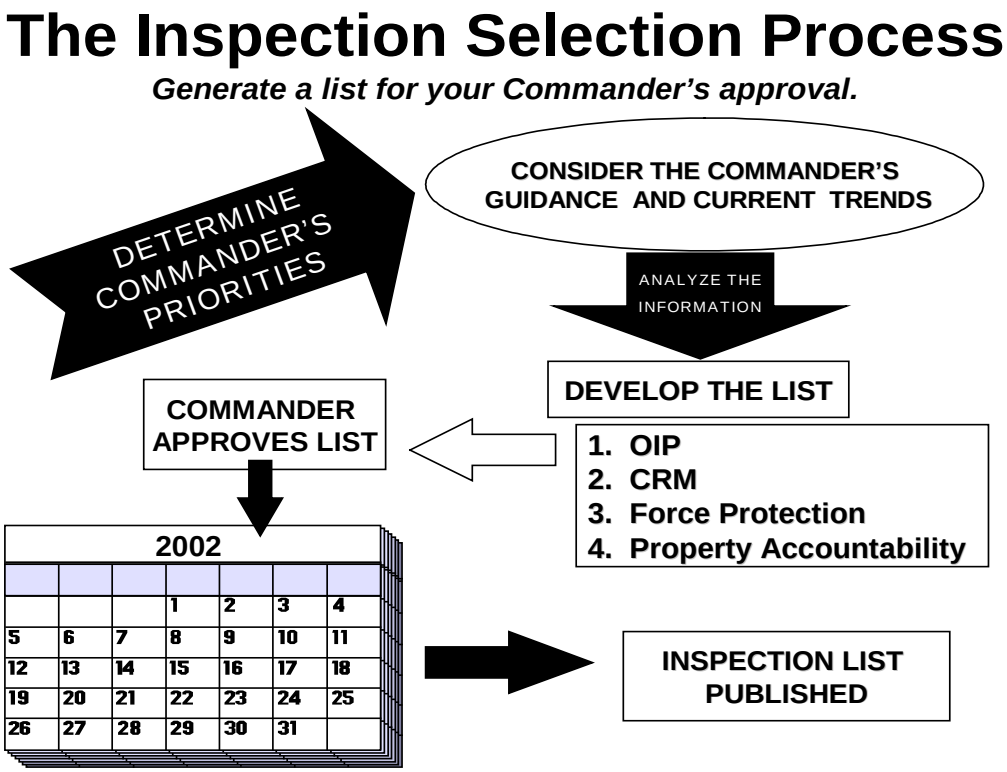


Figure 1

Inspection Selection Process Flow Chart

Chapter 4

The Inspections Process

Section 4-1 - The Inspections Process

Section 4-2 - The Preparation Phase

Section 4-3 - The Execution Phase

Section 4-4 - The Completion Phase

Section 4-5 - Applying the Inspections Process to All Inspections

Section 4-1

The Inspections Process

1. **Purpose:** This section discusses the Inspections Process and the three phases associated with this process.

2. **The Inspections Process:** The Inspections Process is a sequential planning and management tool that allows IG inspectors to plan and conduct inspections. Army Regulation 20-1, Inspector General Activities and Procedures, outlines in paragraph 5-1 the three inspection phases and each of the specific steps that fall within each phase. Although the process was designed for IGs, any inspector conducting Army inspections can use the process -- or some form of the process -- to plan and conduct inspections at all levels.

3. **The Three Phases of the Inspection Process:** The Inspections Process comprises a series of 17 discrete steps that fall within three separate phases. These phases are as follows:

   a. Phase One: **Preparation**

   b. Phase Two: **Execution**

   c. Phase Three: **Completion**

These phases include specific steps of the process that an IG or Army inspector can tailor to suit his or her needs. The process is an extremely effective way of planning for an inspection that is narrow in focus and requires a great deal of research. The IG or inspector should resist the temptation to combine or skip some steps in an effort to be more efficient. The steps follow one another logically and produce certain products that are necessary to completing follow-on steps. The Inspector General (TIG) has specified that all IGs will consider this process when planning and conducting IG inspections.

4. **The Inspections Process Chart:** The following graphic portrayal of the Inspections Process captures all 17 steps of the process:

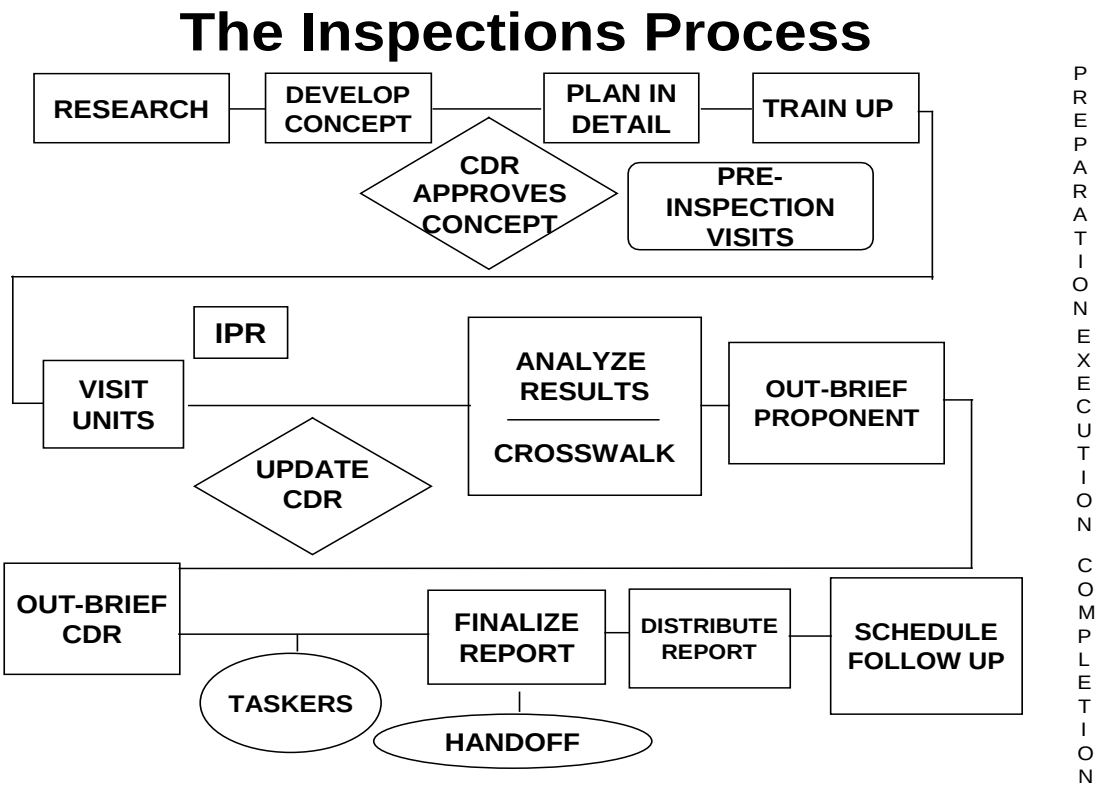


Figure 1

The Inspections Process Chart

Section 4-2

The Preparation Phase

1. **Purpose:** This section discusses the Preparation Phase of the Inspections Process and the six steps included in that phase.

2. **The Preparation Phase:** The Preparation Phase of the Inspections Process is the most important part of the inspection because it establishes the plan that the inspection team will follow to gather information and conduct the inspection. If an inspection team does not follow the six steps involved in this phase, then the inspection will almost certainly run into difficulty during the Execution Phase. The six steps of this phase are as follows:

a. Research

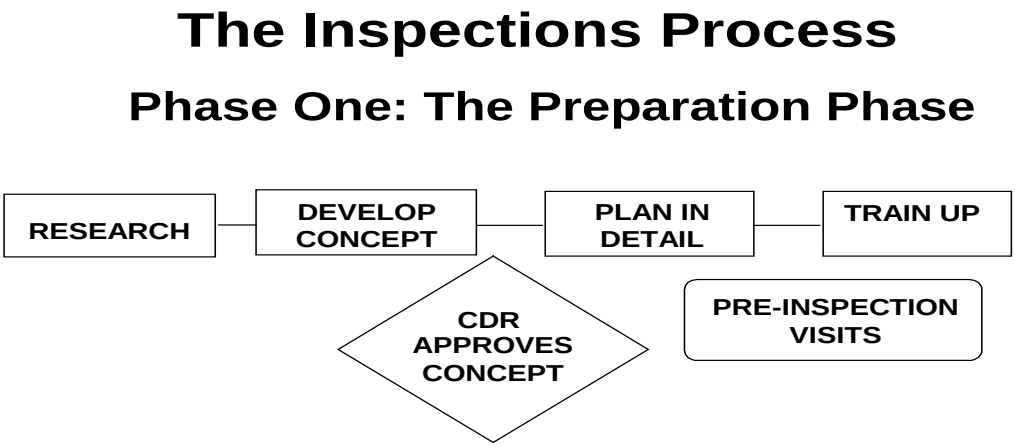
b. Develop the Concept

c. Commander Approves the Concept

d. Plan in Detail

e. Train Up

f. Pre-Inspection Visits



Section 4-2

The Preparation Phase
Step 1: Research

1. **The Research Step.** The Research Step of the Preparation Phase is the first and most important step that an IG must take when trying to learn about the topic that he or she must inspect. Most IG inspections will be Special Inspections that are narrow in scope and focused on a particular issue or functional area. The IG approaches these problems with the intent to identify -- and then fix -- systemic problems within a system or functional area. These issues tend to require specialized training and subject-matter expertise that the average IG may lack. Therefore, the IG must delve into the subject matter through a variety of means. The entire inspection team actively participates in the research step, and each team member may tackle a certain aspect of the topic and then share that information later with the team members. In other words, each team member can learn -- or become a subject-matter expert on -- certain aspects of the system. Ultimately, this step will generate two very important products for the inspection team:

a. **The Inspection Purpose.** The Inspection Purpose is a clear statement of the inspection's overarching goal.

b. **The Inspection Objectives.** The objectives are the most important features of the inspection because they focus the inspection effort and drive the information-gathering portion of the inspection.

2. **Conducting Research.** There is a systematic approach to conducting research that helps ensure IG inspections are meaningful and truly focused on the most important issues to the commander and command. Research enables the IG to understand fully the issues and to focus on the high-payoff issues by creating the Inspection Purpose and the Inspection Objectives. The seven steps to conducting focused research are:

1. Review Guidance
2. Review Existing Literature
3. Explore Publications for Standards
4. Consult Subject-Matter Experts
5. Conduct Topic Analysis (Function Modeling)
6. Develop Inspection Purpose
7. Develop Inspection Objectives

a. Review Guidance. Research of an inspection topic should always begin with the commander's and principal IG's guidance. The guidance will often identify specific areas of a process or function that is of most interest to the commander, potentially saving the inspection team hours or days of unnecessary toil. In most cases, the commander's guidance translates directly into the focal points of the inspection, which can become your Inspection Objectives. Even if the commander provides no specific guidance on an inspection topic, you can derive a substantial amount of intent from existing knowledge of the commander's priorities and your existing situational awareness of current operations and planning.

b. Review Existing Literature. This review involves an examination of relevant articles, lessons learned, and after-action reports on the subject that will facilitate a greater understanding of the program or activity you plan to inspect. Your research should also attempt to identify and study any past inspection reports or results – inside or outside your organization – that are relevant to your planned inspection. Although there are no guarantees on the validity or reliability of data gathered, existing inspection materials can be very helpful in deriving potential objectives, standards, and systemic trends relating to your topic. Start with a check of the IGNET home page to see if DAIG has any inspection reports regarding your subject. If so, these reports may be useful to your research, and some of the purposes and objectives for Army-level inspections may translate well to your level of command. Similarly, you can use your technical channels to solicit other IGs in the field for existing inspection reports relating to your current topic.

c. Explore Publications for Standards. Search and review all regulations, doctrinal manuals, policies, and operations orders associated with the topic. This effort will help you determine "what right should look like" and provide all the applicable standards for your inspection. Web-based internet research is a practical and expedient way to explore the most current policies and doctrine. The Army Publishing Directorate (www.apd.army.mil) is a good starting point for published standards. Many on-line publications have "hyper-links" to other referenced publications that allow the researcher to search quickly and gather related materials.

d. Consult Subject-Matter Experts. After examining the reference materials on the topic, the proponents and subject-matter experts (SME) in your organization or higher command can help you fill any remaining knowledge gaps. Preferably in a face-to-face meeting, the local proponents can help you insightfully clarify standards that apply to your topic and describe the doctrinal applications of the policies. Their experience and expertise will help you to understand the various support activities, resources, requirements, and constraints affecting the activity or process you plan to inspect. Depending on the topic, you may have to involve multiple proponents and SMEs to get an accurate and complete picture.

e. Topic Analysis by Team Members. The IG should analyze the topic carefully to ensure he or she understands all aspects of the inspected program, system, or function. The old adage “stick to what you know” does not apply to IG inspectors who, in most cases, must dramatically expand their knowledge base on a subject to ensure an inspection is relevant and responsive to the needs of the command. Two methods for analysis can be useful in helping the IG team to “dissect the anatomy” of a program or activity they plan to inspect and gain a better understanding of the requirements, components, resources, activities and relationships involved. The first method involves “function modeling” by graphically breaking down a system into its basic functions and the requirements or activities needed to perform each of those functions; in effect, this method allows you to define the system you are inspecting. The second method of analysis is a “DOTMLPF” approach, or examination of Doctrine-Organization-Training-Material-Leadership-Personnel-Facilities requirements involved in a program, system, or function.

(1) *Function Modeling*. Function modeling graphically depicts the decisions, actions, and activities of a process or system in order to describe and understand its functional aspects. By mapping out these functions and the elements required to perform them, the IG can "see" the complete picture of the inspection topic and its

related system. Directly involving the proponents and SMEs with whom you have consulted in your earlier research will greatly benefit this analysis. This process begins as a brainstorming session, so having your inspection team and SMEs use a dry-erase board or chalkboard to capture the information is a good idea. Beginning with the data derived from your literature review, publications review, and SME interviews, the IG team starts grouping together the activities that are closely related or functionally similar. Through the grouping process, you will see a logical flow and hierarchy of functions within the process begin to emerge. Your team can illustrate the relationships and hierarchy of these functions by creating flow charts. The graphic below (**Figure 1**) illustrates the flow of activities where the result (output) from one function can lead to the performance of other functions or series of functions.

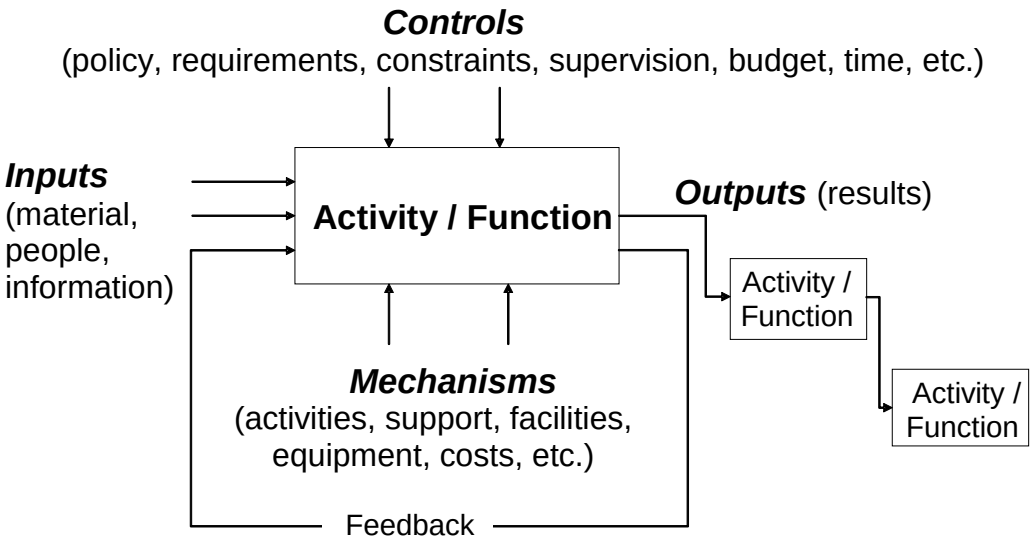


Figure 1

Functional Modeling

Within the flow chart, the IG can analyze the context of any function or activity and isolate and examine any one of these functions to greater levels of detail as needed. As depicted in Figure 1, a "box-and-arrow" technique using the "ICOM" method is the most common way to analyze particular functions of interest to the command. ICOM stands for Inputs, Controls, Outputs, and Mechanisms, and Figure 1 shows their relationships to the activity. The ICOM is the working element of functional modeling.

- **Inputs** – Elements transformed by the activity or process. Inputs normally include material, people, or information.

- **Controls** – Those elements related to the activity that constrain or govern how to conduct the activity. Examples include policy, law, time constraints, budget constraints, doctrinal requirements, standing operating procedures, and guidance.

- **Outputs** – The results of the activity. Outputs can be things produced by the activity or inputs transformed by the activity. Outputs also include feedback information to refine the activity.

- **Mechanisms** – Those things that perform or support the activity. Mechanisms may be people, systems, facilities, or equipment necessary to accomplish the activity.

(2) *DOTMLPF Analysis*. Much like the human body requires several different support systems (skeletal, cardiovascular, nervous, respiratory, digestive, reproductive, immune, etc.) working together to perform its multitude of functions, military activities and operations require various support systems to keep them working effectively. The IG can analyze the support systems of any inspection topic by addressing the categories of *doctrine, organization, training, material, leadership, personnel, and facilities* (DOTMLPF). The IG can also apply the DOTMLPF analysis to gain a holistic understanding of the inspection topic. This DOTMLPF approach is particularly useful in determining some key aspects of your inspection subject upon which to focus that may evolve into your inspection objectives, especially when indicators that might help guide your development of objectives are missing. Your analysis session is pure brainstorming among the IG team to associate the requirements identified during the preliminary research by DOTMLPF categories and to develop some potential objectives for further consideration. As with the function modeling, the IG should not attempt to conduct the DOTMLPF analysis without consulting the SME / proponents related to the inspection topic.

f. Develop Inspection Purpose. With sufficient guidance and research at this point, your IG inspection team should be ready to propose their goal for this inspection, (otherwise known as the Inspection Purpose). The Inspection Purpose is nothing more than the inspection team's stated goal for the inspection. The statement should be clear and concise. Consider the following example:

> Inspection Purpose: The purpose of this inspection is to determine the effectiveness of Force Protection training within the 66th Infantry Division.

This example narrows the focus of the inspection by stating that the inspection team's efforts will focus on determining if Force Protection training is effective and not whether the training is simply occurring or not occurring. The goal is to get at any systemic issues concerning Force Protection that may be preventing Soldiers from understanding their Force Protection requirements or guidelines.

g. Develop Inspection Objectives. The IG team should start developing objectives by again referring to any command guidance received to this point to identify important concerns or issues for the objectives. You can also use the function modeling and DOTMLPF to identify high-impact requirements and activities that deserve consideration for objectives. The inspection team may develop as many objectives as necessary to accomplish the intent of the inspection as outlined by the commander. However, as a general rule, the team should develop no more than five (5) objectives per inspection. Five objectives are sufficiently manageable for a team to break down into quantifiable Sub-Tasks.

An Inspection Objective should be clear, concise, and capture the essence of what the team wants to learn. Use active verbs to explain what the team wants to capture with that topic. The objectives can be broad in nature or focus on a specific issue where only one standard applies. Here are two examples:

- Assess the effectiveness of post-accident Risk Management procedures to determine if units are learning lessons from previous accidents.

This objective will require a more subjective approach to the topic and not simply the results of the inspection team's personal observations. The opinions of leaders and safety officers will certainly matter in terms of measuring the effectiveness in both their minds and the minds of the inspection team's members. This evaluation approach relies more on analytical thought and less on following a prescribed performance measure or standard. Objectives phrased in this manner suggest that several standards (regulations, policies, etc.) apply to this objective.

- Determine if units are conducting Anti-Terrorism and Force-Protection briefings quarterly in accordance with Army Regulation 350-1, Army Training and Education.

This objective is very narrow in scope and focuses clearly on compliance with a specific standard. In other words, only one standard applies to this specific objective. The inspection team members can answer this objective through observation and by reviewing training plans or other documents; the team does not necessarily require direct input from unit leaders or Soldiers to determine if the unit is in compliance with this objective.

These two types of inspection objectives can complement each other and comprise some -- or all -- of the objectives developed for inspecting a particular topic. Two of the objectives can identify specific standards (regulations, policies, etc.) while the other three objectives may not identify specific standards but instead may focus on assessing the issue in a more analytical -- or subjective -- manner. The important thing to know before developing each objective is whether or not some sort of standard -- or even a doctrinal application -- exists for the objective you are about to explore.

3. **Approving the Inspection Purpose and Objectives:** The inspection team must agree upon the purpose and objectives, and the command IG must approve of them as well. Once approved or agreed upon, the purpose and objectives will form the basis for the concept that the inspection team must develop as part of Step 2 of the Inspections Process.

Section 4-2

The Preparation Phase
Step 2: Develop the Concept

1. **Develop the Concept.** Developing an inspection concept first depends upon completing a period of effective and in-depth research on the inspection topic followed by the development of the inspection purpose and objectives. The concept is nothing more than a plan that outlines -- in general -- how the inspection team plans to accomplish the inspection. The physical output of this step is the Concept Letter, which the inspection team develops as a way to communicate formally the major parts of the inspection concept. This letter will later form the basis for the Concept-Approval Briefing to the commander. If a letter or memorandum is not required for staffing or any other purpose, then the inspection team may convert the concept directly into a briefing format.

2. **The Inspection Concept Letter:** The purpose of the Inspection Concept Letter is to summarize the inspection concept in a two- to three-page memorandum so that the inspection team can gain the approval of the command IG or other staff members as required. The Inspection Concept Letter includes the following items:

a. Purpose (purpose of the inspection developed during the research step)
b. Objectives (developed previously during the research step)
c. Scope (describes the team's intended task organization and the number of units or installations the team plans to visit)
d. Focus (mentions whether the inspection is a general, special, or follow-up inspection and describes the basic intent of the inspection as viewed by the inspection team)
e. Timeline (outlines the key milestone dates from the time the commander signs the Inspection Directive to the completion of the Final Report)
f. Timing of Feedback (discusses the nature of the feedback that each inspected unit or location will receive from the team and may include a comment about when the commander can expect a mid-inspection update if necessary)
g. Notification (explains how the inspection team plans to notify the inspected units)

3. **Sample Inspection Concept Letter:** A sample Inspection Concept Letter is located on the next page.

DEPARTMENT OF THE ARMY
HEADQUARTERS, 66th INFANTRY DIVISION
FORT VON STEUBEN, VIRGINIA 12345

AFVS-IG 22 August ____

MEMORANDUM FOR THE COMMANDING GENERAL, 66th INFANTRY DIVISION

SUBJECT: Inspection Concept for the Force Protection Inspection

1. PURPOSE: The purpose of this inspection is to determine the effectiveness of the Force Protection Program in the 66th Infantry Division and in Fort Von Steuben's tenant units.

2. OBJECTIVES:

a. Determine if division, post, and tenant units understand Army and local Force Protection policies.

b. Determine if division, post, and tenant units are conducting adequate Force Protection training.

c. Determine if the division, post, and tenant units are implementing the Commanding General's critical Force Protection tasks as outlined in 66th Infantry Division Policy Letter Number 12, Force Protection.

3. SCOPE: Two teams of four to five inspectors each will visit 25 percent of Fort Von Steuben's active-duty units as well as 25 percent of the post's installation staff and tenant organizations.

4. FOCUS: This inspection will be a "special" inspection that focuses upon the effectiveness of the Force Protection Program within the 66th Infantry Division (M) and Fort Von Steuben. Existing Force Protection and Anti-Terrorism guidelines as outlined in AR 525-13, Anti-Terrorism, will provide the guiding tenets for this inspection.

5. TIMING OF FEEDBACK: The Chief, Inspections Branch, will conduct a mid-inspection briefing with the Commanding General followed by a final-report briefing at the conclusion of the inspection. During the conduct of the inspection, each team will provide the inspected unit with immediate -- but general -- feedback following the visit in the form of an out-briefing. This out-briefing will capture the salient points of the team's preliminary findings and articulate in detail those results that may require immediate action.

6. TIMELINE:

a. Gain Commander's approval of the concept: 24 August
b. Send Notification Letter: 20 September

c. Send Detailed Inspection Plan to Units: 20 October
d. Visit first unit or staff section: 20 November
e. Visit last unit or staff section: 10 December
f. Final results to the Commander: 30 December
g. Final written report complete: 10 January

7. NOTIFICATION: The Inspection Team will announce the inspection in advance using a Notification Letter and work with each unit or staff agency to develop detailed inspection schedules and gather resources.

FRANK E. LIST
MAJ, IG
Chief, Inspections Branch

Section 4-2

The Preparation Phase
Step 3: Commander Approves the Concept

1. **Develop the Concept-Approval Briefing.** The Concept-Approval Briefing is a decision briefing that the inspection team presents to the commander to gain his or her approval of the inspection concept. The briefing format closely follows the respective paragraphs of the Concept Letter and offers no additional information. At the conclusion of the briefing, the inspection team requests the commander's approval. If the commander approves the concept, then the inspection team will present the commander with an Inspection Directive for signature. The only physical output of this step is the Inspection Directive.

2. **Sample Concept-Approval Briefing:** A sample Concept-Approval Briefing based upon the Concept Letter is located below.

FORCE PROTECTION PROGRAM

Decision Briefing
Inspector General

Special Inspection
Of the
Force Protection Program

20 November to 10 December

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

FORCE PROTECTION PROGRAM

Purpose

To gain the Commanding General's approval of the inspection concept for evaluating the effectiveness of the Force Protection Program on Fort Von Steuben.

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

FORCE PROTECTION PROGRAM

Agenda (or Outline)

- **Inspection Purpose**
- **Objectives**
- **Scope**
- **Focus**
- **Timeline**
- **Notification**

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

FORCE PROTECTION PROGRAM

Inspection Purpose

The purpose of this inspection is to determine the effectiveness of the Force Protection Program in the 66th Infantry Division and in Fort Von Steuben's tenant units.

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

FORCE PROTECTION PROGRAM

Inspection Objectives

- **Determine if division, post, and tenant units understand Army and local Force Protection policies.**
- **Determine if division, post, and tenant units are conducting adequate Force Protection training.**
- **Determine if the division, post, and tenant units are implementing the Commanding General's critical Force Protection tasks as outlined in 66th Infantry Division Policy Letter Number 12, Force Protection.**

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

FORCE PROTECTION PROGRAM

Scope

- **Two teams of four to five inspectors each will visit 25 percent of Fort Von Steuben's active-duty units.**

- **These two teams will also cover 25 percent of Fort Von Steuben's installation staff and tenant units.**

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

FORCE PROTECTION PROGRAM

Focus

- **This inspection is a special inspection that focuses on the effectiveness of the Force Protection Program within the 66th Infantry Division (M) and Fort Von Steuben.**

- **Existing Force Protection and Anti-Terrorism guidelines as outlined in Army Regulation 525-13, Anti-Terrorism, will provide the guiding tenets for this inspection.**

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

FORCE PROTECTION PROGRAM

Timing of Feedback

- **The Chief, Inspections Branch, will conduct a mid-inspection briefing with the Commanding General followed by a Final Report briefing at the conclusion of the inspection.**
- **During the conduct of the inspection, each team will provide the inspected unit with immediate – but general – feedback in the form of an out-briefing.**

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

FORCE PROTECTION PROGRAM

Timeline

- **Send the Notification Letter – 20 September**
- **Send the Detailed Inspection Plan to the units – 20 October**
- **Visit first unit or staff section – 20 November**
- **Visit last unit or staff section – 10 December**
- **Final results to the Commanding General – 30 December**
- **Final written report complete – 10 January**

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

FORCE PROTECTION PROGRAM

Approval

- **Do you approve of this inspection concept?**
- **Please sign the Inspection Directive.**
- **Do you have any additional guidance for the inspection?**

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

3. **The Inspection Directive.** All IGs will obtain a written directive from the directing authority before conducting an IG Inspection. **(prescriptive provision in AR 20-1, paragraph 5-1(h) (1))**.The Inspection Directive is a critical document that authorizes the IG to conduct the inspection and gives the IG temporary tasking authority for the purposes of the inspection. The commander's signature at the bottom of this document means that the IG is acting under the specific direction of the commander. The inspection team must craft the Inspection Directive carefully to ensure that the language within the document authorizes the inspection team to gain access to the areas that the inspectors need to see and to task those units or agencies within the command to support -- or participate in -- the inspection. The Inspection Directive should include the following:

a. A statement directing the Inspector General to conduct the inspection.

b. A list of all objectives that pertain to the inspection.

c. A statement that outlines the tasking authority for all active, Reserve, National Guard, and tenant organizations.

d. A statement that authorizes the IG to have access to all activities, organizations, and information sources required to conduct the inspection.

A sample Inspection Directive is located on the next page.

DEPARTMENT OF THE ARMY
HEADQUARTERS, 66th INFANTRY DIVISION
FORT VON STEUBEN, VIRGINIA 12345

AFVS 24 August ____

MEMORANDUM FOR THE INSPECTOR GENERAL

SUBJECT: Directive for Assessment (Force Protection Program)

1. You are directed to evaluate the effectiveness of the Force Protection Program in the 66th Infantry Division and in Fort Von Steuben's tenant units.

2. The assessment will focus on the following objectives:

a. Determine if division, post, and tenant units understand Army and local Force Protection policies.

b. Determine if division, post, and tenant units are conducting adequate Force Protection training.

c. Determine if division, post, and tenant units are implementing the Commanding General's critical Force Protection tasks as outlined in 66th Infantry Division Policy Letter Number 12, Force Protection.

3. You are authorized to task the Division and Fort Von Steuben staff and subordinate headquarters for those resources required to ensure the successful accomplishment of this assessment.

4. You are authorized unlimited access to Division and Fort Von Steuben activities, organizations, and all information sources necessary to complete this effort.

5. You will provide me with a mid-course progress review on or about 30 November followed by a written report not later than 10 January.

MOTTIN De La BLAME
Major General, USA
Commanding

Section 4-2

The Preparation Phase
Step 4: Plan in Detail

1. **Planning in Detail:** This step is the most comprehensive and critical step of the entire Preparation Phase. The products that the inspection team develops during this step will ensure the smooth and effective execution of the inspection for the remaining two phases. The four physical outputs of this step are as follows:

a. Sub-Tasks for each Inspection Objective

b. Methodology

c. Notification Letter

d. Detailed Inspection Plan

2. **Developing Sub-Tasks:** Sub-Tasks are tasks that focus the inspection team on specific ways to seek information and then answer the basic requirement of an Inspection Objective. The inspection team breaks down each Inspection Objective into achievable tasks that are based upon the standards and doctrine governing the inspection topic and an IG's methods for gathering information. IG inspectors have five information-gathering techniques -- or domains -- available to them. Those domains are as follows:

a. Interviews with key leaders or personnel.

b. Sensing sessions with enlisted Soldiers, NCOs, and officers.

c. Reviews of pertinent documents such as Standing Operating Procedures (SOPs), policy letters, post regulations, training-guidance memorandums, and so on.

d. Observation of major training events, live-fire exercises, after-action reviews, inspections, and so on.

e. Surveys and Questionnaires for all interview or sensing-session populations (normally used for topics that require some basic factual information or a sampling of a unit's population).

These information-gathering methods will guide the development of each Sub-Task so that IGs will not develop a task that the inspection team cannot accomplish using the available techniques. Gathering information to answer a particular Sub-Task is not limited to one information-gathering technique, either. Two or more information-gathering techniques may be applicable to a Sub-Task.

Developing Sub-Tasks requires a great deal of thought and relies largely upon information gleaned from the Research step (Step 1) of the Preparation Phase. Subject-

matter experts and the applicable standards, policies, and regulations are the best sources of information when developing Sub-Tasks. Each Sub-Task must have a clearly stated – or implied – purpose that directly supports the information requirements of the objective for which the Sub-Task applies. Some examples of Sub-Tasks for a Force Protection inspection are as follows:

Objective 1: Determine if leaders at all levels throughout the division understand – and can implement – the division's Force Protection Program.

Sub-Task 1.1: *Interview* senior leaders to determine if they understand the requirements and intent of the division's Force Protection Program.

Sub-Task 1.2: Conduct *sensing sessions* with junior officers, NCOs, and enlisted Soldiers to determine if they understand – and are able to implement – the division's Force Protection Program.

Sub-Task 1.3: *Review* unit Force Protection SOPs and policies to determine if these documents adhere to the requirements of the division Force Protection Program.

Sub-Task 1.4: *Observe* unit Force Protection training, drills, and operations (as available) to determine if the units are complying effectively with the division's Force Protection Program.

Each example listed above is tied directly to one information-gathering activity (or domain), which can sometimes limit the perspective and scope of the information gathered for that particular Sub-Task. Using multiple information-gathering domains to answer a Sub-Task is better because of the variety of sources and perspectives that can lead to a more informed finding statement. You can signal this broader information-gathering perspective by simply re-phrasing the Sub-Task to avoid limiting the information-gathering activities that the IG inspection team will use to answer that particular Sub-Task. For example, Sub-Task 1.1 can be re-phrased as follows:

Sub-Task 1.1: Determine if senior leaders understand the requirements and intent of the division's Force Protection Program. (interviews, document review, and observation)

The IG inspection team must list in parentheses – for their own purposes – the information-gathering domains that apply to this broader Sub-Task. This information will not appear in the Final Inspection Report but will signal clearly to the IG inspection team which information-gathering activities apply to the Sub-Task. This information becomes critical in the next step when the team uses the Sub-Tasks to develop a baseline methodology.

The completed Sub-Tasks will later form the basis for the findings that the inspection team will generate during the Execution and Completion Phases of the Inspections Process. The inspection team will develop no less than one finding statement per Sub-Task. The sum of these findings statements for each Sub-Task will form the basis for the final response to each Inspection Objective. However, the IG inspection team must remember that Sub-Tasks are an IG tool that the team can manipulate, refine, combine, or delete as necessary during the inspection process. The team should refrain from making these changes haphazardly since the Sub-Tasks are the mechanisms that drive the gathering of information during the inspection.

3. **Developing a Methodology:** A methodology is nothing more than the inspection team's plan for physically conducting an inspection at a unit or some other agency. The Sub-Tasks that the team developed for each objective will drive this approach since the team must develop a plan that allows them to conduct the information-gathering activities required for the inspection. This particular sub-step of Step 4 has three separate physical outputs:

a. **Task Organization of the Inspection Team:** The Inspection Team Leader must decide how he or she wants to organize the team for the inspection. If time is short but the sampling of units to inspect is high, the Team Leader should consider splitting the team into smaller teams each led by a Detailed or Assistant IG. Two or more inspection teams can inspect more units over a shorter period of time. Traveling as one team may be necessary for certain inspections, however. The team must also consider the type and number of augmentation personnel required (augmentees in IG parlance). With the authority granted to the IG in the Inspection Directive, the team can task the appropriate staff agency or office for subject-matter experts who can serve as Temporary Assistant IGs and who can assist in the conduct of the inspection. These augmentees must be sworn as Temporary Assistant IGs and be aware of IG information restrictions (see AR 20-1, paragraph 2-2, for further information on Temporary Assistant IGs). The augmentees must also be aware of the IG notion of confidentiality and have specific responsibilities within the team (or teams). Normally, these augmentees are best suited to conduct reviews of key documents. A sample task organization for two teams is as follows:

Team A	**Team B**
MAJ List (Detailed IG)	CPT Numero (Detailed IG)
MSG Smith (Assistant IG)	SFC Bergerac (Assistant IG)
SFC Purple (augmentee)	Mr. White (augmentee)

Despite the existence of these two teams, MAJ List remains as the overall Team Leader of the entire inspection effort.

b. **Baseline Methodology:** The baseline methodology is the standard approach that the inspection team (or teams) will follow during an inspection visit to a unit or agency. This approach is based upon the team's information-gathering requirements (as outlined in the Sub-Tasks) and assigns information-gathering responsibilities to each team member. Each team member must have a specific function within the team. The baseline methodology is the way that the team would ideally like to conduct an inspection visit at a unit or agency without considering time restrictions. A sample baseline methodology for an inspection on the topic of Force Protection is as follows:

(1) **Personnel to Interview (Interviews and Sensing Sessions):**

- Commander / XO / CSM / S-3 or equivalent **(MAJ List / CPT Numero - Interviewers)**
- Junior Officers **(MSG Smith / SFC Bergerac - Sensing Session)**
- Company Commanders and First Sergeants **(MSG Smith / SFC Bergerac - Sensing Session)**
- NCOs (E-5 to E-7) **(MSG Smith / SFC Bergerac - Sensing Session)**
- Unit Force Protection Officers **(MAJ List / CPT Numero - Interviewers)**

(2) **Documents to Review in Advance (Document review conducted by augmentees from G-3):**

- Division, Brigade, and Battalion Force Protection documents
- Unit SOPs relating to Force Protection
- Unit Force Protection programs and policies
- Unit Force Protection Plans for accomplishing critical tasks
- Results of any previous Force Protection inspections or assessments, to include results used as lessons learned

(3) **Events to Observe (as available based upon the day that the inspection team visits the unit):**

- Force Protection briefings
- Force Protection inspections
- Force Protection after-action reviews
- Any training conducted on the topic of Force Protection

Note: All team members will observe training as available.

c. **Sample Inspection Itinerary:** The Sample Inspection Itinerary applies time constraints to the baseline methodology. The inspection team must decide how long the team will spend at a particular unit or agency (one day, two days, or even five days). After this decision, the team will develop a Sample Inspection Itinerary for each day spent at a unit or agency. This itinerary will allow the team members to see precisely what parts of the baseline methodology they can accomplish during the given time period and to set priorities accordingly. Conducting all of the interviews and sensing sessions outlined in the baseline methodology may not be possible, so the inspection team will have to choose which ones to conduct during each visit. The Sample Inspection Itinerary also assists the inspected unit or agency by offering a specific scope and timeline for the conduct of the inspection. The inspected unit or agency will always assist the IG inspection team in refining the sample itinerary. Finally, the sample itinerary must always include an in-briefing and an out-briefing time. All inspection teams must brief the unit leadership before conducting the inspection and then offer general, unattributed feedback in the form of an out-briefing following the inspection. A Sample Inspection Itinerary for a one-day inspection visit is as follows:

0800-0815	In-Brief Commander and Unit Leaders
0830-0930	Interview Commander
0830-1000	Sensing Session with Company Commanders and First Sergeants
1000-1130	Review Documents
0930-1030	Interview XO or S3
1030-1130	Interview CSM
1300-1400	Observe Force Protection events (as available)
1300-1430	Sensing Session with NCOs
1400-1530	Observe Force Protection events (as available)
1530-1630	Inspection Team In-Process Review (IPR)
1645-1715	Out-Brief Commander and Unit Leaders

4. **The Notification Memorandum (or Letter):** The Notification Memorandum (the only physical output of this sub-step) officially notifies the affected units or staff agencies that an inspection is forthcoming. Once the inspection team selects the units or staff agencies that will participate in the inspection, the Team Leader (or leaders) will issue telephonically a Warning Order to each affected unit or staff agency at least one week before sending the Notification Memorandum. The memorandum officially notifies the command that an inspection of that unit or installation is forthcoming. The memorandum also serves as a precursor to the Detailed Inspection Plan, which will normally follow the Inspection Notification Memorandum by no more than three weeks. The reason for this delay is that the Notification Memorandum will allow the affected units to provide feedback to the IG about the timing of the inspection or other issues. If an unforeseen issue arises that requires a change to the Detailed Inspection Plan, the team will have time to make those changes before submitting the final plan.

a. The Inspection Notification Memorandum should include the following information:

(1) Background information about the inspection's origin

(2) Purpose of the inspection

(3) A listing of the units that the team will visit by location (do not assign dates to these inspections since the calendar may change as a result of feedback that the team receives from the affected units)

(4) The Inspection Objectives

(5) The basic methodology for the inspection (outline the information-gathering domains that you plan to employ such as document review, sensing sessions, interviews, observation, and questionnaires or surveys)

(6) The basic timeline (the minimum information included here should be the dates for the actual execution phase, the projected out-briefing to the commander, and the date when the Final Report must be complete)

(7) Include a copy of the signed Inspection Directive as an enclosure

See the next page for a sample Inspection Notification Memorandum. Each affected unit must receive a signed copy of this memorandum. PDF files sent via email are the most efficient means of distribution while facsimile and messenger are the least efficient.

DEPARTMENT OF THE ARMY
HEADQUARTERS, 66th INFANTRY DIVISION
FORT VON STEUBEN, VIRGINIA 12345

AFVS-IG 20 September ____

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Notification of the Force Protection Inspection

1. BACKGROUND: On 12 August ____, the Commanding General directed the Inspector General to conduct a Special Inspection of Force Protection in the 66th Infantry Division. The Commanding General signed the Inspection Directive on 24 August ____ (see enclosure).

2. PURPOSE: The purpose of the inspection is to determine the effectiveness of the Force Protection Program in the 66th Infantry Division and in Fort Von Steuben's tenant units.

3. INSPECTED UNITS: The units and staff agencies affected by this inspection are as follows:

a. 1st Brigade (staff and HHC)
b. 2-66 IN
c. 1-79 AR
d. 5-66 IN
e. 3-60 FA
f. 66th Aviation Brigade (staff and HHC)
g. 2-66 AV
h. 66th Sustainment Brigade (staff and HHC)
i. 66th Personnel Services Battalion
j. 5-6 Cavalry Squadron
k. Division Special Troops Battalion

4. OBJECTIVES: The objectives for this inspection are as follows:

a. Determine if division, post, and tenant units understand Army and local Force Protection policies.

b. Determine if division, post, and tenant units are conducting adequate Force Protection training.

c. Determine if the division, post, and tenant units are implementing the Commanding General's critical Force Protection tasks as outlined in 66th Infantry Division Policy Letter Number 12, Force Protection.

5. METHODOLOGY: The baseline methodology for this inspection is as follows:

a. In-brief the unit leaders and staff members.

b. Review relevant documents related to Force Protection.

c. Observe scheduled Force Protection events as available.

d. Survey commanders, Executive Officers, Operations Officers, Command Sergeants Major, First Sergeants, and NCOs through interviews and sensing sessions.

e. Out-brief the unit leaders and staff members and provide general feedback.

6. FEEDBACK: The results of this inspection will be contained in a written report distributed throughout the division and installation following the Commanding General's approval of the results.

7. TIMELINE: The projected timeline for the inspection is as follows:

a. Pre-inspection visit: 1 November ____
b. Visit units: 20 November ____ to 10 December ____
c. Out-brief the Commanding General: 30 December ____
d. Complete the report: 10 January ____

8. INTENT: The intent of the IG Inspection Team is to conduct this assessment with minimal disruption to ongoing training. The team will require a few special arrangements that include the scheduling of sensing sessions, interviews, in-briefings, and out-briefings. The IG will publish a Detailed Inspection Plan NLT 20 October ____.

9. POC for this inspection is MAJ List, (703) 123-5678 or DSN: 555-5678, listfe@ignet.army.mil.

Encl
Inspection Directive

ALBERT R. RIGHTWAY
LTC, IG
Inspector General

DISTRIBUTION:
Commander, 1st Brigade Combat Team
Commander, 66th Aviation Brigade
Commander, 66th Sustainment Brigade
Commander, 2nd Battalion, 66th Infantry
Commander, 5th Battalion, 66th Infantry
Commander, 1st Battalion, 79th Armor
Commander, 3rd Battalion, 60th Field Artillery
Commander, 2nd Battalion, 66th Aviation
Commander, 66th Personnel Services Battalion
Commander, 5th Squadron, 6th Cavalry
Commander, Division Special Troops Battalion

5. **The Detailed Inspection Plan:** The Detailed Inspection Plan is the single most important planning document that the inspection team will develop and issue to the units or agencies affected by the inspection. This document (the only physical output of this sub-step) requires the greatest amount of detail possible so that -- once issued -- the document anticipates and answers the questions of all affected commands and units. The focus of the Detailed Inspection Plan should be on providing a unit or agency enough information to gather resources and coordinate an itinerary for the visiting IG inspection team. If the team develops the Detailed Inspection Plan properly, the affected units should have very few additional questions or issues to pose to the team. When developing the Detailed Inspection Plan, the inspection team must assign inspection dates to each unit. The team should consider any feedback on dates from the units following their receipt of the Notification Memorandum. The inspection team should also consult the command's master training calendar (usually at the G-3 level) to ensure that all affected units will be available to participate during the specified inspection period. Some units may be deployed on training exercises and therefore unable to participate. The master training calendar will also allow the inspection team to determine if key training events are occurring that may be worthwhile to schedule for observation. Once the team assigns inspection dates to each unit or agency, the team will complete the Detailed Inspection Plan, which should -- at a minimum -- include the following:

a. **Directive:** Explain the background of the inspection and list the date that the commander signed the Inspection Directive.

b. **Inspection Goal (Purpose):** Outline once more the overall goal (or purpose) of the inspection.

c. **Inspection Objectives:** List the objectives in their final version.

d. **Task Organization:** Explain how the team is structured for the inspection. List the names of each team member and, if necessary, each member's security clearance.

e. **Inspection Locations and Schedule:** List the units that the team -- or teams -- will visit by location and date.

f. **Inspection Approach:** Explain in detail the team's methodology for conducting an inspection at each location. Normally, the team will state that it will conduct interviews, sensing sessions, document reviews, and observation -- or use only two or three of these information-gathering methods. List specifically the types or duties of the individuals -- by grade -- whom the team wishes to interview or sense. Outline in specific terms the documents the team must review. List the types of events that the team would like to observe and evaluate. This level of detail will assist the affected unit or agency greatly when coordinating and refining the team's itinerary.

g. **Interview Requirements:** This section of the plan should outline specifically the individuals whom the team must interview and sense by duty position and by number. The number of individuals may change by type of unit or location, so the team should consider generating separate requirements for specific units (for example, TDA units versus MTOE units). Tables work best when outlining these requirements (see the sample Detailed Inspection Plan for an example). This section should also outline all classroom and interview location requirements.

h. **Special Items of Interest:** A Special Item of Interest is an inspection topic that the team is sampling as part of the larger inspection. The team usually gathers this information using surveys or questionnaires; once analyzed, the information from these surveys goes into a separate memorandum to the commander and is not part of the Final Report (see Appendix A of this guide). If the inspection entails a Special Item of Interest (SII), then the team should mention that topic in a brief paragraph. The paragraph should explain the purpose of the SII and how the team plans to assess that topic while at a particular location (for example, questionnaires submitted to individuals following every interview or sensing session). The team will not brief any results of a SII during a unit-level inspection out-briefing.

i. **Inspection Itineraries:** Be clear about the unit or agency's responsibilities with regard to developing, coordinating, and refining the itinerary. A unit or agency representative should be the ultimate coordinator for everything that the team does during the visit. Explain in detail the unit's time requirements for submitting a draft itinerary to the team for review (at least one week before the scheduled visit). Include the Sample Inspection itinerary that the team developed as part of the methodology in this paragraph to help guide the unit or agency's efforts. Each unit or agency representative will work with his or her respective IG team chief to craft the right itinerary that will allow the team to accomplish the inspection objectives.

j. **Document Requests**: In most cases, the team will want to review a unit or agency's documents prior to arriving at the inspection location. This paragraph should explain precisely what documents the team must review and how the unit or agency should send them (FedEx, email, regular mail, and so on). The documents should arrive with the first draft of the itinerary.

k. **Resources:** This paragraph should explain to the unit or agency how the IG team plans to travel to the location (plane, rental car, TMP van, etc.). The team must also explain any individual equipment limitations as necessary. For example, the team members may have Kevlar helmets and LBE available for visiting field sites but may not have proper cold-weather gear, flak vests, sleeping bags, or other items that the team may need for certain events.

l. **Administrative Support Requirements**: List any equipment requirements that the inspection team will need while conducting the inspection visit. For example, desk space, computer and printing support, copy-machine support, and so on. The team should mention that the inspected unit or agency might have to provide the team with any additional TA-50 equipment as required.

m. **Report Completion Timeline:** Specify the dates that the team will brief the commander and complete the final report.

n. **Suspense Summary:** Summarize all requirements mentioned throughout the Detailed Inspection Plan for the affected units or agencies. This paragraph will ensure that the units or agencies understand all of the requirements set forth in the Detailed Inspection Plan.

o. **Distribution:** List all of the affected units or agencies that will receive a copy of the Detailed Inspection Plan. Each unit or agency must receive a signed copy of the Detailed Inspection Plan.

A sample Detailed Inspection Plan for a Force Protection Inspection is located on the next page.

DEPARTMENT OF THE ARMY
HEADQUARTERS, 66th INFANTRY DIVISION
FORT VON STEUBEN, VIRGINIA 12345

AFVS-IG 20 October ____

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Detailed Inspection Plan for the Force Protection Inspection

1. DIRECTIVE: On 12 August ____, the Commanding General directed the Inspector General to conduct a Special Inspection of Force Protection in the 66th Infantry Division. The Commanding General signed the Inspection Directive on 24 August ____.

2. INSPECTION GOAL: The goal of the inspection is to determine the effectiveness of the Force Protection Program in the 66th Infantry Division and in Fort Von Steuben's tenant units.

3. OBJECTIVES: The objectives for this assessment are as follows:

a. Determine if division, post, and tenant units understand Army and local Force Protection policies.

b. Determine if division, post, and tenant units are conducting adequate Force Protection training.

c. Determine if the division, post, and tenant units are implementing the Commanding General's critical Force Protection tasks as outlined in 66th Infantry Division Policy Letter Number 12, Force Protection.

4. TASK ORGANIZATION: An inspection team from the Inspections Branch of the 66th Infantry Division and Fort Von Steuben Inspector General's Office will conduct the assessment by inspecting 11 active-duty divisional units. The composition of the team and each person's security clearance is as follows:

MAJ List (Team Leader) - Top Secret
CPT Numero (Deputy Team Leader) - Top Secret
MSG Smith (Team NCOIC) - Secret
SFC Bergerac - Secret
SFC Purple (G-3 augmentee) - Secret
Mr. White (G-3 augmentee) - Secret

5. INSPECTED UNITS: The inspection will involve the following units and staff agencies on the dates indicated:

20 November: 1st Brigade Combat Team (staff and HHC)
22 November: 2-66 IN
24 November: 66th Aviation Brigade (staff and HHC)

26 November: 3-60 FA
28 November: 1-79 AR
30 November: 5-66 IN
2 December: 66th Personnel Services Battalion
4 December: 66th Sustainment Brigade (staff and HHC)
6 December: 2-66 AV
8 December: 5-6 Cavalry Squadron
10 December: Division Special Troops Battalion

6. INSPECTION APPROACH: The Inspection Team will spend one day inspecting each unit. The respective unit will draft an itinerary for the Inspection Team based upon the guidance outlined in paragraph nine of this document. The basic inspection approach at each location will be to in-brief the unit leaders and staff members; review relevant documents related to Force Protection in the unit; observe scheduled Force Protection events as available; survey Commanders, Executive Officers, Operations Officers, Command Sergeants Major, First Sergeants, junior officers, and NCOs through interviews and sensing sessions; and out-brief the unit leaders and staff members and provide general feedback.

a. **Personnel to Interview** (see paragraph seven below for specific requirements)**:**

- Commander / XO / CSM / S-3 or equivalent
- Junior Officers
- Company Commanders and First Sergeants
- NCOs (E-5 to E-7)
- Unit Force Protection Officers

b. **Documents to Review in Advance:**

- Division, Brigade, and Battalion Force Protection documents
- Unit SOPs relating to Force Protection
- Unit Force Protection programs and policies
- Unit Force Protection Plans for accomplishing critical tasks
- Results of any previous Force Protection inspections or assessments, to include results used as lessons learned

c. **Training to Observe (as available based upon the day that the inspection team visits the unit):**

- Force Protection briefings
- Force Protection inspections
- Force Protection after-action reviews
- Any training conducted on the topic of Force Protection

7. INTERVIEW REQUIREMENTS: The following table outlines the specific interview and sensing-session requirements for a standard battalion.

	Commander	CSM	XO / S-3	Junior Officers	First Sergeants	NCOs	Unit Force Protection Officers
Individual Interviews	1	1	1				1
Sensing Session: Co Cdr / 1SG	4				4		
Sensing Session: Junior Officers				14			
Sensing Session: NCOs						14	
Total Contacted	5	1	1	14	4	14	1

a. **Brigade-Level Headquarters Considerations.** The number of sensing-session participants will be fewer for each of the categories during visits to brigade-level headquarters and their respective headquarters companies (or batteries).

b. **Classroom and Interview Location Requirements.** Each sensing session will require a classroom or similar facility that is removed from the unit's normal work location. The area must be relatively quiet and free from interruptions and telephone calls. In addition, the room will need no less than eight chairs or desks formed into a "u" shape. The unit should schedule 90-minute blocks for each sensing session. Individual interviews can occur in the interviewee's office or in a similar location that is free from interruptions and telephone calls. The unit should schedule these interviews to last no more than one hour.

8. SPECIAL AREA OF INTEREST. The Inspection Team will not address a Special-Interest Item (SII) during this inspection.

9. INSPECTION ITINERARIES: The Inspection Team requests a draft itinerary that meets the requirements listed in paragraphs six and seven no less than 10 days before the day of the scheduled inspection. These itineraries should go directly to the Team Leader (see paragraph four). The Team Leader will work with each unit to determine which itinerary best allows the Inspection Team to meet the objectives listed in paragraph three. The intent of each inspection team is to conduct this assessment with minimal disruption to ongoing training. The team requires no special calendar arrangements except for the scheduling of group sensing sessions, interviews, and in- and out-briefings. A sample itinerary for a one-day unit inspection is as follows:

0800-0815 In-Brief Commander and Unit Leaders
0830-0930 Interview Commander

0830-1000	Sensing Session with Company Commanders and First Sergeants
0930-1030	Interview XO or S3
1000-1130	Review Documents
1000-1130	Sensing Session with Junior Officers
1030-1130	Interview CSM
1300-1400	Observe Force Protection events (as available)
1300-1430	Sensing Session with NCOs
1400-1530	Observe Force Protection events (as available)
1530-1630	Inspection Team In-Process Review (IPR)
1645-1715	Out-Brief Commander and Unit Leaders

10. PRE-INSPECTION DOCUMENT REQUEST: The Inspection Team requests that each unit send the following documents -- as they apply -- to the inspection Team Leader:

- Division, Brigade, and Battalion Force Protection documents
- Unit SOPs relating to Force Protection
- Unit Force Protection programs and policies
- Unit Force Protection Plans for accomplishing critical tasks
- Results of any previous Force Protection inspections or assessments, to include results used as lessons learned

The intent of this document request is to view only those documents that relate to Force Protection. Avoid sending documentation that does not apply to Force Protection. These documents are due to the Inspection Team Leader not later than 10 days before the scheduled inspection. Electronic versions of these documents sent via email are acceptable.

11. RESOURCES: The Inspection Team will travel to each unit using a locally procured TMP van. The team members do not require any additional transportation. Each team member will have a Kevlar helmet, LBE, Gortex jacket, and flak vest for visiting live-fire ranges and field training. The unit will provide other special equipment to the team members as required.

12. ADMINISTRATIVE SUPPORT REQUIREMENTS: The Inspection Team will require the following administrative support assistance from each unit:

a. Desk space for three or more people
b. Access to a computer
c. Printer and copying support

13. REPORT COMPLETION TIMELINE: The results of the inspection will be contained in a written report distributed throughout the division and the installation following the Commanding General's approval of the results. The schedule to complete the report is as follows:

a. Out-brief the Commanding General: 30 December ____
b. Complete report: 10 January ____

14. SUSPENSE SUMMARY: A summary of the suspenses contained in this document is as follows:

a. Draft itineraries due to the Inspection Team no less than 10 days before the date of the scheduled inspection.

b. Requested documents due to the Inspection Team not later than 10 days before the day of the scheduled inspection.

15. POC for this inspection is MAJ List, (703) 123-5678 or DSN: 555-5678, listfe@ignet.army.mil.

Encl
Inspection Directive

ALBERT R. RIGHTWAY
LTC, IG
Inspector General

DISTRIBUTION:
Commander, 1st Brigade Combat Team
Commander, 66th Aviation Brigade
Commander, 66th Sustainment Brigade
Commander, 2nd Battalion, 66th Infantry
Commander, 5th Battalion, 66th Infantry
Commander, 1st Battalion, 79th Armor
Commander, 3rd Battalion, 60th Field Artillery
Commander, 2nd Battalion, 66th Aviation
Commander, 66th Personnel Services Battalion
Commander, 5th Squadron, 6th Cavalry
Commander, Division Special Troops Battalion

Section 4-2

The Preparation Phase
Step 5: Train Up

1. **Training for the Inspection:** Once the IG inspection team completes and issues the Detailed Inspection Plan, the team can focus its efforts on training for -- and preparing to conduct -- the inspection. The team must perform a series of tasks and generate certain key products as follows:

a. Conduct additional training on the inspection topic as required.

b. Develop specific duties and responsibilities for the augmentation personnel.

c. Develop information-gathering tools such as interview questions, sensing-session questions, and direct-observation spot-report formats.

d. Develop standard in-briefing and out-briefing formats.

e. Conduct equipment inventories and rehearsals.

f. Rehearse interviews and sensing sessions if feasible.

g. Conduct a Pre-Inspection visit (Step 6 of the Preparation Phase).

The physical outputs of this step are the augmentee responsibilities, information-gathering tools, and standard in-briefing and out-briefing formats.

2. **Additional Training:** After planning in detail for the inspection, the Inspection Team Leader may realize that the Research step did not provide all of the information that the team members need to accomplish the inspection successfully. The Team Leader may decide to ask the augmentees -- as subject-matter experts on the inspection topic -- to conduct additional training classes for the IG team members. The Team Leader may also request classes from external subject-matter experts who can complement the information provided by the augmentees. IG team members can also attend established Army schools on the topic if these schools exist and if time and funds permit. Another technique is to hold round-table discussions with the team members to discuss key aspects of the inspection topic. The sources for these discussions should be the applicable regulations and manuals governing the inspection topic. Once the Team Leader feels comfortable that the team knows enough to conduct the inspection effectively, he or she will "certify" -- in a subjective sense -- the team's ability to go forth and inspect units or agencies. No standard certification process exists or is necessary.

3. **Duties of the Augmentees:** The Team Leader should capture in writing the duties and responsibilities of the augmentees to avoid confusion as the inspection progresses. A good technique for presenting the augmentees with these responsibilities is to conduct a short IG training session for them. The IG team members can brief the augmentees on IG responsibilities, the notion of confidentiality, and the use of IG records. The Team

Leader can then brief the augmentees on their responsibilities and solicit their immediate feedback. The Team Leader should end the session by swearing in the augmentees (see paragraph 2-5 in AR 20-1) as Temporary Assistant IGs. A sample list of responsibilities for augmentees from a Safety Office supporting a Risk Management inspection is as follows:

a. Primary responsibility is to review all Risk Management documents gathered as part of the inspection and then to write brief assessments of each document in the relevant Trip Reports.

b. Secondary responsibility is to observe and comment upon Risk Management in training events and POV safety.

c. Serve as sensing-session recorders as necessary.

d. Provide continuous expert advice to the IG team members throughout the conduct of the inspection.

e. Assist the Team Leader in reviewing and critically analyzing each chapter of the Final Report to ensure that the findings are logically sufficient and in line with current Risk Management doctrine and practice.

4. **Developing Information-Gathering Tools:** The information-gathering tools that the team may need to develop in order to execute the inspection are interview and sensing-session questions, observation spot-report formats, surveys or questionnaires, and guidelines for document review.

a. **Interview and Sensing-Session Questions:** The team members must develop the interview and sensing-session questions based upon the Sub-Tasks created for each objective during Step 4. The questions should answer the basic requirements for those Sub-Tasks that rely upon these information-gathering techniques for data. The team members can design questions that -- when answered -- will provide information relevant to one or more Sub-Tasks. The questions must be open-ended in nature and offer the opportunity for follow-up questions. Close-ended questions that require only a "yes" or "no" response will not allow the inspection team to get at the root causes of any compliance or non-compliance issues. The interviewer or sensing-session facilitator must never treat the questions as a checklist but instead allow them to guide a free-flowing discussion that may lead to more in-depth and insightful information. The inspector must keep in mind that the pitfall of using checklists for any type of inspection is that they fail to allow an inspector to get at the root cause of any problems. The inspection team must also develop all questions with the intended audience clearly in mind. In most cases, the team will develop two sets of interview questions and two sets of sensing-session questions (one set each for senior individuals and another set for more junior people). The following set of interview questions is for a Risk Management inspection:

Interview: Commander / XO / S-3 / CSM / Person in Charge

Interviewee _____Unit _____Date_____
Duty Position_____ Time in Current Position _____

1. Describe Risk Management in your organization and your involvement in the process both on duty and off duty. (Sub-Tasks 1.1 and 2.2)

2. Describe the integration of Risk Management into leader-development programs and how you assess the results. (Sub-Task 1.3)

3. Describe a recent application of the Risk Management process. What were the specific hazards identified and Safety Controls implemented? (Sub-Tasks 2.1 and 2.6)

4. Who has the authority to stop training? When do you cancel or postpone a training event? (Sub-Tasks 1.1, 1.2, and 1.3)

5. If you had to predict the next accident, where or how will the accident occur? On duty or off duty? What can be done to prevent the accident? (Sub-Tasks 2.6, 2.7, and 3.4)

6. When was this unit's last accident? What Training Safety Controls have you used in the past? How have you measured the effectiveness of these controls? (Sub-Tasks 2.6, 3.1, 3.2, and 3.4)

7. How do you gather and disseminate information about accidents? (Sub-Tasks 2.3, 3.1, and 3.4)

8. POV accidents account for over 50 percent of Soldier fatalities in the Army today. What do you do to prevent POV accidents? Are you using the POV Safety Tool Box and the CSA's Six-Point POV Safety Program? (Sub-Tasks 1.4, 1.7, 2.6, 2.7, and 3.3)

9. Does your unit conduct POV inspections and safety briefings prior to long weekends and holidays? What happens when a POV fails that inspection? (Sub-Task 2.8)

10. How are newly arrived leaders and Soldiers trained on Risk Management? (Sub-Tasks 1.1, 1.2, and 1.3)

11. Is Risk Management second nature to leaders? Does Risk Management limit your ability to conduct safe and realistic training? Why? (Sub-Tasks 1.1, 1.6, and 2.4)

Notice that the questions are focused on a conversation with one person and that the questions lend themselves to a more open discussion. The interviewer does not have to ask each question in sequence but can allow the interviewee to expand upon the discussion naturally; the interviewer can always ask the questions not covered at a later time. Also note that the relevant Sub-Tasks follow each question to show the direct link between the questions that the interviewer is asking and the information required to answer the Sub-Tasks. In this case, Sub-Task 1.2 means Sub-Task 2 of Objective 1. Since an interview normally lasts for one hour, the team should develop no more than 10 or 11 questions for an interview. In this case, the interview questions are focused on senior individuals. A second set of questions for junior leaders will be slightly different;

however, many of the questions may remain the same. These same guidelines apply for the development of sensing-session questions. The greatest difference is that the audience is now several people and not simply one person. The sensing-session questions should facilitate a group discussion. A sample set of sensing-session questions for a Risk Management inspection is as follows:

Sensing Session: Instructors / Cadre Members / Junior Leaders

Duty Positions_____Unit_____Date_____
Interviewees' Grade Structure_____

1. Describe the integration of Risk Management in your organization. (Sub-Tasks 1.1, 1.3, 2.1, and 3.2)

2. What is the unit / school approach to Risk Management? Is Risk Management a real program or a paper drill? Why? (Sub-Tasks 1.1, 2.2, 2.6, and 3.1)

3. What Risk Management training did you receive in your instructor training? Do you think that you are adequately prepared to teach and integrate Risk Management into training? (Sub-Tasks 1.5 and 2.2)

4. Describe the integration of the Risk Management process into leader-development programs and how you assess the results. (Sub-Tasks 1.5 and 2.3)

5. In your judgment, is the training realistic, necessary, relevant, and safe? Discuss this idea a bit. (Sub-Tasks 3.4 and 3.5)

6. Under what conditions do you have the authority to cancel or postpone a training event? Could the students or EMs stop a training event? (Sub-Tasks 1.1, 1.5, 2.1, and 2.2)

7. What information sources are available to help leaders make appropriate Risk Management decisions? Is that information adequate? (Sub-Tasks 1.5, 2.6, 3.3, and 3.5)

8. Does the Risk Management process interfere with training? How? What is your assessment of the command's emphasis on Risk Management in training? (Sub-Task 3.4)

9. What happens when an on-duty or off-duty accident occurs? How does the information get to the Soldiers? (Sub-Tasks 1.7, 2.4, 2.7, 4.1, and 4.3)

10. If you had to predict the next on-duty or off-duty accident, where and how would that accident occur? What could you do to prevent that accident? (Sub-Tasks 3.6, 3.7, 4.3, and 4.4)

Some of these questions are similar to the interview questions presented earlier, but the focus of these questions is to promote a group discussion. Sensing sessions last longer than interviews (90 minutes or less), but the number of questions should still remain at around 10 or 11. More people will be talking, so the facilitator will require more time.

b. **Observation Spot-Report Formats:** Since direct observation is one of the more important information-gathering techniques available to an IG, the inspection team should consider developing a standard format for capturing information gleaned from observing training or other events. The format can pose questions that will jog the observer's memory about the topic while leaving enough space to capture comments and descriptions. An example of a spot-report format for a Risk Management inspection is as follows:

Risk Management - TYPE OF TRAINING EVENT:						UNIT		SITE	YOUR NAME
INDIVIDUALS PRESENT	BDE LEVEL	BN LEVEL	CO LEVEL	POST	TOTAL OFFICERS	TOTAL NCOS	TOTAL ENLISTED	TOTAL CIVILIANS	**TOTAL**
LEADERS / CADRE									
TRAINEES / STUDENTS									

RISK MANAGEMENT INSTITUTIONALIZATION AND INTEGRATION IN TRAINING: WAS RM INCORPORATED; RM IN MDMP; IS RM SECOND NATURE; WAS THE TRAINING SAFE, REALISTIC, AND PRODUCTIVE; TRAINING SAFETY CONTROLS; MEDICAL SUPPORT; DESCRIBE PROBLEMS

DURATION OF OBSERVATION: **INSTRUCTOR / LEADER TO STUDENT / SOLDIER RATIO:**

RISK MANAGEMENT WORKSHEET (RMW)

	RMW ON HAND	HAZARD LEVEL	WERE HAZARDS MITIGATED	SIGNED BY	WAS RMW UPDATED	REMARKS
HAZARD 1						
HAZARD 2						
HAZARD 3						
HAZARD 4						

c. **Surveys and Questionnaires:** Surveys and questionnaires are nothing more than interview questions converted to a close-ended format. These questionnaires should have "yes" or "no" questions or a multiple-choice answer. Individuals will complete and then submit these questionnaires with little or no interaction with the respondent. Questionnaires and surveys are really one in the same. However, their purpose is to determine if something is occurring or not occurring in a unit or agency and not necessarily to discover the root cause of any problems. Yet the inspection team may design some of the questions to help get at some type of root cause, but that root cause may only be superficial in nature. Surveys and questionnaires are best used when the IG team only requires a sampling of information from a certain population. This method of gathering information is best suited for Special-Interest Items.

d. **Guidelines for Document Review:** Guidelines for document review are nothing more than a list of considerations -- or even questions -- that the reviewer should follow for all documents reviewed on a similar inspection topic. Since the review of most documents will be open-ended and depend upon what the reviewer discovers, the

reviewer can still develop in advance a list of key items the inspection team would like to know is included in -- or absent from -- the documents under review.

5. **Standard In-Briefing and Out-Briefing Formats:** The Team Leader of each team (if operating in two or more teams) must always brief the leadership of the command or unit that the team is inspecting immediately upon arrival. This initial briefing will come in the form of an in-briefing, which will outline the basic purpose and methods behind the inspection. Following the inspection, the Team Leader will conduct an out-briefing with that same leadership that offers some feedback about what the inspection team found or learned. In an effort to ensure uniformity and consistency, the team must develop standard formats for these two briefings. Much of the basic inspection information that these briefings will include can come directly from the Concept-Approval Briefing.

a. **In-Briefing Format:** The standard in-briefing should be informative, focused, and brief. The presentation is strictly an information briefing and should not include any information that will raise questions among the command or unit's leaders. The in-briefing should include the following:

(1) Inspection Goal

(2) Inspection Intent (should include a bullet that states that the inspection will be open and discreet with no surprises)

(3) Inspection Objectives

(4) Task Organization

(5) Inspection Concept (one slide per phase if required)

(6) Special-Interest Item (if applicable)

(7) List of locations and units that the team (or teams) will visit

(8) Inspection Timeline (locations to visit by month and phase)

b. **Out-Briefing Format:** The standard out-briefing will comprise two parts: The first part will offer refresher information from the in-briefing that reminds the leaders of the inspection's overall purpose, and the second part will include feedback from the inspection. The out-briefing must be fully redacted for all attribution save for the good news observations. The out-briefing format should include the following:

(1) Inspection Goal

(2) Inspection Intent (should include a bullet that states that the inspection was open and discreet with no surprises)

(3) Inspection Objectives

(4) Training or Events Observed and Assessed (this slide will quantify the numbers of individuals interviewed and sensed, the number of documents reviewed, and the number of events observed)

(5) Good News Observations (this slide should list no less than three positive features of the inspection and can include the names of individuals or units)

(6) Training or Events Observed (this slide will include bullets that comment upon the training or other events observed by the inspection team)

(7) Documents Reviewed (this slide should offer some brief comments about the results of the inspection team's analysis of the command's or unit's documents)

(8) Interviews and Sensing Sessions (this slide -- or slides -- should provide unprocessed comments taken directly from interviews and sensing sessions; the Team Leader must emphasize to the leadership that these slides are not the result of IG analysis but are simply restated -- but relevant -- comments from anonymous individuals throughout the command)

(9) Summary Slide (this slide should not attempt to endorse or validate any one unit's particular program or operation; the Final Report will cover that issue)

6. **Equipment Inventories and Rehearsals:** Inspection teams should consider the following listed materials when constructing an IG travel book or bag.

a. Smart book with:
- Inspection Directive (at least 10 copies)
- Inspection concept / plan
- Warning order / Notification Letter
- Detailed Inspection Plan
- Methodology
- Standard in-briefing and out-briefing formats
- Sensing-session and interview questions
- Surveys and questionnaires (required number of copies)
- Observation spot reports (at least 10 copies)
- Telephone / email contact roster of team members

b. Security memorandum from the unit security manager (if applicable)
c. IGAR (DA Form 1559) (10 copies)
d. IG official vehicle placard
e. DD Form 1610 (if traveling)
f. Government credit card (if traveling)
g. ID card (or Common-Access Card)
h. Army values card / tag
i. Identification tags
j. Itinerary
k. Plane tickets (if traveling)
l. Lodging confirmation (if traveling)
m. Rental car confirmation (if traveling)
n. Passport (if traveling overseas)
o. Country clearance (if traveling overseas)
p. Immunization / shot records (if traveling overseas)
q. International driver's license (from American Automobile Association) (if traveling overseas)

r. Copies of all applicable standards, regulations, and manuals
s. The Inspections Guide from TIGS
t. Laptop with CD drive and disks
u. Cellular phone with power adapter (Team and Sub-team Leaders)
v. Desk-side briefing binder
w. Office supplies (pens / markers / binder clips / stapler / tape / folders / highlighters)
x. Briefing pointer
y. TA-50 (if required)
z. Personal business cards

Each Team Leader should conduct a rehearsal inventory of this equipment prior to conducting the Pre-Inspection Visit and the actual visits to the inspected units. The intent behind carrying these items is to reduce the IG team's resource demands on the inspected units or agencies.

7. **Interview and Sensing-Session Rehearsals:** Interview and sensing-session rehearsals may be difficult to conduct prior to executing the Pre-Inspection Visit. The team members can practice interviews with each other with some ease, but gathering enough individuals to conduct practice sensing sessions may not be feasible. In any case, the inspection team's interviewers and sensing-session facilitators should practice their introductions, room set up, and overall technique before conducting the Pre-Inspection Visit. Rehearsals of this nature will help the team members shake out some of the basic details of conducting an interview and sensing session. Sensing-session facilitators should also discuss their technique with their recorder to ensure that both individuals have the same focus and intent.

8. **Pre-Inspection Visit:** The Pre-Inspection Visit is a separate step of the Preparation Phase that the inspection team will conduct immediately following completion of the Train-Up step. This particular step is covered in a separate section.

Section 4-2

The Preparation Phase
Step 6: Pre-Inspection Visit

1. **Purpose of the Pre-Inspection Visit:** Pre-Inspection Visits are necessary to validate and refine the inspection team's methodology and information-gathering tools (interview questions, etc.).

2. **Selecting a Unit for the Pre-Inspection Visit:** The inspection team should identify the Pre-Inspection unit -- or units -- during the Plan-in-Detail step (Step 4). The unit or agency should be a representative, median example of the type of unit or agency that the inspection team will visit. For example, if eight of the 12 units that the team will visit are battalions, then the team should select a battalion for the Pre-Inspection Visit. The unit must not be part of the planned inspection. If the inspection team will visit two or more types of units or agencies using separate methodologies for each one, then the inspection team must conduct a Pre-Inspection Visit with each type of unit or agency to validate each methodology.

3. **Notifying the Units or Agencies Selected for the Pre-Inspection Visit:** Notification of the Pre-Inspection Unit (or Units) should occur at the same time that the inspection team notifies the units selected for the actual inspection. The Pre-Inspection Unit should receive a telephonic Warning Order, a Notification Letter, and a Detailed Inspection Plan. The primary difference is that these documents will only identify the unit (or units) selected for a Pre-Inspection Visit. Some of the information in each document may need to be altered to facilitate the shorter lead time that the Pre-Inspection Unit may face. In most cases, the inspection team will work more closely with the Pre-Inspection Unit for itinerary development and other requirements. The planning documents must state that the unit is a Pre-Inspection Unit and that the information gleaned from the visits will not be used for the inspection or included in the Final Report.

4. **Conducting the Pre-Inspection Visit:** The inspection team should treat the Pre-Inspection Visit as a full dress rehearsal for the actual inspection. The team should arrive prepared to execute the methodology precisely as planned. Explain to the leadership at the in-briefing that the visit is a pre-inspection exercise, but that fact should not alter the team's approach in any way. The team members may solicit feedback about the conduct of the inspection from the unit's participants during the course of the visit, but the unit should not see a visible difference between the team's planned methodology and the actual execution of that methodology. The team must also provide feedback to the unit at the out-briefing so that the unit may benefit from participating in the pre-inspection exercise.

5. **Refining the Methodology and Information-Gathering Tools:** Once the Pre-Inspection Visit -- or Visits -- is complete, the inspection team should return to the IG shop and refine the methodology and information-gathering tools as necessary. The team members should gather and share any information that may lead to more improved versions of the interview questions, sensing-session questions, and so on. In most cases, the basic methodology will not change -- just the detailed approach. The team should also complete a full Trip Report for practice and, more importantly, for record -- even though the information will serve no purpose in the Final Report. After the adjustments to the tools are complete, the inspection team is ready to visit the units.

Section 4-3

The Execution Phase

1. **Purpose:** This section discusses the Execution Phase of the Inspections Process and the five steps included in that phase.

2. **The Execution Phase:** The Execution Phase of the Inspections Process represents the heart of the inspection since inspectors will spend this phase gathering information and then analyzing that information. The Execution Phase has five discrete steps, but some of these steps may be repeated several times before progressing to the next step (for example, Visit Units and IPR). The five steps of the Execution Phase are as follows:

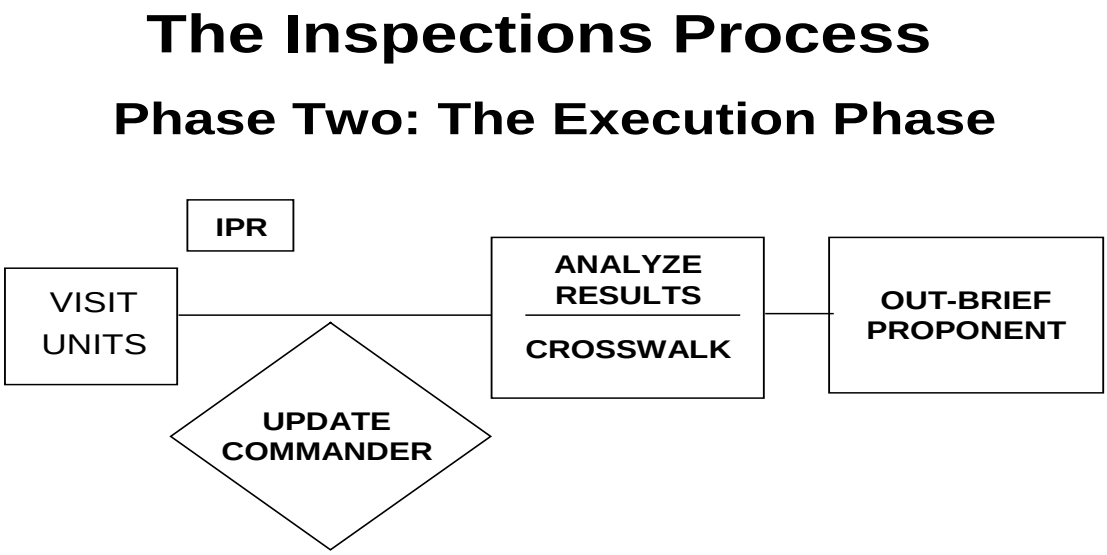
a. Visit Units

b. In-Process Review (IPR)

c. Update the Commander

d. Analyze Results and Crosswalk

e. Out-Brief the Proponent



Section 4-3

The Execution Phase
Step 7: Visit Units

1. **Visit Units:** The inspection team will put into practice their validated methodology and information-gathering tools during this step of the Execution Phase. The inspection team will repeat this particular step each time the team visits a unit. The team will arrive at each unit (or agency) ready to conduct an in-briefing and execute the itinerary developed in accordance with the Detailed Inspection Plan. Visits to units or agencies may last one day or several days. During this time, the team members will gather information by conducting interviews and sensing sessions, administering questionnaires or surveys, observing events, and reviewing documents -- all in accordance with the inspection methodology. At the end of the visit, the inspection team will conduct an In-Process Review (explained in greater detail in Step 8) with the sole purpose of developing an out-briefing to present to the unit leadership upon the team's departure. The team will repeat this process for every inspection visit.

2. **Actions Following a Unit Visit:** Some inspection teams may develop an inspection schedule that affords them one day between visits or several days between visits. In any case, the team must return to the IG shop following each inspection visit and craft a detailed Trip Report (the only physical output of this step) that captures the critical information gleaned during that visit. The Trip Report should be in memorandum format and include a paragraph for each interview and sensing session conducted, each document reviewed, and each event observed. These paragraphs will appear in the Trip Report as an observation and will include four possible types of information:

a. **Raw-data information:** Unprocessed examples of what the inspector saw, read, or heard.

b. **Synthesized information:** Sentences that combine raw-data information in an effort to summarize that information.

c. **Analyzed information:** Sentences that critically examine and process raw-data information in an effort to glean greater meaning from the data.

d. **Inspector's opinion:** Sentences that capture the inspector's sense or impression of the event observed or people interviewed.

Once completed, these Trip Reports will serve as the primary-source documents for writing the Final Report, so they must be thorough, accurate, and complete. The longer the inspection team waits before writing a Trip Report, the greater the amount of information that the team will lose. Hand-written notes will become more undecipherable, and the individual team members will begin to forget important points that they might not have captured in their notes. Writing the Trip Report immediately after an inspection visit allows the inspection team to capture more detailed information for the Final Report. In addition, the Trip Report also serves as a record of the IG team's visit to the unit. If an unforeseen event occurs that causes the commander to cancel the inspection, the

inspection team will still have detailed Trip Reports that can serve as the basis for a detailed Final Report written much later. If the team never finishes the inspection, then the Trip Report still serves as a detailed record of the information gathered from each unit up until the point that the inspection ended.

3. **Writing the Trip Report:** The Team Leader or Team Deputy is normally responsible for setting writing deadlines, compiling the completed paragraphs, and then editing the final product for content and grammar. Each member of the team must contribute to the report.

a. Setting a Writing Deadline: The Team Leader or Team Deputy is responsible for setting a clear, reasonable writing deadline aimed at completing the Trip Report before embarking upon the next inspection visit. Since most team members will only have one or two paragraphs to write, a one-day deadline is often quite reasonable.

b. Writing the Sub-Paragraphs: Each team member must write paragraphs that capture the results of interviews, sensing sessions, observations, and document reviews in which he or she participated. No one should write another team member's paragraphs using notes from that person's information-gathering activities because some data will almost certainly be lost. Each team member must ensure that he or she lists the Sub-Tasks that apply to the information contained within each sub-paragraph. These paragraphs must follow the inspection team's prescribed Trip-Report format precisely.

c. Compiling the Trip Report: The Team Leader or Team Deputy will compile the completed Trip Report (electronically if possible) and then edit the document for comprehensibility, format, and grammar. The Team Leader or Team Deputy will then print a final copy for signature.

d. Signing and Approving the Trip Report: The Team Deputy will submit the Trip Report to the Team Leader for final review and signature. If the team is task organized into sub-teams, the sub-team leader will sign and approve his or her own team's Trip Report and send a copy to the overall Team Leader for information purposes only. All original, signed copies of the Trip Reports will go into the inspection team's archive file or book along with a copy of the unit out-briefing slides.

A sample Trip Report for an Organizational Inspection Program (OIP) inspection is on the next page.

DEPARTMENT OF THE ARMY
HEADQUARTERS, 66th INFANTRY DIVISION
FORT VON STEUBEN, VIRGINIA 12345

AFVS-IG 27 October ____

MEMORANDUM FOR RECORD

SUBJECT: Organizational Inspection Program (OIP) Inspection at the 3rd Battalion, 66th Infantry (26 October ____)

1. **General.** One team composed of two Inspectors General and three members of the division staff inspected the Organizational Inspection Program (OIP) at the 3rd Battalion, 66th Infantry, on Fort Von Steuben on 26 October ____. The team conducted the inspection in accordance with the Commanding General's directive and objectives.

2. **Team Composition.**

Team A:
MAJ List
MSG Smith
MSG Blue (G-1)
SFC Yellow (G-2)
SSG Purple (G-4)

3. **Scope of the Visit:** The team observed and assessed two inspection events, interviewed and sensed nine Soldiers from the rank of lieutenant colonel to first sergeant, and evaluated the OIP content in one document.

4. **Observations.**

a. **Inspections Observed:**

(1) **Observation 1** (Sub-Tasks 2.1 and 3.1). **Arms-Room Inspection of Company B (conducted by SSG Hulka, S-2).** The company armorer was clearly ready for the inspection. LT Billygoat, the Arms-Room officer, stated that he knew about the inspection for at least a month. SSG Hulka followed an inspection checklist that appears to have originated at division G-2; the checklist was dated February 1988. SSG Hulka knew what he was doing and conducted the inspection professionally. He checked the key-and-lock inventory sheets and found several deficiencies, which he noted on his inspection checklist. SSG Hulka mentioned that he had conducted several of these inspections over the past year but learned only from experience (he never received training on how to inspect). SSG Hulka gave a very specific out-briefing to the armorer and LT Billygoat. He told them how to fix the deficiencies noted and gave them a copy of his inspection results. The arms room passed the inspection with only minor deficiencies.

(2) **Observation 2** (Sub-Tasks 2.1 and 3.1). **Brigade S-4 Staff Assistance Visit to the Battalion S-4 Shop (LT Woppy, Battalion S-4) (Inspection**

conducted by MSG Chex, Brigade S-4). MSG Chex had never before conducted a Staff Assistance Visit. Instead of looking at the property books and other S-4 documents, he simply discussed his checklist with LT Woppy and the S-4 NCOIC. LT Woppy and his NCOIC did not seem impressed by the discussion. The checklist that MSG Chex used in his discussion seemed to come from division G-4 and was dated April 1993. After about 45 minutes, MSG Chex departed and did not offer LT Woppy any specific feedback about the condition of the battalion S-4 shop.

b. **Documents Reviewed:**

(1) **Observation 1** (Sub-Task 1.3). **Battalion OIP Results for the Past Two Years.** The Battalion XO is in charge of the battalion's OIP, and he maintained a book with all previous OIP results. The OIP results dated back four years, but several yearly packets seemed to be incomplete. The results did not include summaries of the battalion's performance but instead contained only photocopies of the inspectors' checklists for each of the inspected functional areas. In each case, the Battalion Commander personally conducted barracks and in-ranks inspections; his signature was at the bottom of each of these checklists. The checklists offered very few written comments and gave no sense of how the inspected individuals fared in the inspection. Overall, the results offered no clear indication of how the battalion performed in the previous inspections and suggested that no subsequent inspections occurred.

c. **Individuals Contacted (Interviews and Sensing Sessions):**

(1) **Observation 1** (Sub-Tasks 1.1, 1.3, 3.1, and 3.3). **Company Commander and First Sergeants Sensing Session.** The First Sergeants felt that the battalion's OIP was executed carelessly and was intended to "check the block" without focusing on how to improve the inspected areas. The Company Commanders believed that the OIP was a distraction and kept them from focusing on their real wartime mission and training. None of the commanders present had received his Initial Command Inspection within 90 days. All of them stated that they received their Initial Command Inspection within six months. The Company Commanders felt that these initial inspections were good but that no one ever followed up on the results to check for improvement. The First Sergeants said that these inspections were nothing more than a 'paper drill.' None of the Company Commanders had ever seen a written battalion OIP program.

(2) **Observation 2** (Sub-Tasks 1.1, 1.3, 2.1, 3.1, and 3.3). **Interview with the Battalion Commander (LTC Jones).** LTC Jones has been in command for 13 months. He admitted that he did not have a written OIP program 'as far as he knew.' He allows the XO to handle the OIP and conduct the program "the way the unit did it in the past." He has never seen a written brigade OIP but stated that the Brigade XO normally discusses OIP-related topics at the brigade staff calls. He was not aware of the division OIP memorandum and had never heard of AR 1-201. The battalion recently conducted some Staff Assistance Visits to the companies in preparation for the Brigade Command Inspection in January, but some Company Commanders complained that the inspectors were too inexperienced or untrained. Initial Command Inspections for the companies normally occur within six months but almost never within 90 days. LTC Jones never recalled conducting a Subsequent Command Inspection for any of his companies and had never before heard of that type of inspection. LTC Jones feels comfortable that the

brigade is scheduling Command Inspections well in advance. He is not aware of any inspector-training programs within his battalion.

5**. Good News Stories.**

a. SSG Hulka, the S-2 NCOIC, conducted an excellent and professional inspection of Company B's arms room.

b. The battalion is maintaining a consolidated book of results for all previous inspections dating back four years.

c. The Battalion Commander has designated the Battalion XO as the primary coordinator of the battalion's OIP and all other inspections.

6. **Additional Informational.** None.

//original signed//
FRANK E. LIST
MAJ, IG
Chief, Inspections Branch

Encl
Out-Briefing Slide Packet

Footer for <u>all</u> pages:

For Official Use Only (FOUO)
Dissemination is prohibited except as authorized by AR 20-1.

Take note of the level of detail involved in each paragraph. As the inspector writes out his or her observations using notes taken during the visit, the inspector will begin to recall details that he or she failed to capture on paper. These details may prove essential to the findings in the Final Report. The more detail that each inspector adds -- the better! The Good News information located in paragraph five is from the out-briefing (not presented here). Also, notice the footer that must appear at the bottom of each page.

4. **Inspector General Information:** Trip Reports are not redacted (edited) for attribution. Instead, Trip Reports list units and interviewees by name in case the team members need to know the source of the information for potential cross-walking issues at a later time. Since IGs must protect this information in order to protect confidentiality, a footer must appear at the bottom of each page (see the example above) that reminds an IG (and others) that the information is in fact IG information -- portions of which AR 20-1 and the Freedom of Information Act (FOIA) exempt from mandatory disclosure. Only redacted reports -- or reports edited for attribution -- can be released under Exemption 5 of the FOIA. See AR 20-1, paragraph 3-2, for further information.

Section 4-3

The Execution Phase
Step 8: In-Process Review (IPR)

1. **Purpose of the In-Process Review (IPR):** An In-Process Review (IPR) is a meeting of inspection team members for the sole purpose of compiling information gathered during an inspection visit -- or several visits -- and sharing it. By sharing key bits of information at the IPR, the team members can gain a perspective on where the inspection results are leading them and what patterns and trends are beginning to appear. The IPR is an organized, well-prepared meeting that has an agenda and a means of collecting data for open consideration by all team members. The IPR should last no more than 90 minutes. Generally, IGs convene IPRs for two different reasons and purposes:

a. Immediately following an inspection visit to a unit or agency with the sole purpose of sharing information **to produce an out-briefing**. Conducting daily team IPRs at the inspection location is essential. If the visit to the unit or agency lasts for two or three days, the team must gather at the end of each day to share data gleaned from the day's information-gathering activities. This information allows the Team Leader to determine if certain team members must pursue certain issues that arise or conduct cross-walking efforts to verify or substantiate existing information. If the visit to the unit or agency lasts only one day, the team will conduct one IPR and produce the out-briefing at the end of that meeting. The information shared at these IPRs feeds directly into the out-briefing. The IPR Worksheet completed at the end of the inspection visit will provide the Team Leader with the information necessary to craft a useful and focused out-briefing presentation.

b. Periodically during the course of an inspection to share information gathered at several units in order **to identify trends and patterns**. The Team Leader of the overall inspection effort may decide to convene IPRs at the IG office following every third or fourth unit visit. The purpose of these IPRs will be to share information gathered from several units so that the team can identify developing trends and patterns. These trends and patterns will provide the basis for feedback to the commander during the mid-inspection update (if requested by the commander).

These two products -- the out-briefing and trends analysis -- represent two potential physical outputs of an IPR. IPRs may occur to generate other products as well.

2. **IPR Analysis Tools:** Sharing information during an IPR can be a challenge. The best method for sharing information or developing trends is to develop a method (or methods) that captures the information and presents it visually so that everyone on the inspection team can see the information and discuss it. Two recommended IPR analysis tools are discussed below.

a. **The IPR Worksheet:** This worksheet brings together the key points that all members of the team gleaned from their interviews, sensing sessions, document reviews, and observations at a particular unit or units. When multiple teams come

together periodically during the course of the inspection to share information, the best way to complete the worksheet is to focus on one team at a time. If a team is conducting a unit-level IPR, the best method is to complete the worksheet by individual team member. In all cases, a designated scribe will capture the information by inspection team or team member, by objective, and by information-gathering domain (interviews, sensing sessions, etc.). The best technique for capturing and sharing this data is to draw an IPR Worksheet on butcher-block paper and add everyone's comments directly to those sheets. Once the IPR is over, the Team Leader can transfer the data to an electronic version of the worksheet for later dissemination. A sample IPR Worksheet is as follows:

IPR WORKSHEET

Location(s): _____(Date)

Team / Team Member	Objective 1	Objective 2	Objective 3	Objective 4	Objective 5

The inspection team may add more rows to the worksheet as necessary based upon the number of teams or the number of team members. The scribe can also write the objective directly below the objective headings.

b. **Trends Analysis Sheet:** This sheet will allow the assembled inspection team to review present and past IPR Worksheets and list any obvious trends that are arising. A designated scribe should list the trends by unit (using butcher-block paper) and then revisit each one during subsequent IPRs. Some trends may fade or fall away over time and become invalid. This information proves extremely useful when developing a mid-inspection IPR briefing for the commander. Once the IPR is over, the Team Leader can transfer the data to an electronic version of the Trends Analysis Sheet for later dissemination. A sample Trends Analysis Sheet is as follows:

TRENDS ANALYSIS

TREND	UNIT	UNIT	UNIT	UNIT	UNIT

3. **Conducting the IPR:** The overarching purpose of all IPRs is to share information; however, the output of each IPR may vary. IPRs conducted at the end of a unit visit will produce an out-briefing; however, IPRs conducted periodically at the IG office during the course of the inspection will consider information from several units and produce trends and patterns. Despite the final output of the IPR, the conduct of the meeting will generally remain the same. An IPR should occur as follows:

a. Presentation of the IPR agenda by the Team Leader.

b. Review of the next day's itinerary or upcoming unit itineraries.

c. Discussion of any administrative data or requirements.

d. Completion of the IPR Worksheet. The best technique for completing the IPR Worksheet is to sketch out a worksheet matrix on butcher-chart paper with one objective per sheet. The Team Leader will explain that a designated scribe will complete the worksheet by team or individual, by objective, and by information-gathering method (interviews, sensing sessions, etc.). The Team Leader will then call upon each team or individual to mention those items that pertain to that objective. For example, the Team Leader will begin by asking for interview results for Team A for Objective 1. Someone from Team A will then state the information that the team (or person) deems relevant while the scribe writes the information (in abbreviated form) on the butcher-chart paper. The process can stop for discussions and explanations as necessary. When the process is finished, the butcher-chart worksheet will be completed, and the team will have successfully shared the information. The person designated to develop the out-briefing slides will develop the briefing directly from this worksheet. Later, the Team Leader can transcribe the worksheet data onto a smaller electronic or hand-written version of the worksheet for the inspection files or simply file away the butcher-chart version. A sample

version of a completed IPR Worksheet for a Risk Management inspection appears below.

IPR WORKSHEET

Location(s): 2-66 IN (Team A) / 1-79 AR (Team B) (13 June ___)

Team	Objective 1	Objective 2	Objective 3	Objective 4	Objective 5
A	- Safety-manager: RMW not IAW FM 100-14 / RM is an art, not a science - Co Cdrs / 1SGs don't recall RM training	- Course-development process does not guarantee incorporation of RM into POIs - Cadre officers feel that RM is not effective - Soldiers on training ranges receive good safety briefings - Drill sergeants integrate RM well into training - Tribal wisdom prevails among many cadre members - RMWs don't match the safety briefings	- Wide consensus that RM goes hand in hand with realistic training - Leaders not aware of Toolbox or Six-Point program - Some Co Cdrs meet with Bn Cdrs to discuss RMWs -Cadre feels that less realistic training is occurring - 1SGs use Safety Cell daily - Medical evac vehicles not always positioned near the highest-risk training - Bn Cdrs may not understand RM process	- Some Bn Cdrs conduct AARs to derive and disseminate accident lessons learned - 285s need more info (corrective actions)	X
B	- RM not incorporated into MDMP - Good POV safety program	- RM not integrated into LPs, POIs, or doctrine - Cadre do not understand RM well enough to teach it - No overall control of RM integration - Leader-development on RM ineffective - CG's RM policy not reached all LP developers - Co Cdrs have unrealistic view of RM integration effectiveness	- RMWs ranged from excellent to below standard - 1SGs are driving force behind RM - Range Control has fully implemented RM into all ops - POV Toolbox not part of safety program - RM does not hinder safe and realistic training	- 285s completed properly - Lessons learned from on- and off-duty accidents do not reach all soldiers	X

Note that this inspection only had four objectives, so the fifth column was not used. This IPR Worksheet has been completed by team and not team member, which suggests a periodic IPR conducted every second or third visit.

e. Develop the out-briefing or complete the Trends Analysis Sheet (see paragraphs four and five below).

f. Final comments and guidance from the team.

The sample agenda outlined above can apply to all IPRs. The inspection team should develop a standard agenda that the team can follow routinely without much preparation.

4. **Developing the Out-Briefing:** The out-briefing is the IG team's way of providing some form of interim (or in some cases definitive) feedback on the results of a particular inspection. The team must recognize the fact that the information presented during the out-briefing has not had the benefit of close analysis or extreme scrutiny. This detailed level of analysis occurs when developing and writing the Final Inspection Report. Therefore, the team must provide feedback that is informed, carefully written, and useful

to the unit or the command. IGs can leave hard copies of the out-briefing slides with the command. The team should not attempt to discuss issues or observations that require further post-visit analysis.

a. Writing the Out-Briefing: The Team Leader (or team member designated to develop the out-briefing) will draft bullet comments from the information captured on the IPR Worksheet during the IPR (or IPRs if the visit lasts several days). The Team Leader must use discretion and not offer feedback on any issue that the team has yet to analyze fully or validate. The Team Leader must also avoid attributing unit names and individual names to the information offered. The only exception is for the slide depicting Good-News Observations, which may mention Soldier and unit names (the Team Leader must remind the unit leadership that AR 20-1 prohibits the use of this information for either negative or positive evaluation purposes). Finally, the summary slide should never state definitively that any unit or command's particular program is good or bad. In effect, the IG team must remain neutral -- even if the preponderance of out-briefing comments suggests that the unit performed well or poorly (see paragraph 5 in Section 4-2, Step 5: Train Up, for the out-briefing slide format).

b. Reviewing the Draft Out-Briefing: The team will reserve time at the end of the IPR (or during the last IPR for extended visits) to review or build the out-briefing. The team members will offer input and comments and make any necessary changes to the language. The Team Leader will then approve the out-briefing data for presentation.

c. Preparing the Out-Briefing for Presentation: The Team Leader or designated scribe will develop the out-briefing slides using the established format. A laptop computer with a blank out-briefing shell works best. The Team Leader can use resources provided by the unit to print slides for a desk-side briefing or project the slides to a larger audience using a Proxima projector or other device.

A sample out-briefing presentation appears below.

FORCE PROTECTION PROGRAM

Special Inspection of the Force Protection Program

Inspection Out-Briefing
3rd Battalion, 66th Infantry
25 July _____

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

FORCE PROTECTION PROGRAM

Purpose

To provide feedback to the Commander on the IG's inspection of Force Protection in the 3rd Battalion, 66th Infantry.

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

FORCE PROTECTION PROGRAM

Inspection Goal

The goal of this inspection is to determine the effectiveness of the Force Protection Program in the 66th Infantry Division and in Fort Von Steuben's tenant units.

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

FORCE PROTECTION PROGRAM

Inspection Intent

- **Conduct an inspection of the 66th Infantry Division and Fort Von Steuben using tenant and divisional units to gather data.**
- **Specific results will remain with the unit or staff agency.**
- **Conduct the inspection openly and discreetly. *No surprises!***

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

FORCE PROTECTION PROGRAM

Inspection Objectives

- **Determine if division, post, and tenant units understand Army and local Force Protection inspection policies.**

- **Determine if division, post, and tenant units are conducting adequate Force Protection training.**

- **Determine if the division, post, and tenant units are implementing the Commanding General's critical Force Protection tasks as outlined in 66th Infantry Division Policy Letter Number 12, Force Protection.**

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

FORCE PROTECTION PROGRAM

Training Observed and Assessed

- **Total number of events observed: 1**

- **Total number of leaders / staff / soldiers contacted: 21**

- **Total number of documents or files reviewed: 4 (includes three packets of Force Protection evaluation results)**

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

FORCE PROTECTION PROGRAM

Good News Observations

- The battalion has a well-defined Force Protection program with critical tasks that complement the Commanding General's division-level critical tasks.
- The battalion conducted a well-rehearsed and well-planned Force Protection exercise.
- The Battalion Commander has designated the Battalion S-3 to serve as the principal Force Protection planner and coordinator within the battalion.

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

FORCE PROTECTION PROGRAM

Force Protection Observations

Force Protection Events Observed

- All leaders involved in the battalion's annual Force Protection Exercise were well informed and knew how to accomplish their critical tasks.
- The annual exercise focused on teaching and training the battalion's NCOs and soldiers as well as evaluating their accomplishment of the critical tasks.
- The troops assigned to guard the back gate were unable to use the guard shack and telephone because no one had the key to the building.

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

FORCE PROTECTION PROGRAM

Force Protection Observations

Documents Reviewed

- The most current version of the battalion Force Protection policy is dated 1 July ____ and follows the Commanding General's Policy Letter Number 12 quite well.

- Files of previous Force Protection evaluation results are not consolidated into one file or book at the battalion level.

- The battalion's emergency Force Protection OPLAN includes sufficient detail for all units within the battalion to accomplish their assigned tasks.

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

FORCE PROTECTION PROGRAM

Force Protection Observations

Interviews and Sensing Sessions

- The battalion's senior leaders do not fully understand the requirements of all critical Force Protection tasks assigned to the unit.

- Officers and NCOs throughout the battalion are not aware of the brigade or division Force Protection policies and guidance.

- The battalion is conducting internal Force Protection evaluations and exercises annually, but many officers and NCOs feel that these events are disrupting METL-related training.

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

FORCE PROTECTION PROGRAM

Force Protection Observations

Interviews and Sensing Sessions (cont'd)

- **Officers and NCOs within the battalion feel that the Brigade Staff poorly coordinates and conducts the annual Force Protection external evaluations of the battalion.**
- **NCOs and soldiers would like to receive additional training on Force Protection so that they can understand better the different THREATCON levels.**
- **The battalion is not conducting effective After-Action Reviews following each Force Protection exercise; as a result, problems identified during previous exercises are recurring.**

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

FORCE PROTECTION PROGRAM

Summary

- **Strong evidence exists that Force Protection is a priority in the battalion.**
- **Continue to improve the battalion's Force Protection program.**
- **Thanks for the support!**

66th Infantry Division (M) and Fort Von Steuben Inspector General - INSPECTIONS BRANCH

5. **Developing Trends and Patterns:** The Team Leader will have a designated scribe create a Trends Analysis Sheet format on butcher-block paper so that the team

members can see the information. The Team Leader will ask the team members to nominate any trends that have appeared during the course of the inspection. The scribe will write the nominated trend in the appropriate column, and the team will address this trend with each unit or agency inspected to date. This process will either validate or invalidate the trend. If more than 50 percent of the inspected units do not confirm the nominated trend, then the trend is not valid. If the team developed trends during a previous IPR (or IPRs), then the team should re-validate those trends with the units covered during the current IPR. Some trends established in previous IPRs may fall away or become invalid as the inspection progresses. A sample Trends Analysis Sheet for a Risk Management inspection appears below.

TRENDS ANALYSIS

TREND	2-66 IN	1-79 AR	5-66 IN	4-60 FA	66 PSB
1. Command emphasis affects RM integration and practices	Strong command emphasis, but the program is misdirected	Command emphasis only began in March -- overall weak	Command emphasis ongoing only since 1999	Strong command emphasis has produced a strong RM program	Inconsistent command emphasis is affecting RM program
2. Command application of FM 100-14 varies	POI-developed RMWs and daily RMWs become disconnected during implementation	No knowledge Paper drill / minimal effort Lack of serious appreciation of the Army's intent	Total doctrinal compliance and understanding exists	Total doctrinal compliance with an added level specifying supervisory control by name	Unit safety policy does not include guidance on application of RM
3. Limited awareness of the POV Tool Box or the CSA's Six-Point Safety Program	Limited awareness	Limited awareness / application	Limited awareness -- the Safety Officer knew of the POV Tool Box but opted not to use it because it is too generic	Full awareness	Limited awareness

Section 4-3

The Execution Phase
Step 9: Update the Commander

1. **Updating the Commander:** The commander who directed the inspection may request a mid-inspection update from the inspection team. This update should be part of the inspection timeline. If the commander does not request an update, the inspection team should anticipate the possibility that the commander may change his or her mind. In any case, the Team Leader or a designated member of the inspection team should build and maintain an update briefing for a scheduled or unscheduled presentation to the commander. The physical output of this step is the update briefing for the commander.

2. **Information Source:** Since the inspection team cannot pause in the middle of the actual inspection to analyze results and develop findings, the inspection team must rely on the trends or patterns captured during the periodic IPRs (normally conducted every third or fourth inspection visit). The team captured this information on the Trends Analysis Sheet, so the inspection team should update the commander with the most recent version of these trends. The team should resist the temptation to develop "interim" finding statements that may not hold true when the team writes the Final Report.

3. **Briefing Outline:** Since the commander may not recall the details of the inspection concept, the inspection team should design the briefing to remind the commander of the inspection plan and to provide the commander with the most current trends. A recommended slide outline (or agenda) is as follows:

(1) Purpose of the Briefing

(2) Inspection Goal (or Purpose)

(3) Inspection Objectives

(4) Task Organization

(5) Inspection Concept

(6) Special-Interest Item Update (if applicable)

(7) List of units or agencies that the team (or teams) has visited followed by a list of the remaining units or agencies to visit

(8) Inspection Timeline

(9) Trends (bullets taken directly from the Trends Analysis Sheet)

Section 4-3

The Execution Phase
Step 10: Analyze Results and Cross-Walk

1. **Drafting the Final Report:** Analyzing results means that the Team Leader must now organize the inspection team to write a draft version of the Final Report, which is the only physical output of this step. Before beginning this step of the Execution Phase, all visits to units or agencies must be complete, and the Trip Reports for each of these visits must be finished. The Team Leader must develop a plan for writing the draft version of the Final Report that assigns writing responsibilities to each team member and establishes a writing schedule or timeline. This timeline must give the team members enough time to analyze the results, write their findings, and conduct cross-walking as necessary. The Final Report must also follow the format prescribed by the Team Leader. The reason that the team writes a draft version of the Final Report as part of the Execution Phase is that cross-walking activities may result in the gathering of additional information. During the Completion Phase, all information-gathering activities cease.

2. **Cross-walking:** Cross-walking is the process of following up on certain inspection results that might require further verification. In other words, an IG inspector may need to check with other sources or agencies to verify -- or validate -- what he or she saw, read, or heard during the conduct of the inspection. Some IGs have defined cross-walking as "the dogged pursuit of the truth." Cross-walking may take an IG inspector up the chain (vertically) or across command lines (horizontally). In most cases, cross-walking is nothing more than a phone call to someone who might offer greater insight into a particular issue or who might verify that what you read, saw, or were told was in fact accurate. Cross-walking occurs throughout the report-writing process as required, but IGs must always be sensitive to chains (and lines) of command when conducting cross-walking.

3. **Final Report Format:** All IG inspections must end with a written report that the IG provides to the directing authority and others as necessary **(prescriptive provision in AR 20-1, paragraph 5-1(h) (2))**. Every unit or command will have different requirements or SOPs for staff products and reports. IG inspection reports should follow unit or command guidelines as closely as possible to ensure compliance with the local SOP. However, final inspection reports are not simply brief memorandums that are a few pages in length. Final Reports are normally self-contained booklets that contain chapters outlining each inspection objective's findings. The recommended format for a final inspection report is as follows (see Appendix B of this guide for further information):

a. Table of Contents
b. Guidance on the release of IG information
c. Executive Summary (perhaps the most widely read portion of the report!)
d. Separate chapters on the inspection Background and Methodology
e. Chapters for each Objective with the findings presented by Sub-Task
f. Summary of the Recommendations (usually separated by proponent)
g. Appendices:
    (1) References

(2) Inspection Directive (signed copy)
(3) List of units or agencies visited
(4) Interview and Sensing-Session questions

4. **Task Organizing the Inspection Team:** The Team Leader must organize the team to write the Final Report and assign specific responsibilities to each team member. The previous task organization (if using separate teams) no longer applies at this point. The Team Leader should organize the team as follows:

a. **Overseer of the Writing Process:** This person is normally the Team Leader, who is usually not responsible for writing any portion of the report. The Team Leader must remain as neutral as possible during the findings-development process so that he or she can later judge each chapter's logical sufficiency effectively.

b. **Writers for each Objective Chapter:** The team members assigned to write the main chapter objectives are normally the Detailed or Assistant IGs and not the augmentees. Augmentees may write a chapter if the information or data is extremely technical in nature and may prove too challenging for an IG. IGs write the objective chapters because they are trained to analyze the information in a particular way, which will ensure a consistent approach to the information the team gathered.

c. **Chapter-Review Committee:** The Team Leader will establish a Chapter-Review Committee to review all chapters for logical sufficiency and general correctness. This review process is similar to a doctoral candidate defending his or her dissertation. The purpose of this detailed scrub is to ensure that the team discovers all problems with the chapters before releasing the results to the proponents, the commander, and the command. The Chapter-Review Committee usually consists of the Team Leader and two or more of the augmentees.

d. **Writer for the Background and Methodology Chapters:** The team member who writes these two chapters is normally the Team Deputy. Much of this information will come directly from the initial planning documents such as the Detailed Inspection Plan.

e. **Final Editor and Reviewer:** The Team Leader usually reserves this assignment for himself or herself; however, the Team Leader may select someone from within the team who has excellent grammar skills and writing abilities. The purpose of this assignment is to ensure the comprehensibility and readability of the text.

5. **Writing an Objective Chapter:** <u>How does an IG write a chapter for an objective?</u> This process can be very challenging and -- in some cases -- difficult. The writer is faced with what seems like a mountain of information that he or she must sort, read, and analyze. The writer must first begin by reviewing the chapter format established by the Team Leader. At a minimum, the chapter format will have the IG writer <u>developing no less than one finding statement per Sub-Task</u>. Some Sub-Tasks may even have two or three findings. These findings sections should follow the recommended format, which this section will explain in detail later. This guide outlines a **nine-step process** that any IG -- or Army -- inspector can use to analyze results and develop findings for a particular Sub-Task. After developing the findings section for each Sub-Task, the writer can then organize the chapter as follows:

a. Objective 1:

(1) Sub-Task 1:
(a) Finding 1 (write out the entire five-paragraph findings section under each finding heading)
(b) Finding 2
(2) Sub-Task 2:
(a) Finding 1
(b) Finding 2
(3) Sub-Task 3:
Finding

6. **The Nine-Step Process for Developing a Finding:** The nine-step process outlined below is designed for IG writers to develop one finding statement (and findings section) at a time. The writer will have to repeat this process for each Sub-Task. If the inspection objective has five Sub-Tasks, then the writer can expect to follow the first seven steps of this process five different times before completing steps eight and nine. Once the writer has become familiar with -- and internalized -- this process, the development of the finding statements and sections will become much easier. The nine-step process is as follows:

a. **Step 1: Gather the Tools:** Print copies of all Trip Reports that the team produced for each visit to a unit or agency. These Trip Reports will serve as your primary-source documents for the chapter that you will write. Next, craft a word-processing template of the chapter you will write using the established format. This template will allow you to move quickly through the organization and writing process. You can simply insert each completed findings sections into its appropriate place within the chapter before writing the next one. Also, ensure that you have on hand all key references that pertain to your inspection as well as a copy of The Inspections Guide. Lastly, gather highlighters of different colors so that you can color-code the information on the Trip Reports as you read through them.

b. **Step 2: Develop a Writing Schedule:** Craft a calendar plan that identifies the specific days that you will work on a particular Sub-Task or portion of the chapter. Tailor this schedule to your own abilities -- but be realistic! Don't develop a fast-paced schedule if you don't think you can adhere to it. Next, review the writing schedule to ensure that it meets the overall report-writing timeline established by the Team Leader. Be sure to set aside some time to review your draft. Once you develop this schedule, stick to it!

c. **Step 3: Organize Your Sources:** Gather the Trip Reports and write bold headings at the top of each one using a colored pen or marker so that you can easily and quickly distinguish one from the other. Remember: You will be juggling several different Trip Reports as you write your chapter, so developing a system that allows you to find your references quickly is essential. Place the Trip Reports in folders or develop some other system to ensure ease of access and organization.

d. **Step 4: Review and Study Your Sources:** This phase of the writing process is normally called pre-writing. Go through each Trip Report and use the different colored markers to highlight the information for each of your Sub-Tasks. Use a different color for each Sub-Task. Normally, you will highlight the information one Sub-Task at a time since you will write one findings section at a time. Once you have highlighted the information, go back and read -- in a leisurely fashion -- all of the information pertaining to the Sub-Task about which you plan to write. Absorb and try to understand the varying types of

information without attempting to analyze or categorize the information. Let your mind wander freely! This process will result in a draft finding statement (or statements) that pops into your head and which you should capture on paper.

e. **Step 5: Develop Tools to Collect and Analyze Your Information:** After absorbing the information you have just read and crafting a draft finding statement (or statements), develop a tool to help you organize your thoughts and the information that you gathered. Use a blank Trends Analysis Sheet or a similar type of matrix to identify and lay out the common bits of information that you gleaned from the Trip Reports. Write the draft finding statement in the left-side column and then verify its accuracy by each individual Trip Report. If the preponderance of information from the Trip Reports supports your draft finding statement, then the statement is accurate. How you collect and organize your information is up to you, but do not allow yourself to become bogged down by smaller bits of information. Stay focused on the big picture! Some information may have no context or applicability and may simply fall away (these bits of information are known as **orphans**). Conduct **cross-walking** as necessary for additional information or for clarification. Call or visit those individuals or agencies that you think can help you validate your inspection information.

f. **Step 6: Develop Your Finding Statements:** Refine the language of your draft finding statement (or statements) as necessary. The finding statement is a single, well-focused, well-structured sentence that captures the true essence of the finding. This sentence must be able to stand alone. You will base your finding statement (or statements) on the preponderance of information you gather about a particular Sub-Task. For example, if 65 percent of the data we collected leans toward a widespread finding that Risk Management is not getting into the updated doctrinal manuals, then your finding will state that fact. You can address the other 35 percent who are having success when you write the Inspection Results portion for that findings section. Here is an example of a finding statement:

Most active-duty battalions in the 66th Infantry Division are not conducting Initial Command Inspections within 90 days of an officer assuming company command in accordance with AR 1-201.

g. **Step 7: Write Your Findings Sections:** Follow the recommended findings-section format when writing out all of the information that applies to your finding. That format is as follows:

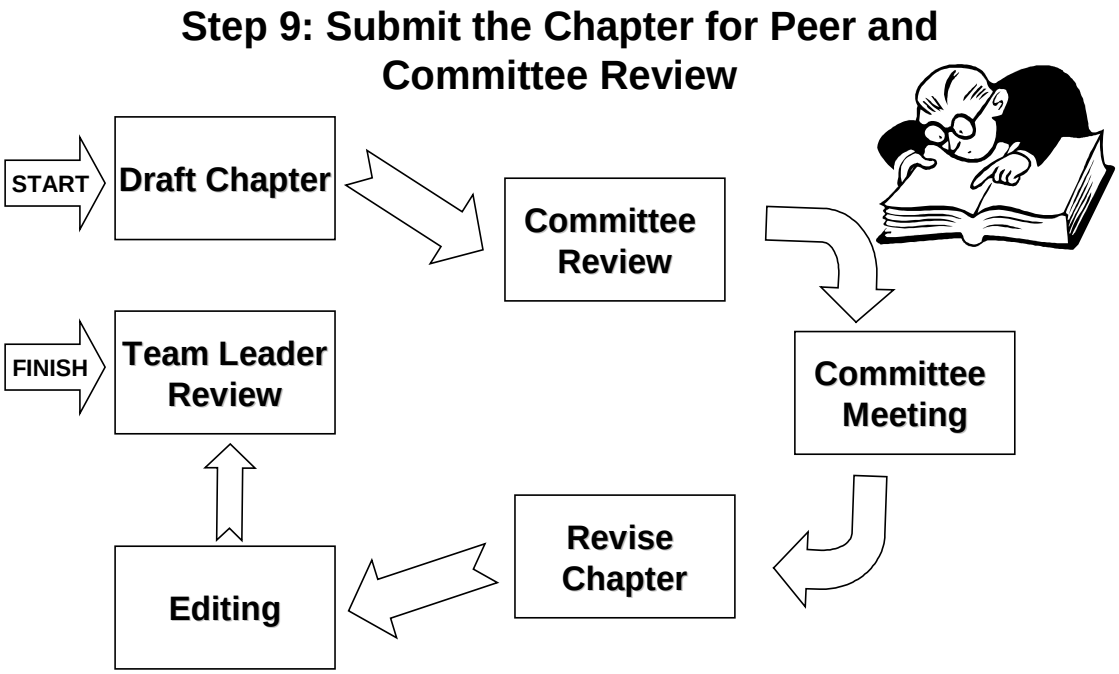
(1) Finding Statement
(2) Standard
(3) Inspection Results (Discussion)
(4) Root Cause
(5) Recommendation(s)

Each Sub-Task will have no less than one findings section; some Sub-Tasks may even have two or three finding statements and sections. Be certain to include positive findings and not just negative findings. Good-news stories are always welcome. In paragraph two, **Standard**, write the entire standard (or standards) for that finding verbatim from the original source. Do not paraphrase the text. In paragraph three, **Inspection Results**, address each and every point that you must make to support your finding. For paragraph four, **Root Cause**, follow the Root Cause Analysis Model and use the language from

that model to describe the reasons for compliance or non-compliance (don't know, can't comply, and won't comply). Finally, in paragraph five, **Recommendation**, ensure that each recommendation that you make is detailed and identifies the person or staff agency that can fix the problem.

h. **Step 8: Complete the Chapter:** Compile all of the completed findings sections into one document using the established chapter format. Read and re-read the chapter several times to ensure consistency and to avoid needless redundancy. Read the chapter out loud to yourself to help eliminate grammar errors or extraordinarily long sentences.

I. **Step 9: Submit the Chapter for Peer and Committee Review:** Let someone else read your draft chapter and point out any obvious errors or inconsistencies. Make any necessary adjustments to the draft and then print a clean copy. Give your clean copy to your Team Leader for Committee Review. The Team Leader will then arrange a time for you to meet with the committee to answer questions or to address problem areas with the text (a type of "murder board"). Make any necessary changes to the document and submit a clean copy to the Team Leader for a final grammar and format review. A graphic representation of the Committee Review process is as follows:



7. **Practical Example of the Nine-Step Process:** You have just finished an inspection of the 66th Infantry Division's Organizational Inspection Program (OIP). You are the team member assigned to write the chapter for Objective 3, which reads as follows:

Objective 3: Determine if the inspections conducted by our division, post, and tenant units adhere to the inspection principles outlined in AR 1-201.

Your team developed four Sub-Tasks for this objective, and you are about to write the findings section for Sub-Task 3.2, which reads as follows:

Sub-Task 3.2: Determine if active-duty battalion-level units are conducting Initial Command Inspections within 90 days of an officer assuming company command in accordance with AR 1-201.

a. **Gather the Tools:** You begin by gathering the copies of all Trip Reports that you printed and ensure that each one is stapled together. You develop a word-processing template of your chapter and save it on your computer. You check to ensure that the template follows the Team Leader's format precisely. You intend to type your findings sections directly into this template -- one section at a time. You have also gathered four highlighters of different colors since you have four Sub-Tasks to write.

b. **Develop a Writing Schedule:** You consult the Team Leader's overall report-writing timeline and develop a reasonable writing schedule that is not too ambitious but fits well within the Team Leader's plan. Your writing schedule looks as follows:

- 15-17 November: Write Sub-Task 3.1
- 18-20 November: Write Sub-Task 3.2
- 21-23 November: Write Sub-Task 3.3
- 1-3 December: Write Sub-Task 3.4
- 4-5 December: Finish and Proofread the Chapter

c. **Organize Your Sources:** You organize your Trip Reports by writing the name of the applicable unit or agency boldly in red pen at the top of each Trip Report. You then stack the Trip Reports in a staggered fashion on your desk so that only the headings show. This technique allows you to pull a Trip Report from the stack quickly and then replace it without becoming disorganized or scattering the other Trip Reports.

d. **Review and Study Your Sources:** You review each Trip Report for those observation paragraphs that pertain to Sub-Task 3.2. You highlight the Sub-Task number at the top of the observation and then read through the paragraph, highlighting the sentences that apply to Sub-Task 3.2. You complete this process for all Trip Reports using a yellow highlighter for information pertaining only to Sub-Task 3.2. The information that you discovered in the Trip Reports is as follows (the information is underlined and not highlighted in these cases):

(1) **3-66 IN Trip Report:** Observation 1 (Sub-Tasks 1.1, 1.3, and <u>3.2</u>). Company Commander and First Sergeants Sensing Session. The First Sergeants felt that the battalion's OIP was executed carelessly and was intended to "check the block" without focusing on how to improve the inspected areas. The Company Commanders believed that the OIP was a distraction and kept them from focusing on their real wartime mission and training. <u>None of the commanders present had received his Initial Command Inspection within 90 days. All of them stated that they received their Initial Command Inspection within six months. They were not aware of the 90-day requirement.</u>

The Company Commanders felt that these initial inspections were good but that no one ever followed up on the results to check for improvement. The First Sergeants said that these inspections were nothing more than a 'paper drill.' None of the Company Commanders had ever seen a written battalion OIP program.

(2) **3-66 IN Trip Report:** Observation 2 (Sub-Tasks 1.1, 1.3, 2.1, and 3.2). Interview with the Battalion Commander (LTC Jones). LTC Jones has been in command for 13 months. He admitted that he did not have a written OIP program 'as far as he knew.' He allows the XO to handle the OIP and conduct the program "the way the unit did it in the past." He has never seen a written brigade OIP but stated that the Brigade XO normally discusses OIP-related topics at the brigade staff calls. He was not aware of the division OIP memorandum and had never heard of AR 1-201. The battalion recently conducted some Staff Assistance Visits to the companies in preparation for the Brigade Command Inspection in January, but some Company Commanders complained that the inspectors were too inexperienced or untrained. Initial Command Inspections for the companies normally occur within six months but almost never within 90 days. LTC Jones was aware of the Initial Command Inspection requirement but not the 90-day time limit. LTC Jones feels comfortable that the brigade is scheduling Command Inspections well in advance. He is not aware of any inspector-training programs within his battalion.

(3) **HHC, 66th Infantry Division Special Troops Battalion Trip Report:** Observation 2 (Sub-Tasks 1.1, 3.1, and 3.2): Interview with the Company Commander (CPT Black). CPT Black stated that she had received at least four inspections during her 19 months in command. She stated that members of the division staff inspected her and conducted each inspection professionally. She appreciated the detailed feedback that she received at each out-briefing. CPT Black said that she had received her Initial Command Inspection within 45 days of assuming command and that a Subsequent Command Inspection followed six months later. CPT Black did not feel that the inspections were a burden, but she wished that the G-3 would ensure that her company's inspections ended up on the Division Short-Range Calendar. The current calendar does not have HHC scheduled for an inspection, but she learned last month that she could expect an inspection in December.

(4) **1-66 AV Trip Report:** Observation 7 (Sub-Tasks 1.1, 1.3, and 3.2) Company Commander and First Sergeants Sensing Session. The Company Commanders felt that the constant number of inspections was cutting into their training and flying time. They thought that the inspections were "ridiculous and unfocused." The battalion never spent a week inspecting one company at a time. Instead, the different staff sections inspected each company over a period of three or four months. The Battalion Commander was never involved. The First Sergeants agreed with their commanders' assessments and stated that the Command Sergeant Major seemed to be the only one involved in the inspection process. Only one of the four commanders present had received an Initial Command Inspection within 90 days. The other commanders received their Initial Command Inspections after 90 days but within six months. None of the commanders was aware of the 90-day time limit.

Once you have highlighted the information, you go back to the applicable Trip Reports and read only the highlighted portions. You read this information in a leisurely fashion so that you can absorb and understand all aspects of the data that your inspection team gathered concerning Sub-Task 3.2 (the information presented for this example is small in scope by design). As you read the information and allow your mind to wander freely,

you begin to see some patterns developing with regard to Initial Command Inspections. You start to realize that Initial Command Inspections are occurring but not within 90 days as prescribed in AR 1-201. You now have a draft finding statement (or statements).

e. **Develop Tools to Collect and Analyze Your Information:** Once you have absorbed the information that you highlighted in yellow in the applicable Trip Reports, you decide to use a matrix that resembles the Trends Analysis Sheet to lay out your information. You want to ensure that you can support your mental assessment of Initial Command Inspections (in effect your draft finding statement or statements) by transcribing the information onto the matrix to depict graphically which way the preponderance of evidence truly falls. Your completed matrix -- with your first-draft finding statements -- appears as follows:

Step 5: Develop Tools to Collect and Analyze Your Information

Findings	3-66 IN	HHC, 66ID	1-66 AV	
Battalions not conducting ICIs within 90 days IAW AR 1-201	**- Battalion Cdr says no ICIs within 90 days (unaware) - Cdrs / 1SGs say no ICIs within 90 days (unaware of time req.)**	**- Company Cdr says ICI occurred within 45 days followed by SCI six months later**	**- Only one of four Company Cdrs received ICI within 90 days - All Co Cdrs not aware of time req.**	
Most ICIs occurring within six months but not 90 days	**- Battalion Cdr says ICIs usually occur within six months - Cdrs / 1SGs say that ICIs occur within six months**	**- ICI occurred IAW AR 1-201**	**- All four Company Cdrs received ICI within six months**	

You developed two draft finding statements, which you wrote in the left-hand column. However, you begin to think that the bottom one is an issue that you can discuss in the findings section for the top statement. The preponderance of evidence clearly suggests -- by a factor of two to one -- that Initial Command Inspections are not occurring within 90 days in accordance with AR 1-201. You decide to conduct a **cross-walk** to confirm what your inspection team learned at HHC, 66th Infantry Division. You want to verify if the HHC commander actually received her inspection within the prescribed time period. You call the G-3 Operations Officer, and he verifies that the division conducted an Initial Command Inspection of HHC within 45 days as stated by the HHC commander. You now realize that the evidence leans you toward a specific finding but that the finding applies to the <u>majority</u> of units you inspected and not <u>all</u> of them. You want to be sure and communicate this fact in your Inspection Results paragraph so that your Commanding General can see that some Initial Command Inspections are occurring on time within the division. The Commanding General may see this fact as good news.

f. **Develop Your Finding Statements:** You decide that you will develop only one finding statement for Sub-Task 3.2. You write out a refined version of the finding statement and scrutinize it carefully to ensure that the sentence captures what you want to say and that it can stand alone. Your finding statement looks as follows:

Most active-duty battalions within the division are not conducting Initial Command Inspections within 90 days of an officer assuming company command in accordance with AR 1-201.

g. **Write Your Findings Section:** Using the recommended five-part format for the findings section, you begin drafting your findings section for Sub-Task 3.2. You insert the finding statement that you developed during the previous step into the first paragraph. Next, you find the standard (or standards) for Initial Command Inspections in AR 1-201 and quote that standard verbatim in the second paragraph. If your command has a local reinforcing policy for the broader Army standard, then you should include it as well. You then write the Inspection Results portion to explain how you arrived at your finding. You ensure that you address the fact that not all active-duty units within the division are failing to comply with the standard. As you write, you keep in mind that you cannot attribute unit names or individual names to the information you gathered. In effect, your findings section must be fully redacted for all attribution. Next, you follow the Root Cause Analysis Model and ask yourself the questions posed by the model. You go through the entire model to ensure that you have captured all possible root causes. In this case, you determine that the units are aware of the requirement to conduct Initial Command Inspections but unaware that these inspections must occur within 90 days. You base your recommendation on a solution that will ensure that commanders at all levels within the division know about the 90-day requirement. Your completed findings section appears as follows:

(1) Finding Statement: Most active-duty battalions within the division are not conducting Initial Command Inspections within 90 days of an officer assuming company command in accordance with AR 1-201.

(2) Standard: Army Regulation 1-201, Army Inspection Policy, outlines the requirement to conduct Initial Command Inspections within 90 days as follows:

Paragraph 3-3, Command Inspections:

"c. Initial Command Inspections.
(1) A new company (or similarly sized organization) commander will receive an initial command inspection (ICI) from his or her rater. The initial command inspection for a company will occur within the first 90 days of assumption of command. In the Army National Guard of the United States and the U.S. Army Reserve, the initial command inspection for new company commanders will occur within 180 days of the assumption of command."

(3) Inspection Results: The Inspection Team determined that nearly all units that command companies or detachments within the division are conducting Initial Command Inspections as required by AR 1-201. However, most of these units are failing to comply with the added requirement to perform these inspections within 90 days of an officer assuming command of an active-duty company or detachment. Some companies are receiving the inspections within 90 days (in one case within 45 days); however, most

companies are receiving the Initial Command Inspections after 90 days but within six months. (Note: The Inspection Results portion is normally two to three paragraphs in length and should reflect why the problem is occurring. Since this example only uses the results gleaned from three units, this section contains only one brief discussion paragraph).

(4) Root Cause: (Don't Know) Leaders at the battalion -- and even company -- level are unaware of the requirement to conduct Initial Command Inspections within 90-days of an officer assuming command of an active-duty company or detachment. None of the leaders interviewed or sensed within these units mentioned any time or resource constraints that kept the inspections from occurring within the prescribed time.

(5) Recommendation: The IG recommends that the Division IG Office -- in close coordination with the G-3 -- host a division-wide Organizational Inspection Program (OIP) workshop as soon as possible -- and then annually thereafter -- to teach Brigade and Battalion Commanders about the Army's inspection policy and the specific requirements for Initial Command Inspections.

You have decided to name your own office as the proponent -- or agency -- that can fix this problem since the IG advises the Commanding General (and all commanders within the division) on Army inspection policy. After you type the findings section into your electronic template, you ensure that the document has the correct footer at the bottom now that you have added IG information to the document. The footer is as follows (see Section 4-4, Step 16, for further information on footers):

For Official Use Only (FOUO)
Dissemination is prohibited except as authorized by AR 20-1.

h. **Complete the Chapter:** You have now finished writing all four findings sections. You compile all four sections into your electronic template and ensure that the format is correct. You print a copy of your completed chapter and read it out loud to ensure that the sentences work well and that no obvious grammar errors are apparent. After making some adjustments to the text, you decide to ask another team member to read through the chapter and point out any problems.

i. **Submit the Chapter for Peer and Committee Review:** Your peer reviewer gives you some excellent feedback, so you revise portions of the chapter one more time. Next, you submit the chapter to the Team Leader for review by the committee. The Team Leader takes your chapter, makes several copies of it, and distributes those copies to the other members of the committee (in this case two augmentees). Once the committee reads through the chapter, they meet and discuss your work privately. They evaluate the logical sufficiency and accuracy of each findings section within your chapter by using the following checklist:

(1) **Finding Statement:** Does the Finding Statement succinctly and clearly capture the nature of the issue or problem?

( ) Yes

( ) No. The Finding Statement is too vague and does not stand alone.

( ) Other_____

(2) **Standard:** Are the standards quoted in this paragraph the correct -- or relevant -- standards?

( ) Yes

( ) Yes, but the writer misquoted the original text.

( ) Yes, but the writer failed to identify the source down to the paragraph number and page number.

( ) Yes, but the writer only paraphrased the standard and did not quote the standard verbatim from the original source.

( ) No. The standards are incomplete.

( ) No. Other_____

(3) **Inspection Results:** Does this paragraph (or paragraphs) effectively explain the results and types of information that led the writer to develop the Finding Statement listed above?

( ) Yes

( ) Yes, but the discussion does not mention any of the good-news stories that arose from this particular issue.

( ) No. The discussion does not address sufficiently the issue(s) or point(s) identified in the Finding Statement and requires further expansion.

( ) No. Some points made in the Inspection Results paragraph do not support the Finding Statement (these points may be **orphans**, or bits of information that do not relate to the bigger picture and which should fall away).

( ) No. The discussion does not help to quantify the scope of the issue or point made in the Finding Statement (most units, a majority of the units, many of the units, some of the units, and so on).

( ) No. Other_____

(4) **Root Cause:** Does this paragraph capture all of the reasons for compliance or non-compliance?

( ) Yes

( ) No. This paragraph just repeats the Finding Statement and does not explain the reason (the "why") for compliance or non-compliance.

( ) No. The root cause is completely off the mark.

( ) No. Fixing the root cause as stated would not correct the problem.

( ) No. The root cause as stated is only a symptom of the real root cause and not the actual root cause itself.

( ) No. Other_____

(5) **Recommendation(s):** Does the recommendation fix the problem as outlined in the Finding Statement and captured by the Root Cause?

( ) Yes

( ) Yes, but the recommendation fails to name the appropriate proponent (a person or staff agency best suited to fix the problem).

( ) No. Other_____

Overall comments:

- Are the Finding Statement and Recommendation paragraphs logically sufficient?
- Do the Finding Statement and Recommendation paragraphs share a logical connection?
- Does the Recommendation fix the problem or issue outlined in the Finding Statement?
- Does the chapter require a legal review before final approval?

Once the committee agrees on the adjustments that you should make to the chapter, the Team Leader sets a time for you and the committee to meet to discuss the changes (somewhat like a "murder board"). After the meeting, you return to your desk and make the corrections to the chapter. Next, you submit a clean copy to the Team Leader for a final grammar and format review. Once the Team Leader approves the final product, your chapter is finished and ready for inclusion in the draft version of the Final Report.

8. **The Final Result:** The final result of this step of the Execution Phase -- the physical output -- is a draft version of the Final Report. The Team Leader will compile the approved chapters into the draft Final Report and use that draft to develop a slide presentation for the proponents and the commander. The inspection team must consider the report a draft at this stage because the commander has not yet approved the results.

Section 4-3

The Execution Phase
Step 11: Out-Brief the Proponent

1. **Identifying the Proponent:** The proponents are the individuals or staff agencies that you identified in your recommendation paragraphs to fix the problems that you specified. Each recommendation must name at least one proponent. IGs must ensure that the proponent identified in the recommendation is the correct one to fix the problem. The IG should always call first and -- without revealing information about the inspection -- determine if that person or staff agency is the right one to execute the proposed solution. If the recommended solution concerns a particular standard or regulation, the IG should determine what person or staff agency is the proponent for that standard or regulation. For example, if the Army G-3 (in the Pentagon) is the proponent for the regulation or standard that you are addressing, then the Army G-3 is the proponent best suited to adjust or change that standard or regulation. However, if the problem can be solved at your level but still concerns that standard or regulation, the staff agency at your level that is responsible for the operations function (the G-3 at the division level, for instance) should be listed as the proponent. The counterpart relationship that all operations agencies (G-3s, S-3s, DPTMs, and so on) have with the Army G-3, and the regulations governed by the Army G-3, means that they share a common responsibility for those regulations. However, Army G-3 is the only staff agency that can physically change or revise the regulations or standards. This same connectivity applies for all functional areas throughout the Army.

2. **Out-Briefing the Proponent:** Before the commander sees the results of the inspection, the IG team must extend a professional courtesy to those individuals or staff agencies listed as "stuckees" to fix the variety of solutions that the IG team recommended. The Team Leader should schedule a briefing with the head of the staff agency or the person involved and share the findings and recommendations that pertain only to that person or staff agency. The Team Leader does not have to share the results of the entire inspection with each proponent. The slide briefing, the only physical output of this step, should cover the following areas:

a. Inspection Background and Concept (slides on the Inspection Purpose, Inspection Objectives, and Inspection Concept)

b. Inspection Methodology (slides on the overall Inspection Approach, Task Organization, and units or agencies visited)

c. Results of a Legal Review (if a legal review was necessary)

d. Findings by Objective and Sub-Task with Recommendations (one slide for each finding that lists the Inspection Objective, the Sub-Task, Finding Statement, and Recommendation) [Note: Show only those slides that pertain to the proponent you are briefing]

If a face-to-face briefing is not possible, then a telephone call to the proponent that covers all of this information verbally is acceptable.

3. **The Purpose of the Briefing:** The purpose of the briefing is to inform the proponent about the recommendations that you will make to the commander which -- once approved -- will require that proponent to take corrective action. The briefing is an information briefing only and does not require the concurrence of the proponent. The proponent may tell the Team Leader that the IG is naming the wrong proponent to fix a particular problem, which may result in a change to the draft version of the Final Report. However, advance research on the correct proponent by the IG team members should preclude this problem. Finally, the proponent does not have to agree with the findings or recommendations. The proponent may offer other options, which the IG can use to refine the recommendations, or simply disagree with some or all of the findings and recommendations. A proponent's disagreement does not mean that the Team Leader deletes a finding (or findings) from the report. The Team Leader will note the proponent's non-concurrence and inform the commander of that fact during the commander's out-briefing. Once all proponent out-briefings are complete, the IG inspection team is ready to transition to the Completion Phase of the Inspections Process and out-brief the commander.

Section 4-4

The Completion Phase

1. **Purpose:** This section discusses the Completion Phase of the Inspections Process and the six steps included in that phase.

2. **The Completion Phase:** The Completion Phase of the Inspections Process puts the finishing touches on the Final Report and includes those steps necessary to ensure that the designated proponents fix the recommended solutions. The Completion Phase has six discrete steps, but some of these steps may occur simultaneously after the commander approves the inspection results. The six steps of the Completion Phase are as follows:

a. Out-Brief the Commander

b. Issue Taskers

c. Finalize the Report

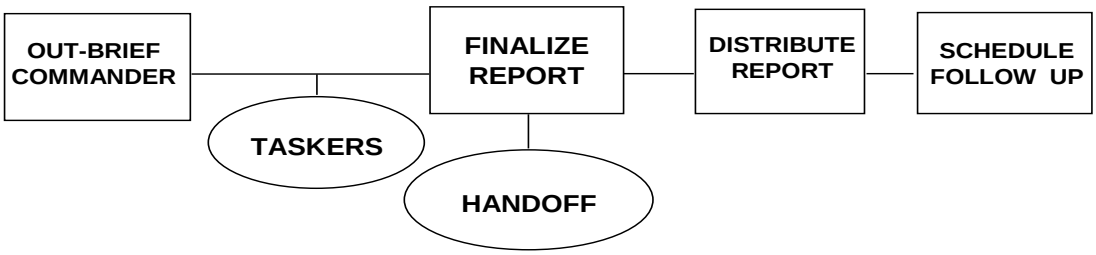
d. Handoff

e. Distribute the Final Report

f. Schedule a Follow-Up Inspection

The Inspections Process

Phase Three: The Completion Phase



Section 4-4

The Completion Phase
Step 12: Out-Brief the Commander

1. **Out-Briefing the Commander:** The out-briefing to the commander should be a formal event that is designed to gain the commander's approval of the final inspection report. The Team Leader should present a well-prepared briefing to the commander and have on hand the draft Final Report in case the commander requests a copy for further review. The Team Leader must invite all of the proponents to the briefing and any other staff-agency heads who might be interested in the inspection results. In addition, the Chief of Staff should always be present at these briefings.

2. **Contents of the Briefing:** The briefing is a decision briefing that -- once presented -- will request the commander's approval or disapproval. The briefing will be similar to the version that the Team Leader presented to the proponents. The greatest difference will be the fact that the briefing will include all findings and recommendations. The briefing, the only physical output of this step, should cover the following areas:

a. Inspection Background and Concept (slides on the Inspection Purpose, Inspection Objectives, and Inspection Concept)

b. Inspection Methodology (slides on the overall Inspection Approach, Task Organization, and units or agencies visited)

c. Results of a Legal Review (if a legal review was necessary)

d. All inspection findings by Objective and Sub-Task with Recommendations (one slide for each finding that lists the Inspection Objective, the Sub-Task, Finding Statement, and Recommendation)

e. Results of the proponent out-briefings (to include any non-concurrence issues that the proponents raised)

f. Timeline for completion and distribution of the Final Report

g. Request for the commander's approval or additional guidance

3. **Commander's Approval:** In most cases, the commander will approve the inspection results based solely upon a review of the Finding Statements and Recommendations. However, the commander may direct some changes or adjustments to the Final Report that the team must make before he or she will concur with the inspection results. The commander may also choose to withhold his or her approval pending a detailed review of the entire draft version of the Final Report. In any case, the inspection team cannot proceed with the remaining steps of the Completion Phase until the commander approves the report. Once approved, the report is no longer a draft document, and the Inspection Directive expires.

Section 4-4

The Completion Phase
Step 13: Taskers

1. **Issuing Taskers:** The individuals or staff agencies that the IG team identified in each recommendation will normally receive taskers to initiate the actions required to fix the problem. In most cases, the proponents will already begin working to fix the problem areas immediately after the IG team briefs them as part of Step 11 in the Execution Phase. The Chief of Staff, the Secretary to the General Staff (SGS), or the operations staff section will usually issue the taskers and then monitor their completion.

2. **The IG's Role in Taskers:** The IG's role with regard to taskers is to monitor the assignment of the tasker and to be aware of each tasker's completion. The IG is not a tasking authority and should never assume a supervisory role when monitoring the taskers. If the IG team feels that a proponent is not correcting a problem within a reasonable amount of time or within the parameters of the recommendation, the IG team can raise that concern with the appropriate tasking authority (Chief of Staff, G-3, etc.). The IG team should always be prepared to work with the staff agencies or individuals tasked to help them solve or fix the problem(s).

Section 4-4

The Completion Phase
Step 14: Finalize the Report

1. **Finalizing the Written Report:** Immediately following the briefing to the commander, the inspection team should make any necessary adjustments to the Final Report. The commander may have directed some changes to the wording of one or more finding statements or switched some proponents. The IG team must make these changes to the text before the Final Report is finished. The Team Leader or a designated member of the team should conduct one final edit of the report to ensure accuracy, consistency, and general grammatical correctness. This final edit should further ensure that the report does not name names or mention units. The inspection team must ensure that they have fully redacted the report for all attribution. Confidentiality is crucial. Remember: The information contained in the report is what is important and not the sources of the information.

2. **Commander's Cover Letter:** The inspection team must develop a cover letter that states that the commander has approved of the report's findings and recommendations. The commander must sign this letter, which becomes the first page of the Final Report. The letter should include the commander's letterhead, office symbol, a statement that the commander has approved of all findings and recommendations contained within the report, and the commander's signature block with signature. This cover letter is the only physical output of this step.

A sample commander's cover letter appears on the next page.

DEPARTMENT OF THE ARMY
HEADQUARTERS, 66th INFANTRY DIVISION
FORT VON STEUBEN, VIRGINIA 12345

AFVS 17 December ____

MEMORANDUM FOR 66th INFANTRY DIVISION COMMANDERS AND STAFF

SUBJECT: Inspection of the 66th ID's Organizational Inspection Program (OIP)

1. The 66th Infantry Division's Inspector General recently concluded an inspection of our Organizational Inspection Programs (OIP) to determine whether subordinate commanders have established effective OIPs and whether existing OIPs provide useful information for commanders that identify and eliminate problems that degrade unit readiness. The inspection results indicate commanders are actively employing the Command Inspection Program (CIP) to improve units, but inspectors are not trained to conduct inspections IAW Army policy. The inspection also identified a division-wide lack of understanding of the OIP as the umbrella program under which the CIP and all other inspection programs fall.

2. I approve the Inspector General's report and its recommendations and direct commanders and staff to read the report and implement the recommendations as applicable.

3. Inspections add to the multiple sources of information available to assess the state of readiness of the command. Commanders should develop their OIP to complement and reinforce other sources of evaluation information when determining or assessing readiness. An effective OIP provides commanders with a tool to minimize distractions from the unit mission and focus limited resources on training and sustaining.

MOTTIN De La BLAME
Major General, USA
Commanding

3. **Submit the Final Report to the Commander:** Submit a copy of the Final Report to the commander with a copy of the cover letter for final approval and signature. The commander may choose to keep the copy of the Final Report and only return the signed copy of the cover letter. The inspection team must have this signed copy of the cover letter before reproducing and distributing the Final Report.

Section 4-4

The Completion Phase
Step 15: Handoff

1. **Definition of Handoff:** Handoff is the transferring of a verified finding to an agency or command (generally of a higher level) that can correct the problem. Handoff may occur vertically up the chain or laterally across command lines. Handoff occurs only when your commander and staff cannot fix the problem at their level (for example, a change to an Army regulation). Your commander must approve a handoff before the problem is forwarded for action up the chain or to another command. In most cases, the IG recommendations that require a handoff will be clear to the commander during the inspection-results briefing since the IG team will probably name the higher-echelon or outside agency as the proponent.

2. **Handoff Procedures:** When approved recommendations are beyond the ability of the inspected command to implement, either the IG or the commander will transfer those recommendations through IG technical or command channels to the appropriate command echelon or agency for corrective action **(prescriptive provision in AR 20-1, paragraph 5-1(h) (3))**. The procedures for each method are as follows:

a. **Command Channels:** The command or unit should have procedures in place for sending a problem up the chain for correction. If the issue concerns logistics, then the unit G-4 shop can work the problem with their next higher counterpart and then up the chain as necessary. In this case, the G-4 at your level would still have to track the problem as a tasker and monitor it to completion.

b. **IG Technical Channels:** When using IG Technical Channels for a handoff, the initiating IG shop must always send the handoff to the next higher IG for continued forwarding or action as necessary. All handoffs that require DAIG action or action outside the Army must come through an ACOM, ASCC, or DRU IG office. The IG offices receiving the handoff will treat the handoff as a request for assistance and complete a DA Form 1559. The initiating IG shop should always request a suspense date and then monitor the problem to completion. The receiving IG shop will work the issue with the appropriate agency at their level to get the problem fixed. Finally, the initiating IG should keep the commander informed of the handoff's progress.

Section 4-4

The Completion Phase
Step 16: Distribute the Report

1. **Release Authority.** Upon the commander's approval of the inspection report, Army Regulation 20-1, paragraph 3-5 d (2), allows local IGs to release written inspection reports for official use as long as the report meets the following criteria:

a. Report is redacted of unit or individual information
b. Report is not used for adverse action
c. Report is not used to compare commands and commanders
d. Report contains the appropriate markings (see paragraph 3 below)

2. **Distribute the Final Report:** Printed copies of the Final Report should go to the commander, primary staff members, the proponents, and any other unit within the command (or outside the command) that may benefit from the results. If printing costs limit your ability to distribute the Final Report in hard-copy form, then circulate the Final Report electronically but only as a PDF file. Never send out a document that someone else can manipulate or change on a computer. Ask your Information Resource Manager or G-6 shop for help if necessary.

3. **Releasing IG Records:** Since you will be releasing IG records within and without the command, you must ensure that each page of the Final Report has the appropriate footer at the bottom. See Army Regulation 20-1, paragraph 3-2 a, for further details. The correct footer is as follows:

For Official Use Only (FOUO)
Dissemination is prohibited except as authorized by AR 20-1.

Section 4-4

The Completion Phase
Step 17: Schedule a Follow-Up Inspection

1. **Scheduling a Follow-Up Inspection:** An inspection is meaningless if the inspection team does not follow up to determine if the necessary corrective actions have occurred. Following up is an important inspection principle that applies to all Army inspections. The IG team should schedule all follow-up activities to occur only after the unit or command has had sufficient time to take corrective action.

2. **Techniques for Following Up:** All IGs will follow -up each inspection in one of the following ways **(prescriptive provision in AR 20-1, paragraph 5-1(h) (4))**:

a. **Follow-Up Inspection:** A complete re-inspection of the same topic is the best method to determine if the results of the first inspection have been implemented. A complete follow-up inspection is the preferred method for an inspection topic that is of particular importance to the command and the commander. Unfortunately, a complete follow-up inspection is resource intensive and time consuming.

b. **Follow-Up Visit:** The IG team members can visit the individuals or agencies responsible for taking the corrective action to determine their progress. The IG team members must be careful not to assume a supervisory role over these proponents, however.

c. **Telephone:** This method is the same as a Follow-Up Visit except that the IG team members conduct it by telephone.

d. **Request for a Reply by Endorsement (RBE):** The IG team can request that the proponents submit to the commander a RBE that states that the corrective action is complete. This method is the least preferred and most frowned upon since the RBE requires time and effort to produce. A request for a RBE should always be an exception to the rule.

Section 4-5

Applying the Inspections Process To All Inspections

1. **Purpose:** The purpose of this section is to discuss how the Inspector General Inspections Process is applicable to all Army inspections conducted at the battalion level and higher.

2. **The IG's Requirement:** The Inspector General has specified in AR 20-1, paragraph 5, that all Inspectors General must consider the Inspections Process when planning and executing inspections. DAIG Inspections Division follows this process for every inspection as a matter of Standing Operating Procedure (SOP). Yet the Inspection Process can apply to all non-IG inspections planned from the battalion level up through the corps and ACOM, ASCC, or DRU. Some parts of the process may be compressed or reduced to SOP; however, following the process from start to finish will help ensure that the inspection adheres to the Army's inspection principles as outlined in AR 1-201 and will make certain that the inspection achieves its intended purpose and objectives.

3. **Applying the Inspections Process:** The Inspections Process can apply to any non-IG Command and Staff Inspection conducted by a battalion up through a division or corps. Some steps of the Preparation Phase may be a matter of SOP, but other steps will require some planning and attention. Likewise, many steps in the Execution and Completion Phases may become SOP, but other steps will require some new thought and action. As an example, a battalion conducting an Initial Command Inspection of a company can use the process as follows:

a. **Preparation Phase**

(1) **Step 1: Research.** The battalion OIP Coordinator (who is most likely also the Battalion Executive Officer and lead agent of the Command Inspection Program) -- with members of the battalion staff -- may have already conducted research into the standards and requirements that a company must meet to remain combat ready. The OIP Coordinator can publish these standards as part of the OIP and adjust or refine them as necessary.

(2) **Step 2: Develop the Concept.** The battalion OIP may already outline a standard concept for conducting an Initial Command Inspection. However, the OIP Coordinator may make adjustments to this standard concept as necessary.

(3) **Step 3: Commander Approves the Concept.** If necessary, the OIP Coordinator will have to brief the commander and gain his or her approval for changes to the basic concept outlined in the battalion SOP (or OIP). In most cases, commanders at the battalion and brigade level will not issue a signed directive but instead verbally approve of the inspection concept. Unlike IG inspections, the authority to conduct the inspection rests within the commander's OIP document (or SOP).

(4) **Step 4: Plan in Detail.** Although many aspects of the detailed planning step may exist in the form of a SOP, the OIP Coordinator will always have to notify the inspected unit of the inspection and assign a date for that inspection. The OIP Coordinator should ensure that the date is set on the Long-Range Planning Calendar. The OIP coordinator should consider the training execution model outlined in FM 7-1, *Battle Focused Training*, when including inspections dates on the unit calendar. In most cases, the existing OIP document will serve as the Detailed Inspection Plan with the relevant inspection date (or dates) added.

(5) **Step 5: Train Up.** The battalion OIP may include -- as a matter of SOP -- all of the information-gathering tools that the battalion's inspectors need to conduct the inspection. Checklists, interview questions, and inspection guidelines may already exist. In any case, the OIP Coordinator should insist upon conducting inspector training and rehearsals. Due to personnel turnover, many members of the battalion staff assigned as inspectors may be new and unaware of the pitfalls and proper techniques for conducting an inspection.

(6) **Step 6: Pre-Inspection Visit.** A Pre-Inspection Visit to another company is always a good idea but may not be feasible given the time and resources available. If more than half of the inspectors are new, then the OIP Coordinator should insist upon a Pre-Inspection Visit to ensure that the inspected company will benefit from a trained and rehearsed inspection effort.

b. **Execution Phase**

(1) **Step 7: Visit the Unit.** The OIP Coordinator and the battalion inspection team will normally follow a standard time schedule and methodology established in the OIP for all Initial Command Inspections. The unit visit should adhere to this plan and make adjustments only by exception. All inspections should begin with an in-briefing and end with an out-briefing.

(2) **Steps 8 and 9: In-Process Review (IPR) and Update the Commander.** IPRs will usually take the form of an inspection-team After-Action Review following the inspection. In some cases, the battalion OIP may stipulate that the out-briefing occur a week or more after the inspection visit. If the battalion follows this method, the OIP Coordinator and the inspection team should meet with the commander before the out-briefing to share inspection results for each functional area. This meeting can serve as the commander's update on the inspection results.

(3) **Step 10: Analyze Results.** All staff proponents involved in the inspection will retire to their offices to finish analyzing the results and developing draft findings in accordance with the battalion OIP's established format. The different staff proponents can share the results later with the OIP Coordinator and commander at an IPR-type meeting (as discussed above).

(4) **Step 11: Out-Brief the Proponent.** In this case, this step is actually the out-briefing to the inspected unit. The commander will be present and may have already approved of the results at an earlier meeting with the inspection team. The commander can use this forum to discuss goals with the inspected unit's commander.

c. **Completion Phase**

(1) **Step 12: Out-Brief the Commander.** This step will not normally apply since the commander will be present during the out-briefing to the unit. The commander's presence at that out-briefing should signal his or her approval of the final results.

(2) **Step 13: Issue Taskers.** The commander will meet with the inspected commander privately to discuss goals for the unit in the near future. In the case of this example, these goals take on the form of taskers.

(3) **Step 14: Finalize the Report.** The OIP Coordinator may compile the inspection team's written reports after the briefing for final review or require the team members to produce written copies before or during the out-briefing. In any case, the Final Report should include clear, well-written feedback that meets the established format and identifies those areas that require improvement with the appropriate recommendations highlighted.

(4) **Step 15: Handoff.** For deficiencies identified by the inspection team that exceed the Battalion Commander's ability to correct, the commander should hand off the findings to the brigade through command channels. The brigade will then continue to pass the findings up through command channels until reaching a command echelon that can correct the problem. Using IG Technical Channels to facilitate the handoff would not be an option in this case.

(5) **Step 16: Distribute the Report.** For the purposes of this example, the OIP Coordinator should only distribute hard copies of the report to the inspected unit's commander. The inspected commander can pass down all -- or portions of -- the report to the individuals within the company who are responsible for the inspected areas. The OIP Coordinator should request guidance from the Battalion Commander concerning distribution of the Final Report unless the battalion OIP already provides distribution guidance.

(6) **Step 17: Schedule Follow Up.** The OIP Coordinator's final act before closing out the inspection is to solicit the commander's guidance (or follow established guidance within the OIP) for scheduling a Subsequent Command Inspection. This date must appear on the battalion's master calendar. Once the follow-up date is set, the Initial Command Inspection is complete.

This example clearly demonstrates the applicability of the Inspections Process to an Initial Command Inspection conducted in a battalion. This example showed that some steps required modification or adjustment while other steps were simply a matter of SOP as outlined in the battalion OIP. OIP Coordinators at all levels should consider the Inspections Process when planning and conducting inspections to ensure that they (the OIP Coordinator and the unit) meet the requirements of each phase and step. Following an established inspection SOP within an OIP does not necessarily mean that the inspection will meet all of the Army's inspection principles. The Inspections Process simply helps to ensure that all inspections adhere to those critical principles so that commanders can identify and eliminate those problem areas that hinder combat readiness.

Chapter 5

Developing an Organizational Inspection Program (OIP)

Section 5-1 - Developing an Organizational Inspection Program

Section 5-2 - Sample Battalion Organizational Inspection Program

Section 5-3 - Sample Division Organizational Inspection Program

Section 5-4 - Responsibilities of the OIP Coordinator

Section 5-1

Developing an Organizational Inspection Program

1. **Purpose:** This section describes how a commander can develop an Organizational Inspection Program.

2. **The Organizational Inspection Program (OIP):** Army Regulation 1-201, Army Inspection Policy, defines the OIP as a commander's program that manages all inspections within the command. The inspections covered in the OIP include Command Inspections, Staff Inspections, IG Inspections, audits, and external inspections. An OIP at any command level normally exists in the form of a local policy, memorandum, post regulation, or some other written product. The OIP expresses the commander's guidance for all inspections that occur within the command -- even those inspections conducted by outside agencies (external inspections). The overarching purpose for developing an OIP is to allow a commander to capture in one written document all inspections within the command so that everyone within that command is aware of all inspection requirements and can schedule these requirements in accordance with the training execution model outlined in FM 7-1, Battle Focused Training.

3. **One Source of Information.** Once established, the OIP becomes another source of evaluation information that the commander can use to assess the unit's combat readiness. In effect, the OIP is part of the commander's Organizational Assessment Program (OAP) (see Chapter 6 in FM 7-0, Training the Force, for further information on organizational assessments). Aside from the information provided through inspections conducted as part of the OIP, the commander can consider the results of External Evaluations, Gunnery Exercises, Field Training Exercises (FTXs), Command Post Exercises (CPXs), and so on. The commander can use the evaluation results gleaned from these various sources to determine if the unit is able to accomplish its wartime and peacetime missions.

4. **Building an OIP.** The person responsible for developing the OIP should be the commander's designated OIP Coordinator. The OIP Coordinator can solicit help and guidance from the local IG since the IG is the proponent for Army inspection policy. The commander may also designate the IG as the OIP Coordinator, which will require the IG to work closely with the staff agency that manages the calendar (usually the operations staff section). The OIP document should include the following items:

a. **Commander's Guidance.** The OIP document should begin with the commander's guidance for all inspections conducted within the command. The commander should outline his or her preferences for the conduct of Command Inspections, Staff Inspections, and IG Inspections (if applicable). The commander should designate the frequency of any required inspections and define clearly a commander's role in any Command Inspection. The commander's guidance should also reinforce the need to follow the Army's inspection principles and to ensure that inspectors at all levels are trained to perform their inspection duties. Finally, the commander's guidance should further emphasize the goal of teaching, training, and mentoring as part of all inspections within the command.

b. **Responsibilities.** The OIP should outline clearly the responsibilities of the OIP Coordinator, staff members, and subordinate commanders with regard to their role in the OIP. These responsibilities must be clear, comprehensive, and fall in line with the commander's guidance on inspections.

c. **Command Inspections.** Most OIPs will include a section on Command Inspections since AR 1-201 outlines some standing requirements for this inspection category. Those requirements are the conduct of Initial Command Inspections and Subsequent Command Inspections for all companies, troops, batteries, and detachments (basically captain-level commands) within the Army. Even corps-level OIPs must address these inspections since a corps has either a HHC or a special-troops battalion. However, additional guidance on Command Inspections is the commander's prerogative. For example, a Division Commander may state in his OIP that all brigades within the division will conduct annual General Command Inspections of their battalions or that all battalions will receive Initial Command Inspections within a certain time limit. In effect, any guidance beyond the baseline Initial and Subsequent Command Inspection requirement for companies is at the discretion of the commander. Finally, the OIP should establish standards for the conduct of Initial Command Inspections such as the names of the inspected areas and the applicable regulatory standard for each area.

d. **Staff Inspections.** Since no regulatory requirement exists for Staff Inspections, a commander's OIP does not have to address them. If the commander chooses to have a Staff Inspection program, then the OIP must establish that program clearly and provide guidance as necessary. Since Staff Assistance Visits (SAVs) fall within the realm of Staff Inspections, the commander should also address SAVs within this portion of the OIP document.

e. **IG Inspections.** OIPs at the division level (or separate brigade) and above must address IG inspections as part of the OIP. Each IG office has an inspections section (or branch) assigned to it with the sole purpose of conducting inspections. The IG will develop and write this portion of the OIP to explain IG inspections within the command and to capture the commander's guidance with regard to focusing on systemic issues that are widespread in nature. The IG portion of the OIP must also address the following inspection requirements as applicable (see paragraph 1-4 b of Army Regulation 20-1 for further information):

(1) **Intelligence Oversight.** This section of the OIP should list all of the intelligence activities within the command and a standard plan for engaging in Intelligence Oversight by frequency (quarterly, annually, and so on).

(2) **Management Control Process.** This section should address the IG's role in Management Control within the command (see AR 11-2, Management Control). The IG is required to consider Management Control provisions in the planning and conduct of inspections and to monitor the correction of material weaknesses found as a result of subordinate commanders and staffs conducting internal control assessments.

(3) **United States Property and Fiscal Officer (USPFO) Inspections.** Title 32, Section 105 (a) (6), requires oversight of Federal monies and property within the states. AR 1-201, Army Inspection Policy, paragraph 1-4 c (1) charges IGs within Forces Command (FORSCOM) to inspect of USPFOs within the Army National Guard (the current frequency is bi-annually). The purpose of these inspections is to ensure that

USPFOs are complying with applicable public law, regulations, policies, and procedures. If these inspections apply within the command, the IG portion of the OIP must address them.

f. **Audits.** OIPs at the division level and above must include a section on audits conducted within the command. The Resource Management (RM) office within the command should develop and write this section to capture the audits by type and frequency. Since the RM office is also the proponent for Management Control, this section should address a plan for informing the commander of the results of all internal control assessments and sharing these results with the IG so that the IG can consider the information when analyzing trends and patterns within the command. The IG must also be aware of material weaknesses identified through internal control assessments since the IG is responsible for monitoring the correction of these problems.

g. **External Inspections.** The most difficult aspect of crafting an OIP is determining what routine inspections must occur within the command that outside agencies or garrison activities are responsible for conducting. Units that are tenants on installations must often -- and routinely -- submit to garrison- or installation-level inspections that must become part of a commander's OIP. When developing the OIP, the OIP Coordinator should meet with these respective outside agencies to determine their inspection requirements by type and frequency. By including these external inspections in the OIP, the commander can gain visibility on all inspections within the command and then program these inspections into the long-range planning calendar. The intent is to avoid short-notice or hidden inspection requirements that routinely surprise subordinate commands. Some examples of these external inspections are physical security inspections of arms rooms and barracks conducted by the installation Provost Marshal's office and HAZMAT compliance inspections conducted by the post Environmental Office. Unfortunately, the OIP can't capture external inspections conducted on short notice by outside agencies such as DAIG; Government Accounting Office (GAO); IG, Department of Defense; and the U.S. Army Audit Agency. Finally, defining external inspections depends upon the perspective of the individual unit. A battalion may consider inspections conducted by the brigade to be external inspections and address them accordingly in this part of the OIP.

5. **Commander's Approval.** Upon completion, the OIP Coordinator should gain the commander's approval of the OIP. The commander should sign the OIP to emphasize further the commander's involvement in the OIP and the overall importance of the program. Recent history has suggested that the best OIPs function well only because the commander is actively involved in the program.

Section 5-2

Sample Battalion Organizational Inspection Program

1. **Purpose:** The purpose of this section is to provide a sample battalion-level Organizational Inspection Program (OIP) that will illustrate the key features that comprise the program.

2. **The Battalion OIP:** The battalion OIP is the basic building block of the entire Army OIP concept. Since battalions comprise companies (or troops, batteries, and detachments), battalion OIPs must address the baseline requirement of Initial Command Inspections and Subsequent Command Inspections. Therefore, battalion OIPs must address Command Inspections as an inspection category at a minimum. Battalion OIPs may also contain Staff Inspection programs, Staff Assistance Visits, and guidance on external inspections. The battalion OIP should also establish the standards for all Initial Command Inspections conducted within the battalion. The Battalion Commander should always consider the OIPs and OIP guidance of senior commanders at least two levels up when developing the battalion OIP.

3. **Sample OIP.** A sample battalion-level OIP appears on the next page.

Sample Battalion OIP Memorandum

DEPARTMENT OF THE ARMY
Battalion Letterhead

XX-XXXX 1 June XXXX

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Battalion Organizational Inspection Program (OIP)

1. **REFERENCES:**

a. AR 1-201, Army Inspection Policy (dated__)

b. Division Organizational Inspection Program (dated __)

c. Brigade Organizational Inspection Program (dated __)

d. The Inspections Guide (DAIG) (dated __)

e. FM 7-0, Training the Force

f. FM 7-1, Battle Focused Training

g. Battalion Annual Training Guidance, FY__

2. **PURPOSE**: To prescribe procedures for the conduct of the Battalion Organizational Inspection Program.

3. **OBJECTIVE**: Battalion-level inspections are integral components of my Organizational Assessment Program (OAP) and of the Division Organizational Inspection Program. I consider them an important tool to assess the combat readiness of each of our units, identify areas that require additional training, and highlight problems that require resolution. We will coordinate a comprehensive battalion inspection program to ensure that we are prepared to conduct our mission while complementing other training.

4. **GENERAL**: The Battalion OIP consists principally of Command and Staff Inspections.

a. The battalion will conduct all inspections in accordance with the inspection principles outlined in AR 1-201.

b. Inspections are training events, and inspectors have the responsibility to ensure that units have the knowledge and ability to fix any identified deficiency. On-the-spot corrections should be made whenever possible and annotated in reports as appropriate.

c. Commendable performances by individuals or creative / unique programs that enhance readiness deserve recognition and acknowledgement in reports.

d. The Battalion S-3 is responsible for scheduling all inspections. If an outside agency or higher headquarters plans to inspect a unit or staff agency within the battalion, the S-3 will fit the inspection on the training schedule. We will not schedule internal inspections that do not support the battalion's priorities, goals, and objectives. We will highlight inspections during training meetings and treat them just like other training events.

e. The Battalion XO is the OIP Coordinator. The XO is responsible for monitoring follow-up inspections on all battalion-level and higher inspection results to ensure that the recommended corrections occur in a timely manner. At the completion of each inspection conducted by an outside agency, a copy of the inspection report will go to the Battalion XO.

5. **INSPECTION PRIORITIES**:

a. Improving command readiness (for example, pre-combat checks, post-combat checks, maintenance, and security inspections).

b. Correcting problems identified in the AAR from our last NTC rotation (for example, ensuring that radio-operator training is current, maintenance and parts replacement requests are processed properly, and that we are accounting for our personnel accurately).

c. Taking care of our Soldiers and families (safety, pay and administration, and family care).

d. Other key areas of command concern that focus on standards and improving readiness.

6. **COMMAND INSPECTIONS**:

a. The Battalion Commander conducts Command Inspections to assess unit strengths and weaknesses, determine readiness, and measure improvement toward goals and objectives.

b. Command Inspections within the battalion come in two forms: The Initial Command Inspection (ICI) and the Subsequent Command Inspection (SCI). These inspections differ in two ways. The ICI is comprehensive and will not be used to measure or evaluate a new commander's progress since taking command. By contrast, the SCI may be tailored and will measure the unit commander's progress since the ICI.

c. The term Command Inspection (CI) as used in this document encompasses both the ICI and SCI.

d. Initial Command Inspections.

(1) Unit Commanders will receive an Initial Command Inspection within 90 days after assuming command.

(2) The ICI will allow new unit commanders to understand readily their units' strengths and weaknesses. I will personally take part in the inspection, and I expect the staff to make this inspection a priority as well. I expect all inspectors to conduct a detailed inspection that not only documents problems but also teaches solutions and assists the unit with corrective actions. I will discuss the results of the ICI with the inspected unit commander and help set goals and priorities for his or her command tenure. This discussion will occur after we have completed the ICI with the appropriate entries made to the OER Support Form (DA Form 67-9-1).

(3) The ICI inspection schedule is at Annex A.

(4) Areas inspected during the ICI are in Annex B.

e. Subsequent Command Inspections.

(1) I will select key areas to follow up with Subsequent Command Inspections based on the ICI results and other indicators. At a minimum, I will inspect a part of each unit annually.

(2) The SCI will enable unit commanders and me to measure the progress of their units. I will provide guidance as necessary to help each unit commander strengthen his or her unit's performance.

(3) Annual SCI inspection areas will be chosen from Annex B, but the annual SCI may not be as comprehensive as the ICI. Tailoring annual SCIs will reflect my concerns at the time of inspection as well as resource constraints. The tailoring decision will be mine alone.

f. Implementation of Command Inspections.

(1) The ICI inspection will begin at 0700 on DAY ONE with an in-briefing conducted by the battalion staff. The purpose for this in-briefing will be to present a clear view of the activities for the next two days and address any last-minute questions. The unit commander, first sergeant, unit commodity area chiefs, and battalion inspectors will attend.

(2) Following the inspection in-briefing, the CSM and I will conduct an in-ranks inspection. We will each inspect one platoon at a minimum. However, all platoons should be prepared for the inspection. Allow approximately one hour for the in-ranks inspection. I expect the unit commander and unit 1SG to accompany the CSM and me.

(3) After the in-ranks inspection, the CSM, unit commander, 1SG, platoon leaders, platoon sergeants, and I will have breakfast together in the Battalion Dining Facility.

(4) Beginning at 0930, the unit commander and I will conduct a general walk-through of the unit area, to include the barracks, dayroom, latrines, dining facilities, motor pool, and supply areas. Simultaneously, the Battalion XO and staff principles will

inspect their respective areas of concern, and the CSM will conduct a complete inspection of the barracks with a layout inspection of at least one platoon's CTA-50.

(5) The staff will also review unit compliance with the battalion's Command Policies and Garrison SOPs.

(6) Staff OICs / NCOICs will consolidate and brief their respective inspection results to me at the end of DAY ONE and DAY TWO during the inspector meetings. Each unit will receive an informal out-briefing at the conclusion of each day.

(7) The unit commander and unit leadership will receive a formal out-briefing from me and from each staff OIC NLT one week after the conduct of the inspection. The Battalion XO will coordinate the date and time of the out-briefing following DAY TWO of the inspection.

(8) Specific staff and unit implementation instructions are outlined in paragraph 13, RESPONSIBILITIES.

(9) Since SCIs usually require less time to conduct, we will use a modified ICI schedule for SCIs. I will state the SCI focus well in advance to ensure adequate unit preparation time.

(10) We will conduct follow-up inspections NLT 90 days after all Command and Staff Inspections to ensure that the appropriate action has occurred to correct deficiencies identified during the inspection. The Battalion XO will monitor the progress of these follow-up inspections.

7. **STAFF INSPECTIONS**: Staff Inspections will normally focus on a single functional area or a few related areas. The intent is to find the root cause of a problem area that is within my ability to fix. For example:

(1) PT program
(2) Inventory procedures
(3) Awards program
(4) Maintenance operations

a. If problems require assistance above my level to fix, I will request that assistance and notify the Division Inspector General if necessary.

b. Staff Inspections will stand alone or complement ongoing Command Inspections.

8. **BRIGADE INSPECTIONS:** The brigade headquarters will conduct a Command Inspection of the battalion annually. The inspection will focus primarily on the staff sections, but the inspection will affect each of the companies to some degree. For example, the Brigade Commander will want to conduct barracks inspections in one company, an in-ranks inspection in another company, and so on. The Battalion XO -- as the battalion OIP coordinator -- will coordinate with the Brigade XO and then our Battalion S-3 to establish dates for this Command Inspection. Once the brigade publishes the inspection's Memorandum of Instruction (MOI), the Battalion XO will publish a battalion-level MOI assigning inspection responsibilities for the companies and

staff sections. The brigade inspection will closely resemble the battalion Command Inspections in content and execution.

9. **EXTERNAL INSPECTIONS:** The battalion must currently undergo two annual inspections conducted by members of the installation or garrison staff. These inspections are external requirements, and the battalion points of contact for each inspection will work with the respective external agencies to schedule these events well in advance. The inspections are as follows:

a. Hazardous Materials Inspection of the Motor Pool. The post Environmental Officer will conduct a day-long inspection of the Motor Pool once a year to determine the battalion's compliance with regulations governing the amount of Class III and POL Packaged Products that the battalion can maintain on hand. The battalion point of contact for this inspection is the Support Platoon Leader, who will work with each Company XO to ensure compliance with the standards. The Support Platoon Leader must also coordinate through the Battalion XO and with the Battalion S-3 to schedule this annual requirement.

b. Physical Security Inspection. The garrison Provost Marshal's office will conduct an annual inspection of the battalion's arms rooms and barracks to ensure compliance with post and Army physical security requirements. The S-2 is the battalion point of contact for this inspection and will work with the company First Sergeants and unit armorers to ensure compliance with the standards. The S-2 must also coordinate through the Battalion XO and with the Battalion S-3 to schedule this annual requirement.

10. **INSPECTOR PREPARATION:**

a. All inspectors will prepare thoroughly to inspect their respective areas. Each inspector must have a thorough understanding of all applicable regulations, policies, and SOPs.

b. New inspectors should orient first on battalion policies pertaining to their inspection area. When they become familiar with these policies, they should study the Brigade and Division policies followed by Corps, ACOM, and DA policies or regulations. This study method will help prevent new inspectors from becoming overwhelmed with stacks of references and checklists.

11. **USE OF THE INSPECTOR GENERAL:**

a. The Division Inspector General has offered to train battalion and unit inspectors in inspection techniques and inspection planning. The basis of their training is The Inspections Guide published by the Department of Army Inspector General Agency (http://tigs-online.ignet.army.mil/tigu_online/index.htm). I encourage all Company Commanders and staff inspectors to read this document, which is available through the Battalion S-3. Staff principals and unit commanders should arrange for further training through the S-3.

b. The IG system tracks problems down to their root cause and can resolve issues that are beyond the battalion's ability to correct such as conflicting guidance in Army regulations. Therefore, we will often inform the IG of issues that we cannot resolve

so that he or she can resolve them. Such issues will go forward in writing under my signature.

12. **ANNOUNCED AND UNANNOUNCED INSPECTIONS:**

a. As indicated, the ICIs and SCIs are announced inspections that we will incorporate into the training schedule.

b. Unannounced inspections are a valid way of determining the day-to-day status of unit activities. However, these inspections can be highly disruptive to training and other necessary activities. Therefore, no unannounced inspections within the battalion will occur without my personal approval.

c. We will also coordinate announced inspections by agencies outside the battalion and include them on the training schedule.

13. **RESPONSIBILITIES:**

a. The XO will:

(1) Serve as the Battalion OIP Coordinator.

(2) Coordinate and consolidate inspection-visit results, facilitate inspector meetings, and ensure the completion and distribution of all inspection reports. Copies will also go to the Division IG.

(3) Resolve any discrepancies between the inspected unit and the battalion inspectors.

(4) Schedule formal out-briefings in the battalion classroom NLT one week after completing all Command and Staff Inspections.

(5) Submit issues that you cannot resolve at the battalion level to the next higher headquarters.

(6) Develop the battalion-level Memorandum of Instruction (MOI) for all brigade Command Inspections.

b. The CSM will:

(1) Participate in all Command Inspections and certain Staff Inspections as appropriate.

(2) Attend Command Inspection in-briefings, inspector meetings, and out-briefings.

(3) During Command Inspections, inspect at least one platoon; conduct a complete inspection of the unit billets and wall lockers; inspect at least one platoon layout of CTA-50; and walk through other unit areas such as the dining facility, motor pool, and dayroom.

(4) Inspect the NCOER program to ensure that counseling is occurring properly.

c. The S-1 will:

(1) Provide inspectors for all S-1 areas of responsibility as outlined in Annex B. Additionally, annotate the names of staff personnel responsible for the various inspection areas in the appropriate column on Annex B and return a copy of the annex to the XO NLT 10 days prior to DAY ONE of a scheduled Command Inspection.

(2) Attend Command Inspection in-briefings, inspector meetings, and out-briefings.

(3) Be prepared to conduct Staff Inspections for any issues appropriate to the S-1's areas of responsibility.

d. The S-2 will:

(1) Provide inspectors for all S-2 areas of responsibility as outlined in Annex B. Additionally, annotate the names of staff personnel responsible for the various inspection areas in the appropriate column on Annex B and return a copy of the annex to the XO NLT 10 days prior to DAY ONE of a scheduled Command Inspection.

(2) Attend Command Inspection in-briefings, inspector meetings, and out-briefings.

(3) Be prepared to conduct Staff Inspections for any issues appropriate to the S-2's areas of responsibility.

e. The S-3 will:

(1) Annotate scheduled command inspection dates on the battalion Long-Range Planning Calendar (LRPC) in accordance with the training execution model outlined in FM 7-1, *Battle Focused Training*.

(2) Schedule / coordinate the use of any non-battalion facilities that any inspections may require.

(3) Provide inspectors for S-3 areas of responsibility as outlined in Annex B. Additionally, annotate the names of staff personnel responsible for the various inspection areas in the appropriate column on Annex B and return a copy of the annex to the XO NLT 10 days prior to DAY ONE of a scheduled Command Inspection.

(4) Evaluate the conduct of the APFT during the ICIs.

(5) Publish NLT 10 days prior to DAY ONE a listing of CTT and NBC tasks to evaluate and then assess one platoon on each set of these tasks during the Command Inspection.

(6) Attend Command Inspection in-briefings, inspector meetings, and out-briefings.

(7) Be prepared to conduct Staff Inspections for any issues appropriate to the S-3's areas of responsibility.

(8) Coordinate the training of all inspectors and evaluators.

(9) Schedule outside agencies for assistance as necessary.

f. The S-4 will:

(1) Provide inspectors for S-4 areas of responsibility as outlined in Annex B. Additionally, annotate the names of staff personnel responsible for the various inspection areas in the appropriate column on Annex B and return a copy of the annex to the XO NLT 10 days prior to DAY ONE of a scheduled Command Inspection.

(2) Conduct a 10-percent property-accountability inspection of one platoon during each ICI.

(3) Inspect the motor sergeant, supply sergeant, and armorer hand receipts, at a minimum, to check audit trails during each ICI.

(4) Attend Command Inspection in-briefings, inspector meetings, and out-briefings.

(5) Be prepared to conduct Staff Inspections for any issues appropriate to the S-4's areas of responsibility.

g. The Battalion Maintenance Officer will:

(1) Provide inspectors for the maintenance area of responsibility as outlined in Annex B. Additionally, annotate the names of staff personnel responsible for the various inspection areas in the appropriate column on Annex B and return a copy of the annex to the XO NLT 10 days prior to DAY ONE of a scheduled Command Inspection.

(2) Attend all Command Inspection in-briefings, inspector meetings, and out-briefings.

(3) In coordination and conjunction with the Battalion Communications-Electronics Officer (S-6), conduct a maintenance inspection of one platoon during each ICI.

(4) Be prepared to conduct Staff Inspections on any issues appropriate to the maintenance areas of responsibility.

h. The Battalion Signal Officer (S-6) will:

(1) Provide inspectors for the communications area of responsibility as outlined in Annex B. Additionally, annotate the names of staff personnel responsible for

the various inspection areas in the appropriate column on Annex B and return a copy of the annex to the XO NLT 10 days prior to DAY ONE of a scheduled Command Inspection.

(2) Attend all Command Inspection in-briefings, inspector meetings, and out-briefings.

(3) In coordination and conjunction with the Battalion Motor Officer, conduct a Communications and Electronics and COMSEC maintenance inspection of one platoon during each ICI.

(4) Be prepared to conduct Staff Inspections on any issues appropriate to the communications areas of responsibility.

i. Unit commanders will:

(1) Annotate the names of unit POCs and guides responsible for the various inspection areas in the appropriate column on Annex B and return a copy of the annex to the XO NLT 10 days prior to DAY ONE of a scheduled Command Inspection.

(2) Designate the specific platoons to participate in the inspection areas detailed below. Furthermore, notify the appropriate staff section OIC of the selected platoons NLT seven days prior to DAY ONE of a scheduled Command Inspection.

(a) Battalion Commander	In-ranks (DAY ONE, 0700-0800)
(b) S-3	APFT (DAY TWO, 0700-0800)
(c) S-3	NBC evaluation (DAY TWO AM)
(d) S-3	CTT evaluation (DAY TWO PM)
(e) BMO / S-6	Maintenance evaluation (DAY TWO AM)
(f) S-4	10-percent inventory (DAY TWO PM)

(3) Designate one point of contact (such as the XO or 1SG) to monitor, coordinate, and de-conflict inspection activities. Provide the name of this POC to the Battalion XO NLT 10 days prior to DAY ONE of a scheduled ICI or SCI.

(4) Be prepared to assist any staff area during the conduct of any Staff Inspection conducted under my direction. This assistance may take on several different forms from guides to hands-on participants.

14. **BATTALION COMMAND INSPECTION REPORTS:**

a. Staff section OICs will submit verbal reports at the daily ICI / SCI staff meeting.

b. Staff section OICs will submit three copies of the final written report using the format detailed at Annex C and three copies of all completed inspection-visit checklists to the Battalion XO NLT three working days after the inspection.

c. Staff section OICs will brief their final Command Inspection report to the unit commander and assembled unit leadership at the formal out-briefing.

d. All inspection reports will highlight recurring deficiencies noted during previous inspections, evaluations, or visits conducted by any level of command.

e. The unit commander will receive a copy of each staff section's final report and all inspection-visit checklists at the final Command Inspection out-briefing.

f. Staff Inspection reports will follow the same format outlined in Annex C. Each staff section will complete the inspection reports NLT 10 days after the conduct of any inspection.

15. **PROPONENT / SUGGESTIONS FOR IMPROVEMENT**: The proponent for this SOP is the Battalion XO. Any member of this battalion may suggest changes directly to the Battalion XO.

BATTALION COMMANDER
LTC, XX
Commanding

Annexes:
A - Standard ICI Schedule
B - ICI Inspection Areas
C - Report Format

DISTRIBUTION: A

ANNEX A (Standard ICI Schedule) to Battalion Organizational Inspection Program (OIP)

DAY ONE

TIME	EVENT	WHO	LOCATION
0700-0730	Inspection In-briefing	Bn Cdr / Staff Unit Cdr / Staff	Unit Area
0730-0930	In-ranks Inspection	Bn Cdr / CSM Unit CO / 1SG PLs / PSGs	Unit Area
0930-1200	*Phase I of ICI Bn Cdr walk-thru	Bn inspectors Unit Guides	Unit Area
1200-1300	Lunch	All	Bn Area
1300-1330	*Prep for Phase II	All	Bn Area
1330-1630	*Phase II of ICI	Bn Inspectors Unit Guides	Unit Area
1630-1700	Re-group from Inspection Visits	All	Unit Area
1700-1800	Staff Meeting	Bn XO Bn Inspectors	Bn Conf Rm
1800-1830	Unit Cdr Informal Out-briefing	Bn CO Unit CO	Bn Conf Rm
1830	END OF DAY ONE		

* The term "phase" appears in the text to distinguish between AM or PM sessions of each day.

A-1

DAY TWO

TIME	EVENT	WHO	LOCATION
0700-0800	**Evaluate Conduct of APFT	S-3 Evaluators Unit Personnel	Unit Area
0800-0930	Personal Hygiene Breakfast	All	Bn Area
0930-1200	Phase III of ICI **Evaluate NBC	Bn Inspectors Unit Guides	Unit Area
1200-1300	Lunch	All	Bn Area
1300-1330	Prep for Phase IV	All	Bn Area
1330-1630	Phase IV of ICI **Evaluate CTT	Bn Inspectors Unit Guides	Unit Area
1630-1700	Re-group from Inspection Visits	All	Bn Area
1700-1800	Staff Meeting	Bn XO Staff	Bn Conf Rm
1800-1830	Unit Cdr Informal Out-briefing	Bn Cdr / Staff Unit CO	Bn Conf Rm

** NOTE: Unit commanders may designate specific platoons to participate in the special evaluation areas (APFT, NBC, and CTT) but will not routinely select the same platoon for the same evaluation area on subsequent inspections. Also, unit commanders will refrain from "stacking" or adjusting a specific platoon's manning situation to manipulate results.

NLT ONE WEEK AFTER THE INSPECTION VISIT

TIME	EVENT	WHO	LOCATION
TBD	Formal Out-briefing	Bn Cdr / Staff Unit CO / leaders determined by CO	Bn Conf Rm

A-2

ANNEX B (ICI Inspection Areas) to Battalion Organizational Inspection Program (OIP)

Inspection Area (from Div Cir 1-201)	Bn Staff Proponent	Bn Staff Inspector	Standard (AR, policy, etc.)	Remarks
Drug and Alcohol (p. A-1-1)	S-1			
Equal Opportunity (p. A-2-1)	S-1			
Family Care Plans (p. A-4-1)	S-1			
Recognition / farewell to Departing Soldiers (p. A-4-1)	S-1			
Weight control (p. A-5-1)	S-1			
Awards (p. B-1-1)	S-1			
Reenlistment (p. B-2-1)	REUP			
Meal-Card Control (p. B-4-1)	S-1			
NCOERs / OERs (p. B-4-1)	S-1			
Promotions p. B-5-10	S-1			

B-1

ANNEX B (ICI Inspection Areas) to Battalion Organizational Inspection Program (OIP)

Inspection Area (from Div Cir 1-201)	Bn Staff Proponent	Bn Staff Inspector	Standard (AR, policy, etc.)	Remarks
Enlisted Reassignment (p. B-6-1)	S-1			
Travel Card Administration (p. B-7-1)	S-1			
Military Sponsorship (p. B-8-1)	S-1			
Timeliness of Admin Eliminations (p. B-9-1)	S-1			
SIDPERS Operations (p. B-10-1)	S-1			
Use of Enlisted Personnel (p. B-11-1)	S-1			
Finance Administration (p. C-1-1)	S-1			
Finance Services (p. C-2-1)	S-1			
General Legal Services (p. D-1-1)	S-1			
Courts-Martial (p. D-1-2)	S-1			

ANNEX B (ICI Inspection Areas) to Battalion Organizational Inspection Program (OIP)

Inspection Area (from Div Cir 1-201)	Bn Staff Proponent	Bn Staff Inspector	Standard (AR, policy, etc.)	Remarks
Non-judicial Punishment (p. D-4-1)	S-1			
Enlisted Separations (p. D-4-1)	S-1			
Legal Assistance and Claims (p. D-5-1)	S-1			
Suspension of Favorable Personnel Actions (p. D-6-1)	S-1			
Medical Services (p. E-1)	S-1			
Public Affairs (p. F-1-1)	S-1			
Physical Security (p. G-1-1)	S-2			
Crime Prevention (p. G-2-1)	S-2			
Safety (p. B-4-1)	S-1			
Information Assurance (p. I-1-1)	S-6			

ANNEX B (ICI Inspection Areas) to Battalion Organizational Inspection Program (OIP)

Inspection Area (from Div Cir 1-201)	Bn Staff Proponent	Bn Staff Inspector	Standard (AR, policy, etc.)	Remarks
Personnel Security (p. I-2-1)	S-2			
Computer Security Program (p. I-4-1)	S-2			
Intelligence Oversight (p. J-1)	S-2			
Training and Operations (p. K-1)	S-3			
NBC Program (p. L-1)	S-3			
COMSEC (p. M-1)	CESO (S-6)			
Financial Management (p. N-1)	S-4			
Supply Management (p. O-1-1)	S-4			
Dining Facilities (p. O-2-1)	S-4			
Maintenance Management (p. P-1)	BMO			

ANNEX B (ICI Inspection Areas) to Battalion Organizational Inspection Program (OIP)

Inspection Area (from Div Cir 1-201)	Bn Staff Proponent	Bn Staff Inspector	Standard (AR, policy, etc.)	Remarks
Movement Planning (p. Q-1)	S-3			
In-Ranks Inspection (p. R-1-1)	CSM			
Billets (p. R-2-1)	CSM			
Clothing and CTA-50 (p. R-4-1))	CSM			
Leadership (p. R-4-1)	CSM			
Fire Prevention (p. S-1-1)	S-1			
Purchase Card Administration (p. S-2-1)	S-4			
Environmental Compliance (p. S-4-1)	S-4			
Records Management (p. O-2-1)	S-1			
Physical Training (p. T-1)	CDR			

NOTE: The tables listed above represent only a sample of the many functional inspection areas that comprise inspections at the battalion level.

ANNEX C (Report Format) to Battalion Organizational Inspection Program (OIP)

HEADING:

UNIT: _____DATE INSPECTED: _____
INSPECTOR: _____UNIT POC: _____

SUBJECT AREA: This section should coincide with the major appendix heading in the Battalion Inspection Areas list. When a sub-element of that heading falls under a different staff proponent (for example, FIRE PREVENTION is an S-1 responsibility, but ENGINEERING and HOUSING are S-4 responsibilities), the appropriate staff member will prepare a separate report for that sub-element.

SUMMARY: This section should consist of a brief description of the sub-elements inspected within the major appendix heading. Each sub-element will include a rating of SATISFACTORY, NEEDS IMPROVEMENT, or UNSATISFACTORY. Inspectors must ensure that their standards are consistent from one inspection to the next and from one unit to another.

FINDINGS: This section should highlight areas of significance (either strengths or weaknesses) that demonstrate that the unit is either surpassing or not following the overall intent of the regulatory guidance or requirement. Comments in this section should be consistent with the rating in the SUMMARY section. Consistency from one inspection to the next and from one unit to another is absolutely essential.

OBSERVATIONS: This section should (a) identify potential problem areas that have not yet become issues, (b) highlight areas if the inspector suspects but cannot verify a problem, or (c) indicate where the inspectors believe that the unit is not complying with the "spirit of the law." Comments in this section should be consistent with the rating in the SUMMARY section.

ROOT CAUSE: This section should explain the reason (or reasons) for the non-compliance of any findings and -- if necessary -- any observations. The Root Cause Analysis Model is an important tool to use to determine why something is not happening to standard (see *The Inspections Guide*, Section 3-3).

RECOMMENDATIONS: This section should provide specific guidance or suggestions on how an individual, unit, or staff section can correct a noted deficiency. An essential element of every recommendation is naming an individual, unit, or staff section charged with fixing the problem. Additionally, use this section to recommend individuals for outstanding performance.

TRENDS AND OTHER SIGNIFICANT MATTERS: This section should highlight significant observations and trends found throughout the inspection that are not necessarily attributed to a regulatory requirement but are directly or indirectly affecting the outcome of a particular finding (or findings).

ANNEX C (Report Format) to Battalion Organizational Inspection Program (OIP)

EXAMPLE

UNIT: XXX Battalion DATE INSPECTED: 22-24 June XXXX
INSPECTOR: MSG Inspector, Brigade S-1 NCOIC UNIT POC: CPT Inspected

SUBJECT AREA: BATTALION ADMINISTRATION

SUMMARY:

1. AWARDS - UNSATISFACTORY
2. REENLISTMENT - NEEDS IMPROVEMENT
3. NCOERs - SATISFACTORY

FINDINGS:

1. AWARDS. PAC supervisory personnel do not monitor the awards program, and Soldiers often receive awards well after their departure from the unit.

OBSERVATIONS:

1. REENLISTMENT. Unit commanders are not interviewing Soldiers within 11 to 12 months of the Soldiers' ETS dates.

2. NCOERs. All NCOs are being counseled on their performance, and this counseling is documented on their NCOERs.

ROOT CAUSE: The S-1 shop members are aware of the commander's policy to present awards to departing Soldiers before they leave the unit; however, the S-1 shop suffers from a manpower shortage and an effective tracking system that would allow the shop to keep pace with the awards system with fewer people.

RECOMMENDATIONS:

1. AWARDS. The S-1 should establish a tracking system that identifies departing Soldiers and requires the Soldier's chain of command to forward a recommendation for an award or to indicate that the Soldier will not receive an award for a specific reason.

2. REENLISTMENT.

a. The S-1 should establish a tracking system to remind commanders to interview Soldiers 11 to 12 months prior to their ETS date.

b. Unit commanders should conduct these interviews on time.

3. NCOERs. The unit commander should acknowledge the outstanding job that his leaders are doing in NCO counseling.

TRENDS AND OTHER SIGNIFICANT MATTERS:
Company commanders appear to be uninvolved in the recommending and processing of awards, which results in a lack of emphasis and command visibility.

Section 5-3

Sample Division Organizational Inspection Program

1. **Purpose:** This section provides a sample division-level Organizational Inspection Program (OIP) that will illustrate the key features that comprise the program.

2. **The Division OIP:** Since all divisions comprise separate companies (HHC, Military Police, and Chemical), division OIPs must address the baseline requirement of Initial Command Inspections and Subsequent Command Inspections. Therefore, division OIPs must address Command Inspections as an inspection category at a minimum. The division staff normally conducts these Initial and Subsequent Command Inspections. Division OIPs may also contain Staff Inspection programs and Staff Assistance Visits but must address IG Inspections and external inspections. The division OIP should also establish the standards for all Initial Command Inspections conducted within the division so that subordinate commanders can tailor their OIPs accordingly. The Division Commander should always consider the OIPs and OIP guidance of senior commanders at least two levels up when developing guidance for the division OIP.

3. **Sample OIP.** A sample division-level OIP appears on the next page.

Sample Division OIP Memorandum

DEPARTMENT OF THE ARMY
Division Letterhead

XX-XXXX 1 August XXXX

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Division and Installation Organizational Inspection Program (OIP)

1. **REFERENCES:**

a. AR 1-201, Army Inspection Policy (dated__)

b. AR 11-2, Management Control (dated__)

c. AR 20-1, Inspector General Activities and Procedures (dated__)

d. AR 381-10, U.S. Army Intelligence Activities (dated__)

e. __ Corps Organizational Inspection Program (OIP) (dated __)

f. The Inspections Guide (DAIG) (dated __)

g. FM 7-0, Training the Force

h. FM 7-1, Battle Focused Training

i. __ Corps Training Guidance, FY__

2. **PURPOSE**: To prescribe procedures for the conduct of the Division and Installation Organizational Inspection Program (OIP) within the ___ Infantry Division and Fort _____.

3. **COMMANDER'S GUIDANCE**: Inspections are an integral component of my Organizational Assessment Program (OAP). I consider them an important tool to assess the combat readiness of each of our units, identify areas that require additional training, and highlight problems that require resolution. In addition, inspections help me identify issues that may cause me to readjust my priorities and policies. All battalions and brigades within the division will develop OIPs; likewise, the garrison commander will establish an OIP tailored to meet the needs of the tenant units on post and that follows the guidelines and requirements set forth in this OIP. The division will have an aggressive Command Inspection program that focuses on Initial Command Inspections

and Subsequent Command Inspections for all companies, troops, batteries, and detachments. Commanders at all levels will be actively involved in this program. My staff will also conduct Staff Inspections as directed by the Chief of Staff on a recurring basis. The Inspector General will focus on inspecting topics or issues that suggest that a systemic problem might be present. I intend to reserve IG Inspections for those issues that I want to solve -- permanently. All inspections conducted in the division and the garrison will adhere to Army inspection policy and the Army's inspection principles. Furthermore, teaching, training, and mentoring will be the goal of all inspections conducted within the division and on the installation.

4. **GENERAL**: The Division OIP consists principally of Command, Staff, and IG Inspections.

a. The division and garrison will conduct all inspections in accordance with the inspection principles outlined in AR 1-201. All IG inspections will follow the inspections process outlined in AR 20-1. All other inspections should follow this same inspections process when possible.

b. Inspections are training events, and inspectors have the responsibility to ensure that units have the knowledge and ability to fix any identified deficiency. On-the-spot corrections should be made whenever possible and annotated in reports as appropriate.

c. Commendable performances by individuals or creative programs that enhance readiness deserve recognition and acknowledgement in inspection reports.

d. The G-3 and the DPTMS are the division and garrison OIP Coordinators respectively. With the division, the G-3 is responsible for monitoring follow-up inspections on all battalion-level and higher inspection results to ensure that the recommended corrections occur in a timely manner. The same responsibility applies to the DPTMS at the garrison level. At the completion of each inspection in the division or on post, a copy of the inspection report will go to the G-3 / DPTMS.

e. The G-3 / DPTMS is responsible for scheduling all inspections. If an outside agency wishes to inspect a unit within the division or on post, forward the request immediately to the G-3 / DPTMS to ensure that the inspection can fit both on the training schedule and with the division's priorities. We will not schedule requested inspections that do not support the division or installation's priorities, goals, and objectives. We will highlight inspections during staff meetings and treat them just like all other training events.

5. **INSPECTION PRIORITIES**:

a. Improving warfighting readiness and division plans and policies

b. Taking care of our Soldiers and Families

c. Correcting problems identified during major training exercises, Command Post Exercises, and Combat Training Center rotations

d. Solving problems that present a systemic problem or pattern

6. **COMMAND INSPECTIONS**:

a. Command Inspections are a critical component of all OIPs within the division and garrison. Command Inspections improve unit readiness, and commanders at all levels will participate in these inspections as a way to reinforce their importance and to take an active role in determining the results. At a minimum, commanders conducting Initial Command Inspections and Subsequent Command Inspections will attend the inspected unit's in-briefing and out-briefing and actively participate in some aspect of the inspection (for example, conducting in-ranks inspections, barracks inspections, motor pool inspections, and so on).

b. Mandatory Command Inspections within the division come in two forms: The Initial Command Inspection (ICI) and the Subsequent Command Inspection (SCI). These inspections differ in two ways. The ICI is comprehensive, and commanders will not use the results of the ICI to measure or evaluate a new commander's progress since taking command. By contrast, the commander may tailor the SCI as necessary and can use the results of the SCI to evaluate the unit commander's progress since the ICI.

c. Initial Command Inspections (ICI).

(1) All incoming Company, Battery, Troop, or Detachment Commanders will receive an Initial Command Inspection within 90 days after assuming command.

(2) The ICI will allow new unit commanders to understand readily their units' strengths and weaknesses. The inspecting commander will personally take part in the inspection, and I expect his or her staff to make this inspection a priority as well. I expect all inspectors to conduct a detailed inspection that not only documents problems but also teaches solutions and assists the unit with corrective actions. The inspecting commander will discuss the results of the ICI with the inspected unit commander and help set goals and priorities for his or her command tenure. This discussion will occur after completing the ICI with the appropriate entries made to the OER Support Form (DA Form 67-9-1).

(3) The baseline standards for all ICIs conducted within the division are at Annex A.

d. Subsequent Command Inspections (SCI).

(1) SCIs <u>will</u> occur for all units that receive an ICI. The inspecting commander can set the date; however, commanders will conduct SCIs not later than one year after completion of the new commander's ICI in accordance with AR 1-201, paragraph 3-3 d.

(2) The SCI will enable each unit commander to measure the progress of his or her unit. The inspecting commander will provide guidance as necessary to help each unit commander strengthen his or her unit's performance.

(3) Battalion and Brigade OIPs should outline a standard approach and methodology for conducting Initial and Subsequent Command Inspections so that much

of the planning and execution phases can occur as Standing Operating Procedure (SOP).

e. Brigade and Battalion Commanders may develop, at their discretion, other Command Inspection requirements within their respective units. Requiring annual Command Inspections of all battalions within a brigade is acceptable, but the inspecting commander must consider time constraints and avoid an overly rigorous inspection program that robs units of critical training time.

7. **STAFF INSPECTIONS**: Staff Inspections within the division and garrison will focus on a single functional area. The Chief of Staff for the division and the Deputy Commander for the garrison are responsible for developing their respective Staff Inspection programs. Within the division, the program will involve the inspection of one functional area within the brigades annually. For example, G-2 may inspect the intelligence functional area in all brigades for FY___. The G-2 will send inspection teams down to the brigades to inspect each S-2 shop's compliance with regulations governing that functional area. The garrison Deputy Commander is free to develop a similar approach but may tailor the Staff Inspection to meet the installation's needs.

a. Staff Inspections will be compliance oriented but will also serve to teach and train those staff sections to function properly and effectively.

b. Staff Assistance Visits (SAVs) are an important part of the Staff Inspection program. Brigade and installation staff sections may request SAVs as required to help teach and train staff sections on their roles and requirements as outlined in the governing regulations. SAVs are a good way to prepare for future Staff Inspections.

c. Brigade Commanders may consider a similar Staff Inspection program within their respective commands as long as the Staff Inspections complement the Command Inspections and do not result in redundancy.

8. **IG INSPECTIONS:** The division IG is also the installation IG, and IG Inspections within the division and on post will focus on systemic issues that are having a deleterious effect on many of the division's and garrison's units and Soldiers. IG Inspections will always focus on identifying the root cause of all identified problem areas and will offer recommendations that -- once implemented -- will result in a permanent, long-standing solution to the problem.

a. As mentioned earlier in my Commander's Guidance, all IG Inspections will follow the Inspections Process outlined in Army Regulation 20-1 and the Inspector General School's The Inspections Guide.

b. IG Inspections must adhere to -- and actively promote -- the inspection principles outlined in Army Regulation 1-201.

c. The IG will develop an annual inspection plan for each fiscal year that identifies one inspection topic per quarter. The IG will develop these topics by analyzing trends and patterns within the division, evaluating Unit Status Report (USR) and Strategic Readiness System (SRS) data, and by considering my guidance and concerns about specific issues within the division and on post. This prioritized inspection list will appear in my Annual Training Guidance to the division.

d. The IG will consider internal Management Control provisions found in most Army regulations when narrowing inspection topics and developing inspection objectives. The IG will also coordinate with the Resource Management (RM) office to ensure that information gleaned from Management Control reports is available to the IG for consideration when analyzing trends within the division and installation. Furthermore, the IG will monitor the resolution of all material weaknesses identified during Management Control evaluations.

e. The IG will conduct Intelligence Oversight in accordance with Army Regulation 381-10 for all intelligence activities on post on an annual basis. The installation and division's intelligence activities are as follows:

(1) All battalion and brigade S-2 sections

(2) ____Military Intelligence Battalion

(3) DSEC (garrison staff and part of DPTMS)

f. The IG will be available to conduct inspector train-the-trainer courses throughout the year. Units will coordinate directly with the IG to schedule these courses. The training consists of information-gathering techniques and how to use the Inspections Process as outlined in The Inspections Guide, which the Department of Army Inspector General School publishes and uses as a student text. I encourage all commanders and staff inspectors to read this guide, which is available through the IG.

9. **EXTERNAL INSPECTIONS:** External inspections fall into two categories: Inspections external to the installation and inspections external to the division's units.

a. Inspections external to the installation come in the form of DAIG inspections, Department of Defense (DoD) IG inspections, and U.S. Army Audit Agency (USAAA) audits. In most cases, these inspections will be short-notice visits and can prove disruptive to the long- and short-range planning calendars. We will attempt to learn of these inspections well in advance so that we can include them on the division calendar. The IG will host all DAIG and DoD IG visits. The Resource Management (RM) office will host all USAAA visits.

b. Inspections external to units within the division exist in the form of garrison-level inspection requirements. Each brigade OIP Coordinator will contact the DPTMS and schedule all external inspection requirements well in advance. These inspections must appear on battalion and brigade training calendars. The recurring garrison-level inspections and their proponents are as follows:

(1) Hazardous Materials Inspection of Battalion and Brigade Motor Pools. The post Environmental Officer will conduct annual inspections of each Motor Pool on post.

(2) Physical Security Inspections. The garrison Provost Marshal's office will conduct annual inspections of all battalion, brigade, and separate company arms

rooms and barracks to ensure compliance with post and Army physical security requirements.

(3) Safety Inspections. The post Safety Office will conduct semi-annual Safety Inspections of each battalion, brigade, and separate company on post.

10. **MANAGEMENT CONTROL:** The Resource Management (RM) office is the proponent within the division for Management Control requirements and reports as required by AR 11-2. These reports are required on a recurring basis, so the division Resource Manager must share the information gleaned from these reports with the IG for consideration during trends analysis. In addition, the RM office will oversee -- and report to me -- all material weaknesses identified during internal Management Control evaluations and track these problems to resolution. The IG will assist the RM office in monitoring these important issues.

11. **INSPECTOR PREPARATION:**

a. All inspectors will prepare thoroughly to inspect their respective areas. Each inspector must have a thorough understanding of all applicable regulations, policies, and SOPs.

b. New inspectors should orient first on division policies pertaining to their inspection area. When they become familiar with these policies, they should study the corps and MACOM policies followed by DA policies or regulations. This study method will help prevent new inspectors from becoming overwhelmed with stacks of references and checklists.

12. **ANNOUNCED AND UNANNOUNCED INSPECTIONS:**

a. As discussed earlier, the ICIs and SCIs are announced inspections that we will incorporate into training schedules at all levels.

b. Unannounced inspections are highly disruptive to training and other necessary activities. Therefore, no unannounced inspection will occur without my personal approval. This approval includes both internal and external inspections.

13. **RESPONSIBILITIES:**

a. The Division Chief of Staff / Garrison Deputy Commander will:

(1) Establish and execute a Staff Inspection program in close coordination with the division and garrison OIP Coordinators.

(2) Assist the G-3 / DPTMS in submitting issues identified during inspections that we could not resolve at the division or post level to the corps headquarters under my signature.

(3) Task the respective division and installation staff proponents to implement the approved recommendations found in all IG (and lower-echelon) inspection reports.

b. The G-3 / DPTMS will:

(1) Serve as the Division / Installation OIP Coordinator.

(2) Coordinate and consolidate inspection-visit results and ensure the completion and distribution of all inspection reports. Copies will also go to the division IG.

(3) Submit issues identified during inspections that we could not resolve at the division level to the corps headquarters under my signature. The IG calls this process handoff.

(4) Schedule all internal inspections on the division / garrison long- and short-range planning calendars.

c. The IG will:

(1) Conduct IG Inspections as part of the division OIP.

(2) Conduct inspector training as requested.

(3) Share inspection results with all units and tenant organizations on post.

(4) Conduct Intelligence Oversight of the post's intelligence activities as required.

(5) Monitor material weaknesses identified during internal Management Control evaluations.

d. The Resource Manager (RM) will:

(1) Execute the Management Control program in accordance with AR 11-2.

(2) Share Management Control information with the IG.

(3) Track the resolution of all material weaknesses identified during internal Management Control evaluations.

e. The division and installation staff will:

(1) Conduct Staff Inspections as required by the division Chief of Staff's / garrison Deputy Commander's plan.

(2) Support all IG Inspections with augmentation personnel as required.

(3) Ensure that all individuals within the staff section who will conduct inspections are technically qualified and trained to conduct the inspection.

(4) Conduct Staff Assistance Visits (SAVs) as requested.

14. **INSPECTION REPORTS:** All inspection findings will follow a format similar to the one outlined in The Inspections Guide. At a minimum, the finding must include the finding statement, standard, and recommendation. The rest of each report's overall format is at the discretion of the local commander.

15. **PROPONENT / SUGGESTIONS FOR IMPROVEMENT**: The overall proponent for this OIP is the division G-3. Any member of the division or installation may suggest changes directly to the G-3.

DIVISION COMMANDER
MG, USA
Commanding

Annexes:
A - ICI Inspection Areas

DISTRIBUTION: A

ANNEX A (ICI Inspection Areas) to the Division / Installation Organizational Inspection Program (OIP)

Inspection Area (from Div Cir 1-201)	Div Staff Proponent	Bn / Bde Staff Proponent	Standard	Remarks
Drug and Alcohol (p. A-1-1)	G-1	S-1	AR____	
Equal Opportunity (p. A-2-1)	G-1	S-1	AR____	
Family Care Plans (p. A-4-1)	G-1	S-1	AR____	
Recognition / farewell to Departing Soldiers (p. A-4-1)	G-1	S-1	AR____	
Weight control (p. A-5-1)	G-1	S-1	AR____	
Awards (p. B-1-1)	G-1	S-1	AR____	
Reenlistment (p. B-2-1)	DIV REUP	REUP	AR____	
Meal-Card Control (p. B-4-1)	G-1	S-1	AR____	
NCOERs / OERs (p. B-4-1)	G-1	S-1	AR____	
Promotions p. B-5-10	G-1	S-1	AR____	

NOTE: The table listed above represents only a small sample of the many functional inspection areas that comprise company-level Initial Command Inspections.

Section 5-4

Responsibilities of the OIP Coordinator

1. **Purpose:** The purpose of this section is to describe the basic (and in many cases proposed) responsibilities of the Coordinator of an Organizational Inspection Program (OIP).

2. **Who is the OIP Coordinator?** The OIP Coordinator is the person within the unit or command charged with developing, coordinating, and monitoring the OIP. The OIP Coordinator normally comes from the operations staff section (S-3 / G-3) but can also be an executive officer (at the battalion and brigade level) or the IG (at the division level and higher). The OIP Coordinator does not actually lead -- or physically conduct -- the various inspection programs that comprise the OIP. Instead, the OIP Coordinator ensures the continuous execution and scheduling of these inspection programs in accordance with the guidance set forth in the written OIP. The OIP Coordinator's principle task is the development of a schedule that incorporates -- and then coordinates -- the inspections that occur within the unit or command for a given year, quarter, month, and so on.

3. **Responsibilities:** The responsible commander at each echelon of command designates the OIP Coordinator and then outlines that person's responsibilities. Resultantly, the roles of OIP Coordinators will vary from unit to unit and from command to command. The common responsibilities of all OIP Coordinators are as follows:

a. Develop a written OIP that captures the key elements outlined in Section 5-1 of this guide.

b. Develop and maintain a schedule that captures all relevant inspections that occur within the unit or command. The best coordination schedule is an annual timeline that lays out all Command Inspections, Staff Inspections, IG Inspections (division level and above), audits (division level and above), external inspections, and major training events. Quarterly schedules are good for the short term, but the OIP Coordinator should base these quarterly schedules on long-term, or annual, calendars. The purpose of these schedules is to prevent conflicts with major training events or other inspections and to avoid redundant or duplicate inspections. In other words, these schedules ensure that inspections do not interfere with major training events and enable the OIP Coordinator to develop and monitor a cohesive program that focuses on command objectives.

c. Coordinate for the use of outside inspection assets on behalf of unit commanders. These inspection assets can include Maintenance Assistance and Instruction Teams or Command Evaluation Teams (known as MAITs or COMETs respectively), Installation Environmental Office inspectors, and Equal Opportunity officers to conduct Command Climate Sensing Sessions.

d. Routinely participate in training meetings and briefings to address inspection schedules and plans as necessary and to discuss and apply lessons learned when scheduling future inspections.

e. Meet routinely with the lead agents responsible for executing the various components of the OIP such as Commanders (Command Inspections); Chiefs of Staff, Executive Officers, or Primary Staff members (Staff Inspections and Staff Assistance Visits); IGs (IG Inspections); Resource Managers (audits); and the individuals responsible for external inspections, which include installation- or garrison-level inspections.

f. Monitor the execution and completion of all corrective measures resulting from final inspection reports. When a commander approves the final results of an inspection, the recommended corrections become taskers that the designated proponents must implement. As an additional follow-up measure, the OIP Coordinator must develop a tracking system that will allow him or her to update the commander routinely on the progress of these corrective actions.

4. **IGs as OIP Coordinators:** If the commander designates the IG as the OIP Coordinator, then the IG will have to balance his or her coordination and monitoring responsibilities with the actual execution of a portion of the OIP -- IG Inspections. The command IG may pass the OIP Coordinator duties directly to the chief of the IG shop's Inspections Branch. In effect, this individual will now serve as both OIP Coordinator and leader of the IG Inspection effort. In this case, the IG Inspection branch chief must clearly separate the duties of the OIP Coordinator from his or her duties in leading IG Inspections to avoid compromising both activities. The IG Inspection chief must plan, execute, and complete IG Inspections without influence or impact from the rest of the inspections conducted as part of the OIP. In other words, the IG Inspection branch chief must only coordinate the overall OIP in accordance with the basic (or proposed) responsibilities listed above in paragraph three and limit himself or herself strictly to the detailed execution of IG Inspections. The only exception would be if the commander directed the IG to serve as the executive agent of the Command Inspection program (see paragraph five below). The IG still remains as the commander's principal adviser on the OIP, but the ability of the IG to report on the OIP's overall effectiveness may become more difficult.

5. **IGs and Command Inspections:** Commanders sometimes want their IGs to serve as the lead agent for their Command Inspection programs. However, IGs are prohibited from doing so. IGs may only assist in the organization, coordination, and training of inspectors for the commander's Command Inspection Program if tasked by the commander, but the IG will not lead or physically inspect as part of the command inspection effort (see AR 20–1, paragraph 2–7a (1) and paragraph 5-1g for IG duty restrictions regarding command inspections).

Chapter 6

Reserve Component Inspections

Section 6-1 - Reserve Component Inspection Considerations

Section 6-2 - Reserve Component Inspectors General

Section 6-1

Reserve Component Inspection Considerations

1. **Purpose:** This section discusses the key considerations inherent in conducting inspections within the Army Reserve and Army National Guard (ARNG).

2. **The Reserve Component (RC) Environment:** Most people recognize that the RC has generally the same inspection standards as the Active Component, but the command's challenges and considerations can be quite different in the RC environment. The most serious considerations are:

a. Time (to train, maintain, inspect, counsel, etc.)

b. Dispersed units

c. Dual responsibilities of full-time support staff

d. State versus Federal requirements (Army National Guard only)

3. **RC Inspection Restrictions:** In 1989, the Army Chief of Staff recognized the fact that RC units, in trying to display a "can-do" attitude, were accepting more missions than they could reasonably perform. One of these missions was an aggressive inspection program. Resultantly, the CSA ordered that formal inspections in the RC would be confined to one weekend during the year (FORSCOM / ARNG Regulation 350-2, paragraph 3-2 c). Therefore, the consolidation of inspections in the RC is essential to ensure minimal disruption to training.

4. **Effect on the OIP:** OIPs must address the considerations and limitations discussed in paragraph two and three. In effect, an OIP that includes RC units must inherently accept the limitations of the RC environment. However, the RC OIP can still accommodate the three inspection categories used within the AC: Command Inspections, Staff Inspections, and IG Inspections. Furthermore, the inspection-selection process, root cause analysis model, and the Inspections Process apply to the RC with little change.

5. **Adapting Inspection Doctrine to the RC Environment:** Compiling a comprehensive list of internal and external inspections for the RC is an extremely difficult task because of the different headquarters and chains of command involved. Each chain of command can conceivably create duplicate inspections. Consider, for example, evaluations such as:

a. Command Supply Discipline Program (CSDP)

b. Command Logistics Review Program (CLRP)

c. Aviation Resource Management Surveys (ARMS)

d. Command Inspections

e. Organizational readiness surveys

f. Installation inspections (physical security, fire marshal, safety, environmental, etc.)

g. Other staff visits / inspections

6. **Commander Involvement**. Few AC Soldiers fully understand the challenges involved in operating a RC unit. Imagine running a division without the commander's presence except on Mondays and Tuesdays. Consider also that only five to eight percent of the total division is present for duty from Wednesday through Friday and the commanders and 1SGs are not a part of that full-time force. If commanders are to be involved in the inspections program, one must remember that their available time for participation is precious. The full-time staff members tend to conduct inspections during non-IDT periods without the commander's physical presence -- even though the commander stays involved by receiving routine updates from the full-time staff. These inspections often occur when the full-time staff members at various command levels inspect those units or staffs below them. Therefore, a significant share of inspections, often described as Command or Staff Inspections, occur as SAVs without the leaders or staff principals present. To compensate for this situation, commanders should consider consolidating inspections and conducting them at a more realistic frequency so that they -- the RC commanders -- can participate in person and not just by receiving updates through their full-time staff members.

7. **Innovative Inspection Practices**. The following are thoughts and techniques the RC commander may consider when organizing inspections:

a. **Consolidation Techniques**. Imagination and cooperation can reduce the inspection load. Conducting collaborative inspections (between agencies from different echelons), consolidating several separate inspections into the Command Inspection (including physical security, fire marshal, and safety inspections), and sharing inspection results will go far to improving the situation.

b. **Frequency of Inspections.** Annual inspections place an unnecessary burden on RC commanders. Command tenure in the RC is normally three years. These three years of command equate to 36 weekends (not counting AT). For the Battalion Commander with an HHC and four line units, inspections consume 15 of those 36 weekends if conducted on an annual basis (five units per year multiplied by three years). So, unless annual inspections are absolutely necessary, commanders should conduct inspections less frequently (perhaps every other year) to allow for the maximum amount of training time in the unit.

c. **Other Inspection-Type Activities.** Several other activities exist that resemble inspections and that can -- with imagination and cooperation -- be coordinated with inspectors into an inspection program.

(1) **Mobilization and Deployment Evaluations**. RC commanders can minimize the overall disruptions to unit training by collaborating efforts with mobilization exercises and evaluations scheduled during IDT or AT periods. For example, a command or staff

inspection can occur in conjunction with a National Guard unit's Readiness and Mobilization Exercise (REMOBE) scheduled over a weekend IDT period.

(2) **Staff Assistance Visits (SAVs)**. RC units need SAVs geared toward hands-on performance of the required standards. These SAVs must focus on helping, teaching, and mentoring rather than merely marking checklists. A good SAV can also determine how well a unit or staff section is performing without calling the visit an inspection by name.

Section 6-2

Reserve Component Inspectors General

1. **Purpose:** This section discusses Inspectors General in the Army Reserve and Army National Guard (ARNG).

2. **IG Offices in the Reserve Component (RC).** Approximately 54 percent of the total force is RC, yet only 10 percent of the total assigned IG strength serves full time with the ARNG and Army Reserve. For the Army Reserve, between two and nine Active Guard Reserve (AGR) IGs are assigned to the Regional Readiness Command (RRC) IG office usually headed by an AGR colonel (soon to be Regional Readiness Support Commands, or RRSCs). A Troop Program Unit (IG) staff of nine to 16 complements this AGR IG staff. These RRC IG shops will have AGR IGs that cover the various functions and missions of the IG office (inspections, assistance, and so on). By contrast, the institutional training divisions may have only one or two AGR IGs. The ARNG is normally staffed with the same number of full-time assets as found in the Army Reserve, but that staffing still does not equate to AC office staffing.

3. **Full-Service IG Office**. Full service means providing assistance, performing investigations, conducting inspections, and teaching and training. To run a full-service IG office in the RC is a challenge because the case workload for assistance alone normally tasks the full-time, TPU, and M-Day staffs beyond their limits. This workload leaves little time to devote to other IG duties. In the aggregate, RC units train collectively only 39 days a year, but RC members request assistance 365 days a year.

4. **Inspection Involvement by the RC IG**. Although limited by time and personnel, RRC- and Joint Force Headquarters (JFHQ)-level IGs should have an inspection plan and devote adequate time for IG inspections. However, each RRC or JFHQ handles the IG's involvement in inspections differently. Some RC IGs conduct only general (organizational) inspections while some narrow their focus on systemic readiness issues in the command through special inspections. The type and amount of IG involvement in inspections is directly related to the size of the full-time IG staff and the availability of subject-matter experts to assist as temporary assistant IGs.

5. **Coordinating Inspections**. Like the AC, the RC must maintain a central point of contact for inspections – an OIP Coordinator. Normally, this OIP Coordinator is the Chief of Staff / Executive Officer, Deputy Chief of Staff for Operations (G-3), or Training Chief (G-3 Training). IGs may serve as the OIP Coordinator, but their limited resources make this additional responsibility a true challenge. IGs serving as OIP Coordinators also make it more difficult for them to perform their role of evaluating the effectiveness of their commanders' OIP in an impartial manner.

Chapter 7

Inspections in TDA Organizations

Section 7-1 - Inspections in TDA Organizations

Section 7-1

Inspections in TDA Organizations

1. **Purpose:** The purpose of this section is to discuss inspection considerations for TDA organizations.

2. **Differences Between TDA and TOE Organizations.** TDA organizations are different from their TOE counterparts because TDA organizations do not deploy or fight. Therefore, inspecting a TDA unit's deployment or fighting capabilities would be inappropriate and senseless. This same fact is true of large TDA organizations like the Army Staff in the Pentagon, the Army Commands (ACOMs) such as TRADOC and FORSCOM, and smaller organizations such as garrison staffs (DPTMS, DOL, and DPW). Even though they do not deploy or fight, TDA organizations are still organizations whose activities require periodic inspection. The fact that some TDA organizations have more civilians than Soldiers does not change their need for inspections.

3. **Large Civilian-Dominated Organizations**. Several civilian-dominated ACOMs, ASCCs, and DRUs have successfully adapted inspection concepts and procedures to their environments with little or no change. Commanders get involved personally while their staffs visit outlying sites. These Command Inspections are planned and executed just like their military counterparts. Only the names of the players have changed to reflect the different organizations. Likewise, IGs inspect TDA organizations in the same manner as they inspect TOE units.

4. **Garrison Units and Staffs.** Garrison Commanders have developed successful OIPs designed for their respective situations and organizations. These commanders recognize the need to inspect various agencies on post to ensure that all activities are running smoothly and according to established policies and regulations. The principles and techniques that apply to inspections in TOE units apply for TDA organizations as well. As always, commanders tailor inspections to fit their needs. At a minimum, a Garrison Commander's OIP must include Initial and Subsequent Command Inspections for the garrison HHC. These HHCs deserve the same Initial Command Inspections that TOE companies, batteries, troops, and detachments receive. Garrison OIPs must consider internal and external inspections as well.

a. **Internal Inspections**. Garrison staffs are normally capable of performing most internal inspections on themselves and their tenant units. If not, then they may arrange for help from their higher headquarters or other tenant units.

b. **External Inspections**. Garrison staffs are subject to external inspections that check their activities in much the same way that a division staff might inspect the activities of a brigade headquarters. In this regard, garrison staffs should arrange for external inspectors to inspect them as necessary. For example, in U.S. Army Europe (USAREUR), the USAREUR IG conducts periodic inspections of military communities. In the past, the communities belonged to the respective corps headquarters (and the 21st Theater Support Command), so either the corps IGs or the staff (in the case of the 21st Theater Support Command) inspected the community (garrison) staff (and the HHC). This external perspective is just as necessary for the garrison staff as it is for TOE units.

Chapter 8

Inspector General Inspections

Section 8-1 - Inspector General Inspections

Section 8-2 - Compressed Inspector General Inspections

Section 8-1

Inspector General Inspections

1. **Purpose:** This section discusses Inspector General (IG) Inspections, IG information restrictions, and the unique role of the IG.

2. **Focus of IG Inspections.** IGs inspect issues or subjects that are important to the commander and that are usually systemic in nature. To an IG, systemic means that a functional area or system is suffering from an inherent problem that, in turn, is affecting many units, Soldiers, and people. IGs receive specific training on how to conduct inspections, gather information, analyze that information, identify root causes, and make focused recommendations that can correct problem areas for the long term. IGs are well suited to conduct all types of inspections (general, special, and follow-up), but special inspections that focus on a single issue or functional area allow IGs to use this special training to the maximum extent possible. Special inspections that focus on problems within functional areas or specific systems require clear identification of the problems and their root causes, and IGs are trained specifically to do just those things. The table below (Table 1) outlines the distinctions between general and special types of inspections.

General (Conventional Compliance Approach)	Special (Systemic Approach)
Focused on the functional "health" of a specific unit or organization	Focused on the "health" of a particular function, process, or system using units as points of information
Results contribute directly to the commander's readiness assessment of the organization	Results positively impact the readiness of multiple units and not just one
Broad inspection areas	Narrow inspection areas
Compartmentalization of inspection areas	Systemic, integrated assessment of a focused inspection area
Short-term horizon	Long-term horizon
Cyclical in frequency and design	Linear in frequency and design
Distinguished by specialists who evaluate inspection results within a single commodity area	Integrates expertise from various specialties that contribute to research, design, and evaluation of the inspection results
Resolves local issues by assigning responsibility for corrective action at the lowest possible level	Resolves complex, high-payoff issues and assigns responsibility for corrective action to an individual or agency at the appropriate level
Unit-based assessment that promotes accountability by the commanders for compliance	Systems-based assessment – free of unit attribution or penalty – that promotes a deeper inquiry of the issues
Commander stresses performance in terms of efficiency and outputs (i.e., materiel readiness rates or number of Soldiers trained)	Commander stresses performance in terms of effectiveness and outcomes (qualitative perceptions of the impact of particular functions)
Views root cause issues from a hierarchical, organizational framework	Views root cause issues from a web-like team approach that spans functional and organizational lines
Assumes standards are correct as written	Does not assume the standards up and down the chain are correct

Table 1

General versus Special Inspection

3. **IG Information Restrictions.** The only restrictions that IGs face when conducting an inspection is that all of their information -- even the information released in a Final Report -- is IG information. Confidentiality is the watchword of all IG functions in much the same way that doctors keep their patients' medical information confidential. When an IG is involved in an inspection as either the lead or as a participant, any information the IG gathers is bound by this notion of confidentiality as outlined in Army Regulation 20-1. IGs must always protect the sources of their information, so IGs release to the public only redacted information. In IG parlance, redacted means that the IG has edited the information for all attribution. In effect, IGs focus their efforts on the information gathered

during an inspection and not necessarily the source (or sources) of that information. Furthermore, commanders or leaders at any level cannot use IG information to evaluate or compare individuals or units. The only person who can release IG information (or IG records) along with the source of that information is The Inspector General (TIG). Therefore, a commander must consider the limitations placed upon IGs with respect to IG information before assigning an inspection topic to them or involving them in someone else's inspection. In many cases, a commander may need to know the source of the problem to fix it, and IGs cannot release the sources of their information without the TIG's approval. This reason, and the special inspection training that IGs receive, makes a special inspection the best type of inspection an IG can conduct since the focus is on the problem and the problem's root cause -- not the information sources that helped to identify the problem.

4. **Unique Role of the IG.** As discussed earlier, IGs function under certain special restrictions, and Army Regulation 20-1 protects all IG records and the confidentiality of individuals and units. Collectively, IGs have a level of experience unmatched by any other body of people in the Army. They are carefully screened, and The Inspector General of the Army approves all uniformed Army IGs. IGs study IG business and restrictions prior to assuming the role of an IG. They have "reflected power" in that IGs are the confidential advisor to their commanders. IGs routinely report about the morale, *esprit de corps*, and discipline of the command as evidenced by the Assistance cases they handle, the Investigations they conduct, and the Inspections they undertake. They benefit from a multi-echelon, multi-dimensional outlook that no other staff member shares save for the Chief of Staff. All other staff members are <u>specialists</u>, but IGs are <u>generalists</u>. IGs have access to information that few others enjoy. They have an active, highly effective system of technical channels that allows them to communicate with each other across the globe with a minimum of red tape. As mentioned earlier, IGs are thoroughly indoctrinated in the concept of confidentiality and take very seriously their responsibility to protect the rights of individuals. IGs have a dual responsibility: to their commander and to the Soldiers, civilians, and family members under their jurisdiction. They deal in ethical and moral matters daily, for **they are an extension of the eyes, ears, voice, and conscience of the commander**. The Army has no other group of individuals like them. Yet IGs are still staff officers who are bound by many of the same rules followed by any staff officer. Although IGs have the ear of the commander, they must adhere to the same courtesies exercised by other staff officers, and they are careful to treat everyone with respect and not to "drop dimes." As this discussion suggests, the IG of today is vastly different from the IG of the recent past. In the past, IGs suffered from the unenviable reputation of being the one who goes in after the battle and ‘bayonets the wounded’. But today the IG really <u>is</u> here to help, and those folks who understand this change in approach <u>are</u> truly glad to see the IG.

Section 8-2

Compressed Inspector General Inspections

1. **Purpose:** The purpose of this section is to discuss Compressed Inspector General (IG) Inspections and how IGs can tailor the IG Inspections Process to remain responsive to the resource and time constraints of a deployed and operational environment.

2. **Compressed IG Inspections.** The current operational environment has placed great demands on the Army IG system and its four functions. With active, reserve, and National Guard units mobilizing, deploying, re-deploying, and de-mobilizing, readiness has remained central to the Commander's -- and the IG's -- focus. The most direct way in which an IG can impact readiness is to conduct IG Inspections of systemic issues as a way to "unclog the pipes" of those functions or systems that are not working effectively or are hindering the readiness of the command and its subordinate units. These inspections -- and their associated solutions -- help reduce the friction of active, reserve, and National Guard units coming together to fight and win our Nation's Global War on Terror.

The problem quickly becomes the number of systemic issues that surface and require immediate IG attention. IG offices are generally limited in the number of people who can conduct Inspections on a full-time basis. Therefore, a Division IG office can normally handle one special IG Inspection at a time without much augmentation. But how long should those Inspections last? Ninety days? Thirty days? A week? Obviously, IG Inspections conducted quickly mean more Inspections in a shorter period of time. But what about the quality of those Inspections? Was the sampling size adequate with regard to the nature and complexity of the topic? How does an IG tailor the three-phased, 17-step Inspections Process to meet the needs of such compressed timelines without risking the quality and validity of the Inspection's results?

These questions represent important considerations for an IG working under such constraints. But a special IG Inspections Process that can accommodate the recent flurry of Inspections requirements -- a type of procedural "panacea" --- does not exist. Even though time and people are the principle resource constraints for IG Inspection teams, the three-phased, 17-step IG Inspections Process still stands as the best, most effective means of inspecting a systemic issue, identifying its root causes, and recommending solutions that will "unclog the pipes" of a clogged, dysfunctional system. Such things as *quick-look* and *short-fused* Inspections do not exist and offer no viable shortcuts to gathering, analyzing, and reporting information to the Commander. Instead, the IG must analyze the situation based upon personnel, time, and other constraints and identify what parts of the IG Inspections Process that he or she must compress in order to execute the Inspection quickly without placing the process at risk. IGs refer to Inspections executed under these various constraints as **Compressed IG Inspections**.

3. **Compressing the Process.** The key to compressing the IG Inspections Process is to maintain the process's integrity to avoid putting the validity of the findings and recommendations at risk. Simply omitting certain steps and the outputs of those steps can severely hamper the quality of the information gathered and the Findings Sections

that appear in the final Inspection Report. The IG must choose which steps to compress or omit carefully. Likewise, the IG must caution the Commander that Compressed IG Inspections should not become the norm because, depending upon what aspects of the process were compressed (time, sampling size, number of objectives and sub-tasks, size and quality of Trip Reports, etc.), the Commander may be making significant readiness decisions based upon Inspections findings that only represent a small, limited sampling of the command. In all cases, the IG must never violate any the five Inspections principles outlined in Chapter 2, Army Regulation 1-201: Purposeful, coordinated, focused on feedback, instructive, and followed up. Here are some considerations for compressing the IG Inspections Process when time and people represent the IG's key resource constraints:

a. **Preparation Phase:**

(1) **Research:** Research may occur quickly, but it must be thorough. The IG team will normally rely on readily available information and standards. The results of previous inspections can also go a long way in helping the IG Inspection team locate references quickly and develop objectives. If the Inspection topic is technical in nature, the IG must not hesitate to request augmentation with subject-matter experts who can serve as Temporary Assistant IGs. Temporary Assistant IGs with knowledge and experience of the systemic issue in question can cut down the research time significantly and allow the IG Inspection team to narrow the scope of the Inspection quickly. The IG may omit the Inspection purpose, but the Inspection Objectives are essential since they will drive all of the information-gathering activities and provide the Inspection team with a laser-like focus on what the team needs to know to correct the systemic issue. Receiving the Commander's guidance on the topic up front will also prevent the Inspection team from developing superfluous inspection objectives that don't meet the Commander's intent.

(2) **Develop the Concept and Commander Approves Concept:** The IG can combine these two steps easily. The Inspection team should draft a simple outline of the proposed concept for a desk-side, oral briefing to the Commander. A written Inspection Directive that captures the precise authority the Inspection Team needs to conduct the Inspection is essential, however. The format and quality of the Directive must remain unchanged -- especially during a compressed inspection when time is crucial. If the sampling size in the concept falls below 15 percent due to time and personnel constraints, the IG must caution the Commander that the information gathered may not fully represent the command. The Commander must consciously accept this risk or afford the IG team more time to complete the Inspection. The importance and immediacy of the inspected topic will clearly drive this decision.

(3) **Plan in Detail:** Detailed planning may be hasty and can omit the standard written products in full memorandum format. Sub-Tasks remain central to the information-gathering activities of the Execution Phase, so the IG team must not omit this output under any conditions. A simple methodology that only includes task organization and a sample Inspection itinerary will suffice; a baseline Inspection methodology is not necessary, but the lead IG cannot forget to assign information-gathering tasks to the various Inspection team members. A Notification Letter is also not necessary; the team can select the units based upon the sampling constraints (to include travel time, location in the Area of Operations, current mission, availability, etc.) and then notify those units via messenger, radio, MSE, tactical email, FRAGO

distribution systems, or some other secure, tactical means of communication. The IG team can also combine the Notification Letter and Detailed Inspection Plan into one document. The Detailed Inspection Plan should still be in writing but in an abbreviated format for ease of electronic or hard-copy distribution. The essential information in the Detailed Inspection Plan includes the Inspection Objectives, the inspected units, the dates and times the team will visit those units, the methodology (or approach), interview and sensing session requirements, required documents and itineraries, and a basic timeline.

(4) **Train-Up:** The IG Inspection team can omit the standard interview and sensing session rehearsals, but the team cannot take shortcuts in developing the information-gathering tools required to capture the information necessary to answer the Sub-Tasks and, ultimately, the Inspection Objectives. The interview and sensing session questions -- as well as document review guidelines and observation spot reports -- must follow directly from the Sub-Tasks. The IG team may choose to limit the duration of interviews and sensing sessions due to time constraints. For example, if standard interview times drop from one hour to 30 minutes, then the IG team must develop interview questions suited for the shorter time period. Using the same number of questions for an hour-long session to conduct a 30-minute interview will not work; the IG interviewer and interviewee will feel rushed, and the information gathered will suffer in terms of accuracy and content.

(5) **Pre-Inspection Visit:** The IG team can skip this step in a time-constrained environment. Although a pre-inspection visit has great value in refining the information-gathering tools and the team's methodology, this step may represent a luxury in time that the IG team cannot afford. Experience within the IG team in conducting IG Inspections can help compensate for this skipped step, but those IGs who have the experience must share it and actively guide and mentor the less-experienced IGs and augmentees.

b. **Execution Phase**:

(1) **Visit Units and In-Process Reviews (IPRs):** The IG Inspection team should visits the units based upon the timeline established in the Detailed Inspection Plan and spend no more time than is absolutely necessary to gather the required information. The team's methodology may call for a full day spent with a unit; but if the IG team can accelerate the schedule for that day, the team should do so. Remember: Many of the units you visit to gather information may be in the process of mobilizing, deploying, or conducting active operations in the operational theater. Your team's presence will certainly have an impact on the unit on that given day; try to limit that impact as much as possible. But don't allow a unit to give you the "cold shoulder"; you have a charter to fulfill for your Commander, an Inspection Directive, and your actions will ultimately help the units from which you are gathering the information. In-briefings and out-briefings may be hasty and verbal in nature. Using multiple inspection teams as part of your task organization will also allow you to cover more units quickly in a shorter period of time, thus increasing your sampling size or decreasing the duration of this step. Be fast, be thorough, and be discreet with the information you gather.

Trip Reports remain absolutely essential to the Inspection. Although the formats may change or become more simplified, the IG Inspection team members must still take the time after each visit to stop, capture the information gathered using the observation-

paragraph format, link the information to the appropriate Sub-Tasks, and allow the team chief to review it before moving on to the next unit. The team must build time into the schedule to write these Trip Reports since they will serve as the primary sources of the final Inspection Report. A laptop computer in the hands of each Inspection team member will facilitate the rapid documentation of this information for later consolidation into a single Trip Report by the IG team chief. Do not allow the Trip Report quality to suffer since the effect on the final Inspection Report will be significant.

IPRs will be difficult to conduct, so the team should not plan to conduct them at a unit in order to develop an out-briefing for the Commander. The team should only huddle briefly and agree upon what information to leave with the Commander, but a formal IPR will generally not be possible. IPRs conducted after every few visits are always a good idea in order to identify emerging trends; however, the IG team can skip these IPRs as well if time proves crucial.

(2) **Update the Commander:** Your Commander's time will be at a premium during a deployment or an operational mission, so consider recommending to him or her that you omit this step. Depending upon his or her personality, the Commander will more likely be interested in a final Inspection Report than an update since the topic under inspection is probably crucial to the command's immediate readiness or warfighting capability. If the Commander wants a mid-inspection update, then the IG team will have to conduct at least one formal IPR to identify some emerging trends to include in the update briefing.

(3) **Analyze Results and Cross-walk:** The IG team chief must still organize the Inspection team to write the final Inspection Report. When time is not an issue, IG Inspection Reports appear in the form of a booklet with several chapters. Such a lengthy product will not be possible in a time-constrained environment, so the Inspection Report will most likely appear in the form of a memorandum. The portions of the Detailed Inspection Plan that address the Inspection Objectives, methodology, and other areas will be sufficient for the final report. The IG team chief can simply cut and paste this information electronically into the report memorandum.

The portion of the report that the team members cannot adjust or compress is the nine-step process used to develop a five-paragraph Findings Section for each Sub-Task. This deliberate, thorough process must remain intact if the IG Inspection team hopes to identify accurate findings and, for those findings that highlight a problem area, the root causes that will ultimately result in recommended solutions that, when implemented, will "unclog the system" that the IG team inspected. The accuracy of the Findings Statements, the root causes, and the recommendations is absolutely essential to solving the problems inherent in the inspected topic. The team may have to sequester themselves for a certain period of time in order to write the draft version of the final Inspection Report undisturbed.

The team should also consider cross-walking only those critical bits of information that absolutely demand verification or, in some cases, further explanation. Cross-walking can prove time-consuming, so the team members should limit these activities as much as possible and focus only on critical cross-walking requirements.

(4) **Out-Brief the Proponent:** Soliciting feedback and comments from the proponents identified in your recommendations not only yields additional information and

ideas but also involves the individuals or agencies that will implement these tasks in the overall Inspection. But time may not allow the IG team to out-brief the proponents at all or in their entirety. Although a professional courtesy, the proponent out-briefing is not critical to the final Inspection Report unless the IG team is unsure of the viability or ultimate effectiveness of one or more of the report's recommendations. In that case, the IG team can limit the number of proponents to out-brief based upon that criterion. If time is absolutely critical, the IG team can skip this step completely.

c. **Completion Phase:**

(1) **Out-Brief the Commander:** The IG team's briefing to the Commander on the final results of the Inspection will occur based upon the Commander's availability. The IG team may only be able to submit the draft report in writing and await the Commander's response and approval at a later time or date. Ideally, the IG will want to gather all relevant staff members, all proponents identified in the report, and the Chief of Staff for the out-briefing to the Commander. A desk-side, oral briefing (sometimes following a Battle-Update Briefing, or BUB, in the Tactical Operations Center) is the most efficient way to present the information with all present referring to a copy of the report. Consider using slide shows and other electronic presentation techniques if possible or feasible. The IG team chief must inform the Commander up front if the team did not out-brief the proponents first. That admission will allow the proponents to comment more freely on the report and its findings as the IG team briefs it. The Commander must approve the report verbally or in writing before the IG team can consider the Inspection complete.

(2) **Taskers:** The IG must ensure that the recommendations, once approved by the Commander, immediately become taskers with clear suspense dates. In most cases, the suspense dates will be short since their immediate implementation will improve the command's readiness and reduce the friction of mobilization, deployment, and combat operations. The IG team chief may have to be more aggressive in this regard and ensure that the command's tasking authority (normally the G-3) assigns the tasks based upon the proponents identified in the recommendations. If the IG team chief does not feel comfortable that such action has occurred, he or she must approach the Chief of Staff and resolve the problem immediately. Once the taskers are assigned, the IG team must then monitor the implementation of the tasks closely and report problems first to the Chief of Staff and then the Commander as necessary.

(3) **Finalize the Report and Distribute the Report:** Finalizing and distributing the report are two steps that the IG team can combine to facilitate the report's rapid distribution within and without the command based upon the Commander's guidance. The IG team chief and team members must make any final adjustments or changes quickly as directed by the Commander. Immediate distribution of the report is essential so that the proponents can begin implementing the solutions (now taskers) that the team recommended on order to solve the problems associated with the systemic issue. Subordinate Commanders may need a copy of the report immediately so that they are aware of the action currently being taken to address the systemic issue; the Commanders can then focus their attention on other problem areas. A cover sheet for the report memorandum is not necessary; instead, the report should have a signature block on the last page where the Commander can state that the report is approved followed by his or her signature. The Commander's signature block should be below the IG team chief's (or principal IG's) signature block.

(4) **Handoff:** Handoff may still occur either through IG channels or command channels. However, tasks that are essential to the command's readiness and that require immediate action should go through command channels so that they receive the required emphasis. The initial focus should be on implementing the recommendations that the command can handle without external assistance. Non-critical tasks that require handoff can receive a lower priority.

(5) **Schedule Follow-Up:** Follow-up for a Compressed IG Inspection must occur quickly and aggressively. The only way that the command will solve the problems associated with the topic or system inspected is to ensure the rapid implementation of the recommendations. The IG should work closely with the Chief of Staff and G-3 to monitor the tasks' completion; the IG should report any problems or shortfalls in suspenses first to the Chief of Staff and then to the Commander as necessary. Never omit the follow-up step -- especially since it is one of the five inspection principles.

3. **Fundamental Aspects of the Process:** The discussion in paragraph two offers the IG some of the many points to consider when compressing the IG Inspections Process. Each situation will vary, and the IG must respond accordingly. But the IG -- and the IG Inspection Team as a whole -- must never put the fundamental aspects of the process at risk. Those key aspects of the process are closely linked and depend upon one another as follows:

a. *Inspection Objectives* lead to . . .

b. *Sub-Tasks*, which drive the . . .

c. *Task Organization* and *Methodolgy* and lead to . . .

d. The *information-gathering tools*, which allow the IGs to capture the information in . . .

e. *Trip Reports*, which in turn serve as the primary sources for the . . .

f. *Findings Sections* written for each Sub-Task and reported to the Commander in the . . .

g. Final *Inspection Report*, which outlines the . . .

h. *Taskers* that the proponents must complete to resolve the inspected topic or system and in which the IG team must monitor in order to . . .

i. *Follow-up* and complete the Inspection.

These fundamental aspects of the process -- and the five inspection principles -- must not come into jeopardy as a result of compressing the IG Inspections Process. Taking severe and abrupt shortcuts in the process places the validity and accuracy of the inspection findings at risk and may cause the Commander to make incorrect or unnecessary decisions. Although the IG team chief may opt to compress or eliminate some of the steps inherent in the process's three phases, skipping some or many of the items listed above will result in a faulty Inspection Report, incomplete information, and a

weakened analysis of the information gathered and any applicable root causes. Crippling the process will further hinder the command's readiness, so the IG must exercise caution and good judgment when conducting a Compressed IG Inspection.

Appendix A

Special-Interest Items

1. **Purpose:** This section discusses Special-Interest Items (SIIs) and how to include them in an inspection.

2. **Defining a Special-Interest Item.** Special-Interest Items (SIIs) are topics that do not warrant a full inspection but require the efforts of an inspection to answer. One can view SIIs as a side issue that an inspection team addresses as part of a larger inspection effort. In effect, an SII is an inspection within an inspection. SIIs are usually very narrow in scope and require only a few answers to some basic concerns. For example, the commander charges the IG with conducting a Special IG Inspection of Risk Management; however, the commander also wants some information on Driver's Training that the inspection team must gather and report upon as part of the larger Risk Management inspection.

3. **Planning the Special-Interest Item.** In most cases, one inspection team member has the job of handling the SII in addition to all of his or her other duties for the larger inspection. The SII requires the same level of research and attention that the main inspection topic receives. The team member must develop objectives for the SII but generally not Sub-Tasks. Once the objectives are complete, the team member crafts a brief concept for the inspection Team Leader's approval. This concept will include the SII's objectives, the information-gathering techniques that the team will use to answer the objectives, and the method of reporting the information at the conclusion of the inspection. Some examples of SIIs conducted by DAIG in the recent past are as follows:

a. PERSTEMPO Reporting

b. Federal Voting Assistance Program

c. Implementation of Homosexual Conduct Policy Training

4. **Executing the Special-Interest Item.** The inspection team can normally capture much of the information required to answer the SII's objectives using surveys or questionnaires. SII objectives tend to be very focused and quantitative in nature; therefore, simple responses from individuals will capture the required information without the need for follow-up questions or further discussion. All members of the inspection team can issue the SII questionnaires before or after interviews or sensing sessions conducted as part of the larger inspection. The questionnaire should be anonymous and self-explanatory. The team members will then return the completed questionnaires to the team member handling the SII for compilation and analysis as required. The team member may use a matrix to analyze the information or some form of automated database that may be available. If the information-gathering requirements for the SII exceed the ability of the questionnaire to answer, then the team will have to carve out time from the larger inspection to engage in interviews, sensing sessions, document review, and observation as necessary. In any case, the SII should not interfere significantly with the greater information-gathering activities for the larger inspection

topic. The impact of the SII on the larger inspection must be minimal. If the inspection team cannot answer the SII's objectives without having a significant impact on the larger inspection, then the SII may need to become a main inspection topic for a later time.

5. **Sample Special-Interest Item Notification.** Normally, IG inspection teams will notify the inspected commands of the SII -- if conducted as part of a larger inspection -- using the Detailed Inspection Plan. The notification will normally be located in paragraph eight of the Detailed Inspection Plan under the heading "Special Area of Interest" and only outline the purpose, objectives, and basic methodology of the SII. A sample SII paragraph is as follows:

> 8. SPECIAL AREA OF INTEREST. During the course of our inspection, the IG team will gather some basic information on the Implementation of Homosexual Conduct Policy Training as a special area of command interest. The purpose of this Special Area of Interest is inform the Commanding General about the results of the Inspector General's assessment of the Implementation of Homosexual Conduct Policy Training and to make recommendations where needed. The objectives for this assessment are as follows:
>
> a. Determine if Soldiers in the Army have received training on the Homosexual Conduct Policy.
>
> b. Determine if Soldiers in the Army understand the Homosexual Conduct Policy.
>
> Team members will conduct the assessment when visiting each of the locations identified for the larger inspection. The assessment will focus on policies, procedures, and execution to identify any trends regarding the Implementation of Homosexual Conduct Policy Training. Army Regulation 600-20, Army Command Policy, and Title 10, United States Code, Section 654, will provide the guiding tenets for this assessment. The inspection team will administer questionnaires to key personnel and enlisted Soldiers following interviews and sensing sessions. At the completion of the inspection, the Commanding General will receive a separate assessment report in memorandum format. The report will capture the salient points of the inspection team's assessment and articulate in detail those results that require immediate action.

6. **Completing the Special-Interest Item.** The SII requires its own report. The Final Report on the main inspection topic should not include any information about the SII. SII reports are normally memorandums that address some background about the topic, the SII's objectives, the findings, and any recommendations associated with those findings. The inspection team must out-brief any proponents named in these recommendations before forwarding the memorandum to the commander. If the commander approves of the findings and any recommendations, then the recommendations become taskers that the IG must monitor to completion. At a minimum, the IG should include a recommendation about following up or not following up on the SII.

7. **Sample Special-Interest Item Report.** The following sample SII report uses a memorandum format to convey the results to the commander. The questions used to gather the information for the report are attached as enclosures.

DEPARTMENT OF THE ARMY
HEADQUARTERS, 66th INFANTRY DIVISION
FORT VON STEUBEN, VIRGINIA 12345

AFVS-IG 5 April _____

MEMORANDUM FOR COMMANDING GENERAL, 66th INFANTRY DIVISION

SUBJECT: Special-Interest Item -- Implementation of Homosexual Conduct Policy Training

1. Purpose: To inform the Commanding General about the results of the Inspector General's assessment of the Implementation of Homosexual Conduct Policy Training.

2. Discussion:

a. In accordance with your guidance to assess the Implementation of Homosexual Conduct Policy Training as a Special-Interest Item during the Force Protection Inspection, I am reporting to you the results of that assessment. These results answer -- at a minimum -- the two objectives you directed us to assess: (1) Determine if Soldiers in the Army have received training on the Homosexual Conduct Policy and (2) Determine if Soldiers in the Army understand the Homosexual Conduct Policy.

b. The IG inspection team conducting the Force Protection Inspection assessed the Implementation of Homosexual Conduct Policy Training by administering brief questionnaires to those key personnel and enlisted Soldiers whom the team interviewed or sensed. The team designed -- with assistance from the Division Chaplain's Office, the Homosexual Conduct Policy Representative from G-1, and JAG -- two separate questionnaires for Key Personnel (E-6 and above) and Enlisted Personnel (E-5 and below) (see Enclosures 1 and 2 for the questionnaires). These two surveys posed questions based upon the information provided on Army G-1's Chain-Teaching Slide Packet. The total number of completed questionnaires was 736 (523 for Key Personnel and 213 for Enlisted Soldiers).

c. By computing the aggregate number of responses from the completed questionnaires, the team was able to quantify the findings by percentage to answer the two principal objectives and other issues outlined in the two surveys. Those results are as follows:

(1) Seventy-one (71) percent of the Soldiers polled received Homosexual Conduct Policy Training within the last year. The Chain-Teaching requirement surfaced on 10 January _____, which means that most of the training occurred in the previous calendar year. The percentage initially decreased over the course of the inspection but always held at around 70 percent. Unit leaders are clearly conducting refresher training on this topic on their own initiative (Question 1 on both surveys).

(2) Fifty (50) percent of the Soldiers polled received training since their assignment to the 66th Infantry Division. This high percentage suggests that leaders are aggressively ensuring that the Soldiers are receiving training on the policy (Questions 2 and 3 on both surveys).

(3) Eighty-seven (87) percent of the Soldiers polled understand the Homosexual Conduct Policy either moderately or to a great extent. This number suggests that a strong population of officers and Soldiers within the division feel reasonably confident that they understand the basic precepts of the policy as outlined in the Chain-Teaching Slide Packet available from the Army G-1 Web Site (http://www.armyg1.army.mil). A solid 64 percent of the population felt that the Chain-Teaching Slide Packet was more than moderately effective, which suggests that the packet -- as a training tool -- is sufficient in its current form (Questions 4 and 8 on the Enlisted Personnel survey and Questions 4 and 11 on the Key Personnel survey).

(4) Forty-nine (49) percent of the Soldiers polled received the training from their unit Equal-Opportunity Advisor while 24 percent received the training directly from their commanders or first sergeants. Equal-Opportunity Advisors traditionally train Soldiers on this policy with strong involvement by the chain of command. However, at least one-fourth of the Soldiers polled attested to direct chain-of-command involvement in actually teaching the troops about the policy, which suggests that many leaders in the division are taking the policy -- and oversight of the policy within their respective units -- seriously (Question 5 on the Enlisted Personnel survey and Question 8 on the Key Personnel survey).

(5) Forty-eight (48) percent of the Soldiers polled served only as observers during their last Homosexual Conduct Policy class. However, at least 27 percent of the population stated that they served as a participant in the training; this last number suggests that some trainers are teaching the policy innovatively by actively engaging the students in discussions -- or possibly role-playing scenarios -- concerning key aspects of the policy (Question 6 on the Enlisted Personnel survey and Question 9 on the Key Personnel survey).

(6) Sixty-eight (68) percent of the Soldiers polled felt that a commander has full responsibility for the implementation of Homosexual Conduct Policy training, which is consistent with the notion that oversight of the policy is a commander's responsibility (Question 10 on the Enlisted Personnel survey and Question 7 on the Key Personnel survey).

(7) Eighty-six (86) percent of the Soldiers polled knew precisely what a Soldier should do if threatened, harassed, or accused of being homosexual. The fact that such a high number of Soldiers knew that they should report the harassment directly to their commander reinforces the fact that Soldiers are aware that commanders have full oversight of any activity that involves the Homosexual Conduct Policy (Question 11 on the Enlisted Personnel survey and Question 12 on the Key Personnel survey).

(8) Fifty-three (53) percent of the enlisted Soldiers polled stated that a combination of officers, commanders, staff members, and enlisted Soldiers attended their last Homosexual Conduct Policy training briefing. The remaining percentage of Soldiers polled stated that only enlisted Soldiers attended the training. The fact that many officers and enlisted Soldiers are attending the training together helps to underscore to the entire chain of command and the enlisted ranks the importance of knowing and understanding the policy (Question 7 on the Enlisted Personnel survey).

(9) Sixty-seven (67) percent of the enlisted Soldiers polled believed that a commander would take appropriate action to prevent the harassment of any Soldier. Only 10 percent of the enlisted Soldiers polled did not feel that their commander would take appropriate action while the remaining percentage either did not know or abstained from answering the question. This high number reflects a large degree of confidence among the enlisted population that unit commanders would act properly if a charge of harassment against a Soldier surfaced (Question 9 on the Enlisted Personnel survey).

(10) Forty-six (46) percent of the enlisted Soldiers polled were aware that the Commanding General tasked the Inspector General to inspect Homosexual Conduct Policy training throughout the division. The remaining percentage of Soldiers polled simply did not know (Question 13 on the Enlisted Personnel survey).

(11) Fifty-seven (57) percent of the key personnel polled knew the correct Army and legal references that apply to the Homosexual Conduct Policy. This number clearly suggests that a strong population of leaders recalled at least two or more of the applicable references by title and numerical designation, which means that the Army G-1 Chain-Teaching Slide Packet is addressing the topic sufficiently. The 43 percent who did not answer correctly may have received the training many months -- or even a year -- earlier and therefore were unable to recall the references (Question 5 on the Key Personnel survey).

(12) Fifty-four (54) percent of the key personnel polled knew that the Soldier's commander is authorized to initiate a fact-finding inquiry into an alleged incident of homosexual conduct. The second most frequent response was the Installation Equal Opportunity Officer (11 percent), which is incorrect. This particular point clearly requires greater division-wide emphasis by the individuals conducting the training since leaders at all levels should know who the investigating authority will be if an allegation of harassment or homosexuality surfaces (Question 6 on the Key Personnel survey).

(13) Eighty-two (82) percent of the key personnel polled stated that attendance rosters and training plans were available for all Homosexual Conduct Policy training briefings, which suggests a pattern of careful and deliberate training planning by units throughout the Army (Question 10 on the Key Personnel survey).

(14) Seventy (70) percent of the Soldiers polled did not know at least one of the individuals who could guarantee them confidentiality if they wished to

report harassment. This high percentage of incorrect answers is troubling because the Chain-Teaching Slide Packet explains the answers -- chaplains and lawyers -- quite clearly. These results suggest that Soldiers who are harassed will not know where to go instinctively for confidential assistance and may be too intimidated to ask once any harassment has begun. The division can reverse this trend not by adjusting the teaching materials but by strongly emphasizing who can offer Soldiers confidential counsel if harassment occurs (Question 12 on the Enlisted Personnel survey and Question 13 on the Key Personnel survey).

3. Recommendations:

a. The IG recommends that the G-3 ensure that Homosexual Conduct Policy training appears in the Annual Training Guidance as an annual requirement as required by Army Regulation 350-1, Army Training and Education, to make certain that all Soldiers in the division know and understand the policy.

b. The training tools currently offered on the Army G-1 Web Site (www.armyg1.army.mil) are sufficient and effective for this annual training, but the IG recommends that leaders at all levels strongly emphasize all aspects of the policy, to include the fact that lawyers and chaplains are the only individuals who may grant a Soldier confidentiality.

c. The IG further recommends that the IG conduct a follow-up Special-Interest-Item assessment of training on the Homosexual Conduct Policy in FY __ to ascertain the true effect of the new annual training requirement.

ALBERT R. RIGHTWAY
LTC, IG
Inspector General

CG Decision:
Approved: _____
Disapproved: _____
Other: _____

Encl:
1 - Key Personnel Questions
2 - Enlisted Soldier Questions

The enclosures to the memorandum are as follows:

Enclosure 1 - Key Personnel Questions

IG Assessment of the 66th Infantry Division's Implementation of the Homosexual Conduct Policy Training Survey

SURVEY QUESTIONS FOR KEY PERSONNEL

1. When was the last time you received training on the Homosexual Conduct Policy (HCP)?
   a. Less than 90 days
   b. More than 90 days - less than 12 months
   c. More than 12 months - less than 18 months
   d. More than 18 months - less than 24 months
   e. More than 24 months
   f. Never received any training to date

2. Where were you stationed when you received your last training on the Homosexual Conduct Policy (HCP)?
   a. Previous unit assignment
   b. Two unit assignments ago
   c. Professional Military Education School
   d. Current unit assignment
   e. Never received any training to date

3. When was the most recent training on Homosexual Conduct Policy that you received in your current unit?
   a. Less than 90 days
   b. More than 90 days - less than 12 months
   c. More than 12 months - less than 18 months
   d. More than 18 months - less than 24 months
   e. No training received in my current unit to date

4. To what extent do you understand the training requirements of the Homosexual Conduct Policy (HCP)?
   a. Very large extent
   b. Large extent
   c. Moderate extent
   d. Small Extent
   e. Not at all

5. Which references apply to Homosexual Conduct Policy (HCP) training?
   a. AR 600-20, paragraph 4-19
   b. Title 10 United States Code, Section 654
   c. DoD Directives 1332.14; 1332.30
   d. All of the above **(correct answer)**
   e. None of the above

6. Who is authorized to initiate a fact-finding inquiry into an alleged incident of homosexual conduct?
   a. Installation Equal Employment Opportunity Officer
   b. Fellow unit member
   c. The Soldier's commander **(correct answer)**
   d. The Soldier's senior non-commissioned officer
   e. All of the above
   f. None of the above

7. What do you view as a commander's responsibility regarding the implementation of Homosexual Conduct Policy training?
   a. Total responsibility
   b. Partial responsibility along with the his / her staff
   c. No responsibility -- belongs with JAG
   d. None of the above

8. Who conducted the last HCP training?
   a. First Sergeant
   b. Commander
   c. Platoon Sergeant
   d. Equal-Opportunity Advisor
   e. Others

9. What role did you play in the last HCP training brief?
   a. Instructor
   b. Observer
   c. Assistant
   d. Participant
   e. None of the above

10. Are attendance rosters / training plans available for an HCP training brief?
   a. Yes
   b. No

11. What is your impression of the effectiveness of the HCP training you have received?
   a. Very effective
   b. Moderately effective
   c. Slightly effective
   d. Not effective at all
   e. Never received any training to date

12. What can a Soldier do if threatened, harassed, or accused of being homosexual?
   a. Soldier should say nothing for fear of reprisal.
   b. Soldier should handle the matter alone the best way possible.
   c. Soldier should report harassment at once to the commander. **(correct answer)**
   d. Both a. and c.
   e. None of the above

13. If a Soldier wishes to talk with someone confidentially about harassment, who might that person be?
    a. Legal Assistance Attorney **(correct answer)**
    b. Commander
    c. Chaplain **(correct answer)**
    d. Provost Marshal
    e. Both a. and b.
    f. All of the above

Enclosure 2 - Enlisted Personnel Questions

IG Assessment of the Army's Implementation of the Homosexual Conduct Policy Training Survey

SURVEY QUESTIONS FOR ENLISTED PERSONNEL

1. When was the last time you received training on the Homosexual Conduct Policy (HCP)?
    a. Less than 90 days
    b. More than 90 days - less than 12 months
    c. More than 12 months - less than 18 months
    d. More than 18 months - less than 24 months
    e. More than 24 months
    f. Never received any training to date

2. Where were you stationed when you received your last training on the Homosexual Conduct Policy (HCP)?
    a. Previous unit assignment
    b. Two unit assignments ago
    c. Professional Military Education School
    d. Current unit assignment
    e. Never received any training to date

3. When was the most recent training on Homosexual Conduct Policy received in your current unit?
    a. The past 60-90 days
    b. The past 90-180 days
    c. The past 180 days- 12 months
    d. Over 12 months
    e. No training received in my current unit to date

4. To what extent do you understand the training requirements of the Homosexual Conduct Policy (HCP)?
    a. Very large extent
    b. Large extent
    c. Moderate extent
    d. Small Extent
    e. Not at all

5. Who conducted the last HCP training at your current unit?
   a. First Sergeant
   b. Commander
   c. Platoon Sergeant
   d. Equal-Opportunity Advisor
   e. Others

6. What role did you play in the last HCP training brief?
   a. Instructor
   b. Observer
   c. Assistant
   d. Participant
   e. None of the above

7. Who attended the last HCP training brief?
   a. Enlisted only
   b. Officers only
   c. Commander and Staff
   d. All of the above
   e. None of the above

8. What is your impression of the effectiveness of the HCP training you have received?
   a. Very effective
   b. Moderately effective
   c. Slightly effective
   d. Not at all effective
   e. Never received any training to date

9. Commanders at every level will take appropriate action to prevent harassment of -- or threats against -- any member of the Army.
   a. True **(correct answer)**
   b. False
   c. Don't know

10. What do you view as a commander's responsibility for the implementation of Homosexual Conduct Policy training?
   a. Total responsibility
   b. Partial along with the his/her staff
   c. No Responsibility-belongs with JAG
   d. None of the above

11. What can a Soldier do if threatened, harassed, or accused of being homosexual?
   a. Soldier should say nothing for fear of reprisal.
   b. Soldier should handle the matter alone the best way possible.
   c. Soldier should report harassment at once to the commander or someone he or she trusts in the chain of command. **(correct answer)**
   d. Both a. and c.
   e. None of the above

12. If a Soldier wishes to talk with someone confidentially about harassment, who might that person be?

a. Legal Assistance Attorney **(correct answer)**
b. Commander
c. Chaplain **(correct answer)**
d. Provost Marshal
e. Both a. and b.
f. All of the above

13. The Secretary of the Army and the Chief of Staff of the Army tasked The Inspector General (IG) to inspect Homosexual Conduct Policy training throughout the Army.

a. True **(correct answer)**
b. False
c. Don't know

Appendix B

Sample Inspector General Final Report Outline

1. **Purpose:** This section outlines a sample Final Report outline that IGs or other Army inspectors can use when assembling and publishing the final results of an inspection.

2. **IG Inspection Reports.** Inspection reports submitted by IGs must be well-written, well-structured, and professional products that clearly articulate how the IG inspection team conducted the inspection and what problems or good news the team found. An IG inspection report should never appear as a brief memorandum or note to a commander. Instead, the Final Report should reflect the amount of effort and resources that the IG invested in the inspection as well as the level of importance that the commander placed upon the inspection topic. As a result, the Final Report should appear in booklet form and contain chapters for each inspection objective with the respective findings and recommendations included therein. Other Army inspectors can use this same approach as necessary when reporting the results of a Command Inspection or Staff Inspection. A recommended Table of Contents (and general format for a Final Report) is as follows.

Table of Contents

Release of IG Information (paragraph centered on the page that reads as follows: Dissemination, reproduction, and retention of Inspector General reports or extracts thereof is prohibited except as authorized by AR 20-1.)

Executive Summary (includes brief information on the background, inspection concept, and methodology followed by a list of all finding statements and recommendations by objective and Sub-Task)

Chapter 1 - Background and Inspection Concept (from the Detailed Inspection Plan)

Chapter 2 - Inspection Methodology (from the Detailed Inspection Plan)

Chapter 3 - Findings for Objective 1

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    - a. Finding 1
        - (1) Finding Statement
        - (2) Standards
        - (3) Inspection Results
        - (4) Root Cause
        - (5) Recommendations
    - b. Finding 2
        - (1) Finding Statement
        - (2) Standards
        - (3) Inspection Results
        - (4) Root Cause
        - (5) Recommendations

2. Sub-Task 2:
   Finding
   (1) Finding Statement
   (2) Standards
   (3) Inspection Results
   (4) Root Cause
   (5) Recommendations

Chapter 4 - Findings for Objective 2

Chapter 5 - Findings for Objective 3

Chapter 6 - Findings for Objective 4

Chapter 7 - Summary of the Recommendations (categorized by proponent)

Appendix A - References

Appendix B - Inspection Directive (a signed copy only)

Appendix C - Units Visited

Appendix D - Interview and Sensing-Session Questions

Appendix C

Electronic Document Review Considerations

1. **Purpose:** This section discusses IG considerations when reviewing or inspecting files that exist only in an electronic format.

2. **The Paperless Army.** In 2002, the Secretary of the Army (SecArmy) stated that the Army would move toward becoming a more paperless organization. The SecArmy's intent was that the Army could cut costs by saving paper; increase efficiency by storing files on computers or CD-ROMs; staff documents via email or through common drives; and access, store, and refer to publications and manuals using the Internet. The impact of the SecArmy's directive on IGs meant that all IGs -- detailed, assistant, and acting -- must be knowledgeable in basic computer operations and filing systems. Without this basic knowledge, an IG will not be able to perform his or her prescribed functions effectively in the Army of the 21st Century.

3. **Electronic Document Review Considerations.** One of the ways that an IG gathers information is through document review. Today, most IGs are extremely proficient at reviewing paper files of all sorts; however, most IGs do not enjoy this same level of proficiency when reviewing electronic files. At a minimum, IGs should be able to locate files on a computer using the "Search for File and Folders" function and then open those files for review. The electronic document review considerations that impact upon today's IG are as follows:

a. **Unclassified Electronic Document Review.** When conducting an IG Inspection that requires the review of certain key documents, the IG inspection team will most likely encounter units or staff agencies that maintain these documents in electronic form only. Printing paper copies for review is not always practical or cost effective -- especially if the documents are very large. Therefore, IG inspection team members may have to review the documents using a member of the inspected unit or agency's computer. In these cases, the reviewing IG must be adept at navigating through all types of electronic files and common (or shared) storage drives. However, the IG must never review documents on an individual's desktop or laptop computer without that person's physical presence. The individual can assist the IG in finding the files quickly and will also ensure that the IG does not mistakenly interfere with the electronic filing system. In some cases, the system administrator may have to be present if the files are particularly large or too complex to locate and download.

b. **Classified Electronic Document Review.** Some electronic document reviews will include the review of files or documents on classified computer systems. IGs conducting inspections may encounter files stored on classified systems. The same basic considerations for unclassified systems apply to classified systems. The inspecting IG must ensure that the computer operator is physically present during the document or file review, to include the system administrator as required. When checking for the presence of classified documents on an unclassified computer, the IG should use the "Search for File and Folders" function and type in "SECRET" or "TOP SECRET." This search should reveal if any classified documents have been stored inappropriately on

the computer. If the computer is a classified system, the IG should check to ensure that the computer user has applied the appropriate markings or labels on the computer workstations, scanners, printers, laptops, and Personal Digital Assistants (PDAs) indicating the highest level of classification allowed.

The IG should also ensure that all computer storage media (floppy disks, ZIP disks, compact disks, data tapes, and removable hard drives) are labeled to the highest level of classification for the data stored on the device. In offices where no classified processing occurs, the labeling of all disks as unclassified is not necessary. However, in offices where both classified and unclassified processing occurs, all media must be marked to the highest level of classification. In this case, unclassified media must be marked properly as well.

4. **Accreditation.** All Army Automated Information Systems -- whether they are used to process unclassified or classified data or operate in a stand-alone or network configuration -- must be accredited. Likewise, PDAs and laptop computers must be accredited as well. The standards for accreditation are contained in AR 380-19, Information Systems Security, and the Department of Defense Information Technology Security and Accreditation Process, or DITSCAP. Simply put, accreditation is the Department of Defense's risk assessment process for Automated Information Systems (AIS). Once the risk assessment is complete, the commander, or his or her designated representative (called a designated approving authority, or DAA), approves the operation of the AIS with the necessary risk-mitigation steps put in place. Before inspecting electronic files, the IG should ensure that the AIS in use is properly accredited. A pattern of missing or out-of-date accreditations -- or improperly applied or missing classification markings -- should result in a finding that the IG must capture in the inspection report. However, the IG's charter is not to inspect the classification or accreditation practices of all classified computer systems within the command unless specifically charged to do so as part of a larger special (or other type of) inspection.

5. **Electronic Storage of IG Files and Records.** IG records are valued documents that are sensitive but unclassified. Many IG records will now be stored on computers, disks, or CD-ROMs in IG shops throughout the Army. IGs must ensure that they adhere to the current regulatory requirements of Army recordkeeping when filing and storing both paper and electronic files. IGs should also adhere to computer accreditation requirements as necessary. Storing IG records and files on computers also makes these documents vulnerable to access through the Internet. IGs at all levels must carefully consider how they store their records and protect them from computer hackers or inadvertent and unauthorized release. IGs must also remember that email increases the likelihood of accidental release of IG information; an incorrect file attachment on a message can spell havoc for an IG shop. In addition, files are never really deleted from a computer's hard drive except through extraordinary technical means. Only a trained computer technician can completely erase a document or file. As an IG living and working in an electronic environment, electronic operational security is essential to the IG's continued credibility and success as a fair and impartial fact-finder.

Appendix D

Developing Inspection Checklists for General Inspections

1. **Purpose:** This section discusses techniques for developing Inspection Checklists for General (or compliance) Inspections.

2. **The Pitfalls of Inspection Checklists.** In the past, General (or compliance) Inspections occurred with designated (and often untrained) inspectors who arrived at an inspected unit, linked up with the various functional-area representatives, and then assessed the unit's functional areas using a series of checklists. These checklists posed basic, close-ended questions (based upon the established standards) that the inspectors could simply check off as a 'go' or a 'no go.' The inspectors did not need to be experts in the subject matter to conduct these very basic, and extremely simplistic, inspections.

The problem with these checklists was that they did not allow the inspectors to dig deeper into the reasons for any non-compliance identified through the checklist. Instead, the inspectors noted that the unit had failed to comply with one or more aspects of the standard governing the functional area and left it at that. In effect, the checklist did not facilitate a greater examination of the root causes behind the non-compliance. Neither the inspectors nor the inspected commanders could recommend or implement effective solutions for the non-compliant areas because they did not identify and understand the root causes behind the shortfalls.

3. **Getting at the Root Cause.** The only way to remedy the problem of identifying root causes while using checklists is to create checklists that combine close-ended questions (answered with a simple yes or no) with open-ended ended questions (answered by an in-depth explanation). Open-ended questions will allow the inspector to interact with the functional-area representative and explore in greater detail any reasons for non-compliance. The result will be a greater understanding of the root causes associated with the unit's inability to comply with the established standard. However, for inspectors to understand the open-ended questions they are asking, they must have some measure of expertise in the inspected functional area.

4. **Sample Checklist.** The checklist reproduced below combines open-ended questions with close-ended questions. The inspector must have the functional-area representative on hand for this inspection and not someone who is simply standing in for that person. The inspection of the functional area is, for the most part, an interview with the functional-area representative intermingled with some physical, hands-on checking.

The inspector can begin the functional-area inspection by asking an open-ended question (Question 1 in this case) that will result in a discussion of the unit's Weight-Control Program. By asking the unit representative to explain the program, the inspector will be able to determine if the representative understands the regulation and the unit's overall program. If the individual does not respond effectively, the inspector can ask the second part of the question (a follow-up question), which is a more direct query about the individual's knowledge of the program and the associated standards. Once the

inspector captures the essential information from these initial questions, the inspector can then ask Question 2, which is a close-ended question and requires the representative to show the inspector some on-hand equipment.

The inspection will continue in this manner until the inspector gathers all of the required information about the functional area. The inspector will normally not offer an on-the-spot assessment of the functional area but will analyze the information later in conjunction with the established standard to determine if the unit is in compliance with this particular functional area. The inspector will also be able to examine the information more closely for any root causes associated with the areas of non-compliance. The Root Cause Analysis Model in Section 3-3 will prove helpful in this determination.

The sample checklist is as follows:

66th Infantry Division Inspection Checklist

(Applies to Initial Command Inspections, Subsequent Command Inspections, Staff Inspections, and other inspections as required)

Proponent:	**Functional Area:**	**Checklist Date:**
G-1	Army Weight Control Program	8 April 2____

Inspecting Office: **Inspector / Phone:**

Unit Inspected: **Date Inspected:**

Unit Functional Area Representative:

Reference (s): AR 600-9, The Army Weight Control Program, dated 10 June 2_____

1. Would you briefly explain the unit's weight-control program?

_____
_____
_____

Do you understand the Army's regulation and any local policies governing the weight-control program?

_____
_____
_____

2. Does the unit have the proper equipment available to weigh Soldiers and measure body-fat content?

_____
_____
_____

If not, why?

_____
_____
_____

3. Does the unit review weigh-in procedures to ensure that these procedures comply with AR 600-9?

_____
_____
_____

4. Does the unit place Soldiers who exceed the body-fat standards on a weight-control program?

_____
_____
_____

Is this weight-control program effective?

_____
_____
_____

5. Does the unit ensure that Soldiers who are in the weight-control program are flagged (DA Form 268) on a timely basis?

_____
_____
_____

6. Does the unit have procedures in place to weigh and measure monthly those Soldiers in the weight-control program?

_____
_____
_____

7. Does the unit have procedures in place to release Soldiers from the weight-control program once they meet the required body-fat standards?

_____
_____
_____

8. Does the unit check to ensure that the flagging action (DA Form 268) is removed from a Soldier's record (MPRJ) in a timely manner once the Soldier is no longer on the weight-control program?

_____
_____
_____

9. Does the unit have a policy or Standing Operating Procedure (SOP) for separating those Soldiers who fail to make progress as part of the weight-control program?

_____
_____
_____

Appendix E

Temporary Assistant Inspectors General

1. **Purpose:** This section discusses the basic uses and responsibilities of a temporary assistant inspector general.

2. **Why Select Someone to Serve as a Temporary Assistant IG?** Officers, NCOs, and civilians usually become IGs because of their broad Army experience. These individuals know the Army and how it works -- and are *subject-matter experts* (SME) in at least one military occupational specialty. An IG may not possess sufficient expertise in a specific inspection topic or may not have sufficient time for research or training. To mitigate this shortfall, IGs may request SMEs to augment their inspection teams. The requested individuals must have the required expertise and experience needed to fill the gaps in subject-matter expertise identified in the research and concept-development steps.

3**. Definition:** Army Regulation 20-1, paragraph 2-2e, refers to temporary assistant IGs (one of the five categories of IGs) as subject-matter experts. IGs in inspections generally use the terms subject-matter expert (SME) and temporary assistant IG interchangeably. This paragraph describes temporary assistant IGs as commissioned officers, chief warrant officers, enlisted Soldiers, DA civilian employees, and contracted subject-matter experts temporarily detailed to augment an IG inspection or investigation team for a specified period of time.

4. **Responsibilities:** Commanders approve the requirement for individuals to serve as temporary assistant IGs, and the G-3 normally issues the tasking. If the required individuals are outside the commander's authority, the command or State IG must request the augmentee through normal command or tasking channels. The local commander may approve temporary assistant IGs for up to 90 days. The request to retain a temporary assistant IG in excess of 90 days but less than 180 days requires approval from the ACOM / ASCC / DRU commander. If the IG believes he or she will need the SME for more than 180 days, the IG must gain approval from TIG and send that person to the three-week U.S. Army Inspector General Course. The IG must be sure to address all requirements in the tasking request, to include the desired rank of the augmentee, desired report and release date, and skills required (e.g. expertise in supply room operations at the company level, etc). If you ask for an augmentee with general supply experience, you might get someone who has repair parts experience versus supply room experience. Be sure to stipulate whether travel will be involved and whether the augmentee will have to travel outside CONUS and to what places (Kuwait, Iraq, etc). This information will prevent units from sending people on profile who cannot travel.

5. **Selection Process:** The process of selecting an SME is often misunderstood. Selecting a suitable SME and evaluating the attributes of an SME are activities that IGs sometimes ignore. Because an IG team may have to bring in more than one SME for a particular objective or sub-task, the selection process can be time consuming and demand much consideration. Some potential criteria for selecting an SME include, but are not limited to, the following:

a. Is the SME recognized as an expert by his or her peers and superiors based on years of experience?

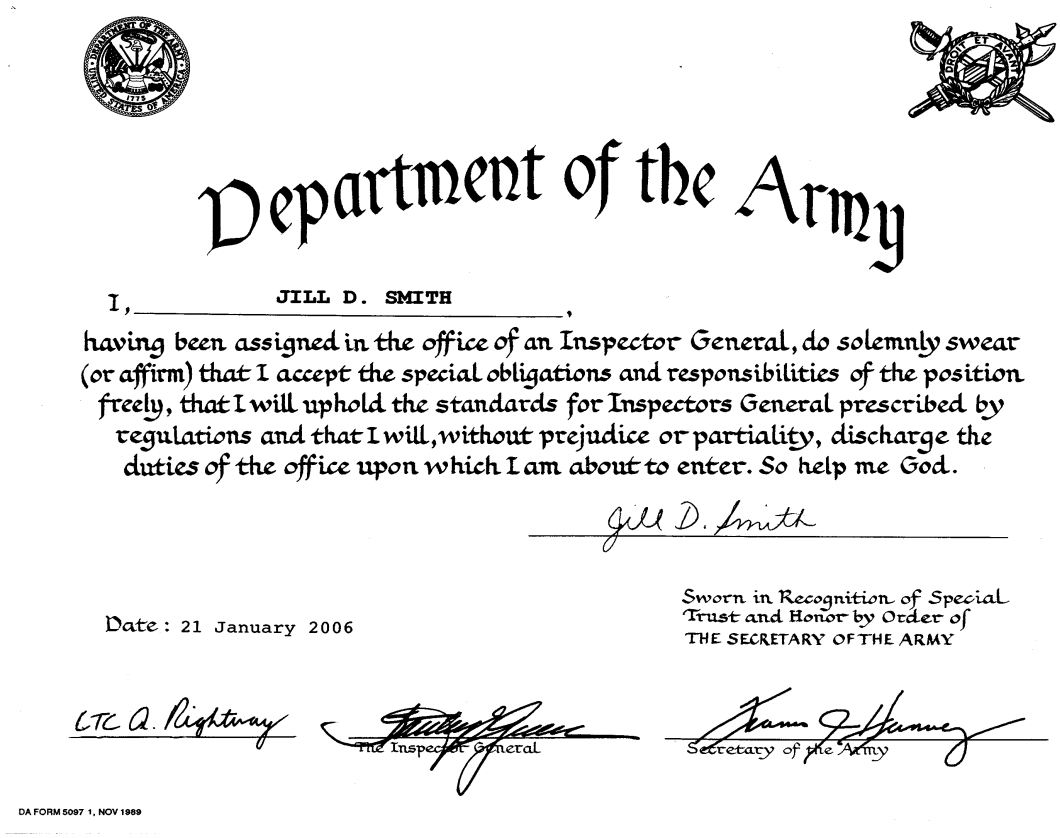
b. Did someone volunteer the SME because he or she does not have enough work to do at his or her current job? Is someone selecting the person because that individual was 'expendable'?

c. What are the SME's qualifications, and how will those qualifications help the IG team meet its objectives?

d. Is the SME willing to provide valuable input and insight to help identify corrective actions that could possibly have a long-term effect on a system they currently support?

e. Is the SME available for the duration of the IG team's mission?

6. **Integration and Use:** After selection and integration, the SME accompanies the IG team on its inspection visits (or, if an investigation, serves as an expert witness) to gather technically specific data on a given topic. Prior to the SME assuming his or her duties as part of the team, the SME must take the IG oath (AR 20-1, paragraph 2-6) designed for temporary assistant IGs because he or she will handle IG information that is both sensitive and confidential. At a minimum, the detailed IG must train the temporary assistant IG on the basic IG concept and system, the IG tenet of confidentiality, and the restrictions placed on the use and distribution of IG records. Use of SMEs to fill the team's knowledge gaps will enhance their information-gathering efforts and enable timely completion of their mission. Team members should talk to SMEs in the research step of the inspection process (to ensure they outline all the facts) and involve SMEs in the validation of draft reports (to verify interpretations of information). The objective is to identify and address the problem with recommendations and ensure the SME's input receives consideration. An example of an IG oath for a temporary assistant IG is as follows:



Department of the Army

I, JILL D. SMITH,

having been assigned in the office of an Inspector General, do solemnly swear (or affirm) that I accept the special obligations and responsibilities of the position freely, that I will uphold the standards for Inspectors General prescribed by regulations and that I will, without prejudice or partiality, discharge the duties of the office upon which I am about to enter. So help me God.

Jill D. Smith

Date: 21 January 2006

Sworn in Recognition of Special Trust and Honor by Order of THE SECRETARY OF THE ARMY

LTC A. Rightway — The Inspector General — Secretary of the Army

DA FORM 5097 1, NOV 1989

b. IGs must remember that SMEs are not regular members of the IG team. Consequently, SMEs do not have access to common IG information stored in such places as shared drives, IG historical repositories, databases, and other locations. SMEs without access to this specific information are at a disadvantage and may be unable to provide significant contributions to the team. Ensure the temporary assistant IG has the necessary tools -- computer, external memory (thumb drive), references, and so forth -- to help him or her become familiar with the team's goals and objectives and the location of relevant information.

c. At the end of the tasking, ensure that you recover all sensitive information and equipment. Remind the temporary assistant IG of the provisions for handling IG information. Before the SME departs IG duty, the inspection team leader should determine whether the SME met and fulfilled all of his or her goals, objectives, and responsibilities. For instance, if the SME was unable to complete his or her written portion of the report (if required), the inspection team leader may want to request an extension of the SME’s temporary duty until the SME can complete the assigned tasks. As mentioned before, a detailed description of the SME's goals, objectives, and responsibilities will help the team efficiently manage, task, and evaluate the SME’s contributions, thereby increasing the effectiveness and usefulness of the SME to the overall mission. Consider providing written or verbal feedback to the supervisor regarding the performance of the temporary assistant IG. In many cases, high-performing SMEs may warrant an award or other form of recognition.

7. **Checklist:** Some things to do and / or consider with the SME include, but are not limited to, the following:

- ✓ Welcome (meet with the command IG and inspection team leader)
- ✓ Set up a desk / computer area
- ✓ Training on the IG concept / confidentiality / use of IG records
- ✓ Oath
- ✓ Security Clearance (if necessary)
- ✓ Lodging and transportation (may need to consider dual-lodging)
- ✓ Government Credit Card (seek assistance from the local budget office)
    - Account limit
    - How to complete a travel voucher (he or she may not be able to use the Defense Travel System)
- ✓ Pay and entitlements
- ✓ Inspection duties and expectations
- ✓ Anticipated release date

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