UNITED STATES ARMY INSPECTOR GENERAL SCHOOL

THE ORGANIZATIONAL INSPECTION PROGRAM (OIP) GUIDE FOR COMMANDERS

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**The Organizational Inspection Program
Guide for Commanders**

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Section 1-1

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Introduction

1. **Purpose:** The purpose of this guide is to help commanders at all levels within the Army develop effective Organizational Inspection Programs (OIPs) that will allow them to coordinate internal inspection efforts and to identify, prevent, and eliminate problem areas.

2. **What Commanders need to know about the OIP:** The OIP is a *__requirement__* for commanders at the battalion level on up, including equivalent-sized organizations run by program managers and directors. The Army G-3 reinforced this fact in ALARACT 137 / 2011, which essentially stated that an inspection by the Department of the Army Inspector General found an Army-wide lapse in OIPs and that commanders at all levels need to develop and implement their programs immediately. The Secretary of the Army even issued a memorandum on 20 December 2010 directing all Headquarters, Department of the Army staff agencies to develop viable and fully functioning OIPs. The reason that the OIP is so important to the Army's senior leadership is because it provides units and other Army organizations with an internal mechanism to identify, prevent, and eliminate problem areas that affect *__readiness__*.

     OIPs are not simply "check-the-block" programs. They are living, dynamic programs that can be adapted to the needs of the organization; but, most importantly, *__commanders are in control__*. Commanders at all levels set the scope and nature of their OIPs based on guidance from higher headquarters and within the context of the Army's inspection policy framework outlined in AR 1-201. This policy is very broad in nature in order to afford commanders the maximum latitude to design and implement their own unique OIPs. In fact, no two OIPs are alike; commanders craft their programs to their readiness needs. The principal requirement is that commanders, program managers, and directors *__must have an OIP__*. The only inspections mandated by AR 1-201 are the initial and subsequent command inspections conducted for new commanders of companies, batteries, troops, detachments, or other similarly sized organizations. This requirement allows the OIP to work from the bottom up so that the inspection requirements of the lowest- and highest-level commanders will meet somewhere in between.

     As the Army shifts to more regionally aligned forces assigned to varying force-generation pools, inspections are taking on an all new level of importance in ensuring that our troops who are deemed "available" under the force generation model are in fact ready to respond to any Combatant Commander's contingency needs. IGs are commanders' principal advisers on the OIP. They are trained formally on the OIP and are capable of teaching and training commanders at all levels on how to construct viable OIPs. The U.S. Army Inspector General School's public Web site has numerous OIP training resources, to include a Web-based, 20-minute tutorial on the OIP designed specifically for commanders. The Web site's address is http://tigs-online.ignet.army.mil/tigu_online/index.htm. Don't hesitate to use your IG to help with developing or perfecting the unit's OIP.

3. **Army Regulation 1-201, <u>Army Inspection Policy</u>:** This guide complements and reinforces Army inspection policy as found in the current version of Army Regulation (AR) 1-201. This guide offers practical guidance for developing OIPs that builds on the basic inspection policy found in AR 1-201.

4. **Proponent and Updates:** The Department of the Army Inspector General Training Division (SAIG-TR) is the proponent for this guide and for AR 1-201. 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. The school will update this guide periodically or as necessary and 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 and to commanders in the field. 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 discusses how a battalion and a division can develop an Organizational Inspection Program. Chapters 5 and 6 offer some considerations for conducting inspections in the Reserve Components and in TDA organizations. Chapter 7 addresses the nature of Inspector General Inspections and their role in the OIP. Appendices A and B cover the development of checklists for General Inspections and electronic document review considerations.

6. **Format for Sample Memorandums:** This guide contains sample memorandums that generally adhere to the format requirements outlined in Army Regulation 25-50, <u>Preparing and Managing Correspondence</u>. 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

Evolution of Modern Army Inspection Policy

1. **Purpose:** This section explains the evolution of Army inspection policy in recent history so that commanders 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. Today, OAP as a term has disappeared from the doctrinal lexicon, but the concept remains.

      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 of systemic issues. 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. Thus, IGs may, if absolutely necessary, perform General Inspections.

3. **Inspections Today.** These changes in Army Inspection Policy over the past several years 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 <u>do not</u> 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.

Chapter 2

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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. **Four Key Inspections Publications:** The Army's inspection policy and doctrine exist in four principal documents. Two of these documents are regulations while the third and fourth are users' guides, which are both only reference tools and not policy documents. The four 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, <u>Inspector General Activities and Procedures</u>.** 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 (11) (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. **<u>The Inspections Guide.</u>** 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.

d. **<u>The Organizational Inspection Program (OIP) Guide for Commanders.</u>** This guide distills much of the OIP guidance found in <u>The Inspections Guide</u> used by Army IGs. This guide adapts for use by commanders the guidance necessary to establish effective OIPs.

Section 2-2

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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, program manager's, and director'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 <u>cannot</u> 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. **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. 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.

7. **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.

8. **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. Army inspectors 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 inspector's recommendations. These recommendations fix responsibility and charge an individual or agency with correcting the problem.

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

Chapter 3

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Approaches to Inspections

Section 3-1 - Inspection Approaches

Section 3-2 - Basic Elements of an Inspection

Section 3-3 - Root Cause Analysis Model

Section 3-1

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 inspector can choose to approach an inspection in two basic ways: as a <u>structure</u> or as a <u>system</u>. 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.
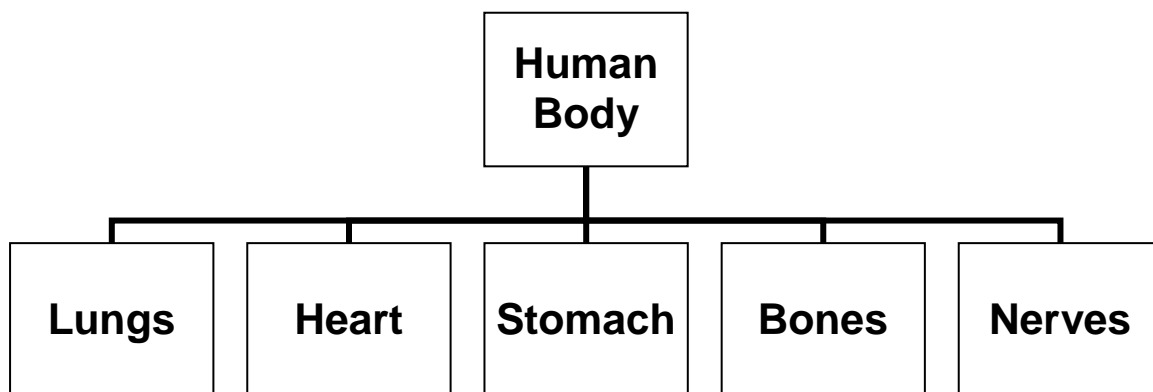

Figure 1

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.
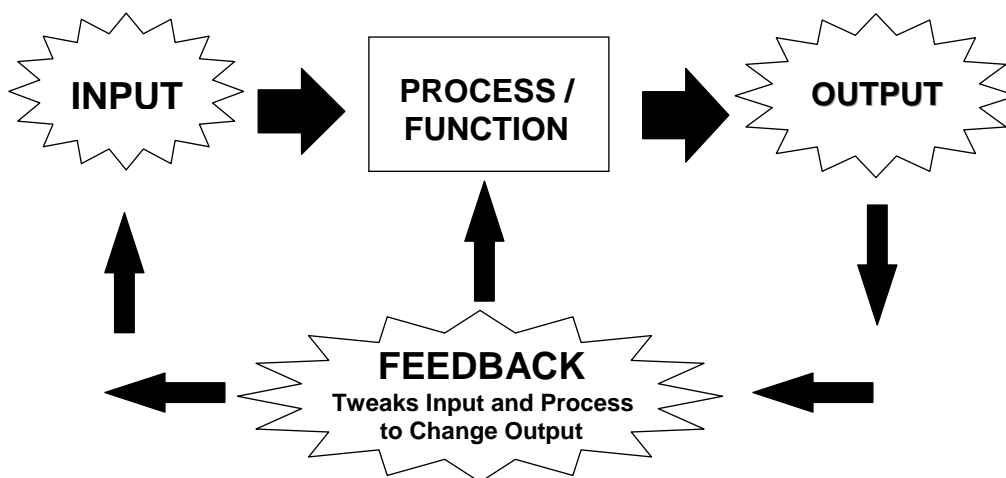

Figure 2

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

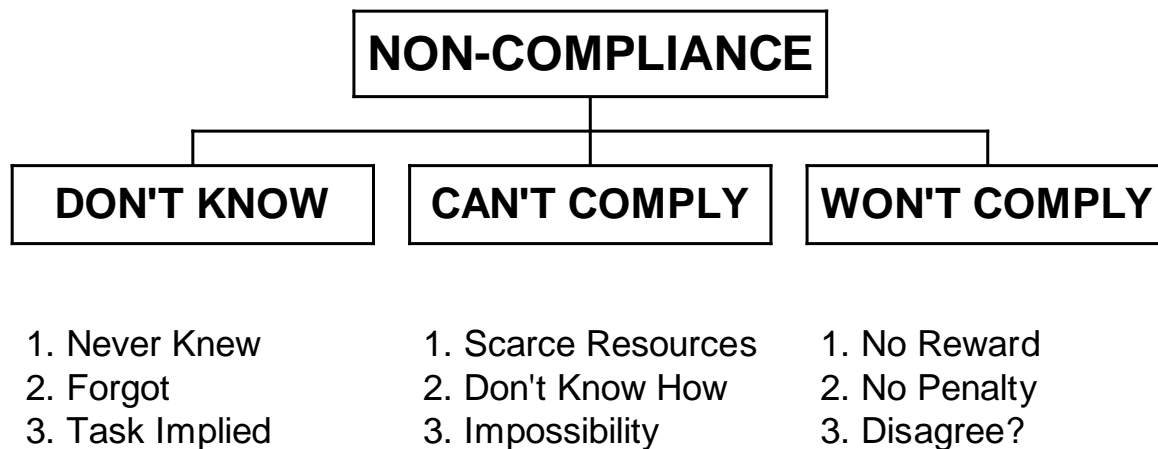## Basic Elements of an Inspection

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. 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 five principles -- purposeful, coordinated, focused on feedback, instructive, and followed-up (see paragraph 2-2 of Army Regulation 1-201) -- support the five basic elements 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. Avoid the strict use of checklists! Reducing an inspection to a series of "yes" or "no" questions on a piece of paper is a trap that ensnares many inspectors! 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 A 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 <u>why</u> 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.

NON-COMPLIANCE

DON'T KNOW   **CAN'T COMPLY**   **WON'T COMPLY**

1. Never Knew	1. Scarce Resources	1. No Reward
2. Forgot	2. Don't Know How	2. No Penalty
3. Task Implied	3. Impossibility	3. Disagree?

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:** <u>Did the person or unit ever know about the requirement?</u> 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:** <u>Did the person or unit forget about the requirement?</u> A positive answer to this question usually suggests a local -- or personal -- problem and not a systemic problem.

      (3) **Task Implied:** <u>Was the task implied but the unit or person lacked the knowledge or experience to recognize the requirement?</u> 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.
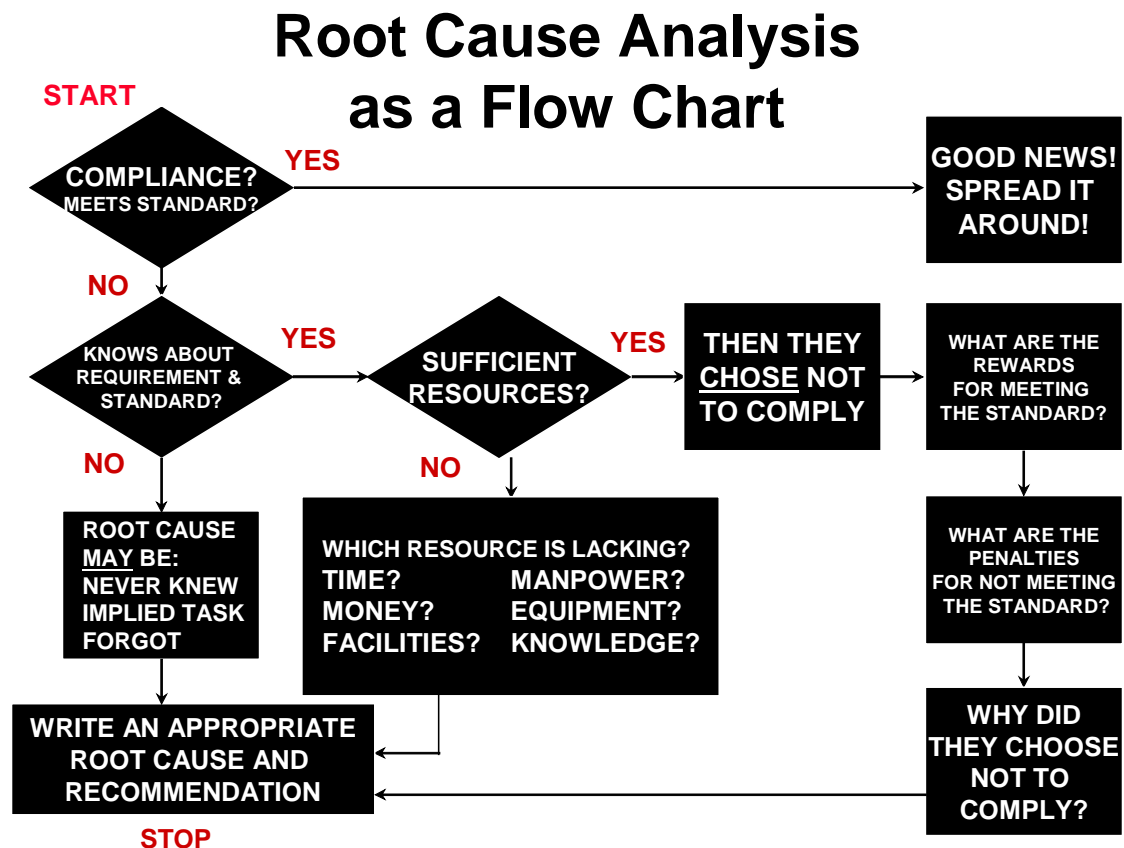
Root Cause Analysis as a Flow Chart

START

COMPLIANCE? MEETS STANDARD? — **YES** → GOOD NEWS! SPREAD IT AROUND!

NO ↓

KNOWS ABOUT REQUIREMENT & STANDARD? — **YES** → SUFFICIENT RESOURCES? — **YES** → THEN THEY CHOSE NOT TO COMPLY → WHAT ARE THE REWARDS FOR MEETING THE STANDARD?

NO ↓ (Knows about) | **NO** ↓ (Sufficient resources) | ↓ (Rewards)

ROOT CAUSE MAY BE: NEVER KNEW IMPLIED TASK FORGOT

WHICH RESOURCE IS LACKING? TIME?   MANPOWER? MONEY?   EQUIPMENT? FACILITIES?   KNOWLEDGE?

WHAT ARE THE PENALTIES FOR NOT MEETING THE STANDARD?

WRITE AN APPROPRIATE ROOT CAUSE AND RECOMMENDATION

WHY DID THEY CHOOSE NOT TO COMPLY?

STOP

Figure 2

Root Cause Analysis Model Flow Chart

7. **Five-Why Analysis:** If inspectors 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 inspector 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; it is only a guide. Sometimes the inspector 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 inspector 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 "CBRN equipment is overdue calibration".

   Step 2: Ask "why?" until you find the answer. The inspector begins by asking "why?" to the problem statement. Then, while staying focused on the original problem statement, the inspector 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 inspector 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 inspector 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:
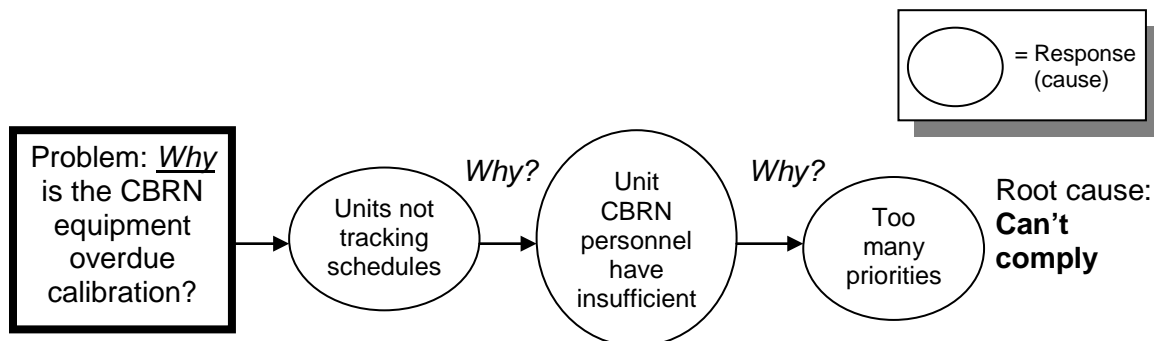

Figure 3

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 inspector fully develops each branch and sequel of responses to the "why?" questions. Under Step 3, the inspector associates the final response to *each* branch with an appropriate root-cause category. The inspector 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:
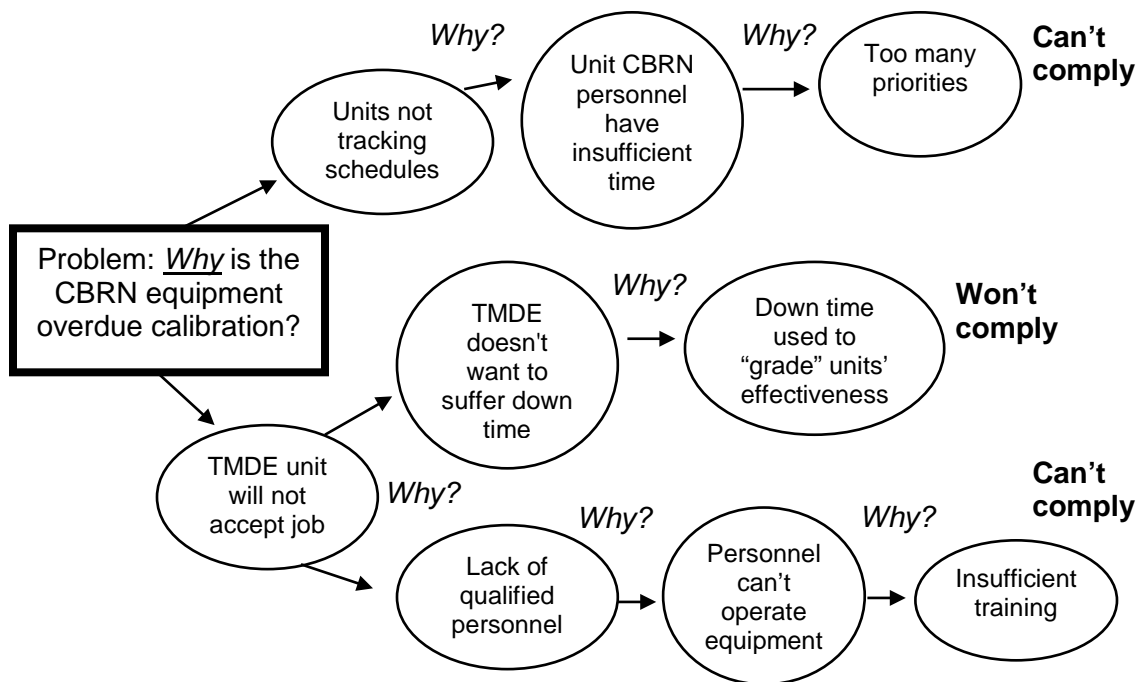
Figure 4

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 inspectors determined that "too many priorities" placed on unit CRBN 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 inspectors 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. Maximum participation by 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.

Chapter 4

_____

Developing an Organizational Inspection Program (OIP)

Section 4-1

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 Unit Training Management (UTM) (see ADP 7-0 and ADRP 7-0).

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 overall *organizational assessment*. 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), Combat Training Center rotations, 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) **Internal Control Process.** This section should address the IG's role in Management Control within the command (see AR 11-2, Managers' Internal Control Program). The IG is required to consider Internal 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 4-2

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 it is the lowest level of command in which a commander has a staff that can perform inspections on his or her behalf. Since battalions comprise companies (or troops, batteries, and detachments), battalion OIPs <u>must</u> 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, <u>Army Inspection Policy</u> (dated__)

      b. Division Organizational Inspection Program (dated __)

      c. Brigade Organizational Inspection Program (dated __)

      d. <u>The Inspections Guide</u> (DAIG) (dated __)

      e. <u>The OIP Guide for Commanders</u> (dated __)

      f. ADP 7-0, <u>Training Units and Developing Leaders</u>

      g. ADRP 7-0, <u>Training Units and Developing Leaders</u>

      h. Battalion Quarterly Training Guidance, 4th Quarter, 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 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 and elements 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 OIP Guide for Commanders 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 Unit Training Management (UTM) (see ADP 7-0 and ADRP 7-0).

(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 chemical, biological, radiological, and nuclear (CBRN) 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	CBRN 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

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

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 CBRN	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, CBRN, 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			

B-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
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			

B-3

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			
CBRN 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			

B-4

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.

B-5

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 and letter 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. Note that Observations are not substitutes for Findings.

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 OIP Guide for Commanders, 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: <u>XXX Battalion</u>   DATE INSPECTED: <u>22-24 June XXXX</u>
 INSPECTOR: <u>MSG Inspector, Brigade S-1 NCOIC</u>   UNIT POC: <u>CPT Inspected</u>

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.

      2. REENLISTMENT. Unit commanders are not interviewing Soldiers within 11 to 12 months of the Soldiers' ETS dates.

OBSERVATIONS:

      1. 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 4-3

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 numerous companies, 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, <u>Army Inspection Policy</u> (dated__)

    b.   AR 11-2, <u>Managers' Internal Control Program</u> (dated__)

    c.   AR 20-1, <u>Inspector General Activities and Procedures</u> (dated__)

    d.   AR 381-10, <u>U.S. Army Intelligence Activities</u> (dated__)

    e.   __ Corps Organizational Inspection Program (OIP) (dated __)

    f.   <u>The Inspections Guide</u> (DAIG) (dated __)

    g.   <u>The OIP Guide for Commanders</u> (dated __)

    f.   ADP 7-0, <u>Training Units and Developing Leaders</u>

    g.   ADRP 7-0, <u>Training Units and Developing Leaders</u>

    h.   __ 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. 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, and IG inspections will adhere to the three-phased process outlined in Army Regulation 20-1 and the U.S. Army Inspector General School's The Inspections Guide. Furthermore, teaching, training, and mentoring will be the goal of all inspections conducted within the division and on the installation. Lastly, I want commanders at all levels to use the The OIP Guide for Commanders available from the IG. This guide is a valuable resource that will aid in developing effective OIPs throughout the command.

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 will 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 Defense Readiness Reporting System-Army (DRRS-A) (formerly 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 Managers' Internal 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 Internal 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 Internal 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) <u>Hazardous Materials Inspection of Battalion and Brigade Motor Pools.</u> The post Environmental Officer will conduct annual inspections of each Motor Pool on post.

(2) <u>Physical Security Inspections.</u> 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) <u>Safety Inspections.</u> The post Safety Office will conduct semi-annual Safety Inspections of each battalion, brigade, and separate company on post.

10. **INTERNAL CONTROL:** The Resource Management (RM) office is the proponent within the division for Internal 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 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 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 annually or as required.

(5) Monitor material weaknesses identified during internal Management Control evaluations.

d. The Resource Manager (RM) will:

(1) Execute the Manager's Internal Control Program in accordance with AR 11-2.

(2) Share Internal Control information with the IG.

(3) Track the resolution of all material weaknesses identified during Internal 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 used by the IG. 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 4-4

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 5

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 unit 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). In the years following this CSA mandate, the consolidation of inspections in the RC remains essential to ensure minimal disruption to training.

4. **Effect on the OIP:** OIPs must address the considerations and limitations discussed in paragraphs 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 and Tools**. 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. One inspection-consolidation technique adopted by the Colorado Army National Guard combined ICIs and the outgoing company commander's SCI into one change-of-command inspection (COCI). An excerpt from the Colorado Army National Guard's OIP explains the COCI in detail:

      "The change of command inspection (COCI) concept was developed to assist commanders in meeting their organization's company-level (or similarly sized organization's) initial and subsequent command inspections in a timely and efficient manner.

      The goal of the COCI is to conduct an ICI for the incoming commander and SCI for the outgoing commander concurrently within 30 days of a company-level change of command as opposed to the 180-day ICI requirements for reserve components as outlined in AR 1-201. Conducting a COCI within 30 days on either side of the actual change of command provides reserve component units with three drill periods: drill weekend 30 days prior to the change of command, actual drill weekend of the change of command, or drill weekend 30 days after the change of command.

Conducting a COCI as part of the change of command for both commanders versus an ICI 90 or 180 days after the change of command for only the incoming commander has improved the engagement of the outgoing commander in the overall change-of-command transition. Higher level command involvement and mentorship has also resulted from conducting a COCI versus separate ICI and SCI inspections. Another element of the COCI concept is to synchronize and integrate as many inspection requirements as possible to reduce the overall inspection burden on subordinate units and to maximize the utilization of inspection resources over an extended period of time. Subsequent command inspections supplement COCIs to measure progress and reinforce the goals and standards established during the change-of-command inspection. These inspections are often focused inspections that only look at specific areas and are not necessarily complete re-inspections of the entire unit. SCIs will take place, but the timing will be at the discretion of the inspecting commander."

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.

d. **The Automated Inspection Program (AIP):** The AIP is one of many emerging tools created by selected organizations to facilitate Command and Staff Inspections. In this case, the AIP is a product of the U.S. Army Reserve and is a Web-based application that assists an inspection team in developing a highly structured and meaningful inspection. Implemented in accordance with USAR Regulation 1-201 and OPORD 12-013, this tool enables an inspector to develop checklists based on relevant standards and allows users to tailor those checklists to ensure unit systems are in compliance. By design, this program produces standardized reports that enable senior-level commands to analyze for trends and systemic issues. All users, however, must remember that this tool is an effective aid for the inspection team to conduct its mission but is no substitute for subject-matter experts who are trained to inspect specific functional areas. But one point of caution: Any tool like the AIP requires constant maintenance to keep it updated,

so inspectors must ensure that the standards included in the program are in fact current. This responsibility rests with the inspector. For further information on the AIP, contact the U.S. Army Reserve Command IG at HQIG@usar.army.mil or 1-800-359-6116.

Chapter 6

Inspections in TDA Organizations

1. **Purpose:** The purpose of this section is to discuss inspection considerations for Table of Distribution and Allowances (TDA) organizations.

2. **Differences Between TDA and Table of Equipment (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 7

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 <u>types</u> of inspections (general, special, and follow-up), but <u>special</u> 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 perform. 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 specialists, but IGs are generalists. 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 is here to help, and those folks who understand this change in approach are truly glad to see the IG.

Appendix A

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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 Body-Composition 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 Body Composition Program   8 April 2____

Inspecting Office: **Inspector / Phone:**

Unit Inspected: **Date Inspected:**

Unit Functional Area Representative:

Reference (s): AR 600-9, The Army Body Composition Program, dated _____

1. Would you briefly explain the unit's body-composition program?
_____
_____
_____

Do you understand the Army's regulation and any local policies governing the body-composition 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 body-composition program?

_____
_____
_____

7. Does the unit have procedures in place to release Soldiers from the body-composition 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?

_____
_____
_____

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