

UNITED STATES ARMY INSPECTOR GENERAL SCHOOL

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# THE TEACHING AND TRAINING GUIDE



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March 2020





**DEPARTMENT OF THE ARMY**  
OFFICE OF THE INSPECTOR GENERAL  
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SAIG-ZA

MEMORANDUM FOR ALL U.S. ARMY INSPECTORS GENERAL

SUBJECT: The Teaching and Training Guide

1. The Teaching and Training Guide represents U.S. Army Inspector General (IG) doctrine for the conduct of teaching and training as an independent Army IG function. This doctrine is authoritative and has the backing of Army IG policy in the form of Army Regulation 20-1 (Inspector General Activities and Procedures). All IGs will employ this doctrine within the policy framework set forth in Army Regulation 20-1. If a discrepancy exists between the guide and the regulation, the regulation will take precedence.
2. This doctrinal guide's Foreign Disclosure Determination / Designation is FD-1, which means that this doctrine is releasable to members of partner nations and to the general public.
3. If you have questions or comments about this guide, or identify discrepancies or inconsistencies requiring attention, please contact Dr. Stephen M. Rusiecki, Dean of Academics and Deputy Commandant, U.S. Army Inspector General School, (703) 805-3918 or DSN 655-3918.

*Droit et Avant!*

A handwritten signature in black ink that reads "Donna W. Martin".

DONNA W. MARTIN  
Lieutenant General, USA  
The Inspector General

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# **Chapter 1**

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## **Overview**

Section 1-1 - Introduction

Section 1-2 - The Role of the IG in Teaching and Training

## Section 1-1

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### Introduction

1. **Purpose:** This guide will help inspectors general (IGs) at all levels perform Teaching and Training as a separate function within the Army IG system. In the past several decades, Teaching and Training served principally as an invisible 'fourth pillar' of the IG system embedded within the top three IG functions of Inspections, Assistance, and Investigations. But the high operational tempo of the current Army, the shift to a brigade-centric operational structure, the advent of the Army Sustainable Readiness Model (SRM), and the complex training readiness authorities (TRAs) of the various commands have pushed Teaching and Training to the forefront of IG functions. Historically, IGs have served as a substitute for experience, and that historical constant has taken on new relevance in today's operational environment. Inspections had been the more dominant of the two IG proactive functions, but Teaching and Training is now becoming, in many situations, the IG function best suited to enhance the readiness and warfighting capabilities of our organizations, especially at the corps and division levels as well as states and USAR units preparing for mobilization. This guide is designed to assist IGs in selecting the various kinds of Teaching and Training approaches that can be most effective in enhancing the readiness and warfighting capabilities of all organizations at all echelons and to provide useful tips, ideas, and formats that can take the guesswork out of the IG's role in this critical -- and clearly independent -- function.

2. **Army Regulation 20-1, Inspector General Activities and Procedures:** This guide supports and reinforces Army IG policy on Teaching and Training as found in Chapter 4 of Army Regulation 20-1.

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

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

5. **Format:** Chapter 1 addresses the Teaching and Training function from a broad perspective and describes the IGs specific role and requirements within this function. Chapter 2 addresses Teaching and Training as an embedded function with separate sections on Inspections, Assistance, and Investigations. Lastly, Chapter 3 describes Teaching and Training as an independent function with direct opportunities for IG Teaching and Training, Staff Assistance Visits to both IG and non-IG staff sections, and Readiness Assistance Visits as part of the Sustainable Readiness Model (SRM).

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

## Section 1-2

### The Role of the IG in Teaching and Training

1. **Purpose:** This section explains the IG's role in Teaching and Training.
2. **Teaching and Training as an IG Function:** Major General Baron von Steuben established Teaching and Training in March 1778 as the first Army IG function and, ultimately, as the bedrock of the Army IG system. Since that time, all IG functions -- Inspections, Assistance, and Investigations -- have relied upon Teaching and Training as the foundation of the Army IG system and as the signature approach of all IGs. As leaders, IGs are also trainers; and, although policy development is no longer part of the IG's responsibility, training Commanders, Soldiers, Civilians, and even Family members on current Army policy is the underlying motive of every action taken by an IG. Only by ensuring that all members of the Army know and understand current Army policy can IGs truly help our Army achieve the operating efficiency required in all Army systems. The von Steuben Model of warfighting and readiness -- the guiding philosophy of all Army IGs -- is a model built upon knowing and understanding the Army's way of operating and administrating itself. The role of the IG in promulgating knowledge of the Army's systems, policies, and procedures has never been more important than in today's Global War on Terror (GWOT) and other overseas contingency operations.
3. **The IG's Regulatory Responsibilities for Teaching and Training:** Army Regulation 20-1, Chapter 4, addresses Teaching and Training as both an **embedded** and an **independent** function. As an **embedded** function, Teaching and Training allows IGs to profess standards, explain systems and processes, and teach current Army doctrine while those IGs are performing their mission-critical functions of Inspections, Assistance, and Investigations. As an **independent** function, IGs can approach Teaching and Training directly by serving as educators of Army standards and doctrine, to include teaching units how to re-build or re-establish systems that have withered due to high operational tempo. Inherent in both approaches to Teaching and Training are the IG's regulatory requirements for this function as found in paragraph 1-4b (6). That paragraph charges all IGs to teach and train by --
  - a. Teaching policy, procedures, systems, and processes to help organizations and activities improve operations and efficiency and accomplish command objectives.
  - b. Disseminating information, innovative ideas, and lessons learned.
  - c. Training acting IGs, temporary assistant IGs, and administrative support personnel who are not required to attend TIGS using instructional materials provided by the school.
  - d. Assisting leaders at all levels in teaching the Army professional ethic, the Warrior Ethos, and the Army's Civilian Corps Creed.

The following paragraphs will address these responsibilities in greater detail.



**4. Teaching Policy, Procedures, Systems, and Processes:** Teaching policy, procedures, systems, and processes traditionally fall within the embedded approach to Teaching and Training, to include disseminating innovative ideas, good-news stories, and lessons learned. While conducting Inspections, performing Assistance, or conducting Investigations, IGs always take the opportunity to explain and teach current policy, to explain how specific systems function or are designed, to share lessons learned from other units that 'got it right,' and to provide informational updates on new or emerging Army policy and doctrine. This approach to actively incorporating Teaching and Training into all IG functions was part of the paradigm shift initiated by LTG Richard G. Trefry, The Inspector General (TIG) from 1977 to 1983, to get IGs out of the 'black-hat' Inspections business (the punitive side of old IG work) to a more effective 'white-hat' approach not just for Inspections but for all IG functions. LTG Trefry saw more value in IGs not simply identifying problem areas but also helping with on-the-spot corrections and showing units how to improve with no threat of punitive action. This paradigm shift that began over 30 years ago steadily brought Teaching and Training back to the forefront as one of the IG's most effective (and proactive) functions.

**5. Training Other IGs:** Although TIG has the responsibility to train and qualify all detailed and assistant IGs at The U.S. Army Inspector General School (TIGS), IGs in the field are responsible for training the other three categories of IGs: temporary assistant IGs, acting IGs, and administrative support personnel. The extent to which command IGs elect to train these categories of IGs on the Army IG system depends upon the requirements placed upon those individuals. However, since each person will be privy to IG records or have access to IGMET, command IGs must ensure that they receive training, at a minimum, on the following two areas:

a. The IG tenet of confidentiality (Army Regulation 20-1, paragraph 1-12).

b. The limitations and restrictions placed upon the use of IG records (Army Regulation 20-1, Chapter 3).

TIGS maintains all school instructional material and references on the TIGS public Web site at <http://tigs-online.ignet.army.mil/> so that IGs have ready access anywhere in the world to materials required to train temporary assistant IGs, acting IGs, and administrative support personnel. Accessing this Web site does not require IGMET access. In certain circumstances, and depending upon timing, instructors from the school can travel to specific locations to conduct training on these and other aspects of the IG system.

**6. The Fundamentals of the Army Ethic:** Paragraph 2-3c of Army Regulation 600-100, *Army Profession and Leadership Policy*, charges TIG with assisting Commanders "in teaching and training leaders on the moral principles of the Army Ethic." This requirement clearly places all IGs in the proverbial 'glass house' and makes ethical role models of all IGs. IGs can actively train Soldiers at all levels on this ethic but can be equally effective in a more passive role by personally emulating this ethic.

**7. Teaching the IG Concept and System:** Paragraph 4-1b, Army Regulation 20-1, charges all IGs with Teaching and Training their Directing Authorities, Commanders, and Soldiers at all levels on the intent, functions, and capabilities of the Army IG system. When Commanders and Soldiers at all levels know and understand how the IG works,

then the IG will find the supported population more receptive to the IG's efforts to improve readiness and warfighting within the command. The most important aspect of this training is to demonstrate to the command that the IG views all members of the organization as co-partners in their collective efforts to improve readiness. IGs should seek effective forums in which to teach Commanders and Soldiers how IGs do business and how leaders at all levels can both support -- and be supported by -- the IG. Here are some examples of effective Teaching and Training venues for the IG Concept and System:

- a. Local Company Commander / First Sergeant courses.
- b. Officer and NCO professional development programs.
- c. Newcomer / in-processing briefings.
- d. Pre-command courses.

TIGS has instructional material for the IG Concept and System on the TIGS public Web site at <http://tigs-online.ignet.army.mil/> in the form of slide presentations used at the school as well as a self-paced, Web-based tutorial designed specifically to inform Commanders about the IG system. CD-ROM versions of these tutorials are also available on request from the school's Information Technology Specialist (commercial 703-805-3903 or DSN 655-3903).

**8. Teaching the Organizational Inspection Program (OIP):** Paragraph 1-4d of Army Regulation 1-201, Army Inspection Policy, charges all IGs with advising Commanders and their staffs on Army inspection policy. Since TIG is the proponent for Army Regulation 1-201, all IGs are the local proponents (or experts) on the regulation. This advisory responsibility really translates into a training responsibility for IGs. IGs must take the time to teach Commanders and their staffs not simply on the requirements of Army inspection policy but also on the program's internal dynamic and how Command, Staff, and IG inspections, each with their different approaches of compliance versus systemic, complement each other and make the program effective. In effect, Command and Staff Inspections, as general (or compliance-based) inspections, generate the trends that allow IGs to identify systemic issues within the command and, with the Commander's authority, act on them by conducting a special (systemic) inspection. TIGS maintains an OIP tutorial specifically for Commanders on the TIGS public Web site at <http://tigs-online.ignet.army.mil/>. As mentioned throughout this section, the TIGS Web site has other OIP-related references (such as The Inspections Guide) and slide presentations for use in training Commanders and their staffs on the OIP. The regulation also charges IGs with training inspectors to conduct Command and Staff Inspections using the general inspection checklists recommended in Appendix D of The Inspections Guide. IGs must be careful that their Teaching and Training role in these Command and Staff Inspections does not become an inspecting role since such activity would violate Army Regulation 1-201 and result in the information gathered becoming IG records subject to the provisions of Chapter 3, Army Regulation 20-1. See The Inspections Guide for further information on the OIP.

## **Chapter 2**

### **Teaching and Training as an Embedded Function**

Section 2-1 - Teaching and Training (Inspections)

Section 2-2 - Teaching and Training (Assistance)

Section 2-3 - Teaching and Training (Investigations)

## Section 2-1

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### Teaching and Training (Inspections)

1. **Purpose:** The purpose of this section is to address the Teaching and Training function embedded within IG Inspections.
2. **Teaching and Training during Special IG Inspections:** Special IG Inspections of systemic issues traditionally rely upon multiple units and other organizations for information related to the topic in question. The focus is on resolving the pattern of non-compliance within the system, and the units and other organizations experiencing these problems serve as data-gathering points that allow the IG to identify the trouble spots within the system and make recommendations that, when implemented, will resolve the systemic issue. IG inspectors often become so focused on gathering the required information that they miss key opportunities to explain to the units and organizations they visit the particular standards (with current updates) that pertain to the system in question. Many root causes for non-compliance, which in turn lead to larger systemic issues, fall into the 'don't know' category because, as a complex and highly regulated Army, we have many standards and requirements that often overwhelm leaders at all levels. On-site opportunities to educate units and other organizations on these standards -- and how the system works in general -- are critical to avoiding recurring problems related to the system. While time may often be a factor, IGs should always strive to teach standards as they gather information because, in most cases, the best remedy for a systemic problem is to know one's role in that system and how to make it work.
3. **Teaching and Training during General IG Inspections:** While the IG's primary focus is on special inspections of systemic issues, Directing Authorities may sometimes turn to the IG to conduct a general, compliance-oriented inspection of a particular unit because of operational necessity, severe lack of time, or significant problems within the organization that are hindering its readiness. Although the IG's role is to measure the unit's compliance with standards related to that unit's mission readiness, the teaching-and-training role in these cases is more critical than with special inspections of systemic issues. The unit's staff members may lack the knowledge and training to establish and / or sustain their respective functional areas within the organization, so the IG must balance the inspection requirement with teaching and training so that, once the IG inspection team departs and reports the unit's status to the Directing Authority, the unit itself will be more likely to sustain its own readiness due to the IG team's mentorship. In many cases, a Readiness Assistance Visit (RAV) may be more appropriate than a general inspection (see Section 3-2 of this guide); and, if time permits, the IG should recommend this approach to the Directing Authority in lieu of a general inspection. The RAV will serve as a cohesion-building exercise for the unit and will help that organization sustain its own readiness over time without relying upon external inspection and / or assistance efforts to help it achieve mission readiness.

## Section 2-2

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### Teaching and Training (Assistance)

1. **Purpose:** The purpose of this section is to address the Teaching and Training function embedded within the IG Assistance function.
2. **Teaching and Training While Providing Assistance:** Many complainants often bring issues to the IG for resolution that do not merit an inquiry because the individual fails to understand the current standards and may not realize that a problem does not exist. These **unfounded** issues require on-the-spot teaching by the IG to inform the individual of the standard and why the complaint lacks merit. For example, a Soldier may complain to the IG that he or she did not receive the proper number of permissive temporary duty (PTDY) days from the commander. After the IG learns more background information from the complainant upon receiving the Inspector General Action Request (IGAR), the IG can immediately consult the governing regulation with the complainant present to determine if the individual's concerns are in accordance with current Army policy. In many cases, complainants don't fully understand how their situation applies to the policy, and the IG is in an excellent position to explain such matters to the individual. But even when complainants submit **founded** IGARs for IG action, the IG can still teach the complainant about any current changes to the policy (or standard) in question, especially if those changes may modify the results of the Assistance Inquiry. Notifying complainants of the results (Step 5 of the Inspector General Action Process, or IGAP) is also a good opportunity to teach complainants about new or revised standards that the IG has discovered during the Assistance Inquiry.

## Section 2-3

### Teaching and Training (Investigations)

1. **Purpose:** The purpose of this section is to address the Teaching and Training function embedded within the IG Investigations function.
2. **Teaching and Training While Conducting Investigations:** Like the Inspections and Assistance functions, Investigations and Investigative Inquiries present numerous opportunities for teaching and training, particularly during the IG investigator's information-gathering activities. Teaching and training when gathering testimony (sworn and recorded, etc.) provides IGs an excellent opportunity to explain standards, especially to subjects and suspects who may not understand how and why they may have violated a particular standard. For example, the allegation may involve a misuse of government property; and, while gathering testimony from the subject / suspect, the IG may realize that the individual simply does not know or understand the policy. In these cases, the IG can take the time to explain the standard to the individual and, in some cases, why the individual's alleged actions may have violated that standard. Teaching and training can occur both on and off tape; but, generally, teaching and training done on tape should be brief. But be careful! The subject or suspect could exploit the teaching-and-training opportunity and come up with a false defense. For example, in a Whistleblower reprisal case, if the complainant learns that not knowing about the protected communication is a defense to reprisal, he or she may then deny any knowledge of the protected communication. Speaking of reprisal, teaching and training is appropriate when a suspect or subject leads you to believe that he or she has determined who made the complaint or is actively trying to determine the complainant's identity. Explain that any adverse action taken against the complainant because of communication with the IG represents statutory (10 USC 1034) Whistleblower reprisal. If the complainant submits an allegation of reprisal for adverse action taken following the subject or suspect interview, the record of the IG's teaching-and-training session would likely be evidence in the reprisal allegation.
3. **Teaching and Training through Reports of Investigation / Reports of Investigative Inquiry (ROIs / ROIs):** IGs will often discover during the course of an investigation widespread gaps in understanding or knowledge of certain standards throughout the command. These gaps in understanding or knowledge can take the form of broad trends or can focus on specific staff agencies or organizations. The IG investigator may use the **Other Matters** paragraph in the ROI / ROI to address these gaps and recommend to the Directing Authority teaching-and-training requirements for particular standards throughout the command. In many cases, simply 'not knowing something' can often lead to many of the issues and allegations received by the IG, so the IG should use every opportunity to educate the broader command on those aspects of Army policy and other standards that individuals have found to be confusing or implemented poorly.

## **Chapter 3**

### **Teaching and Training as an Independent Function**

Section 3-1 - Direct Teaching-and-Training Opportunities

Section 3-2 - Staff Assistance Visits

Section 3-3 - Readiness Assistance Visits

Section 3-4 - Engagement with U.S. Allies and Partners

## Section 3-1

### Direct Teaching-and-Training Opportunities

1. **Purpose:** This section outlines various Teaching-and-Training opportunities available to IGs throughout their respective commands and organizations.

2. **Commander / First Sergeant Courses:** Local Commander and First Sergeant courses are essential forums for IGs to explain not only what the IG does and can do for them but also an opportunity to provide trends on recurring issues surfacing within the command. Likewise, IGs can use these forums to disseminate new updates and / or changes in Army and unit policy. IGs should coordinate directly with the local proponent for these courses (normally the G-3) and secure a fixed time slot for each course. Training materials that support this effort are available on the TIGS Web site.

3. **Commander Off-Sites:** Division and Brigade Commanders often host off-site events that allow them to meet with their subordinate Commanders and senior NCOs in a forum absent of distraction to discuss critical command, policy, and training issues. These off-site events are excellent opportunities for the IG to discuss current trends affecting readiness within the organization, to show how the IG can help the unit(s) improve readiness, and to learn from Commanders and their senior NCOs what problems they are discovering that may require senior-level attention (systemic issues, etc.).

4. **Local Newspapers / Unit Newsletters:** This form of media is particularly useful in communicating routine information throughout the Command on new or emerging policy changes and / or standards, things that units should know that might affect their readiness, and lessons-learned gleaned by the IG from inspections or other activities. Matter submitted by IGs for publication should remain free of opinion and uninformed analysis. Screening articles through the unit Public Affairs Officer is a good way to ensure that the IG's message is clear, to the point, and communicated as intended.

5. **IG Leader Guides:** Many IGs have developed and promulgated within their Commands or organizations IG Leader Guides designed to serve as quick-reference handbooks for leaders at all levels on recurring issues. These guides can be excellent tools for leaders, but IGs must keep them current to ensure that the best, most up-to-date information is available regarding the topics at hand. One way of organizing such a guide is to address each issue using the format below:

- a. Problem
- b. Background
- c. Reference (normally the applicable standard)
- d. Possible solution

Issues addressed in past guides have included the following topics:

- Statutory Whistleblower reprisal (10 USC 1034)
- Non-support of Family members
- Mental Health Evaluations



- Leave and pass policies
- Performance counseling
- Enlisted promotions
- OER / NCOER processing
- Extra training or instruction
- Suspension of favorable personnel actions (Flags)
- Referrals to the Army Substance Abuse Program (ASAP)
- Absentee reporting and dropped-from-the-rolls procedures
- Physical profiles
- Medical evaluation board / physical evaluation board (MEB / PEB) processes
- Special population physical training programs
- Army physical fitness test (APFT) failures / flag-action counseling
- Army weight control program
- Family care plans
- Equal opportunity complaint procedures
- Family advocacy programs

These guides could also include a listing of frequently used Web sites with hyperlinks.

**6. Initial Entry Training (IET):** IGs serving in selected TRADOC organizations may have an opportunity to teach trainees about the Army IG system and how to submit complaints to an IG. Installations with large trainee populations such as Fort Jackson and Fort Benning should include in the training cycle time for the IG to brief trainees; if not, the command IG should work directly with the IET curriculum managers to include the IG in the schedule. Training recruits early in their Army experience on the IG system and its purpose can preclude needless complaints and potential misuse of the IG in the future. These briefings also afford the IG an opportunity to reinforce the importance of giving the chain of command the first opportunity to resolve the matter before bringing it to an IG's attention. Instructional material that can support these efforts is available on the TIGS Web site.

**7. Theater Orientation Programs:** Deployed IGs should participate in theater orientation programs where IGs can pass on lessons learned and tips to a successful tour of duty for personnel at all levels. The IG can address many of the issues identified in paragraph five for the IG Leader Guides. In some cases, the audiences may be stratified by grade (senior officers, junior officers, senior NCOs, etc.), which can allow the IG to tailor his or her presentation to address topics most relevant to each population. The key to success is to focus on matters relevant to the deployment and how the IG can support both individuals and entire organizations as they deploy into hostile-fire zones or other operational areas.

**8. Installation Newcomers Briefings:** IGs who also support installations should be part of newcomer orientations for all personnel -- military and civilian -- assigned to the post. These briefings should focus on the rudiments of the Army IG system, how the IG supports the command by enhancing readiness and warfighting capability, and how to submit complaints as well as their right to do without obstruction and / or fear of reprisal.

9. **Commander In-Briefings:** Command IGs should provide one-on-one briefings to commanders at the battalion, brigade, garrison, and higher levels as necessary to explain to those Commanders how the IG system works and can support them. In addition, command IGs, as the local proponent for Army Regulation 1-201, should outline for these commanders their responsibilities to establish and manage an effective Organizational Inspection Program.

10. **Unit- or Command-level Classes:** Many units desire and request training classes from IG offices on topics such as the IG functions, how to conduct Command and Staff Inspections, and the like. Some IG offices conduct routine, topic-specific classes and invite personnel from the entire camp, post, or station to attend. IGs should properly schedule these types of training events through the formal training process by including them on the command's master training calendar and in the annual and quarterly training guidance. In addition, Command IGs should ensure their Directing Authorities know when the IG office is conducting these direct Teaching and Training opportunities so that the Directing Authority may place command emphasis on these events.

## Section 3-2

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### Staff Assistance Visits

1. **Purpose:** This section explains IG-to-IG Staff Assistance Visits.
2. **Staff Assistance Visits:** Staff Assistance Visits (SAVs) are a subset of Staff Inspections and are focused solely on Teaching and Training (see Army Regulation 1-201, paragraph 3-5). Normally, staff sections conduct SAVs from higher to lower in the vertical echelon of command. For example, a division G-2 will perform an SAV for a subordinate Brigade Combat Team's S-2 and teach such topics as intelligence oversight, security requirements for intelligence files, current policy changes, etc. This same approach applies to IG staff sections in the vertical technical-channel chain. For example, the Army Command (ACOM) IG staff section can conduct an SAV on a corps IG staff section to share ideas; clarify IG policy and doctrine; and provide guidance about the senior commander's priorities, philosophy, and so on.
3. **IG-to-IG Staff Assistance Visits:** Command IGs of higher echelon IG staff sections may routinely conduct SAVs with lower echelon IG staff sections in accordance with paragraphs 4-3d and 6-4b of Army Regulation 20-1. Higher echelon IG staff sections should use these SAVs as mentorship opportunities, to share best practices, and to provide current updates to IG policy and doctrine. But, as Army Regulation 20-1 cautions, these SAVs will not be a premise for interfering with the guidance or prerogatives of a lower echelon commander with his or her IG. Some areas where a higher echelon IG staff section can provide assistance are as follows:
  - a. Review a sampling of completed cases in IGARS and provide feedback on how best to improve the quality of case notes and synopses.
  - b. Review recent IG Inspection Reports for readability, quality of the findings sections, selection of appropriate objectives, and use of function modeling for systemic inspections as a way to help the IG staff section improve the quality of their inspections.
  - c. Review a sampling of trends generated from IGARS and show the IG staff section how best to analyze those trends for IG Inspection topics.
  - d. Review Reports of Investigation and Investigative Inquiry for quality of writing, format, analysis, etc.
  - e. Discuss the IG office's Intelligence Oversight Program and share ideas on how to improve the quality of these inspections by offering techniques on reviewing files, evaluating Intelligence Oversight Programs within the intelligence components, and sampling Soldier knowledge on reporting questionable activity.
  - f. Provide ideas on file management and help the IG staff section organize and dispose of their files in accordance with the Army Records Information Management System (ARIMS).

- g. Provide technical assistance on IGMET and user capabilities.

Higher echelon command IGs must always coordinate in advance with lower echelon command IGs prior to an assistance visit or SAV. The coordination will occur 90 to 120 days prior to the visit but may be adjusted based upon coordination and agreement by both command IGs. The visiting assistance or SAV team will normally invite the subordinate command's IGs to accompany them during the visit when venturing outside the IG staff section's office.

**4. Other Staff Assistance Visits:** IGs normally don't perform SAVs on non-IG staff sections within or without the command unless the IG staff section has enough resident expertise to be of genuine assistance to that specific staff section. For example, an IG staff section may have several personnel specialists serving as detailed and / or assistant IGs. In turn, these IGs / personnel specialists may be able to assist a G-1 staff section by promulgating updated personnel policy, recommending ways to improve the personnel action center, and so on. However, such SAVs are often best left to staff sections within the same functional area due to a greater variety of more experienced personnel than the IG staff section can routinely provide.

## Section 3-3

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### Readiness Assistance Visits

1. **Purpose:** This section explains the purpose and procedures for conducting Readiness Assistance Visits to Operating Force units.
  
2. **Background:** The contemporary operating environment and its associated high operational tempo have caused Army units in both the active and reserve components to struggle with maintaining readiness. The Sustainable Readiness Model (SRM) uses modules to organize and graphically depict unit readiness information and to signal sourcing requirements. The modules vary in length but are managed in a quarterly framework, which supports operational-level resourcing and planning processes. There are three basic modules: Prepare, Ready, and Mission. C-level ratings, which are an overall measure of a unit's training, personnel, and equipment assessments, reflect a unit's ability based on organizational design to provide core functional capabilities to perform its wartime mission(s) in support of Unified Land Operations (ULO). Four measured areas are assessed for C-levels (Personnel (P), Equipment and Supplies (S), On-hand / available Equipment Readiness / Serviceability (R), and Unit Training Proficiency (T)). (Army Regulation 525-29, Force Generation--Sustainable Readiness, paragraph 4-2 and 4-3)
  - a. **Prepare Module:** Service retained or assigned units recovering, transitioning, or preparing for a mission at either a C4 or C3 level.
  
  - b. **Ready Module:** Service retained or assigned units ready and available for immediate deployment by attaining or maintaining a level a C2 or C1 level of decisive action readiness.
  
  - c. **Mission Module:** Allocated or assigned units executing a joint ordered mission. Modules differentiate whether or not the mission requires C2 or C1 decisive action readiness.

Units in the Prepare Module are not available for decisive action without significant risk to the mission. The Army's resourcing goal for most units in this module is minimum personnel and equipment until the unit has built sufficient readiness to begin transitioning to the Ready Module. The Prepare Module allows Commanders and planners to accept some risk in these units in order to support the readiness of other units. The result is a unit that must now struggle to rebuild and reconstruct internal systems that may have suffered greatly due to a lack of priority in personnel and equipment.

Further complicating the problem is the new Army concept of Training and Readiness Authority (TRA), which charges specific Commands (such as a division headquarters) with administrative control (ADCON) (if a Senior Commander on an installation) and / or Title 10 responsibility for the training and readiness of assigned and other units. In many cases, units for which a particular higher Command has TRA may not even be located on the same installation -- or even in the same state. This

geographic separation further challenges Commanders as they struggle to build their internal systems and move their units from the Prepare Module to the Ready Module.

Ultimately, those units entering the Prepare Module need a temporary substitute for the lack of experience and personnel as the unit builds readiness. They need an outside organization ready and able to train their new (and often junior) officers and NCOs how to inspect their own organization's readiness and how to assist their Commanders in making a readiness determination. The IG is just such a substitute for that experience and can help by employing the Teaching and Training function in the form of a Readiness Assistance Visit.

**3. Readiness Assistance Visits:** As part of the Teaching and Training function, IGs can conduct Readiness Assistance Visits (RAVs) to assist units of all types as those units reside in the Prepare Module. RAVs allow IGs to visit a unit and teach incoming personnel how to inspect their organizations and re-establish systems that have withered in the face of the post-deployment "starburst" effect. However, RAVs **are not IG Inspections**. IGs teach the unit's staff members about the Organizational Inspection Program (OIP) as outlined in Army Regulation 1-201 and the organization's inspection responsibilities within the OIP. IGs (with augmenting subject-matter experts) will then train the Commanders and staff members how to conduct Command and Staff Inspections by teaching them about such things as current standards, how to develop evaluation tools (checklist, questionnaires, etc.), how to plan an inspection, and how to conduct an inspection. The IGs will then shadow the staff members as they use these evaluation tools to assess the unit's readiness at that point in time. Along the way, the IG may demonstrate how to gather the information and offer best practices that improve each inspector's efficiency and knowledge. Since the unit's own staff members are conducting the inspection, the information gathered is not an IG record. At the end of these normally week-long RAVs, the IGs and augmenting RAV team members will help the staff develop an out-briefing to the Commander that allows that Commander to make an informed readiness judgment about where the unit's readiness stands at that point in the Prepare Module. RAVs cannot and will not substitute for actual Command Inspections (specifically initial and subsequent command inspections) and Staff Inspections. IGs are strictly trainers in their RAV capacity and will not render a readiness judgment to the supported Commander or to the IG's Directing Authority.

**4. Conducting Readiness Assistance Visits in the Generating Force:** While this guide addresses the Readiness Assistance Visit as a tool for rapidly rebuilding readiness in units within the Operating Force, such as Brigade Combat Teams, Support Brigades, and Functional Brigades, IGs may employ the RAV concept for any type of unit, including organizations within the Generating Force. The Generating Force includes units and commands under Training and Doctrine Command (TRADOC), U.S. Army Medical Command (MEDCOM), and the Installation Management Command (IMCOM) to name but a few.

For example, many commands and their staffs have significant turn-over in the summer months, often leaving only one to two primary staff members remaining within the organization as any type of continuity. Commanders in the Generating Force could use the RAV concept to teach and train a new subordinate command team and staff to function effectively within the higher command's mission and intent. For organizations assigned directly to installations, that higher command's mission requirements will fall

under the Senior Mission Commander. In these cases, the RAV will require coordination and / or resources from the Installation and Senior Mission Command staff.

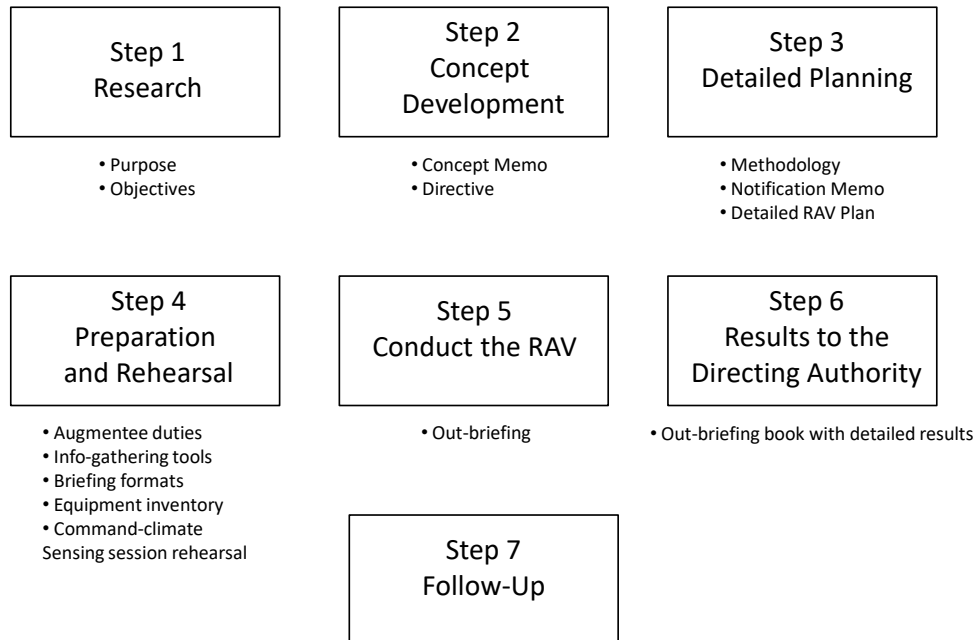
Another reason to conduct an RAV on commands in the Generating Force is when the organization experiences a wholesale change in a system or process that undergirds their fundamental operating paradigm. In this case, the focus of this RAV would be more functional than general in nature. A good example of this situation is the replacement of the Standard Army Maintenance System-Enhanced (SAMS-E) with the Global Combat Support System-Army (GCSS-A). Higher level or adjacent commands, such as Army Materiel Command (AMC) or Army G-4 (or both), could conduct RAVs at a particular installation to ensure that the affected command understands the new process or system and that the organization's systems adapt to the new process at all levels. In many ways, the RAV would be an added oversight mechanism for any such new-equipment fielding activities within Generating-Force units.

In the end, the RAV, although designed initially to support the continued readiness of re-deploying units within the Operating Force, is readily adaptable to a myriad of situations. IGs and the Commanders they support have full license to adapt the concept to any organization's unique needs and to include RAVs as a standing contributor to the command's Organization Inspection Program (OIP).

**5. Planning and Executing a Readiness Assistance Visit:** IGs must follow a deliberate process for planning and executing an RAV. Although RAVs are not IG Inspections, several steps and physical outputs used in the IG Inspections Process (as found in The Inspections Guide) are useful in conducting an RAV. The steps for planning and conducting an RAV are as follows:

### Readiness Assistance Visit Planning and Execution Steps

(with outputs)



a. **Step 1 (Research):** All RAVs must begin with the IGs researching the nature of the unit requiring assistance and what systems require re-establishment. Only by knowing the mission and standards required of the unit will the IG team be able to teach the unit what its staff members must inspect and how. IGs should employ a systematic approach to conducting research that helps ensure that the RAV will be meaningful and focused on the critical systems that require re-establishment. Research also enables the IG team to understand fully how the unit must function operationally so that the team can refine the RAV Purpose and the RAV Objectives in consonance with the needs of the unit. The six steps to conducting focused research for RAVs are:

- (1) Review the higher Commander's guidance relating to the unit's combat readiness (requested from the higher Command).
- (2) Review the unit's Mission Essential Task List (METL).
- (3) Review the regulatory requirements for unit administration (normally aligned along functional lines such as personnel, intelligence, operations, etc.).



(4) Consult Subject-Matter Experts and determine what type of expertise is required to assist the unit.

(5) Review the results of previous Command and Staff Inspections conducted by the unit.

(6) Assemble and review current inspection checklists related to the unit in question (creation and / or refinement of these inspection instruments occurs in a later step).

The physical outputs derived from these research activities will be the RAV Purpose and the RAV Objectives. Unlike inspections, RAV purpose statements and objectives will normally remain the same for most units but may require refinement based upon specific guidance from the Directing Authority or based upon requests from the inspected Commander. The standard purpose statement and objectives are as follows:

RAV Purpose: The purpose of this Readiness Assistance Visit is to train and assist the 4th Battalion, 66th Combined-Arms Battalion, 3rd Brigade Combat Team, in re-establishing its internal inspection capabilities and functional systems.

RAV Objectives:

(a) Train the unit's Commanders and staff members on the requirements of the Organizational Inspection Program as outlined in Army Regulation 1-201.

(b) Assist the unit's Commanders and staff members in re-establishing unit systems by teaching, training, and mentoring them on how to inspect.

(c) Guide the unit's Commanders and staff members in determining their unit's current readiness status through Command and Staff Inspections by providing evaluation tools, subject-matter expertise, and on-site guidance.

Once the IG team has finalized the RAV purpose and objectives, the team will move to Step 2 and develop a concept letter that outlines the scope, nature, and support required for the RAV.

**b. Step 2 (Concept Development):** Developing the RAV concept first depends upon completing effective and in-depth research on the unit in question followed by the development and / or refinement of the RAV purpose and objectives. The concept is nothing more than a plan that outlines -- in general -- how the IG team plans to conduct the RAV. The first physical output of this step is the Concept Memorandum, which the inspection team develops as a way to communicate formally to the Directing Authority the scope and nature of the RAV and the general resources required to conduct the RAV. This letter allows the Directing Authority to acknowledge the resources required for the RAV and to provide the IG team with a Directive (the second physical output of this step) that affords them the temporary tasking authority needed to gather the resources required to conduct the RAV. A formal concept briefing to the Directing Authority is not necessary unless he or she requests it. If the Directing Authority prefers a briefing, then the IG team may convert the concept directly into a briefing format. See Section 4-2, Step 2, in The Inspections Guide for an example of a concept briefing derived from a Concept Memorandum. The RAV Concept Memorandum includes the following items:

- (1) Purpose (developed during the research step)
- (2) Objectives (developed during the research step)
- (3) Scope (describes the team's intended task organization and the overall focus)
- (4) Required resources (specifies the subject-matter experts required by area of expertise)
- (5) Timeline (outlines the key milestone dates from the time the Commanding General signs the Directive to the completion of the RAV)
- (6) Notification (explains how the RAV team plans to notify the unit)

A sample RAV Concept memorandum appears on the next page.

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

AFVS-IG

22 July \_\_\_\_

MEMORANDUM FOR THE COMMANDING GENERAL, 66th INFANTRY DIVISION

SUBJECT: Readiness Assistance Visit Concept for the 4th Battalion, 66th Combined-Arms Battalion, 3rd Brigade Combat Team

1. PURPOSE: The purpose of this Readiness Assistance Visit is to train and assist the 4th Battalion, 66th Combined-Arms Battalion, 3rd Brigade Combat Team in reestablishing its internal inspection capabilities and functional systems.

2. OBJECTIVES:

a. Train the unit's Commanders and staff members on the requirements of the Organizational Inspection Program (OIP) as outlined in Army Regulation 1-201.

b. Assist the unit's Commanders and staff members in reestablishing unit systems by teaching, training, and mentoring them on how to inspect.

c. Guide the unit's Commanders and staff members in determining their unit's current readiness status through Command and Staff Inspections by providing evaluation tools, subject-matter expertise, and on-site guidance.

3. SCOPE: One team of IGs from the Fort Von Steuben IG staff section with subject-matter experts from within the 66th Infantry Division and Fort Von Steuben will conduct a week-long Readiness Assistance Visit of the 4th Battalion, 66th Combined-Arms Battalion. The Command IG will lead the team, which will focus on training the battalion to conduct inspections as part of an internal OIP and assist the Commanders and staff members in re-establishing functional systems with added emphasis on the Commanding General's five priority areas of armament and weapons systems, vehicle maintenance management, training management, property accountability, and Soldier / Family quality of life.

4. REQUIRED RESOURCES: The IG staff section has resident expertise in operations, training, personnel, and vehicle maintenance but will require augmentation from the division and / or the garrison for subject-matter experts on weapons maintenance, intelligence operations and security, information assurance, CBRN training and maintenance, property accountability, safety, Family Readiness Programs, chaplain programs, equal opportunity, and medical readiness. The estimated size of the RAV team is 10 IGs and 10 augmentees for a total of 20 personnel.

5. TIMELINE:

- a. Gain Commander's approval of the concept with signed Directive: 24 July
- b. Send Notification Letter: 25 July
- c. Send Detailed RAV Plan: 30 July
- d. RAV Visit: 8 to 12 August (T)
- e. Final results to the Commanding General: 15 August (T)

6. NOTIFICATION: The RAV Team will announce the RAV using a Notification Memorandum and work with the unit to develop the optimum timeframe for the RAV as well as any additional resources the unit can provide to assist in the visit.

***Droit et Avant!***

Encl

ALBERT R. RIGHTWAY  
LTC, IG  
Command Inspector General

Enclosed with the Concept Memorandum is a Directive that authorizes the Command IG to conduct the RAV and gives the IG temporary tasking authority for the purposes of the RAV. The Commander's signature at the bottom of this document means that the IG is acting under the specific direction of the Commanding General / Directing Authority. The IG team must craft the Directive carefully to ensure that the language within the document authorizes the team to gain access to all required areas within and without the unit and to task those units or agencies within the Command to support the RAV with subject-matter experts or other resources. The Directive should include the following:

- (1) A statement directing the Command IG to conduct the RAV.
- (2) A list of all objectives that pertain to the RAV.
- (3) A statement that outlines the tasking authority for all active, Reserve, National Guard, and tenant organizations.
- (4) A statement that authorizes the IG to have access to all activities, organizations, and information sources required to conduct the RAV.

A sample RAV Directive appears on the next page.

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

AFVS-IG

22 July \_\_\_\_

MEMORANDUM FOR THE INSPECTOR GENERAL

SUBJECT: Directive for Readiness Assistance Visit

1. You are directed to conduct a Readiness Assistance Visit (RAV) of the 4th Battalion, 66th Combined-Arms Battalion, 3rd Brigade Combat Team while it resides in the Prepare Module.
2. The assessment will focus on the following objectives:
  - a. Train the unit's Commanders and staff members on the requirements of the Organizational Inspection Program (OIP) as outlined in Army Regulation 1-201.
  - b. Assist the unit's Commanders and staff members in reestablishing unit systems by teaching, training, and mentoring them on how to inspect.
  - c. Guide the unit's Commanders and staff members in determining their unit's current readiness status through Command and Staff Inspections by providing evaluation tools, subject-matter expertise, and on-site guidance.
3. You are authorized to task the Division and Fort Von Steuben staff and subordinate headquarters for those resources required to ensure the successful accomplishment of this RAV.
4. You are authorized unlimited access to Division and Fort Von Steuben activities, organizations, and all information sources necessary to complete this effort.
5. You will conduct the RAV not later than 75 days after the battalion's post-deployment block leave. You will conduct a formal out-briefing with the Battalion and Brigade Commanders immediately following the RAV and a separate out-briefing to me at a date to be determined.

MOTTIN De La BLAME  
Major General, USA  
Commanding

c. **Step 3 (Detailed Planning):** This step is critical because the preparation and planning conducted during this step ensure the smooth and effective execution of the RAV. The three physical outputs of this step are Methodology, Notification Memorandum, and Detailed Plan.

(1) **Developing a Methodology:** A methodology is nothing more than the RAV team's plan for physically conducting the RAV. This particular sub-step of Step 3 has three separate physical outputs: Task Organization, Baseline Methodology, and Draft Itinerary.

(a) **Task Organization of the RAV Team:** Step 1, Research, allowed the IG team to identify the areas where they needed additional subject-matter expertise to cover down on the functional systems. The Directive further allowed the Command IG to task those organizations within the Senior Command or from the installation that can provide the required personnel. At this point, the IG team must request those personnel for a period of time that is reasonable to prepare them for the RAV and then conduct the RAV. The IG team does not need to swear in these augmentees as Temporary Assistant IGs since the unit personnel will be the ones conducting all information-gathering activities but under the oversight of one of the IG or other team members. Although the augmentees will not be serving as Temporary Assistant IGs (they are simply augmenting an IG training team), the IG team should make them aware of the IG tenet of confidentiality and restrictions on the use of IG records in case someone in the unit mistakes one of the augmentees for an IG during the RAV and submits an Inspector General Action Request. The augmentees should know to refer such matters immediately to one of the IG team members. The final number of team members may vary from the proposed number mentioned in the Concept Memorandum. A sample task organization for an RAV team is as follows:

**Command IG and RAV Team Leader: LTC Rightway (Operations)**

<u>Name</u>	<u>Functional Specialty</u>
MAJ Britton (IG)	Training
MAJ List (IG)	Inspection Policy (OIP)
CPT Numero (IG)	Communications
MSG Competent (IG)	Personnel Operations
MSG Shoulder (IG)	Individual Training
MSG Smith (IG)	Supply Operations / Property Accountability
SFC Bergerac (IG)	Vehicle Maintenance
SFC Davenport (IG)	Armament and Weapons Systems
Mr. Newton (IG)	Finance Operations
MSG Wilson	Weapons Maintenance
CPT Bronson	Intelligence Operations and Security
Mr. Henry	Information Assurance
SFC McQueen	CBRN Training and Maintenance
MSG Clooney	Property Accountability
Mr. G-Man	Safety
Ms Jolie	Family Readiness Programs
SGT Franklin	Chaplain Programs
Mrs. Fergie	Equal Opportunity
CPT (Dr.) House	Medical Readiness

(b) **Standard Methodology:** The Standard Methodology lays out the basic approach each team member will use in training new staff members and / or subordinate Commanders on the functional systems that need to be up and running. The Standard Methodology can also address other unique requirements that the unit may request such as training on sensing sessions so the unit can conduct its own group interviews with selected personnel (enlisted Soldiers, NCOs, junior officers, etc.). The following Standard Methodology is typical of an RAV:

- **In-Briefing:** The Command IG will conduct an in-briefing with the unit Commander, subordinate Commanders, and staff members on the purpose, objectives, and scope of the RAV.
- **OIP Training:** An IG representative (normally the IG inspections branch chief) will train the unit's Commander, subordinate Commanders, and staff members on the OIP and their responsibilities within this program. This training normally occurs on the first day of the RAV with all Commanders and staff members as a way to place the RAV into the greater context of the OIP.
- **Command Policy Review:** The Command IG, with other team members as required, will review Command documents such as training policy and Command philosophy and provide feedback to the unit Commander (or individual subordinate Commanders as necessary).
- **Functional-Area Training and Inspections Guidance:** The team trainers will teach the unit representative about the functional system in question, explain the source documents that contain all standards pertaining to the functional system (regulations, field manuals, ALARACT messages, etc.), demonstrate how to develop or update inspection checklists and evaluation tools, demonstrate how to gather information using those tools, explain how to use the information to make an overall assessment of the functional system, and shadow the unit member (or members) as he or she actually inspects the functional system.
- **Sensing Sessions:** The IG team members will assist the unit Commander, subordinate Commanders, or 1SGs / CSM in conducting sensing sessions with various groups (privates through specialists, sergeants and staff sergeants, etc.) in the organization on topics of the Command's choice (Family Care Plans, leave policies, etc.). The IG will train the unit facilitators on sensing sessions, rehearse them, and then oversee the conduct of the sensing session. The IG will not actively participate in the session except to offer the facilitator recommendations on how to develop the discussion further. The EO team member will also conduct one or more Command-climate sensing sessions during the RAV with selected personnel.
- **Out-Briefing:** The Command IG will lead an out-briefing of the RAV to the unit Commander (with Senior Commanders invited as necessary) that explains the results of the RAV team's teaching-and-training efforts. Each unit representative will then brief the inspection results for his or her own functional area and explain how that particular function, and its associated systems, are now up and running in the unit or require more resources, training, or Command attention. The RAV team members will not brief on their counterpart's behalf since the out-briefing is designed to build confidence between the unit Commander and his or her subordinate Commanders and staff members.



**Note:** Various Standard Methodologies are possible, but the IG members on the team must never be placed in a position where they are gathering the information. They are trainers in this circumstance and, to keep the unit's information from becoming IG records, only the unit members will gather the information and inspect their functional areas. IGs may demonstrate how to inspect in some cases but only on a limited basis. One critical goal of the RAV is to train the Commanders and staff members on their unit's functional systems and to demonstrate to the unit Commander their competence in conducting Command and Staff Inspections independently. In a larger sense, the RAV is a confidence-building (or "tribe building") exercise for the organization.

(c) **Sample RAV Itinerary:** The Sample RAV Itinerary applies time constraints to the Standard Methodology. The RAV team must decide how long the team will spend at a particular unit (five days, eight days, etc.). After this decision, the team will develop a Sample RAV Itinerary for each day spent at the unit. This itinerary will allow the team members to see precisely how much time they have to train their counterparts and guide them through an inspection of their functional area during the given time period. The Sample RAV Itinerary also assists the inspected unit by offering a specific scope and timeline for the conduct of the RAV. The unit will always assist the RAV team in refining the sample itinerary. Finally, the sample RAV itinerary must always include an in-briefing and an out-briefing time. The RAV team must brief the unit leadership before conducting the RAV and then provide an out-briefing facilitated by the Command IG but with the unit's personnel briefing the results of their own inspections. A sample Itinerary for a five-day RAV is as follows:

#### Day One

0800-0815	In-Brief Commander, subordinate Commanders, and staff members
0815-0830	RAV and functional-area representative link-up
0830-1200	IG class on the OIP
1300-1700	Command IG meeting with unit Commander (command policy)
1300-1700	Functional-area training and inspecting with RAV team members and unit counterparts
1730-1800	RAV team meeting / IPR (coordination for the next day and / or sharing of information)

#### Day Two

0800-1700	Functional-area training and inspecting with RAV team members and unit counterparts
1000-1130	Sensing session (topic at the Command's discretion)
1730-1800	RAV team meeting / IPR (coordination for the next day and / or sharing of information)

#### Day Three

0800-1700	Functional-area training and inspecting with RAV team members and unit counterparts
0800-1000	Command-climate sensing session (conducted by the EO team member)
1730-1800	RAV team meeting / IPR (coordination for the next day and / or sharing of information)

**Day Four**

- 0800-1200 Functional-area training and inspecting with RAV team members and unit counterparts
- 1300-1700 RAV team meeting with unit counterparts to develop the out-briefing

**Day Five**

- 0800-1000 Out-briefing to the unit Commander (introduced by the Command IG with each unit representative briefing the results of his or her inspection of each functional area)

(2) **Notification Memorandum:** The Notification Memorandum officially notifies the affected unit that an RAV is forthcoming. The Command IG will issue telephonically a Warning Order to the affected unit at least one week before sending the Notification Memorandum. The memorandum also serves as a precursor to the Detailed RAV Plan, which will normally follow the Notification Memorandum by no more than one week. The reason for this brief delay is that the Notification Memorandum will allow the affected unit to provide feedback to the IG about the timing of the RAV based upon the unit's personnel and equipment status. In most cases, units that are building readiness in the Prepare Module are ready for an RAV while units that are deliberately resourced by HQDA to maintain a lower level of readiness due to resource constraints may not have the new personnel on hand to make the RAV worthwhile. The dates for the RAV are a negotiation between the IG and the unit Commander; ultimately, the unit Commander has the final word on when the RAV should occur. Also, if an unforeseen issue arises that requires a change to the Detailed RAV Plan, the team will have time to make those changes before submitting the final plan to the affected unit. The Notification Memorandum should include the following information:

- (a) Background information about the RAV's origin
- (b) Purpose of the RAV
- (c) The RAV Objectives
- (d) The basic methodology for the RAV
- (e) The basic timeline
- (f) Include a copy of the signed Directive as an enclosure

See the next page for a sample Notification Memorandum.

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

AFVS-IG

25 July \_\_\_\_

MEMORANDUM FOR COMMANDER, 4-66th CAB, 3rd BCT, 66th INFANTRY  
DIVISION, 1145 STEUBEN DRIVE, FORT VON STEUBEN, VIRGINIA 12345

SUBJECT: Notification of Readiness Assistance Visit

1. BACKGROUND: On 22 July \_\_\_\_, the Commanding General directed the Inspector General to conduct a Readiness Assistance Visit (RAV) of the 4th Battalion, 66th Combined-Arms Battalion, 3rd Brigade Combat Team while the battalion resides in the Prepare Module. The Commanding General signed the Inspection Directive on 22 July \_\_\_\_ (see enclosure).
2. PURPOSE: The purpose of this Readiness Assistance Visit is to train and assist the 4th Battalion, 66th Combined-Arms Battalion, 3rd Brigade Combat Team in re-establishing its internal inspection capabilities and functional systems.
3. OBJECTIVES: The objectives for this RAV are as follows:
  - a. Train the unit's Commanders and staff members on the requirements of the Organizational Inspection Program (OIP) as outlined in Army Regulation 1-201.
  - b. Assist the unit's Commanders and staff members in re-establishing unit systems by teaching, training, and mentoring them on how to inspect.
  - c. Guide the unit's Commanders and staff members in determining their unit's current readiness status through Command and Staff Inspections by providing evaluation tools, subject-matter expertise, and on-site guidance.
4. METHODOLOGY: The standard methodology for this RAV is as follows:
  - a. In-brief the unit leaders and staff members.
  - b. Conduct training on the Organizational Inspection Program.
  - c. Conduct functional-area training and provide inspections guidance.
  - d. Conduct command policy reviews.
  - e. Assist with unit-led sensing sessions and conduct a command-climate sensing session (or sessions).

- f. Out-brief the unit Commander with the assistance of the unit functional-area representatives.
6. FEEDBACK: The results of this RAV will be contained in the individual unit functional-area inspection checklists and the out-briefing slides. The RAV team will not generate a separate report for the unit. The Command IG will invite the BCT Commander and the Commanding General to the out-briefing.
7. TIMELINE: The projected timeline for the RAV is as follows:
- a. Send Notification Memorandum: 25 July
  - b. Send Detailed RAV Plan: 30 July
  - c. RAV Visit: 8 to 12 August (T)
  - d. Final results to the Commanding General: 15 August (T)
8. INTENT: The intent of the RAV team is to cover all functional-areas within the unit and assist the unit in determining its own readiness status and OIP responsibilities. The team will require a few special arrangements that include the scheduling of an in-briefing, an out-briefing, and a room that can accommodate 20 people with computer support from which to stage the RAV team. The IG will publish a Detailed RAV Plan NLT 30 July \_\_\_\_.
9. POC for this RAV is MAJ List, (703) 123-5678 or DSN: 555-5678, [listfe@ignet.army.mil](mailto:listfe@ignet.army.mil).

Encl  
RAV Directive

ALBERT R. RIGHTWAY  
LTC, IG  
Inspector General

(3) **The Detailed RAV Plan:** The Detailed RAV Plan is the single most important planning document the RAV team will develop and issue to the unit. This document requires the greatest amount of detail possible so that -- once issued -- the document anticipates and answers the questions of the affected unit. The focus of the Detailed RAV Plan should be on providing the unit enough information to prepare and work out the details of an itinerary for the RAV team. Once the team confirms the RAV dates with the unit, the team will complete the Detailed RAV Plan, which should -- at a minimum -- include the following:

- a. **Directive:** Explain the background of the RAV and list the date that the Commander signed the Directive.
- b. **RAV Purpose:** Outline the purpose of the RAV.
- c. **RAV Objectives:** List the objectives once again.
- d. **Task Organization:** Explain how the RAV team is structured. List the names of each team member and, if necessary, each member's security clearance.
- e. **Methodology:** Explain the team's methodology for training the unit members and helping them to inspect their organization and assess its readiness. This level of detail will assist the unit greatly when coordinating and refining the itinerary.
- f. **Command-Climate Sensing Session Requirements:** This section should outline specifically the individuals whom the Equal Opportunity team member team must have in the command-climate sensing session (or sessions) by grade and by number. Tables work best when outlining these requirements (see the sample Detailed RAV Plan for an example). This section should also outline all sensing-session location requirements.
- g. **RAV Itinerary:** Be clear about the unit's responsibilities with regard to developing, coordinating, and refining the itinerary. Explain in detail the unit's time requirements for submitting itinerary changes to the team (at least three days before the scheduled visit). Include the Sample RAV Itinerary the team developed as part of the methodology to help guide the unit's efforts.
- h. **Document Requests:** In most cases, the team will want to review a unit's command policies or SOPs prior to the RAV. This paragraph should explain precisely what documents the team would like to review in advance and how the unit should send them.
- i. **Administrative Support Requirements:** List any support requirements the RAV Team will need during the RAV. For example, office and desk space, computer and printing support, copy-machine support, and so on.
- j. **Out-Briefing Concept:** Explain how the team will conduct the out-briefing with the unit's own representatives briefing their inspection results to the unit Commander. This paragraph should also address the possible attendance by the unit Commander's higher echelon Commander and / or the Commanding General.

k. **Suspense Summary:** Summarize all requirements mentioned throughout the Detailed RAV Plan for the unit. This paragraph will ensure that the unit understands all of its requirements set forth in the Detailed RAV Plan so that the resulting visit will proceed smoothly.

A sample Detailed RAV Plan is located on the next page.

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

AFVS-IG

30 July \_\_\_\_

MEMORANDUM FOR COMMANDER, 4-66th CAB, 3rd BCT, 66th INFANTRY DIVISION, 1145 STEUBEN DRIVE, FORT VON STEUBEN, VIRGINIA 12345

SUBJECT: Detailed Readiness Assistance Visit Plan (8-12 August \_\_\_\_)

1. DIRECTIVE: On 22 July \_\_\_\_, the Commanding General directed the Inspector General to conduct a Readiness Assistance Visit (RAV) of the 4th Battalion, 66th Combined-Arms Battalion, 3rd Brigade Combat Team while the battalion resides in the Prepare Module. The Commanding General signed the Inspection Directive on 22 July \_\_\_\_ (see enclosure).
2. PURPOSE: The purpose of this Readiness Assistance Visit is to train and assist the 4th Battalion, 66th Combined-Arms Battalion, 3rd Brigade Combat Team in re-establishing its internal inspection capabilities and functional systems.
3. OBJECTIVES: The objectives for this RAV are as follows:
  - a. Train the unit's Commanders and staff members on the requirements of the Organizational Inspection Program (OIP) as outlined in Army Regulation 1-201.
  - b. Assist the unit's Commanders and staff members in re-establishing unit systems by teaching, training, and mentoring them on how to inspect.
  - c. Guide the unit's Commanders and staff members in determining their unit's current readiness status through Command and Staff Inspections by providing evaluation tools, subject-matter expertise, and on-site guidance.
4. TASK ORGANIZATION: A team of functional-area subject-matter experts, assembled from within the division and from the installation and led by the Command IG, will assist the unit in re-establishing its systems and inspecting itself to determine its readiness posture. The composition of the team (with security clearances as necessary) is as follows:

Team Leader: LTC Rightway (TS-SCI), 66th Infantry Division Command IG

<u>Name</u>	<u>Functional Specialty</u>
MAJ Britton (IG)	Training
MAJ List (IG) (TS)	Inspection Policy (OIP)
CPT Numero (IG)	Communications
MSG Competent (IG)	Personnel Operations
MSG Shoulder (IG)	Individual Training
MSG Smith (IG)	Supply Operations / Property Accountability

SFC Bergerac (IG)	Vehicle Maintenance
SFC Davenport (IG)	Armament and Weapons Systems
Mr. Newton (IG)	Finance Operations
MSG Wilson	Weapons Maintenance
CPT Bronson (TS-SCI)	Intelligence Operations and Security
Mr. Henry (TS)	Information Assurance
SFC McQueen	CBRN Training and Maintenance
MSG Clooney	Property Accountability
Mr. G-Man	Safety
Ms Jolie	Family Readiness Programs
SGT Franklin	Chaplain Programs
Mrs. Fergie	Equal Opportunity
CPT (Dr.) House	Medical Readiness

5. **METHODOLOGY:** The RAV team will spend five days with the unit. The unit will help draft an itinerary for the RAV team based upon the guidance outlined in paragraph seven of this document. The basic approach will be to in-brief the unit Commanders and staff members; review relevant command policies and SOPs; train the unit's leaders on the Organizational Inspection Program; train selected personnel on the standards for their respective functional areas and how to inspect those functional areas; conduct command-climate sensing sessions; and out-brief the unit Commander with each unit representative briefing his or her respective inspection results.

6. **COMMAND-CLIMATE SENSING SESSION REQUIREMENTS:** The following table outlines the specific sensing-session requirements for three command-climate sensing sessions conducted by the RAV team's Equal Opportunity representative.

	<b>Junior Officers (O-1 / O-2)</b>	<b>Senior NCOs (E-7 / E-8)</b>	<b>Junior NCOs (E-6 / E-5 / E-4 (CPL))</b>	<b>EMs (E-4 to E-2)</b>
Session 1: EMs				15
Session 2: NCOs		2	13	
Session 3: Junior Officers / Senior NCOs	7	7		
Total Contacted	7	9	13	15

Each sensing session will require a classroom or similar facility that is removed from the unit's normal work location. The area must be relatively quiet and free from interruptions and telephone calls. In addition, the room will need no fewer than 15 chairs or desks formed into a "u" shape. The unit should schedule 90-minute blocks for each sensing session.



7. RAV ITINERARY: The RAV team has provided a draft itinerary below. The unit must make any adjustments to this draft itinerary no fewer than three working days before the first day of the scheduled RAV. The draft itinerary for the RAV is as follows:

**Day One (8 August)**

0800-0815	In-Brief Commander, subordinate Commanders, and staff members
0815-0830	RAV and functional-area representative link-up
0830-1200	IG class on the OIP
1300-1700	Command IG meeting with unit Commander on command policy
1300-1700	Functional-area training and inspecting with RAV team members and unit counterparts
1730-1800	RAV team meeting / IPR (coordination for the next day and / or sharing of information)

**Day Two (9 August)**

0800-0900	Personnel asset inventory (PAI) (conducted by S-1 personnel and company first sergeants with selected RAV team members present)
0900-1700	Functional-area training and inspecting with RAV team members and unit counterparts
0800-1000	Command-climate sensing session 1 (EMs) (conducted by the EO team member)
1000-1130	Sensing session (topic at the Command's discretion)
1730-1800	RAV team meeting / IPR (coordination for the next day and / or sharing of information)

**Day Three (10 August)**

0800-1700	Functional-area training and inspecting with RAV team members and unit counterparts
0800-1000	Command-climate sensing session 2 (NCOs) (conducted by the EO team member)
1730-1800	RAV team meeting / IPR (coordination for the next day and / or sharing of information)

**Day Four (11 August)**

0800-1200	Functional-area training and inspecting with RAV team members and unit counterparts
0800-1000	Command-climate sensing session 3 (junior officers / senior NCOs) (conducted by the EO team member)
1300-1400	Unit Risk Inventory (administered only if 70-percent of the battalion's assigned personnel participate)
1300-1700	RAV team meeting with unit counterparts to develop the out-briefing

**Day Five (12 August)**

0800-1000	Out-briefing to the unit Commander (introduced by the Command IG with each unit representative briefing the results of his or her inspection of each functional area)
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8. DOCUMENT REQUEST: The RAV team requests that the unit send the following documents -- as they apply -- to the Command IG's office at least **five working days** prior to the first day of the RAV:

- Command policy memorandums or letters
- Unit SOPs relating to any and all functional areas
- Copy of current (or previous) Organizational Inspection Program
- Copies of previous Command and Staff Inspection results (if available)

The intent of this document request is to view only those documents that relate to the readiness of the unit and its internal systems.

9. ADMINISTRATIVE SUPPORT REQUIREMENTS: The RAV team will require the following administrative support assistance from the unit:

- a. A conference (or similarly sized) room with table and / or desk space for 20 people
- b. Access to at least three computers
- c. Printer and copying support

10. OUT-BRIEFING CONCEPT: The Command IG will introduce and facilitate the out-briefing to the unit Commander and his or her representatives. Each unit functional-area representative will brief the inspection results for each functional area / system and provide a readiness assessment of that area to the Commander. The detailed results of the RAV will be contained in the individual unit functional-area inspection checklists and the out-briefing slides. The RAV team will not generate a separate report for the unit since the Command is actually conducting its own internal inspection but under the tutelage of the RAV team. The Command IG will invite the 3rd BCT Commander and the Commanding General to the out-briefing.

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

- a. Itinerary changes due to the RAV team no fewer than three working days before the date of the scheduled inspection.
- b. Requested documents due to the RAV team not later than five working days before the first day of the scheduled RAV.

12. POC for this inspection is MAJ List, (703) 123-5678 or DSN: 555-5678, [listfe@ignnet.army.mil](mailto:listfe@ignnet.army.mil).

Encl  
Inspection Directive

ALBERT R. RIGHTWAY  
LTC, IG  
Inspector General

d. **Step 4 (Preparation and Rehearsals):** Once the RAV team issues the Detailed RAV Plan, the team can focus on preparing and rehearsing the visit. The Command IG must first ensure that the requested augmentees are all present before beginning this step. Normally, the taskings go out once the Commanding General signs the Directive so that the personnel are available in time for this step. The team's activities will vary based upon the focus and scope of the RAV, but the following series of tasks generally apply in most cases:

- a. Conduct additional research on the individual functional areas and their associated standards as required.
- b. Define the responsibilities of all RAV team augmentees.
- c. Train and rehearse the augmentation personnel on how to develop inspection instruments (general inspection checklists, etc.), train unit representatives (staff members, etc.) on how to establish (or re-establish) the functional area, and teach these same representatives how to inspect a functional area.
- d. Train augmentation personnel on the use of the root-cause analysis model and how to apply it to general inspections (see [The Inspections Guide](#) for more information on the root-cause analysis model).
- e. Develop (or refine) information-gathering tools such as general inspection checklists and sensing-session questions.
- f. Develop (or refine) the in-briefing slides and the out-briefing format.
- g. Develop OIP training materials (slides, handouts, etc.).
- h. Conduct equipment inventories and rehearsals.

The physical outputs of this step are the augmentees' responsibilities, information-gathering and teaching / briefing materials, standard in-briefing and out-briefing formats, and RAV equipment inventory.

(1) **Duties and Training of the Augmentees:** The RAV team leader (normally the Command IG) should capture in writing the duties and responsibilities of the augmentees to avoid confusion. A good technique for presenting the augmentees with these responsibilities is to conduct a short training session with them. The IG team members can brief the augmentees on IG responsibilities, the notion of confidentiality, and the use of IG records so that they understand the sensitive nature of IG involvement in the RAV. But the IG team members must spend time teaching the augmentees how to execute their principal responsibilities of developing inspection instruments (general inspection checklists, etc.), training unit representatives (staff members, etc.) on how to establish (or re-establish) the functional area in question, and teaching these same representatives how to inspect the functional area. The IG team must also teach the augmentees how the RAV team will assemble the results in the final out-briefing and how the augmentees will assist their unit representatives in capturing the information and providing functional-area readiness results to the unit Commander.

(2) **Developing Information-Gathering Tools and Briefing Materials:** The information-gathering tools the team will need to develop for the RAV are command-climate sensing session questions, other sensing-session questions (if applicable), and general inspection checklists.

(a) **Command-Climate Sensing Session Questions:** The Equal Opportunity (EO) team member must develop the sensing-session questions used in the command-climate sensing sessions and develop a standard package for submitting the results to the Command. The Command IG should review the packet for completeness and explain to the EO team member that he or she must follow current EO policy for controlling and packaging the information for release and use by the Command.

(b) **Other Sensing Session Questions:** If the Command opts to conduct unit-led sensing sessions, the IG members on the RAV team can develop training materials on how to conduct sensing sessions (see Part 2 of The IG Reference Guide) and, if the Command informs the team in advance of the topic, some draft questions for their use.

(c) **OIP Training Materials:** The IG designated to teach the organization about the OIP must assemble copies of AR 1-201 for the unit and tailor any briefing materials (slides, etc.) to meet the unit's specific needs. The TIGS Web site, <http://tigs-online.ignet.army.mil/>, has OIP-related instructional material that IGs may access and tailor to their needs.

(d) **General Inspection Checklists:** Each team member charged with helping the unit to re-establish a functional area and / or system must create (or refine) a general inspection checklist for that area that he or she can use to train the unit representative on how to establish the system and then inspect it. But traditional inspection checklists have suffered from numerous pitfalls. These checklists tended to pose basic, close-ended questions (based upon the established standards) that the inspectors could simply check off as a 'go' or a 'no go.' 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.

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 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.

The RAV team members should create (or refine existing checklists) like the sample reproduced below that 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. Since the functional-area representatives will actually be self-inspecting, these general inspection checklists will cue them to the kinds of questions they must ask of themselves to help them rebuild the system and get at any reasons why the system is not functioning as designed or required (system and functional area are synonymous).

These general inspection checklists are designed so that the inspector can begin the functional-area inspection by asking an open-ended question (Question 1 in this case) that will result in a discussion of the unit's Weight Control Program. By asking the unit representative to explain the program, the inspector will be able to determine if the representative understands the regulation and the unit's overall program. If the individual does not respond effectively, the inspector can ask the second part of the question (a follow-up question), which is a more direct query about the individual's knowledge of the program and the associated standards. Once the inspector captures the essential information from these initial questions, the inspector can then ask Question 2, which is a close-ended question and requires the representative to show the inspector some on-hand equipment.

The inspection continues in this manner until the inspector gathers all of the required information about the functional area (even though, in the case of the RAV, the inspector and functional-area representative are one and the same for training purposes). The inspector must avoid on-the-spot assessments of the functional area but instead must analyze the information later in conjunction with the established standard to determine the unit's true readiness status in this particular functional area. This approach allows the inspector 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 of The Inspections Guide will prove helpful in this determination. Normally, G-staffs are responsible for developing, maintaining, and promulgating such checklists to their subordinate staff counterparts. But, ultimately, the accuracy of the checklist is the inspector's responsibility, so the RAV team member should explain how the unit representative can update the checklist. The sample checklist below comes from Appendix D of The Inspections Guide):

### 66th Infantry Division Inspection Checklist

(Applies to Initial Command Inspections, Subsequent Command Inspections, Staff Inspections, and other inspections as required)

**Proponent:**  
G-1

**Functional Area:**  
Army Weight Control Program

**Checklist Date:**  
8 April 2\_\_\_\_\_

**Inspecting Office:**

**Inspector / Phone:**

**Unit Inspected:**

**Date Inspected:**

**Unit Functional Area Representative:**

**Reference (s):** AR 600-9, The Army Weight Control Program, dated 10 June 2\_\_\_\_\_

1. Would you briefly explain the unit's weight-control program?

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

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2. Does the unit have the proper equipment available to weigh Soldiers and measure body-fat content?

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If not, why?

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3. Does the unit review weigh-in procedures to ensure that these procedures comply with AR 600-9?

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4. Does the unit place Soldiers who exceed the body-fat standards on a weight-control program?

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Is this weight-control program effective?

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5. Does the unit ensure that Soldiers who are in the weight-control program are flagged (DA Form 268) on a timely basis?

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6. Does the unit have procedures in place to weigh and measure monthly those Soldiers in the weight-control program?

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7. Does the unit have procedures in place to release Soldiers from the weight-control program once they meet the required body-fat standards?

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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?

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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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(e) **Guidelines for Unit Command Policy and Standing Operating Procedure (SOP) Review:** Guidelines for command policy review are nothing more than a list of considerations the Command IG and other RAV team members should keep in mind when reviewing and commenting upon command policy documents, unit SOPs, etc. These guidelines will vary greatly depending upon the Commanding General's or higher Commander's priorities for the unit and other factors, but the team must speak with one voice on these matters and provide consistent feedback to all unit representatives. These considerations will also assist the Command IG in his or her discussion with the unit Commander on command policy and other leadership-related topics. Examples of things to consider are as follows:

- Consistency with division, corps, and Army policy.
- Effectiveness of policy dissemination methods.
- Compressibility of the policy and SOPs.
- Internal consistency of the policies and SOPs (do they agree with or contradict each other?).
- General effectiveness of the policies and SOPs.
- Do the policies and SOPs represent reasonable expectations that the unit can achieve?
- Do they enable the unit to accomplish its mission?

(3) **Standard In-Briefing and Out-Briefing Formats:** The Command IG (or RAV team leader if not the Command IG) must always brief the unit leadership before the RAV begins. This initial briefing will come in the form of an in-briefing, which will outline the basic purpose and approach behind the RAV. Following the inspection, the Command IG will lead an out-briefing with each unit functional-area representative briefing the results of his or her own inspection with a readiness recommendation to the unit Commander for that functional area / system. In an effort to ensure uniformity and consistency, the RAV team must develop standard formats for these two briefings. Much of the basic inspection information that these briefings will include appear in the Detailed RAV Plan.

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

- (a) RAV Purpose
- (b) RAV Objectives
- (c) RAV Intent (should include a bullet that states that the RAV is a teaching-and-training event designed to help the unit re-establish its systems from within and is NOT an IG Inspection)
- (d) RAV Team Organization (to facilitate link-up with functional-area points of contact following the in-briefing)
- (e) RAV Methodology



(f) RAV Out-Briefing Concept (signals to the unit Commander that his or her staff members / functional-area representatives will actually conduct the out-briefing and the Command IG will only serve as the facilitator)

(g) Itinerary

(h) RAV Timeline (feedback due to the Commanding General, etc.)

**Out-Briefing Format:** The standard out-briefing will comprise two parts: The first part will offer refresher information from the in-briefing that reminds the unit leaders of the RAV's overall purpose and objectives, and the second part will include feedback on each functional-area by the unit's staff members and / or representatives. The out-briefing should include good news observations up front. The out-briefing format should include the following:

(a) RAV Purpose

(b) RAV Objectives

(c) RAV Intent (should include a bullet that states that the RAV is a teaching-and-training event designed to help the unit re-establish its systems from within and is NOT an IG Inspection)

(d) RAV Team Organization (to facilitate link-up with functional-area representative following the in-briefing)

(e) RAV Methodology

(f) Good News Observations (this slide can identify any good-news observations -- by name and unit if necessary -- that originate from the RAV team members or the unit representatives)

(g) Inspection Results by functional area using a standard format (these slides should not be overly detailed but instead should state the functional area and include bullets on what areas require improvement)

(h) Sensing Session Results (this slide -- or slides -- should provide unprocessed but unattributed comments taken directly from any command-directed sensing sessions but NOT from the command-climate sensing sessions; the EO team member will brief those results to the unit Commander privately in a separate forum)

(i) Summary Slide (this slide should quantify the number of functional-areas / systems re-established and identify the areas that will be the focus of a later follow-up visit by selected RAV team members to assist the unit in finalizing the readiness of those respective areas; the Command IG should further emphasize that although the RAV team will keep copies of the inspection results, the primary results remain with the unit and the individual unit staff members and / or functional-area representatives)

(4) **Equipment Inventories:** RAV teams should consider the following listed materials when preparing to conduct an RAV (some RAVs may require travel depending upon the unit's location and TRA):

- a. Smart book with:
  - RAV Directive
  - Concept Memorandum
  - Notification Memorandum
  - Detailed RAV Plan
    - Standard in-briefing and out-briefing formats
    - Command-climate sensing session questions
    - Surveys (required number of copies)
    - Telephone / email contact roster of RAV team members
- b. Security memorandum from the unit security manager (if applicable)
- c. IGAR (DA Form 1559) (10 copies) (for IG use only)
- d. IG official vehicle placard
- e. DD Form 1610 (if traveling)
- f. Government credit card (if traveling)
- g. ID card (or Common-Access Card)
- h. Identification tags
- i. Itinerary
- j. Plane tickets (if traveling)
- k. Lodging confirmation (if traveling)
- l. Rental car confirmation (if traveling)
- m. Passport (if traveling overseas)
- n. Country clearance (if traveling overseas)
- o. Immunization / shot records (if traveling overseas)
- p. International driver's license (from American Automobile Association) (if traveling overseas)
- q. Copies of all applicable standards and regulations (preferably on CD-ROM)
- r. Copies of all general inspection checklists (hard copy and CD-ROM)
- s. Laptop with CD drive and disks
- t. Cellular phone with power adapter (RAV team leader)
- u. Mobile wireless internet device (if issued)
- v. Desk-side briefing binder (if necessary)
- w. Office supplies (pens / markers / binder clips / stapler / tape / folders / highlighters)
- x. Briefing pointer
- y. Personal business cards

The team should conduct a full inventory of the required equipment prior to arriving for the RAV. The intent behind carrying these items is to reduce the RAV team's resource demands on the inspected unit.

(5) **Command-Climate Sensing Session Rehearsals:** The RAV team's EO member will facilitate all command-climate sensing sessions and should practice his or her introduction, room set-up, and overall technique before conducting the RAV. If the EO team member requires a recorder, that person will not be an IG since an IG is required to act on any allegations or issues that may arise during the session (the primary reason why IGs don't conduct these sensing sessions in the first place).

Rehearsals of this nature will help the EO team member and recorder (if used) refine their method of conducting the sensing session. The EO facilitators should also discuss his or her technique with the recorder to ensure that both individuals have the same focus and intent.

e. **Step 5 (Conduct the RAV):** The RAV team members will put into practice their methodology. The team will arrive at the unit ready to conduct an in-briefing and execute the itinerary developed in accordance with the Detailed RAV Plan. The physical output of this step is the out-briefing to the unit Commander.

(1) **General approach to functional-area teaching and training:** The general approach to conducting the visit will be to teach and train the unit's Commanders and staffs on their OIP responsibilities and then to link-up (before or after the in-briefing) the RAV team members with their respective staff members and / or unit functional representatives. Once the link-up occurs, the RAV team member must determine the proficiency and knowledge level of the functional-area representative. In some cases, the individual might be a brand new primary staff member (S-1, S-2, etc.) who has yet to serve in that capacity and may not have been trained to do so. Likewise, individuals responsible for areas such as equal opportunity or physical security may be junior in grade and know nothing about their responsibilities and have few or no records available. Once the RAV team member determines the level of expertise, he or she must spend time teaching -- through both verbal conversation and hands-on demonstration -- the standards that apply to the functional area and how to get that system up and running within the unit. Once the RAV team member is confident that the individual understands what the system requires, then he or she can help the individual develop or refine a general inspection checklist that will allow that person to inspect his or her own functional area and determine its current state of readiness. The RAV team member must not conduct the inspection for the individual since the whole point of the visit is to build unit confidence in its own internal abilities to maintain its systems and to demonstrate to the unit Commander that the staff is capable of meeting readiness requirements in all areas of the Command. The RAV team member will then use the results to help the unit staff member / representative in determining a short-term action plan that allows sufficient time to make corrections and improvements. This action plan will form the basis of any follow-up actions taken by the RAV team.

(2) **Developing and Presenting the Out-Briefing:** The RAV team and the unit representatives will normally meet at a time designated on the itinerary to prepare the out-briefing. This session should allow sufficient time to capture the results and for the Command IG to package the final briefing and rehearse it. The session should begin with the Command IG briefing the format to everyone and explaining how to complete the specific slides based on the information captured. The out-briefing will not include any feedback on the command-climate sensing sessions; the EO team member will provide this information to the unit Commander in a separate (and private) forum.

Normally, the Command IG will direct the RAV team members and unit representatives to complete an out-briefing shell located on a common computer drive. This approach will facilitate ease of compilation and allow the Command IG or other team member to organize the briefing and proof it for correctness and format. An example of a completed functional-area slide appears below:


**READINESS ASSISTANCE VISIT**

# Functional Area

## Battalion Safety Program

### CPT Jones, S-1

- **Safety and Occupational Health / HAZCOM**
  - SOP needs updating in accordance with AR 385-10
  - Need eye protection for battalion mechanics
  - Maintenance bays cluttered with boxes and other non-mission-essential equipment
  - Three of six emergency eye washes in the maintenance bays non-mission capable
  
- **Fire Safety**
  - Company fire safety officers not appointed on orders (two of four)
  - Bradley Fighting Vehicle external fire-extinguishers missing seals (12 out of 44)
  - Oily rags piled in company platoon bays (used for weapons cleaning)




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66<sup>th</sup> Infantry Division (M) and Fort Von Steuben

**Note:** The slides should not reflect any IG graphics or slide-master headings since the final product is not an IG record and should not be construed as such.

Slides that present the results of sensing-session information should follow the same format used for IG Inspection out-briefings as found in The Inspections Guide. Likewise, the RAV team may use some form of the In-Process Review (IPR) method used by IGs to develop out-briefings (also found in The Inspections Guide) if that approach will add more structure to the briefing's development.

Once the out-briefing is completed and proofed by the Command IG, the RAV team and unit representatives will rehearse the briefing to ensure synchronization and effective delivery. The Command IG will also compile copies of all completed general inspection checklists and other information-gathering tools (sensing-session question results, survey results, etc.) into a single binder for presentation to the unit Commander at the beginning of the out-briefing. The unit Commander can then refer to the detailed checklists for specific information on each of the functional areas in the Command as the out-briefing progresses.

The Command IG or unit Commander will also invite the unit Commander's Commander and the Commanding General to the out-briefing and any higher level staff members as necessary.

f. **Step 6 (Provide Results to the Directing Authority):** Providing the results to the Directing Authority may be a formal or informal event depending on the Commander's guidance. If the Directing Authority / Commanding General attended the out-briefing at the unit, this step may not be necessary. But if the Commanding General did not attend the out-briefing, then the RAV team should plan to conduct a full briefing using the same slides but with the RAV team members briefing in place of the unit representatives. The Command IG can also conduct a desk-side briefing with the Commanding General and address only the highlighted material. In each case, however, the RAV team must prepare for the Commanding General a briefing book that includes copies of the completed general inspection checklists and other information-gathering instruments. The Chief of Staff should be present at the briefing unless the Commanding General provides other guidance. The Command IG should always coordinate in advance with the Commanding General's office to determine the venue for the briefing and who should attend. Regardless of which approach the Commanding General selects, the physical output for this step is a briefing book for the Commanding General with the slides and completed evaluation instruments.

g. **Step 7 (Follow-Up):** The RAV team must schedule a follow-up visit with the unit about six to eight weeks following the original RAV. The follow-up RAV should be a one-day event and include only those team members who need to participate. The out-briefing to the unit should identify which areas will require follow-up assistance, so the Command IG should only bring those team members back to the unit to determine if additional training in the selected areas is necessary and to shepherd the selected units back through a re-inspection of those areas to determine the level of improvement since the last RAV. This follow-up action can take many forms given the unit's -- and the RAV team's -- operational tempo. RAV team members may also visit the unit individually over a period of time to perform their follow-up actions. In any case, once the Command IG receives a final report from each affected team member that the unit systems requiring follow-up are in fact functioning to standard, then the Command IG should contact the unit Commander by phone, in person, or email to determine if the Commander requires further assistance and to close out the RAV. The Command IG must also send a short update message to the Commanding General reflecting this same fact. At that point, the Directive and all authority that comes from that Directive expires.

## Section 3-4

### Engagement with U.S. Allies and Partners

- 1. Purpose:** This section provides examples of Inspector General interaction with allied and partner Inspectors General in support of a Directing Authority's priorities or when opportunities present themselves.
- 2. Engagement:** As stated in AR 20-1, paragraph 4-1, many U.S. allies and partners seek to enhance or develop their own inspector general systems in emulation of the U.S. Army in order to assist commanders (or ministers of defense) in gauging readiness and preventing corruption. Not only are many U.S. allied and partner inspectors general similar to their U.S. counterparts in task and purpose, a growing number of these inspectors general are actually trained at the U.S. Army Inspector General School (TIGS) and model their practices and procedures on U.S. Army IG policy. As the Army moves to implement an advise-and-assist force structure designed to enhance the warfighting capacity of U.S. allies and partners, IGs at all echelons must be prepared to (a) conduct engagement activities with their counterparts in order to demonstrate the effectiveness of an inspector general system, (b) assist allies and partners in standing up (or enhancing) their own internal inspections and oversight capabilities, and (c) share best practices with established allied and partner IGs.
- 2. Bi- and Multi-lateral Events:** IGs may host or attend bi- and multilateral events with allied and partner IGs to identify similar functions among participating IGs; identify areas of combined interest, such as training or inspections that might drive future combined IG operations; develop a means for rapidly sharing IG procedures and techniques across nations; and create a long-term plan for developing and training IGs on functional areas of similarity. From a practical perspective, Army IGs of all components must be prepared to help train allied and partner IGs to better conduct IG functions as tasked by their respective commanders or ministers of defense, particularly when these functions mirror U.S. Army IG policy. As an example, U.S. Army Europe (USAREUR) has a venue where IGs from across Europe meet annually for training workshops on areas of combined interest, such as conducting investigations, inspection planning, and providing IG assistance. According to the USAREUR IG, these are the three conference-validated areas that most European IGs have in common, and they are also the areas where training resources are most required to meet an increased demand. To this end, TIGS's public website maintains updated exportable training packages for all Army IG functions at <http://tigs-online.ignet.army.mil/> under the Digital Library tab.
- 3. Exercises:** IGs working together during bi- or multilateral exercises could consider conducting combined inspections in support of their Directing Authorities' priorities during combined exercises. These combined inspections can focus on functional areas with combined equities and include mutual cooperation, information sharing, and understanding. Moreover, these combined objectives can go a long way toward modeling for our allies how Army IGs enhance Army readiness.
- 4. The U.S. Army Inspector General School:** TIGS actively engages partner nations at the DAIG level by hosting visiting international partner delegations and sharing with them

the background, utility, and effectiveness of an inspector general system within a nation's armed forces and the professionalism that characterizes a military force willing to oversee its own readiness posture. Moreover, the school will continue to support the seating of international students in the IG Basic Course in direct coordination with U.S. Army Training and Doctrine Command's (TRADOC's) Security and Assistance Training Field Activity (SATFA). See AR 20-1, paragraph 4-2b (4), for more information.

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