UNITED STATES ARMY INSPECTOR GENERAL SCHOOL

THE INSPECTIONS GUIDE

DEPARTMENT OF THE ARMY INSPECTOR GENERAL AGENCY
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DEPARTMENT OF THE ARMY
OFFICE OF THE INSPECTOR GENERAL
1700 ARMY PENTAGON
WASHINGTON DC 20310-1700

MEMORANDUM FOR ALL U.S. ARMY INSPECTORS GENERAL

SUBJECT: The Inspections Guide

1. <u>The Inspections Guide</u> represents U.S. Army Inspector General (IG) doctrine for the planning, execution, and completion of all Army IG inspections. 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!

DONNA W. MARTIN
Lieutenant General, USA
The Inspector General

The Inspections Guide

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Pagination Key: This guide uses a pagination format that identifies the chapter, section and page in one single entry at the bottom (or footer) of each page. The format does not identify portions of the guide below the section level, so sub-sections are not included to avoid confusion. The following example and subsequent explanation serve as a key to the pagination format:

<div align="center">**3 - 4 - 18**</div>

The number "3" indicates the chapter.
The number "4" indicates the section within Chapter 3.
The number "18" indicates the page within Chapter 3, Section 4.

Note: The only variation to this format occurs with the appendices, when a chapter number is replaced with the appropriate letter for the appendix (for example, A - 6).

The Inspections Guide
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Summary of Change

This version of <u>The Inspections Guide</u> supersedes the October 2023 version. The major changes included in this version are as follows:

- Removes the terms sustainable readiness, sustainable readiness model, and sustainable readiness process (Section 2-3).

- Revises the functional modeling process and provides updated graphics / examples of functional modeling (Section 4-2).

- Adds guidance on the use of surveys and questionnaires (Section 4-2).

- Provides an updated example of Findings Section / Inspection Results (Section 4-3).

- Substitutes the term "gender" with "sex" and withdraws all references to gender ideology, per current senior leader guidance, throughout the guide.

- Makes minor grammatical, administrative, and other corrections throughout the guide.

Chapter 1
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Overview

Section 1-1 - Introduction

Section 1-2 - A Change in Inspection Approach

Section 1-3 - Evolution of Modern Inspection Policy

Section 1-1

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Introduction

1. **Purpose:** The purpose of this guide is to help inspectors at all levels within the Army prepare, conduct, and complete effective inspections. The U.S. Army Inspector General Agency's Inspector General School uses this guide to teach Inspections -- and the inspections process -- to prospective Inspectors General. However, inspectors not assigned to Inspector General duties may use this guide, in conjunction with The Organizational Inspection Program (OIP) Guide for Commanders, to conduct inspections throughout the Army. This version of The Inspections Guide replaces the October 2023 version.

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

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

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

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

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.

7. **Controlled Unclassified Information (CUI) Markings:** This guide provides multiple examples of IG documents that reflect current Army guidance on the use and placement of CUI markings. This guide omits CUI markings from those documents that are not CUI and generally releasable outside the Army IG system. However, the use of those markings in this guide should not deter an IG from marking a document as CUI if the situation requires it, even if samples of that same document in this guide do not display those markings. In all cases, follow Army guidance on CUI markings.

Section 1-2

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A Change in Inspection Approach

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

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

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

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

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

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

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

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

Section 1-3
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Evolution of Modern Inspection Policy

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

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

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

   b. **Organizational Assessment Program (OAP):** In 1988, the Army published FM 25-100, Training the Force. This manual reaffirmed the importance of effective training management. Leaders at all levels throughout the Army read the manual but failed to notice a new concept included in the publication. The manual encouraged Commanders to develop an "Organizational Assessment Program." According to FM 25-100, the Organizational Assessment Program (OAP) consisted of many information sources -- from personal observations to FTX after-action reviews to marksmanship scores. More importantly, the manual listed inspections of varying types as sources of evaluation data. The OIP developed a year later did not replace the OAP; the OIP became one of several potential sources of information a Commander could use to assess unit readiness. In October 2002, FM 25-100 was revised and re-published as FM 7-0; however, the requirement for Commanders to have an OAP remained unchanged. Today, OAP as a term has disappeared from the doctrinal lexicon, but the concept remains implicit throughout Army Doctrine Publication (ADP) 7-0.

   c. O**rganizational Inspection Program (OIP):** The 1989 revision of Army Regulation 1-201 subsequently placed the Command Inspection within the context of a larger, more comprehensive program called the Organizational Inspection Program

(OIP). The OIP had three major components: Command Inspections, Staff Inspections, and IG Inspections. However, few leaders within the Army understood this integrated concept of organizing all inspections within the realm of one overarching inspection program. By 1991, most units had written and implemented some form of CIP but had failed to modify that CIP to fit the new OIP policy -- the second generation.

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

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

Chapter 2

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Policy and Terminology

Section 2-1 - Inspections Publications

Section 2-2 - Marking IG Inspection Records

Section 2-3 - Key Terms

Section 2-1

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Inspections Publications

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

2. **Four Key Inspections Publications:** The Army's inspection policy and doctrine exist in four principal documents. Two of these documents are regulations while the third and fourth are users' guides, which are both only reference tools and not policy documents. The four publications are as follows:

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

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

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

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

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

        (d) <u>Instructive</u> to bridge gaps in knowledge and experience through teaching and training.

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

      (2) Defines inspection terms and inspection concepts.

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

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

      (5) Urges the integration of all inspections and audits, internal and external, to avoid needless duplication and to minimize the disruption of planned training. _This task_

requires more than simply monitoring an inspection schedule! Review the purpose and objectives of all proposed inspections as well!

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

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

      (2) Chapter 1 further charges The Inspector General with teaching "Army policy, procedures, systems, and processes to help inspected activities improve operations and efficiency and accomplish command objectives" (paragraph 1-4 a (11) (a)).

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

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

      c. **<u>The Inspections Guide:</u>** This guide represents IG Inspections doctrine and includes some prescriptive elements underwritten by Army IG policy. The guide contains:

      (1) Doctrine on how to execute the three-phased, 17-step Army IG Inspections process for conducting a Special Inspection of a systemic issue. This process can apply to any type of inspection. However, the guide covers the Inspections Process from the IG's perspective.

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

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

Section 2-2

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Marking IG Inspections Records

1. **Purpose:** This section consolidates and clarifies the marking of those IG records associated directly with Inspections in accordance with current Department of Defense and DAIG guidance.

2. **What is an IG Record?** According to Army Regulation 20-1, paragraph 3-1b, "Inspectors general records are documents that IGs produce through the performance of IG duties." During IG inspections, IGs generate numerous documents as part of the three-phased, 17-step IG Inspections process in addition to gathering documents as part of the unit visits. This section will describe which records generated by each step require marking and why.

3. **How to Mark:** IGs will use the acronym "CUI" to mark IG records as Controlled Unclassified Information in the header and footer in accordance with current DAIG guidelines for implementing the Department of Defense's CUI marking policy. Only the acronym "CUI" will appear in the header and footer and nothing else. The acronym will appear in 16 font (bold) at the top and bottom of each page. An example appears below:

CUI

The front pages of many IG documents (letters, memorandums, etc.), including the front pages of IG Inspection Reports, will include a CUI classification box with specific information. See DAIG's current CUI marking guidance for the proper format and which CUI category (or categories) the document falls under. An example appears below:

> **CONTROLLED BY: The Inspector General (SAIG-ZA)**
> **CONTROLLED BY: 66th Infantry Division (AFVS-IG)**
> **CUI CATEGORY: CTI**
> **DISTRIBUTION / DISSEMINATION CONTROL: FEDCON**
> **POC: MAJ Frank E. List, (123) 456-7890**

4. **When to Mark:** Inspectors General should properly mark and protect IG records as soon as practical. If the IG creates the document electronically, the IG should generate the header and footer simultaneously.

5. **Documents Gathered During Inspection:**
       Table 1 is a consolidation of examples of records mentioned within AR 20-1, Inspector General Activities and Procedures, and The Inspections Guide. The table is not all-inclusive but presents common records that IGs will use in the conduct of the Inspections functions.

Table 1 - Marking IG Inspections Records with CUI Header / Footer

IG Record	CUI Header / Footer	AR 20-1 Reference (paragraphs)	Inspections Guide Reference (pages)
Concept Memorandum	Yes	3-1b	4-2-8 thru 10
Concept Briefing	Yes	3-1b	4-2-11 thru 16
Inspection Directive	Yes	3-2d & 5-1h(1)	4-2-16 and 17
Notification Letter	Yes	3-2d	4-2-22 thru 25
Detailed Inspection Plan	Yes	3-2d	4-2-29 thru 36
Information Gathering Tools	Yes, when filled in	3-1b	4-2-38 thru 41
Documents Gathered During Inspection	Yes (Note 1)	3-1b & 3-1c	4-2-41
Trip Reports	Yes	3-1b	4-3-2 thru 6
Unit In-briefing	Yes	3-2d	4-2-42
Unit Out-briefing	Yes (Note 2)	3-1b, 5-1j & 5-1k	4-2-42, 43, and 4-3-11 thru 18
IPR Worksheet	No (Note 1)	3-1b	4-3-8, 9, and 10
Trends Analysis	No (Note 1)	3-1b	4-3-8, 9, and 18
Mid-Inspection Update Briefing	Yes	3-1b	4-3-20
Out-briefing to Commander (Directing Authority)	Yes	3-1b, 3-4c, & 5-1k	4-4-2
Final Report	Yes	1-12e(1), 3-1b, 3-4c, & 5-2a	4-3-21 thru 33, 4-4-4 thru 6, and 4-4-8

Note 1. IGs must mark documents that contain unit or individual identifying information. If the document does not contain unit or individual identifying information, then marking is not required. For documents obtained from a unit as part of an Inspection, the owning organization will still maintain release authority for those documents (see paragraph 3-1c in Army Regulation 20-1).

Note 2. IGs must mark unit out-briefing slides or other documents that contain unit or individual identifying information for the purposes of identifying best practices.

Section 2-3

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Key Terms

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

2. **Inspection:** An inspection is an evaluation that measures performance against a standard and that should identify the cause of any deviation. All inspections start with compliance against a standard. Commanders tailor inspections to their needs.

3. **Organizational Inspection Program (OIP):** The OIP is a Commander's, program manager's, and director's program that integrates and coordinates Command Inspections, Staff Inspections, and IG Inspections within the command or state. The overarching purpose of the OIP is to coordinate inspections and audits into a single, cohesive, well-synchronized program focused on command objectives in order to identify, prevent, and eliminate problem areas. The three major goals of the OIP are as follows:

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

      b. Reinforce established inspection standards.

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

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

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

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

the results and feedback process with the inspected unit or Commander. The Command Inspection has two sub-categories as follows:

(1) **Initial Command Inspections:** Initial Command Inspections (ICIs) are required for every new company-, troop-, battery-, or detachment-level Commander. The initial command inspection for companies of all components -- active, Army National Guard of the United States, and the U.S. Army Reserve -- will occur within the first 90 days of assumption of command for the active-component and 180 days for the reserve component (Army Regulation 1-201, paragraph 3-3c). The ICI ensures that the Company Commander understands the unit's strengths and weaknesses. The Company Commander's rater -- the Commander who hosted the ICI -- should use the inspection results to help set goals for that new Company Commander. Commanders cannot use the ICI results to evaluate the Company Commander or compare units. The new Company Commander is the only one who receives the results; however, the IG may request a copy of a generic, non-attributive set of the results to look for any patterns and trends.

(2) **Subsequent Command Inspections:** Subsequent Command Inspections (SCIs) *will* occur after the Initial Command Inspection (ICI). The purpose of this inspection is to measure progress and reinforce goals and objectives established by the inspecting commander after the ICI. Unlike the ICI, the senior commander may use the SCI results to evaluate the company, troop, battery, or detachment commander. SCIs are in keeping with the followed-up and corrective-actions-taken principle of Army inspections as outlined in AR 1-201, paragraph 2-2e. SCIs will normally occur not later than one year after completion of the new commander's ICI.

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

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

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

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

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

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

6. **Quick-Look Inspections:** *Quick-Look inspections do not exist.* Quick-Look Inspection is a term often used in the field to describe an IG inspection that must follow a compressed timeline or examine a narrowly defined topic. A Quick-Look Inspection is neither an inspection category nor an inspection type but is simply a term that surfaced years ago when IGs in the field attempted to describe -- or categorize -- a short-fused inspection that had to occur immediately. Some IGs have even described Quick-Look Inspection programs designed to look at some very narrow topics in a short period of time. In any case, Quick-Look Inspection is an unofficial term and has no specific meaning in the Army IG system. A 'super-special' Inspections Process does not exist for Quick-Look Inspections. IGs still use the same Inspections Process outlined in this guide for compressed inspections; however, the IGs may have to skip parts of some steps -- or some steps entirely -- to facilitate the shortened timeline.

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

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

organization's ability to correct at the local level. Command and staff inspections are generally compliance inspections by nature.

9.   **Staff Assistance Visits (SAVs):** Staff Assistance Visits are not inspections but fall within the realm of Staff Inspections. Staff sections conduct Staff Assistance Visits to assist, teach, and train subordinate staff sections on how to meet the standards required to operate effectively within a particular functional area. SAVs can occur at the discretion of the Commander, or a staff principal at any level can request a SAV from the next higher staff echelon. Staff Assistance Visits can prepare staff sections for upcoming inspections or train staff sections on new concepts, technologies, or operating techniques. SAVs do not produce reports but instead provide feedback only to the staff section receiving the assistance.

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

11.   **Finding Statement:** A finding statement is a single, well-focused, well-structured sentence that captures the true essence of the finding. <u>This sentence must be able to stand alone</u>. You will base your finding statement (or statements) on the preponderance of information you gather about a particular Sub-Task. Multiple finding statements are possible for one Sub-Task, but they must refer directly to that Sub-Task.

12.   **Handoff:** Handoff is the transferring of a verified finding to an agency or command (generally of a higher level) that can correct the problem. Handoff may occur vertically up the chain or laterally across command lines. The finding must be beyond the current command's ability to correct (such as two Department of the Army-level regulations conflicting with each other). The handoff may occur through command channels or IG technical channels using a transmittal letter signed by the Commander or -- if authorized -- the IG. The initiating IG office will enter the finding into IGARS as an Assistance Case and refer the IGAR to the next higher IG office. The IG offices receiving the handoff IGAR will treat the handoff as a request for assistance and accept and complete the IGAR.

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

14.   **Root Cause:** The root cause of a problem or issue is the reason why something was deficient. Finding the root cause of a problem is part of all Army inspections

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

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

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

Chapter 3

Approaches to Inspections

Section 3-1

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Inspection Approaches

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

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

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

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

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

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                    ┌──────────┐
                    │  Human   │
                    │   Body   │
                    └──────────┘
 ┌────────┐ ┌────────┐ ┌──────────┐ ┌────────┐ ┌────────┐
 │ Lungs  │ │ Heart  │ │ Stomach  │ │ Bones  │ │ Nerves │
 └────────┘ └────────┘ └──────────┘ └────────┘ └────────┘
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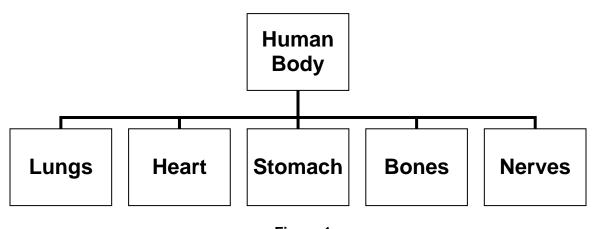
Figure 1

Structural Model

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

     Functional inspections based upon a systems approach tend to be Special IG or Staff Inspections that are narrow in focus and aimed at broader-based issues that affect more than one unit or structure -- or human body as mentioned in the previous example. IGs prefer this approach because the narrow scope allows them to take a systemic look at a topic, function, issue, or problem area and then determine the root causes of the deficiencies. Fixing the system -- or a particular system -- is the goal.
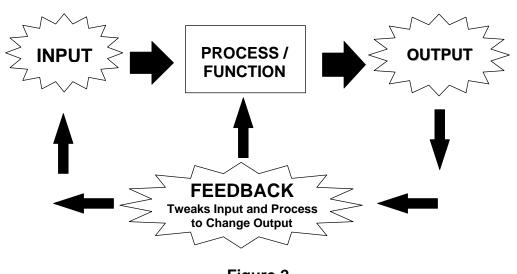
Figure 2

Systems Model

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

Section 3-2

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Basic Elements of an Inspection

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

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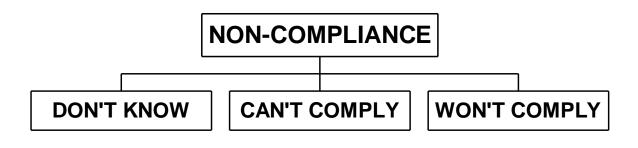hed standards to ensure that the Army -- as a whole -- can function effectively in its combat role. The notion of "black-hat" and "white-hat" inspections has no place in inspections parlance. In the past several years, leaders at all levels have oversimplified the notion that IGs conduct "white-hat"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

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

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

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

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

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

Section 3-3
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Root Cause Analysis Model

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

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

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

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

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

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

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                    ┌─────────────────────────┐
                    │     NON-COMPLIANCE      │
                    └─────────────────────────┘
           ┌────────────────┬─────────────────┐
  ┌─────────────┐  ┌─────────────┐  ┌─────────────┐
  │ DON'T KNOW  │  │ CAN'T COMPLY│  │ WON'T COMPLY│
  └─────────────┘  └─────────────┘  └─────────────┘
```

DON'T KNOW	CAN'T COMPLY	WON'T COMPLY
1. Never Knew	1. Scarce Resources	1. No Reward
2. Forgot	2. Don't Know How	2. No Penalty
3. Task Implied	3. Impossibility	3. Disagree?

Figure 1

Root Cause Analysis Model

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

        a. **Don't Know**.

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

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

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

      b. **Can't Comply**.

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

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

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

      c. **Won't Comply**.

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

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

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

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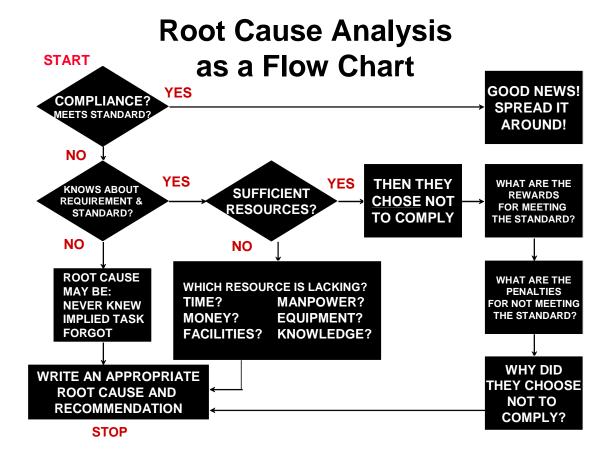
Root Cause Analysis as a Flow Chart

START

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

NO

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

NO (Knows about requirement)

NO (Sufficient resources)

ROOT CAUSE MAY BE: NEVER KNEW IMPLIED TASK FORGOT

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

WHAT ARE THE PENALTIES FOR NOT MEETING THE STANDARD?

WRITE AN APPROPRIATE ROOT CAUSE AND RECOMMENDATION

WHY DID THEY CHOOSE NOT TO COMPLY?

STOP

Figure 2

Root Cause Analysis Model Flow Chart

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

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

Step 1: Begin with a problem statement. The IG considers the problem in a simple and brief way without assigning blame or assuming the answer. If the issue is complex, be sure to define the scope of the problem, i.e., what is included and what is not. A good problem statement may be "NBC equipment is overdue calibration".

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

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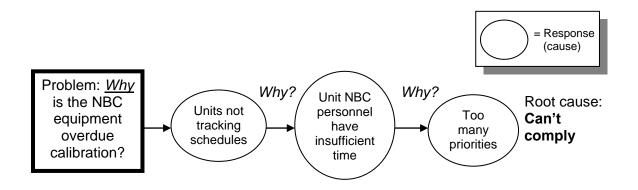

Figure 3

Simple Example of Five-Why Analysis

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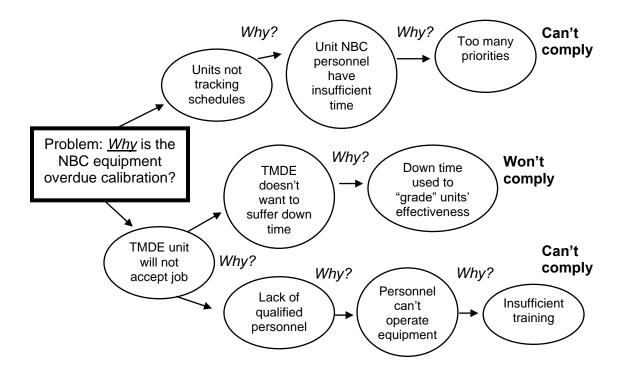
Figure 4

Complex Example of Five-Why Analysis

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

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

Section 3-4

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The Inspection Selection Process

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

2. **Selecting Inspections:** Inspection planners should always plan inspections by keeping the precepts of long-range planning in mind as outlined in ADP 7-0, Training Units and Developing Leaders, or in accordance with current Army guidelines. But inspection planning can also become a delicate balancing act between long-range planning and remaining flexible enough to respond to the Commander's changing needs.

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

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

5. **Determining Inspection Topics:** An IG -- or any inspector -- can develop inspection topics using a number of sources. Some obvious sources are those inspections conducted at the Commander's direction or inspections required by law or regulation. Some subordinate-unit Commanders may suggest topics based upon problems that are occurring at the lower echelons. The IG should also review the Annual Training Guidance, local Command Policy and Goals, the Command Vision, and

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

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

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

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

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

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

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

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

    f. **Step 6: Notify the command:** Publish the inspection list and inspection schedule using a separate memorandum or simply include the inspection topics in the

Commander's long-range training plan, usually published in May or June for the upcoming fiscal year. Another effective technique is to brief the inspection list and schedule during Training Briefings (also known as Quarterly Training Briefings [QTBs] or Semi-Annual Training Briefings [SATBs]). Be sure to mention the types of units that you intend to visit as part of each inspection so that Commanders at all levels can plan accordingly. You do not have to select the units up front, however.

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

The Inspection Selection Process
Generate a list for your Commander's approval.

1. DETERMINE COMMANDER'S PRIORITIES

CONSIDER THE COMMANDER'S GUIDANCE AND CURRENT TRENDS

2. ANALYZE INFORMATION

4. COMMANDER APPROVES LIST

3. DEVELOP THE LIST

1. OIP
2. Risk Management
3. Force Protection
4. Property Accountability

5. SCHEDULE

			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

6. NOTIFY THE COMMAND / PUBLISH THE LIST
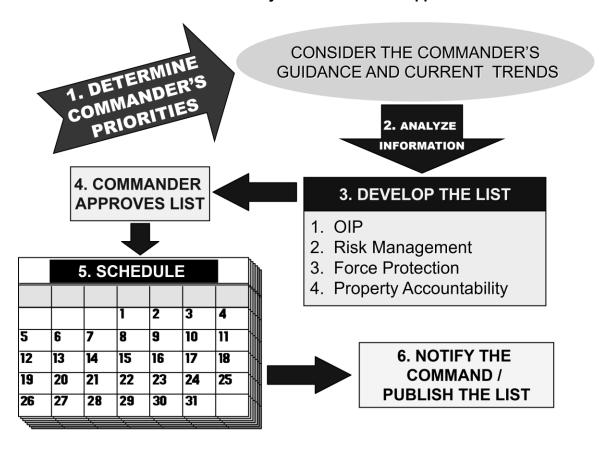
Figure 1

Inspection Selection Process Flow Chart

Chapter 4

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The Inspections Process

Section 4-1

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The Inspections Process

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

2. **The Inspections Process:** The Inspections Process is a sequential planning and management tool that allows IG inspectors to plan and conduct inspections. Army Regulation 20-1, <u>Inspector General Activities and Procedures</u>, outlines in paragraph 5-1 the three inspection phases as well as the prescriptive provisions of the 17-step process. Although the process was designed for IGs, any inspector conducting Army inspections can use the process -- or some form of the process -- to plan and conduct inspections at all levels.

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

   a. **Phase One: Preparation**

   b. **Phase Two: Execution**

   c. **Phase Three: Completion**

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

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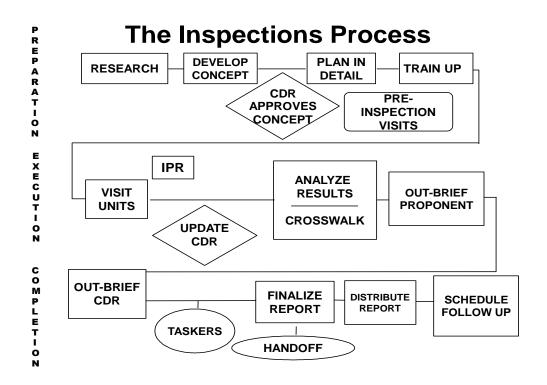

Figure 1

The Inspections Process Chart

Section 4-2
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The Preparation Phase

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

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

      a. **Step 1: Research**

      b. **Step 2: Develop the Concept**

      c. **Step 3: Commander Approves the Concept**

      d. **Step 4: Plan in Detail**

      e. **Step 5: Train Up**

      f. **Step 6: Pre-Inspection Visits**

The Inspections Process

Phase One: The Preparation Phase
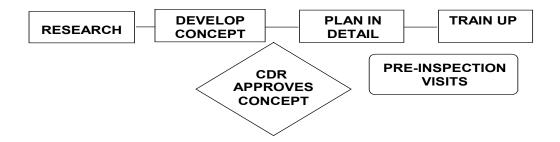

Figure 1

The Inspections Process: Phase1

Section 4-2
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The Preparation Phase
Step 1: Research

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

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

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

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

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

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

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

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

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

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

(1) *Functional Modeling***:** Functional modeling graphically depicts the decisions, actions, and activities of a system, function, program, or process in order to

describe and understand its functional aspects. By mapping out these functions and the elements required to perform them, the IG can "see" the complete picture of the inspection topic and its related system. Directly involving the proponents and SMEs with whom you have consulted in your earlier research will greatly benefit this analysis. This process begins as a brainstorming session, so having your inspection team and SMEs use a dry-erase board or chalkboard to capture the information is a good idea. Beginning with the data derived from your literature review, publications review, and SME interviews, the IG team starts grouping together the activities that are closely related or functionally similar. Through the grouping process, you will see a logical flow and hierarchies of functions within the process begin to emerge. Your team can illustrate the relationships and hierarchy of these functions by creating flow charts.

System / Program / Process

Controls: Laws, regulations, policies, etc., that govern the process -- include proponent

↓

Inputs: People, systems, facilities, or equipment to be transformed during the process

↓

Mechanisms: Specific activities necessary to perform the process (i.e., transform the inputs into the output)

Who	**What**

↓

Output: Desired result of the system / program / process

Figure 2

Functional Modeling

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

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

- **Inputs** – Elements transformed by the activity or process. Inputs normally include people, systems, facilities, or equipment.

- **Mechanisms** – Those things that are necessary to perform or accomplish the activity. Mechanisms are the specific "who" does "what" within the system or process.

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

The following example is a functional model for an OIP in the notional 66th Infantry Division.
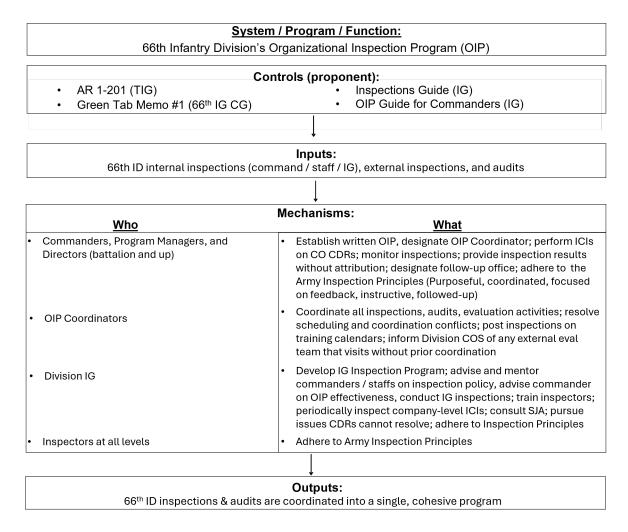
System / Program / Function:
66th Infantry Division's Organizational Inspection Program (OIP)

Controls (proponent):	
• AR 1-201 (TIG)	• Inspections Guide (IG)
• Green Tab Memo #1 (66th IG CG)	• OIP Guide for Commanders (IG)

Inputs:
66th ID internal inspections (command / staff / IG), external inspections, and audits

Mechanisms:	
Who	**What**
• Commanders, Program Managers, and Directors (battalion and up)	• Establish written OIP, designate OIP Coordinator; perform ICIs on CO CDRs; monitor inspections; provide inspection results without attribution; designate follow-up office; adhere to the Army Inspection Principles (Purposeful, coordinated, focused on feedback, instructive, followed-up)
• OIP Coordinators	• Coordinate all inspections, audits, evaluation activities; resolve scheduling and coordination conflicts; post inspections on training calendars; inform Division COS of any external eval team that visits without prior coordination
• Division IG	• Develop IG Inspection Program; advise and mentor commanders / staffs on inspection policy, advise commander on OIP effectiveness, conduct IG inspections; train inspectors; periodically inspect company-level ICIs; consult SJA; pursue issues CDRs cannot resolve; adhere to Inspection Principles
• Inspectors at all levels	• Adhere to Army Inspection Principles

Outputs:
66th ID inspections & audits are coordinated into a single, cohesive program

Figure 3

Functional Model of the 66th Infantry Division Organizational Inspection Program

(2) ***DOTMLPF Analysis***: Much like the human body requires several different support systems (skeletal, cardiovascular, nervous, respiratory, digestive, reproductive, immune, etc.) working together to perform its multitude of functions, military activities and operations require various support systems to keep them working effectively. The IG can analyze the support systems of any inspection topic by addressing the categories of *doctrine, organization, training, material, leadership, personnel, and facilities* (DOTMLPF). The IG can also apply the DOTMLPF analysis to gain a holistic understanding of the inspection topic. This DOTMLPF approach is particularly useful in determining some key aspects of your inspection subject upon which to focus that may evolve into your inspection objectives, especially when indicators that might help guide your development of objectives are missing. Your analysis session is pure brainstorming among the IG team to associate the requirements identified during the preliminary research by DOTMLPF categories and to develop some potential objectives for further consideration. As with the function modeling, the IG should not attempt to conduct the DOTMLPF analysis without consulting the SME / proponents related to the inspection topic. Lastly, the DOTMLPF approach is most useful when the Army system in question lacks adequate policy or doctrine to define it. In these cases, the IG inspection team may use DOTMLPF to fill in gaps in the system that are missing. Naturally, many of the recommendations in the final report will specify precisely how these gaps should be addressed in policy or doctrine in order to make the system, program, or function complete.

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

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

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

g. Develop Inspection Objectives. The IG team should start developing objectives by again referring to any command guidance received to this point to identify important concerns or issues for the objectives. You can also use the function modeling and DOTMLPF to identify high-impact requirements and activities that deserve consideration for objectives. The inspection team may develop as many objectives as necessary to accomplish the intent of the inspection as outlined by the Commander. However, as a general rule, the team should develop three (3) but no more than five (5) objectives per inspection. Three to five objectives are sufficiently manageable for a team to break down into quantifiable Sub-Tasks.

An Inspection Objective should be clear, concise, and capture the essence of what the team wants to learn. Use active verbs to explain what the team wants to

capture with that topic. The objectives can be broad in nature or focus on a specific issue where only one standard applies. Here are two examples:

Objective 1: Assess the effectiveness of post-accident Risk Management procedures to determine if units are learning lessons from previous accidents.

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

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

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

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

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

Section 4-2

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The Preparation Phase
Step 2: Develop the Concept

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

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

      a. **Purpose** (purpose of the inspection developed during the research step)
      b. **Objectives** (developed previously during the research step)
      c. **Scope** (describes the team's intended task organization and the number of units or installations the team plans to visit – see paragraph 3, below)
      d. **Focus** (mentions whether the inspection is a general, special, or follow-up inspection and describes the basic intent of the inspection as viewed by the inspection team)
      e. **Timeline** (outlines the key milestone dates from the time the Commander signs the Inspection Directive to the completion of the Final Report)
      f. **Timing of Feedback** (discusses the nature of the feedback that each inspected unit or location will receive from the team and may include a comment about when the Commander can expect a mid-inspection update if necessary)
      g. **Notification** (explains how the inspection team plans to notify the inspected units)

3. **Sampling Size Considerations:** IGs should always select a sampling size that best supports the amount of information required and the organization's overall unit population. There is no single right answer; experience and research will help IGs make a proper determination of the sampling size that best supports the systemic issue under inspection. As a rule of thumb, and based upon past IG experience, IGs should select no less than **25 percent** as a minimum sampling size. Naturally, more is better, but more units to visit means more time to complete the inspection. Generally, the best sampling sizes are somewhere between **25 to 50 percent**. IGs should plan to discuss sampling sizes with the Directing Authority during the Concept-Approval Briefing in Step 3.

4. **Sample Inspection Concept Memorandum:** A sample Inspection Concept Memorandum appears below.

CUI

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

AFVS-IG   22 June ____

MEMORANDUM FOR THE COMMANDING GENERAL, 66th INFANTRY DIVISION AND FORT VON STEUBEN

SUBJECT: Inspection Concept for the Force Protection Inspection

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

2. OBJECTIVES:

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

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

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

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

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

5. TIMING OF FEEDBACK: The Chief, Inspections Branch, will conduct a mid-inspection briefing with the Commanding General followed by a final-report briefing at the conclusion of the inspection. During the conduct of the inspection, each team will

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provide the inspected unit with immediate -- but general -- feedback following the visit in the form of an out-briefing. This out-briefing will capture the salient points of the team's preliminary findings and articulate in detail those results that may require immediate action.

6.   TIMELINE:

      a.   Gain Commander's approval of the concept: 24 June
      b.   Send Notification Letter: 20 July
      c.   Send Detailed Inspection Plan to Units: 20 August
      d.   Visit first unit or staff section: 20 October
      e.   Visit last unit or staff section: 10 November
      f.   Final results to the Commander: 30 November
      g.   Final written report complete: 10 December

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

FRANK E. LIST
MAJ, IG
Chief, Inspections Branch

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Section 4-2

The Preparation Phase
Step 3: Commander Approves the Concept

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

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

CUI
Force Protection Program

Decision Briefing

Inspector General
Special Inspection
of the
Force Protection Program

20 October to 10 November _____

CONTROLLED BY: The Inspector General (SAIG-ZA)
CONTROLLED BY: 66ᵗʰ Infantry Division (AFVS-IG)
CUI CATEGORY: CTI
DISTRIBUTION / DISSEMINATION CONTROL: FEDCON
POC: MAJ Frank E. List (123) 456-7890

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

CUI
Force Protection Program

Purpose

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

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

Outline

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

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

CUI
Force Protection Program

Inspection Purpose

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

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

CUI
Force Protection Program

Inspection Objectives

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

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

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

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

CUI
Force Protection Program

Scope

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

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

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

CUI
Force Protection Program

Focus

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

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

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

CUI
Force Protection Program

Timing of Feedback

• The Chief, Inspections Branch, will conduct a mid-inspection briefing with the Commanding General followed by a Final Report briefing at the conclusion of the inspection.

• During the conduct of the inspection, each team will provide the inspected unit with immediate – but general – feedback in the form of an out-briefing.

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

CUI
Force Protection Program

Timeline

• Send the Notification Letter –	**20 July**
• Send the Detailed Inspection Plan to the units –	**20 August**
• Visit first unit –	**20 October**
• Visit last unit –	**10 November**
• Final results to the Commanding General –	**30 November**
• Final written report complete –	**10 December**

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

CUI
Force Protection Program

Approval

- **Do you approve of this inspection concept, sir?**

- **Please sign the Inspection Directive.**

- **Do you have any additional guidance for the inspection, sir?**

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

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

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

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

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

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

A sample Inspection Directive is located on the next page.

CUI

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

AFVS-IG   24 June ____

MEMORANDUM FOR THE INSPECTOR GENERAL

SUBJECT: Directive for Inspection (Force Protection Program)

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

2.   The inspection will focus on the following objectives:

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

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

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

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

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

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

                              MOTTIN De La BLAME
                              Major General, USA
                              Commanding

CUI

Section 4-2

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The Preparation Phase
Step 4: Plan in Detail

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

    a. Sub-Tasks for each Inspection Objective

    b. Methodology

    c. Notification Letter

    d. Detailed Inspection Plan

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

    a. <u>Interviews</u> with key leaders or personnel.

    b. <u>Sensing sessions</u> with enlisted Soldiers, NCOs, and officers.

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

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

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

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

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

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

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

Sub-Task 1.1: *Interview* brigade and battalion commanders and OIP Coordinators to determine if they understand the requirements and intent of the division's Force Protection Program.

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

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

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

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

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

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

The completed Sub-Tasks will later form the basis for the findings that the inspection team will generate during the Execution and Completion Phases of the Inspections Process. The inspection team will develop no less than one finding statement per Sub-Task. The sum of these findings statements for each Sub-Task will form the basis for the final response to each Inspection Objective. However, the IG inspection team must remember that Sub-Tasks are an IG tool that the team can

manipulate, refine, combine, or delete as necessary during the inspection process. The team should refrain from making these changes haphazardly since the Sub-Tasks are the mechanisms that drive the gathering of information during the inspection.

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

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

<u>Team A</u>	<u>Team B</u>
MAJ List (IG)	CPT Numero (IG)
MSG Smith (Assistant IG)	SFC Bergerac (Assistant IG)
SFC Purple (augmentee)	Mr. White (augmentee)

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

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

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

- Commander / XO / CSM / S-3 or equivalent **(MAJ List / CPT Numero - Interviewers)**
- Company-grade officers **(MSG Smith / SFC Bergerac - Sensing Session)**

- Company Commanders and First Sergeants **(MSG Smith / SFC Bergerac - Sensing Session)**
- NCOs (E-5 to E-7) **(MSG Smith / SFC Bergerac - Sensing Session)**
- Unit Force Protection Officers **(MAJ List / CPT Numero - Interviewers)**

(2) **Documents to Review (Conducted by augmentees from G-3):**

- Unit SOPs relating to Force Protection
- Unit Force Protection programs and policies
- Unit Force Protection Plans for accomplishing critical tasks
- Results of any previous Force Protection inspections or assessments, to include results used as lessons learned
- AARs of previous Force Protection exercises
- Appointment orders for Force Protection Officers and alternates

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

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

Note: All team members will observe training as available.

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

0800-0815	In-Brief Commander and Unit Leaders
0830-0930	Interview Commander
0830-1000	Sensing Session with Company Commanders and First Sergeants
1000-1130	Review Documents
0930-1030	Interview XO or S3
1030-1130	Interview CSM

1300-1400	Observe Force Protection events (as available)
1300-1430	Sensing Session with NCOs
1400-1530	Observe Force Protection events (as available)
1530-1630	Inspection Team In-Process Review (IPR)
1645-1715	Out-Brief Commander and Unit Leaders

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

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

      (1) **Background:** Background information about the inspection's origin

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

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

      (4) **Inspection Objectives:** List the objectives in their final version.

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

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

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

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

After the Inspection Notification Letter is an example of the notification in an OPORD format.

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

AFVS-IG   20 July ____

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Notification of the Inspector General Force Protection Inspection

1.   BACKGROUND: On 20 June ____, the Commanding General directed the Inspector General to conduct a Special Inspection of Force Protection in the 66th Infantry Division and Fort Von Steuben. The Commanding General signed the Inspection Directive on 24 June ____ (see enclosure).

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

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

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

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

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

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

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

5.   METHODOLOGY: The baseline methodology for this inspection is as follows:
   a.   In-brief the unit leaders and staff members.
   b.   Review relevant documents related to Force Protection.
   c.   Observe scheduled Force Protection events as available.
   d.   Survey Commanders, Executive Officers, Operations Officers, Command Sergeants Major, First Sergeants, and NCOs through interviews and sensing sessions.
   e.   Out-brief the unit leaders and staff members and provide general feedback.

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

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

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

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

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

Encl   ALBERT R. RIGHTWAY
Inspection Directive   LTC, IG
                                                    Inspector General

DISTRIBUTION:
Commander, 1st Brigade Combat Team
Commander, 66th Aviation Brigade
Commander, 66th Sustainment Brigade
Commander, 2nd Battalion, 66th Infantry
Commander, 3rd Battalion, 66th Infantry
Commander, 5th Battalion, 66th Infantry

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Commander, 1st Battalion, 79th Armor
Commander, 3rd Battalion, 60th Field Artillery
Commander, 2nd Battalion, 66th Aviation
Commander, 66th Personnel Services Battalion
Commander, 5th Squadron, 6th Cavalry
Commander, Division Special Troops Battalion

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HQ, 66th INF DIV & Fort Von Steuben
Fort Von Steuben, VA 12345
201248 Sep XX

OPERATIONS ORDER XX-09-123 (IG SPECIAL INSPECTION OF THE FORCE PROTECTION PROGRAM)

References:

  a. (CUI) Army Regulation 525-13 (17 February 20XX).
  b. (CUI) U.S. Army Installation Management Command Force Protection OPORD #XX-001, including FRAGOs 1-5.
  c. 66th Infantry Division Policy Letter Number 12, Force Protection.
  d. U.S. Army Garrison Fort Von Steuben Force Protection Plan.

Time Zone Used Throughout Order: Local.

Task Organization: Omitted.

1.   SITUATION. On 20 June 20XX, the 66th Infantry Division (IN DIV) and Fort Von Steuben (FVS) Commanding General (CG) directed the 66th IN DIV and FVS Inspector General (IG) to conduct a special inspection of the Force Protection Program throughout the 66th IN DIV and FVS in order to determine the effectiveness of that program. The Commanding General signed the Inspection Directive on 24 June 20XX (Enclosure 1). The objectives for this inspection are to:

    a.   Determine if leaders at all levels throughout the division understand – and can implement – the division's Force Protection Program.
    b.   Determine if division, post, and tenant units are conducting adequate Force Protection training.
    c.   Determine if the division, post, and tenant units are implementing the Commanding General's critical Force Protection tasks as outlined in 66th Infantry Division Policy Letter Number 12, Force Protection.

2.   MISSION. The 66th IN DIV and FVS IG conducts a special inspection of the Force Protection Program for selected 66th IN DIV and Fort Von Steuben units from 20 October to 10 November 20XX in order to fulfill the requirements of the CG's directive.

3.   EXECUTION.

    a. Concept of Operations. Each inspection will begin with an in-briefing to the Unit Commander. Upon completion of the in-briefing, the IG will conduct individual interviews with the Commanders, executive officers, operations officers, Command Sergeants Major, and First Sergeants. Also, the IG will conduct sensing sessions with platoon leaders and non-commissioned officers, will review relevant documents related to Force Protection, and

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will observe scheduled Force Protection events as available. The inspection will end with an out-briefing to the Unit Commander in order to provide feedback. The IG will consolidate findings for all units and brief the CG on or about 30 November 20XX in accordance with the signed directive at Enclosure 1. The results of this inspection will be contained in a written report distributed throughout the division and installation following the Commanding General's approval of the results on or about 10 December 20XX.

   b.   Task to Selected Fort Von Steuben Units. **1st Brigade Combat Team (Staff and HHC), 66th Aviation Brigade (Staff and HHC), 66th Sustainment Brigade (Staff and HHC), 2-66 Infantry Battalion, 1-79 Armor Battalion, 5-66 Infantry Battalion, 3-60 Field Artillery Battalion, 2-66 Aviation Battalion, 66th Personnel Services Battalion, 5-6 Cavalry Squadron, Division Special Troops Battalion, and 3-66 Infantry Battalion:** Provide support to the IG inspection as identified in the Detailed Inspection Plan (Enclosure 3 – to be published on or about 20 August 20XX).

   c.   Coordinating Instructions.

      (1) Upon receipt of this order, tasked units must provide the name of a single POC to the IG POC listed below in order to coordinate and schedule inspection requirements.

      (2) Tasked units must complete the Sample Itinerary Schedule (Enclosure 2) and return it to the IG POC NLT 10 days prior to the date of the inspection. Each POC will be authorized to facilitate direct coordination with the IG POC for their unit's chosen dates within the inspection window.

      (3) Units must coordinate specific in- and out-briefing requirements with the IG POC.

4. SUSTAINMENT. Omitted.

5. COMMAND AND SIGNAL.

   a. Command. Omitted.

   b. Signal.

      (1) 66th INF DIV IG POCs are MAJ Frank List at (540) 802-0603 or MSG James Smith at (540) 802-0001.

      (2) 66th INF DIV G3 POC is MAJ Ignacio Tudor at (540) 802-6803.

ACKNOWLEDGE:

OFFICIAL: DE LA BLAME
KEEN   MG
G3

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ENCLOSURE 1: INSPECTION DIRECTIVE
ENCLOSURE 2: SAMPLE INSPECTION ITINERARY
ENCLOSURE 3: DETAILED INSPECTION PLAN (TBP)

DISTRIBUTION: S

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

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

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

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

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

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

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

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

sample Detailed Inspection Plan for an example). This section should also outline all classroom and interview location requirements.

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

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

j. **Document Requests**: This paragraph should list all the documents IGs will review as part of the inspection. In most cases, the team will want to review a unit or agency's more significant documents -- SOPs, policies, training guidance, etc. -- prior to arriving at the inspection location. This paragraph should explain precisely what documents the team must review before the unit visit and how the unit or agency should send them (FedEx, email, regular mail, and so on). The documents should arrive with the first draft of the itinerary. IGs should make it clear that the remaining documents will be part of the document review conducted on the day of the unit visit and should be ready and available during the time specified on the itinerary.

k. **Resources:** This paragraph should explain to the unit or agency how the IG team plans to travel to the location (plane, rental car, TMP van, etc.). The team must also explain any individual equipment limitations as necessary. For example, the team members may have Advanced Combat Helmets (ACHs) and Fighting Load Carrier (FLC) equipment available for visiting field sites but may not have proper cold-weather gear, Interceptor Body Armor (IBA), sleeping bags, or other items that the team may need for certain events.

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

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

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

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

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

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

AFVS-IG										20 August ____

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Detailed Inspection Plan for the Inspector General Force Protection Inspection

1.   DIRECTIVE: On 20 June ____, the Commanding General directed the Inspector General to conduct a Special Inspection of Force Protection in the 66th Infantry Division (INF DIV) and Fort Von Steuben (FVS). The Commanding General signed the Inspection Directive on
24 June ____.

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

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

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

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

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

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

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

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

> 1 October: 3-66 IN (Pre-Inspection Visit)
> 20 October: 1st Brigade Combat Team (staff and HHC)
> 22 October: 2-66 IN
> 24 October: 66th Aviation Brigade (staff and HHC)
> 26 October: 3-60 FA
> 28 October: 1-79 AR
> 30 October: 5-66 IN
> 2 November: 66th Personnel Services Battalion
> 4 November: 66th Sustainment Brigade (staff and HHC)
> 6 November: 2-66 AV
> 8 November: 5-6 Cavalry Squadron
> 10 November: Division Special Troops Battalion

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

   a.   **Personnel to Interview** (see paragraph seven below for specific requirements)**:**
   - Commander / XO / CSM / S-3 or equivalent
   - Company-Grade Officers
   - Company Commanders and First Sergeants
   - NCOs (E-5 to E-7)
   - Unit Force Protection Officers

   b.   **Documents to Review** (see paragraph 10 below for pre-inspection document requirements)**:**
   - Unit SOPs relating to Force Protection
   - Unit Force Protection programs and policies
   - Unit Force Protection Plans for accomplishing critical tasks
   - Results of any previous Force Protection inspections or assessments, to include results used as lessons learned
   - AARs of previous Force Protection exercises
   - Appointment orders for Force Protection Officers and alternates

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

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

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

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

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

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

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

9.   INSPECTION ITINERARIES: The Inspection Team requests a draft itinerary that

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

0800-0815	In-Brief Commander and Unit Leaders
0830-0930	Interview Commander
0830-1000	Sensing Session with Company Commanders and First Sergeants
0930-1030	Interview XO or S3
1000-1130	Review Documents (see paragraph 6b above)
1000-1130	Sensing Session with Company-Grade Officers
1030-1130	Interview CSM
1300-1400	Observe Force Protection events (as available)
1300-1430	Sensing Session with NCOs
1400-1530	Observe Force Protection events (as available)
1530-1630	Inspection Team In-Process Review (IPR)
1645-1715	Out-Brief Commander and Unit Leaders

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

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

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

11. RESOURCES: The Inspection Team will travel to each unit using a locally procured TMP van. The team members do not require any additional transportation. Each team member will have an Advanced Combat Helmet (ACH), Fighting Load Carrier (FLC) equipment, Gortex jacket, and Interceptor Body Armor (IBA) for visiting live-fire ranges and field training. The unit will provide other special equipment to the team members as required.

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

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

13.   REPORT COMPLETION TIMELINE: The results of the inspection will be contained in a written report distributed throughout the division and the installation following the Commanding General's approval of the results. The schedule to complete the report is as follows:
   a. Out-brief the Commanding General: 30 November _____
   b. Complete report: 10 December _____

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

   a. Draft itineraries due to the Inspection Team no less than <u>10 days</u> before the date of the scheduled inspection.
   b. Requested documents due to the Inspection Team not later than <u>10 days</u> before the day of the scheduled inspection.
   c. Contact the IG POC below with point of contact information not later than 1 September _____.

15.   POC for this inspection is MAJ List, (703) 540-0603 or DSN: 555-0603, <u>listfe@ignet.army.mil</u> or MSG Smith at (703) 540-0001 or smithja@ignet.army.mil.

Encl   ALBERT R. RIGHTWAY
Inspection Directive   LTC, IG
                                              Inspector General

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

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Section 4-2

_____
The Preparation Phase
Step 5: Train Up

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

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

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

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

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

     e. Conduct equipment inventories and rehearsals.

     f. Rehearse interviews and sensing sessions if feasible.

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

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

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

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

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

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

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

      c. Serve as sensing-session recorders as necessary.

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

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

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

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

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

Interviewee _____Unit _____Date_____
Duty Position_____ Time in Current Position _____

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

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

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

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

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

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

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

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

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

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

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

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

or 11 questions for an interview. In this case, the interview questions are focused on senior individuals.

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

<u>**Sensing Session: Instructors / Cadre Members / Junior Leaders**</u>

Duty Positions_____**Unit**_____**Date**_____
Interviewees' Grade Structure_____

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

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

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

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

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

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

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

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

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

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

Some of these questions are similar to the interview questions presented earlier, but the focus of these questions is to promote a group discussion. Sensing sessions last longer

than interviews (90 minutes or less), but the number of questions should still remain at around 10 or 11. More people will be talking, so the facilitator will require more time.

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

Risk Management - TYPE OF TRAINING EVENT:						UNIT		SITE		YOUR NAME	
INDIVIDUALS PRESENT	BDE LEVEL	BN LEVEL	CO LEVEL	POST	TOTAL OFFICERS	TOTAL NCOS	TOTAL ENLISTED	TOTAL CIVILIANS		**TOTAL**	
LEADERS / CADRE											
TRAINEES / STUDENTS											
RISK MANAGEMENT INSTITUTIONALIZATION AND INTEGRATION IN TRAINING: WAS RM INCORPORATED; RM IN MDMP; IS RM SECOND NATURE; WAS THE TRAINING SAFE, REALISTIC, AND PRODUCTIVE; TRAINING SAFETY CONTROLS; MEDICAL SUPPORT; DESCRIBE PROBLEMS											
DURATION OF OBSERVATION:					**INSTRUCTOR / LEADER TO STUDENT / SOLDIER RATIO:**						

RISK MANAGEMENT WORKSHEET (RMW)						
	RMW ON HAND	HAZARD LEVEL	WERE HAZARDS MITIGATED	SIGNED BY	WAS RMW UPDATED	REMARKS
HAZARD 1						
HAZARD 2						
HAZARD 3						
HAZARD 4						

Figure 4

Example of a Spot-Report

c. **Guidelines for Document Review:** Guidelines for document review are nothing more than a list of considerations -- or even questions -- that the reviewer should follow for all documents reviewed on a similar inspection topic. Since the review of most documents will be open-ended and depend upon what the reviewer discovers, the reviewer can still develop in advance a list of key items the inspection team would like to know is included in -- or absent from -- the documents under review.

d. **Surveys and Questionnaires:** Surveys and questionnaires are nothing more than interview questions converted to a closed-ended format. Surveys and questionnaires are one in the same, and the terms are often used interchangeably.

For IG inspections, surveys are best used to gather a sampling of basic factual information that, generally, does not represent attitudes or opinions. Their purpose is to reinforce data gleaned from the other information-gathering domains (i.e., interviews, sensing sessions, document reviews, and observations) to determine if something is or is not occurring in a unit or agency. This method of IG information-gathering is best suited for Special-Interest Items and is usually reserved for inspections and morale assessments. Morale assessments are discussed in <u>The Assistance and Investigations Guide</u>, Part One, Chapter 5.

(1) **Authorization and Exemptions:** In accordance with Army Regulation 25-98, <u>Information Management Control Requirements Program</u> (February 2019), Army organizations must obtain approval and licensing before administering an Army internal survey. However, information collected by DAIG or DoDIG under its authority to conduct official inspections, assistance, or investigations is exempt from formal review and licensure. This exemption acknowledges the unique role of the IG in conducting independent assessments and inquiries. Although formal review and licensure is not required for IG surveys, IGs must still adhere to Army Regulation 20-1, ensuring that all activities align with the principles of confidentiality, impartiality, and integrity.

(2) **Confidentiality and Privacy:** Maintaining the confidentiality of survey respondents is paramount. IGs must inform respondents that participation is voluntary, and their responses will remain confidential to the extent possible under Army Regulation 20-1. IGs must not collect Personally Identifiable Information (PII), and IGs must store survey data securely on approved systems with access limited to authorized personnel only.

(3) **Survey Development and Content:** IG surveys must support the approved purpose and objectives of the applicable inspection. These questionnaires should have multiple-choice or "yes" or "no" answers. Questions should avoid bias and remain neutral. Key points for maintaining neutrality include:

a. **Focus on Objective Data:** Ask for specific, observable facts rather than opinions. For example, instead of "Do you feel the policy is fair?", ask "How often do you refer to the policy when making decisions?"

b. **Offer a Range of Response Options:** If using multiple-choice or scaled questions, provide a balanced range of options (e.g., from "Always" to "Never").

c. **Avoid Leading Questions:** A leading question is one that suggests a particular answer or implies a preferred response.

d. **Use Balanced Language:** Avoid using emotionally charged or biased wording. Language should be clear and free of any assumptions.

(4) **Survey Distribution:** Prior to distribution, IGs must document survey activities in the Notification Letter and Detailed Inspection Plan. Online survey forums and paper copies are the authorized distribution methods.

a. **Online Survey Forums:** milSurvey (preferred) and MAX Survey are the only authorized web-based platforms for conducting Army internal surveys: 1) milSurvey is accessed at https://www.milsuite.mil/, and 2) MAX Survey is accessed at https://www.max.gov. Commercial platforms are not authorized unless specifically approved by the Chief Information Officer / Deputy Chief of Staff, G–6.

b. **Paper Surveys:** IGs will treat paper-copy surveys as official records and must adhere to records management procedures in Army Regulation 20-1.

(5) **Analyze and Interpret the Data:** Once surveys are collected, IGs should aggregate the responses and review the information without preconceived notions or expectations. IGs should use qualitative and quantitative analysis methods to identify patterns and trends:

a. **Quantitative Analysis:** For questionnaires with closed-ended questions, IGs should use statistical methods to identify trends, patterns, and potential findings. Basic statistical tools such as frequency analysis, cross-tabulations, and mean comparisons can help determine common issues or areas of concern.

- **Frequency Analysis** is counting how often each response appears. This method helps the IG quickly see the most common answers and understand general trends.

- **Cross-tabulation** is a way to compare two different sets of information to see if there is a connection between them. If you use the equipment example above, and ask the respondent's rank, you can create a table showing how different rank groups perceive the availability of tools / equipment. If junior Soldiers report "never" or "rarely" at higher rates compared to officers, this data suggests a disconnect between leadership's perception and junior Soldiers' experiences. This kind of comparison helps identify perception gaps related to communication, resource allocation, training, or policies.

- **Mean Comparison** is looking at the average response for a group of people. For example, if you ask participants to rate equipment availability on a scale of 1 (low) to 5 (high), you can calculate the mean (average) score. If you get the responses of 3, 4, 5, 2, and 4, the mean score would be $(3+4+5+2+4) / 5 = 3.6$. This method gives you a single number that summarizes the overall perception, making it easy to see if the average response is positive, neutral, or negative.

b. **Qualitative Analysis:** For surveys with open-ended responses, IGs should conduct thematic analysis to identify key themes and insights. Thematic analysis means grouping similar responses into categories and looking for recurring themes that align with the inspection objectives and sub-tasks.

(6) **Validate Findings:** Cross-reference survey trends with other information-gathering domains. Discrepancies between survey data and the other data sources should be cross-walked and explained in the final report.

(7) **Report Findings:** IGs may utilize survey trends in the final inspection report and will include the survey questions as an appendix. IG offices must maintain records of survey activities and be prepared to provide documentation if requested by IG leadership or higher authorities. Periodic internal reviews of IG survey practices are useful for verifying adherence to these guidelines.

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

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

(1) Inspection Purpose

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

(3) Inspection Objectives

(4) Task Organization

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

(6) Special-Interest Item (if applicable)

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

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

b. **Out-Briefing Format:** The standard out-briefing will comprise two parts: The first part will offer refresher information from the in-briefing that reminds the leaders of

the inspection's overall purpose, and the second part will include feedback from the inspection. The out-briefing must be fully redacted for all attribution save for cases where recognizing innovative ideas and good news <u>requires</u> that the IG identify a unit or individual. Revealing such sources allows units to know precisely where to find examples of successful behavior within the organization so that others may emulate that success and know where to go for advice on how to improve. When an IG attributes good news as part of an out-briefing to an inspected commander, the IG must also advise the commander that he or she cannot use such attributed information to compare, reward, or evaluate individuals or units. The out-briefing format should include the following:

        (1) Inspection Purpose

        (2) Inspection Ground Rules (should include a bullet that states that the inspection was <u>open and discreet</u> with <u>no surprises</u> and a bullet on <u>IG confidentiality</u> and <u>non-attribution</u>)

        (3) Inspection Objectives

        (4) Inspection Scope (this slide will quantify the numbers of individuals interviewed and sensed, the number of documents reviewed, and the number of events observed)

        (5) Observations by Objective (these slides -- at least one per objective -- should provide unprocessed comments and observations taken directly from interviews, sensing sessions, document reviews, and observations relevant to the objective. The Team Leader must emphasize to the leadership that these slides are not the result of IG analysis but are simply restated -- but relevant -- comments from <u>anonymous</u> individuals and observations taken throughout the command. IGs should not out-brief surveys and questionnaires as they require more time for analysis.

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

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

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

    b. Security memorandum from the unit security manager (if applicable)

    c. IGAR (DA Form 1559) (10 copies)

      d.   IG official vehicle placard
      e.   DD Form 1610 (if traveling)
      f.   Government credit card (if traveling)
      g.   ID card (or Common-Access Card)
      h.   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, regulations, and manuals
      r.   The Inspections Guide from TIGS
      s.   Laptop with CD drive and disks
      t.   Cellular phone with power adapter (Team and Sub-team Leaders)
      u.   Wifi hot spot (if issued).
      v.   Desk-side briefing binder
      w. Office supplies (pens / markers / binder clips / stapler / tape / folders / highlighters)
      x.   Briefing pointer
      y.   TA-50 (if required)
      z.   Personal business cards

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

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

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

Section 4-2

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The Preparation Phase
Step 6: Pre-Inspection Visit

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

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

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

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

5. **Refining the Methodology and Information-Gathering Tools:** Once the Pre-Inspection Visit -- or Visits -- is complete, the inspection team should return to the IG shop and refine the methodology and information-gathering tools as necessary. The

team members should gather and share any information that may lead to more improved versions of the interview questions, sensing-session questions, and so on. In most cases, the basic methodology will not change -- just the detailed approach. The team should also complete a full Trip Report for practice and, more importantly, for record -- even though the information will serve no purpose in the Final Report. After the adjustments to the tools are complete, the inspection team is ready to visit the units.

Section 4-3
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The Execution Phase

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

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

    a. **Step 7: Visit Units**

    b. **Step 8: In-Process Review (IPR)**

    c. **Step 9: Update the Commander**

    d. **Step 10: Analyze Results and Crosswalk**

    e. **Step 11: Out-Brief the Proponent**

The Inspections Process

Phase Two: The Execution Phase

Figure 1
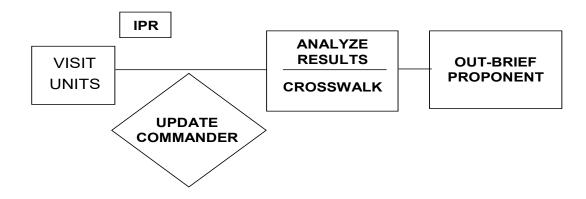
The Inspections Process: Phase 2

Section 4-3

_____
The Execution Phase
Step 7: Visit Units

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

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

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

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

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

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

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

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

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

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

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

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

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

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

CUI

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

AFVS-IG   27 October _____

MEMORANDUM FOR RECORD

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

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

2. **Team Composition.**

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

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

4. **Observations.**

   a. **Inspections Observed:**

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

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and LT Billygoat. He told them how to fix the deficiencies noted and gave them a copy of his inspection results. The arms room passed the inspection with only minor deficiencies.

       (2) **Observation 2** (Sub-Tasks 2.1 and 3.1). **Brigade S-4 Staff Assistance Visit to the Battalion S-4 Shop (LT Woppy, Battalion S-4) (Inspection conducted by MSG Chex, Brigade S-4).** MSG Chex had never before conducted a Staff Assistance Visit. Instead of looking at the property books and other S-4 documents, he simply discussed his checklist with LT Woppy and the S-4 NCOIC. LT Woppy and his NCOIC did not seem impressed by the discussion. The checklist that MSG Chex used in his discussion seemed to come from division G-4 and was dated April 1993. After about 45 minutes, MSG Chex departed and did not offer LT Woppy any specific feedback about the condition of the battalion S-4 shop.

    b. **Documents Reviewed:**

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

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

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

       (2) **Observation 2** (Sub-Tasks 1.1, 1.3, 2.1, 3.1, and 3.3). **Interview with the Battalion Commander (LTC Jones).** LTC Jones has been in command for 13 months. He admitted that he did not have a written OIP program 'as far as he knew.' He

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allows the XO to handle the OIP and conduct the program "the way the unit did it in the past." He has never seen a written brigade OIP but stated that the Brigade XO normally discusses OIP-related topics at the brigade staff calls. He was not aware of the division OIP memorandum and had never heard of AR 1-201. The battalion recently conducted some Staff Assistance Visits to the companies in preparation for the Brigade Command Inspection in January, but some Company Commanders complained that the inspectors were too inexperienced or untrained. Initial Command Inspections for the companies normally occur within six months but almost never within 90 days. LTC Jones never recalled conducting a Subsequent Command Inspection for any of his companies and had never before heard of that type of inspection. LTC Jones feels comfortable that the brigade is scheduling Command Inspections well in advance. He is not aware of any inspector-training programs within his battalion.

5**. Good News Stories.**

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

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

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

6. **Additional Informational.** None.

<table>
<tr><td></td><td>//original signed//</td></tr>
<tr><td>Encl</td><td>FRANK E. LIST</td></tr>
<tr><td>Out-Briefing Slide Packet</td><td>MAJ, IG</td></tr>
<tr><td></td><td>Chief, Inspections Branch</td></tr>
</table>

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

4. **Inspector General Information:** Trip Reports are not redacted (edited) for attribution. Instead, Trip Reports list units and interviewees by name in case the team members need to know the source of the information for potential crosswalking issues at a later time. Since IGs must protect this information in order to protect confidentiality, a

footer must appear at the bottom of each page (see the example above) that reminds an IG (and others) that the information is in fact IG information -- portions of which AR 20-1 and the Freedom of Information Act (FOIA) exempt from mandatory disclosure. Only redacted reports -- or reports edited for attribution -- can be released under Exemption 5 of the FOIA. See AR 20-1, paragraph 3-2, for further information.

Section 4-3

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

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

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

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

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

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

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

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

<u>IPR WORKSHEET</u>

Location(s): _____(Date)

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

Figure 2

Blank In-Process Review Worksheet

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

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

TRENDS ANALYSIS

TREND	UNIT	UNIT	UNIT	UNIT	UNIT

Figure 3

Blank Trends Analysis Worksheet

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

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

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

    c. Discussion of any administrative data or requirements.

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

IPR WORKSHEET

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

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

Figure 4

Example of a Completed In-Process Review Worksheet

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

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

     f. Final comments and guidance from the team.

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

4. **Developing the Out-Briefing:** The out-briefing is the IG team's way of providing some form of interim (or in some cases definitive) feedback on the results of a particular

inspection. The team must recognize the fact that the information presented during the out-briefing has not had the benefit of close analysis or extreme scrutiny. This detailed level of analysis occurs when developing and writing the Final Inspection Report. Therefore, the team must provide feedback that is informed, carefully written, and useful to the unit or the Command. The team should not attempt to discuss issues or observations that require further post-visit analysis.

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

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

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

     d. <u>Disseminating the Out-Briefing:</u> **IGs may leave a hard copy of the out-briefing with the visited unit or organization. *IGs will not leave electronic copies of the out-briefing* with the visited unit or organization *due to the lack of control of dissemination or manipulation of the product.* See Section 2-2 for discussion of appropriate IG markings for the out-briefing.**

A sample out-briefing presentation appears below.

CUI
Force Protection Program

Special Inspection
of the
Force Protection Program

Inspection Out-Briefing
3rd Battalion, 66th Infantry

1 October _____

CONTROLLED BY: The Inspector General (SAIG-ZA)
CONTROLLED BY: 66th Infantry Division (AFVS-IG)
CUI CATEGORY: CTI
DISTRIBUTION / DISSEMINATION CONTROL: FEDCON
POC: MAJ Frank E. List (123) 456-7890

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

CUI
Force Protection Program

Purpose

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

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

CUI
Force Protection Program

Out-Briefing Ground Rules

- This inspection is non-attributional.

- Information gathered and presented is subject to IG confidentiality and records rules as specified in Army Regulation 20-1.

- The IG conducted the inspection visit openly and discreetly.

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CUI
Force Protection Program

Inspection Purpose

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

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CUI

CUI
Force Protection Program

Inspection Objectives

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

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

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

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Force Protection Program

Inspection Scope

- Total number of events observed: 1

- Total number of leaders / staff / Soldiers contacted: 21

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

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CUI

CUI
Force Protection Program

Objective 1: Understand Policies

• **Good News Observation:** The Battalion Commander has designated the Battalion S-3 to serve as the principal Force Protection planner and coordinator within the battalion. (Document Review)

• The most current version of the battalion Force Protection policy is dated 1 July ___ and follows the Commanding General's Policy Letter Number 12 quite well. (Document Review)

• Officers and NCOs throughout the battalion are not aware of the brigade or division Force Protection policies and guidance. (Interviews and Sensing Sessions)

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Force Protection Program

Objective 2: Force Protection Training

• **Good News Observation:** The battalion conducted a well-rehearsed and well-planned Force Protection exercise. (Observation)

• The annual exercise focused on teaching and training the battalion's NCOs and Soldiers as well as evaluating their accomplishment of the critical tasks. (Observation)

• Files of previous Force Protection evaluation results are not consolidated into one file or book at the battalion level. (Document Review)

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Force Protection Program

Objective 2: Force Protection Training
(cont'd)

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

• Officers and NCOs within the battalion feel that the Brigade Staff poorly coordinates and conducts the annual Force Protection external evaluations of the battalion. (Interviews and Sensing Sessions)

• NCOs and Soldiers would like to receive additional training on Force Protection so that they can understand better the different THREATCON levels. (Sensing Sessions)

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CUI
Force Protection Program

Objective 2: Force Protection Training
(cont'd)

• The battalion is not conducting effective After-Action Reviews following each Force Protection exercise; as a result, problems identified during previous exercises are recurring. (Interviews and Sensing Sessions)

• The troops assigned to guard the back gate were unable to use the guard shack and telephone because no one had the key to the building. (Observation)

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CUI
Force Protection Program

Objective 3: Force Protection Tasks

• The battalion has a well-defined Force Protection program with critical tasks that complement the Commanding General's division-level critical tasks. (Document Review)

• All leaders involved in the battalion's annual Force Protection Exercise were well informed and knew how to accomplish their critical tasks. (Observation)

• The battalion's senior leaders do not fully understand the requirement of all critical Force Protection tasks assigned to the unit. (Interviews and Sensing Sessions)

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CUI

CUI
Force Protection Program

Summary

• Strong evidence suggests that Force Protection is a priority in the battalion.

• Continue to improve the battalion's Force Protection program.

• Thanks for the support!

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CUI

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

TRENDS ANALYSIS

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

Figure 5

Example of a Completed Trends Analysis Worksheet

Section 4-3

The Execution Phase
Step 9: Update the Commander

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

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

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

> (1) Purpose of the Briefing
>
> (2) Inspection Purpose (or Goal)
>
> (3) Inspection Objectives
>
> (4) Task Organization
>
> (5) Inspection Concept
>
> (6) Special-Interest Item Update (if applicable)
>
> (7) List of units or agencies that the team (or teams) has visited followed by a list of the remaining units or agencies to visit
>
> (8) Inspection Timeline
>
> (9) Trends (bullets taken directly from the Trends Analysis Sheet)

Section 4-3

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The Execution Phase
Step 10: Analyze Results and Crosswalk

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

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

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

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

  f. Summary of the Recommendations (usually separated by proponent)

  g. Appendices:
    (1) References
    (2) Inspection Directive (signed copy)
    (3) List of units or agencies visited
    (4) Interview and Sensing-Session questions

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

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

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

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

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

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

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

Sub-Task. After developing the findings section for each Sub-Task, the writer can then organize the chapter as follows:

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

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

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

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

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

    d. **Step 4: Review and Study Your Sources:** This phase of the writing process is normally called pre-writing. Go through each Trip Report and use the different colored

markers to highlight the information for each of your Sub-Tasks. Use a different color for each Sub-Task. Normally, you will highlight the information one Sub-Task at a time since you will write one findings section at a time. Once you have highlighted the information, go back and read -- in a leisurely fashion -- all of the information pertaining to the Sub-Task about which you plan to write. Absorb and try to understand the varying types of information without attempting to analyze or categorize the information. <u>Let your mind wander freely</u>! This process will result in a draft finding statement (or statements) that pops into your head and which you should capture on paper.

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

f. **Step 6: Develop Your Finding Statements:** Refine the language of your draft finding statement (or statements) as necessary. The finding statement is a single, well-focused, well-structured sentence that <u>must be able to stand alone</u>. **Remember: The finding statement is a direct response to the Sub-Task, and it must remain focused on that Sub-Task.**

You will base your finding statement (or statements) on the preponderance of information you gather about a particular Sub-Task. For example, if 65 percent of the data we collected leans toward a widespread finding that Risk Management is not getting into the updated doctrinal manuals, then your finding will state that fact. You can address the other 35 percent who are having success when you write the Inspection Results portion for that findings section. Here is an example of a finding statement:

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

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

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

Each Sub-Task will have no less than one findings section; some Sub-Tasks may even have two or three finding statements and sections. Be certain to include positive findings and not just negative findings. Good-news stories are always welcome. In paragraph two, **Standard**, write the entire standard (or standards) for that finding verbatim from the original source(s). Do not paraphrase the text. In paragraph three, **Inspection Results**, address each and every point that you must make to support your finding. For paragraph four, **Root Cause**, follow the Root Cause Analysis Model and use the language from that model to describe the reasons for compliance or non-compliance (don't know, can't comply, and won't comply). Finally, in paragraph five, **Recommendation**, ensure that each recommendation that you make is detailed and identifies the person or staff agency that can fix the problem.

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

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

Step 9: Submit the Chapter for Peer and Committee Review
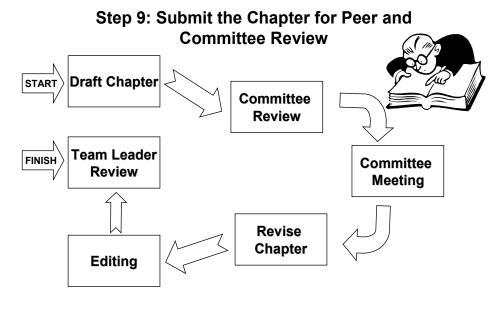
Figure 6

Committee Review Process

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

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

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

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

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

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

- 12-14 November: Write Sub-Task 3.1
- 15-17 November: Write Sub-Task 3.2
- 18-20 November: Write Sub-Task 3.3
- 21-23 November: Write Sub-Task 3.4
- 28-29 November: Finish and Proofread the Chapter

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

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

(1) **3-66 IN Trip Report:** Observation 1 (Sub-Tasks 1.1, 1.3, and 3.2). Company Commander and First Sergeants Sensing Session. The First Sergeants felt that the battalion's OIP was executed carelessly and was intended to "check the block" without focusing on how to improve the inspected areas. The Company Commanders believed that the OIP was a distraction and kept them from focusing on their real

wartime mission and training. <u>None of the Commanders present (four) had received his Initial Command Inspection within 90 days. All of them stated that they received their Initial Command Inspection within six months. They were not aware of the 90-day requirement.</u> The Company Commanders felt that these initial inspections were good but that no one ever followed up on the results to check for improvement. The First Sergeants said that these inspections were nothing more than a 'paper drill.' None of the Company Commanders had ever seen a written battalion OIP.

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

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

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

Once you have highlighted the information, you go back to the applicable Trip Reports and read only the highlighted portions. You read this information in a leisurely fashion so that you can absorb and understand all aspects of the data that your inspection team gathered concerning Sub-Task 3.2 (the information presented for this example is small in scope by design). As you read the information and allow your mind to wander freely, you begin to see some patterns developing with regard to Initial Command Inspections. You start to realize that Initial Command Inspections are occurring but not within 90 days as prescribed in AR 1-201. You now have a draft finding statement (or statements).

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

Step 5: Develop Tools to Collect and Analyze Your Information

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

Figure 7

Example of a Completed Analysis Matrix / Trends Analysis Worksheet

You developed two draft finding statements, which you wrote in the left-hand column. However, you begin to think that the bottom one is an issue that you can discuss in the findings section for the top statement. The preponderance of evidence clearly suggests -- by a factor of two to one -- that Initial Command Inspections are not occurring within 90 days in accordance with AR 1-201. You decide to conduct a **crosswalk** to confirm what your inspection team learned at HHC, 66th Infantry Division. You want to verify if the HHC Commander actually received her inspection within the prescribed time period. You call the G-3 Operations Officer, and he verifies that the division conducted an Initial Command Inspection of HHC within 45 days as stated by the HHC Commander. You

now realize that the evidence leans you toward a specific finding but that the finding applies to the <u>majority</u> of units you inspected and not <u>all</u> of them. You want to be sure and communicate this fact in your Inspection Results paragraph so that your Commanding General can see that some Initial Command Inspections are occurring on time within the division. The Commanding General may see this fact as good news.

When characterizing percentages as adjectives, consider the following recommendations:

<u>Adjective</u>	<u>Quantification</u>
All	100%
Most	99-76%
Majority	75-51%
Half	50%
Some	49-26%
Few	25-1%
None	0%

<u>Important Note:</u> When developing ways to quantify findings, IGs must consider the sensitivity level of the inspection topic and, if necessary, the sensitivity levels of specific findings. For example, for an inspection into a topic like the Sexual Harassment and Assault Response Program (SHARP), any findings suggesting lapses in the program's effectiveness, no matter how minor, would be critical information for a commander. Such findings would require a quantification scale that equates, as an example, "few" with "most" in terms of severity of the deficiency. In other words, "few" should appear as too many in the context of the inspected topic and be defined as such as part of the findings section.

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

      A majority of active-duty battalions within the division (2 of 3) are conducting Initial Command Inspections but not within 90 days of an officer assuming Company Command in accordance with AR 1-201.

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

You base your recommendation on a solution that will ensure that Commanders at all levels within the division know about the 90-day requirement. Your completed findings section appears below. See Appendixes B and F for additional examples of findings sections from actual IG Inspection reports.

CUI

(1) <u>Finding Statement:</u> A majority of active-duty battalions within the division (2 of 3) are conducting Initial Command Inspections but not within 90 days of an officer assuming Company Command in accordance with AR 1-201.

(2) <u>Standard:</u> Army Regulation 1-201, <u>Army Inspection Policy</u>, outlines the requirement to conduct Initial Command Inspections within 90 days in Paragraph 3-3, Command Inspections:

"c. Initial command inspections.
(1) A new company commander (or leader of a similarly-sized organization) will receive an ICI from his or her commander, who should also be that company commander's rater.
(2) The ICI for companies will occur within the first 90 days of assumption of command for the Regular Army and 180 days for Reserve Component (USAR and ARNGUS). The 90-day standard applies to Reserve Component units mobilized on active duty."

(3) <u>Inspection Results:</u> The Inspection Team determined that the inspected battalions within the division were conducting Initial Command Inspections (ICIs); however, a majority of these battalions (66%) were failing to comply with the added requirement to perform these inspections within 90 days of an officer assuming command of an active-duty company or detachment as required by AR 1-201. The Inspection Team based their determination on interviews and sensing sessions with two battalion commanders and nine company commanders. The battalion commanders reported conducting ICIs for all incoming company commanders and said command inspections were always planned and added to the training calendar well in advance of the inspection date. Both battalion commanders said they were unaware of the 90-day requirement. The majority of the company commanders (7 of 9) reported receiving their ICI within six months. Conversely, two company commanders received their ICI within 45 to 90 days of their assumption of command. None of the company commanders were aware of the 90-day requirement. Document reviews of the unit's training calendars and historical inspection reports confirmed that most ICIs occurred between four to six months after assumption of command. (Note: The Inspection Results portion is normally two to three paragraphs in length and should reflect why the problem is occurring).

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

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

CUI

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

CUI

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

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

(1) **Finding Statement:** Does the Finding Statement succinctly and clearly capture the nature of the issue or problem?
( ) Yes
( ) No. The Finding Statement is too vague or does not represent the evidence presented by the writer.
( ) Other_____

(2) **Standard:** Are the standards quoted in this paragraph the correct -- or relevant -- standards?
( ) Yes
( ) Yes, but the writer misquoted the original text.
( ) Yes, but the writer failed to identify the source down to the paragraph number and page number.
( ) Yes, but the writer only paraphrased the standard and did not quote the standard verbatim from the original source.
( ) No. The standards are incomplete.
( ) No. Other_____

(3) **Inspection Results:** Does this paragraph (or paragraphs) effectively <u>explain</u> the results and types of information that led the writer to develop the Finding Statement listed above? In other words, does the writer employ critical thinking to evaluate the evidence for accuracy, relevance, representativeness, and adequacy? Does the writer use <u>analysis</u> to **<u>explain</u>** what the evidence means and how it fits together to support the overall Finding Statement?
  - ( ) Yes
  - ( ) Yes, but the discussion does not mention any of the good-news stories that arose from this particular issue.
  - ( ) No. The discussion does not address sufficiently the issue(s) or point(s) identified in the Finding Statement and requires further expansion.
    Explain_____
  - ( ) No. Some evidence used in the Inspection Results paragraph does not support the Finding Statement (these pieces of evidence may be **orphans**, or bits of information that do not relate to the bigger picture and which should fall away).
  - ( ) No. The discussion does not help to quantify the scope of the issue or point made in the Finding Statement (most units, a majority of the units, some of the units, a few of the units, and so on).
  - ( ) No. Other_____

(4) **Root Cause:** Does this paragraph capture the main reason for non-compliance?
  - ( ) Yes
  - ( ) No. This paragraph just repeats the Finding Statement and does not explain the reason (the "why") for non-compliance.
  - ( ) No. The root cause is completely off the mark.
  - ( ) No. Fixing the root cause as stated would not correct the problem.
  - ( ) No. The root cause as stated is only a symptom of the real root cause and not the actual root cause itself.
  - ( ) No. Other_____

(5) **Recommendation(s):** Does the recommendation fix the problem as outlined in the Finding Statement and captured by the Root Cause?
  - ( ) Yes
  - ( ) Yes, but the recommendation fails to name the appropriate proponent (a person or staff agency best suited to fix the problem).
  - ( ) No. Other_____

(6) **Logical Development:**
  - a.   Are the Finding Statement and Recommendation paragraphs logically sufficient?
    ( ) Yes ( ) No
  - b.   Do the Finding Statement and Recommendation paragraphs share a logical connection?
    ( ) Yes ( ) No
  - c.   Does the Recommendation fix the problem or issue outlined in the Finding Statement and the Root Cause?
    ( ) Yes ( ) No

(7) **Grammar:** Does the Findings Section have any significant grammar or spelling errors?

        ( ) No

        ( ) Yes. List errors for correction: _____

_____

_____

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

8. **Other Matters:** Much like Investigations, "other matters" not relevant to the inspection objectives but that require command attention or action may surface during the inspection. These matters may run the gamut of training-related issues to allegations of impropriety. In most cases, the matters tend to be things peripherally associated with the main inspection topic but not relevant enough for inclusion in any one findings section. For example, an inspection of the Command Supply Discipline Program as a system within a division may uncover problems not simply dealing with accountability but also about how some supplies are stored improperly, thus leading to their rapid degradation. If such a matter was outside the scope of this inspection, then the IG has two options for communicating the problems to the Directing Authority or to the affected subordinate Commander:

a. Provide the Directing Authority or affected Commander with a memorandum addressing these "other matters" separately.

b. Include an appendix or annex to the final inspection report that addresses the "other matters."

Regardless of the method used, the IG must outline the nature of the matter and, if possible, provide a recommendation for addressing the matter and a proponent as necessary.

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

Section 4-3
_____

The Execution Phase
Step 11: Out-Brief the Proponent

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

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

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

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

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

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

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

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

Section 4-4
_____
The Completion Phase

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

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

      a. **Step 12: Out-Brief the Commander**

      b. **Step 13: Issue Taskers**

      c. **Step 14: Finalize the Report**

      d. **Step 15: Handoff**

      e. **Step 16: Distribute the Final Report**

      f. **Step 17: Schedule Follow-Up**

The Inspections Process

Phase Three: The Completion Phase

Figure 1
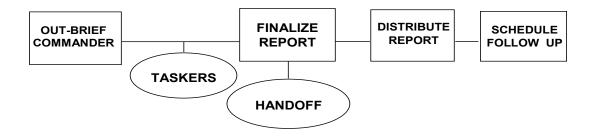
The Inspections Process: Phase 3

Section 4-4

_____

The Completion Phase
Step 12: Out-Brief the Commander

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

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

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

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

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

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

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

      f. Timeline for completion and distribution of the Final Report

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

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

Section 4-4

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The Completion Phase
Step 13: Taskers

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

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

Section 4-4

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The Completion Phase
Step 14: Finalize the Report

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

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

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

CUI

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

AFVS-IG   17 December _____

MEMORANDUM FOR 66th INFANTRY DIVISION COMMANDERS AND STAFF

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

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

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

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

                              MOTTIN De La BLAME
                              Major General, USA
                              Commanding

CUI

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

Section 4-4

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The Completion Phase
Step 15: Handoff

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

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

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

    b. **IG Technical Channels:** When using IG Technical Channels for a handoff, the initiating IG shop must always send the handoff to the next higher IG for continued forwarding or action as necessary. The initiating IG office will enter the finding into IGARS as an Assistance Case and refer the IGAR to the next higher IG office. All handoffs that require DAIG action or action outside the Army must come through an ACOM, ASCC, or DRU IG office. The ACOM, ASCC, or DRU IG office will then forward the handoff request to DAIG's Analysis and Inspections Follow-up Office (AIFO). The IG offices receiving the handoff IGAR will treat the handoff as a request for assistance and accept and complete the IGAR. The initiating IG shop should always request a suspense date and then monitor the problem to completion. The receiving IG shop will work the issue with the appropriate agency at their level to get the problem fixed. Finally, the initiating IG should keep the Commander informed of the handoff's progress.

Section 4-4
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The Completion Phase
Step 16: Distribute the Report

1. **Release Authority:** Upon the Commander's approval of the inspection report, Army Regulation 20-1, paragraphs 1-13e (1) and 3-4c, allow local IGs to release written inspection reports for official use as long as the report meets the following criteria:

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

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

3. **Releasing IG Records:** Since you will be releasing IG records within the Command and outside IG channels, you must ensure that each page of the Final Report has the appropriate CUI header and footer. Additionally, the cover of the report must include the CUI box, an example of which appears below:

> CONTROLLED BY: The Inspector General (SAIG-ZA)
> CONTROLLED BY: The 66th Infantry Division Inspector General (AFVS-IG)
> CUI CATEGORY: CTI
> DISTRIBUTION / DISSEMINATION CONTROL: FEDCON
> POC: MAJ Frank E. List, (123) 456-7890

If your directing authority wants to release the report outside the Command and outside IG channels but still within CUI channels (i.e. to a lateral Commander), you will need to seek clarification from DAIG's Legal Records Release Office prior to its release.

Section 4-4

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The Completion Phase
Step 17: Schedule a Follow-Up

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

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

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

    b. **Follow-Up Visit:** The IG team members can visit the individuals or agencies responsible for taking the corrective action to determine their progress. The IG team however.

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

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

3. **IGARS Data for Inspections:** IGARS has a function code of 18E5 for tracking work- load data associated with IG Inspections. IG offices should consider requiring each team member to enter an Information IGAR, with the title of the Inspection, as a roll-up of his or her man-hours expended in support of the inspection. Depending on the IG office SOP, IGs can also load Inspection products and man-hours into a Standard IGAR using this same function code.

Section 4-5

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Applying the Inspections Process
To All Inspections

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

2. **The IG's Requirement:** Inspectors General must <u>consider</u> the Inspections Process when planning and executing inspections. Yet the Inspection Process can apply to all non-IG inspections planned from the battalion level up through the corps and ACOM, ASCC, or DRU. Some parts of the process may be compressed or reduced to SOP; however, following the process from start to finish will help ensure that the inspection adheres to the Army's inspection principles as outlined in AR 1-201 and will make certain that the inspection achieves its intended purpose and objectives.

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

     a. **Preparation Phase**

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

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

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

        (4) **Step 4: Plan in Detail:** Although many aspects of the detailed planning step may exist in the form of a SOP, the OIP Coordinator will always have to

notify the inspected unit of the inspection and assign a <u>date</u> for that inspection. The OIP Coordinator should ensure that the date is set on the Long-Range Planning Calendar and included in any annual or quarterly training guidance. The OIP coordinator should consider the training execution model outlined in Unit Training Management (UTM) when including inspections dates on the unit calendar. In most cases, the existing OIP document will serve as the Detailed Inspection Plan with the relevant inspection date (or dates) added. The inspected Commander can then include this inspection on the unit training calendar.

(5) **Step 5: Train Up:** The battalion OIP may include -- as a matter of SOP -- all of the information-gathering tools that the battalion's inspectors need to conduct the inspection. Checklists, interview questions, and inspection guidelines may already exist. In any case, the OIP Coordinator should insist upon conducting inspector training **(prescriptive provision in AR 1-201 paragraph 1-4 f (9))** and rehearsals. Due to personnel turnover, many members of the battalion staff assigned as inspectors may be new and unaware of the pitfalls and proper techniques for conducting an inspection. The local IG office is an excellent resource for this training.

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

b. **Execution Phase**

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

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

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

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

      c. **Completion Phase**

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

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

      (3) **Step 14: Finalize the Report:** The OIP Coordinator may compile the inspection team's written reports after the briefing for final review or require the team members to produce written copies before or during the out-briefing. In any case, the Final Report should include clear, well-written feedback that meets the established format and identifies those areas that require improvement with the appropriate recommendations highlighted. Because of these requirements, a power-point brief will not suffice as a written report **(prescriptive provision in Army Regulation 1-201, paragraph 2-2 c).**

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

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

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

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

simply helps to ensure that all inspections adhere to those critical principles so that Commanders can identify and eliminate those problem areas that hinder combat readiness.

Chapter 5
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Developing an Organizational Inspection Program (OIP)

Section 5-1

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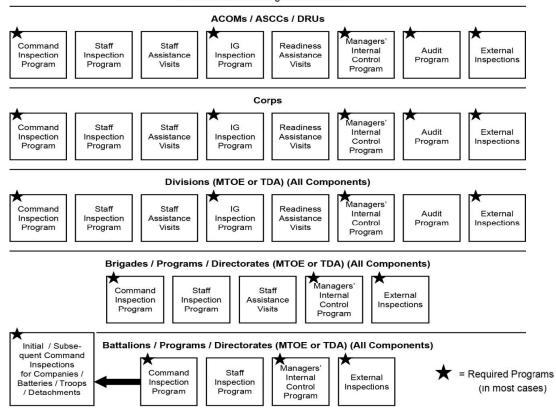
1. **Purpose:** This section describes how a Commander can develop an Organizational Inspection Program.

2. **The Organizational Inspection Program (OIP):** Army Regulation 1-201, <u>Army Inspection Policy</u>, defines the OIP as a Commander's program that manages all inspections within the command. The inspections covered in the OIP include Command Inspections, Staff Inspections, IG Inspections, audits, and external inspections. An OIP at any command level normally exists in the form of a local policy, memorandum, post regulation, or some other written product. The OIP expresses the Commander's guidance for all inspections that occur within the command -- even those inspections conducted by outside agencies (external inspections). The overarching purpose for developing an OIP is to allow a Commander to capture in one written document <u>all</u> inspections within the command. This written document allows everyone within that command to be aware of all inspection requirements and to schedule these requirements in accordance with the training execution model outlined in Unit Training Management (UTM) (see ADP 7-0 and the Army Training Network (ATN)).

The Organizational Inspection Program (OIP)

3. **One Source of Information:** Once established, the OIP becomes another source of evaluation information that the Commander can use to assess the unit's combat readiness. In effect, the OIP is part of the Commander's overall *organizational assessment*. Aside from the information provided through inspections conducted as part of the OIP, the Commander can consider the results of External Evaluations, Gunnery Exercises, Field Training Exercises (FTXs), Combat Training Center rotations, Command Post Exercises (CPXs), and so on. The Commander can use the evaluation results gleaned from these various sources to determine if the unit is able to accomplish its wartime and peacetime missions.

4. **Building an OIP:** The person responsible for developing the OIP should be the Commander's designated **OIP Coordinator**. In accordance with Army Regulation 1-201, for brigades and below, the OIP Coordinator must be the deputy commander, the executive officer, or a similar individual assigned as the second in command. Above the brigade level, the Commander must designate someone in a position of authority (such as the Chief of Staff or G-3) to serve as the OIP Coordinator (see Army Regulation 1-201, paragraph 1-4 f (3). Keep in mind that the IG cannot serve as the OIP Coordinator. The OIP Coordinator can solicit help and guidance from the local IG since the IG is the proponent for Army inspection policy. The OIP document should include the following items:

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

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

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

d. **Staff Inspections:** Army Regulation 1-201 does not specifically mandate that Commanders develop a Staff Inspection program as part of the OIP. The only requirement is that brigade or similarly sized organizations (such as programs or directorates) at a minimum will include guidance on Staff Inspections, primarily because Staff Inspections have traditionally been a significant and effective aspect of brigade-level OIPs. The guidance in the brigade-level OIP may be nothing more than stating, for example, that the organization's OIP will not include Staff Inspections because the Command Inspection program will be sufficiently robust to preclude the need for such a program. If a Commander at any echelon chooses to have a Staff Inspection program, then the OIP must establish that program clearly and provide guidance as necessary. Since Staff Assistance Visits (SAVs) are a subset of Staff Inspections, the Commander should also address SAVs within this portion of the OIP document.

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

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

(2) **Internal Control Process:** This section should address the IG's role in Internal Controls within the command (see Army Regulation 11-2, Risk Management and Internal Control Program). The IG is required to consider Internal Control provisions in the planning and conduct of inspections and to monitor the correction of material weaknesses found because of subordinate Commanders and staffs conducting internal control evaluations.

(3) **United States Property and Fiscal Officer (USPFO) Inspections:** Title 32, Section 105 (a) (6), requires oversight of Federal monies and property within the states. Army Regulation 1-201, Army Inspection Policy, paragraph 1-4 d (1) charges FORSCOM to "inspect the ARNG to ensure the National Guard organizations are properly uniformed, armed, equipped, trained, and prepared for deployment." Exercising this responsibility, IGs within Forces Command (FORSCOM) inspect of USPFOs within the Army National Guard (the current frequency is bi-annually). The purpose of these inspections is to ensure that USPFOs are complying with applicable public law, regulations, policies, and procedures. If these inspections apply within the command, the IG portion of the OIP must address them.

f. **Audits:** OIPs at the division level and above must include a section on audits conducted within the command. The Resource Management (RM) office within the command should develop and write this section to capture the audits by type and frequency. Since the RM office is also the proponent for the Risk Management and Internal Control Program, this section should address a plan for informing the Commander of the results of all internal control evaluations and sharing these results

with the IG so that the IG can consider the information when analyzing trends and patterns within the command.

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

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

Section 5-2

Sample Battalion Organizational Inspection Program

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

2.   **The Battalion OIP:** The battalion is the lowest level organization in which a Commander has a staff to perform internal inspections on subordinate units. Since battalions comprise companies (or troops, batteries, and detachments), battalion OIPs must address the baseline requirement for Initial Command Inspections. Battalion OIPs may also contain Staff Inspection programs, Staff Assistance Visits, and guidance on external inspections. The battalion OIP should also establish the standards for all Initial Command Inspections conducted within the battalion. The Battalion Commander should always consider the OIPs and OIP guidance of senior Commanders at least two levels up when developing the battalion OIP.

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

Sample Battalion OIP Memorandum

CUI

DEPARTMENT OF THE ARMY
ORGANIZATION
STREET ADDRESS
CITY STATE ZIP

XX-XXXX   Date

MEMORANDUM FOR [SEE DISTRIBUTION]

SUBJECT: Battalion Organizational Inspection Program (OIP)

1. REFERENCES:

    a. AR 1-201 (Army Inspection Policy), date
    b. Division Organizational Inspection Program, date
    c. Brigade Organizational Inspection Program, date
    d. The OIP Guide for Commanders, date
    e. ADP 7-0 (<u>Training Units and Developing Leaders</u>), date
    f. ADRP 7-0 (<u>Training Units and Developing Leaders)</u>, date
    g. Battalion Annual Training Guidance, FY__

2. PURPOSE: To prescribe procedures for the conduct of the Battalion OIP.

3. OBJECTIVE: Inspections are essential to my organizational assessment of the battalion. I consider them an important tool to assess the combat readiness of each of our companies, identify areas that require additional training, and highlight problems that require resolution. We will coordinate a comprehensive battalion inspection program to ensure that we can conduct our mission while complementing other training.

4. GENERAL: The Battalion OIP consists principally of Command and Staff Inspections.
    a. The battalion will conduct all inspections in accordance with the inspection principles outlined in AR 1-201.
    b. Inspections are training events, and inspectors must ensure that units have the knowledge and ability to fix any identified deficiency. On-the-spot corrections should be made whenever possible and annotated in reports as appropriate.
    c. Commendable performances by individuals or creative / unique programs that enhance readiness deserve recognition and acknowledgement in reports.

> **CONTROLLED BY: The Inspector General (SAIG-ZA)**
> **CONTROLLED BY: 1st Battalion, 66th Infantry (Office symbol)**
> **CUI CATEGORY: CTI**
> **DISTRIBUTION / DISSEMINATION CONTROL: FEDCON**
> **POC: MAJ William Smith, (123) 456-7890**

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

e. The battalion executive officer (XO) is the OIP coordinator. The XO will monitor follow-up inspections on all battalion-level and higher inspection results to ensure timely implementation of the recommended corrections. At the completion of each inspection conducted by an outside agency, a copy of the inspection report will go to the battalion XO.

5. INSPECTION PRIORITIES:

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

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

c. Taking care of our Soldiers and Families (safety, pay and administration, and Family care).

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

6. COMMAND INSPECTIONS:

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

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

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

d. Initial Command Inspections

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

(2) The ICI will allow new unit Commanders to understand readily their units' strengths and weaknesses. I will personally take part in the inspection, and I expect the staff to make this inspection a priority as well. I expect all inspectors to conduct a detailed inspection that not only documents problems but also teaches solutions and assists the unit with corrective actions. I will discuss the results of the ICI with the inspected unit Commander and help set goals and priorities for his or her command tenure. This discussion will occur after we have completed the ICI with the appropriate entries made to the DA Form 67-10-1A, Officer Evaluation Report Support Form.

(3) The ICI inspection schedule is at table B-1.

(4) Areas inspected during the ICI are in table B-2.

e. Subsequent Command Inspections.

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

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

(3) Annual SCI areas will be chosen from table B-2, but the annual SCI may not be as comprehensive as the ICI. Tailoring annual SCIs will reflect my concerns at the time of inspection as well as resource constraints. The tailoring decision is mine alone.

f. Implementation of command inspections.

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

(2) Following the inspection in-briefing, the command sergeant major (CSM) and I will conduct an in-ranks inspection. We will each inspect one platoon at a minimum. All platoons, however, should be prepared for the inspection. Allow approximately one hour for the in-ranks inspection. I expect the unit Commander and unit First Sergeant (1SG) to accompany the CSM and me.

(3) After the in-ranks inspection, the CSM, unit Commander, 1SG, platoon leaders, platoon sergeants, and I will have breakfast together in the battalion dining facility.

(4) Beginning at 0930, the unit Commander and I will conduct a general walk-through of the unit area, to include the barracks, dayroom, latrines, dining facilities, motor pool, and supply areas. Simultaneously, the battalion XO and staff principals will inspect their respective areas of concern, and the CSM will conduct a complete inspection of the barracks with a layout inspection of at least one platoon's basic equipment issue.

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

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

(7) The unit Commander and unit leadership will receive a formal out-briefing from me and from each staff OIC NLT 1 week after the conduct of the inspection. The battalion XO will coordinate the date and time of the out-briefing following DAY TWO of the inspection.

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

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

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

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

within my ability to fix. For example, physical training program, inventory procedures, awards program, and maintenance operations

     a. If problems require assistance above my level to fix, I will request that assistance and notify the division inspector general if necessary.

     b. Staff inspections will stand alone or complement ongoing command inspections.

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

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

     a. *Hazardous Materials Inspection of the Motor Pool.* The post Environmental Officer will conduct a daylong inspection of the Motor Pool once a year to determine the battalion's compliance with regulations governing the amount of Class III and petroleum, oil, and lubricants packaged products that the battalion can maintain on hand. The battalion point of contact for this inspection is the support platoon leader, who will work with each company XO to ensure compliance with the standards. The support platoon leader must also coordinate through the battalion XO and with the battalion S-3 to schedule this annual requirement.

     b. *Physical Security Inspection.* The garrison director of emergency service's office will conduct an annual inspection of the battalion's arms rooms and barracks to ensure compliance with post and Army physical security requirements. The S-2 is the battalion point of contact for this inspection and will work with the company 1SGs and unit armorers to ensure compliance with the standards. The S-2 must also coordinate through the battalion XO and with the battalion S-3 to schedule this annual requirement.

10. INSPECTOR PREPARATION:

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

     b. New inspectors should focus first on battalion policies pertaining to their inspection area. When they become familiar with these policies, they should study the brigade and division policies followed by corps, ACOM, and Department of the Army policies or regulations. This study method will help prevent new inspectors from becoming overwhelmed with stacks of references and checklists.

11. USE OF THE INSPECTOR GENERAL:

        a. The division inspector general has offered to train battalion and unit inspectors in inspection techniques and inspection planning. The basis of their training is The OIP Guide for Commanders. I encourage all Company Commanders and staff inspectors to read this document, which is available through the Battalion S-3. Staff principals and Unit Commanders should arrange for further training through the S-3.

        b. The IG system tracks problems down to their root cause and can resolve issues that are beyond the battalion's ability to correct such as conflicting guidance in Army regulations. Therefore, we will often inform the IG of issues that we cannot resolve so that he or she can resolve them. Such issues will go forward in writing under my signature.

12. ANNOUNCED AND UNANNOUNCED INSPECTIONS:

        a. As indicated, the ICIs and SCIs are announced inspections that we will incorporate into the training schedule.
        b. Unannounced inspections are a valid way of determining the day-to-day status of unit activities. However, these inspections can be highly disruptive to training and other necessary activities. Therefore, unannounced inspections within the battalion will not occur unless I give my personal approval.
        c. We will also coordinate announced inspections by agencies outside the battalion and include them on the training schedule.

13. RESPONSIBILITIES:

        a.   The XO will—
                (1) Serve as the battalion OIP coordinator.
                (2) Coordinate and consolidate inspection-visit results, facilitate inspector meetings, and ensure the completion and distribution of all inspection reports. Copies will also go to the division IG.
                (3) Resolve any discrepancies between the inspected unit and the battalion inspectors.
                (4) Schedule formal out-briefings in the battalion classroom not later than 1 week after completing all command and staff inspections.
                (5) Submit issues that you cannot resolve at the battalion level to the next higher headquarters.
                (6) Develop the battalion-level MOI / Operations Order in coordination with the S-3, for all brigade command inspections.
        b. The CSM will—
                (1) Participate in all Command Inspections and certain staff inspections as appropriate.
                (2) Attend Command Inspection in-briefings, inspector meetings, and out-briefings.
                (3) During Command Inspections, inspect at least one platoon; conduct a complete inspection of the unit billets and wall lockers; inspect at least one platoon layout of basic equipment issue; and walk through other unit areas such as the dining facility, motor pool, and dayroom.
                (4) Inspect the NCOER program to ensure that counseling is occurring properly.

   c. The S-1 will—

            (1) Provide inspectors for all S-1 areas of responsibility as outlined in table B-2. Additionally, annotate the names of staff personnel responsible for the various inspection areas in the appropriate column on the list and return a copy of the completed list to the XO not later than 10 days prior to DAY ONE of a scheduled command inspection.

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

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

   d. The S-2 will—

            (1) Provide inspectors for all S-2 areas of responsibility as outlined in table B-2. Additionally, annotate the names of staff personnel responsible for the various inspection areas in the appropriate column on the list and return a copy of the completed list to the XO no later than 10 days prior to DAY ONE of a scheduled command inspection.

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

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

   e. The S-3 will—

            (1) Integrate into the unit training plan all inspections approved at the unit training briefing.

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

            (3) Provide inspectors for S-3 areas of responsibility as outlined in table B-2. Additionally, annotate the names of staff personnel responsible for the various inspection areas in the appropriate column on the list and return a copy of the completed list to the XO no later than 10 days prior to DAY ONE of a scheduled command inspection.

            (4) Evaluate the conduct of the Army physical fitness test during the ICIs.

            (5) Publish no later than 10 days prior to DAY ONE a listing of warrior task training and chemical, biological, radiological, and nuclear (CBRN) tasks to evaluate and then assess one platoon on each set of these tasks during the Command Inspection.

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

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

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

            (9) Schedule outside agencies for assistance as necessary.

   f. The S-4 will—

            (1) Provide inspectors for S-4 areas of responsibility as outlined in table B-2. Additionally, annotate the names of staff personnel responsible for the various inspection areas in the appropriate column on the list and return a copy of the completed list to the XO no later than 10 days prior to DAY ONE of a scheduled command inspection.

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

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

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

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

g. The battalion maintenance officer (BMO) will—

(1) Provide inspectors for the maintenance area of responsibility as outlined in table B-2. Additionally, annotate the names of staff personnel responsible for the various inspection areas in the appropriate column on the list and return a copy of the completed list to the XO no later than 10 days prior to DAY ONE of a scheduled command inspection.

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

(3) In coordination and conjunction with the battalion signal officer (S-6), conduct a maintenance inspection of one platoon during each ICI.

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

h. The battalion signal officer (S-6) will—

(1) Provide inspectors for the communications area of responsibility as outlined in table B-2. Additionally, annotate the names of staff personnel responsible for the various inspection areas in the appropriate column on the list and return a copy of the completed list to the XO no later than 10 days prior to DAY ONE of a scheduled command inspection.

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

(3) In coordination and conjunction with the BMO, conduct a communications / electronics and communications-security maintenance inspection of one platoon during each ICI.

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

i. Unit Commanders will—

(1) Annotate the names of unit points of contact (POCs) and guides responsible for the various inspection areas on the inspection area list and return a copy of the completed list to the XO not later than 10 days prior to DAY ONE of a scheduled command inspection.

(2) Designate the specific platoons to participate in the inspection areas detailed below. Furthermore, notify the appropriate staff section OIC of the selected platoons NLT 7 days prior to DAY ONE of a scheduled Command Inspection.

(a) Battalion Commander—in-ranks (DAY ONE, 0730-0930)
(b) S-3—Army Physical Fitness Test (APFT) (DAY TWO, 0700-0800)
(c) S-3—CBRN evaluation (DAY TWO AM)
(d) S-3—Warrior Task Training evaluation (DAY TWO PM)
(e) BMO / S-6—maintenance evaluation (DAY TWO AM)
(f) S-4—10-percent inventory (DAY TWO PM)

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

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

14. BATTALION COMMAND INSPECTION REPORTS:

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

b. Staff section OICs will submit three copies of the final written report using the format detailed at figure B-2 and three copies of all completed inspection-visit checklists to the battalion XO not later than three working days after the inspection.

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

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

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

f. Staff Inspection reports will follow the same format outlined in figure B-2. Each staff section will complete the inspection reports NLT 10 days after the conduct of any inspection.

g. The XO will consolidate inspection reports into a written final report for the Commander's approval.

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

                                                BATTALION COMMANDER
                                                LTC, XX
                                                Commanding

DISTRIBUTION: A

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

DAY ONE

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

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

A-1

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

DAY TWO

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

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

NLT ONE WEEK AFTER THE INSPECTION VISIT

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

A-2

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

Inspection Area (from Div Cir 1-201)	Bn Staff Proponent	Bn Staff Inspector	Standard (AR, policy, etc.)	Remarks
Drug and Alcohol (p. A-1-1)	S-1			
Equal Opportunity (p. A-2-1)	S-1			
Sexual Harassment, Assault Response and Prevention (SHARP) (p. A-3-1)	S-1			
Family Care Plans (p. A-4-1)	S-1			
Recognition / farewell to Departing Soldiers (p. A-4-1)	S-1			
Weight control (p. A-5-1)	S-1			
Awards (p. B-1-1)	S-1			
Reenlistment (p. B-2-1)	REUP			
Meal-Card Control (p. B-4-1)	S-1			
NCOERs (DA Form 2166) / OERs (DA Form 67-10-1A) (p. B-4-1)	S-1			
Promotions p. B-5-10	S-1			
Enlisted Reassignment (p. B-6-1)	S-1			
Travel Card Administration (p. B-7-1)	S-1			
Military Sponsorship (p. B-8-1)	S-1			
Timeliness of Admin Eliminations (p. B-9-1)	S-1			
eMilpo Operations (p. B-10-1)	S-1			
Use of Enlisted Personnel (p. B-11-1)	S-1			
Finance Administration (p. C-1-1)	S-1			

B-1

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

Inspection Area (from Div Cir 1-201)	Bn Staff Proponent	Bn Staff Inspector	Standard (AR, policy, etc.)	Remarks
Finance Services (p. C-2-1)	S-1			
General Legal Services (p. D-1-1)	S-1			
Courts-Martial (p. D-1-2)	S-1			
Non-judicial Punishment (p. D-4-1)	S-1			
Enlisted Separations (p. D-4-1)	S-1			
Legal Assistance and Claims (p. D-5-1)	S-1			
Suspension of Favorable Personnel Actions (p. D-6-1)	S-1			
Medical Services (p. E-1)	S-1			
Public Affairs (p. F-1-1)	S-1			
Physical Security (p. G-1-1)	S-2			
Crime Prevention (p. G-2-1)	S-2			
Safety (p. B-4-1)	S-1			
Information Assurance (p. I-1-1)	S-6			
Personnel Security (p. I-2-1)	S-2			
Computer Security Program (p. I-4-1)	S-2			
Intelligence Oversight (p. J-1)	S-2			
Training and Operations (Digital Training Management System) (p. K-1)	S-3			

B-2

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

Inspection Area (from Div Cir 1-201)	Bn Staff Proponent	Bn Staff Inspector	Standard (AR, policy, etc.)	Remarks
CBRN Program (p. L-1)	S-3			
COMSEC (p. M-1)	CESO (S-6)			
Financial Management (p. N-1)	S-4			
Supply Management (p. O-1-1)	S-4			
Dining Facilities (p. O-2-1)	S-4			
Maintenance Management (p. P-1)	BMO			
Movement Planning (p. Q-1)	S-3			
In-Ranks Inspection (p. R-1-1)	CSM			
Billets (p. R-2-1)	CSM			
Clothing and CTA-50 (p. R-4-1))	CSM			
Leadership (p. R-4-1)	CSM			
Safety and Fire Prevention (p. S-1-1)	Battalion Safety Officer			
Purchase Card Administration (p. S-2-1)	S-4			
Environmental Compliance (p. S-4-1)	S-4			
Records Management (p. O-2-1)	S-1			
Physical Training (p. T-1)	CDR			
Counseling Program (p. C-1-1)	S-1			

NOTE: The tables listed above represent only a sample of the many functional inspection areas that comprise inspections at the battalion level.

ANNEX C (Report Format) to Battalion Organizational Inspection Program (OIP)

HEADING:

UNIT: _____(Enter)_____DATE INSPECTED: (Date)
INSPECTOR: _____(Name)_____UNIT POC: ____(Name)_____

SUBJECT AREA: This section should coincide with the major appendix heading in the battalion inspection areas list. When a sub-element of that heading falls under a different staff proponent (for example, FIRE PREVENTION is an SAFETY responsibility, but ENGINEERING and HOUSING are S-4 responsibilities), the appropriate staff member will prepare a separate report for that sub-element.

SUMMARY: This section should consist of a brief description of the sub-elements inspected within the major appendix heading. Each sub-element will include a rating of SATISFACTORY, NEEDS IMPROVEMENT, or UNSATISFACTORY. Inspectors must ensure that their standards are consistent from one inspection to the next and from one unit to another.

FINDINGS: This section should highlight areas of significance (either strengths or weaknesses) that demonstrate that the unit is either surpassing or not following the overall intent and letter of the regulatory guidance or requirement. Comments in this section should be consistent with the rating in the SUMMARY section. Consistency from one inspection to the next and from one unit to another is essential.

OBSERVATIONS: This section should (a) identify potential problem areas that have not yet become issues, (b) highlight areas if the inspector suspects but cannot verify a problem, or (c) indicate where the inspectors believe that the unit is not complying with the "spirit of the law."   Comments in this section should be consistent with the rating in the SUMMARY section. Note that Observations are not substitutes for Findings.

ROOT CAUSE: This section should explain the reason (or reasons) for the non-compliance of any findings and—if necessary—any observations. The Root Cause Analysis Model is an important tool to use to determine why something is not happening to standard (see The OIP Guide for Commanders, section 3-3).

RECOMMENDATIONS: This section should provide specific guidance or suggestions on how an individual, unit, or staff section can correct a noted deficiency. An essential element of every recommendation is naming an individual, unit, or staff section charged with fixing the problem. Additionally, use this section to recommend individuals for outstanding performance.

TRENDS AND OTHER SIGNIFICANT MATTERS: This section should highlight significant observations and trends found throughout the inspection that do not relate to a regulatory requirement but are directly or indirectly affecting the outcome of a particular finding (or findings).

Example

DEPARTMENT OF THE ARMY
ORGANIZATION
STREET ADDRESS
CITY STATE ZIP

UNIT: <u>XXX Battalion</u>   DATE INSPECTED: <u>22-24 June XXXX</u>

INSPECTOR: <u>MSG Inspector, Brigade S-1 NCOIC</u>   UNIT POC: <u>CPT Inspected</u>

SUBJECT AREA: BATTALION ADMINISTRATION

SUMMARY:

    1. AWARDS: UNSATISFACTORY

    2. REENLISTMENT: UNSATISFACTORY

    3. NCOERs: SATISFACTORY

FINDINGS:

    1. AWARDS. Personnel and administration action center supervisory personnel do not monitor the awards program, and Soldiers often receive awards well after their departure from the unit.

    2. REENLISTMENT. Unit Commanders are not interviewing Soldiers within 11 to 12 months of the Soldiers' expiration term of service (ETS) dates.

OBSERVATIONS:

    3. NCOERs. All noncommissioned officers (NCOs) are being counseled on their performance, and this counseling is documented on their NCOERs.

ROOT CAUSE:

    1. The S-1 shop members are aware of the Commander's policy to present awards to departing Soldiers before they leave the unit; however, the S-1 shop suffers from a manpower shortage and an effective tracking system that would allow the shop to keep pace with the awards system with fewer people.

RECOMMENDATIONS:

    1. AWARDS. The S-1 should establish a tracking system that identifies departing Soldiers and requires the Soldier's chain of command to forward a recommendation for an award or to indicate that the Soldier will not receive an award for a specific reason.

2. REENLISTMENT.

    a. The S-1 should establish a tracking system to remind Commanders to interview Soldiers 11 to 12 months prior to their ETS date.

    b. Unit Commanders should conduct these interviews on time.

    3. NCOERs. The Unit Commander should acknowledge the outstanding job that his leaders are doing in NCO counseling.

TRENDS AND OTHER SIGNIFICANT MATTERS: Company Commanders appear to be uninvolved in the recommending and processing of awards, which results in a lack of emphasis and command visibility.

CUI

NOTE: The acronym "CUI" is omitted from each page of the sample OIP to avoid formatting issues. CUI must appear in the header and footer of each page.

Section 5-3
_____
Sample Division Organizational Inspection Program

1. **Purpose:** This section provides a sample division-level Organizational Inspection Program (OIP) that will illustrate the key features that comprise the program.

2. **The Division OIP:** Since divisions are comprised of numerous companies, division OIPs <u>must</u> address the baseline requirement for Initial Command Inspections for those companies. Since AR 1-201 does not mandate Command Inspections for battalions and above, divisions may develop their Command Inspection Program at those levels to address the priorities and policies of the Division Commander. Division OIPs may also contain Staff Inspection programs and Staff Assistance Visits (SAVs). But, if the division OIP does not contain either or both of these programs, the OIP should, at a minimum, provide guidance on these programs for subordinate commands, especially since brigade (or brigade-sized) organizations must, in accordance with AR 1-201, paragraph 3-2 d, provide guidance on Staff Inspections and SAVs for their subordinate organizations. Staff Inspections and Command Inspections have traditionally been critical components of brigade-level OIPs. In addition, the division OIP but must also address IG Inspections and external inspections. The division OIP should also establish the standards for all Initial Command Inspections conducted within the division so that subordinate Commanders can tailor their OIPs accordingly. The Division Commander should always consider the OIPs and OIP guidance of senior Commanders at least two levels up when developing guidance for the division OIP.

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

Sample Division OIP Memorandum

CUI

DEPARTMENT OF THE ARMY
ORGANIZATION
STREET ADDRESS
CITY STATE ZIP

XX-XXXX   1 August XXXX

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Division and Installation Organizational Inspection Program (OIP)

1. REFERENCES:
   a. AR 1-201 (Army Inspection Policy), dated__
   b. AR 11-2 (Risk Management and Internal Control Program), dated__
   c. AR 20-1 (Inspector General Activities and Procedures), dated__
   d. AR 381-10 (U.S. Army Intelligence Activities), dated__
   e. __ Corps Organizational Inspection Program (OIP), dated __
   f. The Inspections Guide, dated __
   g. The OIP Guide for Commanders, dated __
   f. ADP 7-0 (Training Units and Developing Leaders)
   g. ADRP 7-0 (Training Units and Developing Leaders)
   h. __ Corps Training Guidance, FY__

2. PURPOSE: To prescribe procedures for the conduct of the Division and Installation Organizational Inspection Program (OIP) within the ___ Infantry Division and Fort _____.

3. COMMANDER'S GUIDANCE: Inspections are an integral component of my organizational assessment program. I consider them an important tool to assess the combat readiness of each of our units, identify areas that require additional training, and highlight problems that require resolution. In addition, inspections help me identify issues that may cause me to readjust my priorities and policies. All battalions and brigades within the division will develop OIPs; likewise, the Garrison Commander will establish an OIP for his or her subordinate units and tailored to meet the needs of the tenant units on post and that follows the guidelines and requirements set forth in this OIP. The division will have an aggressive Command Inspection program that focuses on Initial Command Inspections and Subsequent Command Inspections for all companies, troops, batteries, and detachments. Commanders at all levels will be actively involved in

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this program. My staff will also conduct Staff Inspections as directed by the Chief of Staff on a recurring basis. The Inspector General will focus on inspecting topics or issues that suggest that a systemic problem might be present. I intend to reserve IG Inspections for those issues that I want to solve -- permanently. All inspections conducted in the division and the garrison will adhere to Army inspection policy and the Army's inspection principles as outlined in Army Regulation 1-201, and IG inspections will adhere to the three-phased process outlined in AR 20-1 and the U.S. Army Inspector General School's The Inspections Guide. Furthermore, teaching, training, and mentoring will be the goal of all inspections conducted within the division and on the installation. Lastly, I want Commanders at all levels to use The OIP Guide for Commanders available from the IG. This guide is a valuable resource that will aid in developing effective OIPs throughout the command.

4. GENERAL: The Division OIP consists principally of Command, Staff, and IG Inspections.

    a. The division and garrison will conduct all inspections in accordance with the inspection principles outlined in AR 1-201. All IG inspections will follow the inspections process outlined in AR 20-1. All other inspections should follow this same inspections process when possible.

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

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

    d. The G-3 and the DPTMS are the division and garrison OIP Coordinators respectively. With the division, the G-3 is responsible for monitoring follow-up inspections on all battalion-level and higher inspection results to ensure that the recommended corrections occur in a timely manner. The same responsibility applies to the DPTMS at the garrison level. At the completion of each inspection in the division or on post, a copy of the inspection report will go to the G-3 / DPTMS.

    e. The G-3 / DPTMS is responsible for scheduling all inspections. If an outside agency wishes to inspect a unit within the division or on post, forward the request immediately to the G-3 / DPTMS to ensure that the inspection can fit both on the training schedule and with the division's priorities. We will not schedule requested inspections that do not support the division or installation's priorities, goals, and objectives. We will highlight inspections during staff meetings and treat them just like all other training events.

5. INSPECTION PRIORITIES:

    a. Improving warfighting readiness and division plans and policies

    b. Taking care of our Soldiers and Families

    c. Correcting problems identified during major training exercises, Command Post Exercises, and Combat Training Center rotations

    d. Solving problems that present a systemic problem or pattern

6. COMMAND INSPECTIONS:

    a. Command Inspections are a critical component of all OIPs within the division and garrison. Command Inspections improve unit readiness, and Commanders at all levels will participate in these inspections as a way to reinforce their importance and to

take an active role in determining the results. At a minimum, Commanders conducting Initial Command Inspections and Subsequent Command Inspections will attend the inspected unit's in-briefing and out-briefing and actively participate in some aspect of the inspection (for example, conducting in-ranks inspections, barracks inspections, motor pool inspections, and so on).

        b. Command Inspections within the division come in two forms: The Initial Command Inspection (ICI) and the Subsequent Command Inspection (SCI). These inspections differ in two ways. The ICI is comprehensive, and Commanders will not use the results of the ICI to measure or evaluate a new Commander's progress since taking command. By contrast, the Commander may tailor the SCI as necessary and can use the results of the SCI to evaluate the unit Commander's progress since the ICI.

        c. Initial Command Inspections (ICI).

            (1) All incoming Company, Battery, Troop, or Detachment Commanders will receive an Initial Command Inspection within the first 90 days of assumption of command.

            (2) The ICI will allow new unit Commanders to understand readily their units' strengths and weaknesses. The inspecting Commander will personally take part in the inspection, and I expect his or her staff to make this inspection a priority as well. I expect all inspectors to conduct a detailed inspection that not only documents problems but also teaches solutions and assists the unit with corrective actions. The inspecting Commander will discuss the results of the ICI with the inspected unit Commander and help set goals and priorities for his or her command tenure. This discussion will occur after completing the ICI with the appropriate entries made to the OER Support Form (DA Form 67-10-1A).

            (3) The baseline standards for all ICIs conducted within the division are at Annex A.

        d. Subsequent Command Inspections (SCI).

            (1) SCIs will occur for all units that receive an ICI. Commanders will conduct SCIs only after allowing inspected Commanders sufficient time to make corrections but within one year from the ICI.

            (2) The SCI will enable each unit Commander to measure the progress of his or her unit. The inspecting Commander will provide guidance as necessary to help each unit Commander strengthen his or her unit's performance.

            (3) Battalion and Brigade OIPs should outline a standard approach and methodology for conducting Initial and Subsequent Command Inspections so that much of the planning and execution phases can occur as Standing Operating Procedure (SOP).

        e. Brigade and Battalion Commanders may develop, at their discretion, other Command Inspection requirements within their respective units. Requiring annual Command Inspections of all battalions within a brigade is acceptable, but the inspecting Commander must consider time constraints and avoid an overly rigorous inspection program that robs units of critical training time.

7. STAFF INSPECTIONS: Staff Inspections within the division and garrison will focus on a single functional area. The Chief of Staff for the division and the Deputy Commander for the garrison are responsible for developing their respective Staff Inspection programs. Within the division, the program will involve the inspection of one functional area within the brigades annually. For example, G-2 may inspect the intelligence functional area in all brigades for FY____. The G-2 will send inspection teams down to the brigades to inspect each S-2 shop's compliance with regulations governing that

functional area. The garrison Deputy Commander is free to develop a similar approach but may tailor the Staff Inspection to meet the installation's needs.

a. Staff Inspections will be compliance oriented but will also serve to teach and train those staff sections to function properly and effectively.

b. Staff Assistance Visits (SAVs) are an important part of the Staff Inspection program. Brigade and installation staff sections may request SAVs as required to teach and train staff sections on their roles and requirements as outlined in the governing regulations. SAVs are a good way to prepare for future Staff Inspections.

c. Brigade Commanders may consider a similar Staff Inspection program within their respective commands as long as the Staff Inspections complement the Command Inspections and do not result in redundancy.

8. IG INSPECTIONS: The division IG is also the installation IG, and IG Inspections within the division and on post will focus on systemic issues that are having a deleterious effect on many of the division's and garrison's units and Soldiers. IG Inspections will always focus on identifying the root cause of all identified problem areas and will offer recommendations that -- once implemented -- will result in a permanent, long-standing solution to the problem.

a. As mentioned earlier in my Commander's Guidance, all IG Inspections will follow the Inspections Process outlined in Army Regulation 20-1 and the Inspector General School's The Inspections Guide.

b. IG Inspections must adhere to -- and actively promote -- the inspection principles outlined in Army Regulation 1-201.

c. The IG will develop an annual inspection plan for each fiscal year that identifies one inspection topic per quarter. The IG will develop these topics by analyzing trends and patterns within the division, evaluating Defense Readiness Reporting System-Army (DRRS-A) (formerly Unit Status Report (USR) and Strategic Readiness System (SRS) data, and by considering my guidance and concerns about specific issues within the division and on post. This prioritized inspection list will appear in my Annual Training Guidance to the division.

d. The IG will consider Managers' Internal Control provisions found in most Army regulations when narrowing inspection topics and developing inspection objectives. The IG will also coordinate with the Resource Management (RM) office to ensure that information gleaned from Internal Control reports is available to the IG for consideration when analyzing trends within the division and installation. Furthermore, the IG will monitor the resolution of all material weaknesses identified during Internal Control evaluations.

e. The IG will conduct Intelligence Oversight in accordance with Army Regulation 381-10 for all intelligence activities on post on an annual basis. The installation and division's intelligence activities are as follows:

(1) All battalion and brigade S-2 sections
(2) _____Military Intelligence Battalion
(3) DSEC (garrison staff and part of DPTMS)

f. The IG will be available to conduct inspector train-the-trainer courses throughout the year. Units will coordinate directly with the IG to schedule these courses. The training consists of information-gathering techniques and how to use the Inspections Process as outlined in The Inspections Guide, which the Department of Army Inspector General School publishes and uses as a student text. I encourage all Commanders and staff inspectors to read this guide, which is available through the IG.

9. EXTERNAL INSPECTIONS: External inspections fall into two categories: Inspections external to the installation and inspections external to the division's units.

     a. Inspections external to the installation come in the form of DAIG inspections, Department of Defense (DoD) IG inspections, Forces Command (FORSCOM) IG inspections, U.S. Army Audit Agency (USAAA) audits, and Government Accountability Office (GAO) audits. In most cases, these inspections will be short-notice visits and can prove disruptive to the long- and short-range planning calendars. We will attempt to learn of these inspections well in advance so that we can include them on the division calendar. The IG will host all external IG visits. The Resource Management (RM) office will host all external audits.

     b. Inspections external to units within the division exist in the form of garrison-level inspection requirements. Each brigade OIP Coordinator will contact the DPTMS and schedule all external inspection requirements well in advance. These inspections must appear on battalion and brigade training calendars. The recurring garrison-level inspections and their proponents are as follows:

        (1) <u>Hazardous Materials Inspection of Battalion and Brigade Motor Pools.</u> The post Environmental Officer will conduct annual inspections of each Motor Pool on post.

        (2) <u>Physical Security Inspections.</u> The garrison Provost Marshal's office will conduct annual inspections of all battalion, brigade, and separate company arms rooms and barracks to ensure compliance with post and Army physical security requirements.

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

10. INTERNAL CONTROL: The Resource Management (RM) office is the proponent within the division for Internal Control requirements and reports as required by AR 11-2. These reports are required on a recurring basis, so the division Resource Manager must share the information gleaned from these reports with the IG for consideration during trends analysis. In addition, the RM office will oversee -- and report to me -- all material weaknesses identified during Internal Control evaluations and track these problems to resolution. The IG will assist the RM office in monitoring these important issues.

11. INSPECTOR PREPARATION:

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

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

     c. Battalions and above will have an inspector training program in accordance with AR 1-201, paragraph 1-4d (9). At a minimum, this training program will include the Army inspection policy and the Army's inspection principles.

12. ANNOUNCED AND UNANNOUNCED INSPECTIONS:

     a. As discussed earlier, the ICIs and SCIs are announced inspections that we will incorporate into training schedules at all levels.

b. Unannounced inspections are highly disruptive to training and other necessary activities. Therefore, no unannounced inspection will occur without my personal approval. This approval includes both internal and external inspections.

13. RESPONSIBILITIES:
       a. The Division Chief of Staff / Garrison Deputy Commander will:
          (1) Establish and execute a Staff Inspection program in close coordination with the division and garrison OIP Coordinators.
          (2) Assist the G-3 / DPTMS in submitting issues identified during inspections that we could not resolve at the division or post level to the corps headquarters under my signature.
          (3) Task the respective division and installation staff proponents to implement the approved recommendations found in all IG (and lower-echelon) inspection reports.
       b. The G-3 / DPTMS will:
          (1) Serve as the Division / Installation OIP Coordinator.
          (2) Coordinate and consolidate inspection-visit results and ensure the completion and distribution of all inspection reports. Copies will also go to the division IG.
          (3) Submit issues identified during inspections that we could not resolve at the division level to the corps headquarters under my signature. The IG calls this process handoff.
          (4) Schedule all internal inspections on the division / garrison long- and short-range planning calendars.
       c. The IG will:
          (1) Conduct IG Inspections as part of the division OIP.
          (2) Conduct inspector training as requested.
          (3) Share inspection results with all units and tenant organizations on post.
          (4) Conduct Intelligence Oversight of the post's intelligence activities annually or as required.
          (5) Monitor material weaknesses identified during internal Management Control evaluations.
       d. The Resource Manager (RM) will:
          (1) Execute the Risk Management and Internal Control Program in accordance with AR 11-2.
          (2) Share Internal Control information with the IG.
          (3) Track the resolution of all material weaknesses identified during Internal Control evaluations.
       e. The division and installation staff will:
          (1) Conduct Staff Inspections as required by the division Chief of Staff's / garrison Deputy Commander's plan.
          (2) Support all IG Inspections with augmentation personnel as required.
          (3) Ensure that all individuals within the staff section who will conduct inspections are technically qualified and trained to conduct the inspection.
          (4) Conduct Staff Assistance Visits (SAVs) as requested.

14. INSPECTION REPORTS: All inspection findings will follow a format similar to the one outlined in The Inspections Guide used by the IG. At a minimum, the finding must

include the finding statement, standard, and recommendation. The rest of each report's overall format is at the discretion of the local Commander.

15. PROPONENT / SUGGESTIONS FOR IMPROVEMENT: The overall proponent for this OIP is the division G-3. Any member of the division or installation may suggest changes directly to the G-3.

                                              DIVISION COMMANDER
                                              MG, USA
                                              Commanding

Annexes:
A - ICI Inspection Areas

DISTRIBUTION: A

ANNEX A (ICI Inspection Areas) to the Division / Installation Organizational Inspection Program (OIP)

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

NOTE: The table listed above represents only a small sample of the many functional inspection areas that comprise company-level Initial Command Inspections.

CUI

NOTE: The acronym "CUI" is omitted from each page of the sample OIP to avoid confusion. CUI must appear in the header and footer of each page.

Section 5-4

_____
Responsibilities of the OIP Coordinator

1. **Purpose:** The purpose of this section is to describe the basic (and in many cases proposed) responsibilities of the Coordinator of an Organizational Inspection Program (OIP).

2. **Who is the OIP Coordinator?** The OIP Coordinator is the person within the unit or Command charged with developing, coordinating, and monitoring the OIP. At the brigade level and below, Commanders will designate the deputy commander, executive officer, or similar individual assigned as the second in command to serve as the organization's OIP coordinator. Commanders above the brigade level will designate someone in a position of authority (such as a Chief of Staff or G-3) to serve as the OIP coordinator (see paragraph 1-4 f (3) in Army Regulation 1-201). Take note that the IG cannot serve as the OIP Coordinator (see paragraph 4). The OIP Coordinator does not actually lead -- or physically conduct -- the various inspection programs that comprise the OIP. Instead, the OIP Coordinator ensures the continuous execution and scheduling of these inspection programs in accordance with the guidance set forth in the written OIP. The OIP Coordinator's principal task is the development of a schedule that incorporates -- and then coordinates -- the inspections that occur within the unit or command for a given year, quarter, month, and so on.

3. **Responsibilities:** The responsible Commander at each echelon of command designates the OIP Coordinator and then outlines that person's responsibilities. Resultantly, the roles of OIP Coordinators will vary from unit to unit and from command to command. The common responsibilities of all OIP Coordinators are as follows:

      a. Develop a written OIP that captures the key elements outlined in Section 5-1 of this guide.

      b. Develop and maintain a schedule that captures all relevant inspections that occur within the unit or command. The best coordination schedule is an annual timeline that lays out all Command Inspections, Staff Inspections, IG Inspections (division level and above), audits (division level and above), external inspections, and major training events. Quarterly schedules are good for the short term, but the OIP Coordinator should base these quarterly schedules on long-term, or annual, calendars. The purpose of these schedules is to prevent conflicts with major training events or other inspections and to avoid redundant or duplicate inspections. In other words, these schedules ensure that inspections do not interfere with major training events and enable the OIP Coordinator to develop and monitor a cohesive program that focuses on command objectives.

      c. Coordinate for the use of outside inspection assets on behalf of Unit Commanders. These inspection assets can include Maintenance Assistance and Instruction Teams or Command Evaluation Teams (known as MAITs or COMETs respectively), Installation Environmental Office inspectors, Installation Safety Office

inspectors, and the Directorate of Emergency Services (DES) to conduct physical security inspections.

     d. Routinely participate in training meetings and briefings to address inspection schedules and plans as necessary and to discuss and apply lessons learned when scheduling future inspections.

     e. Meet routinely with the lead agents responsible for executing the various components of the OIP such as Commanders (Command Inspections); Chiefs of Staff, Executive Officers, or Primary Staff members (Staff Inspections and Staff Assistance Visits); IGs (IG Inspections); Resource Managers (audits); and the individuals responsible for external inspections, which include installation- or garrison-level inspections.

     f. Monitor the execution and completion of all corrective measures resulting from final inspection reports. When a Commander approves the results of an inspection, the recommended corrections become taskers that the designated proponents must implement. As an additional follow-up measure, the OIP Coordinator must develop a tracking system that will allow him or her to update the Commander routinely on the progress of these corrective actions.

4. **IGs as OIP Coordinators:** Inspectors General <u>are prohibited</u> from serving as OIP Coordinators per Army Regulation 1-201, paragraph 1-4 f (3). However, in addition to serving as the Commander's principal adviser on the OIP, the IG provides advice and training to all OIP Coordinators on the OIP and the IG's role in the OIP.

5. **IGs and Command Inspections:** Commanders sometimes want their IGs to serve as the lead for their Command Inspection programs. However, IGs are prohibited from doing so. IGs may only assist in the organization, coordination, and training of inspectors for the Commander's Command Inspection Program if tasked by the Commander, but the IG will not lead or physically inspect as part of the command inspection effort (see Army Regulation 20–1, paragraph 2–7 b, and paragraph 5-1 g for IG duty restrictions regarding command inspections).

Chapter 6

Reserve Component Inspections

Section 6-1 - Reserve Component Inspection Considerations

Section 6-2 - Reserve Component Inspectors General

Section 6-1

_____
Reserve Component Inspection Considerations

1. **Purpose:** This section discusses the key considerations inherent in conducting inspections within the Army Reserve and Army National Guard (ARNG).

2. **The Reserve Component (RC) Environment:** Most people recognize that the RC has generally the same inspection standards as the Active Component, but the command's challenges and considerations can be quite different in the RC environment. The most serious considerations are:

   a. Time (to train, maintain, inspect, counsel, etc.)

   b. Dispersed units

   c. Dual responsibilities of full-time unit staff

   d. State versus Federal requirements (Army National Guard only)

3. **Effect on the OIP:** OIPs must address the considerations and limitations discussed in paragraph two. The consolidation of inspections in the RC remains essential to ensure minimal disruption to training. In effect, an OIP that includes RC units must inherently accept the limitations of the RC environment. However, the RC OIP can still accommodate the three inspection categories used within the AC: Command Inspections, Staff Inspections, and IG Inspections. Furthermore, the inspection-selection process, root cause analysis model, and the Inspections Process apply to the RC with little change.

4. **Adapting Inspection Doctrine to the RC Environment:** Compiling a comprehensive list of internal and external inspections for the RC is an extremely difficult task because of the different headquarters and chains of command involved. Each chain of command can conceivably create duplicate inspections. Consider, for example, evaluations such as:

   a. Command Supply Discipline Program (CSDP)

   b. Command Logistics Review Program (CLRP)

   c. Aviation Resource Management Surveys (ARMS)

   d. Command Inspections

   e. Organizational readiness surveys

   f. Installation inspections (physical security, fire marshal, safety, environmental, etc.)

   g. Other staff visits / inspections

6. **Commander Involvement:** Few AC Soldiers fully understand the challenges involved in operating a RC unit. Imagine running a division without the Commander's presence except on Mondays and Tuesdays. Consider also that only five to eight percent of the total division is present for duty from Wednesday through Friday and the Commanders and 1SGs are <u>not</u> a part of that full-time force. If Commanders are to be involved in the inspections program, one must remember that their available time for participation is precious. The full-time staff members tend to conduct inspections during non-IDT periods without the Commander's physical presence -- even though the Commander stays involved by receiving routine updates from the full-time staff. These inspections often occur when the full-time staff members at various command levels inspect those units or staffs below them. Therefore, a significant share of inspections, often described as Command or Staff Inspections, occur as SAVs without the leaders or staff principals present. To compensate for this situation, Commanders should consider consolidating inspections and conducting them at a more realistic frequency so that they -- the RC Commanders -- can participate in person and not just by receiving updates through their full-time staff members.

7. **Innovative Inspection Practices and Tools:** The following are thoughts and techniques the RC Commander may consider when organizing inspections:

    a. **Consolidation Techniques:** Imagination and cooperation can reduce the inspection load. Conducting collaborative inspections (between agencies from different echelons), consolidating several separate inspections into the Command Inspection (including physical security, fire marshal, and safety inspections), and sharing inspection results will go far to improving the situation. One inspection-consolidation technique adopted by the Colorado Army National Guard combined ICIs and the outgoing company Commander's SCI into one change-of-command inspection (COCI). An excerpt from the Colorado Army National Guard's OIP explains the COCI in detail:

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

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

    Conducting a COCI as part of the change of command for both Commanders versus an ICI 90 or 180 days after the change of command for only the incoming Commander has improved the engagement of the outgoing Commander in the overall change-of-command transition. Higher-level command involvement and mentorship has also resulted from conducting a COCI versus separate ICI and SCI inspections. Another element of the COCI concept is to synchronize and integrate as many inspection requirements as possible to reduce the overall inspection burden on subordinate units and to maximize the utilization of inspection resources over an extended period. Subsequent command inspections supplement COCIs to measure progress and

reinforce the goals and standards established during the change-of-command inspection. These inspections are often focused inspections that only look at specific areas and are not necessarily complete re-inspections of the entire unit. SCIs will take place, but the timing will be at the discretion of the inspecting Commander."

b. **Frequency of Inspections:** Annual inspections place an unnecessary burden on RC Commanders. Command tenure in the RC is normally three years. These three years of command equate to 36 weekends (not counting AT). For the Battalion Commander with an HHC and four line units, inspections consume 15 of those 36 weekends if conducted on an annual basis (five units per year multiplied by three years). So, unless annual inspections are absolutely necessary, Commanders should conduct inspections less frequently (perhaps every other year) to allow for the maximum amount of training time in the unit.

c. **Other Inspection-Type Activities:** Several other activities exist that resemble inspections and that can -- with imagination and cooperation -- be coordinated with inspectors into an inspection program.

(1) **Mobilization and Deployment Evaluations:** RC Commanders can minimize the overall disruptions to unit training by collaborating efforts with mobilization exercises and evaluations scheduled during IDT or AT periods. For example, a command or staff inspection can occur in conjunction with a National Guard unit's Readiness and Mobilization Exercise (REMOBE) scheduled over a weekend IDT period.

(2) **Staff Assistance Visits (SAVs)**. RC units need SAVs geared toward hands-on performance of the required standards. These SAVs must focus on helping, teaching, and mentoring rather than merely marking checklists. A good SAV can also determine how well a unit or staff section is performing without calling the visit an inspection by name.

d. **The Automated Inspection Program (AIP):** The AIP is one of many tools created by selected organizations to facilitate Command and Staff Inspections. In this case, the AIP is a product of the U.S. Army Reserve and is a Web-based application that assists an inspection team in developing a highly structured and meaningful inspection. Implemented in accordance with USAR Regulation 1-201 and OPORD 12-013, this tool enables an inspector to develop checklists based on relevant standards and allows users to tailor those checklists to ensure unit systems are in compliance. By design, this program produces standardized reports that enable senior-level commands to analyze for trends and systemic issues. All users, however, must remember that this tool is an effective aid for the inspection team to conduct its mission but is no substitute for subject-matter experts who are trained to inspect specific functional areas. But one point of caution: Any tool like the AIP requires constant maintenance to keep it updated, so inspectors must ensure that the standards included in the program are in fact current. This responsibility rests with the inspector. For further information on the AIP, contact the U.S. Army Reserve Command IG at HQIG@usar.army.mil or 1-800-359-6116.

Section 6-2

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Reserve Component Inspectors General

1. **Purpose:** This section discusses Inspectors General in the Army Reserve and Army National Guard (ARNG).

2. **IG Offices in the Reserve Component (RC):** Approximately 54 percent of the total force is RC, yet only 10 percent of the total assigned IG strength serves full time with the ARNG and Army Reserve. Readiness Division (RD) IG staff sections will have AGR IGs that cover the various functions and missions of the IG office (inspections, assistance, and so on). By contrast, the institutional training divisions may have only one or two AGR IGs. The ARNG Joint Force Headquarters (JFHQ) is normally staffed with the same number of full-time assets as found in the Army Reserve, but that staffing still does not equate to AC office staffing.

3. **Full-Service IG Office:** Full service means providing assistance, performing investigations, conducting inspections, and teaching and training. To run a full-service IG office in the RC is a challenge because the case workload for assistance alone normally tasks the full-time, TPU, and M-Day staffs beyond their limits. This workload leaves little time to devote to other IG duties. Taken together, RC units train collectively only 45 days a year, but RC members request assistance 365 days a year.

4. **Inspection Involvement by the RC IG:** Although limited by time and personnel, RD- and JFHQ- level IGs should have an inspection plan and devote adequate time for IG inspections. However, each RD or JFHQ handles the IG's involvement in inspections differently. Some RC IGs conduct only general (organizational) inspections while some narrow their focus on systemic readiness issues in the command through special inspections. The type and amount of IG involvement in inspections is directly related to the size of the full-time IG staff and the availability of subject-matter experts to assist as temporary assistant IGs.

5. **Coordinating Inspections:** Like the AC, the RC must maintain a central point of contact for inspections – an OIP Coordinator. Normally, this OIP Coordinator is the Deputy Commander / Executive Officer or the Deputy Chief of Staff for Operations (G-3) (see Section 5-4 of this guide for further details about the OIP Coordinator).

Chapter 7

Inspections in TDA Organizations

Section 7-1 - Inspections in TDA Organizations

Section 7-1

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Inspections in TDA Organizations

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

2. **Differences Between TDA and Table of Equipment (TOE) Organizations:** TDA organizations are different from their TOE counterparts because TDA organizations do not deploy or fight. Therefore, inspecting a TDA unit's deployment or warfighting capabilities would be inappropriate and senseless. This same fact is true of large TDA organizations like the Army Staff in the Pentagon, the Army Commands (ACOMs), and smaller organizations such as garrison staffs (DPTMS, DOL, and DPW). Even though they do not deploy or fight, TDA organizations are still organizations whose activities require periodic inspection. The fact that some TDA organizations have more Civilians than Soldiers does not change their need for inspections.

3. **Large Civilian-Dominated Organizations:** Several Civilian-dominated ACOMs, ASCCs, and DRUs have successfully adapted inspection concepts and procedures to their environments with little or no change. Commanders get involved personally while their staffs visit outlying sites. These Command Inspections are planned and executed just like their military counterparts. Only the names of the players have changed to reflect the different organizations. Likewise, IGs inspect TDA organizations in the same manner as they inspect TOE units.

4. **Garrison Units and Staffs:** Garrison Commanders have developed successful OIPs designed for their respective situations and organizations. These commanders recognize the need to inspect various agencies on post to ensure that all activities are running smoothly and according to established policies and regulations. The principles and techniques that apply to inspections in TOE units apply for TDA organizations as well. As always, commanders tailor inspections to fit their needs. At a minimum, a Garrison Commander's OIP must include Initial Command Inspections for the garrison companies. These companies deserve the same Initial Command Inspections that TOE companies, batteries, troops, and detachments receive. Garrison OIPs must consider internal and external inspections as well.

     a. **Internal Inspections:** Garrison staffs are normally capable of performing most internal inspections on themselves and their tenant units. If not, then they may arrange for help from their higher headquarters or other tenant units.

     b. **External Inspections:** Garrison staffs are subject to external inspections that check their activities in much the same way that a division staff might inspect the activities of a brigade headquarters. In this regard, garrison staffs should arrange for external inspectors to inspect them as necessary. For example, in U.S. Army Europe (USAREUR), the USAREUR IG conducts periodic inspections of military communities. In the past, the communities belonged to the respective corps headquarters (and the 21st Theater Support Command), so either the corps IGs or the staff (in the case of the 21st Theater Support Command) inspected the community (garrison) staff (and the

HHC). This external perspective is just as necessary for the garrison staff as it is for TOE units.

Chapter 8

Inspector General Inspections

Section 8-1

Inspector General Inspections

1. **Purpose:** This section discusses Inspector General (IG) Inspections, IG information restrictions, and the unique role of the IG.

2. **Focus of IG Inspections:** IGs inspect issues or subjects that are important to the Commander and that are usually systemic in nature. To an IG, systemic means that a functional area, program, or system is suffering from an inherent problem that, in turn, is affecting many units, Soldiers, and people. IGs receive specific training on how to conduct inspections, gather information, analyze that information, identify root causes, and make focused recommendations that can correct problem areas for the long term. IGs are well suited to conduct all <u>types</u> of inspections (general, special, and follow-up), but <u>special</u> inspections that focus on a single system, program, or functional area allow IGs to use this special training to the maximum extent possible. Special inspections that focus on problems within functional areas, programs, or specific systems require clear identification of the problems and their root causes, and IGs are trained specifically to do just those things. The table below (Table 1) outlines the distinctions between general and special types of inspections.

General versus Special Inspection

General (Conventional Compliance Approach)	Special (Systemic Approach)
Focused on the functional "health" of a specific unit or organization	Focused on the "health" of a particular function, program, or system using units as sources of information
Results contribute directly to the Commander's readiness assessment of the organization	Results positively impact the readiness of multiple units and not just one
Broad inspection areas	Narrow inspection areas
Compartmentalization of inspection areas	Systemic, integrated assessment of a focused inspection area
Short-term horizon	Long-term horizon
Cyclical in frequency and design	Linear in frequency and design
Distinguished by specialists who evaluate inspection results within a single commodity area	Integrates expertise from various specialties that contribute to research, design, and evaluation of the inspection results
Resolves local issues by assigning responsibility for corrective action at the lowest possible level	Resolves complex, high-payoff issues and assigns responsibility for corrective action to an individual or agency at the appropriate level
Unit-based assessment that promotes accountability by the Commanders for compliance	Systems-based assessment – free of unit attribution or penalty – that promotes a deeper inquiry of the issues
Commander stresses performance in terms of efficiency and outputs (i.e., materiel readiness rates or number of Soldiers trained)	Commander stresses performance in terms of effectiveness and outcomes (qualitative perceptions of the impact of particular functions)
Views root cause issues from a hierarchical, organizational framework	Views root cause issues from a web-like team approach that spans functional and organizational lines
Assumes standards are correct as written	Does not assume the standards up and down the chain are correct

Table 1

3. **IG Information Restrictions:** The only restrictions that IGs face when conducting an inspection is that all of their information -- even the information released in a Final Report -- is IG information. Confidentiality is the watchword of all IG functions in much the same way that doctors keep their patients' medical information confidential. When an IG is involved in an inspection either as the lead or as a participant, any information the IG gathers falls within this notion of confidentiality as outlined in Army Regulation 20-1. IGs must always protect the sources of their information, so IGs release to the public only <u>redacted</u> information. In IG parlance, redacted means that the information provided

lacks attribution or that DAIG's Records-Release Office has removed all attribution. Keep in mind that field IGs are not authorized to redact any IG information; only DAIG's Records-Release Office has the authority to redact such information. In effect, IGs focus their efforts on the information gathered during an inspection and not necessarily the source (or sources) of that information. Furthermore, Commanders or leaders at any level cannot use IG information to evaluate or compare individuals or units. The only person who can release IG information (or IG records) along with the source of that information is The Inspector General (TIG). Therefore, a Commander must consider the limitations placed upon IGs with respect to IG information before assigning an inspection topic to them or involving them in someone else's inspection. In many cases, a Commander may need to know the source of the problem to fix it, and IGs cannot release the sources of their information without the TIG's approval. This reason, and the special inspection training that IGs receive, makes a special inspection the best type of inspection an IG can conduct since the focus is on the problem and the problem's root cause -- not the information sources that helped to identify the problem.

4. **Unique Role of the IG:** As discussed earlier, IGs function under certain special restrictions, and Army Regulation 20-1 protects all IG records and the confidentiality of individuals and units. Collectively, IGs have a level of experience unmatched by any other body of people in the Army. They are carefully screened, and The Inspector General of the Army approves all uniformed Army IGs. IGs study IG business and restrictions prior to assuming the role of an IG. They have "reflected power" in that IGs are the confidential advisor to their Commanders. IGs routinely report about the morale, *esprit de corps*, and discipline of the command as evidenced by the Assistance cases they handle, the Investigations they conduct, and the Inspections they undertake. They benefit from a multi-echelon, multi-dimensional outlook that no other staff member shares save for the Chief of Staff. All other staff members are specialists, but IGs are generalists. IGs have access to information that few others enjoy. They have an active, highly effective system of technical channels that allows them to communicate with each other across the globe with a minimum of red tape. As mentioned earlier, IGs are thoroughly indoctrinated in the concept of confidentiality and take very seriously their responsibility to protect the rights of individuals. IGs have a dual responsibility: to their Commander and to the Soldiers, Civilians, and Family Members under their jurisdiction. They deal in ethical and moral matters daily, for **they are an extension of the eyes, ears, voice, and conscience of the Commander**. The Army has no other group of individuals like them. Yet IGs are still staff officers bound by many of the same rules followed by any staff officer. Although IGs have the ear of the Commander, they must adhere to the same courtesies exercised by other staff officers, and they are careful to treat everyone with respect and not to "drop dimes." As this discussion suggests, the IG of today is vastly different from the IG of the recent past. In the past, IGs suffered from the unenviable reputation of being the one who goes in after the battle and 'bayonets the wounded'. But today the IG really is here to help, and those folks who understand this change in approach are truly glad to see the IG.

Section 8-2

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Compressed Inspector General Inspections

1.   **Purpose:** The purpose of this section is to discuss Compressed Inspector General (IG) Inspections and how IGs can tailor the IG Inspections Process to remain responsive to the resource and time constraints of a deployed and operational environment.

2.   **Compressed IG Inspections:** The current operational environment places great demands on the Army IG system and its four functions. With active, reserve, and National Guard units mobilizing, deploying, re-deploying, and de-mobilizing, readiness remains central to the Commander's -- and the IG's -- focus. The most direct way in which an IG can impact readiness is to conduct IG Inspections of systemic issues as a way to "unclog the pipes" of those functions, programs, or systems that are not working effectively or are hindering the readiness of the command and its subordinate units. These inspections -- and their associated solutions -- help reduce the friction of active, reserve, and National Guard units coming together to fight and win our Nation's wars.

         The problem quickly becomes the number of systemic issues that surface and require immediate IG attention. IG offices are generally limited in the number of people who can conduct Inspections on a full-time basis. Therefore, a Division IG office can normally handle one special IG Inspection at a time without much augmentation. But how long should those Inspections last? Ninety days? Thirty days? A week? Obviously, IG Inspections conducted quickly mean more Inspections in a shorter period. But what about the quality of those Inspections? Was the sampling size adequate with regard to the nature and complexity of the topic? How does an IG tailor the three-phased, 17-step Inspections Process to meet the needs of such compressed timelines without risking the quality and validity of the Inspection's results?

         These questions represent important considerations for an IG working under such constraints. But a special IG Inspections Process that can accommodate the recent flurry of Inspections requirements -- a type of procedural "panacea" --- does not exist. Even though time and people are the principle resource constraints for IG Inspection teams, the three-phased, 17-step IG Inspections Process still stands as the best, most effective means of inspecting a systemic issue, identifying its root causes, and recommending solutions that will "unclog the pipes" of a clogged, dysfunctional system, function, or program. Such things as *quick-look* and *short-fused* Inspections do not exist and offer no viable shortcuts to gathering, analyzing, and reporting information to the Commander. Instead, the IG must analyze the situation based upon personnel, time, and other constraints and identify what parts of the IG Inspections Process that he or she must compress in order to execute the Inspection quickly without placing the process at risk. IGs refer to Inspections executed under these various constraints as **Compressed IG Inspections**.

3.   **Compressing the Process:** The key to compressing the IG Inspections Process is to maintain the process's integrity to avoid putting the validity of the findings and recommendations at risk. Simply omitting certain steps and the outputs of those steps can severely hamper the quality of the information gathered and the Findings Sections

that appear in the final Inspection Report. The IG must choose carefully which steps to compress or omit. Likewise, the IG must caution the Commander that Compressed IG Inspections should not become the norm because, depending upon what aspects of the process were compressed (time, sampling size, number of objectives and sub-tasks, size and quality of Trip Reports, etc.), the Commander may be making significant readiness decisions based upon Inspections findings that only represent a small, limited sampling of the Command. In all cases, the IG must never violate any the five Inspections principles outlined in Chapter 2, Army Regulation 1-201: purposeful, coordinated, focused on feedback, instructive, and followed up. Here are some considerations for compressing the IG Inspections Process when <u>time and people</u> represent the IG's key resource constraints:

    a. **Preparation Phase:**

        (1) **Research:** Research may occur quickly, but it must be thorough. The IG team will normally rely on readily available information and standards. The results of previous inspections can also go a long way in helping the IG Inspection team locate references quickly and develop objectives. If the Inspection topic is technical in nature, the IG must not hesitate to request augmentation with subject-matter experts who can serve as Temporary Assistant IGs. Temporary Assistant IGs with knowledge and experience of the systemic issue in question can cut down the research time significantly and allow the IG Inspection team to narrow the scope of the Inspection quickly. The IG may omit the Inspection purpose, but the Inspection Objectives are essential since they will drive all of the information-gathering activities and provide the Inspection team with a laser-like focus on what the team needs to know to correct the systemic issue. Receiving the Commander's guidance on the topic up front will also prevent the Inspection team from developing superfluous inspection objectives that do not meet the Commander's intent.

        (2) **Develop the Concept and Commander Approves Concept:** The IG can combine these two steps easily. The Inspection team should draft a simple outline of the proposed concept for a desk-side, oral briefing to the Commander. A written Inspection Directive that captures the precise authority the Inspection Team needs to conduct the Inspection is essential, however. The format and quality of the Directive must remain unchanged -- especially during a compressed inspection when time is crucial. If the sampling size in the concept falls below 15 percent due to time and personnel constraints, the IG must caution the Commander that the information gathered may not fully represent the command. The Commander must consciously accept this risk or afford the IG team more time to complete the Inspection. The importance and immediacy of the inspected topic will clearly drive this decision.

        (3) **Plan in Detail:** Detailed planning may be hasty and can omit the standard written products in full memorandum format. Sub-Tasks remain central to the information-gathering activities of the Execution Phase, so the IG team must not omit this output under any conditions. A simple methodology that only includes task organization and a sample Inspection itinerary will suffice; a baseline Inspection methodology is not necessary, but the lead IG cannot forget to assign information-gathering tasks to the various Inspection team members. A Notification Letter is also not necessary; the team can select the units based upon the sampling constraints (to include travel time, location in the Area of Operations, current mission, availability, etc.)

and then notify those units via messenger, radio, MSE, tactical email, FRAGO distribution systems, or some other secure, tactical means of communication. The IG team can also combine the Notification Letter and Detailed Inspection Plan into one document. The Detailed Inspection Plan should still be in writing but in an abbreviated format for ease of electronic or hard-copy distribution. The essential information in the Detailed Inspection Plan includes the Inspection Objectives, the inspected units, the dates and times the team will visit those units, the methodology (or approach), interview and sensing session requirements, required documents and itineraries, and a basic timeline.

(4) **Train-Up:** The IG Inspection team can omit the standard interview and sensing session rehearsals, but the team cannot take shortcuts in developing the information-gathering tools required to capture the information necessary to answer the Sub-Tasks and, ultimately, the Inspection Objectives. The interview and sensing session questions -- as well as document review guidelines and observation spot reports -- must follow directly from the Sub-Tasks. The IG team may choose to limit the duration of interviews and sensing sessions due to time constraints. For example, if standard interview times drop from one hour to 30 minutes, then the IG team must develop interview questions suited for the shorter time period. Using the same number of questions for an hour-long session to conduct a 30-minute interview will not work; the IG interviewer and interviewee will feel rushed, and the information gathered will suffer in terms of accuracy and content.

(5) **Pre-Inspection Visit:** The IG team can skip this step in a time-constrained environment. Although a pre-inspection visit has great value in refining the information-gathering tools and the team's methodology, this step may represent a luxury in time that the IG team cannot afford. Experience within the IG team in conducting IG Inspections can help compensate for this skipped step, but those IGs who have the experience must share it and actively guide and mentor the less-experienced IGs and augmentees.

b. **Execution Phase**:

(1) **Visit Units and In-Process Reviews (IPRs):** The IG Inspection team should visits the units based upon the timeline established in the Detailed Inspection Plan and spend no more time than is necessary to gather the required information. The team's methodology may call for a full day spent with a unit; but if the IG team can accelerate the schedule for that day, the team should do so. Remember: Many of the units you visit to gather information may be in the process of mobilizing, deploying, or conducting active operations in the operational theater. Your team's presence will certainly have an impact on the unit on that given day; try to limit that impact as much as possible. But don't allow a unit to give you the "cold shoulder"; you have a charter to fulfill for your Commander, an Inspection Directive, and your actions will ultimately help the units from which you are gathering the information. In-briefings and out-briefings may be hasty and verbal in nature. Using multiple inspection teams as part of your task organization will also allow you to cover more units quickly in a shorter period, thus increasing your sampling size or decreasing the duration of this step. Be fast, be thorough, and be discreet with the information you gather.

Trip Reports remain essential to the Inspection. Although the formats may change or become more simplified, the IG Inspection team members must still take the time after each visit to stop, capture the information gathered using the observation-paragraph format, link the information to the appropriate Sub-Tasks, and allow the team chief to review it before moving on to the next unit. The team must build time into the schedule to write these Trip Reports since they will serve as the primary sources of the final Inspection Report. A laptop computer in the hands of each Inspection team member will facilitate the rapid documentation of this information for later consolidation into a single Trip Report by the IG team chief. Do not allow the Trip Report quality to suffer since the effect on the final Inspection Report will be significant.

IPRs will be difficult to conduct, so the team should not plan to conduct them at a unit in order to develop an out-briefing for the Commander. The team should only huddle briefly and agree upon what information to leave with the Commander, but a formal IPR will generally not be possible. IPRs conducted after every few visits are always a good idea in order to identify emerging trends; however, the IG team can skip these IPRs as well if time proves crucial.

(2) **Update the Commander:** Your Commander's time will be at a premium during a deployment or an operational mission, so consider recommending to him or her that you omit this step. Depending upon his or her personality, the Commander will more likely be interested in a final Inspection Report than an update since the topic under inspection is probably crucial to the command's immediate readiness or warfighting capability. If the Commander wants a mid-inspection update, then the IG team will have to conduct at least one formal IPR to identify some emerging trends to include in the update briefing.

(3) **Analyze Results and Cross-walk:** The IG team chief must still organize the Inspection team to write the final Inspection Report. When time is not an issue, IG Inspection Reports appear in the form of a booklet with several chapters. Such a lengthy product will not be possible in a time-constrained environment, so the Inspection Report will most likely appear in the form of a memorandum. The portions of the Detailed Inspection Plan that address the Inspection Objectives, methodology, and other areas will be sufficient for the final report. The IG team chief can simply cut and paste this information electronically into the report memorandum.

The portion of the report that the team members cannot adjust or compress is the nine-step process used to develop a five-paragraph Findings Section for each Sub-Task. This deliberate, thorough process must remain intact if the IG Inspection team hopes to identify accurate findings and, for those findings that highlight a problem area, the root causes that will ultimately result in recommended solutions that, when implemented, will "unclog the system" that the IG team inspected. The accuracy of the Findings Statements, the root causes, and the recommendations is essential to solving the problems inherent in the inspected topic. The team may have to sequester themselves for a certain period in order to write the draft version of the final Inspection Report undisturbed.

The team should also consider cross-walking only those critical bits of information that absolutely demand verification or, in some cases, further explanation.

Cross-walking can prove time-consuming, so the team members should limit these activities as much as possible and focus only on critical cross-walking requirements.

(4) **Out-Brief the Proponent:** Soliciting feedback and comments from the proponents identified in your recommendations not only yields additional information and ideas but also involves the individuals or agencies that will implement these tasks in the overall Inspection. But time may not allow the IG team to out-brief the proponents at all or in their entirety. Although a professional courtesy, the proponent out-briefing is not critical to the final Inspection Report unless the IG team is unsure of the viability or ultimate effectiveness of one or more of the report's recommendations. In that case, the IG team can limit the number of proponents to out-brief based upon that criterion. If time is absolutely critical, the IG team can skip this step completely.

c. **Completion Phase:**

(1) **Out-Brief the Commander:** The IG team's briefing to the Commander on the results of the Inspection will occur based upon the Commander's availability. The IG team may only be able to submit the draft report in writing and await the Commander's response and approval at a later time or date. Ideally, and with the Commander's permission, the IG will want to gather all relevant staff members, all proponents identified in the report, and the Chief of Staff for the out-briefing to the Commander. A desk-side, oral briefing (sometimes following a Battle-Update Briefing, or BUB, in the Tactical Operations Center) is the most efficient way to present the information with all participants referring to a copy of the report. Consider using slide shows and other electronic presentation techniques if possible or feasible. The IG team chief must inform the Commander up front if the team did not out-brief the proponents first. That admission will allow the proponents to comment more freely on the report and its findings as the IG team briefs it. The Commander must approve the report verbally or in writing before the IG team can consider the Inspection complete.

(2) **Taskers:** The IG must ensure that the recommendations, once approved by the Commander, immediately become taskers with clear suspense dates. In most cases, the suspense dates will be short since their immediate implementation will improve the command's readiness and reduce the friction of mobilization, deployment, and combat operations. The IG team chief may have to be more aggressive in this regard and ensure that the command's tasking authority (normally the Chief of Staff) assigns the tasks based upon the proponents identified in the recommendations. If the IG team chief does not feel comfortable that such action has occurred, he or she must approach the Chief of Staff and resolve the problem immediately. Once the taskers are assigned, the IG team must then monitor the implementation of the tasks closely and report problems first to the Chief of Staff and then the Commander as necessary.

(3) **Finalize the Report and Distribute the Report:** Finalizing and distributing the report are two steps that the IG team can combine to facilitate the report's rapid distribution within and without the command based upon the Commander's guidance. The IG team chief and team members must make any final adjustments or changes quickly as directed by the Commander. Immediate distribution of the report is essential so that the proponents can begin implementing the solutions (now taskers) that the team recommended on order to solve the problems associated with the systemic

issue. Subordinate Commanders may need a copy of the report immediately so that they are aware of the action currently being taken to address the systemic issue; the Commanders can then focus their attention on other problem areas. A cover sheet for the report memorandum is not necessary; instead, the report should have a signature block on the last page where the Commander can state that the report is approved followed by his or her signature. The Commander's signature block should be below the IG team chief's (or principal IG's) signature block.

(4) **Handoff:** Handoffs may still occur either through IG channels or command channels. However, tasks that are essential to the command's readiness and that require immediate action should go through command channels so that they receive the required emphasis. The initial focus should be on implementing the recommendations that the command can handle without external assistance. Non-critical tasks that require handoff can receive a lower priority.

(5) **Schedule Follow-Up:** Follow-up for a Compressed IG Inspection must occur quickly and aggressively. The only way that the command will solve the problems associated with the topic or system inspected is to ensure the rapid implementation of the recommendations. The IG should work closely with the Chief of Staff and G-3 to monitor the tasks' completion; the IG should report any problems or shortfalls in suspenses first to the Chief of Staff and then to the Commander as necessary. Never omit the follow-up step -- especially since it is one of the five inspection principles.

4. **Fundamental Aspects of the Process:** The discussion in paragraph two offers the IG some of the many points to consider when compressing the IG Inspections Process. Each situation will vary, and the IG must respond accordingly. But the IG -- and the IG Inspection Team as a whole -- must never put the fundamental aspects of the process at risk. Those key aspects of the process are closely linked and depend upon one another as follows:

a. *Inspection Objectives* lead to . . .

b. *Sub-Tasks*, which drive the . . .

c. *Task Organization* and *Methodology* and lead to . . .

d. The *information-gathering tools*, which will allow IGs to capture the information in . . .

e. *Trip Reports*, which in turn serve as the primary sources for the . . .

f. *Findings Sections* written for each Sub-Task and reported to the Commander in the . . .

g. Final *Inspection Report*, which outlines the . . .

h. *Taskers* the proponents must complete to resolve problems with the inspected topic or system and in which the IG team must monitor in order to . . .

i. *Follow-up* and complete the Inspection.

These fundamental aspects of the process -- and the five inspection principles -- must not come into jeopardy as a result of compressing the IG Inspections Process. Taking severe and abrupt shortcuts in the process places the validity and accuracy of the inspection findings at risk and may cause the Commander to make incorrect or unnecessary decisions. Although the IG team chief may opt to compress or eliminate some of the steps inherent in the process's three phases, skipping some or many of the items listed above will result in a faulty Inspection Report, incomplete information, and a weakened analysis of the information gathered and any applicable root causes. Crippling the process will further hinder the command's readiness, so the IG must exercise caution and good judgment when conducting a Compressed IG Inspection.

Section 8-3

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Department of the Army Inspector General Agency's Inspections Directorate

1. **Purpose:** This section describes the unique missions of DAIG's Intelligence Oversight, Cybersecurity, and Technical Inspections Branches and defines the specific, non-doctrinal terms they use in performing these missions.

2. **DAIG's Specialized Inspections Branches:** DAIG's six inspections branches are organized within the Inspections Directorate under the leadership of a Senior Executive Service DA Civilian and, as the directorate's deputy, a colonel (normally a former brigade commander). The unique, specialized missions of three of the directorate's branches – Intelligence Oversight, Cybersecurity, and Technical Inspections -- call for a separate discussion because of their unique inspection methodologies (primarily compliance inspections) and unique terminology. DAIG's other three branches, the Systemic Inspections Branches, are not discussed here because the special IG inspections of systemic issues performed by these branches generally adhere to the same doctrine and terminology used by all IGs who inspect at the Army Command (ACOM), Army Service Component Command (ASCC), and Direct-Reporting Unit (DRU) levels and below.

      a. **Intelligence Oversight Branch (SAIG-IO):** The Intelligence Oversight Branch conducts inspections of sensitive activities and special-access programs, working closely with the Army Special Programs Directorate (ASPD) to provide Army senior leaders with an independent assessment and oversight of these critical programs. During these inspections, the branch teaches and trains on matters related to program management, financial stewardship, contracting, cybersecurity, and security management. Secondly, the branch also performs intelligence oversight compliance inspections in coordination with the Office of the General Counsel and the Deputy Chief of Staff, G−2. The branch inspects to ensure the propriety of Army intelligence activities and their compliance with appropriate laws, executive orders, and regulations. The emphasis includes ACOMs, DRUs, and Corps headquarters. Lastly, the branch conducts inspections of research centers and laboratories to ensure that proper safeguards are in place regarding security, technological protection, and counterintelligence practices at Army facilities.

      b. **Cybersecurity Inspections Branch (SAIG-CSI):** The Cybersecurity Inspections (CSI) Branch conducts an annual cybersecurity oversight inspection of the Army's cybersecurity program at the direction of the Secretary of the Army. The branch also conducts an annual Federal Information Security Modernization Act of 2014 assessment of the Army's cybersecurity program as required by 44 USC 3555 and provides cybersecurity subject-matter expert support to the Technical Inspections (TI) Branch during their chemical, biological, and nuclear compliance inspections. Additionally, the branch conducts cybersecurity inspections annually as required by other regulatory programs throughout all components of the Army (ACOM, ASCC, DRU, Corps, Army National Guard, and the Army Reserve). These inspections provide the Army senior leadership with information about the Army's compliance with, and the

effectiveness of, cybersecurity-related statutes and policies. Cybersecurity is a readiness issue, and IGs at all levels must assist their commands in improving or maintaining the command's cybersecurity posture. In accordance with Army Regulation 25–2 and other applicable cybersecurity guidance, Commanders are responsible for managing cybersecurity resources while implementing and enforcing cybersecurity policy. Commanders must also appoint cybersecurity personnel to provide technical and administrative oversight of the command's cybersecurity program. Command IGs are not part of this structure but must coordinate with the command's cybersecurity personnel to determine readiness trends that may warrant a special IG inspection of the program.

c. **Technical Inspections Branch (SAIG-TI):** The Technical Inspections (TI) branch conducts independent compliance and systemic inspections; assessments; and evaluations of chemical, biological, radiological, and nuclear programs. These programs include safety, security, personnel reliability, mission operations, emergency response, cybersecurity, and other special areas of emphasis and functional components. They primarily involve operations with Chemical Weapons Convention treaty Schedule 1 chemical agents; non-traditional agents (NTAs); Biological-Select Agents and Toxins (BSAT); non-BSAT infectious agents and toxins (IAT); nuclear reactors; and nuclear command, control, and communications systems. These compliance inspections evaluate technical operations against Federal, Department of Defense (DOD), Joint, and Army regulatory requirements in addition to local policies and standards. They also assess the adequacy of support and guidance provided to the organizations and other issues affecting the organizations' ability to accomplish their assigned missions safely, securely, and reliably. These inspections are also critical in keeping senior leaders informed of the status of compliance in technical areas. They also conduct oversight inspections / evaluations of those ACOMs, ASCCs, and DRUs having oversight of chemical, biological, and nuclear entities. The TI Branch conducts both announced and unannounced compliance and systemic inspections in all technical areas. Inspected entities include, but are not limited to --

- chemical weapons depots, activities, and demilitarization facilities;
- chemical surety material and NTA research, development, test, and evaluation
- laboratories;
- chemical, biological, radiological, nuclear, and high-yield explosive analytical and remediation activities;
- chemical agent training facilities;
- Department of Defense BSAT research laboratories;
- microbiological and biomedical research and instructional facilities;
- veterinary reference laboratories;
- clinical high-containment laboratories;
- commercial laboratories working with DoD and Army-provided chemical and BSAT materials;
- organizations with laser systems;
- nuclear reactor facilities;
- organizations supporting the nuclear command, control, and communication systems and DoD's nuclear mission; and
- headquarters providing oversight of associated organizations.

(1) <u>TI Compliance Inspection Process</u>. Following a formal inspection in-briefing, the inspection team examines organizational performance by functional area. The inspection team briefs the unit leadership nightly on all draft findings. The team then thoroughly reviews all findings, typically while still on-site, to ensure the technical accuracy of the findings. The team also conducts a final out-briefing with the unit leadership and staff. The parent headquarters and other stakeholders often participate in the out-briefing. Many compliance inspection reports have only minor findings, which the organization routinely addresses at local levels, while others have more significant and meaningful findings, which must be addressed at senior levels. TIG specifically authorizes TI to endorse compliance inspection reports on TIG's behalf while the team is on-site for those inspections not requiring senior leader emphasis. The intent is to provide timely and relevant feedback as early in the process as possible in order to permit the inspected organization to correct deviations from standards in these technical areas immediately. TI Branch routes directly to TIG for review and endorsement those inspection reports containing failing deficiencies or findings that require direct attention.

(2) <u>TI Compliance Inspection Report Finding Resolution / Reclama Process</u>.

(a) Policy interpretation issues involving TI inspection findings are typically resolved while on-site with the inspected entity and the policy proponent. However, any Commanders or Directors in the chain of the inspected entities, or in the external support agencies, may submit a formal request to resolve a policy issue identified during a TI compliance inspection or oversight inspection / evaluation. Requests will go through the organizational chain of command to the policy proponent for adjudication.

(b) The policy proponent will coordinate the request with other applicable proponent offices as appropriate and with SAIG-TI. If any of the coordination offices non-concur with the proposed resolution, the issue will go to the next higher level within the chain of command for adjudication. The final adjudication authority, if required, is the Secretary of the Army.

(c) The policy proponent will forward final decisions to the respective ACOM / ASCC / DRU or HQDA staff agencies. They will also furnish copies of final decisions to affected stakeholders.

(d) Where an interpretation or clarification of a policy has been made during the process, the proponent will prepare a formal notification of the interpretation / clarification to all affected ACOMs, ASCCs, DRUs, and HQDA staff agencies.

3. **Unique Inspection Terms:** Since these three inspections branches are generally required to perform compliance (or general) inspections more frequently than systemic (or special) inspections, their reports are more sensitive because they represent attributed "report cards" on the organization's wellness regarding intelligence oversight, cybersecurity, or technical inspections. As a result, TIG centrally controls these branches at the DAIG level and tailors their reports to meet the needs of the Army's senior leadership. Likewise, these three branches must employ a unique vocabulary in their reports that is not common (or in some cases not allowed) in traditional IG Inspection reports of systemic issues. In some instances, the same term used by IGs in the field (such as a finding) has a slightly different meaning when used in the context of

IO, CSI, and TI reports. The following terms are unique to these three branches (and sometimes to DAIG's Systemic Inspections Branches) and apply only at the HQDA level:

a. **Failing Deficiency:** A serious deviation from the standard identified during an inspection that requires immediate attention / resolution and results in an overall failure of the inspection as defined by the proponent or The Inspector General.

b. **Deficiency:** A deviation from the standard or problem identified during an inspection
 needing leadership resolution / attention.

c. **Minor Deficiency:** A deviation from standard or problem identified during an inspection that has only minor impact / consequences and does not require special attention from leadership or higher-echelon commands.

d. **Observation:** A problem identified during an inspection that has a negative impact on the organization or the Army.

e. **Other Matters:** Problems identified by an inspection team that are outside the scope of a particular inspection.

f. **Positive Note / Trend:** The positive areas or best practices identified during an IG Inspection that are worthy of recognition.

g. **Finding:** A finding is an item of concern, a positive note, or a statement of non-compliance with policy or standards discovered during an IG Inspection. A finding may be a failing deficiency, deficiency, minor deficiency, observation, positive note, or other matter.

h. **Finding Statement:** The finding statement is a single, well-focused, well-structured sentence that captures the true essence of the finding.

i. **Inspector General Oversight:** The systematic employment of the Army IG system's collective functions in assessing and sustaining all Army systems, programs, and functions to ensure that Army units and the senior Army leadership remain informed of these systems' readiness status, particularly readiness issues that may negatively impact Army missions due to the failure to comply with applicable laws and other policy requirements.

j. **Oversight Inspection / Evaluation:** An assessment of a higher-level organization that determines the effectiveness of a program or process implemented by that organization. An oversight inspection / evaluation will include a review of all applicable policies, regulations, and guidance and the implementation of directives and processes.

4. **External Proponent / Stakeholder Attendance at DAIG Inspection Out-briefings:** At the Department of the Army level, some inspections of systemic issues are complex and reveal at the various unit locations selected site-specific, non-trending matters affecting stakeholders at the Department of the Army or even Army Command levels. These stakeholders are often proponents and program owners, such as Army Materiel

Command or HQDA G-1. To ensure visibility of these particular matters and to facilitate timely budgetary planning, TIG may authorize and / or offer proponents and program owners the opportunity to attend out-briefings conducted at inspection-visit locations. In these cases, the DAIG inspection team, with assistance from the senior local IG, will conduct special coordination to ensure that the Senior Commander of an inspection-site location is aware of additional attendees to the out-briefing both as a professional courtesy and to enable a coordinated discussion focused on problem resolution. The DAIG inspection team will make every effort to consolidate proponent and program owner equities and to present them up front during the out-briefing. This technique is unique to DAIG and does not apply to field Inspectors General.

Appendix A
_____
Special-Interest Items

1. **Purpose:** This section discusses Special-Interest Items (SIIs) and how to include them in an inspection.

2. **Defining a Special-Interest Item:** Special-Interest Items are topics that do not warrant a full inspection but require the efforts of an inspection to answer. One can view SIIs as a side issue that an inspection team addresses as part of a larger inspection effort. In effect, an SII is an inspection <u>within</u> an inspection. SIIs are usually very narrow in scope and require only a few answers to some basic concerns. For example, the Commander charges the IG with conducting a Special IG Inspection of Risk Management; however, the Commander also wants some information on Driver's Training that the inspection team must gather and report upon as part of the larger Risk Management inspection.

3. **Planning the Special-Interest Item:** In most cases, one inspection team member has the job of handling the SII in addition to all his or her other duties for the larger inspection. The SII requires the same level of research and attention that the main inspection topic receives. The team member must develop objectives for the SII but generally not Sub-Tasks. Once the objectives are complete, the team member crafts a brief concept for the inspection Team Leader's approval. This concept will include the SII's objectives, the information-gathering techniques the team will use to answer the objectives, and the method of reporting the information at the conclusion of the inspection. Some examples of SIIs conducted by DAIG in the past are as follows:

        a. PERSTEMPO Reporting

        b. Federal Voting Assistance Program

        c. Sexual Assault Prevention and Response Program

4. **Executing the Special-Interest Item:** SII objectives tend to be very focused and quantitative in nature; therefore, simple responses from individuals will capture the required information without the need for follow-up questions or further discussion. The inspection team can normally capture much of the information required to answer the SII's objectives using surveys or questionnaires. The questionnaire should be anonymous and self-explanatory. All members of the inspection team can issue the SII questionnaires before or after interviews or sensing sessions conducted as part of the larger inspection. Team members will collect the completed questionnaires and return them to the individual handling the SII for compilation and analysis as required. The team member may use a matrix, spreadsheet, or automated-database to analyze the information. If the information-gathering requirements for the SII exceed the ability of the questionnaire, then the team will have to carve out time from the larger inspection to engage in interviews, sensing sessions, document review, and observation as necessary. In any case, the SII should not interfere significantly with the greater information-gathering activities for the primary inspection topic. The impact of the SII on

the larger inspection must be minimal. If the inspection team cannot answer the SII's objectives without having a significant impact on the primary inspection, then the SII may need to become a main inspection topic for a later time.

5. **Sample Special-Interest Item Notification:** Normally, IG inspection teams will notify the inspected commands of the SII -- if conducted as part of a larger inspection -- using the Detailed Inspection Plan. The notification will normally be in paragraph eight of the Detailed Inspection Plan under the heading "Special Area of Interest" and only outline the purpose, objectives, and basic methodology of the SII. A sample SII paragraph is as follows:

> 8. SPECIAL AREA OF INTEREST: During the course of our inspection, the IG team will gather some basic information on the Implementation of Suicide Prevention Training as a special area of command interest. The purpose of this Special Area of Interest is to inform the Commanding General about the Inspector General's findings regarding the Implementation of Suicide Prevention Training and to make recommendations where needed. The objectives for this Special Area of Interest are as follows:

>> a. Determine if Soldiers in the Army have received Suicide Prevention training.

>> b. Determine if Soldiers in the Army understand Suicide Prevention Policy.

> Team members will inspect the Special Area of Interest when visiting each of the locations identified for the larger inspection. The inspection will focus on policies, procedures, and execution to identify any trends regarding the Implementation of Suicide Prevention Training. Army Regulation 600-92, Army Suicide Prevention Program (August 2023), provides the guiding tenets for this inspection. The inspection team will administer questionnaires to key personnel and enlisted Soldiers following interviews and sensing sessions. At the completion of the inspection, the Commanding General will receive a separate report in memorandum format. The report will capture the salient points of the inspection team's findings and articulate in detail those results that require immediate action.

6. **Completing the Special-Interest Item:** The SII requires its own report. The Final Report on the main inspection topic should not include any information about the SII. SII reports are normally memorandums that address some background about the topic, the SII's objectives, the findings, and any recommendations associated with those findings. The inspection team must out-brief any proponents named in these recommendations before forwarding the memorandum to the Commander. If the Commander approves of the findings and any recommendations, then the recommendations become taskers that the IG must monitor to completion. At a minimum, the IG should include a recommendation about following up or not following up on the SII.

7. **Sample Special-Interest Item Report:** The following sample SII report uses a memorandum format to convey the results to the Commander. The questions used to gather the information for the report appear as enclosures.

CUI

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

AFVS-IG   5 April _____

MEMORANDUM FOR COMMANDING GENERAL, 66th INFANTRY DIVISION

SUBJECT: Special-Interest Item -- Implementation of Suicide Prevention Training

1. Purpose: To inform the Commanding General about the results of the Inspector General's inspection of the Implementation of Suicide Prevention Training.

2. Discussion:

        a. In accordance with your guidance to assess the Implementation of Suicide Prevention Training as a Special-Interest Item during the Force Protection Inspection, I am reporting to you the results of that inspection. These results answer -- at a minimum -- the two objectives you directed us to assess: (1) Determine if Soldiers in the Army have received Suicide Prevention Training. (2) Determine if Soldiers in the Army understand Suicide Prevention Policy.

        b. The IG inspection team conducting the Force Protection Inspection assessed the Suicide Prevention Training by administering brief questionnaires to key personnel and enlisted Soldiers whom the team interviewed or sensed. The team designed a questionnaire based upon the information provided in AR 600-92 (see Enclosure 1 for the questionnaire). The total number of completed questionnaires was 736.

        c. By computing the aggregate number of responses from the completed questionnaires, the team was able to quantify the findings by percentage to answer the two principal objectives and other issues outlined in the surveys. Those results are as follows:

            (1) Ninety-five (95) percent of the Soldiers polled received face-to-face Suicide Prevention Training within the last year. (Question 1 on the survey).

            (2) Fifty (50) percent of the Soldiers polled received training since their assignment to the 66th Infantry Division. This high percentage suggests that leaders are aggressively ensuring that the Soldiers are receiving training on the policy (Questions 2 and 3 on the survey).

> **CONTROLLED BY: 66th Infantry Division (Office symbol)**
> **CUI CATEGORY: CTI**
> **DISTRIBUTION / DISSEMINATION CONTROL: FEDCON**
> **POC: MAJ William Smith, (123) 456-7890**

(3) Eighty-seven (87) percent of the Soldiers polled understand the Suicide Prevention Policy either moderately or to a great extent. This number suggests that a strong population of officers and Soldiers within the division feel reasonably confident that they understand the basic precepts of the policy as outlined in the regulation. A solid 64 percent of the population felt that face-to-face training was more than moderately effective, which suggests that the training is sufficient in its current form (Questions 8 and 12 on the survey).

(4) Ninety (90) percent of the Soldiers polled received the training directly from their commanders or first sergeants while ten (10) percent received the training from their unit chaplain, master resilience trainer (MRT), or another subject-matter expert (SME). Unit leaders traditionally lead the training and may use assets such as MRTs, legal representatives, chaplains, Suicide Prevention Program Coordinators, Safety SMEs, Army Substance Abuse Prevention Coordinators, Provost Marshal General, or other SMEs, which suggests that most leaders in the division are taking the policy -- and oversight of the policy within their respective units -- seriously (Question 4 on the survey).

(5) Forty-eight (48) percent of the Soldiers polled served only as observers during their last Suicide Prevention class. However, at least 27 percent of the population stated that they served as a participant in the training; this last number suggests that some trainers are teaching the policy innovatively by actively engaging the students in discussions -- or possibly role-playing scenarios -- concerning key aspects of the policy (Question 6 on the survey).

(6) Sixty-eight (68) percent of the Soldiers polled felt that a commander has full responsibility for the implementation of Suicide Prevention training, which is consistent with the notion that oversight of the policy is a commander's responsibility (Question 13 on the survey).

(7) Eighty-six (86) percent of the Soldiers polled knew risk factors associated with suicidal ideation and how to implement the Ask-Care-Escort (ACE) model. The fact that such a high number of Soldiers knew how to recognize early warning signs and intervene via Ask-Care-Escort reinforces the fact that that commanders have full oversight of any activity that involves the Suicide Prevention Policy (Questions 9 and 11 on the survey).

(8) Fifty-three (53) percent of the enlisted Soldiers polled stated that a combination of officers, commanders, staff members, and enlisted Soldiers attended their last Suicide Prevention training briefing. The remaining percentage of Soldiers polled stated that only enlisted Soldiers attended the training. The fact that many officers and enlisted Soldiers are attending the training together helps to underscore to the entire chain of command and the enlisted ranks the importance of knowing and understanding the policy (Question 5 on the survey).

(9) Seventy-seven (77) percent of the key personnel polled knew at least five Army resources and / or initiatives that apply to Suicide Prevention. This number clearly suggests that training is addressing the topic sufficiently. The 23 percent who did not answer correctly may have received the training many months -- or even a year -- earlier and therefore were unable to recall at least five resources (Question 10 on the survey).

(10) Eighty-two (82) percent of the key personnel polled stated that attendance rosters and training plans were available for all Suicide Prevention training, which suggests a pattern of careful and deliberate planning by units throughout the Army (Question 7 on the survey).

3. Recommendations:

a. The IG recommends that the G-3 ensure that face-to-face Suicide Prevention training appears in the Annual Training Guidance as an annual requirement to make certain that all Soldiers in the division know and understand the policy.

b. The training tools currently offered in the Army Training Network are sufficient and effective for this training, but the IG recommends that leaders at all levels strongly emphasize all aspects of the policy.

c. The IG further recommends that the IG conduct a follow-up Special-Interest-Item inspection of training on the Suicide Prevention Policy in FY __.

ALBERT R.   RIGHTWAY
LTC, IG
Inspector General

CG Decision:
Approved: _____
Disapproved: _____
Other: _____

Encl:
1 - Survey Questions

CUI

Note: The acronym "CUI" is omitted from each page of the sample OIP to avoid formatting issues. CUI must appear in the header and footer of each page.

The enclosures to the memorandum are as follows:

Enclosure 1 - Survey Questions

IG Inspection of the 66th Infantry Division's Implementation of Suicide Prevention Training Survey

SURVEY QUESTIONS

1. When was the last time you received face-to-face training on Suicide Prevention?
    a. Less than 90 days
    b. More than 90 days - less than 12 months
    c. More than 12 months - less than 18 months
    d. More than 18 months - less than 24 months
    e. More than 24 months
    f. Never received any training to date

2. Where were you stationed when you received your last Suicide Prevention training?
    a. Previous unit assignment
    b. Initial Entry Training
    c. Professional Military Education School
    d. Current unit assignment
    e. Never received any training to date

3. When was the last Suicide Prevention training you received in your current unit?
    a. Less than 90 days
    b. More than 90 days - less than 12 months
    c. More than 12 months - less than 18 months
    d. More than 18 months - less than 24 months
    e. No training received in my current unit to date

4. Who conducted the last Suicide Prevention training?
    a. First Sergeant
    b. Commander
    c. Chaplain
    d. Master Resilience Trainer
    e. Other

5. Who attended the last Suicide Prevention training?
    a. Enlisted only
    b. Officers only
    c. Commander and Staff
    d. All of the above
    e. None of the above

6. What role did you play in the last Suicide Prevention training?
    a. Instructor
    b. Observer
    c. Assistant
    d. Participant

7. Are attendance rosters / training plans available for Suicide Prevention training?
    a.   Yes
    b.   No

8. To what extent do you understand Suicide Prevention Policy?
    a.   Very large extent
    b.   Large extent
    c.   Moderate extent
    d.   Small Extent
    e.   Not at all

9. What risk factor(s) can lead to suicidal ideation?
    a.   Financial problems
    b.   Stigma associated with seeking help / behavioral health care
    c.   Social isolation
    d.   Relationship problems (e.g., break up, deployment, etc.)
    e.   Severe, prolonged, and / or perceived unmanageable stress
    f.   All of the above **(correct answer)**
    g.   None of the above

10. Which resource(s) apply to Suicide Prevention?
    a.   Army Financial Readiness Program
    b.   Behavioral Health Teams in brigade footprints
    c.   Chaplains
    d.   Army Family Programs
    e.   Soldier Counseling
    f.   All of the above **(correct answer)**
    g.   None of the above

11. What model does the Army use for suicide intervention?
    a.   See something, say something
    b.   Ask, Care, Escort **(correct answer)**
    c.   Zero Suicide Model
    d.   None of the above

12. What is your impression of the effectiveness of the Suicide Prevention training?
    a.   Very effective
    b.   Moderately effective
    c.   Slightly effective
    d.   Not effective at all
    e.   Never received any training to date

13. What do you view as a commander's responsibility regarding the implementation of Suicide Prevention?
    a.   Total responsibility
    b.   Partial responsibility along with his / her staff
    c.   No responsibility -- belongs with the Chaplain
    d.   None of the above

Appendix B

_____

Sample Inspector General Final Report

1. **Purpose:** This section outlines a sample Final Report outline that IGs or other Army inspectors can use when assembling and publishing the final results of an inspection.

2. **IG Inspection Reports:** Inspection reports submitted by IGs must be well-written, well-structured, and professional products that clearly articulate how the IG inspection team conducted the inspection and what problems or good news the team found. An IG inspection report should never appear as a brief memorandum or note to a commander. Instead, the Final Report should reflect the amount of effort and resources that the IG invested in the inspection as well as the level of importance that the commander placed upon the inspection topic. As a result, the Final Report should appear in booklet form and contain chapters for each inspection objective with the respective findings and recommendations included therein. Other Army inspectors can use this same approach as necessary when reporting the results of a Command Inspection or Staff Inspection. A recommended format for a Final Report appears below.

NOTE 1: The acronym "CUI" is omitted from the headers and footers of each page of this sample report to avoid confusion. The only exception is the front cover, which displays the appropriate CUI markings. "CUI" must appear in the header and footer of each page of the report.

NOTE 2: Although the guide use current CUI markings on this sample report, this report reflects an IG Inspection conducted in the recent past. Therefore, the standards or other information used in this report may no longer be accurate or up to date.

NOTE 3: Reports of sytemic inspections conduct at the DAIG level are available for review on the Army Publishing Direcorate's website at https://armypubs.army.mil/Publications/Administrative/POG/TIG.aspx .

COMBINED JOINT TASK FORCE 66
INSPECTOR GENERAL

SPECIAL INSPECTION OF
SHARP REPRESENTATIVE SCREENING
25 JUNE - 03 JULY 20XX

CONTROLLED BY: CJTF 66 (Office symbol)
CUI CATEGORY: CTI
DISTRIBUTION / DISSEMINATION CONTROL: FEDCON
POC: MAJ William Smith, (123) 456-7890

DEPARTMENT OF THE ARMY
HEADQUARTERS, COMBINED JOINT TASK FORCE-66
APO, AE 09354

AFVS-IG   17 July 2013

MEMORANDUM FOR THE INSPECTOR GENERAL, CJTF-66

SUBJECT: CJTF-66 Commander's Review of the IG SHARP Representative Screening Inspection Report

1. I reviewed the IG inspection report and am providing the following guidance:

    a. Approval of findings and recommendations:

        (1) _M/L_ I approve this report.

        (2) _____ I do not approve this report. See me for further guidance.

    b. Approval to release this inspection report to staff and subordinates:

        (1) _ML_ I approve release of this report to CJTF-66 staff and subordinate
            Commanders and their staffs as appropriate to address matters of concern
            and to share best practices identified during this inspection.

        (2) _____ I do not approve release of this report. See me for further guidance.

    c. Approval to release this inspection report within IG channels:

        (1) _M/L_ I approve release of this report to the Department of the Army Inspector
            General. This report will not be released outside of IG channels.

        (2) _____ I do not approve release of this report to the Department of the Army
            Inspector General. See me for further guidance.

2. Point of contact for this memorandum is MAJ Frank E. List, CJTF-66 IG Inspections Branch Chief, SVOIP 318-555-0603 or listfe@afghan.swa.army.smil.mil.

MOTTIN De La BLAME
Major General, USA
Commanding

RELEASE OF INSPECTOR GENERAL INFORMATION

EXECUTIVE SUMMARY

1. Background: The Department of the Army mandated a requirement for Commanders to establish a Sexual Harassment and Assault Response Program (SHARP) by October 2012, which coincided with 66th Infantry Division's deployment. These requirements included the selection and screening of SHARP Program Managers, SHARP Sexual Assault Response Coordinators (SARCs), and SHARP Victim Advocates (VAs). This report will refer to these different personnel collectively as SHARP Representatives. On 8 June 2013, the Combined Joint Task Force 66 (CJTF-66) Commander directed the Inspector General to conduct a special inspection to assess, based on current policy, the effectiveness of the selection and screening of SHARP representatives within the Army units of CJTF-66. The IG team conducted the inspection from 25 June to 3 July 2013.

2. Inspection Concept and Methodology:

While this inspection and, subsequently, its objectives on their face could easily have become compliance-based and narrowly focused, the inspection team looked holistically at the larger system behind the selection and screening of SHARP Representatives. There are compliance portions in the commander knowledge component of Subtask 1.1 and the document reviews associated with Subtasks 2.1 and 2.2; however, by inspecting the selection and screening process as a system, the IG team engaged in a broader analysis of how Commanders' select and screen SHARP Representatives, which may have Army-wide implications. This broader perspective is evidenced in the inspection results and recommendation paragraphs of each subtask.

The CJTF-66 IG team, consisting of four CJTF-66 IG inspectors and a subject-matter expert from the CJTF-66 SHARP Program Manager Office, inspected five of the eight brigades assigned to CJTF-66. The Inspection Team spent one day inspecting each brigade. The basic inspection approach at each location was to in-brief the unit leaders and staff members; review relevant documents related to SHARP representative screening in the unit; survey commanders through interviews and sensing sessions; and out-brief the unit leaders and staff members.

3. Findings, Recommendations, and Observations:

a. Objective 1: Determine if commanders at all levels know and understand Army through division policies for selecting and screening a SHARP Representative down to the company level.

Finding 1.1: Most Company Commanders do not know the established criteria for a properly screened SHARP Representative.

Recommendations:

1. The IG recommends that the **FVS SHARP Program Manager** brief and discuss the criteria at the FVS Company Commander / First Sergeant Course.

2. The IG recommends that the **CJTF-66 SHARP Program Manager** develop a chain-teaching packet to train Company Commanders and First Sergeants about the requirements for a properly screened SHARP Representative.

Finding 1.2: Most Commanders are over-reliant on the screening process and its products to properly screen SHARP Representatives.

EXECUTIVE SUMMARY

Recommendations:

1. The IG recommends the **CJTF-66 SHARP Program Manager** develop a chain-teaching training packet to train Commanders, Sergeants Major, and First Sergeants on the requirements for a properly screened SHARP Representative.

2. The IG recommends the **CJTF-66 SHARP Program Manager** publish a FRAGO 3 to 66th Infantry Division and Fort Von Steuben Operations Order 12-04-337, <u>SHARP Program Implementation,</u> mandating that commanders conduct a face-to-face counseling in order to verify the prospective SHARP Representative's suitability prior to signing appointment orders.

b. Objective 2: Determine if the division's implementation of the Army's procedures for the selecting and screening of the company and above SHARP Representatives are selecting our best Soldiers to fill the positions.

Finding 2.1.1: Most companies do not have two SHARP representatives appointed on orders for their positions.

Recommendations:

1. The IG recommends that the **CJTF-66 SHARP Program Manager** identify exceptions to policy to the DA or FORSCOM VA selection criteria, if any, and the approval levels for those exceptions.

2. The IG recommends that the **CJTF-66 SHARP Program Manager** send a memorandum to the FORSCOM SHARP Program Manager stating that a majority of the division's companies are unable to meet the requirement to appoint a primary and alternate VA at the company level because of the criteria established in DA and FORSCOM references.

3. The IG recommends that the **CJTF-66 Inspector General** inform the FORSCOM IG and DAIG's Analysis and Inspection Follow-up Division (AIFO) that a majority of the division's companies are not able to meet the DA requirement to appoint a primary and alternate VA at the company level because of the DA and FORSCOM screening criteria.

Finding 2.1.2: Most brigades do not have a SHARP SARC appointed for their brigade rear detachments.

Recommendation: The IG recommends that the **CJTF-66 SHARP Program Manager**, in conjunction with the Fort Von Steuben SHARP Program Manager, the Joint Base Lewis McChord SHARP Program Manager, and the U.S. Army Reserve Command SHARP Program Manager, develop, publish, and promulgate the requirement for the deployed brigades' rear detachments to have SHARP SARCs.

Finding 2.1.3: All inspected brigades and battalions have two SHARP representatives appointed on orders for their positions.

Recommendations: None.

Finding 2.2: Most SHARP representatives' screening packets do not contain enough information to determine if the representative meets the screening criteria.

EXECUTIVE SUMMARY

Recommendations:

1. The IG recommends the **CJTF-66 SHARP Program Manager** determine what documentation is required for proof of screening and publish a FRAGO 3 to 66th Infantry Division and Fort Von Steuben Operations Order 12-04-337, <u>SHARP Program Implementation,</u> adding these documentation requirements to Annex B, B-1, and B-2.

2. The IG recommends the **CJTF-66 SHARP Program Manager** publish a FRAGO 3 to to 66th Infantry Division and Fort Von Steuben Operations Order 12-04-337, <u>SHARP Program Implementation,</u> mandating that Commanders utilize Annex B, B-1, or B-2, as applicable, as a checklist for the documentation required in a vetting packet.

3. The IG recommends that the **CJTF-66 SHARP Program Manager**, in coordination with the CJTF-66 OIP Coordinator, incorporate SHARP inspections into the division OIP in accordance with HQDA EXORD 204-16, dated 14 June 2016.

c. Observation: All brigades conducted screening of potential SHARP Representatives through their rear detachments.

Recommendations:

1. The IG recommends that the **CJTF-66 Provost Marshal**, in conjunction with **CJTF-66 SHARP Program Manager**, develop a local background-check procedure in theater to properly screen replacement SHARP Representatives for CJTF-66 units.

2. The IG recommends that the **CJTF-66 Inspector General** conduct a follow-up inspection of SHARP representative screening within CJTF-66 in three months.

CHAPTER 1 - Inspection Methodology

1. Background: The Department of the Army mandated a requirement for Commanders to establish a Sexual Harassment and Assault Response Program (SHARP) by October 2012, which coincided with 66th Infantry Division's deployment. These requirements included the selection and screening of SHARP Program Managers, SHARP Sexual Assault Response Coordinators (SARCs), and SHARP Victim Advocates (VAs). This report will refer to these different personnel collectively as SHARP Representatives. On 8 June 2013, the Combined Joint Task Force 66 (CJTF-66) Commander directed the Inspector General to conduct a special inspection to assess, based on current policy, the effectiveness of the selection and screening of SHARP representatives within the Army units of CJTF-66. The IG team conducted the inspection from 25 June to 3 July 2013.

2. Inspection Teams: One inspection team consisting of four CJTF-66 Inspectors General and a subject-matter expert from the CJTF-66 SHARP Program Office conducted the inspection on SHARP Representative Selection and Screening. The teams conducted extensive research and met with the CJTF-66 SHARP Program Manager and Provost Marshal during the preparation phase to determine the applicable standards and policies associated with the inspection objectives.

3. Purpose and Objectives: The purpose of the inspection was to assess the effectiveness of the selection and screening of SHARP representatives within CJTF-66 based on current policy. To that end, the inspection had two primary objectives:

      a. Determine if commanders at all levels know and understand Army- through division-level policies for selecting and screening a SHARP Representative down to the company level.

      b. Determine if the division's implementation of the Army's procedures for the selecting and screening of the company and above SHARP Representatives are selecting our best Soldiers to fill the positions.

4. Inspection Concept:

      a. Prior to the inspection, the inspection team compiled and reviewed all appropriate regulations, policies, messages, and orders relevant to the inspection topic to determine the applicable standards. The team then met with two subject-matter experts to verify the information gathered and the standards selected.

      b. The inspection team visited five brigade-level headquarters. At each location, the IG Chief of Inspections conducted an in-briefing with the inspected Brigade Commander or his representative on the morning of the inspection.

      c. During the course of this inspection, the inspection team contacted a total of **152** personnel as part of this inspection. The team interviewed **five** Brigade Commanders and their Sergeants Major and **five** Brigade SARCs. The team also sensed **31** Battalion Commanders and Sergeants Major and **75** Company Commanders. Questions for these interviews and sensing sessions are located in Appendix D.

      d. The entire team reviewed **254** SHARP vetting packets using Appendixes B-1 or B-2 to FRAGO 2 to 66th Infantry Division and Fort Von Steuben Operations Order 12-04-337, <u>SHARP Program Implementation,</u> as the document-review guideline (Appendix E).

      e. Upon completion of each unit visit, the team provided the inspected unit with immediate -- but general -- feedback in the form of an out-briefing. This out-briefing captured

the salient points of the team's preliminary findings and articulated in detail those results that may require immediate action.

5. Findings / Observation Format:

a. Where a published standard, policy, law or regulation was violated, met, or exceeded, the inspection team developed a Finding Statement in the following format:

- Finding Statement
- Standard(s)
- Inspection Results
- Root Cause
- Recommendation

b. When an organization did not fail to meet a published standard, policy, law, or regulation, but the IG Team made an observation that would improve current operations, the inspection team developed an Observation Statement in the following format:

- Observation Statement
- Standard(s), if applicable
- Discussion
- Root Cause, if applicable
- Recommendation

6. Quantitative terms: When characterizing percentages as adjectives, the teams used the following guidelines:

Adjective	Quantification
All	100%
Most	99-76%
Majority	75-51%
Half	50%
Some	49-26%
Few	25-1%
None	0%

7. **The Root-Cause Analysis Model:** The IG team used the Root-Cause Analysis Model to determine the underlying reason why something happens or does not happen. Systemic problems are usually widespread and present a pattern. You can often trace these problems back to a regulation, policy, or other standard that is confusing, overly ambitious, or in conflict with another standard. The proponent is usually the person to fix this type of problem. Local problems usually affect a small group of people or an individual and do not present a pattern. You can usually trace these problems back to a particular person's decision, demeanor, or statements. The level of organization that the problem affects is the best place to solve this problem.

CHAPTER 1 - Inspection Methodology

The Root-Cause Analysis Model is divided into three areas:

    a. **Don't Know.**
        1) Never Knew: Did the person or unit ever know about the requirement?
        2) Forgot: Did the person or unit forget about the requirement?
        3) Task Implied: Was the task implied but the unit or person lacked the knowledge or experience to recognize the requirement?

    b. **Can't Comply.**
        1) Scarce Resources: Did the person or unit have the resources to accomplish the requirement?
        2) Don't Know How: Did the person or unit know how to meet the requirement?
        3) Impossible: Was the requirement impossible for the unit or person to perform?

    c. **Won't Comply.**
        1) No Reward: Would the person or unit be rewarded for completing the requirement?
        2) No Penalty: Would the person or unit suffer a penalty by failing to complete the requirement?
        3) Disagree: Did the person or unit disagree with the requirement?

1. **Objective 1:** Determine if commanders at all levels know and understand Army through division policies for selecting and screening a SHARP Representative down to the company level.

2. **Finding(s):**

  a. **Sub-Task 1.1**: Determine if commanders know the established criteria for a properly screened SHARP Representative.

    (1) **Finding 1.1:**

      (a) Finding Statement: Most Company Commanders do not know the established criteria for a properly-screened SHARP Representative.

      (b) Standard: 66th Infantry Division implementation OPORD states:

        "(3) (a) All Fort Von Steuben Battalion and Company Commanders: Identify two personnel (a primary and an alternate) to serve as collateral duty SHARP VAs IAW the criteria outlined in Annex B-2, if you have not already done so."

      (c) Inspection Results: Of the five sensing sessions with 75 Company Commanders, most were aware of the division FRAGO (or their higher headquarters' FRAGO in the case of non-organic 66th Division units), but the majority did not know the specific criteria for selecting a company SHARP Victim Advocate. The consensus of three groups stated they did not feel part of the screening process. The majority in each sensing session also stated that they did not place importance on knowing the criteria, since the Battalion Commander made the decision on the nominee and signed the orders based upon information provided by the Brigade SARC.

      (d) Root Cause: (Won't Comply - No Reward / No Penalty) While normally the root cause for not knowing information would be Don't Know, three of the five sensing session groups of Company Commanders indicated specifically that they did not place importance on knowing specific criteria because they were not part of the final approval of a SHARP Representative and because they relied on the Brigade SARC for the information about criteria. Therefore, while almost all Company Commanders knew the division (or their higher headquarters) had established criteria for selecting a SHARP Representative and that the information was readily available, they had no reward and no penalty to actually know and understand any of the criteria.

      (e) Recommendations:

        1. The IG recommends that the FVS SHARP Program Manager brief and discuss the criteria at the FVS Company Commander / First Sergeant Course.

        2.   The IG recommends that the CJTF-66 SHARP Program Manager develop a chain-teaching packet to train Company Commanders and First Sergeants about the requirements for a properly screened SHARP Representative.

  b. **Sub-Task 1.2**: Determine the process by which commanders select and screen their unit SHARP Representatives.

(1) **Finding 1.2:**

(a) <u>Finding Statement</u>: Most commanders are over-reliant on the screening process and its products to properly screen SHARP Representatives.

(b) <u>Standard</u>: 66th Infantry Division implementation OPORD states:

"(2) (a) All Fort Von Steuben Brigade Commanders: NLT 1 Jun 12, IAW References A and C, identify and appoint two personnel to serve as the full-time Brigade SARC / SHARP and VA / SHARP per the criteria outlined in Annex B-1.

(3) (a) All Fort Von Steuben Battalion and Company Commanders: Identify two personnel (a primary and an alternate) to serve as collateral duty SHARP VAs IAW the criteria outlined in Annex B-2, if you have not already done so."

(c) <u>Inspection Results</u>: During the course of this inspection, the inspection team discovered severe limitations involving two key criteria: screening against the National Sex Offender Database and, during the local background check, the Centralized Operations Police Suite (COPS) database review. Brigade and Battalion Commanders from three of the five inspected brigades knew of the limitations involving the National Sex Offender Database, but only two took proactive measures in an attempt to resolve them. As a good-news story, one brigade conducted face-to-face interviews between the Battalion Commander and the SHARP Representative nominee in order to resolve these limitations. The other brigade compared the information to the nominee's Officer Record Brief or Enlisted Record Brief. Four of the five brigades did not know the limitations of the COPS database review. However, the broader finding is, given the limitations of the screening tools, commanders' trust in these tools without knowing the limitations, and the lack of a face-to-face interview in an attempt to overcome the limitations, the inspection team believes commanders may be appointing SHARP Representatives that are unfit for the position.

The National Sex Offender Database is a national database of record for individuals that have sexual-offense convictions. The information in the database is limited to the laws of the individual states. Some states require photos while others only require the individual's name and city of the individual. Therefore, through just a database review, commanders cannot definitively rule out a Soldier with a common name. The inspection team took the list of SHARP Representatives and entered several names into the database to see what information it contained. For common names, the database returned several pages of data containing more than 50 individual entries. Two of the brigades inspected attempted to overcome the lack of fidelity in the data. One mandated a face-to-face interview and another reviewed assignment data from the ORB / ERB. The inspection team's opinion that is a commander should use both methods in an attempt to definitively rule out a nominee's inclusion in the database.

During the local background check, the Director of Emergency Services is responsible to enter the nominee's name into the COPS database and report to the requesting commander the information the database contains. Commanders in four of the five brigades thought that this check was an NCIC check. However, the COPS database only contains the information that the Army puts into it. Meaning, the vast majority of adverse information in the COPS database is Army information and contains very little local law enforcement data. If a local crime is reported to the local installation, then the Army enters it into COPS. DES does not have the authority to screen nominees against the NCIC database because there is not probable cause and there is no caveat similar to the CYSS employees.

Given these severe limitations to two of the screening criteria, the lack of commander's understanding of these limitations and commanders' over-reliance on these two screens, the inspection team can understand how commanders' could appoint a SHARP Representative that is unfit for the position. The inspection team believes that the Brigade and Battalion Commanders who conducted a face-to-face interview with the screened SHARP representatives to ensure they discussed and verified all of the screening criteria prior to appointment are likely to appoint the best Soldiers as SHARP Representatives. In practice, this interview requirement eliminated some of the guesswork associated with the lack of data found in the sex-offender registry and allowed the commanders to counsel the Soldier on any derogatory information if not selected for the position. Some commanders also indicated that this interview is where they found out that the Soldier did not want to perform the duties, a key qualification.

(d) Root Cause: (Don't Know - Never Knew) Most commanders at all levels are not aware of the limitations of the screening criteria and therefore were over-reliant on them to properly screen potential SHARP Representative.

(e) Recommendations:

1. The IG recommends the CJTF-66 SHARP Program Manager develop a chain-teaching training packet to train Commanders, Sergeants Major, and First Sergeants on the requirements for a properly screened SHARP Representative.

2. The IG recommends the **CJTF-66 SHARP Program Manager** publish a FRAGO 3 to 66th Infantry Division and Fort Von Steuben Operations Order 12-04-337, SHARP Program Implementation, mandating that commanders conduct a face-to-face counseling in order to verify the prospective SHARP Representative's suitability prior to signing appointment orders.

1. **Objective 2:** Determine if the division's implementation of the Army's procedures for the selecting and screening of the company and above SHARP Representatives are selecting our best Soldiers to fill the positions.

2. **Finding(s):**

   a. **Sub-Task 2.1**: Determine if SHARP representatives are appointed on orders for their positions and are sufficient in number (interviews, sensing sessions, document reviews).

      (1) **Finding 2.1.1:**

         (a) <u>Finding Statement</u>: Most companies do not have two SHARP representatives appointed on orders for their positions.

         (b) <u>Standard</u>: 66th Infantry Division implementation OPORD states:

            "(2) (a)   All Fort Von Steuben Brigade Commanders: NLT 1 Jun 12, IAW References A and C, identify and appoint two personnel to serve as the full-time Brigade SARC / SHARP and VA / SHARP per the criteria outlined in Annex B-1."

            "(3) (a) All Fort Von Steuben Battalion and Company Commanders: Identify two personnel (a primary and an alternate) to serve as collateral duty SHARP VAs IAW the criteria outlined in Annex B-2, if you have not already done so."

         (c) <u>Inspection Results</u>: Through document reviews of appointment orders for 180 companies, only 33 (18.3%) had appointed two personnel (a primary and an alternate) to serve as collateral duty SHARP VAs. Nine (5%) of the companies did not have a VA appointed at all. Of the 70 Company Commanders contacted during sensing sessions, 28 (40%) stated they did not have two personnel within the company who met all the criteria specified in Annex B-2; therefore, they did not have two SHARP VAs appointed on orders. Some Brigade and Battalion Commanders made similar comments. These Company Commanders stated they did not see the non-compliance as a problem for two reasons: (1) When they identified an exceptional individual who passed the criteria, the battalion or brigade moved the person up to that level; and (2) Since their higher battalion and brigade headquarters had SHARP SARCs and VAs on orders, they provided adequate coverage for the company. The document reviews of brigade- and battalion-level appointment orders showed that all brigades and battalions had the required number of SHARP SARCs and VAs on appointment orders. The inspectors crosswalked the screening criteria with the CJTF-66 SHARP PM, who stated that the Division OPORD was a regurgitation of the FORSCOM OPORD and that FORSCOM added the security clearance requirement on top of the DA requirements. The CJTF-66 SHARP PM was not aware if any of the criteria, or if the required number of representatives, were waiverable. A small number of Company Commanders contacted (7, or 10%) were not aware of the requirement to have SHARP VAs at the company level. These Company Commanders were all from National Guard / Army Reserve units. The inspectors took the time to teach and train those Company Commanders on the requirement and provided them a copy of the Division OPORD.

         (d) <u>Root Cause:</u> (Can't Comply - Impossible) Company Commanders stated that they did not have within their company the required number of individuals (two) who met all the criteria established in the Division OPORD.

         (e) <u>Recommendations</u>:

1. The IG recommends that the CJTF-66 SHARP Program Manager identify exceptions to the DA or FORSCOM VA selection criteria policy, if any, and the approval levels for those exceptions.

2. The IG recommends that the CJTF-66 SHARP Program Manager send a memorandum to the FORSCOM SHARP Program Manager stating that a majority of the division's companies are not able to meet the requirement to appoint a primary and alternate VA at the company level because of the criteria established in DA and FORSCOM references.

3. The IG recommends that the CJTF-66 IG inform the FORSCOM IG and DAIG Analysis and Inspection Follow-up Division (AIFO) that a majority of the division's companies are not able to meet the DA requirement to appoint a primary and alternate VA at the company level because of the DA and FORSCOM screening criteria.

(2) **Finding 2.1.2:**

(a) <u>Finding Statement</u>: Most brigades do not have a SHARP SARC appointed for their brigade rear detachments.

(b) <u>Standard</u>: 66th Infantry Division implementation OPORD states:

"(2) All Fort Von Steuben Brigade Commanders:

(a) NLT 1 Jun 12, IAW References A and C, identify and appoint two personnel to serve as the full-time Brigade SARC / SHARP and VA / SHARP per the criteria outlined in Annex B-1."

(b) Ensure the Brigade SARC / SHARP and VA / SHARP assume all roles and responsibilities associated with sexual harassment and assault IAW the timelines, directives, and references listed throughout this order. These personnel will be responsible for managing the SHARP program within your commands, to include training and mentoring subordinate unit SHARP personnel; administering and reporting all required SHARP training, case management, and victim advocacy for sexual-assault and sexual-harassment cases; and managing the SHARP transition within your Brigade IAW this order and references contained within it."

(c) <u>Inspection Results</u>: None of the Brigade Commanders took into consideration that they needed a SHARP SARC to manage the SHARP program for their rear-detachment Soldiers. Only one of the five brigades had a SHARP SARC designated for their rear detachment. Moreover, the fact that the SHARP SARC ended up on the rear detachment was not by design. All Brigade Commanders and SARCs assumed that the installation / senior commander SHARP Program Management Office would take up the programs for their rear detachments. This inspection did not attempt to validate those assumptions. One brigade had a battalion VA conducting duties as the Brigade SARC, but this VA was conducting those duties at the direction of the Brigade SARC and was not appointed in writing as the rear-detachment Brigade SARC. Interviews with the deployed SHARP SARCs indicated that their time was spent managing victims' cases and reports of sexual harassment and assault from theater. While the appointment of a rear-detachment SHARP SARC is not specifically required by the division FRAGO or any other standard identified, the brigade should have one appointed or at least a SHARP program coverage plan in writing. This program coverage should include, at a

minimum, case management of victims who remain in the rear detachment and the future reporting of sexual harassment and sexual assault within the rear detachment.

(d) <u>Root Cause:</u> (Don't Know - Task Implied). Commanders assumed that the Installation / Senior Commander SHARP Program Management Office would take up the programs for their rear detachments.

(e) <u>Recommendation:</u> The IG recommends that the CJTF-66 SHARP Program Manager, in conjunction with the Fort Von Steuben SHARP Program Manager, the Joint Base Lewis McChord SHARP Program Manager, and the U.S. Army Reserve Command SHARP Program Manager develop, publish, and promulgate the requirement for the deployed brigades' rear detachments to have SHARP SARCs.

(3) **Finding 2.1.3:**

(a) <u>Finding Statement</u>: All inspected brigades and battalions have two SHARP representatives appointed on orders for their positions.

(b) <u>Standard</u>: 66th Infantry Division implementation OPORD states:

"(2) (a) All Fort Von Steuben Brigade Commanders: NLT 1 Jun 12, IAW References A and C, identify and appoint two personnel to serve as the full-time Brigade SARC / SHARP and VA / SHARP per the criteria outlined in Annex B-1.

(3) (a) All Fort Von Steuben Battalion and Company Commanders: Identify two personnel (a primary and an alternate) to serve as collateral duty SHARP VAs IAW the criteria outlined in Annex B-2, if you have not already done so."

(c) <u>Inspection Results</u>: All five brigades and all 27 battalions inspected had the appropriate number of SHARP SARCs and VAs appointed on orders for their positions.

(d) <u>Root Cause:</u> N / A.

(e) <u>Recommendation</u>: None.

b. **Sub-Task 2.2**: Determine if SHARP representatives meet the screening criteria established in current Army policy.

(1) **Finding 2.2:**

(a) <u>Finding Statement</u>: Most SHARP Representative screening packets do not contain enough information to determine if the representative meets the screening criteria.

(b) <u>Standard</u>: 66th Infantry Division implementation OPORD states:
"(2) (a)   All Fort Von Steuben Brigade Commanders: NLT 1 Jun 12, IAW References A and C, identify and appoint two personnel to serve as the full-time Brigade SARC / SHARP and VA / SHARP per the criteria outlined in Annex B-1."

"(3) (a) All Fort Von Steuben Battalion and Company Commanders: Identify two personnel (a primary and an alternate) to serve as collateral duty SHARP VAs IAW the criteria outlined in Annex B-2, if you have not already done so."

(c) <u>Inspection Results</u>: All brigades had designated the Brigade SARC as the person responsible to maintain all of the screening packets. None of the inspected brigades could produce documents that indicated a single SHARP Representative met all the screening criteria. Every packet was missing at least one document. When the inspection team discussed the reasons behind the lack of documentation, the Brigade SARCs indicated that they did not know that the packets had to contain evidence of each of the screening criteria. The inspection team took the time to teach and train each Brigade SARC that without documentation there is no proof the screening ever took place. Through interviews with the Brigade SARCs, the inspection team also discovered that proof of some of the criteria took several different forms and therefore the Brigade SARCs did not know which were acceptable as proof of screening and which were not.

(d) <u>Root Cause:</u> (Don't Know - Task Implied). All Brigade SARCs were aware that they had to properly screen SHARP Representatives on behalf of their commanders but they did not know they had to maintain the documents nor did they know the proper documentation to maintain.

(e) <u>Recommendations</u>:

1. The IG recommends the CJTF-66 SHARP Program Manager determine what documentation is required for proof of screening and publish a FRAGO 3 to 66th Infantry Division and Fort Von Steuben Operations Order 12-04-337, <u>SHARP Program Implementation,</u> adding these documentation requirements to Annex B, B-1, and B-2.

2. The IG recommends the CJTF-66 SHARP Program Manager publish a FRAGO 3 to to 66th Infantry Division and Fort Von Steuben Operations Order 12-04-337, <u>SHARP Program Implementation,</u> mandating that Commanders utilize Annex B, B-1, or B-2, as applicable, as a checklist for the documentation required in a vetting packet.

3. The IG recommends that the CJTF-66 SHARP Program Manager, in coordination with the CJTF-66 OIP Coordinator, incorporate SHARP inspections into the division OIP in accordance with HQDA EXORD 204-16, dated 14 June 2016.

CHAPTER 4 - Observations

OBSERVATION:

a. <u>Finding Statement:</u> All brigades conducted screening of potential SHARP Representatives through their rear detachments.

b. <u>Standard:</u> None.

c. <u>Discussion:</u> All units inspected established their SHARP programs, including the screening and vetting of SHARP Representatives, in a garrison environment. All continued using this garrison process to screen individuals while the unit was deployed with the deployed brigade SARC managing the process. In four out of the five brigades, the brigade SARC had extreme difficulty managing the screening process back at home station while balancing their primary support duties to the brigade's deployed victims. In the one brigade that had a rear-detachment SHARP SARC, that individual did not adequately manage the screening packets nor provide the deployed SARC updated statuses due to competing requirements. The inspection team crosswalked most of the criteria contained in Annexes B, B-1, and B-2 to the 66th ID and FVS FRAGO 2 and found that all of them could be accomplished in theater. Functional proponents in theater have access to the National Sex Offender Database, the COPS database, medical records, and security clearances.

d. <u>Root Cause:</u> (Don't Know - Never Knew) Brigade SARCs did not know that screening coud be done in theater. They deployed with garrison processes and continued working with their rear detachments because "that was the way we have always done it."

e. <u>Recommendations:</u>

1. The IG recommends that the CJTF-66 Provost Marshal, in conjunction with CJTF-66 SHARP Program Manager, develop a local background-check procedure in theater to properly screen replacement SHARP Representatives for CJTF-66 units.

2. The IG recommends that the CJTF-66 Inspector General conduct a follow-up inspection of SHARP representative screening within CJTF-66 in three months.

CHAPTER 5 - Summary of Recommendations

FVS SHARP Program Manager:

The IG recommends that the **FVS SHARP Program Manager** brief and discuss the criteria at the FVS Company Commander / First Sergeant Course.

CJTF-66 SHARP Program Manager:

1. The IG recommends that the **CJTF-66 SHARP Program Manager** develop a chain-teaching packet to train Company Commanders and First Sergeants about the requirements for a properly screened SHARP Representative.

2. The IG recommends the **CJTF-66 SHARP Program Manager** develop a chain-teaching training packet to train Commanders, Sergeants Major, and First Sergeants on the requirements for a properly screened SHARP Representative.

3. The IG recommends the **CJTF-66 SHARP Program Manager** publish a FRAGO 3 to 66th Infantry Division and Fort Von Steuben Operations Order 12-04-337, SHARP Program Implementation, mandating that commanders conduct a face-to-face counseling in order to verify the prospective SHARP Representative's suitability prior to signing appointment orders.

4. The IG recommends that the **CJTF-66 SHARP Program Manager** identify exceptions to policy to the DA or FORSCOM VA selection criteria, if any, and the approval levels for those exceptions.

5. The IG recommends that the **CJTF-66 SHARP Program Manager** send a memorandum to the FORSCOM SHARP Program Manager stating that a majority of the division's companies are unable to meet the requirement to appoint a primary and alternate VA at the company level because of the criteria established in DA and FORSCOM references.

6. The IG recommends that the **CJTF-66 SHARP Program Manager**, in conjunction with the Fort Von Steuben SHARP Program Manager, the Joint Base Lewis McChord SHARP Program Manager, and the U.S. Army Reserve Command SHARP Program Manager, develop, publish, and promulgate the requirement for the deployed brigades' rear detachments to have SHARP SARCs.

7. The IG recommends that the **CJTF-66 SHARP Program Manager**, in coordination with the CJTF-66 OIP Coordinator, incorporate SHARP inspections into the division OIP in accordance with HQDA EXORD 204-16, dated 14 June 2016.

8. The IG recommends the **CJTF-66 SHARP Program Manager** determine what documentation is required for proof of screening and publish a FRAGO 3 to 66th Infantry Division and Fort Von Steuben Operations Order 12-04-337, SHARP Program Implementation, adding these documentation requirements to Annex B, B-1, and B-2.

9. The IG recommends the **CJTF-66 SHARP Program Manager** publish a FRAGO 3 to to 66th Infantry Division and Fort Von Steuben Operations Order 12-04-337, SHARP Program Implementation, mandating that Commanders utilize Annex B, B-1, or B-2, as applicable, as a checklist for the documentation required in a vetting packet.

10. The IG recommends that the **CJTF-66 SHARP Program Manager**, in coordination with the CJTF-66 OIP Coordinator, incorporate SHARP inspections into the division OIP in accordance with HQDA EXORD 204-16, dated 14 June 2016.

11. The IG recommends that the **CJTF-66 Provost Marshal**, in conjunction with **CJTF-66 SHARP Program Manager**, develop a local background-check procedure in theater to properly screen replacement SHARP Representatives for CJTF-66 units.

CJTF-66 Inspector General:

1. The IG recommends that the **CJTF-66 Inspector General** inform the FORSCOM IG and DAIG's Analysis and Inspection Follow-up Division (AIFO) that a majority of the division's companies are not able to meet the DA requirement to appoint a primary and alternate VA at the company level because of the DA and FORSCOM screening criteria.

2. The IG recommends that the **CJTF-66 Inspector General** conduct a follow-up inspection of SHARP representative screening within CJTF-66 in three months.

CJTF-66 Provost Marshal:

The IG recommends that the **CJTF-66 Provost Marshal**, in conjunction with **CJTF-66 SHARP Program Manager**, develop a local background-check procedure in theater to properly screen replacement SHARP Representatives for CJTF-66 units.

Appendix A - References

1. AR 600-20, <u>Army Command Policy</u>, dated 6 June 2010
2. ALARACT 007-2012, <u>Sexual Harassment and Response and Prevention (SHARP) Program Implementation Guidance</u>
3. FRAGO 2 to 66th Infantry Division and Fort Von Steuben Operations Order 12-04-337, <u>SHARP Program Implementation</u>

Appendix B - Inspection Directive

DEPARTMENT OF THE ARMY
HEADQUARTERS, COMBINED JOINT TASK FORCE-66
APO, AE 09354

AFVS-IG   13 June 2013

MEMORANDUM FOR THE INSPECTOR GENERAL

SUBJECT: Directive for Inspection (SHARP Representative Screening)

1.   You are directed to assess the effectiveness of the selection and screening of SHARP representatives within CJTF-66 based on current Army policy.

2. The inspection will focus on the following objectives:

    a. Determine if commanders at all levels know and understand Army through division policies for selecting and screening a SHARP Representative down to the company level.

    b. Determine if the division's implementation of the Army's procedures for the selecting and screening of the company and above SHARP Representatives are selecting our best Soldiers to fill these positions.

3. You are authorized to task the CJTF-66 staff and subordinate headquarters for those resources required to ensure the successful accomplishment of this assessment.

4. You are authorized unlimited access to CJTF-66 activities, organizations, and all information sources necessary to complete this effort.

5. You will provide me with a mid-course progress review, an inspection-results briefing on or about 10 July 2013, and a written report not later than 17 July 2013.

MOTTIN De La BLAME
Major General, USA
Commanding

Appendix C - Units Visited

66th Sustainment Brigade, 66th Infantry Division (Bagram Airfield)
300th Maneuver Enhancement Brigade, U.S. Army Reserve (Jalalabad AF)
2nd Brigade Combat Team, 66th Infantry Division (Jalalabad AF)
3rd Brigade Combat Team, 2nd Infantry Division (FOB Sharana)
46th Improved Brigade Combat Team, Virginia National Guard (FOB Salerno)

Appendix D - Interview and Sensing Session Questions

All Commanders / CSMs / SARCs

1. Describe your process or method for selecting and screening your SHARP Representatives. (Sub-Task 1.2)

2. What references or existing programs guided you in developing your selecting and screening process? (Sub-Tasks 1.1)

3. What is your awareness and understanding of the Army and local policies governing the SHARP Representative Selecting and Screening? (Sub-Task 1.1)

4. Do you have all the SHARP Representatives you are required to have? If not, why? (Sub-Task 2.1)

5. What problems are you having with SHARP Representative Selecting and Screening? (Sub-Task 1.2, 2.1)

Appendix E - Vetting Packet Checklist

Ensure that there is evidence of the following in the vetting packet (assumed type of documentation in parenthesis):

Appropriate Rank (ERB)

No less than 2 years before retirement eligibility (ERB)

Military appearance and bearing including tattoos. (ERB)

Must not be a Chaplain or Chaplain Assistant or serve on the Unit Ministry Team. (ERB)

Secret Security Clearance (ERB or S-2 Memo)

Have no profile which would prohibit deployment into a theater of operations. (Training Records)

Meet the screening table or body fat standards of AR 600–9. (Training Records)

No lost time during the current enlistment or in the past 3 years, whichever is longer. (Memo)

Valid civilian driver's license. (Copy)

Verified Non-participant in extremist organizations and activities. (Commander's Interview or Memo)

Verified favorable civilian and military disciplinary records. (Commander's Interview or Memo)

Verified not convicted by civilian court or court-martial. (Memo)

Must have never been the subject of adjudication or had adverse action taken by any authority for any offense that involves moral turpitude, regardless of sentence received or any offense under the UCMJ for which confinement of 2 years or more. (Memo)

No history of domestic violence or assault, or marital, emotional, problems. (Commander's Interview or Memo)

Not enrolled in Drug or alcohol dependency intervention program. (Memo)

Screened against the National Sex Offender Registry database. (Copy)

Favorable local background check. (DA Form 7281)

Signed DD Form 2909 (Victim Advocate and Supervisor Statement of Understanding).

Signed Appointment Orders

Appendix C
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Electronic Document Review Considerations

1. **Purpose:** This section discusses IG considerations when reviewing or inspecting files that exist only in an electronic format.

2. **The Paperless Army:** Nearly 20 years ago, the Secretary of the Army (SecArmy) stated that the Army would move toward becoming a more paperless organization. The SecArmy's intent was that the Army could cut costs by saving paper; increase efficiency by storing files on computers or CD-ROMs; staff documents via email or through common drives; and access, store, and refer to publications and manuals using the Internet. The impact of the SecArmy's directive on IGs meant that all IGs -- including assistant and acting -- must be knowledgeable in basic computer operations and filing systems. Without this basic knowledge, an IG will not be able to perform his or her prescribed functions effectively in the Army of the 21st Century.

3. **Electronic Document Review Considerations:** One of the ways that an IG gathers information is through document review. Today, most IGs are extremely proficient at reviewing paper files of all sorts; however, most IGs do not enjoy this same level of proficiency when reviewing electronic files. At a minimum, IGs should be able to locate files on a computer using the "Search for File and Folders" function and then open those files for review. SharePoint has become prevalent enough that IGs should also have the skills to find and review files in the SharePoint environment. The electronic document review considerations that affect today's IG are as follows:

   a. **Unclassified Electronic Document Review:** When conducting an IG Inspection that requires the review of certain key documents, the IG inspection team will most likely encounter units or staff agencies that maintain these documents in electronic form only. Printing paper copies for review is not always practical or cost effective -- especially if the documents are very large. Therefore, IG Inspection team members may have to review the documents using a member of the inspected unit or agency's computer. In these cases, the reviewing IG must be adept at navigating through all types of electronic files and common (or shared) storage drives. However, the IG must never review documents on an individual's desktop or laptop computer without that person's physical presence. The individual can assist the IG in finding the files quickly while ensuring that the IG does not mistakenly interfere with the electronic filing system. In some cases, the system administrator may have to be present if the files are particularly large or too complex to locate and download.

   b. **Classified Electronic Document Review:** Some electronic document reviews will include the review of files or documents on classified computer systems. IGs conducting inspections may encounter files stored on classified systems. The same basic considerations for unclassified systems apply to classified systems. The inspecting IG must ensure that the computer operator is physically present during the document or file review, to include the system administrator as required. When checking for the presence of classified documents on an unclassified computer, the IG should use the "Search for File and Folders" function and type in "SECRET" or "TOP SECRET."

This search should reveal if any classified documents have been stored inappropriately on the computer. If the computer is a classified system, the IG should check to ensure that the computer user has applied the appropriate markings or labels on the computer workstations, scanners, printers, laptops, and Personal Electronic Devices (PEDs) indicating the highest level of classification allowed.

The IG should also ensure that all computer storage media (compact disks [CDs] and hard drives) are labeled to the highest level of classification for the data stored on the device.   In offices where no classified processing occurs, the labeling of all disks as unclassified is not necessary. However, in offices where both classified and unclassified processing occurs, all media must be marked to the highest level of classification. In this case, unclassified media must be marked properly as well.

4. **Accreditation:** All Army Automated Information Systems -- whether they are used to process unclassified or classified data or operate in a stand-alone or network configuration -- must be accredited. Likewise, PEDs and laptop computers must be accredited as well. The standards for accreditation are contained in Army Regulation 25-2, Information Assurance, and Department of Defense Instruction 8510.01, Risk Management Framework (RMF) for DoD Information Technology (IT). Simply put, accreditation is the Department of Defense's risk assessment process for Automated Information Systems (AIS). Once the risk assessment is complete, the commander, or his or her designated representative (called a designated approving authority, or DAA), approves the operation of the AIS with the necessary risk-mitigation steps put in place. Before inspecting electronic files, the IG should ensure that the AIS in use is properly accredited. A pattern of missing or out-of-date accreditations -- or improperly applied or missing classification markings -- should result in a finding that the IG must capture in the inspection report. However, the IG's charter is not to inspect the classification or accreditation practices of all classified computer systems within the command unless specifically charged to do so as part of a larger special (or other type of) inspection.

5. **Electronic Storage of IG Files and Records:** IG records are valued documents that are sensitive but unclassified. Many IG records will now be stored on computers, disks, or CD-ROMs in IG shops throughout the Army. IGs must ensure that they adhere to the current regulatory requirements of Army recordkeeping when filing and storing both paper and electronic files. IGs should also adhere to computer accreditation requirements as necessary. Storing IG records and files on computers also makes these documents vulnerable to access through the Internet. IGs at all levels must carefully consider how they store their records and protect them from computer hackers or inadvertent and unauthorized release. IGs must also remember that email increases the likelihood of accidental release of IG information; an incorrect file attachment on a message can spell havoc for an IG shop. In addition, files are never really deleted from a computer's hard drive except through extraordinary technical means. Only a trained computer technician can completely erase a document or file. As an IG living and working in an electronic environment, electronic operational security is essential to the IG's continued credibility and success as a fair and impartial fact-finder.

Appendix D

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Developing Inspection Checklists
for General Inspections

1. **Purpose:** This section discusses techniques for developing Inspection Checklists for General (or compliance-type) Inspections.

2. **The Pitfalls of Inspection Checklists:** In the past, General (or compliance-type) Inspections occurred with designated (and often untrained) inspectors who arrived at an inspected unit, linked up with the various functional-area representatives, and then assessed the unit's functional areas using a series of checklists. These checklists posed basic, close-ended questions (based upon the established standards) that the inspectors could simply check off as a 'go' or a 'no go.' The inspectors did not need to be experts in the subject matter to conduct these very basic, and extremely simplistic, inspections.

   The problem with these checklists was that they did not allow the inspectors to dig deeper into the reasons for any non-compliance identified through the checklist. Instead, the inspectors noted that the unit had failed to comply with one or more aspects of the standard governing the functional area and left it at that. In effect, the checklist did not facilitate a greater examination of the root causes behind the non-compliance. Neither the inspectors nor the inspected commanders could recommend or implement effective solutions for the non-compliant areas because they did not identify and understand the root causes behind the shortfalls.

3. **Getting at the Root Cause:** The only way to remedy the problem of identifying root causes while using checklists is to create checklists that combine close-ended questions (answered with a simple yes or no) with open-ended ended questions (answered by an in-depth explanation). Open-ended questions will allow the inspector to interact with the functional-area representative and explore in greater detail any reasons for non-compliance. The result will be a greater understanding of the root causes associated with the unit's inability to comply with the established standard. However, for inspectors to understand the open-ended questions they are asking, they must have some measure of expertise in the inspected functional area.

4. **Sample Checklist:** The checklist reproduced below combines open-ended questions with close-ended questions. The inspector must have the functional-area representative on hand for this inspection and not someone who is simply standing in for that person. The inspection of the functional area is, for the most part, an interview with the functional-area representative intermingled with some physical, hands-on checking.

   The inspector can begin the functional-area inspection by asking an open-ended question (Question 1 in this case) that will result in a discussion of the unit's Weight-Control Program. By asking the unit representative to explain the program, the inspector will be able to determine if the representative understands the regulation and the unit's overall program. If the individual does not respond effectively, the inspector can ask the second part of the question (a follow-up question), which is a more direct query about the individual's knowledge of the program and the associated standards. Once the

inspector captures the essential information from these initial questions, the inspector can then ask Question 2, which is a close-ended question and requires the representative to show the inspector some on-hand equipment.

   The inspection will continue in this manner until the inspector gathers all of the required information about the functional area. The inspector will normally not offer an on-the-spot assessment of the functional area but will analyze the information later in conjunction with the established standard to determine if the unit is in compliance with this particular functional area. The inspector will also be able to examine the information more closely for any root causes associated with the areas of non-compliance. The Root Cause Analysis Model in Section 3-3 will prove helpful in this determination. In keeping with the inspection principle of Instructive, this later analysis of the entire functional area does not preclude the inspector from teaching and training on questions where he or she determines the inspected person or unit does not know the standards.

   The sample checklist is as follows:

66th Infantry Division Inspection Checklist
(Applies to Initial Command Inspections, Subsequent Command Inspections, Staff Inspections, and other inspections as required)

Proponent: **Functional Area:**   **Checklist Date:**
G-1   <u>Army Weight Control Program</u>   8 April 2<u>   </u>

Inspecting Office: **Inspector / Phone:**

Unit Inspected: **Date Inspected:**

Unit Functional Area Representative:

Reference (s): AR 600-9, <u>The Army Weight Control Program</u>, dated 10 June 20<u>   </u>

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

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

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

If not, why?
_____
_____

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

_____
_____
_____

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

_____
_____
_____

Is this weight-control program effective?

_____
_____
_____

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

_____
_____
_____

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

_____
_____
_____

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

_____
_____
_____

8.   Does the unit check to ensure that the flagging action (DA Form 268) is removed from a Soldier's record (MPRJ) in a timely manner once the Soldier is no longer on the weight-control program?

_____
_____
_____

9.   Does the unit have a policy or Standing Operating Procedure (SOP) for separating those Soldiers who fail to make progress as part of the weight-control program?

_____
_____

NOTE: This example is based on a version of AR 600-9 that may no longer be accurate.

Appendix E
_____
Temporary Assistant Inspectors General

1. **Purpose:** This section discusses the basic uses and responsibilities of a temporary assistant inspector general in the context of the IG Inspections function.

2. **Why Select Someone to Serve as a Temporary Assistant IG for an IG Inspection?** Officers, NCOs, and Civilians usually become IGs because of their broad Army experience. These individuals know the Army and how it works -- and are *subject-matter experts* (SME) in at least one military occupational specialty. An IG may not possess sufficient expertise in a specific inspection topic or may not have sufficient time for research or training. To mitigate this shortfall, IGs may request SMEs to augment their inspection teams. The requested individuals must have the required expertise and experience needed to fill the gaps in subject-matter expertise identified in the research and concept-development steps.

3. **Definition:** Army Regulation 20-1, paragraph 2-2 f, refers to temporary assistant IGs (one of the five categories of IGs) as subject-matter experts. IGs in Inspections generally use the terms subject-matter expert (SME) and temporary assistant IG interchangeably. This paragraph describes temporary assistant IGs as commissioned officers, chief warrant officers, enlisted Soldiers, DA Civilian employees, and contracted subject-matter experts temporarily detailed to augment an IG Inspection team for a specified period of time.

4. **Responsibilities:** Directing Authorities approve the requirement for individuals to serve as temporary assistant IGs, and the G-3 normally issues the tasking. If the required individuals are outside the Commander's authority, the Command or State IG must request the augmentee through normal command or tasking channels. The local commander may approve temporary assistant IGs for up to 90 days. The request to retain a temporary assistant IG in excess of 90 days but less than 180 days requires approval from the ACOM / ASCC / DRU Commander. If the IG believes he or she will need the SME for more than 180 days, the IG must gain approval from TIG and send that person to the three-week U.S. Army Inspector General Basic Course. The IG must be sure to address all requirements in the tasking request, to include the desired rank of the augmentee, desired report and release date, and skills required (e.g., expertise in supply room operations at the company level, etc). If you ask for an augmentee with general supply experience, you might get someone who has repair parts experience versus supply room experience. Be sure to stipulate whether travel will be involved and whether the augmentee will have to travel outside CONUS and to what locations (Kuwait, Germany, etc.). This information will prevent units from sending people on profile who cannot travel.

5. **Selection Process:** The process of selecting an SME is often misunderstood. Selecting a suitable SME and evaluating the attributes of an SME are activities that IGs sometimes ignore. Because an IG team may have to bring in more than one SME for a particular objective or sub-task, the selection process can be time consuming and

demand much consideration. Some potential criteria for selecting an SME include, but are not limited to, the following:

        a. Is the SME recognized as an expert by his or her peers and superiors based on years of experience?

        b. Did someone volunteer the SME because he or she does not have enough work to do at his or her current job? Is someone selecting the person because that individual was 'expendable'?

        c. What are the SME's qualifications, and how will those qualifications help the IG team meet its objectives?

        d. Is the SME willing to provide valuable input and insight to help identify corrective actions that could possibly have a long-term effect on a system they currently support?

        e. Is the SME available for the duration of the IG team's mission?

6. **Integration and Use:** After selection and integration, the SME accompanies the IG team on its unit visits to gather technically specific data on a given topic. Prior to the SME assuming his or her duties as part of the team, the SME must take the IG oath (per Army Regulation 20-1, paragraph 2-6) designed for temporary assistant IGs because he or she will handle IG information that is both sensitive and subject to IG confidentiality. At a minimum, the Inspector General must train the temporary assistant IG on the following portions of Army Regulation 20-1:

        a. The basic IG concept and system (paragraph 1-7)
        b. The IG tenet of confidentiality (paragraph 1-13)
        c. The restrictions placed on the use and distribution of IG records (Chapter 3)

        Using SMEs to fill the team's knowledge gaps will enhance their information-gathering efforts and enable timely completion of their mission. Team members should talk to SMEs in the research step of the inspection process (to ensure they outline all the facts) and involve SMEs in the validation of draft reports (to verify interpretations of information). The objective is to identify and address the problem with recommendations and ensure the SME's input receives consideration. An example of an IG oath for a temporary assistant IG is as follows:

Department of the Army

I, _____JILL D. SMITH_____,

having been assigned in the office of an Inspector General, do solemnly swear (or affirm) that I accept the special obligations and responsibilities of the position freely, that I will uphold the standards for Inspectors General prescribed by regulations and that I will, without prejudice or partiality, discharge the duties of the office upon which I am about to enter. So help me God.

Jill D. Smith

Date: 21 January 2006

Sworn in Recognition of Special Trust and Honor by Order of THE SECRETARY OF THE ARMY

LTC A. Rightway

The Inspector General

Secretary of the Army

DA FORM 5097 1, NOV 1989

Figure 1

Sample IG Oath Certificate

b. IGs must remember that SMEs are not regular members of the IG team. Consequently, SMEs do not have access to common IG information stored in such places as shared drives, IG historical repositories, IGARS, and other locations. SMEs without access to this specific information are at a disadvantage and may be unable to provide significant contributions to the team without assistance from IGs on the team. Ensure the temporary assistant IG has the necessary tools -- computer, references, and so forth -- to help him or her become familiar with the team's goals and objectives and the location of relevant information.

c. At the end of the tasking, ensure that you recover all IG information and equipment. Remind the temporary assistant IG of the provisions for handling IG information. Before the SME departs IG duty, the inspection team leader should determine whether the SME met and fulfilled all of his or her goals, objectives, and responsibilities. For instance, if the SME was unable to complete his or her written portion of the report (if required), the inspection team leader may want to request an extension of the SME's temporary duty until the SME can complete the assigned tasks. As mentioned before, a detailed description of the SME's goals, objectives, and responsibilities will help the team efficiently manage, task, and evaluate the SME's contributions, thereby increasing the effectiveness and usefulness of the SME to the overall mission. Consider providing written or verbal feedback to the supervisor

regarding the performance of the temporary assistant IG. In many cases, high-performing SMEs may warrant an award or other form of recognition.

7. **Checklist:** Some things to do and / or consider with the SME include, but are not limited to, the following:

- ✓ Welcome (meet with the Command IG and inspection team leader)
- ✓ Set up a desk / computer area
- ✓ Training on the IG concept / confidentiality / use of IG records
- ✓ Oath
- ✓ Security Clearance (if necessary)
- ✓ Lodging and transportation (may need to consider dual-lodging)
- ✓ Government Credit Card (seek assistance from the local budget office)
    - • Account limit
    - • How to complete a travel voucher (he or she may not be able to use the Defense Travel System)
- ✓ Pay and entitlements
- ✓ Inspection duties and expectations
- ✓ Anticipated release date

Appendix F

Examples of Findings Sections

1.   **Purpose:** The purpose of this section is to provide two examples of findings sections from actual IG Inspection reports.

2.   **Differences in Findings Sections:** Army IG doctrine offers a recommended format for a standard findings section in paragraph 6 g of Section 4-3, Step 10, of this guide. However, this format is only *recommended*. Findings sections in IG Inspection reports may vary for a number of reasons: preference of the Directing Authority, nature of the information portrayed, internal IG standing operating procedure, and so forth. **While the format may vary, the content of the findings sections will address all five key areas outlined in the doctrinal format.**

The recommended format in this guide automatically organizes the findings for a particular sub-task into a logically presented argument that loosely follows the five-paragraph essay format that most people learn in high school – introduction, main body, and conclusion. The key to an effective findings section is to provide a clearly stated finding (essentially the thesis statement) that responds directly to the sub-task and that defends that finding with a logically presented analysis of all the evidence gathered.

Keep in mind that the findings section is not necessarily in the report just for the Directing Authority's consumption. The Directing Authority will most likely read only the Executive Summary and perhaps one or two complete findings sections to get a sense of the report. The individuals who will read the findings sections in their entirety are the proponents – the ones whom the IG identified by name or staff agency to implement the recommendations. Those proponents will need as much information as possible in order to understand how best to make the IG's recommendations a reality. For this reason, these findings sections, and the entire report, must be well written and logically presented. Critical and clear thinking is important, particularly since the proponents will be applying effort and resources to complete the tasks that in turn will solve the problems associated with the systemic issue.

Remember that a finding section is part of a larger report and must have the appropriate CUI markings in the header and footer.

This appendix offers two different examples of findings section that differ slightly but are equally effective. Keep in mind that these findings sections are examples from recent history; the standards they cite may no longer be in effect or may have changed significantly.

3. **Example 1:** Findings section for a DAIG-level inspection of **Risk Management** as an Army-wide system.

Sub-Task 2.1: Evaluate the role of leaders in the Risk Management process. (Observation, Interviews)

[**Note:** In the original report, this sub-task generated multiple findings, some of which were indirectly related to the specific requirements of the sub-task. In addition, the DAIG team conducting this inspection visited nearly 75 percent of all Army installations worldwide. The Directing Authority was the Secretary of the Army.]

a. Finding 1:

(1) <u>Finding Statement:</u> Many unit leaders were not familiar with Field Manual 100-14, <u>Risk Management</u>, as a resource for implementing the Risk Management process.

(2) <u>Standards:</u>

a. Army Regulation 385-10, <u>The Army Safety Program</u>, states in paragraph 2-2 b, Operational Procedures, that: "The risk management matrix in FMs 100-14 [<u>Risk Management</u>] and 101-5 [<u>Staff Organization and Operations</u>] should be used for military training and operational hazards. Effective integration of risk management into the military decision-making process for military training and operations may be found in FMs 100-14 and 101-5."

b. Army Regulation 350-1, <u>Army Training and Education</u> (Draft), states in paragraph 1-13 b (1) regarding the integration of Risk Management and Environmental Considerations into Training that: "Military commanders and military and civilian supervisors and staff will be trained to use the risk management tools and techniques to: identify and control hazards; plan and resource for protecting the force; establish and enforce safety and other appropriate standards (such as security) and public law; and ensure subordinate leaders are committed to the protection of their personnel, equipment, and environment. Field Manuals 100-14 [<u>Risk Management</u>] and 20-400 [<u>Military Environmental Protection</u>] provide detailed guidance for the application of risk management to protecting the force and environment."

(3) <u>Inspection Results:</u> Many unit leaders – consisting of both field-grade officers and senior non-commissioned officers – interviewed by the DAIG team had neither read nor were familiar with the current version of Field Manual 100-14, <u>Risk Management</u>. Some unit leaders simply stated that they were unaware that a dedicated field manual for Risk Management existed. Other leaders stated that they had recently received the field manual and admitted only to scanning the manual to prepare for the DAIG team's visit.

Field Manual 100-14 offers the basic principles that provide a framework for implementing the Risk Management process as well as an in-depth review of the process's five steps. Unfortunately, some leaders were not aware of this valuable source of Risk Management information. Those leaders who heard about, and only scanned, Field Manual 100-14 were unaware of the continuous application of Risk Management and often would only describe the risk assessment stages of the Risk Management process, which only account of the first two steps of the five-step process.

Another possible indicator of unit leaders not using – or knowing about -- Field Manual 100-14 is the lack of DA Forms 2028 collected by the Headquarters, TRADOC, Safety Office. Headquarters, TRADOC, is the proponent for Field Manual 100-14,

published in April 1998. To date, the Headquarters, TRADOC, Safety Office has not received a DA Form 2028 to address comments or recommendations to change or refine Field Manual 100-14. In the opinion of three ACOM-level safety professionals, the lack of DA Forms 2028 might indicate that field units are not reading or using Field Manual 100-14 actively to establish Risk Management procedures and policies. Additionally, the DAIG team observed that no Army-wide discourse existed on the subject of Risk Management doctrine.

While many leaders may not be familiar with Field Manual 100-14, most of these leaders were familiar with the basic Risk Management process because of their training experiences, unit SOPs, or other source material (such as Risk Management chain-teaching packets, post safety-course handouts, or pre-command-course safety handouts). Many leaders who read Field Manual 100-14 admitted their satisfaction of having a 'one-stop' field manual to review their own risk management procedures. One leader even expressed satisfaction that Field Manual 100-14 was 'small enough to fit into the cargo pocket of his uniform trousers.'

(4) Root Cause: (Don't Know) Many leaders at all levels within the Army are simply not aware that Field Manual 100-14 exists as a source for Risk Management doctrine that will help them to establish a framework for implementing the Risk Management process and developing appropriate policies within their units.

(5) Recommendation: DAIG recommends that the Army G-3 continue to mandate to commanders the use of Field Manual 100-14 as a means of establishing detailed guidance for the application of Risk Management. The Risk Management requirements currently outlined in the draft version of Army Regulation 350-1, Army Training and Education, should remain in that document upon publication. DAIG also recommends that the Army Safety Center – as a promotional effort to advertise the use of Field Manual 100-14 – coordinate a request to all Army commands and agencies for feedback and recommendations for future improvements to Field Manual 100-14, Risk Management. Lastly, DAIG recommends that the Army G-3 ensure the continued incorporation of Field Manual 100-14, Risk Management, and the Risk Management process into the Army's institutional leader-development schools.

4. **Example 2:** Findings section for an ACOM-level inspection of the **Property Accountability** system within all three components of the Army.

Sub-Task 7.2: Determine if Army National Guard units within the States and Territories processed Financial Liability Investigations of Property Loss (FLIPLs) in accordance with current Army regulations.

[**Note:** The ACOM IG team conducting this inspection visited seven (7) states and territories to gather information to answer the Inspection objectives. Take note of the different formatting approach used in this findings section. The Directing Authority preferred the Root Cause paragraph to come before the Inspection Results paragraph.]

FINDING 7: All (seven of the seven, or 100 percent) States / Territories visited did not process Financial Liability Investigations of Property Loss (FLIPL) in the manner prescribed by Army Regulation 735–5, Property Accountability Policies.

STANDARDS: Army Regulation 735–5, <u>Property Accountability Policies</u>, paragraph 13-6c, Army National Guard, states that "Under normal circumstances, [FLIPLs] do not exceed 150 calendar days total processing time . . . Commanders may adjust the time segments in these figures downward at their discretion."

Memorandum, NGB-ARL, Subject: Implementation of Department of the Army Approved Changes to Army Regulation 735-5, dated 23 April 2007, allows 240 days for FLIPL processing.

ROOT CAUSE: (Can't Comply) The overarching problem rests with confusion caused by varying, and often contradictory, guidance for the completion timelines and review authorities appearing in both Army and National Guard Bureau (NGB) regulations. The States / Territories simply don't know which standards to follow and who has specific authorities within the FLIPL process, placing them in the root-cause category of "can't comply." More importantly, States / Territories are not providing top-down command emphasis on the expeditious completion of all FLIPLs.

DISCUSSION:

a. In all seven States / Territories visited, FLIPLs exceeded the Department of the Army-mandated timeliness standard. Army Regulation 735-5 clearly defines the maximum processing times for FLIPLs as 75 days for the Active Army, 240 days for the U.S. Army Reserve, and 150 days for the Army National Guard. However, NGB distributed a policy letter dated 23 April 2007 citing an approved DA Form 2028, which allows 240 days for processing. Adding to the confusion is the fact that the current draft version of Army Regulation 735-5 states that the time constraint for FLIPL processing for both the ARNG and the USAR will be 210 days. Confusion currently exists in the field regarding which standard is in force and the reasons for the differences.

b. Several important reasons mandate the expeditious processing of FLIPLs. One purpose of a FLIPL is to determine pecuniary liability. A Soldier remains at risk of potential financial loss as long as the proceeding remains open. Prolonged proceedings can cause a morale problem and detract from the Soldier's productivity. Other reasons include documenting the circumstances of loss or damage while those involved still have fresh memories of the event; are easily accessible; and, for Soldiers who have recently left the ARNG, are easier to contact. Once the Soldier realizes that an action is being initiated and that he or she may have to provide restitution to the ARNG for the equipment, the likelihood that the Soldier may voluntarily return an item or items is much higher. The final reason is so that the Government can recoup funds for the lost or damaged equipment.

c. The IG team compared FLIPL processing times against all three extant standards -- 150 days, 210 days, and 240 days. All States had FLIPLs that exceeded even the most lenient of the standards. In some cases, the IG team discovered open FLIPLs that exceeded two (2) years.

d. The NGB memorandum cited above also established the USPFO as final review authority for each FLIPL. In that same memorandum, NGB has appointed the USPFO as the final review authority on all FLIPLs. The draft copy of Army Regulation

735-5 reflects this same authority. However, the regulation does not define the duties of the final review authority. In two of the seven States visited, the USPFO believed that he or she had the ability to overturn the decision made by the approving authority regarding whether or not to hold a Service member financially liable. In five of the seven States / Territories, USPFOs believed they had the authority to send back FLIPLs for further review. The draft regulation does not adequately define review responsibility of the USPFO within the FLIPL process.

  e. A standardized procedure for USPFOs to monitor FLIPL status is lacking. While timely processing of FLIPLs is a command responsibility, the USPFO must also have visibility of the FLIPL process to ensure accountability of Federal funds and property.

  f. In five of the seven States, the Property Management Branch monitored the FLIPL process via a locally developed statewide system. These States were more likely to identify equipment losses and initiate a FLIPL quickly. The USPFO has the statutory responsibility to account for Federal property within the several States and Territories; therefore, when agencies external to the USPFO monitor the FLIPLs, the potential exists for a material weakness in the overarching internal controls that help govern the system.

RECOMMENDATIONS:

  a. The IG recommends that Army G-4 establish a 240-day time standard for processing FLIPLs in the Army National Guard and the United States Army Reserve.

  b. The IG recommends that Army G-4, in coordination with NGB J-4, establish and publish procedures for the USPFO to act as the final review authority.

  c. The IG recommends that NGB J-4 establish a standardized system for USPFOs to monitor FLIPLs.

  d. The IG recommends that the Chief, NGB, issue command guidance mandating that all State / Territory Adjutants General strongly emphasize the timely processing of FLIPLs and, more broadly, property accountability.

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