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***Army Regulation 1–201**


Effective 1 December 2023

Administration
Army Inspection Policy

By Order of the Secretary of the Army:

RANDY A. GEORGE
General, United States Army
Chief of Staff

Official:


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Administrative Assistant to the
Secretary of the Army

History. This publication is a major revision.

Authorities. The authority for this regulation is Section 7020, Title 10 United States Code.

Applicability. This regulation applies to the Regular Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve, unless otherwise stated. During mobilization, only the policy proponent may modify the provisions of this regulation. This regulation does not apply to those compliance inspections of chemical, biological, and nuclear operations and activities that are described in AR 20–1 and governed by the 50–series and other Army standards.

Proponent and exception authority. The proponent of this regulation is The Inspector General. The proponent has the authority to approve exceptions or waivers to this regulation that are consistent with controlling law and regulations. The proponent may delegate this approval authority, in writing, to a division chief within the proponent agency or its direct reporting unit or field operating agency, in the grade of colonel or the civilian equivalent. Activities may request a waiver to this regulation by providing justification that includes a full analysis of the expected benefits and must include formal review by the activity's senior legal officer. All waiver requests will be endorsed by the commander or senior leader of the requesting activity and forwarded through their higher headquarters to the policy proponent. Refer to AR 25–30 for specific requirements.

Army internal control process. This regulation contains internal control provisions in accordance with AR 11–2 and identifies key internal controls that must be evaluated (see appendix B).

Suggested improvements. Users are invited to send comments or suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) via email to: usarmy.belvoir.usainet.mbx.tigs-instructors@army.mil.

Distribution. This regulation is available in electronic media only and is intended for the Regular Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve.

*This regulation supersedes AR 1–201, dated 25 February 2015. AD 2023–15, dated 22 September 2023, is rescinded upon publication of this AR.

SUMMARY of CHANGE

AR 1–201
Army Inspection Policy

This major revision, dated 1 November 2023—

- Establishes a requirement for including an inspection checklist and evaluation criteria in all Headquarters, Department of the Army regulations that include inspection requirements and accompanying standards (para 1–4c(3)).
- Establishes a requirement for the Commanding General, U.S. Army Training and Doctrine Command, to require branch-specific pre-command courses, professional military education courses at the Master Leader Course/Captain’s Career Course level and above, and the Civilian Education System Advanced Course incorporate instruction on the organizational inspection program into their curricula (para 1–4e).
- Adds a requirement mandating that commanders designate the deputy commander, executive officer, or similar individual assigned as the second in command at the brigade level and below to serve as the organization’s organizational inspection program coordinator and for commanders above the brigade level to designate someone in a position of authority (such as a chief of staff or G–3) to serve as the organizational inspection program coordinator (para 1–4f(3)).
- Establishes a requirement for commanders, program managers, and directors to report the execution of all initial command inspections to the first commander in the chain of command with an assigned Army Inspector General (para 1–4f(14)).
- Adds “The Organizational Inspection Program (OIP) Guide for Commanders” as a key reference tool to assist commanders in developing their organizational inspection programs (para 3–2a).
- Deletes the requirement for initial command inspection results to be included as part of an inspected unit’s deployment records per Army Directive 2018–07–3 (formerly para 3–3c(5)).
- Incorporates Army Directive 2023–15, which requires commanders to conduct subsequent command inspections (para 3–3d(2)).
- Adds inspector general readiness assistance visits as an optional program that commanders with inspectors general may include in their organizational inspection programs (para 3–7a).
- Moves organizational inspection program guidance related to the Army’s most current Army readiness model to “The Organizational Inspection Program (OIP) Guide for Commanders” (formerly para 3–9).
- Adds the term readiness assistance visit (glossary).

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Glossary of Terms

Chapter 1 Introduction

1–1. Purpose

This regulation outlines responsibilities and prescribes policies for planning, scheduling, and conducting inspections in Army organizations.

1–2. References, forms, and explanation of abbreviations

See appendix A. The abbreviations, brevity codes, and acronyms (ABCAs) used in this electronic publication are defined when you hover over them. All ABCAs are listed in the ABCA directory located at <https://armypubs.army.mil/>.

1–3. Associated publications

This section contains no entries.

1–4. Responsibilities

a. *The Inspector General.* TIG will—

(1) Serve as the Army proponent for inspection policy, except for those inspections conducted pursuant to Article 6, Uniform Code of Military Justice (UCMJ, Art. 6) or inspections or searches conducted in accordance with Manual for Courts Martial (MCM) 2023, Military Rules of Evidence 313, 314, and 315.

(2) Review and approve Department of the Army regulatory policies and procedures that mandate any type of inspection. This authority to review and approve does not extend to inspections conducted pursuant to UCMJ, Art. 6, or inspections or searches conducted in accordance with MCM 2023, Military Rules of Evidence 313, 314, and 315.

(3) Coordinate with Headquarters, Department of the Army (HQDA) Principal Officials, Department of Defense (DoD) inspector general (IG) personnel, and external inspection and audit agency officials to ensure that inspections and audits complement rather than duplicate each other.

(4) Conduct inspections according to AR 20–1 and this regulation.

(5) Actively facilitate the resolution of hand-offs received from Army command (ACOM)/Army service component command (ASCC)/direct reporting unit (DRU) IGs in accordance with AR 20–1.

(6) Ensure inspection reports, approved by the directing authority, that have Armywide application, value, and interest are processed through the Department of the Army Inspector General's (DAIG's) Inspections Directorate (SAIG–DI) to DAIG's Information Resource Management Division (SAIG–IR) and posted on The Inspector General network for information-sharing purposes. These lists will allow IGs throughout the Army to contact specific IG staff sections for information about previously conducted inspections to avoid duplication of effort and to share results.

b. *Chief, National Guard Bureau.* The CNGB will—

(1) Ensure that Army inspection policy is implemented within the Army National Guard (ARNG).

(2) Ensure the establishment of inspection policy for subordinate levels of command consistent with this regulation.

(3) Establish organizational inspection programs (OIPs) throughout the ARNG designed to ensure that inspections complement rather than duplicate each other.

(4) Ensure that commanders—

(a) Designate in writing the deputy commander, executive officer, or similar individual assigned as the second in command to serve as the organization's OIP coordinator at the brigade (or similarly sized organization) level and below. Above the brigade (or similarly sized organization) level, commanders will designate in writing a person in a position of authority to serve as the OIP coordinator, such as the chief of staff or G–3. Inspectors general are prohibited from serving as OIP coordinators.

(b) Designate an office of primary responsibility for ensuring that corrective actions identified during all inspections are completed and implemented properly.

(c) Schedule and post inspections and audits on training calendars, and ensure that inspections are briefed, approved, and scheduled.

(d) Monitor the execution of inspections, and ensure that inspections are conducted in accordance with this regulation.

- (e) Apply the principles of Army inspections outlined in paragraph 2–2 to plan inspections with adequate time to perform corrective actions and conduct follow-up inspections or activities.
 - (f) Use IGs (if assigned) primarily to teach, train, and mentor leaders at all levels on inspections policy and to inspect systemic issues.
 - (g) Train inspectors on Army inspection policy and the Army’s inspection principles.
 - (h) Direct follow-on inspections as appropriate.
 - (i) Provide command and staff inspection results without attribution to the respective command IG staff section upon request and in an agreed-upon format to assist in the analysis and identification of trends.
 - (j) Consult with servicing staff judge advocate when deficiencies involving breaches of integrity, security, procurement practices, and criminality are discovered.
 - (k) Designate an audit focal point representative as part of their OIPs to coordinate audit activity and perform liaison with staff from U.S. Army Audit Agency (USAAA), Government Accountability Office, DoD Inspector General, Special Inspectors General, and other oversight organizations.
 - (l) Promptly report contact with any external audit agency to the USAAA Audit Coordination and Followup Office (SAAG–ZBO).
- (5) Ensure ARNG staff elements—
 - (a) Monitor their functional areas within subordinate organizations.
 - (b) Conduct staff inspections as directed by the commander or as prescribed by law or regulation.
 - (c) Conduct staff assistance visits (SAVs) as directed by the commander to teach and train staff personnel on goals and standards.
 - (d) Conduct SAVs to complement but not duplicate other inspection programs.
 - (e) Apply the Army operations process outlined in ADP 5–0 to plan inspections with adequate time to execute corrective actions and perform follow-up inspections or activities.
 - (f) Review previous inspection reports and results prior to developing new inspection plans.
 - (g) Follow the Army inspection principles when performing inspection duties (see para 2–2).
 - (h) Provide subject-matter experts to augment IG inspections as required.
 - (6) Ensure State and unit/local-level IGs—
 - (a) Conduct IG inspections in accordance with this regulation and AR 20–1.
 - (b) Advise commanders and staff on inspection policy.
 - (c) Advise the commander of the effectiveness of the OIP.
 - (d) Assist subordinate commanders and their staffs on the development and implementation of the OIP.
 - (e) Assist in the organization, coordination, and training of inspectors for the commander’s command inspection program and staff inspections but do not allow them to lead or physically inspect as part of the command or staff inspection effort (see AR 20–1 for IG duty restrictions regarding command inspections).
 - (f) Spot-check the scheduling and execution of company-level initial command inspections (ICIs) throughout the command and provide feedback to the directing authority.
 - (g) Conduct inspections training as requested by commanders, State Adjutants General, program managers, directors, and staff agencies.
 - (h) Forward IG inspection reports approved by the directing authority that have Armywide application, value, and interest (except intelligence oversight inspection reports; see AR 381–10) to DAIG’s Inspections Directorate (SAIG–DI).
 - (i) Report the execution of all ICIs to the first commander in the chain of command with an assigned Army IG (see para 3–3c).
 - (7) Ensure all ARNG individuals conducting inspections—
 - (a) Are technically qualified to inspect the subject matter at hand.
 - (b) Report to commanders or the local IG all deficiencies involving breaches of integrity, security, procurement practices, and criminality when discovered.
 - (c) Follow the Army inspection principles when performing inspection duties (see para 2–2).
 - (d) Determine the root cause of all identified deficiencies.
 - (e) Provide recommendations to units when appropriate, and conduct teaching and training when appropriate to help correct any problem identified during an inspection.
 - (f) Record and maintain inspection results until deficiencies are corrected.
 - (g) Complete the training requirements for the Managers’ Internal Control Program (MICP) in accordance with current guidance.
- c. *Headquarters, Department of the Army Principal Officials.* HQDA Principal Officials will—

- (1) Coordinate with TIG on all regulatory policies that mandate any inspections.
 - (2) Annually review and forward to DAIG (SAIG–DI) by 30 September a list of all regulatory inspection requirements for which HQDA is the proponent by inspection name, proponent, applicable standard, frequency, and unit type.
 - (3) Include an inspection checklist and evaluation criteria in all regulations for which a HQDA Principal Official is the proponent and that consist of inspection requirements and accompanying regulatory standards.
- d. Commanding General, U.S. Army Forces Command.* The CG, FORSCOM, in addition to the responsibilities assigned in paragraph 1–4f, will—
- (1) Inspect the ARNG to ensure that National Guard organizations are properly uniformed, armed, equipped, trained, and prepared for deployment in accordance with 32 USC 105.
 - (2) Inspect the training and readiness of all Reserve Components in the context of the Army’s current readiness model and in coordination with the CNGB and/or the Commander, U.S. Army Reserve Command (USARC).
- e. Commanding General, U.S. Army Training and Doctrine Command.* The CG, TRADOC, in addition to the responsibilities assigned in paragraph 1–4f, will ensure that branch-specific pre-command courses, professional military education courses at the Master Leader Course/Captain’s Career Course level and above, and the Civilian Education System Advanced Course incorporate instruction on the OIP into their curricula.
- f. Commanders, program managers, and directors from the battalion level up through the ACOMs, ASCCs, and DRUs (or similarly sized organizations).* Commanders, program managers, and directors will—
- (1) Establish inspection policy for subordinate levels of command consistent with this regulation and higher headquarters guidance.
 - (2) Establish OIPs designed to ensure that inspections complement rather than duplicate each other.
 - (3) Designate in writing the deputy commander, executive officer, or similar individual assigned as the second in command to serve as the organization’s OIP coordinator at the brigade (or similarly sized organization) level and below. Above the brigade (or similarly sized organization) level, commanders will designate in writing a person in a position of authority to serve as the OIP coordinator, such as the chief of staff or G–3. Inspectors general are prohibited from serving as OIP coordinators.
 - (4) Designate an office of primary responsibility for ensuring that corrective actions identified during all inspections are completed and implemented properly.
 - (5) Schedule and post inspections and audits on training calendars, and ensure that inspections are briefed, approved, and scheduled.
 - (6) Monitor the conduct of inspections and ensure that inspections are conducted in accordance with this regulation.
 - (7) Apply the principles of Army inspections outlined in paragraph 2–2 to plan inspections with adequate time to perform corrective actions and conduct follow-up inspections or activities.
 - (8) Use their IGs (if assigned) primarily to teach, train, and mentor leaders at all levels on inspections policy and to inspect systemic issues.
 - (9) Train inspectors on Army inspection policy and the Army’s inspection principles.
 - (10) Direct follow-on inspections as appropriate.
 - (11) Provide command and staff inspection results without attribution to the respective command IG office upon request and in an agreed-upon format to assist in the identification and analysis of trends.
 - (12) (ACOM/ASCC/DRU commanders only) Ensure ACOM/ASCC/DRU staff—
 - (a) Monitor their functional areas within subordinate organizations.
 - (b) Conduct staff inspections as directed by the commander or as prescribed by law or regulation.
 - (c) Conduct SAVs as directed by the commander to teach and train staff personnel on standards and processes.
 - (d) Conduct SAVs to complement but not duplicate other inspection programs.
 - (e) Apply the Army operations process outlined in ADP 5–0 to plan inspections with adequate time to perform corrective actions and conduct follow-up inspections or activities.
 - (f) Review previous inspection reports and results prior to developing new inspection plans.
 - (g) Follow the Army inspection principles when performing inspection duties (see para 2–2).
 - (h) Provide subject-matter experts to augment IG inspections as required.
 - (13) Ensure unit/local-level IGs—

- (a) Conduct IG inspections in accordance with this regulation and AR 20–1.
 - (b) Advise commanders and staff on inspection policy.
 - (c) Advise the commander of the effectiveness of the OIP.
 - (d) Assist subordinate commanders and their staffs in the development and implementation of the OIP.
 - (e) Assist in the organization, coordination, and training of inspectors for the commander’s OIP but do not allow them to lead or physically inspect as part of the command or staff inspection effort (see AR 20–1 for IG duty restrictions regarding command inspections).
 - (f) Periodically inspect the scheduling and execution of company-level ICIs throughout the command and assess the ICIs’ overall effectiveness.
 - (g) Conduct inspections training as requested by commanders, program managers, directors, and staff agencies.
 - (h) Forward IG inspection reports approved by the directing authority that have Armywide application, value, and interest (except intelligence oversight inspection reports; see AR 381–10) to the ACOM/ASCC/DRU IG and to DAIG’s Inspections Directorate (SAIG–DI).
- (14) Report the completion of all ICIs to the first commander in the chain of command with an assigned Army IG (see para 3–3c) per local standing operating procedures for reporting.
- (15) Ensure all individuals conducting inspections—
- (a) Are technically qualified to inspect the subject matter at hand.
 - (b) Report to commanders or the local IG all deficiencies involving breaches of integrity, security, procurement practices, and criminality when discovered.
 - (c) Adhere to the Army inspection principles when performing inspection duties (see para 2–2).
 - (d) Determine the root cause of all identified deficiencies.
 - (e) Provide recommendations to units when appropriate, and conduct teaching and training when appropriate to help correct any problem identified during an inspection.
 - (f) Record and maintain inspection results until deficiencies are corrected.
 - (g) Complete the training requirements for the MICP in accordance with current guidance.
- (16) Consult with the servicing staff judge advocate when deficiencies involving breaches of integrity, security, procurement practices, and criminality are discovered.

1–5. Records management (recordkeeping) requirements

The records management requirement for all record numbers, associated forms, and reports required by this publication are addressed in the Records Retention Schedule-Army (RRS–A). Detailed information for all related record numbers, forms, and reports are located in Army Records Information Management System (ARIMS)/RRS–A at <https://www.arims.army.mil>. If any record numbers, forms, and reports are not current, addressed, and/or published correctly in ARIMS/RRS–A, see DA Pam 25–403 for guidance.

Chapter 2 Principles of Army Inspections

2–1. Inspection overview

Army inspections follow five core principles. These principles provide guidelines for the conduct of Army inspections for commanders, State Adjutants General, program managers, directors, staff principals, IGs, and all Army inspectors. See “The Organizational Inspection Program (OIP) Guide for Commanders” for more information on the inspection principles as well as the elements of an inspection.

2–2. Principles of Army inspections

Army inspections follow five basic principles. Army inspections must be—

a. Purposeful. Inspections must have a specific purpose related to mission accomplishment and to the overall mission readiness of the organization. Most importantly, they must have commander/State Adjutant General/program manager/director approval. For an inspection to be purposeful, an inspection must be—

- (1) Tailored to the unit inspected and meet the commander’s/State Adjutant General’s/program manager’s/director’s needs while remaining relevant and responsive. Inspections must provide practical and accurate feedback that allows the commander/State Adjutant General/program manager/director to make informed decisions in a timely manner.

(2) Performance-oriented and start with an evaluation against a recognized standard to identify compliance with that standard.

(3) Capable of identifying and analyzing process-improvement opportunities that will increase performance, support transformation, and reduce risks.

b. Coordinated. The proper coordination of inspections precludes inspection redundancies, complements other inspection activities, and minimizes the inspection burden on subordinate organizations. Inspection planning will follow the doctrine of the operations process and of training management outlined in ADP 5–0, ADP 7–0, and FM 7–0. Short-notice inspections must be the exception and remain at the commander's/State Adjutant General's/program manager's/ director's discretion. To ensure the proper coordination of inspections, an annual review of all scheduled inspections must occur to answer the following three questions:

(1) *Can this inspection be canceled or combined with another inspection?* When appropriate, inspections must be consolidated to ensure the efficient use of inspection resources. However, when combining inspections, unity of effort must remain. If inspectors from several agencies combine their efforts into one inspection, one person must coordinate and lead their activities.

(2) *Does this inspection duplicate or complement another inspection?* An inspection by any headquarters that is more than one echelon above the inspected organization must complement the inspections conducted by the organization's immediate headquarters. For example, higher headquarters should conduct inspections that capitalize on expertise not available at the intermediate headquarters.

(3) *Do inspection reports from other agencies or other echelons of command exist that can assist in the conduct of an inspection?* Inspection plans must use reports of this nature to the maximum extent possible to reduce the number and duration of inspections and to determine the status of previously identified weaknesses or deficiencies. To facilitate this process, subordinate command IGs will forward copies of their inspection reports through IG channels to their ACOM/ASCC/DRU IGs.

c. Focused on feedback. Inspections must provide the commander/State Adjutant General/program manager/director with accurate and timely feedback and a written record of the results. Initial feedback may be verbal; however, a written report is necessary because a record of that inspection's results will be available to others who may also benefit from the results. Inspection results can be provided at the end of an inspection or be released as the inspection progresses. Written reports also establish a historical record of an inspection that will assist in conducting trends analysis and in tracking follow-up inspections. Written reports must also be narrative in form in order to provide context and to articulate clearly the analysis of the information gathered and the resulting conclusions; slide presentations and/or completed checklists alone will not be used as an inspection report. Inspection results include—

(1) *The identification of root causes.* Deviation from an established standard demands an examination to determine whether the deviation is the result of such factors as an absence of knowledge, a lack of resources, or a lack of motivation. The inspector must apply the root cause analysis model outlined in "The Organizational Inspection Program (OIP) Guide for Commanders" to determine the root cause and where to find it in the overall functional process or organizational structure.

(2) *The identification of strengths and weaknesses.* Sustaining strengths is an important aspect of commanding, leading, and managing. Formally recognizing excellence helps motivate Soldiers and DA Civilians to maintain high standards of performance. Every inspection brings shortcomings to the attention of those who can correct them, but inspections must also identify strengths as well as weaknesses if the inspection is to remain effective.

(3) *The implementation of corrective actions.* The ultimate purpose of all inspections is to help commanders correct problems. Every inspection must bring recommended solutions directly to the attention of those individuals or agencies that can correct them.

(4) *The sharing of inspection results.* Inspections can generate widespread improvement by evaluating successful techniques and providing feedback to units beyond those already inspected. This spirit of sharing and cooperation strengthens the Army.

d. Instructive. Teaching and training is an essential element of all inspections and is the overarching purpose of SAVs. No inspection is complete if the units or agencies inspected have not identified the respective standards and processes and how to achieve them.

e. Followed up and corrective actions taken. Inspections expend valuable resources and are not complete unless the inspecting unit or agency develops and executes a follow-up inspection or plans to ensure the implementation of corrective actions. Likewise, the inspected unit commander must develop and execute a corrective action plan that permanently fixes those problem areas and prevents their

recurrence. Implementing corrective actions quickly and effectively is critical to mission readiness. Follow-up actions can include re-inspections, telephone calls (or visits) to units or proponents to check on the progress of corrective actions, or a request for a formal response from a unit or proponent that attests to the completion of the corrective action. To reduce the administrative burden on inspected units, a formal response to inspection reports is optional unless specifically requested.

Chapter 3

Army Inspections

3-1. Evaluation sources

The commander/State Adjutant General/program manager/director relies upon many sources of information to evaluate and assess the organization's readiness. An inspection is one of those sources. OIPs gather into one cohesive program all the inspections that commanders/State Adjutants General/program managers/directors at all levels want or are directed to accomplish within their organizations on a routine, continuing basis (see para 3-2). Effective OIPs save critical time by ensuring that inspections from both internal and external sources are not redundant and do not overlap. Most importantly, commanders/State Adjutants General/program managers/directors may tailor inspections within their OIPs to meet their needs and to complement both internal and external evaluation sources. Other evaluation sources (and specific kinds of inspections that comprise the OIP) are listed below—

a. Examples of internal sources.

- (1) Personal observations.
- (2) Unit status report/Defense Readiness Reporting System-Army.
- (3) Strategic Management System.
- (4) Installation status report.
- (5) Monthly status report (TRADOC organizations only).
- (6) Emergency deployment readiness exercises.
- (7) Mission command/collective training events.
- (8) Gunnery.
- (9) Logistics evaluations.
- (10) Joint training exercises.
- (11) Internal review audits (part of the OIP).
- (12) MICP (part of the OIP).
- (13) Surety management reviews.
- (14) Command inspections (part of the OIP).
- (15) Staff inspections (part of the OIP).
- (16) IG inspections (part of the OIP).
- (17) Personnel Asset Inventory.
- (18) Soldier Readiness Program.
- (19) Medical Protection System.
- (20) Unit Commander Finance Report.
- (21) Force protection assessments.
- (22) Safety assessments.
- (23) Physical security assessments and surveys.
- (24) Environmental performance assessment system.
- (25) Army Corrosion Prevention and Control (CPC) Program inspections.

b. Examples of external sources.

- (1) ACOM/ASCC/DRU inspections.
- (2) DAIG inspections.
- (3) U.S. Government Accountability Office audits.
- (4) IG, DoD inspections.
- (5) USAAA audits.
- (6) Operational readiness assessments.
- (7) Office of Management and Budget Program Assessment Rating Tool.
- (8) Installation Management Command garrison inspections.
- (9) Aviation Resource Management Surveys.
- (10) CPC Program Surveys.

3-2. Organizational inspection program

a. Inspections are a command and leader responsibility. The OIP is the commander's/State Adjutant General's/program manager's/director's program to manage all inspections (internal and external) conducted within the command. The overarching purpose of the OIP is to coordinate inspections and audits into a single, cohesive program focused on command objectives. The Army is comprised of diverse organizations providing operational and institutional support. These organizations run the gamut from training battalions, brigade combat teams, life-cycle management commands, Army directorates, Army programs, to ASCCs. The term "organizational" means that the OIP is an inclusive program shared by all Army organizations. All organizations within the Army at the battalion level and above will have an OIP, including HQDA staff agencies, Army programs, garrisons/installations, and various other non-standard Army organizations and agencies with staffs that can conduct inspections on the organization's behalf. Commanders/program managers/directors must gather all internal and external inspection requirements into one cohesive program to ensure that all inspections complement each other and focus on the high-payoff readiness issues. For each organization, the OIP will be a comprehensive, written plan in the form of a local policy or other type of memorandum that addresses all inspections and audits conducted by the command, its subordinate elements, and those scheduled by outside agencies. Depending upon the echelon and type of organization, the OIP will comprise command inspections, staff inspections, IG inspections (including intelligence oversight inspections), SAVs, audits, certifications, and external inspections. Ultimately, an effective OIP allows a commander/State Adjutant General/program manager/director to use these inspections to identify, prevent, or eliminate problem areas within the organization as well as improving process and system efficiencies. Commanders/State Adjutants General/ program managers/directors should also use the OIP to complement and reinforce other sources of evaluation information when determining or assessing readiness (see para 3-1). For specific guidance on developing OIPs, commanders will consult the "The Organizational Inspection Program (OIP) Guide for Commanders" available on the U.S. Army Inspector General School's website (<https://ig.army.mil/>).

b. The OIP is a critical tool to maintain unit and/or organizational combat readiness. The OIP provides the commander/State Adjutant General/program manager/director with an organized management framework within which to identify, prevent, or eliminate problem areas. Most importantly, effective OIPs train both the inspectors (normally the organization's staff members) and the members of the organization undergoing inspection. To be effective, all inspections conducted as part of an OIP must adhere to the Army inspection principles outlined in chapter 2. The OIP will contain command/leader guidance on the conduct of inspections. Higher headquarters staff must be prepared to provide resources for subordinate organization commanders and staff to conduct inspections effectively while also monitoring the OIP at least two levels down. The OIP must also include the organization's priorities and goals and explain the mechanism for scheduling and executing inspections using the unit training management process outlined in ADP 7-0 and FM 7-0. Further, the OIP must assign responsibility for scheduling and monitoring inspections, providing standards, and tracking feedback and corrective action.

c. The battalion (or similarly-sized organization) OIP includes command inspections by the battalion commander and staff inspections or SAVs by the battalion staff. The battalion commander must include visits and inspections by higher headquarters and agencies, especially in areas where the battalion staff lacks experience or expertise. The battalion is the lowest level organization in which a commander has a staff to perform internal inspections on subordinate units. The battalion commander, as the executor of these internal inspections, provides timely reports to the higher headquarters on the results and any readiness issues. The battalion OIP will focus on those areas that immediately impact readiness and reinforce goals and standards. Additionally, command inspections will articulate standards and assist in teaching the processes at work within the battalion. Teaching, training, and mentoring are goals of all inspections, especially company-level ICIs.

d. The brigade (or similarly sized organization) OIP includes command inspections, staff inspections, and SAVs. The brigade OIP can focus on units, functional areas, or both. At a minimum, the brigade OIP will include guidance on command inspections, staff inspections, and SAVs. Most importantly, brigade staff sections will directly support and oversee battalion OIPs in both planning and scheduling command inspections (see para 3-3) and providing subject-matter experts. These staff sections will assist battalion commanders in the execution of their command inspection programs, especially for those functional areas where the battalion staff's expertise may be lacking. The OIP must be flexible and focus on one or more subordinate organizations, a part of those organizations, or a functional area over several subordinate organizations.

e. The OIP at division level (or similarly-sized organization) and above primarily involves staff inspections, SAVs, and IG inspections. The division OIP must establish guidance and a framework within which the brigade and battalion commanders can develop their own OIPs. Command inspections at this level must include, at a minimum, command inspections of separate companies. The focus of the OIP will be on the division's ability to execute effective plans and policy. At a minimum, the OIP must verify the effectiveness of OIPs at subordinate levels, protect subordinate commanders from being over-inspected, and disseminate lessons learned throughout the command. In addition, division OIPs must address the IG's intelligence oversight responsibilities and requirements as outlined in AR 20-1.

f. The ARNGUS and the U.S. Army Reserve (USAR) OIPs will exist at the battalion and higher levels, including Joint force headquarters/regional readiness support commands and the National Guard Bureau and USARC levels. Commanders, principal staff officers, full-time staff members, and IGs must pay particular attention to the time-distance factors and the compressed training time available in the ARNGUS and the USAR when establishing inspection policies and procedures. The OIP must strive to ensure that inspections complement and support mission-essential task list training efforts.

g. Task force OIPs will normally involve both staff and IG inspections. The OIP must be flexible and support the mission. Moreover, the OIP must adapt to a task force's diversity, time constraints, and unit and staff composition, both in the Regular Army and Reserve Component. Task force commanders must determine the level of unit and staff involvement in, and the effectiveness of, any established OIP.

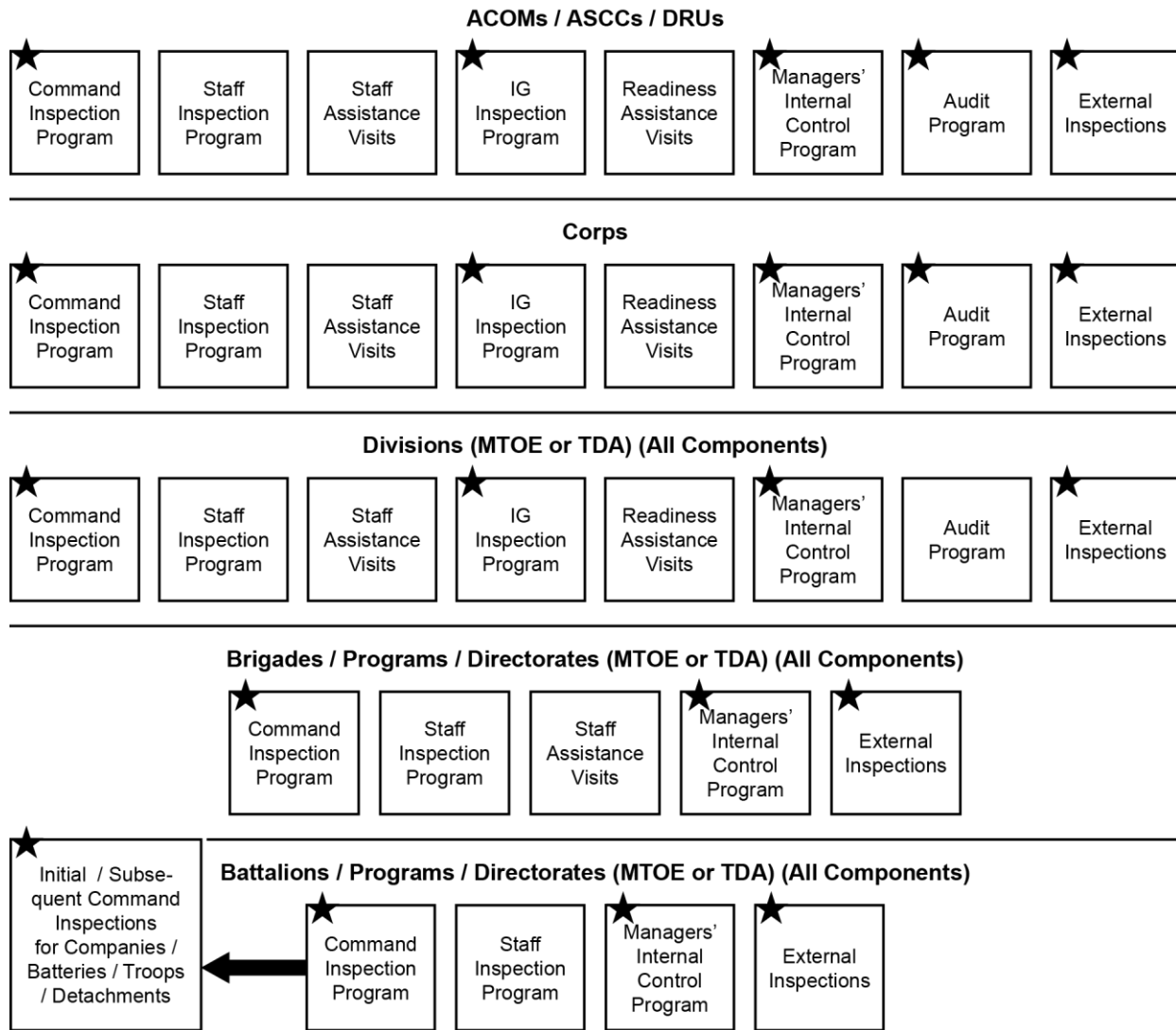
h. Program or directorate OIPs may look very different from command-level OIPs developed to support the readiness of other Army organizations. Since many programs and directorates have small internal staffs, the OIP may only include a coordination plan for external inspections and for implementing corrective actions.

i. The OIP is not merely a garrison-oriented program but a program that applies equally to the deployed environment. IGs must advise commanders on how best to tailor an OIP to meet the needs of a unit or organization engaged in multi-domain operations. The scope and nature of command, staff, and IG inspections may change, but inspections take on greater importance when the operational tempo is high. Timely, well-focused inspections are essential, so compressing the processes may be necessary as long as the abbreviated process does not compromise the inspection results. See figure 3-1.

The Organizational Inspection Program (OIP)

Headquarters, Department of the Army
 Army Regulation 1-201, Army Inspection Policy

Proponent: The Inspector General
 Note: All HQDA staff agencies have OIPs



★ = Required Programs (in most cases)

Figure 3-1. The organizational inspection program

3-3. Command inspections

a. *Command inspections.* Command inspections help verify that units comply with regulations and policies and assist commanders with determining the training, discipline, readiness, and welfare of the command. Command inspections are so important that commanders must be personally involved in order to hold leaders at all levels accountable for ensuring that deficiencies identified during these inspections are fixed through corrective action. In the context of these inspections, the term "commanders" also includes program managers and directors, since these inspections may also apply to, or may be tailored to

support, some programs and directorates. In addition, command inspections help commanders identify systemic problems and assist in the recognition of emerging trends. Command inspection programs are mandatory for those organizations with companies (or similarly-sized organizations) that require ICIs (see para 3–3c). At a minimum, these command inspection programs must address ICIs. Commanders may expand the command inspection program to include ICIs for new battalion, brigade, and other commanders or simply conduct periodic command inspections as necessary.

b. Commander of the inspecting headquarters. The commander of the inspecting headquarters must participate for an inspection to be a command inspection and to set the overall standard for the conduct of the inspection. This involvement allows the commander to gain first-hand knowledge of the organization's strengths and weaknesses and assists in developing realistic corrective action plans to address identified weaknesses. At a minimum, the commander must attend the in-briefings and out-briefings, actively participate in the inspection, and provide the inspected commander with an assessment of strengths and weaknesses upon completion. This requirement applies to all echelons of command, from ACOM/ASCC/DRU down to individual battalions; however, commanders at the ACOM/ASCC/DRU level are authorized to designate the deputy commander to represent them at these inspections. "Commanders" in this context also includes program managers and directors (see para 3–3a, above). In addition to designating an OIP coordinator, the commander must designate an individual or staff proponent to plan, coordinate, and execute the command inspection portion of the OIP.

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 the Reserve Component (USAR and ARNGUS). The 90-day standard applies to Reserve Component units mobilized on active duty.

(3) The ICI ensures that the new commander understands the unit's strengths and weaknesses in relation to higher headquarters' goals. The ICI will appear on the training schedule and will serve to evaluate the condition of the unit. The inspecting commander establishes the scope and scale of all ICIs based on readiness requirements and from higher headquarters' guidance. The ICI will not, however, evaluate the commander's performance since assuming command.

(4) Only the inspected commander and that commander's rater will receive the specific results of the initial inspection. These results will serve as the basis for a goal-setting session between the incoming commander and his or her rater that will establish realistic goals to improve unit readiness. The incoming commander should receive a clear picture of the goals, standards, and priorities for the unit. Commanders will not use the results of ICIs to compare units.

d. Subsequent command inspections.

(1) Subsequent command inspections (SCIs) measure progress and reinforce the goals and standards established during the ICIs conducted for new company commanders (or leaders of a similarly-sized organization). These inspections are often focused inspections that look at specific areas and are not complete re-inspections of the entire unit.

(2) Commanders in both operating and generating force organizations of all components—Regular Army and Reserve Component—will conduct SCIs after allowing inspected commanders sufficient time to make corrections, usually not later than one year after completion of the new commander's ICI in the Regular Army and at a date determined by the commander in the Reserve Component (USAR and ARNGUS). The one-year guideline applies to Reserve Component units mobilized on active duty. The first general officer in the chain of command may waive the requirement to conduct an SCI.

3–4. Staff inspections

a. Staff inspections occur at the commander's/State Adjutant General's/program manager's/director's discretion. These inspections have the ability to provide the commander/State Adjutant General/program manager/director with specific, compliance-oriented feedback on functional areas or programs within the organization. The commander/program manager/director may choose to direct staff principals and staff members to conduct staff inspections that can stand alone or that can complement ongoing command and IG inspections.

b. Staff inspections are compliance-oriented and focus on a single functional area or a few related areas.

c. The lowest level staff member technically qualified in the functional area normally conducts the inspection.

d. Examples of staff inspections include—

- (1) Safety inspections.
- (2) Training and training management inspections.
- (3) Command supply discipline inspections.
- (4) Automated data processing inspections.
- (5) Command maintenance discipline program inspections.
- (6) Accountability inspections.
- (7) Physical security inspections of arms rooms.
- (8) Inspections of ammunition and explosives storage areas.
- (9) Financial/budget management.
- (10) Acquisition management.
- (11) Cybersecurity and cyber-readiness inspections.
- (12) Operational security inspections.
- (13) Solid and hazardous waste management inspections.
- (14) Command maintenance evaluation and training team inspections.
- (15) Religious support program inspections.
- (16) Inspections of critical mobilization and supply transportation networks, airfields, bridges, and railroad tracks.
- (17) Unit and command-level CPC inspections.
- (18) Unit counseling program.

3–5. Staff assistance visits

SAVs are not inspections. SAVs are teaching and training opportunities that support staff inspections. Staff sections conduct SAVs 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/State Adjutant General/program manager/director, or a staff principal at any level can request an SAV from the next higher staff echelon. SAVs can assist staff sections in preparing for upcoming inspections or train staff sections on new concepts, technologies, or operating techniques. SAVs do not produce formal reports but instead provide feedback only to the staff section receiving the assistance.

3–6. Inspector general inspections

a. IG inspections focus principally on issues that are systemic in nature and that affect many units throughout the command. These inspections normally focus on a specific Army system, program, or function and recommend solutions for problems that command and staff inspections cannot solve at the local level. AR 20–1 governs the purpose and conduct of IG inspections.

b. IGs conduct inspections through all levels of multi-domain land operations and use teaching and training to add to the effectiveness and positive impact of these inspections.

c. Since IGs are qualified to conduct complex inspections of systemic issues, organizations with IGs (those normally commanded by a general officer) must include an IG inspection program as part of the OIP.

d. Although the primary focus of IG inspections is on systemic issues, IGs also conduct selected compliance inspections of specific areas mandated for IG oversight and that require an assessment against a specified standard or regulation.

e. IGs are exposed to a wider range of units than most other inspectors. IGs are trained to—

- (1) Identify systemic issues and refer them for resolution.
- (2) Identify substandard performance, determine the magnitude of the deficiency, and seek the root cause for the substandard performance or deficiency.
- (3) Teach systems, processes, and procedures.
- (4) Identify responsibility for corrective actions.
- (5) Identify and share innovative ideas and best practices.

3–7. Readiness assistance visits

a. Commanders with IGs may include a readiness assistance visit (RAV) program in their OIPs as a subset of the IG inspection program in order to assist units in managing and inspecting their own internal readiness posture. The RAV is not an IG inspection but instead falls within the IG teaching and training function. The basic concept of the RAV applies principally to units who are part of the operating force. Inspectors general, at the discretion of the directing authority, can conduct RAVs to assist units of all types as those units participate in the Army's most current readiness model. The RAV allows IGs to visit a unit and teach incoming personnel how to inspect their organizations and re-establish those specific systems, functions, or programs (at the discretion of the commander) that have atrophied during post-deployment operations. In this context, IGs teach the unit's staff members about the OIP and the organization's inspection responsibilities within the OIP. IGs (with augmenting subject-matter experts) will then train and advise the commanders and staff members on how to conduct command and staff inspections by highlighting current inspection standards, helping them to develop evaluation tools (checklists, questionnaires, and so forth), showing them how to plan an inspection, and demonstrating how to conduct an inspection. The IGs will then shadow the staff members as they use these evaluation tools to assess the unit's readiness at that point in time. Along the way, the IG may demonstrate how to gather the information and offer best practices that improve each inspector's efficiency and knowledge. Since the unit's own staff members are conducting the inspection, the information gathered is not an IG record. At the end of the RAV, the IGs and augmenting RAV team members will help the staff develop an out-briefing that allows the commander to make an informed readiness judgment about where the unit's readiness stands at that point in time. RAVs cannot and will not substitute for actual command inspections (specifically ICIs), staff inspections, or SAVs. IGs are strictly trainers and advisors in their RAV capacity and will not render a readiness judgment to the supported commander or to the IG's directing authority.

b. Although generally focusing on the operating force, RAVs are applicable to units within the generating force or any other organization not participating in the Army's most current readiness model. For example, many commands and their staffs have significant turn-over during the summer months, often leaving only one to two primary staff members remaining within the organization for continuity purposes. Commanders in the generating force may use the RAV concept to teach and train new subordinate command teams and staffs to function effectively within the higher command's mission and intent. For organizations assigned directly to installations, that higher command's mission requirements will fall under the mission commander, who is normally dual hatted as the senior commander. In these cases, the RAV will require coordination and/or resources from the senior command staff. Another reason to conduct an RAV on a command in the generating force is when the organization experiences a wholesale change in a system or process that significantly alters the operating paradigm. In this case, the focus of this RAV would be more functional than general in nature. In these cases, commanders could employ the RAV concept to ensure that the affected command understands the new process or system and so that the organization's systems adapt to the new process at all levels.

3–8. Managers' Internal Control Program

a. The MICP is an important part of each organization's OIP and represents a key evaluation source that assists the commander/State Adjutant General/program manager/director in assessing organizational readiness.

b. All commanders and managers have an inherent responsibility to establish and maintain effective internal controls in accordance with the MICP as outlined in AR 11–2. These evaluations ensure that essential internal controls are in place for all functioning areas of the command and provide commanders at all levels reasonable assurance that the systems within their organizations are functioning as intended.

3–9. Audits

a. Audits represent another key oversight tool that assist the commander/State Adjutant/program manager/director in assessing organizational readiness. Audits are independent reviews of an organization's financial and performance areas in order to assess internal controls as well as identify potential or existing fraud, waste, and abuse.

b. Commanders/program managers/directors are responsible for designating an audit focal point representative as part of their OIPs to coordinate audit activity and perform liaison with staff from USAAA, Government Accountability Office, DoD Inspector General, Special Inspectors General, and other oversight organizations. In accordance with AR 36–2, commanders/program managers/directors will promptly

report contact with any external audit agency to the USAAA Audit Coordination and Followup Office (SAAG-ZBO).

Appendix A

References

Section I

Required Publications

AR 20–1

Inspector General Activities and Procedures (Cited in title page.) (Available at <https://armypubs.army.mil/>.)

The Organizational Inspection Program (OIP) Guide for Commanders

(Cited in para 2–1.) (Available at <https://ig.army.mil/>.)

32 USC 105

Inspection (Cited in para 1–4d(1).) (Available at <https://uscode.house.gov/>.)

Section II

Prescribed Forms

This section contains no entries.

Appendix B

Internal Control Evaluation

B-1. Function

The internal control function covered by this evaluation is the OIP.

B-2. Purpose

The purpose of this evaluation is to assist unit managers and internal control administrators in evaluating the key internal controls identified below. This evaluation is not intended to address all controls.

B-3. Instructions

Answers must be based on the actual testing of key internal controls (for example, document analysis, direct observation, sampling, and simulation). Answers that indicate deficiencies must be explained and corrective action indicated in supporting documentation. These controls must be formally evaluated at least once every 5 years. Certification that this evaluation has been conducted must be accomplished on DA Form 11-2 (Internal Control Evaluation Certification).

B-4. Test questions

a. Organizational inspection program.

- (1) Has the commander/State Adjutant General/program manager/director established an OIP designed to ensure that inspections complement rather than duplicate each other?
- (2) Does the organization have a written OIP in the form of a local policy letter, memorandum, or some other type of document?
- (3) Is the OIP designed to ensure teaching, training, and mentoring are goals of all inspections?
- (4) Does the higher level OIP verify the effectiveness of subordinate OIPs?
- (5) Has the higher level commander established inspection policy for subordinate levels of command consistent with this regulation?
- (6) Does the brigade level (or similarly-sized organization) OIP include guidance on command inspections of the brigade headquarters and headquarters company, staff inspections, and SAVs?
- (7) Has a deputy commander, executive officer, or similar individual assigned as the second in command been designated in writing to serve as the organization's OIP coordinator at the brigade (or similarly sized organization) level and below? Above the brigade (or similarly sized organization) level, has the commander designated in writing a person in a position of authority to serve as the OIP coordinator, such as the chief of staff or G-3?
- (8) Does the OIP address all internal and external inspections and audits (internal review audits, managers' internal controls, command inspections, staff inspections, IG inspections, and all other external sources)?
- (9) Does the OIP include the commander's/State Adjutant General's/program manager's/director's priorities and goals?
- (10) Does the OIP identify a mechanism for scheduling and executing inspections?
- (11) Are inspections and audits scheduled and posted on training calendars?
- (12) Does the commander/State Adjutant General/program manager/director ensure that inspections are briefed, approved, and scheduled during training briefings?
- (13) Does the OIP discuss a way to track feedback and corrective actions as part of follow up?
- (14) Has an office of primary responsibility been designated to ensure that corrective actions identified during inspections are completed and implemented properly?
- (15) Does the commander/State Adjutant General/program manager/director ensure that inspectors are trained on Army inspection policy and the Army's inspection principles?
- (16) Is a mechanism in place to track internal and external audit/inspection findings?
- (17) Do inspectors use Root Cause Analysis to determine reasons for non-compliance?

b. Command inspections.

- (1) Are ICIs conducted within the first 90 days of assumption of command for the Regular Army and 180 days for the Reserve Component (the 90-day standard applies to Reserve Component units mobilized on active duty)?
- (2) Are ICI results used to establish goals for the incoming commander?

(3) Does the commander of the inspecting headquarters physically participate in the conduct of command inspections?

(a) Does the inspecting commander attend the in-briefing and out-briefing?

(b) Does the inspecting commander actively conduct part of the inspection?

(c) Does the inspecting commander provide the inspected commander with an assessment of strengths and weaknesses upon completion?

(4) Are commanders conducting SCIs not later than one year after completion of the new commander's ICI in the Regular Army and at a date determined by the commander in the Reserve Component (USAR and ARNGUS)?

B-5. Supersession

This evaluation replaces the evaluation for the OIP previously published in AR 1-201, dated 25 February 2015.

B-6. Comments

Help make this a better tool for evaluating internal controls. Submit comments to The Inspector General via email at: usarmy.belvoir.usainet.mbx.tigs-instructors@army.mil.

Glossary of Terms

Audit

The independent appraisal activity within the Army for the review of financial, accounting, and other operations as a basis for protective and constructive service to command and management at all levels.

Command inspection

An inspection of an organization conducted by a commander or supervisor of the inspected activity. Command inspections are compliance-oriented and are designed to determine the status of an organization's adherence to established law, regulations, policies, procedures, and directives. See the definition of compliance inspection.

Compliance inspection

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.

Follow-up inspection

An inspection of the action taken to correct deficiencies found during a previous inspection. Its aim is to assess whether the corrective action is effective and complete; is producing the desired results; is not causing new problems; and is economical, efficient, practical, and feasible.

IG inspection

An inspection that focuses on the identification of problems, the determination of their root causes, the development of possible solutions, and the assignment of responsibilities for correcting the problems. Inspectors general normally conduct special inspections of systemic issues that affect a particular functional area such as logistics, personnel, maintenance, training, and so forth. The IG's commander approves the scope and content of all IG inspections. Inspectors general generally do not perform compliance-oriented general inspections of units, organizations, and activities but instead defer those inspections to commanders.

Organizational inspection program (OIP)

A comprehensive, written plan that addresses all inspections and audits conducted by the command/program/directorate and its subordinate elements as well as those inspections and audits scheduled by outside agencies. The 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. Command Inspection Programs, Staff Inspection Programs, SAVs, IG Inspection Programs, audits, external inspections, and other assessment or evaluation mechanisms are all sub-components that comprise the broader OIP.

Readiness assistance visit (RAV)

An IG teaching and training program that assists units in both the operating and generating force in re-establishing, managing, and inspecting their own internal readiness posture.

Staff assistance visit (SAV)

A visit by staff members of a particular staff section designed to assist, teach, and train subordinate staff sections on how to meet the standards required to operate effectively within a particular functional area.

Staff inspection

An inspection, other than a command or IG inspection, conducted by staff principals or members responsible for the functional area being inspected. See the definition of compliance inspection.

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