Army Regulation 1–201

Administration

Army Inspection Policy

UNCLASSIFIED

SUMMARY of CHANGE

AR 1-201
Army Inspection Policy

This major revision, dated 25 February 2015--

o Requires commanders, State Adjutants General, program managers, and directors to--(1) Inform The Inspector General by memorandum if selecting the inspector general to serve as the Organizational Inspection Program coordinator; (2) Designate an office of primary responsibility for ensuring that corrective actions identified during all inspections are completed and implemented properly; and (3) Post inspections and audits on training calendars and ensure that inspections are briefed, approved, and scheduled during training briefings (paras 1-4d(3), 1-4d(4), 1-4d(5)).

o Requires inspectors general to assist subordinate commanders and their staffs in the development and implementation of the Organizational Inspection Program (para 1-4d(13)(d)).

o Adds requirement for the Inspections Division to forward approved inspection reports to the Department of the Army Inspector General Information Resource Management Division (para 1-4d(13)(h)).

o Requires a written report of all Army inspections (para 2-2c).

o Expands the description of the Organizational Inspection Program to ensure that commanders, State Adjutants General, program managers, and directors at all levels understand the requirement to have an Organizational Inspection Program (para 3-2a).

o Adds a figure depicting the Organizational Inspection Program at all levels (fig 3-1).

o Provides new timing guidance for conducting initial and subsequent command inspections by phase as part of Army Force Generation (paras 3-3c and 3-3d).

o Addresses the importance of the Managers' Internal Control Program in the Organizational Inspection Program (para 3-7).

o Addresses the Organizational Inspection Program in the context of the Army Force Generation rotational force pools (para 3-8).

o Updates the sample battalion Organizational Inspection Program memorandum and links the execution of inspections to unit training management (app B).

o Adds an internal control evaluation for the Organizational Inspection Program (app C).

Administration

Army Inspection Policy

By Order of the Secretary of the Army:

RAYMOND T. ODIERNO
General, United States Army
Chief of Staff

Official:

GERALD B. O'KEEFE
Administrative Assistant to the
Secretary of the Army

History. This publication is a major revision.

Summary. This regulation prescribes the responsibilities and policies for the planning and conducting of inspections in Army organizations. It includes policies on command, staff, and inspector general inspections and prescribes policies for the integration of inspections into an Organizational Inspection Program.

Applicability. This regulation applies to the Active 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 surety operations and activities that are described in AR 20–1 and governed by the 50–series Army regulations.

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 guidance.

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 C).

Supplementation. Supplementation of this regulation and the establishment of command and local forms are prohibited without prior approval from The Inspector General (SAIG–TR), 1700 Army Pentagon, Washington, DC 20310–1700.

Suggested improvements. Users are invited to send comments or suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) to The Inspector General (SAIG–TR), 1700 Army Pentagon, Washington, DC 20310–1700.

Distribution. This publication is available in electronic media only and is intended for command levels B, C, D, and E for the Active Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve.

Contents (Listed by paragraph and page number)

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Glossary

Chapter 1
Introduction

1–1. Purpose
This regulation outlines responsibilities and prescribes policies for planning and conducting inspections in Army organizations.

1–2. References
Required and related publications and prescribed and referenced forms are listed in appendix A.

1–3. Explanation of abbreviations and terms
Abbreviations and special terms used in this regulation are explained in the glossary.

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, Article 6) or inspections or searches conducted in accordance with Manual for Courts Martial (MCM) 2012, Military Rules of Evidence 313, 314, and 315.

(2) Review and approve Department of the Army regulatory guidance that mandates any type of inspection. This authority to review and approve does not extend to inspections conducted pursuant to UCMJ, Article 6, or inspections or searches conducted in accordance with MCM 2012, Military Rules of Evidence 313, 314, and 315.

(3) Coordinate with Army, Department of Defense (DOD), and external inspection and audit agencies 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) inspectors general (IGs) in accordance with AR 20–1.

b. Department of the Army Secretariats and the Army Staff will—

(1) Coordinate with the Department of the Army Inspector General (DAIG) on all regulatory policies that mandate any inspections.

(2) Annually review and forward to DAIG (SAIG–ID) by 30 September a list of all regulatory inspection requirements by inspection name, proponent, applicable standard, frequency, and unit type.

c. Commanding General, U.S. Army Forces Command will—

(1) Inspect the Army National Guard (ARNG) to ensure that National Guard organizations are properly uniformed, armed, equipped, trained, and prepared for deployment in accordance with Section 105 (a) and (b), Title 32, United States Code (32 USC 105 (a) and (b)).

(2) Inspect the training and readiness of all Reserve Components in the context of their assigned Army Force Generation (ARFORGEN) Readiness Force Pool and Force Generation Readiness Phase and in coordination with the respective State Adjutant General; Director, Army National Guard; and/or the Commander, U.S. Army Reserve Command.

d. Commanders, program managers, and directors from the battalion level up through the ACOMs, ASCCs, and DRUs (or similarly sized organizations) and State Adjutants General will—

(1) Establish inspection policy for subordinate levels of command consistent with this regulation and higher headquarters guidance.

(2) Establish Organizational Inspection Programs (OIPs) designed to ensure that inspections complement rather than duplicate each other.

(3) Designate an OIP coordinator to coordinate and manage the OIP, preferably from within the staff agency that has tasking authority and direct access to the master calendar. Commanders/State Adjutants General/program managers/ directors who select the IG as the OIP coordinator must inform TIG by memorandum (SAIG–OP) so that TIG may monitor the workload of IGs functioning in this capacity.

(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 during training briefings.

(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 analysis and identification of trends.

(12) Ensure ACOM/ASCC/DRU 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) Design SAVs to complement but not duplicate other inspection programs.

(e) Apply the Army operations process outlined in ADRP 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) Adhere to 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 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 will not 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 the ACOM/ASCC/DRU IG and to DAIG's Inspections Division (SAIG–ID). Once DAIG's Inspections Division has received the inspection reports, the division will forward them to DAIG's Information Resource Management Division (SAIG–IR) for posting 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.

(14) 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. Commanders/State Adjutants General/program managers/directors must consult with the servicing staff judge advocate when these cases arise.

(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 Managers' Internal Control Program (MICP) in accordance with current guidance.

Chapter 2
Principles and Elements of Army Inspections

2–1. Inspection overview
TIG has identified five principles that apply to all Army inspections. These principles provide guidelines for commanders, State Adjutants General, program managers, directors, staff principals, IGs, and all Army inspectors and further support the five basic 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 that the commander/State Adjutant General/program manager/director approves. For an inspection to be purposeful, an inspection must be—

(1) Related to mission accomplishment and the overall mission readiness of the organization.

(2) 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.

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

(4) 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 ADRP 5–0 and ADRP 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 behind the information gathered and the resulting conclusions; slide presentations 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 training deficiencies, lack of resources, misunderstood requirements, or a lack of motivation. The inspector must determine where the root cause lies 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 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 goals 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 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.

2–3. Basic elements of an inspection

All inspections have one purpose—to provide feedback to commanders/State Adjutants General/program managers/ directors so they can make decisions that will improve the Army. An inspection's focus must remain on measuring compliance against established standards to ensure that the Army, as a whole, can function effectively in its combat role. The five principles of Army inspections support the five basic elements of an inspection. Those five elements are as follows:

a. Measure performance against a standard. Inspectors should first determine compliance against a standard. The inspector should prepare ways to determine why the unit or organization failed to meet the standard. The best method is to ask open-ended questions of the individuals involved in an effort to get at the real meaning behind the non-compliance. Avoid the strict use of checklists. If some form of checklist is necessary, then 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 the U.S. Army Inspector General School's OIP Guide for Commanders for a further discussion of inspection checklists.)

b. Determine the magnitude of the problem(s). Focus on the high-payoff issues that affect the unit's or organization's readiness. Do not become mired in trivial issues, such as poorly painted bumper numbers on tracked vehicles. Focus on issues that count and that truly affect the health and function of the organization.

c. Seek the root cause(s) of the problem(s). Use the Root Cause Analysis Model discussed in the OIP Guide for Commanders to determine why the non-compliance exists. The model allows inspectors to determine if the root of non-compliance was based on one of three factors: *don't know, can't comply, or won't comply*. Seeking the root cause applies to all inspections and not simply inspections conducted by IGs. A battalion commander should seek root causes as well when conducting an ICI for a company.

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

e. Assign responsibility to the appropriate individuals or agencies. The commander/State Adjutant General/program manager/director must receive a copy of the report with the inspector's findings and recommendations to task the appropriate individuals or agencies with fixing the problems. The inspector must name those individuals or agencies in each recommendation. Coordinate findings and recommendations with these persons or agencies before giving the report to the commander/State Adjutant General/program manager/director. Recommendations have meaning and effect only if the commander/State Adjutant General/program manager/director charges the right people with implementation and follow-up.

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 (U.S. Army Training and Doctrine Command 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) Managers' Internal Control Program (part of the OIP).

(13) Surety management reviews.

(14) Chemical Stockpile Emergency Preparedness Program.

(15) Command inspections (part of the OIP).

(16) Staff inspections (part of the OIP).

(17) IG inspections (part of the OIP).

(18) Personnel Asset Inventory.

(19) Soldier Readiness Program.

(20) Medical Protection System.

(21) Unit Commander Finance Report.

(22) Force protection assessments.

(23) Safety assessments.

(24) Physical security assessments and surveys.

(25) Environmental performance assessment system.

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) U.S. Army Audit Agency 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.
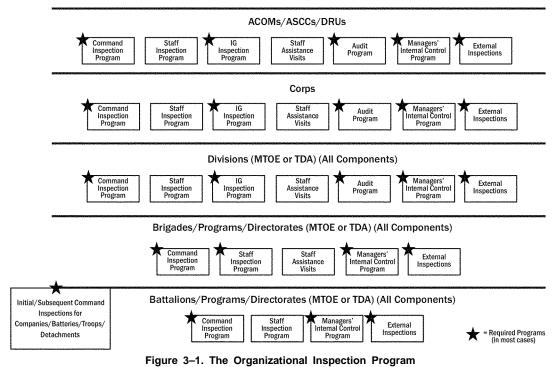
3–2. Organizational Inspection Program

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 will have an OIP, including Headquarters, Department of the Army (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/State Adjutants General/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).

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 must be prepared to provide resources for subordinate organizations 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 ADRP 7–0. Further, the OIP must assign responsibility for scheduling and monitoring inspections, providing standards, and tracking feedback and corrective action. A sample battalion OIP memorandum is at appendix B.

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, 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 initial command inspections.

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 brigades and battalions 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 Army National Guard (ARNG) 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 U.S. Army Reserve Command 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 ARNG 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 active and reserve. 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 unified land 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.

Headquarters, Department of the Army
AR 1-201, Army Inspection Policy
Proponent: The Inspector General
Note: All HQDA staff agencies have OIPs

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 in holding leaders at all levels accountable for this compliance. In this context, "commanders" also includes State Adjutants General, as well as program managers and directors, since these inspections may also apply to, or may be tailored to support, some programs and directorates. Command inspections assist commanders with determining the training, discipline, readiness, and welfare of the command. Inspections are so important that commanders must be personally involved. 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 and subsequent command inspections (SCIs) (see para 3–3a and 3–3b, below); these OIPs must address, at a minimum, ICIs and SCIs in the context of a command inspection program. Commanders may expand the command inspection program to include ICIs and SCIs for new battalion, brigade, and other commanders or simply conduct periodic command inspections as necessary.

b. Commander of the inspecting headquarters. Command participation sets the overall standard for the conduct of the inspection. The commander of the inspecting headquarters must physically participate for an inspection to be a command inspection. This involvement allows the commander to gain first-hand knowledge of the organization's strengths and weaknesses and assists in developing realistic action plans to address the weaknesses. At a minimum, the commander must attend the in-briefings and out-briefings, actively conduct part of 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. 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 is also the inspected commander's rater.

(2) The ICI for companies of all components—Active, ARNG, and USAR—will occur for both operating- and generating-force organizations during the ARFORGEN RESET phase at the inspecting commander's discretion or

based upon force-generation readiness points directed by HQDA. For Army organizations that do not participate in ARFORGEN, ICIs will occur within the first 90 days of assumption of command for the Active Component and 180 days for the Reserve Component. The 90-day standard applies to Reserve Component units 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.

(5) The ICI results (and subsequent command inspection results, if available) will be included as part of the inspected unit's deployment records if that unit deploys separately, so that the gaining commander is aware of the unit's strengths and weaknesses.

d. Subsequent command inspections.

(1) SCIs measure progress and reinforce the goals and standards established during the ICI. 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—Active, ARNG, and USAR—will conduct SCIs during the ARFORGEN Train/Ready phase but only after allowing inspected commanders sufficient time to make corrections. These inspections will occur at a date established by the inspecting commander or based upon force-generation readiness points directed by HQDA. In some cases, commanders may opt to conduct SCIs during the RESET phase. For Army organizations that do not participate in ARFORGEN, SCIs will occur not later than one year after completion of the new commander's ICI in the Active Component and at a date determined by the commander in the Reserve Component.

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/State Adjutant General/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) Maintenance inspections.

(6) Accountability inspections.

(7) Physical security inspections of arms rooms.

(8) Inspections of ammunition and explosives storage areas.

(9) Resource and acquisition management.

(10) Information assurance and cyber-readiness inspections.

(11) Operational security inspections.

(12) Solid and hazardous waste management inspections.

(13) Command maintenance evaluation and training team inspections.

(14) Religious support program inspections.

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. Inspector general inspections focus principally on issues that are systemic in nature and that affect many units throughout the command. IG inspections examine and recommend solutions for problems that command and staff inspections cannot solve at the local level. IGs conduct inspections through all levels of unified land operations. IGs also use teaching and training to add to the effectiveness and positive impact of these inspections. 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.

b. AR 20–1 governs the development and conduct of IG inspections.

c. IGs tailor inspections to meet the commander's needs. IG inspections may also focus on units, functional areas, or both.

d. IGs also conduct selected compliance inspections to verify specific areas mandated for IG oversight and that require 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 substandard performance, determine the magnitude of the deficiency, and seek the reason (root cause) for the substandard performance or deficiency.

(2) Identify systemic issues and refer them for resolution.

(3) Teach systems, processes, and procedures.

(4) Identify responsibility for corrective actions.

(5) Identify and share innovative ideas and best practices.

3–7. Managers' Internal Control Program

a. 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.

b. 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.

3–8. Inspections and the Army Force Generation readiness model

a. Applying the OIP to the AFORGEN model requires careful planning and a clear understanding of what commanders want to achieve. Commanders at all levels establish the scope and purpose of these inspections and focus the inspection efforts on high-payoff readiness issues. Variables in planning include the force generation force pool to which the unit is assigned: Mission Force Pool, Rotational Force Pool, or Operational Sustainment Force Pool; which force generation readiness phase the unit occupies at a given point in time; and the requirements of the combatant command (see AR 525–29 for specific explanations about each force pool and force generation phase).

(1) *RESET phase.* Units are generally not available for operations during this phase since the priorities are to recover, reset, and reestablish systems. Units use this phase to stabilize personnel, maintain existing equipment, receive new equipment, and conduct individual and collective training. Command, staff, and IG inspections are extremely effective in this phase by focusing on the general readiness of a unit (command inspection), the capabilities and functionality of staff sections (staff inspections), and systemic issues that are adversely affecting multiple units within the command (IG inspections). This phase is most appropriate for conducting ICIs, since most changes of command will occur during this phase. ICIs must be tailored in scope to concentrate on high-payoff readiness areas so the new commander can tailor his or her training plan to enhance areas that require improvement. SAVs are equally useful to staff sections and complement the unit's individual and collective training program.

(2) *Train/Ready phase.* This phase is characterized by collective training focused on the unit's mission-essential task list or, if earmarked for deployment, the unit's operational mission. Command inspections become increasingly more difficult to perform during this phase, but ICIs and SCIs are still critical to new company commanders and must occur. Staff inspections and IG inspections (at the division level and above) will constitute the commander's greatest inspection efforts by focusing on key readiness indicators and the appearance of previously unidentified systemic issues.

(3) *Available phase.* This phase is characterized by an immediate availability for deployment or an operational mission. ICIs and SCIs remain critical for incoming company commanders who may replace incumbents during the deployment, but the senior commander must use these inspections to target mission-critical areas within the company that demand immediate assessment and correction. Staff inspections remain an option but are more likely to be SAVs for the purpose of training staff sections on emerging technological innovations aligned along specific functional areas. IG inspections at the division level and above will focus on systemic issues that are deemed mission-critical.

b. The most significant challenge with the ARFORGEN readiness model and the OIP is when the division/corps headquarters deploys. Inspections must continue to occur on the installation, so detailed planning must take place

before the OIP coordinator departs. The scope and number of inspections may be reduced since many inspectors might come from the deployed staff. However, a program of rear-detachment inspections must start before the leaders depart. An SAV of the unit's rear-detachment plan, conducted by the owning command prior to the deployment date, is an effective way to determine the plan's viability.

Appendix A
References

Section I
Required Publications

AR 20–1
Inspector General Activities and Procedures (Cited in paras applicability, 1–4*a*(4), 1–4*a*(5), 1–4*d*(13)(a), 1–4*d*(13)(e), 3–2*e*, 3–6*b*.)

32 USC 105 (a) and (b)
National Guard Organization: Inspection (Cited in para 1–4*c*.) (Available at http://www.gpoaccess.gov.)

OIP Guide
The OIP Guide for Commanders (Cited in paras 2–3*a*, 2–3*c*, fig B–1, fig B–2.) (Available at the U.S. Army Inspector General School (SAIG–TR), 5500 21st Street, Suite 2305, Fort Belvoir, VA 22060–5935 or on the school's Web site at http://tigs-online.ignet.army.mil.)

Section II
Related Publications
A related publication is a source of additional information. The user does not have to read it to understand this publication.

ADP 5–0
The Operations Process

ADP 6–0
Mission Command (Change 1)

ADP 7–0
Training Units and Developing Leaders

ADRP 5–0
The Operations Process

ADRP 7–0
Training Units and Developing Leaders

AR 11–2
Managers' Internal Control Program

AR 25–30
The Army Publishing Program

AR 25–400–2
The Army Records Information Management System

AR 381–10
U.S. Army Intelligence Activities

AR 525–29
Force Generation

AR 623–3
Evaluation Reporting System

DA Pam 623–3
Evaluation Reporting System

MCM 2012, Part III, Section III
Military Rules of Evidence: Rule 313–Inspections and Inventories in the Armed Forces; Rule 314–Searches not requiring probable cause; Rule 315–Probable cause searches

UCMJ, Article 6
Judge advocates and legal officers

Section III
Prescribed Forms
This section contains no entries.

Section IV
Referenced Forms
The following form is available on the Army Publishing Directorate Web site (http://www.apd.army.mil/).

DA Form 11–2
Internal Control Evaluation Certificate

DA Form 2028
Recommended Changes to Publications and Blank Forms

DA Form 67–10–1A
Officer Evaluation Report Support Form

DA Form 2166–8
NCO Evaluation Report

Appendix B
Battalion Organizational Inspection Program Memorandum and Associated Products
This appendix contains a suggested format for a memorandum used to develop a battalion-level OIP (fig B–1); a suggested format for a battalion-level inspector's report (fig B–2); a sample of a standard ICI schedule (table B–1); and a sample list of ICI inspection areas (table B–2).

B–1. Sample battalion Organizational Inspection Program memorandum
(See fig B–1.) This sample battalion OIP represents a typical inspection program at the battalion level. The same concept also applies to OIPs above the battalion level and in programs and directorates. OIPs may also exist in the form of a local regulation, pamphlet, or other type of document. However, once a specific inspection is scheduled (such as an ICI or SCI), the organization must treat the inspection as a training event and adhere to the doctrine outlined in ADRP 7–0 for executing that training. The operations order issued to execute any inspection will draw on the framework of the program and on specific requirements outlined in the organization's written OIP.

B–2. Sample report format for battalion-level inspector's report
(See fig B–2.) This report format is recommended for inspections conducted as part of the battalion command inspection program described in the sample battalion OIP memorandum.

DEPARTMENT OF THE ARMY
ORGANIZATION
STREET ADDRESS
CITY STATE ZIP

REPLY TO
ATTENTION OF

OFFICE SYMBOL   Date

MEMORANDUM FOR [SEE DISTRIBUTION]

SUBJECT: Battalion Organizational Inspection Program (OIP)

1. REFERENCES

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

      b. Division Organizational Inspection Program (dated __)

      c. Brigade Organizational Inspection Program (dated __)

      d. The OIP Guide for Commanders (dated __)

      e. ADP 7-0, Training Units and Developing Leaders

      f. ADRP 7-0, Training Units and Developing Leaders

      g. Battalion Quarterly Training Guidance, 4th Quarter, 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 and elements 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

Figure B–1. Sample memorandum used to develop a battalion-level Organizational Inspection Program

readiness deserve recognition and acknowledgement in reports.

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.

Figure B–1. Sample memorandum used to develop a battalion-level Organizational Inspection Program—continued

(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

Figure B–1. Sample memorandum used to develop a battalion-level Organizational Inspection Program—continued

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 are outlined in paragraph 13, RESPONSIBILITIES.

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

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

7. STAFF INSPECTIONS

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

Figure B–1. Sample memorandum used to develop a battalion-level Organizational Inspection Program—continued

responsibilities for the companies and staff sections. The brigade inspection will closely resemble the battalion command inspections in content and execution.

9. EXTERNAL INSPECTIONS

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

    a. *Hazardous Materials Inspection of the Motor Pool.* The post Environmental Officer will conduct a day-long inspection of the Motor Pool once a year to determine the battalion's compliance with regulations governing the amount of Class III and 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 provost marshal's office will conduct an annual inspection of the battalion's arms rooms and barracks to ensure compliance with post and Army physical security requirements. The S-2 is the battalion point of contact for this inspection and will work with the company 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 orient first on battalion policies pertaining to their inspection area. When they become familiar with these policies, they should study the brigade and division policies followed by corps, ACOM, and 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

Figure B–1. Sample memorandum used to develop a battalion-level Organizational Inspection Program—continued

beyond the battalion's ability to correct such as conflicting guidance in Army regulations. Therefore, we will often inform the IG of issues that we cannot resolve so that he or she can resolve them. Such issues will go forward in writing under my signature.

12. ANNOUNCED AND UNANNOUNCED INSPECTIONS

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

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

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

13. RESPONSIBILITIES

     a. The XO will—

          (1) Serve as the battalion OIP coordinator.

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

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

          (4) Schedule formal out-briefings in the battalion classroom 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.

Figure B–1. Sample memorandum used to develop a battalion-level Organizational Inspection Program—continued

(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 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-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 not 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 not later than 10 days prior to DAY ONE a listing of warrior task training

Figure B–1. Sample memorandum used to develop a battalion-level Organizational Inspection Program—continued

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 not 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 not 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—

Figure B–1. Sample memorandum used to develop a battalion-level Organizational Inspection Program—continued

(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 not 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.

Figure B–1. Sample memorandum used to develop a battalion-level Organizational Inspection Program—continued

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

Figure B–1. Sample memorandum used to develop a battalion-level Organizational Inspection Program—continued

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 S-1 responsibility, but ENGINEERING and HOUSING are S-4 responsibilities), the appropriate staff member will prepare a separate report for that sub-element.

SUMMARY: This section should consist of a brief description of the sub-elements inspected within the major appendix heading. Each sub-element will include a rating of SATISFACTORY, NEEDS IMPROVEMENT, or UNSATISFACTORY. Inspectors must ensure that their standards are consistent from one inspection to the next and from one unit to another.

FINDINGS: This section should highlight areas of significance (either strengths or weaknesses) that demonstrate that the unit is either surpassing or not following the overall intent and letter of the regulatory guidance or requirement. Comments in this section should be consistent with the rating in the SUMMARY section. Consistency from one inspection to the next and from one unit to another is absolutely essential.

OBSERVATIONS: This section should (a) identify potential problem areas that have not yet become issues, (b) highlight areas if the inspector suspects but cannot verify a problem, or (c) indicate where the inspectors believe that the unit is not complying with the "spirit of the law." Comments in this section should be consistent with the rating in the SUMMARY section. Note that Observations are not substitutes for Findings.

ROOT CAUSE: This section should explain the reason (or reasons) for the non-compliance of any findings and—if necessary—any observations. The Root Cause Analysis Model is an important tool to use to determine why something is not happening to standard (see The OIP Guide for Commanders, section ___).

RECOMMENDATIONS: This section should provide specific guidance or suggestions on how an individual, unit, or staff section can correct a noted deficiency. An essential element of every recommendation is naming an individual, unit, or staff section charged with fixing the problem. Additionally, use this section to recommend individuals for outstanding performance.

TRENDS AND OTHER SIGNIFICANT MATTERS: This section should highlight significant observations and trends found throughout the inspection that are not necessarily attributed to a regulatory requirement but are directly or indirectly affecting the outcome of a particular finding (or findings).

Figure B–1. Sample memorandum used to develop a battlion-level Organizational Inspection Program—continued

DEPARTMENT OF THE ARMY
ORGANIZATION
STREET ADDRESS
CITY STATE ZIP

REPLY TO
ATTENTION OF

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:

    1. NCOERs. All noncommissioned officers (NCOs) are being counseled on their
performance, and this counseling is documented on their NCOERs.

ROOT CAUSE:

The S-1 shop members are aware of the commander's policy to present awards to departing Soldiers
before they leave the unit; however, the S-1 shop suffers from a manpower shortage and an effective
tracking system that would allow the shop to keep pace with the awards system with fewer people.

RECOMMENDATIONS:

    1. AWARDS. The S-1 should establish a tracking system that identifies departing Soldiers
and requires the Soldier's chain of command to forward a recommendation for an award or to indicate
that the Soldier will not receive an award for a specific reason.

2. REENLISTMENT.

    a. The S-1 should establish a tracking system to remind commanders to interview Soldiers
11 to 12 months prior to their ETS date.

    b. Unit commanders should conduct these interviews on time.

Figure B–2. Example battalion-level inspector's report

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.

Figure B–2. Example battalion-level inspector's report

Table B–1
Standard initial command inspection schedule

Time	Event	Who	Location
Day One			
0700–0730	Inspection in-briefing	Battalion commander/unit commander/staff	Unit area
0730–0930	In-ranks inspection	Battalion commander/command sergeant major (CSM)/unit commanding officer (CO)/first sergeant/platoon leaders/platoon sergeants	Unit area
0930–1200	[1]Phase I of ICI Battalion commander walk-through	Battalion inspectors/unit guides	Unit area
1200–1300	Lunch	All	Battalion area
1300–1330	[1]Prep for Phase II	All	Battalion area
1330–1630	[1]Phase II of ICI	Battalion inspectors/unit guides	Unit area
1630–1700	Re-group from inspection visits	All	Unit area
1700–1800	Staff meeting	Battalion executive officer (XO)/battalion inspectors	Battalion conference room
1800–1830	Unit commander informal out-briefing	Battalion commander/unit commander	Battalion conference room
1830	End of day one		
Day Two			
0700–0800	[2] Evaluate conduct of Army physical fitness test (APFT)	S–3 evaluators/unit personnel	Unit area
0800–0930	Personal hygiene/breakfast	All	Battalion area
0930–1200	Phase III of ICI [2] Evaluate chemical, biological, radiological, and nuclear (CBRN)	Battalion inspectors/unit guides	Unit area
1200–1300	Lunch	All	Battalion area

Table B–1
Standard initial command inspection schedule—Continued

1300–1330	Preparation for phase IV	All	Battalion area
1330–1630	Phase IV of ICI [2] Evaluate Warrior Task Training (WTT)	Battalion inspectors/unit guides	Unit area
1630–1700	Re-group from inspection visits	All	Battalion area
1700–1800	Staff meeting	Battalion XO/staff	Battalion conference room
1800–1830	Unit commander informal out-briefing	Battalion commander/staff/unit CO	Battalion conference room

<div align="center">No later than one week after the inspection visit</div>

	Formal out-briefing	Battalion commander/staff/unit CO/ leaders determined by CO	Battalion conference room

Notes:

[1] The term "phase" appears in the text to distinguish between a.m. or p.m. sessions of each day.

[2] 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.

Table B–2
ICI inspection areas

Inspection area	Battalion staff proponent
Weight control	S–1
Drug and alcohol	S–1
Equal Opportunity	S–1
Family Care Plans	S–1
Recognition/farewell to departing Soldiers	S–1
Awards	S–1
Reenlistment	S–1
Meal-card management	S–1
Noncommissioned officer evaluation reports (NCOERs) (DA Form 2166–8 (NCO Evaluation Report))/Officer evaluation reports (DA Form 67–10–1A)	S–1
Promotions	S–1
Enlisted reassignment	S–1
Travel card administration	S–1
Military sponsorship	S–1
Timeliness of admin eliminations	S–1
eMilpo operations	S–1
Use of enlisted personnel	S–1
Finance administration	S–1
Finance services	S–1
General legal services	S–1
Courts-martial	S–1
Non-judicial punishment	S–1
Enlisted separations	S–1
Legal assistance and claims	S–1
Suspension of favorable personnel actions	S–1
Medical services	S–1

Table B–2
ICI inspection areas—Continued

Public affairs	S–1
Physical security	S–2
Crime prevention	S–2
Safety	S–1
Information assurance	S–6
Personnel security	S–2
Computer security program	S–2
Intelligence oversight	S–2
Training	S–3
Training management	S–3
Operations	S–3
CBRN program	S–3
Communications security	S–6
Financial management	S–4
Supply management	S–4
Dining facilities	S–4
Maintenance management	Battalion maintenance officer
Movement planning	S–3
In-ranks inspection	CSM
Billets	CSM
Clothing and equipment	CSM
Leadership and leader development	Commander and CSM
Fire prevention	S–3
Purchase card administration	S–4
Environmental compliance	S–4
Records management	S–1

Note: The subjects listed above represent only a sample of the many functional inspection areas that comprise inspections at the battalion level. The applicable regulation or policy that applies to each subject area represents the inspection standard for that topic.

Appendix C
Internal Control Evaluation

C–1. Function
The internal control function covered by this checklist is the OIP.

C–2. Purpose
The purpose of this checklist is to assist unit managers and internal control administrators in evaluating the key internal controls identified below. This checklist is not intended to address all controls.

C–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).

C–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) Have OIP coordinators been appointed on orders at battalion level (or similarly-sized organization) and above?

(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) Does the commander/State Adjutant General/program manager/director ensure that inspectors are trained on Army inspection policy and the Army's inspection principles?

(15) Is a mechanism in place to track internal and external audit/inspection findings?

(16) Do inspectors use Root Cause Analysis to determine reasons for non-compliance?

b. Command inspections.

(1) Are ICIs conducted in the appropriate ARFORGEN phase or, for non-ARFORGEN units, within the first 90 days of command?

(2) Does the commander include ICI results as part of unit deployment records (if applicable) to ensure that gaining commanders in theater are aware of the unit's strengths and weaknesses?

(3) Are ICI results used to establish goals for the incoming commander?

(4) Are SCIs conducted in the appropriate ARFORGEN phase or, for non-ARFORGEN units, no later than one year following all ICIs?

(5) 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?

C–5. Comments

Help make this a better tool for evaluating internal controls. Submit comments to The Inspector General (SAIG–TR), 1700 Army Pentagon, Washington, DC 20310–1700.

Glossary

**Section I
Abbreviations**

ACOM
Army command

ADP
Army Doctrine Publication

ADRP
Army doctrine reference publication

APFT
Army physical fitness test

AR
Army Regulation

ARFORGEN
Army Force Generation

ARNG
Army National Guard

ASCC
Army service component command

CBRN
chemical, biological, radiological, and nuclear

CO
commanding officer

CSM
command sergeant major

DAIG
Department of the Army Inspector General

DOD
Department of Defense

DRU
direct reporting unit

HQDA
Headquarters, Department of the Army

ICI
initial command inspection

IG
inspector general

MCM
Manual for Courts Martial

MICP
Managers' Internal Control Program

NCO
noncommissioned officer

NCOER
noncommissioned officer evaluation report

OIP
Organizational Inspection Program

SAV
staff assistance visit

SCI
subsequent command inspection

TIG
The Inspector General

UCMJ
Uniform Code of Military Justice

USAR
U.S. Army Reserve

USC
United States Code

WTT
warrior task training

XO
executive officer

Section II
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 in the chain of command (or program manager, State Adjutant General, and director as applicable) of the inspected activity. Command inspections tend to be compliance-oriented and are designed to determine the status of an organization's adherence to established law, regulations, policies, procedures, and directives. The commander conducting the inspection determines the areas of interest and the scope of the inspection as well as the composition of any inspection team. 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
Action taken to determine whether or not deficiencies found during a previous inspection or audit have been corrected or if corrective actions have been implemented.

IG inspection
A command-directed inspection focusing primarily on systemic issues that are widespread in nature and that affect many units throughout the command. IG inspections may also focus on functional areas or units. All IG inspections

identify substandard performance, determine the magnitude of the deficiency, and seek the root cause for the substandard performance or deficiency. IGs focus principally on systemic issues and then develop recommended solutions or improvements as appropriate. IG inspections also teach systems, processes, and procedures; identify responsibility for corrective actions; and share innovative ideas.

Inspection

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/State Adjutants General/program managers/directors tailor inspections to their needs.

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, Staff Assistance Visits, IG Inspection Programs, audits, external inspections, and other assessment or evaluation mechanisms are all sub-components that comprise the broader OIP.

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.

Section III
Special Abbreviations and Terms
This section contains no entries.