Department of the Army
Headquarters, USAFCOEFS
455 McNair Avenue, Suite 100
Fort Sill, Oklahoma 73503
31 May 2018

USAFCOEFS Regulation 1-201

Administration

UNITED STATES ARMY FIRES CENTER OF EXCELLENCE AND FORT SILL ORGANIZATIONAL INSPECTION PROGRAM

Summary. This regulation replaces USAFACFS Regulation 1-201 dated 20 November 2012. This regulation establishes the philosophy, policy, formats, guidance and standardized procedures for the planning, coordination, and execution of the Organizational Inspection Program.

Applicability. This regulation applies to all organizations, activities, and installation management elements under the command or supervision of the Commander, United States Army Fires Center of Excellence and Fort Sill (USAFCOEFS).

Suggested Improvements. Send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) through command channels to Inspector General, United States Army Fires Center of Excellence and Fort Sill (USAFCOEFS), ATTN: ATZR-I, Fort Sill, Oklahoma 73503-5000.

Distribution. This regulation is available at the following link: http://sill-www.army.mil/USAG/

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Chapter 1
General

1-1. Purpose
This regulation outlines responsibilities and prescribes policies for planning and conducting inspections in USAFCOEFS and United States Army Garrison – Fort Sill (USAG-FS) organizations.

1-2. References
Required and related publications are listed in Appendix C.

1-3. Explanation of Abbreviations and Terms
Abbreviations and special terms used in this regulation are explained in Appendix D.

1-4. Responsibilities

a. The Commanding General approves the annual schedule of Inspector General special inspections and follow-up inspections.

b. US Army Garrison–Fort Sill Commander.

(1) Develop and executes an OIP.

(2) Inspect subordinate units and directorates annually in the following areas: Safety, Environmental, Army Records Information Management System, Voting Assistance Program, and Physical Security.

(3) Provide a copy of inspection reports to the USAFCOEFS G3/5/7 no later than 30 days after completion of inspection.

c. G 3/5/7.

(1) Execute the duties of the USAFCOEFS OIP Coordinator.

(2) Schedule inspections and provide a copy of OIP inspection schedules and updates to the USAFCOEFS IG and G3/5/7 no later than 90 days before the start of the fiscal year. This schedule must contain the dates of all Initial Command Inspections (ICIs), Subsequent Command Inspections (SCIs), Staff Inspections (SIs), and all subsequent inspections of directorates, brigades, battalions and batteries/companies.

(3) Task installation staff to support inspections and Staff Assistance Visits. (SAVs) with technical assistance when requested by Major Subordinate Command (MSC) commanders or directorates. Tasking's will be consistent with available assets and clearly assessed to ensure the efficiency and effectiveness of any command/directorate is not significantly reduced.

(4) Conduct Staff Inspections and SAVs for any issues appropriate to the G3/5/7 areas of responsibility.

(5) Publish all known inspection dates and audits on the Installation Master Training Calendar, including subordinate unit Command Inspections and Staff Inspections and all identified external inspections.

(6) Develop a written Internal Control Evaluation Plan (ICEP) for conducting required internal control evaluations for all assessable commands for over a 5-year period and maintain as part of OIP coordination IAW AR 11-2, 2-6 and 2-10. Integrate Manager's Internal Control Program into the OIP battle rhythm.

(7) Ensure that all inspectors complete the Personnel Conducting Evaluations Course or the Managers Course IAW the Managers' Internal Control Program and maintain a copy of their completed certificate.

d. Brigade, Reynolds Army Health Clinic (RAHC), Dental Activity (DENTAC) Commanders, and noncommissioned Officer Academy (NCOA) Commandants.

(1) Establish an OIP for their commands IAW AR 1-201 and this regulation. The model provided in Appendix A of this regulation is taken from AR 1-201 and tailored to fit the command structure of USAFCOEFS. It is provided as an example and may be modified as required.

(2) Designate an OIP Coordinator to manage the OIP, monitor inspections, and provide inspection schedules to subordinate units. Normally, the OIP Coordinator will be the BDE XO or BDE S-3 (or equivalent staff officer).

(3) Conduct Command Inspections IAW AR 1-201 and this regulation.

(4) Conduct Initial Command Inspections (ICIs) for new headquarters and/or separate battery/company/detachment commanders within 90 days after assumption of command (i.e., HHB/BDE).

(5) Conduct Subsequent Command Inspections (SCIs) for all headquarters and/or separate battery/company/detachment commanders within one year of the ICI.

(6) Provide a copy of the unit inspection schedule to the USAFCOEFS IG and G3/5/7 no later than 90 days before the beginning of each fiscal year. This schedule will contain dates of all ICIs, SCIs, Staff Inspections, and Command Inspections.

(7) Conduct Staff Assistance Visits as necessary for subordinate units to provide training and assistance.

(8) Integrate inspections and audits into training schedules. Address inspection priorities and scheduling in annual and quarterly training guidance.

(9) Review and update the unit OIP annually.

(10) Maintain all OIP files and inspection records IAW AR 25-400-2.

(11) Maintain all OIP files and inspection records for a minimum of two years IAW AR 25-400-2.

e. Battalion Commanders.

(1) Establish an OIP for their commands IAW AR 1-201 and this regulation. The model provided in Appendix A of this regulation is taken from AR 1-201 and tailored to fit the command structure of USAFCOEFS. It is provided as an example and may be modified as required.

(2) Designate an OIP Coordinator to manage the OIP, monitor inspections, and provide inspection schedules to subordinate units. Normally, the OIP Coordinator will be the BN XO or BN S-3.

(3) Conduct Command Inspections IAW AR 1-201 and this regulation.

(4) Conduct Initial Command Inspections (ICIs) for new battery/company/detachment commanders within 90 days after assumption of command.

(5) Conduct Subsequent Command Inspections (SCIs) for all battery/company/detachment commanders within one year of the ICI.

(6) Conduct Staff Assistance Visits as necessary for subordinate units to provide training and assistance.

(7) Integrate inspections and audits into training schedules. Address inspection priorities and scheduling in annual and quarterly training guidance.

(8) Review and update the unit OIP annually.

(9) Maintain all OIP files and inspection records for a minimum of two years IAW AR 25-400-2.

f. FCOE, Headquarters Detachment Commander.

(1) Establish an OIP for the command IAW AR 1-201 and this regulation. The model provided in Appendix A of this regulation is taken from AR 1-201 and tailored to fit the command structure of USAFCOEFS. It is provided as an example and may be modified as required.

(2) Designate an OIP Coordinator to manage the OIP, monitor inspections, and provide inspection schedules to staff.

(3) Conduct Command Inspections IAW AR 1-201 and this regulation.

(4) Integrate inspections and audits into training schedules. Address inspection priorities and scheduling in annual and quarterly training guidance.

(5). Review and update the unit OIP annually.

(6) Maintain all OIP files and inspection records for a minimum of two years IAW-AR 25-400-2.

g. Installation Staff/Directorates.

(1) Conduct Staff Inspections and Staff Assistance Visits IAW AR 1-201 or as directed by the Commanding General. Conduct follow-up inspections (as needed) to verify corrective actions have been taken and check for effectiveness. To the greatest extent possible, coordinate and integrate all required inspections with the unit's inspection schedule.

(2) As requested, augment and assist in Command and IG Inspections.

(3) Monitor the effectiveness and efficiency of respective functional areas within subordinate units, to include adequacy of internal controls.

h. Inspector General.

(1) Conduct IG inspections in accordance with this regulation, AR 1-201 and AR 20–1 and as directed by the Commanding General.

(2) Advise commanders and staff on the inspection policy and the effectiveness of the OIP.

(3) Assist in the organization, coordination, and training of inspectors for the commander's Command Inspection Program. The IG will not lead or physically inspect as part of the command inspection effort (see AR 20–1, para 2–6*a*(1) and para 6–3*l* for IG duty restrictions regarding command inspections).

(4) Periodically verify the scheduling and execution of company level command inspections throughout the command. Assess local unit inspector training and ensure the Program of Instruction (POI) includes the local Commander's OIP specifications and the specified elements of an inspection report.

(5) Review and ensure unit produced inspection report documents meet the minimum standards addressed in AR 1-201.

(6) Conduct Intelligence Oversight Inspections in accordance with AR 381–10. The IG will conduct inspections of Intelligence Oversight (IO) of intelligence activities conducted under the provisions of Executive Order (EO) 12333 and DOD 5240.1–R.

(7) In accordance with AR 20-1, the IG will inspect the effectiveness of and compliance with the Army's Voting Assistance Program annually and report the results to the DAIG Inspections Division (SAIG–ID) not later than 30 November each year.

(8) Forward a list of all approved IG inspection reports (except intelligence oversight inspection reports; see AR 381–10, para 1–7, and chap 15) to the TRADOC IG and to DAIG (SAIG–IR) for posting on Inspector General Network (IGNET) and for information sharing purposes. The TRADOC IGs will forward IG inspection report lists directly to DAIG (SAIG–IR). These lists will allow IGs throughout the Army to contact specific IG offices for information about previously conducted inspections to avoid duplication of effort and to share results.

i. Inspectors.

(1) Be technically qualified to inspect the subject matter at hand.

(2) Report to commanders or the local IG all deficiencies involving breaches of integrity, security, procurement practices, and criminality when discovered. Commanders must consult with the servicing staff judge advocate when these cases arise.

(3) Adhere to the Army inspection principles outlined in this regulation and AR 1-201 when performing inspection duties.

(4) Provide, when appropriate, recommendations to units, or conduct teaching and training to help correct any problem identified during an inspection.

(5) Complete either the Personnel Conducting Evaluations Course or the Managers Course which is part of the Managers' Internal Control Program Training is available on ALMS and is good for two years. The Managers Course has the same material as the Personnel Conducting Evaluations Course with an additional GAO module, so there is no need to take both courses.

(6) Submit a copy of your training certificate to G3/5/7 to be maintained on file.

Chapter 2
Organizational Inspection Program (OIP)

2-1. Overview

The USAFCOEFS OIP integrates four components: Command Inspections, Staff Inspections, IG Inspections, and External Inspections and Audits. USAFCOEFS and USAG-FS organizations and personnel will plan and conduct inspections and audits IAW the inspection principles outlined in AR 1-201, this regulation, and training management principles outlined in ADP/ADRP 7-0.

a. Intent. The intent of the USAFCOEFS OIP is to:

(1) Provide commanders with an assessment of unit training and readiness.

(2) Assist subordinate commanders in assessing the effectiveness of their programs in order to sustain training and readiness.

(3) Schedule and perform inspections required by controlling laws, regulations, and directives from higher headquarters.

(4) Coordinate and facilitate the effective conduct of inspections and audits within the training management framework.

(5) Tailor unit OIPs to specific unit requirements. The OIP must be flexible and support the mission. Additionally, the OIP must adapt to the unit's diversity, time constraints, and unit/staff composition

b. Goal. The goal of the OIP is the execution of coordinated, effective inspection activities within a deliberate planning framework. Achievement of this goal protects unit training time and provides an accurate measure of the readiness of key baseline systems throughout the USAFCOEFS. Maintaining an effective OIP ensures all unit inspections meet the five basic principles of Army inspections: purposeful, coordinated, focused on feedback, instructive, and, followed up with corrective actions.

c. Integration. Commanders should integrate as many required inspections as practical into one event in order to reduce the exposure of units to multiple and redundant inspections. Unit leaders, inspectors, and other observers who provide input to the OIP will use prior inspection reports, if possible, when assessing a unit. The intent of this measure is to reduce the amount of time spent inspecting units and monitor continued improvement. It is the responsibility of the inspected unit to provide

and negotiate results of previous inspections for consideration as current inspection findings.

2-2. Types of Inspections

a. Command Inspections. Command inspections ensure units comply with regulations and policies and allow commanders to hold leaders at all levels accountable for this compliance. Command inspections allow the commander to determine the training, discipline, readiness, and welfare of the command and are so important that the commander must be personally involved. In addition, command inspections help commanders identify systemic problems within their units or commands and assist in the recognition of emerging trends. The commander of the inspecting headquarters must participate for an inspection to be considered a command inspection.

(1) Initial Command Inspections (ICI). An Initial Command Inspection is a type of Command Inspection. A new battery/company/detachment commander will receive an ICI from their rater within the first 90 days of assumption of command. The ICI ensures that the new commander understands the unit's strengths and weaknesses in relation to higher headquarters' goals and all established standards. The ICI will appear on the training schedule and will serve to evaluate the condition of the unit, but the ICI will not evaluate the commander's performance since assuming command. 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.

(2) Subsequent Command Inspections (SCI). A type of Command Inspection. Subsequent command inspections measure progress and reinforce the goals and standards established during the initial command inspection. These inspections are often focused inspections that only look at specific areas and are not necessarily complete re-inspections of the entire unit. Commanders will conduct SCIs following all initial command inspections and not later than one year after completion of the new commander's ICI.

b. Staff Inspections. Staff inspections provide the commander with specific, compliance-oriented feedback on functional areas or programs within the command. The commander directs staff principals and staff members to conduct staff inspections that can stand alone or that can complement ongoing command and IG inspections.

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

c. Inspector General Inspections. 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 decisive action, and IGs use teaching and training to add to the effectiveness and positive impact of these inspections. Inspectors general tailor inspections to meet the commander's needs. Inspector general inspections may also focus on units, functional areas, or both.

d. Staff Assistance Visits (SAV). Staff assistance visits are not inspections but are teaching and training opportunities that support staff inspections. Staff sections conduct SAVs to assist, teach, and train subordinate staff sections and/or commodity area managers (i.e.,additional duty appointees) on how to meet the standards required to operate effectively within a particular functional area. SAVs can occur at the discretion of the commander, or a staff principal at any level can request a SAV from the next higher staff echelon. SAVs can assist staff sections in preparing for upcoming inspections or train staff sections and/or commodity area managers on new concepts, technologies, or operating techniques. SAVs do not produce formal reports, but instead provide feedback only to the staff section and/or commodity area managers receiving the assistance.

e. External Inspections/Audits. External inspections and audits are directed by other higher headquarters or agencies outside of USAFCOEFS. This category includes inspections directed by the U.S. Army Training and Doctrine Command (TRADOC), Department of the Army (DA), and Department of Defense (DoD) Inspectors General, as well as audits performed by the U.S. Army Audit Agency (USAAA), the General Accounting Office (GAO), and other external agencies. IAW AR 11-7 (Army Internal Review Program), it is mandatory for all external audits such as GAO, USAAA, and other external auditing agencies to coordinate directly with the Internal Review and Audit Compliance Office (IRACO). Chapter 3 provides detailed guidance on the inspection process for external inspections and audits.

2-3. Integration and Coordination

a. The G3/5/7 is responsible for coordinating (tracking and tasking) all evaluation activities involving the installation, including external evaluations by organizations above installation.

b. G3/5/7 will publish all OIP related dates on the Installation Master Training Calendar once they have been provided IAW this regulation.

c. G3/5/7 must be informed by the proponent staff agency/directorate/MSC for activities (inspections/SAVs) outside the T+6 window. All off-post agencies will contact G-3/5/7 directly for actions outside the T+6 window.

d. For activities within the T+6 window, the MSC commander/director must request approval/concurrence from G3/5/7.

e. Subordinate commanders and directors will notify G3/5/7 immediately concerning any audit, inspection, SAV, or other evaluation that has not been previously coordinated through G-3/5/7.

f. Conflicts will be resolved by G3/5/7.

g. The Chief of Staff, USAFCOEFS will be informed of any external evaluation team that intends to visit the installation.

2-4. Inspection Schedules

a. All inspection schedules will be submitted to G3/5/7 no later than 90 days before the start of the fiscal year.

b. The majority of inspections at USAFCOEFS will be announced inspections.

c. It is incumbent upon the commander or staff agency planning the inspection to make known all requirements to the inspected unit no later than T+6 so that training schedules can be annotated accordingly.

2-5. Use of Inspection Checklists

a. Standards. The entire intent of the OIP is to ensure that organizations are executing their mission to standard. Inspection standards are published in the form of Army Regulations, Field Manuals, laws, and local policy. Checklists are guides that help identify the standards. Inspectors who find units that are not meeting standards should annotate shortfalls in their findings and make every effort to train unit personnel and correct deficiencies on the spot.

b. Inspection Checklists and the “Checklist Syndrome.” The compliance checklist is a means for inspectors to rapidly focus their technical knowledge, experience, and insight into a specific area. Checklists are a useful training reference for Soldiers. Commanders, subordinate leaders, and inspectors should avoid using checklists as an exclusive means of determining the adequacy of an area. Inspectors must use checklists in conjunction with effective interviews and probing open-ended questions to effectively determine the root cause of deficiencies. By focusing on checklist compliance only, inspectors can fail to address systemic issues that commanders and subordinate leaders can influence. Inspectors may miss reviewing new equipment, systems, or doctrine because they are not covered in a checklist. Checklists are not the only items that can be used for inspections; they should be used in addition to the regulation. Fort Sill’s local OIP checklists are designed to be as comprehensive as possible, and each task includes the specific reference paragraph or section in the applicable regulation.

Chapter 3
External and Unannounced Inspections and Audits

3-1. General

This chapter establishes the process for conducting inspections and audits initiated above the USAFCOEFS level, by agencies external to the installation. It applies to both announced and unannounced inspections and audits. In general, no Soldier, staff element, or unit will schedule or execute any external inspection or audit of any type without first informing the Chief of Staff, G3/5/7, and the appropriate MSC S-3/XO. It is also mandatory, IAW AR 11-7, for all external audits such as GAO, USAAA, and other external auditing agencies to coordinate directly with IRACO.

a. Unannounced Inspections. These inspections are prohibited in the USAFCOEFS without command approval. Normally, USAFCOEFS inspections and audits are published in the Annual Command Training Guidance and Master Calendar for proper coordination at all levels. Each level of command will define its policy regarding unannounced inspections in the unit’s OIP. The results of approved, unannounced inspections may be used for the unit’s OIP.

(1) USAFCOEFS-level approved unannounced inspections include checks conducted by Staff Duty, the Field Officer of the Day (FOD), the unit charge of quarters, physical security inspections by the unit S-2/Provost Marshal, and other types approved by commanders down to battery/company/detachment level. The USAFCOEFS CG may also direct the IG and staff to conduct unannounced inspections and audits, as required, meeting specific information requirements.

(2) Other external unannounced inspections will be conducted as directed by various government agencies.

b. Announced inspections are scheduled IAW the principles outlined in AR 1-201, ADP/ADRP 7-0, and this regulation. Staff leads and MSC S-3s/XOs will schedule these inspections to be completed by the end of the applicable quarter. Command Inspection program to include ICIs and SCIs for new battalion, brigade and other commanders will be conducted on the same timeline as those established for battery commanders. These will include an IC within 90 days of assumption of command and SCI the following year.

3-2. Initial Coordination Phase

During this phase, USAFCOEFS-level or external inspection/audit requests are received and logged by the USAFCOEFS and/or MSC OIP Coordinator, assigned a staff lead, and either approved or denied by the CofS. If approved, the staff lead and MSC S-3s/XOs coordinate the inspection preparation.

a. Announced inspections and audits originating from any source should be received and scheduled no later than six weeks prior to execution. Unannounced inspection and audits are initially coordinated through MSC S-3s/XOs, as directed by the CofS.

b. The MSC S-3s/XOs maintain a master schedule of current inspection requests and their disposition. A copy of the schedule will be provided to G3/5/7.

3-3. Preparation Phase

Once approved for scheduling, the staff lead prepares for the inspection. The purposes of preparation are to:

a. Gather information on the proposed inspection.

b. Identify “high payoff” items to inspect.

c. Develop the inspection concept.

d. Plan and resource in detail with the S-3/XO and units.

e. Train the inspection team.

f. Conduct pre-inspection visits to test concept.

3-4. Execution Phase

The Execution Phase involves the actual conduct of the inspection or audit. Primary responsibility for execution rests with the tasked unit assisted by the assigned staff lead and inspection team. Inspected units will:

a. Plan and execute inspection activities.

b. Maintain copies of prior inspection reports of functional areas/programs for use by inspectors (for example, if a unit received a recent physical security inspection by USAFCOEFS, use these results for the Command Inspection instead of direct observation).

c. Provide an appropriate location for in-briefs and out-briefs.

d. Emphasize cooperation with inspectors in terms of verifying information (inspection team members have the latitude to visit selected subordinate elements down to battery/company/detachment level, with proper coordination, to crosswalk particular programs).

3-5. Completion Phase

The purpose of the Completion Phase is to formally report findings at a formal out-brief, fix responsibility for corrective actions, and set procedures and suspense dates for follow-up. The staff lead coordinates corrective actions and schedules follow-up inspections. The inspected units implement approved corrective actions.

Appendix A: USAFCOEFS Major Subordinate Command/Battalion OIP Model

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 A-1. Sample memorandum used to develop a battalion-level OIP

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 A-1. Sample memorandum used to develop a battalion-level OIP

Figure A-1. Sample memorandum used to develop a battalion-level OIP

(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 A-1. Sample memorandum used to develop a battalion-level OIP

Figure A-1. Sample memorandum used to develop a battalion-level OIP

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 A-1. Sample memorandum used to develop a battalion-level OIP

Figure A-1. Sample memorandum used to develop a battalion-level OIP

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 A-1. Sample memorandum used to develop a battalion-level OIP

Figure A-1. Sample memorandum used to develop a battalion-level OIP

(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 A-1. Sample memorandum used to develop a battalion-level OIP

Figure A-1. Sample memorandum used to develop a battalion-level OIP

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 A-1. Sample memorandum used to develop a battalion-level OIP

Figure A-1. Sample memorandum used to develop a battalion-level OIP

(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 A-1. Sample memorandum used to develop a battalion-level OIP

Figure A-1. Sample memorandum used to develop a battalion-level OIP

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 A-1. Sample memorandum used to develop a battalion-level OIP

Figure A-1. Sample memorandum used to develop a battalion-level OIP

DEPARTMENT OF THE ARMY
ORGANIZATION
STREET ADDRESS
CITY STATE ZIP

REPLY TO ATTENTION OF

UNIT: XXX Battalion DATE INSPECTED: 22-24 June XXXX

INSPECTOR: MSG Inspector, Brigade S-1 NCOIC UNIT POC: CPT Inspected

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 A-1. Sample memorandum used to develop a battalion-level OIP

Figure A-1. Sample memorandum used to develop a battalion-level OIP

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 A-1. Sample memorandum used to develop a battalion-level OIP

Table A-1. Example Inspection Itinerary

#-##FA, ###th FA BDE
Fort Sill, OK

Inspection Itinerary - Initial Command Inspection, # BTRY

Monday, 22 October						
Time	**Event**	**Location**	**Attendees**	**Inspection Tm Lead**	**POC**	**POC Ph #**
0800-0830	In-Ranks Inspection	Unit Area	BTRY Soldiers	BN CDR	1SG Facilitator	###-####
0845-0945	Physical Security	Bldg #, Rm #	PS Officer/NCOIC	CPT Smart	2LT Safe	###-####
	Drivers Training	Bldg #, Rm #	Master Driver	CWO Swerve	SFC Man	###-####
	Supply Rm Ops	Bldg #, Rm #	Supply SGT	SFC Staff	SGT Stuff	###-####
1000-1130	Security Control	Bldg #, Rm #	PS Officer/NCOIC	CPT Smart	2LT Safe	###-####
	Family Care Plans	Bldg #, Rm #	1SG/CDR	CPT People	1SG Facilitator	###-####
	Ammo Management	Bldg #, Rm #	XO	SFC Gunner	1LT Thankless	###-####
1130-1230	Lunch					
1230-1330	Medical Readiness	Bldg #, Rm #	XO	2LT Patch	1LT Thankless	###-####
	NBC	Bldg #, Rm #	NBC NCO	2LT USR	SGT Twitch	###-####
1330-1430	COMSEC	Bldg #, Rm #	Commo	CPT Zapp	SSG Chatter	###-####
1500-1600	IPR	Bldg #, Rm #	Inspectors	BN CDR/XO		
Tuesday, 23 October						
Time	**Event**	**Location**	**Attendees**	**Inspection Tm Lead**	**POC**	**POC Ph #**
More Inspection Topics						
1130-1230	Lunch					
1230-1330	IPR	Bldg #, Rm #	Inspectors	BN CDR/XO		
1500-1600	Out-Brief		BTRY CDR, 1SG	BN CDR/XO	1SG Facilitator	###-####

POC for this itinerary is MAJ Coordinator at 580-442-####.

Table A -1. Example Inspection Itinerary

CMD Inspection Form	INSPECTED UNIT COORDINATION																
	UNIT	HHB/#-##FA		A/#-##FA		C/#-##FA		D/#-##FA		E/#-##FA		F/#-##FA		G/#-##FA			
MSA/MSC/BN	POC 1 Name	1LT Leader		CPT Guy													
#-##FA, ###th FA BDE	POC #	888-888-888		555-555-555													
Date(s) of Inspections	POC 2 Name	SGT Leader		SGT Guy													
[start date] - [end date]	POC #	777-777-777		444-444-444													
Inspectable Areas		TBI	IR	TBI	IR	TBI	IR	TBI	IR	TBI	IR	TBI	IR	TBI	IR	TBI	IR	OVERALL
Physical Security		M		M		M		M		M		M		M				
Key Control		M		M		M		M		M		M		M				
Security Control		M		M		M		M		M		M		M				
Unit Ministry		O		X		X		X		X		X		X				
Communications		X		O		X		X		O		O		X				
Drivers Training		O		O		O		O		O		X		X				
Maintenance		X		O		O		O		X		O		O				
TMDE		X		O		X		X		O		O		O				
Armament		X		O		O		O		X		O		O				
Supply		O		O		O		O		O		O		O				
Publications/ARIMS		O		X		X		X		X		X		X				
GPC		O		X		X		X		X		X		X				
Information Assurance		X		O		O		O		O		O		O				
Anti-terrorism		O		X		O		O		O		O		O				
Family Readiness Program		X		O		X		X		O		O		O				
Legal Services		O		X		X		X		X		X		X				
CBRNe		X		O		X		O		X		O		O				
Family Care Plans		O		O		X		X		O		O		O				
SRP		O		X		X		X		X		X		X				
Training Management		O		X		X		X		X		X		X				
Ammo Management		O		X		X		X		X		X		X				
COMSEC ACC		X		O		X		O		O		O		X				
Shop Ops		X		O		O		X		O		X		O				
DTS/GTC		O		X		X		X		X		X		X				
Medical Readiness		O		X		X		X		X		X		X				

POST INSPECTION ACTION

UNIT	INSPECTED AREA	INSPECTOR	KEY NOTES	REINSPECTION
HHB/#-##	Physical Security	Mr. x	Only when needed.	Date of Reinspection
	Key Control	Mr. x		
	Security Control	Mr. x		
	Unit Ministry	CHPLN x		
	Drivers Training	Mrs. X		
	Supply	SGT x		
	Publications/ARIMS	Mr. x		
	GPC	Mrs. X		
	Anti-terrorism	Mrs. X		
	Legal Services	Mr. x		
	Family Care Plans	Mr. x		
	SRP	SGT x		
	Training Management	SGT x		
	Ammo Management	SGT x		
	DTS/GTC	SGT x		
	Medical Readiness	Doc. X		
A/#-##	Physical Security	Mr. x		
	Key Control	Mr. x		
	Security Control	Mr. x		
	Communications	CHPLN x		
	Drivers Training	Mrs. X		
	Maintenance	SGT x		
	TMDE	Mr. x		
	Armament	Mrs. X		
	Supply	Mrs. X		
	Information Assurance	Mr. x		
	Family Readiness Prgm	Mr. x		
	CBRNe	SGT x		
	Family Care Plans	SGT x		
	COMSEC ACC	SGT x		
	Shop Ops	SGT x		

Page 1 of ___

LEGEND:
TBI - To be inspected
M - Mandatory
O - Inspect
X - Not to be inspected

IR - Inspection Results
C - Commendable
T - Trained
P - Needs Practice
U - Untrained

UNIT: _____ DATE INSPECTED: _____

INSPECTOR: _____ UNIT POC: _____

SUBJECT AREA: This section should coincide with the major appendix heading in the battalion inspection areas list. When a sub-element of that heading falls under a different staff proponent (for example, Fire Prevention is an S-1 responsibility, but Engineering and Housing are S-4 responsibilities), the appropriate staff member will prepare a separate report for that sub-element.

SUMMARY: This section should consist of a brief description of the sub-elements inspected within the major appendix heading. Each sub-element will include a rating of Commendable (C), Trained (T), Needs Practice (P), or Untrained (U). 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 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.

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 (Appendix B).

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 A-2. Sample report format for a battalion-level inspector's report

Appendix B
Guide to Writing Findings/Root Cause Model

B-1. General. When an inspector discovers a deficiency, he/she must draft a finding. However, the focus should be on major issues and problems. The commander will use the information in the finding to correct the problem. A finding includes the finding statement, the standard, the root cause, and the recommendation. If the finding is poorly written, the commander is less likely to take appropriate action. A finding can also recognize outstanding procedures or performance.

B-2. Root Cause Analysis. The inspector must examine the underlying reason why something happens or does not happen in the factual data pertaining to the finding(s). To that end, the inspectors apply a Root Cause Analysis Model (RCAM) in an effort to determine why an individual or organization is complying – or failing to comply – with the applicable standard(s). The RCAM represents an intellectual framework that guides the inspector through all the reasons why something is happening or not happening. The model gives structure to the analytical process of determining what went right or wrong. Sometimes, more than one reason may exist for compliance or non-compliance. The following is a visual depiction of the model when the finding relates to non-compliance to established standards: Don’t Know; Can’t Comply; Won’t Comply.

a. They DON'T KNOW the requirement/standard exists. They never knew, forgot, or never got the word. Here the inspector trains unit personnel how to meet standards or recommends specific corrective training.

(1) Never knew. This is often an indicator of failure of the “system” to get guidance or adequate training down to the level it is needed.

(2) Forgot. This is usually a personal problem.

(3) Task implied. This is often a result of a lack of experience and/or lack of specificity in the guidance.

b. They CAN'T comply. The resources are scarce, the priority is low, or the task is impossible to achieve. Here the inspector should again teach how to meet standards, and in cases where tasks cannot be accomplished, seek clarification from the chain of command.

(1) Scarce resources/low priority. This is one of the most common reasons offered for noncompliance, and is often true. Commanders must weigh the relative priority of all resources, including the time a task takes a subordinate to accomplish.

(2) Don’t know how. This means the individual typically knows that a task needs to be accomplished, but does not know how to do it. This is different from “never knew,” where the individual didn’t even know a task needed to be done.

(3) Impossibility. This category is self-explanatory.

c. They WON'T comply. They disagree with the standard or there is no penalty or reward for not complying. Scarce resources can contribute. Inspectors need to look at the standard and determine if the standard is unrealistic and/or should be changed. Policy guidance may need to be revised/clarified. Write a finding to identify why they will not comply.

(1) No reward. No incentive exists for success.

(2) No penalty. Some people only focus on what keeps them out of trouble.

(3) Disagree. Sometimes, people refuse to comply because they think the requirement is ”dumb.” Leaders can seek an exception to policy, attempt to change the rules, or notify higher headquarters that non-compliance exists and why.

B-3. Recommendations. For every finding there must be a recommendation that addresses how the deficiency can be corrected. The recommendation must address the root cause.

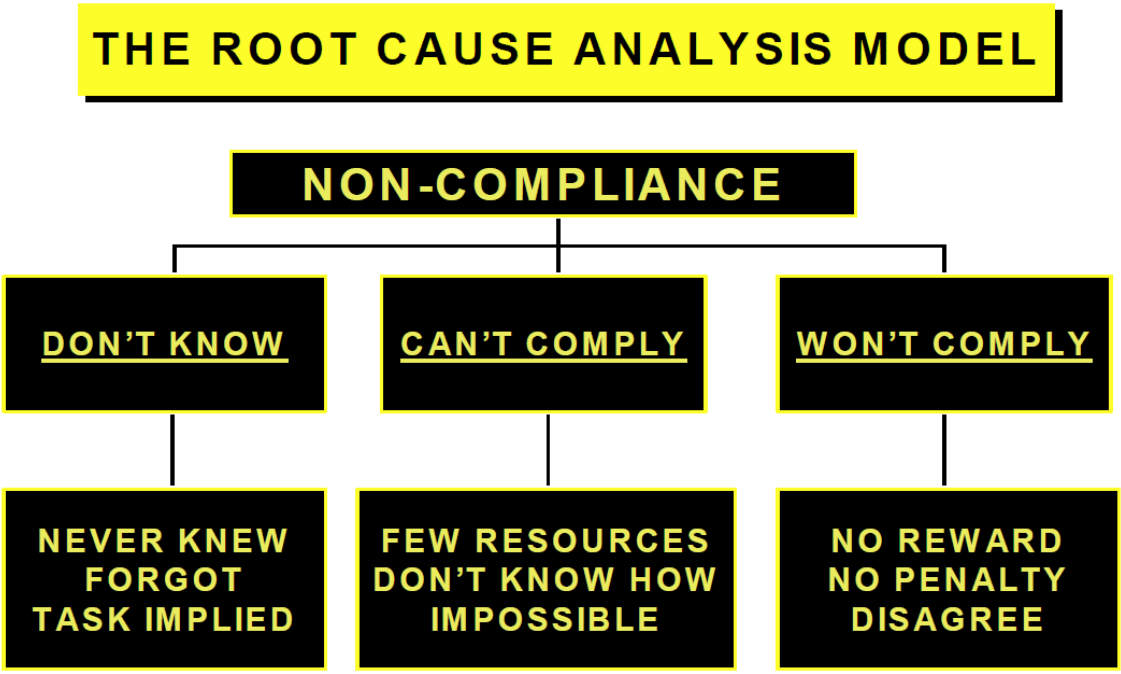

Figure B-1. The Root Cause Analysis Model

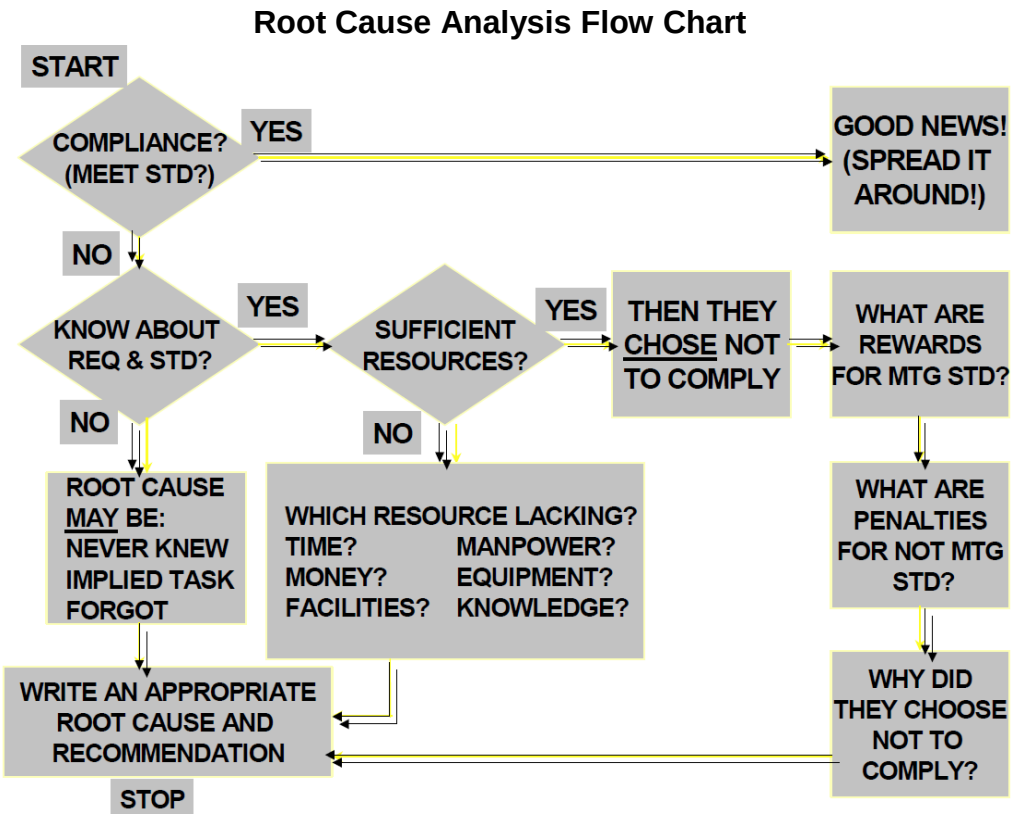

Figure B-2. Root Cause Analysis Flow Chart.

Appendix C.
Inspection Out-Brief Format Example.

Under normal circumstances, the slides should follow the following format:

a. Slide #1: Inspecting Organization (MSC, for example)

b. Slide #2 (and more as necessary): A listing of areas inspected with results.

c. Slide #3 (and more as necessary):

(1) FINDING: A statement of what the problem is – what specific part of the inspection failed to meet a designated standard. For example, “Key control is not being conducted IAW AR 190-51.”

(2) STANDARD: A statement that defines the specific standard from a/several specific sources. For example, AR 600-8-22 states, “No preconditions for awards may be established.”

(3) ROOT CAUSE: The “why” of the problem (see Para B-2). Commanders want to treat the cause, not the symptoms of problems. For example, “Can’t comply – Soldier never attended Armorer’s training course, so does not have necessary knowledge.”

(4) RECOMMENDATION: The fix to the problem. Must be directly related to the root cause of the problem, otherwise it does not address the “cause”. For example, “Armorer should attend the 40 hour instruction course provided by DOL. The next course meets from 6-10 June 2003.”

d. Slide #4 (and more as necessary): Commendable ratings and individuals deserving of “honorable mention.” Sequence the Finding, Root Cause, and Recommendation slides to match the sequence of the areas inspected in Slide #2.

Appendix D
References

Section I
Required Publications

AR 1-201
Army Inspection Policy, 25FEB2015

Section II
Related Publications

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

Executive Order 12333
United States Intelligence Activities, 04DEC81

Public Law 110-181, §1662
National Defense Authorization Act, 28JAN08

DOD 5240.1-R
Procedures Governing the Activities of the DOD Intelligence Components that Affect United States Persons, December 1982

AR 11-7
Army Internal Review Program

AR 20-1
Inspector General Activities and Procedures, 29NOV10

AR 25-400-2
The Army Records Information Management System (ARIMS), 20OCT07

AR 381-10
US Army Intelligence Activities, 03MAY07

AR 623-3
Evaluation Reporting System, 04NOV15

AR 710-2
Supply Policy Below the National Level, 28MAR08

ADP 5-0
The Operations Process, 17MAY12

ADP 7-0
Training Units and Developing Leaders, 23AUG12

ADRP 5-0
The Operations Process, 17MAY12

ADRP 7-0
Training Units and Developing Leaders, 23AUG12

The Inspections Guide
U.S. Army Inspector General Agency, January 2012

Appendix E
Abbreviations and Acronyms

AAA
U.S. Army Audit Agency

BDE
Brigade

BMO
Battalion Maintenance Officer

BN
Battalion

BTRY
Battery

CG
Commanding General

CI
Command Inspection

CO
Company

CTE
Collective Training Event

DA
Department of the Army

DAIG
Department of the Army Inspector General

DENTAC
Dental Activity

FCOE

Fires Center of Excellence

FOD
Field Officer of the Day

FS
Fort Sill

GAO
General Accounting Office

HHB
Headquarters and Headquarters Battery

HQ
Headquarters

IAW
In Accordance With

ICI
Initial Command Inspection

ICW
In Coordination With

IG
Inspector General

IMCOM
Installation Management Command

IRACO
Internal Review and Audit Compliance Office

MOI
Memorandum of Instruction

MSC
Major Subordinate Command

NCOA
Noncommissioned Officer Academy

NCOER
Noncommissioned Officer Evaluation Report

OIP
Organizational Inspection Program

RAHC
Reynolds Army Health Clinic

SAV
Staff Assistance Visit

SCI
Subsequent Command Inspection

SI
Staff Inspection

TRADOC
Training and Doctrine Command

USAAA
U.S. Army Audit Agency

USAFCOEFS
United States Army Fires Center of Excellence and Fort Sill

USAG
United States Army Garrison

XO
Executive Officer

ATZR-C

WILSON A. SHOFFNER
Major General, USA
Commanding

DISTRIBUTION:
Fort Sill Intranet
USA Garrison
30thADA Bde
31stADA Bde
75th FA Bde
428thFA Bde
434th FA Bde
MEDDAC