

Army Regulation 1-201

Administration

Army Inspection Policy

**Headquarters
Department of the Army
Washington, DC
4 April 2008**

UNCLASSIFIED

SUMMARY of CHANGE

AR 1-201

Army Inspection Policy

This major revision, dated 4 April 2008--

- o Charges the Commanding General, U.S. Army Forces Command, with inspecting the training and readiness of all Reserve Components within its Army Force Generation mission (para 1-4c).
- o Requires commanders, program managers, directors, and State Adjutants General to provide command and staff inspection results to the local command inspector general's office upon request (para 1-4d).
- o Changes the requirement for an inspector general's participation in Command Inspection Programs to assisting in the organization, coordination, and training of inspectors for those programs (para 1-4f).
- o Requires inspectors general to forward a list of all approved inspector general inspection reports to the Army Command/Army Service Component Command/Direct Reporting Unit Inspector General and to the Department of the Army Inspector General Agency (SAIG-IR) for posting on the Inspector General Network and for information-sharing purposes (para 1-4f).
- o Adds a paragraph on the five basic elements of an inspection (para 2-3).
- o Establishes the requirement to include initial command inspection results as part of a unit's deployment records (para 3-3c).
- o Requires commanders to conduct subsequent command inspections no later than one year from the completion date of the new company commander's initial command inspection (para 3-3d).
- o Adds a new paragraph on how to apply the organizational inspection program to the Army Force Generation phases (para 3-7).
- o Adds a definition of a compliance inspection (glossary).
- o Changes the term major Army command to Army Command/Army Service Component Command/Direct Reporting Unit (throughout).
- o Makes administrative changes and terminology corrections (throughout).


Administration

Army Inspection Policy

By Order of the Secretary of the Army:

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General, United States Army
Chief of Staff

Official:


JOYCE E. MORROW
Administrative Assistant to the
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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. This regulation remains

in effect during mobilization. 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 management control process.

This regulation contains management control provisions but does not identify key

management controls that must be evaluated.

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

Suggested improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly 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.

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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 Department of the Army Inspector General (DAIG) will—

(1) Serve as the Army proponent for inspection policy except for those inspections conducted pursuant to Article 6, Uniform Code of Military Justice (UCMJ, Art. 6), or inspections or searches conducted in accordance with Manual for Courts-Martial (MCM), 2008, Rules 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, Art. 6, or inspections or searches conducted in accordance with MCM, 2008, Rules 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.

b. Department of the Army Secretariat and the Army Staff (ARSTAF) will—

(1) Coordinate with the DAIG on all regulatory policies that mandate the conduct of any inspection.

(2) Annually review and forward to DAIG (SAIG–ID) by 30 September a list of all regulatory inspection requirements by proponent, frequency, and unit type (see fig 1–1).

| Inspection | Proponent | Standard | Frequency | Unit |
|------------|-----------|----------|-----------|------|
|------------|-----------|----------|-----------|------|

Figure 1–1. Inspection information required by the Department of the Army

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

(1) Inspect the Army National Guard 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 within its Army Force Generation (ARFORGEN) mission in coordination with the respective State Adjutant General and/or the Commander, U.S. Army Reserve Command.

d. Commanders, program managers, and directors from the battalion-level up through the Army commands (ACOMs), Army Service Component Commands (ASCCs), Direct Reporting Units (DRUs) (or similarly sized organizations), and the State Adjutants General will—

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

(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.

(4) Schedule and post inspections and audits on long-range training calendars, and ensure that inspections are briefed, approved, and scheduled during annual, semiannual, and quarterly training briefings.

(5) Monitor the conduct of inspections and ensure that inspections are conducted in accordance with this regulation.

(6) Apply the training management cycle outlined in FM 7–0 to plan inspections with adequate time to perform corrective actions and conduct followup inspections or activities.

(7) Use their inspectors general (if assigned) primarily to inspect systemic issues while reserving compliance inspections principally for command and staff inspection programs.

(8) Train inspectors on Army inspection policy and the Army's inspection principles.

(9) Direct follow-on inspections as appropriate.

(10) Provide command and staff inspection results without attribution to the respective command Inspector General (IG) office upon request and in an agreed upon format to assist in the analysis and identification of trends.

e. Army Command (ACOM)/Army Service Component Command (ASCC)/Direct Reporting Unit (DRU) staff elements down to the battalion level will—

(1) Monitor their functional areas within subordinate organizations.

(2) Conduct staff inspections as directed by the commander.

(3) Conduct staff assistance visits (SAVs) as directed by the commander to teach and train staff personnel on goals and standards.

(4) Design assistance visits to complement but not duplicate other inspection programs.

(5) Apply the training execution model outlined in FM 7-1 to plan inspections with adequate time to perform corrective actions and conduct followup inspections or activities.

(6) Review previous inspection reports and results prior to developing new inspection plans.

(7) Adhere to the Army inspection principles when performing inspection duties (see para 2-2).

(8) Provide subject matter experts to augment IG inspections as required.

f. Inspectors general (IGs) may serve as the OIP coordinator, if designated by the commander. Inspectors general will—

(1) Conduct IG inspections in accordance with this regulation and AR 20-1.

(2) Advise commanders and staff on inspection policy.

(3) Advise the commander of the effectiveness of the OIP.

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

(5) Spot check the scheduling and execution of company-level initial command inspections throughout the command.

(6) Conduct inspections training as requested by commanders and staff agencies.

(7) 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 ACOM/ASCC/DRU IG and to DAIG (SAIG-IR) for posting on Inspector General Network (IGNET) and for information sharing purposes. The ACOM/ASCC/DRU 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.

g. Individuals conducting inspections will be technically qualified to inspect the subject matter at hand. They will—

(1) 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.

(2) Adhere to the Army inspection principles when performing inspection duties (see para 2-2).

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

(4) Record inspection results.

Chapter 2

Principles and Elements of Army Inspections

2-1. Inspection overview

The Inspector General (TIG) has identified five principles that apply to all Army inspections. These principles guide commanders, the Adjutants General (TAGs), staff principals, IGs, and all Army inspectors in the conduct of all Army inspections. These principles 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 approves. For an inspection to be purposeful, an inspection must be—

(1) Related to mission accomplishment.

(2) Tailored to meet the commander's needs while remaining relevant and responsive. Inspections must provide practical and accurate feedback that allows the commander 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 training management outlined in FM 7-0. Short-notice inspections must be the exception and remain at the commander'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?* Inspections must be consolidated, when appropriate, 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 are critical because they provide the commander/TAG with accurate and timely feedback and a written record of the results. Feedback may be verbal or in written form; however, a written report is the preferred method 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. 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.* Every inspection will bring 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. 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.

(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 learned about goals and standards and how to achieve them.

e. Followed up. Inspections expend valuable resources and are not complete unless the inspecting unit or agency develops and executes a followup inspection or plan to ensure the implementation of corrective actions. Likewise, the inspected unit must develop and execute a corrective action plan that fixes those problem areas identified during an inspection and prevents recurrences of those same problems. Followup 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 so they can make decisions that will improve the Army. The 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 try to determine compliance against a standard.

The inspector should prepare ways to determine why the unit or organization failed to meet the standard. The best method is to ask open-ended questions of the individuals involved in an effort to get at the real meaning behind the non-compliance. 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 The Inspections Guide 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 Inspections Guide to determine why the non-compliance exists. 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 initial command inspection (ICI) for a company.

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

e. Assign responsibility to the appropriate individuals or agencies. The commander must receive a copy of the report with the inspector's findings and recommendations 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. Recommendations have meaning and effect only if the commander charges the right people with implementing them.

Chapter 3

Army Inspections

3-1. Evaluation sources

The commander/TAG relies upon many sources of information to evaluate and assess the organization's state of readiness. An inspection is one of those sources. An inspection is an evaluation to determine compliance against established standards, and commanders may tailor inspections to meet their needs. Other evaluation sources (and specific kinds of inspections) 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 (TRADOC) only).
- (6) Emergency deployment readiness exercises.
- (7) Command post exercises/field training exercises.
- (8) Gunnery.
- (9) Logistics evaluations.
- (10) Joint training exercises.
- (11) Internal review audits (part of the OIP).
- (12) Internal controls (management controls) (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 Processing.
- (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 exercises.
- (7) Office of Management and Budget Program Assessment Rating Tool.

3–2. Organizational Inspection Program

a. Inspections are a command responsibility, and the OIP is the commander's/TAG's program to manage all inspections within the command. The OIP is a comprehensive, written plan that addresses all inspections and audits conducted by the command 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 program focused on command objectives. 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. An effective OIP allows a commander to use these inspections to identify, prevent, or eliminate problem areas within the command. Commanders 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 provides the commander with an organized management tool to identify, prevent, or eliminate problem areas. All inspections conducted as part of an OIP must adhere to the Army inspection principles outlined in chapter 2. The OIP will contain command guidance on the conduct of inspections. The OIP must also include the command's priorities and goals, explain the mechanism for scheduling and executing inspections, assign responsibility for scheduling and monitoring inspections, provide standards for inspectors, and discuss a way to track 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 add visits and inspections by higher headquarters and agencies to the OIP—especially in areas where the battalion staff lacks experience or expertise. The battalion OIP forms the basic building block for inspections, and the OIP of higher commands must complement the battalion-level programs. The battalion OIP will focus on those areas that immediately impact on readiness and reinforce goals and standards. Additionally, command inspections will articulate standards and assist in teaching, correctly, the processes at work within the battalion. Teaching, training, and mentoring will be a goal 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 or functional areas, or both. At a minimum, the brigade OIP will include guidance on command inspections of the brigade headquarters and headquarters company (HHC), staff inspections, and SAVs. 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 and above primarily involves staff inspections, SAVs, and IG inspections. The division OIP must establish guidance and a framework within which the brigade and battalions can develop their own OIPs. Command inspections at this level must include, at a minimum, command inspections of separate companies such as the division HHC. The focus of the OIP will be on the division's ability to execute effectively plans and policy. At a minimum, the OIP must verify the effectiveness of OIPs at subordinate levels, protect subordinate commanders from being overinspected, 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, paragraphs 1–4*b* (8) and 6–16 through 6–19.

f. The Army National Guard of the United States and the U.S. Army Reserve OIPs will exist at all levels from battalion through state area command/regional readiness support commands. 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 Army National Guard of the United States and the U.S. Army Reserve when establishing inspection policies and procedures. The OIP must strive to ensure that inspections do not consume valuable training time that could be devoted to mission-essential task list efforts.

g. Task force OIPs can involve both staff and IG inspections. The OIP must be flexible and support the mission. 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. 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 the OIP to meet the needs of a unit or organization engaged in full spectrum 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 and adhering to standards becomes absolutely critical.

Timely, well-focused inspections are essential, so compressing inspections processes for all inspection categories may be necessary as long as the abbreviated process does not place the inspection results at risk.

3-3. Command 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.

b. Commander of the inspecting headquarters. The commander of the inspecting headquarters must participate for an inspection to be a command inspection. By participating, the inspecting commander sets the overall standard for the conduct of the inspection and closely supervises and engages in the inspection. This involvement allows the commander to gain first-hand knowledge of the strengths and weaknesses in key areas of concern and assists in developing realistic action plans to improve those 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. Command inspections can occur at all echelons (such as a division inspecting a brigade or a program executive office inspecting a program management office) and are not limited to inspections of companies, batteries, troops, or detachments. 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 (or similarly sized organization) commander will receive an ICI from their rater. The initial command inspection for a company will occur within the first 90 days of assumption of command. In the Army National Guard of the United States and the U.S. Army Reserve, the initial command inspection for new company commanders will occur within 180 days of the assumption of command. Units of the Army National Guard of the United States and the U.S. Army Reserve serving on active duty will adhere to the 90-day standard as applicable.

(2) 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. The ICI will not, however, evaluate the commander's performance since assuming command.

(3) 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. These inspection results help set goals and may cause refinement in the DA Form 67-9-1 (Officer Evaluation Report Support Form). Commanders will not use the results of ICIs to compare units.

(4) The ICI results will be included as part of the unit's deployment records.

d. Subsequent command inspections. Subsequent command inspections (SCIs) 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. In the Army National Guard of the United States and the U.S. Army Reserve, subsequent command inspections will take place, but the timing will be at the discretion of the inspecting commander.

3-4. Staff inspections

a. 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.

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 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 inspections.
- (11) Operational security inspections.
- (12) Solid and hazardous waste management inspections.

3–5. Staff assistance visits

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 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 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 full spectrum operations, and IGs use teaching and training to add to the effectiveness and positive impact of these inspections.

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

c. Inspectors general tailor inspections to meet the commander’s needs. Inspector general inspections may also focus on units, functional areas, or both.

d. Inspectors general are exposed to a wider range of units than most other inspectors. Inspectors general 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. Inspections and the Army Force Generation model

Applying the OIP to the ARFORGEN model requires careful planning and a clear understanding of what commanders at all levels want to achieve through inspections. Commanders at all levels establish the scope and purpose of these inspections and focus the inspection efforts on high-payoff readiness issues. A unit’s place in the ARFORGEN model further informs commanders about what inspection priorities to consider.

a. Reset/train phase (Active Army: three to 12 months/Reserve Component: one to four years). 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 and receive new equipment, and conduct individual and collective training. Command, staff, and IG inspections would be 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). Staff assistance visits would prove equally useful to staff sections and complement the unit’s individual and collective training program.

b. Ready phase (Active Army: second year/Reserve Component: fifth year). Collective training focused on the unit’s Mission Essential Task List (METL) or, if earmarked for deployment, the unit’s operational mission characterizes this phase. 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. ICIs must be tailored in scope to concentrate on high-payoff readiness areas so the new company commander can tailor his or her training plan to enhance areas that require improvement. 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.

c. Available phase (Active Army: third year/Reserve Component: sixth year). Deployment, assuming the operational mission, and sustaining readiness highlight the characteristics of this phase. Initial command inspections 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 staff assistance visits for the purpose of training staff sections on emerging technological innovations aligned along specific functional areas. Inspector general inspections at the division level and above will focus on systemic issues that are deemed mission critical and that hinder the successful and efficient execution of the unit’s assigned mission.

Appendix A References

Section I Required Publications

AR 20-1

Inspector General Activities and Procedures (Cited in paras 1-4, 3-2, and 3-6.)

FM 7-0

Training the Force (Cited in paras 1-4, 2-2, and app B.) (Available at <http://www.adtdl.army.mil>)

FM 7-1

Battle-Focused Training (Cited in paras 1-4, app B.) (Available at <http://www.adtdl.army.mil>)

32 USC 105 (a) and (b)

National Guard Organization (Cited in para 1-4.) (Available at <http://www.gpoaccess.gov/uscode/index.html>).

The Inspections Guide

The Inspections Guide (Cited in paras 2-3, app B.) (Available at the U.S. Army Inspector General School (SAIG-TR), 5500 21st Street, Suite 2305, Fort Belvoir, VA 22060-5935 or (http://tigs-online.ignet.army.mil/tigu_online/references.htm).

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.

AR 11-2

Management Control

AR 25-400-2

The Army Records Information Management System (ARIMS)

AR 381-10

U.S. Army Intelligence Activities

AR 623-3

Evaluation Reporting System

FM 5-0

Army Planning and Orders Production

FM 6-0

Mission Command: Command and Control of Army Forces

MCM 2008, Part III, Section III

Rule 313—Inspections and Inventories in the Armed Forces; Rule 314—Searches not requiring probable cause; Rule 315—Probable cause searches (Available from <http://www.apd.army.mil>.)

Section III Prescribed Forms

This section contains no entries.

Section IV Referenced Forms

The following form is available on the APD Web site (<http://www.apd.army.mil>).

Appendix B

Battalion Organizational Inspection Program Memorandum and Associated Products

This appendix contains a suggested format of 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 standard ICI schedule (table B-1); and a 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.

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
Battalion Letterhead

XX-XXXX

Date

MEMORANDUM FOR [SEE DISTRIBUTION]

SUBJECT: Battalion Organizational Inspection Program (OIP)

REFERENCES

- a. AR 1-201, Army Inspection Policy (dated __)
- b. Division Organizational Inspection Program (dated __)
- c. Brigade Organizational Inspection Program (dated __)
- d. The Inspections Guide (DAIG) (dated __)
- e. FM 7-0, Training the Force
- f. FM 7-1, Battle Focused Training
- g. Battalion Quarterly Training Guidance, 4th Quarter, FY__

PURPOSE

To prescribe procedures for the conduct of the Battalion OIP.

OBJECTIVE

Battalion-level inspections are integral components of my Organizational Assessment Program (OAP) and of the Division OIP. I consider them an important tool to assess the combat readiness of each of our units, identify areas that require additional training, and highlight problems that require resolution. We will coordinate a comprehensive battalion inspection program to ensure that we can conduct our mission while complementing other training.

GENERAL

The Battalion OIP consists principally of command and staff Inspections.

- a. The battalion will conduct all inspections in accordance with the inspection principles outlined in AR 1-201.

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

b. Inspections are training events, and inspectors must ensure that units have the knowledge and ability to fix any identified deficiency. On-the-spot corrections should be made whenever possible and annotated in reports as appropriate.

c. Commendable performances by individuals or creative / unique programs that enhance readiness deserve recognition and acknowledgement in reports.

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 on 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 followup 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.

INSPECTION PRIORITIES

a. Improving command readiness (for example, precombat checks, postcombat 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.

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).

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

These inspections differ in two ways. The ICI is comprehensive and will not be used to measure or evaluate a new commander's progress since taking command. By contrast, the SCI may be tailored and will measure the unit commander's progress since the ICI.

c. The term command inspection as used in this document encompasses both the ICI and SCI.

d. Initial Command Inspections.

(1) Unit commanders will receive an initial command inspection within 90 days after assuming command.

(2) The ICI will allow new unit commanders to understand readily their units' strengths and weaknesses. I will personally take part in the inspection, and I expect the staff to make this inspection a priority as well. I expect all inspectors to conduct a detailed inspection that not only documents problems but also teaches solutions and assists the unit with corrective actions. I will discuss the results of the ICI with the inspected unit commander and help set goals and priorities for his or her command tenure. This discussion will occur after we have completed the ICI with the appropriate entries made to the DA Form 67-9-1.

(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

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

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 principles will inspect their respective areas of concern, and the CSM will conduct a complete inspection of the barracks with a layout inspection of at least one platoon's basic equipment issue.

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

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

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

(8) Specific staff and unit implementation instructions 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 followup 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 followup inspections.

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

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.

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

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

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

also coordinate through the battalion XO and with the battalion S-3 to schedule this annual requirement.

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 (DA) policies or regulations. This study method will help prevent new inspectors from becoming overwhelmed with stacks of references and checklists.

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 Inspections Guide. I encourage all company commanders and staff inspectors to read this document, which is available through the Battalion S-3. Staff principals and unit commanders should arrange for further training through the S-3.

b. The IG system tracks problems down to their root cause and can resolve issues that are beyond the battalion's ability to correct such as conflicting guidance in Army regulations. Therefore, we will often inform the IG of issues that we cannot resolve so that he or she can resolve them. Such issues will go forward in writing under my signature.

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.

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

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 for all brigade command inspections.

b. The CSM will—

- (1) Participate in all command inspections and certain staff inspections as appropriate.
- (2) Attend command inspection in-briefings, inspector meetings, and out-briefings.
- (3) During command inspections, inspect at least one platoon; conduct a complete inspection of the unit billets and wall lockers; inspect at least one platoon layout of basic equipment issue; and walk through other unit areas such as the dining facility, motor pool, and dayroom.
- (4) Inspect the NCOER program to ensure that counseling is occurring properly.

c. The S-1 will—

- (1) Provide inspectors for all S-1 areas of responsibility as outlined in table B-2. Additionally, annotate the names of staff personnel responsible for the various inspection areas 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.

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

(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) Annotate scheduled command inspection dates on the battalion Long-Range Planning Calendar in accordance with the training execution model outlined in FM 7-1, Battle Focused Training.

(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 and nuclear, biological, and chemical (NBC) 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.

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

(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.

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

h. The battalion signal officer (S-6) will—

(1) Provide inspectors for the communications area of responsibility as outlined in table B-2. Additionally, annotate the names of staff personnel responsible for the various inspection areas in the appropriate column on the list and return a copy of the completed list to the XO 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 and 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, 0700-0800)

(b) S-3—APFT (DAY TWO, 0700-0800)

(c) S-3—NBC 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 OIP - Continued

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.

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 OIP - 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 subelement 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 subelement.

SUMMARY: This section should consist of a brief description of the subelements inspected within the major appendix heading. Each subelement 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 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 (see The Inspections Guide, section 3-3).

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

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

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

EXAMPLE

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: NEEDS IMPROVEMENT
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.

OBSERVATIONS:

1. REENLISTMENT. Unit commanders are not interviewing Soldiers within 11 to 12 months of the Soldiers' expiration term of service (ETS) dates.
2. 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. Sample report format for a battalion-level inspector's report - Continued

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

**Table B-1
Standard initial command inspection schedule**

| Time | Event | Who | Location |
|----------------|--|--|--------------------|
| Day one | | | |
| 0700-0730 | Inspection in-briefing | Battalion commander (bn cdr)/unit cdr/ staff | Unit area |
| 0730-0930 | In-ranks inspection | Bn cdr/CSM/unit commanding officer (CO)/first sergeant/platoon leaders/pla- toon sergeants | Unit area |
| 0930-1200 | ¹ Phase I of ICI Bn cdr walk-through | Bn inspectors/unit guides | Unit area |
| 1200-1300 | Lunch | All | Bn area |
| 1300-1330 | ¹ Prep for Phase II | All | Bn area |
| 1330-1630 | ¹ Phase II of ICI | Bn inspectors/unit guides | Unit area |
| 1630-1700 | Re-group from inspection visits | All | Unit area |
| 1700-1800 | Staff meeting | Bn XO/bn inspectors | Bn conference room |
| 1800-1830 | Unit cdr informal out-briefing | Bn CO/unit CO | Bn conference room |
| 1830 | End of day one | | |
| Day two | | | |
| 0700-0800 | ² Evaluate conduct of APFT | S-3 evaluators/unit personnel | Unit area |
| 0800-0930 | Personal Hygiene Breakfast | All | Bn area |
| 0930-1200 | Phase III of ICI ² Evaluate NBC | Bn inspectors/unit guides | Unit area |
| 1200-1300 | Lunch | All | Bn area |
| 1300-1330 | Prep for phase IV | All | Bn area |
| 1330-1630 | Phase IV of ICI ² Evaluate Warrior Task Training (WTT) | Bn inspectors/unit guides | Unit area |
| 1630-1700 | Re-group from inspection visits | All | Bn area |
| 1700-1800 | Staff meeting | Bn XO/staff | Bn conference room |
| 1800-1830 | Unit cdr informal out-briefing | Bn cdr/staff/unit CO | Bn conference room |

No later than one week after the inspection visit

Table B-1
Standard initial command inspection schedule—Continued

| Time | Event | Who | Location |
|------|---------------------|---|--------------------|
| | Formal out-briefing | Bn cdr/staff/unit CO/leaders determined by CO | Bn 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, NBC, 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 | Bn 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 | REUP |
| Meal-card control | S-1 |
| NCOERs/OERs | S-1 |
| Promotions | S-1 |
| Enlisted reassignment | S-1 |
| Travel card administration | S-1 |
| Military sponsorship | S-1 |
| Timeliness of admin eliminations | S-1 |
| SIDPERS 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 |
| 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 |

Table B-2
ICI inspection areas—Continued

| Inspection area | Bn staff proponent |
|------------------------------|--------------------|
| Training and operations | S-3 |
| NBC program | S-3 |
| COMSEC | S-6 |
| Financial management | S-4 |
| Supply management | S-4 |
| Dining facilities | S-4 |
| Maintenance management | BMO |
| Movement planning | S-3 |
| In-ranks inspection | CSM |
| Billets | CSM |
| Clothing and equipment | CSM |
| Leadership | CSM |
| Fire prevention | S-1 |
| Purchase card administration | S-4 |
| Environmental compliance | S-4 |
| Records management | S-1 |
| Physical training | CDR |

Notes:

¹ 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.

Glossary

Section I Abbreviations

ACOM

Army Command

APD

Army Publishing Directorate

APFT

Army physical fitness test

AR

Army Regulation

ARFORGEN

Army Force Generation

ARIMS

Army Records Information Management Command

ARSTAF

Department of the Army Staff

Art

article

ASCC

Army Service Component Command

ATTN

attention

BMO

battalion maintenance officer

Bn

battalion

CDR

commander

CD-ROM

compact disk-read only memory

CO

commanding officer

COMSEC

communications security

CSM

command sergeant major

DA

Department of the Army

DAIG

Department of the Army Inspector General

DOD

Department of Defense

DRU

Direct Reporting Unit

ETS

expiration term of service

FM

field manual

FY

fiscal year

HHC

headquarters and headquarters company

ICI

initial command inspection

IG

inspector general

IGNET

Inspector general network

MCM

Manual for Courts-Martial

METL

mission essential task list

MOI

memorandum of instruction

MSG

master sergeant

NBC

nuclear, biological, and chemical

NCO

noncommissioned officer

NCOER

noncommissioned officer evaluation report

NCOIC

noncommissioned officer in charge

NLT

not later than

OAP

Organizational Assessment Program

OER

officer evaluation report

OIC

officer in charge

OIP

Organizational Inspection Program

POC

point of contact

S-1

adjutant officer

S-2

intelligence officer

S-3

operations and training officer

S-4

supply officer

S-6

signal officer

SAV

staff assistance visit

SCI

subsequent command inspection

SOP

standing operating procedure

TAG

The Adjutant General

TIG

The Inspector General

UCMJ

Uniform Code of Military Justice

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 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/TAG conducting the inspection determines the areas of interest and the scope of inspections 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.

Followup

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 tailor inspections to their needs.

Organizational Inspection Program (OIP)

A comprehensive, written plan that addresses all inspections and audits conducted by the command 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 program focused on command objectives.

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.

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