

*USAREUR Regulation 1-201

Administration

USAREUR Organizational Inspection Program

24 January 2002

***This regulation supersedes USAREUR Regulation 1-201, 28 February 1991.**

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Summary. This regulation establishes policy and procedures for conducting inspections in USAREUR.

Summary of Change. This revision updates the policy and requirements of the USAREUR Organizational Inspection Program.

Applicability. This regulation applies to Army units in Europe regardless of parent unit. The policy and procedures in this regulation apply down to company level.

Supplementation. Commanders will not supplement this regulation without CG, USAREUR/7A (AEAIG-I), approval.

Forms. USAREUR and higher-level forms (printed and electronic) are available through the USAREUR Publications System (UPUBS).

Suggested Improvements. The proponent of this regulation is the Office of the Inspector General, HQ USAREUR/7A (AEAIG-I, 370-7558/8952). Users may suggest improvements to this regulation by sending a DA Form 2028 (Recommended Changes to Publications and Blank Forms) to the Commander, USAREUR/7A, ATTN: AEAIG-I, Unit 29351, APO AE 09014.

Distribution. A (UPUBS). This regulation is available only in electronic format.

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Glossary

1. PURPOSE

This regulation establishes the USAREUR Organizational Inspection Program (OIP). The OIP improves unit readiness by--

- a. Reinforcing established inspection standards.
- b. Reducing disruption of training and operations.

2. REFERENCES

- a. AR 1-201, Army Inspection Policy.
- b. AR 11-2, Management Control.
- c. AR 20-1 and USAREUR Supplement 1, Inspector General Activities and Procedures.
- d. AR 36-2, Audit Reports and Followup.
- e. FM 25-100, Training the Force.
- f. FM 25-101, Battle Focused Training.
- g. UR 350-1, Training in USAREUR.

3. EXPLANATION OF ABBREVIATIONS AND TERMS

The glossary defines abbreviations and terms.

4. RESPONSIBILITIES

- a. The Inspector General, USAREUR--

(1) Is the proponent for broad policy inspections in USAREUR.

(2) Reviews DA and USAREUR regulatory guidance that requires any type of inspection.

(3) Ensures a list of approved regulatory inspections is included in the USAREUR Annual Training Guidance. This list will help commanders prepare and implement a local command inspection program (CIP) (AR 1-201) and show how often each inspection will be conducted.

(4) Coordinates inspections of USAREUR units and activities by external or non-USAREUR agencies.

(5) Resolves, or brings to the attention of the USAREUR Command Group to resolve, conflicts when commanders deny inspectors access to USAREUR units. AR 1-201 and this regulation, paragraph 6m(4)(d), provide guidance on how to resolve these conflicts.

(6) Coordinate with the Chief, Internal Review and Audit Compliance Office (IRACO), HQ USAREUR/7A, to--

(a) Reduce redundancy in inspection and audit programs.

(b) Ensure commanders have adequate notification through operations and training channels for external inspections and audits.

b. The Chief, IRACO--

(1) Is the proponent for broad policy on USAREUR audits.

(2) Reviews DA and USAREUR regulatory guidance that requires any type of audit.

(3) Coordinates audits of USAREUR units and activities by external or non-USAREUR agencies.

(4) Resolves, or brings to the attention of the USAREUR Command Group to resolve, conflicts when commanders deny auditors access to USAREUR units. AR 1-201 and this regulation, paragraph 6m(4)(d), provide guidance on how to resolve these conflicts.

(5) Works closely with the Office of the Inspector General (OIG), HQ USAREUR/7A, to--

(a) Reduce the effect of audits and inspections on USAREUR units and agencies.

(b) Reduce redundancy in audits and the OIP.

(c) Ensure adequate notification through operations and training officials for external visits.

(6) Develops and publishes regulatory guidance on audits in USAREUR.

c. Subordinate command inspectors general (IGs)--

(1) Are the proponents for broad policy on inspections for their organizations and publish that policy in regulatory documents.

(2) Work with operations and training personnel to integrate inspections in each command.

(3) Review regulatory guidance that requires any type of inspection and recommend changes.

(4) Publish supplemental guidance to use with the USAREUR list of required periodic inspections.

(5) Conduct IG inspections according to AR 20-1, USAREUR Supplement 1 to AR 20-1, and this regulation.

(6) Concentrate on systemic inspections to find problems that--

(a) Affect the majority of the command.

(b) Have a significant effect on mission accomplishment.

(7) Do not participate in command inspections or staff evaluations prohibited by AR 20-1.

(8) Provide assistance and training on how to inspect.

(9) Evaluate the effectiveness of the three OIP elements (command inspections, staff evaluations, and IG inspections).

d. Commanders will--

(1) Establish OIPs that--

(a) Reduce duplication of assessments, inspections, evaluations, reports, and audits.

(b) Minimize disruption of training and work activities.

(c) Give units time to correct actions between inspections.

(d) Concentrate on mission-essential tasks.

(e) Emphasize hands-on inspections when possible.

(f) Incorporate announced inspections and other visits into the planning process described in FM 25-100.

(g) Require inspections to be authorized in writing.

(2) Deny access to any inspector who cannot show proper authorization or has failed to provide adequate notice. If the inspector challenges the denial, commanders will immediately report the situation to the appropriate authority.

(a) When inspecting agencies are external to USAREUR (for example, Department of Defense Inspector General, Department of the Army Inspector General, United States Army Audit Agency, Government Accounting Office), the USAREUR-level agency, the USAREUR Command Group, or both will resolve denial issues.

(b) Units are not required to respond to external agencies without first coordinating with the OIG (for inspections) or with the IRACO (for audits).

(3) Limit replies by memorandum to those items commanders decide require a personal review.

(4) Evaluate corrective actions through personal observations, staff evaluations, or follow-up inspections.

(5) Review inspections required by regulation each year for which they or their DA staff equivalents are the proponent.

(6) Inform local IG officials about regulatory guidance that mandates inspections and recommend changes to that guidance, as necessary.

(7) Coordinate their needs with the tasking authority to consolidate visits (for example, combining staff evaluations with another already planned inspection such as a CIP). If consolidation is not possible, the staff will coordinate with the tasking authority to determine the best time for the visit.

(8) Teach while conducting staff evaluations.

e. Operations and training personnel will--

(1) Coordinate the OIP using official taskings.

(2) Periodically prepare and publish a master plan for inspections at battalion level and above.

(3) Work closely with the local IG.

5. OVERVIEW

Inspections are an integral part of management cycles. Information obtained from inspections provides the basis for the commander's assessment of the organization's readiness. Inspections result in adjustments being made in resources, personnel, training methods, and other areas that support mission-essential tasks. Figure 1 shows the rate of assessment in the training-planning process (FM 25-101).

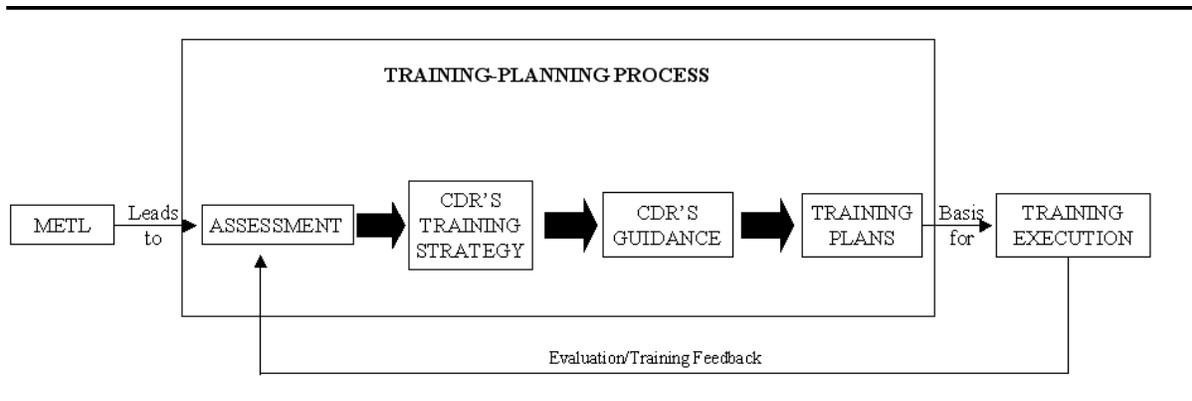


Figure 1. The Training-Planning Process

6. INSPECTION POLICY

a. General. Commanders are responsible for inspections conducted by the command using the three OIP elements (command inspections, staff evaluations, and IG inspections) and audits. Commanders also will--

- (1) Consolidate inspections into a single OIP (fig 2).
- (2) Integrate OIPs into the training-planning process (fig 1).

b. Procedures. Applying the policy and guidance in this regulation, commanders will--

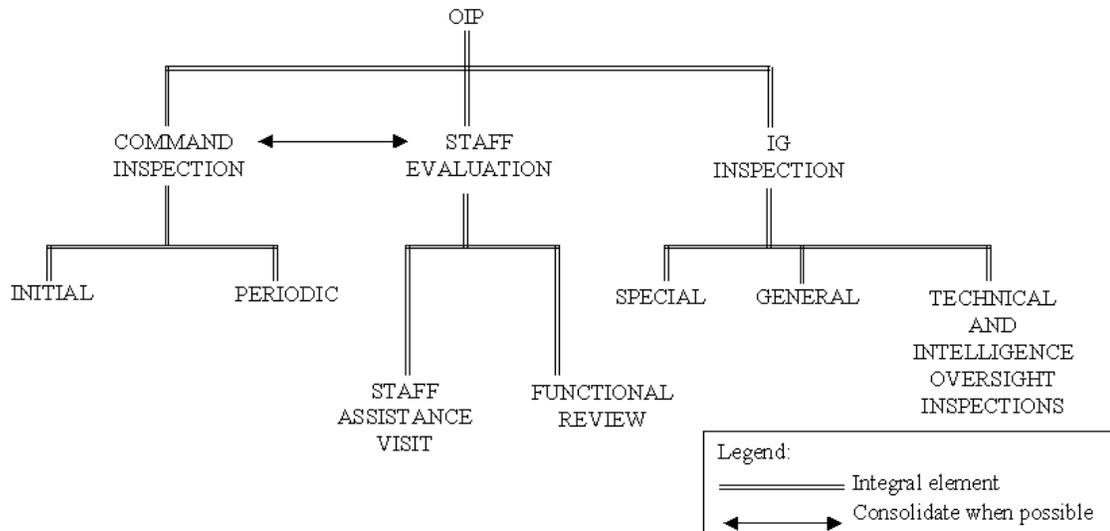
- (1) Conduct inspections using sound judgment.
- (2) Use performance evaluations when possible.
- (3) Find ways to conduct inspections that concentrate on mission-essential tasks.
- (4) Use hands-on evaluations. Appendix A lists suggested inspection techniques.

(a) These suggestions are not mandatory. They are examples of how to establish and implement an OIP. Compliance evaluations are necessary, but leaders must go beyond the "checklist mentality" when possible.

(b) Successful leaders will use imagination and insight to develop effective ways of evaluating performance and feedback while meeting regulatory requirements. If requirements do not make sense, leaders will question the requirements and take action to change them.

c. The OIP Product. The OIP involves three distinct but related parts:

- (1) **Policy:** Directives that prescribe requirements, guidelines, and command philosophy.
- (2) **Plan:** A master schedule that shows announced inspections and requirements for unannounced inspections.
- (3) **Action:** The entire process: policy-making, planning, execution, assessment, evaluation, and follow-up.



NOTES: 1. Each element may involve follow-up inspections to evaluate corrective actions.
 2. IG special inspections are systemic. Other inspections are compliance evaluations that are designed to determine the organization's adherence to established law, regulations, policy, procedures, and directives. Command inspections often involve hands-on evaluations of competency skills.
 3. Required periodic inspections by staff elements first will be considered for incorporation into the command inspection program. If this is not feasible, commanders will authorize periodic inspections in writing, coordinate them through the tasking authority, and treat them as staff evaluations.
 4. IG inspections are divided into three types of inspections (special, general, and follow-up). Each type of inspection may be further subdivided and include follow-up inspections. These inspections are defined in the glossary and in USAREUR Supplement 1 to AR 20-1.

Figure 2. The USAREUR OIP

d. Prerequisites. Inspections must be fully coordinated and have a specific purpose approved by the commander of the inspecting headquarters. Authorization to inspect and timely notification are the two major prerequisites for inspections.

(1) Authorization to Inspect. The commander of the inspecting headquarters must approve the scope and objectives in a written directive or request the inspection.

(2) Timely Notification. Notification and taskings must be timely. Unannounced inspections, by definition, do not require advanced notification. Requirements are prescribed in m(4) below.

NOTES: 1. Both prerequisites for announced inspections must be met. If either is not met, commanders may refuse to let inspectors inspect their units.
 2. Written authorization is not necessary for staff evaluations conducted by a battalion or brigade staff.
 3. If an organization (for example, a division) conducts “focus” inspections (those that are narrow in scope) based on verbal command directives, the procedures will be listed in the command’s OIP documents.

e. AR 1-201. AR 1-201 provides general guidance for inspections throughout the Army. This regulation cannot be effectively implemented without a thorough understanding of AR 1-201.

f. Staff Evaluations. Staff evaluations are different from staff inspections. Staff evaluations give inspectors the opportunity to teach and assist those visited. There are two types of staff evaluations: staff assistance visits (SAVs) and functional reviews (FRs). The glossary, section II, provides more information about SAVs and FRs.

g. CIPs. AR 1-201 directs each level of command (battalion level and above) to establish a CIP.

(1) Division commanders interested in evaluating how a brigade staff plans training or handles officer evaluation reports do not have to spend their time inspecting; they rely on the expertise of their staff, staff evaluations, and other feedback.

(2) Division and higher commanders do not have to establish CIPs since, by definition, CIPs require the personal participation of the commander. Division command inspections may assess the operational functions of the division headquarters and brigades (AR 1-201).

h. OIP Components. The components of an OIP vary in percentage depending on the command level (fig 3).

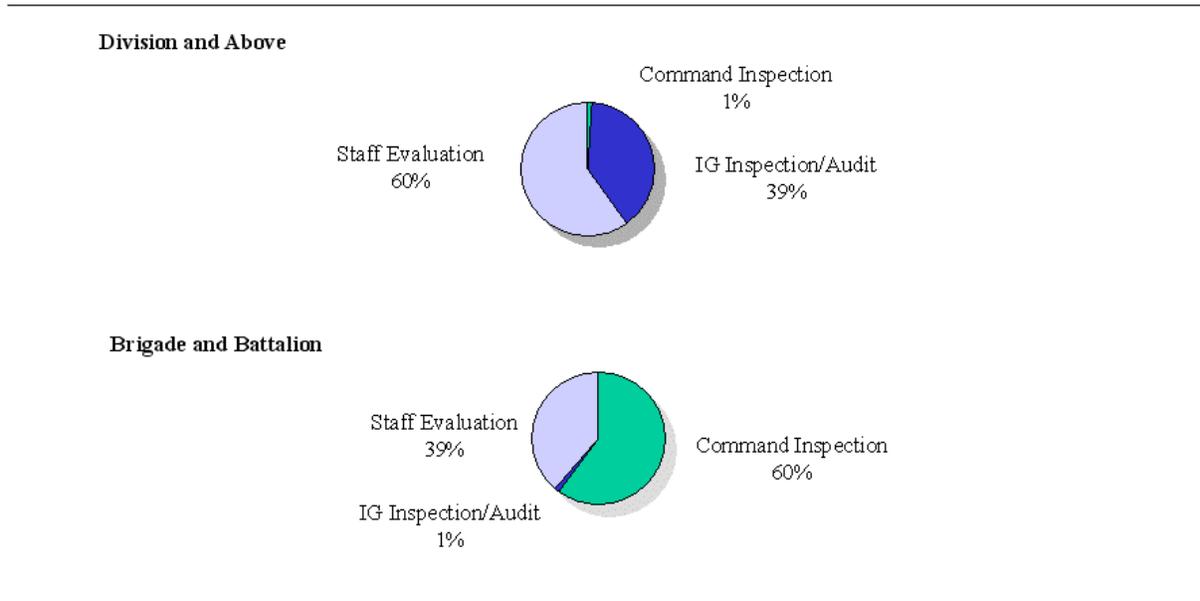


Figure 3. OIP Components by Percentage at Various Command Levels

(1) At division and higher levels, OIPs involve staff evaluations, IG inspections, and audits.

(2) At brigade and battalion levels, OIPs involve command inspections and staff evaluations.

(3) At separate brigades with detailed IG inspectors, OIPs involve IG inspections.

i. Initial Command Inspection (or Initial Assessment).

(1) Company, battery, troop, and separate detachment commanders will receive a comprehensive initial command inspection (ICI) within 90 days after assuming command. The inspecting commander--

(a) Will take part in the ICI.

(b) Should use the results to set goals for the inspected commander.

(c) Should consider using Management Control Program functional checklists (AR 11-2) during the ICI.

(2) FM 25-100 defines an assessment as a mental process of commanders or other senior leaders. Using the term "assessment" for an evaluation activity such as an ICI is inappropriate. The term "initial command inspection" will replace the term "initial assessment" used in AR 1-201.

j. Periodic Command Inspection. Each company will be inspected at least twice a year. Battalions will be inspected yearly. Brigade commanders will determine the frequency of periodic command inspections (PCIs). If a company is inspected as part of a battalion PCI, the results of that inspection may be counted as one of the company PCIs. This inspection, unlike the ICI, does not have to be comprehensive. Inspecting commanders should consider using the Management Control Program functional checklists in AR 11-2 during PCIs. PCIs may be--

(1) Directed at specific areas on which the inspecting commander needs feedback.

(2) Incorporated into other activities, such as post-combat checks conducted when personnel return from field-training exercises.

k. Integration of Required Periodic Inspections. Certain types of regulatory staff inspections (for example, environmental, fire prevention, physical security, safety) may be incorporated into the CIP; other types cannot (for example, inspections of a specific division staff function by a higher staff).

(1) Because the brigade is the highest level that can reasonably be expected to have a CIP in which the commander personally takes part (g above), the brigade is the point where inspections from outside agencies may be incorporated into a CIP. Outside agencies should try to incorporate their inspections into the CIP. If a staff element must inspect a function or facility of the brigade headquarters itself, it may not be possible to incorporate the inspection into the CIP.

(2) The inspecting commander will--

(a) Approve, in writing, staff evaluations or inspections that cannot be integrated into the CIP.

(b) Coordinate evaluations and inspections through the tasking authority.

l. Integrating Inspections.

(1) Inspections and evaluations are important tools for commanders to use in assessing the readiness of their units, to train soldiers and civilian employees who are found to be deficient, and to solve problems. Commanders will conduct the minimum number of inspections or visits necessary to provide evaluative and corrective functions to minimize disruption of training. For balance, commanders above company level will--

(a) Establish a program in which command inspections, staff evaluations, and IG inspections are distinct but integral parts of the overall OIP.

(b) Ensure the structure of the OIP allows the total inspection effort to be unified for improved unit effectiveness and readiness and allows the inspections to complement each other. This goal also applies to internal and external audits.

(2) Commanders will--

(a) Combine inspections in their units and incorporate, where possible, periodic requirements such as safety, fire marshal, and physical security inspections into command inspections.

(b) Coordinate inspection activities with operations and training personnel.

(c) Review inspection activities to ensure that the OIP supports the mission and does not become the mission.

(d) Incorporate inspections into the training-planning process (fig 1).

(e) Share inspection, evaluation, and audit results with other personnel who have a legitimate interest in the inspected function to include internal control personnel. Using inspection reports effectively is a key element in a successful OIP. Sharing inspection results with other inspecting activities unites command and IG inspections, staff evaluations, and audits into an integrated inspection program.

(f) Ensure that IG inspectors routinely have access to the results of command inspections and staff evaluations. IG inspectors see a wider range of units than most inspectors and are trained to identify systemic problems. They therefore may be able to offer insights into unit problems.

(g) Help the IG determine systemic problems that are beyond the ability of units to correct. This assistance will provide the IG with leads for special inspections that may result in correcting problems at their sources.

(h) Make IG personnel aware of general trends found during command inspections. The integration of command inspections and IG inspections is shown in the 26-minute videotape “Your Organizational Inspection Program (OIP): A Guide for Successful Commanders.” This videotape is available through IG channels.

(i) Be sensitive to administrative requirements at battalion, company, and detachment level when requesting formal reports of corrective action (for example, reply by memorandum).

(j) Personally approve requirements to reply by memorandum.

(3) IG inspectors and auditors should share information and help each other identify trends and issues.

m. External Inspections and Audits. Inspections and audits from non-USAREUR agencies must be coordinated.

(1) Inspections. Inspections will be coordinated through the OIG. When possible, the OIG will reduce inspections by offering to provide data to the external activity or to perform joint inspections. IG personnel are encouraged to do the same when inspecting subordinate units and activities.

(2) Audits. Audits will be coordinated through the Chief, IRACO.

(3) IG and Internal Review Interface. IG and internal review personnel must coordinate their activities at all levels to avoid duplication of effort and disruption of unit activities.

(4) Notification and Tasking for Announced Inspections. Organizations must notify the specific unit to be inspected as soon as possible to give the unit time to plan according to FM 25-100.

(a) The goal is to notify the division or separate brigade at least 90 days before the inspection. This will be accomplished by a tasking through operations channels. The notification should include the inspection dates, inspection topics, and types of organizations to be inspected. This will allow the tasking authority to determine the specific units that will be available for inspection. IG personnel can provide informal notification through IG technical channels, but this does not negate the requirement to task through operations channels.

(b) At least 60 days before the inspectors arrive, the commander of the lowest-level unit to be inspected (for example, company) should receive--

1. Official notification of the inspection dates.

2. A statement that explains the purpose and objectives of the inspection.

3. A statement of the method or methods to be used to conduct the inspection (for example, interviews, sensing sessions, in-ranks formations).

(c) In no case will company-level commanders receive notification less than 45 days before the inspection begins. Notification after the 45-day limit is cause for the inspected unit to challenge the inspection.

(d) When a commander denies access to a USAREUR unit or agency and the visitor demands entry, the commander will inform the appropriate level for resolution. In the case of non-USAREUR units and agencies, the Inspector General or the Chief, IRACO, will resolve the issue or refer it to the USAREUR Command Group for resolution.

(e) Unannounced and “short-notice” inspections are exempt from notification requirements. Inspectors must, however, have a written directive from the commander authorizing the inspection.

n. Teaching. Teaching is an essential element of inspections, evaluations, and assessments. Inspections and evaluation visits are considered incomplete if those visited do not understand or have not been taught goals and standards and how to achieve them.

7. EXCEPTIONS

To be exempt from the provisions of this regulation, commanders must submit a request for exception with justification to the first general officer in the chain of command. Approved exceptions will remain in effect for 1 year.

8. SPECIAL INSPECTIONS

Special inspections are narrow in functional scope, but broad in organizational scope, and concentrate on specific issues. To conduct a special inspection, inspectors cross command lines to sample a variety of organizations to determine patterns that are not unit-specific. Special inspections do not require special preparation by inspected units. Preparations to “put on the best face” tend to be counterproductive. The resulting report generally is directed at the policy of the higher headquarters (for example, HQDA, HQ USAREUR/7A) that is causing problems at the unit level.

9. INSPECTION METHODS

The two types of inspection are compliance inspections and systemic inspections.

a. Compliance Inspections. Compliance inspections are conducted to determine the status of an organization’s compliance with established law, policy, regulations, procedures, and directives. During compliance inspections, inspectors--

(1) Do not question documents of authority.

(2) Do not use checklists to “grade” an organization’s efficiency. Because compliance with regulations does not always ensure mission accomplishment, compliance inspections must be supplemented with systemic inspections and performance evaluations.

(3) Use matrices derived from regulatory guidance to help inspectors assess their subject areas.

NOTES: 1. The Inspections Branch, OIG, does not use checklists, nor do inspectors assign grades to inspection results.
2. The OIG avoids any comparison of inspected units to keep IG inspection results from being a competition among commanders.

b. Systemic Inspections. Systemic inspections are designed to identify problems or issues, determine the basic causes of problems, develop recommended solutions, and identify who is responsible for solutions.

(1) Although some form of checklist or question-and-answer sheet may be used to gather data, the results of systemic inspections are analyzed to determine basic causes. Systemic inspections do not result in grades of satisfactory or unsatisfactory.

(2) Systemic inspections evaluate a large unit’s abilities to perform a mission by sampling subordinate organizations and generalizing the findings based on the sample taken. While compliance with regulations is considered a start-point, systemic inspections look beyond regulatory compliance to the broader areas of mission accomplishment and readiness.

(3) Systemic inspections often lead to changes in regulations to allow units to perform their missions.

(4) When an organization or staff agency is assigned responsibility to correct a systemic problem, that organization or agency should address the problem and not concentrate solely on the recommended solution. For example, V Corps IG inspection results may recommend a certain solution to an issue and may assign the responsibility to the Assistant Chief of Staff, Personnel (ACSPER), Headquarters, V Corps. Regardless of whether or not the ACSPER agrees with the IG inspector’s findings or recommended solution, the ACSPER should evaluate the problem and determine whether or not the IG inspector’s solution would solve the problem. If the ACSPER decides that the IG inspector’s recommended solution is inadequate, the ACSPER is responsible for solving the problem. An IG inspector’s recommended solution is not directive; it is merely one possible way to solve a problem.

APPENDIX A INSPECTION GUIDELINES

A-1. GENERAL

This appendix provides guidelines for conducting inspections. Since most of the examples in this appendix refer to combat and combat-support units, commanders should adapt the examples to their organizations using their own judgment. These examples are intended to provide general guidelines for conducting inspections under the USAREUR Organizational Inspection Program (OIP). If the concepts described in this appendix are inappropriate for a given organization, the commander need not request an exception to policy.

A-2. WARTIME CONSIDERATIONS

As a major forward-deployed command in the U.S. Army, USAREUR must ensure that inspection activities (including assessments, inspections, evaluations, audits, and other types of feedback) contribute to combat effectiveness. The inspector general (IG) system has played a key role across the spectrum of conflict from the Revolutionary War through Operation Desert Storm and recent peace-enforcement operations throughout the world. In wartime and during support and stability operations, when the command is deployed or operating as a split command in more than one location, IGs have the same role as they do in peace--extending the eyes, ears, voice, and conscience of the commander. The inspection function does not change during wartime; but the highest-priority focus during military operations must be on the tasks and systems that directly relate to the unit's readiness to accomplish the command's mission during all phases and types of military operations.

a. Wartime Versus Peacetime Missions. Although some activities and organizations do not have a clearly defined wartime mission, most do. These missions are prescribed in mission-essential task lists. Some organizations have both peacetime and wartime missions. Routine peacetime missions receive frequent evaluation and emphasis, but wartime missions (including planning for transition to war) are relatively neglected. As a general rule, assessments, inspections, and evaluations should contribute to improving the Army's warfighting capability.

b. Quality of Life and Fraud, Waste, and Abuse Issues. Quality of life (QOL) and fraud, waste, and abuse issues must be addressed in the OIP.

(1) **QOL.** Each organization will be involved in QOL issues. QOL issues affect soldiers' decisions about whether or not to reenlist.

(2) **Fraud, Waste, and Abuse.** Each organization will strive to achieve the highest level of efficiency and effectiveness in its operations. Fraud, waste, and abuse deplete resource and degrade readiness.

c. Warfighting Evaluations. Where applicable, evaluations or inspections will include the evaluation of performance, inspection skills, war planning, and goal-setting.

(1) Evaluating Performance.

(a) Performance evaluations are hands-on evaluations of organizational elements (squads, platoons, staff sections) performing activities such as marksmanship; nuclear, biological, and chemical proficiency; maintenance; navigation; and physical fitness. These evaluations focus on soldiers' potential to perform in wartime, not just according to training documentation.

(b) Inspectors will evaluate performance by using elements from both ends of the inspection and evaluation spectrum (para A-3 and fig A-1). These evaluations require imagination, careful planning, and thorough preparation by the inspecting organization. The two major goals of performance evaluations are to evaluate the competence, confidence, and proficiency of individual soldiers in their wartime skills and to observe and evaluate unit leadership. Preparing and conducting evaluations takes a lot of time, but the benefit gained through evaluations make them worth the time they take.

(c) Inspectors must evaluate intangibles such as initiative, responsiveness to orders, teamwork, how clearly orders and other information are communicated, and the ability to react under stress. Unit effectiveness is more than the sum of individual skills.

(2) Evaluating Inspection Skills. Evaluations of inspection skills measure how well unit leaders inspect. This is accomplished by evaluating unit inspection techniques. For example--

(a) Rather than personally inspecting weapons, inspectors observe how leaders inspect their soldiers' weapons before returning them to the arms room.

(b) When evaluating vehicle maintenance, inspectors give vehicle commanders the mission of reporting the current preventive maintenance checks and services (PMCS) status of their vehicles. Vehicle commanders then give the driver (and crew, if appropriate) the mission of conducting PMCS. The leader observes and answers the driver's questions, as necessary. Once the driver has finished, the leader spot-checks the driver and coaches him or her on anything he or she missed. Having observed this interaction, the inspector is then able to evaluate the effectiveness of the chain of command in the area of maintenance.

(3) Evaluating War Planning. War-planning activities include preparing, understanding, and executing general defense plans, transition-to-war plans, and community transition-to-war plans. Inspectors should evaluate not only the plans themselves, but also the following functions:

(a) The process used to develop the plans.

(b) The degree of involvement that staff elements had in developing the plans.

(c) The frequency and adequacy of exercising the plans.

(d) The method for making changes to the plans when changes are necessary.

(4) Evaluating Goal-Setting. Evaluating goal-setting involves assessing how well the unit uses the following forms to clarify goals and standards:

(a) DA Form 67-9 (Officer Evaluation Report).

(b) DA Form 67-9-1 (Officer Evaluation Report Support Form).

(c) DA Form 67-9-1a (Junior Officer Developmental Support Form).

(d) DA Form 2166-8 (Noncommissioned Officer Evaluation Report).

(e) DA Form 2166-8-1 (Noncommissioned Officer Counseling Checklist/Record).

A-3. SPECTRUM OF INSPECTIONS AND EVALUATIONS

Inspection methods will vary according to the scope of the evaluation, the degree of reliance on regulatory standards, and the degree of emphasis placed on mission performance. Most inspections are a combination of compliance and systemic inspections (this reg, para 9); they review compliance with policy and look for systemic problems. Figure A-1 shows the spectrum of inspections and evaluations. The following evaluations are performance evaluations:

a. Army Training and Evaluation Programs.

b. Individual Test/Evaluation Program results.

c. Emergency Deployment Readiness Exercise reports.

d. Weapons qualification records.

----- Spectrum -----
Types of Inspections and Evaluations

Standards	Compliance (Regulatory Standards)	Systemic	Performance Evaluation (Mission Performance)
Scope of evaluation	Unit and function	Function	Unit
Degree of reliance on regulation	High	Medium	Low
Degree of emphasis on mission performance	Low	Medium/High	High

Figure A-1. Spectrum of Inspections and Evaluations

A-4. INSPECTION FORMAT

a. 100-Percent Inspection. 100-percent inspections involve inspecting the elements in each functional area in an organization. Because this format is time-consuming and highly disruptive, it should be used rarely.

b. Sampling Inspection. Sampling inspections (taking representative samples of an organization) are the preferred method of inspecting. This method gives a valid base for assessment or evaluation without the cost involved in more extensive inspections.

c. Unit Integrity. Because individual performance is only one element of a unit’s warfighting ability, inspectors should also sample unit integrity (how the unit performs as a whole). By inspecting the entire operation, inspectors can evaluate leadership and management skills of the unit and individual proficiency.

(1) Example A: Rather than randomly selecting 10 soldiers from a company to demonstrate their level of physical training and verify the test results, the inspector should select 2 squads to test. Each squad leader then will administer the Army physical fitness test (APFT). By evaluating two squads, inspectors can observe not only the performance of each soldier, but also how well each squad leader organizes and motivates the soldiers to achieve standards. The results can be compared to the record of these soldiers on previous APFTs.

(2) Example B: When an inspection of a company involves rifle marksmanship, the inspectors should give the mission to the chain of command to conduct the range firing for two squads (or inspect during an already scheduled weapons-qualification session) and then evaluate the results. The inspectors then would be able to observe how well--

- (a) The unit conducts the range firing.
- (b) Transportation and other logistics support are provided.
- (c) Squad leaders supervise and coach their soldiers and evaluate the results.

A-5. METHODS FOR REDUCING DISRUPTION

To reduce disruption of unit activities, commanders, detailed (IG), and staffs should--

a. Minimize the number and length of inspections.

b. Consolidate inspections when possible. For example, the Inspections Branch, Office of the Inspector General (OIG), HQ USAREUR/7A, should conduct joint inspections with Department of the Army Inspector General inspection teams when inspection plans overlap. Brigade and battalion commanders should include periodic safety, fire prevention, and arms-room-security inspection requirements in their command inspections.

c. Use reports by other agencies or other command levels and spot-check them only as necessary.

d. Use the military community staff to conduct certain portions of the inspection.

e. Not require formal responses from inspected units. The anticipated benefits of such replies should offset the effort associated with their preparation. A follow-up inspection or functional review provides an alternative for ensuring that corrections were understood and implemented.

f. Identify inspection periods based on when units enter prime training periods. Prime training includes major training events and exercises on the annual training calendar or Sergeants Time Training on the weekly training schedule.

(1) These periods should be gradual to minimize disruption. If, for example, commanders are tasked to offer a unit for inspection by an outside agency, they should choose one in the post-detail or support category. This prevents disrupting units involved in more intensive training.

(2) Commanders who decide to use unannounced inspections in an OIP to test combat readiness may choose from an appropriately categorized unit.

g. Consider the advantages and disadvantages of announced and unannounced inspections carefully before making a decision. The advantages and disadvantages are as follows:

(1) Announced Inspections. Announced inspections allow inspecting to high standards and emphasize training junior leaders. If, however, announced inspections are not carefully monitored, commanders may perform so many preinspections that they will over-inspect their units. Commanders must be aware of this tendency to ensure that units do not sacrifice warfighting ability by spending too much time and too many resources preparing for inspections. In particular, command inspections that announce unrealistic standards cause units to waste resources and achieve only marginal returns for the effort they require.

(2) Unannounced Inspections. Unannounced inspections can reduce unproductive preparation (for example, preinspection inspections) and limit opportunities to hide problems. Unannounced inspections generally provide a more accurate view of day-to-day conditions in the unit than announced inspections. Their main disadvantage, however, is that they disrupt training if they are not integrated into training events that are already scheduled.

A-6. IG SPECIAL INSPECTIONS

Occasionally an IG team may sample a unit as part of a special inspection. Usually the degree of disruption of such a sampling is small, because it involves only selected personnel for a short period. Most soldiers in the unit can continue the day's mission without interruption.

a. Since reports of special inspections do not identify units or individuals by name, no one should feel that it is necessary to prepare for a special inspection.

b. "Putting on the best face" for a special inspection defeats the purpose of the inspection and increases the likelihood of covering up the system's problems.

c. Systemic problems can be solved or eliminated if the IG team or inspector can identify the basic cause and give commanders the information they need to correct the system.

d. Commanders should view special inspections as opportunities to bring problems to the attention of those who can correct them.

A-7. INSPECTION STEPS

An inspection may be considered complete when the following three steps have been taken:

a. Step 1: Prepare for the Inspection. This step is crucial to defining standards and reducing disruption at the unit level. Preparing involves--

(1) Developing an inspection concept.

- (2) Receiving the written authority to inspect (to include a clearly defined purpose, scope, and focus).
- (3) Developing an inspection plan.
- (4) Notifying the organizations to be inspected.
- (5) Arranging transportation and lodging before the inspection.
- (6) Training the inspectors.
- (7) Ensuring no duplication of effort with other agencies.
- (8) Consolidating inspection efforts with other agencies, as necessary.
- (9) Collecting inspection instruments (for example, checklists, questionnaires).

b. Step 2: Conduct the Inspection. This step involves the actual on-site inspection, from inbriefing to outbriefing the inspected organization. During this step, inspectors teach and provide inspected units ideas and techniques on how to improve efficiency and effectiveness.

c. Step 3: Take Corrective Action. No inspection is complete without corrective action. Since replies by endorsement rarely fix anything, they are not sufficient. Reports are effective only if they result in corrective actions being taken; they therefore should be considered only as attempts to inform interested parties. The most-effective technique for correcting deficiencies found during an inspection is to teach while inspecting, and then to brief the chain of command and those who are in a position to solve the problem. For example, when the OIG completes a commandwide special inspection, the USAREUR Command Group receives an oral outbriefing and a written report. This enables the CG, USAREUR/7A, to direct appropriate HQ USAREUR/7A staff principals to take corrective actions. Without this step, the entire inspection effort is incomplete.

A-8. IG INVOLVEMENT IN THE OIP

a. Although AR 20-1 specifically prohibits IG personnel from participating in command inspections, IG personnel may--

- (1) Provide valuable assistance and training on how to inspect.
- (2) Help commanders and their staffs analyze the results of functional reviews and other collected data.

b. Although the tasking authority is responsible for coordinating the OIP, IG personnel should coordinate IG inspections (internal and external) in a way that is similar to how internal-review offices coordinate audits. Official notification must flow through the tasking authority.

GLOSSARY

SECTION I ABBREVIATIONS

ACSPER	Assistant Chief of Staff, Personnel, Headquarters, V Corps
APFT	Army physical fitness test
AR	Army regulation
CDR	commander
CG, USAREUR/7A	Commanding General, United States Army, Europe, and Seventh Army
CIP	command inspection program
DA	Department of the Army
DOD	Department of Defense
FM	field manual
FR	functional review
HQUSAREUR/7A	Headquarters United States Army, Europe/Seventh Army
ICI	initial command inspection
IG	inspector general
IRACO	Internal Review and Audit Compliance Office, HQ USAREUR/7A
MEMO	memorandum
METL	mission-essential task list
OIG	Office of the Inspector General, HQ USAREUR/7A
OIP	organizational inspection program
PCI	periodic command inspection
PMCS	preventive maintenance checks and services
QOL	quality of life
SAV	staff assistance visit
UR	USAREUR regulation
U.S.	United States
USAREUR	United States Army, Europe

SECTION II TERMS

assessment

A mental process used by Army leaders to analyze an organization's ability to perform its mission. The commander's assessment is the key link that ties evaluation of past performance to the planning of upcoming activities. Assessments may be made of a specific functional area (for example, training, logistics, personnel, force integration) or involve a broader scope to determine the organization's status in multiple areas (for example, organizational, unit). In each case, the commander makes an assessment based on first-hand observations and information from subordinate leaders. Information for the assessment comes from evaluations and inspections.

command inspection

An inspection in which the senior commander personally takes part and provides feedback to an inspected subordinate commander. The two forms of command inspections are "initial" and "periodic" (this reg, para 6i and j).

evaluation

The means used to measure the demonstrated ability of individuals and units to accomplish specified objectives. Evaluations provide commanders with the information they need to assess the unit's ability to accomplish its mission. The types of evaluation are as follows:

- Audits.
- Army physical fitness test scores.
- Army Training and Evaluation Program results.

- Command inspections.
- Emergency deployment readiness exercise reports.
- Individual Test and Evaluation Program results.
- Inspector general special inspections.
- Personal observation.
- Staff visit reports.
- Unit status report.

feedback

Any source of information (for example, assessments, briefings, data, discussions, observations, reports) that leaders use to determine unit effectiveness.

follow-up inspection

An inspection of the action taken to correct deficiencies found during a previous inspection or audit. The follow-up inspection determines whether or not the corrective action from the earlier inspection or related audit is effective, complete, economical, efficient, practical, producing the desired results, and not causing new problems. Each type of inspection can have a follow-up (for example, follow-up general inspection, follow-up general contract inspection, follow-up special contract inspection).

functional review

A staff evaluation directed either by regulation as a periodic inspection or by a senior commander to evaluate certain functions that commanders suspect need to be corrected. A functional review is similar to an inspector general special inspection in that a function, not a unit, is evaluated. Recommended solutions are presented to the organization best able to correct the problem at its source.

general inspection

An inspection in which activities in an organization or command are subject to inspection. A general inspection is broad in functional scope (usually including command and control; personnel and administration; intelligence and security; operation plans and training; logistics; and resource management), but is narrow in organizational scope (only one organization). The resulting report is generally directed at the inspected unit for it to solve any problems found. General inspections focus on units. Of all inspection types, general inspections make up the smallest portion of the inspector general workload. Compliance inspections of units normally will be conducted within the command inspection program.

hands-on

Relating to or providing direct practical experience.

initial command inspection (initial assessment)

A comprehensive compliance inspection of a company, battery, troop, or detachment that is given within 90 days after the commander's assumption of command. This inspection will be used to guide the new commander, but not to evaluate the commander's performance during his or her first 90 days of command.

inspection

An official evaluation of an organization, or part of one, to do one or more of the following:

- Determine compliance with established policy and procedures.
- Evaluate the organization's condition.
- Determine the organization's capability to perform assigned missions.
- Provide assistance.

inspector general (IG) inspection

An inspection conducted by a detailed IG to--

- Identify problems.
- Determine basic causes.
- Develop possible solutions.
- Assign responsibilities for correcting problems.

Generally IG inspections concentrate on issues rather than on units. The commander to whom IG inspectors report determines the functional and organizational scope of the inspection.

staff assistance visit

A staff evaluation requested by the inspected commander to help educate and train soldiers to accomplish certain functions and duties that require specialized knowledge. For instance, a company commander may request a staff assistance visit (SAV) from the battalion intelligence officer to do one or more of the following:

- Evaluate physical security.
- Prepare for a command inspection.
- Train a newly appointed physical security officer.

An SAV is meant to provide the assisted organization with help, not to gather and report facts to higher headquarters.