ARMY INSPECTION POLICY

FOR THE COMMANDER:

OFFICIAL: KEVIN W. MANGUM
Lieutenant General, U.S. Army
Deputy Commanding General/Chief of Staff

RICHARD A. DAVIS
Senior Executive
Deputy Chief of Staff, G-6

History. This publication is supplement 1 to Army Regulation 1-201, dated 25 February 2015.

Summary. This supplement provides policy for U.S. Army Training and Doctrine Command (TRADOC) visits from headquarters staff including inspections, audits, staff assistance, accreditation, and assessment activities. It does not replace—but only supplements the AR.

Applicability. This supplement applies to Headquarters (HQ) TRADOC and all TRADOC organizations.

Suggested improvements. The proponent of this supplement is the TRADOC Inspector General (IG). Further supplementation is not permitted without prior approval of the Commanding General. Send comments and suggested improvements on Department of the Army (DA) Form 2028 (Recommended Changes to Publications and Blank Forms), to TRADOC IG, ATIG, TRADOC IG), Building 661, 661 Sheppard Place, Fort Eustis, VA 23604.

Availability. This publication is distributed through electronic media on the TRADOC Homepage at http://www.tradoc.army.mil/tpubs. Local reproduction is authorized.

*This supplement supersedes TRADOC Supplement 1 to AR 1-201, dated 17 May 2011.
Supplement Army Regulation 1-201, 25 February 2015, as follows:

Paragraph 1-3, Explanation of abbreviations and terms

After the last sentence, add the following: “For the purpose of this supplement, the word “inspections” refers to inspections, assessment visits, staff assistance visits, accreditations, audits and reviews conducted by U.S. Army Training and Doctrine Command (TRADOC) Staff. Additional TRADOC abbreviations and terms are supplemented to the glossary.”

Paragraph 1-4d(14)(g)

Add the following subparagraphs (1) through (5) to subparagraph 1-4d(14)(g) as follows:

(1) All inspectors must be trained and knowledgeable on related past inspections, reference materials, and changes to regulations prior to executing any inspections. As the subject matter expert (SME), inspectors must know the most current policy. Strong instructor/trainer skills are paramount for inspectors.

(2) A trained inspector includes being trained on inspection principles in accordance with AR 1-201 and this supplement. Inspectors must also possess the expertise in the functional areas they are inspecting. Inspectors must be able to teach and train the inspected unit to correct any deficiency identified.

(3) Inspectors should note every "exceeds the standard" performance with details on who, how, and why the exceptional performance occurred. Ensure these are included in the final report and discussed at the Organizational Inspection Program (OIP) quarterly work group.

(4) Inspectors or appointed leads will participate in the OIP quarterly work group.

(5) Inspectors will coordinate/confirm details with Core Function Leads (CFLs), Direct Reporting Units (DRUs), US Army Recruiting Command (USAREC), US Army Cadet Command (USACC), and Centers of Excellence (CoEs) for support required to conduct specified inspections.

Paragraph 1-4, Responsibilities

Add new subparagraphs 1-4h through 1-4m as follows:

h. TRADOC OIP Coordinator.

   (1) The Director, TRADOC Quality Assurance Office (QAO) is the TRADOC OIP Coordinator.

   (2) Serves as the central POC for the Headquarters (HQ) TRADOC OIP as required in AR 1-201, paragraph 1-4d.
(3) Publishes OIP guidance, as required, and includes information in the Command Training Guidance each year.

(4) Publishes the OIP schedule annually no later than 1 July for subsequent years.

(5) Reports and coordinates proposed changes to the TRADOC Enterprise Calendar (TEC) with Deputy Chief of Staff (DCS), G-3/5/7.

(6) Responsible for all synchronization of inspections, SAVs, assistance visits (AVs), audits (only audit dates/sites provided), and accreditations. Ensures all are reflected on the TEC.

(7) Responsible to coordinate and appropriately consolidate inspections to reduce disruption and requirements on inspected units.

(8) Ensures all inspections are in accordance with AR 1-201.

(9) Responsible for coordinating and spearheading staff management of the OIP through quarterly OIP work groups.

(10) Chairs quarterly OIP work groups and updates the command group, as needed.

(11) Appoints a lead for all inspections involving any staff directorates or agencies.

(12) Resolves conflicts between inspection leads.

(13) Responsible for updates and revisions to the Staff Elements Inspections Chart within TRADOC Supplement 1 to AR 1-201 (paragraph 3-4).

(14) Coordinates all TRADOC accreditations and ensures a separate and distinct process between Army accreditations and TRADOC OIP inspections.

i. TRADOC Directors.

(1) Appoints directorate leads for all inspections.

(2) Designates a POC for assigned directorate or agency in support of the TRADOC OIP.

(3) Disseminates OIP guidance, as required, and ensures all inspections are coordinated with the TRADOC OIP Coordinator and DCS, G-3/5/7, and input to the TEC.

(4) Ensures all inspectors are properly trained.

(5) Directs and manages execution of inspections and uses the guide in Appendix C to determine the root cause of problems.
(6) Directorate Inspection Lead provides results to inspected units and senior leaders. Ensures leaders understand and have the opportunity to respond to the inspection findings, that corrective action is understood, and the office or person responsible for the corrective action is identified.

(7) Reviews/tracks each inspection deficiency and schedules follow-up inspections, as required.

(8) Participates in quarterly OIP work groups.

j. TRADOC DCS G-3/5/7.

(1) Updates and maintains the TEC ensuring all activities encompassing the OIP are included.

(2) Provides guidance to staff/functional elements, subordinate commanders, and external agencies for deconflicting and rescheduling inspections that disrupt missions.

(3) Participates in quarterly OIP work groups.

k. TRADOC IG.

(1) Maintains and ensures revisions are made as required to TRADOC Supplement 1 to AR 1-201, with the exception of the Staff Elements Inspections Chart.

(2) Advises QAO, DCS, and G-3/5/7, on OIP policy and effectiveness.

(3) Conducts IG inspections in accordance with AR 1-201 and AR 20-1.

(4) Conducts inspection training as requested by the commander and staff agencies.

(5) Participates in quarterly OIP work groups.

(6) Develops an annual IG inspection plan for the Commanding General’s (CG’s) approval submission to the TEC, and through the OIP Coordinator.

(7) Submits inspection dates to OIP coordinator and annotates them on the TEC.

l. Subordinate Commanders.

(1) Develop and implement an OIP in accordance with AR 1-201 and this supplement.

(2) Ensure each unit or activity, down to battalion or battalion equivalent, has an OIP.

(3) Ensure company-sized units receive ICIs and SCIs as required by AR 1-201. The ICI must be conducted for every new company/troop/battery or detachment-level commander within
90 days of assuming command. SCIs must be conducted not later than 1 year after completion of the ICI.

(4) Apply the training management cycle outlined in ADP 7-0 to plan inspections and allow adequate time to perform corrective actions and follow-up inspections.

(5) Request through DCS, QAO, and G-3/5/7, inspections or AVs that cannot be satisfactorily met by using internal assets or expertise in support of the local commander’s OIP. When applicable, coordinate closely with Installation Management Command for inspections and staff or technical assistance activities involving Garrison activities.

m. TRADOC OIP work group. The OIP work group participants are comprised of representatives from the HQ TRADOC staff with designated responsibilities in elements of the OIP. See appendix D-1 for details on inspections. Members of the OIP work group are required to:

(1) Meet quarterly to update/deconflict all inspections under the purview of the OIP and submit to the QAO and DCS, G-3/5/7 for posting to the TEC. When possible, schedule inspections together to minimize the disruption at centers and schools.

(2) Brief TRADOC OIP Coordinator and OIP work group on changes to inspection schedule and issues that may impact other team inspections.

(3) Submit the following information for planned inspections to ensure required details are tracked by the QAO and on the TEC: inspection name; requested date(s); requesting agency, regulation, or authority requiring the inspection; purpose of inspection/visit; frequency required; location inspected/visited; inspection lead; agency inspected/visited; and objectives of inspection/visit.

(4) Immediately submit unscheduled inspections to the TRADOC OIP Coordinator, followed by submissions during the quarterly work group. The information required to notify the TRADOC OIP Coordinator of unscheduled inspections is the same as if submitting a planned inspection to the TRADOC OIP.

Paragraph 3-2. Organizational Inspection Program

After subpara 3-2i, add subparagraphs 3-2j through 3-2q as follows:

j. Three major purposes of the OIP are to reinforce established inspection standards, teach and train those individuals and units found to be deficient and reduce the disruption of training and other important activities.

k. HQ TRADOC inspections should focus on ensuring that current policies provide the guidance and support necessary for subordinate commands and activities to execute the mission and assigned tasks.
1. The elements that are comprised in an OIP are depicted in figure 3-1. This OIP integrates these various elements into the TRADOC program of inspections.

Figure 3-1. Elements of an OIP

m. Center of Excellence (CoE) and learning institution accreditations are not inspections but may be aligned with staff inspections to the greatest extent possible and are supportive of the OIP concept to reduce disruption to training and operational tempo. Army accreditation (in accordance with AR 350-1) is a quality assurance program function that helps to assure the command that the CoE or learning institution’s doctrine, organization, training, leadership and education, personnel, and facilities (DOTLPF) domains enable the institution to develop Soldiers and leaders with the competency needs of today’s Army and Operating Force. It is a forcing function that focuses the commander’s attention on the state of the institution’s programs and processes across its DOTLPF domains against TRADOC-approved Army Enterprise Accreditation Standards (AEAS).

n. IG Assistance Visits and Staff Assistance Visits are not inspections. In accordance with AR 20-1, paragraph 6-5a, AVs may be conducted to subordinate commands to evaluate the assistance function locally; identify or prevent problems with DA or local policies; provide assistance to Soldiers, Family members, and DA civilians; assist subordinate IGs and the chain of command; and assess the morale of the command. SAVs are conducted by command IGs of higher echelon IG staff on lower echelon IG staff sections to review their processes in conducting the four IG functions and to identify areas to sustain and improve.
o. External inspections/audits. These inspections or audits are normally conducted by DA or DOD organizations.

p. Audits, defined as an 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, are a key component of the OIP. An audit might be used to support any type of inspection or may stand alone.

q. Other inspections and reviews conducted include inspections conducted by coordinating and special staffs or special inspections requested by the TRADOC CG.

Paragraph 3-3c(1)

Append the following to subparagraph 3-3c(1): “Command inspections are focused on commander’s teaching and training subordinate commanders on command standards.”

Paragraph 3-3d

After the last sentence in subparagraph 3-3d, add the following: “Inspecting commanders determine the scope and timing of subsequent inspections as long as they are within one year of the initial command inspections.”

Paragraph 3-4, Staff inspections

After subpara 3-4d, add subparagraph 3-4e and Table 3-1 as follows:

3-4e. The chart published below lists all planned TRADOC inspections by HQ TRADOC staff leads, inspection, and frequency. See appendix D for a brief description of each inspection.

Table 3-1. Planned TRADOC inspections

<table>
<thead>
<tr>
<th>Responsible Staff</th>
<th>Inspections/Visits, Accreditations, Audits and Reviews</th>
<th>Frequency</th>
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</thead>
<tbody>
<tr>
<td><strong>Command Inspections:</strong></td>
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<tr>
<td></td>
<td>Initial Command Inspections</td>
<td>Within 90 days of assuming Co Cmd</td>
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<td></td>
<td>Subsequent Command Inspections</td>
<td>No later than 1 yr after the ICI</td>
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<tr>
<td><strong>Staff Inspections/Visits:</strong></td>
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<td></td>
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<tr>
<td><strong>G-1/4</strong></td>
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<tr>
<td></td>
<td>Civilian Personnel Program Inspections</td>
<td>Periodic</td>
</tr>
<tr>
<td></td>
<td>Command Supply Discipline Program</td>
<td>No later than every 24 months</td>
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<tr>
<td></td>
<td>Staff Assistance Visits</td>
<td>As needed</td>
</tr>
<tr>
<td></td>
<td>Army Retention Program</td>
<td>Annually</td>
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<tr>
<td></td>
<td>Staff Accreditation Standard</td>
<td>Triennial</td>
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<tr>
<td></td>
<td>Commander, Center for Initial Military Training</td>
<td>Per CDR, CIMT’s request</td>
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</tbody>
</table>
### Table 3-1. Planned TRADOC inspections, continued

<table>
<thead>
<tr>
<th>Responsible Staff</th>
<th>Inspections/Visits, Accreditations, Audits and Reviews</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>G-2</td>
<td>Personnel Security Program Inspections</td>
<td>Biennial</td>
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<td></td>
<td>Information Security Program Inspections</td>
<td>Biennial</td>
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<td></td>
<td>NATO Control Point Inspections</td>
<td>Biennial</td>
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<tr>
<td></td>
<td>OPFOR/OE Accreditations</td>
<td>Annually</td>
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<tr>
<td></td>
<td>COMSEC Command Inspection Program</td>
<td>Biennial</td>
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<td></td>
<td>Foreign Disclosure</td>
<td>Annually</td>
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<td></td>
<td>Staff Accreditation Standard</td>
<td>Triennial</td>
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<tr>
<td></td>
<td>CDR, CIMT “Quick Look” Visits</td>
<td>Per CDR, CIMT’s request</td>
</tr>
<tr>
<td>G-3/5/7</td>
<td>Protection (antiterrorism, CIRM, COOP, EM, IA,</td>
<td>Triennial</td>
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<tr>
<td></td>
<td>Operations Security (OPSEC), and physical</td>
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<tr>
<td></td>
<td>security) Staff Inspections</td>
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<tr>
<td></td>
<td>MWD Program Staff Inspection</td>
<td>Annually</td>
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<tr>
<td></td>
<td>Staff Accreditation Standards (ATED, Library,</td>
<td>Triennial</td>
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<td></td>
<td>Resource Management)</td>
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<tr>
<td>G-6</td>
<td>Staff Accreditations Standards (IT/IM)</td>
<td>Triennial</td>
</tr>
<tr>
<td>G-8</td>
<td>Resource Management Assistance Visits</td>
<td>As required</td>
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</tbody>
</table>

**Personal Staff:**

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<tbody>
<tr>
<td>Chaplain</td>
<td>Staff Assistance Visits</td>
<td>Annually</td>
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<tr>
<td></td>
<td>CDR, CIMT “Quick Look” Visits</td>
<td>Per CDR, CIMT’s request</td>
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</table>

**IG:**

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<tbody>
<tr>
<td>IG</td>
<td>IG Inspections</td>
<td>Annually</td>
</tr>
<tr>
<td></td>
<td>Intelligence Oversight</td>
<td>Biennial</td>
</tr>
<tr>
<td></td>
<td>Special Interest Items Inspections</td>
<td>As required</td>
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<tr>
<td></td>
<td>Assistance Visits</td>
<td>Biennial</td>
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</tbody>
</table>

**Staff Judge Advocate (SJA):**

|                      | SJA Inspections                                       | As determined by the SJA  |

**Special Staff:**

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<tbody>
<tr>
<td>CKO</td>
<td>Staff Accreditation Standard (KM)</td>
<td>Triennial</td>
</tr>
</tbody>
</table>

**Command Diversity Office:**

<p>|                      | Equal Employment Opportunity (EEO) Staff Assistance Visits | Triennial                   |
|                      | EEO Out-of-Cycle Staff Assistance Visits                 | As required                |</p>
<table>
<thead>
<tr>
<th>Responsible Staff</th>
<th>Inspections/Visits, Accreditations, Audits and Reviews</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Historian</td>
<td>Command Historian Certification Visits</td>
<td>Periodic; ad hoc basis</td>
</tr>
<tr>
<td>Internal Review and Audit Compliance (IRAC)</td>
<td>Site Visits for Internal Audits</td>
<td>Review dependent</td>
</tr>
<tr>
<td>QAO</td>
<td>Combat Training Center Program Accreditation Visits</td>
<td>Biennial</td>
</tr>
<tr>
<td></td>
<td>TRADOC accreditation visits to TRADOC Centers/Schools, NCO Academies, and non-TRADOC Schools</td>
<td>Triennial</td>
</tr>
<tr>
<td>Safety</td>
<td>Command Safety Program Inspections</td>
<td>Annually</td>
</tr>
<tr>
<td></td>
<td>Aviation Readiness and Resource Mgt</td>
<td>Triennial</td>
</tr>
<tr>
<td></td>
<td>Staff Accreditation Standard (Safety)</td>
<td>Triennial</td>
</tr>
<tr>
<td></td>
<td>CDR, CIMT “Quick Look” Visits</td>
<td>Per CDR, CIMT’s request</td>
</tr>
<tr>
<td>Surgeon</td>
<td>CDR, CIMT “Quick Look” Visits</td>
<td>Per CDR, CIMT’s request</td>
</tr>
<tr>
<td>Other Inspections/Visits:</td>
<td></td>
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<tr>
<td>CDR, CIMT</td>
<td>CDR, CIMT “Quick Look” Visits</td>
<td>Every 18 months (Army Training Center); Every 24 months (AIT)</td>
</tr>
<tr>
<td></td>
<td>Staff Accreditation Standard</td>
<td>Triennial</td>
</tr>
</tbody>
</table>

In Appendix A, References, Section II, Related Publications, add:

DoD 5105.21-M-1; and the Foreign Disclosure Program in accordance with AR 380-10. Department of Defense Sensitive Compartmented Information Administrative Security Manual

DOD 5200.01
Volumes 1-4, DOD Information Security Program

DoD 5500.7-R
Joint Ethics Regulation

AR 11-7
Army Internal Review Program
TRADOC Suppl 1 to AR 1-201

AR 20-1
Inspector General Activities and Procedures (Rapid Action Revision (RAR), 07/03/2012)

AR 27-1
Legal Services, Judge Advocate Legal Services (*RAR 001, 09/13/2011)

AR 27-10
Military Justice

AR 27-20
Claims

AR 27-40
Litigation

AR 30-22
Army Food Program

AR 40-4
Army Medical Department Facilities Activities

AR 40-5
Preventive Medicine

AR 40-68
Clinical Quality Management (RAR 002, 01/04/2010)

AR 40-501
Standards of Medical Fitness (RAR 003, 08/04/2011)

AR 40-562
Immunizations and Chemoprophylaxis for the Prevention of Infectious Disease

AR 165-1
Army Chaplain Corps Activities

AR 190-12
Military Working Dogs

AR 220-90
Army Bands

AR 350-1
Army Training and Leader Development

AR 350-3
Tactical Intelligence Readiness Training Program

AR 350-16
Total Army Language Program

AR 380-5
Department of the Army Information Security Program

AR 380-28
Department of the Army Special Security System (U)

AR 380-40
Safeguarding and Controlling Communications Security Material (RAR 001, 04/24/2013)
Available ONLY from AKO

AR 380-67
Personnel Security Program

AR 381-10
US Army Intelligence Activities
Foreign Disclosure and Contacts with Foreign Representatives

AR 385-10
The Army Program

AR 530-1
Operation Security (OPSEC)

AR 600-20
Army Command Policy
AR 600-61 (OBSOLETE)
The Personnel Management Assistance System (PERMAS)

AR 600-63
Army Health Promotion (RAT 002, 09/07/2010)

AR 601-280
Army Retention Program (RAR 001, 09/15/2011)

AR 612-201
Initial Entry/Prior Service Trainee Support (RAR 001, 08/04/2011)

AR 690-12
Equal Employment Opportunity and Affirmative Action
TRADOC Suppl 1 to AR 1-201

AR 690-600
Equal Employment Opportunity Discrimination Complaints

AR 710-2
Supply Policy Below the National Level

AR 870-5
Military History: Responsibilities Policies and Procedures

DA PAM 600-26
Department of the Army Affirmative Action Plan

TRADOC Regulation (TR) 10-5
U.S. Army Training and Doctrine Command

TR 10-5-8
Initial Military Training Center of Excellence

Quick Look Memorandum of Agreement (MOA)
TR 1-11

TRADOC Regulation 11-21
Implementation of the Army Quality Assurance Program

TRADOC Memorandum 36-2
Staff Procedures for Audits Conducted by External Audit Agencies

TR 350-6
Enlisted Initial Entry Training Policies and Administration

TR 350-36
Basic Officer Leaders Course Training Policies and Administration

TR 385-2
Safety Program

TR 600-11
Equal Opportunity Action Plan

TR 870-1
Military History Program

FM 10-23
Basic Doctrine for Army Field Feeding and Class I Operations Management

FM 10-23-2
After appendix B, add appendices C and D as follows:

**Appendix C**

**Root Cause Analysis Model**

*Extract from the U.S. Army Inspector General Agency’s The Inspections Guide – March 2015, Section 3-3.*

**C-1. Purpose**

The purpose of this section is to discuss and describe the Root Cause Analysis Model.

**C-2. Root Cause**

The root cause is the underlying reason why something happens or does not happen. An inspector can apply the Root Cause Analysis Model to any inspection category or type in an effort to determine why someone is complying -- or failing to comply -- with a particular standard. Inspectors should use the model not just to seek reasons for noncompliance, but also to determine why something is going well. The inspector may find some good news that is worth spreading around.

**C-3. Two Forms of Root Causes**

An inspector will normally encounter two basic forms of root causes: Systemic Root Causes and Local Root Causes. Every problem has a root cause, but some root causes present a larger pattern, while others are more localized.

a. **Systemic root causes:** When a problem is widespread and presents a pattern, the problem is likely to be systemic in nature. An inspector can often trace a systemic problem back to a regulation, policy, or standard that is confusing, overly ambitious, or in conflict with another standard. The proponents of these regulations, policies, or standards are the best ones to fix the problem. IGs normally seek systemic root causes when conducting special inspections.

b. **Local root causes:** When a problem is not widespread and does not present a pattern, the problem is likely to be local in nature. Local problems affect only one unit or a small group of
individuals. The solution to the problem usually rests within that unit or group. Local root causes are often associated with a particular person's decisions, demeanor, or statements.

C-4. The Root Cause Analysis Model
The Root Cause Analysis Model represents an intellectual guide -- or framework -- that helps an inspector think through all of the reasons why something is happening or not happening. The model simply helps to structure the analytical process of determining what went right or wrong by posing a series of questions to the inspector in a particular form and sequence. The model is depicted at figure C-1.

![Root Cause Analysis Model](image)

**Figure C-1. Root Cause Analysis Model**

C-5. Using the Model
The Root Cause Analysis Model has three major headings: Don't Know, Can't Comply, and Won't Comply. Each heading includes three categories that the inspector can pose as questions. The inspector should start with the heading Don't Know and then ask questions one through three in sequence. For example, under the heading Don't Know, the inspector should ask, "Did the person or unit ever know about the requirement?" The information that the inspector gathered from interviews, sensing sessions, observations, and document reviews should lead him or her to a particular answer. The inspector should not stop upon finding an answer to a question. More than one reason may exist for compliance or noncompliance, so the inspector should follow the model all the way through.

a. Don't know.

(1) Never knew: Did the person or unit ever know about the requirement? A positive answer to this question usually means that some organization at some echelon failed to get the information down to the required level.

(2) Forgot: Did the person or unit forget about the requirement? A positive answer to this question usually suggests a local -- or personal -- problem and not a systemic problem.

(3) Task implied: Was the task implied but the unit or person lacked the knowledge or experience to recognize the requirement? In organizations whose members are highly
experienced, identifying and accomplishing implied tasks is second nature. But in organizations that suffer from rapid turnover and varying levels of experience, the leadership should compensate by providing more explicit guidance.

b. Can't comply.

(1) Scarce resources: Did the person or unit have the resources to accomplish the requirement? Many units often lack the resources to accomplish many of their assigned missions. The scarcest resources tend to be time and money. Part of the problem may be a conscious decision that a leader made concerning priorities. Before an inspector challenges a unit's priorities, the inspector must view and understand the bigger picture. The priorities the leader selected may be the right ones, but that fact does not mean that the inspector cannot question the decision.

(2) Don't know how: Did the person or unit know how to meet the requirement? A negative response to this question might suggest a lack of training or experience. The resources may be available, but the unit or person simply lacked the knowledge to perform the task -- even if the unit or person knew about the requirement.

(3) Impossibility: Was the requirement impossible for the unit or person to perform? A positive response to this question suggests that training, resources, and knowledge of the requirement were there, but the unit or person found the task impossible to accomplish. A number of potential reasons may surface. Perhaps the task was overly ambitious and incredibly difficult to perform under any circumstances.

c. Won't comply.

(1) No reward: Would the person or unit be rewarded for completing the requirement? Some people consciously decide not to comply with requirements that do not benefit them or their unit -- or are simply "dumb" in their estimation. Some people simply avoid difficult tasks. A disciplinary penalty may be involved in decisions of this nature.

(2) No Penalty: Would the person or unit suffer a penalty by failing to complete the requirement? Some units or individuals choose not to comply with what they deem to be "unsavory" tasks because no one will punish them for their noncompliance. Some people focus only on what keeps them out of trouble. Once again, a disciplinary penalty may be involved in a decision of this nature.

(3) Disagree: Did the person or unit disagree with the requirement? In some rare instances, individuals refuse to comply with a requirement that they think is "dumb" or "stupid." Sometimes they are correct, and sometimes they are not. Once again, a disciplinary penalty may be involved.

C-6. Root Cause Analysis Model Flow Chart
The flow chart shown at figure C-2 offers a more visual representation of the root cause thought process.
Appendix D
Inspections by TRADOC Staff Elements

D-1. Purpose
The purpose of this section is to provide detailed information on the inspections conducted by TRADOC staff elements. All TRADOC staff elements will:

a. Plan, coordinate, and execute annual staff inspections for specified functional area(s), as required by AR 1-201, paragraph 3-4, and TRADOC operational requirements.

b. Coordinate with centers and schools for support required to conduct and confirm details of inspections.

c. Provide the commander status and specific feedback on functional area programs and inspections throughout the command.

d. Designate an OIP lead to serve on the OIP work group, and coordinate, track, and report all functional areas and inspections. Submit the annual inspections to TRADOC OIP lead (TRADOC QAO) for scheduling.
e. Advise TRADOC OIP coordinator on potential inspection inefficiencies (that is, unnecessary, redundant, or excessive frequency of inspections) and vulnerabilities for specified functional areas.

f. Conduct inspections and SAVs as required by operational requirements, regulations, and as directed by the CG, TRADOC. Follow methodology outlined in this supplement.

g. Annually provide the TRADOC OIP Coordinator a complete schedule of all functional area internal and external inspections no later than 1 April for the following FY.

h. Coordinate functional area inspections with like inspections from DA and DOD to complement subordinate functional area inspections, eliminate needless redundancy, and minimize disruption to subordinate commands. **When feasible, combine inspections provided that the purpose and intent of the original inspections are not compromised.**

i. Submit inspections not included in the annual submission, or any other changes to planned inspections, audits, and visits to the TRADOC OIP Coordinator no later than the 15th of each month, to ensure TEC update the following month.

**D-2. Personal staff**

a. Chaplain. The Command Chaplain supports CDR, CIMT “Quick Look” visits. Once the assistance and assessment visit checks are complete, the Chaplain team assesses compliance of the Chaplaincy and Unit Ministry Team with AR 165-1 and TR 350-6.

b. Staff Judge Advocate (SJA). The SJA conducts inspections of TRADOC SJA offices as the SJA determines necessary and assesses the compliance with the standards and procedures.

c. IG.

   (1) IG inspections examine and recommend solutions for problems that cannot be easily resolved at the center and school level. These inspections are focused on systemic issues that affect many units throughout the command. They seek reasons for deficiencies (the root cause), and teach system’s processes and procedures during the execution of the inspection. The final inspection report identifies responsible directorates or agencies for corrective actions, as well as recommendations to improve published polices. The TRADOC Command Group Action Office tracks follow-up inspection actions resulting in command taskers.

   (2) Conducts three types of inspections: general, special, and follow-up.

   (3) Conducts biennial AVs of TRADOC CoEs and command IG offices.

   (4) Conducts inspections in accordance with FY plan and command-directed inspections.
(5) Conducts Intelligence Oversight inspections in accordance with AR 20-1, Section II, 5-3. This inspection checks the provisions of AR 381-10 and the collection, retention, and dissemination of information about citizens, employee conduct, and the identification, investigation, and reporting of questionable activities.

(6) Conducts biennial Federal Voting Assistance Program inspections in accordance with AR 608-20 and submit report annually to DAIG. The objective of the inspection is to determine the effectiveness of the TRADOC Federal Voting Assistance Program and compliance with regulatory guidance. Each center and school IG will manage the review for their command and return the results to the TRADOC IG office.

(7) Coordinates administrative support for the DA and DOD IG inspections.

d. TRADOC Band Commander. As requested, assist the Army School of Music with inspections that assess TRADOC bands on the quality of musical training; technical proficiency; adequacy of equipment, personnel manning, and facilities; effectiveness of command and control; and utilization of the band in tactical environments, in accordance with AR 220-90.

D-3. Special staff

a. Internal Review and Audit Compliance (IRAC) Office. IRAC serves as the TRADOC CG’s principal advisor on all audit matters and supports the OIP by:

(1) Serving as the TRADOC CG’s principal officer for liaison with external audit organizations including Government Accountability Office, DODIG, and U.S. Army Audit Agency. IRAC’s role includes helping external auditors schedule their visits, guiding command activities through the audit process, and mediating resolution of disagreements between command and external auditors relative to audit results, as needed. Staff procedures for audits conducted by external audit agencies are covered by TRADOC Memorandum 36-2.

(2) Sharing the results of external audits across the command to influence planning of the OIP at all levels.

(3) Developing and executing an annual internal review audit plan approved by the Deputy Commanding General, TRADOC, to support TRADOC leadership and organizations in improving accountability and compliance in the execution of their missions. The internal audits in this plan are usually nonrecurring and requested by a leader to address a known or suspected problem. Policy and procedures for the internal review program are covered in AR 11-7.

(4) Providing a copy of the annual internal review audit plan to the OIP coordinator, as well as the results of any internal reviews that may have an impact on planned or ongoing inspections.

(5) Reviewing the TEC before scheduling internal review and external audit visits for coordination of scheduling and inputting these visits in TRADOC Staff Calendar.
Additionally, IRAC manages its own internal quality control program based on Government Auditing Standards.


c. Safety. The Command Safety Officer conducts annual inspections of TRADOC command safety programs in accordance with AR 385-10, TR 385-2; and TP 385-1, "Self Assessment Guide." TRADOC safety supports the CDR, CIMT “Quick Look” visits and the TRADOC Quality Assurance (QA) program accreditation evaluations.

d. Historian. The Command Historian conducts DA certification visits to each TRADOC history office as required. These visits assess whether military history programs in TRADOC meet requirements defined in AR 870-5 and TR 870-1, to include military history instruction.

e. Command Diversity Office (CDO). The Diversity Office, in addition to diversity efforts, is comprised of three compliance programs: Equal Employment Opportunity (EEO), Equal Opportunity (EO), and Sexual Harassment/Assault Response Program (SHARP). It conducts integrated SAVs with these three programs and conducts separate Diversity, EEO, EO and SHARP SAVs as needed. By integrating the SAVs, the CDO is able to provide a more complete and accurate picture of their command climate.

(1) EEO. The EEO office conducts SAVs to ensure compliance with EEO Commission Management Directives 110 and 715, AR 690-12, and AR 690-600. The purpose of the visits are to measure the overall effectiveness of the EEO program, to ensure leadership involvement, to review EEO complaint processing, and to ensure the implementation of Management Directive 715, EEO, 1 October 2003. The goal is to ensure all TRADOC civilians work in an environment free from discrimination (based on race, color, national origin, gender, age, religion, and/or disability), harassment, and/or reprisal.

(2) EO. Conducts annual self-assistance visits of all TRADOC EO programs to assess compliance with AR 600-20, DA Pamphlet 600-26, and TR 600-11. The purpose of the visits are to measure the overall effectiveness of the installation/activity EO program in accordance with DA, TRADOC, and local EO regulations and program objectives. Areas of focus are leadership involvement, EO advisor/representative staffing, EO action plan, complaint processing, unit assessment, reports (EO database), training, special/ethnic observances, and EO forums. The self-assistance visits ensure just and equal treatment of all TRADOC personnel while maintaining the highest possible level of professionalism and combat readiness; ensure all levels of command are positively and aggressively committed to, and involved in, furthering the EO program and having a workable equal opportunity action program; and monitors EO training in units and schools to ensure requirements are met and instructions are given by qualified personnel.

(3) Sexual Harassment/Assault Response Program (SHARP). Conducts annual self-assistance visits of all TRADOC SHARP programs to access compliance with DoDD 6485.01, DoDI 6495.02, DoDD 1350.2, DoDI 5505.18 and AR 600-20. The purpose of the visits are to measure the overall effectiveness of the installation/center/school SHARP program in accordance
with DoD, DA, TRADOC, and local SHARP regulations and program objectives. Areas of focus are leadership involvement, Sexual Assault Response Coordinator/Victim Advocate staffing, Sexual Assault Review Board operations, Defense Sexual Assault Incident Database management, Integrated Case Reporting System database management, unit assessments, SHARP training, SHARP incident reporting, SHARP victim advocacy, SHARP communication plan, coordination with outside agencies (Criminal Investigation Division, Provost Marshal Office, local hospitals), conduct of Sexual Assault Summits, and SHARP program administration. The self-assistance visits ensure the prevention of sexual harassment and assault is the number one priority within the installation/center/school while promoting a culture of dignity and respect for all TRADOC personnel while maintaining the highest possible level of professionalism and combat readiness.

f. QAO. In accordance with AR 350-1 and TR 11-21 the TRADOC QAO is the lead agent for Army’s QA Program across the Active Army (TRADOC and Non-TRADOC), Army National Guard and U.S. Army Reserve of the CoE/schools, RTIs, TCCs, MFTBs, NCOAs, and combat training centers through accreditations and assessments to ensure Army standards are achieved in the development, education, and training of Soldiers and civilians while strengthening the U.S. Army's ability to learn, adapt, and innovate. The QA program ensures the development of the Army's Soldier and civilian leaders as well as design, development, and integration of capabilities, concepts, and doctrine to build a campaign-capable, expeditionary, and versatile Army.

g. INCOPD. INCOPD conducts visits to Noncommissioned Officer Academies ensuring compliance with AR 350-1, TR 350-10. Intent is to ensure NCOAs are prepared and sufficiently resourced to provide the approved program of instruction training.

D-4. Coordinating staff

a. DCS, G-1/4.

(1) Adjutant General (AG). Conducts QA assistance visits as required by the TRADOC QA Office. Supports CDR, CIMT “Quick Look” visits. Assistance visits are governed by AG quick look checklist and QA checklist. Areas to be covered, but not limited to, are strength management, military HR functions, Basic Allowance for Subsistence reviews, enlisted promotions, Electronic Military Personnel Office transactions, assignment processing, leave management, and military police force and training battalion Army Training Requirements and Resources System input.

(2) AG. Conducts AG self-assistance visits annually to all TRADOC activities to provide personnel support, analysis, training, and assistance in accordance with AR 600-61. The purpose of the visit is to identify problem areas within the personnel services and support system and provide on-site assistance/training to eliminate the cause of the problem or assist in seeking solutions. Commanders and operating personnel are advised of their overall effectiveness in providing support to personnel serviced. Areas to be assessed include, but are not limited to, Electronic Military Personnel Office, enlisted promotions, evaluations, reassignment processing, in/out processing, leave management, awards, and Initial Military Training (IMT) finance issues.
The TRADOC AG, in accordance with a memorandum of agreement with the U.S. Army Element, School of Music, provides funding for the inspections of TRADOC bands with the School of Music performing the actual technical inspections.

(3) Retention Division. Conducts annual visits and inspections of the installation/activity retention program. The inspections are intended to measure the overall effectiveness of the program in accordance with DA and TRADOC directives, policies, and procedures. The visits include random sampling of brigade, battalion, and company levels of command in accordance with AR 601-280. Primary areas of focus include mission accomplishment, administrative data accuracy, leadership involvement, career counselor staffing, unresolved Reenlistment/Reclassification System report discrepancies, and significant variations between numbers of actual retention-eligible Soldiers and eligible Soldiers, as reported by the Standard Installation/Division Personnel System. Intent is to ensure all levels of command aggressively support the Army Retention Program and solid working relationships exist between host installations and assigned, attached, and/or supported commanders, elements, and Soldiers, to ensure everyone receives the maximum benefit of retention support and adequate resources.

(4) Command Logistician. Supports CDR, CIMT “Quick Look” visits, equipment surveys, and quality assurance visits in accordance with TB MED 530, FMs 10-23 and 10-23-2, and AR 30-22 and lead for the Command Supply Discipline Program (CSDP). CSDP is a commander's program directed to establish supply discipline as regulatory guidance and standardize supply discipline requirements. It is based upon AR 710-2, Appendix B. CSDP is conducted at the user, property book, direct and general support levels; as well as parent organization and higher commands. ACOMs for TDA organizations conduct CSDP every 2 years.

(5) Command Engineer. Supports the CDR, CIMT “Quick Look” visits and the QA Program with facility SMEs.

b. DCS, G-2. DCS, G-2, conducts an annual inspection of the Total Army Language Program at Fort Huachuca and the Defense Language Institute at Monterey in accordance with AR 350-16 focusing on monitoring program expenditures. Additionally, the G-2 conducts an annual inspection of the Tactical Intelligence Readiness Program in accordance with AR 350-3, focusing on monitoring program expenditures and supports the TRADOC QA Program accreditation evaluations. The TRADOC IG will conduct biannual Intelligence Oversight inspections on the ODCS, G-2, ASCCs, DRUs, and CoEs.

c. DCS, G-3/5/7.

(1) G-34 Protection Directorate conducts staff inspections and SAVs in support of the TRADOC Protection Program (TPP) and military working dog (MWD) program. The G-34:

(a) Leads Protection (antiterrorism, critical infrastructure risk management [CIRM], continuity of operations [COOP], emergency management [EM], information assurance [IA], operations security [OPSEC], physical security, and select special interest items) SAVs and staff inspections of TRADOC major subordinate organizations (MSOs), CoEs, and separate activities.
Protection staff inspections are conducted as a minimum once every 3 years and SAVs are conducted at the request of a TRADOC core function lead, CoE or separate activity. (TRADOC G-33 provides SME for COOP and OPSEC and G-6 provides SME for IA.).

(b) Conducts MWD program staff inspections in accordance with AR 190-12 on an annual basis. MWD programs that fail a staff inspection will receive a follow-up staff inspection within 90-180 days. In addition, TRADOC WMD teams will be certified by a TRADOC recognized MWD Certification Authority prior to being authorized for employment as a team and annual thereafter.

d. DCS, G-6. Deputy Chief of Staff, G-6, Chief Information Officer conducts an annual assessment of the effectiveness of the Information and Personnel Security Program in accordance with ARs 380-5 and 380-67; the Communications Security Program in accordance with AR 380-40 and TB 380-41; the sensitive compartmented information security program in accordance with ARs 380-28 and 380-67 and DOD 5105.21-M-1; and the Foreign Disclosure Program in accordance with AR 380-10.

e. DCS, G-8. Conducts Resource Management AVs, as required.

D-5. Subordinate Organizations

a. CDR, CIMT.

(1) Serves as the senior representative for IMT Quick Look visits.

(2) Coordinates and executes all IMT Quick Looks in accordance with the principles outlined in AR 1-201.

(3) Finalizes reports, follow-up activities, and disseminates results, take-a-ways, and lessons learned to the visited command only.

(4) Coordinates external Quick Looks during the Quarterly OIP work group.

(5) CDR, CIMT conducts announced, regularly-scheduled IMT Quick Looks at all installations conducting Basic Combat Training (BCT), Advanced Individual Training (AIT), Interservice Training Review Organization sites, One-Station Unit Training (OSUT) and Basic Officer Leader Course (BOLC). These assistance visits enable the CDR, CIMT to represent CG, TRADOC, as defined in TR 10-5, TR 10-5-8, TR 350-6, and TR 350-36, to ensure proper training; and the care of Soldiers, Cadre and their families; is being executed in accordance with applicable regulations and guidance in IMT. The intent of the Quick Look is to assist commanders and their installation’s efforts in conducting IMT, review execution of mission to standard, and assist commanders in addressing issues and problem areas by providing actionable information and objective feedback to decision makers. Planning begins 90 days before a scheduled visit. The installation being visited provides the CDR, CIMT visit coordinator with all read-ahead materials 30 days prior to a Quick Look in accordance with the Quick Look Memorandum of Agreement (MOA). Quick Look visits to the Army Training Centers are
conducted once every 18 months with AIT/BOLC sites being reviewed every 24 month period. Unresolved issues needing higher headquarters assistance are considered "take aways" by the Quick Look team and staffed through the TRADOC staff. The CDR, CIMT determines if any observations / issues should be brought to the attention of CG TRADOC.

(6) Coordinates with TRADOC staff for SME support when required.
   b. The Deputy Commanding General, U.S. Army Reserve. Supports the annual IMT AVs as SME for Army Reserve issues as needed.
   c. The DCG, Army National Guard. Supports the annual IMT AVs as SME for Army National Guard issues as needed.

In Glossary; Section I, Abbreviations, add:

AG  Adjutant General
AIT  advanced individual training
CDR, CIMT Commander, Center for Initial Military Training
CG  Commanding General
CoE  Center of Excellence
CSDP Command Supply Discipline Program
DCS  Deputy Chief of Staff
EO  equal opportunity
EEO  equal employment opportunity
HQ  headquarters
IMT Initial Military Training
IO  intelligence oversight
IRAC Internal Review and Audit Compliance
OPSEC Operations Security
QA  quality assurance
SJA  Staff Judge Advocate
SME  subject matter expert
TEC  TRADOC Enterprise Calendar
TR  TRADOC regulation
TRADOC U.S. Army Training and Doctrine Command

In Glossary, Section II, Terms, add:

Inspections
For the purpose of this supplement, the word “inspections” refers to inspections/visits, accreditations, audits and reviews conducted by TRADOC Staff.

Assist
Defined as a TRADOC organization or staff element at higher headquarters who is directed to provide augmentation or other support to a lead for a function, task, or role. The augmentation or other support includes, but is not limited to, all applicable doctrine, organization, training,
materials, leadership, education, personnel, and facility domains. The organization that adds, complements, or sustains another organization, and is responsible for providing the assistance that a lead organization requires.

**Lead**
Defined as a TRADOC organization or staff element having primary responsibility for a function, task, or role a higher headquarters assigns. Responsibility for the function, task, or role begins upon assignment and ends with completion. The responsibility also includes all aspects of execution and integration of all applicable doctrine, organization, training, materiel, leadership, and education, personnel, and facilities domains. The organization which receives assistance from another organization(s) or staff element(s) is responsible for ensuring that the supporting organization(s) or staff elements(s) understand the assistance required.

**General inspection**
This type of inspection is broad in scope and normally focuses on units. General inspections focus on all aspects of a unit or organization’s activities and functions. This type of inspection tends to be compliance-oriented to determine if the unit or organization is adhering to current policies and regulations. The basic goal of a general inspection is to assess the unit or organization’s ability to accomplish its missions.

**Special inspection**
This type of inspection focuses on a single topic such as a functional area, program, problem, or issue. Special inspections facilitate the systematic approach and are the preferred types of inspections for IGs. The scope of the problem must be narrow and the issue should affect several units or organizations. IGs use this type of inspection to follow leads (cross-walking) and to transfer problems and issues that are beyond the command’s ability to fix to a higher headquarters for correction (handoff).

**Follow-up inspection**
The follow-up inspection may follow either a general or special Inspection. Follow-up inspections look at the effectiveness of corrective actions taken since the last inspection occurred. This type of inspection is also an Army inspection principle that many commanders often neglect. This type of inspection closes the inspection loop and ensures that the time and resources expended in an earlier inspection were put to good measure.