

DEPARTMENT OF THE ARMY
Headquarters, 19th Theater Support Command
Unit #15015
APO AP 96218-5015

19th TSC Regulation
No. 1-201

25 March 2003

Administration
19th TSC Inspection Policy

<p>Supplementation. Issue of further supplements to this regulation by subordinate commands is permitted. If supplements are issued, furnish one copy to Commander, 19th TSC, ATTN: EANC-IG, APO AP, 96218-0171</p>
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1. Purpose. This regulation outlines responsibilities and prescribes policies for planning and conducting inspections in the 19th TSC.

2. Applicability. This regulation applies to all subordinate commands, staff elements and activities assigned to 19th TSC.

3. References.

- a. AR 1-201, Army Inspection Policy, dated 17 June 1993
- b. AR 11-7, Internal Review and Audit Compliance Program, dated 15 June 2001
- c. AR 20-1, Inspector General Activities and Procedures, dated 29 March 2002
- d. Department of the Army, Inspector General, Inspections Guide, dated 29 May 2001.
- e. Eighth US Army Reg 1-201, Eighth US Army Inspection Policy, dated 18 August 1997
- f. 19th TSC Pam 1-201, dated 21 March 2003

4. Responsibilities.

a. Commanders from battalion through 19th TSC will:

- (1) Establish inspection policy for subordinate levels of command consistent with this regulation and review annually to ensure that the frequency, scope and duration of inspections and audits remain appropriate and specific requirements remain valid.
- (2) Establish Organizational Inspection Programs (OIP) and approve OIP schedules that include all inspections and audits conducted by your command and those scheduled by higher headquarters and outside agencies. At a minimum, OIP schedules will provide a 12 month visibility of evaluation activities.
- (3) Conduct an initial Command Inspection (CI) of

subordinate commanders within 90 days after assuming command and a subsequent CI annually.

- (a) Lead and actively participate in CIs.
- (b) Correct problem areas within your ability to fix.
- (c) Elevate problems through command or IG channels that require assistance above your level of command to fix.
- (4) Coordinate all audits, inspections, or external evaluation requirements with the ACofS, G-3.
- (5) Brief your OIP at Quarterly Training Briefs (QTB).
- (6) Provide a summary of all inspections and audits to the 19th TSC within 7 working days of completion.

b. The IG, 19th TSC will:

- (1) Be the proponent for inspection policy within the 19th TSC except those inspections that are pursuant to Article 6, Uniform Code of Military Justice, or inspections or searches conducted IAW Military Rules of Evidence 313, 314 and 315, Manual for Courts-martial, 1984.
- (2) Advise commanders and staff on inspection policy and the effectiveness of their respective OIP.
- (3) Conduct IG inspections and assessments as directed by the Commanding General and IAW the standards outlined in AR 20-1.
- (4) Conduct Intelligence Oversight inspections in accordance with (IAW) AR 20-1.
- (5) Coordinate with the ACofS, G3 for inclusion of the IG Inspection Program as a part of the OIP.
- (6) Teach and train command and staff inspectors in inspection policy, techniques, and planning.
- (7) Maintain records of all 19th TSC inspections and audits for two years.
- (8). Assist the ACofS, G3 and unit S3s with coordination of all external IG inspections.

(9). Forward reports of systemic issues beyond the authority of the 19th TSC to correct, through IG or command channels to the appropriate agency for corrective action.

(10) Report any external IG inspections or assistance visits not included in the OIP update to the ACofS, G-3.

(11) Publish, maintain and review the 19th TSC Reg 1-201, Inspection Policy annually.

c. The ACofS, G3/S3 will:

(1) Provide management and tasking authority of the unit's overall OIP. Coordinate all internal and external inspections with inspecting agencies, subordinate commanders and staff sections to avoid conflict and prevent unnecessary expense and disruption.

(a) Maintain a comprehensive OIP schedule of inspections and audits being conducted at your respective staff level. Include a complete schedule of all internal and external inspections, assistance visits and audits for the next 12 months.

(b) Resolve calendar conflicts concerning any audit, inspection, or evaluation.

(2) Be the proponent of the 19th TSC's CI program.

(a) Provide management of the unit's CI program.

(b) Publish and maintain 19th TSC PAM 1-201, Command Inspection Program.

(c) Include the CI Program as part of the OIP.

(3) Conduct staff inspections IAW the standards outlined in paragraph 3 and appropriate responsibilities in paragraph 4.f.

(4) Annotate inspections and audits on the unit Long Range Planning Calendar.

(5) Provide a summary of all inspections and audits to the 19th TSC within 7 working days of completion.

d. Internal Review will:

(1) Conduct audits IAW the standards outlined in paragraph 3.

(2) Coordinate with the ACofS, G3 for inclusion of Audit Programs as a part of the OIP.

(3) Consolidate audits with other agencies when possible.

(4) Include audits in the unit Long Range Training Calendar.

(5) Correct problem areas within your purview.

(6) Elevate problem areas that require assistance above your staff level through command or IG channels as appropriate.

(7) Assist the ACofS, G3 and unit S3s with coordination of all external audits.

(8) Provide a summary of all inspections and audits to the 19th TSC within 7 working days of completion.

e. ACofS, G6 will reproduce and distribute the 19th TSC Reg 1-201.

f. Staff Primaries will:

(1) Conduct Staff Assistance Visits and inspections as directed by the commander. Design assistance visits to complement other inspection programs.

(2) Use the Root Cause Analysis Model to determine why a finding is done the way it is. Then:

(a) Correct problem areas within your purview;

(b) Elevate problem areas that require assistance above your staff level through command or IG channels as appropriate.

(3) Provide ACofS, G-3 or appropriate S3 a complete schedule of all internal and external inspections, assistance visits and audits.

(4) Coordinate an annual review of inspections required by the regulation(s) for which they are the proponents. Coordinate their functional area inspection requirements with the ACofS, G-3.

(5) Report any inspections, assistance visits or audits not included in the annual OIP update to the ACofS, G-3 or appropriate S3.

(6) Maintain staff assistance data files and continually review policies, checklists, SOPs, and regulations to ensure conformity with Army, Eighth US Army and 19th TSC regulations and policy guidance. As requirements change, provide updates of CI checklists to the ACofS, G-3.

(7) Assist the ACofS, G3 or appropriate S3 with coordination of all external inspections or audits.

(8) Provide a summary of all inspections and audits to the 19th TSC within 7 working days of completion.

g. Inspectors will:

(1) Prepare thoroughly to inspect their respective areas. Inspectors must have a thorough understanding of all applicable regulations, policies, and SOPs.

(2) Identify problems without regard to difficulty of resolution, direct problems to the proper level for action and attention, generates on-the-spot corrections whenever possible, and provide teaching and training to soldiers being inspected.

(3) Provide teaching and training to those service members you are inspecting.

(4) Report to commanders or staff primaries deficiencies involving breaches of integrity, security violations, procurement irregularities or criminality when discovered.

5. GENERAL.

a. Inspections and audits are an integral component of the commander's organizational assessment program. These evaluations provide important input for assessing the operational readiness of units within the 19th TSC. They help identify areas that require reshaping of priorities, plans, and policies while highlighting problem areas that require resolution.

b. All inspections will follow the inspection principles specified in AR 1-201, paragraph 2-2. These principles guide commanders, staff principals, inspectors general, and auditors in the conduct of inspections and audits within the 19th TSC.

c. Inspections and audits will be scheduled within a training management framework and tailored to the organizational structure.

d. Inspections and audits will identify problems without regard to difficulty of resolution, direct problems to the proper level for action and attention, generates on-the-spot corrections whenever possible, and provide teaching and training to soldiers being inspected.

e. All inspection/audit results will be submitted to the 19th TSC IG within 7 working days following the out-brief. The information received will become a matter of IG records and used to identify systemic problems and trends occurring throughout the TSC. The information is not used for adverse actions or to compare units.

f. As with all forms of IG inspections, spreading innovative ideas, teaching, and training are fundamental to ensure success.

g. Commendable performances by individuals or creative/unique programs that enhance readiness are to be recognized and acknowledged in reports.

h. All inspections and audits conducted by the 19th TSC, its subordinate elements, and external agencies are encompassed into a single, well-coordinated, cohesive 19th TSC Organizational Inspection Program (OIP).

6. ORGANIZATIONAL INSPECTION PROGRAM (OIP)

a. The 19th TSC OIP is the Commander's program. The OIP is the commander's management tool to identify, prevent, or eliminate problems while protecting valuable unit training time. Commanders will use the OIP to complement and reinforce other sources of evaluation information such as External Evaluations (EXEVAL) and annual training exercises.

b. Commanders from Battalion level through the 19th TSC level will establish OIPs and maintain an OIP schedule of evaluation activities designed to ensure inspections and audits compliment rather than duplicate each other and minimize disruptions of training and mission activities. The unit OIP schedule will cover, at a minimum, a 12-month period and is updated NLT quarterly. The 19th TSC IG can provide units with OIP training and examples of OIP schedules.

c. The 19th TSC OIP encompasses five components: Command Inspections, Staff

Inspections, Inspector General (IG) Inspections, Internal Audits, and external inspections and audits.

d. The foundation of the OIP is the inspection of Companies by Battalion headquarters, Battalions by Group headquarters, and Groups by the 19th TSC Headquarters.

(1) Battalion Level. Battalion OIPs are the cornerstone of the group and 19th TSC inspection programs. OIPs of higher commands compliment the battalion program. Battalion programs include command inspections by the battalion commander and staff inspections by the battalion staff.

(a) Battalion commanders will add inspections and audits by higher headquarters and other agencies to their OIP.

(b) The battalion OIP will focus on those areas that immediately impact on readiness and reinforce goals and standards.

(c) Battalion should brief their OIP at QTB to assess the impact of inspections and audits on training and mission activities.

(2) Group Level. Group OIPs will consist of command inspections and staff inspections of their subordinate battalion headquarters and staffs and the respective Headquarters and Headquarters Company (HHC) or Detachment (HHD).

(a) Group programs should be flexible and compliment battalion programs in order to reduce the number and frequency of inspections at the battalion level.

(3) TSC Level. The 19th TSC OIP will consist of command, staff, IG inspections, and audits of their subordinate Group headquarters and staffs as well as its respective HHC. The 19th TSC inspection and audit programs should be flexible and compliment Group and Battalion programs in order to reduce the number and frequency of inspections at subordinate unit levels.

7. COMMAND INSPECTIONS.

a. Command Inspections.

(1) Command inspections are formal, tailored to a specific unit, and scheduled in the Long Range Training Calendar.

(2) Inspection activities will include an in-brief, functional inspections, an out-brief, and follow-up procedures.

(3) Commanders of inspecting headquarters must lead and actively participate in an inspection in order for it to be considered a CI. This includes, the in and out briefs as a minimum; however commanders are encourage to participate in functional inspections such as barracks and in-ranks inspections.

(4) The 19th TSC CI program consists of two types of CI: the Initial Command Inspection (ICI) and the

Subsequent Command Inspection (SCI). These differ in two ways.

(a) The ICI is comprehensive and diagnostic in nature and will not be used to measure a new commander's progress since taking command.

(b) The SCI may be tailored and will measure the unit commander's progress since the ICI.

(5) Refer to 19th TSC Pam 1-201 for detailed procedures and functional area checklist for the 19th TSC CI program.

b. Initial Command Inspection. All Group, Battalion, and Company Commanders will receive an ICI within 90 days after assuming command.

(1) The ICI is a comprehensive inspection.

(2) The purpose of ICIs is to obtain an understanding of the overall state of the unit and to assist the new commander in understanding their units' strengths and weaknesses.

(3) Only the inspected commander receives the results of the initial inspection.

(4) The inspected commander and their rater will personally discuss the results of the ICI and use them in setting goals and priorities for the command tenure. This discussion will occur after the ICI has been completed, with appropriate entries made to the OER Support Form. Commanders will not use the results of the initial command inspections to compare units.

c. Subsequent Command Inspection. Each unit will receive an SCI annually.

(1) The annual SCI need not be as comprehensive as the ICI. Subsequent command inspections will concentrate on deployment and METL-related plans and programs.

(2) Tailoring annual SCIs will reflect the inspecting commander's concerns at the time of inspection, as well as resource constraints.

(3) The SCI will enable commanders to measure progress and reinforcement of the goals and standards established during the initial command inspection.

(4) Raters will provide guidance as necessary to help the inspected commander strengthen the unit's performance.

8. STAFF INSPECTIONS.

a. Staff inspections.

(1) Staff inspections are formal, tailored to a specific unit's staff section, scheduled in the Long Range Training Calendar.

(2) Staff inspections normally focus on the respective staff sections functional area and measures administrative efficiency and compliance with established regulatory, policy, and procedural standards. Inspection activities will include an in-brief, functional inspections, an out-brief, and follow-up procedures.

(3) Staff inspections find the root cause of a problem area and eliminate the problems within the commander's ability to correct. If problems require assistance above that level command to fix, the appropriate staff inspectors will pursue that assistance through command or IG channels.

b. Staff inspections should be incorporated into other inspections to reduce the inspection impact on the lower unit level.

9. INSPECTOR GENERAL INSPECTIONS.

a. IG inspections are general in nature with emphasis on systems, functions, and activities of organizations to determine their ability to accomplish their assigned mission.

(1) IG inspections examine systemic problems, issues, or trends, not units.

(2) The IG inspections system is designed to identify substandard performance, determine the magnitude of the deficiency, and seek their root cause.

(3) Once root causes are identified, the IG develops possible solutions and identifies responsibilities for correcting the problems.

(4) The results of IG inspections will not be used to compare units, nor will they be used in personnel efficiency reports or award recommendations. Therefore, commanders should inform the IG of issues that they cannot resolve, so the IG system can pursue them to resolution. Any such issue that needs to leave the 19th TSC will go out in writing either through command or IG technical channels.

b. The 19th TSC IG inspections occur in three forms: Deliberate inspections, Quick Look inspections, and Follow-up inspections.

(1) The Deliberate inspection is formal and scheduled in the Long Range Training Calendar. The purpose of a deliberate inspection is to identify trends or problems across the entire organization and their root causes. Inspection activities will include an in-brief, general inspection on a broad system or policy, out-brief, and follow-up procedures.

(2) The Quick Look Inspection is a special inspection with no or short notice. The Quick Look Inspection is narrow in scope. The Commanding General normally directs a Quick Look inspection when the subject of the inspection is time sensitive or a safety issue. However, Quick Look inspections can be broad in design to enhance compliance with Army Regulations as well as Eighth US Army or 19th TSC policies and procedures.

(3) The Follow-up Inspection focus on correcting deficiencies found in a previous command, staff, IG inspections or audits. The purpose of a follow-up inspection is to ensure recommendations made by a previous inspection have been implemented.

10. AUDITS/REVIEWS.

a. The Internal Audit Program assists commanders and staff in attaining its goals by furnishing information, analyses, appraisals, and recommendations. Internal audit services include audits and consulting reviews. Internal Reviews emphasizes responsive, problem oriented audits and immediate corrective action.

b. The audits occur in three forms: Formal Audits, Follow-up Audits, and Quick Reaction Audits.

(1) The Formal Audit is formal and included in the Long Range Training Calendar. The purpose of a formal audit is to determine whether management policies, practices, procedures, programs and internal controls are adequate in concept and effective application. Audit activities will include an in-brief, functional audit, out-brief, and follow-up procedures.

(2) The Follow-up Audit is formal, scheduled and included in the Long Range Training Calendar. The purpose of the Follow-up audit is to ensure recommendations made by a previous audit have been implemented.

(3) The Quick Reaction Audit is a special audit with no or short notice. The Quick Reaction Audit is narrow in scope and normally directed to enhance the commander's ability to respond immediately to a problem area or internal control weakness.

11. EXTERNAL INSPECTONS.

a. External inspections and audits are directed by DoD, USFK, DA, and Eighth US Army; as well as audits performed by the US Army Audit Agency (AAA), the General Accounting Office (GAO), and other external agencies.

b. The ACofS, G3 is the 19th TSC's initial point of contact for all external inspections and audits. The ACofS, G-3 is responsible for coordinating all external evaluations (including dates, times, and locations) by organizations above the 19th TSC.

Subordinate commanders and staffs will notify the ACofS, G-3 immediately concerning any audit, inspection, or other evaluation that has not been coordinated through the ACofS, G-3.

(c) The ACofS, G3 tasks subordinate units and staff sections to maintain over watch throughout the external evaluation process.

(d) The ACofS, G-3 will resolve calendar conflicts concerning any audit, inspection, or evaluation.

(e) The 19th TSC Chief of Staff will be informed of any external evaluation team that intends to visit 19th TSC units without proper prior coordination.

12. INSPECTOR PREPARATION.

a. All inspectors will prepare to thoroughly inspect their respective areas. Each inspector must have a thorough understanding of all applicable regulations, policies, and SOPs.

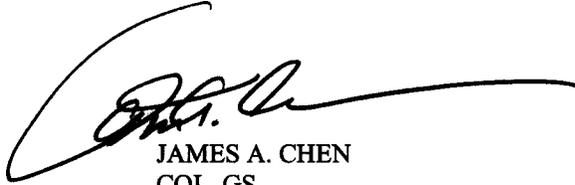
b. New inspectors should orient first on unit policies pertaining to their area, then, as they become familiar with them, study the Group and 19th TSC policies, then Eighth US Army, and DA policies/regulations. This study method will help prevent new inspectors from becoming overwhelmed with what can be stacks of references and checklists.

c. **Root Cause Analysis Model.** The Root Cause Analysis Model assists inspectors in determining why a finding is done the way it is. Refer to appendix B, the "Root Cause Analysis Model", for information on how the model is used.

d. The 19th TSC Inspector General is available and best qualified to train staff & unit inspectors in inspection techniques and inspection planning. For training staff, unit, and IG inspectors, the IG uses "The Inspections Guide," published by the Department of Army Inspector General Agency. This guide is available to all inspectors -- including non-IGs. Individual inspectors, staff principals, and unit commanders should arrange for training directly with the 19th TSC IG.

The proponent of this regulation is Office of the Inspection General, 19th TSC. Users will submit comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) to the Commander, 19th TSC, ATTN: EANC-IG, Unit #15015, APO AP 96218-5015.

FOR THE COMMANDER:



JAMES A. CHEN
COL, GS
Chief of Staff

OFFICIAL:

FRANCISCO A. VIAS
SGM, USA
ACofS, G6 SGM

- 2 Appendices
A. Glossary of Terms
B. Root Cause Analysis Model

DISTRIBUTION: A

Appendix A
Glossary of Terms

Audit

The independent appraisal activity within the Army for the review of financial, accounting, and other operations, as a basis for protective and constructive service to command and management at all levels.

Command inspection

An inspection of an organization conducted by a commander in the chain of command of the inspected activity. The commander/TAG conducting the inspection determines the areas of interest and the scope of inspections, as well as the composition of any inspection team.

Compliance inspection

An inspection designed to determine the status of an organization's adherence to established law, regulations, policies, procedures, and directives.

Follow-up

Action taken to determine whether or not deficiencies found during previous inspection, staff inspection, or audit have been corrected or corrective actions have been implemented.

Inspection

An evaluation that measures performance against a standard and which should identify the cause of any deviation. All inspections start with compliance against a standard. Commanders tailor inspections to their needs.

Organizational inspection program (OIP)

A commander's/TAG's program which integrates and coordinates all inspections, staff inspections visits, and audits within a command or state/territory National Guard. The three major purposes of the program are to reduce disruption of training and other important activities, to reinforce established inspection standards, and to teach and train those found deficient.

Staff inspection

An inspection, other than a command or IG inspection, conducted by staff principals or members responsible for the functional area being inspected.

Systemic inspection

An inspection designed to identify problems or issues, determine the root causes of problems, develop recommended solutions/ improvements, and fix responsibility for the solutions.

**Appendix B
Root Cause Analysis Model**

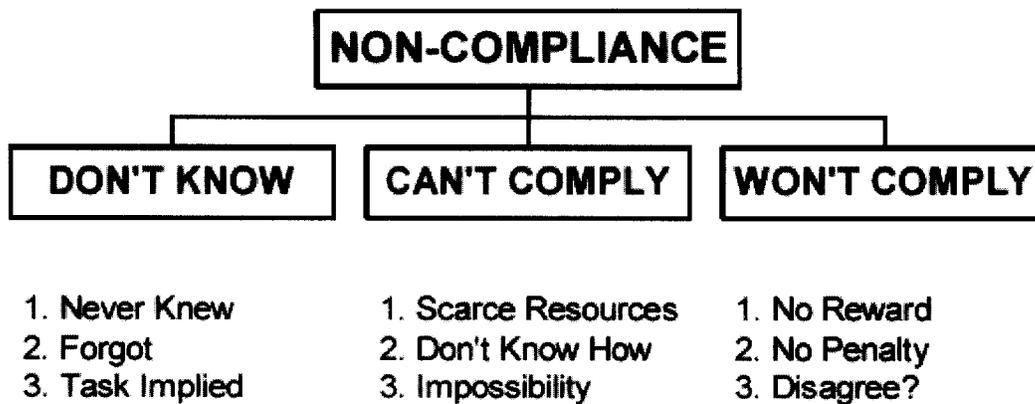


Figure 1

Root Cause Analysis Model

1. **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, observation, 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 non-compliance, 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 the training, resources, and knowledge of the requirement was 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.

2. **Root Cause Analysis Model Flow Chart:** The flow chart shown below at Figure 2 offers a more visual representation of the root cause thought process.

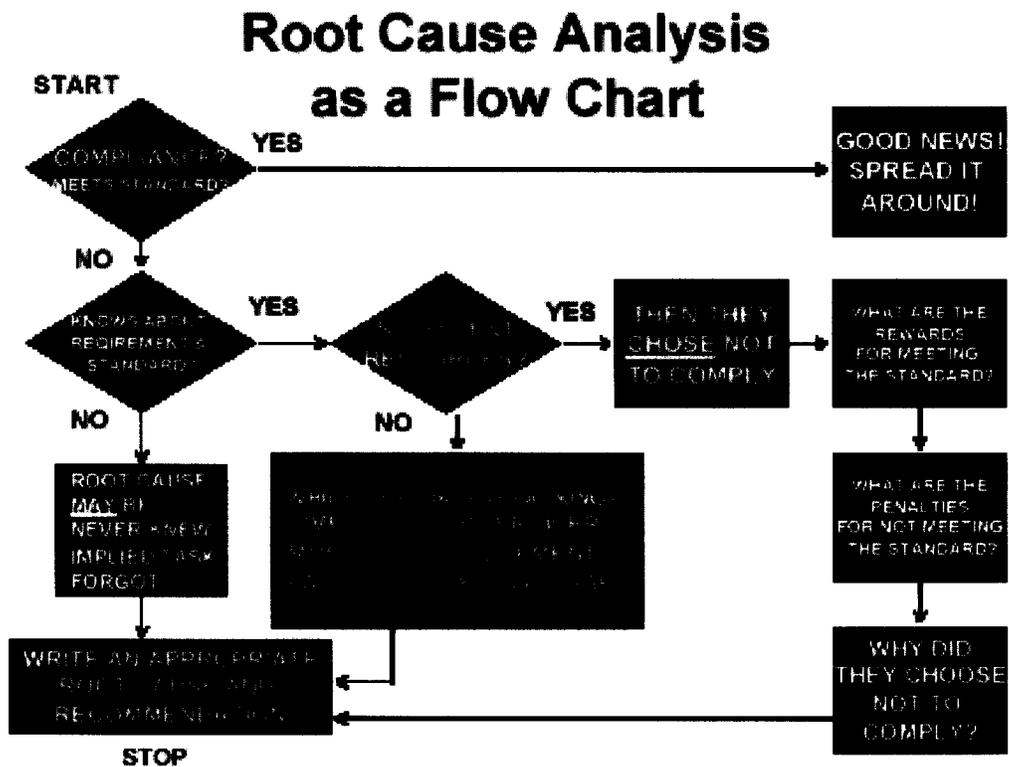


Figure 2

Root Cause Analysis Model Flow Chart