

USAR Regulation 1-201

Administration

Organizational Inspection Program

**Department of the Army
Office of the Chief, Army Reserve
Washington, DC 20310-2400
1 June 2007**

SUMMARY of CHANGE

USAR Reg 1-201
Organizational Inspection Program

This major revision dated 1 June 2007-

- Eliminates the requirement for the US Army Reserve Command (USARC) Commanding General (CG) to resource the US Army Reserve Readiness Command inspection program (para 4a).
- Requires Internal Review to prepare the Annual Statement of Assurance on Management Control Program (para 4d(6)).
- Directs USARC staff directorates to develop standards for the Automated Inspection Program, vice USARC Pam 20-1 (para 4g(4)).
- Directs USARC staff directorates to review and update the Automated Inspection Program at least annually or sooner, if required (para 4g(5)).
- The Automated Inspection Program replaces USARC Pam 20-1 as the common baseline for inspections (para 4h(2)).
- Requires Major Subordinate Command (MSC) through Battalion commanders to conduct initial command inspections (para 4h(7)).
- Eliminates the special requirements for the US Army Reserve Readiness Command.
- Replaces the Command Assistance and Assessment Program (CAAP) with Command Inspections (para 5b(1)).
- Requires commanders with subordinate detachments to determine if initial command inspections are necessary (paras 6d and 6e).
- Requires all command and staff inspections use the Automated Inspection Program to record results (para 6i).
- Requires commanders to review inspection program policies annually (para 6l).
- Lists files required by ARIMS (app B).

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Administration Organizational Inspection Program

For the Commander:

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AR G-2/6

Proponent and exception authority. The proponent of this regulation is the Office of the Inspector General (IG). The proponent has the authority to approve exceptions to this regulation that are consistent with controlling law and regulation.

Army Management Control Process. This regulation contains management control provisions in accordance with AR 11-2, but does not identify key management controls that must be evaluated.

Supplementation. Supplementation of this regulation is prohibited without prior approval from the Office of the IG (ARRC-IG), US Army Reserve Command, 1401 Deshler Street SW, Fort McPherson, GA 30330-2000.

Suggested improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to Office of the IG (ARRC-IGI), US Army Reserve Command, 1401 Deshler Street SW, Fort McPherson, GA 30330-2000.

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History. This publication is a major revision. It is the first printing as USAR Reg 1-201. It was originally published as USARC Reg 1-3, dated 1 Dec 93, and revised as USARC Reg 1-201, dated 1 Apr 98 and 1 Nov 99.

Summary. This regulation prescribes policies and responsibilities for conducting inspections, assistance visits, audits, or reviews of units assigned to the US Army Reserve (USAR).

Applicability. This regulation applies to all units under the Command and Control of the US Army Reserve Command (USARC) Commanding General. During mobilization, the proponent may modify chapters and policies contained in this regulation.

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Glossary

1. Purpose

This regulation prescribes responsibilities and policies for planning and conducting inspections and staff visits within the USARC. It outlines the Organizational Inspection Program (OIP) of the USARC. Inspections, including staff visits, are a Command responsibility and the OIP is the Commander's program. It is a single, cohesive program intended to coordinate and encompass all inspections, visits, and audits conducted by the command and its subordinate elements, as well as those scheduled by outside agencies. Commanders will use the OIP to complement and reinforce other sources of evaluation information; e.g., Training Assessment Model (TAM), Army Training Evaluation Program (ARTEP), Field Training Exercise (FTX), Staff Assistance Visits (SAV), US Army Audit Agency Audits (USAAA), Yearly Training Briefs (YTB), Battle Focus Readiness Reviews (BFRR), and all other programs a commander may have in place to assess his unit.

2. References

Required and related publications are listed in appendix A.

3. Explanation of abbreviations

Abbreviations used in this regulation are explained in the glossary.

4. Responsibilities

- a.* The USARC Commanding General (CG) will—
 - (1) Establish the priorities of the OIP.
 - (2) Resource the USARC staff inspection programs.
 - (3) Approve the USARC IG inspection plan.
- b.* The USARC Deputy Commanding General will—
 - (1) Serve as the OIP Director for the Command.
 - (2) Direct the staff to conduct inspections based on the Commander's intent.
 - (3) Approve the annual inspection plan of the USARC staff.
- c.* The AR G-3 will—
 - (1) Develop and publish the annual inspection program depicting all internal and external inspections/visits/audits to be conducted.
 - (2) Maintain the consolidated schedule of inspections and publish quarterly updates.
 - (3) Provide required Organizational Compliance Evaluation Program (OCEP) Summary Reports and Cover Memoranda to the Continental United States Armies (CONUSAs). The CONUSAs provide a Summary Report to Forces Command (FORSCOM).
 - (4) Prepare and forward a notification letter with the Deputy Commanding General's signature to the commander of the MSC scheduled for a command inspection. The notification will include inspection topics and will identify the members of the inspection team.
 - (5) Task the directorates to provide a recommended annual inspection plan and staff assistance visit plan for the next 2 fiscal years to the AR G-3, not later than the first work day of March each year.
- d.* The USAR Internal Review and Management Control Process (IR&MCP) Office will—
 - (1) Be the Command's single focal point for audits and audit guidance.
 - (2) Keep the Commander and G-3 informed of external audit agency activity.
 - (3) Maintain the USARC 5-Year Management Control Plan.
 - (4) Provide the AR G-3, ATTN: ARRC-OPO-P, the required management control evaluations for inclusion in the annual inspection plan.
 - (5) Review inspection tools developed by USARC staff agencies to evaluate adequacy and coverage of key management controls.
 - (6) Prepare the Annual Statement of Assurance on MCP for the OCAR and submit, upon approval, to the Secretary of The Army, Financial Management and Control [ASA(FM&C)].
- e.* The USARC IG will—
 - (1) Be the USARC proponent for inspection policy.
 - (2) Be the USARC functional proponent for the Automated Inspection Program.
 - (3) Propose the IG inspection program to the CAR/USARC CG.
 - (4) Advise commanders on inspection techniques and, upon request, teach and train USARC Headquarters staff and inspection team members on inspection procedures and principles.
 - (5) Provide IG inspections and notification of external IG inspections to the USARC Command Group and AR G-3.
- f.* The AR G-2/G-6 will—
 - (1) Support the automation of a standard inspection tool.
 - (2) Assist the AR G-3 in automation of inspection schedules.
- g.* All USARC staff directorates will—
 - (1) Conduct inspections and SAVs of subordinate MSC staff counterparts as directed.

- (2) Identify required inspections during the planning cycle.
- (3) Nominate areas to be inspected for command and staff inspections or visits.
- (4) Develop standards to be included in the new Automated Inspection Program.
- (5) Review and update the Automated Inspection Program as required.
- (6) Provide information to the USARC Command Group and AR G-3 on proposed/scheduled inspections, audits, evaluations, or visits from external agencies.
- (7) Use inspections and assistance visits as alternative methods to complete required management control evaluations on 5-year management control plans and to report management control weaknesses, in accordance with AR 11-2. Collect data during inspections and staff visits to assess key areas on the 5-Year Management Control Plan. Provide an assessment to IR of any material weaknesses identified through the staff inspection process.
- (8) Evaluate data generated from inspections and staff visits for systemic issues that require action by staff agencies above the MSC level for resolution.

h. Commanders, Major Subordinate Commands (MSCs) through Battalion will—

- (1) Establish local OIPs and publish policies that incorporate staff assistance visits, provide for maximum consolidation of all inspections and assistance visits, and apply the principals contained in AR 1-201.
- (2) Use the USARC Automated Inspection Program as the common baseline for all inspections and staff visits.
- (3) Review USARC Automated Inspection Program annually and provide recommended changes to the staff proponent responsible for the subarea.
- (4) Monitor all inspections and staff visits conducted within their command (internal and external) and ensure no more than one Multiple Unit Training Assembly 4 (MUTA-4) per year is consumed by inspections and staff visits.
- (5) Designate a point of contact for the OIP.
- (6) Use inspections and staff visits as alternative methods to complete required management control evaluations on 5-year management control plans and to report management control weaknesses, in accordance with AR 11-2.
- (7) Conduct an initial command inspection (ICI) for each newly assigned company commander within 180 days of assumption of command. This inspection will identify unit strengths and weaknesses, and assist in developing performance objectives during the new commander's tenure in command.
- (8) Commanders with subordinate detachments, hospital commanders, and division (institutional training) (DIV(IT)) commanders must determine if initial command inspections are necessary. Issues to consider include whether or not the unit would benefit from a comprehensive compliance-oriented inspection and whether or not the command has the resources necessary to effect corrective actions.

5. Inspections and assistance visits

a. An inspection is an evaluation that measures performance against a standard, identifies the cause of any deviation from that standard, and recommends corrective action as necessary or required. All inspections start with compliance to a standard. Commanders should tailor inspections to meet their needs. AR 1-201 outlines responsibilities and prescribes policies for planning and conducting inspections in Army organizations. The USARC Automated Inspection Program establishes a common baseline from which to evaluate performance, and provide a means for commanders to analyze trends within their command.

b. The USARC OIP is comprised of the following four categories of inspections or assistance visits:

- (1) **Command Inspections.** Led by the Commander, this is an inspection conducted by multiple staff principals or members responsible for the functional areas being inspected. These command inspections are designed to assess performance.
- (2) **Staff Inspections.** Led by the staff director or special staff, these inspections are conducted by staff principals or members responsible for the functional area being inspected. Examples of independent staff inspections include safety, physical security, the Command Supply Discipline Program, records management, and official mail inspections.
- (3) **Inspector General Inspections.** AR 20-1 governs the development and conduct of IG inspections. Inspectors General may focus on units, functional areas, or both. Inspector General inspections identify problems, determine root causes, pursue systemic issues, teach and train, and identify responsibility for corrective action.
- (4) **Staff Assistance Visits.** There are some staff elements that have requirements to visit subordinate commands independent of the staff inspection process. The purposes of these visits are to provide assistance and to teach and train. The focus of these visits should be to assist subordinate staff sections and units to meet standards.

c. All commanders below the USARC level will develop an OIP that coordinates all inspection and assistance activity into a single, cohesive program.

- (1) At a minimum, commanders will establish an inspection policy and maintain a consolidated schedule of all inspections and staff visits of their subordinate units. All commanders will comply with the policies established in this regulation.
- (2) Commanders will conduct an ICI of each direct reporting company. Their inspection policy will address inspection requirements of direct reporting detachments, hospitals, and elements of the training divisions. Commanders at each level will determine when ICIs are appropriate for these unique units.

(3) Commanders will ensure that inspections and staff visits are conducted at the lowest echelon technically qualified to conduct the inspection or staff visit and teach and train personnel standing the inspection. Emphasis should be placed on ensuring the battalion or lowest echelon of unique commands is the basic building block of the command's OIP.

(4) Commanders will review and accept the results of higher as well as subordinate command and staff inspections.

(5) Higher headquarters inspections should complement the Battalion or lowest echelon inspection program, not cause redundancy by reinspecting the same programs. Brigade and Group OIPs should consist of compliance inspections of the headquarters and headquarters company/headquarters and headquarters detachment (HHC/HHD) programs and assessments of the effectiveness of battalion staff functions and their ability to monitor and assist subordinate companies and detachments.

6. Inspection policies

The following policies apply to all inspections within the USARC:

a. Inspection programs must exist at all levels from the USARC Headquarters to Battalions. Commanders, principal staff officers, full-time staff, and IGs must pay particular attention to time-distance factors and the compressed training time available when establishing inspection policies, procedures, and schedules. They must also make every effort to reduce detractors that consume valuable time that could be devoted to mission essential task list (METL) training.

b. Inspections are a command responsibility. This responsibility encompasses all inspections conducted by this Command and its subordinate headquarters. Commanders will be present for all Command Inspections and the principal staff officers at each headquarters will attempt to attend portions of staff inspections or they should not be conducted.

c. The Battalion is the basic building block of the OIP, and higher headquarters inspections must complement the Battalion commander's inspection program. At a minimum, an ICI will be conducted within 180 days of a new commander's assumption of command. The commander of the inspecting headquarters must be present for some portion of the inspection for the inspection to be a command inspection.

d. Commanders with subordinate detachments must determine if ICIs are necessary at the detachment level. Issues to consider include whether or not the detachment commander would benefit from a comprehensive compliance-oriented inspection, and whether or not the detachment has the resources necessary to effect corrective actions.

e. Commanders of medical units (hospitals, in particular) must determine the necessity for ICIs of the subordinate Hospital Unit Base (HUB), Hospital Unit Surgical (HUS), and subordinate detachments. The determination to inspect, and scope of inspections should be based on the benefits HUB, HUS, and detachment commanders will gain from the inspection and resources required to correct noted deficiencies.

f. Commanders of DIV(IT)s will determine the level at which ICIs are required, based on the unique structure of these organizations. Issues to consider are the headquarters/agency responsible for records management and administrative activities and unique programs required to maintain drill sergeant and instructor certification.

g. The Commander of the inspecting activity determines the category of the inspection, its objectives, the method for achieving the inspection objectives, the composition of the inspection team, and the method for reporting on the inspection.

h. Commanders at all levels must review previous inspection reports and staff assistance trip reports to determine areas to inspect. Commanders should accept the inspection results of higher, subordinate, and external evaluators in lieu of inundating the inspecting unit with redundant inspections. An effective OIP consolidates all inspection activity into a single cohesive program that provides the commander maximum time to train on his METL tasks.

i. All command and staff inspections of subordinate units will be recorded using USARC Automated Inspection Program. This program ensures units are inspected to identical standards. They also provide each higher headquarters the ability to analyze findings to develop trends within their command.

j. The inspecting agency will prepare a report of findings, recommended corrective actions, and the person/agency required to correct noted deficiencies. Prior to departure, the inspecting agency will coordinate with the inspected agency and will instruct them to take the necessary corrective actions.

k. The inspecting agencies will keep to a minimum the requirement for written responses to inspections. Commanders at all levels must weigh the anticipated benefit of formal responses against the effort associated with its preparation.

l. Inspection program policies will be reviewed annually to ensure that the frequency, scope, and duration of inspections remain appropriate. Emphasis should be placed on reducing inspections to a manageable level and providing staff assistance to increase each unit's ability to mobilize and deploy.

7. Planning timelines

Prior planning of inspections and assistance visits is necessary to ensure adequate time management and notification to subordinate commands. The planning timelines below serve this purpose and take into consideration known reporting requirements and the training management cycle.

a. Annual inspection plans from the USARC coordinating and special staff are due to AR G-3 not later than the first work day of March each year. The plan will be for the succeeding 2 fiscal years.

b. The AR G-3 will consolidate, gain approval from the USARC DCG, and publish the annual schedule not later than the last working day of March each year.

c. The AR G-3 will publish quarterly updates to the planned inspections in the middle month of each quarter. The AR G-3 will review and approve or disapprove (on a case-by-case basis) any inspection, audit, or assistance visit not on the annual plan. Coordinating and special staff agencies requesting additions to their annual inspection and visit schedules will submit requests through AR G-3 to the DCG for approval.

8. Recordkeeping requirements

As required by AR 25-400-2, the recordkeeping requirements created by this regulation are listed in appendix B.

Appendix A References

Section I Required Publications

AR 1-201

Army Inspection Policy (Cited in para 4h(1) and 5a.)

AR 11-2

Management Control (Cited in para 4g(7) and 4h(6).)

Section II Related Publications

AR 5-9

Area Support Responsibilities

AR 11-1

Command Logistics Review Program (CLRP)

AR 11-7

Internal Review and Audit Compliance Program

AR 20-1

Inspector General Activities and Procedures

AR 25-1

Army Knowledge and Information Technology

AR 25-400-2

The Army Records Information Management System (ARIMS)

AR 36-2

Audit Reports and Followup

AR 36-5

Auditing Service in the Department of the Army

AR 95-1

Flight Regulations

AR 380.40

Policy for Safeguarding and Controlling Communications Security (COMSEC) Materiel

AR 380.5

Department of the Army Information Security Program

AR 380.40

Policy for Safeguarding and Controlling Communications Security (COMSEC) Materiel

AR 385.10

Army Safety Program

AR 870.5

Military History: Responsibilities, Policies, and Procedures

FORSCOM/ARNG Reg 350.2

Reserve Component Training

FM 7-0

Training the Force

Appendix B Recordkeeping Requirements

B-1. Requirements

This regulation requires the creation, maintenance, and use of the following specific records.

a. K (Keep) Records.

RN: 1-201a, Inspection, survey, and staff visit coordination files - Office performing survey.

RN: 1-201b2, Command inspection program (DA and MACOM headquarters) - Office performing inspection:
Information accumulated in staff offices, by members of the team.

RN: 1-201b3, Command inspection program (DA and MACOM headquarters) - Office inspected

RN: 1-201c, Command inspection program (SUBMACOM and below) - Office performing inspection

RN: 1-201d, Staff visits - Office conducting visit

b. T (Transfer) Records.

RN: 1-201b1, Command inspection program (DA and MACOM headquarters) 0 Office performing inspection:
Inspection report

B-2. Detailed record information

Detailed information about the above records is located on the RRS-A module of ARIMS located at www.arims.army.mil.

Glossary

Section I Abbreviations

AR

Army Regulation/Army Reserve

ARTEP

Army Training Evaluation Program

FORSCOM

Forces Command

FTX

field training exercise

HHC

headquarters and headquarters company

HHD

headquarters and headquarters detachment

ICI

initial command inspection

IG

Inspector General

IR

Internal Review

METL

mission-essential task list

MSC

major subordinate command

OIP

Organizational Inspection Program

SAV

staff assistance visit

YTB

yearly training brief

USAAA

United States Army Audit Agency

USAR

United States Army Reserve

USARC

United States Army Reserve Command

Section II

Terms

This section contains no entries.

Section III
Special Abbreviations and Terms

BFRR

Battle Focus Readiness Review

HUB

Hospital Unit Base

HUS

Hospital Unit Surgical

OCEP

Organizational Compliance Evaluation Program

TAM

Training Assessment Model