

DEPARTMENT OF THE ARMY  
U.S. ARMY GARRISON, FORT BELVOIR  
Fort Belvoir, VA 22060-5928

Fort Belvoir Regulation 1-201

06 February 2004

Administration  
ORGANIZATIONAL INSPECTION PROGRAM

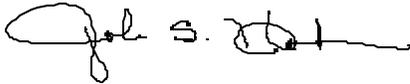
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**History.** This regulation was last published 16 Feb 00.

**Summary.** This is an updated regulation. It prescribes the policies, procedures and responsibilities for the Organizational Inspection Program at Fort Belvoir.

**Applicability.** This regulation applies to all base operations, activities, and subordinate units of Fort Belvoir.

**Suggested Improvements.** The proponent of this regulation is the Office of the Inspector General, U.S. Army Garrison Fort Belvoir. Users should send comments and suggested improvements on DA Form 2028, Recommended Changes to Publications and Blank Forms, to Inspector General, USAGFB, 6015 5th Street, Suite 1, Fort Belvoir, VA 22060-5590.

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\* This regulation supersedes Fort Belvoir Regulation 1-201, dated 16 February 2000.

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**1. REFERENCES .**

- a. AR 1-201, Army Inspection Policy, (17 May 1993).
- b. AR 11-2, Management Control, (1 August 1994).
- c. AR 20-1, Inspector General Activities and Procedures, (29 March 2002).
- d. FM 25-5, Battle Focused Training, (30 September 1990).
- e. FM 101-5, Staff Organization and Operations, (31 May 1997).
- f. Department of the Army, United States Army Inspector General Agency (DAIG-TR), The Inspections Guide, October 2002.

**2. PURPOSE.**

Prescribe the procedures for the conduct of the Fort Belvoir Organizational Inspection Program (OIP).

**3. OBJECTIVES .**

- a. All Inspections should:
  - (1) Be an integral component of an Organizational Assessment Program (OAP)
  - (2) Provide feedback, which can directly affect and improve garrison operations.
  - (3) Begin with the elements of compliance.

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(4) Identify systemic issues, which can reshape priorities, plans, and policies.

b. The OIP will be:

(1) The tool for coordination of all Fort Belvoir internal and external inspections.

(2) The document to eliminate duplicate inspection efforts.

(3) Developed, written, and updated by the IG.

(4) Coordinated and managed by the Director of Plans, Operations, and Security (DPOS).

#### **4. GENERAL.**

a. The Fort Belvoir OIP consists of all internal and external command, staff, and IG inspections, staff assistance visits, and audits.

b. All organizations and directorates that directly report to the Fort Belvoir Garrison Commander are subject to inspection in accordance with this OIP and the references.

c. All inspections will be conducted IAW the inspection principles outlined in AR 1-201 and The Inspections Guide.

d. On-the-spot corrections during the conduct of any inspection should be made whenever possible and annotated in reports as appropriate.

e. Commendable performances by individuals, or creative or unique enhancement programs, are to be recognized and acknowledged in reports.

f. Inspection reports will adhere to the format at Annex B. Time frames for submission of reports, or inspection results' briefings, will not be required to adhere to a prescribed schedule.

Each inspection will establish its timelines set by the office that directed the inspection. The DPOS will serve as the repository for all command and staff inspection reports.

g. An inspector-training course will be recommended for all inspectors. In that course, Inspection Fundamentals, paragraph 6 below, will be taught in specific detail.

h. Inspections can be conducted at any time based upon needs.

i. Information gathered from any inspection or staff assistance visit can be provided to the Garrison Commander.

#### **5. ANNUAL INSPECTION PLAN (AIP).**

a. A plan for all scheduled inspections will be submitted to the Garrison Commander (GC) NLT 1 July for the subsequent fiscal year (FY). The DPOS will make that submission based upon a compendium of concerns from senior Army leadership to include the Installation Management Agency (IMA), Northeast Region Office (NERO), Senior Mission Commander (SMC), Partner/Tenant units, garrison, directorates, or documented trend data that could indicate existing or potential systemic weaknesses. All garrison organizations and directorates will provide input to this plan.

b. A copy of the plan will be forwarded to NERO and the SMC. A cover memorandum to the AIP will request acceptance of Fort Belvoir's schedule. Any external agency's unscheduled inspection, visit, or audit, with less than 30 days prior notice, will be considered unacceptable.

#### **6. INSPECTION FUNDAMENTALS.**

a. Inspection Categories: Command, Staff, and IG

b. Inspection Types: General, Special, Follow-Up, Audits, and Staff Assistance Visits

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- c. Inspection Methods: Compliance, Systemic
- d. Inspection Notifications: Internal Inspections may be announced or unannounced
- e. Inspection Rules: Clearly stated prior to inspection
- f. Inspection Topic: Clearly stated, normally focused on high pay off issues
- g. Inspection Phases: Pre-inspection, execution, post inspection
- h. Inspection Scope: 2/3 or 70% rule for satisfactory rating; 90% commendable
- i. Inspection Focus: Example size 10-20%, randomly selected
- j. Inspection Standard: If no standard exists, no inspection is required
- k. Inspection Period: Timely, relevant, and completed within a short period of time
- l. Inspection Checklist: The Fort Belvoir Operations and Execution Workbook
- m. Inspection History: Previous inspection reports provide certain groundwork.
- n. Inspection Techniques: Briefings, protocols, and attitudes.

## **7. COMMAND INSPECTIONS.**

a. General. Command Inspections will consist of Initial Command Inspections (ICI) and Subsequent Command Inspections (SCI). The ICI will be conducted within 90 days of acceptance of command or duties as a director.

b. Initial Command Inspections. (ICI)

(1) Design. The ICI is designed to provide a snapshot of the organizational status at the time that the commander or director assumes their duties. It will set the focus for the inductee and relate to evaluation support forms and appraisal worksheets. The results of the ICI will not adversely affect the new commander or director unless the ICI is conducted outside the 90-day window, without an approved delay.

(2) Exceptions. The GC must approve exceptions to the 90-day schedule 10 duty days prior to ICI commencement.

(3) Battalion/Company ICI. This is a Command Inspection. The next higher commander must be present for this inspection to qualify as an ICI. It will be conducted within 90 days of a change of command and will include a 100% inventory of all organizational property limited to the inspected units' level.

(a) The GC must preside over the HQ Bn ICI. The inspection will focus on battalion level/staff functions. The GC can appropriately tailor the inspection procedures and team complement.

(b) The HQ Bn Commander will preside over the ICIs for each subordinate company. The HQ Bn Commander can appropriately tailor the inspection procedures and team complement.

(4) Directorate ICI. Will be administered within 90 days after the selected Director assumes duties in that capacity. This will include a 100% inventory of all directorate property. The Deputy to the Garrison Commander (DGC) must preside over a Directorate ICI. The DGC can appropriately tailor the inspection procedures and team complement.

c. Subsequent Command Inspections. (SCI)

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(1) Subsequent Command Inspections will be conducted only as announced activities. A SCI should be conducted if subordinate commanders have served over three years in the position, or when noticeable command and staff shortfalls have surfaced. This applies to HQ Bn and Directorates.

(2) The SCI focus can be tailored, as needed, by the office that directs the SCI.

#### **8. STAFF INSPECTIONS.**

a. Normally will focus on a single function, or in multiple division directorates, the focus might center on a specific division's functions.

b. Can be conducted by the staff director or staff subordinate Subject Matter Experts (SME). Augmentees from external organizations may be used on an inspection team.

c. May serve as follow-up to previous command, staff or IG inspections.

d. Must be distinctly different from a Staff Assistance Visit (SAV).

#### **9. INSPECTOR GENERAL INSPECTIONS. (IG) The IG will:**

a. Serve as the inspection expert within the garrison command, and maintain the responsibility to conduct inspector-training sessions for all organizations and directorates.

b. Conduct inspections in accordance with AR 1-201, AR 20-1, DAIG Inspections Guide, and the Fort Belvoir Operations and Execution Workbook.

c. Receive a written directive from the GC to conduct any inspection. Time sensitive inspection topics, not scheduled by the Annual Inspection Plan, will be coordinated with the GC prior to a written directive.

d. Pursue issues or problem areas to the root cause and attempt resolution at the proponent level.

**10. STAFF ASSISTANCE VISITS. (SAV) Organization and directorate staffs should:**

a. Maintain day-to-day involvement and coordination with senior, lateral, and subordinate agencies, offices, or individuals.

b. Remain cognizant of existing or potential shortfalls based upon day-to-day actions.

c. Plan and conduct assistance visits to help or train in any area determined as less-than satisfactory.

d. Not use a SAV as an evaluation tool, but use the inspection standards from The Fort Belvoir Operations and Execution Workbook as a basis for the visit.

e. Not generate an inspection report.

f. Complete a SAV report.

**11. RESPONSIBILITIES.**

a. The DPOS will:

(1) Coordinate, prepare and brief the Annual Inspection Plan (AIP).

(2) Annotate all scheduled inspections on the garrison Master Events Calendar, and Annual Training Schedule.

(3) Ensure schedule dissemination is made to appropriate directorates.

(4) Attempt to resolve or eliminate any conflicts and all duplications.

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(5) Maintain an up-to-date list of qualified Subject Matter Experts (SMEs)

b. Garrison Staff Elements will:

(1) Identify SMEs to serve as inspectors.

(2) Ensure DPOS is provided with an up-to-date list of qualified SMEs

(3) Conduct staff inspections for any issues appropriate to their areas of responsibility.

(4) Provide inspection and SAV schedules to DPOS as part of the AIP. This should include any self-requested external inspections or SAVs.

(5) Ensure their respective staffs have an adequate number of trained inspectors.

c. Internal Review and Audit Compliance (IRAC) will, as a part of its annual audit plan, conduct an annual review of all inspection reports maintained with the DPOS.

d. Headquarters Battalion will:

(1) Develop a Bn level OIP that will support the Fort Belvoir OIP.

(2) Maintain an inherent inspection and SAV schedule that meets the needs of the HQ Bn Commander. SCIs can be prescribed at an interval that best supports the HQ Bn diverse missions.

(3) Provide inspection and SAV schedules to DPOS as part of the AIP. This should include any self-requested external inspections or SAVs.

## **12. INSPECTOR PREPARATION.**

a. Generally, Commanders/Directors/Managers should consider choosing the most qualified and experienced SME from their respective staffs.

The SME represents the Commander/Director/Manager and their organization. During an inspection, SME will conduct a fair amount of teaching and training to better the inspected unit and potentially help correct on-the-spot deficiencies.

b. Inspectors are SME who will:

(1) Conduct research on current, applicable DoD and Army regulations, directives, and policies to gain a thorough understanding of standards.

(2) Create inspection checklists for use during all inspections.

(3) Be prepared to thoroughly inspect their respective areas of responsibility.

(4) Serve as an asset to organizations or individuals in preparation for a pending inspection.

c. Commanders/Directors/Managers will ensure their inspectors are prepared for their tasks.

### **13. ANNOUNCED and UNANNOUNCED INSPECTIONS.**

a. Preparation time. Preparations for any inspection can consume extensive hours of lost productivity from normal duties. That factor should be considered when planning any inspection.

b. Announced. All ICIs and SCIs will be announced and incorporated into the training schedule. All announced inspections should provide 45 days notice to the inspected organization.

c. Unannounced. Unannounced inspections can serve an immense benefit with regard to day-to-day operations. They eliminate extensive preparatory time that can be a distracter. Unannounced inspections are a viable option and should be considered. The GC must approve any unannounced inspection.

### **14. MANAGEMENT CONTROLS.**

a. Intent. The prescribed intent of AR 11-2 is that all commanders and managers establish and maintain effective oversight of their responsible areas. They should exercise proper controls, make accurate risk assessments, identify weaknesses, and implement efficient actions to correct weaknesses. Those are inherent responsibilities of any leadership position.

b. Checklist. The development of a sound Management Control Evaluation Checklist will serve as a guide for each organization's essential task list.

**15. INTEGRATION and COORDINATION.**

a. Program oversight. The Fort Belvoir DPOS is responsible for coordinating all inspections and assistance visits involving Forts Belvoir. That responsibility includes external and internal inspections and visits.

b. Organizations. It is the responsibility of each directorate or organization to inform the Fort Belvoir DPOS of pending inspections or assistance visits.

c. Inspection Directive. All inspections will have an approved Inspection Directive. That directive must be signed by the GC or, in the GC's absence, the Acting Commander. The Inspection Directive must be presented upon the inspection team's arrival at the inspection site.

**16. INFORMATION GATHERING.**

There are three basic methods implemented to gather information in the conduct of an inspection. It can be worthwhile to identify any or all of these in an inspection directive, if applicable, or necessary. The three methods are:

a. Document Review. This method will provide historical data.

b. Interview. This can be in a single or through group sessions.

c. Observation. People or groups of people performing a task or activity.

**17. ROOT CAUSE ANALYSIS.**

Virtually all inspections and staff visits should focus on the systemic or root cause for any deficiencies. The root cause is the underlying reason why something happens or does not happen. The Root Cause Analysis model is a useful tool to help determine any compliance shortfall. Generally, noncompliance shortfalls fall within one or more of three areas. IAW the U. S. Army Inspector General Agency, The Inspections Guide (reference 1., f.), the 3 reasons for non-compliance are:

a. Don't Know. Lack of knowledge that an action was required; forgot; task implied vs. lack of experience.

b. Can't Comply. Resources do not exist; lack of know-how to complete an action; impossible to comply.

c. Won't Comply. Selective obedience to a required action (no reward, no penalty, disagree with requirement.)

**Appendix A**  
**Inspection Directive Memorandum**

**PURPOSE.**

State in general terms why this inspection should be conducted.

Sample: To evaluate the effectiveness and efficiency of the Child Development Centers.

If the inspection is required by regulation, then so state: Per AR X-XXX

**OBJECTIVE.**

Often the objective will involve an evaluation of training, services, resource allocations, or policy and procedures on a specific topical area.

Sample: To evaluate compliance with established standards in the area of child care facilities.

**SCOPE.**

This would address the sample size, and metrics used to determine the level of effectiveness or satisfaction.

Sample: The inspection will entail the operations for Child Care Center #1, with an intended rating of 80% compliance in all categories inspected to attain a satisfactory rating.

**FOCUS.**

This would reflect the method of inspection or visit.

Sample: "Special Inspection, Staff Inspection, Staff Assistance Visit."

**TIME LINES.**

Milestones or benchmarks utilizing a backward planned chronology.

Sample: Final Report completed: \_\_\_\_\_  
Final results to GC: \_\_\_\_\_  
Inspection date (s): \_\_\_\_\_  
Coordination for visit: \_\_\_\_\_  
Notify unit/organization: \_\_\_\_\_  
GC's approved directive: \_\_\_\_\_

Note: Use memorandum format and preface with an action memorandum for Garrison Commander's signature.

**Appendix B**  
**Inspection Report Format**

**General.** This should be short, possibly a one page document, which sets the scene for the findings, and observations as attached. As a general rule, the following paragraphs will be used for a standard format.

**FORMAT**

**Unit/Organization.** \_\_\_\_\_ **Date.** \_\_\_\_\_

**Inspection Topic.** \_\_\_\_\_

**SUMMARY.** Succinctly describe the inspection's purpose. This is identical to that used in the Inspection Directive.

Sample: To evaluate the effectiveness and efficiency of the Child Development Centers in accordance with AR X-XXX.

**FINDINGS.** Summary of the areas inspected and the overall finding. The decision to write a Finding or an Observation is based upon a "go-no-go" or as defined in Inspection Scope. If, for example, 70% represents the standard, then anything found to be less than 70% would be identified with a Finding. An Observation would be developed based upon an area or activity that is on the fringe of becoming Unsatisfactory at the time of the inspection, (Example, 72-74%). This can be a judgment call on the part of the inspection team. Commendable can be a subjective call or if 90% and above of all components were found to be mistake-free.

Sample:	Facilities	Commendable
	Records	Satisfactory
	Emergency Preparedness	Unsatisfactory
	Supplies	Satisfactory

**OBSERVATIONS.** If applicable.

**RECOMMENDATIONS.** Summary of those that comprise the individual Findings.

**ATTACHMENTS.** Copies of documents or data that are pertinent to the inspection, and not for the purpose of a "large report is a better report." Supporting documents can be identified here and further identified as (example) "maintained in Director of Community Activities (DCA) files."

**Appendix C  
Inspection Finding Format**

**Inspection.** \_\_\_\_\_ **Date.** \_\_\_\_\_

**Inspected Unit or  
Organization.** \_\_\_\_\_

**Inspection  
Team.** \_\_\_\_\_

**Finding #** \_\_\_\_\_ **Inspector.** \_\_\_\_\_

**Finding Statement.** A concise statement of the problem.

Sample: Child Development Center #1 has not conducted practice fire drills.

**Standard.** A summary of "how things are supposed to be." That should correlate to the law, regulation, directive or policy, which prescribes a certain action.

Sample: AR X-XXX states that a practice fire drill will be conducted at each Child Development Center on a monthly basis. The results of those drills will be recorded and forwarded to the DCA.

**Results.** A summary of "how things were actually found." This summary, in past tense, should give a type of chronological sequence for the development of the finding. It should reflect facts, in a clear representation of the situation.

Sample: Fire Drill Reports. A review of previous fire drills conducted at Child Development Center #1 lacked completeness with regards to total participants, supervisor, shortfalls, and lessons learned, all prescribed by the AR. Reports for March, April, July, and September were missing.

Sample: Fire Drill Leaders. Three of the four leaders interviewed were not aware of the requirements to conduct monthly fire drills.

**Root Cause.** An accurate assessment detailing the reason why a requirement was unsatisfactory. More than one element can be the result, but normally only one is the most applicable.

Sample: The staff was unaware (Don't Know) of the AR requirements.

**Impact.** An assessment for "worst case scenario" if situation is not rectified.

Sample: Failure to train the staff and ensure successful fire drills are conducted according to the AR, can result in loss of life.

**Recommendation.** Every root cause should have a realistic solution. The solution can be a combination of short and long-term actions, and should be developed for effectiveness and efficiencies. Most important, a definite responsible party or staff agency must be identified to fix the problem. This can entail multiple agencies/staff directorates.

Sample: That the Director, DCA, immediately institute fire drill training for the entire Child Development Services staff, and report the 100% completion to the Garrison Commander within 10 days.

**Appendix D:  
Inspection Observation Format**

**Inspection.**\_\_\_\_\_ **Date.**\_\_\_\_\_

**Inspected Unit or  
Organization.**\_\_\_\_\_

**Inspection  
Team.**\_\_\_\_\_

**Observation #** \_\_\_\_\_ **Inspector.**\_\_\_\_\_

**Observation Statement.** A concise statement of the problem.

**Discussion.** A brief summary of the Standard and the Results encountered during the inspection.

**Root Cause.** Same as with Finding.

**Impact.** Same as in the Findings Example. In this paragraph, a portion of the write up could be expected to identify "if not corrected, future failures could result."

**Recommendation.** It is possible, there may be none given.

