

USAREC Regulation 1-21

Administration

Inspections

**Headquarters
United States Army Recruiting Command
1307 3rd Avenue
Fort Knox, KY 40121-2725
30 March 2012**

UNCLASSIFIED

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*USAREC Regulation 1-21

Effective 30 March 2012

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For the Commander:

HUBERT E. BAGLEY
Colonel, GS
Chief of Staff

Official:

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Assistant Chief of Staff, G-6

History. This regulation revises USAREC Reg 1-21, which is effective 1 April 2008.

Summary. This regulation prescribes the responsibilities and policies for the planning and conduct of inspections in U.S. Army Recruiting Command organizations. It includes policies on command, staff, and inspector general inspections and integration of inspections into a coherent program at

any organizational level. Additional information on inspections appears in AR 1-201 and AR 20-1.

Applicability. This regulation applies to all personnel of the U.S. Army Recruiting Command.

Proponent and exception authority. The proponent of this regulation is the Inspector General. The proponent has the authority to approve exceptions to this regulation that are consistent with controlling law and regulation. Proponent may delegate the approval authority, in writing, to the Deputy Inspector General within the proponent agency.

Army management control process. This regulation contains management con-

trol 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.

Suggested improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to HQ USAREC, ATTN: RCIG-I, 1307 3rd Avenue, Fort Knox, KY 40121-2725.

Distribution. This regulation is available in electronic media only and is intended for command level C.

*This regulation supersedes USAREC Regulation 1-21, dated 24 March 2008.

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Glossary

1. Purpose

To prescribe policies and procedures for the conduct of the U.S. Army Recruiting Command (USAREC) Organizational Inspection Program (OIP).

2. References

For required and related publications and prescribed and referenced forms see appendix A.

3. Explanation of abbreviations and terms

Abbreviations and special terms used in this regulation are explained in the glossary.

4. Responsibilities

- a. The USAREC Inspector General (IG) will:
 - (1) Be the command proponent for inspection policy.
 - (2) Review and approve USAREC level regulatory guidance that mandates any type of inspection.
 - (3) Conduct IG and special inspections in accordance with AR 1-201 and AR 20-1.
 - (4) Upon request, assist brigades and battalions in the implementation of the OIP by observing inspectors to ensure that they are inspecting in accordance with regulatory requirements. In the process, IG inspectors will advise and teach inspection techniques to commanders and their staffs.
 - (5) Schedule IG inspections so that, whenever possible, staff visits and inspections may be planned in conjunction with IG inspections to minimize disruption to the field force and maximize the benefit obtained from a coordinated effort.
 - (6) Review and analyze reports from command inspections, special inspections, and IG inspections to identify systemic problem areas. Recommend proponenty and/or responsibility to correct the systemic problems identified.
 - (7) Incorporate sensing sessions and IG assistance periods during all IG inspections.
 - (8) Following an IG inspection, provide the inspected unit and its higher headquarters with a copy of the IG inspection report within 30 days.
 - (9) Conduct IG inspections of battalions as directed by the Commanding General (CG).
 - (10) Advise the commander on the effectiveness of the OIP throughout the command.
- b. The Deputy Commanding General will:
 - (1) Lead and conduct inspections of brigades if directed by the CG.
 - (2) Produce inspection reports as a result of the inspection that provides the brigade commander an assessment of the organization's strengths and weaknesses, and recommendations and priorities for improving identified deficiencies. Inspectors should provide a written assessment of their inspected area at the conclusion of the inspection to the report point of contact. A final copy of the inspection report will be provided to the USAREC IG.
- c. The Headquarters, U.S. Army Recruiting Command staff, led by the Chief of Staff, will:
 - (1) Monitor their functional areas within subordinate brigades and battalions.
 - (2) Conduct staff assistance visits as directed by the CG.
 - (3) Design assistance visits to complement other inspection programs without duplicating them.
 - (4) Augment IG inspection teams with qualified technical specialists, when requested and within resource limitations, in support of inspections.
 - (5) Provide trained subject matter experts to conduct inspections of brigades.
 - (6) Produce finding reports as a result of staff and command inspections. Inspectors should also provide a written assessment of their inspected areas at the conclusion of each inspection to the report point of contact.
- d. Brigade commanders will:
 - (1) Establish and execute an OIP with command inspections and/or staff assistance visits; type determined at the brigade commander's discretion. Frequency and scope of inspections and/or special assistance visits to each subordinate battalion is determined by the brigade commander.
 - (2) Appoint an OIP coordinator on orders. The OIP coordinator will manage the scheduling of all command and staff inspections and will maintain the inspection reports for the commander.
 - (3) Provide the brigade inspection calendar to the USAREC IG, for incorporation into the USAREC inspection calendar no later than 30 September for the next fiscal year (FY).
 - (4) Where applicable, the brigade OIP must include command inspections of each brigade's headquarters and headquarters company.
 - (5) Following an inspection, provide the inspected unit with a copy of the brigade command inspection report within 30 days. The inspection report should provide the inspected unit commander an assessment of the organization's strengths and weaknesses, and recommendations and priorities for improving identified deficiencies. Inspectors should

provide a written assessment of their inspected area at the conclusion of the inspection to the report point of contact. A final copy of the inspection report will be provided to the USAREC IG.

(6) Ensure that battalion commanders establish a viable OIP, including staff assistance visits and initial command inspections (ICIs) of companies no later than 90 days after the commander's change of command.

e. Battalion commanders will:

(1) Establish and execute an OIP including command inspections and staff assistance visits.

(2) Appoint an OIP coordinator on orders. The OIP coordinator will manage the scheduling of all command and staff inspections and will maintain the inspection reports for the commander.

(3) Conduct an ICI for each new company commander within 90 days after their change of command.

(4) Ensure that all subordinate commanders and key staff members understand the processes of inspection and followup, and the importance of these activities in the enforcement of performance standards. All staff inspectors or visitors, except recruiter trainers, to companies and stations, must complete an inspection of the facility in their area of expertise and document their findings on USAREC Form 1117 (Recruiting Inspection Log).

(5) Conduct subsequent command inspections of companies within 365 days of ICIs.

(6) Following an inspection, provide the inspected unit with a copy of the battalion command inspection report within 30 days. The inspection report should provide the inspected unit commander an assessment of the organization's strengths and weaknesses, and recommendations and priorities for improving identified deficiencies. Inspectors should provide a written assessment of their inspected area at the conclusion of the inspection to the report point of contact.

(7) Develop and publish an inspection schedule annually based upon change of command dates and previous inspection dates.

(8) Ensure that USAREC Form 1117 (fig B-1) is maintained in each company and station, and that the form is used to record all inspections of those facilities.

f. Company commanders will:

(1) Ensure that USAREC Form 1117 is maintained in each station. This form is used to record all inspections of those facilities. USAREC Form 1117 will be maintained in a three-ring binder or securely fastened within a file folder until the close of the FY. The station commander of the inspected station will present the log to all inspecting personnel so that they may enter comments.

(2) Log entries can be found in appendix B.

5. USAREC inspection policy

The USAREC OIP consists of command inspections, staff inspections, and IG inspections.

a. General.

(1) The commander's OIP is a comprehensive plan containing policies, procedures, schedules, responsibilities, and organizational strategies for the conduct of command and staff inspections at all levels within their command.

(2) Teaching is an essential element of all inspections. No inspection can be considered complete if those inspected have not been taught the goals and standards to be achieved and how to achieve them.

(3) Inspections should emphasize the identification of strengths as well as shortcomings. Balanced inspections serve to better enforce and teach standards. On-the-spot corrections will be made, whenever possible, and annotated appropriately in the inspection report.

(4) All inspections will be conducted per the inspection principles outlined in AR 1-201.

(5) Every inspection of an organization or functional area must start with an evaluation of performance against a recognized standard to identify compliance with the standard. Deviation below the standard will result in analysis of whether the deviation is the result of training deficiencies, poor resource allocations, imperfectly understood requirements, or lack of execution.

b. Command inspections.

(1) Command inspections are the major, formal inspection activity of the brigade and battalion. The commander of the inspecting headquarters must lead and participate in order for an inspection to be a command inspection.

(2) The CG, USAREC, will not conduct formal command inspections of subordinate units. The Deputy Commanding General will inspect the brigades on behalf of the CG. The cornerstone of the Command Inspection Program (CIP) is the inspection of companies by battalions and battalions by brigade headquarters. IG inspections, audits, and staff assistance visits complement the CIP.

(3) Inspections are a command responsibility. Every time leaders visit recruiting facilities, they will inspect something or someone. This is a routine function of leadership. A command inspection under the purview of this regulation is more than a routine leader's inspection visit. It is a formal inspection conducted by a commander in the chain of command of the inspected unit. The commander conducting the inspection will determine the areas of interest and

scope of command inspection, as well as the composition of the inspection team. The focus of the command inspection is on compliance with existing policies and guidance, adherence to principles of integrity, and satisfaction of performance standards. Command inspections should determine how work is done and provide training and recommendations on ways to improve, particularly in light of a battalion's strengths and weaknesses. They are a vehicle for commanders to use in enforcing existing standards and setting future goals.

(4) When and where possible, staff assistance visits will be incorporated into and conducted concurrently with command inspections. When this is not possible, commanders will use previous staff inspection reports to the maximum extent possible to reduce the scope and duration of the command inspection.

(5) Command inspections will normally be conducted one echelon below the inspecting headquarters (that is, brigades inspect battalions and battalions inspect companies). In order for command inspections one echelon below the inspecting headquarters to be thorough, they should include inspections of elements two echelons down to support an evaluation of how orders and guidance are communicated and enforced below headquarters level. Additionally, the commander of the inspecting headquarters must participate for an inspection to be a command inspection.

(6) The scope of the command inspection should be determined on a case-by-case basis. Commanders should analyze mission accomplishment, trends, and other criteria to determine where, when, and what to inspect. When necessitated by resource considerations, the scope of an inspection should be narrowed in lieu of canceling an inspection.

(7) Commanders will decide on a case-by-case basis whether an inspection will be announced or unannounced based on the objectives of the inspection. The exception is the ICI of headquarters company commanders and company commanders. In accordance with AR 1-201, this inspection must occur within 90 days following the company commander's assumption of command. The ICI will be a comprehensive assessment of the unit designed to ensure the new commander understands the unit's strengths and weaknesses. The inspecting unit's commander will personally discuss the results of the ICI with the inspected commander and help him or her set goals and priorities for his or her command tenure. As a result of the discussion, the company commander, may refine the objectives on DA Form 67-9-1 (Officer Evaluation Report Support Form).

(8) A headquarters company commander or company commander will receive a subsequent command inspection annually following the completion of the ICI.

(9) Reports of command inspections will be maintained by both the inspecting and inspected unit and disposed of in accordance with AR 25-400-2. As the proponent for inspections, the IG will receive and have access to reports of both command inspections and staff inspections. The inspection report should include an "executive summary" of the inspection, as well as detailed listings of findings. The report should provide recommended courses of action to fix problems.

c. IG inspections.

(1) IG inspections of battalions are conducted as directed by the CG. The two objectives of IG inspections are a comprehensive assessment for the commander and teaching, training, and assistance. Every effort is made to conduct minimum number of inspections necessary to provide evaluative and corrective functions thus limiting the impact on a unit's recruiting efforts. The scope of the inspection is to ensure the unit is in compliance with regulatory guidance. More importantly, the IG will recommend proponenty and/or responsibility for corrective actions to fix systemic problems identified.

(2) The conduct of IG inspections is described in AR 20-1. AR 20-1 specifically prohibits IGs from participating in command inspections or staff inspections as trained inspectors; however, they may be used to advise and teach commanders and staffs on inspection techniques. Unit commanders and staff principals will arrange for training directly with the USAREC IG.

(3) In accordance with AR 20-1, results of IG inspections will not be used to compare organizations or units, or as criteria for awards. They are not designed to reward or penalize units, commanders, or individuals.

d. Staff inspections.

(1) The principal staff officer or representative responsible for a functional area being inspected normally conducts staff inspections.

(2) Staff inspections will be conducted by the lowest echelon technically qualified to inspect effectively. Headquarters, U.S. Army Recruiting Command staff inspections will be incorporated into command inspections whenever and wherever possible.

Appendix A References

Section I Required Publications

AR 1-201

Army Inspection Policy. (Cited in paras 4a(3), 5a(4), and 5b(7).)

AR 20-1

Inspector General Activities and Procedures. (Cited in paras 4a(3), 5c(2), and 5c(3).)

Section II Related Publication

AR 25-400-2

The Army Records Information Management System (ARIMS).

Section III Prescribed Form

USAREC Form 1117

Recruiting Inspection Log. (Prescribed in paras 4e(4), 4e(8), 4f(1), B-1, B-2a, and B-4.)

Section IV Referenced Form

DA Form 67-9-1

Officer Evaluation Report Support Form.

Appendix B Recruiting Inspection Log

B-1. General

USAREC Form 1117 (see fig B-1) is a standardized method of inspecting and maintaining an inspection log in each company and station.

B-2. Guidelines

a. Commanders will ensure that USAREC Form 1117 is maintained in a three-ring binder in each company and station, and is used to record all inspections in that facility.

b. The company or station commander will present the inspection log to all personnel inspecting the area. Entries in the log are mandatory for all inspectors from the brigade, battalion, and company headquarters. Recruiter training personnel at all levels will not make entries in the inspection log.

B-3. Entries

Make inspection log entries as follows:

- a. Date. Enter the date of inspection.
- b. Inspector(s). Enter name(s) of the inspector(s).
- c. Areas and/or Tools Inspected or Reviewed. Self-explanatory.
- d. Finding(s). Enter specific finding of area inspected.
- e. Directives and/or Guidance Provided and Suspense Date. Enter specific directive or guidance required to correct finding, then enter an appropriate suspense date to have findings completed.
- f. Corrective Action Taken, Station Commander Initials, and Date Completed. Commander must indicate the action

he or she took to correct each finding, followed by his or her initials, and the date completed.

g. Validated by Company Commander, Company First Sergeant or Battalion Commander, Battalion Command Sergeant Major. The company commander or First Sergeant or battalion commander or Command Sergeant Major must verify the corrections were made by signing and dating this block after verification.

B-4. Filing and disposition

Maintain USAREC Forms 1117 in a three-ring binder until the close of the FY. The forms will then be transferred to the functional files, maintained for 1 year, and then destroyed.

RECRUITING INSPECTION LOG			
(For use of this form see USAREC Reg 1-21)			
DATE: 28 Mar 2012		INSPECTOR(S): 1SG Strong	
#	AREAS AND/OR TOOLS INSPECTED OR REVIEWED	FINDING(S)	
1	Security Checks	No end-of-day security checks were completed or annotated on SF 701.	
2	FSTP	SSG Smith and SGT Jones did not have any follow-ups scheduled in their planners.	
3	NCOER Counseling	SGT Jones initial NCOER counseling hasn't been done using proper DA Form 2166-8-1.	
4	Government Vehicles	SSG Smith's Government vehicle was muddy and had trash inside the passenger compartment.	
5			
6			
7			
8			
9			
10			
#	DIRECTIVES AND/OR GUIDANCE PROVIDED		SUSPENSE DATE
1	Ensure end-of-day security checks are completed and annotated on SF 701 and when completed must be retained for 30 days.		28 Mar 12
2	Recheck all Soldiers planners to ensure follow-ups are being accomplished and properly recorded on the RWS.		30 Mar 12
3	Immediately complete SGT Jones initial NCOER counseling on DA Form 2166-8-1.		30 Mar 12
4	Ensure SSG Smith's Government vehicle gets washed and clean out all trash in the vehicle.		29 Mar 12
5			
6			
7			
8			
9			
10			
#	CORRECTIVE ACTION TAKEN	SC INITIALS	DATE COMPLETED
1	End-of-day security check completed and annotated on SF 701, will be retained for 30 days after completion.	MRJ	28 Mar 2012
2	All Soldier's planners now reflect follow-ups and are properly recorded in the RWS and I'll validate daily.	MRJ	29 Mar 2012
3	SGT Jones initial counseling has been completed utilizing DA Form 2166-8-1.	MRJ	30 Mar 2012
4	SSG Smith had his Government vehicle cleaned and has removed all trash from the vehicle.		28 Mar 2012
5			
6			
7			
8			
9			
10			
VALIDATED BY COMPANY COMMANDER, COMPANY FIRST SERGEANT OR BATTALION COMMANDER, BATTALION COMMAND SERGEANT MAJOR			
SIGNATURE: /signed/			DATE: 30 Mar 2012

USAREC Form 1117, Rev 1 Feb 2007

PREVIOUS EDITIONS ARE OBSOLETE

V4.00

Figure B-1. Sample of a completed USAREC Form 1117

Glossary

Section I Abbreviations

CG

Commanding General

CIP

Command Inspection Program

FY

fiscal year

ICI

initial command inspection

IG

inspector general

OIP

Organizational Inspection Program

USAREC

U.S. Army Recruiting Command

Section II Terms

command inspection

A formal inspection of an organization conducted by a commander in the chain of command of the inspected activity. The commander conducting the inspection determines the areas of interest and scope of the command inspection, as well as the composition of the inspection team.

compliance inspection

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

followup inspection

An inspection conducted to ensure prompt and effective corrective actions have been taken on deficiencies discovered. Results from inspections or audits must be analyzed and grouped to determine a possible common root cause. The followup must determine whether corrective action has remedied the underlying cause or created cosmetic changes.

initial assessment

Any inspection designed to inform the inspected organization of its current status, establish goals or standards, or to provide assistance, with the results not used competitively or as the sole basis for evaluation of past performance.

initial command inspection

A formal inspection of an organization conducted by a commander in the chain of command of the inspected activity. The commander conducting the inspection determines the areas of interest and scope of the command inspection, as well as the composition of the inspection team.

inspection

An evaluation, which 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.

inspector general inspection

Examination of a command, unit, function, or activity by a detailed IG to inquire into and evaluate matters affecting mission performance. This includes identification of managerial deficiencies and systemic problems as well as compliance with applicable regulations and directives. Inspections are sufficiently thorough and comprehensive to provide the directing authority an accurate assessment of the inspected activity and identify the root causes of problems detected. Inspections are categorized and further explained as follows:

- General inspection. Broad scope inspection to examine and evaluate all matters affecting mission accomplishment and inquire into and report on the state of economy, efficiency, discipline, morale, esprit de corps, quality of command, management, and leadership of the inspected organization.
- Special inspection. An inspection focused on specific and unique areas of interest, problems, activities, or functionally-related actions, processes, or procedures within a given functional discipline. The scope and purpose are limited, specifically defined, and usually encompass one or more subordinate commands. Synonymous with “systemic inspection.”

Organizational Inspection Program

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

planning and analysis

Process of systemically collecting, organizing, analyzing, and reviewing pertinent data to determine the major problems affecting Soldiers’ welfare, unit, or organization mission accomplishment and attainment of readiness goals. This includes ranking problems and leads in order to focus inspection efforts on significant areas. The type of examination provides a guide to the IG to determine the when, where, and what to inspect.

staff inspection

An inspection other than a command inspection or IG inspection, generally conducted by staff representatives who are responsible for the functional areas being inspected, to ensure compliance with established policy or to assess the ability of an organization to perform its assigned mission.

subsequent command inspection

A formal inspection of an organization conducted by a commander in the chain of command of the inspected activity. The commander conducting the inspection determines the areas of interest and scope of command inspection, as well as the composition of the inspection team.

validation inspection

An inspection conducted to evaluate the efficacy of the brigade CIP. Conducted at battalion level, a validation focuses on previous brigade inspections, their results, and subsequent followups.

USAREC

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