

**3 DECEMBER 2003**



**Command Policy**

**UNIT SELF-INSPECTION PROGRAM**

**COMPLIANCE WITH THIS PUBLICATION IS MANDATORY**

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This instruction implements AFD 90-2, *Inspector General - The Inspection System*. It establishes responsibilities and guidance for all agencies assigned or attached to the 36th Air Base Wing (ABW). The 36th Medical Group will conduct a separate self-inspection program in accordance with existing medical instructions. Send comments and suggested improvements on AF Form 847, *Recommendation for Change of Publication*, through channels, to 36 ABW/IG, Unit 14003, Andersen AFB GU 96543. This publication does not apply to the Air National Guard or US Air Force Reserve Units.

**SUMMARY OF REVISIONS**

**This document is substantially revised and must be completely reviewed.**

This instruction removes paragraph 2.3., Checklist Items Status, from the 20 Aug 98 version. It also replaces minor office symbol changes on the attachments.

**1. Purpose.**

1.1. The purpose of this instruction is to assist units in conducting self-inspections and preparing for wing and higher-headquarters inspections.

1.2. The objective of unit self-inspections and unit compliance inspections is to identify deficiencies which preclude or inhibit mission accomplishment. Additionally, a primary focus of the self-inspection program is to ensure compliance and encourage continuous improvement within Wing organizations.

**2. Definitions.**

2.1. Types of Discrepancies

2.1.1. Limiting Factors (LIMFAC): A discrepancy that limits or impedes the unit's ability to accomplish its mission. This type of discrepancy is normally beyond the unit's ability to correct and must be identified to higher levels of command.

2.1.2. Major Finding: A discrepancy which does not comply with policy or other regulatory guidance and limits or impedes the unit's ability to perform its mission, but correction is within the unit's capability. Major findings also include the following:

2.1.2.1. Any finding, major or minor, previously identified in a previous self-inspection that is still unresolved after the initial Estimated Completion Date (ECD) has passed. It is still correctable at the unit level.

2.1.2.2. Minor findings of the same type throughout the unit, thus indicative of a larger problem or unfavorable trend.

2.1.3. Minor Finding: A discrepancy which does not comply with policy or other regulatory guidance, but does not limit or hinder the unit's ability to accomplish the mission.

2.2. Source Documents. Documents used to accomplish and support basic self-inspections. They include but are not limited to:

2.2.1. PACAF Mission Performance Checklists (PACAF DIR 90-2XX Series).

2.2.2. Local checklists for mission performance taskings not covered by PACAF Mission Performance Checklists.

2.2.3. Special Interest Items (SII) identified by either Air Force or PACAF.

2.2.4. Inspection and staff assistance visit (SAV) reports from higher headquarters.

2.2.5. Articles and checklists from "The Inspector General (TIG) Brief" or other official publications specific to the organization that provide information on best practices, lessons learned, or other improvements in functions or capability.

2.2.6. Cross feed items from other units' inspections and SAVs.

2.2.7. Wing internal inspection and exercise documents and reports.

### 3. Responsibilities.

3.1. The primary responsibility for implementing the self-inspection program rests with 36<sup>th</sup> ABW Group commanders. The 36th Medical Group Commander will conduct a separate self-inspection program IAW existing medical instructions and need not comply with reporting requirements herein.

3.2. Squadron/Unit commanders are responsible for implementing the self-inspection program in their units. Squadron/Unit commanders will:

3.2.1. Appoint primary and alternate self-inspection monitors and provide an updated appointment letter to the Wing Inspector General (IG) whenever the monitors change.

3.2.2. Conduct semi-annual unit self inspections, NLT the dates specified in paragraph 4.2., and provide the results to their group commanders using the format specified in [Attachment 1](#).

3.2.3. Monitor all discrepancies and open items and establish an action plan in accordance with [Attachment 2](#) for resolution of all deficient items that cannot be corrected within 30 days.

3.2.4. Notify their group commanders of: 1) any findings requiring more than 90 days to complete, and 2) any findings categorized as a LIMFAC.

3.2.5. Include all Special Interest Items (SII) in their self-inspection program as soon as they are published. Treat SIIs the same as Mission Performance Checklist responses.

3.3. Unit Self-Inspection Monitors:

3.3.1. Maintain a self-inspection book in accordance with [Attachment 3](#).

3.3.2. Ensure the most current versions of the Mission Performance Checklists are in use.

3.3.3. Ensure each new section chief reviews the most recent self-inspection of his or her duty section within 60 days of arrival.

3.3.4. Maintain a summary log of open items IAW [Attachment 4](#). Alternate methods of tracking open items may be used but should include all information listed in [Attachment 4](#).

3.3.5. Distribute cross feed material and other units' self-inspection reports to appropriate functional personnel in their unit and document review of these items for similar deficiencies and/or inclusion of applicable best practices into unit processes.

3.4. Group Commanders and Wing Staff Agencies:

3.4.1. Provide 36 ABW/IG with a consolidated, semi-annual summary of the Group's/Staff Agencies self-inspection results NLT the dates specified in paragraph [4.2](#).

3.4.2. Notify 36 ABW/CC and 36 ABW/IG of all self-inspection discrepancies categorized as a LIMFAC or other major findings beyond the Group's ability to correct.

3.4.3. Conduct periodic validation inspections of assigned units' self-inspection program.

3.5. Wing Inspector General:

3.5.1. Administer the unit compliance program by providing guidance for the conduct of unit self-inspections.

3.5.2. Provide the wing commander with a consolidated, semi-annual summary of the Wing's self-inspection results.

3.5.3. Augment the group commanders' validation inspections, as requested and available.

**4. Schedule:**

4.1. All 36 ABW assigned units are subject to external compliance inspections at any time.

4.2. Units will conduct semi-annual self-inspections and provide a report of the results to their group commanders NLT 30 April and 31 October each year. Group commanders will consolidate their units' reports and forward the reports to 36 ABW/IG NLT 15 May and 15 November.

4.2.1. Units with a different HHQ assigned self-inspection schedule may use the schedule assigned by that headquarters to determine when they will conduct their self-inspections; however, they will provide the report of those self-inspections to 36 ABW/IG at the times specified above.

## 5. Source Documents:

5.1. The baseline mission performance checklist for each unit can be found on the PACAF/IG home page (<http://www.hqpacaf.af.mil/ig>) or the HQ PACAF Publishing home page (<http://www.hqpacaf.af.mil/publications>). Checklist items that are out of date or incorrect should be resolved directly with the PACAF staff agency responsible for that checklist.

5.2. Items listed on the PACAF mission performance checklists do not constitute the order or limit the scope of the inspection/assessment. Units can supplement the mission performance checklists to add internal compliance items. Mission critical checklist items will be distinctly marked. These checklists may be used in whole or in part by HHQ during visits or exercises.

5.3. Tasked units/staff agencies may prepare internal instructions and procedures to meet the objectives of this instruction.

## 6. Reporting Requirements:

6.1. Squadrons/Units will provide the results of their semi-annual self-inspections to their Group Commanders using the format specified in **Attachment 1**. Groups will consolidate their units' semi-annual self-inspection reports and forward them to 36 ABW/IG NLT the dates specified in paragraph **4.2**.

6.2. Wing staff agencies will provide their reports directly to 36ABW/IG.

6.3. When evaluating, checklist items answered YES will be considered CLOSED; items answered NO will be considered OPEN and called a FINDING. Items not observed (N/O) or not applicable (N/A) will be considered CLOSED. In the case of two-part questions, if either part is NO the overall checklist item is OPEN. Unit self-inspection items rated OPEN will be documented in Section F of the unit self-inspection book. Details of OPEN items need not be up-channeled unless the item is categorized as a LIMFAC.

6.4. Command Special Interest Items (SII) rated OPEN will be reported to the Group Commander and the Wing Inspection Office on the semi-annual self-inspection report (**Attachment 1**).

## 7. Self-Inspection Validation:

7.1. Ninety days prior to a higher headquarters Unit Compliance Inspection, and other times as requested by unit commanders, group commanders will conduct self-inspection validation (SIV) inspections of subordinate units' self-inspection program. SIVs will validate mission critical "OPEN" checklist items and other random checklist items selected by the unit commander.

7.2. To facilitate crosstell or sharing of superior programs wing-wide, group validation teams should normally include one representative from another group, when appropriate.

7.3. The 36 ABW/IG will be notified when validation inspections are planned. The Wing IG Office may augment a group's validation team.

JOSEPH F. MUDD, JR., Colonel, USAF  
Commander

**Attachment 1**

**SELF-INSPECTION REPORT FORMAT**

MEMORANDUM FOR 36 ABW/IG

(Date)

FROM:

SUBJECT: Self Inspection Report for Period \_\_\_\_\_

1. Summary of inspection to include how the inspection was conducted (under PACAF DIR 90-2XX Series ) and dates of inspection.

\_\_\_\_\_ Total number of items inspected

\_\_\_\_\_ Total number of OPEN items

\_\_\_\_\_ Number of OPEN items with an estimated completion date (ECD) of more than 90 days.

2. List any items that are beyond the Unit/Group's capability to correct ( include item description, status, options, and suggested course of action ).

3. List all Special Interest Item (SII) deficiencies and "get well" information.

4. Unit Self Inspection point of contact information.

Signature Block

**Attachment 2****ACTION PLAN**

The format for Unit Action Plans is flexible but should contain the following information as a minimum:

1. Identification of the deficiency, including type (LIMFAC, Major Finding, or Minor Finding) that cannot be completed in less than 30 days.
2. An action officer or NCO responsible for completing the corrective action.
3. Tracking list of action(s) taken to correct the deficiency and status of corrective action in progress as of the time of the report.
4. Milestones for completing separate action steps.
5. Estimated completion date for correcting the deficiency.

**Attachment 3****SELF-INSPECTION BOOK OUTLINE****Table A3.1. Self-Inspection Book Outline.**

SECTION A	GOVERNING DIRECTIVES (includes this instruction and equivalent HHQ instructions)
SECTION B	APPOINTMENT LETTERS
SECTION C	INSPECTION CHECKLISTS
SECTION D	LAST TWO UNIT SELF INSPECTION REPORTS
SECTION E	SPECIAL INTEREST ITEMS
SECTION F	OPEN ITEMS/FINDINGS (see <a href="#">Attachment 4</a> of this instruction)
SECTION G	OTHER UNITS' INSPECTION REPORTS
SECTION H- Z	(UNIT DETERMINED)

## Attachment 4

## SELF-INSPECTION FINDING SUMMARY FORMAT

Table A4.1. Self-Inspection Finding Summary Format.

36th XXXXXX Squadron					
SELF-INSPECTION OPEN ITEMS SUMMARY					
OPR	When Found	Checklist Item	Summary	Date Forwarded	ECD
	See Note 1	See Notes 2, 3		See Note 4	
36 CS /SCM	Dec 97-SI	#*A3.1.1. (Minor)	Unit self inspection instruction out of date	N/A	15 Jan 98
36 MXS /LGMW	Oct 97-O	B7.2.3.1.2. (LIMFAC)	Assigned manpower does not meet HHQ requirements	15 Dec 97 36 MXS/CC	Unknown

**NOTES:**

- SI – Unit Self Inspection  
SIV – Self-Inspection Validation  
UCI – HHQ Unit Compliance Inspection  
SAV – Staff Assistance Visit  
O – Other
- Critical Items are preceded with a pound (#) or asterisk (\*) symbol.
- Include the type of deficiency, i.e., LIMFAC, Major, or Minor in addition to the checklist item number.
- If item is an SII or requires external help for resolution, insert the date forwarded and office forwarded to.